

## **Operational Strategy Note**

### **Competition Reforms in Key Markets for Enhancing Social & Economic Welfare in Developing Countries (CREW Project)**

CUTS International

**October, 2014**

## Table of Contents

<b>1. Introduction .....</b>	<b>2</b>
1.1 Background .....	2
1.2 About the Project.....	3
<b>2. Project Management .....</b>	<b>12</b>
2.1 Project Team .....	12
2.2 Project Advisory Committee .....	16
2.3 Country Partner Organisation.....	18
2.4 Development Partners .....	20
2.5 Co-ordination Mechanism .....	22
2.6 Monitoring & Review .....	27
2.7 Risk Management .....	29
2.8 Financial Management.....	32
<b>3. Project Activities.....</b>	<b>34</b>
3.1 Implementation Plan .....	34
3.2 GANTT Chart .....	43
3.3 CREW Activities Overview .....	48
<b>4 Description of Phase-I Activities.....</b>	<b>50</b>
4.1 Inception & Initiation of project .....	50
4.2 Opening Meeting and Fact Finding Mission .....	51
4.3 Composition of NRG & NRG-1.....	51
4.4 Diagnostic Country Report (DCR) development .....	51
<b>5. Description of Phase-II Activities.....</b>	<b>54</b>
5.1 Framework for Competition Promotion .....	54
5.2 Country Impact Reports .....	58
<b>6. Dissemination &amp; Dialogues .....</b>	<b>58</b>
6.1 National level .....	58
6.2 Regional level.....	59
6.3 International Level .....	59
<b>7 Capacity Building.....</b>	<b>61</b>
7.1 National Orientation Workshops .....	61
<b>8. Sustainability &amp; Spin-offs.....</b>	<b>61</b>

## 1. Introduction

### 1.1 Background

1.1.1 The process of competition enforcement is fairly weak across many developing countries, and needs to be strengthened to ensure that competition reforms lead to measurable and demonstrable welfare gains. Developing and least developed countries are faced with resource constraints, and policymakers need to make difficult choices/decisions while allocating scarce resources between various functions. For resources to be made available to undertake competition reforms in developing countries, it is necessary that benefits from competitive markets on consumers and producers are properly demonstrated to policymakers (and development partners as well). However, there is lack of a comprehensive approach for measuring such benefits.

1.1.2 Over the last fifteen years or so, Consumer Unity & Trust Society (CUTS) has amassed considerable ground-level experience of implementing competition policy projects in nearly thirty countries of Africa and Asia. It is this experience and contact with experts, practitioners and other stakeholders that motivated CUTS to address the above challenge through. Pursuing this goal, CUTS developed a project entitled, ***Competition Reforms in Key Markets for Enhancing Social and Economic Welfare in Developing Countries (CREW project)***, and has initiated its implementation since November 2012 with support from the Department for International Development (DFID), UK and BMZ, Germany through GIZ, Germany. This project to be implemented over a period of three years across four developing/least developed countries, is expected to lead the development of approach(es) that would help developing country policymakers better understand the benefits of competition reforms for consumers and producers.

1.1.3 CUTS envisage that the CREW project would be implemented in three distinct phases. The first phase would be dedicated to reviewing existing literature and identifying key indicators that can help assess the impact of competition reforms on consumers and producers. Certain enabling factors would also be identified in this phase. In the second phase, CUTS in cooperation with experienced international organisation(s) would develop frameworks for competition promotion (an approach to promote competition in select

developing country markets and assess their impacts on consumers and producers). Finally, in the third phase, this approach would be validated by applying it in micro-locations in the selected developing countries, for fine tuning and finalisation.

1.1.4 This document (Operational Strategy Note, or OSN) would act as a ready reference for members of the CREW project implementation team and others involved with this project, and help in effective implementation, management and reporting of the project.

1.15 The OSN would be a dynamic document and shall be updated periodically to reflect the refinements and alterations as the project gets implemented.

## 1.2 About the Project

1.2.1 CUTS has used the *Theory of Change (ToC)*<sup>1</sup> to establish the link between component of an ideal competition reforms process with its ultimate goal of achieving social welfare and economic prosperity (refer Fig 1 below). *It starts with a process of consensus and awareness generation which can then help improve stakeholders' capacity to gather evidence and use it to influence/refine policy and practices, leading to the emergence of competitive markets which is conducive for producers and eventually culminates in greater access and lower prices of goods and services for consumers.* This ToC framework provides the overarching approach for planning, designing and monitoring the progress of competition reforms in a country and its anticipated outcomes/impacts. This should guide national policymakers and stakeholders in designing a comprehensive competition reforms strategy that helps achieve social and economic objectives in developing countries. It should, however, be borne in mind that this is an ideal process and could take countries generations to achieve. However, this should be kept in the background, when national policymakers and politicians plan the process of economic reforms and endeavour to execute them.

---

<sup>1</sup>**Theory of Change (ToC):** Theory of Change is a rigorous yet participatory process whereby groups and project stakeholders identify the conditions they believe have to unfold for their long-term goals to be met. These conditions are modelled as outcomes, arranged graphically in a causal framework (source: [www.theoryofchange.org](http://www.theoryofchange.org)).



1.2.2 Certain key elements from the above-mentioned Theory of Change (ToC) framework were drawn to develop the operational framework of the CREW project, by CUTS. Positive changes in the nature of competition/market reforms as envisaged under the CREW project are likely to happen in the stages (analogous to those of the ToC), as explained below. This has been constructed keeping in view certain ‘baselines’ and ‘assumptions’ that are explained in Table (below).

**Stage I:** Existing evidence of the impacts on beneficiaries of competition reforms is compiled and reviewed

**Stage II:** New evidence is gathered about specific (social and economic) impacts of fair competition in key sectors to strengthen the evidence base

**Stage III:** The sum of evidence, intervention experience and stakeholder feedback is used to formulate new tools to capture/measure impacts on beneficiaries (consumers and producers)

**Stage IV:** Effectiveness of such tools in promoting fair competition and facilitating positive impacts on beneficiaries is shared (through real cases/illustrations) with key actors in government, civil society and business community

**Stage V:** Various advocacy and public information activities are undertaken to build the ground swell for stakeholders to demand national competition reforms, in a way that it leads to positive impacts on the ultimate beneficiaries

**Stage VI:** Government and other relevant stakeholders join hands to develop the construct of a national competition reforms process, and incorporates a monitoring and evaluation framework (drawing from the above-mentioned tools) to assess impacts of the process over the course of its implementation

Stages	Baseline	Project Activities	Assumptions
Existing evidence of the impacts on beneficiaries of competition reforms is compiled and reviewed	Some information about <i>impacts</i> of competition in specific developing country markets on consumers and producers exists, however in a scattered manner. Critical review of such	Review of relevant literature, availably globally  Development of a background paper and discussions at the launch meeting with experts and PAC members	Such information is available and can be collated for developing the approach for assessing impacts of competition in

Stages	Baseline	Project Activities	Assumptions
	information is necessary to identify common features of effective competition reforms (especially with regards to impacts on beneficiaries).	An approach for analysing impacts of competition on beneficiaries is evolved	developing countries  Situation in the project countries allow the application of the approach in them
New evidence is gathered about specific (social and economic) impacts of fair competition in key sectors to strengthen the evidence base	Low stakeholder understanding about elements of an effective competition regime exists among developing country consumers and producers. External factors have considerable influence on the process of competition reforms in developing countries and need to be taken into consideration, while embarking on reforms	Research and analysis of evidence from select developing country markets (using a common methodology) is undertaken  Collation of <i>common findings</i> and its refinement is done	The evidence has quantifiable attributes, so that the impact can be measured easily
The sum of evidence, intervention experience and stakeholder feedback is used to formulate new tools to capture/measure impacts on beneficiaries (consumers and producers)	Process of competition reforms in developing countries is often undertaken <i>ad-hoc</i> , in response to high external pressures. Very few developing countries have embarked on a systematic competition reforms process. This is due to low-priority and push from the policy community and little	<i>Framework for Competition Promotion</i> (FCP) developed for specific markets, taking into consideration the above findings  Feedback from national stakeholders are gathered to fine-tune these FCPs  FCPs are tools that would help countries to promote	Adequate evidence is generated to develop the FCPs  It is possible to integrate a M&E framework in the FCPs, without making them too complex for application in

Stages	Baseline	Project Activities	Assumptions
	or no stakeholder demand.	<p>competition in a specific sector (in such a manner that is beneficial to consumers and producers) and contain an inbuilt monitoring and evaluation system to check its impact on the beneficiaries</p> <p>Assessment of enabling factors is undertaken to bolster understanding about elements of the supportive environment needed for promoting a fair and effective competition regime</p>	<p>sectors</p> <p>Policymakers and other relevant stakeholders engage meaningfully with the project</p>
Effectiveness of such tools in promoting fair competition and facilitating positive impacts on beneficiaries is shared (through real cases/illustrations) with key actors in government, civil society and business community	<p>Developing country policymakers don't consider competition reforms as a priority, given their task of allocating scarce resources for reforms.</p> <p>There is lack of clarity that 'competition reforms is a means to an end, and not an end in itself'. Fair competition in key sectors can benefit consumers and producers directly.</p>	<p>Research is undertaken to identify how lack of competition in specific markets and anti-competitive practices in some of them affect consumers and producers</p> <p>Such information is used through various means to raise the demand for embarking on systematic process of promoting competition in these markets</p>	<p>Research is able to generate the necessary evidence base for undertaking competition reforms</p> <p>Government and other segments of the policy community provide support</p>
Various advocacy and public information activities are undertaken to build	- Do -	Focussed dialogues are organised with policymakers to share the evidence of the effect of the prevailing state of	Stakeholders are able to engage with the government and



Stages	Baseline	Project Activities	Assumptions
the ground swell for stakeholders to demand national competition reforms, in a way that it leads to positive impacts on the ultimate beneficiaries		<p>competition in the selected markets and demand government's intervention</p> <p>Such information is also used to embark on a media campaign to mobilise public support and opinion</p> <p>Meetings between government and business community are also held to discuss the best way forward</p> <p>Other country-specific activities are undertaken to promote competition in key markets for positive impacts on consumers and producers</p>	<p>raise their voice for competition reforms</p> <p>Enough pressure/demand is exerted within the life of this project to develop the necessary ground-swell</p>
Government and other relevant stakeholders join hands to develop the construct of a national competition reforms process, and incorporates a monitoring and evaluation framework (drawing from the above-mentioned tools) to assess impacts of the process over the course of its implementation	Involvement of all relevant stakeholders is a key to promoting public policy reforms, including competition reforms	Impacts achieved in project countries is analysed and used to consolidate the process further	The project is able to convince policymakers of the need to promote competition in the interest of the beneficiaries

1.2.3 CUTS shall implement this project in **three broad phases: (i) Diagnostic phase (ii) Design phase** and **(iii) Validation phase**.

- The **first phase (diagnostic phase)** has been implemented with the aim of gathering evidence (through research and discussions with key actors) in Ghana, India, The Philippines and Zambia to understand the impacts that competition reforms has had on consumers and producers in the bus transport and staple food sectors in these countries, and extract indicators of those impacts. Further, existing competition concerns would be identified to explore the scope of future/prospective reforms.
- In the **second phase (design phase)**, experience from the first stage would be incorporated to develop a comprehensive toolkit to guide competition/market reforms in **two markets**. This toolkit would take into consideration challenges in developing and least developed countries for its application.
- In the **final phase (validation phase)**, CUTS would apply this approach in a few micro-locations in the **four project countries** to assess its robustness and do the necessary fine-tuning before finalisation. Dissemination within and outside the four countries would also be done to generate demand for its application/replication elsewhere.

