



**Asia-Pacific  
Economic Cooperation**

# **Guidebook on APEC Projects**

**Edition 9**

**APEC Secretariat**  
Updated, February 2014

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

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## Acronyms used in this report

ABAC – APEC Business Advisory Council  
AELM – APEC Economic Leaders' Meeting  
ASF – APEC Support Fund  
BMC – Budget and Management Committee  
CTI – Committee on Trade and Investment  
CR – Completion Report  
EC - Economic Committee  
MR – Monitoring Report  
MYP – Multi-Year Projects  
OA – Operational Account  
PASC – Project Assessment Standing Committee  
PD – Program Director  
PDM – Principal Decision Maker  
PE – Program Executive  
PMU – Project Management Unit  
PO – Project Overseer  
QAF – Quality Assessment Framework  
RFP – Request for proposal  
SCE – SOM Steering Committee on Economic and Technical Cooperation  
SFOM – Senior Finance Officials Meeting  
SOM – Senior Officials' Meeting  
TFAP II – APEC Second Trade Facilitation Action Plan  
TILF – Trade and Investment Liberalization and Facilitation  
ToR – Terms of Reference

### **Application and Reporting Templates:**

All application and reporting templates can be downloaded as individual files from the APEC website:

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

# Introduction

- 1-1. Projects are a vital part of APEC's efforts to support sustainable economic growth and prosperity in the Asia-Pacific region. APEC 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 favorable and sustainable business environment. APEC projects help to turn policy goals into concrete results and agreements into tangible benefits.
- 1-2. A project originates from an economy (or economies) and is considered and delivered through an APEC forum. The proposing economy will lead the design and delivery of the project through a Project Overseer (PO). The PO is the first point of contact on project-related issues and has the responsibility for reporting to relevant APEC fora as well as preparing, monitoring and completing the reporting.
- 1-3. APEC projects include seminars, publications, and research. Information on project approval timelines is available on the APEC website. Information on APEC policy guidelines and procedures is contained in the Guidebook on APEC Projects.
- 1-4. The Guidebook on APEC Projects is a practical handbook for managing APEC projects and is primarily for those responsible for preparing and implementing APEC projects. The Guidebook also provides important information for other stakeholders involved in APEC projects. The APEC Budget and Management Committee (BMC) issues and updates the Guidebook. The BMC may change the content from time to time; the updated version will be posted on the APEC website. Changes will also be communicated through the APEC Secretariat. If there is any discrepancy between the printed version of a Guidebook and the online version, the most recent decisions of BMC, reflected in the online version, will prevail.
- 1-5. The Guidebook consists of two main parts: the first part covers the APEC project cycle; which is the framework used by APEC to design, prepare, implement, monitor and supervise projects. It contains information on the steps, processes and guidelines for preparing and implementing APEC projects in accordance with APEC guidelines. The second part contains project reporting templates and important source materials. APEC procurement documentation and templates are also available at:  
<http://www.apec.org/Projects/Tenders-and-RFPs.aspx>
- 1-6. Further definitions of key terminology, abbreviations, and acronyms used in APEC, and referred to in this document, can be found in the **Glossary of Terms** at  
<http://www.apec.org/Glossary.aspx>
- 1-7. Also refer to the following for further information on APEC projects: Secretariat Information and Contacts: <http://www.apec.org/ContactUs.aspx?t=Secretariat>
- 1-8. A summary sheet outlining the process of applying for APEC project funding is at **Appendix A**.

## 2. Roles and Responsibilities

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

### Senior Officials (SOM)

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

- Responsibility to:
  - Provide policy direction to fora, and
  - Nominate the economy's Principal Decision Maker (PDM).
- Authority to:
  - Approve projects seeking more than USD200,000 in APEC funding.

### Budget and Management Committee (BMC)

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

- Responsibility to:
  - Review, recommend, and approve project proposals, and
  - Oversee APEC project processes.
- Authority to:
  - Approve projects for which USD200,000 or less in APEC funding is sought,
  - Make recommendations to SOM on projects for which more than USD200,000 in APEC funding is sought, and
  - Approve requests for project extensions of more than 12 months, any increase in funding to individual projects, substantial changes to a project, and significant waivers from guidelines.

### Principal Decision Makers (PDMs)

2-3. PDMs from each of the 21 economies are nominated by SOMs. In accordance with APEC's project prioritization and selection process, PDMs are required to prioritize Concept Notes when the demand for project funds exceeds available funds under a specific funding account. In the case of multi-year projects, PDMs will be requested to prioritize all Concept Notes received by the Secretariat, using the APEC-wide Funding Criteria agreed by SOM on an annual basis.

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

- 2-4. APEC Committees review, endorse, rank, and prioritize relevant Concept Notes.

## The Proposing Forum

- 2-5. A proposing forum may be a Committee, a sub-forum, a working group, a task force, or a dialogue group. (SOM may propose a Concept Note, but this is rare.) The proposing forum has the following responsibilities and authority.
- Responsibility to:
    - Review, prioritize, and endorse Concept Notes and proposals,
    - Ensure that proposed projects are closely aligned with the forum's annual work plan, or medium-term strategic plans and the broader strategic and policy priorities of APEC,
    - Undertake the quality assurance framework (QAF) exercise for its own project Concept Notes and proposals,
    - Support POs in implementing projects,
    - Ensure that POs submit project monitoring reports by 1 February and 1 August,
    - Review and approve completion reports submitted by POs, and
    - Consider requests for project changes and extensions and waivers from APEC guidelines. The responsibility for approving requests is delegated to the Chair or Lead Shepherd.
  - Authority to:
    - Endorse project Concept Notes and proposals before submission, and
    - Endorse requests for project changes, extensions, and waivers (responsibility delegated to Chair or Lead Shepherd).

## Project Overseer (PO)

- 2-6. The PO is responsible for ensuring that all aspects of the design, planning and implementation of a project is undertaken in accordance with APEC project guidelines. The PO is considered as both the individual and the organization that the PO represents. The Secretariat should be informed of any changes to the PO during the project preparation and implementation stages.
- 2-7. The PO has the following responsibilities:
- Pre-approval, project development stages:
    - Prepare Concept Notes and proposals in accordance with the APEC project guidelines and using the correct templates contained in the Guidebook,
    - Ensure that the project Concept Note is assigned to the correct funding source. Information on APEC funding sources are available under **Chapter 3: Funding and Accounts** of the Guidebook, and

- Submit the Concept Note, proposal, and supporting documentation to the Secretariat before the assigned deadlines.
  - Implementation stages:
    - Manage the effective implementation of the project according to APEC requirements; including financial disbursement, contracting, reporting, and publications guidelines,
    - Ensure that all participants, experts and speakers, are appropriately briefed on their roles, entitlements, and obligations before they agree to participate in a project,
    - Endorse all legitimate claims for payment related to the project,
    - Seek approval from the relevant fora and the Secretariat for any changes to the project scope and budget during implementation, including reallocating funding, changing or substituting milestones, and seeking deadline extensions,
    - Ensure the timely submission of all project reports including monitoring and completion reports,
    - Inform the Secretariat if the contact person or PO changes, and
    - Keep up to date on APEC's project guidelines throughout the life of the project.
- 2-8. In accordance with APEC approach to ensuring transparency and accountability, the PO must not misuse or misappropriate APEC funds. POs must at all times undertake their duties in a manner that mitigates the risk of real or perceived conflicts of interest, such as contracting or paying themselves or their associates for project-related work or from benefiting from a project, or paying themselves an honorarium.

### **The APEC Secretariat**

- 2-9. 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.

### **Program Director (PD)**

- 2-10. The PD has the following responsibilities:
- Advise and assist POs with the development of project Concept Notes and proposals,
  - Advise POs, and fora on APEC project guidelines, timelines and tools,
  - Coordinate PO requests to amend or extend projects, and
  - Review and finalize project reports including monitoring and completion reports.

### **Program Executives (PE)**

- 2-11. The PE has the following responsibilities:
- Provide advice and support to POs in preparing project-related tasks. This includes approving travel bookings and travel related reimbursements for participants,



- Assisting with drafting Terms of Reference (ToR), contracts and other project-related agreements as required in accordance with APEC guidelines, and
- Provide advice to POs on meeting reporting requirements in accordance with the Project Guidebook.

### **The APEC Secretariat's Project Management Unit (PMU)**

2-12. The Project Management Unit (PMU) of the APEC Secretariat supports PDs and PEs in carrying out project responsibilities and assisting the BMC in overseeing APEC projects. PMU integrates knowledge and experience from a range of areas within the APEC Secretariat in undertaking its core project management tasks. The PMU has the following responsibilities and authority:

- Responsibilities to:
  - Coordinate the Concept Note prioritization process, including the allocation of APEC Support Fund (ASF) Concept Notes to its relevant sub-funds,
  - Provide advice and assistance to POs in planning and preparing project proposals,
  - Assess and provide advice to improve the quality of project proposals,
  - Prepare project funding recommendations to the BMC,
  - Submit project management reports for the BMC, including monitoring and completion report in accordance with APEC guidelines,
  - Suggest appropriate options for improving project management processes to the BMC,
  - Submit requests for waivers relating to contracting processes, significant project reprogramming requests or project extensions over 12 months to BMC for approval,
  - Provide capacity building support to improve the effectiveness and efficiency of APEC projects,
  - Oversee and support the monitoring and evaluation of projects, and
  - Institute policies and processes to improve the overall quality and impact of APEC projects.
- Authority to:
  - Assess quality of projects and make project funding recommendations to BMC, and
  - Approve minor project waivers for contracting and simultaneous interpretation costs, requests for project extensions up to 12 months and revisions and budget changes that do not substantially affect the overall quality or scope of the project.

## 3. Funding and Accounts

- 3-1. The financial year of APEC runs 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 funds are provided regularly to assist members in monitoring APEC's overall project financing levels.
- 3-2. All APEC projects are funded and calculated in US dollars (USD).
- 3-3. There are four main sources of funding for APEC projects. These are the Operational Account (OA), the Trade and Investment Liberalization and Facilitation Account (TILF), the APEC Support Fund (ASF), and Self-funding. POs must ensure that TILF and ASF projects meet the account's funding criteria. The specific eligibility criteria for ASF and the TILF are detailed below.

### The Operational Account

- 3-4. The OA is funded from annual membership contributions. It supports initiatives under APEC's economic and technical cooperation agenda which is aimed at attaining sustainable growth and equitable development, while reducing economic disparities among APEC economies and improving economic and social well-being.
- 3-5. All APEC member economies may apply for funding under OA.
- 3-6. Projects may be fully funded under OA. There are no self-funding requirements for OA-funded projects.

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

- 3-7. TILF is sourced from voluntary member contributions. It provides funding for projects that expand cooperative programs and support trade and investment liberalization and facilitation as articulated by Leaders' or Ministers' directives and the Osaka Action Agenda.
- 3-8. All TILF projects must clearly contribute to achieving trade and investment liberalization and facilitation, as it relates to at least one of the 15 areas listed in Part 1 of the Osaka Action Agenda.
- 3-9. All APEC member economies may apply for funding under TILF. The funding criteria for TILF require member economies to self-fund a percentage of the overall project cost, as follows: An economy proposing a project could be exempted from self-funding as long as its total project value (cumulative since the year the economy began its contribution, less self-funding portion) does not exceed the total amount contributed (cumulative since the year the economy began its contribution) by 100%

for non-travel eligible economies and by 250% for travel eligible economies<sup>1</sup>. When in excess, the current self-funding requirement (50% for non-travel eligible economies, 20% for travel eligible economies) applies. (BMC1 Feb 2014)

3-10. The following expenses are not allowed 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)
- Conference registration fees
- Local transportation costs, including airport transfers, field trips or sightseeing
- Simultaneous interpretation costs at project events
- Standard office equipment such as computers (including laptops), printers and cameras.

## The APEC Support Fund

3-11. The ASF and its sub-funds are sourced from voluntary member contributions. The ASF supports capacity-building needs for APEC developing economies in agreed high-priority areas for economic and technical cooperation.

3-12. All APEC member economies may apply for ASF funds. There are no self-funding requirements for ASF funds. However, all ASF projects must clearly demonstrate that they address the capacity building needs of 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.

3-13. The ASF is composed of a general fund, as well as seven specific sub-funds. The scope and eligibility criteria of each of the ASF sub-funds are as follows:

- **Human Security sub-fund:** funding available for topics such as counter-terrorism and secure trade; health security including avian and pandemic influenza and HIV/AIDS; emergency preparedness; and energy security,
- **Health and Emergency sub-fund:** covering priorities such as Health Security including Avian and Pandemic Influenza and HIV/AIDS, and Emergency Preparedness.

