Asia-Pacific
Economic Cooperation

# Guidebook on APEC Projects

**Edition 13**

**APEC Secretariat**

October 2018

**Advancing** Free Trade for Asia-Pacific **Prosperity**

# Summary of Main Changes in Edition 13

This current Edition 13 of the Guidebook on APEC Projects (October 2018) contains updates from the previous Edition 12 of the Guidebook, as summarised below. These summaries are designed to provide a reference point only and readers are strongly encouraged to familiarise themselves with the relevant text within the Guidebook as required.

**Chapter 3: Funding and Accounts and Chapter 4: APEC Project Cycle**
Clarification regarding project funding sources and the applicability of APEC policies and procedures. Clarification on timing of deadlines.

**Chapter 5: Applying for Funding**
Additional content regarding Concept Note preparation and handling, including the obligation to meet the Internal Submission Deadline and guidance on co-endorsement.

**Chapter 6: Project Implementation and Monitoring**
Monitoring Reports are due on 1 April, unless the Secretariat advises 1 October, in consideration of the time-line specific to the project.

**Chapter 7: Project Completion**
The end date of a project is now called the Project Completion Date (PCD). The PO must work to ensure that all aspects of project implementation are completed by the PCD. All project and contract related payments must be paid, and all reimbursement claims must be resolved, before the PCD. Projects selected in the second project session of the year are now afforded a similar time frame to first session projects. Projects selected in the first session will complete by 31 December the following year, but projects selected in the second session will complete by 30 June the second following year. The handling process for Completion Reports is also clarified.

**Chapter 9: APEC Project Expenses**
Clarification on per diem rates and waivers for funded PO travel and RAASR projects. Electronic publication is strongly preferred in APEC projects. Work submitted for publication must be high quality and not require further copy-editing.

**Chapter 10: General Disbursement Procedures**
Claims will normally be processed by the Secretariat within 20 Singapore working days subject to the fulfilment of all documentary requirements. Requests for advance payment must be lodged at least 8 Singapore working days prior the event.

**Chapter 11: Changing a Project**
POs must complete the APEC Project Design Amendment & Extension and the Budget Amendment forms when proposing changes to the design of a project, including PCD extensions and budgetary reallocations.

**Appendix A: Concept Note Template**
The template has new instructions and definitions for POs to follow when addressing the template's requirements regarding 'Relevance', 'Project Summary', 'Objective', 'Work Plan and 'Indicators'. Submitted Concept Notes must be complete and use 10pt font at a minimum.

**Appendix B: Project Proposal Template**
In addition to some changes shared with the Concept Note template, the Project Proposal template has updated instructions and definitions for POs to follow when addressing the template's requirements regarding 'Outputs', 'Outcomes', 'Beneficiaries', 'Dissemination', 'Work Plan and 'Monitoring and Evaluation'.

**Appendix E: APEC Project Monitoring Report**
The Monitoring Report has been updated to require POs to actively cross-reference the Project Proposal, and to also harmonise the template with the changes made to the Concept Note and Project Proposal templates.

**Appendix F: APEC Project Completion Report**
The Completion Report has been restructured to enhance its logical flow. It now has dedicated questions on 'Capacity building' and 'Medium term changes'. It has also been revised to harmonise with the changes made to the Concept Note and Project Proposal templates, especially as those changes relate to the updated definition and relationship between outputs, outcomes and the project objective; and associated measures and indicators.

# Contents

**1. Introduction** **8**
Capacity Building in APEC 8
**2. Roles and Responsibilities** **10**
Senior Officials 10
Budget and Management Committee (BMC) 10
Responsible APEC Fora 10
Proposing Forum 11
Project Overseer (PO) 11
APEC Secretariat 12
Program Director (PD) 13
Program Executive (PE) 13
Project Management Unit (PMU) 13
**3. Funding and Accounts** **15**
The General Project Account (GPA) 15
The Trade and Investment Liberalization and Facilitation Account (TILF) 16
The APEC Support Fund (ASF) 17
Self-Funding 18
Other Sources of Project Funding 18
**4. APEC Project Cycle** **20**
**5. Applying for Funding** **21**
Stage 1—Concept Note Preparation and Submission 21
Stage 2—Eligibility Assessment and Scoring of Concept Notes 23
Stage 3—Quality Assessment of Project Proposals 24
**6. Project Implementation and Monitoring** **28**
Stage 4—Implementation and Monitoring 28
**7. Project Completion** **30**
Stage 5—Project Completion 30
Noncompliance with Monitoring and Completion Reporting Requirements 32
**8. Multi-Year Projects** **33**
Submission and Selection of Multi-year Projects 34
Implementation of Multi-year Projects 35
Multi-year Project Forms 35
**9. APEC Project Expenses** **36**

Labour and Personnel (i.e., contractors) 36
Travel Expenses 39
Exceptions to Non-Allowable Expenses 43
Publication and Distribution Costs 43
Project Event Costs 45
Event Hosting 45
Surveys and Research 47
**10. General Disbursement Procedures 47**
Claiming Payment—Honoraria 47
Claiming Payment—Travel Expenses 47
Claiming Payment—All Other Payment Types 48
**11. Changing a Project 50**
Request for Design or Budget Amendments 50
Requests for Extension 50
**12. Contracting 51**
Procurement Methods 52
Criteria for Approving Waivers for Open Tendering Processes 56
Bids from Non-APEC Members 56
Travel Costs for Contractors 56
Conflict of Interest 57
**Appendix A 61**
APEC Concept Note 61
**Appendix B 63**
APEC Project Proposal 63
**Appendix C 68**
APEC Self-Funded Project Proposal Coversheet 68
**Appendix D 70**
Quality Criteria for Assessing APEC Projects 70
**Appendix E 72**
APEC Project Monitoring Report 72
**Appendix F 73**
APEC Project Completion Report 73
**Appendix G 75**
Guide on Gender Criteria for APEC Project Proposals 75
Glossary (Gender) 79
**Appendix H 81**

APEC Project Evaluation Survey: 81

**Appendix I** **84**

APEC Project Procurement Principles 84

**Appendix J** **86**

Guidelines on Conducting Capacity Building 86

**Appendix K** **88**

Capacity Building Goals, Objectives and Principles 88

# Acronyms

ABAC – APEC Business Advisory Council
AELM – APEC Economic Leaders' Meeting
ASF – APEC Support Fund
BMC – Budget and Management Committee
CTI – Committee on Trade and Investment
CR – Completion Report
EC - Economic Committee
GPA – General Project Account (previously Operational Account, or OA)
LTEAP – Longer-Term Evaluation of APEC Projects
MR – Monitoring Report
MYP – Multi-Year Projects
PASC – Project Assessment Standing Committee
PCD – Project Completion Date
PD – Program Director
PE – Program Executive
PMU – Project Management Unit
PO – Project Overseer
RFP – Request for proposal
SCE – SOM Steering Committee on Economic and Technical Cooperation
SFOM – Senior Finance Officials Meeting
SOM – Senior Officials' Meeting
SoS – Scope of Services
TFAP II – APEC Second Trade Facilitation Action Plan
TILF – Trade and Investment Liberalization and Facilitation
ToR – Terms of Reference

Project Templates:

All Concept Note, Project Proposal and Reporting templates can be downloaded as individual files from the APEC website:

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

# 1. Introduction

1-1. This Guidebook on APEC Projects (Guidebook) is a practical handbook for managing APEC projects. It is primarily aimed at those who are applying for APEC project funding and implementing APEC projects, but it also provides important information for other stakeholders involved in the project process.

1-2. The APEC Budget and Management Committee (BMC) issues and updates this Guidebook, and may change the content from time to time. The latest version is available at http://www.apec.org/Projects/Forms-and-Resources.aspx. If there is any discrepancy between a printed version of this Guidebook and the online version, the online version will prevail.

1-3. This Guidebook consists of two main parts:

- The first part covers the APEC project cycle; which is the framework used by APEC to design, prepare, implement, monitor and supervise projects. It contains information on the steps, processes and guidelines for preparing and implementing projects in accordance with APEC guidelines.
- The second part contains project reporting templates and important resource materials. APEC procurement documentation and templates are also available at: http://www.apec.org/Projects/Forms-and-Resources.aspx

1-4. Further definitions of key terminology, abbreviations, and acronyms used in APEC, and referred to in this document, can be found in the Glossary of Terms at http://www.apec.org/Glossary.aspx

1-5. Also refer to the APEC website for further information on APEC projects: http://www.apec.org/Projects/Projects-Overview.aspx

1-6. For further contact information within the Secretariat, please see: http://www.apec.org/ContactUs.aspx?t=Secretariat

## Capacity Building in APEC

1-7. APEC projects help to build the capacity of member economies to create a dynamic and harmonious Asia-Pacific region by championing free and open trade and investment, promoting and accelerating regional economic integration, encouraging economic and technical cooperation, enhancing human security, and facilitating a favourable and sustainable business environment.

1-8. APEC projects build capacity to turn policy goals into concrete results. Projects typically support the policy process through workshops, seminars, training, research and publications. Projects do not include meetings of APEC fora.

1-9. Capacity building in APEC refers to a process to enable member economies - particularly developing economies - to obtain, share, strengthen, maintain and develop knowledge, abilities, skills and technical know-how to improve their policies and regulations or their institutional structures or processes.

1-10. APEC's approach to capacity building is described in the 'Policy on APEC´s Capacity Building through Economic and Technical Cooperation' (2015). The goals, objectives and operational principles that underpin APEC capacity building projects are included at **Appendix K** of this Guidebook, and APEC guidelines for how to conduct capacity building are included at **Appendix J.**

1-11. Capacity building is a responsibility of all APEC fora and sub-fora. The process of preparation, submission, selection, implementation and evaluation of projects is focused on achieving APEC's capacity building goals, objectives and principles. Capacity building should be considered in the context of a program of work developed by an APEC sub-forum, ideally focused on a limited number of priorities identified through a planning process.

# 2. Roles and Responsibilities

The responsibility for APEC projects is shared between Project Overseers (POs), APEC fora, member economies, and the APEC Secretariat.

## Senior Officials

2-1. APEC Senior Officials have the following responsibilities and authority.

Responsibility to:

— Provide policy direction to fora;

— Monitor the existing eligibility criteria of the General Project Account (GPA) and the APEC Support Fund (ASF) General Fund;

— Review and amend the eligibility criteria of the GPA and the ASF General Fund where necessary, in consultation with donors;

— Assess the eligibility of Concept Notes that seek funding from the GPA and the ASF General Fund, or review eligibility assessments where undertaken on their behalf by their authorised delegates; and

— Score those Concept Notes that are deemed eligible for potential funding from the GPA and the ASF General Fund, or review scoring where undertaken on their behalf, by their authorised delegates.

Authority to:

— Approve projects seeking more than USD200,000 in APEC funding.

## Budget and Management Committee (BMC)

2-2. The BMC has the following responsibilities and authority.

Responsibility to:

— Review, recommend, and approve Project Proposals; and

— Oversee APEC project processes.

Authority to:

— Approve projects for which USD200,000 or less in APEC funding is sought;

— Make recommendations to the Senior Officials' Meeting (SOM) on projects for which more than USD200,000 in APEC funding is sought; and

— Approve requests for project extensions of more than 12 months, any increase in funding to individual projects, substantial changes to a project, and significant waivers from guidelines.

## Responsible APEC Fora (RAF)

2-3. The Trade and Investment Liberalization and Facilitation (TILF) fund, and each of the ASF sub-funds, have been assigned to a specific APEC forum for the purposes of Concept Note eligibility assessment and scoring. More information about APEC funding sources and responsible fora can be found here: http://www.apec.org/Projects/Funding-Sources

2-4. Responsible APEC Fora, as specified, have the following responsibilities.

Responsibility to:

— Monitor the existing eligibility criteria of the TILF and the ASF sub-funds;

— Review and amend the eligibility criteria of the TILF fund and the ASF sub-funds where necessary, and in consultation with donors;

— Assess the eligibility of Concept Notes that seek funding from the TILF fund or one of the ASF sub-funds; and

— Score those Concept Notes that are assessed as eligible for potential funding from the TILF or one of the ASF sub-funds.

## Proposing Forum

2-5. A proposing forum may be a Committee, a sub-forum, a working group, a task force, or a dialogue group. (SOM may propose a Concept Note, but this is rare.) The proposing forum has the following responsibilities and authority.

Responsibility to:

— Review and endorse Concept Notes against an agreed set of forum-level assessment criteria;

— Review and endorse Project Proposals prior to their submission;

— Ensure that proposed projects are closely aligned with the forum's annual work plan, or medium-term strategic plans and the broader strategic and policy priorities of APEC;

— Support POs in implementing projects;

— Ensure that POs submit monitoring reports;

— Review and approve completion reports submitted by POs; and

— Consider, where necessary, requests for project changes, extensions and waivers from APEC guidelines. The responsibility for approving requests is delegated to the Chair, Convenor or Lead Shepherd.

- Authority to:

— Endorse project Concept Notes and proposals before submission; and

— Endorse requests for project changes, extensions, and waivers (responsibility delegated to Chair, Convenor or Lead Shepherd).

## Project Overseer (PO)

2-6. The PO is responsible for ensuring that all aspects of the design, planning and implementation of a project are undertaken in accordance with APEC project guidelines. POs are usually government officials representing their economy, but they can also be from elsewhere, such as the private sector or academia, as long as this is supported and sponsored by the economy that has proposed the project. The PO is considered as both the individual and the organization that the PO represents.

2-7. The Secretariat should be informed by the proposing economy of any changes to the PO during the project preparation and implementation stages.

2-8. The PO has the following responsibilities:

- Pre-approval, project development stages:

— Prepare Concept Notes and Project Proposals in accordance with the APEC project guidelines and using the correct templates contained in the Guidebook;

— Ensure that the project Concept Note is assigned to the correct funding source. Information on APEC funding sources are available under **Chapter 3: Funding and Accounts** of the Guidebook; and

— Submit the Concept Note, proposal, and supporting documentation to the Secretariat before the assigned deadlines.

- Implementation stages:

— Manage the effective implementation of the project according to APEC requirements; including financial disbursement, contracting, reporting, and publications guidelines;

— Ensure that all participants, experts and speakers, are appropriately briefed on their roles, entitlements, and obligations before they agree to participate in a project;

— Endorse all legitimate claims for payment related to the project;

— Seek approval from the relevant fora and the Secretariat for any changes to the project scope and budget during implementation, including reallocating funding, changing or substituting milestones, and seeking deadline extensions;

— Ensure the timely submission of all project reports including monitoring and completion reports;

— Inform the Secretariat if the contact person or PO changes; and

— Keep up to date on APEC's project guidelines throughout the life of the project.

2-9. In accordance with APEC's approach to ensuring transparency and accountability, the PO must not misuse or misappropriate APEC funds. POs must at all times undertake their duties in a manner that mitigates the risk of real or perceived conflicts of interest, such as contracting or paying themselves or their associates for project-related work, benefiting from a project, or paying themselves an honorarium.

## APEC Secretariat

2-10. The APEC Secretariat provides support to develop and implement projects. The key contacts are the Program Director and the Program Executive responsible for each forum.

## Program Director (PD)

2-11. The PD has the following responsibilities:

— Advise and assist POs with the development of Concept Notes and Project Proposals;

— Advise POs, and fora on APEC project guidelines, timelines and tools;

— Coordinate PO requests to amend or extend projects;

— Review and finalize project reports including monitoring and completion reports; and

— Approve minor project waivers for contracting and simultaneous interpretation costs, requests for project extensions up to 12 months and revisions and budget changes that do not substantially affect the overall quality or scope of the project.

## Program Executive (PE)

2-12. The PE has the following responsibilities:

— Provide advice and support to POs in preparing project-related tasks. This includes approving travel bookings and travel related reimbursements for participants;

— Assist with drafting Terms of Reference (ToR), contracts and other project-related agreements as required in accordance with APEC guidelines; and

— Provide advice to POs on meeting reporting requirements in accordance with the Guidebook.

## Project Management Unit (PMU)

2-13. The PMU within the APEC Secretariat administers project sessions on behalf of APEC members. It supports PDs and PEs in carrying out project responsibilities and assisting the BMC in overseeing APEC projects. PMU integrates knowledge and experience from a range of areas within the APEC Secretariat in undertaking its core project management tasks. The PMU has the following responsibilities and authority:

Responsibilities to:

— Coordinate the Concept Note selection process;

— Provide advice and assistance to POs in planning and preparing Project Proposals;

— Assess and provide advice to improve the quality of Project Proposals;

— Prepare project funding recommendations to BMC;

— Submit project management reports for BMC, including monitoring and completion report in accordance with APEC guidelines;

— Suggest appropriate options for improving project management processes to the BMC;

— Submit requests for waivers relating to contracting processes, significant project reprogramming requests or project extensions over 12 months to BMC for approval;

— Provide capacity building support to improve the effectiveness and efficiency of APEC projects;

— Oversee and support the monitoring and evaluation of projects; and

— Institute policies and processes to improve the overall quality and impact of APEC projects.

Authority to:

— Assess quality of projects and make project funding recommendations to BMC; and

— Approve minor project waivers for contracting and simultaneous interpretation costs, requests for project extensions up to 12 months and revisions and budget changes that do not substantially affect the overall quality or scope of the project.

# 3. Funding and Accounts

3-1. APEC projects are selected for funding through a competitive application process. There are three main APEC project funding accounts, from which successful Concept Notes can be funded in-principle:

- General Project Account (GPA),
- Trade and Investment Liberalization and Facilitation Account (TILF) and;
- APEC Support Fund (ASF, comprising a General Fund and sub-funds).

3-2. Projects can be funded through a combination of APEC funds and self-funding, subject to the co-funding rules of each APEC funding account. Projects can also be entirely self-funded by a member economy, using either their own funding or funding from another source such as the private sector.

3-3. For projects seeking APEC funding, POs must ensure that capacity building projects meet the eligibility criteria for the specific project account to which they are applying. The eligibility criteria for each project account are listed on the APEC website at the 'Funding Sources' page: http://www.apec.org/Projects/Funding-Sources.aspx.

3-4. The amount available under each project fund is presented annually to the BMC. Updates on the availability of project funds are provided regularly to assist members in monitoring APEC's overall project financing levels.

3-5. Information on the amount of APEC-funding that is available in each project session is placed on the APEC website at the 'Funding Sources' page - http://www.apec.org/Projects/Funding-Sources.aspx – before the project session commences. All APEC projects are funded in US dollars (USD).

