

## **APEC Guidelines on Conducting Capacity Building**

Item eight of the SCE Report on Improving ECOTECH in APEC approved at SOM3 2013 (2013/SOM3/030) requires the development of a set of capacity building guidelines. Draft guidelines have been prepared by the APEC Secretariat and are attached below for consideration and approval.

These guidelines are intended to be a practical tool to assist activity leaders to plan and deliver well rounded and effective capacity building activities. They are intended to complement the work being undertaken through the Budget and Management Committee to improve capacity building through strengthening the APEC project process and may in future be incorporated into or referenced by the APEC Project Development Materials. The guidelines do not attempt to describe capacity building policy or needs within APEC.

### **Recommendation**

That SCE adopt the APEC Guidelines on Conducting Capacity Building.

### Proposed Next Steps

- Submit the Guidelines to SOM for approval, as part of the SCE Chair's Report to SOM
- Disseminate and recommend the guidelines to other committees and working groups
- Request BMC to ensure consistency between these guidelines and the APEC Project Development Materials
- Consider whether APEC should develop a capacity building policy in future potentially covering:
  - How do we define capacity building and what types of activity are most effective in the APEC context;
  - Encouraging development of longer-term or multi-year capacity building programs;
  - Defining broader APEC capacity building priorities and establishing linkages between the ECOTECH Medium-term Priorities, the CTI strategic plan on capacity building to promote trade and investment, the Capacity Building Needs Initiative and capacity building needs identified in the Connectivity Blueprint;
  - Encouraging capacity building that is focused on priorities identified through a planning process
  - Developing a system to evaluate APEC's capacity building effectiveness;
  - How to leverage online applications to improve capacity building activity implementation and feedback; and
  - Considering whether the project funding criteria should be amended to reflect more strongly broader APEC capacity building priorities.

## **APEC GUIDELINES ON CONDUCTING CAPACITY BUILDING**

Capacity building as part of APEC's economic and technical cooperation pillar is a responsibility of all APEC fora. It can be broadly considered as strengthening the knowledge, abilities, skills and behavior of individuals, and improving institutional structures and processes, so that APEC member economies

can more effectively meet APEC's goals. Most often, APEC economies deliver capacity building activities through APEC funded project implementation. However a single project by itself may not be sufficient to build capacity in a significant or sustainable way. Capacity building should be considered in the context of a program of work, ideally focused on a limited number of priorities identified through a planning process.

Given the very different areas of focus of APEC fora these guidelines aim to provide a high level checklist detailing considerations during the different stages of preparing and delivering a capacity building program: conceptualizing, designing, implementing, evaluating and completing.

## **1. Conceptualizing Capacity Building Programs**

- Determine the development agenda and goals the activity is seeking to achieve, bearing in mind priorities identified by Leaders, the APEC Ministers' Meeting, the ECOTECH Medium Term Priorities and fora strategic plans. Be clear about the steps that need to be taken to meet those goals.
- Identify gaps in capacities through undertaking a targeted capacity needs analysis of developing economies
- Consult and validate needs with key stakeholders
- Ensure the planned program will:
  - Be relevant – identify desired outcomes
  - Have an impact – identify expected outputs
  - Be efficient
  - Provide a long term benefit

## **2. Designing Capacity Building Programs**

- Undertake a stock take of available resources
- Undertake an assessment of existing training to reduce the risk of duplication with past or existing capacity building efforts and aiming to build on past activities as much as possible
- Consider any gender specific needs
- Consider private sector views and possible involvement
- Prioritize needs and areas of focus
- Set objectives and key indicators to measure the success rate
- Establish and collect baseline information for comparison during monitoring and evaluation
- Identify and involve partners for delivering the activity, including seeking assistance from fora conveners and Secretariat Program Directors as appropriate
- Identify target recipients for the activity – articulate in invitation who (eg. which level or experience or position held) should be chosen to attend
- Identify the location for the activity taking into account the intended recipients and available budget
- Determine the approach for delivering the program

### **3. Implementing Capacity Building Programs**

- Establish a capacity building roadmap to support the activity goals
- Ensure effective succession planning and skills and knowledge transfer processes
- Capitalize on opportunities for resource/cost sharing, learning, collaboration whether bilaterally or multi-laterally e.g. secondment of experts or frequent exchange of personnel. This will also mitigate risks of duplication with other efforts in building capacities funded by external donors or multilateral agencies.

### **4. Evaluating Capability Building Programs**

- Ensure there are processes to capture feedback and measure the level of effectiveness of the program and to help inform next steps, both immediately after the activity and some months later
  - Note: a sample evaluation tool is available under the projects tab – forms and resources section - of the APEC website
- Review outputs and outcomes against development agenda and goals

### **5. Completion and Next Steps**

- Note areas for improvement and fine tune to improve execution in future
- Complete files
- Submit reports
- Acquit funds