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<sup>1</sup> According to paragraph 9-19 of the Guidebook, the following eleven APEC member economies are considered “travel-eligible” economies: Chile; China; Indonesia; Malaysia; Mexico; Papua New Guinea; The Philippines; Peru; Russia; Thailand and Viet Nam. Therefore, “non-travel-eligible” economies here mean the other ten APEC member economies not referred above.

- **APEC Second Trade Facilitation Action Plan (TFAP II):** aims to support activities that contribute to the implementation of the Second Trade Facilitation Action Plan,
- **Science and Technology sub-fund:** provides support for technology flows and harness technologies for the future,
- **Energy Efficiency and Low-Carbon Measures sub-fund:** aims to promote energy efficiency and low-carbon measures,
- **APEC New Strategy for Structural Reform (ANSSR) sub-fund:** provides support for activities which support the implementation of the APEC New Strategy on Structural Reform in line with economies' own action plans. Priority is given to projects that are strategic, valued at over USD200,000, and that are longer-term, and
- **Supply Chain Connectivity (SCC) sub-fund:** supports developing economies in overcoming specific obstacles they face in enhancing supply chain performance, in line with the capacity building plan to be executed as part of advancing Stage 3 of the Systematic Approach to the Supply Chain Connectivity Framework Action Plan (SCFAP). (BMC1 Feb 2014)

3-14. The Secretariat checks the compliance of all Concept Notes before proceeding to stage 2.<sup>2</sup> If the Secretariat determines that a Concept Note submitted under ASF or TILF does not fully meet the fund's eligibility criteria, it could be reassigned for funding under another appropriate funding account.

3-15. POs are not required to select a particular ASF sub-fund when preparing Concept Notes. The Secretariat will determine the choice of the sub-fund based on the topic and scope of the proposed project and its alignment to the relevant fund's eligibility criteria and funds availability.

## Self-Funding

3-16. "Self-funding" refers to any amount provided to the project by a source other than APEC. 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/About-Us/About-APEC/~media/Files/AboutUs/PoliciesandProcedures/2010/10\\_bmc3\\_011.ashx](http://www.apec.org/About-Us/About-APEC/~media/Files/AboutUs/PoliciesandProcedures/2010/10_bmc3_011.ashx)).

3-17. 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 be assessed using the QAF. They do not need to be approved by BMC nor follow project disbursement procedures outlined in this Guidebook. However, POs are strongly encouraged to make references to the Guidebook in their own project fund management and disbursement procedures. Self-funded projects and self-funded components of projects must comply with the APEC Publication Guidelines. POs are solely responsible for project fund management in relation to fully self-

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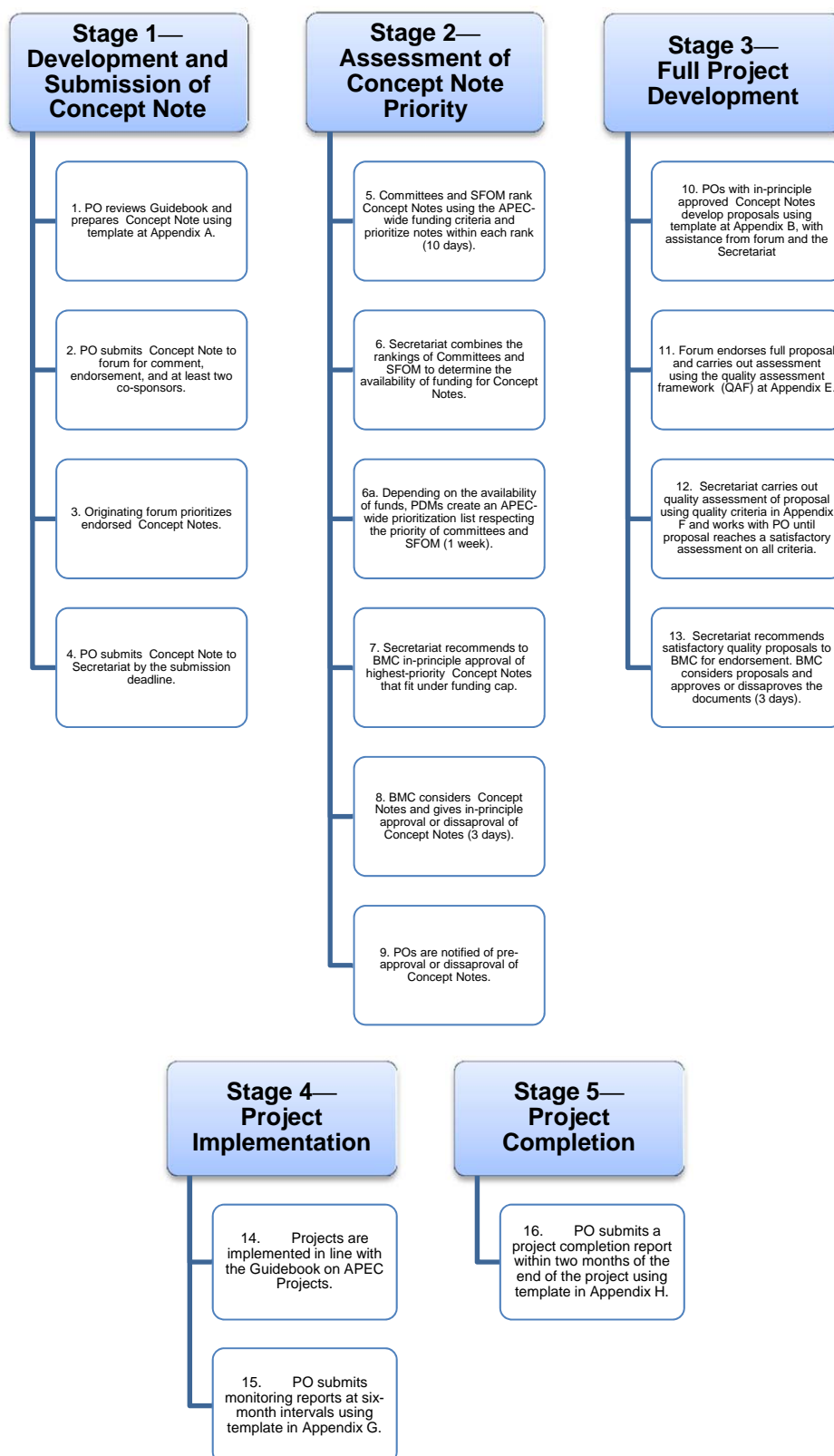
<sup>2</sup> Refer to Chapter 4 for details of the various stages of the APEC project cycle.

funded projects (i.e., projects that do not receive any funding from APEC), including disbursements.

- 3-18. POs of self-funded projects must submit the cover sheet at **Appendix D** into the APEC project database before commencement of the project.
- 3-19. POs of self-funded projects are strongly encouraged to submit completion reports. The completion report template can be found at **Appendix H**.

## 4. APEC Project Cycle

- 4-1. All APEC projects pass through five successive stages which are known as the APEC project cycle.
- 4-2. The first and second stages of the project cycle reflect the preparatory stage of a project. The preparatory stage precedes the commencement of project implementation. These initial stages involve the development, submission and assessment of Concept Notes. There are 13 successive steps involved which focus on planning and initial preparations for Concept Notes, the Concept Note endorsement process, the prioritization and ranking process, BMC in-principle approval and notification. Activity design is a key aspect of the preparatory stage.
- 4-3. Stage three focuses on the full proposal development and consists of four main steps aimed at full proposal preparation, submission and approval. Stage four is the project implementation stage and a key step in this process involves project monitoring. The implementation stage commences when the program of work, which will produce the planned outputs and outcomes, begins. The last stage of the project cycle, stage five, involves project completion.
- 4-4. **Figure 1** provides a detailed overview of the five stages of the APEC project cycle. A summary sheet outlining the process for APEC project funds is at **Appendix A**.



**Figure 1 illustrates the full project cycle for APEC-funded projects**

# 5. Applying for Funding

## Stage 1—Concept Note Preparation and Submission

### Step 1. Project Overseer reviews Guidebook and APEC-wide funding criteria and prepares Concept Note

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| <p>5-1. To ensure that Concept Notes are consistent with APEC's funding guidelines, Project Overseers (PO) are required to review the Guidebook and the eligibility criteria for each of the APEC funds, prior to preparing the Concept Note. Failure to do so may result in non-compliant or poor-quality Concept Notes. Concept Notes are to be completed using the template at <b>Appendix B</b>.</p>                             | <p><b>Timeframe</b></p> <p>Prior to preparing the Concept Note</p> |
| <p>5-2. POs and fora are advised to contact the relevant Program Director (PD) as early as possible seek guidance on developing the Concept Note as appropriate. PDs will provide guidance submission deadlines. Early involvement of PDs may also assist in improving the Concept Note's relevance at the time of submission, and if the Concept Note is selected, to improve quality during project design and implementation.</p> |  |

- 5-3. Concept Notes must be succinct. Concept Notes (including title page) that exceed three A4 pages will **not** be considered.

### Step 2. Project Overseer submits the Concept Note to the originating forum for comment and to secure co-sponsors

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| <p>5-4. POs must submit the Concept Note to their forum seeking endorsement which would be provided on the basis of the project's relevance. Relevance is assessed in terms of:</p> <ul style="list-style-type: none"> <li>• The APEC-wide funding criteria endorsed by SOM annually,</li> <li>• Leaders, ministerial, and SOM priorities,</li> <li>• Eligibility criteria for the nominated APEC funding account. For example: ASF applications must demonstrate that capacity-building needs of APEC's developing members are fully addressed through the project. TILF applications must assist APEC member economies to meet the goals of the Osaka Action Agenda and meet the self-funding requirements,</li> <li>• Strong alignment with the forum's strategic plan, work plan, collective action plan, or equivalent,</li> <li>• Potential for positive contribution to APEC's and the relevant Committee's priorities, and</li> <li>• APEC value-for-money principles and how the activity complements previous work undertaken by APEC.</li> </ul> | <p><b>Timeframe</b></p> <p>PDs in consultation with the relevant fora establish submission deadlines prior to the BMC agreed deadline. This is mainly to facilitate the endorsement process.</p> |
|---|--|



- POs must find a sponsor (usually within their own economy) and at least two co-sponsors for the project. Some fora require more co-sponsors.
- 5-5. The PO is required to check the specific fora requirements with the relevant group and forum's PD.
- 5-6. **Sponsors and co-sponsors** are expected to be engaged in the development of proposals and in the implementation of projects. The actual roles and responsibilities of sponsors and co-sponsors vary from project to project and are subject to fora requirements. For example, the roles may include providing voluntary contributions (in terms of financial, personnel, hosting support, or in-kind contributions), forming part of a project steering committee, or providing assistance with research data or case studies, assisting with monitoring and/or post-activity evaluations.

### Step 3. Originating forum reviews the APEC-wide funding criteria to endorse and prioritize Concept Notes

- 5-7. POs must secure their forum's endorsement of the Concept Note for the project to be eligible for APEC funding. A project that has not obtained the forum's endorsement will be considered non-compliant and will not be submitted for BMC approval.
- 5-8. The Concept Note will be submitted to PDs by the fora assigned submission deadline. These deadlines are set by PDs prior to the BMC assigned deadline allowing sufficient time for Committees and PDs to ensure that all pre-approval requirements are met in advance of the BMC deadline. Information on the submission deadlines set by the PDs for each of the fora will be communicated to POs by PDs and made available on the APEC website.
- 5-9. Fora assess, endorse and prioritize all of their Concept Notes in line with each forum's agreed strategic priorities and workplans.
- 5-10. 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.

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#### Timeframe

By the deadline established by the APEC Secretariat.

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### Step 4. PO submits endorsed Concept Note to the Secretariat

- 5-11. The endorsed and prioritized Concept Note, along with the forum's endorsement justification, is submitted to the Secretariat by the assigned submission deadline. Submission is via email to the relevant PD.
- 5-12. The Secretariat checks all Concept Notes for compliance with APEC guidelines before proceeding to stage 2. If the Secretariat determines that a Concept Note submitted under ASF or TILF does not meet the account's eligibility criteria, it could be reassigned for consideration under another appropriate fund.
- 5-13. POs need to place significant importance on the preparation of project budgets at the Concept Note stage. The APEC-funded amount requested at the Concept Note stage is treated as the funding cap for the corresponding full project proposals. Any increases in costs at the full proposal stage would need to be borne by, or sourced

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#### Timeframe

By the submission deadline set by the BMC.