3-6. To economise the use of scarce funds and avoid over-budgeting, some APEC project fund accounts are subject to a funding cap. In some cases, member economies must also are also contribute a proportion of the project funding when they apply. Further information on this is available on the APEC website at the 'Funding Sources' page: http://www.apec.org/Projects/Funding-Sources.aspx.

## The General Project Account (GPA)

3-7. The GPA is funded from annual membership contributions. It supports projects 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.

3-8. All APEC member economies may apply for funding under GPA.

3-9. The funding priorities of the GPA shall be the combined host-year priorities of the outgoing APEC host economy and the incoming host economy, as agreed by Senior Officials.

3-10. Projects may be fully funded under GPA. There are no self-funding requirements for GPA-funded projects.

# The Trade and Investment Liberalization and Facilitation Account (TILF)

3-11. TILF is sourced from voluntary member contributions. It provides funding for projects that expand cooperative programs and support trade and investment liberalization and facilitation as articulated by Leaders' or Ministers' directives and the Osaka Action Agenda.

3-12. 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.

3-13. All APEC member economies may apply for funding under TILF. The funding criteria for TILF require member economies to self-fund a percentage of the overall project cost, as follows: An economy proposing a project could be exempted from self-funding as long 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 (cumulative since the year the economy began its contribution) by 100% for non-travel eligible economies and by 250% for travel eligible economies[1]. When in excess, the current self-funding requirement (50% for non-travel eligible economies, 20% for travel eligible economies) applies.

3-14. To economise the use of APEC project funds and avoid over-budgeting, TILF funding is subject to a cap of USD100,000 (not inclusive of any self-funding/co-funding portion of the project) with effect from 1 January 2015. The cap for TILF does not limit the size of TILF projects. If the total value of a project (including self-funding portion) exceeds USD125,000 for travel eligible economies and USD200,000 for non-travel eligible economies, it can be topped up by self-funding. For the avoidance of doubt, TILF contributors are required to provide self-funding for any project with a value in excess of the above amounts (USD125,000 and USD200,000 for travel eligible and non-travel eligible economies respectively).

3-15. The following expenses are not allowed and do not count when calculating self-funding requirements for TILF projects.

a) Meals, coffee and tea breaks

b) Promotional items and gifts (such as banners, briefcases, souvenirs, flowers)

c) Maintenance costs for websites, databases and other on-line resources (including servers)

d) Conference registration fees

[1] The following eleven APEC member economies are considered to be "travel-eligible": Chile; China; Indonesia; Malaysia; Mexico; Papua New Guinea; The Philippines; Peru; Russia; Thailand and Viet Nam. Therefore, "non-travel-eligible" economies here mean the other ten APEC member economies not referred above.

e) Local transportation costs, including airport transfers, field trips or sightseeing

f) Simultaneous interpretation costs at project events

g) Standard office equipment such as computers (including laptops), printers and cameras.

## The APEC Support Fund (ASF)

3-16. The ASF and its sub-funds are sourced from voluntary member contributions. The ASF supports capacity building projects that address the needs of APEC developing economies in agreed high-priority areas for economic and technical cooperation, although projects are still open to participation by all APEC members. Projects applying to the APEC Support Fund must demonstrate how they will benefit APEC developing economies.

3-17. The ASF is comprised of a General Fund, which can support projects focussing on any of APEC's priority areas, as well as a series of sub-funds that focus on specific priority areas. New sub-funds may be established by members at any time upon approval by BMC. A current list of sub-funds, including information on eligibility criteria and application processes, is available on the APEC website at the 'Funding Sources' page: http://www.apec.org/Projects/Funding-Sources.aspx

3-18. All APEC member economies may apply for ASF funds. There are no self-funding requirements for ASF funds, however to economise the use of APEC project funds and avoid over-budgeting, the ASF General Fund is subject to a cap of US$150,000 and some ASF sub-funds are also subject to other caps. Information about which sub-funds are subject to the cap is available on the APEC website at the 'Funding Sources' page: http://www.apec.org/Projects/Funding-Sources.aspx

3-19. The funding priorities of the ASF General Fund are the Priority Themes of the Manila Framework for Strengthening Economic Cooperation and Development. More information about the Manila Framework is available on the APEC website at the 'Funding Sources' page: http://www.apec.org/Projects/Funding-Sources.aspx

3-20. To apply for funding under an ASF sub-fund, the PO must specify the sub-fund on the Concept Note template. The Concept Note will then be considered against the eligibility criteria for that sub-fund to determine whether it is eligible. Information on the eligibility criteria that apply to APEC funding sources, including individual ASF sub-funds, is available on the APEC website at the 'Funding Sources' page: http://www.apec.org/Projects/Funding-Sources.aspx.

## Self-Funding

3-21. “Self-funding” refers to any project funding amount that is provided by the economy that is proposing the project. Projects can be partially self-funded or fully self-funded.

3-22. Projects that are funded through a mix of self-funding and APEC project funds are indistinct from projects that are fully APEC-funded, for the purposes of Chapters 4 to 7 of this Guidebook. They are selected through the same competitive process and are subject to the same Concept Note and Project Proposal requirements. They are subject to the same Monitoring and Completion reporting requirements, as well as the obligation to participate in the APEC Longer-Term Evaluation of APEC Projects (LTEAP).

3-23. Projects that are fully self-funded (i.e., that are not seeking any APEC funding) do not follow exactly the same application and approval process as APEC-funded projects. For example, they are not submitted in a project session for approval by BMC, they are not quality assessed, and they do not follow project funding disbursement procedures outlined in this Guidebook. POs are solely responsible for project fund management in relation to fully self-funded projects.

3-24. Projects that are fully self-funded can be submitted at any time to the relevant APEC forum for approval by consensus. They must be proposed by a member economy. The submission must use the self-funded project coversheet at **Appendix C** of this Guidebook.

3-25. Projects that are fully self-funded must still comply with the APEC Guidelines on Managing Cooperation with Non-Members, the APEC Publications Guidelines and the APEC Logo Guidelines. Copies of these policies can be found on the APEC website here: http://www.apec.org/About-Us/About-APEC/Policies-and-Procedures.aspx. The APEC Secretariat holds the copyright for publications produced under both APEC funded and APEC self-funded projects on behalf of members.

3-26. Once they are approved by the relevant APEC forum, fully self-funded projects will be uploaded to the APEC project database to ensure that a complete record of all APEC projects is maintained. POs of self-funded projects are also strongly encouraged to submit Completion Reports. The Completion Report template is at **Appendix F** of this Guidebook.

## Other Sources of Project Funding

3-27. APEC welcomes project funding contributions from other sources, including the private sector and other international organizations. Project funding contributions from other sources help to economise the use of APEC funds; maximise APEC’s contribution to the region; build partnerships with business; and leverage the expertise and resources of the private sector and other organizations.

3-28. Contributions to APEC-funded projects from other sources such as the private sector are subject to APEC’s Sponsorship Guidelines. For contributions of

$20,000 or less, a letter of agreement between the relevant sub-forum and the sponsor is required. For contributions above $20,000, a Sponsorship Agreement between the relevant sub-forum and the sponsor is required. For contributions above $100,000, approval of Senior Officials is required.

3-29. The APEC Sponsorship Guidelines are available at: http://www.apec.org/About-Us/About-APEC/Policies-and-Procedures.aspx. The Guidelines include templates for establishing sponsorship agreements, as well as detailed guidance on the process. Queries relating to the Guidelines can be directed to the Publishing and Corporate Affairs Manager in the APEC Secretariat.

3-30. Contributions to self-funded projects from other sources such as the private sector can be made with the support of the relevant forum and economy. The APEC name and logo shall be used for the sponsored activity in compliance with APEC's guidelines on name and logo usage, which are available on the APEC website at http://www.apec.org/About-Us/About-APEC/Policies-and-Procedures.aspx.

# 4. APEC Project Cycle

4-1. All APEC projects pass through five successive stages which are known as the APEC project cycle.

4-2. Stages one and two of the project cycle are the preparatory stages of a project. They focus on planning and initial preparations for Concept Notes, the Concept Note endorsement process, Concept Note eligibility assessment and scoring, BMC in-principle approval and PO notification.

4-3. Stage three focuses on full Project Proposal development and consists of four main steps aimed at full Project Proposal preparation, submission and approval.

4-4. Stage four is the project implementation stage and a key step in this process involves project monitoring. The implementation stage commences when the program of work, which will produce the planned outputs and outcomes, begins.

4-5. The last stage of the project cycle, stage five, involves project completion.

4-6. All deadlines that apply to Stages 1, 2 and 3 expire at midnight in the time zone of each economy, unless an alternative time is stated by the Secretariat.

# 5. Applying for Funding

## Stage 1—Concept Note Preparation and Submission

Step 1. PO considers APEC and fora priorities and work plans. PO reviews this Guidebook and the projects guidance provided on the APEC website. PO prepares Concept Note.

5-1. POs should prepare their Concept Note as early as practical. Early socialisation of Concept Notes, both within the proposing forum and in other fora as relevant, will help support the development of the Concept Note and will also allow sufficient time to develop cross-fora collaboration planning as required.

5-2. Prior to preparing the Concept Note, POs are required to review the Guidebook and the eligibility criteria for each of APEC funding source. POs are also required to review APEC's capacity building objectives, goals and principles. Failure to do so may result in non-compliant or poor-quality Concept Notes.

5-3. POs are advised to contact the relevant PD as early as possible seek guidance on developing the Concept Note within submission deadlines. Early involvement of PDs may also assist in improving the Concept Note's relevance before submission.

5-4. Concept Notes are to be completed using the template at **Appendix A**. Concept Notes must be succinct and complete with all questions in the Concept Note attempted. Concept Notes (including title page) that exceed three A4 pages will **not** be considered. Concept Notes presented on older versions of the template cannot be processed by the Secretariat.

Step 2. PO submits the Concept Note to the proposing fora for comment and works to secure co-sponsoring economies.

5-5. POs must ensure that their economy agrees to propose the Concept Note and must secure at least two co-sponsoring economies for the project before submitting the Concept Note by the Internal Submission Deadline. Co-sponsorships are to be agreed between POs and economy representatives from the proposing forum. Some APEC fora apply additional requirements, such as requiring more than two co-sponsoring economies for Concept Notes. It is important to confirm with the relevant PD whether additional or specific requirements apply, and to ensure your Concept Note follows those requirements.

5-6. The proposing economy and co-sponsoring economies are expected to be engaged in the development of proposals and in the implementation of projects. The actual roles and responsibilities vary from project to project and are subject to fora requirements. For example, the roles could include providing voluntary contributions (in terms of financial, personnel, hosting support, or in-kind contributions), forming part of a project steering committee, or providing assistance with research data or case studies, assisting with

monitoring and/or post-activity evaluations. In cases where projects are jointly proposed (either by multiple economies, or fora), POs are advised to give early thought to the assignment of project roles and responsibilities, such as identification of a project lead.

5-7. If additional co-sponsors are secured after the Final Submission Deadline, the PO may reflect the additional co-sponsors in the Project Proposal, should the Concept Note progress to proposal stage.

Step 3. PO submits Concept Note to PD by the **Internal Submission Deadline**. Proposing forum endorses Concept Notes.

5-8. Concept Notes must be submitted to PDs by the Internal Submission Deadline, so that PDs can check compliance, and circulate Concept Notes within the proposing fora for endorsement on a timely basis. This deadline is set by BMC and advertised on the APEC website at this address: http://www.apec.org/Projects/Applying-for-Funds.aspx

5-9. Endorsement is provided based on the project's relevance. Relevance is typically assessed in terms of:

- APEC's capacity building goals and principles;
- Leaders, ministerial, and SOM priorities;
- Strong alignment with the forum's strategic plan, work plan, collective action plan, or equivalent;
- Potential for positive contribution to APEC's and the relevant Committee's priorities; and
- APEC value-for-money principles, and how the activity complements previous work undertaken by APEC.

5-10. The eligibility criteria that apply to each fund and sub-fund can be found on the APEC website here: http://www.apec.org/Projects/Funding-Sources.aspx. POs should ensure that they understand these requirements, and contact the PD if clarification is required.

5-11. In cases where endorsement is sought from other fora in addition to the proposing forum (i.e. co-endorsement), POs are strongly advised to socialise such Concept Notes well in advance and in consultation with the PDs responsible for both the proposing and co-endorsing fora. POs must submit such Concept Notes to their forum PD in advance of the Internal Submission Deadline to enable the handling required to process co-endorsements.

5-12. POs need to place significant importance on the preparation of project budgets at the Concept Note stage. The APEC-funded amount requested at the Concept Note stage is treated as the funding cap for the corresponding full Project Proposals. Any increases in costs at the full proposal stage would need to be borne by, or sourced through, the proposing economy and/or co-sponsoring economy. POs should develop accurate and detailed budgets at the Concept Note stage in order to ensure that the amount requested in a full proposal will remain within the in-principle amount approved by the BMC. POs

should review the Guidebook to ensure all proposed budget items are fully considered.

Step 4. PO submits endorsed Concept Note to the Secretariat by the **Final Submission Deadline.**

5-13. Concept Notes that have satisfied all of the requirements set-out in Steps 1-3 above must then be submitted through the PD to PMU by the Final Submission Deadline, as agreed by BMC and advertised on the APEC website at this address: http://www.apec.org/Projects/Applying-for-Funds.aspx. Submission deadlines internal to fora which precede the Final Submission Deadline may be set by PDs. Fora-specific deadlines will be communicated to POs by PDs or via the APEC website.

5-14. The Secretariat checks all Concept Notes for compliance with APEC guidelines before proceeding to Stage 2.

## Stage 2—Eligibility Assessment and Scoring of Concept Notes

Step 5. The Secretariat allocates Concept Notes to Senior Officials or one of the Responsible APEC Fora, on the basis of fund or sub-fund. Concept Notes are then assessed for eligibility and scored by Senior Officials, or by one of the Responsible APEC Fora, using the agreed assessment criteria.

5-15. Following the Final Submission Deadline, the Secretariat collates project descriptions and sorts Concept Notes according to fund or sub-fund. Depending on the nominated funding source, the Secretariat presents this information to Senior Officials, or the Responsible APEC Fora, along with the APEC Scoring Template. The APEC Scoring Template is available on the APEC website.

5-16. A Concept Note will be ineligible if any economy decides that it does not meet the eligibility criteria that applies to the funding source in question. If a concept note is considered ineligible, reasons should be given. If a Concept Note is ineligible it cannot proceed in the selection process. Ineligible Concept Notes may be re-submitted at a subsequent Project Session.

5-17. Eligible Concept Notes will be scored using the APEC Scoring Template. This is done by allocating a score against each of the agreed assessment criteria on the Template.

5-18. The Secretariat collates the scores provided by each fora member, or Senior Official or delegate, for each eligible Concept Note. The Secretariat will calculate the average of all the scores given by fora members for each eligible Concept Note. The eligible Concept Notes will then be ordered according to the average score, from highest to lowest. The Secretariat will then calculate which Concept Notes can be funded based on the order of scores, and in consideration of the total amount available for the fund or sub-fund in question.

5-19. All Concept Notes to be recommended for in-principle funding must be funded wholly from the balance of the funds available. For example, an account may

have enough funds to fully fund the top three Concept Notes, but not enough funds to support the fourth ranked Concept Note in entirety. Therefore only the top three scoring Concept Notes would be recommended for in-principle approval. Concept Notes cannot be adjusted in value to facilitate placement in the in-principle funding recommendation.

### Step 6. Concepts Notes calculated for in-principle funding are submitted to BMC for approval.

5-20. The Secretariat makes a recommendation to BMC regarding which Concept Notes can be funded, as determined through the process described at 5-16 and 5-17. BMC approval is given on an in-principle basis, as it subject to final endorsement and approval of the Project Proposal.

5-21. For those Concept Notes where BMC provides in-principle funding approval, POs are invited to work with the Secretariat to submit Project Proposals within the specified Project Proposal deadline, as agreed by BMC. Final approval is subject to the full Project Proposal receiving a “satisfactory” quality assessment during the full proposal stage. This proposal assessment stage is detailed below.

5-22. Unsuccessful POs are notified that they can resubmit their Concept Note in a future project session. All resubmitted Concept Notes are treated as new submissions and must pass through the full project selection process, including all required endorsements.

## Stage 3—Quality Assessment of Project Proposals

### Step 7. PO develops a full Project Proposal and submits to the Secretariat.

5-23. After a Concept Note receives in-principle approval, the PO has until the specified deadline to develop the Project Proposal. Project Proposals that are not submitted by the deadline will be given a grace period of one week following the deadline, after which they will be considered withdrawn and ‘in-principle’ approval will be revoked.

5-24. Project Proposals are to be completed using the template at **Appendix B**. Proposals must be succinct. Each Project Proposal should not exceed 12 A4 size pages, including the budget and title page. The budget will be prepared in accordance with the guidance provided on allowable and non-allowable expenses for APEC projects as detailed in the Guidebook. The budget should also clearly reflect any waivers that the PO is seeking approval for from the Secretariat and BMC. Waivers will be approved by the Secretariat or BMC in accordance with APEC guidelines during the Project Proposal approval stages.

5-25. The PO is encouraged to work with the Secretariat to achieve a “satisfactory” quality according to APEC’s quality criteria, outlined below. Further information on APEC’s quality criteria are as follows:

- ***Relevance –*** the link to APEC’s goals, as well as those of the fora and the relevant funding account.

- ***Effectiveness –*** the likelihood of a project meeting its stated objective(s).
- ***Efficiency*** – cost-effectiveness: the value of the outputs (services, goods) in relation to the inputs (cost of resources).
- ***Impact*** – who the beneficiaries are and how they will benefit.
- ***Sustainability*** – the extent to which benefits of a project are likely to continue to be evident after the project has finished.

Further information on the APEC quality process is at **Appendix D**.

5-26. Proposals must be prepared in line with the guidelines and requirements in the Guidebook. Failure to do so may result in proposals not being recommended, difficulties during implementation, or non-payment of claims following completion.

5-27. The POs should ensure that their project maximizes the following cross-cutting methodologies identified in the Framework to Guide ECOTECH Activities:

- Development of human capital / capacity building (**Appendix J and K**).
- Linkages between APEC economies.
- Gender equality (**Appendix G**).
- Engagement of other APEC fora, APEC Business Advisory Council (ABAC), the private sector, and other multilateral organizations.

