



Asia-Pacific
Economic Cooperation



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Advancing
Free Trade for Asia-Pacific
Prosperity

APEC PROJECTS

Applying for Funding

Presented by
APEC Project Management Unit
APEC Secretariat

SOM1 2018, Port Moresby

Advancing Free Trade
for Asia-Pacific Prosperity

AGENDA:

This presentation covers:

1. Introduction to APEC Projects
2. Funding Information
3. Project Approval Process
4. Concept Notes - Quality and Tips
5. Forms and Resources

INTRODUCTION:

Why does APEC have projects?



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Projects are a vital part of APEC's efforts to support sustainable economic growth and prosperity in the Asia-Pacific region.

Capacity building projects play an important role in helping translate APEC's goals into reality. By enhancing members' capacity through skills training and technological know-how, APEC-funded projects strengthen members' readiness to adopt new initiatives.

APEC GREEN ENERGY SMART FARM PROJECT



APEC is conducting the second workshop on green energy smart farm development in Jakarta, Indonesia.



TRADE AND INVESTMENT IN CLEAN ENERGY



APEC funds a project to support more dialogue in CleanEnergy, which includes a two-day event in Viet Nam.

INTRODUCTION

Project Overview



APEC project overview:

- Implemented more than 2200 projects since 1993
- Approves 80-100 projects per year
- Average value over time ~ \$130,000
- Standard projects are up to two years in length
- Two funding sessions per year
- Budget and Management Committee (BMC) sets policies and approves projects

INTRODUCTION

Types of APEC Projects



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- Workshops
- Short term trainings
- Seminars / symposiums
- Research projects
- Publications
- Websites, databases *

FUNDING INFORMATION

Sources of Project Funding



Project Overseers apply to one source of APEC funding:

- General Project Account (**GPA**)
- Trade & Investment Liberalization & Facilitation Special Account (**TILF**)
- APEC Support Fund (**ASF**)
 - General Fund + Sub-funds

TILF and ASF, including sub-funds, are based on voluntary contributions: no guarantee that funding will continue indefinitely

Check the APEC website for funding sources:

<http://www.apec.org/Projects/Funding-Sources.aspx>

Project Session 1, 2018

Available Funds



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| Project Fund | Project Session 1, 2018 |
|---|-------------------------|
| General Project Account (GPA) | \$1,170,000 |
| Trade & Investment Liberalisation and Facilitation Account (TILF) | \$788,312 |
| APEC Support Fund (ASF) General Fund | \$1,307,561 |
| ASF Sub-funds | |
| Human Security | \$129,596 |
| Health & Emergency Preparedness | \$115,675 |
| Energy Efficiency and Low Carbon Measures | \$1,384,553 |
| Supply Chain Connectivity | \$742,914 |
| Mining | TBC |
| Free Trade Area of the Asia-Pacific and Global Value Chains | \$550,509 |
| Innovative Development, Economic Reform and Growth | \$323,082 |
| Connectivity | \$199,998 |
| Micro, Small and Medium Enterprises | \$148,189 |
| Renewed APEC Agenda on Structural Reform (RAASR) | \$951,790 |
| Women and the Economy | \$350,400 |
| Total Amount Available (GPA+TILF+ASF+Sub-Funds) | \$8,162,579 |

To Note:

• Figures are **estimates** as of 2 February 2018

• **Updated estimates fluctuate based on contributions received, funds dispersed and monies returned;**

• Figures and availability for 2018 are also available on the APEC website

• All Figures are in USD

A new Sub-Fund !

- The **Women and the Economy sub-fund** will open for Project Session 1 in 2018
- Specific eligibility criteria and application processes for all sub-funds are available on the APEC Website: <http://www.apec.org/Projects/Funding-Sources.aspx>

FUNDING INFORMATION

Projects funded in 2012 - 2017



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Project Applications vs Project Approvals



~ Average of 42% of submissions approved

INTRODUCTION

Applying for APEC funds



Who can apply for APEC funds?

A project originates from a member economy and is proposed through an APEC forum. The proposing economy leads design and delivery of the project through the Project Overseer (PO).

When can an application be made?

APEC has 2 submission deadlines per year, by which a 3-page *Concept Note* must be submitted.

