



Independent Assessment of the Agricultural Technical Cooperation Working Group and High Level Policy Dialogue on Agricultural Biotechnology

**SOM Steering Committee on Economic and Technical
Cooperation**

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APEC Project SCE 01/2011

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EXECUTIVE SUMMARY AND KEY RECOMMENDATIONS

Dramatic increases in global food commodity prices, predictions of future food shortages, climate variability, changes in the attitude of the global investment community to Asia, and a wealth of agri-technology opportunities are contributing to an increasing public and private sector interest in agriculture within and across APEC Economies. Through the Agricultural Technical Cooperation Working Group (ATCWG) and the High Level Policy Dialogue on Agricultural Biotechnology (HLPDAB), APEC has a unique opportunity to establish itself as the facilitator of the open and free trade of new agri-technologies and enabler of innovative agri-industries across the Asia-Pacific region.

To capitalise on these opportunities, the Consultant recommends that each fora adopts a primary focus on increasing the efficacy of its strategic program, and that this should become the primary driver of their mandates. This will require each fora to establish a strong organisational and project-based learning culture that encourages and fully embraces entrepreneurial perspectives on technology development and deployment across the APEC region.

This independent assessment found that both the ATCWG and HLPDAB are, for the most part, meeting the objectives of APEC with both having clear and distinctive roles and expertise required for delivery of APEC goals and priorities. As such, a merger of the two is not supported. This issue should be resolved by the SCE swiftly such that each fora can continue to develop strategies that enhance technical-policy linkages for inclusion in future work plans. The Consultant found that debate over this issue has been counterproductive and was identified as one of the biggest issues affecting fora performance. Further, the majority of the Economies surveyed have no appetite for merging.

The HLPDAB has undergone significant change over the past two years, most notably a change in the position of Chair. All APEC member economies indicated that the Dialogue is as relevant, if not more relevant now than when it was first established in 2001. However, the expectation of 'high-level' (e.g. Ministerial) involvement in the Dialogue on an ongoing basis has placed undue pressure on the group and this coupled with merger discussions has generated some instability. The Consultant recommends that the HLPDAB be redefined and perhaps renamed in terms of these expectations in alignment with the Strategic Planning Process.

The number of project applications and successful approval for APEC funds committed to ATCWG activities has dramatically increased over the past three years. This is a reflection of the important role that the ATCWG plays in addressing food security issues and agricultural problems more broadly. However, the majority of projects are either workshops or symposia and as such are difficult to evaluate in terms of medium-term to long-term impact. What changes in behaviours have workshops had 2-3 years down the track? It is recommended that the SCE endorse

the Budget Management Committee (BMC) commitment to project evaluation and seek the Small Working Group on Evaluations (SWGE) to facilitate several impact assessments of selected workshops/symposia to gauge the effectiveness and level of behavioural change attributed to APEC investment.

The Consultant acknowledges and commends the ongoing Strategic Planning Process being undertaken by SCE sub-fora. Through the assessment, the Consultant found it difficult to see clear functional connection between strategic, operational and program outcomes within current strategy and work-plan documents. Importantly, current work plans lack clear indicators of success aligned to goals and objectives. Without these indicators, how do fora know they have achieved their goals and objectives? Misalignment exposes fora to the risk of drifting from its goals or to disproportionally focus on only a few objectives.

The ATCWG, HLPDAB and also the Policy Partnership for Food Security (PPFS) should be encouraged to develop their strategic plans in consideration of each other to ensure they capture collaboration and engagement opportunities on appropriate technical-policy issues. This further creates the opportunity to consolidate and formalise engagement strategies to be included in work plans.

The Consultant has identified opportunities to enhance the efficiency and effectiveness of annual meetings. This includes a recommendation that future Lead Shepherd selection explicitly consider leadership and management skills ensuring maintenance of strategic direction and the efficient delivery of annual meetings. Further, standardised initiation processes for new members is required that communicates the respective roles and functions of the fora and sets the expectations of its members. Lastly, each fora should conduct annual self-evaluations, 'health-checks', to evaluate their performance and to guide continuous improvement.

The following provides a list of specific recommendations made in the report :

SCE Decision Points

Recommendation to SCE 1. A merger of the ATCWG and HLPDAB is not supported. The ATCWG and HLPDAB operate consistently within their respective mandates and both have clear distinctive roles and expertise required for delivery of APEC goals.

Recommendation to SCE 2. The HLPDAB has lost some of its impact through an expectation of high-level (Ministerial) involvement in annual meetings. The SCE should consider redefining the Dialogue, informed through the strategic planning process, and renaming the Dialogue accordingly (e.g. to the Policy Dialogue on Agricultural Biotechnology–PDAB).

Recommendation to SCE 3. The SCE to endorse the BMC initiative on project evaluation and proactively seek the SWGE to commission several impact assessments of selected workshops/symposia to gauge the effectiveness and level of behavioural change attributed to APEC investment in ATCWG and HLPDAB projects. Importantly this should focus on the level of change in capacity and capability across the APEC region.

Recommendation to SCE4. The SCE should empower the APEC Secretariat in providing incentives to Economies for volunteering to the role of Lead Shepard. This might include, for example, providing an option of support to the Lead Shepard in terms of a facilitator for preparing and conducting annual meetings.

Fora Specific Recommendations

Recommendation 1. Each fora should, as a priority, develop detailed strategic plans that include clear SMART indicators of success towards delivery of their medium term goals. Strategic plans should be developed with input from complimentary fora.

Recommendation 2. The Terms of Reference of each fora should be amended to include key selection criteria (or key attributes) for the nomination of future Lead Shepard roles. This should include specific abilities in adherence to the role of the fora as well as the ability to drive meetings efficiently.

Recommendation 3. A membership education program should be developed for new members, and each meeting should reconfirm the roles, functions and expectations of members. A short manual developed by the APEC Secretariat could support this.

Recommendation 4. Future meetings should continue to align with other major APEC meetings. Further, each fora should consider setting aside formal opportunities for intra and inter fora networking and engagement, including joint sessions dedicated to synergistic issues/opportunities.

Recommendation 5. Engagement strategies between technical and policy fora should be developed and incorporated into annual and medium term work plans. These should include formal cross cutting interactions through examination of opportunities for collaborative projects/programs.

Recommendation 6. The Dialogue should recognise that the majority of economies are signatories to and utilise the Cartagena Protocol on Biosafety. Noting the challenges for implementing and adherence to the protocol, it should feature more prominently in the agricultural biotechnology policy dialogue work plans. Further, recognising the policy gaps between developing and developed economies across the APEC region, the Dialogue work plan should focus on narrowing these gaps as well addressing current and emerging issues relevant to all economies (e.g. Low Level Presence, synthetic biology, GM animals).

Recommendation 7. The Dialogue work plan should consider setting an annual target of submitting 5 Concept Notes for APEC Funding (either as the lead and/or in partnership with other fora). An initial performance indicator of gaining 2 APEC funded or self-funded projects per annum should also be considered.

Recommendation 8. Fora should develop joint policy papers on new and emerging technologies and policy challenges for APEC economies and strategies to achieve evidence based regulatory harmonisation for agricultural biotechnology based products. Outcomes and consensus positions should be developed and communicated to APEC SOM and Ministers.

Recommendation 9. Fora should develop and deliver educational packages for:

- agricultural technologists in research promotion, communication and dissemination
- policy practitioners in research assessment, management and utilisation

Recommendation 10. Each fora should introduce an annual self-assessment 'health check' to ascertain performance over the previous years activities to guide continuous improvement.

Acknowledgements

The Consultant is highly appreciative of the assistance provided by the APEC Secretariat and to the commitment of key respondents and representatives from both the ATCWG and HLPDAB who willingly to set aside time for consultation and to provide detailed comments and responses.

1. INTRODUCTION

The primary goal of the Asia Pacific Economic Cooperation (APEC) is to support sustainable economic growth and prosperity in the Asia-Pacific region. The organisational structure of APEC is outlined in **Figure 1**. APEC's activities are focused in three primary areas:

1. Trade and Investment liberalisation.
2. Business Facilitation.
3. Economic and Technical Cooperation (ECOTECH).

APEC economies engage in Economic and Technical Cooperation (ECOTECH) to attain sustainable growth and equitable development in the Asia-Pacific region, to reduce economic disparities among members, and to improve overall economic and social well-being¹. The activities and programs delivered through ECOTECH aim to improve competitiveness and productivity and build the capability and capacity of APEC members towards enabling free and open trade and investment in the region.

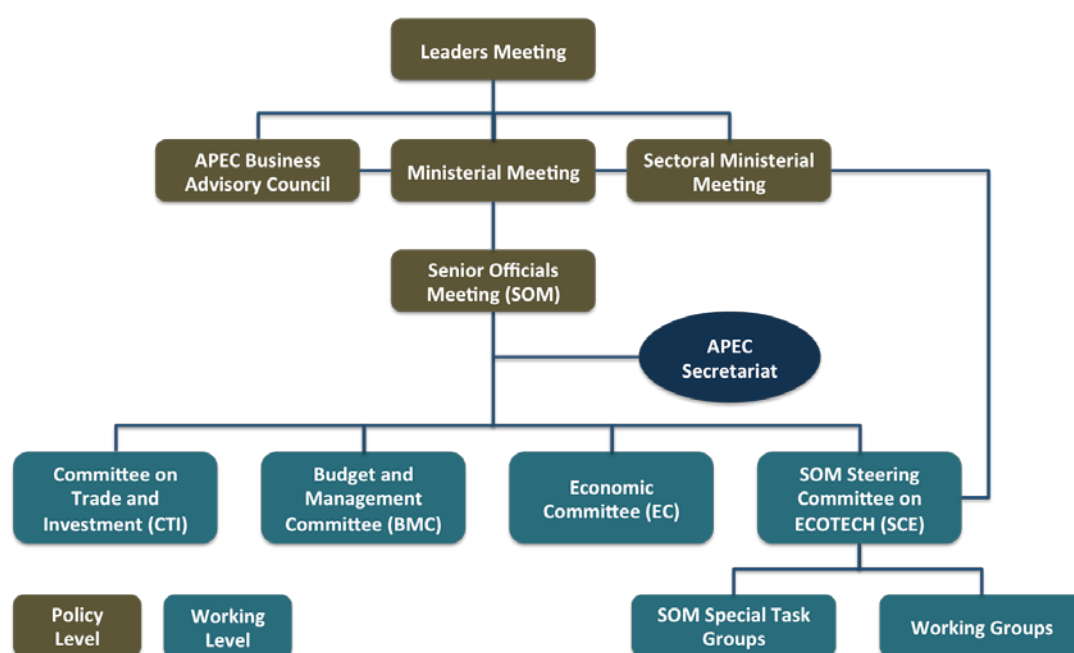


Figure 1. APEC Organisational Structure (adapted from APEC at a Glance²)

The Senior Officials' Steering Committee on ECOTECH (SCE) is mandated to strengthen the prioritisation and effective implementation of ECOTECH activities through various APEC fora, including Working Groups (WGs) such as the Agricultural Technical Cooperation Working Group (ATCWG) and Industry Dialogues such as the High Level Policy Dialogue on Agricultural Biotechnology (HLPDAB).