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through, the proposing economy and/or co-sponsoring economy. POs should develop accurate and detailed budgets at the Concept Note stage in order to ensure that the amount requested in a full proposal will remain within the in-principle amount approved by the BMC. POs should review the Guidebook on APEC Projects to ensure all proposed budget items are fully considered.

## Stage 2—Priority Assessment of Concept Notes

### Step 5. Based on the APEC-wide funding criteria, Committees and SFOM will organize and prioritize Concept Notes by the relevant category

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|---|-------------------------------------|
| <p>5-14. 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.</p> | <p><b>Timeframe</b><br/>10 days</p> |
|---|-------------------------------------|
- 5-15. Committees and SFOM group their own Concept Notes and those originating from their sub-fora, working groups or task forces into corresponding categories in line with 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 ranking and prioritization. The SCE ranks proposals from SOM.
- 5-16. To facilitate transparency and alignment between funding and APEC goals, Committee members are requested to briefly justify their rankings with reference to the strategic goals of the Committee. These rankings and justifications are made available to all Committee members and POs through the relevant PD.
- 5-17. The Secretariat collates Committee members' funding criteria rankings, prioritizations, and justifications.

### Step 6. Secretariat combines Committee and SFOM rankings by fund and sub-fund

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| <p>5-18. The Secretariat averages all the votes received 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.</p> | <p><b>Timeframe</b><br/>1–2 working days</p> |
|--|--|
- 5-19. Starting with the first funding criteria ranking category, the Secretariat identifies if any category requires further prioritization according to whether there are sufficient funds to support all proposals in that category. If there is a need for further prioritization, the process will involve Step 6a.

### Step 6a. If required, each economy's Principal Decision Maker (PDM) prioritizes Concept Notes within a rank

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| <p>5-20. If there are more Concept Notes than can be supported within a particular ranking category with the available</p> | <p><b>Timeframe</b><br/>1 week</p> |
|--|------------------------------------|

funds, the Secretariat refers the priorities of the SCE, CTI, EC, and SFOM to each economy's PDM for further prioritization. For example, if there are enough funds available to cover all "ranking category 1" Concept Notes in the Operational Account (OA), but only some of its "ranking category 2", then *only* OA category 2 Concept Notes are referred to PDMs for prioritization.

- 5-21. To develop an APEC-wide prioritization list, each economy's PDM compares and combines all Concept Notes that the three Committees and SFOM have determined to be of the specific funding criteria rank. The PDM prioritizes 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 as priority 1. However, it is possible that one Committee's Concept Notes could be prioritized above some or all those of another Committee.
- 5-22. The Secretariat may request that a PDM revise its prioritization 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.
- 5-23. 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 AELM 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 prioritization by Committees (or PDMs when necessary)**

- 5-24. 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.
- | Timeframe |
|-----------|
| 1-2 days  |
- 5-25. 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 prioritized 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 prioritized 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 prioritized Concept Notes would be recommended for in-principal approval.)

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

- 5-26. According to the priority assessment and the amount available in each fund or sub-fund the Secretariat

Timeframe
3 days

advises the BMC on which Concept Notes can be funded under a specific funding round, according to the priority assessment and the amount available in each fund or sub-fund.

- 5-27. BMC reviews the Secretariat's recommendation which is based on the prioritization and ranking process conducted by Committee members and, if required, PDMs.
- 5-28. The BMC provides in-principle funding approval for Concept Notes. Final approval is subject to the full project proposals receiving a "satisfactory" quality assessment during the full proposal stage. This proposal assessment stage is detailed below.

### Step 9. Secretariat informs POs of results.

- 5-29. Successful POs are invited to work with the Secretariat to submit project proposals within the specified deadline. Unsuccessful POs 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. PO develops a full project proposal

- 5-30. Project proposals are to be completed using the template at **Appendix C**. Proposals must be succinct. Each project proposal should not exceed 12 A4 size pages, including the budget. The budget will be prepared in accordance with the guidance provided on allowable and non-allowable expenses for APEC projects as detailed in the Project Guidebook. The budget should also clearly reflect any waivers that the PO is seeking approval for from the Secretariat and BMC. Waivers will be approved by the Secretariat or BMC in accordance with APEC guidelines during the project proposal approval stages.
- 5-31. After a Concept Note receives in-principle approval, the PO has until the specified deadline to develop the project proposal. The PO is encouraged to work with the Secretariat to achieve "satisfactory" quality according to APEC's quality criteria, outlined below. Further information on APEC's quality criteria are as follows:

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#### Timeframe

As soon as possible after in-principle approval.

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- **Relevance** – the link to APEC's goals, as well as those of the fora and the relevant funding account,
- **Effectiveness** – the likelihood of a project meeting its stated 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.

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

- 5-32. Proposals must be prepared in line with the guidelines and requirements in the Project Guidebook. Failure to do so may result in proposals not being recommended, difficulties during implementation, or non-payment of claims following completion.
- 5-33. The POs should ensure that their project maximizes the following cross-cutting methodologies identified in the Framework to Guide ECOTECH Activities:
- Development of human capital
  - Linkages between APEC economies
  - Gender equality
  - Engagement of other APEC fora, APEC Business Advisory Council (ABAC), the private sector, and other multilateral organizations.

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

- 5-34. POs must secure the endorsement of their forum for the project proposal to be eligible for APEC funding.
- 5-35. The Quality Assessment Framework (QAF) has been established as part of APEC's assessment, monitoring and quality system to assist POs improve the quality of proposals. The QAF is part of the APEC peer review process which allows forum members to provide comments to the PO in a structured manner, in accordance with APEC's quality assessment criteria. The QAF is to be completed using the template at **Appendix E**.
- 5-36. All fora are encouraged to establish a small group of three to five members to evaluate the quality of proposals and complete the QAFs for each project. QAF members are generally chosen for their technical understanding of a topic or sector, their skills and experience in project evaluation and their objectivity. Greater consistency and comparability can be gained if the same members assess all proposals from the same forum during each session.
- 5-37. A minimum of two QAFs are required for each proposal. A proposing economy cannot provide a QAF assessment for its own proposal. Co-sponsoring economies may contribute to a QAF assessment.

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#### Timeframe

As soon as possible after obtaining in-principle approval.

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

- 5-38. The PO submits the endorsed project proposal and QAF document to the Secretariat. The final QAF must be a single document that combines the feedback of all the assessors and rates the project as "satisfactory" for implementation.
- 5-39. The Secretariat assesses the quality of each project proposal. The assessment is undertaken by the PMU in consultation with the PO and the relevant PD. The PMU draws on the QAF comments and uses APEC's quality criteria (**Appendix F**) to assess proposals.

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#### Timeframe

By the deadlines assigned by the Secretariat to ensure that the quality approval process is finalized within the overall timeframe allocated by the BMC.

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- 5-40. All proposals assessed by the PMU must earn a “satisfactory” rating under each criterion before they can be recommended to BMC for funding approval. The PMU’s assessment of “relevance” is based on members’ priority assessment of Concept Notes. The PMU will also ensure that the project fully meets the funding requirements under each of the APEC accounts (whether they are TILF or ASF and the ASF sub-funds).

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

- 5-41. On the basis of the PMU’s assessment, the Secretariat makes a recommendation for the BMC’s approval for all projects under USD200,000. The proposals are recommended for BMC approval according to agreed BMC deadlines. Approval of projects exceeding this threshold will be submitted for SOM’s approval through the BMC.
- 5-42. The BMC makes decisions on project funding between its meetings. Members consider the quality of proposals as assessed by the Secretariat, and comments in the QAF when making decisions.

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#### Timeframe

BMC has three days to consider full proposals.

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### Projects that are Approved

- 5-43. Following BMC approval of a proposal, the Secretariat provides the PO with a letter of acceptance which confirms BMC approval of the project and details issues for the PO’s consideration when implementing the activity. These details include issues raised in the Quality Assessment sheet. The PO by signing the acceptance letter, acknowledges agreement to implement the project in accordance with the scope and budget approved by the BMC. The letter must be signed and returned to the Secretariat prior to the commencement of the project.

### Projects that are Not Approved

- 5-44. If the Secretariat judges that a proposal has not achieved “satisfactory” quality, it refers the proposal to the BMC for discussion at the final deadline. The Secretariat provides members with a written justification for its assessment. The PO is then invited to submit a written explanation addressing the issues raised by the Secretariat and highlighted in the Quality Assessment. Using these justifications and any supporting evidence, BMC members’ views are sought if they concur with Secretariat recommendations. If a BMC member disagrees with the Secretariat’s recommendation, they are required to provide an explanation, with reference to the APEC quality criteria, for discussion by all BMC members. BMC members not responding within a two-week deliberation period are assumed to have endorsed the Secretariat’s recommendations.
- 5-45. Should BMC find that the project has achieved APEC’s minimum quality standards the project will be approved for funding (with any conditions it deems appropriate). If the project is found to be unsatisfactory, members will return the decision to the Secretariat and PO for further review, for a period not exceeding two weeks; or decide to revoke their in-principle agreement to fund the proposal. If in-principle

agreement is revoked, the Concept Note may be resubmitted to the relevant Committee for reconsideration and re-ranking in a future approval round.

- 5-46. A “Two-Strike Rule” will apply to proposals that have been granted in-principle approval but fail to reach quality at the full proposal stage for the second time during separate approval sessions. Concept Notes for such projects, submitted by the same POs, will not be considered in future rounds. Note that this will apply only to full proposals that had obtained in-principle approval. Concept Notes that have not obtained in-principle approval may be submitted again, without limitations. This rule will not put at a disadvantage proposals that could not be funded due to limited funds available, but would prevent undue time spent on those proposals that repeatedly fail to improve quality.



# 6. Project Implementation and Monitoring

## Stage 4—Implementation

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

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| <p>6-1. APEC projects are implemented <b>over two APEC financial years</b>, starting with the year that a project is approved and ending on 31 December the following year. For example: 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.</p> <p>6-2. All disbursements must be completed by the date stated on the project proposal. In exceptional cases, the project disbursement deadline may be extended</p> <p>6-3. 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. The steering committee may include project co-sponsors, forum members, representatives of relevant multilateral organizations, and private sector stakeholders. The steering committee or PO must finalize the details of the project, including the timing and venue of events, participants, and any procurement as required.</p> <p>6-4. If a PO cannot continue in the role, the Secretariat must be informed of the successor, including the individual's name, post, and contact details. It is also the responsibility of the outgoing PO to brief the incoming PO on the progress of the project and the status of financial commitments and claims.</p> | <p><b>Timeframe</b><br/>Within two financial years</p> |
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### Step 15. PO submits monitoring report to Secretariat through the relevant PD

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| <p>6-5. The PO keeps the Program Director (PD) and Program Executive (PE) regularly informed of progress in implementing the project (at least every two months).</p> <p>6-6. All APEC-funded projects are monitored on a six-monthly cycle to ensure that they are progressing in line with the timeframes, budgets and methods presented in the project proposal. The PO is responsible for completing the monitoring report using the required template (<b>Appendix G</b>). POs are encouraged to contact their PDs as early as possible in preparing monitoring reports for advice and assistance.</p> <p>6-7. 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. The relevant PD and PE may comment on the monitoring report.</p> | <p><b>Timeframe</b><br/>On 1 August and 1 February of each year</p> |
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- 6-8. The Monitoring Report is a key part of APEC's monitoring and evaluation framework. It allows for the collection and analysis of relevant information during project implementation. This can improve the efficiency and effectiveness of a project by keeping track of project progress and addressing any problems which may cause delays or the termination of projects. Monitoring reports will be presented to the relevant fora.
- 6-9. A summary of APEC project monitoring reports are submitted to the BMC on a biannual basis. The summary report may contain the following issues:
- Projects that are likely to run for over six months ,
  - Projects performing well that have important lessons to contribute to future projects,
  - Projects that are likely to have follow-up activities or extensions,
  - Innovative or pilot projects,
  - Controversial or problematic projects which may provide important lessons for other projects.

