Guidelines for the Planning and Design of the
IAEA 2018–2019 Technical Cooperation Programme

Contents

A. Objective

1. These guidelines provide the framework for the development of the International Atomic Energy Agency's (IAEA's) technical cooperation (TC) programme for 2018–2019. They define roles and responsibilities, process and timeframe, and available services for the planning, design and development of the 2018–2019 TC programme.

B. Introduction

2. The IAEA is an independent international organization with a special relationship with the United Nations system. Its TC programme builds human and institutional capacities in Member States in the safe, secure and peaceful application of nuclear science and technology, in line with the IAEA's statutory mandate[1] and the decisions of its governing bodies. In so doing, the programme contributes to addressing the major sustainable development priorities of each country, with the goal of increasingly promoting tangible socioeconomic impact.

3. The TC programme is based on the principle of shared responsibility between Member States and the Secretariat, with the lead role taken by the Member States. The programme is developed through a consultative process that involves all relevant stakeholders, using the Logical Framework Approach (LFA) and the TC central criterion[2], to identify the problems that need to be solved, together with gaps, priorities and the results to be achieved by the programme or projects, taking into account available resources.

4. The TC programme cycle is aligned with the IAEA's Regular Programme to allow strategic allocation and leveraging of all available Secretariat resources (programme management, funding and technical expertise).

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[1] Under Article II of the IAEA Statute: "The Agency shall seek to accelerate and enlarge the contribution of atomic energy to peace, health and prosperity throughout the world. It shall ensure, so far as it is able, that assistance provided by it or at its request or under its supervision or control is not used in such a way as to further any military purpose."
[2] See IAEA document GOV/INF/2002/8/Mod.1.

C. Guiding Principles for Project Planning and Design

5. The IAEA Statute and the *Revised Guiding Principles and General Operating Rules Governing the Provision of Technical Assistance by the Agency* as contained in INFCIRC/267 comprise the IAEA's established guidelines for the formulation of the TC programme. Programme formulation is also guided by the decisions of the governing bodies, and by the IAEA's Medium Term Strategy.

6. The TC programme is needs and demand driven. Priorities are established at the national level based on Country Programme Frameworks (CPFs), where available, and take into consideration national development plans. At the regional level, programme priorities are based on regional strategic frameworks and regional profiles.

7. The CPF is a strategic programming tool prepared by Member States in collaboration with the Secretariat. It defines mutually agreed priority development needs and interests that can be supported through TC activities. CPFs reflect national development plans, country specific analyses and lessons learned from past cooperation, and seek linkages with United Nations Development Assistance Frameworks (UNDAFs). CPFs ensure that the application of nuclear technology is integrated with a Member State's existing development plans. Regional strategic plans, profiles and frameworks are key reference documents for the development of regional and interregional projects, ensuring alignment with defined and prioritized regional and global needs.

8. The Secretariat works closely with Member States to ensure that the needs and priorities identified by the Member States are appropriately reflected in the TC programme, and that project proposals are in line with TC quality criteria, namely relevance, ownership, effectiveness, efficiency and sustainability. In order to increase efficiency, significant consideration should be given to comprehensive projects with the potential for higher impact[3].

9. Partnerships with other entities (including partnerships that offer funding opportunities) that can contribute to the proposed project are strongly encouraged and should be identified, sought out and established early in the project design process.

10. In line with the IAEA Gender Equality Policy, all projects will take into account gender-related impacts and benefits. Therefore, Member States are encouraged to make efforts to ensure equal opportunities for both men and women in the design, planning and implementation of the TC projects.

11. The IAEA uses the LFA as a standard tool for the complete TC project life cycle. All projects should be designed to achieve results following the principles of results based management. It is essential that measurable and realistic results are defined using performance indicators and clear baseline information. These are necessary tools to measure progress and impact.

12. The Regional/Cooperative Agreement Strategies and Regional Strategic Profiles (RSPs) are the foundation for the planning and formulation of regional projects. Project proposals should contain evidence that the support requested addresses common needs, is an identified regional priority, and is in line with the national development priorities of the participating Member States.