Step 8. POs, through the relevant PDs, submit the Project Proposal to the proposing forum for comments and subsequent endorsement.

5-28. POs must secure the endorsement of their forum for the Project Proposal to be eligible for APEC funding. Comments may be provided by the forum during the endorsement phase to improve the quality of the Project Proposal, subject to 5-24 above.

Step 9. PO submits the endorsed Project Proposal to the Secretariat for quality assessment.

5-29. The PO submits the endorsed Project Proposal to the Secretariat.

5-30. The Secretariat assesses the quality of each Project Proposal. The assessment is undertaken by PMU in consultation with the PO and the relevant PD.

5-31. All proposals assessed by PMU must earn a “satisfactory” rating under each criterion before they can be recommended to BMC for funding approval. Refer to 5-26 above. The PMU’s assessment of “relevance” is based on members’ endorsement of Concept Notes. PMU will also ensure that the project fully meets the funding requirements under each of the APEC accounts (whether they are TILF or ASF and the ASF sub-funds).

Step 10. BMC (or SOM if appropriate) approves or rejects Project Proposal for funding.

5-32. On the basis of PMU’s assessment, the Secretariat makes a recommendation for the BMC’s approval for all projects with a value of up to USD200,000. The

proposals are recommended for BMC approval according to agreed BMC deadlines. Approval of projects exceeding this threshold will be submitted for SOM's approval through the BMC. SOM are given one week to endorse proposals.

5-33. The BMC makes decisions on project funding between its meetings. Members consider the quality of proposals as assessed by the Secretariat, when making decisions.

Projects that are **approved:**

5-34. Following BMC approval of a proposal, the Secretariat provides the PO with a letter of acceptance which confirms BMC approval of the project and details issues for the PO's consideration when implementing the activity. These details include issues raised in the Quality Assessment sheet. By signing the acceptance letter, the PO agrees to implement the project in accordance with the scope and budget approved by the BMC. The letter must be signed and returned to the Secretariat prior to the commencement of the project.

Projects that are **not approved:**

5-35. If the Secretariat judges that a proposal has not achieved "satisfactory" quality, it refers the proposal to the BMC for discussion at the final deadline. The Secretariat provides members with a written justification for its assessment. The PO is then invited to submit a written explanation addressing the issues raised by the Secretariat and highlighted in the Quality Assessment. Using these justifications and any supporting evidence, BMC members' views are sought if they concur with Secretariat recommendations. If a BMC member disagrees with the Secretariat's recommendation, they are required to provide an explanation, with reference to the APEC quality criteria, for discussion by all BMC members. BMC members not responding within a two-week deliberation period are assumed to have endorsed the Secretariat's recommendations.

5-36. Should BMC find that the project has achieved APEC's minimum quality standards the project will be approved for funding (with any conditions it deems appropriate). If the project is found to be unsatisfactory, members will return the decision to the Secretariat and the PO for further review, for a period not exceeding two weeks; or decide to revoke their in-principle agreement to fund the proposal. If in-principle agreement is revoked, the Concept Note may be resubmitted. All resubmitted Concept Notes are treated as new submissions and must pass through the full project selection process, including all required endorsements.

5-37. A "Two-Strike Rule" will apply to proposals that have been granted in-principle approval but fail to reach quality at the full proposal stage for the second time during separate approval sessions. Concept Notes for such projects, submitted by the same POs, will not be considered in future rounds. Note that this will apply only to full proposals that had obtained in-principle approval. Concept Notes that have not obtained in-principle approval may be submitted again, without limitations. This rule will not put at a disadvantage proposals

that could not be funded due to limited funds available, but would prevent undue time spent on those proposals that repeatedly fail to improve quality.

# 6. Project Implementation and Monitoring

## Stage 4—Implementation and Monitoring

Step 11. PO implements project in consultation with the proposing forum and the Secretariat.

6-1. Responsibility for the management of the project rests with the PO, including ensuring adherence to funding guidelines and project milestones. The PO may form a steering committee for the project, depending on the complexity of the project. The steering committee may include representatives from project co-sponsoring economies, forum members, representatives of relevant multilateral organizations, and private sector stakeholders. The steering committee or the PO must finalize the details of the project, including the timing and venue of events, participants, and any procurement as required.

6-2. If a PO cannot continue in the role, the Secretariat must be informed of the successor, including the individual's name, post, and contact details. It is also the responsibility of the outgoing PO to brief the incoming PO on the progress of the project and the status of financial commitments and claims.

Step 12. PO monitors project implementation.

6-3. Monitoring and evaluation plans are a required part of every Project Proposal. In order to monitor progress against those plans, the PO keeps the PD and PE regularly informed of progress in implementing the project (at least every two months).

Step 13. PO submits Monitoring Report to Secretariat through the relevant PD.

6-4. All APEC-funded projects are monitored on an annual cycle to ensure that they are progressing in line with the timeframes, budgets and methods presented in the Project Proposal. The PO is responsible for completing the Monitoring Report using the required template (**Appendix E**). POs are encouraged to contact their PDs as early as possible in preparing Monitoring Reports for advice and assistance.

6-5. Monitoring Reports are due for all active APEC-funded projects on 1 April each year, however the Secretariat may propose 1 October as an alternative due date, in consideration of specific project implementation time-lines. Monitoring Reports must be submitted annually, regardless of how long the project has been underway. Projects approved in 2017 and earlier are required to still report twice-yearly. The relevant PD and PE are encouraged to comment on the Monitoring Report.

6-6. The Monitoring Report is a key part of APEC's monitoring and evaluation framework. It allows for the collection and analysis of relevant information

during project implementation. This can improve the efficiency and effectiveness of a project by keeping track of project progress and addressing any problems which may cause delays or the termination of projects. Monitoring Reports will be presented to the relevant fora.

6-7. A summary of APEC project Monitoring Reports is submitted to the BMC on an annual basis. The summary report may contain the following issues:

- Projects that are likely to run for over six months.
- Projects performing well that have important lessons to contribute to future projects.
- Projects that are likely to have follow-up activities or extensions.
- Innovative or pilot projects.
- Controversial or problematic projects which may provide important lessons for other projects.

# 7. Project Completion

## Stage 5—Project Completion

Step 14. PO evaluates the project following the approach set out in the Project Proposal and/or the Project Evaluation Survey.

7-1. Every effort must be made to complete projects by the **Project Completion Date** (PCD) as indicated by the PO on the Project Proposal. This is the date by which all project outputs have been delivered and the project work plan fully implemented, including any outputs supported by self-funding. All project and contract related payments must be paid, and all reimbursement claims must be resolved, before the PCD. POs must ensure that all financial documentary requirements are submitted to the Secretariat no later than 6 weeks before the PCD. Please refer to **Chapter 10: General Disbursement Procedures** for more information on disbursement processes.

7-2. APEC projects are expected to run between 18 and 21 months from BMC approval to completion, and are implemented across two to three APEC financial years. (An APEC financial year is 1 January to 31 December).

7-3. The PCD identified by the PO will typically be defined in reference to the relevant project session. Projects selected in the first project session of the year will complete by 31 December the following year. Projects selected in the second project session of the year will complete by 30 June in the second following year. For example: Project Proposals approved by BMC in July 2018 (under the first project session of the year) will be completed by 31 December 2019. Project Proposals approved in October 2018 (under the second project session) will be completed by 30 June 2020. A project may also be deemed completed if it is terminated or suspended by either BMC or SOM.

7-4. POs can identify earlier project completion project dates if they are confident that the project can be implemented in advance of the standard end dates of 31 December and 30 June, but thought should be given to providing adequate time to fully implement the project, including the finalisation of project disbursements. Earlier project completion dates are subject to approval by the Secretariat during the review of the endorsed Project Proposal.

7-5. The PCD may be extended subject to the guidelines set-down in **Chapter 11: Changing a Project**. The processes described above at 7-1 to 7-4 shall commence effective Project Session 1, 2019.

Step 15. PO submits Completion Report to Secretariat.

7-6. All completed APEC projects must submit a Completion Report. The template for Completion Reports is at **Appendix F**. Completion Reports must be submitted within two months of the PCD. Completion Reports may be submitted early provided all aspects of the project have been implemented according to the work plan, and all disbursements have been completed. In these cases, POs must consult their PDs to check that all completion requirements have been met, before submitting the Completion Report.

7-7. POs must first submit Completion Reports to the APEC Secretariat through their forum PD. It is important to provide frank and accurate information in the Completion Report. The Secretariat will review the Completion Report and provide feedback to the PO, for example, if information is missing or the report is unclear. Once the Secretariat review of the Completion Report has been completed, and the report updated where required to the satisfaction of the Secretariat, the forum PD will circulate the Completion Report for comment by forum members and finalisation. Engagement by forum members in reviewing the Completion Report is strongly encouraged.

7-8. Project completion is a crucial stage of the project cycle. Completion Reports are an important tool to show concrete results to all stakeholders and accumulate knowledge and lessons learned to inform future activities. Reports should contain sufficient qualitative and quantitative data on outputs and outcomes achieved to substantiate the assessments. Apart from measuring the achievements of objectives and relating these to project costs, this document provides POs with the opportunity to document activity achievements and performance data.

7-9. Part of the project monitoring and evaluation component for each project is a plan to measure the achievement of the project objective. This plan will be project-specific, and include measurable indicators that can be tracked to determine progress towards project objectives. The PO will evaluate the project's objective against agreed plans and, if timely, include these results in the completion report.

7-10. Evaluation data needs to be included as an appendix to each report. This can be done through a participant survey, a peer review of outputs, assessments again indicators, statistics of use, etc. An example APEC Project Evaluation Survey is provided in **Appendix H**.

7-11. Completion Reports should contain, at a minimum, key information on project findings and outcomes against the agreed objectives, lessons learned, reconciliation of expenditures, assessment of post-activity evaluations conducted and participant feedback, ideas for follow-up activities and prospects to improve the project's sustainability. Completion Reports should also contain links to any associated information products such as APEC Publications, project summaries, final reporting, best practice guidelines, guidebooks and so forth. The information contained in Completion Reports will be used to determine what additional measures and capacity-building requirements are needed to sustain the benefits derived from the project. In 2013, BMC approved a framework for the **Longer-Term Evaluation Framework of APEC Projects** (LTEAP). The purpose of the LTEAP is to establish, on a collective and systematic scale, the degree to which APEC capacity building projects have made an impact beyond their completion dates. PMU conducts the LTEAP on an annual basis, by inviting a wide cohort of POs and project participants to undertake a short survey in relation to their completed project(s). The survey results are used to inform further analysis. All POs are expected to take part when contacted, and POs are requested to

raise awareness of the LTEAP during project events, to help deliver a high rate of survey participation by project participants.

7-12. The Secretariat provides BMC of a list of APEC projects that have not met Completion Report requirements. Following SOM authorization, BMC has the authority to bar any forum failing to submit a Completion Report from putting forward a new Concept Note or proposals in any upcoming project approval sessions until the report has been submitted. See below for further details.

## Noncompliance with Monitoring and Completion Reporting Requirements

7-13. The APEC Secretariat informs the BMC of any APEC-funded project that does not provide a Monitoring or Completion Report on time.

7-14. POs with outstanding Monitoring Reports are ineligible to submit new Concept Notes or have any proposal approved until all overdue Monitoring Reports are submitted. Any APEC forum whose projects have not met Completion Reporting requirements are ineligible to submit new Concept Notes or have any full proposal approved until all overdue Completion Reports are submitted.

7-15. BMC members may grant an exception to penalties for noncompliance. To facilitate exceptions the following procedures will be followed:

- Three weeks before the submission deadline of each project approval session, the Secretariat provides a report to BMC members detailing POs with overdue Monitoring Reports and fora with overdue Completion Reports.
- Simultaneously, the Secretariat notifies the fora and POs with outstanding reports that they may not submit new Concept Notes for consideration unless all reports are lodged with the Secretariat before the deadline or an exception is obtained.
- Within one week, Forum Chairs, Lead Shepherds, and Convenors (or their nominated representatives) may appeal the penalty to the BMC and seek an exception to the PO or forum being prevented from submitting Concept Notes for that project approval session.

7-16. Exceptions can be granted only through a consensus decision by the BMC. These decisions normally will be made between BMC sessions.

7-17. POs and fora may usually request no more than one exception in any one calendar year. POs and fora must provide an exceptional case to be granted more than one exception in any calendar year.

# 8. Multi-Year Projects

**Please Note: Multi-year projects are not currently available for funding. Pilot multi-year projects are being implemented and no further projects will be funded until the pilot projects have been evaluated.**

8-1. APEC Ministers and officials have reinforced the importance of longer-term, more strategic projects as a way of more effectively building capacity in member economies to make the most of international trade. BMC agreed to pilot a limited number of multi-year projects from session 2, 2011.

8-2. Multi-year projects have a different standard for eligibility from standard APEC projects. All multi-year projects must meet the following requirements:

| Criteria | Requirement |
|---|---|
| Type | A single initiative that is usually broken down into phases or has multiple elements. The initiative must seek to build the capacity of members to reach strategic goals. |
| Amount | A maximum of USD500,000 of APEC funding can be approved for each multi-year project. |
| Duration | Fund disbursement over a maximum of five calendar years. The usual extension rules apply to multi-year projects. |
| Proposing forum | Only SOM, Committees or SFOM may propose a multi-year project. Sub-fora, working groups, task forces, and etc. must go through their relevant Committee. |
| Proposing economy | A proposing economy will lead the multi-year project. This includes nomination of a PO and responsibility for reporting to the relevant APEC fora. |
| Co-sponsoring economies | A minimum of 11 economies out of the 21 APEC member economies must volunteer to co-sponsor a multi-year project.<br>Co-sponsorship contributions can take place in a number of ways, including: volunteering to participate in the project Steering Committee; leading certain aspects of the project; providing dedicated staff or other resources such as hosting; and offering co-funding contributions in cash or in kind. |
| PO | The PO will normally come from the proposing economy. The PO is accountable to the proposing forum, but should also provide reports to other fora involved in the project. |
| Co-funding | A minimum co-funding level of 50% for developed economies and 20% for developing economies will be applied for GPA and ASF projects. |

| Criteria | Requirement |
|---|---|
| | The current requirements for co-funding will be applied for TILF projects.<br>The level of co-funding needed for each multi-year project will be determined by the economy proposing the project. |
| Strategic priority | There must be clear evidence that the project is a priority under the forum's strategic plan and other broader APEC agendas. |
| Fora involvement | Close cooperation from a minimum of two APEC fora in planning and implementation is required. |
| Involvement of non-APEC stakeholders | There must be clear evidence that relevant external stakeholders (such as ABAC) are included in the project planning and implementation. If the proposing forum or economy can demonstrate that no other stakeholders need to be involved, then this criterion may be waived. |

## Submission and Selection of Multi-year Projects

8-3. Multi-year projects will follow a similar selection procedure as described for standard projects, with some modifications:

8.3.1. Multi-year Project Proposals must first be presented as a Concept Note, and endorsed at the Committee, SFOM or SOM levels.[2]

8.3.2 The Secretariat will check all multi-year project Concept Notes for compliance with the requirements outlined in clause 8.2.

8-4. POs of the highest priority Concept Notes will subsequently be invited by BMC to develop full proposals for quality assessment by the Secretariat. Proposals must be of satisfactory quality before being recommended for approval by BMC or SOM (depending on the amount of funds requested).

8-5. Acknowledging the additional complexity and planning needed for multi-year projects, POs will have up to three months from notification of in-principle approval to develop full proposals to satisfactory quality.

8-6. During this pilot stage, approval of multi-year project Concept Notes will be limited to three per approval session.

8-7. Multi-year projects may be funded from any APEC project fund. Multi-year project funding will be released on an annual basis, with multi-year projects receiving priority in each fund's annual allocation.

[2] As per the guidelines for standard APEC projects, prior to submission of a multi-year project Concept Note, Committee and sub-fora endorsements and co-sponsoring economies must be secured.

## Implementation of Multi-year Projects

8-8. Multi-year Project Proposals will largely be implemented under the same rules as standard projects, however multi-year project POs must provide additional information on project progress and funds disbursement through the annual monitoring report (template at http://www.apec.org/Projects/Forms-and-Resources.aspx). This will provide BMC with the information needed to determine the necessary level of funding required by that project in the next calendar year.

8-9. Termination of multi-year projects may be considered any time. Multi-year projects may be terminated before their notional end dates. Termination may take place for the following reasons:

8.10.1 At the request of the proposing forum;
8.10.2 Reduced relevance, as assessed by SOM, Committee or SFOM;
8.10.3 Significant reduction in self-funding, as reported by the Secretariat;
8.10.4 Significant reduction in involvement of co-sponsoring economies, other APEC forum or non-APEC stakeholders, as assessed by the SOM, Committee or SFOM;
8.10.5 Poor project performance or mismanagement, as reported by the Secretariat; or
8.10.6 Insufficient funds at APEC's disposal for the project, as determined by BMC. In this case, BMC may consider continuing the project in a modified form.

8-10. This pilot stage of multi-year projects was reviewed in 2014. This review examined the policy parameters and processes used to manage multi-year projects. It is envisaged that agreed changes be implemented in 2015.

## Multi-year Project Forms

- For multi-year project Monitoring Report and Completion Report templates, see the APEC projects webpage: http://www.apec.org/Projects/Forms-and-Resources.aspx
- For multi-year project Concept Notes and Project Proposal templates, please contact your PD or PMU.

# 9. APEC Project Expenses

9-1. The general principles for the financial management of the APEC funds are:

- ***Accountability***: All financial transactions must be appropriately documented.
- ***Best value*** should be obtained for APEC funds.
- ***Openness***: Whenever practical, contracts, procurement and grants should be open to all APEC members.

9-2. APEC project funding covers the following four main areas:

- Labour and personnel (i.e. contractors) costs.
- Travel expenses.
- Publications and distribution costs.
- Project event costs.

## Labour and Personnel (i.e., contractors)

9-3. Labour costs are paid under a contract entered into with the APEC Secretariat before the work commences. Refer to **Chapter 12: Contracting** for information on APEC contracting and procurement policies.

9-4. All payments are made upon satisfactory completion of tasks, or milestones, as detailed in the contract agreed between the contractor and the APEC Secretariat.

