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Power Africa Tracking Tool (PATT) User Guide for Transactions

2016

This guide was produced for the Power Africa Coordinator's Office and was prepared by the Power Africa Transactions & Reforms Program

Certain portions of this document have been redacted to preserve proprietary information.

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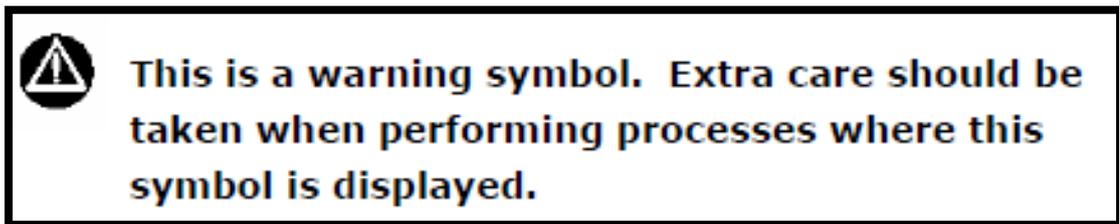
1. INTRODUCTION

1.1. Purpose

The purpose of this document is to provide Transaction Advisors, USG Agencies, and Power Africa Partners with detailed steps of how to use the Power Africa Tracking Tool (PATT).

1.2. Symbols and Conventions

The following symbols are used in the manual to make certain types of information stand out:



The following convention is used in this manual to refer to navigation and other information:

- Reports >> Comments >> Comments History Report
This symbol (>>) indicates the path or sequence of steps to follow, in order to complete a particular process. This example directs you to go to the Report menu and print the Comments History Report.

Abbreviation	Full Term / Meaning
PATT	Power Africa Tracking Tool
Cloud Based	Information is stored remotely but directly accessible via internet
PPO	Project Portfolio Office which is the current system hosting the PATT application.
Home Page	The first page seen after logging IN.
Landing Page	The first page seen when selecting menu items
Drill Down	To drill down means to click on a certain field to see the detailed data.
Log In / Out	Access or Exit the System

2. OVERVIEW OF PATT PROCESSES

2.1. Overview

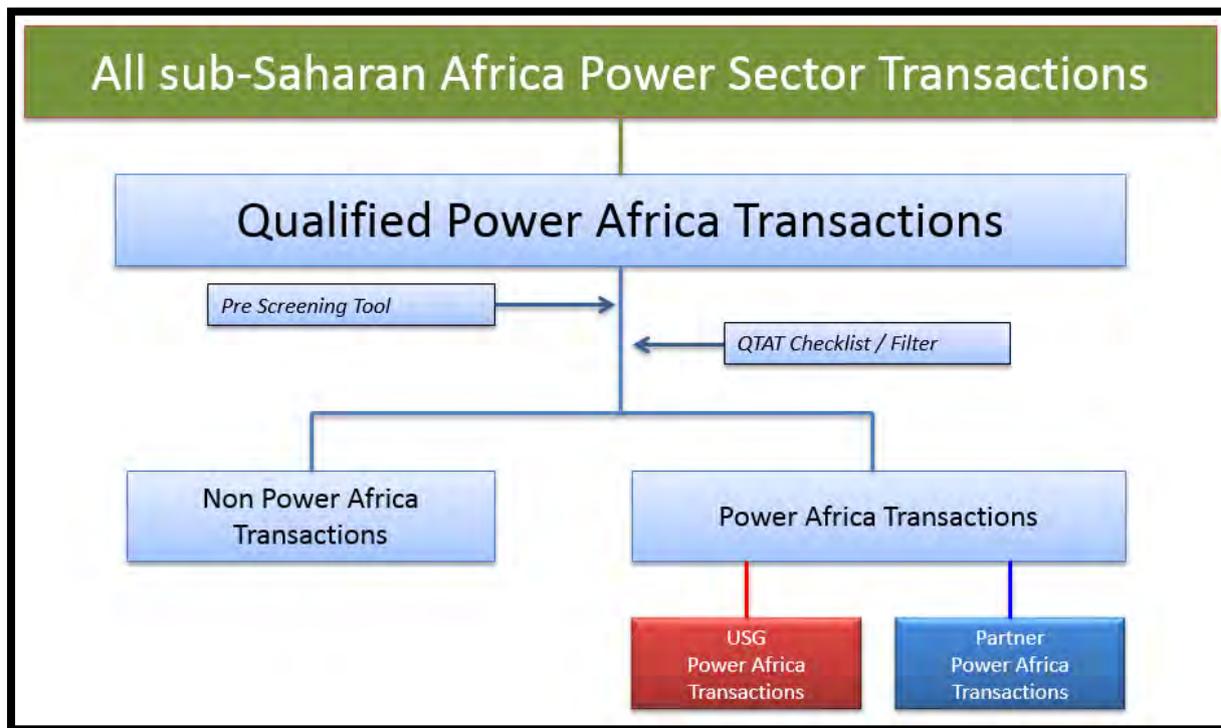
PATT is designed to be a depository for all Qualified Power Africa Transactions. It is a versatile management tool that will assist Power Africa and its main stakeholders to monitor progress toward the goal of 30,000 MW and 60 million connections. The database allows for easier collaboration, has the capacity for a variety of analyses on key project information in any required format for decision making and reporting, and allows for the identification of critical issues or constraints so that remedial action may be taken in a timely fashion where necessary.

