

ANNEX 5

REVISED GUIDELINES FOR LEAD SHEPHERD/CHAIR AND DEPUTY LEAD SHEPHERD/CHAIR OF APEC WORKING GROUPS AND SOM TASK FORCES

(Excluding the Budget Management Committee (BMC); the Committee of Trade and Investment (CTI) and its sub-fora; the Economic Committee (EC) and its sub-fora; the SOM Steering Committee for Economic and Technical Cooperation (SCE) and Finance Ministers Process (FMP)).

Basic principles and objectives of the Guidelines

1. These guidelines are consistent with APEC principles of voluntarism and consensus building, as any member economy may express its interest and be selected as Lead Shepherd/Chair or Deputy Lead Shepherd/Chair of a working group or other APEC fora.
2. These guidelines aim to enhance wider participation, shared leadership, and accountability; to ensure that more members embrace the role and responsibility of Lead Shepherd/Chair or Deputy Lead Shepherd/Chair; and to promote greater synergy in the activities of working groups and other APEC fora.
3. APEC principles applying to chairing APEC Ministerial and Leaders' Meetings are not impacted by these Guidelines.

Guidelines

1. Each APEC working group and other APEC fora will select a Lead Shepherd/Chair, who will have a minimum two-year term (two calendar years). Exceptions to this rule require approval by the groups concerned as well as the SCE.¹
2. One or more Deputy Lead Shepherds/Chairs will be selected by the working groups and other APEC fora to assist the Lead Shepherd/Chair. The Deputy Lead Shepherd(s)/Chair(s) will be selected from a different APEC economy than the Lead Shepherd/Chair, and their tenure will be staggered by one year with that of the Lead Shepherd/Chair, where possible. The resulting one-year "overlap" period is designed to ensure continuity of leadership and to allow new incoming Lead Shepherds/Chairs to benefit from the advice of an experienced Deputy. Exceptions to this rule, due to specific group circumstances, will be granted on a case-by-case basis and will require approval by the groups concerned as well as the SCE.
3. In the event that the Lead Shepherd/Chair could not continue with his/her duties, the Deputy Lead Shepherd/Chair will assume the position of the Lead Shepherd/Chair for the remainder of the calendar year, or until a new Chair is nominated.
4. If the Deputy Lead Shepherd/Chair is unable to continue with his/her duties, a new Deputy Lead Shepherd/Chair would be selected.
5. At the last meeting—within the time frame of the two-year term—a new Lead Shepherd/Chair and a new Deputy Lead Shepherd/Chair will be selected—on a rotation or volunteer basis—by each APEC working group and/or APEC fora.

¹ Suggestions have been made that this be a "minimum of two years" to enable flexibility for fora with longer term chairs.

6. A Lead Shepherd/Chair should not normally serve for more than two consecutive two-year terms as Lead Shepherd/Chair of a working group and other APEC fora.
7. None of the above mentioned procedures prevent a particular working group and other APEC fora—on the grounds of their own reality—from establishing an advisory committee to ensure assistance, support and continuity in the tasks and responsibilities allocated to the Lead Shepherd/Chair or Deputy Lead Shepherd/Chair of a working group and other APEC fora.

The duties of the Lead Shepherd/Chair of a working group and/or other APEC fora:

