

# International Union of Psychological Science

## Report on Strategic Planning for Capacity Building

### *Table of contents*

1. Purpose.....	2
2. Introduction.....	2
3. Key outcomes .....	2
3.1 A framework for the Union’s capacity-building goals .....	2
3.2 Framing capacity building .....	4
3.3 Carrying out capacity building.....	6
4. Looking to the future: General issues .....	7
4.1 What would be the optimal balance between supporting organizational development and capacity building focussed on individuals? .....	7
4.2 What is the prospective value of the Union’s established capacity-building activities? .....	7
4.3 What would be the optimal balance between historic programs and new initiatives? .....	7
4.4 From what sources can the Union secure greater financial resources for capacity-building? .....	7
5. The value of established Capacity Building activities .....	8
5.1 ARTS .....	8
5.2 National Capacity Building .....	8
5.3 Health Net .....	9
5.4 Educational Standards.....	9
5.5 New initiatives.....	10
6. Demonstrating value .....	10
7. Funding.....	11
8. Concluding Remarks.....	11
Appendix 1: Recommendations .....	12
Appendix 2: Framework for meeting.....	13
Appendix 3 Meeting agenda .....	16
Appendix 4 Participants .....	18

## 1. Purpose

This report is based on the outcomes of a meeting held 1-3 May 2011. Its main purpose is to assist the Officers and the Executive Committee (EC) of IUPsyS to make decisions about the Union's current and future capacity-building activities over a four-year to eight-year period. It also articulates the principles upon which decisions should be based. This will facilitate evaluations on progress and outcomes of activities which are endorsed.

The report does not evaluate or assess current activities in detail; rather, the experiences and outcomes of current activities are used to inform the recommendations.

The key recommendations of the Report are listed in pertinent sections of the report to which they relate as well as in a complete list in Appendix 1.

## 2. Introduction

Capacity building has been an integral part of the Union's mission for much of its history. It is a priority of the current Strategic Plan (SP). One of the Union's three Standing Committees focuses on capacity-building, co-ordinating the activities of several workgroups usually chaired by members of the EC.

The Union's current SP identifies two areas for dedicated planning activities to inform the SP for the next quadrennium and beyond. The first of these dedicated planning activities occurred in 2009 and addressed the Union's publications and communications programme. The second, the subject of this Report, addressed the Union's capacity-building role and activities. Colleagues from within and outside the Union were invited to a structured working meeting, circulated with pertinent documents and met in Würzburg, Germany, in May 2011.

The complement of participants was remarkably diverse for a group of this size. This is confirmed by several characteristics: eight are current members of the EC (four Officers, three regular members and one ex-officio member); six were external to the Union governance (three young scientists and three experienced colleagues from other organizations). There were eight males and six females.

The preliminary framework for the meeting, the agenda and details of participants can be seen in Appendices 2, 3 and 4.

This report will inform the development of the Union's overall SP as well as shape future capacity building priorities. The SP for the next quadrennium will be adopted by the Assembly in 2012. The timing and circulation of this Report is intended, therefore, to inform the development of the SP for 2012-2016, and in particular the August 2011 EC meeting as well as subsequent drafting of the next SP by the President and Secretary-General.

## 3. Key outcomes

### 3.1 A framework for the Union's capacity-building goals

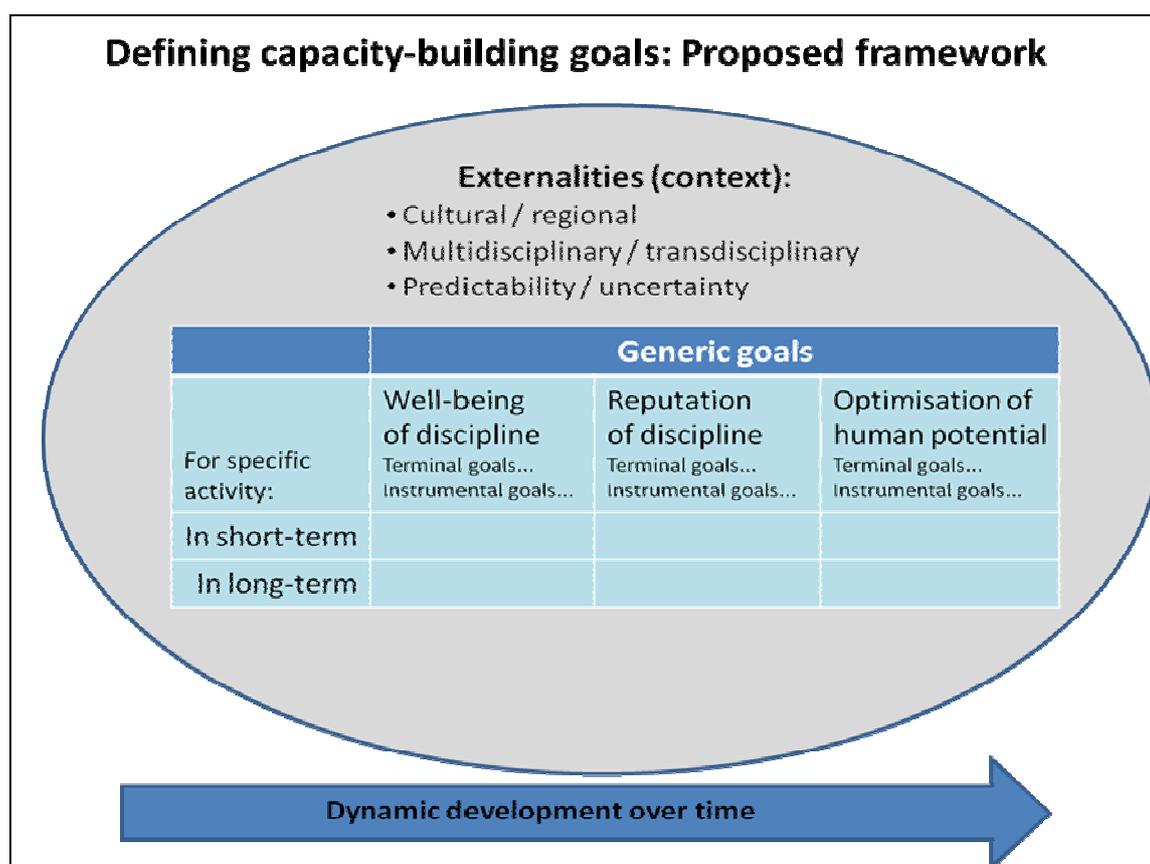
The starting point for the meeting was to consider what the Union meant by Capacity Building, what generic, or high-level, goals its capacity-building activities should address and how the specific goals for particular activities should be conceived.

