Applying for APEC Funding

Sesi Taklimat Mengenai Dana Sains, Teknologi dan Inovasi (STI) Antarabangsa
Tuesday, 17 April 2018
Putrajaya, Malaysia
Applying for APEC Fund

Presentation Outline

1) Background of APEC

2) Overview of APEC Fund

3) Available Funds and Key Dates

4) Approval Process

5) Monitoring and Completion Reports

6) Key Advice for Project Implementation
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What is APEC?

https://www.apec.org/About-Us/About-APEC
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3 Pillars in APEC

- Promote trade and investment
- Improve living standards
- Support economic and technical cooperation
- Build sustainable, secure economic growth

Trade and Investment Liberalization

Business Facilitation

Economic and Technical Cooperation (ECOTECH)
Applying for APEC Fund
APEC Papua New Guinea 2018

“Harnessing Inclusive Opportunities, Embracing the Digital Future”

3 Priorities:

Improving Digital Connectivity, Deepening Regional Economic Integration

Promoting Inclusive and Sustainable Growth

Strengthening Inclusive Economic Growth through Structural Reform
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APEC Guiding Principles

- APEC work is founded on the principles of:
  - Voluntariness;
  - Consensus-based; and
  - Non-binding.

- Peer pressure is the key driving force in achieving results.
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APEC Guiding Principles (cont.)

• APEC initiatives & activities are built on 3 pillars:
  – Trade and Investment Liberalisation;
  – Business Facilitation; and
  – Economic and Technical Cooperation.

• Initiatives and activities are guided by Leaders’ and Ministers’ mandate.

• Leaders’ and Ministers’ mandates are translated into strategic and action plans by individual working groups.

• APEC capacity building initiatives are undertaken to achieve the strategic and action plans.
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APEC-funded Projects

- 2,000 projects implemented since 1993;
- Approximately 100-150 per year;
- Average value of each project: US$100,000;
- APEC contribution ranges from 80% to 100% depending on type of funds;
- In 2017, 2 project evaluation and approval sessions for funding: March & July; and
- Budget and Management Committee (BMC) set policies and approve projects.
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APEC Projects Implemented in Malaysia in 2013-2016

- 20 Projects: 12 projects initiated by Malaysia & 8 projects by other economies.

- APEC funding for 20 Malaysia’s projects from: US$2.4 million

- In 2016,
  - 199 participants from the public and private sector;
  - 12 Speakers participated in APEC funded capacity building projects held in other APEC economies.
## PROJECT SESSION 2, 2017

### Outcomes

<table>
<thead>
<tr>
<th>Outcome</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Projects Requesting Funding</td>
<td>123</td>
</tr>
<tr>
<td>Number of Projects Approved</td>
<td>59</td>
</tr>
<tr>
<td>Overall Approval Rate (Session 2, 2017)</td>
<td>48%</td>
</tr>
<tr>
<td>(Overall Approval Rate - 5 Year Average)</td>
<td>42%</td>
</tr>
</tbody>
</table>

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# Available Funds

## Project Session 1, 2018

<table>
<thead>
<tr>
<th>Project Fund</th>
<th>Project Session 1, 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Project Account (GPA)</td>
<td>$1,170,000</td>
</tr>
<tr>
<td>Trade &amp; Investment Liberalisation and Facilitation Account (TILF)</td>
<td>$788,312</td>
</tr>
<tr>
<td>APEC Support Fund (ASF) General Fund</td>
<td>$1,307,561</td>
</tr>
<tr>
<td><strong>ASF Sub-funds</strong></td>
<td></td>
</tr>
<tr>
<td>Human Security</td>
<td>$129,596</td>
</tr>
<tr>
<td>Health &amp; Emergency Preparedness</td>
<td>$115,675</td>
</tr>
<tr>
<td>Energy Efficiency and Low Carbon Measures</td>
<td>$1,384,553</td>
</tr>
<tr>
<td>Supply Chain Connectivity</td>
<td>$742,914</td>
</tr>
<tr>
<td>Mining</td>
<td>TBC</td>
</tr>
<tr>
<td>Free Trade Area of the Asia-Pacific and Global Value Chains</td>
<td>$550,509</td>
</tr>
<tr>
<td>Innovative Development, Economic Reform and Growth</td>
<td>$323,082</td>
</tr>
<tr>
<td>Connectivity</td>
<td>$199,998</td>
</tr>
<tr>
<td>Micro, Small and Medium Enterprises</td>
<td>$148,189</td>
</tr>
<tr>
<td>Renewed APEC Agenda on Structural Reform (RAASR)</td>
<td>$951,790</td>
</tr>
<tr>
<td>Women and the Economy</td>
<td>$350,400</td>
</tr>
<tr>
<td><strong>Total Amount Available (GPA+TILF+ASF+Sub-Funds)</strong></td>
<td><strong>$8,244,843</strong></td>
</tr>
</tbody>
</table>
**PROJECT SESSION 2, 2018**

