

APPLYING FOR APEC FUNDS: Improving Project Quality

Presented by:
Penelope HOWARTH, Program Director
Energy, Mining, Urbanisation
APEC Secretariat



**Asia-Pacific
Economic Cooperation**

Advancing Free Trade for Asia-Pacific Prosperity

AGENDA



1. Project Overview
2. Approval Process
3. Concept Notes: Improving Your Submission
4. Proposals: Improving Project Quality
5. Resources

PROJECT OVERVIEW



- Implemented more than 2000 projects since 1993
- Approve ~ 100 projects per year
- Average value is \$120,000
- Standard projects are up to two years in length
- Two funding sessions per year in 2015
- Budget and Management Committee (BMC) sets policies and approves projects

PROJECT OVERVIEW:

Types of APEC Projects



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

PROJECT OVERVIEW



Available Resources

- Guidebook on APEC Projects, Ed. 10:
- Concept Note Development Materials
- Project Proposal Development Materials

PROJECT OVERVIEW:

Session 1, 2015: Funds Available

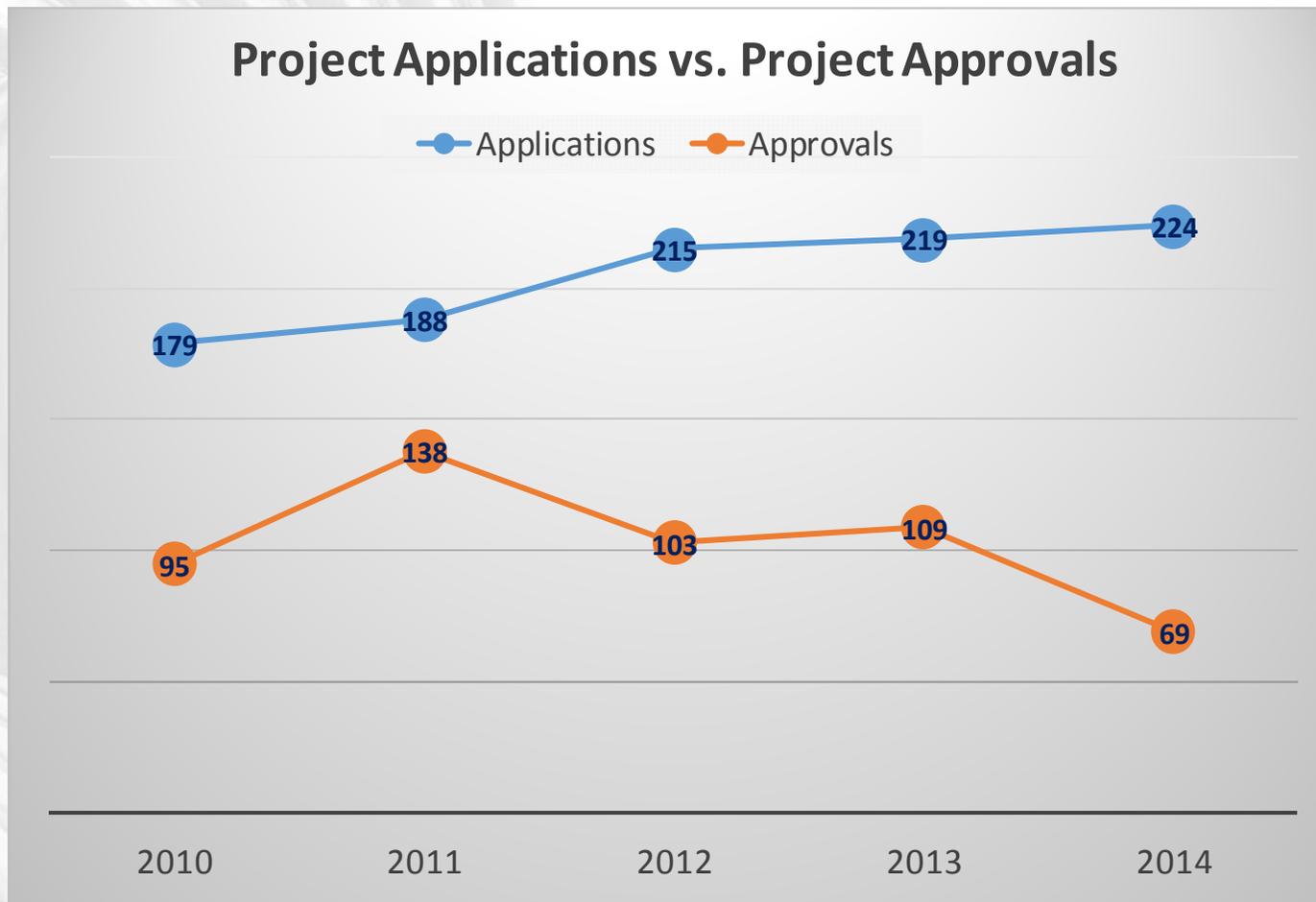


Project Fund	Session 1, 2015 (US \$)
General Project Account (GPA)	\$975,000
Trade & Investment Liberalization and Facilitation Account (TILF)	\$394,277
APEC Support Fund (ASF) General Fund	\$691,093
ASF Sub-funds	
(i) Human Security	\$138,775
(ii) Health & Emergency Preparedness	\$113,665
(iii) TFAPII	\$145,057
(iv) Technology	\$148,080
(v) Energy Efficiency	\$3,038,507
(vi) ANSSR	\$400,587
(vii) Supply Chain Connectivity	\$607,808
Total GPA+TILF+ASF	\$6,652,849

To Note:

- *Figures are estimates as of 23 January 2015*
- *Actual figures available for Session 1, 2015 may fluctuate based on contributions received, funds dispersed and monies returned;*
- *Figures and availability for 2015 are also available on the APEC website*
- *All Figures in USD*

PROJECT OVERVIEW: Supply and Demand



~ Average of 50% of submissions approved

APPROVAL PROCESS

2015 – Dates and deadlines



- ➔ **Session 1:** CNs due Feb 27 (May-June approval)
- ➔ **Session 2:** CNs due July 1 (Oct-Nov approval)

Notes:

- Deadlines expire midnight, Singapore time
- After deadline, the PO has approx. 2 weeks to ensure CN compliance and forum endorsement
