

# ASEAN Regional Forum Workshop on Preventive Diplomacy: Skills and Tools Towards Effective Peacebuilding

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*Co-Chairs Report (Myanmar, the United States of America, and New Zealand)*

17-19 September 2018  
Nay Pyi Taw, Myanmar

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Delegation Photo



ARF Regional Workshop on Preventive Diplomacy 17-19 September 2018

## Executive Summary

The Government of the Republic of the Union of Myanmar (Myanmar), the United States of America (U.S.), and the Government of New Zealand (New Zealand), co-hosted a three-day workshop on Preventive Diplomacy: Skills and Tools Towards Effective Peacebuilding in Nay Pyi Taw, Myanmar, from 17-19 September 2018.

The goals of the workshop were to:

- Increase participant capacity in applying conflict-analysis skills;
- maximize preventive diplomacy and mediation channels;
- understand the key components of negotiation processes;
- analyze the tools and objectives of an effective peace process;
- share lessons learned from across the region and other contexts;
- and develop a better understanding of how the Association of Southeast Asian Nations (ASEAN) can take an active role in the resolution of conflicts in the region through peace processes.

Using five tools, evaluators reached eight primary findings:

1. Workshop content was relevant to participants' work, though this was not recognized until after their exposure to the materials.
2. Workshop participants expanded their skills and knowledge related to the workshop topics.
3. Participants enjoyed the structure and format of the workshop.
4. Participants attended for learning and networking purposes and at supervisory request. There is high turnover of participants between preventive diplomacy events.
5. Themes and concepts of preventive diplomacy resonated with participants and may be institutionally internalized following the workshop.
6. The ASEAN Institute for Peace and Reconciliation (ASEAN-IPR) could fill a gap as a research, networking, and capacity-building hub that serves ASEAN countries and keeps preventive diplomacy relevant to ARF members between workshop sessions (or replaces them completely).
7. Capacity building for ASEAN-IPR needs to continue.

From these findings, the following recommendations are given:

1. Consider integrating more hands-on, operational, and life-like exercises into workshops to simulate application of preventive diplomacy principles.
2. Find innovative ways to integrate nongovernmental organizations (NGOs) and civil society into preventive diplomacy events.
3. Think critically about who should attend the workshop and who workshop content is geared towards.
  - a. Be clear about required qualifications and seniority/authority level of attendees.
  - b. Explicitly state implementer rationale for audience selection.
4. Communicate the importance of this workshop to participants during registration, clearly explaining how it fits into a larger strategy for ASEAN's preventive diplomacy efforts.
5. Consider unique ways to build networking into the workshop.
6. Spend time scoping how information is shared among participants upon return from the workshop, to better understand and maximize impact.
7. Consider ways in which to help ASEAN-IPR achieve its research, networking and training objectives.

## Background and Overview of Workshop

From 17-19 September 2018, the Ministry of Foreign Affairs of the Republic of the Union of Myanmar, the U.S. Department of State (with assistance from the U.S. Institute of Peace (USIP)) and the Government of New Zealand, co-sponsored an ASEAN Regional Forum (ARF) workshop in Nay Pyi Taw, Myanmar, titled "Preventive Diplomacy: Skills and Tools Towards Effective Peacebuilding." The workshop brought together one-hundred mid- to high-level diplomats from twenty nations across Asia, the European Union (EU) and North America, to:

1. Learn to apply conflict-analysis skills;
2. Develop a better understanding of how ASEAN can take an active role in the resolution of conflicts in the region through peace processes;
3. Understand how to maximize preventive diplomacy and mediation channels given the opportunities and constraints of a regional organization;
4. Understand the key components of negotiation processes and how they are applied;
5. Analyze the key tools and objectives of an effective peace process, particularly third-party mediation; and
6. Learn lessons from past and ongoing peace processes that may be applied to other contexts.

Modules were delivered in both lecture and small-group formats. The latter sessions included hands-on activities to encourage practical application of concepts and skills introduced by speakers.



## Day 1 – 17 September 2018

Day 1 of the workshop followed formal ASEAN Regional Forum (ARF) protocols. One-hundred participants attended. The room was set in a “U” shape, with ambassadors and most senior delegates seated at the table, and their delegations seated behind.

Opening Statements: The Honorable U Kyaw Tin (Union Minister for International Cooperation of Myanmar) and the Honorable Steve Marshall (New Zealand’s Ambassador to Myanmar) underscored the importance of the Workshop that would help build up the capacity and efforts of the ARF countries in contributing to peace, stability and prosperity of the region and beyond, and the Honorable Scot Marciel (U.S. Ambassador to Myanmar) highlighted the importance of sharing and openness during the workshop. Ambassador Marciel emphasized that “creating a shared vision of a diverse nation is not easy” and that it is “worth exploring the informal roles” other nations can play in helping others through internal conflict.

