

Project Administration Instructions

PAI 6.03
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REPORTS BY PROJECT ADMINISTRATION MISSIONS

I. Introduction

1. All project administration missions prepare either an aide memoire or memorandum of understanding (MOU) as appropriate prior to completion of the mission to reflect the discussions held with the borrower, executing agency (EA), and regional or resident mission (RM). Copies of the aide memoire or MOU are left with the borrower, EA, and RM. Project administration missions submit back-to-office reports (BTOR) to the respective authority and within the time-frame outlined in paras. 2–3. Sector divisions and RMs capture key information from the BTORs, aide memoires, and MOUs and update the project performance reports (PPRs) and TA performance reports (TPRs)¹. The guidelines on the project administration documentation are attached as Appendix 1.

II. BTOR Submissions

2. Generally, BTORs of project inception, project review, special project administration, loan disbursement, and operations evaluation missions are submitted within five working days of the missions' return to headquarters or RM. BTORs for all other administration missions are submitted within 10 working days of the missions' return. The mission leader reports to the director, sector division or country director, RM on important issues orally immediately upon return. The director or country director may, in turn report orally on these issues to the deputy director general; director general; controller; principal director, Central Operations Services Office (COSO) or director general, operations evaluation department (OED), as the case may be, who may discuss the issues with the vice-president. Except for country portfolio reviews (CPR), the mission leader submits the BTOR to the director, sector division, or country director, RM; with copies to those listed in Appendix 2. An issue paper is submitted to the director general as when there are important issues to be approved by the department or office head. Copies of the BTOR are sent to all concerned for information.

3. BTORs for all project administration missions (except CPR) highlights the issues, if any, requiring decisions by the director, sector division or country director, RM, and has "For Approval of Para(s)_____" at the top of the report's first page. If no decisions are required of the director, sector division or country director, RM, the report has "For Information" at the top of the report's first page. BTORs for CPRs are submitted by the mission leader to the director general for approval. This is due to the important nature of the mission, particularly on the MOU or action plan agreed with the DMC government. For reviews of a project at risk with rating of unsatisfactory, partly satisfactory, or potential problem, an issue paper is prepared and submitted to the director general through the director, sector division or country director, RM for approval. The issue paper includes a brief cover note highlighting the issues, their impact on the assumptions and risks, and the likely attainment of the project's immediate objective contained in the design and monitoring framework and PPR. For MTRs, an issue paper is prepared and submitted to the director general through the director, sector division or country director, RM for approval only when substantial changes of the project are required. If necessary, the director general decides on the next course of actions required.

¹ TPR shall be attached to the BTOR of TA review missions.

C. Contents of the Reports

4. A BTOR outline for review missions is attached as Appendix 2. The outline items only suggest matters that may be reported by the mission. The mission leader uses judgement in deciding items covered. The BTOR (no longer than three pages), the aide memoire or MOU, and PPR are attached. The BTOR should clearly indicate issues of project implementation and proposed remedial actions to resolve the issues. A BTOR addressed "For Information" needs only be one page, as detailed information is provided in the attached aide memoire or MOU, and PPR.² BTORs of CPR, MTR and OE missions may extend to five pages because of the substantive issues associated with these reviews.

5. Draft letter(s) that remind the borrower and EA of any key issues and problems contained in the aide memoire or MOU, and the agreed remedial actions required by the borrower or EA, or both, are attached to the BTOR. The director, sector division or country director, RM will decide whether to issue the letter or, if the issues and remedial actions are substantive and need to be referred to the director general.

6. Outlines of BTORs for CPRs are attached as Appendix 3. The items contained in the outlines provide a framework of basic aspects covered. Items that are irrelevant to a particular mission are excluded. The department and division expected to take the action are clearly indicated.

7. The BTOR for the project inception mission is brief and attaches a revised draft project administration memorandum (PAM) that was discussed and finalized during the mission. BTORs for special project administration missions and other missions are also brief, deal with matters discussed with the borrower and EA, and give recommendations on actions needed by the borrower, EA, and ADB.

² PPRs can be copied locally to the mission notebook for easy update while in the field.