¹ [2011 APEC Senior Officials' Report on Economic and Technical Cooperation](#) – APEC#211-ES-01.5

² APEC at a Glance http://publications.apec.org/publication-detail.php?pub_id=1246

APEC groups, such as the ATCWG and HLPDAB, are comprised of experts from each APEC Member Economy and work as directed by APEC Economic Leaders, Ministers and Senior Officials to deliver the vision, objectives and priorities of APEC.

The objectives of the ATCWG are to improve the capacity of agriculture and its related industries and to share information and experiences in the areas of agriculture, biotechnology and animal and biogenic resource management, ultimately to enhance agriculture's contribution to the region's economic growth and social well-being by promoting agricultural technical cooperation between APEC members³.

The objective of the HLPDAB is more specific and aims to promote a greater understanding and awareness of agricultural biotechnology, particularly the continued advancement of policy discussion and efforts in regulatory harmonisation and technical approaches to global agricultural challenges (e.g. on-farm productivity and profitability, climate change, food security etc.)⁴. This is particularly relevant given the asynchronous adoption of agricultural biotechnology across APEC economies and the implications on free and open trade and investment.

Regular evaluation and review of APEC groups is fundamental in ensuring continuous improvement and alignment with the vision, objectives and current APEC priorities. The SCE undertakes regular reviews of all APEC Working Groups, Task Forces and Networks. The most recent assessment of the ATCWG and HLPDAB was published in February 2009⁵ and included a consideration regarding the merger of the ATCWG and HLPDAB fora.

This report outlines an independent assessment and evaluation of the structure, impact, appropriateness, effectiveness and efficiency of the ATCWG and HLPDAB from February 2009 to May 2012 and is aligned to the Terms of Reference as set out by the SCE (see **Appendix 1**). The report addresses each of the assessment and evaluation categories as well as identifying opportunities and making recommendations for improvement, collaboration and greater consideration of gender balance and equality in the operations of each fora. The report also revisits the consideration of merging of the two fora.

In order to address each category of assessment, the Consultant used multiple research methods, including:

- a review of relevant APEC and working group literature
- conducting interviews with key informants and stakeholders across the 21 member economies

³ [Agricultural Technical Cooperation Working Group](#)

⁴ [APEC High Level Policy Dialogue on Agricultural Biotechnology Dialogue Work Plan 2010-2012](#)

⁵ Independent Assessment of the ECOTECH Implementation of APEC Working Groups and SOM Taskforces: Agricultural Technical Cooperation Working Group and High Level Policy Dialogue on Agricultural Biotechnology http://publications.apec.org/publication-detail.php?pub_id=20

- conducting a questionnaire to solicit opinions (including self evaluation) on the strategy and direction of the ATCWG and HLPDAB and recommendations on how to improve
- participatory observation of the workings of the ATCWG and HLPDAB through attending the Senior Officials Meeting 2 in Kazan, Russia.

2. ALIGNMENT WITH APEC PRIORITIES

In their 1994 Bogor Declaration, APEC Leaders agreed to the common goals of free and open trade and investment by 2010 for industrialised economies and 2020 for developing economies. They agreed to pursue these targets, known as the Bogor Goals, by reducing barriers to trade and investment to promote the free flow of goods, services and capital among APEC economies. The Bogor Goals reflected the shared belief that free and open trade and investment were essential to realising the region's growth potential and enhancing economic and social outcomes for all APEC economies. Whilst not yet fully realized,⁶ APEC Economies have progressed significantly towards achieving these ambitious goals.

Recognising the need to maintain momentum, APEC Economic Leaders' agreed in 2010 on a Growth Strategy⁷ focused on five desired attributes for economic growth, along with an Action Plan to guide APEC and its members in aligning critical work with these priorities. The primary aim being to improve the quality of economic growth in the region so that it will be more balanced, inclusive, sustainable, innovative, and secure. In the Leaders' statement on this strategy, it was requested that APEC Senior Officials conduct "*....annual progress reviews on APEC's relevant work programs while finding ways to take stock of progress, and making any needed adjustments in the work programs to maximise APEC's efforts to promote the Five Growth Attributes*".

In line with the request, the SCE developed a *Framework to Guide ECOTECH Activities*⁸ as a practical guide for APEC-funded capacity building and all ECOTECH activities. The guide covers both long-term and medium-term priorities as well as short term priorities or annual SCE policy criteria. The document was created recognising that APEC needs to adopt a more strategic and holistic approach to ECOTECH activities, focusing APEC resources on achieving the outcomes most important to its members and maximising APEC's contribution to the region. It was

⁶ Progressing towards the APEC Bogor Goals Perspectives of the APEC Policy Support Unit http://publications.apec.org/publication-detail.php?pub_id=1083

⁷ APEC Leaders' 2010 Growth Strategy http://www.apec.org/Meeting-Papers/Leaders-Declarations/2010/2010_aelm/growth-strategy.aspx

⁸ Annex 3, 2010 APEC SOM Report on Economic and Technical Cooperation http://publications.apec.org/publication-detail.php?pub_id=1075

further agreed that SCE sub-fora activities should be aligned with approved APEC medium-term ECOTECH priorities and the agreed funding criteria for all projects.

The SCE has five medium-term priorities (2010-2015) that will be reviewed prior to 2015:

1. Regional Economic Integration.
2. Addressing Social Dimension of Globalisation (Inclusive Growth).
3. Safeguarding the Quality of Life through Sustainable Growth.
4. Structural Reform.
5. Human Security.

SCE sub-fora undertake activities that promote the growth of these attributes through their respective medium term work plans. Whilst groups do not need to promote or contribute to all 5 priorities, they are required to focus activities on at least one or more that align with their respective mandates.

2.1 Alignment of the ATCWG

The objectives of the ATCWG Medium-Term Work Plan (2010-2015)⁹ states that *“The group will serve as a forum for member economies to enhance the capacity of agriculture and its related industries to contribute to economic growth, food security and social well-being in the region”*. The five ATCWG goals defined are:

- Goal 1:** Improving agricultural production and distribution through increased innovation, nutritional value, and food safety.
- Goal 2:** Improving human and institutional resource capacities in agriculture through education and training.
- Goal 3:** Improving aspects of environmental and natural resource management, infrastructure development related to food security.
- Goal 4:** Improving agricultural information systems and analysis.
- Goal 5:** Improving the preparations for natural disasters and cross border threats.

The structure of the ATCWG Work Program is outlined in **Figure 2**. Within this structure the fora identify activities and action items aligned to each of the goals as well as those that contribute to multiple goals (**Table 1**). A total of 30 goals are described in the current plan and range from conducting annual meetings and specific workshops (e.g. food productivity and food security in APEC member economies) to information exchange (e.g. impacts of climate change on APEC

⁹ Current ATCWG Medium-Term Work Plan Publication Reference 2012/SOM2/ATCWG/005

agriculture production) and feasibility studies (e.g. feasibility study on cost-effective risk management strategies for food security).

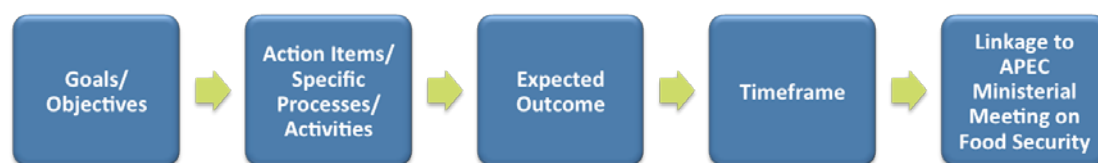


Figure 2. Structure of the ATCWG work Program

Table 1. Breakdown of the ATCWG Goals described in the medium-term work plan (2010-2015)

ATCWG Medium Term Goal(s)	Number of Goals/Objectives Defined
Goal 1 – Improving agricultural production and distribution through increased innovation, nutritional value, and food safety	14
Goal 2 – Improving human and institutional resource capacities in agriculture through education and training	2
Goal 3 – Improving aspects of environmental and natural resource management, infrastructure development related to food security	4
Goal 4 – Improving agricultural information systems and analysis	3
Goal 5 – Improving the preparations for natural disasters and cross border threats	4
Goals 1-5	3
Total	30

Similarly, the mandate of the ATCWG is articulated in the Terms of Reference, indicating a focus on:

- promoting activities and regional cooperation to strengthen food security in the APEC region
- the conservation and utilisation of plant and animal genetic resources
- research, development and extension of agricultural biotechnology
- production, processing, marketing, distribution and consumption of agricultural products

- sanitary and phyto-sanitary (SPS), Integrated pest management (IPM), biosecurity, biodiversity, and control of invasive alien species (AIS)
- cooperative development of agricultural finance system
- sustainable agriculture and related environmental issues, including climate change adaptation and mitigation
- agricultural investments and trade facilitation.

2.2 Alignment of the HLPDAB

Unlike the ATCWG, the HLPDAB reports directly to the APEC Senior Officials. The HLPDAB work-plan (2010-2012)¹⁰ is not directly aligned to the SCE, but nevertheless aligns to the five broader SCE medium-term priorities (2010-2015).

The specific objectives outlined in the HLPDAB work plan include:

- exchange of information and promote capacity building regarding the responsible use, development and informed adoption of agricultural biotechnology as a tool to increase agricultural productivity, raise farm income,
- spur economic growth, protect the environment, mitigate and adjust to impacts of climate change, and to strengthen food security in the Asia-Pacific region (SCE Goals 3 and 5)
- promoting transparent, science-based, and functioning regulatory systems to ensure safety and to facilitate investment in and the development and application of innovative biotechnologies (SCE Goals 1,2 and 3)
- building upon the work of international fora and existing international standards, such as the *Codex Alimentarius Commission*, to promote regulatory harmonization among APEC economies and public confidence in those systems (SCE Goal 1)
- supporting outreach and capacity building activities to help achieve above objectives (SCE Goal 2).

On an annual basis the HLPDAB develops a work plan of priorities and deliverables. However, a structured breakdown of the work-plan (*cf.* **Figure 2**) has not been developed and it is unclear who is responsible for the various deliverables.

Outlined in the HLPDAB Terms of Reference and the 2012 work plan, the dialogue will focus on:

¹⁰ Current HLPDAB Work Plan 2010-2012, document reference 2011/SOM3/HLPDAB/FOR/004

- enabling policies, risk assessment, risk management, field trial management, new traits including insect resistance management, and potential animal biotechnology applications to better enable APEC Economies to commercialize beneficial biotechnologies to address challenges of food security, climate change, and promote economic growth and regional integration
- risk communication to improve the ability of APEC Economies to effectively communicate biotechnology issues and nurture public confidence in biotechnology regulatory systems
- continued outreach on international standards and guidance to provide Economies with tools to facilitate trade of biotechnology crops, including the Codex Annex on food safety assessment in situations of low level presence of rDNA plant materials in food (LLP)
- continued outreach on the Cartagena Protocol on Biosafety
- establishing both short-term (annual) and medium term (three – five year) work plans to support HLPDAB and APEC objectives.

These foci are also aligned with the APEC *Action Plan: Facilitating Trade in Products derived from innovative Agricultural Technologies*¹¹ as defined at the APEC Ministerial Meeting (AMM) held in November 2011.

