

**GUIDEBOOK**

**ON**

**APEC PROJECTS**

**(6<sup>th</sup> Edition, Final)**

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## **Chapter 1 : Introduction**

- 1.1 The purpose of this *Guidebook on APEC Projects* is to provide a practical and user friendly handbook for managing APEC projects.
- 1.2 This is a quick reference guide compiled by the APEC Secretariat. It is *not* meant to substitute the decisions made by member economies at the Budget and Management Committee meetings (“**BMC**”) and Senior Officials Meetings (“**SOM**”). In case of any doubt, the relevant decisions of the BMC meetings and SOMs prevail.
- 1.3 Projects are a vital part of the APEC process. APEC projects respond to Ministers’ and Leaders’ calls for action in specific policy areas and help translate these calls into physical action. APEC Projects cover a wide range of activities, such as seminars, publications and research, and are aimed at enhancing economic growth and prosperity for the region, including trade and investment liberalization and economic and technical cooperation.

### **APEC Funding**

- 1.4 APEC Members contribute annually to a Central Fund to support the APEC process through the APEC Secretariat. A high proportion of these funds also support APEC projects.
- 1.5 The APEC Central Fund consists of four accounts:
  - (a) APEC Administrative Account;
  - (b) APEC Operational Account;
  - (c) APEC Trade and Investment Liberalisation and Facilitation Special Account (TILF); and
  - (d) APEC Support Fund (ASF)
- 1.6 The APEC Secretariat is funded through the Administrative Account. The Secretariat supports the APEC process, including assistance for meetings, member economies and projects.
- 1.7 APEC projects are funded through the Operational Account, TILF Special Account and the ASF.
  - The APEC Operational Account provides the funding for a wide range of projects approved by APEC, particularly for ECOTECH capacity building activities.

- The APEC TILF Special Account provides the funding for projects in support of trade and investment liberalisation and facilitation, as stated by Leaders' or Ministers' directives and the Osaka Action Agenda.
- The ASF provides funding for projects in support of capacity building for developing member economies in the areas of economic and technical cooperation.

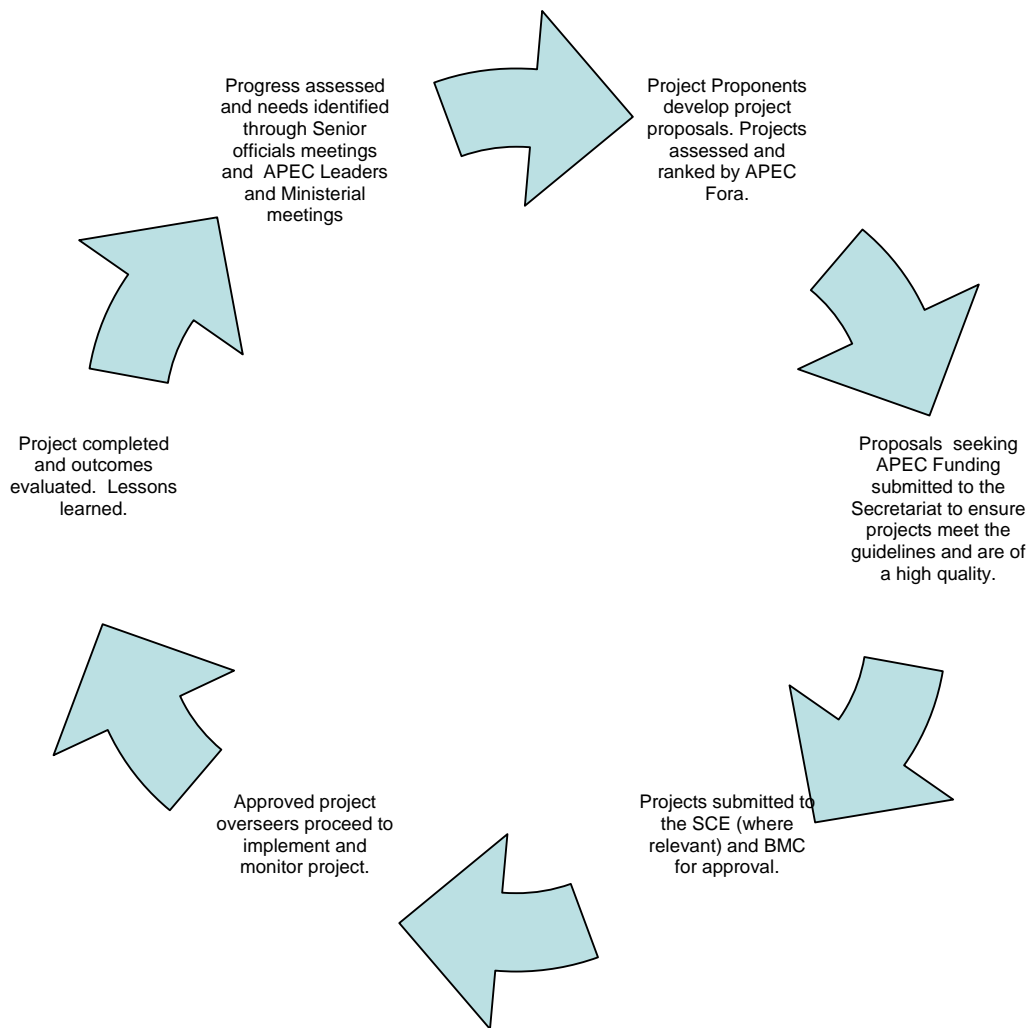
Further details about these Accounts are found in Chapter 3.

- 1.8 In addition at any time in the year member economies may propose self-funded projects, which they put to the relevant APEC forum for approval.
- 1.9 The financial year of APEC begins on 1 January and ends on 31 December of each year. The budget for the year is presented to the BMC at its September/October meeting of the preceding year, endorsed by CSOM and given final approval at the APEC Ministers Meeting in October/November. For example, the budget for 2007 is presented to the BMC at its October 2006 meeting.

## **Chapter 2 : APEC Project Lifecycle**

- 2.1 The life cycle of an APEC project (outline below) begins with a project proponent in a Member Economy proposing a project. This project should be relevant to the interests of several APEC economies. With limited resources projects which respond to APEC priorities will be given precedence for funding. The current APEC priorities may be found at [www.apec.org](http://www.apec.org). Projects include a range of activities such as: research; seminars and training to build capacity; and improving economic efficiency.
- 2.2 With the support of the Member Economy, the project proponent puts forward the detailed project proposal (including a proposed budget) to the relevant APEC fora for consideration, assessment, approval by consensus and ranking. (All projects need to be assessed using the Quality Assessment Framework (See Chapter 4). The project should then be co-sponsored by at least two other economies for it to be considered further. Following endorsement by relevant Fora, all ECOTECH projects (defined as all projects from Working Groups and SOM Task Forces) are also required to be submitted to the SOM Steering Committee on ECOTECH (SCE) for their endorsement.
- 2.3 The Project proponent also needs to submit the proposal to the Secretariat for assessment and checking that the project meets the guidelines, particularly in relation to the cost estimates. TILF and ASF projects are also checked for quality and relevance to their respective funding priorities.
- 2.4 Final project proposals are then submitted to the BMC via the Secretariat. The BMC examines and, if necessary, ranks the project proposals across all APEC fora with a view to obtaining Ministers' final approval. This final approval is given for the majority of projects in October/November each year.
- 2.5 Once funding has been approved the project proponent (now called the Project Overseer), with the assistance of the APEC Secretariat, will implement the project. The Project Overseer should be independent from those contracted to implement the project.
- 2.6 The life span of an APEC project is two years by which time all disbursement or payments should be completed. In exceptional cases, the project disbursement deadline may be extended with the prior approval of the BMC. At the end of the project, it is evaluated and the results reported back to the relevant fora for their further consideration.

## APEC Project Life Cycle



2.7 The timetable for proposing a project, obtaining approval, and implementing it is set out below. The main determinant of this timetable is the approval required from the Ministerial meeting (usually in October or November).

### **APEC Project Timetable**

|                                                                                                                                                                                                                                  |                                                 |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|
| Project Proponent to submit project proposal to relevant APEC fora for consideration, approval and ranking, copied to the APEC Secretariat for comment                                                                           | <b>Before April/May</b>                         |
| For all projects the relevant forum must establish a small group to assess the projects put forward using the Quality Assessment Framework (QAF) (see Chapter 4). Consideration, approval and ranking of proposals by APEC fora. | April/May                                       |
| Submission of approved and ranked proposals by Chair/Lead Shepherd to APEC Secretariat in electronic form (MS Word 6.0)                                                                                                          | Usually end of June*.                           |
| APEC Secretariat assesses all projects received by the deadline.                                                                                                                                                                 | July (at least 10 days before the SCE meeting)* |
| The Secretariat assessment of ECOTECH projects is submitted to the SCE for endorsement.                                                                                                                                          | SOMIII (September)                              |
| BMC meets to consider and approve the overall APEC budget (including project funding) for the next year                                                                                                                          | October                                         |
| SOM considers BMC's recommended overall APEC budget for the following year                                                                                                                                                       | October/ November*                              |
| Ministers consider SOM-endorsed recommendations                                                                                                                                                                                  | October/November*                               |
| Disbursement of approved funds                                                                                                                                                                                                   | Within the two financial years after approval   |

(\* Note: timing of these stages will be refined subject to the scheduling of the Ministerial, Senior Officials and BMC meetings, which can be checked from the APEC Secretariat website <http://www.apec.org>).

## **Urgent Projects**

- 2.8 The BMC also approves “urgent projects” at its meetings (March/April or September/ October) or intersessionally by correspondence. Urgent projects are defined as those projects which respond to Leaders’, Ministerial, or Host’s priorities and need to be implemented faster than a normal project (for example before the end of the host year). An urgent project should be implemented in the same year and, in principle, its result should be reported to Leaders/Ministers in the same year.
- 2.9 If a project proponent wishes a project to be considered as urgent then justifications for the urgency must be provided in the application form. Justifications are not required for projects seeking funding from the ASF.
- 2.10 A portion of funds are set aside each year for urgent projects. The BMC will determine the amount at its September/October meeting. At present this is approximately 25% for Operational Account funding and 15% for TILF funding. These amounts are set to rise under APEC Reform.
- 2.11 Urgent projects arising out of the Ministers/Leaders process in October/ November should be put forward to the Secretariat by:
- 15 January of the following year (for intersessional approval by the BMC, in cases where funding is required before the end of April); and
  - End of February (for consideration by the BMC at its March meeting. The BMC will not consider requests for urgent funding intersessionally in the four weeks prior to a BMC meeting).
- 2.12 Urgent projects exceeding US\$100,000 need to be approved by Senior Officials on BMC’s recommendation.
- 2.13 Disbursement of urgent projects need be completed before 31 December of the following year (i.e. a 2006 project approved in May 2006 should have disbursement completed by 31 December 2007).

## **Self-Funded Projects**

- 2.14 Self-funded projects can be put forward at any time to the relevant APEC fora for their consensual approval. These projects do not need to be assessed by the QAF or ranked. The projects do not require approval from BMC. The project proponent should use the simplified project proposal format at **Annex B2** to help ensure the project meets APEC’s values and also for statistical purposes.



## **Chapter 3 : Operational Account, TILF Special Account and the APEC Support Fund**

### **APEC Operational Account**

- 3.1 APEC projects are funded through the Operational Account, TILF Special Account and the ASF. The rules for funding for projects from these different funds do differ. This chapter is to assist project proponents identify the best account to seek funding from.
- 3.2 Projects in support of APEC's Economic and Technical Cooperation (ECOTECH) agenda are funded by the Operational Account, which is formed from a portion of members' annual contributions to APEC.
- 3.3 For the **Operational Account**, the amount available each year is approximately US\$2 million. There is no current maximum value of projects a particular forum may put forward for consideration, but there is no guarantee that all will be funded.
- 3.4 ECOTECH is aimed at attaining sustainable growth and equitable development, while reducing economic disparities among APEC economies and improving economic and social well-being. Such activities include the sharing of information and experiences, training and research.