1.2.4 Specifically, the CREW project would aim to achieve the following goal and objectives. In the process, certain outputs would be generated to realise the ultimate outcome as enumerated below:

#### **Goal**

To better demonstrate measurable benefits for developing country consumers and producers from an effective competition policy and law regime, for ensuring long-term support for competition reforms.

#### **Objectives**

- To enhance international understanding of the benefits from, and best practices in, effectively implementing competition regimes in developing countries

- To develop and test a methodology (with indicators) for assessing the efficacy of competition regimes in achieving impacts on developing country consumers and producers
- To advocate for greater importance to competition policy and law issues in the national development agenda to national stakeholders and international
- To sustain the momentum on fast-tracking competition reforms, gained from stakeholder awareness, understanding about the benefits and participation in related process in developing countries

### **Outputs**

- Documented evidence of social and economic benefits from competitive markets
- Dialogues and discussions with and among multiple stakeholders on benefits from competitive markets
- Strategy for capacity building of competition agencies and/or sectoral regulators in DCs on competition enforcement
- Development of a framework that guides the process of competition reforms in key markets and help measure the impacts thereof
- Generate demand from other (non-project) countries and markets for incorporating the lessons learnt

### **Outcome**

Greater attention and impetus for competition reforms in key markets of developing countries, resulting in benefits for consumers and producers

### **Countries and Sectors**

1.2.5 The CREW project is being implemented in the following four countries: **India, The Philippines, Zambia and Ghana**. Two sectors that this project is examining are: **Staple Food (a staple food item has been identified in each of the countries<sup>2</sup>)** and **Passenger Transport**. A discussion of the criteria used for selecting these countries and the sectors is provided in the CREW Background Paper prepared by Nathan Associates.<sup>3</sup> In the final analysis of project countries, special consideration was given to the presence of an experienced research organisation for implementing a technical project like this. This was the reason that The

<sup>2</sup>Ghana & Zambia – Maize; India – Wheat; AND The Philippines – Rice

<sup>3</sup> Background Paper is available at: <http://www.cuts-ccier.org/CREW/pdf/Background-Paper.pdf>

Philippines was selected ahead of Indonesia as a project country. Further, given the nature of the project and its emphasis on ordinary consumers and producers, it was realised that the staple food sector should be one of the two sectors to be looked at along with passenger transport.

**1.2.6 Definition of Key Terms:** Some of the key terms related to the project have been defined below:

**(a) Competition Reforms:** The project has derived a working definition of competition reforms as an aggregate of the following components: (i) Enabling **government policies** designed to facilitate a level playing field (fair competition) in a sector, (ii) Well-designed **regulatory framework**, adequately resourced **regulatory institutions & effective actions** for promoting fair competition in a sector, (iii) Well defined **competition legislation** and effective **enforcement mechanisms**. Five elements of competition reform to be focused in this project include: **Policies, Laws, Statutory Instruments, Sectoral Programs and Practices**

**(b) Consumer Welfare:** Effect of competition reforms on consumer welfare would be examined using the following indicators: (i) **Access:** Goods and services reach consumers in areas where they were not available earlier, (ii) **Quality/Price:** Good quality goods and services are available for consumers without any appreciable changes in prices of such good/services, (iii) **Choice:** New firms/products enter otherwise 'concentrated' markets, for the benefit of consumers, (iv) **Price:** Prices are reduced in a 'contestable market' to the relief of consumers, (v) **Time savings** by consumers

**(c) Producer Welfare:** Effect of competition reforms on producer welfare would be assessed using the following indicators: (i) **Access to essential services:** Firms can easily access infrastructure networks, etc., (ii) **Free movement of goods and services:** Mobility not affected by policies, practices (inputs & outputs), (iii) **Predictability of regulatory actions:** Legislations enforced by autonomous yet accountable institutions, (iv) **Cost savings:** Effective implementation of strategies to reduce costs, e.g. improved application of ICT tools, (v) **Fair market processes:**

Easy entry and exit in markets; considerable ‘ease of doing business’, (vi) **Level-playing field**: principle of ‘competitive neutrality’ observed, (vii) **Transparency in market**: Well laid out policies and predictable implementation processes (market regulators).

(d) Consumer and Producer Welfare in the two sectors (staple food and passenger transport) is defined in the matrix below:

	<b><u>Staple Food</u></b>	<b><u>Passenger Transport</u></b>
<b><u>Consumer Welfare</u></b>	Availability of good quality staple food at right prices for ordinary consumers	Availability of good quality transport services to ordinary consumers at right prices within city (intra-city) to get to workplace, markets, college/university on a daily basis & also on busy inter-city routes
<b><u>Producer Welfare</u></b>	Participation of private entities in procurement, storage and distribution of staple food and how they benefit  Right price and fair terms for producers (and their groups) in : both inputs and outputs markets	Ease of entry of ‘new players’ (an operator) in a specific geographic market for providing such services  Fare and terms of service in case of Inter-city Transport services for small traders travelling to nearest market town to sell their produce

## 2. Project Management

### 2.1 Project Team

#### 2.1.1 **Senior Project Personnel**

(a) **Project Director**: Pradeep S Mehta, Secretary General, CUTS International

##### **Roles:**

- Provide overall guidance and direction for the implementation of the project;
- Share the experience/lessons learnt from this project at high-level meetings/platforms on global competition issues;
- Suggest names of PAC members, and link them with the project team;

- Help the project establish key contacts at the international level, and be the *ambassador* of the project

(b) Project Co-ordinator: Rijit Sengupta, Director, CUTS International

**Roles:**

- (e) Take directions from the Project Director for implementing the project
- (f) Maintain a close working relationship with the project Advisers, and seek their guidance when necessary
- (g) Develop the OSN for the project, and periodically update the same
- (h) Manage the overall project implementation process, and lead the Project Team. Work closely with the Core Researchers and the Project Officers, under the guidance of the Project Director
- (i) Participate in activities in project countries and work closely with the partner organisations, and other entities in the project countries
- (j) Finalise the National Reference Group (NRG) members in countries, from the list provided by partners. Get the necessary guidance for their engagement in project activities from the project Director
- (k) Maintain close link with the PAC members and other key stakeholders in the countries. Seek guidance from the Project Director and/or Project Advisers on this
- (l) Lead the CREW implementation team responsible for managing activities of the partners (develop partnerships and monitor their performance), and maintain close contact with them
- (m) Be the main point of contact for the donors, and maintain close working relation with them
- (n) Have close engagement with the Finance & Admin department of CUTS. The F&A department would manage the finance/budget of the project

(c) Core Researcher: Cornelius Dube, Economist, CUTS International + Nathan Associates Researchers (Pooja Pokhrel, Ram Tamara & Kristen Harkins)

**Roles:**

- Be responsible for undertaking all the necessary research work to be done at the level of CUTS.
- One of them to be responsible for overseeing the research work being undertaken in the African countries and the other for Asian countries
- Under the guidance of the Project Director & External Project Advisers, undertake the necessary literature review and other activities in the preparatory phase
- Review and complement the work of the Partner Associate organisation in the build-up to the inception meeting, especially for finalising the background paper
- Work hand-in-hand with (and be readily available for assisting) the country partner organisations in undertaking all research activities, linking it with the ultimate goal of the project and the anticipated outcomes. This should be done in close coordination with CUTS
- Prepare research reports, briefs, etc. as and when necessary. Review research products prepared by the partners and/or other entities in relation to the project

### **2.1.2 External Project Advisors**

#### **(i) Frederic Jenny, Professor, ESSEC Business School, France**

Fred Jenny is former Judge of the French Supreme Court (*Cour de Cassation*) and Chairman of the OECD Competition Law and Policy Committee. He was closely involved in the establishment of Competition Authority in France and later became its Vice-President. He is internationally recognised for his work in the competition policy and law, both in the developed and developing countries.

#### **(ii) Rughvir Shyam Khemani, Principal, MICRA, USA**

Shyam Khemani was until recently the Adviser on Competition Policy in the World Bank (USA). Over the years, he has also advised various countries on competition policy matters, including India. In India, he served as an Advisor to the Chairman of the *Raghavan Committee* that set in motion the modern competition regime in the country. He specialises

in complex competition and regulatory matters and has worked in a senior position in the Canadian Competition agency for a while.

### **2.1.3 Role of External Project Advisors:**

CUTS is very fortunate to have two stalwarts on competition policy issues as Advisers in this project and to work closely with the rest of the project team. CUTS expects them to play a key role in technical oversight of the project, among other, by:

- Pointing out relevant techniques, methods, etc. that can be employed in the CREW project
- Guiding the team in developing terms of references of the reports, etc.
- Advising the researchers on sources of useful information
- Securing useful reports, data and information over the course of the project
- Helping draft and re-draft parts of the various project reports/papers
- Playing an active role in outreach of the project, in their respective personnel capacities
- Getting involved as resource persons in capacity building activities of the project
- Drafting the synthesis report of the project

### **2.1.4 Project Associate Organisations**

An international organisation/think-tank, which has experience in undertaking research in markets/sectors by using quantitative/analytical methods need to be associated in the project as a 'project associate organisation'. This organisation would provide technical inputs drawing elements from tasks undertaken by them or by other international organisations. CUTS was able to engage Nathan Associates (<http://www.nathaninc.com/>) in this capacity, for carrying out the following functions:

- (i) Provide research support throughout the life of the project (over three years) and work closely as part of the project team
- (ii) Develop certain key deliverables of the project (viz., a background paper, two sectoral Framework for Competition Promotion and country impact reports) under the overall guidance of the Advisers, and in close contact with the rest of the project team
- (iii) Advise the country partners and researchers in the process of undertaking research especially the Diagnostic Country Report.



- (iv) Maintain close working relations with CUTS and be available for project-related visits and events (to the extent possible)
- (v) Suggest methods/approaches that the project team can derive/adapt for can be relevant for the CREW project

CUTS has entered into a contract with Nathan Associates for carrying out the above functions for a certain consideration.

## 2.2 Project Advisory Committee

2.2.1 A group of experts/scholars/practitioners have been identified to act as members of the Project Advisory Committee (PAC) on the basis of CUTS long-lasting interactions with them and being aware of their experience and expertise. One of the main criteria for their selection was our assessment of their potential contribution to enrich this project. It is envisaged that the CREW PAC will comprise of 10-12 members<sup>4</sup>.

2.2.2 Members of the Project Advisory Committee would meet at regular intervals to review the progress of the project. Two physical meetings would be held each year. One of them would be on the side-lines of international conferences scheduled under CREW (three international conferences would be held under the CREW project, one every year: inception meeting, partners meeting, final conference). The other Project Advisory Committee meeting would be organised on the side-lines of other (annual) international conferences on competition policy and law, where a critical mass of the Project Advisory Committee members would be present (e.g., UNCTAD Inter-Governmental Group of Experts on Competition Policy & Law, OECD Global Competition Forum, etc.)

