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Advancing  
Free Trade for Asia-Pacific  
Prosperity

# APEC PROJECT PROPOSALS & BUDGETS

Presented by  
APEC Project Management Unit  
APEC Secretariat

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SOM1 2018, Port Moresby

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# Agenda

## **This session covers:**

- Project Proposals and Proposal Quality
- Budgets

**NOTE: Project Proposals are only developed for Concept Notes that have been approved in principle by the Budget and Management Committee.**

# APPROVAL PROCESS:

## Proposals



## Approval Stage 2: Project Proposals

- Only for 'approved' concept notes
- Expansion of concept note idea: 12 page maximum
- Provides details of the project: how it will work step by step
- Key focus: ensuring project quality

# APPROVAL PROCESS:

## How are Project Proposals Approved?

PO develops approved concept note into project proposal



Project proposal endorsed by Group and submitted to Secretariat



Secretariat assesses proposal using agreed quality criteria. If necessary, Secretariat gives PO feedback to improve proposal.



PO revises proposal, taking feedback into account, and re-submits to Secretariat for re-assessment



Secretariat recommends satisfactory proposals to BMC

# PROJECT PROPOSALS:

Getting Started



**Project Proposal materials can be found at:**

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

Refer to the:

- Project Proposal Template
- Project Proposal Development Materials
- Guidebook on APEC Projects (check for the latest version online)

# PROJECT PROPOSALS:



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## Appendix B

### APEC Project Proposal

Please submit through relevant APEC Secretariat Program Director.  
Proposals must be no longer than 11 pages, including budget and title page.

Project title and number:			
Fund Source (Select one):			
<input type="checkbox"/> General Project Account (GPA)			
<input type="checkbox"/> Trade and Investment Liberalization and Facilitation Special Account (TILF)			
<input type="checkbox"/> APEC Support Fund (ASF) – General Fund			
<input type="checkbox"/> APEC Support Fund (ASF) – Sub-Fund* Please indicate 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 160 words. Your summary should include the project topic, goals, planned activities, timing and location.			
(Summary must be no longer than the box provided. Cover sheet must fit on one page)			
Summary of Proposed Budget (USD):		APEC funding	Self-funding

#### 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 Guidelines on APEC Projects and any remaining project will comply with said Guidelines. Failure to do so may result in the BMC denying or revoking funding and/or project approval. I understand that any funds approved are granted grants (the information in the document's budget table, in the case of any inconsistencies within the document).

Name of Project Overseer / Date

### Project Details

Please answer each question succinctly. Suggested section lengths are provided as a guide.  
Proposals must be no longer than 11 pages, including budget and title page.

#### SECTION A: Project Relevance

(Answers to questions 1–3 may be taken or adapted from the Concept Note)

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 A SF 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.) (16 page)

2. **Objectives:** Describe the 2-3 key objectives of the project. (e.g. to 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; ...improve capacity in; etc.) (16 page)

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? (16 page)

#### SECTION B: Project Impact

4. **Outputs:** Describe products or services that the project will create. This may include workshop, reports, tools, research papers, recommendations, best practices, action plans etc. (16 to 16 page)

5. **Outcomes:** Describe the specific changes the outputs are expected to achieve in the medium-term. What changes in policy, processes or behaviour will the project lead to? (16 to 16 page)

6. **Beneficiaries:** Who are the direct project participants and users of the outputs? Describe their qualifications, level of expertise, roles/level of responsibility, gender, economies represented, government departments, APEC fora involvement etc. Explain how they will use and benefit from the outputs. Who else will benefit from the project and how? (16 to 16 page)

7. **Dissemination:** Describe plans to disseminate results and/or outputs of the project, including:
  - The number, form and content of any publications. (Note: APEC will not fund publications that are only presentation slides, or website maintenance. Electronic publication encouraged.)
  - The target audience.
  - Any intention to sell outputs arising from this project. (less than 16 page)

