Overview of APEC New Project Proposal Process

March 1, 2011  14:00-14:30

• Rating Results of EGNRET New Proposal Submitted to EWG40
• New APEC Project Submission Process

Tom, H. T. Lee, Dr Eng
PART I.
Rating Results of EGNRET New Proposal Submitted to EWG40

Tom, H. T. Lee, Dr Eng
EGNRET New Project Proposals 2011
Endorsed at EGNRET 35

- Project Concept Notes Submitted to EWG


2. Addressing Challenges of AMI Deployment in Order to Enable Smart Grid Applications (Chinese Taipei lead).

3. 2011 APEC Conference on PV Policy and System Development (Chinese Taipei lead, Self funded).
4. **APEC SME Renewable Energy Infrastructure Blueprint: Report on Economic Benefits (USA lead $120,000 total/$80,000 APEC).** This project was submitted jointly with the APEC Small and Medium Enterprises (SME) Working Group.

5. **Best Practices in Energy Efficiency and Renewable Energy Technologies in the Industrial Sector in APEC Region (Thailand lead, $75,000 total/$50,000 APEC).** This project was submitted jointly with the APEC Expert Group on Energy Efficiency and Conservation (EGEEC).

6. **APEC 21st Century Renewable Energy Development Initiative (Collaborative IX): Potential for Biomass-to-Liquids (BTL) Production and Trading throughout the APEC Region (New Zealand lead).** This project will be submitted jointly with the Biofuel Task Force.

7. **APEC 21st Century Renewable Energy Development Initiative (Collaborative VI): Workshop on the Status and Opportunities for Marine Energy Development in APEC Economies (New Zealand lead).**

8. **APEC 21st Century Renewable Energy Development Initiative (Collaborative VI): Electricity Trading and Market Solutions to grid integration of Renewable Energy in APEC (New Zealand lead).**


10. **APEC 21st Century Renewable Energy Development Initiative (Collaborative IX): Natural Gas Vehicle Safety in APEC economies (New Zealand lead).** This project proposal will consult with Transportation Working Group before submission.
## Proposal Ranking at EWG 40

<table>
<thead>
<tr>
<th>Project Name</th>
<th>Proponent</th>
<th>Score (lower is better)</th>
</tr>
</thead>
<tbody>
<tr>
<td>APEC Peer Review on Energy Efficiency (PREE) Phase 3</td>
<td>Japan, Vietnam, Thai</td>
<td>72</td>
</tr>
<tr>
<td>Peer Review on Low Carbon Energy Policies</td>
<td>Japan, Thailand</td>
<td>77</td>
</tr>
<tr>
<td>APEC Cooperative Energy Efficiency Design for Sustainability (CEEDS) Phase 3</td>
<td>Japan</td>
<td>78</td>
</tr>
<tr>
<td>Operation of APEC Energy Database and Analysis</td>
<td>Japan</td>
<td>91</td>
</tr>
<tr>
<td>APEC Low Carbon Model Town Phase 2</td>
<td>Japan</td>
<td>93</td>
</tr>
<tr>
<td>The Status, Potential, Barriers, and Opportunities of Electric Vehicles in APEC</td>
<td>New Zealand</td>
<td>107</td>
</tr>
<tr>
<td>Addressing Challenges of AMI Deployment in APEC</td>
<td>Chinese Taipei</td>
<td>126</td>
</tr>
<tr>
<td>Potential for Biomass to Liquid (BTL) Production &amp; Trading throughout APEC Region</td>
<td>New Zealand</td>
<td>137</td>
</tr>
<tr>
<td>Workshop on Opportunities for Marine Energy Development in APEC</td>
<td>New Zealand</td>
<td>145</td>
</tr>
<tr>
<td>Renewable Energy Sources in Electricity Markets: Goals and Conditions for Providing Sustainable Development</td>
<td>Russian Federation</td>
<td>150</td>
</tr>
<tr>
<td>Increasing Foreign Direct Investment through Human Capital Development in the area of Green Township / Eco City that would Lead to Sustainable Development within APEC Economies</td>
<td>Malaysia</td>
<td>151</td>
</tr>
<tr>
<td>Development and implementation of High Efficient Probabilistic Management Technologies for Reliability and Operational Safety of Energy Generating Facilities</td>
<td>Russian Federation</td>
<td>178</td>
</tr>
</tbody>
</table>
PART II.