2.2.3 The process of selecting the PAC members would (among others) be based on the following criteria:

- Considerable knowledge (senior academician) and/or practice (experience of working in a competition agency) on competition policy and law issues, especially with an active interest in developing countries (if possible)

---

<sup>4</sup> The list of PAC members is available at: [http://www.cuts-ccier.org/crew/Advisory\\_Committee.htm](http://www.cuts-ccier.org/crew/Advisory_Committee.htm)

- Representatives from regional authorities and/or international agencies with a mandate to work on competition policy and law issues in the countries/regions
- Representatives of the donor agencies supporting the project
- Officials who have an interest in CUTS work, and are able to dedicate some time for participating in project activities/events
- A good gender balance is maintained in the PAC
- Some linkage between the PAC and the National Reference Group<sup>5</sup> (NRG) may be established

2.2.4 Some of the specific roles to be played by the Project Advisory Committee members would include:

- Play a lead role in quality control of the project outputs – this would include consultation with them on the outline and methodology for developing the country-specific Diagnostic Country Reports (DCR); process for developing the FCP and use of the FCP in undertaking research in the third phase
- Provide guidance to CUTS for finalising the project countries
- Advise the project team about the choice of markets/sectors for inclusion in the project
- Advise the team on strategic issues pertaining to implementation of the project in the project countries
- Suggest ways to address challenges faced in achieving some of the crucial project outcomes
- Participate in project meetings when requested by CUTS and be able to speak and/or make a presentation on a relevant topic in such meetings
- Be available for participating in the PAC (physical) meetings. Two PAC physical meetings would be held each year. One of them would be on the side-lines of international conferences scheduled under CREW (three international conferences would be held under the CREW project, one every year: inception meeting, partners meeting, final conference). The other PAC

---

<sup>5</sup>National Reference Group is a group of key national stakeholders which will help execute the project locally in project countries. The details of nature, scope and functions of the Group have been explained under sub-sections 2.3.3 and 2.5.3

meeting would be organised on the side-lines of other (annual) international conferences on competition policy and law, where a critical mass of the PAC members would be present (e.g., UNCTAD Inter-Governmental Group of Experts on Competition Policy & Law, OECD Global Competition Forum, etc.)

- Review progress reports of the CREW project and provide prompt comments/feedback. Also be available over SKYPE and/or telephone to discuss these comments, etc. with the project team
- Input/comment on advocacy, capacity building and outreach related activities of the project
- Act as a resource person in capacity building events
- Assist the project team in enhancing the visibility of the project within key institutions and countries (non-project), especially in the region they are located or are most familiar with
- Be the ambassadors of the project and spread word around about its findings, etc
- Help the project team secure relevant information, data, literature, etc. and also connect with key individuals (in project countries and outside) and institutions.

## 2.3 Country Partner Organisation

2.3.1 Activities would be implemented in the ***four project countries***. Given the intensity of the project activities and the coherence required across project countries to achieve the ultimate objectives, it is important that the overall process of project implementation is harmonious across the countries.

2.3.2 CUTS would identify local institutions/organisations in each of the project countries, and through individual contractual<sup>6</sup> partnership engage them in coordinating the country-specific activities. Such local institutions/ organisations will be the **Country Partner Organisation** of the respective country and will be nodal point of contact for country level project implementation. While, some of these activities would be undertaken by the

---

<sup>6</sup>For the purpose of this project, the term contract means Memorandum of Understanding annexed with Terms of Reference

coordinating country partner organisation, others would be done by specific entities (e.g., government departments/agencies, competition agencies, sector regulators, business chambers, media organisations, etc.), referred to as **National Entities**, in cooperation with the coordinating partner. Country-specific approaches for implementing the project would be developed through consultations between CUTS and the partner organisation. There should be enough flexibility to develop an implementation system that best suits the country and is able to ensure buy-in and traction of the project findings.

2.3.3 To undertake the research activities in the two sectors (staple food and passenger transport), **Sector Expert(s)** would be identified in each country. If the partner organisations don't have such internal experts, external experts would be attached to the partner organisation. Further, CUTS and the partner organisation would also identify the **National Reference Group** (NRG) members, which will be key senior officials from the relevant government Ministries/agencies, and engage them in providing strategic inputs/information/reports/data for undertaking the research and other activities. Such close engagement of these relevant ministries would also ensure easier uptake of the project findings in the countries. Guided by CUTS, the coordinating country partner would manage activities to be undertaken by these external entities and be responsible for carrying them out effectively and in a timely manner.

2.3.4A number of CSOs have been engaged by CUTS over the years in undertaking competition policy projects (who CUTS have remained in constant through the network called *INCSOC* and otherwise). CUTS would select country coordinating partner from its institutional memory, or on the basis of advice it would receive from PAC members. CUTS would enter into MoU with each of the coordinating country-specific partner organisations, specifying the schedule of activities, the expected deliverables and the consideration thereof.

2.3.5 The four country partners and their role are enumerated in the table below:

<u>Sl. No</u>	<u>Country</u>	<u>Country Partner Organization</u>	<u>Sector Expert</u>	<u>Role</u>
1.	India	CUTS International Jaipur +	Passenger Transport: Siva	➤ Oversee/manage the process of implementation

		IndicusAnalytics	Sriraman  Staple Food: V.C. Mathur	of the project activities in the countries.  ➤ Identification of members of a multi-stakeholder group of experts and practitioners referred to as the National Reference Group (NRG) in consultation with CUTS.
2.	The Philippines	Philippine Institute for Development Studies (PIDS)+ Action for Economic Reforms (AER)	Passenger Transport: Sonny Domingo  Staple Food: Roehlano Briones	
3.	Zambia	CUTS Lusaka+ Zambia Institute for Policy Analysis & Research (ZIPAR)	Passenger Transport: Robert Mtonga  Staple Food: Kelvin Mulungu and John Ng'ombe	➤ Prepare the Diagnostic Country Report (DCR) themselves or through sector experts  ➤ Associate different national entities for undertaking certain country-specific activities in various phases
4.	Ghana	Institute of Statistical, Social and Economic Research (ISSER)	Passenger Transport: Paulina Agyekum  Staple Food: Patricia Aidam and Felix Asante	➤ Gather Stakeholder feedback on Framework for Competition Promotion (FCP) through emails and personal interviews  ➤ Direct engagement in the Validation Phase (research, outreach and advocacy activities)

## 2.4 Development Partners

2.4.1 Department for International Development (DFID), UK and BMZ Germany (through GIZ Germany) are the two development partners who have supported this project financially. Apart from their financial support, these development partners would also be have the following roles in the project:

- As members of the Project Advisory Committee (PAC) provide guidance to the process of project implementation;
- Propose names of PAC members

- Be involved in the 'Internal Review' of the project activities, which would be undertaken at the end of each of the first two phases;
- Be involved closely in the process of conducting the 'external evaluation', given their relative advantage of undertaking such evaluations (as compared to CUTS);
- Approving funding subject to satisfactory progress. Remain in close contacts with the CUTS team for reviewing the progress of the project periodically (both programmatic/substantive issues and financial matters).
- Engage their country offices in the project, so that the lessons can be emulated in other markets
- Maintain a mechanism for coordination with other donors, in-terms of their interactions with CUTS, reporting period/requirements, etc.
- Make efforts to elicit interest among other (relevant) donors in project

#### 2.4.2 Contact Persons from the development partners:

- (i) DFID, UK - Tim Green, Growth Team, Growth & Investment Group
- (ii) BMZ, Germany - Johanna Speer, Federal Ministry for Economic Co-operation and Development;
- (iii) GIZ, Germany - Eiko Kauffmann, Adviser, Sustainable Economic Development Department.

#### 2.4.3 Contact persons representing from the two development partners have linked CUTS up with contact persons from their country offices (especially those responsible for programmes having overlaps/links with the CREW sectors), as provided below:

<b><u>Sl. No</u></b>	<b><u>Country</u></b>	<b><u>DFID Contact</u></b>	<b><u>GIZ Contact</u></b>
1	India	(i) Cedrick Schurich	(ii) Ruth Anna Buettner, Programme Director, Consumer Policy & Protection (iii) Poonam Pandey, Programme Officer
2.	The Philippines	None	(i) Frank Tibitanzl: Principal Advisor (ii) SitaZimpel, Technical Advisor

			(iii) Volker Steigerwald: Project Manager, Promotion of Green Economic Development
3.	Zambia	(i) Suzanne Parkin: Private Sector Development Adviser (ii) Clare Harris:	(i) Thomas Schaef, Country Director Zambia/ Zimbabwe, (ii) Mr. Matthias Bresser: Trade Program Advisor
4.	Ghana	(i) Nana Frimpomaa Arhin, Deputy Programme Manager	(ii) Torsten Schlink: Team Leader, Sustainable Economic Development Program (iii) Dr. Paul Schuetz, Head, Market Oriented Agriculture Programme

## 2.5 Co-ordination Mechanism

2.5.1 As indicated above, CUTS would enter into contracts with a **country partner organisation** in each of the four project countries, which would oversee/manage the process of implementation of the project activities in the countries. These country partner organisations would be oriented in a Partners Launch Meeting just after the project Inception Meeting, sharing with them the overall project implementation process (in a nutshell) and especially the Phase-I (Diagnostic Phase) activities. In some countries, (and/ or at certain key instances in the project) CUTS will also engage directly with the sector experts to convey relevant information on project deliverables.

2.5.2 Some of the main tasks of the country partner in the Phase-I would be as follows<sup>7</sup>:

- Conclusion of the partnership agreement with CUTS
- Nomination of a relevant senior level staff to be the nodal person responsible for managing this project on behalf of the partner organisation
- Engaging with sector expert(s) with considerable experience in the staple food and the passenger transport sectors – and involving them in developing the country-specific Diagnostic Country Report (DCR) or provide inputs in the process

<sup>7</sup> The tasks have been explained in detail in the individual contracts of the Country Partners

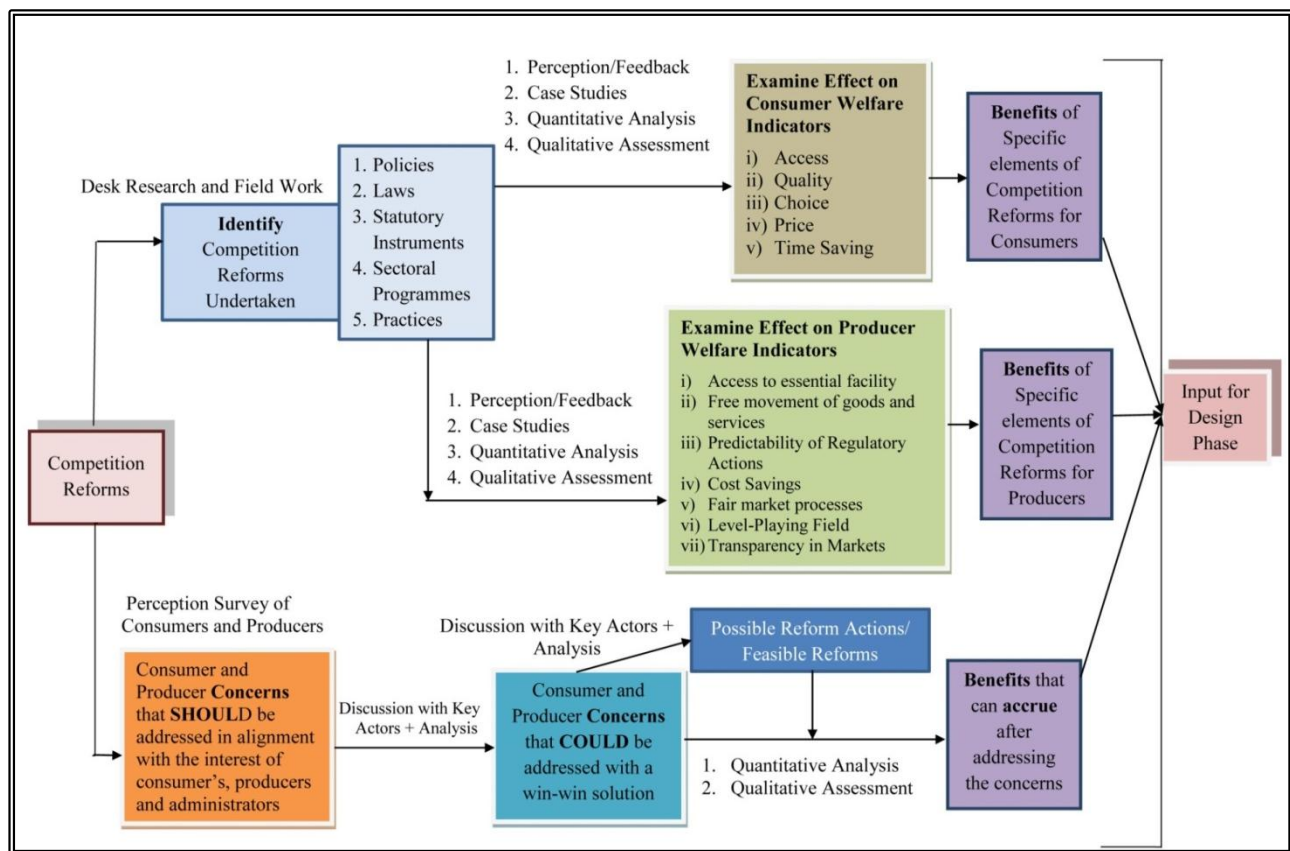
- Identification of members of the NRG and organise periodic meetings of them
- Finalise an implementation plan (involving the relevant actors) for developing the country-specific Diagnostic Country Report (DCR)
- Be in constant touch with CUTS for discussing project activities
- Identify ‘friends’ within each of the relevant government ministries/departments to ensure buy-in from an early stage. These middle/senior level officials from the relevant government agencies would also help the country partner get access to important information, data, reports, etc. that can be used in undertaking research

