

**APEC Expert Group on  
New and Renewable Energy Technologies**

**Welcome to EGNRET 45**



**Asia-Pacific  
Economic Cooperation**

**EGNRET**

**EGNRET 45**

*Xiamen, China 16-17 November, 2015*

# Notes on APEC Project Submission Process

17 November, 2015

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APEC EGNRET Secretariat



Asia-Pacific  
Economic Cooperation

**EGNRET**

# Notes on the New EWG Project Process



- Revised EWG Project Application Process was announced by EWG Secretariat on July 8, 2015
  - Reviewed by the relevant EWG Expert Group or Task Force, then by the EWG
- The Project Session 1 of 2016 will need to be submitted 4 weeks before the second 2015 EWG meeting in Hawaii.
- The 11<sup>th</sup> edition of the Guidebook on APEC Projects: <http://www.apec.org/Projects/Projects-Overview.aspx>

# Revised EWG Project Process

## Project Development

PO drafts CN in consultation with sponsoring economy's EWG or EG/TF representative.

Sponsoring economy EWG or EG/TF representative contacts other EWG or EG/TF representatives seeking co-sponsorship.

EG/TF Representative submits project CN to EG/TF Chair and EG/TF Secretariat no later than 4 weeks before EWG meeting.

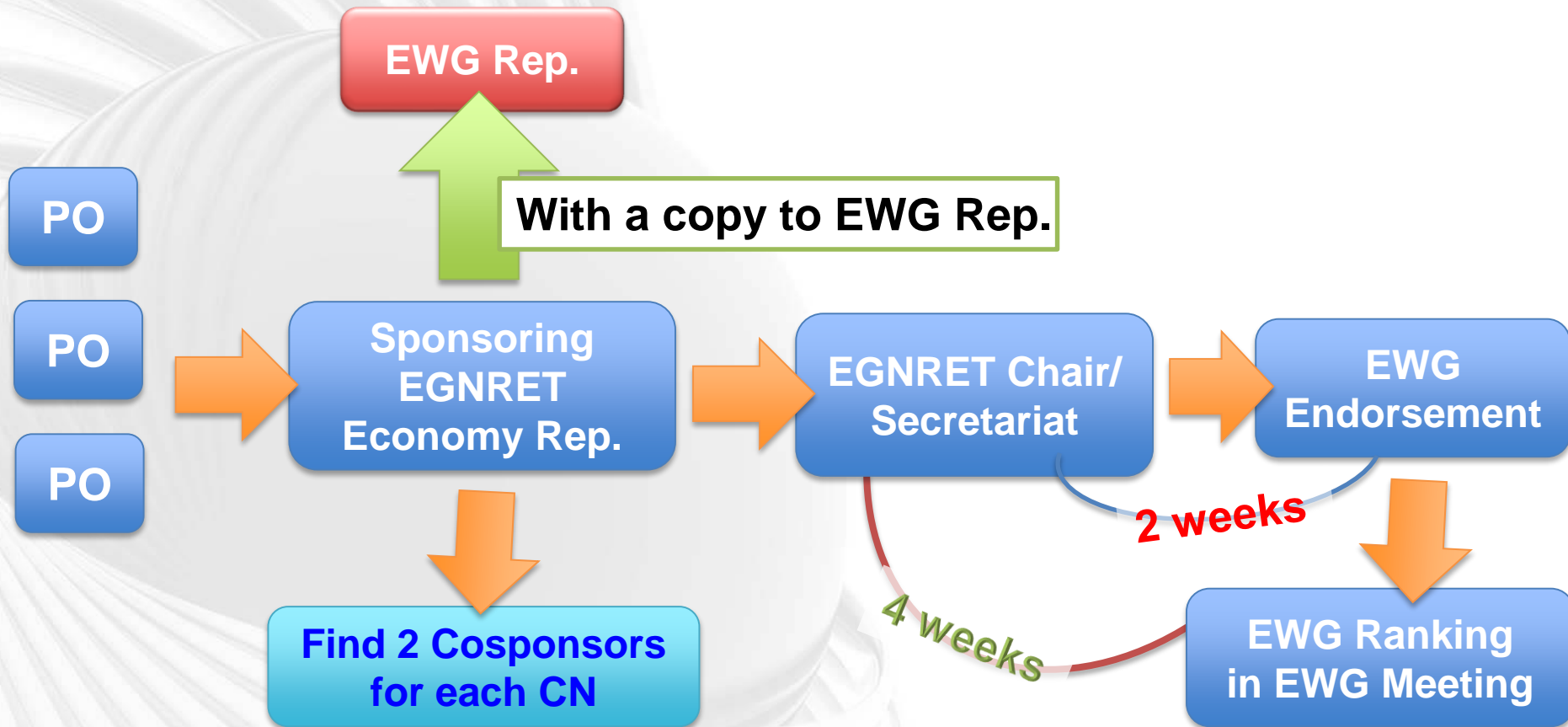
Co-sponsorship conveyed in writing through EWG rep or EG/TF rep (with copy to EWG representative).