2.3 Alignment Assessment and Opportunities

Alignment of the generic capabilities of an organisation with the strategic positioning of that organisation is a prerequisite for high performance¹². Through the assessment, the Consultant has identified the need for each fora to revisit their work plans and clearly define the elements that will lead to successful outcomes. That is:

- How will APEC and each fora know that their goals have been achieved?
- How are each fora going to achieve their goals?
- What are the achievements or changes that they **expect** to see in the short-term, the achievements or changes they **want** to see in the medium-term and the achievements or changes they **hope** to achieve or change in the long-term?.
- Who is responsible for delivery of each outcome and output?

¹¹ Action Plan: Facilitating Trade in Products derived from innovative Agricultural Technologies http://www.apec.org/Meeting-Papers/Ministerial-Statements/Annual/2011/2011_amm.aspx

¹² Nicholas O'Regan, Abby Ghobadian, (2004) "The importance of capabilities for strategic direction and performance", Management Decision, Vol. 42 Iss: 2, pp.292 - 313

- Are any baseline data available? What are the targets in the short, medium and long term?

In order to implement effective change in the APEC region, there needs to be a specific roadmap for success. This begins with the overall strategic framework of each fora, with the fora then in a position to align the various programs and projects towards delivering results against the higher level Strategic Objectives and Mission of APEC.

Through the assessment, the Consultant found it difficult to see clear functional connection between strategic, operational and program outcomes within current strategy and work-plan documents. Without such clarity, it is easy for fora to drift from the overall objective or to disproportionally focus on one or two objectives.

The APEC monitoring and evaluation framework, as outlined in the Guidebook on APEC Projects (edition 8)¹³, provides the structure and mechanism to focus and align project-based activities with the appropriate strategic, organisational and programmatic elements. Whilst projects are tacitly aligned to sub-fora and SCE goals, direct linkage with specific SMART¹⁴ indicators of success are not evident. Without this clarity it is difficult to effectively evaluate the impact (change) attributed to each fora.

The Consultant recommends that the work-plan elements be restructured utilising a structured monitoring and evaluation framework approach. There are two commonly used models for project/program design: the logical framework approach and the results framework approach. Each approach can be presented differently, but both generally define the goals, purposes/objectives, outputs/outcomes and activities/impacts of a project/program. Both require information on progress indicators and means of verification (or monitoring/evaluation) of the different project dimensions. Results-frameworks have the advantage that they may also be used for programme-level or strategic planning, and thus tend to look at a broader picture. A generic example of a results framework for the two APEC fora is provided in **Table 2**.

The APEC Secretariat appears to share this view. Associated with the reforms set out in the 2010 *Framework Guide*, the APEC Secretariat Executive Director was tasked with providing an annual report to SCE on the alignment of SCE fora work plans with APEC's overall Vision and Objectives. During the development of these reports it was noted that the quality of work plans submitted by sub-fora varied significantly and sought to proactively develop a tool that would assist with strategic planning processes. With the help of the APEC Technical Assistance and Training Facility (TATF), Nathan Associates were engaged to develop a Strategic Planning Guide, with training provided to all APEC Secretariat Program Directors.

¹³ Guidebook on APEC Projects (edition 8) <http://www.apec.org/Projects/~media/D103E0D717C64F0EAA7B9116636FFB17.ashx>

¹⁴ SMART—Specific, Measurable, Attainable, Relevant and Time bound

In May 2012, Nathan and Associates presented an overview of the Strategic Planning Process at each fora meeting during the Senior Officials Meeting 2 in Kazan, Russia (SOM2). Strategic Planning was also discussed at the HLPDAB Steering Committee Meeting held in Moscow on 6th February 2012.

Table 2. Example generic results framework that could be used for fora work-plans.

Results Framework						
SCE Priority:						
Outcomes	Outcome Indicators (SMART)	Outputs	Responsible	Assumptions	Risks	Monitoring and Evaluation Events and Methods
Outcome 1		Output 1.1 Output 1.2				<u>Actions</u>
Outcome 2		Output 2.1 Output 2.2				<u>Key Questions</u> <u>Methods of Verification</u>

The SCE has also adopted a policy requiring SCE fora to prepare a strategic plan that ensures the work they undertake is done to maximise contributions towards APEC's broader goals. Strategic plans are to be completed by SCE2 in 2013, a timeline that ensures all fora will have a chance to discuss their plans at a regular meeting, the assistance of the APEC Technical Assistance and Training Facility (TATF) remains available to support fora in the development of these plans.

The Consultant strongly supports this approach in providing consistency as well the development of clear SMART indicators of success, that will ultimately demonstrate the impact affected by each fora. The Consultant encourages each Lead Shepard to take the assistance offered through TATF.

3. PROJECT ASSESSMENT

APEC provides funding for projects in support of achieving its goals. There are four main sources of funding for APEC projects. The:

1. Operational Account (OA).
2. Trade and Investment Liberalisation and Facilitation Account (TILF)
3. APEC Support Fund (ASF).
4. Self-funding.

Details on the funding sources are published on the APEC web site¹⁵ and all projects must be planned and implemented in accordance with the Guidebook on APEC Projects¹⁶ and are assessed and ranked according to regularly reviewed funding criteria¹⁷.

Since 2009, ATCWG members have submitted 51 applications for project funding. Of these, APEC approved 24 (**Figure 3; Appendix 2**) with a total value of just over 2.0 million US dollars (**Figure 4**). In addition, the ATCWG members have contributed 12 self-funded projects across this period and produced 18 project related publications (**Appendix 2**).

Significantly, of the 14 project proposals submitted to APEC in 2011, 10 were approved for funding suggesting that the review process and alignment of ATCWG projects with APEC priorities is getting stronger, particularly with respect to issues around food security.

The Consultant notes that the number of projects submitted and being approved has increased dramatically under the new project guidelines and process. However, it is recommended that the number of projects submitted and funded should not necessarily be a metric of ATCWG success unless appropriate completion evaluations are also undertaken.

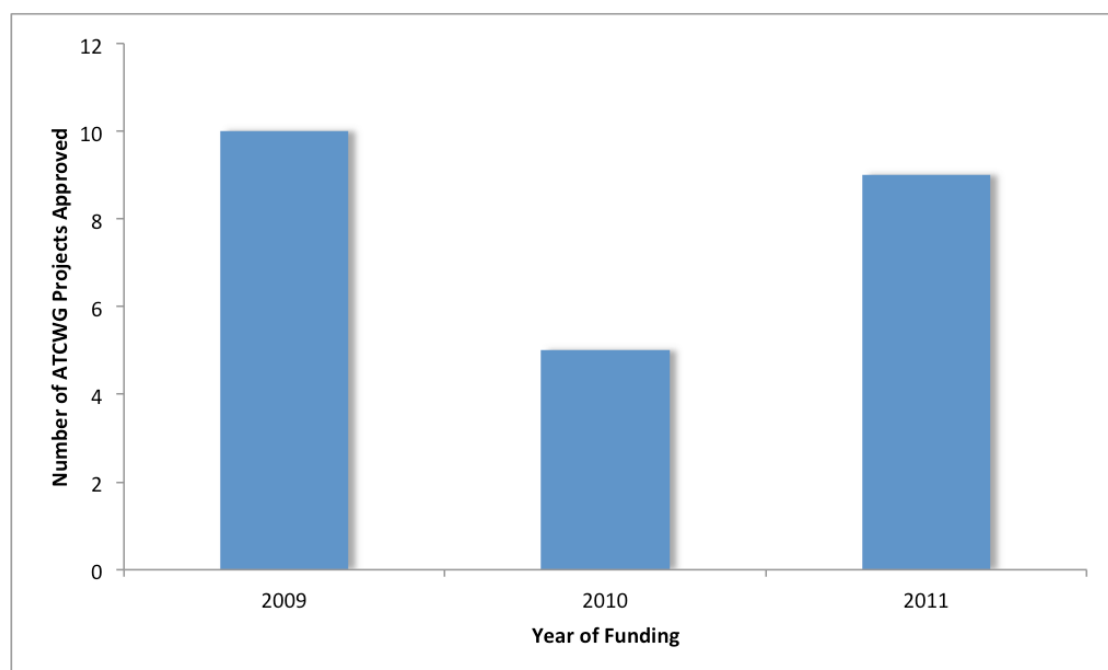


Figure 2. APEC project approvals for the ATCWG 2009-2011

¹⁵ <http://www.apec.org/Projects/Funding-Sources.aspx>

¹⁶ [Guidebook on APEC Projects.](#)

¹⁷ 2012 funding criteria for APEC funded projects <http://www.apec.org/Projects/~media/D6ACCEB81F114DB6918F29AD3F8C7297.ashx>

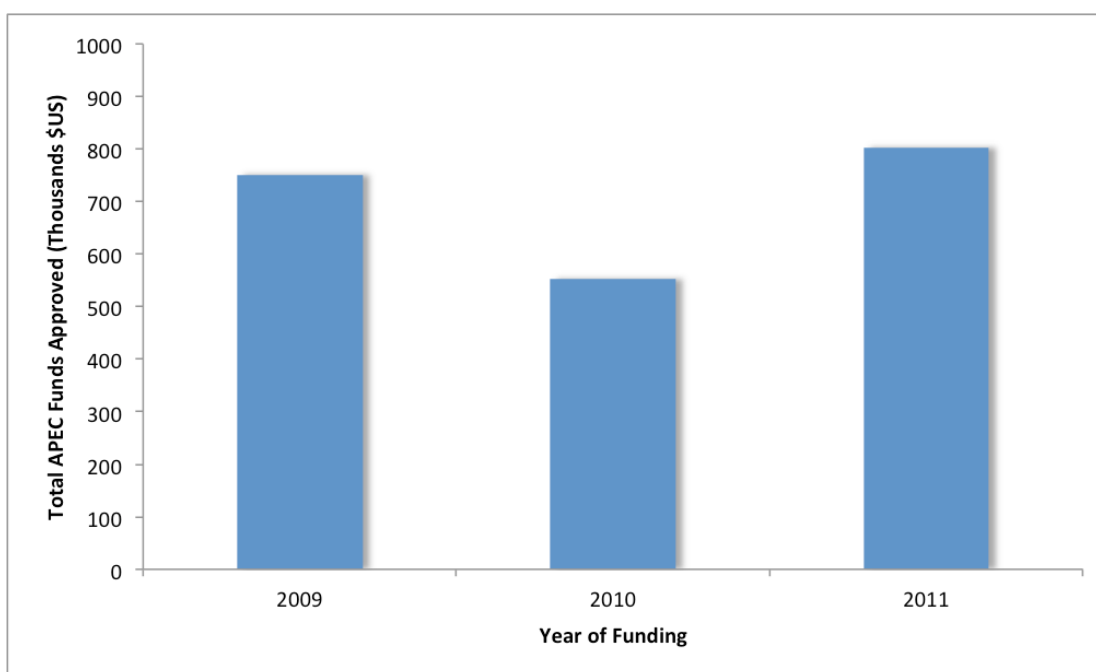


Figure 3. APEC project funding for the ATCWG 2009-2011

In contrast to the ATCWG, the HLPDAB had only two APEC projects from 2009-2012:

1. HLPDAB 01/2009S – Consultative forum on crop biotechnology acceptance (\$49,600 self funded; proposed by USA)
2. HLPDAB 01/2010T – Low level presence of agricultural biotechnology in agriculture shipments: towards an alignment of APEC Member Economy Policies (\$42,053 TILF funded; proposed by USA)

This reflects the different mandates of the two fora, but the Consultant encourages HLPDAB members to actively and selectively seek APEC funding to assist in delivery of its goals and terms of reference as well as cross cutting opportunities that involve agricultural biotechnology policy.

