

REPORT

on personnel problems in the United Nations

(Professional category and above)

Maurice Bertrand
Joint Inspection Unit

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REPORT ON PERSONNEL PROBLEMS

(Professional category and above)

IN THE UNITED NATIONS

NOTE: The reader's attention is drawn to the fact that this report deals only with the United Nations and not with the specialized agencies.

It is likely, however, that some of the recommendations made in the report may prove of interest - subject to further studies - to the organizations of the United Nations family as a whole.

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CHAPTER I

THE GROUNDS FOR AND SPIRIT OF REFORM

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CHAPTER I. THE GROUNDS FOR AND SPIRIT OF REFORM

1. This study of personnel problems in the Professional category and above^{1/} in the United Nations is a technical study: that is to say, it makes a detailed analysis of certain administrative mechanisms and leads to proposals for reform designed to improve the operation of the existing system.

Obviously, however, it is impossible to write a purely technical study on personnel problems in the United Nations.

No proposal for a change in methods - whether of recruitment, management, reporting or assignment - can be made without political implications. An honest search for greater efficiency is in itself a political statement.

No idea for changes can be arrived at independently of a general outlook; in the last analysis, proposing reforms amounts to saying what type of personnel and, consequently, what type of Secretariat is desired for the United Nations. This is not just a matter for a technician.

In this matter, the technical task resembles that of an architect. The architect can try to build something provided that he knows exactly what his client wants; but he cannot take his client's place.

2. No proposal for reform would have a chance of receiving attention in the absence of a deep-rooted will for change and an agreement among the Member States on the general policy line to be followed in making the changes. It is therefore necessary to begin by stating clearly what assumptions have been made with regard to that will and that policy line as a basis for this study.

^{1/} This study does not deal with the General Service category or field experts except where the problems of these categories happen to have some bearing on those of the Professional category.

3. These assumptions have been arrived at on the basis of all the available documents, including in particular the records of the General Assembly's proceedings, and after many consultations. The decision to undertake this study was made after ascertaining the opinion of the Secretary-General on this point. On a proposal made by the Director of Personnel on 6 April 1970, the Secretary-General kindly set up a small committee to advise the author of this report in his difficult task. This committee discussed the principal personnel problems and supplied the author with ideas which have been very useful to him. In accordance with the terms of reference conferred on the Joint Inspection Unit by the General Assembly, however, the author of the report takes sole responsibility for his conclusions and for the solutions he proposes.^{1/} In a wider setting, especially valuable help and advice were given by the senior staff of the United Nations Office of Personnel in general and by Mr. Mohamed Gherab, the Director of Personnel, in particular. A great many prominent members of the staff were good enough to tell the author what policy lines they thought desirable and possible. The assumptions, therefore, are not merely the author's own but a synthesis of a great many informed opinions.

4. These assumptions may be summarized as follows:

Assumptions concerning the situation with regard to personnel problems:

1. There is a deep-rooted will for change in matters of personnel policy;
2. The United Nations Secretariat is passing through a grave crisis of modernization which must be speedily resolved;
3. The national civil services of all Member States are affected by this crisis in varying degrees.

Assumptions concerning lines of solution:

1. The only way out of the present crisis is to modernize personnel policy methods as quickly as possible so as to secure a Secretariat which is more efficient, more flexible and more in keeping with the needs of the Member States;

^{1/} Report of the Ad Hoc Committee of Experts to Examine the Finances of the United Nations and the Specialized Agencies (A/6343), paragraph 67 B.

2. This modernization should be effected in close co-operation with national civil services;
3. Indeed, this is the best way to maintain the necessary political balance in the Secretariat.
5. These assumptions will now be developed in more detail in the process of examining:
 - I. The grounds for reform (will for change and modernization crisis);
 - II. The spirit and principles of such reform (rapid modernization and co-operation with national civil services).

I. THE GROUNDS FOR REFORM

6. General dissatisfaction, and real problems which are not properly solved but grow worse from year to year: these seem to me to be the two essential features of the present situation with regard to personnel questions in the United Nations.

(1) Dissatisfaction

7. There is no need for me to labour the subject of the general dissatisfaction prevailing in these matters; it is in evidence among Member States, among senior officials of the Secretariat and in the staff associations, and in each case it appears in a form complementary to the other two.

A. The Member States

8. Personnel problems account for a sizeable proportion of the work of the General Assembly's Fifth Committee every year. The discussions held on salaries at the Assembly's twenty-fifth session, in November and December 1970, demonstrated the difficulty of the problems confronting the Member States in this field and, at the same time, the general dissatisfaction felt by most delegations with the quality of solutions proposed.
9. However, the specific discussion of personnel problems is not the only occasion which prompts the representatives of Member States to express their dissatisfaction at the conditions in which the Secretariat operates. They do so whenever they take up a problem which has difficult technical aspects, especially when administrative management technique is involved. Whether it relates to the frequent requests made for estimates of the financial implications of a proposal; the tireless and never-assuaged striving to measure the comparative cost and benefit of different units through "desk-by-desk" survey and the work of the Administrative Management Service; the search for possible savings amid the vast mass of documentation and publications; the problems of medium-term programming, the vital prerequisite for the assignment of priorities by the Member States; or the study of the statistical basis on which to comp

the scales of remuneration, no problem of this nature is ever solved quickly, completely or satisfactorily. The result is a kind of standing contention between the delegations and the Secretariat. The same questions come before the General Assembly again at each session; study groups undertake tasks of an administrative nature which it would normally have been the Secretariat's affair to clear up completely in advance. It often takes several years to arrive - or fail to arrive - at decisions which could have been taken right away if the preliminary gathering of information had been done in time.

All this sets up an undeniable uneasiness which could be dispelled if, from the personnel standpoint, the Secretariat was equipped to serve the Member States as they would wish to be served.

B. The Directors of the Secretariat

10. The same concern is shared, from a different angle, by the Directors in charge of the various units of the Secretariat: the difficult or insurmountable obstacles they face in performing their duties are due in essentials to their personnel problems.^{1/}

There is a keen desire among them that drastic changes should be made as quickly as possible in order to make available the competent staff they need; only in a few cases is that desire tempered by scepticism as to the very possibility of a solution. The opinions collected give a fairly striking picture of what the Directors are the first to regard as the faults of the present administrative system. The brief notes which follow will give some slight idea of the comments made:

Lack of delegation of authority and lack of delimitation of jurisdiction;
Clogging of the work programme with projects which cannot possibly succeed;
Organization of work open to criticism;

^{1/} In the course of the survey which was made, the views of more than forty out of sixty-two Directors (D-2) and of a large number of Under-Secretaries-General and Assistant Secretaries-General on the main aspects of personnel problems were ascertained either from their replies to a very detailed questionnaire or by interview.

Paucity of modern working equipment;
Lack of consideration for Professional staff;
Slowness of procedure in all personnel matters;
Acceptance of patronage in recruitment;
Lack of leadership; erosion of discipline and morale;
Difficulty of terminating incompetent staff members;
Lack of in-service training and of career prospects;
Lack of long-term policy;
Erosion of ideals;
Starting (P-1 and P-2) salaries too low to appeal to young graduates;
Stress laid by Directors of all economic and technical units on the seriousness of recruitment difficulties (cf. section (2), sub-section B, below, etc.).

C. The staff associations

11. A great desire for change and clarification is also in evidence among the representatives of the staff associations. Far beyond mere considerations of salary or working conditions, their analysis of the crisis in morale among the Secretariat staff emphasizes two basic needs:
 - For more direct participation in decision-making affecting their status and the organization of work;
 - For the establishment of firmer and more definite principles of career organization.
12. It appears, then, that a profound desire for change is shared by all the parties concerned; we must now try to determine what justification there is for that desire.

(2) The "modernization crisis"

13. The crisis of modernization through which the Secretariat is passing seems to me to have the following characteristics:

A. Changes in size

There is no need for me to describe in detail the changes which have taken place in the size of the Secretariat; the excellent short document published on the subject of budgetary growth (A/C.5/1307 of 29 September 1970)^{1/} points out that:

Expenditure under the United Nations regular budget, expressed in current dollars, was multiplied by 8.5 between 1948 and 1970; expressed in constant dollars, it was multiplied by 4.5;

This expenditure was at first concentrated at Headquarters in New York but has since spread to duty stations all over the world (Geneva, Vienna and the regional economic commissions), to the point where Headquarters expenditure now accounts for only 50 per cent of the total (cf. figure II (a) and (b) on pp. 6 and 7 of the document);

The number of Professional posts has virtually doubled in twenty years (between 1950 and 1970), from 1,600 to 3,200 (figure VI on page 16 of the document);

The number of Professional staff in the economic and social area of activity increased by 200 per cent in fifteen years, from 501 in 1954 to 1,429 in 1969, while the number of Professional staff in other areas increased by only 50 per cent.

Again, it seems needless to dwell on the variety of work performed by the Secretariat, which now ranges from the traditional political and legal activities to problems of international trade and raw material prices, from industrialization to problems of scientific development, from the problems presented by narcotic drugs to those of the environment and so on.

^{1/} "Budget estimates for the financial year 1971: Study of the nature of the increases in the level of expenditure in the United Nations regular budget. Report of the Secretary-General."

14. A budget multiplied, in real value terms, by 5; a Professional staff that has doubled in numbers; a profound change in the nature of activities in favour of economic and social matters, on which more than half the total staff are now directly engaged; more than half the staff employed away from Headquarters; and a very great variety of duties: all this simply means that a body originally planned as a mere conference secretariat has grown in twenty-five years into a very large and highly complex civil service.

This transformation is the basic cause of the present crisis in so far - and exactly in so far - as the general conception of administrative methods, especially those concerned with personnel policy, has failed to evolve at the same rate.

One fairly accurate way to take the measure of the crisis is to study the difficulties of recruitment.

B. Difficulties of recruitment

15. Annex I.1 contains an analysis, made in November 1970, of the views of a number of Directors on recruitment problems. One characteristic of these problems is that they can be measured. The table given in the annex shows clearly that:

The numbers of vacant posts, separations from service due to dissatisfaction with remuneration, and employment offers refused for similar reasons are largest in the economic and technical divisions;

The number of vacant posts reaches abnormal and unacceptable levels in such important units as the Centre for Development Planning, Projections and Policies and the Public Administration Division (over 30 per cent), and by no means negligible proportions in such units as the Internal Audit Service (24 per cent in New York), the New York Office of UNCTAD (17 per cent) and the Accounts Division (14 per cent). The number of separations from the service and the number of employment offers refused, which are large in all the economic departments, are also characteristic of a system which finds it impossible to recruit or keep specialists whose skill is negotiable in the labour market.

16. Thus, in those areas which demand quality commensurate with their needs, the recruitment crisis is extremely serious, especially in New York. In many cases it interferes with the normal operation of the units concerned, if only by forcing the heads of substantive divisions to devote far too large a share of their energies to this one problem. It is growing worse from year to year. It arises in a particularly acute form where there are new tasks to be faced, and is thus both the most obvious symptom of the modernization crisis and the factor which prevents that crisis from being resolved.
17. Areas affected by the recruitment crisis in only a minor degree include:
- The language services, whose staff are recruited by competition;
 - The general administrative services; it is to be feared that these services escape the crisis only because their leaders have not entirely grasped - or have no means of insisting upon - the level of skill which ought to be required of the generalists recruited today if the are to be capable of dealing with the problems they will encounter.

C. Uneasiness about technical complexity

18. But the difficulties of recruitment, serious as they are, are no more than a symptom.

The most vital problem is that of devising a personnel policy which would dispose of those difficulties. However, it is impossible to formulate such a policy without definite ideas as to the degree of technical complexity and the nature of the technical methods necessary to the healthy operation of a modern civil service.

But the attitude observable in this matter is an uneasy and passive one.

19. The technicians, or specialists, have no recognizable place marked out for them among the Professional staff; the specialized skills of the translators and interpreters apart, it is not very clear where the boundary should be drawn between generalists and specialists, or even what specialized fields of activity may be involved. A Professional staff member may move from Political Affairs to the Office of the Controller or vice versa, from Human Rights to Personnel, or even from the secretariat of a political committee to the study

of economic or social problems; there is even a sizeable movement of interpreters and/or translators - at the rate of a dozen or so a year^{1/} - into administrative areas. The theory that every post is individually defined in a job description is applied to avoid classifications which might prove awkward. It is true that, as we shall see (cf. annex II.8), the United Nations has replied to the ICSAB questionnaire on "benchmark jobs", but the classification of specialized fields into which it has divided the Professional staff has not been adopted as an official and statutory classification.^{2/}

20. The result is that, while it is known more or less what qualifications should be required of a statistician or accountant, there is no clear set of principles or workable system of yardsticks for use in recruiting a generalist. In most cases, the requirements prescribed for a post of this type are a university education and some knowledge of one or two of the working languages. This method, when applied to an "administrative generalist" post, for example, does not define clearly either the range of general culture or the capacity for drafting and original thought which should be required, and the level of knowledge of modern management techniques is ignored altogether.
21. For that matter, these new techniques are somewhat unfamiliar to most officials of the Secretariat. There are few indeed who can form an exact opinion as to the value of those techniques and the feasibility of using them in the United Nations.

This situation, which is inevitable in the absence of a system of in-service training that would make refresher training a continuous process, is reflected in a general uneasiness and an unwarranted scepticism which hampers all modernization.

^{1/} The figures for the last few years read as follows: 1966 : 15; 1967 : 9; 1968 : 12; 1969 : 13; 1970 : 8.

^{2/} It seems worth mentioning that UNDP, for its part, stated in reply to the ICSAB questionnaire that all its Professional staff were generalists, thus refusing even to entertain the idea of specialization.

22. For example, the introduction of a cost accounting system would provide quick and precise answers to a great many questions asked by Member States concerning the cost of a wide range of activities - documentation, publication, project support, financial implications of new proposals and so on - and would do away with the need for the many protracted inquiries which increase the burden of administrative work. The Secretariat does not deny this.^{1/} But nothing tangible is done on those lines, and referral from study to study is used as a substitute for effective decisions, because scepticism prevails.
23. Most unit chiefs in the Secretariat show a similar attitude to programming techniques and more general use of the computer in management,^{2/} which would soon clear away much of the standing contention between the delegations and the Secretariat that we described in paragraph 9 above.

It is true that the Secretariat lacks the staff that would be needed in order to make quick use of modern methods of analysis or to establish a statistical apparatus capable of providing both a better insight into the performance of the various units and a means of improving it.

However, there is no doubt that a bolder use of such modern techniques would be of inestimable service

Their merits have sometimes been exaggerated by private firms, which tend to represent their methods as cure-alls in order to push sales; today, however, such exaggerations do not warrant undue caution, much less total scepticism.

^{1/} Cf. document A/CN.1/L.12 of 7 July 1970, containing the Secretary-General's comments on report JIU/REP/69/2: "The Secretary-General believes that the installation of an itemized cost accounting system could also serve broader purposes and deal with other problems which are not being handled at the present time. Such a system might improve the quality and speed of management decisions and administrative informational needs."

^{2/} Some Directors, fortunately, are exceptions to this rule, but there are few of them as yet. Cf. the report by Mr. Kien, the Director of the Accounts Division, on the use of the computer, which is summarized in chapter VI below.

So long as this attitude persists it will remain impossible, for lack of a clear set of principles, to overcome the difficulties of recruitment or - whatever increases in the manning table the political and budgetary authorities are asked to approve - to increase the efficiency of the Secretariat.

Be that as it may, it seems desirable to break out of this vicious circle.

D. The comparable problems of national civil services

24. So far as civil service is concerned, the tradition is to give international attention only to difficulties peculiar to the developing countries. This is a branch of technical assistance.

It is perfectly true that those countries, or at any rate the least-privileged among them and those which have recently gained their independence, are having to do everything at once in this respect. The shortage of managerial and technical staff is particularly severe in many such countries, and they are forced to adopt a policy of austerity regarding civil service pay which makes it even harder to find a solution. As a result, representation in the Secretariat is a matter of serious difficulty for them. It would certainly be in their interest, as well as in that of the United Nations, for international co-operation in this matter to be set on more positive lines than those of today.

25. It would be a glaring mistake, however, to imagine that the developing countries are the only ones in difficulties in this respect. The fact is that the civil services of all countries, however firmly established and buttressed by tradition, are now faced in varying degrees with difficulties in changing over to more modern methods. The revolution touched off by the use of the computer in administrative management is only beginning; the psychological difficulties experienced by staff members who are only rarely given a chance of retraining in this technique are general. Modern methods of analysis, costing, programming (PPBS^{1/}), econometrics and management by objectives are almost everywhere breaking in on the tranquillity of administrations wedded to their traditions. The growing contradiction between the demands of technicality and the versatility required of senior officials is not easy to resolve either.

^{1/} Planning, Programming and Budgeting System.

26. The fact that this phenomenon is world-wide is a further reason for the United Nations to try to organize international co-operation in the matter.

There is no question of attempting to turn the United Nations Secretariat into either a model civil service or a super civil-service. On the other hand it may be thought reasonable for the Secretariat to try:

Both to catch up with the most modern and best-equipped national civil services, which are unquestionably ahead of it;

And to be a meeting-ground, a place for inquiry and exchange of experience, that will make it easier for the civil services of all countries to overcome their difficulties.

27. The fact that the modernization crisis, which is particularly acute and serious in the United Nations, is a world-wide phenomenon affords, perhaps, an opportunity to work out for the Secretariat a solution which, at the same time, will take into account the national interests of every Member State.

II. THE SPIRIT AND PRINCIPLES OF REFORM

28. For the past twenty-five years, the principles cited to justify the practices followed in personnel matters in the international civil service have been, in essentials:

Those laid down by Article 101 (3) of the Charter: namely, the highest standards of efficiency, competence and integrity, and recruitment on as wide a geographical basis as possible;

That of the independence of international civil servants, which was given its most precise statement in the ICSAB report of 1954.

There is no doubt about the respect which is owed to these principles.^{1/}

The changes which have taken place in the world in the past twenty-five years, and those which have affected the United Nations Secretariat, are no justification for calling these principles into question in any way. What is open to question, on the contrary, is whether they ought not to be supplemented.

29. It is in fact an unending task - and one wholly consistent with the purposes of the United Nations - to ensure maximum administrative efficiency in the service of international co-operation and to enable Member States to increase the efficiency of their own administration.

Perhaps, therefore, it would not be entirely out of order to add to the basic principles mentioned above a principle of modernization and maximum administrative efficiency and a principle of co-operation between national civil services.

For the immediate purpose - that of devising a reform of personnel policy, the urgent need for which seems beyond doubt - the application of these supplementary principles would lead to action on the following lines:

^{1/} The "Moblinaire principle", a practical formula for determining levels of remuneration, is not on the same plane as the fundamental principles just mentioned.

(1) The need for rapid modernization

It seems to me that the possible means of rapid modernization with a view to greater efficiency should include the following:

A. Systematic adoption of medium-term and long-term programming

30. It is perfectly feasible to plan a medium-term personnel policy without waiting for the programming of activities to become the general practice in the United Nations.^{1/} Such planning has already been recommended, in particular by the Committee on the Reorganization of the Secretariat in 1968. It entails making a big improvement in methods and clarifying the basic principles of personnel policy. It should not be limited to recruitment but should cover assignments, promotions and training.

B. Determination of the right place for technical methods and the level of technical skill required

31. This entails defining:

The various functions performed (or fields of specialized professional activity) according to the knowledge and experience they require and the type of career into which they fit; this means distinguishing different "vocational groups" within the Professional category as a whole. Two such groups are particularly important both because of their functions and because of their numerical size: that of the economists and, more especially, that of the administrative generalists, for whom it is vital to specify what level of technical skill should be required;

^{1/} There is no need to hold up the introduction of programming in the personnel sector until the last touches have been put to the programming of United Nations activities. These difficult techniques must be developed side by side in both applications. It is hardly necessary to add, however, that programming in the personnel sector would serve no purpose without a considerable improvement in the definition of the Organization's work programme.

Levels of recruitment, in order to be able to draw up descriptions of qualifications which will meet requirements more realistically and more practically than the job descriptions in use now;

Methods of recruitment which, with due heed to the requirements of geographical distribution, will adapt for international use the most effective techniques employed by national civil services; these include, in particular, recruitment to junior posts by competition at the regional level and the establishment of a genuine reserve roster for other posts;

Methods of in-service training whereby the Professional staff's knowledge can be kept continuously up to date and their qualifications steadily improved.

C. Maximum use of the potentialities of the computer

32. The computer has the merit of requiring very high precision on the part of those who wish to use it, thus adding to its other very appreciable services that of imposing a discipline of classification and method. So far the use of the computer for personnel purposes in the United Nations has not gone beyond the Payroll Section and the collection of some statistics, although it is fully understood that the instrument has far greater potentialities and some experiments are in progress to realize them.

In reality, the modernization of recruitment methods and the medium-term and long-term forecasting of recruitment, assignment and training activities as a whole will be attainable only if, at the price of a major intellectual investment in the immediate future, the decision is taken to bring the computer into general use. However, a great many routine tasks will be simplified in the process.

D. Staff participation

33. Lastly, there can be no genuine modernization without more systematic arrangements than exist at present for the staff to participate in the making of decisions which affect them. It is true that at the international level such arrangements raise delicate problems of delimiting jurisdiction, since on

fundamental issues, including the establishment of the programme of activities, the sovereignty of the Member States cannot be called into question. But flexible arrangements can be devised to enable the staff to play a greater part in the making of a large number of decisions; this is a vital feature of the necessary modernization.

34. None of the lines of activity just charted seem to me to conflict with the fundamental principles stated above or to entail any risk of upsetting the political balance in the Secretariat by favouring any particular Member States at the expense of others. The details of the proposals will show that, on the contrary, such risks have been given the closest possible consideration.

It must be said, however, that none of the lines of modernization which we have just mapped out will have any exact significance until such time as the concept of career staff has been clearly defined; long-term forecasting and the use of the computer entail making a very specific choice of posts to be classified as career posts and posts to be filled by fixed-term appointments: this is a political choice.

However, co-operation with national civil services, systematically organized through permanent institutional machinery, should make this problem easier to solve, as we shall see in the next section.

(2) Co-operation with national civil services

35. If the idea of institutionalized co-operation with national civil services was accepted in principle, the exploration of ways of organizing such co-operation might not only help to resolve the modernization crisis in many countries but also smooth out the political difficulties presented by several knotty problems in the United Nations.

Such co-operation should make it possible:

To give more positive substance to the principle of geographical distribution by helping to eliminate the conflicts which may exist today between the requirements of that principle and the need for specialists;

To impart to the concept of a career in the United Nations such characteristics as will allow of regular exchanges of staff with Member States.

A. Giving more positive substance to the principle of geographical distribution

36. There are three possible attitudes to the application of the principle of geographical distribution:

A restrictive attitude, which would sacrifice concern for balanced representation between countries to the exigencies of high-level recruitment of qualified specialists;

A rigid attitude, which would enforce the representation quotas even if this meant lowering requirements as to the number and level of qualified specialists to be recruited to the Secretariat;

A positive attitude, which would allow for the training of sufficient numbers of qualified specialists of all nationalities.

This positive attitude is the one recommended in this report. It will be expressed through highly specific projects. But these will have no chance of success unless it is accepted that the price must be paid, and the specialists are trained in the interests of all countries as well as for the Secretariat's own requirements; pre-recruitment training is one of the fields for priority co-operation in civil service matters.

B. Career and secondment

37. The proportion to be maintained between career officials and fixed-term appointees is one of the problems which were discussed at length by the General Assembly in 1960, 1962 and 1965. It is also one of the problems on which disagreement is most pronounced to this day, since highly cogent arguments can be advanced on either side. The problem is difficult in itself, and it has major political implications inasmuch as the manner of solving it will go a long way towards defining the type of Secretariat desired.

These problems, as we shall see, emerge more plainly when they are examined for each vocational group in turn. But the idea of co-operation between national civil services and the Secretariat suggests that they might be greatly simplified by more systematic use of the practice of secondment.

38. The problem of seconding national civil servants does not always meet with an apt solution. The legal machinery for secondment varies widely from country to country and from one government department to another in the same country; in some cases it is relatively liberal, in others it operates to prevent any secondment whatsoever. Furthermore, even under liberal legal arrangements, secondment to the United Nations is a venture which may interfere with the seconded official's career in his own civil service in that it may not be easy for him to find a suitable vacant post on his reinstatement and that the promotion machinery may well have passed him over.

These difficulties are regrettable in so far as they deprive the United Nations of the possibility of recruiting for limited periods national civil servants who have useful experience to contribute, and also in so far as a lack of provision for the reinstatement of a civil servant in his home administration prevents rational use of such knowledge as he may have gained in the United Nations.

39. If international co-operation is to function effectively through the machinery provided by the United Nations, the officials of the Secretariat will need to be better acquainted with the problems of national civil services, and some national officials will need to be more conversant with the complexities of the United Nations system.

It would seem possible to make great progress in this direction if the following conditions were met:

If systematic efforts were made to improve the conditions of secondment to the United Nations and the outcome of these efforts was embodied, where appropriate, in agreements concluded between the Secretary-General and the Governments of the countries concerned, at least with regard to the types of personnel that might usefully be exchanged for Secretariat

staff members in the Professional category: i.e., officials not only of the Ministries of Foreign Affairs but also of the Ministries of Finance and Economic Affairs, Civil Service Commissions, Ministries of Industry and Public Works and so on;

If a system of successive secondments for several periods of a few years at a time, interspersed with periods of similar length in the civil service of origin, could be instituted as part of a general career-planning system. If such a system was adopted, the officials serving under this alternating arrangement could be regarded as United Nations career staff; this would make the career concept much more flexible without in any way impairing its validity.

40. These examples have been explored only in an endeavour to illustrate the spirit in which we shall now examine the subject of comprehensive reform and make special proposals to that end (more particularly in chapter IV, on recruitment; chapter on career planning - reporting, promotion, assignments and training; and chapter VI, on the use of the computer).

The aim is to try to satisfy the profound desire for change which has been examined above, while paying due heed to the requirements of political balance and international co-operation. To modernize quickly and efficiently; to provide the Secretariat with the best possible officials in such a way as not to make problems for national civil services but, on the contrary, to help them; and to give more positive substance to the principle of geographical distribution while at the same time organizing better international co-operation: these are difficult objectives to attain. The purpose of this report is not to deny the difficulty, but to try to explain that the objectives are nevertheless attainable.

CHAPTER II

THE COMPOSITION OF THE SECRETARIAT

(Professional category)

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CHAPTER II. THE COMPOSITION OF THE SECRETARIAT (Professional category)

Preliminary comments

41. With the assistance of the Office of Personnel itself and of the Accounts Division and the International Computing Centre, it has been possible to feed into the computer and classify a great many data on each of the Professional staff members in the Secretariat.

The technical details of this operation will be given in chapter VI, on the use of the computer.

The essentials of the picture which emerged are given in the pages which follow^{1/}.

42. The expression "composition of the Secretariat" is generally used in the context of geographical distribution, and forms the title of an annual report on that subject by the Secretary-General. I have employed it here in a broader sense, to denote the main characteristics of the Professional staff.
43. Readers interested in the statistical methods employed will find the necessary explanations in annex II.1.

Because of the inadequacy of the statistical resources now available and the difficulties encountered in establishing a new method for computer analysis of data on the Professional staff, the results given are for a total of only 2,520 Professional staff; but these are sufficiently representative of the 2,909 persons who should normally have been covered (these 2,909 are the serving Professional staff paid out of the United Nations budget as of 31 December 1970, minus those in the Office of the United Nations High Commissioner for Refugees and those at the International Court of Justice (116 posts)).

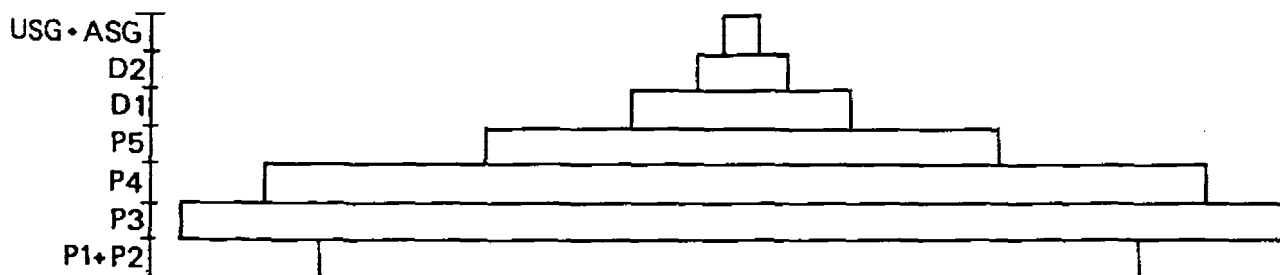
^{1/} Because of the delays incurred, this analysis has unfortunately fallen far short of the aims of the programme. A fuller analysis cannot be provided until later.

1. CHARACTERISTICS OF THE SECRETARIAT AS A WHOLE

(1) Method of presentation

44. After considering various types of diagrams in an endeavour to convey, as graphically as possible, the essential characteristics of the Secretariat as a whole, we reached the conclusion that the grade pyramid seemed to provide the best descriptive image and at the same time to give a clear idea of the other types of characteristics (age, sex, nationality, etc.).

The shape of this grade pyramid has, of course, varied considerably since the United Nations was established 1/, broadening at the top and, especially, narrowing at the base, with grades P-1 and P-2 becoming less numerous than P-3 and P-4. Today, for a total of 2,520 Professional staff, the pyramid takes the following form:



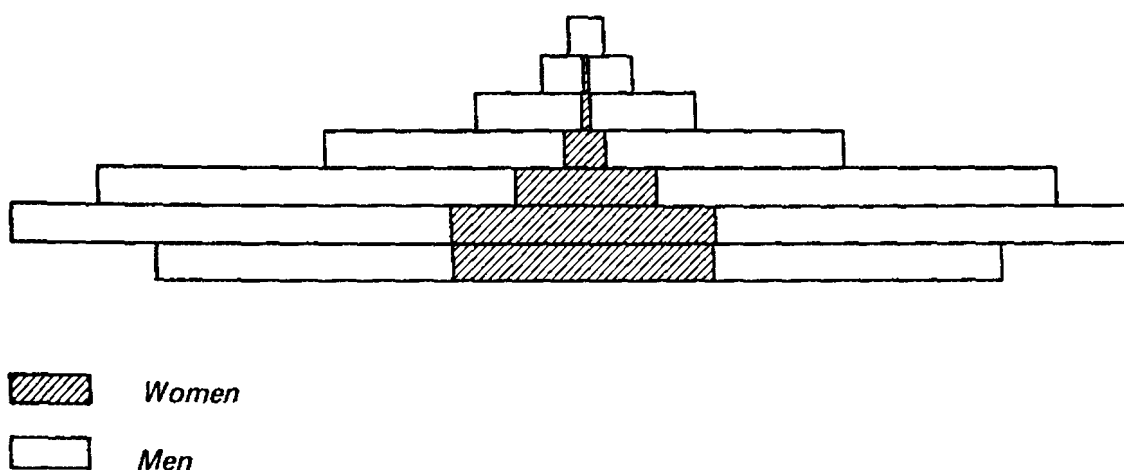
Each section of the pyramid, which corresponds to one grade, may be divided into a number of differently shaded sectors, showing the composition of each grade by age group, nationality group, sex, etc. Using this method, the following data are obtained:

1/ Cf. document A/C.5/1307 of 29 September 1970, entitled "Study of the nature of the increases in the level of expenditure in the United Nations regular budget", p.30.

(2) Main characteristics

45.

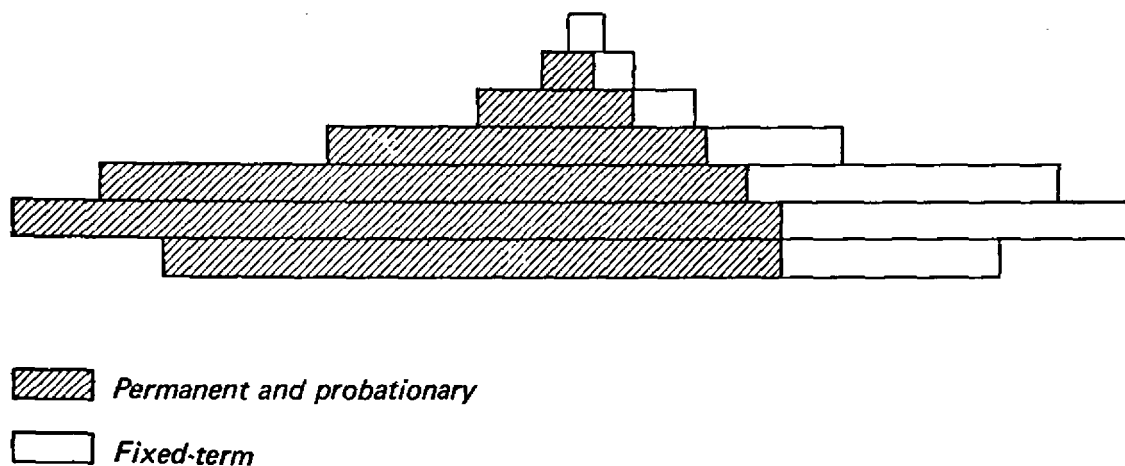
A. COMPOSITION OF THE SECRETARIAT BY SEX (cf. annex II.2)



The pyramid for female personnel has been placed in the middle of the diagram, thus giving a clear idea of its size in relation to that for male personnel. The proportion of women is extremely small in the higher grades (4 per cent at D-1 and D-2, 8 per cent at P-5) but considerable in grade P-4 and below (15 per cent at P-4, 23 per cent at P-3 and 31 per cent at P-1 and P-2).

The total proportion of female staff is 19 per cent; in grades P-1 to P-4 inclusive it is 22.8 per cent.

46. B. COMPOSITION OF THE SECRETARIAT BY TYPE OF APPOINTMENT (cf. annex II-3)



The proportion of probationary and permanent appointments to total appointments varies according to grade as follows:

Grade	Probationary and permanent appointments	Fixed-term appointments
D-2	57%	43%
D-1	70%	30%
P-5	73%	27%
P-4	67%	33%
P-3	67%	33%
P-1/P-2	73%	27%
Total	70%	30%

There is thus extremely little variation from the ratio 70:30 except in grade D-2.

C. Composition of the secretariat by date of entry on duty

47. No diagrams have been prepared because statistics on the Professional staff as a whole could not be obtained in time.

The statistics given in annex II.4 relate to 1,505 Professional staff (Headquarters personnel in New York).

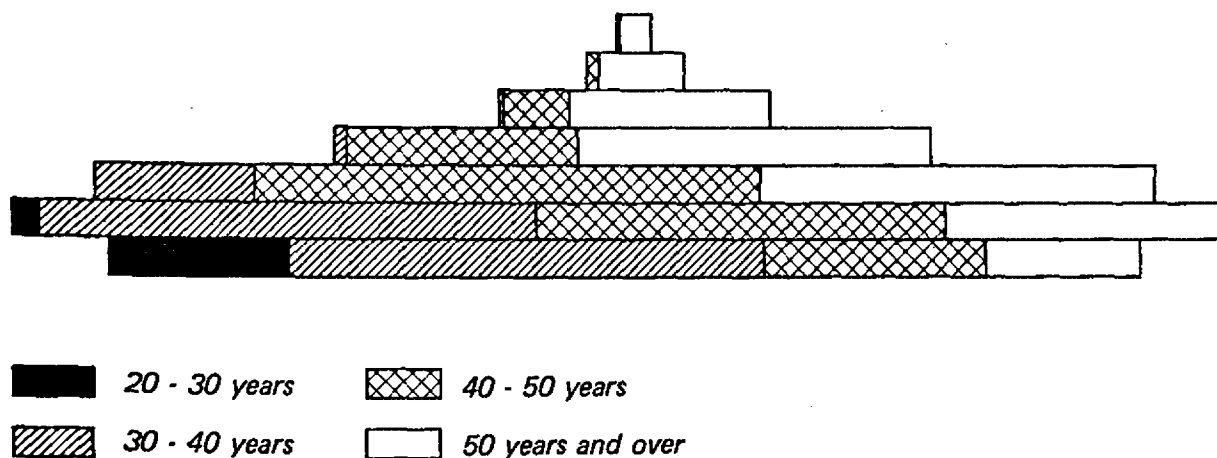
They show that, in this part of the Secretariat, staff members recruited between 1946 and 1950 hold 50 per cent of the D-2, D-1 and P-5 posts. They also account for 27 per cent of P-4 posts, 20 per cent of P-3 posts and 22 per cent of P-1/P-2 posts (or, on the average, one-quarter of the posts in the range P-1 - P-4).

Personnel recruited between 1951 and 1960 (255 out of the total of 1,505) represent only one sixth of the total (16.5 per cent), while those recruited during the last decade, 1961-1970, constitute 54 per cent of the total (818 out of the 1,505).

If these data can be extrapolated to the Secretariat as a whole, they indicate that the Secretariat is made up mainly of personnel recruited in the first five years (28.5 per cent) and the last ten years (54.5 per cent), as against only 16.5 per cent of personnel recruited in the decade 1951-1960.

48.

D. COMPOSITION OF THE SECRETARIAT BY AGE (cf. annex II-5)



This diagram shows the phenomenon of aging in the Secretariat.

The proportion of staff members under thirty years of age is extremely small. For the Secretariat as a whole it is only 4 per cent. Even at level P-1/P-2, sometimes called the "junior" level, it is less than 17 per cent — an obviously inadequate figure.

The proportion aged thirty to forty years is also very small: only 46 per cent at P-1/P-2, 39 per cent at P-3, under 15 per cent at P-4 and negligible in the higher grades; only 26 per cent of Secretariat staff are in this age group.

Thus staff members under forty years of age account for only 30 per cent of the Secretariat;

Those in the forty-to-fifty age group represent some 32 per cent of the total.

Furthermore, 37 per cent of the staff are over fifty years old.

This last age group is over-represented in grades P-1 and P-2 (where it is about as numerous as the twenty-to-thirty age group) and in grade P-3.

It would seem that one of the objectives of personnel policy should be a younger staff.

E. Composition by mother tongue

49. Annex II.6 gives statistics on mother tongue for a total of 1,925 Professional staff. No diagram has been prepared.

The most noteworthy percentages are as follows: 36.7 per cent of the Professional staff have English as their mother tongue, but the proportion is 47.8 per cent at grades D-1 and D-2 and 43.5 per cent at P-4 and P-5.

The proportions for the other languages in the Secretariat as a whole are as follows:

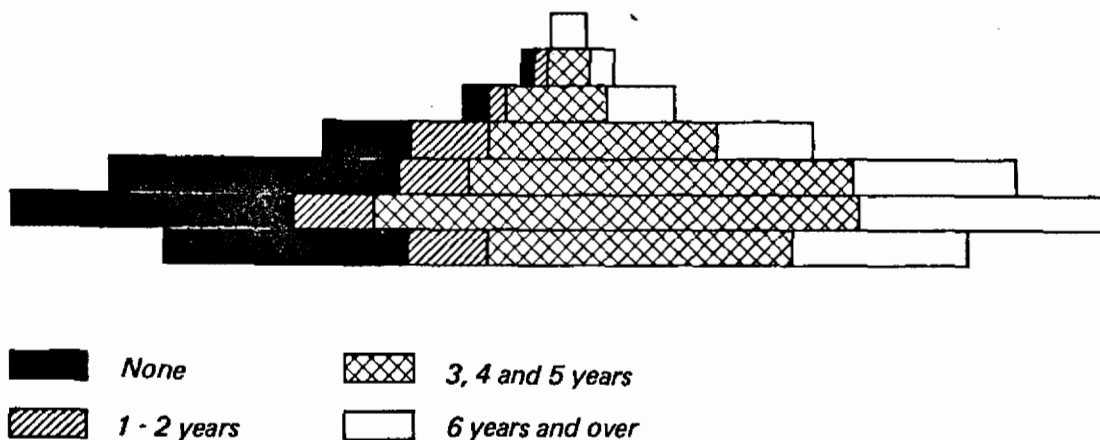
French:	20%
Russian:	11.9%
Spanish:	15.2%
Chinese:	5.8%
Arabic:	5.8%
German:	3.2%

F. Composition of the Secretariat by staff members' region of origin

50. The composition of the Secretariat by nationality is given in great detail each year in a report by the Secretary-General. Here we shall indicate its composition by region of origin (posts subject to geographical distribution, statistics as of 30 April 1971).

Africa	229	10%
Asia and the Far East	342	15.7%
Eastern Europe	264	12%
Western Europe	493	22.7%
Latin America	197	9%
Middle East	102	4.7%
North America and the Caribbean	495	22.8%
Non-Members	48	4.3%
Total	2,170	

51. G. COMPOSITION BY LENGTH OF UNIVERSITY EDUCATION (cf. annex II-7) 1/



It is a remarkable fact that a very large number of Professional staff have never attended a university.

The percentages reflected in the diagram above are as follows:

Of a total of 2,520 Professional staff covered, 650, or 25.78 per cent, have never attended a university.

9.14 per cent have less than three years of university education, i.e. have not reached the level of B.A., licence etc.

The total proportion of Professional staff who have not completed three years of university study is 35.19 per cent.

The distribution of these two groups by grade is as follows:

Grade	None	1-2 years	Total
D-2	13 ⁰ / ₀	15 ⁰ / ₀	28 ⁰ / ₀
D-1	12 ⁰ / ₀	8 ⁰ / ₀	20 ⁰ / ₀
P-5	18 ⁰ / ₀	16 ⁰ / ₀	34 ⁰ / ₀
P-4	31 ⁰ / ₀	7.5 ⁰ / ₀	38.5 ⁰ / ₀
P-3	25 ⁰ / ₀	7 ⁰ / ₀	32 ⁰ / ₀
P-1/P-2	30 ⁰ / ₀	10 ⁰ / ₀	40 ⁰ / ₀

It is a great pity that the level of education and professional training could not be analysed in more detail. Such research, the data for which are described in chapter VI, would be extremely difficult. A detailed analysis of that kind, however, provides the only basis for judging the present level of university and professional training among the staff.

But the study which has been carried out, though covering only the duration of attendance, does reveal an abnormal situation.

1/ The figures published on this subject may be accepted on the understanding that they represent only orders of magnitude; certain errors were made in the preparation of this work.

H. Summary of main characteristics

52. This brief analysis of the essential characteristics of the Professional staff viewed as a whole reveals the following features:

Of the total of roughly 3,000 staff members in this category, about one-fifth are women;

Three-quarters of the Professional staff are permanent appointees making their career in the Secretariat;

The average age is high, since the great majority (more than 70 per cent) are over forty years of age, with young people under thirty years of age representing only 4 per cent of the total;

A large proportion (almost 30 per cent) of the Professional staff were recruited in the first five years of the Secretariat's existence and are still serving; however, more than half the total (54 per cent) have been recruited within the last ten years;

Lastly, as regards the level of university education, only 65 per cent of the staff appear to have reached or passed first-degree level (i.e. to have completed three or more years of university studies), and more than 25 per cent seem never to have attended an establishment of higher education.

These general characteristics of the Professional staff, however, provide only a very vague picture, which can be made clearer by studying the same characteristics for each vocational group.

II. CHARACTERISTICS OF THE VARIOUS VOCATIONAL GROUPS MAKING UP THE SECRETARIAT

(1) List of vocational groups

53. The ICSAB survey of benchmark jobs provided an opportunity for all the organizations of the United Nations family to submit a breakdown of the activities of their Professional staff by "vocational groups".

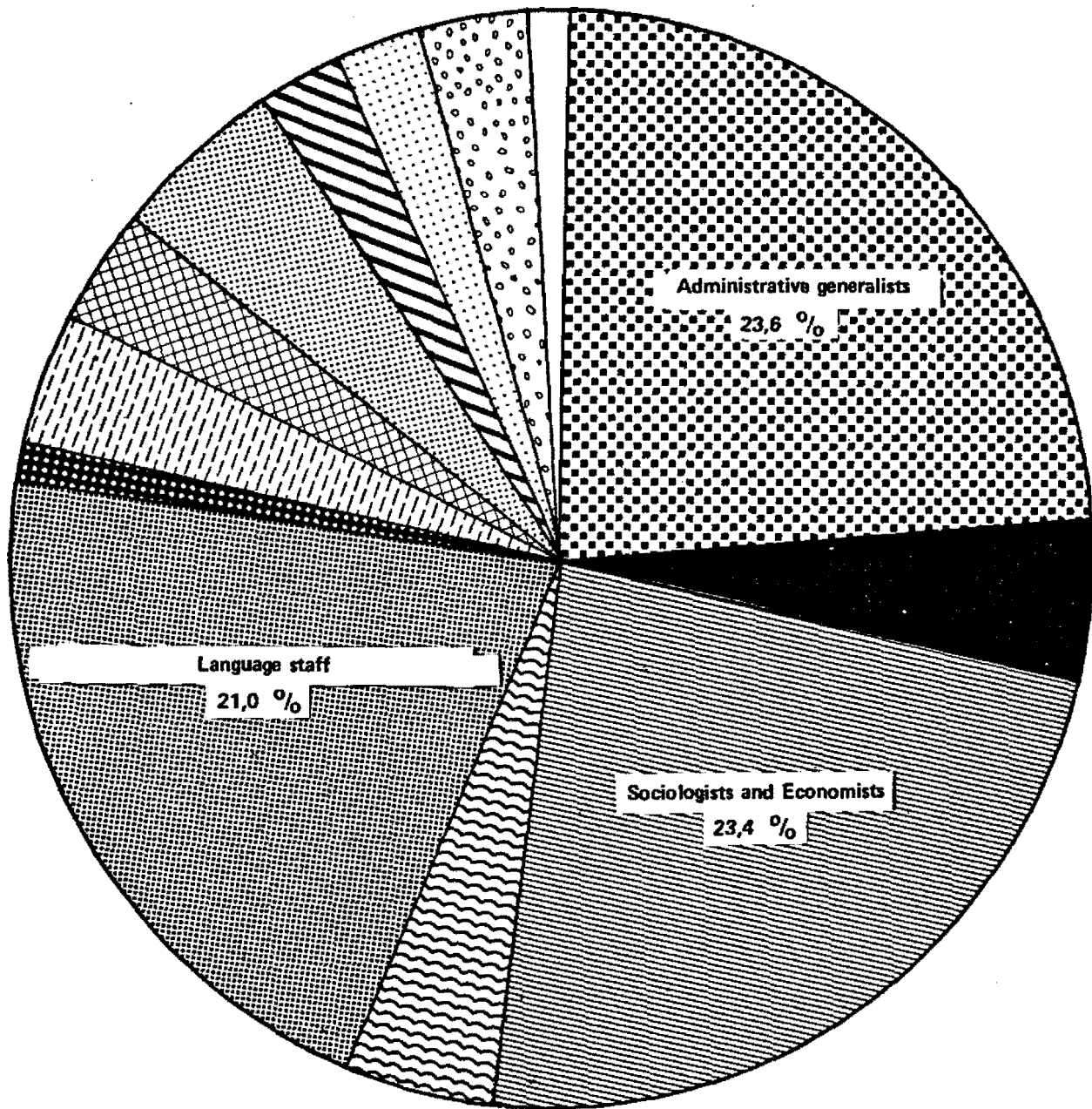
For the United Nations, the data on this subject are summarized in annex II.8. The information provided by type of occupation was too detailed to be meaningful; for clarity of presentation, we have reduced the number of vocational groups to ten as follows:

Administrative generalists (comprising the following occupations:
budget and finance, personnel, project managers, Committee secretariat,
organization and methods, external relations and protocol, other
administrative activities);
Economists;
Statisticians;
Language staff: interpreters and translators;
Specialists in the social sciences;
Legal Affairs Officers;
Political Affairs Officers;
Librarians;
Engineers;
Auditors and accountants;
Verbatim reporters.

54. The relative proportions of these various vocational groups in the Secretariat are shown in the attached diagram, which clearly demonstrates that three groups account for the great majority of the staff:

Administrative generalists;
Economists (including specialists in social sciences);
Language staff (interpreters and translators).

NUMBERS OF PROFESSIONAL STAFF BY VOCATIONAL GROUP



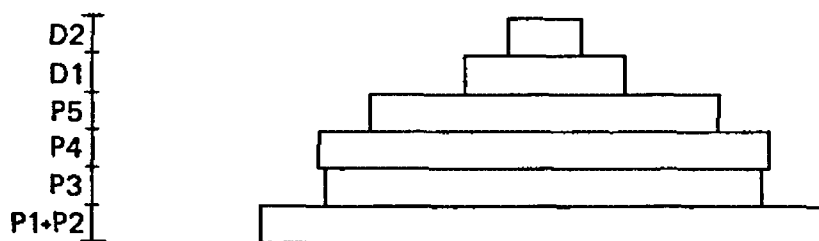
 Administrative generalists	 Verbatim reporters	 Auditors and accountants
 Other generalists	 Political affairs officers	 Librarians
 Sociologists and Economists	 Legal affairs officers	 Engineers
 Statisticians	 Information officers	 Other groups
 Language staff: interpreters and translators		

55. At present no legal distinction is made, at any rate officially, between these various vocational groups within the Professional category. In reality the characteristics of the different posts are such that a post as translator obviously cannot be filled by a Professional staff member who does not possess the requisite skills, and the same applies in a variety of specialized fields such as those of the accountants, statisticians and most economists. As we shall see, there is some movement between groups, but it is limited (a dozen language staff a year become administrative generalists) and is generally a one-way movement into the administrative generalists group.

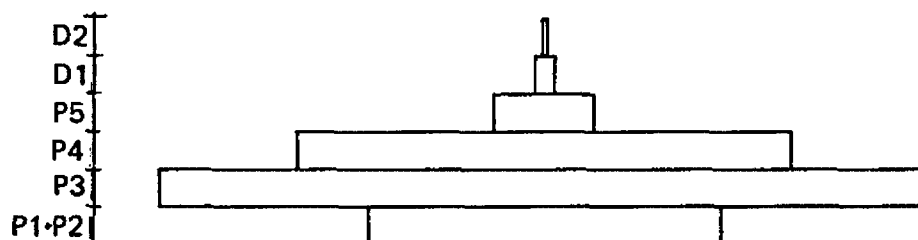
(2) Career prospects and vocational groups

56. The result of this situation is that a staff member's career prospects vary according to the vocational group to which he belongs. This phenomenon will be described in greater detail in chapter V, but it makes it worth while to prepare a separate grade pyramid for each vocational group.
57. Since the ICSAB classification distinguished only between groups of grades, annex II.8 provides insufficient information on this question, but annex II.9 gives, for 2,518 officials, figures which yield the following pyramids:

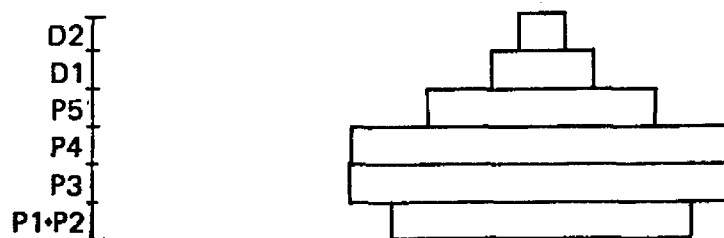
Administrative generalists



Language staff



Economists and social scientists

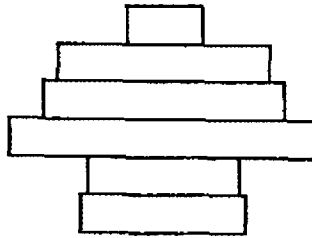


58. A comparison of the shapes of the pyramids for the three numerically largest groups clearly shows that the careers of language staff are in practice limited to P-4, since there are only one-fifth as many posts at P-5 as at P-4.

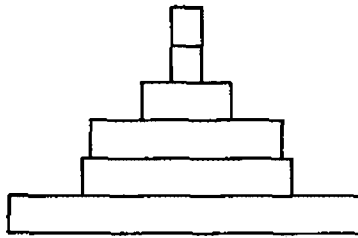
On the other hand, the careers of administrative generalists progress smoothly up to and including P-5, with further prospects of reaching the D-1 and D-2 levels.

The pyramid for economists narrows more rapidly from the P-5 level upwards.

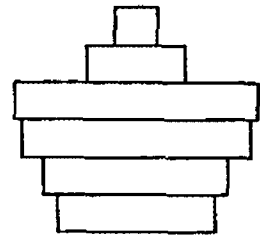
Political affairs officers



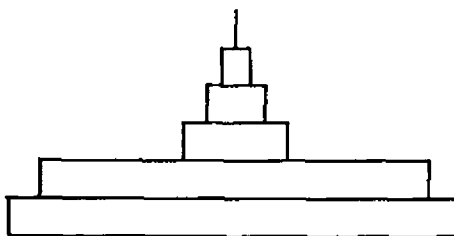
Auditors and accountants



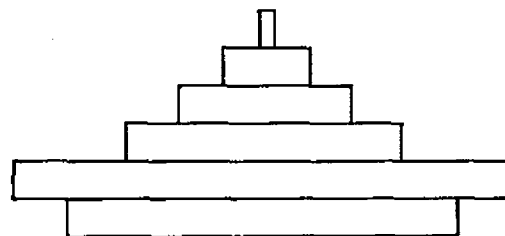
Legal affairs officers



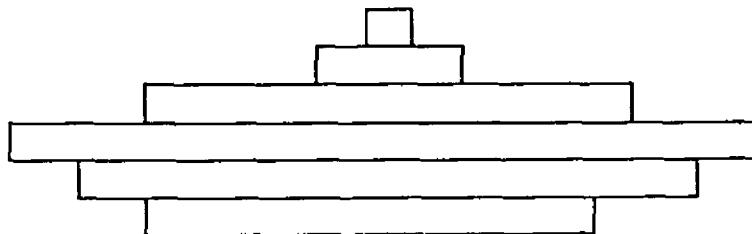
Librarians



Statisticians



Information officers



The shapes of the pyramids for the other groups also vary widely, those for auditors and accountants and, especially, librarians being broadly based at the P-1, P-2 and P-3 levels and then narrowing sharply at the P-4 and P-5 levels.

The pyramids for statisticians and information officers are more conventional.

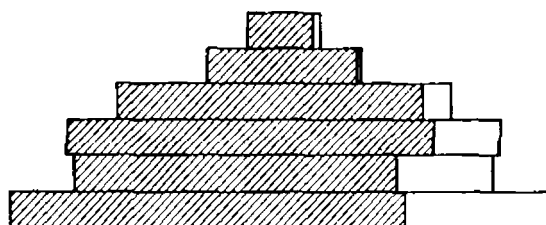
Those for legal affairs officers and political affairs officers are very wide at the top.

(3) Characteristics of the three numerically largest vocational groups

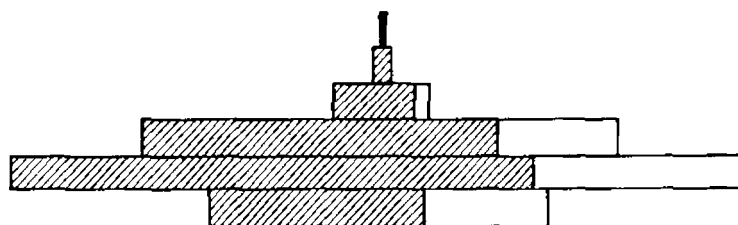
60. It would have been interesting to see how the essential characteristics just examined for the Secretariat as a whole are distributed within the individual vocational groups. Such an analysis could be made in a separate report. It was thought sufficient here to examine the main characteristics of the three numerically largest groups. The results obtained are as follows:

61. A. COMPOSITION BY SEX (cf. annex II-11)

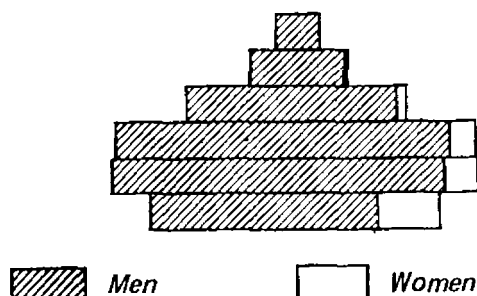
Administrative generalists



Language staff



Economists and social scientists



Men

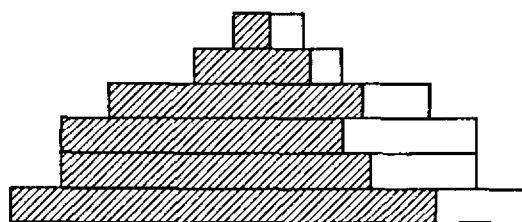


Women

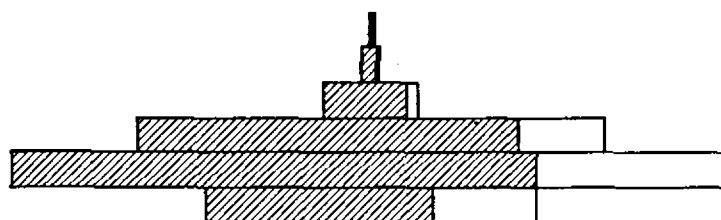
The diagram shows that the proportion of women on the Professional staff is highest in the language services (28.4 per cent, as against slightly less than 20 per cent for the Secretariat as a whole), and particularly in grades P-1 and P-2 (38 per cent), P-3 (29 per cent) and P-4 (25 per cent). In grades P-1 and P-2, the proportion of women is also relatively high in the administrative generalists group (27 per cent).

62. B. COMPOSITION BY VOCATIONAL GROUP AND TYPE OF APPOINTMENT (cf. annex II-)

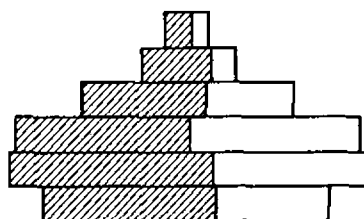
Administrative generalists



Language staff



Economists and social scientists



 Permanent and probationary

 Fixed-term

For the three vocational groups studied, the ratio of probationary and permanent appointments to fixed-term appointments is as follows:

75.7:24.3 for administrative generalists;

76:24 for language staff;

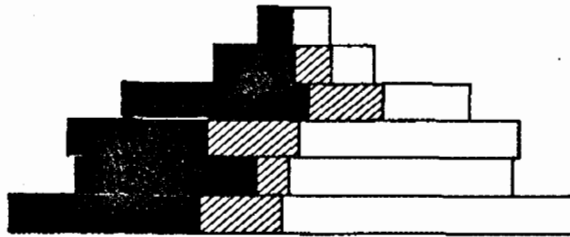
57.9:42.1 for economists and specialists in the social sciences.

This situation seems normal: the groups which carry out scientific and technical studies have the greatest need to recruit, for fixed terms, specialists with qualifications in highly specific fields.

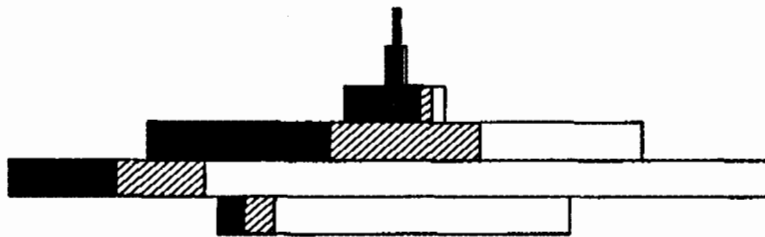
For this reason it would be worth while to re-examine, for each vocational group in turn, the idea of fixing a total proportion of career posts.

63. C. COMPOSITION BY VOCATIONAL GROUP AND DATE OF ENTRY ON DUTY

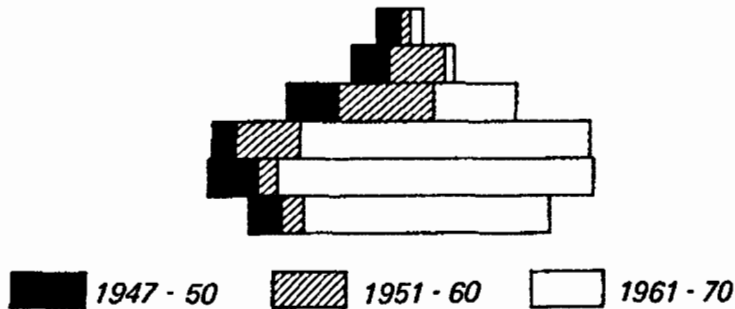
Administrative generalists



Language staff



Economists and social scientists



It emerges quite clearly that the administrative generalists group comprises far and away the greatest number of staff members recruited in the first period, 1946-1950 (40.8 per cent, as against only 15.5 per cent of economists).

This ratio, which is normally high in grades P-4 to D-2 on account of the length of service of the staff members concerned, is very high even in grades P-1, P-2 and P-3 in the case of administrative generalists, probably as a result of the practice of recruiting into the Professional category, at level P-1/P-2, General Service staff who have already served for long periods.

D. Composition by vocational group and age

64. No diagrams have been prepared because breakdowns by grade, age and vocational group were not available.

The following table shows the proportions of the main age-groups in the three largest vocational groups.

Table by age:

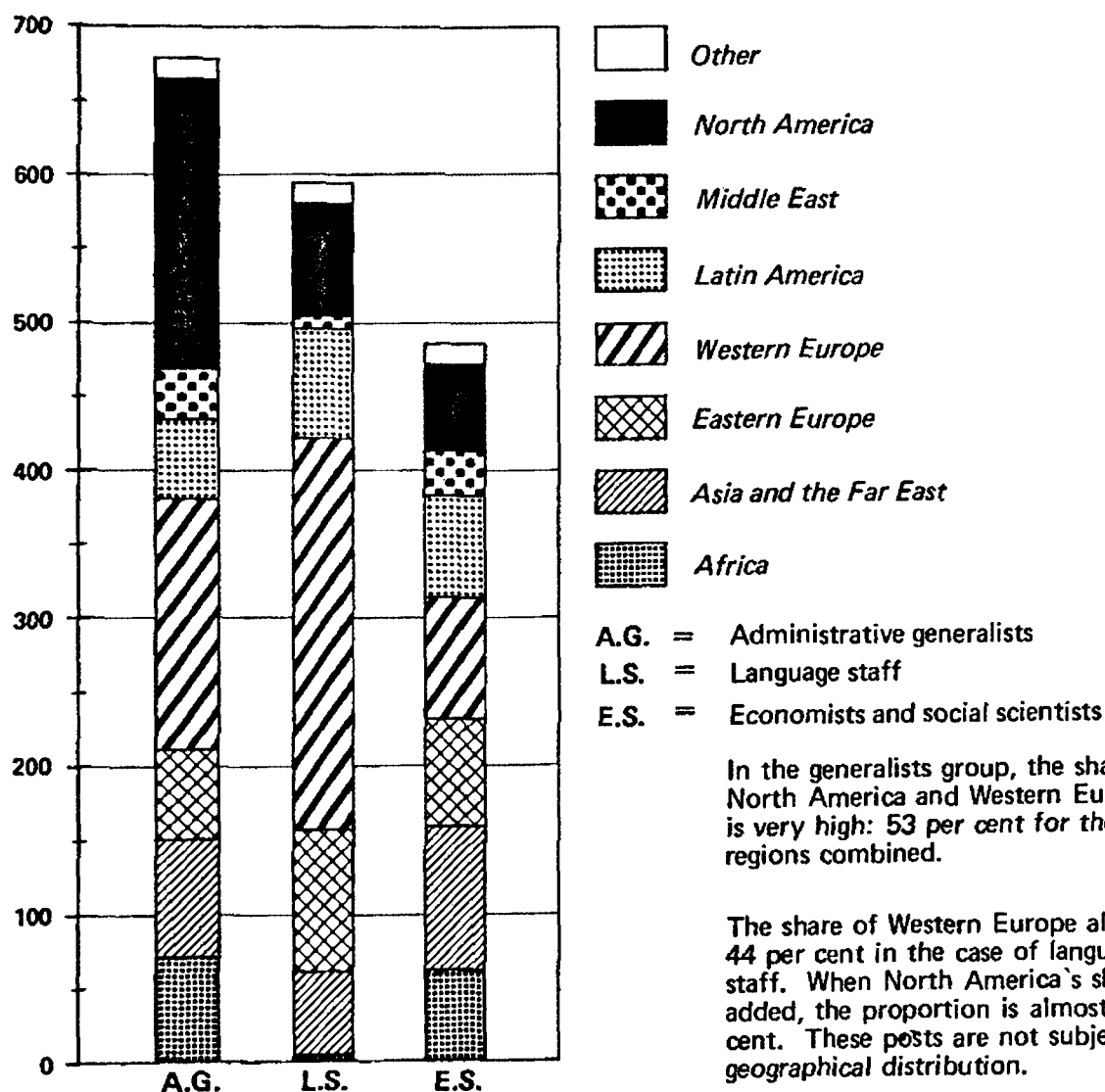
	Administrative generalists		Language staff		Economists (and social scientists)	
20-30 years	29	4.2%	55	9%	27	5%
30-40 years	153	22%	188	32%	171	34%
40-50 years	252	36.7%	164	27.8%	186	35%
Over 50 years	254	36.3%	177	29%	108	26%
Total	688		584		482	

Economists and language staff prove to be, on the average, younger than administrative generalists (39 per cent and 41 per cent respectively under forty years of age, as against only 26.4 per cent of administrative generalists).

The administrative generalists group is by far the highest in age of the Secretariat as a whole; the connexion between this fact and the modernization crisis described in the previous chapter is obvious.

65.

E. COMPOSITION BY VOCATIONAL GROUP AND REGION OF ORIGIN



For economists, the geographical distribution is more even:

Africa	: 12.5%
Asia and the Far East	: 20%
Eastern Europe	: 14.5%
Western Europe	: 17%
Latin America	: 14%
Middle East	: 6%
North America	: 12%
Other	: 3%

F. Composition by vocational group and by number of years of university education

66. The figures produced by the computer under this heading unfortunately cannot be published because they have been found on checking to contain a number of errors.

Subject to later verification, however, it seems possible to state that: The vocational group that includes the largest number of Professional staff with less than three years of university education is that of administrative generalists (the computer gives the proportion as 44 per cent, including 34 per cent with no university education at all); The proportion also appears to be far from negligible in the case of language staff and economists; it appears that at least 10 per cent of the Professional staff in each of these vocational groups have had no university education.

67. Sufficient information on the general characteristics of those Professional staff who have no university education could not be obtained in time from the analytical programme now being run on the computer. It would have been particularly interesting to know the composition of this section of the staff by date of entry on duty, age, nationality and so on.

The only statistics which could be obtained show the following geographical distribution (by region):

Africa	45	7%
Asia and the Far East	53	9%
Eastern Europe	67	10%
Western Europe	201	31%
Latin America	82	12%
Middle East	17	3%
North America and the Caribbean	162	25%
Non-Members	17	3%
	644	

The dates of entry on duty could be processed only for a smaller number of Professional staff; these results, therefore, are not significant. However, they suggest that a large proportion of the staff in this section of the Secretariat (about 40 per cent) were recruited in the first five years.

G. Summary of the characteristics of the Professional staff, analysed by vocational group

68. Although the above analysis is incomplete and had to be limited to the most obvious characteristics of the three numerically largest groups, the over-all picture given in paragraph 51 above may be clarified as follows:
69. (a) While there are some bridges - usually one-way bridges - between vocational groups, these groups are entities with their own characteristics, particularly as regards the career structures offered to their members.
70. (b) The administrative generalists group appears to be:
Made up of staff members recruited the longest time ago (40.8 per cent in the first five years);
The highest in average age (73 per cent over 40 years of age, 4 per cent under 30 years of age);
The group with the lowest average university level (more than one-third have no university education and 44 per cent have not reached degree level).
- As to composition by nationality, the proportion of staff members from Western Europe and North America is markedly higher in this group (53 per cent) than in the composition of the total staff subject to geographical distribution (45.5 per cent).
71. (c) In contrast, the category of economists proves:
To include a markedly smaller than average proportion of permanent appointees (58 per cent as against 75 per cent);
To be far more recently recruited (only 15.5 per cent of its members having been recruited in the first five years);

To be, on the average, a little younger (only 61 per cent over 40 years of age);

To have a more balanced geographical distribution with, in relation to the average, a slight over-representation of Asia, Africa and Latin America and a slight under-representation of Western Europe and North America;

To have a higher level of university education, although it may be thought abnormal that this category should include even a small minority who have received no basic university training at all.

72. (d) Lastly, it is among the language staff - who are not subject to geographical distribution - that the proportion of women is highest (28.4 per cent as against an average of 20 per cent). Language staff also have a lower average age than generalists (59 per cent over 40 years of age). The average university level is roughly on a par with that of the economists.
73. In the near future, when the computerization programme as a whole has been completed, it should be possible to clarify many aspects of this analysis of the characteristics of the Secretariat. In its present form it provides information which, though no doubt inadequate, may be of considerable help in formulating a policy for changing the composition of the Secretariat with a view to its modernization.

