



**Asia-Pacific  
Economic Cooperation**

# **GUIDEBOOK ON APEC PROJECTS**

EDITION 7

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# 1. Introduction

1-1. Projects are a vital part of APEC's efforts to support sustainable economic growth and prosperity in the Asia-Pacific region. Projects assist member economies in building 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. Thus, projects help to turn policy goals into concrete results and agreements into tangible benefits.

1-2. APEC projects take a range of forms, including seminars, publications, and research. They are open to participation from all member economies and project managers and the Secretariat seek input from governments, the private and business sectors and nongovernment institutions.

1-3. The Guidebook on APEC Projects aims to be a practical handbook for managing APEC projects. The APEC Budget and Management Committee (BMC) issues and updates the guidebook. The BMC may change the content from time to time; when it does so, it will post the updated version on the APEC website. If there is any discrepancy between a printed version of a guidebook and the online version, the most recent decisions of BMC, reflected in the online version, will prevail.

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/apec/tools/glossary.html>.

## 2. Overview of Project Cycle

### Project Roles and Responsibilities

2-1. Responsibility for APEC projects is shared between Project Overseers (POs), APEC fora, member economies, and the APEC Secretariat.

### Senior Officials (SOM)

2-2. SOM have the following responsibilities and authority:

- Responsibility
  - Provide policy direction to fora
  - Nominate the economy's Principal Decision Maker (PDM)
- Authority—Approve projects seeking more than \$200,000 in APEC funding

### Budget and Management Committee (BMC)

2-3. The BMC has the following responsibilities and authority:

- Responsibility
  - Review, recommend, and approve project proposals
  - Oversee APEC project processes
- Authority
  - Approve projects for which \$200,000 or less in APEC funding is sought
  - Make recommendations to SOM on projects for which more than \$200,000 in APEC funding is sought
  - 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

### Principal Decision Makers (PDMs)

2-4. PDMs have the responsibility to prioritize relevant concept notes when demand for project funds outweighs availability, retaining the priority order of each committee.

## Committees (SCE, CTI, EC, SFOM)

2-5. Committees have the responsibility to review, endorse, rank, and prioritise relevant concept notes.

## Proposing Forum

2-6. 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 would be very rare.) The proposing forum has the following responsibilities and authority:

- Responsibility
  - Review, prioritize, endorse, and undertake the quality assurance framework (QAF) exercise for its own project concept notes and proposals
  - Ensure that proposed projects are in line with the forum's annual work plan and medium-term strategic plan priorities and the priorities of APEC as a whole
  - Support POs in implementing projects
  - Ensure that POs submit project monitoring reports by the 1 February and 1 August due dates
  - Contribute to completion reports submitted by POs at the end of a project
  - Consider requests for project changes and extensions and waivers from APEC guidelines (delegated in most cases to the Chair or Lead Shepherd) before they are submitted to the APEC Secretariat
- Authority
  - Endorse project proposals before submission for assessment
  - Endorse requests for project changes, extensions, and waivers

## Project Proponent (PP)

2-7. The PP coordinates the development and submission of the project. The PP is taken to be both the individual and the organization that the individual represents. The PP has the following responsibilities:

- Prepare and revise the project concept note and proposal using the correct forms
- Ensure that the project concept note and proposal comply with APEC guidelines
- Submit the project concept note, proposal, and necessary supporting documentation before the relevant deadlines

## Project Overseer (PO)

2-8. The PO is responsible for ensuring that all aspects of implementation for approved projects are carried out in line with APEC project requirements. The PO is taken to be both the individual and the organisation that the PO represents. The PO and the PP are often the same person, from the same institution. The PO has the following responsibilities:

- Manage the project according to APEC project guidelines, including requirements for financial disbursement, contracting, reporting, and publications
- Ensure that all participants, including experts and speakers, are briefed on their roles, entitlements, and obligations before they are engaged to attend an event or participate in a project
- Endorse all legitimate claims for payment related to the project
- Seek approval from the relevant fora, the Secretariat, and the BMC for changes to the project design, including reallocating funding, changing or substituting milestones, and seeking deadline extensions
- Provide information in a timely manner, including submission of monitoring and completion reports (see also Chapter 10)
- Collect all necessary information and provide it to APEC fora and the Secretariat to monitor the progress and evaluate the results of a project
- Inform the Secretariat if the contact person changes
- Be up to date on APEC's project guidelines throughout the life of the project

2-9. POs must not

- Misuse or misappropriate APEC funds or
- Put themselves in a position where they have a conflict of interest, such as contracting or paying themselves or their associates for work on 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 (PD) and Program Executive (PE) responsible for each forum.

### ***PD***

2-11. The PD has the following responsibilities:

- Advise and assist with the development of project concept notes and proposals
- Advise PPs, POs, and fora on APEC project guidelines and tools
- Coordinate PO requests to amend or extend projects

### ***PE***

2-12. The PE has the following responsibilities:

- Provide advice and support in approving travel bookings and paying travellers
- Provide advice and support to process claims for payment and developing contracts
- Provide advice on meeting periodic reporting requirements

## **PMU**

2-13. The Project Management Unit (PMU) of the APEC Secretariat supports PDs and PEs in carrying out the project responsibilities and assists the BMC in overseeing projects. The PMU has the following responsibilities and authority:

- Responsibilities

- Co-ordinate the concept note prioritization process, including the allocation of APEC Support Fund (ASF) concept notes to relevant subfunds
- Assess and provide advice to improve the quality of project proposals
- Prepare project funding recommendations to the BMC
- Submit project management reports for the BMC, including compliance with monitoring and completion report requirements and results of project evaluations
- Suggest options for improving project management to the BMC
- Submit requests for significant project changes or increases in project funding to the BMC
- Ensure that APEC project guidelines and requirements are met
- Provide capacity building support to improve the effectiveness and efficiency of APEC projects

- Authority

- Assess quality of projects and make project funding recommendations to BMC
- Approve minor project waivers, extensions for up to 12 months, revisions and budget changes that do not substantially affect the quality or scope of the project

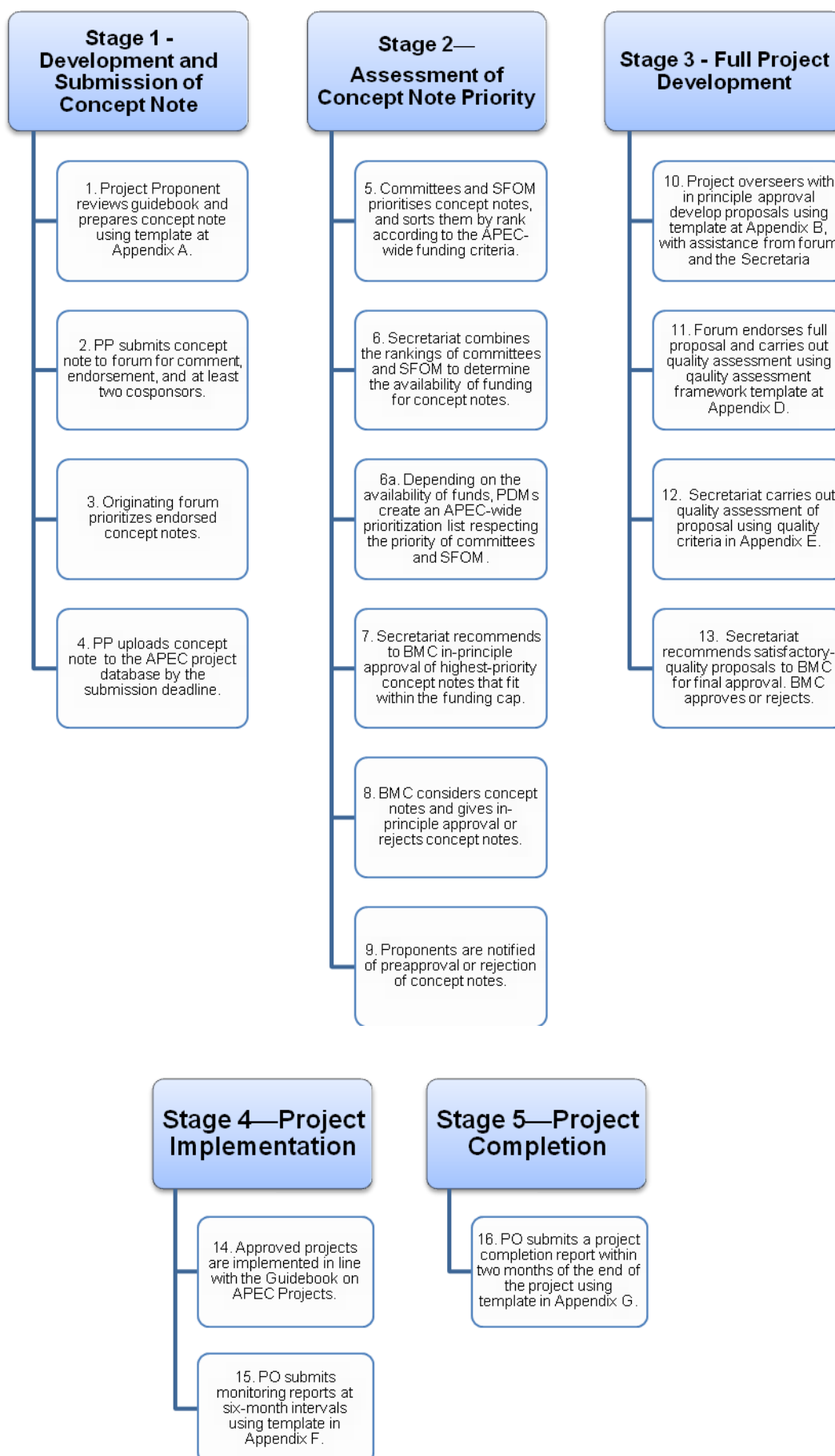
## **Project Funding Rounds**

2-14. There are three project approval rounds per calendar year. The BMC sets the dates and timeframes for each round. The most up-to-date information on closing dates can be found on the APEC website: <http://www.apec.org/apec/projects.html>.