- All dates and details subject to change (check website:
<http://www.apec.org/Projects/Applying-for-Funds.aspx>)

APPROVAL PROCESS

Concept Notes and Proposals



Approval Stage 1: Concept Notes

- Three pages maximum
- Provides an overview of the project, especially key ideas
- Approval by APEC members
- Only approved concept notes can get funding

Approval Stage 2: Project Proposals

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

APPROVAL PROCESS: How are projects approved?



Group endorses, scores and prioritises Concept Notes



Committees score rank and prioritise Concept Notes using the current Funding Criteria



Concept Notes approved for funding by BMC starting with highest priority and rank, until available funds are depleted



If there are insufficient project funds to cover all projects in a Rank, the Concept Notes are sent to Principle Decision Makers (PDMs)



Approved Concept Notes expanded into proposals and assessed by PMU



Proposals recommended to BMC
(projects >US\$200,000 require SOM approval)

APPROVAL PROCESS

Working Group Scoring Prioritization



Asia-Pacific
Economic Cooperation

				Enter your scores in the yellow columns only				Enter Priority	
				Criteria 1	Criteria 2	Criteria 3	Criteria 4		
				<u>Forum Alignment</u> (How well does the project align with the forum's current Annual Workplan / Medium-term Workplan / Collective Action Plan and/or the strategic direction of the forum? Does it build on existing work, without duplicating?)	<u>Project Relates to My Economy's Priorities</u>	<u>Project Relates to Host Economy's Priorities</u>	<u>Quality Appears Strong</u> (Are objectives, methodology and budget sound, reasonable and logical?)	<u>Total Concept Note Score:</u> This is the total score that the concept note receives for the four scoring criteria.	<u>Priority:</u> Considering the total score given, assign a priority to each concept note (start at 1 for the highest score). You can not give two concept notes the same priority.
Project	Sponsoring Economy	Co-sponsor Economies	Amount Requested (USD)	/ 5	/ 5	/ 5	/ 5	Total / 20	Priority
Concept Note 1				0	0	0	0	0	
Concept Note 2				0	0	0	0	0	
Concept Note 3				0	0	0	0	0	