### Allowable Expenses

9-5. APEC will reimburse the costs of the following:

- Event or project organization;
- Research;
- Translation of training materials into English. A strong justification is required for approval by the Secretariat indicating that the translation is of benefit to more than one economy (note that APEC does not fund translation into non-English languages);
- Short-term clerical and administrative support for conferences, symposia, workshops and seminars;
- Honoraria, to a maximum of USD1,500 per expert, per event, are allowable for experts. (An expert in the APEC context is defined as follows: trainers, moderators, speakers, and presenters who contribute at an expert level at an APEC event.) If an honorarium is to be accorded, the request is to be specified at the time of confirming the expert's participation at the APEC event, in the form of a duly signed travel or work undertaking. APEC will not accept requests for payments of honoraria retrospectively. Please refer to 10-5 for further details; and
- The design and development of websites, databases and other online resources may be funded should there be a strong justification provided by the PO on how maintenance costs will be met with non-APEC funds.

### Non-Allowable Expenses

9-6. The following expenses are **strictly non-allowable** for APEC project funding.

- Honoraria for government officials (from both APEC and non-APEC economies), international organization officials and anyone otherwise engaged to work on an APEC-funded project (such as contractors or POs). Government officials include public officers, such as political appointees and career civil servants, employed by the government of the respective economy. Academics whose remunerations are paid by the government may be exempted from this restriction if they undertake that the receipt of the honorarium will not contravene any relevant laws, regulations or rules in their economies.
- Translation of project outputs or reports, associated equipment or any other expenses thereof.
- Maintenance costs for websites, databases and other online resources including servers after the completion of the APEC funded activity.
- Funding the fees of a contractor to manage and/or maintain websites, databases and other online resources including servers.

### Exceptions to Non-allowable expenses

9-7. The Secretariat approves waivers on some non-allowable expenses such as **simultaneous interpretation costs**, in line with the guidance provided below. Simultaneous interpretation costs that may be funded by APEC include the engagement of individuals as simultaneous interpreters, or in the case of companies or organizations, to provide the simultaneous interpreters, and the rental of any supporting equipment. The cost of associated equipment rental must be clearly set-out in the quotation.

9-8. The request to fund simultaneous interpretation costs will be considered by the Secretariat on a case-by-case basis and in line with the guidance provided in 9-9, below. All requests for waivers need to be detailed in **Section E** of the APEC Project Proposal. Failure to do so may result in the waivers not being considered and funded.

9-9. In seeking a waiver to allow simultaneous interpretation, the PO needs to clearly demonstrate in the Project Proposal that:

- The waiver is sought under exceptional circumstances which may involve cases where individuals with limited English language skills are nominated as speakers or as experts on a particular topic;
- The availability of an alternative expert/s with appropriate language skills and comparable skills and expertise is limited;
- The benefits of the service are available to all participants of the 21 economies; and
- The interpretation costs are deemed by the POs as being appropriate for the size and scope of the project.

9-10. Should the justification for the waiver for simultaneous interpretation costs be deemed as being insufficient or not significant enough to warrant immediate

approval by the Secretariat, the Secretariat will refer the request to BMC for final endorsement.

9-11. Simultaneous interpretation services must be subject to a work-undertaking or a contract, and are subject to the provisions of Chapter 12 of this Guidebook. This includes the stipulation that the Secretariat must approve, before the contract is signed, all applicable ToR or Scope of Services.

9-12. Given their unique nature, APEC New Strategy for Structural Reform (ANSSR) and Renewed APEC Agenda for Structural Reform (RAASR) projects are exempted from the requirement of justifying the translation of training materials and simultaneous interpretation on the ground that the translation/simultaneous translation services are of benefit to more than one economy in paragraph 9-5 or the benefits are available to all participants of the 21 economies in paragraph 9-9.

### Contractor Tasks

9-13. All direct labour costs, relating to the delivery of specific project outputs, that are managed and delivered by a contractor should be contracted out as one single package for administrative and management efficiencies. The contracting of these labour costs will be in accordance with APEC procurement policies which are detailed in Chapter 12.

These costs may include (but will not be limited) to the following:

- Translator's fees;
- Researcher's fees;
- Fees for short-term clerical assistants' or secretarial fees;
- Fees for simultaneous interpretation; and
- Fees for event management, such as project logistical management.

9-14. Approval to contract these elements as individual items may be provided under exceptional circumstances through the Secretariat. The waiver request should include a strong justification detailing the reasons for contracting out the tasks separately and how this approach can achieve cost and administrative efficiencies. Should the justification be deemed unsatisfactory, the Secretariat will seek approval from BMC.

9-15. Current government employees and employees of International Organizations should not be engaged in contracts to provide labour in any form through an APEC-funded project to avoid potential or perceived conflict of interest. This includes contracts providing honoraria. The PO is responsible for ensuring that the preferred contractor is not a government employee.

9-16. A waiver can be sought and final approval granted under special circumstances for government institutions to engage in contracts to provide labour through an APEC-funded project. Approval will be granted by the Secretariat based on a strong justification. Should the justification be deemed unsatisfactory by the Secretariat, BMC approval will be sought.

# Travel Expenses

9-17. Travel expenses include both the cost of traveling to a location and the per diem allowance.

### Eligibility

9-18. Travel expenses are paid only to the following APEC-funded travelers:

- Participants
- Experts
- Contractors

### Participants

9-19. Participants are categorized as event attendees with specific, substantive, planned tasks that add value to the event, such as providing a description of practices in their own economy or examples for consideration as best practice. Participants also help to disseminate the knowledge gained on returning to their economies.

9-20. Participants can be government officials, representatives from the private sector or civil society, academics, or other stakeholders from travel-eligible economies. Refer to the APEC non-member participation guidelines for further guidance on the participation of civil society representatives, academics or other external stakeholders from APEC member economies. The support for travel expenses is not available to any participant from non-APEC economies, whether from government or non-government sector.

9-21. The following 11 APEC member economies are considered “travel-eligible” APEC economies:

- Chile
- China
- Indonesia
- Malaysia
- Mexico
- Papua New Guinea
- The Philippines
- Peru
- Russia
- Thailand
- Viet Nam

### Experts

9-22. “Experts” cover trainers, moderators, speakers, and presenters who contribute at an expert level at an APEC event.

### Contractors

9-23. A contractor is defined as an individual or organization contracted by APEC for the provision of an APEC-funded task or activity. Refer to Chapter 12 for more information.

### Transportation

9-24. APEC funds travel between cities on the following basis:

- The most **direct and economical flight** (or other travel means) is used;
- Economy class travel is authorised for all participants;
- Business class travel may be approved for experts, but only when travel exceeds 12 hours from airport to airport and sufficient funds are available within the approved project budget; and
- For purposes of payment, "airfare" refers to the basic price of the passenger ticket inclusive of baggage and 1 meal per flight plus the related mandatory taxes, surcharges, and processing fees.

9-25. Requests for mileage in lieu of air fare will be considered by the Secretariat on a case-by-case basis, subject to the provision of justifications from the PO. Where the request will be granted, the Secretariat shall make reference to the mileage rate adopted by the civil service in the economy of origin or economy of destination, depending on the circumstances of the travel.

9-26. POs must communicate the limitations and requirements on funding travel costs to the APEC-funded traveler.

### Per Diem

9-27. APEC travelers entitled to per diems are APEC-funded participants from travel-eligible economies, eligible experts, and contractors engaged under an APEC contract that includes a per diem payment in addition to their payment rate.

9-28. Per diems are paid to cover expenses related to attending an APEC event or undertaking an APEC task outside of a traveler's home city. They are intended to cover costs such as hotel bills, meals, transportation, transfers, travel insurance, and departure taxes. The per diem is non-accountable, which means a traveler does not have to acquit the funds.

9-29. There are two types of per diem payments:

***Standard—***covering expenses incurred for attending the APEC event.

— **Amount:** *100% of the daily rate for the project event city.*
— **Period of time*:*** From the day before the commencement of the event or the day of arrival (whichever is later) until the last day of the project event or the date of departure (whichever is earlier).

***Exceptional—***provided only if a traveler requires accommodation for an unavoidable overnight transit.

— **Amount:** 100% of the daily rate for the transit city.
— **Period of time:** For the relevant day.

9-30. ***Rate of per diem:*** The rate varies according to the city in which the event is held. Per diem rates are based either on the latest release of the UN Schedule of Daily Subsistence Allowance Rates (noting that an *Elsewhere* rate may apply), which can be searched at:

http://apps.who.int/bfi/tsy/PerDiem.aspx, or the latest release of the US Department of State Foreign Per Diem Rate (if not listed in the UN Schedule of Daily Subsistence Allowance Rates), which can be searched at http://aoprals.state.gov/web920/per_diem.asp. If there is a discrepancy between a project proposal rate identified by the PO and the prevailing UN rate, or the US Department of State rate, the lowest rate shall prevail. During implementation, POs should ensure that per diems are not paid at a higher rate than that budgeted.

9-31. ***For example***: An eligible traveler attending a three-day workshop funded by APEC may receive a maximum per diem of 4.75 days X the per diem rate for the city in which the workshop is held. Depending on arrangements, POs may choose to budget for a lower per diem for the project event city, but not a higher rate.

9-32. The PO may seek the prior agreement from the Secretariat to waive the requirements in paragraphs 9-29, 9-30 and 9-31 with justifications, e.g., the total project cost will be saved if the traveler arrived in the city more than one day before the event, unavailability of flights, or the role of the traveler requires him/her to arrive more than one day before the event.

9-33. Where the PO requests a per diem rate higher than the prevailing UN rate, the PO has to demonstrate that:

- The room rates of the designated hotel takes up 80% or more of the prevailing UN per diem rate;
- There are no other suitable hotels in the city that offer cheaper standard room rates; and
- All APEC-funded participants will stay in the hotel designated by the PO. Supporting documentation showing that the participants have resided in the designated hotel will be required.

9-34. The Secretariat may agree to use APEC fund to cover the actual accommodation expenditure and to provide a specific percentage of the UN per diems to cover meal costs and other expenses. The percentage will be the non-accommodation-related portion of the full per diem rate, up to a cap of 40%. The discretion may only be made if budget is available for the project.

9-35. An additional one-off payment of 75% of the daily per diem rate for the project event city may be included in the project budget. If included by the PO, the one-off payment is intended to cover one-off costs associated with the travel, such as separate airport charges, land transfers (such as taxi fares) visa fee, insurance, transaction and reimbursement costs (such as bank charges, and goods and services tax). Where the travel of a Contractor involves visits to more than one location within the trip, the calculation of the additional one-off payment of 75% shall be based on the daily per diem rate applicable to the last city visited. This payment is also non-accountable.

9-36. All travelers claiming a per diem must sign a Per Diem form, certified by the PO, at the end of each day of an event as proof of attendance. Per Diem

forms can be found in the Forms and Resources folder on the “Projects” tab, APEC website.

9-37. POs must communicate the limitations and requirements on funding per diems to the APEC-funded traveler before travel commences.

9-38. POs must follow the process and timeline set out in this document for claiming and paying travel expenses. Failure to follow the required process and timelines may lead to a delay in payments, or partial or complete non-payment for costs that are not approved by the Secretariat.

9-39. At least four weeks before an event, the PO must provide the Secretariat, through the responsible PD and PE, with:

- Detailed information about the location of the event and the relevant per diem rate;
- An agenda of the event; and
- A complete list of experts and participants, and the tasks each is expected to perform in association with the event.

9-40. At least two weeks before the event, the traveler must provide to the Secretariat, through the responsible PD and PE, the travel itinerary and costs of travel. These must be approved by the Secretariat. On the basis of the approved itinerary and costs, the Secretariat prepares a travel undertaking, which is a simple contract detailing the amounts to be paid and the tasks that must be performed (a sample travel undertaking can be found under Implementation Resources on the project website).

9-41. At least one week before the event, the traveler must submit to the Secretariat through the responsible PD and PE:

- The signed undertaking agreeing to the detailed terms and conditions; and
- Clear payment instruction.

9-42. POs must ensure that each traveler submits a signed travel undertaking to the Secretariat by the deadline. Travel expenses are reimbursed only if there is a travel undertaking in place. Fares purchased before the undertaking is signed are purchased at the traveler’s own risk.

9-43. If required, visas must be secured before the purchase of tickets. It is the traveler’s responsibility to check visa requirements. Fares purchased before securing a visa are purchased at the traveler’s own risk.

### Allowable Expenses

9-44. APEC will meet the costs of the following:

- Travel expenses for a maximum of two participants per travel-eligible economy, and
- Travel expenses for a maximum of six experts each day provided they have a formal role at the APEC event.

9-45. The PO may seek the prior agreement from the Secretariat to waive the requirement on the number of experts in paragraph 9-44 with justifications.

### Non-Allowable Expenses

9-46. The following expenses are non-allowable for APEC funding:

- Travel expenses for additional experts exceeding the maximum of six experts each day of an APEC funded event,
- Travel expenses for POs,
- Airfares for travelers attending APEC funded project events held in the margins of an APEC forum meeting or held alongside any non-APEC funded or self-funded events when their attendance at the meeting would normally be funded by their own economy. However, APEC may provide per diem payments for the period covering the APEC funded event, including the arrival day (if the traveller arrived before the 1st day of the APEC event) and 75% additional payment, if budget is available,
- Additional travel expenses for travellers making additional/optional transits or extended transit stops for non-APEC events, or for travellers who want to fly on a preferred airline, and
- Discretionary/optional charges incurred by travellers, including but not limited to selection of seats, excess baggage, meals in excess of 1 per flight, etc.

### Exceptions to Non-Allowable Expenses

9-47. The Secretariat approves waivers on non-allowable expenses on a case-by-case basis. POs can seek waivers for the following exceptions:

- An additional number of participants exceeding two from each travel eligible economy may be funded to attend a project event under exceptional circumstances, including in the case of Renewed APEC Agenda for Structural Reform (RAASR) projects. This may occur where there are surplus spaces available because some invited participants from travel eligible economies are unable to attend. All travel eligible economies should have an equal opportunity to bid for these surplus spaces. The relevant PD should be contacted to investigate funding for more than two participants from each travel eligible economy and to seek approval from the Secretariat.

- An additional number of experts exceeding six each day, with justifications (please refer to paragraph 9-45).

- Travel expenses for POs (where POs themselves are identified as experts for the purposes of the project) may be funded only in exceptional cases and will be subject to the approval of the proposing forum, following consideration by the Secretariat. Waiver requests must be accompanied by a strong justification and a strategy for mitigating any perceived conflict of interest.

- All requests for waivers should be detailed in **Section E** of APEC Project Proposal.

## Publication and Distribution Costs

9-48. POs are responsible for ensuring that publication content (or the “work”) meets the requirements of all APEC policies and guidelines, including the APEC Publications Guidelines, APEC Style Manual and Accepted

Nomenclature, APEC Intellectual Property Policy, APEC Logo Guidelines, and APEC Website Guidelines. These documents apply regardless of whether the publication is APEC funded or self-funded.

9-49. APEC publications include books, research manuals, research studies/reports, working papers, conference proceedings, and basic information documents such as brochures and newsletters. The PO is encouraged to compare the costs of different publishing methods with a view to minimizing costs, while ensuring that distribution is appropriate. In any event, in the interests of efficient use of APEC funds, electronic publication is strongly preferred and a compelling reason must be given for the use of printed formats.

9-50. The content of any publication is the responsibility of the PO. Work submitted to the APEC Secretariat for publication must be high quality and not require any further copy-editing by the APEC Secretariat.

9-51. The most recent versions of the Publication Guidelines and other requirements governing APEC publications can be found at:

Publication guidelines: http://www.apec.org/About-Us/About-APEC/Policies-and-Procedures.aspx.

APEC Logo guidelines: http://www.apec.org/About-Us/About-APEC/APEC-Logo-Use.aspx

Website guidelines: http://www.apec.org/About-Us/About-APEC/Policies-and-Procedures.aspx

Intellectual property policy: http://www.apec.org/About-Us/About-APEC/Policies-and-Procedures.aspx

9-52. The PO is responsible for ensuring the satisfactory completion of all tasks detailed under the ToR, or Scope of Services where applicable, for the project. All publication content must be approved by the forum before the publication is submitted to the Secretariat for approval and payment.

9-53. The APEC Secretariat must be consulted on APEC publication policy and format requirements. Mock-ups of publication designs must be supplied to the APEC Secretariat before printing. Publications must follow APEC guidelines on publications, logo and intellectual property, or payment will be withheld.

9-54. Sending the electronic publication to the APEC Secretariat for uploading to the APEC Publication Database (http://publications.apec.org) is encouraged. The Publication Database serves as a resource and platform for wider dissemination.

9-55. Disbursement for publishing and distribution costs will be undertaken on a reimbursement basis and will be:

- Subject to the satisfactory completion of the Work as detailed in the contract milestones or Project Proposal;

- Upon receipt by the Secretariat of the originals or scanned copies of invoices stating the publication title, number of copies, and unit price that are certified as correct by the PO; and
- Upon receipt by the Secretariat of at least five hard copies (if applicable) and an electronic copy of the work (publication, report, training or multimedia material (e.g. CD-ROM, video). These must be produced in accordance with APEC's publication guidelines.

9-56. Publications may be coordinated by the Communications and Public Affairs team of the APEC Secretariat or by the contractor.

9-57. APEC does not fund the following:

- Translation Fee for the Final Project Report. Member economies should individually bear the cost of, and otherwise be responsible for, any such translation and distribution of project documents (refer Chapter 4 of the APEC Publications Guidelines);
- The reproduction of reports that are essentially collections of speaker and expert PowerPoint (or related software) presentations from the APEC project event. The cost for reproducing these presentations, whether in hard copy or in electronic formats, are to be self-funded.

## Project Event Costs

9-58. APEC will reimburse the majority of costs associated with project events such as workshops, seminars, training courses, and surveys. Amounts that will be reimbursed are capped at the level set out in the BMC-approved budget.

## Event Hosting

### Allowable

9-59. APEC will reimburse the costs of the following:

- Conference room and secretariat room rental;
- Stationery. APEC funds basic stationery, including nametags (badges). In providing stationery, items like pens with logos, nameplates, briefcases, USBs/memory sticks/flash drives, mousepads, and any items that are deemed by the Secretariat to be promotional or otherwise presented as gifts, are non-allowable APEC expenses, and are to be self-funded;
- Purchase or rental (whichever is cheaper) of specialized materials or equipment needed for the event;
- Banners used to advertise the project event. Please note that banners cannot be funded for TILF projects;
- Development of teaching and training materials for the activity (unless already covered by a contract or other budget item). Approval would be based on a strong justification that it benefits more than one economy; and
- Photocopying and communication costs (based on actual costs incurred and excluding service provider mark-ups).