13. Interregional projects can be trans-regional, set global standards, or enable the participation of candidates from developing countries to participate in approved conferences, seminars and workshops. They can also be used for joint TC activities with an international entity. They contribute to wider knowledge and experience sharing among participating Member States and enhance technical cooperation among developing countries (TCDC).

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[3] See IAEA document GOV/INF/2002/8/Mod.1.

14. Given the limited resources of the Technical Cooperation Fund (TCF), projects are expected to be co-supported by Member States and/or development partners/donors. The source, nature and extent of support should be clearly indicated in the project document. Extrabudgetary contributions, such as government cost-sharing, are expected in particular to support large procurement items.

15. Member States are advised to use the TCF allocation of the previous TC cycle as an indicative planning figure when budgeting TC projects for the upcoming cycle. Additional funding sources should be clearly identified for specific activities.

D. Roles and Responsibilities

16. Member States are responsible for the selection of projects to be proposed to the Secretariat based on the CPFs and existing RSPs. Only projects where well-developed, mature nuclear and nuclear-related techniques and technology hold a comparative advantage or complement conventional approaches will be considered.

17. Member States are responsible for the selection of counterpart institutions, project coordinators, the project teams and partners, based on the needs and objectives of projects. This includes ensuring that the institutions selected have the required physical infrastructure, adequate human resources to implement the projects, and are supportive and committed to disseminating knowledge and the transferred technology at the national level. Project coordinators should be knowledgeable, committed, have good managerial skills and be capable of coordinating project development and implementation. Designated project coordinators are required to complete the LFA online training.

18. Member States are the project owners and thus responsible for progress monitoring, reporting, the realization of outcomes, as well as ensuring sustainability of developed human resources and infrastructural capacity.

19. The Secretariat is responsible for ensuring that comprehensive and timely feedback on all submitted draft project designs is provided to Member States.

20. Member States are reminded that the Board of Governors requires all Member States receiving technical assistance from the IAEA to have concluded a Revised Supplementary Agreement Concerning the Provision of Technical Assistance by the IAEA (RSA). In accordance with the terms of the RSA, Member States are responsible for obtaining the release from customs for goods and equipment supplied under the TC programme. This includes the payment of taxes, where applicable; the transportation of equipment from the port of entry to the project site; any incidental handling, storage, or other related expenses; insurance; and maintenance.

21. Projects proposed for the 2018–2019 TC programme cycle that involve the delivery of radiation sources (sealed sources, unsealed radioactive material and radiation generators) are reviewed by the Department of Nuclear Safety and Security to ensure that the projects meet the requirements of Article III A.6 of the Statute, which states that the IAEA is authorized to provide for the application of standards of safety for protection of health and minimization of danger to life and property (including such standards for labour conditions) to its own operation as well as to the operations making use of materials, services, equipment, facilities, and information made available by the IAEA or at its request or under its control or supervision. Noting that the radiation safety infrastructure in a Member State can change positively or negatively throughout the implementation of a project, Member States are encouraged to consult and engage with their respective regulatory bodies on all projects that will involve the use of radiation sources and ensure that the national and principal requirements of the International Basic Safety Standards are met.

22. The assessment of a Member State's status is based on the evaluation of information stored in the web-based Radiation Safety Information Management System (RASIMS). For reasons of confidentiality, access to RASIMS is restricted so that Member States can only see their own national data. The information in RASIMS is sourced from both Member States and the Secretariat, and is regularly updated. It is subsequently validated by Technical Officers. It is in the interests of Member States to ensure that information in RASIMS is accurate and up to date.

23. Member States, with the exception of least developed countries, must pay National Participation Costs (NPCs) equivalent to 5% of the estimated core funding of the approved new projects. At least half of the NPCs, equivalent to 2.5% of the core funding, must be paid before project implementation begins. The project start date should take into account the expected date of NPCs payment.

E. Project Planning and Development Process

24. The planning and development process begins with the issuance of a note verbale together with these Guidelines. Member States should then start internal discussions on topics and issues to be addressed through the TC programme during the 2018–2019 TC cycle. Member States are requested to conclude their internal project identification process according to the timeframe outlined in Section G, and to provide a list of proposed projects using the Country Programme Note (CPN) template. For Secretariat support in this process, please refer to Section F of the guidelines.