2.5.3 The NRG members would be carefully chosen by the partner organisation in consultation with CUTS, such that they can provide guidance and support to the process of project implementation in each of the four project countries. The NRG members would also review important project findings, etc. The country partner organisations would draw the experience and understanding of the NRG members, within and outside the NRG meetings. In the first phase, two such meetings of the NRG would be organised. Refer: [www.cuts-ccier.org/CREW/pdf/Note\\_About\\_NRG\\_CREW.pdf](http://www.cuts-ccier.org/CREW/pdf/Note_About_NRG_CREW.pdf), which provides an overall brief about the composition and role of the NRG members. This note is sent to the NRG members while establishing contacts with them and for inviting them to the NRG.

2.5.4 The country partner would prepare the Diagnostic Country Report (either themselves and/or engaging other experts/national institutions) in the Phase-I. These DCRs would act as an input for the next phase (Design Phase). Common elements from each of the four DCRs would be synthesised by CUTS project team into a ‘Discussion Paper’ that would be used as input for preparing the sectoral FCPs (two sectors). The conceptual framework of the Phase-I is provided below. It presents an overall explanation of the methodology that would be followed in all the countries for developing the DCR.



**Figure: Conceptual Framework of Phase-I**



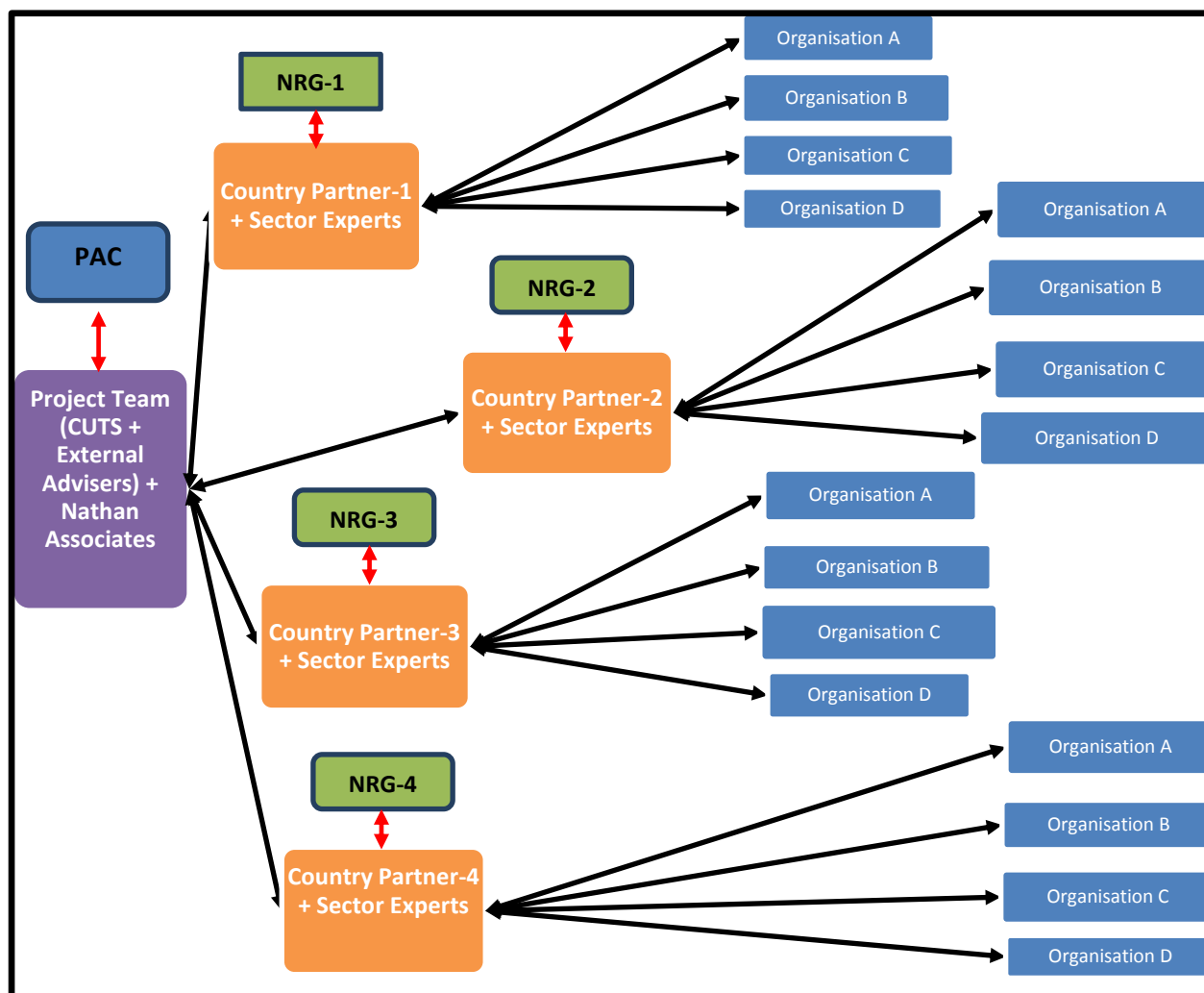
2.5.5 The country partner would associate different *national entities*<sup>8</sup> (e.g. government departments/agencies, competition agencies, sector regulators, business chambers, media organisations, etc.), for undertaking certain country-specific activities in the various phases of this project. While in the first and second phases, their involvement with the project would be through the NRG meetings and contributions towards development of different components of each of these two phases, their engagement in the third phase (Validation Phase) would be more direct. In the validation phase (which includes research, outreach and advocacy activities) – specific national entities that are specialists in each of these areas would be involved by the CUTS project team.

2.5.6 The mechanism of project coordination has been represented in the diagram below. This figure explains how the various organisations involved with the project implementation

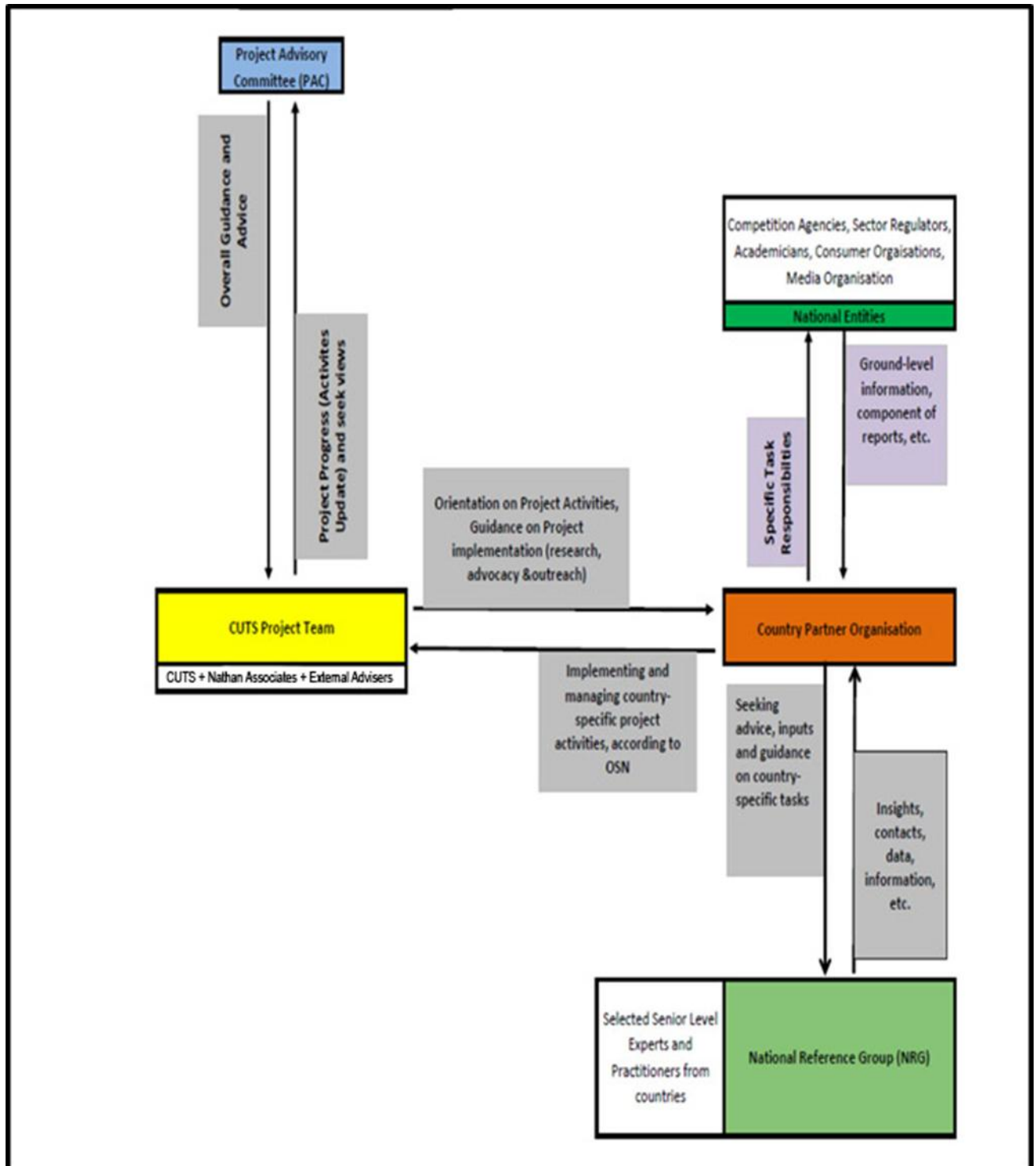
<sup>8</sup>Represented by Organisations A, B, C and D in the below figure

process (CUTS project team, PAC, Country Partner Organisation, NRG and National Entities) would be positioned and connected. A detailed account of the programme logic of Phase-I has been provided in Section 3.3 on page 41.

**Figure: Schematic Presentation of Project Coordination Mechanics**



2.5.7 The figure below elucidates the type of information/data that would be flowing between the various actors in the process of project implementation.



2.5.8 In addition to managing and handling programmatic activities, members of the Project Team at CUTS would also engage closely with the Finance and Administration Team at CUTS, Jaipur for issues pertaining to financial management of the CREW project. The Finance and Administration Team (CUTS) would maintain records of the project expenditures and shall be responsible for preparing periodic financial reports together with the CREW project team. The Finance and Administration Team at CUTS shall also be responsible for overseeing the audit of financial records of this project. Audit of the project would be undertaken by a qualified Audit firm, with experience of having audited similar assignments of CUTS earlier. The Finance and Administration Team (CUTS) would manage the financial records of this project in accordance with certain institutional norms, policies and 'good practices'. CUTS has adopted these policies for maintaining transparency and accountability of its operations.