Introductory Remarks: The Honorable U Myint Thu (Permanent Secretary of the Ministry of Foreign Affairs of Myanmar) and Dr. Jeff Helsing (Senior Advisor for USIP) gave introductory remarks. The Honorable U Myint Thu underlined his and his nation’s desire to “encourage peacebuilding processes and putting ARF goals into action.” Dr. Helsing introduced USIP and set the tone for the workshop, stating that “preventive diplomacy is an important, broad, regional way to support peacebuilding efforts at different levels.”

ASEAN-IPR One Year On: Progress and Possibilities: The Honorable Rezlan Jenie (Executive Director of ASEAN-IPR) shared insights on strategies for achieving ASEAN-IPR goals in the coming year. He accentuated IPR’s mandate to be an “ASEAN institution on research activities on peace, conflict management, and resolution.” This mandate will be met through capacity building workshops, networking events, research, convening of experts, and dissemination of information to ASEAN member states. Moving forward he indicated that ASEAN-IPR would begin implementing its mandate by sharing lessons learned from peace processes in the Philippines and Indonesia; hosting a post-conflict workshop in Cambodia; and assisting with development of an ASEAN women’s registrar.

Effective Peace Processes: What Works? Ambassador Steve Marshall moderated a panel on lessons learned from the Thai and Aceh peace processes. Ms. Piyamal Pichaiwongse (International Labour Organization, Myanmar) and Ms. Shadia Marhaban (Mediators Without Borders) both highlighted the importance of inclusivity, women’s participation, and respect in fostering successful peace processes. Ms. Pichaiwongse underscored: “you have to change your behavior” to make change, and “diversity is not the enemy.” Ms. Marhaban asserted that peace processes are “not about competition, [they are] about understanding the whole situation.” Participants asked questions on the topics of spoilers, sustainability, political will, and the tensions between finding the truth and managing public perceptions. The session ended with Ambassador Marshall’s remarks, reiterating the importance of inclusivity (particularly the inclusion of women), conflict sensitivity, and informal dialogues that build relationships.

Effective Peace Processes: Challenges in Myanmar and Ways Forward: Mr. Hau Khan Sum (Director General, ASEAN Affairs Department, Ministry of Foreign Affairs, Myanmar) moderated a panel with Mr. Htay Win Aung (Member of Parliament, Myanmar) and Mr. Zaw Htay (Director General, State Counsellor's Office, Myanmar) about Myanmar's peace process. The panel highlighted the structure of the peace process, the cease-fire agreement in place, and remaining challenges. Stated challenges include continued clashes between armed groups, and the lack of trust and popular engagement among stakeholders. Looking forward, the panelists expressed hope that the peace process will integrate peacebuilding, state-building, and nation-building initiatives, while seeking opportunities for dialogue and sustainability.

Conflict Analysis and Peace Process Design and Conflict Analysis Exercise: Prof. Anthony Wanis-St. John (Associate Professor, School of International Service, American University, Washington, D.C.) led a session on the basic principles of peace process development and conflict analysis. Prof. Wanis-St. John also discussed foundations for negotiation, particularly the concept of ripeness and timing. Prof. Wanis-St. John introduced "back channels" as a means to bring stakeholders to the negotiation table, or to conduct negotiations when public knowledge of talks is too risky. The session included a conflict analysis exercise, where participants were assigned roles in a mock negotiation. Participants spent the rest of the day preparing for a mock negotiation (to be held on day two of the workshop).

Welcome Dinner: The Government of Myanmar hosted a welcome dinner for participants at the Lake Garden Nay Pyi Taw MGallery by Sofitel.



## Day 2 – 18 September 2018

Ninety-three participants attended the second day of the workshop. The room was set up with round tables and participants were encouraged to sit with delegates from other nations.

Effective Communication in Preventive Diplomacy: Dr. Jeff Helsing presented on effective communication, defining preventive diplomacy and outlining its goal of addressing the structural conditions that are at the root of conflicts. This session also covered the concept of conflict sensitivity—understanding different viewpoints and respecting the perspectives of parties involved in a dispute.

Conflict Resolution: Negotiation Skills and Negotiation Skills Exercise: Prof. Wanis St.-John outlined five measures that can strengthen ceasefire negotiations: 1) observers and monitors; 2) being specific on what is required to stop the fighting; 3) joint monitoring and investigation

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commissions; 4) consolidation of forces so that no factions of fighting groups “go rogue,” and 5) civil society observer missions. Prof. Wanis-St. John also provided detailed information on two approaches to negotiation: hard bargaining (“I win, you lose”) and interest-based (“win/win,” mutual gain). After his presentation, the group conducted the negotiation exercise introduced on day one. The exercise was followed by a short debrief.

