

Guidelines for the Planning and Design of the IAEA 2014–2015 Technical Cooperation Programme

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A. Guideline Objectives

1. These guidelines set out the process for the development of the 2014–2015 technical cooperation (TC) programme, and present the criteria that all projects must meet in order to ensure consistently high quality throughout the TC programme. The timeframe for the planning, design, appraisal and approval of the 2014–2015 TC programme is included at the end of the document.

B. Introduction

2. The Secretariat works closely with Member States to ensure the quality, effectiveness and relevance of the TC programme. The TC programme is developed according to the principle of shared responsibility by the country and the Secretariat, with the leading role taken by the country. The TC programme is needs-based and is developed with stakeholders through a consultative process using the Logical Framework Approach (LFA) that identifies development needs, gaps, priorities and the results that should be achieved through the programme or projects. The Country Programme Framework (CPF) process offers a key means of identifying project opportunities that are in line with areas of national development priority for Member States.

3. In line with the IAEA's statutory mandate¹ and relevant Board of Governors' policy documents such as, in particular, the Medium Term Strategy 2012-2017 ([GOV/2010/66](#)), the IAEA has emerged as a unique multidisciplinary organization in the United Nations system to address global challenges related to nuclear technology, including global energy security, human health, food security and safety, and water resource management, and to nuclear safety and security and non-proliferation.

4. The IAEA will continue improving the efficiency, effectiveness, accountability and transparency in all major programmes for the benefit of its Member States, and the TC programme will continue to be tailored to respond to the evolving needs, priorities and capacities of Member States, focusing on achieving a tangible socio-economic impact by contributing directly and in a cost-effective manner to the attainment of the major sustainable development priorities of each country.

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.”

5. Furthermore, in line with operative paragraph 9 of the IAEA General Conference resolution on strengthening of the Agency's technical cooperation activities ([GC\(55\)/RES/11](#)), which welcomes the efforts of the Secretariat to rationalize the number of TC projects in order to increase programme efficiency and create synergies among projects, the project concept and design process and associated documentation have been improved and streamlined.

6. Member States are advised to use the TC Fund (TCF) allocation of the previous TC cycles for national programmes as an indicative budgetary planning figure for the 2014–2015 cycle. This provides a realistic budgeting framework, and allows Member States to focus on comprehensive and well integrated project proposals that contribute to established national programmes, in line with the TC central criterion.

7. During the past ten years, the TCF had a magnitude of approximately €160 million per TC cycle, supporting TC projects in about 130 Member States. On average, approximately 60% of the TCF has been allocated to national projects, 35% to regional projects (including those under regional agreements) and 5% to interregional projects.

8. Proposed projects vary both in scope and magnitude, and the level of management workload required in their preparation has been adjusted to reflect this. More complex or large scale projects that require more support and commitment, close coordination and cooperation amongst stakeholders will use the LFA as a management tool for design, formulation and implementation and will be screened and appraised accordingly. Simpler or smaller projects do not require this level of administrative work and oversight, and for such projects, the project development procedure and documentation are simpler. The mechanism to categorize projects is described in Section C of this document.

9. Any potential project must meet the TC central criterion established in the Technical Co-operation Strategy: The 2002 Review ([GOV/INF/2002/8/Mod.1](#)), whereby '*it addresses an area of real need in which there is a national programme enjoying strong government commitment and support*'. Partnerships with other entities that can contribute to the proposed project are strongly encouraged and should be sought and established as early as possible.

10. The TC programme continues to be fully supported by the Programme Cycle Management Framework (PCMF) IT platform (<http://pcmf.iaea.org/>), which facilitates programming processes and interaction among stakeholders. Detailed information on each stage of the process is available under the Help tab.

11. Detailed documentation, criteria for appraisal and approval, and templates are available on the PCMF IT platform. This includes but is not limited to:

- Roles and responsibilities in the formulation of the TC programme, describing the different stakeholders and their roles and responsibilities in the preparation of projects.
- TC Fields of Activities (FoAs) and thematic clusters, describing FoAs and the relevant areas where nuclear technology can offer competitive solutions to developmental issues.
- TC quality criteria, describing project design quality (as per the LFA) and TC requirements compliance to be used during the screening, appraisal and approval processes of concepts and project documents. Also included are the specific additional requirements for regional and interregional projects.
- Advancing partnerships.