It was determined that a closed definition of capacity building would not be appropriate; however, the following statement captures the outcomes of the discussion.

*Capacity building is a conceptual approach to development which focuses on understanding a) the obstacles that inhibit people or organizations from realising their developmental goals and b) the enablers that allow them to achieve measurable and sustainable progress*

towards their goals. Individual capacity building refers to strengthening the skills, competencies or abilities of individuals, whilst organizational capacity building refers to the process of enhancing an organization's ability to perform specific activities to achieve its goals.

Participants strongly agreed on the need to define both high-level goals for capacity-building and to structure specific short-term and long-term goals in relation to these. Capacity building can be conceived like a "production function" in economic terms, that is, a sometimes costly and complex means required to achieve the high-level generic goals of an organization. This conceptualisation aided participants in generating a framework to define the goals for the Union's capacity-building activities. This framework is shown in Figure 1.



*Figure 1: Framework to define goals for capacity-building*

In Figure 1, the central box summarises the high-level goals of the Union: to advance the well-being of the discipline of Psychology, and to promote its reputation. Also at this level is the goal to optimise the potential of individuals to meet their own or societal aspirations. While this third goal can be seen in part as a subgoal of the first two, it is convenient to list it at the same level in the diagram. The next stages of strategic planning will further define these goals (for example, advancing the well-being of the discipline might address: the knowledge systems and methods of the discipline; the training and skills of psychologists; understanding the external opportunities; the operational context for application of psychological knowledge). Participants noted that, where relevant, the goals of national organizations should be taken into account within the more general goals of building scientific psychology.

In the context of particular capacity building programmes or activities, there will be more specific goals which address one or more of the generic goals, and these will be of two types:

- *terminal goals*, which reflect the desired outcome of an activity
- *instrumental goals*, which reflect steps on the path to achieving the terminal goal.

The diagram also distinguishes between *short-term* and *long-term* goals. This distinction is particularly important in the context of capacity building, since the aim is for sustainable and cumulative effects over time.

The encompassing oval represents the externalities or contextual factors in which the goals and actions are played out; they moderate the instrumental goals and associated processes.

Particularly important are:

- (a) Regional and cultural factors, which influence both the nature of goals and how activity is embedded.
- (b) The multidisciplinary and transdisciplinary basis of psychological interventions and developments. The goals and associated activities for capacity-building must take into account the multidisciplinary nature of the endeavour as this relates to both underlying science and societal change.
- (c) The inherent uncertainties and unpredictabilities which exist (e.g., in certain cultures and regions), thereby altering the role of short-term and long-term planning.

Finally, the arrow at the bottom of diagram is a reminder that the representation cannot be a static one but changes over time. These may, for example, be changes in need or changes within the discipline. Thus, the goals and subgoals, their inter-relationships and associated activities have to be revisited periodically to be assessed against changing circumstances.

The diagram is a conceptual framework that captures the Union's goals for capacity building. However, it is also intended to be a generative framework for producing and assessing specific action plans. For a particular form of capacity building, the empty cells of the framework can be populated with specific terminal and instrumental goals, short-term and long-term, with the links to the generic goals made explicit.

The following recommendations result from this section:

- Rec1. The high-level generic goals of the Union should be operationally articulated in the next SP and elsewhere.*
- Rec2. The structure of goals for specific capacity-building activities should be clearly stated, related to one or more of the high-level goals of the Union, and characterised in terms of the terminal/instrumental and short-term/long-term dimensions.*
- Rec3. When planning capacity-building activities, careful consideration should be given to externalities and contextual factors, in particular factors relating to culture, multidisciplinary, and uncertainty.*
- Rec4. The proposed framework should be used to help generate action plans for capacity-building activities.*

### **3.2 Framing capacity building**

Clarity about the goals of capacity building, and the processes for identifying goals for specific capacity building activities, was agreed to be an essential starting point. Further important elements for framing the Union's capacity building work included the following.

- (a) *Timescale*. Participants agreed that timescale issues need to be addressed both within future Union SPs *and* when planning specific capacity-building activities. The particular timescale can be very short, or as long as five to 20 years when considering the future

needs of the discipline. Some goals may require a long timescale, whereas specific activity to achieve a goal may require only a short-term to medium-term timescale. Timescales also need to align with the capacity of individuals and national organizations.