## **Project cycle**

Figure 1 shows the project cycle for APEC-funded projects:



Figure 1 *Project Cycle for APEC-funded Projects*

## **3. Funding and Accounts**

3-1. APEC Ministers have committed to funding projects that are both high priority and high quality. The BMC has been delegated the authority to approve proposals valued at \$200,000 or less. When the total value of projects submitted exceeds the funding available, the BMC has the authority to provide in-principle approval for the highest-priority concept notes, as determined by PDMs.

3-2. The financial year of APEC is from 1 January to 31 December of each year. The amount available under each project fund is presented annually to the BMC for approval. Updates on the availability of project funding are provided regularly to assist members in monitoring APEC's overall project financing levels.

3-3. All APEC projects are funded and calculated in U.S. dollars (USD).

3-4. There are four main sources of funding for APEC projects: the operational account (OA), the Trade and Investment Liberalisation and Facilitation Account (TILF), the APEC Support Fund (ASF), and self-funding.

### **Operational Account**

3-5. The OA is funded from annual membership contributions. It can be used for all types of APEC projects, and supports initiatives under APEC's economic and technical cooperation agenda.

3-6. Economic and technical cooperation is aimed at attaining sustainable growth and equitable development, while reducing economic disparities among APEC economies and improving economic and social well-being.

3-7. All member economies may apply for funding under OA.

3-8. Projects may be fully funded under OA. There are no self-funding requirements for OA-funded projects.

### **Trade and Investment Liberalisation and Facilitation Account**

3-9. TILF is sourced from voluntary member contributions. It provides funding for projects that expand cooperative programs and support trade and investment liberalisation and facilitation as articulated by Leaders' or Ministers' directives and the Osaka Action Agenda.

3-10. All TILF projects must clearly contribute to achieving trade and investment liberalization and facilitation. In particular, each project must articulate how it relates to at least one of the 15 areas listed in Part 1 of the Osaka Action Agenda.

3-11. All member economies may apply for funding under TILF.

3-12. All non-TILF contributing member economies must self-fund a percentage of the overall project cost that otherwise would be eligible for APEC funding. Developed economies subject to this requirement must provide at least a 50% self-funded component; relevant developing economies must provide a 20% self-funded component.

## APEC Support Fund

3-13. The ASF and its subfunds are sourced from voluntary member contributions. The ASF complements OA and TILF to meet capacity-building needs for APEC developing economies in agreed high-priority areas for economic and technical cooperation.

3-14. The ASF is composed of a general fund, as well as specific subfunds for

- Human security,
- Avian influenza,
- The Second Trade Facilitation Action Plan (TFAP II),
- Technology, and
- Energy Efficiency.

3-15. Projects funded by the ASF (including its subfunds) are open for participation by all APEC members. ASF funding will be available only for capacity-building projects that primarily benefit developing member economies. APEC defines capacity building as activities that enable people, businesses, and government departments to improve their skills and knowledge to engage in trade and investment liberalization and facilitation.

3-16. All member economies may apply for funding under ASF.

3-17. Projects may be fully funded by ASF and its subfunds. There is no self-funding requirement for ASF-funded projects.

## Self-Funding

3-18. “Self-funding” refers to any non-APEC amount provided to the project. Sources can include member economies, private sector partners, or other international organizations. Any sponsorship of projects must meet the requirements of the APEC Sponsorship Guidelines

([http://www.apec.org/etc/medialib/apec\\_media\\_library/downloads/som/pubs.Par.0001.File.v1.1](http://www.apec.org/etc/medialib/apec_media_library/downloads/som/pubs.Par.0001.File.v1.1))

3-19. Fully self-funded projects can be put forward at any time to the relevant APEC forum for approval by consensus. These projects do not need to be submitted as concept notes first or assessed using the QAF. They do not need to be approved by BMC. Self-funded projects and self-funded components of projects must comply with the APEC Publication Guidelines.

3-20. POs of self-funded projects must submit the cover sheet at **Appendix C** into the APEC project database before commencement of the project.

3-21. POs of self-funded projects are strongly encouraged to submit completion reports. The completion report template can be found at **Appendix G**.

## 4. Applying for Funding

### Stage 1—Concept Note Preparation and Submission

#### Step 1. Project Proponent reviews guidebook and APEC-wide funding criteria and prepares concept note

4-1. To ensure that concept notes are consistent with APEC's funding requirements and restrictions, Project Proponents (PP) are strongly encouraged to read this guidebook on APEC projects and the APEC-wide Funding Criteria. Failure to do so may result in a concept note not being recommended for funding or a project proposal of unsatisfactory quality. Concept notes are to be completed using the template at **Appendix A**.

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**Timeframe**

Before submission deadline set by BMC.

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4-2. PPs and fora are advised to contact their PD as early as possible in the development of concept notes so that the PD may give advice and assistance. Early involvement may assist the PP in improving concept note relevance at the time of submission, and if the concept note is selected, to improve quality during project design and implementation.

4-3. Concept notes must be succinct and to the point. Concept notes (including title page) of more than three A4 pages will **not** be considered.

#### Step 2. Project Proponent submits concept note to the originating forum for comment and to secure cosponsors

4-4. The PP must submit their concept note to their forum to examine and provide feedback on relevance, particularly in relation to

- APEC-wide Funding Criteria
- Leaders', Ministers', and SOM priorities
- Potential for positive contribution to 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
- APEC value added and value for money: Does the proposed project duplicate other work? Does it build upon other projects and lessons learned? Does it have wide appeal and support among members?

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**Timeframe**

Before submission deadline set by BMC. Fora set their own deadlines to facilitate the endorsement process.

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4-5. The PP must find a sponsor (usually their own economy) and at least two cosponsors for the project. Some fora require more cosponsors. The PP must confirm the minimum requirement with the forum's PD.

4-6. Sponsors and cosponsors are expected to be involved in the development of proposals and the implementation of projects, but the role of sponsor and cosponsor varies from project to project. For example, roles may include providing voluntary contributions to the project (financial, personnel, hosting support), forming part of a project steering committee, assisting with providing research data or case studies.

### **Step 3. Originating forum reviews the APEC-wide funding criteria to endorse and prioritise concept notes**

4-7. The PP must secure its forum's endorsement of the concept note for the project to be eligible for APEC funding.

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#### **Timeframe**

By the submission deadline  
set by BMC

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4-8. Fora assess, endorse and prioritise all of their concept notes.

4-9. The originating forum provides the relevant PD with a brief (up to four-line) project description and justification for the endorsement of each concept note.

### **Step 4. PP submits endorsed concept note to the Secretariat**

4-10. The endorsed and prioritised concept note, along with the forum's endorsement justification, is submitted to the Secretariat by the advertised submission deadline. Submission is via email to the relevant Program Director.

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#### **Timeframe**

By the submission deadline  
set by BMC

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4-11. The Secretariat undertakes a compliance check of all concept notes before proceeding to Stage 2.

## **Stage 2—Priority Assessment of Concept Notes**

### **Step 5. Based on the APEC-wide Funding Criteria, Committees and SFOM groups concept notes by the relevant category and prioritise their concept notes.**

4-12. Within one to two days of the submission deadline, the Secretariat collates project descriptions and forum priority information and sorts the concept notes by APEC committee (CTI, SCE, or EC) and SFOM. The Secretariat presents this information to the relevant committee or SFOM.

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#### **Timeframe**

10 days

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4-13. Committees and SFOM group their own concept notes and those originating from their sub-fora, working groups or task forces into corresponding categories from the APEC-wide Funding Criteria. Committees and SFOM members also determine the priority of each concept note. Committees may take the priority order of originating fora into consideration but are not obliged to maintain those priorities in developing their own categorisation and prioritisation. The CTI categorises and prioritises proposals from all industry dialogue groups. The SCE categorises and prioritises any proposal from SOM.

4-14. To facilitate transparency and alignment between funding and APEC goals, committee members are requested to briefly justify their categorisation with reference to the

goals of the Committee. These categorisation and justifications may be made available to all committee members and project proponents through the relevant PD.

4-15. Committee members individually send their Funding Criteria categorisation, prioritizations, and justifications to the Secretariat for collation.

## **Step 6. Secretariat combines committee and SFOM rankings by fund and subfund.**

4-16. The votes of members are averaged to determine the priority of each concept note to the Committee or SFOM, and its Funding Criteria ranking category. The Secretariat then sorts the concept notes by fund.

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### **Timeframe**

1–2 days

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4-17. Starting with the first Funding Criteria ranking category, the Secretariat identifies if any category requires further prioritization (and needs to progress to step 6a) according to whether there are sufficient funds to support all proposals in that category.