Four key priorities were identified in 2003:

- Integration into the Global Economy;
- Counter-Terrorism Capacity Building;
- Promoting the Development of Knowledge-Based Economies; and
- Addressing Social Dimension of Globalization.

In addition to the priorities identified by the Manila Declaration:

- Developing Human Capital
- Developing Stable, Safe and Efficient Capital Markets
- Strengthening Economic Infrastructure
- Harnessing Technologies for the Future
- Safeguarding the Quality of Life Through Environmentally Sound Growth
- Developing and Strengthening the Dynamism of Small and Medium Enterprises (SMEs)

### **Trade and Investment Liberalisation and Facilitation (TILF) Special Account**

- 3.5 In 1995 at the APEC Economic Leaders' Meeting, Japan expressed its intent to contribute up to 10 billion yen over several years to the APEC Central Fund to fund projects which expand cooperative programs, encouraging trade and investment liberalisation and facilitation. The TILF Special Account was established to enable further contributions and fund projects. In 2007, the United States contributed US\$1.5 million to fund 2008 projects.
- 3.6 Cooperative projects in support of trade and investment liberalisation and facilitation (TILF), which aim to assist APEC Member Economies to achieve the Bogor Goals, are funded by the TILF Special Account.
- 3.7 For TILF Special Account project proposals, the project proponent should also include how they contribute to achieving Trade and Investment Liberalisation and Facilitation, e.g., how it relates to the 15 areas listed in Part 1 of the Osaka Action Agenda (TILF linkage).
- 3.8 For the **TILF Special Account** projects, the March/April BMC will decide the level of TILF expenditure for the following year. This limit may be exceeded if there are meritorious projects and sufficient uncommitted reserves available.

### **APEC Support Fund**

- 3.9 In November 2004, Ministers noted that APEC's growing work program was generating greater demand on its capacity building resources. Accordingly, they endorsed the establishment of an APEC Support Fund ("the ASF"). Since then, the ASF received contributions of –
- A\$11 million from Australia of which A\$4 million is for Avian Influenza and emerging infectious diseases initiatives;
  - US\$1 million from Chinese Taipei for Human Security initiatives;
  - US\$2 million each from Korea and China to the ASF General Fund;
  - US\$770,000 from the United States to the ASF General Fund; and
  - US\$500,000 from Hong Kong, China for the implementation of APEC's Second Trade Facilitation Action Plan.
- 3.10 The objective of the ASF is to serve as a flexible funding mechanism to complement the existing Operational and TILF Special Accounts for meeting capacity building needs for APEC developing economies in APEC's agreed high priority sectors for economic and technical cooperation.
- 3.11 Projects for funding under the ASF (including its sub-funds) are, in principle, open for participation by all APEC members, but funding will be available only

for capacity building projects that primarily benefit developing member economies.

- 3.12 The procedures governing the ASF are similar to those governing other APEC projects as set out in this Guidebook.
- 3.13 Further details about the APEC Support Fund can be found in **Annex A**.

### **Availability of Funds**

- 3.14 Where the total value of projects put forward exceeds the funding limits, the BMC will prioritize the projects.

## Chapter 4 : Preparation and Submission of Projects for BMC Approval

### Project Proposals

4.1 **Format**: Proposals must be submitted in the format at **Annex B**. (If the proposal is for a website, the proposal should also include information as at **Annex B1**). Project proponents should ensure that they fill in all paragraphs of the project proposal format. Incomplete proposals will not be considered.

4.2 **Length of Project Proposals**: Proposals should be succinct and to the point. Each project proposal (including enclosures) should be no more than 10 A4 pages.

### 4.3 **Filling out the Proposal**

(a) **Facesheet**: Complete all the details of the facesheet as specified, including the amount of funding being sought and from which account.

(i) ***Co-Sponsorship***: All projects put forward should have the active involvement of at least three economies-as proposing/co-sponsoring economies.

(ii) ***Duration of Projects***: APEC projects are for a maximum of two years (unless approval is given by the BMC for an extension beyond this). Multi – year projects are ones which are recurrent (eg web-site hosting) or which last beyond the normal two year disbursement cycle. Only funds for the first one or two years are approved, with funding for subsequent years required to be submitted as fresh requests. Funding in one cycle does not guarantee further funding.

(b) **Details of the Project proposal: project design**

**Q1-11 Project Objectives, Linkages and Methodology**: In formulating the project consideration must be given to the priorities set by APEC Leaders and Ministers. Relevant Fora should be consulted in the preparation of the project to ensure the project is relevant and complements other APEC activities.

***Linkages with the World Bank***: In 2004 the APEC Secretariat initiated a pilot project with the Global Development Learning Network (GDLN) of the World Bank to utilize the existing facilities of the latter, such as video conferencing to disseminate the benefits arising from the workshop or training by APEC fora to a wider audience. The Project Overseer may wish to consider this option as a means to enhance coordination in the

Steering Committee during the preparation stage and/or expanding the reach at the final stage of seminar/training to the beneficiaries of the project who are not able to participate physically in the activity. The Project Overseer can contact the Director (Program) in charge of the project for more information.

**Q12 Dissemination:** Advice may be obtained from the APEC Secretariat on the most appropriate form of publication to maximise the benefit to APEC. Project proponents should ensure that the publication methods are the most effective and that excessive print runs are avoided. As a guideline, publication expenses for a project should not exceed US\$5,000, and usually be significantly below that amount.

**Q13-14 Gender Criteria:** In formulating a project, consideration must be given as to how the project will benefit women (and how this will be measured and evaluated), how women will participate in the project and how the results will be disseminated to them. Project proponents are encouraged to inform their respective Fora Gender Focal Point of any problems encountered in the development of project proposals. The Fora Gender Focal Point in coordination with the GFPN will provide assistance or advice to properly complete gender issues in the proposal

**Q15-18 Budget:** Detailed budgets should be drawn up when a project is conceived. Please note that APEC normally funds projects on a reimbursement basis, i.e. payment after the completion of the agreed task. If advances are required or if funding is to be by instalments then this must be explicitly stated under paragraphs 16. Please see Chapter 7 before filling in the detailed budget.

**NB:** significant changes to the approved budget require the approval of the BMC.

**Waivers:** A request to waive some of the normal guidelines may be considered.

**Self-Funding:** Project proponents should provide some funding for the project, as far as possible, and indicate this clearly in the budget proposal. For TILF projects, there are specific targets for self-funding: non-TILF contributors from developing member economies should fund around 20% and developed member economies around 50%. Items which are not fundable by APEC (for example refreshment breaks and technical tours) should not count towards self-funding. For a project which is fully self-funded, please see paragraph 2.14.

## **Project Database**

- 4.4 The [APEC Project Database](#) (PDB) has been revitalized and is a complete project management system to enable projects to be managed from early development, through to implementation and completion. From BMC2 2007, APEC members will be required to start submitting and managing their projects online.

Members can access the PDB and the online training tools through the following link:

[http://member.aimp.apec.org/pdb\\_sites/default.aspx](http://member.aimp.apec.org/pdb_sites/default.aspx)

## **APEC Secretariat Assistance**

- 4.5 When the proposals are drawn up, the project proponent or forum concerned must keep the relevant Director (Program) closely involved so that he or she can provide early advice and assistance.
- 4.6 The Secretariat is responsible for examining project budgets, such as per diem and air fare, and ensuring projects meet the criteria and offer value for money. The Secretariat is also responsible for checking the quality of APEC Support Fund projects and TILF linkage for TILF projects.
- 4.7 The Secretariat will ensure that projects are posted on the BMC website at least 10 days before a BMC meeting. From BMC2 in 2007 projects will be available on the PDB to which BMC Members will have access throughout and be able to make comments. The Secretariat may post comments regarding any project where guidelines are breached or where there are ambiguities in the project proposal.

## **Approval of Projects prior to BMC by the relevant APEC fora**

- 4.8 All proposals should be considered, endorsed and ranked by the relevant APEC forum before submission to the Secretariat for transmission to the BMC. All fora should ensure that the project proposals are in the format at **Annex B**, prepared in accordance with this Guidebook, provide all necessary details with a clear, accurate and detailed budget. The project must then be uploaded to the Project Data Base.
- 4.9 **Co-sponsorship**: All projects put forward should have the active involvement of at least three economies-as proposing/co-sponsoring economies.
- 4.10 **Quality of Projects**: All fora should adopt a vigorous examination of project proposals to ensure that they are in accordance with the priorities of Leaders and Ministers, contribute to APEC's core goals, are outcomes oriented, provide

value for money, and have wide support and participation from member economies. The Secretariat will inspect proposals to ensure they meet these requirements prior to BMC, particularly for ASF proposals.

- 4.11 **Quality Assessment Framework:** The 16<sup>th</sup> APEC Ministerial Meeting in 2004 endorsed the replacement of the previous ECOTECH Weightings Matrix with the Quality Assessment Framework (QAF) as a tool to assist Project Proponents improve the quality of their projects. In 2007, the QAF was adapted for TILF projects and endorsed by the BMC.
- 4.12 For all project proposals, fora must ensure that the Quality Assessment Framework (QAF) is completed. The QAF form and instructions on how to complete the form can be found at **Annex B3**. A copy of the QAF for the final version of the project should be forwarded with the proposal to the APEC Secretariat
- 4.13 **Ranking of Projects:** APEC fora should approve and prioritize (i.e. assign specific ranking to) their projects before submitting them to the APEC Secretariat for transmission to the SCE (as required) and the BMC. The SCE and the BMC will not consider project proposals submitted without prioritization by fora - equal rankings are also not permissible.
- 4.14 **Timeliness:** Final versions of the proposals should be submitted to the APEC Secretariat by the deadline. The BMC will only accept late proposals in exceptional circumstances.

### **Secretariat Project Assessment Panel**

- 4.15 In 2005, Senior Officials approved the recommendation that the Secretariat will undertake assessments of project proposals, including eligibility, quality and financial issues, and list them according to categories identified by BMC or SOM (if requested) and submit their findings and recommendations to BMC; and
- 4.16 In 2006, the Secretariat established Secretariat Project Assessment Panels (SPAP) to assess projects based on the following criteria, as subsequently slightly amended:

#### *Basic requirements*

Ranked and endorsed by Forum

Co-sponsorship

QAF

Self-funding percentages for TILF projects (and ASF projects, if required)

Broad priority categorization identified by the SCE of ECOTECH projects

Urgency (Urgent projects)

That there is no duplication or overlap of projects

*Budgetary requirements*

Meets budgetary guidelines (allowable expenses, reasonable fees etc)

Value for money (cost effectiveness)

*Specific requirements and assessment*

Relevance to priorities

Criteria for TILF projects (TILF linkage)

Criteria for OA projects

Criteria for ASF projects

Quality assurance

- 4.17 The Secretariat assessment for ECOTECH projects is then submitted to the SCE and the BMC for their consideration. The Secretariat assessment for CTI TILF projects and for projects from the Economic Committee, Senior Officials Meeting and the Finance Ministers Process are submitted direct to the BMC for their consideration.



## **Chapter 5 : Approval by the Budget and Management Committee**

- 5.1 The Budget and Management Committee (BMC) advises the [Senior Officials' Meeting \(SOM\)](#) on budgetary, administrative and managerial issues. Its key responsibility is to prepare the budget for APEC and recommend the approval of APEC funding of projects. The BMC also monitors and evaluates project management aspects of the operations of Committees and Working Groups and makes recommendations to Senior Officials' Meetings (SOM) for improved efficiency and effectiveness. The BMC meets twice a year, usually at the end of March/April and September/October.
- 5.2 The BMC will consider all Fora endorsed project proposals during the BMC meeting. Project proponents or their member economy representatives will have the opportunity to provide a brief introduction and respond to enquiries about their project, if required. To maximize the effectiveness of the funds available, the BMC is responsible for prioritizing projects across the APEC Fora.