Check the APEC website for updates and full deadlines:

<http://www.apec.org/Projects/Applying-for-Funds.aspx>

Project Sessions for 2018



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| | Concept Note Stage | Project Proposal Stage |
|------------------------------|--|------------------------|
| APEC Funding Session 1, 2018 | 21 March (<i>internal deadline to Program Director</i>) 28 March (<i>final submission to PMU</i>) | 25 May |
| APEC Funding Session 2, 2018 | 22 June (<i>internal deadline to Program Director</i>) 29 June (<i>final submission to PMU</i>) | 28 August |

INTRODUCTION

POs, PDs, PEs, PMU



Project Overseers (POs)

- Responsible for the submission of documents and implementation of projects

Program Directors (PDs)

- Main liaison between Secretariat and POs, Committees, Fora

Program Executives (PEs)

- Provides support, particularly in relation to travel for project activities

Project Management Unit (PMU)

- Runs selection and quality assessment process
- Provides feedback and support during proposal process
- Support from across the Secretariat: PDs, PEs, Comms, Finance

APPROVAL PROCESS

Concept Notes



Approval Process: Stage 1 is the Concept Note

A Concept Note:

- Provides an overview of the project, especially relevance to APEC agenda
- Is a maximum of three pages
- Is submitted for endorsement by Fora and approval by APEC members

➤ Only approved concept notes get funding

APPROVAL PROCESS

The new model (2018) – flow diagram



After the *Internal Submission Deadline*: Fora endorse Concept Notes (CNs) from their members.



After the *Final Submission Deadline*: Endorsed CNs are sent to the APEC forum responsible for the APEC funding source, to assess against the specific eligibility requirements of the funding source, and then score eligible CNs. Each economy in the forum uses the APEC Scoring Template.



All the Scoring Templates are returned to the Secretariat by the deadline provided. The Secretariat averages the scores provided by each economy for each eligible CN. Ineligible concepts can re-apply next round.



The Secretariat recommends to BMC which CNs can be funded, based on order of scores (highest to lowest) and with consideration to the total amount that is available in the fund.



CNs that are approved 'in-principle' by BMC are developed into Project Proposals.

APPROVAL PROCESS

The new model (2018)



A new process starts in Project Session 1, 2018. Some key new things to remember:

- Review all the information on the Projects pages of www.apec.org
- Ensure you are using the current Concept Note (CN) template.
- Consider the new APEC Scoring Template when preparing your CN (see upcoming slide)
- After the Internal Submission Deadline, the proposing forum is only required to endorse CNs, they no longer score.
- After the Final Submission Deadline, endorsed CNs will be submitted to the applicable Responsible APEC Forum
- Each economy on the RAF will assess the eligibility of each CN, and will score each eligible CN. If any economy finds a CN ineligible, reasons should be given – but the CN cannot proceed further (but can reapply next Project Session).
- Understand the eligibility of the funding source in question. If you need support, please contact your Program Director, or PMU@apec.org.

APPROVAL PROCESS

The new model (2018) – Responsible APEC Fora



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| Fund | Fora | Funding Criteria |
|--|--------|--|
| General Project Account | SOM | Incoming and outgoing host priority themes |
| ASF General Fund | SOM | The Manila Framework on ECOTECH |
| TILF | CTI | The Osaka Action Agenda |
| Connectivity Sub-Fund | SCE* | Specific sub-fund eligibility |
| Energy Efficiency Sub-Fund | EWG | As above |
| FTAAP and GVCs Sub-Fund | CTI* | As above |
| Health and Emergency Preparedness Sub-Fund | SCE | As above |
| Human Security Sub-Fund | SCE | As above |
| IERG Sub-Fund | SCE* | As above |
| Mining Sub-Fund | MTF* | As above |
| MSME Sub-Fund | SMEWG* | As above |
| RAASR Sub-Fund | EC* | As above |
| Supply Chain Connectivity Sub-Fund | CTI* | As above |
| Women and the Economy Sub-Fund | PPWE | As above (new sub-fund for 2018) |
| *Already decide eligibility for these funds under 2017 process | | |

APPROVAL PROCESS

The new model (2018) – the APEC Scoring Template



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| Enter your scores in the yellow columns only | | | | | | |
|--|--|--|--|--|--|---------------------------------|
| | Criteria 1 | Criteria 2 | Criteria 3 | Criteria 4 | Criteria 5 | |
| <i>Is this concept note eligible for funding? (click on this cell for further explanation)</i> | <i>Supports the Priorities of the APEC Fund to which it is applying (click on this cell for further explanation)</i> | <i>Quality Appears Strong (click on this cell for further explanation)</i> | <i>Supports My Economy's Priorities (click on this cell for further explanation)</i> | <i>Supports Capacity Building (click on this cell for further explanation)</i> | <i>Supports Cross-Fora Collaboration and Benefits to Multiple Economies (click on this cell for further explanation)</i> | <i>Total Concept Note Score</i> |
| (Yes / No) | / 20 | / 15 | / 10 | / 10 | / 5 | Total / 60 |
| | | | | | | 0 |
| | | | | | | 0 |
| | | | | | | 0 |

APPROVAL PROCESS

The new model (2018) – the APEC Scoring Template criteria



Supports the Priorities of the APEC Fund to which it is applying

Please give a score out of **20** based on your assessment of how well the project addresses the priorities of the fund to which it is applying.