Guidelines on Project Administration Mission Documentation

Type of Mission	Documentation Prepared Prior to the Mission	Documentation Prepared After the Mission
A. LOANS		
Project inception	A mission proposal ¹ is prepared by the mission leader and endorsed by the head of the project administration unit (PAU) for submission and approval by the director, sector division or country director, RM.	A BTOR (not more than 3 pages) with the MOU/aide memoire, updated PPR, and revised draft PAM attached. The BTOR is submitted by the mission leader to the director, sector division or country director, RM with copies to all concerned within 5 working days of the mission's return. The mission finalizes the PAM immediately after its return (PAI 1.05).
Project review	A mission proposal ¹ is prepared by the mission leader and endorsed by the PAU head for submission and approval by the director, sector division or country director, RM.	A BTOR (not more than 3 pages) with the aide memoire and updated PPR attached. It is submitted by the mission leader to the director, sector division or country director, RM with copies to all concerned within 5 working days of the mission's return. Appendixes and attachments need not be circulated, but will be available upon request. In addition, for projects at risk, an issue paper is prepared and submitted to the director general through the director, sector division or country director, RM for approval.
Midterm review	A mission proposal ¹ is prepared by the mission leader and endorsed by the PAU head for submission and approval by the director, sector division or country director, RM.	A BTOR (not more than 5 pages) with the MOU/aide memoire and updated PPR attached, are submitted to the director, sector division or country director, RM with copies to all concerned within 10 working days of the mission's return. It highlights mission findings, recommendations, and time-bound action plan. If substantial changes of the project are required, an issue paper is prepared and submitted to the director general for approval.

¹ The term "mission proposal" covers a range of possible documentation requirements depending upon the specific circumstances of a mission. It is used when authorizing officers, apart from a fully completed mission authorization request, may require supplementary information in the form of a memorandum, short briefing paper, or detailed assessment of the circumstances requiring a mission. When specifically stated, the mission authorization request must be supplemented by a position paper, concept clearance paper, or other required document.

Type of Mission	Documentation Prepared Prior to the Mission	Documentation Prepared After the Mission
Special project administration	A mission proposal ¹ is prepared by the mission leader and endorsed by the PAU head for submission and approval by the director, sector division or country director, RM.	A BTOR (not more than 3 pages) is submitted by the mission leader to the director, sector division or country director, RM and copies to all concerned within 5 working days of the mission's return. The director general has the discretion to bring the BTOR to the notice of the vice-president concerned.
Project completion review	A mission proposal ¹ is prepared by the mission leader and endorsed by the PAU head for submission and approval by the director, sector division or country director, RM.	BTOR (not more than 3 pages) is submitted by the mission leader to the director, sector division or country director, RM, and copies to all concerned within 10 working days of the mission's return. The director general has the discretion to bring the BTOR to the notice of the vice-president concerned. The Mission should subsequently finalize the project completion report.
Country portfolio review	A background paper is prepared by the RM or operations coordination division/unit.	A BTOR (not more than 5 pages; with attached MOU and time-bound action plan) is submitted by the mission leader to the director general for approval through the director, sector division or country director, RM, and copies all concerned within 10 working days of the mission's return.
Loan disbursement (and disbursement seminar combined)	A mission proposal ¹ is prepared by Controller's Department (CTL).	A BTOR (not more than 3 pages) is submitted by the mission leader to the controller with copies to all concerned within 5 working days of the mission's return.
Operations Evaluation	A position paper is prepared by the mission leader and endorsed by the divisional director of OED for submission and approval by director general, OED	A BTOR (with a list of people met and aide memoire, if any, attached) is submitted by mission leader to the director general, OED, with copies to all concerned within 5 working days of the mission's return.