## **2.6 Monitoring & Review**

2.6.1 As described above, the project would be implemented in three distinct stages. At the end of each stage, the project team would review the achievement of the project internally. This would involve preparation of a brief report by the project team and sharing the same with the PAC, Donors and External Advisers for inputs and comments on the way forward. Important lessons would thus be derived from each stage, and incorporated into the project management process for the subsequent stages.

2.6.2 One of the main tasks of the two External Advisers would be to provide technical oversight to CUTS for implementing this project – and link the project with various other key initiatives that it can draw from. CUTS would maintain a very close working relation with Frederic Jenny and ShyamKhemani, and interact with them regularly over emails, phone and Skype, apart from physical meetings whenever possible.

2.6.3 Once every month, a narrative report would be prepared and shared with the Project Advisory Committee for their comments, etc. CUTS would seek feedback/comments from PAC members around major milestones of the CREW project, especially in terms of robustness of approaches and methods employed, quality of the research findings/outputs, approach for undertaking outreach and advocacy, project management ideas, etc.

2.6.4 CUTS would also share narrative and financial reports with DFID (UK), BMZ (Germany) and GIZ (Germany) as per the reporting requirements laid down in their respective contracts. A close financial review process would be followed within CUTS through internal and external audit processes, as is institutionalised in the organisation. CUTS will also have monthly review discussions with DFID and GIZ nodal officers to take stock of the project progress and address emerging issues (if any).

2.6.5 The project also has an in-built 'external evaluation' to be undertaken by an agency to be appointed by the Development Partners, in consultation with CUTS. Some of the key evaluation questions for the project would be agreed upon subsequently between the donors and the project team, but are expected to be in line with those enumerated below:

- (i) How technically robust are the tools and methods that the project has produced?
- (ii) How useful and appropriate are the project outputs for their intended use?
- (iii) What evidence is there that project outputs have been used by the appropriate bodies to further competition reforms?
- (iv) Have the relevant bodies received the appropriate support and guidance to make use of the project outputs effectively?
- (v) What evidence is there that project outputs have demonstrated replicability and scalability, i.e. non-project bodies have also demanded them?
- (vi) How cost effective has the project been, i.e., how the project has performed against its value for money indicators?

2.6.6 **Value for Money (VfM)**: The VfM indicators that the project would constantly be monitoring and reporting about are as below:

- Administrative expenses (travel and overheads) as a percentage (%) of total expenditure in each phase, viz. (i) Preparatory and Diagnostic, (ii) Design and (iii) Validation;
- Administrative expenses (travel and overheads) per outputs produced in each phase, viz., (i) Preparatory and Diagnostic, (ii) Design and (iii) Validation;

- Applicable programme expenditure (expenses made on research, validation, development of tools and application of tools) in each of the above three phases, as a percentage (%) of total expenditure.

## 2.7 Risk Management

2.7.1 There are various ways by which CUTS envisage managing the risks in this project. Though, it is difficult to enumerate all the risks at this moment and their possible management, the following is a list of some of the main risks and their management. CUTS has used some of the following methods in addressing risks while implementing projects of similar nature and magnitude:

- a) A renowned international Project Advisory Committee would guide the methodology of the project implementation
- b) National Reference Group (NRG) would be identified by Partner Countries in consultation with CUTS (CUTS already have existing NRGs, in some of the countries and would re-constitute them) and engaged with the process of project implementation in each country. This would help enhance the acceptability and local ownership of the project activities
- c) In addition to a set of primary responsibilities, each project team member would also need to handle certain secondary responsibilities. This would help, especially in case of staff turnovers.
- d) It is a practice at CUTS to document all discussions and activities, so that there is an institutional memory which helps when carrying out mid-course corrections; and to counter challenges if project staff leaves the organisation mid-stream.
- e) MoU would be entered into between CUTS and the partner organisations, and these would clearly indicate the responsibilities and deliverables of the partner organisations. In addition to the main partner organisation, CUTS would also keep one or two possible partner organisations in mind over the course of the implementation of the project activities, in case a situation arises when an existing partnership might need to be dissolved with any partner.
- f) Two to three different partners might be engaged by CUTS to carry out different types of activities in each of the project countries (based on their competitive advantages)

- g) The donors supporting this project have already laid down clear-cut and periodic reporting requirements in their respective contracts, which would be complied with.
- h) In addition to external audits, internal audits would also be undertaken in accordance with the requirements laid down by the authorities for management of a project of this nature, (as CUTS has done before in such cases).
- i) There could be cultural problems working in different countries. This may be mitigated by involving local partners and local contractors who understand the local culture very well.
- j) One external risk is corruption in the system of a particular country hindering the progress of the project. This can be mitigated by involving concerned departments as stakeholders and taking up the issue at different forums.
- k) If a key person leaves, CUTS would not let the project implementation process suffer. CUTS has a sufficient number of research and programme staff who would serve as backup and be willing to take up the responsibilities if some key member leaves in between.
- l) Project may be delayed due to dependencies on external parties. This will be avoided by issuing proper Request for Proposal (RFP), a clear and succinct contract and monitoring the subcontractor for progress against timeline.

2.7.2 The project would depend on measures explained in the table below to mitigate risks (strategic, tactical and operational) that may adversely affect the project from deriving the anticipated outcomes.

**Table: CREW Risk Management Strategy**

Risks	Probability of occurrence	Likely impact	Mitigation
Country partners are unable to produce quality research outputs	Low	Medium	CUTS would be closely engaged with the project partners, involving them right from the beginning in designing the outline of the research output(s) and continuously guiding them in the process. Further, two sector experts (one of each sector) would be attached to each country

Risks	Probability of occurrence	Likely impact	Mitigation
			partner for them to get sector-specific information and inputs. Nathan Associates would also help address some of the technical difficulties that the partners may face
Project is unable to elicit support from other key stakeholders (like government departments, regulators, policymakers and business community)	Low	Medium to High	Some of the key stakeholders (the relevant institutions) would be involved in undertaking project activities in partnership with the local partner organisation. This would ensure greater ownership of the project and its outputs. Various efforts would be made right from the beginning of the project to ensure buy-in from relevant government departments and agencies
Low level of interest among policymakers about the project outputs	Medium	Medium	Key actors would be included in the NRGs in each country, especially those who have an advantage of engaging with key policymakers.
Difficulty in obtaining data in the selected sectors	Low	Medium	CUTS has significant work experience and networks in the project countries and will further develop linkages with institutions that can help obtain useful data
Project activities are not completed on time	Low	Low to Medium	A process of review of the activities would be done periodically by the project team. Necessary inputs/resources needed would be facilitated on time for implementation of activities
Departure of key project staff	Low to Medium	Medium	Experienced staff would be available to be engaged, in case this happens
Currency rate fluctuations	Low	Medium	All expenses have been drawn up in Indian Rupees (INR), given that the project would be implemented from India. Provision of



Risks	Probability of occurrence	Likely impact	Mitigation
			contingency funds has been made in the project (budget) to take care of this
Inflation in project countries leading to financial pressures on activities	Low	Low	Provision of contingency funds has been made in the project (budget) to take care of this, in case it is seen that such inflation can significantly impact the project activities
Balancing robustness with practical application issues	Medium	Medium	Inputs from Nathan and Project Advisory Committee would help partners in this regards. The implementation framework would be kept flexible enough to accommodate any improvisation that might be required in order to achieve this.
Toolkit unable to support advocacy activities	Low	Low	CUTS would, in any ways, start the process of dialogues and outreach of the findings of the DCR from early 2014 (just after the diagnostic phase) – so, a ground would have already been created for advocacy and resulting uptake

## 2.8 Financial Management

2.8.1 The Project Team at CUTS would engage closely with the Finance and Administration Team at CUTS for issues pertaining to financial management of the CREW project. The Finance and Administration Team (CUTS) would maintain records of the project expenditures and shall be responsible for preparing periodic financial reports together with the CREW project team. The Finance and Administration Team at CUTS shall also be responsible for overseeing the audit of financial records of this project. Audit of the project would be undertaken by a qualified Audit firm, with experience of having audited similar assignments of CUTS earlier.

2.8.2 There are seven officials in the CUTS Finance department at the Head Office in Jaipur (India). They maintain computerised account of all projects using Tally 9.2 ERP software.

Members of this team would be engaged in the process of financial management of the CREW project, who would use this software and other tools for its management. There is a robust and tested method of accounting for international projects of the nature of CREW that this department has handled before. All vouchers are entered by the Accounts Team in the Finance Department and passed by two senior designated officers. Each cheque issued should be signed by at-least two signatories, with at least one of them at Director or above rank. All payments under any project are recommended by the Project Coordinator/Centre Head and then approved by the Finance Department as per the Project Budget. At the end of each month a Management Information System (MIS) report is prepared and submitted to senior management, which included the Secretary General himself. Internal audit is conducted in the head office every quarter, by a qualified independent and external auditor and the report is submitted to the Executive Director. This report is discussed internally with relevant members of the finance department. At the end of each financial year, a statutory audit is conducted by another independent and qualified auditor, who audits all the accounts and verifies the Balance Sheet (where financial positions of projects managed by head office are reflected).

2.8.3The Finance and Administration Team (CUTS) would manage the financial records of this project in accordance with the above institutionalised process. CUTS has adopted certain policies (e.g., general accounting policy, CUTS procurement policy, CUTS HR policy) for maintaining transparency and accountability of its operations. These policies would be appropriately applied in the CREW project.

### 3. Project Activities

#### 3.1 Implementation Plan<sup>9</sup>

3.1.1 The table below presents an idea of activities to be implemented at different levels by the different entities (CUTS, Associate Partner, Country Partner Organisations) involved in the CREW project, in a month-wise, chronological order. These activities have been constructed in line with the description of the project provided in this proposal, and in accordance with the ToC applicable for the CREW project. However, some flexibility in their implementation (within each of the three phases) may be felt necessary, given the nature of this project.

	Months	CUTS Activities	International Activities	National Level Activities
<b>PREPARATORY</b> <b>(November to March (Year I: 2012-2013))</b>	Nov-Dec, 12	Composition of the Project Team and other start-up activities		
	Dec, 12	Identification of the PAC members		
	Dec, 12- Jan, 13	Preparation of Operational		

<sup>9</sup>This is an updated version of the project implementation plan (as in October, 2014)

	Months	CUTS Activities	International Activities	National Level Activities
		Strategy Note (OSN) <sup>10</sup>		
	Jan-Mar, 13	Preparation of a background paper <sup>11</sup> entitled, <u>Measuring Impacts of Competition Reforms on Developing Country Producers and Consumers – approaches and available tools</u>		
	March, 13		Inception Meeting (Discussions and clarity on elements of the background paper; selection of countries and selection of markets)	
<b>DIAGNOSTIC (April 2013 to Oct 2014)</b>	April-May, 13	Fact Finding Mission (Countries) & Opening Meetings		Fact Finding Mission (Countries) & Opening Meetings
	July-Nov, 13	ToR of DCR	Overall DCR Research Methodology Note	

<sup>10</sup>The OSN is to be periodically reviewed and updated throughout the project period. It is supposed to be a dynamic document and should be updated accordingly

<sup>11</sup>The ‘background paper’ would be prepared by *Project Associate* organisation (international organisation with substantial experience on competition policy and law research and analysis, preferably with developing country experience as well)

	Months	CUTS Activities	International Activities	National Level Activities
	July, 13			NRG-I Meeting <ul style="list-style-type: none"> <li>• Discussion on project, objectives &amp; outcomes</li> <li>• Update on progress of country specific work</li> <li>• Discuss the conceptual framework for Phase I</li> <li>• Discussion on DCR methodology and outline)</li> </ul>
	July - Oct, 13		Review of draft country-specific DCR methodology by PAC and Nathan Associates	<ul style="list-style-type: none"> <li>• Finalisation of Country Specific DCR Methodology</li> <li>• Development of Terms of Reference for country specific DCR</li> </ul>
	Nov, 13		Partners Meeting and PAC II Meeting (for discussion on final ToR of the DCR	