CHAPTER III

THE OFFICE OF PERSONNEL

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CHAPTER III. THE OFFICE OF PERSONNEL

74. In order to study the modernization of methods it is necessary to have a good knowledge of the functions carried out or to be carried out - in short, of the aims pursued - by the Office of Personnel, and of the methods now being used to achieve them. We must therefore pause for a few moments to describe the existing machinery.

An office of personnel recruits, manages, lays down rules, participates in the process of reporting, promotion and assignment, sets the medium-term trends in so far as that is possible, provides information to other departments and to political bodies, publishes a number of documents, studies a great many personnel actions, clears retirement cases, and so on.

It is, of course, necessary to examine these various activities in some sort of order and to quote figures as an indication of their relative importance.

Our description will be as brief as possible.

The following will be described in turn:

- I. General organization of the Office of Personnel (budget, organization, staff, functions);
- II. Characteristics of the main functions performed.

I. GENERAL ORGANIZATION OF THE OFFICE OF PERSONNEL

75. The table of organization of the Office of Personnel as of 30 April 1971 is attached. Annex III.1 shows the budget of the Office for the years 1969, 1970 and 1971.
76. It will be seen from these two documents that the cost of the Office of Personnel as a whole for the last known year totals \$6,360,800, or 3.3 per cent of the total United Nations budget (\$192,149,300).

It should, however, be noted that expenditure by the Technical Assistance Recruitment Service (TARS) accounts for some \$2 million of this total of \$6,360,800, or slightly less than one-third (31.7 per cent) of the expenditure of the Office of Personnel.^{1/}

Expenditure on recruitment and personnel management in the Organization itself (excluding project personnel) therefore amounts to only \$4,360,000, or 2.26 per cent of the United Nations budget.

Of the total expenditure of the Office of Personnel (including Technical Assistance), 71 per cent, or \$4,536,000, is incurred at Headquarters in New York, while Geneva, with \$767,600, accounts for slightly less than 12 per cent and UNIDO, with \$646,900, for a little over 10 per cent, the remaining 7 per cent being shared between UNCTAD and the regional economic commissions.

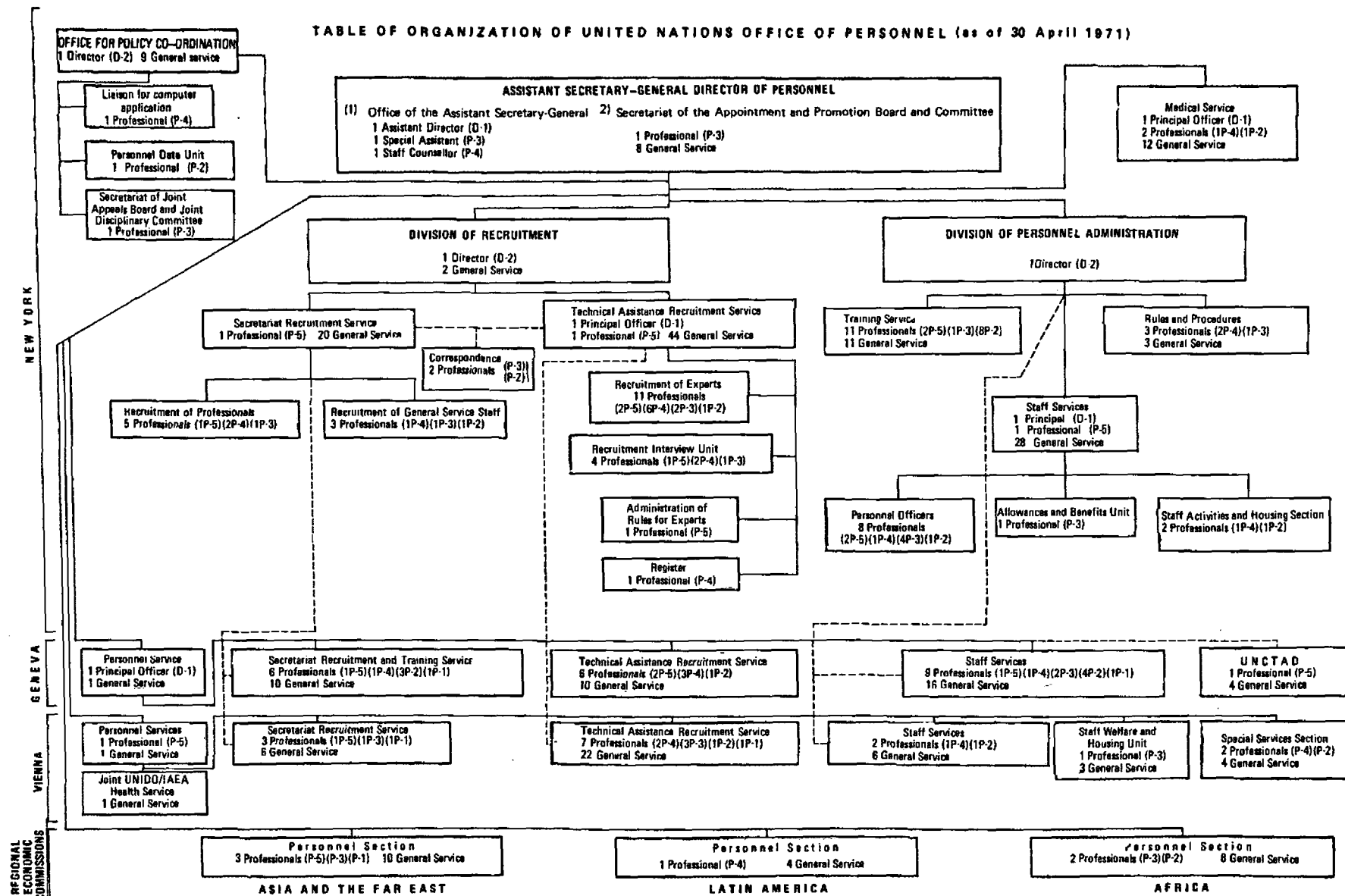
77. The establishment of the Office of Personnel totals 119 Professional posts and 239 General Service posts, distributed as follows:

	Professional	General Services
New York (Headquarters)	72	126
Geneva (Office and ECE)	18	29
Vienna (UNIDO)	16	54
UNCTAD	4	7
Regional economic commissions minus ECE	9	23
Total	119	239

However, it will be more meaningful to examine the distribution of this establishment by function.

^{1/} Of this total of \$2 million, the extra-budgetary funds received from UNDP cover only \$846,800.

Figure III - 1



78. The following table shows the manning table and budget estimates for each of the main units.

	Staff		Budget (\$)	Proportion of the budget of the Office of Personnel
	P	GS		
Office of the Director and Assistant Director	5	6	250,000	
Office for Policy Co-ordination	3.5	9	210,000	
Total, management	8.5	15	460,000	7.2%
Training (New York and Geneva)	13.3	12	430,000	
Appropriations for educational purposes + Professional trainee programme	-	-	720,000	
Total, training	13.3	12	1,150,000	18.2%
Rules and Procedures	2.5	3	100,000	1.5%
Health Service	3	12	200,000	3 %
Personnel administration				
New York	13	28	750,000	
Geneva	9	16	350,000	
Vienna	5	13	250,000	
Regional economic commissions	2	8	130,000	
Total, personnel administration	29	65	1,480,000	23.4%
Secretariat recruitment				
New York	12	15	500,000	
Geneva	4.5	8	150,000	
Vienna	3.3	6	140,000	
Regional economic commissions	2	8	130,000	
Total, Secretariat recruitment	21.8	37	920,000	14.5%
TARS				
New York	13.5	38	900,000	
North American Recruitment Office (NARO)	4	5	200,000	
Geneva	9.3	10	350,000	
Vienna	8.5	22	420,000	
Regional economic commissions	2	8	130,000	
Total, technical assistance recruitment	37.3	83	2,000,000	31.7%

79. This table shows the relative scale of the various functions. It should be pointed out, however, that training gives the impression of being more developed than it is in reality because its budget includes the Professional trainee programme (\$350,000), which is not really a training programme (cf. chapter V, section I (3)). If this sum is deducted, training (which, as we know, is mainly linguistic) accounts for only 12.5 per cent of the total budget of the Office of Personnel.

80. That being said, the main functions seem to be:

Management: policy-making, gathering external information, and statistics (7 per cent of the total budget);

Personal administration: managing the staff as a whole (Professional and General Service) and supervising the promotion machinery (about a quarter of the budget - 23.4 per cent);

Training (12.5 per cent) (cf. preceding paragraph);

Rules and Procedures, which could be classified under either personnel administration or management (1.5 per cent);

Secretariat recruitment, i.e. recruitment of Professional and General Service staff, a basic function which accounts for only one-sixth of the budget (14.5 per cent);

Technical assistance recruitment which, as has been seen, accounts for one third of the budget.

The characteristics of these main functions are described in the next section.

II. CHARACTERISTICS OF THE MAIN FUNCTIONS PERFORMED

(1) Management

81. Both the Office of the Assistant Secretary-General, Director of Personnel, and the Office for Policy Co-ordination may be said to share in this function.

These units perform activities of various kinds, including the following:

Under the authority of the Director of Policy Co-ordination (D-2):

The work of the Personnel Data Unit, which provides certain figures concerning the characteristics of the Secretariat and, more particularly, its geographical composition;

Secretariat service for various committees;

Liaison for Computer Application ($\frac{1}{2}$ P + 1G);

Under the authority of the Assistant Director (D-1):

The administration of the Office of Personnel itself (preparation and supervision of the Office budget, management of the Office staff, staff counselling (2P + 3G);

Secretariat service for the Appointment and Promotion Board and Committee (1P + 2G);

Formulation of general policy, liaison with the organizations of the United Nations system, particularly through ICSAB and CCAQ, and preparation of documents (statements by the Secretary-General, annual reports on personnel matters, circulars and instructions).

82. It is quite clear from the list of activities given above that the division of functions between the two units - the Office of the Director and the Office for Policy Co-ordination - is not very rational, and also that the resources available to the Director of Personnel for the formulation of general policy are inadequate: the facilities for statistical work are meagre and there are very few high-calibre staff able to give all their time to thinking about the situation as a whole (administrative functions take up the time of most of the staff members attached to the Office of the Director and the Office for Policy Co-ordination).

The result is that, for lack of an "instrument panel" that would provide an exact picture of the situation at any given moment, and for lack of means of working out a long-term policy, the Director of Personnel is forced to devote far too much of his time to the solution of individual problems.

(2) Personnel administration

83. "Personal administration", which includes an extremely wide range of administrative tasks and support of the promotion machinery, is not organized in exactly the same way in New York, where personnel officers exist, as at the other centres (Geneva and Vienna). In New York, in fact, the division of functions relating the personnel between the personnel officers of the Division of Personnel Administration and the Executive Officers of the individual departments does not seem to be wholly clear. This is one of the reasons why it seems necessary to give very careful thought to redefining the functions of the Executive Officers and instituting specialization by vocational group among the personnel officers.
84. The second problem relates to the decentralization of responsibility, particularly as regards promotion. The fact that all decisions are taken in New York undoubtedly creates dissatisfaction and a sense of frustration at the other centres. It would certainly be extremely desirable to issue general directives of a more specific nature and to establish machinery whereby units outside New York could be treated in the same way as those at Headquarters. These problems will be described in greater detail in chapter V below.

More generally, the functions of the Office of Personnel do not seem to be defined with the necessary stringency; computerization should impose stricter discipline in this respect.

(3) Rules and procedures

85. The functions performed under this heading, which consist of bringing the Staff Rules up to date and preparing administrative instructions, personnel directives and circulars, are at present the responsibility of a very small section (2½P + 2G).

The preparation of a personnel administration manual has been started; unfortunately this extremely desirable project is making only slow progress owing to the smallness of the appropriation for it.

The present situation as regards the rules which govern the staff is highly unsatisfactory. The Staff Rules (rules 100-400) form a widely distributed document, but it is practically impossible to assemble all the documentation contained in the personnel directives and the various instructions or circulars which have followed, or been superimposed on, one another without ever being brought properly up to date. (Moreover some administrative practices, many of them important, are nowhere to be found in writing.)

The publication of a manual should therefore save a great deal of time.

It would also do much to facilitate training in these matters. It represents a simple means of securing, at little cost, a real increase in the efficiency of all units.

(4) Training

36. The activities of the Training Service in New York may be summarized for 1970 as follows:

No. of language courses in:	English	Chinese	French	Russian	Spanish	Total
Regular classes	36	6	62	16	35	155
Conversation courses	9	1	16	6	7	39
Accelerated courses	5	-	22	8	9	44
Intensive courses	1		3			4

Non-linguistic training (of which details will be given in chapter V) is not altogether an official activity, since the established posts of the Training Service were approved by decision of the General Assembly, in December 1968, for language training only. A non-linguistic training project can be carried out only by using posts established for language training, which is itself inadequate to present needs.

87. At Geneva, language training activities are organized as follows:

No. of language courses in:	English	French	Russian	Spanish	Total
Spring term					
Regular courses	10	10	4	7	31
Accelerated courses	2	3	1	1	7
Autumn term					
Regular courses	14	13	7	10	44
Accelerated courses	2	3	1	1	7

In addition there are two orientation courses, eight shorthand speed courses (four each in English and French) and a drafting seminar in English.

Non-linguistic training courses, one for editorial assistants and one for statistical clerks, are provided for General Service staff.

88. The figures for Vienna are as follows:

January-June 1970

5 language courses (accelerated)

3 German courses (audio-visual)

13 language training courses

September-December 1970

6 language courses (accelerated)

4 German courses (audi-visual)

18 language training courses

89. It will be possible to measure the exact performance of the language training service only when detailed computerized statistics are kept showing individual knowledge of languages for all staff of the Secretariat (Professional and General Service); the changes from year to year will then be a measure of the real efficiency of the service.

(5) Recruitment: Technical Assistance and Secretariat

90. Recruitment (Secretariat and Technical Assistance) accounts in all for 46.2 per cent of the budget of the Office of Personnel (cf. table in paragraph 78 above).

But the importance attached to recruitment for technical assistance is unquestionably greater than that attached to recruitment for the Secretariat.

The difference emerges clearly in the administrative organization and in the cost figures for the operations.

91. The administrative organization for the recruitment of technical assistance experts comprises three levels:

A "recruitment administrative operations" level (mainly in New York and Vienna);

An "interview network" level operated from two specialized offices, the North American Recruitment Office (NARO) and the European Recruitment Office at Geneva and, in part, Vienna;

A "prospecting and search for candidates" level; in Europe and North America these functions are performed mainly by national recruitment services as an aid to the Organization's own services; there are no such arrangements in Latin America, Africa or Asia, where prospecting is, in theory, a function of the UNDP Resident Directors.

The Secretariat recruitment system, in contrast, is on a single level, with all operations (administration, prospecting and interviews) being carried out, in New York, Geneva and Vienna, by the same units.

92. The difference is equally apparent in the cost of recruitment operations.

Calculation of the cost of technical assistance recruitment operations:

The budget estimates given in paragraph 78 total \$2 million. The number of experts recruited is as follows:

for New York	706 experts recruited;
	+ <u>158 consultants and others</u>
Total	864 recruitments
	+ 823 extensions of experts' current appointments
for Vienna	230 experts recruited
	+ <u>22 consultants</u>
Total	252 recruitments
	+ 229 extensions of appointments

If the cost of extending an appointment is estimated at one-quarter of the cost of recruitment, the following per capita figure is obtained:

$$\$2 \text{ million} \div (864 + 205 + 252 + 56) = \frac{2,000,000}{1,377} = \underline{\$1,452}$$

93. Estimation of the cost of recruitment by the Secretariat Recruitment Service: The budget estimates given in paragraph 78 above total \$920,000. The number of recruitments may be estimated as follows for 1970:

Recruitment of permanent

Professional staff:

282 in New York

40 at Geneva

77 at Vienna

Total

399

Recruitment of permanent

General Service staff:

450 in New York

210 at Geneva

121 at Vienna

Total

781

Recruitment of temporary

Professional staff:

1,716 at Geneva

319 at Vienna

Total

2,035

Recruitment of temporary

General Service staff:

152 in New York

2,931 at Geneva

381 at Vienna

Total

3,464

Recruitment of

consultants:

872 at Geneva

297 at Vienna

Total

1,169

If the various recruitment actions were added together without weighting, the figure obtained for total recruitments would be $399 + 781 + 2,035 + 3,464 + 1,169 = 7,848$, and that for cost per capita would be very low (\$118).

It is extremely difficult to propose a reasonable weighting. More realistic per capita figures may, however, be arrived at by making the calculation for each office separately. Thus, at New York, expenditure incurred on the recruitment of Professional staff can be isolated: about \$380,000 is spent on recruiting 282 Professional staff, giving a per capita figure of \$1,348, while the cost of recruiting General Service staff in New York, calculated in the same way, can be estimated at $\$120,000 \div 500 = \$240$. The cost of recruiting a temporary General Service staff member in New York has been estimated at one-third of that of recruiting a permanent General Service staff member.

It is extremely difficult to make similar calculations for Geneva and Vienna. At Geneva in particular, whatever weighting is used, a very low per capita figure is obtained owing to the very large number of temporary appointments made.

94. At all events, the survey carried out shows:

That the cost of recruiting a Professional or General Service staff member is appreciably less than that of recruiting an expert (even without counting the costs borne by national recruitment services);

That in recruitment to the Secretariat, the units concerned spend much more time on administrative operations than they can spare for prospecting for candidates; the proportion of time spent on prospecting is estimated by the units themselves to range between 12 and 35 per cent.

In these circumstances, a comparison of prospecting efforts between the Technical Assistance Recruitment Service and the Secretariat Recruitment Service would show an even greater difference between the two, to the disadvantage of Secretariat recruitment, than the difference between the per capita costs alone.

Chapter IV will show that prospecting for the recruitment of Professional staff is strikingly inadequate.

(6) The need for a major intellectual investment

95. This rapid survey of the various functions of the Office of Personnel reveals some of the profound administrative difficulties which would have to be overcome:

The problem of decentralization or centralization of authority to deal with a great many individual cases: machinery of higher precision to distribute directives and check on compliance with them should make it unnecessary for Headquarters to deal with many individual cases which could be settled locally;

The problem of rules and regulations: the lack, at present, of a manual setting out all the rules and regulations clearly and fully in a single document;

The problem of training: there is practically no non-linguistic training, and what little there is has to be improvised;

The problem of recruitment: appreciable differences of method between the two main recruitment services, that for Technical Assistance and that for the Secretariat; and too little prospecting, at least so far as recruitment to the Secretariat is concerned;

The problem of the supply of information to the Office of the Director: there is no organization for predicting developments, collecting all the information needed to set up an "instrument panel", and identifying the possible choices of policy line.

It seems plain that the solution of all these problems calls for a major intellectual investment. By analysing in greater detail some of the difficulties which have just been considered this report will endeavour to show the direction in which this investment effort might be aimed.

CHAPTER IV

THE MODERNIZATION OF RECRUITMENT METHODS

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CHAPTER IV - THE MODERNIZATION OF RECRUITMENT METHODS

96. The techniques employed are only one aspect of the problem of the effectiveness of a recruiting system (which also depends, of course, on the attractiveness of the conditions offered to the candidates). However, they are a far from negligible aspect.

The thesis put forward here is that the necessary modernization of methods should lead to a drastic transformation and not merely to minor changes. This thesis is argued under five headings:

- I. A review of present methods;
- II. A description of a possible long-term recruitment plan;
- III. A study of the possibility of introducing competitive examinations for junior posts;
- IV. Proposals for modernizing methods of recruitment at level P-3 and above;
- V. Consideration of a preliminary training scheme as a prerequisite for the proper application of the principle of geographical distribution.

I. REVIEW OF PRESENT METHODS

(1) Quantitative data

.. The number of Professional staff recruited ranged from 199 in 1965 to 374 in 1969.

97. The 1965 figure was particularly low. The average for the four-year period 1966-1969 was 327.

From 1968 onwards the figures include recruitment to UNIDO (some fifty posts a year).

98. B. The majority of recruitment operations (an average of 60-65 per cent a year) take place in New York.

Since 1968 the remaining 35-40 per cent have been shared more or less equitably among the other centres - Geneva, Vienna and the headquarters of the three non-European regional economic commissions. The following table (extracted from the table reproduced in annex IV.1) gives the figures for the years 1965-1969:

Year	New York	Regional economic commissions less ECE	Geneva Office + UNCTAD + UNHCR + ECE	Vienna (UNIDO)
1965	210	30	39	0
1966	212	47	78	0
1967	175	46	56	0
1968	169	28	65	44
1969	203	50	70	51

C. The average number of Professional staff recruited on fixed-term appointments is two to three times the number recruited on permanent (or probationary) appointments

99. This proportion does not correspond to the proportion of permanent to fixed-term appointments among the serving Professional staff as a whole (the proportions are 70 per cent and 30 per cent respectively) because a great many fixed-term appointments are subsequently converted into permanent appointments.

D. The three main vocational groups recruited are:

100. Language staff;
Administrative generalists;
Economists.

The other vocational groups represent only a minute proportion of the total, although the proportion increased in 1969.

The total number recruited at junior level is smaller than the number recruited at level P-3 and above.

101. E. The recruitment of language staff differs from recruitment to other groups in certain noteworthy respects.

These concern:

The proportion of recruitment to junior posts;
the rate of recruitment.

In the case of language staff, the number recruited at junior level has been noticeably larger, particularly since 1968, than the number recruited at level P-3 or above; in 1969 it was four times as large.

In the other vocational groups, in contrast, the average number recruited to junior posts has been only half that recruited to non-junior posts.

Depending on the year, the number of language staff recruited has represented 25 to 30 per cent of total recruitment, the average being around 25 per cent.

The language staff form almost exactly 20 per cent of the Professional category as a whole.

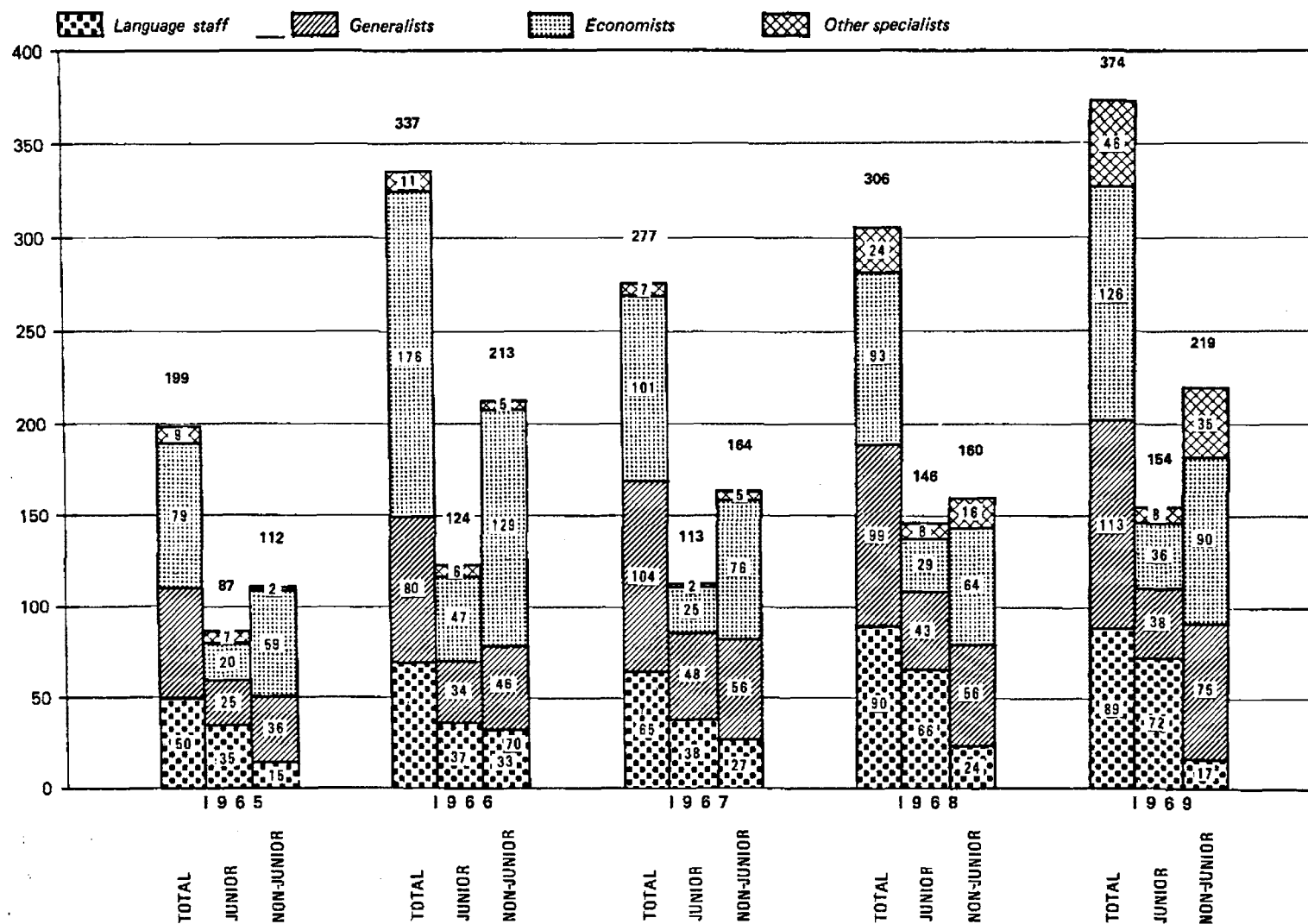
Therefore their rate of recruitment is higher than that of the other groups.

.....

Figure IV.1

STATISTICS OF RECRUITMENT TO THE PROFESSIONAL CATEGORY, 1965 - 1969

Total for United Nations by vocational group, distinguishing between junior and non-junior posts



The relative scale of recruitment to the main vocational groups is readily apparent. It is also clear that the amount of recruitment at the junior level is proportionally far greater among the language staff, who are recruited by competitive examination or test, than in the other groups.

gories.

It was felt appropriate to point out these factual differences between the language staff and the other groups before examining the recruitment methods themselves.

(2) The methods employed at present

102. These two kinds of staff are recruited by utterly different methods.

The language staff are recruited by competitive examination, and the other groups by direct methods.

A. The recruitment of interpreters and translators

(a) The competitive examination and test method

103. Interpreters, of whom there are relatively few (the United Nations had 107 in 1969, of whom 58 were at Headquarters in New York), are recruited after passing the United Nations oral interpretation test, the results of which are adjudicated in New York.

Editors and translators, who are much more numerous (the United Nations had 512 in 1969, of whom 315 were at Headquarters in New York), are recruited through a competitive examination consisting of written and oral tests. Examinations for the recruitment of translators in the three western languages (English, French and Spanish) are held at regular intervals, normally every year. The examinations are advertised both in the Press and by notices which are circulated or publicly displayed, in particular at universities, language schools and the like. The advertising appropriations do not appear in the budget; they are made available to the language services by the Office of Personnel. In recent years the expenditure on Press advertising for the translators' examinations appears to have been as follows:

Total:	\$3,700 for all three examinations
English	\$1,000 per examination
French	\$1,400 per examination
Spanish	\$1,300 per examination.

The following are the conditions for application: age between 20 and 50, university degree or several years' practical translation experience, and possession of the active language as mother tongue. This last requirement naturally reduces the number of possible nationalities. At the French examination, 90 per cent of the candidates are French and the remainder Belgian, Canadian or Swiss. At the English examination, 70 per cent of the candidates are from the United Kingdom and only 20 per cent from the United States. At the Spanish examination, the candidates' nationalities cover a wider range, embracing Spain and the Latin American countries.

(b) The three "western" examinations

104. Table IV-I gives a quantitative picture of the three "western" examinations for the last two years. The written tests are held in a number of capitals. The examiners are senior officials of the Office of Personnel and the language services. Candidates successful in the written examination are called for interview in New York, at Geneva or at one of the United Nations Information Centres. The annual rate of recruitment of translators runs at about 10 per cent of the total number of translators. This high figure can very likely be explained by a large number of retirements, moves to substantive departments, resignations and transfers to specialized agencies.

(c) Recruitment of Russian translators

105. The present methods of recruiting Russian translators are the outcome of efforts to solve the recruitment problems of the nineteen-sixties. A special programme was set up in 1962 for the systematic training of Russian translators and interpreters. The appropriation for this is included in the United Nations budget under staff training programmes. The level of the appropriation has been as follows:

1969:	\$100,000
1968:	\$100,000
1967:	\$106,819

An agreement was entered into with the Moscow Pedagogical Institute for Foreign Languages providing for the establishment of a training centre for United Nations Russian language personnel. The twenty-five students enrolled are university graduates with some linguistic experience. They take a one-year course of

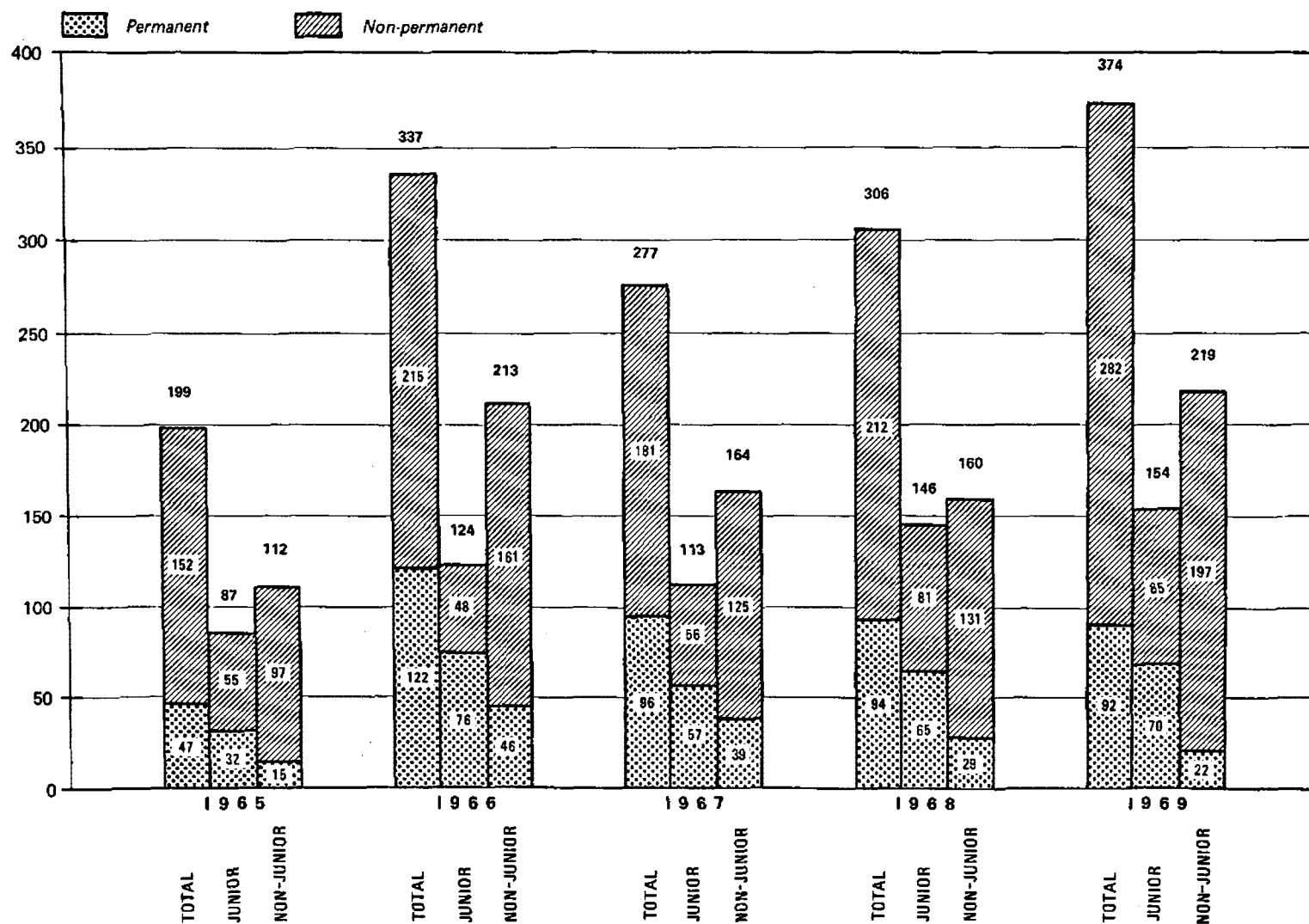
Table IV-I

Translators' examinations 1969 and 1970	French examination		English examination		Spanish examination	
	1969	1970	1969	1970	1969	1970
Applicants considered for examination	643	586	370	337	891	766
Candidates admitted to the examination	434	408	255	229	701	452
Candidates sitting the examination	321	308	150	131	524	356
Candidates successful in the written examination	16	27	25	18	19	26
Candidates successful after interview	11	17	17	15	16	21

Figure IV-II

STATISTICS OF RECRUITMENT TO THE PROFESSIONAL CATEGORY, 1965 - 1969

Total for United Nations by type of appointment, distinguishing between junior and non-junior posts



Recruitment to the junior grades is numerically less than recruitment to grade P-3 and above. On the other hand, the proportion of permanent or probationary appointments made is higher in the junior grades.

training as translators, during which they prepare translations of United Nations documents as a practical exercise. The curriculum includes all subjects necessary for a proper understanding of the work of the United Nations, including biblical history and mythology. By 1969 the centre had trained 78 translators and 18 interpreters for the United Nations. At the Russian translators' examination, two-thirds of the candidates are from the centre and the remainder are entered by the Ministry of Foreign Affairs.

The Chinese examination takes place at irregular intervals and all the candidates are Chinese.

B. The recruitment of other vocational groups

The main characteristics of the present methods of recruitment to other groups appear to be as follows:

106. (a) The decision as to what posts to fill by external recruitment does not seem to be reached by systematic application of clearly defined criteria.

No doubt a decision is taken annually as to how many posts at each grade level may be filled by internal promotion and how many by external recruitment. As a result of negotiations between the Office of Personnel and the substantive departments on the basis of the establishment budgeted for and the actual strength, tables are prepared grade by grade and transmitted to the Chairman of the Appointment and Promotion Committee and the Chairman of the Appointment and Promotion Board. To take an example, the tables for 1970 can be summarized as follows:

	P-1/P-2	P-3	P-4	P-5	D-1
1. Established posts	526	952	762	398	158
2. Incumbents	549	817	668	335	131
3. Current vacancies	23	135	94	63	27
4. Vacancies expected as a result of separations	40	50	50	35	15
5. Vacancies expected as a result of promotions	114	92	47	19	-
6. Total vacancies, current and expected	131	277	191	197	42
7. Staff on register awaiting promotion	2	1	3	4	-
8. Appointments approved	-	33	17	7	4
9. Appointments to be made	91	125	75	55	17
10. Posts reserved for career staff outside the establishment	3	4	4	4	2
11. Total vacancies available for promotion	35	114	92	47	19

107. Most of the figures in this table are derived from budget data, from statistics or from estimates. For example, the number of vacancies expected as a result of separations (item 4 of the table) is derived from an analysis which takes into account the expected number of retirements (on the basis of age and prospects of extension). The number of fixed-term appointments which are not to be renewed is worked out with each substantive department, and finally a fixed percentage, calculated from the figures for previous years, is added to cover the estimated number of resignations, deaths and terminations.

On the other hand, the figures for item 9 (appointments to be made) and item 11 (total vacancies to be filled by promotion) are the outcome of decisions taken after negotiation between the Office of Personnel and each department concerned.

108. In theory this review of the posts to be filled is carried out systematically, department by department, on the basis of assessments made by the unit chiefs as to the feasibility of filling particular posts by internal promotion. In practice it is extremely difficult to say how far the final decision is influenced by technical factors (the need to recruit a particular specialist from outside), circumstances (the degree of competence of the existing staff in the next lower grade), considerations dictated by the promotion policy of the head of department concerned, or any considerations of over-all balance that may be advanced by the Office of Personnel.
109. For example, the decision to make 35 P-1/P-2 posts available for promotion from the General Service category obviously reflects the need to reward General Service staff at the end of their career; it would be perfectly feasible to make it the policy that all junior posts should be filled by external recruitment. On the other hand, above the P-3 level, it is certainly not the case that all the appointments made from outside are dictated by the utter impossibility of finding acceptable candidates at the lower levels.
110. Thus, at each grade level, the ratio of the number of posts to be filled by external recruitment to the total number of vacancies and the ratio of the number of posts to be filled in that manner to the total number of established posts are not fixed quantities but vary from year to year.

The following figures, which relate to 1970, cannot be attributed to the application of any clearly defined principles:

Ratio of posts to be filled by external recruitment in 1970:

	P-1/P-2	P-3	P-4	P-5	D-1
1. to current and expected vacancies	69	45	39	43	40
2. to established posts	17	13	9.9	13.8	10.7

111. For the situation to be otherwise, there would need to be rules defining, for example, the kinds of posts which in principle should always be filled by promotion (and conversely those which should be filled by external recruitment), the maximum and minimum percentages of posts to be made available annually for promotion from a lower level, and so on.

However, there are no such rules. Furthermore the arrangements made with regard to each post at the time of drawing up the tables referred to above may be changed in the course of the year.

The over-all impression received is that there is too much flexibility in this matter and that it is no exaggeration to say that each case is dealt with as and when it arises.

It would seem to be in the interests both of the staff and of the Organization that the formulation of policy in this respect should be governed by clearer principles. In particular, the establishment of a long-term recruitment plan ought to have the effect of ensuring the adoption of more definite rules.

112. (b) Vacancies are given virtually no publicity.

This statement, which is made in full awareness of its seriousness, is based on a number of observations:

Information on vacant posts is conveyed through a system of circulars which receive a restricted distribution; it is not displayed, much less advertised in the Press.

113. The Circular of Vacancies in the United Nations Secretariat is an annual document of considerable bulk; in 1970, for example, the main part ran to 157 pages. It is generally published in four parts, the first and largest of which appears on 31 January and the others on 30 April, 31 July and 31 October (or 15 November). The Circular consists of a series of job descriptions covering one or two pages each and corresponding in theory to the actual vacancies in the Secretariat.

These documents have a restricted distribution; they are circulated only to certain persons in the Secretariat and to the delegations of Member States. The number of copies printed is 300.

114. No notices are displayed concerning vacant posts, although notices of vacancies in the United Nations specialized agencies, for example, are regularly displayed on the notice-boards of the various organizations, including the United Nations itself. There seems to be no valid explanation for this distinctive attitude

on the part of the United Nations within the United Nations family.

Whereas, as we have seen, a modest attempt is made to advertise the recruitment of translators and interpreters in the Press, nothing of the kind is done for other posts in the Professional category.

115. (c) The recruitment procedure does not provide for consideration of enough candidates per post: the numbers are extremely low, and in some cases only one candidate is considered.

In a random sample, taken at our request, of recruitment operations in New York and at Geneva, the numbers of candidates considered were as shown in the table below. The New York figures, in particular, are made up of some ten cases per recruiting officer.

At Geneva, out of 21 cases	In New York, out of 47 cases
Only 1 in 5 cases	Only 1 in 30 cases
2 in 5 cases	2 in 4 cases
3 in 2 cases	3 in 1 case
5 in 1 case	4 in 4 cases
7 in 1 case	5 in 1 case
8 in 2 cases	Several (no further details given) in 7 cases
12 in 3 cases	
21 in 1 case	
32 in 1 case	

116. In percentage terms, these figures work out as follows:

The proportion of cases in which only one candidate was considered (and accepted) was over 23 per cent at Geneva and over 63 per cent in New York.

The proportion of cases in which five or fewer candidates were considered was over 61 per cent in Geneva and between 85 and 100 per cent in New York.

A comparison between these figures and those we gave in connexion with the examinations for language staff speaks for itself.

The fact that in the majority of cases only one candidate was considered, and this candidate was accepted, creates a particularly undesirable and

disturbing situation which is bound to have a very serious effect on the average calibre of the successful candidates^{1/}.

117. (d) Virtually no use is made of the recruitment roster.

There is in New York a roster of candidates for Professional posts (physically it consists of three metal cabinets standing in one corner of a table). A recruitment roster is by tradition a source of sound basic information for recruiting officers, but this particular roster is utterly useless and is not in fact employed in the recruitment of Professional staff.

We arranged for a rough inventory to be taken of the roster. It comprises:^{2/}

(a) 1,143 cards classified by skill (the skill roster);

(b) 982 cards classified by under-represented countries and divided into two sections:

African countries (526 cards);

Other countries (456 cards).

Between 20 and 28 per cent of the cards in the country rosters are duplicated in the skill roster.

The roster can therefore be regarded as containing at least 1,800 different entries.

This is very few, particularly since, for various reasons, the candidates recorded on these cards are not regarded by departments as serious candidates.

118. The "updating" of the roster by the destruction of cards after three years cannot be a very systematic operation, for we found cards which were older than that and obviously useless.

As to the sources of the roster, according to the information which is (sometimes) given on the cards regarding the origin of the candidatures, approximately 75 per cent of candidates apply directly (by letter to the Administration), while of the remaining 25 per cent slightly more than half

^{1/} Such a situation might suggest to the uninitiated that, in the United Nations, posts are created for candidates rather than candidates sought for posts. This interpretation would of course be wrong, but it would be wise to take all necessary steps to preclude it altogether.

^{2/} In November 1970.

are candidates recommended by their Governments and the remainder candidates whose particulars have been sent in by Resident Representatives or United Nations Information Centres. However, this information is not definite and the proportion of "recommended" candidates may well be higher. In reality many cards are added, unannounced, by the recruiting officers themselves; this enables them to inform an unsuccessful candidate that his name has been "placed on the roster" (an average of four names a month are placed on the roster by each recruiting officer in this way).

In these circumstances it will be appreciated that for working purposes the rosters are consulted by the recruiting officers purely as a matter of form, if at all. In fact no member of the recruiting staff can recall any case in which a candidate has been recruited from the roster.

It is thus obvious that the roster could be dispensed with, and that the General Service post allocated to its maintenance could be spared, without affecting recruitment operations in the slightest.

The keeping of a proper recruitment roster is an entirely different matter, which we shall discuss later on.

119. (e) What is known about the sources of recruitment confirms that there is not enough active prospecting for candidates.

We were not able to make as systematic a study as we could have wished of the sources of recruitment of the successful candidates: place of recruitment, particulars of circulation of information, recommendations, etc.

However, in the light of the information obtained from the sample survey made among the departments as mentioned above, and of a detailed study of a few individual cases, some fairly precise general conclusions can be drawn concerning the methods used and, in particular, the importance of the various considerations that decide an appointment.

120. The results of the survey and study are as follows:

In New York, out of 46 cases,

19 candidates were recruited on the recommendation of their Government
(41.3 per cent);

12 candidates appear to have been found directly, by the recruitment services

themselves or by substantive departments, or to have applied individually (26 per cent);

7 were previously known to departments (a former member of a General Assembly committee, a former staff member, three ex-consultants and two short-term appointees) (15.2 per cent);

6 were recruited at the request of substantive departments or on the recommendation of unit chiefs in such departments (13 per cent);

1 was recommended by his university (2 per cent);

In the remaining case, the service cannot identify the origin of the staff member's recruitment (2 per cent).

121. This analysis seems to justify the view that the Secretariat, and the Office of Personnel in particular, are not doing enough prospecting. As a whole, recruitment is a passive operation except perhaps in the case of economists, for whom direct prospecting is carried on at a number of universities, particularly in the United States of America. Even then the candidates offered are considered, and often accepted, without that systematic search for other qualified candidates which would make the process reasonably selective.

122. (f) The method of compiling job descriptions is unsuited to the actual requirements.

The job descriptions used for recruitment purposes, as set out in the Circular of Vacancies, call for the following comments:

The descriptions of posts open for recruitment include both "standard" posts of which several are usually offered at the same time, and genuinely individual posts.

This, unfortunately, creates confusion, which is compounded by the practice of numbering the posts serially as though the figures represented the number of vacancies actually available. For example in 1969 202 posts were offered, numbered from 1/69 to 202/69, and in 1970 327 posts, numbered from 1/70 to 327/70^{1/}.

Yet in 1970, for example, a series of posts were standard posts: junior Professional trainees, post 1/70; P-2 to P-4 auditors, post 2/70; statisticians at the P-2, P-3 and P-4 levels, posts 3/70, 4/70 and 5/70; translators and interpreters - posts subject to competitive examination and representing, as we have seen, several dozen vacancies - posts 30/70 and 31/70; and so on.

123. However, this system of standard post descriptions is not applied in all cases; many separate descriptions are given of posts for which the same type of qualifications are required, and which it would be much more practical to group together.

A case in point is the definition of the qualification requirements for economic affairs officers. Sixty job descriptions bear this title in the main part of the 1970 Circular. Some of these descriptions are identical in all respects and, where differences do exist, it would obviously be far more helpful if they were made to stand out clearly.

124. I do not feel that the actual requirements of the various administrations concerned would be grossly misrepresented if, for example, all job descriptions for economists were grouped together, not in a single post description, but in a single description of qualifications required. This description might specify the need for an advanced degree in economics and a good grounding in several

^{1/} The posts described were spread over the four parts of the Circular of Vacancies as follows:

In 1969, 137 posts in the main part (31 January), 23 posts in Supplement No. 1, 20 posts in Supplement No. 2 and 22 posts in Supplement No.3.

In 1970, 147 posts in the main part, 47 posts in Supplement No. 1, 71 posts in Supplement No. 2 and 65 posts in Supplement No. 3.

scientific and technical aspects of the subject (these being listed in a fair amount of detail); the linguistic knowledge desirable; and the two or three sets of special requirements (type of professional experience, qualifications in a particular sector) corresponding to different types of jobs. Lastly, where appropriate, the description might indicate the number of posts offered at the junior and other levels.

The same applies to the industrial development officers required by UNIDO (seventeen posts), social affairs officers (fifteen posts), and others.

125. In short, the 142 posts announced in the main part of the 1970 Circular could be reduced to the following:

Some 13 to 15 standard descriptions of qualifications required (for junior Professional trainees, auditors, statisticians, analysts, programmers, legal affairs officers, social affairs officers, economists, translators, interpreters, librarians, industrial development officers and administrative generalists);

Plus a number of descriptions of posts not classifiable under standard headings for reasons connected either with the nature of the qualifications required (in the case of technical editors, journalists, film technicians and narrowly specialized industrial experts); or with the grade level (in the case of P-5 to D-2 posts); or with the kind of duties involved (e.g. in the case of the Deputy Secretary of the Economic and Social Council). In the part of the Circular studied, there will certainly be a good 20 out of the 142 posts that could be placed in this category.

126. Thus the very conception of this system of job descriptions is open to question.

From the standpoint of the objective, i.e. the needs to be met, it will be seen that, so far as recruitment to the Professional category is concerned, the distinction we have just drawn between standard posts and exceptional, or specific, posts corresponds to that between:

On the one hand, conventional posts destined in practice to be held by career officials irrespective of the type of appointment initially

offered (the regularity with which fixed-term appointments are converted into permanent appointments shows that we must not be misled by immediate outward appearances as to the contractual position); and

On the other hand, posts requiring exceptional qualifications, in most cases for a genuinely limited period.

Only this latter class of post calls for the most accurate possible description both of the job characteristics and of the qualifications required, compiled by a method closely comparable with that used in the recruitment of experts.

127. However, in the first of these two classes - which in practice comprises the vast majority of the posts offered - a person is recruited, not to occupy one particular clearly defined post, but to be capable of occupying successive posts within a given vocational group (although, as we shall see, transfers from one group to another are frequent) - posts which will differ from one another not only in the degree of experience required but also in the nature of the duties to be performed.
128. For appointments of this kind it is obviously nonsense to specify a particular secondary qualification; the real need, especially in the junior posts, is for staff members who have a sound basic knowledge in their own specialized professional field, adequate drafting ability and, whenever possible, a knowledge of one working language in addition to their mother tongue. On that basis the Circular of Vacancies could:
- Be considerably reduced in bulk;
 - Be given a much more rational presentation (in two separate parts, one containing a list of conventional posts for which standard definitions are laid down once and for all, and the other containing specific descriptions of the duties of, and abilities required for, exceptional posts);
 - Be far more widely circulated, so as to reach a much greater number of interested parties (universities, professional associations, etc.) at the same cost as the Circular in its present form.

129. (g) Recruitment operations are far too protracted.

The sample surveys carried out at our request in New York and at Geneva also made it possible to compile some statistics on the average duration of recruitment operations.

Thus for 45 candidates (9 at Geneva and 36 in New York) selected at random in 1969, the following periods elapsed between the publication of the job description and entry on duty:^{1/}

at Geneva		in New York		in New York	
4 months	(2)	2 months	(1)	9 months	(1)
7 "	(2)	3 "	(4)	10 "	(2)
8 "	(1)	4 "	(8)	11 "	(2)
10 "	(1)	5 "	(2)	14 "	(1)
12 "	(2)	6 "	(5)	16 "	(1)
13 "	(1)	7 "	(3)	17 "	(1)
		8 "	(2)	18 "	(2)
				19 "	(1)

The average for the cases investigated was 9.6 months at Geneva and 8.2 months in New York; the range of variation was much greater in New York than at Geneva.

In 33 per cent of the cases, recruitment took less than 5 months; in 35 per cent, it took between 5 and 10 months, and in 32 per cent more than 10 months. In the last-mentioned group of cases - a sizeable group - the time taken for recruitment is utterly incompatible with normal operating conditions in the substantive departments concerned.

^{1/} The number of cases is shown in brackets.

130. The foregoing comments make it evident that far-reaching changes are needed. However, before going on to describe the changes proposed, I would emphasize that the existing combination of political and financial constraints has virtually forced the Office of Personnel to opt for the methods just described. The officials responsible for recruitment to the Professional category are the first to desire drastic changes in the methods they are at present obliged to use, and they have been of great assistance to the author of this report in making the foregoing critical assessment. As the remainder of this chapter will show, changing the existing practices will demand strenuous efforts, at various levels, by all the parties concerned.

II. LONG-TERM RECRUITMENT PLAN

131. The idea of launching a long-term recruitment plan, whose very existence would lead to a drastic change in the methods now in use, is not new. The Committee on the Reorganization of the Secretariat said in its report in 1968:

"70. The Committee therefore recommends that a long-term plan for the recruitment of staff should be instituted and put into operation as a matter of priority".^{1/}

The consultation of Directors carried out in the Secretariat by the Director of Personnel in close association with the author of this report showed a broad consensus in favour of such a method.

The main point which remains to be considered, therefore, is how that method can be applied.

132. Any serious study of the problem reveals that drawing up a long-term recruitment plan is not merely a matter of statistical forecasting. It can easily be shown that the preparation of such a plan would be quite impossible if, for example, the present system of job descriptions were to be retained.

In fact the adoption of any such plan entails laying down very precise standards and, what is still more important, choosing a personnel policy.

Here, therefore, we shall consider the long-term programme from the standpoint of:

- (1) Statistical forecasting;
- (2) Standards;
- (3) The choice of a policy.

^{1/} In paragraph 77 the Committee specified that the long-term recruitment programme should be drawn up by the Under-Secretary-General for Administration and Management after the widest possible consultation, including the heads of all departments and offices in the Secretariat, at the earliest possible date (A/7359 of 27 November 1968).

(1) Statistical forecasting

A. General objectives

133. The objective of a long-term recruitment plan is to determine for a given period, several years in advance, the number and type of posts to be filled by recruitment. These requirements must be determined as precisely as possible with a view to the formulation of a recruitment policy.

More specifically it is necessary to ascertain, in addition to the number of posts, the grade levels and the corresponding types of occupations, the wishes of the substantive departments as regards the characteristics required of candidates for those posts and, of course, the nationalities among which the candidates should be found in order to improve geographical distribution.

134. A number of objections may come to mind in connexion with the feasibility of statistical forecasting. Since some very important factors are unknown - for example the number and types of new posts that will be created - and others are difficult to forecast - for example the number and types of resignations and of deaths - does this not mean that the whole exercise is doomed to futility from the start?

In reality objections of this nature will not stand up to examination. For obvious financial reasons, the ratio of newly created posts to existing posts has never exceeded 5 to 10 per cent in any past year. There is no reason for any sudden change of method which would upset the practice followed in this matter hitherto.^{1/} In the circumstances, the regular turnover of existing posts (through separations, retirements and the expiry of appointments) will probably account for the lion's share of any long-term recruitment plan. This provides a sufficiently firm basis for the exercise to make sense.

^{1/} The establishment of new institutions involving greater increases in staff will be discussed later.

As to the other unknowns, their dimensions can be inferred from past statistics well enough for useful forecasts to be made.

B. Possible method of statistical forecasting of vacant posts

135. From what has been said above it follows that it is possible to apply a method of statistical forecasting in order to determine approximately what posts will fall vacant.

This entails a great many calculations, which are described in detail in annex IV-6. (The figures are given in all cases where we were able to obtain them in time; in other cases the tables have been left blank.)

The tables comprise:

136. (a) A first series of tables designed to provide basic data for general guidance (tables LTRP 1 to LTRP 7): total number of posts which will fall vacant between 1972 and 1976, either by retirement or by the expiry of fixed-term appointments, all information being analysed by grade, vocational group and nationality;
137. (b) A second series of tables, dealing with the preceding five years (in most cases we took the years 1965-1969, but it would now be possible to update these figures to include 1970) and designed to derive, from a study of the phenomena recorded during those years, rules for interpreting the raw data obtained for 1972-1976 (for example the average percentage of deaths or resignations to be expected per year and the likely average rate of renewal of fixed-term appointments); cf. tables LTRP 8 - LTRP 13;
138. (c) However, it would seem essential to make a special study of the causes of resignation. We have given an initial interpretation of these in chapter I. The need here, however, is for data on which forecasts can be based. The number of resignations in 1970 (42 resignations among staff members with permanent appointments, plus 62 among fixed-term appointees) represents about 40 per cent of the total number of separations. This number is proportionately so high as to suggest the desirability of

determining its exact causes by systematic inquiry at each separation;^{1/} it would then be possible to compile forecasts which might have some claim to accuracy for future years, or to take steps to slow down this movement if it was regarded as excessive (LTRP 14);

139. (d) On the basis of these figures, it should then be possible to begin compiling tables showing, for the period 1972-1976, the total number of posts which will probably fall vacant each year and their analysis by vocational group. At this stage, however, it seems sensible not to make any assumptions regarding the final analysis of those posts by grade, because this type of calculation calls for a well-defined promotion policy - a subject which ought to be considered separately in greater detail.

Thus the tables relating to the vacant posts (one table per vocational group per year, or about 55 tables for a five-year plan)^{2/} (LTRP 15 - LTRP 70) would comprise the following items:

1. Number of established posts for the previous year
2. Number of new posts which will probably be created (assumption)
3. Number of current vacancies at the beginning of the year in question
4. Anticipated number of retirements
5. Number of fixed-term appointments expiring (and not being renewed)
6. Number of deaths (average of the previous years)
7. Number of resignations by holders of permanent appointments
8. Number of resignations by holders of fixed-term appointments
9. Number of terminations
10. Number of external secondments

11. Total

^{1/} Generally speaking, it would be worth while to make a regular practice of holding a general "exit interview" with every Professional staff member leaving the United Nations, irrespective of his reason for leaving. This function should be entrusted to specialists equipped with a carefully prepared standard interview pattern.

^{2/} It should be feasible to compile these tables in the computer.

12. Anticipated number of secondments or reinstatements
13. Number of vacancies regarded as acceptable or probable at the end of the year

14. Total number of vacant posts in the specialized field under consideration

140. It will be clear, however, that the various items of information given in these tables comprise a number of variables which may be classified as follows:

Those affecting established posts (lines 1 and 2 of the table):

Those which depend on a General Assembly vote: i.e., the number of new posts created in each year's regular budget;

Those which depend on the Governing Council of UNDP and on an agreement between UNDP and the United Nations: posts charged to project support;

Those which depend on agreements concluded with Member States: posts charged to funds-in-trust.

141. Those affecting the numbers of vacancies arising in the course of the year (lines 3, 4, 5, 9, 10, 12 and 13):

Those which depend on decisions taken by the Secretary-General: i.e., on his interpretation of the Regulations and the policy guidelines laid down by the General Assembly concerning:

The number and length of extensions granted to staff due to retire;
The number of external secondments (policy of secondment or loan of United Nations staff members to other organizations; if such a policy should develop, it would entail taking into account the expiry of secondments and the necessary reinstatements;

The number of renewals of fixed-term appointments, which may produce a temporary or permanent change in the ratio of such appointments to permanent appointments, and which will in any case produce considerable variation in the number of vacancies;

The number of terminations, which itself depends upon a particular view of what should be required of international civil servants;

The number of vacancies permitted at each grade level and in each vocational group.

142. Furthermore it should be noted that these tables serve only to determine what posts are vacant; in order to determine what posts are to be filled by external recruitment, it is also necessary to know how many of the vacant posts in each grade will be filled by promotion and which will be filled by recruitment from outside. In other words, before the number and type of external recruitments can be ascertained, another basic variable must be known: namely, promotion policy.^{1/}

A glance at this list shows immediately that these variables - factors whose magnitude depends on policy decisions - are too numerous and too important for any long-term recruitment plan to be made unless principles of policy from which it is possible at least to determine the order of magnitude of these factors are laid down in advance.

Not least among the merits of the exercise of attempting to formulate such a plan is that it entails laying down principles and rules in areas hitherto left to the Administration's day-to-day discretion. It now remains for us to identify the form and general orientation of these choices.

(2) The need for a system of classification and standards

143. The idea of long-term planning is incompatible with any vague system; the purpose of such planning is to determine what staff need to be recruited, by what date, with what qualifications, at what age and in what type of appointment. A precise system of calculation and classification is therefore required.

However, there is no such system in existence at present. The very idea of long-term planning is utterly incompatible with the view that the Professional

^{1/} The grade pyramid of the posts open to external recruitment would be identical with that of the vacancies if there was no promotion; it widens towards the base as the number of promotions to grades above the junior levels increases. In the extreme case, if all posts at level P-3 and above were filled by promotion, the number of posts open to external recruitment would remain the same, but they would be only P-1 and P-2 posts.

staff form a single group of interchangeable generalists (whereas the need is for competent specialists) and, at the opposite extreme, with the view that each of the 3,000 existing posts has such original characteristics as to need a separate job description and description of qualifications.

144. Forecasting, and the choices it entails, are feasible only on the basis of a system comprising a number of simple, accepted and thoroughly familiar groups in terms of which the objectives can be set in an intelligible and operational form and numerical calculations can be made with some degree of precision.

The setting of operational objectives calls for definition of the concepts "vocational group" and "recruitment levels". If the calculations are to be accurate, it must be possible to distinguish career posts from other existing posts, to have access to data on the average rate of advancement, and to know what is meant by a "normal career".

A. Concepts required for the setting of objectives

145. It is fairly evident that the long-term objectives of recruitment cannot be stated in the form of a list of job descriptions on the lines of that given in the Circular of Vacancies.

In the first place it is probably impossible to achieve such precision, and in the second it is virtually certain that such forecasts would become out-of-date too quickly to be of any use.

If the results of this exercise are to be operational, they must be expressed in the form of standard qualifications, each corresponding to a certain group of posts to be filled. This concept corresponds exactly to that of a certain level of qualifications in a well-defined vocational group.

(a) The concept of the vocational group

146. For recruitment purposes, it would seem that the vocational groups should correspond to those we have already adopted for the purpose of describing the Secretariat in chapter II. In the present context, however, a more precise definition is required. We shall therefore say that, within the Professional category, separate vocational groups can and should be distinguished according to the following criteria:

The possession of a particular skill, body of theoretical knowledge and experience appropriate to the performance of a function which cannot be properly performed without them;

A particular rate of career development, connected in practice with the performance of that function.

147. While, as we saw in chapter II, such characteristics are particularly clear in the case of translators and interpreters, they exist in varying degrees for the other vocational groups which we have distinguished. It should, however, be pointed out that:

These vocational groups reflect internal distinctions within one and the same formal category - the Professional category. Hence all Professional staff have the same status, which confers the same rights and duties on all of them, although there are appreciable differences in their typical average career. In order to reconcile these two contradictory features it seems essential to provide, as is done at present, for a possible move from one vocational group to another: for example, for a translator to transfer to the group of administrative generalists.

However, it seems to me that, in contrast to present practice:

148. There should be no transfer from one group to another without an examination to prove that one of the candidates for transfer has the necessary competence to perform the new functions (with the help, where necessary, of appropriate training);
149. The level of competence required for admission to a particular vocational group should be clearly defined. It has hitherto been assumed that a translator can become an administrative generalist, but not vice versa. This outlook would appear to stem from underestimation of the skills required for administrative work. In other words, the level of theoretical and practical knowledge in the groups hitherto regarded as generalist (administrative generalists, political affairs officers and, often, legal affairs officers and information officers) also needs to be very clearly and precisely defined. It would be strange indeed if the

groups requiring least skill enjoyed the most attractive rate of career development.

150. We propose roughly ten main vocational groups (see the table below). This list could of course be amended if it should prove necessary to distinguish further groups or sub-groups: for example, information officers generally correspond to the profession of journalist but, if special qualifications should be needed in this field, separate sub-groups or groups might be distinguished if the competent specialists thought it necessary.

(b) The concept of level of qualifications

151. The concept of the level of qualifications (within a vocational group) may be made explicit in terms of the level of experience and specialized skill acquired in connexion with the main occupational activity.

The level of basic theoretical or university training should define the profession; it should therefore be the same for all the Professional staff in any one group. In practice it is characteristic of the junior level. Hence other levels of qualifications within the group should be distinguished only according to the professional experience acquired, the length of such experience generally serving to determine its richness. It is really a matter of acquiring greater technical competence; for this purpose experience is irreplaceable, but it can be reinforced by the verified acquisition of a particular body of technical knowledge. These considerations vary, of course, from one professional field to another. Furthermore everything depends on personal calibre.

152. If, then, we leave it to the specialists in each professional field to specify their requirements, it would seem possible in the last analysis to distinguish three or four levels of qualifications (and hence of possible recruitment):

The level of theoretical university training (junior level) - in practice, P-1/P-2;

The level of first-stage professional experience (6-9 years) - in practice, P-3/P-4;

The level of great professional experience (10-15 years) - P-4/P-5;

The level of management - P-5, D-1, D-2.

153. It does not seem necessary to make finer distinctions, for example to the point

of recognizing a separate level of qualifications at each grade level. We thus arrive at the following table, which may fairly validly represent the first stage of a long-term recruitment plan if the number of vacancies to be filled is entered in each of the appropriate boxes:

Table IV-II
Number of vacant posts (for example for 1972)

Vocational group	Translators	Interpreters	Administrative Generalists	Economists	Statisticians	Legal affairs officers	Political affairs officers	Accountants	Librarians	Information officers	Others
Junior P-1 P-2											
P-3 P-4											
P-4 P-5											
P-5 D-1 D-2											

In order to move on to the second stage and produce a table showing the number of posts to be filled by external recruitment, it must be possible to make certain assumptions regarding the operation of the promotion machinery.

B. Standards required for calculating the number of posts to be filled by external recruitment

154. If forecasts are to be possible, the operation of the machinery which ultimately determines the number of posts to be filled by internal promotion and of those to be filled by external recruitment must not be left at the mercy of ill-defined influences or ad hoc decisions.

It is therefore necessary to identify the career posts and to determine an average rate of advancement.

(a) Identification of career posts

155. Since forecasting requires some elements of regularity, the ideal course would be to lay down once and for all - or at least for the entire duration of a long-term recruitment plan - the list of posts which will always be filled by internal promotion and the list of posts which will always be filled by external recruitment. But to do this might mean replacing excessive flexibility by excessive rigidity. The workmanlike course would seem to be to distinguish three classes of posts:

Those to be filled by internal promotion;

Those to be filled by external recruitment;

Those which may be filled by either method,

it being understood that the third class should not represent too large a proportion of the total (for example, an average of not more than 15 per cent for all vocational groups).

156. The decision as to what posts to fill by internal promotion determines, in practice, the possible rate of advancement for career staff (or staff regarded as such) since it amounts to a guarantee that a fixed number of posts in each grade will be made available for promotion. It is therefore a very important decision, and it is essential that representatives of the staff should be included, alongside the representatives of the Office of Personnel, the Budget Division and the substantive departments concerned, in the working party producing this classification.

In reality such a task can only be carried out side by side with that of determining the average rate of advancement for career staff in each vocational group.

(b) Average rate of advancement

157. Every vocational group has its own rate of advancement (characterized by a grade pyramid of distinctive shape). For the purpose of the long-term plan it is necessary to have a more exact picture of this phenomenon: in other words, to determine in advance what are the rights of the Professional staff in each group in the matter of an "average career". This task of clarification,

revealing as it does that the average career prospects are not the same for all Professional staff, is undoubtedly a hazardous undertaking.^{1/} However, if useful forecasts are to be made, this hazard cannot be avoided by leaving the status of the various groups vague, as it is left now.

158. In reality it is necessary to ascertain, for each group, the minimum period which every staff member must spend in a given grade (this period is at present specified for the Professional staff as a whole by circular PD/2/67 of the Director of Personnel, dated 12 June 1967)^{2/}, the maximum period, and the accepted average period. In practice, having regard to the promotion policy in each group, this amounts to determining what proportion of staff members will advance very rapidly, what proportion will have an average career, and what proportion will make only slow progress.

Such questions can be settled only on the basis of the existing posts. This budgetary constraint prevents any demagogy, and indeed any latitude, in defining the standard career; the only scope for flexibility is in determining the career posts and the posts to be filled by outside recruitment.

C. Formulation of the final objectives of a long-term recruitment plan

159. The final formulation of the objectives of a long-term recruitment plan, made possible by the establishment of the standards which have just been defined, may then take the form of table IV-II above, with the difference that, instead of showing the number of vacant posts, the table will show, for each year of the plan in question, the number of posts to be filled by external recruitment and that a distinction will be drawn between the posts corresponding to the general characteristics of the specified recruitment level and those which require special knowledge. This distinction corresponds in practice to that between:

^{1/} In chapter V we shall propose a method of tackling and overcoming this difficulty.

^{2/} For promotion to the P-2, P-3 and P-4 levels, the minimum period is three years, and for promotion to P-5 and D-1 five years.

On the one hand, the results of the career-post calculations made possible by the classification of posts and the concept of the average rate of advancement; and

On the other hand, the posts reserved - because of the requirement of particular technical skills - for filling by fixed-term appointment; the figures for these latter posts are arrived at by calculations based on the duration of current appointments and the intentions of the heads of substantive departments with regard to renewal. Here again, standards should be laid down in advance to determine, in each vocational group, what proportion of such appointments may be renewed with the same incumbents.

(3) The choice of a policy: consequences of the adoption of a long-term recruitment plan

160. All the foregoing remarks point to the conclusion that the first requirement of a long-term recruitment plan is to clarify certain factors which have hitherto been left vague: vocational groups, average careers, career posts, level of qualifications, etc.

However, such a method of forecasting, if consistently applied, should lead even more surely to the following results:

Recruitment to career posts which are reserved in principle for filling by promotion should logically take place increasingly at the junior level. The number of juniors recruited from outside should therefore rise considerably, at the expense of the numbers recruited at level P-3 and above;

Posts to be filled by direct external recruitment at level P-3 and above should be increasingly reserved for experts possessing special qualifications, and should therefore be filled by non-renewable fixed-term appointments.

161. Lastly, it seems necessary to note that the preparation of a long-term recruitment plan should have two additional advantages that are by no means negligible:

From the technical point of view, the preparation of a detailed programme of the recruitment operations to be undertaken, accompanied by a time-table, should make it possible to eliminate almost all the time-lag which occurs between the occurrence of a vacancy and the appointment of a new staff member to fill it;

From the policy point of view, a knowledge, grade by grade and country by country, of the number of separations (retirement, expiry of appointment, etc.) may make it possible to calculate in advance the changes which will be made in the situation of countries that are under-represented or over-represented in the Secretariat. In this way a long-term recruitment plan should simplify the problems of geographical distribution by making it possible to plan, and thus to spread over several years, the adjustments to be made in the present situation in the direction desired by the General Assembly.

III. THE NEED FOR AND ORGANIZATION OF THE "JUNIOR COMPETITIVE EXAMINATION"

(1) The case for such examinations

162. The arguments in favour of competitive examinations for the recruitment of junior staff in the vocational groups other than those of translators and interpreters (who are already recruited in this way), and in particular for the recruitment of administrative generalists and economists, are as follows:
163. A. The number of officials to be recruited every year at this level of qualifications is large enough to make it feasible to hold a competitive examination.

The results of the estimates for the long-term recruitment plan, as arrived at by the calculations just described, indicate that the average number of junior staff to be recruited in the years to come (with the existing career structures and on the assumption that promotion standards will remain substantially the same) will be at least 70 a year, comprising 38 generalists and 32 economists, if we take the average figures for the last six years and take into account the limitations imposed by the promotion of an average of 35 General Service staff a year to the junior Professional level.^{1/} However, if the trends which seem likely to result from the application of a long-term recruitment plan were to develop, the figures would clearly be higher: probably more than 60 posts a year in each group.

