APPLYING FOR APEC FUNDS: Improving Project Quality

Presented by:
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Energy, Mining, Urbanisation
APEC Secretariat
AGENDA

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

• Guidebook on APEC Projects, Ed. 10:
• Concept Note Development Materials
• Project Proposal Development Materials
### PROJECT OVERVIEW:
Session 1, 2015: Funds Available

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

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

Project Applications vs. Project Approvals

~ Average of 50% of submissions approved
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

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
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

Enter your scores in the yellow columns only,

<table>
<thead>
<tr>
<th>Criteria 1</th>
<th>Criteria 2</th>
<th>Criteria 3</th>
<th>Criteria 4</th>
<th>Total Concept Note Score</th>
<th>Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Forum Alignment</strong> (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?)</td>
<td><strong>Project Relates to My Economy’s Priorities</strong></td>
<td><strong>Project Relates to Host Economy’s Priorities</strong></td>
<td><strong>Quality Appears Strong</strong> (Are objectives, methodology and budget sound, reasonable and logical?)</td>
<td>This is the total score that the concept note receives for the four scoring criteria.</td>
<td>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.</td>
</tr>
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<table>
<thead>
<tr>
<th>Project</th>
<th>Sponsoring Economy</th>
<th>Co-sponsor Economies</th>
<th>Amount Requested (USD)</th>
<th>/ 5</th>
<th>/ 5</th>
<th>/ 5</th>
<th>/ 5</th>
<th>Total / 20</th>
<th>Priority</th>
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<tbody>
<tr>
<td>Concept Note 1</td>
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<td>Concept Note 2</td>
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<td>Concept Note 3</td>
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## APPROVAL PROCESS
### Committee Scoring, Prioritization and Rank

**Instructions**

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<tr>
<th>Criteria 1</th>
<th>Criteria 2</th>
<th>Criteria 3</th>
<th>Criteria 4</th>
<th>Criteria 5</th>
<th>Total Concept Note Score</th>
<th>Priorities: Select one of Funding Criteria Rank only (1, 2 or 3) that best aligns with this project</th>
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<tbody>
<tr>
<td>Originating Forum Score</td>
<td>Supports Regional Economic Integration</td>
<td>Supports Growth Strategy</td>
<td>Supports My Economy’s Priorities</td>
<td>Demonstrates Wide Benefit to, and Support from, Multiple APEC Economies</td>
<td>Quality Appears Strong</td>
<td>Priority: Consider the total score given, assign a priority to each concept note (start at 1 for the highest score). You cannot give two concept notes the same priority. Rank: 1, 2 or 3</td>
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<tr>
<td>Enter your scores in the yellow columns only</td>
<td>(Score given to the concept note by the originating forum. To be filled in by Secretariat.)</td>
<td>(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)?)</td>
<td>(How well does the project directly support the APEC Leaders’ Growth Strategy (ie rank 2 criteria)?)</td>
<td>(Are objectives, methodology and budget sound, reasonable and logical?)</td>
<td>(This is the total score that the concept note receives for the six scoring criteria)</td>
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**Project Title** | **Proposing Economy (ies)** | **Co-Sponsoring Economies** | **/20** | **/10** | **/5** | **/10** | **/5** | **/10** | **Total / 60** | **Priority** | **Rank: 1, 2 or 3** |
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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
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
• 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
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
• 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 (e.g. 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
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
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

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