Quality Appears Strong

Please give a score out of **15** for project quality. APEC considers project quality against the following five criteria:

- *Relevance: this considers why the project is proposed;*
- *Impact: this considers what the project seeks to change;*
- *Effectiveness: this considers how a project will reach its objectives;*
- *Sustainability: this considers whether the benefits are likely to continue after the project is completed;*
- *Efficiency: this considers how a project will be implemented, particularly measuring the outputs (services, goods) against the inputs (cost of resources).*

Supports My Economy's Priorities

Please give a score out of **10** based on how well the project aligns with the APEC priorities of your economy.

Supports Capacity Building

Please give a score out of **10** based on how well the project supports APEC's Capacity Building Objectives, Goals and Operational Principles, which are listed in the APEC Project Guidebook.

Supports Cross Fora Collaboration and Benefits to Multiple Economies

Please give a score out of **5** based on whether there is broad support for the project, including cross fora collaboration. Please consider how well the project will benefit multiple members and the region as a whole.

APPROVAL PROCESS

Some Key Advice for Concept Notes



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- Meet the 2 submission deadlines – the Final Submission Deadline is *final!*
- 3-pages maximum.
- Specify the exact funding source ('ASF' alone is not a project fund description).
- Address the eligibility criteria for the funding source you apply for.
- Capacity building is central to *all* APEC projects – but you *must show* how your project will support capacity building needs for APEC developing economies for all ASF General and ASF sub-fund projects.
- Write clearly and succinctly for an audience of non-experts.
- Secure at least 2 co-sponsoring economies (some groups expect more).
- Ensure project end date is by December of the following year.
- Use most current form, found on APEC website, project link.

APPROVAL PROCESS

Self-Funded APEC Projects



- Can be put forward at any time
- Must be approved by the group
- Must comply with **APEC guidelines and practices** (hosting, publications, logo use, non-member participation)
- Project Overseer must submit **Self-Funded Project Proposal Coversheet** (Guidebook Appendix C) to the Secretariat before commencement of the project
- Project Overseer is strongly encouraged to submit **Completion Report** (Guidebook Appendix F)

CONCEPT NOTES:

Getting Started



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Appendix A

APEC Concept Note

Please submit through APEC Secretariat Program Director. Concept Notes of more than 2 pages (including title page) or incomplete submissions will not be considered.

| | |
|---|--|
| Project Title: _____ | |
| Fund Source (Select one): | |
| <input type="checkbox"/> General Project Account (GPA) <input type="checkbox"/> Trade and Investment Liberalization and Facilitation Special Account (TILFA) <input type="checkbox"/> APEC Support Fund (ASF) – General Fund <input type="checkbox"/> APEC Support Fund (ASF) – Sub-Fund. Please nominate the sub-fund here: _____ | |
| APEC forum: | _____ |
| Proposing APEC economy: | _____ |
| Co-sponsoring economies: | _____ |
| Expected start date: | _____ |
| Expected completion date: | _____ |
| Project summary: _____ Describe the project in under 150 words. Your summary should include the project topic, planned activities, timing and location: (Summary must be no longer than the box provided. Cover sheet must fit on one page) | |
| Total cost of proposal: (APEC funding + self-funding): USD _____ | Total amount being sought from APEC (USD): _____ By category: Travel: _____ Labor costs: _____ Hosting: _____ Publication & distribution: _____ Other: _____ (See Guidebook on APEC Projects, Ch. 8 to ensure all proposed costs are allowable) |

Project Overseer Information and Declaration:

Name: _____

Title: _____

Organization: _____

Postal address: _____

Tel: _____

E-mail: _____

As Project Overseer and on behalf of the above said Organization, I declare that this submission was prepared in accordance with the Guidebook on APEC Projects and any funding project will comply with said Guidebook. Failure to do so may result in the UNCC denying or withholding funding and/or project approval. I understand that any funds approved are granted on the basis of the information in this document's budget table, in the case of any inconsistencies within the document.

Name of Project Overseer / Date _____

Project Synopsis

1. **Relevance – Benefits to region:** What problem does the project seek to address? Does it have sustained benefits for more than one economy?

