

**CUTS/AusAID Partnership Discussions for the
Sustainable Development Investment Strategy (SDIS)**

Outcomes from the Meetings
<ul style="list-style-type: none">❖ Clarity on the overall approach of Portfolio Investment grounded in the Sustainable Development Investment Strategy.❖ Formation of Partnership Agreement between CUTS and AusAID. Both the parties will sign the agreement by the end of September 2013.❖ The overall time frame of the partnership agreement between CUTS and AusAID is 33 months.❖ The first phase of agreement will be for 9 months, second phase for 12 months and the third phase for 12 months.❖ The first phase of SDIS will involve committed research activities by CUTS. The objective is to understand the conditions necessary for additional concerns related to social, economic and environmental dimension of sustainable development in South Asia particularly in respect to water, food and energy security.❖ The second phase will involve research as well as advocacy. The objective is to understand the conditions from the research and what can be the possible pathways to address those necessary conditions?❖ In the third phase the objective is to understand the ground realities about the state of affairs and how this program has affected those state of affairs?❖ There is a cut on the grant by AusAID to CUTS for the first phase of partnership agreement.❖ Final Concept Note to be submitted by CUTS to AusAID by the first week of October 2013.❖ The Aid from AusAID to be received by CUTS by the third week of October 2013.❖ First Inception Meeting to be held in Kathmandu, Nepal on February 2014.❖ The Annual Dialogue to be held somewhere around September 2014.❖ First Review Meeting (semi-formal) between CUTS and AusAID to be held somewhere before Christmas 2013. Partnership Working Report (PWG) to be presented in this meeting by both the parties.❖ The tentative budget for the first Annual Dialogue is estimated around \$50000.❖ For the major four responsibilities of CUTS International for the SDIS project, CUTS will allocate 50 percent of its total grant received on the first responsibility followed by 20 percent for second, 15 percent for third and 15 percent for the fourth responsibility.

Overview of the meeting that held on 9.9.2013

Venue-CITEE Conference Room

Time-2:00 PM to 5:00 PM

The general objective of this session was to make the representatives of AusAID aware about CUTS International and its functional areas. In all, a holistic view of CUTS International was presented to the Australian representatives. They were made aware about the working structure of CUTS, functional departments under CUTS and

the projects that CUTS is undertaking presently. More emphasis was made on the advocacy and networking approach of CUTS.

- The session started off with an introduction note by Mr Bipul Chatterjee (Deputy Director, CUTS) who welcomed the guests from Australia.
- This was followed by a brief introduction of CUTS employees and AusAID representative [Stuart Kinsella (Program Manager); Kate Hayes (SDIS Portfolio Advisor)]
- After reflecting on the CUTS work in Africa and other countries the session ended with an open house for queries from both side of the parties.

Overview of the meeting that held on 10.9.2013

Venue-CITEE Conference Room

Time-2:00 PM to 4:30 PM

The aim of the meeting was to have an in-depth discussion on the Portfolio Investment Approach in Sustainable Development Investment Strategy. Queries from both the side of stakeholders were addressed in this workshop. The role of CUTS and AusAid for the Sustainable Development Investment Strategy (SDIS) project was made clear.

- Questions were addressed by the CUTS officials to the AusAid representatives on the nature of projects that AusAID is funding throughout the world and whether they have funded a project based on sustainable development with respect to water, food and energy security in any other region previously? AusAID representatives replied that this project is one of its own kind and the first project they are funding for the concerned issues in South Asia.
- AusAID further added that the success of SDIS in South Asia, Bangladesh, Pakistan and Maldives will set an example for other funding agencies as well as AusAid to carry out operations of same nature in various other continents.
- The funding approval for the first three years has been secured by AusAID to carry on the operations of the projects. Since the investment strategy has a 12-year time horizon, funding approval has to be achieved by AusAID after every three years.
- Assessment of the success and achievements of the project during the first four year will serve as a benchmark for achieving the funding approval for the next three years and so on.
- AusAID made it clear that the overall approach and objectives of the project will remain the same for the entire investment tenure with some flexibility in terms of long terms and short terms objectives that have been described in the official document.
- AusAID emphasised on the open network framework adopted by them and the significance of their partners' institutional strength.
- AusAID representatives elaborated the role of AusAID as a participating partner in the portfolio and as an administrator for the portfolio.
- BC recommended AusAID to look into various projects that are carried out by different partners donors for minimizing duplication of efforts and repetitive activities.
- CUTS officials recommended various tools, qualitative as well as quantitative, for the measurement of impact evaluation of the SDIS program.
- Various tools like perception analysis, situation analysis, counter factual analysis, double difference approach, et al., were laid down by BC and