### **Notification by APEC Secretariat of Project Approval**

- 5.3 After a project has been given final approval, the Secretariat will inform the Project Overseer (formerly the Project Proponent) of that approval and provide the name and contact details of the Director (Program) who is responsible for the project. The Project Overseer should not enter into commitments until he/she receives this written approval.
- 5.4 The Project Overseer from that point onwards is expected to keep the Director (Program) informed of progress in implementing the project regularly (at least every 2 months). The Director (Program) is also expected to proactively monitor the progress of projects.

## Chapter 6: Implementation Stage - Overview

### Division of Responsibilities

- 6.1 **Management of Project:** Responsibility for the management of the project rests with the Project Overseer, including ensuring adherence to funding guidelines. The Project Overseer must be fully knowledgeable about the project, including monitoring and evaluating the activities.
- 6.2 Depending on the complexity of the project, it may be advisable for the Project Overseer to form a Steering Committee for the project. This could be the committee entrusted with advising on the QAF or co-sponsors. Otherwise, the Project Overseer will be responsible for implementing the project.
- 6.3 The Steering Committee/Project Overseer should, as soon as possible after the project has been approved, finalise the details of the project, e.g. timing, participants and venues, and identify a managing contractor.
- 6.4 If a Project Overseer is unable to continue as the Project Overseer it is that person's responsibility, through the organisation for which he or she works, to identify and brief a successor. The Director (Program) should be informed of the name, post and contact details of the successor.
- 6.5 **Compliance with APEC Financial Rules:** The APEC Secretariat provides support to Project Overseers in the budgetary control of APEC funded projects; administers the disbursement of APEC funds; and provides advice on other matters relating to project implementation and evaluation. The Project Overseer should keep in close touch with the APEC Secretariat until the project is completed, to minimize the risk of incurring disallowable expenses or budget overrun.
- 6.6 Any budget item using APEC funds, including those which are partially funded by non-APEC resources, must follow the APEC financial rules. This does not apply to budget items which are exclusively non-APEC funded.
- 6.7 **Preparation of Contracts:** A competitive bidding process for contracts for APEC funded projects is important to ensure APEC projects provide value for money. A sample contract template is at **Annex H** for reference. (This is under review.) The principles regarding contracts are set out below.
  - (a) Individual contracts between each contractor and the APEC Secretariat are required in advance of work being done. The contractor can be institutions, companies or individual persons.

- (b) The contract will be drawn up by the APEC Secretariat in consultation with the Project Overseer and the contractor. Once agreed by all parties, the contract is first signed in duplicate by the APEC Secretariat and then sent to the Contractor for signature. The contractor returns one copy to the Secretariat and retains one copy for his/her own records. The APEC Secretariat will keep the Project Overseer informed of the progress.
- (c) ***For contracts of US\$20,000 or below***, the Project Overseer should select the contractor and notify the APEC Secretariat Director (Program) including justifications for the choice and details of the selected contractor and specific tasks to be performed (Terms of Reference).
- For a ***simple service contract***, as a justification it is sufficient to show that the selected contractor is an established one and offers value for money.
  - For ***more complex tasks*** (such as undertaking research or organizing a conference), the justification should indicate the experience of the selected contractor and, for research, brief CVs of the principal persons involved in the project or a brief summary of similar work done recently by the company/organization would be sufficient. Standard CVs may be used – there is no need to craft them for the contract.
  - If the selected contractor is ***resident outside the APEC region***, then additional justification is required. It would be necessary to explain what particular expertise the selected contractor has which is absent/rare within the APEC region (for example, particular expertise in EU matters/developing regions outside of APEC may be necessary for comparison and the success of the project).

If there is a waiver for the selection of the contractor, then no justification is required.

For minor contracts (**at or below US\$ 2000**, excluding travel), the Secretariat will prepare a simple work undertaking rather than a contract.

- (d) ***For contracts between US\$20,001 and US\$50,000***, the Project Overseer should, in consultation with the APEC Secretariat Director (Program), prepare a Request for Proposals (RFP). This should be circulated to at least three potential bidders, allowing at least three weeks for proposals to be submitted. The Project Overseer should select the contractor and prioritize the remainder, and inform the APEC Secretariat of the selection method and the details of the selected contractor. The Project Overseer should inform the unsuccessful bidders only after the contract has been signed.

- (e) **For contracts over US\$50,000**, the Project Overseer should, in consultation with the APEC Secretariat Director (Program), prepare a draft RFP. The Secretariat will circulate the agreed RFP to all member economies and post the RFP on its web site at [www.apec.org](http://www.apec.org) , allowing at least three weeks for proposals to be submitted. The Director (Program) will forward the bids received by the closing date to the APEC Project Overseer or forum/project steering committee which should evaluate them and recommend a contractor, as well as two fallbacks (where possible) in order of preference. Bids from non-member economies and international organizations can also be considered, but priority is given to those from member economies. The Secretariat will make the final decision on the basis of this recommendation and then proceed to draft a contract as above. The Secretariat will inform the unsuccessful bidders.
- (f) **For contracts with a waiver of bidding requirements**, the Project Overseer should provide the Director (Program) with the details of the selected contractor [name, title, postal address, telephone and fax numbers, e-mail address, and specific tasks to be performed (Terms of Reference)] for the Secretariat to prepare the contract.

- 6.8 **Preparation for Meetings:** The meeting organizer should prepare for the meeting at least two months in advance. The draft agenda, following the outline in the project proposal, should be prepared; the list of experts to be invited through an open process should be developed and availability checked; member economies should be invited to put forward names of participants; and the location for the meeting and hotel accommodation should be identified. The costs should not exceed the budget and should be minimized, for instance, by use of university/ministry conference facilities and suburban hotels. Unless there are unavoidable reasons daily hotel room costs should not exceed 60% of the United Nations per diem for the location. At least one month before the meeting the meeting organizer should provide the APEC Secretariat with a final agenda; complete lists of experts and participants (with the tasks each person is to perform and contact details); and the locations of the meeting and hotel (including room only rates).
- 6.9 The travel itinerary and costs for the APEC-funded traveler (whether suggested by the traveler or the meeting organizer) must be approved by the APEC Secretariat prior to purchase of the tickets and at least eight days before the meeting. On the basis of the agreed itinerary and the information from the meeting organizer the APEC Secretariat will prepare a travel undertaking (a small contract) setting out in detail the tasks to be performed and the payments to be made. The APEC-funded traveler will be required to agree to this at least five days before the meeting.

- 6.10 **Delays:** Project Overseers should implement their projects as closely as possible to the timetables submitted to the BMC during the approval stage. Any variation should be reported to the APEC Secretariat and explained to the BMC.

Applications for extension of the disbursement deadline must be made no later than six weeks before the existing deadline is due. Applications must be justified and supported in writing by the Lead Shepherd/Chair of the fora concerned.

- 6.11 **Submitting Reimbursement Claims:** All claims should be submitted as soon as possible after the expenses have been incurred or specific components of the project have been completed. In submitting claims, ensure that all supporting documents are provided with clear explanations and calculations, payment instructions (all in English or translated into English). The Project Overseer has the responsibility to certify that the relevant tasks have been completed satisfactorily before reimbursement can be made (see Chapter 8).

## **Chapter 7 : Allowable Expenses for APEC Projects**

- 7.1 The general principles for the financial management of the APEC funds are:
- (a) **Accountability:** all financial transactions must be appropriately documented.
  - (b) **Best value for the APEC dollar:** all APEC expenditures should be based on competitive bidding where practical.
  - (c) **Openness:** whenever practical, contracts, procurement and grants should be open to all APEC members.

### **Direct Labour**

- 7.2 Direct labour includes consultant fees, writing and translation fees, short term clerical work and honoraria. Direct labour is paid under a contract entered into with the contractor by the APEC Secretariat before the work commences. Direct labour is paid after completion of the work or by instalments against milestones as specified in the contract. Advances are not given for direct labour.

### **Travelling Expenses**

- 7.3 **APEC-funded travelers** are required to travel on the most direct and economical flights. Travel by government officials is not normally funded by APEC and should be funded by their own governments.
- (1) **APEC Experts:** APEC Experts include trainers, speakers, consultants, moderators and discussants who are actively contributing at an expert level to the presentation of the APEC event. APEC experts are entitled to:
    - (a) **Restricted Economy Class Airfare:** Experts may be eligible for restricted business class airfare for travel on APEC business if the airport to airport travel time exceeds 12 hours.
    - (b) **Per Diem:** This is the daily subsistence allowance paid to APEC-funded travelers to cover accommodation, meals and all other incidental expenses. The rate varies according to the city in which the function is held. The rates may be obtained from the APEC Secretariat. The per diem rates used are extracted from the latest release of UN's "Schedule of Daily Subsistence Allowance Rates", which can be also referred to at the following website –

<http://www.who.int/bfi/Perdiem/pdindex.asp>). Per diem is paid from the day immediately preceding the function, up to and including the last day of the function. An additional payment of 75% of the UN per diem rate for the location is paid. The package of per diem payments is designed to include costs associated with the travel such as transportation to/from airports, travel insurance, separate airport charges, visa fees, transaction and reimbursement costs [such as bank charges, Goods and Services Tax (GST)], etc.

Please note that all recipients of Per Diem will be required to sign a Per Diem form at the end of each day as proof of attendance.

- (c) **Honorarium**: One-time payment made to experts, speakers, moderators, discussants or trainers for professional services rendered in APEC training workshops or symposiums. The normal range per person is up to US\$1,000, with a maximum of US\$1,500. **This payment is not permitted for government and international organization officials.**
  - (d) APEC will fund no more than six experts a day (an exception may be allowable if sessions are being held concurrently).
- (2) **Active Participants** are persons with specific, substantive pre-planned tasks (such as providing a brief description of practice in their own economy or of examples for consideration as best practice) which add value to the APEC event. Active participants (maximum of two from each travel-eligible economy) are entitled to restricted economy class airfare, irrespective of duration of travel and the payment of per diem as in 7.3 (1)(b) above.
- (3) **Trainees** from travel-eligible economies are entitled to restricted economy class airfare only. They will have no eligibility for per diems. The number of trainees to be funded should be identified in the project proposal and should be kept down as far as possible. Trainees are expected to help disseminate the knowledge gained on return to their home economies.
- 7.4 **Travel Undertakings**: All funded participants and experts are required to complete a travel undertaking (a simple form of contract: specimen at **Annex H**) at least **8 working days** before travel commences.

**Travelers will not be reimbursed if the travel undertaking is not completed prior to travel.**

- (a) It is the responsibility of the Project Overseer to ensure that this is done, in close consultation with the APEC Secretariat. The Project Overseer

should inform the APEC Secretariat of the names and contact details of the APEC-funded travelers, the tasks they are to perform and the duration of those tasks at least four weeks before the APEC activity.

- (b) To complete the **undertaking**, the APEC – funded traveler (or meeting organizer) will need to submit at least two quotations (from at least one travel agent) of the most direct and economical return trips (including airport and other taxes, if any) to attend the function/perform the task, to the Secretariat for approval.
- (c) Experts are required to travel economy class (discounted/restricted, normally) for airport to airport travel of up to 12 hours including unavoidable transit time. Experts may be eligible for business class airfare (discounted/ restricted, normally), if provided for in the budget, for travel on APEC business exceeding this duration.
- (d) Participants must travel on economy class, irrespective of flight duration.
- (e) The traveler should forward their itinerary and quotations to the APEC Secretariat for approval **before** finalising their travel arrangements. Once approval has been given the traveler should immediately purchase the ticket at the approved rate.

*To take account of rapid changes to discount ticket prices, a 5% leeway will be allowable in the event the approved ticket price is no longer available when the participant purchases the ticket.*

- (f) If an APEC–funded traveler is combining his or her APEC-funded trip with a non-APEC–funded trip, the APEC- funded traveler should submit a proposal for consideration for sharing the travel costs between APEC and the traveler.