Or sponsoring economy rep forwards CN to EWG Secretariat 4 weeks in advance with justification for not going through EG/TF.

## Project Refinement through Expert Groups/Task Force

EG/TF members review CNs and provide feedback to PO and sponsoring economy representative.

EG/TF Chair forwards approved CN to EWG Secretariat no later than 2 weeks before EWG meeting.



# Revised EWG Project Process(cont.)



## EWG Project Endorsement and Ranking

EWG Secretariat circulates all CNs to EWG members 2 weeks before EWG meeting. CNs are endorsed and scored/ranked at EWG meeting.

EWG Secretariat submits all endorsed CNs with final EWG scoring/ranking to APEC Secretariat.

If CN is not endorsed, EWG Secretariat will inform the PO and sponsoring economy EWG representative.

## Project Approval

APEC Secretariat reviews endorsed CNs for compliance.

APEC Secretariat informs EWG of CNs approved in-principle.

***In the case of EGNRET meeting being held less than 4 weeks but greater than two weeks to the EWG meeting, the EGNRET chair can ask to move this date up to two weeks before EGNRET meeting.***

# EWG Review and Endorsement



- **EWG members will review EWG CNs at relevant EWG meeting, ensuring that projects are:**
  - Aligned with the EWG Strategic Plan and
  - Support Energy Ministers' and Leaders' goals and priorities.
- **Once endorsed, EWG members will score/rank projects at the meeting.**
  - Note EWG representatives should be authorized to score/rank projects on behalf of their economy at the EWG meeting.
- **Endorsed CNs with final EWG ranking will be submitted to the APEC Secretariat.**
- *EWG Members are encouraged to share the EWG scoring/ranking with their SOM representatives.*

# New Project Approval Timeline



## Project Session 1, 2016

APEC Secretariat Deadline:  
~ February 2016

- Concept Notes to be distributed to **Expert Groups/Task Force (EGNRET) at least 4 weeks** in advance of second 2015 EWG meeting. (Nov. 17)
- Concept Notes to be distributed to **EWG 2 weeks** in advance of second 2015 EWG meeting. (Nov. 30)
- Concept Notes to be endorsed and scored/ranked by group at second 2015 EWG meeting (Dec. 16-18)

***Endorsed and scored/ranked at 2<sup>nd</sup> EWG meeting 2015***

## Project Session 2, 2016

APEC Secretariat Deadline:  
~ July 2016

- Concept Notes to be distributed to **Expert Groups/Task Force (EGNRET) at least 4 weeks** in advance of the first 2016 EWG meeting. (around April)
- Concept Notes to be distributed to **EWG 2 weeks** in advance of the first 2016 meeting.
- Concept Notes to be endorsed and scored/ranked by group at the first 2016 EWG meeting.

***Endorsed and scored/ranked at 1<sup>st</sup> EWG meeting 2016***



# CN reviewed by EGNRET



- When CN circulated in EGNRET, members should ensure that CNs:
  - are technically sound,
  - address gaps not already addressed, and
  - match goals contained in EWG Strategic Plan

# Develop a Concept Note

- Concept notes (including title page) should be **less than 3 pages**.
- CNs must have at least two co-sponsors.
  - Co-sponsorship must be conveyed in writing (to be provided with the CN submission) through:
    - the economy's EWG representative or
    - the economy's Expert Group (EG)/Task Force (TF) representative (with a copy to the EWG representative).
- All proposal will be circulated to EG/TF members for review and endorsement four weeks before EWG meeting for a two-week review, and request additional co-sponsors, if needed.

