

Capacity Building Activities and Funding

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**AUTHORSHIP**

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1. PREAMBLE

The purpose of the APAC Capacity Building Committee, as set out in its Terms of Reference (APAC FGOV-015), includes organising relevant activities in order to harmonise the accreditation practices among APAC members and support the enhancement of members’ capacities in operating existing accreditation schemes of common interest to APAC members.

This document sets out guidelines for use by the APAC Capacity Building Committee in formulating proposals, obtaining funding and delivering training and other activities in support of capacity building. It also covers the review of activities with a view to improving future activities.

Training in all aspects of accreditation, except that relating to the evaluation of the mutual recognition arrangement, is within the remit of the Capacity Building Committee. Evaluator training is managed by the APAC MRA MC.

Information provided through training and other activities shall be generic and the Capacity Building Committee does not provide consultancy services to APAC members.

All training activities organised by the Capacity Building Committee are open to voluntary participation by all APAC members. APAC may also decide to invite participants from the other accreditation cooperation regions.

1. INITIATION OF TRAINING PROPOSAL AND SOLICITING FUNDING SUPPORT

The Capacity Building Committee identifies the training needs of APAC members through surveys and other forms of feedback from APAC members and stakeholders. Requests for training may also be raised by the APAC Executive Committee or other APAC committees. The information obtained will usually be discussed by the Capacity Building Committee members at its annual meeting to determine the need and the schedule for providing such training. The Capacity Building Committee will usually plan its training program two years ahead. A table designed for such planning is given in Appendix 1. Where an urgent training need is identified, discussion may be done through correspondence.

The Capacity Building Committee may also consider providing training jointly with other organisations. Any such joint training requires the approval by the APAC Executive Committee.

Where necessary, the Capacity Building Committee may decide to set up a working group to study a training proposal and report on its findings to the Capacity Building Committee.

When the Capacity Building Committee has decided to organise a particular training activity, an ad-hoc organising working group shall be set up to carry out the necessary work. In accordance with APAC GOV-004, the Capacity Building Committee shall decide on a case-by-case basis whether specific Terms of Reference are required for this working group.

When it is necessary to obtain funding approval from the Executive Committee, the organising working group shall provide a summary of the proposal on the form APAC FFIN-003 *Request for Funding (Training/Workshops/Seminars)*. Usually, the request for funding to be used in the forthcoming year is considered by the Executive Committee in the current year. Specific details of the training would normally be determined after the funding has been secured. The amount of funding to be requested should be estimated in accordance with Section 11 below.

Funding support for training may be obtained from other sources, provided that prior agreement has been obtained from the Executive Committee. Accepting such funding should not compromise the objectives of APAC, bring APAC into disrepute or put APAC in an embarrassing position. To obtain such agreement from the Executive Committee, the details should be included in the form APAC FFIN-003. The pros and cons of accepting the funding support should also be analysed and detailed.

1. DETERMINATION OF WHETHER TO PROVIDE CERTAIN TRAINING

When determining whether it is necessary to provide a specific training course, the following factors should be taken into consideration:

**3.1 Whether providing the training is within the remit of the Capacity Building Committee**

In general, the Capacity Building Committee should only provide training for issues directly related to accreditation, and the target audience is staff members and assessment personnel of APAC member accreditation bodies. The APAC Capacity Building Committee may also provide training for technical activities that APAC members accredit others to perform, usually in the form of “train the trainer” courses.

**3.2 The level of demand for the training**

As a general principle, higher priority should be given to training requested by a larger number of APAC members. Examples are the needs arising from implementation of new requirements or standards for accreditation bodies or conformity assessment bodies. However, in harmony with the objective stated in Clause 2.1(11) of the APAC Constitution (APAC GOV-001), the Capacity Building Committee may decide to consider providing training to address the needs of a smaller number of APAC members.

