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2 January 1998

To : Holders of the Personnel Manual

From : Rules and Regulations Unit
Office of Human Resources Management

Subject : Revision 7/Amend.2 of the Personnel Manual

1. The enclosed material is the second amendment to the seventh revision of the Personnel Manual; it covers the period 1 December 1996 to 31 December 1997. It consists of the following:

- (a) Table of contents of Amendment 2;
- (b) Checklist of new and revised documents;
- (c) Revised subject index;
- (d) Revised table of contents of each chapter;
- (e) Documents mentioned in the checklist

2. The present edition of the Personnel Manual, Revision 7/Amend.2, updates the Manual up to 31 December 1997. It consists of all issuances in force as of that date, which are listed in the revised subject index, and the revised table of contents for each chapter. The subject and chapter indexes have been updated to include issuances that were published subsequent to Revision 7/Amend.1, which updated the Manual up to 30 November 1996. Holders of the Manual are reminded that they should insert new issuances in their copies of the Manual, and replace those issuances (and indexes) that have been reissued, revised or superseded. The Checklist of new and revised documents included in this edition serves as a guide for that purpose.

3. Any inquiries, comments or suggestions concerning the Manual should be addressed to the Rules and Regulations Unit at United Nations Headquarters, Room S-2580, Extension 3-5439.



UNITED NATIONS PERSONNEL MANUAL

REVISION 7/AMEND.2

TABLE OF CONTENTS

	<u>No. of</u> <u>pages</u>
I. Checklist of new and revised documents	7
II. Revised subject index	85
III. Revised table of contents of each chapter:	
Introduction	3
<u>Chapter</u>	
I. Duties, obligations and privileges	4
II. Classification of posts and staff	3
III. Salaries and related allowances	7
IV. Appointment and promotion	8
V. Annual and special leave	2
VI. Social security	4
VII. Travel and removal expenses	4
VIII. Staff relations	2
IX. Separation from service	2
X. and XI. Disciplinary measures/Appeals	2
XII. General provisions	2
XIII. Matters concerning staff at Headquarters ..	5
IV. Documents mentioned in checklist (55)	



CHECKLIST OF DOCUMENTS FOR PERSONNEL MANUAL

REVISION 7/AMEND.2, 31 December 1997

Documents issued 1 December 1996 to 31 December 1997

<u>Symbol</u>	<u>Subject</u>	<u>PM Index No.</u>
ST/SGB/1997/1 (28 May 1997)	Procedures for the promulgation of administrative issuances	130
ST/SGB/1997/2 (28 May 1997)	Information circulars	135
ST/SGB/273* (7 September 1994)	Establishment of the Office of Internal Oversight Services	1050
ST/AI/397* (7 September 1994)	Reporting of inappropriate use of United Nations resources and proposals for improvement of programme delivery	1051
ST/IC/1997/48 (13 August 1997)	Working hours during the fifty-second session of the General Assembly	1230
ST/IC/1997/66 (14 October 1997)	Membership of the Classification Appeals and Review Committee for posts in the Professional category	2040

* Reproduced in Personnel Manual for technical reasons.

 Checklist

 Personnel Manual Index
 Rev.7/Amend.2, 31 December 1997

<u>Symbol</u>	<u>Subject</u>	<u>PM Index No.</u>
ST/IC/1997/67 (14 October 1997)	Membership of the New York General Service Classification Appeals and Review Committee	2125
ST/IC/1997/67/ Amend.1 (31 December 1997)	- ditto -	2126
ST/IC/1996/73 (10 December 1996)	Payment of income taxes	3070
ST/IC/1997/2 (7 January 1997)	Revised base salary scale for staff in the Professional and higher categories and for staff in the Field Service category	3110
ST/IC/1997/74 (13 November 1997)	Revised salary scale for staff in the Security Service category at Headquarters	3120
ST/IC/1997/10 (31 January 1997)	Revised salary scales for staff in the General Service, Trades and Crafts, Public Information Assistant and Language Teacher categories at Headquarters	3123
ST/AI/259/Rev.10/ Amend.8 (23 May 1997)	Salary differential for General Service staff in the language-typing and word- processing units, Office of Conference and Support Services, Headquarters	3131
ST/IC/1997/71 (31 October 1997)	Post adjustment classification for New York	3180

<u>Symbol</u>	<u>Subject</u>	<u>PM Index No.</u>
ST/IC/1997/73 (11 November 1997)	Pensionable remuneration for staff in the Professional and higher categories and for staff in the Field Service categories	3300
ST/AI/181/Rev.10* (26 June 1995)	Education grant and special education grant for disabled children	3320
ST/AI/181/Rev.10/ Amend.2 (4 March 1997)	- ditto -	3323
ST/AI/1997/6 (20 October 1997)	Mission subsistence allowance	3330
ST/IC/1997/38 (26 June 1997)	Mobility and hardship allowance	3339/A
ST/IC/1997/3 (7 January 1997)	Dependency allowances for staff in the Professional and higher categories and in the Field Service category	3380
ST/IC/1997/3/ Corr.1 (21 January 1997)	- ditto -	3381
ST/AI/1997/1 (20 August 1997)	Conditions under which staff members may take national competitive recruitment examinations	4031

* Reproduced in Personnel Manual for technical reasons.

<u>Symbol</u>	<u>Subject</u>	<u>PM Index No.</u>
ST/SGB/266/Amend.1 (14 March 1997)	Senior Review Group for the filling of posts at the Director (D-2) and higher levels	4102
ST/IC/1997/57 (10 September 1997)	Membership of the 1996/1997 Field Service Promotion Review Panel	4121
ST/AI/1997/7 (20 November 1997)	Recruitment procedures for Professional staff	4125
ST/AI/418 (30 April 1997)	Competitive examination for promotion to the Professional category of staff members from other categories	4361
ST/IC/1997/81 (8 December 1997)	- ditto -	4362
ST/IC/1997/49 (14 August 1997)	United Nations Sabbatical Leave Programme for the year 1998	4477
ST/AI/1997/4 (30 September 1997)	Upgrading of substantive and technical skills	4480
ST/IC/1997/82 (9 December 1997)	Mental health - Medical and employee assistance facilities	6035
ST/IC/1997/32 (28 May 1997)	Renewal of the Headquarters medical and dental insurance plans effective 1 July 1997, and annual enrolment campaign, 2-6 June 1997	6170

Checklist

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

<u>Symbol</u>	<u>Subject</u>	<u>PM Index No.</u>
ST/IC/1997/29 (19 May 1997)	Improvements in the Aetna health insurance plan	6171
ST/IC/1996/78 (23 December 1996)	Van Breda medical, hospital and dental insurance	6190
ST/IC/1997/91 (31 December 1997)	- ditto -	6191
ST/AI/280/Rev.6/ Amend.6 (12 February 1997)	Special entitlements for staff members serving at designated duty stations	7061
ST/AI/280/Rev.6/ Amend.6/Corr.1 (9 May 1997)	- ditto -	7062
ST/AI/1997/2 (25 August 1997)	Reimbursement for travel by private motor vehicle	7111
ST/AI/1997/3 (12 September 1997)	Assignment of staff to a duty station other than their official duty station for periods of less than one year	7151
ST/AI/176/Rev.3/ Amend.4 (17 December 1996)	Transportation of privately owned automobiles	7228
ST/SGB/1997/12 (13 October 1997)	Staff-Management Coordination Committee	8040
ST/IC/1997/62 (19 September 1997)	Employment of retirees	9061

<u>Symbol</u>	<u>Subject</u>	<u>PM Index No.</u>
ST/IC/1997/79 (24 November 1997)	Composition of the Panel on Discrimination and Other Grievances at Headquarters	11020
ST/AI/351/Amend.1 (28 January 1997)	Assistance and representation by counsel in disciplinary and appeal cases	11061
ST/SGB/1997/13 (30 December 1997)	Performance appraisal system	12010
ST/AI/1997/8 (9 December 1997)	- ditto -	12013
ST/IC/1997/83 (11 December 1997)	Revised performance appraisal system	12014
ST/IC/1997/88 (22 December 1997)	After-school recreation and study programme for United Nations children	13000
ST/IC/1997/13 (18 February 1997)	New requirements by the host country for personal employees on a G-5 visa	13022
ST/IC/1997/18 (6 March 1997)	Household employees of United Nations staff members: participation in the United States Social Security Programme	13023
ST/IC/1997/69 (22 October 1997)	Time off for voting on United States election day	13090

<u>Symbol</u>	<u>Subject</u>	<u>PM Index No.</u>
ST/IC/1997/90 (26 December 1997)	Insurance requirements for senior officials entitled to diplomatic privileges and immunities	13095
ST/AI/309/Rev.2 (18 February 1997)	Authority of United Nations security officers	13110
ST/IC/1997/55 (9 September 1997)	Arrangements for admission to the premises at United Nations Headquarters during the fifty-second session of the General Assembly	13112
ST/IC/1997/56 (10 September 1997)	Additional arrangements for admission to the premises at United Nations Headquarters during the fifty-second session of the General Assembly	13113
ST/IC/1997/33 (29 May 1997)	Cessation of tobacco smoking at United Nations Headquarters	13211



UNITED NATIONS PERSONNEL MANUAL

I N D E X

Subject Index	Manual Document No.
ABANDONMENT OF POST	
- Abandonment of post ST/AI/400	9035
ABSENCE	
- Unauthorized absence ST/IC/79/10	5030
ACCELERATED INCREMENTS	
- Accelerated increments: See: Linguistic standards of staff in Chapter IV	
- See: LANGUAGE PROFICIENCY	
ACCEPTANCE OF PAYMENTS	
- Acceptance of payments from Governments to supplement United Nations emoluments ST/AI/380	1115
- See: STANDARDS OF CONDUCT	
ACCESS TO THE SECRETARIAT BUILDING AND THE UNITED NATIONS GARAGE	
- Access to the Secretariat building and the United Nations garage ST/IC/88/2	13221
- United Nations garage ST/AI/349	13220
- See: ADMISSION TO THE PREMISES	

ACCIDENT PREVENTION

- Instructions with respect to reporting of work injuries, safety measures and accident prevention
ST/AI/120/Rev.2 6080
- See: COMPENSATION

ADMINISTRATIVE ISSUANCES

- */ - Index to administrative issuances
ST/IC/1998/1 ---
- Procedures for the promulgation of administrative issuances
ST/SGB/1997/1 130
- See: INFORMATION CIRCULARS

ADMINISTRATIVE TRIBUNAL

- */ - Statute and Rules of the United Nations Administrative Tribunal
AT/11/Rev.4, 1972 ---

ADMISSION TO THE PREMISES

- Arrangements for admission to the premises at United Nations Headquarters during the fifty-second session of the General Assembly
ST/IC/1997/55 13112
ST/IC/1997/56 13113
- See: GARAGE
GROUNDS PASSES
IDENTIFICATION CARDS
REGISTRATION OF STAFF MEMBERS
SECURITY ARRANGEMENTS

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index

Manual
Document No.

ADOPTION OF A CHILD

- See: SPECIAL LEAVE

ADVERSE MATERIAL

- Filing of adverse material in personnel records
ST/AI/292 12050
- See: OFFICIAL STATUS FILE

ADVISORY MEETINGS

- Consultants and participants in advisory meetings
ST/AI/296 4180
ST/AI/296/Amend.1 4181
- See: CONSULTANTS

AFTER-SCHOOL PROGRAMME FOR UNITED NATIONS CHILDREN

- After-school recreation and study programme for
United Nations children
ST/IC/1997/88 13000

AGE OF RETIREMENT

- Employment of retirees
ST/IC/1997/62 9061
- Retention in service and employment beyond the
age of retirement
ST/AI/213/Rev.1 9060

ALCOHOL/SUBSTANCE ABUSE

- Employee assistance in cases of alcohol/substance
abuse
ST/AI/372 13215

Subject Index	Manual Document No.
---------------	------------------------

ANNUAL INSPECTION

- Annual inspection of official status file
ST/AI/108 12020
- See: CONFIDENTIAL FILES
OFFICIAL STATUS FILE

ANNUAL LEAVE AND SPECIAL LEAVE

- Accrual of service credits by staff members who are
assigned to serve on technical assistance projects
under an OPAS contract
PD/4/69 5020
- Time, attendance and leave recording
ST/AI/221/Rev.1 5010
ST/AI/221/Rev.1/Amend.1 5011
ST/AI/221/Rev.1/Add.1 5012
- See: SPECIAL LEAVE

APPEALS

- Administration of internal appeals and
disciplinary systems: Transfer of
responsibilities and reform programme
ST/IC/88/10 11100
- Assistance and representation by counsel in
disciplinary and appeals cases
ST/AI/351 11060
ST/AI/351/Amend.1 11061
- See: CLASSIFICATION
COUNSEL
DISCIPLINARY
DISCRIMINATION
JOINT APPEALS BOARD
JOINT DISCIPLINARY COMMITTEE

Subject Index	Manual Document No.
---------------	------------------------

APPEARANCES IN COURT

- Special leave for jury duty and other appearances
in court
 PD/3/77 5040

APPOINTMENT

- Appointment, extension and conversion of
contractual status of staff in the General
Service, Security Service and Manual Workers
categories
 ST/AI/274 4230
 ST/AI/274/Corr.1 4231
- Appointments of limited duration
 ST/AI/395 4185
- See: CONDITIONS OF SERVICE
 CONTRACTUAL STATUS
 EMPLOYMENT
 PERMANENT APPOINTMENT
 RECRUITMENT
 SENIOR REVIEW GROUP

APPOINTMENT AND PROMOTION

- Directives of the Appointment and Promotion Board
 AM/APB/1 4320
- Establishment of Appointment and Promotion
Committees at designated offices away from
Headquarters
 ST/AI/242 4090
 ST/AI/242/Amend.1 4091
- */ - Manual for Appointment and Promotion Committees
at offices away from Headquarters, 1977 ----

*/ Issued separately.

Subject Index

Manual
Document No.

-	Membership of the Appointment and Promotion Board and of the Headquarters Appointment and Promotion Committee ST/IC/1996/46	4110
-	Membership of the Appointment and Promotion Panel ST/IC/1996/51 ST/IC/1996/51/Add.1	4120 4120/A
-	Membership of the 1996/1997 Field Service Promotion Review Panel ST/IC/1997/57	4121
 APPROVING OFFICERS		
-	See: CERTIFYING AND APPROVING OFFICERS	
 ARREST OR DETENTION		
<u>*/</u>	- Reporting of arrest or detention of staff members, other agents of the United Nations and members of their families ST/AI/299	----
-	Reporting of arrest or detention of staff members, other agents of the United Nations, and members of their families; security evacuation status, annex I (Excerpts from the United Nations Field Security Handbook)	1080
-	Security, safety and independence of the international civil service ST/SGB/198	1070
-	See: PROTECTION OF PERSONNEL	
 ASSIGNMENT/S		
-	Assignment of staff members from other categories to Professional posts and granting of special post allowance to the Professional category ST/AI/276	3260

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index	Manual Document No.
- Assignment of staff to a duty station other than their official duty station for periods of less than one year - Rates of daily subsistence allowance at Headquarters, Geneva and Vienna	
ST/AI/143/Rev.26	7150
ST/AI/1997/3	7151
 ASSIGNMENT GRANT	
- Assignment grant	
ST/AI/364	7175
ST/AI/364/Add.1	7176
ST/AI/364/Add.2	7177
 AUDIT	
*/- Changed audit emphasis by United Nations Board of Auditors	
ST/AI/241	---
 AUTHORITY, DELEGATION OF	
- See: DELEGATION OF AUTHORITY	
 AUTHORITY OF UNITED NATIONS SECURITY OFFICERS	
- Authority of United Nations security officers	
ST/AI/309/Rev.2	13110
 AUTOMOBILE	
- Reimbursement for travel by private motor vehicle	
ST/AI/224/Rev.1	7110
ST/AI/1997/2	7111
- Transportation of privately owned automobiles	
ST/AI/176/Rev.3	7220
ST/AI/176/Rev.3/Corr.1	7221
ST/AI/176/Rev.3/Amend.1	7225
ST/AI/176/Rev.3/Amend.2	7226
ST/AI/176/Rev.3/Amend.3	7227
ST/AI/176/Rev.3/Amend.4	7228

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index

Manual
Document No.

BAD WEATHER

- Early release of staff members in bad weather
or other conditions
ST/AI/260 1240

BLUE CROSS/AETNA MAJOR MEDICAL SCHEME (BLUE CROSS/AETNA)

- See: HEALTH INSURANCE

BLUE CROSS/WRAPAROUND PLUS

- See: HEALTH INSURANCE

BOARD OF AUDITORS

- */ - Changed audit emphasis by United Nations Board of
Auditors
ST/AI/241 ---

BOARDS

- See: APPOINTMENT AND PROMOTION
BOARD OF AUDITORS
CLAIMS BOARD
CENTRAL EXAMINATION BOARD
JOINT APPEALS BOARD
SENIOR ADVISORY BOARD
ORGANIZATION OF THE SECRETARIAT
TORT CLAIMS

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index	Manual Document No.
---------------	------------------------

CAREER DEVELOPMENT

- Career development and placement of staff
ST/IC/86/52 4440
- Career development plan for the General Service and
related categories in New York
ST/IC/86/62 4441
- Establishment of a career development system
ST/SGB/166 4470
- In-service training and career development for
Secretariat staff
ST/SGB/144 4450
- See: TRAINING

CENTRAL EXAMINATION BOARD

- Competitive examination for promotion to the
Professional category of staff members from other
categories (Membership of the Central Examination
Board)
ST/IC/1997/81 4362
- See: COMPETITIVE EXAMINATIONS

CERTIFYING AND APPROVING OFFICERS

- */ - Certifying and approving officers
ST/AI/352 ---
ST/AI/352/Add.2/Rev.1 ---

CHARTER OF THE UNITED NATIONS

- Charter of the United Nations (Articles 8, 97, 100,
101, 105) 10

*/ Issued separately.

Subject Index

Manual
Document No.

CLAIMS BOARD

- Claims Board
 - ST/IC/1991/71 6110
 - ST/IC/1991/71/Add.1 6111
- See: COMPENSATION
- TORT CLAIMS

CLASSIFICATION

- Classification of posts in the General Service and related categories in small and medium-sized duty stations
 - ST/AI/369 2130
 - ST/AI/369/Amend.1 2131
- Classification standards for security jobs at Headquarters
 - ST/AI/332 2140
- Classification system for Field Service category posts
 - ST/AI/344 2150
- Classification system for Professional posts
 - ST/AI/277 2030
- Delegation of authority for the classification of posts in the General Service and related categories at Vienna
 - ST/AI/378 2180
- General Service job classification
 - ST/IC/81/21 2070
- Implementation of ICSC classification standards
 - PD/1/81 2050

Subject Index	Manual Document No.
- Implementation of the initial classification of posts in the General Service and related categories in the Economic and Social Commission for Western Asia	
ST/AI/377	2170
ST/AI/377/Add.1	2171
- Implementation of the initial General Service classification exercise and the maintenance of the classification system at Bangkok	
ST/AI/398	2160
- Implementation of the initial General Service classification exercise and the maintenance of the classification system at Nairobi	
ST/AI/389	2200
- Implementation of the initial General Service classification exercise and the maintenance of the classification system at Santiago	
ST/AI/410	2210
ST/AI/410/Corr.1	2211
- Implementation of the initial General Service classification exercise at Addis Ababa	
ST/AI/356	2190
ST/AI/356/Add.1	2191
- Initial classification of General Service posts in New York	
ST/AI/301	2090
ST/AI/301/Add.1	2091
- Job classification of Professional and above posts	
ST/IC/81/13	2060
- Membership of the Classification Appeals and Review Committee for posts in the Professional category	
ST/IC/1997/66	2040

Subject Index	Manual Document No.
- Membership of the New York General Service Classification Appeals and Review Committee ST/IC/1997/67	2125
ST/IC/1997/67/Amend.1	2126
- Procedures for appeal of classification decisions for posts in the General Service and related categories in New York ST/AI/358	2120
ST/AI/358/Amend.1	2121
 COMMITTEES	
- See: APPOINTMENT AND PROMOTION CLASSIFICATION HEALTH INSURANCE JOINT ADVISORY COMMITTEE JOINT DISCIPLINARY COMMITTEE ORGANIZATION OF THE SECRETARIAT STAFF-MANAGEMENT RELATIONS	
 COMMUNICATIONS AND CONTACTS WITH HOST COUNTRY AUTHORITIES	
- Communications and contacts with host country authorities ST/IC/1996/60	13025
 COMPENSATION	
- Compensation for loss of or damage to personal effects attributable to service ST/AI/149/Rev.4	6100
- Instructions with respect to reporting of work injuries, safety measures and accident prevention ST/AI/120/Rev.2	6080
- Procedures with respect to claims under staff rule 106.4 and Appendix D PD/3/69	6090

Subject Index	Manual Document No.
- Rules governing compensation in the event of death, injury or illness attributable to the performance of official duties on behalf of the United Nations ST/SGB/Staff Rules/Appendix D/Rev.1	6060
ST/SGB/Staff Rules/Appendix D/Rev.1/Amend.1	6061
- To clarify application of United Nations compensation rules (and related rules) to United Nations staff members ST/ADM/SER.A/564	6070
- See: CLAIMS BOARD TORT CLAIMS	
 COMPETITIVE EXAMINATIONS	
- Competitive examination for promotion to the Professional category of staff members from other categories ST/SGB/173	4360
ST/AI/418	4361
ST/IC/1997/81	4362
*/ ST/IC/..../..	----
- Conditions under which staff members may take national competitive recruitment examinations ST/AI/1997/1	4031
- National competitive examinations ST/SGB/210	4030
 COMPUTATION SHEET	
- Implementation of changes to salary policy in promotions (with computation sheet P.269 in annex I, and computation sheet P.269/A in annex II) ST/AI/365	3220
ST/AI/365/Corr.1	3221

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

CONDITIONS OF SERVICE

- General information on conditions of service applicable to appointments of one year or more in the Professional and higher categories (P.96), Attachment No.1, Statement of emoluments (P.96/A), and Attachment No.2, Medical and travel instructions (P.96/B) 4040
- General information on conditions of service applicable to appointments of less than one year (normally six to eleven months) in the Professional and higher categories (P.98), Attachment No.1, Statement of emoluments (P.98/A), and Attachment No.2, Medical and travel instructions (P.98/B) 4050
- General information on conditions of service applicable to General Service staff recruited internationally (appointments of one year or more) (P.280), Attachment No.1, Statement of emoluments (P.280/A), and Attachment No.2, Medical and travel instructions (P.280/B) 4055

CONDUCT OF STAFF MEMBERS

- Report on Standards of Conduct in the International Civil Service - prepared by the International Civil Service Advisory Board
COORD/CIVIL SERVICE/5 1030
- See: ACCEPTANCE OF PAYMENTS
SEXUAL HARASSMENT
STANDARDS OF CONDUCT

CONFERENCE ROOMS AND OFFICES

- Cessation of tobacco smoking at United Nations Headquarters
ST/IC/1997/33 13211
- Smoking at United Nations Headquarters
ST/AI/407 13210

Subject Index	Manual Document No.
---------------	------------------------

CONFIDENTIAL FILES

- Abolition of confidential files
ST/IC/82/77/Rev.1 12060
- Confidentiality of mailing lists and registers
ST/AI/341 12080
- See: OFFICIAL STATUS FILE

CONSULTANTS

- Consultants and participants in advisory meetings
ST/AI/296 4180
ST/AI/296/Amend.1 4181
- Policies for obtaining the services of
individuals on behalf of the Organization
ST/SGB/177 4140
- See: SERVICES OF INDIVIDUALS

CONTACTS WITH UNITED STATES GOVERNMENT AGENCIES

- See: COMMUNICATIONS AND CONTACTS WITH HOST
COUNTRY AUTHORITIES

CONTRACTORS

- Institutional or corporate contractors
ST/AI/327 4150
- Policies for obtaining the services of
individuals on behalf of the Organization
ST/SGB/177 4140
- Temporary staff and individual contractors
ST/AI/295 4170
ST/AI/295/Amend.1 4171
- See: SERVICES OF INDIVIDUALS

Subject Index

Manual
Document No.

CONTRACTUAL STATUS

- Appointment, extension and conversion of contractual status of staff in the General Service, Security Service and Manual Workers categories
 - ST/AI/274 4230
 - ST/AI/274/Corr.1 4231
- Contractual status of Special Assistants
 - PD/2/88 4130

CONVENTION

- Convention on the Privileges and Immunities of the United Nations, adopted by the General Assembly of the United Nations, 13 February 1946 1010

CONVERSION

- Appointment, extension and conversion of contractual status of staff in the General Service, Security Service and Manual Workers categories
 - ST/AI/274 4230
 - ST/AI/274/Corr.1 4231
- Movement of staff from the Field Service category to the Professional category
 - ST/AI/360/Rev.1 4380
 - ST/AI/360/Rev.1/Corr.1 4381

Subject Index	Manual Document No.
---------------	------------------------

COUNSEL

- Assistance and representation by counsel in disciplinary and appeal cases
 - ST/AI/351 11060
 - ST/AI/351/Amend.1 11061

- Membership of the panel of counsel in disciplinary and appeal cases
 - ST/IC/1991/35 11070

- See: APPEALS

CURRENCY OF PAYMENT

- Currency of payment of salaries and allowances
 - ST/AI/402 3050

DAILY SUBSISTENCE ALLOWANCE

- Assignment of staff to a duty station other than their official duty station for periods of less than one year - Rates of daily subsistence allowance at Headquarters, Geneva and Vienna
ST/AI/143/Rev.26 7150
ST/AI/1997/3 7151
- Revised system of daily subsistence allowance
ST/AI/137 7160
ST/AI/137/Amend.5 7161
ST/AI/137/Add.1/Rev.1 7162
- */ - Schedule of daily subsistence allowance rates
ICSC/CIRC/DSA/... (issued monthly by ICSC) ----

DAMAGE TO PERSONAL EFFECTS

- Compensation for loss of or damage to personal effects attributable to service
ST/AI/149/Rev.4 6100
- See: CLAIMS BOARD
COMPENSATION

DATE OF BIRTH

- Request for rectification of date of birth or other personal data
ST/AI/354 4000

DEATH

- Rules governing compensation in the event of death, injury or illness attributable to the performance of official duties on behalf of the United Nations
ST/SGB/Staff Rules/Appendix D/Rev.1 6060
ST/SGB/Staff Rules/Appendix D/Rev.1/Amend.1 6061

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index	Manual Document No.
- Separation procedures in the event of death of a staff member PD/1/1991	9010
DELEGATION OF AUTHORITY	
- See: STAFF REGULATIONS AND RULES	
DELIVERY OF PERSONAL PACKAGES	
*/- Delivery and picking up of packages ST/IC/84/85	----
- Delivery of personal packages, mail and periodicals to United Nations premises ST/IC/89/50	13180
- See: SECURITY ARRANGEMENTS	
DENTAL INSURANCE	
- See: HEALTH INSURANCE	
DEPENDANTS/DEPENDENCY	
- Age limitation on the participation of dependent children in United Nations health insurance schemes ST/IC/86/72	6160
- Definition of dependency status ST/AI/278/Rev.1	3350
- Dependency allowance ST/IC/82/48	3360
- Dependency allowance or benefit for disabled children ST/AI/366	3370
ST/AI/366/Amend.1	3371

*/- Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index

Manual
Document No.

-	Dependency allowances for staff in the Professional and higher categories and in the Field Service category	
	ST/IC/1997/3	3380
	ST/IC/1997/3/Corr.1	3381
-	Dependency benefits	
	ST/IC/1996/40	3340
-	Note for staff members - Change in marital or dependency status, P.94(3-87)E	6030
-	Revised dependency allowances for staff in the General Service, Language Teacher, Public Information, Trades and Crafts and Security Service categories at Headquarters	
	ST/IC/1995/51	3124
	ST/IC/1997/10	3123
-	Travel of staff members and dependants in hardship cases	
	PD/2/73	7050
 DESIGNATED DUTY STATIONS		
-	Special entitlements for staff members serving at designated duty stations	
	ST/AI/280/Rev.6	7060
	ST/AI/280/Rev.6/Amend.6	7061
	ST/AI/280/Rev.6/Amend.6/Corr.1	7062
 DESIGNATION OF STAFF MEMBERS		
-	Designation of staff members performing significant functions in financial management, personnel management and general services administration	
	ST/SGB/213/Rev.1	170

Subject Index

Manual
Document No.

DETENTION

- See: ARREST OR DETENTION
SECURITY

DISABLED CHILDREN

- Dependency allowance or benefit for disabled children
 - ST/AI/366 3370
 - ST/AI/366/Amend.1 3371
- Education grant and special education grant for disabled children
 - ST/AI/181/Rev.10 3320
 - ST/AI/181/Rev.10/Corr.1 3321
 - ST/AI/181/Rev.10/Amend.1 3322
 - ST/AI/181/Rev.10/Amend.2 3323

DISCIPLINARY

- Assistance and representation by counsel in disciplinary and appeal cases
 - ST/AI/351 11060
 - ST/AI/351/Amend.1 11061
- Revised disciplinary measures and procedures
 - ST/AI/371 11075
- See: COUNSEL
JOINT DISCIPLINARY COMMITTEE

DISCRIMINATION

- Composition of the Panel on Discrimination and Other Grievances at Headquarters
 - ST/IC/1997/79 11020
- Establishment of Panels on Discrimination and Other Grievances
 - ST/AI/308/Rev.1 11010

Subject Index

Manual
Document No.

- Report on the work of the Panels on
Discrimination and Other Grievances
ST/IC/1993/8 11011

DUTY-FREE AND TAX-FREE ENTRY

- Duty-free and tax-free entry of baggage and
effects into the United States
 - ST/AI/254 13080
 - ST/AI/254/Amend.1 13081
 - ST/AI/254/Amend.2 13082

Subject Index

Manual
Document No.

EARLY RELEASE OF STAFF MEMBERS

- Early release of staff members in bad weather
or other conditions
ST/AI/260 1240

EDITORS

- Policy for the recruitment of editors and
editor-trainees in the Official Records Editing
Section
PD/2/81 4270

EDUCATION GRANT

- Education grant and special education grant for
disabled children
ST/AI/181/Rev.10 3320
ST/AI/181/Rev.10/Corr.1 3321
ST/AI/181/Rev.10/Amend.1 3322
ST/AI/181/Rev.10/Amend.2 3323

ELECTION DAY

- Time off for voting on United States election day
ST/IC/1997/69 13090

EMPLOYEE ASSISTANCE

- See: ALCOHOL/SUBSTANCE ABUSE
MENTAL HEALTH

EMPLOYMENT

- Consideration of family members for employment in
the General Service category in New York
ST/IC/89/25 13042
- Employment of family members on G-4 visas
ST/IC/78/53 13040

Subject Index	Manual Document No.
- Employment of spouses ST/AI/273	4210
- General information on United Nations employment opportunities RECR-I.8/E - P.183	4060
- Part-time employment ST/AI/291/Rev.1	4220
- Retention in service and employment beyond the age of retirement ST/AI/213/Rev.1	9060
- See: APPOINTMENT G-4/G-5 VISAS RECRUITMENT RETIREMENT SERVICES OF INDIVIDUALS	
 ENTRY OF BAGGAGE AND EFFECTS INTO THE UNITED STATES	
- Duty-free and tax-free entry of baggage and effects into the United States ST/AI/254	13080
ST/AI/254/Amend.1	13081
ST/AI/254/Amend.2	13082
 EQUAL TREATMENT OF MEN AND WOMEN IN THE SECRETARIAT	
- Guidelines for promoting equal treatment of men and women in the Secretariat ST/IC/1992/67	1171
- Procedures for dealing with sexual harassment ST/AI/379	1166

Subject Index

Manual
Document No.

- Promotion of equal treatment of men and women in the Secretariat and prevention of sexual harassment
ST/SGB/253 1165
- See: GENDER EQUALITY
IMPROVEMENT OF THE STATUS OF WOMEN

EVACUATION OF UNITED NATIONS PERSONNEL

- Reporting of arrest or detention of staff members, other agents of the United Nations, and members of their families; security evacuation status, annex I (Excerpts from the United Nations Field Security Handbook) 1080
- See: SECURITY

EXCESS BAGGAGE

- Reimbursement of the cost of accompanied excess baggage
 - ST/AI/229 7210
 - ST/AI/229/Add.1 7211
 - ST/AI/229/Add.2 7212

EXTENSION

- Appointment, extension and conversion of contractual status of staff in the General Service, Security Service and Manual Workers categories
 - ST/AI/274 4230
 - ST/AI/274/Corr.1 4231

EXTERNAL STUDIES PROGRAMME

- See: SABBATICAL LEAVE PROGRAMME
UPGRADING OF SUBSTANTIVE AND TECHNICAL SKILLS

Subject Index

Manual
Document No.

FAMILY VISIT TRAVEL

- Family visit travel
ST/AI/215/Rev.1 7030
- See: TRAVEL

FIELD ADMINISTRATION HANDBOOK (EXCERPTS)

- See: PROTECTION OF PERSONNEL

FIELD SECURITY HANDBOOK (EXCERPTS)

- See: ARREST OR DETENTION
SECURITY

FIELD SERVICE

- Movement of staff from the Field Service
category to the Professional category
ST/AI/360/Rev.1 4380
ST/AI/360/Rev.1/Corr.1 4381

FINANCIAL AND OTHER OBLIGATIONS OF STAFF MEMBERS

- Financial and other obligations of staff members
ST/AI/399 1040
- See: STANDARDS OF CONDUCT

FINANCIAL REGULATIONS AND RULES

- */- Financial Regulations and Rules (series 100)
ST/SGB/Financial Rules/1/Rev.3 (1984) ----

FORMER STAFF MEMBERS

- Reference inquiries concerning former staff
members
PD/8/57 9080

*/- Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index

Manual
Document No.

GARAGE

- Access to the Secretariat building and the United Nations garage
ST/IC/88/2 13221
- United Nations garage
ST/AI/349 13220
- See: ADMISSION TO THE PREMISES
SECURITY ARRANGEMENTS

GENDER EQUALITY

- Policies to achieve gender equality in the United Nations
ST/SGB/282 1175
- Special measures for the achievement of gender equality
ST/AI/412 1176
- See: EQUAL TREATMENT OF MEN AND WOMEN IN THE
SECRETARIAT
IMPROVEMENT OF THE STATUS OF WOMEN

GENERAL SERVICE AND RELATED CATEGORIES

- Appointment, extension and conversion of contractual status of staff in the General Service, Security Service and Manual Workers categories
ST/AI/274 4230
ST/AI/274/Corr.1 4231
- Career development plan for the General Service and related categories in New York
ST/IC/86/62 4441

Subject Index

Manual
Document No.

-	Recruitment of external candidates to posts in the General Service and related categories at Headquarters	
	PD/1/94	4240
	PD/1/94/Amend.1	4241
-	See: CLASSIFICATION	
GHI DENTAL INSURANCE PLAN		
-	See: HEALTH INSURANCE	
GIFTS AND HISTORICAL ITEMS		
-	Preservation and disposition of gifts and historical items	
	ST/SGB/136	1190
GRIEVANCES		
-	See: DISCRIMINATION	
GROUNDS PASSES		
-	Wearing of grounds passes	
	ST/SGB/259	13115
-	See: IDENTIFICATION CARDS SECURITY ARRANGEMENTS	
G-4/G-5 VISAS		
-	Cancellation of G-4 and G-5 visas on separation or transfer of staff members	
	ST/IC/1996/49	13021
-	Employment of family members on G-4 visas	
	ST/IC/78/53	13040
-	Employment of persons on G-4 visas (United Nations staff and dependants)	
	ST/IC/89/13	13041

Subject Index

Manual
Document No.

- Household employees of United Nations staff
members: participation in the United States
Social Security Programme
ST/IC/1997/18 13023
- New requirements by the host country for personal
employees on a G-5 visa
ST/IC/1997/13 13022
- Visa status of non-United States staff members
serving in the United States
ST/AI/294 13020
- See: IMMIGRATION

Subject Index

Manual
Document No.

HARASSMENT

- See: SEXUAL HARASSMENT

HARDSHIP CASES

- Mobility and hardship allowance
 - ST/AI/363 and Corr.1 3337
 - ST/AI/363/Add.1 3338
 - ST/AI/363/Add.2 3339
 - ST/IC/1997/38 3339/A
- Travel of staff members and dependants in hardship cases
 - PD/2/73 7050

HEADQUARTERS OF THE UNITED NATIONS

- Agreement between the United Nations and the United States of America regarding the Headquarters of the United Nations adopted by resolution 169 (II) of the General Assembly, 31 October 1947 1020

HEALTH

- Termination of appointments for reasons of health
 - PD/3/80 9030
- See: MENTAL HEALTH

HEALTH INSURANCE

After-service health insurance

- After-service health insurance
 - ST/AI/394 6200
- Note on After-service health insurance, January 1987 6210

Age limitation on the participation of dependent children
in United Nations health insurance schemes

- Age limitation on the participation of dependent
children in United Nations health insurance schemes
ST/IC/86/72 6160

Medical and dental insurance

- Health and Life Insurance Committee at Headquarters
ST/SGB/275 6231
- Improvements in the Aetna health insurance plan
ST/IC/1997/29 6171
- Medical insurance plan for locally recruited staff
at designated duty stations away from Headquarters
ST/IC/87/33 6140
ST/AI/343 6141
- Medical scheme for staff appointed under the 300
series of the Staff Rules
ST/IC/86/44 6180
- Membership of the Health and Life Insurance
Committee at Headquarters
ST/IC/1993/18 6230
- Renewal of the Headquarters medical and dental
insurance plans effective 1 July 1997, and annual
enrolment campaign, 2-6 June 1997
ST/IC/1997/32 6170
- Van Breda medical, hospital and dental insurance
ST/IC/1996/78 6190
ST/IC/1997/91 6191

HEALTH INSURANCE PLAN/HEALTH MAINTENANCE ORGANIZATION (HMO)

- See: HEALTH INSURANCE

Subject Index

Manual
Document No.

HISTORICAL ITEMS

- Preservation and disposition of gifts and historical items
ST/SCB/136 1190

HOLIDAYS AND AFTER OFFICE HOURS

- Official holidays
ST/AI/283 1250
- */- Official holidays and closure of Headquarters buildings to the public
ST/IC/1997/80 ----
- Registration of staff members and affiliates on Saturdays, Sundays, holidays and after office hours
ST/AI/310 13130

HOME ADDRESSES AND TELEPHONE NUMBERS

- Home addresses and telephone numbers
ST/IC/1995/16 4010
- See: PERSONAL INFORMATION ON STAFF

HOME LEAVE

- Home leave: change of place of home leave and change of country of home leave
ST/AI/367 5080
- Home leave travel within the home country
PD/16/58 5060
- The effect of special leave without pay on time of home leave
PD/14/58 5070

*/- Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index	Manual Document No.
---------------	------------------------

- Travel on home leave
PD/24/56 5050
- See: LUMP-SUM PAYMENT
TRAVEL

HOSPITALITY

- See: OFFICIAL HOSPITALITY

HOST COUNTRY

- Communications and contacts with host country
authorities
ST/IC/1996/60 13025
- Host country travel regulations
ST/IC/85/48 13010
ST/IC/85/76 13013
ST/IC/89/10 13016
ST/IC/1990/14 13017
ST/IC/1990/16 13018
ST/IC/1990/34 13019
ST/IC/1991/3 13019/C
ST/IC/1992/2 13019/F
ST/IC/1992/51 13019/H
- See: ENTRY OF BAGGAGE AND EFFECTS INTO THE
UNITED STATES
G-4/G-5 VISAS
HEADQUARTERS OF THE UNITED NATIONS
HOUSEHOLD MEMBERS
IMMIGRATION
OFFICIAL TRAVEL
TAXATION
TORT CLAIMS
VISA STATUS OF NON-UNITED STATES STAFF MEMBERS

Subject Index

Manual
Document No.

HOST GOVERNMENT

- Guidelines for the preparation of host government agreements falling under General Assembly resolution 40/243
ST/AI/342 1021

HOUSEHOLD MEMBERS

- Household employees of United Nations staff members: participation in the United States Social Security Programme
ST/IC/1997/18 13023
- Information on United Nations staff members and members of their household requested by the United States Mission
ST/IC/87/27 13060
ST/IC/87/27/Add.1 13061
- See: G-4/G-5 VISAS

Subject Index

Manual
Document No.

ICSC

- Implementation of ICSC classification standards
PD/1/81 2050

IDENTIFICATION CARDS

- Personal identification cards - Headquarters
ST/AI/333 13120
- See: GROUNDS PASSES
SECURITY ARRANGEMENTS

ILLNESS

- Rules governing compensation in the event of death,
injury or illness attributable to the performance
of official duties on behalf of the United Nations
ST/SCB/Staff Rules/Appendix D/Rev.1 6060
ST/SCB/Staff Rules/Appendix D/Rev.1/Amend.1 6061
- See: COMPENSATION

IMMIGRATION

- United States Immigration Reform Control Act of
1986 (General information and United Nations
certification procedure)
ST/IC/87/16 13030
ST/IC/87/16/Corr.1 13031
- United States Immigration Technical Corrections
Act of 1988
ST/IC/89/7 13032
- United States Immigration and Nationality Technical
Corections Act of 1994
ST/IC/1995/42 13035
- See: G-4/G-5 VISAS
VISA STATUS

IMPROVEMENT OF THE STATUS OF WOMEN

- Reports of the Steering Committee for the Improvement of the Status of Women in the Secretariat
 - ST/SGB/216 1180
 - ST/SGB/216/Add.6 1188
- See: EQUAL TREATMENT OF MEN AND WOMEN IN THE SECRETARIAT
GENDER EQUALITY

INCOME TAX

- Payment of income taxes
 - ST/IC/1996/73 3070
- See: UNITED STATES TAX LEGISLATION

INCREMENTS

- Withholding of salary increments
 - PD/5/69 3210

INDEBTEDNESS

- See: FINANCIAL AND OTHER OBLIGATIONS OF STAFF MEMBERS

INFORMATION CIRCULARS

- */- Index to information circulars
 - ST/IC/1998/2 ---
- Information circulars
 - ST/SGB/1997/2 135
- See: ADMINISTRATIVE ISSUANCES

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

INFORMATION TECHNOLOGY TRAINING

- */ - Information technology training
ST/IC/1995/72 -----

INJURY

- Rules governing compensation in the event of death,
injury or illness attributable to the performance
of official duties on behalf of the United Nations
ST/SGB/Staff Rules/Appendix D/Rev.1 6060
ST/SGB/Staff Rules/Appendix D/Rev.1/Amend.1 6061
- See: COMPENSATION

INSURANCE

- Insurance requirements for senior officials
entitled to diplomatic privileges and immunities
ST/IC/1997/90 13095
- See: HEALTH INSURANCE
LIFE INSURANCE
PERSONAL EFFECTS AND HOUSEHOLD GOODS

INSURANCE PROCEDURES

- Shipping and insurance procedures for shipments of
personal effects and household goods
ST/AI/238/Rev.1 7190
- See: PERSONAL EFFECTS AND HOUSEHOLD GOODS

INTEGRATED MANAGEMENT INFORMATION SYSTEM (IMIS)

- Integrated Management Information System (IMIS):
definition of responsibility for the imple-
mentation and operation of the system and terms
of reference of the Steering Committee
ST/SGB/276 180

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index

Manual
Document No.

INTERNAL RECOURSE PROCEDURES

- Internal recourse procedures in the United Nations Secretariat
ST/IC/82/7 11090
- */- For recourse procedures for the Field Service category, see also information circular (ST/IC/..../..) on promotion register issued annually. ----

INTERNATIONAL CIVIL SERVICE

- Report on Standards of Conduct in the International Civil Service - prepared by the International Civil Service Advisory Board
COORD/CIVIL SERVICE/5 1030
- */- Reporting of arrest or detention of staff members, other agents of the United Nations and members of their families
ST/AI/299 ----
- Security, safety and independence of the international civil service
ST/SGB/198 1070
- */- Statute and Rules of Procedure of the International Civil Service Commission, ICSC/1 ----

INTER-ORGANIZATION AGREEMENT

- Inter-Organization Agreement concerning transfer, secondment or loan of staff among the organizations applying the United Nations common system of salaries and allowances
ACC/1992/PER/CM/9 4510

*/- Issued separately.

Subject Index

Manual
Document No.

INTERPRETERS

- Policy for the recruitment and training of interpreters
 - PD/12/59/Rev.1 4291
 - PD/12/59/Rev.1/Corr.1 4292

Subject Index

Manual
Document No.

JOB CLASSIFICATION

- See: CLASSIFICATION

JOINT ADVISORY COMMITTEE

- Establishment and operation of Joint Advisory Committees at duty stations and missions away from Headquarters - Memorandum from the Assistant Secretary-General for Personnel Services, 8 March 1978 8090
- Joint Advisory Committee at Headquarters ST/SGB/200/Rev.1 8070
- Membership of the Joint Advisory Committee at Headquarters ST/IC/1994/37 8080

JOINT APPEALS BOARD

- Joint Appeals Board ST/IC/1995/78 11030
ST/IC/1995/78/Add.1 11031
- See: APPEALS

JOINT DISCIPLINARY COMMITTEE

- Joint Disciplinary Committee ST/IC/1995/79 11040
- See: APPEALS

JOINT STAFF PENSION FUND

- */ - Regulations of the Joint Staff Pension Fund JSPB/G.4/Rev.14 ----
- United Nations Joint Staff Pension Fund System (Excerpt from JSPB/G.4/Rev.14) 6010

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index

Manual
Document No.

JURY DUTY

- Special leave for jury duty and other appearances
in court
 PD/3/77 5040

KAISER FOUNDATION HEALTH PLAN OF NORTHEAST (KAISER/HMO)

- See: HEALTH INSURANCE

KEYS

- Safeguarding of United Nations keys
 ST/IC/84/33 13160

Subject Index

Manual
Document No.

LANGUAGE ALLOWANCE

- Language allowance for staff in the Trades and Crafts category at Headquarters
ST/IC/1990/63 3145

LANGUAGE PROFICIENCY

- */- Language proficiency examination, ST/IC/..../..
(issued three times annually) ----
- Language proficiency of staff in the Professional category and above
ST/AI/207 4410
- Multilingualism
ST/IC/1995/73 4420
- Use of working languages of the Secretariat
ST/SGB/212 4401

LANGUAGE TEACHERS

- Granting of status of staff members to full-time language teachers
ST/AI/316 1200

LANGUAGE TRAINING PROGRAMME

- */- Language and communication skills training
ST/IC/..../.. ----

LEAVE

- See: ANNUAL LEAVE AND SPECIAL LEAVE
HOME LEAVE
LEAVE RECORDING
MATERNITY LEAVE
SABBATICAL LEAVE PROGRAMME
SICK LEAVE
TIME, ATTENDANCE AND LEAVE RECORDING
UPGRADING OF SUBSTANTIVE AND TECHNICAL SKILLS

*/- Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index	Manual Document No.
LEAVE RECORDING	
- Time, attendance and leave recording	
ST/AI/221/Rev.1	5010
ST/AI/221/Rev.1/Amend.1	5011
ST/AI/221/Rev.1/Add.1	5012
LIFE INSURANCE	
- Group life insurance - changes in coverage	
ST/IC/78/38	6220
- Group life insurance - premium rate decrease and waiver of automatic increase	
ST/IC/1996/42	6221
- Health and Life Insurance Committee at Headquarters	
ST/IC/1993/18	6230
ST/SGB/275	6231
LOAN	
- Inter-Organization Agreement concerning transfer, secondment or loan of staff among the organizations applying the United Nations common system of salaries and allowances	
ACC/1992/PER/CM/9	4510
- Non-reimbursable loans of personnel services from sources external to the United Nations common system	
ST/AI/231/Rev.1	4200
LOSS OF OR DAMAGE TO PERSONAL EFFECTS	
- Compensation for loss of or damage to personal effects attributable to service	
ST/AI/149/Rev.4	6100
- See: CLAIMS BOARD COMPENSATION	

Subject Index

Manual
Document No.

LOST AND FOUND PROPERTY

- Security of valuable articles: lost and found property
ST/AI/227 13150

LUMP-SUM PAYMENT

- Option of a lump-sum payment for travel by air in lieu of provision by the Organization of travel tickets and related entitlements on home leave, education grant and family visit travel
ST/IC/1990/13 7000
ST/IC/1990/13/Amend.5 7001

Subject Index	Manual Document No.
MARITAL OR DEPENDENCY STATUS	
- Note for staff members - Change in marital or dependency status (P.94)	6030
MATERIAL AND PACKAGE PASSES	
- Material and package passes ST/AI/193/Rev.1	13170
MATERNITY LEAVE	
- Maternity leave ST/AI/391	6050
MEDICAL AND DENTAL INSURANCE	
- See: HEALTH INSURANCE	
MEDICAL EVACUATION	
- Medical evacuation PD/1/1992	7040
MEDICAL EXAMINATIONS	
- Reimbursement of costs of basic medical examinations for family members ST/AI/317	6130
ST/AI/317/Amend.8	6131
MEDICAL STANDARDS AND CLEARANCES	
- Medical standards and clearances PD/2/80/Rev.3	4070
MENTAL HEALTH	
- Mental health - Medical and employee assistance facilities ST/IC/1997/82	6035

Subject Index

Manual
Document No.

MID-MONTH SALARY ADVANCES

- Adjustment of mid-month salary advances
ST/ADM/SER.A/1938 3060

MINIMUM PERIODS OF SERVICE

- Minimum periods of service in the grade for
promotion in the Professional category
PD/2/67 4350

MISSION

- Assignment to and return from mission detail
ST/AI/404 4540
- Mission readiness workshops
ST/IC/1995/8 4490
- Mission subsistence allowance
ST/AI/1997/6 3330
- Missions roster
ST/IC/1993/23 1152
- Policy governing assignment to and return from
mission detail
ST/SGB/277 4530

MODE AND STANDARDS OF TRAVEL

- Standard of accommodation, travel time and rest
stopovers
ST/AI/249/Rev.3 7102
ST/AI/249/Rev.3/Amend.4 7103

Subject Index

Manual
Document No.

MOBILITY AND HARDSHIP ALLOWANCE

- Mobility and hardship allowance
 - ST/AI/363 and Corr.1 3337
 - ST/AI/363/Add.1 3338
 - ST/AI/363/Add.2 3339
 - ST/IC/1997/38 3339/A

MULTILINGUALISM

- Multilingualism
 - ST/IC/1995/73 4420
- See: LANGUAGE PROFICIENCY
LANGUAGE TRAINING PROGRAMME

Subject Index

Manual
Document No.

NATIONAL COMPETITIVE EXAMINATIONS

- Conditions under which staff members may take national competitive recruitment examinations
ST/AI/1997/1 4031
- National competitive examinations
ST/SGB/210 4030

NON-REIMBURSABLE LOANS

- Non-reimbursable loans of personnel services from sources external to the United Nations common system
ST/AI/231/Rev.1 4200

NON-RESIDENT'S ALLOWANCE

- Non-resident's allowance
ST/AI/314 3140
ST/AI/314/Add.1 3141

NON-UNITED STATES STAFF MEMBERS

- Changes in United States tax legislation concerning individuals in the United States who are not United States nationals
ST/IC/84/74 13070
- Information on United Nations staff members and members of their household requested by the United States Mission
ST/IC/87/27 13060
ST/IC/87/27/Add.1 13061
- Significant changes in United States estate tax and their possible effect on non-United States citizen staff members
ST/IC/1991/39 13075
- See: G-4/G-5 VISAS
IMMIGRATION

Subject Index	Manual Document No.
OFFICIAL HOSPITALITY	
- Official hospitality ST/AI/192/Rev.2	3100
OFFICIAL HOLIDAYS	
- Official holidays ST/AI/283	1250
<u>*/</u> - Official holidays and closure of Headquarters buildings to the public ST/IC/1997/80	----
OFFICIAL STATUS FILE	
- Annual inspection of official status file ST/AI/108	12020
- Consolidation of personnel records into the official status files ST/IC/88/19	12070
- SEE: CONFIDENTIAL FILES	
OFFICIAL TRAVEL	
- Official travel of United Nations staff members in the United States ST/IC/86/4	13005
- See: TRAVEL	

*/ Issued separately.

Subject Index

Manual
Document No.

OPAS

- Accrual of service credits by staff members who are assigned to serve on technical assistance projects under an OPAS contract
PD/4/69 5020
- Technical co-operation personnel and Operational, Executive and Administrative Services (OPAS) officers
ST/AI/297 4190
ST/AI/297/Add.1 4191
- See: SERVICES OF INDIVIDUALS

ORGANIZATION OF THE SECRETARIAT

- */- Organization of the Secretariat of the United Nations
ST/SGB/1997/5 ----
- See: SECRETARIAT

OUTPOSTING OF STAFF

- Outposting of staff from the established location of a department to another location
ST/AI/245 4520

OUTSIDE ACTIVITIES

- Outside activities of members of the Secretariat
ST/AI/190/Rev.1 1260

OVERTIME

- Overtime compensation at Headquarters
ST/AI/265 3280
- Working hours and overtime
ST/ADM/SER.A/1379 1210

*/- Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index

Manual
Document No.

PANELS OF COUNSEL

- Membership of the Panels of Counsel
ST/IC/1991/35 11070
- See: COUNSEL

PANELS ON DISCRIMINATION AND OTHER GRIEVANCES

- See: DISCRIMINATION

PARKING

- See: GARAGE

PART-TIME EMPLOYMENT

- Part-time employment
ST/AI/291/Rev.1 4220

PARTICIPANTS IN ADVISORY MEETINGS

- Consultants and participants in advisory meetings
ST/AI/296 4180
ST/AI/296/Amend.1 4181
- See: CONSULTANTS
SERVICES OF INDIVIDUALS

PASSES

- See: GROUNDS PASSES
MATERIAL AND PACKAGE REMOVAL PASSES

PAYMENT OF INCOME TAXES

- Payment of income taxes
ST/IC/1996/73 3070
- See: UNITED STATES TAX LEGISLATION

Subject Index

Manual
Document No.

PAYMENTS FROM GOVERNMENTS

- Acceptance of payments from Governments to supplement United Nations emoluments
ST/AI/380 1115
- See: STANDARDS OF CONDUCT

PAYROLL CLEARANCE

- United Nations personnel payroll clearance action
ST/AI/155/Rev.2 9070
ST/AI/155/Rev.2/Amend.1 9071

PENSION FUND

- See: JOINT STAFF PENSION FUND

PENSIONABLE REMUNERATION

- Pensionable remuneration for staff in the General Service and related categories
ST/IC/1994/15 3125
- Pensionable remuneration for staff in the Professional and higher categories and for staff in the Field Service category
ST/IC/1997/73 3300

PERFORMANCE APPRAISAL/PERFORMANCE EVALUATION REPORT SYSTEM

- Performance appraisal system
ST/SGB/1997/13 12010
ST/AI/411 12011
ST/AI/411/Corr.1 12012
ST/AI/1997/8 12013
- Revised performance appraisal system
ST/IC/1997/83 12014

Subject Index

Manual
Document No.

PERMANENT APPOINTMENT

- Notification of staff members - review of
probationary appointments and five-year review of
permanent appointments
 PD/11/58 4390
 PD/11/58/Rev.1 4391
- Procedure to be followed in cases of termination
of permanent appointment for unsatisfactory
services
 ST/AI/222 9020

PERSONAL DATA

- See: DATE OF BIRTH

PERSONAL EFFECTS AND HOUSEHOLD GOODS

- Shipping and insurance procedures for shipments
of personal effects and household goods
 ST/AI/238/Rev.1 7190
- Split shipments of personal effects and household
goods
 ST/AI/383 7195
- Unaccompanied shipments and insurance coverage
for personal effects and household goods
 ST/AI/264/Rev.1 7200
 ST/AI/264/Rev.1/Corr.1 7201
 ST/AI/264/Rev.1/Amend.1 7202
 ST/AI/264/Rev.1/Amend.2 7203

PERSONAL EMPLOYEES

- See: HOUSEHOLD MEMBERS

Subject Index

Manual
Document No.

PERSONAL IDENTIFICATION CARDS

- Personal identification cards - Headquarters
ST/AI/333 13120
- See: GROUNDS PASSES
SECURITY ARRANGEMENTS

PERSONAL INFORMATION ON STAFF

- Home addresses and telephone numbers
ST/IC/1995/16 4010
- Protecting personal information on staff members
PD/3/78 13200
- See: REFERENCE INQUIRIES

PERSONNEL FILES

- Personnel files
PD/3/55 12030
PD/3/55/Add.3 12031
- See: OFFICIAL STATUS FILE

PERSONNEL PAYROLL CLEARANCE ACTION

- See: PAYROLL CLEARANCE

PERSONNEL RECORD CARDS

- Maintenance of personnel record cards
ST/AI/105 12040

PERSONNEL RECORDS

- Filing of adverse material in personnel records
ST/AI/292 12050
- See: OFFICIAL STATUS FILE

Subject Index

Manual
Document No.

PLACEMENT AND PROMOTION

- Placement and promotion
 - ST/SGB/267 4085
 - ST/AI/413 4086
 - ST/IC/1993/66 4087
 - ST/IC/1993/66/Add.1 4088
 - ST/IC/1993/66/Corr.2 4088/B
- See: PROMOTION

PLACEMENT OF STAFF

- See: CAREER DEVELOPMENT

POST ADJUSTMENT

- Post adjustment classification for New York
 - ST/IC/1997/71 3180
- */- Schedule of post adjustment classification and threshold figures for the purpose of calculating rental subsidies ICSC/CIRC/PAC/... (issued monthly by ICSC) ----

PREMISES

- See: UNITED NATIONS PREMISES

PRIVATELY OWNED AUTOMOBILES

- Transportation of privately owned automobiles
 - ST/AI/176/Rev.3 7220
 - ST/AI/176/Rev.3/Corr.1 7221
 - ST/AI/176/Rev.3/Amend.1 7225
 - ST/AI/176/Rev.3/Amend.2 7226
 - ST/AI/176/Rev.3/Amend.3 7227
 - ST/AI/176/Rev.3/Amend.4 7228

*/- Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index

Manual
Document No.

PRIVILEGES AND IMMUNITIES

- Convention on the Privileges and Immunities of the United Nations, adopted by the General Assembly of the United Nations, 13 February 1946 1010

PROBATIONARY APPOINTMENT/STATUS

- Effective date of promotion of staff while on probationary status - Memorandum of 20 October 1987 from the Officer-in-Charge, SATD/OHRM, to all Executive Officers and Personnel Officers at Headquarters and to all Chiefs of Administration and Chiefs of Personnel at offices away from Headquarters 4351
- Notification of staff members - review of probationary appointments and five-year review of permanent appointments
 - PD/11/58 4390
 - PD/11/58/Rev.1 4391

PROFESSIONAL CATEGORY

- Language proficiency of staff in the Professional category and above
 - ST/AI/207 4410

PROFESSIONAL POSTS

- Classification system for Professional posts
 - ST/AI/277 2030
- See: CLASSIFICATION

Subject Index

Manual
Document No.

PROMOTION

-	Competitive examination for promotion to the Professional category of staff members from other categories	
	ST/SGB/173	4360
	ST/AI/418	4361
	ST/IC/1997/81	4362
*/ -	ST/IC/...../...	----
-	Implementation of changes to salary policy in promotions (with computation sheet for salary on promotion within a category (P.269) in annex I, and computation sheet for salary on promotion from the General Service to the Professional category (P.269/A) in annex II)	
	ST/AI/365	3220
	ST/AI/365/Corr.1	3221
-	Membership of the 1996/1997 Field Service Promotion Review Panel	
	ST/IC/1997/57	4121
-	Minimum periods of service in the grade for promotion in the Professional category	
	PD/2/67	4350
-	Movement of staff from the Field Service category to the Professional category	
	ST/AI/360/Rev.1	4380
	ST/AI/360/Rev.1/Corr.1	4381
-	Placement and promotion	
	ST/SGB/267	4085
	ST/AI/413	4086
	ST/IC/1993/66	4087
	ST/IC/1993/66/Add.1	4088
	ST/IC/1993/66/Corr.2	4088/B

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index

Manual
Document No.

- Policy for the recruitment and promotion of translators and translator/precis-writer trainees
 PD/9/59 4280
 RECR-I.2/B 4281
- Promotion from P-1 to P-2 and from P-2 to P-3 without reference to an appointment and promotion body
 PD/1/89 4352
- Review of General Service staff members recommended for promotion to the Professional category for the 1979 register
 ST/IC/81/19 4340
- See: PROBATIONARY APPOINTMENT/STATUS

PROPERTY MANAGEMENT

- Property management
 ST/IC/1993/21 13165

PROTECTION OF PERSONNEL

- Arrangements for the protection of personnel and property of the family of organizations of the United Nations (CCAQ Agreement, 1973)
 Field Administration Handbook, A/27-A/36A, May 1981 6120
- See: COMPENSATION
 SECURITY

RECOURSE PROCEDURES

- See: INTERNAL RECOURSE PROCEDURES

RECRUITMENT

- Policy for the recruitment and promotion of translators and translators/precis-writer trainees
 - PD/9/59 4280
 - RECR-I.2/B 4281
- Policy for the recruitment and training of interpreters
 - PD/12/59/Rev.1 4291
 - PD/12/59/Rev.1/Corr.1 4292
- Policy for the recruitment of editors and editor-trainees in the Official Records Editing Section
 - PD/2/81 4270
- Recruitment of external candidates to posts in the General Service and related categories at Headquarters
 - PD/1/94 4240
 - PD/1/94/Amend.1 4241
- Recruitment procedures for Professional staff
 - ST/AI/1997/7 4125
- Temporary suspension of recruitment
 - ST/SGB/247 4084
- See: APPOINTMENT
EMPLOYMENT
SERVICES OF INDIVIDUALS

RECTIFICATION OF DATE OF BIRTH AND OTHER PERSONAL DATA

- See: DATE OF BIRTH

Subject Index

Manual
Document No.

REFERENCE INQUIRIES

- Reference inquiries concerning former staff members
 PD/8/57 9080
- See: PERSONAL INFORMATION ON STAFF

REGISTRATION OF STAFF MEMBERS

- Registration of staff members and affiliates on Saturdays, Sundays, holidays and after office hours
 ST/AI/310 13130
- See: SECURITY ARRANGEMENTS

REIMBURSEMENT

- Reimbursement for travel by private motor vehicle
 ST/AI/224/Rev.1 7110
 ST/AI/1997/2 7111
- Reimbursement for work permit fees levied by the Egyptian authorities on United Nations employees of Egyptian nationality
 ST/IC/89/22 3080
- Reimbursement of costs of basic medical examinations for family members
 ST/AI/317 6130
 ST/AI/317/Amend.8 6131
- Reimbursement of taxi fares
 ST/AI/248 13190
 ST/AI/248/Amend.1 13191
- Reimbursement of the cost of accompanied excess baggage
 ST/AI/229 7210
 ST/AI/229/Add.1 7211
 ST/AI/229/Add.2 7212

RELEASE OF STAFF MEMBERS

- See: BAD WEATHER
EARLY RELEASE OF STAFF MEMBERS

RENTAL SUBSIDIES

- Rental subsidies and deductions for staff at duty stations outside Europe and North America
ST/AI/275/Rev.2 3200
- Rental subsidies and deductions for staff at duty stations in Europe and North America
 - ST/AI/350 3201
 - ST/AI/350/Amend.2 3202
 - ST/AI/350/Amend.3 3203
- */ - Schedule of post adjustment classification and threshold figures for the purpose of calculating rental subsidies, ICSC/CIRC/PAC/... (issued monthly by ICSC) ----

REPATRIATION GRANT

- Payment of repatriation grant
PD/1/80 9050
- Repatriation grant
 - */ ST/AI/262 ----
 - ST/AI/269 9042
 - ST/AI/300 9043

REPORTING OF INAPPROPRIATE USE OF UNITED NATIONS RESOURCES

- Reporting of inappropriate use of United Nations resources and proposals for improvement of programme delivery
ST/AI/397 1051
- See: STANDARDS OF CONDUCT

*/ Issued separately.

Subject Index

Manual
Document No.

REPRESENTATION

- Assistance and representation by counsel in disciplinary and appeal cases
 - ST/AI/351 11060
 - ST/AI/351/Amend.1 11061
- Official United Nations travel to and representation at conferences and meetings
 - ST/SGB/207/Rev.1 7072

REST STOPOVERS

- Standard of accommodation, travel time and rest stopovers
 - ST/AI/249/Rev.3 7102
 - ST/AI/249/Rev.3/Amend.4 7103

RETENTION IN SERVICE

- Retention in service and employment beyond the age of retirement
 - ST/AI/213/Rev.1 9060

RETIREMENT

- Employment of retirees
 - ST/IC/1997/62 9061
- Retention in service and employment beyond the age of retirement
 - ST/AI/213/Rev.1 9060

Subject Index

Manual
Document No.

REVIEW

- Notification of staff members - review of
probationary appointments and five-year review of
permanent appointments
 PD/11/58 4390
 PD/11/58/Rev.1 4391

- Review of General Service staff members
recommended for promotion to the Professional
category for the 1979 register
 ST/IC/81/19 4340

Subject Index

Manual
Document No.

SABBATICAL LEAVE PROGRAMME

- United Nations Sabbatical Leave Programme for the year 1997
 - ST/IC/1996/41 4475
 - ST/IC/1996/41/Corr.1 4476
- United Nations Sabbatical Leave Programme for the year 1998
 - ST/IC/1997/49 4477
- See: UPGRADING OF SUBSTANTIVE AND TECHNICAL SKILLS

SAFETY

- Security, safety and independence of the international civil service
 - ST/SGB/198 1070
- See: SECURITY

SAFETY MEASURES

- Instructions with respect to reporting of work injuries, safety measures and accident prevention
 - ST/AI/120/Rev.2 6080
- See: COMPENSATION

SALARIES AND ALLOWANCES

- Currency of payment of salaries and allowances
 - ST/AI/402 3050
- Dependency allowances for staff in the Professional and higher categories and in the Field Service category
 - ST/IC/1997/3 3380
 - ST/IC/1997/3/Corr.1 3381
- Direct deposit of salary
 - ST/AI/405 13001

SALARY ADVANCES

- See: ST/SGB/Staff Rules/1/Rev.9
Staff rule 103.14 - Salary advances

SALARY DIFFERENTIAL

- Salary differential for General Service staff in the language-typing and word-processing units, Office of Conference and Support Services, Headquarters
 - ST/AI/259/Rev.10 3130
 - ST/AI/259/Rev.10/Amend.8 3131

SALARY INCREMENT

- See: INCREMENT

SALARY POLICY IN PROMOTIONS

- Implementation of changes to salary policy in promotions (with computation sheet for salary on promotion within a category (P.269) in annex I, and computation sheet for salary promotions from the General Service to the Professional category (P.269/A) in annex II)
 - ST/AI/365 3220
 - ST/AI/365/Corr.1 3221

SALARY SCALES

- Revised base salary scale for staff in the Professional and higher categories and for staff in the Field Service category
 - ST/IC/1997/2 3110
- Revised format of salary scales of locally-recruited staff
 - ST/IC/1994/17 3126

Subject Index

Manual
Document No.

- Revised salary scale for staff in the Trades and Crafts category at Headquarters, and results of the salary survey conducted for the Security Service category
ST/IC/1995/51 3124
- Revised salary scale for staff in the Security Service category at Headquarters
ST/IC/1997/74 3120
- Revised salary scales for staff in the General Service, Trades and Crafts, Public Information Assistant and Language Teacher categories at Headquarters
ST/IC/1997/10 3123

SECONDMENT

- Inter-Organization Agreement concerning transfer, secondment or loan of staff among the organizations applying the United Nations common system of salaries and allowances
ACC/1992/PER/CM/9 4510

SECRETARIAT

- */ - Organization of the Secretariat of the United Nations
ST/SGB/1997/5 ----
- Personnel arrangements for the Office of Internal Oversight Services
ST/AI/401 90A
- Staff-Management Co-ordination Committee
ST/SGB/1997/12 8040
- See: ACCESS TO THE SECRETARIAT BUILDING AND THE UNITED NATIONS GARAGE

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

SECURITY

- */ - Reporting of arrest or detention of staff members,
other agents of the United Nations and members of
their families
ST/AI/299 -----
- Security, safety and independence of the
international civil service
ST/SGB/198 1070
- See: FIELD SECURITY HANDBOOK (EXCERPTS)
PROTECTION OF PERSONNEL

SECURITY ARRANGEMENTS

- Arrangements for admission to the premises at
United Nations Headquarters during the
fifty-second session of the General Assembly
ST/IC/1997/55 13112
ST/IC/1997/56 13113
- Security arrangements for admission to United
Nations Headquarters
ST/AI/387 13111
- See: GROUNDS PASSES
IDENTIFICATION CARDS
KEYS
MATERIAL AND PACKAGE PASSES
REGISTRATION OF STAFF MEMBERS

SECURITY OFFICERS

- Authority of United Nations security officers
ST/AI/309/Rev.2 13110

SECURITY OF INFORMATION

- Security of information
ST/SGB/272 1060

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Subject Index

Manual
Document No.

SECURITY OF VALUABLE ARTICLES

- Security of valuable articles: lost and found property
ST/AI/227 13150

SENIOR ADVISORY BOARD

- Establishment of a Senior Advisory Board on Services to the Public
ST/SGB/231 175

SENIOR REVIEW GROUP

- Senior Review Group for the filling of posts at the Director (D-2) and higher levels
ST/SGB/266 4100
ST/SGB/266/Amend.1 4102
- Procedures of the Senior Review Group for the filling of posts at the Director (D-2) and higher levels
ST/AI/392 4101

SEPARATION FROM SERVICE

- Separation payments for staff in the Professional and higher categories and for staff in the Field Service category
ST/IC/1992/18 9092
- Separation procedures in the event of death of a staff member
PD/1/1991 9010
- See: PAYROLL CLEARANCE

Subject Index	Manual Document No.
---------------	------------------------

SERVICE CREDIT

- Accrual of service credits by staff members who are assigned to serve on technical assistance projects under an OPAS contract
PD/4/69 5020

SERVICES OF INDIVIDUALS

- Policies for obtaining the services of individuals on behalf of the Organization
ST/SGB/177 4140
- See: CONSULTANTS
CONTRACTORS
TECHNICAL COOPERATION PERSONNEL
USE OF WAE CONTRACTS

SEXUAL HARASSMENT

- Procedures for dealing with sexual harassment
ST/AI/379 1166
- Promotion of equal treatment of men and women in the Secretariat and prevention of sexual harassment
ST/SGB/253 1165
- See: STANDARDS OF CONDUCT

SHIPPING AND INSURANCE PROCEDURES

- Shipping and insurance procedures for shipments of personal effects and household goods
ST/AI/238/Rev.1 7190
- See: UNACCOMPANIED SHIPMENTS AND INSURANCE
COVERAGE

Subject Index

Manual
Document No.

SICK LEAVE

- Administration of sick leave
 - PD/4/77 6040
 - PD/4/77/Add.2 6041
- See: TIME, ATTENDANCE AND LEAVE RECORDING

SMOKING

- Cessation of tobacco smoking at United Nations Headquarters
 - ST/IC/1997/33 13211
- Smoking at United Nations Headquarters
 - ST/AI/407 13210

SPECIAL ASSISTANTS

- Contractual status of special assistants
 - PD/2/88 4130

SPECIAL EDUCATION GRANT

- Education grant and special education grant for disabled children
 - ST/AI/181/Rev.10 3320
 - ST/AI/181/Rev.10/Corr.1 3321
 - ST/AI/181/Rev.10/Amend.1 3322
 - ST/AI/181/Rev.10/Amend.2 3323

SPECIAL ENTITLEMENTS

- Special entitlements for staff members serving at designated duty stations
 - ST/AI/280/Rev.6 7060
 - ST/AI/280/Rev.6/Amend.6 7061
 - ST/AI/280/Rev.6/Amend.6/Corr.1 7062

Subject Index

Manual
Document No.

SPECIAL LEAVE

- Special leave for jury duty and other appearances
in court
 PD/3/77 5040
- Special leave in case of adoption of a child
 PD/3/88 5041
 PD/3/88/Amend.1 5042
- The effect of special leave without pay on time
of home leave
 PD/14/58 5070

SPECIAL MEASURES FOR THE ACHIEVEMENT OF GENDER EQUALITY

- Policies to achieve gender equality in the United
Nations
 ST/SGB/282 1175
- Special measures for the achievement of gender
equality
 ST/AI/412 1176
- See: EQUAL TREATMENT OF MEN AND WOMEN IN THE
SECRETARIAT
IMPROVEMENT OF THE STATUS OF WOMEN

SPECIAL POST ALLOWANCE

- Assignment of staff members from other categories
to Professional posts and granting of special
post allowance to the Professional category
 ST/AI/276 3260
- Special post allowance
 PD/1/84/Rev.1 3270
 PD/1/84/Rev.1/Amend.1 3271

Subject Index

Manual
Document No.

SPECIAL SERVICE AGREEMENTS

- See: SERVICES OF INDIVIDUALS

SPLIT SHIPMENTS

- See: PERSONAL EFFECTS AND HOUSEHOLD GOODS

SPOUSES

- Employment of spouses
ST/AI/273 4210

STAFF MANAGEMENT RELATIONS

- Procedures and terms of reference of the staff-
management consultation machinery at the
departmental or office level
ST/SGB/274 8031
- Staff-Management Co-ordination Committee
ST/SGB/1997/12 8040
- Staff-management relations: decentralization of
consultation procedure
ST/SGB/172 8030
- See: JOINT ADVISORY COMMITTEE
STAFF REPRESENTATIVES

STAFF RECREATION COUNCIL

- Constitution of the United Nations Staff
Recreation Council, amended June 1981 8020

Subject Index	Manual Document No.
---------------	------------------------

STAFF REGULATIONS AND RULES

-	Administration of the Staff Regulations and Staff Rules	
	ST/SGB/151	100
	ST/AI/234/Rev.1	112
	ST/AI/234/Rev.1/Amend.1	113
-	Administration of the Staff Regulations and Staff Rules	
	PD/1/77	120
	PD/2/65/Add.2	123
<u>*/</u>	Staff Regulations of the United Nations	
	ST/SGB/Staff Regulations/Rev.23 and Amend.1 (1995) and Amend.2 (1997)	----

STAFF REPRESENTATIVES

-	Facilities to be provided to staff representatives	
	ST/AI/293	8060
-	See: STAFF MANAGEMENT RELATIONS	

STAFF RULES

-	Administration of the 300 series of the Staff Rules	
	PD/2/78	125
-	Medical scheme for staff appointed under the 300 series of the Staff Rules	
	ST/IC/86/44	6180
<u>*/</u>	Staff Rules of the United Nations	
	ST/SGB/Staff Rules/1/Rev.9	----
	ST/SGB/Staff Rules/2/Rev.8 and Amend.1	----
	ST/SGB/Staff Rules/3/Rev.5	----

*/ Issued separately.

Subject Index

Manual
Document No.

STAFF UNION

- Statute and Rules of the Staff Union of the United Nations Secretariat, New York 1993 8010

STANDARD OF ACCOMMODATION

- Standard of accommodation, travel time and rest stopovers
 - ST/AI/249/Rev.3 7102
 - ST/AI/249/Rev.3/Amend.4 7103

STANDARDS OF CONDUCT

- Conduct of staff in their relations with government representatives
 - ST/IC/1996/10 1120
- Establishment of the Office of Internal Oversight Services
 - ST/SGB/273 1050
- Financial and other obligations of staff
 - ST/AI/399 1040
- Report on Standards of Conduct in the International Civil Service - prepared by the International Civil Service Advisory Board
 - COORD/CIVIL SERVICE/5 1030
- Reporting of inappropriate use of United Nations resources and proposals for improvement of programme delivery
 - ST/AI/397 1051

Subject Index

Manual
Document No.

- Terms of reference for investigations by the
Office of Internal Oversight Services:
"Mismanagement, misconduct, waste of resources
and abuse of authority"
ST/IC/1996/29 1052
- See: ACCEPTANCE OF PAYMENTS
CONDUCT OF STAFF
SEXUAL HARASSMENT

STATUS OF WOMEN

- See: GENDER EQUALITY
IMPROVEMENT OF THE STATUS OF WOMEN

STATUS REPORT

- Dependency benefits
ST/IC/1996/40 3340
- See: DEPENDANTS/DEPENDENCY

STEERING COMMITTEE

- Report of the Steering Committee for the
Improvement of the Status of Women in the
Secretariat
ST/SGB/216 1180
ST/SGB/216/Add.6 1188

SUBSISTENCE ALLOWANCE

- See: TRAVEL SUBSISTENCE ALLOWANCE

SUBSTANCE ABUSE

- See: ALCOHOL/SUBSTANCE ABUSE

Subject Index

Manual
Document No.

TAXATION

- Changes in United States tax legislation concerning individuals in the United States who are not United States nationals
ST/IC/84/74 13070
- Significant changes in United States estate tax and their possible effect on non-United States citizen staff members
ST/IC/1991/39 13075
- See: DUTY-FREE AND TAX-FREE ENTRY
INCOME TAX
NON-UNITED STATES STAFF MEMBERS

TAXI FARES

- Reimbursement of taxi fares
ST/AI/248 13190
ST/AI/248/Amend.1 13191

TECHNICAL CO-OPERATION PERSONNEL

- Technical co-operation personnel and Operational, Executive and Administrative Services (OPAS) officers
ST/AI/297 4190
ST/AI/297/Add.1 4191
- See: SERVICES OF INDIVIDUALS

TEMPORARY STAFF

- Temporary staff and individual contractors
ST/AI/295 4170
ST/AI/295/Amend.1 4171
- See: SERVICES OF INDIVIDUALS

Subject Index	Manual Document No.
---------------	------------------------

TERMINAL EXPENSES

- Terminal expenses
 ST/AI/206/Rev.3 7120
 ST/AI/206/Rev.3/Amend.2 7121

TERMINATION OF APPOINTMENTS

- Procedure to be followed in case of termination
of permanent appointment for unsatisfactory
services
 ST/AI/222 9020
- Termination of appointments for reasons of health
 PD/3/80 9030

THRESHOLD FIGURES

- */ - Schedule of post adjustment classification and
threshold figures for the purpose of calculating
rental subsidies, ICSC/CIRC/PAC/... (issued
monthly by ICSC) ----

TIME, ATTENDANCE AND LEAVE RECORDING

- Time, attendance and leave recording
 ST/AI/221/Rev.1 5010
 ST/AI/221/Rev.1/Amend.1 5011
 ST/AI/221/Rev.1/Add.1 5012

TIME OFF

- Time off for voting on United States election day
 ST/IC/1997/69 13090

*/ Issued separately.

Subject Index

Manual
Document No.

TORT CLAIMS

- Resolution of tort claims - Tort Claims Board
ST/SGB/230 13055
- See: CLAIMS BOARD

TRAINING

- In-service training and career development for
Secretariat staff
ST/SGB/144 4450
- Policy for the recruitment and training of
interpreters
PD/12/59/Rev.1 4291
PD/12/59/Rev.1/Corr.1 4292
- See: CAREER DEVELOPMENT
INFORMATION TECHNOLOGY TRAINING
LANGUAGE TRAINING PROGRAMME
MISSION
SABBATICAL LEAVE
UPGRADING OF SUBSTANTIVE AND TECHNICAL SKILLS

TRANSFER

- Inter-Organization Agreement concerning transfer,
secondment or loan of staff among the
organizations applying the United Nations common
system of salaries and allowances
ACC/1992/PER/CM/9 4510

TRANSLATORS

- Policy for the recruitment and promotion of
translators and translator/precis-writer trainees
PD/9/59 4280
RECR-I.2/B 4281

TRANSPORTATION

- Transportation of privately-owned automobiles
 - ST/AI/176/Rev.3 7220
 - ST/AI/176/Rev.3/Corr.1 7221
 - ST/AI/176/Rev.3/Amend.1 7225
 - ST/AI/176/Rev.3/Amend.2 7226
 - ST/AI/176/Rev.3/Amend.3 7227
 - ST/AI/176/Rev.3/Amend.4 7228

TRAVEL

- Family visit travel
 - ST/AI/215/Rev.1 7030
- Guide to the issuance of United Nations travel documents, PAH/INF.78/2, June 1978 7020
- Home leave travel within the home country
 - PD/16/58 5060
- Information for United Nations travellers
 - ST/AI/257 7010
- Official travel of United Nations staff members in the United States
 - ST/IC/86/4 13005
- Official United Nations travel to and representation at conferences and meetings
 - ST/SGB/207/Rev.1 7072
- Option of a lump-sum payment for travel by air in lieu of provision by the Organization of travel tickets and related entitlements on home leave, education grant and family visit travel
 - ST/IC/1990/13 7000
 - ST/IC/1991/13/Amend.5 7001
- Reimbursement for travel by private motor vehicle
 - ST/AI/224/Rev.1 7110
 - ST/AI/1997/2 7111

Subject Index

Manual
Document No.

- Standard of accommodation, travel time and rest stopovers
 - ST/AI/249/Rev.3 7102
 - ST/AI/249/Rev.3/Amend.4 7103
- Travel advances
 - ST/AI/381 7130
- Travel of staff members and dependants in hardship cases
 - PD/2/73 7050
- Travel on home leave
 - PD/24/56 5050

TRAVEL SUBSISTENCE ALLOWANCE

- Computation of travel subsistence allowance
 - ST/AI/196 7140
 - ST/AI/196/Amend.1 7141
- Rules governing payment of travel expenses and subsistence allowances in respect of members of organs or subsidiary organs of the United Nations
 - ST/SGB/107/Rev.6 1022
- See: ASSIGNMENT/S

UNACCOMPANIED SHIPMENTS AND INSURANCE COVERAGE

- Unaccompanied shipments and insurance coverage
for personal effects and household goods
 - ST/AI/264/Rev.1 7200
 - ST/AI/264/Rev.1/Corr.1 7201
 - ST/AI/264/Rev.1/Amend.1 7202
 - ST/AI/264/Rev.1/Amend.2 7203

- See: PERSONAL EFFECTS AND HOUSEHOLD GOODS

UNITED NATIONS ADMINISTRATIVE TRIBUNAL

- */ - Statute and Rules of the United Nations
Administrative Tribunal
 - AT/11/Rev.4, 1972 -----

UNITED NATIONS MISSIONS

- See: MISSION

UNITED NATIONS PREMISES

- */ - Delivery and picking up of packages
 - ST/IC/84/85 -----

- Delivery of personal packages, mail and
periodicals to United Nations premises
 - ST/IC/89/50 13180

- See: ADMISSION TO THE PREMISES
HEADQUARTERS OF THE UNITED NATIONS

UNITED STATES SOCIAL SECURITY PROGRAMME

- Household employees of United Nations staff
members: participation in the United States
Social Security Programme
 - ST/IC/1997/18 13023

*/ Issued separately.

UNITED STATES TAX LEGISLATION

- Changes in United States tax legislation concerning individuals in the United States who are not United States nationals
ST/IC/84/74 13070
- Significant changes in United States estate tax and their possible effect on non-United States citizen staff members
ST/IC/1991/39 13075
- See: INCOME TAX

UPGRADING OF SUBSTANTIVE AND TECHNICAL SKILLS

- Upgrading of substantive and technical skills
ST/AI/1997/4 4480
- See: SABBATICAL LEAVE PROGRAMME
TRAINING

USE OF WAE CONTRACTS

- Use of "when actually employed" contracts for special representatives, envoys and other special high-level positions
ST/SGB/283 4145

Subject Index	Manual Document No.
---------------	------------------------

VAN BREDA MEDICAL HOSPITAL AND DENTAL INSURANCE

- See: HEALTH INSURANCE

VISA STATUS OF NON-UNITED STATES STAFF MEMBERS

- Cancellation of G-4 and G-5 visas on separation
or transfer of staff members
ST/IC/1996/49 13021
- New requirements by the host country for personal
employees on a G-5 visa
ST/IC/1997/13 13022
- Visa status of non-United States staff members
serving in the United States
ST/AI/294 13020
- See: G-4/G-5 VISAS
IMMIGRATION

VISUAL DISPLAY UNITS

- Guidelines for work with visual display units
ST/IC/84/18 13100
ST/IC/84/18/Amend.1 13101

VOTING

- Time off for voting on United States election day
ST/IC/1997/69 13090

WAE CONTRACTS

- See: USE OF WAE CONTRACTS

WITHHOLDING OF SALARY INCREMENT

- Withholding of salary increment
PD/5/69 3210

WOMEN

- See: EQUAL TREATMENT OF MEN AND WOMEN
GENDER EQUALITY
IMPROVEMENT OF THE STATUS OF WOMEN

WORK INJURIES

- Instructions with respect to reporting of work
injuries, safety measures and accident prevention
ST/AI/120/Rev.2 6080
- See: COMPENSATION

WORK PERMIT FEES

- Reimbursement for work permit fees levied by the
Egyptian authorities on United Nations employees
of Egyptian nationality
ST/IC/89/22 3080

WORKING HOURS

- Introduction of staggered working hours
ST/AI/408 1231
- Working hours and overtime
ST/ADM/SER.A/1379 1210
- Working hours during the fifty-second session
of the General Assembly
ST/IC/1997/48 1230

Subject Index

Manual
Document No.