# Develop a Project Proposal



- **Each project proposal (full proposals) should be no more than 12 A4 pages, including the budget.**
  - A minimum of **two Quality assessment forms (QAFs)** are required.
  - Assessors should not be from the proposing economy. Co-sponsoring economies may undertake the QAF. Project Proponents should incorporate all QAF comments into a single consolidated document.
- **Project proposals are to be completed using the APEC Project Concept Notes template and Proposal template.**

## Main Sources of APEC Project Funding

### - **General Project Account (GPA, formerly Operational Account)**

All APEC member economies may apply for funding under GPA.

Projects may be fully funded under GPA. There are no self-funding requirements for GPA-funded projects.

### - **APEC Support Fund (ASF)**

All APEC member economies may apply for ASF funds. There are no self-funding requirements.

### - **APEC Trade Investment and Liberalization Fund (TILF)**

Developed economies must provide 50% self-funding; developing economies must provide 20% self-funding.

### - **Self Funding (Endorsed by fora)**

\* The financial year (FY) of APEC: 1 Jan to 31 Dec of each year

Source: Guidebook on APEC Projects (10 Ed.) (2013)

## The General Project Account (previously Operational Account)

- The GPA is funded from annual membership contributions. It supports initiatives under APEC's economic and technical cooperation agenda aimed at attaining sustainable growth and equitable development.
- All APEC member economies may apply for funding under GPA.
- **Projects may be fully funded under GPA. There are no self-funding requirements for GPA-funded projects.**

# APEC Project Fund Accounts



## The APEC Support Fund

- The ASF are sourced from voluntary member contributions. The ASF **supports capacity-building needs for APEC developing economies**.
- All APEC member economies may apply for ASF funds. There are no self-funding requirements for ASF funds. However, the ASF General Fund is subject to a cap of USD150,000 (not inclusive of any self-funding/co-funding portion of the project).
- For those projects requiring a lower budget, member economies are encouraged to co-fund the projects that they submit in the form of financial contributions and/or in-kind contributions on a voluntary basis.

## The APEC Support Fund

- ASF projects must clearly address **the capacity building needs of developing member economies.**
- **APEC defines capacity building as activities that enable people, businesses, and government to improve skills and knowledge to engage in trade and investment liberalization and facilitation.**
- POs have the option to identify which ASF sub-fund they believe their concept note could be eligible for.

## The Trade and Investment Liberalization and Facilitation Account (TILF)

- TILF is sourced from voluntary member contributions.
- All TILF projects must clearly contribute **to achieving trade and investment liberalization and facilitation**, as it relates to at least one of the 15 areas listed in Part 1 of the Osaka Action Agenda.
- The funding criteria for TILF require member economies to self-fund a percentage of the overall project cost



# APEC Projects



## APEC Projects 2010-2014

Total (GPA + TILF + ASF)	2010	2011	2012	2013	2014
Number of Projects Requesting Funding	177	186	215	219	224
Value of Projects Requesting Funding	17,292,248	20,645,763	25,135,842	29,139,167	26,659,596
Number of Projects Approved	95	138	103	109	69
Value of Projects Approved	8,704,269	14,473,848	11,504,811	13,229,978	9,025,294
% Approved	54%	74%	48%	50%	31%
<b>Average Project Cost:</b>	<b>91,624</b>	<b>104,883</b>	<b>111,697</b>	<b>121,376</b>	<b>130,801</b>

## Projects completed between January and June 2015

	Completed Projects	Approved Budget (USD)	Actual Expenditure (USD)	Actual / Budget
<b>GPA</b>	4	\$463,894 (\$115,974 / each)	\$308,134 (\$77,034 / each)	66%
<b>TILF</b>	3	\$382,527 (\$127,509 / each)	\$224,256 (\$74,752 / each)	59%
<b>ASF General Fund</b>	4	\$489,022 (\$122,256 / each)	\$248,067 (\$62,017 / each)	51%
<b>Total</b>	<b>11</b>	<b>\$1,335,443</b> <b>(\$121,404 / each)</b>	<b>\$780,457</b> <b>(\$70,951 / each)</b>	<b>58%</b>