## **Step 6a. If required, each economy's PDM prioritises concept notes within a rank.**

4-18. If there are more concept notes than can be funded within a particular ranking category, the Secretariat refers the priorities of the SCE, CTI, EC, and SFOM to each economy's PDM for further prioritisation. For example, if

there are enough funds available to cover all "ranking category 1" concept notes in OA, but only some of its "ranking category 2", then *only* OA category 2 concept notes are referred to PDMs for prioritisation.

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### **Timeframe**

1 week

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4-19. To develop an APEC-wide prioritisation list, each economy's PDM compares and combines all concept notes that committees and SFOM have determined to be of the specific Funding Criteria category. The PDM prioritises them according to the *degree* to which they contribute to the Funding Criteria ranking category. The PDM must maintain the relative priorities of each committee and SFOM in developing a combined priority list. This means that the PDM may not place a concept note that a committee has placed as priority 2 above a concept note that the same committee has ranked priority 1. However, it is possible that one committee's concept notes could be prioritised above some or all those of another committee.

4-20. The Secretariat may request that a PDM revise its prioritisation if the priority order of the committees or SFOM is not respected. The Secretariat may also ask the PDM for revisions if the PDM has prioritized only some of the proposals within a category. The vote of any PDM may be removed from calculations if these requirements are not met.

4-21. In making a decision, each economy's PDM is encouraged to refer to the project information provided by committees and fora, the overall goals of APEC, and relevant high-level documents such as Leaders' and Ministers' statements and committee-level medium-term plans. The participation of an economy's SCE, CTI, EC, and SFOM representatives in this deliberation is encouraged.

## Step 7. The Secretariat determines which concept notes can be recommended for funding based on prioritisation by committees (or PDMs when necessary).

4-22. By averaging committee and/or PDM responses, the Secretariat generates the list of concept notes for each funding account that will be recommended to BMC for in-principal approval.

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### Timeframe

1-2 days

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4-23. For each funding account (OA, TILF, ASF, ASF sub-funds), a concept note will be recommended for in-principal approval if it:

- Falls within a ranking category that fits under the funding cap of the account (beginning with “ranking category 1” and working down, as in step 6); or
- Falls within a ranking category that cannot be fully funded by a funding account, but is prioritised above the funding end point by PDMs (as in step 6a. For example, an account may have enough funds to cover only the top three prioritised projects in “ranking category 1”, thus may not have sufficient funds for the fourth priority and beyond, or for any “ranking categories 2-4” concept notes. Therefore only the top three prioritised concept notes would be recommended for in-principal approval.)

## Step 8. BMC approves concepts notes in principle.

4-24. The Secretariat advises the BMC on which concept notes can be funded, according to the priority assessment and the amount available in each fund or subfund.

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### Timeframe

3 days

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4-25. BMC reviews the Secretariat’s recommendation to confirm procedural fairness and that outcomes reflect the views of committee members, and when required, PDMs.

4-26. The BMC provides in-principle funding approval for concept notes. Final approval is subject to the full project proposals’ receiving a ‘satisfactory’ quality assessment.

## Step 9. Secretariat informs PPs of results of proposal.

4-27. Successful PPs are invited to work with the Secretariat to submit project proposals within the specified deadline. Unsuccessful PPs are notified that they can resubmit their concept note in the next funding round. All resubmitted concept notes are treated as new submissions.

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### Timeframe

As soon as possible after in-principle approval

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## Stage 3—Quality Assessment of Project Proposals

### Step 10. PP develops a full project proposal.

4-28. Project proposals are to be completed using the template at **Appendix B**. Proposals must be succinct and to the point and meet the assessment criteria. Each project

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### Timeframe

As soon as possible after in-principle approval

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

4-29. After a concept note receives in-principle approval, the PP has until the specified deadline to develop the project proposal. The PP is encouraged to work with the Secretariat to achieve ‘satisfactory’ quality according to APEC’s quality criteria, outlined below but detailed at **Appendix E**:

- **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’s meeting its stated objectives
- **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.

4-30. To ensure that project proposals are consistent with APEC’s funding requirements and restrictions, the PP must follow the rules stated in this guidebook. Failure to do so may result in a proposal’s not being recommended, difficulties during implementation, or non-payment of claims.

4-31. The PP should ensure that their project maximises the following cross-cutting methodologies identified in the Framework to Guide ECOTECH Activities:

- Development of human capital
- Linkages between APEC economies
- Gender equality
- Engagement of other APEC fora, ABAC, the private sector, and other multilateral organisations.

## **Step 11. PP submits full project proposal to the originating forum for quality assessment and endorsement.**

4-32. The PP must secure the endorsement of their forum for the project proposal to be eligible for APEC funding.

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### **Timeframe**

As soon as possible after in-principle approval

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4-33. The forum should use the Quality Assessment Framework (QAF) to assist PPs improve the quality of proposals. The QAF allows the forum to provide comments to the PP in a structured manner, aligned to APEC’s quality assessment criteria. The QAF is to be completed using the template at **Appendix D**.

4-34. All fora are encouraged to establish a small group of three to five members to evaluate the quality of proposals and complete the QAFs. The small group members may change at each approval session, but greater consistency and comparability can be gained if the same members assess all proposals from the same forum each session.

4-35. A minimum of two QAFs are required. A proposing economy cannot provide a QAF assessment for its own proposal. Cosponsoring economies may provide a QAF assessment.

## Step 12. PP submits the project proposal and combined QAF to the Secretariat for quality assessment and funding recommendation.

4-36. The PP submits the endorsed project proposal and QAF document to the Secretariat. The QAF must be a single document that combines the feedback of all assessors.

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### Timeframe

As soon as possible, but before the deadlines specified by the BMC.

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4-37. The Secretariat assesses the quality of each project proposal. The assessment is undertaken by the PMU in consultation with the PP and the relevant PD.

4-38. The PMU draws on the QAF comments and uses APEC's quality criteria (Appendix E) to assess proposals.

4-39. Proposals must earn a 'satisfactory' rating for each criterion before they can be recommended to BMC for funding approval. The assessment of "relevance" is made when Committees and member economies categorise and prioritise the concept notes. The PMU will make comments regarding eligibility under the TILF or ASF.

4-40. On the basis of the PMU's assessment, the Secretariat makes a recommendation for the BMC's approval, or for the SOM's approval through the BMC for proposals requiring more than USD200,000 of APEC funding.

4-41. The Secretariat will recommend satisfactory quality proposals to BMC according to the agreed deadlines.

## Step 13. BMC (or SOM if appropriate) approves or rejects project proposal for funding.

4-42. The BMC makes decisions on project funding between its meetings. Members consider the quality of proposals, as assessed by the Secretariat, when making decisions.

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### Timeframe

BMC has three days to consider full proposals.

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4-43. The BMC approves full project proposals requiring APEC funding of USD200,000 or less. The BMC recommends projects requiring more than USD200,000 of APEC funding to SOM for approval.

4-44. The Secretariat notifies the PP of the outcome of the BMC's considerations.

### *Projects that Are Approved*

4-45. The PP of a successful project normally becomes the PO. The PO is given a letter of acceptance stating the amount of funding approved, special rules relating to the project, the contact details of the relevant PD and PE, and an overview of each party's responsibilities. The PO must sign this letter and return it to the Secretariat before funds disbursement can commence.

***Projects that Are Not Approved***

4-46. 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 written justification for its assessment, and the PP is invited to submit a written explanation of their views on the quality of the proposal based on the quality criteria as described in **Appendix E**. Using these justifications and any supporting evidence, BMC members are asked if they concur with Secretariat recommendations. If a BMC member does not concur with the Secretariat’s recommendation, they provide an explanation, with reference to the quality criteria, for discussion by all BMC members. Any BMC member not responding within a two-week deliberation period is assumed to have endorsed the Secretariat’s recommendations.

4-47. BMC may find that the project has achieved APEC’s minimum quality standards and approve the project for funding (with any conditions it deems appropriate) or return the decision to the Secretariat and PP for further review, for a period not to extend beyond two weeks; or decide to revoke their in-principle agreement to fund the proposal. If the in-principle agreement is revoked, the concept note may be resubmitted to the relevant committee for reconsideration and re-prioritisation in a future approval round.

# 5. Project Implementation

## Stage 4—Implementation

### Step 14. PO implements project in consultation with originating forum and the Secretariat.

5-1. APEC projects are implemented over two APEC financial years, starting with the year that a project is approved and ending on 31 December the following year—that is, projects approved in March 2010 must be implemented by 31 December 2011. Projects approved in November 2010 must also be completed by 31 December 2011.

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**Timeframe**

Within two financial years

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5-2. All disbursements must be completed by the date stated on the project proposal. In exceptional cases, the project disbursement deadline may be extended.

5-3. 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.

5-4. The steering committee may include project cosponsors, forum members, representatives of relevant multilateral organizations, and private sector stakeholders. The steering committee or PO must finalise the details of the project, including the timing and venue of events, participants, and any contracting necessary.

5-5. If a PO cannot continue in the role, they must inform the Secretariat of their 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 15. PO submits monitoring report to Secretariat through the relevant PD.

5-6. The PO keeps the PD and PE regularly informed of progress in implementing the project (at least every two months).

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**Timeframe**

On 1 August and 1 February of each year

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5-7. All APEC-funded projects are monitored to ensure that they are progressing in line with the timeframes, budgets and methods presented in the project proposal. Projects are monitored at least every six months.

5-8. The PO is responsible for completing the monitoring report (Appendix F). The full reports are presented to the relevant forum, and a summary report is presented to the BMC.