Conflict Resolution: Mediation Skills and Mediation Exercise: Ms. Vanessa Johanson (Myanmar Country Director, USIP) led a presentation on mediation. Mediation is a process led by a mediator—a role that can be assumed by a third party to assist in resolving conflict. She led participants through a mediation exercise, building and testing their understanding of numerous concepts including “ripeness” for intervention; mutually hurting stalemates; mutually enticing opportunities; roles for spokespersons; shifts in party demands; and working with external influences.

NGO Panel: Maurice Amallo (Program Director, Peace and Governance, Mercy Corps) and Julia Palmiano Federer (PhD candidate, University of Basel; Program Officer, Swiss Peace) shared their insights on working with grassroots, national, and international organizations. Ms. Federer spoke extensively on the role of mediators in norms diffusion, particularly in the Myanmar and Filipino peace processes.

### Day 3 – 19 September 2018

Ninety-three participants attended the final day of the workshop.

Documentary – “The Agreement”: Ms. Debra Liang-Fenton (Senior Program Officer, USIP) opened the day with an introduction to the documentary “The Agreement,” which illustrated the behind the scenes process of the negotiations between Kosovo and Serbia in the early 2000s. The documentary preceded an analytical exercise that examined the characteristics of mediation strategies and the context within which mediation processes can progress. In small groups, participants worked together to: identify skills and qualities demonstrated by the Chief Mediator; determine which skills and qualities were effective; and describe the conflict dynamics between the two parties to the conflict and how these dynamics impact the mediation process. In the debrief session, participants were able to also identify ways in which mediation processes can be sustained, and how they might apply the skills demonstrated by the Chief Mediator in the documentary to a scenario in their own work.

Scenario Planning and Scenario Planning Exercise: Ms. Debra Liang-Fenton then led a presentation on scenario planning, which entails the exploration of possible future events, and using these possibilities to create strategies for achieving desired outcomes. Participants then engaged in a scenario-planning exercise entitled “Strategies for the Return of Internally Displaced Persons (IDPS) to Akrona.” The exercise was based on

the situation in Ukraine but was fictionalized to enable participants to fully appreciate the key learnings without being hindered by possible preconceived ideas about the relevancy of comparative examples. In small groups, participants used scenario planning as a tool to design approaches to the conflict unfolding in Akrona. As part of this process, participants drew upon content discussed over the course of the workshop, and integrated conflict analysis and mediation concepts into their strategies.

Concluding Remarks: Concluding remarks were made by the Honorable U Myint Thu, Ms. Erin Duncan (New Zealand Ministry of Foreign Affairs and Trade), and Ms. Calvina Coleman (U.S. Department of State).

Debrief/End-Of-Workshop Survey and Adjournment: Ms. Debra Liang-Fenton and Prof. Anthony Wanis-St. John coordinated a robust debriefing session. A participant raised a point about reconciling the practice of preventive diplomacy and ASEAN's principle of non-interference. The facilitator noted that the strategies developed in the final exercise by participants all involved methods of collaboration and coordination as central to safeguarding peace in the region. These strategies necessarily involve principles inherent in preventive diplomacy efforts. The workshop concluded with final remarks from the co-chairs. Participants then completed the end-of-workshop survey, certificates were distributed, and the workshop adjourned.

## Monitoring and Evaluation Tools

The goals of the monitoring and evaluation framework were to:

1. Evaluate progress towards the objectives of the workshop, and
2. Understand participant views on ASEAN-IPR's role in ARF and ARF's role in the region.

Tools in the monitoring and evaluation framework include:

1. Pre-Workshop Survey
2. End-of-Workshop Survey
3. Delayed Post-Workshop Survey (March 2019)
4. Key Informant and Informal Scoping
5. Guided Observation

The outputs from these five tools provide both quantitative and qualitative data with which to evaluate the workshop. Along with these tools, detailed notes were collected, and all materials (e.g., handouts, PowerPoint slides) have been retained for reference.

### Pre-Workshop and End-of-Workshop Surveys

The Pre-Workshop Survey (Appendix I) was integrated into the online registration process. Questions were focused on: prior knowledge of workshop topics; relevancy of workshop topics to participants' jobs; attending countries' laws concerning workshop topics; participants' prior attendance at ARF workshops on preventive diplomacy; motivations for attending the workshop; and frequency of international with regional counterparts.

The End-of-Workshop Survey (Appendix II) was administered at the end of the workshop. Forty-five persons submitted responses.

Overall, 54 persons completed the Pre-Workshop Survey and 45 persons completed the End-of-Workshop survey. Participants represented a range of countries (Table 1).

Participants were almost evenly split between male and female based on the Pre-Workshop Survey (Image 1).

Participants also specified their agencies in both surveys. While there were a variety of responses, most participants stated that they were from their country's Ministry of Foreign Affairs or Ministry of Defense Agencies.