8. **Gender:** What steps will the project take to ensure the participation and engagement of both men and women in project activities? How do project objectives benefit women? (less than 16 page)

#### SECTION C: Project Effectiveness

9. **Work plan:** Provide a timeline of actions you will take to reach your objectives. For each, include:
  - How it will be implemented; how member economies, beneficiaries & others will be involved
  - Related outputs for that particular step (e.g. contract, agenda, participant list, workshop, report)
 (1-2 pages. Answers may be taken or adapted from the Concept Note)

10. **Risks:** What risks could impact project implementation and how will they be managed? (16 to 16 page, depending on project nature/complexity)

11. **Monitoring and Evaluation:** How will you know whether the project achieved its objectives?
  - What information will be collected to assess progress and impact (e.g. stakeholder feedback, website hits, participant status)? How will progress/impacts be measured?
  - How will you collect it (e.g. surveys, meetings, interviews, peer review, records review)?
  - What indicators will you use and/or measure to know if the project is on track (monitoring) and successful in meeting its objectives (evaluation)? (16 page)

12. **Linkages:** Describe the involvement of other APEC fora, and other relevant organizations. Include:
  - Engagement: How are you engaging other relevant groups within and outside APEC?
  - Previous work: How does this project build on, and avoid duplication of, previous or ongoing APEC initiatives, or those of other organizations working in this area?
  - APEC's comparative advantage: Why is APEC the best source of funds for this project? (16 to 16 page. Answers may be taken or adapted from the Concept Note)

#### SECTION D: Project Sustainability

13. **Sustainability:** Describe how the project will continue to have impact after the APEC funding is finished.
  - How will beneficiaries be supported to carry forward the results and lessons from the project?
  - After project completion, what are the possible next steps to build on its outputs and outcomes? How will you try to ensure these future actions will take place? How will next steps be tracked?
  - How will progress on the outcomes and impacts (Question 8) be measured? (less than 16 page)

14. **Project Overseers:** Who will manage the project? This includes managing of contractors and specialists. Please include brief details of the PO and any other main point(s) of contact responsible for this project. (less than 16 page)

# PROJECT PROPOSALS:

## Project Proposal Questions



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### 15 questions to answer in detail

***1. Relevance***

***2. Objectives***

***3. Alignment***

**4. Outputs**

**5. Outcomes**

**6. Beneficiaries**

**7. Dissemination**

**8. Gender**

**9. Work Plan**

**10. Risks**

**11. Monitoring and Evaluation**

**12. Linkages**

**13. Sustainability**

**14. Project Overseers**

**15. Budget**



# PROJECT PROPOSALS:

## Quality Criteria



While **Concept Notes** are assessed for relevance,  
**Project Proposals** are assessed for quality

**APEC's Quality Criteria** (see Guidebook Appendix D)

**Relevance** - Relevance, Objectives, Alignment

**Impact** - Outputs, Outcomes, Beneficiaries, Dissemination, Gender

**Effectiveness** - Work Plan, Risks, Monitoring and Evaluation, Linkages

**Sustainability** - Support for future change, Project Overseers

**Efficiency** - Cost efficiency, Budget, Description of labour, Waivers



# PROJECT PROPOSALS

## Additional Information



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### ➤ **New Relevance subsections:**

#### Eligibility:

- Describe how the project fits the eligibility criteria and funding priorities of the fund/sub-fund you are applying for.

#### Capacity Building:

- Describe how the project supports the capacity building needs of APEC developing economies.
- Guidelines on conducting Capacity Building during the different stages of project is found in Guidebook on APEC Projects, Appendix J.

# PROJECT PROPOSALS:

## Additional Information



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- **Outputs:** A clear description of how the outputs/activities (what the project does or makes) contribute to the project's objectives, usually in bullet points.
- **Outcomes:** Similarly, the proposal must describe specific changes that are expected to occur because of the project
  - Logical relationship with Outputs
  - Measurable

# PROJECT PROPOSALS:

## Additional Information



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- **Beneficiaries:** direct and long-term/indirect beneficiaries; qualifications, level of expertise, roles/level of responsibility, gender, economies represented, government departments, APEC fora involvement, etc.
- **Dissemination:** Publications, databases, websites, etc.