In countries with a firm tradition of national civil service, recruitment by competitive examination is the received solution to this type of problem. This procedure makes it possible to offer a limited number of posts to an

^{1/} At present only half the figure of 70 given here represents external recruitment; the other half represents promotion from the General Service category. It is proposed below (cf. chapter VII, paras. 425-429) that promotion of this nature should be discontinued.

unlimited number of candidates who, provided that they meet specified requirements as to age and education, may present themselves for a number of tests of a familiar type, held on dates fixed in advance (generally at the same time every year), and set by a board of examiners according to a "programme": i.e., to show a particular body of knowledge.^{1/}

164. B. The idea of a competition, far from conflicting with the spirit of the Charter, seems consistent with the requirements of Article 101, particularly paragraph 3, and even more specifically with the provisions of Staff Regulation 4.3, which provides that: "So far as practicable, selection shall be made on a competitive basis."
165. C. The possibility of instituting competitive recruitment to junior posts was often suggested in the past but, as was to be expected in view of the increase in the Professional staff, the idea has been put forward more and more often in recent statements.

As long ago as 1950 the report of the International Civil Service Advisory Board on recruitment methods and standards for the United Nations and the specialized agencies established the following points of principle (which have been only very patchily applied):

"Written Competitive Examination"

"47. There can be little doubt that competitive examinations which include written exercises often provide the best single method of evaluating candidates for career service in the international organizations. ...

"48. Insofar as the United Nations follows the general recommendations of the Committee of Experts it should be possible to make written competitive examinations the normal avenue of entry for persons in the professional category. Admitting that some of the other specialized agencies feel that the requirement of specialization and recruitment at intermediate and higher levels must continue to be the practice to a marked degree, it is the Board's opinion that all the agencies can and should find within their organization a group of posts

^{1/} A competitive examination differs from other examinations in being designed to fill posts and not to award qualifications; hence, however many candidates there are, only a limited number may pass.

which would constitute the commencement to a professional career, and which should be filled by professional examination of young persons with no excessive degree of specialization. Even where specialized study at this level is required, the setting of papers in various fields which must be written only by the candidates seeking employment in those fields should enlarge the usefulness of this type of examination."

The further considerations on the evaluation of candidates which are set forth in paragraphs 49-55 of this report are worth thinking over, if only in order to realize how far we have moved away from the principles stated there.

166. Much more recently, in an article published in the UN Monthly Chronicle (vol.VII, No. 8, August-September 1970) and entitled "The Secretariat - Twenty-five Years After", Mr. Andrew Stark, the Under-Secretary-General for Administration and Management, citing the conclusions of a study made by a group of "wise men" in 1944, wrote as follows:

"For career appointments, the 'wise men' looked to a bolder use of entry examinations than the League had made as a control on standards of recruitment. They of course recognized the problems created by differing academic systems and standards but saw at least two methods of trying to overcome them. One was that for each nationality the examination might be the same as the one used for entry to their own national diplomatic or civil services. The other was that large countries or a number of contiguous countries with similar academic traditions might be considered as distinct examination areas. These ideas are perhaps worth further exploration today."

167. We looked to see what lessons could be drawn from the systems of competitive examinations already in operation in the United Nations for language staff. A comparison of the "coefficients of selection" for these officials (an average of 20 candidates per post) with those for other Professional staff (1.5 candidates per post) speaks for itself.
168. The Secretary-General, in his report on the composition of the Secretariat (A/8156 of 12 November 1970), wrote:

"What is now being asked is whether the traditional methods of recruitment for the Secretariat, which rely heavily on academic degrees, references and interviews, should not be supplanted or supplemented by competitive examinations and more accurate assessments of the equivalence of academic degrees."

169. D. Lastly, in resolution 2736 (XXV) of 17 December 1970 on the composition of the Secretariat, the General Assembly itself, acting on the report of the Fifth Committee (A/8098), decided that:

"In the interest of long-term recruitment planning policies, special efforts should be made to recruit qualified young men and women for service with the United Nations through the development of more objective selection methods such as, wherever appropriate, open competitive examinations, special allowance being made for candidates whose mother tongue is not one of the working languages of the Secretariat."

It therefore seems evident that the extension of recruitment by competitive examination to such groups as administrative generalists or economists is desirable and should be given very serious consideration.

(2) Obstacles to be overcome and the principle of regional competition

170. Is it possible, however, to apply such a method to posts subject to geographical distribution? How can the problem of homogeneity of culture and comparability of candidates be solved on a world scale? How are we to overcome the difficulties created by the multiplicity of languages and the problem of the selection, competence and composition of boards of examiners, and how are suitable candidates to be found in all countries? Again, how are the practical problems (e.g. those relating to the place of examination, invigilation arrangements, and oral tests if any) to be solved?

All these difficulties, taken together, seem at first sight enough to discourage any attempt to apply the principle.

In reality none of these obstacles stands up to serious examination, as I shall attempt to demonstrate below.

A. World-wide or regional competition

171. It is clear that a world-wide competitive examination, i.e., the administration of identical tests by a single board of examiners - an arrangement which is already in operation and which presents no difficulty for the recruitment of

language staff - is not feasible for economists or generalists. At the world level, the obstacles referred to above - language, board of examiners, practical arrangements, homogeneity of culture, etc. - are virtually insurmountable.

On the other hand, if the problem is scaled down to the regional level, most of the difficulties either disappear or can easily be overcome.

Competition by region is to be preferred to competition by country because in order to hold a competition, a sufficient number of posts must be available; however, it is obvious that in certain cases a large country could easily be treated as a separate region. In delimiting regions it is clearly necessary to aim at the greatest possible homogeneity of language, culture and level of development of education. In addition each country should be left free to choose the region of competition that suits it best. In the light of these considerations, a detailed study of the main obstacles referred to above leads to the following findings:

B. The language problem

172. The problem is to decide in what languages the tests are to be taken; if, in a given region, it is decided to use only one language, it must be one spoken by all candidates and all members of the board of examiners.

It does not seem an impossible task to delimit regions on the basis of the four working languages of the United Nations:

Spanish for Central and South America plus Spain;
French for the French-speaking African countries;
English for the English-speaking African countries;
English for North America;
Russian for the Soviet Union;
English for a large number of South East Asian countries, and so on.^{1/}

^{1/} This list is given purely by way of illustration; the preparation of a final list will entail further studies and consultations with the Governments of Member States.

In practice this would mean holding four competitive examinations in four official languages, leaving the candidates (or the Governments) free to choose among the four. If the difficulties were solely matters of language, this simple system would suffice, for the problem would be identical with that already solved in organizing the competitive examinations for translators.

C. The problem of homogeneity of culture

173. Owing to the problem of homogeneity of culture, it is also desirable to diversify the subject matter of the tests set for the candidates, combining the system of delimitation of regions with that of languages.

Since competitive examinations involve grading, it would be unfair:

To test candidates on subjects which were likely to give those from one country an advantage over those from another;

To admit to the same competitive examination in a particular language candidates who spoke it as their mother tongue and candidates for whom it was a second language.

For each region as outlined in sub-section B above, therefore, there should be a particular type of test and a separate grading. If two separate competitions are held in the same language for two different regions - for example, a competition in English for North America and a competition in English for English-speaking Africa - some of the examiners should serve on both boards in order to provide some uniformity in methods of evaluation.

However, the problem of homogeneity of culture among the candidates should be largely solved by a preliminary training programme, which will be discussed later on.^{1/}

^{1/} The author is aware that in many fields of activity the lack of homogeneity of culture between United Nations staff members called upon to work together creates serious difficulties; to take a specific example, co-operation between Marxist-trained and Western-trained economists may prove a very delicate matter. However, a system of regional competitions which respected the status quo should do something to facilitate the interpenetration of cultures. It should be possible, in particular, to introduce into the curricula subjects pertaining specifically to the different cultures, and to staff the boards of examiners in such a way as to make them representative of the main currents of opinion.

D. The problem of boards of examiners

174. Under the conditions just specified, the problem of the selection and composition of boards of examiners is not very difficult to solve either. Once the problem of multilingualism has been disposed of, it is no impossible task to find among senior Secretariat officials, or among university teachers or senior national civil servants, competent men capable of evaluating written or oral tests. It would be desirable, however, to abide by the following conditions:
175. For practical reasons, the number of examiners on the regional boards should not be too large, but it should be large enough to allow of balanced national and political representation. Eight or nine would seem a reasonable figure;
Such a figure would make it possible to ensure:
Representation of some of the countries in the region (if the region as delimited covered several countries);
Representation of the world's main currents of political opinion:
in particular, equitable representation of socialist and capitalist countries;
176. The examiners should, of course, represent the highest level of competence, whether they are senior Secretariat officials, national civil servants or university teachers. It would seem reasonable to make it a general rule that a specified minimum proportion, say 30 per cent, of the examiners should be university staff;
177. The various regional boards of examiners would obviously differ in composition, but in order to ensure some consistency of methods it should be possible for a small number of examiners - preferably people speaking several languages - to serve on more than one board.
- E. The practical problems of organizing such competitive examinations do not present any major difficulties either.

178. These problems include:

(a) In the case of written tests:

Problems of methods of marking. Each board of examiners must be allowed

to decide on its own methods of marking. It may delegate two of its members to correct and mark each of the written papers (it should be a rule that each paper must be read and marked by at least two persons); or it may decide that certain papers should be read out to the whole board of examiners; and so on;

The problem of choosing the centres at which to hold the tests, and of invigilation. There should be as many examination centres as possible, but the number should be related to the number of candidates in each country. The offices of the UNDP Resident Directors and, when an agreement has been concluded with them, the national universities will be able to furnish all necessary facilities;

The problem of maintaining secrecy in the distribution of papers on each subject. It would seem necessary to use the traditional method: sealed envelopes distributed in advance and opened only at the beginning of each test.

179. However, in order to preserve the necessary secrecy regarding the questions, the tests must also be synchronized. In large regions extending over several time zones, allowance will have to be made for the difference in the hour. Here again, the problem can be solved if the examinations are regional in scope, but not if they are world-wide.

180. (b) In the case of oral tests:

Whether oral tests are necessary is a moot point. The argument in their favour is that they are the only available substitute for the interview which, in recruitment by traditional methods, provides an opportunity of getting to know a candidate personally. At all events the oral test should be restricted to eligible candidates, i.e. those who have already passed the written tests. It may be found practical to keep the number of passes in the written tests fairly close to the total number of posts offered, in order to keep the time spent on oral tests within reasonable bounds both for the board of examiners and for the candidates.

Another technical problem to be solved is whether it is more economical for the candidates to travel to the board of examiners or vice versa. This is a simple problem of cost that can be solved according to the specific

conditions in each region and the preferences of each board of examiners.

F. Possible and desirable types of tests

181. Defining the types of tests to be set in an examination is a similar exercise to defining "required skills" in a job description.

The proposal which follows concerning possible types of tests is accordingly based on reflexion about the qualifications that can reasonably be required of junior officials in the groups of administrative generalists and economists.

182. The following, in our opinion, are the essential qualifications:

For junior administrative generalists:

A good university training with a degree (the type and level of degree required should be specified in the general conditions for admission to the competitive examination);

Ability to express themselves clearly in speech and in writing;

A good general culture, including an extensive knowledge of political, economic, social, scientific and technological developments in the modern world;

An advanced knowledge of administrative management techniques, particularly as applied to financial and personnel matters;

A good level of knowledge in the field of:

Modern economics (particularly problems of development, planning, employment and currency), modern and contemporary history and geography;

Public and private international law;

The history of the United Nations and the organizations of the United Nations family;

Knowledge of languages, special allowance being made for those whose mother tongue is not one of the working languages of the United Nations;

183. For junior economists:

The same prerequisites of university training (in economics), ability to express themselves in speech and in writing, and general culture;

Advanced knowledge in the economic field and in particular of:

World economic history (particularly of the last fifty years);
Economic theory, econometrics, statistics and planning
techniques;
History of economic thought;
Monetary and employment problems;
Economic geography;

A good knowledge of:

International law, modern administrative management techniques,
and modern and contemporary history;

The history of the United Nations and the organizations of the
United Nations family;

Knowledge of languages, subject to the same conditions as for
administrative generalists.

184. In both cases, the kinds of tests needed in order to check such qualifications can be classified as tests of drafting (in other words, tests of the composition of the candidate's general culture) and technical tests. Consequently, in both cases, the examinations should include:

A test of general culture, designed to assess, besides the candidate's general culture, his ability to express himself in speech and writing on a very general subject concerned with the problems of modern society;
Technical tests under the various headings listed above in each of the specialized fields under consideration (it will not matter very much if there are fewer tests than subjects);

Language tests.

Each of these tests could be allocated a maximum number of marks proportional to the relative importance attached to the exercise.

G. Number of posts to be competed for per region and geographical distribution

185. The number of posts offered for competition should whenever possible be greater in regions at present under-represented than in other regions. This is a convenient method of correcting the composition of the Secretariat in this respect along the lines desired by the General Assembly. (It is not the only method, since a considerable proportion of posts at higher levels than the

junior posts are still recruited directly; see section IV below). It is even conceivable that, in exceptional cases, special competitive examinations might be held exclusively for particularly under-represented countries. So far as possible, however, such calculations should be made over the long term and should ensure the continuity of this form of recruitment in all regions.

H. Advance publicity

186. By the time these examinations have been running for a few years, they will be their own best advertisement; potential candidates will be aware of them because they will be an institution by then.

Until that favourable situation is reached, however, it is clearly necessary to put out information on these examinations, the nature of the tests, the qualifications for entry, etc. Special notices will therefore have to be prepared and published in all regular United Nations publications, communicated to the world Press by the Office of Public Information, sent to universities, and even advertised commercially over the air or in the Press.^{1/} A special budget will be needed for this purpose.

(3) The need of facilities for preparing for the examination

187. The idea of competitive examinations is inseparable from that of facilities for potential candidates to prepare for them.

The various national universities will doubtless be able to meet this need and, as we have seen, the regional nature of the proposed competitions reduces the risk of inequality between candidates to a minimum.

However, even for national competitive examinations, special facilities for preparation - for example correspondence courses - are often provided so that

^{1/} In many countries it should be possible either to obtain free time on public radio and television networks, where they exist, or to persuade the country concerned to pay for advertising on private networks.

candidates who cannot attend university because they are working, or for other reasons, may have their chance.

There is no doubt that the provision of such facilities would be even more strongly justified in the case of international competitive examinations.

This problem, however, is only one aspect of the wider question of preliminary training for employment with the United Nations, irrespective of the method of recruitment used; we shall examine that question in section V of this chapter.

(4) The obvious desirability of bringing in all the organizations of the United Nations family if the competitive examination system is adopted

188. Another point, which will be developed more fully in chapter VIII on the cost and benefit of the proposed reform, deserves to be mentioned here.

If the idea of competitive examinations for junior generalists and economists were to be adopted by the United Nations, it is clear that the organizing costs would be practically the same whether the number of posts offered each year in all the regional competitions totalled 30, 50 or 100.

It would therefore be an advantage if all the organizations in the United Nations family which had posts of this type to fill would agree to join in the same competitions.

It is clear that this association would be particularly fruitful in the case of posts for administrative generalists, which are a necessity in all the organizations. It is quite likely, however, that the arrangement would also be profitable in the case of economists.

IV. THE PROBLEM OF DIRECT RECRUITMENT AT HIGHER LEVELS

189. The need to continue recruiting a proportion of staff (both career staff and fixed-term appointees) at level P-3 and above has been recognized in earlier chapters and sections - in particular, in the section concerning the long-term recruitment plan.

Suffice it, then, to note here that this type of recruitment reflects inter alia:

The need to meet, at any moment, a specific demand for specialists (fixed-term appointees with qualifications comparable to those of the experts employed in the field);

The recurrent need, in all the vocational groups, to introduce new blood from outside: for example, officials from national civil services who can contribute their own experience and compare their methods with those of the staff at Headquarters; generalists with special experience in management; and so on;

The Secretary-General's need for some freedom of action, both in order to ensure sound administrative leadership and for political reasons.

190. However, if long-term forecasting is to be feasible and the Professional staff are to be assured of decent career prospects, it is essential to set a ceiling for the proportion of direct external recruitment into each vocational group.
191. If these principles are accepted, it will obviously still be necessary to take great care in checking the qualifications of persons thus recruited. Since it is not possible to institute genuine competitions for recruitment at each grade level, there is a grave risk of recruiting at level P-3, P-4 or P-5 people whose qualifications are inferior to those of staff recruited at level P-1/P-2. The results of such a practice would obviously be deplorable in every respect.

In these circumstances it will be readily understood that the existing methods, whose many disadvantages we have described above, need to be changed completely and that a drastic modernization of those methods offers the only hope of attaining a level of efficiency comparable to that of the competitive examinations for junior posts. The minimum requirements for such modernization are that it should be the means of bringing forward a plentiful supply of

suitable candidates for each post and of making a proper selection as economically as possible.

192. The foregoing considerations prompt us to make recommendations concerning:
- New methods of gathering information and finding candidates (establishment of a reserve roster);
 - Automatic sorting by computer;
 - Changes in methods of checking and interviewing;
 - A special procedure for recruitment to the highest posts;
 - The establishment of fixed rules to deal with exceptional expansion.

(1) New methods of gathering information and finding candidates
(establishment of a reserve roster)

193. The critical study of the Circular of Vacancies on the one hand, and the consideration of the methods needed in order to introduce a long-term recruitment plan on the other, led us to similar conclusions concerning the small number of standard job descriptions required to meet most of the actual needs (in practice the headings in table IV-II, representing the various levels of recruitment (or qualifications) in each vocational group).

The remaining recruitment requirements for specialists of the "field expert" type, represent a relatively small number of posts for which individual job descriptions would be justified.

In the circumstances, the recruitment methods suitable for this type of post are very similar to those needed for the recruitment of technical assistance experts.

194. This means that the basic technique for this type of recruitment is to keep permanently up to date the fullest possible roster of available candidates. If such a roster is to be operational it must be capable of supplying, for each post due to fall vacant, at least ten suitable candidates who are actually available and who should preferably be of under-represented nationalities.

Compiling such a roster and keeping it up to date presents a clearly defined combination of requirements:

195. First, it entails continuous prospecting, on a large scale, among possible candidates: in this case, candidates in about ten specialized professional fields (of which the two numerically largest are those of the economists and the administrative generalists) and, as a rule, possessing particular qualifications that must be specified.

This list of specialized fields is complex in itself, but covers only a small part of the list of specialized fields for technical assistance experts. A very large proportion of the specialists who can be recruited in these fields are to be found in national civil services, a smaller proportion in universities and research, and others (in non-socialist countries) in the private sector, for example, in economic survey or management firms. Hence the prospecting should be carried on in agreement with the Government of each country, in close consultation with the Government department - if any - concerned with the recruitment of technical assistance experts, among public servants, at universities and in such parts of the private sector as prove to be interested.

196. Except in certain special cases, the search should concentrate not so much on specific posts as on the compilation of a reserve roster; this purpose should be made known, and candidates should be asked to state at what date they can best make themselves available. This method makes it possible to extend the field of search over the medium term, thus avoiding the disadvantages of limiting it to candidates who are immediately or currently available. Such prospecting entails:

The compilation of standard descriptions of qualifications (or particular descriptions) according to a strict pattern;
Advertising in various forms: bulletin-board notices for civil service offices or universities, and announcements published in the Press or broadcast by radio and television (after a systematic approach to the Governments of the countries concerned for the co-operation of the public radio and television networks); substantial appropriations for advertising will be needed in any case;

197. An agreement with Governments to extend the use of the roster beyond recruitment for the United Nations Secretariat. For the specialized fields concerned, such a roster, if kept right up to date, can provide

a source of information not only for the United Nations but for the Governments of all Member States that may need it either for their bilateral technical assistance programmes or for their civil services (consultants, experts, etc.). Such a roster should be available for use as a data bank by Member States, and the use of a computer, as suggested in the next section, should make this feasible; Lastly, a method of keeping the roster continuously up to date; the candidates on the roster should be asked to complete a new questionnaire at least once a year in order to bring the facts on record up to date.

(2) Automatic sorting by computer

198. If the description of the required qualifications is kept to a strict pattern and the application forms for candidates (the existing P.11 and, for technical assistance, P.13 forms) are drawn up in such a way that the information requested can be readily translated into input data, it should not be difficult to computerize the reserve roster just proposed.

It is easy enough to imagine the preparation, on the basis of these data, of a conventional sorting programme which would classify the existing candidates according to the quality of their replies in relation to a particular description of qualifications. We shall revert to this problem and its implications in chapter VI, on the use of the computer.

Suffice it to say here that this method is feasible; that it is the only method of making a numerically large roster usable without heavy expense; that it does not, of course, exclude more traditional methods of considering candidates; and that it restricts the need for such consideration to the really eligible candidates.

(3) Changes in methods of checking and interviewing

199. To advance from the present "cottage-industry" stage of operations to the fully "industrialized" processing which we recommend means discarding the methods now used for the final selection of candidates.

For P-3 to P-5 posts, systematic organization is needed both in order to preclude recruitment after only a short interview conducted by a recruiting officer or a Resident Representative, and to eliminate the loss of time often incurred through complicated inquiries by those in charge of substantive departments. The only rational method seems to be:

To call for interview only candidates previously sorted by computer;

200. To complete the existing world-wide first-interview network systematically by combining the resources represented by the recruiting officers of the Secretariat and the TARS teams of recruiting officers (at Geneva, Vienna and New York) and by appointing, in countries not covered by those teams, carefully selected civil servants to hold such preliminary interviews; all those appointed for this purpose should be uniformly provided with proper training and essential documentation. The members of this network, like the recruiting officers of TARS at Geneva or of the North American Recruitment Office (NARO), would be responsible for preparing standard reports on their interviews;

201. Lastly, no appointment should be made until the candidate has undergone, in New York, Geneva or Vienna, a final interview by an examining panel largely modelled on the boards of examiners for the junior competitive examinations. In most cases, no doubt, such panels would confirm the verdicts reached after study of the preliminary interview reports, but they should have discretionary powers to reject a candidate.

(4) The problem of the highest posts: D-1, D-2, Assistant Secretary-General and Under-Secretary-General

202. In any national or international civil service, appointment to the highest posts presents both a political and a technical problem.

The political problem: Political leaders who have themselves been appointed by a political process (in all democratic countries, election by the citizenry; in the United Nations, election of the Secretary-General by the Member States) need to be able to appoint the men of their choice to the top administrative posts. This need cannot be set aside by any legal or administrative rules; the confidence of the political leaders in their immediate subordinates is plainly the first consideration.

203. Any regulation on that point is out of the question; but the same does not apply to the establishment of practices designed to guarantee the right solution to technical problems: that is to say, compliance with the requirement of a very high level of specialized skill, particularly in posts which carry administrative or financial responsibilities or which require experience of economic problems.

The quality of any civil service very largely depends on the level of competence of its top leaders and the degree of confidence felt in them by the staff as a whole.

204. Consequently this quality is often to be assessed from the type of unwritten rules, or traditions, by which the political leaders agree to be guided in these matters.

From this point of view it would appear that more solid safeguards than those now available could be obtained if the following traditions were always upheld:

205. That no Under-Secretary-General or Assistant Secretary-General should be recruited from outside until the Secretary-General had secured at least three nominations for the post from each of the Governments approached, it being understood that he would approach at least two Governments in each case;
206. That for every appointment at this level the Secretary-General should obtain (but not be bound by) the prior opinion of a panel of "wise men"

whose function would be to give their warrant to the technical calibre of the candidates. Such a panel might either be set up by the Secretary-General or take the form of the International Public Service Commission recommended in the report recently prepared by Mr. John Fobes for the Administrative Committee on Co-ordination, if the proposals made in that report are put into effect;^{1/}

207. That for all non-political posts (i.e. posts dealing with technical, administrative or economic matters) the Governments approached should be reminded on each occasion of the exact nature and level of competence required of the candidates sought;
208. That a fixed proportion, to be determined, of all D-1 and D-2 posts should be reserved for members of the Secretariat with at least ten years' seniority in the international civil service. The proportion should be very high (e.g. 70 per cent) for the D-1 posts and less high (e.g. 60 per cent) for the D-2 posts.

(5) The establishment of methods of dealing with exceptional expansion

209. I would only mention here that it would be a mistake to allow the body of recruitment methods recommended in this chapter to be thrown out of gear in the event of some exceptional expansion of the Secretariat, such as the establishment of a new department or a new organization on the lines of UNCTAD or UNIDO under the United Nations budget, or the sudden expansion of an existing department.

A standard procedure should be devised to deal with such exceptional situations, so that the methods instituted for normal recruitment are not suddenly faced with problems of a different order of magnitude. In particular, the method of external recruitment should be adapted, while remaining subject to the same strict control as before, and the practice of drawing upon the permanent staff of the United Nations for secondment should be so organized as not to interfere with career development.

^{1/} "Study of an International Public Service Commission" by John E. Fobes, Research Fellow, Center of International Affairs, Harvard University, December 1970 (document in limited distribution, subsequently reproduced under the symbol ICSAB/XIX/R.6/Add.1).

V. RECRUITMENT AND GEOGRAPHICAL DISTRIBUTION:
PRE-RECRUITMENT TRAINING

210. In section III above we drew attention to the need to create facilities for candidates to prepare for "junior competitive examinations".

But the problem of pre-recruitment training involves more than the supply of material facilities to candidates for such examinations.

(1) The real dimensions of the problem

211. The aim here is to try to eliminate one of the worst sources of misunderstanding in connexion with the application of the principle of geographical distribution and also to demonstrate that the problem of the United Nations Secretariat offers an opportunity for genuine international co-operation. There is thus a good deal at stake, and we must first of all try to identify the problem clearly.

A. Recruitment of specialists and geographical distribution

212. In the first place there is no denying that the developing countries are still in a position of inferiority as regards the provision of specialists to international organizations. The first symptom of under-development is a shortage of technicians, and this is as true in the administrative and economic sectors as in all the rest.^{1/}

The consequences of this situation are well known: difficulties in the recruitment of qualified specialists, particularly in the economic sector; proposals that the application of the principle of geographical distribution should be waived for certain categories of specialists; tension and incomprehension in this matter between the representatives or officials of

^{1/} "The shortage of trained personnel in some countries, the difficulty of competing for such personnel with public services and private firms in others, and the limitation inherent in a world-wide recruitment effort, are all factors which influence the rate of progress towards the goal of equitable geographical distribution" (report of the Secretary-General on the composition of the Secretariat (A/7745), paragraph 6, 5 November 1969).

developed and of developing countries - a factor that does nothing to facilitate international co-operation - and so on.

213. In this situation, whose existence and gravity it would be idle to deny, there are only two possible solutions:

The first, which is often advocated by, in particular, a number of senior Secretariat officials responsible for various economic sectors, who are daily confronted by difficulties in the discharge of their duties, would be to classify economists and certain technicians in groups not subject to the rules of geographical distribution. I personally think that such a measure would probably facilitate the solution of technical problems, but to the detriment of international co-operation within the Secretariat. What would be the use of a technical improvement in the United Nations if it did nothing to improve international co-operation?

214. The only other solution would be to extend, to countries which have difficulties in this matter, help in training their technicians. The immediate objection is that all existing assistance programmes are designed for that very purpose and that development is a long process.

I take the contrary view: that, considering the small number of specialized fields involved, the limited number of specialists needing to be trained in any one year, the urgent and readily demonstrable need for such an effort and the availability of tried and tested methods of training, this is a problem of limited scope for which it should not be impossible to devise a quick-acting solution.

B. International co-operation in civil service matters in the United Nations Secretariat

215. The problem of the profitable relations which the national civil service in each country might maintain with the international civil service is only another aspect of the same question. The national civil services and the international civil service have needs in common. On the one hand they are all faced with the problem of modernization of methods; none of them - not even in the most advanced countries, whatever their traditional qualities and their resources of good staff - can today be happy to find themselves obliged, in order to solve

their problems of modernization, to weigh the experience of officials trained in traditional duties against the new techniques of management specialists who are ill informed about the real administrative problems. Almost all countries need to train new generations of administrators who combine general culture and administrative experience with knowledge of modern techniques, an international approach to problems and the linguistic training required for comparing problems beyond national frontiers. This is a problem which international co-operation should try to help to solve. There is also a general shortage of economists who have both a good knowledge of theoretical problems and practical experience in dealing with national and international economic problems.

To have recourse to international co-operation in order to overcome a difficulty felt in varying degrees by all Member States, while at the same time contributing in a general way to the smooth working of the Secretariat, does not seem to be incompatible with the task which the international Organization has set itself.

(2) The various technical solutions

A. Statement of the problem in figures

16. The problem may be stated as follows. A preliminary training programme of the kind under consideration would be aimed at the following types of persons:

Firstly, such candidates as the developing countries, and more particularly the least-developed among them, may have to offer in the eight vocational groups subject to geographical distribution which have been repeatedly listed in this report. I think then an effort of the same kind should be made for such groups as economists, statisticians, accountants or librarians, where the shortage of candidates from such countries is particularly marked, and for the other vocational groups (administrative generalists, legal affairs officers, political affairs officers or information officers). The shortage in these latter fields is really just as serious but is not as clearly apparent, solely because the skills required are less strictly defined;

217. Secondly, candidates from such developed countries as may deem it useful to associate some of their students or young civil servants with these programmes. For the reasons examined in the previous section I believe that it would be in the interest of many Member States, irrespective of their degree of development, to associate themselves with such a programme, and that the spirit of international co-operation would stand to gain if such an effort was not designed merely as a programme of assistance to the least-privileged countries.
218. In any case there would be eight different training programmes for a number of candidates whose order of magnitude may be determined on the basis of the following considerations:
- The main purpose of the operation may be to train candidates for Professional posts in the United Nations, but the programme adopted could also be used to train national civil servants and specialists, particularly for the least-developed countries.
- To propose training programmes solely for international civil servants would mean taking a rather narrow and unrealistic view of international co-operation. The least-privileged countries cannot be expected to send their best technicians to international agencies unless those agencies help them to solve their own problems in that field at the national level. To train economists, accountants or statisticians for the United Nations would be an unprofitable undertaking unless some were trained for the national needs of their countries at the same time. Moreover both objectives are wholly consistent with the task of co-operation and assistance which the international organizations have set themselves; indeed, it is likely that the Governing Council of UNDP or the Economic and Social Council would place such a programme among its most urgent and important priorities.
219. In the circumstances it seems to me reasonable to propose that the number of candidates to be trained for the needs of the United Nations alone should be multiplied by a coefficient directly proportional to the shortage of specialists in the country concerned. However, for reasons of cost, the coefficient should not be set too high; it might vary from 3 to 8 according to the degree of development and requirements of the country concerned, so

that the average could be set at 5.

In addition developed countries which so desired should be free to join the programme, at their own expense, in order to meet their own requirements.

220. In view of the other proposals made in this report, it would seem necessary to distinguish between:

The training of candidates for the junior competitive examination for economists and generalists;

The preparation of candidates in the other vocational groups for direct recruitment;

Preparation for direct recruitment at levels P-3 to P-5 in all groups.

Rough calculations made on the basis of known data^{1/} suggest that, for the needs of the developing countries alone, such a programme should have an annual intake capacity of about 200 candidates for the junior competitive examination (equally divided between economists and administrative generalists), about 50 candidates for junior posts in the other groups, and a varying number (about 100) of candidates for P-3 to P-5 posts.

If the developed countries or other international organizations joined such a programme, the figures might be higher.

B. Possible methods

221. There are several possible methods of organizing such training programmes, but they are of two main types. Those of the first type entail the establishment of special institutions (courses, institutes, colleges, etc.) to provide the

1/ The main input data for the calculations were the following:

Number of Professional staff currently recruited by the United Nations in the groups subject to geographical distribution: about 300, including 125 economists, 125 administrative generalists and 50 officials in other groups;

These figures may be divided into equal numbers of junior and non-junior officials; Developing countries which have particular difficulties in this matter account for about a third of the above figure;

Average coefficient by which the figures expressing the needs of the United Nations should be multiplied: 5.

training, while those of the second type rely on making the best possible use of existing institutions (universities, State schools, etc.). The effectiveness of methods of the first type has yet to be demonstrated, and for international purposes they would take too many years to apply. The use of existing institutions therefore appears to be by far the more practical solution, at least for the immediate future.

222. This would entail instituting a system of fellowships for training courses at the best national institutions in the specialized fields concerned. Under a flexible system of this kind, the best possible teaching would be available immediately and, in addition, excellent linguistic training in one or possibly two of the Secretariat's working languages could be provided at the same time. Lastly, if the fellowships were awarded for a sufficiently long period, their holders could be given an eclectic training in both socialist and western countries.

The organization of such a system would entail preparing a very detailed plan of operations; all that can be done here is to give a very general description of possible arrangements, for example the following:^{1/}

223. Fellowships for four to six years according to the specialized field of study, awarded to very young people selected by examination or other form of competition on leaving secondary school or starting university. By agreement with the countries concerned, these fellowships would entitle their holders to take a basic course of study, lasting two to four years, at a specialized institute (of economics, law, administration or management, statistics, etc.) in a country whose language was one of the Secretariat's working languages, and further training for one or two years in a country where another of the Secretariat's working languages was spoken;

^{1/} In a report of the general nature and length of the present one it was not feasible for the author to make a sufficiently detailed study of the mechanics of a plan of operations for a preliminary training scheme. The suggestions which follow are made only by way of illustration. Further studies are obviously needed, and initially will have to be undertaken by the task force envisaged in chapter VIII (paras. 458 and 459).

224. Two-year fellowships awarded to older candidates at the P-3 to P-5 levels - for example, national civil servants with five to ten years' experience as administrative generalists, economists or statisticians - for refresher training, additional training or specialized training. This second type of fellowship, however, appears to be suitable only for developing countries where the openings for specialists are not too restricted, or for developed countries;
225. A list of institutions providing such training would be drawn up and agreements would be concluded either directly with those institutions or with the Governments of the countries concerned, specifying the exact programme of study to be followed by the fellowship-holders;
226. The fellowships would be awarded by commissions composed of representatives of the countries concerned (civil servants and university staff) and representatives of the United Nations (in most cases the UNDP Resident Director or his representative); wherever possible the work of the commissions would be preceded by a written examination;
- Save in exceptional cases, it seems likely that the developed countries would be interested only in the two-year fellowship programmes for older candidates.

(3) Methods of financing

227. Since the cost of such a programme would probably be high, the possible ways and means of financing it need to be explored in detail.

The cost may be roughly estimated on the basis of travel expenses and the annual cost of a fellowship, as follows:

Travel.....	\$ 200,000
Fellowships: \$ 4,800 x 350.....	1,680,000
Total.....	<u>1,880,000</u>
Cost of administering the programme (20%)	<u>350,000</u>
Grand total	<u><u>2,230,000</u></u>

228. The reason why the cost is so high is that, as we explained above, the programme would have to cover the training of national civil servants and specialists as well as candidates for international posts. It would therefore be inappropriate for such a project to be financed more than partly out of the United Nations budget. It is really the type of programme which might reasonably be submitted by the United Nations to the Governing Council of UNDP as a Special Fund project. If the Administration of UNDP should itself be interested in such a programme, it could be extended to include officials of UNDP; the same applies to officials of any specialized agency which might be interested.
229. Furthermore it would be entirely in accordance with normal practice to consider allowing a number of countries, for example the host countries in which the training institutions were situated, or developing countries which desired a larger number of fellowships, to finance a number of such fellowships themselves.

CHAPTER V

CAREER PLANNING

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CHAPTER V. CAREER PLANNING

230. The problem of methods of reporting and of awarding promotion, on the one hand, and the problem of training on the other could be dealt with separately. They are at present the responsibility of two separate units within the Office of Personnel and, in principle, the nature of the two problems is different.

In practice they have something in common. Both are bound up with the existence and the very idea of a career. The concept of the "career structure" provides a rational basis for a combined approach to the two problems, and we have found it necessary to examine them together.

The argument advanced in this chapter also prompts proposals for major changes in current practice. However, models perfected to the point of producing specific results are not available in this case as they are, for example, in the case of recruitment.

Furthermore the present system does not warrant such drastic criticism as we felt bound to utter in the previous chapter with regard to the methods of recruitment. However, it exhibits serious gaps and shortcomings which we can try to remedy.

231. This chapter comprises:

- I. A review of the present situation.
- II. Consideration of possible lines of solution.
- III. A description of a general system of career planning based on "individual plans".

I. REVIEW OF THE PRESENT SITUATION

232. The present situation can be summed up in three sentences:

The reporting system is satisfactory to no one and very difficult to use;

The promotion machinery exhibits the usual shortcomings of such machinery;

There is virtually no system of training other than language training.

(1) The reporting system

233. As is known, the reporting system is based on the preparation of the "periodic reports" required under Staff Rule 112.6^{1/}. Such reports are prepared, by their supervisors, on all staff members below the D-2 level, at the end of each year for temporary appointees and once every two years for permanent staff.

On the printed forms used for Professional staff, the staff member's performance is analysed under thirteen separate headings (professional knowledge and skill, power of analysis, judgement, initiative, punctuality and so forth). The first reporting officer is asked to assess each of these qualities by awarding one of three, four or, usually, five possible marks as the case may be, ranging from "outstanding" through "good", "reasonable" and "uneven" to "insufficient".

This detailed analysis is accompanied by an evaluation of the staff member's "performance as a supervisor", if he supervises two or more persons, and by other less important data. Space is left for a more detailed evaluation. A second section is to be filled in by the second reporting officer (next higher supervisor, not below the rank of chief of section). A third very brief section is to be completed by the Head of the Division, who need do no more than take note of the report but may make comments.

^{1/} Circular ST/AI/115 of 11 April 1956 appears to be the most recent detailed instruction on the practice to be followed in this matter.

The report must be shown to the Professional staff member concerned, who must be supplied with a copy, read it and then sign the original. Interim or special reports are provided for in specific cases.

234. This system, while very precise in theory, produces in practice results which, for a number of reasons, are very difficult to use:

The supervisors do not use identical methods of evaluation. The members of the Appointment and Promotion Board and Committee are therefore obliged to resort to a highly empirical method of reconciliation by placing their own valuation on the marks from what they know of the reporting officers. Thus consistency of the reporting system is in no way assured;

Most evaluations are, on the whole, full of praise, and the check-boxes against "outstanding", or "very good" are the ones most often used. Comparisons - which are, after all, the main purpose of any system of marking - are thus very difficult to make. The systems of evaluation based on a classification of the assessments made in the thirteen check-boxes mentioned above (for instance, top marks on 1, 3, 5, 7 and 9, second-best marks on 2, 4, 6 and 8 and so forth), which are normally used to summarize the periodic reports in the personnel records, do not seem to provide a useful basis of comparison.

(2) The promotion machinery

235. The promotion machinery, as we know, is based chiefly on the Appointment and Promotion Board (APB) assisted by the Appointment and Promotion Committee (APC). Both organs are provided for in Staff Rule 104.14^{1/}.

^{1/} The rule is placed after Staff Regulations 4.2 to 4.5, none of which refers to the existence of either the Board or the Committee.

A. The present system

The reader is briefly reminded of the following points:

236.

(a) Composition

The Board and the Committee each consist of seven members and seven alternates. The Director of Personnel or his Deputy serves ex officio as a non-voting member of the Board, and the Director designates a representative to serve in that capacity on the Committee. In 1970 and 1971 the Board consisted of three Under-Secretaries-General, three D-2s and the Director of Personnel. The alternates were all D-2s or D-1s. For the same two years, the Committee consisted of a D-1 and five P-5s, while the alternates ranged from P-4 to D-1.

237.

(b) Competence of the individual organs

The Committee (APC) takes the first decision on promotions to the P-2, P-3 or P-4 level. In practice the Committee works as three separate groups, one headed by the Chairman and one by each of the two Vice-Chairmen. One group considers promotion from P-3 to P-4, one P-2 to P-3 and one P-1 or G-5 to P-2. The Committee submits its recommendations to the Board (APB).

The Board decides directly on promotions to P-5 and D-1.

For appointments or promotions to D-2, proposals are made to the Secretary-General by a Special Review Group consisting of the members of the Board with the rank of Under-Secretary-General and, as ex officio members, the Director of Personnel, the Chef de Cabinet of the Secretary-General, the Under-Secretary-General for Administration and Management and the Under-Secretary-General for Economic and Social Affairs.

The Board (APB) has competence in two main areas. It makes recommendations to the Secretary-General on recruitment and promotion; and it takes note of two types of administrative decisions: conversion of probationary into permanent appointments and the review of permanent appointments after five years.

238.

(c) Organization of work

The Committee (APC) meets once a week, at 10.30 a.m. on Tuesday, and the Board (APB) every Friday. Additional meetings are held during the annual review for promotion purposes. As many as five meetings a week may be held. The Special Review Group meets ad hoc; eight meetings were held in 1970.

The annual review normally begins in December, when the departments' recommendations are forwarded to the Board's secretariat, and continues until June. The Board deals first with promotions to P-5 and D-1; a promotion register is prepared for grade P-5 and a confidential list for grade D-1. The Committee deals first with grade P-4 and works its way down through P-3 and P-2.

The promotion recourse procedure is in operation mainly from September to November.

The Board and the Committee have before them the personnel records (fact sheets) summarizing the official status files of the staff members recommended for promotion and of all staff members in the same department who are senior to the staff members recommended.

B. Statistics

239. The annual total of promotions is roughly equal to the number of external recruitments; since 1966 the number of promotions has been slightly (5 to 8 per cent) below the number of recruitments.

For the Secretariat as a whole, the numbers of promotions per grade are relatively stable from year to year (see chart LTRP 12 in annex IV.6). Over a five-year period they varied as follows according to grade:

to P-1.....	between 15 and 17 a year (average: 16)
to P-2.....	between 38 and 62 a year (average: 50)
to P-3.....	between 63 and 88 a year (average: 75)
to P-4.....	between 54 and 99 a year (average: 75)
to P-5.....	between 33 and 56 a year (average: 45)
to D-1.....	between 15 and 28 a year (average: 22)
to D-2.....	between 4 and 9 a year (average: 7)

240. The number of promotions in each vocational group, of course, shows the career profile of that group. Career profiles for eight separate vocational groups are given in the attached charts. They show that:

On the one hand, the amount of promotion in each vocational group is extremely even;

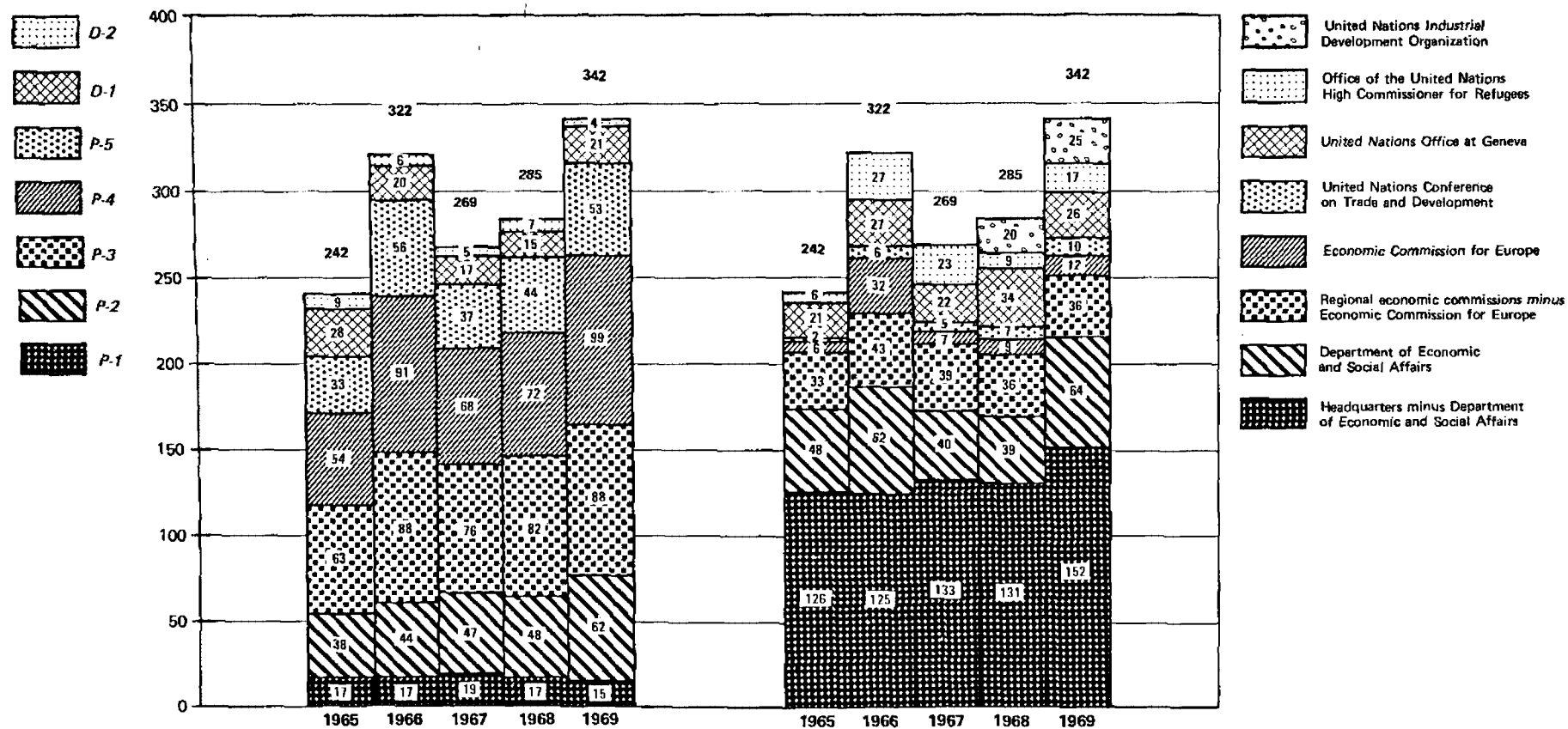
On the other hand, as this even pattern reveals, individual vocational groups within the Professional category are treated differently so far as career development is concerned.

Figure V-1

ANALYSIS OF PROMOTION BETWEEN 1965 AND 1969

(1) By year and by grade

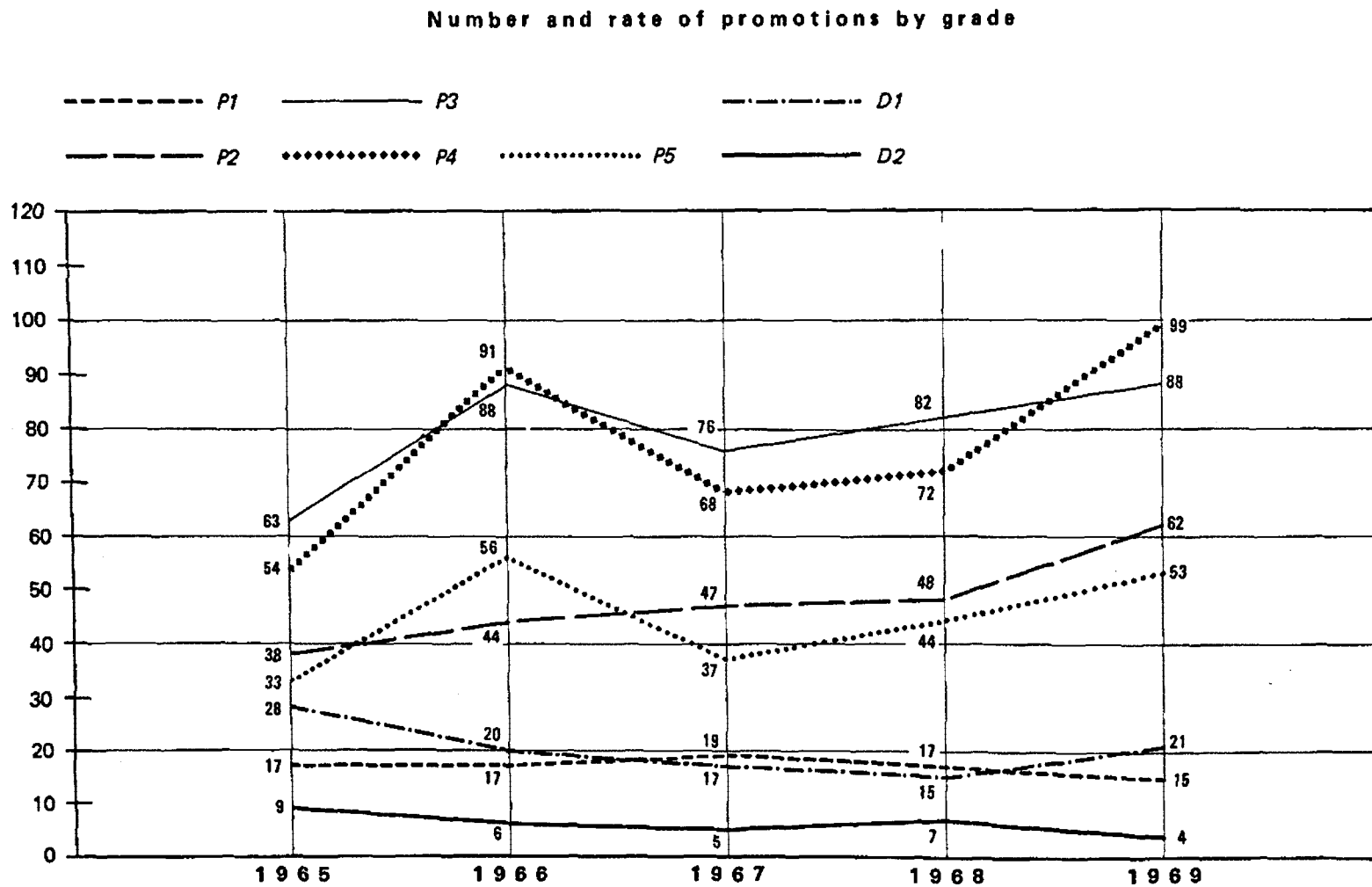
(2) By year and by office



These two diagrams show :

In the first case, the regularity of the amount of promotion to each grade (see also figure V-II).

In the second case, the high proportion of promotion taking place at Headquarters in New York. The irregularities in the total number of promotions observed during the five years are due mainly to ECE and UNHCR in 1966 and to the establishment of UNIDO in 1968 and 1969.

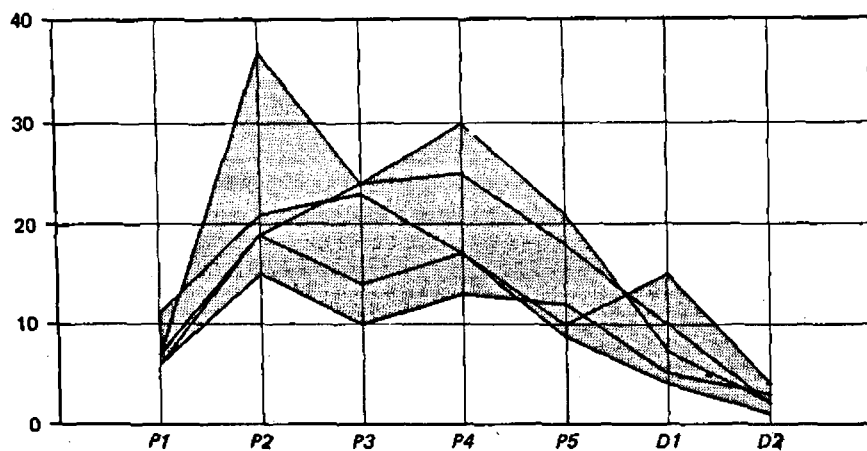


The number of promotions to each grade remains very much the same from year to year. It is, on the average, virtually identical for grades P-3 and P-4 (75 a year), grades P-2 and P-5 (45 to 50 a year) and grades P-1 and D-1 (twenty or so a year).

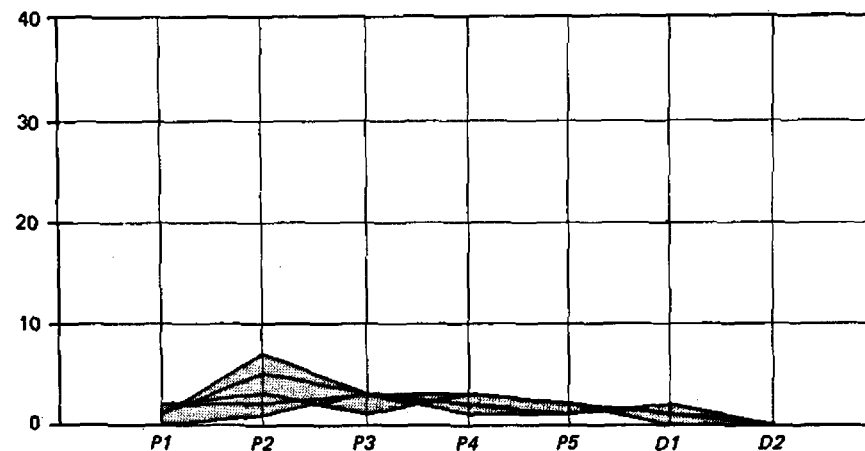
Figure V-III

NUMBER AND RATE OF PROMOTIONS BY VOCATIONAL GROUP AND BY GRADE (1968-1969)

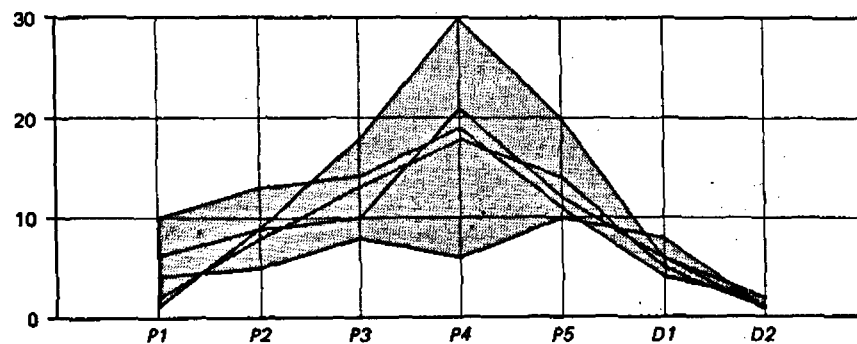
Administrative generalists



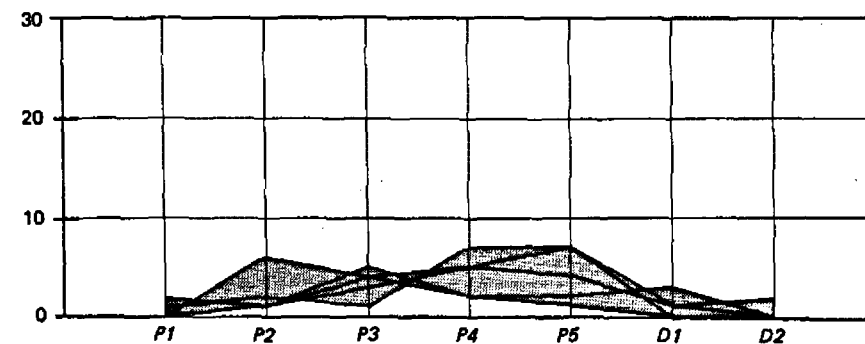
Statisticians



Economists



Information officers

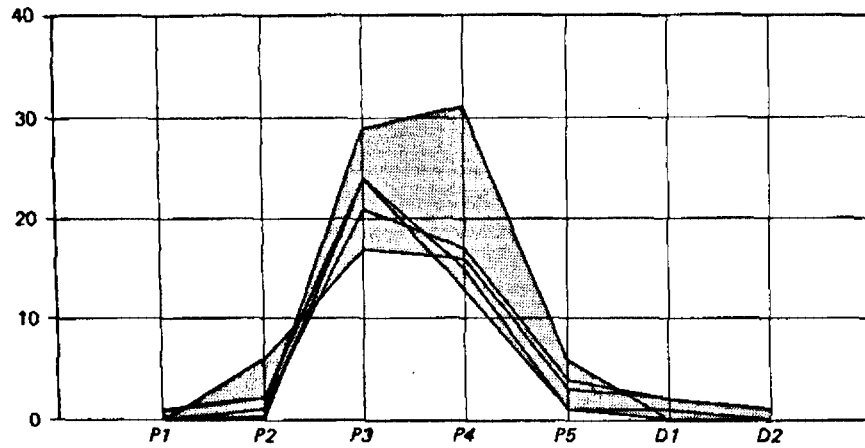


Each line represents one year (number of promotions in each grade during that year). The aggregate of lines makes up the average career profile of each vocational group (covering five years). It will be seen that the career profile of the "administrative generalists" and economists extends into the highest grades.

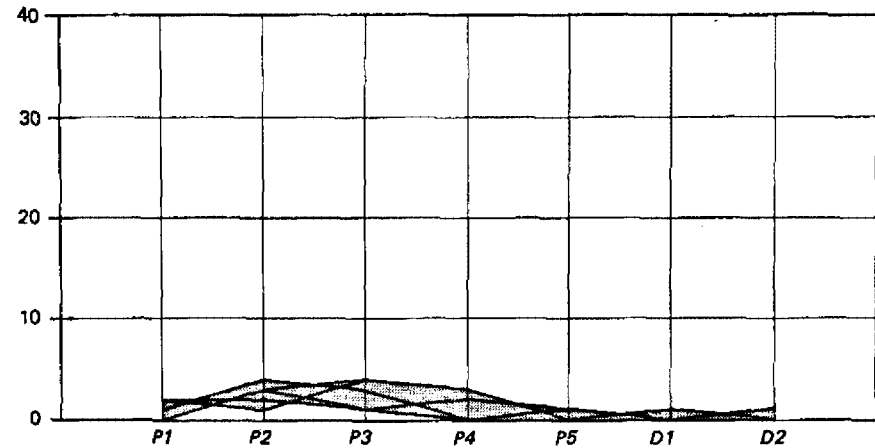
Figure V-IV

NUMBER AND RATE OF PROMOTIONS BY VOCATIONAL GROUP AND BY GRADE (1968-1969)

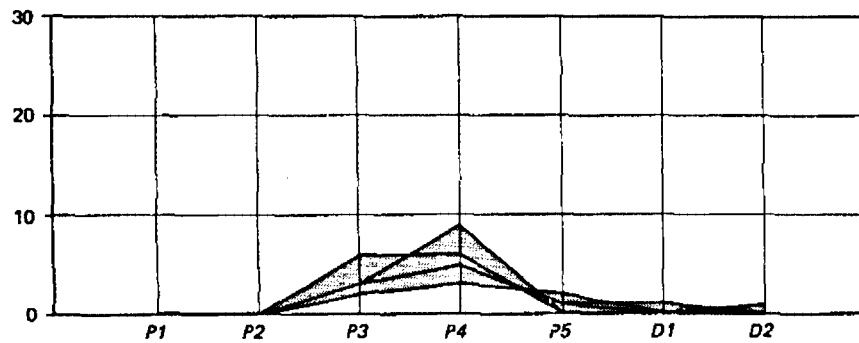
Translators



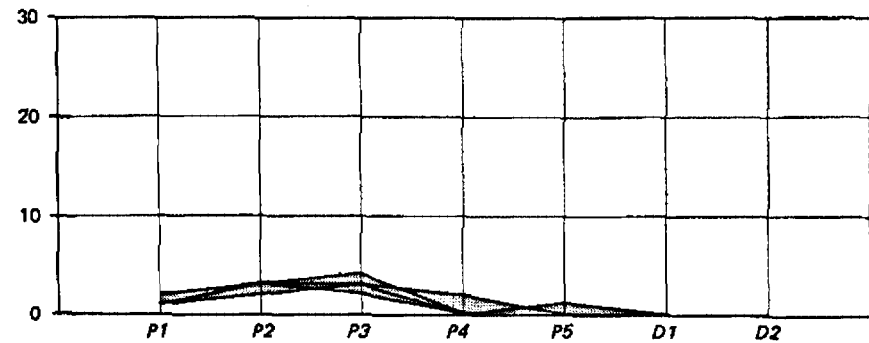
Accountants and auditors



Interpreters



Librarians



The profiles for these vocational groups show that, in practice, advancement comes to an end at P-4 .

C. The defects of the system

241. The system whose main features we have just reviewed seems rational in organization, and the members of the Board and Committee responsible for making it work are of a competence and devotion that no one would question for one moment.
- Yet, by the admission of all those involved in working the delicate machinery of promotion, the system has serious defects. It is therefore necessary to try to determine the exact nature of these defects and, if possible, to trace their origin.
242. The first defect arises from the shortcomings mentioned in the previous section in connexion with the reporting system. The compilation of personnel records (fact sheets) does nothing to enable the members of the Board or Committee to form an accurate idea of the real merits of the candidates under consideration. A judgement based on records which are inadequate or difficult to use is unlikely to be fair. Furthermore this happens at several levels, so that the same insoluble problems confront both the heads of major departments and the informal committees, made up of the personnel officer and executive officer with the assistance of a few other staff members, which do the preliminary screening before the proposals are referred to the Committee.
243. Obviously the only proper way to overcome this difficulty is to get to know the candidates personally. This is ruled out by the numbers of the Professional staff. Furthermore the members of the Board and Committee, who are chosen for their competence and the importance of the functions they normally perform, have too many professional duties and responsibilities outside those bodies to spend on personal study of the records the minimum of time required to extract such information as, in spite of their inadequacies, they may contain.
244. This situation is clearly not conducive to a proper climate of incentives. Many professional staff members are compelled to conclude that, in the long run, the quality of their work is less important to their career than cultivating a network of personal contacts within the Secretariat and even among delegations, and securing assignments in which they can make a name for themselves.

245. Under the present system, moreover, career organization for Professional staff members is left to chance. The authority of the Board and the Committee does not yet extend to this, and there is no recognized method of assigning or placing staff. As a result, the rotation among the various departments which is often desired for generalists takes place only rarely; unit chiefs - as is only natural - try to retain their best staff, and so on.

246. In conclusion it may be said that, in practice, the balance between the personal wishes of the staff and the needs of the Organization is arrived at by trial and error, with dubious results. The staff member seeks to further his own ambitions, while the Organization tries to place its best staff where they will be of most use, and no methods have ever been spelled out clearly on either side. In order to realize his ambitions, the staff member must often rely on his acumen or, at least, on his ability to anticipate future needs. The Organization, for its part, fills its vacancies as they occur without taking steps to ensure that the staff members who are to fill those vacancies are properly prepared and trained beforehand.

Reversal of the methods of providing incentives and a more methodical organization of careers seem to be two reasonable objectives for rapid attainment in this connexion.

(3) The training system

247. The present system of training includes, as we saw in chapter III, a fairly advanced scheme of language training with a budgetary appropriation of \$370,000.

The scale of training in subjects other than languages is evident from the size of the appropriation: \$20,000^{1/}.

^{1/} An appropriation of \$75,000 for "study leave" was approved by the General Assembly for 1971. The use of these funds is governed by a special procedure; the Director of Personnel is advised on the subject by a three-member advisory panel.

248. I do not think the special appropriation of \$275,000 for Professional trainees can be counted towards training. This programme, which is described in annex V.I, is not in fact a training programme. It is in reality an additional source of recruitment, more flexible than the regular appropriations for staff, through which Professional staff members can be appointed from under-represented countries. This arrangement makes it easier for the Secretariat to comply with the rules concerning geographical representation, but it can in no sense be considered a training programme.
249. So far as training other than language training is concerned (cf. the analysis made in chapter III), activity in 1970 (for the Professional category) was confined to the following:
- 4 two-day orientation courses (850 students);
 - 4 eight-hour rapid reading courses (110 students);
 - 1 twelve-hour and 1 fourteen-hour management course (20 and 25 students respectively);
 - 2 two-day "motivation" seminars (30 students);
 - 5 drafting seminars (spread over six weeks).
250. Those in charge of the Training Service are fully aware of the vital need to organize a coherent and comprehensive system. They know perfectly well that the activities just described are no substitute for such a system. As we shall see in the sections which follow, numerous and important studies and recommendations in favour of developing training have been made in recent years but none has yet been taken into consideration.

II. POSSIBLE LINES OF SOLUTION

251. To the critical description we have just given of the methods of reporting, promotion and training, we have two significant comments to add: Firstly, these problems are complicated in the United Nations by the fact that no one has yet specified exactly what sort of distinction should be drawn between the different kinds of Professional staff that make up the Secretariat; Secondly, all three problems are very difficult; for the first two, in particular, virtually no civil service has ever found a perfect solution which could be quoted as an example. In other words the main difficulty is that, although the expression "career planning" has been in frequent use for several years, it covers more theoretical ideas than available operational models.
- Hence the system proposed here has the disadvantage of having been put together by the author of this report without reference to existing models.¹ It will therefore have to be re-examined in detail before being tried out by the task force whose establishment we propose in chapter VIII.

252. In the sense in which it is used in this report, the expression "career planning" means a combination of:

A system of promotion which ensures the consistency of evaluations and conforms to rules sufficiently precise for its effects to be foreseen;
A system of contractual planning of assignments; and
A training system of the same type.

We shall now consider the lines on which a solution to each of these problems should be pursued.

^{1/} The only "model" the author has seen is that proposed in chapter 7, "Career and promotion policies", of the UNESCO Secretariat Round Table report - an unpublished document for internal circulation.

(1) Consistency of evaluations and fairness
of decisions on promotion

253. The problem of reporting and the problem of fairness in decisions on promotion are the same: reporting serves no purpose except in so far as it enlightens; at the appropriate time, the decisions which have to be taken on a staff member's promotion.^{1/} It is when names are put forward for promotion that the unit chief's real evaluations are made known unequivocally, because promotion proposals represent a sanction and entail classifying the people concerned in order of merit.

The only purpose served by the preparation of periodic reports is to keep a staff member's performance in view during periods when he cannot be considered for promotion.

A. Consistency of methods

254. However, in any civil service which has grown beyond a certain size - i.e. beyond the quickly-reached point at which it becomes impossible for the head of the agency or organization to know and evaluate all his staff - the main difficulty, whether in reporting on staff or in proposing names for promotion, is that of ensuring consistency of methods. Unit chiefs, especially if they are numerous, will inevitably differ in their methods of evaluation or promotion policies, will vary in the degree of courage with which they show what they think of their subordinates (when their reports are shown to the people concerned) and - where all units have to share in the same, necessarily limited, number of vacancies for promotion - will often be rivals.

255. The various attempts made to solve this problem seem never to have been very satisfactory.

Consistency in methods of reporting cannot be attained by trying to make unit chiefs conform to rules. For example, the difficulty cannot be resolved by dividing periodic reports into a plethora of boxes requiring a mark on

^{1/} Or, in very exceptional cases, his termination.

every aspect of the staff member's activity; issuing a circular suggesting common methods and a common scale of evaluation is not the answer either. Material criteria independent of all human judgement are hard to find; indeed, they rarely exist.

The arrangement whereby reporting is replaced or supplemented by a system of internal examinations at various stages in the staff member's career is admittedly interesting as an idea, but it is cumbersome and, as a rule, unpopular with the staff.^{1/}

256. The only really efficient procedure would be to have all staff members in a particular vocational group - or at the same grade level within a particular vocational group - reported on by the same person (or by the same team of persons acquainted with all the staff concerned).

This system is in operation in a number of national civil services, especially in cases where a large and relatively homogeneous staff is scattered in widely separated places; it is known as the personnel inspection system.

B. A personnel inspection system

257. It seems to us that the idea of adapting such a system to the United Nations should by no means be ruled out, particularly since it might:

Also help to solve the problem of consistency as between unit chiefs in promotion policy;

Overcome the difficulties created by the distances between New York Headquarters, Vienna, Geneva and the regional economic commissions;

Play an important part in the organization of career planning.

^{1/} One method which some civil services are at least taking up for consideration is that of trying to diversify the sources of evaluations: instead of asking only the staff member's supervisors for an evaluation, the idea is to consult his colleagues at the same level, his subordinates, and sometimes the subject himself. We know of no practical scheme for putting this idea into operation.

258. The number and choice of those who are to perform these functions can be decided only according to the characteristics of each vocational group: there can be no question of measuring by the same yardstick, or sending before the same appraiser, an economic research worker and a personnel officer, or the secretary of a political committee and a translator.
259. The numerical size and geographical dispersion of the vocational groups are shown in the following table; economists, statisticians and social scientists have been grouped together and so have translators and interpreters, thus reducing the number of groups to eight.
260. For career staff at least, it would seem reasonable to keep to the present frequency of reporting, i.e. every two years. With this proviso, two full-time inspectors should be enough to cover the administrative generalists; this would mean an average of 175 reports per inspector per annum to deal with a well-centralized staff (50 per cent in New York and 38 per cent between Geneva and Vienna). Three full-time inspectors would probably be needed for the economists owing to the distances to be covered between their widely scattered duty stations; this would make an average of 140 reports per inspector per annum.
- For translators and interpreters it would obviously be necessary to have one inspector per working language, or four in all, but they could be employed only part-time.
261. Lastly, the number of inspectors required will depend on the type of duties they are to perform. We shall see below that it would be particularly valuable to be able to employ them as career planning advisers; it may therefore be found appropriate to consider making the team of inspectors responsible for the whole of the Professional category, irrespective of vocational group.
262. In any event, their functions will be of the greatest importance to the sound general operation of all units. It is therefore essential that the procedure for appointing the inspectors should afford a firm guarantee:
- That they will always be men of outstanding competence in the specialized field of professional activity they are to inspect;
- That their impartiality and objectivity will at all times be beyond question.