# 7. Project Completion

## Stage 5—Project Completion

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

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| <p>7-1. All APEC projects must submit a Completion Report (CR). 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 BMC or SOM.</p> <p>7-2. Project completion is a crucial stage of the project cycle. Completion reports are an important tool to show concrete results to all stakeholders and accumulate knowledge and lessons learned to inform future activities. Reports should contain sufficient qualitative and quantitative data on outputs and outcomes achieved to substantiate the assessments. Apart from measuring the achievements of objectives and relating these to project costs, this document provides POs with the opportunity to document activity achievements and performance data.</p> <p>7-3. CRs should contain at a bare minimum, key information on project findings and outcomes against the agreed objectives, lessons learned, reconciliation of expenditures, assessment of post-activity evaluations conducted and participant feedback, ideas for follow-up activities and prospects to improve the project’s sustainability. The information contained in completion reports will be used to determine what additional measures and capacity-building requirements are needed to sustain the benefits derived from the project.</p> <p>7-4. CRs are due within two months after project completion. The template for completion reports is at <b>Appendix H</b>.</p> <p>7-5. POs must submit completion reports to the APEC Secretariat through their forum’s PD following approval of the report by the forum members. Engagement by forum members in reviewing the CR is strongly encouraged. Any comments by forum members on the draft report should be incorporated into the draft report before submission to the Secretariat.</p> <p>7-6. The Secretariat provides BMC of a list of APEC projects that have not met completion report requirements. Following SOM authorization, BMC has the authority to bar any forum failing to submit a completion report from putting forward a new Concept Note or proposals in any upcoming project approval sessions until the report has been submitted. See below for further details.</p> | <hr/> <p><b>Timeframe</b></p> <p>Within two months of the completion of the project</p> <hr/> |
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## **Noncompliance with Monitoring and Completion Reporting Requirements**

- 7-7. The APEC Secretariat informs the BMC of any APEC-funded project that does not provide a monitoring or completion report on time.
- 7-8. 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.
- 7-9. BMC members may grant an exception to penalties for noncompliance. To facilitate exceptions the following procedures will be followed:
- Three weeks before the submission deadline of each project approval session, the Secretariat provides a report to BMC members detailing POs with overdue monitoring reports and fora with overdue completion reports.
  - Simultaneously, the Secretariat notifies the fora and POs with outstanding reports that they may not submit new Concept Notes for consideration unless all reports are lodged with the Secretariat before the deadline or an exception is obtained.
  - Within one week, Forum Chairs, Lead Shepherds, and Convenors (or their nominated representatives) may appeal the penalty to the BMC and seek an exception to the PO or forum being prevented from submitting Concept Notes for that project approval session.
- 7-10. Exceptions can be granted only through a consensus decision by the BMC. These decisions normally will be made between BMC sessions.
- 7-11. POs and fora may usually request no more than one exception in any one calendar year. POs and fora must provide an exceptional case to be granted more than one exception in any calendar year.

## 8. Multi-Year Projects

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

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

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

## Submission and selection of multi-year projects

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

Principal Decision Makers (PDMs) will be requested to prioritize the Concept Notes using the APEC-wide funding criteria.

8.3.1. Multi-year project proposals must first be presented as a Concept Note, and endorsed at the Committee, SFOM or SOM levels.<sup>3</sup>

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

- 8-4. Principal Decision Makers (PDMs) will be requested to prioritize the Concept Notes using the APEC-wide funding criteria.
- 8-5. POs of the highest priority concept notes will subsequently be invited by BMC to develop full proposals for quality assessment by the Secretariat. Proposals must be of satisfactory quality before being recommended for approval by BMC or SOM (depending on the amount of funds requested).
- 8-6. Acknowledging the additional complexity and planning needed for multi-year projects, POs will have up to three months from notification of in-principle approval to develop full proposals to satisfactory quality.
- 8-7. During this pilot stage, approval of multi-year project Concept Notes will be limited to three per approval session.
- 8-8. Multi-year projects may be funded from any APEC project fund. Multi-year project funding will be released on an annual basis, with multi-year projects receiving priority in each fund's annual allocation.

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<sup>3</sup> As per the guidelines for standard APEC projects, prior to submission of a multi-year project Concept Note, Committee and sub-fora endorsements and co-sponsors must be secured.

## Implementation of multi-year projects

- 8-9. Multi-year project proposals will largely be implemented under the same rules as standard projects, however multi-year project POs must provide additional information on project progress and funds disbursement through the August monitoring report (template at <http://www.apec.org/Projects/Forms-and-Resources.aspx>). This will provide BMC with the information needed to determine the necessary level of funding required by that project in the next calendar year.
- 8-10. Termination of multi-year projects may be considered any time. Multi-year projects may be terminated before their notional end dates. Termination may take place for the following reasons:
- 8.10.1. At the request of the proposing forum;
  - 8.10.2. Reduced relevance, as assessed by SOM, Committee or SFOM;
  - 8.10.3. Significant reduction in self-funding, as reported by the Secretariat;
  - 8.10.4. Significant reduction in involvement of co-sponsors, other APEC forum or non-APEC stakeholders, as assessed by the SOM, Committee or SFOM;
  - 8.10.5. Poor project performance or mismanagement, as reported by the Secretariat;
- or
- 8.10.6. Insufficient funds at APEC's disposal for the project, as determined by BMC.
- In this case, BMC may consider continuing the project in a modified form.
- 8-11. This pilot stage of multi-year projects will be reviewed in 2013. This review will examine the policy parameters and processes used to manage multi-year projects. It is envisaged that agreed changes be implemented in 2013.

## Multi-year project forms

For multi-year project Monitoring Report and Completion Report templates, see the APEC projects webpage: <http://www.apec.org/Projects/Forms-and-Resources.aspx>

For multi-year project Concept Notes and Proposal templates, please contact your Program Director or the Project Management Unit.

## 9. APEC Project Expenses

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

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

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

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

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

9-3. Labour costs are paid under a contract entered into with the APEC Secretariat before the work commences. Refer to Chapter 12 of the Guidebook – Contracting, for information on APEC procurement policies.

9-4. All payments are made upon satisfactory completion of tasks as detailed in the approved Terms of Reference.

### Allowable Expenses

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

- Event or project organization,
- Research,
- Translation of training materials (a strong justification is required for approval indicating that the translations are of benefit to more than one economy),
- Short-term clerical and administrative support for conferences, symposia, workshops and seminars,
- Honoraria, to a maximum of USD1,500 per expert, per event, are allowable for experts. (An expert in the APEC context is defined as follows: trainers, moderators, speakers, and presenters who contribute at an expert level at an APEC event. Refer to section 10.4 for further details), and
- The design and development of websites, databases and other online resources may be funded should there be a strong justification provided by the PO on how maintenance costs will be met with non-APEC funds.

### Non-Allowable Expenses

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

- Honoraria for government officials, international organization officials and anyone otherwise engaged to work on an APEC-funded project (such as contractors or POs). Government officials include public officers, such as political appointees and career civil servants, employed by the government of the respective economy. Academics whose remunerations are paid by the government may be exempted from this restriction if they undertake that the receipt of the honorarium will not contravene any relevant laws, regulations or rules in their economies; (Approved, BMC1 Feb 2013).
- Translation of project outputs or reports, associated equipment or any other expenses thereof ; (Approved, BMC1 Feb 2013) and
- Maintenance costs for websites, databases and other online resources including servers after the completion of the APEC funded activity.

### Exceptions to Non-allowable expenses

- 9-7. The Secretariat approves waivers on some non-allowable expenses such as **simultaneous interpretation costs**, on a case-by-case basis and in line with the guidance provided below. All requests for waivers need to be detailed in Section F of the APEC proposal. Failure to do so may result in the waivers not being considered and funded.
- 9-8. In seeking a waiver to allow simultaneous interpretation, the PO needs to clearly demonstrate in the project proposal that:
- the waiver is sought under exceptional circumstances which may involve cases where individuals with limited English language skills are nominated as speakers or as experts on a particular topic;
  - the availability of an alternative expert/s with appropriate language skills and comparable skills and expertise, is limited;
  - the benefits of the service are available to all participants of the 21 economies; and
  - the interpretation costs are deemed by the POs as being appropriate for the size and scope of the project.
- 9-9. Should the justification for the waiver for simultaneous interpretation costs be deemed as being insufficient or not significant enough to warrant immediate approval by the Secretariat, the Secretariat will refer the request to BMC for final endorsement.
- 9-10. Given their unique nature, APEC New Strategy for Structural Reform (ANSSR) projects are exempted from the requirement of justifying the translation of training materials and simultaneous interpretation on the ground that the translation/ simultaneous translation services are of benefit to more than one economies in paragraph 9-5 or the benefits are available to all participants of the 21 economies in paragraph 9-8. (Approved, BMC2 Jun 2013)

### Contractor Tasks

- 9-11. All direct labour costs, relating to the delivery of specific project outputs, that are managed and delivered by a contractor should be contracted out as one single package for administrative and management efficiencies. The contracting of these labour costs will be in accordance with APEC procurement policies which are detailed in Chapter 12.

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



- Translator's fees
  - Researcher's fees, and
  - Fees for short-term clerical assistants' or secretarial fees.
- 9-12. Approval to contract these elements as individual items may be provided under exceptional circumstances through the Secretariat. The waiver request should include a strong justification detailing the reasons for contracting out the tasks separately and how this approach can achieve cost and administrative efficiencies. Should the justification be deemed unsatisfactory, the Secretariat will seek approval from BMC.
- 9-13. Current government employees and employees of International Organisations should not be engaged in contracts to provide labour in any form through an APEC-funded project to avoid potential or perceived conflict of interest. This includes contracts providing honoraria. The PO is responsible for ensuring that the preferred contractor is not a government employee.
- 9-14. A waiver can be sought and final approval granted under special circumstances for government institutions to engage in contracts to provide labour through an APEC-funded project. Approval will be granted by the Secretariat based on a strong justification. Should the justification be deemed unsatisfactory by the Secretariat, BMC approval will be sought.

## Travel Expenses

- 9-15. Travel expenses include both the cost of traveling to a location and the per diem allowance.

### Eligibility

- 9-16. Travel expenses are paid only to the following APEC-funded travelers:

- Participants
- Experts
- Contractors

### Participants

- 9-17. Participants are categorized as event attendees with specific, substantive, planned tasks that add value to the event, such as providing a description of practices in their own economy or examples for consideration as best practice. Participants also help to disseminate the knowledge gained on returning to their economies.
- 9-18. Participants can be government officials, representatives from the private sector or civil society, academics, or other stakeholders from travel-eligible economies. Refer to the APEC non-member participation guidelines for further guidance on the participation of civil society representatives, academics or other external stakeholders from APEC member economies and non-members economies.
- 9-19. The following 11 APEC member economies are considered "travel-eligible" APEC economies:
- Chile
  - China
  - Indonesia

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

### Experts

9-20. “Experts” cover trainers, moderators, speakers, and presenters who contribute at an expert level at an APEC event.

### Contractors

9-21. A Contractor is defined as a person or persons engaged in the provision of an APEC-funded task or activity. APEC’s procurement policies are detailed under **Chapter 12** of the Guidebook.

### Transportation

9-22. 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 within the approved project budget.

9-23. Requests for mileage in lieu of air fare will be considered by the Secretariat on a case-by-case basis, subject to the provision of justifications from the PO. Where the request will be granted, the Secretariat shall make reference to the mileage rate adopted by the civil service in the economy of origin or economy of destination, depending on the circumstances of the travel. (Approved, BMC2 Jun 2013)

9-24. POs must communicate the limitations and requirements on funding travel costs to the APEC-funded traveler.

### Per Diem

9-25. APEC travelers entitled to per diems are APEC-funded participants from travel-eligible economies, eligible experts, and contractors engaged under an APEC contract that includes a per diem payment in addition to their payment rate.

9-26. Per diems are paid to cover expenses related to attending an APEC event or undertaking an APEC task outside of a traveler’s home city. They are intended to cover costs such as hotel bills, meals, transportation, transfers, travel insurance, and departure taxes. The per diem is non-accountable, which means a traveler does not have to acquit the funds.

9-27. There are two types of per diem payments:

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

— **Amount:** 100% of the daily rate for the project event city

— **Period of time:** From the day before the commencement of the event or the day of arrival (whichever is later) until the last day of the project event or the date of departure (whichever is earlier).