APPROVAL PROCESS

Committee Scoring, Prioritization and Rank



Asia-Pacific
Economic Cooperation

Instructions			Enter your scores in the yellow columns only						Enter Priority	Enter Rank	
			Criteria 1	Criteria 2	Criteria 3	Criteria 4	Criteria 5	Criteria 6			
			Originating Forum Score <i>(Score given to the concept note by the originating forum. To be filled in by Secretariat.)</i>	Supports Regional Economic Integration <i>(How well does the project demonstrate a direct link to promoting regional economic integration via free and open trade and investment (ie rank 1 criteria)?)</i>	Supports Growth Strategy <i>(How well does the project directly support the APEC Leaders' Growth Strategy (ie rank 2 criteria)?)</i>	Supports My Economy's Priorities	Demonstrates Wide Benefits to, and Support from, Multiple APEC economies <i>(Will benefits be gained by multiple members? Will it benefit the region as a whole? Are there multiple co-sponsors and broad support?)</i>	Quality Appears Strong <i>(Are objectives, methodology and budget sound, reasonable and logical?)</i>	Total Concept Note Score <i>This is the total score that the concept note receives for the six scoring criteria.</i>	Priority: <i>Considering the total score given, assign a priority to each concept note (start at 1 for the highest score). You can not give two concept notes the same priority.</i>	Rank: <i>Select one Funding Criteria Rank only (1, 2 or 3) that best aligns with this project</i>
Project Title	Proposing Economy (ies)	Co-Sponsoring Economies	/ 20	/ 10	/ 5	/ 10	/ 5	/ 10	Total / 60	Priority	Rank: 1, 2 or 3
Concept Note 1			0						0		
Concept Note 2			0						0		
Concept Note 3			0						0		

APPROVAL PROCESS

Committee Scoring, Prioritization and Rank



Members assign a rank to concept notes on the basis of funding criteria identified by the host economy:

• **First projects to be considered for funding:**

Rank 1: demonstrates direct link to promoting regional economic integration via free and open trade and investment

• **Next projects to be considered for funding:**

Rank 2: directly support the Action Plan in the APEC Leaders' Growth Strategy

• **Last projects to be considered for funding:**

Rank 3: linked to other priorities identified by Leaders and Ministers but less closely linked to regional economic integration via free and open trade and investment

APPROVAL PROCESS

Funding Criteria - 2015 Rank 2



This includes projects related to:

Balanced Growth

- Macro-economic policy coordination and information sharing
- Financial markets (including financial regulatory systems and capital market development), financial inclusion and ensuring long-term fiscal sustainability

Inclusive Growth

- Women and the Economy
- Activities/issues related to addressing the social dimension of globalization, including health and gender

Sustainable Growth

- **Energy efficiency, energy security and energy resiliency including the development of low carbon technology and alternative energy sources**
- Urbanization to growth, including smart city and live-friendly cooperation
- Conservation, sustainable management, and rehabilitation of forest resources; combatting illegal logging and associated trade
- Sustainable development in mining
- Activities/issues related to safeguarding the quality of life through sustainable growth

Secure Growth

- Human security
- Health and health systems, including the implementation of the Healthy Asia-Pacific 2020
- Counter terrorism
- Anti-corruption, good governance and transparency, including anti-money laundering activities

Innovative Growth

- Innovation policy and research cooperation, including harnessing new technologies for the future, and for green jobs and industries that promote green growth
- Agricultural biotechnologies, including promotion of sustainable agricultural development
- Science and technology and ICT approaches in disaster preparedness, risk reduction, response and post-disaster recovery and cooperation in search and rescue

APPROVAL PROCESS

Key advice



- **Engage your economy's representative** covering your relevant forum (ie Energy Working Group)
- Link your project to the **Funding Criteria**
- Make sure it **benefits many APEC economies**
- Make sure your economy's Committee representatives **rank Concept Notes**
- Follow all guidelines in **Guidebook**