**3.3 Whether providing such training by APAC is an effective means of addressing the underlying need**

Training is essentially a dissemination of information and knowledge. It is most effective when such information or knowledge has been generally accepted. For contentious issues, the Capacity Building Committee may consider working in conjunction with other APAC committees, such as the Technical Committees, to organise a working group to foster harmonisation or to find a consensus approach. In such a case, the deliverable of the working group should be well defined in advance. The Capacity Building Committee should not provide consultancy services to address specific requirements of individual members.

**3.4 Who will benefit**

APAC members are the target audience for the training activities organised by the Capacity Building Committee. Other parties, such as members of other regional accreditation co-operations or unaffiliated members of IAF or ILAC may also be invited to participate. When considering the benefits of a training activity, a broad perspective should be taken. Any indirect benefits that may ultimately accrue to APAC and its members in the long run should be considered, if known.

1. CONTENT OF TRAINING

When the Capacity Building Committee has decided to provide training on a certain topic, the following factors should be considered when determining the detailed content of the training course.

The content should address the needs of APAC members. The APAC Capacity Building Committee recognises that different members may have different needs in terms of the level of sophistication of their knowledge, depending on their stage of development in the relevant field. For example, some members may require simply an introduction to a subject while others may require a more in-depth treatment. Thus, the target audience and the minimum qualification and experience requirements for attendance may need to be specified.

Where relevant, the policies and practices of APAC and IAF or ILAC should be included. Reference should be made to relevant APAC and international documents wherever applicable. Other APAC, IAF or ILAC committees may be asked to provide input.

As a general rule, the information provided should be generic and should not be tailored to address specific issues raised by particular APAC members. For issues where there is no clear consensus approach, different viewpoints should be presented where practicable.

The deliverables of a training course, seminar or workshop should be clearly defined in advance.

1. FORM OF DELIVERY AND LANGUAGE

The most common form of delivery of the training is in the form of a training course, a seminar or workshop. Other forms, such as distance learning through printed or multimedia materials posted on a website, may also be used. When selecting a form of delivery, its cost and effectiveness should be considered. In general, those involving face-to-face contact may be more effective but more expensive, while interactive web-based training courses may provide flexibility to participants, but the development and maintenance cost may be high. For courses, seminars and workshops, the activity design should allow adequate interaction and exchange of experience among participants, and between presenters and participants.

To develop multimedia training materials, the Capacity Building Committee may need to contract external experts to provide the service.

After the event, training and related material will normally be made available on the “members only” area of the APAC website via the APAC Secretariat.

The language preferred by the target audience and acceptable to the presenters or facilitators should be used. In the absence of such a preference, English should be used. For printed and multimedia materials, consideration could be given to developing versions in the different languages used by APAC members.

1. HOSTING OF SEMINARS AND WORKSHOPS

**6.1 Selection of host**

For training courses, seminars and workshops, the Capacity Building Committee may issue an invitation to its members to host them. When more than one member volunteers, one is selected through discussion and consensus. If there is no volunteer within the Capacity Building Committee, a volunteer from other APAC members may be invited.

