

Programme W. OVERSIGHT SERVICES AND PERFORMANCE ASSESSMENT

Rationale: The recently introduced results based approach to programme management gives the Agency's programme managers increased responsibility and accountability for achieving the programme results within the context of minimizing input oriented control systems and administrative procedures. Thus, it is incumbent on the Agency to provide an oversight service that ensures that proper self-assessment and risk management mechanisms are in place even while it performs a quality assurance function for the programme as a whole. In this sense, the oversight services are part of the Agency's effort to institutionalize a culture of continuous improvement at all management levels to facilitate change management, accountability, quality control and cost effectiveness. This approach responds to the concerns of Member States to ensure that the resources provided are used responsibly, effectively and efficiently.

Improvements in programme design and formulation can be achieved through lessons learned from the implementation of programmes of previous cycles, performance assessment and evaluation. Systematic appraisal of results achieved by the programmes is essential for full implementation of results based management.

Objective: To provide the Director General, programme managers and Member States with assurances on the achievement of results and judicious utilization of resources through objective and independent programme evaluations, internal audits, management consultancy services, programme implementation monitoring and performance assessment. To strengthen the Agency's ability to change through improved management practices, programme performance and enhanced accountability.

Outcomes
<ul style="list-style-type: none"> — Implementation of recommendations of evaluations, audits and reviews leading to an effective, efficient and economical deployment of resources. — More efficient and effective delivery of Agency programmes (regular, extrabudgetary and technical co-operation) based on evaluations, performance assessments, audits, reviews and services.
Performance Indicators
<ul style="list-style-type: none"> — Percentage of recommendations implemented from programme evaluation, internal audit and investigation, and management services.

Performance Indicators (cont'd)
<ul style="list-style-type: none"> — Cost savings achieved.

Specific criteria for prioritization:

Highest priority was given to:

- Audit and investigations;
- Thematic and TC programme evaluation;
- Programme performance assessment.

Secondary priority was given to other activities in support of evaluation and performance assessment such as training in risk assessment, self evaluation and implementation monitoring.

Subprogramme W.1. Internal Audit and Investigations

Rationale: The exercise of internal audit and investigation functions is essential in order to assist the Director General in implementing Financial Regulation 10.01 and fulfilling internal oversight responsibilities. The 2004–2005 biennium will be the second biennium where the Agency has been using results based management. Under this approach, the focus on the controls and management of risk are shifting from traditional input oriented controls towards outputs and results. Therefore, it is important for Internal Audit to assist managers in evaluating the adequacy of internal controls and risk assessment.

Objective: To ensure that the activities and operation of the Agency are carried out in compliance with established regulations, rules and policies, and that allocated resources are managed economically, effectively and efficiently through the provision of an independent, objective and professional appraisal. To enhance the capacity of managers for risk management through training.

Outcomes
<ul style="list-style-type: none"> — Compliance with established regulations, rules, policies and procedures. — Implementation of recommendations leading to an efficient and economical use of resources and non-recurrence of violations and irregular activities. — Adequate and cost efficient internal control system exercised by management in carrying out Agency programme activities. — Establishment of a culture of risk management, accountability and cost conscious resource utilization within the Agency at all levels.

Performance Indicators
<ul style="list-style-type: none"> — Quality and implementation rate of recommendations regarding the improvement in the delivery of programme results and increased effectiveness, efficiency and transparency of the Agency's management process. — Reduction in or elimination of unnecessary or redundant administrative and financial controls on Agency management processes and systems.

Programme changes and trends: In keeping with the Agency's Medium Term Strategy goal of attaining "excellence of management", increased emphasis will be given to facilitating the enhancement of managers' capability to conduct their own risk assessment/management. The internal audit and investigation functions will support and assist programme managers in reviewing their risk management systems and evaluating internal controls established for their operations. Given the rapidly changing nature of information technology methods and their operating environments, the audit of these areas will be carried out by external consultants under contracts.

Resource changes and trends: A decrease of \$49 000 in the regular budget in 2004 and in 2005 compared with 2003 adjusted budget is foreseen. This results from a decrease in staff costs due to new recruitments at lower salary levels in Internal Audit. This saving has been reallocated to Subprogramme W.2 (Programme Evaluation), where increases in resources are required.

Financial resources (2003 prices)

W.1.	2003	2004	2005
Reg. budg.	1 094 000	1 045 000	1 045 000

Recurrent Project W.1.01: Audit and investigation

Main outputs: In the biennium twenty audit and investigation reports containing all findings and recommendations will be prepared. A systematic review will be conducted of the implementation of recommendations from audits and investigations. The rate of response and details of non-implementation will be reported to the Director General.

Ranking: 1 ex aequo

Recurrent Project W.1.02: Training on risk management

Main outputs: Ten managers selected from different major programmes will be trained in risk management and techniques on how to identify, manage, mitigate and monitor risks.

Ranking: 7

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

Main outputs: Input in the form of studies and recommendations on controls will be provided to the management improvement process, including system development.

Ranking: 5

Subprogramme W.2. Programme Evaluation

Rationale: As one of the three key components of the Agency's results based programme management process, programme evaluation provides an objective validation of actual programme results. Programme evaluations examine Agency programmes to validate whether they are achieving their objectives and meeting Member State needs and priorities over time. The results of the evaluations provide feedback to the other two components of the process, namely programme planning and programme implementation.

Objective: To provide the Director General, senior management and Member States with increased assurances of accountability for the delivery of programme results through in-depth and systematic evaluation of specific areas in terms of their relevance, effectiveness, efficiency and impact.

Outcomes
<ul style="list-style-type: none"> — Programme adjustments resulting from programme evaluation. — Higher quality of programme formulation and implementation.
Performance Indicators
<ul style="list-style-type: none"> — Percentage of evaluation recommendations implemented.