	Months	CUTS Activities	International Activities	National Level Activities
	Dec, 13 – Jan,14	<ul style="list-style-type: none"> <li>• Development of Analytical Matrix for the DCR</li> <li>• Development of structure of DCR</li> </ul>		
	Feb, 14 – March, 14	Internal Review		
	Jan,14 - Oct, 14			Preparation of country-specific draft Diagnostic Reports (impacts, indicators, enabling factors)
	May, 14 - July,14			NRG-II Meetings: <ul style="list-style-type: none"> <li>• Discussion on the Draft DCR</li> <li>• Evidence of benefits from competition reforms and planning its outreach and utilisation in advocacy</li> <li>• Linking the Diagnostic Phase to Design Phase (ToR of FCR– initial thoughts)</li> <li>• Introduction to outline of the FCR</li> </ul>

	Months	CUTS Activities	International Activities	National Level Activities
	Sept, 14 – Oct, 14	Finalisation of DCRs		
<b>DESIGN (May, 14 to Feb, 14)</b>	May, 14 – Nov, 14	Development of draft Framework for Competition Reforms (FCRs for each of the two selected sectors)		<ul style="list-style-type: none"> <li>• Outreach and Advocacy activities</li> <li>• Refinement of FCRs on the basis of feedback from the countries, including, personal interviews with key stakeholders</li> </ul>
	Sept, 14 – Dec, 14	Synthesis of ‘common’ findings from the DCRs and development of a Discussion Paper		
	Oct, 14 – Nov, 14			NRG-III: <ul style="list-style-type: none"> <li>• Discussion of key issues (from the DCR) for advocacy common</li> <li>• Discussion of national advocacy plan</li> </ul>
	Dec, 14	Finalisation of the FCRs (one general and or one for each of the		

	Months	CUTS Activities	International Activities	National Level Activities
		two sectors)		
	Jan, 14 – Feb, 14	Internal review		
<b>VALIDATION</b> <b>(Nov 2014 – Oct 2015)</b>	Nov, 14		Partners' Meeting (discussions on application of FCRs in project countries)	
	Dec, 14 – Jan, 15	Finalisation of FCR application in project		Finalisation of FCR application (country specific)
	Jan, 15 – Feb, 15			NRG-IV <ul style="list-style-type: none"> <li>• Comment/inputs on activities planned for the validation phase</li> <li>• Analysis of feedback from outreach and advocacy activities</li> </ul>
	Jan, 15 – May,			FCR Application ( <u>Research</u> ):



	Months	CUTS Activities	International Activities	National Level Activities
	15			<ul style="list-style-type: none"> <li>• Identification of anti-competitive practices in micro-locations</li> <li>• Analysis of competition distorting policies/regulations in selected micro-locations</li> </ul>
	Jan, 15 – May, 15			<p>FCR Application (<u>Dialogues</u>):</p> <p>(a) Meetings with Parliamentarians and other policymakers (4 meetings/country)</p> <p>(a) Government-Business Forum (2 for a, one for each sector)</p>
	April, 15 – May, 15			<p>NRG-V</p> <ul style="list-style-type: none"> <li>• Sharing of progress of discussions and dialogues</li> <li>• Adjustments in country-specific FCRs</li> </ul>



	Months	CUTS Activities	International Activities	National Level Activities
	Jan, 15 – Aug, 15			FCR Application ( <u>Public information</u> ): (b) Media campaign
	May,15 -Aug, 15			FCR Application (Capacity Building): 2 National Orientation Workshops on the FCP application in each country
	July,15 – Aug, 15			NRG-VI: <ul style="list-style-type: none"> <li>• Presentation about impact of the CREW activities in countries</li> <li>• Plan to sustain the momentum on the ‘competition reforms’ agenda in countries beyond CREW project</li> </ul>

	Months	CUTS Activities	International Activities	National Level Activities
	Jan – Aug, 15	Analysis of impacts <sup>12</sup> in the two sectors (effectiveness of FCRs), ToR and guidance	Analysis of impacts in countries (Country Impact Report)	
	Oct, 15			Final Conference
<b>WRAP-UP (Oct, 2015)</b>	Oct, 15	Wrap-up and Reporting by CUTS		
	November onwards	External Evaluation <sup>13</sup>		

<sup>12</sup>This analysis would be done by CUTS and the *Project Associate* organisation

<sup>13</sup>An activity to be undertaken over a period of six months, after the completion of the project and to managed by the development partner(s)

## 3.2 GANTT Chart

Activity	2012		2013												2014												2015											
	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O		
1. Preparatory Phase																																						
a. Planning Meeting																																						
b. Selection of Countries & Sectors (Note)																																						
c. Operational Strategy Note (draft, and subsequent updation)																																						
d. Formation of PAC																																						
e. Background Paper (Partner Associate Org.)																																						
f. Inception Meeting																																						
2. Diagnostic Phase																																						

Activity	2012		2013												2014												2015											
	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O		
a. Fact Finding Mission (Countries & Opening Meetings)																																						
b. Overall DCR Research Methodology																																						
c. NRG-I Meeting																																						
d. Terms of Reference (ToR) for Country Diagnostic Report																																						
e. Partners Meeting for finalisation of the ToRs																																						
f. Draft Diagnostic Country Report (DCR)																																						
g. Internal review <sup>14</sup>																																						
h. NRG II Meeting																																						



<sup>14</sup>DFID annual review

Activity	2012		2013												2014												2015											
	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O		
i. Finalisation of DCR																																						
3. Design Phase																																						
a. Discussion Paper (Synthesis of 4 DCRs)																																						
b. Development of Draft FCRs																																						
c. Field-level Validation of FCRs (countries)																																						
d. NRG III Meeting																																						
e. Finalisation of FCRs <sup>15</sup>																																						
f. Internal Review																																						
4. Validation Phase																																						
a. International Conference																																						

<sup>15</sup> Three FCRs will be finalized – (i) General FCR (ii) Staple Food FCR (iii) Bus Transport FCR

Activity	2012		2013												2014												2015											
	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O		
b. NRG IV Meeting																																						
c. FCR application (Preparatory Work)																																						
d. FCR application (Research)																																						
e. FCR application (Dialogues)																																						
f. NRG V																																						
g. FCR application (Media Campaign)																																						
h. FCR application (Additional Advocacy) <sup>16</sup>																																						
i. FCR application (National Orientation Workshops)																																						

<sup>16</sup>The additional advocacy will begin with the finalisation of DCRs, on the basis of its findings (June 2014 – August 2015)

Activity	2012		2013												2014												2015											
	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O		
j. NRG VI																																						
k. Country impact report																																						
l. International conference																																						
5. Wrap-Up & Reporting																																						
a. Reporting																																						
6. External Evaluation (November 2015 to April 2016)																																						

NRG meetings -



International  
Conferences





### 3.3 CREW Activities Overview

As explained earlier, the CREW project would be implemented in three phases:

- (i) Phase I-Diagnostic Phase:** The main objective of this phase is to assess implications of **competition reforms** in certain key markets in each of the two sectors on both **consumers and producers welfare** and identify existing consumer and producer concerns. The findings from DCR will act as input in the next phase for preparing the discussion paper. The activities to be undertaken in this phase includes:

<i>Activities</i>	<i>Description</i>	<i>Responsible Organization</i>
1. Opening Meeting + Fact Finding Mission	To launch the CREW Project in all the partner countries and initiate the Fact Finding Mission	Partner Countries+ CUTS
2. Prepare Diagnostic Country Reports (DCR)	One for each sector: Staple Food and Passenger Transport	Partner Countries+ Sector Experts
3. Conduct two National Reference Group (NRGs) Meeting	To Brief the NRG members about the project, discuss the outline of DCR in the 1 <sup>st</sup> NRG and final DCR and outline of the general FCR in the 2 <sup>nd</sup> NRG meeting	Partner Countries+ CUTS
4. Preparing country specific notes	To concisely present the country specific finding	CUTS + Nathan

- (ii) Phase II-Design Phase:** The main objective of this phase is to design a composite methodology to quantify (actual and potential) benefits of competition reforms using existing (ex-ante and ex-post) methods and building the national advocacy plans on the basis of the key findings of the DCR. The sequence of activities to be undertaken in this phase is illustrated in the table below:

<i>Activities</i>	<i>Description</i>	<i>Responsible Organization</i>
1. Preparing the Discussion Paper (Collating DCRs)	Collate all the sectoral DCRs from 4 country partners.	CUTS & External Project Advisers

2. a) Development of Draft Framework for Competition Reforms (FCR)	Prepare draft of the general and sector specific FCRs	CUTS & Nathan Associates
b) Field Review of FCRs	Gather feedback from stakeholders on the general and two sectoral FCRs	Country partner organisations
c) Finalization of FCRs		CUTS & Nathan Associates
3. Conduct one NRG Meeting	Discuss the key findings of the DCR and the national advocacy plan	Country partner organisations + CUTS

**(iii) Phase III-Validation Phase:** The main objective of this phase is to test the veracity of the methodology designed in Phase II in micro-locations (India, The Philippines, Zambia and Ghana) and use results for advocacy. The sequence of activities to be undertaken in this phase is illustrated below:

<i>Activities</i>	<i>Description</i>	<i>Responsible Organization</i>
1. FCR Application (Research)	a) Assessment of anti-competitive practices in selected markets b) Analysis of competition distorting policies in both the sectors	Partner Countries + Competition Agency + Sector Experts
2. FCR Application (Dialogues)	a) Meetings with Parliamentarians and other policymakers (4 meetings/country) b) Government-Business Forum (2, one for each sector)	Partner Countries + Business Chambers + Specialized national entity
3. FCR Application (Media Campaign)	Public Information Dissemination through a Media Organization	Media Organizations
4. FCR Application	To build up the momentum	Partner Countries + Other

(Additional Advocacy)	for countries to adopt approaches for promoting competition (through a structured method)	National Entities
5. FCR Application (National Orientation Workshops)	2 National Orientation Workshops on the FCP application in each country	Partner Countries + National Entities
6. Conduct 3 NRG Meetings	Finalise the FCR in 4 <sup>th</sup> NRG and plan implementation of FCRs in countries in the 5 <sup>th</sup> NRG and to orient and discuss the findings of the FCR Application (Research), resultant discussions with the parliamentarians and other policymakers, additional advocacy and how the FCR Application would take place in the four countries in the 6 <sup>th</sup> NRG meeting.	Partner Countries + CUTS

## 4 Description of Phase-I Activities

### 4.1 Inception & Initiation of project

4.1.1 A project inception meeting was held in March 2013 at Jaipur (India). There were broadly two purposes of this meeting. Firstly, it was help identify the body of knowledge that can be utilised and experts who can be consulted for providing advice for effective project implementation. Secondly, was to finalise the countries and sectors for undertaking this project. The programme, report and presentations made at this meeting can be seen at: [http://www.cuts-ccier.org/CREW/Events-Inception\\_Meeting.htm](http://www.cuts-ccier.org/CREW/Events-Inception_Meeting.htm). One of the outcomes of the discussions at this meeting was the finalisation of the four project countries – **Ghana, India, the Philippines & Zambia**; and the finalisation of the two sectors for examination – **Staple food & Passenger Transport**. It was also decided that the CREW team should visit all the countries and have detailed discussions with the partners and other key stakeholders, to help develop the outline of the research to be subsequently undertaken.

