



ST/AI/189/Add.1\*  
21 April 1971

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

Subject: REGULATIONS FOR THE CONTROL AND LIMITATION  
OF DOCUMENTATION

Addendum

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

I. DEFINITIONS

1. The term "programme of United Nations publications" (hereinafter called the programme) is understood to include all material - whether printed by means of the internal resources of the Secretariat or externally under contract - which is offered for sale under an authorization of the Publications Board.
2. For the purposes of the programme, the term "printing" is understood to mean either of the following methods of production:
  - (a) Offset from fair copy or from stencils;
  - (b) External printing.

Whenever possible, use is made of internal reproduction capacity to relieve the contractual printing budget. Central planning and control of external and

\* Supersedes documents AI/73 of 8 December 1949 and ST/PB/7 of 10 January 1957.

internal printing operations are necessary to ensure that maximum use shall be made of the internal capacity at Headquarters and the other offices of the Organization to produce items from the programme, in addition to the documentation required to service meetings.

## II. AUTHORITY

3. The Publications Board exercises general jurisdiction over the establishment and execution of the programme in accordance with its terms of reference (ST/SGB/131/Amend.1). It is directly responsible to the Secretary-General.

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

5. Responsibility with regard to the substance of publications and the submission of the manuscripts for printing in accordance with the approved schedules rests with the various departments, offices or other organizational entities (hereinafter called "departments or offices") concerned, in their respective areas of competence.

## III. WORKING COMMITTEE OF THE PUBLICATIONS BOARD

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

Chief Editor, Chairman

Chief, Documents Control

Chief, Printing Section

Chief, Sales Section

The budget officer dealing with the area of work considered

A representative of the editorial group responsible in the area of work considered

A representative of the department or office whose proposals are under examination.

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

7. The Working Committee examines the technical aspects of publications proposals in the context of the over-all work programme, as indicated in sections VI and VII below, and reports its findings to the Publications Board.

#### IV. STRUCTURE AND CONTENTS OF THE PROGRAMME

8. Each department or office originating the type of material defined in paragraph 1 above presents publications proposals with a view to their incorporation into the annual programme of United Nations publications in accordance with the procedures described in sections VI and VII below.

9. The programme contains the following main categories of material: official records; periodicals; basic reference works issued at recurrent intervals; studies and non-recurrent reports; proceedings of special meetings and conferences.

#### V. PURPOSE OF ADVANCE PLANNING

10. The purpose of the procedures set forth in sections VI and VII below is to ensure that the programme shall be established in terms of a time-table and in terms of a cost-appropriation expenditure budget. Presentation of the programme in this manner should make it possible:

- (a) To establish realistic budget estimates;
- (b) To foresee translation requirements;
- (c) To make the best allocation of funds among publications and ensure publication in due course;
- (d) To regulate the use of internal reproduction capacity;
- (e) To make the best use of low-bid contracts;
- (f) To determine the sales potential of individual items, facilitate general knowledge of United Nations publications and plan advance sales publicity;
- (g) To control the execution of the programme.

VI. PROCEDURE FOR INITIATION OF THE ANNUAL PROGRAMME

11. The procedure outlined in paragraphs 13-21 below is applied at Headquarters; but the principles involved and the methods used in preparing proposals for publications subject to the approval of the Publications Board are basically the same in all United Nations offices, allowance being made for variations in administrative practice to suit local conditions.

12. Although it is assumed that, in principle, the publications proposals for a given year can be drawn up in terms of specific titles at the beginning of the year preceding the completion of the manuscripts of forthcoming publications, this instruction applies equally to all items - whether or not they have been foreseen a year or more in advance - that are submitted for issuance as United Nations sales publications.

13. By 31 January of each year, the departments or offices concerned submit to the Secretary of the Publications Board, on form D.3 (11-61), as completed in section A (and, if needed, in section B) by the substantive unit involved, details concerning the items proposed for inclusion in the following year's programme, other than the official records (on that subject, see paragraph 16 below). Each proposed publication should be shown in its relation to a specific work project, and the request for its inclusion should be supported by the resolution calling for the publication or, in the absence of a resolution, by an indication of the origin of the request. This procedure applies not only to those publications for which contractual printing funds are required but to all publications proposed for inclusion in the programme, as defined in paragraph 1 above.