### Non-Allowable

9-60. The following expenses are **strictly** not allowable for APEC project funding:

- Briefcases, souvenirs, flowers, USBs/memory sticks/flash drives, etc.;
- Banners, and/or any items, intended to promote products, services, organizations, ideas, etc., beyond the promotion of the project itself;
- Conference registration fees;
- Local transportation costs, including for airport transfers, or costs of sightseeing. Where a waiver for field trips has been granted, local transportation costs related to the field trips may be allowed by the Secretariat upon request of the PO (where budget permits);
- Standard office equipment such as computers (including laptops), printers, copiers, fax machines, scanners, and cameras are not considered "equipment" for the purpose of reimbursement. The PO may seek the Secretariat's agreement to incur expenses on the equipment listed above if the equipment was not used to support the daily office operation of the POs' or contractors' organization, such as in the case of holding a paperless meeting in the meeting venue;
- The ongoing maintenance of project equipment or materials after the project is completed; and
- Translation of (a) training materials for use and reference by participants at project events, and (b) surveys of research materials from languages other than English into English.

### Exceptions to Non-allowable expenses

9-61. The following expenses are non-allowable except where the Secretariat grants a waiver on a case-by-case basis:

- Meals. A waiver may be granted to allow for meals if a "package" cost for hosting is cheaper than a room-only rate. To claim a package rate, the PO must ask the Secretariat for a waiver to fund meals. The submission must be accompanied by quotations for both room-only costs, with or without coffee/tea breaks, and the package cost for the same venue and days. Waivers may be approved by the BMC or Secretariat depending on the significance of the request. For avoidance of doubt, refreshment in coffee or tea breaks does not fall under the definition of meals.
- Field trips. Approval of field trips will be granted on an exceptional basis; on an assessment of the individual merits of the case and a strong justification on how the visit would support the delivery of project objectives.
- Translation of (a) training materials for use and reference by participants at project events, and (b) surveys of research materials from languages other than English into English - the request for waiver is subject to strong justification that it benefits more than one economy.

All requests for waivers should be detailed in **Section E** of the APEC Project Proposal.

# Surveys and Research

## Allowable

9-62. APEC will reimburse the costs of the following:

- Books and documents necessary for research (including postage);
- Purchase or rental (whichever is cheaper) of equipment or materials needed for the survey or research, and
- Translation of training materials for project events (e.g. workshops, seminars and the like), survey or research materials into English language. A strong justification is required for approval by the Secretariat indicating that the translation is of benefit to more than one economy (note that APEC does not fund translation into non-English languages).

## Non-allowable

9-63. The following expenses are not allowable for APEC project funding:

- Standard office equipment such as computers (including laptops) printers, copiers, fax machines, scanners, and cameras are not considered “equipment” for the purpose of reimbursement.

# 10. General Disbursement Procedures

10-1. POs should bear in mind that all disbursements for a project must be made before the Project Completion Date (PCD). Since remaining project funds are immediately returned to APEC central (or consolidated) funds after the PCD, no payments can be made after the deadline has passed. If the PO anticipates that the project cannot be completed and/or claims cannot be reimbursed before the PCD, the PO should consult the relevant PD at the APEC Secretariat at least six weeks before the PCD to discuss extension options (subject to **Chapter 11: Changing a Project**).

10-2. When making a claim, claimants must submit all necessary documents, instructions for payment (account name and number, bank name and branch address, and any identifying codes) and a covering note detailing the claims being made. All claims must be in English, including receipts. Claims will normally be processed within 20 Singapore working days subject to the fulfillment of all documentary requirements.

10-3. The PO must certify all claims for payment for satisfactory completion of tasks before the claims are presented to the APEC Secretariat.

10-4. In the case of payments to contractors, the payments will be subject to the satisfactory completion of all tasks relating to the proposed scope of the activity and as agreed in the ToR for the activity.

## Claiming Payment—Honoraria

10-5. To claim payment for honoraria, claimants must send the Secretariat the following documentation:

- Certification from the PO stating that the expert's task as set out in the undertaking has been satisfactorily completed; and
- Signed undertaking with payment instructions (bank name, bank codes, account name and number) in English.

## Claiming Payment—Travel Expenses

10-6. To claim reimbursement for travel expenses, claimants must send the Secretariat the following documentation:

- Certification from the PO that the APEC-funded traveler has traveled and performed the tasks as an expert or participant, or has travelled in accordance with the contract in place with APEC as applicable;
- Evidence from the APEC-funded traveler of the actual travel cost incurred (e.g., e-ticket, air ticket or train ticket receipt); and
- Signed undertaking (for experts/participants) or Contractor's Travel Reimbursement Form (for contractors, if provided in the contract) with

payment instructions (bank name, bank codes, name of account holder and account number), in English.

## Claiming Payment—All Other Payment Types

10-7. To claim all other payments, claimants must send the APEC Secretariat:

- An official invoice in English issued by the party receiving the payment (except in cases of approved payments to third party), stating payment instructions (bank name, bank codes, name of account holder and account number) and details of the service, goods, task or milestone being claimed;
- For direct labour payments, a written certification from the PO stating that the specific task in a contract or undertaking has been completed satisfactorily in accordance with the agreed ToR and contract. Should the tasks as outlined in the agreed ToR and contractual agreement not be completed as required, APEC reserves the right to decline the payment;
- For project event costs, a written certification from the PO stating that the event has been satisfactorily completed and the costs have been incurred by the payee in the course of the event, or that the payee is entitled to receive payment for services rendered and/or goods delivered; and
- Receipts or other evidence of costs incurred for expense items funded by APEC.

10-8. Claims for payment are not processed until all necessary paperwork and certifications are completed and received by the Secretariat.

10-9. The PO must not enter into any financial commitment or arrangement until they have received written approval from the Secretariat. The Secretariat will not be liable for any unauthorised commitment.

10-10. For claims under individual budget items which are below USD500, submission of receipt or other evidence of cost incurred is not required. Claims will be paid on the basis of an official invoice from the PO's organization. Claims of this nature are allowable only once for each event. All disbursements are made in USD. The APEC Secretariat is not responsible for losses caused by fluctuations in exchange rates, nor does it require reimbursement of gains earned by fluctuations in exchange rates.

10-11. For travel-related payments in currencies other than USD, the exchange rate for calculating the equivalent amount in USD will be the rate indicated in the travel undertaking, or the rate stated in the airfare invoice/receipt, or the prevailing exchange rate on the traveller's arrival date determined at the discretion of the Secretariat, in order of priority. For other types of payments, the exchange rate will be the rate stated in the invoice, or the prevailing exchange rate on invoice date determined at the discretion of the Secretariat, in order of priority.

10-12. The APEC Secretariat will absorb Singapore-based bank charges associated with all disbursements. Bank charges levied at the receiving end and all agent charges are the responsibility of the receiving party. An exception may occur when the payment is limited to a reimbursement of

actual expenses incurred (for example, when the reimbursement is for the airfare of an APEC-funded traveler who is not in receipt of a per diem).

10-13. The APEC Secretariat does not make reimbursements in a single cheque telegraphic transfer of less than USD100. This is to minimize bank charges for both the Secretariat and the payee.

10-14. With the exception of travel expenses, honoraria and payments to contractors, payment will be made to an organization or company account rather than to a personal account.

10-15. Before making a financial commitment, the PO may seek the prior agreement from the Secretariat to waive this restriction by explaining why payment into a personal account is inevitable. The request should be accompanied by an official letter from the relevant organization certifying the request. The Secretariat may refuse to process requests that are made after the PO or claimant has already made the financial commitment, and report the requests to BMC.

10-16. For payments into organizational accounts, if it is inevitable for the PO to make payments to a party that is not a contractor/service provider related to the APEC project or the PO's organization, the PO may seek the prior agreement from the Secretariat to make such a payment before making a financial commitment. The request should be accompanied by an official letter from the PO's organization/relevant organization certifying the request. Requests will be considered on a case-by-case basis. The Secretariat may refuse to process requests that are made after the PO or claimant has already made the financial commitment, and report the requests to BMC.

10-17. APEC project payments are made on a reimbursement basis. Flexibility can be shown, however, in providing some advance payments (a payment requested before a task is performed or before a cost is incurred) for travel expenses of speakers and participants, or instalment payments (when payments are made in recognition of the partial completion of a task or set of tasks) for labour costs.

10-18. Requests for advance payment of travel expenses and instalment payments for direct labour will be processed by the APEC Secretariat, subject to assessment and approval by the PD, during project implementation. Requests must be justified, and the APEC Secretariat retains the right to decline a request, especially if there is a risk of non-performance of the task or action that is being prepaid. Signed advance payment undertakings must be lodged with the Secretariat at least 8 Singapore working days prior the event.

# 11. Changing a Project

## Request for Design or Budget Amendments

11-1. Projects must follow the timelines, budgets, methodologies, and approaches set out in the approved Project Proposals.

11-2. POs must request and obtain prior approval to amend the nature, scope, methodology, timeframe, or budget allocations of an APEC-funded project. The APEC Secretariat will not be liable for any expenditure made outside the approved budget allocation.

11-3. Requests to amend approved Project Proposals must be submitted to the APEC Secretariat. To seek approval, the PO must submit the request using the APEC Project Design Amendment and Extension Form, and the APEC Project Budget Amendment Form where relevant, to the PD, with a copy to PMU.

11-4. Where necessary, the Secretariat may request the PO to seek the support from the relevant forum's Lead Shepherd / Chair / Convenor for the change proposed so that they may be kept abreast of the more major changes in the projects of their fora.

11-5. Most requests to amend a project can be approved by the APEC Secretariat. However, only the BMC may approve:

- Any substantial change to the overall nature of a project (as determined by the APEC Secretariat); and
- Any request for an increase in the project budget.

## Requests for Extension

11-6. Extensions to the Project Completion Date must be approved before they take effect. Since a new Project Completion Date is considered an amendment of the Project Proposal, POs must follow the process described in 11-3 above. Extension requests should be based on compelling reasons, such as unavoidable and unforeseeable delays to project implementation plans.

11-7. A request for extension must be made at least **six weeks** prior to the deadline. The Secretariat may refuse to process a request made later than six weeks before the deadline. The Secretariat may ask the PO to provide evidence of support (in writing) from the Lead Shepherd/Chair/Convenor for the extension in question.

11-8. The Secretariat may approve one or more extensions to a project (whether they are for completing the APEC-funded activities or for financial disbursements) for up to 12 months from the original end date. Any extensions beyond 12 months must be approved by BMC.

# 12. Contracting

12-1. The general principles for procurement and contract management of APEC projects are detailed in **Appendix I**. These include:

***Accountability:*** All decisions relating to APEC procurement to be fully justified and documented.

***Value for money:*** This seeks to encourage fair competition by conducting a procurement process that makes use of resources in an efficient, effective manner and makes decisions in an accountable and transparent manner to achieve agreed outcomes.

***Openness****:* Whenever practical, contracts, procurement and grants should be open to all APEC members and should be conducted in a transparent and equitable manner.

12-2. Competitive bidding is important to ensure that APEC projects provide value for money and mitigate any real or potential risks of conflict of interest. Depending on the value of the contract, different methods are used to engage a contractor.

12-3. All APEC-funded contracts are held between APEC and the contractor. The contractor can be an organization, a company or an individual. POs are responsible for managing the procurement process and recommending to the APEC Secretariat suitable organizations, companies or individuals to carry out the agreed Terms of Reference (ToR) or Scope of Services (SoS) as stipulated.

12-4. The APEC Secretariat in consultation with BMC may veto a proposed contract when a conflict of interest is real or perceived and cannot be adequately managed such as when a relationship exists between the PO and contractor; or when the PO and contractor are employees of the same organization. APEC's approach to addressing real or potential conflicts of interest is detailed under 12-37 to 12-41, below.

12-5. A sample contract can be found under the 'Project Forms & Resources' tab of the project website: http://www.apec.org/Projects/Forms-and-Resources.aspx. This contains the standard terms and conditions for all APEC contracts. Contractors must agree to these terms and conditions at the time of submitting a proposal (major contracts) or before being recommended to undertake project tasks (minor contracts).

12-6. The APEC Secretariat is responsible for the preparation of the contract and negotiation of the final contract text with the contractor. Prior to commencing the contractual process, the scope of work to be undertaken must first be agreed between the Secretariat and the PO in a detailed ToR or within draft Request for Proposal (RFP) documentation, as determined by the size of the potential contract. The scope of work as described in ToR or RFP documentation must be specific, clearly articulated, comprehensive and

relevant, and will be based on the scope of the activity detailed in the approved Project Proposal.

12-7. For contracts valued over USD20,001, services to be stipulated in the contract will be outlined in the RFP which is prepared by the PO and approved by the Secretariat. The Secretariat will keep the PO informed of the progress of any negotiations. A sample RFP can be found under the 'Project Forms & Resources' tab of the project website.

12-8. Contracts between the APEC Secretariat and contractors must be in place prior to work commencing. APEC will not be liable for any work done prior to an agreed contract being in place. Any reimbursable costs associated with the contract (such as contractor airfares and accommodation) can be included in the contract but do not count as part of the contract value when determining the applicable procurement method below.

12-9. APEC will not fund the travel and per diem expenses of contractor(s) who are engaged to provide short-term clerical and administrative services to projects, or where the service to be provided is determined by the Secretariat to be essentially project logistical support.

12-10. Contractors funded by APEC are not entitled to honoraria.

## Procurement Methods

### Contracts Valued at USD5,000 or Less

12-11. To have a Work Undertaking approved, the PO must provide the Secretariat with:

- A draft Scope of Services based on the scope detailed in the approved Project Proposal; and
- Curriculum Vitae (CV) of a recommended contractor detailing the skills and expertise relevant to the task.

12-12. Subject to the approval of the proposed contractor, the "Work Undertaking" will be drafted. This will consist of:

- The approved SoS;
- Contractor's CV;
- Notice of offer from the Secretariat;
- Notice of acceptance* from the contractor; and
- Notice of declaration** from the contractor.

* The **Notice of acceptance** from the contractor will also contain a written statement by the PO (as an individual or organization) indicating that the selected contractor has no prior or current relationship with the PO that constitutes a potential or real conflict of interest.

**The **Notice of declaration** from the contractor to state that in signing the contract, the contractor does not contravene any applicable laws or regulations in their home economy, or otherwise breach the guidelines established by their employers.

### Minor Contract: Valued from USD5,001 to USD20,000

12-13. To have a minor contract approved, the PO must provide the Secretariat with:

- A draft ToR for approval;
- CV of a recommended contractor outlining the relevant skills and experience required for the task;
- A written justification for the choice of contractor. The written justification needs to clearly state that the selected contractor has no prior or current relationship with the PO (as an individual or organization) which constitutes a potential or real conflict of interest;
- Notice that the recommended contractor agrees to the standard contract terms and conditions; and
- Notice of declaration from the contractor (see 12-12 above).

12-14. Subject to the Secretariat's approval of the choice of contractor, the relevant PD will draft the contract in consultation with the PO. The contract template is available under the 'Project Forms and Resources' tab on the APEC Projects website.

### Major Contract: Valued from USD20,001 to USD50,000

12-15. To source a major contract valued from USD20,001 to USD50,000, the PO must work with the relevant PD to prepare a clear, logical and specific RFP and timeline based on the approved Project Proposal and the funding available for the contract and using the standard RFP template available on the APEC website. For contracts within this threshold, the Project Overseer will conduct a selective tender process which involves restricting the number of suppliers who are invited to submit proposals under the RFP.

12-16. A qualification of interested suppliers based on their capabilities and expertise will be undertaken by the PO so as to exclude suppliers who do not meet the minimum requirements. Suppliers qualified in these processes are then invited to respond to the RFP. At least three qualified suppliers are invited to respond to the RFP. However, five or more are recommended to ensure a more competitive process and allow for non-responses from some suppliers.

12-17. The PO will draft a set of criteria to evaluate and assess the bids to ensure that a transparent and equitable process is undertaken. The bid evaluation criteria and RFP timeline will be approved by the relevant APEC Program Director prior to the selection process being undertaken.

12-18. A written statement that details the PO's selection process and justifies the choice of preferred contractor, using the standard RFP template. This document will detail the justifications for the selection against the agreed bid evaluation criteria and also state that the selection process undertaken has been transparent and equitable. The statement will also indicate that there has not been any real or perceived conflict of interest in which the PO (as an individual or organization) has been placed in a position to exploit his/her

professional or official capacity in some way for personal or corporate benefit. The PO will notify unsuccessful bidders of the result only after the contract has been signed. The PO must also ensure that the preferred contractor provides a notice of declaration, before the APEC Secretariat can sign a contract (see 12-12 above).

12-19. When conducting a selective tender process, the selection should be justified on a sound and non-discriminatory basis. Suppliers may be selected from the general market or from a list which includes:

- Suppliers or experts who have a demonstrated track record of working in the particular sector or area;
- Suppliers that have been shortlisted or pre-qualified from a previous tender process; or
- Any suppliers that have been granted a specific license or comply with legal requirements in a given context, in relation to a very specific APEC topic or issue.

12-20. Circumstances which may justify a waiver from the adoption of a selective tender include:

- The existence of a limited pool of suppliers or experts who can supply the required goods or services to APEC. For example where a tendering process for a particular project has already been undertaken and no suitable contractor was identified; or
- Where value for money in the procurement process would not be achieved by undertaking yet another restricted or selective tendering process due to the expense involved.

12-21. To have a contract under this value threshold approved, the PO must provide the Secretariat with:

- A RFP for approval including the bid evaluation criteria; and
- After the selective tender process has been completed by the PO, the CV and proposal from the recommended contractor that outlines the relevant skills and experience for the task.

12-22. Bid evaluation criteria shall be established for assessing the bids. This will enable the proper identification, assessment and comparison of all the costs and benefits associated with the submissions, on a common and fair basis.

12-23. In exceptional circumstances, the Secretariat may approve waivers to allow non-competitive tendering for major contracts valued from USD20,001 to USD50,000. In these situations, the PO must submit a written request to the Secretariat setting out the reasons for why a direct sourcing arrangement will not compromise the quality or scope of the project and why competition should be restricted.

12-24. Where a written request for a waiver from undertaking a selective tendering process is submitted to the Secretariat for approval, the Secretariat must be satisfied that a departure from a competitive process is fully justified. The

justification should clearly state that in following this course of action, APEC is still obtaining the best quality outcomes and value for money. It also needs to clearly demonstrate that there is no existing or prior relationship between the PO and the contractor. If the Secretariat considers the explanation unsatisfactory, the request will be submitted to BMC for consideration.