PATT provides a snapshot of all Qualified Transactions and comprises the following sections:

- Transactions--an overview of all Transaction information
- Metrics built in to measure Transaction status at any given point:
 - Country / region
 - Type-- generation, transmission, distribution, mini-grid etc.
 - Technology--wind, solar, hydro, biomass, gas, etc.
 - Size--MWs
 - Access / connections (inferred & direct)
 - Maturity stage (6): pre-feasibility, feasibility, project development, project structuring, project financing, construction & completion
 - Environmental & social impacts
 - Policy & regulatory constraints & improvements
 - Specific activities / actions required & responsible party(ies)
 - Critical constraints & how being addressed
 - Projected timeline & key milestones
- Project Financing Status:
 - Capital requirements & sources
 - Debt / equity split
 - US\$ leveraged
- USG & Partner Stakeholder involvement in Transactions:
 - Project sponsors / developers, EPC contractor, equipment suppliers, service providers, etc.
- Additional Information:
 - Health Indicators--measures project progress & whether on track
 - Comments / next steps & responsible party(ies)
 - News & Information--press reports on transaction
 - Documents, agreements, etc.
 - Google map locations
 - Key country indicators
- Reports:
 - Current progress to milestones
 - Forecasting--*i.e.*, transactions expected to reach financial close in 2016

2.2. PATT Process

Identifying Qualified Transactions for USG or Partner Power Africa assistance requires the analysis of diverse power projects to determine if the project meets Power Africa’s criteria to be a Qualified Transaction. A Qualified Transaction may be excluded from PATT if the project is not likely to be viable, if the timeframe does not warrant active tracking, or if the project does not stand to benefit a significant number of people or businesses.



New Transactions

For USG and Partners, before a new Transaction is entered into PATT, the Pre-Screening Tool (PST) must be edited and the New Transaction Template must be completed. The Pre-Screening Tool is a two page pre-screening filter of 28 criteria which must meet a minimum threshold to determine whether a transaction is entitled to further due diligence using the QTAT with assistance from a Power Africa Transaction Advisor. The PST assists in identifying transformative, catalytic, and replicable Qualified Transactions with broad ranging local and regional impact.