5-9. Both the relevant forum and the BMC may take action to manage projects that are not being implemented in line with timelines or expectations.

5-10. The Secretariat reports projects that have not met the monitoring reporting requirements. POs that fail to submit monitoring reports may not put forward new concept notes or proposals until all overdue reports are submitted.

## Stage 5—Project Completion

### Step 16. PO submits completion report to Secretariat.

5-11. An APEC project is considered ‘completed’ on 31 December of the year following the funding of the project, or when all project activities have been finished and all project invoices received, whichever is earlier. A project may also be deemed “completed” if it is terminated by its approving body (i.e., BMC or SOM).

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#### Timeframe

Within two months of the completion of the project

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5-12. The PO must finalise the project completion report (at Appendix G) within two months of the completion of the project.

5-13. POs must submit completion reports to the APEC Secretariat through their forum’s PD. The Secretariat reports projects that have not met completion reporting requirements. Following SOM authorisation, BMC bars any forum failing to complete completion reports from putting forward new concept notes or proposals until all overdue reports are submitted.

## 6. Allowable Expenses

6-1. 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.

6-2. APEC project funding covers the following four main areas:

- Labour and personnel costs
- Travel expenses
- Publications and communications costs
- Project event costs.

### Labour Costs

6-3. Labour, or personnel, costs include contractor fees, writing and translation fees, short-term clerical work, and honoraria.

6-4. Labour costs are paid under a contract entered into with the APEC Secretariat before the work commences. Refer to Chapter 8, Contracting, for greater detail.

6-5. Current government employees are strongly discouraged from engaging in contracts to provide labour in any form through an APEC-funded project. This includes contracts providing honoraria. The PO is responsible for ensuring that the preferred contractor is not a government employee.

6-6. Government institutions and international organisations must receive special approval from the Secretariat to act as contractors on APEC projects.

6-7. Labour costs are paid after completion of the work or in instalments for reaching milestones as specified in the contract. An up-front mobilization payment of up to 25% of the contracted amount may be made for labour under a contract. All other payments are made after the completion of tasks.

### Honoraria

#### **Allowable**

6-8. Honoraria, to a maximum of USD1,500, are allowable for experts (“expert” is defined in paragraph 6-18) presenting at APEC events.

***Nonallowable***

6-9. Government officials, international organisation officials, and anyone otherwise engaged to work on the project (e.g., contractors, PO) are not eligible for honoraria.

**Contractor Tasks*****Allowable***

6-10. Event or project organisation, research, clerical and administrative support, and translation of training material are allowable contractor tasks. Strong justification before approval is required, however, for translation of project reports, simultaneous interpretation, and website design.

***Nonallowable***

6-11. Website administration and maintenance are nonallowable contractor tasks.

**Travel Expenses**

6-12. Travel expenses include both the cost of travelling to a location and the per diem allowance.

***Eligibility***

6-13. Travel expenses are paid to the following APEC funded travelers:

- Participants
- Experts
- Contractors

***Participants***

6-14. Participants are 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.

6-15. Participants can be government officials, representatives from the private sector or civil society, academics, or other stakeholders.

6-16. APEC funds travel expenses for a maximum of two participants per travel-eligible economy. An additional number of participants from each economy may be funded in exceptional circumstances. The relevant PD should be contacted to investigate funding for more than two participants and to seek approval from the Secretariat.

6-17. The following member economies are considered 'travel-eligible':

- Chile
- China
- Indonesia
- Malaysia

- Mexico
- Papua New Guinea
- The Philippines
- Peru
- Russia
- Thailand
- Viet Nam

### **Experts**

6-18. ‘Experts’ cover trainers, moderators, speakers, and presenters who contribute at an expert level at an APEC event.

6-19. To maximise the impact of expert input, APEC provides funding for no more than six experts for each day of the event. Experts are eligible for travel expense payments for each day they have a formal role at the event.

6-20. Government officials from non-travel-eligible member economies acting as experts fund their own participation as experts in APEC-funded events. A waiver must be sought from the Secretariat to approve the use of APEC funds to fund this class of expert.

### **Contractors**

6-21. Chapter 8 provides guidance on the eligibility of contractors’ travel expenses for reimbursement.

### **Travel**

6-22. 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 authorized 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. Approval for experts to be reimbursed for business class fares must be sought through the APEC project proposal.

6-23. APEC does not fund travel for travellers attending project events in the margins of an APEC forum meeting when their attendance at that meeting would normally be funded by their own economy. APEC may provide, however, per diem payments for the period of the project event to such travellers.

6-24. POs must communicate the limitations and requirements on funding travel costs to the APEC-funded traveller.

### **Per Diem**

6-25. APEC travellers 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.

6-26. Per diems are paid to cover expenses related to attending an APEC event or undertaking an APEC task outside of a traveller’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 nonaccountable, which means a traveller does not have to acquit the funds.

6-27. There are two types of per diem payment:

- **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 traveller requires accommodation for an unavoidable overnight transit
  - Amount:** 100% of the daily rate for the transit city
  - Period of time:** For the relevant day

6-28. **NOTE:** Exceptional per diem payments are only to accommodate travellers that have no choice but to stay overnight in a transit city to facilitate travel to or from an APEC project event. It does not apply in circumstances such as travellers making unnecessary transits, extended transit stops for personal or non-APEC work reasons, or for travellers who want to fly a preferred airline.

6-29. **Rate of per diem:** The rate varies according to the city in which the function is held. Per diem rates are based on either the latest release of UN's Schedule of Daily Subsistence Allowance Rates, which can be searched at <http://www.who.int/bfi/Perdiem/pdindex.asp>, or the latest release of the U.S. Department of State Per Diem Rate, which can be searched at: [http://aoprals.state.gov/web920/per\\_diem.asp](http://aoprals.state.gov/web920/per_diem.asp). If there is a discrepancy, the UN rate will prevail.

6-30. Depending on arrangements, POs may choose to budget for a lower per diem for the project event city, but not a higher rate.

6-31. 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, visa fee, insurance, transaction and reimbursement costs (such as bank charges, and goods and services tax). This payment is also nonaccountable.

6-32. All travellers claiming a per diem must sign a Per Diem form at the end of each day of an event as proof of attendance. Per Diem forms can be found in the Resources folder on the front page of the project database.

6-33. Per diems are normally paid in arrears, unless a request is made for an advance payment. Advance payments can be made either through bank transfer or in cash, distributed by the PO or their representative.

6-34. POs must communicate the limitations and requirements on funding per diems to the APEC-funded traveller before travel commences.

6-35. 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 nonpayment for costs that are not approved by the Secretariat.

6-36. 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

6-37. At least two weeks before the event, the traveller 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 database).

6-38. At least one week before the event, the traveller 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

6-39. POs must ensure that each traveller 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 traveller's own risk.

6-40. If required, visas must be secured before the purchase of tickets. It is the traveller's responsibility to check visa requirements. Fares purchased before securing a visa are purchased at the traveller's own risk.

## Publication and Distribution Costs

6-41. POs are responsible for ensuring that publication content 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. The definition of "APEC publications" is found in the APEC Publications Guidelines (page 6).

6-42. The most recent versions of the Publication Guidelines and other requirements governing APEC publications can be found through the following links:

[http://www.apec.org/apec/about\\_apec/policies\\_and\\_procedures.html](http://www.apec.org/apec/about_apec/policies_and_procedures.html)

- Publication guidelines:

[http://www.apec.org/etc/medialib/apec\\_media\\_library/downloads/sec/pubs/2010.Par.0030.File.tmp/APECPubs\\_guide\\_July2010.pdf](http://www.apec.org/etc/medialib/apec_media_library/downloads/sec/pubs/2010.Par.0030.File.tmp/APECPubs_guide_July2010.pdf)

- Logo guidelines:  
[http://www.apec.org/etc/medialib/apec\\_media\\_library/downloads/sec/docs/2007.Par.0038.File.tmp/Apec%20logo%20guide\\_lr\\_Sep07.pdf](http://www.apec.org/etc/medialib/apec_media_library/downloads/sec/docs/2007.Par.0038.File.tmp/Apec%20logo%20guide_lr_Sep07.pdf)
- Website guidelines:  
[http://www.apec.org/etc/medialib/apec\\_media\\_library/downloads/sec/docs/2009.Par.0005.File.tmp/APECWebsites\\_guide\\_Sep09\\_Final.pdf](http://www.apec.org/etc/medialib/apec_media_library/downloads/sec/docs/2009.Par.0005.File.tmp/APECWebsites_guide_Sep09_Final.pdf)
- Intellectual property policy:  
[http://www.apec.org/etc/medialib/apec\\_media\\_library/downloads/sec/docs/2007.Par.0004.File.v1.1](http://www.apec.org/etc/medialib/apec_media_library/downloads/sec/docs/2007.Par.0004.File.v1.1)

6-43. The content of any publication is the responsibility of the PO. All publication content must be approved by the forum before the publication is submitted to the Secretariat for printing approval.

6-44. In addition, publication may be coordinated by the Communications and Public Affairs team of the APEC Secretariat or by the contractor. The PO is encouraged to compare the costs of different publishing methods with a view to minimizing costs, while ensuring that distribution is appropriate.

6-45. 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 publication policies or payment will be withheld.

6-46. Consideration can be given to the sale of publications in deciding the design and printing quantity of the publication. Consideration should also be given to electronic publishing as a supplement or substitute for printed copies. Publishing in CD-ROM or other electronic means or sending the publication to the APEC Publication Database (<http://publications.apec.org>) is encouraged.

