

Project Administration Instructions

PAI 6.09
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TECHNICAL ASSISTANCE PERFORMANCE REPORT

A. Introduction

1. Technical Assistance (TA) Performance Reports (TPRs) are part of the overall project performance management system (PPMS), which encompasses all stages of the project cycle. TPRs provide information on TA implementation and progress in achieving development objectives. Because of the cause-effect relationship between the two aspects of project performance, TPRs should present explicit and verifiable performance targets (including target dates) that reflect progress toward achieving TA objectives.

B. Preparing the TA Performance Report

2. The initial TPR should be prepared from the TA paper and design and monitoring framework¹ (Appendix 1) by the TA mission leader within one month of TA approval. The TPR summary page, together with the supplementary pages, should be updated every quarter. However, the Central Operations Services Office (COSO) uploads current financial information monthly to TPRs and staff is encouraged to update TPRs following TA review missions and after receipt of TA progress reports from consultants and Executing Agencies. The TPRs can be found in Lotus Notes (TPR database in LNADBG1) and are available (reader access) to all ADB staff.

3. TPRs are prepared for all active TAs financed or administered by ADB. TPRs are maintained until the TA account is closed. A unique serial number is automatically generated for each TPR. TAs funded by blended grants (TASF and JSF) and supplementary TAs show only one number in the divisional summary, which corresponds to the serial number assigned to the TPR. TAs closed during a year continue to be shown in the main section of the report until the end of the year, but the serial number is blank and the TA status indicates "closed".

C. Content of the TA Performance Report

4. The TPR is a standardized report for all TA types and is attached as Appendix 2. The TPR is composed of two parts: a one-page summary and supplementary pages for listing all TA contracts, mission details, and changes in scope and implementation arrangements. The summary page contains essential information on the TA including financial information extracted from the TA information system (TAIS), design and monitoring framework, implementation status details and TA ratings for implementation progress; and the likelihood of achieving development objectives. The supplementary pages have been provided to collect TA information to facilitate preparation of the TA Completion Report (TCR) – the TCR template is linked to the TPR.

¹ Refer to OM section J1/BP (Project Performance Management System) on use of the design and monitoring framework in loan, grant-funded and technical assistance projects.

1. TA Ratings

5. Appendix 3 provides the detailed rating criteria for assessing development objectives and implementation progress used in the TPR system. The overall TA rating is the lower of the rating for development objectives and implementation progress, each of which is calculated using an arithmetic average of the individual ratings for each criterion. For the time being, unlike the PPR system, the ratings for development objective and implementation progress can be more than one step higher than the lowest individual rating.

6. The rating for TA implementation progress concentrates on physical implementation, while the rating for development objectives concentrates on the likelihood of achieving the intended short- and long-term development impacts of the TA. Although the former influences the latter, satisfactory implementation progress does not always lead to achieving development objectives satisfactorily. Conversely, development objectives may be achieved when implementation progress is unsatisfactory. The two ratings are equally important. They are complementary, not substitutes.

2. Development Objectives

7. TA development objectives are statements of development outcomes, impacts or benefits expected from implementing the various TA components and achieving TA outputs. Any successes and failures encountered during TA implementation are likely to be reflected in the degree of achievement of development objectives. However, satisfactory implementation progress may not necessarily lead to satisfactory achievement of development objectives. Moreover, because the development impact may only become clear several years after TA completion, staff must use their best judgment when assessing expected achievements. To do this, staff must periodically review the assumptions and risks identified at appraisal, which are critical to success, to assess whether they are still applicable in the current situation.

8. Critical assumptions and risks that affect the likelihood of achieving the development objectives include

- assumptions regarding Government and EA commitment to achieving the TA objectives;
- assumptions regarding ADB's ability to provide timely and an appropriate level of TA supervision; and
- assumptions regarding the consultant's ability to fulfill their terms of reference.

As these three assumptions and risks are common to most TAs, they have been included as default settings in each TPR. Additional assumptions and risks can be included in each TPR to address TA-specific concerns.

9. Development objectives are rated using the following rating criteria. The rating for development objectives is calculated based on the average of the individual assumption and risk ratings during the course of implementation until TA completion.