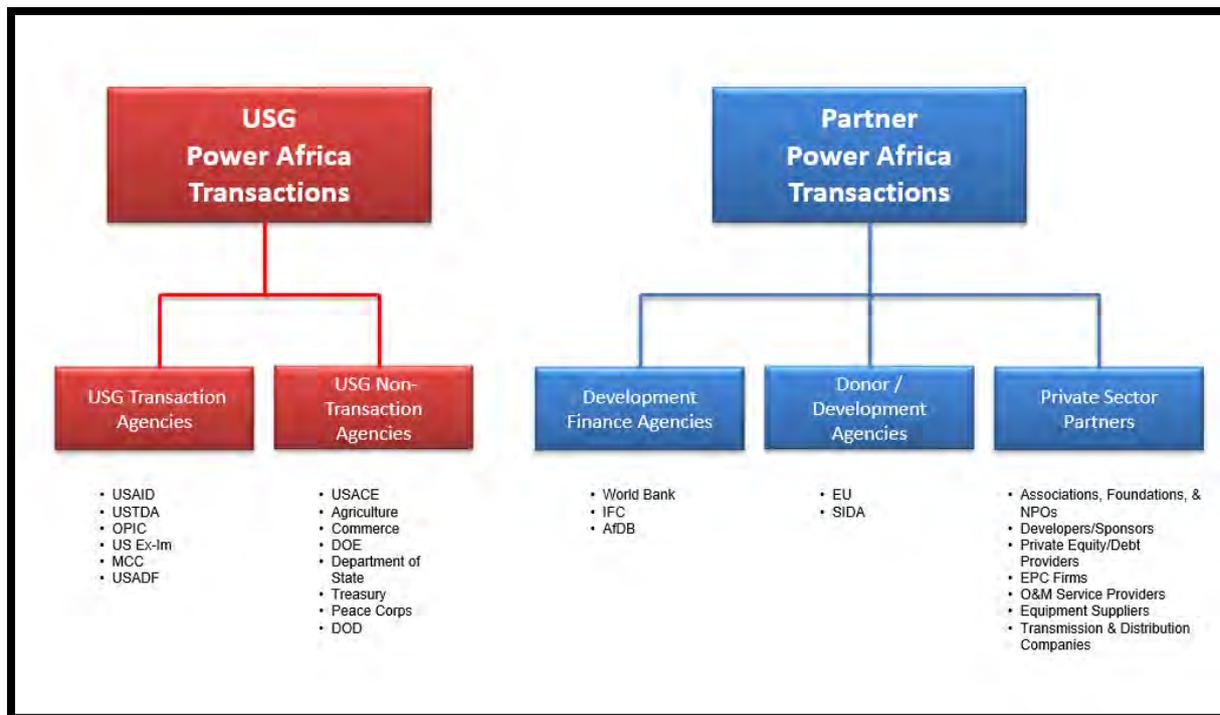
For PATRP Transaction Advisors, the New Transaction Template must be completed and the transaction fully vetted. For Coordinator’s Office and/or Missions *identified* Transactions and PATRP TAs, Transactions that have not been vetted using the QTAT are classified as Non-Power Africa Transactions (and identified as “Unclassified” Qualified Transactions in PATT).

Transactions are vetted using the Qualified Transactions Assistance Tool (QTAT). The PATRP QTAT is a detailed checklist / filter of 78 criteria which assesses whether a Qualified Transaction would qualify as a USG PA Transaction or a Partner PA Transaction.

QTAT assists in identifying high priority, transformative, catalytic, and replicable Qualified Transactions with broad ranging local and regional impact, for Power Africa assistance by a USG Agency or a Power Africa Partner. It is designed as a filter to reduce amount of complexity in the upgrading and downgrading process by making key selection factors easily visible so potential trade-offs based on results of assessments can be identified, analysed, and supported. An important success factor will be development of a pipeline of USG Power Africa Transactions and Partner Power Africa Transactions to reach bankability, financial close, and commercial operation.

The Power Africa Coordinator’s Office ultimately is responsible for identifying and classifying Transactions into either USG or Partner Power Africa Transactions.

PATT also tracks US Government Power Africa Transactions and Partner Power Africa Transactions.



Potential Qualified Power Africa Transactions

These include all sub-Saharan power sector deals, except for coal and nuclear. (These are called “Qualified” Power Africa Transactions). Please note there soon will be additional guidance on large scale hydro, coal, and HFO, but in any respect these particular deals must be approved by the Coordinator’s Office on a case by case basis and/or the host country/regional Mission.

The below provides a step-by-step description on how different categories of transactions are entered into the Power Africa Tracking Tool (PATT). In addition, it allocates responsibility for the timely updating of transactions, and – where applicable – how they are upgraded.