Source: 2014/2015 BMC meeting

# Funding Outcomes: Project Session 1, 2015



Asia-Pacific  
Economic Cooperation

APEC Fund Source	Number of Concept Notes Submitted	Number of Concept Notes Approved	% of Concept Notes Approved	Amount approved in Session 1, (US\$)
General Project Account	31	9	29%	907,381
TILF Special Account	6	3	50%	312,429
ASF General Fund	29	5	17%	567,764
<b>SUMMARY TOTAL 'UNTIED FUNDS' (A):</b>	<b>66</b>	<b>17</b>	<b>26%</b>	<b>1,787,574</b>
ASF Sub Fund: Human Security	2	2	100%	81,432
ASF Sub Fund: Health and Emergency Preparedness	7	1	14%	90,352
ASF Sub Fund: TFAP II	1	1	100%	117,020
ASF Sub Fund: Technology	15	1	7%	108,779
ASF Sub Fund: Energy Efficiency	19	18	95%	2,574,066
ASF Sub Fund: APEC New Strategy on Structural Reform	2	2	100%	250,316
ASF Sub Fund: Supply Chain Connectivity	0	0	0%	0
<b>SUMMARY TOTAL 'TIED FUNDS' (B):</b>	<b>46</b>	<b>25</b>	<b>54%</b>	<b>3,221,965</b>
<b>GRAND TOTAL 'UNTIED AND TIED FUNDS' (A+B):</b>	<b>112</b>	<b>42</b>	<b>38%</b>	<b>5,009,539</b>

# APEC Projects



## ■ APEC Projects 2014

Completed Projects	Approved Budget (USD)	Actual Expenditure (USD)	Actual / Budget
GPA	\$1,639,272 (\$96,428 / each)	\$1,056,824 (\$62,166 / each)	64%
TILF	\$1,139,868 (\$103,624 / each)	\$591,725 (\$53,793 / each)	52%
ASF General Fund	\$2,726,477 (\$100,981 / each)	1,488,581 (\$55,133 / each)	55%
<b>Total 55</b>	<b>\$5,505,617</b> <b>(\$100,102 / each)</b>	<b>\$3,137,130</b> <b>(\$57,039 / each)</b>	<b>57%</b>

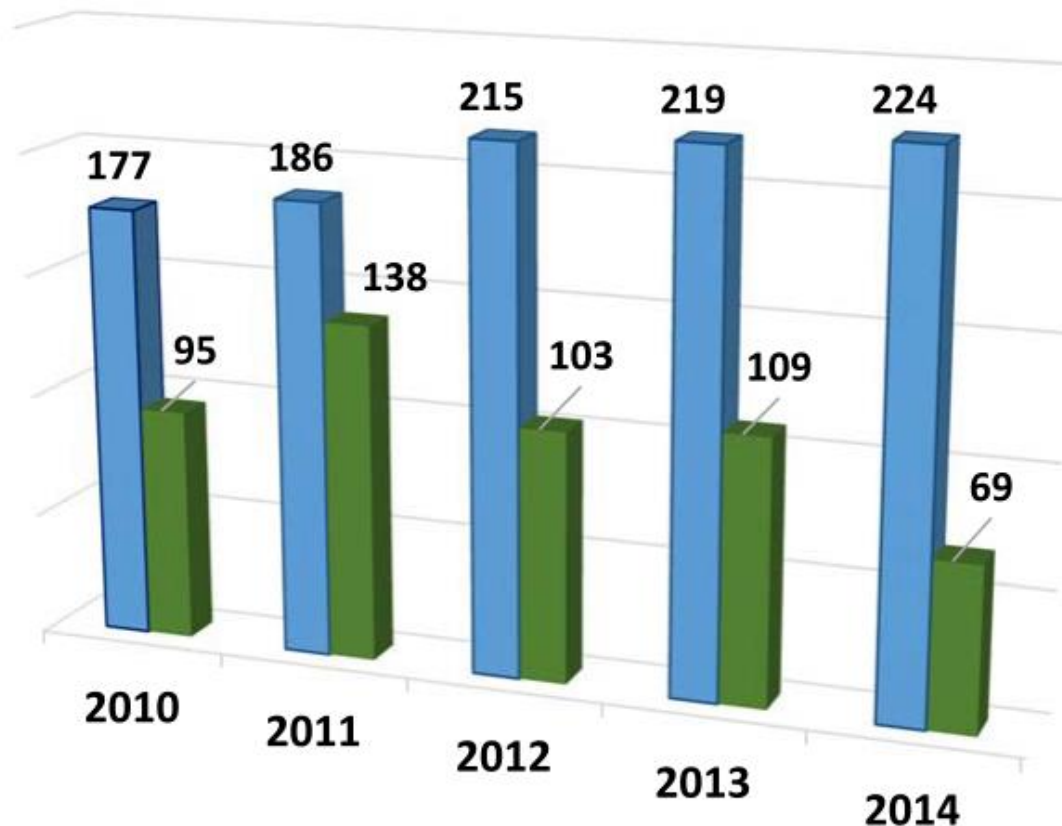
- The budget of a approved project was US\$100,100 on average, and the actual expense on average was US\$57,000 (57% expenditure).