WORKING LANGUAGES

- Use of working languages of the Secretariat
ST/SGB/212 4401

- See: LANGUAGE PROFICIENCY
LANGUAGE TRAINING PROGRAMME

UNITED NATIONS PERSONNEL MANUAL
DOCUMENTS RELATING TO INTRODUCTION

TABLE OF CONTENTS

Introduction	Manual Document No.
 PERSONNEL LEGISLATION	
Charter of the United Nations (Articles 8, 97, 100, 101, 105)	10
* / Staff Regulations of the United Nations	
ST/SGB/Staff Regulations/Rev.23 (1995)	---
ST/SGB/Staff Regulations/Rev.23/Amend.1 (1995)	---
ST/SGB/Staff Regulations/Rev.23/Amend.2 (1997)	---
* / Staff Rules of the United Nations	
ST/SGB/Staff Rules/1/Rev.9 (1997)	---
ST/SGB/Staff Rules/2/Rev.8 (1995) and Amend.1 (1996)	---
ST/SGB/Staff Rules/3/Rev.5 (1994)	---
* / Regulations of the Joint Staff Pension Fund	
JSPB/G.4/Rev.14 (January 1990)	---
* / Statute and Rules of the United Nations Administrative Tribunal	
AT/11/Rev.4 (1972)	---
 PERSONNEL ADMINISTRATION	
<u>Organization of the Secretariat</u>	
* / Organization of the Secretariat of the United Nations	
ST/SGB/1997/5 (12 September 1997)	---
Personnel arrangements for the Office of Internal Oversight Services	
ST/AI/401 (18 January 1995)	90/A

* / Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Administration of Staff Regulations and Staff Rules

Administration of the Staff Regulations and Staff Rules	
ST/SGB/151 (7 January 1976)	100
ST/AI/234/Rev.1 (22 March 1989)	112
ST/AI/234/Rev.1/Amend.1 (14 June 1990)	113
Administration of the Staff Regulations and Staff Rules	
PD/1/77 (24 April 1977)	120
PD/2/65/Add.2 (6 April 1967)	123
Administration of the 300 series of the Staff Rules	
PD/2/78 (1 June 1978)	125
Procedures for the promulgation of administrative issuances	
ST/SGB/1997/1 (28 May 1997)	130
* / Index to administrative issuances	
ST/IC/1998/1 (1998)	---
Information circulars	
ST/SGB/1997/2 (28 May 1997)	135
* / Index to information circulars	
ST/IC/1998/2 (1998)	---
 GENERAL	
Designation of staff members performing significant functions in financial management, personnel management and general services administration	
ST/SGB/213/Rev.1 (30 April 1991)	170
Establishment of a Senior Advisory Board on Services to the Public	
ST/SGB/231 (20 June 1989)	175

* / Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Introduction

Manual
Document No.

Integrated Management Information System (IMIS): Definition of responsibility for the implementation and operation of the system and the terms of reference of the Steering Committee ST/SGB/276 (27 April 1995)	180
For internal recourse procedures in the United Nations Secretariat, see ST/IC/82/7, in Chapters X and XI (11090)	---
<u>*/</u> For personnel directives, see ST/IC/83/21 and its addenda.	---
For career development and placement of staff, see ST/IC/86/52 and ST/IC/86/62, in Chapter IV (4440-4441)	---

*/ Issued separately.



DOCUMENTS RELATING TO CHAPTER I
DUTIES, OBLIGATIONS AND PRIVILEGES

TABLE OF CONTENTS

Chapter I	Manual Document No.
GENERAL	
Convention on the Privileges and Immunities of the United Nations, adopted by the General Assembly of the United Nations, 13 February 1946	1010
Agreement between the United Nations and the United States of America regarding the Headquarters of the United Nations, adopted by resolution 169 (II) of the General Assembly, 31 October 1947	1020
Guidelines for the preparation of host government agreements falling under General Assembly resolution 40/243 ST/AI/342 (8 May 1987)	1021
Rules governing payment of travel expenses and subsistence allowances in respect of members of organs or subsidiary organs of the United Nations ST/SGB/107/Rev.6 (25 March 1991)	1022
See Guide to the Issuance of United Nations Travel Documents, PAH/INF.78/2, 1 June 1978, in Chapter VII (7020)	----
STAFF REGULATIONS	
Report on Standards of Conduct in the International Civil Service 1954 - prepared by the International Civil Service Advisory Board COORD/CIVIL SERVICE/5 (1986 edition)	1030

Chapter I

Manual
Document No.

Financial and other obligations of staff members ST/AI/399 (14 December 1994)	1040
Establishment of the Office of Internal Oversight Services ST/SGB/273 (7 September 1994)	1050
Reporting of inappropriate use of United Nations resources and proposals for improvement of programme delivery ST/AI/397 (7 September 1994)	1051
Terms of reference for investigations by the Office of Internal Oversight Services: "Mismanagement, misconduct, waste of resources and abuse of authority" ST/IC/1996/29 (25 April 1996)	1052
Security of information ST/SGB/272 (9 August 1994)	1060
Security, safety and independence of the international civil service ST/SGB/198 (10 December 1982)	1070
*/ Reporting of arrest or detention of staff members, other agents of the United Nations and members of their families ST/AI/299	----
Reporting of arrest or detention of staff members, other agents of the United Nations, and members of their families; security evacuation status, annex I (Excerpts from the United Nations Field Security Handbook, 1992)	1080
Acceptance of payments from Governments to supplement United Nations emoluments ST/AI/380 (23 December 1992)	1115

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Conduct of staff in their relations with Government representatives	
ST/IC/1996/10 (2 February 1996)	1120
Missions roster	
ST/IC/1993/23 (5 April 1993)	1152
Promotion of equal treatment of men and women in the Secretariat and prevention of sexual harassment	
ST/SGB/253 (29 October 1992)	1165
Procedures for dealing with sexual harassment	
ST/AI/379 (29 October 1992)	1166
Guidelines for promoting equal treatment of men and women in the Secretariat	
ST/IC/1992/67 (29 October 1992)	1171
Policies to achieve gender equality in the United Nations	
ST/SGB/282 (5 January 1996)	1175
Special measures for the achievement of gender equality	
ST/AI/412 (5 January 1996)	1176
Steering Committee for the Improvement of the Status of Women in the Secretariat	
ST/SGB/216 (7 March 1986)	1180
ST/SGB/216/Add.6 (31 January 1996)	1188
Preservation and disposition of gifts and historical items	
ST/SGB/136 (1 February 1971)	1190

STAFF RULES

S.R. 100.1: Applicability

Granting of status of staff members to full-time language teachers	
ST/AI/316 (6 March 1984)	1200

S.R. 101.2: Hours of work

Working hours and overtime ST/ADM/SER.A/1379 (24 December 1969)	1210
Working hours during the fifty-second session of the General Assembly ST/IC/1997/48 (13 August 1997)	1230
Introduction of staggered working hours ST/AI/408 (1 August 1995)	1231
Early release of staff members in bad weather or other conditions ST/AI/260 (29 November 1978)	1240

S.R. 101.3: Official holidays

Official holidays ST/AI/283 (27 January 1982)	1250
*/ Official holidays and closure of Headquarters buildings to the public ST/IC/1997/80 (25 November 1997)	----

S.R. 101.6: Outside activities and interests

Outside activities of members of the Secretariat ST/AI/190/Rev.1 (2 May 1983)	1260
--	------

S.R. 101.9 Non-acceptance of any honour, decoration,
favour, gift or remuneration from external
sources

See Acceptance of payments from Governments to supplement United Nations emoluments, ST/AI/380, above. (1115)	----
---	------

*/
Issued separately.

DOCUMENTS RELATING TO CHAPTER II
CLASSIFICATION OF POSTS AND STAFF

TABLE OF CONTENTS

Chapter II	Manual Document No.
GENERAL	
Classification system for Professional posts ST/AI/277 (10 November 1980)	2030
Membership of the Classification Appeals and Review Committee for posts in the Professional category ST/IC/1997/66 (14 October 1997)	2040
Implementation of ICSC classification standards PD/1/81 (6 January 1981)	2050
Job classification of Professional and above posts ST/IC/81/13 (4 March 1981)	2060
General Service job classification ST/IC/81/21 (19 March 1981)	2070
Initial classification of General Service posts in New York ST/AI/301 (10 March 1983)	2090
ST/AI/301/Add.1 (12 July 1983)	2091
Procedures for appeal of classification decisions for posts in the General Service and related categories in New York ST/AI/358 (31 July 1989)	2120
ST/AI/358/Amend.1 (21 April 1994)	2121
Membership of the New York General Service Classification Appeals and Review Committee ST/IC/1997/67 (14 October 1997)	2125
ST/IC/1997/67/Amend.1 (31 December 1997)	2126

Classification of posts in the General Service and related categories in small and medium-sized duty stations	
ST/AI/369 (30 April 1991)	2130
ST/AI/369/Amend.1 (22 October 1991)	2131
Classification standards for security jobs at Headquarters	
ST/AI/332 (7 November 1985)	2140
Classification system for Field Service category posts	
ST/AI/344 (3 August 1987)	2150
Implementation of the initial General Service classification exercise and the maintenance of the classification system at Bangkok	
ST/AI/398 (19 September 1994)	2160
Implementation of the initial classification of posts in the General Service and related categories in the Economic and Social Commission for Western Asia	
ST/AI/377 (15 September 1992)	2170
ST/AI/377/Add.1 (18 November 1993)	2171
Delegation of authority for the classification of posts in the General Service and related categories at Vienna	
ST/AI/378 (22 October 1992)	2180
Implementation of the initial General Service classification exercise at Addis Ababa	
ST/AI/356 (4 May 1989)	2190
ST/AI/356/Add.1 (8 October 1991)	2191
Implementation of the initial General Service classification exercise and the maintenance of the classification system at Nairobi	
ST/AI/389 (13 October 1993)	2200

Implementation of the initial General Service
classification exercise and the maintenance of the
classification system at Santiago

ST/AI/410 (14 September 1995)	2210
ST/AI/410/Corr.1 (31 October 1996)	2211

DOCUMENTS RELATING TO CHAPTER III

SALARIES AND RELATED ALLOWANCES

TABLE OF CONTENTS

Chapter III	Manual Document No.
GENERAL	
*/ Financial Regulations and Rules (series 100) ST/SGB/Financial Rules/1/Rev.3 (1985)	----
*/ Status and Rules of Procedure of the International Civil Service Commission, ICSC/1	----
*/ Certifying and approving officers ST/AI/352 (28 June 1988) ST/AI/352/Add.2/Rev.1 (18 March 1991)	---- ----
*/ Changed audit emphasis by United Nations Board of Auditors ST/AI/241 (8 October 1976)	----
See General information on conditions of service applicable to appointments of one year or more in the Professional and higher categories (P.96), Attachment No. 1, Statement of emoluments (P.96/A) and Attachment No.2, Medical and travel instruction (P.96/B) in Chapter IV. (4040)	----
See General information on conditions of service applicable to appointments of less than one year (normally six to eleven months) in the Professional and higher categories (P.98), Attachment No. 1, Statement of emoluments (P.98/A) and Attachment No. 2, Medical and travel instruction (P.98/B) in Chapter IV. (4050)	----

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

See General information on conditions of service applicable to General Service staff recruited internationally (appointments of one year or more) (P.280), Attachment No. 1, Statement of emoluments (P.280/A) and Attachment No. 2, Medical and travel instruction (P.280/B) in Chapter IV. (4055) -----

Currency of payment of salaries and allowances
ST/AI/402 (23 March 1995) 3050

Adjustment of mid-month salary advances
ST/ADM/SER.A/1938 (5 February 1976) 3060

Staff Regulation 3.3

Payment of income taxes
ST/IC/1996/73 (10 December 1996) 3070

Reimbursement for work permit fees levied by the Egyptian authorities on United Nations employees of Egyptian nationality
ST/IC/89/22 (28 March 1989) 3080

Staff Regulations, Annex I

Official hospitality
ST/AI/192/Rev.2 (31 March 1993) 3100

STAFF RULES

S.R. 103.1: Salary scales for Field Service personnel

Revised base salary scale for staff in the Professional and higher categories and for staff in the Field Service category
ST/IC/1997/2 (7 January 1997) 3110

S.R. 103.2 and 103.3: Salary scales for General Service
and other categories

Revised salary scale for staff in the Security Service category at Headquarters ST/IC/1997/74 (13 November 1997)	3120
Revised salary scales for staff in the General Service, Trades and Crafts, Public Information Assistant and Language Teacher categories at Headquarters ST/IC/1997/10 (31 January 1997)	3123
Revised salary scale for staff in the Trades and Crafts category at Headquarters, and results of the salary survey conducted for the Security Service category ST/IC/1995/51 (16 August 1995)	3124
Pensionable remuneration for staff in the General Service and related categories ST/IC/1994/15 (19 April 1994)	3125
Revised format of salary scales of locally recruited staff ST/IC/1994/17 (25 April 1994)	3126
Salary differential for General Service staff in the language-typing and word-processing units, Office of Conference and Support Services, Headquarters ST/AI/259/Rev.10 (27 February 1989) ST/AI/259/Rev.10/Amend.8 (23 May 1997)	3130 3131

S.R. 103.5: Non-resident's allowance

Non-resident's allowance ST/AI/314 (27 January 1984)	3140
ST/AI/314/Add.1 (16 January 1985)	3141

S.R. 103.6: Language allowance

Language allowance for staff in the Trades and Crafts category at Headquarters ST/IC/1990/63 (30 August 1990)	3145
See Linguistic standards of staff in Chapter IV. (4410)	----

S.R. 103.7: Post Adjustment

*/ Schedule of post adjustment classification and threshold figures for the purpose of calculating rental subsidies ICSC/CIRC/PAC/____ (issued monthly by ICSC)	----
Post adjustment classification for New York ST/IC/1997/71 (31 October 1997)	3180
Rental subsidies and deduction for staff at duty stations outside Europe and North America ST/AI/275/Rev.2 (23 November 1988)	3200
Rental subsidies and deductions for staff at duty stations in Europe and North America ST/AI/350 (27 April 1988)	3201
ST/AI/350/Amend.2 (6 February 1992)	3202
ST/AI/350/Amend.3 (23 May 1996)	3203
Threshold percentage for the purpose of calculating rental subsidies ST/IC/1996/43 (19 July 1996)	3205

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

S.R. 103.8: Salary and wage increments

Accelerated increments: See Linguistic standards of staff in Chapter IV. (4410)	----
Withholding of salary increments PD/5/69 (3 December 1969)	3210
See Performance appraisal system, ST/SGB/1997/13, ST/AI/411 and Corr.1, ST/AI/1997/8 and ST/IC/1997/83 in Chapter XII. (12010-12014)	----

S.R. 103.9: Salary policy in promotion

Implementation of changes to salary policy in promotion (with computation sheet P.269 in annex I, and computation sheet P.269/A in annex II)	
ST/AI/365 (13 August 1990)	3220
ST/AI/365/Corr.1 (24 September 1990)	3221

S.R. 103.11: Special post allowance

Assignment of staff members from other categories to Professional posts and granting of special post allowance to the Professional category	
ST/AI/276 (28 August 1990)	3260
Special post allowance	
PD/1/84/Rev.1 (28 September 1990)	3270
PD/1/84/Rev.1/Amend.1 (20 October 1992)	3271

S.R. 103.12 and 103.13: Overtime and compensatory time
off and night differential

See Appendix B to the Staff Rules	----
Overtime compensation at Headquarters ST/AI/265 (16 May 1979)	3280

S.R. 103.16: Pensionable remuneration

Pensionable remuneration for staff in the Professional and higher categories and for staff in the Field Service category
ST/IC/1997/73 (11 November 1997) 3300

See revised base salary scale for staff in the Professional and higher categories and for staff in the Field Service category, ST/IC/1997/2, under staff rule 103.1 above. ----

S.R. 103.20: Education Grant

Education grant and special education grant for disabled children
ST/AI/181/Rev.10 (26 June 1995) 3320
ST/AI/181/Rev.10/Corr.1 (21 July 1995) 3321
ST/AI/181/Rev.10/Amend.1 (30 January 1996) 3322
ST/AI/181/Rev.10/Amend.2 (4 March 1997) 3323

See Special entitlements for staff members serving at designated duty stations, ST/AI/280/Rev.6 and Amend.6 and Amend.6/Corr.1, in Chapter VII. (7060-7062) ----

S.R. 103.21: Salary and allowances during mission assignments

Mission subsistence allowance
ST/AI/1997/6 (20 October 1997) 3330

S.R. 103.22: Mobility and hardship allowance

Mobility and hardship allowance
ST/AI/363 and Corr.1 (1 and 17 August 1990) 3337
ST/AI/363/Add.1 (7 November 1990) 3338
ST/AI/363/Add.2 (8 March 1991) 3339
ST/IC/1997/38 (26 June 1997) 3339/A

S.R. 103.23 and 103.24: Dependency allowances and
Definition of dependency

Dependency benefits ST/IC/1996/40 (9 July 1996)	3340
See Note for Staff Members - Change in marital or dependency status, P.94 (3-87)E, in Chapter VI. (6030)	----
Definition of dependency status ST/AI/278/Rev.1 (25 May 1982)	3350
Dependency allowance ST/IC/82/48 (1 July 1982)	3360
Dependency allowance or benefit for disabled children ST/AI/366 (28 September 1990)	3370
ST/AI/366/Amend.1 (20 January 1993)	3371
Dependency allowances for staff in the Professional and higher categories and in the Field Service category ST/IC/1997/3 (7 January 1997)	3380
ST/IC/1997/3/Corr.1 (21 January 1997)	3381
Revised dependency allowances for staff in the General Service, Language Teacher, Public Information, Trades and Crafts, and Security Service categories at Headquarters ST/IC/1995/51 (16 August 1995)	3124
ST/IC/1997/10 (31 January 1997)	3123

)

)

)

DOCUMENTS RELATING TO CHAPTER IV

APPOINTMENT AND PROMOTION

TABLE OF CONTENTS

Chapter IV	Manual Document No.
GENERAL	
Request for rectification of date of birth or of other personal data ST/AI/354 (27 July 1988)	4000
Home addresses and telephone numbers ST/IC/1995/16 (31 March 1995)	4010
National competitive examinations ST/SGB/210 (22 January 1985)	4030
Conditions under which staff members may take national competitive recruitment examinations ST/AI/1997/1 (20 August 1997)	4031
General information on conditions of service applicable to appointments of one year or more in the Professional and higher categories (P.96), Attachment No.1, Statement of emoluments (P.96/A), Attachment No.2, Medical and travel instruction (P.96/B).	4040
General information on conditions of service applicable to appointments of less than one year (normally six to eleven months) in the Professional and higher categories (P.98), Attachment No.1, Statement of emoluments (P.98/A), Attachment No.2, Medical and travel instruction (P.98/B).	4050
General information on conditions of service applicable to General Service staff recruited internationally (appointments of one year or more) (P.280), Attachment No.1, Statement of emoluments (P.280/A), Attachment No.2, Medical and travel instruction (P.280/B).	4055

General information on United Nations employment opportunities - RECR. I.8/E, (P.183)	4060
Medical standards and clearances PD/2/80/Rev.3 (4 May 1995)	4070
APPOINTMENT, PROMOTION AND REVIEW BODIES	
Temporary suspension of recruitment ST/SGB/247 (6 February 1992)	4084
Placement and promotion ST/SGB/267 (15 November 1993)	4085
ST/AI/413 (25 March 1996)	4086
ST/IC/1993/66 (2 December 1993)	4087
ST/IC/1993/66/Add.1 (2 December 1993)	4088
ST/IC/1993/66/Corr.2 (8 August 1994)	4088/B
Establishment of Appointment and Promotion Committees at designated offices away from Headquarters ST/AI/242 (22 February 1977)	4090
ST/AI/242/Amend.1 (8 August 1995)	4091
*/ Manual for Appointment and Promotion Committees at offices away from Headquarters, 1978	----
Senior Review Group for the filling of posts at the Director (D-2) and higher levels ST/SGB/266 (5 November 1993)	4100
ST/SGB/266/Amend.1 (14 March 1997)	4102
Procedures of the Senior Review Group for the filling of posts at the Director (D-2) and higher levels ST/AI/392 (27 January 1994)	4101
Membership of the Appointment and Promotion Board and of the Headquarters Appointment and Promotion Committee ST/IC/1996/46 (29 July 1996)	4110
Membership of the Appointment and Promotion Panel ST/IC/1996/51 (8 August 1996)	4120
ST/IC/1996/51/Add.1 (31 October 1996)	4120/A

*/ Issued separately.

Membership of the 1996/1997 Field Service Promotion Review Panel ST/IC/1997/57 (10 September 1997)	4121
--	------

APPOINTMENT

Recruitment procedures for Professional staff ST/AI/1997/7 (20 November 1997)	4125
Contractual status of special assistants PD/2/88 (29 July 1988)	4130
Policies for obtaining the services of individuals on behalf of the Organization ST/SGB/177 (19 November 1982)	4140
Use of "when actually employed" contracts for special representatives, envoys and other special high-level positions ST/SGB/283 (29 August 1996)	4145
Institutional or corporate contractors ST/AI/327 (23 January 1985)	4150
Temporary staff and individual contractors ST/AI/295 (19 November 1982) ST/AI/295/Amend.1 (5 July 1995)	4170 4171
Consultants and participants in advisory meetings ST/AI/296 (19 November 1982) ST/AI/296/Amend.1 (5 July 1995)	4180 4181
Appointments of limited duration ST/AI/395 (2 June 1994)	4185
Technical co-operation personnel and Operational, Executive and Administrative Services (OPAS) officers ST/AI/297 (19 November 1982) ST/AI/297/Add.1 (7 December 1995)	4190 4191

Non-reimbursable loans of personnel services from sources external to the United Nations common system ST/AI/231/Rev.1 (23 January 1991)	4200
Employment of spouses ST/AI/273 (4 March 1980)	4210
Part-time employment ST/AI/291/Rev.1 (18 July 1984)	4220
Appointment, extension and conversion of contractual status of staff in the General Service, Security Service and Manual Workers categories ST/AI/274 (30 June 1980)	4230
ST/AI/274/Corr.1 (27 August 1980)	4231
Recruitment of external candidates to posts in the General Service and related categories at Headquarters PD/1/1994 (6 July 1994)	4240
PD/1/1994/Amend.1 (7 September 1994)	4241
Policy for the recruitment of editors and editor-trainees in the Official Records Editing Section PD/2/81 (26 August 1981)	4270
Policy for the recruitment and promotion of translators and translator/precis-writer trainees PD/9/59 (4 March 1959)	4280
RECR-1.2/B(83)E	4281
Policy for the recruitment and training of interpreters PD/12/59/Rev.1 (8 January 1960)	4291
PD/12/59/Rev.1/Corr.1 (19 January 1960)	4292

PROMOTION

Directives of the Appointment and Promotion Board AM/APB/1 (4 March 1958)	4320
Review of General Service staff members recommended for promotion to the Professional category for the 1979 register ST/IC/81/19 (10 March 1981)	4340
Minimum periods of service in the grade for promotion in the Professional category PD/2/67 (12 June 1967)	4350
Effective date of promotion of staff while on probationary status - Memorandum of 20 October 1987 from the Officer-in-Charge, SATD/OHRM to all Executive Officers and Personnel Officers at Headquarters and to all Chiefs of Administration and Chiefs of Personnel at offices away from Headquarters	4351
Promotion from P-1 to P-2 and from P-2 to P-3 without reference to an appointment and promotion body PD/1/89 (5 April 1989)	4352
Competitive examination for promotion to the Professional category of staff members from other categories ST/SGB/173 (29 August 1979)	4360
ST/AI/418 (30 April 1997)	4361
ST/IC/1997/81 (8 December 1997)	4362
Membership of the Central Examination Board ST/IC/1997/81 (8 December 1997)	4362
*/ Competitive examination for promotion to the Professional category of staff members from other categories ST/IC/...../..	-----

*/ Issued separately.

Chapter IV

Manual
Document No.

See Assignment of staff members from other categories to Professional posts and granting of special post allowance to the Professional category, ST/AI/276, in Chapter III. (3260) -----

Movement of staff from the Field Service category to the Professional category
ST/AI/360/Rev.1 (15 November 1993) 4380
ST/AI/360/Rev.1/Corr.1 (8 December 1993) 4381

REVIEW

Notification of staff members - review of probationary appointments and five-year review of permanent appointments
PD/11/58 (5 May 1958) 4390
PD/11/58/Rev.1 (13 November 1958) 4391

LINGUISTIC STANDARDS OF STAFF

Use of working languages of the Secretariat
ST/SGB/212 (24 September 1985) 4401

Language proficiency of staff in the Professional category and above
ST/AI/207 (23 December 1971) 4410

Multilingualism
ST/IC/1995/73 (8 November 1995) 4420

*/ Language and communication skills training - Academic year
ST/IC/..../... -----

*/ Language proficiency examination
ST/IC/..../... (issued three times annually) -----

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

TRAINING AND CAREER DEVELOPMENT

Career development and placement of staff ST/IC/86/52 (10 October 1986)	4440
Career development plan for the General Service and related categories in New York ST/IC/86/62 (24 November 1986)	4441
In-service training and career development for Secretariat staff ST/SGB/144 (28 December 1973)	4450
Establishment of a career development system ST/SGB/166 (18 May 1978)	4470
United Nations Sabbatical Leave Programme for the year 1997 ST/IC/1996/41 (11 July 1996)	4475
ST/IC/1996/41/Corr.1 (31 October 1996)	4476
United Nations Sabbatical Leave Programme for the year 1998 ST/IC/1997/49 (14 August 1997)	4477
Upgrading of substantive and technical skills ST/AI/1997/4 (30 September 1997)	4480
Mission readiness workshops ST/IC/1995/8 (28 February 1995)	4490
*/ Information technology training ST/IC/1995/72 (3 November 1995)	----

*/ Issued separately.

MOVEMENT OF STAFF

Inter-Organization Agreement concerning transfer, secondment or loan of staff among the organizations applying the United Nations common system of salaries and allowances ACC/1992/PER/CM/9, 6 April 1992	4510
Outposting of staff from the established location of a department to another location ST/AI/245 (11 May 1977)	4520
Policy governing assignment to and return from mission detail ST/SGB/277 (19 May 1995)	4530
Assignment to and return from mission detail ST/AI/404 (19 May 1995)	4540
See Employment of spouses, ST/AI/273 above. (4210)	----

RE-EMPLOYMENT

See Retention in service and employment beyond the age of retirement, ST/AI/213/Rev.1, and Employment of retirees, ST/IC/1997/62, in Chapter IX. (9060-9061)	----
--	------

DOCUMENTS RELATING TO CHAPTER V

ANNUAL AND SPECIAL LEAVE

TABLE OF CONTENTS

Chapter V	Manual Document No.
GENERAL	
Time, attendance and leave recording	
ST/AI/221/Rev.1 (24 October 1989)	5010
ST/AI/221/Rev.1/Amend.1 (11 October 1990)	5011
ST/AI/221/Rev.1/Add.1 (13 March 1996)	5012
Accrual of service credits by staff members who are assigned to serve on technical assistance projects under an OPAS contract	
PD/4/69 (11 July 1969)	5020
Unauthorized absence	
ST/IC/79/10 (24 January 1979)	5030
See Abandonment of post, ST/AI/400, in Chapter IX. (9035)	----
SPECIAL LEAVE	
Special leave for jury duty and other appearances in court	
PD/3/77 (1 September 1977)	5040
Special leave in case of adoption of a child	
PD/3/88 (30 November 1988)	5041
PD/3/88/Amend.1 (15 May 1990)	5042
See United Nations Sabbatical Leave Programme for the years 1997 and 1998, ST/IC/1996/41 and Corr.1 and ST/IC/1997/49, respectively, in Chapter IV. (4475-4477)	----

Chapter V

Manual
Document No.

HOME LEAVE

Travel on home leave PD/24/56 (16 October 1956)	5050
Home leave - travel within the home country PD/16/58 (23 June 1958)	5060
The effect of special leave without pay on time of home leave PD/14/58 (3 June 1958)	5070
Home leave - change of place of home leave and change of country of home leave ST/AI/367 (15 October 1990)	5080
See Standard of accommodation, travel time and rest stopovers, ST/AI/249/Rev.3 and Amend.4, in Chapter VII. (7102-7103)	----
See Special entitlements for staff members serving at designated duty stations, ST/AI/280/Rev.6 and Amend.6 and Amend.6/Corr.1, in Chapter VII. (7060-7062)	----

DOCUMENTS RELATING TO CHAPTER VI

SOCIAL SECURITY

TABLE OF CONTENTS

Chapter VI	Manual Document No.
GENERAL	
United Nations Joint Staff Pension Fund System (Excerpt from JSPB/G.4/Rev.14)	6010
Note for staff members - Change in marital or dependency status, P.94(3-87)E	6030
Mental health - Medical and employee assistance facilities ST/IC/1997/82 (9 December 1997)	6035
STAFF RULES	
<u>S.R. 106.2: Sick leave</u>	
Administration of sick leave PD/4/77 (1 September 1977)	6040
PD/4/77/Add.2 (14 July 1988)	6041
See Time, attendance and leave recording, ST/AI/221/Rev.1 and Amend.1 and Add.1, in Chapter V. (5010-5012)	----
See Abandonment of post, ST/AI/400, in Chapter IX. (9035)	----
<u>S.R. 106.3: Maternity leave</u>	
Maternity leave ST/AI/391 (21 January 1994)	6050

S.R. 106.4: Compensation for death or illness

Rules governing compensation in the event of death, injury or illness attributable to the performance of official duties on behalf of the United Nations ST/SGB/Staff Rules/Appendix D/Rev.1 (1966)	6060
ST/SGB/Staff Rules/Appendix D/Rev.1/Amend.1 (1976)	6061
(Appendix D above is issued as a separate document, as indicated in ST/SGB/Staff Rules/1/Rev.9)	
To clarify application of United Nations compensation (and related) rules to United Nations staff members ST/ADM/SER.A/564 (30 September 1959)	6070
Instructions with respect to reporting of work injuries, safety measures and accident prevention ST/AI/120/Rev.2 (19 May 1982)	6080
Procedures with respect to claims under staff rule 106.4 and Appendix D PD/3/69 (11 March 1969)	6090

S.R. 106.5: Compensation for loss of or damage
to personal effects

Compensation for loss of or damage to personal effects attributable to service ST/AI/149/Rev.4 (14 April 1993)	6100
Claims Board ST/IC/1991/71 (13 December 1991)	6110
ST/IC/1991/71/Add.1 (21 January 1992)	6111
Arrangements for the protection of personnel and property of the family of organizations of the United Nations (CCAQ Agreement, 1973) - Field Administration Handbook, A/27-A/36A, May 1981	6120

BASIC MEDICAL EXAMINATIONS FOR FAMILY MEMBERS

Reimbursement of costs for basic medical examinations for family members	
ST/AI/317 (5 June 1984)	6130
ST/AI/317/Amend.8 (24 February 1995)	6131

INSURANCE SCHEMES

Medical insurance plan for locally-recruited staff at designated duty stations away from Headquarters	
ST/IC/87/33 (19 June 1987)	6140
ST/AI/343 (31 July 1987)	6141
Age limitation on the participation of dependent children in United Nations health insurance schemes	
ST/IC/86/72 (29 December 1986)	6160
Renewal of the Headquarters medical and dental insurance plans effective 1 July 1997, and annual enrolment campaign, 2-6 June 1997	
ST/IC/1997/32 (28 May 1997)	6170
Improvements in the Aetna health insurance plan	
ST/IC/1997/29 (19 May 1997)	6171
Medical scheme for staff appointed under the 300 series of the Staff Rules	
ST/IC/86/44 (15 September 1986)	6180
Van Breda medical, hospital and dental insurance	
ST/IC/1996/78 (23 December 1996)	6190
ST/IC/1997/91 (31 December 1997)	6191
After-service health insurance	
ST/AI/394 (19 May 1994)	6200
Note on After-service health insurance - January 1987	6210
Group life insurance - changes in coverage	
ST/IC/78/38 (12 June 1978)	6220

Chapter VI

Manual
Document No.

Group life insurance - premium rate decrease and waiver of automatic increase ST/IC/1996/42 (17 July 1996)	6221
Membership of the Health and Life Insurance Committee ST/IC/1993/18 (25 March 1993)	6230
Health and Life Insurance Committee at Headquarters ST/SGB/275 (22 December 1994)	6231

DOCUMENTS RELATING TO CHAPTER VII

TRAVEL AND REMOVAL EXPENSES

TABLE OF CONTENTS

Chapter VII	Manual Document No.
GENERAL	
Option of a lump-sum payment for travel by air in lieu of provision by the Organization of travel tickets and related entitlements on home leave, education grant and family visit travel	
ST/IC/1990/13 (19 March 1990)	7000
ST/IC/1990/13/Amend.5 (28 December 1995)	7001
Information for United Nations travellers	
ST/AI/257 (12 May 1978)	7010
Guide to the issuance of United Nations travel documents	
PAH/INF.78/2 (1 June 1978)	7020
See Rules governing payment of travel expenses and subsistence allowances in respect of members of organs or subsidiary organs of the United Nations, ST/SGB/107/Rev.6, in Chapter I. (1022)	----
STAFF RULES	
<u>S.R. 107.1, 107.2 and 107.3: Official travel of staff members and their families</u>	
Family visit travel	
ST/AI/215/Rev.1 (8 October 1981)	7030
Medical evacuation	
PD/1/1992 (31 March 1992)	7040

Travel of staff members and dependants in hardship cases	
PD/2/73 (1 April 1973)	7050
Special entitlements for staff members serving at designated duty stations	
ST/AI/280/Rev.6 (30 April 1991)	7060
ST/AI/280/Rev.6/Amend.6 (12 February 1997)	7061
ST/AI/280/Rev.6/Amend.6/Corr.1 (9 May 1997)	7062
<u>S.R. 107.6: Authority for travel</u>	
Official United Nations travel to and representation at conferences and meetings	
ST/SGB/207/Rev.1 (16 December 1987)	7072
Official travel agency at Headquarters	
ST/IC/1993/45 (31 August 1993)	7075
See Official travel of United Nations staff members in the United States, ST/IC/86/4, in Chapter XIII. (13005)	----
<u>S.R. 107.8, 107.9 and 107.10: Route, mode and standard of transportation and travel</u>	
Standard of accommodation, travel time and rest stopovers	
ST/AI/249/Rev.3 (29 March 1989)	7102
ST/AI/249/Rev.3/Amend.4 (17 July 1996)	7103
<u>S.R. 107.11: Travel by automobile</u>	
Reimbursement for travel by private motor vehicle	
ST/AI/224/Rev.1 (4 May 1987)	7110
ST/AI/1997/2 (25 August 1997)	7111
<u>S.R. 107.13: Terminal expenses</u>	
Terminal expenses	
ST/AI/206/Rev.3 (29 February 1989)	7120
ST/AI/206/Rev.3/Amend.2 (5 November 1992)	7121

S.R. 107.15, 107.16 and 107.18: Travel and daily subsistence allowance

*/	Schedule of daily subsistence allowance rates ICSC/CIRC/DSA/____ (issued monthly by ICSC)	----
	Travel advances ST/AI/381 (24 December 1992)	7130
	Computation of the travel subsistence allowance ST/AI/196 (23 December 1970) ST/AI/196/Amend.1 (24 November 1972)	7140 7141
	Assignment of staff to a duty station other than their official duty station for periods of less than one year ST/AI/143/Rev.26 (29 September 1983) ST/AI/1997/3 (12 September 1997)	7150 7151
	System of daily subsistence allowance ST/AI/137 (27 December 1960) ST/AI/137/Amend.5 (13 October 1971) ST/AI/137/Add.1/Rev.1 (13 May 1975)	7160 7161 7162

S.R. 107.20: Assignment grant

	Assignment grant ST/AI/364 (1 August 1990) ST/AI/364/Add.1 (7 November 1990) ST/AI/364/Add.2 (8 March 1991)	7175 7176 7177
--	--	----------------------

S.R. 107.21 and 107.22: Excess baggage, unaccompanied shipments and insurance

	Shipping and insurance procedures for shipments of personal effects and household goods ST/AI/238/Rev.1 (29 March 1982)	7190
	Split shipments of personal effects and household goods ST/AI/383 (8 June 1993)	7195

*/ Issued separately.

Unaccompanied shipments and insurance coverage for personal effects and household goods	
ST/AI/264/Rev.1 (14 June 1983)	7200
ST/AI/264/Rev.1/Corr.1 (2 December 1983)	7201
ST/AI/264/Rev.1/Amend.1 (17 July 1985)	7202
ST/AI/264/Rev.1/Amend.2 (5 May 1992)	7203
Reimbursement of the cost of accompanied excess baggage	
ST/AI/229 (29 September 1975)	7210
ST/AI/229/Add.1 (14 February 1977)	7211
ST/AI/229/Add.2 (8 July 1977)	7212
See Special entitlements for staff members serving at designated duty stations, ST/AI/280/Rev.6 and Amend.6 and Amend.6/Corr.1, above. (7060-7062)	----

S.R. 107.27: Removal costs

Transportation of privately owned automobiles	
ST/AI/176/Rev.3 (30 April 1980)	7220
ST/AI/176/Rev.3/Corr.1 (15 October 1980)	7221
ST/AI/176/Rev.3/Amend.1 (14 April 1992)	7225
ST/AI/176/Rev.3/Amend.2 (13 June 1994)	7226
ST/AI/176/Rev.3/Amend.3 (11 March 1996)	7227
ST/AI/176/Rev.3/Amend.4 (17 December 1996)	7228

DOCUMENTS RELATING TO CHAPTER VIII

STAFF RELATIONS

TABLE OF CONTENTS

Chapter VIII	Manual Document No.
GENERAL	
Statute and Rules of the Staff Union of the United Nations Secretariat, New York 1993	8010
Constitution of the United Nations Staff Recreation Council, amended in June 1981	8020
Staff-management relations: decentralization of consultation procedure ST/SGB/172 (19 April 1979)	8030
Procedures and terms of reference of the staff-management consultation machinery at the departmental or office level ST/SGB/274 (28 September 1994)	8031
Staff-Management Coordination Committee ST/SGB/1997/12 (13 October 1997)	8040
Facilities to be provided to staff representatives ST/AI/293 (15 July 1982)	8060
<u>S.R. 108.2: Joint Advisory Committee</u>	
Joint Advisory Committee at Headquarters ST/SGB/200/Rev.1 (1 October 1992)	8070
Membership of the Joint Advisory Committee at Headquarters ST/IC/1994/37 (17 August 1994)	8080

Establishment and operation of Joint Advisory
Committees at duty stations and missions away from
Headquarters - Memorandum dated 8 March 1978 from the
Assistant Secretary-General for Personnel Services to
Heads of Offices away from Headquarters and to Chiefs
of Missions

8090

DOCUMENTS RELATING TO CHAPTER IX

SEPARATION FROM SERVICE

TABLE OF CONTENTS

Chapter IX	Manual Document No.
GENERAL	
See Chapter VI for After-service health insurance. (6200-6210)	----
See Note on After-service health insurance, January 1987.	----
Separation procedures in the event of death of a staff member PD/1/1991 (1 May 1991)	9010
<u>Staff Regulation 9.1</u>	
Procedure to be followed in cases of termination of permanent appointment for unsatisfactory services ST/AI/222 (10 December 1974)	9020
Termination of appointments for reasons of health PD/3/80 (20 November 1980)	9030
Abandonment of post ST/AI/400 (22 December 1994)	9035
STAFF RULES	
<u>S.R. 109.5: Repatriation grant</u>	
Repatriation grant	
*/ ST/AI/262 (23 April 1979)	----
ST/AI/269 (21 December 1979)	9042
ST/AI/300 (5 January 1983)	9043

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Chapter IX	Manual Document No.
Payment of repatriation grant PD/1/80 (30 October 1980)	9050
<u>S.R. 109.6: Retirement</u>	
Retention in service and employment beyond the age of retirement ST/AI/213/Rev.1 (18 July 1984)	9060
Employment of retirees ST/IC/1997/62 (19 September 1997)	9061
<u>S.R. 109.10: Last day for pay purposes</u>	
United Nations personnel payroll clearance action ST/AI/155/Rev.2 (31 August 1990)	9070
ST/AI/155/Rev.2/Amend.1 (13 December 1990)	9071
<u>S.R. 109.11: Certification of service</u>	
Reference inquiries concerning former staff members PD/8/57 (13 August 1957)	9080
 <u>APPENDIX A</u>	
Separation payments for staff in the Professional and higher categories ST/IC/1992/18 (6 March 1992)	9092

DOCUMENTS RELATING TO CHAPTER X AND CHAPTER XI

DISCIPLINARY MEASURES / APPEALS

TABLE OF CONTENTS

Chapter X and Chapter XI	Manual Document No.
GENERAL	
Establishment of Panels on Discrimination and Other Grievances ST/AI/308/Rev.1 (25 November 1983)	11010
Report on the work of the Panels on Discrimination and Other Grievances ST/IC/1993/8 (28 January 1993)	11011
Composition of the Panel on Discrimination and Other Grievances at Headquarters ST/IC/1997/79 (24 November 1997)	11020
Joint Appeals Board ST/IC/1995/78 (15 November 1995)	11030
ST/IC/1995/78/Add.1 (26 November 1996)	11031
Joint Disciplinary Committee ST/IC/1995/79 (15 November 1995)	11040
Assistance and representation by counsel in disciplinary and appeals cases ST/AI/351 (25 May 1988)	11060
ST/AI/351/Amend.1 (28 January 1997)	11061
Membership of the Panels of Counsel ST/IC/1991/35 (16 May 1991)	11070
Revised disciplinary measures and procedures ST/AI/371 (2 August 1991)	11075
Internal recourse procedures in the United Nations Secretariat ST/IC/82/7 (3 February 1982)	11090

Administration of internal appeals and disciplinary systems: transfer of responsibilities and reform programme

ST/IC/88/10 (1 March 1988)

11100

See Procedures for appeal of classification decisions for posts in the General Service and related categories in New York, ST/AI/358 and Amend.1, in Chapter II. (2120-2121)

*/ For recourse procedures for the Field Service category, see also information circular (ST/IC/..../..) on promotion register issued annually.

*/ Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

DOCUMENTS RELATING TO CHAPTER XII

GENERAL PROVISIONS

TABLE OF CONTENTS

Chapter XII	Manual Document No.
<u>S.R. 112.6: Service and conduct reports</u>	
Performance appraisal system ST/SGB/1997/13 (30 December 1997)	12010
Performance appraisal system ST/AI/411 (18 September 1995)	12011
ST/AI/411/Corr.1 (29 September 1995)	12012
Performance appraisal system ST/AI/1997/8 (9 December 1997)	12013
Revised performance appraisal system ST/IC/1997/83 (11 December 1997)	12014
Annual inspection of official status file ST/AI/108 (24 February 1955)	12020
Personnel files PD/3/55 (21 February 1955)	12030
PD/3/55/Add.3 (9 January 1968)	12031
Maintenance of personnel record cards ST/AI/105 (3 September 1954)	12040
Filing of adverse material in personnel records ST/AI/292 (15 July 1982)	12050
Abolition of confidential files ST/IC/82/77/Rev.1 (11 January 1983)	12060
Consolidation of personnel records into the official status file ST/IC/88/19 (4 April 1988)	12070

Confidentiality of mailing lists and registers
ST/AI/341 (19 March 1987)

12080

DOCUMENTS RELATING TO CHAPTER XIII
MATTERS CONCERNING STAFF AT HEADQUARTERS

TABLE OF CONTENTS

Chapter XIII	Manual Document No.
GENERAL	
After-school recreation and study programme for United Nations children ST/IC/1997/88 (22 December 1997)	13000
Direct deposit of salary ST/AI/405 (27 July 1995)	13001
RELATIONS WITH HOST COUNTRY	
Official travel of United Nations staff members in the United States ST/IC/86/4 (14 January 1986)	13005
Host country travel regulations	
ST/IC/85/48 (12 September 1985)	13010
ST/IC/85/76 (20 December 1985)	13013
ST/IC/89/10 (1 February 1989)	13016
ST/IC/1990/14 (14 February 1990)	13017
ST/IC/1990/16 (16 February 1990)	13018
ST/IC/1990/34 (21 May 1990)	13019
ST/IC/1991/3 (16 January 1991)	13019/C
ST/IC/1992/2 (10 January 1992)	13019/F
ST/IC/1992/51 (3 September 1992)	13019/H
Visa status of non-United States staff members serving in the United States ST/AI/294 (16 August 1982)	13020
Cancellation of G-4 and G-5 visas on separation or transfer of staff members ST/IC/1996/49 (5 August 1996)	13021

New requirements by the host country for personal employees on a G-5 visa ST/IC/1997/13 (18 February 1997)	13022
Household employees of United Nations staff members: participation in the United States Social Security Programme ST/IC/1997/18 (6 March 1997)	13023
Communications and contacts with host country authorities ST/IC/1996/60 (11 October 1996)	13025
United States Immigration Reform and Control Act of 1986 (General information and United Nations certification procedure) ST/IC/87/16 (30 March 1987) ST/IC/87/16/Corr.1 (3 April 1987)	13030 13031
United States Immigration Technical Corrections Act of 1988 ST/IC/89/7 (17 January 1989)	13032
United States Immigration and Nationality Technical Corrections Act of 1994 ST/IC/1995/42 (5 July 1995)	13035
Employment of family members on G-4 visas ST/IC/78/53 (24 August 1978)	13040
Employment of persons on G-4 visas ST/IC/89/13 (14 February 1989)	13041
Consideration of family members for employment in the General Service category in New York ST/IC/89/25 (11 April 1989)	13042
Resolution of tort claims ST/SGB/230 (8 March 1989)	13055

Report on non-United States staff members and members of their households	
ST/IC/87/27 (27 May 1987)	13060
ST/IC/87/27/Add.1 (30 July 1987)	13061
Changes in United States tax legislation concerning individuals in the United States who are not United States nationals	
ST/IC/84/74 (24 October 1984)	13070
Significant changes in United States estate tax and their possible effect on non-United States citizen staff members	
ST/IC/1991/39 (3 June 1991)	13075
Duty-free and tax-free entry of baggage and effects into the United States	
ST/AI/254 (3 February 1978)	13080
ST/AI/254/Amend.1 (21 May 1986)	13081
ST/AI/254/Amend.2 (14 March 1990)	13082
Time off for voting on United States election day	
ST/IC/1997/69 (22 October 1997)	13090
Insurance requirements for senior officials entitled to diplomatic privileges and immunities	
ST/IC/1997/90 (26 December 1997)	13095
SECURITY AND SAFETY	
Guidelines for work with visual display units	
ST/IC/84/18 (2 March 1984)	13100
ST/IC/84/18/Amend.1 (12 July 1989)	13101
Authority of United Nations security officers	
ST/AI/309/Rev.2 (18 February 1997)	13110

Security arrangements for admission to United Nations Headquarters ST/AI/387 (10 September 1993)	13111
Arrangements for admission to the premises at United Nations Headquarters during the fifty-second session of the General Assembly ST/IC/1997/55 (9 September 1997)	13112
Additional arrangements for admission to the premises at United Nations Headquarters during the fifty-second session of the General Assembly ST/IC/1997/56 (10 September 1997)	13113
Wearing of grounds passes ST/SGB/259 (2 July 1993)	13115
Personal identification cards - Headquarters ST/AI/333 (29 November 1985)	13120
Registration of staff members and affiliates on Saturdays, Sundays, holidays and after office hours ST/AI/310 (20 September 1983)	13130
Security of valuable articles: lost and found property ST/AI/227 (25 April 1975)	13150
Safeguarding of United Nations keys ST/IC/84/33 (5 June 1984)	13160
Property management ST/IC/1993/21 (31 March 1993)	13165
Material and package passes ST/AI/193/Rev.1 (24 June 1977)	13170
* / Delivery and picking up of packages ST/IC/84/85 (11 December 1984)	----
Delivery of personal packages, mail and periodicals to United Nations premises ST/IC/89/50 (2 August 1989)	13180

* / Issued separately.

Personnel Manual Index
Rev.7/Amend.2, 31 December 1997

Chapter XIII

Manual
Document No.

Reimbursement of taxi fares	
ST/AI/248 (7 July 1977)	13190
ST/AI/248/Amend.1 (27 June 1980)	13191
Protecting personal information on staff members	
PD/3/78 (1 June 1978)	13200
Smoking at United Nations Headquarters	
ST/AI/407 (1 August 1995)	13210
Cessation of tobacco smoking at United Nations Headquarters	
ST/IC/1997/33 (29 May 1997)	13211
Employee assistance in cases of alcohol/substance abuse	
ST/AI/372 (25 September 1991)	13215

USE OF PREMISES

United Nations garage	
ST/AI/349 (22 April 1988)	13220
Access to the Secretariat building and the United Nations garage	
ST/IC/88/2 (4 January 1988)	13221





Secretariat

ST/SGB/1997/1
28 May 1997

SECRETARY-GENERAL'S BULLETIN

PROCEDURES FOR THE PROMULGATION OF ADMINISTRATIVE ISSUANCES*

The Secretary-General, for the purpose of establishing a more efficient system of administrative issuances in the United Nations and procedures for the promulgation and publication of such issuances, promulgates the following:

Section 1

Categories of administrative issuances

1.1 In accordance with the provisions of the present bulletin, the following administrative issuances may be promulgated:

- (a) Secretary-General's bulletins;
- (b) Administrative instructions.

1.2 Rules, policies or procedures intended for general application may only be established by duly promulgated Secretary-General's bulletins and administrative instructions.

Section 2

Entry into force and effect of administrative issuances

2.1 Administrative issuances shall enter into force upon the date specified therein and shall remain in force until superseded or amended by another administrative issuance of the same or higher level and promulgated in accordance with the provisions of the present bulletin.

* Personnel Manual index No. 130.

2.2 Staff members at all levels shall be responsible for observing the provisions of administrative issuances promulgated in accordance with the present bulletin.

Section 3

Secretary-General's bulletins

3.1 The following matters shall require the issuance of a Secretary-General's bulletin:

(a) Promulgation of rules for the implementation of regulations, resolutions and decisions adopted by the General Assembly, including:

- (i) Promulgation of financial regulations and rules and publication of consolidated texts thereof;
- (ii) Promulgation of staff regulations and rules and publication of consolidated texts thereof;
- (iii) Promulgation of regulations and rules governing programme planning, the programme aspects of the budget, the monitoring of implementation and the methods of evaluation, and publication of consolidated texts thereof;

(b) Promulgation of regulations and rules, as required, for the implementation of resolutions and decisions adopted by the Security Council;

(c) Organization of the Secretariat;

(d) Establishment of specially funded programmes.

3.2 Secretary-General's bulletins may also be promulgated in connection with any other important decision of policy, as decided by the Secretary-General.

3.3 Secretary-General's bulletins shall require the approval and signature of the Secretary-General.

3.4 Secretary-General's bulletins shall not, unless otherwise stated therein, be applicable to separately administered organs and programmes of the United Nations.

3.5 The Secretary-General may delegate the authority to promulgate administrative instructions in implementation of a bulletin.

3.6 Any proposed exception to the provisions of the Financial Rules, the Staff Rules or any other bulletin shall be referred for decision to the Secretary-General, except as otherwise provided therein.

3.7 Secretary-General's bulletins shall be promulgated in English and French, the working languages of the Secretariat. Bulletins concerning the organization

/...

of the Secretariat and the Staff Regulations and Rules shall also be promulgated in Arabic, Chinese, Russian and Spanish.

3.8 Secretary-General's bulletins shall bear the symbol ST/SGB/[year of issuance]/[issuance number].

Section 4

Administrative instructions

4.1 Administrative instructions shall prescribe instructions and procedures for the implementation of the Financial Regulations and Rules, Staff Regulations and Rules or Secretary-General's bulletins.

4.2 Administrative instructions shall be promulgated and signed by the Under-Secretary-General for Administration and Management or by other officials to whom the Secretary-General has delegated specific authority.

4.3 Administrative instructions shall be promulgated in English and French.

4.4 Administrative instructions shall bear the symbol ST/AI/[year of issuance]/[issuance number].

Section 5

Review and amendment

5.1 Officials responsible for promulgating and/or implementing administrative issuances shall see to it that issuances in effect within their respective spheres of competence are reviewed periodically so as to ensure that the rules, instructions and procedures that they prescribe are up to date, that obsolete administrative issuances are abolished with the minimum delay and that new issuances or amendments to existing issuances are promulgated as required.

5.2 Proposals for administrative issuances shall be prepared in consultation with major organizational units concerned.

5.3 Unless emergency situations make it impracticable, proposals for administrative instructions affecting questions of staff welfare, including conditions of work, general conditions of life and other personnel policies, shall be sent to the Office of Human Resources Management, which will ensure consultation with the appropriate staff representative bodies in accordance with staff rules 108.1 and 108.2.

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Section 6

Responsibility for control and clearance

6.1 Proposals for administrative issuances that have followed the consultative process set out in section 5 above shall be submitted to the Office of Human Resources Management for final processing. For this purpose, there shall be in this Office a central registry for all administrative issuances to assist in the discharge of the responsibilities under the provisions of the present bulletin.

6.2 The central registry shall be responsible, inter alia, for reviewing any proposed new issuance and for ensuring:

(a) That its position in the hierarchy and the authority for its establishment are identified;

(b) That it is not inconsistent with issuances higher in the hierarchy;

(c) That it specifies prior issuances that are superseded or amended;

(d) That the requirements of section 5 have been met;

(e) That it has been cleared by the Office of Legal Affairs in order to ensure compliance with this section;

(f) That it is concise, clear and appropriately expressed and that it complies with the rules and directives on United Nations editorial style.

6.3 Administrative issuances shall not be submitted for signature without certification that all the above requirements have been satisfied.

6.4 Upon signature, the original of administrative issuances shall be deposited with, and registered by, the central registry. Administrative issuances shall be published and filed in a manner that ensures availability.

6.5 The central registry shall maintain records of the entire processing of administrative issuances, mentioning, as appropriate, date of receipt of the initial draft, originating office, clearances obtained, authority for approval and date of promulgation. The central registry shall also maintain a register of all issuances promulgated, indicating the type of issuance, the date of promulgation, the subject-matter and amendments or changes thereto or the abolition thereof.

Section 7

Procedures for the implementation of the present bulletin

The Under-Secretary-General for Administration and Management may promulgate administrative instructions detailing procedures for the implementation of the present bulletin.

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Section 8

Final provisions

8.1 The present bulletin shall enter into force on 1 June 1997.

8.2 The following issuances are hereby superseded and abolished:

Secretary-General's bulletin of 14 April 1954, entitled "Issuance of Secretary-General's bulletins, administrative instructions and information circulars" (ST/SGB/100),

Secretary-General's bulletin of 1 June 1977, entitled "Changes in the functions and organization of the Secretariat" (ST/SGB/150/Rev.1),

Administrative instruction of 18 February 1973, entitled "Administrative issuances" (ST/AI/226), and all amendments thereto.

8.3 Financial directives and personnel directives shall not in the future be used to promulgate rules. Existing financial and personnel directives will be progressively converted, as needed, into administrative instructions. All financial and personnel directives will lapse as at 31 December 1999.

8.4 Administrative issuances promulgated in accordance with Secretary-General's bulletin of 14 April 1954, entitled "Issuance of Secretary-General's bulletins, administrative instructions and information circulars" (ST/SGB/100), shall remain in force until superseded by an administrative issuance promulgated in accordance with the provisions of the present bulletin.

(Signed) Kofi A. ANNAN
Secretary-General

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Secretariat

ST/SGB/1997/2
28 May 1997

SECRETARY-GENERAL'S BULLETIN

INFORMATION CIRCULARS*

The Secretary-General, for the purpose of establishing clearer and a more efficient system for the issuance of information circulars, promulgates the following:

Section 1

Information circulars

- 1.1 Information circulars shall contain general information on, or explanation of, established rules, policies and procedures, as well as isolated announcements of one-time or temporary interest.
- 1.2 Information circulars shall not be used for promulgating new rules, policies or procedures.
- 1.3 Information circulars shall normally be issued in English and French. Those of interest to permanent missions are also issued in Spanish. A circular of interest or applicable to a particular national group may, however, be issued in one language. Information circulars addressed to project personnel shall be issued in English, French and Spanish.
- 1.4 Information circulars shall be issued by the Under-Secretary-General for Administration and Management or by such other officials to whom the Under-Secretary-General has delegated specific authority.
- 1.5 Information circulars shall bear the symbol ST/IC/[year of issuance]/[issuance number].

* Personnel Manual index No. 135.



Section 2

Issue and expiry date

Information circulars shall indicate their date of issue and expiry.

Section 3

Responsibility for control and clearance

3.1 The central registry established pursuant to the Secretary-General's bulletin (ST/SGB/1997/1) shall be responsible, inter alia, for reviewing any proposed new information circular and ensuring:

- (a) That it is not inconsistent with any administrative issuance;
- (b) That it is not used for promulgating new rules, policies or procedures.

3.2 Information circulars shall not be submitted for signature by the authorized official without certification that the above requirements have been satisfied.

3.3 Upon signature, the original information circular shall be deposited with, and registered by, the central registry. Information circulars shall be published and filed in a manner that ensures availability.

3.4 The central registry shall maintain a register of all information circulars, indicating the date of issue and expiry and the subject matter.

Section 4

Procedures for the implementation of the present bulletin

The Under-Secretary-General for Administration and Management may promulgate administrative instructions detailing procedures for the implementation of the present bulletin.

Section 5

Final provisions

The present bulletin shall enter into force on 1 June 1997.

(Signed) Kofi A. ANNAN
Secretary-General



Secretariat

ST/SGB/273
7 September 1994

SECRETARY-GENERAL'S BULLETIN

To: Members of the staff

Subject: Establishment of the Office of Internal Oversight Services*

I. MANDATE

1. Following the decision of the General Assembly in paragraph 4 of its resolution 48/218 B of 29 July 1994, the Office of Internal Oversight Services (OIOS) is established as of the date of the present Bulletin. The Office shall assume the functions prescribed for the Office for Inspections and Investigations, as described in the Secretary-General's note A/48/640, and amended by resolution 48/218 B, subject to the modalities defined in the resolution and to the provisions of the present bulletin. 1/ The purpose of this Office, the head of which will be at the Under-Secretary-General rank, is to assist the Secretary-General in fulfilling his internal oversight responsibilities through the exercise of its functions as spelled out in paragraphs 10-24 below. The responsibilities of the Office shall extend to the resources and staff of the Organization, which includes separately administered organs.

II. MODE OF OPERATION

2. The Office of Internal Oversight Services shall exercise operational independence under the authority of the Secretary-General in the conduct of its duties and, in accordance with Article 97 of the Charter of the United Nations, have the authority to initiate, carry out and report on any action which it considers necessary to fulfil its responsibilities with regard to monitoring, internal audit, inspection, evaluation and investigations.
3. The Office may accept requests for its services from the Secretary-General, but the Office may not be prohibited from carrying out any action within the purview of its mandate.
4. The Office shall initiate and carry out investigations and otherwise discharge its responsibilities without any hindrance or need for prior

* Personnel Manual index No. 1050.

1050

clearance. The staff of the Office shall have the right to direct and prompt access to all persons engaged in activities under the authority of the Organization, and shall receive their full cooperation. Additionally, they shall have the right of access to all records, documents or other materials, assets and premises and to obtain such information and explanations as they consider necessary to fulfil their responsibilities. The Under-Secretary-General for Internal Oversight Services shall have the authority to demand compliance from programme managers concerned if information or assistance requested is refused, delayed or withheld.

5. With a view to providing as comprehensive an approach as possible and to minimizing duplication of efforts, the Office shall coordinate its activities with the Board of Auditors of the United Nations, the Panel of External Auditors and the Joint Inspection Unit. It shall maintain a close working relationship with other inspection and internal audit services in the United Nations system.

6. In fulfilling its responsibilities in respect of separately administered organs, the Office shall develop mechanisms for enhancing internal oversight, as provided in paragraph 11 of General Assembly resolution 48/218 B. In exercising its functions in respect of separately administered organs, the Office shall take into account, as appropriate, the pertinent regulations, rules and administrative issuances of such separately administered organs.

III. APPOINTMENT

7. The Office shall be headed by an Under-Secretary-General who shall be appointed in accordance with the provisions of General Assembly resolution 48/218 B.

8. The Under-Secretary-General for Internal Oversight Services shall serve for one fixed term of five years without possibility of renewal.

9. The Under-Secretary-General for Internal Oversight Services may be removed by the Secretary-General only for cause and with the approval of the General Assembly.

IV. FUNCTIONS

10. The purpose of the Office is to assist the Secretary-General in fulfilling his internal oversight responsibilities in respect of the resources and staff of the Organization through the exercise of the following functions:

A. Monitoring

11. The Office shall assist the Secretary-General in implementing the provisions of article V of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring and Implementation and the Methods of Evaluation on monitoring of programme implementation.

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12. The Office shall also ensure that monitoring and self-evaluation are viewed as an integral part of managerial responsibility for the efficiency and effectiveness of programme performance.

B. Internal audit

13. The Office shall, in accordance with the relevant provisions of the Financial Regulations and Rules of the United Nations, examine, review and appraise the use of financial resources of the United Nations in order to guarantee the implementation of programmes and legislative mandates; ascertain compliance of programme managers with the financial and administrative regulations and rules, as well as with the approved recommendations of external oversight bodies; undertake management audits, reviews and surveys to improve the Organization's structure and responsiveness to the requirements of programmes and legislative mandates; and monitor the effectiveness of the Organization's systems of internal control.

C. Inspection and evaluation

14. The Office shall evaluate the efficiency and effectiveness of the implementation of the Organization's programmes and legislative mandates. It shall conduct programme evaluations with the purpose of establishing analytical and critical evaluations of the implementation of programmes and legislative mandates, examining whether changes therein require review of the methods of delivery, the continued relevance of administrative procedures and whether the activities correspond to the mandates as they may be reflected in the approved budgets and the medium-term plan of the Organization.

15. The above shall be done on a regular basis. In addition, the Office shall conduct ad hoc inspections of programme and organizational units whenever there are sufficient reasons to believe that programme oversight is ineffective and that the potential for the non-attainment of the objectives and the waste of resources is great, and otherwise as the Under-Secretary-General for Internal Oversight Services deems appropriate. These inspections shall recommend to management corrective measures and adjustments as appropriate.

D. Investigation

16. The Office shall investigate reports of violations of United Nations regulations, rules and pertinent administrative issuances and transmit to the Secretary-General the results of such investigations together with appropriate recommendations to guide the Secretary-General in deciding on jurisdictional or disciplinary action to be taken.

17. Activities of the Office in the area of investigation shall also focus on assessing the potential within programme areas for fraud and other violations through the analysis of systems of control in high-risk operations as well as offices away from headquarters. On the basis of this analysis, recommendations

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shall be made for corrective action to minimize the risk of commission of such violations.

18. The Office may receive and investigate reports from staff and other persons engaged in activities under the authority of the Organization suggesting improvements in programme delivery and reporting perceived cases of possible violations of rules or regulations, mismanagement, misconduct, waste of resources or abuse of authority. For this purpose, the procedures described below are put in place, under which staff members and others can make directly to the Office suggestions and reports which shall be received and handled in complete confidence. Further arrangements for reporting of the inappropriate use of United Nations resources and improvement of programme delivery, as appended to the present bulletin, are hereby approved and will be issued as an administrative instruction. These procedures and related arrangements are designed to protect individual rights, the anonymity of staff and others, due process for all parties concerned and fairness during any investigation, as well as to protect against reprisals.

(a) Investigations shall respect the individual rights of staff members and be conducted with strict regard for fairness and due process for all concerned following the staff and financial regulations, rules and administrative instructions;

(b) The Under-Secretary-General for Internal Oversight Services shall designate the officials authorized to receive such suggestions and reports. The designated officials shall be responsible for safeguarding the said suggestions and reports from accidental, negligent or wilful disclosure, as well as for ensuring that the identity of the staff members and others who have submitted such reports to the Office is not disclosed, except as otherwise provided in the present bulletin. Unauthorized disclosure of the said suggestions and reports shall constitute misconduct, for which disciplinary measures may be imposed. Except in regard to subparagraph (e) below, the identity of staff members and others submitting suggestions and reports to the Office may be disclosed only where such disclosure is necessary for the conduct of proceedings, whether administrative, disciplinary or judicial, and only with their consent;

(c) The above procedures and requirements for the protection of the identity of staff and others making suggestions and reports shall also apply to staff and others who provide information to or otherwise cooperate with the Office;

(d) Confidential suggestions and/or reports may be used in official reports, without attribution directly or indirectly as to source or identity of the individuals involved or implicated;

(e) The transmittal of suggestions or reports to the Office with knowledge of their falsity or with wilful disregard of their truth or falsity shall constitute misconduct, for which disciplinary measures may be imposed;

(f) No action may be taken against staff or others as a reprisal for making a report or disclosing information to, or otherwise cooperating with, the Office. Disciplinary proceedings shall be initiated and disciplinary action

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shall be taken in respect of any staff member who is proven to have retaliated against a staff member or other person who has submitted suggestions or reports to the Office or otherwise cooperated with the Office.

E. Implementation of recommendations

19. Following the completion of any audits, inspections and investigations undertaken by the Office pursuant to its mandate, the Office shall submit the reports on such work to the programme managers concerned in accordance with the procedures for transmittal, approval of recommendations and the resolution of disputes provided for in the present Bulletin.

20. The programme managers concerned shall have an opportunity to consider, evaluate and respond to such reports on a timely basis as determined by the Office. A request for review or an extension of deadline, when programme managers encounter undue difficulties, shall be forwarded to the Office for decision.

21. The Under-Secretary-General for Internal Oversight Services shall report to the Secretary-General for final decision those recommendations with which the programme managers concerned do not agree. Copies of all reports submitted to the programme managers shall also be provided to the Board of Auditors and to the Under-Secretary-General responsible for the programme area concerned along with management responses.

22. The programme managers shall ensure prompt compliance with final recommendations and report to the Office, on a quarterly basis, on the status of implementation. In carrying out his responsibilities, the Under-Secretary-General responsible for the programme area shall monitor implementation of corrective action by programme managers.

23. The Office shall report to the Secretary-General as and when necessary, but at least twice yearly on the implementation of the recommendations addressed to the programme managers in accordance with procedures referred to above.

24. The Under-Secretary-General for Internal Oversight Services shall also inform the Secretary-General from time to time on any matters which he considers should be brought to the Secretary-General's attention.

V. SUPPORT AND ADVICE TO MANAGEMENT

25. The Office may advise programme managers on the effective discharge of their responsibilities, provide assistance to programme managers in implementing recommendations, ascertain that programme managers are given methodological support and encourage self-evaluation.

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VI. REPORTING

A. Reports on the effective utilization of resources

26. The Office shall submit to the Secretary-General reports that provide insight into the effective utilization and management of resources and the protection of assets. All such reports shall be made available to the General Assembly, as presented by the Office, together with such comments as the Secretary-General may deem appropriate.

B. Annual report to the Secretary-General for transmittal to the General Assembly

27. The Office shall also submit to the Secretary-General for transmittal as received to the General Assembly, together with separate comments the Secretary-General deems appropriate, an annual analytical and summary report on its activities for the year.

28. The annual report shall include the following:

(a) A description of significant problems, abuses and deficiencies relating to the administration of a programme or operation disclosed during the period;

(b) A description of all final recommendations for corrective action made by the Office during the reporting period relative to the significant problems, abuses or deficiencies identified;

(c) A description of all recommendations which were not approved by the Secretary-General, together with his reasons for not doing so;

(d) An identification of each significant recommendation in previous reports on which corrective action has not been completed;

(e) A description and explanation of the reasons for any significant revised management decision made during the reporting period;

(f) Information concerning any significant management decision with which the Office is in disagreement;

(g) A summary of any instance where information or assistance requested by the Office was refused;

(h) Where applicable, the value of any cost savings or recovered amounts resulting from recommendations and corrective action.

In addition, the Under-Secretary-General for Internal Oversight Services shall comment on the scope of his activities and the adequacy of resources for the purpose intended.

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C. Additional distribution of reports

29. The Board of Auditors and the Joint Inspection Unit shall be provided with copies of all final reports produced by the Office as well as the comments of the Secretary-General on these reports and shall be invited to provide the General Assembly with their comments as appropriate.

VII. BUDGET AND PERSONNEL

30. In presenting to the General Assembly, in accordance with established regulations and rules, the programme budget proposals for the Office, the Secretary-General shall take into account the need to ensure its operational independence and the appropriation of resources for the effective functioning of the Office. To that effect, the Secretary-General shall ensure that the resources requested for the effective operation of the Office are included in the biennial proposed programme budget of the Organization and separately identified in a separate section of the programme budget, reflecting a separate and distinct programme in the medium-term plan.

31. The Under-Secretary-General for Internal Oversight Services shall be mindful of the fact that certain of the activities of the Office will have a call on resources other than those appropriated under the regular budget. Accordingly, the biennial programme budget for Internal Oversight Services shall set forth the requirements for both regular budget and other sources of funds.

32. The Under-Secretary-General for Internal Oversight Services shall have delegated certifying authority for all the accounts of the Office.

33. The Under-Secretary-General for Internal Oversight Services shall, in accordance with the Staff Regulations and Rules of the United Nations, develop an appropriate office organizational structure, staffing table and related job descriptions including professional qualifications of staff.

34. In keeping with the need for operational independence, the Under-Secretary-General shall, through appropriate arrangements of delegation of authority, exercise the degree of latitude and control over the personnel and resources of the Office, consistent with the Staff Regulations and Rules of the United Nations and the Financial Regulations and Rules of the United Nations, that is necessary to achieve the objectives of the Office.

35. With respect to the staff of the Office, the Under-Secretary-General for Internal Oversight Services shall have powers of appointment, promotion and termination similar to those delegated by the Secretary-General to the heads of programmes, funds or subsidiary organs enjoying special status in these matters. Contracts of staff appointed by the Under-Secretary-General shall be limited to service with the Office. Staff holding regular United Nations appointments who are selected to serve with the Office shall retain their current status and their acquired rights under the Staff Regulations and Rules of the United Nations.

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36. Bulletins ST/SGB/262 of 24 August 1993 and ST/SGB/268 of 23 November 1993 are hereby superseded.

Boutros BOUTROS-GHALI
Secretary-General

Notes

1/ The text in paras. 2, 7, 8-11, 13, 14, 16, 19, 23, 25-27 and 29 is reproduced from General Assembly resolution 48/218 B, whereas the remaining text represents additional provisions approved by the Secretary-General in order to implement the resolution.



Secretariat

ST/AI/397
7 September 1994

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Administration and Management

Subject: REPORTING OF INAPPROPRIATE USE OF UNITED NATIONS
RESOURCES AND PROPOSALS FOR IMPROVEMENT OF
PROGRAMME DELIVERY

1. In compliance with General Assembly resolution 48/218 B of 29 July 1994, the Secretary-General announced, in bulletin ST/SGB/273 of 7 September 1994, the establishment of a reporting facility within the Office of Internal Oversight Services to provide for direct confidential access by staff members and other persons engaged in activities under the authority of the Organization who wish to report possible misuse of funds, waste or abuse of United Nations facilities or privileges, or who wish to make proposals for improvement of programme delivery.

2. The purpose of the present instruction is to inform staff and others of the procedures for such reporting and the measures for ensuring confidentiality and fairness. It is the intention that procedures in this area protect individual rights and the anonymity of staff members and others as well as provide due process for all concerned and fairness during any investigation, as well as protection against reprisals. It is also intended that where warranted disciplinary and jurisdictional proceedings shall be initiated without delay in cases where the Secretary-General considers it justified. Those falsely accused will be fully cleared.

3. Staff and others who wish to report matters referred to in paragraph 1 of which they have knowledge, or to make a proposal for the improvement of a United Nations operation, may do so on the form provided in the annex to the present instruction and send it to the Reporting Facility, Dag Hammarskjöld Convenience Center (DHCC), P.O. Box 20034, New York, N.Y. 10017, USA. Reports may also be made in person at Headquarters to the Investigations Unit, Office of Internal Oversight Services, Room A-6032, 866 United Nations Plaza, by writing to the same office, by fax (No. 212-963-7774), or by telephone ((212) 963-1111). Long distance calls may be made collect. The identity or anonymity of the reporting source will be fully protected.

* Personnel Manual index No. 1051.
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1051

4. Information received through the Reporting Facility that proves, upon investigation, to be accurate will be used in such a way that the source is not disclosed except with permission. No action will be taken against a staff member or others who have, in good faith, reported perceived wrongdoing. The transmittal of false or malicious allegations, with knowledge of their falsity or with wilful disregard of their truth or falsity, will be considered misconduct and dealt with under the Staff Regulations and Rules of the United Nations.

5. Proposals for improved economy and efficiency in the use of the Organization's resources will be independently reviewed in the context of the mandate of the Office of Internal Oversight Services to evaluate the efficiency and effectiveness of the Organization's programmes and legislative mandates. Contributions from staff that result in cost savings will be appreciated and appropriately acknowledged.

6. All staff and others are urged to join in the common effort to conserve the resources of the Organization both by identifying negligence or violation of the rules which impede the ability to fulfil mandates and by proposing ways to safeguard these resources and to improve the efficiency and economy of their utilization.

1051

Annex

PART A

REPORT OF INAPPROPRIATE USE OF UNITED NATIONS RESOURCES

1. What are the particulars of the allegation? (Please describe exactly what took place. Use additional pages, if necessary.)

2. Who is involved in the alleged wrongdoing or mismanagement? (Please provide their names, functional titles, organizational units, addresses and telephone numbers.)

3. Where did the reported incident or activity take place? (Please be specific about the time(s) and place(s) where the incident(s) occurred.)

4. Can you provide documentary evidence to support the allegation?

Yes _____ No _____

Please complete the following:

Name: _____

Telephone No.: _____ (Home) _____ (Office)

Address: _____

Your identity and this information will not be disclosed unless expressly authorized by you.

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1051

PART B

PROPOSAL FOR IMPROVEMENT OF PROGRAMME DELIVERY

1. Describe the present method of operation.
2. Indicate the problems with the present method.
3. Describe a better method of operation.
4. State expected benefits and/or savings, where possible, resulting from implementation of the proposal.



Secretariat

1230

ST/IC/1997/48
13 August 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: WORKING HOURS DURING THE FIFTY-SECOND SESSION
OF THE GENERAL ASSEMBLY**

1. During the fifty-second session of the General Assembly, the normal working hours per day will be eight and one half from Tuesday, 16 September 1997, until the last day of the main part of the regular session of the General Assembly.
2. Heads of departments or offices may authorize staggered working hours in accordance with administrative instruction ST/AI/408, provided it will not interfere with the efficiency of the Organization. Essential services must be maintained at all times to best meet the requirements of the General Assembly.
3. From the day following the last day of the main part of the fifty-second session of the General Assembly, the working hours per day will be eight, until further notice.

* Expiration date of the present information circular: 31 December 1997.

** Personnel Manual index No. 1230.



Secretariat

2040

ST/IC/1997/66
14 October 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: MEMBERSHIP OF THE CLASSIFICATION APPEALS AND REVIEW
COMMITTEE FOR POSTS IN THE PROFESSIONAL CATEGORY**

1. The purpose of the present circular is to inform the staff that the Secretary-General has approved the following membership of the Classification Appeals and Review Committee for posts in the Professional category, with effect from 7 October 1997:

Chairperson: Mr. Henry L. Ouma

Members representing the
administration:

Ms. Vivian Lewis
Mr. Christopher Woodthorpe

Members representing the
staff:

Ms. Shari Klugman
Mr. Michel Pelsise

2. Mr. Joel Cohen has been designated Secretary of the Committee.

3. The terms of reference of the Committee are set out in the annex to administrative instruction ST/AI/277 dated 10 November 1980.

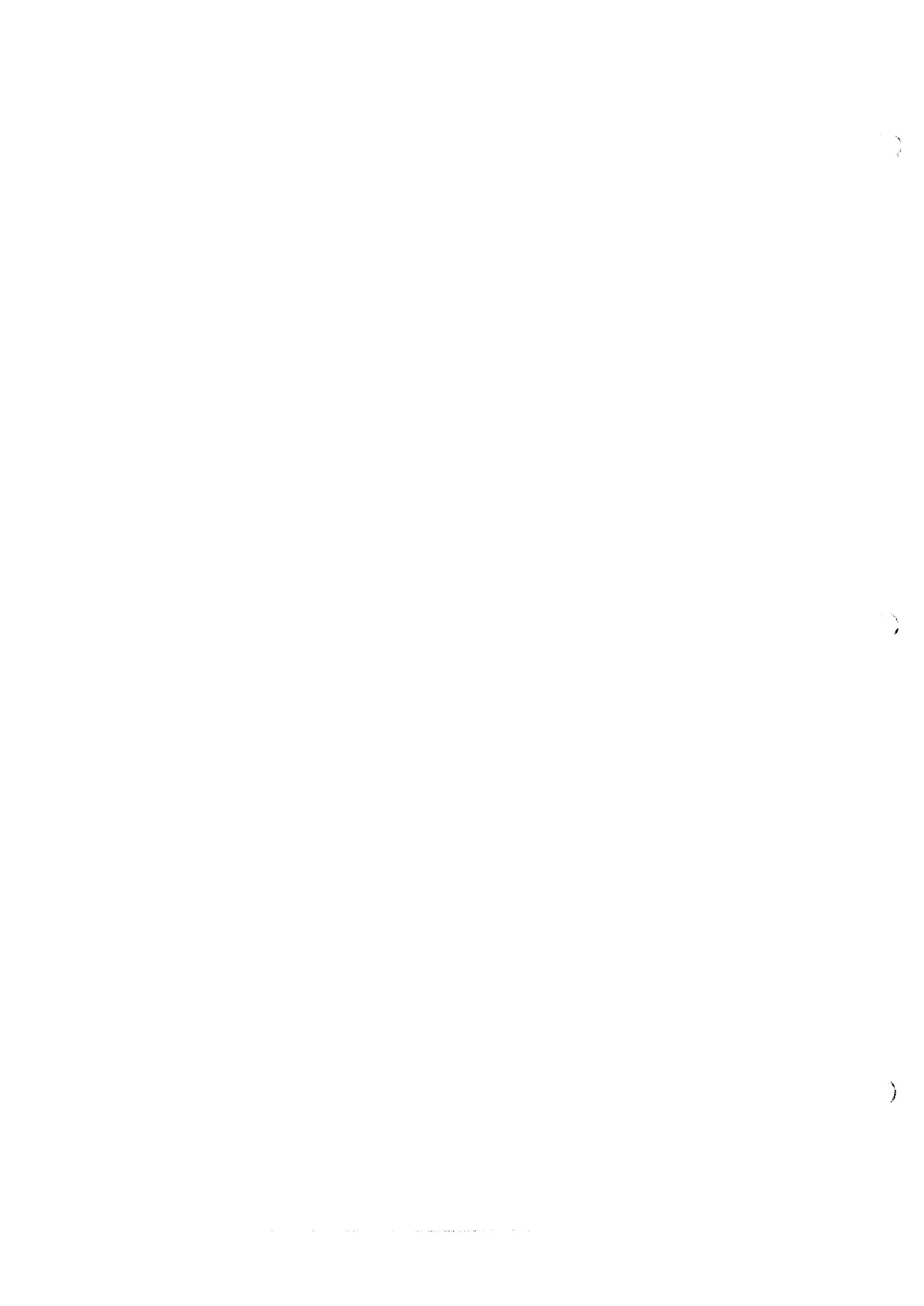
4. The present circular supersedes information circular ST/IC/1993/51 of 17 September 1993.

* Expiration date of the present circular: 6 October 1999.

** Personnel Manual index No. 2040.

97-27203 (E) 161097







Secretariat

2125

ST/IC/1997/67
14 October 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: MEMBERSHIP OF THE NEW YORK GENERAL SERVICE
CLASSIFICATION APPEALS AND REVIEW COMMITTEE**

1. The purpose of the present circular is to inform the staff that the Secretary-General has approved the following membership of the New York General Service Classification Appeals and Review Committee, with effect from 7 October 1997.

Chairperson: Ms. Barbara Blenman

Members representing
the administration:

Ms. Eslyn Sylvester
Ms. Patricia Vingo
Mr. Mario Tuason
Mr. Genene Zewge

Members representing
the staff:

Ms. Ruth Gobin
Ms. Deolinda Leitao-Greene
Ms. Judith Modeste
Ms. Chantal Reiter-Burns

2. Ms. Evelyn Hadad has been designated Secretary of the Committee.

3. The terms of reference of the Committee are set out in the annex to administrative instruction ST/AI/358 dated 31 July 1989 and in administrative instruction ST/AI/358/Amend.1 dated 21 April 1994.

4. The present circular supersedes information circulars ST/IC/1994/21 of 21 April 1994 and ST/IC/1994/21/Add.1 of 1 April 1996.

* Expiration date of the present circular: 6 October 1999.

** Personnel Manual index No. 2125.





Secretariat

2126

ST/IC/1997/67/Amend.1
31 December 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: MEMBERSHIP OF THE NEW YORK GENERAL SERVICE
CLASSIFICATION APPEALS AND REVIEW COMMITTEE**

The purpose of the present amendment is to inform the staff that Ms. Melanie Suzara has been designated Secretary of the New York General Service Classification Appeals and Review Committee. Paragraph 2 of information circular ST/IC/1997/67 is hereby amended accordingly.

* Expiration date of the present information circular: 6 October 1999.

** Personnel Manual index No. 2126.

98-00621 (E) 140198

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Secretariat

3070

ST/IC/1996/73
10 December 1996

ENGLISH ONLY

INFORMATION CIRCULAR

To: Staff members who are liable to pay income taxes to United States tax authorities on United Nations salaries and emoluments

From: The Controller

Subject: PAYMENT OF INCOME TAXES*

DEADLINES FOR SUBMISSION
OF REQUESTS FOR REIMBURSEMENT OF 1996 TAXES:

Staff serving in the United States:	3 March 1997
Staff serving elsewhere:	1 April 1997

DATES AND HOURS FOR INQUIRIES:

1 February through 4 April 1997
Mondays, Wednesdays and Fridays from 1.30 p.m. to 5.30 p.m.
7 April through 15 April 1997
Weekdays from 9.30 a.m. to 5.30 p.m.
16 April through 6 June 1997
Mondays, Wednesdays and Fridays from 1.30 p.m. to 5.30 p.m.
Payroll Section, Room S-1830
Telephone (212) 963-2949; Fax (212) 963-4184
cc:Mail Unit Tax; Internet tax@un.org

Note

The present circular contains important information about the reimbursement of income tax by the United Nations. Read it carefully and be sure that anybody you ask to assist you in the preparation of your tax returns reads it also. You will be required to certify as to the accuracy of certain statements made in your request for reimbursement and to give consent to the Organization to obtain

* Personnel Manual index No. 3070.

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3070

certain verifications directly from the Internal Revenue Service. This is explained fully in paragraphs 5 to 11 below. Please note especially paragraph 8, which defines your responsibility for informing the Organization of any change in your tax liability or filing of amended tax returns for any reason.

TAX ADVICE AND TAX FORMS. Staff members needing detailed tax advice and/or tax forms should refer to paragraphs 23 to 25 for further information and a listing of addresses, telephone numbers and Internet sites for IRS and state tax help services.

MINIMIZING OF TAX. You are required to make maximum use of all exemptions, adjustments to income, and deductions available to you and to certify to this effect (see paras. 12-15).

TWO-PARTY CHEQUES. Cheques for reimbursement of taxes or for tax advances will normally be made payable jointly to you and to a taxing authority (two-party cheques). They must either be endorsed by you and transmitted to the appropriate tax authorities or returned to the Payroll Section. Two-party cheques must NEVER, under any circumstances, be deposited into your personal account.

STAFF MEMBERS DUE LARGE REFUNDS FROM TAX AUTHORITIES. Large refunds are often due to overpayment of tax advances by the United Nations. Please refer to paragraphs 48 to 50 for an explanation as to how any excess reimbursements for 1996 will be handled.

TAXPAYING STAFF MEMBERS STATIONED OUTSIDE THE UNITED STATES. If you were assigned to a United Nations office or mission outside the United States during 1995, 1996 or 1997, you should give particular attention to the information contained in paragraphs 70 to 92.

CONTENTS

	<u>Paragraphs</u>	<u>Page</u>
INTRODUCTION	1 - 2	5
I. UNITED NATIONS POLICIES ON INCOME TAX REIMBURSEMENT ..	3 - 25	5
A. Rationale for reimbursement of taxes levied on United Nations income	3 - 4	5
B. Requirements for applications for reimbursement or for advances to pay estimated taxes	5 - 11	5
C. Obligation to minimize tax liability	12 - 15	7
D. Issuance of tax cheques by the United Nations	16 - 20	8
E. Limitation on retroactivity of claims for reimbursement of taxes	21	9
F. Policy regarding interest and penalties imposed by tax authorities	22	9
G. Income tax assistance, inquiries and forms	23 - 25	9
II. PROCEDURES FOR REIMBURSEMENT OF FEDERAL, STATE AND MUNICIPAL INCOME TAXES FOR CALENDAR YEAR 1996	26 - 52	11
A. Computation of the reimbursement	26 - 28	11
B. Statement of taxable earnings	29 - 34	11
C. Social Security numbers or taxpayer account numbers	35 - 36	13
D. Office to which settlement claims are to be submitted	37	13
E. Deadline for submission of settlement claims for 1996	38 - 40	14
F. Incomplete or incorrect applications	41 - 45	14
G. Issuance of final 1996 tax payment cheques	46 - 47	15
H. Overpayment of tax advances	48 - 50	15
I. Timely filing of tax returns	51 - 52	16
III. ADVANCES FOR ESTIMATED FEDERAL, NEW YORK, WASHINGTON, D.C., VIRGINIA OR MARYLAND AND NEW YORK CITY OR YONKERS INCOME TAXES FOR CALENDAR YEAR 1997	53 - 63	17

/...