The Dialogue has a unique opportunity to make valuable and tangible contributions to significant issues such as food security and climate change, as noted on the 2010 AMM on Food Security. Further, given the focus of APEC on trade and investment, the HLPDAB should be the regions voice and facilitator of activities associated with the Cartagena Protocol on Biosafety, the first legally binding international agreement governing the movement of living modified organisms. As noted by Gruère and Rosegrant (2008)¹⁸, APEC has four distinct groups depending on protocol

¹⁸ Gruère GP and Rosegrant MW (2008). Assessing the implementation effects of the Biosafety Protocol's proposed stringent information requirements for genetically modified commodities in economies of the Asia Pacific Economic Cooperation. *Review of Agricultural Economics* 30: 214-232

membership and adoption of GM crops. This is perhaps the single biggest challenge to open and free trade and investment across the region.

Symposia and workshops were the predominant project type for both fora over the review period 2009-2012 (**Appendix 2**). This makes it difficult to evaluate the direct benefits to APEC economies in terms of adoption of new practices and outcomes related to the funded meetings. Typically symposia and workshops lead to small to moderate changes in behaviours or outcomes. However, many of the Economies surveyed felt that the APEC project system and associated database was strong and provided an excellent vehicle for networking and information exchange, capacity building and scientific, technical and policy advancement across the APEC region.

That noted, there does not appear to be a robust evaluation process of projects in terms of measuring the impact that workshops and symposia have had across the APEC region. Currently, projects overseers only submit a completion report to APEC. Several economies raised concerns that the lack of project evaluation and thorough analysis of projects is lacking and as such felt it difficult to determine their enduring effectiveness.

4. FORUM OPERATIONS

APEC guides fora in terms of how they are to operate through regularly revised policies and procedures. This includes the expectations and obligations of the role played by each Chair/Lead Shepard in the running of fora¹⁹.

During this assessment, the Consultant participated at the annual individual meetings of the ATCWG and HLPDAB from the 26th-28th May 2012, in Kazan, Russia. In participating in these meetings, the Consultant was able to observe meeting processes, procedures and outcomes, whilst also using the opportunity to conduct face-to-face meetings with several key informants, including the Group Chairs and articulate the scope, purpose and timeframes of the assessment to various Economy participants.

Operations of each fora were further assessed through a questionnaire circulated to member economies (**Appendices 3 and 4**) and a review of available literature.

4.1 ATCWG Operational Assessment and Opportunities

Aligned with its terms of reference, the ATCWG holds annual plenary meetings, additional multi-lateral workshops and various symposia as interactive working

¹⁹ Revised Guidelines for Lead Shepherd/Chair and Deputy Lead Shepherd/Chair of APEC Working Groups and SOM Task Forces-May 2012 <http://www.apec.org/About-Us/About-APEC/Policies-and-Procedures.aspx>

opportunities. The remainder of the WG activities is largely driven out of session, facilitated by the Lead Shepard and the APEC Secretariat.

The ATCWG has met annually since 2009 (**Table 3**) with the majority of delegates surveyed agreeing that the number of plenary meetings held is '*About Right*' and a small number indicating the number is '*Too Few*'.

Meeting structure has varied across the past four meetings, however all appear to be well structured and participants were complimentary in the efficiency with which meetings have been run.

Table 3. ATCWG Annual Meetings 2009-2012

Annual Meeting Number	Dates	Location	Number of Days
13 th Meeting	22 nd to 25 th June, 2009	Suzhou, Jiangsu province, PRC	4 days
14 th Meeting	17 th to 19 th June, 2010	Beijing, PRC	3 days
15 th Meeting	2 nd to 4 th March, 2011	Washington DC, USA	3 days
16 th Meeting	28 th May, 2012	Kazan, Russia	1 day

PRC–Peoples Republic of China

Typically, annual meetings have been run over three to four days, however the 2012 annual meeting was conducted on only one day and as such the Consultant felt the meeting was rushed and not enough time was devoted to robust discussion and debate. Further, the Consultant notes that not enough time for discussion was devoted to the Strategic Planning Process and review of the WG priorities.

All respondents to the ATCWG questionnaire had attended two or more meetings with several that have attended all meetings, indicating that participants are experienced with APEC processes and the ATCWG mandate. This is encouraging and in general participants responded favourably to how the ATCWG carries out responsibilities related to its terms of reference and medium term goals (**Figure 4**).

Examination of the various responsibilities of the ATCWG, through the questionnaire and discussions with participants, identified a few opportunities for improvement. In particular, a number of participants felt that activities of the ATCWG are not sufficiently focused or aligned to its strategic outcomes (see **Section 2**). Further, there is a view that thorough analysis of many ATCWG projects is lacking and that it is often difficult to examine their effectiveness. The Consultant shares this view and identified that many of the projects presented at the 16th Annual Meeting were not subject to critical peer review, including follow up evaluation of their impact on APEC economies.

Others felt that many of the tools developed through the WG were not efficiently disseminated and that some projects related more to a single institution, individual

agricultural sector or the capacity of some officials rather than whole of economy or across the broader APEC region. There is a view that more collaborative technical projects among economies are required. This will, in turn, further ensure there is enough incentive for all economies to attend ATCWG meetings.

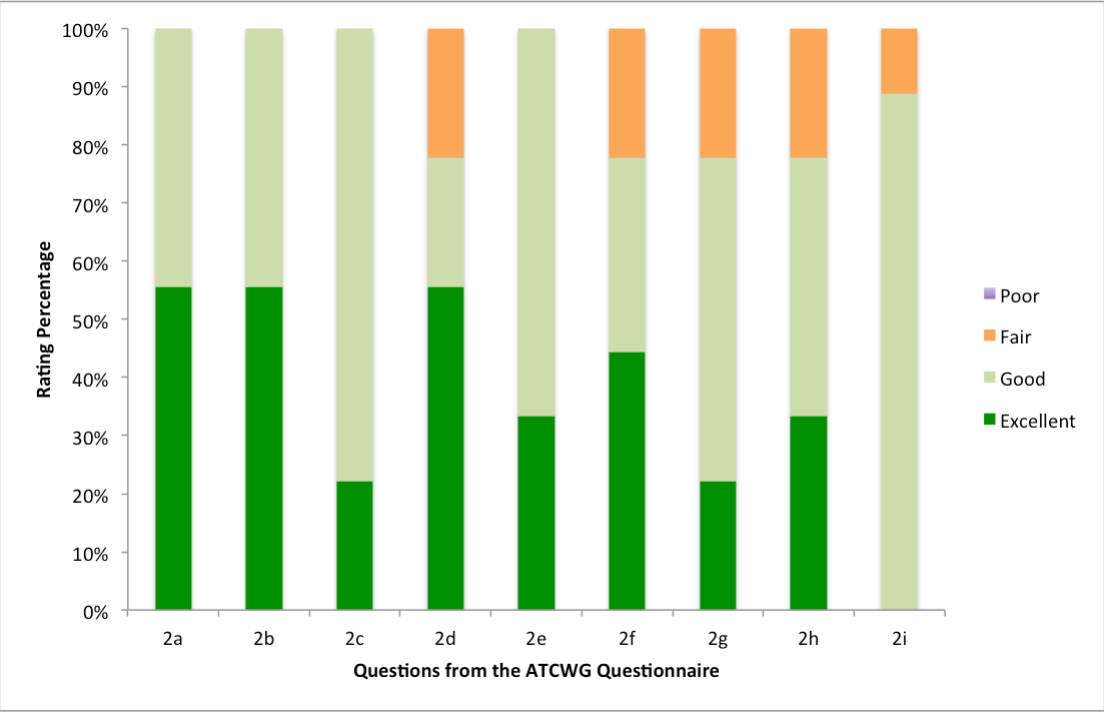


Figure 4. Questionnaire responses to how the ATCWG carries out responsibilities related to its mandate.

Many participants felt that the ATCWG could improve information systems in the region and that communication networks and existing collaborative tools should be appropriately dovetailed with existing global agricultural information systems. This is nevertheless a challenge given the vast number of global agricultural information systems currently available. However, the opportunity to capture APEC centric data sets is desirable.

It is noteworthy that the ATCWG offers a unique technical capacity that could support many other APEC fora, not just the HLPDAB. All participants that the Consultant surveyed agreed that the ATCWG could improve interactions with other APEC fora but also acknowledged that the current Lead Shepard has been making significant advances in consolidating collaborative interactions. However, it is also noted that there is little direct advice or support that the ATCWG provides to other APEC fora, SOM or Ministers etc. Approaches for enhancing collaborative linkages between the WG and policy are discussed in **Section 5**.

Further dissection of the ATCWG performance and future directions highlighted support for the timing of annual meetings aligned with other major APEC events (**Figure 5**). The recent alignment of the annual meeting with other APEC meetings such as HLPDAB, PPFS and SOM is widely seen as a positive. Without such alignment the ATCWG is at risk of losing key Economy representation and the much-needed buy in needed for delivery of the medium term goals.

On the topic of merging the ATCWG with other APEC fora, all participants that the Consultant spoke with, or surveyed, agreed that it was not in the best interests to merge or radically adjust the current terms of reference. It was strongly articulated that the ATCWG should remain a technical cooperation and that the group had much to offer other 'non-technical' APEC fora as well as providing direct advice to senior policy makers. This issue is discussed further in **Section 5**.

Lastly, many of the participants that the Consultant spoke with utilised the WG meetings as an opportunity for other out of session bi-lateral and multilateral discussions. Whilst not evident at the 16th Annual Meeting, a longer meeting window or dedicated bi-lateral and/or small multilateral discussion sessions may be advantageous for future meetings. This might include, for example, scheduled joint sessions dedicated to synergistic issues/opportunities during annual meetings.