12-25. The Secretariat will provide BMC members with a detailed list of waivers for all selective tendering processes approved in each project approval session. This list will be provided for members' consideration at the conclusion of each project approval session either at the BMC meeting or intersessionally.

### Major Contract: Valued from USD50,001 and Above

12-26. To source a major contract valued from USD50,001 and above, the PO must undertake an open tendering process. Open tendering is the most competitive and open procurement process. The PO must work with the relevant PD to prepare a clear, logical and specific RFP and timeline based on the approved Project Proposal and the funding available for the contract and using the standard template. The RFP and timeline must be approved by the Secretariat and circulated amongst all member economies and posted on APEC website to allow for a fully transparent and fair process to be completed.

12-27. To have a major contract of USD50,001 and above approved, the PO must provide the Secretariat with:

- The RFP for approval;
- CVs and proposal from the recommended contractor which outline the relevant skills and experience for the task; and
- A report that details the PO's selection process and justifies the choice of preferred contractor, using the standard template (available on the 'Project Forms and Resources' tab of the APEC Projects website), and approved by the relevant PD.

12-28. The PO should set up an evaluation panel consisting of at least three representatives from co-sponsoring economies; not including the proposing economy, to formally evaluate the proposals submitted. The PO will notify unsuccessful bidders of the result only after the contract has been signed. The PO must also ensure that the preferred contractor provides a notice of declaration, before the APEC Secretariat can sign a contract (see 12-12 above).

12-29. In exceptional circumstances, the Secretariat may approve waivers to allow non-competitive tendering for major contracts valued from USD50,001 and above. Where a request for a waiver from an open tendering process is submitted to the Secretariat for approval, the Secretariat must be satisfied that a departure from the standard process is fully justified. In doing so, the PO must demonstrate to the Secretariat that in following this course of action a transparent and equitable assessment has been conducted and that APEC will obtain the best quality outcomes and value for money.

12-30. Engaging a contractor directly is not a competitive procurement process. This procurement process requires a strong defensible justification which clearly states the reasons for not undertaking an open tendering process. If the Secretariat considers the explanation unsatisfactory, the request will be submitted to BMC for consideration.

12-31. The Secretariat will provide BMC members with a detailed list of waivers for all open tendering processes approved in each project approval session. This list will be provided for members' consideration at the conclusion of each project approval session, and will be done either at the BMC meetings or intersessionally.

### Criteria for Approving Waivers for Open Tendering Processes

12-32. Criteria for approving waivers for open tendering processes by the Secretariat may include the following:

- The absence of responses to an open tender that has been conducted;
- Non-conformance of bids received with the essential requirements of the tender evaluation criteria;
- Where there is only one supplier or expert capable of fulfilling the requirements of the RFP. In this case, the PO needs to demonstrate to the Secretariat that he/she has considered the market beyond his/her own economy;
- The need for continuity with existing services to achieve the required outcome of the APEC activity. The PO's justification would need to clearly state that an alternative contractor would be unable to provide the continuity required; or
- For reasons of extreme urgency as a result of unforeseen or urgent events. This should not be the result of a lack of planning. In approving the request, the Secretariat and BMC need to be fully satisfied that the urgency is genuine and unforeseen.

### Bids from Non-APEC Members

12-33. Bids from contractors based in non-member economies and bids from international organizations may be considered. However, priority is given to suitably qualified tenders from member economies.

12-34. If the preferred contractor resides outside the APEC region, additional justification is required prior to contract approval. It is necessary to explain the preferred contractor's particular expertise and detail efforts to source a suitably qualified contractor from within APEC.

### Travel Costs for Contractors

12-35. Contractors undertaking travel to complete their agreed task(s) in accordance with the RFP are reimbursed for travel costs from one locality to another. Contractors are also entitled to a per diem payment, if included in their contract in addition to their hourly or daily payment. Business class travel may be approved for contractors, but only when travel exceeds 12 hours from airport to airport and there are sufficient funds available

12-36. Contractors must submit a Contractors Reimbursement Claim form in claiming travel expenses. Template available under the 'Project Forms and Resources' tab of the APEC Projects website

## Conflict of Interest

12-37. A conflict of interest in the context of procurement processes occurs when an individual or organization has a private or personal interest sufficient to appear to influence the objective exercise of his or her official duties. More generally, a conflict of interest can be defined as any situation in which an individual or organization is in a position to exploit his/her professional or official capacity in some ways for personal or corporate benefit. Conflict of interest is the presence of any factors that are likely to bias a decision maker's judgment during the bid selection process. The existence of a conflict of interest may not of itself be evidence of wrong doing. A conflict of interest needs to be managed appropriately as part of a risk management strategy for ensuring that all APEC procurement processes are undertaken in an impartial and independent manner.

12-38. Secretariat staff and POs should avoid the appearance of and take measures to ensure that any real or potential risk of conflicts of interest is minimized and managed appropriately. The PO or APEC Secretariat staff members who have any affiliations with parties involved in the procurement process for an APEC activity shall disclose his/her connection to the organization or individual prior to the commencement of the selection process. In cases where a real or perceived conflict of interest has been identified during a procurement process, the potential risk can be managed appropriately by the individuals or organizations by declaring their involvement or affiliation with the relevant parties in writing and subsequently refraining from participating in any decision-making process during the selection processes. The decision-making process will need to be documented appropriately.

12-39. Prior to the approval of contracts, the PO must provide the Secretariat with a clear justification for the selection of the contractor, which also includes a clear statement indicating that the selection process undertaken has been open, transparent and equitable. The statement will also indicate that there has not been any real or perceived conflict of interest in which the PO (as an individual or organization) has been placed in a position to exploit his/her professional or official capacity in some way for personal or corporate benefit.

12-40. To ensure that the selection process is conducted in a transparent, accountable and equitable manner and to mitigate any real or potential conflict of interest, the PO will assess all bids according to an agreed bid selection criteria. The outcomes of the selection process will be submitted to the Secretariat for approval. When conducting an open procurement process, POs need to establish a panel consisting of members from the co-sponsoring economies to ensure a more independent process of selection.

12-41. The APEC Secretariat, in consultation with BMC, can veto a proposed contract when a conflict of interest is real or perceived and cannot be adequately managed. These circumstances may include situations where a relationship exists between the PO (as an organization or individual) and the contractor, or when the PO and contractor are employees of the same organization. At any time during the procurement process, any misconduct or conflict of interest issues will be reported to BMC by the Secretariat.

12-42. The Secretariat will provide BMC members with a detailed list of waivers for selective and open procurement processes approved in each project approval session. This list will be provided for members' consideration at the conclusion of each project approval session either at the BMC meetings or intersessionally.

## APPENDICES

**Appendix A – APEC Concept Note Template**

**Appendix B – APEC Project Proposal Template**

**Appendix C – APEC Self-Funded Proposal Template**

**Appendix D – APEC Quality Assessment Criteria**

**Appendix E – APEC Project Monitoring Report Template**

**Appendix F – APEC Project Completion Report Template**

**Appendix G – Guide on Gender Criteria for APEC Project Proposals**

**Appendix H – APEC Project Evaluation Survey Template**

**Appendix I – APEC Procurement Principles**

**Appendix J – APEC Guidelines on Conducting Capacity Building**

**Appendix K – APEC Capacity Building Goals, Objectives and Principles**

Note that application and report templates can be downloaded as individual files from the APEC website: http://www.apec.org/Projects/Forms-and-Resources.aspx

# Appendix A

## APEC Concept Note

***Please submit to APEC Secretariat Program Director. Concept Notes exceeding 3 pages (including title page) and incomplete submissions will not be considered. Responses must be no less than 10pt font.***

| **Project Title:** | |
|---|---|
| **Fund Source *(Select one only):***<br>☐ General Project Account (GPA)<br>☐ Trade and Investment Liberalization and Facilitation Special Account (TILF)<br>☐ APEC Support Fund (ASF) – General Fund<br>☐ APEC Support Fund (ASF) – Sub-Fund. You must nominate the sub-fund here: …… | |
| **APEC forum:** | |
| **Proposing APEC economy:** | |
| **Co-sponsoring economies:** | |
| **Expected Start Date:** | |
| **Project Completion Date:**<br>*See Chapter 7 Guidebook on APEC Projects* | |
| **Project summary:**<br>***In 150 words -***<br>• **What is the issue that you will address or examine in your project?**<br>• **Outline the key things your project will do, in terms of what, where, when and with whom.**<br>*(Summary must be no longer than the box provided. Cover sheet must fit on one page)* | |
| **Total cost of proposal:**<br>*(APEC funding + self-funding):*<br>***USD*** | **Total amount being sought from APEC (USD):**<br>***By category:*** *Travel:* *Labor costs:*<br>*Hosting:* *Publication & distribution:* *Other:*<br>*(See Guidebook on APEC Projects, Ch. 9 to ensure all proposed costs are allowable.)* |

***Project Overseer Information and Declaration:***

***Name:***

***Title:***

***Organization:***

***Postal address:***

***Tel:*** ***E-mail:***

As Project Overseer and on behalf of the above said Organization, I declare that this submission was prepared in accordance with the **Guidebook on APEC Projects (the Guidebook)** and any ensuing project will comply with said Guidebook. Failure to do so may result in the BMC denying or revoking funding and/or project approval. I understand that any funds approved are granted on the basis of the information in the document's budget table, in the case of any inconsistencies within the document.

_____

*Name of Project Overseer / Date*

# Project Synopsis

1. **Relevance – Benefits to region: What problem does the project seek to address? Does it have sustained benefits for more than one economy?**

   **Relevance – Eligibility and Fund Priorities: How does the project a) meet the eligibility criteria and b) support the funding priorities for the nominated fund or sub-fund? Refer to the APEC website.**

   **Relevance – Capacity Building: How will the project build the capacity of APEC member economies? For ASF projects, please identify the APEC developing member economies that will benefit from this project. (Refer to capacity building goals, objectives and principles at Appendix K of the Guidebook.)**

   **Objective: State the overall objective of the project in 100 words or less. The objective is the overarching goal of your project, for example, "Our objective is to build the capacity of project participants through workshop and research to better support the X Roadmap, and produce recommendations as a basis for further collaboration to address the APEC-wide issue of…" In the Project Proposal, you will be required to identify a set of measurable project-level outcomes, which if collectively achieved, define whether the project has met the objective stated here. You can identify more than one objective, but avoid confusing the *objective* or goal of the project with the project's *outcomes*.**

2. **Alignment – APEC: Describe specific APEC priorities, goals, strategies and/or statements that the project supports, and explain how the project will contribute to their achievement.**

   **Alignment – Forum: How does the project align with your forum's work plan/strategic plan?**

3. **Methodology: How do you plan to implement the project? Briefly address the following:**
   - ***Work plan:* In a simple table, outline the project from start to end. Show key project outputs and activities and associated dates or timelines.**
   - ***Beneficiaries:* Selection criteria for participants, beneficiary profiles (e.g. participants, end users, policy makers, researchers/ analysts, gender) and how they will be engaged.**
   - ***Evaluation:* Outline the indicators which will be used to measure progress towards the project outcomes. 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 fora collaboration?**

# Appendix B

## APEC Project Proposal

***Please submit through relevant APEC Secretariat Program Director.***
***Proposals must be no longer than 12 pages, including budget and title page.***

| | | | |
|---|---|---|---|
| **Project title and number:** | | | |
| **Fund Source *(Select one):***<br>☐ General Project Account (GPA)<br>☐ Trade and Investment Liberalization and Facilitation Special Account (TILF)<br>☐ APEC Support Fund (ASF) – General Fund<br>☐ APEC Support Fund (ASF) – Sub-Fund. You must nominate the sub-fund here: …… | | | |
| **APEC forum:** | | | |
| **Proposing APEC economy:** | | | |
| **Co-sponsoring economies:** | | | |
| **Expected Start Date:** | | | |
| **Project Completion Date:**<br>*See Chapter 7 Guidebook on APEC Projects* | | | |
| **Project summary:**<br>***In 150 words -***<br>• **What is the issue that you will address or examine in your project?**<br>• **Outline the key things your project will do, in terms of what, where, when and with whom.**<br>*(Summary must be no longer than the box provided. Cover sheet must fit on one page)* | | | |
| **Summary of Proposed Budget (USD) :** | **APEC funding** | **Self-funding** | **Total** |
| | | | |

***Project Overseer Information and Declaration:***

***Name:***

***Title:***

***Organization:***

***Postal address:***

***Tel:*** ***E-mail:***

As Project Overseer and on behalf of the above said Organization, I declare that this submission was prepared in accordance with the **Guidebook on APEC Projects** and any ensuing project will comply with said Guidebook. Failure to do so may result in the BMC denying or revoking funding and/or project approval. I understand that any funds approved are granted on the basis of the information in the document's budget table, in the case of any inconsistencies within the document.

_____

*Name of Project Overseer / Date*

# Project Details

***Please answer each question succinctly. Suggested section lengths are provided as a guide. Proposals must be no longer than 12 pages, including budget and title page.***

## *SECTION A: Project Relevance*

*[Answers to questions 1–3 may be taken or adapted from the Concept Note]*

1. **Relevance – Benefits to region: What problem does the project seek to address? Does it have sustained benefits for more than one economy?**

   **Relevance – Eligibility and Fund Priorities: How does the project a) meet the eligibility criteria and b) support the funding priorities for the nominated fund or sub-fund?**

   **Relevance – Capacity Building: How will the project build the capacity of APEC member economies. For ASF projects, please identify the APEC developing member economies that will benefit from this project. (Refer to capacity building goals, objectives and principles at Appendix K of the Guidebook.)** *[½ page]*

2. **Objective: State the overall objective of the project in 100 words or less (refer to your Concept Note).**

3. **Alignment - APEC: Describe specific APEC priorities, goals, strategies and/ or statements that the project supports, and explain how the project will contribute to their achievement.**

   **Alignment – Forum: How does the project align with your forum's work plan/ strategic plan?** *[½ page]*

## *SECTION B: Project Impact*

4. **Outputs: Using a numbered list in chronological sequence, identify the key products or services that will happen during the implementation of your project in support of the outcomes. This may include workshops, reports, analytical inputs, research work, recommendations, best practice guidelines, action plans, websites etc. Be brief but describe key parameters, like purpose, duration, location, expected scope and scale, timelines etc.** *[½ to ¾ page]*

5. **Outcomes: Using a numbered list, describe the specific impacts, changes or benefits that the project is expected to deliver, which directly support the project objective (above). These include changes in policy, processes, or behaviour in the participating institutions, or in APEC more broadly. Be sure that each outcome can be measured and is a direct result of the project.** *[½ to ¾ page]*

6. **Beneficiaries: Who are the direct project participants and users of the outputs? Describe their qualifications, level of expertise, roles/level of responsibility, gender, economies represented, government departments, APEC fora involvement etc. Explain how they will use and benefit from the project. Who else will benefit from the project and how?** *[½ to ¾ page]*

7. **Dissemination: Describe plans to disseminate results and/or outputs of the project, including:**
   - **The number, form and content of any publications. (Note: electronic publication is preferred. APEC will not fund publications that are only presentation slides, or website maintenance)**
   - **The target audience.**
   - **Any intention to sell outputs arising from this project.** *[less than ½ page]*

8. **<u>Gender:</u> What steps will the project take to ensure the participation and engagement of both men and women in project activities? How do the project outcomes and the project objective benefit women?** *[less than ½ page]*

### *SECTION C: Project Effectiveness*

9. **<u>Work plan:</u> Produce a project plan in a table with three columns titled 'Time', 'Tasks' and 'Deliverables' which indicate timelines, outputs and activities, and supporting tasks. Ensure you include:**
   - **Creation of items like agenda, participant lists, project reporting and evaluations.**
   - **How other economies and other parties (like contractors) will be involved.**
   - **Procurement steps, contractor related milestones and deliverables.**

   *[1-2 pages. Answers can be adapted from the Concept Note]*

10. **<u>Risks:</u> What risks could impact project implementation and how will they be managed?** *[⅛ to 1 page, depending on project nature/complexity]*

11. **<u>Monitoring and Evaluation:</u> The project's success will be measured by the extent to which it has delivered all its planned outcomes, in support of the overall objective of the project. Describe the measures or indicators will you use to monitor the progress of your project, and evaluate if it has delivered all the outcomes.**
    - **Describe the measures/indicators you will use to measure your project's outputs (e.g. event participation rates, speakers engaged, recommendations made, reports distributed, etc.)**
    - **Describe the measures/indicators you will use to assess if you have achieved your outcomes (e.g. quantitative and qualitative measures of impact, evidence of change, stakeholder feedback, etc. Tip: consider surveying participants at start *and* end of project to measure the scale of impact)**
    - **How will gender impacts be measured? Ensure you collect sex-disaggregated data.**
    - **How will you collect your data (e.g. surveys, meetings, interviews, peer review, records review)?** ***[½ page]***

12. **<u>Linkages:</u> Describe the involvement of other APEC fora, and other relevant organizations. Include:**
    - ***Engagement:* How are you engaging other relevant groups within and outside APEC?**
    - ***Previous work:* How does this project build on, and avoid duplication of, previous or ongoing APEC initiatives, or those of other organizations working in this area?**
    - ***APEC's comparative advantage:* Why is APEC the best sources of funds for this project?**

    *[¼ to 1 page. Answers may be taken or adapted from the Concept Note]*

### *SECTION D: Project Sustainability*

13. **<u>Sustainability:</u> Describe how the project will continue to have impact after the APEC funding is finished.**
    - **How will beneficiaries be supported to carry forward the results and lessons from the project?**
    - **After project completion, what are the possible next steps to build on its outputs and outcomes? How will you try to ensure these future actions will take place? How will next steps be tracked?**
    - **How will progress on the outcomes (Question 5) be measured?** *[less than 1 page]*

14. **<u>Project Overseers:</u> Who will manage the project? This includes managing of contractors and specialists. Please include brief details of the PO and any other main point(s) of contact responsible for this project.** *[less than ½ page]*

### *SECTION E: Project Efficiency*

15. **<u>Budget:</u> Complete the budget and budget notes for the project in the template below. The budget should include calculation assumptions (e.g., unit costs) and self-funding contributions. Please consult the *Guidebook on APEC Projects* for eligible expenses.**