## 4.2 Opening Meeting and Fact Finding Mission<sup>17</sup>:

4.2.1 Opening Meetings were organised in all the four partner countries (Zambia, Ghana, The Philippines and India) during the months of April-May, 2013. The main objective of this meeting was to launch the project in respective countries and give the key stakeholders a preliminary idea about the project and get some overall idea about the sectors in each country. Representative from CUTS were present at the opening meeting which was organised by the partner countries. A 'Fact Finding Mission' (FFM) was also initiated in conjunction with these opening meetings in each country, wherein CUTS representatives along with project partners met various relevant stakeholders (policymakers, regulatory agencies, business associations, academicians, sector experts of staple food and passenger transport) to gather information and data about the nature of the market and reforms undertaken in the staple food and passenger transport sectors. Further, information was also gathered from the two sectors about driving forces and countervailing factors (impediments), existing literature/information pertaining to the overall state of competition in the countries and specifically about the two sectors.

## 4.3 Composition of NRG & NRG-1

4.3.1 One of the outcomes of these opening meetings was that they provided CUTS and the project partners with contacts in each country who were subsequently invited to the National Reference Group (NRG), for guiding the project forward. It was also decided in consultation with country partners that the NRG-1 meetings would be held in the months of July-August 2013. Nathan Associates representatives, CUTS project team members and External Project Advisers would participate in these meetings.

## 4.4 Diagnostic Country Report (DCR) development

4.4.1 On the basis of the discussions at the Opening Meeting and interactions with various key stakeholders in each country, the specific **markets** for undertaking the field-level examination in each sector was finalised. In case of passenger transport, **bus transport** emerged as the most relevant market to be looked at both from a consumer and a producer perspective. Though, in some countries ferry/water transport had also cropped up as a

---

<sup>17</sup> Details of the Opening Meeting is available at: [http://www.cuts-ccier.org/crew/Events-Opening\\_Meetings.htm](http://www.cuts-ccier.org/crew/Events-Opening_Meetings.htm)

possible sector, but there was consensus on bus transport. In all the four countries, bus transport sector is also one in which the government has continued to play a key role as a provider and regulator – so, it would be interesting to review the role of the government and implication of actions taken by the government from time to time to improve the performance of this sector and benefit consumers/passengers. Concerns pertaining to cartelisation of operators, opaque process of price-setting and route allocation (in both intra-city and inter-city segments) were observed. There were possibilities for potential reforms. It was also clear that producers/operators in some of the countries face challenges due to the nature/structure of the market. Stakeholders and experts pointed at certain interventions by the government that could reform this sector - make it profitable for producers/operators and convenient for consumers. In this market, both the intra-city and inter-city segments would be examined.

4.4.2 In case of staple food, it was decided that **one staple crop** would be looked at per country. From the interactions with the experts, the following crops emerged in the countries:

Country	Staple Crop
Ghana	Maize
India	Wheat
The Philippines	Rice
Zambia	Maize

4.4.3 A rough **outline (ToR)** of the Diagnostic Country Report (DCR) was developed on the basis of the ‘background paper’, discussions at the Inception Meeting and the outcome of the Fact Finding Missions (see: [http://www.cuts-ccier.org/CREW/pdf/Outline\\_for\\_the\\_Diagnostic\\_Country\\_Report.pdf](http://www.cuts-ccier.org/CREW/pdf/Outline_for_the_Diagnostic_Country_Report.pdf)).

4.4.4 This outline was shared with the Project Advisory Committee (PAC) members for their comments. Subsequently, Nathan Associates developed a **research methodology**<sup>18</sup> note based on the outline ([http://www.cuts-ccier.org/CREW/pdf/Research Methods for the CREW Country Diagnostic Reports.pdf](http://www.cuts-ccier.org/CREW/pdf/Research_Methods_for_the_CREW_Country_Diagnostic_Reports.pdf)).

<sup>18</sup> Available at [http://www.cuts-ccier.org/CREW/Diagnostic\\_Phase.htm](http://www.cuts-ccier.org/CREW/Diagnostic_Phase.htm)

This overall research methodology note was also shared with the PAC members for their comments – and subsequently finalised.

4.4.5 The overall DCR research methodology was discussed with the NRG members in the first meeting of the NRG (NRG-1)<sup>19</sup> held in the months of July-August 13, to get their inputs for implementation and localisation of the research methodology and subsequent development of Country-Specific DCR Research Methodology notes.

4.4.6 The partner organisations were asked to present their idea of using elements underlined in this research methodology note for developing the DCRs. They made this presentation at the second meeting of the Project Advisory Committee (PAC) held on 20<sup>th</sup> November 2013 in New Delhi. There were a few crucial outcomes of this meeting – (i) identification of relevant competition reforms to be included in the DCR and (ii) identification of key indicators that help link these reforms to consumer/producer benefits. Over Dec, 13 and Jan, 14 - CUTS incorporated the feedback received from the partners into an analytical matrix that would form core of the research methodology of the CREW project. Two sector-specific Analytical Matrices (see: [http://www.cuts-ccier.org/CREW/pdf/Draft\\_Analytical\\_Matrix-Staple\\_Food\\_Sector.pdf](http://www.cuts-ccier.org/CREW/pdf/Draft_Analytical_Matrix-Staple_Food_Sector.pdf) AND [http://www.cuts-ccier.org/CREW/pdf/Draft\\_Analytical\\_Matrix-Passenger\\_Transport\\_Sector.pdf](http://www.cuts-ccier.org/CREW/pdf/Draft_Analytical_Matrix-Passenger_Transport_Sector.pdf)) thus developed were subsequently refined with inputs from the PAC members and Nathan Associates.

4.4.7 In February, 14 together with Nathan, CUTS developed a Note for Secondary Research ([http://www.cuts-ccier.org/CREW/pdf/Draft\\_Note\\_for\\_Secondary\\_Research.pdf](http://www.cuts-ccier.org/CREW/pdf/Draft_Note_for_Secondary_Research.pdf)). This note was developed to help the country partners initiate the secondary research in line with the outline of the analytical matrix. Further, CUTS also prepared a structure of the DCR to help the country partners better envisage the final shape of the report and progress with the research accordingly.<sup>20</sup> CUTS, Nathan and the PAC members reviewed the data available from secondary sources (end February/early March, 2014) and advised the country partners on how to use this secondary data and plan the primary research.

<sup>19</sup>See: [http://www.cuts-ccier.org/CREW/Events-NRG\\_Meetings.htm](http://www.cuts-ccier.org/CREW/Events-NRG_Meetings.htm) for details of the NRG-1 meetings

<sup>20</sup>Table of Contents for the DCR is available at [http://www.cuts-ccier.org/CREW/Diagnostic\\_Phase.htm](http://www.cuts-ccier.org/CREW/Diagnostic_Phase.htm)

4.4.8 Subsequently, Guidance Note for Primary Research was developed by CUTS with Nathan to guide the country partners in collecting primary data ([http://www.cuts-ccier.org/CREW/pdf/Note\\_for\\_Primary\\_Research.pdf](http://www.cuts-ccier.org/CREW/pdf/Note_for_Primary_Research.pdf)). The goal of this note was to provide a uniform platform for primary data collection. The Note for Secondary Research, Note for Primary Research and the Table of Content was shared with the country partners to ensure cogency in the four country specific DCRs.

4.4.9 The DCRs were accordingly drafted by the country partners and presented in the round of second NRG meetings during May, 14 – July, 14.<sup>21</sup> As per the inputs from the NRG members and the PAC members, the DCR will be finalised and published on the CREW website by November, 14 – December, 14. In the meantime, the draft outline of the Framework for Competition Reforms (FCR) was also prepared by CUTS, in consultation with the PAC members, which was shared for validation with the NRG members in the second NRG meeting.

4.4.10 Upon finalisation of the DCR, country specific notes will be prepared by Nathan in consultation with CUTS. The country specific notes are envisaged to carry the core findings of the DCR in a concise manner, where the linkage between competition reforms and consumer and producer welfare will be clearly spelled out.

## 5. Description of Phase-II Activities

### 5.1 Framework for Competition Reforms

5.1.1 The round of NRG III meetings was held in the project countries during October – early November, 2014. The purpose of the meetings was to introduce the national advocacy plan to the NRG members.<sup>22</sup> The national advocacy plan was designed on the basis of the key findings of the DCR. The case stories which reflected a clear linkage between the (positive/negative) impact of competition reforms on consumers and producers were selected and presented for validation of the NRG members.

---

<sup>21</sup> Details of NRG II are available at: [http://www.cuts-ccier.org/CREW/Events-NRG\\_Meetings.htm](http://www.cuts-ccier.org/CREW/Events-NRG_Meetings.htm)

<sup>22</sup> Details of the NRG III meeting are available at: [http://www.cuts-ccier.org/CREW/Events-NRG\\_Meetings.htm](http://www.cuts-ccier.org/CREW/Events-NRG_Meetings.htm)

5.1.2 Lessons from the process of development of the DCR and the common learnings would be incorporated into a ‘Synthesis Paper’, which will serve as one of the inputs for developing the FCR in the design phase.

5.1.3 Two FCRs will be developed – (i) General FCR – a framework which provides an overall understanding of the process of undertaking competition reforms (ii) Sector Specific FCR – framework for undertaking competition reforms in the staple food and bus transport sector.

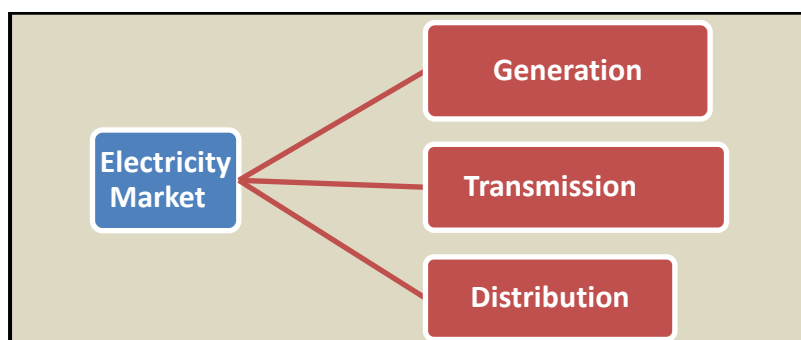
5.1.2 The general FCR (revised as per inputs from the PAC members, Nathan and the NRG members) will be presented at the CREW International Conference in November, 2014. It will subsequently be as per feedback from the Advisers. The sector specific FCR, on the other hand, will be drafted in consultation with the national level stakeholders.

## 5.2 Illustration of Framework for Competition Reforms

5.2.1 Purely for illustrative purposes, we have explained how the project envisages developing the FCRs for the *Electricity Market*. There might be refinements in the actual process for development of the FCRs, based on the background paper and the diagnostic country reports – however, the overall thinking would possibly in the same direction as has been presented below (stages).

### Stage 1: Structure of the Market

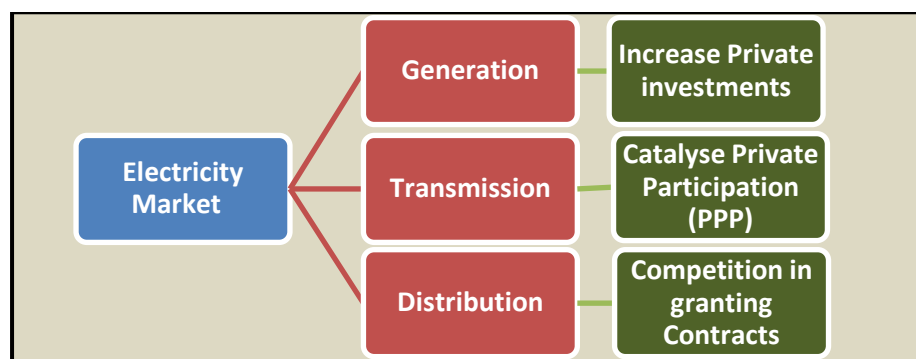
Construct an overview of the structure of the key market using evidence from the countries (electricity market has been taken here for illustrative purposes).