CONTENTS (continued)

	<u>Paragraphs</u>	<u>Page</u>
IV. SOCIAL SECURITY CONTRIBUTIONS (SELF-EMPLOYMENT TAXES)	64 - 69	19
V. SPECIAL PROVISIONS AND PROCEDURES APPLICABLE TO STAFF MEMBERS ASSIGNED TO A UNITED NATIONS OFFICE OUTSIDE THE UNITED STATES DURING 1995, 1996 OR 1997 ..	70 - 92	20
A. General comments	70 - 71	20
B. Filing deadlines	72 - 73	20
C. Foreign earned income and housing cost exclusions	74 - 80	21
D. Filing procedures for staff members who have qualified for or are likely to qualify for foreign income exclusion for 1996	81 - 84	22
E. Requirements for amended tax returns in certain circumstances	85 - 88	23
F. Tax advances for staff members on mission or assignment outside the United States	89 - 90	24
G. Special provisions governing Social Security	91 - 92	24
VI. SPECIAL PROVISIONS RELATING TO STAFF MEMBERS WHO HAVE ALREADY SEPARATED FROM THE UNITED NATIONS OR WHO ARE EXPECTING TO SEPARATE FROM THE UNITED NATIONS IN 1997	93 - 100	25

INTRODUCTION

1. A staff member who is a United States citizen or a permanent resident (green card holder) who has signed the waiver of immunities is, as a rule, subject to taxation by the United States on his or her earnings from the United Nations. It is the staff member's PERSONAL RESPONSIBILITY to ascertain and meet his or her legal obligations, if any, arising under United States federal, state and municipal income tax laws.

2. A staff member who is liable for such taxes for 1996 and/or 1997 and who wishes to claim reimbursement from the United Nations may apply for reimbursement of such taxes in accordance with the procedures set out in the present circular.

I. UNITED NATIONS POLICIES ON INCOME TAX REIMBURSEMENT

A. Rationale for reimbursement of taxes levied on United Nations income

3. Most Member States, by acceding to section 18 (b) of the Convention on the Privileges and Immunities of the United Nations, have exempted United Nations staff members from national taxation of their official emoluments. A few Member States, however, have not done so in respect of their citizens or permanent residents, and these staff members may thus be required to pay taxes on their United Nations income. In the interests of equity, the General Assembly established a system to reimburse income taxes to those staff members of the United Nations who are required to pay taxes in respect of salaries or other emoluments which they receive from the United Nations.

4. The purpose of the reimbursement system is to place United Nations staff members subject to taxation in the position they would have had if their official emoluments were not taxed. Hence, it is intended neither to provide a benefit, nor to place the staff member at a disadvantage, in relation to other United Nations staff members who are not required to pay taxes to a Member State on their United Nations emoluments. United Nations staff regulation 3.3 (f) (i) stipulates that in no case shall the reimbursement by the United Nations exceed the final income taxes actually paid and payable in respect of a staff member's United Nations income.

B. Requirements for applications for reimbursement or for advances to pay estimated taxes

5. Staff members applying for reimbursement of federal, state or municipal taxes or for advances to pay estimated taxes must submit a duly signed and completed application. A complete application consists of several elements: (a) a request for settlement of income tax (United Nations form F.65 plus form F.65/A, if applicable); (b) a properly filled out consent for the Internal Revenue Service (IRS) to disclose tax return information to the United Nations (United Nations form F.243); and (c) in the case of requests for reimbursement of taxes, true, complete and signed copies of the relevant tax returns and

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3070

supporting information for the year for which reimbursement is requested. If an application for reimbursement of taxes includes tax returns for states other than New York, New Jersey, Connecticut, Washington, D.C., Maryland and Virginia, or for municipal authorities other than New York City or Yonkers, the tax rates and relevant instructions issued by the tax authority must be attached to the application.

6. A REQUEST FOR REIMBURSEMENT OR FOR ADVANCES WILL BE CONSIDERED AS INCOMPLETE IF NOT ACCOMPANIED BY PROPERLY COMPLETED FORMS F.65 (PLUS FORM F.65/A, IF APPLICABLE) AND F.243 OR (A) SIGNED COPY/COPIES OF INCOME TAX RETURN(S), AND IT WILL BE RETURNED TO THE STAFF MEMBER.

7. All applicable spaces on form F.65 must be filled in as completely as possible. The Payroll Section relies on current information, such as home address, office location and telephone extension, in order to facilitate communication with staff members. A staff member's home address on form F.65 should be the same as the home address indicated on the 1996 IRS form 1040 filed unless it is certain that the staff member is more easily reached at another mailing address.

8. In signing form F.65, staff members certify and undertake very specific obligations as a condition of receiving reimbursement or advances. Staff members agree specifically, inter alia, to notify the United Nations within 30 days of: (a) any amended returns filed with the tax authorities subsequent to the copies submitted to the United Nations; and (b) any change in the staff member's tax liability which might require adjustment of taxes, whether that change takes place before or after the return is filed, whether or not that change pertains to the staff member's United Nations income, and whether or not a joint return is filed. Because changes in income from non-United Nations sources or changes in deductions are likely to affect the amount of the United Nations reimbursement, any kind of change in tax liability must be reported to the United Nations. Failure to adhere to these obligations may result in: (a) suspension of issuance of further tax reimbursement cheques; (b) recovery of amounts already advanced and/or paid; and (c) possible disciplinary action.

9. In completing and signing form F.243, a staff member consents to authorize the Internal Revenue Service to disclose certain tax information to the United Nations for verifying actual income taxes paid to the United States. This consent may be revoked within 75 days of signature. However, if consent is revoked, the staff member must immediately repay to the United Nations the entire amount of any tax reimbursement payments, including those for federal, state and municipal taxes, received subsequent to the filing of the revoked consent. The staff member may also be required to repay other tax reimbursement payments received in respect of the tax years to which the revoked consent refers. If such repayments are not made promptly, the amounts may be deducted, pursuant to staff rule 103.18, from future payments by the Organization of salaries and other emoluments, and appropriate disciplinary action may also be taken. Normally, the completion of one form F.243 at the time of application for reimbursement will be sufficient for the entire year. However, staff members may be required to complete and sign another form F.243 at any time during the year.

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10. Form F.243 must be filed with no changes or alterations to the form itself, except as specified in the directions at the bottom of the form, and must be submitted with an original signature and date. Faxed copies of completed form F.243 are not acceptable because they do not have an original signature and date. The use of white-out or any subsequent corrections to form F.243 are not permitted. Form F.243 must be completed in ink and should not be completed in pencil. Any changes to form F.243 will result in delays in the processing of claims. Please adhere to the standard American dating convention of MONTH/DAY/YEAR and not the normal United Nations date format when completing form F.243. Reimbursement requests with a form F.243 in which the dating is ambiguous will be returned.

11. In cases where a staff member has filed a claim for reimbursement that must be returned by the Payroll Section because of an error or some other deficiency, the staff member will receive a Notice of Correction. If the staff member fails to respond to the Notice of Correction in a timely manner, there may be substantial delays in processing the reimbursement request.

C. Obligation to minimize tax liability

12. In order to minimize the burden on the Tax Equalization Fund, of which the Secretary-General is the trustee, and on voluntary funds from which tax reimbursements may be made, a staff member claiming reimbursement is required to make maximum use of all exemptions, adjustments to income and deductions in order to minimize her or his tax liability. In claiming a reimbursement from the United Nations, a staff member, inter alia, certifies and agrees on the Request for settlement of income taxes (form F.65) that he or she will minimize his or her taxes.

13. For married staff members, the filing of joint tax returns in most cases results in a lower tax liability both for the staff member and for the United Nations. Married staff members choosing to file separately must provide an acceptable written explanation for selecting that filing status. Staff members who receive a dependency allowance from the United Nations for their spouse must file jointly. Filing of joint federal returns by citizens and resident aliens with spouses who are non-resident aliens is permitted. New York State income tax laws require that taxpayers who file joint federal returns must, with very few exceptions, file joint New York State returns.

14. Staff members are required to itemize deductions if these would exceed the standard deductions allowable. Staff members should refer to the specific instructions issued by the tax authorities for examples of deductions allowed. If a staff member does not itemize deductions and it is determined by the United Nations that itemizing deductions would result in a lower tax, the tax returns will be returned to the staff member as INCOMPLETE, and she or he will be required to resubmit the returns with an itemized deduction schedule.

15. Staff members who have received United Nations dependency allowances for their relatives residing in the United States are required to claim the appropriate exemptions for the dependants, even if their filing status is married filing separately. Staff members who received dependency allowances for

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3070

secondary dependants must claim the exemptions or provide an acceptable written explanation as to the reason for not doing so.

D. Issuance of tax cheques by the United Nations

16. Cheques issued as the final settlement or advances for federal, state or municipal income tax liabilities attributable to United Nations earnings will usually be made payable jointly to the income tax authority and the staff member ("two-party cheques"). The staff member must endorse such cheques, thereby making them payable to the tax authority and then forward any such cheques to the tax authority. Two-party cheques payable to a tax authority and a staff member must NEVER, under any circumstances, be deposited into a personal account.

17. FAILURE TO ENDORSE AND FORWARD TWO-PARTY CHEQUES PROMPTLY TO THE APPROPRIATE INCOME TAX AUTHORITIES MAY RESULT IN A SUSPENSION OF ISSUANCE OF FURTHER TAX CHEQUES. DEPOSITING A TWO-PARTY CHEQUE INTO A PERSONAL ACCOUNT MAY RESULT IN SUSPENSION OF ISSUANCE OF FURTHER TAX CHEQUES, RECOVERY OF AMOUNTS ALREADY ADVANCED AND/OR PAID AND POSSIBLE DISCIPLINARY ACTION.

18. An exception to the United Nations procedure of issuing two-party cheques will be made only if the staff member provides proof that full payment of income taxes has already been made at the time the claim is submitted. Generally, proof of payment means copies of both sides of cancelled personal cheques made payable to the tax authorities. When such proof of prior payment is provided by a staff member at the time of submission of her or his claim, a single-party cheque payable solely to the staff member, will be issued. Any claims for reimbursement of income taxes which request a single-party cheque but do not provide acceptable proof of payment will be returned to the staff member.

19. The tax authorities require each taxpayer to enter her or his Social Security number on each cheque so that the cheque will be credited by the tax authority to the proper account. Staff members should verify that the Social Security number printed on the face of each tax cheque they receive is correct. Married staff members should always put their own Social Security number on any two-party cheque issued by the United Nations and not the Social Security number of their spouse. Staff members are urged to keep a record of the number of each tax cheque received from the United Nations. Copies of cancelled cheques can be obtained by providing the United Nations with the actual CHEQUE NUMBERS, together with an acceptable justification for the request. Requests for copies of cancelled cheques without cheque numbers will be honoured only when available resources permit.

20. Staff members who expect to be on official travel or leave on the date that tax cheques are issued should make prior arrangements with their executive officers to have the cheques issued early and forwarded to them, so that they can endorse and send the cheques to the appropriate tax authorities before the date on which tax returns or estimated instalments are due. It may not always be possible for the Payroll Section to accommodate requests for early cheques.

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E. Limitation on retroactivity of claims for reimbursement of taxes

21. The reimbursement of income taxes shall be deemed to be claimable by staff members on the last date on which their return for a particular year must be filed with the tax authority, without any extension of time for filing other than the automatic extension for staff serving abroad. In accordance with staff rule 103.15, no claims for reimbursement of tax will be entertained beyond one year after that date, unless the United Nations accepts that there are reasonable extenuating circumstances. In such cases, a staff member may request that the time limit in staff rule 103.15 be waived, supporting such a request by a written explanation for the delay and the circumstances which resulted in the failure to submit the claim for reimbursement within the prescribed period. Staff members will be required to submit sufficient documentary proof of the actual tax returns filed with the respective tax authorities.

F. Policy regarding interest and penalties imposed by tax authorities

22. As the responsibility for filing complete, correct and timely tax returns and estimated tax payments with any amounts due is that of the individual taxpayer, the United Nations will not reimburse staff members for interest or penalties imposed by tax authorities on their United Nations earnings. There are three exceptions to this rule. The United Nations may reimburse late payment and/or underpayment interest and penalty charges which arise from: (a) delays or incorrect written instructions or incorrect earnings data which are acknowledged by the United Nations as being the responsibility of the Organization; (b) extensions for staff members serving the United Nations outside the United States; or (c) underpayment of tax advances by the United Nations under the provisions of paragraph 56 (c), (d) and (e) below. The United Nations will not pay any late filing penalties.

G. Income tax assistance, inquiries and forms

23. Neither the Office of Programme Planning, Budget and Accounts nor the Office of Legal Affairs is staffed to provide advice or assistance to staff members on tax matters other than in relation to the treatment of United Nations earnings, and neither office can communicate directly with tax authorities on a staff member's behalf. Under the provisions of staff regulation 1.6, staff members are not permitted to provide assistance in income tax matters to other staff members for remuneration without the prior approval of the Secretary-General. Should advice on non-United Nations-related aspects of income tax returns be needed, staff members should consult government income tax authorities or tax preparation services. Staff members may wish to obtain a free copy of Publication 17, the Tax Guide for Individuals, which is issued annually by the Internal Revenue Service. Staff members serving outside the United States may wish to obtain a free copy of IRS Publication 54.

Specific information on all general tax matters may be obtained by calling the following telephone numbers or Internet sites:

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Internal Revenue Service 800-829-1040
<http://www.irs.ustreas.gov/prod/cover.html>

New York State Department of Taxation and Finance 800-225-5829
<http://www.nysl.nysed.gov/ils/executive/tax/tax.htm>

State of New Jersey, Department of the Treasury,
Division of Taxation 800-323-4400 or 609-588-2200
<http://www.state.nj.us/treasury/taxation/publit.html>

State of Connecticut,
Department of Revenue Services 800-382-9463 or 203-566-7033

NY, NJ and CT 800 numbers can be dialled in-state only.

Staff members serving outside the United States requiring federal income tax forms or information should contact the nearest United States embassy, consulate or Internal Revenue Service office listed below:

Bonn, Germany	(49) (228) 339-2119
Paris, France	(33) (1) 4296-1202
Riyadh, Saudi Arabia	(966) (1) 488-3800, ext. 210
Mexico City, Mexico	(52) (5) 211-0042, ext. 3557
Singapore	(65) 338-0521, ext. 247

24. In order to allow the Payroll Section adequate time in which to complete the processing of tax returns, inquiries will be received by the Payroll Section daily from 1.30 p.m. to 5.30 p.m. on Mondays, Wednesdays and Fridays commencing 1 February through 4 April 1997 and 16 April through 6 June 1997. The Payroll Section will be open for inquiries daily from 9.30 a.m. to 5.30 p.m. from 7 to 15 April 1997. Inquiries can be made by telephone (212 963-2949), fax (212 963-4184), cc:Mail (Unit Tax), Internet (tax@un.org) or in person in room S-1830. Staff members outside the United States who need more information or assistance may contact the Payroll Section at any time by telephone, fax, letter or through the Internet.

25. Most forms required for filing federal and state returns are available from libraries, post offices and specialized government Internet sites. The Payroll Section will attempt to maintain a supply of a few basic forms, which will be available to staff members on a limited basis, outside room S-1830. However, most tax forms will have to be obtained directly from the competent tax authorities. Tax forms may be ordered by calling the following telephone numbers or Internet sites:

Internal Revenue Service 800-829-3676
<http://www.fedworld.gov>

New York State Department of Taxation and Finance 800-462-8100
<http://www.nysl.nysed.gov/ils/executive/tax/taxforms.htm>

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State of New Jersey, Department of the Treasury,
Division of Taxation

800-323-4400 or 609-588-2200

<http://www.state.nj.us/treasury/taxation/taxprnt.html>

State of Connecticut,
Department of Revenue Services

800-382-9463 or 203-297-4753

NY, NJ and CT 800 numbers can be dialled in-state only.

Income tax forms from government Internet sites are available in file formats that require special software to be read and printed. File readers are generally available free of charge from many income tax Internet sites.

II. PROCEDURES FOR REIMBURSEMENT OF FEDERAL, STATE AND MUNICIPAL INCOME TAXES FOR CALENDAR YEAR 1996

A. Computation of the reimbursement

26. For the calendar year 1996, as in previous years, the method of computing the federal, state and municipal taxes payable on United Nations earnings and, thus, the amount which the United Nations will reimburse to a staff member is as follows.

27. The tax attributable to United Nations salary and emoluments is considered to be the DIFFERENCE between: (a) the total tax payable for the year as shown in the copies of the tax return submitted by the staff member with the United Nations income (as shown on the statement of taxable earnings) INCLUDED and (b) the tax that would be payable if United Nations income were EXCLUDED from total income.

28. Both calculations (a) and (b) above use the actual total deduction and the actual deduction for exemptions claimed by the staff member on her or his tax return. The adjustment to income for one half of self-employment tax (see para. 67 below) is considered to be an adjustment against United Nations income to the extent that this self-employment tax is attributable to United Nations income. All payment credits available, such as the earned income credit (EIC), the child and dependant care credit, the elderly and disabled credit and the foreign tax credit, are applied to reduce the total income tax liability and do not affect either calculation.

B. Statement of taxable earnings

29. Each staff member on the Headquarters payroll who is subject to United States taxes will receive a detailed statement of his or her United Nations taxable earnings for 1996 on United Nations form F.42 "Statement of taxable earnings". The statements will be issued before 31 January 1997.

30. A staff member who: (a) was payrolled at any time in 1996 by the Economic Commission for Africa (ECA), the Economic Commission for Latin America and the Caribbean (ECLAC), the Economic and Social Commission for Asia and the Pacific (ESCAP), the United Nations Office at Nairobi (UNON), the United Nations Office

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at Geneva (UNOG), the United Nations Office at Vienna (UNOV), the United Nations University (UNU), the Office of the United Nations High Commissioner for Refugees (UNHCR), the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) or the International Tribunal in The Hague or in Arusha; and (b) is required to file a United States federal income tax return, should receive a statement of his or her United Nations taxable earnings directly from the finance office at that location. Staff members who were on the payrolls of more than one office during 1996 should receive a separate statement of taxable earnings from each one; their total United Nations taxable income is the total of all such statements.

31. Staff members will note that at the bottom of the statement of taxable earnings there is a paragraph which explains that, since remuneration from an international organization is not subject to withholding, the United Nations is exempt from issuing a Wage and Tax Statement, IRS form W-2, per se. While it is not a requirement of IRS or state/local tax authorities, staff members may wish to attach a copy of the United Nations statement of taxable earnings to the income tax returns that they file with the appropriate tax authorities. A copy of the statement(s) of taxable earnings must be attached to the copy of the returns included with the request for reimbursement of taxes.

32. The following types of payments made by the United Nations to staff members during the calendar year 1996 are included in the statement of taxable earnings for 1996:

- (a) Gross salary (before the deduction of staff assessment);
- (b) Overtime and night differential;
- (c) Post adjustment;
- (d) Dependency allowance;
- (e) Mobility and hardship allowance (including hazard pay, where applicable);
- (f) Representation allowance;
- (g) Education grant;
- (h) Assignment grant;
- (i) Travel on appointment and/or separation;
- (j) Removal of household effects;
- (k) Home leave travel;
- (l) Rental subsidy.

The taxable portion of a partial or full distribution received from the United Nations Joint Staff Pension Fund (see paras. 95-99 below), along with any other taxable separation payments, such as accrued annual leave, repatriation grant or

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termination indemnity, will also be included on the statement in the case of staff members who have separated from the Organization. United Nations daily subsistence allowances (DSA) and mission subsistence allowances (MSA) are not taxable distributions.

33. The total of all types of payments shown on the statement of taxable earnings is the amount that will be reported directly by the United Nations to the United States Internal Revenue Service and is the amount that should be reflected in the staff member's income tax returns. Every possible effort will be made to ensure that all taxable income items have been included on the statement of taxable earnings. However, even if some items have been omitted, it remains the responsibility of the staff member to include all taxable items on her or his tax return and to inform the Headquarters Payroll Section of the amount received and the date of any item omitted from the statement of taxable earnings.

34. United Nations emoluments are considered wages or earnings from employment and they must be reported as such on line 7 of IRS form 1040, "Wages, salaries, tips, etc.". United Nations earnings should not be reported as part of business income on IRS Schedule C, which is normally not filed by United Nations staff members. Any claims for reimbursement using Schedule C to reduce United Nations earnings subject to income taxes will be returned to the staff member for correction.

C. Social Security numbers or taxpayer account numbers

35. The United States Internal Revenue Service, in connection with the operation of its automatic data-processing program, requires that taxpayers indicate their Social Security numbers on their tax returns for use as a taxpayer account number. Under the Internal Revenue Code, a penalty may be imposed for failure to supply an account or identification number, unless the taxpayer can show that the failure was due to reasonable cause.

36. Staff members who are liable to pay United States federal income tax should obtain a Social Security or taxpayer account number, even if they are not citizens or if their United Nations earnings are not otherwise subject to Social Security coverage. If a number is needed, the staff member should file federal application form SS-5 with the local office of the Social Security Administration. If a number has been applied for, but not received by the due date for filing, tax returns should be filed anyway and the words "Applied for" entered in the space provided for the number. Missing or incorrect Social Security numbers may result in the tax authority applying stringent penalties. Therefore, staff members are urged to apply for and to provide the Payroll Section with their Social Security numbers.

D. Office to which settlement claims are to be submitted

37. All staff members (except those who are or were payrolled by UNRWA) requesting reimbursement of income taxes for the calendar year 1996 should submit their completed applications to the Payroll Section of the Office of Programme Planning, Budget and Accounts, room S-1830, United Nations

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3070

Headquarters. UNRWA staff members should submit their applications for reimbursement to the UNRWA finance office.

E. Deadline for submission of settlement claims for 1996

38. All staff members serving in the United States should submit their completed applications for reimbursement as soon as possible after receipt of the statement of taxable earnings, but NOT LATER THAN 3 MARCH 1997. As discussed in paragraphs 72 and 73 below, for staff members serving outside the United States on or after 1 February 1997, the deadline for submission of applications for reimbursement is 1 APRIL 1997.

39. A staff member serving in the United States who submits a claim for reimbursement of 1996 income taxes on or before 3 March 1997 may anticipate that the claim will be reimbursed in advance of the 15 April 1997 IRS local filing deadline, provided the claim is complete and the Payroll Section finds no problems that may delay or prevent its timely processing. Similarly, a staff member serving outside the United States who submits a complete and processable claim for reimbursement of 1996 income taxes before 1 April 1997 may anticipate the claim will be reimbursed in advance of the 16 June 1997 IRS overseas filing deadline. Staff members who submit their claims for reimbursement of 1996 income taxes after the published United Nations submission deadlines are not assured that their claims will be reimbursed by the IRS filing deadlines applicable to them.

40. All staff members who received advances to pay estimated taxes for the tax year 1996 must submit a copy of their final tax returns for 1996, together with form F.65 (Request for settlement of income taxes) and form F.243 to the Payroll Section. If a staff member does not submit these by 12 September 1997, any tax advance payments which have been made to him or her WILL BE RECOVERED FROM SALARY starting the following month.

F. Incomplete or incorrect applications

41. The elements of a complete application for reimbursement of taxes are set out in paragraphs 5 and 6 above. An incomplete application will not be considered a valid request and will be returned to the applicant. In such cases, the date of submission will be deemed to be the date of receipt of the corrected, complete return.

42. In recent years the use of computerized tax preparation packages by commercial tax preparers has become widespread, and some of them include the electronic filing of tax returns with the Internal Revenue Service. The paper copies of tax returns generated from computer software can be accepted by the Payroll Section as the required copy of a staff member's return only if there is a fully printed description for each line number of the tax return comparable to the line descriptions on federal and state returns. Computerized tax return forms which contain only line numbers and amounts are NOT acceptable. Federal income tax returns must be prepared using IRS form 1040 and New York state resident returns must be prepared using New York State Department of Taxation and Finance form IT-201.

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43. If the Payroll Section determines, in the course of processing a request for reimbursement, that an error has been made by a staff member in his or her tax return(s), it will issue to the staff member a written notice of corrections to be made to the tax return(s). Staff members should not, however, rely on the Payroll Section to detect errors; they remain fully responsible for filing correct returns with the tax authorities. Staff members who receive notices of correction are required to certify that they have made the necessary changes to their tax returns and have submitted the corrected returns to the tax authorities. They must return the notification of correction to the Payroll Section along with a copy of the corrected return(s) which they certify have been sent to the tax authorities. The United Nations will not be responsible for any delays in the issuance of tax cheques because of the requirement for returning the correction notification form with a copy of the corrected return(s) to the Payroll Section.

44. In instances when staff members have already filed their returns with the tax authorities before the receipt of a notification of correction from the Payroll Section, they must submit appropriate AMENDED returns to the tax authorities and submit a copy of the amended return(s) to the Payroll Section.

45. The failure of a staff member to return complete and correct copies of tax returns to the Payroll Section within 30 days of the date of a correction notification will result in the suspension of future quarterly tax advance cheques and the recovery of advances already paid.

G. Issuance of final 1996 tax payment cheques

46. Final tax reimbursement cheques will be issued by 4 April 1997 to all staff members whose claims are submitted on time by the deadline of 3 March 1997. Staff members whose advances to pay estimated taxes for 1996 exceeded their entitlements to tax reimbursement for 1996 for both federal and state returns receive no reimbursement cheques. Staff members whose advances to pay estimated taxes for 1996 were less than their entitlement to tax reimbursement for 1996 will receive either one or two reimbursement cheques for each return.

47. When two reimbursement cheques are received for a particular tax return, one of the cheques will be a two-party cheque payable jointly to the staff member and the taxing authority, and the other cheque will be a single-party cheque payable solely to the staff member. The staff member must endorse any two-party cheques and forward them solely to the appropriate tax authority. Two-party cheques payable to a tax authority and a staff member must NEVER, under any circumstances, be deposited into a personal account.

H. Overpayment of tax advances

48. If a staff member has received advances to pay estimated taxes for 1996 from the United Nations which exceed his or her entitlement to reimbursement for the United Nations share of the total tax liability for 1996, the amount of excess reimbursement for 1996 will normally be considered by the United Nations to be estimated tax payments for 1997. The total amount of new advances made for 1997 estimated taxes will be reduced accordingly. Such excess amounts are

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3070

indicated on the transmittal statement accompanying 1996 reimbursement cheques and/or 1997 advance cheques. Any such excess payments for 1996 will be deducted from the first quarter tax advance cheque for 1997 and, if necessary, from subsequent quarterly tax advance cheques.

49. In such cases, staff members should be aware that they may incur penalties and interest if the total amount of estimated tax payments for 1997 are significantly underpaid as a result of the reduction in the 1997 advance cheques issued by the United Nations. Staff members will need either to designate on their 1996 tax returns a portion of any 1996 refunds due as an estimated payment for 1997 and/or to make additional estimated tax payments for 1997 directly.

50. In certain instances, United Nations advances received to pay estimated taxes for 1996 may have greatly exceeded the staff member's total taxes due and the staff member is eligible for an unusually large refund from the tax authority. In these instances, most or all of the potential refund is due to and payable to the United Nations, and this excess reimbursement for 1996 by the United Nations cannot be recovered in a reasonable time by the normal method of reducing the staff member's 1997 tax advances. In such circumstances, the staff member must request a full refund on her or his 1996 tax return, endorse the refund cheque to the United Nations when it is received and return it to the Payroll Section. The Payroll Section will then issue another cheque payable to the staff member for whatever portion of the total 1996 refund was not due to the United Nations. Any such unusually large refunds from a tax authority, which are due to a significant overpayment of tax advances by the United Nations and which are not returned to the Payroll Section within 90 days of the required filing date of the tax return, will be subject to immediate recovery from salary or final termination payments. A staff member who is uncertain whether a large refund from a tax authority must be treated in this fashion should consult with the Payroll Section.

I. Timely filing of tax returns

51. Whether or not United Nations final reimbursement cheques are received by the filing deadline of 15 April 1997, staff members should file their returns on time with the appropriate tax authorities unless they have filed a request for an extension of the deadline or serve outside the United States and are eligible to file on 16 June 1997, as discussed in paragraph 72 below. This will avoid the substantial penalties for failure to file the tax return within the time prescribed by law. If the tax return is filed without total payment, IRS and other tax authorities will levy a charge for the failure to pay the tax or portion thereof when due. Staff members may wish to refer to IRS Notice 746 (rev.10-94) for further information about notice, penalties and interest. The United Nations will not pay any late filing penalties.

52. In this connection, the staff member is responsible for his or her share of the tax due and any interest and penalty related thereto. If, despite full compliance by the staff member with the procedures set out in the present circular, the United Nations cheques were not received or were not received in a timely fashion, a claim for reimbursement of any late payment interest and penalties levied will be considered in accordance with the provisions of paragraph 22 above.

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III. ADVANCES FOR ESTIMATED FEDERAL, NEW YORK, WASHINGTON, D.C., VIRGINIA OR MARYLAND, AND NEW YORK CITY OR YONKERS INCOME TAXES FOR CALENDAR YEAR 1997

53. A staff member who will be liable to pay federal, state or municipal income taxes for 1997 is required to file, by 15 April 1997, a declaration of estimated tax on his or her estimated 1997 income, including salary and emoluments, to be received from the United Nations. Instructions regarding the filing of the declaration of estimated income tax, showing how and when payments are to be made, can be found on IRS tax form 1040ES, New York tax form IT-2105, New Jersey tax form NJ-1040ES, and Connecticut form CT-1040ES.

54. Staff members should be aware that in order to avoid the penalty for underpayment of estimated taxes for 1997, in most circumstances they will be required to pay in equal quarterly instalments as estimates of their 1997 federal tax at least the lesser of: (a) 100 per cent of their actual 1996 tax liability (including the self-employment tax); or (b) 90 per cent of their estimated 1997 tax liability (including the self-employment tax).

55. IT IS THE RESPONSIBILITY OF STAFF MEMBERS TO INCLUDE ON THEIR ESTIMATED TAX FORMS, ESTIMATES OF ADDITIONAL TAXABLE INCOME FROM SOURCES OTHER THAN THE UNITED NATIONS AND TO PAY THE ESTIMATED TAX DUE THEREON.

56. The United Nations is prepared to assist staff members to meet their estimated tax obligations on United Nations income. To facilitate the payment of estimated taxes, quarterly advances are issued to staff members on request and under the conditions prescribed below:

(a) A request for the issuance of advances to pay 1997 estimated income taxes is made by completing the appropriate section of form F.65 (Request for settlement of income taxes), normally completed at the same time as the request for the 1996 final tax reimbursements;

(b) No advances will be issued to pay 1997 estimated income taxes to any staff member who has received advances to pay 1996 estimated income taxes but who has not filed a completed tax form for 1996;

(c) No advances will be issued to staff members who are working under an initial appointment contract with the United Nations which is less than six months. The United Nations will be prepared to reimburse any penalty incurred by the staff members related to underpayment of estimated taxes on such United Nations income;

(d) Staff members who have separated from the United Nations will receive no additional advances. In some instances, retiring staff members who joined the Organization before 1 January 1980 will receive taxable lump-sum pension payments or other taxable distributions that will require additional estimated payments to be made to taxing authorities. The United Nations will not make further tax advances in these cases but will be prepared to reimburse any penalty incurred by the staff members related to the reimbursable portion of the United Nations payments;

3070

(e) Advances may be reduced or eliminated for staff members on mission or assignment outside the United States who are likely to qualify for the foreign income exclusion discussed in paragraphs 74 to 80 below. Should it be necessary, the United Nations will reimburse any resulting penalty incurred by the staff members related to underpayment of estimated taxes on United Nations income;

(f) The amounts of the estimated tax advances issued by the United Nations will be determined by the Payroll Section; they will normally be based either on earnings received from the United Nations in 1997 or on the amount of taxes paid on United Nations income for the full year 1996 plus the United Nations portion of the Social Security (self-employment) taxes expected to be paid for 1997, if any;

(g) All tax advances issued during 1997 will be applied against the amount finally determined as reimbursable by the United Nations for the year 1997.

57. Estimated taxes are payable to the tax authorities in four quarterly instalments due on 15 April 1997, 16 June 1997, 15 September 1997 and 15 January 1998. Advances for the first quarterly instalment of the 1997 taxes will be issued by 4 April 1997, and those for subsequent quarterly payments will be issued by 6 June 1997, 5 September 1997 and 5 January 1998.

58. In 1995, the United Nations changed the procedures for the payment of advances to IRS for estimated federal taxes. In lieu of individual cheques for federal tax advances, the United Nations makes a direct deposit to IRS of regularly scheduled quarterly advances of federal estimated tax.

59. For most staff members paying taxes to the United States, tax advances granted are deposited directly with IRS for credit to the staff member's individual accounts as estimated payments received. Staff members who have not filed their requests for 1997 advances with the Payroll Section by the Headquarters deadline of 3 March 1997 may receive their first advance for estimated federal taxes for 1997 by cheque rather than direct deposit. However, in these instances, any subsequent advances in 1997 for federal estimated taxes will normally be made by direct deposit.

60. In general, advances for New York or other state/city estimated taxes will continue to be made by two-party cheque, payable jointly to the staff member and the tax authority. These state/city cheques must continue to be endorsed by the staff member and sent promptly with the proper form to the appropriate tax authority.

61. The United Nations is currently able to issue advances by two-party cheques only for federal and New York state taxes. Any advances for Washington, D.C., Virginia or Maryland state/city estimated taxes will be made by single-party cheques. These state/city single-party cheques must be endorsed by the staff member and sent promptly with the proper form to the appropriate state/local tax authority. The United Nations does not issue advances for estimated taxes for states other than New York, Washington, D.C., Virginia and Maryland.

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62. Staff members whose tax advance payments for estimated federal taxes in 1996 were made by a direct deposit to the IRS will be notified of the amount of the direct deposit on the 1996 Statement of Taxable Earnings.

63. Staff members whose tax advance payments for the United Nations share of their estimated federal taxes are made by direct deposit with IRS will, in many cases, still have to make additional estimated tax payments directly to IRS each quarter, using IRS form 1040-ES payment vouchers. Staff members who are United States citizens and are thus required to pay Social Security contributions on their United Nations earnings will need to make estimated federal tax payments for their own share of Social Security (self-employment) taxes due and may be penalized for underpayment of estimated taxes if they do not. All staff members with taxable income from sources other than the United Nations may need to make additional estimated federal tax payments each quarter as well.

IV. SOCIAL SECURITY CONTRIBUTIONS (SELF-EMPLOYMENT TAXES)

64. It is mandatory that all United States citizens report any self-employment income and pay the appropriate self-employment tax. United States citizens (but not resident aliens - green card holders - who have signed the waiver of immunity) who are serving in the United States have Social Security coverage while employed by the United Nations. United States citizens serving abroad do not, except as indicated in paragraphs 91 and 92, have Social Security coverage; they are neither subject to self-employment tax nor can they obtain Social Security coverage by voluntary payments.

65. United States citizens working for the United Nations and serving in the United States are taxed on United Nations earnings AS IF THEY WERE self-employed. Their Social Security contribution on the gross amount of United Nations taxable income for 1996 must be calculated using IRS Schedule SE. This does not imply, however, that United Nations emoluments should be reported on IRS Schedule C (see para. 34).

66. The General Assembly has approved payment of the difference between the total amount of self-employment (Social Security) tax United States citizens are required to pay as United Nations staff and the amount they would have to pay themselves as employees of a taxable employer in the United States. The United Nations will normally reimburse one half of the self-employment tax due on the United Nations taxable earnings as calculated on IRS Schedule SE.

67. United States citizens employed by the United Nations in the United States must complete Schedule SE (Self-employment Tax) as part of their federal form 1040 to report their United Nations income. An adjustment to income for self-employment taxes due is allowed on the staff member's federal return and on some state returns as well. The amount of the adjustment to income is one half of the total self-employment tax reported on Schedule SE. This adjustment to income must be reported on line 25 of IRS form 1040 and, if applicable, on line 17 of New York State forms IT-201 and IT-203.

68. An individual's total estimated tax is defined as the sum of his or her estimated income tax and estimated self-employment tax. This means that a United States citizen employed by the United Nations in the United States is

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3070

required to pay her or his self-employment tax on a quarterly basis. The payment of any balance of the self-employment tax in respect of the year 1996 will be due on or before 15 April 1997, together with the federal income tax return.

69. Application for reimbursement of the United Nations portion of Social Security contributions (self-employment tax) owed is made by completing form F.65 (Request for settlement of income taxes) and attaching a completed copy of federal tax Schedule SE with the submitted tax return. The amount due from the United Nations in respect of Social Security contributions (self-employment tax) is automatically included in the quarterly advances issued by the United Nations for payment of estimated United States federal income tax. The amount of self-employment tax included in the quarterly advances will be specifically indicated on the transmittal statement. Quarterly payments by the staff members for their own share of self-employment taxes should normally equal the amounts paid by the United Nations.

V. SPECIAL PROVISIONS AND PROCEDURES APPLICABLE TO STAFF MEMBERS ASSIGNED TO A UNITED NATIONS OFFICE OUTSIDE THE UNITED STATES DURING 1995, 1996 OR 1997

A. General comments

70. The United States tax regulations for taxpayers who are or have been outside the United States recently for long periods of time are especially complicated; United Nations tax reimbursement procedures necessarily reflect that complexity. Staff members with questions about these procedures, particularly those staff members currently stationed outside the United States, should not hesitate to seek assistance from the Payroll Section by letter, telephone (212 963-2949), fax (212 963-4184), cc:Mail (Unit Tax) or Internet (tax@un.org).

71. Staff members who are stationed outside the United States on or after 1 February 1997 are expected to meet the deadlines and requirements discussed in the following paragraphs. To the maximum extent possible, the deadlines and other requirements have been designed to allow such staff members additional time to comply with them. Staff members who are unable for any reason to comply with the filing deadlines or other requirements must notify the Payroll Section promptly and provide a written explanation of the circumstances.

B. Filing deadlines

72. IRS grants taxpayers who are physically outside the United States on 15 April 1997 an automatic extension to 16 June 1997 for the filing of income tax returns for 1996, in recognition of the difficulties that such taxpayers may encounter in meeting the 15 April deadline. This extension to file is granted automatically, but a written statement certifying that the staff member is outside the United States must be attached to the return. Interest and late payment penalties are charged on any tax payments owing and received after 15 April 1997. Please note that state tax authorities do not normally grant an automatic extension of time to file for overseas taxpayers. Staff members

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applying for an extension to file 1996 federal income tax returns have to apply separately for extensions to file any required state returns. Some state applications for extension of time to file income tax returns are available on the Internet at <http://www.taxwebt.com/extend/html>.

73. The United Nations takes this automatic filing extension into consideration by granting those staff members serving outside the United States on or after 1 February 1997 an additional month in which to submit their request for settlement. These staff members should submit a claim for tax reimbursement as soon as possible, but NOT LATER THAN 1 APRIL 1997. The United Nations will pay any late payment and/or underpayment interest and penalties that may have accrued as a result of this extension either to the date of payment of any unpaid taxes on United Nations income or to 16 June 1997, whichever is earlier.

C. Foreign earned income and housing cost exclusions

74. In certain circumstances, the federal Government and many states allow some or all income earned outside the United States to be excluded from total income before it is taxed. A staff member meeting either the PHYSICAL PRESENCE TEST or the BONA FIDE RESIDENCE TEST as follows must elect to exclude in one or more taxable years foreign earned income attributable to the period of residence outside the United States:

(a) To qualify for this foreign earned income exclusion under the PHYSICAL PRESENCE TEST, a staff member must be physically outside the United States for at least 330 full days during any period of 365 consecutive days. A full day means the 24-hour period that starts at midnight. The 330 full days may be interrupted by periods in the United States;

(b) Alternatively, to qualify for this foreign earned income exclusion under the BONA FIDE RESIDENCE TEST, the staff member must, in addition to being either a United States citizen or a United States resident alien who is a national of a country with which the United States has an income tax treaty in effect, be a BONA FIDE resident of a foreign country, or countries, for an uninterrupted period that includes a complete tax year, 1 January through 31 December. The determination whether a staff member is a BONA FIDE resident of a foreign country involves his or her intention about the length and nature of the stay. In general, if a staff member goes to a foreign country for a definite, temporary purpose and returns to the United States after it is accomplished, she or he is not a BONA FIDE resident of that country. If accomplishing the purpose requires an extended, indefinite stay, and a staff member makes his or her home in the foreign country, he or she may qualify as a BONA FIDE resident.

75. Most staff members on mission who qualify for the foreign income exclusion do so under the PHYSICAL PRESENCE TEST because they have been on assignment for the United Nations outside the United States for 330 days during some consecutive 365-day period. Some staff members, who have not yet been outside the United States long enough by early 1997 to qualify for the exclusion, are likely to qualify later in 1997 when their assignment has carried on for a year or so. The specific 365-day consecutive period during which a staff member is outside the United States for at least 330 full days is the QUALIFYING PERIOD

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3070

for the foreign income exclusion. Very often the QUALIFYING PERIOD will cut across two calendar years and will therefore affect the staff member's tax returns for both years.

76. Staff members who have completed an assignment of more than 330 days outside the United States or who are likely to by the end of 1997 should contact the Payroll Section to see if they are qualified or will be qualified to claim the foreign income exclusion. Staff members who have been on mission or assignment outside the United States during 1995, 1996 or 1997 must complete form F.65/A as a supplement to form F.65 (Request for settlement of income taxes) in order to help the Payroll Section in determining whether or not staff members have qualified or are likely to qualify for the exclusion.

77. The maximum amount of foreign income which can be excluded is \$70,000 per year for a staff member whose QUALIFYING PERIOD outside the United States is the full 12 months of the tax year. In most cases the amount of the maximum foreign income exclusion for a particular tax year is reduced in proportion to the number of days in a staff member's QUALIFYING PERIOD that fall within that tax year.

78. Some staff members who qualify for the general foreign earned income exclusion will also qualify for excluding and/or deducting an additional amount based upon foreign housing costs. Staff members who are eligible (see IRS form 2555 instructions for further details) must take the full housing cost exclusions and/or deductions permissible. These housing expenses include rent, utilities (other than telephone charges), real and personal property insurance, non-refundable fees paid to obtain a lease, rental of furniture and accessories, residential parking and household repairs.

79. If a staff member qualifies for federal income tax purposes for the foreign income exclusion for United Nations income earned outside the United States, such income can and must also be excluded from New York State, Connecticut, New York City and Yonkers income, if applicable. There is no foreign income exclusion allowed, however, as a reduction to New Jersey income.

80. In calculating a staff member's tax reimbursement with respect to United Nations income, any foreign income exclusion available and any housing costs exclusion or deduction will be applied against the staff member's United Nations earnings to the extent that these deductions resulted from the period of his or her service with the Organization.

D. Filing procedures for staff members who have qualified for or are likely to qualify for foreign income exclusion for 1996

81. Staff members who by 15 April 1997 already qualify for a foreign income exclusion for part or all of 1996, because the end of their QUALIFYING PERIOD has already been reached, must claim the exclusion for 1996 by completing IRS form 2555, "Foreign earned income", and including it with their completed federal tax return. All federal tax returns which include IRS form 2555 (including amended returns) must be sent to the Internal Revenue Service Center, Philadelphia, PA 19255, no matter what IRS filing centre is normally used.

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82. Staff members on mission or assignment outside the United States since 1996, who have not yet qualified for the foreign income exclusion but who think it likely that they will be outside the United States for 330 days during a QUALIFYING PERIOD that will end between 15 April 1997 and 30 September 1997, must take advantage of the IRS provision that allows them to postpone filing their 1996 tax returns until such time as they expect to qualify for the foreign income exclusion for some portion of 1996.

83. Staff members postponing their tax filing for 1996 for this reason who anticipate they will not qualify for the foreign income exclusion by 16 June 1997 (the extended filing date automatically granted by the IRS to taxpayers physically out of the United States on 15 April) should file IRS form 2350, "Application for extension of time to file U.S. Income Tax Return". This form 2350 should be sent to the Internal Revenue Service Center, Philadelphia, PA 19255, no later than 16 June 1997. Staff members must also notify the Payroll Section that they have postponed filing with IRS and accordingly will not be able to meet the Payroll Section's 1 April 1997 deadline for submission of settlement claims for 1996.

84. Staff members who qualified for the foreign income exclusion for 1996 may in some cases have received tax advances for 1996 substantially in excess of the United Nations share of their total tax liabilities. Staff members in this situation should refer to paragraphs 48 to 50 above on overpayments of tax advances.

E. Requirements for amended tax returns in certain circumstances

85. Staff members on mission or assignment outside the United States in 1997 who have not yet qualified for the foreign income exclusion for 1996 and who do not expect to qualify by 30 September 1997 must submit their settlement claim for 1996 to the Payroll Section by the regular deadline of 1 April 1997 and file their returns for 1996 with the taxing authorities. Should they subsequently qualify for the foreign income exclusion with a QUALIFYING PERIOD that includes any portion of 1996, an amended return or returns for 1996 must be filed with the tax authorities within 90 days of the end of the QUALIFYING PERIOD.

86. Similarly, staff members who were on a mission or assignment outside the United States which qualified them for the foreign income exclusion with a QUALIFYING PERIOD that included part or all of 1995 or any prior tax year and who have not already claimed the exclusion on that year's income tax return(s) must file an amended return or returns with the applicable tax authorities within 90 days requesting a refund.

87. A copy of any amended return(s) to claim the foreign income exclusion must be submitted to the Payroll Section at the time of the filing with the tax authorities. Since the foreign income exclusion on returns amended for this reason relates to United Nations income for which the United Nations has already provided reimbursement, most or all of the amount eventually received as a refund by the staff member as a result of the filing of the amended return(s) will be due to the United Nations. Upon receipt of the refund cheque, staff

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members must within 30 days bring or send it to the Payroll Section for settlement of the balance due to the United Nations.

88. If it is determined by the Payroll Section that a staff member has qualified for the foreign income exclusion for a past year which would require the staff member to file an amended return for that year, a notification will be sent to the staff member informing him or her of the need to file the amended return(s). If after 90 days following the date of the notification, the staff member has not submitted a copy of the properly amended return as filed with the tax authorities, the amount of tax reimbursement made by the United Nations for that year will be RECOVERED FROM SALARY starting the next month.

F. Tax advances for staff members on mission or assignment outside the United States

89. Tax advances for 1997 for staff members who have qualified or are likely to qualify for the foreign income exclusion in 1997 will be made based only on any estimated United Nations income in excess of the expected exclusion. If for any reason the staff member does not later qualify for the exclusion, the United Nations will, in addition to reimbursing the tax actually due, pay any penalties due for the underpayment of the United Nations share of estimated taxes due.

90. Staff members who are newly assigned in 1997 to missions or offices outside the United States for a period of six months or longer must notify the Payroll Section of their assignments prior to their departure. No further tax advances will be made to staff members who begin a six-month or longer assignment outside the United States prior to 15 August 1997. Staff members who returned in 1996 from assignments outside the United States should notify the Payroll Section in order to determine if 1997 quarterly estimated tax cheques need to be reinstated or increased.

G. Special provisions governing Social Security

91. United States citizens serving abroad (whether or not they qualify for the foreign income exclusion) do not have Social Security coverage and generally pay no self-employment taxes. However, to the extent that they spend time in the United States, whether on duty or on leave, their earnings for each such period are subject to the self-employment tax, which will be partially reimbursed by the United Nations in accordance with paragraphs 65 to 68 above.

92. The Social Security contribution (earnings subject to self-employment tax) for each such period should be calculated by multiplying the number of days spent in the United States (including the days of arrival and departure) by the daily rate of remuneration (calculated as a fraction of the then prevailing monthly rate), consisting of gross base salary, post adjustment and any salary allowances paid during the applicable period. The minimum amount of income that must be reported for self-employment/Social Security purposes in any year is \$400.

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3070

VI. SPECIAL PROVISIONS RELATING TO STAFF MEMBERS WHO HAVE
ALREADY SEPARATED FROM THE UNITED NATIONS OR WHO ARE
EXPECTING TO SEPARATE FROM THE UNITED NATIONS IN 1997

93. When a staff member leaves the Organization for any reason, he or she is still required to follow the procedures for requesting tax reimbursement for the last year in which she or he received compensation from the United Nations. Staff members who terminated or received final payment during 1996 are required to file the application forms with copies of their 1996 returns by the normal 1997 deadlines.

94. When a staff member who has received tax advances leaves the Organization before the end of a year, the Payroll Section estimates the amount of reimbursement for taxes owed to the staff member for the partial year worked and compares it to the amount of advances already received. If the amount of advances already received exceeds the estimated reimbursements owed, the difference is subtracted from the staff member's final termination payment. Staff members who plan to leave the Organization and who wish to avoid such a deduction from their final payment should consult the Payroll Section as soon as possible to reduce the amount of tax advances they will otherwise receive.

95. United Nations Joint Staff Pension Fund (UNJSPF) payments to retiring staff members may include full or partial lump-sum distributions, which include the staff member's own contributions to the Fund, the Organization's contributions and interest earned. The Organization's contributions, a portion of the staff member's contributions and interest earned are taxable income to the staff member.

96. UNJSPF payments to separating staff members who are not retiring may include full or partial withdrawal settlements, which include the staff member's own contributions to the Fund, the Organization's contributions in some cases, and interest earned. The Organization's contributions, if any, and interest earned are taxable income to the staff member.

97. The taxes on these UNJSPF payments may or may not be reimbursed by the United Nations, depending on the staff member's period of service. Retiring staff members who joined the Organization prior to 1 January 1980 are entitled to receive reimbursement for income taxes paid on partial or full lump-sum pension payments and withdrawal settlements received. Qualified staff members who wish such tax reimbursement from the United Nations for lump-sum payments should make sure to include these payments as part of net income on their tax returns in the year the payment is received. The United Nations will not reimburse any future taxes payable on such distributions if the income tax liability for these amounts is deferred to future years because the staff member has "rolled over" the payments into another qualifying pension plan or an IRA account. Staff members should not use IRS form 4972 to calculate the amount of tax on a partial lump-sum pension payment. Any claim for reimbursement of income taxes where the tax on a partial lump-sum payment is calculated on IRS form 4972 will be returned to the staff member for correction.

98. The General Assembly, in resolution 34/165 of 17 December 1979, decided that staff members joining the United Nations after 1 January 1980 will not be

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3070

entitled to receive reimbursement for income taxes paid on partial or full lump-sum payments and withdrawal settlements received. Such staff members, who do not qualify for reimbursement, may wish to "roll over" lump-sum pension payments within 60 days of receipt into another qualifying pension fund or into an IRA account, so that taxes on the payments are deferred until distributions are received in later years.

99. Separating staff members who are members of the Pension Fund receive a letter from the secretariat of UNJSPF which provides the details of their contributions and United Nations payments. Staff members must submit a copy of this letter to the Payroll Section by 31 December, so that the taxable portion of their distributions can be determined and the correct amounts incorporated into their statement of taxable earnings. Staff members who have become permanent residents of the United States after having joined the United Nations must also provide a copy of the personnel action form (P.5) showing the date they signed the Waiver of Privileges and Immunities of the United Nations. Partial or full lump-sum payments and withdrawal settlements pertaining to the period of service prior to signing the Waiver are not taxable and will not be included as part of the taxable portion of pension lump-sum payments. If the Statement of Taxable Earnings does not contain the taxable portion of any lump-sum or settlement payments received, a staff member is nonetheless required to include the correct amount in his or her total of taxable income reported to the tax authorities. Requests for reimbursement for taxes will not be processed for separated staff members if the Payroll Section has not previously received a copy of the separation benefits letter from the secretariat of UNJSPF.

100. Staff members who have separated from the United Nations will receive no further tax advances. Taxable lump-sum or withdrawal settlement payments will often require additional estimated tax payments to be made to avoid penalties. The United Nations will not make additional advances for such separation distributions but will be prepared to reimburse any late payment and/or underpayment penalty and interest incurred by the staff members related to the reimbursable portion of the United Nations payments.

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To: PAYROLL SECTION, Room S-1830, Office of Programme Planning, Budget and Accounts, United Nations

Name:	_____	Index no.:	_____	Social Security no.:	_____
	Last	First	M.I.	Mandatory	Mandatory
Visa status:	<input type="checkbox"/> U.S. citizen since at least 1 January 1996 (Visa status "U") <input type="checkbox"/> U.S. permanent resident since at least 1 January 1996 and have signed the "Waiver" (Visa status "W") <input type="checkbox"/> Residency/citizenship status changed from _____ to _____, effective date _____ day/month/year				
Duty status:	<input type="checkbox"/> Active staff member at time claim for reimbursement submitted to Payroll Section <input type="checkbox"/> Separated staff member as at _____ day/month/year <input type="checkbox"/> Retired staff member as at _____ day/month/year <input type="checkbox"/> Other, please explain _____, effective date _____ SLWOP/SLWFP/ETC. day/month/year				
Spouse has United Nations earnings subject to income Tax Reimbursement <input type="checkbox"/> Yes <input type="checkbox"/> No					
If Yes, name of spouse: _____ Index No.: _____ Social Security No.: _____ Mandatory, if Yes Mandatory, if Yes					
Mailing address: _____ Please provide address where you can be contacted with greatest certainty.					
Telephone number during business hours, if not active staff member: _____					
UN/UNDP/UNICEF Department or Office: _____ e-mail address: _____ Mandatory for active staff members, please adhere to United Nations naming conventions					
Room no.: _____ Telephone/Extension no.: _____ Mandatory for active staff members, please adhere to building naming conventions					

Check one or both boxes:

- A. I am requesting settlement of 1996 income taxes. (Complete numbers 1 to 12 below.)
- B. I am requesting advances to pay 1997 estimated income taxes. (Complete numbers 1 to 5 and numbers 13 to 17 below.)

SECTION I - To be completed by all staff members

In consideration of any tax payments made to me, I hereby certify and give the following undertakings:

1. (a) I am, or have been assigned to a United Nations office outside the United States during 1995, 1996 or 1997 Yes No
- (b) If I have checked "Yes", I have completed and attached form F.65/A Yes No
2. I certify that any cheques made payable jointly to me and to a taxing authority (*two-party cheques*) received from the United Nations in response to my requests for tax advances or reimbursements have been or will be transmitted solely to the tax authorities named on the cheques to meet my income tax obligations and will *never be deposited into a personal account*.
3. I certify that I will *provide* the United Nations, upon request, with acceptable *proof* of taxes paid or other documents or information as may be required to verify my tax liabilities.
4. I certify that I will *refund* to the United Nations any *overpayment* of tax reimbursements or advances, together with any interest received as a result of any such overpayment made by the United Nations.
5. I certify that any settlements which I have received from the United Nations for the purpose of meeting income tax liabilities of previous years have been paid by me to the appropriate tax authorities and that no part of such money has been refunded to me by the income tax authorities which I have not refunded to the United Nations.

SECTION II - To be completed by all staff members requesting settlement for 1996 income taxes

- 6. I certify that the signed copies of my income tax returns for 1996, which are attached, are *true, correct and complete* copies of final returns, that they correctly reflect my tax liabilities for 1996 and that they are the basis on which settlement for 1996 taxes are requested. If my request for settlement includes tax returns from states other than New York, New Jersey or Connecticut, or for municipal authorities other than New York City or Yonkers, I have attached to this application the tax rates and relevant instructions issued by the tax authorities.
- 7. I certify that, as a United States citizen, I am *subject to United States self-employment tax* on my United Nations earnings and that I am entitled to the difference between the amount of the Social Security tax I am required to pay as a United Nations staff member and the amount I would have to pay as an employee of a taxable employer. I have reported my self-employment tax on my United States Income Tax Form 1040, and I have attached to my return a copy of Schedule SE.
- 8. I certify that I have *minimized my income tax* for 1996 by utilizing all exemptions, adjustments to income and deductions to which I am entitled, including the *itemizing of deductions* if they exceed the standard deduction allowable.
- 9. I certify that if I have received a United Nations dependency allowance for relative(s) residing in the United States, I have *claimed these relative(s) as dependant(s)* on my income tax returns.
- 10. I certify that I will *notify* the United Nations within 30 days if for any reason it is necessary for me to file an *income tax return which is different* from the returns I have herewith submitted and will *furnish* a copy of the new return to the United Nations.
- 11. I certify that I will *notify* the United Nations within 30 days of any *amended returns* subsequently filed or any change in my tax liability which might require adjustment of the tax payments received in any year.
- 12. I have completed in full, signed, dated currently and attached an *ORIGINAL* of form F.243 (12-96).

SECTION III - To be completed by all staff members requesting advances to pay 1997 estimated taxes

- 13. I request advances to pay the following estimated taxes for 1997:
 Federal Social Security/self-employment State/city
- 14. I expect to itemize deductions in 1997. Yes No
 If I have checked "Yes", my estimated total deductions for 1997 are:
 Federal \$ _____ State/city \$ _____
- 15. My own (and, if applicable, my spouse's) total outside taxable income in 1997, other than United Nations income, is estimated to be: \$ _____.
- 16. Total number of federal exemptions that will be claimed in 1997, including myself will be: _____
- 17. I have moved into or out of New York State or New York City or Yonkers during 1996. Yes No
 If I have checked "Yes", the date of my move was _____ and I moved from _____
day/month/year
 to _____.

ALL INFORMATION CONTAINED HEREIN CERTIFIED TRUE AND CORRECT.

Date: _____
day/month/year

Signature: _____

3070

**REQUEST FOR SETTLEMENT OF INCOME TAXES:
SUPPLEMENTARY INFORMATION TO FORM F.65**

*To be completed by staff members on mission or assignment
outside the U.S. during 1995, 1996 and/or 1997*

Name: _____

Index no.: _____

Staff members who have been on mission or assignment outside the United States for a substantial period may or may not qualify for a provision of the taxing authorities of the U.S. federal government and some states which allows as much as \$70,000 per year of foreign earned income to be excluded from a taxpayer's taxable income in some circumstances.

Detailed information about the exclusion of foreign earned income can be found in the INFORMATION CIRCULAR from the Controller on PAYMENT OF INCOME TAXES and the instructions for IRS form 2555, which must be completed and attached to the tax returns of staff members who qualify for the exclusion.

It is necessary to complete this form in order to help the Payroll Unit to determine whether or not you have already qualified or are likely to qualify for the foreign earned income exclusion for tax years 1996 and/or 1997.

The data for 1996 are also essential for U.S. citizens who, while on assignment outside the United States, are subject to self-employment taxes to the extent that they spend time in the United States, whether on duty or on leave.

I am currently outside the United States on mission or assignment. My most likely return date to an assignment in the United States is: _____
day/month/year

I have indicated below each different period from 1 January 1995 to the present during which I was outside the United States, and I have attached an additional piece of paper for more entries, if necessary.

Date departed from U.S. _____ day/month/year	Date returned to U.S. _____ day/month/year
Date departed from U.S. _____ day/month/year	Date returned to U.S. _____ day/month/year
Date departed from U.S. _____ day/month/year	Date returned to U.S. _____ day/month/year
Date departed from U.S. _____ day/month/year	Date returned to U.S. _____ day/month/year
Date departed from U.S. _____ day/month/year	Date returned to U.S. _____ day/month/year
Date departed from U.S. _____ day/month/year	Date returned to U.S. _____ day/month/year
Date departed from U.S. _____ day/month/year	Date returned to U.S. _____ day/month/year

CERTIFIED TRUE AND CORRECT

Date: _____
day/month/year

Signature: _____

)

)

)

CONSENT FOR THE INTERNAL REVENUE SERVICE TO DISCLOSE
TAX RETURN INFORMATION TO THE UNITED NATIONS

3070

Information contained in United States federal income tax returns is confidential and, except as authorized by the Internal Revenue Code, may not be disclosed to any person. Taxpayers may authorize the Internal Revenue Service to release this confidential tax return information to persons otherwise not entitled to receive such information.

The purpose of this consent is to authorize the Internal Revenue Service to disclose certain confidential tax information to the United Nations to assist the United Nations in verifying the United States income taxes you paid on your earnings from the United Nations. The United Nations will use this information in connection with its programme of reimbursing income taxes paid on United Nations emoluments, pursuant to staff regulation 3.3(f). The Internal Revenue Service has no involvement in such verification aside from processing any consents received from taxpayers and disclosing information in accordance with the terms of such consents. The United Nations will pay the fees incurred in processing the present consent.

You may revoke the present consent by writing to the Internal Revenue Service at:

Internal Revenue Service
1040 Waverly Avenue
Holtsville, N.Y. 11742
Attn: Photo Disclosure
Stop 532

No consent will be honoured by the Internal Revenue Service if a written revocation is processed at the designated address prior to a disclosure being made.

CONSENT BY STAFF MEMBER

I, _____ hereby authorize
NAME OF STAFF MEMBER
the Internal Revenue Service to disclose to the United Nations tax information including a transcript of my
Federal income tax account(s) for 1996/1995/1994/1993. The return(s) was/were filed under the name(s) of
(Cross out only those year(s) during which you were NOT a United Nations staff member.)

NAME(S) UNDER WHICH 1996 IRS FORM 1040 FILED

at _____
ADDRESS AS ON 1996 IRS FORM 1040 FILED

showing my Social Security Number _____ and that of my spouse _____
IF APPLICABLE

If I revoke this consent, I authorize the Internal Revenue Service to disclose a copy of my
revocation, or the fact that I have revoked, to the United Nations.

I request the Internal Revenue Service to transmit the above information to:

United Nations
New York, N.Y. 10017

Signature: _____ Date: _____
MONTH/DAY/YEAR

***Even if the tax return is a joint one, this form need only be signed by the staff member concerned.**

INSTRUCTIONS: Please fill out the form above by printing you name, the name(s) under which your return was filed, your current address and social security number(s) in the appropriate blanks. If you were not a staff member of the United Nations during any of the four years listed on the third line, you may cross out that/those year(s), but make no other changes or notations on the form. Complete this form in pen. Do not use pencil. Sign and date the form at the bottom, making sure that you follow the format shown, that is, "MONTH/DAY/YEAR". YOU MUST RETURN THIS FORM WITH AN ORIGINAL SIGNATURE AND DATE. COPIES OF THIS FORM ARE NOT ACCEPTABLE.



Secretariat

ST/IC/1997/2
7 January 1997

INFORMATION CIRCULAR

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: REVISED BASE SALARY SCALE FOR STAFF IN THE
PROFESSIONAL AND HIGHER CATEGORIES AND FOR
STAFF IN THE FIELD SERVICE CATEGORY*

1. In section I.C of resolution 51/216 of 18 December 1996, the General Assembly approved, with effect from 1 January 1997, a revised base salary scale for staff in the Professional and higher categories. This scale reflects the consolidation, on a no-gain no-loss basis, of 5.26 multiplier points into net base salaries in effect under the previous base salary scale, which became effective 1 March 1995, and an additional increase of 0.4 per cent. In the same resolution, the Assembly approved consequential changes in the rates of staff assessment used in conjunction with gross base salaries for staff with a dependent spouse or dependent child and staff with neither a dependent spouse nor a dependent child.
2. In accordance with the practice followed on the occasion of previous consolidations of multiplier points into net base salaries, upon implementation of the revised base salary scale, revised post adjustment indices and multipliers will be established by the International Civil Service Commission (ICSC) for all duty stations. Changes in post adjustment multipliers due after 1 January 1997 will be effected on the basis of the movement of the newly consolidated post adjustment indices.
3. As a result of the implementation of the revised base salary scale, effective 1 January 1997, there will be consequential changes in the amounts of the mobility and hardship allowance applicable to staff who are currently in receipt of the allowance.

* Personnel Manual index No. 3110.



3110

4. In its sixteenth (1990) annual report to the General Assembly,¹ ICSC recommended, and the Secretary-General subsequently approved, that future adjustments of the salary scale applicable to staff in the Field Service category should be made by reference to adjustments to the salary scale for staff in the Professional and higher categories. Accordingly, the base salary scale for staff in the Field Service category has also been revised, effective 1 January 1997, to reflect (a) the consolidation of 5.26 multiplier points into net base salaries and an additional increase of 0.4 per cent; and (b) the revised rates of staff assessment used in conjunction with gross base salaries for staff with a dependent spouse or dependent child and staff with neither a dependent spouse nor a dependent child.

5. The revised base salary scale for staff in the Professional and higher categories and staff in the Field Service category, effective 1 January 1997, showing gross salaries and their net equivalents after the application of staff assessment, are reproduced in annexes I and II to the present circular, respectively. The implementation of these scales will be reflected in the payroll at the end of January 1997.

Notes

¹ Official Records of the General Assembly, Forty-fifth Session, Supplement No. 30 (A/45/30), para. 270 (e).

Annex I
Salary scale for the Professional and higher categories showing annual gross salaries and net equivalents after application of staff assessment
(United States dollars)
Effective 1 January 1997

Level	S T E P S														
	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII	XIV	XV
Under-Secretary-General															
USG Gross	142 546														
Net D	99 059														
Net S	89 069														
Assistant Secretary-General															
ASG Gross	129 524														
Net D	90 855														
Net S	82 245														
Director															
D-2 Gross	106 053	108 373	110 704	113 056	115 409	117 763	*								
Net D	76 033	77 516	78 998	80 480	81 963	83 446									
Net S	69 824	71 112	72 384	73 616	74 849	76 083									
Principal Officer															
D-1 Gross	93 810	95 797	97 784	99 767	101 754	103 741	105 728	107 715	109 700	*					
Net D	68 210	69 479	70 749	72 016	73 286	74 556	75 825	77 095	78 364						
Net S	63 030	64 132	65 235	66 336	67 439	68 541	69 644	70 747	71 849						
Senior Officer															
P-5 Gross	82 758	84 534	86 310	88 085	89 861	91 635	93 409	95 184	96 958	98 732	100 506	102 280	104 054	105 828	107 602
Net D	61 090	62 239	63 387	64 536	65 685	66 833	67 982	69 131	70 278	71 427	72 576	73 724	74 873	76 021	77 170
Net S	56 664	57 707	58 749	59 791	60 833	61 874	62 916	63 958	64 999	66 041	67 082	68 124	69 165	70 206	71 247
First Officer															
P-4 Gross	68 181	69 891	71 597	73 303	75 013	76 723	78 433	80 143	81 853	83 563	85 273	86 983	88 693	90 403	92 113
Net D	51 597	52 718	53 838	54 957	56 078	57 198	58 318	59 438	60 559	61 678	62 797	63 917	65 036	66 155	67 274
Net S	48 019	49 044	50 068	51 092	52 118	53 143	54 167	55 191	56 215	57 239	58 263	59 287	60 311	61 335	62 359
Second Officer															
P-3 Gross	55 700	57 282	58 866	60 446	62 030	63 612	65 196	66 780	68 364	69 948	71 532	73 116	74 700	76 284	77 868
Net D	43 326	44 378	45 431	46 482	47 535	48 587	49 639	50 692	51 744	52 797	53 849	54 901	55 953	57 005	58 058
Net S	40 419	41 387	42 356	43 323	44 292	45 260	46 228	47 197	48 165	49 133	50 101	51 069	52 037	53 005	53 973
Associate Officer															
P-2 Gross	44 830	46 208	47 586	48 967	50 345	51 726	53 106	54 485	55 864	57 243	58 622	60 001	61 380	62 759	64 138
Net D	35 921	36 864	37 804	38 745	39 686	40 627	41 568	42 509	43 451	44 391	45 332	46 273	47 214	48 155	49 096
Net S	33 701	34 556	35 408	36 261	37 113	37 966	38 820	39 672	40 524	41 377	42 229	43 081	43 933	44 785	45 637
Assistant Officer															
P-1 Gross	34 152	35 417	36 710	38 004	39 297	40 590	41 887	43 180	44 473	45 766	47 059	48 352	49 645	50 938	52 231
Net D	28 435	29 341	30 245	31 150	32 054	32 958	33 864	34 768	35 671	36 576	37 479	38 383	39 286	40 189	41 092
Net S	26 825	27 658	28 488	29 319	30 149	30 979	31 811	32 641	33 471	34 296	35 126	35 956	36 786	37 616	38 446

D = Rate applicable to staff members with a dependent spouse or child.
 S = Rate applicable to staff members with no dependent spouse or child.
 * = The normal qualifying period for in-grade movement between consecutive steps is one year, except at those steps marked with an asterisk, for which a two-year period at the preceding step is required.

Annex II
Salary scale for the Field Service category showing annual gross salaries and net equivalents after application of staff assessment
(United States dollars)
Effective 1 January 1997

Level	S T E P S														
	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII	XIV	XV
FS-7	Gross	67 710	69 512	71 316	73 114	74 916	76 743	78 572	80 397	82 226	84 051	85 879	87 709		
	Net D	51 288	52 470	53 653	54 833	56 015	57 198	58 381	59 562	60 745	61 926	63 109	64 293		
	Net S	47 736	48 817	49 900	50 978	52 060	53 133	54 207	55 278	56 352	57 423	58 496	59 570		
FS-6	Gross	56 108	57 764	59 423	61 075	62 731	64 388	66 056	67 739	69 415	71 093	72 773	74 450		
	Net D	43 597	44 698	45 801	46 900	48 001	49 103	50 203	51 307	52 406	53 507	54 609	55 709		
	Net S	40 668	41 682	42 697	43 708	44 721	45 735	46 744	47 753	48 759	49 766	50 774	51 780		
FS-5	Gross	47 613	48 988	50 367	51 743	53 123	54 500	55 901	57 313	58 728	60 140	61 553	62 965	64 379	
	Net D	37 822	38 760	39 700	40 639	41 580	42 519	43 459	44 398	45 339	46 278	47 218	48 157	49 097	
	Net S	35 425	36 275	37 127	37 977	38 830	39 681	40 541	41 406	42 272	43 136	44 000	44 865	45 730	
FS-4	Gross	41 272	42 391	43 504	44 619	45 734	46 896	48 038	49 185	50 327	51 471	52 613	53 718	54 900	56 071
	Net D	33 434	34 216	34 994	35 774	36 554	37 333	38 112	38 894	39 673	40 453	41 232	41 986	42 792	43 572
	Net S	31 417	32 135	32 850	33 565	34 276	34 982	35 687	36 396	37 102	37 809	38 515	39 198	39 928	40 645
FS-3	Gross	35 784	36 735	37 682	38 632	39 578	40 529	41 478	42 426	43 376	44 319	45 277	46 249	47 224	48 194
	Net D	29 598	30 263	30 925	31 589	32 250	32 915	33 578	34 241	34 905	35 564	36 229	36 892	37 557	38 218
	Net S	27 893	28 504	29 112	29 722	30 329	30 940	31 549	32 157	32 767	33 373	33 981	34 582	35 184	35 784
FS-2	Gross	31 204	32 011	32 821	33 628	34 436	35 253	36 053	36 930	37 767	38 607	39 443	40 280		
	Net D	26 298	26 883	27 470	28 055	28 641	29 227	29 786	30 399	30 984	31 571	32 156	32 741		
	Net S	24 862	25 399	25 939	26 476	27 014	27 552	28 066	28 629	29 166	29 706	30 242	30 780		
FS-1	Gross	27 314	28 001	28 687	29 372	30 059	30 772	31 483	32 193	32 905	33 614				
	Net D	23 408	23 924	24 439	24 953	25 468	25 985	26 500	27 015	27 531	28 045				
	Net S	22 225	22 695	23 163	23 631	24 099	24 574	25 048	25 521	25 995	26 467				

D = Rate applicable to staff members with a dependent spouse or child.

S = Rate applicable to staff members with no dependent spouse or child.

* = The normal qualifying period for in-grade movement between consecutive steps is one year, except at those steps marked with an asterisk, for which a two-year period at the preceding step is required.



Secretariat

3120

ST/IC/1997/74
13 November 1997

INFORMATION CIRCULAR

To: Members of the staff at Headquarters

From: The Assistant Secretary-General for Human Resources Management

Subject: REVISED SALARY SCALE FOR STAFF IN THE SECURITY
SERVICE CATEGORY AT HEADQUARTERS*

1. In accordance with article 12 of its statute, the International Civil Service Commission (ICSC) undertook in 1995 a comprehensive survey of the best prevailing conditions of employment in New York for the purpose of making recommendations to the Secretary-General on salary scales of staff in the General Service and related categories at Headquarters.
2. On the basis of the results of the survey, ICSC concluded that increases in salaries were warranted for the staff in the General Service, Trades and Crafts, and Language Teachers categories. However, the analysis of the data collected for the Security Service category indicated that United Nations salaries were 4.3 per cent higher than those in the labour market. Therefore, the salaries of the staff in the Security Service category have remained unchanged since September 1993. However, ICSC recommended that an interim salary survey be conducted as soon as the retained comparators implemented new salary levels.
3. The interim salary survey for the staff in the Security Service category has just been finalized. The results of the survey, which have been based on the average movement of salaries of the five comparators retained for this category of staff, indicated that the salaries of the retained comparators have moved on average 5.4 per cent.
4. I am therefore pleased to announce that, based on the results of the survey and after considering the recommendations of the Commission, the Secretary-General has decided to approve a 1.1 per cent increase over the September 1993

* Personnel Manual index No. 3120.



3120

scale and, therefore, promulgate a revised salary scale for staff in the Security Service category. The Secretary-General has further decided that this scale should be implemented with effect from 1 September 1997. The revised salary scale is set out in the annex to the present circular.

5. The revised dependent child allowance of \$1,212, as reflected in the attached scale, applies also to staff in the General Service and related categories. This amount represents 3 per cent of the average of the lowest and highest net salaries of G-1, step I, and S-7, step IX.

Annex
SECURITY SERVICE CATEGORY AT HEADQUARTERS
ANNUAL SALARIES AND ALLOWANCES
Effective 1 September 1997
(In United States dollars)

Level	S T E P S												
	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII
7 (Gross)	60 003	62 422	64 841	67 259	69 678	72 097	74 516	76 935	79 354*				
(Gross pens.)	58 694	60 881	63 137	65 392	67 647	69 903	72 158	74 414	76 669*				
(Total net)	46 402	48 071	49 740	51 409	53 078	54 747	56 416	58 085	59 754*				
(Net pens.)	46 402	48 071	49 740	51 409	53 078	54 747	56 416	58 085	59 754*				
(NPC)	0	0	0	0	0	0	0	0	0*				
6 (Gross)	55 714	57 816	59 919	62 168	64 423	66 678	68 933	71 188	73 443*				
(Gross pens.)	54 572	56 593	58 614	60 645	62 747	64 850	66 953	69 056	71 158*				
(Total net)	43 228	44 784	46 340	47 896	49 452	51 008	52 564	54 120	55 676*				
(Net pens.)	43 228	44 784	46 340	47 896	49 452	51 008	52 564	54 120	55 676*				
(NPC)	0	0	0	0	0	0	0	0	0*				
5 (Gross)	51 412	53 364	55 315	57 266	59 218	61 254	63 346	65 439	67 532*				
(Gross pens.)	50 438	52 314	54 189	56 064	57 940	59 815	61 743	63 695	65 646*				
(Total net)	40 045	41 489	42 933	44 377	45 821	47 265	48 709	50 153	51 597*				
(Net pens.)	40 045	41 489	42 933	44 377	45 821	47 265	48 709	50 153	51 597*				
(NPC)	0	0	0	0	0	0	0	0	0*				
4 (Gross)	47 042	48 831	50 620	52 409	54 199	55 988	57 777	59 566	61 454*				
(Gross pens.)	46 238	47 958	49 677	51 397	53 116	54 836	56 555	58 275	59 994*				
(Total net)	36 811	38 135	39 459	40 783	42 107	43 431	44 755	46 079	47 403*				
(Net pens.)	36 811	38 135	39 459	40 783	42 107	43 431	44 755	46 079	47 403*				
(NPC)	0	0	0	0	0	0	0	0	0*				
3 (Gross)	44 020	45 424	46 828	48 232	49 636	51 041	52 445	53 849	55 253	56 657	58 061*		
(Gross pens.)	43 334	44 684	46 033	47 382	48 732	50 081	51 430	52 780	54 129	55 479	56 828*		
(Total net)	34 575	35 614	36 653	37 692	38 731	39 770	40 809	41 848	42 887	43 926	44 965*		
(Net pens.)	34 575	35 614	36 653	37 692	38 731	39 770	40 809	41 848	42 887	43 926	44 965*		
(NPC)	0	0	0	0	0	0	0	0	0	0	0*		
2 (Gross)	39 648	40 904	42 174	43 445	44 715	45 985	47 255	48 526	49 796	51 066	52 336	53 607	54 877*
(Gross pens.)	39 119	40 340	41 560	42 781	44 002	45 223	46 443	47 664	48 885	50 106	51 327	52 547	53 768*
(Total net)	31 329	32 269	33 209	34 149	35 089	36 029	36 969	37 909	38 849	39 789	40 729	41 669	42 609*
(Net pens.)	31 329	32 269	33 209	34 149	35 089	36 029	36 969	37 909	38 849	39 789	40 729	41 669	42 609*
(NPC)	0	0	0	0	0	0	0	0	0	0	0	0	0*

/...

3120

Level	S T E P S												
	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII
1 (Gross)	35 425	36 517*											
(Gross pens.)	34 895	35 988*											
(Total net)	28 077	28 918*											
(Net pens.)	28 077	28 918*											
(NPC)	0	0*											

Increments: Salary increments within the levels shall be awarded annually on the basis of satisfactory service.

* Long-service step:

Step IX at levels S-4 to S-7, step XI at level S-3 and step XIII at level S-2 are long-service steps.

The qualifying criteria for in-grade increases to the long-service step are as follows:

- (a) The staff member should have had at least 20 years of service within the United Nations common system and 5 years of service at the top regular step of the current grade;
- (b) The staff member's service should have been satisfactory.

Dependency allowances:

	\$ (Net per annum)
Child	1 212
Except for first dependent child of a single, widowed or divorced staff member	3 038
Dependent spouse	3 038
Secondary dependant	1 181

Language allowances (to be included in pensionable remuneration):

First language	1 380
Second language	690

For an explanation of the format of salary scale, please refer to ST/IC/1994/15 and ST/IC/1994/17.

Appendix I
Security Service category - schedule of pensionable remuneration applicable
to staff on board prior to 1 September 1992
(in United States dollars)*

Level	S T E P S												
	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII
S-7 (Gross)	-	-	-	-	-	72 466	74 881	77 297	79 713				
S-6	-	-	-	-	-	-	-	71 558	73 809				
S-5	-	-	-	-	-	-	-	-	-				
S-4	-	-	-	-	-	-	-	-	-				
S-3	-	-	-	-	-	-	-	-	-				
S-2	-	-	-	-	-	-	-	-	-				
S-1	-	-	-	-	-	-	-	-	-				

* The revised gross salaries are lower than those in effect under the previous salary scale, effective 1 September 1991. Therefore, the above gross salaries are retained for purposes of computing pension contributions and benefits for staff on board prior to 1 September 1992.

3120

Appendix II

Security Service category - schedule of pensionable remuneration applicable to staff on board prior to 1 September 1997

(In United States dollars)*

Level	S T E P S												
	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII
S-7	60 905	63 190	65 483	67 776	70 070	72 396	74 721	77 046	79 372				
S-6	56 577	58 699	60 822	62 951	65 089	67 226	69 364	71 523	73 690				
S-5	52 247	54 204	56 174	58 143	60 113	62 083	64 067	66 050	68 033				
S-4	47 862	49 656	51 451	53 245	55 047	56 854	58 661	60 468	62 276				
S-3	44 839	46 240	47 648	49 056	50 464	51 873	53 281	54 694	56 112	57 530	58 948		
S-2	40 472	41 737	43 003	44 268	45 533	46 804	48 078	49 352	50 626	51 900	53 174	54 451	55 734
S-1	36 109	37 234											

* The application of the revised rates of staff assessment, effective 1 January 1997, resulted in lower gross pensionable salaries. Therefore, the above gross salaries in effect under the previous salary scale, effective 1 September 1993, are retained for purposes of computing pension contributions and benefits for staff on board prior to 1 September 1997.



Secretariat

3123

ST/IC/1997/10
31 January 1997

INFORMATION CIRCULAR

To: Members of the staff at Headquarters

From: The Assistant Secretary-General for Human Resources Management

Subject: REVISED SALARY SCALES FOR STAFF IN THE GENERAL SERVICE,
TRADES AND CRAFTS, PUBLIC INFORMATION ASSISTANT AND
LANGUAGE TEACHER CATEGORIES AT HEADQUARTERS*

1. The current procedure for effecting interim adjustments to the salary scales for staff in the General Service and related categories at Headquarters calls for an adjustment in the net salaries of such staff by 90 per cent of the movement of the consumer price index (CPI) for New York, whenever the CPI has increased by 5 per cent or more over the level reached at the time of the previous revision of the salary scale, or every 12 months, whichever comes first.
2. The CPI for the month of December 1996 reflects a 2.93 per cent movement over the December 1995 index. In application of the above-mentioned procedure, the net salaries of staff in the General Service, Trades and Crafts, Public Information Assistant and Language Teacher categories will be adjusted upwards by 2.64 per cent, with effect from 1 January 1997.
3. The General Assembly, in section III of its resolution 51/216 of 18 December 1996, approved the common staff assessment scale for determining the pensionable remuneration of all categories of staff, effective 1 January 1997, as recommended by the International Civil Service Commission (ICSC) in its twenty-second annual report. The application of the revised rates of staff assessment yields lower amounts than the corresponding gross pensionable remuneration effective 1 January 1996. In line with the modalities approved by the General Assembly with respect to the implementation of the revised rates of staff assessment, at those levels and steps where the revised gross pensionable remuneration is lower than those under the previous salary scale effective

* Personnel Manual index No. 3123.



3123

1 January 1996, the latter gross pensionable remuneration will be retained for purposes of computing pension contributions and benefits for staff members on board prior to 1 January 1997. This transitional measure shall remain in effect until the retained gross pensionable remuneration levels are overtaken as a result of subsequent adjustments to the salary scales.

4. Pursuant to the procedure approved by ICSC at its fifteenth session, which is described in information circular ST/IC/82/48 of 1 July 1982, the dependent child allowance for staff in the General Service and related categories at Headquarters is hereby revised from \$1,188 to \$1,200 net per year, effective 1 January 1997. The latter amount represents 3 per cent of the mid-point of the lowest and highest New York salary scales, i.e. G-1, step I and S-7, step IX.

5. The amount of other allowances, i.e. dependent spouse allowance, allowance for the first dependent child of a single, widowed or divorced staff member and secondary dependant and language allowances remain unchanged.

6. The implementation of the revised salary scales, which are contained in the annex to the present circular, will be effective 1 January 1997, and will be reflected in the end of February 1997 payroll.

A.2. General Service category: schedule of gross pensionable remuneration applicable to staff members on board prior to 1 January 1997

Level	S T E P S										
	I	II	III	IV	V	VI	VII	VIII	IX	X	XI
G-7	48 137	50 043	51 959	53 876	55 793	57 709	59 631	61 560	63 490	65 420	67 350*
G-6	43 405	45 122	46 840	48 558	50 280	52 009	53 739	55 468	57 197	58 926	60 668*
G-5	39 094	40 642	42 198	43 755	45 311	46 868	48 424	49 983	51 550	53 116	54 684*
G-4	35 243	36 639	38 036	39 433	40 832	42 238	43 644	45 051	46 457	47 863	49 269*
G-3	31 732	33 002	34 271	35 540	36 810	38 079	39 348	40 620	41 899	43 176	44 534*
G-2	-	29 740	30 871	32 015	33 161	34 307	35 453	36 599	37 745	38 891*	
G-1	-	-	-	-	29 874	30 897	31 933	32 969	34 006*		

The application of the revised rates of staff assessment, effective 1 January 1997, resulted in lower gross pensionable salaries than those in effect as of 1 January 1996. Therefore, the above gross pensionable salaries are retained for purposes of computing pension contributions and benefits for staff on board prior to 1 January 1997.

* Long-service step.

3123

B.1. Salary scale for staff in the Trades and Crafts category at Headquarters
(United States dollars)
Effective 1 January 1997

Level	S T E P S							
	I	II	III	IV	V	VI	VII*	
TC-8	(Gross)	59 019	61 067	63 186	65 304	67 423	69 542	71 661
	(Gross pension)	57 749	59 647	61 593	63 545	65 500	67 530	69 496
	(Total net)	45 674	47 136	48 598	50 060	51 522	52 984	54 446
	(Net pension)	45 674	47 136	48 598	50 060	51 522	52 984	54 446
(NPC)	0	0	0	0	0	0	0	
TC-7	(Gross)	55 464	57 324	59 185	61 122	63 117	65 113	67 109
	(Gross pension)	54 332	56 120	57 908	59 697	61 530	63 391	65 252
	(Total net)	43 043	44 420	45 797	47 174	48 551	49 928	51 305
	(Net pension)	43 043	44 420	45 797	47 174	48 551	49 928	51 305
(NPC)	0	0	0	0	0	0	0	
TC-6	(Gross)	51 903	53 650	55 397	57 145	58 892	60 686	62 559
	(Gross pension)	50 910	52 589	54 268	55 947	57 627	59 306	61 010
	(Total net)	40 408	41 701	43 094	44 287	45 580	46 873	48 166
	(Net pension)	40 408	41 701	43 094	44 287	45 580	46 873	48 166
(NPC)	0	0	0	0	0	0	0	
TC-5	(Gross)	48 347	49 981	51 615	53 249	54 882	56 516	58 150
	(Gross pension)	47 493	49 063	50 633	52 203	53 773	55 343	56 914
	(Total net)	37 777	38 986	40 195	41 404	42 613	43 822	45 031
	(Net pension)	37 777	38 986	40 195	41 404	42 613	43 822	45 031
(NPC)	0	0	0	0	0	0	0	
TC-4	(Gross)	44 796	46 316	47 836	49 357	50 877	52 397	53 918
	(Gross pension)	44 080	45 541	47 002	48 463	49 924	51 385	52 846
	(Total net)	35 149	36 274	37 399	38 524	39 649	40 774	41 899
	(Net pension)	35 149	36 274	37 399	38 524	39 649	40 774	41 899
(NPC)	0	0	0	0	0	0	0	
TC-3	(Gross)	41 242	42 649	44 055	45 462	46 869	48 276	49 682
	(Gross pension)	40 264	41 620	42 976	44 332	45 688	47 044	48 400
	(Total net)	32 519	33 560	34 601	35 642	36 683	37 724	38 765
	(Net pension)	32 519	33 560	34 601	35 642	36 683	37 724	38 765
(NPC)	0	0	0	0	0	0	0	
TC-2	(Gross)	37 783	39 025	40 277	41 569	42 861	44 153	45 445
	(Gross pension)	37 254	38 495	39 737	40 979	42 220	43 462	44 703
	(Total net)	29 893	30 849	31 805	32 761	33 717	34 673	35 629
	(Net pension)	29 893	30 849	31 805	32 761	33 717	34 673	35 629
(NPC)	0	0	0	0	0	0	0	
TC-1	(Gross)	34 356	35 487	36 618	37 749	38 881	40 012	41 189
	(Gross pension)	33 827	34 958	36 089	37 220	38 351	39 482	40 614
	(Total net)	27 254	28 125	28 996	29 867	30 738	31 609	32 480
	(Net pension)	27 254	28 125	28 996	29 867	30 738	31 609	32 480
(NPC)	0	0	0	0	0	0	0	

Increments: Salary increments within the levels shall be awarded annually on the basis of satisfactory service.

