



**Asia-Pacific
Economic Cooperation**

2017/SOM3/EPWG/009

Agenda Item: 17

Project Update

Purpose: Information
Submitted by: APEC Secretariat



**12th Emergency Preparedness Working Group
Meeting
Ho Chi Minh City, Viet Nam
21-22 August 2017**



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Advancing
Free Trade for Asia-Pacific
Prosperity

Project Update

SOM 3 & Related Meetings, August 2017

Project Session 1, 2017: Outcomes



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Number of Projects Requesting Funding	137
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Number of Projects Approved	46
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Overall Approval Rate (Session 1, 2017)	34%
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(Overall Approval Rate - 5 Year Average)	~ 42%
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Project Session 2, 2017: Update



- Project Session 2, 2017 commenced on 21 June
- 123 concept notes were submitted
- Project Overseers can expect to be notified about their concept notes by 19 September
- Project proposals for approved projects must be submitted to the Secretariat for quality assessment no later than 26 October

All dates with detailed explanations are available on the APEC website:

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

PROJECT OVERVIEW:

Fund Availability



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Project Fund	Project Session 2, 2017
General Project Account (GPA)	\$ 1,008,000
Trade & Investment Liberalisation and Facilitation Account (TILF)	\$ 921,000
APEC Support Fund (ASF) General Fund	\$ 1,361,000
ASF Sub-funds	
Human Security	\$ 283,000
Health & Emergency Preparedness	\$ 170,000
Energy Efficiency	\$ 1,830,000
Supply Chain Connectivity	\$ 1,538,000
Mining	\$ 197,000
Free Trade Area of the Asia-Pacific and Global Value Chains	\$ 394,000
Innovative Development, Economic Reform and Growth	\$ 364,000
Connectivity	\$ 237,000
Micro, Small and Medium Enterprises	\$ 452,000
Renewed APEC Agenda on Structural Reform (RAASR)	\$ 1,870,000
Total Amount Available (GPA+TILF+ASF+Sub-Funds)	\$ 10,625,000

To Note:

- *Figures are estimates and fluctuate based on contributions received, funds dispersed and monies returned.*
- *All Figures are in USD*

Establishment of New Sub-funds



New Sub-Funds

- The Renewed APEC Agenda on Structural Reform (RAASR) sub-fund was opened for Project Session 1, 2017
- Plans are underway to open a new sub-fund in 2018 – the Women and the Economy sub-fund.

Sub-Fund Eligibility Criteria

- Specific eligibility criteria and application processes for all sub-funds are available on the APEC Website:

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

Self-Funded APEC Projects



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- 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 on APEC Projects, Appendix C) to the Secretariat before commencement of the project
- Project Overseer is strongly encouraged to submit **Completion Report** (Guidebook on APEC Projects, Appendix G)

Monitoring and Completion Reports



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Monitoring Reports (MRs):

- Monitoring reports are currently due every 6 months on 1 February and 1 August

Completion Reports (CRs):

- Completion reports are due within 2 months of the project's completion

Failure to submit MRs or CRs:

- POs with outstanding MRs are ineligible to submit new Concept Notes or have any proposal approved until all overdue reports are submitted
- Any APEC forum whose project has not submitted a CR is ineligible to submit new Concept Notes or have any full proposal approved until all overdue reports are submitted

Report templates can be found on the APEC Website:

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

Key Advice for Project Implementation



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Be familiar with and follow APEC procurement rules:

- *Guidebook* Chapter 12 on Contracting
- Different requirements for contracts below USD 5,000; 20,000; 50,000; 50,001 and above
- For over USD 50,001 get your proposal assessment panel together early and remember **only members of your forum officials (or their nominated delegates) can be assessors!**
- Use the RFP timeline and correct templates
<http://www.apec.org/Projects/Forms-and-Resources.aspx>

Project Forms & Resources

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



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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](#) - BMC2 2015
- [Concept Note Development Materials](#) - 14 Aug 2015
- [Project Proposal Development Materials](#) - 14 Aug 2015
- [Quality Criteria for Assessing APEC Projects](#) - BMC1 2015
- [Guide on Gender Criteria](#)
- [Applying for APEC Funds Overview](#) - BMC1 2015
- [APEC Guidelines on Conducting Capacity Building](#) - BMC1 2015

Introduction: Background to changes.