### **Exceptions**

7.5 A request for waiver to allow for the funding of some government officials from travel eligible economies may be made during the project proposal stage. Requests for a waiver for government officials travel expenses are limited to a maximum of two persons for each travel-eligible member economy.

- \* the travel-eligible member economies for the purpose of this chapter only are: Chile, China, Indonesia, Malaysia, Mexico, Papua New Guinea, Philippines, Peru, the Russian Federation, Thailand, and Viet Nam.

7.6 Under exceptional circumstances where no waiver has been sought, special permission for funding participants may be requested by travel eligible Member Economies who are unable to fund their participants. The Secretariat



will need to receive the request, including a written justification from the Government concerned, at least 8 working days before the travel commences.

It is expected that non travel-eligible member economies will fund their own government officials' participation as experts in APEC-funded events. However, when budgetary constraints within economies and other relevant factors make this impossible, APEC can consider providing financial support. This support is **not** available to any participant from these economies, whether from the government or non-government sector.

7.7 If a Project Overseer wants to provide business class travel for flights under 12 hours, an application for a waiver, including justifications, should be included in paragraph 17 of the project proposal format at **Annex B** for BMC to consider.

7.8 Other waiver requests will be considered on a case by case basis.

7.9 **Publication and Distribution Costs**

(a) Such costs (limited to US\$5,000), including any cost to upload a publication onto the internet or any means of dissemination, should be estimated and built into the budget.

(b) Publications may be coordinated by the APEC Secretariat or may be done by the contractor. The Project Overseer is encouraged to compare the costs of different publishing methods with a view to minimising costs, while ensuring that distribution is appropriate.

(c) The APEC Secretariat must be consulted on the latest APEC publication policy and format requirements. Mock-ups of publication designs should be supplied to the APEC Secretariat prior to printing. Publications must be in line with APEC publication policies or payment will be withheld.

(d) Consideration should be given to the sale of publications, e.g. in deciding the design and printing quantity of the publications. Consideration should also be given to electronic publishing as a supplement or substitute for hard copies. CD-ROMs or other electronic means of publishing are encouraged.

7.10 **Photocopying and Communication Expenses**

These expenses, including photocopying costs, fax, telephone, mail and courier costs related to event, should be estimated and built into the budgets. A maximum of US\$1,000 may be budgeted for photocopying and US\$500 for communications. Project Overseers and others are expected to use the internet and the PDB as much as possible for communications.

## 7.11 **Other Expenses**

- (a) **Hosting Costs** (inclusive of conference and Secretariat room rental, conference support and organising, stationery) are allowable but are restricted to no more than US\$2,500 per day for a conference. Meals, flowers, souvenirs, banners, tours, brief cases and other promotional materials are not allowable expenses. Every effort should be taken to minimize hosting costs through the use of conference rooms at universities, ministries or suburban venues; competitive bidding may assist.
- (b) **Equipment:**
- (i) ***Seminars, symposia, workshop and short-term technical training courses:*** Purchase or rental (whichever is cheaper) of equipment (inclusive of freight, installation and servicing for the duration of event). It should not normally be necessary to request funding for standard office equipment such as computers. Venues where conference equipment is available within the standard charge should be preferred.
- (ii) ***Survey, Analysis and Research Projects:***
- Purchase of books and documents for the research (inclusive of postage or courier).
  - Purchase or rental (whichever is cheaper) of material/equipment for survey, analysis and research (inclusive of freight, installation and servicing for the duration of projects). It should not normally be necessary to request funding for standard office equipment such as computers.
- (iii) ***Provision of Equipment for APEC Projects:*** Purchase or rental (whichever is cheaper) of equipment for projects other than categories (i) and (ii).
- (c) **Teaching and Training Materials** for seminars and workshops .
- (d) **Translation** of material for seminars, surveys, research. **Simultaneous Interpretation** is not normally allowable. Strong justifications have to be provided for an exception, which is to be considered on a case by case basis. It is expected that experts/participants in APEC-funded events will be competent in English. Only if the participants for whom the event is designed (such as grass roots representatives) have limited English will simultaneous interpretation be considered for APEC funding;

- (e) ***Short-term Clerical and Secretarial Staff*** for organising and managing seminars, workshops and technical-training courses.
- (f) All the major allowable expenses have been listed out above. In all other cases, the overseer should consult the APEC Secretariat **before** making any financial commitment.
- (g) The following are **non-allowable expenses** for APEC projects:
  - (i) meals, including coffee/tea breaks;
  - (ii) expenses for government officials - to be borne by the member economies concerned, unless there are waivers;
  - (iii) translation costs of publications, which according to the APEC Publication Policy should be borne by member economies; and
  - (iv) Local transport costs including rental of buses or cars to take participants to and from the airport or to go sightseeing.

7.12 Please see a complete table of allowable expenses and limits at **Annex D** and **Annex E**.

## Chapter 8 : Disbursement Procedures

8.1 There are some general points about the disbursement procedures:

- (a) no payment will be made unless a certification of the satisfactory completion of the relevant task by the relevant Project Overseer or person pre-designated by him or her has been received;
- (b) no payment will be made where money set aside for one budget item is used for another item, unless prior approval to this reprogramming has been obtained;
- (c) for seminars/workshops, the Project Overseer should provide a final list of APEC-funded travelers, their exact arrival and departure dates and explanations for variations from any pre-agreed itineraries, and certification of satisfactory completion of tasks and the Per Diem form;
- (d) if the total budget for a project or an individual budget item in a project does not exceed US\$2,000, the Project Overseer does not need to send the supporting invoices to the APEC Secretariat. The Project Overseer should claim reimbursement by certifying the amount spent for that project/budget item. Invoices should be kept by the claimant for three years for inspection at any time; this is in case of audit query;
- (e) if the total cost of the budget or an individual budget item in a project exceeds US\$2,000, the originals of the invoices, receipts and supporting documents should be certified by the Project Overseer as correct and incurred for the project concerned, and should be sent to the APEC Secretariat after the project or project component has been completed for claiming reimbursement;
- (f) all claims should be accompanied by a covering letter setting out the calculations, together with annotations and supporting documents. The organizer should keep all receipts/invoices incurred throughout the project, and claim the total amount for reimbursement after the project has been completed;
- (g) payment details (banking instructions, bank name and branch address (including bank codes, where applicable), name of account holder and account number) should be clearly stated by the claimant; and
- (h) all disbursements for a project must be completed within two financial years after approval (e.g. all 2006 projects must have disbursement completed by 31 December 2007). To achieve this all claims and supporting documents must be with the Secretariat by 7 December of the

final year. If the Project Overseer considers that an extension of the project disbursement deadline is required, he or she should write at least six weeks before the expiry of the disbursement deadline to the Lead Shepherd/Chair of the relevant APEC forum. The letter should set out the reasons for the request and seek the endorsement of the Lead Shepherd/Chair to the request. The endorsed recommendation should be sent to the APEC Secretariat for sending to the BMC for its approval.

8.2 Subject to paragraph 8.1 above, the following need to be complied with:

(a) **Direct Labour**

The Project Overseer has to certify that the specific tasks in a contract or undertaking have been satisfactorily completed.

(b) **Travelling Expenses**

Originals of air ticket invoices from the travel agent, the air tickets [**or a copy in case of an electronic ticket (e-ticket)**], airport tax receipt (where applicable) all certified correct by the traveler, should be sent to the APEC Secretariat. This requirement applies irrespective of whether the total travelling expenses exceed US\$2,000 or not.

Travel expenses can only be paid if:

- (i) A signed travel undertaking was submitted to the Secretariat prior to travel and cost estimates were approved;
- (ii) the Project Overseer has certified that the APEC-funded traveler has travelled and performed the tasks as expert or participant. (The Project Overseer does not need to certify the receipts for traveling expenses); and
- (iii) The Per Diem form is received and signed by the Project overseer or his or her delegate.

(c) **Publication (including Distribution) Costs**

Originals of invoices (stating the publication title, number of copies and unit price) should be certified correct by the Project Overseer before being sent to the APEC Secretariat. At least five hard copies, where applicable, and two electronic copies (if applicable) of any proceedings, publications or materials (e.g. CD-ROM, videos) produced in accordance with APEC's publication guidelines should be deposited at the APEC Secretariat via the Director (Program) concerned. Reimbursement will not be completed until the publications have been received.

(d) **Hosting, Photocopying and Communication Costs**

Originals of invoices, where required when the total cost for each budget item exceeds US\$2,000, should be certified correct by the Project Overseer before being sent to the APEC Secretariat. In the case of requests for reimbursement for photocopying and communications these should be accompanied by a breakdown of costs; original invoices will not normally be required, unless expenditure exceeds the normal maxima.

- 8.3 Disbursements are made in US dollars or Singapore dollars at the prevailing exchange rates. The APEC Secretariat is not responsible for losses caused by fluctuations in exchange rates, but nor will it require reimbursement of currency gains.

The APEC Secretariat will not make reimbursements in a single cheque/TT below US\$50.

**Bank charges:** The APEC Secretariat will absorb bank charges at the Singapore end for the disbursement; bank charges at the distant end are the responsibility of the distant party. The only exception to the latter is where the disbursement is an entire reimbursement of expenses actually incurred. (For example, where the reimbursement is for the airfare of an APEC-funded traveler who is not in receipt of a per diem).

- 8.4 The APEC Secretariat requests the cooperation of all claimants to submit all necessary documents together with clear annotations and instructions regarding payment (name of bank and branch address, identifying codes (if any, and where known), name of account holder and number of account). Failure to do so will seriously affect the speed with which claims can be processed. **Failure to sign contracts, travelers' undertakings and advance payment agreements at least 8 working days before work or trips commence will also result in non-payment, and the matter will be reported to the BMC.**

*(Reminder: all disbursements must be completed before the prescribed deadline for the project. Late claims will not be accepted)*

- 8.5 **Certification of Completion:** The Project Overseer or other person(s) pre-designated by the Project Overseer/steering committee should certify by an e-mail, fax or letter to the Secretariat that the project or segment of a project has been satisfactorily completed.

## **Chapter 9 : Instalment and Advance Payment**

9.1 **Instalment Payments:** The APEC Secretariat recognizes that contractors may sometimes need payments by instalments for cash flow management purposes. The need for instalment payments should be predicted and included in paragraph 16 of the APEC project format (**Annex B**). During the implementation stage, instalments can be negotiated when contracts with the APEC Secretariat are drawn up. Instalments are usually tied to satisfactory completion of milestones as certified by the project steering committee/Overseer.

9.2 **Advance Payments:** The APEC Secretariat operates on a reimbursement basis. Together with instalment payments (paragraph 9.1), advance payments should not be necessary except in rare cases (e.g. the need to acquire equipment before any work can start). The need for advances should be identified at the early stages of conceiving a project, and built into the itemized budget and included in paragraph 16 of the APEC project format (**Annex B**), listing out -

- (a) cost breakdown and implementation schedule of the project;
- (b) other funding sources, and the items to be funded by them;
- (c) amount of advances being sought and the items to be covered; and
- (d) reasons for seeking advances.

If unforeseen circumstances arise, requests for advance payment together with the necessary justification can be made subsequently for approval by the BMC at a subsequent meeting or intersessionally.

9.3 For further information, please see the “*APEC Guidelines on the Policy on Advance Payments*” at **Annex F**.

### **Advances to Individual Travelers**

9.4 The BMC has authorized the Secretariat to permit on request the payment of advances for travel (air fare and per diem) to individual travelers from travel-eligible economies. Such payments will only be made after receipt of the signed advance travel undertaking form. Other justified requests will be considered on a case by case basis.