**6.2 Responsibility of the host**

1. The host is responsible for selecting the venue and determining its layout. If participants are to be divided into groups for discussion or projects, a sufficient number of separate rooms are required to prevent interference between groups. The host is also responsible for all other logistics necessary for organising the event. Examples include provision of audio-visual equipment, coffee breaks and lunch, and identifying appropriate accommodation for participants. When arranging meals, the dietary requirements of participants should be considered. If not already provided by the venue operator, the host should also arrange for the necessary third-party liability insurance for the venue.
2. The host is responsible for arranging registration of the participants (including the collection of any fees), copying and distribution of printed or other types of material, providing a secretariat service (if required) throughout the duration of the training activity, and other logistics. To assist the presenters, facilitators and participants, the host should provide the name and contact of a person who can provide assistance when necessary. The host is also responsible for providing an electronic copy of all training material, and a report on the activity (prepared by a rapporteur), to the APAC Secretariat for record keeping and posting on the “members only” section of the APAC website.
3. While the APAC Secretariat invites participants, the host is responsible for maintaining a list of registrants and provide updates to the Secretariat at weekly intervals or more frequently towards the closing date for registration.
4. Where necessary, and following prior approval by the Capacity Building Committee, the host may hire an external agent to assist in organising the event. The cost of the agent must be included in the budget for the training activity if the host is not covering such costs.
5. With the specific approval of the APAC Executive Committee, the host may ask for partial pre-payment of the cost of hiring the venue (with appropriate supporting invoices) by the APAC Secretariat or arrange for re-imbursement after the costs have been paid. APAC may also pay relevant costs directly to the service or venue provider where necessary. Other types of payment arrangement may also be agreed with the APAC Secretariat. In all cases, a detailed account (with copies of relevant invoices, etc.) should be provided to the APAC Secretariat for the financial records after the training activity has been completed.
6. The host may propose inviting a special guest to inaugurate the training course, seminar or workshop after having obtained approval from the APAC Executive Committee.
7. SELECTION AND APPOINTMENT OF SEMINAR PRESENTERS OR WORKSHOP FACILITATORS

The organising working group determines the number of presenters and/or facilitators required, identifies the appropriate persons to take such roles and invites them to do so. If the participants are to be divided into groups, a sufficient number of presenters or facilitators to assist individual groups is needed. Usually, APAC members are invited to nominate seminar presenters or workshop facilitators. Selection is through discussion and consensus. Preference should be given to presenters and facilitators who have an in-depth knowledge of and extensive experience in the subject, and good presentation and interpersonal skills. Where appropriate, presenters and facilitators from different APAC members should be used for different training courses, seminars and workshop.

If a selected presenter or facilitator is a staff member of an APAC member, the APAC member should be asked whether it is willing to volunteer the time of the presenter or facilitator.

Where necessary, external presenters and facilitators may be invited and their costs may be covered in the budget for the training activity. Any request for remuneration for presenters and facilitators must be included in the proposal presented to the Executive Committee for approval.

Where more than one presenter or facilitator is used for a training course, seminar or workshop, the duties for each of them should be clearly defined.

At least one rapporteur responsible for keeping a detailed record of the outcome of the course should be appointed.

1. RESPONSIBILITY OF SEMINAR PRESENTERS OR WORKSHOP FACILITATORS

The presenters or facilitators should work in conjunction with the organising working group in determining the detailed contents of the training course, the method of presentation, the program schedule, content and format of material to be handed out or displayed, the process for appraising participants (where applicable), the maximum number of participants, the entry requirements (when applicable), the grouping arrangements if the participants have to be divided into groups, and whether a certificate of achievement or attendance will be issued. For all courses, seminars and workshops at least a certificate of attendance should be issued to each participant. When determining the accommodation needs for the training activity (e.g. the number and type of rooms), the organising working group should work in cooperation with the host (see also Section 6.2(a)).

Presenters or facilitators are responsible for the preparation of the necessary training material, including any printed or multimedia material to be handed-out, and audio-visual aids. The finalised version of material to be handed out to participants should be provided to the host for reproduction and distribution to the participants well in advance of the date when the training is to be delivered.

The material to be presented should be in accordance with the detailed content of the training as determined by the organising working group.

The presenters or facilitators, in cooperation with one another, should present the information following the agreed schedule. They should also control the conduct of the training course, seminar or workshop. They may have to organise the participants into groups, assist them in starting discussion, and produce the intended deliverable. The rapporteur is responsible for providing the deliverable to the Chair of the Capacity Building Committee (with a copy to the APAC Secretariat) as soon as possible after the training.