### *APEC Project Itemized Budget*
### Please consult the eligible expenses in the *Guidebook on APEC Projects*

| ***All Figures in USD*** | **# of Units** | **Unit Rate** | **APEC Funding** | **Self-Funding** | **Notes** |
|---|---|---|---|---|---|
| **Direct Labour** | | | | | |
| Speaker's honorarium (*government officials ineligible)* | (# of speakers) | | | | |
| Short-term clerical fees<br><br>(please provide details of scope of work and deliverables in Budget Note 1 - Direct Labour) | (# of hours) | | | | |
| Contractor fees<br><br>(contractors Secretary's fees to be included in cost and packaged together) | (# of hours) | | | | |
| **Travel (Speaker, Experts, Researchers)** | | | | | |
| Per diem (incl. accommodation and "75% additional payment") | (# of persons and days) | | | | (location of event) |
| Airfare | (# of persons and trips) | | | | |
| **Travel for Participants (from travel-eligible economies only. Active participants only)** | | | | | |
| Per diem (incl. accommodations and "75% additional payment") | (# of persons and days) | | | | (location of event) |
| Airfare (*restricted economy class)* | (# of persons and trips) | | | | |
| **Other items** | | | | | |
| Publication/distribution of report | (# of copies) | | | | |
| Specialized equipment or materials (*please describe*) | (type, #, and # of days) | | | | |
| Photocopying | (# of copies) | | | | |
| Communications (telephone, fax, mail, courier) | | | | | |

| ***All Figures in USD*** | **# of Units** | **Unit Rate** | **APEC Funding** | **Self-Funding** | **Notes** |
|---|---|---|---|---|---|
| *Hosting (*provide breakdown, e.g., room rental, stationery) | (units as appropriate) | | | | |
| | **Total:** | | | | |

**Budget Note 1: Direct Labour: Provide information for APEC-funded positions including general duties, total hours and who will be contracted, if known. (It is not acceptable to contract staff from your own organization or government employees.)**

**Budget Note 2: Waivers: Provide details of any requests for waivers from the normal APEC financial rules, with justifications in the notes column of the budget table, or below if the waiver requires a detailed explanation.**

# Appendix C

## APEC Self-Funded Project Proposal Coversheet

***Submit through APEC Secretariat Program Director. Ensure that the proposal is no longer than 3 pages.***

| | |
|---|---|
| **Project Title:** | |
| **Project Number** **(Assigned by Secretariat):** | |
| **Committee / WG / Sub-fora / Task-force:** | |
| **Proposing APEC economy:** | |
| **Co-sponsoring economies (if any):** | |
| **Date approved by fora:** | |
| **Expected start date:** | |
| **Completion date:** | |
| **Project summary:** **(Describe the project in under 150 words. Your summary should include the project topic, goals, planned activities, timing and location. You must provide more details information by answering the questions on the next page).** *(Summary must be no longer than the box provided. Cover sheet must fit on one page)* | |
| **Total cost of project (USD):** | |

***Project Overseer Information and Declaration:***

***Name:***

***Title:***

***Organization:***

***Postal address:***

***Tel:*** ***E-mail:***

As Project Overseer and on behalf of the proposing APEC economy, I will ensure that all Project outputs (Project reports, proceedings, slides, presentations, CDs, etc.), will comply with the APEC Publications, APEC Logo and Copyrights Guidelines before being published. I will also ensure that the project will comply with the Guidelines on Managing Cooperation with Non-Members (the guidelines are at: http://www.apec.org/About-Us/About-APEC/Policies-and-Procedures.aspx). I am aware that I am solely responsible for project fund management in relation to fully self-funded projects.

_____

*Name of Project Overseer*

_____

*Name of Fora Chair/Lead Shepherd*

**Date:**

# Self-Funded Project Synopsis

1. **Relevance – Benefits to region:** **What problem does the project seek to address? Does it have sustained benefits for more than one economy?**

   **Relevance – Capacity Building:** **How will the project build the capacity of APEC members (refer to capacity building goals, objectives and principles at Appendix K of the Guidebook).**

2. **Objectives:** **State the key objectives of the project.**

3. **Alignment – APEC:** **Describe specific APEC priorities, goals, strategies and/ or statements that the project supports, and explain how the project will contribute to their achievement.**

   **Alignment – Forum:** **How does the project align with your forum's work plan/ strategic plan?**

4. **Methodology:** **How do you plan to implement the project? Briefly address the following:**
   - ***Work plan:*** **Project timelines, dates of key activities and deliverable outputs.**
   - ***Beneficiaries:*** **Selection criteria for participants, beneficiary profiles (e.g. participants, end users, policy makers, researchers/ analysts, gender) and how they will be engaged.**
   - ***Evaluation:*** **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 fora collaboration?**

# Appendix D

## Quality Criteria for Assessing APEC Projects

APEC assesses project quality using the following five criteria:

- Relevance
- Impact
- Effectiveness
- Sustainability, and
- Efficiency

Quality criteria are judged as either satisfactory, or unsatisfactory.

APEC members assess “Relevance” through the prioritization stage of the project cycle. Concept Notes that are asked to complete full proposals are considered to reach satisfactory relevance. The Secretariat assesses the remaining four criteria at the full proposal stage.

Proposals must reach a minimum score of 2 under each criterion to be considered for funding approval.

Further information about each of the criterion is as follows:

***Relevance*:** This looks at WHY a project is proposed. Relevance considers the extent to which projects are needed and suited to achieving the priorities and objectives of the target group, the recipient member economies and APEC as a whole. APEC Committee work plans and sub-fora Working Group plans are an important reference point for what is relevant to a group’s priorities.

- How valid is (are) the objective(s) of the project?
- Are the activities, outputs and outcomes of the project consistent with the overall project objective?
- Are the activities, outputs and outcomes of the project consistent with the intended impact?
- Are there clear capacity building benefits for APEC economies?

***Impact*:** This asks WHAT the project seeks to change. It includes possible impacts on key stakeholders and effectiveness in addressing APEC values such as gender equity. Impact will consider project risks and risk management, including the possible impact of external factors, such as changes in terms of trade or financial conditions.

- What are the likely changes following from this project?
- What difference will the activity make to the target beneficiaries?
- Beyond the target group, who else is likely to benefit? Are there multiplier effects that can be gained from this project?
- What support exists for the project across APEC, taking into account the potential for multiple fora support to reinforce the benefits across a range of sectors and areas of work?
- What avenues will be used to communicate and promote the project results, not only to member economies but also stakeholders and desired partners?

***Effectiveness*:** This examines HOW a project will take place, particularly how well a project might reach its objective(s).

- To what extent is the objective likely to be achieved, and realistic?
- Are the outcomes linked to the objective in a clear causal relationship?
- What is the APEC value-add? Why is this a good project for APEC?
- Based on the particular issue being addressed, is the proposed approach a sound way to achieve the outcomes and the objective, and have other alternative approaches been examined?
- Does the project take into account and or build on previous APEC activities with similar objectives?

***Sustainability:*** This looks at whether the benefits of a project are **likely to continue** after the APEC project is completed. It has a longer term focus compared to other criterion.

- What are the intended effects over the longer term?
- Does the project provide for methods to ensure benefits of a project will continue after the APEC project ceases?
- Is there evidence of engagement with key stakeholders?
- How does this project fit in with fora's priorities and are follow-on projects planned?

***Efficiency:*** This also looks at HOW a project will take place, particularly measuring of the outputs (services, goods) in relation to the inputs (cost of resources). Efficiency considers if the project offers value for money and whether projects use the least costly resources allowed in order to achieve the desired results.

- Do the activities appear to be cost-efficient?
- Do the activities comply with APEC project budget guidelines?
- Would alternative approaches deliver the same result for less cost?

# Appendix E

## APEC Project Monitoring Report

***Please submit through your APEC Secretariat Program Director***

### *SECTION A: Project profile*

| | | | |
|---|---|---|---|
| **Project number & title:** | | | |
| **Time period covered in report:** | | **Date submitted:** | |
| **Committee / WG / Fora:** | | | |
| **Project Overseer Name: Organization / Economy** | | | |

### *SECTION B: Project update*

***If you have submitted previous Monitoring Reports, focus on progress since the last report.***

**1. <u>Current status of project:</u> Please cross-reference the Work Plan, Outputs, Outcomes and Budget in your Project Proposal, or where amended through approved APEC Project Design Amendment & Extension and Budget forms.**

- **On schedule: YES / NO**
- **On budget: YES / NO**
- **On target to deliver project outcomes: YES / NO**

**If NO, why not? How far off schedule, budget or outcomes? What actions are being taken to resolve delays? What support is needed from your Forum or the Secretariat?**

**2. <u>Implementation:</u> Describe progress against the project work plan and proposed outcomes.**

- **Were adjustments made to the scope or timing of the project?**
- **What outputs (e.g. agenda, report, workshop, tools, best practices) have been delivered? How have/are these outputs being utilised?**

**3. <u>Evaluation:</u> What are the measures and indicators developed under the project to measure progress/success? Has baseline information or evaluation results been collected? How will any potential impacts on gender be measured? How is the project contributing to APEC's capacity building goals, objectives and operational principles? If relevant please provide details.**

**4. <u>Challenges:</u> If you answered 'no' in Q1, describe any issues which impacted (or might still impact) on the effective delivery of the project. How have these affected the outputs, timeline or budget? What will you do to ensure the project will still achieve all outcomes, and hence, realise the project's objective? What are the risk management strategies in place to manage potential or real risks?**

**5. <u>Engagement:</u> Describe the engagement and roles of stakeholders in the implementation of the project, including other APEC fora, experts and participants.**

| |
|---|
| **FOR APEC SECRETARIAT USE ONLY** *APEC comments: Is the project management effective? How could it be improved? Are APEC guidelines being followed?* |
| |

# Appendix F

## APEC Project Completion Report

***Please submit to your APEC Secretariat Program Director within 2 months of the Project Completion Date. Please append participants list.***

### *SECTION A: Project profile*

| | | | |
|---|---|---|---|
| **Project number & title:** | | | |
| **Project time period:** | | **Date submitted:** | |
| **Committee / WG / Fora:** | | | |
| **Project Overseer Name / Organisation / Economy:** | | | |

### *SECTION B: Project report and reflection*

**1. <u>Project description:</u> Summarise the project and its overall objective, and identify the planned project outcomes that support the objective (refer to Project Proposal).**

**2. <u>Outputs:</u> Describe the main project outputs and the associated measures/indicators. Refer to the Project Proposal. Include a row for each output, and describe each event in a separate row. This will include workshops, tools, research papers, reports, recommendations, best practices, action plans, etc.**

.

| **Indicators** *(Edit or Insert rows as needed)* | **# planned** | **# actual** | **Details or notes** |
|---|---|---|---|
| # research / studies | | | |
| # workshops / events | | | |
| # economies attended | | | |
| # participants (M/F) | | | |
| # speakers engaged (M/F) | | | |
| # other organizations engaged | | | |
| # surveys | | | |
| # publications distributed | | | |
| # recommendations/best practices/action plans | | | |
| # reports | | | |
| Other: | | | |

**3. <u>Participants/ Speakers Summary Table</u> (compulsory for events):** Must be gender-disaggregated.

| **Economy** *(Insert rows as needed)* | **# male** | **# female** | **Total** |
|---|---|---|---|
| | | | |
| **Participants** | | | |
| **Speakers** | | | |

**Comments: What was the approach undertaken for participant nomination/selection and targeting? Please provide details. What follow-up actions are expected? How will participants/beneficiaries continue to be engaged and supported to progress this work?**

**4. <u>Outcomes and Objective:</u> List each of the project outcomes and the associated measure or indicator. Did you deliver each of these outcomes and if not, why not? If not, do you feel that you still achieved the project objective (describe how)? Describe the process undertaken to measure the project's outcome measure/indicators and evaluate the project upon completion. Provide analysis of results of evaluations conducted, and where possible include information on impacts on gender.** ***NB: Evaluation data needs to be included as an appendix.***

**5. <u>Capacity building:</u> Describe how capacity has been built through the project. Did you achieve the capacity building impact you anticipated? How has the project contributed to APEC's capacity building goals, objectives and operational principles? How many developing economies participated in the project's events and activities?**
**6. <u>Medium term changes:</u> Describe any specific medium-term changes to policy, processes or behaviour that can, or are expected to result from this activity. Please include details on:**
**a. What indicators were used to measure medium-term impact? (Example indicators: type/number of policies/ regulations/processes changed, % of businesses conforming to new standards, change in sector's commercial activity, # individual action plans developed, # agencies using resource or tools etc.)**
**b. Monitoring plans in place and proposed indicators to measure impacts, including any impacts on gender. Please summarise relevant information.**

**7. <u>Key findings:</u> Describe 1-3 examples of key findings, challenges, success stories or recommendations arising from the project (e.g. research or case studies results, policy recommendations, roadblocks to progress on an issue, impacts on gender).**

**8. <u>Next steps:</u> Describe any planned follow-up steps or projects, such as workshops, updates in your forum meetings, post-activity evaluations, or research to assess the impact of this activity. How will the indicators from Question 6 be tracked? How will this activity inform any future APEC activities?**

**9. <u>Feedback for the Secretariat:</u> Do you have suggestions for more effective support by APEC fora or the Secretariat? Any assessment of consultants, experts or other stakeholders to share?**
*The Secretariat examines feedback trends to identify ways to improve our systems.*

### *SECTION C: Budget*

Attach a detailed breakdown of the APEC- provided project budget, including:

- **Planned costs:** (using most recently approved budget figures)
- **Actual expenditures**
- **Variance notes:** An explanation of any budget line under- or over-spent by 20% or more.

### *SECTION D: Appendices*

Please attach the following documentation to the report. **<u>Note that the contact list for participants/ experts/ consultants is a mandatory requirement for all Project Completion Reports</u>**.

| ✓ | **Appendices** *Insert additional rows if necessary* | **Notes** |
|---|---|---|
| | **Participant contact list**, including name, email address, gender, organization (*<u>mandatory</u>)* | |
| | **Experts / consultants list**, including name, email address, gender, organization *(<u>mandatory</u>)* | |
| | **Event Agenda** | |
| | **Reports, websites or resources** created: links or soft copies | |
| | **Post activity survey** or other evaluation data (raw and/or aggregated) | |
| | **Other information or resources** | |
| **FOR APEC SECRETARIAT USE ONLY** *APEC comments: Were APEC project guidelines followed? Could the project have been managed more effectively or easily by the PO?* | | |
| | | |

# Appendix G

## Guide on Gender Criteria for APEC Project Proposals

CONTENTS

1. WHY ARE THERE GENDER CRITERIA?
2. WHAT ARE THE CRITERIA BASED ON?
3. WHAT ARE THE GENDER CRITERIA AND HOW DO I ADDRESS THEM?
4. HOW ARE THE CRITERIA ASSESSED?
5. FREQUENTLY ASKED QUESTIONS
6. CHECKLIST
7. FURTHER HELP

### 1. WHY ARE THERE GENDER CRITERIA?

APEC Economic Leaders have long recognized the need to overcome the barriers to fully harness the economic integration of women in APEC economies. Women's full participation in the economy is critical to the achievement of sustainable economic development in the region.

Recognizing that gender is a cross-cutting issue, Leaders have charged the Policy Partnership on Women and the Economy (PPWE) to lead these efforts and to work with other APEC entities to provide effective policy recommendations on women and the economy.

The PPWE acts as an institutional mechanism for reporting to the Steering Committee on ECOTECH (SCE) on APEC gender activities and outcomes. The broad goal of the PPWE is to provide linkages between APEC fora, APEC economies and the APEC Secretariat to advance the economic integration of women in the APEC region for the benefit of all economies.

One mechanism for accomplishing this is through the incorporation of gender perspectives into all APEC projects. This document offers guidance to achieve this.

### 2. WHAT ARE THE CRITERIA BASED ON?

APEC has committed to promoting women's economic empowerment through the following five pillars:
1. **Access to capital and assets**, including through such sources as land and personal property, participation in the workforce, and financial services;
2. **Access to markets**, including markets for labor and for goods and services produced by women-owned enterprises;
3. **Skills, capacity building, and health**, so women are physically capable of a range of economic pursuits and are prepared both educationally and technically for success in the workforce, in business, and in entrepreneurship
4. **Leadership, voice, and agency**, through which women are valued as contributors, professionals, and leaders in the private, not-for-profit, and public sectors; and
5. **Innovation and technology**, so women have the same opportunities as men to benefit from and participate in development and implementation of scientific advances and new technologies.

### 3. WHAT ARE THE GENDER CRITERIA AND HOW DO I ADDRESS THEM?

APEC Project Proposals contain one question on gender considerations.

To demonstrate your project will benefit women, and in particular will not disadvantage women, you need to describe what you are doing to include women and women's perspectives in the design, implementation and evaluation of your project.

**How?** Ways in which you can demonstrate you are doing this include, but are not limited to, the following:

- by analyzing if there are significant, relevant gender disparities in the sector in which your project is working and if so, ensuring that any which affect your project are addressed through project activities/inputs (Note: although it is less common, this could include gender disparities which affect men adversely); and/or,
- by describing how women will be included in the planning of the project, including in decision-making processes; and/or
- by describing how women will be consulted during the development of the project; and/or
- by describing what processes are in place to actively encourage women to participate in the implementation of the project; and/or
- by describing how the results of the project will be disseminated to women, women's groups, peak bodies, or women's government agencies; and/or
- by describing how the project will collect and use sex-disaggregated data to analyze the impact of the project on women.

To demonstrate how the objectives of your project provide benefits for both women and men, you need to describe:

- how does your project aim to implement or facilitate or contribute to APEC objectives? and,
- in what way the project benefits or impacts (if any) women or men.

**How?** Ways in which you can demonstrate that the objectives of your project will benefit both women and men include, but are not limited to the following:

- By specifically setting out how the objectives of the project will encourage both women and men's participation in economic, technical, trade and business activities. For example:
  - The project will provide gender-sensitive training to women in economic or technical areas which have a small concentration of women, thereby empowering women to enter that field.
  - By describing how the project will streamline business regulation processes, thereby encouraging women-operated small and medium enterprises to move into the formal sector.
- By describing how the objectives of the project will contribute an understanding of gender considerations (or gender analysis) in APEC objectives. For example:
  - The conference/research/training will include a specific component on the issue as it relates to women.
  - Gender-sensitive indicators are utilized for monitoring the impact of the project.
  - The project's reports and recommendations will focus on the longer-term outcomes for women and men.