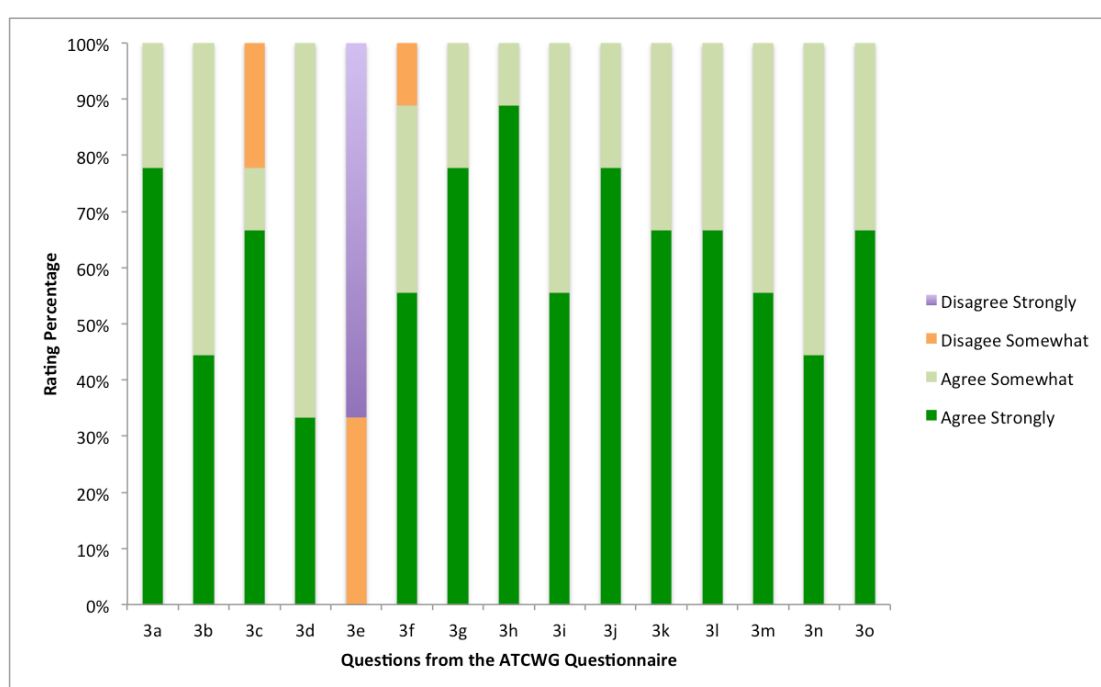


Figure 5. Questionnaire responses to statements on how the ATCWG carries out responsibilities related to its mandate.

4.2 HLPDAB Operational Assessment and Opportunities

Similar to the ATCWG, the HLPDAB holds annual plenary meetings, additional multi-lateral workshops and various symposia as interactive working opportunities and conducts out of session activities, facilitated by the Dialogue Chair and the APEC Secretariat. This includes the meeting of a Steering Committee comprised of government officials from the 21 APEC economies that plan and coordinate work of the Dialogue for onward endorsement by Policy Dialogue members at the annual meeting.

The HLPDAB has met annually since 2009 (**Table 4**) with all of the delegates surveyed agreeing that the number of plenary meetings held is '*About Right*'.

Table 4. HLPDAB Annual Meetings 2009-2012

Annual Meeting Number	Dates	Location	Number of Days
8 th Meeting	20 th to 21 st February, 2009	Singapore	2 days
9 th Meeting	29 th to 30 th May, 2010	Sapporo, Japan	2 days
10 th Meeting	1 st to 2 nd March, 2011	Washington DC, USA	2 days
11 th Meeting	26 th to 27 th May, 2012	Kazan, Russia	2 days

The structure of meetings has varied across the past four years, however most appear to be well structured and participants were complimentary in the efficiency with which past meetings have been run. Several participants of the 11th meeting opined that the meeting was poorly structured in comparison to past meetings and that the HLPDAB has shifted focus to the sharing of views and national experiences rather than focusing on how to implement low binding commitments to achieve economic and regulatory harmonisation (**Figure 6**). Further, a number of participants opined that the meeting was predominantly comprised of presentations and lacked robust facilitation, engagement and discussion. It is noted that no consolidated policy actions or commitments were developed during the meeting and detailed feedback or endorsement items from the Steering Committee meeting held in February was lacking.

This and other less than positive views may be, in part, a reflection of the level of interaction that participants had with the Dialogue. Many of the questionnaire respondents and meeting attendees that the Consultant surveyed were attending their first HLPDAB meeting, indicating that a large cohort of participants were not necessarily experienced with APEC processes and the HLPDAB mandate. Several participants new to the Dialogue did not fully understand how the HLPDAB fits into APEC and multilateral discussions. This is perhaps why questionnaire responses on how the HLPDAB carries out responsibilities related to its mandate were more variable than those observed for the ATCWG (**Figure 6**).

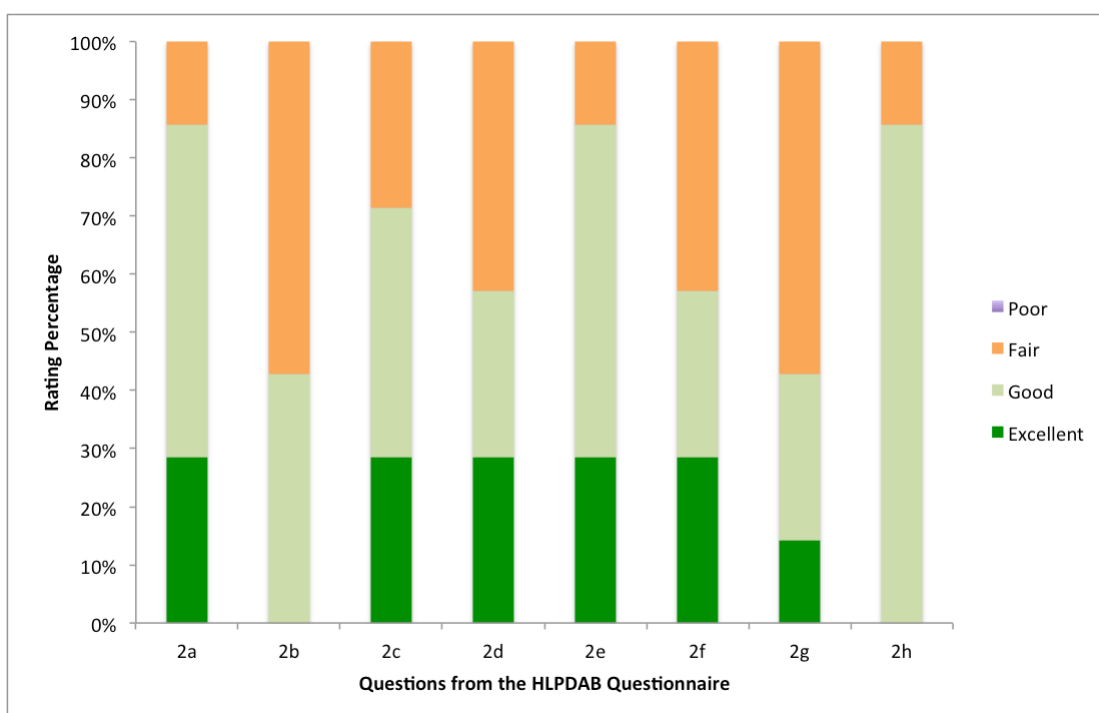


Figure 6. Questionnaire responses to how the HLPDAB carries out responsibilities related to its mandate.

HLPDAB questionnaire results suggest plenty of room for improvement in terms of how the Dialogue carries out its responsibilities. Some of the comments made to the Consultant include:

- “....The HLPD has become a forum of information sharing with little effective implementation of regulatory harmonisation or capacity building across APEC economies”
- “....The Dialogue promotes harmonisation, but does not actively contribute any tools or programs towards harmonisation”
- “...There is little or no communication of Ag Biotech policy information to the public”
- “...The Dialogue aims to facilitate trade of agricultural biotech products though policy formulation and development, but does not produce tools for achieving this”

Further dissection of the HLPDAB performance and future directions endorsed the timing of the Dialogue meetings with other major APEC events (**Figure 7**). It also highlighted a number of positive attributes and opportunities. In particular, the HLPDAB is seen to have its strengths in being focused on policy rather than technical capacity building. All participants agreed that the need and relevance of the Dialogue is far greater now than ever before.

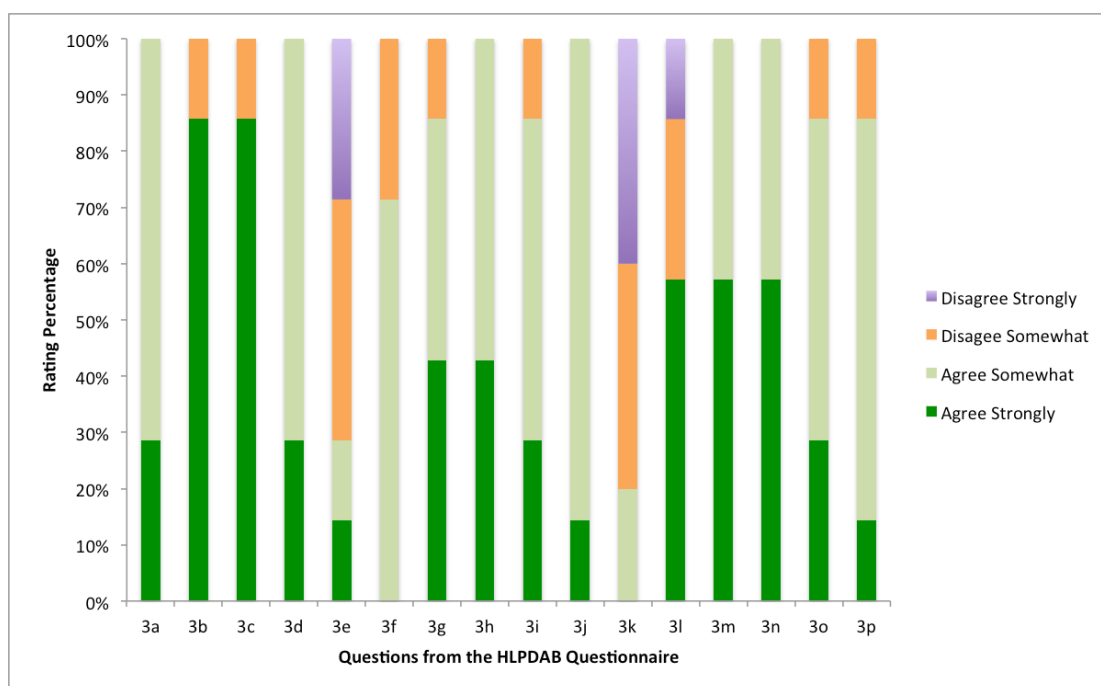


Figure 7. Questionnaire responses to statements on how the HLPDAB carries out responsibilities related to its mandate.

Participants also noted that the Dialogue has improved its collaboration and communication with other APEC fora such as the ATCWG and the Policy Partnership on Food Security (PPFS) and that this is fostered through the holding of annual meetings around the same time and location.

Opinion on the opportunity to merge with another APEC fora was mixed, but largely discouraged due to the distinct role that the Dialogue plays. Participants see enhancing the linkages with other fora to be far more effective than merging.

Interestingly, the expectation of 'high-level' participation (as indicated in the Dialogues name) seems to limit more focused and specific policy from being developed. Without attendance of very senior policy makers, particularly from the highly developed economies, the attraction for senior policy makers from other economies to attend was lost. On the other hand, it was opined that due to the lack of high-level involvement, the Dialogue attracted policy makers that were perhaps not across the issues or sensitivities of agricultural biotechnology and hence the development of collaborative policy was limited.

5. COOPERATION

A key strength of APEC is a shared vision and cooperation towards the delivery of goals that benefit the Asia-Pacific region. For example, reducing barriers to trade and investment to promote the free flow of goods, services and capital among APEC

economies. Agriculture plays a pivotal role in terms of its importance to the GDP of APEC economies and its prominence in trade and investment opportunities across the region. This includes traders of large commodities that are both conventional and derived from agricultural biotechnology.