DISTRIBUTION OF VOCATIONAL GROUPS BY DUTY STATIONS

Group	New York	Geneva	Vienna	Regional economic commissions + Beirut (.. ECE)	Total
Administrative generalists	351 (50%)	183 (27%)	82 (11%)	70 (10%)	686
Economists, statisticians and social scientists	263 (31%)	205 (24%)	47 (6%)	312 (37%)	827
Translators and interpreters	373 (6%)	172 (27.5%)	33 (5%)	41 (6.5%)	619
Information officers	123 ^{2/}	29	1	4	157
Political affairs officers	113	-	-	-	113
Auditors and accountants	47	14	5	9	75
Librarians	49	15	2	6	72
Legal affairs officers	77	20	2	1	100
Total of eight groups	1,396	641	172	442	2,651
Miscellaneous ^{1/}	140	66	39	57	302
Grand total	1,536	707	211	499	2,953

1/ This entry covers the groups classified by CCAO as other generalists, engineers, verbatim reporters and "others". A special study should make it possible to describe the relevant specialized fields of activity in more precise terms or to identify other groups.

2/ In reality widely dispersed throughout the world.

263. In order to meet such stringent requirements it seems essential to resort to a special method of recruitment:

The requirement of guaranteed competence both in the specialized field of activity and in knowledge of United Nations problems might be met by limiting recruitment to former Directors or senior officials of the United Nations or the specialized agencies (say, D-1 and D-2 staff) with at least ten years' continuous or discontinuous service as international civil servants, on the understanding that, in exceptional cases, an inspector could be kept on the staff beyond the age of sixty years - say, up to the age of sixty-eight - for two periods of four years subject to renewal at the end of the first period;

264. The guarantee of objectivity and impartiality might be obtainable through a system of recruitment that took into account the opinions of colleagues of the same grade in the vocational group concerned, the Secretary-General's choice, and the views of the staff who would be inspected by the person appointed. The Secretary-General would take particular care to ensure that the political balance of nationalities was maintained within the inspectorate; More specifically it is conceivable that, say, five candidates per post might be selected by the D-1 and D-2 staff in the vocational group concerned (with the addition of P-5 officials in the language services); the choice might be narrowed down to two by the staff concerned; and the final choice between the two would be made by the Secretary-General.

C. A system of marking

265. If this system of inspection was adopted, the following procedure might be used for marking:

The system of periodic reports would be maintained, but the report forms would be revised and a separate form would be prepared for each vocational group, since the qualifying characteristics for the award of a particular mark are different in each case;

These reports would contain descriptive evaluations, one by the staff member's supervisor and one by the inspector, and these evaluations would be required to deal with the main characteristics prescribed for the vocational group concerned;

266. Most important of all, the periodic report would end by classifying the staff member by merit in relation to his colleagues in the vocational group concerned. A first classification might be assigned by the unit chief in relation to the other staff members of the same grade in his unit: a Director who had six Professional staff members at level P-4 would classify them from first to sixth in order of merit; a Director who had thirteen P-3's would classify them from first to thirteenth, and so on;
267. A second classification, in a wider setting, would be assigned by the inspector. The basis of comparison should be a cluster of medium numerical size: not the grade, which in the more populous vocational groups would form too large a cluster, but perhaps the section of a grade delimited by a certain seniority in the grade. For example, within a vocational group such as that of administrative generalists, the inspector, aided by the unit chiefs' classification but acting on his own observations would classify the staff members in grade P-3 who had less than four years' seniority in that grade, then those with more than four but not more than eight years' seniority, then those with more than eight years' seniority. The mark awarded by the inspector would alone be recognized as final. This method would make the process of marking analogous to that of putting forward promotion proposals in that those awarding the marks would be unable to evade their responsibilities. What they would have to indicate would be an order of preference; the evaluation would then take on a very specific meaning, so specific indeed that it would be necessary only to tabulate the results for a few years according to a definite code, and promotion proposals would be arrived at automatically.
268. Such a code might, for example take the following form:
1 year's effective seniority carries 1 point;
Classification in the first third of the cluster carries 3 points per year of real seniority;
Classification in the second third of the cluster carries 2 points per year of real seniority.

Classification in the last third of the cluster carries 1 point per year of real seniority.

Thus the number of points earned by the staff member would mount up fast if he was regularly classified in the first third, rather less quickly in the second and slowly in the third.

Hence a staff member who was classified in the first third three times running (i.e. in six years, since the classification would be made every two years) would earn $2 \times 3 \times 3 = 18$ points - as many as a staff member who had eighteen years' seniority but who had been classified nine times in the last third ($2 \times 9 \times 1$). But it is possible to imagine a system that would reflect the classification even more closely.

(2) Advantages and methods of planning successive assignments in the course of staff members' careers

269. The planning of assignments is a separate problem from the planning of promotions. We are concerned here, not with the fairness of decisions which may determine the rate of a staff member's advancement in his career, but with types of activities, duty stations, the proper use of ability and the satisfaction of the staff member's personal inclinations.

These two problems - that of promotion and that of assignment planning - obviously require parallel solutions; but they must not be confused with each other.

A. Advantages of assignment planning

270. Such a system has obvious advantages both for the United Nations and for the staff:

If it works well, it is bound to improve the Organization's general performance greatly inasmuch as staff will be placed in the posts where their abilities - and their own inclinations - make them most useful; It is the only way to make sure that the units, which have a natural

tendency to hold on to their good staff, will comply with a rational scheme of rotation that is essential to the training of the staff, especially the generalists;

It provides a means of giving special attention to the training of good candidates for difficult high-level posts. Many managerial posts require a particular type of experience, generally of a varied kind: Headquarters and field, economist-cum-administrator, solution of political problems, leadership and organizing ability and, often, extensive competence in a particular field of activity. A situation must not be allowed to arise in which vacancies occurring at these levels suddenly prove difficult to fill; for if they are filled badly the consequences for unit operation and staff morale may be beyond computation;

271. Lastly - a particularly important advantage to the United Nations - a system of planning should make possible appropriate arrangements for career development in the case of national officials serving on a series of secondments to the United Nations separated by returns to their national civil service.^{1/}

272. For the staff members themselves, a system of planning is the only chance to ensure that their personal inclinations and problems (for example, in the matter of their children's education) receive official consideration in such successive assignments as they are able to obtain.

Moreover it is clear that, on the whole, the interest of the United Nations and those of the staff coincide inasmuch as staff who are satisfied with their working conditions are likely to be more efficient.

^{1/} We have already mentioned this proposal in chapter I, paras. 37 - 39. We shall consider the details of such a system in chapter VII, paras. 430 and 431.

B. Possible methods of planning assignments

273. Assignment planning entails the preparation of standardized individual plans, which afford the only systematic means of reconciling the needs of the United Nations and those of the staff.

(a) Standard individual career plans

274. The individual career plan is the basic unit essential to the operation of an overall plan. It is easy enough to imagine such an individual plan being drawn up on the basis of a standard form which would be circulated to all Professional staff asking them to give answers valid for the medium term to questions on the duty stations and types of assignments desired and the professional training activities they would undertake to pursue.

However, such a form will need to be worked out in much more detail than this.

To make a career planning system work it would seem necessary to meet the following conditions:

275. The individual career plan should be a contract between the United Nations and the staff member, comprising:

Firm commitments on both sides for the medium term;

Non-contractual indications, subject to confirmation or change by the next plan, for the long term.

On these terms, such a plan can say nothing about the staff member's prospects for promotion; promotion depends on the general standards laid down for the vocational group and on the staff member's marks. On the other hand the plan can and should deal with types of assignments and with training;

276. The individual career plans should take the form of standard contracts or "standard plans". This is the only way to make it feasible to perform the calculations and adjustments required in order:

To reconcile the Administration's needs and the staff members' wishes;

To fit the sum total of the individual plans into a general assignment plan and a training plan.

Such standard plans may be combinations of types of assignments for precisely specified periods (full years beginning on fixed dates) and of standard programmes of in-service training.

This method - which is also the only one that can be computerized (cf. chapter VI below) - entails, on the one hand, giving each type of assignment a very precise definition and calculating the aggregate man-years it represents in the United Nations and, on the other, identifying and precisely classifying the various forms of in-service training activities.

At this point it seems essential to say exactly what is meant by these two requirements.

277. Types of assignments

These need to be defined within each vocational group. In practice they correspond roughly either to sub-groups (for example, in the administrative generalists' group: personnel, budget, conference services, executive officer, project officer, etc.) or to types of programmes (e.g., in the economists' group: the economics of transport, the economics of international trade, econometrics, the preparation of general surveys, research in a particular sector, etc.).

278. A complete list of these types of assignments^{1/} should be prepared by the Office of Personnel in agreement with the Budget Division and the substantive departments; calculations should then be made to ascertain how many man-years each type represents in a single year's budget and how many it will probably represent (a margin of error of 10 to 15 per cent should not prevent the system from working) in the lifetime of a medium-term plan, i.e. 50 years. This will give us, for each type of assignment, the number of man-years to be divided up among a given number of standard plans.

^{1/} The existing list, called the "Occupation Code", is attached in annex VI.8. This list should be carefully revised, supplemented and officially approved.

Classification of training activities

279. In-service training activities will be examined in the next sub-section. Suffice it to say here that these activities need to be classified into standard activities according to the nature of the subject of study and the extent of the knowledge acquired, and that their results need to be recognized by a system of sanctions consisting in the award of certificates for proven competence in the subject concerned.

If these conditions are met, these activities become a measurable quantity and hence predictable and adjustable to the needs of the United Nations; and they can be taken into account for the purpose of future assignments (individual career plans for the ensuing periods), for that of evaluating staff members' performance, for that of promotion and, where applicable, for that of transfer from one vocational group to another.

(b) The method of "standard plans"

280. The contractual part of an individual standard plan cannot reasonably cover a period of more than six years. On the other hand a shorter period would be of only limited significance.

The choice of such a period implies that a staff member who served the United Nations throughout his career - say from age twenty-four to age sixty - would have, in his thirty-six years, six successive standard plans to consider.

281. A system of standard plans should take into account the main types of general orientation desired; in other words, the entire system should be designed according to the level and type of internal professional experience it is desired that the Professional staff should acquire by different stages in their career, and especially by the stage when they take up posts of responsibility (at level P-5 or D).

It is therefore necessary to compile an inventory of the main types of functions to be performed at these various stages (for example at the bottom of each grade above P-3 or, more simply, on the basis of the concept of level of qualifications which we have applied to outside recruitment - cf. chapter IV, section II, paras. 151 - 153).

282. The next step is to define the main types of careers in the course of which these levels of qualifications can be attained under the best possible conditions. Every Director in the administrative area, or in the programme area, should indicate what kind of service record (within the Organization) he would like his Professional staff to have behind them at each stage in their careers. For example, the Director of the Office of Technical Co-operation (OTC) would say what he considers the ideal service record for his P-3 and P-4 project officers, how much time he thinks they should have spent in the field, what sort of financial or administrative experience and what familiarity with economic problems he would like them to have gained from their service in a particular administrative unit or economic survey branch, etc. So far as possible he would distinguish between the conditions to be met by all project officers in a particular grade and those which are relevant for only a few such officers, so as to allow of some variety in types of skills.

When the information thus supplied by all the Directors was analysed, it would be possible to identify a number of standard careers (and variants of standard careers) lasting twelve years, eighteen years, twenty-four years and so on, and to determine the shorter component parts of these careers - i.e. the six-year standard plans - accordingly.

283. It would then be possible to distinguish between, for example:

- Quick multi-purpose training plans with a change in assignment every two years;
- Specialization plans (six years in the same assignment, or four years in one assignment and two years in a supplementary assignment).

In addition to the assignments, each plan should of course specify the kinds of additional training to be acquired in the course of the plan^{1/}.

^{1/} A specific example of the possible use of such plans is given in sub-section (3) E (e) below on training, para. 323.

Special attention would have to be given to plans allowing for transfer to another vocational group and plans for staff members serving alternately in their national civil service and in the Secretariat.

(c) Procedure for preparing standard plans

234. If the idea of such plans was adopted, the main forms of standard plans would have to be prepared by the task force discussed in chapter VIII. On the other hand they would be put to use, and working adjustments would be made to the system, by a permanent unit in the Office of Personnel, supervised and assisted by committees for each vocational group (Career Planning and Training Committees), by the members of the Personnel Inspectorate - whose duties could with advantage be extended to include those of career planning advisers - and by a Central Personnel Board whose functions will be described in section III of this chapter.

235. The functions of the unit would be:

To determine how many standard plans of a particular type (multi-purpose training, specialization, etc.) would allow of a suitable distribution of the number of man-hours available in each type of assignment at each level, so as to meet the estimated requirements of the United Nations for a six-year period;

To guide the Professional staff in their choice of standard plans, in the common interest of the United Nations and of the staff members concerned. However, since the number of standard plans of a particular kind would be limited, it would be necessary to lay down an order of choices for each staff member according to his merit classification.

Through this distribution of standard plans among the Professional staff it should be possible to plan assignments and training on an individual basis for a six-year period.

(3) In-service training

286. Many studies of in-service training have been made for the organizations of the United Nations family in recent years.

Here I shall mention only the following:

The ICSAB report of 1962 on "Career Prospects in the International Civil Service";

The two UNITAR studies of May 1968, the first on career development and staff training in the United Nations system (COORD/CC/SO/233) and the second - prepared under the auspices of UNITAR and the Carnegie Endowment by Mr. Henri Raymond - on study leave in the international civil service (COORD/CC/SO/234);

The ICSAB study of 5 June 1970 on staff training and development in the organizations of the common system (ICSAB/XVIII/R.2);

The recommendations made in the Capacity Study (chapter eight, paragraphs 24, 25 and 26) on the establishment of a "staff college";

The UNITAR study of February 1971, prepared by Mr. Richard Symonds, on the feasibility of the establishment of a staff college^{1/}.

A. Difficulties of theoretical definition of in-service professional training

287. The perusal of these documents reveals a fundamental contradiction between the unquestionable desire to institute in-service professional training on a very broad basis and great uncertainty as to what such training should cover.

As to the first of these attitudes, the following passage from the ICSAB report of 1962 leaves no room for doubt:

"The Board firmly believes that training is an essential part of a sound personnel policy and that the Organizations should - if they have not already done so - make arrangements for a systematic and continuing training programme, covering general orientation, in-service, refresher and development training. Such a programme would result in increased efficiency."

^{1/} We have also seen a report by Professor F. Mailick, dated June 1969, on career development and training.

This quotation sums up the general attitude taken in all the documents cited.

When it comes to deciding exactly what ground the training should cover, the views expressed are not so downright.

288. On the one hand it is roundly asserted that the purpose of in-service training should not be to remedy the deficiencies of bad recruitment. The first ICSAB report of 1962 approached the question of training "on the basis that, the educational and technical qualifications required of staff members having already been acquired before recruitment, they would only have to be supplemented by such additional training as may be needed for the purposes of international work."^{1/} But the UNITAR document of May 1968,^{2/} for its part, frankly acknowledges that:

"Genuine pre-recruitment training with a very high probability of actual recruitment to follow can, if properly designed and conducted, be of great benefit and reduce the need for in-service training later."

It could not be said more plainly that one of the purposes of in-service training is indeed to correct previous errors. Generally speaking, however, the thinking on this problem is confused by failure to take a clear position on this point.

289. This is quite evident from the contents of the training programmes proposed in the various documents cited above.

^{1/} COORD/CC/SO/233, para. 10

^{2/} Ibid., para. 41.

Among the seven items in the training programme set forth in the ICSAB report of 1962,^{1/} it is difficult to find any that would not be eliminated in whole or in part from a programme designed for staff who had been properly recruited.

Item (a) represents an elementary knowledge of the organization and its objectives; item (b), elements and methods of supervision and management. Items (c), (e) and (f) could easily be replaced by the issue of a small handbook to new staff. That leaves only item (d), language training; item (g) is essentially for experts.

The more recent documents we have cited denote some progress in this respect.

290. The UNITAR report of 8 May 1968 already mentioned introduces two important new concepts; it begins to draw a distinction between the various kinds of staff and the various stages in their careers, and this leads to the production of the following list (COORD/CC/SO/233, para. 34):

- (A) For all new staff members: general orientation.
- (B) For staff members who need or wish to improve their skills: languages, drafting and report-writing, or committee work.

^{1/} The seven items read as follows:

- "(a) Providing the staff with a clear statement of the organization's objectives and keeping them informed of the organization's achievements and activities in pursuit of these basic objectives, and of the division of responsibility to this end; explaining the broad methods of work.
- "(b) Improvement of management and supervision, and particularly of the supervisor's personal and on-the-job guidance of his staff.
- "(c) Orientation of new staff members.
- "(d) Language training.
- "(e) Instruction in standard methods of work (research equipment and methods, use of central services, preparation of reports, style of correspondence etc).
- "(f) Instruction in servicing committees - primarily as secretary - and in the effective conduct of internal meetings.
- "(g) Preparatory training for overseas assignment - both for regular staff and, increasingly, for technical assistance experts being sent on missions by the international organizations."

- (C) For junior Professionals immediately or soon after their recruitment: elements of supervision and administration; the United Nations system.
- (D) For officers in charge of branches and sections: supervisory training.
- (E) For senior officers within each organization: seminars or discussion groups on problems of common interest and on possibilities of introducing modern techniques.
- (F) For groups of senior officers: staff college.

291. However, this list does not bring out the idea that the staff members of the organizations practise different, clearly defined professions (the report is addressed to all the organizations and could have mentioned that there were physicians and nurses at WHO, agricultural engineers at FAO, university dons at UNESCO and economists in the United Nations), and it is obviously difficult to define professional training without recourse to the concept of the profession.

Admittedly the report distinguishes three broad groups within the Professional category:

Those who work in the substantive divisions; these are referred to as "substantive specialists";

Those who are concerned with the internal administrative, managerial or operational process; these are referred to as "managerial staff";

Those who help in the operation of the organization (interpreters and translators); these are referred to as "ancillary staff".

However, in the first place the report does not define professional training with this distinction in view, and in the second place it expounds a conception of the "generalist" which I personally find unacceptable, in stating that:

"Professional officers in this group" -i.e. the managerial staff -
"do not require any prior technical or special qualifications."

292. This conception is diametrically opposed to that put forward in this report, namely that an administrative generalist needs a very comprehensive body of all-round technical knowledge allied to a very sound general culture and an appreciable acquaintance with the problems of the specialists with whom he is to work; this conception dictates highly specific

requirements both for recruitment and for in-service training.

Lastly, the UNITAR document too fails to make a clear distinction between, on the one hand, making good the shortcomings of recruitment and, on the other, training which can be given only after entry on duty.

293. The document prepared by Mr. Henri Reymond on study leave (COORD/CC/SO/234 of 8 May 1968) is extremely precise, and the author's analysis of the problem is a complete catalogue of the questions to be resolved by organizations wishing to institute such arrangements. It is not Mr. Reymond's purpose to propose a programme, but he makes some interesting suggestions concerning, for example, the idea that two study leaves are needed in the course of a full-length career; the fact that this system, which is particularly useful to specialists, can be extended to generalists; the need to make a choice among the candidates, and so on.

294. Next, the proposal made in the Capacity Study for the establishment of a staff college had the merit of proposing an institution that would be the embodiment of the idea of in-service training; the proposed curriculum is not given in much detail, but it includes some new departures (such as study of the subject of development planning) and confirms the view that modern management techniques need to be studied.

Lastly, the staff college study made by Mr. Richard Symonds of UNITAR as a sequel to the Capacity Study proposals gives yet more definite shape to the possible training programme.^{1/} Perusal of this study shows how much ground has been covered in a few years in developing the conception of in-service professional training.

A considerable advance has thus been made, but it still remains to establish a theoretical method of drawing up programmes and, more particularly,

^{1/} A programme intended for the United Nations system as a whole, and having the additional merit of promoting better co-operation between officials of the various organizations.

to decide how to make a start on professional training in the United Nations^{1/}.

B. Possible theoretical definition

295. The inference from the foregoing is that in-service professional training is the sum total of the activities required to make up the difference between two levels of knowledge:

The level which has normally been attained by the permanent staff of an organization by the time of their recruitment (and above which new knowledge has been added by their professional experience);

The level considered desirable if full efficiency is to be achieved.

296. Such a definition brings out some important facts:

(a) The definition of a training programme depends first of all on how the desirable level of knowledge is determined. This entails making a decision which is both financial - in that the cost of a programme must be paid in order to obtain a certain return - and technical; the political and budgetary authorities can take such a decision only on the report of the best-qualified experts in the specialized professional fields concerned. In the United Nations, this prompts the idea that bodies of eminent specialists capable of enlightening the Secretary-General and the General Assembly on this point should be set up for the various vocational groups.

297. (b) However, determination of the existing base level also presents serious difficulties. If it is not intended that a training programme should be used to make good the deficiencies of the specifications imposed at the time of recruitment, this base level must be determined solely by reference to the knowledge which ought normally to be required for such recruitment.

^{1/} Annexes V.3 and V.4 show what is already being done in WHO and the European Communities. Annex V.2 gives a table of expenditure on personnel training for the United Nations family of organizations as a whole. All the personnel training machinery now in existence in the United Nations system is very accurately described in the report ICSAB/XVIII/R.2, which is published in document CCAG/S.31/R.25 (PER).

298. However, it would be unrealistic to deny altogether the possibility of shortcomings in the recruitment process.

In the circumstances, a training programme should be prepared with three levels in view:

- (1) The real level of existing knowledge;
- (2) The level of knowledge which should normally be required at the time of recruitment;
- (3) The level of knowledge desirable in order to obtain the maximum return.

299. A training programme should therefore be in two distinct parts: A remedial programme designed to bring the student up to the normal recruitment level (for career staff whom it is found necessary to retain despite their shortcomings, on the understanding that staff whose shortcomings are too severe should normally be terminated): a programme defined by the difference between level (1) and level (2); A normal training programme corresponding to the difference between the recruitment level (2) and level (3).

300. (c) The content of a training programme should correspond to the various directions in which it is desired to improve upon the base level; These may include the following:

Refresher training: i.e., bringing knowledge up to date in the light of scientific and technological progress in the specialized professional field concerned;

Advanced theoretical training in a branch of the specialized field of knowledge, leading up to a particular assignment within the vocational group;

Development of professional background knowledge (in this case, of the organizations of the United Nations family and the United Nations itself), which may take the form of practical orientation at the start of the staff member's career (to supplement the theoretical knowledge of the United Nations which is required for recruitment) and a more thorough study of certain aspects of the United Nations system;

The acquisition of all round knowledge in different specialized professional fields, with a view to better co-ordination of the activity of different vocational groups: e.g., acquisition of economic knowledge by administrative generalists, of financial and budgetary knowledge by statisticians, and so on;

The acquisition of further knowledge of languages (for all vocational groups).

301. (d) Such a programme is essentially for career staff; except for the very small part of it concerned with practical orientation and, to some extent, that concerned with professional background knowledge, it may be assumed that those recruited on fixed-term appointments will be people whose professional knowledge does not need supplementing or bringing up to date.
302. (e) A general programme of professional training comprises a common part, accessible to all vocational groups (professional background, all-round knowledge and languages), and a part peculiar to each group. The programme peculiar to each group will depend both on the rate of scientific and technological development in the field concerned (refresher training) and on the various specialized functions which the Organization finds it necessary to develop with the aid of career staff belonging to the vocational group concerned (or, to put it another way, on the degree of specialization attained in the various types of assignments).
303. (f) The establishment of such a programme confirms the vital need to be able to rely on a number of precise concepts - a requirement already demonstrated in connexion with the preparation of the long-term recruitment plan and the long-term assignment plan. This applies in particular to the concept of the vocational group, that of the recruitment level and that of the type of assignment.

C. Method of preparing a training programme

304. The procedure for drawing up a programme of in-service training may be summarized as follows:

Method of preparing in-service training programmes (for one vocational group)^{1/}

Junior (theoretical) recruitment level	Level of basic theoretical knowledge (common to all types of assignments within the vocational group concerned) —→ in the specialized subject —→ supplementary knowledge of the techniques of allied specialized subjects (economics for administrative generalists, law for economists, etc.) —→ of the professional background —→ of languages	(1) <u>RL theory of specialized subject</u> (2) <u>RL techniques of allied specialized subjects</u> (3) <u>RL professional background</u> (4) <u>RL knowledge of languages</u>
Real level of recruitment of serving career staff	Remedial programme for personnel not up to standard but not terminated	(5) <u>Remedial programme</u>
<u>Level of qualifications permanently desirable at the various non-junior recruitment levels</u> (corresponding exactly - except for professional background knowledge - to the recruitment level of fixed-term appointees, by type of assignment)	—→ Updating of knowledge (refresher training) corresponding to items (1), (2) and (3) above (junior recruitment level in the specialized subject, allied specialized subjects and professional background) —→ Acquisition of additional theoretical specialization in the specialized subject, leading up to a particular type of assignment within the vocational group concerned (this theoretical training should be supplementary to the professional experience gained in previous assignments (plan of successive assignments)) —→ Further acquisition of all-round knowledge proper to other vocational groups —→ Professional background knowledge: - very brief practical orientation; - more detail in a particular area —→ Acquisition of further knowledge of languages	(6) <u>PT refresher training</u> (7) <u>PT theoretical specialization</u> (8) <u>PT all-round knowledge</u> (9) <u>PT orientation</u> (10) <u>PT professional background</u> (11) <u>PT languages</u>

^{1/} RL = recruitment level;
PT = professional training.

305. By reference to this table, the method to be followed can be explained more clearly:

All staff members in a particular vocational group should have the knowledge specified in programmes (1), (2), (3) and (4);

Programme (5) is designed to attain that objective for staff who are not up to standard but who are not terminated;

Programme (9) - practical orientation - is a very minor item for all Professional staff;

Programme (6) must be prepared separately for each vocational group; this too is for all Professional staff;

Programmes (7), (8), (10) and (11) are intended only for those who wish to add to their training in order to qualify for certain posts, whether particular assignments or managerial duties, but the Organization should see to it that these courses are attended by enough staff members to ensure that Professional staff are available so that posts requiring particular skills can be filled on the best possible terms at any time.

306. In the last analysis, the preparation of a programme entails keeping not only an exact record of general technical developments in each specialized field (for the purpose of refresher training for the entire Professional category) but also a detailed inventory, within each vocational group, of the desirable level of knowledge corresponding to each type of assignment. This inventory will form the basis on which to draw up programmes (7), (8), (9) and (10) and to determine the desirable number of students for each item on the programme.

D. Methods and sanctions

307. Careful thought needs to be given to the methods of sharing out this training, especially since such a system is bound to be expensive both in the strictly budgetary sense (in appropriations for paying instructors, renting premises, etc.) and in time spent by the students away from their work. It is therefore essential to seek out the most economical methods.

It is also essential that the system should be closely linked to career organization: in other words, it needs the sanction of furnishing proof that the staff members concerned have absorbed the knowledge imparted to them and that their careers will benefit accordingly.

(a) Need for textbooks and annotated bibliographies

308. In this field - at any rate for non-linguistic training - written information is by far the most economical, because it is the means of giving lasting instruction to a far greater number of students than can be assembled in a classroom at any one time, and because it can be studied without taking time off work. Furthermore its quality can readily be checked.

Consequently no system of professional training can be run on sound and economical lines unless a standard textbook is prepared and annotated bibliographies are kept up to date.

309. Textbooks would obviously be of great service in imparting professional background knowledge. In this field of study, the preparation of textbooks would put an end to stultifying parochialism and would facilitate interdepartmental relations by providing descriptions of activities and methods in terms which everyone could understand. Textbooks describing the composition, functions and methods of every existing unit in the United Nations should take only a few months to prepare if a competent staff member of each unit was assigned to the preparation of such a textbook as a priority task and if the same method was used in all units.

310. However, it would also be necessary to prepare textbooks on the history of the United Nations and of the United Nations system; on first steps in the use of computers and their use for administrative purposes; and on modern management techniques (programming, cost accounting, network analysis, management by objectives and modern personnel management techniques).

With regard to the specialized techniques of each vocational group, the Training Committees should draw up a list of the subjects to be taught and add to it a list of the textbooks to be prepared and of the annotated bibliographies to be kept regularly up to date.

(b) Oral instruction

311. It will still be necessary to give some instruction by word of mouth. This raises problems of the duration, place and time of the lessons.

Their average duration should be so calculated as not to reduce the working hours, and hence the performance, of the Professional staff. It would

seem possible to make a distinction between compulsory training for all staff, which could be given as a recognized assignment in working hours, and optional training solely for those seeking advancement, which could be given outside working hours. For the training given in working hours it would probably be difficult to allocate more than one hour a week out of each Professional staff member's time.

312. The problem of compiling time-tables has already been tackled and overcome for the language training courses. The main consideration is not to interfere with the work of the Professional staff more than is unavoidable and, in particular, not to take up the students' time in travelling to and from their classes or practice sessions. It is therefore essential to be able to give the instruction in situ on premises adjoining the staff's workplace and if possible under the same roof. Arrangements should be made for courses scheduled outside working hours to be held either as soon as the offices are closed for the day or on Saturday mornings.

Attendance at outside educational institutions should be required only in very exceptional cases or on study leave.

(c) Study leave

313. As we have seen, a very comprehensive paper was prepared for UNITAR on the subject of study leave. It ends with a list of questions, some of which I would answer as follows:

Study leave should form an integral part of a professional training programme; it should start only after the student has acquired through advance preparation - the study of textbooks, personal study guided by annotated bibliographies, and/or courses - enough knowledge to derive full benefit from the arrangement;
its purpose should be limited to the acquisition of further knowledge or to research;

314. It should be granted - at any rate to begin with^{1/} - only to staff with top marks who can prove that they have undergone the advance preparation mentioned above. It can and normally should be fitted into a career plan;
- The exercise should be sanctioned by a terminal examination if the purpose of the leave was to acquire knowledge, and by the submission of a paper if the purpose was research;
- The frequency of study leave may vary according to the type of specialist concerned and the time allowed for it; the time allowed, in its turn, will be determined according to the purpose of the leave. It is probable, therefore, that the ruling principles on the subject will be arrived at by trial and error and in stages. However, the duration of leave for the acquisition of knowledge will depend on the type of instruction available, for example, at universities (or at the staff college if this idea is adopted). For the types of instruction most sought after - for example, instruction for beginners in the use of the computer - it would be possible to conclude agreements with teaching establishments under which the length of the courses would be adjusted to the level of technical knowledge aimed at;
315. As a basis for discussion it may be thought reasonable to envisage, in principle, two periods of leave granted about the middle of a staff member's career before he moves up to a post of responsibility;
- On some study leaves, the staff member should be paid his normal salary. Provision should be made for staff members wishing to take additional leave without pay, or at a level of remuneration equivalent to a fellowship, to do so subject to conditions to be laid down;
- Consideration should be given to the provision of special leave for the purpose of acquiring the requisite knowledge for transfer to another vocational group.

^{1/} These answers are not proposals but merely ideas put forward for illustrative purposes by the author of the report. It is for the staff associations to let the Secretary-General and Member States know their views on these matters; the law on the subject can be laid down only through negotiation.

(d) Sanction of training: qualifying examinations and certificates

316. The essential purpose of professional training is to equip the students either to do their work better or to take up new and more important duties; a systematic relationship must therefore be established between training and advancement.

This means that the training must be sanctioned by an examination leading to the award of certificates which can be taken into account both in the preparation of career plans and for promotion purposes.

The promotion committees might draw up for each vocational group, in addition to the list of subjects to be taught and the types of instruction envisaged, a list of the certificates to be awarded by examination, and might propose that they should carry a specified weighting for admission to a particular grade or post.

E. Example of the possible content of a training programme for generalists

317. As we pointed out above, the training programmes must be prepared separately for each vocational group; they should be prepared by panels of eminent specialists for approval by the Secretary-General and the General Assembly.

One possible method of preparing such a programme was proposed in sub-section C above. Perhaps, however, the use of this method can be made clearer by taking an example. The example chosen is that of administrative generalists.

All that can be given here, however, is a model designed to throw light on the method proposed; an exhaustive study of the subject would require the efforts of a panel of specialists.

Administrative Generalists

(Example of the possible content of a training programme)

318. (a) The desirable recruitment level was defined in chapter IV, on recruitment, section III, on the junior competitive examination.
A training programme for this vocational group should distinguish between:
319. (b) Training for all Professional staff in the group, which would cover, for example:^{1/}

Subject	Means of acquisition	Sanction
General refresher training in modern management techniques	1 textbook; 1 annotated bibliography; 30 hours of seminars and lectures spread over a year	Certificate A1 Modern Management Techniques
General refresher training in economic problems of developing countries and in planning	1 annotated bibliography; 30 hours of seminars and lectures spread over a year	Certificate A2 Problems of Development
General refresher training in the United Nations system and the history of the United Nations	1 textbook; 1 annotated bibliography; 30 hours of seminars and lectures spread over a year	Certificate A3 United Nations System
Language training to equip the student to use an additional working language	3 or 4 years of training by classes and audio-visual methods	Certificate C1 Languages

Such a programme would be of value mainly to junior Professional staff. It could be spread over three or four years if linguistic and non-linguistic

^{1/} The first three items correspond to programme (6), "PT refresher training", in the method proposed in sub-section C above; the fourth corresponds to programme (11), "PT languages".

Subject	Means of acquisition	Sanction
Advanced training in financial problems	Lectures by specialists, discussion seminars, annotated bibliography, 60 hours spread over two years	Certificate B1 Financial Problems
Advanced training in data processing	Textbook; annotated bibliography, lessons and discussion seminars, 60 hours spread over two years	Certificate B2 Data Processing
Advanced training in personnel problems	Textbook; annotated bibliography; discussion seminars, 60 hours spread over two years	Certificate B3 Personnel Problems
Advanced training in conference organization and secretariat	Textbook; discussion seminars plus practical work, 60 hours spread over two years	Certificate B4 Conference Secretariat
Advanced training in economic problems and their programming	Annotated bibliography; lectures by specialists plus discussion seminars 90 hours spread over three years	Certificate B5 Economic Problems and Programming
Advanced training in current administrative questions: problems concerning procurement, transport, registry, archives, cost accounting, etc.	Textbook; annotated bibliography; discussion seminars, 30 hours spread over a year	Certificate B6 General Administrative Questions
Liaison, protocol and external relations	Lessons plus discussion seminars, 30 hours spread over a year	Certificate B7 External Relations
Advanced training in modern management techniques	Textbook; annotated bibliography; Discussion seminars, 60 hours spread over two years	Certificate B8 Modern Management Techniques

training were combined, or over seven years if they were taken consecutively. However, it might also be of value to non-junior Professional staff;

320. (c) A remedial programme: for Professional staff whose level of academic and general training is well below what is now considered the normal recruitment level. A special programme might be drawn up on the lines of that for the junior competitive examination. It should consist mainly of the use of an annotated bibliography especially prepared for the programme; lessons and practice in drafting and report writing; and a qualifying examination at the end of the course;
321. (d) Training for staff members aiming at "types of assignments" that require special knowledge.^{1/}

The list of types of assignments for administrative generalists given in the Occupation Code currently used for the computerized Personnel Roster is the following:

(11) Budget and Finance; (12) Committee Secretariats; (13) Conference and Conference Planning Officers; (14) Data processing; (15) External relations, liaison and protocol; (16) General administrative; (17) Organization and methods (management); (18) Personnel Officers (including pensions and recruitment); (19) Programme and Project Officers (including managers); (21) Registry and archives; (22) Transport and procurement); (23) Other administrative if any.

322. From this list it is possible to determine what types of additional instruction are needed to train staff experienced in these various specialized duties. For example, the following types of instruction might be considered:

323. (e) Combination of certificates with study leave

Periods of study leave might be provided to round off in-service training after a specified number of certificates had been earned and a plan of successive assignments worked through.

^{1/} Programme (7) of the method proposed in sub-section C. To complete the example, instruction corresponding to programmes (10), "PT professional background", and (8), "PT all-round knowledge", would have to be included. The courses under (10) would be for all Professional staff; for (8), examples could be drawn from the instruction provided for other vocational groups.

324. In the examples given above, the study leave periods should be spent in going deeply into the problems of the student's specialized field: in the first case problems of modern management technique, in the second financial and programming problems, and in the third problems of economic development. The staff college might provide this instruction, or the students might attend universities under an agreement concluded with the United Nations.
325. (f) The example just given for administrative generalists may convey some idea of what the Training and Career Planning Committees, aided by the competent units of the Office of Personnel, could draw up by way of a standard career and training model for other groups of Professional staff, such as economists. Furthermore, under certain conditions, the instruction provided for economists should be accessible to generalists or members of other groups; this type of arrangement would pave the way for better understanding and better co-operation between vocational groups and in some cases, subject to the establishment of rules and to proper supervision, for transfer from one group to another.

III. OUTLINE OF A CAREER PLANNING SYSTEM FOR THE UNITED NATIONS

326. It is now possible to sum up all the prerequisites for establishing a general system of career planning, and to outline the way in which such a system will operate.

The study on the long-term recruitment plan and the earlier sections of this chapter show that a system of this kind can be put into operation only with the help of:

- A set of clear, properly defined concepts, and
- The machinery to perform certain essential functions.

(1) Basic concepts

327. In addition to the basic concepts which we defined in connexion with the recruitment plan (vocational group, identification of career posts, level of qualifications and average rate of advancement), two more - the type of assignment and the desirable level of knowledge - have been identified in the present chapter. The following table shows how they should be applied in practice.

Concept	Practical application	Competent authority
<u>"Vocational group"</u> All staff members competent to exercise a specified profession which appears in a list of professions drawn up by the Secretary-General on the advice of competent specialists. These staff members belong to the Professional category but can occupy	List of the groups, with a definition of the functions and skills pertaining to each group. (I have proposed a list of ten groups; it is likely that a more precise study would result in a slightly fuller list including one or two more items.)	The Secretary-General may approve such a list.

Concept	Practical application	Competent authority
<u>"Vocational Group"</u> contd. only posts reserved for their profession; This gives rise to a particular pattern of career development. The conditions for transfer from one group to another are laid down by the Secretary-General. In normal circumstances, transfer between groups should be relatively easy above grade P-4 provided that certain requirements are met as regards qualifications and experience.		
<u>"Level of qualifications"</u> Degree of competence acquired in the exercise of a specified profession; a distinction is made between basic theoretical university training, at the time of recruitment to the junior level, and various levels of professional experience acquired.	In each vocational group a number of levels (I have proposed four) should be defined in the form of a "standard description of qualifications required" for recruitment to each level.	The Director of Personnel, on the advice of the competent specialists and, in particular, of the directors of the main substantive departments concerned, submits standard descriptions of qualifications for the Secretary-General's approval.

Concept	Practical Application	Competent authority
<u>"Career posts"</u> By definition, posts which are always to be filled by internal promotion.	Within the limits of the over-all percentages currently accepted by the General Assembly, a list should be drawn up of: - posts to be filled by promotion; - posts to be filled by external recruitment; - posts which may be filled by either method. National officials serving on a series of secondments to the United Nations, alternating with returns to their National civil service in a proportion to be fixed, should be regarded as belonging to the career staff.	Within the limits of the instructions received from the General Assembly, the Secretary-General should approve such a list submitted to him by the Director of Personnel and the Director of the Budget Division after consultations with the competent specialists in each vocational group.
<u>"Average rate of advancement"</u> Determination of the minimum, maximum and average period for a staff member in a particular vocational group to spend at each grade level.	The minimum period, which is at present laid down in a circular from the Director of Personnel, could be defined for each vocational group in a further circular; the same could be done for the maximum period. The	Circular from the Director of Personnel.

Concept	Practical application	Competent authority
	average period, on the other hand, is calculated from the number of career posts at each grade level in the vocational group in question and the average age of the serving staff.	
<u>"Types of assignments"</u> Posts corresponding to particular functions within a vocational group and generally involving a degree of further specialization.	A list of types of assignments should be drawn up for each vocational group.	Circular from the Director of Personnel with the consent of the Director of the Budget Division and the directors of the substantive departments.
<u>"Desirable level of knowledge"</u> Theoretical level of knowledge which staff members in a unit should have in order to attain maximum performance; this level is estimated by the most highly qualified specialists chosen both from within and from outside the Organization.	For each vocational group, the Training Committees prepare reports from time to time on what they consider to be the desirable and feasible level.	The Director of Personnel determines, on the basis of this definition, the training programme required for the staff members belonging to the various vocational groups. This programme is submitted to the Secretary-General for

Concept	Practical application	Competent authority
"Desirable level of knowledge" contd.		approval and through the vote on the budget estimates, to the General Assembly.

This set of concepts sums up fairly well the general conception on which it is proposed in this report that career planning should be based. It remains for us to show the interaction of the various mechanisms required to put such planning into effect.

(2) The machinery for the essential functions

328. The time has now come to describe how the system as a whole would operate and to specify, on a number of points, the structural changes that would be required in existing administrative organs.

A. The function of reporting and promotion

329. The system we have proposed is based essentially on a method of reporting or marking (classification within a grade by the unit chief and classification within a section of a grade for a whole vocational group by the Inspectorate), and on the establishment of a Personnel Inspectorate, whose possible composition and methods of recruitment have been indicated.

330. It remains to point out that:
Training results ought to be taken into account by the inspectors when they make the classification. Two possible systems may be envisaged: either the inspectors would be informed of the results obtained by the individual staff members in training (certificates awarded, marks given for certificates), and would then classify the staff

members in order of merit by piecing together the information they had about them; or the results obtained in training would be recorded separately and would earn extra points to be added to those already awarded to the staff members in the process of classification by the inspectors. Personally I prefer the first method, since it would give the inspectors full responsibility for evaluation;

331. Since the marks counting towards promotion would be awarded every two years, there would be no need to take promotion decisions (by drawing up a promotion register) at any other interval;

Although it is possible to imagine a system whereby names would be placed on the promotion register automatically, on the basis of the inspectors' marking, it would seem desirable to leave the final decision to panels comparable to those which make up the present Appointment and Promotion Committee (APC). The proposed new system would, however, require such panels to specialize in particular vocational groups. It would also seem necessary that a Central Board, comparable to the present Appointment and Promotion Board (APB), should continue to ensure consistency of general policy and should be competent to advise the Secretary-General on promotions to high-level posts.

332. Briefly, then, the new system would entail, firstly, transforming the present Appointment and Promotion Committee (APC) which, instead of sitting as a separate sub-committee for each grade, would sit as sub-committees or committees competent to deal with different vocational groups; and secondly, modifying the functions and composition of the present Appointment and Promotion Board (APB).

In addition, since committees of the same type are needed for training purposes, it would be desirable to merge their duties with those of the promotion committees.

E. The functions of medium-term and long-term assignment planning

333. Some indications have been given regarding the method of preparing standard individual career plans.

- (a) Such a system would entail establishing a specialized unit (a Career Planning Unit) in the Office of Personnel to perform the following functions:

To draw up the general six-year assignment plan;
To prepare forms for standard career plans and circulate them in accordance with a standard rotation agreed to by the unit chiefs;
To collect applications, check that they conform to requirements, circulate assignment plans unit by unit, and obtain the consent of the unit chiefs;
To authorize changes in career plans.

334. (b) Since problems of assignment, like those of training or promotion, are to be dealt with in terms of the vocational group, it would seem desirable to take account of this by arranging for personnel officers to specialize in particular vocational groups. They would thus be able to give the necessary support to all the units which would henceforth have to deal with the problems of vocational groups, as well as to the inspectors.
335. (c) The inspectors, as we have already suggested, could usefully act as career planning advisers by helping Professional staff members to select their long-term orientation.

C. The function of training

336. The new activities which have been defined might be distributed between the Training Committees and the Training Service of the Office of Personnel, whose functions and establishment should be greatly expanded.
337. The Training Committees should, for each vocational group:
Lay down the teaching programme, the main types of courses and practical exercises, and the types of certificates to be awarded;
Determine what textbooks and annotated bibliographies should be prepared and, possibly, decide who should write them;

Formulate the general policy on training.

338. The Training Service, for its part, should:

Act as secretariat to the Committees, prepare for their sessions and carry out their decisions;
Make the practical arrangements for all training exercises, the recruitment of teachers and lecturers, the registration of pupils and so on;
Conclude agreements with teaching or research institutions;
Organize examinations, award certificates and communicate the results to all units concerned, and in particular to the Personnel Inspectorate;
Organize and supervise study leave.

D. Composition of the Training and Career Planning Committees and of the Central Personnel Board

339. I think it would be desirable to entrust to a single set of committees all advisory and supervisory responsibilities relating to personnel policy, as regards determination of the level of qualifications (including the junior recruitment level), supervision of the composition of the boards of examiners for the competitive examinations, the general conception of training, and supervision of the promotion machinery.

The system would be based, as we have seen, on a committee for each vocational group and a Central Personnel Board.

The type of composition which I believe might be feasible is described below.

Training and Career Planning Committee

340. Eminent specialists in the professional field in question, chosen from outside the Organization;
Representatives of those substantive departments which have the largest numbers of staff members in the vocational group in question;
The personnel inspectors of the vocational group;

Representatives of the staff in the vocational group, nominated by their colleagues;

Representatives of the Office of Personnel.

Central Personnel Board

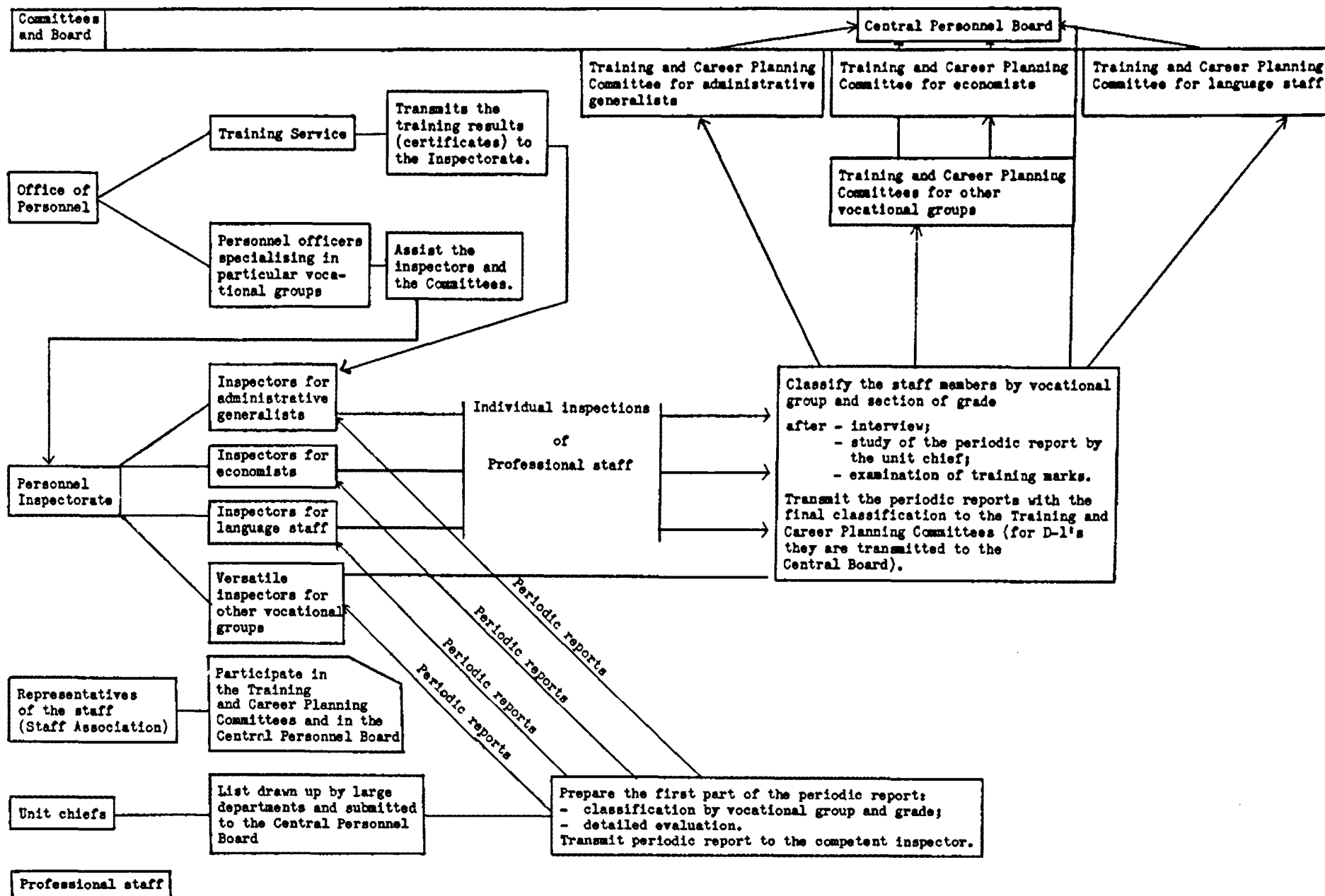
341. The present composition of the Appointment and Promotion Board (APB) meets most of the requirements. However, in view of the considerable expansion of the Board's functions, it would probably be appropriate to add at least two representatives of the Personnel Inspectorate, elected by their colleagues, and, when decisions concerning training are to be taken, to co-opt in an advisory capacity one or more of the eminent specialists on the Training Committee concerned.

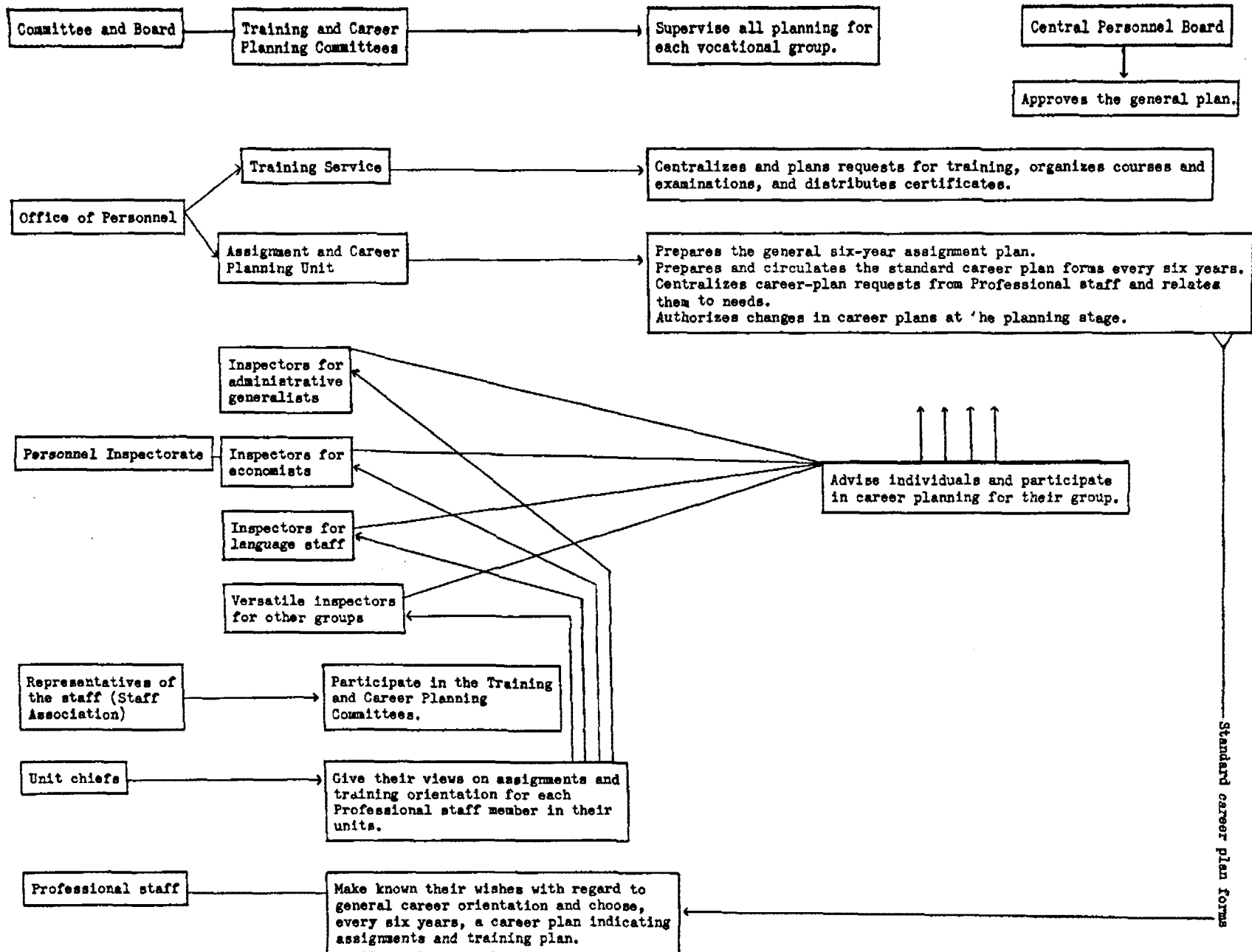
E. Flowcharts

342. The attached charts have been prepared in an endeavour to indicate the operational flows for:

Periodic reports and promotions;

Assignments (career plans).





CHAPTER VI

THE MODERNIZATION OF METHODS:
WHAT CAN BE EXPECTED FROM THE USE OF THE COMPUTER

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CHAPTER VI. THE MODERNIZATION OF METHODS: WHAT CAN
BE EXPECTED FROM THE USE OF THE COMPUTER

345. The question of the use of computers in the United Nations family is now under very active consideration in each organization and at the international level.^{1/}

However, singularly little practical use has so far been made of computers in administration and management.

The utilization systems briefly described in volume II of the study by the Auditor General of Canada (known as "the Henderson report") are in most cases mainly concerned with the payroll and some accounting operations; only as an afterthought do they provide any information about the staff.

The report in question^{2/} states that

"Most [systems] have been developed on a piecemeal basis, evolving over time from an automated payroll base. All have been developed by each organization independently of any systems in use in other organizations."

346. A drastic change of attitude now seems essential. Computers offer great scope for increasing the efficiency and improving the performance of the administrative machinery in the various organizations, provided that:

The methods of utilization have been carefully studied in advance;

The staff who are to apply them have been properly trained for the task;

Arrangements have been made, through inter-agency co-ordination, for the use of common methods wherever possible.

^{1/} Cf., in particular, the work of the Computer Users Committee, the study by the Auditor General of Canada on electronic data processing in the United Nations family, the establishment of an Inter-Organizational Board for Information Systems, etc.

^{2/} See vol.I, p. V-6, para. 126.

347. This subject will now be explored in relation to problems of personnel, management, recruitment and medium-term and long-term policy-making. It will be discussed under the following headings:

- I. What has already been done in the United Nations family and what is now being done in the United Nations;
- II. The stage now reached as regards modern methods of personnel management;
- III. The type of system proposed.

I. DESCRIPTION OF PRESENT METHODS OF USING COMPUTERS FOR PERSONNEL PURPOSES IN THE UNITED NATIONS FAMILY

This description will be based on studies made on the spot, information obtained from various reports - especially those prepared by Mr. Kien, Director of the United Nations Accounts Division, and by the Auditor General of Canada - and information supplied by the organizations.

(1) United Nations - New York Headquarters

348. An excellent account of computerization in the financial and administrative area at United Nations Headquarters, New York, has been given by Mr. Kien, Director of the Accounts Division, in a report dated 13 February 1970.^{1/}

As described in that document, the present system comprises:

A staff payroll system (staff paid at New York in US dollars, plus a field payroll system for staff paid at other duty stations and in other currencies);

A system of general accounts;

A number of smaller-scale users for the purposes of:

The Pension Fund;

The Office of Technical Co-operation (OTC): preparation of progress reports on projects;

Revenue-producing activities, inventory of publications and analyses of sales; and lastly

The Personnel Roster.

Apart from its use by the Office of Technical Co-operation, most of these smaller-scale uses of the computer are connected with the first two, which are the most important: the payroll and the accounts.

349. The clearest examples are provided by the Pension Fund and the Personnel Roster, each of which is supplied separately with the information contained

^{1/} Internal document: Review of UN Computerization in the Financial and Administrative Area - report prepared by the UN Accounts Division, 13 February 1970. The chief author of the report is Mr. Diamond, one of Mr. Kien's staff.

on the printed (P.5) "personnel action" forms, analysed and punch-carded. The P.5s are of course analysed in the same way for the staff payroll system; they are thus analysed and fed to the computer three times in three separate systems.

There is thus no integration whatsoever, and it would obviously be highly desirable to use the computer in a more rational and less rudimentary manner.

Moreover the separate Personnel Roster system is very little used. When we started on this report, the Roster covered only the Professional staff at New York Headquarters, to the exclusion of the staff of the Geneva Office and of the regional economic commissions, and the information it provided about each staff member was rather meagre, consisting mainly of name, sex, date of birth, nationality, date of entry on duty, office code, grade and step, and duration of appointment, where appropriate.

The system thus supplies only some elementary statistical data, and very little use has in fact been made of it so far.

350. The Director of the Accounts Division was therefore fully justified in suggesting in his report that the computer should be put to broader, more ambitious and better-integrated use in administrative and financial management.

At the heart of the proposed system would be three direct-access master files:

The Candidates Roster, compiled and kept up to date by the Division of Recruitment;

The Recruitment Status File, compiled and kept up to date by the Budget Division as to posts and by the Division of Recruitment as to recruitment status;

The Personnel Master File, compiled and kept up to date by the Division of Personnel Administration in conjunction with the Budget Division and the Executive Officers (including OTC).

351. The main characteristics of the system proposed in the report are as follows:
- The system would cover the whole of the New York Secretariat (including UNDP and UNICEF) and also, under arrangements to be determined, the staff of the Geneva Office, UNCTAD, UNIDO and the regional economic commissions;

The equipment would be sufficiently modern for computer terminals [preferably in the form of television screens with facilities for printing out the information appearing on the screen; or, if this is too expensive, in the form of typewriters connected directly with the computer and capable of receiving and delivering messages] to be available to the Budget Division and to the Divisions of Recruitment and Personnel Administration (and very likely to OTC, UNDP and UNICEF as well);

352. The job descriptions would have to state precise specifications, and their classification would have to be closely co-ordinated with the classification developed for the Candidates Roster itself, so that candidates could be matched to posts;

The computer inputs would be prepared in such a way that the P.5s (printed personnel action forms) were filled in on a typewriter of the kind that could produce a computer-legible document, thus saving a great deal of time and eliminating a source of error.

Above all, such a system would put an end to the present unnecessary distribution and multiple production of computer input documents;

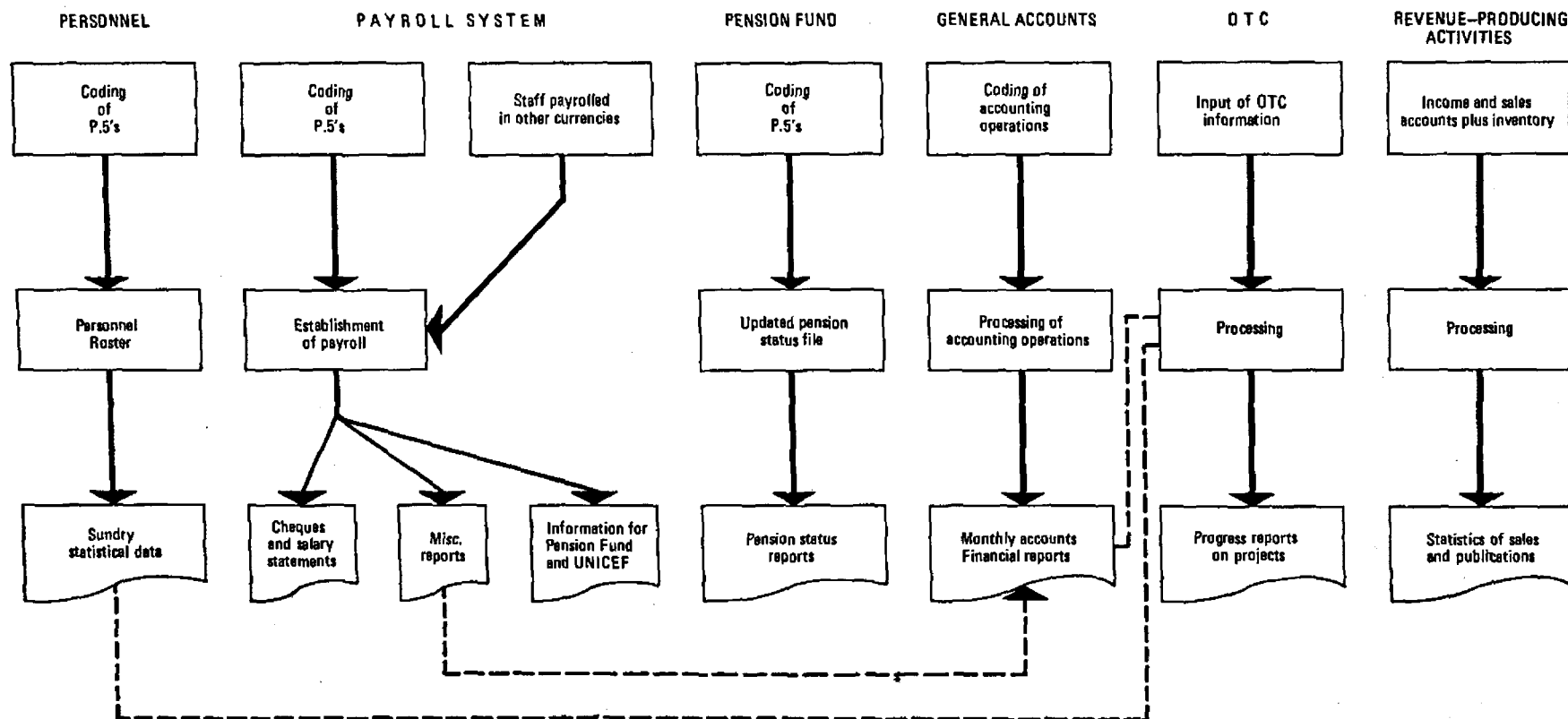
The Personnel Master File would contain all the information required for the administration of each staff member, regardless of the rules and regulations under which he was appointed, and in particular (provided that some way was found to keep certain information confidential) the data contained in the personnel records (fact sheets), which would themselves be kept up to date by the computer.

353. The Personnel Master File would thus become the nucleus of an integrated system. A quick comparison of the present state of computer utilization with the proposed system can be made from the following flowcharts, which have been highly simplified.

Figure VI-1

EXISTING SYSTEM AS OF 31 DECEMBER 1970 - UNITED NATIONS

Simplified from the presentation given in the Kien report

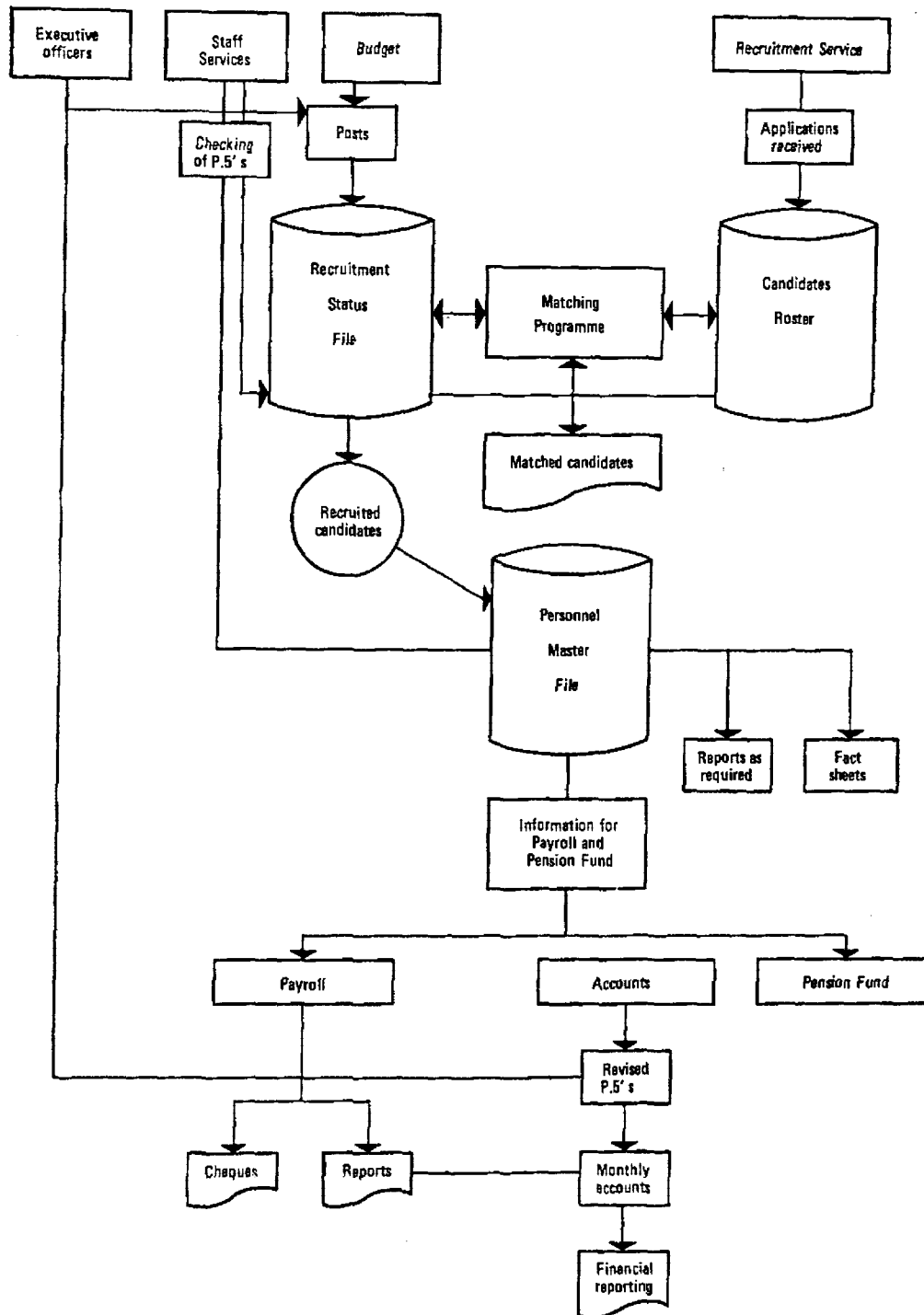


The flowchart clearly shows the lack of connexion between the different systems and the threefold use of the P.5's (printed "personnel action" forms recording each change in the status of individual staff members).

Figure VI-11

PROPOSED UNITED NATIONS SYSTEM (Kien report, 13 February 1970)

Simplified presentation



The integration of the proposed system is clearly brought out : the P.S.'s are used only once ; importance of the three master files.

354. A system of this kind, which would be infinitely more coherent and rational than the present system, is unfortunately still on the drawing-board and does not seem to have been seriously considered so far by those responsible at the highest level of Secretariat administration.

The studies which followed the publication of the report were left to an Inter-Office Action Group which had been set up earlier (at the end of 1968). This Group did the detailed precision work required to make some of the proposals in the Kien report operational, but does not seem to have received all the support that would have been needed for effective and rapid progress.

355. Probably because of its publication date, the Kien report does not describe the computerized system used by the Technical Assistance Recruitment Service (TARS) since the beginning of 1970.

This system regularly produces a statement on the recruitment of technical co-operation experts showing, by country, the names of the candidates, dates of interview, titles of posts, dates of availability, Governments' replies, confirmation of offers of appointment and so on, the names of the candidates being obtained from the roster.

TARS is giving active consideration to a more systematic and comprehensive use of the data on file in the roster of experts.

356. The problem of recruiting experts obviously has much in common with that of recruiting Professional staff to the Secretariat, and it seems to me desirable that common methods of computerized sorting from the roster should be applied in both cases whenever possible.

In this connexion, the experiment which was made - thanks to the assistance I received from the Accounts Division, the Office of Personnel and the International Computing Centre - in the process of preparing this report has made it possible to complete the first stage in the compilation of a more comprehensive personnel roster.

It proved possible to computerize the processing of certain data in the personnel records (fact sheets) for all Professional staff on the United Nations payroll in New York, Geneva and Vienna, including UNCTAD and INIDO (with the sole exceptions of the Office of the United Nations High Commissioner for Refugees and the International Court of Justice).

357. As a result, 2,520 cards have been analysed; for each Professional staff member, the input data included name, date of entry on duty, length of university education, duration and nature of any employment held before joining the United Nations Secretariat, knowledge of languages and particulars of career in the United Nations so far (grade, type of assignment and type of appointment).

Annex VI.1 gives the coding instructions laid down on 7 January 1971.^{1/}

Chapter II of the present report, on the composition of the Secretariat, gives the essentials of the information obtained through this important operation, which was carried out between November 1970 and May 1971.