Where applicable, presenters or facilitators are responsible for appraising the performance of the participants in accordance with the appraisal scheme described in Section 10 below. Details of the results of the appraisal and the basis for recommendations for the awarding certificates should be provided to the convenor of the organising working group for review. For courses in which participants are appraised through a written test, the presenters are responsible for marking the papers. The presenter retains the marked papers for at least 6 months and the marks and recommendations for awarding certificates are provided to the convenor of the organising working group for review. The convenor of the organising working group should consult the Chair of the Capacity Building Committee for advice on awarding certificates. When the convenor of the organising working group is satisfied with the recommendations, (s)he should forward the recommendations to the Chair of the Capacity Building Committee.

1. INVITATION AND ACCEPTANCE OF PARTICIPANTS

The Secretariat is responsible for preparing and sending invitations to participants, and for answering enquiries, in collaboration with the organising working group and the host, when necessary. This will usually be done through sending an email to all APAC members. They should be invited to nominate participants meeting the criteria for participation by completing and returning a nomination form to the Secretariat. The invitation should include all necessary information about the course, seminar or workshop, including the title of the activity, the form of delivery, the content, the objectives, the name of the organiser, the name of the host, any minimum entry qualification requirements, the venue, the dates, the program schedule, language of delivery, criteria for awarding a certificate (if any), any expected deliverable from the activity, local information, visa and customs requirements, accommodation details and its approximate cost, details of any preparation that participants have to do, and any fees to be paid by each participant. The information should also include the name of a contact person from whom APAC members or participants may obtain further information or seek assistance. When the number of places is limited, the invitation should also include the criteria for selecting participants, and the date by which APAC members will be notified of the successful nominees. The organising working group and the host should provide the information necessary for the preparation of the invitation to the Secretariat at least one week before the invitation is to be sent out. In general, invitees should be allowed at least two weeks to nominate participants. Late entries should be accommodated as far as possible.

On receiving a nomination form, the Secretariat should note the date and time. After the closing date for nominations, the Secretariat should send all nomination forms received to the organising working group that is responsible for selection of participants.

All APAC members should be able to participate on a voluntary and equal basis in all training activities organised by the Capacity Building Committee. Where the number of places is limited, for example, in training courses, seminars or workshops, each APAC member should normally be allowed to send at least one participant. Experience shows that some APAC members may ask if they may send more than one participant, while others may opt not to send any. The demand for extra places should be accommodated as far as class size and equity considerations allow.

After an equal number of places has been allotted to each interested APAC member, any remaining spaces should be allotted on a first-come-first-served principle. Where there is any dispute as to who should be accepted, the decision of the organising working group is final, provided that the selection criteria have been met.

Other participants may be invited as proposed by the organising working group and endorsed by the Executive Committee. These would usually be members of other regional accreditation groups or unaffiliated accreditation body members of IAF or ILAC. Other participants from organisations that have expressed an interest in APAC activities or other stakeholders in accreditation may also be invited, following endorsement of this by the Executive Committee.

When the participants have been selected, the host should notify the APAC members, other organisations and individuals who have nominated participants, as to whether their nominations have been accepted. Up-to-date information about the training activity, including instructions for registration and details of hotel accommodation should also be provided with the notification. Standard registration forms for the training and for the hotel accommodation should be sent to the participants and they should be asked to return the completed forms by a given date. The registration form should include provision for the participants to state any special dietary needs. If the participants are required to carry out certain activities to prepare for the training, the necessary instructions and materials should be provided together with the registration form. The notification should be issued as soon as possible but should not be later than one month before the scheduled date of the training. The host should also keep the APAC Secretariat informed of the up-to-date list of registrants.

If participants require a visa to enter the economy where the training is to take place, the host should offer to issue an invitation letter or provide other assistance to help participants to obtain the visa.

When the course, seminar or workshop is heavily over-subscribed, consideration should be given to repeating it in the near future, preferably in a different economy.

1. AWARDING OF A CERTIFICATE

For most training activities, a certificate of attendance should be awarded to participants who have participated in at least 80% of the activities. For a web-based training program, the participant needs to complete at least 80% of the tasks.