The role of agriculture in contributing to achieving the APEC goals requires successful delivery of policy relevant activities through a defined process of engagement between both public and private sector technical expertise and the policy community. This engagement must focus on the facilitation, dissemination and use of agricultural technologies that creates an agile yet sustainable regional agricultural sector. Both the ATCWG and HLPDAB are well positioned to significantly contribute to these aims.

At the Concluding Senior Officials Meeting in November of 2010, Senior Officials endorsed a set of recommendations on specific sub-fora to be examined in 2011. In particular, SOM recommended that sub-fora with overlapping mandates hold their meetings in 2011 back-to-back and use joint sessions to explore synergies and specifically discuss between themselves the potential for and benefits of merger. The ATCWG and the HLPDAB were identified as having noticeable overlap and some clear synergies. The previous independent assessment of the ATCWG and HLPDAB concluded that a merger was warranted. This sparked a controversy amongst both fora that has continued ever since. Participants surveyed during this assessment, from across both fora do not support a merger and felt that discussions on the matter had taken up too much time and too many resources preventing fora from *'getting on with the job'* and that it was time to make a definitive decision on a pathway forward.

Whilst a merger of fora seems to be logical, in theory, consideration of the operations of each demonstrates that there are clearly distinctive roles and expertise required for each. For example, the HLPDAB is principally comprised of policy makers and officials and not technical experts and is primarily focused on agricultural biotechnology policy. In contrast, the ATCWG considers broader agricultural issues at a technical, not necessarily a technology level. Member economies feel very strongly that each fora should not be merged as this could dilute the effectiveness and appropriateness of each. The Consultant also shares this view and therefore, has explored alternative means to guide efficiency and to facilitate impact through effective interaction between each fora.

The ideal modality of the ATCWG and HLPDAB is to have a true engagement/collaborative model that creates a synergistic approach towards creating the opportunities for trade and investment with technology based agricultural products. That is, interactive relationships involving ongoing engagement through networks and partnerships to address policy issues in a complex political environment. This is something that cannot be effectively achieved through a single forum.

The quality and depth of the interaction with policy makers is crucial in making technology-based cooperation and research relevant to policy. This requires the ATCWG members to be technical experts as well as skilled social scientists and capable participants in the world of policy and politics, and for HLPDAB policy makers to be responsive to the political environment as well as receptive to the findings and implications of policy research. Herein lies the key challenge for both groups.

More effective engagement can be achieved by developing technical-policy networks built on partnership and interaction. These networks provide regular, formalised opportunities for sustained engagement, rather than structures solely based on contractual relations. The networks could also include the newly formed PPFS and strategies could also be actively managed towards interactions with other APEC fora on an as needs basis.

The Consultant found that there is a strong commitment for greater engagement between fora. This is a reflection of '*real-world*' innovation approaches in which researchers no longer work at arms length on broad issues of enlightenment and policy practitioners only interested in research on narrowly conceived, short-term questions. The majority of APEC participants are '*reformers*' who recognise the political nature of policy, but who nevertheless see great potential for expanding impact of technical advances on policy. **Table 5** outlines four broad approaches and thirteen specific options to promote more effective '*engagement*' between fora. These options and approaches should be widely discussed within each of the APEC fora and importantly outcomes incorporated into future work plans.

Both fora have been encouraged to identify and proactively address cross cutting issues that affect the APEC region. This was clearly evident in the medium term work plans and at the annual meetings with both fora discussing this as a matter of priority. In consideration of the above, the Strategic Planning process offers the opportunity to truly differentiate the respective roles of each fora and to set measurable and tangible engagement points for future activities.

Many APEC programs and initiatives are being or are to be delivered across multiple economies within the Asia-Pacific region. Operating across multiple jurisdictions and scales, the ATCWG and HLPDAB partnership model will therefore be necessarily complex. This complexity requires all parties to contribute in an integrated way towards improving overall APEC performance. Broad commitment to the APEC Mission amongst its partners is required to ensure coordinated efforts towards improving the trade and investment outcomes of the Asia-Pacific region.

Table 5. Suggested approaches to enhance technical cooperation and policy linkages between fora.

Approach	Work Plan Options
'Engagement' —adopted and promoted as core principles and practices of fora operations	• Develop 'engagement' performance indicators as part of the strategic planning process and incorporated into work plans • Develop a joint Policy Paper on APEC strategies to achieve evidence based regulatory harmonisation for agricultural biotechnology based products • Develop a joint Policy Paper on new and emerging technologies and policy challenges for APEC economies • Promote technical-policy networks around key agriculture policy topic areas identified by APEC economies • Conduct joint inter fora (e.g., technical-policy sessions) dedicated to synergistic issues/opportunities during annual meetings
'Engagement' —around research and technical cooperation, dissemination and utilisation	• Develop end-of-project workshops designed to explore policy implications and opportunities for technology utilisation (particularly around food security and climate change etc.) • Develop effective processes for technology awareness and utilisation (i.e. an HLPDAB annual meeting agenda item on new emerging technologies and issues; e.g. new transformation technologies, synthetic biology and GM animals) • Multi-fora engagement and participative approach to ongoing development of medium term work plans
'Engagement' —in wider policy processes	• Expand technical-policy workshops on topical issues targeted to specific groups of policy participants • Develop a proactive technical cooperation promotion strategy (e.g. through wider public communication)
'Promotion' —of regional level collaboration and skills development in technical-policy linkage	• Promote staff exchanges across the APEC region • Develop and deliver educational packages for agricultural technologists in research promotion, communication and dissemination • Develop and deliver educational packages for policy practitioners in research assessment, management and utilisation

6. CONCLUSIONS

Several methods were used to conduct this independent assessment of the ATCWG and HLPDAB including a review of relevant literature, conducting interviews, a questionnaire provided to member economies and participatory observation of the workings of each fora through attending the 2012 Senior Officers Meeting Number 2 in Kazan, Russia.

The conclusions from this assessment are summarised below.

6.1 Structure

The ATCWG is comprised primarily of technical experts composed of officials and experts from universities, public and private sector organisations. There appears to be a nice balance of expertise, domain knowledge and raw enthusiasm. Many ATCWG participants have attended multiple meetings and understand well the processes of APEC. There was overwhelming support for the current Lead Shepard, who appears to be providing great leadership, growth and direction, building on the success of previous leadership. It is noted that the Lead Shepard was unanimously re-elected for an additional term.

In contrast, the HLPDAB is comprised primarily of public policy experts from government institutions from across the APEC region. The Dialogue appears to also be well balanced, however a large number of participants at the 11th Annual Meeting were attending their first meeting. Although many members felt they received appropriate preparation from their respective Economy, many would have benefited from a standard initiation manual articulating fora roles and expectations. With fora membership changing frequently there is a risk that members are not always aligned and therefore meetings should consider having time to bring members up to speed.

Historically the HLPDAB has run well structured meeting agendas informed through the HLPDAB Steering Committee. However, participants of the 11th Annual Meeting were a little disappointed with the agenda structure and whilst the focus on Low Level Presence is widely regarded as a key issue, participants would have preferred broader discussion and debate on the wider work plan. This may, in part, be a reflection of a lack of understanding on the expectations for the meeting as well as a new Lead Shepard '*finding their feet*'. The Consultant notes that the structure of HLPDAB meetings could be improved to maximise the value of time and resources towards the development of consensus policy options.

Collectively, participants from across both fora noted the lack of joint decisions recommendations, and outcomes from meetings. Given the alignment to other important APEC meetings, there was a sense of a lost opportunity to develop consensus positions/statements for consideration by other fora (e.g. PPFS), SOM and Ministers.

The majority of ATCWG and HLPDAB members surveyed overwhelmingly responded that each fora should remain separate and should not be merged. The consultant suggests that it is perhaps time for the SCE to make a definitive decision on the future of both fora and recognise the distinct roles each play towards delivery of APEC priorities.

6.2 Impact

Through the assessment, the Consultant found it difficult to see clear functional connection between strategic, operational and program outcomes within current strategy and work-plan documents. The Strategic Planning Process provides the single biggest opportunity for each fora to develop this. Without such clarity, it is easy for fora to drift from the overall objective or to disproportionately focus on one or two goals. Further, without the development of SMART indicators of success directly aligned to goals and objectives, it is extremely difficult for each group to demonstrate their impact.

Review of projects and a survey of members indicate that there has been some local change with respect to addressing some local issues, but regional change in terms of increased trade and investment directly linked to fora activities over the 2009-2012 period is not that clear to identify. Again the development of solid strategic frameworks should assist with this issue.

6.3 Appropriateness

The ATCWG and HLPDAB have developed medium term work plans aligned to the higher-level SCE goals and priorities and the overall APEC mission. Both play pivotal roles in bringing together key players in agriculture, agriculture technology and policy and the memberships are a balanced mix of gender and culture.

The Consultant considers the majority of fora members as '*reformers*' who recognise the political nature of policy, but who nevertheless see great potential for expanding impact of technical advances in agriculture on policy. The strategic planning process offers the opportunity to truly differentiate the respective roles of each fora and to set measurable and tangible engagement points for future activities.

6.5 Efficiency and Effectiveness

The ATCWG and HLPDAB operate consistently within their mandated terms of reference and members felt that the number and frequency of meetings was appropriate. The majority of members do not, however, support a merger of the two fora.

Given that membership is dynamic and sees regular changes, members are not always aligned and time is required to bring members up to speed. As such, meeting efficiency requires improvement to ensure time and resources are utilised effectively. This can be achieved through:

- pre-meeting preparation
- meeting facilitation and follow up
- a change in meeting culture, more focused on driving conclusions and recommendations for other APEC fora, SOM and Ministers etc.

The above may, in part, be improved through membership stability. Further, it is assumed that the Lead Shepard is best placed to ensure that fora maintain appropriately focused. As such, it is important that the selection of Lead Shepard explicitly considers leadership and management skills. Specifically the ability to:

- adhere to the specific role of the fora
- drive meetings efficiently.

The terms of reference of each fora should be amended to include key selection criteria (or key attributes) for the nomination of future Lead Shepard roles. This should include the specific abilities in adherence to the role of the fora as well as the ability to drive meetings efficiently. The APEC Secretariat should consider providing incentives to Economies for volunteering to the role of Lead Shepard. This might include, for example, providing an option of support to the Lead Shepard in terms of a facilitator for preparing and conducting annual meetings.

Further, members should be educated on and encouraged to adhere to fora roles and functions. This could be achieved through:

- regularly reconfirming and re-communicating roles
- development of a standard initiation program outlining the respective roles and functions of the fora and expectations of members. A short manual developed by the APEC Secretariat could support this education program.

If the above initiatives are not sufficient to drive effective change, then the APEC Secretariat may wish to consider the use of a facilitator at annual meetings to help support this process.

Lastly, fora should conduct annual self-assessment 'health checks' to evaluate performance and guide continuous improvement.