New APEC Project Submission Process

Tom, H. T. Lee, Dr Eng
Main Sources of APEC Project Funding

- **APEC Operational Account (OA)**
  The most general fund used to address APEC priorities

- **APEC Support Fund (ASF)**
  Directed at capacity building in development APEC economies

- **APEC Trade Investment and Liberalization Fund (TILF)**
  Donated by Japan, and directed at projects directly related to trade, such as equipment standards

(= Self Funding)

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

Source: Guidebook on APEC Projects (7 Ed.) (2010)
APEC Project Funding

APEC fund for 2010: US$ 12,579,000

OA: 15%   ASF: 60%   TILF: 25%

Success Rate

Session 1 of 2010
43 projects submitted
23 approved for funding

Session 2 of 2010
76 projects submitted
42 approved for funding

Source: Khemmarat, APEC Project Management (2010)
## Funding Criteria for all APEC-funded Projects in 2011

<table>
<thead>
<tr>
<th>Rank</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Rank 1</strong></td>
<td>Projects that specifically and significantly contribute to promoting regional economic integration via free and open trade and investment</td>
</tr>
<tr>
<td><strong>Rank 2</strong></td>
<td>Projects that directly support the Action Plan in the APEC Leaders' Growth Strategy</td>
</tr>
<tr>
<td><strong>Rank 3</strong></td>
<td>Projects that are linked to other priorities identified by Leaders and Ministers but are less closely linked to regional economic integration via free and open trade and investment</td>
</tr>
</tbody>
</table>
Project Deadlines for 2011

Session 1/2011
- Submissions close 7 February
- BMC in principle notification by 2 March
- Final approvals likely done by end of April

Session 2/2011
- Submissions close 7 April
- BMC in principle notifications by 29 April
- Final approvals likely done by end June

Session 3/2011
- Submissions close 29 September
- BMC in principle notifications by 21 Oct
- Final approvals likely done by mid December

Source: Luis Enrique Vertiz, Report to EWG 40 (2010)
Applying for Funding

Stage 1: Concept Note Preparation and Submission
Stage 2: Priority Assessment of Concept Notes
Stage 3: Full Project Development & Quality Assessment

Project Implementation

Stage 4: Implementation
Stage 5: Project Completion

Source: Guidebook on APEC Projects (7 Ed.) (2010)
### Stage 1: Concept Note Preparation and Submission

| STEP 1 | Project Proponent (PP) reviews guidebook and prepares concept note using NEW template. |
| STEP 2 | PP submits concept note to forum for comment, endorsement, and at least two cosponsors. |
| STEP 3 | Originating forum prioritizes endorsed concept notes. |
| STEP 4 | PP uploads concept note to the APEC project database by the submission deadline. |

Source: Guidebook on APEC Projects (7 Ed.) (2010)
Develop a Concept Note

Concept notes (including title page) should be less than 3 pages.

Project Synopsis

Relevance: Why should APEC undertake this project? What problem or opportunity will the project address and why is it important?

Objectives: Describe the 2-3 key objectives of the project.

Alignment: Describe how the project will help achieve APEC’s key priorities and meet your forum’s work-plan or medium-term plan.

Methodology: How do you plan to implement the project?

Timeline: Project timelines and dates for key activities and deliverables

Stakeholders: Beneficiaries and stakeholders (APEC & non-APEC) and how they will be engaged

Previous projects/activities: If and how this proposal builds on the findings or lessons learned from previous projects/activities, while avoiding duplication

Communication: How you plan to communicate the results or benefits of this project to others

Source: Guidebook on APEC Projects (7 Ed.) (2010)
## Stage 2:
### Priority Assessment of Concept Notes

<table>
<thead>
<tr>
<th>STAGE 2</th>
<th>STEP 5</th>
<th>Committees and SFOM (Senior Finance Officials Meeting) prioritizes concept notes, and sorts them by rank according to the APEC-wide funding criteria.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>STEP 6</td>
<td>Secretariat combines the rankings of committees and SFOM to determine the availability of funding for concept notes.</td>
</tr>
<tr>
<td></td>
<td>STEP 6a</td>
<td>Depending on the availability of funds, PDMs (Principal Decision Makers) create an APEC-wide prioritization list respecting the priority of committees and SFOM.</td>
</tr>
<tr>
<td></td>
<td>STEP 7</td>
<td>Secretariat recommends to BMC (Budget &amp; Management Committee) in-principle approval of highest-priority concept notes that fit within the funding cap.</td>
</tr>
<tr>
<td></td>
<td>STEP 8</td>
<td>BMC considers concept notes and givers in-principle approval or rejects concept notes.</td>
</tr>
<tr>
<td></td>
<td>STEP 9</td>
<td>Proponents are notified of preapproval or rejection of concept notes.</td>
</tr>
</tbody>
</table>

Source: Guidebook on APEC Projects (7 Ed.) (2010)
### Stage 3: Full Project Development & Quality Assessment

<table>
<thead>
<tr>
<th>STEP</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>STEP 10</td>
<td>Project overseers with in principle approval develop proposals using Project Proposal template, with assistance from forum and the Secretariat.</td>
</tr>
<tr>
<td>STEP 11</td>
<td>Forum endorses full proposal and carries out quality assessment using Quality Assessment Framework (QAF) template.</td>
</tr>
<tr>
<td>STEP 12</td>
<td>Secretariat carries out quality assessment of proposal using quality criteria (REEIS).*</td>
</tr>
<tr>
<td>STEP 13</td>
<td>Secretariat recommends satisfactory-quality proposals to BMC for final approval. BMC approves or rejects.</td>
</tr>
</tbody>
</table>

* Five criteria (REEIS): Relevance, Effectiveness, Efficiency, Impact, and Sustainability.