(b) *Cultural and regional specificities*. There are regional, national and cultural differences in the education and training in psychology, in the foci and methods of psychology research and in the application of psychology in practice; there are also large differences in the infrastructure and facilities to support and develop psychology. Therefore, the needs for Capacity Building differ across regions, and careful needs analysis is essential when considering a specific capacity building activity. Furthermore, a capacity building activity must be sensitive to the embedding context to identify the mechanisms by which activity can become developmental or sustainable.

(c) *Scope*. The meeting identified two key aspects of the scope of Capacity Building.

- i. *Disciplinarity*. The Union's capacity building work has in the past largely focused only on the discipline of Psychology. However, the current science environment emphasises the importance of wider interdisciplinary, multidisciplinary and transdisciplinary activities. There are several reasons for developing interdisciplinary, multidisciplinary and transdisciplinary approaches: increased importance of interdisciplinary research in the generation of new knowledge and its application to emerging areas of practice; the importance of collaborative work with other Unions and ICSU, acting jointly as a catalyst for national or regional changes in science policy; capitalising on the unique perspective that psychology can bring to broader issues; enabling wider opportunities for external funding, for example from science bodies or aid agencies.

Participants strongly advocated a greater role for interdisciplinary, multidisciplinary and transdisciplinary issues within the Capacity Building programme.

- ii. *Focus*. Participants noted that the breadth of IUPsyS capacity building differs from many other Unions where the focus is more specifically on the development of science and research programs. Without diminishing the importance of science-specific activities, there was strong agreement amongst participants that the development of frames of reference or principles for education, training, practice and policy was important, and especially for regions where psychology is not yet well established. Such principles should be solidly based in scientific evidence and understanding. Furthermore, it is important that implementation mechanisms for principles be responsive to the specific context and achieve appropriate local buy-in. This may, therefore, require attention to societal and political issues which influence how new developments evolve. Participants stressed the importance of encouraging societal engagement both directly through capacity-building events and indirectly through our national members.

(d) *Targets*. Two dimensions were considered particularly important when considering how capacity building should be targeted.

- i. *Individuals and organizations*. Capacity building may be directed at individuals, at organizations or at both, and may have wider social or policy implications. Both individuals and organizations may have clear and pressing needs in different areas, and priority should be determined on the basis of need and likely impact. To achieve wide impact, programmes aimed at individuals should always look for ways to maximise their effect, for example through supporting "cascading" approaches (such as "training the trainers") or seeking to develop leaders who can model best

practices and champion change. For national organizations, participation in CB events can help develop local responsibilities for implementing capacity building.

- ii. *Developing and developed countries.* At a national or regional level, much of the Union's efforts have previously been focussed on developing areas. It was noted that ICSU's position is that every country needs capacity building, although the reality is that efforts are more targeted on some countries than others. It was agreed that the Union's priorities should be identified in terms of need and potential impact in relation to the status of psychology. While there are some situations where capacity building is important in developed countries, it is anticipated that there should be a greater focus on the Global South. Participants noted that there are psychological issues that differ between developing and developed regions (e.g., 80% of adolescents live in the Global South); in addition, capacity building concerns the broad "capacity of psychology" as well as the capacity of individual countries.

The following recommendations result from this section:

- Rec5. The SP for 2012-2016 should provide for continued assessment of the timescale for specific priorities.*
- Rec6. Planning for a capacity-building activity should include needs analysis which addresses cultural or regional specificities; such analyses may identify needs in both developing and developed regions with differential emphasis on the Global South.*
- Rec7. The scope of capacity building should be widened to include interdisciplinary, multidisciplinary or transdisciplinary aspects including collaboration with ICSU, other Unions or similar bodies.*
- Rec8. Priority should be given to capacity building which supports applying or developing frameworks for education, training and practice.*
- Rec9. Capacity building should be targeted at individuals or organizations most likely to maximise sustainable change.*

### **3.3 Carrying out capacity building**

The meeting also considered general issues in conducting capacity-building activity. Key points included the following:

- (a) *Models of CB activity.* While the optimal model for a particular capacity-building event will depend on the situation, participants expressed a clear preference for collaborative approaches that favour the development of research partnerships that help sustain and develop capacity over skill transmission-based approaches focused on individuals, particularly when local specificities strongly determine outcomes.

The role of the Union as broker rather than prime deliverer was also stressed. IUPsyS has typically concentrated on capacity building for small groups of individuals with little pre-workshop or post-workshop activity. Participants strongly urged that capacity building focussed on individuals should require some pre-activity engagement as well as post-workshop actions that facilitate collaboration. In this respect, consideration should be given to models involving the engagement of larger groups of recipients or beneficiaries (such as all ARTS alumni).

- (b) *Need for evidence-based approaches.* Planning for capacity-building events should, where appropriate, involve preliminary needs analyses and collect information from potential participants in order to inform the event.

Short-term and longer-term evaluations should gauge impact or outcomes to inform understanding and future activity.

- (c) *Maximum effectiveness.* The plan for a capacity-building activity should specify how it will make best use of available resources, as well as achieve desired outcomes and sustainability.
- (d) *Working alone or in partnership.* The Union, through its global reach and contacts, has the potential to provide unique benefits in capacity building, and these should be exploited where the activity meets the Union's goals. In some situations, the greatest benefit (either in terms of effective use of resources or in terms of impact) may accrue from working in partnership with others. In other situations, where the Union is not providing a unique perspective, it may better to operate in a brokerage role or to leave the capacity-building activities to others. Thus, decisions on whether to proceed alone or with others should be informed by knowledge of the activities or plans of other relevant bodies.