**Table 1: Participants by Country: Pre- vs. Post-Workshop**

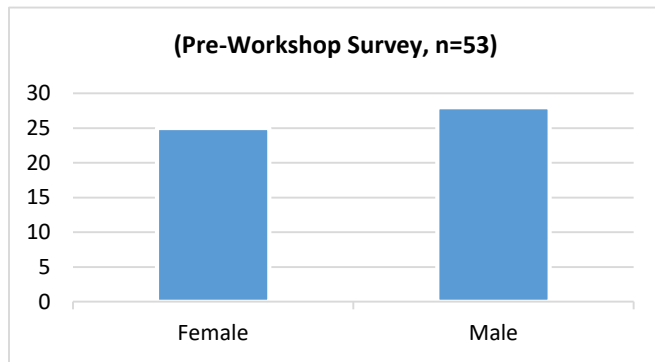
<b>Country</b>	<b>Pre-Workshop Survey</b>	<b>End-of-Workshop Survey</b>
Australia	2	1
Brunei	0	2
Cambodia	2	3
Canada	4	2
China	3	3
EU	0	1
India	0	1
Indonesia	10	5
Laos	4	1
Malaysia	2	2
Myanmar	3	4
New Zealand	4	3
Pakistan	1	1
Papua New Guinea	2	1
Philippines	7	4
Poland	1	0
Singapore	1	1
Sri Lanka	0	1
Thailand	1	2
Timor-Leste	3	3
United States	1	0
Vietnam	2	2
<b>Total</b>	<b>53*</b>	<b>43**</b>

**Notes:**

\*As stated previously, the total number of respondents for the Pre-Workshop Survey is 54, however one respondent did not provide their country of residence. The responses for all USIP and DOS staff were removed. A note that the delegation from Myanmar registered for the workshop through a separate system, and therefore did not take the pre-workshop survey.

\*\*The total number of responses was 45. However, two entries were excluded from this list because they did not enter a country of residence.

**Image 1: Participants by Gender**



### Delayed Post-Workshop Survey

The Delayed Post-Workshop Survey (Appendix III) will be administered six months after the workshop, in the spring of 2019. Questions will focus on: application of workshop content; policy or principle change resulting from the workshop; changes in coordination with regional partners resulting from the workshop; and reflections on how national legal frameworks enable or prevent application of workshop lessons.

### Key Informant and Informal Scoping

During the workshop, Rebecca Greubel (Senior Program Assistant, USIP) spoke to 32 participants to collect feedback workshop content and relevance, and ASEAN’s regional role. Questions (outlined in the remainder of this section) were asked both during interviews and informally to participants during breaks and meals.



### Workshop Content and Relevance

- What do you believe is the point of the workshop?
- What was your expectation for the workshop? To what extent were these expectations met?
- Why did you decide to attend this workshop?
  - Did your team have a method to decide who should attend?
- How do you think the workshop has or hasn't improved your negotiation and mediation skills?
- How do you think the workshop has or hasn't improved your conflict analysis skills?
- How do you think the workshop has or hasn't helped you understand peace processes and ASEANs direct involvement in these?
- What aspects of (workshops/this workshop) do you find the most valuable?
- What aspects of the (workshops/this workshop) did you find the most engaging?
- If you had designed the workshop, what would you have done differently?
- In what ways could USIP improve the training to be more effective/relevant for the participants?
- How would you define Preventative Diplomacy?
  - How does Preventative Diplomacy play a role for you in ASEAN?

### ASEAN Focus

- Thinking about ASEAN's role in the region, what do you think are the most valuable actions it takes?
  - Are there any roles that you think ASEAN should be filling but is not?
  - What do you think needs to be happening (beyond conferences)?
  - Are there any new ways ASEAN could add value to the region?
- What do you think ASEAN-IPR's role should be in ASEAN?

Table 2: Key Informant and Informant Scoping Home Countries

Country	# of Participants Spoken To
Australia	2
Brunei	1
Cambodia	1

Canada	1
China	2
European Union	1
Indonesia	3
Lao	1
Malaysia	1
Myanmar	4
New Zealand	2
Pakistan	1
Papua New Guinea	1
Sri Lanka	1
Thailand	1
The Philippines	1
Timor-Leste	1
United States	6
Vietnam	2
<b>Total:</b>	<b>32</b>

### Guided Observation

Members of the U.S. and New Zealand delegations were asked to participate in Guided Observation (Appendix IV) on a nightly basis, with the goal of capturing multiple perspectives on changes in behavior, pertinent discussions, and overall impressions of the workshop. Overall, six entries were received, all by members of the U.S. team. Because of the low number of entries received, data from the guided observation can only be used anecdotally.