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- The **APEC Capacity Building Policy** (the Policy) is endorsed by SCE in 2015.
- BMC establishes a Small Working Group (SWG) at BMC 1 2016, to explore ways to implement the APEC Capacity Building Policy, as it pertains to the governance of APEC Projects. The **SWG** asked the APEC Secretariat to:
 - Make practical updates to the Guidebook and scoring sheet to reflect the Policy
 - Look at ways of streamlining the project approval process and management procedures
- The first 'bundle' of changes were approved at BMC2 in 2016.
 - These are largely about how to incorporate the Policy Operating Principles into the Guidebook and scoring frameworks.
- The second 'bundle' of changes were approved at BMC 1 in 2017.
 - These are about the new project selection model.
- **Senior Officials endorsed all the collective changes at SOM 1, to apply for Project Session 1 2018.**

So what is changing?



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“Making practical updates to the Guidebook and scoring sheet to reflect the Policy”

- A new Appendix: APEC’s capacity building goals, objectives and operational principles.
- Updates to the Concept Note, Project Proposal and Self-Funded Project Proposal Templates.
- Guidance on the role of the private sector in sponsorship and implementation of projects.
- “*Supports Capacity Building*” will be added as a new scoring criteria

So what is changing?



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“Look at ways of streamlining the project approval process and management procedures”

- There will be one scoring stage (not two).
- There will be a single integrated scoring sheet (not two).
- Each APEC project fund and each sub-fund will be assigned to a specified committee or forum, or to Senior Officials, for scoring purposes (see next slide).
- These scores alone will determine the final selection order against each fund and sub-fund.
- The role of Principal Decision Maker (PDM) will discontinue.
- The specified committee, forum or SOM will monitor existing eligibility criteria, review/amend eligibility criteria if necessary in consultation with fund donors, and decide on concept note eligibility.

So what is changing?



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“Look at ways of streamlining the project approval process and management procedures (cont’d)”

- Concept notes will be scored against the criteria already established for each fund or sub-fund. As GPA has no pre-existing criteria, Senior Officials will approve annual criteria (priority themes of incoming and outgoing Host)
- The APEC Funding Criteria (ie, Ranks 1,2 and 3) will no longer be applied.
- Only one Monitoring Report will be required a year for projects under implementation
- Committee and forum members will no longer be required to undertake a Quality Assurance Framework (QAF) assessment for project proposals.
- If a sub-fund is unused two project sessions in a row, BMC will request an amendment to the eligibility criteria.
- Late project proposals will have a week ‘grace period’ after the advertised submission deadline, after which they will be considered withdrawn and in-principle approval revoked.
- Total funding will be allocated 60% to project session 1, and 40% to project session 2.

Funding sources and responsible fora



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Fund	Fora	Funding Criteria
General Project Account	SOM	Senior Officials will approve annual criteria (incoming/outgoing host themes)
ASF General Fund	SOM	The Manila Framework on ECOTECH
TILF	CTI	The Osaka Action Agenda
Connectivity Sub-Fund	SCE*	Existing sub-fund eligibility and terms of reference as applicable.
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
*Already decide eligibility for these funds		

New scoring framework



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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.

What is staying the same?



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- Funding will still be delivered across 2 project sessions a year.
- No limit to the number of concept notes an economy or committee/forum may submit or propose.
- Fora will still endorse the concept notes from within their groups.
- Each economy will still have an opportunity to score every eligible concept note in the scoring process.
- BMC will continue to provide the final approval, or will refer to SOM for projects over \$200,000.
- The Concept Note and Project Proposal templates will remain largely unchanged.

What next?



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- A new edition of the Guidebook on APEC Projects, and the new APEC Scoring Template, is likely released in October.
- Information guides about the new project selection model will be released on the APEC projects pages of www.apec.org after SOM3
- Project-related content on www.apec.org that needs to be amended will be done so from October, and in the lead-up to Project Session 1, 2018.
- PMU Training has been updated to address the new project selection model and management changes.

If you have questions, please contact PMU directly, or through your Program Director.

- Program Directors: <http://www.apec.org/contactus/APECSecretariat.aspx>
- PMU Program Director, Daniel Simson: ds@apec.org