# PROJECT PROPOSALS:

## Additional Information



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- **Gender:** This section describes how the project will affect women.
  - It is recommended to think beyond invitation of women to an event.
  - Practical suggestions are listed in the Guide on Gender Criteria (Guidebook on APEC Projects, Appendix G) and in the APEC Project Proposal Development Materials (under Forms and Resources at [apec.org](http://apec.org))
  - Tip: to get ideas try searching the topic + 'gender' in Google to see what research has already been done


# PROJECT PROPOSALS:

## Additional Information



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- **Work Plan:** A detailed work plan lays out the specific steps that will be undertaken to achieve the outputs



Time	Tasks	Deliverable
Aug to Sep 2018	Open Tendering for Research Consultant	Consultant selected
Oct 2018 to Feb 2019	Conduct research and analysis	Research Report
March 2019	Prepare for Conference: invite participants and speakers; book venue	Participant and Speakers list venue secured
May 2019	Holding Conference on 2-3 Feb 2019	Conference held
June 2019	Conduct post conference evaluation	Evaluation survey report
July to Sep 2019	Draft and finalize report. Circulate report to Fora	Project Report
Nov 2019	Submit all outputs and Completion Report to Secretariat	All outputs and Completion Report

# PROJECT PROPOSALS:

## Additional Information



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- **Monitoring & Evaluation:** Describe your plan to measure the success of your project (survey, statistics, feedback etc.)
- **Set indicators** that measure progress against outputs. Indicators must be tailored to your specific project
  - Set indicators that are easy and affordable to attain
  - For example, in a workshop, how many participants do you expect?
  - If a baseline is needed, there try to use previously available information. Commit to collecting this information in your work plan
- Don't set overly ambitious outcomes or unclear objectives

# PROJECT PROPOSALS:

## Additional Information



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- **Risks:** What could stop you from successfully managing the implementation of your project?  
How can you manage this?
- **Sustainability:** Describe plans or strategies to support project outcomes over the intermediate or longer term, and beyond completion (e.g. follow-up plans, training curriculum, long-term evaluation, partnerships etc.)



# PROJECT PROPOSALS:

## Reporting



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### **Mandatory Reporting**

#### **On Progress:**

- Projects must be completed within two financial years
- *Monitoring Reports* are submitted annually on *1 April* to PD signed by Project Overseer/s
- Work with your PD for programming and budget changes

#### **Upon Closing:**

- A project is considered completed once all project activities and monetary disbursement have been undertaken
- A Completion Report must be submitted to the PD within 2 months after completing the project

# PROJECT PROPOSALS:

## Evaluation after Completion



### **The Longer Term Evaluation of APEC Projects**

- A results oriented evaluation that collects quantitative and qualitative data on the performance of APEC projects will be completed about one year after project completion
- POs and participants will be contacted by the Secretariat

### **Why Evaluate?**

- To improve the design of future projects
- To evaluate the successes or failures of the project
- To generate knowledge or lessons learned, and share successes

# Budgets:

## Getting Started

**Budget materials can be found at:**

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

Refer to the:

- Project Proposal Budget Template
- Guidebook on APEC Projects, Chapter 9

# BUDGETS

## Intro to developing a budget



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- Project Overseers (PO) need to give high importance to prepare the project budget at the **Concept Note** stage.