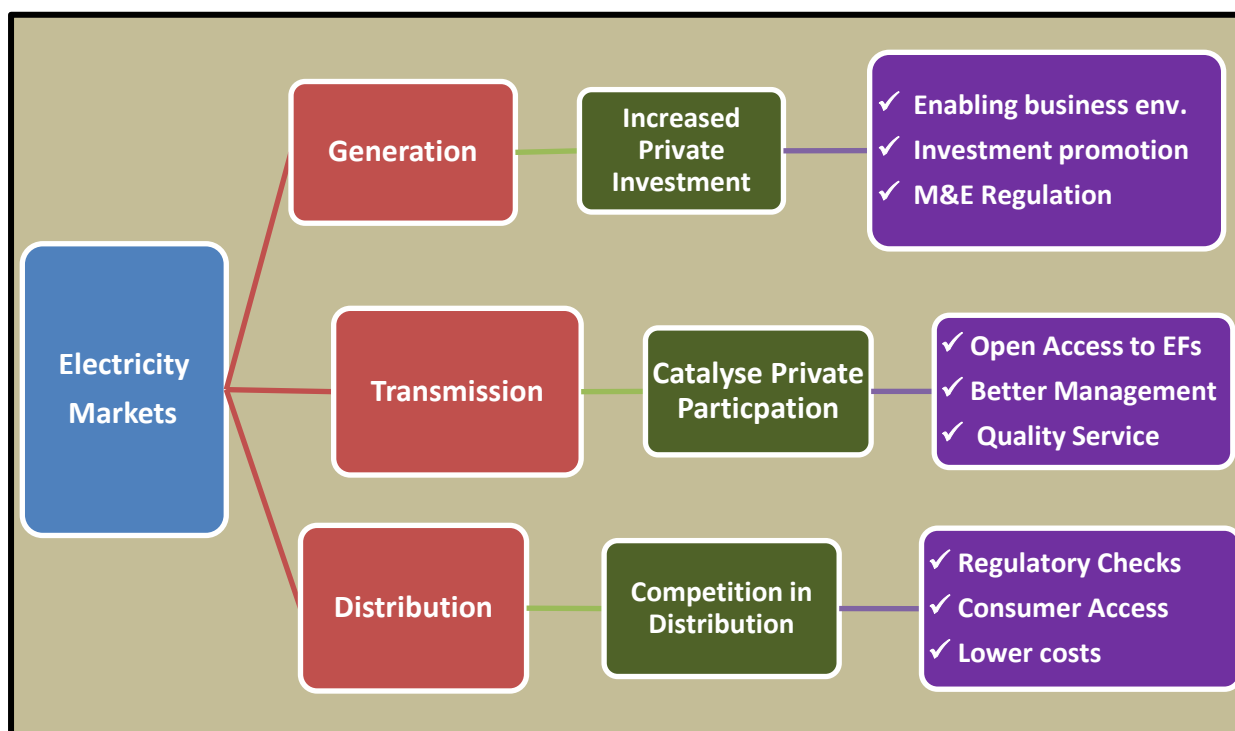
### Stage 2: Explore scope of introducing Competition

Analyse how private participation (through a level-playing field) can be enhanced in each segments of the selected market, to promote competition.



### Stage 3: Policy and Regulatory Measures (balancing private and consumer interests)

Suggest policy measures and regulatory safeguards to enable producer benefits (enabling their participation in the market) and protection of consumer interests (by making quality goods and services available at low cost to consumers). As is evident from the figure below, the FCPs would integrate ‘indicators’ of a well-functioning competition regime (relevant for the specific sector) and endeavour to analyse them.



#### Stage 4: Advocacy and Actions to initiate reform measures

Propose actions that would facilitate introduction of policy/regulatory measures indicated above (Step 3). This stage would involve discussions, dialogues, etc. in countries to understand how to develop the ground-swell to culminate in desirable reform actions. This step completes the sequence for developing a ToC for promoting competition in the sector.

Stages 1 to 3 would mostly comprise of research and analysis of existing knowledge and information gathered from the selected countries for constructing FCPs for the two selected markets. While, Stage 4 would involve discussions/interviews, etc. with senior policymakers, civil servants, sector experts, regulators, competition agency practitioners and other key stakeholders to gather their feedback about actions that would trigger policy/regulatory reforms to facilitate a level playing field in the selected sectors to enable easy entry and operation of firms; and also steps that would ensure protection of consumer interests in the market. In Stage 4, apart from these discussions with a group of select stakeholders (through personal meetings), the third meeting of the NRGs (NRG-III) would also be organised in each country.

## 5.3 Country Impact Reports

5.3.1 Brief reports would be developed in each of the four countries after the application of the FCRs in micro-locations in each of the project countries. The application process would involve (i) Research (competition distorting policies + anti-competitive practices), (ii) Dialogues (Parliamentarians + Government-Business Fora), (iii) Public Information Campaign (through Media and other means of mass communication) and (iv) Additional Advocacy Activities in each of these micro-locations/countries depending on the situation.

## 6. Dissemination & Dialogues

### 6.1 National level

**NRG Meetings:** The project team would maintain close contacts with the NRG members and consult them regularly for fine tuning the project activities, products. CUTS and its partner organisations would include all relevant institutions/individuals (who have been involved on competition policy and law related initiatives earlier) in these NRGs. Meetings of the NRG members would be held periodically to discuss important activities/milestones of the project. Proposed NRG meetings and their respective timeline is provided in the table below:

NRG	Tentative Timeline	Purpose
NRG – I	July, 13	<ul style="list-style-type: none"> <li>• Discussion on project, objectives &amp; outcomes</li> <li>• Update on progress of country specific work</li> <li>• Discuss the Conceptual framework for Phase I</li> <li>• Discussion and feedback on DCR research methodology (country-specific)</li> </ul>
NRG – II	May, 14 - July, 14	<ul style="list-style-type: none"> <li>• Discussion on the Draft DCR</li> <li>• Evidence of benefits from competition reforms and planning its outreach and utilisation in advocacy</li> <li>• Linking the Diagnostic Phase to Design Phase (ToR of FCR – initial thoughts)</li> </ul>
NRG – III	Oct, 14 – Nov, 14	<ul style="list-style-type: none"> <li>• Discuss key findings of DCR;</li> <li>• Preparation of National Advocacy Plan</li> <li>• Review of country-specific advocacy activities (in terms of intended outcomes) and necessary adjustments</li> </ul>
NRG – IV	Jan, 15 - Feb, 15	<ul style="list-style-type: none"> <li>• Discussion on the FCR</li> <li>• Comment/inputs on activities planned for the validation phase</li> <li>• Analysis of feedback from outreach and advocacy activities</li> </ul>

NRG	Tentative Timeline	Purpose
NRG – V	April, 15 – May, 15	<ul style="list-style-type: none"> <li>• Sharing of progress of discussions and dialogues</li> <li>• Adjustments in country-specific FCRs</li> </ul>
NRG – VI	July, 15 – Aug, 15	<ul style="list-style-type: none"> <li>• Presentation about impact of the CREW activities in countries</li> <li>• Plan to sustain the momentum on the ‘competition reforms’ agenda in countries beyond CREW project</li> </ul>

**Government-Business Forum:** These would be half-day events to be organised between relevant government departments and local business associations to take stock of the findings from the project, and deliberate on how competition reforms processes can be promoted (and resistance reduced) in the interest of businesses.

**Media Outreach:** Public information campaigns would be designed in each country by reputed media houses to convey how consumers can benefit from competition reforms and help garner public support and the necessary ground-swell for these reforms.

Additional advocacy activities would also be undertaken in each country to push the process for undertaking such policy reforms that can benefit consumers and/or producers in each project country.

## 6.2 Regional level

CUTS project team would share the project findings with relevant divisions within the regional economic communities/regional authorities (e.g., East African Community, Southern African Development Community, Common Market of Eastern and Southern Africa, Association of South East Asian Nations, etc.) – and engage with them throughout the project period. Each of these regional organisations has a work programme on competition policy and law issues at the regional level. It should be noted here that CUTS has already established a fairly good working relation with some of these regional organisations (both formal and non-formal). Representatives of relevant RECs would also be invited into the CREW PAC.

## 6.3 International Level

The following international events would be organised as part of the project:

- (i) *Inception Meeting:* A two day meeting to discuss various methodologies/approaches undertaken by organisations/institutions for assessing benefits of competition and regulatory reforms. The ‘background paper’ would be presented and the project countries and sectors finalised.
- (ii) *Partners’ Meeting:* One of the objectives of this meeting would be assess the country-level experience of developing the DCRs and the problems faced in the process. Further, the application of the FCRs in the countries (validation stage) would also be deliberated between the CUTS project team, country partners and Advisers. Some experts and advisers from each region would also be invited to enrich the discussions, etc. A few selected stakeholders from the four project countries (NRG members) would be invited as well.
- (iii) *International Meeting:* The purpose of this meeting will be to amplify the visibility of the CREW project amongst relevant stakeholders. The objective here would be to introduce the CREW methodology to the relevant stakeholders and find avenues for possible spin offs of the project.
- (iv) *Final Conference:* This would be a meeting wherein the outcomes of the CREW project would be shared with the international community and the synthesis report<sup>23</sup> released.

CREW project team members would also participate in ‘external events’ in order to share the project findings and also explore how synergies can be developed with other initiatives, etc. Some of the external events that some of the team members would participate are: (i) OECD Global Competition Forum, (ii) Annual meeting of the UNCTAD Intergovernmental Group of Experts on Competition Policy and Law, (iii) Annual ICN conference, etc.

A project webpage of the CREW project would be developed and updated regularly. Communication related to the project would be disseminated via postings on e-forums and other platforms.

---

<sup>23</sup>To be prepared by the External Advisers, and collate findings and experience of measuring benefits of competition reforms in the four developing countries

## **7Capacity Building**

### **7.1 National Orientation Workshops**

The purpose of these workshops would be share the methodology and the findings of the CREW project with various national stakeholders and policymakers (especially from other key sectors), in order to motivate uptake/propagation of the approach beyond the two sectors in each country.

## **8. Sustainability & Spin-offs**

8.1 CUTS is already aware of two initiatives that have synergies with the CREW project. One of them is a project being implemented by the World Bank Group's Facility of Investment Climate Advisory Services (FIAS) to improve measurement of competition reform at an aggregate, sector-wide level. This would produce assessment tools for policymakers that build on DFID's 2008 Competition Assessment Framework (CAF). CREW will provide additional tools focussed consumers and businesses in developing countries that will complement and strengthen the above tools. FIAS staff would be approached to be a member of the Project Advisory Committee (PAC) of CREW; while CREW staff would also remain engaged in the FIAS project – thereby strengthening these synergies. A joint note has been prepared by CUTS and the World Bank (FIAS) to ensure better synergies between the two initiatives.

8.2 Further, the tools and findings of the CREW project would also be available for application by the two development partners (DFID, UK and GIZ, Germany) in their countries of interest, and/or through relevant programmes. One of the key contributions of the donors would be share these tools with relevant staff in the country offices, to stimulate country specific spin-offs.

8.3 CUTS project team would also engage with relevant divisions within the regional economic communities/regional authorities (e.g., East African Community, Southern African Development Community, Common Market of Eastern and Southern Africa, Association of South East Asian Nations, etc.) – and discuss the possibility of promoting the approaches/tools developed under the CREW project at the regional level. Each of these

regional organisations has a work programme on competition policy and law issues at the regional level. It should be noted here that CUTS has already established a fairly good working relation with some of these regional organisations (both formal and non-formal). CUTS has a formal MoU with the East Africa Community (EAC) Secretariat – and working on the area of competition policy is included in the agenda for cooperation.

---