- Coordinate the schedule and chair meetings as well as prepare reports of the meetings.
- Foster constructive and active dialogue at sub-fora meetings.
- Lead the implementation of the action program and other activities to fulfill instructions given by APEC Leaders, Ministers and Senior Officials and report to Senior Officials on the development of these issues.
- Coordinate the development of a medium-term strategic plan aligned with the organization's overall objectives.
- Ensure the timely submission of annual fora workplans to the first SCE meeting of each year.
- Attend the annual SCE Committee-on-the-Whole (COW) meeting, held on the margins of the first SCE meeting of each year, to update the SCE on fora activities and ensure that these are in line with APEC priorities.
- Oversee the development of activities ensuring that the fora's work is responding to Leaders' and Ministers' priorities.
- Liaise with the APEC Secretariat, other APEC fora and international organisations to enhance the quality of activities, including project proposals with well-defined outcomes, and track the progress of project implementation.
- Invite ABAC or other relevant non-governmental actor(s) to contribute to the fora's plenary meeting agenda and activities (e.g., seminars, workshops).
- Oversee the prioritization/ranking of the fora's project proposal concept notes using the APEC-wide funding criteria in advance of the deadline for each project approval session.
- Once fora projects are approved, ensure that the project overseer works with the APEC Secretariat Communications team to provide a short statement on the activity to be published on the APEC website, if appropriate.
- As major project milestones or deliverables are completed (e.g. workshops, reports, etc), ensure that the project overseer provides a statement (e.g. press release, article, etc.) on the outcomes of the activity to be published on the APEC website and that he/she works with the APEC Secretariat Communications team, as well as local and international media, to promote and encourage media coverage of APEC project-related activities.
- Once projects are fully completed, ensure that project overseers work with the APEC Secretariat Communications team to provide a write-up of the project's accomplishments and planned follow-up.
- Ensure that mandatory monitoring and final completion and evaluation reports on relevant APEC-funded projects are submitted by Project Overseers and that the relevant program director in the APEC Secretariat provides such reports in a timely manner to the BMC.
- Act as the spokesperson and key advocate for the relevant working group or APEC fora, actively working to build synergies with other APEC fora, as well as relevant international organizations, and actively promoting the practical efforts that fora are undertaking to advance APEC priorities.
- Ensure that the forum website, as appropriate, is linked to the APEC Secretariat website and remains up-to-date, providing a current reflection of the forum's priorities and activities.

The duties of the Deputy Lead Shepherd/Chair will be to assist the Lead Shepherd/Chair to fulfill the mandate and the activities of the working group or other APEC fora. Further information to assist Lead Shepherds and Chairs in hosting meetings can be found in the *Guidebook on APEC*

Procedures and Practices; Guidelines for Hosting APEC meetings; and the Guidebook on APEC projects.

The level of assistance that the Chair/Lead Shepherd can expect from the APEC Secretariat's Program Director

The Program Directors (PDs) are officials seconded by member economies to work for the APEC Secretariat for a duration of normally three years. They are usually officials with different backgrounds and experience and may not possess technical expertise in the particular subject area of the forum. As their responsibilities may cover more than one forum or assignment, PDs are unable to fully support the Chair/Lead Shepherd as a full-time assistant. It is desirable that the Chair/Lead Shepherd seek his/her own staff for personal assistance and utilise the PD in a way that best serves the group.

While the Chair/Lead Shepherd of an APEC forum is responsible for coordination and overseeing of the activities conducted by that forum, the PD can assist the Chair/Lead Shepherd in the following areas:

- providing a link to the APEC Secretariat and other fora;
- conveying results of the discussions held at the SCE, SOM, AMM and AELM;
- providing advice as to how the sub-fora could incorporate leaders' and ministerial directives into their work plans;
- maintaining the relevant public website and APEC Collaboration System (ACS) site for the group;
- maintaining an up-to-date contact list of group members;
- preparing the draft meeting agenda, if requested;
- coordinating with members of the group;
- conveying messages from the Chair/Lead Shepherd with regard to the meeting;
- taking minutes and/or preparation of the summary record of the meeting;
- liaising with the APEC Secretariat communications team to arrange media outreach and coverage of sub-fora meetings/events and projects;
- following-up on the agreed decisions by the group during the inter-sessional period;
- supporting the Chair/Lead Shepherd during each project approval session with prioritizing/ranking the group's project proposal concept notes and submitting these rankings to the overseeing Committee in advance of the specified deadline;
- supporting implementation and reporting on status and completion of APEC projects; and
- ensuring final completion reports with outcomes of APEC-funded projects are completed within specified guidelines (2 months post-activity) and submitted to the BMC for review.