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

— **Amount:** 100% of the daily rate for the transit city

— **Period of time:** For the relevant day

- 9-28. **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://apps.who.int/bfi/tsy/PerDiem.aspx>, 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.
- 9-29. **For example:** An eligible traveler attending a three-day workshop funded by APEC may receive a maximum per diem of 4.75 days X the per diem rate for the city in which the workshop is held. Depending on arrangements, POs may choose to budget for a lower per diem for the project event city, but not a higher rate.
- 9-30. The PO may seek the prior agreement from the Secretariat to waive the requirements in paragraphs 9-27, 9-28 and 9-29 with justifications, e.g., the total project cost will be saved if the traveller arrived in the city more than one day before the event, unavailability of flights, or the role of the traveller requires him/her to arrive more than one day before the event. (Approved, BMC1Feb 2013)
- 9-31. Where the PO requests a per diem rate higher than the prevailing UN rate, the PO has to demonstrate that:
- The room rates of the designated hotel takes up 80% or more of the prevailing UN per diem rate;
  - There are no other suitable hotels in the city that offer cheaper standard room rates; and
  - All APEC-funded participants will stay in the hotel designated by the PO. Supporting documentation showing that the participants have resided in the designated hotel will be required. (Approved, BMC1 Feb 2013)
- 9-32. The Secretariat may agree to use APEC fund to cover the actual accommodation expenditure and to provide a specific percentage of the UN per diems to cover meal costs and other expenses. The percentage will be the non-accommodation-related portion of the full per diem rate, up to a cap of 40%. The discretion may only be made if budget is available for the project. (Approved, BMC1 Feb 2013)
- 9-33. 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 non-accountable.
- 9-34. All travelers claiming a per diem must sign a Per Diem form, certified by the PO, at the end of each day of an event as proof of attendance. Per Diem forms can be found in the Forms and Resources folder on the “Projects” tab, APEC website.
- 9-35. POs must communicate the limitations and requirements on funding per diems to the APEC-funded traveler before travel commences.
- 9-36. POs must follow the process and timeline set out in this document for claiming and paying travel expenses. Failure to follow the required process and timelines may lead to a delay in payments, or partial or complete non-payment for costs that are not approved by the Secretariat.
- 9-37. At least four weeks before an event, the PO must provide the Secretariat, through the responsible PD and PE, with:
- Detailed information about the location of the event and the relevant per diem rate,
  - An agenda of the event, and
  - A complete list of experts and participants, and the tasks each is expected to perform in association with the event.
- 9-38. At least two weeks before the event, the traveler must provide to the Secretariat, through the responsible PD and PE, the travel itinerary and costs of travel. These must be approved by the Secretariat. On the basis of the approved itinerary and costs, the Secretariat prepares a travel undertaking, which is a simple contract detailing the amounts to be paid and the tasks that must be performed (a sample travel undertaking can be found under Implementation Resources on the project database).
- 9-39. At least one week before the event, the traveler must submit to the Secretariat through the responsible PD and PE:
- The signed undertaking agreeing to the detailed terms and conditions; and
  - Clear payment instruction.
- 9-40. POs must ensure that each traveler submits a signed travel undertaking to the Secretariat by the deadline. Travel expenses are reimbursed only if there is a travel undertaking in place. Fares purchased before the undertaking is signed are purchased at the traveler’s own risk.
- 9-41. If required, visas must be secured before the purchase of tickets. It is the traveler’s responsibility to check visa requirements. Fares purchased before securing a visa are purchased at the traveler’s own risk.

### Allowable Expenses

- 9-42. APEC will reimburse the costs of the following:
- Travel expenses for a maximum of two participants per travel-eligible economy, and
  - Travel expenses for a maximum of six experts each day provided they have a formal role at the APEC event.

9-43. The PO may seek the prior agreement from the Secretariat to waive the requirement on the number of experts in paragraph 9-42 with justifications. (Approved, BMC1 Feb 2013).

### Non-Allowable Expenses

9-44. The following expenses are non-allowable for APEC funding:

- Travel expenses for additional experts exceeding the maximum of six experts each day of an APEC funded event,
- Travel expenses for POs,
- Airfares for travelers attending APEC funded project events in the margins of an APEC forum meeting when their attendance at the meeting would normally be funded by their own economy. However, APEC may provide per diem payments for the period covering the project event, and
- Travel expenses for travelers making additional transits or extended transit stops for non-APEC or personal reasons or for travelers who want to fly on a preferred airline.

### Exceptions to non-allowable expenses

9-45. The Secretariat approves waivers on non-allowable expenses on a case-by-case basis. POs can seek waivers for the following exceptions:

- An additional number of participants exceeding two from each economy may be funded under exceptional circumstances, including in the case of APEC New Strategy for Structural Reform (ANSSR) projects. The relevant PD should be contacted to investigate funding for more than two participants and to seek approval from the Secretariat. (Approved, BMC2 Jun 2013)
- An additional number of experts exceeding six each day, with justifications (please refer to paragraph 9-43). (Approved, BMC1 Feb 2013)
- Travel expenses for POs may be funded only in exceptional cases. Waiver requests must be accompanied by a strong justification and a strategy for mitigating any perceived conflict of interest.
- ~~• Travel expenses for government officials from non-travel eligible member economies attending as Experts in APEC funded events. The Secretariat may, on receipt of a strong justification from the PO, grant a waiver to approve the use of APEC funds to fund this class of expert. (this Para will be deleted from GB - Approved, BMC2 Jun 2013)~~
- ~~• Exceptional per diem payments are provided only to accommodate travelers that have no choice but to transit on route to or from an APEC event. (this para will be deleted from GB - Approved, BMC2 Jun 2013)~~
- All requests for waivers should be detailed in **Section F** of APEC project proposals.

## Publication and Distribution Costs

9-46. POs are responsible for ensuring that publication content (or the “work”) meets the requirements of all APEC policies and guidelines, including the APEC Publications Guidelines, APEC Style Manual and Accepted Nomenclature, APEC Intellectual Property Policy, APEC Logo Guidelines, and APEC Website Guidelines. These documents apply regardless of whether the publication is APEC funded or self-funded. APEC publications include publications in electronic or printed copy form. This includes books, research manuals, research studies/reports, working papers, conference proceedings, and basic information documents such as brochures and newsletters.

9-47. The most recent versions of the Publication Guidelines and other requirements governing APEC publications can be found at: Publication guidelines: <http://www.apec.org/About-Us/About-APEC/Policies-and-Procedures.aspx>.

9-48. APEC Logo guidelines: <http://www.apec.org/About-Us/About-APEC/APEC-Logo-Use.aspx>

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

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

The content of any publication (the “work”) is the responsibility of the PO. The PO is encouraged to compare the costs of different publishing methods with a view to minimizing costs, while ensuring that distribution is appropriate. All publication content must be approved by the forum before the publication is submitted to the Secretariat for approval and payment.

9-49. The PO is responsible for ensuring the satisfactory completion of all tasks detailed under the Terms of Reference (ToR) for the project.

9-50. The APEC Secretariat must be consulted on APEC publication policy and format requirements. Mock-ups of publication designs must be supplied to the APEC Secretariat before printing. Publications must follow APEC guidelines on publications, logo and intellectual property, or payment will be withheld.

9-51. Consideration should also be given to electronic publishing as a supplement or substitute for printed copies. Publishing in CD-ROM/DVDs or sending the publication to the APEC Publication Database (<http://publications.apec.org>) is encouraged.

9-52. Disbursement for publishing and distribution costs will be undertaken on a reimbursement basis and will be:

- Subject to the satisfactory completion of the Work as detailed in the contract milestones or project proposal;
- Upon receipt by the Secretariat of the originals or scanned copies of invoices stating the publication title, number of copies, and unit price that are certified as correct by the PO; and

- Upon receipt by the Secretariat of at least five hard copies (if applicable) and an electronic copy of the work (publication, report, training or multimedia material (e.g. CD-ROM, video). These must be produced in accordance with APEC's publication guidelines.
- 9-53. Publications may be coordinated by the Communications and Public Affairs team of the APEC Secretariat or by the contractor. POs are encouraged to compare the costs of different publishing methods with a view to minimizing costs, while ensuring that distribution is appropriate.
- 9-54. 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.

## Project Event Costs

- 9-55. APEC will reimburse the majority of costs associated with project events such as workshops, seminars, training courses, and surveys. Amounts that will be reimbursed are capped at the level set out in the BMC-approved budget.

## Event Hosting

### Allowable

- 9-56. APEC will reimburse the costs of the following:
- Conference room and secretariat room rental
  - Stationery
  - Purchase or rental (whichever is cheaper) of specialized materials or equipment needed for the event
  - Development of teaching and training materials for the activity (unless already covered by a contract or other budget item). Approval would be based on a strong justification that it benefits more than one economy; and
  - Photocopying and communication costs.

### Non-Allowable

- 9-57. The following expenses are **strictly** not allowable for APEC project funding:
- Promotional items and gifts (such as banners, briefcases, souvenirs, flowers)
  - Conference registration fees
  - Local transportation costs, including for airport transfers, or costs of sightseeing. Where a waiver for field trips has been granted, local transportation costs related to the field trips may be allowed by the Secretariat upon request of the PO. (Approved, BMC2 Jun 2013)
  - Standard office equipment such as computers (including laptops), printers, copiers, fax machines, scanners, and cameras are not considered "equipment" for the purpose of reimbursement. The PO may seek the Secretariat's agreement to incur expenses on the equipment listed above if the equipment was not used to support the daily office

operation of the POs' or contractors' organisations, such as in the case of holding a paperless meeting in the meeting venue. (Approved, BMC2 Jun 2013)

- The ongoing maintenance of project equipment or materials after the project is completed.

### Exceptions to Non-allowable expenses

9-58. The following expenses are non-allowable except where the Secretariat grants a waiver on a case-by-case basis:

- ~~Meals, coffee and tea breaks.~~ A waiver may be granted to allow for meals ~~certain otherwise non-allowable 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 meals ~~normally non-allowable non-allowable costs~~. The submission must be accompanied by quotations for both room-only costs, with or without coffee/tea breaks, and the package cost for the same venue and days. Waivers may be approved by the BMC or Secretariat depending on the significance of the request. For avoidance of doubt, refreshment in coffee or tea breaks does not fall under the definition of meals. (Approved, BMC2 Jun 2013)
- Field trips – approval of field trips will be granted on an exceptional basis; on an assessment of the individual merits of the case and a strong justification on how the visit would support the delivery of project objectives.

All requests for waivers should be detailed in the relevant sections of the APEC Project Proposal.

## Surveys and Research

### Allowable

9.59. APEC will reimburse the costs of the following:

- Books and documents necessary for research (including postage),
- Purchase or rental (whichever is cheaper) of equipment or materials needed for the survey or research, and
- Translation of training materials, survey or research materials (subject to the provision of a strong justification that it benefits more than one economy). This does not include final project reports or final outputs.

### Non-allowable

9.60. The following expenses are not allowable for APEC project funding

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



## 10. General Disbursement Procedures

- 10-1. 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.
- 10-2. The PO must certify all claims for payment for satisfactory completion of tasks before the claims are presented to the APEC Secretariat.
- 10-3. In the case of payments to contractors, the payments will be subject to the satisfactory completion of all tasks relating to the proposed scope of the activity and as agreed in the ToR for the activity.

### Claiming Payment—Honoraria

- 10-4. 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), in English.

### Claiming Payment—Travel Expenses

- 10-5. To claim reimbursement for travel expenses, claimants must send the Secretariat the following documentation:
- Certification from the PO that the APEC-funded traveler has traveled and performed the tasks as an expert or participant
  - The per diem form confirming attendance
  - Evidence from the APEC-funded traveler of the actual travel cost incurred (e.g., e-ticket, air ticket, or train ticket receipt)
  - Payment instructions (bank name, bank codes, name of account holder and account number), in English.