Highly Satisfactory (HS):	The TA is expected to exceed most of its major immediate development objectives.
Satisfactory (S):	The TA is expected to achieve most of its major immediate development objectives.
Partly Satisfactory (PS):	The TA is expected to achieve some of its major immediate development objectives.
Unsatisfactory (U):	The TA is unlikely to achieve its major immediate development objectives.

3. Implementation Progress

10. Pre-implementation activity – TA signing if applicable –is rated according to time delay (PAI 1.03). Implementation progress after TA signing (if applicable) is assessed in the TPRs by evaluating seven qualitative and quantitative aspects of project implementation consisting of timely consultant recruitment; timely report submission; report quality; changes in scope or implementation arrangements and cost overrun; other deliverables; Government and EA contribution; and timely TA completion.

4. Potential Problem

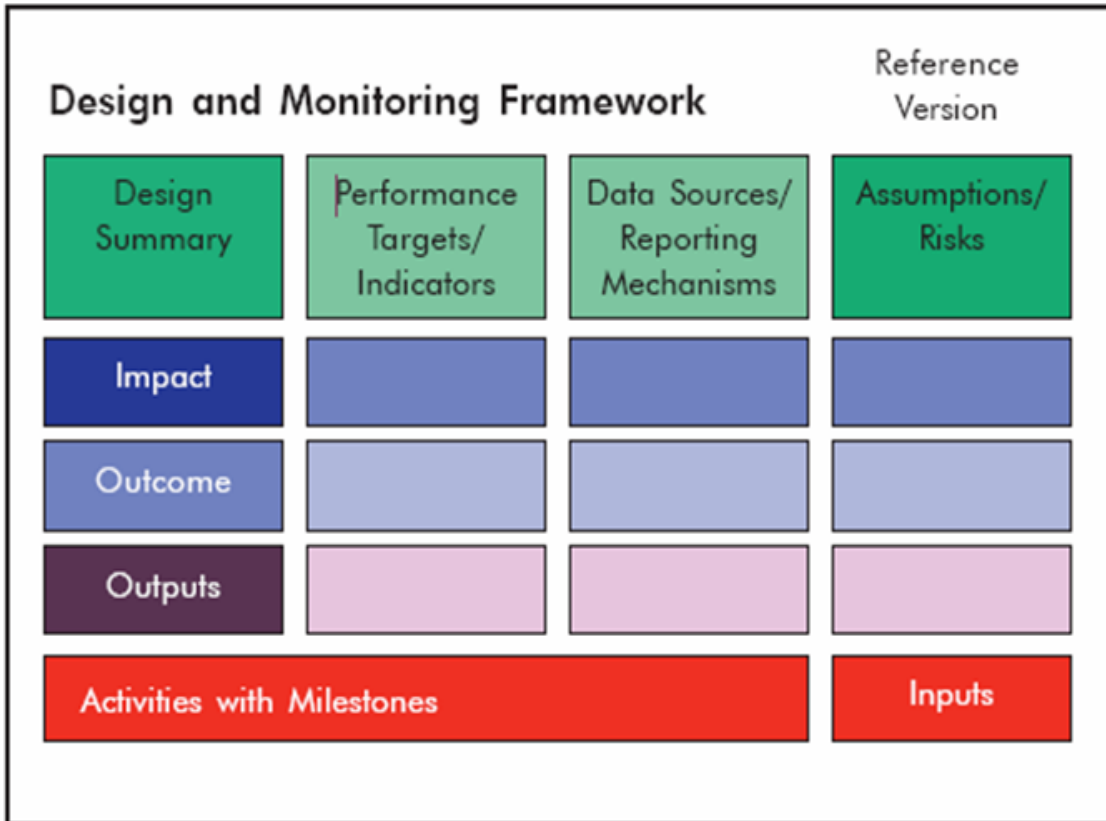
11. Unlike the PPR system, the TPR system does not include a “potential problem” category. The benefits of a potential problem category in the TPR system do not justify the additional work required to produce this rating category for TAs.