Maintenance of Public Website and ACS Site for the group

All APEC fora will have their webpage posted in the APEC Secretariat's website for public access. The group's ACS site serves as an online space for members to undertake inter-sessional work, collaboration, discussion and information-sharing. The PD will be responsible for maintaining and updating the contents of both sites.

The APEC Secretariat's website also contains the Events Calendar which provided information on APEC-related events throughout the year. The PD can assist in publicising events or meetings when information is available from the Chair/Lead Shepherd or organiser of the events.

PD's support for meetings

The role of the PD is to facilitate the meeting.

If requested, the PD can assist in the preparation of drafting the meeting agenda based on the outcomes of the previous meeting. Once this is approved by the Chair/Lead Shepherd, the PD can

circulate the draft to all members for comment and keep it up to date. It is desirable that the draft agenda be circulated at least four weeks before the meeting.

PDs also provide information on the latest developments in APEC; and advise on procedural matters regarding participation in APEC meetings, participation of APEC officials in non-APEC meetings, submission of meeting documents and implementation of APEC projects. PDs can serve as a resource for member questions or to clarify issues regarding procedures and practices in APEC relating to project implementation, the application for different sources of APEC funding (Operational Account, TILF Fund, APEC Support Fund), etc.

At the first annual meeting of the forum, it is customary that the PD will table a report on APEC developments so that the group is informed of the current theme, sub-themes, priorities and major decisions adopted by Leaders, Ministers and Senior Officials since their last meetings. In addition, the PD may brief the group on other issues of interest to the forum such as SOM and relevant committee-level instructions, project deadlines and any other important but yet unresolved issue within the group for consideration.

The documentation process is vital to ensure that all meeting documents are complete and kept by the APEC Secretariat Library for dissemination to members and the public. The PD will help the host and the Chair/Lead Shepherd to properly prepare all documents according to the Meeting Documents Guidelines. Once the meeting is completed, the PD will need to collect all meeting documents and submit to the APEC Secretariat Library.

Coordination with members of the group

As the issues discussed in APEC are often cross-cutting or may have wide implications to other fora, PDs will assist in providing information about those cross-cutting or overlapping issues related to the group. PDs can also liaise with other fora, if requested, on behalf of the Chair/Lead Shepherd. This usually can be done through internal coordination with other PDs in the Secretariat or directly with the Chair/Lead Shepherd of the other fora.

If the forum wishes to invite non-APEC members to their meeting, it should consult the PD who will advise the forum on the correct procedure based on the most current version of the *Consolidated Guidelines on Non-Member Participation in APEC Activities*.

Conveying messages from the Chair/Lead Shepherd with regard to the meeting

Once agreement has been made to host a meeting, the host economy is expected to move as quickly as possible to decide on the location and exact meeting dates and inform all appropriate APEC contact points. The PD can help disseminate information to all APEC contact points, and advise the host economy and the Chair/Lead Shepherd on suitable arrangements. Every effort should be made to hold meetings in conjunction with one of the SOMs, in order to enable the broadest possible participation, coordination of efforts with other sub-fora, and wider understanding of other sub-fora efforts. If the meeting is not held in conjunction with the SOM and Related Meetings, it is advisable that an Administrative Circular be prepared by the host in coordination with the PD and the Chairperson. The Administrative Circular usually includes information such as the responsible host economy contact points, meeting venue, registration/accreditation, arrival/entry formalities, accommodation arrangements, delegates' facilities, document reproduction and distribution procedures, and other useful information. It is preferable to have the Administrative Circular available at least six weeks before the meeting.

If the forum meeting is held on the margins of SOM, the PD will liaise with the Host Economy Representative (HER) of the APEC Secretariat who will act as the coordinator with the Task Force or Organizing Committee of the host and provide necessary information including the number of participants, meeting room arrangements, necessary equipment needed to conduct the meeting and the preferred meeting schedule as requested by their fora.