6-47. Disbursement for publishing and distribution costs will be done on a reimbursement basis and will take place only when the Secretariat receives

- 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
- At least five hard copies (if applicable) or an electronic copy (if applicable) of any publication (report), or training or multimedia material (e.g. CD-ROM, video). These must be produced in accordance with APEC's publication guidelines.

## Project Event Costs

6-48. APEC will reimburse the majority of costs associated with project events such as workshops, seminars, training courses, and surveys. Amounts reimbursed are capped at the level set out in the approved budget.

## Event Hosting

6-49. APEC will reimburse the costs of the following:

- Conference room and secretariat room rental
- Conference logistical and organisation support

- Stationery
- Purchase or rental (whichever is cheaper) of specialised equipment needed for the event, including equipment to facilitate simultaneous interpretation. Standard office equipment such as computers (including laptops), printers, copiers and cameras are not considered “equipment” for the purpose of reimbursement.
- Development of teaching and training materials (unless already covered by a contract or other budget item)
- Translation of key materials and project-related outputs (with justification)
- Photocopying, communication and office supplies.

## Surveys and Research

6-50. APEC will reimburse the costs of the following:

- Books and documents necessary for research (including postage).
- Purchase or rental (whichever is cheaper) of equipment needed for the survey or research. Standard office equipment such as computers (including laptops), printers, copiers and cameras are not considered ‘equipment’ for the purpose of reimbursement.
- Translation of material for surveys or research.

## Nonallowable Expenses for APEC Project Funding

6-51. The following expenses are not allowable for APEC project funding and do not count when calculating self-funding requirements for TILF projects:

- Meals
- Coffee and tea breaks
- Promotional items and gifts (such as banners, briefcases, souvenirs, flowers)
- Maintenance costs for websites, databases and other on-line resources (including servers). Development costs may be funded if the PO shows how maintenance costs will be met.
- Conference registration fees
- Local transport costs, including for airport transfers, field trips, or sightseeing
- Simultaneous interpretation at project events
- Standard office equipment such as computers (including laptops), printers, and cameras are not considered “equipment” for the purpose of reimbursement.

## Exceptions to Nonallowable Expenses

6-52. A waiver may be granted to allow certain otherwise nonallowable expenses 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 normally nonallowable costs. The submission must be accompanied by quotations for both room-only costs 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.

6-53. A waiver may be granted to allow simultaneous interpretation. APEC participants and experts are expected to be sufficiently conversant in English to follow training seminar workshops but approval to reimburse the cost of a simultaneous translator may be approved with strong justification. Waivers may be approved by the BMC or Secretariat depending on the significance of the request.

# 7. General Disbursement Procedures

7-1. 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.

7-2. The PO must certify all claims for payment for satisfactory completion of tasks before the claims are presented to the APEC Secretariat.

## Claiming Payment—Honoraria

7-3. 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
- Payment instructions (bank name, bank codes, name of account holder and account number) and details of the task or milestone being claimed against, in English.

## Claiming Payment—Travel Expenses

7-4. To claim reimbursement for travel expenses, claimants must send the Secretariat the following documentation

- Certification from the PO that the APEC-funded traveller has travelled and performed the tasks as an expert or participant
- The per diem form confirming attendance (per diems forms are available from PEs)
- Evidence from the APEC-funded traveller of the actual travel cost incurred (e.g., e-ticket, air ticket, or train ticket receipt)

## Claiming Payment—All Other Payment Types

7-5. To claim all other payments, claimants must send the APEC Secretariat :

- An official invoice in English, stating payment instructions (bank name, bank codes, name of account holder and account number) and details of the task or milestone being claimed against

- Certification from the PO stating that the specific task in a contract or undertaking has been completed satisfactorily
- Receipts or other evidence of costs incurred if the payment relates to reimbursable items.

7-6. Claims for payment are not processed until all necessary paperwork and certifications are completed and received by the Secretariat.

7-7. 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 unauthorized commitment.

7-8. When an individual project budget items does not exceed USD2,000, supporting documentation is not needed. Claims may be paid on the basis of a certified invoice from the PO detailing the claims being made.

7-9. 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.

7-10. The APEC Secretariat will absorb Singapore-based bank charges associated with disbursements. Bank charges levied at the receiving end 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 traveller who is not in receipt of a per diem).

7-11. The APEC Secretariat does not make reimbursements in a single cheque telegraphic transfer of less than USD50.

7-12. 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. An exception may be granted by the Secretariat only with strong explanation and justification.

7-13. 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) or instalment payments (when payments are made in recognition of the partial completion of a task or set of tasks) for labour costs and travel expenses. To gain approval for advance or instalment payments:

- A request for advance or instalment payments must be detailed in the project proposal format and must receive approval from BMC or the APEC Secretariat.
- Requests must be justified, and the APEC Secretariat retains the right to decline a request, especially if there is a risk of nonperformance of the task or action that is being prepaid.

## 8. Contracting

8-1. Competitive bidding is important to ensure that APEC projects provide value for money. Depending on the value of the contract, different methods are used to engage a contractor.

8-2. All APEC-funded contracts are held between APEC and the contractor. The contractor can be an institution, company, or individual person. POs are responsible for recommending to the APEC Secretariat suitable bodies or individuals to carry out the contract terms of reference. The APEC Secretariat may veto a proposed contract when a conflict of interest could be perceived, such as when a relationship exists between the PO and contractor, or when the PO and contractor are employees of the same organization.

8-3. A sample contract can be found under the 'Resources Sample Document' tab of the project database. This contains the standard terms and conditions for all APEC contracts. Contractors must agree to these terms and conditions before being recommended to undertake project tasks.

8-4. The APEC Secretariat is responsible for preparation of the contract and negotiation of the final contract text with the contractor. The Secretariat will keep the PO informed of the progress of any negotiations.

8-5. 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.

### **Contracts Valued at \$5,000 or Less**

8-6. To have a work undertaking approved, the PO must provide to the Secretariat:

- Terms of reference
- CV of a recommended contractor

8-7. After the Secretariat has approved the contractor, the Secretariat will complete the Work Undertaking, consisting of:

- Terms of Reference
- Contractor's CV
- Notice of offer from the Secretariat
- Notice of acceptance from the contractor

### **Minor Contract: Valued from \$5,001 to \$20,000**

8-8. To have a minor contract approved, the PO must provide to the Secretariat:

- Terms of Reference
- CV of a recommended contractor (notice that the recommended contractor agrees to the standard contract terms and conditions)
- Justification for the choice of contractor

8-9. After the Secretariat has approved the contractor, the Secretariat will complete the contract.

## **Major Contract: Valued from \$20,001 to \$50,000**

8-10. To source a major contract valued from \$20,001 to \$50,000, the PO must work with the relevant PD to prepare a Request for Proposals (RFP) based on the contract Terms of Reference and the funding available for the contract. At least three suitable contractors must be invited to respond to the RFP.

8-11. To have a major contract approved, the PO must provide to the Secretariat:

- CV and proposal from the recommended contractor
- A report that details the PO's selection process and justifies the choice of preferred contractor
- Notice that the recommended contractor agrees to the standard contract terms and conditions

8-12. The PO will inform unsuccessful bidders of the result only after the contract has been signed.

8-13. The Secretariat may approve waivers for non-competitive tendering of no more than \$50,000, if it is deemed not to affect the quality or scope of the project. The PO must submit a written request to the Secretariat setting out why a direct source arrangement will not compromise the quality or scope of the project.

## **Major Contract: Valued from \$50,001 and Above**

8-14. To source a major contract valued from \$50,001 and above, the PO must work with the relevant PD to prepare a RFP based on the contract Terms of Reference and the funding available for the contract. The RFP must be circulated amongst all member economies and posted on APEC website to allow open bidding.

8-15. To have a major contract of \$50,001 and above approved, the PO must provide to the Secretariat:

- CV and proposal from the recommended contractor
- A report that details the PO's selection process and justifies the choice of preferred contractor, endorsed by the relevant PD
- Notice that the recommended contractor agrees to the standard contract terms and conditions

8-16. The PO will inform unsuccessful bidders of the result only after the contract has been signed.



## **Bids from Non-APEC Members**

8-17. 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.

8-18. 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**

8-19. Contractors undertaking travel to complete their agreed task(s) 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.

# **9. Changing a Project**

## **Request for Design or Budget Amendments (Reprogramming)**

9-1. Projects must follow the timelines, budgets, methodologies, and approaches set out in the approved project proposals.

9-2. POs must request and obtain prior approval to change or reprogram the nature, scope, methodology, timeframe, or budget allocations of a project. The APEC Secretariat will not be liable for any expenditure made outside the approved budget allocation.

9-3. Approvals for reprogramming must be sought through the APEC Secretariat. To seek approval, the PO must submit a request in writing to the relevant PD containing:

- Details of the change being requested and the reasons for the change, and
- Evidence of support of the relevant forum's Lead Shepherd or Chair Convenor for the change being suggested.

9-4. Most requests for reprogramming a project may be approved by the APEC Secretariat. However, only the BMC may approve

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

## **Request for Extension**

9-5. POs must request and obtain prior approval through the APEC Secretariat to extend a project. To seek approval, the PO must submit a request in writing to the relevant PD containing the following details:

- The period of extension required
- Details of why an extension is needed
- How risks will be managed to ensure further extensions will not be needed
- Evidence of support of the relevant forum's Lead Shepherd or Chair Convenor for the extension (such as an e-mail).