## Key Findings

### Goal 1: Evaluating Progress Towards Objectives of the Workshop

#### **1. Workshop content was relevant to participants' work, though this was not recognized until after exposure to the materials.**

Participants were asked to rate the relevance of the workshop to their jobs in the Pre-Workshop and End-of-Workshop Surveys on a scale of 1 ("Very Relevant") to 4 ("Not at all relevant"). The response "I don't know" was also a valid answer.

In the Pre-Workshop Survey, many respondents indicated "I don't know" to the question of relevance. Of those who responded other than "I don't know," the average answer was "Not at all relevant." However, the average response in the End-of-Workshop Survey was "Very Relevant."

This change in reported relevance may in part be due to exposure to 1) real life examples of how key workshop concepts are applied and 2) hands-on activities integrated into the workshop, which participants reported were helpful in illustrating the importance of negotiation and mediation in their work. Still, this delay in recognizing relevancy of workshop content is something to explore further. Questions to consider include: Were the goals and relevancy not communicated clearly during the invitation process? Were targeted participants not outwardly engaged in this type of work? Is there another reason relevancy was not immediately clear?

#### **2. Workshop participants expanded their skills and knowledge related to the workshop topics.**

In the End-of-Workshop Survey, respondents were asked to rate whether they agreed or disagreed with a series of statements such as those illustrated in Table 3. Overall participant responses indicated knowledge gain on key ideas and skills.

Several participants were excited to be exposed to new concepts during the workshop. A senior delegate was excited to learn about scenario planning, an approach that was novel to her. For another delegate, conflict analysis was especially salient. Another delegate appreciated the concept of ripeness in negotiation.

**Table 3: Participant Feedback on Mediation and Peace Processes**

I understand necessary conditions for an effective peace process (n=43).	I understand how to apply conflict analysis tools in my work (n=44).	I understand how mediation can be implemented in a peace process (n=44).	I understand the key features of a mediation process (n=44).
1.60 (Agree)	1.80 (Agree)	1.66 (Agree)	1.66 (Agree)

**3. Participants enjoyed the structure and format of the workshop.**

Participants reacted well to the informal, scenario-based sessions, leading to general enjoyment of the workshop. In the End-of-Workshop survey, most respondents (33 out of 43) said they would strongly recommend this course to their colleagues. Participants highlighted the exercises as being well developed and effective in solidifying core concepts presented.

An Ambassador observed “the workshop was great as the skills are more practical, rather than theoretical.”

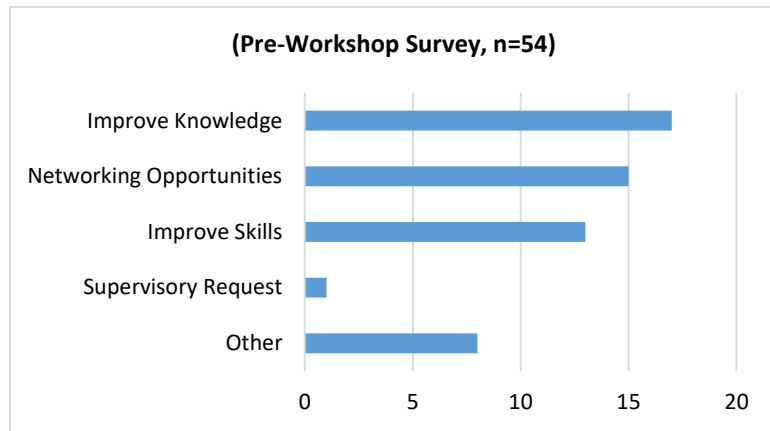
- A member of one delegation felt that the workshop was a positive shift towards action-oriented, rather than discussion-oriented, ARF activities.
- An additional member of the same delegation expressed deep appreciation for the practical exercises and opportunities to apply new skills that were integrated into the workshop agenda.

Some participants called for an even more hands-on approach to learning in the future. Participants from multiple delegations expressed interest in scenario-based learning and exercises that require direct application of theories. One delegate suggested a tabletop exercise as a future learning activity. A researcher stated: “tools and skills are only the basis; attendees need to learn the ‘art’ to make these tools happen in reality.” This participant expressed a desire for increased use of concrete examples of concepts, and practice in application of theories.

**4. Participants attended for learning and networking purposes, and at supervisory request. There is high turnover of participants between preventive diplomacy events.**

In the pre-workshop survey, registrants were asked why they would attend the workshop. A majority attended to improve their knowledge on the topics of the workshop or for networking opportunities. Through informal scoping, multiple participants also indicated they attended because of supervisor requests or were attending in lieu of a higher-level delegate. Understanding more deeply why participants are attending the workshop would help the planning team organize a more effective workshop.

Image 2: Frequency: Why are participants attending this workshop?