14. The Secretary of the Publications Board transmits the forms submitted by the departments or offices to the technical services of the Publishing Service responsible for entering, in section C, the estimated distribution requirements and the estimates of printing costs. Upon completion, the forms are sent back to the Secretary of the Board, who transmits the information to the originating departments or offices.

15. On the basis of these forms, the departments or offices concerned incorporate into a single paper, by title or series, information regarding languages of issue, length of manuscript, size of publication, press runs for official distribution, anticipated dates of completion of manuscripts, estimates of printing costs and authority for publication (or justification). Such papers are circulated to the members of the Working Committee of the Publications Board, which examines the feasibility of the work in relation to the general planning of the technical services and the recommended schedules, distribution patterns and estimates of printing costs.

16. In respect of the official records of the principal organs of the United Nations (items included in section 11, chapter I (i) - (iv), of the budget), Documents Control, in consultation with the departments or offices responsible for the preparation of the manuscripts, completes section A of form D.12 (11-49) (titles, languages and estimated number of volumes and fascicles), and the appropriate technical services of the Publishing Service complete sections B and C (estimated distribution requirements and printing costs). The data are tabulated by Documents Control and set forth in a single paper for submission to the Working Committee of the Publications Board. The Working Committee examines the information and records its findings with respect to the distribution and cost estimates.

#### VII. APPROVAL OF PRINTING ESTIMATES AND RELATED PUBLICATIONS PROPOSALS

17. The Working Committee presents to the Publications Board a recommended time-table and consolidated printing estimates for the following year. presentation contains information, by title or series, regarding languages of issue, length of manuscript, size of publication, press runs for official distribution, anticipated dates of completion of manuscripts, required date of publication and estimates of printing costs. It is accompanied by a comparative statement, prepared by the Secretary, of the appropriations for the current year and the expenditures incurred in the previous year.

18. The consolidated printing estimates and recommended time-table are scrutinized by the Publications Board. Following completion of that review, the estimates, as amended and approved by the Board, are transmitted by the Secretary to the Budget Division, not later than 30 April, for incorporation in the Secretary-General's budget estimates.

#### VIII. ESTABLISHMENT OF THE ANNUAL PROGRAMME

19. As soon as the budget estimates have been approved by the General Assembly, detailed allocations of the contractual printing funds available are established by the Budget Division, and the procedure described in paragraphs 13-15 above is repeated to the extent necessary to establish the programme within the approved budget. Resolutions that involve printing expenditures are subject to the procedure set forth in article XIII of the Financial Regulations and Rules of the United Nations;<sup>1/</sup> proposals for new publications called for by a resolution must therefore refer to the statement of administrative and financial implications that is required from the Secretary-General prior to the adoption of any such resolution.

20. Beginning in January of each year, the Working Committee of the Publications Board examines, in the light of the budgetary allocations, the revised proposals for the current year submitted by the departments or offices concerned and presents a consolidated programme to the Publications Board.

21. The Publications Board reviews the presentation of the Working Committee, calls for such additional information or modifications as it may require and thus establishes the annual programme of United Nations publications. In so doing, the Board gives specific approval to the press runs for official distribution and to the estimates of printing costs.

22. Once the programme has been approved by the Board, it is issued as a separate paper, and no change may be made without authorization by the Board. If departments or offices wish to add new publications to the programme during the

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<sup>1/</sup> See also ST/AI/189, p. 3, para. 8, and p. 5, para. 2.

course of the year, they submit details on form D.3 as described in paragraph 13 above, and their presentation is examined by the Working Committee or the Publications Board, according to the urgency of the request for publication.