CATEGORY 1: USG PATRP TRANSACTIONS

USG PATRP¹ Transactions are Transactions supported by a PATRP Transaction Advisor. The process of entering such Transactions into PATT is described in Section A below, and the process of upgrading the Transaction to a Classified Active PATRP Transaction is set forth in Section B below.

A. Entry into PATT of an Unclassified Proposed PATRP Transaction

1. The Transaction Advisor in the host country / region completes the New Transaction Template.
2. The Transaction Advisor in the host country / region emails the completed New Transaction Template to the Senior Transaction Advisor (STA)² for approval, with a copy to the Point of Contact (POC) in the host country Mission / Region.

¹ PATRP: Power Africa Transactions and Reforms Program.

² Small scale transactions will be processed by the Small Scale Renewable Energy (SSRE) Advisor and all references to ‘Senior Transaction Advisor’ in this memo should be construed accordingly.

3. Upon approval by the Senior Transaction Advisor, the STA notifies the PATT Deputy Project Manager (DPM)³ with a copy to the PATRP Deputy Chief of Party (DCOP) and PATT PM to include the new PATRP Transaction as an Unclassified Proposed PATRP Transaction in PATT.
 4. Upon entry by the PATT DPM of the new Unclassified Proposed PATRP Transaction in PATT, the PATT automatically notifies⁴ the Mission POC, Senior Transaction Advisor, the Transaction Advisor in the host country / region, the Power Africa Country Desk Officer (CDO), PATRP E&S Specialist, M&E Specialist and the DCOP via email that the new PATRP Transaction has been entered into PATT as an Unclassified Proposed PATRP Transaction. If the Transaction involves a Private Sector Partner, the Relationship Manager (RM) also will receive a notification.
- B. Upgrading an Unclassified Proposed PATRP Transaction to a Classified Active PATRP Transaction**
1. The Transaction Advisor in the host country / region prepares a supporting memo and an edited PATRP Qualified Transactions Assistance Tool (QTAT) checklist / filter showing the relevant Power Africa supporting features applicable to the particular Transaction.
 2. The Transaction Advisor in the host country / region emails the supporting memo and edited QTAT to the POC in the host country Mission / Region for approval, with a copy to the Senior Transaction Advisor and DCOP.
 3. Upon approval by the host country Mission / Region, the Transaction Advisor in the host country and/or region emails the approval to the STA. PATRP Transactions awaiting approval from Missions for more than 14 days will be flagged to the Coordinator's Office and the PATRP COR by the PATT Management Team.
 4. The Transaction Advisor with copy to the STA and the PATRP DCOP advises the PATT DPM to upgrade the Unclassified Proposed PATRP Transaction to a Classified Active PATRP Transaction in PATT.
 5. Upon upgrading by the PATT DPM of the Unclassified Proposed PATRP Transaction to a Classified Active PATRP Transaction in PATT, the PATT automatically notifies the Mission POC, Senior Transaction Advisor, the Transaction Advisor in the host country / region PATRP E&S Specialist, M&E Specialist and the PATRP DCOP via email that the Unclassified Proposed PATRP Transaction has been upgraded in PATT to a Classified Active PATRP Transaction.
 6. PATT Updates: Transaction Advisors with the assistance of the Pretoria PATT Management Team will update Transactions in PATT weekly or sooner upon significant changes in the status of the Transaction.

CATEGORY 2: USG AGENCY TRANSACTIONS (non PATRP)

USG Transactions are Transactions not involving a PATRP Transaction Advisor but supported by USG Agencies. USG Agencies in PATT are characterized as either USG Transaction Agencies (*i.e.*, MCC, OPIC, USADF, USAID, US Ex-Im, and USTDA) or USG Non-Transaction Agencies (*i.e.*, Agriculture, Commerce, DOE, Peace Corps, State, Treasury, DOD, and USACE). The process of entering such Transactions into PATT is described in Section A below.

³ The PATT Project Manager and Deputy Project Manager are positions under the PATRP contract (Mr. Blessing Muvuti PM & Ms. Vicki Ndlovu Deputy PM).

⁴ All notifications are automated through PATT. RMs associated with Private Sector Partners, CDOs, and Missions will receive emails from PATT when Transactions are entered and/or edited.