* Long-service step:

The qualifying criteria for in-grade increases to the long-service step are as follows:

- (a) The staff member should have had at least 20 years of service within the United Nations common system and 5 years of service at the top regular step of the current grade;
- (b) The staff member's service should have been satisfactory.

For an explanation of the format of salary scales, please refer to ST/IC/1994/15 and ST/IC/1994/17.

DEPENDENCY ALLOWANCES (US\$ net per annum):

Child	1 200	LANGUAGE ALLOWANCE (to be included in pensionable remuneration):	1 380 net per annum.
Except for first dependent child of a single, widowed or divorced staff member	3 038	First language	690 net per annum.
Dependent spouse	3 038	Second language	
Secondary dependant	1 181		

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3123

B.2. Trades and Crafts category: schedule of gross pensionable remuneration applicable to staff members on board prior to 1 January 1997

Level	S T E P S						
	I	II	III	IV	V	VI	VII*
TC-8	57 934	59 866	61 804	63 742	65 680	67 618	69 556
TC-7	54 469	56 283	58 096	59 917	61 743	63 569	65 396
TC-6	51 000	52 704	54 406	56 109	57 812	59 519	61 234
TC-5	47 550	49 132	50 720	52 312	53 904	55 496	57 088
TC-4	44 115	45 585	47 057	48 528	50 002	51 482	52 962
TC-3	40 677	42 037	43 398	44 759	46 119	47 480	48 841
TC-2	37 261	38 502	39 745	40 992	42 242	43 491	44 742
TC-1	33 830	34 963	36 095	37 228	38 361	39 492	40 627

The application of the revised rates of staff assessment, effective 1 January 1997, resulted in lower gross pensionable salaries than those in effect as of 1 January 1996. Therefore, the above gross pensionable salaries should be retained for purposes of computing pension benefits and contributions for staff on board prior to 1 January 1997.

* Long-service step.

3123

C.1. Salary scale for staff in the Public Information Assistant and Tour Coordinator/Supervisor category at Headquarters

(United States dollars)

Effective 1 January 1997

Level	S T E P S					
	I	II	III	IV	V	
Tour Coordinator/Supervisor and Briefing Assistant ^a	(Gross)	43 105	45 265	47 424	49 584	51 743
	(Gross pension)	42 455	44 530	46 606	48 681	50 756
	(Total net)	33 898	35 496	37 094	38 692	40 290
	(Net pension) (NPC)	33 898	35 496	37 094	38 692	40 290
Public Information Assistant II and Tour Coordinator	(Gross)	37 968	39 568	41 215	42 880	44 545
	(Gross pension)	37 438	39 038	40 638	42 238	43 838
	(Total net)	30 035	31 267	32 499	33 731	34 963
	(Net pension) (NPC)	30 035	31 267	32 499	33 731	34 963
Public Information Assistant I	(Gross)	34 909	36 371			
	(Gross pension)	34 380	35 842			
	(Total net)	27 680	28 806			
	(Net pension) (NPC)	27 608	28 806			

^a Includes Briefing Assistant as at 1 September 1991.

Reserve guides are paid by the day in accordance with the above rates.

Increments: Salary increments within the levels shall be effective on the first day of the pay period in which satisfactory service requirements are completed as follows:

Public Information Assistant I 6 months
Public Information Assistant II 12 months

No increments shall be paid in the case of staff members whose service will cease during the month in which the increment would ordinarily have been due.

DEPENDENCY ALLOWANCES (in US\$ net per annum):

Child	1 200
Except for first dependent child of a single, widowed or divorced staff member	3 038
Dependent spouse	3 038
Secondary dependant	1 181

LANGUAGE ALLOWANCE: not entitled.

For an explanation of the format of salary scales, please refer to ST/IC/1994/15 and ST/IC/1994/17.

3123

C.2. Public Information Assistant/Tour Coordinator/Supervisor category:
schedule of gross pensionable remuneration applicable to staff on
board prior to 1 January 1997

Level	S T E P S				
	I	II	III	IV	V
Tour Coordinator/Supervisor and Briefing Assistant ^a	42 479	44 569	46 659	48 749	50 847
Public Information Assistant II and Tour Coordinator	37 449	39 048	40 650	42 259	43 869
Public Information Assistant I	34 387	35 848			

The application of the revised rates of staff assessment, effective 1 January 1997, resulted in lower gross pensionable salaries than those in effect as of 1 January 1996. Therefore, the above gross pensionable salaries should be retained for purposes of computing pension benefits and contributions for staff on board prior to 1 January 1997.

^a Includes Briefing Assistant as at 1 September 1991.

3123

D.1. Salary scale for staff in the Language Teacher category at Headquarters
(United States dollars)
Effective 1 January 1997

Level	S T E P S											
	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII*
LT (Gross)	50 430	52 153	53 876	55 599	57 322	59 045	60 823	62 671	64 519	66 367	68 214	70 062
(Gross pension)	49 494	51 150	52 806	54 462	56 117	57 773	59 429	61 114	62 837	64 560	66 283	68 006
(Total net)	39 318	40 593	41 868	43 143	44 418	45 693	46 968	48 243	49 518	50 793	52 068	53 343
(Net pension)	39 318	40 593	41 868	43 143	44 418	45 693	46 968	48 243	49 518	50 793	52 068	53 343
(NFC)	0	0	0	0	0	0	0	0	0	0	0	0

Increments: Salary increments shall be awarded annually on the basis of satisfactory service.

Work schedule: The yearly schedule of work consists of three terms of 13 weeks each. There is a summer recess and there are scheduled breaks between terms. Leave taken during the recess and the breaks in excess of the annual leave entitlement provided in the Staff Rules is treated as special leave without pay.

* Long-service step:

The qualifying criteria for in-grade increases to the long-service step are as follows:

- (a) The staff member should have had at least 20 years of service within the United Nations common system and 5 years of service at the top regular step of the current grade;
- (b) The staff member's service should have been satisfactory.

DEPENDENCY ALLOWANCES (US\$ net per annum):

Child	1 200
Except for first dependent child of a single, widowed or divorced staff member	3 038
Dependent spouse	3 038
Secondary dependant	1 181

LANGUAGE ALLOWANCE: not entitled.

For an explanation of the format of salary scales, please refer to ST/IC/1994/15 and ST/IC/1994/17.

3123

D.2. Language Teacher category: schedule of gross pensionable remuneration applicable to staff on board prior to 1 January 1997

S T E P S												
Level	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII*
LT	49 571	51 248	52 926	54 605	56 283	57 961	59 643	61 322	63 022	64 711	66 401	68 090

The application of the revised rates of staff assessment, effective 1 January 1997, resulted in lower gross pensionable salaries than those in effect as of 1 January 1996. Therefore, the above gross pensionable salaries should be retained for purposes of computing pension benefits and contributions for staff on board prior to 1 January 1997.

* Long-service step.



Secretariat **3131**

ST/AI/259/Rev.10/Amend.8
23 May 1997

ADMINISTRATIVE INSTRUCTION

To: Members of the staff at Headquarters

From: The Assistant Secretary-General for Human Resources Management

Subject: SALARY DIFFERENTIAL FOR GENERAL SERVICE STAFF IN THE
LANGUAGE-TYPING AND WORD-PROCESSING UNITS, OFFICE OF
CONFERENCE AND SUPPORT SERVICES, HEADQUARTERS*

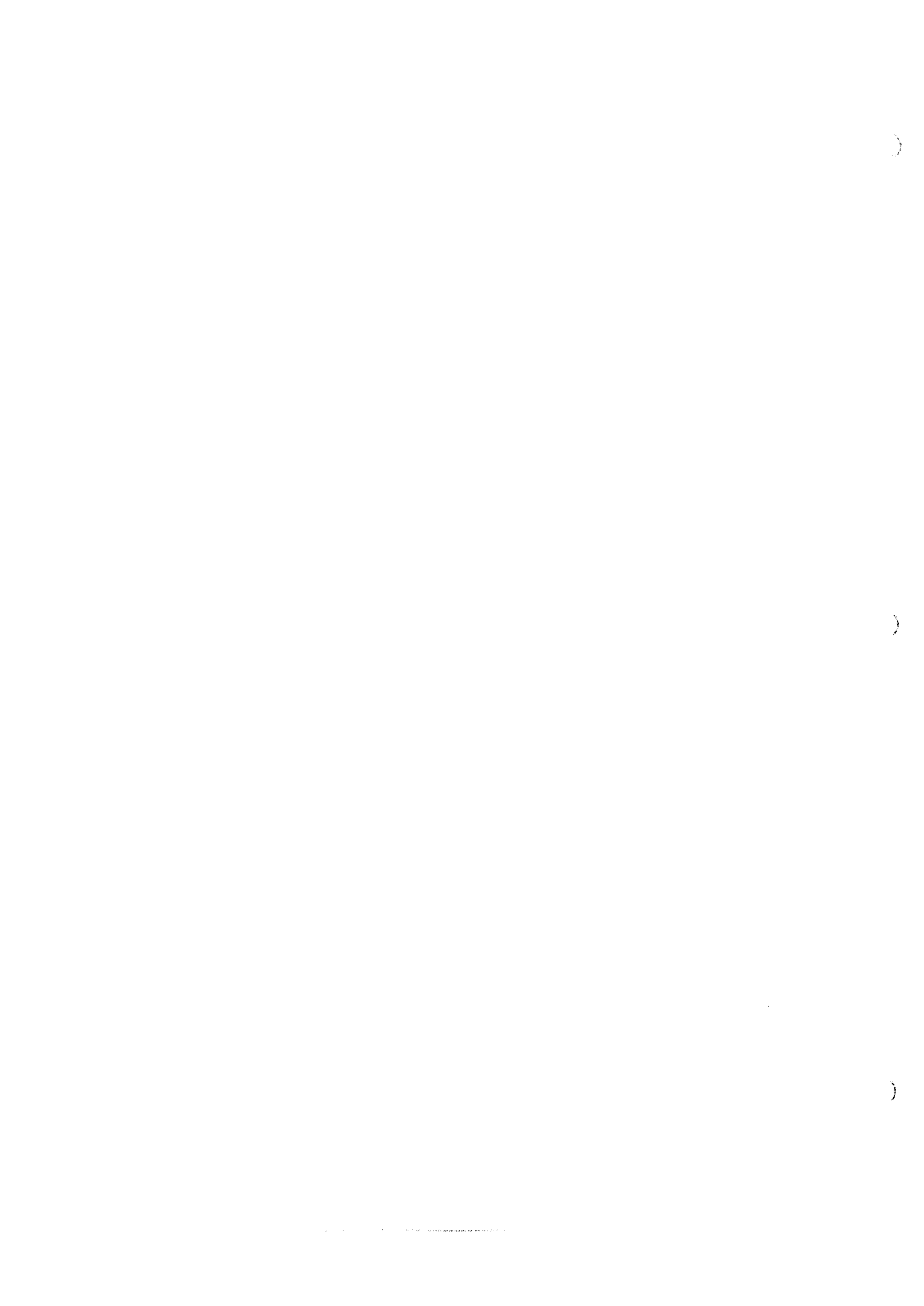
1. The purpose of the present amendment is to set out the revised amount of the salary differential for General Service staff in the language-typing and word-processing units, Office of Conference and Support Services, in accordance with the procedure outlined in paragraph 5 of administrative instruction ST/AI/259/Rev.10 dated 27 February 1989.

2. Paragraph 6 of instruction ST/AI/259/Rev.10 is hereby amended to read as follows:

"As a consequence of the implementation of revised salary scales for staff in the General Service category with effect from 1 January 1997, announced in information circular ST/IC/1997/10 dated 31 January 1997, the amount of the salary differential is revised to \$2,610 per year, effective 1 January 1997. The monthly rate of the salary differential for conference typists and word processors holding short-term appointments is revised to \$217 with effect from 1 March 1997."

* Personnel Manual index No. 3131.







Secretariat

3180

ST/IC/1997/71
31 October 1997

INFORMATION CIRCULAR

To: Members of staff at Headquarters

From: Assistant Secretary-General for Human Resources Management

Subject: POST ADJUSTMENT CLASSIFICATION FOR NEW YORK*

1. The International Civil Service Commission has determined that the requirement for the application of post adjustment multiplier 47 for staff in the Professional and higher categories serving in New York has been met as of 1 November 1997. Consequently, effective 1 November 1997, the post adjustment multiplier for New York is being revised from 44.4 to 47.
2. The annual amounts of post adjustment at multiplier 47 for each salary level and step are shown in the annex to the present circular.
3. The implementation of the revised post adjustment multiplier will be reflected in the end of November 1997 payroll.

* Personnel Manual index No. 3180.

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3180

Annex
POST ADJUSTMENT MULTIPLIER 47.0
(in United States dollars)
Effective 1 November 1997

Level	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII	XIV	XV
Under-Secretary-General															
USG	Net D	46557.73													
	Net S	41882.43													
Assistant-Secretary-General															
ASG	Net D	42701.85													
	Net S	36655.15													
Director															
D-2	Net D	35735.51	38432.52	37129.06	37825.60	38522.61	39219.62								
	Net S	32817.28	33422.84	34020.46	34599.52	35179.03	35759.01								
Principal Officer															
D-1	Net D	32058.70	32655.13	33252.03	33847.52	34444.42	35041.32	35637.75	36234.65	36831.08					
	Net S	29624.10	30142.04	30660.45	31177.92	31696.33	32214.27	32732.68	33251.09	33769.03					
Senior Officer															
P-5	Net D	28712.30	29252.33	29791.89	30331.92	30871.95	31411.51	31951.54	32491.57	33030.66	33570.69	34110.72	34650.28	35190.31	
	Net S	26632.08	27122.29	27612.03	28101.77	28591.51	29081.25	29571.04	29969.63	30468.22	30937.28	31406.34	31874.93	32343.99	
First Officer															
P-4	Net D	24250.59	24777.46	25303.86	25829.79	26356.66	26883.06	27409.46	27935.86	28462.73	28988.66	29514.59	30042.40	30568.33	31094.73
	Net S	22586.93	23050.88	23531.96	24013.24	24495.46	24972.51	25450.03	25928.02	26405.54	26883.06	27360.11	27839.04	28316.09	28787.03
Second Officer															
P-3	Net D	20363.22	20857.06	21352.57	21848.54	22341.45	22835.89	23330.33	23825.24	24319.68	24814.59	25309.03	25803.47	26297.91	26792.35
	Net S	18696.93	19451.09	19907.32	20361.81	20817.24	21272.20	21727.16	22179.77	22631.91	23084.52	23537.13	23989.27	24441.41	24890.26
Associate Officer															
P-2	Net D	16982.87	17328.06	17678.88	18020.15	18362.42	18704.69	19046.96	19389.23	19731.50	20073.77	20416.04	20758.31	21100.58	21442.85
	Net S	15839.47	16241.32	16641.76	17042.67	17443.11	17844.02	18245.40	18645.84	19050.98	19457.53	19864.55	20272.04		
Assistant Officer															
P-1	Net D	13364.45	13790.27	14215.15	14640.50	15065.38	15490.26	15915.14	16340.06	16765.37	17190.72				
	Net S	12607.75	12999.26	13389.36	13779.93	14170.03	14560.13	14951.17	15341.27	15731.37	16119.12				

D = Rate applicable to staff members with a dependent spouse or child.
S = Rate applicable to staff members with no dependent spouse or child.



Secretariat

3300

ST/IC/1997/73
11 November 1997

INFORMATION CIRCULAR

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: PENSIONABLE REMUNERATION FOR STAFF IN THE
PROFESSIONAL AND HIGHER CATEGORIES AND FOR
STAFF IN THE FIELD SERVICE CATEGORY*

1. The current procedure for adjusting the scale of pensionable remuneration for staff in the Professional and higher categories provides for this scale to be revised on the same date as the net remuneration amounts (base salary plus post adjustment) of staff in the Professional and higher categories in New York are adjusted. The scale of pensionable remuneration for the above-mentioned categories, in accordance with the provisions of article 54 (b) of the Regulations of the United Nations Joint Staff Pension Fund, must be adjusted with the same effective date and by the same percentage as the net remuneration increase.

2. As indicated in information circular ST/IC/1997/71 of 31 October 1997, the International Civil Service Commission (ICSC) determined that post adjustment multiplier 47 for staff in the Professional and higher categories in New York was due as of 1 November 1997. Therefore, the revised post adjustment multiplier of 47 was authorized for New York with effect from 1 November 1997.

3. In accordance with the procedure described in paragraph 1 above, the Chairman of ICSC has promulgated the consequent revised scale of pensionable remuneration applicable to staff in the Professional and higher categories with effect from 1 November 1997. The revised scale is reproduced in annex I to the present circular.

4. The pensionable remuneration amounts for staff in the Field Service category will also be revised with effect from 1 November 1997. The revised scale is set out in annex II to the present circular.

* Personnel Manual index No. 3300.

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5. The November 1997 statements of earnings and deductions will reflect the changes in the monthly pension contributions resulting from the revised scales of pensionable remuneration contained in annexes I and II to the present circular.

Annex I
PENSIONABLE REMUNERATION FOR STAFF IN THE PROFESSIONAL AND HIGHER CATEGORIES
Effective 1 November 1997
(In United States dollars)

Level	STEPS														
	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII	XIV	XV
Under-Secretary General	178 292														
USG															
Assistant Secretary-General	164 791														
ASG															
Director															
D-2	137 029	140 143	143 257	146 368	149 482	152 596									
Principal Officer															
D-1	121 365	123 854	126 342	128 826	131 315	133 927	136 593	139 260	141 923						
Senior Officer															
P-5	107 410	109 662	111 913	114 165	116 417	118 666	120 918	123 170	125 419	127 671	129 923	132 180	134 593		
First Officer															
P-4	88 804	91 002	93 195	95 389	97 587	99 781	101 977	104 173	106 368	108 562	110 756	112 957	115 150	117 345	119 542
Second Officer															
P-3	73 911	75 798	77 685	79 569	81 457	83 343	85 228	87 117	89 092	91 156	93 218	95 280	97 342	99 403	101 468
Associate Officer															
P-2	60 636	62 326	64 012	65 700	67 386	69 074	70 761	72 446	74 136	75 822	77 508	79 197			
Assistant Officer															
P-1	47 217	48 842	50 462	52 084	53 705	55 325	56 949	58 569	60 190	61 812					

Annex II

PENSIONABLE REMUNERATION FOR STAFF IN THE FIELD SERVICE CATEGORY

Effective 1 November 1997

(In United States dollars)

Level	STEPS														
	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII	XIV	XV
FS-7	88 198	90 515	92 834	95 147	97 463	99 782	102 101	104 416	106 734	109 049	111 368	113 688			
FS-6	74 398	76 372	78 349	80 319	82 293	84 268	86 240	88 236	90 390	92 548	94 707	96 863			
FS-5	64 045	65 727	67 411	69 095	70 782	72 465	74 151	75 833	77 520	79 204	80 889	82 572	84 257		
FS-4	56 179	57 580	58 975	60 374	61 772	63 168	64 565	65 967	67 363	68 761	70 158	71 510	72 954	74 353	75 750
FS-3	49 302	50 494	51 681	52 871	54 056	55 248	56 437	57 625	58 815	59 997	61 189	62 377	63 569	64 754	65 945
FS-2	43 436	44 435	45 488	46 536	47 587	48 637	49 639	50 737	51 787	52 839	53 887	54 937			
FS-1	38 663	39 515	40 366	41 215	42 065	42 919	43 770	44 671	45 596	46 518					

3300



Secretariat

ST/AI/181/Rev.10
26 June 1995

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: EDUCATION GRANT AND SPECIAL EDUCATION GRANT
FOR DISABLED CHILDREN*

1. The present administrative instruction revises instruction ST/AI/181/Rev.9 and Amend.1, which are hereby superseded. Its main purpose is to provide a consolidated text of previous issuances relating to the education grant and the special education grant for disabled children, to reflect intervening changes in the Staff Rules clarifying the eligibility criteria for the education grant and to implement General Assembly resolution 49/223 of 23 December 1994, in which the Assembly approved increases related to the education grant and the special education grant for disabled children in the United States, as well as in areas where education-related expenses are incurred in deutsche mark, Italian lira, pounds sterling, Spanish pesetas, Swedish kronor, and Swiss francs (see annex). The annex to the present document also reflects a change in the methodology for the determination of the education grant, as approved by the Assembly in resolution 47/216 of 23 December 1992, stipulating that expenditures should be monitored and reviewed by currency areas.

2. The revised schedule of the education grant and special education grant for disabled children is effective as from the school year in progress on 1 January 1995. Staff rule 103.20 will be amended in due course. Of particular note is the fact that there are now two United States dollar rates applicable to the education grant. One rate is applicable only to education grant claims received in respect of children studying in the United States of America. The second rate is applicable to claims emanating from all parts of the world except the currency areas specifically designated under the education grant and shown in the annex. In addition, contrary to previous practice, claims for children

* Personnel Manual index No. 3320



3320

studying in the CFA franc area will be treated under the United States dollars (the rest of the world) rate.

3. Particular attention should be paid to the following paragraphs concerning procedures for education grant payments:

<u>Paragraphs</u>	<u>Subject</u>
5	Confirmation of data and record-keeping
6 - 13	Advances against the education grant
14 - 16	Claims for payment of the education grant

I. EDUCATION GRANT

Eligibility

4. (a) In accordance with staff rule 103.20 (b), a staff member who is regarded as an international recruit under rule 104.7 and whose duty station and place of residence is outside his or her home country shall be entitled to an education grant in respect of each child in full-time attendance at a school, university or similar educational institution, provided the appointment or assignment is for a minimum of six months or, if initially for a period of less than six months, is extended so that total continuous service is at least six months. An eligible staff member reassigned to a duty station within his or her home country may receive the education grant for the balance of a school year, not exceeding one full school year after his or her return from expatriate service;

(b) The Secretary-General may also authorize payment of the education grant, during mission service for a continuous period of six months or more, to a staff member regarded under rule 104.6 as a local recruit at his or her official duty station. In respect of a staff member on special mission service, the official duty station continues to be the duty station from which the staff member is assigned, and he or she continues to receive the salary and allowances pertaining to that duty station. However, eligibility for the education grant will generally be determined on the basis of the duty station in which the staff member is in fact serving, i.e. the mission area duty station, subject to the following conditions:

- (i) The staff member is detailed for a minimum period of six months, or, if initially detailed for a period less than six months, is extended so that the total continuous period of service is at least six months;
- (ii) Boarding expenses and the flat sum for board, as provided for under paragraph 20, will not be paid in those cases where the child attends an educational institution at the official duty station;
- (iii) As on non-family missions, no education grant travel will be authorized to or from the mission area duty station;

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3320

- (iv) The education grant will be payable only in respect of the staff member's period of actual service at the mission area duty station.

Confirmation of data and record-keeping

5. It is the policy of the United Nations to review and confirm all submissions that result in the establishment of an entitlement and/or payment based thereon, as part of routine internal control procedures. Staff members are reminded that internal and external auditors review education grant submissions on a periodic basis. It is, therefore, important that staff members, when certifying a document, ensure the accuracy of the information being provided to the United Nations. Incorrect or untrue information may not only result in the rejection of a submission, but may also result in disciplinary measures as provided for in the Staff Regulations and Rules. Staff members are expected to retain, for a period of five years counted from the date of submission of the education grant claim, all substantiating documentation, such as receipts and cancelled cheques, relating to expenditures. Such documentation may be needed for clarification or to answer queries arising from a review or audit of an entitlement or related payment.

Advances against the education grant

6. Staff members who are entitled to the education grant and who are required to pay all or a portion of the school fees at the beginning of the school year may apply for an advance against their entitlement by completing form P.45, Request for payment of education grant and/or advance against the education grant.

7. When an advance is being requested for the first time for a child, the request must be accompanied by invoices or other documentation from the educational institution attesting to the school fees. The amount of the advance will be 100 per cent of the anticipated amount of the education grant.

8. For a subsequent school year, the advance will be 100 per cent of the amount previously paid except that:

(a) If lower admissible educational expenses are anticipated, the staff member should so indicate. In such a case, the amount of the advance will be 100 per cent of the grant calculated on the basis of the revised expenses;

(b) If higher admissible educational expenses are anticipated, the staff member may request an advance on the basis of these higher expenses, exclusive of the flat sum for board referred to in subparagraphs 20 (b) and 21 (b) below. As in the case of a first advance, documentation will be required from the educational institution attesting to the increased expenses;

(c) After the advance is requested, the staff member may request an adjustment if the anticipated admissible educational expenses on which the advance was based become higher. Should the anticipated admissible educational expenses become lower, the staff member is required to report the fact promptly so that the amount of the advance may be adjusted. If the advance has already been paid, the staff member will be required to refund any excess. Failure to

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report lower expenses may result in the imposition of disciplinary measures under the Staff Regulations and Rules.

9. In those cases where there is no claim for the previous school year, requests for an advance may be submitted prior to, or within two months after, the beginning of the current school year. In those cases where there is a claim for the previous school year, the request for the advance should be presented on form P.45 together with the claim for the previous year.

10. Provided that the relevant information is received at least two months beforehand, advances will be paid approximately one month prior to the beginning of the school year for staff on the Headquarters payroll. At duty stations where circumstances so warrant, special arrangements may be established by the Secretary-General for payment of the advance in instalments.

11. Any advance approved will be considered as due from the staff member until it is discharged by certification of the entitlement by the Office of Human Resources Management or is recovered from the staff member. Recovery from the staff member's salary will take place automatically if a claim for payment of the grant is not submitted promptly at the end of the school year or on earlier separation from service. Recovery from staff members at Headquarters is made three months after the end of the school year. For staff on the Headquarters payroll but located at a duty station away from Headquarters, recovery is made four months after the end of the school year. Similar arrangements will be established for staff on other payrolls.

12. No further advance will be authorized for subsequent school years until previous education grant advances have been cleared by settlement of the relevant education grant claim or repayment of the advance previously authorized.

13. Advances are normally payable in United States dollars at all duty stations except at Geneva. For staff members whose duty station is Geneva, the advance, as is done for emoluments, will be payable in Swiss francs. In all cases, the advance will be recorded in United States dollars, except when educational expenses are incurred in one of the currencies in the annex to the present document. In such cases, the advance will be recorded in the currency in which the educational expenses are incurred using the United Nations operational rate of exchange in effect on the date of payment of the advance.

Claims for payment of the education grant

14. Claims for the payment of the education grant should also be submitted on form P.45. Claims for the past school year should be submitted promptly upon completion of the school year unless the staff member's appointment expires earlier or the child's attendance ceases earlier. In the first case, staff members are urged to submit the claim shortly before the date of separation from service. In the second case, staff members are urged to submit the claim within one month of cessation of the child's attendance. In any event, in accordance with staff rule 103.15 (ii), for the grant to be payable the claim must be submitted within one year following the date on which the staff member would have been entitled to the payment of the grant. The claim must be accompanied

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by written evidence of the child's attendance, education costs and the amounts paid by the staff member.

15. Such evidence will normally be submitted on form P.41, Certificate of attendance and costs and receipt for payments, which should be certified by the school. The same form is required for cases where only the flat sum for board is claimed. After certification, the original form should be submitted and it should not be changed in any way, as any revision or alteration may be cause for disciplinary action. In order to facilitate confirmation of data, a copy of form P.41 must be given to the educational institution. In those cases where it is not possible to submit form P.41, a certificate of attendance is required indicating the exact dates on which the school year began and ended and the dates of the child's attendance, together with receipted school bills, itemizing the various charges paid to the school. These documents must be certified by a responsible official of the educational institution on its official stationery or on paper bearing its seal. Expenditures that are not paid to the educational institution are not to be included on form P.41, but may be claimed by attaching to form P.45 an explanation of the nature of the expenditure and substantiating documentation, for example, receipts or cancelled cheques. If the certificate, other documentation and accompanying receipts are not in one of the working languages of the United Nations, a translation into one of these languages must be attached.

16. If the staff member does not have custody of his or her child and the question of the staff member's compliance with his or her support obligation in respect of the child is raised, written evidence that the flat sums for board and textbooks have been used for the purposes intended may be required from the staff member.

Amount of the grant

17. Under subparagraphs (d) and (e) of staff rule 103.20, the amount of the education grant entitlement varies according to whether the child attends an educational institution AT or OUTSIDE the staff member's duty station and whether or not the educational institution outside the duty station provides board. For purposes of the education grant, "duty station" is defined in staff rule 103.20 (a) (iii) as the country, or area within commuting distance notwithstanding national boundaries, where the staff member is serving.

Admissible educational expenses in case of attendance AT the duty station

18. When the child attends an educational institution at the duty station, the expenses incurred for attendance are considered admissible, but not the expenses for board. The expenses incurred for attendance include charges for enrolment, registration, examinations, tuition and diplomas, prescribed textbooks and other costs directly related to the regular school programme or curriculum. Where local conditions justify their provision, charges for midday meals, if they are provided by the school and included in the school bill, and for daily group transportation to and from the school, if provided by the school or organized on a school-wide basis by a concern other than the school itself, may also be included in the admissible educational expenses. The amount of the grant shall be 75 per cent of the sum of the admissible educational expenses up to the

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maximum specified in column 1 of the annex to the present document per year, with a maximum grant as indicated in column 2 of the annex per year for each child.

Admissible educational expenses in case of attendance OUTSIDE the duty station

19. When the child attends an educational institution outside the duty station, all the educational expenses described in paragraph 18 above are considered admissible, as well as the expenses for board, in accordance with paragraphs 20 or 21 below, as appropriate. This includes cases when a child attends an educational institution beyond commuting distance from the duty station itself, provided that the Secretary-General is satisfied that no school within commuting distance would be suitable for the child.

20. Except as provided in paragraph 21 below, the amount of the grant shall be:

(a) Where the educational institution provides board, 75 per cent of the sum of the expenses for attendance and board up to the maximum indicated in column 1 of the annex per year, with a maximum grant as indicated in column 2 per year for each child;

(b) Where the educational institution does not provide board, a flat sum as indicated in column 3 of the annex for board plus 75 per cent of the expenses for attendance up to a maximum as indicated in column 6. The maximum total grant is as specified in column 2 per year for each child (e.g., if educational expenses are incurred in the United States of America, the amounts are \$3,770 for board and \$8,905 for attendance). In respect of staff members on special mission service, the flat sum for board will not be paid in those cases where the child attends an educational institution at the official duty station.

21. At designated duty stations where educational facilities are not available or are deemed inadequate,* eligible staff will be entitled to reimbursement of an additional amount for boarding expenses in respect of children in school attendance at the primary and secondary levels. This amount shall be equivalent to 100 per cent of boarding expenses up to the amount specified in column 4 of the annex which is payable as an amount additional to the normal grant indicated in column 2, i.e. a maximum total grant as expressed in column 5 of the annex. The amount of the grant shall be calculated as follows:

(a) Where the educational institution provides board, the amount of the grant per year shall be the sum of:

(i) 100 per cent of boarding expenses up to the amount specified in column 4 of the annex; and

* Those duty stations where staff members are also eligible for additional education grant travel are listed in administrative instruction ST/AI/280, as revised from time to time to reflect changes affecting individual duty stations.

3320

(ii) 75 per cent of admissible expenses for attendance and of any part of boarding expenses in excess of the amount specified in column 4, up to a maximum reimbursable amount as specified in column 2 of the annex;

(b) Where the educational institution does not provide board, the amount of the grant per year shall be the sum of:

(i) A flat sum for board as specified in column 4 of the annex; and

(ii) 75 per cent of admissible expenses for attendance, up to a maximum reimbursable amount as indicated in column 2 of the annex.

Relationship of scholarships to the education grant

22. Any scholarship, bursary or similar grant given to the child, and any financial assistance given to the child which would decrease the educational expenses borne by the staff member should be disclosed by the staff member on form P.45 and by the school officials on form P.41 and will be taken into account in calculating the education grant. The amount will be deducted from the total educational expenses incurred for the child (including the cost of journeys between the school and duty station that are not paid by the United Nations) before the education grant is calculated. If the staff member subsequently repays the financial assistance received, he or she may submit a claim on that basis provided that the claim is filed within one year following the date on which the staff member would have been entitled to the payment of the grant, in accordance with staff rule 103.15 (ii).

Textbooks

23. As indicated in paragraph 18 above, expenses for textbooks are an admissible expense for attendance, if the textbooks have not been provided free of charge and the educational institution so certifies on form P.41. A staff member may claim the following amounts without additional certification: \$210 at the primary level, \$420 at the secondary level and \$840 at the post-secondary level. If the claim exceeds the appropriate amount, certification will be required from the educational institution on form P.41C, Certificate of prescribed textbooks and receipt for amount paid. A copy of the form should be provided to the educational institution to facilitate confirmation of data. If the textbooks were not bought at or through the school, receipts will also be required.

Non-admissible expenses

24. Certain expenses may not be admissible because they are not considered to be expenses incurred for attendance. Among the expenses that are not admissible are school supplies, equipment or uniforms, insurance, medical examinations, donations and contributions or similar charges. Other items may not be admissible because they are not part of the regular school programme or curriculum. In this regard, courses or activities not covered by the regular tuition fee and which are not required of all students following a given programme or curriculum will not be regarded as being part of the regular school programme or curriculum. Expenses for summer courses will be admissible only if

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they are a prerequisite for further attendance during the regular school year or for the school's regular diploma.

25. In addition, as specified in staff rule 103.20, the grant is not payable in the following cases:

(a) Kindergarten or nursery school. The grant is not payable in respect of attendance at a kindergarten or nursery school at the pre-primary level. In those cases where there is difficulty in determining whether education is primary or pre-primary, it will be presumed to be primary from the school year during which the child reaches the age of 6 and presumed to be pre-primary during school years in which the child has not reached the age of 5. In respect of the school year in which the child reaches the age of 5, the grant may be paid if it can be shown, on the basis of information provided by the school, that the basic elements of a formal education are included in the instruction. No grant is payable if attendance is not full-time;

(b) Free school. The grant is not payable in respect of attendance at a free school or one charging only nominal fees. This does not preclude the reimbursement of expenses for boarding (see paras. 20 and 21 above, as appropriate), textbooks (see para. 23 above) or charges for midday meals and transportation (see para. 18 above);

(c) Correspondence courses. The grant is not payable for correspondence courses, except:

- (i) Where such courses are the only available substitute for full-time attendance at a school of a type not available at the duty station;
- (ii) Where such courses are related to academic subjects that are not included in the regular school curriculum but are required for the child's subsequent education;
- (iii) Where such courses are required for a disabled child (see paras. 39-52).

Subject to prior written approval, the expenses for correspondence courses will be treated as admissible expenses subject to 75 per cent reimbursement.

Approval is not normally given for correspondence courses at the university level or in respect of children over 18 years of age who are not disabled;

(d) Private tuition. The grant is not payable for private tuition, except in the following cases where it could be allowed if it is given by qualified teachers:

- (i) For tuition in the mother tongue (see para. 26 below);
- (ii) For tuition in the language of the duty station, when prescribed by the local school as a pre-condition for admittance;
- (iii) As a required supplement to correspondence courses admissible under subparagraph (c) above;

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- (iv) As a required supplement to the regular school programme:
- a. For special coaching in a subject taught by the school to make up for deficiencies attributable to the child's change of schooling as a result of expatriation or a change of the staff member's duty station; or
 - b. For special coaching in an academic subject not included in the school curriculum but required for the child's subsequent education;
- (v) Where private tuition is required for a disabled child, the amount reimbursable for such tuition shall be governed by the provisions concerning the special education grant for disabled children (see paras. 39-52);
- (e) Vocational training or apprenticeship. The grant is not payable for vocational training or apprenticeship, unless it involves full-time schooling; neither is it payable when the child receives payment for services rendered.

Tuition in the mother tongue

26. The costs of tuition in the mother tongue may be allowed in those cases where:

- (a) The staff member serves in a country whose language is different from his or her mother tongue; and
- (b) The child attends a local school in which the instruction is given in a different language.

Where attendance at a local school gives no entitlement to an education grant, 75 per cent of the expenses for tuition in the mother tongue may be paid, subject to a maximum expense of \$2,900 a year for individual tuition and \$1,450 a year for group language tuition. Where attendance at a local school gives entitlement to an education grant, the expenses incurred for tuition in the mother tongue may be included in the admissible expenses for attendance up to a maximum of \$2,900 for each child in the case of individual tuition and \$1,450 for each child in the case of group tuition. For other currencies listed in the annex, the relevant local currency maxima applicable for expenses incurred are respectively the totality, for individual tuition, or one half, for group tuition, of the amounts indicated in column 3 of the annex. Tuition in the mother tongue must be provided by a qualified teacher, and no grant will be authorized for the teaching of the mother tongue by a member of the staff member's family. A request for reimbursement for tuition must be accompanied by form P.41A, Certificate for tuition in the mother tongue and receipt for amount paid certified by the educational institution or tutor. A certified copy of the form should be returned by the educational institution or tutor to facilitate subsequent confirmation of data, if necessary.

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Periods of attendance

27. The education grant is payable only for the periods of attendance while the staff member is in service with the United Nations and meets the eligibility requirements set out in paragraph 4 above. Under staff rule 103.20 (f) and (g), when attendance is for less than two thirds of the school year or the period of service does not cover the full school year, the amount of the grant is prorated in the proportion which the period of attendance or service bears to the full school year. Prorating is effected either on the basis on which the educational institution charges fees for attendance for parts of a year, or by taking more than 20 days as a full month, 11 to 20 days as half a month and ignoring attendance of 10 days or less a month. In cases where the school charges fees based on a period of 12 calendar months, the prorated entitlement will be calculated on the basis of the actual school year, i.e. 12 calendar months less the period of the normal summer vacation.

28. In those cases where a child takes required courses offered by the educational institution during a summer session (see para. 24 above), charges for these summer courses will be taken into account, together with those of the previous two semesters, in determining the total amount of the grant for that school year. If the child has been in full-time attendance during the summer session, the actual school year will cover also the period of the summer session, and any prorated entitlement will be calculated on that basis.

29. The grant is payable up to and including the day on which the child ceases full-time attendance at an educational institution or completes four years of post-secondary studies or is awarded the first recognized degree,* whichever is earlier. The grant will not normally be paid beyond the scholastic year in which the child reaches the age of 25, unless the child's education has been interrupted by a period of national service or illness of more than one year. National service does not include periods for which a child enlists voluntarily or periods spent in ascertaining the obligation of military service.

Travel expenses

30. Staff members eligible for the education grant, whose children attend an educational institution outside the country of the duty station for not less than two thirds of the school year, are entitled under staff rule 103.20 (h) to the payment of the child's travel expenses for one round trip each scholastic year. In the case of staff members serving at designated duty stations where either educational facilities are not available or schools do not exist which provide schooling either in the language or in the cultural tradition desired by staff members for their children, such travel expenses may be paid twice in the

* The degree which, under the educational system to which it pertains, is acknowledged as the first post-secondary academic degree.

year in which the staff member is not entitled to home leave.* In respect of staff members on non-family missions, no education grant travel will be authorized to or from the mission area duty station.

31. As provided in staff rule 103.20 (h), education grant travel expenses may be paid when attendance is beyond commuting distance from the duty station itself, provided that the Secretary-General is satisfied that no school within commuting distance would be suitable for the child.

32. In those cases where, during a single school year, a child attends two schools, one of which is at the duty station and the other away from the duty station, education travel expenses may be paid in respect of attendance away from the duty station, provided that attendance is for at least one term and there is a valid reason for the change of school.

33. Education grant travel may begin either from the duty station or from the educational institution. Two weeks is the minimum period required to be spent at the duty station, and travel must be undertaken during the relevant school year. Travel expenses shall not exceed the cost of travel between the staff member's home country and his or her duty station. Travel expenses will not be paid if the travel occurs within three months of other official travel by the staff member or the child. However, this interval may be reduced in appropriate cases to permit education grant travel to take place in the same year as home leave travel, if otherwise eligible. This interval may also be reduced to allow education grant travel to the educational institution following travel of the child to join the staff member at the duty station.

34. In the school year in which the child completes the fourth year of post-secondary studies or is awarded the first recognized degree, travel may be undertaken at any time during that school year or at its end, provided that full-time attendance was for not less than two thirds of the school year. If an outward or inward journey occurs after the end of the last school year for which the education grant is payable and in which the child is over the age of 22, the one-way travel that may be allowed under staff rule 107.5 (b) at the end of the child's full-time attendance at an educational institution will not be authorized.

Travel arrangements and claims

35. Education grant travel shall be requested on form P.66, Request for education grant travel. It will be followed by the issuance of a travel authorization form (PT.8), specifying the school year to which the travel is related and the mode, route and dates of travel. The preparation of form PT.8 and all arrangements regarding travel must follow the provisions of administrative instruction ST/AI/257. Staff members are not allowed to make a

* Those duty stations where staff members are also eligible for additional education grant travel are listed in administrative instruction ST/AI/280, as revised from time to time to reflect changes affecting individual duty stations.

3320

direct purchase of the travel tickets without specific prior authorization. Within two weeks after completion of the child's education grant travel, the staff member shall submit a travel claim form (F.10) to the departmental executive or administrative office, regardless of whether any claim for reimbursement exists. The submission of form F.10 is required to verify that travel has been undertaken as authorized, as well as for the purpose of certification of reimbursement claims. As provided in paragraph 19 of ST/AI/257, form F.10 should be accompanied by the original of the travel authorization form (PT.8), ticket stubs and receipts for all expenses for which reimbursement is claimed. No education grant travel will be authorized before approval of the claim for travel for the previous school year.

Computation of entitlements

36. With the exception of admissible expenses incurred in a currency listed in part (a) of the annex, the education grant claims referred to in paragraph 14 above will be computed in United States dollars. For that purpose, the admissible expenses incurred by the staff member in a currency other than United States dollars will be converted to United States dollars using the United Nations operational rate of exchange on the specific date(s) these expenses were actually incurred by the staff member.

37. The amount of the entitlement will be calculated on the basis of the admissible expenses, expressed in United States dollars (see paras. 18-21 above and the annex for information on the amount of the grant and applicable admissible expenses). Once the entitlement is established, any previous advances received, also recorded in United States dollars (see para. 13 above) will be deducted. The balance outstanding, if any, will be settled in United States dollars and paid to or recovered from the staff member in the same currency. For staff members serving at Geneva, the outstanding balance expressed in United States dollars will be converted to Swiss francs for the purpose of payment or recovery.

38. When the educational expenses of a claim are incurred in a currency listed in part (a) of the annex, the entitlement will be calculated on the basis of the admissible expenses expressed in that currency. Once the entitlement is established, any previous advance recorded as paid to the staff member will be deducted. The local currency balance outstanding, if any, will be converted to United States dollars using the United Nations operational rate of exchange in effect on the date of settlement. The resulting balance, expressed in United States dollars, will be paid to or recovered from the staff member in United States dollars. In the case of staff members serving at Geneva (a) for expenses incurred outside of Switzerland, the balance expressed in United States dollars will be converted to Swiss francs and paid to or recovered from the staff member in that currency, using the United Nations operational rate of exchange in effect on the date of payment or recovery, and (b) for expenses incurred in Switzerland, the computation and settlement will be effected directly in Swiss francs.

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II. SPECIAL EDUCATION GRANT FOR DISABLED CHILDREN

Definitions

39. For the purpose of the special education grant, a "disabled child" shall mean a child under the age of 25 years who is unable, by reason of physical or mental disability, to attend a normal educational institution and, therefore, requires special teaching or training, on a full-time or part-time basis, to prepare him or her for full integration into society or, while attending a normal educational institution, requires special teaching or training to assist him or her in overcoming the disability.

40. "Educational expenses" shall mean expenses incurred for such teaching services and equipment as are necessary to provide an educational programme designed to meet the needs of the disabled child in order that he or she may attain the highest possible level of functional ability. Other costs or fees directly related to the educational programme that are not optional or related to an extracurricular activity may be included in the educational expenses, but not school supplies, uniforms, insurance, donations and contributions or similar charges. If full board (food and lodging) is provided for a disabled child attending an educational institution at the duty station, the boarding expenses shall not be reimbursable unless it is certified that full-time boarding in the institution is an integral part of the educational programme.

Eligibility

41. The special education grant for disabled children shall be available to staff members of all categories, regardless of whether or not they are serving in their home country, provided that they have an appointment of one year or longer or have completed one year of continuous service. In either case, reimbursement under the grant shall be made for admissible educational expenses incurred from the date on which the staff member enters on duty.

42. The special education grant shall be payable from the date on which the special teaching or training is required up to the end of the calendar year in which the child reaches the age of 25 years. In exceptional cases, the age limit may be extended up to the end of the calendar year in which the child reaches the age of 28 years.

Amount of the grant

43. The amount of the grant for each disabled child shall be 100 per cent of the admissible educational expenses actually incurred, up to a maximum as indicated in column 1 of the annex. Expenses for special equipment for educational purposes shall be reimbursed, if not otherwise covered under health insurance, up to a maximum of one third of the amounts shown in column 4 of the annex (e.g., if incurred in the United States, \$1,000 per year within the overall maximum). The expenses incurred for local transportation required for a disabled child shall be admissible up to an amount equivalent to twice the cost of normal group transportation arrangements, i.e. the cost of group transportation provided by normal educational institutions at the duty station or organized on a school-wide basis for children attending such institutions.

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The grant shall be computed on the basis of the calendar year if the child is unable to attend a normal educational institution, or on the basis of the school year if the child is in full-time attendance at a normal educational institution while receiving special teaching or training.

44. In the computation of the special education grant, the amount of admissible educational expenses shall be reduced by the amount of any benefits that may be available from other sources for the child's education and training (see para. 50 below).

45. If a staff member is in the service of the United Nations for only part of the school year or calendar year, the grant payable shall be that proportion of the annual grant which the period of service bears to the full school or calendar year.

Relationship to the regular education grant

46. In cases where a child, by reason of his or her physical or mental disability, is unable to attend a normal educational institution, the claim shall be made only against the entitlement to the special education grant, regardless of whether the staff member is otherwise entitled to a regular education grant in respect of the child.

47. In cases where a disabled child is in full-time attendance at a normal educational institution and no special arrangements are made at that institution for the child concerned, the grant shall be regulated as follows:

(a) If the staff member is entitled to a regular education grant, the claim shall be made in the first instance against that entitlement to the extent that the school attendance itself qualifies for the payment of the regular education grant under the applicable provisions, and reimbursement under the special education grant will be made only in respect of educational expenses incurred for the necessary special teaching or training. The combined total of the two types of grant shall not exceed the amount specified in column 1 of the annex. At designated duty stations where educational facilities are not available or are deemed inadequate, an additional amount for boarding expenses will be paid in respect of children in school attendance at the primary and secondary levels. The amount shall be equivalent to 100 per cent of boarding expenses up to the amount specified in column 4 of the annex per year which is payable in addition to the special education grant, i.e., the combined amount is the sum of columns 1 and 4 of the annex. Whenever a regular education grant is payable in respect of the school attendance, the provisions concerning education grant travel shall also apply;

(b) If the staff member is not entitled to the regular education grant, educational expenses incurred for special teaching or training shall be reimbursable under the provisions of the special education grant.

48. In cases where a disabled child is in full-time attendance at a normal educational institution but special arrangements are made at that institution for the child concerned, the staff member may be entitled to reimbursement under

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special education grant provisions, i.e., 100 per cent of maximum admissible educational expenses.

Claims for payment of the special education grant

49. Claims for payment of the special education grant should be submitted annually on form P.45, Request for payment of education grant and/or advance against education grant, within one month of the completion of the school year, if the child is in school attendance, or, otherwise, within one month of the end of the calendar year. In those cases where the staff member's appointment expires earlier, a claim should be submitted before separation from service.

50. The claim must be accompanied by a medical certificate attesting to the child's disability. The approving officer should consult the Medical Director or designated medical officer regarding acceptability of the certificate for the purpose of the special education grant. The staff member is also required to provide evidence that he or she has exhausted all other sources of benefits that may be available for the education and training of the child, including those that may be obtained from state and local governments and from the United Nations contributory medical insurance plans. The amount of the expenses used as the basis for the calculation of the special education grant shall be reduced by the amount of any benefits so received or receivable by the staff member.

51. The provisions of the regular education grant regarding advances, claims for payment of the entitlement, record-keeping, confirmation of data, computation of entitlement and certification by the staff member shall apply to the special education grant.

Travel

52. Where the disabled child, by reason of his or her disability, attends an educational institution beyond commuting distance from the duty station, travel expenses shall be paid for up to two round trips per school year between the educational institution and the duty station, provided the needs of the disabled child require attendance at the educational institution. In very exceptional circumstances, travel expenses may also be reimbursed for the person accompanying the disabled child.

III. FORMS RELATED TO THE EDUCATION GRANT

53. The forms referred to in this instruction are available from the Executive Office of each Department/Office and from the Personnel Service or Section at offices away from Headquarters.

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ANNEX

Education grant entitlements, applicable in cases where educational expenses are incurred in the currencies below

Currency	(1) Maximum admissible educational expenses and maximum grant for disabled child	(2) Maximum education grant	(3) Flat sum for board under para. 20 (b)	(4) Flat sum or ceiling for boarding costs under para. 21 (a) or 21 (b)	(5) Maximum grant for staff members serving at designated duty stations (see para. 21)	(6) Maximum admissible educational expenses (attendance only) (see para. 20 (b))
<u>Part (a)</u>						
Austrian schilling	152 100	114 075	33 800	50 700	164 775	107 028
Belgian franc	423 000	317 250	94 000	141 000	458 250	297 651
Danish krone	77 400	58 050	17 200	25 800	83 850	54 464
Deutsche mark	29 035	21 775	6 454	7 200	28 975	20 431
Finnish markka	54 000	40 500	12 000	16 200	56 700	38 000
French franc	61 200	45 900	13 600	20 400	66 300	43 064
Irish pound	6 561	4 921	1 458	2 188	7 109	4 617
Italian lire	19 800 000	14 850 000	4 400 000	4 200 000	19 050 000	13 932 600
Japanese yen	2 115 000	1 586 250	470 000	705 000	2 291 250	1 488 255
Luxembourg franc	423 000	317 250	94 000	141 000	458 250	297 651
Monaco (French franc)	61 200	45 900	13 600	20 400	66 300	43 064
Netherlands guilder	27 000	20 250	6 000	7 950	28 200	19 000
Norwegian krone	63 900	47 925	14 200	21 300	69 225	44 964
Pound sterling	11 250	8 438	2 500	1 960	10 398	7 916
Spanish peseta	1 572 710	1 179 530	349 556	390 000	1 569 530	1 106 664
Swedish krona	83 250	62 438	18 500	22 200	84 638	58 580
Swiss franc	20 097	15 070	4 466	6 090	21 160	14 142
<u>Part (b)</u>						
United States dollar (other than USA)	13 000	9 750	2 900	3 000	12 750	9 133
<u>Part (c)</u>						
United States dollar (USA)	16 900	12 675	3 770	3 000	15 675	11 873



Secretariat **3323**

ST/AI/181/Rev.10/Amend.2
4 March 1997

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: EDUCATION GRANT AND SPECIAL EDUCATION GRANT
FOR DISABLED CHILDREN*

1. The purpose of the present amendment is to advise staff members of the decision of the General Assembly contained in resolution 51/216 of 18 December 1996 to approve increases in the maximum amounts of admissible expenses, the maximum education grant and the flat sum for boarding costs as applicable in the United States of America, as well as in the areas where education-related expenses are incurred in the Italian lira, the Netherlands guilder, the Norwegian krone, the pound sterling, the Swedish krona and the Swiss franc.

2. The amounts listed in the annex to the present document are effective as from the school year in progress on 1 January 1997.

* Personnel Manual index No. 3323.



3323

ANNEX

Education grant entitlements, applicable in cases where
educational expenses are incurred in the currencies
stated below

Currency	(1) Maximum amount admissible educational expenses and maximum grant for disabled child	(2) Maximum education grant	(3) Flat sum for board under paragraph 20 (b)	(4) Flat sum or ceiling for boarding costs under paragraph 21 (a) or 21 (b)	(5) Maximum grant for staff members serving at designated duty stations (see para. 21)	(6) Maximum amount admissible educational expenses (attendance only) (see para. 20 (b))
<u>Part (a)</u>						
Austrian schilling	152 100	114 075	33 800	50 700	164 775	107 028
Belgian franc	423 000	317 250	94 000	141 000	458 250	297 651
Danish krone	77 400	58 050	17 200	25 800	83 850	54 464
Deutsche mark	29 035	21 775	6 454	7 200	28 975	20 431
Finnish markka	54 000	40 500	12 000	16 200	56 700	38 000
French franc	61 200	45 900	13 600	20 400	66 300	43 064
Irish pound	6 561	4 921	1 458	2 188	7 109	4 617
Italian lira	20 790 000	15 592 500	4 620 000	4 620 000	20 212 500	14 629 230
Japanese yen	2 115 000	1 586 250	470 000	705 000	2 291 250	1 488 255
Luxembourg franc	423 000	317 250	94 000	141 000	458 250	297 651
Monaco (French franc)	61 200	45 900	13 600	20 400	66 300	43 064
Netherlands guilder	28 836	21 627	6 408	7 950	29 577	19 000
Norwegian krone	71 632	53 724	15 918	21 300	75 024	44 964
Pound sterling	12 375	9 281	2 750	2 750	12 031	8 708
Spanish peseta	1 572 710	1 179 530	349 556	390 000	1 569 530	1 106 664
Swedish krona	91 575	68 681	20 350	22 200	90 881	64 438
Swiss franc	22 107	16 580	4 913	6 090	22 670	15 556
<u>Part (b)</u>						
United States dollar (other than USA)	13 000	9 750	2 900	3 000	12 750	9 133
<u>Part (c)</u>						
United States dollar (USA)	18 675	14 006	4 166	4 166	18 172	11 873



Secretariat

3330

ST/AI/1997/6
20 October 1997

ADMINISTRATIVE INSTRUCTION

MISSION SUBSISTENCE ALLOWANCE*

The Under-Secretary-General for Management, pursuant to section 4.2 of Secretary-General's bulletin ST/SGB/1997/1 and for the purpose of defining the conditions governing the special mission assignments provided by staff rule 103.21, promulgates the following:

Section 1

General provisions

1.1 Mission subsistence allowance is a daily allowance payable by the Organization for living expenses incurred by staff members in the field in connection with their temporary assignment or appointment to a special mission.

1.2 When a mission has been designated as a special mission, in accordance with staff rule 103.21 (a), the salary of a staff member assigned from another duty station shall continue to be subject to the post adjustment and allowances, if any, applicable at the duty station from which the staff member was assigned.

1.3 In accordance with staff rule 103.7 (d) (iii), the post adjustment for the mission area shall not be applicable when a staff member is assigned to a special mission under staff rule 103.21 (a) and with provision for mission subsistence allowance.

* Personnel Manual index No. 3330.

3330

Section 2

Eligibility

2.1 Mission subsistence allowance shall be payable to all international civilian staff, civilian police and military observers assigned to a special mission.

2.2 The mission area shall be defined by the Assistant Secretary-General for Human Resources Management, in consultation with the Under-Secretary-General for Peacekeeping Operations in accordance with relevant resolutions of the Security Council and the General Assembly.

Section 3

Establishment of mission subsistence allowance rates

3.1 Mission subsistence allowance rates shall be determined on the basis of cost of long-term accommodation, food and miscellaneous expenses at the duty station of the mission assignment. The rates shall be established for each mission by the Assistant Secretary-General for Human Resources Management on behalf of the Secretary-General, and shall be published.

3.2 Mission subsistence allowance rates may be established wholly or partly in the currency of the mission area. The rates are subject to reductions to reflect accommodation and/or food provided by the Organization.

3.3 Normally, two rates of mission subsistence allowance are established. A higher rate is applicable during the first 30 days of assignment to the duty station to compensate for expenditures related to the set-up and the normally higher accommodation expenses incurred, and a reduced rate is applicable thereafter.

Section 4

Administration of mission subsistence allowance

Administration of mission subsistence allowance in the mission shall be entrusted to the Chief Administrative Officer, under the authority of the Headquarters department or office in charge of the mission.

Section 5

Payment of mission subsistence allowance

5.1 Mission subsistence allowance is payable from the date of arrival at the duty station until the date of departure, i.e., for the period spent on mission-related service, in the following cases:

/...

- (a) For actual work days spent in the mission area;
- (b) For weekends and official holidays spent within or outside the mission area;
- (c) For annual leave accrued while on mission assignment, and taken prior to the expiration of the mission assignment where the annual leave was accrued;
- (d) For sick leave or maternity leave, subject to the conditions specified in sections 7.2 and 8 below.

5.2 When accommodation is provided free of charge by the United Nations, the standard rate of mission subsistence allowance will be reduced by 50 per cent regardless of whether the accommodation provided is permanent, prefabricated or tented.

Section 6

Payment of mission subsistence allowance while on official business within the mission area

A staff member travelling on official business requiring an overnight stay at a location other than his or her duty station within the mission area may receive, in addition to the usual mission subsistence allowance, reimbursement for accommodation at the overnight location. The reimbursement shall be subject to submission of receipts for the overnight stay, and may not exceed the accommodation portion of the mission subsistence allowance rate for the location of the overnight stay.

Section 7

Payment of subsistence allowance while on official business outside the mission area

7.1 A staff member travelling on official business outside the mission area shall receive the daily subsistence allowance established by the International Civil Service Commission for the designated travel location. No daily subsistence allowance is payable when on official travel to the parent duty station.

7.2 For periods of official business outside the mission area, the accommodation portion of the mission subsistence allowance shall remain payable.

3330

Section 8

Payment of mission subsistence allowance while on
sick leave or maternity leave

8.1 Mission subsistence allowance shall be payable when a staff member is on sick leave or maternity leave within the mission area.

8.2 A staff member hospitalized in the mission area shall be entitled to one third of the mission subsistence allowance, since accommodation and meals in the hospital are covered by health insurance.

8.3 Mission subsistence allowance shall not be payable when a staff member is hospitalized or on sick leave outside the mission area. However, in case of hospitalization, and in case of maternity leave outside the mission area, the United Nations shall pay for retained accommodation subject to submission of supporting documentation and up to 50 per cent of the mission subsistence allowance rate.

Section 9

Final provisions

The present instruction shall come into force on 1 November 1997.

(Signed) Joseph E. CONNOR
Under-Secretary-General
for Management



Secretariat

3339/A

ST/IC/1997/38
26 June 1997

INFORMATION CIRCULAR*

To: Members of the Staff

From: The Assistant Secretary-General for Human Resources Management

Subject: MOBILITY AND HARDSHIP ALLOWANCE**

1. Staff members will recall that information circular ST/IC/1997/28 informed them that the General Assembly, in its resolution 51/216 of 18 December 1996, introduced from 1 January 1997 a five-year time limit, with possible extension for a further two years in exceptional circumstances, on the payment of the non-removal element of the mobility and hardship allowance at one duty station.

2. Staff members are informed that the above resolution will be implemented as follows:

(a) As a transitional measure, and taking into account the fact that the mobility and hardship allowance was introduced as of 1 July 1990, the non-removal element of the allowance will continue to be paid until 30 June 1997 in all cases;

(b) Afterwards, and in accordance with paragraph 40 of administrative instruction ST/AI/363, which provides that the mobility and hardship allowance is normally paid in advance on an annual basis, the determination as to whether the non-removal element of the mobility and hardship allowance has been paid for five years or more at one duty station will be made on the anniversary date of the payment of the allowance for each staff member;

(c) If, as of the anniversary date, a staff member has been in receipt of the non-removal element of the allowance for five years or more at one duty station, payment of the non-removal element will be discontinued, unless there

* Personnel Manual index No. 3339 A.

** Expiration date of the present information circular: 1 July 1998.

3339/A

are exceptional circumstances that could justify continuation of payment for an additional period within the limits set by resolution 51/216.

3. Staff rule 103.22 will be amended to conform to General Assembly resolution 51/216. Administrative instruction ST/AI/363, entitled "Mobility and hardship allowance" and addenda 1 and 2 thereto will be replaced in due course by a new administrative issuance pursuant to Secretary-General's bulletin ST/SGB/1997/1.



Secretariat

3380

ST/IC/1997/3
7 January 1997

INFORMATION CIRCULAR

To: Members of the staff

From: Assistant Secretary-General for Human Resources Management

Subject: DEPENDENCY ALLOWANCES FOR STAFF IN THE
PROFESSIONAL AND HIGHER CATEGORIES AND
IN THE FIELD SERVICE CATEGORY*

1. On the basis of the recommendation presented by the International Civil Service Commission (ICSC) in its twenty-second annual report,¹ the General Assembly, by its resolution 50/216 of 18 December 1996, approved increases in the children's allowance and in the secondary dependants' allowance of staff members in the Professional and higher categories, with effect from 1 January 1997, from their current levels of \$1,400 and \$500 per annum to \$1,510 and \$540 per annum, respectively.
2. The General Assembly also approved the recommendation of ICSC to provide for increases of the same proportions in those duty stations where the amounts of these allowances are currently established in local currencies. A list of these countries and the related local currency amounts of the children's allowance and the secondary dependants' allowance applicable from 1 January 1997 is contained in the annex to the present circular.
3. In keeping with past practice, the revised amounts will also be applicable as of 1 January 1997 in respect of eligible children of staff members in the Field Service category.

Notes

¹ Official Records of the General Assembly, Fifty-first Session, Supplement No. 30 (A/51/30), paras. 198 and 200.

* Personnel Manual index No. 3380.

3380

ANNEX

Amounts of children's and secondary dependants' allowances
in designated countries

(Local currency)

(Rates effective 1 January 1997)

Country	Currency	Children's allowance per year	Secondary dependants' allowance per year
Austria	Schilling	24 656	9 108
Belgium	Belgian franc	61 247	19 588
Denmark	Danish krone	11 512	3 328
France	French franc	8 849	2 936
French Guiana	French franc	8 849	2 353
Germany	Deutsche mark	3 540	1 270
Ireland	Irish pound	999	327
Japan	Yen	347 907	158 050
Luxembourg	Luxembourg franc	61 247	19 555
Monaco	French franc	8 849	2 936
Netherlands	Netherlands guilder	3 902	1 329
Switzerland	Swiss franc	2 935	1 308
United States of America and the rest of the world	United States dollar	1 510	540



Secretariat

ST/IC/1997/3/Corr.1
21 January 1997

INFORMATION CIRCULAR

To: Members of the staff

From: Assistant Secretary-General for Human Resources Management

Subject: DEPENDENCY ALLOWANCES FOR STAFF IN THE PROFESSIONAL AND
HIGHER CATEGORIES AND IN THE FIELD SERVICE CATEGORY*

Corrigendum

Paragraph 1, line 3

For resolution 50/216 read resolution 51/216

* Personnel Manual index No. 3381.





Secretariat

4031

ST/AI/1997/1
20 August 1997

ADMINISTRATIVE INSTRUCTION

CONDITIONS UNDER WHICH STAFF MEMBERS MAY TAKE
NATIONAL COMPETITIVE RECRUITMENT EXAMINATIONS*

The Under-Secretary-General for Administration and Management, pursuant to section 4.2 of Secretary-General's bulletin ST/SGB/1997/1 and for the purpose of implementing staff regulations 4.1 and 4.4, and to define the conditions under which staff members may take national competitive recruitment examinations, promulgates the following:

Section 1

Examinations opened to staff members

National competitive recruitment examinations leading to the recruitment of staff at the P-1/P-2 and P-3 levels are opened to staff members under conditions set out below.

Section 2

Eligibility

2.1 A staff member serving in the General Service and related categories may apply to take a national competitive recruitment examination as defined in section 1, provided he or she:

(a) Is recognized by the United Nations as a national of one of the countries for which an examination at the appropriate level and occupational group is administered in a particular year and submits passport or other proof of citizenship;

(b) Meets the minimum entrance criteria set out in section 3;

* Personnel Manual index No. 4031.

4031

(c) Has a satisfactory record of performance;

(d) Holds a United Nations appointment valid at least until the end of the month when the written examination is scheduled to take place.

2.2 Staff members shall provide relevant documents, if necessary, as evidence in support of their meeting the eligibility requirements listed in section 2.1.

Section 3

Minimum entrance criteria

3.1 The minimum entrance criteria at the P-1/P-2 level for eligible staff members are as follows:

(a) A first-level university degree directly relevant to one of the occupational groups for which the examination is administered to the nationals of their country of origin;

(b) Fluency in English or French.

3.2 The minimum entrance criteria at the P-3 level for eligible staff members are as follows:

(a) An advanced university degree directly relevant to one of the occupational groups for which the examination is administered to the nationals of their country of origin;

(b) Four years of professional experience in a field directly relevant to one of the occupational groups for which the examination is administered to the nationals of their country of origin;

(c) Fluency in English or French.

Section 4

Applications

Staff members who wish to submit an application shall complete the appropriate application form and submit it with all required documentation to the Examinations and Tests Section by the deadline indicated in the information circular which shall inform them well in advance of upcoming examinations.

4031

Section 5

Review of applications by the Central Recruitment Examination Board

5.1 Every application shall be subject to review by the Central Recruitment Examination Board to determine whether it meets the conditions set out in this instruction.

5.2 When more than 50 applications from nationals of a given country are received for a particular occupational group, the Board shall review all applications with a view to limiting admission to the examination to the most qualified candidates. For that purpose, the Board shall review the qualifications which exceed the minimum entrance criteria listed in section 3. These additional qualifications include, but are not limited to, advanced university degrees, diplomas or certificates, knowledge of additional official languages of the United Nations (Arabic, Chinese, Russian and Spanish), a broader spectrum of work experience, and any publications.

5.3 Candidates admitted to participate in the examination shall be informed upon review and acceptance of the application.

Section 6

Appointment in the Professional category

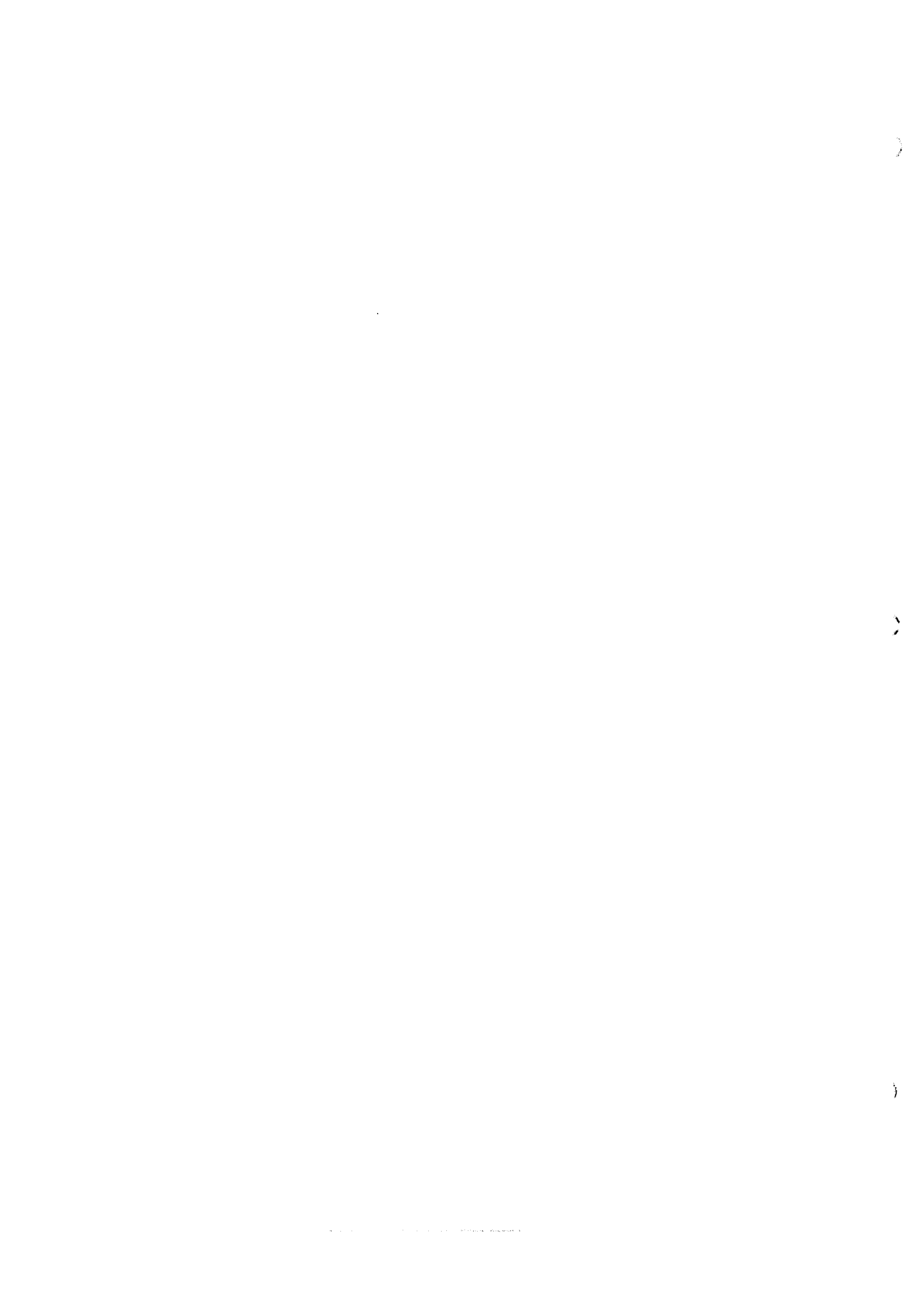
Candidates, including staff members, who successfully complete the written and oral examinations and the interview shall be placed on a reserve list of qualified candidates. Candidates may then be selected, normally within one year according to General Assembly guidelines, depending on the needs of the United Nations and the availability of posts.

Section 7

Final provision

The present instruction shall enter into force on 19 August 1997.

(Signed) Joseph E. Connor
Under-Secretary-General
for Administration and Management





Secretariat

4102

ST/SGB/266/Amend.1
14 March 1997

SECRETARY-GENERAL'S BULLETIN

To: Members of the staff

Subject: SENIOR REVIEW GROUP FOR THE FILLING OF POSTS AT
THE DIRECTOR (D-2) AND HIGHER LEVELS*

1. Effective immediately, the composition of the Senior Review Group will be as follows:

Chairperson: Mr. Yasushi Akashi

Members: Mr. Joseph E. Connor
Mr. Nitin Desai
Mr. Jin Yongjian
Ms. Angela E. V. King

Secretary: Mr. Denis J. Halliday

2. Secretary-General's bulletin ST/SGB/266 is accordingly amended.

(Signed) Kofi A. ANNAN
Secretary-General

* Personnel Manual index No. 4102.





Secretariat

4121

ST/IC/1997/57
10 September 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: MEMBERSHIP OF THE 1996/1997 FIELD SERVICE
PROMOTION REVIEW PANEL**

1. The Secretary-General, in consultation with, and after consideration of a list of names proposed by the Field Service Staff Union, has appointed the following staff members to serve as members and alternate members of the 1996/1997 Field Service Promotion Review Panel.
2. The term of membership for the Field Service Promotion Review Panel will normally be for a period of one year from the date of the publication of the relevant information circular, but will not end before the recourse review for the 1996 and 1997 promotions has been held.
3. The composition of the Panel was established taking into account the need for a balanced geographical, departmental and gender representation. Also, in accordance with the recommendation of the Staff-Management Coordinating Committee at its fourteenth session, which was approved by the Secretary-General, a certain number of members from the former Panel remain as members of the new Panel for purposes of continuity.

Members

Mr. Dmitri DOVGOPOLY

Office for Central Support Services
Department of Administration and Management

* Expiration date of the present information circular: 31 December 1998.

** Personnel Manual index No. 4121.

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Ms. Hazelien FEATHERSTONE	Office for Programme Planning, Budget and Accounts Department of Administration and Management
Ms. Karin Ann GERLACH	Division for Sustainable Development Department of Economic and Social Affairs
Mr. Gianfranco LONGO***	United Nations Observer Mission in Angola
Mr. Udomsin SRIBOONLERT***	United Nations Interim Force in Lebanon
Mr. Andrew WATT***	United Nations Truce Supervision Organization

The representative of the Office of Human Resources Management serves as ex officio member.

Alternate members

Mr. Francis CLANCY***	United Nations Force in Cyprus
Ms. Leona FORMAN	Promotion and Public Services Division Department of Public Information
Mr. Cecil GREGOIRE***	United Nations Iraq-Kuwait Observation Mission
Mr. Kevin KENNEDY	Promotion and Public Services Division Department of Public Information
Mr. Michael McNALLY***	United Nations Office of the Humanitarian Coordinator for Iraq
Mr. Emmanuel Goued NJAYICK	Office of Special Coordinator for Africa and Least Developed Countries Department of Economic and Social Affairs

3. Mr. John Ericson will serve as Secretary of the Field Service Promotion Review Panel.

*** Members nominated by the Field Service Staff Union.



Secretariat

4125

ST/AI/1997/7
20 November 1997

ADMINISTRATIVE INSTRUCTION

RECRUITMENT PROCEDURES FOR PROFESSIONAL STAFF*

Pursuant to staff regulation 4.1 and section 4.2 of Secretary-General's bulletin ST/SGB/1997/1, the Under-Secretary-General for Management promulgates the following to implement the provisions of General Assembly resolution 51/226 of 3 April 1997 dealing with recruitment and to clarify a number of related issues:

Section 1

Scope

The present instruction shall apply to recruitment of staff in situations where:

- (a) The recruitment is for a post financed by the regular budget or for an extrabudgetary post authorized for one year or longer; and
- (b) The post is in the Professional category or above; and
- (c) The resulting appointment will be for a probationary period or a fixed-term under the 100 series of the Staff Rules.

Section 2

General principles

2.1 Pursuant to article 101, paragraph 3, of the Charter of the United Nations and staff regulation 4.2, the paramount consideration in the recruitment of all staff shall be the necessity of securing the highest standards of efficiency, competence and integrity.

* Personnel Manual index No. 4125.

4125

2.2 Subject to the above provision, recruitment for posts in the Professional category and above shall respect the requirements of equitable geographical distribution, as set out in section 5 of the present instruction, and the need to provide equal opportunity for men and women to participate in any capacity and under conditions of equality in the work of the Secretariat, by implementing the special measures for the achievement of gender equality set out in administrative instruction ST/AI/412 of 5 January 1996 or any subsequent administrative issuance on the same subject.

Section 3

Vacancies

3.1 A "vacant" post is defined as a post approved for one year or longer, which is not blocked for an incumbent, as would be the case for mission replacement, leave without pay, secondment, short-term assignment or temporary loan. In case of lateral transfer within the department or office, the vacant post for which a vacancy announcement is required under section 3.3 shall be the post that is no longer encumbered after such transfer.

3.2 Heads of department or office shall inform the Office of Human Resources Management of every foreseen vacancy six months before the post becomes vacant, and of all other vacancies as soon as they occur.

3.3 A vacancy announcement shall be issued for all vacant posts at the P-3 level and above. The only exceptions shall be for appointments at the under-secretary-general and assistant secretary-general levels, appointments as special envoys of the Secretary-General at all levels and appointments to posts in the Executive Office of the Secretary-General.

3.4 A vacancy announcement may be issued for posts at the P-2 level to facilitate movement of staff on P-2 posts from one department or office to another.

Section 4

Recruitment at the P-1/2 and P-3 levels

4.1 Recruitment at the P-1 and P-2 levels shall be made exclusively through competitive recruitment examinations, and in accordance with the provisions of staff rule 104.15.

4.2 Appointments at the P-3 level shall normally be made through competitive examinations, as follows:

(a) An internal vacancy announcement shall be issued to ensure that all qualified candidates at the P-2 level have the opportunity to be considered for promotion, and that candidates at the P-3 level who have been appointed for one year or longer or for a probationary period in accordance with staff rule 104.14 or 104.15 have the opportunity to be considered for lateral transfer;

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4125

(b) If no suitable internal candidate is identified, candidates successful in a competitive recruitment examination at the P-3 level in the relevant occupational group shall be reviewed and selected as appropriate;

(c) An external vacancy announcement shall be circulated only when there is no suitably qualified candidate among those having successfully passed a P-3 examination.

4.3 On recruitment, new staff members having successfully passed a competitive recruitment examination shall receive a probationary appointment. They shall be considered for permanent appointment after having completed the period of probationary service, in accordance with staff rule 104.13 (a).

Section 5

Equitable geographical distribution

5.1 Recruitment for a Professional post leading to an appointment of one year or longer that is not limited to service with a particular mission, office, fund or programme shall be subject to the system of desirable ranges set out in General Assembly resolution 42/220 A of 21 December 1987, as reaffirmed by the Assembly in its resolution 51/226, except for language services posts and posts financed by the support account for peacekeeping operations.

5.2 The appointment of candidates recruited through a national competitive recruitment examination shall not be restricted to service with a particular mission, office, fund or programme. However, candidates recruited through a competitive language examination shall serve a minimum of five years on a language post before being eligible to apply for another Professional post in the Secretariat.

5.3 In recruiting staff at the Professional level for posts that are outside the scope of application of the desirable range system, due regard shall nevertheless be paid to the importance of recruiting the staff on as wide a geographical basis as possible.

5.4 Subject to the provisions of section 5.5, staff members whose appointment is limited to service with a particular mission, office, fund or programme and who have been recruited outside the desirable range system may only apply for posts subject to that system that have been the object of an external vacancy announcement.

5.5 Staff members who have served in peacekeeping and other field missions for a continuous period of at least 12 months and women staff members who meet the conditions set out in paragraph 7 of administrative instruction ST/AI/412 shall be eligible to apply for Professional posts that have been circulated internally, provided they hold a current appointment at the time they submit their application. Staff members found eligible to apply under this provision may be appointed to the advertised post provided they satisfy the applicable requirements of equitable geographical distribution and gender equality, and the established recruitment criteria, including university qualifications and professional experience.

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4125

Section 6

Limitations on temporary appointments of less than one year

6.1 No recruitment for a temporary appointment for a fixed-term of less than one year under the 100 series of the Staff Rules shall be made against regular posts or extrabudgetary posts authorized for one year or longer unless the Executive Officer or Chief of Administration at offices away from Headquarters certifies in writing that the appointment is required to meet a temporary need of less than one year's duration, such as replacement of staff on field mission assignment, secondment or special leave without pay, which cannot be met by temporary reassignment, preferably from within the department or office concerned.

6.2 Staff members recruited on temporary appointments for a fixed-term of less than one year under the 100 series of the Staff Rules in accordance with section 6.1, including mission replacement staff, shall receive a letter of appointment bearing a special condition specifying that their appointment is limited to meeting a temporary need, and is subject to termination, with appropriate notice, in the event the temporary need ceases to exist prior to the expiration date indicated in the letter of appointment.

6.3 Temporary staff members recruited in accordance with the provisions of this section may serve for a maximum period of 11 months only. However, the appointment of mission replacement staff may be renewed to cover a maximum period of three years without reference to the appointment and promotion bodies when such persons replace staff members on mission detail whose absence is subject to renewal of the mandate of the mission.

6.4 Temporary staff members placed against regular budget posts or extrabudgetary posts of one year or longer may not apply for, or be reappointed to, their current post within six months of the end of their current service.

Section 7

Limitations on recruitment of certain types of personnel

Interns, consultants, individual contractors and personnel provided to the Organization on a non-reimbursable basis, including gratis personnel, shall not be eligible to apply for, or be appointed to, any post in the Secretariat for a period of six months following the end of their service.

Section 8

Transitional measures

The limitations set out in section 6 shall not apply in the following cases:

(a) When the recruitment process was in progress and a staff member on an appointment of less than one year had been recommended on or before 3 April 1997

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4125

by the head of the department or office concerned, or, in the absence of such a recommendation, by a departmental panel under established procedures;

(b) Staff members who, on 3 April 1997, served on an appointment of less than one year against a post authorized under the support account for peacekeeping operations, or a post authorized for the International Tribunals for Yugoslavia and Rwanda, provided the department or office concerned has submitted to the Office of Human Resources Management a request for a vacancy announcement for the post, with all supporting documentation, on or before 15 December 1997.

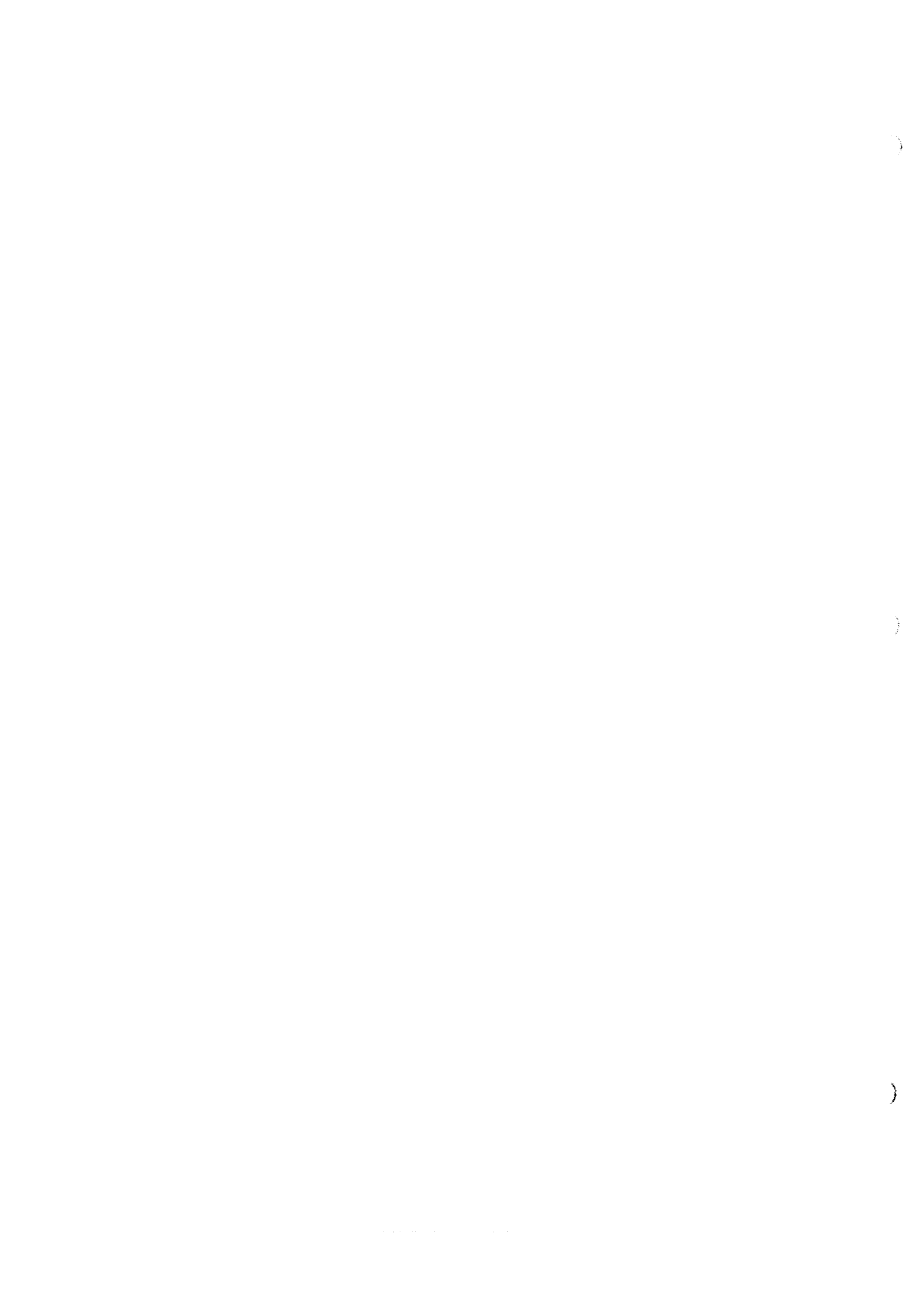
Section 9

Final provisions

9.1 The present administrative instruction shall enter into force on 20 November 1997.

9.2 Personnel directive PD/1/1993 of 30 March 1993 on replacement of staff in the Professional and higher categories assigned to special missions, and information circular ST/IC/1997/12 of 5 February 1997, which informed staff of the interim decision on human resources management issues taken by the General Assembly on 18 December 1996, are hereby abolished.