Project Title: <input type="text"/>	
<b>Fund Source (Select one):</b> <input type="checkbox"/> General Project Account (GPA) <input type="checkbox"/> Trade and Investment Liberalization and Facilitation Special Account (TILF) <input type="checkbox"/> APEC Support Fund (ASF) – General Fund <input type="checkbox"/> APEC Support Fund (ASF) – Sub-Fund. <u>Please nominate the sub-fund here:</u> .....	
APEC forum:	<input type="text"/>
Proposing APEC economy:	<input type="text"/>
Co-sponsoring economies:	<input type="text"/>
Expected start date:	<input type="text"/>
Expected completion date:	<input type="text"/>
<b>Project summary:</b> <input type="text"/>  Describe the project in under 150 words. Your summary should include the project topic, planned activities, timing and location:  <i>(Summary must be no longer than the box provided. Cover sheet must fit on one page)</i>	
<b>Total cost of proposal:</b> (APEC funding + self-funding): <b>USD</b> <input type="text"/>	<b>Total amount being sought from APEC (USD):</b> <input type="text"/> <b>By category:</b> Travel: <input type="text"/> Labor costs: <input type="text"/> Hosting: <input type="text"/> Publication & distribution: <input type="text"/> Other: <input type="text"/> <i>(See Guidebook on APEC Projects. Ch. 9 to ensure all proposed costs are allowable.)</i>

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

# Budgets: Getting Started



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## SECTION E: Project Efficiency

16. **Budget:** Complete the budget and budget notes for the project in the template below. The budget should include calculation assumptions (e.g., unit costs) and self-funding contributions. Please consult the *Guidebook on APEC Projects* for eligible expenses.

### APEC Project Itemized Budget

Please consult the eligible expenses in the *Guidebook on APEC Projects*

<i>All Figures in USD</i>	# of Units	Unit Rate	APEC Funding	Self-Funding	Notes
<b>Direct Labour</b>					
Speaker's honorarium (government officials ineligible)	(# of speakers)				
Translator's fees (strong justification is required for approval indicating that the translations are of benefit to more than one economy – please provide details/scope of work in Budget Note 1 – Direct Labour)	(# of pages)				
Short-term clerical fees (please provide details of scope of work and deliverables in Budget Note 1 – Direct Labour)	(# of hours)				
Contractor fees (contractors Secretary's fees to be included in cost and packaged together)	(# of hours)				
<b>Travel (Speaker, Experts, Researchers)</b>					
Per diem (incl. accommodation and "75% additional payment")	(# of persons and days)				(location of event)
Airfare	(# of persons and trips)				
<b>Travel for Participants (from travel-eligible economies only. Active participants only)</b>					
Per diem (incl. accommodations and "75% additional payment")	(# of persons and days)				(location of event)
Airfare (restricted economy class)	(# of persons and trips)				
<b>Other Items</b>					

<i>All Figures in USD</i>	# of Units	Unit Rate	APEC Funding	Self-Funding	Notes
Publication/distribution of report	(# of copies)				
Specialized equipment or materials (please describe)	(type, #, and # of days)				
Photocopying	(# of copies)				
Communications (telephone, fax, mail, courier)					
Hosting (provide breakdown, e.g., room rental, stationery)	(units as appropriate)				
Total:					

**Budget Note 1: Direct Labour:** Provide information for APEC-funded positions including general duties, total hours and who will be contracted, if known. (It is not acceptable to contract staff from your own organization or government employees.)

**Budget Note 2: Waivers:** Provide details of any requests for waivers from the normal APEC financial rules, with justifications in the notes column of the budget table, or below if the waiver requires a detailed explanation.

# BUDGETS

## Developing a budget



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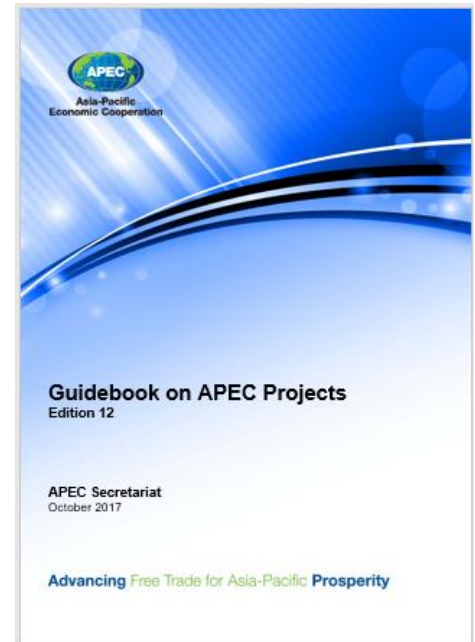
### Tips for Developing a Budget