If a certificate of achievement is to be issued, e.g. when satisfactory participation in the training activity is considered as the fulfilment of certain APAC requirements, the appraisal scheme and minimum criteria for passing should be determined by the organising working group in cooperation with the Chair of the Capacity Building Committee, documented and provided to the participants. As far as possible, the appraisal scheme should be designed in such a way that participants will not be disadvantaged by the need to express themselves in a foreign language. Participants who are not qualified to receive a certificate of achievement should be awarded a certificate of attendance if they meet the criteria stated above. A certificate of attendance should not be issued to participants qualified for a certificate of achievement for the same activity.

Certificates should be signed by the Chair of APAC. The standard formats of certificates are in given in Appendix 2 (attendance certificate) and Appendix 3 (achievement certificate). The certificates should be prepared by the APAC Secretariat and issued on A4 APAC letterhead paper.

If a participant disputes the type of certificate (s)he should be awarded, the organising working group should review the case and provide advice to the Chair of the Capacity Building Committee. The decision of the Chair of the Capacity Building Committee is final.

1. ESTIMATION OF THE AMOUNT OF FUNDING REQUIRED

The amount of funding required for providing a training activity should be estimated as follows:

In general, each APAC member should be allowed to nominate at least one participant to attend a training activity without payment of any participation fees. Participation fees may be charged for additional participants from the same APAC member. If the mode of the activity allows a large class size attendance, each APAC member may be allowed to nominate more participants without payment of any participation fees.

In exceptional circumstances, e.g. when the cost of preparation is very high, the Capacity Building Committee may propose to the APAC Executive Committee that APAC members be charged a fee for participation.

The costs for venue hire (including any charges for all necessary facilities), third-party liability insurance, morning and afternoon teas and lunches during the training period are normally borne by APAC. In general, the standard of the venue should be equivalent to that of a 3-star hotel. Where the host volunteers to upgrade the standard at its own cost, it should provide a realistic estimate of the cost of a 3-star (or higher) hotel venue in the vicinity of the chosen venue to the APAC Secretariat to facilitate sharing of costs between APAC and the host.

Unless otherwise arranged, APAC members are responsible for the cost of travel, accommodation, subsistence and other costs for the participants nominated by them. When there is justification, e.g. when attending the training is essential for maintaining harmonisation among APAC members, the Capacity Building Committee may request funding from the APAC Executive Committee for the travel (economy class), and accommodation (3-star hotel) for one participant from each APAC Full Member.

In general, the travel (economy class), accommodation (3-star hotel) and subsistence costs of presenters and facilitators are borne by APAC.

For presenters and facilitators nominated by APAC members, the APAC members will be invited to contribute the time of the presenters and facilitators. Any compensation to be paid to any presenters or facilitators should be discussed and agreed in advance by the Executive Committee.

Miscellaneous costs, such as mailing and stationery costs, the hiring of an external seminar organising agent, etc. may be included.

Justification for the expenditure and an itemised and realistic breakdown of the estimated costs (based on quotes obtained for venue hiring, airfares and accommodation) should be included in the Funding Request Form APAC FFIN-003.

If external funding is needed or available, the Capacity Building Committee may propose to the Executive Committee that such funds be solicited. The Executive Committee will carry out any necessary procedures to obtain the funding.

1. FEEDBACK AND REVIEW OF THE EFFECTIVENESS OF THE TRAINING

For each training activity organised by the Capacity Building Committee, participants should be required to provide feedback through completing and returning a course evaluation questionnaire. An example standard feedback questionnaire is given in Appendix 4. The feedback obtained should be analysed by the organising working group.