5. TA At Risk

12. The “At Risk” grouping for TAs includes those rated “partly satisfactory” and “unsatisfactory” by the TPR system.

6. Override Facility

13. In exceptional cases, the administering department or office is permitted to override the TPR-generated rating for implementation progress (IP), and upgrade or downgrade a TA with proper justification and the approval of the concerned head of department. The system override will be entered by COSO upon receipt of a copy of the approval memorandum. The release of the override follows the same procedures



TA Performance Report
 As of

Serial No. :
 Dept./Division :
 TA Status :

(All Amount in US\$)

A. Basic Data		TA Type	TA Rating	Last	Current	Poverty Classification
Project No.	Associated Loan No		TA Objective			
Project Name			Impl. Progress			Thematic Classification
Executing Agencies			Override			
		Latest Mission Date	From:	To:		
		-----TA Letter-----	-----Physical Completion-----		-----Account Closing-----	
TA No.	Fund	Approval	Issued	Signing	Original	Revised
					Actual	Original
						Revised
						Actual

B. Financing Plan/TA Utilization

-----Financing Plan-----				-----TA Amount-----		Total	Uncommitted	Total	Undisbursed
ADB	Others	Gov't	Total	Approved	Revised	Commitment	Balance	Disbursement	Balance

C. TA Objectives

Description		
Key Assumptions/Risks	Rating	Assessment of Current Status
1. Government and EA are committed to achieving TA objectives.		
2. ADB can provide timely and appropriate level of supervision.		
3. Consultants are capable of fulfilling their Terms of Reference.		
Overall Rating		

D. Implementation

Summary of Input, Activities and Output		Implementation Status	Rating(H,S,P,S,U,NA,NYD)
Description	Assessment of Progress-to-date	Status:	
			-Timely consultant recruitment
			-Timely report submission
			-Report Quality: a) ADB assessment
			b) EA's assessment
			-Major Changes in scope and/or impl. Arrangement and/or cost overrun
			-Other deliverables(e.g. fellowship, training, vehicles and equipment)
			- Government's/EA's contribution
			- Timely Completion
		Overall IP rating	
			Timely financial closing

Ongoing Consultant Details

-----Individual/Firm Name-----	Contract No.	Amount	ContractDate	FieldingDates	Orig/Revsd	Actual	Type	Projected	Actual	PER

E. Major Issues/Problems/Highlights

Issues/Problems/Highlights	Action Taken/Proposed

TASU Project Assistant

PROJECT OFFICER

Supplementary Pages

A. Summary of All Contracts

as of

DEPT./DIVISION:	PROJECT NO.:	TA NO.:
PROJECT NAME:	COUNTRY:	

-----Completion Dates----- ----- Latest Report-----
 -----Individual/Firm Name----- Contract No. Amount Contract Date Fielding Dates Original Actual Type Projected Actual PER

B. Major Change In Scope or Implementation Arrangement and/or Cost Overrun

Date of Change:

TA Project No.:	Project Name:	Dept./Division:
TA No.:		

Type of Changes:(Multiple choice)	Type of Settlement:	Description of Changes/Cost Overrun:
<input type="checkbox"/> Changes in Implementation Arrangements <input type="checkbox"/> Changes in Scope <input type="checkbox"/> Cost Overrun	<input type="checkbox"/> Unsettled <input type="checkbox"/> Settled	

C. TA Administration Mission

DEPT./DIVISION:	PROJECT NO.:	TA NO.:
COUNTRY:	PROJECT NAME :	

Mar No. (if any):	Type of Mission:	No. of Persons:
Field Start:	Field End:	Staff:
Planned Days:	Actual No. of Days:	Override No. of Days:

D. TCR Details

as of

TA Project No.:	TA Status:	Project Name:	Dept./Division:
TA No.:	Country:		

TA COMPLETION DATE	PROGRAMMED	CIRCULATED
Completion:	Original Date:	Actual Date:
Financial Closing:	Revised Date:	TCR Rating:

Rating Criteria for the Assessment of Development Objectives
 (All TA Types)

OVERALL TA RATING METHODOLOGY

The TA rating for development objectives and implementation progress is based on the average of the individual ratings for each criterion. The overall rating is calculated automatically by the TPR using the following two-step process.

Step One: The arithmetic average of the individual ratings will be calculated using assigned points: 3 points for highly satisfactory, 2 points for satisfactory, 1 point for partly satisfactory, and no points for unsatisfactory.

Step Two: The arithmetic average will be rounded to the nearest whole number. If the overall rating falls exactly in the middle of two ratings, it will be rounded down.