Further, in the Pre-Workshop Survey, participants were asked whether they had attended an ASEAN workshop previously. Only seven out of the 54 participants stated that they had participated in an ASEAN workshop previously, with the remaining saying that had never participated in one or were not able to recall whether they had participated in a workshop previously. However, a delegate emphasized that the trainings should still build a base of institutional knowledge about preventive diplomacy. Further research into how information from workshops is transmitted upon the participants’ departure would be useful to gauge and increase impact.

Difficulties Gauging the Correct Level of Participants to Attend: It was difficult to determine whether the attending delegates were the ideal audience for this workshop. A delegate noted that many participants were of lower seniority and may not be able to implement changes or disseminate information as effectively as somebody more senior upon their return to their home institutions. The overall impression of whether the material was too advanced or too basic was mixed. A delegate who had not attended previous workshops indicated that he was able to keep pace with the material, while noting that refresher materials prior to the event or on the first day of sessions would be helpful. During the debriefing, another delegate shared the opinion that the workshop was particularly beneficial for younger attendees. Yet another delegate indicated that filling in worksheets for some of the activities felt rather “trivial,” but did enjoy the discussion and scenarios.

Role of NGOs unclear: Participants notably disagreed on the role that NGOs and civil society should play in preventive diplomacy events like this workshop. The tension fell clearly along lines of nations who have relationships that are more amicable with civil society and those whose governments are more constraining of civil-society activity. However, there was significant positive engagement with workshop speakers



representing NGOs. A delegate who works for an international NGO<sup>1</sup> and another delegate were very positive in their reflections on incorporating NGOs and civil society into the workshop, and the latter suggested more robust and direct discussion of NGO and civil society roles in peace building at future preventive diplomacy events.

Development and Peacebuilding Paradox: A point of tension existed between development-focused peacebuilding and relationship-based peacebuilding. One delegate used the example of a “chicken and an egg” to summarize this point – does development lead to peace, or does peace lead to development? Another delegate noted that Southeast Asian nations want both an American (relationship-based) and Chinese (development-based) approach to peacebuilding. These tensions should be kept in mind while planning future preventive diplomacy events.

**5. Themes and concepts of preventive diplomacy resonated with participants and may be institutionally internalized following the workshop.**

Seventy-four percent of respondents (32 out of 43) said they plan to have their organizations adopt new practices and policies based on lessons from the workshop. The delayed post-workshop survey will help to determine if there has been follow-through on these plans. As a caveat to this finding, one delegate expressed uncertainty that workshop participants had a clear, common vision for how lessons learned in the workshop could shape ARF and ASEAN-IPR activities more broadly.

**Goal 2: Understanding participant views on ASEAN-IPR’s role in ARF and ASEAN’s role in the region**

**6. ASEAN is increasingly recognized as a potential party to regional peacebuilding initiatives, but it has yet to fulfill this role.**

Participants understood the ways in which ASEAN could play a role in resolving regional conflicts at the end of the workshop, but the norm of non-interference is still very strong, as was evidenced by Pre- and End-of-Workshop Surveys (see Table 4).

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<sup>1</sup> The delegate was asked by a member of the Laotian government to attend when the government representative was unable to make it.  
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**Table 4: Feedback on Frequency of Regional Coordination**

Question	Pre-Workshop Survey (n=44) *	End-of-Workshop Survey (n=38) **
<b>How often do you/ do you plan to coordinate with regional counterparts from other countries about this workshop?</b>	<b>3.00</b> (Not too often)	<b>2.00</b> (Somewhat often)
<p>* 10 out of the 54 respondents for this question selected “I don’t know,” and were excluded from analysis.  ** 5 out of the 43 respondents for this question selected “I don’t know,” and were excluded analysis.</p>		

Anecdotally, an ARF ambassador stated that strict adherence to non-interference norms prevents joint action in ASEAN. Another delegate from the ARF, however, stressed that “non-interference shall not be thrown away,” and shared concerns over third-party intervention. Discussion of non-interference should be evaluated as a potential topic of discussion for future preventive diplomacy events.

**7. ASEAN-IPR could fill a gap as a research, networking, and capacity-building hub that serves ASEAN countries and keeps preventive diplomacy relevant to ARF members between workshop sessions (or replaces them completely).**

The Honorable Rezlan Jenie (Executive Director, ASEAN-IPR) gave a presentation on the first day of the workshop about ASEAN-IPR and its progress one year after the institution has been staffed. For most participants, ASEAN-IPR is seen as a think tank. Several participants had specific recommendations for roles or actions they want ASEAN-IPR take:

- One delegate would like ASEAN-IPR to serve as a center for capacity building, research, and networking that can provide recommendations and research on peace processes.
- Another delegate predicts that ASEAN-IPR will offer unique policy perspectives as it operates independently from government oversight, and hopes that it will convene regional think tanks.
- Another delegate hopes to see ASEAN-IPR act as a research and training hub, as well as a forum on topics relating to preventive diplomacy.