Relevance – Eligibility: How does the project fit the eligibility criteria and funding priorities for the nominated fund or sub-fund? (see http://www.apec.org/Projects/Funding_Sources.aspx for eligibility criteria)

Relevance – Capacity Building: How will the project build the capacity of APEC member economies? For ASF projects, please identify the APEC developing member economies that will benefit from this project. (Refer to capacity building goals, objectives and principles at Appendix K of the Guidebook.)

2. **Objectives:** Describe the 2-3 key objectives of the project. (e.g. ensure workshop participants will be able to...; to create a framework...; to develop recommendations...; to build support...; to revise strategies...; to create an action plan...to increase knowledge in; to build capacity in... etc.)

3. **Alignment – APEC:** Describe specific APEC priorities, goals, strategies and/or statements that the project supports, and explain how the project will contribute to their achievement.

Alignment – Forum: How does the project align with your forum's work plan/ strategic plan?

4. **Methodology:** How do you plan to implement the project? Briefly address the following:

- **Work plan:** Project timelines, dates of key activities and deliverable outputs.
- **Beneficiaries:** Selection criteria for participants, beneficiary profiles (e.g. participants, end users, policy makers, researchers/ analysts, gender) and how they will be engaged.
- **Evaluation:** Indicators developed to measure progress, project outcomes and impacts/ successes. Where possible provide indicators which could assess impacts on women.
- **Linkages:** Information on other APEC and non-APEC stakeholders and how they will be engaged. If and how this proposal builds on (but does not duplicate) the work of other projects. How will this activity promote *apex* for collaboration?

CONCEPT NOTE QUALITY:

Overall purpose of the CN



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Convince the reviewer that your project is:

- Relevant to APEC goals
- Benefits APEC economies/region

Describe the **problem or opportunity** addressed by this project.

CONCEPT NOTE QUALITY:

Question 1: Relevance



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How does it align with APEC's current priorities?

- Link to specific APEC priority **goals**, leaders' **statements**, ministerial statements, APEC **strategies**, APEC initiatives.
- How does the project fit the **Eligibility Criteria** and **Funding Priorities** for the specified funding account?
- What is the relevance to all APEC economies in terms of **Capacity Building**?

CONCEPT NOTE QUALITY:

Question 2: Objectives

Objectives should be SMART:

- **Specific:** Clear and unambiguous; what is expected, when, and how much?
- **Measurable:** Measurable outputs and outcomes helps you determine if your project is successful.
- **Attainable:** Realistic. Can be done within the scope and lifetime of the project.
- **Results-oriented:** Describes the creation of an output (product or service) that helps reach APEC's goals and for a priorities.
- **Timely:** Include timelines with starting points and deadlines. Demonstrate why the activities should be done now.

CONCEPT NOTE QUALITY:

Question 3: Alignment



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- Connect to previous or planned activities, in any **work plans** approved by Leaders, Ministers, and Committees
- Describe the elements of your **committee/fora's work plans** that the project aligns with

CONCEPT NOTE QUALITY:

Question 4: Methodology, 1

How will you turn your **idea** into an **actual project**?

- **Overall:** Be concise, including only essential details.
This section will be expanded at the proposal stage
Be clear, logical and concise at this stage
- **Workplan:** Give brief details on what, who, when, where, how.
Indicate outputs for each step (e.g.: contract, event agenda, participant list, workshop, report, research, etc.)

CONCEPT NOTE QUALITY:

Question 4: Methodology, 2



➤ **Beneficiaries:**

- How will it benefit **many APEC economies**?
- Focus on **direct beneficiaries** who directly use outputs

➤ **Evaluation:**

- Set SMART evaluation indicators that measure success of this project and discuss the plans for evaluation activities that will be done
- Consider if you will need baseline indicators at or before the start of the project
- Note that longer-term evaluation is important to APEC. Alert participants to expect further evaluation surveys from the Secretariat.

CONCEPT NOTE QUALITY:

Question 4: Methodology, 3



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➤ Linkages:

- Is this a follow-up phase? How does this project build on the accomplishments of the previous project?
- What else has APEC done on this issue?
- What has been done domestically on this issue?
- What else have other organisations done on this issue?
- Should you be collaborating with other fora on this project?
- Avoid duplication and leverage other work!

CONCEPT NOTE QUALITY:

Budget



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Developing a Budget

- Use the Project Proposal budget template to calculate your Concept Note figures

Be accurate

- Do research so estimates are realistic!