## **Chapter 10: Reprogramming and Extension of Disbursement Deadline**

- 10.1 The APEC fora should adhere to the budgetary cycle described in Chapter 3 as far as possible.
- 10.2 Where it is necessary to reprogram a project (i.e. changing the nature, scope or methodology, timeframe or budget of the project), such requests should be referred to the APEC Secretariat for approval following endorsement by the Lead Shepherd/Chair of the relevant forum, or, in the case of CTI projects, by the Convenor of the relevant sub-fora (CTI Chair's additional endorsement is not necessary). If the changes will result in a substantial change to the original proposal, the Secretariat will pass the endorsed request to the BMC for approval. Any request for an increase in the total budget, however small, will be passed to the BMC for decision.
- 10.3 Requests for extension beyond two months of the BMC-approved disbursement deadline of a project require BMC approval. The Project Overseer should seek the endorsement of the relevant Chair/Lead Shepherd, or in the case of CTI projects, by the Convenor of the relevant sub-fora (CTI Chair's additional endorsement is not necessary) before submitting the request for extension to the BMC through the APEC Secretariat. Such requests should be made at least six weeks before the deadline. The BMC has advised that such extensions may only be granted with compelling reasons, for a short duration and normally only once.
- 10.4 The Secretariat Director (Finance) is authorized to approve extension of up to two months for projects where the work has been completed before the BMC-approved deadlines and where all that is required is to complete the disbursement of funds. This approval applies to all funds – TILF Special Account, ASF and OA.



## Chapter 11 : Reporting, Monitoring and Evaluation of APEC Projects

- 11.1 The *Guidelines for Evaluation and Reporting System for APEC Projects* are set out in **Annex G**. The *Guidelines* detail the requirements for progress and evaluation reports for APEC projects.
- 11.2 The Project Overseers should report the progress in implementing the project (format in **Annex G2**) as required. The BMC asks all APEC fora to provide **Progress Reports** for all the APEC projects to the APEC Secretariat before the 2<sup>nd</sup> BMC meeting each year, so that summary tables for such reports can be prepared for the meeting.
- 11.3 Approximately 10-20% of projects need be monitored during their implementation. Information and instructions on how and when to complete the Monitoring Framework is at **Annex B4**.
- 11.4 Upon completion of the projects, Project Overseers should complete the **Evaluation Report** (format in **Annex G3**) within **2 weeks** of the completion of the project. .
- 11.5 Since July 1999, the BMC has formed itself into 7 Small Groups to better monitor the Evaluation Reports of APEC fora. The BMC Small Groups will assess the Evaluation Reports and submit their outcome of assessments along with these Evaluation Reports to the BMC for their consideration.

BMC Small Groups and the fora which they are in charge of:

|                |                               |                                                          |
|----------------|-------------------------------|----------------------------------------------------------|
| <b>Group 1</b> | Australia; Japan; Philippines | TEL WG, SME, CTI (IEG)                                   |
| <b>Group 2</b> | Brunei; Korea; Russia         | HRD WG, IST WG                                           |
| <b>Group 3</b> | Canada; Malaysia; Singapore   | MRC WG, FWG, Others*                                     |
| <b>Group 4</b> | Chile; Mexico; Chinese Taipei | TPT WG, TWG, EC                                          |
| <b>Group 5</b> | China; New Zealand; Thailand  | EWG, TP WG, CTI (SCSC)                                   |
| <b>Group 6</b> | Hong Kong, China; PNG; USA    | CTI (SCCP)                                               |
| <b>Group 7</b> | Indonesia; Peru; Viet Nam     | CTI (CTI projects other than that of IEG, SCSC and SCCP) |

\* It includes other fora than the ones listed in the table such as SOM, SCE, ATC, FIN, etc.

- 11.6 SOM has endorsed BMC's recommendation that for a which fail to complete and Evaluation report may consequently be barred from putting forward new project proposals.

*This 6<sup>th</sup> edition,  
approved by AMM in November 2005,  
subsequent revisions approved by BMC  
at its meetings in Mar 2006, Oct 2006,  
Mar 2007 and October 2008*

## **APEC Support Fund**

### **Introduction**

1. In November 2004, Ministers endorsed the proposed APEC Support Fund (ASF) and welcomed the offer of Australia to contribute AUD\$3 million to the fund over the coming three years. The wording used was: "*Ministers noted that APEC's growing work program is generating greater demand on its capacity-building resources. Accordingly, they instructed officials to consider ways to broaden APEC's funding base, and endorsed the establishment of an APEC Support Fund ('the ASF'), which could attract funds from government as well as non-government sources.*"
2. Ministers instructed Senior Officials to work on the operational aspects of the ASF and to report on progress. At SOM 1 in Seoul, following discussion of the Secretariat's concept paper on the ASF ([2005/SOMI/032](#)), Senior Officials agreed that a revised version of the paper should be prepared for approval by economies. A revised paper outlining the ASF guidelines ([2005/BMCI/010](#) and [2005/SOMII/033 Att4](#)) was subsequently endorsed at the April BMC meeting in Singapore and approved by Senior Officials during SOMII in Jeju, Korea in May 2005.

### **Conceptual Basis for the APEC Support Fund**

3. The objective of the ASF is to serve as a flexible funding mechanism to complement the existing Operational and TILF Special Accounts for meeting capacity building needs for APEC developing economies in APEC's agreed high priority sectors for economic and technical cooperation. Contributions (co-financing or in-kind) from proposing and/or participating economies (excluding donors to the ASF) are required. The Fund would also welcome contributions from private sources.
4. The ASF will permit two types of contributions – *general* and *tied*. *General* contributions are contributions that have not been earmarked for a specific purpose and will be allocated to APEC identified priorities through the BMC and SOM processes. *Tied* contributions are donor contributions to a specific APEC priority area (for example anti-corruption or counter-terrorism).

### **Approval of General Contributions**

5. Approval is not required for general contributions from an APEC economy. Publicity, if requested, would be provided through the APEC Secretariat. If the donor is a non-governmental organization, including a company, or an individual, then approval to receive the contribution will be required from the Budget and Management Committee (BMC), following broad principles set out in the APEC Sponsorship Guidelines. The approval would note the publicity and other benefits which the contributor may gain and any conditions attached to the contributions.

### **Approval of Tied Contributions: APEC Support Fund Sub-Funds**

6. Donors can earmark contributions for specific high priority sectors (e.g., telecommunications) or sub-sectors (e.g., telecommunications infrastructure). These are termed "tied funds" and the funds will be managed under a relevant sub-fund of the APEC Support Fund. The establishment of a new sub-fund will require the approval of BMC – where possible tied funds should be channeled to an existing sub-fund. The approval process for tied funding would otherwise be the same as in paragraph 5 above for general donations to the APEC Support Fund.
7. The following are general principles for the APEC Support Fund Sub-Funds:
  - (a) An economy or organization wishing to establish a sub-fund must apply to the Secretariat for approval by BMC. This may be approved intersessionally.

- (b) If a sub-fund proposal covers a generic area within APEC (e.g., counter-terrorism, energy, or intellectual property) the relevant APEC forum/ fora must first consider the application before it is approved by the BMC.
  - (c) Sub -fund proposals must state how they align with the objectives of APEC.
  - (d) The principles of the APEC Sponsorship Guidelines will apply to non-member funding/co-funding of a sub-fund.
8. Allocation of funds to specific projects under the ASF must take place through the application of APEC project selection procedures in line with APEC's new quality assessment framework endorsed by Ministers in November 2004. Donors cannot however earmark contributions against a specific project or activity. Offers to fund specific projects should be pursued as a sponsorship arrangement and considered under sponsorship approval procedures.

#### **Procedures for Projects under the APEC Support Fund**

9. Projects for funding under the ASF (including its sub-funds) will, in principle, be open for participation by all APEC members, but funding will be available only for capacity building projects that primarily benefit developing economy members. If it furthers the interests of APEC, one or more non-APEC developing economies may be additional beneficiaries of an ASF proposal. This will be determined on a case-by-case basis in accordance with normal procedures on non-member participation in APEC activities.
10. The procedures governing the ASF will be similar to those governing other APEC projects as set out in the Guidebook on APEC Projects. In regard to the ASF there will be:

#### **(a) *An Approval Process through the BMC to Ensure Compliance with APEC Objectives:***

- (i) It is open for the ASF (including its sub-funds) to call for and receive project proposals within its ambit from interested economies or fora or to commission projects.
- (ii) Project proposals will be assessed by the Secretariat, following consideration by the relevant APEC fora, against several criteria:
  - the degree to which the proposal meets the objectives and priorities of APEC;
  - the degree to which the proposal meets the requirements of the Quality Assurance Framework; and
  - value for money.
- (iii) The Secretariat will make recommendations to the BMC on whether the proposal meets minimum fund guidelines. Where appropriate, the Secretariat will consult with project proponents to ensure the quality of proposals.
- (iv) The Secretariat's assessment will be forwarded to the BMC for consideration and prioritization and approval. In special cases where project priority and urgency are judged to be significant the Secretariat could seek BMC approval intersessionally.

#### **(b) *Application of a Comprehensive Project Management and Evaluation Framework:***

Projects under the ASF will be assessed, monitored and implemented under a comprehensive project management and evaluation framework. This is consistent with the goal of the ESC and BMC (endorsed by Ministers) to improve evaluation of ECOTECH projects through the work of the ESC-Small Group on Evaluation.

### **Other Considerations**

11. The ASF's management arrangements will evolve according to the size and requirements of the fund. Additional expenses for the Secretariat operating the ASF and sub-funds will initially be an upgrade of one existing accounting staff position. In addition, Australia has provided a new PSM as part of its contribution to the ASF. If the number, value and complexity of projects under ASF (and its sub-funds) increase there may be a need for additional Program Assistant(s) or other assistance on an ad-hoc basis. The costs of such assistance may be absorbed by the Administrative Account (AA), as was done when the TILF Fund was established.
12. A portion of the ASF's funds will be available to the Secretariat to administer ASF projects. The portion will initially be set at 5% of monies available in the fund (subject to review by the BMC after 12 months). Activities paid for by this portion will include assistance to the Secretariat for assessing and monitoring ASF proposals for the BMC.
13. The ASF will produce an annual report for the BMC which will be forwarded, together with any BMC observations, to SOM.
14. The Fund (including sub-funds) will be audited by the Secretariat's auditors.

**APEC PROJECT PROPOSAL**

**Facesheet**

|                                                                                                                                                                                                                                                                            |                                                                                            |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|
| <b>Name of Committee/Working Group:</b>                                                                                                                                                                                                                                    |                                                                                            |
| <b>Title of Project:</b>                                                                                                                                                                                                                                                   |                                                                                            |
| <b>Proposing APEC Economy: 1)</b>                                                                                                                                                                                                                                          |                                                                                            |
| <b>Co-sponsoring APEC Economies: 2) ; 3)</b>                                                                                                                                                                                                                               |                                                                                            |
| Project number:<br><i>(To be filled in by Secretariat)</i>                                                                                                                                                                                                                 | Date received by Secretariat:<br><i>(To be filled in by Secretariat)</i>                   |
| <i>(Tick ✓ one)</i> <input type="checkbox"/> <b>Project seeking APEC funding</b> <input type="checkbox"/> <b>Progress Report</b> <input type="checkbox"/> <b>Evaluation Report</b>                                                                                         |                                                                                            |
| <i>(Tick ✓ one if applicable)</i> <input type="checkbox"/> <b>Operational Account</b> <input type="checkbox"/> <b>TILF Special Account</b> <input type="checkbox"/> <b>APEC Support Fund</b>                                                                               |                                                                                            |
| <i>(Tick ✓ if applicable)</i> <input type="checkbox"/> QAF attached      QAF not applicable <input type="checkbox"/> QAF attached                                                                                                                                          |                                                                                            |
| <b>Financial Information</b>                                                                                                                                                                                                                                               | <b>Total cost of proposal (US\$):</b> <b>Amount being sought from APEC funding (US\$):</b> |
| Type of Project: <input type="checkbox"/> seminar/symposium <input type="checkbox"/> short-term training course <input type="checkbox"/> survey or analysis and research <input type="checkbox"/> database/website <input type="checkbox"/> others <i>(Please specify)</i> |                                                                                            |
| Project start date:                                                                                                                                                                                                                                                        | Project end date:                                                                          |
| <b>Brief Description of Project -- its purpose and the principal activities (including when and where):</b>                                                                                                                                                                |                                                                                            |
| Project Overseer: Name, Title and Organization      (M/F)                                                                                                                                                                                                                  |                                                                                            |
| Postal address:                                                                                                                                                                                                                                                            | Tel:<br>Fax:<br>E-mail:                                                                    |
| Signature of Project Overseer:<br><i>(Separate written confirmation acceptable for email submission)</i> Date:                                                                                                                                                             |                                                                                            |
| Signature of Committee Chair/WG Lead Shepherd: <i>(Not applicable to Progress Report and Evaluation Report)</i>                                                                                                                                                            |                                                                                            |
| <i>(Separate written confirmation acceptable for email submission)</i> Date:                                                                                                                                                                                               |                                                                                            |