The following recommendations result from this section:

*Rec10. Collaborative approaches to capacity building should be favoured over passive transmission-based approaches, and consideration should be given to models which engage more participants, including some online activities.*

*Rec11. As far as is feasible, capacity-building activities should be informed by evidence on need and context, and the impact should be evaluated so as to inform further work.*

*Rec12. A capacity-building activity should be planned to achieve maximum impact and sustainability for the minimum use of Union resource; planning should actively consider whether the Union should act alone, in partnership, as a broker, or not at all.*

#### 4. Looking to the future: General issues

The preliminary framework document and the meeting agenda (see Appendix 2) posed a number of questions under the general rubric of Looking to the Future on which participants were invited to make recommendations. The questions and responses are summarised below.

##### **4.1 What would be the optimal balance between supporting organizational development and capacity building focussed on individuals?**

The balance should not be specified; the Union should continue to build capacity in both areas, with specific activities based on priorities and targets of opportunity.

Participants urged greater emphasis on development of future leaders and on leadership development generally. Further consideration should be given to models for identifying target participants. One model is to seek nomination (e.g. from our National Members) and then evaluate these. However, previous experience suggests that such approaches may be too conservative and not sufficiently innovative.

##### **4.2 What is the prospective value of the Union's established capacity-building activities?**

The current programmes should be maintained or developed, with the exception of Health Net which should undergo a review. (For further details, see section 5 below.)

##### **4.3 What would be the optimal balance between historic programs and new initiatives?**

There should be no set balance; rather, decisions should be made through case-by-case priority judgements.

##### **4.4 From what sources can the Union secure greater financial resources for capacity-building?**

See section 7 below.

The following recommendations result from this section:

*Rec13. Capacity building both for individual development and for organizational development should be continued, with decisions on specific activities based on priorities and targets of opportunity.*

*Rec14. Further consideration should be given to models for identifying target participants in CB events, including seeking and evaluating nominations from National Members.*

## 5. The value of established Capacity Building activities

As noted above, the meeting was not designed to undertake a formal review of established programs. Nonetheless, participants received prior information about current programs and a brief introduction was provided for each at the meeting followed by discussion and the formulation of a recommendation.

### 5.1 ARTS

ARTS is in essence a strategic capacity-building activity, but in practice the implementation is driven by opportunities, for example historically in the choice of topics. Links to national members and targeting potential leadership are hard in practice.

There are some examples of building in continuing activity after the ARTS; this acts as an effective multiplier in creating value. For stronger impact, there should be a longer activity with mentoring before and continuing activity after a meeting. The linkage between the attending international conference and ARTS is crucial.

Those who had attended ARTS felt objectives were all met, including enabling attendance at the respective congresses. While the workshop was generally effective, ARTS alumni stated that networking was the best outcome, allowing continuing collaboration and opening doors. The importance of continuity as a “value added” over and above learning at the workshop itself was endorsed by all meeting participants. Formal evaluation of ARTS has been good in terms of the seminars themselves and their potential impact and collaboration. A small survey of long-term impact was also positive, as is anecdotal evidence. However, the utility of such evaluations was questioned.

Other Unions tend to follow an “international school” model – which is longer and more intensive than ARTS. This model could be considered further as part of future strategic planning or if an opportunity emerged. Participants also raised the possibility that ARTS might in the future be part of a larger young scientists programme.

*Rec15. ARTS should be maintained with the addition of explicit pre-workshop and post-workshop activities that enhance collaboration and sustainability.*

### 5.2 National Capacity Building

Participants noted that NCB events have both national and regional foci, with topics typically covering education, training, policy, and national organizations. The events are intended not only to build national and regional capacity, but also to develop the Union’s capacity and to encourage national membership. An evident strength is in bringing together people regionally who have never met to share experience and issues. Involvement can raise awareness on important issues as well as enabling collaboration regionally. However it is often hard to get the leaders to attend.

Participants emphasised that NCB activity should focus on need and on those aspects on which the Union has expertise. For example, the Union does not run national organizations, so our role may be best as a broker for national organizations. Some regions already have strong regional structures, and we should avoid any competition with these. Based on the wider experience of ICSU, it was proposed that the Union’s brokering or convening role should be focussed around

specific issues. These can be complex requiring a mix of system and individual-oriented components (such as disasters), or more focal (such as specific methodological tools).

It was argued that the Union needs to develop materials, routines, means of communication and other resources, and where appropriate make these available to regional bodies. However it was also noted that there is a risk that developing a fixed package to help structure content might impose too rigid a model.

Where opportunities arise, the Union should work in a multi-disciplinary context to develop its potential in brokering, with ICSU (including its Regional Offices) and other Unions. This is likely to be cost-efficient, and the Union can act with others as a catalyst for regional or national policy changes. Regional brokerage should help regions to address global issues, and facilitate regional and national bodies to help develop global agendas.

*Rec16. National capacity building should be maintained, and opportunities for collaboration with other organizations and for regional brokerage should be sought.*

### **5.3 Health Net**

Health Net is a virtual service which provides information on various aspects of Health Psychology and current issues. There is parallel work with WHO on a variety of projects including the ICD revision and on-line surveys with members.