C. Criteria for categorizing projects

12. All TC projects will be categorized as follows:

- *Category A*: Complex or large scale projects, usually aiming at **infrastructure and capability development** in the nuclear sector and perhaps involving a strong component on procurement of equipment as well as human resources (HR).
- *Category B*: Simple or small scale projects, usually for conducting a **planning/feasibility study or having mainly an HR component** (training) for addressing pending gaps or needs, contributing to previous projects or specific activities.

13. Projects in category A should have a clear and measurable outcome (specific objective), linked and contributing to an ultimate socio-economic overall objective from an established national programme (impact), with various inputs and financial sources, as well as partners, and an adequate project implementation strategy to ensure sustainability and achievement of results. It is expected that the TCF contribution to projects in this category will start from a threshold of €150 000 per TC cycle for national projects and €400 000 for regional projects.

14. Both national and regional projects in category B will be designed with the necessary flexibility to support Member States to carry out unforeseen specific activities and to meet contingencies during the implementation phase. It is expected that only one national project in category B will be included in a national programme. Similarly, only one regional project in category B will be included in the regional programme for each region, with a reasonable budget to accommodate the cost of unforeseen activities and needs.

15. On average, an exemplary national programme should be composed of one to three national projects of category A and one national project of category B. Likewise, a regional programme will have around 10-15 regional projects of category A, and one regional project of category B.

D. The Project Concept and Design Phases

Concept Phase

16. The concept phase aims to identify, select and prepare a limited number of high potential project opportunities in line with relevant priorities, needs and objectives, where nuclear techniques and technologies can produce tangible results by contributing to national development priorities.

17. During the concept phase, comprehensive preliminary proposals are developed and supported by documentation to meet IAEA established criteria. A process of in-depth dialogue and strategic thinking among stakeholders takes place to identify concrete areas where the TC programme can contribute effectively at both the national and regional levels. It is essential that linkages to the CPF document, concrete national development programmes, and — where applicable — the United Nations Development Assistance Framework (UNDAF), are established during this phase and that partnership opportunities are identified as early as possible. Concrete partnership opportunities are further developed and consolidated in the design phase.

18. Following the pre-planning consultations and dialogue, a limited number of concepts (supported by the relevant documentation and evidence of compliance with the TC central criterion) are submitted to the IAEA Secretariat by the NLO through the PCMF IT platform in the form of a Country Programme Note (CPN). The CPN template is available on the PCMF IT platform.

19. The CPN consolidates all proposed project concepts (national and regional concepts, ranked according to priority) in a single document. It describes the preliminary in-country consultation and review process and provides an overview of the proposed programme. This consolidated document

encourages a clear focus on projects where the Secretariat can provide appropriate assistance, and that are aligned with the thematic areas of the TC programme. If necessary, and upon the request of the Member State, pre-planning missions and training on project design can be carried out to support the preparation of the CPN.

20. In line with the recommendations of paragraph 9 of the IAEA General Conference resolution on strengthening of the Agency's technical cooperation activities [GC(55)/RES/11], which welcomes the efforts of the Secretariat to rationalize the number of TC projects in order to increase programme efficiency and create synergies among projects, Member States are expected to submit fewer but larger, more comprehensive projects, of sufficient magnitude to increase the likelihood of a real and visible contribution to their national development priorities.

21. Project concepts shall bear the signatures of the relevant heads of counterpart institutions and the nuclear safety national regulatory authority. The signatures, which can be scanned and uploaded onto the PCMF IT platform, will serve as initial evidence of their commitment and agreement to the project activities and the relevant safety and security requirements for which they will be responsible if the project is approved.

22. The Secretariat will appraise project concept documents submitted by Member States against established quality criteria that are available on the PCMF IT platform. These criteria include preliminary project design quality elements (problem/gap analysis, stakeholders, preliminary objectives, preliminary budget) as well as TC requirements compliance (central criterion, role of nuclear technology, linkage to national development plans/programmes, safety infrastructure requirements).

23. The Secretariat will, in close consultation with Member States, proactively develop a limited number of interregional concepts and projects in accordance with the established criteria for this project type. These will include HR projects to support the long term education and training of young professionals in Member States, and support to fellowships to participate in established nuclear related events, such as the World Nuclear University and ICTP workshops and training courses.

24. At the end of the concept phase, a quality review takes place for quality assurance purposes, to measure project compliance with the established criteria. The results of this review are recorded in the PCMF IT platform and are used by the Secretariat for concept screening and pre-approval when moving forward the selected concepts to the design phase.