This step, which was essential to the preparation of the present report, has probably made a lasting^{2/} contribution to the Personnel Master File as envisaged in the Kien report. It should, however, be regarded merely as an intermediate stage in the advance towards a more comprehensive and ambitious solution, which will be described in section III of this chapter.

(2) UNCTAD, UNIDO, WHO, UNESCO and other organizations

358. Outside New York Headquarters, methods of using computers for administrative purposes, whether in the United Nations (UNCTAD at Geneva and UNIDO at Vienna) or in other organizations, have developed at uneven rates.

Broadly speaking, however, they differ very little from those used in New York, except in the cases of UNCTAD, UNIDO, WHO and, in particular, UNESCO.

A. The commonest situation

359. On the whole, the personnel rosters are scarcely used for any other purpose than the compilation of certain statistics, and have only a rather tenuous connexion, in what has now become a stereotyped form, with the payroll system.

^{1/}By Mr. Nottidge of the Office for Policy Co-ordination, Office of Personnel.

^{2/}Provided that the information is kept up to date.

This applies, in particular, to FAO (cf. Henderson report, volume II, pp. B.13 and B.14), which maintains for administrative purposes a system of general payroll accounts and personnel statistics; to IAEA (volume II, p. C.11) (accounts and payroll system); and to the ILO (pp. D.4 and D.5), where the payroll and personnel records systems are regarded as less than perfect and in need of modification and improvement.

B. WHO, UNIDO and UNCTAD

360. WHO, in contrast, has achieved a measure of integration, the "personnel action" form being used as the basis of an integrated payroll, budget and accounting system (above-mentioned report, p. E.12).

UNIDO also has a single source of information for its payroll system and personnel reports. It has, in particular, developed its roster of experts and worked out a system for selecting possible candidates from it. A similar programme is in preparation for recruitment to the Secretariat, together with arrangements for participation in the information system for the technical co-operation programme.

UNCTAD has also developed a personnel information system (described on pp. J.15 and J.16 of the Henderson report), which seems to have reached an appreciable degree of refinement.

C. The UNESCO system

361. The system developed by UNESCO, which was in process of installation at the beginning of 1971, is based on two "integrated" and interconnected systems:

An integrated system of personnel management;

An integrated system of financial management.

The former, which concerns us here:

Is based on the differentiation of posts and persons;

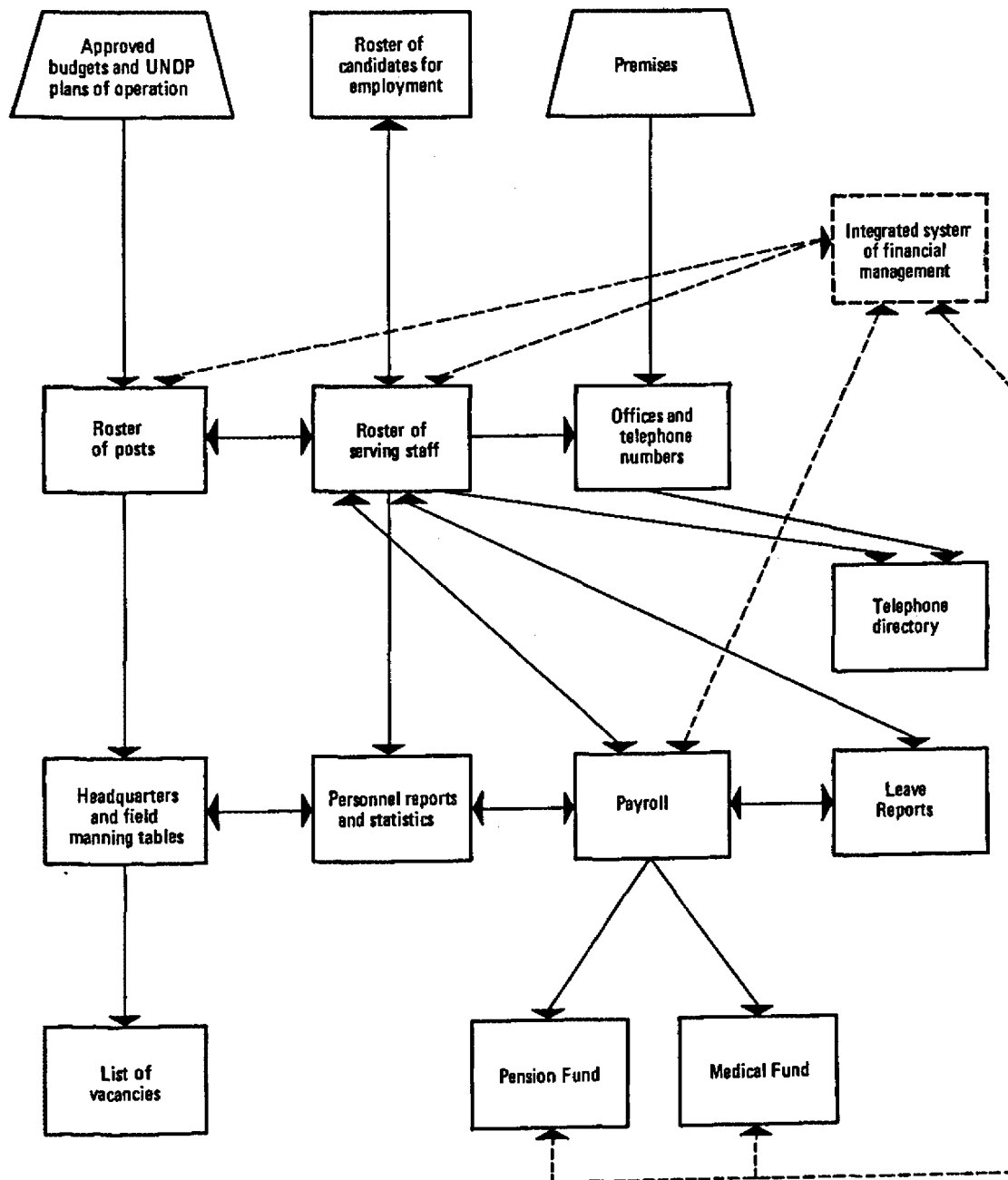
Has the original feature of treating all the serving staff as potential candidates for all vacant posts;

Actually produces from the same input data the payroll, personnel statistics, manning tables, the list of vacancies, and the information required for the Pension Fund and the Medical Fund.

The UNESCO Office of Management and Data Processing presents this system in the form of the attached flowchart.

Figure VI - III

THE UNESCO INTEGRATED PERSONNEL MANAGEMENT SYSTEM



Although the presentation differs from that of the system proposed for the United Nations, the three master files are still to be seen and the similarity of the links between the various systems is apparent.

362. Although this presentation differs in technique from that adopted by the Kien report for the United Nations (desirable system), a comparison of the two flowcharts will show:

That in both cases the system is based on man-job matching (between rosters of posts and two main personnel rosters, one for serving staff and the other for outside candidates). However, the method of matching is not exactly the same in both cases, the United Nations tending to rely solely on outside candidates and UNESCO to consider both outside candidates and serving staff;

That in both cases the staff payroll system is based on the personnel roster, and that the links with the Pension Fund and general accounts are practically the same.

363. The main difference is that the UNESCO system is in process of installation while that of the United Nations is still on the drawing-board. It would seem, therefore, that a good way to make use of inter-agency co-operation would be for the United Nations to be guided, in matters of detail, largely by the applications of the system already developed by UNESCO.
364. More generally it seems to me regrettable that the research undertaken by the various organizations with a view to making more use of computers should be so sporadic. Methods have not been harmonized, either between organizations or even between units of the same organization. Instead everyone seems to pride himself on doing something original in this respect. Unfortunately the report by the Auditor General of Canada is not detailed enough to provide information on which action can be taken to increase standardization; there is a very serious gap here which the Inter-Organizational Board will no doubt try to fill.

II. MODERN METHODS OF PERSONNEL MANAGEMENT

365. This rapid review of the systems used by the United Nations and the specialized agencies shows that there is still a long way to go in the direction of modernization. But, before making the effort this will entail, it is necessary to have a clear idea how far such an effort would be economic and even, more generally, whether it would be worth while.

The modernization of methods, after all, is not an end in itself; it is pointless unless it substantially enhances the quantitative or qualitative performance of the units concerned or reduces the cost of management.

It is therefore necessary to consider the range and scope of the services which modern computerized methods of personnel management can render.

(1) General principle

366. It is common knowledge that the first use made of the computer for personnel purposes was in accounting, for the calculation of pay slips. This application is now very widespread and, as we have seen, the payroll system in most of the organizations, and in the United Nations in particular, is now computerized.

On the other hand, the use of electronic data processing (EDP) for purposes of recruitment, day-to-day management, the production of statistical returns, career organization or the formulation of medium-term and long-term personnel policy seems still to be at an early stage of development. The applications which are beginning to gain ground are mainly concerned with the production of statistical returns (from which to prepare a periodic "instrument panel reading") or the use of recruitment rosters. More comprehensive experiments seem to be few and still difficult to transpose, since personnel requirements vary according to the nature of the enterprise or agency and the modus operandi has not yet been strictly defined.

367. However, the basic principle on which to build up ad hoc systems capable of satisfying a large number of needs was established several years ago. Quite simply, it is that of man-job matching.^{1/}

^{1/}As in the system proposed by Mr. Kien for the United Nations and in the UNESCO system.

It is easy to see that, if a fairly precise description of job vacancies is compared with a description of the qualifications possessed by a given number of applicants, a pre-selection or selection can be made for staff recruitment purposes, provided that the number of posts to be filled and, more particularly, the number of candidates coming forward are large enough.

Such a method may thus be of interest primarily to employment agencies, as they have to process a large number of cases of demand and supply; but it may also be of use to any enterprise or agency which recruits substantial numbers of staff or which finds recruitment a difficult task.^{1/}

368. It was soon realized, however, that man-job matching was far more than a mere ancillary mechanism for recruiting. This principle can be applied not only to job vacancies and possible candidates for those jobs but also to all existing posts and serving staff. It is then only necessary to try to extrapolate the development of jobs and men into the future, and we arrive at the concept of personnel management by forecast. With such an application it should be possible to foresee the discrepancies that might arise between the development of programmes and the possibilities of carrying them out, and hence to determine the means either of obtaining and retaining the personnel needed to pursue a particular policy, or of selecting policy according to the personnel available.^{2/}

^{1/} A system of this kind, of course, cannot work properly unless it is fed by a mechanism capable of finding an adequate number of candidates with qualifications approaching those required. This means using a method of advertising which does not, at present, depend on the computer unless recourse is had to an employment agency which itself uses the man-job matching system.

^{2/} Concise bibliography;

G. Huber and C. Folkner, "Computer-based man-job matching: Current practice and applicable research", Socio-Economic Planning, vol.3, December 1969, pp. 385-409. This article is mainly concerned with methods of recruitment and possible theoretical models, forecasting models and man-job matching models to facilitate file retrieval and the sorting of applications;

Edward Morrison, "Developing a computer-based employee information system", American Management Association Research, Study 99, 1969;

J. Agard and J. Worster, "Gestion et embauche du personnel à long terme: programmation linéaire et simulation", RIRO, 1968, pp. 71-82.

369. Besides studying the bibliographical material referred to in the foot-note, we reviewed the use now being made in France^{1/} of these methods of personnel management by forecast. As a result of our rapid survey,^{2/} we can describe them briefly as follows:

The purpose of these methods is essentially to provide a medium-term and long-term forecasting system which an organization can use to maintain, at all times, what may be called the "man-job balance". The problem may be illustrated by the following example:

If, in a given organization at a given time, pyramid A is taken to represent the staff and pyramid B the jobs, the two pyramids will evolve over time:

- (a) In response to aging, separations training, transfers and recruitment;
- (b) In response to changes in the quantity and quality of the activities of the enterprise.

Since jobs and staff do not follow the same pattern of change, deficits and surpluses occur. The methods of forecasting should be such as to make it possible for steps to be taken in advance to keep the situation permanently in balance.

370. These methods should also be such as to give the staff a measure of security by clearly indicating the career prospects for those who wish to stay with the organization. This aspect is of particular interest to organizations which give permanent appointments to a large proportion of their staff. In short, what is needed is to lay a foundation for tracing out career profiles (making the most effective possible use of the official or employee in successive posts according to his seniority and experience) and for formulating policy with regard to in-service training.

^{1/} Owing to the limited time at his disposal, the author of the report was unable to study practical applications in other countries.

^{2/} These methods are now being proposed by various firms of consultants (such as EUREQUIP, which provided us with the essentials of the description of the methods reviewed in paragraphs 369 to 372, and CEGOS) and are being used not only by big firm but also by civil service departments: the French Ministry of Equipment and Housing (application to 4,000 engineers), AIR FRANCE, CRTF (application to 5,000 officials), etc.

(2) Methods

371. The methods adopted vary according to the concern for modernization prevailing among the directors of the organization in question, but in any case standards of classification must always be laid down for the personnel roster and for the job evaluations or job descriptions; and this entails, in particular, distinguishing separate "ladders", at least as between the technical and the administrative side. Lastly, setting the level of remuneration for the different posts entails the use of external benchmarks as determined on the labour market.^{1/}

It is of course necessary to know as much as possible about the forecasts of the organization's activities; the horizon to be chosen is usually three to five years away, with a longer-term view over ten to twenty years. Generally speaking, the medium-term horizon is the one needed in determining career prospects for the staff; it is also of concern to the organization itself, though less directly and less tangibly.^{2/} These forecasts of activity must be converted, after consultation either with the central planning body alone or also - and more particularly - with the managements themselves (what are known in the United Nations as the substantive departments), into a "prospective job structure". Expressed in different terms, this amounts to preparing a long-term plan of recruitment, promotion and assignment.

372. Several models of management by forecast have been constructed, all of them so complex as to require the use of a computer. This research, which we shall not describe in detail here, has shown that there is a need:

To establish standard career profiles open to the different vocational groups;

To use methods for simulating the aging of a population and of serving staff and for simulating promotion according to posts falling vacant.

^{1/}It will be seen from this that the question of benchmark jobs, which has been under consideration by ICSAB, is a very general problem that crops up in any organization whenever personnel policy has to be formulated; in other words, the term "ladders" corresponds to what we have described as "vocational groups".

^{2/}This again points to the need for a medium-term and a long-term programme - an acknowledged concern of the United Nations - and brings out the direct relationship between programming and personnel policy.

These models and methods of calculation indicate in particular:

That there is a direct connexion between the amount of in-service training provided and the wealth of career profiles open to the staff;

That, if an organization cannot offer all its staff an optimum career, it may, to make up for this, help some of the staff to find work elsewhere by enhancing their value on the external labour market.

373. This rapid survey of the most modern methods, coming after our review of the experiments already tried in the United Nations family, shows that the proposals made in chapters IV and V above on the subject of recruitment methods and career planning are consistent with the general trend of the most up-to-date methods and should make it much easier to use the computer.

This means that the computer can be called upon:

Not only to make up the payroll and propose some summary statistical returns (which it already does);

But also to help in operations connected with:

Day-to-day management (preparation of working papers);

Recruitment (sorting of applications);

Promotion (keeping account of marks and classifications);

Assignment (career planning);

Medium-term and long-term forecasting and formulation of personnel policy;

And even keeping personnel policy under continuous surveillance through the "instrument panel".

III. STUDY OF THE TYPE OF SYSTEM POSSIBLE

374. An attempt will be made here to outline a system of computer utilization. The amount of detail will not be enough for immediate application of the system, but will be such that an operational system can be worked out very quickly.

No claim is made that the proposed model is the only possible one; its purpose is to provide a basic outline for the system which, after further study, discussion, adaptation and modification by those concerned, could very rapidly be brought into use.

Since this will entail going into a degree of detail that may sometimes be tedious, the information required to give the users of the system all the guidance they need (list of input data, etc.) has been relegated to a number of annexes.

375. The organization of the proposed system will be explained in three sections:
- (1) Input data and documents;
 - (2) Nomenclatures and files; specific problems of the university level;
 - (3) Output documents.

(1) Input data and documents

376. The input data required relate to posts, qualifications, persons and the description of the future situation.

A. Job descriptions and descriptions of qualifications

377. The preceding chapters have demonstrated the importance of differentiating between descriptions of qualifications and job descriptions.

The descriptions of the qualifications required for a particular post or for admission to a competitive examination (cf. chapter IV) should be much less numerous than the number of posts. We have in fact counted forty (four recruitment levels for ten vocational groups) that can be regarded as standard basic descriptions of qualifications. To these must be added the

descriptions of qualifications for specialists (of the field expert type) recruited to meet the Secretariat's needs in exceptional cases; there should not be more than a few dozen of these, and not more than a hundred at the very most.

Annex VI.2 enumerates the input data corresponding to these two kinds of documents. The descriptions of qualifications are essential to the compilation of the reserve recruitment roster.

378. The job descriptions have a different purpose. They are mainly required for assignment (placement), promotion, career planning and, of course, the identification of vacancies. They should each include a reference to a description of qualifications, but their main object should be to indicate the principal characteristics of the post in terms of its identity, nature and place in the hierarchy and programme organization, and to state the conditions of service and the terms of the offer of employment (e.g. the date on which the post will fall vacant).

Annex VI.3 lists the particulars which might be selected for inclusion.

379. It would appear that the input documents to be used for these two series of data should be the following:

Documents indicating the standard qualifications, prepared once and for all or subject to review, possibly every six years (coding of documents prepared in clear for recruitment purposes);

Documents indicating exceptional qualifications, prepared, for the particular post requiring those qualifications, at the time when the post is put up for recruitment;

Documents for post identification, revised and supplemented annually in the vote on the budget, and prepared by the Office of Personnel and the Budget Division with the approval of the substantive departments concerned, by 15 January at the latest each year;

Documents changing the characteristics of a post (issued as and when a decision to that effect is taken in the course of the year).

B. Description of persons

380. It is obviously necessary to make a distinction here between applicants from outside the Organization and persons already serving in it (who are regarded as possible candidates and who include seconded staff).

The main items of information to be included are as follows:

In all cases: identifying particulars, university education, knowledge of languages and other subjects, and history of employment;

For serving staff: the same information plus a detailed history of service with the United Nations and an exact record of grade and of all particulars affecting the payroll;

For candidates from other organizations: a similar description of their career there.

Annex VI.4 lists the items of information to be included.

381. The input documents used for this purpose^{1/} should be the following:

Particulars of civil status and qualifications supplied when the staff member submitted his application (form P.11 for Professional staff and form P.13 for experts); the present forms will of course have to be redesigned for direct use as computer input documents;
Documents indicating changes that have taken place since the application was submitted, i.e.;

For serving staff: form P.5 (redesigned for the same purpose as form P.11);

For candidates on the reserve roster: the annual document revising and updating their particulars in the roster.

Lastly, in order to record the marks awarded to serving staff, the new periodic reports.

^{1/} In the case of serving staff, the operation described in paragraphs 41-43 above has already enabled us to feed into the computer a large body of data from the personnel records (fact sheets). Hence all that is needed in order to pass on to the next stage is to add data on university level and qualifications, and to keep the information up to date.

C. Description of the future situation: career plans and promotion forecasts

382. The content of the career plans was described in the preceding chapter. Translation into computer language for forecasts of assignment and of training requires an exact description, with dates and degrees of forecasting probability. Annex VI.5 lists the information which I consider might be included.

The use of standard plans should make for easier operation here.

Similarly, if the computer has memorized the length of service of the serving staff, their grades and the marks awarded to them, it should be able to make (using a method or "code" of the type recommended in chapter V, section II(1) C) individual promotion forecasts which can be used in the preparatory work for the promotion operations proper.

383. The input documents to be used in this connexion are:

The standard career plans (after coding);

Supplementary documents indicating any exceptional deviation from the standard career plans or any changes made at a later stage;

For promotion purposes, the numerical classifications awarded in the periodic reports.

(2) Technical nomenclatures and files required for the utilization of the input data: specific problems of the university level

A. Nomenclatures needed in preparing the input documents

384. A large proportion of the input documents enumerated in annexes VI.2, 3, 4 and 5 would not be easy to identify without nomenclatures giving full particulars of their possible contents and the corresponding instructions for coding.

This applies, for instance:

In the case of job descriptions, to:

- Post numbers;
- References to the programme and budget;
- Types of occupations (or assignments);
- Lists of departments and units;
- Duty stations;

In the case of descriptions of persons, to:

- The list of nationalities;

In the case of descriptions of qualifications, to:

- The list of languages;
- The list of professions;
- Types of university-acquired knowledge, etc.

385. Some of these lists already exist, having had to be compiled for present uses of the computer. This applies, for example, to the lists of languages and the list of types of occupations or assignments (cf. annex VI.8, which indicates the kind of changes that should be made in these lists, as visualized in chapter V, section II(2) B(a)).

Others may be borrowed from agencies that have already tackled the problem, such as UNESCO: coding of types of decisions, coding of countries and regions, coding of specialized professional fields, etc.^{1/}

Others have still to be drawn up.

We have not completed the work on this subject; to do so should be one of the responsibilities of the task force if the main proposals made in this chapter are approved.

We have, however, thought it necessary to propose a solution for one of the most difficult and delicate problems: that of the nomenclature to be used for estimating the university level. This entails using something in the nature of a system of equivalences of degrees.

^{1/}See UNESCO, "The integrated personnel management system", chapter V.

B. Nomenclature relating to the university level

386. We have seen from chapter II that it would be useful to have a precise knowledge of the university level of the serving Professional staff. Some idea can be obtained from the number of years of higher education they have had, but it is by no means adequate, and a far more accurate yardstick is needed.

A yardstick of this kind is particularly necessary for recruitment purposes; computerized selection is of no value unless it can first be used to assess and compare the candidates' basic knowledge.

A methodology still has to be developed for this purpose; on a world scale, this is an extremely complex and difficult problem. The Rules and Procedures Section and the Division of Recruitment of the Office of Personnel have been good enough to help in starting research on these lines; the main conclusion to be drawn from the investigations so far is that the problems involved are delicate and unusually complex (see annex VI.6).

The subject prompts the following comments:

387. (a) There can be no question of seeking to establish equivalence between degrees.

Equivalence between degrees is established by legal decisions which can be reached only through international agreements. Such agreements are certainly very useful, and the international agencies should promote them. UNESCO has undertaken a programme of preliminary research on the subject which will yield extremely valuable results,^{1/} but the problem to be solved here is appreciably different: the point of view is that of an employer who requires access to enough information for a rough automatic classification of candidates.

^{1/} UNESCO has already published, in French, an international glossary of current terminology relating to degrees, etc. Further work on this subject is to include publications on degrees in mathematics, international law and engineering and on school-leaving certificates, to be followed in 1971, 1972 and 1973 by a number of dictionaries and documents on the communication sciences, biology and the education sciences. The programme as a whole seems likely to be completed by 1974. The spirit in which the research is being done is, in the main, academic and university-oriented. The aim seems to be to forge international tools for the preparation of equivalence agreements. This approach differs from that which would be made by anyone wishing to use such tools in the recruitment of Professional staff; it does, however, lay a firm foundation for more specific research.

388. (b) A classification not related to vocational groups would be meaningless.

The problem is not one of trying to set any sort of absolute value on a person's intellectual or cultural level, but of ascertaining his level of professional competence. Degrees vary in importance from one discipline to another, and the classification by "level" must therefore be related to a specified type of activity such as that of one of the vocational groups proposed in this report. The same degree can thus be given different ratings according to the vocational group for which it is being considered.

389. (c) The first requirement is a classification of university levels by country.

On the national scale it is not too difficult a task to classify degrees according to level of competence in a particular field of activity; qualified national specialists in the field concerned can make such a classification quite easily.

A nomenclature of university levels should therefore be compiled by country and by vocational group; and highly qualified specialists in each country should be asked to do the work. The individual files could readily be classified according to this national and professional nomenclature, which could easily encompass as many as seven or eight different levels in each field of activity.

390. (d) Only then will it be possible to pass on to a comparison, within the same professional field, of the levels attributed to certain kinds of degrees in different countries.

The extreme difficulty of this classification may be reduced by keeping it to two or three levels, which are sufficient for a first automatic sorting of candidates.

391. (e) The method of preparing a nomenclature recommended here can thus be summed up as follows:

The first step should be to attempt a detailed (seven-level or eight-level) classification of university levels by vocational group and by country;

This work should be entrusted to qualified national specialists, who would make a preliminary report on the lines of a model prepared by the Division of Recruitment and Training Service of the Office of Personnel; A two-level or three-level classification should be prepared by a committee of four or five experts of different nationalities, who would be able to consult national specialists in each case;

The resulting nomenclature should be kept as an internal working tool for the computerized preliminary sorting.

(3) Output documents

392. Here follows a list of the principal output documents, showing their main characteristics and periodicity.

They may be classified under the following headings:

A. Documents needed for day-to-day management

Personnel records (fact sheets). These documents, which are at present drawn up by hand, contain a summary of the P.11s, the P.5s and the periodic reports. They were used as input documents for the operation described above, which was carried out while this report was in preparation, between November 1970 and April 1971. In future, however, since the entries come from the P.11s, P.5s and periodic reports, the personnel records can be prepared by computer. Their format and presentation will have to be adapted for this purpose;

Manning tables. These documents are theoretically a product of the Office of the Controller. Those now in use are drawn up by hand; what is more important, they are not uniform, but vary in content and layout from one unit to another, and this makes them difficult to use.

It is obviously vital to establish one model comprising the essential day-to-day management information for the Controller (Budget Division and Accounts Division), the Director of Personnel and the substantive departments. Annex VI.7 contains a list of the data which, in my opinion, a manning table should cover;

As a by-product of the establishment of the manning table, a list of vacant posts and a list of posts which will fall vacant within three months (stating the reason for the vacancy), within six months and within a year.

The personnel records should be prepared annually, on the understanding that an individual personnel record can be prepared on request whenever necessary, and updated to the day; the manning tables should be prepared quarterly and the list of vacant posts monthly. The forecast of posts due to fall vacant within the year should be produced quarterly.

B. Documents needed for recruitment

393. The main necessity for recruitment purposes, as we have seen, is to establish the central reserve roster.

On the basis of the lists of posts vacant or due to fall vacant, and of the long-term recruitment plan, a list should be drawn up showing the posts to be filled by particular dates.

For each post in this list, the computer should extract from the central roster on demand a list of the available candidates on the roster, classified in order of preference. This automatic sorting process should greatly reduce the number of interviews required.

C. Documents needed in drawing up the long-term recruitment plan

394. A detailed list of these documents (LTRP 1 - LTRP 72) has been given in annex IV.6.

D. Documents needed in drawing up a long-term career plan

395. These documents consist of those relating to training and those relating to assignments.

(a) Documents for the planning of training

Periodic statistics, classified by certificates, of applications made by Secretariat staff members for training courses;

List of staff members applying for permission to study for a particular certificate in the course of a year, with essential particulars of the applicants.

(b) Documents relating to assignments

Statistics of total applications for assignments made by Secretariat staff members, by duty station and by type of assignment;

List of names, with particulars, of the candidates for these types of assignments.

E. Documents relating to the planning of promotion

396. Automatic classification of staff members by number of promotion points in each grade and in each section of a grade (spanning four years);
- List in order of merit, with essential particulars, of the staff members concerned.

F. Composition of the Secretariat: annual regime for the statistics as a whole

397. The various annexes to chapter II provide a preliminary list of the documents already obtained. These documents are far from adequate and far from complete. It should be possible to consult comprehensive analytical tables showing every possible combination of information on sex, age, nationality, university level, date of entry on duty, grade, languages spoken, previous employment, career development, vocational groups, types of assignments, departments and offices, etc.

G. The "instrument panel" and ratios as a means of formulating personnel policy and keeping it under review

398. Chapter II of this report provides, in outline, what might be made into an annual description of the composition of the Secretariat under the principal headings of interest for purposes of personnel policy.

In the years to come this very brief outline might be expanded into a full and valid description if the computerization programmes just described were carried out.

A description of this kind would be of more than purely academic interest. It would make it possible to establish a clear-cut and realistic personnel policy, and the computer would also provide a means of keeping that policy under continuous review by means of what might be called an "instrument panel".

Statistics from which to formulate a policy and supervise its application are produced at the present time for purposes of geographical distribution; but personnel policy should obviously deal with other aspects of the composition of the Secretariat, and in particular with all those which are of help in assessing the efficiency of the existing machinery.

399. Thus, besides ratios measuring the application of geographical distribution, there should be ratios concerned with the general level of competence of the Secretariat (e.g. the level of knowledge of languages and of general university education by grade, etc., the level of practical knowledge, certificates of professional training, etc.); with questions of age and the age/grade relationship; with the proportion of women on the staff; with the time taken to carry out various tasks; with career planning; with the performance of the various functions, and so on.
400. On the basis of the existing figures and the desired trends, a Director of Personnel would be able not only to chart the general lines of policy but to translate them into a detailed plan of improvements and to propose to the Secretary-General, and through him to the General Assembly, a programme for changing the existing situation in specified proportions in the various respects mentioned above. The changes would be brought about within stated time-limits by action in the fields of administrative organization, recruitment, training, career planning and so on.

401. The following table contains a list and classification of the different kinds of ratios that could be used in setting up a permanent "instrument panel" which the Office of Personnel could consult at any time in order to check on the day-to-day efficiency of its work.

Table of possible ratios for use in setting up an "instrument panel"

- A. Concerning the level of competence and hence the potential efficiency of the existing Secretariat:

Level of basic university-acquired knowledge

Proportion of staff members in each vocational group and in each grade at the various levels defined in the nomenclature relating to the university level (section III(2) B above).

Level of professional training

Proportion of staff members in each vocational group and in each grade who have attained, either before recruitment or through in-service training, a particular level of professional competence (level defined as indicated in chapter V above).

Level of knowledge of languages

Proportion of staff members in each vocational group and in each grade possessing a thorough knowledge, at level 0 or 1, of two working languages, three working languages, four working languages, etc.

- B. Concerning the age/grade relationship:

Average age in each grade and in each vocational group

Proportion of Professional staff under thirty years of age, between thirty and forty years of age, etc., in the Secretariat as a whole and in each vocational group;

Idem by grade and vocational group.

C. Concerning geographical distribution:

Degree of fulfilment of the General Assembly's wishes regarding the "desirable range" for purposes of geographical distribution

Information of the kind at present provided in the report on the composition of the Secretariat.

D. Concerning the efficiency of the functions performed by the Office of Personnel:

Time taken to recruit Professional staff

Extreme and average figures for current recruitment.

Quantitative index of vacancies in each unit

Number of vacancy/months in each unit per year.

Cost of recruiting a Professional staff member, a General Service staff member and a consultant

Cost figure in each case.

Use of rosters and recruitment operations

Ratio of the total number of cards on suitable and available candidates to the number of persons recruited per year in each vocational group.

Ratio of the number of candidates to the number of passes in each recruitment examination.

CHAPTER VII

LEGAL STATUS, CAREER STRUCTURES, LEVEL AND COMPOSITION
OF REMUNERATION

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CHAPTER VII. LEGAL STATUS, CAREER STRUCTURES, LEVEL
AND COMPOSITION OF REMUNERATION

402. The purpose of this chapter is to determine what legal measures are needed to carry out the reforms proposed in chapters IV, V and VI above.

But before these measures are described in detail, the problem must be viewed in a more general context.

We shall therefore consider in turn:

- I. The dimensions of the problem as a whole;
- II. The measures needed in order to carry out the proposed reform.

I. THE DIMENSIONS OF THE PROBLEM AS A WHOLE

(1) General revision or piecemeal reform

403. The reforms proposed in the preceding three chapters are concerned essentially with:

Changes in methods of recruiting and preliminary training;
A revolution in incentive techniques (marking and promotion);
The introduction of genuine professional training, supplemented by the planning of assignments;
General modernization of management and forecasting;
Revision of the concepts (vocational group, level of qualifications, etc.) used in defining professional calibre and efficiency;
The establishment of closer ties (training, secondment) between the international civil service and national civil services.

404. This approach to the problem of formulating personnel policy is both ambitious and modest:

It is ambitious in that it entails using difficult methods and techniques to bring about a major increase in the efficiency of the Secretariat in the service of international co-operation;
It is modest in that it contemplates no fundamental change in the existing structures.

405. From this standpoint the approach made to the problem by the General Assembly in its resolution 2743 (XXV) of 17 December 1970 is far more drastic.

This resolution sets up a Special Committee for the Review of the United Nations Salary System and, in paragraph 2, requests the Special Committee "to undertake a thorough review of the long-term principles and criteria which should govern the whole United Nations common system of salaries ... and to report, inter alia, its conclusions and recommendations on ... the structure of categories and grades which will best enable the

international civil service to discharge its functions with efficiency and reasonable economy."^{1/}

In thus combining in a single study the problem of the level and composition of remuneration and the problem of career structures and their adaptation for the purpose of making the international civil service as efficient as possible, the General Assembly seems to be opening the way to a general revision of principles and structures which goes well beyond the proposals made in this report for the reform of methods.

There is no denying that, after twenty-five years of operation, such a drastic revision of the United Nations system is wholly desirable. On the other hand it seems doubtful that such a revision can be carried out in a few months, no matter how great an intellectual investment is made; it will probably take several years to meet the prerequisites for solving all the problems that will arise.

To the extent to which a speedy solution is desired, therefore, it would seem necessary to discriminate between the various conceivable measures according to the time required for their study.

^{1/} The full text of paragraph 2 of the resolution reads as follows:

"The General Assembly,

...

"2. Requests the Special Committee to undertake a thorough review of the long-term principles and criteria which should govern the whole United Nations common system of salaries, allowances, grants, superannuation and other benefits and to report, inter alia, its conclusions and recommendations on the following:

(a) The structure of categories and grades which will best enable the international civil service to discharge its functions with efficiency and reasonable economy;

(b) The base of the system;

(c) The principles which should govern the establishment of the salary scales and other conditions of service for the various categories;

(d) The level of salaries and allowances, and the fringe benefits for the various grades;

(e) Such other matters concerning the system as it may deem relevant;"

406.

(2) Analysis of the problem

The cardinal technical problem of the career structure calculated to yield the best return, and of a decent level of remuneration for international civil servants, may be divided up into a number of specific questions, including^{1/}:

The definition of the concept of the career and determination of the position of staff recruited on fixed-term appointments;

The number of categories of officials which are distinguishable from one another by the levels of qualifications required and by the initial and final rates of remuneration, and which correspond to different functions; here the choice is usually limited to either a two-tier system ("commissioned and non-commissioned officers") or a three-tier system ((i) conception, management and research; (ii) administration; (iii) execution)^{2/};

The importance to be given, within these separate categories, to specialized professional fields. The problem of what are described in this report as "vocational groups" is open to several different solutions, the most drastic being the establishment of several groups within a single category: for example, in a civil service of a technical nature, an engineers' group distinct from the group of administrators, etc.;
The internal organization of careers in the different categories recognized: number of grades and steps, average career curve, etc.;

The problem of the level of remuneration, which cannot be stated clearly until the preceding problems have been solved, and which can be solved in its turn only through comparison with other existing systems or through a direct market study covering a long period;

The problem of the composition of remuneration - the size, nature and number of the allowances which are to supplement the base salary, and so on - a problem inseparable from that of conditions of employment.

^{1/} The problem summarized here is stated in a more detailed and more theoretical form in annex VII.1.

^{2/} See paragraph 421, footnote 1.

407. The answers given to these questions in the United Nations at the present time may be summarized as follows:

The staff is divided between career officials and fixed term appointees in a ratio which, for the Professional staff, averages 3:1^{1/}. Of the fixed-term appointments, about 63 per cent are renewed in various ways and 37 per cent are not renewed or are cancelled. Hence officials who stay only for the duration of a single appointment represent about 9 per cent of the total staff in the Professional category;

The system of two main categories (Professional and General Service) has of course been adopted, with a certain amount of percolation from one category into the other through the promotion to grades P-1 and P-2 of General Service staff who have reached the summit of the grade pyramid in their own category;

For both categories, the system adopted, at least so far as legal status is concerned, is the single career system without differentiation by specialized field. As we have seen, a number of "vocational groups" exist in practice, with specific career characteristics of their own, but no legal distinction is officially made between them and officials pass from one specialized field to another without first being trained or examined; The spread of the scale of remuneration between the beginning and the end of a career is determined in principle by comparison with the United States civil service. In practice it is narrower because grade P-1 is hardly used any more. The number of grades is thus reduced in practice to six (P-2 to D-2), and for most officials to three or four (P-2 to P-4 or P-5);

The form of the grade pyramid has not been arrived at by deliberate choice. Successive approximations and creations of new posts have led to a typical historical process, i.e. a slight flattening of the grade pyramid (cf. document A/C.5/1307 on the nature of the increases in the level of expenditure

^{1/} The theoretical ratio is 75:25, the real ratio 70:30.

in the United Nations regular budget); but we have seen in chapter II of this report that this general pyramid is meaningless unless it is accompanied by a separate grade pyramid for each vocational group;

Lastly, with regard to the composition of remuneration, a complex system of allowances and of payroll deductions from a theoretical gross salary has been worked out, including a post adjustment for cost of living at the duty station, dependency allowances, education grants, and deductions for staff assessment and pension contributions.

408. A drastic revision would entail reconsidering each of these types of choices. rapid survey will show that all the data needed for appraisal and reply exist, or can soon be assembled, in some cases but not in others.

(3) The problems which can be solved quickly

409. It is in fact possible to provide immediate solutions to four of these problems - the definition of the career concept; the importance to be given to specialized professional fields; the internal organization of the categories; and the composition of remuneration - but not to the two basic problems, the choice of the number of categories and the determination of a reasonable level of remuneration.

410. The technical data required in order to take a decision for or against reform in the first four cases are the following:

For determining the ratio of career officials to fixed-term appointees:

Information supplied by heads of substantive departments, for each vocational group, on the characteristics of the posts they need in order to carry out their programme; opinions of the competent specialists; classification of posts by the Director of Personnel and the Director of the Budget Division; all these items can be obtained very quickly;

411. For the importance to be given to specialized professional fields:
Information concerning the characteristics of the vocational groups performing specific functions. The ICSAB survey made a classification possible; the present report gives some information on the nature (including career development) of the various vocational groups; the decisions still

to be made relate to the levels of qualifications to be required in the future and, where applicable, the legal status to be accorded to them;

412. For the internal organization of the existing categories: There seems to be no urgent or vital need for drastic changes in the grade structure of the professional category, though some eminent authorities have suggested that it may be necessary to create a grade D-3;^{1/}

One major problem is that of the relations between the General Service category and the Professional category; in order to avoid perpetuating the practice of recruiting a sizeable proportion of P-1 and P-2 staff from among General Service staff who have reached the peak of their career, the grade structure of the General Service category should be reconsidered. The requisite background information is available in studies already made on the subject and in this report. The study of levels of qualifications also suggests that the present strict relationship between post and grade might be reconsidered;

413. For the composition of remuneration: Annex VII.3 shows some comparative data on the composition of remuneration in the United Nations and in the international organizations in western Europe. These data merely supplement the large body of information compiled by ICSAB and CCAQ in previous years. There seems, therefore, to be plenty of material, though it probably needs to be supplemented by statistical studies on the exact composition of cost-of-living indexes at certain places; such studies, however, can be carried out quickly.

(4) The seemingly insoluble problems

414. However, when we turn to the problem of the ideal structure of categories to enable the international civil service to perform its functions with maximum efficiency and at reasonable cost, and the problem of the level of remuneration, we find that the information needed is much more complex and, what is more serious, cannot be collected quickly.

^{1/} See section II (3) below on change in the number of grades.

The seemingly insoluble nature of these two problems is plain from the fact that all efforts made to solve them so far have failed.

415. As to the level of remuneration, annex VII.2 shows that the special committees and ICSAB, which were asked in 1946, 1949, 1956, 1961, 1968 and 1970 to establish or review salary scales, produced practical proposals in every case but failed to define clearly, once and for all, the basic principles which they were taking as their guide.

The principle of universality (i.e. that the salary system must be the same for all internationally recruited staff) and the principle of the adjustment required to take into account the fact that the purchasing power of base salaries varies from one duty station to another (the basis of the post adjustment system) have no doubt always been accepted. But the same cannot be said with regard to the choice of a standard of comparison, from among salaries outside the United Nations system, from which to arrive at specific figures. Various possible criteria of comparison -

The Noblemaire formula (salary scale of the best-paid national civil service);
Weighting the salary scales of a number of national civil services, especially those of the host States of organizations of the United Nations family;
Salaries of national civil servants on foreign service;
Salaries in both the public and the private sector, and benchmark jobs at the world market rate

- have all been tried in turn, but none has ever been officially adopted for permanent use.

416. The problem of the structure of categories and grades is bound up with the problem of the cost of and benefit from the Secretariat. This is one of the most exasperating and arduous problems of all. The purpose of all budget debates, all discussions in ACABQ, all management evaluation studies and all the units set up in turn to study the matter (the latest being the Administrative Management Service) has been to find out why the staff is so large, and whether the cost of the services rendered is not too high. The Member States have never been satisfied. It is admittedly the duty of any budgetary authority to be exacting in the matter of justification for proposed expenditure; but the dissatisfaction in this respect, as described in chapter I, has reached such proportions in the United Nations that

it cannot be explained away by political considerations alone; it is one of the symptoms of the "modernization crisis" which we have described.

If these two basic problems are to be approached with any chance of progress towards their solution, the following conditions must be satisfied:

417. A. The level of remuneration

It seems more and more probable that the search for a sole standard of comparison acceptable to the great majority of Member States will have to be given up as hopeless. Indeed, the question may well be asked why the United Nations should be looking for a sole standard for the international civil service when the standards adopted for fixing salary levels in national civil services, far from relying on a single source, consist of a whole set of references to salary levels in the private sector, to special conditions of employment and the like; and especially when, in the last resort, the decision depends on the supply of and demand for jobs in the sector concerned. Difficulties of recruitment are the most telling argument for a rise in salaries in a national service, and help the civil servants' unions to defend their interests.

418. In the international sector, too, the law of supply and demand is invoked when it is argued that, for instance, in order to recruit United States nationals with technical qualifications comparable to those found in the United States civil service, the salary levels must be at least equal to the level in that service.

The fact is that competition has never been openly practised in recruitment to the Secretariat; we have already seen that, in the only case in which it is practised - the competitive examinations for translators and interpreters - there is no recruitment crisis.^{1/}

419. Therefore, before the assertion is made that the present crisis in recruitment, which indisputably exists (see annex I.1), has arisen because the level of remuneration is too low, real competition should be introduced for other groups

^{1/} Difficulties are still experienced in this sector with regard to the calibre of the staff recruited, but these difficulties are not of the same order as those encountered in the other sectors.

in the Professional category. The study of the problem would therefore be substantially assisted by the adoption of the measures proposed in chapter IV for the institution of a junior competitive examination for administrative generalists and economists.

420. The course on which the Administrative Committee on Co-ordination decided to embark by setting up the Pay Research Unit is complementary to the one just suggested. This Unit, if composed of a few highly qualified specialists, should be able to compile a permanent file of information on salaries in the public sector in all countries, on salaries in the private sector - at any rate in benchmark jobs - and on factors accounting for the changes observed. The Unit would thus furnish the means of obtaining a comprehensive analysis of all the standards of comparison. If the information was of guaranteed reliability and clearly presented, this exhaustive statistical approach would probably allay much of the dissatisfaction now felt on this score.

However, the recommended experiment with "junior competitive examinations" and the work of the Pay Research Unit will obviously take several years to yield practical results. Furthermore the Unit will have to be staffed by very highly qualified specialists, who will have to be offered market rates of remuneration.

B. The structure of categories and grades

421. The only really important problem here is what may be called the problem of the third category. This question has already been tackled by ICSAB and is presented in an original and interesting way in a recent CCAQ paper.

There are cogent reasons to think that the United Nations Secretariat would find a structure more consonant with its present needs in a system that included an intermediate category between that of the executive tasks which occupy the great majority of the General Service staff and that of conception, management and research, which could be covered by fewer officials than the Professional category now contains.

A great deal of the work now entrusted to Professional staff is routine administration which could be carried out by staff in this intermediate category. At the levels of conception and management, the creation of such a category would relieve Professional staff members of time-consuming work unworthy of their talents.

Annex VII.3 shows that this kind of structure has been chosen for the staff of the European Economic Community (EEC), for example^{1/}.

422. However, to make it worth while to carry out a reform on this scale it would be necessary to have the results of a scientific analysis of the structure and operation of all units, taking into account the existence of the various vocational groups. In practice the programming system recommended by the Committee of Fourteen would have to be put into operation first (and, as we know, it has not yet made much progress), as well as a cost-accounting system capable of producing valid budget estimates for the reform. Further prerequisites would include, firstly, the capacity to decide precisely what levels of recruitment should be adopted for the proposed new categories and what methods should be applied to ensure their observance; secondly, the data needed for reclassification of the staff; and so on.

423. This body of information would take several years to compile.

In reality it seems clear that the reason why these two basic problems - the level of remuneration and the structure of categories best calculated to increase efficiency - appear intractable is that for many years they have always been tackled on an emergency basis without regard to the stages which must be traversed before a solution comes within reach.

The Administrative Committee on Co-ordination, in suggesting the establishment of the Pay Research Unit, has shown the proper course to take. It seems to me essential to enter on this course more determinedly by charting the successive stages of a plan likely to lead to a real solution in a few years' time. The Special Committee established under General Assembly resolution 2743 (XXV) could be of help to the Assembly in adopting a plan of this sort. The present report is merely a contribution towards the preparation of such a plan.

We shall now consider the legal measures which I believe to be necessary for the execution of the set of reforms proposed in this report; they also represent a step in the direction of a more general reorganization.

^{1/} The staff under discussion here are those engaged in administrative work, not the categories which comprise manual workers, maintenance workers and security guards. If these workers are included, there are four categories of staff in the United Nations.

II. MEASURES NEEDED IN ORDER TO CARRY OUT THE PROPOSED REFORM

424. Most of the legal measures needed to give sanction to the proposals made in this report have been mentioned in previous chapters.

This applies, in particular, to the system of alternating secondments,^{1/} the introduction of the concepts of vocational group and level of qualifications,^{2/} and the discontinuance of recruitment of General Service staff to the Professional category at the end of their career.^{3/}

These various proposals need to be put in more precise legal form. In addition it is now possible to consider the consequences of various analyses made in the course of the report, and particularly in this chapter: more specifically:

The possible consequences of the concept of level of qualifications for the post/grade relationship;

The possibility of establishing a category of non-renewable fixed-term appointments with special terms of remuneration.

This review of possible legal measures will end with some observations on problems which have not been studied in this report, but whose solution might have repercussions on the measures proposed in it.

(1) Discontinuance of recruitment of General Service staff to the Professional category at the end of their career, and reorganization of the General Service category

425. The number of General Service staff recruited to the P-1/P-2 level of the Professional category at present averages 35 a year, or slightly more than 10 per cent of total recruitment.

^{1/} Chapter I, paragraphs 37-40, and chapter V, paragraph 327.

^{2/} Chapter IV, paragraphs 146-153.

^{3/} Chapter IV, paragraph 109.

This practice has very serious drawbacks:

It leads to the recruitment of older staff (in most cases over 40 years of age) to the P-1/P-2 level, which should be a "junior" level; it is thus a major factor in the aging of the Secretariat which was noted in chapter II;

It reduces the number of P-1/P-2 posts which could be offered to young people with a high level of university education and trained in modern disciplines;

It causes a general decline in the level of university qualifications among the staff and, in particular, seriously accentuates the shortage of good drafters, especially in the administrative generalists group where the need for them is particularly evident;

It does not facilitate the correct application of the principle of geographical distribution because, owing to the method used in recruiting them, most General Service staff belong to over-represented nationalities.

40. Such a practice is incompatible with the recruitment methods we have advocated in this report: "junior competitive examinations" for administrative generalists and economists and, for other types of staff, competitive selection after extensive advertising. Of course, this does not mean that there should be a ban on the recruitment of General Service staff to the Professional category; such staff should naturally be at liberty to take the competitive examinations held, provided that they have reached the required basic university level; and they should be free to compete on equal terms with other candidates for posts not subject to competitive examination. In order to avoid any favouritism, however, it would be well to be extremely strict in defining the level of qualifications in terms of the degree or diploma standard required, and not to be content with vague references to a level of knowledge.^{1/}

^{1/} Compliance with Staff Regulation 4.4 ("Subject to the provisions of Article 101, paragraph 3, of the Charter, and without prejudice to the recruitment of fresh talent at all levels, the fullest regard shall be had, in filling vacancies, to the requisite qualifications and experience of persons already in the service of the United Nations") should not be used as a pretext for making exceptions to whatever rules are laid down.

Another measure, which might supplement those just described, would be to set an upper age limit for recruitment to P-1/P-2 posts, for example thirty years for P-1 and thirty-five years for P-2.

427. However, it would be difficult to apply the set of measures proposed here without offering General Service staff, at the end of their career, some compensation for the loss of the advantages which have in fact been open to them for many years.

It therefore seems essential to reorganize the General Service career to a limited extent.

A proposal for the reorganization of this category is already in existence. The Committee on the Reorganization of the Secretariat, in its report (A/7359 of 27 November 1968), made a carefully worded request that the transfer of General Service staff to the Professional category should be very strictly controlled, and noted that proposals had been made for the creation of new grades. The Committee expressed the view that, if such grades were created, they should be related "to definable technical responsibilities" (op.cit., paragraph 116).

A report on the restructuring of the General Service category was published by the Staff Council on 19 February 1971 under the symbol SCB/246.

428. This report was prepared by a working group comprising seven representatives of the staff and four representatives of the Administration (Office of the Controller, Office of Personnel and Administrative Management Service) under the chairmanship of Mr. Robert Smith. It is based on a study of salaries paid by a large number of private firms in the New York area for posts equivalent to those offered by the United Nations in the General Service category. The solution proposed in the report is to increase the number of General Service grades to seven (instead of five in New York) and to institute a salary scale ranging, in gross figures, from \$5,350 for grade G-1, step 1, to \$15,460 for grade G-7, second special step. Salaries at the latter level would exceed the maximum salary on the present scale by nearly \$3,000.
429. The cost of this solution, which would present undeniable advantages, particularly in the recruitment of General Service staff, is not stated in the report. In any event, in so far as this problem is related to the questions studied in the present report, I can only support the idea of establishing in New York, and

at Geneva, General Service grades carrying higher salaries than grade G-5 in New York and grade G-7 at Geneva. Only a limited number of such posts should be created, and they should be reserved for staff possessing the necessary technical competence (a precise definition of the "level of qualifications" would seem as necessary for these posts as for Professional posts).

Similarly I can only support the idea of creating two special steps in each grade in order to be able to give higher salaries to staff members with twenty or twenty-five years' service in the United Nations. In my view, the adoption of solutions of this kind is a matter of urgency and would make it possible to stop treating P-1/P-2 posts as rewards for long service in the General Service category.

(2) The career concept and "alternating secondments"

430. If the system of "alternating secondments" advocated in chapters I and V above was accepted by the General Assembly, its introduction would entail the following:

A legal definition under which the career concept (i.e. the concept of permanent appointments) could be extended to include officials seconded from the Professional category. Staff Rule 104.13 would have to be amended accordingly to provide that, by way of exception, a number of staff members holding permanent appointments may be authorized, under conditions to be laid down by the Secretary-General, to suspend their service with the United Nations for periods of up to five years in order to resume employment in their national civil service, such suspension to be permitted only after five consecutive years' service with the United Nations;

The number of such cases would of course have to be limited. It will be recalled that the Secretary-General proposed to the General Assembly in 1965 that the ratio of permanent to fixed-term appointments should be 75:25. Within the 75 per cent of career posts, a proportion of, say, 15 per cent might be reserved for this system of alternating secondments;

431. In order to fill such posts, interested Governments should plan to conclude special agreements with the Secretary General concerning the system of

secondment of national civil servants. The Secretariat should study a model agreement which would:

Refer to United Nations Staff Rule 104.13, as amended, and to the national regulations governing secondment in the country concerned (in some cases it might be necessary to conduct preliminary negotiations for the modification of such national regulations);
Prescribe the number of posts to be filled in this way in the next ten years;

Specify the vocational groups concerned and, for the United Nations posts, the grade levels;

Specify which departments of the national civil service would second officials to the United Nations;

Specify the career guarantees afforded by both parties (in particular, the Government should make provision for the reclassification of officials at a grade equivalent to that which they would have reached if they had stayed in the national civil service, and the United Nations for its part should provide similar guarantees for staff members returning from a period of duty in their national civil service);

Give a precise definition of the minimum level of qualifications prescribed for each grade in each post.

Staff members recruited under this system should be able, without any difficulty, to participate in the proposed career planning and training system. From this standpoint, in view of the pattern proposed in chapter V, periods of six consecutive years of service would be desirable.

(3) Connexion between the concepts of level of qualifications, post and grade: change in the number of grades

432. The concept of level of qualifications, which was identified in chapter IV in the discussion of the long-term recruitment plan, is absolutely vital not only for recruitment purposes (cf. chapter IV, section II, "Long-term

recruitment plan", and table IV-II) but also to the design of the machinery of assignment and to the rational organization of training.

We saw earlier in the report that, in order to introduce some rationality into the making of personnel policy, some simple and relatively homogeneous concepts were needed. We may take as an example the four level of qualifications which have been defined and which, when applied to a known number of vocational groups (likewise clearly defined), mean that only thirty to forty "descriptions of qualifications" are needed in order to analyse the situation in a department or group and to predict its development.

This simple approach makes it possible to tackle the problems with sufficient realism and at the same time to dispense with the pointless multiplicity of "job descriptions" and with subtle distinctions between grade levels which have no real administrative significance.

Chapter V has shown that this concept is equally essential to the planning of training, since the training programme is drawn up according to the levels of qualifications to be attained. It is also essential to the design of the machinery of assignment (career planning), since the four levels of qualifications are a necessity to unit chiefs in making reasonable estimates of their requirements which will serve as a basis for determining career plans.

433. At first sight, the normal legal embodiment of so vital a concept would appear to be the grade. In reality the number of grades is greater than the four stages corresponding to the levels of qualifications because:

Firstly, it is necessary to create a larger number of stages for the purpose of mapping out a staff member's career; administrative experience seems to have demonstrated a psychological need for a number of grades sufficient to offer prospects of fairly frequent promotion;

Secondly, the same grade does not necessarily correspond, in different vocational groups, to the same level of qualifications in the specialized field concerned; however, some flexibility in the definition of qualifications may prove to be useful.

434. In these circumstances, there can be no question of reducing the number of grades to the number of levels of qualifications. On the contrary, the 1968 Committee on the Reorganization of the Secretariat contemplated an increase rather than a

reduction in the number when it suggested that the present system of grades running from P-1 to D-2 should be extended so as to comprise, for example, ten grades. The arguments put forward in support of this solution were that it would permit shorter time-in-grade requirements and the more rapid advancement of junior and intermediate staff who had demonstrated superior qualities to positions of progressively greater responsibility (report of the Committee, A/7359, 27 November 1968, paragraphs 111-112).

435. In the last analysis, therefore, it seems plain that:
The concept of level of qualifications is essential to an accurate statement of the Administration's requirements;
The concept of grade makes it possible to diversify remuneration, to divide staff members' careers into fairly short stages and to differentiate between degrees of responsibility among staff members at the same level of qualifications;
The only useful purpose served by the concept of the step (in practice, one step is granted for each year of seniority within a grade) is that it makes it possible to increase the salary of staff members who have been in the same grade for several years.
These three concepts are closely interrelated; it should be possible to forge closer links than at present exist between them.
436. In order to achieve this result, however, it is also necessary to consider whether the close connexion now made in the United Nations between post and grade is wholly justified. In a great many posts - in fact, in almost all except managerial posts - the functions performed by the incumbent correspond to a level of qualifications rather than to a grade. In other words, it is quite possible to imagine a staff member in a specific post changing his grade without having to change either his post or his functions.
437. In these circumstances it would appear reasonable:
To replace the post/grade relationship by a post/level-of-qualifications relationship. The result would be a classification of posts in four categories (corresponding to the junior level - basic university training; the level of first-stage professional experience; the level of great professional experience; and the management level);

To make the grade an internal division within the level of qualifications;
Perhaps to reduce the overlapping of steps between grades, which at present seems exaggerated.

438. In order to institute a relationship of this kind, which would provide the heads of the Secretariat with a more logical and effective means of action than is available to them at present, it would be necessary to consider a slight increase in the number of grades, so as to provide at least two grades per level of qualifications.

There would then be four main categories of posts, linked to qualifications and grades as shown below. This would make it possible to adjust in a rational manner the recommendation made in chapter IV, paragraph 152:

First category, junior level (basic university training), grades P-1 and P-2;

Second category, level of first-stage professional experience, grades
P-3 and P-4;

Third category, level of great professional experience, grades P-5 and P-6;

Fourth category, management level, grades D-1 and D-2.

439. Two points remain to be considered:

For those vocational groups in which the higher posts are often oriented more towards research than towards administration (economists, sociologists, etc.), consideration should be given to the idea of creating a grade P-7 equivalent to D-1, and possibly a grade P-8 equivalent to D-2, so that particularly efficient and experienced research workers might be adequately paid without having to be given ostensible administrative responsibility through promotion to Principal Officer or Director;

440. For the management level, consideration should be given to the idea of dividing the D category into three grades, D-1, D-2 and D-3, instead of two,

in view of the flexibility which is needed in defining management responsibilities in the complex system of the United Nations.^{1/}

(4) Non-renewable fixed-term appointments and special terms of remuneration for them

441. The range of possibilities open to the Secretary-General in the matter of staff recruitment is fairly wide since, in addition to probationary and permanent appointments and fixed term appointments (of more than a year's duration), it includes short-term appointments and what are known as special service agreements. In the last-mentioned case, there is no restriction on the amount of remuneration which can be offered. The most important of the rules governing such agreements are to be found in personnel directive PD/4/63 of 15 July 1963 and PD/4/63/Amend.1 of 27 June 1968. These documents indicate that special service agreements may be used to engage a person to perform a particular piece of work which cannot be measured by the continuous time spent on it, and that the cost of such work can be estimated without reference to the salary scale for United Nations staff.
442. This flexibility enables departments to solve many problems. It is nevertheless inadequate in that it offers no means of associating highly qualified specialists with the Administration in a close and lasting manner for the purpose of solving particularly difficult problems.

Yet this is a vital matter; inability to solve such problems can block the development of administrative methods for many years, and is thus one of the greatest obstacles to modernization.

^{1/} The question of a grade D-3 was considered by the Committee on the Reorganization of the Secretariat, which indicated that, while it "had serious doubts concerning this suggestion, it examined the possibility of revising and extending the present grading system" (A/7359, para.13).

It transpired in the course of that study that several Under-Secretaries-General (and Executive Secretaries of regional economic commissions) were of the opinion that a grade D-3 would be very useful for conferring on certain directors the responsibilities of a deputy head of department without having to use the title of Assistant Secretary-General. This suggestion would seem to warrant very serious consideration. If it were eventually adopted, the number of D-3 posts would obviously have to be very strictly limited.

The use of consultants is not enough when it is necessary both to find solutions to new problems that demand exceptional theoretical competence, combined with a knowledge of United Nations administration, and to train the staff members who will be permanently responsible for applying those solutions in practice. The subscribers to special service agreements may prepare notes or reports, but these papers are not always easy for Secretariat units to understand; they do not cover practical day-to-day difficulties, and their authors are not present to direct the institution of the new methods they have advocated.

The result is a succession of adjustments by trial and error, or decisions to engage in further consultations, with no real progress for years.

43. Therefore, in order to move quickly towards the solution of such problems in practice, it should be made possible to recruit, for several years at a time, highly qualified specialists to assist the units for as long as may be necessary to put the recommended solutions into effect.

There can be no doubt that, if such a system had been available, it would have greatly facilitated and transformed the task of the Administrative Management Service, for instance, and would have made it possible to satisfy the General Assembly's desire for a cost/benefit analysis of the main departments of the Secretariat.

It is equally certain that the recruitment of top-level specialists with difficult programming work behind them in industry or administration would be a means of ensuring that the best possible arrangements were made for setting the programming machinery in motion.

Again, if the Pay Research Unit whose establishment has been requested by the Administrative Committee on Co-ordination is to furnish the information expected of it, its staff will need to be very highly skilled in statistics and to have sufficient knowledge of problems of remuneration, both public and private, to justify recourse to this particular method of recruitment.

This means, however, that in such cases it must be possible to set the remuneration at the world market level, unfettered by any tie to the salary scale for the regular staff.

44. For a very limited number of posts, therefore, it seems essential to be able to recruit the necessary specialists at market rates, subject to extremely precise

conditions, for the time needed to solve a particular problem and put the solution into practice.

One way to make this possible might be to create a new kind of appointment, which would be:

Of limited duration (say four years at the most);

Non-renewable (the holder would not be eligible for reappointment by the United Nations in any capacity whatsoever until, say, five years had elapsed);

On special terms of remuneration (the amount of remuneration to be determined at market rates, in practically the same way as that of a consultant).

In addition these appointments would be limited in number (not more than, say, five or six a year) and subject to special conditions of award (the Training and Career Planning Committees in the specialized field concerned should be called upon to decide as to the need for a proposed appointment and to advise on the candidates' merits and the rate of their remuneration).

Staff Rule 104.12 would have to be amended accordingly.^{1/}

^{1/} A system fairly similar to that proposed here was in operation in 1961 and 1962. An appropriation for "special technical posts" (\$150,000 in 1961 and \$140,000 in 1962) was made in section 3, chapter V, of the budget. This was intended to provide for the appointment, normally at Headquarters, of technically qualified persons to work for fixed periods in such specialized fields as industry, resources and transport. The terms of appointment, which would not accord career status, were to be suited to individual circumstances, and detailed explanations of the arrangements were to be submitted to the Advisory Committee. A few technical advisers were actually appointed under such arrangements; five advisers on problems of resources and transport and three on industrial problems appear to have been recruited.

Apparently the experiment was then dropped.

It should be noted that:

The authorization to disregard the regular salary scale was not really tried out; most of these technical advisers were recruited at levels L-6 and L-7 under the "200" rules, which are equivalent to levels D-1 and D-2 under the "100" rules; The experiment was confined to very specific technical fields, whereas the proposal made in the present report, without in any way excluding such fields, is designed mainly to open a way through some very involved administrative problems.

(5) Possible reorganization of the system of allowances

45. The problem of the composition of remuneration was mentioned above as one of those which should be capable of speedy solution. This problem is one for the Special Committee to tackle, and will be only briefly stated here.

Annex VII.3 and the accompanying diagram show that the system of allowances supplementing gross salary can be designed in various ways, and that the particular system in use in the United Nations is not necessarily the best or the most logical.

There seem to be two problems to consider in this connexion:

Whether it is desirable, for reasons of equity, to reconsider the idea of an expatriation allowance, which was considered by ICSAB in 1965 and rejected on the grounds that according to calculations made at the time it would place too heavy a financial burden on the Organization;^{1/}

Whether it is desirable to reconstruct the system of dependency allowances and education grants and to change the method of calculating post adjustments so as to strike a fairer balance between the remuneration of unmarried staff members and that of staff members with dependants.

In order to deal with each of these two problems, some statistical comparisons between different places will have to be made for various grade levels and family situations.

46. I shall merely point out here that the information gathered during the preparation of this report clearly shows that it is urgently necessary to solve at least the second problem. It is quite evident that in some places, particularly New York, the present system severely penalizes staff members with dependants because the dependency allowances are so low (the allowances for a dependent wife and for dependent children have remained unchanged since 1962 and 1957 respectively), the post adjustment does not adequately reflect the real cost of housing, the differential in post adjustment between staff members with dependants and unmarried staff members is insufficient, and lastly the education grants are too low.

This situation seriously increases the difficulties of recruitment and undoubtedly accounts for many of the resignations that have taken place. It would

^{1/} In reality, of course, everything depends on the method of calculation used.

seen that, if appropriate steps were taken, a more equitable balance could be restored, within the present budgetary appropriations for salaries as a whole, between unmarried staff members and those with dependants.

(6) Other measures which might be envisaged. General modernization of the Staff Rules

447. It is out of the question here to undertake a detailed examination of all the legal measures that would be needed to give effect to the proposals made in this report. For such proposals as are approved, the task force whose establishment is proposed in chapter VIII will have to work out the details of the legal changes required; in the normal course of events, these changes should have the effect of modernizing the whole conception of the Staff Rules.

A glance at the table of contents of the Rules suffices to show, firstly, that neither professional training nor career planning is mentioned at all. Secondly, it is clear that the bulk of the regulations are to be found in such documents as personnel directives, circulars, etc., whose contents could with advantage be incorporated in more readily accessible official texts. The same applies to many of the procedures used, of which no trace can be found in any written document.

448. With regard to the specific recommendations made in this report, it seems clear that the new rules should give prominence to the following in particular:

The functions and powers of the personnel inspectors, and the procedure for recruiting them (new rule);

The vocational groups, whose existence should be officially recognized; every staff member recruited should be placed in one of these groups, and the rules should prescribe the exact requirements and procedure for transfer from one group to another (new rule);

Conditions of recruitment: official acceptance of the concept of levels of qualifications; method of describing such levels; methods of competitive recruitment to certain vocational groups (new rule);

The changes proposed in the promotion machinery: description of the new functions and powers of the Appointment and Promotion Board, which would become the Central Personnel Board; abolition of the Appointment and Promotion Committee and its replacement by the Training and Career Planning Committees (amendment of rule 104.14);

Institution of professional training; the staff member's rights and obligations in that respect; consideration of the results of such training for purposes of promotion; arrangements for study leave (new rule and amendment of rule 105.2);

Changes in the reporting system: new periodic reports by vocational group; role of the Personnel Inspectorate (amendment of rule 112.6).

CHAPTER VIII

EXECUTION AND COST OF THE REFORM
LIST OF RECOMMENDATIONS

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CHAPTER VIII. EXECUTION AND COST OF THE REFORM LIST OF RECOMMENDATIONS

449. Before listing the recommendations derived from this study and estimating the cost of the proposed reforms, it remains for us to consider what methods might be adopted for putting them all into effect if they are approved by the policy-making authorities.

I. EXECUTION OF THE REFORM - STRUCTURAL REORGANIZATION OF THE
OFFICE OF PERSONNEL - ESTABLISHMENT OF A TASK FORCE

The execution of the proposed reforms will entail permanent structural changes and an exceptional intellectual investment.

(1) The new structure of the Office of Personnel

450. The structural changes required for the performance of the new functions are concerned with:

The Secretariat Recruitment Service:

Examination service;

Reserve roster;

Preliminary training;

Career organization:

Establishment of a Personnel Inspectorate;

Career Planning Unit (which should also be able to prepare long-term recruitment forecasts);

Training:

Establishment of units to provide actual instruction in non-linguistic subjects (instruction and study leave);

Data processing:

Establishment and maintenance of a permanent information-gathering and forecasting system.

These various functions cannot simply be superimposed on those already in existence. Most of them entail a complete change of methods, and changes must therefore be made in the existing structures as well.

451. It would doubtless be possible to maintain the existing table of organization and merely:

To strengthen the Office for Policy Co-ordination by making it into a real data-processing unit;

To remodel the Secretariat Recruitment Service and make it responsible for holding the junior competitive examinations, preliminary training and keeping the reserve roster;

To add a Personnel Inspectorate and a Career Planning Unit to the existing Division of Personnel Administration;

To develop the Training Service considerably.

A solution on these lines is quite conceivable.

452. A more drastic change would be, say, to turn the Office for Policy Co-ordination into an Office for Policy Co-ordination and Forecasting, and hand over to it all data-processing, forecasting, medium-term and long-term policy-making (preparation of the long-term plan of recruitment, assignment and promotion) and legal rule-making (Rules and Procedures), leaving the other units - recruitment, personnel administration and training - with solely executive functions.

However, it would be dangerous to concentrate all the policy-making in a single unit and to deny those responsible for applying the policy a share in the decision-making process.

Moreover there are no absolute truths or ideal definitions so far as the table of organization is concerned; the personalities involved and the relationships between them matter more than the theoretical distribution of functions and powers. Consequently there is always more than one feasible and acceptable solution to a problem of this kind.

453. With that proviso, however, it seems to me that the structural reorganization of the Office of Personnel should be governed by the following principles:

There should be a unit to help the Assistant Secretary-General, Director of Personnel, in formulating general medium-term and long-term policy on all matters;

The methods of control used should allow greater decentralization of responsibility;

The hierarchical structure should be such that a direct link can be established between the unit chiefs responsible for particular tasks and the Office of the Director of Personnel.

454. The first principle means that, without entrusting all the intellectual work to one unit, the Director of Personnel needs to have beside him a body responsible for compiling information, laying down guidelines, holding detailed discussions with the various units on the objectives to be aimed at, and making sure that the directives issued are carried out.