A. RATING CRITERIA FOR ASSESSMENT OF DEVELOPMENT OBJECTIVES

Rating Criteria	Highly Satisfactory (3 points)	Satisfactory (2 points)	Partly Satisfactory (1 point)	Unsatisfactory (0 point)
TA Objectives				
Key Assumptions/Risks:				
1. Government and EA are committed to achieving TA objectives. ^a	The project is expected to exceed most of its major immediate TA objectives.	The project is expected to achieve most of its major immediate TA objectives.	The project is expected to achieve some of its major immediate TA objectives.	The project is unlikely to achieve its major immediate TA objectives.
2. ADB can provide timely and appropriate level of supervision. ^a				
3. Consultants are capable of fulfilling their Terms of Reference. ^a				
4. Others				

^a Default assumptions and risks. Space is provided for additional entries.

B. RATING CRITERIA FOR ASSESSMENT OF TA IMPLEMENTATION PROGRESS

Rating Criteria	Highly Satisfactory (3 points)	Satisfactory (2 points)	Partly Satisfactory (1 point)	Unsatisfactory (0 point)
Prior to Signing of TA Agreement <ul style="list-style-type: none"> ▪ Signing of TA Agreement or Letter^a (criterion is hidden after TA signing) 	Not applicable	Within 3 months after TA approval	Not applicable	More than 3 months delay after TA approval
After Signing of TA Agreement Timely Consultant Recruitment (AUTOMATIC CALCULATION)				
TA Agreement Required	Within 3 months from approval	3 to 8 months from approval	8 to 12 months from approval	More than 12 months from approval
No Agreement Required	Within 1 month from approval	1 to 5 months from approval	5 to 8 months from approval	8 months from approval
Consultant Required? Yes or No If consultant is required and contract is available: [(First Consultant Contract-Approval Date)/30.416] If consultant is required but there is no contract yet: [(Cutoff Date - Approval Date)/30.416] If consultant is not required, select "NA" (not applicable) and criterion will not be included in the overall computation of IP rating				
<ul style="list-style-type: none"> ▪ Timely Report Submission 	Earlier than schedule	Not yet due (only for 1 st report due), on time or delay of 1 month and below	Delays between 1 and 3 months (>1<=3 months)	Delays more than 3 months
<ul style="list-style-type: none"> ▪ Report Quality <ul style="list-style-type: none"> a) ADB's assessment b) EA's assessment 	Reports highly acceptable (exceed TOR requirement)	Not yet due, or reports acceptable (80% or more than TOR requirement)	Reports marginally acceptable (60-79%)	Reports unacceptable (less than 60%)
<ul style="list-style-type: none"> ▪ Changes in scope and/or implementation arrangement and/or cost overrun; 	–	No major changes needed to date or major changes/overrun approved/settled or pending within 3 months	Approval of major changes/overrun pending (greater than 3 months but equal to or less than 6 months)	Approval of major changes/overrun pending (greater than 6 months)
<ul style="list-style-type: none"> ▪ Other Deliverables (e.g. fellowship, training, vehicles and equipment) 	Earlier than schedule	Not yet due, on time or delay of 1 month and below	Delay between 1 and 3 months (>1<=3 months)	Delay more than 3 months
<ul style="list-style-type: none"> ▪ Government/EA Contribution^b (e.g., budget, facilities, equipment, staff) 	Timely and exceeds required contribution	Delay up to 1 month and satisfies required contribution	Delay by >1 to 3 months or partly satisfies required contribution	Delay >3 months and partly satisfies required contribution

Rating Criteria	Highly Satisfactory (3 points)	Satisfactory (2 points)	Partly Satisfactory (1 point)	Unsatisfactory (0 point)
To be included upon reaching Original Completion Date <ul style="list-style-type: none"> • Timely Completion ^c (criterion is hidden before Original Completion Date) (AUTOMATIC CALCULATION) 	Earlier than schedule	No delay or less than 20% delay from original schedule	20-40% delay from original schedule	More than 40% delay from original schedule
(Time Elapsed) / (Original Implementation Period) * 100 ** Actual Completion Date instead of Cutoff Date will be used if TA has been completed.				

- ^a Once the TA agreement or letter has been signed, this criterion will no longer be applicable and the impact of any delay in TA signing should be taken into account when assessing the implementation delays. This may not be applicable to piggy-back TAs that will depend on the loan signing date; hence, PPR criterion for loan signing which is 6 months from approval will apply.
- ^b Delay is measured from approval or effective date.
- ^c Criterion will not be applicable and displayed before original completion date.