Once approved, the approved CN budget becomes the ceiling for the proposal budget

CONCEPT NOTE TIPS

Improving Your Submission



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Do your Research:

- Research previous / current projects:
 - Demonstrate relevance to APEC priorities
 - Linkages to other work, both inside and outside of APEC
 - Explain how your project avoids duplication

➤ An excellent source of information is the ***Project Database***:

http://member.aimp.apec.org/pdb_sites/default.aspx

FORMS & RESOURCES

Project Database



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APEC Project Database

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PDB Home

Browse Projects

All Approved Projects

Projects in Implementation

Completed Projects

Search Projects

Basic Search

Advanced Search

Welcome to the APEC Project Database (PDB)

This database provides access to detailed information on over 1600 projects involving APEC's 21 member economies.

The database includes projects from 2006 onwards. Monitoring Reports, Completion Reports and other documents may be found under the "Supporting Documents" tab.

Use Internet Explorer as your browser for best results when using this database.

BASIC SEARCH

ADVANCED SEARCH

Project Title

Project Number

Project Type Project Year

Project Status Project Session

Forum

Proposing Economy

Search

Clear

ALL PROJECTS IN IMPLEMENTATION

| Project Title | Project Number | Project Year | Forum | Proposing Economy(ies) |
|---|----------------|--------------|--|------------------------|
| Healthy Women, Healthy Economies – Expanding Opportunities for Women in Global Value Chains | HWG 03 2014S | 2014 | Health Working Group (HWG) | United States |
| HTA Workshop: Using Health Technology Assessment (HTA) for Universal Health Coverage (UHC) | HWG 01 2015S | 2015 | Health Working Group (HWG) | Korea; Philippines |
| Enhancing Health Security in APEC – Implementation of International Campaign to Control Antimicrobial Resistance in the Asia-Pacific | HWG 01 2014S | 2014 | Health Working Group (HWG) | Korea |
| Scientific Workshop on Measurement and Mitigation of Greenhouse Gases in Livestock Systems for Green Production and Environment of APEC Members | ATC 01 2013A | 2013 | Agricultural Technical Cooperation Working Group (ATCWG) | Thailand |

Available at: <https://aimp2.apec.org/sites/PDB/default.aspx>

CONCEPT NOTE TIPS

Improving Your Submission



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Overall style:

- Be clear: a clear project concept is easily understood by assessors and is more likely to be highly prioritized
- Be specific: this applies to all sections, even the title! The project title is the first thing people see.
- Use standard, non-technical language

APPROVAL PROCESS:

Improving Your Submission



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Consult widely

- **Engage your economy's representative** from the relevant forum (E.g. Health, Energy, Trade and Investment)
- Advocate your economy's Committee/Fora representative to **score the Concept Notes**

This ensures that your economy is doing all it can to support your project!

CONCEPT NOTE TIPS

Improving Your Submission



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Follow all guidelines:

- Submission deadlines (latest dates are on the website)
- Project end date (end of the following year)
- 3 page maximum
- Secure co-sponsors
- Use most current form
- Follow all guidelines in Guidebook

All forms and the latest Guidebook can be found at:

<http://www.apec.org/Projects/Forms-and-Resources.aspx>

FORMS & RESOURCES

Concept Note Template



Concept Note materials can be found at:

<http://www.apec.org/Projects/Forms-and-Resources.aspx>

Refer to the:

- Concept Note Template
- Concept Note Development Materials
- Guidebook on APEC Projects

FORMS & RESOURCES

Key Sources of Information



The Guidebook on APEC Projects

- The key source of detailed information on how to apply for project funding, and how to develop and implement quality projects.
- Available at <http://www.apec.org/Projects/Forms-and-Resources.aspx>

The APEC Project Website

- Contains regularly updated information on project issues, including available funds and projects session dates
- Visit <http://www.apec.org/Projects/Projects-Overview.aspx>

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Website



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Project Forms and Resources



Project Guidebook

- [Guidebook on APEC Projects \(11th Edition\)](#) - Feb 2016

Forms for Applicants

- [Concept Note Template](#) - BMC1 2015
- [Project Proposal Template](#) - BMC1 2015
- [APEC Self-Funded Project Proposal Coversheet](#) - BMC2 2012
- [QAF - Quality Assessment Framework](#) - BMC1 2015

Resources for Applicants

- [Funding Criteria for all APEC Funded Projects in 2016](#)
- [Project Quality Training Materials](#) - May 2016
- [Concept Note Development Materials](#) - 14 Aug 2015
- [Project Proposal Development Materials](#) - 14 Aug 2015
- [Quality Criteria for Assessing APEC Projects](#) - BMC1 2015

Available at: <http://www.apec.org/Projects/Forms-and-Resources.aspx>