



International Atomic Energy Agency

General Conference

Distr.
GENERAL
GC(IV)/113
10 August 1960
Original: ENGLISH

Fourth regular session

Item 14 of the provisional agenda
(GC(IV)/109)

RULES TO GOVERN THE PROVISION OF TECHNICAL ASSISTANCE BY THE AGENCY

Report by the Board of Governors

1. The General Conference will recall that it has requested the Board of Governors to establish rules for the provision of technical assistance by the Agency in 1961 and subsequent years and to communicate them to it at its fourth regular session. [1]
2. The Board considered this question at its meetings in January and March 1960, and hereby communicates to the General Conference the principles it has established to govern the provision of technical assistance by the Agency, together with a set of general operating rules for the conduct of the Agency's technical assistance activities. The Board has given due consideration to the various factors listed in the General Conference's resolution and, mindful of the special character of the Agency's operations and the views of the Governments requesting technical assistance, has also taken account of the need for harmonizing these rules with the practices of the United Nations Expanded Programme of Technical Assistance (EPTA) and of other international organizations.
3. The principles and operating rules are intended to govern the provision of technical assistance in the sense in which the term is used in the United Nations, although there the term also covers the provision of fellowships which, in the Agency, are subject to different procedures and special rules which the Board has approved. [2] Furthermore, the principles and operating rules do not necessarily apply to projects for the supply of materials, services, equipment and facilities on a reimbursable basis for which special procedures are provided in the Statute. [3]
4. The Board wishes to suggest that the General Conference may consider it desirable to adopt a resolution on the following lines, with the object of bringing the guiding principles and operating rules to the notice of Governments.

[1] GC(III)/RES/46, paragraphs 2(a) and (b).

[2] For detailed information on the fellowship programme, see Nuclear Science Fellowships - 1959 (GEN/PUB.No. 5).

[3] Article XI.

GUIDING PRINCIPLES AND GENERAL OPERATING RULES TO GOVERN
THE PROVISION OF TECHNICAL ASSISTANCE BY THE AGENCY

The General Conference,

Recalling its request to the Board of Governors for the establishment of rules for the provision of technical assistance by the Agency in 1961 and subsequent years, *

Takes note of the guiding principles and general operating rules to govern the provision of technical assistance by the Agency which the Board of Governors has established in compliance with its request and which are annexed hereto for the information of Governments.

* GC(III)/RES/46, paragraph 2(a).

A N N E X

GUIDING PRINCIPLES AND GENERAL OPERATING RULES TO GOVERN
THE PROVISION OF TECHNICAL ASSISTANCE BY THE AGENCY

I. GUIDING PRINCIPLES

A. General

1. The Agency shall apply to its technical assistance activities the guiding principles and criteria set forth in Annex I to resolution 222 A (IX) of the Economic and Social Council of the United Nations (ECOSOC) of 15 August 1949 which were approved by the General Assembly in resolution 304 (IV) of 16 November 1949, to the extent that they are in accordance with its Statute.

B. Eligibility of States to receive assistance

2. All Member States of the Agency are eligible for technical assistance provided from the Agency's own resources. Both Member and non-member States are eligible for assistance from the Agency under the United Nations Expanded Programme of Technical Assistance (EPTA), provided they meet the criteria of that programme. [1]

C. Agreements for the provision of assistance

3. Before technical assistance is provided, the Agency and the Government concerned shall agree on the type of assistance and the terms under which it is to be given. An agreement for this purpose on the lines of the Revised Standard Agreement[2] of the Technical Assistance Board (TAB) shall be concluded by an exchange of letters between the Agency and the Government; it shall set out the terms and conditions under which each specific project shall be implemented.

[1] The criteria are that States should be economically under-developed and Members of the United Nations or of one of the specialized agencies.

[2] See United Nations document TAB/1/Rev.2, Supplement, part II.

D. Co-operation and co-ordination with the United Nations and the specialized agencies

4. The Agency, recognizing the

"... need for harmonizing the administrative and financial management of technical assistance under the Expanded Programme of Technical Assistance and under the Agency's regular programme", [3]

shall endeavour, in accordance with the relevant provisions of its relationship agreements with the United Nations[4] and with the specialized agencies, to achieve effective co-ordination of its technical assistance activities with those of the United Nations and the specialized agencies within the framework of the existing machinery for co-ordination and through inter-secretariat consultations.