(Signed) Joseph E. CONNOR
Under-Secretary-General
for Management





Secretariat

ST/AI/418
30 April 1997

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: COMPETITIVE EXAMINATION FOR PROMOTION TO THE
PROFESSIONAL CATEGORY OF STAFF MEMBERS FROM
OTHER CATEGORIES*

1. The present administrative instruction, which governs the competitive examinations scheduled to be held between 26 and 30 January 1998 (written component) and in May/June 1998 (oral component), supersedes administrative instructions ST/AI/417 and Add.1 of 26 August and 17 October 1996, respectively. It is issued pursuant to Secretary-General's bulletin ST/SGB/173 of 29 August 1979 and takes into consideration the reports of the Central Examination Board (CEB) on the previous examinations and the recommendations made by the Staff/Management Coordination Committee as a result of its review of the procedures governing the competitive examination, and approved by the Secretary-General.

2. The purpose of the present instruction is to set out policies and procedures governing the selection of occupational groups for which the examination will be held, the selection of posts at the P-2 level subject to geographical distribution to be filled by promotion through the examination, the eligibility requirements for staff members wishing to sit for the examination, the organization of the examination and the selection and promotion of successful candidates. The selection of staff to fill Professional posts with special language requirements, such as posts of translators and editors, will continue to be made through separate competitive examinations.

* Personnel Manual index No. 4361.



Selection of posts

3. The Office of Human Resources Management, taking into account information provided by departments and offices at all duty stations, has established projections of the P-2 posts subject to geographical distribution that will be or are expected to become available in the 12 months preceding placement. On the basis of these projections, CEB has made an initial identification of the occupational groups for which the examination is to be held, namely:

Administration

Electronic Data Processing

Finance

Political Affairs

Statistics

4. The written portion of all examinations will be held between 26 and 30 January 1998.

5. The total number of posts to be selected for this purpose will be approximately 30 per cent of the number of P-2 posts subject to geographical distribution that became available during the previous calendar year. However, in view of the possible budgeting constraints during the biennium 1998-1999, the number of P-2 posts available could be less than the number of posts identified for promotions in previous years' examinations. The remaining P-2 posts will be filled through the recruitment of external candidates or the reassignment of staff members already in the Professional category.

6. Prior to the oral examination, candidates convoked for that part of the examination will receive from the Office of Human Resources Management a list, approved by CEB, of all the posts available in the relevant occupational group and will be requested to indicate in order of preference those posts for which they wish to be considered. In addition to the list of posts, candidates will also receive a description of the functions for those posts. It should be noted that an expression of preference by a candidate for a particular post at a given duty station indicates the staff member's readiness to serve in that post at the duty station where it is located, if successful in the examination. The oral examination will not be held before the list of posts is available for distribution to the candidates concerned.

Applications

7. Staff members are invited to apply for one of the occupational groups in which the examination is to be held. However, in certain cases as defined in paragraph 9, some candidates may be eligible to apply for two of the occupational groups in which the examination is to be held. An application form is annexed to the present instruction.

4361

Eligibility requirements

8. The competitive examination is open to all staff members in the General Service and related categories, including the Field Service category up to and including the FS-5 level, provided that they have a minimum of five years' continuous service in the Secretariat, have a satisfactory record of performance (the most recent performance evaluation report must also be submitted with the application), have a contract valid until at least 30 June 1998 and meet the requirements set out below. National professional officers who are recruited locally to perform functions at the Professional level are not considered eligible to take this examination since they are not in the General Service or related category. It should be noted that short breaks in service may be allowed at the discretion of CEB.

9. For those staff members who have served a minimum of five years of continuous service in the Secretariat by 31 December 1997 the following shall apply: they must hold at least a first-level university degree equivalent to a bachelor's degree, proof of which must be furnished with the application form. The university degree should be broadly related to the occupational group in which the candidate has applied. However, as indicated in paragraph 7, staff members who have a degree or degrees broadly related to two occupational groups may apply to take the examinations in each of these two occupational groups. CEB will determine the eligibility of all applicants in consultation with the Office of Human Resources Management.

10. In order to protect the acquired rights of long-serving staff, it has been decided that for those staff members who had served AT LEAST FIVE YEARS by 31 December 1989, the following requirements shall apply: they must submit with their application acceptable evidence of post-secondary academic qualifications. CEB will determine the eligibility of all applicants in consultation with the Office of Human Resources Management.

11. For those staff members who have sat for previous competitive examinations, the following shall also apply, in addition to the requirements stipulated in either paragraph 9 or 10 above:

(a) They must have achieved a mark of at least 30 per cent in the overall written portion of the previous examination in the occupational group(s) for which they are now applying;

(b) In cases where the staff member did not obtain 30 per cent, the staff member should submit to CEB tangible proof in detail of their preparations for the new examination (e.g., transcripts of university-level courses, material used, field work). Failure to submit such evidence will result in the staff member's ineligibility to sit for the examination.

12. Staff members who had previously served continuously for at least five years with the United Nations Secretariat, had resigned and, by 31 December 1997, would have served continuously for at least three years since their reappointment will also be considered eligible, provided that they meet the other requirements.

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4361

13. Staff members who have been found ineligible by CEB to sit for the examination will be informed of the reason for that decision. Staff members who have cause to believe that they have been unfairly excluded from participating in the examination may appeal to CEB for review. Such appeals must be received by CEB at Headquarters within 10 working days of the receipt of notification of rejection. In order to meet this deadline, candidates serving at offices away from Headquarters must submit their appeal to the Chairperson of CEB by telegram or fax (212) 963-3683.

Format and substance of the examination

14. The examination will be conducted in such a way as to take into account the cultural and linguistic diversity of the United Nations and will consist of both a written and an oral examination:

(a) Written examination (80 per cent of the marks). The written examination consists of two parts: part I, general examination; and part II, specialized examination. The general examination consists of section 1, analytical capacity; section 2, capacity to draft and to summarize; and section 3, international affairs. The general examination is a core examination which is common to all occupations. The specialized examinations test knowledge of the occupations;

(b) Oral part (20 per cent of the marks). The oral examination is designed to evaluate the following: the candidates' ability to communicate and convey their views in a clear, understandable and concise way; initiative; adaptability; negotiating skills and potential for leadership with respect to the relevance of these performance indicators to the functions concerned. Accordingly, cases, topics and questions used in the oral examination will be of a general nature, broadly related to the occupational group.

15. As a matter of principle, all the examination papers will follow a similar format. A standardized format will also be followed in the oral examination.

16. The written examination for a given occupational group will be administered simultaneously at all duty stations. It will be scheduled so as to permit candidates who have applied and have been accepted for more than one occupational group to complete the required papers. Eligible candidates will be informed in writing of the exact date, time and location of the written examination. The use of non-programmable calculators is permitted in all parts of the examination. Staff members who have to sit for the examination outside established working hours will be granted compensatory time off.

Composition and responsibility of the Central Examination Board

17. CEB is composed of five members appointed by the Secretary-General: a chairperson selected from among staff serving at Headquarters, with the concurrence of the representatives of the staff; two members nominated by the representatives of the staff, one of whom will be from a duty station away from Headquarters; and two members nominated by the Assistant Secretary-General for Human Resources Management, one of whom will be from a third duty station. The membership of CEB for the seventeenth round of the examination will remain in

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office until the Board is reconstituted for the eighteenth round of the examination. CEB will have a non-voting ex officio member representing the Assistant Secretary-General for Human Resources Management.

18. CEB has the following responsibilities:

- (a) To oversee the procedures and arrangements for the examination;
- (b) To screen all applications and determine the eligibility of candidates to sit for the examination;
- (c) To review appeals and complaints of candidates regarding the examination process;
- (d) To select and approve, on the basis of a list of projections provided by the Office of Human Resources Management, the posts to be filled through the competitive examinations;
- (e) To review and decide upon recommendations made by the specialized boards, especially on arrangements for the marking of papers; recommendations on which candidates are to be convoked to the oral examination, based on results of the written examination; recommendations on the attainment of the minimum professional standards required for promotion and recommendations for the promotion of successful candidates;
- (f) To establish the final ranking of candidates and then, taking into account the expressions of preference by the candidates, to assign the posts to the successful candidates;
- (g) To make recommendations to the Secretary-General regarding procedures for and possible improvements in future examinations;
- (h) To recommend, pursuant to paragraph 3 above, which occupational groups will be selected for the next examination.

Composition and responsibility of the specialized boards

19. A specialized board of examiners will be set up for each occupational group selected for the examination. An additional board of examiners will be set up to mark the general examination paper. Specialized boards will normally be composed of staff members of the Secretariat; however, staff members of the specialized agencies or outside experts may also be employed in agreement between representatives of the Secretary-General and representatives of the staff.

20. Each specialized board of examiners will be appointed by the Secretary-General and will consist of a chairperson elected by the members of the specialized board, at least two members nominated by the Assistant Secretary-General for Human Resources Management and an equal number of members nominated by the representatives of the staff. Each specialized board will have a non-voting ex officio member representing the Assistant Secretary-General for Human Resources Management.

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4361

21. Under the overall responsibility of CEB, the specialized boards will:

- (a) Mark the written examination;
- (b) Report to CEB the results of the written examination, which will consist of the consolidated mark of the general paper and the specialized papers;
- (c) Make recommendations to CEB regarding the minimum professional standard required;
- (d) Recommend to CEB the number of candidates (who are not identified by name) to be convoked to the oral examination for each occupational group, based on the results of the written examination;
- (e) Conduct the oral examination;
- (f) Recommend to CEB the final ranking of candidates (who are not identified by name) in order of merit by occupational group, based on the total of the combined results of the written and oral examinations.

Responsibility of the Examinations and Tests Section

22. In accordance with Secretary-General's bulletin ST/SGB/Organization, section P (II), the Examinations and Tests Section has administrative responsibility for conducting the examinations.

23. Based on the recommendations of the Staff/Management Coordination Committee, as approved by the Secretary-General, and in close cooperation with CEB, the Examinations and Tests Section is responsible for:

- (a) Ensuring the preparation and validity of examination materials;
- (b) Ensuring the confidentiality of all materials and providing for security at all stages of the examination process;
- (c) Coordinating with designated Secretariat staff the preparation of materials at different stages of the examination;
- (d) Arranging for the issuance of an information circular and of sample examination papers;
- (e) Making arrangements for simultaneous worldwide conduct of the examinations;
- (f) Convoking all candidates to the written and oral examination, after consultation with CEB;
- (g) Ensuring the objectivity of examination procedures at all stages of the examination, working in close cooperation with CEB and the specialized boards;

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4361

(h) Providing ex officio members for CEB, each specialized board and for the general paper as representatives of the Assistant Secretary-General for Human Resources Management;

(i) Working directly with consultants and at the same time ensuring maximum security;

(j) Arranging for the production and printing of all materials under maximum security conditions;

(k) Arranging for the dispatch of materials to, and storage at, examination locations, under maximum security conditions;

(l) Providing support and assistance to the examination at all stages.

Languages of the examination

24. In accordance with General Assembly resolution 37/235 D of 21 December 1982, candidates participating in the examination shall be permitted to take the examination in any of the working languages of the regional commissions, with due regard to the requisite proficiency in one of the working languages of the Secretariat. In order to demonstrate such proficiency, all candidates will have to take section 2 of the general paper in either English or French. Alternatively, candidates may elect to take the whole written examination in a working language of a regional commission other than English or French and to sit for a special language test in either English or French. Normally, the oral examination must be taken in either English or French. However, candidates may also opt to take the portion of the oral examination dealing with the ability to communicate in one of the official languages of the regional commissions other than in English or French. Additional information on the format of the written examination as well as lists of topics that may be helpful in preparing for the examination will be included in a separate information circular and will, to the extent possible, be made available in all the languages of the regional commissions. Sample questions are available at all duty stations.

Marking of the examination

25. The specialized board of examiners for each occupational group will organize the marking of the examination papers, which will remain anonymous. Each specialized board will then submit to CEB a list of the candidates (who are not identified by name) in ranking order, with its recommendation on the number of candidates to be convoked to the oral examination on the basis of the results of the written examination. The number of candidates convoked for the oral part of the examination will normally be three times the number of posts available in that occupational group, it being understood that more or fewer candidates may be convoked if CEB considers it to be warranted. The oral examinations will be graded separately by each member of the specialized board of examiners interviewing the candidates, without taking into account the grading of the written examination.

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4361

26. The candidates for each occupational group will be ranked on the basis of their combined scores in the written and oral parts of the examination. Bearing in mind the provision of Secretary-General's bulletin ST/SGB/173 that the competitive examination procedure is to "provide eligible staff members with an opportunity to compete for selected posts for which they qualify" and taking into account the level of difficulty of the examination as a whole, the specialized boards will make recommendations as to the level above which the candidates will be considered to be qualified to perform at the Junior Professional level. The final ranking of the candidates by occupational groups will be established by CEB on the basis of these recommendations. The recommendation concerning the qualification of candidates to perform at the Junior Professional level and the final ranking will be carried out with full respect for anonymity.

Allocation of posts and promotion

27. Successful candidates will be promoted against the posts selected for the examination. The Office of Human Resources Management, in cooperation with CEB, will be responsible for the assignment of successful candidates to posts in the occupational groups in which they have succeeded after taking into account, in order of priority, the ranking of the candidates in the examinations and the stated preferences of the candidates. In the event that within an occupational group there is an unused post (or posts) because there were insufficient candidates meeting the requirements to perform at the Junior Professional level, the unused quota would be allocated to the occupational group that has the largest number of unplaced successful candidates, up to the limit of available posts in that occupational group. Should there be two or more occupational groups with the same number of successful unplaced candidates, the unused quota would then be allocated to that occupational group with the smallest number of candidates who have been placed.

28. CEB will make the final recommendations to the Secretary-General with regard to the assignment of successful candidates. When approved by the Secretary-General, the recommendations of CEB will be implemented.

29. Successful candidates will normally be expected to serve at least three years in their new post. Candidates who do not wish to be assigned to the post or posts available to them relinquish ipso facto their claim to promotion under the competitive examination and consequently the next ranked unplaced candidate who has been certified as having met the minimum professional standard for promotion will be offered the post after confirmation by CEB. If a candidate who is promoted separates from the Organization within six months of the implementation of the promotion, the next ranked unplaced candidate who has been certified as having met the minimum professional standard for promotion will be offered the post after confirmation by CEB. In the event that no candidate is available in the relevant occupational group, the unused quota should be allocated to the occupational group that has the largest number of unplaced successful candidates, up to the limit of available posts in that occupational group. Should there be two or more occupational groups with the same number of successful unplaced candidates, the unused quota would then be allocated to that occupational group with the smallest number of candidates who have been placed.

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4361

30. After the approval of the Secretary-General of the recommendations of CEB, no additional posts will be considered for placement of candidates from that year's examination.

31. All successful candidates in the competitive examination for promotion to the Professional category of staff members from other categories will be recommended for promotion to the P-2 level. The salary step at the P-2 level will be determined on the basis of staff rule 103.9 on salary policy in promotions. At duty stations where a General Service staff member's remuneration, when computed for promotion purposes under that rule, exceeds the ceiling step of P-2, the staff member will be paid a personal transitional allowance in an amount sufficient to meet the requirements of that rule. As a result of the post adjustment system, a loss in net compensation may be experienced for staff who change duty stations.

32. The names of the successful candidates placed will appear in the information circular on appointments, promotions and other staff changes, which is issued on a regular basis. The effective date of promotion of the successful candidates will be the first day of the month in which they assume the functions of the post for which they have been selected.

Informing candidates of results

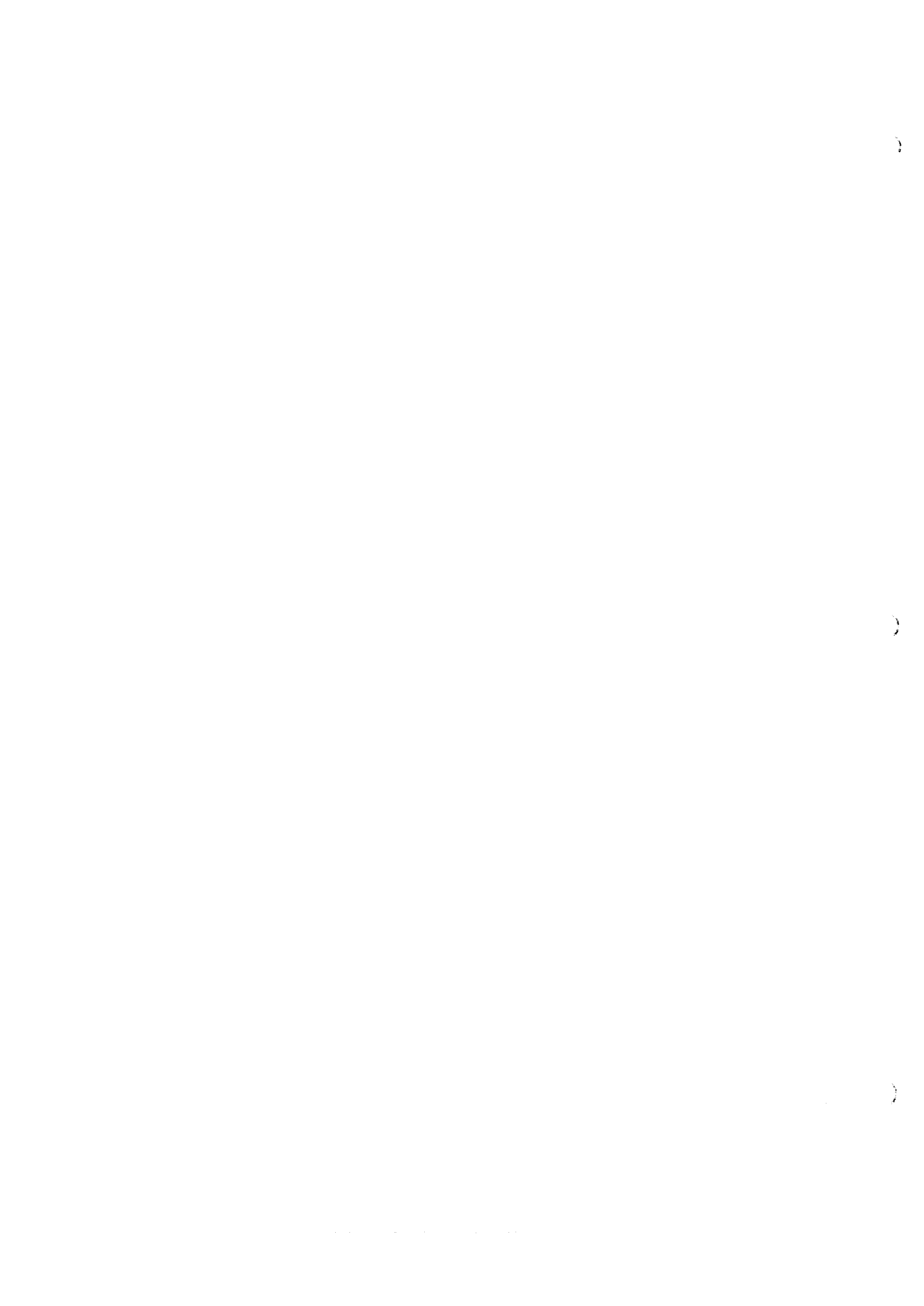
33. The Examinations and Tests Section will, upon completion of the examination, communicate in writing to all candidates their ranking achieved in each section of the written examination as well as whether or not they achieved a mark of 30 per cent or higher in the overall written part of the examination. Those candidates who have taken the oral examination will also be given their ranking in that part of the examination.

General

34. Staff members who have complaints with respect to the procedures and arrangements for the examination should contact CEB within 10 working days of the event which gave rise to the complaint.

35. The Office of Human Resources Management will provide a secretariat to service the boards.

36. In the light of experience with the examinations, the procedures will be reviewed and modified as necessary.



4361

Annex

APPLICATION FOR THE COMPETITIVE EXAMINATION FOR PROMOTION TO THE PROFESSIONAL CATEGORY OF STAFF MEMBERS FROM OTHER CATEGORIES

(United Nations Secretariat staff members only)

All correspondence with candidates will be conducted on the basis of the information given. IT IS THE RESPONSIBILITY OF THE CANDIDATES TO INFORM THE SECRETARY OF CEB OF ANY CHANGES IN THE INFORMATION INDICATED IN THE APPLICATION FORM.

N.B. The deadline for receipt of applications by CEB (United Nations Headquarters) is 30 June 1997.

SECTION I. PERSONAL DATA

Please type or print legibly.

Last name (family name):

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

First name:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Date of birth: Day

--	--

 Month

--	--

 Year

--	--	--	--	--	--

Sex: F M Index No.

--	--	--	--	--	--	--	--	--	--

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Nationality:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Category:

--	--

 Present level:

--	--

Date of entry in United Nations Secretariat: Day

--	--

 Month

--	--

 Year

--	--	--	--	--	--

Type of appointment: Fixed term Probationary Permanent

Expiration or review date: Day

--	--

 Month

--	--

 Year

--	--	--	--	--	--

Main language:

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(Mother tongue)

4361

Please check below the occupational group (or groups, where applicable) for which you wish to take the examination.

- ADMINISTRATION EDP FINANCE
 POLITICAL AFFAIRS STATISTICS

Date of latest performance evaluation report (PER/PAS): Day Month Year b/

Please submit a copy of your latest performance evaluation report with your application.

Duty station: _____

Organizational unit: c/ _____

Department/Office: _____
(write in full)

Room No.: _____ Telephone No.: _____

Home telephone No.: _____ (Because of time differences at duty stations away from Headquarters, candidates are requested to indicate their home telephone number in order to facilitate communications of an urgent nature.)

1. Have you applied to take previous G-to-P examination(s)? Yes No
 2. Were you convoked to sit for previous G-to-P examinations? No
 If 1980 1982 1983 1984 1985 1986 1987 1988
 yes, 1989 1990 1991 1992 1993 1994 1995/96 1997
 WHEN?

WHAT OCCUPATIONAL GROUP(S)?

If yes, did you actually take the examination? No
 Yes, 1980 1982 1983 1984 1985 1986 1987 1988
 in: 1989 1990 1991 1992 1993 1994 1995/96 1997

a/ Usually appears on your monthly salary statement or grounds pass; if not, please contact your Personnel Officer to obtain your number.

b/ Must be within the normal reporting period of three years.

c/ Please select from this list: Headquarters, ECA, ECE, UNDRO, HR, UNOG, UNCTAD, UNOV, UNIC, ESCAP, ECLAC, ESCWA, UNTSO, UNMOGIP, UNIFIL, UNCHS or other (specify).

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4361

SECTION II. EDUCATION

List your qualifications at the secondary and post-secondary levels, indicating the certificate, diploma or degree received. ALL CANDIDATES, INCLUDING THOSE WHO HAVE APPLIED FOR OR TAKEN A PREVIOUS G-TO-P EXAMINATION, MUST FORWARD A COPY OF THEIR UNIVERSITY DEGREE OR DIPLOMA, INCLUDING, WHEN AVAILABLE, A COPY OF AN UP-TO-DATE UNIVERSITY TRANSCRIPT.

Written proof of post-secondary education MUST BE ATTACHED to this application. (Send photocopies, do not send any originals.) FAILURE TO PROVIDE PROOF WILL MEAN THAT THE APPLICATION WILL BE DISREGARDED.

CERTIFICATE, DIPLOMA OR DEGREE Exact title in original language. For work towards a degree, please list number of credits	INSTITUTION NAME PLACE COUNTRY	PERIOD OF STUDY		DESCRIPTION OF COURSES OR MAIN FIELD OF STUDY
		Month	Year	
Secondary studies		From:	19	
		To:	19	
Post-secondary studies		From:	19	
		To:	19	
		From:	19	
		To:	19	
		From:	19	
		To:	19	
		From:	19	
		To:	19	

If you need more space, attach additional pages.

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4361

SECTION III. LANGUAGES

If you have successfully passed a United Nations language proficiency examination (LPE), please indicate the year you obtained the certificate. If you did not pass the LPE, indicate your level of ability below, using the following code letters: A = fluently, B = quite easily, C = not easily.

If you are or have been enrolled in any language courses, please indicate the institution and the highest level completed or the diploma obtained.

Language	LPE year	Read	Understand	Speak	Write	Institution and diploma (period(s) of study)

/...

SECTION IV. OCCUPATION(S) FOR WHICH YOU ARE APPLYING

Name _____

Office _____

Room No. _____

Duty station _____

Country _____

Sex: F M

Index No.: _____

Please check below the occupational group(s) for which you wish to take the examination. You may apply for no more than two occupational groups.

- ADMINISTRATION EDP FINANCE
- POLITICAL AFFAIRS STATISTICS

Indicate the language in which you wish to take the examination:

- (a) Written part, general paper, sections 1 and 3
- (b) Written part, general paper, section 2
- (c) Written part, specialized paper
- (d) If you plan to take the portion of the oral examination dealing with ability to communicate in a working language of one of the regional commissions other than in English or French, please indicate the language

(Write language in full for each part of the examination in appropriate boxes.)

If you plan to write section 2 in a working language of a regional commission, other than in English or French, please indicate in which of the working languages of the Secretariat you wish to take the special language test.

- English French

Main language (Mother tongue)

Highest educational level:

- High school Post-secondary BA MA Other (Ph.D., etc.)

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4361

SECTION V. CERTIFICATION OF ACCURACY OF INFORMATION PROVIDED

Fully completed applications, together with proof of post-secondary education and of language ability (if you did not pass LPE or are not enrolled in a United Nations course), must be received by CEB NO LATER THAN 30 June 1997 in a sealed envelope marked CONFIDENTIAL, addressed to:

CENTRAL EXAMINATION BOARD SECRETARIAT
Office of Human Resources Management - Room S-2590A
United Nations Secretariat
New York, N.Y. 10017, USA
Fax: (212) 963-3683

For duty stations outside New York, please fax whenever possible. Where fax machine is not available, please use the United Nations pouch.

IMPORTANT: APPLICATIONS THAT ARE INCOMPLETE OR DO NOT INCLUDE ESSENTIAL INFORMATION MAY BE REJECTED.

I certify that the above information is correct to the best of my knowledge and I understand that any misrepresentation would lead to my elimination from the examination and to possible disciplinary action. I further understand that it is my responsibility to report immediately any changes in the above information to the Central Examination Board.

Date: _____ Signature: _____

List enclosures: _____

MOST RECENT PERFORMANCE EVALUATION REPORT

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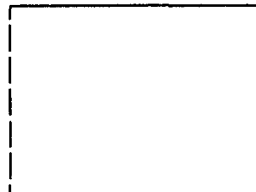
4361

COMPETITIVE EXAMINATION FOR PROMOTION TO THE PROFESSIONAL
CATEGORY OF STAFF MEMBERS FROM OTHER CATEGORIES

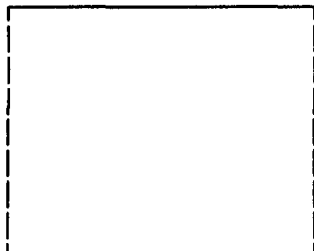
The information below will be used as your mailing label; please print or write legibly. YOU ARE RESPONSIBLE FOR IMMEDIATELY REPORTING TO THE SECRETARY OF CEB ANY SUBSEQUENT CHANGES IN DUTY STATION, EITHER PRIOR TO OR DURING THE EXAMINATION PROCESS.

CEB STAMP

Name _____
Office _____
Room No. _____
Duty station _____
Country _____



This portion will be returned to you as an acknowledgement of receipt of your application.







Secretariat

4362

ST/IC/1997/81
8 December 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: COMPETITIVE EXAMINATION FOR PROMOTION TO THE
PROFESSIONAL CATEGORY OF STAFF MEMBERS FROM
OTHER CATEGORIES**

1. In accordance with paragraph 17 of administrative instruction ST/AI/418 of 30 April 1997, and after consultations with the Staff Committee, the Secretary-General has appointed the following staff members to serve on the Central Examination Board for the competitive examination for promotion to the Professional category of staff members from other categories:

Chairperson: Ms. Monique Corvington***

Members: Ms. Gail Bindley-Taylor Sainte****
Ms. Robin Ludwig
Mr. Francis Clancy****
Mr. Chandra Patel

2. Mr. Pierre Pélanne will serve as ex officio member of the Board.
Ms. Catherine Rolland will serve as Secretary of the Board.

* Expiration date of the present information circular: 31 December 1998.

** Personnel Manual index No. 4362.

*** Nominated after consultation with the staff.

**** Nominated by the staff.

97-35705 (E) 101297





Secretariat

4477

ST/IC/1997/49
14 August 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: UNITED NATIONS SABBATICAL LEAVE PROGRAMME FOR
THE YEAR 1998**

1. The purpose of the present information circular is to inform staff that a sabbatical leave programme will again be offered in 1998.

Objectives of the programme

2. The objectives of the programme are:

(a) To provide an opportunity for staff members to bring added value to their contribution to the Organization and to enhance their professional growth through the pursuit of studies/research projects on issues related to the work of the United Nations;

(b) To enhance dialogue and build contacts between the United Nations and other organizations and institutions engaged in related work worldwide, as well as to expose United Nations staff members to the "state-of-the-art" research and practices on issues on the international agenda.

Conditions

3. Pending the issuance of an administrative instruction on this subject, the terms and conditions of the award of a sabbatical leave will be the same as those set out in information circular ST/IC/1996/41 of 11 July 1996. Of particular importance are the following features:

* Expiration date of the present information circular: 31 December 1998.

** Personnel Manual index No. 4477.



4477

(a) The programme is open to United Nations staff members with at least five years of service with the Organization and who are expected to serve for no less than five years after the completion of the sabbatical leave;

(b) Interested staff members are responsible for identifying the institution or organization in which they propose to carry out their studies, and for securing their acceptance by that institution or organization for the purpose of carrying out the proposed studies at a specified time, which should be during the year for which the sabbatical leave was approved;

(c) In addition to universities and independent institutions worldwide, including participating research and training centres of the United Nations University (UNU), and institutions that are members of the Academic Council on the United Nations System, study projects may also be pursued in other relevant organizations and institutions. Staff members may wish to consult the list of institutions that are members of the Academic Council on the United Nations System in annex II, and the list of participating research and training centres of UNU in annex III;

(d) The sabbatical leave will normally be approved for a period of no more than four months, during which the staff member will be asked to take annual leave for the first month and will subsequently be placed on special leave with full pay, subject to the agreement of the head of the department or office concerned.

Application procedures

4. Applicants are requested to complete the application form in annex I to the present circular and to submit it, through their respective heads of office/department, together with a proposal describing the study that they wish to pursue, to the Staff Development and Learning Service, Office of Human Resources Management, by 31 October 1997.

5. The proposal, which should not exceed four pages, should contain the following information:

(a) Title of the study;

(b) Field of the study;

(c) Rationale for the study;

(d) Relationship of the study to the work of the individual and to the work of the Organization;

(e) Outline of topic(s) to be covered;

(f) Study/research activities and methods to be applied;

(g) Schedule of work of the study, with an indication of any preparatory work already accomplished;

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4477

(h) Usefulness of the expected outcome of the study and its practical implications for the individual and the Organization;

(i) Type of contribution the participant could provide to the institution or organization in which he or she is placed;

(j) Endorsement by the head of office/department responsible for the work of the applicant during the proposed study.

Applicants should indicate in the application form the name and address of the institution or organization in which they wish to carry out their study project, specifying the type of support services and facilities that the institution or organization is prepared to provide during the period of the sabbatical leave.

Review of proposals

6. All proposals will be evaluated on the basis of the following criteria:

(a) Importance of the study. The proposed study should address an issue of importance in the field under consideration and should hold potential interest for the institution or organization in which the study is carried out and for the United Nations. It should be relevant and have practical applications to the current and future work of the United Nations, and to the current or future responsibilities of the applicant;

(b) Feasibility of the proposed study. The staff member should propose a project that can be undertaken and completed within the stipulated period of the sabbatical leave;

(c) Appropriateness of the planned methodology;

(d) Quality of the proposal. The staff member should demonstrate, in his/her proposal, an awareness of the latest developments in the area of study;

(e) Suitability of the candidate, including demonstrated ability to perform independent work. The assessment will be made on the basis of:

(i) The staff member's qualifications and/or experience;

(ii) Information received from references to be provided by the applicant (see annex I, sect. B.III);

(f) Potential contribution by the staff member to the institution or organization;

(g) Expected usefulness of the completed study to the United Nations.

Selection process

7. A selection committee consisting of representatives of staff and management of the United Nations, and representatives of UNU and of the academic community will review the submitted proposals for final selection.

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4477

8. Heads of offices/departments will be consulted by the Office of Human Resources Management to confirm the release of selected staff members. The selected staff member will then be informed and requested to accept in writing the specified conditions of the award.

Follow-up

9. In order to assess the impact of the sabbatical leave programme, participants are expected, at the end of their sabbatical leave, to present to the head of the office/department concerned and to the Assistant Secretary-General for Human Resources Management a report on the study undertaken.

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Annex I

SABBATICAL LEAVE PROGRAMME

APPLICATION FORM

For the year 1998

Please complete this form and submit it to the Staff Development and Learning Service, Office of Human Resources Management, together with your study proposal, by: 31 October 1997.

A. PERSONAL INFORMATION

NAME _____ INDEX NO. _____

FUNCTIONAL TITLE/FIELD OF WORK: _____
(Attach job description)CATEGORY/LEVEL _____ TYPE OF CONTRACT _____
(If fixed-term, expiration date)

DEPARTMENT/DIVISION/OFFICE _____

DUTY STATION _____

EOD (UNITED NATIONS) _____ EOD (PRESENT DUTY STATION) _____

TITLE OF PROPOSED STUDY PROJECT _____

B. BACKGROUND

I. RELEVANT WORK EXPERIENCE. Please indicate any professional experience that enhances your ability to carry out your proposed project/study.

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II. UNIVERSITY STUDIES

Degree	University/country	Area of study	Year graduated

III. RECOMMENDATIONS: Please arrange to have two letters of recommendation sent directly to the Staff Development and Learning Service, Office of Human Resources Management, by 31 October 1997. These recommendations should be provided by professionals, within or outside the United Nations, who are familiar with your work and are in a position to appraise your ability to carry out the project you have proposed and to attest to your ability to undertake independent work. In the space provided, give the names of the professionals who will be sending the letters of recommendation on your behalf.

IV. If relevant, please indicate below your teaching/research experience, including a list of your publications, if any (attach an additional sheet if necessary).

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4477

C. PLACEMENT

I. Please indicate the name and address of the institution or organization in which you wish to carry out your project. Please attach copies of any preparatory correspondence relevant to the proposed study.

II. Which of the following services/facilities, if any, is this institution willing to provide to you during the period of your sabbatical leave (circle as applicable):

- (a) Adviser
- (b) Office space
- (c) Communication facilities (fax, telephone, computer)
- (d) Other: _____

N.B. Please keep in mind that, if selected, you are responsible for finalizing arrangements made thus far and for carrying out any related administrative work.

Signature of staff member

Date

Reminder: The endorsement of the head of your department or office must be attached.

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4477

Annex II

INSTITUTIONAL MEMBERS OF THE ACADEMIC COUNCIL ON THE
UNITED NATIONS SYSTEM

American Society of International Law
American University, Center for the Global South
Arias Foundation for Peace and Reconciliation
Bishop's University, Department of Political Studies, Quebec
Brown University, Thomas J. Watson Jr. Institute of International Studies
City University of New York, Ralph Bunche Institute on the United Nations
Columbia University, School of International and Public Affairs
Dalhousie University, Centre for Foreign Policy Studies
Dartmouth College, Dickey Center for International Understanding
Defence Forces Library, The Military College - Curragh Camp, Ireland
George Washington University, Elliot School of International Affairs
Institute of World Economy and International Relations, Moscow
Institute of Social Studies, The Hague
International Cooperation Research Association, Tokyo
International Peace Academy
International Labour Organization, International Institute for Labour Studies
International Labour Organization, International Training Centre
Kyung Hee University, The Graduate Institute of Peace Studies
Monterey Institute of International Studies
Netherlands Institute of International Relations, Clingendael
New York University School of Law, Center for International Studies
New York University, Center on International Cooperation
Norwegian Institute of International Affairs
Norwegian Refugee Council
Nova Southeastern University
Ohio State University, The Mershon Center
Princeton University, Center of International Studies
Save the Children, U.S.
Syracuse University, Global Affairs Institute
The Stanley Foundation
Tufts University, Fletcher School of Law and Diplomacy

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4477

United Nations Research Institute for Social Development (UNRISD)
United Nations University (UNU)
United States Institute of Peace
University of Geneva, Graduate Institute of International Studies
University of Lund, Department of Political Science
University of Notre Dame, Joan B. Kroc Institute for International Peace Studies
University of Puerto Rico, College of Social Science
University of South Carolina, Institute of International Relations
University of Southern California, Law School
University of Ulster, Initiative on Conflict Resolution and Ethnicity (INCORE)
World Vision International
Yale University, Program in United Nations Studies

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4477

Annex III

UNITED NATIONS UNIVERSITY PARTICIPATING CENTRES

Under its Charter adopted by the General Assembly in 1973, the United Nations University (UNU) is a voluntarily funded autonomous organ of the General Assembly that engages in research, postgraduate training and the dissemination of knowledge on pressing global problems of human survival, development and welfare that are the concern of the United Nations and its agencies. UNU is organized on a networking principle. The University headquarters in Tokyo, through its Academic Division, coordinates a number of programmes and project networks. UNU research and training centres conduct in-house research and training and coordinate research and training involving institutions in many countries.

The location of specific UNU research and training activities and the respective fields of study where staff members on sabbatical leave might consider pursuing study projects at UNU include:

1. At UNU Headquarters, Academic Division, in Tokyo:

Peace and governance
Sustainable development

2. At the UNU Institute of Advanced Studies (UNU/IAS) in Tokyo:

Eco-restructuring for sustainable development
Mega-cities and urban development
Multilateralism and governance

3. At the UNU World Institute for Development Economics Research (UNU/WIDER) in Helsinki

Economics of transition
Liberalization and development in sub-Saharan Africa
Institutional and distributive issues
International finance and economic issues
Global governance

4. At the UNU Institute for New Technologies (UNU/INTECH) in Maastricht, the Netherlands:

Socio-economic implications of new technologies



Secretariat

4480

ST/AI/1997/4
30 September 1997

ADMINISTRATIVE INSTRUCTION*

UPGRADING OF SUBSTANTIVE AND TECHNICAL SKILLS

Pursuant to section 4 of Secretary-General's bulletin ST/SGB/1997/1, the Under-Secretary-General for Management promulgates the following rules to implement the programme for upgrading the substantive and technical skills of staff members:

Section 1

Objectives and contents of the programme

1.1 The programme for upgrading substantive and technical skills aims to provide departments and offices throughout the Secretariat with a means to ensure that they can carry out their substantive work and adjust to new mandates and responsibilities by maintaining and developing the skills of their staff within the allocated resources. The programme provides staff with opportunities for professional growth and development.

1.2 Staff development activities that may take place under this programme include specialized training, research, seminars, refresher courses, professional conferences and workshops. Where the skills and knowledge required can best be acquired through hands-on experience, on-the-job training assignments may also be included. Activities may be carried out in-house or externally, under the conditions set out in section 3.

Section 2

Delegation of authority

* Personnel Manual index No. 4480.



4480

2. Responsibility for managing the resources allocated to each department or office under the provisions of the present instruction is hereby delegated to the heads of departments and offices concerned.

Section 3

Annual training plans

3.1 Preparation. Each department or office shall determine its training needs and set priorities for achieving its strategic goals and developing its human resources. Individual training requirements shall be identified during work-planning and performance management discussions in the context of the performance appraisal system or in individual discussions of training requirements with supervisors, which staff members are encouraged to initiate. On that basis, the department or office shall prepare an annual training plan that aims to provide training opportunities for all categories of staff and to achieve a reasonable gender balance. Departments and offices may wish to consult Staff Development Services, Office of Human Resources Management, or the training service at duty stations away from Headquarters on the formulation of the plan. The plan shall be prepared in consultation with staff as provided for by Secretary-General's bulletin ST/SGB/274 of 28 September 1994.

3.2 Submission, review and approval. Departments and offices shall submit their annual training plans at the end of each calendar year to Staff Development Services for review and approval. All plans shall be reviewed to determine whether they are consistent with the objectives and contents of the programme set out in section 1, and with the guidelines for preparing the plans specified in subsection 3.1. When the various plans reveal common needs, centrally organized training programmes may be proposed to maximize use of resources. Centrally organized programmes are offered in the areas of supervision, management, administration, information technology and language and communications skills. Proposals for external training shall be approved in cases where no equivalent training is available within the Secretariat or other agencies of the common system to which Secretariat staff have access, or where it would not be cost-effective to organize in-house training.

Section 4

Funding and administration of the annual training plan

4.1 After review and approval of the training plans, Staff Development Services shall allocate funds to each department and office at the beginning of each calendar year, keeping in mind the need for an equitable distribution of available resources among all departments and offices as well as their effectiveness in carrying out the previous year's plan. Allocated funds may be used for payment of consultants to deliver in-house training courses and for tuition fees, travel expenses, per diem or academic stipends, as applicable, in the case of external individual training.

4.2 Each department or office shall be responsible for the execution of its training plan. It shall inform its staff of the approved plan and shall be responsible for the administration of the use of the funds allocated, including

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4480

the approval of individual training requests, which shall be considered in accordance with section 6.

4.3 If necessary, the department or office may adjust the plan as originally approved, provided the adjustments are within the limits of allocated funds and are reported in the annual report required in section 5.

Section 5

Monitoring and evaluation of the execution of the annual training plan

5.1 Staff Development Services shall monitor the manner in which each annual training plan is executed. For that purpose, each department or office shall submit at the end of each calendar year an expenditure report on the use of the allocated funds and a report setting forth the training undertaken by its staff during the year, together with an assessment of the impact of the training on the work of the department and of the individuals involved. The two reports may be consolidated into one.

5.2 The reports shall be reviewed and evaluated by Staff Development Services. Effectiveness in carrying out the approved annual training plan and making optimal use of the allocated funds shall be a major factor in determining allocation of funds for this programme in subsequent years.

Section 6

Conditions for participation of staff members in the programme

6.1 Eligibility. Staff members at all levels holding a United Nations letter of appointment under the 100 or 200 series of the Staff Rules are eligible to participate in the programme. To be granted financial assistance for external training, there should be an expectation of continued service for at least one year after completion of the proposed training activity.

6.2 Individual requests for training. Individual requests for training shall be submitted, through the immediate supervisor, to the relevant department or office, which is responsible for approval of such requests. Requests consistent with the annual training plan may be approved within the limits of available resources. In the case of requests both for individuals to pursue training outside the Organization and for groups of staff to be trained in-house under this programme, the department or office shall take into account the following factors in deciding whether the request should be approved:

(a) The relationship of the studies to the staff member's functions and development and/or organizational needs;

(b) The suitability of the staff member for the proposed studies;

(c) The quality of the programme and the sponsoring institution;

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4480

(d) The possibility that the training will have a multiplier effect (that is, for the beneficiary of the training to impart the knowledge gained to other staff members).

6.3 Leave arrangements. Staff members participating in external training activities may be placed on special leave with or without pay, in accordance with staff rules 105.2 (a) (i) and 205.3 (a) (i). They may also use accrued annual leave for all or part of the period of study. The head of department at Headquarters or the chief of administration at offices away from Headquarters may approve special leave with pay for the purposes of the programme for a period of up to 20 working days or a longer period, in accordance with the applicable delegation of authority. Requests for special leave with pay in excess of the period that may be approved at the department or office level shall be submitted to the Operational Services Division, Office of Human Resources Management.

Section 7

Final provision

7.1 The present instruction shall enter into force on 1 October 1997.

7.2 Administrative instruction ST/AI/281/Rev.1 of 9 April 1990 on the External Studies Programme is hereby superseded and abolished.

(Signed) Joseph E. CONNOR
Under-Secretary-General
for Management



Secretariat

6035

ST/IC/1997/82
9 December 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: MENTAL HEALTH - MEDICAL AND EMPLOYEE ASSISTANCE
FACILITIES**

I. INTRODUCTION

1. Mental health has been defined as not simply the absence of detectable mental disease but a state of well-being in which the individual realizes his or her own abilities, can work productively and fruitfully and is able to contribute to his or her community.¹ Mental health issues are increasingly recognized throughout the world, including in large organizations that share and reflect the characteristics of society at large. This is also the case for the United Nations where staff, whether at Headquarters or in the field, often serve in duty stations far removed from their countries of origin and familiar cultural or family settings. Adjustment to living in a different host country and working with multiple cultures and languages is not always easy. Some assignments and missions involve extensive travel, and at times presence in crisis situations and danger spots.

2. There are many types of mental health conditions or diseases, which vary greatly from individual to individual in degree of severity and in the manner in which they manifest themselves. When one or more of these conditions occur, health professionals and professionals participating in employee assistance programmes agree on the benefits of early detection, acknowledgment of the situation and action so that individuals may recover their ability to engage in normal activities as soon as and whenever possible.

* Expiration date of the present information circular: 31 December 1999.

** Personnel Manual index No. 6035.



6035

3. There are a number of resources available to assist staff members in dealing with these and other related situations. They are described in section III below. Section IV sets out a summary of the rights and entitlements available to staff members whose health is impaired.

II. PURPOSE OF THE CIRCULAR

4. The main purpose of the present circular is to remind staff that the policy of the United Nations is to treat all staff members equally, whatever the reasons that may affect their health, and to engender a more open, supportive and effective approach to mental health. This is even more the case during times of change and the consequential uncertainty that normally follows. Staff members are reminded that, along with their obligations to work to the best of their ability, they have the opportunity and the responsibility to seek assistance when they are unable to work for any health-related reason.

5. In this connection, all staff are encouraged to use to the fullest extent the existing medical and employee assistance services described in section III below. They apply to situations involving mental health issues, as well as any other situation involving health concerns. Supervisors and staff members are reminded that many mental health conditions can be successfully treated by qualified professionals by appropriate means, including medications and therapy. It should always be remembered that, if successfully treated, a mental health condition does not constitute lack of fitness to work.

6. Given the nature of mental health conditions, it is not always possible for the individual concerned to recognize his/her need for assistance or treatment. Thus, if a supervisor or colleague, including a staff representative, notices a sudden change in behaviour, attitude or performance, he/she may draw the attention of their human resources officer or the Medical Service or the Staff Counsellor to the situation, as appears appropriate under the circumstances.

III. MEDICAL AND EMPLOYEE ASSISTANCE FACILITIES

Medical facilities

7. The United Nations Medical Director oversees the medical services offered by the Organization at Headquarters and the regional commissions, as well as 50 dispensaries throughout the world. The system offers services to maintain and improve the health of staff, including examinations and referrals to medical professionals trained to diagnose and treat physical and mental illness.

8. The medical records of a staff member are completely confidential. They are kept in the Medical Service, and are not released to the Administration or any other party without the consent of the staff member. In order to help ensure confidentiality, the medical clearances required for initial appointment, change of duty station or detail to mission service do not contain any information that would indicate that a staff member has or previously had a mental health condition or any other medical condition, and are designed only to indicate fitness to work in a certain occupation and/or at a given duty station or mission. However, when a claim is made under Appendix D to the Staff Rules

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6035

for death, injury or illness incurred in the service of the United Nations, or for a disability benefit under the Regulations and Rules of the United Nations Joint Staff Pension Fund, information of a medical nature, such as diagnosis and degree of seriousness of the condition, will be communicated to the bodies competent to consider the claims.

9. For staff and supervisors wishing to educate themselves on issues of mental health, the Headquarters Medical Service Library has available various reading materials concerning such issues as depression, anxiety and panic disorder.

Staff Counsellor and other employee assistance facilities

10. The Organization provides a Staff Counsellor in New York. The Staff Counsellor's Office, located on the fifth floor of the Secretariat building, is available for individual consultations for support and assistance on many mental health issues. Issues are addressed as quickly as possible and, if required, referrals are made to appropriate sources of assistance, in-house or in the staff member's local community. All dealings with the Staff Counsellor and his staff, including consultations, are strictly confidential. Any action on behalf of a staff member is undertaken only with his or her consent. Consultations yield closed-door advice outside the administrative process. Nothing is communicated by the Counsellor elsewhere in the Organization, unless it is specifically requested by the staff member.

11. Similar functions are carried out at a number of other duty stations by staff members specifically designated for that purpose. Staff members are encouraged to enquire from the local personnel service or section about the existence and location of such facilities at any particular duty station or mission, and to take full advantage of all existing facilities.

IV. SUMMARY OF BENEFITS AND ENTITLEMENTS AVAILABLE TO STAFF MEMBERS WHOSE HEALTH IS IMPAIRED

Health insurance

12. Insurance coverage for mental health treatment is governed by specified terms and conditions under each health insurance plan offered to staff members by the United Nations. Details regarding coverage are set out in the related information circulars.² Additional information regarding coverage and benefits under the Headquarters health insurance plans may be obtained from the Insurance, Claims and Compensation Section. Enquiries regarding coverage and benefits under the "Geneva" plans should be directed to the Insurance Unit, Financial Resources Management Service, Division of Administration, at the United Nations Office at Geneva and, for staff at the United Nations Office at Vienna, should be directed to the Staff Welfare Office of the United Nations Industrial Development Organization. Coverage and benefits information under the Van Breda and the Medical Insurance Plan schemes should in the first instance be addressed to the Chief of Administration at the local duty station.

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6035

Sick leave provisions for physical or mental health conditions available to qualifying staff members

13. Sick leave is determined by the type of appointment that a staff member holds at the time of the leave. The maximum leave permitted for each type of appointment is set out below.

(a) 100 series. A staff member holding a fixed-term appointment of less than one year under the 100 series of the Staff Rules may be granted sick leave credit at the rate of two working days per month of contractual service. A staff member holding a probationary appointment or a fixed-term appointment of one year or longer but less than three years may be granted sick leave up to 3 months on full salary and 3 months on half salary in any period of 12 consecutive months. A staff member who holds a permanent or indefinite appointment, who holds a fixed-term appointment for three years or who has completed three years of continuous service may be granted sick leave up to nine months on full salary and nine months on half salary in any period of four consecutive years;

(b) 200 series. Project personnel in short-term status may be granted sick leave on full salary at the rate of two days per month of service. Project personnel in intermediate-term status may be granted sick leave up to 3 months on full salary and up to 3 months on half salary in any period of 12 consecutive months, provided that the amount of sick leave permitted in any four consecutive years shall not exceed 18 months, 9 months on full salary and 9 months on half salary. Project personnel in long-term status may be granted sick leave up to nine months on full salary and nine months on half salary in any period of four consecutive years;

(c) 300 series. For staff on appointments of limited duration and short-term appointments under the 300 series of the Staff Rules, sick leave may be granted at the rate of two working days for each full month of continuous service.

14. Staff members may be granted sick leave for a period of more than three consecutive working days only upon producing a certificate from a duly qualified medical practitioner.

15. For further information, staff at Headquarters may visit the Medical Service Sick Leave Inquiry Desk on the fifth floor of the Secretariat building, or consult directly with their Executive Office.

Disability benefit under the United Nations Joint Staff Pension Fund

16. A staff member becomes a participant in the United Nations Joint Staff Pension Fund upon commencing an appointment for six months or longer, or upon accepting such an appointment while in employment, or upon completing six months of service without an interruption of more than 30 days. A participant will receive a disability benefit if found to be incapacitated for further service in a position reasonably compatible with his or her abilities, when the disability is a result of injury or illness constituting an impairment to health likely to be permanent or of long duration. In order to award a disability benefit, the United Nations Joint Staff Pension Committee must be satisfied that there is

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6035

sufficient medical evidence to establish that the illness or injury qualifies the staff member for the benefit. For further information, staff members should consult their human resources officer.

Medical evacuations

17. Subject to the applicable rules and procedures, which require a medical report documenting the need for evacuation, medical evacuation may be arranged for international staff in the field (including those governed by the 200 and 300 series of the Staff Rules), and exceptionally for locally recruited staff.

Notes

¹ Robert Desjarlais, Leon Eisenberg, Byron Good and Arthur Kleinman, World Mental Health (New York, Oxford University Press, Inc., 1995), p. 7.

² Information circular ST/IC/1997/32, entitled "Renewal of the Headquarters medical and dental insurance plans effective 1 July 1997, and annual enrolment campaign, 2-6 June 1997", information circular ST/IC/1996/78, entitled "Van Breda medical, hospital and dental insurance" (for staff at offices away from Headquarters), and administrative instruction ST/AI/343, entitled "Medical insurance plan for locally recruited staff at designated duty stations away from Headquarters".

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UNITED
NATIONS

Secretariat

6170

ST/IC/1997/32
28 May 1997

INFORMATION CIRCULAR

To: Members of the staff at Headquarters

From: The Controller

Subject: RENEWAL OF THE HEADQUARTERS MEDICAL AND DENTAL
INSURANCE PLANS EFFECTIVE 1 JULY 1997, AND
ANNUAL ENROLMENT CAMPAIGN, 2-6 JUNE 1997*General

1. The purpose of the present circular, which supersedes information circular ST/IC/1996/33, dated 24 May 1996, is to announce:

[a] Changes in the premium and contribution rates which will come into effect on 1 July 1997 (see p. 2);

[b] The introduction, with effect from 1 July 1997, of the Aetna "Open Choice" plan. This plan is an expansion of the current traditional Aetna indemnity plan, combining the full benefits of the current Aetna plan along with the advantages of a network of preferred providers, and has been outlined in information circular ST/IC/1997/29, dated 19 May 1997. New Aetna identification cards will be issued. Staff members enrolled in the current Aetna plan will automatically be enrolled in the new Aetna Open Choice plan unless they decide to switch to one of the other Headquarters health insurance plans during the forthcoming health insurance enrolment campaign to be held from 2 to 6 June 1997;

[c] New benefits which include reimbursement for acupuncture treatment for the relief of chronic pain under both the new Aetna and the Blue Cross BlueChoice plans. In addition, under the Aetna Open Choice plan, additional new benefits include a vision care programme, routine physical check-ups and the elimination of any age limits for mammography.

2. Annexes I to VIII to the present circular set out plan outlines and benefit summaries. These annexes are listed in paragraph 23.

* Personnel Manual index No. 6170.

HEADQUARTERS MEDICAL AND DENTAL INSURANCE
SCHEDULE OF MONTHLY PREMIUMS a/ AND CONTRIBUTION RATES b/
(Effective 1 July 1997)

Type of coverage	Aetna Open Choice	Blue Cross BlueChoice	HIP/HMO	Kaiser/HMO	GHI Dental with medical plan	GHI Dental alone
Staff member only						
Premium rate (\$)	319.34	204.34	174.66	189.82	23.14	23.14
Contribution rate (%)	2.83	1.82	1.57	1.68	0.20	0.30
Staff member and one child						
Premium rate (\$)	614.51	407.67	345.78	379.64	55.15	55.15
Contribution rate (%)	4.78	3.22	2.67	2.97	0.40	0.60
Staff member and spouse						
Premium rate (\$)	614.51	407.67	345.78	379.64	55.15	55.15
Contribution rate (%)	4.78	3.22	2.67	2.97	0.40	0.60
Staff member and two or more eligible family members						
Premium rate (\$)	775.05	591.89	509.76	512.52	115.59	115.59
Contribution rate (%)	5.37	4.13	3.57	3.52	0.79	1.19

a/ The cost of the medical/dental insurance plans at Headquarters is shared between the participants and the Organization. Staff members may determine their exact contribution by multiplying their "medical net" salary (see below) by the related percentage of salary.

b/ "Medical net" salary for insurance contribution purposes is calculated as gross salary, less staff assessment, plus language allowance, non-resident's allowance, post adjustment or the variable element of monthly subsistence allowance, as applicable. Actual contributions are capped at 85 per cent of the corresponding premium.

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6170

Annual enrolment campaign

3. The annual enrolment campaign at Headquarters will be held from 2 to 6 June 1997 at the offices of the Insurance, Claims and Compensation Section (ICCS) of the Office of Programme Planning, Budget and Accounts, room S-2765, between the hours of 10 a.m. and 5 p.m. STAFF MEMBERS AT HEADQUARTERS MUST COME IN PERSON TO THE INSURANCE, CLAIMS AND COMPENSATION SECTION OFFICE TO COMPLETE THE APPLICATION FORM AND OTHER FORMS AS NECESSARY. The staff of the Insurance, Claims and Compensation Section will be available during the designated dates and hours to provide information and answer specific questions regarding the health plans being offered to staff. In addition, representatives of the insurance companies will be on hand on 2 to 4 June, and Aetna on 5 and 6 June also, to provide information about the various insurance plans offered. The insurance company desks will be located in the staff activities area near the Secretariat cafeteria entrance.

4. Staff members are reminded that, except as provided in paragraph 12, this will be the ONLY opportunity until June 1998 to enrol in the United Nations medical and dental insurance plans. This is also an opportunity to review current medical insurance coverages within or outside the Organization and either enrol in one of the United Nations plans or apply for changes within these plans, as may be necessary or desirable. Staff members who are satisfied with their coverage do not need to take any action at this time.

5. The medical and dental plans being offered during the June campaign and the pages on which plan outlines may be found are as follows:

[a] Aetna Open Choice (p. 11);

[b] Blue Cross BlueChoice (p. 27);

[c] Health Insurance Plan of Greater New York, Health Maintenance Organization (HIP/HMO) (p. 36);

[d] Kaiser Foundation Health Plan of the Northeast, Health Maintenance Organization (Kaiser/HMO) (p. 39);

[e] Group Health Incorporated Dental Plan (GHI) (p. 42).

6. The effective date of insurance coverage for all campaign applications, whether for enrolment, change of plan or change of family coverage, will be 1 July 1997. A change in enrolment between the Aetna and Blue Cross plans will oblige the participant to meet the annual out-of-network deductible in the new plan.

Eligibility for enrolment

7. All staff members holding appointments of three months or longer (or six months or longer for dental coverage) under the 100 series of the Staff Rules whose duty station is New York and who are not enrolled in a Headquarters medical/dental insurance plan may enrol during this annual campaign. Medical insurance provisions pertaining to technical assistance project personnel are set out under Staff

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6170

Rule 206.4. Staff members holding appointments of limited duration under the 300 series of the Staff Rules, except those who receive a fixed monthly cash amount towards the cost of health insurance, are also eligible to enrol in line with the relevant provisions of administrative instruction ST/AI/395, dated 2 June 1994. Currently enrolled staff members may take the opportunity of the annual enrolment campaign to review their coverage and change from one plan to another, or change their coverage in respect of members of their family. The medical scheme applicable to staff holding appointments of less than three months under the 100 series of the Staff Rules or who hold short-term appointments under the 300 series of the Staff Rules is described in information circular ST/IC/86/44 of 15 September 1986.

8. For enrolment purposes, applicants will be required to present proof of eligibility from their respective personnel or administrative officers attesting to their current contractual status. Eligible family members may also be enrolled at this time, provided that evidence of the status (Personnel Action form) of such family members is presented to the Insurance, Claims and Compensation Section. Interested staff members should carefully review the current status of their family's enrolment, both as to the continued eligibility of their children and/or inclusion of those newly eligible or not covered at present.

9. "Eligible family members" refers to a spouse and one or more eligible children. A spouse is always eligible. A child is eligible to be covered under this scheme until the end of the calendar year in which he or she attains the age of 25, provided that he or she is not married and not engaged in full-time employment; disabled children may be eligible for continued coverage after age 25. Complete information regarding these provisions can be found in information circular ST/IC/86/72, entitled "Age limitation on the participation of dependent children in United Nations health insurance schemes".

10. Staff members, particularly those who have no coverage under a United Nations plan or through another family member, are strongly urged to obtain medical insurance coverage for themselves and their eligible family members, especially since the high cost of medical care could result in financial hardship for individuals who fall ill and/or are injured and have no such coverage.

11. In the case of a staff member married to another staff member, the insurance coverage, whether at the two-person or family level, must be carried by the higher-salaried staff member. It should also be noted that if one spouse retires from service with the Organization before the other spouse, the spouse who remains in active service must become the subscriber even if the retired spouse had been the subscriber up to the date of retirement and is eligible for after-service health insurance (ASHI) benefits following separation from service.

Enrolment between annual campaigns

12. Between annual campaigns, staff members and their family members may be allowed to enrol in the Headquarters medical and dental insurance plans ONLY if at least one of the following events occurs and application for enrolment is made within 31 days thereafter:

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[a] In respect of medical insurance coverage, upon receipt of an initial appointment of at least three months' duration at Headquarters under the 100 or 300 series of the Staff Rules or upon appointment under the 200 series of the Staff Rules;

[b] In respect of dental insurance coverage, upon receipt of an initial appointment of at least six months' duration at Headquarters under the 100 or 200 series of the Staff Rules;

[c] Upon transfer to Headquarters from another duty station;

[d] Upon return from special leave without pay, but only under the health scheme in which insured prior to taking leave (see para. 15 below);

[e] Upon assignment to a mission, under certain conditions (see para. 16 below); and/or

[f] Upon marriage, birth or legal adoption of a child for coverage of the related family member;

[g] Upon the provision of evidence that the staff member was on mission or annual or sick leave for the entire duration of the annual campaign, staff members may enrol within 31 days of their return to Headquarters.

13. In all the cases cited in paragraph 12 above, the completed application for enrolment or re-enrolment must be certified by the appropriate personnel or administrative officer and received by the Insurance, Claims and Compensation Section within 31 days of the occurrence of the event giving rise to entitlement to enrol. Applications and inquiries with regard to changes relating to such events occurring between campaigns should be directed to the Insurance Section as follows:

Insurance, Claims and Compensation Section
Office of Programme Planning, Budget and Accounts
Room S-2765
United Nations Headquarters
New York, NY 10017

14. Applications between enrolment campaigns based on any other circumstances or not received within 31 days of the event giving rise to eligibility will not be receivable by the Insurance, Claims and Compensation Section and will be returned. In this regard, it should be noted that termination of health insurance coverage under a scheme not offered by the United Nations will in no case give rise to any right on the part of a staff member or family member to immediate enrolment in a United Nations plan. If such termination occurs between annual enrolment campaigns, the staff member must wait until the next campaign to enrol in a United Nations plan. Staff members who for any reason may be uncertain about the continuity of their outside coverage are urged to consider enrolling in a United Nations scheme during the present campaign.

6170

Staff on special leave without pay

15. Staff members who are granted special leave without pay are reminded that they may retain coverage for medical and dental insurance during such periods or may elect to discontinue such coverage for the period of the special leave:

[a] Insurance coverage maintained during special leave without pay. If the staff member decides to retain coverage during the period of special leave without pay, the Insurance, Claims and Compensation Section MUST be informed directly by the staff member of his or her intention at least one month in advance of the commencement of the special leave, in person if at Headquarters, or in writing if stationed away from Headquarters. At that time, the Insurance, Claims and Compensation Section will require evidence of the approval of the special leave, together with payment covering the full amount of the cost of the coverage(s) retained (both the staff member's contribution as well as the Organization's share, since no subsidy is payable during such leave);

[b] Insurance dropped while on special leave without pay. Should a staff member decide not to retain insurance coverage(s) while on special leave without pay, no action is required upon commencement of the special leave;

[c] Re-enrolment upon return to duty following special leave without pay. Regardless of whether a staff member has decided to retain or drop insurance coverage(s) during a period of special leave without pay, it is essential that he or she re-enrol in the plan(s) with the Insurance, Claims and Compensation Section upon return to duty, in person if at Headquarters, or in writing if away from Headquarters. This must be done within 31 DAYS OF RETURN TO DUTY. Failure to do so will mean that the staff member will be unable to resume participation in the insurance plan(s) until the next annual enrolment campaign in the month of June.

Staff members assigned on mission

16. In view of the large number of staff members who go on mission assignment, a special medical/dental plan enrolment opportunity is extended to such staff members. The provisions in this respect, which will apply to all staff members going on mission for six months or more, are as follows:

[a] Staff members who at present are NOT enrolled in any United Nations health insurance plan will be allowed to enrol themselves and eligible family members. The insurance will become effective on the first day of the month in which the mission assignment commences. Enrolment in a health insurance plan in these circumstances must be completed PRIOR to the departure of the staff member on mission assignment;

[b] Staff members assigned to a mission who are enrolled in either HIP or Kaiser, two plans which do not offer full services at locations away from Headquarters, may switch to either Aetna or BlueChoice. These two plans provide benefits on a worldwide basis. Enrolment in the Aetna or BlueChoice plans under this provision must be completed PRIOR to the departure of the staff member on mission assignment;

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6170

[c] Staff members who, at the time of commencement of the mission assignment, do not have GHI Dental coverage but who are already enrolled, together with eligible family members, in Aetna or BlueChoice, may enrol themselves and family members covered under their medical insurance plan in the dental plan. Such enrolment must be completed PRIOR to the departure of the staff member on mission assignment;

[d] Staff members who elect to enrol in a health insurance plan in the circumstances provided under subparagraphs [a] to [c] above forego the right to make any further change during the annual enrolment campaign taking place in the same calendar year as the commencement of the mission assignment. The next opportunity for these staff members to make any change in their insurance coverage will be at the time of the annual enrolment campaign of the following year;

[e] Staff members who are already enrolled in Aetna or BlueChoice at the time of the mission assignment must retain their existing coverage until the next annual enrolment campaign;

[f] Staff members who will be on mission assignment for six months or more AND WHO WILL NOT HAVE ELIGIBLE COVERED FAMILY MEMBERS RESIDING IN THE UNITED STATES for the duration of the mission assignment may opt for coverage under the Van Breda Medical, Hospital and Dental Insurance plan for staff overseas. Details of this plan are available in the offices of the Insurance, Claims and Compensation Section, room S-2765;

[g] Staff members returning to Headquarters from mission assignment, other than those who qualified and opted for the Van Breda plan, may not change their insurance coverage until the next annual enrolment campaign. Staff members who switched to the Van Breda plan, as provided under subparagraph [f] above, must revert, upon return to Headquarters, to the insurance plan that they had prior to the mission assignment, at least until the next annual enrolment campaign. It is essential that such staff members advise the Insurance, Claims and Compensation Section within 31 days of their return to Headquarters. Failure to re-enrol in the prior Headquarters plan within 31 days of return to duty from mission assignment will result in suspension of health insurance coverage.

IN ALL CASES, STAFF MEMBERS GOING ON MISSION ASSIGNMENT WHO WISH TO ENROL IN A HEALTH INSURANCE PLAN OR CHANGE THEIR PRESENT COVERAGE, AS PROVIDED ABOVE, MUST PRESENT EVIDENCE TO THE INSURANCE, CLAIMS AND COMPENSATION SECTION OF THE MISSION ASSIGNMENT AND ITS DURATION.

Cessation of coverage of family members

17. The Insurance, Claims and Compensation Section should be notified immediately of changes in the staff member's family that result in a family member ceasing to be eligible, e.g., a spouse upon divorce or a child reaching the end of the calendar year in which the age of 25 years is attained, marrying or taking up full-time employment. The responsibility for initiating the resulting change in coverage (e.g. from "staff member and spouse" to "staff member only" or from "family" to "staff member and spouse") RESTS WITH THE STAFF MEMBER. Staff members who wish to discontinue coverage of a family member under a United Nations plan for any other

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6170

reason may do so at any time, although this is strongly discouraged. Such removals of family members from coverage should be communicated to the Insurance, Claims and Compensation Section directly. It is in the interest of staff members to notify the Insurance, Claims and Compensation Section promptly whenever changes in coverage occur in order to benefit from any reduction in premium contribution which may result. Any such change will be implemented on the first of the month following receipt of notification. No retroactive adjustments can be made as a result of failure to provide timely notification of any change to the Insurance, Claims and Compensation Section.

After-service health insurance

18. Staff members are reminded that, among the eligibility requirements for ASHI coverage, the ASHI applicant must be enrolled in a United Nations scheme at the time of separation from service. A minimum of 5 years of prior coverage in a United Nations or specialized agency health insurance scheme is necessary to qualify for unsubsidized ASHI participation and 10 years of prior coverage for subsidized participation. In both cases, the staff member must be 55 years of age or over as of the date of separation. It should also be noted that only family members enrolled with the ASHI staff member at the time of separation are eligible for continued coverage under the programme. After-service participants are reminded that the restriction set out in paragraph 4 above, to the effect that staff members may switch from one insurance plan to another only during the period of the annual enrolment campaign, does not apply fully to them. Full details on the eligibility requirements and administrative procedures relating to ASHI coverage are set out in administrative instruction ST/AI/394, dated 19 May 1994.

Conversion privilege

19. Participants who cease employment with the United Nations and are not eligible for after-service benefits may arrange for medical coverage under an individual contract. This provision applies to all plans currently offered. The conversion privilege, which is part of the United Nations group contracts with the respective insurance companies, means that the insurer cannot refuse to insure an applicant and that no certification of medical eligibility is required. THE CONVERSION PRIVILEGE, HOWEVER, DOES NOT MEAN THAT THE SAME INSURANCE PREMIUM RATES OR SCHEDULE OF BENEFITS IN EFFECT FOR THE UNITED NATIONS GROUP POLICY WILL BE OFFERED IN RESPECT OF INDIVIDUAL INSURANCE CONTRACTS. It should be noted, moreover, that the conversion privilege may be exercised only for separating staff who continue to reside in the United States as the insurers cannot write individual policies for persons residing abroad. In all cases, the conversion privilege must be exercised WITHIN 31 DAYS OF THE DATE OF SEPARATION. Details concerning conversion to individual policies under Aetna and Blue Cross BlueChoice may be obtained from the Insurance, Claims and Compensation Section, room S-2765. Details concerning conversion to individual policies under HIP, Kaiser and GHI Dental should be obtained from those companies directly.

Where to address claims and benefit inquiries

20. Although the staff of the Insurance, Claims and Compensation Section is available to assist staff members in administrative matters concerning participation

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in the various Headquarters insurance plans and problematic claims issues, claims questions should always be taken up in the first instance directly with the insurance company concerned. The addresses and relevant telephone numbers of the insurance companies are listed in annex VIII to the present circular.

21. Staff members are reminded that the plan descriptions set out in annexes I to V constitute summaries of the benefits available under the respective plans. Every care has been taken to ensure that the plan summaries are as comprehensive as possible. However, in the event of a claim dispute with any of the insurance carriers concerned, the resolution of such dispute will be guided by the terms and conditions of the policy contract in question and the final decision will rest with the insurance carrier concerned, not with the United Nations. The contracts with the insurance carriers are available for review by subscribers, as may be necessary, by appointment at the offices of the Insurance, Claims and Compensation Section, room S-2765.

Headquarters health insurance plans: outlines and summaries of benefits

How plans are costed

22. The United Nations policies with Aetna, Blue Cross and GHI are "experience-rated". This means that the premium cost each year of the Aetna, BlueChoice and GHI Dental plans is based on the level of claims incurred in the prior year and expected rates of utilization and medical cost inflation for the renewal period. In effect, the costs of these plans (claims incurred plus administrative expenses) are borne collectively by participants in these schemes. In a year following a period of heavy utilization, premium increases are likely to be relatively high. Conversely, if utilization in the prior year has been relatively moderate, the premium increase in the subsequent year will be correspondingly moderate. The two health maintenance organization (HMO) plans, HIP and Kaiser, are "community-rated". This means the premium costs are based on the combined experience of all employers participating in these schemes, not just the United Nations, and are approved by the relevant state insurance authorities. It should be emphasized, particularly with respect to the three experience-rated plans, that prudent utilization by all participants concerned will have the effect of moderating premium costs for the benefit of all.

Plan outlines and benefit summaries

23. Outlines of the health insurance plans offered as well as summaries of benefits of each plan are set out in the following annexes:

	<u>Page</u>
I. Aetna Open Choice	11
II. Blue Cross BlueChoice	27
III. HIP/HMO	36
IV. Kaiser/HMO	39
V. GHI Dental	42

6170

In addition, information regarding the World Access (formerly Access America) emergency facility for Aetna and BlueChoice subscribers, a listing of participating Aetna and BlueChoice pharmacies as well as a listing of insurance carrier addresses and telephone numbers are set out in the following annexes:

VI.	World Access	48
VII.	Aetna and BlueChoice, participating pharmacies	49
VIII.	Insurance carrier addresses and telephone numbers for claims and benefit inquiries	50

24. In addition to the information contained in the various annexes to the present circular, listings of participating providers of the GHI Dental plan, Blue Cross affiliated hospitals overseas and participating pharmacies under both the Blue Cross and Aetna programmes are available at the offices of the Insurance, Claims and Compensation Section, room S-2765.

6170

Annex I

AETNA "OPEN CHOICE" PLAN

Plan outline

The Aetna Open Choice health benefits plan (Aetna) offers worldwide coverage for hospitalization and surgical, medical and prescription drug expenses. Under this plan, medically necessary treatment for a covered illness or injury may be obtained at a hospital or from a physician of one's own choosing, whether an in-network or non-network provider.

Aetna Open Choice is a dual-track plan that offers all the benefits of the traditional Aetna indemnity plan plus the option of a preferred provider organization (PPO) network of physicians and other medical providers nationwide. This means that participants can choose, if they wish, to go to a doctor who is in-network and pay only \$10 per visit or treatment without any further need to file a claim with Aetna. Alternatively, participants may opt to receive treatment from any physician not in the network and be reimbursed by Aetna in the usual way, subject to the annual deductible and the normal co-insurance. A comprehensive summary of the plan, both the in-network and the non-network (traditional indemnity) benefits are set out in outline form commencing on page 13.

Under the non-network (traditional) track of the new Aetna plan, when a participant has met the annual deductible of \$125 per individual and \$375 per family and a further \$1,000 per covered individual in co-insurance (20 per cent of \$5,000 of recognized expenses), Aetna will reimburse all further claims incurred in the year, subject to the provision that they be "reasonable and customary", at 100 per cent. The deductible and co-insurance requirement must be met each calendar year. There is no lifetime reimbursement limit under the Aetna plan. When a participant is treated by a network physician, paying the fixed \$10 co-payment for each visit, it is important to note that those \$10 amounts do not count towards meeting the \$1,000 out-of-pocket expense limit referred to above. This is so because, under the in-network track of the plan, medical expenses are already considered to have been paid at 100 per cent to the network provider after the participant has met the fixed \$10 co-pay.

Aetna identification cards, provider directories and plan description book

All subscribers to the current Aetna plan will be automatically enrolled at the appropriate level of coverage in the new Aetna Open Choice plan. Unless a current Aetna subscriber wishes to take the opportunity of the enrolment campaign to switch to Blue Cross BlueChoice, HIP or Kaiser, no enrolment action is required. Of course, if a staff member currently enrolled in the Aetna plan wishes to add a dependant to his or her coverage under the new Aetna Open Choice plan after 1 July 1997, then appropriate application must be made during the enrolment campaign period.

EVERY PARTICIPANT IN THE AETNA OPEN CHOICE PLAN WILL RECEIVE A NEW IDENTIFICATION CARD (TWO COPIES). THE AETNA CARD IS VALID FOR BOTH HOSPITAL AND MEDICAL SERVICES AS WELL AS FOR THE DISCOUNT PRESCRIPTION DRUG PLAN. ARRANGEMENTS

6170

HAVE BEEN MADE BY AETNA FOR BOTH THE PROVIDER DIRECTORY AND THE AETNA OPEN CHOICE PLAN DESCRIPTION BOOK TO BE MAILED TO PARTICIPANTS AT THEIR PLACE OF RESIDENCE. ENCLOSED IN THE ENVELOPE CONTAINING THE NEW AETNA IDENTIFICATION CARD WILL BE A PRE-ADDRESSED POSTCARD TO BE COMPLETED AND RETURNED TO AETNA. ONLY BY RETURNING THE POSTCARD TO AETNA WILL OPEN CHOICE SUBSCRIBERS RECEIVE THE PROVIDER DIRECTORY AND PLAN DESCRIPTION BOOK, AS COPIES OF THE DIRECTORY AND PLAN DESCRIPTION WILL NOT BE HELD IN STOCK IN THE UNITED NATIONS.

Premium

There will be no increase in the total monthly premium of the Aetna plan (shared between the staff member and the Organization) for the renewal period commencing 1 July 1997. The premiums and related percentages of salary contribution are shown on page 2 of the present circular. The staff member's contribution, based on the relevant percentage of salary, is not shown directly on the end-of-month payroll statement. The payroll statement shows the total monthly premium for the particular level of coverage involved as a deduction from salary as well as the Organization's subsidy towards the cost of that coverage (shown as a credit). The actual out-of-pocket cost of the insurance to the staff member is the difference between the total premium and the organizational subsidy.

Benefits

While the package of benefits under the Aetna Open Choice plan is itemized in the plan summary (pp. 13-20), participants should take note of certain new benefits not previously available in the Aetna plan. Apart from the availability of the nationwide preferred provider network, benefits under the new plan include routine physical examinations, mammography benefits without any age limit or requirement of referral by a physician, coverage of acupuncture treatment by a medical doctor or licensed acupuncturist for the treatment of chronic pain conditions up to a maximum benefit of \$1,000 per calendar year, and a discounted vision care programme (known as Vision One) which can be utilized as frequently as desired. In addition, under the Aetna Open Choice plan, there is no obligation on the part of the participant to pre-certify a hospital admission with the insurer and, therefore, there are no penalties in this respect. However, the provisions relating to the Focused Psychiatric Review (FPR) programme, which has been in place for several years and remains unchanged, do require pre-certification of admission for the treatment of mental and nervous disorders or substance abuse conditions (pp. 23-24).

Aetna claims

The address to which Aetna claim forms should be sent is as follows:

Aetna Life Insurance Company
Unit 73
3541 Winchester Road
Allentown, PA 18195-0501

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Summary of benefits under the Aetna Open Choice plan and
the current traditional Aetna plan

Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Plan deductible	\$0 Individual \$0 Family	\$125 Individual \$375 Family	\$125 Individual \$375 Family
Co-insurance limit	\$1,000 Individual \$3,000 Family		\$1,000 Individual \$3,000 Family
Lifetime maximum	Unlimited	Unlimited	Unlimited
Physician services (except Mental health/Alc/Drug)			
Office visits (non-surgical)	100% after \$10 co-payment	80% after deductible	80% after deductible
Specialist (office visits)	100% after \$10 co-payment	80% after deductible	80% after deductible
Routine physicals/ immunizations Well-baby care to age 7; 1 exam every 24 months for ages 7 to 19; including immunizations	100%	100%	100%
Routine physicals/ immunizations Children age 19+ and adults: 1 routine exam every 24 months. (One routine exam annually for members age 65 and older); including immunizations.	100% after \$10 co-payment	80% after deductible	Not covered
Routine mammography (no age limit)	100%	80% after deductible; 100% if performed on an in-patient or in the outpatient department of a hospital	80% after deductible; 100% if performed on an in-patient or in the outpatient department of a hospital

3170

Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Routine ob/gyn exam (All routine exam per calendar year; including 1 pap smear and related fees)	100% after \$10 co-payment	80% after deductible	80% after deductible
Surgery	100%	80% after deductible	80% after deductible
Physician in-hospital services	100%	80% after deductible	80% after deductible
Allergy testing and treatment (given by physician)	100% after \$10 co-payment	80% after deductible	80% after deductible
Allergy injections (not given by physician)	100%	80% after deductible	80% after deductible
Other physician services	100%	80% after deductible	80% after deductible
Diagnostic X-ray and laboratory (other than physician's office)	100%	80% after deductible	80% after deductible
Hospital services			
In-patient coverage	100%	100%	100%
Outpatient coverage	100%	100%	100%
Emergency room (based on symptoms)	100%	100%	100%
	Covers sickness within 12 hours' onset; surgery, accident within 72 hours	Covers sickness within 12 hours' onset; surgery, accident within 72 hours	Covers sickness within 12 hours' onset; surgery, accident within 72 hours
Non-emergency use of the emergency room (examples of conditions: skin rash, earache, bronchitis, etc.)	80%	80% after deductible	80% after deductible

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Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Acupuncture* (for chronic pain treatments only, services must be rendered by a medical doctor or licensed acupuncturist)	100% after \$10 co-payment up to a maximum benefit of \$1,000	80% after deductible up to a maximum benefit of \$1,000	Not covered
Spinal manipulation*	100% after \$10 co-payment up to a maximum benefit of \$1,000	80% after deductible up to a maximum benefit of \$1,000	80% after deductible up to a maximum benefit of \$1,000
Mental health services** In-patient coverage	100%	100% after deductible	100% for first 30 days; additional 30 days at 80% after deductible
Outpatient coverage	Maximum 90 days per calendar year*** 100% up to maximum benefit of \$3,216 per calendar year***	Maximum 90 days per calendar year*** 80% after deductible up to maximum benefit of \$3,216 per calendar year*** \$134 per visit	Maximum 60 days per calendar year 80% after deductible up to maximum benefit of \$3,216 per calendar year \$134 per visit
Crisis intervention	100% up to 3 visits per calendar year***	80% after deductible up to 3 visits per calendar year***	80% after deductible up to 3 visits per calendar year

* Preferred and non-preferred benefits are combined for a maximum of \$1,000 per calendar year.

** See Focused Psychiatric Review (p. 20)

*** Maxima are for the calendar year whether preferred or non-preferred, or a combination of the two.

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3170

Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Alcohol/drug abuse* In-patient coverage	100%	100% after deductible	100% for first 30 days; additional 30 days at 80% after deductible
Maximum	60 days per calendar year**	60 days per calendar year**	60 days per calendar year
Lifetime maximum	2 confinements**	2 confinements**	2 confinements
Outpatient coverage	100% Up to 60 visits per calendar year** (includes 20 visits* for counselling)	80% after deductible Up to 60 visits per calendar year** (includes 20 visits** for counselling)	80% after deductible Up to 60 visits per calendar year (includes 20 visits for counselling)
Maternity (coverage includes voluntary sterilization and voluntary abortion)	100% after \$10 co-payment; 100% voluntary sterilization if performed in-patient or in the outpatient department of a hospital	80% after deductible; 100% voluntary sterilization if performed in-patient or in the outpatient department of a hospital	80% after deductible; 100% voluntary sterilization if performed in-patient or in the outpatient department of a hospital
Prescription drug	100% after 15% co-payment; up to 30-day supply at participating pharmacies; co-payment maximum \$15	80% after deductible	In-network: 100% after 15% co-payment; up to 30-day supply at participating pharmacies; co-payment maximum \$15

* See Focused Psychiatric Review (FPR) (p. 20)

** Maxima are for the calendar year whether preferred or non-preferred, or a combination of the two.

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Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
OTHER BENEFITS Skilled nursing facility	100% after \$10 co-payment; up to 90-day supply from participating Mail Order vendor; when brand name is requested, member must pay co-payment plus difference between brand and generic price unless "DAW" is written on prescription	100% up to 365 days per calendar year	100% after \$10 co-payment; up to 90-day supply from participating Mail Order vendor; when brand name is requested, member must pay co-payment plus difference between brand and generic price unless "DAW" is written on prescription Out-of-network: 80% after deductible 100% up to 365 days per calendar year
Home health care	100% 320 visits per calendar year (no prior confinement required)	100% for first 200 visits; 80% after deductible for additional 120 visits per calendar year (no prior confinement required)	If within 7 days of discharge 100% for first 200 visits; 80% after deductible for additional 120 visits per calendar year. If no prior confinement, 80% after deductible for 80 visits per calendar year

6170

Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Ambulance*		100%	100%
Private-duty nursing (restricted benefit on an in-patient basis)	100% up to 70 eight-hour shifts per calendar year	80% after deductible up to 70 eight-hour shifts per calendar year	80% after deductible up to 70 eight-hour shifts per calendar year
Hospice care In-patient and outpatient coverage		100% up to 210 days for both in-patient and outpatient services	100% up to 210 days for both in-patient and outpatient services
Bereavement counselling		100% up to 5 visits	100% up to 5 visits
Short-term rehabilitation Physical, occupational therapy	100%	80% after deductible	80% after deductible
Speech therapy		80% deductible does not apply**	
Hearing aid Hearing device*		80% deductible does not apply Maximum \$750, 1 hearing aid per ear every 3 years	80% after deductible Maximum \$750, 1 hearing aid per ear every 3 years

* There are no preferred (or in-network) providers of these services at the present time.

** When services are rendered by a participating provider, 100 per cent reimbursement applies.

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Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Evaluation and audiometric exam	100% after \$10 co-payment	Maximum \$100, 1 exam every 3 years, must be examined by otolaryngologist or state-certified audiologist	Maximum \$100, 1 exam every 3 years, must be examined by otolaryngologist or state-certified audiologist
Outpatient diabetic self-management education programmes	80% deductible does not apply*		Payable as any other covered expense
Durable medical equipment	80% deductible does not apply**		80% after deductible
Vision care Optical lenses (including contact lenses)	80% deductible does not apply; maximum \$60 for any 2 lenses in a 24-month period		80% after deductible. Maximum \$60 for any 2 lenses in a 24-month period
Vision one programme	Savings up to 65% on frames; up to 50% on lenses; about 20% on contacts at participating Cole Vision centres. Refer to separate handout for details.		None
In-patient pre-certification	Provider-initiated	Not required	None

* If services are rendered in a hospital, 100 per cent reimbursement applies with no co-payment. If rendered in an in-network doctor's office, 100 per cent reimbursement with \$10 co-payment applies.

** If services are rendered by a participating provider or within a hospital setting, 100 per cent reimbursement applies with no co-payment.