CONCEPT NOTES

Improving Your Submission



- Ensure the project is strategically relevant. Look at:
 - APEC **goals**, forum workplan
 - APEC's **expertise**
- Do your **Research**:
 - Research previous / current projects to demonstrate relevance to APEC priorities and linkages to other work, both inside and outside of APEC
 - Explain how your project avoids duplication and leverages other work
- Be **Clear**:
 - Be clear and specific – this applies to all sections, even the title!
 - Use standard, non-technical language where possible

CONCEPT NOTES

Improving Your Submission



Follow all guidelines:

- Submission deadlines
- Project end date (for 2015 = Dec 2016)
- 3 page maximum
- Co-sponsors
- Follow all guidelines in Guidebook

Be accurate in developing your budget

- Realistic estimates: do research
- Allowable expenses

PROPOSALS

Quality Criteria



- **Concept Notes** are assessed for relevance
- **Project Proposals** are assessed for quality
- **APEC's Quality Criteria** (see Guidebook App. E)
 - Relevance
 - Impact
 - Effectiveness
 - Sustainability
 - Efficiency

RESOURCES: Quality Criteria for Assessing APEC Projects
APEC Proposal Development Materials

PROPOSALS

Common Areas for Improvement



- Make sure it has:
 - **Outputs:** Clear description of how they contribute to the project's objectives (e.g. report, seminar, recommendations)
 - **Evaluation:** A plan to measure effectiveness (eg survey, statistics, feedback etc.)
 - **Gender:** How the project supports women's empowerment.
 - **Links:** to ASF, to previous APEC / non-APEC work
 - **Sustainability:** Strategies to support long-term outcomes (follow-up plans, training curriculum, long-term evaluation)
 - **Budget quality:** Follow APEC guidelines. Look for efficiencies. Match narrative to budget. Explain calculations

PROPOSALS

Monitoring and Evaluation



New Evaluation Framework:

- APEC Evaluation Framework approved at BMC 2 2013
- Aims to collect quantitative data on the performance of projects
- Enhanced the project process in terms of M&E

Why Evaluate?:

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

What to do?:

- Preparation for a project evaluation begins at the Concept Note stage
 - give responses that are clear and specific
- Use the Monitoring and Evaluation section to give realistic indicators

PROPOSALS

Monitoring and Evaluation



Setting Indicators:

- Indicators measure progress against outputs. Indicators must be tailored to your specific project
 - For example, in a workshop, how many participants do you expect? For an increase in trade, what volume of trade is expected? Etc.
- Set indicators that are easy and affordable to attain
- If a baseline is needed, there is a strong preference is to use previously available information. Commit to collecting this information in your Workplan

Potential difficulties:

- Overly ambitious outcomes or unclear objectives
- Lack of baseline or participant data

PROJECT RESOURCES

Forms & Resources on Website



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Project Forms and Resources

Font Size

Project Guidebook

- [Guidebook on APEC Projects \(10th Edition\) - BMC1 2015](#)

Forms for Applicants

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

Resources for Applicants

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

Forms and Resources for Projects in Implementation

- [Monitoring Report Template \(BMC1 2015\)](#)
- [Multi-year Project August Monitoring Report Template](#)
- [Completion Report Template \(BMC1 2015\)](#)
- [APEC Project Evaluation Survey Form \(approved, BMC1 2014\)](#)
- [Sample Tracer Evaluation Form](#)
- [Per Diem and Attendance Certification \(Word Format\)](#)
- [Per Diem and Attendance Certification \(Excel Format\)](#)

Projects

- Overview
- Applying for Funds
- Implement Projects
- Funding Sources
- Forms and Resources
- Projects Database
- Contracting: Tenders and RFPs

Find Out More

- [Requests for Proposals/Tenders](#)
- [Budget and Management Committee](#)
- [APEC Projects Database](#)

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

PROJECT RESOURCES

Further assistance



Further assistance on projects can be found:

- Through the APEC Secretariat: your Program Director (Penelope Howarth, ph15@apec.org) and Program Executive (Norila Mohd Ali, nma@apec.org) or the PMU:

<http://www.apec.org/ContactUs.aspx?t=Secretariat>

PMU Program Director, Andrew LLOYD: arl14@apec.org

Project Specialist, Sarah GLEAVE: sg14@apec.org

- 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

- Through your BMC or fora delegate

*Thank you
and good
luck!*