**Key Dates**

<table>
<thead>
<tr>
<th>1. Concept Note Stage</th>
<th>Submission Date</th>
<th>Notification Date of BMC Decision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal Submission Deadline (Submit to Program Director)</td>
<td>22 June</td>
<td>N/A</td>
</tr>
<tr>
<td>Final Submission Deadline (Submit to PMU)</td>
<td>29 June</td>
<td>31 July</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Project Proposal Stage</th>
<th>Submission Date</th>
<th>Notification Date of BMC Decision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission Deadline</td>
<td>28 August</td>
<td>26 October*</td>
</tr>
</tbody>
</table>

*Project Proposals which require a BMC decision before the date advertised here should be submitted to the Secretariat prior the Submission Deadline where possible. PMU will seek earlier BMC decisions where required by project timelines, but Project Proposals must be endorsed by the proposing forum, and must achieve a satisfactory rating across the Quality Criteria for Assessing APEC Projects, before they will be submitted by PMU to BMC for earlier approval.*
APPROVAL PROCESS
The New Model (2018)

The new process starts in Project Session 1, 2018. Some key new things to remember:

• Review all the information on the Projects pages of www.apec.org
• Ensure you are using the current Concept Note (CN) template.
• Consider the new APEC Scoring Template when preparing your CN (see upcoming slide)
• After the Internal Submission Deadline, the proposing forum is only required to endorse CNs, they no longer score.
• After the Final Submission Deadline, endorsed CNs will be submitted to the applicable Responsible APEC Forum (RAFs - see upcoming slide)
• Each economy on the RAF will assess the eligibility of each CN, and will score each eligible CN. If any economy finds a CN ineligible, reasons should be given – but the CN cannot proceed further (but can reapply next Project Session).
• Understand the eligibility of the funding source in question. If you need support, please contact your Program Director, or PMU@apec.org.
• Meet the 2 submission deadlines – & the Final Submission Deadline is final!
• 3-pages maximum.
• Specify the exact funding source (‘ASF’ alone is not a project fund description).
• Address the eligibility criteria for the funding source you apply for.
• Capacity building is central to all APEC projects – and you must show how your project will support capacity building needs for APEC developing economies, for all ASF General and ASF sub-fund projects.
• Write clearly and succinctly for an audience of non-experts.
• Secure at least 2 co-sponsoring economies (some groups expect more).
• Ensure project end date is by December of the following year.
• Use most current form, found on APEC website, project link.
## APPROVAL PROCESS
### The New Model (2018) – Responsible APEC Fora

<table>
<thead>
<tr>
<th>Fund</th>
<th>Fora</th>
<th>Funding Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Project Account</td>
<td>SOM</td>
<td>Incoming and outgoing host priority themes</td>
</tr>
<tr>
<td>ASF General Fund</td>
<td>SOM</td>
<td>The Manila Framework on ECOTECH</td>
</tr>
<tr>
<td>TILF</td>
<td>CTI</td>
<td>The Osaka Action Agenda</td>
</tr>
<tr>
<td>Connectivity Sub-Fund</td>
<td>SCE*</td>
<td>Specific sub-fund eligibility</td>
</tr>
<tr>
<td>Energy Efficiency Sub-Fund</td>
<td>EWG</td>
<td>As above</td>
</tr>
<tr>
<td>FTAAP and GVCs Sub-Fund</td>
<td>CTI*</td>
<td>As above</td>
</tr>
<tr>
<td>Health and Emergency Preparedness Sub-Fund</td>
<td>SCE</td>
<td>As above</td>
</tr>
<tr>
<td>Human Security Sub-Fund</td>
<td>SCE</td>
<td>As above</td>
</tr>
<tr>
<td>IERG Sub-Fund</td>
<td>SCE*</td>
<td>As above</td>
</tr>
<tr>
<td>Mining Sub-Fund</td>
<td>MTF*</td>
<td>As above</td>
</tr>
<tr>
<td>MSME Sub-Fund</td>
<td>SMEWG*</td>
<td>As above</td>
</tr>
<tr>
<td>RAASR Sub-Fund</td>
<td>EC*</td>
<td>As above</td>
</tr>
<tr>
<td>Supply Chain Connectivity Sub-Fund</td>
<td>CTI*</td>
<td>As above</td>
</tr>
<tr>
<td>Women and the Economy Sub-Fund</td>
<td>PPWE</td>
<td>As above (new sub-fund for 2018)</td>
</tr>
</tbody>
</table>

*Already decide eligibility for these funds under 2017 process*
Supports the Priorities of the APEC Fund to which it is applying
Please give a score out of 20 based on your assessment of how well the project addresses the priorities of the fund to which it is applying.