Manbar Khadka (Research Associate, CUTS) for the valuation of impact evaluation.

- CUTS also recommended documenting the efforts in a reel and using this documentary as a tool to see the actual change that has happened due to the SDIS project funded by AusAID.
- CUTS also pointed out the need for bringing SAARC Secretariat into the AusAid journey for the implementation of policy recommendations that comes out through this comprehensive project.
- Reflecting on this issue, CUTS recommended organizing an **Inception Workshop in Kathmandu, Nepal during the month of February 2014.**
- The details of the workshop will be worked out positively by the end of November 2013 by both the parties in partnership.
- Emphasising the need of political support for CUTS, CUTS recommended inviting the **SAARC Secretary General** in the **Inception Meeting.**
- CUTS also suggested that one of the topics of discussion for the inception meeting should be on the regional connectivity pillar; AusAID will be very clear about this issue, especially with the World Bank.
- CUTS officials also asked AusAID representatives for getting CUTS directly in touch with other partners in the project so that CUTS can use the right kind of network mix for overall efficiency in operations.
- Highlighting the same issue, Joseph George (JG) recommend organizing a meeting where all the concerned partners in the SDIS project can come together for sharing their views. This will help all the partners to establish the right kind of network mix and augment the synergy between the partners as well.
- The session ended with an open house for queries from both side of the parties.

Overview of the meeting that held on 12.9.2013

Venue-CITEE Conference Room

Time-10:00 AM to 5:00 PM

The main objective of the session was to build understanding of each other's organisations and approaches; Achieve clarity on the roles and responsibilities of CUTS/AUSAID; Develop a common understanding of the SDIS Partnering Approach; Jointly develop a document describing the agreed partnership and management arrangements for CUTS/AUSAID.

- The session started off with a brief introduction round and welcoming the new entrant from AusAID-Ryan Thew (1st Secretary AusAID, New Delhi). This was followed up by a concise synoptic description of the highlights from the yesterday's session.
- Document titled "SDIS: CUTS and IOD PARC Roles and Responsibilities" was presented to all the session members and it clearly included the roles and responsibilities of CUTS and IOD PARC for SDIS.
- Julie Mundy (Independent Partnership Specialist) took the session forward by introducing the session members to the world of partnership and the model AusAID is going to follow with CUTS for the SDIS project.
- The collaboration of AusAID with CUTS is a move away from the traditional approach to the partnership approach. In such an approach both the parties work in harmony with each other and perform their function and duties

independently irrespective of the nature of partnership. The agreement is a non-legally binding document.

