



**Asia-Pacific  
Economic Cooperation**

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Agenda Item: 3

## **Workplan – Development of Standardized Program for Fora Assessment**

Purpose: Consideration  
Submitted by: APEC Secretariat



**SOM Steering Committee on Economic and  
Technical Cooperation - Committee of the Whole  
Meeting  
Nha Trang, Viet Nam  
28 February 2017**

# **Workplan**

**Development of Standardized Program for SCE Fora  
Assessment**

Sustineo Pty Ltd

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APEC Project: SCE / IA / 2017

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# **1 INTRODUCTION**

SCE has requested the development of a common approach to the assessment of SCE fora, based on a series of templates (surveys, questions), development of common indicators, and a reporting template, described collectively within this project as a Standardized Program. The requirements include developing a set of indicators to assess alignment with APEC priorities, outcomes, efficiency, policy and guidelines compliance and cooperation, and opportunities for streamlining; survey questionnaire; a scope of survey; a list of set of information and data for qualitative assessment; a methodology of collecting survey returns and processing the data; and a reporting template.

The methodology requested includes interviews with SCE and the APEC secretariat, desk-based analysis of previous assessments, a survey of fora and development of an IT-based methodology for the survey.

The proposed methodology, workplan and timeline for the project are outlined in the following sections.

## **2 METHODOLOGY**

In undertaking this project, we propose the following stages for completing the key deliverables.

### **2.1 Project Inception**

The Inception stage will be completed with the submission and acceptance of this Workplan. It follows a teleconference with the Secretariat and commencement of the literature review, which is based on APEC documents (guidelines, APEC statements, fora terms of reference, fora strategic plans, past reviews, and implementation reports).

### **2.2 Attendance at the February SCE meeting**

The Sustineo team will present this Workplan at SCE1 and will seek its approval.

During this time we will consult with Chairs / Lead Shepherds and will speak with SCE members more broadly to discuss their past experiences with independent assessments, their concerns about existing components of common methodologies and their challenges, in particular methods to obtain appropriate indicators relevant to APEC. Our discussions will be guided by the questions provided in the attached survey, which can also be sent to those Chairs / Lead Shepherds unable to meet with us during SOM1.

We will use these discussions and feedback to further develop the Concept Plan which be developed and finalised after SCE1 for subsequent consideration by SCE.

### **2.3 Development of the Concept Plan**

The Concept Plan will provide a macro-design of the key elements of the Standardized Program, particularly in relation to the overarching performance framework and indicators for fora, both collectively and in relation to specific fora.

The Concept Plan will propose a set of suitable quantitative and qualitative indicators and how these might be collected in general terms. The Concept Plan will also discuss the balance between quantitative and qualitative measures in the development of the Standardized Program (noting that the focus of this project is on quantitative measures). It will include discussion of:

- methods to collect primary and secondary data including use of surveys
- place of collection e.g. part of regular reporting from fora vs. standalone surveys
- development of indicators (new and current).

The Concept Plan will be elaborated through the discussion of the Secretariat and engagement of SCE after SCE1.

## **2.4 Development of Standardized Program components and Draft Report**

### **Standardized Program Components**

Following acceptance of the Concept Plan we will develop the components of the Standardized Program. Our approach will include, as appropriate:

- development of a list of common or forum-specific quantitative indicators which might be obtained either through reporting from fora, a survey of fora Chairs / Lead Shepherds, a survey of fora delegates and central APEC data / records
- development of qualitative indicators, if any, and consideration of how these might be developed, including focus group, case studies / vignettes etc.
- consideration of potential mechanisms for collection of indicators including IT-based systems. In this step we will review the success of previous online surveys to gather insights into both efficiency (outcome) and effectiveness (governance) and collaboration.

The team will consider appropriate processes and methods for reporting to SCE including how such data may be represented to make it easy to understand, and implications for collection and reliability of data. Given APEC's concern to ensure data are properly validated, it is our expectation that any collection system will include appropriate in-survey validation steps, removing the need to separately validate survey data once it is collected.

The team will also address the human resources required to effectively implement both an IT-based assessment system, any qualitative measures recommended, and appropriate skill levels for interpretation of the resulting data.