### **Details of the Project Proposal**

*Please provide your answers in point form or as succinctly as possible below each paragraph heading.*

#### **A. Project Design**

##### **Project Objectives**

- 1) Describe briefly how this project directly responds to the priorities set by APEC Leaders and Ministers and/or the vision of the host economy. Please make reference to the relevant parts of APEC documents.
- 2) Describe the **key objectives** of the project – *usually no more than three*
- 3) **Assessment.** With reference to each objective in paragraph 2), provide the **current status** and expected **end-of-project target**, so that the success of the project can be measured over the short and medium term. *The targets should be quantitative but if this is not possible then a precise description of the change aimed at should be given. Where appropriate, sex-disaggregated data should be used for assessment in order to detect any differential impact of the project on men and women.*
- 4) Explain who the intended beneficiaries of this project are.
- 5) Describe precisely the expected **project outputs**. Describe how these outputs will benefit the targeted beneficiaries.
- 6) For applications under the TILF Special Account: Describe briefly how this project will contribute to the APEC Trade and Investment Liberalization and Facilitation (e.g. relevance to specific parts of the Osaka Action Agenda).

##### **Linkages**

- 7) Which other APEC fora have been consulted about this project and what were the results?
- 8) **Active Participation** Describe how the intended beneficiaries among APEC stakeholders – APEC fora, governments, private sector and civil society, men/women- will participate in the planning, implementation and evaluation of the project.

- 9) **Project influence** Describe how this project might contribute to any current or completed projects or activities in APEC or elsewhere. Why is APEC the most appropriate institution to fund the project?

### **Methodology**

- 10) Describe the project's **methodology**. Break down the project implementation into discrete functional steps over time with the associated outputs clearly specified. Identify the principal risks involved in each step if any, and explain how they will be managed. *Risks may include major delays and failures, expected cooperation not materializing, etc.*
- 11) Which APEC member economies will participate in each component of this project and what contribution are they expected to make?

### **Dissemination of Project Output**

- 12) Please include a plan for the publication and dissemination of the results of the project, including:
- a. the nature of the target audience;
  - b. the form and content;
  - c. format (e.g. hard copies, floppy discs, internet uploading);
  - d. number of copies for the publication;
  - e. a publicity plan for:
    - i) briefing the general or specialist media about key components of the project;
    - ii) the promotion of sales or other dissemination of the final product; and
  - f. a budget for publication and dissemination, to form part of the itemized budget.

### **Gender Concerns**

- 13) Many projects have the potential to affect men and women differently because of their different roles and positions in many societies. What steps does this project take to ensure that it benefits both groups and in particular does not disadvantage women? *(Common responses include: using gender analysis to design project methodologies and inputs (e.g. surveys); including women in the planning, management, allocation of resources and implementation of a project; taking steps to ensure equitable participation by men and women; making special efforts to disseminate project results to women; and using sex-disaggregated data for project assessment.)*
- 14) Show how the objectives of the project provide benefits for women. APEC Ministers have indicated (*Framework for the Integration of Women in APEC*) that benefits might include: increasing the involvement of women in the economy and economic institutions; integrating women into the global economy; strengthening small and medium sized enterprises; and reducing gender inequalities, including through education and training.



### **Budget**

- 15) Please attach an itemized budget for the project in the format at **Annex A**. Where appropriate, provide details of the project's budget that are allocated to activities that address the specific needs of women. The budget should illustrate the assumptions adopted (e.g. unit costs) for the computations. *Remember to include all self-funding and to consult the list of eligible expenses in the Guidebook to APEC Projects. Advice on budget formulation, including acceptable unit costs, can be sought from the APEC Secretariat.*
- 16) A timetable for the drawdown of APEC funding requested for the project, including details of any advance payment or instalment payment requested and justifications for such requests.
- 17) Details of any request for waiver or exception from the normal APEC financial rules with justifications. *(Examples are from tendering requirements; for advance payment; for government officials to receive funding; for active participants from travel-eligible economies to receive per diems)*
- 18) **NOT required for projects for consideration at BMC II (July/August meeting) or for ASF projects but required for all others.** Give reasons for the urgency of the project. *(These projects should relate to previous APEC Ministers' or Leaders' Declarations or current host economy's priorities. Reasons may include the project output as contributing to one of the major deliverables for the year)*

**Annex A**

APEC Project  
**Itemized Budget for Financial Year \_\_\_\_\_\***

(Please tick ✓.)

This project is:

- a seminar, symposium or short-term training course
- a survey or analysis and research project
- neither the above but involves the provision of equipment

| Items                                                     | No. of Units               | Unit Rate | APEC Funding (USD) | Self Financing (USD) |
|-----------------------------------------------------------|----------------------------|-----------|--------------------|----------------------|
| Direct Labour                                             |                            |           |                    |                      |
| Speaker's Honorarium<br>(government officials ineligible) | (no. of speakers)          |           |                    |                      |
| - Translator's Fees                                       | (no. of pages)             |           |                    |                      |
| - Short-term clerical and secretarial staff remuneration  | (no. of hours)             |           |                    |                      |
| - Consultant (including Researcher) Fees                  | (no. of hours)             |           |                    |                      |
| - Consultant's Secretary Cost                             | (no. of hours)             |           |                    |                      |
| Travel<br>(Speakers/Experts/Researchers)                  |                            |           |                    |                      |
| - Per Diem (incl. accommodation and "additional payment") | (no. of persons and days)  |           |                    |                      |
| - Airfare                                                 | (no. of persons and trips) |           |                    |                      |

\* If project will continue for more than one year, please indicate the amount of funds required for each of the two financial years in question.

| Items                                                                                                          | No. of Units                                                | Unit Rate | APEC Funding (USD) | Self Financing (USD) |
|----------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|-----------|--------------------|----------------------|
| <i>Travel (Active participants/ participants/trainees)</i><br><br><i>(only from travel-eligible economies)</i> |                                                             |           |                    |                      |
| - Per Diem (incl. accommodation and "additional payment")<br><i>(active participants)</i>                      | (no. of persons and days)                                   |           |                    |                      |
| - Airfare ( <i>restricted economy class</i> )                                                                  | (no. of persons and trips)                                  |           |                    |                      |
| Other items                                                                                                    |                                                             |           |                    |                      |
| Publication of report (including distribution)                                                                 | (no. of copies)                                             |           |                    |                      |
| Equipment / Materials<br><i>(describe briefly what is required and why)</i>                                    | (no. and type of equipment)<br><br>(no. of days for rental) |           |                    |                      |
| <i>Photocopying</i>                                                                                            | (no. of copies)                                             |           |                    |                      |
| <i>Communications</i><br>(Phone/ Fax/ Mail/Courier)                                                            |                                                             |           |                    |                      |
| <i>Hosting</i> (pl. briefly describe, e.g., conference room rental, stationery)                                | (units as appropriate)<br><br>(no. of days for rental)      |           |                    |                      |
| <b>Total</b>                                                                                                   |                                                             |           |                    |                      |

## Format for Databases & Websites Requesting APEC Funding

### I. Introduction

The attached format should be used for database or website projects requesting APEC funding.

Note: If the website is to be designated an official APEC website, then the procedures outlined in the Guidebook on APEC Publications, Websites and Meeting Documents must be followed. The Guidebook outlines the approval processes, design constraints, rules on use of the APEC logo and uploading of official APEC publications. **Website designs must be cleared by the APEC Secretariat before sites go live on the Web.**

The format consists of:

1. Coversheet
2. Forms and Illustrations

---

### Coversheet

This is an application for APEC funding of Database or Website:

|                                                                     |                               |
|---------------------------------------------------------------------|-------------------------------|
| Type of Account: Operational/TILF Special Account/APEC Support Fund | Date Submitted:               |
| Name of Committee/Working Group:                                    |                               |
| Project No. (to be filled by Secretariat) :                         | Date Received by Secretariat: |
| Title of Project:                                                   |                               |
| Purpose of Project:                                                 |                               |
| Expected State Date:                                                | Expected End Date:            |
| Proposed by:                                                        |                               |
| Project Overseer (Name, Organisation, Title):                       |                               |
| Contact Address:                                                    | Tel:<br>Fax:<br>Email:        |
| Total Estimated Cost (US\$), including the self-financed amount:    |                               |
| Amount being sought from APEC Fund (US\$) :                         |                               |
| Signature of Project Overseer:                                      | Date:                         |
| Signature of Committee Chair/WG Lead Shepherd                       | Date:                         |

**Forms and Illustrations**

Forms provided are to serve as Summary Sheet, are to be filled in whenever is appropriate, these are denoted as Annex (x). Detailed information is to be submitted as attachment. Illustrations are to provide the developer(s) samples that should be followed; these are denoted as Figure (xx).

|                                                                          |                              |
|--------------------------------------------------------------------------|------------------------------|
| <b>Annex A – Feasibility Report</b>                                      |                              |
| Objectives/justification of the database/website:                        |                              |
| Are there Alternative(s), if yes, please elaborate:                      |                              |
| Itemised the Attained Goals:                                             |                              |
| Area(s) that Database cannot fulfill:                                    |                              |
| Primary Source of Data:                                                  | Secondary Source(s) of Data: |
| Explain how Data is to be integrated from Primary and Secondary Sources: |                              |
| Possibilities of Duplication, if yes, please elaborate:                  |                              |

| <b>Annex B – Timeline Chart</b>                       |                   |                 |                    |
|-------------------------------------------------------|-------------------|-----------------|--------------------|
| <b>Item</b>                                           | <b>Start Date</b> | <b>End Date</b> | <b>No. of Days</b> |
| Preparation of Report(s) to be submitted for approval |                   |                 |                    |
| Submission of Report                                  |                   |                 |                    |
| Approval Received                                     |                   |                 |                    |
| Design Stage                                          |                   |                 |                    |
| Coding Stage                                          |                   |                 |                    |
| Testing/Evaluation Stage                              |                   |                 |                    |
| Acceptance Stage                                      |                   |                 |                    |
| Training Stage                                        |                   |                 |                    |
| Implementation Stage                                  |                   |                 |                    |
| Indicate stages not listed above:                     |                   |                 |                    |

Note: Submit this at the end of the project.

|                                                                                                                                                                               |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Annex C – Market Study</b>                                                                                                                                                 |
| Background of Targeted Audience:                                                                                                                                              |
| Duration of Database/website (e.g. number of months):                                                                                                                         |
| Itemize the deliverables and indicate how it benefits the audience:                                                                                                           |
| Type of Output Required:<br>Electronic Copy <input type="checkbox"/><br>Printed Copy <input type="checkbox"/><br>Website <input type="checkbox"/>                             |
| Access Mode:<br>Server Version <input type="checkbox"/><br>Stand alone Version <input type="checkbox"/><br>Modem <input type="checkbox"/><br>Website <input type="checkbox"/> |
| Payment Mode, if yes, please elaborate:                                                                                                                                       |

| <b>Annex D – Data Model (Example)</b> |            |            |                                                |
|---------------------------------------|------------|------------|------------------------------------------------|
| Display Name                          | Label      | Type       | Expression                                     |
| Publication No                        | PubNo      | Text       | -                                              |
| No of Copy                            | Copy       | Number     | -                                              |
| Reference                             | Ref        | Hyperlink  | <a href="http://www.apec.org">www.apec.org</a> |
| Unit Price                            | UnitPrice  | Number     | -                                              |
| Total Price                           | TotalPrice | Expression | UnitPrice * Copy                               |

Data Model is used to assist system designer to provide details for the fields in the database, identify the purpose of each field and to provide the specific formula used in any calculation. This will provide great assistance to the developer of the database.