Quality Appears Strong
Please give a score out of 15 for project quality. APEC considers project quality against the following five criteria:
• Relevance: this considers why the project is proposed;
• Impact: this considers what the project seeks to change;
• Effectiveness: this considers how a project will reach its objectives;
• Sustainability: this considers whether the benefits are likely to continue after the project is completed;
• Efficiency: this considers how a project will be implemented, particularly measuring the outputs (services, goods) against the inputs (cost of resources).

Supports My Economy’s Priorities
Please give a score out of 10 based on how well the project aligns with the APEC priorities of your economy.

Supports Capacity Building
Please give a score out of 10 based on how well the project supports APEC's Capacity Building Objectives, Goals and Operational Principles, which are listed in the APEC Project Guidebook.

Supports Cross Fora Collaboration and Benefits to Multiple Economies
Please give a score out of 5 based on whether there is broad support for the project, including cross fora collaboration. Please consider how well the project will benefit multiple members and the region as a whole.
After the *Internal Submission Deadline*: Fora endorse Concept Notes (CNs). Some fora do this earlier.

After the *Final Submission Deadline*: Endorsed CNs are sent to the APEC forum responsible for the APEC funding source, to assess against the specific eligibility requirements of the funding source, and then score eligible CNs. Each economy in the forum uses the APEC Scoring Template.

All the Scoring Templates are returned to the Secretariat by the deadline provided. The Secretariat averages the scores provided by each economy for each eligible CN. Ineligible concepts can re-apply next round.

The Secretariat recommends to BMC which CNs can be funded, based on order of scores (highest to lowest) and with consideration to the total amount that is available in the fund.

CNs that are approved ‘in-principle’ by BMC are developed into Project Proposals.
Capacity Building in Projects

Capacity building is central to APEC Projects. In 2015, SCE approved a Capacity Building Policy for APEC. The Policy aims to strengthen the focus of APEC projects towards capacity building outcomes.

From 2018, ‘Supports Capacity Building’ will be part of the Concept Note Scoring Template (10 points /60 points).

The current edition of the Guidebook on APEC Projects (Ed.12) expresses the Policy through changes to the Concept Note template; new appendix which addresses APEC’s Capacity Building Goals, Objectives and Principles.
Monitoring and Completion Reports

Monitoring Reports (MRs):

• MRs for projects approved in 2017 and before are due every 6 months on 1 February and 1 August; those approved in 2018 and after will have only be required once a year (1 April or as advised)

Completion Reports (CRs):

• Completion reports are due within 2 months of the project’s completion.

Failure to submit MRs or CRs:

• POs with outstanding MRs are ineligible to submit new Concept Notes or have any proposal approved until all overdue reports are submitted.

• Any APEC forum whose project has not submitted a CR is ineligible to submit new Concept Notes or have any full proposal approved until all overdue reports are submitted.

Report templates can be found on the APEC Website:
http://www.apec.org/Projects/Forms-and-Resources.aspx
Key Advice for Project Implementation

How to have a successful workshop:
• Give at least sufficient notice to members of workshops, nomination requests
• Do your research and use your networks to find the right participants and speakers – don’t just rely on members to find them for you
• Involve relevant International Experts and organizations as speakers, ensuring you follow the Guidelines on Managing Cooperation With Non-members
• Invite a representative(s) of other APEC working groups if relevant
• Work closely with your Secretariat Program Executive on travelers approvals and acquittals
Be familiar with and follow APEC procurement rules:

- *Guidebook* Chapter 12 on Contracting
- Different requirements for contracts below USD 5,000; 20,000; 50,000; 50,001 and above
- For over USD 50,001 get your proposal assessment panel together early and remember **only members of your forum officials (or their nominated delegates) can be assessors!**
- Use the RFP timeline and correct templates
  [http://www.apec.org/Projects/Forms-and-Resources.aspx](http://www.apec.org/Projects/Forms-and-Resources.aspx)
Self-funded APEC Projects

- Can be put forward at any time
- Must be approved by the group
- Must comply with **APEC guidelines and practices** (hosting, publications, logo use, non-member participation)
- Project Overseer must submit **Self-Funded Project Proposal Coversheet** (Guidebook on APEC Projects, Appendix C) to the Secretariat before commencement of the project
- Project Overseer is strongly encouraged to submit **Completion Report** (Guidebook on APEC Projects, Appendix G)
Project Resources:
https://www.apec.org/Projects/Forms-and-Resources

Project Guidebook
• Guidebook on APEC Projects (12th Edition)
• Edition 12: Edit Summary

Forms for Applicants
• Concept Note Template
• Project Proposal Template
• APEC Self-Funded Project Proposal Coversheet

Resources for Applicants
• APEC SCE Guidelines for Cross-Fora Collaboration
• Project Session 1, 2018: An Overview of Changes
• 2015 SCE Capacity Building Policy
• APEC Scoring Template
• Project Quality Training Materials
• Concept Note Development Materials
• Project Proposal Development Materials
• Quality Criteria for Assessing APEC Projects
• Guide on Gender Criteria
• Applying for APEC Funds Overview
• APEC Guidelines on Conducting Capacity Building
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