

## Programme W. OVERSIGHT AND EVALUATION

**Rationale:** Member States expect Agency managers to handle resources responsibly, effectively and efficiently and ensure control mechanisms are in place to meet these expectations. Agency internal oversight units, which consist of internal audit, evaluation and investigation functions, provide an independent, objective and professional review and evaluation and are part of the Agency's overall control and programme management structure. Internal oversight and evaluation functions can also be viewed as change agents committed in partnership with Agency managers to promote continuous improvement of programme performance (including the performance of the technical co-operation programme), responsible administration of human, financial and information resources, and the building of a culture of accountability and transparency. Internal oversight aims to be proactive and preventive instead of reactive and detective. Findings and recommendations are designed to enhance the Agency's ability to effectively and efficiently carry out its mandate.

**Objective:** To provide Member States with assurances about the achievement of results and judicious utilization of resources through objective and independent performance assessment, programme evaluations and appraisal of the effectiveness of risk management and control.

Outcomes
<ul style="list-style-type: none"> <li>— Implementation of recommendations of audits and reviews leading to effective, efficient and economic use of resources.</li> <li>— More efficient and effective delivery of Agency programmes (regular budget and technical co-operation) based on performance assessment and other evaluation recommendations.</li> </ul>
Performance Indicators
<ul style="list-style-type: none"> <li>— Percentage of recommendations from audits, investigations and evaluations implemented.</li> <li>— Cost savings achieved through audits and evaluations conducted.</li> </ul>

### Subprogramme W.1. Internal Audit and Investigation

**Problems and issues to be addressed by the Agency:** The exercise of internal audit and investigation functions are essential in order to assist the Director General in implementing Financial Regulation 10.01 and fulfilling his internal oversight responsibilities.

**Objective:** To ensure that managers have established clear policies and procedures, and adequate levels of internal control to and that the various operations and activities of the Agency are in compliance with established regulations, rules and policies, and resources are managed economically and efficiently.

To add value to the Agency's operations by performing an independent, objective and professional appraisal of the effectiveness of Agency risk management and control.

To investigate reported cases where the Agency's regulations, rules and pertinent administrative instructions have apparently been violated or where irregular activities have come to light.

To enhance the related internal control and monitoring systems in order to minimize risk and prevent the recurrence of such violations and irregular activities, when necessary.

Outcomes
<ul style="list-style-type: none"> <li>— Implementation of recommendations leading to efficient and economic use of resources and non-recurrence of violations and irregular activities.</li> <li>— Adequate and cost efficient internal control system exercised by management in carrying out programme activities.</li> <li>— Stated objective of programmes achieved in a manner consistent with policies, procedures, plans and budgets.</li> <li>— Establishment of a culture of accountability and cost-conscious resource utilization within the Agency at all levels.</li> </ul>
Performance Indicators
<ul style="list-style-type: none"> <li>— Reduction in or elimination of unnecessary or restrictive administrative and financial controls on Agency management processes or systems in order to achieve cost savings and efficiency.</li> <li>— Quality and implementation rate of recommendations regarding improvement in delivery of programme results, and increased effectiveness, efficiency and transparency of the Agency's management process.</li> <li>— Reduction in the number of fraudulent and mismanaged cases in the Agency.</li> <li>— Recovery of funds due to identified fraud, mismanagement and/or non-compliance with Agency rules and procedures.</li> </ul>

**Programme changes and trends:** With the new programming and management approach, the work of Internal Audit will concentrate more on programme, value for money, risk based, system auditing rather than the traditional compliance audit that would be carried out; the exception report will be used as a mechanism to evaluate the compliance risk.

Investigations into violations and irregularities will be undertaken expeditiously, with due regard for completeness. Confidentiality shall be maintained during investigations, and all evidence collected in the course of an investigation shall be properly secured. Investigations shall respect the rights of individual staff members.

**Resource changes and trends:** The resources required for this subprogramme for 2002 and 2003 show a minor reduction of \$1 000 per year compared to 2001 but some internal shifts are envisaged. Given the rapidly changing nature of information technology (IT) methods and operating environments, electronic data processing will be carried out through external contracts.

**Financial resources**

	2001	2002	2003
Reg. budg.	843 000	842 000	842 000

**Recurrent Project W.1.01: Audits, reviews and investigation**

**Main outputs:** Twenty four audit and investigation reports will be prepared, containing all findings and necessary recommendations.

**Ranking:** 1

**Recurrent Project W.1.02: Training on controls environment**

**Main outputs:** Eight audit staff will be trained in current audit methodology and, at the same time, ten managers selected from different Departments will be trained on risk assessment.

**Ranking:** 2

**Recurrent Project W.1.03: Participation in Agency systems development and management improvement**

**Main outputs:** Inputs in form of studies/communication will be provided to the management improvement process, including systems development.

**Ranking:** 3

**Recurrent Project W.1.04: Develop compliance test reports**

**Main outputs:** Four compliance test reports will be prepared.

**Ranking:** 4

Subprogramme W.2. Programme Performance Assessment and Evaluation

**Problems and issues to be addressed by the Agency:**

The newly introduced results based approach to programme development requires that programmes be systematically assessed and evaluated in order to demonstrate greater accountability and provide assurances of programme responsiveness, results achievement and improved management. As part of the Agency's programme management, the Programme Performance Assessment System (PPAS) will provide the tools to validate whether programmes are functioning as intended, over time, in achieving their objectives.