Source: Financial Reports for APEC-Funded Projects 2015/SOM1/BMC/005 )

# Success Rate of Project Submission

## Project Application vs Number Approved

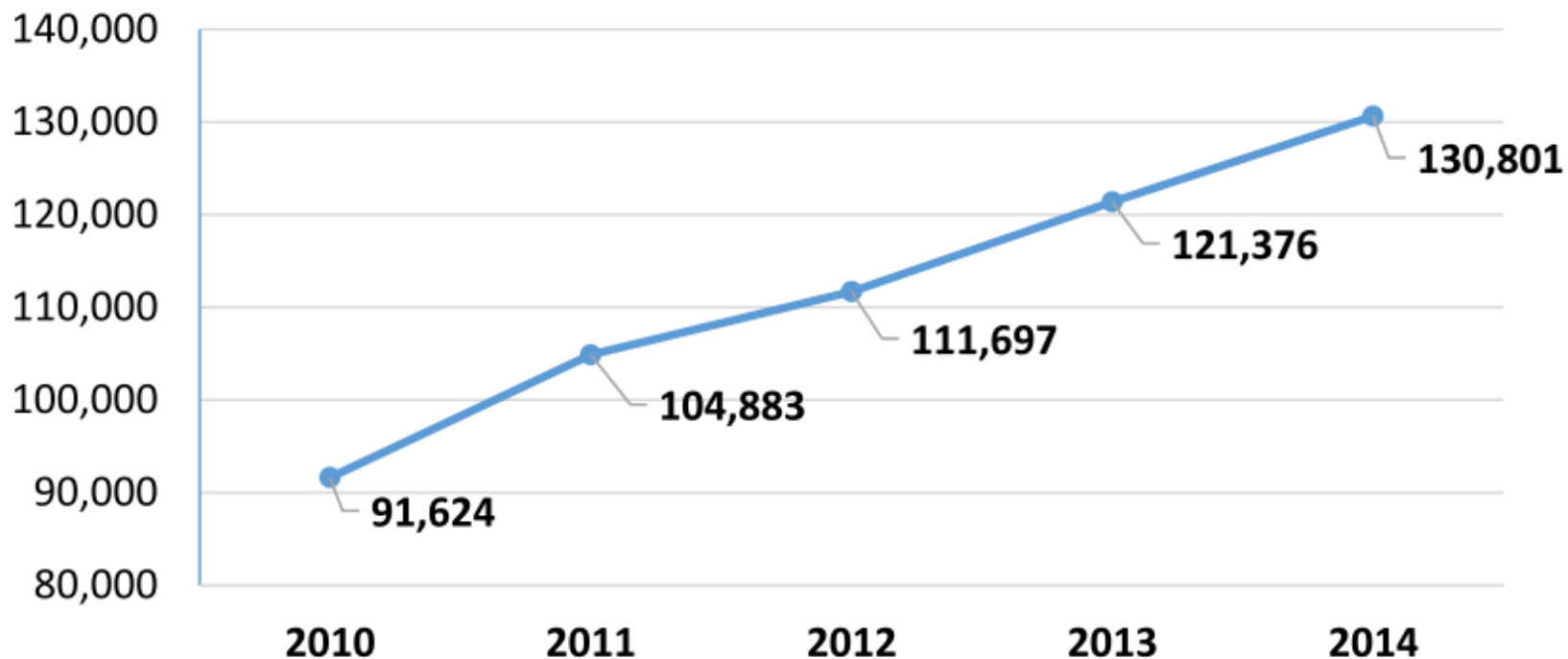
■ Number of Projects Requesting Funding    ■ Number of Projects Approved



# Average Project Value (APEC-funded portion), 2010-2014



## Average Project Value



# Success Rate of Project Submission



Source: 2nd BMC Meeting (2014)