Programme changes and trends: In the context of a results oriented management process, programme evaluation will concentrate more on the consequences of the Agency's programmes by focusing on the results (achievement of objectives and outcomes) and less on programme implementation. This will be achieved by building on the performance information collected as part of the monitoring and assessment activities undertaken during programme implementation. This process will ascertain programme outcomes and impact as well as the factors affecting performance, i.e. why and how the overall results were or were not achieved. In doing so, it will examine the broader consequences

and provide lessons learned that can help adjust programmes and policies to improve performance. Also, in keeping with the Agency's Medium Term Strategy goal of attaining "excellence of management", an increased emphasis will be given to facilitating the enhancement of Agency managers' capability to conduct their own self-evaluations as part of their own on-going management functions. Attention will also be given to increasing the capability of interested Member States in adopting similar practices in order to improve their own Agency related programme activities.

Resource changes and trends: An increase of \$49 000 is required in 2004 compared with the 2003 adjusted budget. No further change in resources is envisaged in 2005. An increase in the level of activity and corresponding resources is necessary owing to an increased emphasis on self-evaluation activities to be undertaken by Member State counterparts.

Financial resources (2003 prices)

W.2.	2003	2004	2005
Reg. budg.	635 000	684 000	684 000

Recurrent Project W.2.01: Evaluation of technical co-operation activities

Main outputs: Evaluation reports, follow-up action plans and evaluation summaries will be finalized each year and presented to the Board of Governors through the Technical Assistance and Co-operation Committee. The initial plan is to conduct evaluations of the following areas, subject to consultation with the Technical Assistance and Co-operation Committee:

- Tissue banking projects
- ARCAL
- Country specific evaluation of Agency-wide activities
- Management of the technical co-operation programme
- Technical co-operation projects as part of areas to be evaluated under Project W.2.02.

Ranking: 1 ex aequo

Recurrent Project W.2.02: Thematic evaluation

Main outputs: Evaluation reports, follow-up action plans and evaluation summaries will be produced. Results of in-depth evaluations will be reported to the Board of Governors through the Programme and Budget Committee. Evaluation of the following areas will be conducted during the biennium and financed by the parties concerned:

- Nuclear desalination activities
- Water resources programme
- Member States Support Programmes to safeguards
- Human health programme
- Environmental programme
- Nuclear safety and protection against radiation
- Management of cross-cutting issues.

Ranking: 1 ex aequo

Recurrent Project W.2.03: Training of Member State counterparts and staff in conducting self-evaluation

Main outputs: Counterparts in Member States and Agency managers will be trained and supported using the self-evaluation tools developed.

Ranking: 6

Subprogramme W.3. Programme Implementation Monitoring and Performance Assessment

Rationale: The continuous monitoring of the implementation of programme activities is an essential part of programme management. It is the only way to ensure the achievement of expected results. It allows programme managers to take the necessary corrective measures in a timely manner when normal conditions of programme implementation are perturbed by either unforeseen external or internal factors.

An integral part of the results based approach is the assessment of achievement of programme outcomes at the end of the biennium using the performance indicators designed during the programme formulation stage. Performance assessment is not only required by Member State governments to ensure that the Agency's activities are having the desired effects and impact on target groups and constituencies with an efficient use of resources. It is also a tool that makes it possible to improve future programmes through the analysis of programme results and the lessons that can be learned in terms of programme formulation and programme development. The Mid-term review of progress towards outcomes is also important for guiding the decisions of programme managers in making adjustments to the programme.

Objective: To provide assurance to senior management of the Agency and Member States on the timely, efficient and effective achievement of results and judicious utilization of resources through systematic programme implementation monitoring and performance assessment.

Outcome
— Lessons learned and findings from programme implementation monitoring and performance assessment used in programme adjustments and design of programmes for future biennia.
Performance Indicators
— Adjustments made to the on-going programmes based on implementation monitoring.
— Number of substantive changes in the design of the programme of future biennia based on the results of performance assessment.

Programme changes and trends: Computerized programme implementation monitoring and performance assessment systems will be in place by 2003. Use of these systems will be made in 2004–2005 for the production of the necessary reports and the data will help programme managers take the appropriate decisions concerning adjustments to their programme. Work will continue with programme managers on the best ways to collect data for the assessment of outcome achievement, particularly the baseline data necessary for purposes of comparison of performance during different biennia.

Resource changes and trends: The resources budgeted for this subprogramme for 2004 and for 2005 are at the same level as for 2003 and, indeed, show no change since 2001. There is, however, an essential funding requirement for programme implementation monitoring and programme performance assessment in the framework of the result based approach. The additional funding requirement has been included as unfunded CAURBs.

Financial resources (2003 prices)

W.3.	2003	2004	2005
Reg. budg.	42 000	42 000	42 000

Recurrent Project W.3.01: Programme implementation monitoring

Main output: Mid-term progress in the implementation of Agency programmes will be analysed for consideration by the Programme and Budget Committee. Quarterly progress reports will also be issued for consideration by senior management and programme managers.

Unfunded activities/means of implementation: Software and training for implementing and enhancing the monitoring system.

Ranking: 8

Recurrent Project W.3.02: Programme performance assessment

Main outputs: The performance report for the 2002–2003 programme and budget will be prepared and issued in 2004 for consideration by the Programme and Budget Committee and the Board of Governors thereafter. Refined methodologies for data collection, identification of baseline data, analyses and assessment will be developed. Programme managers will be trained in the use of the refined methodologies.

Unfunded activities/means of implementation: Training workshops for staff and Member States; review of the data collection system.

Ranking: 1 ex aequo