Design Phase

25. The design phase aims to further develop the selected project concepts into better and more comprehensive projects, supported by relevant documentation, that meet established criteria. This facilitates project implementation by the counterpart (CP) as well as effective IAEA support by the PMO and Technical Officer (TO). During this phase, the project implementation strategy, budgets and work plans are defined and workable indicators for project monitoring, achievement of expected results and sustainability of outcomes are determined. Potential partnerships with other entities identified during the concept phase are consolidated and documented at this stage, and, where applicable, participation of partners in the design phase is sought.

26. During the design phase, the national, regional and interregional project concepts that are moved forward to the design phase are fully developed and documented by the project design team (CP, PMO and TO), using the Logical Framework Approach to produce a comprehensive project document that complies with the TC programme's quality criteria (e.g. central criterion). Relevant templates are available on the PCMF IT platform.

27. If necessary, and upon the request of the Member State, pre-project assistance and country missions by PMOs/TOs are organized to support the preparation of the project designs. Such missions

focus on the development of complex or large scale, more comprehensive, multi-funded projects, and on projects designed to support Least Developed Countries (LDCs) or new Member States.

28. At the end of the design phase a systematic review takes place for quality assurance purposes, to measure project compliance with the established criteria and to provide relevant feedback to the project design team. The results of this review will be recorded on the PCMF IT platform and used by the Secretariat in the final approval process. Positively appraised project designs are included in the complete TC programme that is submitted to the Board of Governors for approval.

Additional requirements for regional and interregional projects

29. Regional and interregional project concepts can be submitted by any group of Member States within or outside an existing Regional/Cooperative Agreement, or by the IAEA Secretariat on the basis of the established criteria for these project types.

30. A consolidated Regional Programme Note (RPN) is prepared by the respective regional Division Director in the Department of Technical Cooperation. Each RPN includes selected regional project concepts, submitted by a group of countries through their CPNs and those under a Regional/Cooperative Agreement, that are considered as priorities following a process of dialogue and consultation with concerned Member States. Regional and interregional project concepts are prepared using the templates available on the PCMF IT platform. The four consolidated RPNs for the four regions are made available on the PCMF IT platform by the respective regional Division Directors.

31. The Secretariat coordinates the process of defining and prioritizing regional projects as necessary. If necessary, and upon request, pre-planning missions to support the preparation of regional project concepts can be carried out.

32. As part of ongoing efforts to streamline, rationalize and improve regional TC programming, Technical Cooperation among Developing Countries (TCDC) or South-South Cooperation (SSC) is given priority, in particular with regard to support to LDCs and countries with little nuclear capacity. TCDC/SSC should be the main mechanism to reduce gaps between developing countries within the regions.

33. As part of the TC programme, regional TC projects are also expected to make a clear contribution to addressing the national development priorities of participating countries, and will be screened and appraised accordingly. The TC central criterion is the main element for considering participation in a regional project, and hence, project documents should contain evidence that the requested support is a declared regional priority or in line with the national development priorities of the countries participating in a particular regional project.

34. The Department of Technical Cooperation prepares a consolidated Interregional Programme Note (IPN) which incorporates the interregional project concepts that have been positively appraised. The IPN is made available on the PCMF IT platform.

35. Regional and interregional project concepts selected for inclusion in the proposed TC programme are developed by their respective project teams into project documents, which are screened against the established quality criteria.

E. Guiding Principles for Project Planning and Design

36. IAEA TC projects are designed to fill a well identified national gap in expertise, capabilities or infrastructure to address national development issues and contribute to the achievement of socio-economic goals. IAEA technical cooperation is need-driven and is provided on the basic principle that the recipient Member State needs some expertise (scientific, legal or managerial) or complementary

physical facilities that require the assistance of the IAEA to ensure optimal utilization of nuclear techniques.

37. The IAEA uses the Logical Framework Approach (LFA) as a standard tool for designing TC projects. Following results-based management principles, projects should be designed to enable the clear definition of responsibilities throughout project implementation. Production of outputs and achievement and sustainability of outcome, as well as monitoring and reporting, are the responsibility of Member States as project owners.

38. Standardized reporting through periodic progress reports and a final report enables the monitoring and final assessment of project performance against indicators. It is essential that baseline data be given for these indicators, so that progress achieved throughout the project can be compared with the situation at the outset of the project.

39. Projects should be as comprehensive as possible. Member States are encouraged to focus on a limited number of projects in one or two of their priority development areas, with strengthened outcome and increased likelihood of long-term impact.

40. Given the finite resources of the TCF, projects are expected to be co-funded in full or in part by the Member State and/or a development partner/donor. The potential source, nature and extent of funding should be indicated in the project concept and the project document. Government cost-sharing is expected for large procurement items.