9-6. A request for extension must be made at least six weeks before the deadline.

9-7. The Secretariat may approve one or more extensions to a project for up to 12 months from the original end date. Extensions beyond 12 months must be approved by BMC.

# 10. Monitoring and Completion of Projects

## Project Cycle Steps 15 and 16

### Monitoring

10-1. All APEC-funded projects are monitored to ensure that they are progressing in line with the timeframes, budgets, and methods in the project proposal.

10-2. Projects are monitored every six months. Monitoring reports are due for all active APEC-funded projects on 1 August and 1 February each year, regardless of how long the project has been underway.

10-3. The PO is responsible for completing the monitoring report (template at Appendix F). The relevant PD and PE may comment on the monitoring report.

10-4. Monitoring reports are presented to the relevant forum. The APEC Secretariat provides a summary report to the BMC.

10-5. The relevant forum and/or the BMC may direct the PO to take specific actions on projects that are behind schedule or off topic.

10-6. POs are encouraged to contact their PDs as early as possible in preparing monitoring reports for advice and assistance.

### Completion

10-7. All APEC-funded projects must submit a completion report (template at Appendix G), within two months of project completion.

10-8. An APEC project is considered 'completed' on 31 December of the year following the funding of the project, or when all project activities have been finished and all project payments made, whichever is earlier.

10-9. A project may also be deemed 'completed' if it is terminated by the relevant forum, BMC, or the Secretariat.

10-10. POs are encouraged to contact their PDs as early as possible in preparing completion reports for advice and assistance.

## Noncompliance with Monitoring and Completion Reporting Requirements

10-11. The APEC Secretariat informs the BMC of any APEC-funded project that does not provide a monitoring or completion report on time.

10-12. POs with outstanding monitoring reports are ineligible to submit new concept notes for prioritization 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 any new concept note for prioritization or have any full proposal approved until all overdue completion reports are submitted.

10-13. BMC members may grant an exception to penalties for noncompliance. To facilitate exceptions:

- 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.

10-14. Exceptions can be granted only through a consensus decision by the BMC. These decisions normally will be made between BMC sessions.

10-15. 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.

# 11. Further Information

11-1. APEC is continually refining project management processes, systems, and tools to be more effective and efficient.

11-2. APEC is considering or testing reforms in the following areas:

- Procedures to facilitate longer and more strategic multiyear projects
- Changes to how per diems are paid and provided to APEC-funded travellers
- Changes to how travel payments are made
- Scoping the option for larger-scale evaluations that assess the aggregate impact of projects.

11-3. Updates to the guidebook on these and other matters will take place from time to time. Changes will be communicated through the APEC Secretariat, and documentation on the project database and APEC website will be updated as soon as possible.

11-4. The following websites have further information on the content of this guidebook and other planned changes:

- Secretariat Information and Contacts:  
[http://www.apec.org/apec/about\\_apec/apec\\_secretariat.html](http://www.apec.org/apec/about_apec/apec_secretariat.html)
- Information and tools for the submission and development of APEC projects:  
<http://www.apec.org/apec/projects.html>
- APEC publication policies:  
[http://www.apec.org/etc/medialib/apec\\_media\\_library/downloads/sec/docs/2009.Par.0007.File.tmp/APECPubs\\_guide\\_Oct09.pdf](http://www.apec.org/etc/medialib/apec_media_library/downloads/sec/docs/2009.Par.0007.File.tmp/APECPubs_guide_Oct09.pdf)
- General APEC policies and procedures:  
[http://www.apec.org/apec/about\\_apec/policies\\_and\\_procedures.html](http://www.apec.org/apec/about_apec/policies_and_procedures.html)
- APEC project database: [http://member.aimp.apec.org/pdb\\_sites/default.aspx](http://member.aimp.apec.org/pdb_sites/default.aspx)  
(Note: This site requires a log-in for the APEC Information Management Portal [AIMP]. Contact the relevant PD to request a log-in.)

# Appendixes





# APEC Concept Note

Please submit through APEC Secretariat Program Director. Concept notes of more than 3 pages (including title page) or incomplete submissions will not be considered.

<b>Project Title:</b>			
<b>Source of funds</b> ( <i>Select one</i> ):	<input type="checkbox"/> Operational Account	<input type="checkbox"/> TILF Special Account	<input type="checkbox"/> APEC Support Fund
<b>Committee / WG / Sub-fora / Task-force:</b>			
<b>Proposing APEC economy:</b>			
<b>Co-sponsoring economies:</b>			
<b>Expected start date:</b>			
<b>Expected completion date:</b>			
<b>Project summary:</b>  Describe the project in under <b>150 words</b> . Your summary should include the project topic, planned activities, timing and location:  <i>(Summary must be no longer than the box provided. Cover sheet must fit on one page)</i>			
<b>Total cost of proposal:</b> ( <i>APEC funding + self-funding</i> )  <b>USD</b>	<b>Total amount being sought from APEC (USD):</b> <i>By category:</i> <i>Travel:</i> <i>Labour costs:</i> <i>Hosting:</i> <i>Publication &amp; distribution:</i> <i>Other:</i>		

## Project Proponent Information and Declaration:

**Name:**

**Title:**

**Organization:**

**Postal address:**

**Tel:**

**Fax:**

**E-mail:**

I declare that this Concept Note has been prepared in line with the **Guidebook on APEC Projects**. If approved in-principle, I agree to develop the project in line with APEC project requirements.

\_\_\_\_\_  
Name of Project Proponent

**Date:**

## Project Synopsis

1. **Relevance:** Why should APEC undertake this project? What problem or opportunity will the project address and why is it important?
2. **Objectives:** Describe the 2-3 key objectives of the project. (e.g. to... create a framework...; ensure participants will be able to...; share experiences...; enhance understanding...; develop recommendations...; build interest...; revise strategies... etc.)
3. **Alignment:** Describe how the project will help achieve APEC's key priorities and meet your forum's work-plan or medium-term plan.
4. **Methodology:** How do you plan to implement the project? In this section, address:
  - ***Timeline:*** Project timelines and dates for key activities and deliverables
  - ***Stakeholders:*** the beneficiaries and stakeholders (APEC & non-APEC) and how they will be engaged
  - ***Previous projects/activities:*** If and how this proposal builds on the findings or lessons learned from previous projects/activities, while avoiding duplication
  - ***Communication:*** How you plan to communicate the results or benefits of this project to others

# APEC Project Proposal

*Please submit through relevant APEC Secretariat Program Director.*

*Proposals must be no longer than 12 pages, including budget.*

<b>Project title and number:</b>			
<b>Source of funds</b> ( <i>Select one</i> ):	<input type="checkbox"/> Operational Account	<input type="checkbox"/> TILF Special Account	<input type="checkbox"/> APEC Support Fund
<b>Committee / WG / Sub-fora / Task-force:</b>			
<b>Proposing APEC economy:</b>			
<b>Co-sponsoring economies:</b>			
<b>Expected start date:</b>			
<b>Expected completion date:</b>			
<b>Project summary:</b>  Describe the project in under <b>150 words</b> . Your summary should include the project topic, planned activities, timing and location:  <i>(Summary <u>must be</u> no longer than the box provided. Cover sheet must fit on one page)</i>			
<b>Total cost of proposal:</b> (APEC funding + self-funding)  <b>USD</b>	<b>Total amount being sought from APEC (USD):</b> <i>By category:</i> <i>Travel:</i> <i>Labour costs:</i> <i>Hosting:</i> <i>Publication &amp; distribution:</i> <i>Other:</i>		

## **Project Proponent Information and Declaration:**

**Name:**

**Title:**

**Organization:**

**Postal address:**

**Tel:**

**Fax:**

**E-mail:**

I declare that this proposal has been prepared in line with the **Guidebook on APEC Projects**. If approved, I agree to develop the project in line with APEC project requirements.

\_\_\_\_\_  
*Name of Project Proponent*

**Date:**

## Project Details

*Please answer each question succinctly. Suggested section lengths are provided as a guide.*

### SECTION A: Relevance to APEC

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

5. **Relevance:** Why should APEC undertake this project? What problem or opportunity will the project address and why is it important? [*½ page*]
6. **Objectives:** Describe the 2-3 key objectives of the project. (e.g. to create a framework for...; help participants to...; share experiences in...; enhance understanding of...; etc.) [*¼ to ½ page*]
7. **Alignment:** Describe how the project will help achieve APEC's key priorities and meets your forum's work-plan or medium-term plan. [*less than ½ page*]
8. **For TILF Special Account applications:** Briefly describe how the project will contribute to APEC trade and investment liberalization and facilitation with reference to specific parts of the Osaka Action Agenda (Part 1, Section C and, where appropriate, Part 2).  
**For APEC Support Fund applications:** Briefly describe how the project will support the capacity building needs of APEC developing economies, and how they will be engaged. [*¼ page*]

