Welcome to EGNRET 47

APEC Expert Group on New and Renewable Energy Technologies
Notes on APEC Project Submission Process

11 October, 2016

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APEC EGNRET Secretariat
Notes on the New EWG Project Process

• The 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 2017 will be submitted to the second 2016 EWG meeting in Moscow.

### Revised EWG Project Process

#### Project Development

<table>
<thead>
<tr>
<th>Event</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PO</strong> drafts CN in consultation with sponsoring economy's EWG or EG/TF representative.</td>
<td>Co-sponsorship conveyed in writing through EWG rep or EG/TF rep (with copy to EWG representative).</td>
</tr>
<tr>
<td><strong>Sponsoring economy EWG or EG/TF representative</strong> contacts other EWG or EG/TF representatives seeking co-sponsorship.</td>
<td></td>
</tr>
<tr>
<td><strong>EG/TF Representative</strong> submits project CN to <strong>EG/TF Chair and EG/TF Secretariat</strong> no later than 4 weeks before EWG meeting.</td>
<td>Or sponsoring economy rep forwards CN to EWG Secretariat 4 weeks in advance with justification for not going through EG/TF.</td>
</tr>
</tbody>
</table>

#### Project Refinement through Expert Groups/Task Force

<table>
<thead>
<tr>
<th>Event</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EG/TF members</strong> review CNs and provide feedback to <strong>PO</strong> and sponsoring economy representative.</td>
<td></td>
</tr>
<tr>
<td><strong>EG/TF Chair</strong> forwards approved CN to <strong>EWG Secretariat</strong> no later than 2 weeks before EWG meeting.</td>
<td></td>
</tr>
</tbody>
</table>
Notes on the New EWG Project Process

Find more than 2 Cosponsors for each CN

Sponsoring EGNRET Economy Rep.

EWG Rep.

With a copy to EWG Rep.

EGNRET Chair/Secretariat

EGNRET Endorsement (by email)

EWG Endorsement and Ranking in EWG Meeting

2 weeks

4 weeks
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, 2017
APEC Secretariat Deadline:

- Deadline for EGNRET CNs submission: 19 September, 2016
- CNs sent to EGNRET Members for review: 20 September, 2016
- Deadline for CNs review and endorsement by EGNRET Members: 29 September, 2016
- CNs submitted to EWG by EGRNET Secretariat: 3 October, 2016

Project Session 2, 2017
APEC Secretariat Deadline: ~ July 2017

- Concept Notes to be distributed to Expert Groups/Task Force (EGNRET) at least 4 weeks in advance of the first 2017 EWG meeting. (around April)
- Concept Notes to be distributed to EWG 2 weeks in advance of the first 2017 meeting.
- Concept Notes to be endorsed and scored/ranked by group at the first 2017 EWG meeting.
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.
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.
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.
Number of APEC Projects 2011-16

Project Applications vs Projects Funded 2011-15

- Applications
- Funded

Self-Funded Projects 2011-15

Number of APEC and Self Funded Projects 2011-15

Source: BMC 2016
BMC agreed a new scoring system that removed the requirement for Rank 1 projects to always be funded ahead of Rank 2 and 3. This has improved the chances for Rank 2/3 projects to get funding. The Rank 1 projects still have an advantage because they focus on the highest priority issues.
# APEC Projects Budget

## APEC Projects Cost 2010-2014

<table>
<thead>
<tr>
<th></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>

## Projects completed In 2015

<table>
<thead>
<tr>
<th></th>
<th>Completed Projects</th>
<th>Approved Budget (USD)</th>
<th>Actual Expenditure (USD)</th>
<th>Actual / Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>GPA</td>
<td>6</td>
<td>$824,371 (137,395 / each)</td>
<td>$339,711 (56,619 / each)</td>
<td>41%</td>
</tr>
<tr>
<td>TILF</td>
<td>3</td>
<td>$384,476 (128,159 / each)</td>
<td>$312,331 (104,110 / each)</td>
<td>81%</td>
</tr>
<tr>
<td>ASF General Fund</td>
<td>4</td>
<td>$490,503 (122,626 / each)</td>
<td>$352,893 (88,223 / each)</td>
<td>72%</td>
</tr>
<tr>
<td>Total</td>
<td>13</td>
<td>$1,699,350 (130,719 / each)</td>
<td>$1,004,935 (77,303 / each)</td>
<td>59%</td>
</tr>
</tbody>
</table>

## Projects value From 2011-2015

![Average Project Value 2011-15](chart.png)

Source: 2014-16 BMC meeting
## Funding Outcomes: Project Session 1, 2015

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

Project Application vs Number Approved

- Number of Projects Requesting Funding
- Number of Projects Approved

Year | Number of Projects Requesting Funding | Number of Projects Approved
--- | --- | ---
2010 | 177 | 95
2011 | 186 | 138
2012 | 215 | 103
2013 | 219 | 109
2014 | 224 | 69

Jakarta, Indonesia, 10-13 October, 2016
Success Rate of Project Submission of EGNRET

EGNRET Project Success Rate:

<table>
<thead>
<tr>
<th>Year</th>
<th>S1</th>
<th>S2</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>83.30</td>
<td>50.00</td>
</tr>
<tr>
<td>2013</td>
<td>100.00</td>
<td>100.00</td>
</tr>
<tr>
<td>2014</td>
<td>23.00</td>
<td>14.00</td>
</tr>
<tr>
<td>2015</td>
<td>70.00</td>
<td>100.00</td>
</tr>
<tr>
<td>2016</td>
<td>37.50</td>
<td>100.00</td>
</tr>
</tbody>
</table>
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.

Project Synopsis:

1. **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?
   
   
2. **Objectives**: Describe the 2-3 key objectives of the project. For example, 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, work plans 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, and 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 for collaboration?
   
   

Project Overseer Information and Declaration:

*Name:* [Name]

*Title:* [Title]

*Organization:* [Organization]

*Postal address:* [Postal address]

*E-mail:* [E-mail]
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/
[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

- 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.