

## **STRATEGIC GUIDELINES ON PARTNERSHIPS AND RESOURCE MOBILIZATION**

### **A. Rationale and Purpose**

- Partnerships and collaborative relationships contribute to the Agency's programme delivery and are therefore critical to delivering results and to ensuring the continued provision of high quality services to the benefit of Member States. Since its inception, the IAEA has worked with a broad range of partners, both State and non-State, all over the world in order to achieve such outcomes. These Guidelines are aimed at facilitating new partnerships with all relevant partners, in particular the private sector, in support of the Agency's activities, with special emphasis on further ensuring and maintaining strong capacities for the Technical Cooperation Programme and its priority goals, and more broadly related to nuclear science and technology as a part of the Sustainable Development Goals (SDGs) agenda.

### **B. Strategic context**

Partnerships and resource mobilization efforts must be in line with the Statute of the Agency, in particular with the Articles II and III.

In the Medium Term Strategy (MTS) 2012–2017, taken note of by the Board of Governors, it was recognized that “competition between resources to fund the growing requests of Member States for nuclear related services and other demands on national budgets” exists and the MTS therefore committed the Agency to becoming “more innovative in finding and justifying additional sources of funds, introducing, in particular, a specialized resource mobilization function”.

The MTS also recognizes that partnerships will be advanced with “the United Nations and other multilateral organisations, regional development bodies and other relevant inter-governmental and non-governmental bodies in order to ensure complementarity in areas where nuclear techniques offer a unique and comparative advantage”.

### **C. Definitions**

Donors collaborate with the Agency through provision of voluntary contributions of money and/or in-kind contributions.

Partners may be engaged to contribute to the Agency's programme delivery on many levels, address different issues and serve different purposes. A partner's contribution to the Agency's programme delivery may range from implementing components of individual projects at the national level to executing entire programmes at the regional or international level. Often such partnerships contain an element of planning, managing and implementing project activities with a view to achieving the project objective(s).

Partners and donors include governments and international organizations, as well as non-traditional entities, including but not limited to, civil society organizations, foundations, international financial institutions, academia, media, private sector entities and/or individuals, which collaborate with the Agency in fulfilling its mandate, in reaching the objectives of the partnership or in implementing the Agency's programmes.

Partnerships are voluntary and collaborative relationships between the Agency and one or several other partners from different sectors of society. In a partnership, all participants agree to work together to pursue a common objective or undertake a specific task and to share

risks, responsibilities, resources, competencies and benefits to achieve their own objectives, the objectives of their partner(s), and the overall objective of the partnership.

Resource mobilization is a coordinated process of identifying programmatic areas within the Agency's approved programme for which voluntary contributions (money and in-kind contributions) are needed, initiating and maintaining appropriate contacts with the relevant donor(s), and planning, carrying out and managing resource mobilization activities, including outreach activities needed for the resource mobilization efforts, all with the aim of closing the funding gap by means of building new and enhancing existing relationships with donors.

#### **D. Principles for partnerships and resource mobilization**

The Agency, in line with its statutory mandate and with the resolutions and decisions of the General Conference and the Board of Governors, is committed to enhancing its efforts to develop new partnerships and to strengthen its coordination in resource mobilization across the board, and in particular to activities supporting development. The added value to, and the synergies leveraged by, the Agency's programmatic activities through strengthened resource mobilization efforts can be derived, *inter alia*, from:

- Expanding the basis for policy dialogue and advocacy in regard to the Agency's objectives, goals and programme priorities;
- Sharing of information, knowledge and experience in nuclear techniques and applications of atomic energy for peaceful purposes;
- Increasing participation in efforts to develop norms and standards;
- Improving coordinated project and programme delivery and management;
- Mobilizing of resources and embarking on public private partnerships in support of the Agency's mandate, including joint mobilization of resources; and
- Facilitating the acceptance, utilization and disbursement of such resources to achieve programmatic objectives.

Entering into partnerships and resource mobilization agreements with non-traditional partners and donors introduces additional complexities and risks that must be addressed and assessed through a careful due diligence process and decided on a case-by-case basis and, where appropriate, in consultation with Member States. Therefore, the Agency applies the following strategic guiding principles with respect to the initiation and maintenance of relevant activities in this regard, particularly with respect to these non-traditional partners and donors:

- Congruence of mandate: Partnership initiatives must be in line with the Agency's statutory objectives and the Agency's statutory functions and fall within the approved programme;
- Equity: All partners recognize and respect each other's mandate, values, knowledge, skills and reputation;
- Integrity, independence and impartiality: Partnership activities should not diminish the Agency's integrity, independence or impartiality:
  - The Agency will enter into partnerships with partners whose products, programmes and methods of operations are judged compatible with the Agency's mandate and independent status and who exhibit an explicit commitment to ethical behaviour; partnerships should

enhance, but may not diminish, the Agency's credibility with Member States as a steward of public trust and funds;