8. APPENDICIES

Appendix 1. Terms of Reference

The following outline the key elements of the Terms of Reference for the Independent Assessment of the Agricultural Technical Cooperation Working Group and High Level Policy Dialogue on Agricultural Biotechnology released by the SOM Steering Committee on ECOTECH SCE 01/2012. In order to fulfil the obligation the Consultant will work cooperatively with the ATCWG Lead Shepherd, HLPDAB Chair, ATCWG and HLPDAB members, the SCE, and the APEC Secretariat to provide a robust analysis of the work and operations of the group and recommendations for ways to ensure the overall goals and objectives of APEC are met. In undertaking the tasks the consultant will:

- Review key APEC policy documents, including Leaders' and Ministers statements, ATCWG and HLPDAB records of meetings, key project documentation and activities to assess the outcomes and how they support the main objectives/goals of ATC, HLPDAB and APEC and their impacts in APEC member economies
- Evaluate whether ATCWG and HLPDAB are operating effectively and efficiently; whether the groups' Terms of Reference or operation could be modified to better respond to APEC ECOTECH priorities and contribute to the achievement of APEC goals
- Identify ways to strengthen ATCWG's and HLPDAB's strategic priorities and direction for future work
- Provide recommendations on how the forum can better focus and more efficiently and effectively manage its tasks and assure that its capacity building activities are providing benefits according to Leaders' and Ministers' priorities
- Identify ways to develop synergies among the work of the forum and other relevant APEC groups
- Identify opportunities and provide recommendations for greater collaboration with non-APEC parties, including the private sector, civil society and other international organizations; identify ways for ATC and HLPDAB to tap resources for programs
- Explore how the ATCWG and HLPDAB can better take into account the APEC commitment to give gender greater consideration in accordance with directions outlined by the Policy Partnership on Women and the Economy
- Finalise an array of recommendations on the above-mentioned areas. Recommendations are to be provided in two lists: the first list containing a maximum of 5 decision points for consideration by SCE to provide further

instruction to the groups, and the second list covering those recommended actions that can be further discussed for implementation by the ATCWG and HLPDAB themselves

- Provide a draft report on initial findings, of no more than 30 pages, written clearly and containing robust analysis to be conveyed to the APEC Secretariat, members of SCE, ATCWG and HLPDAB
- Analyse member economies' responses to the draft report on initial findings
- Produce and present the final report employing a clear and diplomatic style of presentation.

Appendix 2. Summary of ATCWG Projects and Publications 2009-2012

–data sourced from the APEC Project Database and APEC Secretariat

Project	APEC Project Code	APEC Funding Source	Requested APEC Funding (\$US)	Approved APEC Funding (\$US)	Proposed By
2009					
Workshop on Agricultural Land Use and its Effect in APEC Member Economies	ATC 01/2009	OA	89,550	89,550	People's Republic of China
2009 Quarantine Regulators Seminar – Toward Implementing Harmonised Arrangements For Ensuring Effective Quarantine Treatments	ATC 01/2009A	ASF	127,420	127,420	Australia
The Approach of Organic Agriculture: New Markets, Food Security and a Clean Environment	ATC 02/2009A	ASF	76,000	76,000	Thailand
APEC-ATCWG Symposium on the Implementation of Important OIE Aquatic Animal Health Standards	ATC 03/2009A	ASF	33,450	33,450	Chinese Taipei
Workshop on Information Exchange about the Epidemics of Migratory Insect Pests and Diseases and its Effect on Food Security in APEC Member Economies	ATC 04/2009A	ASF	40,000	34,600	Republic of Korea
APEC Workshop on Developing Bio-energy and Conserving the Natural Ecosystem in APEC Member Economies	ATC 05/2009A	ASF	63,187	63,187	Republic of Korea
International Workshop on Greenhouse Gases from Livestock Industries in APEC Member Economies	ATC 08/2009A	ASF	63,984	63,984	Republic of Korea
Role of SME's on Poor Power Empowerment: Lesson Learned and Sharing Experiences	ATC 09/2009A	ASF	77,314	77,314	Indonesia
Evaluation readiness of developing and applying traceability system in agricultural trade and production	ATC 11/2009A	ASF	107,121	107,121	Viet Nam
Biofuels from Agricultural and Agro-Industrial Wastes	ATCWG 16/2009A	ASF	77,891	77,891	Thailand
		TOTALS	\$755,917	\$750,517	

Project	APEC Project Code	APEC Funding Source	Requested APEC Funding (\$US)	Approved APEC Funding (\$US)	Proposed By
2010					
Workshop on Ease of Doing Business in the Agricultural Sector	ATCWG 02/2010A	ASF	55,895	55,895	United States
Enhancing Food Security through a Regional Approach and Wide Stakeholder Participation to Plant Biosecurity	ATCWG 03/2010A	ASF	114,297	110,649	Malaysia
Workshop on Building An Efficient Agricultural Technical Transfer Platform to Enhance APEC Food Security and Food Safety	ATC 06/2010A	ASF	97,399	97,399	China
Risk Communication on Cross-Border Spread of Animal Influenza in Trade Areas of Borders and Communication for Information	ATC 07/2010A	ASF	150,000	150,000	China
APEC-ATCWG Biofuels Network Annual Symposium and Biotrade/Technical Training Workshop	ATC 08/2010A	ASF	108,311	108,311	Thailand
		TOTALS	525,902	522,254	
2011					
Promotion of indigenous vegetables for coping with climate change and food security in APEC	ATC 01/2011A	ASF	90,900	81,553	Chinese Taipei
2011 APEC food security forum-APEC food emergency response mechanism	ATC 02/2011A	ASF	79,959	79,959	Chinese Taipei
Workshop to assess and improve agricultural data collection and dissemination by APEC members	ATC 03/2011A	ASF	51,413	51,413	United States
Climate change symposium – “Adaptation strategies with mitigation potential for food and water security	ATC 04/2011A	ASF	135,010	135,010	Philippines
Innovative approaches in the implementation of APEC food security action plan in developing economies	ATC 05/2011A	ASF	98,902	98,902	Malaysia
Seminar-workshop on the assessment of good animal husbandry practices in APEC member economies	ATC 06/2011T	TILF	60,388	60,388	Philippines
International symposium on “Food Security” and Asia and the Pacific: Key policy issues and options	ATC 07/2011A	ASF	45,762	45,762	Canada
Food security improvement through farmers' livelihood	-	-	-	-	Thailand

Project	APEC Project Code	APEC Funding Source	Requested APEC Funding (\$US)	Approved APEC Funding (\$US)	Proposed By
adaptation to climate variability and change					(Cancelled by PO)
Workshop on the application of remote sensing and GIS technology on crops productivity among APEC economies	ATC 09/2011A	ASF	126,790	126,790	People's Republic of China
Scientific workshop on "Sustainable land management to enhance food production of APEC members	ATC 10/2011A	ASF	122,780	122,780	Thailand
			TOTALS	811,904	802,557

—data sourced from the APEC Publications Database and APEC Secretariat

ATCWG Publications (2009-2012)
2012
<i>APEC Agricultural Technology Transfer Forum, November 2011 (Published in March 2012) APEC #212-AT-04.1</i>
<i>APEC Symposium on Climate Change: Adaptation Strategies with Mitigation Potential for Food and Water Security, March 2012 APEC #212-AT-04.2</i>
<i>Seminar-Workshop on the Assessment of Good Animal Husbandry Practices (GAHP) in APEC Member Economies, February 2012 APEC #211-AT-04.2</i> ISBN 978-981-07-1042-2
2011
<i>Enhancing Food Security through a Regional Approach and Wide Stakeholder Participation to Plant Biosecurity, November 2011 APEC#211-AT-04.3</i>
<i>International APEC Symposium on APEC-ATCWG Biofuels Network Annual Symposium and Biotrade/Technical Training Workshop, May-June 2011 APEC#211-AT-04.1</i>
<i>Risk Communication on Cross-Border Spread of Animal Influenza in Trade Areas of Borders, November 2011 APEC#211-AT-01.1</i>
<i>The Role of SMEs on Poor Power Empowerment: Lessons learned and sharing experiences, December 2010 (Printed in January 2011) APEC#210-AT-04.6</i> ISBN 978-981-08-7491-9
2010
<i>2009 International Workshop on Developing Bioenergy and Conserving the Natural Ecosystem in APEC Member Economies, December 2009 (Printed in February 2010) APEC#210-AT-04.2</i> ISBN 978-981-08-5107-1
<i>APEC International Symposium Biofuels from Agricultural and Agro-Industrial Wastes, May 2010 APEC#210-AT-04.5</i>

ATCWG Publications (2009-2012)
<i>Anti-Corruption Cooperation—Stocktaking of Bilateral and Regional Arrangements on Anti-Corruption Matters between/among APEC Member Economies, January 2010</i> APEC#209-SO-01.9
<i>Agricultural Land Use and its Effect in APEC Member Economies October 2009, Proceedings (Printed in March 2010)</i> APEC#210-AT-04.3 ISBN 978-981-08-5326-6
<i>Report on APEC Regional Study Developing and Applying Traceability System in Agriculture Production and Trade, April 2010</i> APEC#210-AT-04.3
2009
<i>Final Report - A toolbox for the commercialization of agricultural biotechnology in APEC member economies, 2007-2009, (Printed in November 2009)</i> APEC#209-AT-01.1
<i>Organic Agricultural Manual, October 2008 (Published in May 2009)</i> APEC#209-AT-03.1
<i>Postharvest: A Technology for Living Produce, May 2009 (2nd Edition) – CD-ROM</i> APEC#209-AT-07.1 ISBN 987-981-08-3154-7
<i>Report on APEC Regional Development Of Organic Agriculture in Term Of APEC Food System and Market Access, October 2008 (Printed in March 2009)</i> APEC#209-AT-01.6
<i>The Approach of Organic Agriculture: New Markets, Food Security and a Clean Environment, December 2009 (Printed January 2010)</i> APEC#210-AT-04.1
<i>Workshop on Understanding and Developing Risk Management Options for Market Access, October 2009</i> APEC#209-AT-04.1

Appendix 3. ATCWG Assessment Questionnaire

ATCWG Assessment Questionnaire

This questionnaire is designed to gather your perceptions as a member of the Agricultural Technical Cooperation Working Group (ATCWG) over the past 3 years.

The deadline for responses is **7th July 2012**. Responses should be emailed directly to the Consultant conducting the ATCWG Independent Assessment:

Dr Carl Ramage – carl@rautakisolutions.com.au

The Consultant will analyse the findings, conduct follow up interviews as required and present the results to the APEC Secretariat as part of the Independent Assessment Report.

If you are unsure, or feel you do not have enough information to answer a particular question, simply leave that item blank.

Does your response to this questionnaire contain certain information that you wish to be treated as **Confidential**?

YES ☐ NO ☐

If you answer YES, your response to this questionnaire will be treated in confidence.

Surname:		Preferred first name:	
Personal title: (eg Ms/Mr/Dr)		Job title:	
Phone number:		Fax number:	
Mobile number:		E-mail Address:	
Street number and name:			
Town/City:		State:	
Postcode:		Country:	
Postal address: (if different)			

Do you wish to have a follow up phone interview with the Consultant?

YES ☐ NO ☐

If you indicate YES, the Consultant will contact you directly to arrange a suitable time.

Question 1. Please indicate the level of involvement/experience you have had with the ATCWG?