### Claiming Payment—All Other Payment Types

- 10-6. 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.
  - Written certification from the PO stating that the specific task in a contract or undertaking has been completed satisfactorily in accordance with the agreed Terms of Reference and contract. Should the tasks as outlined in the agreed terms of reference and contractual agreement not be completed as required, APEC reserves the right to decline the payment.
  - Receipts or other evidence of costs incurred for expense items funded by APEC.
- 10-7. Claims for payment are not processed until all necessary paperwork and certifications are completed and received by the Secretariat.
- 10-8. 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.
- 10-9. For claims which are under USD500 supporting documentation is not required. Claims will be paid on the basis of a certified invoice from the PO.
- 10-10. All disbursements are made in USD. The APEC Secretariat is not responsible for losses caused by fluctuations in exchange rates, nor does it require reimbursement of gains earned by fluctuations in exchange rates.
- 10-11. For travel-related payments in currencies other than USD, the exchange rate for calculating the equivalent amount in USD will be prevailing market rate indicated in the travel undertaking, at the discretion of the Secretariat and subject to availability of project funding. For other types of payments, the exchange rate will be the prevailing market exchange rate, determined at the discretion of the Secretariat, at the time of telegraphic transfer or the equivalent amount in USD as approved in the project proposal, whichever is lower.
- 10-12. The APEC Secretariat will absorb Singapore-based bank charges associated with all disbursements. Bank charges levied at the receiving end and all agent charges are the responsibility of the receiving party. An exception may occur when the payment is limited to a reimbursement of actual expenses incurred (for example, when the reimbursement is for the airfare of an APEC-funded traveler who is not in receipt of a per diem).
- 10-13. The APEC Secretariat does not make reimbursements in a single cheque telegraphic transfer of less than USD100. This is to minimize bank charges for both the Secretariat and the payee.
- 10-14. With the exception of travel expenses, honoraria and payments to contractors, payment will be made to an organization or company account rather than to a personal account. (Approved, BMC1 Feb 2013)
- 10-15. Before making a financial commitment, the PO may seek the prior agreement from the Secretariat to waive this restriction by explaining why payment into a personal account is inevitable. The request should be accompanied by an official letter from the relevant organization certifying the request. The Secretariat may refuse to

process requests that are made after the PO or claimant has already made the financial commitment. (Approved, BMC1 Feb 2013)

- 10-16. The Secretariat shall report the requests for waivers with respect to paragraph 10-15 and the Secretariat's decisions in one year to the Chair and Vice-Chair of the BMC by 30 ~~45~~ January of the following year. The Chair of the BMC shall decide if such reports should be circulated to BMC Members for reference. (Approved, BMC2 Jun 2013)
- 10-17. For payments into organisational accounts, if it is inevitable for the PO to make payments to a party that is not a contractor/service provider related to the APEC project or the PO's organisation, the PO may seek the prior agreement from the Secretariat to make such a payment before making a financial commitment. The request should be accompanied by an official letter from the PO's organisation/relevant organisation certifying the request. Requests will be considered on a case-by-case basis. The Secretariat may refuse to process requests that are made after the PO or claimant has already made the financial commitment. (Approved, BMC2 Jun 2013)
- 10-18. The Secretariat shall report the requests for making payments to unrelated third parties and the Secretariat's decisions in one year to the Chair and Vice-Chair of the BMC by 30 January of the following year. The Chair of the BMC shall decide if such reports should be circulated to BMC Members for reference. (Approved, BMC2 Jun 2013)
- 10-19. 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:
- With the exception of travel expense, 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 for advance payment of travel expenses will be processed by the APEC Secretariat during project implementation. (Approved, BMC2 Jun 2013)
  - Requests must be justified, and the APEC Secretariat retains the right to decline a request, especially if there is a risk of non-performance of the task or action that is being prepaid.

# 11. Changing a Project

## Request for Design or Budget Amendments (Reprogramming)

- 11-1. Projects must follow the timelines, budgets, methodologies, and approaches set out in the approved project proposals.
- 11-2. POs must request and obtain prior approval to amend the nature, scope, methodology, timeframe, or budget allocations of an APEC funded project. The APEC Secretariat will not be liable for any expenditure made outside the approved budget allocation.
- 11-3. 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. The request must contain a written justification for the reasons for the proposed change to the project. (Approved, BMC1 Feb 2013)
- 11-4. Where necessary, the Secretariat may request the PO to seek the support from the relevant forum's Lead Shepherd / Chair / Convenor for the change proposed so that they may be kept abreast of the more major changes in the projects of their fora. (Approved, BMC1 Feb 2013)
- 11-5. Most requests for reprogramming a project may be approved by the APEC Secretariat. However, only the BMC may approve:
  - Any substantial change to the overall nature of a project (as determined by the APEC Secretariat); and
  - Any request for an increase in the project budget.

## Request for Extension

- 11-6. POs must submit a written request to the Secretariat seeking approval to extend a project. The request should be submitted to the relevant PD and contain the following details:
  - The period of extension required,
  - A justification for why an extension is needed,
  - How any potential or real risks will be managed to ensure further extensions will not be needed, and
  - Evidence of support (in writing) of the relevant forum's Lead Shepherd or Chair Convenor for the extension.
- 11-7. A request for extension must be made at least **six weeks** prior to the deadline. The Secretariat may refuse to process a request made later than six weeks before the deadline. (Approved, BMC1 Feb 2013)

- 11-8. The Secretariat may approve one or more extensions to a project for up to 12 months from the original end date. Any extensions beyond 12 months must be approved by BMC.

## 12. Contracting

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

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

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

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

- 12-2. Competitive bidding is important to ensure that APEC projects provide value for money and mitigate any real or potential risks of conflict of interest. Depending on the value of the contract, different methods are used to engage a contractor.
- 12-3. All APEC-funded contracts are held between APEC and the contractor. The contractor can be an organization, a company or an individual. POs are responsible for managing the procurement process and recommending to the APEC Secretariat suitable organizations, companies or individuals to carry out the agreed contract terms of reference.
- 12-4. The APEC Secretariat in consultation with BMC may veto a proposed contract when a conflict of interest is real or perceived and cannot be adequately managed such as when a relationship exists between the PO and contractor; or when the PO and contractor are employees of the same organization. APEC's approach to addressing real or potential conflicts of interest is detailed under Project Guidebook, sections 12.33 to 12.38.
- 12-5. 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 at the time of submitting a proposal (major contracts) or before being recommended to undertake project tasks (minor contracts).
- 12-6. The APEC Secretariat is responsible for the preparation of the contract and negotiation of the final contract text with the contractor. Prior to commencing the contractual process the scope of work to be undertaken will be agreed between the Secretariat and the PO and detailed in a Terms of Reference (ToR). The ToR needs to be specific, clearly articulated, comprehensive and relevant, and will be based on the scope of the activity detailed in the approved project proposal.
- 12-7. For contracts valued over USD20,001, services to be stipulated in the contract will be outlined in the Request for Proposal (RFP) which is prepared by the PO and approved by the Secretariat. The Secretariat will keep the PO informed of the progress of any negotiations.
- 12-8. Contracts between the APEC Secretariat and contractors must be in place prior to work commencing. APEC will not be liable for any work done prior to an agreed contract being in place.

## Procurement Methods

### Contracts Valued at USD5,000 or Less

12-9. To have a Work Undertaking approved, the PO must provide the Secretariat with:

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

12-10. Subject to the approval of the proposed contractor, the “Work Undertaking” will be drafted. This will consist of:

- The approved ToR;
- Contractor’s CV;
- Notice of offer from the Secretariat; and
- Notice of acceptance\* from the contractor.

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

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

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

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

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

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

12-13. To source a major contract valued from USD20,001 to USD50,000, the PO must work with the relevant PD to prepare a clear, logical and specific RFP based on the approved project proposal and the funding available for the contract and using the standard RFP template available on the APEC website. For contracts within this threshold, APEC will conduct a selective tender process which involves restricting the number of suppliers who are invited to submit proposals under the RFP.

12-14. A qualification of interested suppliers based on their capabilities and expertise will be undertaken by the PO so as to exclude suppliers who do not meet the minimum requirements. Suppliers qualified in these processes are then invited to respond to the RFP. At least three qualified suppliers are invited to respond to the RFP. However, five or more are recommended to ensure a more competitive process and allow for non-responses from some suppliers.

- 12-15. The PO will draft a set of criteria to evaluate and assess the bids to ensure that a transparent and equitable process is undertaken. The bid evaluation criteria will be approved by the relevant APEC Program Director prior to the selection process being undertaken.
- 12-16. A written statement that details the PO's selection process and justifies the choice of preferred contractor, using the standard RFP template. This document will detail the justifications for the selection against the agreed bid evaluation criteria and also state that the selection process undertaken has been transparent and equitable. The statement will also indicate that there has not been any real or perceived conflict of interest in which the PO (as an individual or organization) has been placed in a position to exploit his/her professional or official capacity in some way for personal or corporate benefit. The PO will notify unsuccessful bidders of the result only after the contract has been signed.
- 12-17. When conducting a selective tender process, the selection should be justified on a sound and non-discriminatory basis. Suppliers may be selected from the general market or from a list which includes:
- Suppliers or experts who have a demonstrated track record of working in the particular sector or area;
  - Suppliers that have been shortlisted or pre-qualified from a previous tender process; or
  - Any suppliers that have been granted a specific licence or comply with legal requirements in a given context, in relation to a very specific APEC topic or issue.
- 12-18. Circumstances which may justify a waiver from the adoption of a selective tender include:
- The existence of a limited pool of suppliers or experts who can supply the required goods or services to APEC. For example where a tendering process for a particular project has already been undertaken and no suitable contractor was identified; or
  - Where value for money in the procurement process would not be achieved by undertaking yet another restricted or selective tendering process due to the expense involved.
- 12-19. To have a contract under this value threshold approved, the PO must provide the Secretariat with:
- A RFP for approval including the bid evaluation criteria; and
  - After the selective tender process has been completed by the PO, the CV and proposal from the recommended contractor that outlines the relevant skills and experience for the task.
- 12-20. Bid evaluation criteria shall be established for assessing the bids. This will enable the proper identification, assessment and comparison of all the costs and benefits associated with the submissions, on a common and fair basis.



- 12-21. In exceptional circumstances, the Secretariat may approve waivers for non-competitive tendering of no more than USD50,000. In these situations, the PO must submit a written request to the Secretariat setting out the reasons for why a direct sourcing arrangement will not compromise the quality or scope of the project and why competition should be restricted.
- 12-22. Where a written request for a waiver from undertaking a selective tendering process is submitted to the Secretariat for approval, the Secretariat must be satisfied that a departure from a competitive process is fully justified. The justification should clearly state that in following this course of action, APEC is still obtaining the best quality outcomes and value for money. It also needs to clearly demonstrate that there is no existing or prior relationship between the PO and the contractor. If the Secretariat considers the explanation unsatisfactory, the request will be submitted to BMC for consideration.
- 12-23. The Secretariat will provide BMC members with a detailed list of waivers for all selective tendering processes approved in each project approval session. This list will be provided for members' consideration at the conclusion of each project approval session either at the BMC meeting or intersessionally.

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

- 12-24. To source a major contract valued from USD50,001 and above, the PO must undertake an open tendering process. Open tendering is the most competitive and open procurement process. The PO must work with the relevant PD to prepare a clear, logical and specific RFP based on the approved project proposal and the funding available for the contract and using the standard template. The RFP must be approved by the Secretariat and circulated amongst all member economies and posted on APEC website to allow for a fully transparent and fair process to be completed.
- 12-25. To have a major contract of USD50,001 and above approved, the PO must provide the Secretariat with:
- The RFP for approval;
  - CVs and proposal from the recommended contractor which outline the relevant skills and experience for the task; and
  - A report that details the PO's selection process and justifies the choice of preferred contractor, using the standard template (available on the APEC website), and approved by the relevant PD.

The PO should set up an evaluation panel consisting of at least three representatives from co-sponsoring economies; not including the proposing economy, to formally evaluate the proposals submitted. The PO will notify unsuccessful bidders of the result only after the contract has been signed.

- 12-26. Where a request for a waiver from an open tendering process is submitted to the Secretariat for approval, the Secretariat must be satisfied that a departure from the standard process is fully justified. In doing so, the PO must demonstrate to the Secretariat that in following this course of action a transparent and equitable assessment has been conducted and that APEC will obtain the best quality outcomes and value for money.

- 12-27. Engaging a contractor directly is not a competitive procurement process. This procurement process requires a strong defensible justification which clearly states the reasons for not undertaking an open tendering process. If the Secretariat considers the explanation unsatisfactory, the request will be submitted to BMC for consideration.
- 12-28. The Secretariat will provide BMC members with a detailed list of waivers for all open tendering processes approved in each project approval session. This list will be provided for members' consideration at the conclusion of each project approval session, and will be done either at the BMC meetings or intersessionally.

### **Criteria for Approving Waivers for Open Tendering Processes**

- 12-29. Criteria for approving waivers for open tendering processes by the Secretariat may include the following:
- The absence of responses to an open tender that has been conducted;
  - Non-conformance of bids received with the essential requirements of the tender evaluation criteria;
  - Where there is only one supplier or expert capable of fulfilling the requirements of the RFP. In this case, the PO needs to demonstrate to the Secretariat that he/she has considered the market beyond his/her own economy;
  - The need for continuity with existing services to achieve the required outcome of the APEC activity. The PO's justification would need to clearly state that an alternative contractor would be unable to provide the continuity required; or
  - For reasons of extreme urgency as a result of unforeseen or urgent events. This should not be the result of a lack of planning. In approving the request, the Secretariat and BMC need to be fully satisfied that the urgency is genuine and not unforeseen.

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

- 12-30. Bids from contractors based in non-member economies and bids from international organizations may be considered. However, priority is given to suitably qualified tenders from member economies.
- 12-31. If the preferred contractor resides outside the APEC region, additional justification is required prior to contract approval. It is necessary to explain the preferred contractor's particular expertise and detail efforts to source a suitably qualified contractor from within APEC.