### SECTION B: Project Effectiveness

9. **Work plan:** Provide a timeline of actions you will take to reach your objectives. For each, include:
  - a. How it will be carried out and how member economies, beneficiaries and others will be involved
  - b. Related outputs for that particular step (e.g. contract, agenda, participant list, workshop, report)
 [*1-2 pages. Answers may be taken or adapted from the Concept Note*]
10. **Risks:** What risks may be involved in implementing the project and how will they be managed? [*⅓ to 1 page, depending on project nature/complexity*]
11. **Monitoring and Evaluation:** What indicators will you use to know if the project is on track (monitoring) and successful in meeting its objectives (evaluation)? What information will you collect (e.g. stakeholder feedback, website hits, participant stats etc.) and how will you collect it (e.g. meetings, surveys, interviews, peer review, records review)? [*½ page*]
12. **Linkages:** Describe the involvement of other APEC fora, and relevant other organisations. Include:
  - **Engagement:** How are you engaging other relevant fora, within and outside of APEC?
  - **Previous work:** How does this project build on, yet avoid duplication of, previous or ongoing APEC initiatives, or those of other organisations?
  - **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 C: Project Efficiency

13. **Budget:** Complete the budget and budget notes for the project in the template in SECTION F of this form. The budget should include calculation assumptions (e.g., unit costs) and self-funding contributions. Please consult the *Guidebook on APEC Projects* for eligible expenses.
14. **Cost Efficiency:** Highlight how the project offers APEC maximum value for money. In what ways will the project maximize the cost-efficient use of resources? *[¼ to ½ page]*

### SECTION D: Project Impact

15. **Beneficiaries:** Explain who the direct project beneficiaries are and what the intended benefits will be. Include an explanation of how the project outputs (e.g. workshop, symposium, research paper, best practices etc.) will assist the project beneficiaries. *[less than ½ page]*
16. **Gender:** What steps will the project take to ensure the participation and engagement of both men and women throughout the project? How do project objectives benefit women? *[less than ½ page]*
17. **Dissemination:** Describe plans to disseminate results and/or outputs of the project, including:
  - The number, form and content of any publications (Note: APEC will not fund website maintenance or publications that are collections of PowerPoint slides. APEC encourages electronic publication.)
  - The target audience
  - Any intention to sell outputs arising from this project. *[less than ½ page]*

### SECTION E: Project Sustainability

18. **Sustainability:** Describe how the project will continue to have impact after the APEC funding is finished.
  - a. How will stakeholders and beneficiaries be supported to carry forward the results and lessons from the project?
  - b. 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? *[less than 1 page]*
19. **Project Overseers:** Who will oversee the project—including any hiring of contractors—and drive it to success? Please include the names and brief biographies of the PO and any other main point(s) of contact responsible for this project. *[less than ½ page]*

**SECTION F: APEC Project Itemized Budget**

Please consult the descriptions of eligible expenses in the *Guidebook on APEC Projects*

<b><u>All Figures in USD</u></b>	<b># of Units</b>	<b>Unit Rate</b>	<b>APEC Funding</b>	<b>Self Funding</b>	<b>Notes</b>
<b>Direct Labour</b>					
Speaker's honorarium ( <i>government officials ineligible</i> )	(# of speakers)				
Translator's fees	(# of pages)				
Short-term clerical fees	(# of hours)				
Contractor (including Researcher) fees	(# of hours)				
Contractor's secretary fees	(# of hours)				
<b>Travel (Speaker, Experts, Researchers)</b>					
Per Diem (incl. accommodation and "75% additional payment")	(# of persons and days)				(location of event)
Airfare	(# of persons and trips)				
<b>Travel for Participants (from Travel-eligible economies only. Active participants only)</b>					
Per diem (incl. accommodations and "75% additional payment")	(# of persons and days)				(location of event)
Airfare ( <i>restricted economy class</i> )	(# of persons and trips)				
<b>Other items</b>					
Publication/distribution of report	(# of copies)				
Specialized equipment or materials ( <i>please describe</i> )	(type, #, and # of days)				
Photocopying	(# of copies)				
Communications (telephone, fax, mail, courier)					
<i>Hosting</i> (provide breakdown, e.g., room rental, stationery)	(units as appropriate)				
<b>Total</b>					

**Budget Note 1: Drawdown timetable:** Provide a timetable for the drawdown of APEC funding requested.

**Budget Note 2: 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 organisation or government employees.)

**Budget Note 3: Waivers:** Provide details of any requests for waivers from the normal APEC financial rules, with justifications (e.g. from tendering requirements, for advance payment, simultaneous interpretation payment) in the notes column of the budget table, or below if the waiver requires a detailed explanation.





# APEC Self-Funded Project Proposal Coversheet

Project number: <i>(To be filled in by Secretariat: )</i>	Date received by Secretariat:
Name of Committee/Working Group:	
Title of Project:	
Proposing APEC Economy:	
Cosponsoring APEC Economy(ies):	
Date Approved by Working Group:	
Project Overseer: Name, Title and Organization (M/F)	
Postal address:	Tel:  Fax:  Email:
Total cost of self-funding in US \$	
Type of Project: <input type="checkbox"/> Seminar/symposium <input type="checkbox"/> Short-term training course <input type="checkbox"/> Survey or analysis and research <input type="checkbox"/> Database/website <input type="checkbox"/> Workshop <input type="checkbox"/> Other (pls specify)	
Project start date:	Project end date:
Brief description of Project its purpose and the principal activities (including when and where) :	
Signature of Project Overseer: <i>(Separate written confirmation acceptable for email submission)</i> Date:	
Signature of Committee Chair/WG Lead Shepherd: <i>(Not applicable to Progress Report and Evaluation Report)</i> <i>(Separate written confirmation acceptable for email submission)</i> Date:	



# APEC Project Quality Assessment Framework (QAF)

## Forum Assessment of Project Quality at Application

Notes:

- This quality assessment form (QAF) is to be used prior to submission as a way of improving the proposal. Assessors are requested to provide comments against each question. These can praise, suggest changes, or highlight areas of concern. Through constructive comments from stakeholders and members, improvements to the proposals can be made prior to the formal quality assessment undertaken by the Secretariat.
- Assessors should not be from the proposing economy. Co-sponsoring economies may undertake the QAF.
- The QAF must be submitted along with the project proposal. Project Proponents should incorporate all QAF comments into a single consolidated document before uploading it onto the PDB.
- Please refer any questions you have to your Program Director.

**Proposal name:**

**Assessor's details:**

(Name; Department Ministry/ Agency Institution; Economy)

Question	Comments
Is all project identification data provided?	
<b>Relevance: assessing the connection to APEC's policy agenda, priority themes and goals</b> <i>Please tick:</i> <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory	
Can links to APEC priorities and key APEC themes be identified more clearly?	
Can the definition of the problem (causes and constraints), and explanation of the options that are available to address it, be improved?	
Will this have the active participation of a large number of APEC members? How could more members be engaged?	

Question	Comments
<b>Effectiveness: assessing how well the project can achieve its objectives</b> <i>Please tick:</i> <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory	
How can the objectives be more clear, achievable or measurable?	
Based on the problem articulated, is this a sound way to address the problem? Could alternative approaches be considered?	
Has APEC's value add been clearly articulated, particularly why it is a important project for APEC to be carrying out?	
Has this project integrated lessons learned from previous projects?	
<b>Efficiency: assessing the design process and implementation management</b> <i>Please tick:</i> <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory	
Has the proposal shown how the planned outputs (goods and services) will contribute to the desired change? Could there be ways to improve their quality utility?	
Should any further project risks be identified? How could they be managed?	
Can arrangements for assessing the project's results be improved?	
Is the budget reasonable for the project's objectives and outputs? Is there evidence of value for money?	

Question	Comments
<b>Impact: assessing expected results for APEC and stakeholders</b> <i>Please tick:</i> <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory	
Can the intended changes from this project, particularly the difference it will make to direct beneficiaries, be more clearly expressed?	
Are there other beneficiaries and stakeholders that could benefit from this project that should be engaged in its development?	
How could the proposal better ensure that both women and men are appropriately involved in the planning and implementation of this project?	
Could there be better ways to communicate and promote the project's outputs and results, particularly to external parties? Are there other quality assurance measures that should be taken over the products prior to distribution?	
<b>Sustainability: assessing if benefits and lessons learned are likely to continue after the project</b> <i>Please tick:</i> <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory	
Are the project's long term intended impacts explained well, particularly in connection to the fora's objectives and future work plan?	
Could additional mechanisms in put in place to support the changes bought about by the project?	
Can the project do more to get commitment for the	

Question	Comments
project's success from external APEC stakeholders?	
Are there any further suggestions about how the lessons learned from this project can be disseminated within APEC, particularly in relation to whether the project can be replicated or expanded in the future?	
<b>Overall comment on proposal quality:</b> <b>Overall <i>quality</i> assessment:</b> <i>Please tick:</i> <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory	

# Quality Criteria for Assessing APEC Projects

APEC assesses project quality using the following five criteria:

- Relevance
- Effectiveness
- Efficiency
- Impact; and
- Sustainability

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 are the objectives of the project?
- Are the activities and outputs of the project consistent with the overall project goals?
- Are the activities and outputs of the project consistent with the intended impact?

**Effectiveness:** This examines HOW a project will take place, particularly how well a project might reach its objectives.

- To what extent are the objectives likely to be achieved are they realistic?
- 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 objectives, and have other alternative approaches been examined?
- Does the project take into account and or build on previous APEC activities with similar objectives?

**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?

**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?

***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 Fora's priorities and are follow-on projects planned?



# Appendix F. Monitoring Reporting

The Monitoring Report allows for the collection and analysis of relevant information as a project is being implemented. This can improve the efficiency and effectiveness of a project by keeping work on track and providing a warning if things are going wrong.

The report must be completed every six months by for active APEC funded projects. It is due on 1 August and 1 February of each year, regardless of how long the project has been underway.