6170

Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Focused psychiatric review* Penalty for failure to pre-certify in-patient psychiatric treatment	None	\$100 penalty; applies per occurrence	\$400 penalty; applies per occurrence
Second surgical opinion	Not required, however covered at 100% after \$10 co-payment	Not required, however covered at 100% after deductible	100% after deductible
Claim submission	Provider-initiated	Member-initiated	Member-initiated

* In-patient mental health services, including alcohol/substance abuse treatment, are provided under the Focused Psychiatric Review (FPR) programme. For in-patient confinements, pre-certification is required. For in-network services, the network provider is responsible for pre-certification. For non-network services, either the physician or the staff member must pre-certify the confinement.

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New "Vision One" eyecare discount programme

Effective 1 July 1997, a new vision care discount programme will be offered by Aetna to all subscribers to the Aetna plan. The new Vision One programme is an addition to, not a substitute for, the existing optical lens benefit which will be continued as before.

The Vision One programme offers subscribers and covered family members immediate discounts on eyecare needs including frames, lenses and contact lenses. The programme is available at over 2,500 locations nationwide including the optical centres in national retail outlets such as Sears, JC Penney and Montgomery Ward and many of the Pearle Vision Centers as well as selected independent providers/offices. To obtain the discounts available under this programme, it is only necessary to show the provider the Aetna identification card at the time of the visit. The provider will apply the discounts to any purchases made and will accept valid prescriptions from any licensed optometrist or ophthalmologist. The Vision One programme may be used as often as desired. As it is simply a discount programme, claim forms are not required. For more details and outlet locations, call Vision One at (800) 793-8616, weekdays from 9:00 a.m. to 9:00 p.m. and Saturdays from 9:00 a.m. to 5:00 p.m. A schedule of costs and typical savings under the programme is set out below.

<u>Benefits</u>	<u>Vision One cost</u>	<u>Typical savings</u>
Frames		
Priced up to \$60.00 retail	\$20.00	65.0%
Priced from \$61.00 to \$80.00 retail	\$30.00	60.0%
Priced from \$81.00 to \$100.00 retail	\$40.00	60.0%
Priced from \$101.00 to \$200.00 retail	50.0%	50.0%
Lenses - per pair (uncoated plastic)		
Single vision	\$30.00	50.0%
Bifocal	\$50.00	45.0%
Trifocal	\$60.00	45.0%
Lenticular	\$100.00	50.0%
Lens options - per pair (add to lens prices above)		
Standard-Progressive (no line bifocals)	\$50.00	25.0%
Polycarbonate	\$30.00	45.0%
Scratch resistant coating	\$12.00	40.0%
Ultraviolet coating	\$12.00	40.0%
Solid or gradient tint	\$ 8.00	45.0%
Glass	\$15.00	60.0%
Photochromic	\$30.00	55.0%
Anti-reflective coating	\$35.00	30.0%
Transitions	\$55.00	35.0%

<u>Benefits</u>	<u>Vision One cost</u>	<u>Typical savings</u>
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Eye examinations (by licensed independent doctors of optometry)

Spectacle - \$5.00 off normal fee
Contact - \$10.00 off normal fee

Contact lenses (two ways to save on contact lenses)

1. Visit the more than 2,500 locations nationwide and save 20 per cent discount from regular retail prices.
2. Use the Vision One Contact Lens Replacement Programme for additional savings and convenience.

Call (800) 391-5367 for this service.

Dispensing fee

The fee for fitting and dispensing (including unlimited eyeglass adjustments) is only \$8.00. There is no dispensing fee for contact lenses.

New acupuncture benefits

With effect from 1 July 1997, the Aetna Open Choice plan will provide benefits for acupuncture treatment rendered by a medical doctor or licensed acupuncturist, up to a maximum benefit of \$1,000 per calendar year. While this benefit will be described in the plan description book to be made available to all participants, the scope of the benefit may be summarized as follows:

Covered diagnoses for treatment by acupuncture include the following types of chronic pain syndrome:

- Tension headache
- Migraine headache
- Psychalgia
- Neuralgia
- Backache
- Lumbago
- Muscle spasm
- Bursitis

Acupuncture treatment in lieu of anaesthesia has been recognized as a reimbursable procedure by Aetna under the traditional plan. This benefit, as all other benefits under the traditional plan, will be maintained under Aetna Open Choice.

Mental and nervous and substance abuse benefitsA. In-patient benefits

All hospitalization for mental and nervous and substance abuse conditions is subject to the Focused Psychiatric Review (FPR) procedure. STAFF MEMBERS ARE ASSURED THAT THE FPR PROGRAMME IS CONDUCTED IN THE STRICTEST CONFIDENCE. The procedure is as follows:

1. Prior to a non-emergency hospital admission, Aetna must be informed of the intended admission. This is accomplished by placing a telephone call to a toll free Aetna number ((800) 424-1601). This call will be taken by a member of the Aetna FPR team. The telephone call may be placed by the subscriber himself or herself, the attending physician, a family member, or any other person acting for the patient to be hospitalized.
2. The initial information required by Aetna in order to pre-certify the admission includes the subscriber's identification number (payroll index number), the reason for the admission, the physician's name, address and telephone number, the hospital name, address and telephone number, and the scheduled admission date.
3. The FPR specialist then contacts the attending physician to review the information prior to certification of the admission. If the attending physician makes the original call to the 800 number, this step will be accomplished at that time. The FPR specialist certifies a certain number of in-patient days, if appropriate, and develops a plan of regular follow-up visits with the attending physician. Failure to pre-certify an in-patient admission for mental and nervous and substance abuse treatment will result in a \$100 reduction of the benefit amount paid.
4. An emergency admission, which cannot be pre-certified before the confinement begins, must be called in to the Aetna FPR number within 48 hours of the emergency admission.

B. In-patient mental and nervous and substance abuse care

1. The full cost (semi-private accommodation) of 30 days of hospitalization for the treatment of mental and nervous disorders. Hospital confinements beyond 30 days are reimbursed subject to the normal deductible and co-insurance provisions.
2. The full cost (semi-private accommodation) of 30 days of hospitalization for substance (alcohol and/or drug) abuse detoxification and rehabilitation, limited to two 30-day benefit periods in a lifetime. Continuous confinement of up to 30 days beyond this 30-day limit is subject to the provision under paragraph 3 below.

6170

3. Coverage for up to 30 days of hospitalization for substance-abuse (alcohol and/or drug) rehabilitation after the 30-day hospitalization benefit described in the paragraph above has been exhausted. This benefit is available twice in a lifetime and is applicable only as a continuation of each of the two 30-day hospitalization periods provided under paragraph 2 above.

C. Out-patient mental and nervous and substance abuse care

1. A maximum of 50 out-patient visits per year to a medical doctor engaged in the practice of psychiatry (and, depending on the state in which the provider is licensed, for the services of a psychologist and psychiatric social worker). The maximum recognized charge per visit for such treatment, \$134, is reimbursable at 80 per cent, i.e., \$107.20. The annual maximum will be \$3,216 (30 visits x \$107.20 = \$3,216). Under this arrangement, the minimum number of covered visits per year will be 30. Visits beyond this number will be covered until the annual (calendar year) maximum of \$3,216 has been reached. Provider fees exceeding the \$134-per-visit rate or the \$3,216 annual maximum will be borne by the participant. Co-payments made in respect of this benefit do not apply to the \$1,000 annual co-payment maximum.
2. Sixty out-patient visits per calendar year for the treatment of alcoholism or drug abuse diagnosed by a physician. Of these 60 annual visits, 20 may be utilized for the counselling of the patient's family if directly related to the patient's alcoholism or drug abuse.

Discount prescription drug programme (Aetna Pharmacy Management)

A. The Aetna Pharmacy Management (APM) prescription drug programme, along with its mail order affiliate, Walgreens Healthcare Plus, reimburses, at significant savings, the cost of prescription drugs obtained from participating pharmacies and from the Walgreens Healthcare Plus mail order facility.

1. In respect of drugs obtained at participating pharmacies, the discount will be at least 15 per cent off the average wholesale price (AWP) of the drug. If the physician does not request on the written prescription that a specific brand be dispensed by indicating "Dispense as written" or "DAW", the generic equivalent drug will be provided by the pharmacist, and the discount off the AWP can be as high as 50 per cent, depending on the generic equivalent supplied. The discount for maintenance drugs obtained by mail through the Walgreens Healthcare Plus mail order facility will range from 18 per cent to as high as 50 per cent off AWP depending on whether or not a generic equivalent to the brand-name drug is provided. (Maintenance drugs are drugs used on a continual basis for the treatment of chronic health conditions.) Whenever a prescription carries the words "Dispense as written" or "DAW", the pharmacist or mail order firm will fill the prescription accordingly and no substitution will be made.

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2. The procedure under which prescription drugs are reimbursed through the Aetna Pharmacy Management Programme is as follows. Written prescriptions for drugs are presented at a participating pharmacy of one's choice along with the Aetna card (a listing of participating pharmacies in the New York metropolitan area may be found in annex VII). The pharmacist will fill the prescription for up to a 30-day supply and charge a co-insurance of 15 per cent (rather than the normal 20 per cent co-insurance) based upon the discounted price of the drug, but never more than \$15 per prescription. No claim form is required for prescriptions filled at participating pharmacies.
 3. Prescriptions for maintenance drugs may provide for up to a 90-day supply and are most economically filled through Walgreens Healthcare Plus mail order facility which will charge a fixed \$10 co-insurance. The Walgreens order form supplied with the Aetna card should be utilized for ordering prescription drugs by mail. A new order form will be sent along with the filled prescription.
 4. It should be noted that if a participant wishes to receive the brand-name drug even though the physician has not specifically prescribed the brand-name, the participating pharmacy will charge a participant 15 per cent of the cost of the brand-name drug, but not more than \$15 per prescription. In cases in which a brand-name maintenance drug is ordered through the Walgreens mail order facility even though it has not been specifically prescribed, Walgreens will charge the participant the normal co-payment (\$10) in addition to the difference between the cost of the brand-name drug and the allowance for the generic equivalent.
 5. FOR RESIDENTS OF THE STATE OF NEW JERSEY, THE WALGREENS HEALTHCARE PLUS MAIL ORDER FACILITY IS NOW AVAILABLE.
- B. As the Aetna prescription drug programme benefit is being administered separately by Aetna Pharmacy Management, the normal annual deductible under the Aetna plan will NOT be applied to prescription drugs. At the same time, however, prescription drug expenses will NOT count towards meeting the annual co-insurance limit of \$1,000. Prescription drugs obtained outside the United States or within the United States but NOT through either the Aetna pharmacy network or the Walgreens mail order facility will be reimbursed in the normal manner through the submission of the standard claim form to the Aetna claims office in Allentown, Pennsylvania. In such cases, the normal annual deductible will have to be met before reimbursement is made, as well as the 20 per cent co-insurance, which will count towards meeting the annual limit of \$1,000.

Other provisions

- A. Special conditions apply to certain medical procedures for injury-related dental and cosmetic injury, for convalescent facility expenses and for treatment of temporo-mandibular joint syndrome (TMJ). Participants are advised to consult the Aetna claims office in advance of commencing treatment for these conditions.

6170

- B. Unlimited overall lifetime reimbursement benefits.
- C. Certain expenses are not covered under the Aetna plan. These comprise expenses for services or supplies not deemed by Aetna as being necessary, reasonable and customary or not recommended by the attending physician. There are also certain exclusions and limitations under the plan. For example, cosmetic surgery and certain experimental or investigational procedures are not covered. If a participant has any question as to whether a medical procedure or service will be recognized by Aetna as reimbursable under the plan, Aetna Member Services should be contacted at (800) 784-3991 prior to commencement of treatment. In addition, the Aetna policy contract document is on file in the offices of the Insurance, Claims and Compensation Section and may be consulted and photocopied, as necessary. An appointment should be made for this purpose.
- D. If Aetna denies a claim in whole or in part, the subscriber will receive a written notice from Aetna. This notice will explain the reason for the denial and the appeal procedure. The request for review must be submitted in writing within 60 days of receipt of the notice. The subscriber should include the reasons for requesting the review and submit the request to the Aetna Allentown Claim Office. Aetna will review the claim and ordinarily notify the subscriber of its final decision within 60 days of receipt of the request. If special circumstances require an extension of time, notification will be given to that effect.
- E. Subscribers should note that claims for reimbursement must be submitted to Aetna no later than two years from the date on which the medical expense was incurred. CLAIMS RECEIVED BY AETNA LATER THAN TWO YEARS AFTER THE DATE ON WHICH THE EXPENSE WAS INCURRED WILL NOT BE ELIGIBLE FOR REIMBURSEMENT.

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6170

Annex II

BLUE CROSS BLUECHOICE

Plan outline

The BlueChoice plan blends the features of a full indemnity (fee-for-service) plan with the advantages of an extensive network of participating providers covering most medical specialties. When treatment is rendered by a preferred (in-network) provider, the only charge to the participant is \$10 (except for mental health/substance abuse treatment). On the other hand, the participant may equally be treated by a physician who is not a participating practitioner in the plan. Medical services rendered by non-participating (out-of-network) providers will be reimbursed subject to a deductible and 20 per cent co-insurance. The deductible and 20 per cent co-insurance requirement must be met each calendar year.

A network of physicians covering New York City and the New York metropolitan area participate in the BlueChoice plan and accept as payment a fee schedule arranged with Blue Cross. No deductible has to be met, but instead, the participant pays a \$10 co-payment for each visit (\$25 for mental health). If, however, a participating physician refers a patient to another provider who is non-participating, the deductible and 20 per cent co-insurance will apply in connection with reimbursement of the cost of the services rendered by the non-participating provider (50 per cent co-insurance for mental health visits). A number of diagnostic laboratories are participating providers under the BlueChoice plan. When any laboratory tests are required, it is important that the physician be told to direct the tests to a participating laboratory, if possible. If this is done, the cost of the laboratory test will be paid in full and will not be subject to the normal deductible and co-insurance.

Blue Cross identification cards, provider directory and plan benefits book

New subscribers to the BlueChoice plan will receive two sets of identification cards (two cards in each set), one card evidencing membership in the plan itself and the other for the discount prescription drug plan. Enclosed in the envelope containing the new BlueChoice identification card will be a pre-addressed postcard for return to Blue Cross to be completed with the name and home address of each subscriber. By returning the postcard to Blue Cross, BlueChoice subscribers will receive the BlueChoice directory and benefits handbook. Copies of the directory and benefits handbook are not held in stock at the United Nations.

With effect from 1 July 1997, Blue Cross is issuing an updated BlueChoice provider directory and an updated benefits handbook. New subscribers to the BlueChoice plan will automatically receive the new editions of the directory and benefits handbook in the manner described above. Current subscribers may receive copies of the new directory and updated benefits handbook by sending a pre-addressed postcard to Blue Cross requesting the two documents. Blue Cross will mail the directory and handbook to the subscriber at the address indicated on the postcard. POSTCARDS FOR REQUESTING THE UPDATED BLUECHOICE PROVIDER DIRECTORY AND BENEFITS HANDBOOK ARE AVAILABLE IN THE OFFICES OF THE INSURANCE, CLAIMS AND COMPENSATION SECTION (ROOM S-2765).

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6170

New BlueChoice benefits handbook

Subscribers to the BlueChoice plan should be sure to request their copy of the new edition of the benefits handbook which updates and supersedes the benefits handbook issued in 1996. While in most respects the information set out in the new handbook is identical to that contained in the handbook issued last year, the new handbook does contain some revisions in the description of specific benefits. These revisions may be summarized as follows:

[a] An expansion of the description of the BlueChoice Utilization Management Programme (UMP);

[b] An expansion of the provisions relating to the resolution of appeals to Blue Cross in the event of a dispute regarding a claim;

[c] Additional information regarding maternity care benefits under the plan in respect of benefits for birthing centres and minimum length of stay in hospital following childbirth;

[d] A significant clarification of the benefit relating to emergency room treatment. Under the new provisions, Blue Cross defines an emergency as the sudden onset of a medical or behavioural condition which manifests itself by symptoms of such severity, including severe pain, that a prudent layperson with an average knowledge of medicine and health could reasonably expect that the absence of immediate medical attention would seriously jeopardize the health of the afflicted person.

[e] The new handbook updates information to reflect the new management of the Empire Pharmacy Management (EPM) programme in line with the new pharmacy identification cards which were distributed to BlueChoice participants in April.

Premiums

There will be a 5.5 per cent decrease in the total monthly premium of the BlueChoice plan (shared between the staff member and the Organization) for the renewal period commencing 1 July 1997. The premiums and related percentages of salary contribution are shown on page 2 of the present circular. The staff member's contribution, based on the relevant percentage of salary, is not shown directly on the end-of-month payroll statement. The payroll statement shows the total monthly premium for the particular level of coverage involved as a deduction from salary as well as the Organization's subsidy towards the cost of that coverage (shown as a credit). The actual out-of-pocket cost of the insurance to the staff member is the difference between the total premium and the organizational subsidy.

New acupuncture benefits

The BlueChoice plan provides benefits for acupuncture treatment rendered by a medical doctor (MD), a doctor of osteopathy (DO) or a doctor of dental surgery (DDS) provided that the practitioner is also a licensed acupuncturist.

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Covered diagnoses for treatment by acupuncture include the following types of chronic pain syndrome:

- Tension headache
- Migraine headache
- Psychalgia
- Neuralgia
- Backache
- Lumbago
- Muscle spasm
- Bursitis

Out-of-network provider utilization

Should the participant choose to be attended to by a non-participating (out-of-network) provider or be referred by an in-network physician to an out-of-network provider, BlueChoice will pay 80 per cent of the reasonable and customary charge after the participant has met a \$150 deductible per individual/\$450 per family. After \$900 of unreimbursed reasonable and customary medical expenses have been paid by the participant in a given year, further reasonable and customary expenses will be reimbursed in full (100 per cent in lieu of 80 per cent).

6170

BLUECHOICE® PPO BENEFITS SUMMARY	
PROGRAM BENEFITS	
LIFETIME BENEFIT MAXIMUM	Unlimited.
HOSPITAL BENEFITS	MEMBER PAYS
Inpatient ⁽¹⁾ (except behavioral health) <ul style="list-style-type: none"> ■ Unlimited days — semiprivate room and board ■ Other hospital-provided services, facilities, supplies and equipment ■ Physical therapy, physical medicine or rehabilitation - up to 45 days per calendar year 	\$0
Outpatient <ul style="list-style-type: none"> ■ Ambulatory surgery ⁽¹⁾ ■ Surgery ⁽¹⁾ ■ Pre-surgical testing (must be performed within 7 days of admission) ■ Chemotherapy and radiation therapy ■ Mammography & cervical cancer screening 	\$0
Emergency Room/Facility (initial visit) <ul style="list-style-type: none"> ■ Accidental injury ■ Sudden & serious medical condition 	\$35 Copayment (waived if admitted within 24 hours)
Mental Health ⁽²⁾ <ul style="list-style-type: none"> ■ Up to 90 days per calendar year 	\$0
Alcohol/Substance Abuse ⁽²⁾ <ul style="list-style-type: none"> ■ Up to 7 days detox, up to 30 days rehab per year 	\$0
Outpatient Alcohol/Substance Abuse ⁽¹⁾ <ul style="list-style-type: none"> ■ Up to 60 outpatient visits which include 20 family counseling visits per calendar year 	\$0
Home Health Care ⁽²⁾ <ul style="list-style-type: none"> ■ Up to 200 visits per calendar year 	\$0
Outpatient Kidney Dialysis <ul style="list-style-type: none"> ■ Home, hospital based, or free-standing facility treatment 	\$0
Skilled Nursing Facility ⁽²⁾ <ul style="list-style-type: none"> ■ Up to 365 days per calendar year 	\$0
Routine Nursery Care	\$0
Hospice ⁽²⁾ <ul style="list-style-type: none"> ■ Up to 210 days per lifetime 	\$0
<p>(1) Utilization Management Program must pre-approve, except for providers outside the United States. (2) Behavioral health care management program must pre-approve, except for providers outside the United States.</p>	

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70

BLUECHOICE® PPO BENEFITS SUMMARY

PROGRAM BENEFITS	In-Network MEMBER PAYS	Out-of-Network MEMBER PAYS
ANNUAL DEDUCTIBLE	\$0	\$150 Individual \$450 Family Maximum
COINSURANCE	\$0	20%
COINSURANCE MAXIMUM (Coinsurance Stop-loss)	\$0	\$900 per Individual (Plus Deductible)
MEDICAL BENEFITS	In-Network MEMBER PAYS	Out-of-Network MEMBER PAYS
Office/Home Visits	\$10 Copayment	Deductible and Coinsurance
Surgical Service	\$0	Deductible and Coinsurance
Surgical Assistance	\$0	Deductible and Coinsurance
Anesthesia	\$0	Deductible and Coinsurance
Inpatient Visits	\$0	Deductible and Coinsurance
Consultation Service ■ Office or home (<i>one per specialty</i>) ■ Hospital inpatient (<i>one per admission</i>)	\$10 Copayment \$0	Deductible and Coinsurance
Maternity Care	\$0	Deductible and Coinsurance
Mammography Screening	\$0	Deductible and Coinsurance
Diagnostic X-rays	\$0	Deductible and Coinsurance
Lab Tests	\$0	Deductible and Coinsurance
Mental Health Care ⁽¹⁾ ■ Up to 60 outpatient visits in office or facility ■ Up to 90 professional visits per calendar year while in an inpatient facility	\$25 Copayment per visit ⁽²⁾ \$0 ⁽²⁾	Deductible and 50% Coinsurance
Chemotherapy & Radiation Therapy ■ Hospital outpatient ■ Physician's office	\$0	Deductible and Coinsurance
Second Surgical Opinion	\$0	Not Applicable
Ambulance	Not Applicable	\$0, Not Subject to Deductible and Coinsurance
Allergy Testing and Treatment	\$10 Copayment per visit \$0 for testing fees and treatment visits	Deductible and Coinsurance
Diagnostic Screening Tests	\$0	Deductible and Coinsurance
(1) Combined Maximum for In-Network and Out-of-Network services.		
(2) Behavioral health care management program must pre-approve, except for providers outside the United States.		

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6170

BLUECHOICE® PPO BENEFITS SUMMARY		
MEDICAL BENEFITS (continued)	In-Network MEMBER PAYS	Out-of-Network MEMBER PAYS
Prosthetic & Orthotics, Durable Medical Equipment	\$0	Deductible and Coinsurance
Medical Supplies	Not Applicable	\$0, Not Subject to Deductible and Coinsurance
Private Duty Nursing (In the home only) \$5,000 per year, \$10,000 lifetime	Not Applicable	\$0, Not Subject to Deductible and Coinsurance
Well Woman Care	\$10 Copayment	Deductible and Coinsurance
Annual Physical Exam	\$10 Copayment	Not Covered
Well Child Care (including recommended immunizations) <ul style="list-style-type: none"> ■ Newborn baby - 1 in-hospital exam at birth ■ Birth to 1 year of age - 6 visits ■ 1 through 2 years of age - 3 visits ■ 3 through 6 years of age - 4 visits ■ 7 years until 19th birthday - 6 visits 	\$0	Deductible and Coinsurance
Chiropractic Care <ul style="list-style-type: none"> ■ Up to 30 visits per calendar year 	Plan pays \$30 per visit; member pays the balance.	
Prescription Drug Card Program	15% Copayment up to a Maximum of \$15 per prescription; Mail Order with \$10 Copayment	15% Coinsurance (Claim must be filed for reimbursement)
Hearing Aid	Not Applicable	One Exam every three years; (limit \$100); one hearing aid per ear every three years (limit \$600)
Vision Care	One Exam each 24 months with \$5 Copayment; \$10 Copayment for Frames; \$35 allowance for non-plan eyewear	Not Covered
Physical Therapy <ul style="list-style-type: none"> ■ Up to 45 inpatient visits per calendar year⁽¹⁾ ■ Up to 30 visits combined in home, office, outpatient facility⁽¹⁾ 	\$0 in facility \$10 Copayment (home or office)	Deductible and Coinsurance
Other Therapies (occupational, speech, hearing, vision) <ul style="list-style-type: none"> ■ Up to 30 visits combined in home, office, or outpatient facility⁽¹⁾ 	\$0 in facility \$10 Copayment (home or office)	Deductible and Coinsurance

(1) Combined Maximum for In-Network and Out-of-Network services.

Discount prescription drug programme (Empire Pharmacy Management)

1. With effect from 1 April 1997, the Blue Cross Empire Pharmacy Management (EPM) discount prescription drug programme has been administered by MedImpact. Replacement identification cards were distributed to all participants in connection with the change from the previous administrator of the programme.
2. The Empire Pharmacy Management (EPM) programme reimburses at significant savings prescription drugs obtained from participating pharmacies. Under this programme, a retail pharmacy network is provided by Empire Pharmacy Management through MedImpact as well as a mail order facility through Express Pharmacy Services.
3. Significant cost savings are being passed on to participants by utilizing either a participating pharmacy or the Express Pharmacy Services mail order facility. In respect of drugs obtained at participating pharmacies, the discount will be at least 15 per cent off the average wholesale price (AWP) of the drug. If the physician does not request on the written prescription that a brand-name drug be dispensed by indicating "Dispense as written" or "DAW", a generic equivalent drug will be provided by the pharmacist, and the discount off the AWP will average 43 per cent depending on the generic equivalent supplied. The discount for maintenance drugs obtained through Express Pharmacy Services will range from 18 per cent to as high as 50 per cent off AWP, depending on whether or not a generic equivalent to the brand-name drug is provided. (Maintenance drugs are drugs used on a continual basis for the treatment of chronic health conditions.) Whenever a prescription carries the words "Dispense as written" or "DAW", the pharmacist or mail order firm will fill the prescription accordingly and no substitution will be made.
4. The procedure under which prescription drugs is reimbursed through the Empire Pharmacy Management programme is as follows. Written prescriptions for drugs are presented at a participating pharmacy of one's choice ALONG WITH THE EMPIRE PHARMACY MANAGEMENT CARD (a listing of participating pharmacies in the New York metropolitan area may be found in annex VII). The pharmacist will fill the prescription for up to a 34-day supply and charge a co-insurance of 15 per cent (rather than the normal 20 per cent co-insurance) on the discounted price of the drug, but never more than \$15 per prescription. No claim form is required for prescriptions filled at participating pharmacies.
5. Prescriptions for maintenance drugs may provide for up to a 90-day supply and are most economically filled through the Express Pharmacy Services mail order facility, which will charge a fixed \$10 co-payment per prescription. The Express Pharmacy Services claim form supplied with the Empire Pharmacy Management card should be utilized for ordering maintenance drugs by mail. A new order form will be sent along with the filled prescription. The address and telephone number of the mail order prescription drug facility is as follows:

Express Pharmacy Services
P.O. Box 270
Pittsburgh, PA 15230-9949
Tel. No. (888) 624-5376

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6. It should be noted that if a generic equivalent is available and a participant receives a brand-name drug at his or her request even though the physician has not specified a brand-name by indicating "Dispense as written" (DAW) on the prescription, the participating pharmacy and/or the Express Pharmacy Services mail order facility will charge the participant the normal co-payment (\$10) in addition to the difference between the cost of the brand-name drug and the allowance for the generic equivalent.
7. As the Blue Cross BlueChoice prescription drug programme is being administered separately by Empire Pharmacy Management, the normal annual deductible under the BlueChoice plan will NOT be applied to prescription drugs. At the same time, however, prescription drug co-insurance will NOT count towards meeting the annual co-insurance limit of \$900. Prescription drugs obtained outside the United States or within the United States but not through the Empire Pharmacy Management MedImpact's participating network will be reimbursed through the submission of a claim form to the claims office at the following address:

Empire BCBS (EPM)
Pharmacy Unit
P.O. Box 5099
Middletown, NY 10940-9099
Tel. No. (800) 839-8442

The special claim form to be utilized for this purpose is available in the offices of the Insurance, Claims and Compensation Section, room S-2765. Claims submitted to the claims office will not be subject to the annual deductible. However, a 15 per cent co-insurance will be assessed on the charges submitted and the \$15 limit for each prescription will NOT apply. In addition, the 15 per cent co-insurance will not count towards meeting the annual co-insurance limit of \$900.

Other provisions

1. Certain expenses are not covered under the BlueChoice plan. These comprise expenses for services or supplies not deemed by Blue Cross as being necessary, reasonable and customary or not recommended by the attending physician. There are also certain exclusions and limitations under the plan. For example, cosmetic surgery and certain experimental or investigational procedures are not covered. If a participant has any question as to whether a medical procedure or service will be recognized by Blue Cross as reimbursable under the plan, Blue Cross should be contacted at (800) 377-5156 prior to commencement of treatment. In addition, the Blue Cross policy contract document is on file in the offices of the Insurance, Claims and Compensation Section and may be consulted and photocopied, as necessary. An appointment should be made for this purpose.
2. If Blue Cross denies a claim in whole or in part, the subscriber has the right to appeal the decision. Blue Cross will send written notice of the reason for the denial. The subscriber then has 60 days to submit a written request for review. Blue Cross will send a written decision with an explanation within

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3170

60 days of receiving the appeal. If special circumstance require more time, Blue Cross can extend the review period up to 120 days from the date the appeal was received. For a review of a hospital or medical claim, write to:

Empire Blue Cross and Blue Shield
P.O. Box 4606
New York, NY 10163-4606
Attention: Group Accounts

3. Subscribers should note that claims for reimbursement must be submitted to Blue Cross no later than two years from the date on which the medical expense was incurred. CLAIMS RECEIVED BY BLUE CROSS LATER THAN TWO YEARS AFTER THE DATE ON WHICH THE EXPENSE WAS INCURRED WILL NOT BE ELIGIBLE FOR REIMBURSEMENT

6170

Annex III

HEALTH INSURANCE PLAN OF GREATER NEW YORK/HEALTH MAINTENANCE ORGANIZATION

Plan outline

The HIP/HMO plan follows the concept of total prepaid group practice hospital and medical care, i.e., there is no out-of-pocket cost to the staff member for covered services at numerous participating medical groups in the Greater New York area, including New Jersey and certain areas in Florida. The costs of necessary emergency treatment obtained outside the covered area are included in the plan coverage. Additionally, prescription drugs (a \$5 co-payment applies) and medical appliances (in full) are covered when obtained through HIP/HMO participating pharmacies and are prescribed by HIP/HMO physicians or any physician in a covered emergency. HIP/HMO participants may select a physician at a HIP medical centre or from a new listing of neighbourhood affiliated physicians for primary care services. The affiliated physician is visited in his or her private office. Specialty care, however, will continue to be given in a HIP medical centre based upon the referral of the selected affiliated physician. To select a neighbourhood affiliated physician, the HIP participant should call HIP at (800) HIP-TALK. Additional information regarding this expansion of HIP providers will be provided to participants during the annual enrolment campaign and also mailed by HIP to all participants.

Premium

There will be a 4.0 per cent decrease in the total monthly premium of the HIP/HMO plan (shared between the staff member and the Organization) for the renewal period commencing 1 July 1997. The premiums and related percentages of salary contribution are shown on page 2 of the present circular. The staff member's contribution, based on the relevant percentage of salary, is not shown directly on the end-of-month payroll statement. The payroll statement shows the total monthly premium for the particular level of coverage involved as a deduction from salary as well as the Organization's subsidy towards the cost of that coverage (shown as a credit). The actual out-of-pocket cost of the insurance to the staff member is the difference between the total premium and the organizational subsidy.

Benefits

Benefits under the HIP/HMO plan will remain unchanged in the renewal period.

HIP/HMO benefits summary

Type of benefit

HIP/HMO coverage

Hospital services

Covered in full when authorized by HIP/HMO physician

<u>Type of benefit</u>	<u>HIP/HMO coverage</u>
In-hospital physician's services	Covered in full if rendered by HIP/HMO physician
Private duty nursing	Covered in full when authorized by HIP/HMO physician or by any physician in a covered emergency
Skilled nursing facility	No limit on number of days when care is in lieu of hospitalization. Care must be arranged by HIP/HMO physician
Visits to physician's office/health centre	Covered in full at any HIP/HMO medical centre or if care is rendered by HIP/HMO physician
House calls	Covered in full when authorized by HIP/HMO physician or emergency service programme
Maternity care	No waiting periods. Covered in full when care is rendered by HIP/HMO physician. Prenatal, postnatal and well-baby check-ups are covered in full
Preventive care:	
Annual physicals, well-baby care, eye examinations, hearing tests, diagnostic X-rays, laboratory tests, immunizations and allergens	Covered in full when care is rendered by a HIP/HMO physician. Eye examinations are covered in full when rendered by a HIP/HMO physician (eyeglasses and hearing aids are excluded)
Mental health services:	
In-patient	Covered in full for 30 days per calendar year for mental or nervous disorders
Out-patient	HIP/HMO has its own mental health centres that provide psychotherapy and counselling for adults and children with mental or emotional problems. Individual, family or group therapy sessions are provided as long as treatment is effective. Intensive psychotherapy is excluded

6170

Type of benefit

HIP/HMO coverage

Alcoholism and substance abuse:

In-patient

Covered in full for up to 30 days in any calendar year in a state-certified alcoholism or substance-abuse treatment facility

Out-patient

Medical services for diagnosis and treatment of alcoholism or substance abuse for a period not to exceed 60 visits in any calendar year. HIP/HMO mental health centres will be used for the out-patient services

Emergency services:

In-area

HIP/HMO has an emergency service programme that is in operation when your medical group is closed. This provides the HIP/HMO subscriber with a 24-hour, 7-day service

Out-of-area

Hospital service:

In-patient - covered in full;

Out-patient - covered in full, when care is received within 12 hours of onset of illness or within 72 hours (three days) following injury.

Doctor services - HIP/HMO pays customary and reasonable non-HIP/HMO physician fees for covered emergency illness or accidental injury

Prescription drugs and medical appliances

\$5 co-payment for prescription drugs, but not appliances, when obtained through HIP/HMO participating pharmacies. The drugs and appliances must be prescribed by HIP/HMO physicians, or any physician in a covered emergency

Preventive dental care

Annual cleaning and other preventive dental services performed by a HIP dentist. \$5 co-payment per service

Grievance procedure

Refer to member handbook sent to subscribers

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6170

Annex IV

KAISER FOUNDATION HEALTH PLAN OF THE NORTHEAST/HEALTH MAINTENANCE ORGANIZATION

Plan outline

The Kaiser Foundation Health Plan is an HMO, providing all medical-related services at Kaiser medical group centres or network affiliates. Services under this plan are accessible to staff members residing in northern Bronx, Westchester County and southern Connecticut. Kaiser health centres accommodate not only physicians' offices but also laboratory, X-ray, pharmacy and mental health services. The costs of necessary emergency treatment obtained outside the covered area are included in the plan coverage. There is no ceiling on the use of authorized services, no deductibles to cover and no insurance forms to complete. The plan coverage emphasizes early detection of medical problems before they become major illnesses.

Premium

There will be a 3.5 per cent increase in the total monthly premium of the Kaiser/HMO plan (shared between the staff member and the Organization) for the renewal period commencing 1 July 1997. The premiums and related percentages of salary contribution are shown on page 2 of the present circular. The staff member's contribution, based on the relevant percentage of salary, is not shown directly on the end-of-month payroll statement. The payroll statement shows the total monthly premium for the particular level of coverage involved as a deduction from salary as well as the Organization's subsidy towards the cost of that coverage (shown as a credit). The actual out-of-pocket cost of the insurance to the staff member is the difference between the total premium and the organizational subsidy.

Benefits

Benefits under the Kaiser/HMO plan will remain unchanged in the renewal period.

Kaiser/HMO benefits summary

Type of benefit

Kaiser/HMO coverage

Hospital services

Covered in full when authorized by a Kaiser physician

In-hospital rehabilitation

60 days of in-patient rehabilitation care per condition provided in a hospital or skilled nursing facility

In-hospital physician's services

Covered in full if rendered or authorized by a Kaiser physician

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6170

Type of benefit

Kaiser/HMO coverage

Private duty nursing

Covered in full when considered medically necessary

Skilled nursing facility

Covered in full for 100 days per contract year when prescribed, arranged and approved by a Kaiser physician

Visits to physicians' office/health centre

Covered in full at any Kaiser medical centre nationwide or if rendered by or referred by a Kaiser physician

House calls

Covered in full for a registered nurse or Kaiser physician when medically necessary. Limited to the service area

Maternity care

No waiting period. Covered in full when rendered by a Kaiser physician. Prenatal, postnatal and well-baby check-ups are covered in full

Preventive care:

Annual physicals, well-baby care, eye examinations, hearing tests, diagnostic X-rays, laboratory tests, immunizations and allergens, twice yearly preventive dental care

Covered in full when rendered or authorized by a Kaiser physician. Preventive dental care for children under 12 years of age only

Alcoholism treatment:

In-patient

Covered in full for detoxification only

Out-patient

Covered in full up to 60 out-patient visits per calendar year for the diagnosis and treatment of alcoholism

Mental health services:

In-patient

Covered in full for 30 days per contract year

Out-patient

Covered in full at Kaiser Medical Center for short-term evaluation or crisis intervention for visits 1-10 per contract year. Visits 11-20 are covered subject to a 25 per cent co-insurance of the Kaiser fee-for-service rate. Visits 21-30 are covered at 50 per cent of the Kaiser fee-for-service rate

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3170

Type of benefit

Kaiser/HMO coverage

Emergency services:

\$25 co-payment

A \$25 co-payment will be assessed for emergency care services. Immediate notification to Kaiser required if admitted to a hospital (or within a reasonable period of time if incapacitated). Out-patient emergency care requires 48-hour notification to Kaiser, i.e., within 48 hours after the care is received

In-area

Covered in full for life-threatening conditions for care received in a hospital emergency room. Kaiser must be notified first, if possible, or, if not possible, within 48 hours of treatment

Out-of-area

Covered in full for reasonable charges for sudden onset of an illness or accident requiring immediate attention. Kaiser must be notified within 48 hours

Prescription drugs and medical appliances

\$3 co-payment for all prescriptions prescribed by Kaiser physicians and obtained at Kaiser pharmacies. Durable medical equipment is covered in full. Coverage is provided for internal prosthetic devices and for their replacement

Grievance procedure

Refer to member handbook sent to subscribers

6170

Annex V

GROUP HEALTH INCORPORATED (PREFERRED) DENTAL PLAN

Plan outline

The GHI "Preferred" Dental plan is a defined benefit scheme, i.e., benefits are paid in accordance with an established schedule of allowances for a wide range of dental procedures. While the schedule of benefits available under the GHI "Preferred" Dental plan may be utilized to offset the costs of dental services provided by independent (fee-for-service) practitioners, staff members are encouraged to make maximum use of the dental practitioners who participate in the GHI Dental plan.

GHI participating (or network) providers, in most cases, accept the "Preferred" schedule of allowances as payment in full for services rendered. The plan involves no deductible and no co-payment on the part of the subscriber. Thus, treatment by a participating GHI provider will, in most cases, involve no financial outlay by the subscriber.

GHI directory of participating providers

A complete directory listing GHI participating dental providers in the greater New York metropolitan area is available in the offices of the Insurance, Claims and Compensation Section, room S-2765. Copies of the updated directory will be available from 1 July 1997.

Premium

There will no increase in the total monthly premium of the GHI Dental plan (shared between the staff member and the Organization) for the renewal period commencing 1 July 1997. The premiums and related percentages of salary contribution are shown on page 2 of the present circular. The staff member's contribution, based on the relevant percentage of salary, is not shown directly on the end-of-month payroll statement. The payroll statement shows the total monthly premium for the particular level of coverage involved as a deduction from salary as well as the Organization's subsidy towards the cost of that coverage (shown as a credit). The actual out-of-pocket cost of the insurance to the staff member is the difference between the total premium and the organizational subsidy.

Benefits

The benefits under the GHI "Preferred" Dental plan will remain unchanged for the renewal period.

GHI dental benefits summary

THERE IS A CALENDAR YEAR BENEFIT MAXIMUM OF \$2,000.

	<u>Maximum allowance</u>
	\$
EXAMINATIONS	
Periodic	15
Initial	20
Emergency	15
PROPHYLAXES (cleaning)	
Two per calendar year	
Under 12 years	20
12 years and over	30
ORAL SURGERY - EXTRACTIONS	
Impaction - Complete bone	150
Soft tissue	100
Partial bone	125
Extraction - Difficult	50
Routine	30
RESTORATIONS (FILLINGS)	
Amalgam - One surface	30
Two surfaces	40
Three surfaces	50
Reinforcement pin, maximum one per tooth	15
Synthetic porcelain composite - Per filling	30
Two fillings	45
Maximum per tooth	50
Molar, open reduction, depressed compound	300
Tooth reimplantation caused by trauma due to forces outside the mouth	50
Temporo-mandibular joint (TMJ), closed reduction	75
Acrylic/three fillings, maximum per tooth	N/A
Composite fillings	35
Two fillings	45
Three fillings, maximum per tooth	50
Temporary fillings	None

3170

Maximum allowance
\$

PERIODONTICS

Periodontal treatment	40
Maximum allowance each calendar year	200
Gingivectomy, five-teeth area	135
Osseous surgery, per quadrant	250

PROSTHETIC SERVICES

Immediate full denture - Upper	400
Lower	400
Permanent full denture - Upper	400
Lower	400
Acrylic partial denture, 2 + clasps and rests - Upper	285
Lower	285
Cast partial denture, 2 + clasps and attachment - Upper	425
Lower	425
Cast partial denture, 2 + clasps, no attachment - Upper	425
Lower	425
Unilateral partial (Nesbitt) - One tooth	145
Two teeth	160
Three teeth	160
Add tooth to partial denture - First tooth	50
Additional teeth, per tooth	20
Adding new clasp to existing partial	54
Obturator, not including denture	200
Rebase or reline (R/R) lab processed	
Full denture - Upper	130
Lower	130
Partial denture - Upper	130
Lower	130
Denture, chairside - Full upper	90
Full lower	90
Partial upper	75
Partial lower	75
Duplicating partial - Upper jaw	160
Lower jaw	160
Pontic - Cast metal or acrylic	175
Porcelain fused to metal	200
Porcelain veneer abutment crown	375
Acrylic veneer abutment crown	325
Full cast abutment crown in 3 + unit bridge	300
3/4 cast abutment crown in 3 + unit bridge	215
Maryland bridge retainer	135

6170

	<u>Maximum allowance</u>
	\$
Inlay - Two-surface metallic abutment in 3 + unit bridge	150
Three-surface metallic abutment	200
Metal post with or without coping	95
Crown - 3/4 cast	215
Full cast	300
Full cast with acrylic veneer	325
Full cast with porcelain veneer	375
Inlay - Two surfaces - metallic	125
Three surfaces - metallic	150
Porcelain jacket crown	225
Acrylic/vinyl jacket crown, lab-processed	125
Crown - Steel shell	60
 PROSTHETIC REPAIR	
Repair broken denture with or without broken teeth	45
Replace broken teeth in broken denture, per tooth	28
Repair broken teeth in denture not requiring other repairs	
First tooth	50
Each additional tooth	25
New clasp/replacing broken clasp	75
Reattach undamaged clasp	40
Replacing facing on pontic or crown	40
Recementing fixed bridge - single inlay, crown or facing	20
Two or more abutments	30
Maximum repairs per family member per calendar year	110
 ENDODONTICS	
Root canal therapy (RCT) - One canal filled	175
Two canals filled	225
Three canals filled	275
Pulpotomy	50
Apicoectomy, single procedure	140
Apicoectomy, including RCT and/or root-end amalgam	245
Each additional canal	50
 MISCELLANEOUS	
Fluoride treatment - Stannous	15
Anaesthesia in-hospital, each 15 minutes of anaesthesia	24
Consultation with dental specialist	35
Professional visit to bedside	20
Mouth guard for athletic purposes - removable acrylic	50
Space maintainer - Fixed band type, lingual palatal arch	100
Fixed, unilateral band type	75

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6170

Maximum allowance
\$

RADIOLOGY

PA X-ray - Initial	3
Each additional	3
Full mouth series, maximum one every three years	30
Intra-oral films, occlusal view for edentulous jaws, maxillary or mandibular, single film, two every three years	10
Bite-wing X-ray - Initial	6
Each additional film	6
Maximum four each calendar year	24
Antero-posterior head and jaw, single film	25
Lateral X-ray, head and jaw, single film	25
Temporo-mandibular joint (TMJ), single film	25
Cephalometric X-ray	25
Panoramic, one series every three years	30

PRE-DETERMINATION AMOUNT

If a course of treatment can reasonably be expected to involve covered dental expenses of \$200 or more, a description of the procedures to be performed and an estimate of the dentist's charges should be filed with GHI before the course of treatment begins. The dentist should be sure to include the American Dental Association (ADA) procedure code for each procedure claimed.

Grievance procedure

If a subscriber disagrees with the disposition of a claim by GHI, a review may be requested. Such request must be made in writing to GHI (Attention: Claims Appeals) within 60 days of notification. The subscriber's GHI certificate number and the claim number concerned, as well as any pertinent information regarding the disputed claim, should be included in the request for review. Upon receipt of the request for review, the claim will then be reconsidered, taking into account such additional information as may have been provided by the subscriber. Upon completion of this review, the subscriber will receive written notification of the decision, explaining the upholding or modification of the original disposition of the claim.

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6170

Annex VI

WORLD ACCESS

World Access (formerly known as Access America) is a facility available to Aetna and BlueChoice subscribers. The \$0.25 per month per subscriber cost of the World Access facility is built into the premium schedule for Aetna and BlueChoice set out on page 2 of the present circular.

World Access provides an international travellers' 24-hour hotline assistance programme for obtaining medical care abroad, or within the United States, when at least 100 miles from one's normal place of residence. Participants who call the hotline numbers below will, where possible, be provided with referrals from a worldwide network of physicians, dentists, hospitals, pharmacies and other medical facilities. In addition, in most cases, World Access will settle the costs of EMERGENCY foreign hospital admission and treatment. If the emergency hospitalization occurs in the United States and the hospital does not accept the Aetna or the Blue Cross BlueChoice identification cards, World Access will also settle the related costs directly with the hospital and then claim reimbursement directly from Aetna or Blue Cross as the case may be. In the case of hospitalization, World Access medical staff will contact the insured patient's local physician in order to monitor the case and services being received. In the event of an emergency hospitalization in the circumstances described above, it is important that World Access be contacted upon admission to the hospital or, at the latest, before discharge. It should also be emphasized that any hospital bill paid by the participant must be sent to Aetna for reimbursement or Blue Cross, as World Access does not reimburse participants directly.

The hotline numbers are:

(800) 654-1901 - (in the United States, Canada, Puerto Rico
and the Virgin Islands)

(804) 673-1159 - collect (from Alaska, Washington, D.C.
and all other locations), or

Fax No. (804) 673-1179

When contacting World Access, be sure to identify yourself as a United Nations participant. Please state the World Access identification number for the United Nations, which is 2065. In addition, you are reminded that your Aetna and Blue Cross BlueChoice subscriber identification number is:

8-(UNITED NATIONS INDEX NUMBER)-00

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Annex VIIAETNA AND BLUE CROSS PLANS
LIST OF PARTICIPATING PHARMACIES

Set out below are lists of the major participating chain pharmacies under the Aetna and Blue Cross discount prescription drug programmes. The Aetna and Blue Cross directories of participating pharmacies are available at the offices of the United Nations Insurance, Claims and Compensation Section; the Division of Personnel, UNDP; and the Office of Personnel, UNICEF. In addition, if a participating pharmacy is needed while traveling, referral information is available from Aetna ((800) 238-6279) and Blue Cross ((800) 839-8442).

<u>Aetna Participating Chain Pharmacies</u>			<u>Blue Cross Participating Chain Pharmacies</u>
<u>New York</u>	<u>New Jersey</u>	<u>Connecticut</u>	
AARP Phcy Service	ACME Phcy	AARP Phcy Service	A & P
A & P Phcy	A & P Phcy	A & P Phcy	Brooks Phcy
Brooks Drug	Brooks Drug	Arrow Prescription Ctr	Costco
Caldor Phcy	Caldor Phcy	Arthur Drug Stores	CVS
Costco Phcy	Clover Phcy	Brooks Drug	Drug Mart
CVS	Costco Phcy	Caldor Phcy	Duane Reade
Drug Mart	CRX Phcy	Costco Phcy	Eckerd
Drug World	CVS	CVS	Edwards
Duane Reade	Drug Fair	Douglas Drug	Finast
Edwards Phcy	Drug World	Edwards Phcy	Foodtown
Fay's	Duane Reade	F & M Distributors	Freddy's
Finast Phcy	Eckerd Drugs	Genovese	Genovese
Freddy's	Food Town Phcy	Grand Union Phcy	Grand Union
Genovese	Foodmax Phcy	K Mart Phcy	JC Penney Prescription Ctr
Grand Union Phcy	Genovese	The Medicine Shoppe	K Mart
Great American Drug	Grand Union Phcy	NPSC/EPIC	Phar-Mor
K Mart Phcy	Happy Harry's	Pathmark Phcy	Pharmhouse
King Kullen Phcy	K Mart Phcy	Purity Phcy	Price Chopper
Kinney Drugs	The Medicine Shoppe	Rite Aid	Price Club
Leroy Phcy	Pathmark Phcy	Shop Rite Phcy	Revco
The Medicine Shoppe	Phar-Mor	Super X Drug Store	Rite Aid
Pathmark Phcy	Pharmhouse	The RX Place	Safeway
Peterson Drug Co.	Quick Check	Shop & Stop	Sav-On
Phar-Mor	Revco	Waldbaum's Phcy	Shop'N Save
Pharmhouse	Rite Aid	Walgreens	Shoprte
Price Chopper Phcy	RXD Phcy	Wal-Mart	SuperRx
Revco	Sav-On	Woolworth Phcy	Target
Rite Aid	Shop Rite Phcy		The Medicine Shoppe
Rockbottom Phcy	Super X Drug Store		Thrift Drug Store
Shop'N Save Phcy	The RX Place		Tick Tock Drugs
Shop Rite Phcy	Thrift Drug		Tops
The RX Place	Thrift RX		Vons
Shop & Stop	Waldbaum's Phcy		Wal-Mart
Thrift Drug	Walgreens		Waldbaum's
Tops Phcy	Wal-Mart		Walgreens
Vix Phcy	Woolworth Phcy		Weis
Waldbaum's Phcy			
Walgreens			
Wal-Mart			
Wegmans Phcy			
Weis Phcy			
Woolworth Phcy			

6170

Annex VIII

INSURANCE CARRIER ADDRESSES AND TELEPHONE NUMBERS FOR CLAIMS AND BENEFIT INQUIRIES

- I. AETNA OPEN CHOICE PLAN**
(medical and out-of-network
pharmacy claims)
- Aetna Life Insurance Company**
Unit 73
3541 Winchester Road
Allentown, PA 18195-0501
- Tel.: (800) 784-3991
Tel.: (800) 238-6279
Tel.: (800) 999-2655
- Tel.: (800) 749-0009
Tel.: (800) 424-1601
Tel.: (800) 793-8616
- Member Services (benefit/claim questions)**
Participating pharmacy referral
Walgreen's Customer Service (mail order drugs)
Maintenance drug automated refills (by credit card)
Focused Psychiatric Review (FPR)
Vision One
- II. BLUE CROSS BLUECHOICE PLAN**
- Empire Blue Cross**
622 Third Avenue
New York, NY 10017
- Tel.: (800) 377-5156
Tel.: (800) 982-8089
- Tel.: (800) 626-3643
Tel.: (888) 624-5376
Tel.: (800) 839-8442
- Member Services (benefit/claim questions)**
Utilization Management Program (pre-certification for hospital admissions, elective surgery, home care, skilled nursing facilities and second opinion referrals)
Behavioral Health Care Management Program (prior approval of mental health/substance abuse care)
Express Pharmacy Services, Inc. (maintenance drug mail order)
Empire Pharmacy Management Programme/MedImpact (prescription card programme and pharmacy network information)
- III. HIP/HMO**
Tel.: (800) HIP-TALK
(800) 447-8255
- HIP Member Services Department**
7 West 34th Street
New York, NY 10001
- IV. KAISER/HMO**
Tel.: (914) 682-6500
- Kaiser Foundation Health Plan**
210 Westchester Avenue
White Plains, NY 10604
- V. GHI DENTAL PLAN**
Tel.: (212) 501-4443
(claim questions and participating provider referrals)
- Group Health Incorporated (GHI)**
P.O. Box 1701
New York, NY 10023
Attention: Dental Correspondence Unit
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Secretariat

ST/IC/1997/29
19 May 1997

INFORMATION CIRCULAR

To: Members of the staff at Headquarters

From: The Controller

Subject: IMPROVEMENTS IN THE AETNA HEALTH INSURANCE PLAN*

1. The Secretary-General has approved the introduction of a significant expansion of the Aetna health insurance plan with effect from 1 July 1997, following detailed examination by the Health and Life Insurance Committee and discussion by the Joint Advisory Committee. Administration of the new plan by Aetna will be subject to close monitoring and review in all its aspects during the course of the year. The purpose of the present information circular is to provide staff members with information about the **enhanced** Aetna plan in good time before the annual health insurance enrolment campaign, which will take place from 2 to 6 June 1997. A separate information circular will be issued shortly setting out further details regarding the annual enrolment campaign, the related rules and procedures, as well as outlines and summaries of the benefit structures of the Aetna, Blue Cross, HIP, Kaiser and GHI Dental plans which will be renewed effective 1 July 1997.

2. The forthcoming improvements in the Aetna plan are significant in terms of the range of choices open to subscribers as well as the cost advantages afforded by the new plan structure. In a nutshell, the traditional Aetna indemnity plan, which has been the health insurance plan of choice for the majority of active staff members and retirees for many years, **will be expanded** to include a preferred provider organization network of physicians and other medical providers. This means that participants can choose, if they wish, to go to a doctor who is in the network and pay only \$10 per visit or treatment (from office visit to surgery) without any further need to file a claim with Aetna. Alternatively, participants may opt to receive treatment from any physician not in the network and be reimbursed by Aetna **in the usual way**, subject to the annual deductible and the normal co-payment.

* Personnel Manual index No. 6171.



6171

3. The network of providers available to subscribers under this Aetna plan, known as "Open Choice", is nationwide throughout the United States. Aetna has carried out an analysis of all the physicians from whom United Nations subscribers, active and retired, have received services in the past year. The analysis reveals that **40 per cent of the doctors visited by the United Nations community are already in the preferred provider network.** This means that many participants who have perhaps received treatment from a particular doctor over a long period of time will be in the position beginning 1 July 1997 of paying no more than \$10 per visit to that physician instead of receiving an 80 per cent reimbursement of the "reasonable and customary" fee after filing a claim with Aetna. For those participants whose doctors are not in the network, **present arrangements will remain unchanged.** Indeed, the new plan also offers a modest improvement for participants who do not use the network in that the "reasonable and customary" fee threshold will be raised as of 1 July.

4. As has been indicated above, the Aetna network of preferred providers (providers who have accepted negotiated reduced fee levels under contract with Aetna and to whom the patient pays only a \$10 co-payment) is very extensive. Provider directories, which list preferred providers on a statewide basis by county and specialty, will be available for all Aetna subscribers after 1 July. In the meantime, interested staff members may consult reference copies of these directories in the offices of the Insurance, Claims and Compensation Section and the Medical Service in the Secretariat building.

5. During the past few weeks, as many staff members came to hear that proposals to make changes in the existing Aetna plan were under discussion, several concerns and misapprehensions came to light. While the kinds of questions which staff members have asked about the new plan have been answered in Staff Committee Bulletin No. 1338 dated 28 April 1997, several points, beyond the information provided in the paragraphs above, are worth highlighting here:

(a) Under the new Aetna plan, which offers all the benefits of the traditional Aetna plan plus the added option of the preferred network of providers, access to a general practitioner or specialist of the participant's choosing is in no way limited or restricted;

(b) The new United Nations Aetna policy will contain **no mandatory hospital pre-certification requirement** on the part of subscribers;

(c) The premium levels for the enhanced plan, which will come into effect on 1 July, will be the same as current rates. Had the current Aetna plan been renewed without the preferred provider network, it would have been necessary to increase premium levels by 14 per cent owing to the level of claims incurred in the expiring policy period and the medical cost and utilization trend projected for the coming year. The addition of the preferred provider option will result in lower costs for the plan as a whole, thereby making it possible to offer the enhanced Aetna programme **with no increase in premium levels;**

(d) Apart from the advantages of the preferred provider network facility, the new plan offers several added benefits not heretofore available under the Aetna plan, including routine physical examinations, acupuncture treatment

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6171

rendered by licensed practitioners for the treatment of chronic pain and an expanded vision care programme.

6. A comprehensive outline of the new Aetna programme, together with a benefit-by-benefit comparison with the current Aetna plan, is set out in the annex to the present circular. While this benefit outline will be reproduced again in the forthcoming comprehensive circular relating to the annual enrolment campaign, staff members are encouraged to review the new plan structure carefully in advance of the enrolment campaign. All subscribers currently enrolled in the United Nations Aetna plan will automatically be enrolled in the new Aetna Open Choice programme unless they decide to switch to one of the other Headquarters insurance plans during the enrolment campaign week, 2 to 6 June 1997.

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6171

ANNEX

Summary of benefits under the Aetna Open Choice plan and
the current traditional Aetna plan

Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Plan deductible	\$0 Individual \$0 Family	\$125 Individual \$375 Family	\$125 Individual \$375 Family
Co-insurance limit	\$1,000 Individual \$3,000 Family		\$1,000 Individual \$3,000 Family
Lifetime maximum	Unlimited	Unlimited	Unlimited
Physician services (except Mental health/Alc/Drug)			
Office visits (non-surgical)	100% after \$10 co-payment	80% after deductible	80% after deductible
Specialist (office visits)	100% after \$10 co-payment	80% after deductible	80% after deductible
Routine physicals/ immunizations Well-baby care to age 7; 1 exam every 24 months for ages 7 to 19; including immunizations	100%	100%	100%
Routine physicals/ immunizations Children age 19+ and adults: 1 routine exam every 24 months. (One routine exam annually for members age 65 and older); including immunizations.	100% after \$10 co-payment	80% after deductible	Not covered

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Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Routine mammography (no age limit)	100%	80% after deductible; 100% if performed on an in-patient or in the outpatient department of a hospital	80% after deductible; 100% if performed on an in-patient or in the outpatient department of a hospital
Routine ob/gyn exam (1 routine exam per calendar year; including 1 pap smear and related fees)	100% after \$10 co-payment	80% after deductible	80% after deductible
Surgery	100%	80% after deductible	80% after deductible
Physician in-hospital services	100%	80% after deductible	80% after deductible
Allergy testing and treatment (given by physician)	100% after \$10 co-payment	80% after deductible	80% after deductible
Allergy injections (not given by physician)	100%	80% after deductible	80% after deductible
Other physician services	100%	80% after deductible	80% after deductible
Diagnostic X-ray and laboratory (other than physician's office)	100%	80% after deductible	80% after deductible
Hospital services			
In-patient coverage	100%	100%	100%
Outpatient coverage	100%	100%	100%
Emergency room (based on symptoms)	100% Covers sickness within 12 hours' onset; surgery, accident within 72 hours	100% Covers sickness within 12 hours' onset; surgery, accident within 72 hours	100% Covers sickness within 12 hours' onset; surgery, accident within 72 hours

6171

Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
<p>Non-emergency use of the emergency room (examples of conditions: skin rash, earache, bronchitis, etc.)</p>	80%	80% after deductible	80% after deductible
<p>Acupuncture* (for chronic pain treatments only, services must be rendered by a medical doctor or licensed acupuncturist)</p>	100% after \$10 co-payment up to a maximum benefit of \$1,000	80% after deductible up to a maximum benefit of \$1,000	Not covered
<p>Spinal manipulation*</p>	100% after \$10 co-payment up to a maximum benefit of \$1,000	80% after deductible up to a maximum benefit of \$1,000	80% after deductible up to a maximum benefit of \$1,000

* Preferred and non-preferred benefits are combined for a maximum of \$1,000 per calendar year.

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Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Mental health services			
In-patient coverage	100%	100% after deductible	100% for first 30 days; additional 30 days at 80% after deductible
	Maximum 90 days per calendar year*	Maximum 90 days per calendar year*	Maximum 60 days per calendar year
Outpatient coverage	100% up to maximum benefit of \$3,216 per calendar year*	80% after deductible up to maximum benefit of \$3,216 per calendar year* \$134 per visit	80% after deductible up to maximum benefit of \$3,216 per calendar year* \$134 per visit
Crisis intervention	100% up to 3 visits per calendar year*	80% after deductible up to 3 visits per calendar year*	80% after deductible up to 3 visits per calendar year
Alcohol/drug abuse			
In-patient coverage	100%	100% after deductible	100% for first 30 days; additional 30 days at 80% after deductible
Maximum	60 days per calendar year*	60 days per calendar year*	60 days per calendar year
Lifetime maximum	2 confinements*	2 confinements*	2 confinements
Outpatient coverage	100% Up to 60 visits per calendar year* (includes 20 visits* for counselling)	80% after deductible Up to 60 visits per calendar year* (includes 20 visits* for counselling)	80% after deductible Up to 60 visits per calendar year (includes 20 visits for counselling)

* Maxima are for the calendar year whether preferred or non-preferred, or a combination of the two.

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6171

Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Maternity (coverage includes voluntary sterilization and voluntary abortion)	100% after \$10 co-payment; 100% voluntary sterilization if performed in-patient or in the outpatient department of a hospital	80% after deductible; 100% voluntary sterilization if performed in-patient or in the outpatient department of a hospital	80% after deductible; 100% voluntary sterilization if performed in-patient or in the outpatient department of a hospital
Prescription drug	100% after 15% co-payment; up to 30-day supply at participating pharmacies; co-payment maximum \$15 100% after \$10 co-payment; up to 90-day supply from participating Mail Order vendor; when brand name is requested, member must pay co-payment plus difference between brand and generic price unless "DAW" is written on prescription	80% after deductible	In-network: 100% after 15% co-payment; up to 30-day supply at participating pharmacies; co-payment maximum \$15 100% after \$10 co-payment; up to 90-day supply from participating Mail Order vendor; when brand name is requested, member must pay co-payment plus difference between brand and generic price unless "DAW" is written on prescription Out-of-network: 80% after deductible

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6171

Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
OTHER BENEFITS Skilled nursing facility	100% up to 365 days per calendar year		100% up to 365 days per calendar year
Home health care	100% 320 visits per calendar year (no prior confinement required)	100% for first 200 visits; 80% after deductible for additional 120 visits per calendar year (no prior confinement required)	If within 7 days of discharge 100% for first 200 visits; 80% after deductible for additional 120 visits per calendar year. If no prior confinement, 80% after deductible for 80 visits per calendar year
Ambulance*	100%		100%
Private-duty nursing (restricted benefit on an in-patient basis)	100% up to 70 eight-hour shifts per calendar year	80% after deductible up to 70 eight-hour shifts per calendar year	80% after deductible up to 70 eight-hour shifts per calendar year
Hospice care In-patient and outpatient coverage	100% up to 210 days for both in-patient and outpatient services		100% up to 210 days for both in-patient and outpatient services
Bereavement counselling	100% up to 5 visits		100% up to 5 visits

* There are no preferred (or in-network) providers of these services at the present time.

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6171

Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Short-term rehabilitation Physical, occupational therapy	100%	80% after deductible	80% after deductible
Speech therapy		80% deductible does not apply*	
Hearing aid Hearing device**		80% deductible does not apply Maximum \$750, 1 hearing aid per ear every 3 years	80% after deductible Maximum \$750, 1 hearing aid per ear every 3 years
Evaluation and audiometric exam	100% after \$10 co-payment	Maximum \$100, 1 exam every 3 years, must be examined by otolaryngologist or state-certified audiologist	Maximum \$100, 1 exam every 3 years, must be examined by otolaryngologist or state-certified audiologist
Outpatient diabetic self-management education programmes		80% deductible does not apply***	Payable as any other covered expense
Durable medical equipment		80% deductible does not apply****	80% after deductible

* When services are rendered by a participating provider, 100 per cent reimbursement applies.

** There are no preferred (or in-network) providers of these services at the present time.

*** If services are rendered in a hospital, 100 per cent reimbursement applies with no co-payment. If rendered in an in-network doctor's office, 100 per cent reimbursement with \$10 co-payment applies.

**** If services are rendered by a participating provider or within a hospital setting, 100 per cent reimbursement applies with no co-payment.

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Plan features	Preferred benefits (In-network)	Non-preferred benefits (Out-of-network)	Current Basic Hospital/ Major Medical Plan
Vision care Optical lenses (including contact lenses)	80% deductible does not apply; maximum \$60 for any 2 lenses in a 24-month period		80% after deductible. Maximum \$60 for any 2 lenses in a 24-month period
Vision one programme	Savings up to 65% on frames; up to 50% on lenses; about 20% on contacts at participating Cole Vision centres. Refer to separate handout for details.		None
In-patient pre-certification	Provider-initiated	Not required	None
Focused psychiatric review Penalty for failure to pre-certify in-patient psychiatric treatment	None	\$100 penalty; applies per occurrence	\$400 penalty; applies per occurrence
Second surgical opinion	Not required, however covered at 100% after \$10 co-payment	Not required, however covered at 100% after deductible	100% after deductible
Claim submission	Provider-initiated	Member-initiated	Member-initiated



Secretariat

ST/IC/1996/78
23 December 1996

INFORMATION CIRCULAR

To: Members of the staff at duty stations away from Headquarters

From: The Controller

Subject: VAN BREDA MEDICAL, HOSPITAL AND DENTAL INSURANCE*

I. RENEWAL PROVISIONS FOR 1997

1. The purpose of the present circular is to set out the provisions concerning renewal of the Van Breda medical, hospital and dental insurance plan for staff members at offices away from Headquarters, which will take effect on 1 January 1997. The key features of the renewal for 1997 are:

(a) An average premium increase of 9.92 per cent for 1997. This average reflects a premium increase of 41.56 per cent applicable to participants located in Chile and a 5.64 per cent increase applicable to all other participants;

(b) Limitation of the reimbursement for surgical or laser procedures to correct refraction in respect of myopia to the optical lens benefit as set out in paragraph 2 (j) (ii) of annex I to the present circular;

(c) With the exception of the above, the benefit structure of the plan will be the same as in 1996.

2. The Van Breda plan is a global scheme covering staff members who reside in all parts of the world, except the United States of America. The annual cost of the plan reflects claims incurred for hospitalization and medical treatment in all parts of the world and reflects widely varying price levels. If levels of plan utilization and the charges levied by hospitals and other medical providers were comparable throughout the world, then loss ratios, i.e., the ratio of claim reimbursement to premium paid, would be more or less equal among all locations

* Personnel Manual index No. 6190.



6190

at which there were significant numbers of participants. This, however, is not the case, notably so in respect of loss ratios generated in Chile.

3. While the plan as a whole performed better in 1996 than in the prior year, so that the overall premium increase required for 1997 is lower than that implemented in 1996, the continuing high cost of medical services in Chile resulted in an aggregate loss ratio for Chile-based subscribers which substantially exceeded the loss ratio for the plan as a whole. As a first step in addressing this imbalance, a premium differential of approximately 15 per cent was implemented in respect of Chile-based participants in the 1996 policy period. This adjustment, however, inadequately reflected the actual experience incurred in Chile in 1996. As a result, it has been decided that a further substantial premium adjustment is warranted in respect of the 1997 policy period in order to produce a more equitable alignment between medical cost levels and the related premium structure pertaining to Chile. Thus, the average 9.92 per cent premium increase required to meet projected plan costs in the renewal period will be met by implementing a 41.56 per cent premium increase for participants in Chile, and a 5.64 per cent increase for participants at other locations worldwide. Specific premium surcharges are also applicable in respect of small groups of participants located in Bonn and Vienna.

4. In line with the methodology used in the calculation of staff contributions towards premiums for other United Nations insurance schemes, the premium contributions of participants in the Van Breda scheme are determined as a percentage of their respective medical net salaries by application of the rates set out in paragraph 5 below. The percentage contribution rates have been computed to take account of the requirement for an overall 50:50 cost-sharing relationship between the Organization and participants in the plan. Medical net salary consists of gross salary, less staff assessment, plus language allowance, non-resident's allowance and post adjustment, as applicable. In no case will staff contributions be greater than 85 per cent of the premiums shown below.

5. The schedule of premiums which will become effective on 1 January 1997, as well as the related staff contribution rates, are set out in the tables below:

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6190

Type of coverage	Monthly premiums (United States dollars)		Percentages of medical net salary	
	1996	Effective 1 January 1997	1996	Effective 1 January 1997
A. <u>All duty stations (other than Chile)</u>				
Staff member only	97.00	102.00	1.36	1.44
Staff member and one family member	204.00	216.00	2.20	2.26
Staff member and two or more eligible family members	337.00	356.00	3.49	3.60
B. <u>Chile</u>				
Staff member only	110.00	156.00	1.55	2.19
Staff member and one family member	233.00	330.00	2.52	3.57
Staff member and two or more eligible family members	385.00	545.00	4.00	5.66

Hospital room rate maxima

6. The daily room rate maxima for hospital accommodation reimbursable under the plan and introduced on 1 January 1996 will continue, as follows:

(a) Europe and North America. The maximum reimbursement per day for hospital accommodation (room and board) in Europe and North America is \$600. Details concerning the application of the \$600 per day limit for hospitalization in the United States are set out in annex II to the present circular. Semi-private room accommodation is the normal standard in Europe and North America. Only under the following conditions, subject to the provision of documentation satisfactory to the insurer, will private-room care be reimbursed in full, up to the \$600 daily limit:

- (i) When the nature and gravity of the illness requires private room care and the need for such care is substantiated by the attending physician;
- (ii) When the patient is admitted on an emergency basis to a hospital that has semi-private accommodation but none is available at the time;
- (iii) When the patient is admitted to a hospital that does not have any semi-private accommodation, i.e., it has no standard of accommodation other than private rooms and general wards;

(b) Israel. The daily room rate cap applicable in Israel is \$700. This reimbursement ceiling conforms to the nationally uniform semi-private hospital accommodation rate in that country;

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6190

(c) Rest of the world. A \$330 per day reimbursement ceiling is applicable to all locations other than Europe, North America and Israel.

Out-patient mental health treatment

7. Commencing in 1996, the out-patient mental health benefit provided for 50 per cent reimbursement of the reasonable and customary fee of psychiatrists, licensed psychoanalysts, licensed psychologists and licensed psychiatric social workers up to a maximum of \$1,000 per year. This benefit will continue during the 1997 renewal period.

II. ELIGIBILITY CRITERIA AND ENROLMENT RULES

Eligibility for enrolment in the Van Breda plan

8. Except for staff members whose duty station is New York, Geneva or Vienna and locally recruited staff members at duty stations where the Medical Insurance Plan (MIP) is established, all staff members holding appointments of three months or longer under the 100 series of the Staff Rules or one month or longer under the 200 series of the Staff Rules may enrol themselves and eligible family members in the United Nations Van Breda plan. Staff members holding appointments of limited duration under the 300 series of the Staff Rules, except those who receive a fixed monthly cash amount towards the cost of health insurance, are also eligible to enrol in the Van Breda plan in line with the relevant provisions of administrative instruction ST/AI/395, dated 2 June 1994.

9. Staff members are ineligible for coverage under the Van Breda plan if they reside in the United States or if their covered dependants reside in the United States. In addition, the coverage of staff members under the Van Breda plan while on assignment from Headquarters with field offices or missions will be terminated upon the staff member's return to Headquarters. In such cases, if the staff member had been enrolled in a Headquarters plan prior to assignment on mission, insurance coverage will revert to the insurance plan to which the staff member subscribed prior to the mission assignment, at least until the next annual enrolment campaign. Staff members who, prior to assignment on mission, were not enrolled in any Headquarters insurance plan but who were covered under the Van Breda plan while on mission assignment must enrol in a Headquarters plan within 31 days of return to duty from mission assignment in order to ensure continuity of health insurance coverage. Coverage in a Headquarters health insurance plan following return from mission assignment will become effective from the first day of the month after return to duty at Headquarters.

10. Enrolment in the Van Breda plan at the time of initial appointment must be accomplished within 31 days of the date of entry on duty. For enrolment purposes, applicants will be required to present proof of eligibility from their respective personnel or administrative officers attesting to their current contractual status. The enrolment of eligible family members requires the provision of evidence of the status of such family members. In most instances, the necessary proof of eligibility will be contained in the personnel action form.

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Eligible family members for insurance purposes

11. "Eligible family members" refers to a spouse and one or more eligible children. A spouse is always eligible. A child is eligible to be covered under this scheme until the end of the calendar year in which he or she attains the age of 25, provided that he or she is not married and not in full-time employment; disabled children may be eligible for continued coverage after age 25. Complete information regarding these provisions can be found in information circular ST/IC/86/72, entitled "Age limitation on the participation of dependent children in United Nations health insurance schemes".

Enrolment at times other than upon entry on duty

12. Staff members appointed under the 100 series of the Staff Rules who have not enrolled themselves and eligible family members within 31 days of the date of their entry on duty have an opportunity one time each year to do so. The annual enrolment period generally is set for the first week of June, the specific dates being announced each year sufficiently in advance of the occasion. The effective date of insurance coverage which is applied for during the annual enrolment week is the first day of the following month.

13. Staff members appointed under the 200 series of the Staff Rules (project personnel) are, under staff rule 206.4 (a), required to participate in a medical insurance scheme provided by the United Nations unless exemption from such participation is expressly stated in the letter of appointment. Staff rule 206.4 (b) provides that such personnel, if appointed for a period of one month or more and participating in a medical insurance scheme provided by the United Nations, may enrol their spouses and dependent children in the scheme. Project personnel who have not enrolled their spouses and eligible dependent children in the Van Breda plan at the time of initial appointment have an annual opportunity to do so. In the case of project personnel, the annual enrolment opportunity occurs on the anniversary of their entry on duty and insurance coverage for added dependants will be effective as of that date.

14. Eligible staff members holding appointments of limited duration under the 300 series of the Staff Rules who have not enrolled themselves in the Van Breda plan at the time of initial appointment because they maintain their own coverage have an annual opportunity to do so. The annual enrolment opportunity occurs on the anniversary of their entry on duty.

15. At times other than the annual enrolment periods referred to in paragraphs 8 to 10 above, staff members (100 and 200 series) and their eligible family members may be enrolled in the Van Breda plan ONLY if at least one of the following events occurs and application for enrolment is made within 31 days thereafter:

- (a) Upon transfer from one duty station to another;
- (b) Upon return from special leave without pay (see para. 19 below);
- (c) Upon assignment to a mission under certain conditions (see para. 20 below);

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(d) Upon marriage, birth or legal adoption of a child for coverage of the related family member.

16. Staff members who can demonstrate that they were on mission or annual or sick leave during the annual enrolment opportunity period may enrol within 31 days of their return to their duty station.

17. Applications between enrolment opportunity periods based on circumstances other than those listed in paragraph 15 above or not received within 31 days of the event giving rise to eligibility will not be receivable. In this regard, it should be noted that termination of health insurance coverage under a scheme not offered by the United Nations or another organization within the common system will in no case give rise to any right on the part of a staff member or family member to immediate enrolment in a United Nations plan. If such termination occurs between annual enrolment opportunity periods, the staff member must wait until the next annual enrolment opportunity to enrol in a United Nations plan. Staff members who for any reason may be uncertain about the continuity of their outside coverage are urged to consider enrolling in the United Nations scheme during the established annual enrolment period.

Staff transferred to another duty station

18. Staff members who transfer to another duty station but who did not have medical insurance prior to the transfer may enrol themselves and eligible family members in the United Nations health insurance plan upon transfer. The enrolment application must be submitted within 31 days of the date of transfer, and the effective date of coverage will be the transfer date at the new duty station. This provision applies also in the case of transfer to Headquarters, in which case the new enrolment will be in one of the health insurance plans offered at Headquarters. Staff members are reminded that if they transfer from one duty station to another and in the process are transferred from one payroll system to another, they should, upon arrival at the new duty station, ensure that their insurance coverage is recorded in the new payroll system so that the deduction of monthly premium contributions may be continued without a break.

Staff on special leave without pay

19. Staff members who are granted special leave without pay are reminded that they may retain health insurance coverage during such periods or may elect to discontinue such coverage for the period of the special leave:

(a) Insurance coverage maintained during special leave without pay. If the staff member decides to retain coverage during the period of special leave without pay, the Insurance, Claims and Compensation Section (if payrolled at Headquarters) or the relevant administrative office (if payrolled elsewhere) MUST be informed directly in writing by the staff member of his or her intention at least one month in advance of the commencement of the special leave. At that time, the administrative office concerned will require evidence of the approval of the special leave, together with payment covering the full amount of the cost of the coverage retained (both the staff member's contribution as well as the Organization's share, since no subsidy is payable during such leave);

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6190

(b) Insurance dropped while on special leave without pay. Should a staff member decide not to retain insurance coverage while on special leave without pay, no action is required upon commencement of the special leave;

(c) Re-enrolment upon return to duty following special leave without pay. Regardless of whether a staff member has decided to retain or drop insurance coverage during a period of special leave without pay, it is essential that he or she re-enrol in the plan within 31 days of return to duty. Failure to do so will mean that the staff member will be unable to resume participation in the insurance plan until the following annual enrolment opportunity period.

Staff members assigned on mission

20. With regard to staff members going on mission assignment, it has been decided to continue to extend a special health insurance enrolment opportunity to such staff members. The provisions in this respect, which will apply to all staff members going on mission for six months or more, are as follows:

(a) Staff members who at present are NOT enrolled in the Van Breda plan will be allowed to enrol themselves and eligible family members. The insurance will become effective on the first day of the month in which the mission assignment commences. Enrolment in the plan in these circumstances must be completed PRIOR to the departure of the staff member on mission assignment;

(b) Staff members who elect to enrol in the Van Breda plan in the circumstances set out in subparagraph (a) above forgo the right to make any further change during the annual enrolment period taking place in the same calendar year as the commencement of the mission assignment. The next opportunity for these staff members to make any change in their insurance coverage will be at the time of the annual enrolment period of the following year;

(c) Staff members going on mission assignment who wish to enrol in the Van Breda plan or change their present coverage, as provided above, must present evidence to the Insurance, Claims and Compensation Section or to their administrative office, as the case may be, of the mission assignment and its duration.

Staff member married to another staff member

21. Staff members are reminded that in the case of a staff member married to another staff member, the insurance coverage, whether at the two-person or family level, must be carried by the higher-salaried staff member. It should also be noted that if one spouse retires from service with the Organization before the other spouse, the spouse who remains in active service must become the subscriber even if the retired spouse had been the subscriber up to the date of retirement and is eligible for after-service health insurance benefits following separation from service.

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Staff members with dependants residing in the United States

22. Staff members are reminded that the Van Breda plan is designed to provide medical, hospital and dental coverage for participants stationed outside the United States. Therefore, staff members stationed outside the United States but with covered eligible dependants residing in the United States should enrol instead in a Headquarters health insurance plan. It should be noted that, at Headquarters, dental coverage is a separate plan component for which specific application must be made.

Cessation of coverage of family members

23. The Insurance, Claims and Compensation Section at Headquarters or the relevant administrative office should be notified immediately in writing of changes in the staff member's family that result in a family member ceasing to be eligible, e.g., a spouse upon divorce or a child reaching the age of 25 years, marrying or taking up full-time employment. Staff members who wish to discontinue coverage of a family member under a United Nations plan for any other reason may do so at any time, although this is strongly discouraged. The responsibility for initiating the resulting change in coverage (e.g. from "staff member and spouse" to "staff member only" or from "family" to "staff member and spouse") rests with the staff member. It is in the interest of staff members to provide this notification promptly whenever changes in coverage occur in order to benefit from any reduction in premium contribution which may result. Any such change will be implemented on the first of the month following receipt of notification. No retroactive adjustments can be made as a result of failure to provide timely notification of any change to the Insurance, Claims and Compensation Section or administrative office.

After-service health insurance

24. Established policy in regard to eligibility to participate in the United Nations after-service health insurance programme, as well as the related administrative procedures, is set out in administrative instruction ST/AI/394, dated 19 May 1994. Staff members are reminded that, among the eligibility requirements for after-service health insurance coverage, they must be enrolled in a United Nations scheme at the time of separation from service. A minimum of 5 years of prior coverage in a United Nations or specialized agency health insurance scheme is necessary to qualify for unsubsidized after-service health insurance participation and 10 years of prior coverage for subsidized participation. In both cases, the staff member must be 55 years of age or over as of the date of separation. It should also be noted that only family members enrolled with the staff member at the time of separation are eligible for continued coverage under the after-service health insurance programme. Former staff members who reside in the United States are reminded that they are ineligible for participation in the Van Breda plan and that they must switch to a Headquarters plan within 31 days of taking up residence in the United States.

Conversion privilege

25. Participants who cease employment with the United Nations and who do not qualify for after-service health insurance benefits may arrange for medical coverage with Van Breda under an INDIVIDUAL CONTRACT, provided that application is made within 31 days of termination of coverage under the United Nations group policy. The conversion privilege, which is part of the United Nations group contract with Van Breda, means that the insurer cannot refuse to insure an applicant and that no certification of medical eligibility is required. The conversion privilege, however, does not mean that the same insurance premium rates or schedule of benefits in effect for the United Nations group policy will be offered in respect of individual insurance contracts. Participants should bear in mind, however, that under the conversion privilege, dependants may only apply for individual coverage at the same time as the staff member, upon cessation of employment with the United Nations. The spouse of a staff member whose eligibility for coverage under the United Nations group plan ceases as a result of divorce is eligible to apply for medical coverage with Van Breda under the above arrangements, so long as application is made within 31 days of termination of coverage under the United Nations group policy. Details concerning conversion to an individual insurance policy may be obtained by communicating directly with Van Breda at the following address:

J. Van Breda and Co. International
Plantin en Moretuslei 295
B-2140 Borgerhout
Antwerp, Belgium

Telex No.: BREDCO B 31788
Fax No.: 00 323 271 02 47 (facsimile transmission)
Telephone No.: 00 323 217 5111

III. CLAIMS AND INQUIRIES

Basis for claim reimbursement in United States dollars

26. Claim reimbursement is made in United States dollars, converted from the currency in which the hospital, medical or dental expenses have been incurred. Reimbursement in United States dollars is based on the United Nations operational rate of exchange in effect on the date the medical and dental expenses are incurred and, in the case of hospital expenses, on the date the hospital bill is rendered.

Where to address claims and benefit inquiries

27. Although the staff of the Insurance, Claims and Compensation Section is available to assist staff members in administrative matters concerning participation in the Van Breda plan, claims questions should always be taken up on the first instance directly with the insurance company concerned. The address and telephone, telex and fax numbers of Van Breda are provided in paragraph 25 above.

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28. Annex I to the present circular contains a summary of the benefits payable under the Van Breda plan.

29. Annex II contains a recapitulation of the provisions pertaining to hospitalization in the United States.

30. Annex III sets out relevant details concerning 16 surgical procedures for which a second opinion will be reimbursed in full.

ANNEX I

Van Breda insurance scheme

1. The Van Breda insurance scheme provides for reimbursement of medical, hospital and dental treatment costs up to a maximum of \$250,000 per insured participant per calendar year. In addition to the maximum reimbursement per calendar year, certain maxima per treatment, procedure or service may also be applied on the basis of a determination of "reasonable and customary" charges for the benefit at the place of treatment. Fees for treatments, procedures or services which may be considered by Van Breda to be excessive compared with prevailing fee levels will be reimbursed up to the reasonable and customary level for the geographical area in which such medical services are received.

2. The scheme is subject to the following reimbursement provisions and limitations:

(a) Under the basic coverage component, reimbursement in respect of medical treatment prescribed by qualified doctors is limited to 80 per cent of the costs incurred, including doctors' fees;

(b) Under the major medical coverage component, 80 per cent of the remaining unpaid costs is paid, subject to an annual deductible (co-payment) of \$200 per participant and \$600 per family;

(c) The following example illustrates how reimbursement in respect of basic coverage and major medical coverage operates:

	<u>United States dollars</u>
(i) Basic coverage	
Cost of medical treatment (if reasonable and customary)	3 200
Reimbursement under basic coverage (80 per cent)	- <u>2 560</u>
Residual (20 per cent)	640
(ii) Major Medical coverage	
Basis for Major Medical coverage (20 per cent residual remaining under basic coverage)	640
Annual (calendar year) deductible	- <u>200</u>
Basis for Major Medical coverage after application of deductible	440
Reimbursement under Major Medical coverage:	
80 per cent of expenses in excess of deductible (\$440 x 80 per cent)	352

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United States
dollars

(iii) Total reimbursement (recapitulation of (i) and (ii))	
Basic coverage	2 560
Major Medical coverage	+ 352
Total reimbursement	2 912
Participant's total out-of-pocket expense	288

(d) The cost of hospital services (excluding doctors' fees) is reimbursed at the rate of 100 per cent of the costs involved, including such items as bed and board, general nursing service, use of the operating room and equipment, use of the recovery room and equipment, laboratory examinations, X-ray examinations and drugs and medicines for use in the hospital. For hospitalization in Europe and in North America, the standard of accommodation is limited to semi-private room care, i.e., two or more patients in the same room, except that, under the following circumstances, subject to the provision of documentation satisfactory to the insurer, private-room care will be reimbursed in full up to the daily limit specified in paragraph 2 (e) (i) below:

- (i) When the nature and gravity of the illness requires private-room care and the need for such care is substantiated by the attending physician;
- (ii) When the patient is admitted on an emergency basis to a hospital that has semi-private accommodation but none is available at the time;
- (iii) When the patient is admitted to a hospital that does not have any semi-private accommodation, i.e., it has no standard of accommodation other than private rooms and general wards.