**Objective:** To provide assurances to Member States on the performance of the programmes and achievement of results through the assessment of programme outcomes using performance measures and in-depth evaluations of specific areas.

Outcomes
— Use of the performance indicators for the assessment of programme results.
— Programme adjustments resulting from evaluation findings and recommendations.
Performance Indicators
— Measurement of actual outcomes achieved during the biennium.
— The percentage of evaluation recommendations implemented.

**Programme changes and trends:** Overall, a central strategy for developing and introducing, over time, a results oriented monitoring and evaluation system becomes the major point of change. More specifically, there is a need to focus on the assessment and reporting of outcomes, rather than just outputs or activities, as the culmination of the second phase of activities comprising the programme management process. This will require establishment of a collection, storage and reporting process in the intervening period, focusing on assessing the achievement of outcomes and corresponding changes in Member States.

As part of the new approach for programme development, the PPAS evaluation plans are being developed in the context of the preparation of the programme and budget cycle so that they are an integral part of programme formulation. During the conduct of those evaluations, increased emphasis will be given to all four of the evaluation criteria, namely efficiency, effectiveness, impact and relevance.

**Resource changes and trends:** The resources estimated for this subprogramme for 2002 and 2003 show no change from 2001, although the assistance of a Professional staff member for the assessment of the Agency's programme performance against the newly established performance indicators will be needed. This additional cost has been included as a net unfunded CAURB, with possible funding through redeployment within Major Programme 7.

#### Financial resources

	2001	2002	2003
Reg. budg.	202 000	202 000	202 000

#### **Recurrent Project W.2.01: Programme performance assessment**

**Main outputs:** The design of a process for collecting information, including baseline data, for the assessment of programme performance against established performance indicators will be completed. Secretariat staff will be trained to collect, analyse and use performance indicators and performance data. A preliminary report on programme performance results for 2001 will be issued.

*Ranking:* 1

#### **Recurrent Project W.2.02: Programme evaluation**

**Main outputs:** Evaluation reports, follow-up actions plans and evaluation summaries will be finalized in 2003 for programme evaluations conducted in the previous year, namely; Nuclear Power programme, Nuclear Instrumentation, Safety Standards Programmatic Activities, Agency Staff Development and Training, and Participatory Evaluation of Agency's Programmatic Activities in Brazil. The terms of reference of the evaluations to be conducted in 2003 will be prepared for the following programme evaluations: Dosimetry, Safeguards Major Programme Review, Safety Services, Conference Services, Language and Publications, Legal Services, and Decontamination, Decommissioning and Disposal Activities.

*Ranking:* 2

### Subprogramme W.3. Technical Co-operation Programme Evaluation

#### **Problems and issues to be addressed by the Agency:**

In order to ensure the relevance, transparency, effectiveness and efficiency of the management of the technical co-operation programme in contributing tangible social and economic benefits to Member States, careful and consistent evaluation of both processes and results is required. Technical Co-operation Programme Evaluation is one of the Agency's internal oversight units, and it seeks to provide an independent, objective and professional review of the Agency's technical co-operation activities.

Key to Technical Co-operation Programme Evaluation activities are the participation of those being evaluated, and effective communication of the results to all those involved in the formulation, funding and implementation of the programme.

**Objective:** To contribute to enhancing the quality (efficiency, effectiveness, impact, relevance and sustainability) of the technical co-operation programme by assessing the performance of technical co-operation projects, programmes and processes.

Outcomes
<ul style="list-style-type: none"> <li>— Lessons learned on successful procedures, technologies or types of projects within the technical co-operation programme, and on obstacles or bottlenecks which may be affecting the implementation of technical co-operation projects.</li> <li>— Evaluation recommendations implemented, leading to a higher quality technical co-operation programme.</li> </ul>
Performance Indicator
<ul style="list-style-type: none"> <li>— Availability of action plans against the recommendations included in the evaluation reports.</li> </ul>

**Programme changes and trends:** As more attention is given to results based programming, there is a greater need not only for better performance indicators, but also for intensified monitoring and evaluation to determine whether expected results have been, or will be, achieved.

**Resource changes and trends:** The proposed resource level for this subprogramme represents minor reductions of \$2 000 in 2002 and \$1 000 in 2003 when compared with the adjusted budget for 2001.

**Financial resources**

	2001	2002	2003
Reg. budg.	735 000	733 000	734 000

***Recurrent Project W.3.01: Thematic, country and project evaluations***

*Main outputs:* Two/three completed evaluation reports will be prepared and issued.

*Ranking:* 1

***Recurrent Project W.3.02: Assistance to Member States and training of staff in monitoring and evaluation***

*Main outputs:* Personnel from one or more Member States will be trained in conducting monitoring and participatory evaluations.

*Ranking:* 2

***Recurrent Project W.3.03: Technical co-operation programme management process evaluations***

*Main outputs:* An evaluation report on at least one technical co-operation process will be prepared.

*Ranking:* 3