- By describing how the project will encourage women's participation in APEC. For example:
    - The project will collect and use sex-disaggregated data from participants (according to sex, age and urban/rural precedence).

## 4. How are the criteria assessed?

The APEC Secretariat designed a Gender Focal Point to coordinate within the PMU to assist the Women and the Economy Program Director in assessing the proposals submitted to APEC. It will provide advice to the Program Director on the extent to which the gender criteria are addressed in project proposals. The group will facilitate technical assistance if necessary.

In assessing your response to the gender criteria, the Gender Focal Point and Program Director will be looking for evidence that the PO has genuinely investigated the gender considerations relevant to the project. To make a judgment about this they will consider the following:

1) Does the proposal answer the question?
2) Does the proposal provide evidence or examples?
3) Where evidence and examples are not used, is a rationale provided?
4) Does the proposal demonstrate an understanding of the objectives of the *Framework for the Integration of Women in APEC*?

The gender criteria are also considered by members of the approving sub-fora and the Budget and Management Committee (BMC) before final approval of a full project proposal.

## 5. Frequently Asked Questions

**Q. *I think my project is "gender neutral". Do I still have to answer the gender criteria?***

**Yes.** Experience has shown that when analyzed more deeply, very few projects are actually gender neutral. Therefore while the Project Assessment Panel understands that not all projects will have tangible impacts on or benefits for both men and women, **if you think your project is genuinely gender neutral**, **you must support your assertion with evidence**. In particular, you need to be sure that your project does not have different impacts for men and women (unless these are intentional and designed to mitigate past gender inequalities). If you assert that your project is "gender neutral", you should use statistics or research to support the assertion where possible.

**Q. *My project does not benefit women…***

**Are you sure?** Have you investigated fully whether there benefits for women in the objectives of your project or whether there is a simple way that your project could benefit women? You should check with your Gender Focal Point before you submit your proposal (see section 5 below for details).

**Q. *My project is not specifically aiming to benefit women. Will I be marked down?***

**No.** However, even if this aim is only a small part of your project you should indicate this. While, your project does not have to be targeted at women to successfully address the gender criteria, the Project Assessment Panel is looking for evidence that the PO has thought about how gender is relevant to the project. So you should

describe where possible how the project might affect women and men differently, and how you have attempted to address these issues, *where possible*.

**Q. *I cannot find statistics, data, or research to support my responses to the gender criteria. Will I be marked down?***

**No.** You should indicate in your response that there is no supporting data or research readily available and what you have done to find alternative sources of data (i.e., how you know that it is unavailable). You should still attempt to provide a rationale for your response.

**Q. *I will be unable to collect sex-disaggregated data about my project. Will I be marked down?***

**No.** Sometimes it will not be possible or relevant to a project to do so. However, you should explain why, to demonstrate to the Project Assessment Panel that you have thought about and investigated this issue.

## 6. CHECKLIST: HAVE I ANSWERED THE GENDER CRITERIA?

**Before you submit your proposal you should be able to tick the following boxes:**

I have investigated and thought about how:

□ The project affects women or could benefit women, and in particular, does not disadvantage women.

□ How the objectives of the project provide benefits for women.

I have demonstrated this in the proposal using evidence in the form of:

□ Examples
□ Research
□ Statistics
□ Other rationale

## 7. HOW CAN I GET FURTHER ASSISTANCE?

**Speak with your Economy Gender Focal Point, or your Fora Gender Focal Point.** [3]

Focal Points are members of the APEC Policy Partnership on Women and the Economy  You can find out who your economy and PPWE members are through the APEC Secretariat or the APEC Information Management Portal website: http://member.aimp.apec.org/acms_sites/gfpn/Lists/Contacts/AllItems.aspx

Other resources: Harmonized Gender and Development Guidelines for Project Development Implementation, Monitoring, and Evaluation: http://pcw.gov.ph/publication/harmonized-gender-and-development-guidelines-project-development-implementation-monitoring-and-evaluation-0

[3] To be designated.

## Glossary (Gender)

| | |
|---|---|
| sex | Identifies the biological differences between men and women. |
| gender | Identifies the social relations between men and women.<br>It refers to the relationship between men and women and how this is socially constructed.<br>Gender roles are dynamic and change over time. |
| gender analysis | The methodology for collecting and processing information about gender.<br>It provides disaggregated data by sex, and an understanding of the social construction of gender roles, how labour is divided and valued.<br>Gender analysis is the process of analyzing information in order to ensure development benefits and resources are effectively and equitably targeted to both women and men. It is also used to anticipate and avoid any negative impacts development may have on women or on gender relations. Gender analysis is conducted through a variety of tools and frameworks. |
| gender awareness | An understanding that there are socially determined differences between women and men based on learned behaviour, which affect their ability to access and control resources. This awareness needs to be applied through gender analysis into projects, programs and policies. |
| gender-disaggregated data (or sex-disaggregated-data) | Data that show the differences between the situations of women and men, girls and boys. Gender-disaggregated data are necessary for good gender analysis. |
| gender division of labour | Who (women or men, young or old) does what in terms of different types of work, such as productive work in factories, in offices, and on the land; reproductive work as in cooking, cleaning, and caring for family members; and community activities such as attending meetings. |
| gender equality | The result of the absence of discrimination on the basis of a person's sex in opportunities, in the allocation of resources or benefits, and in access to services. |
| gender equity | Fairness and justice in the distribution and outcomes of benefits and responsibilities between women and men.<br>Women-specific programs and policies are often required to correct existing inequalities. |
| gender mainstreaming | The process of ensuring that women and men have equal access and control over resources, development benefits and decision-making, at all stages of the development process and in all government projects, programs and policy. |
| gender neutral | Can be determined only after a rigorous gender analysis has taken place and the economic, social and demographic impacts on women |

| | |
|---|---|
| | and men have been undertaken and it can be determined both quantifiably and qualitatively that the impact of any measure is the same. |
| gender planning (or gender-sensitive planning) | The process of planning development programs and projects that are gender sensitive and that take into account the impact of gender roles and gender needs of women and men in the target community or sector |
| gender responsive budget | An application of gender mainstreaming in the budgetary process.<br>It means a gender-based assessment of budgets, incorporating a gender perspective at all levels of the budgetary process and restructuring revenues and expenditures in order to promote gender equality. |
| gender roles | Learned behaviors in a given society/community that condition which activities, tasks or responsibilities are perceived as male and female. Gender roles are changeable, and are affected by age, class, race, ethnicity, religion, and by the geographical, economic and political environment.<br>Both women and men play multiple roles in society. Women often have reproductive, productive and community managing roles. Men focus more on productive roles and community politics. |
| gender-sensitive (or gender-responsive) | Addressing the different situations, roles, needs, and interests of women, men, girls, and boys. |
| productive roles | Activities carried out by men and women in order to produce goods and services for sale, exchange, or to meet the subsistence needs of the family. For example, in agriculture, productive activities include planting, weeding, animal husbandry. |
| reproductive roles | Activities needed to ensure the reproduction of the society's labor force. This includes child bearing, child rearing, and care for family members such as elderly, children, and workers. These tasks are unpaid and mostly done by women. |
| occupational segregation (vertical and horizontal) | Horizontal segregation refers to the distribution of women and men across occupations.<br>Vertical segregation refers to the distribution of men and women in the job hierarchy in terms of status and occupation. |
| triple burden | Refers to the fact that women tend to work longer and more fragmented days than men as they are usually involved in three different gender roles reproductive, productive and community work. |

# Appendix H

## APEC Project Evaluation Survey: Seminar, Symposium, Workshop

APEC Project Name/Number: _____

Date:_____

**Instructions:** Please indicate your level of agreement with the statements listed in the table below.

| | Strongly Agree | Agree | Disagree | COMMENTS (Continue on back if necessary) |
|---|---|---|---|---|
| The objectives of the training were clearly defined | | | | |
| The project achieved its intended objectives | | | | |
| The agenda items and topics covered were relevant | | | | |
| The content was well organized and easy to follow | | | | |
| Gender issues were sufficiently addressed during implementation | | | | |
| The trainers/experts/facilitators were well prepared and knowledgeable about the topic | | | | |
| The materials distributed were useful | | | | |
| The time allotted for the training was sufficient. | | | | |

1. How relevant was this project to you and your economy?

| 5 | 4 | 3 | 2 | 1 |
|---|---|---|---|---|
| very | mostly | somewhat | a little | not much |

*Explain:*_____

_____

2. In your view what were the project's results/achievements?

*Explain:*_____
_____

3. How was your capacity built by this project? What new skills and knowledge did you gain?
*Explain:*_____
_____

4. Rate your level of knowledge of and skills in the topic prior to participating in the event:

| 5 | 4 | 3 | 2 | 1 |
|---|---|---|---|---|
| very high | high | medium | low | very low |

5. Rate your level of knowledge of and skills in the topic after participating in the event:

| 5 | 4 | 3 | 2 | 1 |
|---|---|---|---|---|
| very high | high | medium | low | very low |

*Explain:*_____
_____

6. How will you use the skills and knowledge gained from this project to build capacity in your home economy? Please provide examples (e.g. develop new policy initiatives, organise trainings, develop work plans/strategies, draft regulations, develop new procedures/tools etc.).
*Explain:*_____
_____

7. What needs to be done next by APEC? Are there plans to link the project's outcomes to subsequent collective actions by fora or individual actions by economies?
_____
_____

8. How could this project have been improved? Please provide comments on how to improve the project, if relevant.
_____
_____
_____

**Participant information (identifying information is optional):**

Name:

Organization/Economy:

Email:

Gender: M / F

***Thank you. Your evaluation is important in helping us assess this project, improve project quality and plan next steps.***

# Appendix I

## APEC Project Procurement Principles

The Guidebook on APEC Projects sets out the guiding principles that underpin APEC's procurement policies. These principles aim to ensure the integrity of APEC's procurement processes through promoting fair and open competition, while minimizing the risk of conflict of interest and exposure to fraud and collusion. These principles are intended to set a balance between the careful adherence to good procurement and contracting principles together with an approach to manage potential conflicts of interest, without imposing an undue burden on the PO in undertaking procurement and contracting processes.

APEC procurement is based on the following guiding principles:

- **Value for Money and Openness**

(Competitive • Clear • Effective)

Open tendering is considered the most competitive procurement process as it encourages fair and open competition. Opening the bids to a wide audience of expert suppliers offers the best chance of receiving high quality proposals and meeting project objectives. In APEC's case, open tendering involves placing the Request for Proposals (RFPs) on the APEC website, thus alerting all member economies to the opportunities.

Value for money seeks to encourage fair competition by conducting a procurement process that makes use of resources in an efficient, effective manner and makes decisions in an accountable and transparent manner to achieve agreed quality outcomes. No procurement process will achieve value for money unless the proposal evaluation process is rigorous. RFPs need to provide a logical, clear and comprehensive description of the scope of work and the requirement. RFPs also need to state the evaluation criteria for assessment and comparison of the costs and benefits of all submissions on a fair and common basis. A fair and rigorous evaluation process and clearly defined contractual agreements are also necessary.

Cost is not the only determining factor in assessing value for money considerations. Consideration should also be given to how well proposals respond to the stated requirements; the performance history of each prospective contractor; and the relative risk of each proposal. This links back to why competitive, open, transparent and equitable tender processes are important.

The revised RFP documentation and approach seeks to reduce a number of risks, including contractors seeking changes to contract terms and conditions, conflict of interest at RFP stage or contractors not delivering the services required. Likewise, the revisions will reduce the risk of a project officer selecting a proposal based on own preferences.

- **Accountability**

(Honesty • Integrity • Fairness)

Adopting an ethical, transparent approach enables business to be conducted fairly, reasonably and with integrity. For APEC Secretariat staff members and POs involved in procurement, there is a requirement to recognize and deal with any real or perceived conflicts of interest as part of the risk management strategy for APEC projects and manage the procurement process a transparent and fair manner.

Some changes recommended for the APEC procurement and contracting process aim to strengthen procurement methods based on the principles for open, transparent, competitive, effective procurement.  Accountability is integral to all aspects of procurement and contracting - officials are responsible for the actions and decisions they take and for the resulting outcomes. Decisions and methods need to be standardized and policy-based, be well-justified and diligently recorded.

# Appendix J

## Guidelines on Conducting Capacity Building

Capacity building as part of APEC's economic and technical cooperation pillar is a responsibility of all APEC fora. Most often, APEC economies deliver capacity building activities through APEC funded project implementation. However a single project by itself may not be sufficient to build capacity in a significant or sustainable way. Capacity building should be considered in the context of a program of work, ideally focused on a limited number of priorities identified through a planning process.

Given the very different areas of focus of APEC fora these guidelines aim to provide a high level checklist detailing considerations during the different stages of preparing and delivering a capacity building program: conceptualizing, designing, implementing, evaluating and completing.

### 1. Conceptualizing Capacity Building Programs

- Determine the development agenda and goals the activity is seeking to achieve, bearing in mind priorities identified by Leaders, the APEC Ministers' Meeting, the ECOTECH Medium Term Priorities and fora strategic plans. Be clear about the steps that need to be taken to meet those goals.
- Identify gaps in capacities through undertaking a targeted capacity needs analysis of developing economies
- Consult and validate needs with key stakeholders
- Ensure the planned program will:
- Be relevant – identify desired outcomes
- Have an impact – identify expected outputs
- Be efficient
- Provide a long term benefit

### 2. Designing Capacity Building Programs

- Undertake a stock take of available resources
- Undertake an assessment of existing training to reduce the risk of duplication with past or existing capacity building efforts and aiming to build on past activities as much as possible
- Consider any gender specific needs
- Consider private sector views and possible involvement
- Prioritize needs and areas of focus
- Set objectives and key indicators to measure the success rate
- Establish and collect baseline information for comparison during monitoring and evaluation
- Identify and involve partners for delivering the activity, including seeking assistance from fora conveners and Secretariat Program Directors as appropriate
- Identify target recipients for the activity – articulate in invitation who (e.g. which level or experience or position held) should be chosen to attend
- Identify the location for the activity taking into account the intended recipients and available budget
- Determine the approach for delivering the program

### 3. Implementing Capacity Building Programs

- Establish a capacity building roadmap to support the activity goals

- Ensure effective succession planning and skills and knowledge transfer processes
- Capitalize on opportunities for resource/cost sharing, learning, collaboration whether bilaterally or multi-laterally e.g. secondment of experts or frequent exchange of personnel. This will also mitigate risks of duplication with other efforts in building capacities funded by external donors or multilateral agencies.

### 4. Evaluating Capability Building Programs

- Ensure there are processes to capture feedback and measure the level of effectiveness of the program and to help inform next steps, both immediately after the activity and some months later
- Note: a sample evaluation tool is available under the projects tab – forms and resources section - of the APEC website
- Review outputs and outcomes against development agenda and goals

### 5. Completion and Next Steps

- Note areas for improvement and fine tune to improve execution in future
- Complete files
- Submit reports
- Acquit funds

# Appendix K

## Capacity Building Goals, Objectives and Principles

Capacity building in APEC refers to a process to enable member economies - particularly developing economies - to obtain, share, strengthen, maintain and develop knowledge, abilities, skills and technical know-how to improve their policies and regulations or their institutional structures or processes.

APEC's capacity building goals and objectives are carried out across all APEC´s committees and sub-fora with four overarching goals and two objectives, as established by APEC's Framework for Strengthening Economic Cooperation and Development (Manila Framework 1996). APEC's capacity building operational principles are contained in the Policy on APEC´s Capacity Building through Economic and Technical Cooperation, which was agreed in 2016. The operational principles govern the process of preparation, submission, selection, implementation and evaluation of APEC projects.

**APEC's goals for capacity building:**

- to attain sustainable growth and equitable development in the Asia-Pacific region;
- to reduce economic disparities among APEC economies;
- to improve the economic and social well-being of the people; and
- to deepen the spirit of community in the Asia Pacific.

**APEC's objectives for capacity building**:

- to build APEC member economies' capacity in the areas relevant to achieve the above long term goals; and
- to help Members to participate more fully in the regional economy as well as in the trade and investment liberalization and facilitation process

**APEC's operational principles for capacity building:**

- Long-term: capacity building should be a permanent pillar of APEC and target a combination of long, medium term and short term APEC goals, priorities and objectives.
- Needs / opportunities driven: capacity building projects should target APEC members' and APEC´s fora needs and opportunities, giving priority to targeted capacity building programs and interventions where they are most needed.
- Internal and regional replicability: the beneficiaries of APEC projects should be able to further replicate and /or disseminate their acquired skills within their economies and to other regional actors, including members of the public, private and academic sectors.
- Consistency: the capacity building projects should be internally consistent and methodologically solid, and should benefit from the input and analysis of relevant technical and sectorial specialists.
- Transparency: information such as targeted outcomes; the process to achieve the outcome and the risks involved should be shared.
- Innovation: capacity building projects should not be redundant. Instead, APEC encourages sharing proven best practices or the implementation and new approaches to solving existing problems in the region.
- Iterative: capacity building projects, especially multi-year projects, should explicitly build on the best practices and lessons learned from previously approved projects, and seek to reinforce capacities of targeted institutions and / or individuals,
- Inclusiveness: projects should not exclude beneficiaries because of their gender, ethnicity, age, sexual orientation, disability or poverty.
- Enabling: capacity building in APEC should have a real impact on individuals, institutions and economies, to assist them to participate more fully in the regional economy and the trade and investment liberalization and facilitation process
- Cost-effectiveness: projects should be formulated bearing in mind that their projected benefits should always exceed their costs.
- Results-based: projects should be defined in terms of their expected results (short, medium and long-term outcomes), with measureable performance indicators.

- Evaluation: the evaluation should address the questions of relevance, performance and cost-effectiveness.
- Continuity and sustainability: capacity building should fulfil the needs and opportunities of members in a catalytic way, so as to facilitate each member's efforts and lead member economies to own the institutional/ individual capacity acquired for long term impact.
- Collaborative: capacity building projects should, where appropriate, build on and complement the work of other relevant regional and global institutions
- Aligned: capacity building projects should be aligned with key APEC Leaders' and Ministerial declarations, key APEC Policy Guidelines on Economic and Technical Cooperation, its long-term goals and objectives, ECOTECH Medium Term Priorities, Fora Strategic and Working Plans, the Host Economy's Priorities, specific objectives to operationalize APEC commitments and take into consideration other related / relevant regional and global efforts.