Participants agreed that Health Net currently has little impact as a virtual network and would require significant resources, both personal and financial, to reinvigorate it. The Union should consider whether there is a need for a virtual network of this sort, and, if so, what purpose it should serve and how it should be run.

Participants therefore suggested that the Union defer development of Health Net until a strategic review of the service has been conducted. The WHO work is distinct from Health Net as a virtual network and would not be part of the review.

The following points were raised in discussion:

- While the Network is currently restricted to Health, it could have a broader remit
- It could have a young scientist focus or aspect
- There is a potential issue of limited internet access in developing countries, although it was argued that this is diminishing.

*Rec17. A strategic review of Health Net should be carried out.*

### **5.4 Educational Standards**

The Work Group on Education aims to develop standards or frames of reference for scientific psychology education applicable to different countries. Participants considered that the development of frames of reference (or principles) for psychology education is highly relevant to capacity building in regions where psychology is not well developed. The work is of particular importance in countries where there is no current accreditation or regulation. In such cases, a function for the Union is to help national bodies to define what a psychologist is.

The Union is in a unique position to advance standards / frames of reference, through its global reach and reputation. The activity strongly relates to short-term and long-term goals for the well-being and reputation of the discipline. However, an important component of the work requires participation and buy-in from those who will be implementing such policies rather than assuming that promulgation by the Union will be sufficient. It was noted that the dual focus on both education and training is different from most other Unions (where the focus largely on science research). In Psychology, there is no other body to do this for education and training, though this is less the case for professional practice.

*Rec18. The work of the Work Group on Education should be maintained.*

### **5.5 New initiatives**

Participants discussed the Caucasus workshop series as an instance of a “new initiative”. The series arose from looking for a project applying psychology to real life, and that would offer something of use for the countries and have longer-term influence on policy and scientific education and training. It has proved important for Georgia and its links regionally to Armenia and Azerbaijan, and serves as a pilot programme for future collaborations in the Caucasus and possibly Central Asia. These principles were seen as important when considering possible new initiatives.

In general, the Union needs criteria to determine which *ad hoc* areas to address. The criteria should be based upon the Union’s larger goals, and topic areas should not be limited to disaster response. In particular, participants emphasised that the Union is not a disaster relief agency. One focus should be the development of training programmes, and of future leaders and policy, and projects should concern the appropriate use of psychological knowledge: what to do and not to do. An important criterion is therefore whether we have the scientific knowledge to underpin the activity. The Caucasus example is important in showcasing the application of science, in contrast to reactive approaches which are often ill thought through.

Further considerations should include continuity and sustainability, and the need to carry out risk assessments. An example is where the political or economic context would mean that engagement is not worthwhile. Funding from outside is sometimes available if the project is framed in external terms and at a general level of application of scientific knowledge, but commitments for a particular programme will be for a limited time, both for funders and for Union resources.

The Union might also consider greater use of electronic communication in relation to events and review what practical options are available to it. When is there added value of face-to-face versus electronic communication, and when might face-to-face meetings be supplemented by electronic mentoring or activity before or after the meeting.

A further suggestion for new initiatives was to consider the possibility of organising an International Year (IY) on a relevant topic. The IY approach can activate the membership, promote public understanding or influence policy. It has proved successful in many areas, and can be interdisciplinary.

*Rec19. The Caucasus initiative should be maintained, and it should serve as a model for future similar initiatives.*

*Rec20. Further work should be carried out to determine criteria for the selection of new initiatives or ad hoc projects in the area of capacity building.*

## **6. Demonstrating value**

Participants noted that there are many potential models of evaluation (process *versus* outcome; short-term *versus* long-term; for accountability, for development or for understanding effects and impacts). Any evaluation should therefore be designed to meet its chosen purpose, and should be valid and reliable.

ICSU does not conduct many evaluations, focussing its efforts into selecting the best things to do. While evaluation of impact would be ideal, this is often not feasible: evaluations need to be achievable. Furthermore, there is a risk that the constraints of a limited evaluation restrict the activity.

Nevertheless, it is often important to keep track of participants in order to measure impact. An example is with ARTS: participants could be asked beforehand to report back at a later date on impact. All evaluations put burden on participants; they should be treated with respect and valued.

*Rec21. The Union should maintain an evaluative component for Capacity Building activities, and further develop or refine approaches and tools to do so.*

## 7. Funding

Participants noted that the Union's resources have increased over recent years and the current quadrennial budget allocates more money to Capacity Building than had been allocated previously. The Union should nevertheless be alert to respond to funding opportunities. A stronger strategic focus would assist in identifying funding opportunities: it would help the Union to look creatively at potential matches of its needs with the requirements of funding agencies and to bring influence to bear upon potential funders.

Because of the large global challenges it addresses and the growing role of interdisciplinarity, ICSU is well-positioned to attract external funding. While Psychology has a role to play in ICSU initiatives, participants believed that more substantial and more sustainable funding may be available from other sources.

It was agreed that seeking funding should remain a high priority although no targets were recommended. Internal levels of support should be maintained or increased. Funding bids should seek to enhance the reputation of the discipline and the Union and should seek strategic alliances. The Union should determine the feasibility of acquiring the services of a psychologist with requisite competence to provide dedicated support for developing substantial financial support to fund capacity-building.