Monitoring Reports will be presented to the relevant fora, with a summary prepared by the PMU presented to the BMC. The PMU will alert BMC to the following kinds of projects:

- Projects likely to run for more than six-months
- Projects performing well that may have positive lessons in them
- Projects not performing to expectation that may have negative lessons
- Projects likely to have a follow-up or an extension
- Innovative or pilot projects, and
- Controversial or difficult projects (publicly or internally)

Difficult projects are important for learning lessons from that can lift general project quality. They may have the following features:

- Sensitive or risky topics or settings
- Significant delays in starting up
- History of significant problems or omissions
- Significant policy or environmental questions
- Questions of project management, and
- Poor financial performance

Both the relevant fora and BMC may take actions to address projects that are not tracking adequately against timelines.

Any PO whose projects have an outstanding Monitoring report will be ineligible to submit new Concept Notes for prioritization, or have any full proposal approved until all overdue Monitoring Reports are submitted

# Project Monitoring Report

Please submit through your APEC Secretariat Program Director by Aug. 1 and Feb. 1 of each year.

## 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

***Briefly** answer each of the questions below to a maximum of 2-3 pages. If you have submitted previous Monitoring Reports, focus on progress since your most recent previous report.*

1. **Current status of project:**

On schedule: YES / NO

On budget: YES / NO

On target to meet project objectives: YES / NO

If NO, provide details: How far off schedule, budget or objectives? What actions are being taken to resolve issues? What support is needed from your Committee or the Secretariat?

2. **Implementation:** Describe progress and any deviations against the project's work plan.

3. **Challenges:** If not covered in Q1, describe any problems which have arisen and how you overcame them / aim to overcome them. How might these change the project schedule or budget? How might your fora Committee or the Secretariat help?

4. **Engagement:** Describe the engagement and roles of stakeholders so far, including other APEC fora, experts and beneficiaries.

5. **Objectives and outputs:** How do results of the project so far (if any) compare with its expected results? Are outputs being delivered on time and of sufficient quality?

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

# Appendix G. Completion Reporting

All APEC projects must submit a completion report.

The Completion Reports allow POs to succinctly explain the key findings and recommendations of the project. It also offers a mechanism for budget accountability and gives PO and the Secretariat an opportunity to provide feedback on the management of the project. This report should draw on feedback from project participants and stakeholders, and may also draw upon the views of forum members.

Completion reports are due within 2 months after the completion of the project. A project is considered ‘completed’ after all activities have taken place and all invoices are submitted for a project.

Completion Reports will be presented to the relevant forum, with a summary prepared by the PMU for presentation to the BMC. The results of the completion reports may provide an indication of where future projects or analysis is needed, impediments to projects achieving their goals, or gains that APEC has made in particular areas.

Fora and the BMC will be alerted to projects that have failed to provide a completion report.

Any APEC forum whose projects have not met the Completion Report requirement will be ineligible to submit any new Concept Notes for prioritization, or have any full proposals approved until all overdue Completion Reports are submitted.

# Project Completion Report

Please submit through your APEC Secretariat Program Director within 2 months of project completion.

## 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 report and reflection

Briefly answer each of the questions below. Section B should be a maximum of 2-3 pages, inclusive of the questions and tables provided.

1. Project description: In 3-4 sentences, describe the project and its main objectives.
2. Meeting your objectives: Describe how the project went, with reference to the objectives laid out in your project proposal. Include any major changes to your project as proposed and any problems or obstacles that you encountered and how you overcame them.
3. Project evaluation: Describe how you evaluated the project and provide some details on the results of the evaluation (e.g. participant evaluation, peer review of publication, measurement of indicators, statistics demonstrating use of outputs etc.).
4. Key findings: Describe one or two examples of important findings arising from the project (e.g. results from surveys or case studies, insights provided by participants or experts, policy recommendations, roadblocks to progress on an issue etc.).
5. Next steps: Describe any follow-up steps or projects that you recommend. Have you already planned or begun these? What role could APEC play in any follow-up?
6. Feedback for the Secretariat: Do you have any suggestions for more effective management of projects in the future? Any assessment of consultants, experts or participants that you would like to share? (The Secretariat collates and examines feedback to identify trends for ongoing evaluation of our project management and/or communications systems.)

7. **Participant information:** *Please provide details, where applicable. Insert rows as needed.*

Economy	# male	# female	Details
Other:			

8. **Outputs:** *Please provide details, where applicable.*

	# planned	# actual	Details
# of workshops / events			
# of publications distributed			
# of CDs distributed			
# of websites created			
Other:			

## 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 or additions

Please attach any of the following. This information will help us better understand your project, support overseers of similar projects and plan for future projects.

- ☐ List of **experts or consultants** utilised, with job titles and contact details
- ☐ List of **participants**, with job titles and contact details
- ☐ Event **agendas**
- ☐ Links to any relevant **websites or online material** (e.g. reports, resources created)
- ☐ Results of participant feedback or other **project evaluation** (raw and/or analysed)
- ☐ Any **other relevant information or resources** that would help us learn more about your project

**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?*

# Guide on Gender Criteria for APEC Project Proposals

## CONTENTS

1. WHY ARE THERE GENDER CRITERIA?
2. HOW DO I ANSWER THE GENDER CRITERIA?
3. HOW ARE THE CRITERIA ASSESSED?
4. FREQUENTLY ASKED QUESTIONS
5. CHECKLIST
6. FURTHER HELP

### 1. WHY ARE THERE GENDER CRITERIA?

---

APEC Leaders and Ministers have recognized that gender is a cross cutting theme in APEC and that women are critical to the achievement of sustainable economic development in the region. This recognition is based on an understanding that women's full participation in economic activity is often constrained by gender-related barriers in their access to resources, including education and training, financial institutions, decision-making mechanisms, etc.

In 1999, Ministers endorsed The Framework for the Integration of Women into APEC the key document setting out APEC's commitment to implementing gender analysis, collecting and using sex-disaggregated data, and increasing women's participation in APEC fora and activities.

In 2005, APEC Leaders again recognized the significant contributions that women have made to the economic development across the region and made a commitment to ensuring the integration of gender in the activities across all APEC fora.

In 2006 Ministers requested that APEC economies and fora allocate the necessary resources for gender mainstreaming activities in their work and encourage women to participate in decision-making process.

In this context, the gender criteria in project proposals are an important tool to raise awareness and identify how APEC projects involve and affect women. In particular, the criteria aim to:

- encourage APEC fora to include women in the design, participation, implementation and evaluation of the project;
- encourage APEC fora to ensure participation of women in the project (as participants, decision-makers, project overseers, workshop/training presenters etc);
- encourage APEC fora to consider any potentially negative and positive effects on women; and
- improve the documentation, and visibility of, women's involvement in the work of APEC.

### 2. HOW DO I ANSWER THE GENDER CRITERIA?

---

APEC project proposals contain one questions on gender considerations questions 11.

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 analyse 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).

### 3. HOW ARE THE GENDER CRITERIA ASSESSED?

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In assessing your response to the gender criteria, the Project Assessment Panel will be looking for evidence that the proponent has genuinely investigated the gender considerations relevant to the project. To make a judgment about this the Assessment Panel 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*?

### 4. FREQUENTLY ASKED QUESTIONS

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

**Yes.** Experience has shown that when analysed 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 6 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 project proponent 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.

## **5. CHECKLIST: HAVE I ANSWERED THE GENDER CRITERIA?**

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**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

## **6. HOW CAN I GET FURTHER ASSISTANCE?**

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### **1. Read the *Framework for the Integration of Women in APEC*.**

This provides further information about the relevance of gender to APEC activities and how to take gender into consideration in policy development.

[http://www.apec.org/apec/apec\\_groups/som\\_special\\_task\\_groups/gender\\_focal\\_point\\_network.html](http://www.apec.org/apec/apec_groups/som_special_task_groups/gender_focal_point_network.html)

### **2. Refer to the publication, *Gender Mainstreaming: Good Practices from the Asia Pacific Region***

This publication responds to a call by APEC officials to have access to information, in practical terms, on “how” and “why” to include gender in their work.

[http://www.apec.org/apec/apec\\_groups/som\\_committee\\_on\\_economic/som\\_special\\_task\\_groups/gender\\_focal\\_point\\_network.html](http://www.apec.org/apec/apec_groups/som_committee_on_economic/som_special_task_groups/gender_focal_point_network.html)

### **2. Speak with your Economy Gender Focal Point, or your Fora Gender Focal Point.**

Focal Points are members of the APEC Gender Focal Point Network. You can find out who your Economy and Fora Gender Focal Points are through the APEC Secretariat or the APEC Information Management Portal website:

[http://member.aimp.apec.org/acms\\_sites/gfpn/Lists/Contacts/AllItems.aspx](http://member.aimp.apec.org/acms_sites/gfpn/Lists/Contacts/AllItems.aspx)

## Glossary

sex	Identifies the biological differences between men and women
gender	Identifies the social relations between men and women It refers to the relationship between men and women and how this is socially constructed. Gender roles are dynamic and change over time.
gender analysis	The methodology for collecting and processing information about gender. It provides disaggregated data by sex, and an understanding of the social construction of gender roles, how labour is divided and valued. Gender analysis is the process of analysing 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, programmes 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. Women-specific programmes 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. 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 behaviours 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. 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 labour force. This includes child bearing, child rearing, 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.  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.