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THEORY OF CHANGE & RESULTS FRAMEWORK

Power Africa Senior Advisor Group Programme

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COOPERATIVE AGREEMENT # AID-623-A-14-00001

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I. POWER AFRICA AND THE SENIOR ADVISORS GROUP PROGRAMME

Launched in 2013 by the U.S. Government, the Power Africa Initiative aims to achieve two ambitious targets to expand access to power across sub-Saharan Africa by 2030: to increase installed power capacity by 30,000 MW, and to create 60 million new connections. To guide public and private sector partners towards achieving these targets, a Roadmap was developed outlining three strategic pillars which are key to accelerating energy transactions, and strengthening the enabling environment and investment climate in Africa's energy sectors: Generation, Connections and Unlocking Energy Sector Potential.

The Electrify Africa Act of 2015, which solidifies the U.S. Government's commitment to promoting access to power and increasing generation capacity in Africa, further complements these strategic areas. Furthermore, in February 2018, the U.S. Government presented Power Africa 2.0, an updated strategy of the initiative. While the overall scope and targets of the initiative have been confirmed, the strategy prioritizes distribution and transmission of power, and improving the enabling environment for power sector development.

The Tony Blair Institute for Global Change (TBI) works to strengthen governance in sub-Saharan Africa by working directly with African leaders and their administrations. On March 6, 2014, USAID and AGI (now TBI) signed a Cooperative Agreement #AID-623-A-14-00001 to establish a Senior Advisors Group programme to support and advise the political leadership of select Power Africa countries, as they navigate the challenges of power sector reforms.

The Agreement outlines 5 programme objectives:

1. Identify, recruit and prepare Senior Advisors and working-level resources supporting Senior Advisor engagements;
2. Scope system needs and reform constraints to develop the Work Plan for the joint support of Senior Advisors and working-level resources supporting Senior Advisor engagements; and keep the Work Plan updated to ensure Senior Advisors Group support continues to be best targeted to achieve programme results;
3. Implement the Work Plan through providing trusted advice to Government leaders and senior officials to support them to successfully plan and implement major power sector reforms;
4. Monitor and report on performance and impact, and gather and share lessons learned; and
5. Coordinate the programme and ensure it remains joined up with the wider Power Africa initiative.

Following discussions between AGI/TBI¹ and USAID on how to best deliver the full potential value of the programme to the benefit of the broader Power Africa initiative and its partner governments, it was agreed to modify Cooperative Agreement in 2016. In essence, the proposed amendments seek to adjust the initial plans and model of support to fit the expanded footprint of Power Africa and to factor in lessons learnt since the start of the programme, to enable the programme to cover a broader set of countries (than the initial 3 focus countries), and to allow for a more flexible and responsive approach.

Under this new model, TBI Senior Advisors can be deployed in all countries benefiting from support from Power Africa and its partners, when there is a clear rationale for Senior Advisor engagement to help the Government advance specific reforms, development plans or projects.

¹ On 1 December 2016, the Tony Blair Institute for Global Change (TBI) was incorporated. As of 1 March 2017, all assets relating to the Power Africa Senior Advisor Group programme were transferred from the Africa Governance Initiative (AGI) to TBI, as documented in the novation agreement between USAID, TBI and AGI.

TBI will respond to needs, identified in close dialogue with USAID, through several forms of working-level support that could include Resident Advisors embedded full-time in local Governments and regional institutions, Regional Advisors supporting Senior Advisors engagements across a portfolio of countries, or short- to mid-term mobilisation of experts.

At the end of 2017, it was agreed to extend the Cooperative Agreement for 12 months, until March 1, 2019.

2. MEASURING AND MANAGING PROGRAMME PERFORMANCE

The Performance Monitoring and Management Plan (PMP), agreed by USAID and TBI, has been the basis of the programme's results management mechanism. The plan outlines the approach taken to track and evaluate the progress, results and impact of the programme. It builds on 4 key components: AGI's Theory of Change, results frameworks, stories of change and annual independent external evaluations. Guided by the PMP, the results management practiced by the programme so far mainly relies on annual work plans, developed in close consultation with USAID, and annual and quarterly reports submitted to the AOR.