### **Draft Report**

Sustineo will compile the draft report based on the approved Concept Plan and including a summary of the outcomes of the consultations with the Lead Shepherds / Chairs (including the survey).

### **Pilot Testing**

Once the Standardized Program has been developed we will test this with two fora mid-year. We will seek permission to engage in more detail with their Lead Shepherds / Chairs and the relevant APEC Program Director(s) on whether the proposed Standardized Program can be implemented effectively. Fora to be engaged during pilot testing will be selected in consultation with the Secretariat.

The team will use feedback from this pilot testing to modify the draft report and proposed Standardized Program, and will incorporate feedback from APEC into the final report.

### **Final Report and Recommendations**

Based on comments from the APEC Secretariat, SCE and the pilot fora, the team will finalise the Final Report. This will include a step-by-step 'how to' for implementation of the Standardized Program, including the use of IT-based surveys, as relevant.

## 2.5 Opportunities for APEC input

The methodology provides a number of opportunities for input and endorsement by APEC, including:

- acceptance of the Workplan (SCE)
- elaboration of the Concept Plan (SCE members and APEC Secretariat)
- input to development of indicators and other measures (Lead Shepherds / Chairs and the Secretariat), via a survey and discussions at the February 2017 meeting
- input in more detail from two fora selected for Pilot Testing
- input to and acceptance of the Draft Report

## 3 WORKPLAN AND TIMELINE

The following workplan expands on the timetable outlined above. It is indicative and based on the key dates in the original RFP.

Activity	January	February	March	April	May	June	July	August	September
<b>Inception Report</b>									
Commencement briefing	Held 19 Jan								
<b>Finalise Inception Report and workplan</b>									
<b>Attend SCE meeting</b>									
<b>Development of Concept Plan</b>									
Collate and review APEC docs									
Develop macro-design									
Initial list of indicators and potential collection methods									
Development of Concept Plan									
<b>Consultation</b>									
Develop survey for Chairs/Lead Shepherds									
Finalise Survey for Chairs/Lead Shepherds									
Administer survey for Chairs/Lead Shepherds									
Bilateral meetings with members at SCE meeting									
Analyse and write up results of survey to Chairs/Lead Shepherd									
<b>Develop Standardised Program</b>									
Develop indicators and administration method									
Draft online components									
Develop analytical framework									
Develop implementation guidelines									
<b>Draft report</b>									
Submit draft report to APEC									
Receipt of comments from APEC on Draft report									
<b>Pilot testing</b>									
Pilot testing including skype meetings with Chair/LS									
<b>Final report</b>									
Consideration during SOM3									
<b>Finalisation</b>									

## 4 ANNEX - QUESTIONS TO BE ADDRESSED DURING SOM1

We will utilise opportunities at SOM1 for consultations with fora Chairs / Lead Shepherds using the following survey as an interview guide. The survey can also be sent to those Chairs / Lead Shepherds unable to meet with us during SOM1.

Introduction

**This survey seeks the views of Chairs and Lead Shepherds of APEC Fora and their secretariats on the best ways to obtain information to evaluate the impact, effectiveness and efficiency of APEC Fora. It is being conducted by Sustineo Pty Ltd as part of a project commissioned by the SOM Steering Committee on ECOTECH.**

**Sustineo has been contracted to develop a Standardized Program which will include a set of indicators to assess the alignment of each fora's plans and activities with the APEC priorities; the effectiveness of their outcomes; the efficiency of fora's governance structure and operations; compliance with the APEC policies and guidelines; the extent of cooperation of the fora with other APEC fora as well as external organizations; and possible streamlining or merger opportunities with other APEC fora.**

**This survey seeks your views on the current method of evaluation and how APEC may adopt a solid and efficient methodology to implement this program using online surveys.**

1. What APEC forum do you represent?

2. What is your role with this forum? (select one option only)

Chair or Lead Shepherd

APEC secretariat staff

Chair/Lead Shepherd's staff

Other (please specify)

3. What is the title of your position?

4. How many years have you been involved with APEC working groups (in any capacity)?

Less than 1 year

1 year to less than 5 years

More than 5 years



General questions on independent assessments

**This page asks for general opinions on approaches to independent assessments**

5. Please rate the usefulness, in your opinion, of the following sources of information to assess your forum's work? (Note: An interview is defined as a one-on-one discussion whereas a survey is a written questionnaire like the one you are answering now)