*Rec22. Seeking external funding for capacity building should remain a high priority. The possibilities for strategic alliances in seeking funding should be explored.*

*Rec23. The level of internal (IUPsyS) financial support for capacity building should be maintained and, if possible, increased.*

*Rec24. The possibility of the Union appointing a person to provide dedicated support for identifying opportunities and preparing bids for external funding should be considered*

## 8. Concluding Remarks

The strategic planning meeting for capacity building benefited greatly from a high level of engagement by all participants. All brought fresh thinking and an open mind to new possibilities. Those from outside the Union conveyed their impressions that the Union has a good baseline from which to further evolve. Union governance participants did not serve as apologists for the status quo. The result was a high level of energy and intellectual presence in an interactive mode that used an iterative process to ensure that all were heard and the goals for the meeting attained.

The co-chairs express their appreciation to all participants. Two are acknowledged for key supporting activities. Union Executive Officer Dr Nick Hammond's diligent note-taking and capacity to capture key elements of earlier discussion as reference points was especially useful over the course of the two-day meeting. Dr Verona Christmas-Best provided key logistical support prior to and during the meeting.

## Appendix 1: Recommendations

The recommendations in the body of the Report are listed for convenience below.

- Rec1 The high-level generic goals of the Union should be operationally articulated in the next SP and elsewhere.
- Rec2 The structure of goals for specific capacity-building activities should be clearly stated, related to one or more of the high-level goals of the Union, and characterised in terms of the terminal/instrumental and short-term/long-term dimensions
- Rec3 When planning capacity-building activities, careful consideration should be given to externalities and contextual factors, in particular factors relating to culture, multidisciplinary, and uncertainty
- Rec4 The proposed framework should be used to help generate action plans for capacity-building activities
- Rec5 The SP for 2012-2016 should provide for continued assessment of the timescale for specific priorities
- Rec6 Planning for a capacity-building activity should include needs analysis which addresses cultural or regional specificities; such analyses may identify needs in both developing and developed regions with differential emphasis on the Global South
- Rec7 The scope of capacity building should be widened to include interdisciplinary, multidisciplinary or transdisciplinary aspects including collaboration with ICSU, other Unions or similar bodies
- Rec8 Priority should be given to capacity building which supports applying or developing frameworks for education, training and practice
- Rec9 Capacity building should be targeted at individuals or organizations most likely to maximise sustainable change
- Rec10 Collaborative approaches to capacity building should be favoured over passive transmission-based approaches, and consideration should be given to models which engage more participants, including some online activities
- Rec11 As far as is feasible, capacity-building activities should be informed by evidence on need and context, and the impact should be evaluated so as to inform further work
- Rec12 A capacity-building activity should be planned to achieve maximum impact and sustainability for the minimum use of Union resource; planning should actively consider whether the Union should act alone, in partnership, as a broker, or not at all
- Rec13 Capacity building both for individual development and for organizational development should be continued, with decisions on specific activities based on priorities and targets of opportunity
- Rec14 Further consideration should be given to models for identifying target participants in CB events, including seeking and evaluating nominations from National Members
- Rec15 ARTS should be maintained with the addition of explicit pre-workshop and post-workshop activities that enhance collaboration and sustainability
- Rec16 National capacity building should be maintained, and opportunities for collaboration with other organizations and for regional brokerage should be sought
- Rec17 A strategic review of Heath Net should be carried out
- Rec18 The work of the Work Group on Education should be maintained
- Rec19 The Caucasus initiative should be maintained, and it should serve as a model for future similar initiatives
- Rec20 Further work should be carried out to determine criteria for the selection of new initiatives or ad hoc projects in the area of capacity building
- Rec21 The Union should maintain an evaluative component for Capacity Building activities, and further develop or refine approaches and tools to do so
- Rec22 Seeking external funding for capacity building should remain a high priority. The possibilities for strategic alliances in seeking funding should be explored
- Rec23 The level of internal (IUPsyS) financial support for capacity building should be maintained and, if possible, increased
- Rec24 The possibility of the Union appointing a person to provide dedicated support for identifying opportunities and preparing bids for external funding should be considered.

## Appendix 2: Framework for meeting

### **Framework / Questions For Capacity-building Strategic Planning Meeting**

#### Purpose

The Capacity-building Strategic Planning Meeting is the primary vehicle for assisting the Officers and Executive Committee (EC) to:

- (1) assess and make recommendations about the Union's current capacity-building activities;
- (2) to identify and make recommendations about the best prospective targets of opportunity whether related to historic activities or to new initiatives.

#### Participants

Co-Chairs: Laura Hernandez-Guzman (Chair, Standing Committee on Capacity-building) and Pierre L.-J. Ritchie (Secretary-General)

Approximately 12 persons are being invited to a 2.5 day meeting. From within the Union's governance, this will include the President and current capacity-building work group chairs / coordinators. From outside the governance, participants will include persons with IUPsyS National Member, NGO, and other institutional capacity-building experience.

#### Background

The International Union of Psychological Science (IUPsyS / Union) has engaged in capacity-building for much of its six decades. It is an integral part of the Union's Mission and Objectives. It assumed greater importance in the past decade particularly in the context of the Union's adoption of focal priorities as part of its quadrennial Strategic Plan (SP).