In light of the Power Africa 2.0 strategy and the increased emphasis placed on enabling environment for power sector development in Sub-Saharan Africa, this document seeks to consolidate and articulate the programme's strategy and results management approach, and document achieved and future, targeted results of the programme. This document will complement the PMP and put forward alternative measuring and learning mechanisms to replace some of the approaches suggested in the PMP (external evaluations to be replaced by a peer review exercise).

This document is divided into 3 sub-sections:

- Theory of Change
- Results Framework
- Measuring and Learning Components

2.1. THEORY OF CHANGE

TBI has developed a basic 'Theory of Change' model to explain the approach adopted by the Power Africa Senior Advisors Group (PA-SAG) programme when working with Governments and other key stakeholders on power sector development and reform in focus countries and regional zones within the broader Power Africa initiative.

This model has been developed as programmatic areas of support have become clearer and workstreams have been consolidated. It is important to note that the 'Theory of Change' is a dynamic model and, therefore, needs to be refined over time, as the in-country and regional contexts, and programme's approach to these contexts change.

The model can be divided into four levels:

Level I: Goal

Level I specifies the overarching, long-term goal of the programme:

- The broader goal is to strengthen the enabling environment of the power sector and build effective sector governance that attracts and accelerates private investment into the sector, enabling increased power generation and accessibility.

Level 2: Intermediate outcomes²

Level 2 focuses on the intermediate outcomes that contribute to achieving the desired goal across the focus countries and regions:

- Strong, clear and transparent legal and regulatory frameworks and procurement processes are functioning effectively.
- Integrated power sector planning prioritises optimal energy mix and expanding access, with consideration to development goals.
- Functioning financial ecosystem is established to enable companies to invest in power generation and expansion projects.
- Strong, regional institutions are supported to facilitate and enhance cross-border electricity trade and regional integration.

It is important to note that not all outcomes are to be achieved in all focus countries and regions. Rather, the programme may focus on a select set of outcomes in a given country or region, in line with Government and regional priorities. A set of outcome-level targets have been identified for each country or region. These targets will be presented in the PA-SAG Work Plan to be shared with USAID in March 2018.

Level 3: Activities

Level 3 focuses on the type of activities that will lead to the intermediate outcomes identified in Level 2:

Governance challenges that prevent power sector development and reform are identified and analysed. To address these governance challenges, the main barriers are determined and assessed. Key decision-makers and influencers in the power sector are then identified, their motivations assessed and engagement activities developed. Our Advisors provide support to select key decision-makers and influencers to develop and implement politically feasible pathways to address governance challenges in the power sector.