	Very ineffective	Ineffective	Neither effective nor ineffective	Effective	Very effective
Interviews with delegates during forum meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Surveys of economies before or at the time of forum meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Surveys of participants in forum-sponsored workshops	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Surveys of economies, not linked to meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Interviews with delegates during forum meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Surveys of participants in forum projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Collection of data by the secretariat about forum outputs (e.g. number of reports)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Collection of data by the secretariat about forum activities (e.g. number of meetings)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Collection of data or information on forum outcomes (e.g. what economies have changed as a result of the forum's work)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Case studies (stories) of the impact of the forum's work/activities/projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

6. Please list up to five examples of indicators that best demonstrates the effectiveness of your forum (that is, how well it produces outputs and outcomes)

Indicator 1	<input type="text"/>
Indicator 2	<input type="text"/>
Indicator 3	<input type="text"/>
Indicator 4	<input type="text"/>
Indicator 5	<input type="text"/>

7. Please list up to five examples of indicators that best demonstrates the efficiency of your forum (that is, how well it is run)

Indicator 1	<input type="text"/>
Indicator 2	<input type="text"/>
Indicator 3	<input type="text"/>
Indicator 4	<input type="text"/>
Indicator 5	<input type="text"/>

8. Please list up to five examples of indicators that best show how your forum collaborates with other APEC fora and non-APEC fora

Indicator 1	<input type="text"/>
Indicator 2	<input type="text"/>
Indicator 3	<input type="text"/>
Indicator 4	<input type="text"/>
Indicator 5	<input type="text"/>

9. Please list up to five examples of indicators that best demonstrates the alignment of your forum with APEC priorities (that is, how well the work of your forum matches APEC priorities)

Indicator 1	<input type="text"/>
Indicator 2	<input type="text"/>
Indicator 3	<input type="text"/>
Indicator 4	<input type="text"/>
Indicator 5	<input type="text"/>

10. Please rank the importance of these approaches to conducting independent assessments? (1 is the most important)

<input type="text"/>	A formal independent assessment every 3-4 years (current method)
<input type="text"/>	Continuous reporting (by the Chair's office)
<input type="text"/>	Continuous reporting from delegates or economies
<input type="text"/>	Occasional Case studies on the outcomes of APEC projects
<input type="text"/>	Continuous reporting after each meeting (by the secretariat)
<input type="text"/>	Annual reporting through the SCE Fora Report

Your most recent independent assessment

This page asks questions about your forum's most recent independent assessment

11. In what year was your forum last independently assessed? (select one year only)

- 2011
- 2012
- 2013
- 2014
- 2015
- 2016
- Don't know

12. Please comment on the following statements about your forum's most recent independent assessment

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
My forum's most recent independent assessment collected data that was relevant to measuring our activities (e.g. numbers of meetings, numbers of workshops, numbers of reports)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My forum's most recent independent assessment collected data that was relevant to measuring our outputs (e.g. numbers of project reports, numbers of workshops)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
My forum's most recent independent assessment collected data that was relevant to measuring our outcomes (impact) of our forum's work measured (e.g. changes to economies' regulations or implementation of findings from workshops)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My forum and its delegates had enough time to participate effectively in our most recent independent assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My forum supported the purpose of our most recent independent assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My forum supported the method adopted for our most recent independent assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My forum is working on implementation of the recommendations of our most recent independent assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My forum's most recent independent assessment provided recommendations which we useful and relevant to our forum's work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
13. What mechanisms is your forum using to ensure that that recommendations of its most recent independent assessment are addressed?					
<input type="text"/>					

14. Have the recommendations of your forum's most recent independent assessment been fully implemented?

- Yes, fully implemented
- Yes, partially implemented
- Implementation has not commenced
- If recommendations have not been fully implemented, please provide reasons

15. How does your forum interact with SOM (senior officers' meeting) in relation to implementation of recommendations from your forum's most recent evaluation?

16. Please provide any further comments on the best means to implement forum evaluations

17. Please provide any more comments you wish about independent assessments, how they are conducted and who they consult