Despite the ASEAN-IPR presentation, there was not full consensus on ASEAN-IPR’s mandate among attendees, and questions about how the Institute will be funded remain.

## **8. Capacity building for ASEAN-IPR needed.**

Many participants felt that ASEAN-IPR still requires significant institutional capacity building to succeed. Limited resourcing (including human capital) remains a challenge. Further, the Governing Council of ASEAN-IPR consists largely of ASEAN permanent secretaries. While this is beneficial in many ways, ASEAN-IPR may not be considered a top priority at this high level. Some suggested that having more human resources at a working level could help the Governing Council carry out its functions. Finally, the mandate and goals of ASEAN-IPR are ambitious, and may be difficult to achieve, as a delegate observed. Given limited bandwidth, it will take time for ASEAN-IPR to become operational.

## Recommendations

### Participants

In the End-of-Workshop Survey, participants gave the following recommendations:

1. Provide additional information on the role of mediators in resolving conflict. Specifically, distinguish their role from those played by facilitators or negotiators, elaborate on how culture shapes mediation, and provide recommendations for enhancing interagency collaboration on mediation efforts.
2. Include additional exercises or scenarios to enhance learning in future workshops.
3. Integrate material on drafting mediated agreements or resolutions into future events.

### Evaluators

Based on the outcomes of the applied monitoring and evaluation tools, the following recommendations can be made:

1. Consider integrating more hands-on, operational, and life-like exercises into workshops to simulate application of preventive diplomacy principles.
2. Find innovative ways to integrate NGOs and civil society into preventive diplomacy events.
3. Think critically about who should attend the workshop and who workshop content is geared towards.
  - a. Be clear about required qualifications and seniority/authority level of attendees.
  - b. Explicitly state implementer rationale for audience selection.
4. Communicate the importance of this workshop to participants during registration, clearly explaining how it fits into a larger strategy for ASEAN's preventive diplomacy efforts.
5. Consider unique ways to build networking into the workshop.
6. Spend time scoping how information is shared upon return from the workshop, to better understand and maximize impact.

### Monitoring and Evaluation

The following recommendations will strengthen monitoring and evaluation:

1. Use names or unique identifiers in Pre- and Post-Surveys so samples may be more reasonably compared.

2. Develop more robust questions on the skills and knowledge that the workshop is designed to amplify.
3. Flip the 5-point scales so that “Disagree” appears on the left of screen/page, and to “Agree” appears on the right.
4. Use 5-points scales (Strongly Disagree, Disagree, Neutral, Agree, Strongly Agree) throughout, as this allows for better analysis.
5. When using the same question in both the Pre- and End-of-Workshop Surveys, make sure to use the same 5-points scale.
6. Require guided observation. Ensure there is buy in from participants to complete this task.



# Pre-Course Survey

This survey is required in order to register for the workshop.

1. I understand the necessary conditions for an effective peace process. \*

	1	2	3	4	5	
Not at all confident	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very confident

2. I understand how to apply conflict analysis tools in my work. \*

	1	2	3	4	5	
Not at all confident	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very confident

3. I understand how mediation can be implemented in a peace process.

	1	2	3	4	5	
Not at all confident	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very confident

4. I understand the key features of an effective negotiation process. \*

	1	2	3	4	5	
Not at all confident	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very confident

...

5. For this workshop, is the material in the program relevant or not relevant to you in your job? \*

	1	2	3	4	5	
Not at all	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very Relevant

6. Do you think your country's enabling environment (laws, regulations, policies) related to the subject of this workshop is effective or not effective? \*

	1	2	3	4	5	
Not at all	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very Effective

7. How often do you coordinate with regional counterparts from other countries on the subjects of this workshop? \*

	1	2	3	4	5	
Not at all	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very Often

8. How much do you know about the topics being presented at this workshop? \*

	1	2	3	4	5	
Nothing at all	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A lot

9. Have you ever participated in a United States sponsored ARF PD seminar, training, or workshop before? \*

- Yes
- No
- Unable to recall

10. If you answered yes to this question, please provide the event title that you have previously attended, or its location.