Display Name: This is the name that will be shown on the screen and reports.

Label: This is an abbreviation of the display name.

Type: This defines the properties of the field, it should be in the form of:

- Text
- Memo – used for long description
- Number
- Date
- Yes/No
- Hyperlink – used to reference an internet link
- Expression

Expression: This will show the Internet address or formula for computation.

| <b>Display Name</b> | <b>Label</b> | <b>Type</b> | <b>Expression</b> |
|---------------------|--------------|-------------|-------------------|
|                     |              |             |                   |
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|                     |              |             |                   |

Note: Duplicate this table if space provided is insufficient



**Annex E – Publicity Plan**

Explain clearly how database/website is to be introduced to the Audience:

Training required. If yes, provide details such as who will be conducting, location, duration, etc.

Survey: If survey has been conducted, please attached results.

| <b>Annex F – Maintenance Plan</b>                                                                                                |                        |
|----------------------------------------------------------------------------------------------------------------------------------|------------------------|
| Owner of Database/Website (APEC Fora) :                                                                                          | Tel:<br>Fax:<br>Email: |
| Database/Website Administrator:                                                                                                  | Tel:<br>Fax:<br>Email: |
| Update Frequency (in terms of months):                                                                                           |                        |
| Update Process :<br><br>Method –<br><br>How to ensure data accuracy & integrity –<br><br>Definition of responsibility –          |                        |
| Backup Process:<br><br>Method:<br><br>Performed by:<br><br>Frequency:<br><br>Storage of backup media:<br><br>Recovery Procedure: |                        |





**APEC SELF-FUNDED PROJECT INFORMATION**

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

**Guidelines on How to Use the Assessment, Monitoring and Evaluation (AME) Frameworks  
(Amendments Approved by BMC1 March 2007)**

**Introduction**

To improve APEC project quality, the Quality Assessment, Monitoring and Evaluation Framework has been developed and subsequently, adapted for all projects. This will help members not only develop good quality project proposals, but also increase the likelihood of a successful project - one likely to achieve its objectives.

The AME uses the same QAF for all APEC fora. A generic approach will allow working groups, taskforces and committees to harmonise their standards and develop a common approach to project quality across APEC. This paper provides members with guidance on how to use the AME Frameworks.

**A - Assessment**

- a) A small team formed within the forum should assess and give a score to each submitted proposal using the Quality Assessment Framework (QAF). The Lead Shepherd or Chair should decide how the proposal assessment is carried out. Members of the small team should be chosen for their experience in evaluation, their objectivity, and their technical understanding of the proposal's subject matter.
- b) Proposals should be assessed prior to approval by fora and at least eight weeks before their submission the Budget Management Committee for APEC funding. The involvement of the forum should not be too time-intensive, particularly for smaller projects. The project proponent, or the project overseer, should also be a part of the group for his/her project – but should not score the proposal.
- c) If problems or weaknesses are found then the proposal should be referred back to the project proponent for remedial action. The changes should strengthen the proposal and give it a better chance of success. The Proposal Assessment Framework should be filled out again. The forum can then make an informed decision about how to rank the proposal against other competing priorities.
- d) The proposal and the final filled out Proposal Assessment Framework is sent to the Budget and Management Committee (BMC) to help them make an informed decision based on a fairly rigorous assessment of the proposal's strengths and weaknesses. If the Proposal Assessment Framework is scored high then it is understood that the proposal meets all required guidelines and is of high quality.

**Scoring**

The following scores should be given to each criterion on all the AME Frameworks:

- 3 - representing good practice
- 2 - representing fully satisfactory
- 1 - representing marginally satisfactory
- 0 - representing weak
- 0 - also representing not applicable

**Good practice (3)** should be a rare score that is not given lightly. It represents a situation where something over and above expectations has occurred, particularly something innovative which could be presented to others as a model to follow.

**Satisfactory (2)** is as good as it normally gets, if there are weaknesses then they are few and minor.

**Marginally satisfactory (1)** indicates that there are serious weaknesses although they could be overcome by early action.

**Weak (0)** should be a rare score which indicates that there is a major deficiency.

**Not applicable (0)** should only be used when absolutely necessary. Because the criteria are important indicators of project success, when one of them has not been considered then it is a weakness.

### **Basic Principles of Scoring**

1. All criteria are of equal value, no weighting system should be used
2. When awarding scores only whole numbers should be used
3. Be alert to the tendency of adopting a central position by awarding a '2' when sometimes it may not be merited
4. Final written judgements should be made on a logical '*all things considered*' basis. Judgements should not be derived from any formulaic combination of earlier ratings (like taking the average)
5. Final scores are derived from adding together the criteria scores and they can be used to rank projects in order of their relative merit

| <b>Quality Assessment Framework for Project Proposals**</b> |                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                           |                          |                    |
|-------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------|
| <b>#</b>                                                    | <b>Criteria</b>                                                                                                                                                                                                                                                                                                                                                                                               | <b>Explanations (what to look for in the proposal)</b>                                                                                                                                                                                                                                                                                                                                                                    | <b>Comments (if any)</b> | <b>Assessments</b> |
| 1.                                                          | <p>Does the proposal respond to a priority identified by Leaders or Ministers?</p> <p>Or</p> <p>For ECOTECH projects, does the proposal clearly state which one of the APEC priority themes of the 1996 Manila Declaration or the four ECOTECH priority themes will be addressed?</p> <p>And</p> <p>For TILF projects, does the proposal clearly state how it responds to the Osaka Action Agenda Part I?</p> | <p>The proposal should be directly relevant to one specific priority set by APEC Ministers and Leaders, or a vision statement from a working group.</p> <p>One, and only one, priority themes in the 1996 Manila Declaration should be chosen as the project goal.</p> <p>One, and only one, priority in the Osaka Action Agenda should be chosen as the project goal.</p>                                                |                          |                    |
| 2.                                                          | <p>Are the objectives in the proposal specific, achievable, of value to the beneficiaries and measurable?</p>                                                                                                                                                                                                                                                                                                 | <p>There should be a maximum of three realistic objectives. They should precisely state what benefits will occur and to whom. The proposal should demonstrate that the achieved objectives will be of value to both men and women. For objectives to be measurable their targets should be based on sex-disaggregated data and quantitative or qualitative benchmarks and these data should be given in the proposal.</p> |                          |                    |



|    |                                                                                                                                                                |                                                                                                                                                                                                                                                    |  |  |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| 3. | Is the proposal based on sufficient background study and data collection?                                                                                      | There should be good data and a good understanding of the current situation. Does the proposal take account of the work of other Fora? Are social data sex-disaggregated?                                                                          |  |  |
| 4. | Will the objectives clearly contribute to one of the APEC priority themes referred to in criteria 1 above?                                                     | The linkage between the objectives and one of the priority themes should be clear and logical. Achieving the objectives will contribute towards achieving one of the APEC priority themes.                                                         |  |  |
| 5. | Are the outputs described in the proposal clear and easily achievable?                                                                                         | Outputs (the goods and services produced) should be quantified as much as possible. The outputs should logically lead to the achievement of the stated objectives.                                                                                 |  |  |
| 6. | Have the direct beneficiaries been precisely identified, and will they have significant roles in the project?                                                  | The men and women, institutions or businesses that will directly benefit should be identified as precisely as possible. Will they have an important or minor role in project consultation, planning, implementation, monitoring and evaluation?    |  |  |
| 7. | Will there be active participation from the private sector, or the international funding institutions, or non-governmental institutions and other APEC fora?   | Have the proponents actively requested their participation? Will they participate in project consultation, planning, implementation, monitoring and evaluation? Will they play an important or minor role?                                         |  |  |
| 8. | Does the proposal add anything to co-existing or previous projects from APEC or elsewhere? Could this project influence future projects from other proponents? | Will contacts be made and/or information exchanged? Is there evidence that lessons learned have been applied? Does the proposal build on from other projects or repeat them? Is it sufficiently innovative or useful to influence future projects? |  |  |

|     |                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                 |  |  |
|-----|----------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| 9.  | Is the implementation methodology described in the proposal both clear and effective? Have the main risks to implementation been identified? | Implementation should be well-planned and logical, and based on a breakdown of functions over time. Institutional and organisational arrangements should be specific and workable. Main risks or assumptions should be identified and practical strategies prepared to manage them. Will implementation be flexible enough to cope with any unexpected risk?                    |  |  |
| 10. | Are there effective plans for the widespread publication and dissemination of results?                                                       | Has the proposal answered all the parts of the question in sufficient detail? There should be specific details given, especially regarding target audience(s), content of materials, and dissemination strategies that consider women.                                                                                                                                          |  |  |
| 11. | Does the proposal closely conform to the 'Framework for the Integration of Women in APEC'?                                                   | Is there evidence that the proponents have understood APEC's position about taking special care to integrate women in APEC projects?                                                                                                                                                                                                                                            |  |  |
| 12. | Does the proposal explain how women will be actively involved in planning, implementation and evaluation of the project?                     | Does the proposal promote gender equity in project participation and benefits? Is there a plan to measure the project's impact on women participants and other women who may be influenced or effected by the project's results?                                                                                                                                                |  |  |
| 13. | Does the proposal have a strategy to make project benefits sustainable?                                                                      | Project benefits should last well beyond project completion. Proponents can support sustainability by planning for regular up-dates of documents and training, ensuring that manuals are in local language, etc. Beneficiaries or other bodies should be involved in planning for sustainability and making sure that local resources are mobilized to do this in part or full. |  |  |
| 14. | Does the proposal comply with APEC financial procedures?                                                                                     | Have the prescribed formats and draw down timetables been followed? Does the budget contain sufficient detail? Will the project be efficient and cost effective?                                                                                                                                                                                                                |  |  |

|     |                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                           |  |  |
|-----|-------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| 15. | Any other relevant points?                                                                                        | Any other strong or weak points in the proposal which you believe to be relevant to project success?                                                                                                                                                                                                                                                                      |  |  |
| 16. | For TILF projects, will this project contribute to the APEC Trade and Investment Liberalization and Facilitation? | Is it clear that this project will contribute to enhancing trade and investment liberalization and facilitation in the APEC region? What are the specific contributions to the TILF agenda that this project will make?<br><br>For non TILF projects, simply write NA.                                                                                                    |  |  |
| 17. | <b>Final statement of suitability for APEC funding</b>                                                            | If implemented, is the project likely to make a sufficient contribution to APEC's mission to justify its funding? Make an informed judgement considering all the relevant factors such as: specificity of objectives and outputs, clearly identified beneficiaries, good implementation arrangements, good background information, major risks, quality of analysis, etc. |  |  |

**Final Score:**

**\*\*Important Notes:**

1. This framework is to be filled in by the working group, or a small panel of working group members, or the Lead Shepherd. It is not to be filled in by the proponents.
2. Comments can be a simple 'yes' or a 'no.' Provide brief comments only when there is a weakness or an error in the proposal or when there is an example of good practice that could be of interest to APEC. For example, criterion 2 about the objectives: do not restate the objectives in the comments column; you need only to write 'yes' if they are clear, achievable and measurable. If they are not (or one of them is not) then write 'no' and give a brief comment about what the problem is. The proponents should then correct that problem in a revised proposal.