- Following questions were raised by Julie, which were addressed by both the parties, for better understanding of the overall partnership agreement between CUTS and AusAID- Background/Context; Guiding Principles and values; Purpose of the Partnership document; Rationale for the partnership, Partnership goals and objectives (SIDS objectives, CUTS objectives, AusAID objectives); Roles and responsibilities of each partner; Partner Expectations of each other behaviour; Contribution of each partner to the partnership.
- Question pertaining to the definition of South Asia as per AusAID were raised by CUTS officials-AusAID representatives replied South Asia includes India, Bangladesh, Pakistan, Nepal, Bhutan, Sri Lanka and Maldives.
- Manab Chakraborty (CUTS Consultant) also raised the question on how AusAID will prioritize the sustainable development objectives of food, energy and water security in South Asia.
- The rest of the session was devoted for the formation of partnership agreement between CUTS and AusAID. Julie jotted down all the nitty gritty that came out from the discussion between the two parties in partnership.
- One of the major concerns for CUTS was the issue related to government in Australia and how what impacts will the SDIS have to bear with the change in Australian Government?
- AusAID representatives replied that the risk of dramatic shift in the thinking is probably low and the main essence of the SDIS project will remain the same throughout the tenure of 12 years.
- Questions related to the grants to be received by CUTS from AusAID were also addressed in this session.
- AusAID clearly pointed out that there is a cut in the grant for the first phase of SDIS. Moreover the tranche of aid is likely to be uneven for the three phases of SDIS. How much will be the cut? -Is still to be answered by AusAID.
- CUTS also rose out the matter of exchange rate fluctuations and recommended AusAID to look into the matter very meticulously.
- The session ended with an open house for queries from both side of the parties.

Overview of the meeting that held on 13.9.2013

Venue-CITEE Conference Room

Time-10:00 AM to 5:00 PM

- The session started off with an overview on the reflections from the meeting that happened the previous day.
- Julie Mindy presented the tentative Partnership Agreement of CUTS and AusAID that she had prepared from the discussions held between the parties the day before.
- Both the parties carefully scrutinized the document and they suggested various recommendations and alterations to be made in the partnership agreement.
- CUTS recommended to give some language to the nature of partnership between both the parties.
- Other issues were also raised regarding the goals and objectives of both the parties, partner expectations of each other's behaviour, etc.

- Julie noted down the necessary changes (inclusions and exclusions) to be made in the partnership agreement, after an in-depth discussion by both the parties.
- Freshly prepared Partnership Agreement will be sent to both the parties by Julie Mundy the moment it is properly altered as per the needs of the parties in partnership.
- Questions were raised by CUTS on the Partnership Termination Clause and Intellectual Property Right (IPR) Clause mentioned by AusAID in the grant agreement.
- Both the parties came to a consensus on dispute mechanism and the details of the same can be obtained from the agreement.
- With regards to IPR issue, CUTS stressed upon the ownership right of all the research work that CUTS will come out from the research activities it will carry out for SDIS. CUTS pressed upon the inclusion of standard IPR clause in the grant agreement.
- As per the AusAID law, the IPR right lies with AusAID for any activity it is funding to be carried out irrespective of the parties who have actually come out with the research.
- Highlighting the issue, CUTS came with a very strong point of how it has been dealing with the same issue of IPR with other donors as well.
- AusAID representatives agreed that they will escalate this matter with their legal cell and will come out with the best possible outcome.
- An exercise was done on the possible risks that both the parties see through the course of partnership agreement. The details of the same can be obtained from the final partnership agreement.
- Reflection was made by BC on the overall budget allocations made by AusAID to CUTS.
- CUTS recommended to have quarterly meetings between AusAID and CUTS during the initial phase of SDIS followed by six monthly meeting after a certain period of time.
- CUTS recommended the formation of **Project Advisory Committee (PAC)** as a part of internal CUTS operation.
- CUTS also recommended frequent meetings between the champions of CUTS and AusAID during the first three months of SDIS project.
- CUTS also requested AusAID to provide it with an annual brief report of the activities (done till date) carried out by other portfolio partners in SDIS project.
- BC outlined the draft of the **Concept Note** in the meeting. The contents includes-**Background and Context; Rationale of CUTS involvement; Objectives; Broad overview of the Activities and Methodologies; Broad overview of the Key Deliverables; What are the Expected Outcomes; Sustainability Factor; Project Management; Overall Timeframe; Budget (overall indicative as per the activities).**
- The session ended with a note of thanks by both the parties.