The organising working group should provide a report on the training activity to the next meeting of the Capacity Building Committee. The report should include a brief summary of the activity, what has been achieved, and any recommendations for improvement. The report should also include an analysis of the feedback forms. Such recommendations should be taken into consideration when organising future training activities. A copy of the report and of the feedback forms should be provided to the APAC Secretariat as official records of the activity. The organising working group should also provide to the Chair of the Capacity Building Committee details of the training activity and the report so that the record of training can be updated. A table suitable for recording the history of the training provided by the Capacity Building Committee is given in Appendix 1. A copy of the current table should be provided to the APAC Secretariat after each update.

1. EXPRESSION OF THANKS TO THE HOST AND APAC MEMBERS PROVIDING PRESENTERS AND FACILITATORS

When the training activity has been completed, the Chair of the Capacity Building Committee should send a letter of thanks to the host and to the APAC members who have provided the time of presenters and facilitators free of charge. The organising working group may also recommend that the Chair of the Capacity Building Committee send thank you letters to any other parties that the organising working group deems to have provided valuable support for the training activity.

1. AMENDMENT TABLE

This table provides a summary of the changes to the document with this issue.

|  |  |
| --- | --- |
| **Section(s)** | **Amendment(s)** |
| All | New issue on establishment of APAC. Based upon APLAC TR 002 Issue 2. |
| End |  |

Appendix 1 - Training Plan/Record

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Year** | **Title** | **Type** | **Brief Description** | **Organised by** | **Date** | **Host** | **Cost and provided by** | **Facilitator/Presenter****and their affiliation** | **No. of participants**  | **Status**(Planned (P)/ Completed (C)) | **Deliverable and** **its status** | **Organising Working Group Members** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |

Appendix 2 - Standard Format of Attendance Certificate

****

**This is to certify that**

***Name of Participant***

**has attended the**

***Title of the training activity***

**in**

***the name of the city and country***

**on**

***dates of the training activity***

***(Signature)***

***(Name )***

**Chair of APAC**

**Date of issue: *(date)***

Appendix 3 - Standard Format of Achievement Certificate



**This is to certify that**

***Name of Participant***

**has successfully completed the**

***Title of the training activity***

**in**

***the name of the city and country***

**on**

***dates of the training activity***

***(Signature)***

***(Name)***

**Chair of APAC**

**Date of issue: *(date)***

**Appendix 4 – Standard Feedback Questionnaire**

**Title of Training Activity**

**Dates of the Activity**

The APAC Capacity Building Committee appreciates your feedback. It will be taken into consideration in organising future training activities. We would be grateful if you could take a few minutes to complete this feedback questionnaire and return it to the host of the training activity or to the Chair of the Capacity Building Committee.

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | Not Really |  | Adequately |  | Well |  | Very Well |
| 1. | Has this training activity met your needs and expectations? |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| 2. | Has this activity given an adequate and balanced treatment of the subject?  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| 3. | Has this activity provided sufficient opportunity for interaction with the presenters and other participants? |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  | Too Long |  | Suitable |  | Too Short |  |  |
|  |  |  |  |  |  |  |  |  |
| 4. | What do you think of the duration of this training activity? |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  | Poor |  | Fair |  | Good |  | Excellent |
| 5. | How do you rate the overall presentation? |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  | Too expensive  |  | Adequate |  | Below standard |  | Poor |
| 6. | What do you think about the venue, tea and lunch arrangements? |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| 7. |  How do you rate the contents of the course? Difficult to Understand Easy to Understand  |
|  |  |
| 8. | Which aspects of this training activity need improvement? |
|  |  |
|  |  |
|  |  |
|  |  |
| 9. | Which aspects of this training activity are the best? |
|  |  |
|  |  |
|  |  |
|  |  |
| 10. | Which aspects of this training course are the worst? |
|  |  |
|  |  |
|  |  |
|  |  |
| 11. | Please suggest topics for future APAC training activities. |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
| 12. | Other comments: |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

**OPTIONAL:**

|  |  |  |
| --- | --- | --- |
| Name : |  |  |
| Position title : |  |  |
| Organisation : |  |  |
| Email address : |  |  |
| Signature : |  |  |

Thank you for your feedback.