E. Equipment and supplies

5. In providing assistance from its own resources the Agency shall follow TAB's practice of providing equipment and supplies under EPTA as an integral part of a technical assistance project, and shall be guided, so far as possible, by the criteria developed under EPTA for the appropriate level of the equipment component of technical assistance, bearing in mind the special character of the Agency's operations and the need for a corresponding degree of flexibility. [5]

II. GENERAL OPERATING RULES

A. Elaboration of the programme[6]

(a) Assistance to be provided from the Agency's own resources

6. Governments shall submit outlines of their requests for technical assistance by 31 January and the detailed requests themselves by 30 June of the year preceding that in which the assistance is to be provided.

7. Each year the Board of Governors shall consider and approve the technical assistance to be provided from the Agency's own resources in the following year in the light of its assessment of the magnitude of those resources.

[3] GC(III)/RES/46, paragraph 2(a)(ii).

[4] INFCIRC/11, part I. A.

[5] Under EPTA the upper limit for expenditure on equipment and supplies is 25 per cent of the total funds to be spent on all projects of a participating organization within a given country, or US \$15 000, whichever is greater. An element of flexibility has been introduced into this proportion by requests made by ECOSOC to participating organizations to give special attention to providing adequate amounts of equipment as integral parts of technical assistance projects. As a consequence TAB, when considering requests involving equipment and supplies, will take into account the total estimated resources available; and in the light of the pattern of the requests received, will endeavour to ensure an appropriate balance between the provision of experts and fellowships on the one hand and the provision of equipment and supplies (in so far as they form an integral part of a technical assistance project) on the other.

[6] An outline of the time-table which will be followed in elaborating the programme is given in the Appendix.

(b) Assistance under EPTA

8. Governments shall transmit information on their programme requests in accordance with the procedure and time-table laid down for EPTA by TAB and approved by ECOSOC.

9. Under the policy guidance of the Board, the Director General shall evaluate the technical soundness of requests under EPTA, offer technical advice to Governments as required and transmit information supplied by them, as well as their requests, to TAB in accordance with TAB's time-table. The Director General shall periodically report to the Board on the extent of the Agency's participation in EPTA and on projects of interest to the Agency so financed.

B. Programme changes

(a) Assistance to be provided from the Agency's own resources

10. Any extraordinary request by a Government either for a new project of an urgent nature or for a modification of an approved project which is received after the Board has approved the comprehensive annual programme shall be submitted to the Board for consideration and approval before it is implemented.

11. Minor adjustments to projects already approved[7] may be authorized by the Director General; they shall be reported subsequently to the Board.

12. To finance extraordinary requests, a fixed percentage of the available technical assistance funds shall be set aside by the Board each year as a reserve. The percentage will be subject to review in the light of operating experience.

(b) Assistance under EPTA

13. Contingency requests. Under the policy guidance of the Board and in accordance with EPTA procedures and TAB rules the Director General shall be authorized to deal with Government requests for the allocation of contingency funds to finance unforeseen projects of an urgent nature. The Board shall be kept informed of such projects.

14. Changes in approved projects. EPTA regulations grant authority to the participating organizations to make adjustments in approved projects within certain limits. This authority shall be exercised by the Director General, after obtaining the approval of the Executive Chairman of TAB when that is required by EPTA regulations.

C. Budgetary and financial procedures.

(a) Assistance to be financed by the Agency

15. Projects lasting up to two years. Funds to cover the total estimated cost of a project involving the provision of experts or equipment shall be allotted in the year in which the implementation of the project begins. Funds to cover the total estimated cost of a fellowship shall be allotted in the year in which the award is made.

16. Projects extending over more than two years. The budgeting for such a project shall be adapted to the requirements of the case. When approving projects extending over several years, the Board shall act on the understanding that the financial implications of such projects will be subject to review in each ensuing year with due regard to the need for priority for such projects.

[7] Such as the supply of small items of equipment, a slight extension of the duration of an expert's assignment or a minor change in the description of an expert's functions.