### **Travel Costs for Contractors**

- 12-32. Contractors undertaking travel to complete their agreed task(s) in accordance with the RFP are reimbursed for travel costs from one locality to another. Contractors are also entitled to a per diem payment, if included in their contract in addition to their hourly or daily payment. Business class travel may be approved for contractors, but only when travel exceeds 12 hours from airport to airport and there are sufficient funds available.

- 12-33. Contractors must submit a Contractors Reimbursement Claim form in claiming travel expenses. Template available under on the APEC website.

## Conflict of Interest

- 12-34. A conflict of interest in the context of procurement processes occurs when an individual or organization has a private or personal interest sufficient to appear to influence the objective exercise of his or her official duties. More generally, a conflict of interest can be defined as any situation in which an individual or organization is in a position to exploit his/her professional or official capacity in some ways for personal or corporate benefit. Conflict of interest is the presence of any factors that are likely to bias a decision maker's judgment during the bid selection process. The existence of a conflict of interest may not of itself be evidence of wrong doing. A conflict of interest needs to be managed appropriately as part of a risk management strategy for ensuring that all APEC procurement processes are undertaken in an impartial and independent manner.
- 12-35. Secretariat staff and POs should avoid the appearance of and take measures to ensure that any real or potential risk of conflicts of interest is minimized and managed appropriately. The PO or APEC Secretariat staff members who have any affiliations with parties involved in the procurement process for an APEC activity shall disclose his/her connection to the organization or individual prior to the commencement of the selection process. In cases where a real or perceived conflict of interest has been identified during a procurement process, the potential risk can be managed appropriately by the individuals or organizations by declaring their involvement or affiliation with the relevant parties in writing and subsequently refraining from participating in any decision-making process during the selection processes. The decision-making process will need to be documented appropriately.
- 12-36. Prior to the approval of contracts, the PO must provide the Secretariat with a clear justification for the selection of the contractor, which also includes a clear statement indicating that the selection process undertaken has been open, transparent and equitable. The statement will also indicate that there has not been any real or perceived conflict of interest in which the PO (as an individual or organization) has been placed in a position to exploit his/her professional or official capacity in some way for personal or corporate benefit.
- 12-37. To ensure that the selection process is conducted in a transparent, accountable and equitable manner and to mitigate any real or potential conflict of interest, the PO will assess all bids according to an agreed bid selection criteria. The outcomes of the selection process will be submitted to the Secretariat for approval. When conducting an open procurement process, POs need to establish a panel consisting of members from the co-sponsoring economies to ensure a more independent process of selection.
- 12-38. The APEC Secretariat, in consultation with BMC, can veto a proposed contract when a conflict of interest is real or perceived and cannot be adequately managed. These circumstances may include situations where a relationship exists between the PO (as an organization or individual) and the contractor, or when the PO and contractor are employees of the same organization. At any time during the

procurement process, any misconduct or conflict of interest issues will be reported to BMC by the Secretariat.

- 12-39. The Secretariat will provide BMC members with a detailed list of waivers for selective and open procurement processes approved in each project approval session. This list will be provided for members' consideration at the conclusion of each project approval session either at the BMC meetings or intersessionally.



## APPENDICES

1. **Appendix A - Applying for APEC Projects – Summary Sheet**
2. **Appendix B - Concept Note Template**
3. **Appendix C - Project Proposal Template**
4. **Appendix D - Self Funded Proposal Template**
5. **Appendix E - Quality Assessment Framework (QAF) Template**
6. **Appendix F - APEC Quality Assessment Criteria**
7. **Appendix G - APEC Project Monitoring Report Template**
8. **Appendix H - APEC Project Completion Report Template**
9. **Appendix I - Guide on Gender Criteria for APEC Project Proposals**
10. **Appendix J – APEC Project Evaluation Survey Template**
11. **Appendix K - APEC Procurement Principles**

**Note that application and report templates can be downloaded as individual files from the APEC website:**

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

# Applying for APEC Funds – A Summary

Projects help translate APEC Ministers' and Economic Leaders' policy directions into actions and create tangible benefits for people living in the Asia-Pacific region. This summary sheet provides an overview of the process.

### Who can apply for APEC funds?

- A project originates from an economy (or economies) and is considered and delivered through an APEC forum. The proposing economy will lead the design and delivery of the project through a Project Overseer (PO) who coordinates the project during the approval and implementation phases.

### When are project approval sessions?

- APEC has two submission deadlines per year. Check the APEC website or with your Program Director for current project approval session dates.

### What types of projects does APEC fund?

- APEC projects involve seminars, workshops, meetings, research projects and/or publications.
- Projects must be aligned with the strategic directions of the proposing forum and with broader APEC policy agendas.

### What is the standard duration of an APEC project?

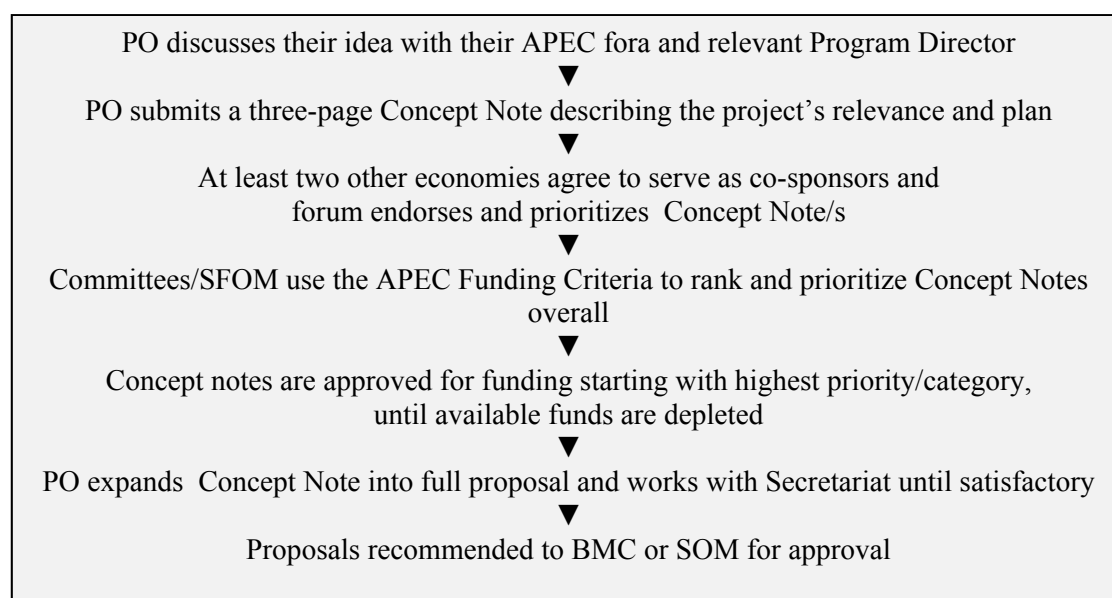
- A standard APEC projects must be completed within two financial years.
- APEC has launched a Multi-Year Projects limited pilot program, for projects three to five years in duration. See Guidebook Chapter 8 for further details.

### What are the sources of funding for APEC projects?

- Operational Account (OA - for any general projects),
- Trade and Investment Liberalization and Facilitation Account (TILF – only for projects which support trade and investment liberalization and facilitation as articulated by Leaders' or Ministers' directives and the Osaka Action Agenda)
- APEC Support Fund (ASF – only for projects which support the capacity building need for APEC developing economies.)

### How are projects approved for funding?

- Below is a brief outline of the project process. See Chapter 4 for more detail.



## Appendix B

### 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>Fund Source</b> (Select one): <input type="checkbox"/> Operational Account <input type="checkbox"/> TILF Special Account <input type="checkbox"/> APEC Support Fund <b>For ASF:</b> As per Guidebook Ch. 3, list <b>ASF Sub-fund</b> if appropriate for this project:			
<b>APEC forum:</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 <u>150 words</u> . 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> <b>By category:</b> Travel: Labor costs: Hosting: Publication & distribution: Other: <i>(See Guidebook on APEC Projects, Ch. 9 to ensure all proposed costs are allowable.)</i>		

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

**Name:**

**Title:**

**Organization:**

**Postal address:**

**Tel:**

**E-mail:**

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

\_\_\_\_\_  
 Name of Project Overseer

**Date:**



## Project Synopsis

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

**Relevance – Rank:** Which Rank in the annual *APEC Funding Criteria* does this project fall under? Briefly explain why. Is it also linked to other Ranks? If so, briefly explain which/how.

2. **Objectives:** Describe the 2-3 key objectives of the project. (e.g. ensure workshop participants will be able to...; to create a framework...; to develop recommendations...; to build support...; to revise strategies...; to create an action plan;...to increase knowledge in; to build capacity in... etc.)
3. **Alignment – APEC:** Describe specific APEC priorities, goals, strategies, workplans and statements that the project supports, and explain how the project will contribute to their achievement.

**Alignment – Forum:** Briefly explain how the project is aligned with your forum's workplan / strategic plan.

4. **Methodology:** How do you plan to implement the project? In this section, briefly address the following:
  - **Workplan:** Project timelines, dates of key activities and deliverable outputs.
  - **Beneficiaries:** The proposed selection criteria for participants, beneficiary profiles (e.g. workshop participants, end users, policy makers, researchers/analysts, gender) and how they will be engaged.
  - **Evaluation:** Potential indicators developed to measure progress, project outcomes and impacts/successes. Where possible provide indicators which could assess impacts on women.
  - **Linkages:** Information on other APEC and non-APEC stakeholders and how they will be engaged. If and how this proposal builds on (but does not duplicate) the work of other projects. How will this activity promote cross fora collaboration?

## Appendix C

### APEC Project Proposal

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

<b>Project title and number:</b>			
<b>Source of funds</b> (Select one): <input type="checkbox"/> Operational Account <input type="checkbox"/> TILF Special Account <input type="checkbox"/> APEC Support Fund			
<b>APEC forum:</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 <u>150 words</u> . Your summary should include the project topic, goals, 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>Summary of Proposed Budget (USD) :</b>	<b>APEC funding</b>	<b>Self-funding</b>	<b>Total</b>

**Project Overseer Information and Declaration:**

**Name:**

**Title:**

**Organization:**

**Postal address:**

**Tel:**

**E-mail:**

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

\_\_\_\_\_  
Name of Project Overseer

**Date:**

## Project Details

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

### **SECTION A: Relevance to APEC**

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

1. **Relevance:** What problem or opportunity will the project address and why is it important? How will the project benefit APEC members and the region? Which Rank on this year's *APEC Funding Criteria* does this project fall under? Briefly explain why. Is it also linked to other Ranks? If so, which topics and how? [*½ page*]
2. **Objectives:** Describe the 2-3 key objectives of the project. (e.g. to ensure workshop participants will be able to...; to create a framework...; to develop recommendations...; to build support...; to revise strategies...; to create an action plan; ...improve capacity in; etc.) [*¼ page*]
3. **Alignment:** Describe specific APEC priorities, goals, strategies, workplans and statements that the project supports, and explain how the project will help achieve them. Explain how it is aligned with your forum's workplan / strategic plan. [*less than ½ page*]
4. **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 Impact**

5. **Outputs:** Describe products or services that the project will create. This may include workshop, reports, tools, research papers, recommendations, best practices, action plans etc. [*½ to ¾ page*]
6. **Outcomes:** Describe the specific changes the outputs are expected to achieve in the medium-term. What changes in policy, processes or behaviour will the project lead to? [*½ to ¾ page*]
7. **Beneficiaries:** Who are the direct project participants and users of the outputs? Describe their qualifications, level of expertise, roles/level of responsibility, gender, economies represented, government departments, APEC fora involvement etc.. Explain how they will use and benefit from the outputs. Who else will benefit from the project and how? [*½ to ¾ page*]
8. **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 publications that are only presentation slides, or website maintenance. Electronic publication encouraged.)
  - The target audience.
  - Any intention to sell outputs arising from this project.[*less than ½ page*]

9. **Gender:** What steps will the project take to ensure the participation and engagement of both men and women in project activities? How do project objectives benefit women? *[less than ½ page]*