Europe and North America are defined for this purpose as Europe, including Malta, Cyprus and Turkey (European portion), and Canada and the United States of America;

(e) With effect from 1 January 1996, reimbursement for hospital accommodation expenses has been subject to daily room rate caps, as follows:

- (i) Europe and North America. The maximum reimbursement per day for hospital accommodation (room and board) in Europe and North America is \$600;
- (ii) Israel. The daily room rate cap applicable in Israel is \$700;
- (iii) Rest of the world. A \$330 per day reimbursement ceiling is applicable to all locations other than Europe, North America and Israel;

(f) The cost of dental treatment is reimbursable at the rate of 80 per cent up to a maximum sum of \$750 per insured participant per calendar

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year. The cost of dento-facial orthopaedics is covered only if the treatment is started before the patient has reached his or her fifteenth birthday, and reimbursement is provided only during a treatment period of four years;

(g) The cost of out-patient mental health treatment by a psychiatrist is covered, as well as the services of a licensed psychoanalyst, a licensed psychologist or a licensed psychiatric social worker. The cost in respect of insured participants is reimbursable at the rate of 50 per cent and to a maximum reimbursement of \$1,000 per insured person in any 12-month period;

(h) The cost of treatment for substance (alcohol and/or drug) abuse is covered, under certain conditions. The coverage includes in-patient treatment for detoxification and rehabilitation at a facility certified for such treatment, subject to the prior approval of Van Breda. Such treatment will normally be limited to 30 days in a calendar year. In addition, the plan covers out-patient counselling for the purpose of diagnosis and treatment. The costs of out-patient counselling are reimbursable at the rate of 50 per cent and to a maximum reimbursement of \$1,000 for not more than 50 visits per insured person in any consecutive 12-month period. Of these 50 visits, up to 20 may be allocated to counsel covered family members of the participant undergoing treatment for the substance abuse problem;

(i) The cost of radiological treatment is reimbursable at the rate of 80 per cent only if the patient has been referred to the specialist by the doctor in attendance;

(j) The cost of hearing aids and optical lenses is covered, with the following limitations:

- (i) Hearing aids. Reimbursement at 80 per cent (only basic coverage, no major medical coverage), with a maximum of \$300 per apparatus, including the related examination, and a maximum of one apparatus per ear in any period of three years;
- (ii) Optical lenses. Reimbursement at 80 per cent (only basic coverage, no major medical coverage), with a maximum of \$30 per lens and a maximum of two lenses in any period of two years. These maxima will also apply to surgical or laser treatment for the correction of refraction in respect of myopia.

In order to be entitled to these benefits, a staff member or the participating family member will have to have been a participant in the Van Breda scheme for one year or more;

(k) The cost of two blood tests per year for the human immunodeficiency virus (HIV).

3. The insurance scheme does not cover:

- (a) Periodic preventive health examinations;

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6190

(b) Examination of the eyes for optical lenses (eyeglasses or contact lenses);

(c) Injuries as a consequence of voluntary or intentional action on the part of the insured participant;

(d) Insured participants who are mobilized or who volunteer for military service in time of war;

(e) Injuries resulting from motor-vehicle racing or dangerous competitions in respect of which betting is allowed (normal sports competitions are covered);

(f) The consequences of insurrections or riots if, by taking part, the insured participant has broken the applicable laws; and the consequences of brawls, except in cases of self-defence;

(g) Spa cures, rejuvenation cures or cosmetic treatment (cosmetic surgery is covered, however, where it is necessary as the result of an accident for which coverage is provided);

(h) The direct or indirect results of explosions, heat release or irradiation produced by transmutation of the atomic nucleus or by radioactivity or resulting from radiation produced by the artificial acceleration of nuclear particles;

(i) Expenses for, or in connection with, travel or transportation, whether by ambulance or otherwise, except that charges for professional ambulance service used to transport the insured participant between the place where he or she is injured by an accident or stricken by disease and the first hospital where treatment is given will not be excluded;

(j) In-vitro fertilization.

4. In respect of 16 surgical procedures listed in annex III to the present circular, the cost of a second opinion will be reimbursed at 100 per cent and, should a participant desire a third opinion, the cost of that opinion will also be reimbursed at the rate of 100 per cent. No penalty will be assessed in cases in which surgery is performed without the benefit of a second opinion.

5. Subscribers should note that claims for reimbursement must be submitted to Van Breda no later than two years from the date on which the medical expenses were incurred. CLAIMS RECEIVED BY VAN BREDA LATER THAN TWO YEARS AFTER THE DATE ON WHICH THE EXPENSE WAS INCURRED WILL NOT BE ELIGIBLE FOR REIMBURSEMENT.

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6190

ANNEX II

Provisions pertaining to hospitalization in the United States

1. While a participant is free to seek admission to a United States hospital without providing any notification to Van Breda, reimbursement for such hospitalization will be subject to a limit of \$600 in respect of the daily semi-private room rate. Thus, if a participant chooses a hospital at which the daily semi-private room rate exceeds \$600, the cost of the daily room rate above \$600 will be borne entirely by the participant. There will be no change in the reimbursement for other services. In this connection, it should be noted that hospital costs vary considerably throughout the United States, and costs may exceed the \$600 reimbursement ceiling, particularly in parts of California, Florida, Massachusetts, New York, Texas and Washington, D.C., where the costs may be much higher in certain hospitals.

2. The \$600 LIMIT WILL NOT APPLY to semi-private hospital accommodation in three specific circumstances:

(a) In connection with medical evacuation to any hospital in the United States authorized by the United Nations Medical Director;

(b) In cases of bona fide medical emergency arising while in the United States;

(c) In situations where the necessary medical treatment can only be provided at a hospital where the daily semi-private room rate exceeds \$600. To avoid the obligation to meet daily room-rate expenses in excess of \$600 in such cases, confirmation must be obtained from Van Breda prior to the hospital admission.

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6190

ANNEX III

Second surgical opinion requirement

1. With effect from 1 January 1992, participants were no longer required to obtain a second opinion prior to undergoing surgery. As of that date, no reimbursement penalty has been assessed by Van Breda for failure to provide evidence of a second opinion in connection with any surgery. However, whenever feasible, participants are encouraged to seek a second surgical opinion, particularly for the 16 surgical procedures listed below. For this reason, Van Breda will continue to reimburse at 100 per cent the cost of a second opinion rendered by a qualified physician in connection with these 16 surgical procedures. If the second opinion does not agree with the first, a third opinion may be sought, and will also be fully reimbursed. Please note that the second opinion must be provided by a physician not associated or in practice with the physician who originally recommended or proposed to perform the surgery.

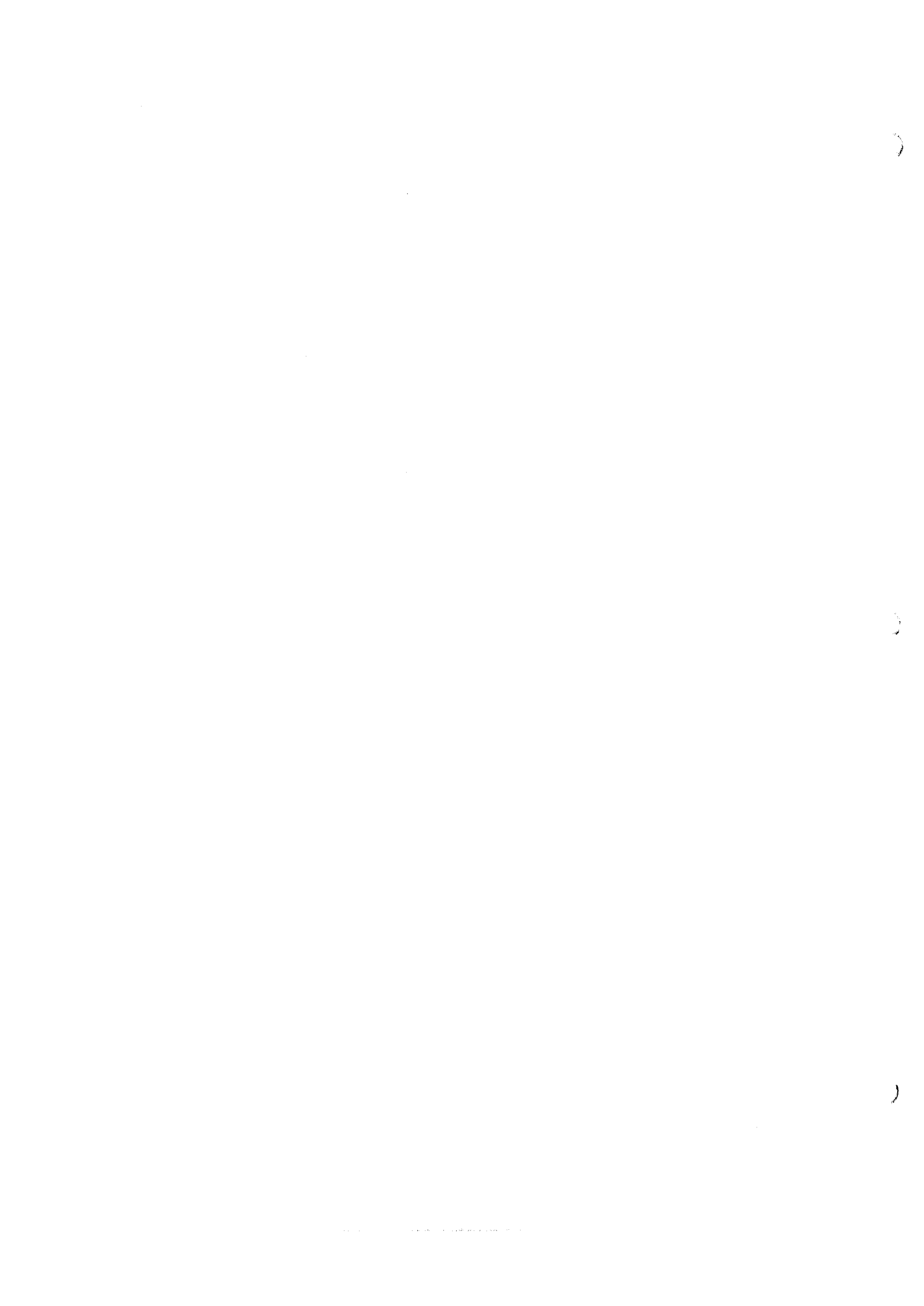
2. The 16 surgical procedures for which second opinions will be reimbursed at the rate of 100 per cent are:

<u>Procedure</u>	<u>Explanation</u>
1. Bunionectomy	Removal of bunions
2. Cholecystectomy	Removal of gall bladder
3. Dilation and curettage	Dilation of cervix and scraping of uterus
4. Excision of cataracts	Removal of cataracts
5. Haemorrhoidectomy	Removal of haemorrhoids
6. Hernia (inguinal) repair	Repair of hernia in the groin
7. Hysterectomy	Removal of uterus
8. Knee surgery	Knee operation
9. Laminectomy	Removal of part of spine
10. Mastectomy: partial or complete	Partial or complete removal of breast tissue
11. Prostatectomy	Removal of prostate
12. Septo-rhinoplasty	Nose surgery for functional improvement

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6190

<u>Procedure</u>	<u>Explanation</u>
13. Spinal fusion	Surgical welding of spine segments
14. Tonsillectomy and/or adenoidectomy	Removal of tonsils and/or adenoids
15. Varicose veins	Removal and tying of varicose veins
16. Coronary artery bypass	Heart surgery to bypass one or more blocked arteries feeding the heart





Secretariat

6191

ST/IC/1997/91
31 December 1997

INFORMATION CIRCULAR*

To: Members of the staff at duty stations away from Headquarters

From: The Controller

Subject: VAN BRED A MEDICAL, HOSPITAL AND DENTAL INSURANCE**

I. RENEWAL PROVISIONS FOR 1998

1. The purpose of the present information circular is to set out the provisions concerning renewal of the Van Breda medical, hospital and dental insurance plan for staff members at offices away from Headquarters, which will take effect on 1 January 1998.

2. Heretofore, the annual information circular setting out the premium levels, contribution rates and description of benefits pertaining to the Van Breda plan also included a section dealing with eligibility criteria and enrolment rules. By Secretary-General's bulletins ST/SGB/1997/1 and ST/SGB/1997/2 dated 28 May 1997, the Secretary-General introduced a new system for the promulgation of administrative issuances and information circulars. Therefore, in line with the new system, the present circular is confined to the announcement of premium, contribution and benefit information relating to the Van Breda plan. A separate administrative instruction will be issued in due course which will set out eligibility criteria and enrolment rules and procedures governing all United Nations contributory health insurance plans. Until the new administrative instruction is issued, the eligibility criteria and enrolment rules pertaining to the Van Breda plan as set out in information circular ST/IC/1996/78 dated 23 December 1996 (paras. 8-24) will remain in effect.

* Expiration date of the present information circular: 31 December 1998.

** Personnel Manual index No. 6191.



6191

3. The key features of the renewal for 1998 are as follows:

(a) Premium levels

Owing to the favourable financial experience of the plan in 1997, premium levels for 1998 are reduced by 15 per cent for the 12-month policy period commencing on 1 January 1998;

(b) Benefits

- (i) With effect from 1 January 1998, reimbursement rates for radiological treatment will be improved to include major medical coverage, not just basic (80 per cent) coverage as heretofore;
- (ii) The rate of reimbursement of out-patient mental health expenses is raised from 50 per cent to 80 per cent of the reasonable and customary fee level. The annual maximum reimbursement of US\$ 1,000 per insured person in any 12-month period remains unchanged;
- (iii) With the exception of the above, the benefit structure of the Van Breda plan will be the same as in 1997.

4. The Van Breda plan is a global scheme covering staff members who reside in all parts of the world, except the United States of America. The annual cost of the plan reflects claims incurred for hospitalization and medical treatment in all parts of the world and reflects widely varying price levels. If levels of plan utilization and the charges levied by hospitals and other medical providers were comparable throughout the world, then loss ratios, that is, the ratio of claim reimbursement to premium paid, would be more or less equal among all locations at which there were significant numbers of participants.

5. In information circular ST/IC/1996/78 relating to the renewal of the Van Breda plan for 1997, it was announced that premium rates for subscribers based in Chile had to be raised further over the 1996 premium rates applicable to that country owing to the continued high loss ratio that had been incurred. The special measures adopted in 1996 and 1997 combined with cost containment initiatives adopted with respect to medical costs in Chile have led to an amelioration of the loss ratio position. In consequence, the premium reduction of 15 per cent achieved for the Van Breda plan as a whole in 1998 is also applicable to the premium structure for Chile.

6. In line with the methodology used in the calculation of staff contributions towards premiums for other United Nations insurance schemes, the premium contributions of participants in the Van Breda scheme are determined as a percentage of their respective medical net salaries by application of the rates set out in paragraph 7 below. The percentage contribution rates have been computed to take account of the requirement for an overall 50:50 cost-sharing relationship between the Organization and participants in the plan. Medical net salary consists of gross salary, less staff assessment, plus language allowance, non-resident's allowance and post adjustment, as applicable. In no case will staff contributions be greater than 85 per cent of the premiums shown below.

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6191

7. The schedule of premiums that will become effective on 1 January 1998, as well as the related staff contribution rates, are set out in the table below:

Type of coverage	Monthly premiums (United States dollars)		Percentages of medical net salary	
	1997	Effective 1 January 1998	1997	Effective 1 January 1998
A. <u>All duty stations (other than Chile)</u>				
Staff member only	102.00	87.00	1.44	1.30
Staff member and one family member	216.00	184.00	2.26	2.03
Staff member and two or more eligible family members	356.00	303.00	3.60	3.24
B. <u>Chile</u>				
Staff member only	156.00	133.00	2.19	1.97
Staff member and one family member	330.00	281.00	3.57	3.21
Staff member and two or more eligible family members	545.00	463.00	5.66	5.09

Hospital room rate maxima

8. The daily room rate maxima for hospital accommodation reimbursable under the plan and introduced on 1 January 1996 will continue, as follows:

(a) Europe and North America. The maximum reimbursement per day for hospital accommodation (room and board) in Europe and North America is \$600. Details concerning the application of the \$600 per day limit for hospitalization in the United States are set out in annex II to the present circular. Semi-private room accommodation is the normal standard in Europe and North America. Only under the following conditions, subject to the provision of documentation satisfactory to the insurer, will private-room care be reimbursed in full, up to the \$600 daily limit:

- (i) When the nature and gravity of the illness requires private-room care and the need for such care is substantiated by the attending physician;
- (ii) When the patient is admitted on an emergency basis to a hospital that has semi-private accommodation but none is available at the time;

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6191

(iii) When the patient is admitted to a hospital that does not have any semi-private accommodation, that is, it has no standard of accommodation other than private rooms and general wards;

(b) Israel. The daily room rate cap applicable in Israel is \$700. This reimbursement ceiling conforms to the nationally uniform semi-private hospital accommodation rate in that country;

(c) Rest of the world. A \$330 per day reimbursement ceiling is applicable to all locations other than Europe, North America and Israel.

II. CONVERSION PRIVILEGES

9. Participants who cease employment with the United Nations and who do not qualify for after-service health insurance benefits may arrange for medical coverage with Van Breda under an individual contract, provided that application is made within 31 days of termination of coverage under the United Nations group policy. The conversion privilege, which is part of the United Nations group contract with Van Breda, means that the insurer cannot refuse to insure an applicant and that no certification of medical eligibility is required. The conversion privilege, however, does not mean that the same insurance premium rates or schedule of benefits in effect for the United Nations group policy will be offered in respect of individual insurance contracts. Participants should bear in mind, however, that under the conversion privilege, dependants may only apply for individual coverage at the same time as the staff member, upon cessation of employment with the United Nations. The spouse of a staff member whose eligibility for coverage under the United Nations group plan ceases as a result of divorce is eligible to apply for medical coverage with Van Breda under the above arrangements, so long as application is made within 31 days of termination of coverage under the United Nations group policy. Details concerning conversion to an individual insurance policy may be obtained by communicating directly with Van Breda at the following address:

J. Van Breda and Co. International
Plantin en Moretuslei 295
B-2140 Borgerhout
Antwerp, Belgium

Telex No.: BREDCO B 31788
Fax No.: 00 323 271 02 47 (facsimile transmission)
Telephone No.: 00 323 217 5111

III. CLAIMS AND INQUIRIES

Basis for claim reimbursement in United States dollars

10. Claim reimbursement is made in United States dollars, converted from the currency in which the hospital, medical or dental expenses have been incurred. Reimbursement in United States dollars is based on the United Nations operational rate of exchange in effect on the date the medical and dental

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6191

expenses are incurred and, in the case of hospital expenses, on the date the hospital bill is rendered.

Where to address claims and benefit inquiries

11. Although the staff of the Insurance Section is available to assist staff members in administrative matters concerning participation in the Van Breda plan, claims questions should always be taken up on the first instance directly with the insurance company concerned. The address and telephone, telex and fax numbers of Van Breda are provided in paragraph 9 above.

12. Annex I to the present circular contains a summary of the benefits payable under the Van Breda plan.

13. Annex II contains a recapitulation of the provisions pertaining to hospitalization in the United States.

14. Annex III sets out relevant details concerning 16 surgical procedures for which a second opinion will be reimbursed in full.

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6191

Annex I

VAN BREDA INSURANCE SCHEME

1. The Van Breda insurance scheme provides for reimbursement of medical, hospital and dental treatment costs up to a maximum of \$250,000 per insured participant per calendar year. In addition to the maximum reimbursement per calendar year, certain maxima per treatment, procedure or service may also be applied on the basis of a determination of "reasonable and customary" charges for the benefit at the place of treatment. Fees for treatments, procedures or services that may be considered by Van Breda to be excessive compared with prevailing fee levels will be reimbursed up to the reasonable and customary level for the geographical area in which such medical services are received.

2. The scheme is subject to the following reimbursement provisions and limitations:

(a) Under the basic coverage component, reimbursement in respect of medical treatment prescribed by qualified doctors is limited to 80 per cent of the costs incurred, including doctors' fees;

(b) Under the major medical coverage component, 80 per cent of the remaining unpaid costs is paid, subject to an annual deductible (co-payment) of \$200 per participant and \$600 per family;

(c) The following example illustrates how reimbursement in respect of basic coverage and major medical coverage operates:

	<u>United States dollars</u>
(i) Basic coverage	
Cost of medical treatment (if reasonable and customary)	3 200
Reimbursement under basic coverage (80 per cent)	- 2 560
Residual (20 per cent)	640
(ii) Major Medical coverage	
Basis for Major Medical coverage (20 per cent residual remaining under basic coverage)	640
Annual (calendar year) deductible	- 200
Basis for Major Medical coverage after application of deductible	440
Reimbursement under Major Medical coverage: 80 per cent of expenses in excess of deductible (\$440 x 80 per cent)	352
(iii) Total reimbursement (recapitulation of (i) and (ii))	
Basic coverage	2 560
Major Medical coverage	+ 352
Total reimbursement	2 912
Participant's total out-of-pocket expense	288

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(d) The cost of hospital services (excluding doctors' fees) is reimbursed at the rate of 100 per cent of the costs involved, including such items as bed and board, general nursing service, use of the operating room and equipment, use of the recovery room and equipment, laboratory examinations, X-ray examinations and drugs and medicines for use in the hospital. For hospitalization in Europe and in North America, the standard of accommodation is limited to semi-private room care, that is, two or more patients in the same room, except that, under the following circumstances, subject to the provision of documentation satisfactory to the insurer, private-room care will be reimbursed in full up to the daily limit specified in paragraph 2 (e) (i) below:

- (i) When the nature and gravity of the illness requires private-room care and the need for such care is substantiated by the attending physician;
- (ii) When the patient is admitted on an emergency basis to a hospital that has semi-private accommodation but none is available at the time;
- (iii) When the patient is admitted to a hospital that does not have any semi-private accommodation, that is, it has no standard of accommodation other than private rooms and general wards.

Europe and North America are defined for this purpose as Europe, including Malta, Cyprus and Turkey (European portion), and Canada and the United States of America;

(e) With effect from 1 January 1996, reimbursement for hospital accommodation expenses has been subject to daily room rate caps. These caps will be maintained in 1998, as follows:

- (i) Europe and North America. The maximum reimbursement per day for hospital accommodation (room and board) in Europe and North America is \$600;
- (ii) Israel. The daily room rate cap applicable in Israel is \$700;
- (iii) Rest of the world. A \$330 per day reimbursement ceiling is applicable to all locations other than Europe, North America and Israel;

(f) The cost of dental treatment is reimbursable at the rate of 80 per cent up to a maximum sum of \$750 per insured participant per calendar year. The cost of dento-facial orthopaedics is covered only if the treatment is started before the patient has reached his or her fifteenth birthday, and reimbursement is provided only during a treatment period of four years;

(g) The cost of out-patient mental health treatment by a psychiatrist is covered, as well as the services of a licensed psychoanalyst, a licensed psychologist or a licensed psychiatric social worker. With effect from 1 January 1998, the cost in respect of insured participants is reimbursable at the rate of 80 per cent of the reasonable and customary fee level and to a maximum reimbursement of \$1,000 per insured person in any 12-month period;

(h) The cost of treatment for substance (alcohol and/or drug) abuse is covered, under certain conditions. The coverage includes in-patient treatment for detoxification and rehabilitation at a facility certified for such treatment, subject to the prior approval of Van Breda. Such treatment will normally be limited to 30 days in a calendar year. In addition, the plan covers out-patient counselling for the purpose of diagnosis and treatment. The costs of out-patient counselling are reimbursable at the rate of 50 per cent and to a maximum reimbursement of \$1,000 for not more than 50 visits per insured person in any consecutive 12-month period. Of these 50 visits, up to 20 may be allocated to counsel covered family members of the participant undergoing treatment for the substance abuse problem;

(i) With effect from 1 January 1998, the cost of radiological treatment is reimbursable at the rate of 80 per cent of the reasonable and customary fee level under the basic component and a further 80 per cent under the major medical component, provided that the patient has been referred to the specialist by the doctor in attendance;

(j) The cost of hearing aids and optical lenses is covered, with the following limitations:

(i) Hearing aids. Reimbursement at 80 per cent (only basic coverage, no major medical coverage), with a maximum of \$300 per apparatus, including the related examination, and a maximum of one apparatus per ear in any period of three years;

(ii) Optical lenses. Reimbursement at 80 per cent (only basic coverage, no major medical coverage), with a maximum of \$30 per lens and a maximum of two lenses in any period of two years. These maxima will also apply to surgical or laser treatment for the correction of refraction in respect of myopia.

In order to be entitled to these benefits, a staff member or the participating family member will have to have been a participant in the Van Breda scheme for one year or more;

(k) The cost of two blood tests per year for the human immunodeficiency virus (HIV).

3. The insurance scheme does not cover:

(a) Periodic preventive health examinations;

(b) Examination of the eyes for optical lenses (eyeglasses or contact lenses);

(c) Injuries as a consequence of voluntary or intentional action on the part of the insured participant;

(d) Insured participants who are mobilized or who volunteer for military service in time of war;

6191

(e) Injuries resulting from motor-vehicle racing or dangerous competitions in respect of which betting is allowed (normal sports competitions are covered);

(f) The consequences of insurrections or riots if, by taking part, the insured participant has broken the applicable laws; and the consequences of brawls, except in cases of self-defence;

(g) Spa cures, rejuvenation cures or cosmetic treatment (cosmetic surgery is covered, however, where it is necessary as the result of an accident for which coverage is provided);

(h) The direct or indirect results of explosions, heat release or irradiation produced by transmutation of the atomic nucleus or by radioactivity or resulting from radiation produced by the artificial acceleration of nuclear particles;

(i) Expenses for, or in connection with, travel or transportation, whether by ambulance or otherwise, except that charges for professional ambulance service used to transport the insured participant between the place where he or she is injured by an accident or stricken by disease and the first hospital where treatment is given will not be excluded;

(j) In-vitro fertilization.

4. In respect of 16 surgical procedures listed in annex III to the present circular, the cost of a second opinion will be reimbursed at 100 per cent and, should a participant desire a third opinion, the cost of that opinion will also be reimbursed at the rate of 100 per cent. No penalty will be assessed in cases in which surgery is performed without the benefit of a second opinion.

5. Subscribers should note that claims for reimbursement must be submitted to Van Breda no later than two years from the date on which the medical expenses were incurred. Claims received by Van Breda later than two years after the date on which the expense was incurred will not be eligible for reimbursement.

6191

Annex II

PROVISIONS PERTAINING TO HOSPITALIZATION IN THE UNITED STATES

1. While a participant is free to seek admission to a United States hospital without providing any notification to Van Breda, reimbursement for such hospitalization will be subject to a limit of \$600 in respect of the daily semi-private room rate. Thus, if a participant chooses a hospital at which the daily semi-private room rate exceeds \$600, the cost of the daily room rate above \$600 will be borne entirely by the participant. There will be no change in the reimbursement for other services. In this connection, it should be noted that hospital costs vary considerably throughout the United States, and costs may exceed the \$600 reimbursement ceiling, particularly in parts of California, Florida, Massachusetts, New York, Texas and Washington, D.C., where the costs may be much higher in certain hospitals.

2. The \$600 limit will not apply to semi-private hospital accommodation in three specific circumstances:

(a) In connection with medical evacuation to any hospital in the United States authorized by the United Nations Medical Director;

(b) In cases of bona fide medical emergency arising while in the United States;

(c) In situations where the necessary medical treatment can only be provided at a hospital where the daily semi-private room rate exceeds \$600. To avoid the obligation to meet daily room-rate expenses in excess of \$600 in such cases, confirmation must be obtained from Van Breda prior to the hospital admission.

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6191

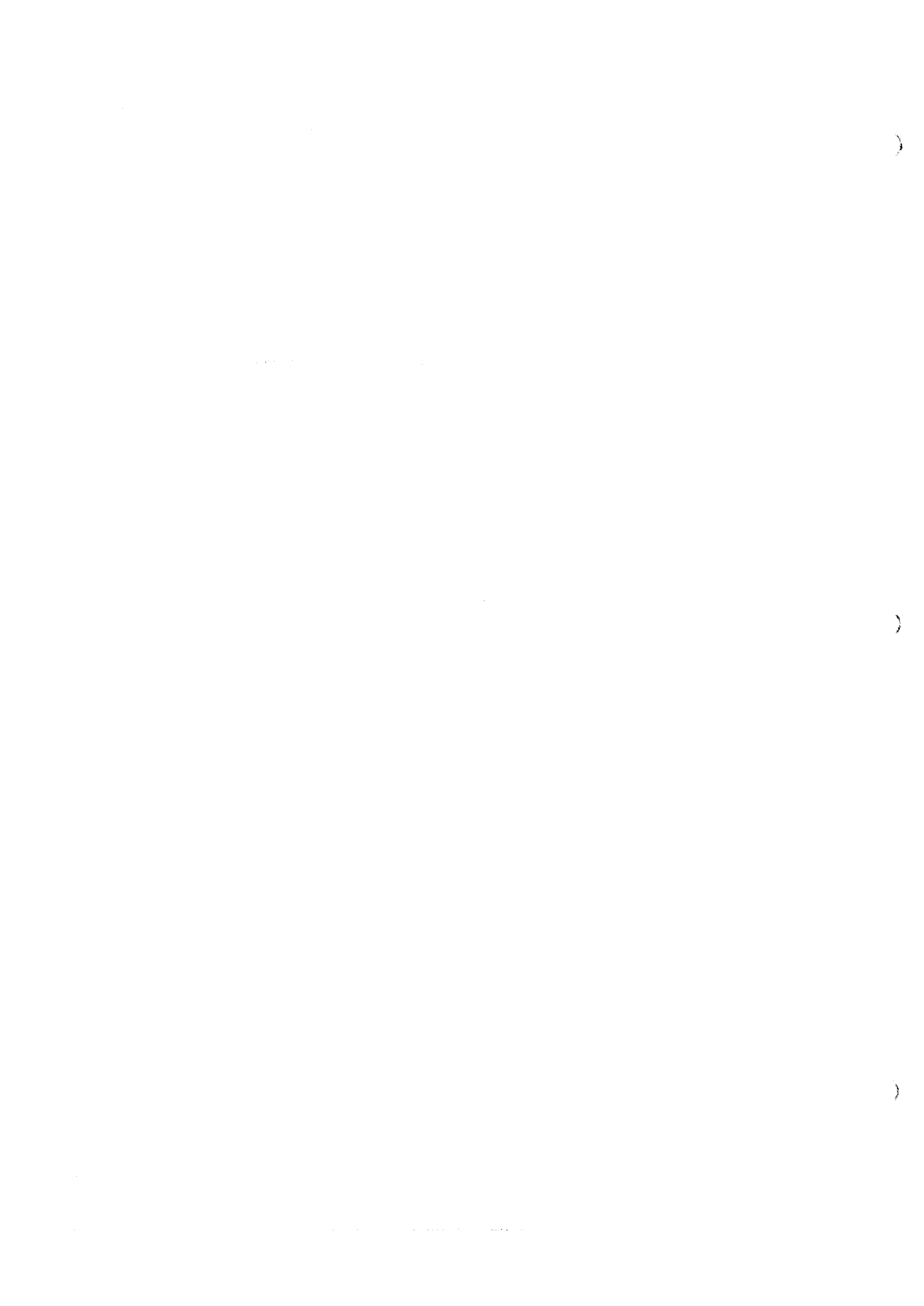
Annex III

SECOND SURGICAL OPINION REQUIREMENT

1. With effect from 1 January 1992, participants were no longer required to obtain a second opinion prior to undergoing surgery. As of that date, no reimbursement penalty has been assessed by Van Breda for failure to provide evidence of a second opinion in connection with any surgery. However, whenever feasible, participants are encouraged to seek a second surgical opinion, particularly for the 16 surgical procedures listed below. For this reason, Van Breda will continue to reimburse at 100 per cent the cost of a second opinion rendered by a qualified physician in connection with these 16 surgical procedures. If the second opinion does not agree with the first, a third opinion may be sought, and will also be fully reimbursed. Please note that the second opinion must be provided by a physician not associated or in practice with the physician who originally recommended or proposed to perform the surgery.

2. The 16 surgical procedures for which second opinions will be reimbursed at the rate of 100 per cent are:

<u>Procedure</u>	<u>Explanation</u>
1. Bunionectomy	Removal of bunions
2. Cholecystectomy	Removal of gall bladder
3. Dilation and curettage	Dilation of cervix and scraping of uterus
4. Excision of cataracts	Removal of cataracts
5. Haemorrhoidectomy	Removal of haemorrhoids
6. Hernia (inguinal) repair	Repair of hernia in the groin
7. Hysterectomy	Removal of uterus
8. Knee surgery	Knee operation
9. Laminectomy	Removal of part of spine
10. Mastectomy: partial or complete	Partial or complete removal of breast tissue
11. Prostatectomy	Removal of prostate
12. Septo-rhinoplasty	Nose surgery for functional improvement
13. Spinal fusion	Surgical welding of spine segments
14. Tonsillectomy and/or adenoidectomy	Removal of tonsils and/or adenoids
15. Varicose veins	Removal and tying of varicose veins
16. Coronary artery bypass	Heart surgery to bypass one or more blocked arteries feeding the heart





Secretariat 7061

ST/AI/280/Rev.6/Amend.6
12 February 1997

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: Assistant Secretary-General for Human Resources Management

Subject: SPECIAL ENTITLEMENTS FOR STAFF MEMBERS
SERVING AT DESIGNATED DUTY STATIONS*

1. The International Civil Service Commission (ICSC), upon the recommendation of the tripartite working group on the classification of duty stations according to conditions of life and work, has issued a new list of consolidated entitlements for designated duty stations, with effect 1 January 1997, unless otherwise indicated.
2. Internationally recruited staff are eligible for such entitlements based on the classification rating of their duty station through the mobility and hardship allowance, as well as additional education grant travel and/or additional shipment entitlements, unless otherwise indicated.
3. Those duty stations are listed in annex I to the present amendment, which supersedes the relevant parts of annex I to instruction ST/AI/280/Rev.6/Amend.5.
4. A "reserve list" of duty stations is shown in annex II to the present instruction, superseding the one contained in annex II to instruction ST/AI/280/Rev.6/Amend.5. This list specifies those locations where staff are no longer assigned and where United Nations common system activities have ceased.
5. A list of duty stations at which staff are entitled to reimbursement for costs of basic medical examinations for accompanying family members is shown in annex III to the present instruction.

* Personnel Manual index No. 7061.



7061

Annex I

LIST OF DUTY STATIONS

(Effective 1 January 1997)

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
AFGHANISTAN			
Bamyan	E	X	X
Faizabad	E	X	X
Herat	E	X	X
Jalalabad	E	X	X
Kabul	E	X	X
Kandahar	E	X	X
Khowst	E	X	X
Mazar-I-Sharif	E	X	X
ALBANIA			
Tirana	C	X	X
ALGERIA			
Algiers	E	X	X
ANGOLA			
Huambo	E	X	X
Kuito Bie	E	X	X
Lobito*	E	X	X
Luanda*	E	X	X
Lubango	E	X	X
Luena	E	X	X
Malanje ^a	E	X	X
Namibe	E	X	X
Sumbe (N'Gunza)	E	X	X
Tombwa	E	X	X
Uíge	E	X	X
ANGUILLA			
Anguilla	A	X	-
ANTIGUA			
Antigua	A	-	-
ARGENTINA			
Buenos Aires	A	-	-
ARMENIA			
Erevan	E	X	X
AZERBAIJAN			
Baku*	C	X	X
BAHAMAS			
Bahama	A	-	-
BAHRAIN			
Bahrain	B	-	-
Manama	B	-	-

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Duty station	Category	Additional education grant travel	Additional shipment of personal effects
BANGLADESH			
Chittagong	C	X	X
Cox's Bazaar	D	X	X
Dhaka	C	-	X
Khulna	D	X	X
Mymensingh	D	X	X
Nawabganj	D	X	X
BARBADOS			
Bridgetown	A	-	-
BELARUS			
Minsk	B	X	X
BELIZE			
Belize City	C	X	-
Belmopan	C	X	X
BENIN			
Bohicon	C	X	X
Cotonou	B	X	-
Natitingou	D	X	X
Nikki	D	X	X
Parakou	D	X	X
Pehunco	E	X	X
Porto-Novo	B	X	-
Tanguieta ^a	D	X	X
BHUTAN			
Kanglung (Carglung)	E	X	X
Khangma	E	X	X
Thimphu	D	X	X
BOLIVIA			
Antaquilla	E	X	X
Chimore	D	X	X
Cochabamba	B	-	-
Coroico	C	X	-
La Paz	B	-	-
Machareti	E	X	X
Oruro	B	X	-
Potosí	C	X	X
Samaipata	D	X	X
Santa Cruz	B	-	-
Sucre	B	X	-
Tarija	C	X	X
Villa Tunari	C	X	X
Villamontes	D	X	X
BOSNIA AND HERZEGOVINA			
Sarajevo	E	X	X
Tuzla	E	X	X

061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
BOTSWANA			
Gaborone	A	X	-
BRAZIL			
Aracajú	A	X	-
Belo Horizonte	A	-	-
Brasília	A	-	-
Campinas	A	-	-
Curitiba	A	-	-
Guanambi	A	X	-
Natal	A	X	-
Petrolina/Pernambuco	A	X	-
Porto Velho	B	X	-
Recife	A	-	-
Rio de Janeiro	A	-	-
São Paulo	A	-	-
BRITISH VIRGIN ISLANDS			
Road Town	A	-	-
Tortola	A	-	-
BULGARIA			
Sofia*	B	X	X
BURKINA FASO			
Bobo-Dioulasso	C	X	-
Dori	E	X	X
Ouagadougou	C	-	-
BURUNDI			
Bujumbura	D	X	X
Bururi	C	X	X
Cankuzo	C	X	X
Gisozi	C	X	X
Gitega	C	X	X
Karuzi	C	X	X
Kayanza	C	X	X
Kirundo	E	X	X
Makamba	C	X	X
Muyinga	D	X	X
Ngozi	D	X	X
Ruyigi	C	X	X
CAMBODIA			
Battambang	E	X	X
Phnom Penh	D	X	X
Pursat	E	X	X
Rattanakiri	E	X	X
Siem Reap	E	X	X
Sisophon	E	X	X
CAMEROON			
Yaoundé	B	X	-

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
CAPE VERDE			
Mindelo	C	X	X
Praia	C	X	X
CENTRAL AFRICAN REPUBLIC			
Bangui	D	X	X
Bossangoa/Soumbé	D	X	X
Kongbo	D	X	X
M'boki	E	X	X
Obo	D	X	X
Yaloké	E	X	X
CHAD			
Abéché	E	X	X
Ati	E	X	X
Bol	E	X	X
Lai	E	X	X
Mao	E	X	X
Mongo	E	X	X
Ndjamena	D	X	X
Sarh	D	X	X
CHILE			
Santiago	A	-	-
CHINA			
Beijing	B	-	X
Fuzhou (Fujian)	D	X	X
Suzhou	C	X	X
Tianjin	D	X	X
COLOMBIA			
Cartagena	A	X	-
Santa Fé de Bogotá	B	-	-
COMOROS			
Moroni/Grande Comore	D	X	X
CONGO			
Brazzaville	C	X	-
COOK ISLANDS			
Rarotonga	B	X	X
COSTA RICA			
San José	A	-	-
CÔTE D'IVOIRE			
Abidjan	B	-	-
Bouaké	C	X	X
Danané*	D	X	X
Guiglo ^a	D	X	X
Odienné	D	X	X
Tabou	D	X	X
Yamoussoukro	B	X	-

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
CROATIA			
Knin	C	X	X
Split	B	X	X
Zagreb	A	X	-
CUBA			
Havana	B	-	X
CYPRUS			
Nicosia	A	-	-
CZECH REPUBLIC			
Prague	A	X	-
DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA			
Pyongyang	D	X	X
DJIBOUTI			
Ali-Sabieh	D	X	X
Dikhil	D	X	X
Djibouti	C	-	-
Tadjoura	D	X	X
DOMINICA			
Roseau	A	X	-
DOMINICAN REPUBLIC			
Puerto Plata	A	X	-
Santo Domingo	A	-	-
ECUADOR			
Cuenca	B	X	-
Guayaquil	B	-	-
Quito	B	-	-
EGYPT			
Alexandria	A	-	-
Beni Suef	B	X	X
Cairo	A	-	-
El Arish	B	X	X
Giza	A	-	-
Ismailia	A	X	-
EL SALVADOR			
San Miguel	C	X	-
San Salvador ^b	C	-	-
San Vicente	C	X	-
EQUATORIAL GUINEA			
Acurenam	E	X	X
Bata	E	X	X
Ebebeyin	D	X	X
Malabo	E	X	X

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
ERITREA			
Asmara	C	X	X
Assab	D	X	X
Massawa	D	X	X
Tessenei ^a	E	X	X
ESTONIA			
Tallinn	A	X	-
ETHIOPIA			
Addis Ababa ^b	C	X	-
Awassa/Sidamo	D	X	X
Dese	D	X	X
Dire Dawa	D	X	X
Gambella	E	X	X
Gode	E	X	X
Gondar	D	X	X
Humera	E	X	X
Jijiga	E	X	X
Mekele	D	X	X
Mizan	E	X	X
Nazareth	D	X	X
FIJI			
Lautoka	B	X	-
Suva	B	X	X
FRENCH GUIANA			
St. Laurent	B	X	-
GABON			
Essassa	C	X	X
Lebamba	C	X	X
Libreville	A	-	-
Moanda	C	X	X
N'Toum	C	X	X
Oyem	C	X	X
Port Gentil	B	-	-
GAMBIA			
Banjul	C	X	X
GAZA			
Gaza Town	D	X	X
GEORGIA			
Tbilisi	D	X	X
GHANA			
Accra ^b	C	-	-
Ho ^a	C	X	X
Takoradi ^a	C	X	X
GRENADA			
St. George's	A	-	-

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
GUATEMALA			
Barillas	D	X	X
Chiquimula	C	X	X
Cobán ^a	C	X	X
Flores	C	X	X
Guatemala City	B	-	-
Huehuetenango	C	X	-
Nentón (Huehuetenango)	D	X	X
Playa Grande/Cantabal	D	X	X
Quiché	D	X	X
Santa Cruz (Quiché)	D	X	X
GUINEA			
Conakry	D	X	X
Dalaba	E	X	X
Dubreka	E	X	X
Forecariah ^a	E	X	X
Gueckedou	E	X	X
Kamsar	E	X	X
Kindia	D	X	X
Labé	E	X	X
Nimba	E	X	X
Nzerekore	E	X	X
GUINEA-BISSAU			
Bissau	E	X	X
Bissorra	E	X	X
Bubaque	E	X	X
Caboxanque	E	X	X
Catio	E	X	X
Contuboel	E	X	X
Gabu	E	X	X
Sidja	E	X	X
GUYANA			
Georgetown	C	X	X
HAITI			
Cap-Haïtien	D	X	-
Fort Liberté	D	X	-
Gonaïves	D	X	X
Limbé	D	X	-
Port-au-Prince ^b	D	-	X
Port-Sonde/St. Marc	D	X	X
HONDURAS			
Candelaria ^a	D	X	X
Comayagua	B	X	X
La Ceiba	B	X	-
Mapulaca	D	X	X
San Pedro Sula	B	X	-
Tegucigalpa	B	-	X

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
HONG KONG			
Hong Kong	A	-	-
HUNGARY			
Budapest	A	-	-
INDIA			
Bhopal	B	X	-
Bombay	A	-	-
Calcutta	B	-	-
Gandhinagar	B	X	-
Hyderabad	B	-	-
Jaipur	B	X	-
Lucknow	B	X	-
Madras	A	-	-
New Delhi ^b	B	-	-
INDONESIA			
Ambon (Maluku)	B	X	-
Bandung	A	X	-
Bogor	A	X	-
Bontang	C	X	X
Jakarta	A	-	-
Jayapura (Irian Jaya)	C	X	X
Semarang	A	X	-
Singkwang	C	X	X
Tanjung-Pinang	B	X	-
IRAN (ISLAMIC REPUBLIC OF)			
Ahwaz	D	X	X
Kermanshah (Bakhtaran)	D	X	X
Mashad	D	X	X
Rasht	C	X	X
Tehran	C	X	X
Zahedan	D	X	X
IRAQ			
Arbil/Kirkuk	D	X	X
Baghdad	D	X	X
Baqubah	D	X	X
Basrah	E	X	X
Dohuk	E	X	X
Mosul	C	X	X
Sulaymaniah	E	X	X
ISRAEL			
Tiberias	A	X	-
JAMAICA			
Kingston	B	-	X
Port Antonio ^a	A	X	-
JERUSALEM			
Jerusalem	A	-	-

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
JORDAN			
Amman	A	-	-
KAZAKSTAN			
Almaty	D	X	X
KENYA			
Dadaab	E	X	X
Kakamega	B	X	-
Kakuma	E	X	X
Liboi	E	X	X
Lokichogio	E	X	X
Maralal	D	X	X
Mombasa	B	-	-
Nairobi	B	-	-
KIRIBATI			
Kiritimati	E	X	X
Tarawa	C	X	X
KUWAIT			
Kuwait City	B	X	-
KYRGYZSTAN			
Bishkek	D	X	X
Osh ^a	E	X	X
LAO PEOPLE'S DEMOCRATIC REPUBLIC			
Moung Hom	E	X	X
Nam Tan	E	X	X
Oudomxay	E	X	X
Phalavek	E	X	X
Savannakhet	E	X	X
Sayaboury	E	X	X
Vientiane	C	X	X
Xyang-Khoang	E	X	X
LATVIA			
Riga	A	X	-
LEBANON			
Begaa-Baalbeck	C	X	X
Beirut*	B	X	-
Chtaura/Zahle	C	X	X
Naqoura	B	X	X
Saida/Sidon ^a	C	X	X
LESOTHO			
Maseru	C	-	X
Mohale's Hoek	C	X	X
Oacha's Nek ^a	D	X	X
Outhing ^a	D	X	X
Thaba-Tseka ^a	D	X	X

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
LIBERIA			
Monrovia	E	X	X
Vahun	E	X	X
LIBYAN ARAB JAMAHIRIYA			
Benghazi	B	X	-
Sirte	B	X	-
Souk El Khamis	B	X	X
Tripoli	B	X	X
Zawia	B	X	-
LITHUANIA			
Vilnius ^a	A	X	-
MACAU			
Macau	A	X	-
MADAGASCAR			
Ambato-Boeni ^a	D	X	X
Ambositra/Ambatolampy	C	X	X
Ambovombe	D	X	X
Anjozorobe	C	X	X
Antananarivo	C	-	X
Antsirabe	D	X	X
Antsiranana/Diego-Suarez ^a	C	X	X
Antsirinala	C	X	X
Brickaville	C	X	X
Fenerive-Est	D	X	X
Fianarantsoa	D	X	X
Mahajanga (Majunga) ^a	C	X	X
Miarinarivo	C	X	X
Nosy-Be	C	X	X
Toamasina (Tamatave)	C	X	X
Tolanaro (Fort Dauphin)	D	X	X
Toliara (Tulear)	D	X	X
MALAWI			
Blantyre*	B	-	X
Lilongwe	B	X	-
Makoka/Zomba*	C	X	X
MALAYSIA			
Kuala Lumpur	A	-	-
MALDIVES			
Male	C	X	X

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
MALI			
Bamako	C	X	X
Bankass ^a	E	X	X
Gao	E	X	X
Kayes	E	X	X
Kidal ^a	E	X	X
Kita	E	X	X
Koulikoro	E	X	X
Mopti	D	X	X
Segou	D	X	X
Selingue	D	X	X
Sikasso	D	X	X
Tombouctou	E	X	X
Tonka ^a	E	X	X
MALTA			
Valletta	A	-	-
MARSHALL ISLANDS			
Majuro	C	X	X
MAURITANIA			
Kiffa	E	X	X
Nouakchott*	D	X	X
MAURITIUS			
Port Louis*	A	-	-
MEXICO			
Campeche	A	X	-
Chetumal	A	X	-
Comitán	C	X	X
Mexico City	A	-	-
MICRONESIA (FEDERATED STATES OF)			
Chuuk Island (Truk)	C	X	X
Kosrae Island (Lelu)	C	X	X
Ponape Island (Pohnpei)	C	X	X
Yap Island	C	X	X
MONGOLIA			
Ulaanbaatar	E	X	X
MONTSERRAT			
Plymouth	A	X	-
MOROCCO			
Casablanca	A	-	-
Rabat	A	-	-
Tangiers	A	-	-

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
MOZAMBIQUE			
Beira*	E	X	X
Catandica	E	X	X
Chimoio	E	X	X
Chokwe	E	X	X
Espungabera	E	X	X
Inhambane	E	X	X
Lichinga	E	X	X
Mandimba	E	X	X
Maputo	C	X	-
Mlilange	E	X	X
Mutarara	E	X	X
Nampula	E	X	X
Pemba*	E	X	X
Quelimane	D	X	X
Tete	E	X	X
Xai-Xai	E	X	X
MYANMAR			
Falam	E	X	X
Kengtung	E	X	X
Mandalay	D	X	X
Maungdaw	E	X	X
Tachilek	E	X	X
Yangon (Rangoon)	D	X	X
NAMIBIA			
Windhoek	A	X	-
NEPAL			
Gorkha	D	X	X
Hetauda	D	X	X
Jhapa	D	X	X
Kathmandu	C	X	X
Pokhara	C	X	X
NETHERLANDS ANTILLES			
Aruba	A	X	-
Curaçao	A	X	-
NICARAGUA			
Bluefields	E	X	X
León	D	X	X
Managua	C	-	X
Ocotal	D	X	X
Puerto Cabezas	E	X	X

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
NIGER			
Agades	D	X	X
Bouza	E	X	X
Dakoro	E	X	X
Diffa	E	X	X
Dosso	D	X	X
Keita	D	X	X
Kollo	D	X	X
Mainesaora	E	X	X
Maradi	D	X	X
Mayahi ^a	E	X	X
N'Guigmi ^a	E	X	X
Niamey*	C	X	X
Ouallam	D	X	X
Tahoua	D	X	X
Zinder	D	X	X
NIGERIA			
Abuja	B	X	-
Bagauda	E	X	X
Bauchi	D	X	X
Calabar	C	X	X
Gboko	C	X	X
Ibadan	D	X	X
Igbokoda	C	X	X
Ikot-Abasi/Uta Ewa	E	X	X
Ilorin	B	X	X
Jalingo	C	X	X
Jos	C	X	X
Kaduna*	D	X	X
Karu Village	B	X	X
Koko/Oghaye	E	X	X
Lagos	D	-	X
Minna (Niger State)	C	X	X
Oyo	E	X	X
Sokoto	C	X	X
Yola	B	X	-
Zaria	B	X	-
OMAN			
Muscat	B	-	-
Salalah	B	X	-

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
PAKISTAN			
Abbotabad	C	X	X
Gilgit	D	X	X
Gurjanwala	D	X	X
Haripur/Hazara	C	X	X
Islamabad	B	X	-
Lahore	B	X	-
Mirpur	D	X	X
Muzaffarabad	D	X	X
Peshawar	D	X	X
Quetta	D	X	X
Rawalpindi	B	X	-
Saidu Sharif/Mingora	D	X	X
Sukkur	E	X	X
PANAMA			
Panama City	A	-	-
Yaviza ^a	B	X	X
PAPUA NEW GUINEA			
Madang	D	X	X
Port Moresby	C	X	-
Rabaul	C	X	X
Silua (SNI)	E	X	X
Yonki	D	X	X
PARAGUAY			
Asunción	A	-	-
PERU			
Lima	B	-	-
PHILIPPINES			
Cebu City ^a	A	X	-
Los Baños	A	-	-
Manila	A	-	-
Puerto Princesa	B	X	-
POLAND			
Warsaw	A	-	-
QATAR			
Doha	B	X	-
REPUBLIC OF KOREA			
Seoul	A	-	-
REPUBLIC OF MOLDOVA			
Chisinau	C	X	X
ROMANIA			
Bucharest	B	-	X
RUSSIAN FEDERATION			
Moscow	B	X	-

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
RWANDA			
Kigali	E	X	X
Nyagatare ^a	E	X	X
SAINT KITTS AND NEVIS			
Basseterre	A	-	-
SAINT LUCIA			
Castries	A	-	-
SAINT VINCENT AND THE GRENADINES			
Kingstown	A	X	-
St. Vincent-Grenadines	A	-	-
SAMOA			
Apia	B	X	X
SAO TOME AND PRINCIPE			
Sao Tome	D	X	X
SAUDI ARABIA			
Abha	B	X	X
Al-Jouf (Sakaka)	C	X	X
Dhahran/Damman	B	X	X
Jeddah	B	X	-
Najran	C	X	X
Qasim	B	X	X
Rafha	C	X	X
Riyadh	B	X	X
Taif	B	X	X
Wadi Jizan (Gizan)	C	X	X
SENEGAL			
Dakar	A	-	-
Diourbel	C	-	-
Kolda	D	X	X
St. Louis	C	X	-
Thies ^a	C	X	-
SEYCHELLES			
Mahé/Victoria	A	X	-
SIERRA LEONE			
Freetown	D	X	X
SINGAPORE			
Singapore	A	-	-
SLOVENIA			
Ljubljana	A	-	-
SOLOMON ISLANDS			
Honiara	C	X	X

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
SOMALIA			
Afgoi	D	X	X
Belet Uen	E	X	X
Berbera	E	X	X
Borama	E	X	X
Brava	D	X	X
Bur Dhubo	E	X	X
Hargeisa	E	X	X
Jalalaqsi	E	X	X
Jowhar	D	X	X
Kisimaio	D	X	X
Lugh	E	X	X
Mogadishu	E	X	X
Qoryoley	D	X	X
SOUTH AFRICA			
Giyani	A	X	-
Nelspruit	A	X	-
Phalaborwa	A	X	-
Pretoria ^a	A	-	-
SRI LANKA			
Anuradhapura	B	X	X
Badulla	C	X	X
Colombo ^b	B	-	-
Jaffna	E	X	X
Kandy	B	X	-
Kilinochchi	E	X	X
Madhu	E	X	X
Peradeniya	B	X	-
Pesalai	E	X	X
Trincomalee	E	X	X
Vavuniya	E	X	X
SUDAN			
El Obeid	E	X	X
El Showak	E	X	X
Juba	E	X	X
Khartoum	E	X	X
Malakal	E	X	X
Port Sudan	E	X	X
Wad Medani	E	X	X
SURINAME			
Paramaribo	C	X	X
SWAZILAND			
Mbabane	A	X	-

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
SYRIAN ARAB REPUBLIC			
Camp Faouar	B	X	X
Damascus	A	X	-
El Hol	B	X	X
Palmyra ^a	B	X	X
TAJIKISTAN			
Dushanbe	E	X	X
THAILAND			
Bangkok	A	-	-
Nakorn Panom	B	X	X
Sikhiu	B	X	-
THE FORMER YUGOSLAV REPUBLIC OF MACEDONIA			
Skopje	C	X	X
TOGO			
Atakpamé	D	X	X
Dapaong*	D	X	X
Koloko	C	X	X
Kpalime	B	X	-
Lama Kara	C	X	-
Lomé ^b	C	X	-
Sokode	D	X	X
TOKELAU			
Fakaofa ^a	D	X	X
TONGA			
Nuku'alofa	B	X	X
TRINIDAD AND TOBAGO			
Centeno	A	-	-
Port of Spain	A	-	-
St. Augustine	A	-	-
TUNISIA			
Tunis	A	-	-
TURKEY			
Ankara	A	-	-
Istanbul	A	-	-
Konya	A	X	-
TURKMENISTAN			
Ashgabat	D	X	X
TUVALU			
Funafuti	C	X	X

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
UGANDA			
Adjumani	E	X	X
Entebbe	D	X	X
Fort Portal/Mbarara	D	X	X
Kabale	D	X	X
Kampala*	C	X	X
Mbarara	D	X	X
Mweya	E	X	X
Pakelle/East Moyo	E	X	X
UKRAINE			
Kiev	B	X	X
Simferopol	C	X	X
UNITED ARAB EMIRATES			
Abu Dhabi	B	-	-
Al-Ain	B	-	-
Dubai	B	-	-
Sharjah	B	X	-
UNITED REPUBLIC OF TANZANIA			
Arusha*	B	X	-
Bukoba	D	X	X
Dar es Salaam	C	X	X
Dodoma	C	X	X
Hai	B	X	X
Iringa	D	X	X
Isaka	E	X	X
Karagwe	E	X	X
Kigoma	E	X	X
Lushoto	D	X	X
Mbeya	D	X	X
Morogoro	C	X	X
Moshi*	C	X	X
Mwanza	C	X	X
Ngara	E	X	X
Songea	D	X	X
Sumbawanga	D	X	X
Zanzibar	C	X	X
URUGUAY			
Montevideo	A	-	-
UZBEKISTAN			
Tashkent	D	X	X
Termez	D	X	X
VANUATU			
Isangel/Tanna	D	X	X
Malakula	B	X	X
Port Vila	B	X	X

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7061

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
VENEZUELA			
Caracas	A	-	-
VIET NAM			
Ben Tre ^a	E	X	X
Danang	E	X	X
Ha Long ^a	E	X	X
Hanoi*	C	X	X
Ho Chi Minh City	C	X	X
Ky Son	E	X	X
Quang Nam Danang	E	X	X
WEST BANK			
East Jerusalem	B	-	X
Elsewhere in West Bank	C	X	-
YEMEN			
Aden	D	X	X
Dhamar	E	X	X
Hodeidah	D	X	-
Maifaa	E	X	X
Marib	E	X	X
Sana'a	D	-	X
Seiyun	E	X	X
Ta'izz	E	X	X
YUGOSLAVIA			
Belgrade	C	X	X
ZAIRE			
Bukavu	E	X	X
Goma ^a	E	X	X
Kinshasa*	D	X	X
Lubumbashi	E	X	X
Mbuji-Mayi	E	X	X
Uvira	E	X	X
ZAMBIA			
Chipata ^a	D	X	X
Choma ^a	D	X	X
Lusaka*	C	X	X
Mpulungu	D	X	X
ZIMBABWE			
Bulawayo	A	-	-
Chambuta (Chipingi)	C	X	X
Harare*	A	-	-
Masvingo	A	-	-
Mazowe River Bridge Camp	B	X	X
Mutare	A	X	-
Rushinga	B	X	X

(Footnotes on following page)

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7061

(Footnotes to table)

* Denotes change in entitlement from previous year.

^a Entitlements for this new/reactivated duty station effective 1 January 1997.

^b Transitional classification.

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7061

Annex II

FIELD DUTY STATIONS RESERVE LIST

(Effective 1 January 1997)

ALGERIA

Annaba	Constantine
Oran/Saida	Rouiba
Tizi-Ouzou	

ANGOLA

Benguela	Chibia
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ARGENTINA

Bahia Blanca	Pergamino
Ramos Mejia	Rosario
Salta	Trevelin

BAHRAIN

Boodaya	Jedhafs
Muhurraq	

BANGLADESH

Baghabarighat	Barisal
Bogra	Chandpur
Chorasal	Chouadanga
Comilla	Dinajpur
Ghorasal	Jessore
Kaptai	Meherpur
Rajshahi	Rangamati
Rangpur	Sylhet

BENIN

Bodjekali	Malanville
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BERMUDA

Hamilton	
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BHUTAN

Damphu	Deothang
Gaylephug	Gedu
Lobeysa	Mongar
Paro	Pelela
Pemagatshel	Phuntsholing
Samchi	Tashigang
Wangdiphodrang	

BOLIVIA

Cobija	Pando
Trinidad	Vallegrande

BOTSWANA

Francistown	Ghanzi
Kanye	Kasane
Lobatse	Maun
Selebepikwe	Serowe

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7061

BRAZIL

Barreiras
Cuiaba/Mato Grosso
Juiz de Fora
Passo Fundo
Piracicaba
Porto Alegre
São Jose dos Campos

Belém
Itajai
Manaus
Penedo
Pirassununga
Santarem
São Luis

BRUNEI

Bandar Seri Begawan

BURKINA FASO

Banfora
Diebougou
Gaoua
Kompienga
Koupela
Ouahigouya
Sapouy
Vallee du Sourou
Zorgho

Dedougou
Fada N'Gourma
Kaya
Koudougou
Nazinga
Oursi
Tenkodogo
Ziniare

BURUNDI

Muramvya

CAMBODIA

Kampot

CAMEROON

Bamenda
Buea
Ekona
Kousseri
Maroua
Ntui

Bertoua
Douala
Garoua
Kumba
Ngaoundéré

CAPE VERDE

Espargos (Sal Island)
Santo Antão (Antonio)

Maio/Boa Vista

CAYMAN ISLANDS

Grand Cayman/Georgetown

CENTRAL AFRICAN REPUBLIC

Bambari
Bangassou
Birao
Boganangone
Boukoko/Dekoa
Grimari
Kaga-Bandoro
Ndélé
Sibut

Bamingui
Berberati
Boda
Bouar
Bozoum
Ippy
M'baiki
Paoula

CHAD

Bongor
Moundou

Kelo

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7061

CHILE

Antofagasta
Chillán
Viña del Mar

Arica
Concepción

CHINA

Wuchang, Jioudong

COLOMBIA

Cali

Palmira

COMOROS

Anjouan

Moheli

CONGO

Abala
Djambala
Djournouna
Impfondo
Kindamba
Loubomo
Makoua
Mossaka
Olombo
Owando

Boundji
Djoue
Ewo
Inoni Falaise
Kinkala
Madingou/Sibiti
Mindouli
Mossendjo
Ouessou
Pointe Noire

COOK ISLANDS

Aitutaki
Mangaia
Mauke
Nassau
Penrhyn

Atiu
Manihiki
Mitiaro
Pakapuka
Rakahanga

CÔTE D'IVOIRE

Bondoukou
Korhogo

Daloa
San Pedro

DOMINICAN REPUBLIC

Baní
Santiago

San Francisco de Macoris

ECUADOR

Ambato
Ibarra
Riobamba

Azogues
Loja

EGYPT

Al-Mombatah
Bahareya Oases
Marsa Matrouh
Sirs-El-Layyan

Aswan
El Qusayr
Naway Village

EL SALVADOR

La Unión
Puerto El Triunfo

Morazán
Sonsonate

7061

ETHIOPIA

Ambo
Assosa
Bahir Dar
Buna Bedele
Degehabour
Harar
Jimma
Melka Werer
Robi

Arba Minch
Aware
Bako
Debrezeit
Dimma
Holetta
Kobo/Wello
Mettu
Wondogenet

FIJI

Dreketi

Labasa

GABON

Cap Esterias
Lambarené

Franceville

GAMBIA

Basse
Mansakonko

Farafeni
Sapu

GHANA

Akosombo
Bolgatanga
Deboasi
Dunkwa
Koforidua
Mampong
Nungua
Sekondi
Tarkwa
Wiawso

Akwatia
Cape Coast
Donkorkrom (Odankawkrom)
Elmina
Kumasi
Navrongo
Prestea
Tamale
Tema
Yeji

GUATEMALA

Bethel-Petén
Nebaj
Salcaja

Ixil
Quetzaltenango

GUINEA

Boké
Foulaya
Pita

Dabola
Kaback

GUINEA-BISSAU

Bafata

GUYANA

Burma

HAITI

Cap-Perrin
Gris-Gris
Jérémie/Dame-Marie
Miragoane
Rendel

Chardonnières
Jacmel
Les Cayes
Petit-Goâve

HONDURAS

Choluteca
Mocorón/Wampusirpe
Santa Rosa de Copán

Danlí/El Paraíso
San Marcos
Siguatepeque

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7061

INDIA

Ambala
Bangalore
Chandrapur
Dehra Dun
Fursatganj
Jullundur (Punjab)
Ludhiana (Punjab)
Paloncha
Poona
Solan
Trivandrum
Vishakhapatnam

Anand
Bhubaneswar
Cochin
Erode
Haldwani
Kanpur (Uttar Pradesh)
Nagpur
Patna
Raipur
Srinigar
Ujjain

INDONESIA

Asembagus
Bandar Lampung
Bukittinggi
Denpasar
Jepara
Kupang
Madura Island
Manado
Medan
Palembang
Samarinda
Serui (Irian Jaya)
Sorong
Tasikmalaya
Yogyakarta

Balikpapan
Biak (Irian Jaya)
Curug
Galang
Kendari
Lombok (Sumbawa Is.)
Malang
Mataram
Padang
Rimbo Bujang
Samboja
Solo (Surakarta)
Surabaya
Ujung Pandang

IRAN (ISLAMIC REPUBLIC OF)

Bandar Abbas

Bushehr

IRAQ

Al-Khalis
Ramadi

Nasiriya
Sweira

JAMAICA

Mandeville

JORDAN

Aqaba

KENYA

Amolem/Katilu
Bukura
Garfassa
Kisii
Kitale
Lamu
Machakos/Katumani
Malaka-Daka
Marigat
Merti
Moyale
Naivasha
Siakago
Turkana

Banissa
Eldoret
Kabete
Kisumu
Kwale
Lanet
Malindi
Mandera
Marsabit
Mount-Kulal
Mwea-Tebere
Nakuru
Thika
Walda

7061

LAO PEOPLE'S DEMOCRATIC REPUBLIC

Dakchung
Lao Ngam
Mouang Nan
Phonhong

Kasangkang
Luang Prabang
Pakse
Sekong

LEBANON

Qana
Tripoli

Tel-Amara
Tyre (Sur)

LESOTHO

Berea-Teyateyaneng
Leribe
Mokhotlong

Butha-Buthe
Mafeteng

LIBERIA

Gbarnga
Harper (Maryland County)
Suakoko/Gbarnga

Gbedin (Nimba County)
Saniquellie
Zwedru

LIBYAN ARAB JAMAHIRIYA

Derna
Jebel El-Akhdar
Misurata

El Marj
Kufra
Sebha

MADAGASCAR

Ambatolampy

Ambatondrazaka (Lac Al)

MALAWI

Chikwawa
Domasi
Mangochi
Monkey Bay
Mzuzu
Nkhata Bay
Ntchewu

Dedza
Liwonde
Mkondezi
Mponela
Mgabu
Nsanje
Ntchisi

MALAYSIA

Alor Setar
Besut (Terengganu)
Kota Bahru
Kuala Terengganu
Petaling Jaya
Sandakan
Serdang

Bangi
Ipoh
Kota Kinabalu
Kuching
Port Kelang
Sepilok
Terolak

MALDIVES

Feridhoo

MALI

Banamba
San

Nara Est (Sokolo)
Tessalit

MARIANAS ISLANDS

Saipan

7061

MAURITANIA

Aioun
Bassikounou
Foum-Gleita
Kankossa
Nouadhibou
Selibaby

Atar
Boutilimit
Kaedi
Nema
Rosso

MAURITIUS

Ile Rodrigues

MEXICO

Enseñada
Mazatlan
San Luis Potosí

Martinez de la Torre
San Cristóbal Las Casas
Tuxtla Gutierrez

MOROCCO

Agadir
Er-Rachidia
Ouarzazate

Azilal
Marrakech
Zagora

MOZAMBIQUE

Chibuto
Machipanda
Maxixe
Muabasa
Namapa
Ulongwe
Vila de Manica

Inhaca Island
Marromeu
Mocuba
Namaacha
Songo
Umbeluzi

MYANMAR

Magwe
Moulmein
Pakokku
Pyu
Syriam

Meiktila
Mudon
Prome
Sagaing
Yezin

NAURU

Nauru

NEPAL

Betrawati
Biratnagar
Charikot
Damauli-Tanahu
Ilam
Lamidanda
Nepalgunj
Sanfe Bagr
Surkhet
Tamghas

Bhairawa
Birganj
Dadeldhura
Dhangahi
Lahan
Malangawa
Phidim
Silgarhi-Doti/Rajpur
Syangja

NETHERLANDS ANTILLES

Bonaire

Saba

NEW CALEDONIA

Noumea

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7061

NICARAGUA

Esteli
Quilali
San Carlos

Matagalpa
Rivas

NIGER

Bilma
Dogondoutchi
Malbaza
Tarna

Birni N'Konni
Madaoua
Say
Tillabery

NIGERIA

Akure (Ondo State)
Auchi
Bida (Niger State)
Enugu
Ikot-Abasi
Kano
Makurdi
New Bussa
Oron (Cross River State)
Owerri
Vom

Aluu
Baga
Buguma
Epe
Ile-Ife
Maiduguri
Mokwa
Ngala
Oshogbo
Port Harcourt

PAKISTAN

Azad Kashmir (Muzaffargarh)
Dera Ismail Khan
Faisalabad
Karachi
Okara
Tando Jam

Bahadurnagar
Dokri
Hyderabad
Multan
Sakrand
Tarbela

PALAU

Koror

PAPUA NEW GUINEA

Aitape
Ambunti
Ayura
Bainyik
Bensbach
Kainantu
Kikori
Lae
Mount Hagen
Tari
Wau

Alotau
Angoram
Baimuru
Balimo
Goroka
Kavieng
Kiunga
Lake Murray
Popondetta
Wabo
Wewak

PARAGUAY

Filadelfia

7061

PERU

Arequipa
Cajamarca
Huamachuco
Huanuco
Iquitos
Pucallpa
Quillabamba
Tingo María

Ayacucho
Cuzco
Huancayo
Huaraz
Moyobamba
Puno
Tacna

PHILIPPINES

Albay
Baler
Cagayan de Oro
Guinobatan
Legaspi City
Munoz
Pagbilao
San Fernando
Tigbauan

Baguio
Batac
Davao City
Laguna
Morong
Musuan, Bukidnon
Piat, Cagayan
Surigao City
Zamboanga

RWANDA

Butare/Gikongoro
Gitarama

Gisenyi
Ruhengeri

SAUDI ARABIA

Al Hofuf
Tabarjal

Hakma
Wadi Dawassir

SENEGAL

Bakel
Fanaye
Kaolack
Louga
Matam
Nianga/Guede
Podor
Rufisque

Bambey
Fatick
Linguere
M'Bour
Mbacke
Nioro du Rip
Richard Toll
Ziguinchor

SEYCHELLES

Praslin

SIERRA LEONE

Bo
Kabala
Kenema
Matru-Jong
Moyamba
Port Loko
Rokupur
Zimmi

Bunumba
Kambia
Makeni
Mile 91/Magbosi
Njala
Pujehun
Shenge

SOMALIA

Adalei
Garba Hare
Merca/Shalambot

Burao
Kurtunwaary
Zeilah

SOUTH AFRICA

Johannesburg

7061

SRI LANKA

Aralaganwila
Batalagoda
Kalutara
Mannar
Minneriya
Tambuttegama

Bandarawela
Diyatalawa
Maha Illuppallama
Matale
Pulmoddai
Uda Walawe

SUDAN

Ad Damer
Bakht-er-Ruda
Bor
Ed Debba
El Fasher
El Geneina
Hag Abdalla
Idd El Ghanam
Kapoeta
Kazgail
Marial Bai
Mohamed Gol
Panyagor/Kongor
Shangal Tobaye
Torit
Wau
Yei

Atbara
Bilinyang (including Mafao)
Dongola
Ed Dueim
El Gedaref
Es Subagh
Halima
Kadugli
Kassala
Kosti
Maridi
Nyala
Sennar
Sinkat
Um Kaddada
Yambio
Zalingei

SWAZILAND

Big Bend
Luyengo
Manzini

Kwaluseni
Malkerns
Pigg's Peak

SYRIAN ARAB REPUBLIC

Aleppo
Deir-ez-Zor
Homs
Jableh
Kamishly
Raqqa

Dara'a
Hama
Idleb
Kadmus
Lattakia
Tartus

THAILAND

Aranyaprathet
Bangsaen
Chiang Mai
Chiankhan
Kalasin
Korat (Nakorn Rat Province)
Loei
Nongkhai
Phu Wiang
Songkhla
Surin
Udon Thani

Ban Kaeng
Chanthaburi
Chiankham
Hat Yai
Khao Kho
Korat Chonuri
Nan
Phanat Nikhom (Chonburi)
Phuket
Surat Thani
Trad

7061

TUNISIA

Beja
Gabes
Medenine
Soliman

Bizerte
Kairouan
Sidi Bouzid
Tozeur

TURKEY

Adana
Corum
Erzurum
Kemer/Antalaya

Cankiri
Diyarbakir
Eskisehir

UGANDA

Arua
Masaka
Mbale
Moyo
Semuto

Kotido
Masindi
Moroto
Nyabyeya
Soroti

UNITED ARAB EMIRATES

Digdaga (Ras Al Khaimah)
Um Al Qaiwain

Khorfakkan

UNITED REPUBLIC OF TANZANIA

Babati
Dakawa
Ilonga
Liti
Makete
Mlingano
Mtwara/Naliendele
Rukwa
Singida/Mitwau
Tabora
Tengeru
Tunduru
Wete-Pemba

Bulongwa
Igurusi
Kilosa
Mafinga
Mbinga
Mto-Wa-Mbu
Musoma
Shinyanga
Soliway Village
Tanga
Tumbi
Ukiriguru

URUGUAY

San José

VANUATU

Efate/Luganville

Espiritu Santo

VIET NAM

Ben Me Thuot
Haiphong
Moc Chau
Nha Trang

Can Tho
Hue City
Nha Ho/Phan Rang
Quy Nhon

YEMEN

Dar Saad
Giar
Mudiyah/Lodar
Saber
Wadi Beihaan/Nuqub

El-Kod
Lahej
Nishtun
Surdud
Zabid

7061

ZAIRE

Aru
Bandundu
Bunia
Dilolo
Kananga
Kimpese
Kolo Fuma
Lisala
Moanda

ZAMBIA

Balmoral
Chapula
Kabwe
Kitwe/N'Dola
Lutale
Mazabuka
Mongu
Mpika
Mutanda
Nanga

ZIMBABWE

Binga
Gweru

Banana
Boma (Bas-Zaire)
Butembo
Gbadolite
Kikwit
Kisangani
Likasi
Mbanza-Ngungu
Yangambi

Buleya Malima
Chilanga
Kasama
Livingstone
Mansa
Mbala
Monze
Msekera
N'Dola
Solwezi

Chinhoyi
Mazowe

7061

Annex III

DUTY STATIONS THAT QUALIFY FOR REIMBURSEMENT BY ORGANIZATIONS
OF THE COSTS OF BASIC MEDICAL EXAMINATIONS FOR ACCOMPANYING
FAMILY MEMBERS AS OF 1 JANUARY 1997

AFGHANISTAN	MADAGASCAR
ALBANIA	MALAWI
ALGERIA	MALDIVES
ANGOLA	MALI
ARMENIA	MARIANAS ISLANDS
AZERBAIJAN	MARSHALL ISLANDS
BANGLADESH	MAURITANIA
BELIZE	MICRONESIA (FEDERATED STATES OF)
BENIN	MOLDOVA
BHUTAN	MONGOLIA
BOLIVIA	MOZAMBIQUE
BOSNIA AND HERZEGOVINA	MYANMAR
BURKINA FASO	NEPAL
BURUNDI	NICARAGUA
CAMBODIA	NIGER
CAMEROON	NIGERIA
CAPE VERDE	PAKISTAN
CENTRAL AFRICAN REPUBLIC	PAPUA NEW GUINEA
CHAD	ROMANIA
COMOROS	RWANDA
CONGO	SAMOA
CUBA	SAO TOME AND PRINCIPE
DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA	SENEGAL
DJIBOUTI	SIERRA LEONE
EQUATORIAL GUINEA	SOLOMON ISLANDS
ERITREA	SOMALIA
ETHIOPIA	SUDAN
GABON	SURINAME
GAMBIA	TAJIKISTAN
GEORGIA	THE FORMER YUGOSLAV REPUBLIC OF MACEDONIA
GHANA	TOGO
GUATEMALA	TOKELAU
GUINEA	TURKMENISTAN
GUINEA-BISSAU	TUVALU
GUYANA	UGANDA
HAITI	UNITED REPUBLIC OF TANZANIA
HONDURAS	UZBEKISTAN
IRAQ	VANUATU
KAZAKSTAN	VIET NAM
KIRIBATI	YEMEN
KYRGYZSTAN	YUGOSLAVIA
LAO PEOPLE'S DEMOCRATIC REPUBLIC	ZAIRE
LESOTHO	ZAMBIA
LIBERIA	
LIBYAN ARAB JAMAHIRIYA	



Secretariat

7062

ST/AI/280/Rev.6/Amend.6/Corr.1
9 May 1997

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: Assistant Secretary-General for Human Resources Management

Subject: SPECIAL ENTITLEMENTS FOR STAFF MEMBERS
SERVING AT DESIGNATED DUTY STATIONS*

Corrigendum

The classification rating of the following duty station listed in annex I to administrative instruction ST/AI/280/Rev.6/Amend.6 should read:

Duty station	Category	Additional education grant travel	Additional shipment of personal effects
SLOVENIA Ljubljana	A	X	-

* Personnel Manual index No. 7062.

97-12372 (E) 120597



Secretariat

7111

ST/AI/1997/2
25 August 1997

ADMINISTRATIVE INSTRUCTION

REIMBURSEMENT FOR TRAVEL BY PRIVATE MOTOR VEHICLE*

The Under-Secretary-General for Administration and Management, pursuant to section 4.2 of the Secretary-General's bulletin ST/SGB/1997/1, promulgates the annexed schedule of rates of reimbursement applicable to different groups of countries and Territories for travel by private motor vehicle, effective 1 July 1997.

The annex to the present instruction supersedes the annex to administrative instruction ST/AI/224/Rev.1/Amend.30.

(Signed) Joseph E. CONNOR
Under-Secretary-General for
Administration and Management

* Personnel Manual index No. 7111.



7111

Annex

Rate group I: 13 cents per mile or 8 cents per kilometre

All countries other than those listed in groups II, III, IV or V below.

Rate group II: 16 cents per mile or 10 cents per kilometre

Anguilla United States of America

Rate group III: 20 cents per mile or 12.4 cents per kilometre

Angola	Djibouti	Morocco
Antigua and Barbuda	El Salvador	New Caledonia
Barbados	Fiji	Panama
Bhutan	Guatemala	Saint Kitts and Nevis
Brazil	Guinea	Saint Lucia
British Virgin Islands	Haiti	Saint Vincent and the Grenadines
Canada	Honduras	Sierra Leone
Cape Verde	Kuwait	Sri Lanka
Cayman Islands	Macau	Tunisia
Comoros	Malaysia	United Republic of Tanzania
Cook Islands	Mauritius	
Costa Rica	Mongolia	
Czech Republic*	Montserrat	

Europe: All countries in Europe except those listed in groups II, IV or V.

Rate group IV: 23 cents per mile or 14.3 cents per kilometre

Armenia	Democratic Republic	Nicaragua*
Australia	of the Congo	Niger
Cameroon*	Dominica	Senegal
Central African Republic	Gambia	Seychelles
Chad	Grenada	Singapore
Chile	Kenya	Slovakia
Côte d'Ivoire	Kiribati	Slovenia
Croatia	Liberia	South Africa
Democratic People's Republic of Korea	Malawi	Vanuatu
	Mali*	Viet Nam
	Malta	

* Indicates a change in the grouping effected by the present amendment.

7111Rate group V: 28 cents per mile or 17.5 cents per kilometre

Argentina	Hong Kong, China	Spain
Austria	Iceland	Sweden
Belarus	Ireland	Switzerland
Belgium	Italy	The West Bank and The Gaza Strip
Cuba	Jamaica	Turkey*
Denmark	Japan	United Kingdom of Great Britain and Northern Ireland
Equatorial Guinea	Mauritania	Uruguay
Finland	Netherlands	
France	Niue	
Germany	Norway	
Greece	Portugal	

* Indicates a change in the grouping effected by the present amendment.





Secretariat

7151

ST/AI/1997/3
12 September 1997

ADMINISTRATIVE INSTRUCTION

ASSIGNMENT OF STAFF TO A DUTY STATION OTHER THAN
THEIR OFFICIAL DUTY STATION FOR PERIODS OF LESS
THAN ONE YEAR*

The Under-Secretary-General for Administration and Management, pursuant to section 4.2 of Secretary-General's bulletin ST/SGB/1997/1, promulgates the annexed schedule of rates of daily subsistence allowance, as established by the International Civil Service Commission, for New York effective 1 July 1997. The rates for Geneva, effective 1 February 1995, and for Vienna, effective 1 January 1995, remain unchanged.

This instruction supersedes administrative instruction ST/AI/143/Rev.26/Amend.12 of 7 March 1995.

(Signed) Joseph E. CONNOR
Under-Secretary-General for
Administration and Management

* Personnel Manual index No. 7151.



7151

AnnexRATES OF DAILY SUBSISTENCE ALLOWANCE AT HEADQUARTERS,
GENEVA AND VIENNA

	<u>Headquarters^a</u> (in US\$ per day)		<u>Geneva^b</u> (in SwF per day)	<u>Vienna^c</u> (in AS per day)
	<u>First 30 days</u>	<u>Next 30 days</u>		
(a) <u>First 60 days,</u> consecutive or otherwise, at the temporary duty station:				
Under-Secretary- General or Assistant Secretary-General	301	256	389	3 066
D-1 and D-2	247	210	320	2 518
All other staff	215	183	278	2 190
(b) <u>During the next 60 days,</u> consecutive or otherwise, at the temporary duty station:				
Under-Secretary- General or Assistant Secretary-General		186	270	2 135
All other staff		143	208	1 642
(c) <u>After 120 days,</u> consecutive or otherwise, at the temporary duty station:				
Under-Secretary- General or Assistant Secretary-General		140	216	1 708
All other staff		107	166	1 314

^a Effective 1 July 1997.^b Effective 1 February 1995.^c Effective 1 January 1995.



Secretariat

7228

ST/AI/176/Rev.3/Amend.4
17 December 1996

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: TRANSPORTATION OF PRIVATELY OWNED AUTOMOBILES*

The annex to administrative instruction ST/AI/176/Rev.3/Amend.1 dated 14 April 1992 is hereby amended to include Mozambique in the list of countries and territories where the Organization may provide partial reimbursement of the cost of transporting privately owned automobiles on initial appointment or change of duty station, effective 1 November 1996.

* Personnel Manual index No. 7228.

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Secretariat

ST/SGB/1997/12
13 October 1997

SECRETARY-GENERAL'S BULLETIN

STAFF-MANAGEMENT COORDINATION COMMITTEE*

Pursuant to staff regulation 8.2, the Secretary-General promulgates the following, based on recommendations made by the Staff-Management Coordination Committee at its twentieth and twenty-first sessions:

TERMS OF REFERENCE

Section 1Purposes

1.1 In accordance with staff rule 108.2, the Staff-Management Coordination Committee (SMCC) is the joint staff-management machinery at the Secretariat level and thus the Secretariat-wide mechanism for negotiation between staff representatives and the administration. Its role is to identify, examine and resolve issues relating to staff welfare, including conditions of employment and of work, general conditions of life and other personnel policies, as provided for in staff regulation 8.1 (a). To this end, SMCC shall endeavour to reach agreement on recommendations to the Secretary-General on changes in policies and procedures regarding Secretariat-wide issues concerning staff-management relations and general questions of staff welfare, and monitor the implementation of agreements reached.

1.2 It is recognized that agreements can be reached only on matters for which the Secretary-General is the ultimate authority in accordance with the Charter of the United Nations and established practice. On issues of Secretariat-wide importance that cannot be decided by the Secretary-General without reference to intergovernmental or similar bodies, SMCC will provide advice and make recommendations to the Secretary-General for submission to such bodies.

* Personnel Manual index No. 8040.



8040

Section 2

Relationship with local joint advisory committees

2.1 SMCC, in exceptional circumstances, may discuss issues of clearly local importance that may arise where no adequate solution can be found at a given duty station so that representatives of both administration and staff from the duty station concerned may have the opportunity to draw the attention of SMCC to such cases.

2.2 The existence of Secretariat-wide machinery does not preclude the consideration by local joint advisory committees of concerns which have Secretariat-wide implications, it being understood that such issues will be referred to SMCC for recommendation on a Secretariat-wide basis.

Section 3

Members and other participants

3.1 SMCC shall consist of 19 members, as follows:

(a) One member designated by the staff representative bodies at each of the following locations: Addis Ababa, Bangkok, Beirut, Geneva, Jerusalem, Nairobi (this membership shall be on a rotational basis agreed between the United Nations Centre for Human Settlements (Habitat) (UNCHS) and the United Nations Environment Programme (UNEP)), New York, Santiago and Vienna. Each member may be accompanied by an alternate. In the case of Nairobi, the alternate shall be from the organ not entitled to send a member to a particular session;

(b) Nine members at an appropriately high level representing the administration, with due regard to the need for representation from the various duty stations. Each member may be accompanied by an alternate;

(c) A President selected in accordance with staff rule 108.2 (b), to serve for one year. A member nominated by members representing the staff would serve as Vice-President for one year.

3.2 Duly designated representatives of organizations/organs of the United Nations system whose staff are directly affected by SMCC recommendations shall be granted the status of associate members upon request.

3.3 Other participants in SMCC are the following:

(a) The Office of Legal Affairs, after consultation with the President of SMCC, shall designate a legal adviser to SMCC, who shall participate in a consultative capacity;

(b) SMCC may invite other staff members to participate in its work in an advisory capacity;

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(c) Up to three staff members from the duty station where the session is held may be permitted to attend in an observer capacity;

(d) Staff and management, respectively, may bring up to two advisers to SMCC meetings.