The Union's Statutes mandate that one of its three Standing Committees be for Capacity-building (the other two being Publications & Communications and Strategic Planning). Each is chaired by a member of the EC. By convention, the Past-President chairs the SC on Publications & Communications while the President chairs the SC on Strategic Planning. There is no convention or specific requirement for which EC member chairs the SC on capacity-building. At the first meeting of a new EC, the President in consultation with the Secretary-General proposes the chairs of SCs and Work Groups for ratification by the EC. Work Groups are typically chaired by members of the EC but may be chaired by others.

The Union's SP is developed by the SC on Strategic Planning. The EC reviews the proposed SP and may make revisions prior to its submission to the Assembly. The SP for the next quadrennium is adopted by the Assembly at the time of the Union's quadrennial International Congress of Psychology. The Officers are charged with the overall implementation of the SP with progress reviewed annually by the EC and at the biennial Assembly.

The 2008-12 SP identifies two areas for dedicated strategic planning activities. The first occurred in 2009 to address the Union's publications and communications programme. The second will take place in 2011 to address capacity-building.

#### Brief Overview of Capacity-building in IUPsyS

In the current SP, several activities operate under the scope of the SC on Capacity-building. They are mainly organized through Work Groups, each currently chaired by a member of the EC. The topical or thematic areas for capacity-building in the 2008-12 quadrennium are:

- (i) Advanced Research Training Seminars (ARTS) is a historic flagship activity of the Union and the longest continuously running capacity-building activity. ARTS is offered every 2 years in conjunction with the Union's International Congress of Psychology and that sponsored by the International Association of Applied Psychology (IAAP). Typically, there are three distinct workshops, each with its own faculty and participants.

In 2009, IUPsyS, IAAP and the International Association for Cross-Cultural Psychology signed a Memorandum of Agreement that provides guiding principles, an operational framework, and a financial commitment. The Union is responsible for the management of ARTS with its Executive Officer now serving as the ARTS Coordinator. Additional funding has been provided by donations from the Union's National Members and variably by external bodies as well as in-kind support from workshop faculty and their institutions.

(ii) Education of Psychologists capacity-building contributes to the development of the discipline. Its strategic priority is the development of standards. An international experts conference is being developed; it is expected that it will be convened in 2011. Work-to-date has been funded by the Union. A grant submission is being prepared for the experts conference.

(iii) Health Net is a virtual network with variable level and type of activity over its 16 year history which in part assists the Union in its work with the World Health Organization. It has been funded largely by the Union, and occasionally supplemented by some in-kind support from a Coordinator's institution.

(iv) National Capacity-building is mainly a series of workshops initiated in 2002. They are offered periodically usually in conjunction with regional or global conferences / congresses. They assist National Members and prospective National Members to develop organizational capacity (e.g., advocacy, governance, and infrastructure). The workshops have been funded largely by the Union, and occasionally supplemented by some in-kind support.

(v) *Ad Hoc* activities that are often related to targets of opportunity. A current activity is the Caucasus series developed after the recent turmoil in that region focused on increasing the means to address trauma and bereavement (by scientifically guided practice and academic training) as well as support for developing enhanced capacity of national psychological organizations. The Caucasus project has been funded mainly by a series of grants from the German Exchange Service (DAAD), supplemented by Union funds.

### Funding

As noted in the descriptions above, financial resources for capacity-building have been from the Union's own funds as well as grants provided by external bodies (e.g., ICSU, ISSC, UNESCO, Foundations) together with National Member donations for ARTS and limited in-kind support usually linked to a person.. The recent trend has been reduced funding by historic bodies such as UNESCO and the increased importance of bodies like foundations.

Since 2009, the Union has greater discretionary funds as a result of an increase in non-Dues revenue, mainly from its publications programme. In practical terms, this means greater ability to cover the costs of internal operations related to capacity-building but very limited means to actually do capacity-building activities and projects. These continue to depend largely on external funding sources.

### Questions for Capacity-building Strategic Planning

A. There are six generic, over-riding issues across all areas:

1. What criteria should determine the Union's capacity-building priorities? In particular, should the Union focus primarily on organizational development with individual capacity included only when it serves as a vehicle for broader capacity-building?
2. What is the current / prospective value of the Union's established capacity-building activities?
3. Should the Union strive for some optimal balance between historic programs and new initiatives?
4. What is the contribution of networks, including virtual networks, in capacity-building (e.g., Health Net)?
5. What should be evaluated and how should evaluations be conducted?
6. How and from what sources can the Union secure greater financial resources for capacity-building? Of necessity, will external funding always be linked to specific topics / themes?
7. What is the potential role of distance learning?

B. There are specific questions for several of the topical/ thematic areas. These are not exhaustive; they illustrate the range of issues that make the Union's capacity-building exercise such a challenge.

**ARTS:**

1. What niche does ARTS fill relative to other capacity-building activities?
2. How should ARTS be positioned on the basic to advanced continuum?
3. How can ARTS contribute to the broader development and sustainability of the discipline (i.e., the 'multiplier effect' and/or training of trainers)?
4. How should the regional venue of a given ARTS series influence the choice of the specific workshops to be offered?
5. Should ARTS participants be selected solely on the basis of individual excellence or should gender, national / regional distribution and other demographic factors also be considered?
6. Is the current three-party arrangement an advantage?
7. What are the likely best sources / targets of opportunity for funding ARTS?

**Education:**

1. How can the Union maximize development of the discipline through greater coherence of educational standards?
2. What are the likely best sources / targets of opportunity for funding education-focused capacity-building?
3. How can IUPsyS adopted standards / principles be best disseminated / propagated?
4. How can IUPsyS adopted standards / principles be best implemented?
5. How can IUPsyS adopted standards / principles be best taught?