### **SECTION C: Project Effectiveness**

10. **Work plan:** Provide a timeline of actions you will take to reach your objectives. For each, include:
- How it will be implemented; how member economies, beneficiaries & others will be involved
  - 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]*
11. **Risks:** What risks could impact project implementation and how will they be managed? *[½ to 1 page, depending on project nature/complexity]*
12. **Monitoring and Evaluation:** How will you know whether the project achieved its objectives?
- What information will be collected to assess progress and impact (e.g. stakeholder feedback, website hits, participant stats)? How will gender impacts be measured?
  - How will you collect it (e.g. surveys, meetings, interviews, peer review, records review)?
  - What **indicators** will you use and/or measure to know if the project is on track (monitoring) and successful in meeting its objectives (evaluation)? *[½ page]*
13. **Linkages:** Describe the involvement of other APEC fora, and other relevant organizations. Include:
- **Engagement:** How are you engaging other relevant groups within and outside APEC?
  - **Previous work:** How does this project build on, and avoid duplication of, previous or ongoing APEC initiatives, or those of other organizations working in this area?
  - **APEC's comparative advantage:** Why is APEC the best sources of funds for this project? *[¼ to 1 page. Answers may be taken or adapted from the Concept Note]*

### **SECTION D: Project Sustainability**

14. **Sustainability:** Describe how the project will continue to have impact after the APEC funding is finished.
- How will beneficiaries be supported to carry forward the results and lessons from the project?
  - After project completion, what are the possible next steps to build on its outputs and outcomes? How will you try to ensure these future actions will take place? How will next steps be tracked?
  - How will progress on the outcomes and impacts (Question 6) be measured? *[less than 1 page]*
15. **Project Overseers:** Who will manage the project? This includes managing of contractors and specialists? Please include brief details of the PO and any other main point(s) of contact responsible for this project. *[less than ½ page]*

## SECTION E: Project Efficiency

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

### APEC Project Itemized Budget

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

<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 (government officials ineligible)	(# of speakers)				
Translator's fees  (strong justification is required for approval indicating that the translations are of benefit to more than one economy – please provide details/scope of work in Budget Note 1 – Direct Labour)	(# of pages)				
Short-term clerical fees  (please provide details of scope of work and deliverables in Budget Note 1 - Direct Labour)	(# of hours)				
Contractor fees  (contractors Secretary's fees to be included in cost and packaged together)	(# 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 (restricted economy class)	(# of persons and trips)				
<b>Other items</b>					
Publication/distribution of report	(# of copies)				

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

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

## Appendix D

### APEC Self-Funded Project Proposal Coversheet

*Please submit through APEC Secretariat Program Director.*

<b>Project Title:</b>	
<b>Project Number (Assigned by Secretariat):</b>	
<b>Committee / WG / Sub-fora / Task-force:</b>	
<b>Proposing APEC economy:</b>	
<b>Co-sponsoring economies:</b>	
<b>Date approved by fora:</b>	
<b>Expected start date:</b>	
<b>Expected completion date:</b>	
<b>Project summary:</b>  Briefly describe the project. Your summary should include the project topic, planned activities, timing and location:	
<b>Total cost of project (USD):</b>	

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

***Name:***

***Title:***

***Organization:***

***Postal address:***

***Tel:***

***E-mail:***

As Project Overseer and on behalf of the above said Organization, I will ensure that all Project outputs (Project reports, proceedings, slides, presentations, CDs, etc.), will comply with the APEC Publications, APEC Logo and Copyrights Guidelines before being published. The guidelines are at: <http://www.apec.org/About-Us/About-APEC/Policies-and-Procedures.aspx>

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*Name of Project Overseer*

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*Name of Fora Chair/Lead Sheppard*

**Date:**

## Appendix E

### 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 Overseer should incorporate all QAF comments into a single consolidated document before submission.
- 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"/> <b>Satisfactory</b> <input type="checkbox"/> <b>Unsatisfactory</b>	
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"/> <b>Satisfactory</b> <input type="checkbox"/> <b>Unsatisfactory</b>	
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 an 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"/> <b>Satisfactory</b> <input type="checkbox"/> <b>Unsatisfactory</b>	
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?	

**Impact: assessing expected results for APEC and stakeholders**

*Please tick:*    ☐ **Satisfactory**        ☐ **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?

**Sustainability: assessing if benefits and lessons learned are likely to continue after the project**

*Please tick:*    ☐ **Satisfactory**    ☐ **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 be put in place to support the changes brought about by the project?

Can the project do more to get commitment for the 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?	
<p><b>Overall comment on proposal quality:</b></p> <p><b>Overall <i>quality</i> assessment:</b>      <i>Please tick:</i>      <input type="checkbox"/> <b>Satisfactory</b>      <input type="checkbox"/> <b>Unsatisfactory</b></p>	

## Appendix F

### 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 and 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 with fora's priorities and are follow-on projects planned?

## Appendix G

### Project Monitoring Report

*Please submit through your APEC Secretariat Program Director  
by August 1 and February 1 of each year.*

#### SECTION A: Project profile

Project number			
Time period covered in		Date sub	
Committee / WG			
Project Overseer Organization / Ec			

#### 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 the last 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 delays? What support is needed from your Committee or the Secretariat?

**2. Implementation:** Describe progress against the project work plan and proposed objectives.

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

**3. Evaluation:** What are the indicators developed under the project to measure progress/success? Has baseline information or evaluation results been collected? How will any potential impacts on gender be measured? If relevant please provide details.

**4. Challenges:** If not covered in Q1, describe any issues which impacted (or might still impact) on the effective delivery of the project. How have these affected the objectives, deliverables, timeline or budget? What are the risk management strategies in place to manage potential or real risks

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

<b>FOR APEC SECRETARIAT USE ONLY</b> <i>APEC comments: Is the project management effective? How could it be improved? Are APEC guidelines being followed?</i>

## Appendix H

### Project Completion Report

*Please submit through your APEC Secretariat Program Director within 2 months of project completion. Reports should be 3-4 pages. Please append participants list.*

#### SECTION A: Project profile

Project number & title:			
Project time period:		Date submitted:	
Committee / WG / Fora:			
Project Overseer Name / Organization / Economy:			

#### SECTION B: Project report and reflection

1. **Project description:** In 3-4 sentences, please describe the project and its main objectives.

2. **Meeting objectives:** Describe how the project met each of its proposed objectives. Please outline any challenges you may have encountered in delivering the activity.

3. **Evaluation:** Describe the process undertaken to evaluate the project upon completion. (e.g. evaluation through participant surveys, peer reviews of outputs, assessments against indicators, statistics demonstrating use of outputs etc.). Provide analysis of results of evaluations conducted and where possible include information on impacts on gender. *Evaluation data needs to be included as an appendix.*

4. **Output indicators:** Describe the main project outputs below. This may include workshops, tools, research papers, reports, recommendations, best practices, action plans.

Indicators (Edit or Insert rows as needed)	# planned	# actual	Details or notes
# workshops / events			
# participants (M/F)			
# economies attending			
# speakers engaged			
# other organizations engaged			
# publications distributed			
# recommendations agreed on			
Other:			

Comments:

5. **Outcomes:** Describe any specific medium-term changes to policy, processes or behaviour that can be attributed to result from this activity. Please include details on:

- What indicators were used to measure medium-term impact? (Example indicators: type/number of policies/ regulations/processes changed, % of businesses conforming to new standards, change in sector's commercial activity, # individual action plans developed, # agencies using resource or tools etc.)

- **Monitoring plans in place and proposed indicators to measure impacts, including any impacts on gender. Please summarise relevant information.**

6. **Participants (compulsory for events):** Must be gender-aggregated. May be included as appendix.

<b>Economy</b> <i>(Insert rows as needed)</i>	<b># male</b>	<b># female</b>	<b>Details</b>
Other:			

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

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

8. **Next steps:** Describe any planned follow-up steps or projects, such as workshops, post-activity evaluations, or research to assess the impact of this activity. How will the indicators from Question 5 be tracked? How will this activity inform any future APEC activities?

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

## **SECTION C: Budget**

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

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

## **SECTION D: Appendices**

Please attach the following documentation to the report as required. **Note that the participant contact list is a mandatory requirement for all Project completion reports.**

✓	<b>Appendices</b>	<b>Notes</b>
	<b>Participant contact list:</b> contact info, gender, job titles ( <i>mandatory</i> )	
	<b>Experts / consultants list:</b> contact info, job titles, roles, gender	
	<b>Event Agenda</b>	
	<b>Reports, websites or resources</b> created: links or soft copies	
	<b>Post activity survey</b> or other evaluation data (raw and/or aggregated)	
	<b>Other information or resources</b>	
<b>FOR APEC SECRETARIAT USE ONLY</b> <i>APEC comments: Were APEC project guidelines followed? Could the project have been managed more effectively or easily by the PO?</i>		



# Guide on Gender Criteria for APEC Project Proposals

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6. FURTHER HELP

### 1. WHY ARE THERE GENDER CRITERIA?

In 2011, APEC Leaders and Ministers once again 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 2011, the High Level Policy Dialogue on Women and the Economy, held in San Francisco under the Chairmanship of the United States' Secretary of State, adopted a Declaration which states that the full potential of women to contribute to the Asia-Pacific regional economy remains untapped. It also welcomed the establishment of the APEC Policy Partnership on Women and the Economy (PPWE), which streamlines and elevates the influence of women's contributions towards economic growth and fosters women's economic empowerment across the region, tasking it to work with other APEC entities to provide effective policy recommendations on women and the economy to APEC member economies.

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

To effectively do this, the PPWE will conduct eight basic tasks:

- Assist APEC fora and actively cooperate with them to identify and address priority gender equality and women and the economy issues within their work, including inviting the Chairs of the relevant sub-fora to the PPWE meetings to discuss issues that are relevant to each group.
- Promote and report on women's representation across APEC and within individual fora.
- Assess the use of gender equality criteria in project proposals, reporting and evaluation, revising the gender equality criteria, where appropriate and seek to ensure that at least one Secretariat representative from member economies has specific gender equality and women and the economy expertise at all times.
- Collect and share best practices in gender equality integration amongst fora and on an annual basis select one topic area of best practice to be featured at the PPWE meeting.
- Support and report on the progress of implementation of gender integration within individual fora and across APEC economies, including following up on the implementation of policy recommendations on women and the economy called for by APEC Leadership.
- Proactively engage key members of PPWE, including private sector members and APEC Business Advisory Council (ABAC), especially the host economy ABAC member to be selected to be PPWE Women and the Economy advisor, as well as other relevant stakeholders, including international organizations, to advance women's economic empowerment in APEC.
- Collaborate/assist in the development of project proposals in the area of women in the economy.
- Propose recommendations and areas of priority for advancing gender equality and women and the economy integration in APEC.

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

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APEC project proposals contain one question on gender considerations.

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

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

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

- by describing how the project will collect and use sex-disaggregated data to analyze the impact of the project on women.

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

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

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

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

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

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The PPWE terms of reference have established a Project Assessment Standing Committee (PASC) to assist the Women and the Economy Program Director in assessing the proposals submitted to APEC. It will provide advice to the Program Director on the extent to which the gender criteria are addressed in project proposals. The group will facilitate technical assistance if necessary. Once running, the APEC Secretariat will send APEC proposals to the PASC for its review.

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

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

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

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

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

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

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

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

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

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

---

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

I have investigated and thought about how:

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

- ☐ How the objectives of the project provide benefits for women.

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

- ☐ Examples
- ☐ Research
- ☐ Statistics
- ☐ Other rationale

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

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### **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 (Gender)

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

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

## Appendix J

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

APEC Project Name/Number: \_\_\_\_\_

Date \_\_\_\_\_

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

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

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

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

*Explain:* \_\_\_\_\_

\_\_\_\_\_



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

*Explain:* \_\_\_\_\_  
\_\_\_\_\_

3. What new skills and knowledge did you gain from this event?

*Explain:* \_\_\_\_\_  
\_\_\_\_\_

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

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

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

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

*Explain:* \_\_\_\_\_  
\_\_\_\_\_

6. How will you apply the project's content and knowledge gained at your workplace? Please provide examples (e.g. develop new policy initiatives, organise trainings, develop work plans/strategies, draft regulations, develop new procedures/tools etc.).

*Explain:* \_\_\_\_\_  
\_\_\_\_\_

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

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

Name:

Organisation/Economy:

Email:

Gender: M / F

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

# Appendix K

## APEC PROJECT PROCUREMENT PRINCIPLES

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

APEC procurement is based on the following guiding principles:

- **Value for Money and Openness**

(Competitive • Clear • Effective)

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

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

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

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

- **Accountability**

(Honesty • Integrity • Fairness)

Adopting an ethical, transparent approach enables business to be conducted fairly, reasonably and with integrity. For APEC Secretariat staff members and Project Overseers involved in procurement, there is a requirement to recognize and deal with any real or

perceived conflicts of interest as part of the risk management strategy for APEC projects and manage the procurement process a transparent and fair manner.

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