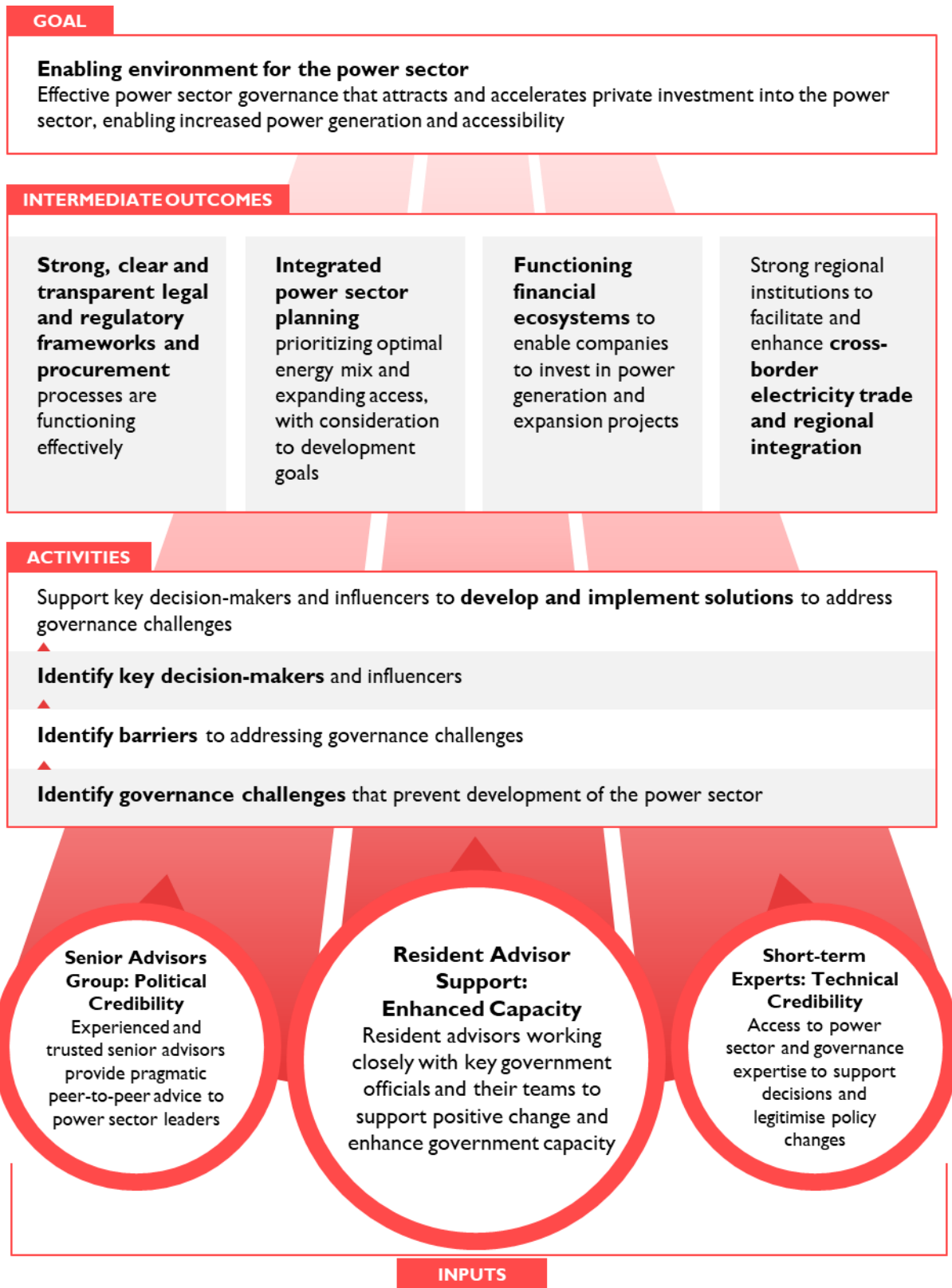
Level 4: Inputs

Level 4 focuses on the types of resources that are required to undertake the activities: Resident Advisors working closely with key Government officials and their teams to support positive change and enhance Government capacity is the main component of the programme's model of support. In compliment to their work, the Resident Advisors leverage experienced members of the Senior Advisors Group who provide pragmatic, pragmatic, peer-to-peer advice to power sector leaders. Resident Advisors also work with short-term, technical experts who have specialised power sector and governance expertise to support decisions and legitimise policy changes.

Below a visual representation of the 'Theory of Change' is presented which illustrates all four levels as described above.

² Intermediate outcomes represent the outcomes of core areas of support provided to government counterparts. The programme may also provide ad-hoc support and advice on broader enabling environment issues, such as institutional capacity-building and sector coordination, but they will not be discussed here in detail.

Figure 1: Theory of Change



2.2. RESULTS FRAMEWORK

The Results Framework complements the ‘Theory of Change’ by specifying the key success criteria of each element in the ‘Theory of Change’, and identifying the measurement and learning components that provide evidence of the programme’s successful implementation and lessons to be learnt.

Table 1: Results Framework

TOC ELEMENT	KEY SUCCESS CRITERIA	MEASUREMENT AND LEARNING COMPONENTS
GOAL		
PA-SAG contributes to strengthening the enabling environment for power sector development and reform at country and regional levels (Pillar 3).	<ul style="list-style-type: none"> Power sector development and reforms are introduced and adopted at country and regional levels, contributing to effective power sector governance. 	<ul style="list-style-type: none"> Annual Work Plan and Reporting Data collection and contribution to Power Africa wide-indicators Senior Advisor engagement reports Most significant change Work stream tracking Expert peer review Other sources: <ul style="list-style-type: none"> Government and private/NGO sector data/studies (including other PA analysis)
Power sector governance reform supports increased investment in generation, transmission and distribution (Pillar 1).	<ul style="list-style-type: none"> Direct power sector investments linked to PA-SAG supported strategies, structures and policies (including via other PA initiatives supported by PA-SAG); Private sector is more positive about future investment in the power sector, as a result of PA-SAG supported strategies, structures and policies; Actual investments have been made or committed by the private sector. 	<ul style="list-style-type: none"> Annual Work Plan and Reporting Data collection and contribution to Power Africa wide-indicators Senior Advisor engagement reports Most significant change Work stream tracking Expert peer review Other sources: <ul style="list-style-type: none"> Government and private/NGO sector data/studies (including other PA analysis)
Power sector governance supports increased reliability and accessibility to underserved populations (Pillar 2).	<ul style="list-style-type: none"> Direct increase in access to power linked to PA-SAG supported strategies, structures and policies (including via other PA initiatives supported by PA-SAG); Strategies, structures and policies in place that support increased access to power in future; Actual increase in connections and generation capacity. 	<ul style="list-style-type: none"> Annual Work Plan and Reporting Data collection and contribution to Power Africa wide-indicators Senior Advisor engagement reports Most significant change Work stream tracking Expert peer review Other sources:

		<ul style="list-style-type: none"> ○ Government and private/NGO sector data/studies (including other PA analysis)
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OUTCOMES		
<p>○1: Legal and regulatory frameworks and procurement processes</p>	<ul style="list-style-type: none"> • Strong, clear and transparent legal and regulatory frameworks and procurement processes are functioning effectively. 	<ul style="list-style-type: none"> • Annual Work Plan and Reporting • Data collection and contribution to Power Africa wide-indicators • Senior Advisor engagement reports • Most significant change • Work stream tracking
<p>○2: Integrated power sector planning</p>	<ul style="list-style-type: none"> • Integrated power sector planning prioritizes optimal energy mix and expanding access, with consideration to development goals. 	<ul style="list-style-type: none"> • Annual Work Plan and Reporting • Data collection and contribution to Power Africa wide-indicators • Senior Advisor engagement reports • Most significant change • Work stream tracking • Expert peer review
<p>○3: Financial ecosystems for power generation and connections</p>	<ul style="list-style-type: none"> • Functioning financial ecosystem is established to enable companies to invest in power generation and expansion projects. 	<ul style="list-style-type: none"> • Annual Work Plan and Reporting • Data collection and contribution to Power Africa wide-indicators • Senior Advisor engagement reports • Most significant change • Work stream tracking • Expert peer review
<p>○4: Cross-border electricity trade and regional integration</p>	<ul style="list-style-type: none"> • Strong, regional institutions are supported to facilitate and enhance cross-border electricity trade and regional integration. 	<ul style="list-style-type: none"> • Annual Work Plan and Reporting • Data collection and contribution to Power Africa wide-indicators • Senior Advisor engagement reports • Most significant change • Work stream tracking • Expert peer review

INPUTS		
Senior Advisors Group	<ul style="list-style-type: none"> • Key stakeholders value Senior Advisors engagement 	<ul style="list-style-type: none"> • Annual Work Plan and Reporting • Data collection and contribution to Power Africa wide-indicators • Senior Advisor engagement reports • Most significant change • Work stream tracking • Expert peer review
Resident advisory support	<ul style="list-style-type: none"> • Resident advisory support is valued by key stakeholders. 	<ul style="list-style-type: none"> • Annual Work Plan and Reporting • Data collection and contribution to Power Africa wide-indicators • Senior Advisor engagement reports • Most significant change • Work stream tracking • Expert peer review
Short-term, technical experts	<ul style="list-style-type: none"> • Short-term, technical experts are available, as needed. • Outputs from technical experts are valued and used. 	<ul style="list-style-type: none"> • Annual Work Plan and Reporting • Data collection and contribution to Power Africa wide-indicators • Senior Advisor engagement reports • Most significant change • Work stream tracking • Expert peer review

2.3. MEASUREMENT AND LEARNING COMPONENTS

The following six components are designed to provide evidence of the successful implementation of the 'Theory of Change' and identify ways in which PA-SAG and related interventions can be more effective in the future.

Annual work plans, and annual and quarterly Reports

The most important component of the results framework is the Annual Work Plan against which the programme reports on a quarterly and annual basis. Developed in close consultation with USAID, the plan describes the programme's scope of work for a 12-month period, covering planned workstreams and expected outcomes for the focus countries and regions. Changes in the programme's scope of work are reflected in an updated work plan which is shared with USAID.