- Use the Project Proposal budget template to calculate your Concept Note budget figures
- Check the Guidebook on APEC Projects on allowable expenses

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

### Be accurate

- Research your costs so estimates are realistic
- Match budget lines to the workplan
- Ensure calculations are clear (give units and costs)
- Use the Notes section to explain how figures are calculated



# BUDGETS

## Standard procedures



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**Costs are on a reimbursement basis (after the completion of the project), however:**

- Advance travel payments can be requested
- Contractors are contracted by APEC, paid directly, on a milestone basis



# BUDGET:

## Typical Allowable Expenses



The following are usual expenses that APEC funds:

### Labour

- Honoraria up to \$1500 per event for up to 6 experts per day
- Translation of documents into English
- Contractors: researcher, organiser, clerical
  - Tasks should be bundled and **contracted to a single contractor unless justified**
  - Contracts **\$20,001+** have tendering requirements

# BUDGET:

## Typical Allowable Expenses



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The following are usual expenses that APEC funds:

### Travel - Experts

- Maximum Per Diem allowed is 100% Current UN Per Diem Rate x No. of Official Event Days + 1 Arrival Day + One-Off 75% of the UN Per Diem Rate (E.g. 3 day event = 4.75 days, maximum)
- Maximum of 6 experts / day
- Airfare: most direct economical. Business class for 12 hours or more

# BUDGETS

## Typical Allowable Expenses



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The following are usual expenses that APEC funds:

### Travel - Participants

- Per Diem rate is normally same as Speakers/Experts rate
- Up to 2 travelers from each **travel-eligible economy only**
- Only economy class travel, most direct and economical flight
- Break down each flight by participant/sector
- Estimate costs through travel website

11 travel eligible economies: Chile, China, Indonesia, Malaysia, Mexico, PNG, Philippines, Peru, Russia, Thailand, Viet Nam

# BUDGET:

## Typical Allowable Expenses



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The following are usual expenses that APEC funds:

### Other

- Publication/distribution: electronic is recommended
- Specialised equipment
- Photocopying, communications
- Hosting: renting venue
  - No meals (exception possible if hosting package is cheaper)
  - No field trip costs without strong justification

# BUDGET:

## Non-Allowable Expenses



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### Examples of some common expenses that are not allowable:

- Travel expenses for POs
- Honoraria for government or international organisation officials
- Simultaneous interpretation, or translation of final outputs such as reports
- Promotional items and gifts (such as advertisements, briefcases, souvenirs, flowers)

### ❖ Meals, coffee and tea breaks

# BUDGET:

## Non-Allowable Expenses



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### Examples of some common expenses that are not allowable :

- Maintenance costs for websites, databases, servers, other on-line resources
- Conference registration fees
- Local transport costs, including for airport transfers, field trips, or sightseeing
- Standard office equipment, e.g. desktop/laptop computers, printers, cameras

# PROJECT PROPOSALS:

## Further Assistance



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### Further assistance on projects:

- Through the APEC Secretariat: your Program Director or the PMU.  
<http://www.apec.org/contactus/APECSecretariat.aspx>
- In the *Guidebook on APEC Projects and Proposal Development Materials*:  
<http://www.apec.org/Projects/Forms-and-Resources.aspx>
- On the *AIMP Project Database* site:  
[http://member.aimp.apec.org/pdb\\_sites/default.aspx](http://member.aimp.apec.org/pdb_sites/default.aspx)
- Through your BMC and fora delegate