25. Regional and interregional project proposals can be submitted by any group of Member States within or outside an existing Regional/Cooperative Agreement bearing in mind the established quality criteria for these project types. Regional TC projects are also expected to make a clear contribution to the national development priorities of participating countries, and will be screened and appraised accordingly. The IAEA Secretariat may also submit relevant regional and interregional projects based on information available to it on existing needs, trends and in close consultation with Member States.

26. The proposed programme for a Regional/Cooperative Agreement is submitted by the Chair of the respective Regional/Cooperative Agreement in accordance with the planning process and identified timeframe. These programmes, together with regional TC projects outside an agreement will be consolidated by the relevant Regional Division to form the overall regional TC programmes. The Secretariat will also be responsible for consolidating the interregional TC projects into the overall interregional programme. The submission of the Country, Regional and Interregional Programme Notes (CPN, RPN, IPN) initiates the project planning process. The early stages of the project design provide time for interaction between Member States and the Secretariat.

27. It is expected that National Liaison Officers (NLOs), Programme Management Officers (PMOs), Technical Officers (TOs) and project counterparts will work together on the design of projects selected by Member States from their initial Programme Note list. Member States are encouraged to draw on the Secretariat's services described in Section F below for support in the programme preparation process. Feedback on designs will be provided to Member States via the Programme Cycle Management Framework (PCMF) IT platform.

F. Services

28. The TC programme is fully supported by the PCMF IT platform (http://pcmf.iaea.org/), which facilitates a transparent planning and design process, and provides information and references on services available throughout the process. The PCMF IT platform also facilitates interactions

among all stakeholders. The PCMF Help tab and the PCMF Reference Desk provide additional detailed information for each stage of programme preparation, including:

- The Logical Framework Approach;
- TC Programme Quality Criteria, describing project design quality (as per the LFA);
- List of TC Fields of Activity where nuclear technology can offer competitive solutions to development issues;
- Roles and responsibilities in the formulation of the TC programme;
- TC Programme Planning and Design Glossary;
- Guidelines for advancing partnerships in the TC programme.

29. As needed and as appropriate, PMOs will coordinate with NLOs on the provision of expert missions and training in support of project planning, design and development. This may include one or more of the following:

- Assistance for the development of CPFs and RSPs/regional strategic frameworks;
- Pre-project assistance;
- LFA training and project design meetings;
- Country and regional programme review meetings for upstream planning;
- Project design meetings;
- Training/induction course for new NLOs and National Liaison Assistants;
- Assistance for resource mobilization efforts.

30. A full description of all TC Programme Services is available from the PCMF Reference Desk.

G. Timeframe for the Preparation of the 2018–2019 TC Programme

Phase	Activity/Milestone	Responsibility	Deadline
Concept/ Programme Note Phase	Issuance of Guidelines (note verbale)	Secretariat	31 January 2016
	Submission of Country Programme Note (CPN)	Member States	30 April 2016
	Submission of Regional and Interregional Programme Note (RPN/IPN)	Member States/ Secretariat	30 April 2016
Design Phase	Engagement with Member States through TC Programme Services	Member States/ Secretariat	continuous
	Submission of draft national project designs via PCMF IT platform	Member States	31 August 2016
	Submission of draft regional project designs via PCMF IT platform	Member States/ Secretariat	15 September 2016
	Submission of draft interregional project designs via PCMF IT platform	Secretariat	30 September 2016
	Technical and quality review	Secretariat	15 November 2016
	Submission of feedback to Member States	Secretariat	15 December 2016
	All project designs finalized and submitted via PCMF IT platform	Member States	15 May 2017
	Editing of project designs	Secretariat	15 July 2017
	Consolidated quality review	Secretariat	15 August 2017
Approval Phase	Clearance of proposed TC programme	Secretariat	31 July 2017
	National programme acknowledgement	Member States	15 August 2017
	Issuance of TC programme documents to Member States	Secretariat	October 2017
	Review of TC programme by the Technical Assistance and Cooperation Committee	Member States	November 2017
	Approval of TC programme by the Board of Governors	Member States	November 2017