Section 4

Funding arrangements

4. The travel and subsistence expenses of the members and of four alternates shall be borne by the United Nations.

Section 5

Secretariat

5. A Secretary shall be designated by the Secretary-General, after consultation with the President of SMCC, in accordance with staff rule 108.2 (e). Services shall be provided as necessary for the proper functioning of SMCC.

Section 6

Role of the President

6. The President shall have the following functions:

(a) To convene SMCC meetings;

(b) To submit SMCC reports to the Secretary-General and to take the necessary follow-up action;

(c) To forward the Secretary-General's decisions on the Committee's recommendations to SMCC members, alternates and associate members;

(d) To supervise the Secretary in receiving, preparing and circulating documents to members, alternates and associate members between sessions.

Section 7

Procedures and meetings

7.1 SMCC shall establish its own procedures.

7.2 SMCC shall hold annual meetings, which shall alternate between New York and other duty stations. The following shall apply to these meetings:

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8040

(a) Meetings shall normally be scheduled from Thursday of any one week to Wednesday of the following week;

(b) Normally, Monday to Wednesday of the first week and Thursday and Friday of the second week shall be reserved for consultations among staff representatives;

(c) A contact group shall be established to:

(i) Hold, whenever possible and on the last day of the pre-SMCC period, informal consultations on the SMCC agenda, the programme of work, and the establishment of working groups;

(ii) Ascertain, after the closure of SMCC, that modifications to the draft report, as approved by the SMCC plenary meeting, are reflected in the final report.

7.3 Special sessions of SMCC or its subsidiary bodies may be convened as and when necessary.

7.4 On matters of urgency arising between sessions, the President shall consult the other members by the most expeditious means.

Section 8

Agenda and documentation for sessions

8.1 SMCC shall establish its programme of work, which shall serve as the basis for a provisional agenda for the next session and shall arrange for appropriate documentation to be prepared for each agenda item. The provisional agenda and all other working documents shall be circulated to all members, alternates and associate members at least three weeks in advance of a session.

8.2 All documents distributed to members, alternates and associate members of SMCC shall also be sent to all chairpersons of local joint advisory committees or similar bodies at any duty station or separately administered organ of the Secretariat, to the chairpersons or presidents of the staff representative bodies and to all heads of administration.

8.3 The agenda must include specific items on: (a) follow-up to previous SMCC meetings; (b) review of work done in local joint staff-management machinery that falls within the mandate of SMCC; (c) agenda of the next SMCC meeting; and (d) adoption of the report.

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Section 9

Reports

9. SMCC shall report to the Secretary-General. Its reports, as approved by the Secretary-General, shall be distributed to all executive heads of separately administered organs of the Secretariat, to all chairpersons of local joint advisory committees or similar bodies at any duty station or in any separately administered organ, to the chairpersons or presidents of staff representative bodies and to all heads of administration.

Section 10

Implementation, monitoring and follow-up

10. A focal point for staff-management relations shall be designated in the Office of the Assistant Secretary-General for Human Resources Management to ensure, together with the Secretary of SMCC, that recommendations are acted upon in a timely manner and concurrently at all duty stations. Local joint advisory committees shall review and monitor the implementation at their duty station of decisions based on SMCC recommendations and shall submit a report on those matters to the Secretary of SMCC three months prior to the next SMCC meeting. Issues which cannot be resolved at the local level shall be brought to the attention of the focal point for staff-management relations and the Secretary of SMCC and then, if not resolved, to the attention of the President of SMCC.

Section 11

Final provisions

11.1 The present bulletin shall enter into force on 15 October 1997.

11.2 Secretary-General's bulletin of 4 April 1991, entitled "Staff-Management Coordination Committee" (ST/SGB/176/Rev.2), is hereby abolished.

(Signed) Kofi A. ANNAN
Secretary-General



Secretariat

9061

ST/IC/1997/62
19 September 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: EMPLOYMENT OF RETIREES**

1. The purpose of the present circular is to inform staff members of the modalities of application of General Assembly decision 51/408 of 4 November 1996 on the employment of retirees.

2. Employment of retirees is subject to the conditions below, set out by the Secretary-General in paragraphs 3 and 4 of his report of 16 August 1996 (A/C.5/51/2):

(a) The relevant resolutions and decisions of the General Assembly on the employment of retirees are fully respected;

(b) The regulations of the United Nations Joint Staff Pension Fund are fully respected and applied;

(c) The resort to external support does not adversely impact the development and legitimate career aspirations of serving staff;

(d) There are no qualified and available non-retiree sources of external personnel to perform the required functions;

(e) The employment of the retiree represents both a cost-effective and operationally sound solution to meeting the needs of the service.

3. Decision 51/408 set a ceiling across the board of \$22,000 per calendar year for the employment of retired staff in receipt of a pension benefit from the

* Expiration date of the present circular: 31 December 1998.

** Personnel Manual index No. 9061.



9061

United Nations Joint Staff Pension Fund, with the exception of language services staff for whom the ceiling will be \$40,000 per calendar year. The decision limited such employment in all cases to no more than six months per calendar year.

4. Taking into account the fact that the General Assembly raised the monetary amounts to update the \$12,000 limit set in 1982 on compensation for the employment of retired staff, the limits indicated in paragraph 3 will be applied in the same manner as the 1982 limits. Thus, the limits will apply to the gross amount of the fee for service indicated in a special service agreement, and to the gross amount of salary, less staff assessment, for retired staff who receive a letter of appointment. Additionally, amounts unrelated to compensation for services rendered - such as travel costs, daily subsistence allowance and other per diem payments - will not be included in the amounts limited in the updated ceilings.

5. The General Assembly also decided that no former staff member in receipt of a pension benefit should be re-employed at a level higher than that at which he or she separated from the organization concerned, and that he or she should not be remunerated at a level higher than that at which regular staff are remunerated for the same function at the same duty station.

6. Additionally, the General Assembly requested that, in employing retirees under this decision, the Secretariat continue to seek geographical balance in accordance with Article 101 of the Charter of the United Nations, as well as gender balance, and that all retirees be medically cleared before re-employment.

7. Administrative instruction ST/AI/213/Rev.1 of 18 July 1984, which, inter alia, sets out the basic policies governing the reappointment of staff members over the age of retirement, will be revised to reflect decision 51/408 and to conform to the requirements of Secretary-General's bulletin ST/SGB/1997/1.

8. The present circular supersedes information circular ST/IC/1995/56 of 31 August 1995.



Secretariat

ST/IC/1997/79
24 November 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Under-Secretary-General for Management

Subject: COMPOSITION OF THE PANEL ON DISCRIMINATION AND
OTHER GRIEVANCES AT HEADQUARTERS**

1. The purpose of the present circular is to inform the staff that, on the recommendation of the Joint Advisory Committee, the Secretary-General has decided to appoint the membership of the Panel on Discrimination and Other Grievances at Headquarters, as listed below.

2. The new membership of the Panel will be for a period of two years effective 24 October 1997. Mr. Sergei Kambalov will serve as Coordinator. The other members appointed by the Secretary-General are:

Ms. Sheila ABRAMOVITZ
Mr. Mark ANTHONY
Ms. Marian AWWAD
Ms. Phyllis BROWNE
Mr. Trevor DELMORE
Mr. Anthony FERNANDES
Miss Judith GOSS
Mr. Maxwell HAYWOOD

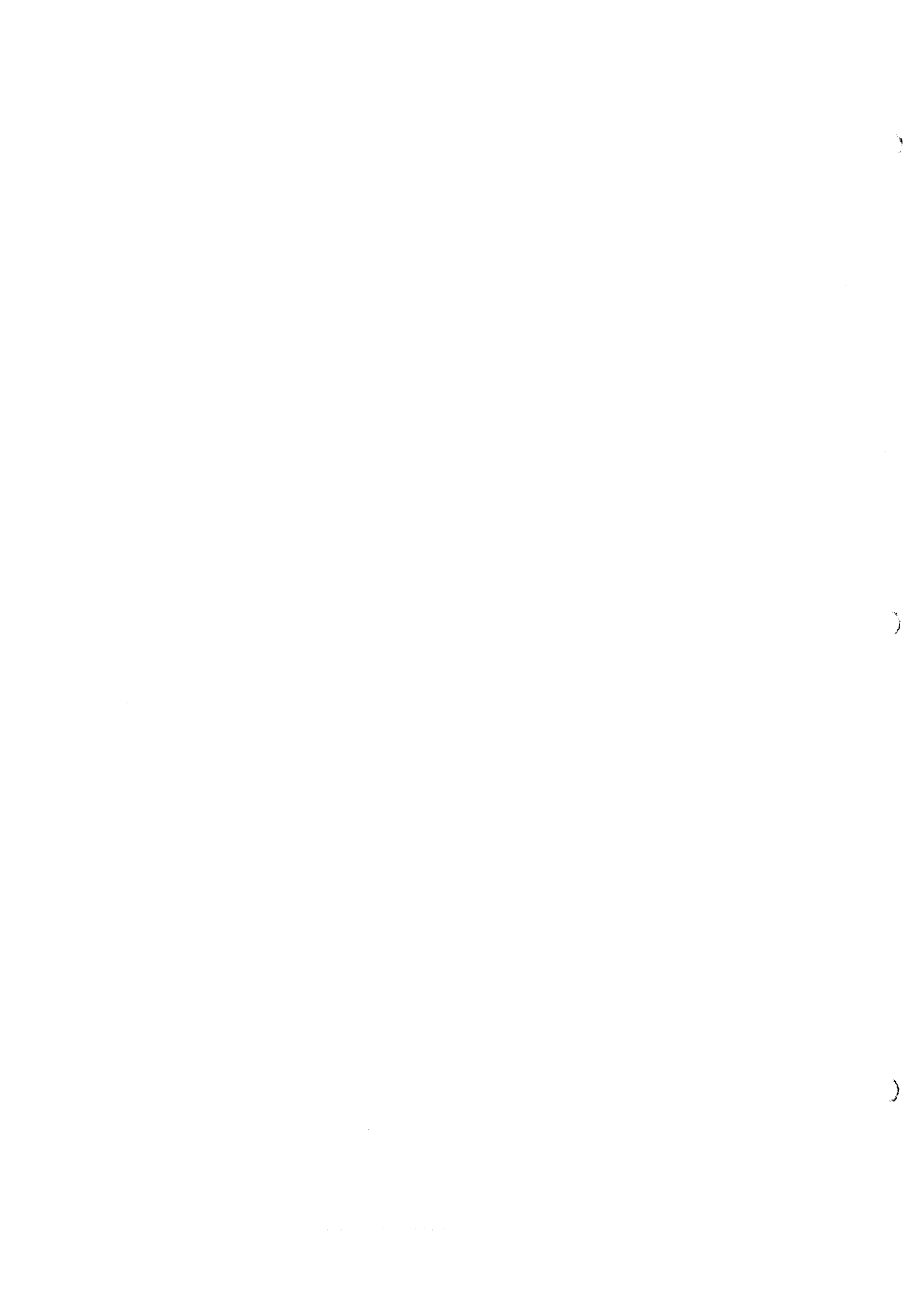
Mr. Robert JOHNSTON
Ms. Philomena KINTU
Ms. Carolina NUDO
Mrs. Chantal REITER-BURNS
Mr. Vladimir SHVEITSER
Mr. Bradford SMITH
Mr. Kelvin WIDDOWS
Ms. Pamela ZAPATA

* Expiration date of the present information circular: 23 October 1999.

** Personnel Manual index No. 11020.

97-33499 (E) 251197







Secretariat

11061

ST/AI/351/Amend.1
28 January 1997

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Administration and Management

Subject: ASSISTANCE AND REPRESENTATION BY COUNSEL
IN DISCIPLINARY AND APPEAL CASES*

1. The annex to the present amendment provides an up-to-date list of current members of the Panel of Counsel serving at Headquarters. Names, departments or offices, grades and countries of nationality are also provided. This list supersedes the list contained in annex I to administrative instruction ST/AI/351 of 25 May 1988, which administrative instruction sets forth the policy applicable to assistance and, where appropriate, representation of staff members by counsel in disciplinary, appeal and other internal recourse procedures within the Secretariat.
2. Further information concerning members of the Panel may be obtained by contacting Ms. Catherine Claxton, Coordinator of the Panel of Counsel at Headquarters, room DC2-404, extension 3-3954.
3. An updated list of members of the Panel of Counsel at Geneva and at Vienna is being compiled, and will be issued as a further amendment at a later date. Meanwhile, staff members serving at Geneva should contact Mr. V. Rodriguez, Acting Secretary, Joint Appeals Board/Joint Disciplinary Committee, room Palais 243-1, extension 2256. Staff members serving at Vienna should contact Ms. Valerie Lebaux, Secretary, Joint Appeals Board/Joint Disciplinary Committee, room E-1442, extension 4358. Staff members serving at other duty stations should contact the Coordinator of the Panel of Counsel at Headquarters.
4. Pursuant to ST/AI/351, referred to above, a serving staff member who agrees to act as counsel in a case will assist in the preparation and presentation of the case as part of his or her official duties, subject to the exigencies of the

* Personnel Manual index No. 11061.



11061

service and the constraints of the office. Heads of departments and supervisors are requested to exercise maximum flexibility in this regard.

5. Staff members are referred to information circular ST/IC/1991/35 of 16 May 1991, in which serving and retired staff members are urged to volunteer for service in Panels of Counsel. Those interested in membership should contact the officials listed above, as appropriate. Membership of the Panel of Counsel is a service to the Organization and to the staff members involved, and obviously is also a meaningful contribution to the administration of justice in the United Nations.

11061

Annex

MEMBERS OF THE PANEL OF COUNSEL AT HEADQUARTERS, NEW YORK

Serving staff members:

<u>Name</u>	<u>Department/Office</u>	<u>Nationality</u>	<u>Grade</u>
ABD ELAL, Mr. Nabil	Department of Administration and Management	Egypt	P-4
ADAMS, Mr. Bernard	Department of Administration and Management	United Kingdom	P-2
BASKAKOV, Mr. Nikolai	Department of Public Information	Russian Federation	P-2
BOGNA, Mr. Patrice	Department of Public Information	Côte d'Ivoire	G-3
BOUAB, Mr. Abdelhamid	Department for Development Support and Management Services	Morocco	P-5
CARMIGNANI, Mr. Marco	Department for Economic and Social Information and Policy Analysis	Brazil	P-3
CHOWDHURY, Mr. Ahsen	Office of Internal Oversight Services	United States of America	P-4
CLARKE, Mr. Clarence	Department of Administration and Management	Panama	S-6
DUBE, Mr. Thomas	Department of Political Affairs	Zimbabwe	P-5
DUBOIS, Mr. Francis	United Nations Development Programme	France	P-5
ERCOLINI, Mr. Franco	Department of Administration and Management	Italy	G-6
GALLINA, Ms. Josette	Department for Development Support and Management Services	France	G-6
GRINBLAT, Mr. Joseph	Department for Economic and Social Information and Policy Analysis	France	P-5
HASS, Mr. Willard	Department of Public Information	United States of America	P-3
ISABIRYE, Mr. David	Department of Administration and Management	Uganda	P-4
JACKSON, Mr. Osborne A. Y.	Department for Economic and Social Information and Policy Analysis	Ghana	D-1

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11061

<u>Name</u>	<u>Department/Office</u>	<u>Nationality</u>	<u>Grade</u>
KAPALIKA, Ms. Chandika	United Nations Children's Fund	United States of America	G-5
KEEFE, Mr. Adhiratha Kevin	United Nations Children's Fund	United States of America	P-3
LEE, Ms. Phyllis	Department of Humanitarian Affairs	United States of America	P-4
MAIA-SAMPAIO, Ms. Leonor	Staff Committee	Brazil	P-4
MASCIANGELO, Ms. Barbara	Department of Administration and Management	United States of America	P-3
OUMMIH, Mr. Mohamed	Department of Administration and Management	Morocco	G-5
PECK, Mr. Mohan	Department for Development Support and Management Services	United States of America	P-3
RONALD, Mr. Christopher	United Nations Development Programme	United Kingdom	D-1
ROWE, Mr. Sylvester	Department of Public Information	Sierra Leone	D-1
SALOMONS, Mr. Dirk	United Nations Office for Project Services	Netherlands	D-1
SAPUTELLI, Ms. Linda	International Civil Service Commission	United States of America	P-4
SMITH-LEMARCHAND, Ms. Christine	Department of Administration and Management	France	P-4
TAYLOR, Mr. Steven	Department of Administration and Management	United States of America	S-3
TRUMAN, Mr. John	Department of Administration and Management	United States of America	D-1
WATERS, Ms. Rosemarie	Staff Committee	United States of America	G-5
WITHERS, Mr. Henry	Department of Administration and Management	United States of America	P-2
ZAPATA, Ms. Pamela	Department of Public Information	United States of America	G-6

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11061

MEMBERS OF THE PANEL OF COUNSEL WHO ARE RETIRED
STAFF MEMBERS AVAILABLE IN NEW YORK

Retired staff members:

<u>Name</u>	<u>Nationality</u>
BROISMAN, Ms. Emma R.	United States of America
CASTELLANOS, Mr. Andres	Cuba
CHANG, Mr. Kuo-ho	United States of America
FALLON, Mr. John	United States of America
GEOGHEGAN, Mr. Michael	United Kingdom
GOFFMAN, Mr. Ben	United Kingdom
HARGETT, Ms. Florence M.	United States of America
HERRICK, Mr. Snowden T.	United States of America
JANITSCHKEK, Mr. Hans	Austria
LI, Mr. George	China
MACMILLAN-NIHLEN, Ms. Maryrose	Australia
SALAMEH, Mr. Shukri	United States of America
WURFL, Ms. Elsa	Panama





Secretariat

12010

ST/SGB/1997/13
30 December 1997

SECRETARY-GENERAL'S BULLETIN
PERFORMANCE APPRAISAL SYSTEM*

The Secretary-General, for the purpose of implementing staff rule 112.6 as amended by Secretary-General's bulletin ST/SGB/279 of 31 October 1995, promulgates the following:

Section 1

Performance Appraisal System

1.1 The Performance Appraisal System as established in ST/AI/1997/8 is applicable to all staff members, up to and including the level of Under-Secretary-General.

1.2 In appraising the performance of senior officials reporting directly to him, at the Under-Secretary-General and Assistant Secretary-General levels, the Secretary-General may make his comments on performance in a manner which he deems appropriate.

Section 2

Entry into force

The present bulletin shall enter into force on 1 January 1998.

(Signed) Kofi A. ANNAN
Secretary-General

* Personnel Manual index No. 12010.

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Secretariat

12013

ST/AI/1997/8
9 December 1997

ADMINISTRATIVE INSTRUCTION*

PERFORMANCE APPRAISAL SYSTEM

The Under-Secretary-General for Management, pursuant to section 4.2 of Secretary-General's Bulletin ST/SGB/1997/1 and for the purpose of establishing a Performance Appraisal System pursuant to staff rule 112.6 as amended by Secretary-General's bulletin ST/SGB/279 of 31 October 1995, promulgates the following:

Section 1

Scope of application

The present instruction applies to all staff members who do not report directly to the Secretary-General, holding appointments of at least one year under the 100 series of the Staff Rules. Secretary-General's Bulletin ST/SGB/1997/13 will apply to staff members who report directly to the Secretary-General.

Section 2

Purpose

The Performance Appraisal System (PAS) is designed to improve overall organizational performance by encouraging a higher level of involvement and motivation and increased staff participation in the planning, delivery and evaluation of work. The system establishes a process for achieving responsibility and accountability in the execution of programmes approved by the General Assembly. It is based on linking individual work plans with those of departments and offices and entails setting goals, planning work in advance and providing ongoing feedback. An important function of the PAS is to promote communication between staff members and supervisors on the goals to be achieved,

* Personnel Manual index No. 12013.



12013

and the basis on which individual performance will be assessed, encouraging team work in the process.

Section 3

Appraisal period

3.1 Except as provided in sections 3.2 to 3.4, the performance cycle shall be an annual one, beginning on 1 January or 1 April of each year. The head of each department or office shall decide on the commencement date, based on the needs of that department or office, and shall inform the Under-Secretary-General for Management of that decision.

3.2 When a staff member takes up new duties upon recruitment, transfer or assignment in the course of the performance year, an individual work plan shall be established, a mid-point review conducted and an appraisal made for the period between the beginning of the new duties and the end of the performance year if such period is six months or more.

3.3 When a staff member or his or her supervisor is reassigned or transferred from a department or office, or is separated from service, an appraisal shall be made for the period between the beginning of the performance year and the reassignment, transfer or separation, if such period is six months or more.

3.4 A staff member may request a special evaluation report in respect of an assignment of less than six months in another work unit or in a mission. Such a report should be consistent with the principles of the PAS. The report should state what was expected of the staff member and whether this was discussed by the staff member and the supervisor. The supervisor should appraise the performance and give an overall performance rating consistent with the rating system set out in section 8. Special evaluation reports shall be included in the official status file of the staff member concerned.

Section 4

Work planning and goal setting

4.1 Prior to the beginning of the performance cycle, heads of department or office meet with the senior managers under their direct supervision and develop, as appropriate, a department/office work plan which will be the foundation for work unit plans. Department and work unit plans may be developed on an annual or biennial basis, depending on the needs of the department/office. In the light of these plans, programme managers meet with the staff under their direct supervision to ensure that the objectives of the work unit are understood, and annual individual work plans are drawn up. Supervisors may meet with the staff in their work unit either as a group or individually.

4.2 Each staff member prepares, in a timely manner, a draft work plan briefly describing the goals and specific actions for which the staff member is responsible during the performance year. Goals may include ongoing

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12013

responsibilities, special projects or activities to be undertaken during the period. For each goal there should be an indication of how success will be determined. Differences of opinion between a staff member and the first appraising officer relating to an individual work plan should be resolved through discussion. If this is not possible, the first appraising officer should bring the matter to the attention of the second appraising officer. Regular feedback and guidance should be a mandatory requirement of the process.

4.3 Every staff member is expected to indicate at least one professional development goal to be achieved in the reporting period. The action to be taken may include special assignments, continuing education, on-the-job training, seminars, conferences or individual study.

4.4 All staff with managerial or supervisory responsibility for a work unit are also required to indicate managerial and supervisory goals which relate to managing the human and financial resources entrusted to them; leading, motivating and developing staff; and demonstrating gender and cross-cultural responsiveness.

Section 5

Mid-year performance review

5.1 In the middle of each performance year, the first appraising officer reviews with each staff member the manner in which the individual work plan has been carried out, and provides performance feedback and guidance for the accomplishment of the goals set out in the work plan. At that time, the work plan may be revised if there have been significant changes in the nature of the functions carried out by the staff member, or if such revision is required to pursue revised goals of the work unit. Comments are required only in cases where there are changes in assignments or priorities, or where remedial action is proposed to meet performance gaps.

5.2 Staff members and supervisors are encouraged to take initiative to discuss work performance whenever needed in the course of the performance year, in addition to the mid-year performance review.

Section 6

Year-end performance appraisal

6.1 The first appraising officer and the staff member meet at the end of the performance year to discuss the overall performance during the reporting period. Prior to the meeting, the staff member should prepare a preliminary assessment of the manner in which he or she has carried out the work plan defined at the beginning of the performance year. The first appraising officer appraises the extent to which the staff member has achieved the goals set and met the success criteria. The first appraising officer is also required to comment on the staff member's efficiency, competence and integrity in the performance of his or her functions, and assign an overall rating.

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12013

6.2 The second appraising officer reviews the performance appraisal form and signs it. He or she may also make comments, if desired.

6.3 Subsequently, the staff member receives the form for his or her signature. The staff member may make comments on the appraisal, and on the first appraising officer's role as a supervisor during the appraisal period, if desired. The second appraising officer forwards the completed form to the appropriate executive or personnel office for inclusion in the staff member's official status file.

Section 7

Responsibility for timely execution of the PAS

Primary responsibility for the timely execution of the PAS, including completion of the PAS forms, rests with the supervisor. Each staff member is required to provide in a timely manner a draft individual work plan and to participate in scheduled discussions with the supervisor at the mid-year review and the year-end appraisal.

Section 8

Rating system

8.1 The PAS offers the following three ratings for staff who have met or exceeded expectations:

- Fully meets performance expectations
- Frequently exceeds performance expectations
- Consistently exceeds performance expectations

These three ratings establish full satisfaction with the work performed and shall be so viewed when staff members having received those ratings are considered for renewal of fixed-term appointment or selection for a post at the same or a higher level, without prejudice to the principle that such decisions remain within the discretionary authority of the Secretary-General.

8.2 Where staff do not fully meet the performance expectations, one of the following two ratings should be given:

- Partially meets performance expectations
- Does not meet performance expectations

These ratings indicate the existence of shortcomings, which may call for a specific remedial plan. A rating of "partially meets performance expectations" may justify the withholding of a within-grade increment, particularly if the same rating is given for a second consecutive year. A rating of "does not meet

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performance expectations" may lead to a number of administrative actions, such as transfer to a different post or function, the withholding of a within-grade increment, the non-renewal of a fixed-term contract, or termination for unsatisfactory service.

Section 9

Management Review Committee

A Management Review Committee shall be constituted in each department or office. The members of the Committee, who shall be appointed by the head of department or office, will normally be the senior line managers of the department or office. The Committee shall oversee and review the overall process of PAS implementation at the departmental level in order to ensure consistency at all phases of the process.

Section 10

Joint Monitoring Committee

10.1 A Joint Monitoring Committee shall be constituted in each department or office. The members of the Committee shall be appointed by the head of the department or office and shall consist of two members nominated by management, two members nominated by the staff from the department or office in accordance with local practice and a chairperson nominated by the head of the department or office in consultation with the staff. Each member shall serve for a two-year renewable term.

10.2 The Joint Monitoring Committee shall monitor and review the implementation of the PAS by the department or office concerned with respect to timeliness of the process, compliance with its procedures and overall results. It shall work with the department or office to support the institutionalization of the PAS in that department or office for the first three years following full implementation of the PAS, after which the necessity for maintaining Joint Monitoring Committees will be reviewed. The head of the department or office shall provide the Committee with the statistical information necessary to conduct this review. While the mandate of the Committee does not include consideration of individual cases, individual staff members may agree that their cases be considered in the context of a discussion of broader issues of general impact. The Joint Monitoring Committee shall draw the attention of the Management Review Committee of the department or office to any problems it perceives in the implementation of the PAS and may propose possible solutions.

10.3 The Joint Monitoring Committee shall meet three times a year, namely, at the performance planning stage, immediately after the mid-year review and at the appraisal stage at the end of the performance year. It shall prepare a compliance report for each of those stages. The reports concerning the performance planning stage and the mid-year review shall be submitted to the Management Review Committee through the head of the department or office. The report concerning the appraisal at the end of the performance year shall be

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12013

submitted to the Global Joint Monitoring Committee within 45 days of the last working day of the relevant performance year. That report shall include a consolidation of the first two reports, a compliance review of the end-of-year appraisals and an overall summary of the PAS implementation process in the department or office for that year.

Section 11

Global Joint Monitoring Committee

11.1 The Global Joint Monitoring Committee shall be a subsidiary body of the Staff Management Coordination Committee. The Global Joint Monitoring Committee shall be composed of two members nominated by management, two nominated by the staff and a chairperson appointed after staff consultation by the President of the Staff Management Coordination Committee. Each member shall serve for a one-year renewable term. The Global Joint Monitoring Committee shall perform its functions for the first three years following full implementation of the PAS.

11.2 The Global Joint Monitoring Committee shall examine policy issues involved in PAS implementation. It shall review the reports submitted by Joint Monitoring Committees and prepare one annual report on the implementation of the PAS in the various departments and offices. That report shall include appropriate recommendations on the implementation and overall effectiveness of the PAS and shall be submitted to the Secretary-General through the Staff Management Coordination Committee.

11.3 The Global Joint Monitoring Committee shall meet once a year, immediately prior to the annual meeting of the Staff Management Coordination Committee, which will review the report of the Global Joint Monitoring Committee and transmit it to the Secretary-General.

Section 12

Rebuttal panels

12.1 In consultation with the staff representatives of the department or office concerned, the head of the department or office, or his or her representative, shall draw up a list of rebuttal panel members composed of three groups of staff members from the department or office concerned, in equal numbers. The list shall be composed as follows:

(a) Rebuttal panel members designated by the head of the department or office;

(b) Rebuttal panel members nominated by the staff of the department or office, through an election which should identify at least twice the number of individuals required for this particular group;

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12013

(c) Rebuttal panel chairpersons, selected by the head of the department or office after consultation with the staff representatives of that department or office.

The approved list, subdivided as indicated above, shall comprise nine individuals in all for large departments or offices, six for smaller departments or offices. Every effort shall be made to obtain an appropriate geographical and gender balance, where possible. The head of department or office shall inform the staff in writing of the composition of the approved list.

12.2 Rebuttal panel members shall serve for a two-year term. In the event a member of the rebuttal panel is assigned to functions outside the department or office concerned, he or she shall be replaced in accordance with the procedure relevant for the group to which the rebuttal panel member belongs.

12.3 In small offices where it may be difficult to constitute a list from the staff members of that office, the approved list may include staff members from other Secretariat offices at the same duty station, provided those staff members have the knowledge and experience required to review the appraisal and its rating.

Section 13

Rebuttal process

13.1 Staff members who disagree with the performance rating given at the end of the performance year may, within 30 days of signing the completed performance appraisal form, submit to their Executive Office at Headquarters, or to the Chief of Administration elsewhere, a written rebuttal statement setting forth briefly the specific reasons why a higher rating should have been given. Staff members having received the rating of "consistently exceeds performance expectations" may not initiate a rebuttal. The rebuttal statement shall contain the names of the three individuals, one from each of the three groups identified in section 12.1 above, whom the staff member has selected to serve on the rebuttal panel. A copy of the rebuttal statement shall be placed in the staff member's official status file.

13.2 After receiving a copy of the rebuttal statement, the head of department or office, or his or her representative, shall promptly prepare and submit to the rebuttal panel a brief written statement in reply to the rebuttal statement submitted by the staff member. A copy of the reply to the rebuttal statement shall be given to the staff member and placed in the staff member's official status file. Unless geographical location makes it impractical, the panel shall hear the staff member, the first and second appraising officers, and, at the discretion of the panel, other staff members who may have information relevant to the review of the appraisal rating.

13.3 The rebuttal panels shall prepare with maximum dispatch a brief report setting forth the reasons why the original appraisal rating should, or should not, be maintained. The report of the rebuttal panel shall be placed in the staff member's official status file. The performance rating resulting from the

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12013

rebuttal process shall be binding on the head of the department or office and on the staff member concerned, subject to the ultimate authority of the Secretary-General as chief administrative officer of the Organization, who may review the matter as needed on the basis of the record.

13.4 The rating resulting from an appraisal that has not been rebutted, or from the rebuttal process, shall not be subject to further appeal. However, administrative decisions which stem from any final performance appraisal and which affect the conditions of service of a staff member may be appealed.

Section 14

PAS forms and guidelines

14.1 The Office of Human Resources Management shall make available forms for the PAS and guidelines which shall be available from the relevant executive or personnel office of the department or office concerned. The forms and the guidelines shall also be available electronically.

14.2 The PAS guidelines are intended solely for general guidance and information. Should there be any inconsistency between the guidelines and the text of the present instruction, the provisions of the instruction shall prevail.

Section 15

Entry into force and transitory provisions

15.1 The present instruction shall enter into force on 1 January 1998.

15.2 Administrative instructions ST/AI/411 of 18 September 1995 and ST/AI/1997/5 of 14 October 1997 are hereby abolished, subject to sections 15.3 and 15.4.

15.3 For units that have selected 1 April as the commencement date of the annual appraisal cycle, the present instruction shall enter into force on 1 April 1998, until which date administrative instructions ST/AI/411 and ST/AI/1997/5 shall apply.

15.4 The provisions of administrative instructions ST/AI/411 and ST/AI/1997/5 shall continue to apply to any action, including rebuttal, which may have to be taken with respect to appraisals made under those instructions.

(Signed) Joseph E. CONNOR
Under-Secretary-General
for Management



Secretariat

ST/IC/1997/83
11 December 1997

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: REVISED PERFORMANCE APPRAISAL SYSTEM**

1. The revised Performance Appraisal System (PAS), as set out in ST/AI/1997/8, is the result of an extensive consultative process involving both staff and management. Feedback on the first year of implementation was sought from all departments and offices, as well as from staff associations, Secretariat-wide. All the views expressed were carefully considered and every effort was made to address the issues raised, while maintaining the sound principles on which the system is based.

2. Much of the feedback received focused on the need for simplification of the process, the importance of increased managerial accountability and the improvement of linkages to staff development. In response to these and other concerns raised, a shorter, simplified form has been designed to provide a format flexible enough to accommodate all occupations, ranging from routine activities of an ongoing nature to multidimensional activities with changing priorities. The revised system incorporates the following major changes:

(a) The forms and the guidelines have been significantly shortened and written in simple, straightforward language;

(b) A single form is used for both planning and appraisal;

(c) The number of steps in the process has been reduced significantly;

* Expiration date of the present information circular: 31 December 1999.

** Personnel Manual index No. 12014.

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(d) Department and work unit plans are required to be drawn up only once every two years instead of annually, for those departments wishing to do so; individual work plans and appraisals continue to be done annually;

(e) All staff members with supervisory and/or managerial responsibilities are required to fulfil goals relating to managing performance, contributing to the development of their staff and demonstrating gender and cross-cultural responsiveness;

(f) All staff members are asked to indicate at least one professional development goal to be achieved during the reporting period, with a view to linking PAS more directly to staff development and career support;

(g) The long list of performance dimensions has been replaced by three "umbrella" dimensions taken directly from the Charter of the United Nations - competence, efficiency and integrity; additional dimensions considered important to particular jobs can be included as part of the success criteria;

(h) The mid-year review requires no written comments, except in cases where plans have changed or performance gaps exist;

(i) Numerical ratings have been replaced by narratives;

(j) A more user-friendly electronic version of the form has been developed.

3. A number of concerns raised in relation to the rating system, the rebuttal procedure and the monitoring bodies could not be addressed at this time, as those matters were the product of previous agreements reached in staff-management consultations. It should be noted, however, that establishing an effective performance management system was seen from the outset as a long-term endeavour. The implementation of the system will be kept under review, and further development and refinement may be required in the light of continuing experience.

4. It must be stressed that performance appraisal is not an end in itself, but rather one element in an overall process of performance management. The system aims to improve both individual and organizational performance by encouraging greater staff participation in the planning, delivery and evaluation of work, encouraging ongoing dialogue about performance and enhancing the responsibility and accountability of both staff and managers. The process of creating individual work plans is intended to provide staff members and supervisors with an opportunity to agree on the major responsibilities or assignments the staff member is expected to fulfil during the reporting period and on the quality and/or quantity of work expected. The exact wording or format of the plan is far less important than is achieving this mutual understanding.

5. The performance management principles on which PAS is based have been recommended for the United Nations common system by the International Civil Service Commission. This type of system, based on setting goals and performance criteria, is widely used in national civil services, as well as in many public, non-governmental and private sector organizations throughout the world. The

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challenges faced in implementing PAS are similar to those faced by any large organization introducing new systems requiring significant change in the organizational culture.

6. Ultimately, effective performance management is a line management responsibility. Regardless of how well the system is designed, it will succeed only if supervisors take seriously their performance management responsibilities. At the same time, staff members also have a stake and an important role to play in ensuring successful implementation of the system. Staff are expected to prepare their performance plans in a timely manner for discussion with their supervisors, seek feedback, engage in ongoing dialogue about performance, be committed to personal development and continuous learning and actively participate in mid-year reviews and year-end appraisal discussions.

7. A full range of development programmes is being made available to staff at all levels, Secretariat-wide, to support performance management, promote continuous learning and build the skills and competencies required by all international civil servants. In addition, the Office of Human Resources Management remains committed to continuous review and improvement of policies and other mechanisms to support the long-term aim of establishing a results-based culture of performance in which the PAS system serves as an effective performance management and staff development tool.

8. The revised PAS form (P.91 (12-97)) is attached as annex I to the present report, and the Guide to the Revised Performance Appraisal System (P.91/A (12-97)) is attached as annex II. Electronic versions of the PAS form and the Guidelines are available on the OHRM-PAS bulletin board in cc:Mail. WordPerfect 6.1 and 5.1 files can be saved to your WordPerfect directory by following the instructions provided in the bulletin board message.

9. The full cooperation of all staff in this endeavour is appreciated.



PAS

United Nations Performance Appraisal System

LAST NAME	
FIRST NAME, MIDDLE INITIAL	
INDEX NUMBER	
DEPT/OFFICE/DIVISION/SECTION/UNIT	
FUNCTIONAL TITLE AND LEVEL	
PERFORMANCE PERIOD	
FIRST APPRAISING OFFICER	

DISCUSSION ACKNOWLEDGMENT

WORK PLAN	STAFF MEMBER'S SIGNATURE	DATE
	FIRST APPRAISING OFFICER'S SIGNATURE	DATE

MID-YEAR REVIEW	STAFF MEMBER'S SIGNATURE	DATE
	FIRST APPRAISING OFFICER'S SIGNATURE	DATE



SECTION A: WORK PLAN: INDIVIDUAL GOALS

WHAT IS TO BE ACCOMPLISHED	YEAR-END APPRAISAL BY FIRST APPRAISING OFFICER
<p>INDICATE MAJOR GOALS AND RELATED ACTIONS. FOR EACH GOAL INDICATE HOW SUCCESS WILL BE DETERMINED</p>	

SECTION B: STAFF DEVELOPMENT GOALS

WHAT IS TO BE ACCOMPLISHED	COMMENTS BY FIRST APPRAISING OFFICER
<p>INDICATE AT LEAST ONE STAFF DEVELOPMENT ACTIVITY AND RELATED ACTIONS YOU INTEND TO UNDERTAKE WITHIN THE PERFORMANCE PERIOD</p>	

NAME: _____



SECTION C: SUPERVISORY/MANAGERIAL GOALS (FOR STAFF WITH SUPERVISORY RESPONSIBILITIES)

WHAT IS TO BE ACCOMPLISHED	YEAR-END APPRAISAL BY FIRST APPRAISING OFFICER
GOAL 1: MANAGE THE PERFORMANCE AND CONTRIBUTE TO THE DEVELOPMENT OF STAFF UNDER MY SUPERVISION (INDICATE RELATED ACTIONS AND HOW SUCCESS WILL BE DETERMINED)	
GOAL 2: DEMONSTRATE GENDER AND CROSS-CULTURAL RESPONSIVENESS (INDICATE RELATED ACTIONS AND HOW SUCCESS WILL BE DETERMINED)	

SECTION D: MID-YEAR REVIEW (FIRST APPRAISING OFFICER AND STAFF MEMBER ACKNOWLEDGE MID-YEAR REVIEW BY SIGNING ON THE COVER)

COMMENTS (REQUIRED ONLY WHEN GOALS HAVE CHANGED OR WHEN PERFORMANCE DOES NOT MEET EXPECTATIONS)

NAME: _____



**SECTION E: YEAR-END APPRAISAL
(TO BE COMPLETED BY FIRST APPRAISING OFFICER)**

IN ADDITION TO MAKING APPRAISALS IN SECTIONS A THROUGH C, PLEASE COMMENT ON THE STAFF MEMBER'S EFFICIENCY, COMPETENCE AND INTEGRITY IN THE PERFORMANCE OF DUTIES

FIRST APPRAISING OFFICER'S OVERALL APPRAISAL

RATING

- CONSISTENTLY EXCEEDS PERFORMANCE EXPECTATIONS
- FREQUENTLY EXCEEDS PERFORMANCE EXPECTATIONS
- FULLY MEETS PERFORMANCE EXPECTATIONS
- PARTIALLY MEETS PERFORMANCE EXPECTATIONS
- DOES NOT MEET PERFORMANCE EXPECTATIONS

FIRST APPRAISING OFFICER'S SIGNATURE

DATE

SECOND APPRAISING OFFICER'S SIGNATURE

DATE

SECOND APPRAISING OFFICER'S COMMENTS (OPTIONAL)

STAFF MEMBER'S SIGNATURE

DATE

STAFF MEMBER'S COMMENTS (OPTIONAL)

NAME: _____



PAS

United Nations Performance Appraisal System

Guide to the Revised Performance Appraisal System

INTRODUCTION

PURPOSE OF THIS GUIDE

This *Guide to the Revised Performance Appraisal System* is intended to complement the administrative instruction on the Performance Appraisal System (PAS) (ST/AI/1997/8). The purpose of the Guide is to assist staff and managers in implementing the PAS process by providing more detailed guidance with respect to the different components of the system.

PAS is designed to encourage a higher level of involvement and motivation by increasing staff participation in the planning, delivery and evaluation of work, with a view to improving overall organizational performance. It is based on up-front performance expectations (i.e., agreement on a work plan between staff member and supervisor), ongoing feedback with a scheduled mid-year review and a year-end appraisal. An important function of PAS is to promote communication between staff members and supervisors on the work programme, on the basis on which individual performance will be appraised, and on staff members' own professional development goals, encouraging teamwork in the process. It also places particular responsibility on staff with supervisory responsibility for a work unit to manage the performance of staff entrusted to them, to develop their staff and to demonstrate gender and cross-cultural responsiveness.

It is important to stress that PAS is not an end in itself but rather one key element in an overall performance management process in which both staff and managers have a role to play.

PAS PROCESS OVERVIEW

STEPS IN THE PROCESS

- ▶ The supervisor develops either a one- or two-year work unit plan based on the overall department or office plan and shares it with staff. A two-year plan is suggested in order to minimize time spent in drawing up plans and to link work planning more closely to the programme budget cycle.
- ▶ The staff member develops an individual annual work plan and meets with the supervisor to discuss and establish goals and performance expectations;
- ▶ The supervisor monitors performance; the supervisor and staff member communicate throughout the performance period on progress made towards the goals and general work performance issues;
- ▶ At mid-year, the supervisor and staff member have a scheduled discussion regarding work progress. Comments are required only where expectations have changed or where performance problems are identified;
- ▶ At the end of the performance cycle, the supervisor appraises performance against the goals and expectations; the supervisor, second appraising officer and staff member each sign the completed PAS form. The second appraising officer and the staff member may make comments on the appraisal form, if desired.

WORK PLANNING

DEPARTMENT OR OFFICE AND WORK UNIT PLANNING

Heads of departments and offices develop either one- or two-year work plans based on overall Organizational goals. These plans provide the basis for work plans at the division level, which in turn help establish the goals and priorities for sections or work units, and subsequently provide direction for individual work plans.

While department, office and work unit planning may be done on a one- or two-year basis, individual work plans are developed annually. It is important that supervisors meet with the staff in their work unit, either as a group or individually, and ensure that the goals and work standards are understood by the staff. In cases where staff report to more than one supervisor, one person should be designated to oversee the PAS process, with the other supervisors providing input. Supervisors and staff members should identify and address:

- ▶ The key goals for the work unit;
- ▶ The key challenges and issues the work unit faces in meeting those goals;
- ▶ How the individual staff member's role will contribute to the work unit goals;
- ▶ Areas that the individual staff member should focus on during this performance period.

Supervisors should discuss with staff common standards or performance dimensions such as teamwork, client focus, initiative and so on, expected of all staff members of the work unit. Professional standards which apply to all staff of a particular work group should also be made clear by the supervisor.

INDIVIDUAL WORK PLANS

A clear understanding of the work unit's objectives and of standards expected of all members of the work unit provides a foundation for effective annual individual performance plans. The staff member's expected contribution to the work unit goals for the performance period form the basis for the individual goals and related actions to be included in the PAS form. Individual staff write up to six goals and related actions reflecting the key assignments and/or responsibilities they expect to undertake during the reporting period. It is important that individual goals are appropriate to the staff member's level and position.

COMPLETING THE FORM

It is important to note that the purpose of creating a work plan is for the staff member and the supervisor to agree on the major responsibilities or assignments the staff member is expected to fulfil during the reporting period and on what quality and/or quantity of work is expected. The exact wording or format of the plan is far less important than is achieving this mutual understanding.

WHAT IS TO BE ACCOMPLISHED?

DIFFERENT TYPES OF GOALS

Staff members' goals will differ, depending on the nature of their work and level of responsibility. Some goals may reflect ongoing responsibilities, such as financial management, conducting meetings, providing translations, providing policy or legal advice, preparing position papers, doing word processing, maintaining a database and so on.

Other goals could relate to analysing and solving problems deemed important by both the supervisor and the staff member and taking action to correct them. Examples might be undertaking to improve existing internal processes and procedures or the quality of analysis, documents and papers; providing better client service, more timely responses, better coordination of efforts and so on.

Another type of goal could focus on actions to introduce changes to improve current or future work. Examples of this type of goal would be introducing, developing and implementing new ideas or concepts, processes or services.

GOALS VS. WORK PLANS

The individual work plan should not be a restatement of the staff member's job description, nor should it include details on every task the staff member performs. Job descriptions outline long-term duties and responsibilities in very general terms, whereas an individual work plan should specify only the major assignments or responsibilities the staff member is expected to fulfil within a particular reporting period.

DIFFERENT TYPES OF JOBS

The jobs of some staff do not change much from year to year. Such staff would have goals reflecting their ongoing responsibilities. Other jobs involve a high degree of change and unpredictability. In such jobs, while the exact problems or issues that may arise during the reporting period may not be foreseen in advance, the nature of the issues and the types and quality of responses required are known. Goals for such jobs would relate to handling the assignments or projects that arise in an effective and timely way, providing high-quality analysis, solving problems, making innovations in work processes and so on. The goal section on the PAS form has been designed to allow for maximum flexibility to accommodate the varied range of job types and working environments that exist in the Organization.

For each goal, there should be an indication of how success will be determined. Criteria should be included after each goal and set of related actions in section A. Success criteria can be stated in terms of quality or calibre of work expected, the expected quantity of work, timeliness, cost effectiveness or skills or behaviours to be demonstrated. Success criteria may include standards for a specific responsibility or assignment, as well as common standards expected of all members of a work unit or professional group.

In developing success criteria, it may be useful to ask, "Who are the recipients of this product or service?" and "What quality/calibre of work is required to satisfy their needs?"

Most supervisors and staff have a clear idea of what constitutes high-quality work in their field of endeavour, as well as an idea of what type of work is not up to par. The purpose of discussing and then writing criteria in the work plan is to ensure that criteria are known in advance, that is, that both the staff member and supervisor have a common understanding of the quality and calibre of work expected, time frames or deadlines that must be observed and skills or behaviours that should be demonstrated in performing the work.

EXAMPLES: HOW GOALS MAY BE FORMULATED

Below are examples of different types of goals and different ways in which the work plan (section A of the form) might be completed.

EXAMPLE A

<p>GOAL: Provide timely briefing notes and talking points for the Secretary-General in relation to developments in a country/region/mission/etc.</p> <p>RELATED ACTIONS:</p> <ul style="list-style-type: none">▶ Monitor events in the region;▶ Ensure that country profile databases are kept up-to-date;▶ Coordinate input with other units concerned;▶ Develop range of information sources and appropriate contacts;▶ Anticipate developments and provide timely analysis as requested. <p>SUCCESS CRITERIA:</p> <ul style="list-style-type: none">▶ Timely, accurate and succinct analysis is provided;▶ Analysis reflects use of current and broadest information sources;▶ Quality of information and analysis provided fulfils the requirements; of, and meets with the approval of the USG, SG, or other recipient.

EXAMPLE B

GOAL: Assist in improving information flow by coordinating and processing incoming and outgoing correspondence, phone messages and e-mail.

The related actions to accomplish this goal will be to set up a correspondence log, establish an effective follow-up system, establish an e-mail routing system and organize a team approach to office phone coverage.

The success criteria will be that the correspondence log is functioning by 30 March; all correspondence will be logged within one day of receipt; all members of the team will be consulted and will reach consensus on a phone coverage system; and all office phones will be answered within two rings.

PROFESSIONAL DEVELOPMENT GOAL

Every staff member is expected to have at least one professional development goal during the reporting period. This goal is to be included in section B of the PAS form. The goal may include special assignments, continuing education, on-the-job training, seminars, conferences, individual self-study and so on. This goal need not involve formal training, but should be interpreted broadly to include all forms of learning, including professional reading, cross-training provided by another colleague, assumption of a new task or assignment that involves learning new skills, information and so on. The action plan should indicate the skills or competencies that will be developed or enhanced by the development activity.

The supervisor and staff member should jointly decide on an appropriate staff development goal. The supervisor is responsible for ensuring that the development activity is realistic and achievable in the reporting period through the Organization's formal training programmes, on-the-job training, special assignments or other development and learning activities.

SUPERVISORY/MANAGERIAL GOALS

A major responsibility of staff who head departments, divisions, sections, services and units is the management of their work unit. Supervisory and managerial responsibilities should be included in section A of the PAS form as main goals of such managers and supervisors.

In addition, in order to highlight the particular responsibilities of those who supervise the work of others, all supervisors are expected to include goals on managing the performance of their staff, contributing to their staff's development and promoting a respectful and inclusive work environment. These goals are to be included in section C of the PAS form. Samples of possible actions for each goal are provided below.

GOAL 1: Manage the performance and contribute to the development of staff under my supervision

RELATED ACTIONS:

- ▶ Set objectives and complete work planning in a timely manner;
- ▶ Monitor performance of staff and provide ongoing performance feedback;
- ▶ Recognize high performance and address under-performance;
- ▶ Complete staff appraisals by established deadline;
- ▶ Identify staff development needs and encourage staff's participation in development and learning activities;
- ▶ provide on-the-job training and coaching to staff.

GOAL 2: Demonstrate gender and cross-cultural responsiveness

RELATED ACTIONS:

- ▶ Take account of the Organization's gender objectives when hiring, placing and developing staff;
- ▶ Equitably distribute responsibilities, work assignments and development opportunities;
- ▶ Promote a respectful and inclusive work environment.

WORK PLAN DISCUSSION

The supervisor is responsible for initiating the work plan discussion with each of the staff members under his or her responsibility. Staff members should come to the discussion with a prepared work plan to review with the supervisor. During the discussion, the staff member and supervisor should agree on the goals and success criteria to be used for each goal. It is the supervisor's responsibility to ensure that the staff member's goals are linked to the work unit plan and are appropriate to the staff member's level and position. The supervisor should also ensure that goals are sufficiently challenging, yet realistic, achievable and time-bound.

The supervisor and staff member also should discuss the quality and calibre of work expected, time frames or deadlines to be observed or skills and behaviours to be demonstrated so that the staff member knows how success will be determined. The meeting should include discussion of the staff member's professional development goals and supervisory/managerial goals, where appropriate. This discussion should be acknowledged on the cover of the PAS form.

MID-YEAR REVIEW

The supervisor and the staff member are required to have a scheduled mid-year review of the plan and the progress made toward achievement of the staff member's goals. This is not intended to take the place of ongoing discussions and performance feedback, which is encouraged throughout the year.

The mid-year review discussion should be acknowledged by the supervisor and the staff member by signing the front page of the PAS form in the space provided. Comments are required only when goals have changed or when performance does not meet expectations. Changes in assignments or priorities, or remedial action proposed to meet performance gaps, should be noted in section D of the form.

YEAR-END PERFORMANCE APPRAISAL

YEAR-END APPRAISAL

The first appraising officer completes the year-end appraisal by commenting on the extent to which the staff member has achieved the goals set and met the success criteria, taking into account any unforeseen developments during the reporting period that may have affected on performance. Goals may be treated as a group or individually. In cases where the staff member has had more than one supervisor, the designated first appraising officer should seek input from the other supervisors.

COMMENTS ON EFFICIENCY, COMPETENCE AND INTEGRITY

In order to take into account the way in which goals have been achieved, first appraising officers are requested to comment on the staff member's efficiency, competence and integrity in the performance of their functions. These dimensions are drawn from Article 101 of the Charter of the United Nations.

OVERALL YEAR-END PERFORMANCE APPRAISAL

The overall appraisal and rating should be determined taking into account the extent to which goals have been achieved, the degree to which success criteria have been met and the manner in which results have been achieved, as indicated in section E. The first appraising officer will assign one of the following five ratings:

FULLY MEETS PERFORMANCE EXPECTATIONS. This assessment describes performance that fully meets all the goals or success criteria in the work plan. The majority of staff will earn this rating, which represents entirely satisfactory performance in carrying out the goals and tasks of the Organization. This represents the fully acceptable level of performance for the position and is the standard or norm for the position.

FREQUENTLY EXCEEDS PERFORMANCE EXPECTATIONS. A rating of frequently exceeds performance expectations means that performance frequently exceeded what was expected for the position. Performance at this level should be regarded as unusual. This rating reflects high levels of quality, quantity or timeliness of work. Generally, performance will be higher for some goals than others. Supervisors need to provide clear supporting examples to explain why this rating is appropriate, with specific attention to how the staff member's actions and the results of those actions contributed to a greater degree than expected to organizational goals.

CONSISTENTLY EXCEEDS PERFORMANCE EXPECTATIONS. By definition, only a few people, items, actions, designs, and the like can be considered exceptional in any endeavour. A rating of consistently exceeds performance expectations is characterized not only by achieving the goals for the position, but by going *well beyond* those normally expected for the job. The individual may also have accepted a special assignment or additional responsibilities outside of the specific purview of the position. Performance at this level contributes to significant outcomes that advance the work of the unit as a whole. Performance results in this category are recognized within the work group and unit as exceptional and clearly exceeding the goals for the position in all respects. This rating, because it reflects exceptional performance, *must be especially well supported by statements of the specific actions and the results of those actions in terms of their contributions to organizational goals.*

PARTLY MEETS PERFORMANCE EXPECTATIONS. This rating describes performance that meets some goals but that still does not meet enough of the success criteria of the work plan. Additional, higher-quality or more timely outputs are needed. For staff given this rating, the supervisor must ensure a more comprehensive work and performance plan for the upcoming year. The plan should include specific and appropriate remedial training or development plan, more frequent reviews and closer assessment of progress made in areas identified as needing improvement. *Supervisors should provide specific examples of where the staff member's performance needs improvement, as well as instances of clear improvement.*

At the end of the performance year, if performance still needs improvement, examples should be cited in the comments sections of the final appraisal. If performance problems continue, the supervisor should propose corrective actions after appropriate consultation.

DOES NOT MEET PERFORMANCE EXPECTATIONS. This assessment means performance has not met the performance expectations articulated in the work plan for the performance period. Indications of such performance include:

- ▶ Quality of the work reflects serious shortcomings, or the quantity produced falls well short of the goals that have been established, and the results are inadequate after consideration of any relevant circumstances beyond the individual's control;
- ▶ Failure to complete significant assignments properly or to meet deadlines, which results in a serious negative consequence in meeting the work unit's goals;
- ▶ A continued lack of achievement of goals in spite of documented reviews with the supervisor; and/or
- ▶ Performance affects the work of others to the point of being detrimental to achievement of the work unit's goals.

This rating indicates serious reservations as to the staff member's overall ability to contribute towards achieving unit goals. In such cases, there needs to be a proactive approach by managers, who must document the under-performance and work with the staff member to develop a performance improvement plan. Continued under-performance should result in appropriate sanctions.

RATING DECISIONS

The PAS rating system is not intended to impose a mandatory bell curve. There is not a predetermined rating distribution. Nevertheless, experience with many similar organizations indicates that when staff are honestly and appropriately appraised, the vast majority are found to have fully met expectations, while the number of staff who have consistently exceeded expectations or who have not adequately met expectations would naturally be small.

Therefore, it is anticipated that not more than 5 per cent on average, across the whole Secretariat, will qualify for a rating of "consistently exceeds performance expectations". Some 10 per cent might be expected to receive a rating of "frequently exceeds performance expectations", while approximately 5 per cent may fall below "fully meets performance expectations". In all cases, assessment ratings must be explained by comments, including illustrations or examples as needed. For ratings other than "fully meets performance expectations", supervisors' comments must include examples of the work performed or not performed that justify the rating.



Secretariat

ST/IC/1997/88
22 December 1997

ENGLISH ONLY

INFORMATION CIRCULAR*

To: Members of the staff at Headquarters

From: The Assistant Secretary-General for Human Resources Management

Subject: AFTER-SCHOOL RECREATION AND STUDY PROGRAMME
FOR UNITED NATIONS CHILDREN**

1. The After-School Recreation and Study Programme is open to 5- to 11-year-old children whose parents work at the United Nations. Conducted under the auspices of an independent Board of Trustees, the Programme offers arts and crafts, athletic activities, dance and creative movement, games and homework under the supervision of qualified staff.
2. Begun over 27 years ago to assist working parents who were not in a position to provide after-school care for their young children, the Programme enjoys limited subsidies which make it possible to open it up to parents at the cost of \$500 per child per semester. This fee represents only a part of the actual cost per child incurred by the Programme. Special family circumstances will be taken into consideration for those families with a net joint income below \$30,000. Depending upon the demand, further criteria may be established by the Board of Trustees.
3. The spring 1998 semester will run from Monday to Friday, beginning Monday, 2 February 1998, from 3.15 p.m. to 5.45 p.m. Transportation will be provided from the United Nations International School building at 25th Street to the Secretariat building, 42nd Street and First Avenue entrance. Other arrangements will have to be made on an individual basis for children coming from other schools.

* Expiration date of the present information circular: 30 June 1998.

** Personnel Manual index No. 13000.

13000

4. Interested parents are invited to complete the attached application form and return it no later than 22 January 1998 to room DC2-839.
5. Staff members are encouraged to enrol their children between the ages of 5 and 11 years in the Programme, in accordance with information circular ST/IC/86/21 of 2 April 1986. It is assumed that parents who do not choose to enrol their children are making other arrangements. If staff members require that their children meet them and remain for any length of time within any of the Secretariat buildings, the Administration suggests that parents ensure that their children respect the working areas of other staff and maintain the proper decorum.
6. For further information, please call extension 3.8730.
7. Note new premises: Dag Hammarskjöld Library, lower level, room SA-B-52.

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APPLICATION FOR THE AFTER-SCHOOL RECREATION AND STUDY PROGRAMME
FOR UNITED NATIONS CHILDRENSpring semester 1998Renewal New application

<p>INSTRUCTIONS: Please answer all questions. Write NONE when applicable. Incomplete applications will not be accepted.</p>
--

Child's name _____

Birth date _____ Sex _____ Grade _____

School currently attending _____ Location _____

Previously enrolled in After-School Recreation and Study Programme? Yes/No

Name of parent or guardian _____ Room _____ Ext. _____

Home address _____ Tel. _____

Grade and step _____ Education grant: Yes/No Nationality _____

Name of spouse _____

Does your spouse work in the United Nations or a specialized agency? Yes/No

If yes, please give grade and step _____ Education grant: Yes/No

Room _____ Ext. _____

If not, please give spouse's (a) Occupation _____

(b) Employer _____ Address _____ Tel. _____

Information on other dependent children:

	Child's name	Sex	Birth date	School	Location of school
1.	_____	_____	_____	_____	_____
2.	_____	_____	_____	_____	_____
3.	_____	_____	_____	_____	_____

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While the Programme, to the extent of its capability, is open to all United Nations parents, it is a subsidized programme established essentially for those working parents who are not in a position to provide after-school care for their young children. Therefore, all parents are expected to pay for each child \$500 per semester, which represents only part of the actual cost per child incurred by the Programme. Special family circumstances will, however, be taken into consideration for those families with a net joint income below \$30,000.

How many persons does your family salary provide for? _____

Is your net family income* above \$30,000? Yes/No

You may be asked to provide supporting information at a later date.

CERTIFICATION

I certify that the above information is correct and complete to the best of my knowledge and belief.

Date _____ Signature _____

Payment made to ASRSP is attached. This fee is non-refundable unless the Programme is discontinued. There will be a late fee of \$50.

The hours are from 3.15 p.m. to 5.45 p.m. Any early arrival must be supervised by the accompanying adult until 3.15 p.m. The Programme cannot assume responsibility for any child brought to its premises prior to the scheduled opening time. Children must be picked up at the latest at 5.45 p.m. Children will be asked to leave the Programme if parents fail to pick them up on time on two occasions. In such an event, there will be no refund of the fee.

* Net income is defined as salaries, post adjustment, as well as education grant, dependency, housing and any other allowances minus United Nations staff assessment and United Nations pension contribution.



Secretariat

ST/IC/1997/13
18 February 1997

INFORMATION CIRCULAR

To: Members of the staff at Headquarters

From: The Assistant Secretary-General for Human Resources Management

Subject: NEW REQUIREMENTS BY THE HOST COUNTRY FOR
PERSONAL EMPLOYEES ON A G-5 VISA*

1. The purpose of this circular is to inform staff members serving at Headquarters of a note verbale from the United States Mission to the United Nations, dated 20 December 1996, advising the Secretariat of new requirements for the obtention of G-5 visas. The new requirements are effective 1 January 1997. The contents of the note verbale are set out in full in the annex to this circular.

2. The attention of the staff who have personal employees on a G-5 visa is drawn in particular to the following points:

(a) The new requirements apply to those G-5 visa applicants who have remained in the United States beyond the expiration of a period of authorized stay;

(b) Personal employees on G-5 visas who have overstayed the authorized period will not be eligible to be readmitted into the United States without first having obtained a new G-5 visa in their country of nationality;

(c) A limited number of exceptions have been made to the requirement that the G-5 visa should be obtained in the country of nationality, in particular:

(i) If a request for change of status to G-5 was filed on behalf of an employee prior to the expiration of a period of authorized stay, but not approved by the Immigration and Naturalization Service until after the period has expired, the employee ordinarily will not be required to apply in his or her country of nationality;

* Personnel Manual index No. 13022.



13022

- (ii) A G-5 visa applicant who has a current residence in a country other than that of his or her nationality or the United States will have the option to apply for his or her visa in that country;
 - (iii) G-5 visa applicants from a country where the United States currently does not have a visa issuing post may apply in certain countries designated by the Department of State as required to accept visa applications from nationals of the non-visa-issuing country.
3. Staff members having personal employees on G-5 visas are advised to study carefully the provisions of the annexed note verbale.

13022Annex

NOTE VERBALE DATED 20 DECEMBER 1996 FROM THE UNITED STATES
MISSION TO THE UNITED NATIONS ADDRESSED TO PERMANENT
MISSIONS, OBSERVER MISSIONS AND OFFICES AND THE SECRETARIAT

The United States Mission to the United Nations has the honour to refer to a recent amendment in the immigration laws of the United States which will affect the venue of visa application for certain G-5 visa applicants.

Effective 1 January 1997, persons seeking to be admitted as personal employees in the G-5 visa category who have overstayed a period of authorized non-immigrant stay in the United States will be subject to the visa issuance provisions of section 222(g) of the Immigration and Nationality Act, as amended on 30 September 1996. The visa on which they entered the United States and subsequently overstayed will be invalid and, except in the case of "extraordinary circumstances" as described below, they will not be eligible to be readmitted into the United States without first having obtained a visa in their country of nationality. This rule will apply to applications for G-5 visas, as well as for most other categories of non-immigrant visas. Once a visa has been issued in the country of nationality, it may be used by the holder for application for admission during the period of its validity and for the number of entries authorized.

The United States Mission wishes to inform the Permanent Missions, Observer Missions and Offices and the Secretariat of the United Nations that the requirement that those who have overstayed their visas apply for new visas in their country of nationality will not apply to requests for G-1, G-2, G-3 or G-4 visas. Rather, subject to all other existing laws, regulations or procedures, persons seeking such visas may apply at any United States Embassy or Consulate that issues non-immigrant visas.

Applicants for G-5 visas who are subject to section 222(g) as from 1 January 1997 may fall within a limited number of exceptions already made by the Department of State to the section 222(g) requirement. For example, if a request for change of status to G-5 was filed on behalf of an employee prior to the expiration of a period of authorized stay, but not approved by the Immigration and Naturalization Service until after the period had expired, the employee ordinarily will not be required to apply in his or her country of nationality. Further, a visa applicant subject to section 222(g) who has a current residence in a third country will have the option to apply for his or her visa in that country. In addition, applicants from countries where there currently exists no visa issuing post may apply in certain countries designated by the Department of State as required to accept visa applications from nationals of the non-visa-issuing country.

A G-5 visa applicant who wishes to seek an exception to section 222(g) based on extraordinary circumstances should do so at a United States Embassy or Consulate abroad. Circumstances which may qualify as "extraordinary" in nature ordinarily will be those relating primarily to severe hardship caused by the applicant's medical condition or other humanitarian concerns.

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13022

The provisions described above apply only to those G-5 visa applicants who have remained in the United States beyond the expiration of a period of authorized stay and who are therefore subject to section 222(g). Other G-5 visa applicants should continue to apply for visas in the normal manner.



Secretariat

13023

ST/IC/1997/18
6 March 1997

INFORMATION CIRCULAR

To: Members of the staff at Headquarters

From: The Assistant Secretary-General for Human Resources Management

Subject: HOUSEHOLD EMPLOYEES OF UNITED NATIONS STAFF MEMBERS:
PARTICIPATION IN THE UNITED STATES SOCIAL SECURITY
PROGRAMME*

1. The Organization has recently received from the United States Mission to the United Nations a note verbale clarifying United States Government policy with regard to the participation in the United States Social Security Programme of individuals present in the United States with G-5 status as household employees of United Nations staff members as set out below.

A. Household employees of senior United Nations officials

2. According to the note, participation in the United States Social Security Programme of individuals with G-5 status who are the household employees of senior United Nations officials at the Assistant Secretary-General and Under-Secretary-General levels who are accorded diplomatic status by the host country pursuant to section 19 of the Convention on the Privileges and Immunities of the United Nations is required, depending on the individual circumstances as described below.

3. Diplomatic privileges and immunities are accorded to such senior United Nations officials in accordance with the Vienna Convention on Diplomatic Relations. The issue of social security is addressed in article 33 of the Convention, which provides that private servants who are in the sole employ of a diplomatic agent shall be exempt from social security provisions in force in the host State on two conditions: (a) that they are not nationals of or permanently resident in the host State and (b) that they are covered by the social security

* Personnel Manual index No. 13023.

13023

provisions which may be in force in the home country or a third State. Article 33 further stipulates that a diplomatic agent who employs persons to whom the above exemption does not apply shall observe the obligations which the social security system of the host State imposes upon employers.

4. Furthermore, article 37 of the Vienna Convention exempts household employees with G-5 status of such senior United Nations officials from paying dues or taxes on the emoluments they receive by reason of their employment in the host State. The United States Mission, however, has advised that such senior United Nations officials should inform the United States Social Security Administration or the United States Internal Revenue Service of this exemption when making a contribution to the Social Security Programme in the name of the household employee.

5. Household employees of senior United Nations officials to whom the exemption from participation in the Social Security Programme does apply are ineligible to participate in the Programme on a voluntary basis.

B. Household employees of all other United Nations staff members

6. Non-United States citizens who are household employees of other United Nations staff members are subject to United States laws on social security.

7. In the absence of a totalization/social security agreement (an agreement which aims to preclude the requirement to pay into two national social security systems simultaneously) between the United States and the country from which the household employee comes, if the household employee has G-5 status, he or she must participate in the United States Social Security Programme because there is no applicable international law that would override the requirement to participate.

8. The United States Mission has informed the Organization that the following countries have concluded bilateral totalization/social security agreements with the United States: Austria, Belgium, Canada, Finland, France, Germany, Greece, Ireland, Italy, Luxembourg, the Netherlands, Norway, Portugal, Spain, Sweden, Switzerland and the United Kingdom of Great Britain and Northern Ireland.

9. If the household employee comes from a country with which the United States has a totalization/social security agreement, whether or not the household employee must participate in the United States Social Security Programme depends on the provisions of the agreement. In general, a household employee from a country with which the United States has a totalization/social security agreement will be subject only to the laws of the home country and exempt from participation in the United States Social Security Programme if the household employee has been in the United States for a period of five years or less.

10. The household employees of United Nations staff members who do not enjoy diplomatic status are not exempt from dues or taxes imposed in the United States on the emoluments received by reason of their employment there.



Secretariat

13090

ST/IC/1997/69
22 October 1997

ENGLISH ONLY

INFORMATION CIRCULAR*

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: TIME OFF FOR VOTING ON UNITED STATES ELECTION DAY**

1. Staff members of United States nationality wishing to exercise their right to vote on Tuesday, 4 November 1997, should try to do so outside their normal working hours. Those who are unable to do so may ask the executive officer of their department or office for up to two hours of time off. Executive officers will grant any such requests consistent with the exigencies of the service.

2. Any absence from duty not specifically authorized, including any absence beyond the allowable two-hour maximum, will be treated in accordance with the provisions of staff rule 105.1 (b) (ii).

* Expiration date of the present information circular: 5 November 1997.

** Personnel Manual index No. 13090.



Secretariat

13095

ST/IC/1997/90
26 December 1997

INFORMATION CIRCULAR*

To: Members of the staff at the Assistant Secretary-General level and above at Headquarters

From: The Under-Secretary-General for Administration and Management

Subject: INSURANCE REQUIREMENTS FOR SENIOR OFFICIALS ENTITLED TO DIPLOMATIC PRIVILEGES AND IMMUNITIES**

1. The purpose of the present information circular is to inform the staff at the Assistant Secretary-General and Under-Secretary-General levels and officers of equivalent rank of insurance requirements relating to the short-term operation of motor vehicles in the United States by senior officials of the United Nations, and by their dependants, entitled to diplomatic privileges and immunities under article V, section 19, of the Convention on the Privileges and Immunities of the United Nations.¹

2. The United States Mission to the United Nations has recently advised the Secretariat of the following requirements in this respect:

(a) Senior officials of the United Nations and their dependants who have driver's licences issued by the Department of State must, prior to the operation of a rental vehicle, have liability coverage equal to the Department of State's mandated levels for car registration: \$100,000/\$300,000/\$100,000 split limits or \$300,000 combined single limit;

(b) If these persons already possess liability coverage for the operation of a rental vehicle through their existing policies with respect to their vehicles registered with the Department of State, they nonetheless should ensure that a current liability policy would be available to satisfy any valid claims in the event of an accident involving a vehicle they have rented;

* The present circular will be in effect until further notice.

** Personnel Manual index No. 13095.

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(c) Senior officials and dependants who have not registered a vehicle with the Department of State and do not have the mandated level of liability insurance are required to obtain it prior to the operation of a rental vehicle;

(d) If the senior official or dependant would be covered while operating a rental vehicle under a current liability policy for United Nations-owned and registered vehicles, such official or dependant is not required to obtain duplicate insurance;

(e) In case senior officials and dependants holding driver's licences issued by the Department of State do not carry the required amount of insurance when operating a rental vehicle, their licences will be considered invalid and, therefore, they will be operating that vehicle illegally;

(f) If valid claims are not satisfied in any case involving a traffic accident or injury, the Department of State would intend to request an appropriate waiver of immunity.

3. It is expected that senior officials and their dependants entitled to diplomatic privileges and immunities in the host country will conform to the above-stated requirements.

Notes

¹ United Nations, Treaty Series, vol. I, No. 4, p. 16.



Secretariat

13110

ST/AI/309/Rev.2
18 February 1997

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Assistant Secretary-General for Conference and Support Services

Subject: AUTHORITY OF UNITED NATIONS SECURITY OFFICERS*

1. United Nations security officers function as agents of the Secretary-General to preserve order and to protect persons and property within the Headquarters area. All persons on the premises are expected to comply with the directions that may be issued by the security officers in the performance of their functions. Security officers, and all staff members, are expected to exercise their functions with courtesy and in conformity with established rules and regulations, including applicable local law.¹

2. Security officers are authorized to search persons, vehicles, handbags, briefcases or packages and to seize property if they have reason to believe that any person is carrying an unauthorized weapon, explosives or other dangerous substances or narcotics, or is removing property from the premises without proper authorization. Vehicles entering the premises will be subject to search by security officers on duty at entry/exit gates. The removal of United Nations and/or personal property from the premises of the United Nations is governed by administrative instruction ST/AI/193/Rev.1 of 24 June 1977, on material and package passes.

* Personnel Manual index No. 13110.

¹ Subject to the provisions of this instruction, security officers are authorized, within the limits permitted by local law, to effect arrest, including the use of force, where the person to be arrested is committing or attempting to commit an offence or has in fact, committed a felony. (See "Legal Guidelines", Handbook for Personnel of the Security and Safety Service, p. 60, part IX, sect. 9.03.)

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13110

3. Refusal to comply with directions issued by the security officers within their authority may result in removal from or denial of access to the premises and shall be reported by the Chief, Security and Safety Service, to the Assistant Secretary-General, Office of Conference and Support Services, for appropriate action.
4. Compliance with and application of the present administrative instruction in no way prejudices the duties, obligations and privileges of staff members, under the Staff Regulations and Rules, or their right to file complaints with the Assistant Secretary-General, Office of Conference and Support Services, through the Chief, Security and Safety Service, if directions by security officers are thought to be unfair or unjust.
5. This instruction supersedes administrative instruction ST/AI/309/Rev.1 of 17 February 1984.



Secretariat

13112

ST/IC/1997/55
9 September 1997

INFORMATION CIRCULAR*

To: Members of the staff at Headquarters

From: The Assistant Secretary-General for Central Support Services

Subject: ARRANGEMENTS FOR ADMISSION TO THE PREMISES AT
UNITED NATIONS HEADQUARTERS DURING THE
FIFTY-SECOND SESSION OF THE GENERAL ASSEMBLY**

1. The present circular describes the arrangements that will be in effect at Headquarters for admission to the premises, as well as parking, catering facilities and commercial operations during the fifty-second session of the General Assembly.

Admission to Headquarters buildings

2. Staff members, affiliates and accredited members of non-governmental organizations and the information media will be admitted to the United Nations premises only upon presentation of a valid United Nations identification card (grounds pass) or laissez-passer. All are reminded that, in view of the need for heightened security measures, the provisions of Secretary-General's bulletin ST/SGB/259 of 2 July 1993 regarding the wearing of identification cards will be strictly enforced. It is the responsibility of staff members to ensure that their identification cards are current; expired cards will be replaced by the Pass and Identification Unit of the Security and Safety Service, located in the UNITAR building, ground floor, at 45th Street and First Avenue, upon presentation of an application obtained from the staff member's executive office. Staff members who arrive without their identification cards will be directed to the Visitors' Entrance at 46th Street, where they will be required to pass through a magnetometer. A day pass can be obtained at the information

* Expiration date of the present information circular: 31 December 1997.

** Personnel Manual index No. 13112.



13112

desk in the lobby of the General Assembly Building, upon verification of the staff member's identity. The hours of operation of the information desk are from 9 a.m. to 5.30 p.m.

Access to restricted areas

3. The second floors of both the General Assembly and the Conference Buildings are reserved for members of delegations, staff conducting official business in the area and accredited members of the information media, in accordance with established procedures. In all cases, valid United Nations identification will be required.

4. Access to the North Lounge and the General Assembly Hall will be permitted only upon presentation of an area-specific pass for the fifty-second session of the General Assembly, together with a United Nations grounds pass. Area-specific passes will be issued by the Pass and Identification Unit, under arrangements made by executive offices. Identification cards and area-specific passes are subject to verification by security officers and must be worn in such a manner as to be easily visible.

5. The South Lounge on the second floor of the Conference Building, excluding the adjoining Security Council Lounge, is open to staff members when the Security Council is not in session.

6. To the extent that space is available, staff members will be accorded access to the gallery seating areas of the General Assembly Hall and conference rooms, upon presentation of their grounds passes. On certain days, however, special arrangements may be in effect.

Admission of non-United Nations persons

7. Staff members are reminded of the existing security arrangements that require that all visitors on official business or invited guests, including family members, must enter through the Visitors' Entrance at 46th Street and pass through a magnetometer prior to requesting admission to the Secretariat Building at the information desk. An information assistant will verify the visit with the respective staff member, before a visitor's day pass will be issued. Visitors or guests, including children over the age of 17, will be required to submit a piece of personal identification bearing a photograph to the security officer stationed at the information desk. In order to avoid inconvenience, visitors and guests should be informed in advance that photo identification is required.

8. During peak periods of the General Assembly, staff members are urged to restrict visits by outside persons to those involving official business only. It will be the responsibility of each staff member to meet his or her guests, accompany them at all times and later escort them back to the public area in the General Assembly Building lobby. No guest will be permitted to enter restricted areas.

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3112

Tours

9. During the period from 22 September through 10 October 1997, regular guided tours will be conducted only on weekends. An abbreviated guided tour in the General Assembly Building lobby will be given on weekdays during that period.

Traffic in the Secretariat circle

10. Vehicular access through the gate at First Avenue and 43rd Street will continue to be restricted to vehicles of the Permanent Representatives to the United Nations; no other vehicles will be permitted access to the Secretariat circle. Exceptions will, however, be made for disabled persons upon appropriate certification by the Medical Service.

Parking

11. Parking for staff members in the garage will be limited to those staff members in possession of a regular parking permit only. When exigencies of service require the use of a vehicle, a limited number of temporary permits may be issued to staff members upon written justification by their executive offices and approval by the Garage Review Board. All holders of valid parking permits must ensure that they are prominently displayed and readily visible to security officers at entry points and while the vehicles are on the premises. Vehicles not displaying a valid permit may be towed off the premises for security and safety reasons. Passengers who are not in possession of valid United Nations identification must leave the vehicle before it enters the premises.

12. Vehicles other than those belonging to Permanent Representatives to the United Nations will be required to enter the garage via the 48th Street entrance. Vehicles may leave through the 42nd Street exit between 5 p.m. and 7 p.m., from Monday to Friday, or between 6 a.m. and 8 p.m., through the 48th Street entrance. At all other times, vehicles must exit through the main gate at 43rd Street. Traffic lanes on the service road and roadways in the garage must be kept free of stationary vehicles at all times.

13. All vehicles entering the premises are subject to search.

Dining room, other catering facilities and commercial operations

14. The hours of service for the Delegates' Dining Room are 11.30 a.m. to 2.30 p.m. Staff members are encouraged to make reservations for the Delegates' Dining Room (ext. 3-7625) for 11.30 a.m., 12 noon or after 2 p.m., since the demand at 1 p.m. is usually heavy. During the general debate, access to the Delegates' Dining Room for lunch will be restricted to persons holding valid United Nations grounds passes or laissez-passers. From 16 September until 10 October 1997, reservations for private dinners or receptions will be accepted only from permanent and observer missions or United Nations bodies. The Ex-press Bar on the third floor of the General Assembly Building may not be used for parties when the General Assembly is meeting.

15. Staff members whose lunch hour is not determined by the schedule of meetings are urged to use the cafeteria when it is least crowded, that is, before 12.45 p.m. and after 1.45 p.m. Alternative facilities in the following

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13112

areas may also be used: the Staff Cafe on the fourth floor, the UNCA Club on the third floor, the Vendery on the third floor of the General Assembly Building, the Coffee Shop in the first basement of the General Assembly Building (visitors' area), the cafeteria on the third floor of the UNDC-1 Building and the cafeteria located on the first floor of UNICEF House.

16. The hours of operation of the various facilities during the fifty-second session of the General Assembly will be as follows:

16 September to the end of the session

Cafeteria (Secretariat Building - first floor)

Monday-Friday	8 a.m.-8.30 p.m.
Saturday	9 a.m.-3 p.m.

UNCA Club (Secretariat Building - third floor)

Monday-Friday	9 a.m.-4.30 p.m.
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Staff Cafe (Conference Building - fourth floor)

Monday-Friday	12 noon-3 p.m.
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Vendery (General Assembly Building - third floor)

Monday-Sunday	Open 24 hours
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South Lounge (Conference Building - second floor)

Monday-Friday	11 a.m.-7.30 p.m.
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North Lounge (Conference Building - second floor)

Monday-Friday (snack bar)	10 a.m.-5 p.m.
Monday-Friday (bar)	10 a.m.-8 p.m.

Delegates' Dining Room (Conference Building - fourth floor)

Monday-Friday	11.30 a.m.-2.30 p.m.
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Coffee Shop (General Assembly Building
concourse - first basement)

Monday-Sunday 8.30 a.m.-4.30 p.m.

Café Austria (General Assembly
Building - first basement)

Monday-Friday 9 a.m.-6 p.m.

UNDC-1 Cafeteria (third floor)

Monday-Friday 8.30 a.m.-6 p.m.

UNICEF Cafeteria (UNICEF House - first floor)

Monday-Friday 8.30 a.m.-4.30 p.m.

Gift Centre (General Assembly Building
concourse - first basement)

Monday-Sunday 9 a.m.-5.30 p.m.

UNPA Stamp Counter (General Assembly Building
concourse - first basement)

Monday-Sunday 9 a.m.-5.30 p.m.

Bookshop (General Assembly Building
concourse - first basement)

Monday-Sunday 9 a.m.-5.30 p.m.



Secretariat

13113

ST/IC/1997/56
10 September 1997

INFORMATION CIRCULAR*

To: Members of the staff at Headquarters

From: The Assistant Secretary-General for Central Support Services

Subject: ADDITIONAL ARRANGEMENTS FOR ADMISSION TO THE PREMISES
AT UNITED NATIONS HEADQUARTERS DURING THE FIFTY-SECOND
SESSION OF THE GENERAL ASSEMBLY**

1. The present circular describes additional arrangements that will be in effect at Headquarters for admission to the premises during the fifty-second session of the General Assembly.

Closure of the garage

2. The garage will be closed for parking at 6 p.m. on Saturday, 20 September 1997, for security inspection, and will be reopened for authorized vehicles at 4 a.m., on Monday, 22 September 1997. All vehicles must be removed until the reopening of the garage is authorized. Remaining vehicles will be towed and stored at the owner's expense.

3. During the closure of the garage, arrangements have been made with the New York City Police Department to permit members of delegations, staff and affiliates to park their vehicles on East 34th Street to East 40th Street along First Avenue. Please note that this alternate parking arrangement is authorized only for the period from 6 p.m. Saturday, 20 September 1997, to 4 a.m. Monday, 22 September 1997.

4. Valid United Nations parking decals and garage parking permits should be displayed and will be honoured by the New York City Police Department.

* Expiration date of the present information circular: 31 December 1997.

** Personnel Manual index No. 13113.

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13113

5. ALL VEHICLES ENTERING THE GARAGE ARE SUBJECT TO SEARCH.

Closure of First Avenue

6. The New York City Police Department has informed the Secretariat that it will close the section of First Avenue in front of the United Nations from 9 a.m. until 3 p.m. on Monday, 22 September 1997, to accommodate the motorcades of dignitaries. Members of delegations, staff and affiliates, upon presentation of their grounds passes, may cross First Avenue at either 42nd, 45th or 49th Street. The crossing point at 45th Street will be particularly congested, and it is therefore recommended that all pedestrians use the other two crossings. Furthermore, First Avenue will be closed to ALL pedestrian crossing between 9 and 10 a.m. During this time, the only entry point to the premises will be through the 48th Street entrance to the garage. Therefore, MEMBERS OF DELEGATIONS, STAFF AND AFFILIATES ARE STRONGLY URGED TO ARRIVE BEFORE 9 A.M. It may also become necessary to close the three street crossing points temporarily at various times throughout the day. United Nations security officers will be posted at those three check-points to assist the police in identifying members of delegations and United Nations staff. Such closings may also be necessary on short notice on other days during the fifty-second session of the General Assembly. To the extent possible, efforts will be made to inform the staff in advance of planned closings of First Avenue.

Access through the Delegates' Entrance

7. In order to enhance security during the period of the general debate, the gate at 45th Street and First Avenue and the Delegates' Entrance will be reserved for use by members of delegations. Staff members and affiliates are requested to use other access points.

8. The present circular should be read in conjunction with information circular ST/IC/1997/55, dated 9 September 1997, which provides information on arrangements for admission to the premises, as well as parking, catering facilities and commercial operations during the fifty-second session of the General Assembly.



Secretariat

13211

ST/IC/1997/33
29 May 1997

INFORMATION CIRCULAR

To: Members of the staff

From: The Assistant Secretary-General for Human Resources Management

Subject: CESSATION OF TOBACCO SMOKING AT UNITED NATIONS
HEADQUARTERS, NEW YORK*

1. Tobacco smoke in the work environment is recognized as a major and unacceptable pollutant. Recent studies have confirmed the fact that second-hand smoking is a significant cause of cancer, cardiovascular diseases and diseases of the respiratory system. Most substantial exposure to second-hand smoking usually occurs at the workplace. Given the information stated above and recognizing the responsibility of the United Nations for the health and well-being of its employees, administrative instruction ST/AI/407, which restricted smoking to specially designated areas at the premises of Headquarters, was issued on 1 August 1995.
2. The limited impact and efficiency of ST/AI/407 have been closely monitored and recently reviewed by the Medical Services Division of the Office of Human Resources Management, the Buildings Management Service and the Staff Union. Taking into consideration the concerns of the staff of the United Nations, and in order to assure a healthy, tobacco-free working environment, smoking shall be prohibited in the DC and UNITAR buildings effective 1 July 1997, including the cafeteria and sitting space on the third floor of DC1. "No Smoking" signs will be displayed at the building entrances and throughout the premises by the Department of Administration and Management in due course.
3. In the Secretariat Building, smoking remains restricted to the areas designated in ST/AI/407. No smoking is allowed in offices, hallways, restrooms or on the stairs or escalators.

* Personnel Manual index No. 13211.



13211

4. The success of this policy will depend on the mutual understanding and cooperation of both smokers and non-smokers. It is a moral obligation of all staff members to follow the above policy and share the responsibility for enforcing it. Respect for and courtesy towards fellow staff members requires no less. Exposing colleagues to the danger of passive second-hand smoking has become unacceptable behaviour.

5. All staff members who need assistance to stop smoking are invited to contact the Medical Services Division of the Office of Human Resources Management (extension 3-7080).