A. Entry into PATT as a Classified Active USG Transaction

1. The USG Agency edits the USG and Partner Pre-Screening Tool (PST) and completes the New Transaction Template⁵.
2. The USG Agency notifies the PATT DPM and the DCOP of the new Transaction by emailing the completed New Transaction Template, and the edited USG and Partner PST.
3. The DPM notifies the Senior Transaction Advisor, Transaction Advisor in the host country / region (if there is one), and the Mission POC of the new Transaction by emailing the completed New Transaction Template.
4. The PATT DPM enters the new Transaction in PATT as an Unclassified Proposed Transaction. With no objections from the TA, STA, or Mission POC, the transaction becomes a Classified Active Transaction supported by a USG Transaction Agency or a USG Non-Transaction Agency after two days.
5. Upon entry by the PATT DPM of the new Classified Active USG Transaction in PATT, the PATT automatically notifies the USG Agency, Mission POC, CDO, DCOP, Senior Transaction Advisor, PATRP E&S Specialist, M&E Specialist and the Transaction Advisor in the host country / region via email that the new USG Transaction has been entered into PATT as a Classified Active USG Transaction supported by a USG Transaction Agency or a USG Non-Transaction Agency. If the Transaction involves a Private Sector Partner the RM also will receive a notification.
6. PATT Updates: The USG Agency with the assistance of the PATT Management Team will update Transactions in PATT quarterly or sooner upon significant changes in the status of the Transaction.

CATEGORY 3: COUNTRY DESK OFFICERS (CDO), MISSIONS, COORDINATOR'S OFFICE (CO), & OTHER AGENCIES/PARTNERS IDENTIFIED TRANSACTIONS

CDO, Missions, CO, and Other Agencies/Partners (Originating POC) Identified Transactions are Transactions not involving a PATRP Transaction Advisor or directly supported by the USG or Partners but identified as a transaction for situational awareness and potential engagement. The process of entering such Transactions into PATT is described in Section A below.

A. Entry into PATT as an Unclassified Proposed USG Transaction

1. The CDO, Missions, CO, Other Agencies/Partners (Originating POC) edits the USG and Partner PST and completes the New Transaction Template.
2. The Originating POC notifies the DPM with copy to the DCOP of the new Transaction by emailing the completed New Transaction Template and edited PST.
3. The PATT DPM notifies the Senior Transaction Advisor and Transaction Advisor in the host country / region (if there is one) and the Mission POC of the new Transaction by emailing the completed New Transaction Template to the Senior Transaction Advisor and Transaction Advisor in the host country / region.
4. The PATT DPM enters the new Transaction in PATT as an Unclassified Proposed Transaction.

⁵ When Transactions must be entered without a Template and other required documents, information received from a USG Agency that is not in the New Transaction Template will be entered into PATT only as a Proposed Transaction. The semi complete New Transaction Template and other documents will be returned to the POC for confirmation and updates of the Transaction details. Upon return of the updated Transaction Template and other documents from the POC the Transaction will be changed to an Active Transaction.

5. Upon entry by the PATT DPM of the new Unclassified Proposed Transaction in PATT, the PATT automatically notifies the CDO/CO, Mission POC, DCOP, PATRP E&S Specialist, M&E Specialist, Senior Transaction Advisor, and the Transaction Advisor in the host country / region that the new Transaction has been entered into PATT as an Unclassified Proposed Transaction. If the Transaction involves a Private Sector Partner the RM also will receive a notification.
6. The Transaction will then be reviewed and vetted by a PATRP TA designee editing the PATRP QTAT with a supporting memo that will be sent to the Originating POC showing details of the relevant Power Africa supporting features applicable to the particular Transaction. The procedures applicable to Category 1B--USG PATRP Transactions--Upgrading an Unclassified Proposed PATRP Transaction to a Classified Active PATRP Transaction will then be followed.
7. PATT Updates: The Originating POC with the assistance of the Pretoria PATT Management Team will update Transactions in PATT monthly or sooner upon significant changes in the status of the Transaction. If the Transaction becomes an Active PATRP, USG Agency, or Partner (Private Sector and/or DFI/DDA) Transaction, PATT then will be updated accordingly.