Quarterly reports describe the progress and challenges in achieving the desired outcomes in the previous quarter and discuss significant activities planned for the next three months. It also documents the progress against the 5 programme objectives, as outlined in the Cooperative Agreement. Annual reports, on the other hand, summarise programme achievements of the fiscal year, building on key information shared in the quarterly reports, and highlighting most significant change or success stories.

Data collection and contribution to Power Africa-wide indicators

Three performance indicators are tracked and reported to USAID on a quarterly and annual basis. They aim to track the impact the programme has on improving the legal, policy and regulatory environment to support sector governance, cleaner and sustainable systems, and private sector investment, in correspondence to Power Africa's enabling environment principles, and broader monitoring and evaluation efforts.

The following internal framework has been developed and used to collate inputs from advisors and report on indicators:

Table 2: Power Africa indicators

	INDICATOR 1 - Number of policy reforms/laws/regulations/administrative procedures drafted and presented for public/stakeholder consultation to enhance sector governance		INDICATOR 2 - Number of reforms/laws/regulations/administrative procedures drafted and presented for public/stakeholder consultation to enhance facilitate private sector participation and competitive markets as a result of USG assistance		INDICATOR 3 - Number of energy sector laws, policies, strategies, plans or regulations officially revised, adopted or implemented as a result of USG assistance that encourage investment in clean and cleaner, small scale and off-grid options, and/or support gender integration in the energy sector.		TOTAL	
	Last Quarter (Q1 2018)	Programme start – Q4 2017	Last Quarter (Q1 2018)	Programme start – Q4 2017	Last Quarter (Q1 2018)	Programme start – Q4 2017	Last Quarter (Q1 2018)	Programme start – Q4 2017
EAPP								
WAPP								
Sierra Leone								
Liberia								
Rwanda								
Nigeria								
Guinea								
Senegal								
TOTAL								

Senior Advisor engagement reports

Following a Senior Advisor engagement in a given country or region, an engagement report is drafted to summarise:

- Objectives of the engagement
- Areas of support and key outcomes of the engagement
- Proposed follow-up activities

Engagement reports seek to provide insights into the value placed by stakeholders on Senior Advisor engagements, and to detail key governance challenges faced by a given country or region, and the programme's contribution to finding politically feasible pathways to address barriers to power sector development and reform.

Key information provided in the engagement reports will feed into quarterly and annual reports shared with USAID.

Most significant change

This component builds on existing quarterly reporting of progress and lessons learnt to identify how and in what context the most significant changes are achieved. In-country Resident Advisors collectively agree on 1-2 stories of the most significant changes that have been achieved in or through their interventions. The stories should describe how the change was achieved and how it contributes to programme goals. TBI aims to share 1-2 most significant change stories with USAID in the next 12 months.

Workstream tracking

Workstream tracking is a new measurement and learning component. This component will be measured through a workstream tracking spreadsheet that maps activities to:

- Power Africa enabling environment principles and outcomes;
- Challenges to be addressed and their severity;
- Barriers to addressing the challenges;
- Key stakeholders;
- Identified 'politically feasible pathways' to addressing barriers;
- Wider initiatives and collaborations (including wider Power Africa initiatives and USG Agency and Development partner activities);
- Progress against overall and interim objectives.

The spreadsheet will be updated monthly by Resident Advisors and reported quarterly to the coordination team in London. Key information provided in the spreadsheet will be summarised in quarterly reports sent to USAID.

Expert peer review

To evaluate the programme's performance and progress, TBI proposes to conduct an Expert Peer Review, as an alternative approach to an external evaluation.

A group of peer reviewers, which can include power sector and country experts drawn from the programme's expert pool, will be identified to review key programme-related documents and provide challenge and confidence at the country and regional levels.

Reviewers can focus on the following aspects, among others:

- the right challenges, barriers and stakeholders have been identified;
- PA-SAG's understanding of politically feasible pathways is reasonable;
- PA-SAG's understanding of its impact on specific strategies, structures and policies, and overall enabling environment is reasonable.

The review can potentially be conducted in September 2018, building on the expert peer reviewers' knowledge of the sector and/or country/regional context, and on documentation provided by the programme. Thereafter, a written report, summarising key observations and recommendations, can be drafted and submitted by October 2018.