Agenda
CUTS/AusAID Partnership Discussions for the
Sustainable Development Investment Strategy (SDIS)

Participants:

CUTS	Bipul Chatterjee (Deputy Executive Director) Archana Jatkar (Coordinator and Deputy Head, CUTS CITEE) Suresh Prasad Singh (Policy Analyst) Joseph George (Policy Analyst) Ram Kumar Jha (Policy Analyst) Veena Vidyadharan (Policy Analyst) Purna Chandra Jena (Assistant Policy Analyst) Manbar Khadka (Research Associate) Neha Jain (Research Assistant) Akshat Mishra (Research Assistant) Prashant Sharma (Programme Officer) Prithviraj Nath (Consultant) Manab Chakraborty (Consultant)
AusAID	Claire Ireland (Program Director, South Asia Regional), Ryan Thew (1 st Secretary, New Delhi) Stuart Kinsella (Program Manager) - will not attend workshop Kate Hayes (SDIS Portfolio Advisor) Julian Gayforth (SDIS M&E Advisor, IOD Parc)
Facilitator	Julie Mundy (Independent Partnerships Specialist)
Location:	CUTS Head Office, Jaipur

Pre-Workshop preparation

Monday 9th September

2.00pm Overview of CUTS broader work (Bipul and colleagues, Stuart and Kate)

Tuesday 10th September

1.00pm Briefing and discussion with CUTS on AusAID's SDIS (AusAID: Stuart Kinsella and Kate Hayes, Julie Mundy (observer))

Wednesday 11th September

Time tba by CUTS Julie to meet with CUTS (Bipul) to review agenda and discuss any questions or concerns about the workshop

SDIS Partnering Workshop

OBJECTIVES OF THE WORKSHOP

- **Build understanding of each other's organisations and approaches**

- **Achieve clarity on the roles and responsibilities of CUTS/AUSAID**
- **Develop a common understanding of the SDIS Partnering Approach**
- **Jointly develop a document describing the agreed partnership and management arrangements for CUTS/AUSAID**

Thursday 12th September:

Morning session: Context and Intent

9:30 – 10:00 **Outline SDIS objectives and clarify the portfolio investment approach** and how CUTS fits into SDIS (Claire)

- Claire/Ryan to respond to any questions arising from Stuart Kinsella and Kate Hayes meetings with CUTS on SDIS

10:00-12:30 **Monitoring and Evaluation Discussion**

M&E Approach for SDIS

Roles and responsibilities (CUTS, IOD Parc, AusAID)

12:30 – 1:30 *Lunch*

1:30 – 3:30 **Training and discussion on AusAID’s partnership approach for SDIS**

Partnering Principles and Frameworks (Julie)

Theoretical framework for the partnering model being used, with lots of opportunities for questions and discussion to see how this fits with CUTS own partnership approach. This is a presentation and discussion session and may be suitable for a wider audience within CUTS who will be working on SDIS if there is interest.

Doing business differently in a partnership (Julie)

Consideration of how the partnership under SDIS may be different to a more traditional donor-implementer relationship and how this might change the way we do business if we are using a more genuine partnership model, focusing on the examples of designing a partnership agreement, and reviewing and revising a partnership.

Developing our Partnering/management arrangements

3:30-4:00 ***Where are we headed?***

AusAID and ACIAR’s shared and individual objectives (benefits) for the partnership?

4:00 – 4:30 **Resources and contributions**

Identifying what each partner brings to the partnership

4:30-5:00 **Expectations of each other (partner behaviours)**

(Julie to capture today’s discussions into a draft document overnight)

Evening: **Dinner with Pradeep Mehta, Secretary General of CUTS (Jaipur Club)**

**Friday 13th September:
Designing the partnership**

- 9:00 – 9:30 Questions or issues from yesterday?
Presentation of draft document developed on Thursday
- 9:30 – 10:00 **Risks** – What are the risks to CUTS and AusAID of this partnership approach, including risk management strategies where appropriate
- 10:30 – 11:30 **Partnership Communications**, including IP and branding
- 11:30 – 12:30 **Partnership Governance Arrangements** (Including dispute resolution)
- 12:30 – 1:30 Lunch*
- 1:30 – 2:00 **Partnership Performance Management** – How will each partner know the partnership is successful (Success Indicators for the partnership)?
- 2:00 – 5:00 Jointly drafting a Partnering arrangements document (building on the draft document)