Type of Mission	Documentation Prepared Prior to the Mission	Documentation Prepared After the Mission
B. TECHNICAL ASSISTANCE		
TA inception	A mission proposal ¹ is prepared by the mission leader and endorsed by the head of the PAU or technical assistant (TA) officer for submission and approval by the TA supervising unit (TASU) director or head, or country director, RM.	BTOR (not more than 3 pages) indicating the results of tripartite discussions and final work program of all concerned parties. It is submitted by the mission leader to the TASU director or head, or country director, RM with copies to the consultants and all concerned within 5 working days of the mission's return. The director general has the discretion to bring the BTOR to notice of the vice-president concerned.
TA review	A mission proposal ¹ is prepared by the mission leader and endorsed by the PAU head or TA officer for submission and approval by the TASU director or head, or country director, RM.	A BTOR (not more than 3 pages, with updated TPR attached) indicating the progress of activities, problems, and issues on TA implementation based on the discussions with executing agencies and the consultants on a tripartite or bilateral basis is submitted by the mission leader to the TASU director or head, or country director, RM with copies to the consultants and all concerned within 5 working days of the mission's return. Only one BTOR is prepared if the TA is implemented together with the loan. The BTOR will serve as a basis for the consultant's final report.
Special TA administration	A mission proposal ¹ is prepared by the mission leader and endorsed by the PAU head or TA officer for submission and approval by the TASU director or head, or country director, RM.	A BTOR (not more than 3 pages) indicating the agreement and or remedies to major problems and issues of TA implementation is submitted by the mission leader to the TASU director or head, or country director, RM with copies to the consultants and all concerned within 5 working days of the mission's return. Only one BTOR is prepared if the TA is implemented together with the loan. The BTOR will serve as a basis for the consultant's final report.

Type of Mission	Documentation Prepared Prior to the Mission	Documentation Prepared After the Mission
Regional training and program activities	A mission proposal ¹ is prepared by the assistant controller for disbursement seminar, or director, COS1 or 2 for country project implementation and administration seminars, and submitted for approval by the principal director, COSO or controller.	A BTOR (not more than 3 pages) is prepared based on the experience encountered during the conduct of the seminars. The formal evaluation and informal feedback from the seminars indicate that the training succeeded in strengthening skills and raising the level of understanding of ADB's requirements related to project implementation. The BTOR is submitted by the mission leader to principal director, COSO, or controller within 5 working days of the mission's return with copies to all concerned.
Technical assistance performance audit report	A position paper is prepared by the mission leader and endorsed by the divisional director of OED for submission and approval by the director general, OED	A BTOR (with a list of people met and aide memoire, if any, attached) is submitted by the mission leader to director general, OED with copies to all concerned.

Pro Forma Report of Review Mission

For Approval of Para(s) _____ or For Information

To: [Director, Sector Division] or [Country Director, RM]¹
Through: [PAU Head]
From: [Mission leader]
Subject: Loan No. _____ [Name of Project]
Back-to-Office Report of Review Mission

A. Introduction

[This section briefly introduces the Project by referring to the mission's updated project performance report (PPR) to be generated from the project administration system and attached to the BTOR as Appendix 1. The PPR gives the project rating, briefly states the project's implementation status and briefly recounts the main issues affecting implementation, as identified by the previous mission. The mission also indicates that an aide memoire or MOU was left with the government and EA and is attached as Appendix 2.]

B. Mission Findings

[This section provides a brief status report on the major components, including any related technical assistance, and progress in resolving key issues (policy, institutional, budgetary support, environmental, social etc.) delaying implementation, including new issues identified by the mission.]

C. Issues for Guidance or Recommendations

[New issues requiring guidance from the director, sector division or country director, RM and possibly higher authorities are provided together with the mission's recommendations. If no specific issues require attention, state this. If no specific recommendations are made, the BTOR is designated **For Information**].

cc: Vice-President concerned (if necessary)
Directors General, Regional Department and OED
Deputy Director General, Regional Department
Assistant Controller, CTLA

¹ For projects at risk rated unsatisfactory, partly satisfactory, or potential problem, to head of regional department through director, sector division or country director, RM.

Assistant General Counsel concerned
Director, COS1 or 2
Director, OED1 or 2
Director, OCO (if project is cofinanced)
Head, Operations Coordination Division/Unit
Mission members
(core list: mission leader has flexibility to include other staff).

Note: Page one of Appendix 3 includes the mission's terms of reference. The mission's composition, its duration, date, the mission leaders return to headquarters, and key officials met are included as page two of Appendix 3.