CATEGORY 4: PARTNER TRANSACTIONS — DEVELOPMENT FINANCE INSTITUTIONS (DFIs) & DONOR / DEVELOPMENT AGENCIES (DDAs)

Partner Transactions--DFIs & DDAs-- are Transactions not involving a PATRP Transaction Advisor but supported by a DFI (Development Finance Agency--*e.g.*, AfDB, IFC, World Bank, etc.) or a DDA (Donor and/or Development Agency--*e.g.*, EU, Norway, DFID, SIDA, etc.). The process of entering such Transactions into PATT is described in Section A below.

A. Entry into PATT as a Classified Active Partner Transaction--DFIs & DDAs

1. The DFI or DDA edits the USG and Partner PST and completes the New Transaction Template.
2. The DFI or DDA notifies the PATT DPM and DCOP of the new Transaction by emailing the completed New Transaction Template, and the edited USG and Partner PST.
3. The DPM notifies the Senior Transaction Advisor and the Transaction Advisor in the host country and/or region and the Mission POC of the new Transaction by emailing the completed New Transaction Template to the Senior Transaction Advisor and Transaction Advisor in the host country / region.
4. The PATT DPM enters the new Transaction in PATT as an Unclassified Proposed Transaction. With no objections from the TA, STA, or Mission POC, the transaction becomes a Classified Active Transaction supported by a DFI or a DDA after two days.
5. Upon entry by the PATT DPM of the new Classified Active Partner Transaction in PATT, the PATT automatically notifies the DFI/DDA, CDO, Mission POC, DCOP, Senior Transaction Advisor, E&S Specialist, M&E Specialist and the Transaction Advisor in the host country / region via email that the new Partner Transaction has been entered into PATT as a Classified Active Partner Transaction supported by a DFI or a DDA. If the Transaction involves a Private Sector Partner the RM also will receive a notification.
6. PATT Updates: The DFI/DDA with the assistance of the Pretoria PATT Management team will update Transactions in PATT quarterly or sooner upon significant changes in the status of the Transaction.

CATEGORY 5: PARTNER TRANSACTIONS--PRIVATE SECTOR

Partner Transactions--Private Sector-- are Transactions not involving a PATRP Transaction Advisor but supported by a Private Sector Partner--*e.g.*, Developers / Sponsors, EPC Firms, Private Equity /

Debt Providers, etc. The process of entering such Transactions into PATT is described in Section A below.

A. Entry into PATT as a Classified Active Partner Transaction--Private Sector

1. The Relationship Manager (RM) of the Private Sector Partner edits the USG and Partner PST and completes the New Transaction Template showing the relevant Power Africa supporting features applicable to the particular Transaction.
2. The RM notifies the PATT DPM and DCOP of the new Transaction by emailing the completed New Transaction Template, and the edited PST.
3. The PATT DPM notifies the Senior Transaction Advisor and the Transaction Advisor in the host country / region and the Mission POC of the new Transaction by emailing the New Transaction Template to the Senior Transaction Advisor and Transaction Advisor in the host country / region.
4. The PATT DPM enters the new Transaction in PATT as an Unclassified Proposed Transaction. With no objections from the TA, STA, or Mission POC, the transaction becomes a Classified Active Transaction supported by a Private Sector Partner, Developer / Sponsor, EPC Firm, Private Equity / Debt Provider, etc. after two days.
5. Upon entry by the PATT DPM of the new Classified Active Private Sector Partner Transaction in PATT, the PATT automatically notifies the RM, CDO, Mission POC, DCOP, Senior Transaction Advisor, E&S Specialist, M&E Specialist, and the Transaction Advisor in the host country / region via email that the new Private Sector Partner Transaction has been entered into PATT as a Classified Active Private Sector Partner Transaction supported by a Developer / Sponsor, EPC Firm, Private Equity / Debt Provider, etc.
6. PATT Updates: The RM with the assistance of the PATT Management Team will update Transactions in PATT monthly or sooner upon significant changes in the status of the Transaction.