The practical inference is that it would be desirable:

To merge the Office of the Director of Personnel and the Office for Policy Co-ordination;

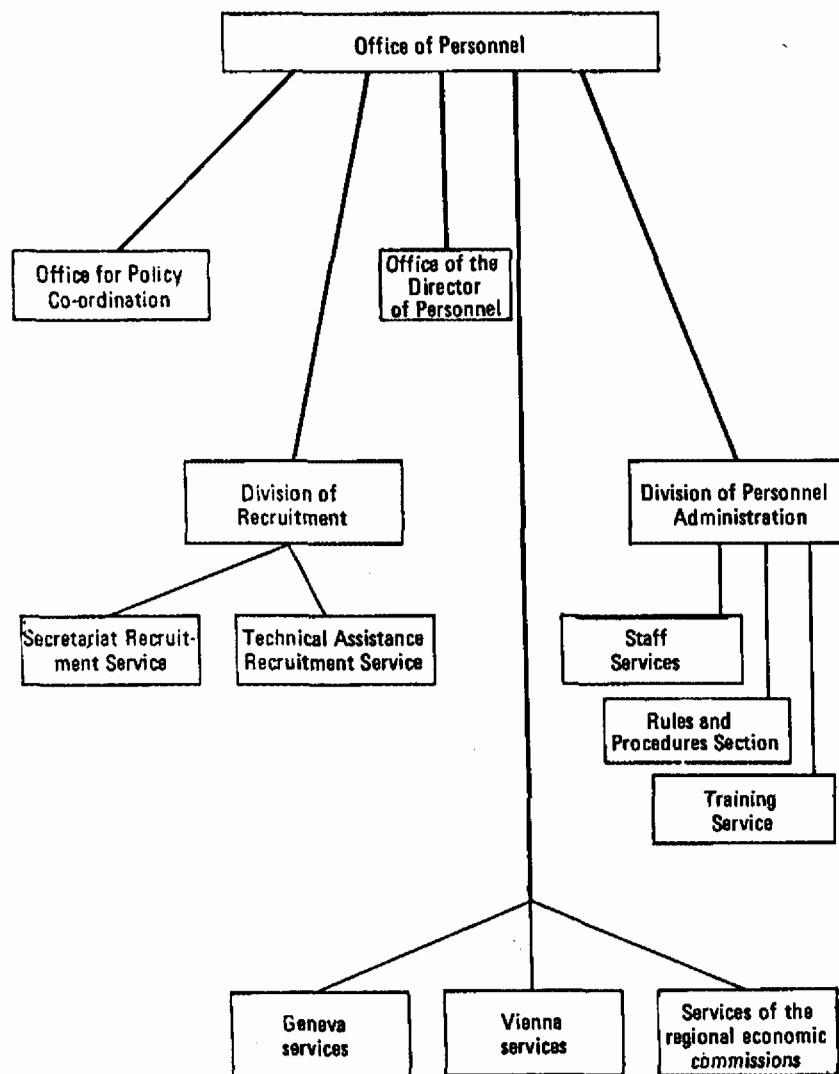
To strengthen the unit responsible for data processing, statistics and the "instrument panel";

To add to these functions that of rule-making (Rules and Procedures);

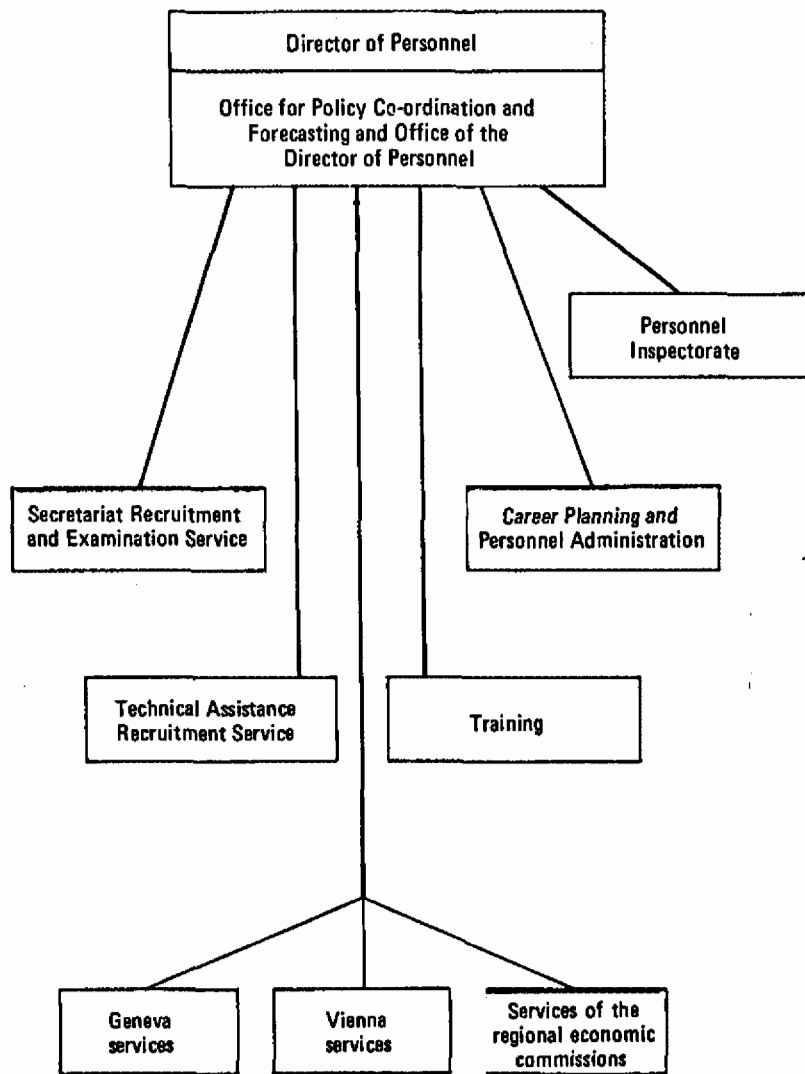
To set up a small, high-calibre team to consider general guidelines and methods.

455. The second principle is merely a corollary to the first. If a management unit is able to lay down a clear-cut policy and to supervise its application, it obviously becomes much easier to give more responsibility to unit chiefs, at Headquarters and elsewhere; in other words, instead of dealing with countless individual cases, the Office of the Director of Personnel would confine itself to laying down principles and supervising their application.
456. The third and last principle seems to me to be justified on the grounds that, in a department which is required to implement an active policy, a hierarchy of the conventional pyramidal type is suited neither to the real requirements nor to the methods in use. The result in the present case is that the exact functions and powers of the top-level officials are not clearly defined. It seems to me that it would be more rational for the Director of Personnel, directly assisted by a study group, to be in direct touch with the unit chiefs responsible for Secretariat recruitment, technical assistance recruitment, training and personnel administration. This method of organizing the work does not prejudge the question of the appropriate hierarchical levels for these various unit chiefs, which may very well vary between D-2, D-1 and even P-5.
457. The new table of organization resulting from the application of these principles might take the following form (for ease of understanding, the proposed table is shown alongside the one now in use).

PRESENT TABLE OF ORGANIZATION, SIMPLIFIED



OUTLINE OF PROPOSED NEW TABLE OF ORGANIZATION



(2) Need to establish a task force to carry out the reform

58. Carrying out the set of reforms proposed in this report would entail making an exceptional effort over a period of two to three years; the resources of the Office of Personnel are insufficient for such an effort. The officials responsible for essential day-to-day management simply have not the time to give to the task of working out in detail the many difficult measures proposed in this report; and the immediate installation of new structures by merely creating posts would not provide a quick and economical solution to so vast a problem.

What is needed is to assemble, as quickly as possible, a task force whose sole duty is to carry out the reforms; setting up the permanent structures will of necessity be a gradual process.

59. This task force, to be established for two to three years only, need not be very large but must be made up of capable people who can give their full time to it and who are provided with the means of carrying out the essential operations within specified time-limits.

It might, for example, consist of:

- 1 senior administrator (say, at level D-1) with wide experience of administrative problems in general and personnel problems in particular;
- 1 legal affairs officer;
- 1 specialist in statistical problems;
- 1 specialist in data processing problems.

The force should be provided with secretarial staff and with funds for the recruitment of consultants. Lastly, it is vital that the leader of the task force should enjoy the full confidence of the Director of Personnel and be free to choose the members of his team solely for their technical competence.

The use of this method would not, of course, mean that all units of the Office of Personnel would not co-operate in executing the reform. There will be so many further studies and operations to be carried out before the reform is completed that the active co-operation of everyone will not be too much.

The specific operations to be entrusted to the task force will be examined at the end of this chapter, after the list of recommendations derived from the report as a whole.

(3) Convening a "round table"

460. It has not been possible to work into this report, which is already bulky enough, all the suggestions received in the course of my inquiries from the Professional staff members in the Office of Personnel, and in other administrative and substantive departments, with whom I had the opportunity to discuss the problems of their units.

I nevertheless became convinced that, where the organization and methods of work of the Secretariat as a whole are concerned, a great many Professional staff members have interesting and positive ideas which deserve serious consideration but which cannot all be examined with sufficient care by the units or bodies responsible for studying and proposing reforms, be it the Administrative Management Service or the Joint Inspection Unit itself.

It seems to me, therefore, that consideration should be given to the idea of instituting, as soon as the Secretary-General finds it possible, perhaps in the course of next year, a procedure of the type which last year enabled Professional staff members of UNESCO to make known their ideas on the methods of work and organization of that agency, and which provided the Director-General with an extremely interesting and positive report.^{1/}

The topic set for this "round table" should be the modernization of the Secretariat.

^{1/} Not yet official.

II. LIST OF RECOMMENDATIONS

This report leads to the following twenty recommendations.

461. Recommendation No.1 - New definition of basic concepts
(Paragraphs 143-159 and paragraph 327)

Pending revision of the Staff Rules, the following concepts should be defined in an instruction from the Secretary-General and circulars from the Director of Personnel:

A. "Vocational group"

- (a) This expression means all staff members competent to practise one of the professions corresponding to the various types of activities which are carried on by Professional staff in the Secretariat and which appear in a list drawn up by the Secretary-General.

These staff members all belong to the Professional category but can occupy only posts reserved for their profession; transfers from one group to another are governed by rules laid down by the Secretary-General.

- (b) Subject to the results of a further study to be made by competent specialists, the list of vocational groups should comprise:

Administrative generalists; economists and specialists in social sciences; language staff (interpreters and translator/précis-writers); statisticians; legal affairs officers; political affairs officers; accountants and auditors; and information officers.

- (c) Types of assignments: within each vocational group, a complete list of the types of assignments should be drawn up: i.e., a list of the sets of posts corresponding to a particular degree of specialization within the vocational group concerned.

B. "Level of qualifications"

- (a) This expression means the degree of competence prescribed by the Secretary-General for the practice of one of the professions of the Professional staff in the Secretariat, at entry grade level and at other grade levels.

- (b) These requirements should be specified in "standard descriptions of qualifications" containing a list of the diplomas, or documents attesting to level of experience gained, which correspond to the following different levels of qualifications: basic theoretical university training, first-stage professional experience, great professional experience, and management.
- (c) The use of these "descriptions of qualifications" corresponding to particular types of posts should replace the use of "job descriptions" in recruitment operations.

C. "Career posts"

Posts designated by the Secretary-General as posts always to be filled by internal promotion.

The Secretary-General should draw up a list of such posts by department and by vocational group, as well as a list of posts to be filled by external recruitment and a list of posts which may be filled by either method.

D. "Average rate of advancement"

The Secretary-General should specify the minimum, maximum and average period for a staff member in a particular vocational group to spend at each grade level.

462. Recommendation No.2 - Institution of a long-term recruitment plan
(Chapter IV, section II, paragraphs 131-161)

- (a) A long-term recruitment plan should be drawn up by the methods described in this report; the plan should determine, several years in advance, the number of posts to be filled by recruitment each year:

In each of the vocational groups to which Professional staff in the Secretariat belong;

At four main levels of qualifications (junior, first-stage professional experience, great professional experience, and management).

- (b) For this purpose, the number and types of posts likely to become vacant should be determined by statistical calculations on the basis of the patterns observed in the phenomenon recorded in previous years.

- (c) In order to trace the most probable future trends and to eliminate one of the worst factors of uncertainty, a specific inquiry should be made into the causes of resignations.
- (d) Long-term recruitment planning should lead to a progressive and sizeable increase in recruitment to career posts at the junior level.

463. Recommendation No.3 - Institution of a "junior competitive examination" for the administrative generalists' group and the economists' group
(Chapter IV, section III, paragraphs 162-188)

- (a) In accordance with Staff Regulation 4.3 and with General Assembly resolution 2736 (XXV) of 17 December 1970, which requests that "efforts should be made to recruit qualified young men and women for service with the United Nations through the development of more objective selection methods such as, wherever appropriate, open competitive examinations", annual competitive examinations should be instituted at the regional level for recruitment to junior posts in the groups of administrative generalists and economists.
- (b) For this purpose, various examination regions should be suggested to the Governments of Member States, whose preferences would provide the necessary guidance in delimiting the regions and possibly in laying down the specific conditions appropriate to each region (paragraphs 171-173).
- (c) The members of the boards of examiners for these regional competitive examinations should be chosen by the Secretary-General in such a way as to bring together senior officials of the Secretariat, senior national civil servants and the most highly qualified representatives of the universities in the region (at least 30 per cent of the examiners should always come from this last category) (paragraphs 174-177).
- (d) The practical arrangements for these competitive examinations should be such as to make it convenient for the greatest possible number of candidates to sit the examinations - there should in particular be a large number of examination centres - and the methods of marking adopted by the boards of examiners should be such as to guarantee maximum fairness (paragraphs 178-180).

- (e) The tests chosen should provide a means of assessing the candidates' ability to express themselves in speech and in writing, their level of general culture and their technical and linguistic knowledge (paragraphs 181-184).
- (f) The number of posts offered for competition should whenever possible be greater in regions at present under-represented than in other regions (paragraph 185).
- (g) A special budgetary appropriation should be made for the competitive examinations to be advertised as widely as possible in order to attract the greatest possible number of candidates.
- (h) Candidates should be provided with every facility for preparing for the examination, including correspondence courses (paragraph 187).

464. Recommendation No.4 - Compilation of a reserve recruitment roster
(Chapter IV, section IV, paragraphs 193-201)

- (a) Where the competitive examination procedure is not used, new methods of recruitment should be adopted, including in particular the establishment of a "reserve recruitment roster", to be compiled through large-scale advertising on the basis of "standard descriptions of qualifications" drawn up according to a strict pattern and kept continuously up to date.
- (b) Provision should be made for the conclusion of an agreement with the Governments of any Member States which may wish to extend the use of the roster beyond the limits of the United Nations Secretariat.
- (c) Arrangements should be made for automatic computerized sorting of candidates on the roster.
- (d) The methods of checking and interviewing candidates, after preliminary sorting by computer, should be changed by systematically building up the existing world-wide first-interview network and by establishing for the final interviews, in New York, Geneva and Vienna, examining panels modelled on the boards of examiners for the junior competitive examinations.

465. Recommendation No.5 - Methods of recruitment to the highest posts
(Chapter IV, section IV, paragraphs 202-208)

- (a) Recruitment to the highest posts - those of Under-Secretary-General and Assistant Secretary-General - should be governed by certain rules based on

the following considerations: several Governments to be consulted on every post to be filled by external recruitment; at least three candidates to be nominated by each Government for each post; the exact level of competence required for all technical, administrative or economic posts to be specified; prior opinion to be obtained from a panel of "wise men" as a guarantee of the technical calibre of the candidates.

- (b) A proportion of posts at level D-1 and D-2 should be reserved for members of the Secretariat with at least ten years' seniority in the international civil service, the proportion being high (say 70 per cent) for D-1 posts and rather less high (say 60 per cent) for D-2 posts.

466. Recommendation No.6 - Negotiation with UNDP for the establishment of a preliminary training scheme
(Chapter IV, section V, paragraphs 210-229)

Negotiations should be started with UNDP for the establishment of a pre-recruitment training programme in the form of a system of fellowships whereby competent specialists in public administration, economics and the various specialized professional fields of activity of the United Nations Professional staff would be trained for the benefit of the national civil services least privileged in this respect, as well as in the interests of the United Nations.

467. Recommendation No.7 - Establishment of a Personnel Inspectorate
(Chapter V, section II, paragraphs 257-264 and 265-268)

- (a) A Personnel Inspectorate should be established.
- (b) The inspectors should be chosen, by vocational group, from among former Directors or senior officials of the United Nations (or of the specialized agencies) with at least ten years' continuous or discontinuous service as international civil servants, and should be appointed for one or two periods of four years from the age of sixty onwards.
- (c) They would be appointed by the Secretary-General from a list selected by two successive electoral colleges, the first college comprising the Directors (D-2), the Principal Officers (D-1) and in exceptional cases the Senior Officers (P-5), and the second college the entire Professional staff of the vocational group in question.
- (d) The inspectors' main function would be to award marks to the Professional staff by the method described in recommendation No.8.

468. Recommendation No.8 - Adoption of a new system of marking (and of promotion)
(Chapter V, paragraphs 265-268)

A new system of marking should be adopted. It should comprise:

The establishment of a special model "periodic report" for each vocational group;

A method of classification at two levels: classification, by the unit chief, of the Professional staff members in a particular grade and vocational group working under him, and classification by the inspector of all Professional staff members in the same vocational group with a section of a grade.

These classifications would be carried out every two years. The results should be aggregated according to a definite code so as to give each staff member a total number of "points" which, subject to the evaluations of the Training and Career Planning Committees and the Appointment and Promotion Board, could be used to establish an order to presentation for promotion.

469. Recommendation No.9 - Institution of an assignment planning system
(with contractual standard plans)
(Chapter V, paragraphs 269-285)

(a) A system of assignment planning should be instituted.

(b) This system should be based on:

A precise definition of types of assignments (see recommendation No.1 A(c));

Calculation of the number of man-years per type of assignment;

Individual standard career plans offered by the Organization to each Professional staff member and comprising mutual (i.e. contractual) commitments for a period of six years and non-contractual indications for a longer period.

(c) The Career Planning Unit responsible for preparing these individual plans in accordance with a general assignment plan should use a method of "standard plans".

470. Recommendation No.10 - Adoption of a comprehensive training programme
(Chapter V, paragraphs 286-325)

(a) A comprehensive programme of in-service training should be prepared and put into operation.

- (b) Such a programme, which in principle would be for career staff only, should:

Be based on a precise specification of the level of knowledge desirable in order to obtain the maximum return;

Comprise refresher training, advanced theoretical training, development of professional background knowledge, acquisition of all-round knowledge and acquisition of further knowledge of languages;

Include the preparation of textbooks and annotated bibliographies, oral instruction and study leave;

Be sanctioned by qualifying examinations leading to the award of "certificates" which would be taken into account for promotion purposes;

Be planned in the light of individual assignment and training plans.

71. Recommendation No.11 - Adoption of a computerized, integrated system of personnel management
(Chapter VI, paragraphs 374-401)

- (a) A computerized, integrated system of personnel management should be instituted by the methods described in chapter VI of this report.
- (b) It should be based on the system which is being installed at UNESCO and the suggestions already made by the Director of the United Nations Accounts Division, and should include in particular:
- As input documents, descriptions of qualifications, job descriptions, descriptions of persons (forms P.5 and P.11 to be modified) and descriptions of the future situation, particularly with regard to careers;
- A series of technical nomenclatures required for the utilization of the input documents, and in particular a nomenclature relating to university levels, prepared according to the principles described in the report;
- As output documents, documents necessary for day-to-day administration (personnel records (fact sheets), manning tables and list of vacant posts); selected lists of candidates for recruitment and all documents relating to the long-term recruitment plan, the long-term assignment plan and promotions; a description of the composition of

the Secretariat; and lastly, a permanent "instrument panel" (this is described in the report).

472. Recommendation No.12 - Establishment of Training and Career Planning Committees. New definition of the powers of the Appointment and Promotion Board

(Chapter V, paragraphs 336-342)

- (a) The Appointment and Promotion Committee should be replaced by Training and Career Planning Committees, each specializing in a particular vocational group.
- (b) These Committees should be composed of:
 - Eminent specialists in the professional field in question, chosen from outside the Organization;
 - Representatives of those substantive departments which have the largest numbers of staff members in the vocational group in question;
 - The personnel inspectors of the vocational group;
 - Representatives of the staff in the vocational group, nominated by their colleagues;
 - Representatives of the Office of Personnel.
- (c) The terms of reference of these Committees should include:
 - Setting the level of qualifications and approving the standard descriptions of qualifications;
 - Formulating general policy with regard to training and drawing up the corresponding programme for the vocational group concerned;
 - Determining what textbooks and annotated bibliographies should be prepared;
 - Supervising the activities of the Training Service;
 - Studying and approving the general assignment plans;
 - Studying, for each vocational group, the promotion proposals based on the inspectors' marks.
- (d) The Appointment and Promotion Board, in addition to its present functions, should be responsible for:
 - Approving policy with regard to training;
 - Approving the long-term recruitment plan and the long-term assignment plan;
 - The general formulation of personnel policy.

- (e) The Appointment and Promotion Board should be augmented by two specialists selected from the Training Committees whenever it deals with training problems and should be permanently augmented by two personnel inspectors nominated by their colleagues.

473. Recommendation No.13 - Definition of the system of "alternating secondments"
(Chapter VII, paragraphs 430 and 431)

- (a) Staff Rule 104.13 should be amended to provide that, by way of exception, a number of staff members holding permanent appointments may be authorized by the Secretary-General to suspend their service with the United Nations for periods of up to five years in order to resume employment in their national civil service, such suspension to be permitted only after five years' consecutive service with the United Nations.
- (b) Agreements concerning the system of secondment of national civil servants should be concluded between the Secretary-General and the Governments of Member States which so wish.

474. Recommendation No.14 - Discontinuance of recruitment of General Service staff to the Professional category at the end of their career, and reorganization of the General Service category

(Chapter VII, paragraphs 425-429)

- (a) The application of the new rules on recruitment issued pursuant to Recommendations No. 3 (junior competitive examination) and No.4 (reserve recruitment roster) and strict application of the concept of level of qualifications (Recommendation No.1 B) should in the normal course of events put an end to the practice of recruiting General Service staff, near the end of their career, to the Professional category.
- (b) Consequently the recommendations made in the report on the restructuring of the General Service category (SCB/246) concerning the creation of two additional grades above the present G-5 grade in New York should be put into effect as soon as possible; however, the posts created should be limited in number and should be kept strictly for staff possessing the requisite technical qualifications.

475. Recommendation No.15 - Introduction of non-renewable fixed-term appointments and special arrangements for remuneration
(Chapter VII, paragraphs 441-444)

In order to provide for quick solution of particularly difficult technical or administrative problems through the recruitment of specialists with exceptionally high qualifications, a new type of appointment should be introduced. The appointments would be:

Of limited duration (say four years at the most);
Non-renewable;
On special terms of remuneration;
Limited in number (not more than five or six a year);
Subject to special authorization by the Training and Career Planning Committees.

476. Recommendation No.16 - Reconsideration of the connexion between post and grade. Establishment of a clear relationship between level of qualifications and grade. Increase in the number of grades

(Chapter VII, paragraphs 432-440)

- (a) In order that the concept of "level of qualifications" may be instituted in a rational way, the Secretary-General should decide:
That it is possible for a staff member to change grade while continuing to hold the same post and to perform the same duties;
That the grade is an internal division of the level of qualifications;
That consideration should therefore be given to a change in the numerical structure of grades, so as to provide two grades per level of qualifications.
- (b) If there are four levels (Recommendation No.1 B), the basic university level should correspond to grades P-1 and P-2; the level of first-stage professional experience to grades P-3 and P-4; the level of great professional experience to grades P-5 and P-6; and the management level to grades D-1 and D-2.

477. Recommendation No.17 - Reorganization of the system of allowances
(Chapter VII, paragraphs 445 and 446)

Careful consideration should be given to the feasibility of reorganizing the system of allowances, with particular attention to the merits of a system

of expatriation allowances and the establishment of a more equitable system for staff with dependents, through changes in the existing combination of dependency allowances and education grants, and in the method of computing post adjustments, within the present budgetary appropriations for remuneration as a whole.

478. Recommendation No.18 - General modernization of the Staff Rules
(Chapter VII, paragraphs 447 and 448)

Consideration should be given to the idea of revising the Staff Rules so as to bring them up to date, inter alia by the inclusion of rules on training and career planning, the definition of vocational groups, career posts and levels of qualifications, the proposed new conditions for recruitment, and the changes in methods of marking, inspection and promotion recommended in this report.

479. Recommendation No.19 - Structural reorganization of the Office of Personnel
(Chapter VIII, paragraphs 450-457)

In order to make it possible to carry out the reforms recommended in this report, to produce a new formulation of medium-term and long-term general policy, to improve the division of responsibility and to establish direct links between the Director of Personnel and the units responsible for particular tasks, the Office of Personnel should be reorganized by, inter alia:

Merging the Office of the Director of Personnel and the Office for Policy Co-ordination;

Establishing a direct link between the Director of Personnel and the chiefs of the Secretariat Recruitment Service, the Technical Assistance Recruitment Service, the Training Service, the Division of Personnel Administration and the Career Planning Unit.

The staff needed to carry out these tasks should therefore be assigned to the Office of Personnel.

480. Recommendation No.20 - Setting up a task force and convening a round table
(Chapter VIII, paragraphs 458-460)

- (a) A task force composed of four Professional and three General Service staff should be set up on 1 January 1972 to give effect to the foregoing recommendations.
- (b) All staff in the Professional category should be invited by the Secretary-General in the course of next year to elect representatives to a round table. The function of these representatives would be to elicit and examine suggestions from the staff for the modernization of methods of work in all units of the Secretariat.

III. ESTIMATED COST OF THE REFORM. TIME-TABLE FOR ITS EXECUTION

481. Giving effect to the above recommendations will entail additional expenditure.

I do not think this observation will cause the representatives of the Member States to condemn the proposed reform out of hand, despite their proper concern for economy. Savings are not achieved merely by systematically seeking out, or even by proposing, ways to make them.

Experience with economies in the United Nations does not seem really to have proved that numbers can be reduced, waste eliminated and performance improved in this way.

In order to cut costs or to improve performance, the first necessity is to make an assessment of the methods of administration. I have tried in this report to suggest such an assessment, which may be summed up in a couple of lines: the efficiency of a modern civil service depends upon the degree of competence of its staff and the climate of incentives in which they work. This being so, recruitment methods should be improved, training should be organized systematically and a system of marking and promotion which affords an incentive to work should be instituted before any other ways and means are explored. The expense incurred in financing these measures is thus a profitable investment.

I thought, however, that I should give a detailed estimate of the amount involved.

(1) The cost of the reform

482. The calculations are shown in full in annex VIII.1. The results may be summarized as follows:

The cost of the task force to carry out the reform may be estimated at \$320,000 a year for two years;

In a full year, the final structural reorganization of the Office of Personnel would cost about \$1,075,000. This would bring the total expenditure of the Office of Personnel up to \$7,435,000; taking into

account the increase in expenditure in other sectors, this would represent a slightly higher proportion of the total budget than Office of Personnel expenditure represents at present (probably 3.5 per cent instead of 3.3 per cent);

However, in view of the time-table for carrying out the reform, the outlay to be covered in the budget for 1972, including the cost of the task force, would be only \$533,000; a larger sum would not be needed until the second year (1973).

(2) Time-table for carrying out the reform

483. The time-table for carrying out a reform on such a scale is not something to be improvised. A special study would have to be made for the purpose; this might be entrusted to the leader of the task force whose establishment we have requested.

However, a preliminary outline of this time-table - to be filled out in detail by the study advocated above - might read roughly as follows:

August - December 1971:

Appointment of the task-force leader;

Preparations for setting up the task force;

Preparation of the detailed time-table of operations;

Drafting the initial documents;

Deciding what staff in the Office of Personnel are to work in conjunction with the task force to the extent of their available time (which would be a specified proportion of their working hours) and assigning their specific duties.

1 January 1972: Approval of the time-table and establishment of the task force

From that date onwards the Director of Personnel, assisted by the task force and by those of his staff who have been appointed by name and assigned specific studies in connexion with the reform, should operate on four main fronts:

Computer programming;

General review of rules and regulations;

The training programme (which has to be drawn up ab initio);

Installation of the new administrative machinery for recruitment, marking, promotion, assignment and training.

It is vital that, in each of these sectors, a staff member should be made responsible, under the authority of the task-force leader, for carrying out a specific programme to a time-table.

184. In the first phase it should be possible to start the following activities simultaneously:

(a) With regard to the use of the computer: a thorough study of the UNESCO system to see whether it can be adapted for the United Nations, and award of the first contracts to consultants to identify the exact requirements with regard to a number of input documents and possibly also nomenclatures, output documents and programmes;

(b) With regard to rules and regulations: consideration of the revision of the Staff Rules in order to introduce the new concepts defined in recommendation No.1, and consideration of the legal implications of recommendations Nos. 7, 8, 9, 10, 12, 13, 14, 15 and 16;

A start on the study of detailed regulations concerning the system of junior competitive examinations, the operation of the Personnel Inspectorate, the system of marking, the arrangements for training and the draft agreements to be concluded with Member States for the purpose of introducing the system of "alternating secondments"; Execution of the study on standards of academic degrees in each country; consultation with competent specialists, compilation of the special nomenclature for the recruitment roster, preparation of the first descriptions of qualifications;

(c) With regard to training: preparation of a first outline general programme, and placing the first commissions for annotated bibliographies and textbooks;

(d) With regard to the installation of other machinery:

Delimitation of the areas for competitive examinations and, as soon as the first areas have been delimited in agreement with the Governments concerned, appointment of the first board of examiners and organization of the first examination;

Recruitment of the first two inspectors;

A start with advertising for the purpose of compiling the reserve roster;

The opening of negotiations with UNDP on the preliminary training programme and on the establishment of a plan of operations for that purpose.

485. On the basis of the component elements of this first phase and the time-limits set for carrying out each operation it should be possible, after determining what has to be done in the succeeding phases, to work out a very detailed network for the various stages in the execution of the reform. All the phases together should not, in principle, take longer than two years.

(3) The benefit from the reform

486. By comparison with the cost of the reform, which can be estimated in a fair amount of detail, its benefits are obviously difficult to estimate in that way.

All that can be said is that:

As regards personnel policy, it should henceforth be possible to perform various functions which have hitherto been performed imperfectly or not at all: namely, long-term forecasting, the formulation of a detailed personnel policy, in-service training and assignment planning.

Furthermore the recruitment machinery should give far better qualitative results than the machinery used at present; the atmosphere should prove conducive to work and to efficiency; and management in general should be brought much more up to date.

However, the expected results as just described are only intermediate objectives. It is quite clear that the main benefit to be expected from the reform is that it will settle the "modernization crisis" which is besetting the entire Secretariat and which was described in chapter I: that is to say, we can expect a far more efficient and far more harmonious operation of all the units whose task is to facilitate international co-operation among Member States. A benefit of this sort cannot be measured in figures.

REPORT ON PERSONNEL PROBLEMS IN THE UNITED NATIONS

(Professional category and above)

ANNEXES

ANNEX TO CHAPTER I

Annex I.1: The views of some Directors of the Secretariat on recruitment problems

Annex I.1

THE VIEWS OF SOME DIRECTORS OF THE SECRETARIAT^{1/}
ON RECRUITMENT PROBLEMS

Recruitment is the problem which elicited most comments and suggestions; each Director naturally tends to emphasize those aspects of the problem that are of particular concern to his unit. This is hardly surprising but, at the same time, the variety of opinions makes it clear that, while there are common problems, there are also difficulties, or at any rate characteristics, peculiar to the various kinds of staff considered.

(a) The formulation of a long-term recruitment plan is strongly recommended by four Directors - all economists - and the replies as a whole reveal no opposition to this idea. One reply states that such a plan should also cover experts, that it would demonstrate the existence of "specialization units", and that it would thus make it possible to develop the concept of "source of supply".

(b) The idea of competitive recruitment (by competition or examination) at the junior level is supported by eight Directors (four economists and four generalists). Some limit the arrangement to the recruitment of generalists, while others would extend it to economists. One reply maintains that, if young people are to be

^{1/} Thirty-two replies were received to a questionnaire on these problems which was sent to sixty-two Directors (D-2). The sources of the replies were as follows:

Economic and Social Affairs (6 replies);
Inter-Agency Affairs, CCAQ (5 replies);
UNCTAD (5 replies);
Office of the Controller (5 replies);
ECE (2 replies);
Office of Public Information (2 replies).

One reply was received from each of the following: Office of Conference Services, Office of General Services, Division of Human Rights, Division of Narcotic Drugs, Library, Economic Commission for Africa, Economic Commission for Latin America.

attracted, it is particularly necessary to throw open the competition and to develop advertising. The same Director puts forward the original idea that Governments might add to their own civil service entrance examinations a United Nations section, and that this would guarantee the calibre of the staff and facilitate their return, if desired, to their national civil service. One Director advocates holding, after two years' probationary service, a competition for admission to grade P-2 (on a four-year appointment). Two Directors favour competitive recruitment to a junior staff college.

(c) Only one Director feels obliged to emphasize that the principle of geographical distribution must be regarded as absolutely fundamental, whereas seven others think that, especially in the economic sectors, it is absolutely necessary to apply the principle only to the extent compatible with the requirements of recruitment, particularly recruitment of specialists (proposal that economists and technicians should be placed in categories not subject to geographical distribution, especially in sectors where vacancies exceed 10 per cent of establishment; proposal that the concept of geographical distribution should be broadened from the national to the regional context in order to reconcile it with competence). One reply stresses that, if geographical distribution is to be effectively applied, additional training facilities must be provided for countries which need them. Another Director, thinking along the same lines, proposes that such countries should be supplied with training fellowships.

(d) Views differ on the importance of degrees. Some emphasize the need for a very good university training; others stress the importance of first acquiring professional skills, or of the candidates' character qualifications.

(e) Comments on particular points:

Special attention should be given to the recruitment of women;
It is proposed that the committees and sub-committees which supervise appointments and promotions should be abolished;

Several Directors emphasize that permanent appointments should not be made at the outset (abolition of probationary appointments) but only after one or two fixed-term appointments;

Several Directors point to the necessity of raising salary levels at grades P-1 and P-2, and several others to the possibility of offering special remuneration at market rates for certain categories of specialists.

(f) Recruitment difficulties:

A number of Directors replied to the question in the second part of the questionnaire concerning recruitment difficulties experienced. The replies received are set out in the following table (the number of separations from service and of employment offers refused are calculated on the basis of the preceding two years; the figures for posts are those of May-June 1970).

R = remuneration

Division	Separations from service	Employment offers refused	Total established posts	Posts occupied	Vacancies	% of vacancies
Population Division	1 for insufficient R	3, including one for R	30	28	2	6.6
Public Administration Division	3 for insufficient R	Many	21	14	7	33.0
DPPP	Very serious difficulties - not quantified		64	45	19	30.0
UNCTAD, New York Office	7, of which at least 2 for R	14, all for R	22	19	3	17.0
UNCTAD, Division of Invisibles, Geneva	3, of which one for R	Offers adjusted to candidates	24	24	0, but 8 below prescribed grade	
ECE General Economic Analysis Division, Geneva	0	2	38	33	5	13.0
ECLA, Santiago	15, of which 11 for R	21	155	128	27	17.0
Human Rights	-	2	48	45	3	6.0
Library, New York	0	Unknown	62	55	7	11.0
External Relations Division, OPI	4 for R	Difficulties	71	70	1	1.4
Conference Services	Transfers to other departments requested	1	243	239	4	1.6
Internal Audit Service, New York	5, including 2 for R - 3 transferred to other departments		25	19	6	24.0
Office of the Controller (total)	3 for personal reasons		97	94	3	4.0
Accounts Division (Office of the Controller)	0	Definite difficulties	27	23	4	14.0

Given the present state of our information, this table is far from complete, but it prompts the following comments from the author of this note.

The situation seems to be infinitely more serious (1) in New York and Santiago than at Geneva, and (2) in the economic sectors than in the other sectors.

The statistics speak for themselves:

Statistics of vacancies

The proportion of vacancies is over 30 per cent in New York in two very important divisions (the Centre for Development Planning, Projections and Policies (DPPP) and the Public Administration Division). Also in New York, it is 24 per cent in one specialized unit (the Internal Audit Service), 17 per cent in the New York Office of UNCTAD and 14 per cent in the Accounts Division. In units made up of generalists, the proportion is much lower (1.4 per cent in the External Relations Division of OPI and 1.6 per cent in Conference Services).

Number of separations from service

In the thirteen units which sent in replies there were 42 separations for various reasons, including 23 - 11 at Santiago and 12 in New York - which were certainly for financial reasons.

Number of employment offers refused

The same units reported 43 refusals of employment, most of them on grounds of insufficient remuneration. There again the highest figures are for New York and Santiago in the economic sectors: 14 in the New York Office of UNCTAD^{1/} and 21 in UCLA. On the other hand, while difficulties are reported, the number of specific cases is much smaller in the administrative sectors and, at Geneva, even in the economic sectors.

It is clear that this situation is largely attributable to differences in the approach made by the various categories of Directors in the matter of recruitment programmes.

^{1/} UNCTAD is the only unit which counted up these refusals of employment, but the average proportion is the same for all economic units in New York.

ANNEXES TO CHAPTER II

- Annex II.1: Method for statistical calculation of the total number of Professional staff in the United Nations
- Annex II.2: The Professional staff by grade and sex
- Annex II.3: The Professional staff by grade and type of appointment
- Annex II.4: The Professional staff by grade and date of entry on duty
- Annex II.5: The Professional staff by grade and age
- Annex II.6: The Professional staff by grade and mother tongue
- Annex II.7: The Professional staff by grade and number of years of university education
- Annex II.8: The Professional staff by vocational group
- Annex II.9: The Professional staff by type of occupation and grade
- Annex II.10: The Professional staff by type of occupation and age group
- Annex II.11: The Professional staff by vocational group, grade and sex
- Annex II.12: The Professional staff by vocational group, grade and type of appointment
- Annex II.13: The Professional staff by vocational group, grade and year of recruitment
- Annex II.14: The Professional staff by vocational group, grade and region of origin

Annex II.1

METHOD FOR STATISTICAL CALCULATION OF THE TOTAL NUMBER OF
PROFESSIONAL STAFF IN THE UNITED NATIONS

The total number of Professional staff in the United Nations is in the region of 3,000.

But the figure arrived at may vary considerably according to the definition given to the term "Professional staff" and the date on which the calculation is made.

Again, the term "United Nations" may be interpreted to mean:

Headquarters in New York;

All offices financed under the United Nations budget proper, namely:

Headquarters in New York, the Office at Geneva, the regional economic commissions, UNCTAD, UNIDO, the Office of the United Nations High Commissioner for Refugees, the International Court of Justice, special missions and revenue-producing activities;

The foregoing plus the various programmes: UNDP, UNICEF, etc.

Next, it is necessary to specify whether the figures refer to posts - in which case the budget documents should suffice to provide exact information - or to persons, in which case the number of vacancies must be taken into account; and also, whether personnel seconded to other civil services are to be included or not. Some additional details must also be cleared up: for example, the question whether Professional trainees are to be included in the staff, whether posts paid out of "support costs of extra-budgetary programmes" should be added, and so on.

The number of posts in the 1971 budget is 3,076. It is made up of 28 posts of Under-Secretary-General and Assistant Secretary-General, 72 posts at level D-2, 180 at D-1, 445 at P-5, 793 at P-4, 993 at P-3 and 565 at P-1 and P-2. These figures cover all Professional staff paid out of the United Nations budget.

The number of posts in the 1970 budget was 3,035. No very accurate records are kept regarding the number of vacancies. On 31 December, however, there were 47 vacancies for section 3 posts, 5 for UNCTAD, 17 for UNIDO and 2 for UNHCR, making 71 in all. The number of serving Professional staff on that date must therefore have

been about 2,964.^{1/} These figures do not include staff paid out of the "support costs of extra-budgetary programmes" (222 Professional posts in 1970).

In the statistics published by CCAQ (CCAQ/S.31/R.39(PER)), the number of staff given for the United Nations is 3,173: this figure includes both staff paid out of the budget and staff paid out of support costs for the United Nations budget excluding UNICR. The number of Professional staff shown for UMHCN is 109. These figures date from 30 January 1970.

Generally speaking it would be desirable to compile very accurate statistics of the staff covered by the United Nations budget as a whole, and to keep them continuously up to date. This could doubtless be done on the computer.

The method of calculation used

In the absence of a strict recording system, and because the statistical analysis by computer had to be undertaken while this report was being prepared and hence has not yet produced any very detailed results, the analyses given below are not of the utmost strictness. Extrapolations had to be made from incomplete results. The statistics provided by the computer cover about 2,500 Professional staff, but relate sometimes to 2,509 and sometimes to 2,520.^{2/}

The grade pyramid on which the presentation of results will be based has been calculated from the following figures, provided by the Personnel Data Unit for 31 December 1970.

^{1/} However, allowance should also be made for the fact that, at Headquarters in New York, recruitment is authorized against appropriations left unused through vacancies ("staff held against posts and post levels authorized against vacancies"); the number of posts used in this way was 35 on 31 December 1970.

^{2/} In a very few cases, the results relate only to New York Headquarters (and to 1,509 Professional staff). These cases are always specified in the analysis of results.

	Data Unit figures	Computer figures	Number of established posts on 31 December 1971
USG - ASG	28	-	26
D-2	62	65	67
D-1	161	149	162
P-5	388	342	407
P-4	708	635	765
P-3	822	764	954
P-1 and P-2	695	562	528
TOTAL	<u>2,864</u>	<u>2,517</u>	<u>2,909</u>

The United Nations budget figures of 31 December 1970 (number of posts 3,035) have been reduced by the number of Professional staff belonging to the International Court of Justice and the Office of the United Nations High Commissioner for Refugees (16 + 110 = 126 posts) in order to make them comparable to the figures in the other two columns. This reduction gives the total number of established posts as $3,035 - 126 = 2,909$.

The number of vacancies for this category of posts on that date was 69, leaving a total of 2,840. The figures produced by the computer averaged 2,520.

Annex II.2

THE PROFESSIONAL STAFF BY GRADE AND SEX

	<u>Male</u>	<u>Female</u>	<u>Totals</u>
D-1	59	3	62
D-2	144	4	148
P-5	319	29	348
P-4	544	95	639
P-3	569	177	746
P-2	322	140	462
P-1	69	35	104
TOTALS	2,026	483	2,509

Annex II.3

THE PROFESSIONAL STAFF BY GRADE AND TYPE OF APPOINTMENT

	Permanent	Fixed-term	Probationary	Total
D-2	34	27	2	63
D-1	105	42	1	148
P-5	254	92	2	348
P-4	412	213	19	644
P-3	467	243	41	751
P-2	256	114	95	465
P-1	46	35	18	99
TOTAL	1,574	766	178	2,518

Annex II.4

THE PROFESSIONAL STAFF BY GRADE AND DATE OF ENTRY ON DUTY

	1946-1950	1951-1955	1956-1960	1961-1965	1966-1970	
D-2	21	3	1	4	14	43
D-1	47	10	7	14	14	92
P-5	92	33	17	23	34	199
P-4	104	37	52	87	99	379
P-3	95	31	29	84	223	462
P-2	72	16	14	26	158	286
P-1	1	3	2	10	25	44
	432	133	122	248	570	1,505

Annex II.5

THE PROFESSIONAL STAFF BY GRADE AND AGE

Age	Total	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	P-1
60 - plus	125	5	5	10	25	33	25	15	7	
55 - 59	412	3	5	30	56	96	109	76	36	1
50 - 54	489	4		18	55	110	136	103	58	5
45 - 49	525		3	8	37	112	167	125	60	13
40 - 44	456			1	8	44	172	152	68	11
35 - 39	426				3	8	94	201	101	19
30 - 34	328						8	122	156	42
25 - 29	126							17	72	37
20 - 24	7								2	5
TOTALS	2,894	12	13	67	184	403	711	811	560	133

THE FIGURES FROM THE PRECEDING TABLE
IN TEN-YEAR AGE GROUPS

Age	Total	USG ASG	D-2	D-1	P-5	P-4	P-3	P-1/P-2
50 - plus	1,026	22	58	136	239	270	194	107
40 - 50	981	3	9	45	156	339	277	152
30 - 40	754	0	0	3	8	102	323	313
20 - 30	133	0	0	0	0	0	17	116
TOTALS	2,984	25	67	184	403	711	811	693

Annex II.6

THE PROFESSIONAL STAFF BY GRADE AND MOTHER TONGUE

Language	Chinese	English	French	Russian	Spanish	Arabic	German	Total
D-2	1	23	11	10	3	1	2	51
D-1	7	52	19	7	9	10	6	110
P-5	13	112	52	18	32	19	11	257
P-4	31	169	91	69	80	30	15	485
P-3	37	180	126	99	109	30	18	599
P-2	21	148	91	27	52	17	11	367
P-1	2	24	11	0	11	7	1	56
TOTALS	112	708	401	230	296	114	64	1,925

N.B. The nationalities of the staff of German mother tongue were as follows:
Austria 21, United States of America 15, Federal Republic of Germany 13,
Switzerland 5, and one each from Australia, Bolivia, France, Israel,
Luxembourg, Poland, Union of Soviet Socialist Republics and United Kingdom
of Great Britain and Northern Ireland.

Annex II.7

THE PROFESSIONAL STAFF BY GRADE AND
NUMBER OF YEARS OF UNIVERSITY EDUCATION

	0	1	2	3	4	5	6	7	8	9	Total
D-2	9	2	8	6	15	8	7	2	5	3	65
D-1	18	1	11	21	27	22	17	13	13	6	149
P-5	62	15	40	45	65	48	28	20	4	15	342
P-4	200	13	36	73	102	93	59	24	18	17	635
P-3	191	23	32	81	148	110	80	49	25	25	764
P-2	144	17	22	41	66	63	53	25	10	20	461
P-1	25	9	8	14	14	16	3	7	3	2	101
	649	80	157	281	437	360	247	140	78	88	2,517

TABLE SHOWING THE SAME DATA CONDENSED

	0	1,2	3,4,5	6 and over	Total
D-2	9	10	29	17	65
D-1	18	12	70	49	149
P-5	62	55	158	67	342
P-4	200	49	268	118	635
P-3	191	55	339	179	764
P-1, P-2	169	56	214	123	562
	649	237	1,078	553	2,517

Annex II.8

STRENGTH OF THE PROFESSIONAL STAFF OF THE UNITED NATIONS BY VOCATIONAL GROUP

(Figures from a CCAQ study made early in 1970)

Vocational group	1				2				3				4				5				6				7				8				9			
	UN Headquarters (N.Y.)				UN Office at Geneva				Regional economic commissions + UNESOB 1/				UNHCR (HQs and field)				UNCTAD				UNIDO				Miscellaneous (special missions, ICJ, Revenue-producing activities) 2/				TOTAL				UNDP (HQs and field offices)			
	P1	P2-P5	D1-D2	Total	P1	P2-P5	D1-D2	Total	P1	P2-P5	D1-D2	Total	P1	P2-P5	D1-D2	Total	P1	P2-P5	D1-D2	Total	P1	P2-P5	D1-D2	Total	P1-P2	P3-P5	D1-D2	Total	P1-P2	P3-P5	D1-D2	Total	P1	P2-P5	D1-D2	Total
GENERALISTS																																				
Administrative	78	231	42	351	5	50	10	65	17	40	13	70	17	55	6	78	8	32	5	45	4	69	9	82	-	4	1	5	129	481	86	696	16	353	91	460
Information Officers	27	81	14	122	-	10	-	10	1	3	-	4	3	6	-	9	-	2	1	3	-	1	-	1	-	1	-	1	31	104	15	150	-	8	1	9
Language Officers																																				
Interpreters	4	53	1	58	5	33	-	38	-	-	-	-	-	-	-	-	-	8	-	8	-	3	-	3	-	-	-	9	97	1	107	-	-	-	-	
Translators and others	68	279	8	315	-	96	1	97	9	32	-	41	-	-	-	-	5	24	-	29	-	30	-	30	-	-	-	82	421	9	512	-	-	-	-	
Political Affairs Officers	19	65	21	105	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	6	2	8	19	71	23	113	-	-	-	-
Other Generalists	42	34	4	80	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	16	1	17	12	30	3	45	54	80	8	142	-	-	-	-
Sub-total	238	703	90	1,031	10	189	11	210	27	75	13	115	20	61	6	87	13	66	6	85	4	119	10	133	12	41	6	59	324	1,254	142	1,720	16	361	92	469
SPECIALISTS																																				
Accountants, Auditors	13	30	4	47	3	9	-	12	4	5	-	9	1	1	-	2	-	-	-	-	1	4	-	5	-	-	-	22	49	4	75					
Economists	22	68	14	104	-	-	-	-	45	206	19	270	-	-	-	-	9	90	14	113	2	42	3	47	-	1	1	78	407	50	535					
Engineers	1	11	5	17	-	4	-	4	3	48	4	55	-	-	-	-	-	-	-	-	1	21	-	22	-	-	-	5	84	9	98					
Librarians	21	26	2	49	2	10	1	13	3	3	-	6	-	-	-	-	1	1	-	2	-	2	-	2	-	-	27	42	3	72						
Legal Affairs Officers	14	52	10	76	-	1	-	1	-	-	1	1	5	12	1	18	-	1	-	1	-	1	1	2	-	1	19	68	13	100						
Sociologists and Social Scientists	12	67	16	95	5	20	1	26	6	26	4	36	-	-	-	-	-	-	-	-	-	-	-	-	-	-	23	113	21	157						
Statisticians	21	38	5	64	-	-	-	-	17	46	2	65	-	-	-	-	1	3	1	5	-	-	-	-	-	-	39	87	8	134						
Verbatim Reporters	-	31	-	31	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	31	-	31						
Other	-	10	2	12	-	17	-	17	-	2	-	2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	29	2	31						
Sub-total	104	333	58	495	10	61	2	73	78	336	30	444	6	13	1	20	11	95	15	121	4	70	4	78	-	2	2	213	910	110	1,233	16	361	92	469	
Grand total	342	1,036	148	1,526	20	250	13	283	105	411	43	559	26	74	7	107	24	161	21	206	8	189	14	211	12	43	6	61	537	2,164	252	2,953	16	361	92	469

1/ See page 2 of this annex.

2/ See page 3 of this annex.

Annex II.8 (continued)

Regional economic commissions and United Nations Economic and Social Office in Beirut

Vocational group	ECE 1/				ECAFE 2/				ECLA 2/				ECA 2/				Beirut 2/				Total			
	P1	P2-P5	D1-D2	Total	P1-P2	P3-P5	D1-D2	Total												P1	P2-P5	D1-D2	Total	
GENERALISTS																								
Administrative	1	6	3	10	5	14	3	22	5	10	3	18	6	8	4	18	-	2	-	2	17	40	13	70
Information Officers	-	-	-	-	1	1	-	2	-	1	-	1	-	1	-	1	-	-	-	-	1	3	-	4
Language Officers																								
Interpreters	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Translators and others	2	1	-	3	4	13	-	17	-	9	-	9	3	9	-	12	-	-	-	-	9	32	-	41
Political Affairs Officers	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Other Generalists	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Sub-total	3	7	3	13	10	28	3	41	5	20	3	28	9	18	4	31	-	2	-	2	27	75	13	115
SPECIALISTS																								
Accountants, Auditors					1	2	-	3	1	2	-	3	2	1	-	3					4	5	-	9
Economists	-	37	5	42	11	53	4	68	21	62	4	87	11	46	5	62	2	8	1	11	45	206	19	270
Engineers	-	22	2	24	2	13	1	16	1	4	1	6	-	9	-	9	-	-	-	-	3	48	4	55
Librarians	-	-	-	-	1	1	-	2	-	1	-	1	2	1	-	3	-	-	-	-	3	3	-	6
Legal Affairs Officers	-	-	1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	1	
Sociologists and Social Scientists	-	-	-	-	2	8	2	12	1	6	1	8	3	9	1	13	-	3	-	3	6	26	4	36
Statisticians	2	15	1	18	5	6	-	11	3	6	-	9	7	19	1	27	-	-	-	-	17	46	2	65
Verbatim Reporters	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Other	-	-	-	-	-	1	-	1	-	1	-	1	-	-	-	-	-	-	-	-	2	-	2	
Sub-total	2	74	9	85	22	84	7	113	27	82	6	115	25	85	7	117	2	11	1	14	78	336	30	444
Grand total	5	81	12	98	32	112	10	154	32	102	9	143	34	103	11	148	2	13	1	16	105	411	43	559

1/ Figures given to the CCAQ Secretary in June 1970.

2/ Figures of the 1970 United Nations Budget.

Annex II.8 (continued)
Various United Nations offices

Vocational group	Special Missions 1/				International Court of Justice 1/				Revenue-producing activities 1/				Total			
	P1	P2-P5	D1-D2	Total	P1	P2-P5	D1-D2	Total	P1-P2	P3-P5	D1-D2	Total	P1-P2	P3-P5	D1-D2	Total
GENERALISTS																
Administrative		4	1	5										4	1	5
Information Officers		1		1										1		1
Language Officers																
Interpreters																
Translators and others																
Political Affairs Officers		6	2	8										6	2	8
Other Generalists		1	0	1	1	13	2	16	11	16	1	28	12	30	3	45
Sub-total		12	3	15	1	13	2	16	11	16	1	28	12	41	6	59
SPECIALISTS																
Accountants, Auditors																
Economists		1		1										1		1
Engineers																
Librarians																
Legal Affairs Officers		1		1										1		1
Sociologists and Social Scientists																
Statisticians																
Verbatim Reporters																
Other																
Sub-total		2		2										2		2
Grand total		14	3	17	1	13	2	16	11	16	1	28	12	43	6	61

1/ Figures of the 1970 United Nations Budget

Annex II.9

THE PROFESSIONAL STAFF BY TYPE OF OCCUPATION AND GRADE

<u>Type of occupation</u>	<u>TOTALS</u>	<u>P-1</u>	<u>P-2</u>	<u>P-3</u>	<u>P-4</u>	<u>P-5</u>	<u>D-1</u>	<u>D-2</u>
Budget and Finance	65	5	13	8	20	11	6	2
Personnel Officers (including pensions and recruitment)	93	5	15	23	25	18	4	3
Programme and Project Officers	104	12	19	33	18	17	5	
Committee Secretariats, Conference and Conference Planning Officers	119	6	22	33	27	20	6	5
Data processing, Organization and methods (management)	45	2	19	4	7	6	6	1
External relations, liaison and protocol	29	1	1	7	9	5	4	2
General administrative, registry and archives, Transport and procurement and other administrative, if any	233	14	54	43	46	40	23	13
Press	37	-	4	11	12	8	1	1
Radio or TV	57	2	11	24	10	7	2	1
Mixed or other functions	75	1	10	7	29	18	7	3
Interpreters	98	1	9	36	45	6	1	
Translators, Translator/Précis-Writers and Editors	440	1	75	208	121	27	6	2
Other language officers	55	2	32	17	2	2		
All Political affairs officers	76	3	8	10	20	16	14	5
All Accountants and auditors	61	6	18	14	13	6	2	2
All Economists	383	15	69	102	95	61	29	12
All Engineers	73	2	6	14	33	14	3	1
Legal Officers	67	1	10	13	16	17	7	3
Librarians	69	4	26	26	7	4	2	
Sociologists and Social Scientists	109	5	16	29	31	13	6	4
Statisticians	99	8	19	34	19	12	6	1
Verbatim Reporters	31			22	3	1		
Other	102	4	9	34	30	15	8	2
TOTALS	2,520	100	465	752	643	349	148	63

Annex II.10

THE PROFESSIONAL STAFF BY TYPE OF OCCUPATION AND AGE GROUP

<u>Type of occupation</u>	<u>TOTALS</u>	<u>20-24</u>	<u>25-29</u>	<u>30-34</u>	<u>35-39</u>	<u>40-44</u>	<u>45-49</u>	<u>50-54</u>	<u>55-59</u>	<u>60 +</u>
Budget and Finance	65		3	3	8	10	14	16	10	1
Personnel Officers (including pensions and recruitment)	93		3	10	12	14	24	16	14	
Programme and Project Officers	104		5	22	20	14	21	9	13	
Committee Secretariats, Conference and Conference Planning Officers	119		3	7	21	15	27	28	16	2
Data processing, Organization and methods (management)	45	1	10	6	5	6	5	10	1	1
External relations, liaison and protocol	29		2	1	7	6	5	3	5	
General administrative, registry and archives, Transport and procure- ment and other administrative, if any	233		2	13	18	29	62	64	39	6
Press	37		1	2	6	1	11	11	4	1
Radio or TV	57			1	8	14	13	11	8	2
Mixed or other functions	75		2	1	3	15	16	13	23	2
Interpreters	98		10	21	14	9	14	15	13	2
Translators, Translator/ Précis-Writers and Editors	440	2	40	74	62	52	78	70	57	5
Other language officers	55		3	6	11	7	4	8	13	3
All political affairs officers	76		1	8	18	10	15	14	10	
All accountants and auditors	61		4	7	10	12	9	9	9	1
All economists	383		23	60	80	86	60	41	32	1
All engineers	73			4	18	15	13	12	8	3
Legal Officers	67		2	10	7	11	11	14	11	1
Librarians	69		1	5	12	14	17	11	9	
Sociologists and Social Scientists	109	1	3	11	20	21	19	20	13	1
Statisticians	99		5	8	14	26	18	14	13	1
Verbatim Reporters	31		3		2	5	7	4	8	2
Other	102		3	12	19	15	25	17	11	
TOTALS	2,520	4	129	292	395	407	488	430	340	35

Annex II.11

THE PROFESSIONAL STAFF BY VOCATIONAL GROUP, GRADE AND SEX

Administrative Generalists

Grade	Male	Female	Total
D-2	23	2	25
D-1	53	1	54
P-5	108	10	118
P-4	129	23	152
P-3	114	34	148
P-2	103	39	142
P-1	36	14	50
Total	566	123	689

Language Officers

Grade	Male	Female	Total
D-2	1	1	2
D-1	7		7
P-5	29	5	34
P-4	126	42	168
P-3	184	76	260
P-2	74	42	116
P-1	2	2	4
Total	423	168	591

Economists and Sociologists

Grade	Male	Female	Total
D-2	16		16
D-1	34	1	35
P-5	75	3	78
P-4	119	10	129
P-3	118	12	130
P-2	68	16	84
P-1	13	6	19
Total	443	48	491

Annex II.12

THE PROFESSIONAL STAFF BY VOCATIONAL GROUP, GRADE AND TYPE OF APPOINTMENT
Administrative Generalists

Grade	Permanent and Probationary	Fixed Term	Total
D-2	14	12	26
D-1	43	11	54
P-5	92	25	117
P-4	103	48	151
P-3	113	38	151
P-2	125	18	143
P-1	29	15	44
Total	519	167	686

Language Officers

Grade	Permanent and Probationary	Fixed Term	Total
D-2	2		2
D-1	6	1	7
P-5	31	4	35
P-4	139	31	170
P-3	190	70	260
P-2	80	36	116
P-1	3	1	4
Total	451	143	594

Economists and Sociologists

Grade	Permanent and Probationary	Fixed Term	Total
D-2	10	6	16
D-1	26	9	35
P-5	46	32	78
P-4	64	62	126
P-3	75	56	131
P-2	53	32	85
P-1	10	10	20
Total	284	207	491

Annex II.13

THE PROFESSIONAL STAFF BY VOCATIONAL GROUP, GRADE AND YEAR OF RECRUITMENT

Administrative Generalists

Grade	1946-50	1951-1960	1961-70	Total
D-2	7	1	8	16
D-1	18	8	9	35
P-5	36	14	17	67
P-4	22	15	35	72
P-3	39	7	49	95
P-2	42	14	37	93
P-1		3	20	23
Total	164	62	175	401

Language Officers

Grade	1946-50	1951-1960	1961-70	Total
D-2	2			2
D-1	6		1	7
P-5	15	2	2	19
P-4	39	32	35	106
P-3	24	20	128	172
P-2	6	4	68	78
P-1		1		1
Total	92	59	234	385

Economists and Sociologists

Grade	1946-50	1951-1960	1961-70	Total
D-2	4	2	2	8
D-1	4	6	1	11
P-5	7	13	11	31
P-4	3	8	37	48
P-3	6	2	37	45
P-2	4	3	24	31
P-1			6	6
Total	28	34	118	180

Annex II.14

THE PROFESSIONAL STAFF BY VOCATIONAL GROUP, GRADE AND REGION OF ORIGIN
Administrative Generalists

Grade	Africa	Asia and Far East	Eastern Europe	Western Europe	Latin America	Middle East	North America and Caribbean	Other	Total
D-2	1	1	6	8	1	2	7		26
D-1	7	9	3	14	2	5	12	2	54
P-5	9	12	5	41	9	8	28	5	117
P-4	10	16	27	41	12	4	38	3	151
P-3	18	16	15	26	13	7	51	3	149
P-2	13	19	6	30	12	5	52	1	138
P-1	12	7		11	5	3	7	1	46
Total	70	80	62	171	54	34	195	15	681

Language Officers

Grade	Africa	Asia and Far East	Eastern Europe	Western Europe	Latin America	Middle East	North America and Caribbean	Other	Total
D-2				1			1		2
D-1		2	1	2	1		1		7
P-5		2	5	19	3	1	5		35
P-4		19	21	76	19	2	27	4	168
P-3	3	28	48	110	36	5	24	7	261
P-2		6	22	56	14		16	2	116
P-1				2			2		4
Total	3	57	97	266	73	8	76	13	593

Economists and Sociologists

Grade	Africa	Asia and Far East	Eastern Europe	Western Europe	Latin America	Middle East	North America and Caribbean	Other	Total
D-2	1	1	2	4	2	1	2		13
D-1	4	6	6	7	3	1	3	2	32
P-5	4	26	10	13	11	4	3	2	73
P-4	12	25	27	17	15	10	18	1	125
P-3	19	24	24	17	24	9	17	7	141
P-2	18	12	3	21	10	4	15	2	85
P-1	4	4	1	4	4	1	1		19
Total	62	98	73	83	69	30	59	14	488

ANNEX TO CHAPTER III

Annex III.1: The budget of the Office of Personnel (1969, 1970 and 1971)

Annex III.1

Budget of the Office of Personnel
(in thousands of US dollars)

Sections of the budget	Number of posts		Salaries established posts	Temporary assistance consultants overtime	Common staff costs incl. home leave (pre-rated) to e.p.	Travel of staff	Representation allowance	Recruitment ad. to interview travel and exam.	Printing	Total
Prof.	G.S.									
Headquarters Regular budget										
(i) Office of Personnel 1969	61	92	1,812	34	462	24	4	25	1	2,362
(including 1970 TARS)	61	92	2,030	24	495	14	4	23	1	2,591
1971	63	91	2,236	122	557	26	4	22	1	2,968
(ii) Health Service 1969	3	12	142	17	36	1				196
1970	3	12	171	16	43	1				231
1971	3	12	192	14	48	1				255
(iii) Training (language training and Jr. prof. trainees, chap. VI of Sec. 4) (all offices) 1969					476					476
1970					610					610
1971					810					810
Total 1969	64	104	1,954	51	974	25	4	25	1	3,034
Headquarters 1970	64	104	2,201	40	1,148	15	4	23	1	3,432
Regular Budget 1971	66	103	2,428	136	1,415	27	4	22	1	4,033
Headquarters (TARS) (Extra-budgetary Funds) 1969	6	23	345.1		86.3					431.4
1970	6	23	367		91.5					458.5
1971	6	23	403		100.7					503.7
Total Regular 1969	70	127	2,299.1	51	1,060.3	25	4	25	1	3,465.4
plus Extra-budgetary Funds 1970	70	127	2,568	40	1,239.5	15	4	23	1	3,890.5
1971	72	126	2,831	136	1,515.7	27	4	22	1	4,536.7
For Extra-budgetary Funds, Common staff costs have been estimated at 25% of salary cost.										
Geneva (including TARS) Regular Budget 1969	17	29	484	18	118	23		3		646
1970	17	29	506	22	127	23		4		682
1971	17	29	546	23	145	23		4		741
Geneva (TARS) 1969	1		18		4.5					22.5
Extra-budgetary Funds 1970	1		19		4.7					23.7
1971	1		21		5.2					26.2
Total Geneva 1969	18	29	502	18	122.5	23		3		668.5
1970	18	29	525	22	131.7	23		4		705.7
1971	18	29	567	23	150.2	23		4		767.2
UNIDO Regular Budget 1969	8	22	220		55					275
1970	8	22	227		57					284
1971	8	22	264		66					330
UNIDO Extra-budgetary Funds 1969	8	32	222.9		55.7					278.6
1970	8	32	234		58.5					292.5
1971	8	32	253.5		63.4					316.9
ECA 1969	3	12	83		20					103
1970	3	12	85		22					106
1971	3	12	87		22					109
ECAFE 1969	2	10	68		17					85
1970	2	10	70		18					88
1971	4	8	80		20					100
ECLA (Santiago) 1969	2	3	55		14					69
Mexico 1970	2	3	56		14					70
1971	2	3	57		14					71
UNCTAD Geneva 1 3) 1969	4	7	86		21					107
N.Y. 1 1) 1970	4	7	99		24					123
ITC 1 2) 1971	4	7	104		26					130
UNCTAD 1 1)										
Total UNIDO, UNCTAD Regional Econ. Com 1969	27	86	734.9		182.7					917.6
1970	27	86	771		192.5					963.5
1971	29	84	845.5		211.4					1,056.9
Grand Total 1969	115	242	3,536	74	1,365.5	48	4	29	1	5,051.5
1970	115	242	3,864	62	1,563.7	38	4	27	1	5,559.7
1971	119	239	4,243.5	159	1,877.3	50	4	26	1	6,360.8

ANNEXES TO CHAPTER IV

- Annex IV.1 : Number of Professional staff recruited per year, junior and non-junior, by profession and by office (total United Nations, 1965-1969)
- Annex IV.2 : Number of Professional staff recruited per year, junior and non-junior, by type of appointment and by office (total United Nations, 1965-1969)
- Annex IV.3 : Number of Professional staff promoted per year, by grade and by office (total United Nations, 1965-1969)
- Annex IV.4 : Number of separations from service among Professional staff per year, junior and non-junior, by profession and by office (total United Nations, 1965-1969)
- Annex IV.5 : Number of separations from service among Professional staff per year, junior and non-junior, by type of appointment and by office (total United Nations, 1965-1969)
- Annex IV.6 : Method of preparing a long-term recruitment plan

ANNEX II.1
NUMBER OF PROFESSIONAL STAFF RECRUITED PER YEAR, JUNIOR AND NON-JUNIOR, BY PROFESSION AND BY OFFICE (TOTAL UNITED NATIONS, 1965-1969)

Year		Headquarters excluding ESA	Department of Economic and Social Affairs	Regional economic commissions excluding ECE	ECE	UNCTAD	United Nations Office at Geneva	UNHCR	UNIDO	Total
1965	- Juniors ^{1/}									
	- language staff	30	1	2	-	-	2	-	-	35
	- other generalists	19	-	-	-	-	2	4	-	25
	- economists ^{2/}	-	12	6	1	1	-	-	-	20
	- other specialists	4	-	-	-	-	3	-	-	7
	Total	53	23	8	1	1	7	4	-	87
	- Non-juniors ^{1/}									
	- language staff	10	-	1	-	-	4	-	-	15
	- other generalists	28	3	2	-	-	3	-	-	36
	- economists ^{2/}	-	22	18	7	11	1	-	-	59
	- other specialists	1	-	1	-	-	-	-	-	2
	Total	39	25	22	7	11	8	-	-	112
	Grand total	92	38	30	8	12	15	4	-	199
1966	- Juniors									
	- language staff	32	-	1	-	-	4	-	-	37
	- other generalists	22	4	1	-	-	-	7	-	34
	- economists	3	21	9	2	10	2	-	-	47
	- other specialists	4	-	-	-	-	2	-	-	6
	Total	61	25	11	2	10	8	7	-	124
	- Non-juniors									
	- language staff	21	-	2	-	-	10	-	-	33
	- other generalists	27	13	1	-	-	3	2	-	46
	- economists	3	60	32	7	26	1	-	-	129
	- other specialists	-	2	1	-	2	-	-	-	5
	Total	51	75	36	7	28	14	2	-	213
	Grand total	112	100	47	9	38	22	9	-	337
1967	- Juniors									
	- language staff	28	-	1	-	-	9	-	-	38
	- other generalists	32	8	-	-	-	1	7	-	48
	- economists	5	7	5	-	8	-	-	-	25
	- other specialists	1	-	1	-	-	-	-	-	2
	Total	66	15	7	-	8	10	7	-	113
	- Non-juniors									
	- language staff	20	-	-	-	-	7	-	-	27
	- other generalists	37	9	2	1	-	4	3	-	56
	- economists	1	24	35	3	10	3	-	-	76
	- other specialists	3	-	2	-	-	-	-	-	5
	Total	61	33	39	4	10	14	3	-	164
	Grand total	127	48	46	4	18	24	10	-	277
1968	- Juniors									
	- language staff	49	-	1	-	-	12	1	3	66
	- other generalists	26	4	1	1	3	1	4	3	43
	- economists	-	9	8	1	5	-	-	6	29
	- other specialists	5	-	-	-	-	2	-	1	8
	Total	80	13	10	2	8	15	5	13	146
	- Non-juniors									
	- language staff	13	2	-	-	-	2	-	7	24
	- other generalists	28	9	1	-	2	6	2	8	56
	- economists	-	19	17	8	12	1	-	7	64
	- other specialists	4	1	-	-	-	2	-	-	16
	Total	45	31	18	8	14	11	2	31	160
	Grand total	125	44	28	10	22	26	7	44	306
1969	- Juniors									
	- language staff	56	-	1	-	-	8	-	7	72
	- other generalists	15	9	2	-	2	2	3	5	38
	- economists	1	11	12	2	5	1	-	4	36
	- other specialists	2	-	-	-	-	3	-	3	8
	Total	74	20	15	2	7	14	3	19	154
	- Non-juniors									
	- language staff	8	-	-	-	-	5	-	4	17
	- other generalists	49	9	3	-	1	4	5	4	75
	- economists	2	23	31	8	15	4	-	7	90
	- other specialists	18	-	1	-	1	1	-	17	38
	Total	77	32	35	8	17	14	5	32	220
	Grand total	151	52	50	10	24	28	8	51	374

^{1/} Juniors: P-1 and P-2. Non-juniors: above P-2.