Pro Forma Report of Country Portfolio Review Missions

For Approval of Para(s) _____

To: Director General, Regional Department

Through: Country Director, RM (or Head, Operations Coordination Division/Unit)

From: [Mission Leader]

Subject: **Country Portfolio Review Mission [Name of Country]
Back-to-Office Report**

A. Introduction

[Provide details of the following:

- timing and duration of the CPR (including date of the final wrap-up meeting and senior government officials attending);
- if the CPR was coordinated with other international financing institutions (IFIs) in the country, include names, positions, and IFI at each joint meeting in an appendix);
- objectives of the CPR mission;
- names, positions, and divisions of mission members (to be included in footnote); and
- names, positions, and agencies of all government officials met (in an appendix)]

B. Background

A background paper, highlighting key performance indicators and issues, is prepared in advance of the CPR mission and made available to the developing member countries (DMC) government and agencies for review and comments in advance of the CPR

[Provide the following:

- brief details of when the last CPR was held and a brief summary of its findings;
- a background paper as an appendix; and
- description of how the CPR was structured and approached its work].

C. Mission Findings

[Provide the following:

- key finding(s) of ADB's portfolio performance and how it compares with the previous year;

- if other IFIs were involved, a brief overview of joint official development assistance portfolio performance in comparison with the previous year; and
- targets and time-frame set for improved performance;
- brief details of country-specific common project implementation problems and joint initiatives agreed between ADB, other IFIs, and the DMC government to remedy the situation; and
- brief details of sector-specific problems associated with ADB-funded projects and initiatives agreed between ADB and the government to remedy the situation]

D. Outputs, Recommendations, and Follow-up Actions

[Provide the following:

- a summary of the time-bound remedial action plan agreed with the DMC government;
- quantifiable targets and follow-up actions and how they will be monitored; and
- if, as a result of the agreed action plan, ADB requires specific measures require approval of higher authorities, make such recommendations accordingly.]

cc: Vice-president concerned
Director General, OED
Deputy director General, Regional Department
Principal Director, COSO
Directors, sector divisions concerned
Director, COS1 or 2
Assistant controller, CTLA
Assistant general counsel concerned
Mission members

Pro Forma Report of Country Loan Disbursement Missions

To: Controller

Through: Assistant Controller, CTLA

From: [Mission leader]

**Subject: Country Loan Disbursement Mission: [Name of Country]
Back-to-Office Report**

A. Introduction

[Provide details of the following:

- timing, duration, and composition of the mission;
- the general and specific objectives of the mission; and
- a list of projects reviewed by the mission in appendix]

B. Status of Loan Disbursements in the Country

[Indicate the contracts awarded for the projects examined and for the country. The status of disbursement is shown in two ways: performance during the past three to five years by calculating the performance ratio, and performance during the current year by comparing the actual with projected disbursement.]

C. Mission Findings

[Describe factors directly influencing contract award and disbursement performance of the country. Summarize the contract award, commitments, and disbursement projections for the loans examined, the overall projections for the country for the balance of the calendar year, and those for the country for the next calendar year.]

D. Conclusions and Recommendations

[Summarize the mission's achievements, and the main problems relating to contract awards, commitments, and disbursements that the mission identified and helped resolve; the additional amounts expected for contract awards, commitments, and disbursements as a result of the mission's actions; and the disbursement ratio expected. Recommendations are action-oriented, specifying clearly the type of action recommended and which department or division is responsible].

E. Appendixes

Appendix 1

[List projects reviewed: loan number and project title of each.]

Appendix 2

[Present individual project reviews for projects with major issues; normal projects or those with minor issues need not be mentioned here.]

- Background: give basic statistics: loan amount, date of effectiveness, closing date, and name of the EA.
- Contract awards and commitments: show the cumulative contract awards and commitments at the end of the previous calendar year, the actuals during the year to date, and projections until the end of the current year and those expected for the coming calendar year. Examine relevant problems and indicate information available for major contracts.
- Implementation: include progress in recruiting consultants and procuring goods and works that directly influence contract awards, commitments, and disbursements.
- Disbursements: include cumulative disbursements at the end of the previous year, amounts disbursed during the current year, disbursements expected until year end, and those expected for the following calendar year. Describe expected major disbursements and disbursement issues.]

cc: Director General, OED
Head, Operations Coordination Division/Unit