Short answer text

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11. Which of the following would you consider is the main reason you are attending this meeting? \*

- Improve skills
- Networking opportunities
- Supervisor request
- Other
- Don't know
- Improve knowledge

12. If you answered 'other' to the question above, please specify your answer.

## Annex II – End-of-Workshop Survey



**ASEAN REGIONAL FORUM**   
Promoting peace and security through dialogue and cooperation in the Asia Pacific.

### **PREVENTIVE DIPLOMACY: SKILLS AND TOOLS TOWARDS EFFECTIVE PEACEBUILDING**

17-19 September 2018

Nay Pyi Taw, Myanmar

Post-Workshop Survey

Country You Represent: \_\_\_\_\_

Ministry or Department: \_\_\_\_\_

#### **Please circle your responses.**

1. How much did you do you know about the topics being presented at this workshop?
  - a. A lot
  - b. Some
  - c. Not too much
  - d. Nothing at all
  - e. Don't know
  
2. Was the material in this workshop relevant or not relevant to you in your job?
  - a. Very relevant
  - b. Somewhat relevant
  - c. Not too relevant
  - d. Not at all relevant

e. Don't know

3. Do you feel confident or not confident about using what you learned from this workshop and applying it in your job?

- a. Very confident
- b. Somewhat confident
- c. Not too confident
- d. Not at all confident
- e. Don't know

4. Will you plan to have your organization adopt new practices and policies based on material you learned from this course?

a. Yes – Specify an example:

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- b. No
- c. Don't know

5. How often do you plan to coordinate with regional counterparts from other countries on the subjects of this workshop?

- a. Very often
- b. Somewhat often
- c. Not too often
- d. Not at all often
- e. Don't know

6. Would you recommend this course to your colleagues?

- a. Recommend strongly
- b. Recommend somewhat
- c. Not recommend somewhat
- d. Not recommend strongly
- e. Don't know

7. I understand the necessary conditions for an effective peace process.

- a. Strongly agree

ARF Regional Workshop on Preventive Diplomacy 17-19 September 2018

- b. Agree
- c. Disagree
- d. Strongly disagree
- e. Don't know

8. I understand how to apply conflict analysis tools in my work.

- a. Strongly agree
- b. Agree
- c. Disagree
- d. Strongly disagree
- e. Don't know

9. I understand how mediation can be implemented in a peace process.

- a. Strongly agree
- b. Agree
- c. Disagree
- d. Strongly disagree
- e. Don't know

10. I understand the key features of a mediation process.

- a. Strongly agree
- b. Agree
- c. Disagree
- d. Strongly disagree
- e. Don't know

11. Are there any topics not covered in this workshop or previous workshops that would be useful for a future preventive diplomacy event?

## Annex III – Delayed Post-Survey

### Six-Month Delayed Post-Workshop Survey

1. Since attending the workshop how much have you applied what you learned in your job?
  1. A great deal
  2. Some
  3. Not too much
  4. Nothing at all
  5. Don't know
  
2. Do you think your country does or does not have effect enabling environment (laws, regulations, policies) related to the subject of this workshop?
  1. Does
  2. Does not
  3. Don't know
  
3. Has your organization adopted new policies and practices as a result your participation in this workshop, or not?
  1. Yes – Specify an example:  

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  2. No
  3. Don't know
  
4. [ASK LMI, ASEAN, ARF, AND APEC WORKSHOPS ONLY] How often have you coordinated with regional counterparts from other countries on the subjects of this workshop?
  1. Very often
  2. Somewhat often
  3. Not too often
  4. Not at all often

5. Don't know

5. Would you recommend this course to your colleagues, or not?

1. Recommend strongly
2. Recommend somewhat
3. Not recommend somewhat
4. Not recommend strongly
5. Don't know



# Guided Observation - ASEAN PD Workshop September 2018, Nay Pyi Taw, Myanmar

Thank you for filling out the following guided observation at the end of each day of the workshop. The form should take approximately 10 minutes to complete. Please let me know if you have any questions at [rgreubel@usip.org](mailto:rgreubel@usip.org) or [beckygreubel@gmail.com](mailto:beckygreubel@gmail.com).

Name of person filling out this form:

Your answer

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Workshop Day

Choose



Please list below the overall topics or themes covered during the day's sessions

Your answer

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Describe any moments during the day where participants may have agreed on an issue and saw opportunities for collaboration.

Describe any disagreements during the day. Did they get resolved? Why or why not?

Your answer

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Out of all the sessions of the day, list the top two most engaging sessions in order below:

Your answer

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Based on the workshop so far, on a scale from 1 to 5 (1 = strongly disagree, 5 = strongly agree) to what extent do you agree with the following statements:

Participants know how to apply conflict-analysis skills

	1	2	3	4	5	
Strongly Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Strongly Agree

Participants have a common definition of preventive diplomacy

	1	2	3	4	5	
Strongly Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Strongly Agree

Participants understand the key components to a negotiation

Participants have a common understanding of how ASEAN can take an active role in the resolution of conflicts in the region through peace processes

	1	2	3	4	5	
Strongly Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Strongly Agree

Participants have a common understanding of ASEAN-IPR's role in ASEAN

	1	2	3	4	5	
Strongly Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Strongly Agree

Participants have a common understanding of ASEAN-IPR's role in ARF

	1	2	3	4	5	
Strongly Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Strongly Agree

Any other key information or insights about the day's session?

Your answer \_\_\_\_\_