^{2/} "Economists" comprises: economists, sociologists and statisticians.

ANNEX IV.2

NUMBER OF PROFESSIONAL STAFF RECRUITED PER YEAR, JUNIOR AND NON-JUNIOR, BY TYPE
OF APPOINTMENT AND BY OFFICE (TOTAL UNITED NATIONS, 1965-1969)

Year	Headquarters excluding ESA	Department of Economic and Social Affairs	Regional economic commissions excluding ECE	ECE	UNCTAD	United Nations Office at Geneva	UNHCR	UNIDO	Total
1965									
- Juniors - P	23	5	1	-	-	3	-	-	32
- F.T.	30	8	7	1	1	4	4	-	55
- Non-juniors - P	8	4	-	1	2	-	-	-	15
- F.T.	31	21	22	6	9	8	-	-	97
Total P	31	9	1	1	2	3	-	-	47
Total F.T.	61	29	29	7	10	12	4	-	152
Grand total									199
1966									
- Juniors - P	39	16	5	2	7	7	-	-	76
- F.T.	22	9	6	-	3	1	7	-	48
- Non-juniors - P	10	19	4	2	8	3	-	-	46
- F.T.	41	56	32	5	20	11	2	-	167
Total P	49	35	9	4	15	10	-	-	122
Total F.T.	63	65	38	5	23	12	9	-	215
Grand total									337
1967									
- Juniors - P	35	10	1	-	5	5	1	-	57
- F.T.	31	5	6	-	3	5	6	-	56
- Non-juniors - P	17	5	6	-	4	7	-	-	39
- F.T.	44	28	33	4	6	7	3	-	125
Total P	52	15	7	-	9	12	1	-	76
Total F.T.	75	33	39	4	9	12	9	-	181
Grand total									277
1968									
- Juniors - P	49	4	4	-	2	3	1	2	65
- F.T.	31	9	6	2	6	12	4	11	81
- Non-juniors - P	11	6	2	1	-	4	-	5	29
- F.T.	34	25	16	7	14	7	2	26	131
Total P	60	10	6	1	2	7	1	7	94
Total F.T.	65	34	22	9	20	19	6	37	212
Grand total									306
1969									
- Juniors - P	45	7	5	1	1	6	-	5	70
- F.T.	29	14	10	1	6	8	3	14	85
- Non-juniors - P	5	5	5	-	1	4	-	2	22
- F.T.	72	26	30	8	16	10	5	30	197
Total P	50	12	10	1	2	10	-	7	92
Total F.T.	101	40	40	9	22	18	8	44	282
Grand total									374

ANNEX IV.3

NUMBER OF PROFESSIONAL STAFF PROMOTED PER YEAR, BY GRADE AND BY OFFICE (TOTAL UNITED NATIONS, 1965-1969)

Year	Headquarters excluding ESA	Department of Economic and Social Affairs	Regional economic commissions excluding ECE	ECE	UNCTAD	United Nations Office at Geneva	UNHCR	UNIDO	Total
1965									
P-1	2	6	5	1	-	2	1	-	17
P-2	15	9	7	2	-	3	2	-	38
P-3	44	7	7	1	-	4	-	-	63
P-4	32	8	6	1	-	6	1	-	54
P-5	17	6	3	1	1	4	1	-	33
D-1	10	10	4	-	1	2	1	-	28
D-2	6	2	1	-	-	-	-	-	9
Total	126	48	33	6	2	21	6	-	242
1966									
P-1	4	1	4	6	-	2	-	-	17
P-2	18	13	4	5	-	4	-	-	44
P-3	38	11	13	4	3	6	13	-	88
P-4	32	20	13	7	1	10	8	-	91
P-5	21	16	6	4	-	5	4	-	56
D-1	9	1	2	5	2	-	1	-	20
D-2	3	-	1	1	-	-	1	-	6
Total	125	62	43	32	6	27	27	-	322
1967									
P-1	5	3	5	3	-	3	-	-	19
P-2	25	6	6	3	-	5	2	-	47
P-3	41	8	11	-	1	5	10	-	76
P-4	31	13	12	-	-	5	7	-	68
P-5	18	5	4	1	2	4	3	-	37
D-1	11	2	1	-	2	-	1	-	17
D-2	2	3	-	-	-	-	-	-	5
Total	133	40	39	7	5	22	23	-	269
1968									
P-1	3	-	5	-	-	4	3	2	17
P-2	23	7	3	1	2	7	3	2	48
P-3	40	14	9	3	2	9	2	3	82
P-4	33	7	9	2	2	10	1	8	72
P-5	22	6	6	3	1	1	-	5	44
D-1	5	4	4	-	-	2	-	-	15
D-2	5	1	-	-	-	1	-	-	7
Total	131	39	36	9	7	34	9	20	285
1969									
P-1	3	2	4	-	-	1	1	4	15
P-2	27	19	7	2	3	1	2	1	62
P-3	56	10	6	3	3	3	5	2	83
P-4	41	13	9	3	3	12	6	12	99
P-5	15	15	7	3	1	7	3	2	53
D-1	7	5	2	1	-	2	-	4	21
D-2	3	-	1	-	-	-	-	-	4
Total	152	64	36	12	10	26	17	25	342

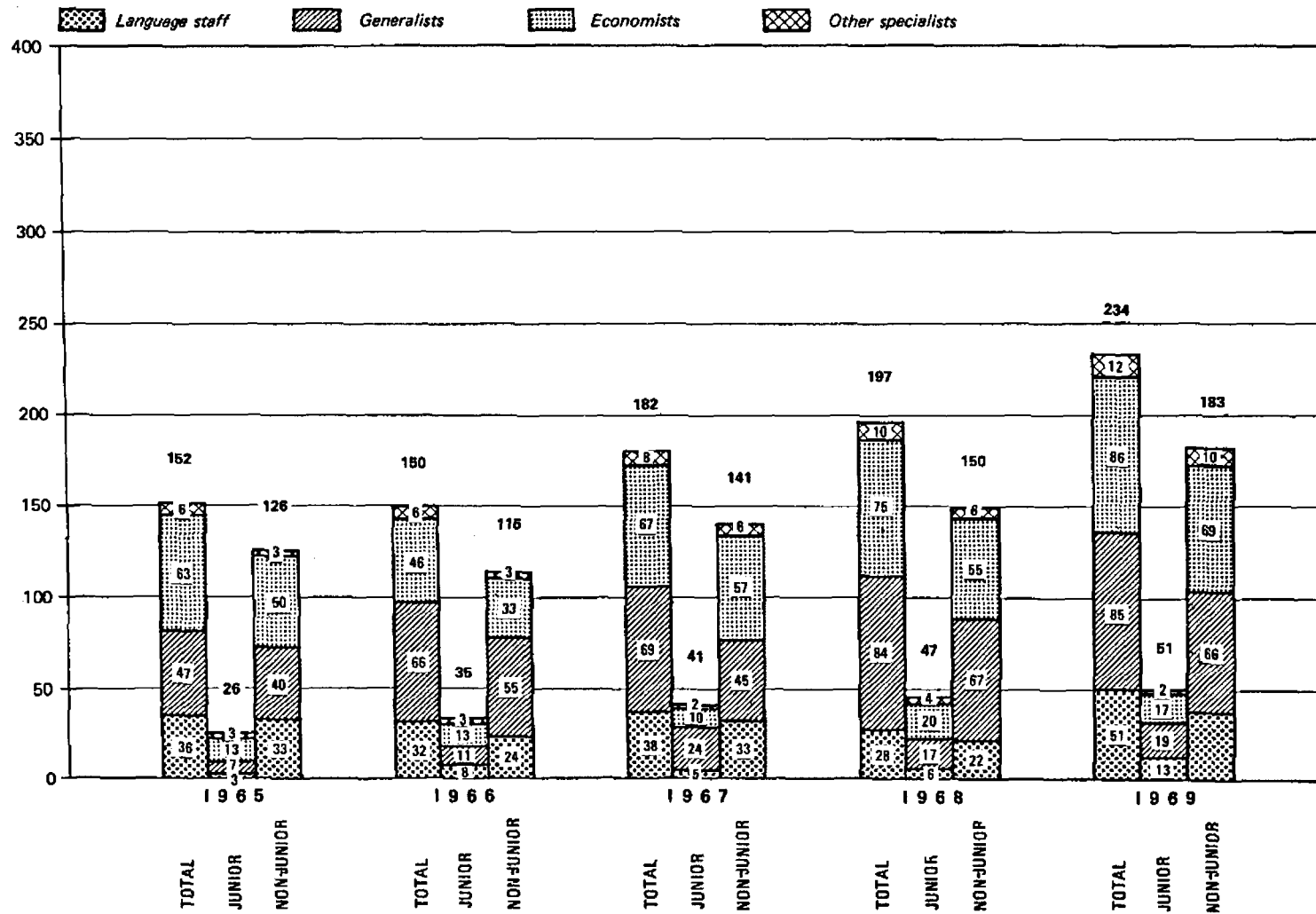
ANNEX IV.A

NUMBER OF SEPARATIONS FROM SERVICE AMONG PROFESSIONAL STAFF PER YEAR, JUNIOR AND NON-JUNIOR,
BY PROFESSION AND BY OFFICE (TOTAL UNITED NATIONS, 1965-1969)

Year	Headquarters excluding ESA	Department of Economic and Social Affairs	Regional economic commissions excluding ECE	ECE	UNCTAD	United Nations Office at Geneva	UNHCR	UNIDO	Total
1965									
- Juniors - language staff	2	-	-	-	-	1	-	-	3
- other generalists	5	-	-	-	-	1	1	-	7
- economists	-	5	6	1	-	1	-	-	13
- other specialists	2	-	-	-	-	1	-	-	3
Total	9	5	6	1	-	4	1	-	26
- Non-juniors - language staff	22	-	1	-	-	10	-	-	33
- other generalists	29	6	-	-	-	3	2	-	40
- economists	1	22	18	7	-	2	-	-	50
- other specialists	1	-	-	-	-	2	-	-	3
Total	53	28	19	7	-	17	2	-	126
Grand total	62	33	25	8	-	21	3	-	152
1966									
- Juniors - language staff	6	-	1	-	-	1	-	-	8
- other generalists	6	2	-	-	-	0	3	-	11
- economists	-	5	7	-	-	1	-	-	13
- other specialists	2	-	-	-	-	1	-	-	3
Total	14	7	8	-	-	3	3	-	35
- Non-juniors - language staff	18	-	1	-	-	5	-	-	24
- other generalists	35	8	5	-	-	3	4	-	55
- economists	2	13	11	2	1	4	-	-	33
- other specialists	2	-	-	-	-	1	-	-	3
Total	57	21	17	2	1	13	4	-	115
Grand total	71	28	25	2	1	16	7	-	150
1967									
- Juniors - language staff	5	-	-	-	-	-	-	-	5
- other generalists	16	1	1	-	-	2	4	-	24
- economists	-	2	4	1	1	-	2	-	10
- other specialists	1	-	-	-	-	1	-	-	2
Total	22	3	5	1	1	3	6	-	41
- Non-juniors - language staff	29	-	1	-	-	3	-	-	33
- other generalists	25	11	1	1	-	4	3	-	45
- economists	1	21	17	5	12	1	-	-	57
- other specialists	2	1	-	-	-	2	1	-	6
Total	57	33	19	6	12	10	4	-	141
Grand total	79	36	24	7	13	13	10	-	182
1968									
- Juniors - language staff	6	-	-	-	-	-	-	-	6
- other generalists	12	2	-	-	-	-	3	-	17
- economists	-	8	7	-	3	-	-	2	20
- other specialists	1	-	-	-	-	1	-	2	4
Total	19	10	7	-	3	1	3	4	47
- Non-juniors - language staff	15	-	-	-	-	7	-	-	22
- other generalists	42	10	1	-	1	8	3	2	67
- economists	13	13	25	9	6	1	-	1	55
- other specialists	5	-	-	-	-	-	-	1	6
Total	62	23	26	9	7	16	3	4	150
Grand total	81	33	33	9	10	27	6	8	197
1969									
- Juniors - language staff	5	-	1	-	-	4	1	2	13
- other generalists	13	3	-	-	-	-	2	1	19
- economists	-	8	2	-	2	-	-	5	17
- other specialists	-	-	-	-	-	1	-	1	2
Total	18	11	3	-	2	5	3	9	51
- Non-juniors - language staff	21	1	1	-	-	12	-	3	38
- other generalists	39	8	3	-	-	4	4	8	66
- economists	-	14	28	4	17	4	-	2	69
- other specialists	5	-	-	-	1	2	-	2	10
Total	65	23	32	4	18	22	4	15	183
Grand total	83	34	35	4	20	27	7	24	234

STATISTICS OF SEPARATION FROM SERVICE AMONG PROFESSIONAL STAFF, 1965 - 1969

Total for United Nations by vocational group, distinguishing between junior and non-junior posts



Some forty separations from service are recorded each year in grades P-1 and P-2, mainly among generalists and economists.

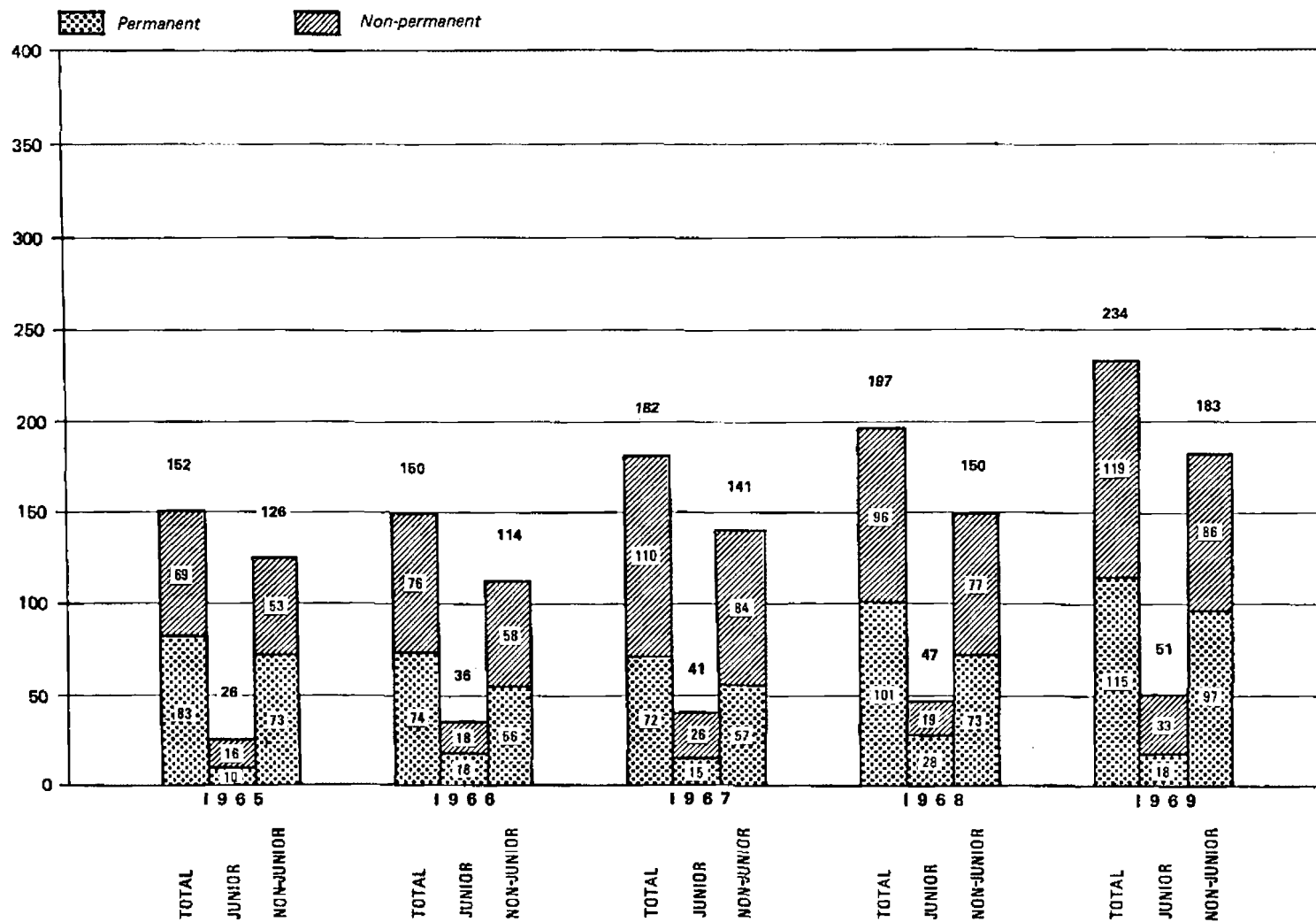
ANNEX IV.5

NUMBER OF SEPARATIONS FROM SERVICE AMONG PROFESSIONAL STAFF PER YEAR, JUNIOR AND NON-JUNIOR,
BY TYPE OF APPOINTMENT AND BY OFFICE (TOTAL UNITED NATIONS, 1965-1969)

Year	Headquarters excluding ESA	Department of Economic and Social Affairs	Regional economic commissions excluding ECE	ECE	UNCTAD	United Nations Office at Geneva	UNHCR	UNIDO	Total
1965									
- Juniors - P	3	2	1	1	-	3	-	-	10
- F.T.	6	3	5	-	-	1	1	-	16
- Non-juniors - P	33	16	7	4	-	11	2	-	73
- F.T.	20	12	12	3	-	6	-	-	53
Total P	36	18	8	5	-	14	2	-	83
Total F.T.	26	15	17	3	-	7	-	-	69
1966									
- Juniors - P	9	5	3	-	-	1	-	-	18
- F.T.	6	2	5	-	-	2	3	-	18
- Non-juniors - P	31	10	5	1	-	6	3	-	56
- F.T.	25	11	12	1	1	7	1	-	58
Total P	40	15	8	1	-	7	3	-	74
Total F.T.	31	13	17	1	1	9	4	-	76
1967									
- Juniors - P	12	-	1	1	1	-	-	-	15
- F.T.	10	3	4	-	-	3	6	-	26
- Non-juniors - P	25	11	6	1	2	8	4	-	57
- F.T.	32	22	13	5	10	2	-	-	84
Total P	37	11	7	2	3	8	4	-	72
Total F.T.	42	25	17	5	10	5	6	-	110
1968									
- Juniors - P	11	6	5	-	2	1	3	-	28
- F.T.	8	4	2	-	1	-	-	4	19
- Non-juniors - P	36	10	6	4	1	12	2	2	73
- F.T.	26	13	20	5	6	4	1	2	77
Total P	47	16	11	4	3	13	5	2	101
Total F.T.	34	17	22	5	7	4	1	6	96
1969									
- Juniors - P	9	4	1	-	-	2	2	-	18
- F.T.	9	7	2	-	2	3	1	9	33
- Non-juniors - P	43	8	13	3	7	16	2	5	97
- F.T.	22	15	19	1	11	6	2	10	86
Total P	52	12	14	3	7	18	4	5	115
Total F.T.	31	22	21	1	13	9	3	19	119

STATISTICS OF SEPARATION FROM SERVICE AMONG PROFESSIONAL STAFF, 1965 - 1969

Total for United Nations by type of appointment, distinguishing between junior and non-junior posts



The proportion of separations from service among permanent appointees tends to be roughly the same as that of separations from service among fixed-term appointees.

ANNEX IV.6

METHOD OF PREPARING A LONG-TERM RECRUITMENT PLAN

This annex supplements the discussion in chapter IV, section II, paragraphs 131-161, of the report. It is intended to show what further calculations must be made and steps taken in order to arrive at a long-term recruitment plan.

Taking as a starting point the basic data for general guidance - series of tables (1), LTRP 1 - LTRP 7, which provide a rough indication of the vacancies that will probably arise in the coming years - it seems necessary:

- (2) to develop rules for interpreting the raw data by studying the phenomena recorded in previous years and any similarities which they may exhibit (tables LTRP 8 - LTRP 13);
- (3) To make a thorough study of one of the phenomena which needs to be analysed in great detail: the causes of resignations (LTRP 14);
- (4) To prepare detailed forecasts by year, grade or group of grades, and vocational group,

in order to arrive at a synoptic forecast (5) showing:

- (a) By level of qualifications and vocational group, the number of posts which will probably become vacant in the coming years;
- (b) Under the same headings, the number of posts to be filled by external recruitment.

This last table is the result - or the epitome - of the long-term recruitment plan inasmuch as it indicates:

How many junior posts will be put up for competition each year (the number of posts by region can be obtained simply by looking up the degree of under-representation or over-representation of the countries in each region, at present and in the coming years);

How many posts at levels of qualifications 2, 3 and 4 (first-degree professional experience, great professional experience and management) should be recruited externally in the next few years.

LONG-TERM RECRUITMENT PLAN

Series of calculations (1)

Tables LTRP 1 - LTRP 7

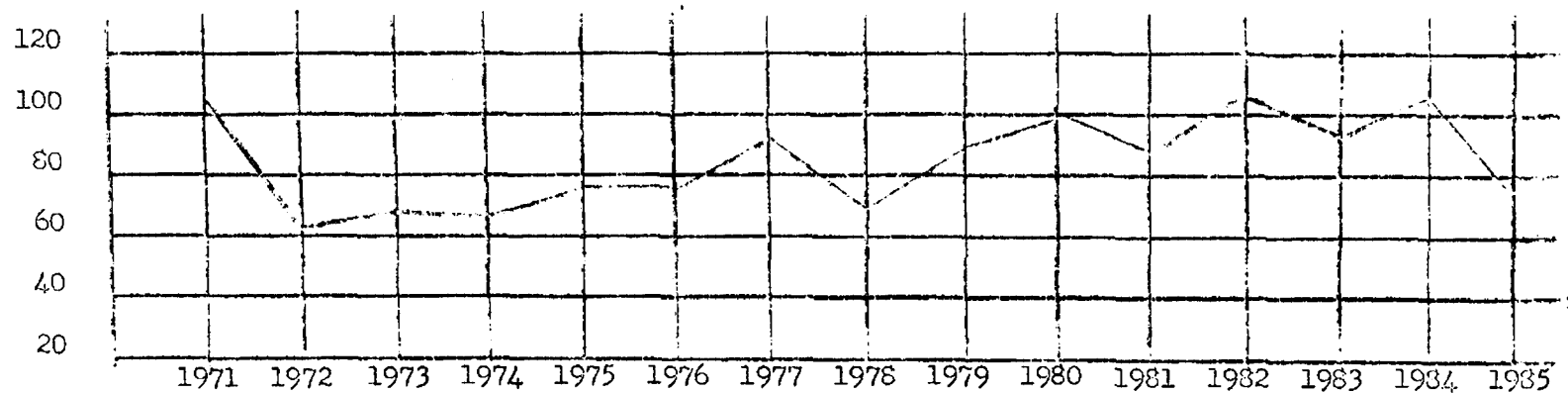
Basic data for general guidance

LTRP 1. NUMBER AND TYPES OF RETIREMENTS FORECAST, 1972-1976

Analysis by grade

Year	Total	P-1	P-2	P-3	P-4	P-5	D-1	D-2
1972	62	0	3	15	14	15	10	5
1973	70	0	10	11	22	12	11	4
1974	69	0	5	8	19	23	10	4
1975	77	0	7	16	20	15	11	8
1976	76	1	11	14	23	18	7	2
Total 1972 - 1976	354	1	36	64	98	83	49	23
For comparison: 1970	47	0	3	10	11	10	10	3
For comparison: 1971	110	0	5	13	25	33	24	10

Totals for 1971-1985



LTRF 2. NUMBER AND TYPES OF RETIREMENTS FORECAST, 1972-1976

Analysis by vocational group and group of grades

Year	Translators	Interpreters	Administrative generalists	Economists	Statisticians	Legal Affairs Officers	Political Affairs Officers	Accountants and Auditors	Librarians	Information Officers	Other Groups
<u>1972/</u> P-1 - P-2 P-3 - P-5 D-1 - D-2											
<u>1973/</u> P-1 - P-2 P-3 - P-5 D-1 - D-2											
<u>1974/</u> P-1 - P-2 P-3 - P-5 D-1 - D-2											
<u>1975/</u> P-1 - P-2 P-3 - P-5 D-1 - D-2											
<u>1976/</u> P-1 - P-2 P-3 - P-5 D-1 - D-2											

LTRP 3. NUMBER AND TYPES OF RETIREMENTS FORECAST, 1972-1976

Analysis by region and grade

Year	North America	United States	South America	Africa	Western Europe	United Kingdom	France	Italy	Eastern Europe	USSR	Asia	India	Japan
<u>1972</u> P-1 - P-2 P-3 P-4 - P-5 D-1 - D-2													
<u>1973</u> P-1 - P-2 P-3 P-4 - P-5 D-1 - D-2													
<u>1974</u> P-1 - P-2 P-3 P-4 - P-5 D-1 - D-2													
<u>1975</u> P-1 - P-2 P-3 P-4 - P-5 D-1 - D-2													
<u>1976</u> P-1 - P-2 P-3 P-4 - P-5 D-1 - D-2													

LTRP 4. NUMBER OF FIXED-TERM APPOINTMENTS EXPIRING, 1972-1976

Analysis by grade

Year	Total	P-1	P-2	P-3	P-4	P-5	D-1	D-2	ASG	USG
1972	324	18	43	101	85	29	18	12	11	7
1973	77	0	5	26	18	20	6	2	0	0
1974	52	0	15	18	8	6	3	2	0	0
1975	47	0	15	14	10	1	4	3	0	0
1976	0	0	0	0	0	0	0	0	0	0
Total 1972-1976	500	18	78	159	121	56	31	19	11	7
For comparison: 1970	79	11	6	16	28	11	4	2	1	0
For comparison: 1971	424	26	57	107	124	72	21	10	3	1

LTRP 5. NUMBER OF FIXED-TERM APPOINTMENTS EXPIRING, 1972-1976

Analysis by vocational group and group of grades

Year	Translators	Interpreters	Administrative generalists	Economists	Statisticians	Legal Affairs Officers	Political Affairs Officers	Accountants and Auditors	Librarians	Information Officers	Other Groups
<u>1972/</u> P-1 - P-2 P-3 - P-5 D-1 - D-2											
<u>1973/</u> P-1 - P-2 P-3 - P-5 D-1 - D-2											
<u>1974/</u> P-1 - P-2 P-3 - P-5 D-1 - D-2											
<u>1975/</u> P-1 - P-2 P-3 - P-5 D-1 - D-2											
<u>1976/</u> P-1 - P-2 P-3 - P-5 D-1 - D-2											

LTRP 6

Number of fixed-term appointments expiring, 1972-1976

Analysis by region and grade

Same table as LTRP 3 applied to fixed-term appointments

LTRP 7

State of geographical distribution on 31 December 1970 and
at the end of each year of execution of the plan

(1) The Office of Personnel publishes a quarterly list of countries divided into three categories:

Under-represented countries;

Correctly represented countries;

Over-represented countries.

We shall list here only the countries which were under-represented in 1970.

An asterisk* indicates countries which were not represented in the Secretariat.

AFRICA

Botswana*
Burundi
Central African Republic*
Chad
Congo (Brazzaville)
Equatorial Guinea*
Gabon
Ivory Coast
Lesotho
Libya
Malawi
Mauritania
Mauritius
Niger
Rwanda*
Swaziland
Upper Volta

LATIN AMERICA

Honduras
Panama
Venezuela

NORTH AMERICA AND CARIBBEAN

Barbados
Guyana

ASIA AND THE FAR EAST

China
Japan
Laos
Maldives*
Mongolia*

EASTERN EUROPE

Albania*
Byelorussian SSR
Ukrainian SSR
USSR

WESTERN EUROPE

Italy
Malta

MIDDLE EAST

Kuwait
Saudi Arabia
Southern Yemen
Yemen

(2) Access to statistical data on the nationality of staff members leaving on retirement or on the expiry of their appointments should make it possible to determine what changes are needed in this list at the end of each year of the plan, taking into account the line taken in recruitment policy.

LONG-TERM RECRUITMENT PLAN

Series of calculations (2)

Tables LTRP 8 - LTRP 13

Phenomena recorded in previous years (1965-1969)

Development of rules for interpreting the raw data obtained for 1972-1976

LIRP 8. PHENOMENA RECORDED IN THE YEARS 1965-1969

Recruitment of juniors and non-juniors by vocational group

	1965	1966	1967	1968	1969	Average of the 5 years
JUNIORS						
Translators	33	37	32	52	66	44
Interpreters	-	-	-	12	6	4
Sub-total - Language staff	33	37	32	64	72	48
Administrative Generalists	15	20	29	26	28	24
Economists	17	40	17	24	32	26
Statisticians	3	4	3	5	4	4
Legal Affairs Officers	5	9	9	4	2	6
Political Affairs Officers	1	2	5	2	1	2
Accountants and Auditors	-	3	5	1	2	2
Librarians	4	5	1	4	3	3
Information Officers	4	3	4	9	6	5
Other groups	5	1	8	7	5	5
Sub-total	54	87	81	82	83	77
Total	87	124	113	146	155	125
NON-JUNIORS						
Translators	14	27	19	22	14	19
Interpreters	1	6	6	2	3	4
Sub-total - Language staff	15	33	25	24	17	23
Administrative Generalists	19	25	26	32	36	28
Economists	54	120	68	56	84	76
Statisticians	5	6	4	8	4	5
Legal Affairs Officers	2	5	9	5	11	6
Political Affairs Officers	6	8	11	5	6	8
Accountants and Auditors	-	3	1	2	2	2
Librarians	-	-	1	2	8	2
Information Officers	6	7	4	10	17	9
Other groups	5	6	15	17	34	15
Sub-total	97	180	139	137	202	151
Total	112	213	164	161	219	174
Grand total of juniors and non-juniors	199	337	277	307	374	299

LTRP 9. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and types of separations from service

Year	Total	J U N I O R S		Total Juniors	N O N - J U N I O R S		Total Non-juniors
		Permanent	Fixed-term		Permanent	Fixed-term	
1965	152	10	16	26	73	53	126
1966	150	18	18	36	56	58	114
1967	182	15	26	41	57	84	141
1968	197	28	19	47	73	77	150
1969	234	18	33	51	97	86	183
Total	915	89	112	201	356	358	714
Average over the five years	183	17	22	40	71	71	142

Analysis of separations from service by cause

Year	Total	Deaths	Remainder	Resignations	Remainder	Retirements	Expiry of fixed-term appointments	Transfers	Terminations
1965	152	5	147						
1966	150	6	144						
1967	182	5	177						
1968	197	9	188						
1969	234	11	223						
1970	253	2	251	107	144	44	77	19	4

LTRP 10. PHENOMENA RECORDED IN THE YEARS 1965-1969

Differences between number recruited and number of separations from service

Year	Number recruited	Separations from service	Difference	New established posts	Number of vacancies at the beginning of the year	Number of vacancies at the end of the year	Difference in the number of vacancies
1965	199	152	+ 47				
1966	337	150	+187				
1967	277	182	+ 95				
1968	306	197	+108				
1969	374	234	+140				

Analysis of these differences by office

	Year	New York	REC's	Geneva	UNCTAD	UNIDO
Number recruited	1965					
	1966					
	1967					
	1968					
	1969					
Separations from service	1965					
	1966					
	1967					
	1968					
	1969					
Difference	1965					
	1966					
	1967					
	1968					
	1969					

	Year	New York	REC's	Geneva	UNCTAD	UNIDO
New established posts	1965					
	1966					
	1967					
	1968					
	1969					
Number of vacancies at the beginning of the year	1965					
	1966					
	1967					
	1968					
	1969					
Number of vacancies at the end of the year	1965					
	1966					
	1967					
	1968					
	1969					

LTRP 11. PHENOMENA RECORDED IN THE YEARS 1965-1969

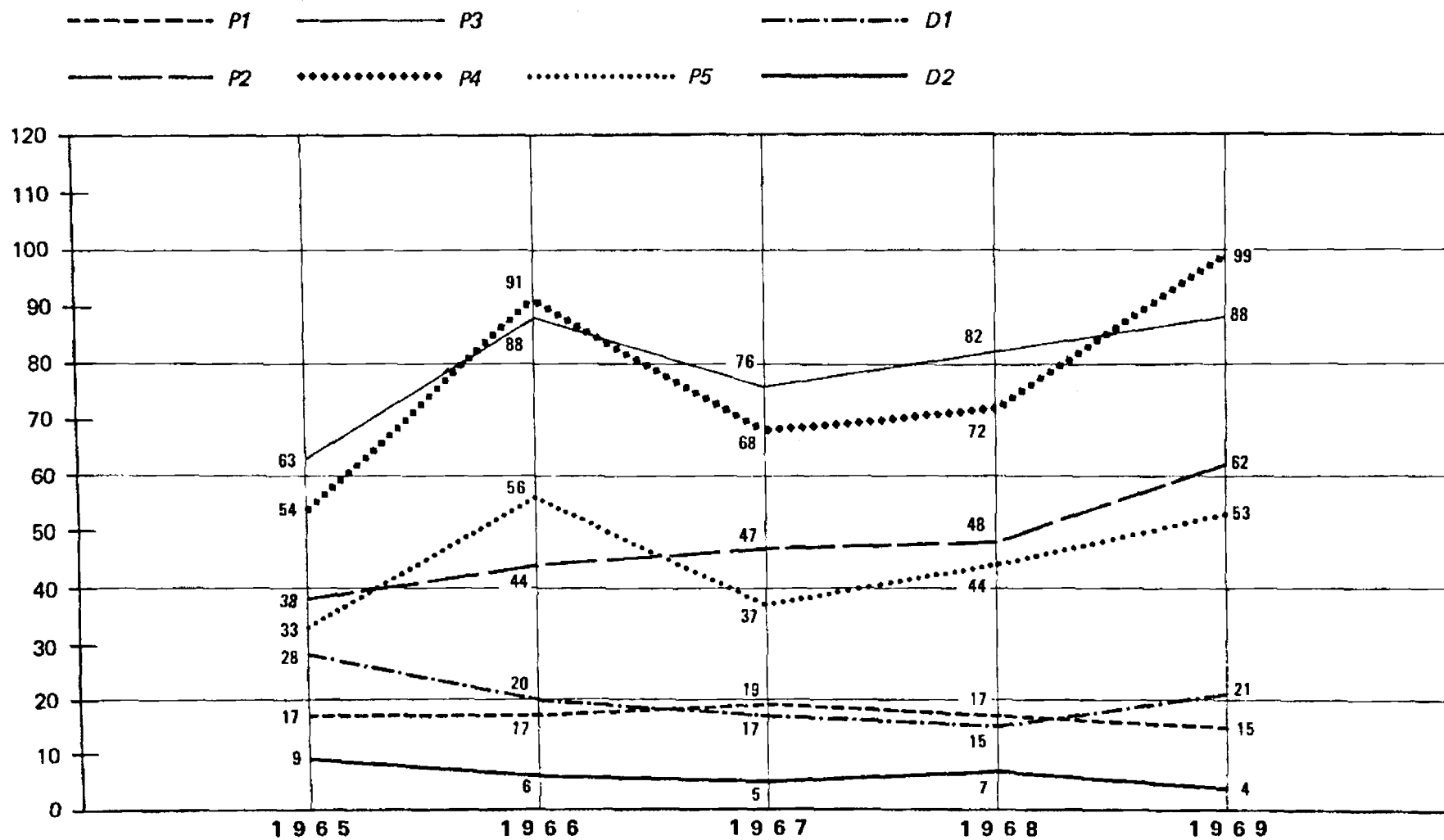
Outcome of fixed-term appointments

Proportion of those recruited on fixed-term appointments who are still serving five years later:

Of 1,046 persons recruited on fixed-term appointments in the five years 1965-1969,	%
- 533 were still serving on fixed-term appointments on 31 August 1970	50.9
- 125 had been given probationary appointments	11.9
- 285 had not had their appointments renewed	27.3
- 103 had resigned	9.8
Total	99.9

LTRP 12. PHENOMENA RECORDED IN THE YEARS 1965 - 1969

Number and rate of promotions by grade



LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

1965

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators			24	13	1		1	39
Interpreters			3	5	1		1	10
Sub-total			27	18	2		2	49
Administrative generalists	7	19	14	17	10	15	4	86
Economists	4	5	8	6	10	8	1	42
Statisticians	1	5	3	1	1	2		13
Legal Affairs Officers			1	2	1	1		5
Political Affairs Officers		2	2	1	3	1	2	11
Accountants and Auditors		3	1	2	1			7
Librarians	1	3	3	2				9
Information Officers	2	1	4	5	4	1		17
Other groups	2				1			3
Sub-total	17	38	36	36	31	28	7	193
Total	17	38	63	54	33	28	9	242

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

GENEVA 1965

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators				1				1
Interpreters				2	1			3
Sub-total				3	1			4
Administrative generalists	2	2	2	1	3	3		13
Economists	1	2	2	1	3	1		10
Statisticians								
Legal Affairs Officers								
Political Affairs Officers								
Accountants and Auditors		2						2
Librarians		1	1	1				3
Information Officers				2				2
Other groups	1							1
Sub-total	4	7	5	5	6	4		31
Total	4	7	5	8	7	4		35

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

NEW YORK 1965

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators			24	12	1		1	38
Interpreters			3	3			1	7
Sub-total			27	15	1		2	45
Administrative generalists	5	17	12	16	7	12	4	73
Economists	3	3	6	5	7	7	1	32
Statisticians	1	5	3	1	1	2		13
Legal Affairs Officers			1	2	1	1		5
Political Affairs Officers		2	2	1	3	1	2	11
Accountants and Auditors		1	1	2	1			5
Librarians	1	2	2	1				6
Information Officers	2	1	4	3	4	1		15
Other groups	1				1			2
Sub-total	13	31	31	31	25	24	7	169
Total	13	31	58	46	26	24	9	207

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

1966

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators		1	21	17	4	2		45
Interpreters			2	3	2			7
Sub-total		1	23	20	6	2		52
Administrative generalists	6	19	24	30	21	7	2	109
Economists	6	9	18	30	20	6	2	91
Statisticians	1	7	3	3	2	1		17
Legal Affairs Officers		1	5	4	2	1	1	14
Political Affairs Officers								
Accountants and Auditors	2	2	1		1		1	7
Librarians	1	3	2		1			7
Information Officers		1	5	2	2	3		13
Other groups	1	1	7	2	2		1	14
Sub-total	17	43	65	71	51	18	7	272
Total	17	44	88	91	57	20	7	324

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

GENEVA 1966

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators		1	1	7	1			10
Interpreters			1					1
Sub-total		1	2	7	1			11
Administrative generalists	4	4	12	10	6	3	2	41
Economists	2	3	7	8	5	4	1	30
Statisticians	1					1		2
Legal Affairs Officers			2		1			3
Political Affairs Officers								
Accountants and Auditors	1	1						2
Librarians			1		1			2
Information Officers			1					1
Other groups			1	1				2
Sub-total	8	8	24	19	13	8	3	83
Total	8	9	26	26	14	8	3	94

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

NEW YORK 1966

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators			20	10	3	2		35
Interpreters			1	5	2			6
Sub-total			21	13	5	2		41
Administrative generalists	2	15	12	20	15	4		68
Economists	4	6	11	22	15	2	1	61
Statisticians		7	3	3	2			15
Legal Affairs Officers		1	3	4	1	1	1	11
Political Affairs Officers								
Accountants and Auditors	1	1	1		1		1	5
Librarians	1	3	1					5
Information Officers		1	4	2	2	3		12
Other groups	1	1	6	1	2		1	12
Sub-total	9	35	41	52	38	10	4	189
Total	9	35	62	65	43	12	4	230

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

1967

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators	1	3	24	15	1	1		45
Interpreters			2	3	1	1		7
Sub-total	1	3	26	18	2	2		52
Administrative generalists	6	15	10	13	12	5	3	64
Economists	10	13	14	19	11	4	2	73
Statisticians	2	3	1	3	2			11
Legal Affairs Officers		1	2	3	3	2		11
Political Affairs Officers	1	4	2	4	5	3		19
Accountants and Auditors	2	1	4	3				10
Librarians	1	3	2	1				7
Information Officers		6	4	2	1			13
Other groups		2	11	4	4	1		22
Sub-total	22	48	50	52	38	15	5	230
Total	23	51	76	70	40	17	5	282

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

GENEVA 1967

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators	1		1	1				3
Interpreters				2	1			3
Sub-total	1		1	3	1			6
Administrative generalists	1	3		1	1			6
Economists	6	7	4	4	7	2		30
Statisticians	1	1						2
Legal Affairs Officers		1		1	1			3
Political Affairs Officers								
Accountants and Auditors	1		1	1				3
Librarians		1	1					2
Information Officers								
Other groups		1	9	4	3	1		18
Sub-total	9	14	15	11	12	3		64
Total	10	14	16	14	13	3		70

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

NEW YORK 1967

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators		3	23	14	1	1		42
Interpreters			2	1		1		4
Sub-total		3	25	15	1	2		46
Administrative generalists	5	12	10	12	11	5	3	58
Economists	4	6	10	15	4	2	2	43
Statisticians	1	2	1	3	2			9
Legal Affairs Officers			2	2	2	2		8
Political Affairs Officers	1	4	2	4	5	3		19
Accountants and Auditors	1	1	3	2				7
Librarians	1	2	1	1				5
Information Officers		6	4	2	1			13
Other groups		1	2		1			4
Sub-total	13	34	35	41	26	12	5	166
Total	13	37	60	56	27	14	5	212

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

1968

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators		6	17	16	3	2	1	45
Interpreters			7	6			1	14
Sub-total		6	24	22	3	2	2	59
Administrative generalists	11	21	23	17	9	4	1	86
Economists	2	8	14	18	14	5	1	62
Statisticians		1	3	1	1	1		7
Legal Affairs Officers		2	2	2	2			8
Political Affairs Officers	1	1	4	2	4	2	1	15
Accountants and Auditors		3	4	3				10
Librarians	1	2	3		1			7
Information Officers	1	2	1	7	7	1	2	21
Other groups	1	2	4		3			10
Sub-total	17	42	58	50	41	13	5	226
Total	17	48	82	72	44	15	7	285

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

GENEVA 1968

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators		1	4	5		1		11
Interpreters			1					1
Sub-total		1	5	5		1		12
Administrative generalists	5	7	5	3	1	1	1	23
Economists		3	4	6	4			17
Statisticians								
Legal Affairs Officers								
Political Affairs Officers								
Accountants and Auditors		1	1	1				3
Librarians	1							1
Information Officers								
Other groups	1	1	1					3
Sub-total	7	12	11	10	5	1	1	47
Total	7	13	16	15	5	2	1	59

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

NEW YORK 1968

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators		5	13	10	3	1	1	33
Interpreters			6	6			1	13
Sub-total		5	19	16	3	1	2	46
Administrative generalists	4	12	17	8	7	3		51
Economists	2	5	9	11	9	5	1	42
Statisticians		1	3	1	1	1		7
Legal Affairs Officers		2	2	2	2			8
Political Affairs Officers	1	1	4	2	4	2	1	15
Accountants and Auditors		2	3	2				7
Librarians		2	2		1			5
Information Officers	1	2	1	7	6	1	2	20
Other groups		1	3		1			5
Sub-groups	8	28	44	33	31	12	4	160
Total	8	33	63	49	34	13	6	206

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

UNIDO 1968

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators				1				1
Interpreters								
Sub-total				1				1
Administrative generalists	2	2	1	6	1			12
Economists			1	1	1			3
Statisticians								
Legal Affairs Officers								
Political Affairs Officers								
Accountants and Auditors								
Librarians			1					1
Information Officers					1			1
Other groups					2			2
Sub-total	2	2	3	7	5			19
Total	2	2	3	8	5			20

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

1969

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators		1	29	31	6			67
Interpreters			3	9				12
Sub-total		1	32	40	6			79
Administrative generalists	7	37	24	25	18	10	2	123
Economists	1	9	10	21	13	6	1	61
Statisticians	2	2	3	2	1	2		12
Legal Affairs Officers		2	1		1	1		5
Political Affairs Officers	1	2	3	3	3	1	1	14
Accountants and Auditors	1	4	3			1		9
Librarians	2	3	4					9
Information Officers		1	3	5	7			16
Other groups	1	1	5	3	4			14
Sub-total	15	61	56	59	47	21	4	263
Total	15	62	88	99	53	21	4	342

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

GENEVA 1969

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators			1	5	4			10
Interpreters				3				3
Sub-total			1	8	4			13
Administrative generalists	2	4	5	7	5	2		25
Economists		3	4	7	4	1		19
Statisticians		1	1					2
Legal Affairs Officers			1					1
Political Affairs Officers					1			1
Accountants and Auditors			1					1
Librarians			1					1
Information Officers				2				2
Other groups								
Sub-total	2	8	13	16	10	3		52
Total	2	8	14	24	14	3		65

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

NEW YORK 1969

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators		1	28	21	2			52
Interpreters			3	6				9
Sub-total		1	31	27	2			61
Administrative generalists	2	32	18	15	13	6	2	88
Economists	1	6	5	12	8	3	1	36
Statisticians	2	1	2	2	1	2		10
Legal Affairs Officers		2			1	1		4
Political Affairs Officers	1	2	3	3	2	1	1	13
Accountants and Auditors	1	4	2			1		8
Librarians	2	3	3					8
Information Officers		1	3	3	7			14
Other groups		1	5	1	3			10
Sub-total	9	52	41	36	35	14	4	191
Total	9	53	72	63	37	14	4	252

LTRP 13. PHENOMENA RECORDED IN THE YEARS 1965-1969

Number and rate of promotions by vocational group and grade

UNIDO 1969

Vocational group	P-1	P-2	P-3	P-4	P-5	D-1	D-2	Total
Translators				5				5
Interpreters								
Sub-total				5				5
Administrative generalists	3	1	1	3		2		10
Economists			1	2	1	2		6
Statisticians								
Legal Affairs Officers								
Political Affairs Officers								
Accountants and Auditors								
Librarians								
Information Officers								
Other groups	1			2	1			4
Sub-total	4	1	2	7	2	4		20
Total	4	1	2	12	2	4		25

LONG-TERM RECRUITMENT PLAN

(3) Study of the causes of resignation

Document LTRP 14

A systematic survey should be made by direct interrogation, at the time of separation, of all staff members resigning from permanent or fixed-term appointments, in order to ascertain the various reasons for their resignation and thus to be able:

To make credible forecasts for the coming years;

To take steps to eliminate the factors which cause valuable staff to leave.

LONG-TERM RECRUITMENT PLAN

(4) Forecasts by year, grade (or group of grades) and vocational group

LTRP 15 - LTRP 70

LTRP 15 to LTRP 70

Tables prepared by year and by vocational group; for eleven groups and five years, this makes fifty-five tables in all, giving the following information (cf. paragraph 139 of the report):

1. Number of established posts for the previous year
 2. Number of new posts which will probably be created (assumption)
 3. Number of current vacancies at the beginning of the year in question
 4. Anticipated number of retirements
 5. Number of fixed-term appointments expiring (and not being renewed)
 6. Number of deaths (average of the previous years)
 7. Number of resignations by holders of permanent appointments
 8. Number of resignations by holders of fixed-term appointments
 9. Number of terminations
 10. Number of external secondments
-
11. Total
-
12. Anticipated number of secondments or reinstatements
 13. Number of vacancies regarded as acceptable or probable at the end of the year
-
14. Total number of vacant posts in the specialized field under consideration
-

How to use these tables

The gross figures given in column 14 for a particular vocational group and year must be analysed by level of qualifications. This means that, at least for the first year of the plan, more detailed calculations must be made, if not by grade, then at least by group of grades (P-1 and P-2; P-3; P-4; P-5; D-1 and D-2). It will thus be possible to distinguish the "junior" level and the "management" level and to determine, at grades P-3, P-4 and P-5, the proportions representing first-degree professional experience and great professional experience respectively.

As the practice of forecasting develops, it will probably be feasible to discern regular patterns which will facilitate calculations covering the more distant future.

On the basis of this research it will then be possible to draw up the first table of phase (5) (synoptic forecast).

LONG-TERM RECRUITMENT PLAN

(5) Synoptic forecast

At least for the first year of the plan (for subsequent years the possible methods of extrapolation will probably have to be determined as the plan develops in practice), the task is now to complete table IV.II in paragraph 153 of the report, which shows the number of posts that will become vacant, by vocational group and level of qualifications (LTRP 71).

Vocational group	Translators	Interpreters	Administrative generalists	Economists	Statisticians	Legal Affairs Officers	Political Affairs Officers	Accountants	Librarians	Information Officers	Others
Junior P-1 P-2											
P-3 P-4											
P-4 P-5											
P-5 D-1 D-2											

Lastly, the number of posts to be filled by external recruitment remains to be ascertained on the basis of this table.

The only way of making these calculations, vocational group by vocational group, is by applying the standards called for in paragraphs 155-158 of the report: that is to say, by identifying the career posts and deciding what the average rate of advancement should be.

If x is the figure placed in a given box in the above table, it should be possible to apply to that figure the percentage indicating how many of these vacant posts will be filled by internal promotion. These percentages vary with each level of qualifications and each vocational group; they depend on rules which must be spelt out by the Secretary-General.

These calculations make it possible to fill in - at least for the first year - the last table of the plan, which is the same as that set out above except that it shows the number of posts to be filled by external recruitment (LTRP 72).

ANNEXES TO CHAPTER V

- Annex V.1: Note on the programme for Professional trainees
- Annex V.2: Direct expenditure on personnel training in organizations of the United Nations system in 1969
- Annex V.3: WHO programme of non-linguistic training
- Annex V.4: Medium-term and long-term staff-training programme of the Commission of the European Communities

ANNEX V.1

NOTE ON THE PROGRAMME FOR PROFESSIONAL TRAINEES

This programme was established mainly for the purpose of recruiting Professional trainees from severely under-represented Member States. In principle it also has the following three objectives:

To participate in the training of young professional people who wish to make a career in the United Nations;

To assist in training young civil servants from developing countries where there is a serious shortage of qualified officials;

In exceptional cases, to provide a means of solving political problems.

The essential criterion for the selection of a trainee is his ability to benefit from the training received, which will equip him to fill a vacant post in the Secretariat or to resume employment in the civil service of his country. The conditions for admission to the programme are: age under thirty; a university degree at least equivalent to B.A. in a field of study relevant to the activities of the United Nations; and fluent spoken English and French. There are never more than two trainees from any one country in a given year.

Depending on their qualifications and competence, the trainees are recruited at the Assistant Officer (P-1) or Associate Officer (P-2) level. In practice the Office of Personnel has developed a system of points to determine the grade at which the trainees enter the Secretariat. The basic principle is two points for one step; points are awarded as follows:

Each year over the age of twenty-six -	1 point
Each year of work before university -	1 point
Each year of work after university -	2 points
B.A. or equivalent -	2 points
Ph.D. or equivalent -	4 points

The appointments granted are for two years.

Since the conditions for admission to the programme are almost identical with the requirements for recruitment to the junior Professional grades (P-1 and P-2) - except that they are less stringent as regards university qualifications, since a B.A. is sufficient whereas usually an M.A. is required - it is legitimate to inquire into the reason for the programme. This is that the programme is financed out of

a special appropriation under chapter VI, "Staff training programmes", of section 4 of the budget, "Common staff costs". The annual appropriation covers the salaries, travel, installation and other allowances of the trainees. For administrative purposes they come under the Office of Personnel and, although they are assigned to substantive departments in New York and Geneva and to UNCTAD, UNIDC and the regional economic commissions, they are not taken on to the strength in the statutory sense; their services are lent to those offices without charge. Under those conditions it will readily be seen that, at the recruitment stage, the programme can concentrate on the human aspect of personnel problems (improving geographical distribution and training young civil servants for countries in need of them or for career service in the United Nations) and temporarily disregard the employment or post aspect.

In practice the recruitment of trainees is carried on in close liaison with the Member States through either the permanent missions to the United Nations or the UNCTAD Resident Representatives. The Office of Personnel suggests to the Governments of under-represented Member States that they should submit candidates. If a candidate is found acceptable by the Office of Personnel and there is a possibility of assigning him to a department after the necessary consultations with its directors, his candidature is sent to the Appointment and Promotion Board (APB) for final approval. During their service as Professional trainees, the young people do not receive any special training. Like other new staff members, they attend an orientation course. The training is meant to be acquired "on the job", under the supervision of the chief of section. In principle the Secretariat Recruitment Service interviews the trainees every six months in order to assess their progress and give them any necessary advice. At the end of the programme, the trainee either returns to his country or moves into a permanent post in the Secretariat on a probationary or fixed-term appointment. Of course, the second alternative is possible only where the substantive department recommends that the trainee should be given a regular appointment and there is a permanent post vacant on the department's manning table. In practice the Office of Personnel assumes that a substantive department satisfied with a trainee's services will undertake to keep him if he so requests. This policy is the means of placing the improvement in geographical distribution, initially of two years' duration, on a more permanent basis.

The programme has been the target of criticism on grounds which may be summed up as follows: the participants in the programme are not aware of its objectives and, although their training is the same as that given to other junior Professional staff, their status is less favourable, since their two-year appointment does not give them security of tenure and their title implies that they are still students.

Alternative solutions have been considered on various occasions, but so far none has been accepted.

The attached statistics show that:

About 60 per cent of the 100 or so trainees recruited since 1957 have been kept in the Secretariat (slightly over half of these on permanent appointments); The programme is of interest mainly to the African States, which provide more than 56 per cent of the trainees;

The cost of the programme has risen from \$14,000 for four trainees in 1957 to \$350,000 for twenty-five trainees in 1971.

Statistics on trainees

Period covered: 1957 - year of the establishment of the programme - to August 1970)

1) Statistics on assignments and length of service

A. Assignment of trainees after the training period

Total number since the establishment of the programme	Number of trainees who resigned during the programme	Number of trainees who returned to their countries at the end of the programme	Number of trainees absorbed into the Secretariat for varying periods	Number of trainees in the present programme
99	6	18	57	18

B. Statistics on the trainees absorbed

1957 - August 1970: 57 trainees absorbed into the Secretariat, at the end of the training period, for varying periods.

Statistics concerning the 57 trainees absorbed

1. Type of appointment

Fixed-term appointments	24
Probationary appointments	33
Total	57

2. Length of service in the Secretariat

Still serving; number of years since they were absorbed into the Secretariat:						Were absorbed but left the Secretariat after the following number of years of service:					
less than 2	3 or 4	5 or 6	7 or 8	9 or 10	11	At least 1 year	2 years	3 years	4 years	5 years	6 years
21	6	6	8	1	1	5	3	1	3	1	1
43						14					
57											

(2) Statistics on geographical distribution

Africa		Latin America	North America	Asia		Eastern Europe		Western Europe	Middle East
French speaking	English speaking			<u>Japan</u>	<u>Others</u>	<u>USSR</u>	<u>Others</u>		
30	23	5	-	3	12	6	1	11	8

(3) Financial statistics. Growth of budget appropriation for the trainee programme
(Source: budget)

Budget for the year	Reference	Credit in US dollars	Number of trainees involved
1957	sect.16, chap. IV	14,000	4 trainees in New York
1958	sect. 7, chap. IV	20,000	4 trainees in New York
1959	sect. 7, chap. IV	20,000	4 trainees in New York
1960	sect. 7, chap. IV	30,000	6 trainees, including 2 at Geneva
1961	sect. 4, chap. VI	60,000	4 in New York, 2 at Geneva, 6 for the regional economic commissions
1962	-	125,000	20, including 6 for ECA
1963	-	initially requested: 300,000	35 trainees
		obtained: 190,000	25 trainees
1964	-	initially requested: 237,500	30 trainees
		obtained: 190,000	25 trainees
1965	-	200,000	20 trainees
1966	-	200,000	20 trainees
1967	-	275,000	27 trainees
1968	-	275,000	25 trainees
1969	-	275,000	25 trainees
1970	-	305,000	25 trainees
1971	-	350,000	25 trainees

ANNEX V.2

DIRECT EXPENDITURE ON PERSONNEL TRAINING IN ORGANIZATIONS OF THE UNITED NATIONS SYSTEM IN 1969

(Staff costs of training sections are not included)

Source: IC3AB/XVIII/R.2, annex C

	United Nations	UNDP	ILO	FAO	UNESCO	WHO	ITU	IAEA
I. Language training				(US dollars)				
Total I	370,000	-	20,000	24,000	39,000	50,000	1,400	1,500
II. Non-linguistic training:								
Professional trainees	275,000	-	-	54,000	66,000	-	-	-
Expenditure of the organizations in connexion with study leave	12,000	-	7,000	-	20,000	105,000	-	-
Other expenditure	8,000	55,000	13,000	21,000	112,000	164,000	-	6,800
Total II	295,000	55,000		75,000	198,000	269,000	-	6,800
Total I + II	665,000	55,000	40,000	99,000	237,000	319,000	1,400	8,300

ANNEX V.3

WHO PROGRAMME OF NON-LINGUISTIC TRAINING

(Sources: documents supplied by Mr. Brouland, Director of Personnel, and Mr. Beigbender, Chief, Staff Training)

The principle underlying the WHO training programme is that it should meet existing and specific needs. The programme is governed neither by the desire to provide training for the reason that any organization must do so, nor by political requirements, which necessarily orient training primarily towards languages so as to make it an instrument for ensuring better "geographical distribution". In addition, since WHO staff members are mainly specialists in the same category as experts, the training programmes can be extremely precise and can be modified according to the priorities of the Organization's programme.

Responsibility for training in WHO lies with two units: the first, which is part of the Office of Personnel, is concerned with programmes for administrative, secretarial and clerical staff, with briefing programmes and with language programmes. It also administers study leave and leave for refresher training. Purely technical training comes under a special Staff Training unit.

WHO organized at one time a professional trainee programme intended only for administrative staff since specialists were supposed to be fully qualified for their posts on recruitment. This programme was abandoned and WHO resumed its former practice of recruiting only administrative staff with at least five years' professional experience.

There are two main types of non-linguistic training for professional staff:

(1) Pre-employment training

(a) Training of French-speaking nurses

To meet a pressing need in projects for French-speaking Africa, WHO has organized a training programme for French-speaking nurses, with emphasis on gynaecology, child-care and public health. Courses last from one to two years and are held at nursing schools at Montreal, Lyons or Brussels, which prepare nurses for a first or second degree. Initially the nurses are given a two-year study contract. They are regarded as WHO staff members on study leave without pay and enjoy the same advantages (cf. paragraph (2) (a) (i)). Provided they pass their examinations, they then receive a three-year contract for work in a field project.

Nineteen nurses now in the field have taken part in this programme since 1964.

(b) Briefing at WHO

Each month, one-week courses lasting a total of sixteen hours are organized at WHO for all new professional staff, whether they are to remain at Headquarters or to leave for the field. Lectures and group discussions cover the following subjects: WHO's history, constitution, structure and programme of activities, the United Nations family and the status of the international civil servant.

(c) Training immediately after recruitment to improve the staff member's qualifications for the post he is to hold

(i) Anti-malaria campaign. In the course of its projects, WHO has organized a number of anti-malaria centres, where experts who will later be sent to places all over the world are given eleven-month periods of training in modern methods of malaria control.

(ii) Special programme for Russian staff members. From 1962 to 1969, thirty-three Russian staff members who had just joined WHO took part in a special programme combining language training with advanced studies of international public health work.

(iii) Programmes for administrative trainees. Before being given a permanent post at Headquarters or in the field, administrative trainees spend one or two years serving in one regional administrative office after another.

(2) In-service training

(a) Individual training

This consists of study leave and leave for refresher training. The principle is broadly the same, the difference being that while the former may last one year and lead to a diploma, the latter lasts only for a few months, usually three.

(i) Study leave

A staff member granted study leave ceases to receive his salary. The Organization does, however, pay for transport, registration fees, books and tuition fees, and it continues paying dependents' allowances and keeps up insurance and pension contributions. It also pays the staff member the monthly stipend which citizens of developing countries who have received WHO fellowships are usually allowed for the same purpose. From 1960 to 1969, ninety staff members took advantage of this system, including forty-seven medical officers, twenty-seven nurses and eight generalists. Most of them were in the P-3 and P-4 grades, and the average age was forty-six.

(ii) Leave for refresher training

The staff member continues to receive his salary. From 1960 to 1969, ninety-four employees took such leave, including forty-eight medical officers, eight nurses and two generalists. The commonest grades were P-4 and P-5, and the average age was forty-five.

(b) Group training (average membership of courses: twelve to eighteen persons)

(i) Group courses in particular fields. These courses are organized to meet WHO's special needs and to prepare the staff member for new duties. They often take the form of three-week seminars (examples of subjects: pedagogy, malaria).

(ii) General refresher training in public health work and its economic and social aspects.

This refresher training is for the entire staff of WHO: regional representatives, experts and Headquarters staff. From 1962 to 1969, 151 staff members took part.

(iii) Refresher training in modern management techniques. These courses, the programme for which includes EAP, network analysis, PERT, PPBS, etc., have been organized for senior officials and for "middle management" administrative officers (P-1/P-3). They last from two to three weeks (full-time).

(iv) Training in the use of computers.

WHO has organized courses for 414 staff members at Headquarters and for 111 persons in the regions. Symposia have also been organized, for top-ranking officials only, in various IBM offices. Twenty-four people took part in these symposia from 1968 to 1970.

ANNEX V.4

MEDIUM-TERM AND LONG-TERM STAFF-TRAINING PROGRAMME
OF THE COMMISSION OF THE EUROPEAN COMMUNITIES

(Source: Staff training programme of the Commission of the European Communities
(7/4/1970))

Following the Commission's 1969 report on medium-term and long-term training, the Department of Personnel and Administration intensified its efforts in the sphere of training. An official responsible for training will henceforth be appointed in each department. In addition, participation in training activities will be recorded in staff members' files.

These efforts are reflected in the most explicit form in the budget for 1970, under which the Commission devotes about 70 per cent of training appropriations to non-linguistic professional training. (Administrative drafting courses have been included in language training because the need for them arises from the Organization's multinational character.)

The expenditure on staff training provided for by the Commission in 1970 is analysed below:

	US dollars
I. <u>Language training</u>	
Administrative drafting (in the four languages of the Commission)	4,800
Language courses	22,000
Language laboratory	4,000
Language courses held outside headquarters of institutions	1,600
TOTAL I	<u>32,400</u>
II. <u>Non-linguistic training of professional staff</u>	
Rapid reading courses	12,000
Participation in outside training activities	30,500
Lectures by outside experts	5,000
Membership of EEC in training organizations	1,100
Contingencies	1,000
TOTAL II	<u>49,600</u>

III. <u>Non-linguistic training of clerical staff</u>	<u>US dollars</u>
Specialized courses (shorthand-typing, book-keeping)	<u>8,000</u>
TOTAL III	<u>8,000</u>
TOTAL I + II + III	<u>90,000</u>

There are three types of non-linguistic training for professional staff:

1) The reception stage

Three times a year, for a period of two full weeks, the Department of Personnel organizes a training course comprising series of lectures on three subjects: the Communities and the treaties governing them, Community institutions, and the status, rights and obligations of officials.

2) The stage of preparation for internal mobility

Two methods may be used. One is internal training: e.g., for staff members in category B, seminars on the four main spheres of activity of EEC; duration: for each sphere of activity, two hours a fortnight for twelve to eighteen months, depending on the sphere of activity. For staff members in category A, knowledge of areas of their specialized field which are dealt with in other departments. The other method relies on universities and other outside bodies (courses given at EEC by external teachers or experts; sessions held outside EEC limited to three or four weeks).

3) The refresher course stage

Refresher training is concerned mainly with the acquisition of new methods of work or of administrative management. It is given either at EEC (rapid reading courses, residential seminars on computers and EDP) or through participation in courses or seminars (e.g. Salzburg Seminar in American Studies, La Segos seminars, the College d'Europe at Bruges, IBM programming courses).

It is interesting to note that the Department of Personnel has designed a special training programme to prepare officials for a change of category. This training leads to the periodic internal examinations for admission to the next higher category. In view of the nature of the change, training may extend over several years (e.g., for category B, seminars on the main spheres of activity of EEC lasting 18 months).

It has been suggested that 5 per cent of the staff's working time should be spent in training (in a career of 30 years, training courses should cover a year and a half).

ANNEXES TO CHAPTER VI

- Annex VI.1: Personnel Record (Fact Sheet) Coding Sheet: Instruction for Coding
- Annex VI.2: Input data concerning descriptions of qualifications
- Annex VI.3: Input data concerning job descriptions
- Annex VI.4: Input data concerning descriptions of persons
- Annex VI.5: Input data concerning career plans
- Annex VI.6: Nomenclature relating to the university level
- Annex VI.7: Information which a manning table should contain
- Annex VI.8: Code of types of occupations or assignments

ANNEX VI.1

7 January 1971

PERSONNEL RECORD (FACT SHEET) CODING SHEET
INSTRUCTION FOR CODING

A sample of the Personnel Record, P.44 (11-62) is attached as annex I indicating the information which is entered in different places. Only the information on current staff in the Professional, Principal Officer and Director categories in the regular Secretariat will be coded. The regular Secretariat consists of the offices at Headquarters and Geneva, Vienna, the Regional Commissions, Information Centres and special missions. Information will not be coded on staff on leave without pay, on secondment outside the Secretariat, nor on project personnel, UNDP, UNHCR, UNICEF, UNITAR nor UNRWA.

All Card Types

INDEX NUMBER:

The six boxes (1 - 6) for the index number will be completed from the Personnel Roster and the index number entered on the fact sheet. The index number should be inserted on the fact sheet in the first box on the second line if not already there.

NAME:

The name should be filled in in block capitals with the last name first, followed by a comma and then the staff member's first name and middle initial. This is necessary for the purpose of controlling the coding sheets.

ZEROS:

All boxes followed by an asterisk must be coded positively. If no information is indicated, blank boxes followed by an asterisk must be coded with 0's.

Card Type A

ENTRY ON DUTY

(EOD) DATES:

Enter the date on which the staff member entered on duty:

- (a) with a member of the UN family of organizations in boxes 7 - 12, UN, FAC, ICAO, ILO, ITU, UNESCO, UPU, WHO, WMO, ICITO, GATT, IAEA, but NOT IBRD, IDA, IFC or IMF;
- (b) with the United Nations, i.e., the Secretariat, UNDP, UNHCR, UNICEF, UNITAR, UNRWA, or ICJ and since which his service has been continuous in boxes 13 - 18;

(c) at his present official duty station in boxes 19 - 24. If the staff member is on a detail this should not be taken into account but rather the duty station from which he is detailed. The day of the month should be 00 if not available.

The dates in (a) and (b) will be the same unless the staff member was appointed to the UN on a transfer from another organization in the UN family; in this case the EOD date in the box on the third line of the fact sheet will be different from the first date of his UN service.

N.B. A transfer may be from another member of the UN family or between the regular Secretariat and UNDP etc., or between departments or offices of the Secretariat itself. A transfer often involves a change of official duty station but in the case of a detail to a mission or conference the staff member's official duty station remains the same even if the detail is to a different duty station. A secondment may only be to or from another member of the UN family or UNDP etc. Between departments a reassignment is a transfer if permanent, a loan if temporary and an outposting if temporary and the substantive authority remains with the releasing department.

UNIVERSITY EDUCATION:

(a) The total length of the full time university study should be entered in years as a single digit up to 9 in box 25. If study was not full time, it should not be counted at all. If study was not continuous, the separate periods should be added together. If the staff member has not studied at the university enter 0 in box 25.

