APEC Expert Group on New and Renewable Energy Technologies

Welcome to EGNRET 44
Notes on APEC Project Submission Process

April 13, 2015

Vivian Hsieh

APEC EGNRET Secretariat
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.
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.

A project could be exempted from self-funding as its total project value (cumulative since the year the economy began its contribution, less self-funding portion) does not exceed the total amount contributed by 100% for non-travel eligible economies and by 250% for travel eligible economies. When in excess, the current self-funding requirement (50% for non-travel eligible economies, 20% for travel eligible economies) applies. (BMC1 Feb 2014)
Project Discussion in EWG 47 Summary

• APEC EWG projects are classified as funding criteria #2 (support the APEC Leaders’ Growth Strategy – Promotion of Renewable Energy, Energy Efficiency and Low Carbon Technology) which did not have competitive funding status in the first round of 2014.
  – The EWG should reconsider which accounts are applied for and consider projects with trade implications so they can be receive priority rank.
  – Dr. Yoshida encouraged expert carefully consider funding streams when proposing projects, and emphasized that projects with some self-funding receive higher rank
## APEC Projects 2010-2014

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

Source: 2014 BMC meeting
## APEC Projects 2014

<table>
<thead>
<tr>
<th>Compl. Projects</th>
<th>Approved Budget (USD)</th>
<th>Actual Expenditure (USD)</th>
<th>Actual / Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>GPA 17</td>
<td>$1,639,272 ($96,428 / each)</td>
<td>$1,056,824 ($62,166 / each)</td>
<td>64%</td>
</tr>
<tr>
<td>TILF 11</td>
<td>$1,139,868 ($103,624 / each)</td>
<td>$591,725 ($53,793 / each)</td>
<td>52%</td>
</tr>
<tr>
<td>ASF General Fund 27</td>
<td>$2,726,477 ($100,981 / each)</td>
<td>1,488,581 ($55,133 / each)</td>
<td>55%</td>
</tr>
<tr>
<td>Total 55</td>
<td>$5,505,617 ($100,102 / each)</td>
<td>$3,137,130 ($57,039 / each)</td>
<td>57%</td>
</tr>
</tbody>
</table>

- All the completed/expired projects in 2014 were within the respective approved budgets.
- The budget of a approved project was US$100,100 on average, and the actual expense on average was US$57,000 (57%).

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

<table>
<thead>
<tr>
<th>Year</th>
<th>Projects Requesting Funding</th>
<th>Projects Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>177</td>
<td>95</td>
</tr>
<tr>
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<td>109</td>
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<tr>
<td>2014</td>
<td>224</td>
<td>69</td>
</tr>
</tbody>
</table>
Average Project Value (APEC-funded portion), 2010-2014

Average Project Value

<table>
<thead>
<tr>
<th>Year</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>91,624</td>
</tr>
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<td>2014</td>
<td>130,801</td>
</tr>
</tbody>
</table>
## Success Rate of Project Submission

Source: 2nd BMC Meeting (2014)

### 2014 Approved projects in each account

<table>
<thead>
<tr>
<th>APEC Fund Source</th>
<th>Amount Available Session 1, 2014 (US$)</th>
<th>Amount Requested (US$)</th>
<th>Number of Concept Notes Submitted</th>
<th>Number of Concept Notes Approved</th>
<th>% of Concept Notes Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operational Account</td>
<td>905,466</td>
<td>2,845,070</td>
<td>26</td>
<td>8</td>
<td>31%</td>
</tr>
<tr>
<td>TILF Special Account</td>
<td>295,194</td>
<td>1,092,206</td>
<td>12</td>
<td>4</td>
<td>33%</td>
</tr>
<tr>
<td>ASF General Fund</td>
<td>372,042</td>
<td>4,698,490</td>
<td>44</td>
<td>2</td>
<td>5%</td>
</tr>
</tbody>
</table>
Success Rate of Project Submission of EGNRET

- EGNRET Success Rate:
  - 83.3% for S3, 2012
  - 50% for S1, 2013
  - 100% for S2, 2013
  - 100% for S3, 2013
  - 23% for S1, 2014
  - 14.3% for S2, 2014
[1] Procedures for Project Proposals

• 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.
[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.
New Guidebook: Feb., 2014

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 10th 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/Projects-Overview.aspx
Develop a Concept Note/Project Proposal

- Concept notes (including title page) should be less than 3 pages. At least two co-sponsors.

- 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.
Appendix B

APEC Concept Note

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

Project Title: ____________________________

Fund Source (Select one):
- General Project Account
- TILF Special Account
- 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: ____________________________

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: ____________________________

Project Overseas Information and Declaration:

Name: ____________________________

Title: ____________________________

Organization: ____________________________

Postal address: ____________________________

Email: ____________________________

Project Synopsis:

1. Relevance - Benefits for 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?

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, workplans and statements that the project supports, and explain how the project will contribute to their achievement.

4. 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 replicate) the work of other projects. How will this activity promote cross fora collaboration?
Concept Note Submission

- Concept Note should be passed to EGNRET Secretariat by EGNRET expert representative of each economy.
- Since 2015 Session 1, every concept note was asked for co-sponsor proof by APEC Secretariat.

From APEC Secretariat comment on Session 1 submission:
• Submission by the EGNRET Secretariat does not suffice to be regarded as EWG endorsement.
• Please provide the proponent’s communication together with the co-sponsors.
• EGNRET is not supposed to be originating forum. Put EWG only in the appropriate column.
• 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.
### Following Deadlines of Session 1 in 2015

<table>
<thead>
<tr>
<th>Event</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification Date of Session 1 Concept Notes</td>
<td>May. 12</td>
</tr>
<tr>
<td><strong>Submission of</strong> Session 1 Full proposals to APEC Secretariat</td>
<td>May. 8</td>
</tr>
<tr>
<td></td>
<td>May. 22</td>
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<tr>
<td></td>
<td>June. 8</td>
</tr>
<tr>
<td>Notification Date of Full proposals</td>
<td>May. 29</td>
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<td>Jun. 12</td>
</tr>
<tr>
<td></td>
<td>Jul. 3</td>
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**CN submission to EGNRET:** 2 weeks before APEC deadline

Note: CN for Standard Project must be endorsed by EGNRET and EWG before submitted to APEC Secretariat.
<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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</thead>
<tbody>
<tr>
<td>Submission of <strong>Session 2 Concept notes</strong> to APEC Secretariat</td>
<td>Jul. 1</td>
</tr>
<tr>
<td>Notification Date of <strong>Session 2 Concept notes</strong></td>
<td>Sep. 15</td>
</tr>
<tr>
<td>Submission of <strong>Session 2 Full Proposal</strong> to APEC Secretariat</td>
<td>Sep. 14</td>
</tr>
<tr>
<td></td>
<td>Oct. 6</td>
</tr>
<tr>
<td></td>
<td>Oct. 26</td>
</tr>
<tr>
<td>Notification Date of <strong>Session 2 Full Proposal</strong></td>
<td>Oct. 6</td>
</tr>
<tr>
<td></td>
<td>Oct. 30</td>
</tr>
<tr>
<td></td>
<td>Nov. 19</td>
</tr>
</tbody>
</table>

2 project sessions every year since 2014
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 Operational Account

• The OA is funded from annual membership contributions. It supports initiatives under APEC’s economic and technical cooperation agenda which is aimed at attaining sustainable growth and equitable development, while reducing economic disparities among APEC economies and improving economic and social well-being.

• All APEC member economies may apply for funding under OA.

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