- Partnership agreements will neither imply any right to provide special access to the decision-making process of the Agency nor any right to exercise influence thereon;
- Applicability: non-traditional partners and donors may only be considered with respect to appropriate programmatic activities of the Agency;
- Fairness: Partnerships should not provide an unfair advantage to any partner. The Agency will not enter into a partnership agreement if it excludes the right to negotiate a similar arrangement with other partners or if it requires an Agency endorsement of any product or service of a partner;
- Transparency: Partnerships are to be entered into and managed with transparency. Information on the nature and scope of major partnership agreements and the products derived from them must be available to the Agency and to its Member States;
- Accountability: Partnership activities are to be designed and implemented in a manner that ensures that all partners have clear and agreed responsibilities and accountability. Partners are accountable for using the resources contributed by the parties efficiently and effectively to achieve the partnership's objectives and are accountable for protecting these resources from misuse, waste and loss. All partnership arrangements are to be documented by means of a written agreement using appropriate templates;
- Adding value and mutual benefit: Partnership activities must add value by increasing the efficiency and/or effectiveness of the Agency's work, *inter alia*, by resource mobilization or leveraging mutual synergies;
- Respecting intellectual property and confidentiality: There must be prior consultation and agreement between the Agency and the potential partners regarding the ownership of copyright, patent or other intellectual property rights generated through the proposed activities carried out under the partnership agreement. Partners or any of their affiliates may only use confidential or proprietary information pertaining to the Agency for activities defined in the partnership agreement, which needs to take due account of the Agency's confidentiality requirements; and
- Ethical considerations: In developing partnerships and undertaking resource mobilization initiatives, managers must adhere to the highest ethical standards, avoiding both actual and foreseeable potential conflicts of interest, as well as relationships that give the appearance of impropriety. It is therefore important for the Agency to exercise due diligence when determining entities to work with and manners of engagement with them.

#### **E. Specific Considerations for partnerships and resource mobilization**

Partnerships/Donor agreements: Taking into account the above principles and considerations, partnerships shall be based on explicit, written agreements through which partners will define their expected contributions, roles and responsibilities, based on an analysis of each partner's core competencies and accountabilities; and shall agree on clear objectives, operational targets and activities, and monitoring and evaluation procedures. The IAEA and its partners will agree on reporting, monitoring and evaluation arrangements to ensure continuous improvement and the ongoing relevance and quality of activities.

**Conformity to existing rules and guidelines:** In all its partnership and resource mobilization engagements, the IAEA will comply with its regulations, rules, policies and procedures.

**Duration and discontinuation of partnership agreements:** Any agreement between the IAEA and its partners will include a statement of the intended duration of the partnership and will include the conditions under which it would discontinue such partnerships. For example, the IAEA shall discontinue a partnership if its implementation makes little or no progress towards achieving its objectives and if the implementation of the agreement or one of its parties violates any of the guiding principles and specific considerations listed above.

#### **F. Management of partnerships and resource mobilization**

The Secretariat will work to develop a comprehensive approach, including defining modalities of engagement, outlining goals and expected outcomes, including outcome monitoring of projects carried out with resources mobilized in the implementation of these Guidelines, as well as responsibilities and accountabilities. The management of resources and partnerships will continue to follow a results-based approach. Partnerships and resource mobilization are to be designed to support specific Agency objectives, which may include strategic, programmatic and/or operational objectives. Partnerships and resource mobilization therefore are planned, implemented and monitored in accordance with the Agency's results-based approach.<sup>[1]</sup>

The approach will include the institutionalization of a structured due diligence process for selecting non-traditional partners and donors with clear, well-defined and relevant criteria. The structured due diligence process will include, in all cases, assessment of risk factors, potential conflict of interests, neutrality, scientific credibility, unfair advantage, etc. This due diligence process will be ongoing throughout the life of the relationship with the partners and donors. Additionally, the specific risks associated with partnerships and resource mobilization activities will be identified, addressed and monitored through the Agency's well-established risk management process.

The performance results of resource mobilization and partnership efforts will also be monitored. The Agency's activities with respect to partnerships and resource mobilization efforts will, as with all Agency activities, be subject to the Agency's established evaluation and oversight mechanisms.

The Secretariat devotes particular attention to partnerships and resource mobilization by involvement of senior management of the Secretariat. Partnerships and resource mobilization efforts will be carefully discussed, planned, implemented and coordinated within the Secretariat to ensure a one-house approach. In line with the principle of transparency and results-based management, mobilization of resources and partnership agreements will be centrally registered by the Agency.

The Secretariat will periodically report to the Board of Governors on the Secretariat's efforts in concluding new partnerships and the results of its resource mobilization efforts to strengthen the effectiveness of these efforts and ensure transparency.

The Director General will also continue to report periodically to the Board of Governors all voluntary contributions of money as currently required by Part II of INFCIRC/370/Rev.2 which will be incorporated into the Financial Regulations. These reports will continue to be required following the update of the Financial Regulations. The information will be published annually

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<sup>[1]</sup> As defined in documents GOV/2000/13, paragraphs 8–20 and GOV/INF/2002/5, paragraphs 4–6.

through the Agency's Financial Statements and quarterly through the Notes of the Secretariat on the Financial Situation of the Agency on GovAtom.