(b) Up to five different fields of study should be entered. The level of degree obtained should be entered as 0, 1, 2 - 5 in boxes 29, 33, 37, 41 and 45, according to the table and country lists in annex II. If more than one subject was studied for one degree, each subject should be indicated separately with the level of degree obtained. The fields of study will be coded in boxes 26 - 29; 30 - 32; 34 - 36; 38 - 40 and 42 - 44 according to the code in annex III.

PREVIOUS EMPLOYMENT

(a) The total length should be entered in years in boxes 46, 47. If none, enter 00.

(b) The staff member's five main fields of activity prior to joining the UN should be entered in boxes 48-62, by the three-digit field of activity code. If there

is no obviously appropriate code, the field of activity should be coded 999 and the advice of the Rules and Procedures Section sought. Only those fields of activity relevant to pre-UN employment should be listed - not those which refer to UN service.

(c) Enter up to five of the following functions if the staff member's previous field of activity has involved it specifically (in boxes 64 - 73):

11 administering	59 interpreting
15 analyzing	61 lecturing
22 cataloguing	66 programming
26 costing	72 purchasing
33 consulting	77 researching
37 drawing	83 speaking
44 editing	88 teaching
48 grading	94 translating
55 indexing	99 writing

OCCUPATION TYPE:

This should be entered in boxes 71 and 72 according to the two-digit code in Annex V. The type which refers to the staff member's current occupation in the organization will be determined by the Rules and Procedures Section for each staff member and entered in brackets after the staff member's current functional title.

LANGUAGES:

(a) Skill in Official Languages. The staff member's degree of knowledge of each official language should be entered in the appropriate box 73 - 77 according to the following code:

- 5 = Mother tongue. A staff member may legitimately have more than one mother tongue if he is naturally bilingual or multi-lingual.
- 4 = 1, LA or D. This indicates full professional proficiency, i.e. the ability to use the language fluently and accurately, both in speech and in writing, for all official purposes.
- 3 = 2. This indicates minimum professional proficiency, i.e. the ability to speak and read the language sufficiently well for normal official purposes.
- 0 = No knowledge. This must be entered for each official language of which the staff member has no knowledge.

(b) Number of other languages known. If the staff member has a knowledge of other languages, the number of other languages known should be entered in boxes 78, 79.
Card Type D

The other languages known by staff should be entered in the boxes in the first column on card type D according to the three-digit language code; the skill should be indicated in the appropriate box in the second column according to the code used for the degree of knowledge of official languages. If there is no code, enter 999 and seek the advice of the Rules and Procedures Section.

Card Types B, C, E and F

In all these card types, code the information on appointment in the first line and subsequent changes in the following lines. Use two cards if necessary.

GRADES (Card Type B):

(a) The categories in which the staff member has served should be entered in the first of the two boxes in the first column of card type B according to the following codes:

- 0. Dispatchers and Guides
- 1. General Service
- 2. Professional (P), project personnel and OPEX
- 3. Principal Officer through Under-Secretary-General
- 4. Field Service
- 5. Manual Workers
- S. Security
- X. Grade or level before 1 January 1951

(b) The levels of the staff member should be entered as 1, 2, 3, 4, 5, 6 or 7 as appropriate in the second of the two boxes in the first column of card type B.

U.B. In category 3 the codes should be

D1 = 31 D2 = 32 ASG = 33 USG = 34

For the levels 1 to 18 in use before 1 January 1951 use the following alphabetic equivalents:

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	no grade
A	B	C	D	E	F	G	H	J	K	L	M	N	P	Q	R	S	T	XX

(c) The date the staff member entered each grade should be coded with the month and year (December 1969 = 1269) in the four boxes in the second column of card type B.

Always use a leading 0 if the month is a single digit. If a staff member's entrance level is corrected retroactively, show both levels, in the order they were given with the same date listed.

ASSIGNMENTS (card type C):

The offices to which the staff member has been assigned should be indicated in the first column of card type C with the date on which he was assigned to each in the second column. The office should be indicated by the first two digits of the present office code in annex VII. The date should be mmyy. The first office to which he was assigned should be indicated in boxes 8 and 9 followed by the subsequent offices to which he has been assigned. Indicate all changes of office even if the two digit code does not change. Periods of special leave should be coded 00.

SPA LEVELS (card type E):

Enter the category and level to which the staff member was first granted Special Post Allowance in boxes 8 and 9 of card type E using the codes for card type B with the date on which it was granted in boxes 10 - 13. If the staff member is still receiving the allowance, no further entry is necessary. If the allowance has been discontinued enter the date in boxes 14 - 17. Enter subsequent SPA's in the boxes 18 - 27, 28 - 37, etc. in order of date.

APPOINTMENTS (card type F):

(a) Enter the type of appointment first held by the staff member in box 8 of card type F according to the following code:

- 0 = Programme Appointment
- 1 = Permanent Appointment
- 2 = FT (100 Series)
- 3 = FT (400 Series) (Guides)
- 4 = ST (300 Series)
- 5 = Probationary Appointment
- 6 = Regular Appointment
- 7 = Indefinite Appointment
- 8 = Any other (e.g., OPEX, SSA, MAE, etc.)
- 9 = FT (200 Series)

(b) Enter the date the appointment was granted in boxes 9 - 12.

(c) Enter subsequent appointments in order in boxes 13 - 77 with the appropriate date. Extension of appointment should be treated as separate appointments, whether short-term, fixed term, probationary or beyond retirement age.

ANNEX VI.2

INPUT DATA CONCERNING DESCRIPTIONS OF QUALIFICATIONS

(corresponding to required "levels of qualifications")

The input data should supply, for the description of:

University level or level of theoretical training:

Types of university knowledge;

(Reference to the nomenclature relating to the university level to be drawn up in accordance with the indications provided in chapter VI, section III (2)B, and annex VI.6);

The descriptions of qualifications may show that it is necessary to possess several types of knowledge at different levels;

Level required for each type of knowledge;

Level of professional experience:

Vocational group;

Particular type of activity within the vocational group (several types of activity may be specified);

Minimum period of practice of the profession;

Minimum period of particular type of activity;

Knowledge of languages:

Languages required;

Level of knowledge required in each language.

ANNEX VI.3
JOB DESCRIPTIONS

The input data should include in particular:

Post identification:

Existing post or post to be created;^{1/}

Identification number;

Vocational group to which the post belongs;

Indication that this is a career post to be filled by internal promotion, or that it is open to recruitment by secondments alternating with national civil service, or that it is to be filled by fixed-term appointment only;

Type of assignment (job title);

Reference to programme and budget;

Grade;

Unit to which the post is assigned;

Position in the hierarchy (description of structure above);

Position in the hierarchy (description of structure below, number of persons, grades);

Qualifications required for the post:

Reference to the corresponding description of qualifications;

Characteristics of employment:

Duty station;

Special conditions (where applicable);

Legal conditions of offer of post:

Type of appointment;

Remuneration;

Duration (beginning and ending dates).

^{1/} Note: This type of description can be applied either to existing posts, whether vacant or not, or to new posts to be created.

ANNEX VI.4
DESCRIPTIONS OF PERSONS

A. Personal particulars

Name
Address
Date of birth
Sex
Nationality
Etc.

B. Description of university background, knowledge of languages and other abilities

University courses
Duration
Nature (type of knowledge) (there may be several)
Levels (by types of knowledge)
Publications if any
Nature of publications
Languages
Level of knowledge of each language
Etc.

C. Description of professional background (if any)

Type of profession
Type of activity
Duration
Level of competence
Etc.

D. Description of staff member's career in the United Nations (if any)

Vocational group
Grades held and length of service in each grade
Special post allowance, if any
Change in nature of appointment
Change in unit to which assigned
Category of employment
Etc.

ANNEX VI.4 (continued)

- D. Grade, step and particulars affecting the payroll
(particulars of the staff member's present legal status in relation to the payroll system)
 - Grade, step
 - EOD
 - Number and age of children
 - Etc.
- F. Reference to the staff member's career plan (for the future)
- G. Reference to stages of marking (classification) by aggregation of the periodic reports on the staff member

Note: Paragraphs A, B and C apply to all descriptions of persons, including candidates.
Paragraphs D, E, F and G apply only to staff members of the United Nations.

ANNEX VI.5

CAREER PLANS AND PROMOTION FORECASTS

Name and identification number of Professional staff members concerned

Vocational group

A. Successive assignments planned

Standard plan No. ...

First type of assignment:

Place

Unit

Duration (beginning and ending dates)

Second type of assignment:

Place

Unit

Duration (beginning and ending dates)

Third type of assignment:

Place

Unit

Duration (beginning and ending dates)

B. Future orientation desired

Vocational group

Level of post

Type of post

Dates desired (beginning and ending dates)

C. Professional training desired

Certificates aimed at

Periods when staff member will train for these certificates

ANNEX VI.6

NOMENCLATURE RELATING TO THE UNIVERSITY LEVEL

The purpose of this annex is to show what should not be done.

The appended two tables were prepared as an experiment in co-operation with the Office of Personnel in the course of the preparatory work on this report.

The first table presents a six-level classification for the degrees and diplomas awarded in eight specimen countries.

The second table contains a similar classification at four levels only.

This kind of classification can be significant only in relation to a particular profession and for a specific group of subjects. It can be drawn up fairly easily in any one country at seven or eight levels. On the other hand, if comparison between different countries is to be possible it must be limited to two or three levels.

BROAD EQUIVALENCE OF DIPLOMA FOR 6 MEMBER STATES

(First attempt at classification at 6 levels)

LEVEL	CANADA	CHINA	FRANCE	INDIA	JAPAN	UK	USA	USSR
0	<u>French system:</u> Baccalauréat e.g. arts, certificates de 12ème année or below <u>English system:</u> Junior matriculation certificate or below High school diploma or below	High school diploma or below	Baccalauréat or below	High school certificate; secondary school leaving certificate (SSLC); secondary school certificate (SSC) matriculation or below	<u>Old system:</u> First level middle school diploma or below <u>New system:</u> Senior high school diploma or below	General Certificate of Education (GCE) Scottish Certificate of Education (SCE) or below	High school diploma or below	High school certificate or below. Vocational school certificate
1	<u>F.S.</u> Certificate <u>E.S.</u> Diploma or certificate from technical institute or less than 3 years attendance at university	2 or 3 years college diploma or diploma from a technical school; national provincial or special general civil service examination. National senior civil service eligibility examination	Less than 4 years university studies (Bachelor in Law, any certificate) (D.U.E.L.)	Intermediate university examination. Undergraduate diploma.	<u>O.S.</u> Higher school or technical college diploma after 3 years' study. <u>N.S.</u> Junior college diploma (2 years)	First diploma or certificate including OMC, OMD, HNC, HND	Certificate or diploma, associate degree	Uncompleted university course
2	<u>F.S.</u> Certificate <u>E.S.</u> diploma or certificate from a technical institute or less than 3 years university	Bachelors degree; professional senior civil service examination	Nil	Bachelors degree. Membership in certain professional societies, e.g. Institute of Chartered Accountants	<u>O.S.</u> Nil <u>N.S.</u> Bachelors degree	Bachelors degree. Dip.Tech.M.A. in Scotland. Membership in certain professional bodies, e.g. Institute of Chartered Accountants	Bachelors degree; M.D.	Nil
3	Masters degree, M.A.	LL.B., M.A. national or special civil service examination	Licence, Maîtrise, Diploma of some schools (<u>sciences politiques</u> included) or equivalent	Masters degree, LL.B., B.Ed., B.Lib.Sc.	<u>O.S.</u> Bachelors degree <u>N.S.</u> Masters degree	B.A. Honours (Oxford and Cambridge) M.A. Honours (Scotland) M.Sc. B.Phil. B.Lit. M.D.	Masters degree, M.Phil. or uncompleted Ph.D.	University diploma
4	Ph.D., M.D., G.M.	Doctorate or M.D.	Aggrégation, Doctorat d'Etat <u>Grandes Ecoles</u> (polytechnique E.N.A., Ecole Normale Supérieure)	Ph.D.	<u>O.S.</u> Certificate of graduate study <u>N.S.</u> Ph.D.	Ph.D. or D.Phil.	Ph.D.	Candidate of Science
5	Post-doctoral studies	Post-doctoral studies		D.Lit., D.Sc.	<u>O.S.</u> Doctors degree <u>N.S.</u> Nil	Senior doctorate (D.Lit., D.Sc.)	Post-doctoral studies	Doctor of Science

BROAD EQUIVALENCE OF DIPLOMA FOR 8 MEMBER STATES

(Second attempt at classification at 4 levels)

LEVEL	CANADA	CHINA	FRANCE	INDIA	JAPAN	UK	USA	USSR
0	French system: Baccalauréat e.g. arts, certificates de 12ème année or below English system: Junior matriculation certificate or below High school diploma or below	High school diploma or below	Baccalauréat or below	High school certificate; secondary school leaving certificate (SSLC); secondary school certificate (SSC) matriculation or below	Old system: First level middle school diploma or below New system: Senior high school diploma or below	General Certificate of Education (GCE) Scottish Certificate of Education (SCE) or below	High school diploma or below	High school certificate or below. Vocational school certificate
1	F.S. Certificate E.S. Diploma or certificate from technical institute or less than 3 years attendance at university	2 or 3 years college diploma or diploma from a technical school; national provincial or special general civil service examination. National senior civil service eligibility examination.	Less than 4 years university studies (Bachelor in Law, any certificate) (D.U.E.L.)	Intermediate university examination. Undergraduate diploma	O.S. Higher school or technical college diploma after 3 years' study. N.S. Junior college diploma (2 years)	First diploma or certificate including ONC, OND, HNC, HND.	Certificate or diploma, associate degree	Uncompleted university course
2	F.S. Certificate E.S. diploma or certificate from a technical institute or less than 3 years university	Bachelors degree; professional senior civil service examination	Nil	Bachelors degree. Membership in certain professional societies, e.g. Institute of Chartered Accountants	O.S. Nil N.S. Bachelors degree.	Bachelors degree. Dip.Tech.M.A. in Scotland. Membership in certain professional bodies, e.g. Institute of Chartered Accountants	Bachelors degree; M.D.	Nil
3	Honours B.A. Masters degree C.A., M.D., C.N. doctorate	LL.B. M.A. National or special civil service examination; M.D., Ph.D.	Licence, Maitrise, Diploma of some schools (sciences politiques included) or equivalent. Agrégation, Doctorat d'Etat Grandes Ecoles (polytechnique, E.N.A., Ecole Normale Supérieure)	B.L., LL.B., B.I. B.Ed., B.Lib.Sc. Masters degree, LL.M., Ph.D., D.Lit., D.Sc.	O.S. Bachelors degree. Certificate of Graduate Studies, Doctors degree. N.S. Masters degree, Ph.D.	B.A. honours, (Oxford and Cambridge) M.A. honours (Scotland) B.Phil., B.Lit., M.D. Ph.D., D.Phil., D.Lit., B.Sc.	Masters degree, LL.B., J.D., M.Phil., Ph.D	University diploma; Candidate of Science degree; Doctor of Science

ANNEX VI.7

INFORMATION WHICH A MANNING TABLE SHOULD CONTAIN

Department

Unit

Number of post

Title of post

Vocational group of post

Duration of post (where applicable)

Grade (or level of qualifications if this concept is adopted)

Name of staff member holding the post

Nationality

Grade

ECD

Present level since:

Date of expiry of appointment

Date of birth

ANNEX VI.8

This annex reproduces the list of "types of occupations" or "types of assignments" at present used in the United Nations.

This list will have to be entirely revised; the entries should be classified by vocational group; in the case of economists, the list of types of assignments should be much more detailed; accountants and auditors should be classified under two different numbers, as should translators and editors, etc.

Occupation Code

- 10 - 20 Administrative
- 11 Budget and Finance (not elsewhere specified)
 - 12 Committee Secretariats
 - 13 Conference and Conference Planning Officers
 - 14 Data processing
 - 15 External relations, liaison and protocol
 - 16 General administrative
 - 17 Organization and methods (management)
 - 18 Personnel Officers (including pensions and recruitment)
 - 19 Programme and Project Officers (including managers)
 - 21 Registry and archives
 - 22 Transport and procurement
 - 23 Other administrative, if any
- 30 Information Officers
- 31 Press
 - 32 Films
 - 33 Radio or TV
 - 34 Mixed or other functions
- 40 Other administrative
- 41 Interpreters
 - 42 Translators, Translator/Precis-Writers and Editors
 - 43 Other language officers
 - 44 Political affairs officers
 - 45 Publishing and Printing
 - 46 Trainees
 - 47 Specialist posts occupied by generalists
 - 51 Accountants and Auditors
 - 52 Chemists - Nuclear
 - 53 Chemists - Other
 - 54 Educationists

60 Economists

- 61 Econometricians
- 62 Development Economists
- 63 Industrial Economists
- 64 Trade Economists
- 65 Other economists

70 Engineers

- 71 Aeronautical
- 72 Chemical
- 73 Civil
- 74 Marine
- 75 Reactor
- 76 Sanitary
- 77 Telecommunications
- 78 Other
- 81 Legal Officers (including lawyers concerned with Human Rights)
- 82 Librarians
- 83 Medical Specialists
- 84 Medical Non-Specialists
- 85 Physicists - Nuclear and Radiation
- 86 Physicists - Other
- 87 Sociologists and Social Scientists (including Public Administration, Demographers, Biostatisticians and Town Planners)
- 88 Other
- 89 Scientists (including Geologists, Geophysicists, Hydrologists and Hydrogeologists)
- 91 Verbatim Reporters

ANNEXES TO CHAPTER VII

- Annex VII.1: Legal status and career structures: the theoretical choices open
- Annex VII.2: Note on the remuneration of Professional staff and senior officials of the United Nations
- Annex VII.3: The structure of remuneration in some large international organizations

ANNEX VII.1

LEGAL STATUS AND CAREER STRUCTURES: THE THEORETICAL CHOICES OPEN

The definition and content of the legal status of the officials employed to perform the functions of a civil service or an international agency are arrived at through a series of choices between different possible theoretical solutions which it may be useful to specify.

- (a) The first choice is between deciding to engage staff on fixed-term appointments only and offering all or some of the person recruited employment for the duration of their working life: in other words, a career.
- (b) On the assumption that a combination of the two types of appointments is chosen - an assumption which holds good for the United Nations - it still remains to decide the relative proportions of career officials and fixed-term appointees. This problem was extensively discussed by the General Assembly in 1960, 1962 and 1965 but no definite conclusion was reached; the Secretary-General's proposal for a ratio of 75:25 was neither accepted nor rejected.
- (c) A third type of choice is that between renewal and non-renewal of fixed-term appointments. If such appointments were virtually never renewed or were statutorily non-renewable, there would genuinely be a very appreciable difference between fixed-term and career officials. The former would then bear a closer resemblance to field experts. In those circumstances, the terms of remuneration of this type of staff might be appreciably different from those for career officials. If, on the other hand, the appointments were made renewable and, on their expiry, were renewed so consistently that the appointee could serve through a whole career by regularly renewing his appointments, the terms of remuneration would obviously have to be based on those of career officials.

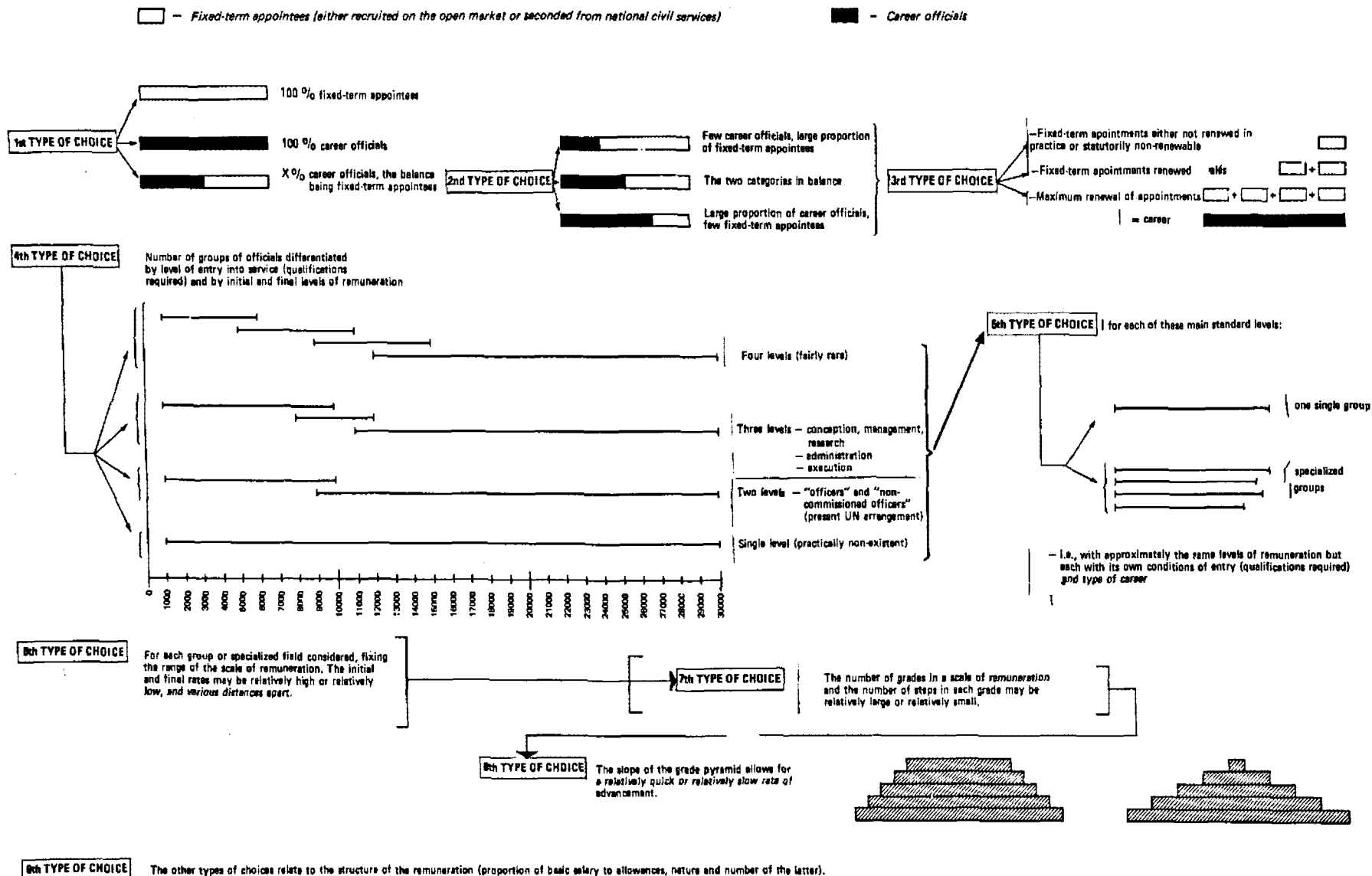
- (d) The fourth type of choice is that of the number of categories which differ in entry level (qualifications required) and in the initial and final rates of remuneration at which the civil servants are paid. The two-tier system, distinguishing between - so to speak - "commissioned officers" and "non-commissioned officers", is the one in operation in the United Nations, at any rate since the 1956 reform. [It is known that a three-tier system was considered but was rejected in order to avoid impairing staff morale by dividing the Professional category. This consideration loses its force as the numerical size of the staff increases.] The fact is that three-tier systems are very common and reflect a perfectly valid and often useful distinction, in civil service organization, between the level of conception, management and research, the level of administration and the level of execution. Systems of four or more tiers also exist but are somewhat rare.
- (e) The fifth type of choice consists in deciding, within each separate tier, whether to distinguish between groups according to their specialized professional fields and, for each such field, to lay down specific requirements for entry and plan a specific type of career which differs in the detail of the scale of remuneration from allied fields in the same tier. Under this system, which is not in use in the United Nations, the group of administrative generalists, for instance, would be distinguished from that of economists, that of language staff (translators and interpreters), that of librarians, that of accountants and so on.
- (f) The foregoing choices are the most important and determine the general shape of a civil service. Even when they have been made, however, there are still a great many other possibilities to choose from as regards the establishment of the initial and final rates of remuneration - in other words, the range of the salary scale - for each group or specialized field recognized. These scales may be fairly high in relation to comparable scales of remuneration, or again they may be fairly low. However, leaving aside the question of the average level of remuneration, distinctions may be made between scales according to whether the first and last steps are close together or wide apart.

- (g) Still further choices may be made with regard to the number of grades on the salary scale, the number of steps within each grade, and the apex angle of the grade pyramid - i.e., the number of posts to be established in each grade. The proportions between the numbers of posts at different grades to some extent predetermine the prospective rate of advancement for officials belonging to the group in question.

It will be plain from this analysis that the choice of levels of remuneration for a particular group must be preceded by a large number of other choices in matters affecting the legal status of the persons concerned, with special attention to the length of their appointments and the specific nature of their functions.

Figure VII-1

TABLE OF DIFFERENT TYPES OF CHOICES LEADING TO THE DEFINITION OF STAFF STATUS



ANNEX VII.2

NOTE ON THE REMUNERATION OF PROFESSIONAL STAFF AND
SENIOR OFFICIALS OF THE UNITED NATIONS

The history of the system of remuneration for the Professional and senior staff of the United Nations shows that there are no generally accepted principles for determining the remuneration of international civil servants.

Each salary review invokes principles that are either intrinsically different or differently weighted. The usual procedure seems to be that the committees responsible for making recommendations first take stock of the situation (to see whether an increase is necessary and, if so, how big it should be) and then fix the new salary scale on the basis of policy compromises concerning the margin by which it is feasible and acceptable, at a given moment, to increase the appropriations for salaries in the organizations' budgets. The principle which should originally have guided the review is thus chosen after the event.

This comment on the decision-making process is intended to inject an element of scepticism into the perusal of official documents which, unless supplemented by a first-hand knowledge of the course of events at the working meetings and a fortiori at the informal discussions, do not give a complete picture of the situation.

Nevertheless, every salary review is attended by statements of fundamental principles which are subsequently used as arguments by the organizations or staff associations in salary discussions. General lessons may also be drawn from the salary-fixing machinery used in each case.

Let us now consider in turn:

- (1) The general background to the remuneration problem (history and basic principles);
- (2) The present system of remuneration;
- (3) Improvements which have been suggested;
- (4) The possibility of establishing a new system based on the concept of the world market rate.

(1) GENERAL BACKGROUND TO THE REMUNERATION PROBLEM

History of the remuneration problem

Table I gives a conspectus of the seven main occasions on which the system of remuneration for international civil servants has been studied in depth. The recommendations of the reviewing committees are briefly set out in one column. Although these recommendations have not been reproduced verbatim in the resolutions eventually adopted by the General Assembly, their essential provisions have always been embodied therein.

A few additional comments will suffice to place these main "occasions for reflection" in their historical perspective.

In 1946 and 1949 the United Nations was still being enthusiastically built up; the salary scales and allowances were fixed in a liberal fashion, in harmony with those of the United States Federal civil service. In Europe, at this post-war period, United Nations salaries compared very favourably with those of national civil services, for the Member States were fully engaged in reconstruction and their policies of austerity or inflation had the effect of keeping the real income of civil servants at a constant level.

In 1956 a new study was undertaken by the Salary Review Committee, composed of experts nominated by Governments. The Noblemaire principle, without being openly rejected, was not mentioned. The Committee took note of the fact that, in the Member States, the real income of salaried staff in the private sector had increased since the end of the war. It added, however, that the sole standard of comparison for the international civil service should be the real income of national civil services, which had not changed. Since, moreover, the United Nations had not yet experienced any recruitment difficulties, the Committee recommended that the existing salary scales should be maintained and that the base of the common system should be transferred from New York to Geneva. Geneva was chosen as being the city most representative of localities where the cost of living was moderate.

As a result of the report of the Committee of Eleven, the terms of reference of ICMB were amended to include study of the base salary scales for international civil servants.

In 1961, at its tenth session, ICSAB^{1/} found that the salary scales had remained unchanged since 1950 whereas the real incomes of national civil services had increased. The Board therefore recommended the substantial increases which had been suggested by the organizations (through ACC/CCAQ) and proposed a higher rate of remuneration even for grade D-2.

In 1965 the situation was reversed, and ICSAB declined to consider the organizations' requests for increases. A compromise was eventually reached, and ICSAB recommended a salary increase equal to half the increase suggested by the organizations. The Board also decided to make a thorough study of the salary system. The organizations did not relinquish their claims, and in 1968 two CCAQ documents showed that the new international salary index was 4 per cent lower than in 1966 and would be 5 per cent lower by 1969.

In 1969, without waiting for the results of its thorough study, ICSAB proposed an over-all increase of 5 per cent in the salary scales. This increase was represented as a temporary measure to alleviate a situation which had seriously worsened since 1964.

In July 1970 ICSAB recommended an increase of 8 per cent; this figure was arrived at after comparing the trend of salaries in the United Nations with that in the United States Federal civil service. The result of this increase would have been to bring United Nations Geneva salaries to approximately the same level as those of the United States civil service at Washington, even though the cost of living is higher at Washington than at Geneva.

The increase recommended by ICSAB to take effect on 1 January 1971 was ultimately approved by the General Assembly in December 1970 for application only on 1 July 1971.

The basic principles of the salary system

Two principles seem to be generally accepted and are reaffirmed at each salary review. These are the principles of universality and of adjustment. In virtue of the former, the salary system is universally applicable to internationally recruited staff. In virtue of the latter, a separate system of post adjustments must be applied to the

^{1/} At that time the USSR had not yet joined the Advisory Board; the United States member was Mr. Arthur Flemming, who had been the Chairman of the 1949 Committee.

uniform salary scale to allow for differences between duty stations in the purchasing power of the base salary. It is thus accepted that salaries should be adjusted to the cost of living. This consensus has been the basis of a system of post adjustments which, unlike salaries, are fixed almost automatically. Without this broad agreement on principle, so simple a method of calculation could not have been adopted. The actual computation of the post adjustments is, of course, still an open question.

Leaving aside this agreement on principle, however, the choice of a standard of comparison among salaries outside the United Nations for the purpose of fixing the salaries of international civil servants is still the subject of continuous discussion.

The principle of longest standing was established by the Noblemaire Committee in 1920 and subsequently applied by the United Nations Preparatory Commission. It specifies that the remuneration of internationally recruited staff should be based on the salary scale of the best-paid national civil service, irrespective of the Member State concerned, and should be adjusted to allow for the expatriation factor. Many versions of the Noblemaire principle have been advanced. Since the United States civil service is at present the best paid, it is important to decide whether the net reference salary should be that of civil servants in New York or at Washington (the net salary is higher at Washington because State taxes are lighter there than in New York).

Another standard of comparison is obtained by combining, with various weightings, the salary scales of several national civil services - either the best paid, or those of host States of organizations in the United Nations family. This principle, which has been current since 1956, was brought up again in 1961 and 1965, and an index based on it was used in the 1968 review.

United Nations salaries might also be compared with those of national civil servants representing their country abroad: i.e., of diplomats. There has been little suggestion that this principle should be applied to the calculation of salaries for all Professional staff, but it has often been put forward for application to those of senior staff (cf. the Flemming Committee in particular).

A more general principle is that of comparison with all salaries, including both those of the national civil service, at home and abroad, and those of the national private sector (private enterprise and universities) at home and abroad. If this principle is taken to mean a rough qualitative comparison of the trend of salaries in these various sectors with that of salaries in the United Nations, it may be said to

have been applied at the 1961 review. In 1956, in contrast, it was rejected after arguments had been put forward to the effect that, since international civil servants were first and foremost civil servants and thus enjoyed security, no valid comparison could be made with the private sector. The principle was again rejected in 1965, when the conclusion was reached that there was no purpose in analysing salary trends in the private sector because they were automatically recorded and then incorporated in national civil service salaries. This principle of general comparison can be likened to the criterion of world market rates, which will be described below.

(2) THE PRESENT SYSTEM OF REMUNERATION

The machinery for adjusting remuneration takes account of two main factors:

The change in the cost of living;

The income of other salary-earners.

Adjustment to change in the cost of living: post adjustment

The Staff Regulations provide in annex I, paragraph 9, that:

"... the Secretary-General may adjust the basic salaries ... by the application of non-pensionable post adjustments, the amounts of which shall be determined on the basis of relative costs of living, standards of living and related factors at the office concerned as compared to Geneva. Such post adjustments shall not be subject to the Staff Assessment Plan and their amount shall vary by salary level as determined from time to time by the General Assembly."

The class of post adjustment for a particular locality is initially determined by comparison with the base locality, Geneva, for which the index number was 100 in April 1964. In order to simplify the system, the cost of living in the locality is required to exceed 100 by a multiple of 5. Once a duty station has been assigned a particular class of post adjustment, no change is made until the cost of living has exceeded its base level by 5 per cent and this percentage has been maintained or increased during four consecutive months.

The General Assembly graduates the rate of post adjustment according to the grade and marital status of the Professional staff member and the class of his duty station. The scales are said to exhibit a vertical regression (in a given class, the higher the grade, the smaller is the percentage of base salary represented by the post adjustment) and a horizontal regression (at a given grade, the higher the class of the duty station, the smaller is the percentage of base salary represented by the post adjustment). Once the rates have been fixed by the General Assembly, the Expert Committee on Post Adjustment (ECPA) - an independent body set up by ACC in 1959 - is responsible for calculating the post adjustment indexes for the different localities in relation to the base - Geneva. There are two kinds of indexes: the place-to-place index (obtained by comparing the cost of living in two different localities at the same time) and the time-to-time index (obtained by comparing the cost of living in the same locality at two different times). Over the medium term, the place-to-place index is more accurate than the time-to-time index because the structure of consumption in the base city and

in the other locality may change between two comparisons and this would not be taken into account by merely comparing the cost of living in the same locality at two given times and relating it to the index for the base city. ECPA therefore recognizes that the time-to-time index cannot be used for more than five years and that, thereafter, a place-to-place comparison is needed.

Moreover the two indexes are calculated from different data. The time-to-time index is based, for preference, on official national cost-of-living indexes, provided that they are sufficiently representative of the expenditure of an average international civil servant. The place-to-place index, on the other hand, is compiled from data on the prices of a number of goods commonly purchased by international civil servants. Their incidence on the over-all index is weighted according to the consumption structure of a typical family, which is established from replies to a questionnaire circulated to the staff. In both cases rent is taken into account.

It may be difficult to calculate the housing factor in the index when a new agency is established in an area where one already exists. This was the case when UNIDO was set up alongside IAEA at Vienna in 1967. Under the Austrian policy with regard to rents, staff members signing a new lease had to pay a higher rent than those already serving there. The time-to-time index, merely showing the increase in rent from one year to the next, which was insignificant, would have failed to reflect this difference properly. It was therefore necessary to recalculate the rent component of the Geneva-Vienna place-to-place index and to give the over-all index for Vienna a different weighting on the grounds that rent occupied a bigger place in the staff member's expenditure pattern. The difficulty of taking the housing factor properly into account in the index explains why the index reflects the level of rents only very imperfectly.

The cost of living at the base locality does not remain unchanged, and Geneva accordingly moves up to classes 1, 2 and 3 from time to time. In order to simplify the system and, more particularly, to include the post adjustment in pensionable remuneration, a few classes of post adjustment are incorporated in base salary by the General Assembly at the time of the major salary reviews. This consolidation of the post adjustment classes for the base locality in the basic salary scale is an acknowledgement that, between two fixed points in time, the world at large has experienced a rise in the cost of living and that the time has come to embody it in salaries. The procedure of consolidation does not affect the staff member's immediate real income.

Adjustment to the movement of other salary-earners' real income: computation of salaries

Two methods are used to adjust international civil service salaries to movements in the real income of other salary-earners. Over the short term, base salaries are adjusted temporarily by reference to the international salary index (ISI) (this happened at the 1968 review). Over the medium term, the base salaries undergo general revision after a thorough study of the relationship between United Nations salaries and salaries in the best-paid national civil service (this happened at the 1970 review).

In 1967 ICSAB suggested the compilation of an international salary index (ISI) for the adjustment of base salaries in the relatively long interval between two major reviews. Reference was made to the traditional time-lag between the movement of national civil servants' salaries and that of the real income of salary-earners in the private sector. If an additional time-lag occurred between the movement of national civil service salaries and that of salaries in the international civil service, the cumulative effect of those time-lags would place the United Nations staff at a severe disadvantage.

The ISI is based on the movements of real income in the national civil services of the seven countries in which the organizations have their headquarters (Austria, Canada, France, Italy, Switzerland, the United Kingdom and the United States of America). In the first stage, in order to obtain the seven national indices, the data are weighted according to the proportionate increment within each class of each civil service. The procedure is to take as a weight the size of the class at the beginning of the period of reference. At a second stage, the national indices are weighted for conversion into an international index. Three kinds of weights are used: the rates of the seven countries' contributions to the United Nations budget; the number of staff employed by the organizations of the United Nations family which have their headquarters in the country concerned; and the number of staff of the organizations of the United Nations family who are nationals of the country concerned. In 1968, at its sixteenth session, ICSAB requested ACC to inform it of the index every year. In practice the organizations have been using the ISI in support of their salary claims since 1968; they acknowledged then that, owing to its very preliminary character, the index could have no binding force, but they felt that it was none the less a useful means of comparison.

The reader may wonder why the ISI, unlike the post adjustment indices, has not been incorporated in a system for making automatic annual adjustments to United Nations salaries between two major reviews. At its sixteenth session ICSAB discarded the idea of such a system on the grounds that "the index movement between 1964 and 1968 suggests that the annual rate of real income lag was only about 1 per cent per year ... [a figure which] would not warrant annual adjustments". ICSAB's decision was perhaps also prompted by the idea that the legislative body was generally hostile to any automatic method of calculating salaries which, by legalizing a de facto situation, would do away with policy appraisals.

The major salary reviews are carried out on the basis of a comparison of the movement of United Nations salaries at Geneva with that of salaries in the Federal civil service in New York. The base period selected is usually that of the earlier major review at which the relationship between the two salary scales was generally satisfactory. In 1970 the comparisons were made by taking the case of a married staff member without children; the salaries compared comprised net salary, post adjustment and allowance for dependent spouse. At its seventeenth session ICSAB recognized that, until a new system was developed, the present system would continue to apply, "even though the Board does not imply indefinite endorsement of the one-country principle with its attendant difficulties".

However, mention should be made of two factors which slightly reduce the effect of the methods described above. The first relates to post adjustments. When a duty station is changed from one class of post adjustment to another, the increment in remuneration does not always make up for the entire rise in the cost of living, for the adjustment does not apply to family allowances for staff members with dependents. The second factor in the relative regression of United Nations staff incomes is the lack of movement in the family allowances themselves: the allowance for dependent spouse has remained unchanged since 1962 and the allowance for dependent children since 1957. The present system is indeed strongly criticized, and has been blamed for some of the difficulties encountered in recruiting staff, especially economists for employment in New York.

(3) POSSIBLE IMPROVEMENTS

By 1965 the dissatisfaction felt with the system of remuneration had prompted ICSAB to undertake a study of the principles on which international civil service salaries are established. This study was still uncompleted in 1970, and ICSAB decided in 1969 that the present system should temporarily be continued.

Criticism of the present system

The strict application of the Noblemaire principle has given rise to a number of anomalies. The first is that a staff member of United States nationality stationed at United Nations Headquarters in New York, and thus in his own country, is paid better than he would be if stationed at Geneva. The operation of the post adjustment system places a Frenchman working at UNESCO Headquarters in Paris in a similar situation as compared with a Frenchman stationed at Geneva. However, this anomaly affects only a small proportion of the staff.

A more serious criticism is that salaries in the United States Federal civil service are fixed according to a scale which takes into account the high cost of living in New York, which is about 30 per cent higher than that at Geneva. While United Nations salaries at Geneva are comparable to United States Federal salaries in New York, the real incomes of staff members at Geneva will in fact be far higher. This state of affairs must, however, be maintained if the Office at Geneva is to remain representative and especially if it is to have a reasonable proportion of United States nationals among its staff. As a general rule, a civil servant is not willing to serve abroad unless he is offered higher remuneration than in his own country. It is only later, after several years of living abroad, that he will come to realize the difference in the cost of living and the savings which he can make.

Furthermore the principle fails to take account of the fact that the Professional category in the United Nations is extremely heterogeneous and includes specialists who are not generally to be found in an ordinary national civil service. Consequently the salaries of the best-paid national civil service are not appropriate for such staff.

Again, there is an objection of substance to the practice of linking the salary system of international organizations to that of a single national civil service: namely, the difference in kind. A national civil service may have to heed considerations of domestic politics, whereas an international organization may be guided by financial or programme priorities.

At its fifteenth session ICSAB made an exhaustive list of the technical difficulties involved in applying the Noblemaire principle. The first is that it is impossible to make valid comparisons between the United Nations system and that of the best-paid national civil service with regard to job classification. The second is the difficulty of determining the margin by which United Nations salaries should exceed United States salaries. ICSAB concluded that no convincing arguments existed for such a margin except the time-lag between the revision of guideline scales and those of the United Nations, and that this time-lag should in fact disappear with the use of the international salary index. Lastly, the Committee recognized the difficulty of comparing the two systems when numerous allowances and fringe benefits had to be taken into consideration.

Proposals for improving the present system

ICSAB has studied the possibility of improving the system, especially at its thirteenth session, held in 1965. The improvements considered would have made no drastic change in the standards of comparison used in calculating salaries, but would have put an end to some of the anomalies described above.

The Committee considered the possibility of restoring the expatriation allowance, which had been abolished in 1951 on the recommendation of the Flemming Committee and replaced by more flexible benefits. The allowance would have made it possible to leave out of base salary the expatriation factor of the Noblemaire principle; it would also have encouraged mobility. After careful study, however, it was rejected because it would have entailed a general increase in costs. The "base" expatriation allowance was to have been that of a staff member of United States nationality at Geneva, computed by comparison with the expatriation allowance paid by the United States Federal Government or by private firms, etc., where the amount of the latter allowance exceeded the Noblemaire margin. The allowances of all expatriate staff members - 90 per cent of the total staff - would have been calculated on this base, and the salary bill would have risen sharply. Other findings from the study were that anomalies would still have existed, that the plan would have complicated the administration of the salary system and that the allowance would have created divisions within the secretariats.

Another selective improvement suggested was the idea of making a distinction between staff who were transferable from one duty station to another and those who were not. Such a distinction did not solve the problem of expatriate staff members who were not transferable and - even more important - it would have been an extremely hard distinction to draw.

The committees also considered abolishing the post adjustment system and applying a uniform rate of remuneration at all duty stations. The serious disadvantages attendant on this system are evident when it is learned that in 1967 the range of differences in cost of living between organizations' headquarters cities was as great as 20 per cent.

Another approach to the problem was the idea of making changes in the Professional category. Highly specialized scientific and technical staff, it was suggested, might be reclassified in a new category with a separate salary scale. Again, the General Service category might be expanded by creating a "Special Service" which would not be subject to the common system of salaries.

However, these suggestions were rejected because ICSAB refused, in the interests of staff morale and the maintenance of stability, to split up the single Professional category.

The conclusion which ICSAB seems to have drawn from all these studies is that the present system of uniform salary rates coupled with post adjustments and other allowances is still the least bad despite its difficulties and anomalies.

(4) THE CHOICE OF A NEW CRITERION: THE WORLD MARKET RATE

The concept and the method

The idea was that, in order to dissociate the United Nations salary system from that of any one national civil service, the world market rate should be chosen as a new standard of comparison. This method was suggested by ICSAB for the first time at its fifteenth session, held in 1965. The organizations would choose "benchmark" jobs of particular importance to them, and these would be used in making comparisons with similar jobs in the world market. Base salaries would be fixed every five years in the light of major comparative surveys of the "benchmark" jobs, somewhat on the lines of what had been done in 1961. The organizations, and more specifically CCAQ, were asked to investigate methods of making the survey and the feasibility of obtaining the basic data. Some work was done and, in particular, CCAQ commissioned a firm of consultants to make a pilot study of relevant data concerning expatriate staff employed in the private sector.

In 1969, at its seventeenth session, ICSAB concluded: "The theory of world market rates is not capable of practical application in the context of the international organizations at this time".

Why the world market rate concept was rejected

The first difficulty was the selection of "benchmark" jobs, concerning which CCAQ sent a number of questionnaires to the organizations. The object was to establish, for application to the 17,000 Professional staff of the United Nations system, the "benchmark" jobs concerning which the basic data from the different organizations could later be combined. This survey is not yet completed, but its difficulty can be appreciated even now. Furthermore the failure of the organizations to establish common standards of classification is a long-standing deficiency. In 1958 ACC observed that, although the salary scales were uniform among the organizations, the different standards of classification created serious anomalies inasmuch as staff members performing identical functions were differently paid. Since the situation remained just as critical in 1968, ICSAB suggested that one remedy would be to refer the matter to the Joint Inspection Unit. In addition to the difficulties of defining the "benchmark" jobs in the organizations, ICSAB maintained that a comparison of such jobs with those in the world market would be of little value in that the jobs which were commonest in the United Nations were those in which there was least world

competition, and that the jobs in which world competition was keenest represented relatively few posts in the United Nations.

Secondly, it was difficult to decide where the data were to come from. The world market rate is obtained by comparing United Nations salaries with the offers made for each "benchmark" job by employers competing with the United Nations. It was extremely hard to discover what salaries were paid by large business firms.

Thirdly, one of the main obstacles in the path of a world market survey is the non-comparability of international and outside jobs.

Lastly, in view of the vagueness of the figures compiled, there was a danger that they would be assessed subjectively.

THE PAY RESEARCH UNIT

The dissatisfaction with this failure to find a solution gave rise to the idea of a Pay Research Unit. The Administrative Committee on Co-ordination has instructed this inter-agency unit to compile and analyse information on the factors affecting salaries in all the organizations. Hence at this stage there is no agreement on a solution to the problem of fixing salaries, but only a consensus on a partial diagnosis: the need to improve the methods of gathering information.

Table I. Major examinations of the UN base scales in relation to salaries in outside employment

Year of review	Name of reviewing committee	Nature of committee	Committee recommendations regarding base scales	Suggested date for application of recommendation	Criteria used for the determination of salary levels
1946	Preparatory Commission of the UN	Inter-governmental body		6/47	Noblemaire: determination of salary levels which will attract qualified candidates from ANY part of the world.
1949	Flemming Committee or Committee of Experts on Salary, Allowance and Leave System	Independent experts appointed by SG	Transition from old (19 grades) to new salary schemes (P-1 to D-2). In case of reduction in previous salary ceilings, special arrangements	1/1/51	Noblemaire: US Government salaries. For UN senior officials, useful comparisons with <u>diplomatic missions</u> to UN.
1956	Salary Review Committee	11 experts nominated by Governments	Retain existing base salary scales, but switch base to Geneva.	1/1/57	Past and current <u>experience</u> in recruitment and retention of staff. Also, stability of real income of national civil servants. Discard any comparison with private sector.
1961	ICSAB	Independent inter-organisational body	20% increase base salary at P-1 to 10% at D-1/D-2, and consolidation of 2 classes post adjustment	1/1/1962	Re-establish 1957 ratio of UN salaries with outside salaries, specially those of <u>national civil services</u> (Mention was also made of salaries in the private sector).
1965	ICSAB	"	Increase of base salaries 4.5% at P-1 8.5% at P-5 7.0% at D-2 and consolidation of 3 classes PA	1/1/1966	Movement not of one (i.e. US) but of <u>several of the higher paid national services</u> . Discard ACC comparison with US civil service only.
1968	ICSAB	"	Interim salary adjustment through 5% increase of base salaries and consolidation of 1 class PA	1/1/1969	Movement of the new <u>international salary index</u> (from 64 to 68; increase of 3.5% to 11%)
1970	ICSAB	"	Increase of gross salaries by 8%, after consolidation of 2 classes PA General Assembly	1/1/1971 1/7/1971	Comparison of <u>changes incurred</u> by the US Federal civil service <u>real income</u> at NY and the UN official's real income at Geneva for 1960-1970.
1971	Salary Review Committee	11 experts nominated by Governments			

ANNEX VII.3

THE STRUCTURE OF REMUNERATION IN SOME
LARGE INTERNATIONAL ORGANIZATIONS

This annex describes and compares the structure of remuneration in the United Nations, the Co-ordinated Organizations (the Council of Europe, OECD, NATO including SILPE, the Western European Union, the European Space Research Organization (ESRO) and the European Space Vehicle Launcher Development Organization (ELDO)) and the European Communities (ECSC, EEC and EURATOM).

It opens with a brief description of the categories and grades of staff in the three groups of organizations. This shows clearly that the Professional category of the United Nations is comparable with category A in the Co-ordinated Organizations and the European Communities. Secondly there is a comparative table showing, by group of organizations, the net annual salary scales for this category of staff. Thirdly, for the purpose of an exact comparison of staff members' total earnings, the tax, allowance and fringe-benefit systems of the organizations are itemized and explained. Fourthly, to illustrate the use of the foregoing two tables, the case of a staff member X has been selected for the calculation of net annual earnings by employer organization or group of organizations.

I. Comparative description of grade structures

1. The reader is reminded that the staff of the United Nations are divided into the following categories: (i) Director, Principal Officer and Professional category; (ii) Field Service category; (iii) General Service category; and (iv) manual workers. The first category comprises grades D-2, D-1 and P-5 to P-1.
2. In the Co-ordinated Organizations, the officials in the highest posts do not belong to a specified category. The remainder are divided into four categories, A, L, B and C, corresponding to four types of duties. Category A covers posts ranging from director to junior officer and comprises seven grades. Category L comprises five grades, L5 to L1; it is made up of the posts held by language staff. Category B comprises six grades, B6 to B1; it is made up of the posts held by qualified technical and laboratory staff, office staff and secretarial staff. Category C comprises six grades, C6 to C1; it is made up of the posts held by auxiliary personnel, skilled and unskilled workers, machine operators and storage, maintenance and security staff.
3. The staff structure of the European Communities is very similar to that of the Co-ordinated Organizations. The staff are divided into four categories, designated A, B, C and D in descending order.

Category A comprises eight grades and is subdivided into careers which usually extend over two grades; it corresponds to functions of management, conception and research which require university-level qualifications or equivalent professional experience. Category B, with five grades, is for staff engaged in applying the directives of higher authority and in supervisory duties (secondary educational level). Category C, with five grades, comprises executive work (first-cycle secondary-school level). Category D spans four grades and covers manual work and services requiring a primary education, in some cases supplemented by technical skills. Language services are classified in a group designated L/A, comprising six grades assimilated to category A, grades 3 to 8. There is also a separate group of posts in the nuclear area, comprising scientific and technical officers. Their recruitment and career conditions are roughly the same as those of category A staff, but their salary structure is different. Scientific and technical officers may be paid up to a maximum of 25 per cent more than category A staff. They may also receive an increment for outstanding service in an annual amount not exceeding three times the basic monthly salary, except in cases proposed by the Commission and approved by the Council.

4. It is interesting to note that, under the staff regulations of the Co-ordinated Organizations, within a given grade in categories A, B and C, staff advance to steps 2 to 8 after a year's service in the step immediately below, whereas advancement to steps SI and SII occurs only after three years. These two steps, which in terms of net salary overlap the next higher grade by a wide margin, may be regarded as a means of giving staff a "consolation rise" at the end of their careers without impairing the administrative hierarchy.

II. Scale of net annual salaries, excluding allowances, for staff in the Director and Principal Officer category and the Professional category stationed at Geneva or Brussels (in United States dollars)

	D-2 or A7 or A1 ^{1/}		D-1 or A6 or A2		P-5 or A5 or A3		P-4 or A4 or A4		P-3 or A3 or A5		P-2 or A2 or A7/A6		P-1 or A1 or A8	
	highest step	lowest step	+	-	+	-	+	-	+	-	+	-	+	-
United Nations (1) Present scale 2/	21,184	19,850	19,760	16,978	18,390	15,044	15,986	12,362	13,731	10,234	10,960	8,423	8,761	6,568
(2) Proposed scale 3/	23,146	21,720	21,624	18,600	20,130	16,555	17,568	13,578	15,092	11,283	12,074	9,274	9,638	7,257
Co-ordinated Organizations 4/	20,392	17,166	18,415	15,190	17,266	13,109	14,663	11,236	12,379	9,364	9,673	7,490	6,138	5,930
European Communities 5/	22,989	18,524	20,885	16,640	19,261	14,045	16,110	11,975	13,836	9,954	11,806 9,208	8,545 7,250	6,580	6,276

1/ D-2 in the United Nations, A7 in the Co-ordinated Organizations and A1 in the European Communities.

2/ The scale used is that in force since 1 January 1969. The post adjustments for Geneva (scale of 1 January 1969) have been added to net base salary. Geneva is in class 2.

3/ The scale used is that given in document A/C.5/1303. It will apply from 1 July 1971 onwards.

The figures give the net equivalent of the salary corresponding to each grade and step after staff assessment. Two classes of post adjustment having been incorporated in base salary, this scale gives the exact remuneration which will be received by United Nations staff stationed at Geneva.

4/ The scales have been derived from the monthly salary scales dating from 1 January 1970. In order to make a valid comparison with United Nations salaries, we decided to show the scales for unmarried non-resident staff. It should be noted that the expatriation factor is incorporated in United Nations base salaries. The expatriation allowance has therefore been added to the base salary in the case of the Co-ordinated Organizations. Belgium has been taken as the base duty station, since the cost of living there is exactly the same as at Geneva. (The European Communities apply the same weighting factor - 100 per cent - to the remuneration of staff stationed in Switzerland and to that of staff stationed in Belgium.) The rate of exchange applied is 50 Belgian francs to the United States dollar.

5/ The scales have been derived from the monthly base salaries dating from 1 October 1969. We have taken the case of an unmarried staff member stationed at Brussels and receiving an expatriation allowance. Tax has been deducted from the gross salary. The rate of exchange applied is that quoted in foot-note 4.

III. Taxes, allowances and fringe benefits

(1) Taxes

United Nations: Salaries are subject to a deduction calculated according to the staff assessment scale:

Total assessable payments (US dollars)	Assessment (per cent)
First \$1,000 per year	5
Next \$1,000 per year	10
Next \$1,000 per year	15
Next \$1,000 per year	20
Next \$6,000 per year	25
Next \$6,000 per year	30
Next \$8,000 per year	35
Next \$8,000 per year	40
Next \$8,000 per year	45
Remaining assessable payments	50

Co-ordinated Organizations: The salaries and allowances paid by the Co-ordinated Organizations are exempt from tax.

European Communities: Staff are liable to a Community tax, which is a percentage of base salary. The percentage rises with the grade and falls as the number of children increases. Marital status does not affect the rate of tax.

Maximum rate: official at A1/6:

Single staff member 24.4%

Staff member with 5 children..... 18%

Minimum rate: official at A8/1:

Single staff member 6.8%

Staff member with 5 children..... 1.3%

(2) Expatriation allowance

United Nations: In principle the expatriation factor is taken into account in calculating base salaries. All staff members in the Professional category benefit accordingly, including those stationed at their place of habitual residence.

Co-ordinated Organizations: Non-resident staff receive an expatriation allowance.

For an unmarried staff member this is equal to 16 per cent of base salary and for a staff member with dependants 20 per cent.

Staff members with dependent children who do not qualify for education grant receive a supplementary annual allowance of \$110 per child.

European Communities: Non-resident staff receive an expatriation allowance. For an unmarried staff member this is equal to 16 per cent of base salary. For a staff member with dependants, the rate varies according to size of family and grade.

Minimum rate: official at A1/6 with 5 children: 18%

Maximum rate: official at A8/1 with 5 children: 21.5%

(3) Post adjustments

United Nations: The post adjustments for staff in the Professional category are fixed according to a scale. These adjustments are not subject to staff assessment. There are separate scales for unmarried staff and for staff with dependants. The adjustment varies with the classification of the duty station and the staff member's grade.

Co-ordinated Organizations: Cost-of-living allowances are paid.

European Communities: A correction factor is applied to the salaries of staff stationed in different countries, as follows:

Belgium	100%
Federal Republic of Germany	98%
France	118%
Italy	97%
Luxembourg	98%
Netherlands	98%
United Kingdom	101%
Switzerland	100%

(4) Dependency allowances

United Nations: The allowance is \$400 per annum for a dependent wife or dependent husband, regardless of the staff member's grade in the Professional category.

Co-ordinated Organizations: The dependency allowance is equal to 6 per cent of base salary (plus cost-of-living allowance if any).

European Communities: The allowance is equal to 5 per cent of base salary and in no case less than \$229 per annum.

(5) Children's allowances

United Nations: \$300 per annum for each dependent child.

Co-ordinated Organizations: \$322 per annum for each dependent child, plus cost-of-living allowance if any.

European Communities: \$356 per annum for each dependent child.

(6) Education grant

United Nations: In the case of attendance at an educational institution at the duty station: 75 per cent of the cost of attendance up to a maximum grant of \$1,000.

In the case of attendance at an educational institution outside the duty station: 75 per cent of the cost of attendance and board up to a maximum grant of \$1,000 a year per child.

Co-ordinated Organizations: In the case of attendance at an educational institution at the duty station:

	3 ceilings	Fixed payments
Primary	\$226	\$90
Secondary	\$452	\$135
University	\$678	\$249

The remainder of the grant is paid on production of the receipted bills.

In the case of attendance at an institution outside the duty station (for non-resident staff):

3 fixed grants:	Primary	\$226
	Secondary	\$452
	University	\$678

European Communities: The education grant corresponds to the actual cost of attendance, up to \$318 a year per dependent child.

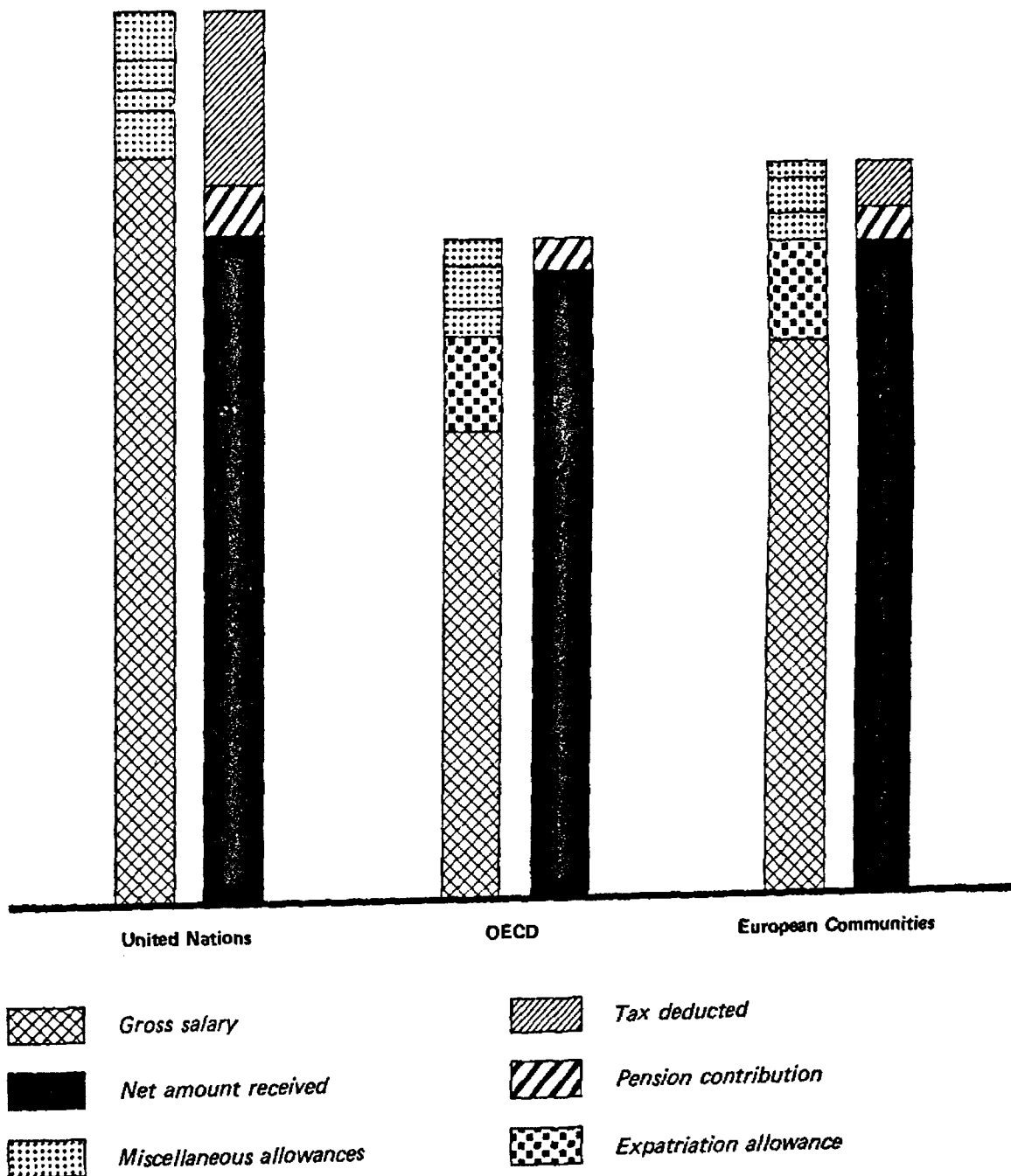
IV. Case-study: comparative table of the annual earnings (in US dollars) of a staff member stationed at Geneva or Brussels, at a grade equivalent to P-4 step 1, with two dependent children, one of whom is attending a secondary school outside the duty station, according to the international organization for which the staff member works

	Salary	Expatriation Allowance	Tax (Assessment)	Allowances				Total 1	Pension Fund Contribution	Total 2
				Post Adjustment	Dependency Allowance	Children's Allowance	Education Grant			
United Nations	15,260	-	3,578	1,020	400	600	1,000	14,702	1,068	13,634
Co-ordinated Organizations	9,686	1,938	-	-	581	893	452	13,550	678	12,872
European Communities	11,472	2,041	963	-	574	712	318	14,154	688	13,466

ANNEX VII.3 (continued)

Comparative illustration of the annual earnings (in US dollars) of a staff member stationed at Geneva or Brussels, at a grade equivalent to P-4 step 1, with two dependent children, one of whom is attending a secondary school outside the duty station, according to the international organization for which the staff member works

FIGURE SHOWING THE DIFFERENCE IN COMPOSITION OF REMUNERATION



ANNEX TO CHAPTER VIII

Annex VIII.1:

Detailed estimates of the cost of the proposed reforms and time-table for carrying out the reforms

ANNEX VIII.1

DETAILED ESTIMATES OF THE COST OF THE PROPOSED
REFORMS AND TIME-TABLE FOR CARRYING OUT THE REFORMS

I. DETAILED ESTIMATES

(1) Cost of the task force
(to be established as soon as possible)

	<u>Dollars</u>
1 Principal Officer, level D-1	36,510
1 legal specialist, level P-5	32,580
1 statistical specialist, level P-4	26,390
1 computer specialist, level P-5	32,580
3 G (1 G-5, 1 G-4 and 1 G-3)	31,400
TOTAL	159,460
(25% for common staff costs)	39,860
TOTAL	199,320
+ appropriations for consultation (on electronic data processing, the preparation of textbooks and annotated bibliographies, etc.)	120,000
TOTAL	319,320

(2) Cost of permanent structural reforms in the Office of Personnel

Under the United Nations regular budget

A. Recruitment

Units required to organize competitive examinations for recruitment purposes, to maintain the reserve roster and to provide preliminary training: by reorganizing the Secretariat Recruitment Service it should be possible for the present establishment to absorb the new functions, since these would reduce the present workload proportionately Nil

	<u>Dollars</u>
Appropriations for advertising for the purpose of compiling the reserve roster	60,000
Appropriations required for the remuneration of the members of the boards of examiners, for their travel expenses and for sundry costs of physical arrangements for the examinations	120,000
TOTAL	<u>180,000</u>

B. Personnel Inspectorate

About 8 full-time inspectors (3 for administrative
generalists, 2 for economists, and 3 versatile
inspectors); 4 part-time inspectors for language
staff;

Payment of consultants, on the assumption that the
staff of the Inspectorate are recruited from among
retired staff members of the United Nations;

Remuneration estimated at half a D-2 salary,

i.e. \$20,000 per annum for $3 + 2 + \frac{4}{2} + 3 = 10$ posts,

or 5 full D-2 salaries: $40,460 \times 5 =$ 202,300

+ 25% 50,575

TOTAL 252,875

	<u>Dollars</u>	
+ 1 secretary, P-4	26,390	
+ 1 G-5	13,410	
+ 4 G-4 x 10,000	<u>40,000</u>	
TOTAL	79,800	
+ 25%	<u>19,950</u>	99,750
+ Travel expenses estimated at	40,000	40,000
TOTAL		<u>392,625</u>

Dollars

C. Career Planning Unit

Although reorganization of the Division of Personnel Administration should make it possible to transfer some staff to different activities, it seems reasonable to estimate that, in addition to the present establishment, 2 P posts (1 P-4 and 1 P-2) and 2 G posts will be needed to organize the Career Planning Unit:

	<u>Dollars</u>
	26,390
	16,340
	20,000
TOTAL	62,730
+ 25%	<u>15,680</u>

TOTAL 78,410

D. Training

(a) Strengthening the staff of the Training Service:

1 P-4, 1 P-3 and 5 G:	26,390
	21,520
	50,000
TOTAL	<u>97,910</u>
+ 25%	<u>24,360</u>

TOTAL 122,270

Dollars

(b) Cost of organized teaching:

Cost will increase as more and more courses are instituted:

Cost of consultations with a view to the preparation of textbooks and annotated bibliographies, per annum 50,000

Payment for courses and practical exercises (estimated by comparison with cost of language training) 350,000

(c) Special appropriations to be made for study leave.

This item has not been estimated. The question is whether staff released for study leave should be replaced; if so, in what proportion; and whether, in the long run, the increased efficiency achieved through the training received would not make up for the time spent on study leave.

(d) Career Planning and Training Committees:

Remuneration of members from outside the secretariats + travel costs 60,000

TOTAL 582,270

E. Computerization programme

It is very difficult to make estimates for the period of preparation of the methodology, which depends primarily on the work of the task force.

Dollars

It may be estimated that the Office for Policy Co-ordination will in any case need to be permanently strengthened by the addition of three Professional posts and three General Service posts, i.e.:

	<u>Dollars</u>
Two P-4 posts: 26,390 x 2	52,780
One P-3 post	21,520
Three G posts	30,000
TOTAL	104,300
+ 25%	26,075

TOTAL 130,375

F. Recapitulation of additional expenditure on structural reform:

Recruitment	180,000
Personnel Inspectorate ...	392,625
Career Planning Unit	78,410
Training:	
Staff	122,270
Teaching and textbooks .	400,000
Committees	60,000
Computerization programme	130,375

TOTAL 1,363,680

(3) Cost of preliminary training

Programme to be negotiated with UNDP, already estimated in chapter IV	2,230,000

Dollars

- (4) Savings to be achieved (after the programme has been applied) by computerizing operations now performed manually

It seems reasonable to hope that the number of General Service posts required in the Division of Personnel Administration and the Division of Recruitment could be reduced by about 10 per cent of the present strength, i.e. 23 G. One of the duties of the task force will be to estimate this saving more accurately:

23 G at \$10,000	230,000
+ 25%	<u>57,500</u>
TOTAL	287,500

This would reduce the cost of the reform

in a full year by	1,363,680
	<u>- 287,500</u>
	<u>1,076,150</u>

II. TIME-TABLE FOR CARRYING OUT THE REFORMS
AND ESTIMATE OF THE YEARLY COST

	<u>Dollars</u>
<u>First year:</u> Task force	319,320
Appropriation for advertising for reserve roster and competitive examinations	60,000
First round of competitive examinations for recruitment purposes	40,000
First appropriation for the development of professional training	100,000
Recruitment at the end of the year (for three months) of a P-4 and two G for computerization:	
$26,390 + 20,000 = 46,390$	
+ 25% 11,590	
4 <u>57,980</u>	<u>14,490</u>
TOTAL	<u>\$ 533,810</u>
<u>Second year:</u> Task force	319,320
Appropriation for advertising for reserve roster	60,000
Appropriation for competitive examinations	120,000
Start on establishment of the Inspectorate: filling half the posts and first operational trials: $392,000 \div 2 =$	196,000
Start on establishment of the Career Planning Unit: $78,000 \div 2 =$	36,000
Training Service	122,270
Appropriation for teaching under the training programme	200,000
Appropriation for the Training Committees ..	60,000
Computerization programme	<u>130,375</u>
TOTAL	<u>\$1,243,965</u>

	<u>Dollars</u>	
<u>Third year:</u> Disbandment of the task force	Nil	
Installation of the permanent system	1,363,680	
Initial savings	<u>133,680</u>	
TOTAL		<u>\$1,230,000</u>
 <u>Fourth year:</u> Final system	1,363,680	
Final savings	<u>287,500</u>	
TOTAL		<u>\$1,076,180</u>