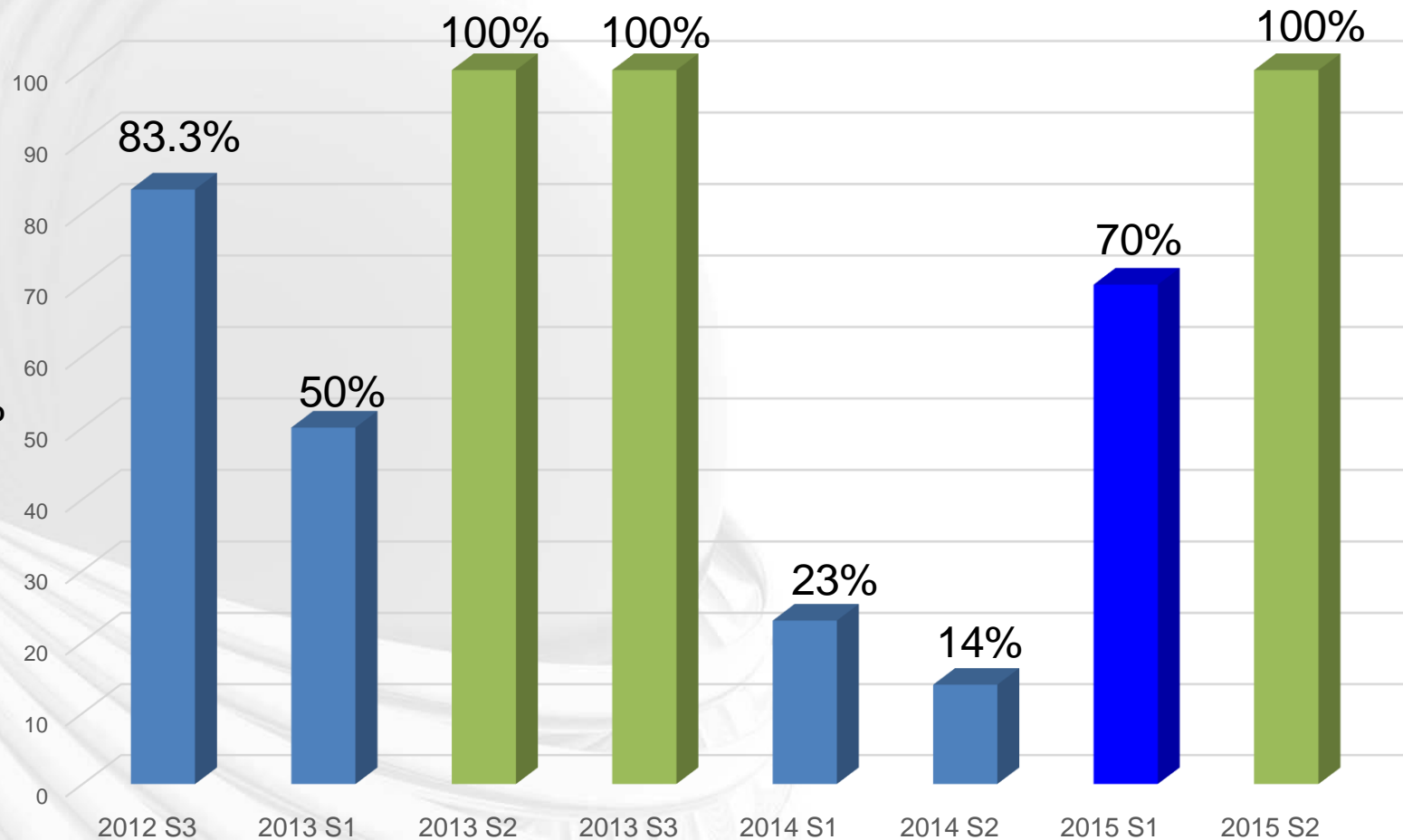
- **2014 Approved projects in each account**

APEC Fund Source	Amount Available Session 1, 2014 (US\$)	Amount Requested (US\$)	Number of Concept Notes Submitted	Number of Concept Notes Approved	% of Concept Notes Approved
Operational Account	905,466	2,845,070	26	8	31%
TILF Special Account	295,194	1,092,206	12	4	33%
ASF General Fund	372,042	4,698,490	44	2	5%

# Success Rate of Project Submission of EGNRET



## EGNRET Project Success Rate:



# EWG's Policy on Project Vetting



## [1] Procedures for Project Proposals

EWG 43 (March, 2012)

- While EWG member economies retain the right to make project proposals directly to the EWG, member economies are highly encouraged to vet project proposals with an appropriate expert group or task force.
- This will ensure expert advice and coordination with ongoing and planned work as the project proposals are elaborated.
- Project proposals should normally be submitted by a EWG delegate or designated expert group or task force member.
- In cases where the subject matter of the proposal does not clearly relate to the remit of any existing expert group or task force, or in cases where the project would be self-funded by an economy or economies and no request is being made for support from APEC funding sources, the expert vetting process may not be necessary.