The Secretariat has produced two documents, namely the *Guidebook on APEC Procedures and Practices* and the *Guidelines for Hosting APEC Meetings* which can help the host in preparing the APEC meetings. These can be requested from the PD.

Taking minutes or preparing the summary record of the meeting

As PDs may not be an expert on technical issues discussed in the group, it is advisable that the Chair/Lead Shepherd reach a common understanding with the PD on the level of support in taking minutes or preparing the summary record of the meeting.

As the forum/working group may be required to present its report to higher bodies (e.g. CTI, SCE, and SOM), PDs can assist the Chair/Lead Shepherd in preparing a Fora Report to the relevant committee. The template, procedure and deadline of submission of fora reports are usually advised by the relevant Committee's Coordinator.

Following-up the agreed decisions by the group during the inter-sessional period

After the meeting is completed, the PD can assist the Chair/Lead Shepherd to develop a list of inter-sessional work items and circulate to members through the ACS site or e-mail or for follow-up. The list shall contain items to be followed up, specific actions required, responsible economy or entity and deadlines. Such a list will help the group to keep track of the agreed follow-up actions or activities. The PD can help to regularly update and follow up with or remind the relevant economy to ensure the completion of the agreed work plan.

The PD can also assist the Chair/Lead Shepherd to contact other fora for follow-up or joint activities, if requested. Coordination with other fora can be done through contacting the relevant fora directly and/or through internal coordination within the Secretariat.

Supporting implementation of APEC projects

The PD will be responsible for supporting Project Proponents and Project Overseers (POs) through all stages of the project approval and implementation process, from the initial stage of drafting the project concept note; through the sub-fora, Committee, and Principal Decision-Maker ranking process; and finally through the final quality assessment of full project proposals. PDs should remind POs of the necessary requirements e.g., financial rules as spelled out in the *Guidebook on APEC Projects* during the implementation, and collect the evaluation report after the project is completed. Throughout the complete project cycle – from development and approval to implementation to monitoring and evaluation – POs are encouraged to consult with PDs in a collaborative manner to ensure their projects adhere to APEC's quality standards and financial guidelines.

If projects are submitted for OA and ASF funding, the PD can assist with the guidelines and procedures to complete the Quality Assessment Framework (QAF). Full details about how to undertake the Quality Assessment Framework can be seen in the *Guidebook on APEC Project*. Alternatively, the group may encourage members to establish a Small Group on Evaluation to facilitate an effective evaluation process.

In the process of implementation, e.g., the arrangement of APEC-funded travelers to the meeting or workshop, the PD and his/her Program Assistant (PA) will assist in responding to requests from POs and APEC-funded travellers with regard to authorisation for funding and reimbursement claims.

In principle, the PD does not attend any APEC-funded or self-funded meeting organised by the PO. However, an exception may be made if a request is made in writing by the PO to the Executive Director to have a representative from the Secretariat participate in the meeting. Preferably, such a request should be made with the understanding that the PO or organiser is ready to provide funding for the participation of the Secretariat's representative. In any case, it is at the

discretion of the Executive Director of the APEC Secretariat to decide on a case-by-case basis whether to send a representative.

If the project is going to produce a publication (e.g. final reports, proceedings of dialogues, workshops) or set-up a website, the PD, with the assistance of the Director of Communications and team members, can advise on APEC publication and website guidelines, including the use of APEC logo and its copyrights, and APEC style and nomenclature.

Dissemination of output from APEC projects can be useful and newsworthy. The PD, with the assistance of the Director of Communications, can assist the PO in preparing media release that can be of interest to the group or public. The PD, with the assistance of the News Manager can also assist the Chair/Lead Shepherd to arrange a briefing or interview with the media on the work done by the group or forum after the meeting.