(b) Assistance under EPTA

17. Approval of a project covers only the funds required for the budget year under consideration; however, in the case of fellowships, provided the funds are obligated in that budget year, they may be disbursed over the two following years. [8]

D. Annual review of projects extending from one year into another

18. Projects lasting up to two years. During its annual consideration of the technical assistance to be provided from the Agency's own resources, the Board shall review the current year's projects that will extend into the following year with due regard to the need for priorities. The object of this review shall be:

- (a) To ensure that the project will continue to be technically sound;
- (b) To ensure that the Government's support for it will remain adequate; and
- (c) To determine, if necessary, the budgetary implications of proposed changes in it.

19. Projects extending over more than two years. Such projects shall be subject to annual review as indicated in paragraph 16 above.

E. General annual review of technical assistance activities

20. The Board shall review annually on the basis of a report submitted by the Director General all technical assistance furnished by the Agency, regardless of whether it has been provided from the Agency's own resources or from EPTA funds.

F. Planning time-table

21. The time-table set forth in the Appendix hereto shall serve as guide for the planning of technical assistance activities.

[8] In order to achieve greater operational flexibility ECOSOC approved in 1959, on an experimental basis for the two years 1961-1962, the system of two-year programming (ECOSOC resolution 735 (XXVIII) of 30 July 1959).

A P P E N D I X

THE ELABORATION OF THE AGENCY'S TECHNICAL ASSISTANCE PROGRAMME

Time-table of action to be taken in the years A, B, C and D

YEAR	MONTH	ASSISTANCE PROVIDED FROM THE AGENCY'S OWN RESOURCES	ASSISTANCE UNDER THE EXPANDED PROGRAMME OF TECHNICAL ASSISTANCE
A	October/ November	Member States invited to submit outlines of requests for assistance in year C by 31 January of the year B.	Resident Representatives of TAB ^{b/} asked to request Governments to furnish by 31 January of year B the information required for establishing IAEA ^{c/} country sub-totals for the two year period C-D.
B	31 January	Closing date for the receipt of outlines of requests for assistance in the year C.	Closing date for the receipt of the information required for establishing IAEA country sub-totals for the two year period C-D.
	February	Consolidation by the Secretariat of the outlines of requests for assistance in the year C.	Preparation by the Secretariat of proposed IAEA sub-totals for the years C-D, and communication of this information to TAB.
	March	Member States invited to submit requests in final form for assistance in year C by 30 June of the year B.	Consideration and approval by TAB of country planning targets which will include IAEA sub-totals, for the year C-D.
	April	General review by the Board ^{a/} of: (a) All the Agency's technical assistance activities in the year A, on the basis of a progress report by the Director General; and (b) A consolidated outline of Member States' requests for assistance in the year C.	Communication by TAB to Governments of their respective country targets for the years C-D. Communication by the Secretariat to the Board of IAEA sub-totals for the years C-D.
	April/end of June		Negotiations between the Participating Organizations and each Government on its requests to them for assistance in the years C-D.
	30 June	Closing date for the receipt of requests in final form for assistance in the year C.	
	Mid-July		Communication by each Government to TAB and the Participating Organizations of its programme request for the years C-D.
	July/August	Consolidation by the Secretariat of the programme for the year C.	Consolidation by the Secretariat of the IAEA country programme requests and preparation of the programme submissions for the years C-D.
	August		Transmission of the IAEA programme submissions for the years C-D to TAB and the Board.
	Mid-August/ mid-September		Consolidation by the TAB Secretariat of the programme submissions of all the Participating Organizations for the years C-D.

YEAR	MONTH	ASSISTANCE PROVIDED FROM THE AGENCY'S OWN RESOURCES	ASSISTANCE UNDER THE EXPANDED PROGRAMME OF TECHNICAL ASSISTANCE
	September		Communication by the TAB Secretariat to the Participating Organizations of the draft consolidated programme for the years C-D.
	November/ December	Upon a report from its Technical Assistance Committee, the Board: (a) To review projects proposed for continuation from the year B into the year C; and (b) To approve the consolidated programme for the year C.	
	October/ November	(Beginning of a new cycle)	The programme for the years C-D reviewed by TAB and subsequently submitted to TAC. ^{d/}
	November		Review and approval by TAC of the programme for the years C-D, and allocation of funds to the Participating Organizations for the year C.

a/ "Board" means the Board of Governors.

b/ "TAB" means the United Nations Technical Assistance Board.

c/ "IAEA" means the International Atomic Energy Agency.

d/ "TAC" means the Technical Assistance Committee of the United Nations Economic and Social Council.