# EWG's Policy on Project Vetting

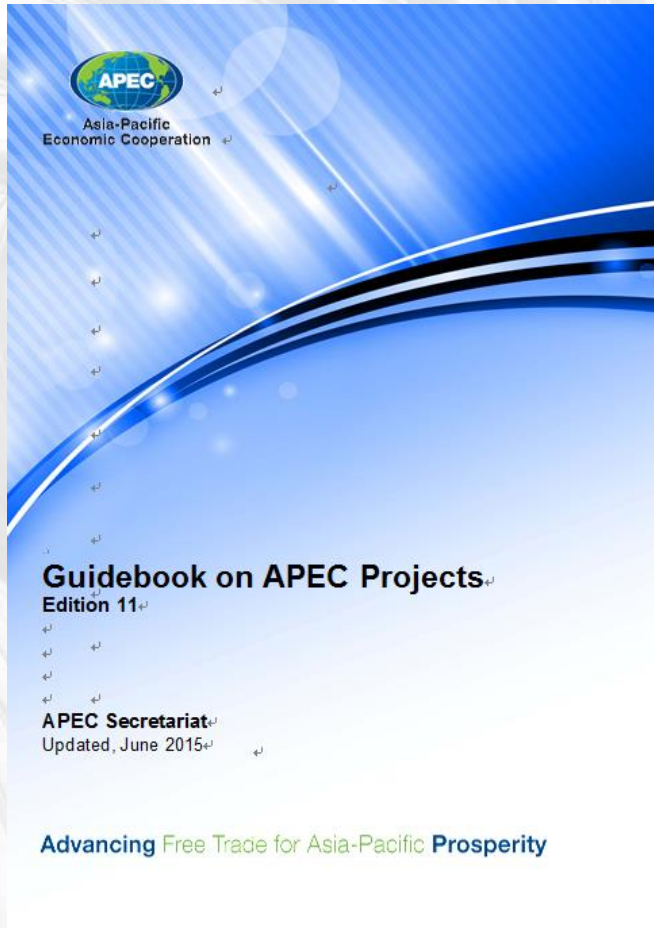


## [2] Procedures for Projects Underway

**EWG 43 (March, 2012)**

- Each APEC-funded project underway should be assigned a lead expert group or task force to follow and advise it, along with an assisting expert group or task force where appropriate, to ensure coordination with ongoing or planned activities.
- Project assignments should be suggested by expert group and task force chairs collectively, and the assignments should then be endorsed by the EWG.
- The APEC and EWG Secretariats should maintain a list of current projects with leads and co-leads for each in consultation with the expert group and task force chairs, and this list should be reported to the EWG.

# Guidebook on APEC Projects (11th Ed.)



## New Guidebook: updated in June, 2015

The new version is issued to facilitate the consultation of Project Proponents and Project Overseers and make easier the arrangements both the submission of proposals and travel undertakings

- The templates of Concept Notes and Full Project Proposals will be those containing in 11th Edition.
- For Monitoring and Completion Reports, Appendixes G & H are including the new templates to be fulfilled for that occasion.

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

# Develop a Project – Concept Note Template (Appendix B in the Guidebook)



## Appendix B

### APEC Concept Note

Please submit through APEC Secretariat Program Director. Concept Notes of more than 3 pages (including title page) or incomplete submissions will not be considered.

Project Title: _____	
Fund Source (Select one): <input type="checkbox"/> General Project Account <input type="checkbox"/> TILF Special Account <input type="checkbox"/> APEC Support Fund For ASF: As per Guidebook Ch. 3, list ASF Sub-fund if appropriate for this project.	
APEC forum: _____	
Proposing APEC economy: _____	
Co-sponsoring economies: _____	
Expected start date: _____	
Expected completion date: _____	
<b>Project summary:</b> _____ 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): USD _____	<b>Total amount being sought from APEC (USD):</b> _____ By category: Travel: _____ Labor costs: _____ Hosting: _____ Publication & distribution: _____ Other: _____ (See Guidebook on APEC Projects, Ch. 9 to ensure all proposed costs are allowable).