#### IX. EXECUTION OF THE ANNUAL PROGRAMME

23. Each department or office is responsible for submitting the manuscripts of the publications it originates in accordance with the approved time-table and specifications set forth in the programme. Precise scheduling is of primary importance for the proper organization of editing, reproduction, translation and distribution operations and for the placing of printing orders in the best possible conditions. Therefore the dates agreed upon for the submission of manuscripts by issuing departments or offices should be strictly adhered to, so that printing funds can be obligated in the course of the financial year for which they are requested.

24. Manuscripts are submitted in one copy for each language edition through the appropriate channels according to the procedures laid down in document ST/AI/189.<sup>2/</sup> The translation versions of items that have already been issued or submitted for printing in the original language constitute first charges on the resources available for printing.

25. In June and in September of each year, the Working Committee reviews the progress made in the execution of the programme and recommends to the Publications Board any adjustments that appear desirable. Any department or office may propose changes in its programme of approved items as and when it deems it necessary.

26. At the first meeting of the Publications Board each month, the Secretary circulates a list of manuscripts due for submission at Headquarters the previous month which have not been received, with any additional information provided by the editorial services concerned and, as far as possible, an indication of the date on which the actual submission may be expected.

27. Upon submission of a manuscript for external or internal printing, the Publishing Service re-examines the distribution and cost figures and makes such

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<sup>2/</sup> See p. 4, para. 11, and p. 6, para. 6.

adjustments as may be necessary. The Publications Board is informed of any revision of costs and considers suggestions for a compensatory revision of the programme.

28. Arrangements for processing manuscripts so as to ensure publication by the dates required are made by the Office of Conference Services. In sending manuscripts to other United Nations offices for printing, the Publishing Service specifies a date for completion of the work; thereafter, it is the responsibility of the office concerned to ensure that this date shall be respected and to inform the Publishing Service without delay if, at any time, this is found to be impossible.

29. Documents Control submits to the Publications Board a quarterly cumulative statement of the progress made in the execution of the part of the programme that is originated at Headquarters. Such statements include, in particular:

(a) The date by which the originating department or office expects to submit the complete manuscript (including illustrations and index) to Documents Control for processing in each language of issue;

(b) The actual date of submission for printing of each language of issue;

(c) The date by which publication is expected to take place in each language of issue;

(d) The date of release of the publication for distribution at Headquarters.

#### X. CONTROL OF PRINTING OBLIGATIONS AND EXPENDITURES

30. The issue of allotments and the control of printing expenditures are under the authority of the Office of the Controller. For budgetary purposes, any text which has been received by the Publishing Service in time to complete copy preparation before the end of the year is considered to be within the cut-off date; the related printing costs may therefore be obligated in full against the appropriations made available for that particular year.



31. The status of printing obligations and expenditures is communicated to the Board by the Publishing Service in time to assist it:

(a) In the establishment of the printing estimates for the following year (see paragraph 17 above);

(b) In its last review of the progress made in the execution of the annual programme.

#### XI. LIMITATION OF AUTHORS' ALTERATIONS

32. Authors' alterations are defined as those corrections made on proofs that involve departure from the original copy sent to the printer. In the present instruction, they are taken to mean alterations made on proofs by the department or office in which the text of the publication originated, as opposed to technical corrections made by the Publishing Service in consequence of printers' errors.

33. Since all submitted copy will have been definitively edited by the services concerned, alterations on proofs by departments and offices should be strictly limited to substantive matters. They are intended solely to facilitate the incorporation of new data received in the course of production of publications which, by their nature, are required to present up-to-date information.

34. The cost of authors' alterations should not exceed 6 per cent of the cost of composition. It must be borne in mind for guidance that the cost of a correction represents, on the average, four times the amount of the original typesetting. Alterations must, therefore, be kept within 1.5 per cent of the original wording in order to meet the above requirement.

35. The Chief of the Publishing Service will report to the Publications Board cases in which the cost of authors' alterations has, in fact, substantially exceeded the prescribed limit, so that the reason for any expenditure beyond that limit may be investigated and responsibility fixed. In respect of publications produced at offices other than Headquarters, the officer responsible for placing the work with the printers shall report such cases to the Publications Board through the appropriate channels.