Source: Guidebook on APEC Projects (7 Ed.) (2010)
Develop a Full Project Proposal

Project proposals are to be completed using the APEC Project Proposal template.

Each project proposal should be no more than 12 A4 pages, including the budget.

APEC Project Quality Criteria (REEIS)

<table>
<thead>
<tr>
<th>Quality Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relevance</td>
<td>The link to APEC’s goals, as well as those of the fora and the relevant funding account</td>
</tr>
<tr>
<td>Effectiveness</td>
<td>The likelihood of a project’s meeting its stated objectives</td>
</tr>
<tr>
<td>Efficiency</td>
<td>Cost-effectiveness: the value of the outputs (services, goods) in relation to the inputs (cost of resources)</td>
</tr>
<tr>
<td>Impact</td>
<td>Who the beneficiaries are and how they will benefit</td>
</tr>
<tr>
<td>Sustainability</td>
<td>The extent to which benefits of a project are likely to continue to be evident after the project has finished.</td>
</tr>
</tbody>
</table>

Source: Guidebook on APEC Projects (7 Ed.) (2010)
Stage 4: Implementation
Stage 5: Project Completion

**STAGE 4**

**STEP 14**
Approved projects are implemented in line with the Guidebook on APEC Projects.

**STEP 15**
PO (Project Oversee) resubmits monitoring reports at six-month intervals using Project Monitoring Report template.

**STAGE 5**

**STEP 16**
PO submits a project completion report within two months of the end of the project using Project Completion Report.

Source: Guidebook on APEC Projects (7 Ed.) (2010)
Useful Information for Project Submission

General Information
Guidebook on APEC Projects (7 Ed.) (Effective from 1 Jan 2011)

Developing Full Proposal
Developing APEC Project Proposals:
Proposal Development Materials (Feb, 2011)

Document Template Downloads
9 templates for project submission
including New APEC Concept Note and Project Proposal Format

The information will be available to find linkages on EGNRET website:
http://www.egnret.ewg.apec.org/rfp/projects_submission.html

or visit APEC Project website directly:
http://www.apec.org/Projects/Projects-Overview.aspx
http://www.apec.org/Projects/Projects-Overview.aspx

Guidebook

New Concept Note

Overview

Projects are a vital part of the APEC process. They help turn APEC Ministers' and Economic Leaders' policy directions into actions and create real benefits for people living in the Asia-Pacific region.

APEC contributes funding to over 100 projects each year, to a total value of around US$8 million. The majority of projects are focused on transferring knowledge and skills between members and building capacity so that each economy can move closer towards the Bogor Goals of free and open trade and investment.

Projects cover a wide range of important sectors. In addition to cooperation for trade liberalisation, APEC also supports projects that seek to make trade and doing business easier and more efficient such as: agreeing to common standards for product testing and labelling; developing faster and more efficient transportation routes; and providing information on each member's regulatory and legislative requirements for imports and exports.

APEC also works to maximise the benefits of globalisation. In particular, APEC supports projects that promote public health, improve the skills of workers, reduce the risks of and improve responses to natural disasters and emergencies, and that help small, medium and micro-sized enterprises to grow and access markets.

Information about individual projects can be found through the APEC Project Database:
http://imp.apec.org/POB/home.aspx

Downloads

Budget and Management Committee

Guidebook on APEC Projects (7th Edition Effective from 1 Jan 2011)

APEC Projects Database

Requests for Proposal/Tender

Developing APEC Project Proposals: Proposal Development Materials

Form - Appendix A - Project Concept Note

How are APEC projects funded?

APEC projects are funded through contributions by member economies. There are three main sources of APEC project funding:

1. Budget and Management Committee (BMC) contributions
2. Contributions from individual member economies
3. Additional contributions from APEC member economies
Thank you for your attention!

EGNRET website: http://www.egnret.ewg.apec.org/

The EGNRET has been established by and reports to the APEC Energy Working Group (EWG)

The mission of the EGNRET is to facilitate an increase in the use of new and renewable energy technologies in the APEC region