#### Project Overseer Information and Declaration:

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Organization: \_\_\_\_\_

Postal address: \_\_\_\_\_

Tel: \_\_\_\_\_ Email: \_\_\_\_\_

## Project Synopsis

- Relevance – Benefits to region:** What problem does the project seek to address? What is the relevance of the project? Does it have sustained benefits to more than one economy?
 

\_\_\_\_\_

\_\_\_\_\_

**Relevance – Rank:** Which Rank in the annual APEC Funding Criteria does this project fall under? Briefly explain why. Is it also linked to other Ranks? If so, briefly explain which/how...
 

\_\_\_\_\_

\_\_\_\_\_
- 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.)
 

\_\_\_\_\_

\_\_\_\_\_
- Alignment – APEC:** Describe specific APEC priorities, goals, strategies, workplans and statements that the project supports, and explain how the project will contribute to their achievement.
 

\_\_\_\_\_

\_\_\_\_\_

**Alignment – Forum:** Briefly explain how the project is aligned with your forum's workplan/strategic plan.
 

\_\_\_\_\_

\_\_\_\_\_
- Methodology:** How do you plan to implement the project? In this section, briefly address the following:
  - Workplan:** Project timelines, dates of key activities and deliverable outputs...
  - Beneficiaries:** The proposed selection criteria for participants, beneficiary profiles (e.g. workshop participants, end users, policy makers, researchers/analysts, gender) and how they will be engaged...
  - Evaluation:** Potential 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 cross fora collaboration?
 

\_\_\_\_\_

\_\_\_\_\_

# (Implementation Project Duration )



- APEC projects are implemented over two APEC financial years, starting with the year that a project is approved and ending on 31 December the following year.
- **Examples**
  - 1) Projects approved in **March 2013** must be implemented by **31 December 2014**.
  - 2) Projects approved in **November 2013** must also be completed by **31 December 2014**.

Note: The financial year of APEC runs from 1 January to 31 December of each year

# EGNRET Project Management



- When you submit full proposal to APEC Secretariat, Please also send a copy to EGNRET Secretariat.
- When you submit Monitoring Reports and Completion Report, please inform EGNRET Secretariat with a copy,
- Please send two-page project summary to EGNRET Secretariat, when the project is completed. This summary will be reported to EWG meeting..
- Please inform EGNRET Secretariat, when you upload the final report to APEC. EGNRET Secretariat will also inform all EGNRET members.
- If it would be possible, please present your project final outcome at EGNRET meeting, when project is completed.

**Thank you very much for your kind assistance indeed.**

# Thank you for your attention!



**EGNRET website: <http://www.egnret.ewg.apec.org/>**

The screenshot shows the homepage of the EGNRET website. At the top, there is a blue header with the text 'APEC Energy Working Group' and 'EXPERT GROUP ON NEW AND RENEWABLE ENERGY TECHNOLOGIES'. To the right of this header is the APEC logo and the text 'Asia-Pacific Economic Cooperation'. Below the header is a dark blue navigation bar with links for 'Home', 'Representatives', 'Projects', 'Meetings', 'Workshops', 'Reports', 'Publications', and 'Reference'. The main content area has a dark background with the word 'WELCOME' in large, outlined letters. To the right of 'WELCOME' is a welcome message: 'Welcome to the official website of the APEC Expert Group on New and Renewable Energy Technologies (EGNRET)'. Below this is a paragraph: 'The EGNRET has been established by - and reports - to the APEC Energy Working Group (EWG)'. Another paragraph follows: 'The mission of the EGNRET is to facilitate an increase in the use of new and renewable energy technologies in the APEC region'. To the right of the text is a large image of a sunset over a body of water. Below the main content area are three smaller images: a person surfing, wind turbines, and a combine harvester. Each image has a black bar at the bottom with white text: 'News', 'Meetings', and 'Contacts' respectively. At the bottom of the page, there is a copyright notice: 'Copyright APEC 2009. All Rights Reserved. For website inquiries, [contact webmaster](#). This site is hosted by the New Energy Technology Division, Green Energy & Environment Research Laboratories of [Industrial Technology Research Institute](#), with support from the [Bureau of Energy, Ministry of Economic Affairs](#), Chinese Taipei.'