41. Member States are responsible for the selection of project counterparts and institutions, and for ensuring that they are knowledgeable, committed, capable, active, dynamic and able to coordinate project development and implementation. It is expected that non-nuclear inputs and components that may be required for the integrity of the project will be delivered by the Government and/or through partnerships.

42. The Secretariat will ensure that only projects where the IAEA has core competency and can provide appropriate expertise, and that align with the thematic areas of the TC programme, are included in the 2014–2015 TC programme.

43. Established quality criteria for the TC programme are applied at both the concept and project design levels. Systematic quality reviews will be conducted at the end of the concept phase and at the end of the design phase to assure compliance with the IAEA quality criteria and requirements.

Partnerships and complementarities

44. The process of planning the 2014–2015 TC programme provides an opportunity for incorporating lessons learned from independent reviews, evaluations and external audit reports, as well as from stakeholders' feedback on continuous improvement.

45. Member States should pay due consideration to previous assistance provided by the IAEA in order to ensure continuity and linkage. They should also take into consideration assistance provided by other international organizations and bilateral donors, as well as through other programming processes, such as the UN Common Country Assessment/UN Development Assistance Framework (CCA/UNDAF), and identify programmatic links to these potentially relevant programmes. The respective PMOs are in a position to support Member States with advice on strategic partners that could be involved in a project.

46. Partnerships should be established between Member States at a bilateral level, or with key regional or international organizations under national and/or regional projects, particularly in sectors such as food, health and energy where the IAEA does not have a lead role, in order to improve the likelihood for achieving tangible results.

Obligations of Member States

47. The Government acknowledges that assistance provided by the IAEA is subject to the relevant conditions required by the Statute of the IAEA and by decisions of its Board of Governors, in particular as set forth in IAEA document [INFCIRC/267](#), and agrees to apply relevant Agreements and health and safety measures.

48. Member States should be aware that when proposed projects involve the supply of radiation sources or radioactive materials, the Secretariat will take into account the adequacy of health and safety standards, as well as the country's status regarding its radiation safety infrastructure and the implementation of the International Basic Safety Standards for Protection against Ionizing Radiation and for the Safety of Radiation Sources.

49. Member States are reminded that cooperation with the IAEA is based on the Revised Supplementary Agreement Concerning the Provision of Technical Assistance by the IAEA (RSA) concluded between the parties. The Board of Governors requires that all Member States receiving technical assistance from the IAEA have signed an RSA.

50. In accordance with the terms of the RSA, Member States are reminded that they 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; its insurance; and its installation and maintenance.

51. Member States must pay national participation costs (NPCs) equivalent to 5% of the estimated core funding of the approved new projects, of which at least 2.5% have to be paid before commencement of the programme. The project start date should take into account the expected date of NPC payment.

F. Timeframe for the Preparation of the 2014–2015 TC Programme

| Activity | Responsible | Deadline |
|--|--|---|
| Issuance of Guidelines (Note Verbale) | Secretariat | January 2012 |
| Country pre-project missions by PMOs/TOs in support of CPN and RPN/IPN preparation (as required) | Secretariat | May 2012 |
| Submission of CPN and project concepts (national and regional) | Member States Regional/Cooperative Agreements | 31 May 2012 |
| Quality review of project concepts | Secretariat | 30 June 2012 |
| Feedback on CPN Screening of and feedback on each concept | Secretariat | 15 July 2012 |
| Preparation of RPN and consolidation of regional concepts | Secretariat | 30 August 2012 |
| Preparation of IPN and interregional concepts | Secretariat | 30 August 2012 |
| LFA training in support of full project design and documentation (as required) | Secretariat | February 2012– March 2013 |
| Draft national and regional project document uploading to the PCMF IT platform | Member States | 15 December 2012 |
| Feedback on each draft project document to Member States | Secretariat | 31 January 2013 |
| Final national and regional project document uploading to the PCMF IT platform | Member States | 28 March 2013 |
| Interregional project document uploading to the PCMF IT platform | Secretariat | 28 March 2013 |
| Quality review of project documents (final) | Secretariat | 30 April 2013 |
| Project approval and finalization of the proposed TC programme | Secretariat | April–June 2013 |
| Issue of TC programme documents to Member States | Secretariat | October 2013 (5 weeks prior to the TACC) |
| Review by TACC | Member States | November 2013 |
| Approval by the Board of Governors | Member States | November 2013 |