1a	<1 YEAR	1 YEAR	2 YEARS	>2 YEARS
Attendance at Annual Meetings	☐	☐	☐	☐

1b Why do you attend ATCWG annual meetings?

Question 2. Please rate how well you feel **the ATCWG** carries out the following responsibilities related to its mandate:

	EXCELLENT	GOOD	FAIR	POOR
2a. Facilitating the exchange of information amongst APEC Economies	☐	☐	☐	☐
2b. Promotion of capacity building across APEC Economies	☐	☐	☐	☐
2c. Improving agricultural production and distribution through increased innovation, nutritional value and food safety	☐	☐	☐	☐
2d. Improving human and institutional resource capabilities in agriculture through education and training	☐	☐	☐	☐
2e. Improving aspects of environmental and natural resource management, infrastructure development related to food security	☐	☐	☐	☐
2f. Improving agricultural information systems and analysis	☐	☐	☐	☐
2g. Improving the preparations for natural disasters	☐	☐	☐	☐

	EXCELLENT	GOOD	FAIR	POOR
and cross border threats				
2h. Providing tools that assist and/or facilitate the enhancement of capacity of agriculture and its related industries	☐	☐	☐	☐
2i. Consultation and collaboration with other APEC fora	☐	☐	☐	☐

If you responded with "fair" or "poor" to any of the items in **Question 2**, please elaborate below: (Specify the Item #)

Question 3. Please indicate your level of agreement or disagreement with each of the following statements:

	AGREE STRONGLY	AGREE SOMEWHAT	DISAGREE SOMEWHAT	DISAGREE STRONGLY
3a. The role and mandate of the ATCWG is clear	☐	☐	☐	☐
3b. Participants have the right mix of knowledge and expertise related to the ATCWG mandate	☐	☐	☐	☐
3c. The ATCWG meetings are an efficient use of my time at SOM annual meetings	☐	☐	☐	☐
3d. Meeting materials are provided in a timely fashion and the time allowed to review materials is sufficient	☐	☐	☐	☐
3e. The ATCWG should be merged with another APEC forum/fora (e.g. HLPDAB, PPFS)	☐	☐	☐	☐
3f. The ATCWG work plan is relevant and	☐	☐	☐	☐

	AGREE STRONGLY	AGREE SOMEWHAT	DISAGREE SOMEWHAT	DISAGREE STRONGLY
contributes to enhancing the capacity of agriculture in my Economy				
3g. The ATCWG receives adequate support from the Lead Shepherd	☐	☐	☐	☐
3h. I have the necessary knowledge and skills to participate in the ATCWG meetings	☐	☐	☐	☐
3i. I received adequate orientation and training from my Economy when I joined the ATCWG	☐	☐	☐	☐
3j. The ATCWG receives adequate support from the APEC Secretariat	☐	☐	☐	☐
3k. Over the past 3 years the ATCWG has contributed to enhancing the capacity of agriculture in my Economy	☐	☐	☐	☐
3l. Meeting agendas are relevant to the ATCWG Terms of Reference and work plan	☐	☐	☐	☐
3m. The venue(s) for the ATCWG meetings are fit for purpose	☐	☐	☐	☐
3n. Balanced discussion of agenda items are adequately facilitated	☐	☐	☐	☐
3o. I feel that my contribution to the ATCWG is valued	☐	☐	☐	☐
	TOO MANY	ABOUT RIGHT		TOO FEW
3p. The number of the ATCWG meetings is:	☐	☐		☐
	YES	NO		DON'T KNOW

3q. The ATCWG is comprised of appropriate representation from each Economy:

☐☐☐

If you responded with "disagree somewhat" or "disagree strongly" to any of the items in **Question 3**, please elaborate below: (Specify the Item #)

Question 4. Have you ever applied to APEC for ATCWG related project funding?

YES ☐

NO ☐

4a. Please explain Why? Or Why Not?

4b. Do you feel that the APEC funding sources and application process are attractive and conducive to your Economies contribution towards APEC and ATCWG goals? If not, please explain

4c. If APEC provided you with \$USD1 million towards ATCWG activities, what would you do with the funding?

Question 5. What do you consider to be **the single most important strength** of the ATCWG?

Question 6. Do you consider there to be any **obstacles** affecting the performance of the ATCWG? If so please explain

Question 7. What do you consider to be the main technical issues or challenges for agriculture over the next 3-5 years?

Question 8. How do you feel the ATCWG can better take into account the APEC commitment to give gender greater consideration in accordance with directions outlined by the Policy Partnership on Women and the Economy?

Question 9. Do you have any additional comments/suggestions that might be useful in the Independent Assessment of the ATCWG?

Thank you for taking the time to complete this questionnaire. Your feedback is important and contributes to the evaluation of the effectiveness of the ATCWG.

Please return your completed questionnaire to:



Dr CARL RAMAGE

Email: carl@rautakisolutions.com.au

Phone/Fax: +61 3 8802 4425

Appendix 4. HLPDAB Assessment Questionnaire

HLPDAB Assessment Questionnaire

This questionnaire is designed to gather your perceptions as a member of the High Level Policy Dialogue on Agricultural Biotechnology (HLPDAB) over the past 3 years.

The deadline for responses is **7th July 2012**. Responses should be emailed directly to the Consultant conducting the HLPDAB Independent Assessment:

Dr Carl Ramage – carl@rautakisolutions.com.au

The Consultant will analyse the findings, conduct follow up interviews as required and present the results to the APEC Secretariat as part of the Independent Assessment Report.

If you are unsure, or feel you do not have enough information to answer a particular question, simply leave that item blank.

Does your response to this questionnaire contain certain information that you wish to be treated as **Confidential**?

YES ☐ NO ☐

If you answer YES, your response to this questionnaire will be treated in confidence.

Surname:		Preferred first name:	
Personal title: (eg Ms/Mr/Dr)		Job title:	
Phone number:		Fax number:	
Mobile number:		E-mail Address:	
Street number and name:			
Town/City:		State:	
Postcode:		Country:	
Postal address: (if different)			

Do you wish to have a follow up phone interview with the Consultant?

YES ☐ NO ☐

If you indicate YES, the Consultant will contact you directly to arrange a suitable time.

Question 1. Please indicate the level of involvement/experience you have had with the HLPDAB?

1a	<1 YEAR	1 YEAR	2 YEARS	>2 YEARS
Attendance at Annual Meetings	☐	☐	☐	☐

1b Why do you attend HLPDAB annual meeting(s)?

Question 2. Please rate how well you feel **the HLPDAB** carries out the following responsibilities related to its mandate:

	EXCELLENT	GOOD	FAIR	POOR
2a. Facilitating the exchange of information amongst APEC Economies	☐	☐	☐	☐
2b. Promotion of capacity building across APEC Economies	☐	☐	☐	☐
2c. Promotion of transparent, science based and functioning regulatory systems across APEC Economies	☐	☐	☐	☐
2d. Contribution towards regulatory harmonisation among APEC Economies	☐	☐	☐	☐
2e. Enabling effective communication of biotechnology as a tool to increase agricultural productivity and profitability	☐	☐	☐	☐
2f. Nurturing public confidence in biotechnology regulatory systems within APEC Economies	☐	☐	☐	☐

	EXCELLENT	GOOD	FAIR	POOR
2g. Providing tools that assist and/or facilitate the trade of biotechnology based products	☐	☐	☐	☐
2h. Consultation and collaboration with other APEC fora	☐	☐	☐	☐

If you responded with "fair" or "poor" to any of the items in **Question 2**, please elaborate below: (Specify the Item #)

Question 3. Please indicate your level of agreement or disagreement with each of the following statements:

	AGREE STRONGLY	AGREE SOMEWHAT	DISAGREE SOMEWHAT	DISAGREE STRONGLY
3a. The role and mandate of the HLPDAB is clear	☐	☐	☐	☐
3b. Participants have the right mix of knowledge and expertise related to the HLPDAB mandate	☐	☐	☐	☐
3c. The HLPDAB meetings are an efficient use of my time at SOM annual meetings	☐	☐	☐	☐
3d. Meeting materials are provided in a timely fashion and the time allowed to review materials is sufficient	☐	☐	☐	☐
3e. The HLPDAB should be merged with another APEC forum/fora (e.g. ATCWG, PPFS)	☐	☐	☐	☐

	AGREE STRONGLY	AGREE SOMEWHAT	DISAGREE SOMEWHAT	DISAGREE STRONGLY
3f. The HLPDAB would be more effective if the expectation for “high level” (i.e. Ministerial) involvement was lessened	☐	☐	☐	☐
3g. The HLPDAB receives adequate support from the Lead Shepherd	☐	☐	☐	☐
3h. I have the necessary knowledge and skills to participate in the HLPDAB	☐	☐	☐	☐
3i. I received adequate orientation and training from my Economy when I joined the HLPDAB	☐	☐	☐	☐
3j. The HLPDAB receives adequate support from the APEC Secretariat	☐	☐	☐	☐
3k. Over the past 3 years the HLPDAB has lost its relevance to my Economy	☐	☐	☐	☐
3l. The scope of the HLPDAB should be widened to consider other important agricultural policy issues affecting productivity and profitability (e.g. food security, climate change, and biotechnology)	☐	☐	☐	☐
3m. Meeting agendas are relevant to the HLPDAB Terms of Reference and work plan	☐	☐	☐	☐
3n. The venue(s) for the HLPDAB meetings are fit for purpose	☐	☐	☐	☐
3o. Balanced discussion of agenda items are adequately facilitated	☐	☐	☐	☐
3p. I feel that my contribution to the HLPDAB is valued	☐	☐	☐	☐

AGREE STRONGLY

AGREE SOMEWHAT

DISAGREE
SOMEWHAT

DISAGREE
STRONGLY

TOO MANY

ABOUT RIGHT

TOO FEW

3q. The number of the HLPDAB meetings is:

☐☐☐

YES

NO

DON'T KNOW

3r. The HLPDAB is comprised of appropriate representation from each Economy:

☐☐☐

If you responded with "disagree somewhat" or "disagree strongly" to any of the items in **Question 3**, please elaborate below: (Specify the Item #)

Question 4. Have you ever applied to APEC for HLPDAB related project funding?

YES ☐

NO ☐

4a. Please explain Why? Or Why Not?

4b. Do you feel you are provided with enough input into the project selection/assessment process? If not please explain

Question 5. What do you consider to be **the single most important strength** of the HLPDAB?

Question 6. Do you consider there to be any **obstacles** affecting the performance of the HLPDAB? If so please explain

Question 7. What do you consider to be the main policy issues or challenges for biotechnology over the next 3-5 years?

Question 8. How do you feel the HLPDAB can better take into account the APEC commitment to give gender greater consideration in accordance with directions outlined by the Policy Partnership on Women and the Economy?

Question 9. Do you have any additional comments/suggestions that might be useful in the Independent Assessment of the HLPDAB?

Thank you for taking the time to complete this questionnaire. Your feedback is important and contributes to the evaluation of the effectiveness of the HLPDAB.

Please return your completed questionnaire to:



Dr CARL RAMAGE

Email: carl@rautakisolutions.com.au

Phone/Fax: +61 3 8802 4425