**Health Net**

1. What is Health Net's future as an exclusively virtual network?
2. Should other avenues be explored for Health Net?
3. What are the likely best sources / targets of opportunity for funding Health Net?
4. Should Health Net be a vehicle to disseminate standards?

**National Capacity-building**

1. What foci offer the best prospect for the Union to make a real difference in the development of national organizational capacity?
2. Should National Capacity-building be offered as workshop based on a curriculum & teaching materials?
3. Who can best assist the Union in national capacity-building?
4. What are the likely best sources / targets of opportunity for funding national capacity-building?

**Ad Hoc / New Initiatives**

1. Are there capacity-building needs that are not adequately addressed by the Union's current programs?
2. What are the best targets of opportunity for new capacity-building initiatives?
3. What are the likely best sources / targets of opportunity for funding for new initiatives? From a scientific perspective? From a political perspective?

## Appendix 3 Meeting agenda

### Capacity-building Strategic Planning Meeting Würzburg, Germany

#### AGENDA

##### May 1<sup>st</sup>

19:30-21:30 Working Dinner

1. Introductions
2. Review of IUPsyS History re: Capacity-building
3. Review of Framework document
4. Objectives for this meeting

##### May 2<sup>nd</sup>

09:00-10:00 Over-riding Key Questions

1. What criteria should determine the Union's capacity-building priorities?
2. Should the Union focus primarily on organizational development with individual capacity included only when it serves as a vehicle for broader capacity-building?

10:00-14:30

What is the current / prospective value of the Union's established capacity-building activities?

1. ARTS
  - a. What niche does ARTS fill relative to other capacity-building activities?
  - b. How should ARTS be positioned on the basic to advanced continuum?
  - c. How can ARTS contribute to the broader development and sustainability of the discipline (i.e., the 'multiplier effect' and/or training of trainers)?
  - d. How should the regional venue of a given ARTS series influence the choice of the specific workshops to be offered?
  - e. Should ARTS participants be selected solely on the basis of individual excellence or should gender, national / regional distribution and other demographic factors also be considered?
  - f. Is the current three-party arrangement an advantage?
2. National and Regional Capacity-building
  - a. What foci offer the best prospect for the Union to make a real difference in the development of national organizational capacity?
  - b. Should National/Regional Capacity-building be offered as workshop based on a curriculum and teaching materials?
  - c. Who can best assist the Union in national capacity-building?
  - d. What is the best approach to regional capacity building?
3. Health Net
  - a. What is Health Net's future as an exclusively virtual network?
  - b. Should other avenues be explored for Health Net?
4. Educational Standards

- a. How can the Union maximize development of the discipline through greater coherence of educational standards?
- b. How can IUPsyS adopted standards / principles be best implemented

14:30-16:00

5. *Ad Hoc* / New Initiatives

The Caucasus project as a recent example

- a. Are there capacity-building needs that are not adequately addressed by the Union's current programs?
- b. What are the best targets of opportunity for new capacity-building initiatives?
- c. What are the likely best sources / targets of opportunity for funding for new initiatives? From a scientific perspective? From a political perspective?

16:00-16:30

Review of Day I / Setting the stage for informal dinner discussions and Day II

May 3<sup>rd</sup>

09:00-11:30      Looking to the Future

8. What would be the optimal balance between supporting organizational development and capacity building focussed on individuals?
9. What would be the optimal balance between historic programs and new initiatives?
10. What is the contribution of networks, including virtual networks, in capacity-building (e.g., Health Net)?
11. What is the potential role of distance learning?

11:30-12:30      Demonstrating Value

1. What should be evaluated?
2. How should evaluations be conducted?

13:45-15:00      Funding

1. How and from what sources can the Union secure greater financial resources for capacity-building?
2. Of necessity, will external funding always be linked to specific topics / themes?

15:00-17:00      Recommendations

1. What would be the optimal balance between supporting organizational development and capacity building focussed on individuals?
2. What is the prospective value of the Union's established capacity-building activities?
3. What would be the optimal balance between historic programs and new initiatives?
4. From what sources can the Union secure greater financial resources for capacity-building?
5. Other recommendations generated by this meeting

## Appendix 4 Participants

Participant	Role or representation	Country
Laura Hernandez-Guzman	IUPsyS (Chair of Standing Committee on Capacity Building and Co-Chair of Meeting)	Mexico
Pierre Ritchie	IUPsyS (Secretary-General and Co-Chair of Meeting)	Canada
Merry Bullock	APA and recently IUPsyS Deputy Secretary-General	US
Verona Christmas-Best	IUPsyS (Meeting organizer)	Germany
Tea Gogotishvili	National member for Georgia	Georgia
Nick Hammond	IUPsyS (Executive Officer and ARTS Co-ordinator)	UK
Sheriffa Mahama	Early career psychologists	Ghana
Pam Maras	IUPsyS (Chair of Work Group on National Capacity Building)	UK
Martin Obschonka	Early career psychologists	Germany
Janak Pandey	IUPsyS (Chair of Work Group on Education for Psychologists)	India
Michel Sabourin	IUPsyS (Treasurer)	Canada
Rainer Silbereisen	IUPsyS (President)	Germany
Carthage Smith	ICSU (Deputy Executive Director)	France
Ann Watts	IUPsyS (Deputy Secretary-General and Chair of Work Group on Health Net and Health Psychology)	South Africa