## **Guidelines on How to Use the AME Frameworks**

### **Introduction**

To improve APEC project quality, the ESC Small Group on Evaluation has developed the Quality Assessment, Monitoring and Evaluation Framework for all Operational Account and APEC Support Fund projects. This will help members not only develop good quality project proposals, but also increase the likelihood of a successful project - one likely to achieve its objectives.

The AME is the same QAF for all APEC working groups. A generic approach will allow working groups to harmonise their standards together and develop a common approach to project quality across APEC. This paper provides members with guidance on how to use the AME Frameworks.

### **M - Monitoring**

- a) Currently, Project Progress Reports are prepared by the Project Overseer before the end of each June, then they are given to the Working Group to consider. The Project Progress Report then goes to the BMC II meeting in July or August. Such annual progress reporting is sufficient for most projects and should continue.
- b) For a minority of projects, say 10 to 20% of them, annual Progress Reports prepared by the Project Overseer are insufficient to alert the working group to emerging problems so that they can ask the implementers to take corrective actions. The Monitoring Framework (we also call it a Health Check) has been prepared for these projects. It is not just a progress report for the working group and the BMC; it also identifies project problems and allows corrective actions to be taken so that the project is improved.
- c) Using the six plus six criteria that identify projects needing a 'Health Check' the BMC can flag such projects at funding approval. The concerned PSM or Working Group can also flag candidate projects either at the proposal stage or later during their implementation - if the project does not perform as well as expected (or if it is a very good project and has many positive lessons).

The relevant Working Group or Program Director in the Secretariat should flag projects that have one or more of these criteria:

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

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

- Difficult or risky sub-sectors or settings
  - Significant delays in starting up
  - History of significant problems or omissions
  - Significant policy or environmental questions
  - Questions of project management, and
  - Poor financial performance
- d) The review can be either done by members from the working group or by a small team from the working group. The Lead Shepherd should decide which system can be used. The group or team should include the Project Overseer as a resource person; the co-sponsoring economy should

especially be involved. The review should be done half-way through the life of the project while there is sufficient time left to make corrections to strengthen the project. The review may be done during the annual or bi-annual working group meetings.

- e) After the review, the concerned PSM should then prepare a brief summary report for the BMC. This report should be based on the results of the review. It should explain the problem(s) identified and describe the actions taken (or to be taken) to correct matters. The brief summary report may be prepared in coordination with the Lead Shepherd.

## **Scoring**

The following scores should be given to each criteria on all the AME Frameworks:

- 3 - representing good practice
- 2 - representing fully satisfactory
- 1 - representing marginally satisfactory
- 0 - representing weak
- 0 - also representing not applicable

**Good practice (3)** should be a rare score that is not given lightly. It represents a situation where something over and above expectations has occurred, particularly something innovative which could be presented to others as a model to follow.

**Satisfactory (2)** is as good as it normally gets, if there are weaknesses then they are few and minor.

**Marginally satisfactory (1)** indicates that there are serious weaknesses although they could be overcome by early action.

**Weak (0)** should be a rare score which indicates that there is a major deficiency.

**Not applicable (0)** should only be used when absolutely necessary. Because the criteria are important indicators of project success, when one of them has not been considered then it is a weakness.

## **Basic Principles of Scoring**

1. All criteria are of equal value, no weighting system should be used
2. When awarding scores only whole numbers should be used
3. Be alert to the tendency of adopting a central position by awarding a '2' when sometimes it may not be merited
4. Final written judgements should be made on a logical '*all things considered*' basis. Judgements should not be derived from any formulaic combination of earlier ratings (like taking the average)
5. Final scores are derived from adding together the criteria scores and they can be used to rank projects in order of their relative merit

**Quality in Implementation**

| # | Criteria                                                                                               | Explanations (what to look for)                                                                                                                                                                             | Comments (if any) | Assessment |
|---|--------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|------------|
| 1 | Are the intended objectives and outputs being achieved as planned?                                     | Is the project on track to achieve all the stated objectives and outputs within schedule and budget?                                                                                                        |                   |            |
| 2 | Are there any unexpected risks to successful implementation?                                           | This should include any specific sector risks, plus environmental considerations, resource limitations, social issues.                                                                                      |                   |            |
| 3 | Is the implementation strategy, including institutional and organisational arrangements, working well? | Are there any institutional or organisational problems that impede project implementation?                                                                                                                  |                   |            |
| 4 | Is the project management effective?                                                                   | Management procedures should meet the needs of implementation. Project start up should be smooth, implementation should be on schedule and within budget, and all working relations should be professional. |                   |            |
| 5 | Is the project cost-effective?                                                                         | The project should represent the least-cost way to achieve the expected results.                                                                                                                            |                   |            |
| 6 | Is the project complying with established APEC financial procedures?                                   | Are financial resources being used efficiently and being correctly accounted for?                                                                                                                           |                   |            |

|    |                                                                                                       |                                                                                                                                                                                                         |  |  |
|----|-------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| 7  | Are other APEC projects, working groups and economies participating in the project?                   |                                                                                                                                                                                                         |  |  |
| 8  | Are support and participation being received from the private sector and non-government institutions? | Are they maintaining their financial or other inputs at the agreed levels?                                                                                                                              |  |  |
| 9  | Are the beneficiaries involved in implementation and are they satisfied with the project?             | Are the men and women, institutions or business beneficiaries actively involved in implementation or are they just passive recipients? Do they have any comments regarding the project and their roles? |  |  |
| 10 | Are women benefiting in a measurable way?                                                             | Is gender fairness being actively promoted? Have women significant roles in project implementation? To what extent do they share in the benefits?                                                       |  |  |
| 11 | Is the monitoring and reporting effective?                                                            | Monitoring and reporting should provide sufficient information to accurately assess project strengths and weakness.                                                                                     |  |  |
| 12 | Is the sustainability strategy being implemented?                                                     | Are plans being put into action so that project benefits are likely to be sustained beyond project completion?                                                                                          |  |  |



|    |                                                                                                   |                                                                                                                    |  |  |
|----|---------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--|--|
| 13 | Any other relevant point?                                                                         |                                                                                                                    |  |  |
| 14 | <b>Considering the above, and any other relevant factors, is the project on track to succeed?</b> | Use your best judgement. Are there problems and shortcomings in implementation, and if so are they being overcome? |  |  |

### **Criteria for Assessment of APEC Projects**

(Approved by SOM in October 1995, revised by BMC July 2000, October 2002)

*There are four categories of criteria proposed for project assessment. These relate to (a) APEC values, (b) project design, (c) dissemination of project results, and (d) budget.*

*Each of the following criteria is normative: the operative word throughout is "should", not "must". Accordingly, the BMC/SOM decision relating to compliance with each criterion will, necessarily, be affected by the situation in each project. In this sense, many of these criteria should be understood to include the words "as appropriate" in recognition of the fact that there will always be cases which do not fit with otherwise sensible and desirable general criteria.*

#### **A. APEC Values**

These are criteria which only SOM and its committees, the BMC, are qualified to decide on the basis of their understanding of the wishes of APEC's Leaders and Ministers.

APEC projects should:

1. be a direct response to the priorities of the Leaders and Ministers, set out in their declarations, particularly the Bogor Declaration and its updates.
2. be approved by a working group or committee, consistent with the vision statements, policy statements and work programs, as amended, of that working group or committee.
3. have the active participation of a large number of APEC members.
4. encourage participation from the business/private sector and non-governmental institutions and women.
5. add specific APEC value in those cases in which similar work has already been done in the same area in other contexts.
6. recognize and support the role of women in achieving sustainable development.
7. (for ecotech projects) be highly focused and results-oriented; support one or more of the six priorities listed in the 1996 Manila Declaration on Ecotech; avoid duplication with other APEC projects; and have explicit objectives, milestones and performance criteria (as elaborated in the Guidance on Strengthening Management of APEC Ecotech Activities approved by SOM in June 1998, updated by the APEC Secretariat and approved by the ESC in June 2004 and taken note of by SOM II in June 2004 – see attached **Annex C1**).

#### **B. Project Design**

*This category differs from that on APEC values in that anyone familiar with the requirements of a project in any circumstances would be likely to agree that a project proposal met or did not meet the criteria.*

Projects should have:

1. a statement of the objectives and justification of the project.

2. an identification of the kinds of institution in member economies intended to benefit from the results of the project.
3. a brief description of project methodology.
4. a sequence of components, if more than one, with associated outputs.
5. a properly itemized budget.
6. a timetable for the accomplishment of each component.
7. a timetable for the draw down of APEC funding.
8. an indication that the project's planning has taken cognizance of the possible contribution of the project to related projects or meetings in APEC or elsewhere.
9. an indication of the working group or committee responsible for the particular project and the dissemination of its results.

### **C. Dissemination of Project Results**

*These criteria on publication, publicity for, and dissemination of the project's results are grouped separately to underline the fact that information is only useful if it reaches those who can use it.*

1. Each project should have a budgeted plan for the publication and dissemination of results in a manner appropriate to the project. This plan should:
  - (a) indicate the target audience for the report on the planned results of the project and, based on that target audience,
    - (i) the form (for example : completion report, conference proceedings, manual, case studies, scholarly papers, database situation report);
    - (ii) the format (hard copy, electronic and/or video); and
    - (iii) the number of copies to be prepared.
  - (b) commit to quality control and professional editing to ensure that it will be understood by the target audience before the submission to the printer of the APEC Secretariat.
  - (c) be consistent with APEC's publication policy.
2. Each plan for publication and dissemination should be accompanied by a publicity plan for briefing the general or specialist media about key components for the project and, especially, the promotion of sales or other dissemination of the final product. A publicity plan should be cognizant of the particular needs of any member economy.

### **D. Budget**

1. The APEC funded part of the project should be within SOM-approved guidelines.
2. Costs for particular line items should be justifiable.

## **Guidance on Strengthening Management of APEC ECOTECH Activities**

*Approved by Senior Officials, 18 June 1998 in Kuching, Malaysia  
Updated by the APEC Secretariat and approved by the ESC in June 2004  
Took note by SOM II in June 2004*

### **Guidance to Fora and Project Overseers**

1. Project proposals should state which of the six priorities listed in the Manila Declaration the project aims to serve and how. Activities that do not relate to any of the priorities should be exceptional and strongly justified.
2. Fora must ensure that the ECOTECH activities they propose and undertake are "goal-oriented with explicit objectives, milestones, and performance criteria" or contribute directly to the capacity building of a priority-wide framework that meets these requirements. At the 15<sup>th</sup> APEC Ministerial Meeting in October 2003, four APEC-wide ECOTECH priorities were adopted as a strategic roadmap for future ECOTECH activities and to facilitate efforts to attract additional support from external organization. These priorities are the integration into the global economy, promoting the development of knowledge-based economies, addressing the social dimension of globalization, and counter-terrorism capacity building. This list of priorities, however, does not preclude APEC from responding to future priorities as may be identified by Leaders. Additional ECOTECH and capacity building activities may be undertaken by economies.
3. Activities should be highly focused and results-oriented. When process-oriented activities (workshops, surveys, reports, etc) are still considered useful, the project application should clearly indicate how the results will be used to achieve focused action-oriented outcomes, including how they will be factored into the forum's collective work program (including follow-up ECOTECH work) and members' IAPs.
4. Each forum that proposes ECOTECH activities is responsible for ensuring that they do not duplicate its own past, present or planned activities or those of other fora. Close and collegial coordination with other APEC fora is required to achieve this aim. The APEC Secretariat's Project Database Website should be referred to for information on past and existing APEC projects. Ambiguous situations may be referred to ESC for advice on how best to achieve APEC-wide coordination.
5. Fora should strive for balance among the economies that organize and oversee ECOTECH activities, and should develop projects that have the active participation of a large number of economies. Fora are reminded that funding for government officials' travel is only available in well-justified exceptional cases.
6. Fora are encouraged to share their own experiences of managing ECOTECH activities--successful and unsuccessful--and lessons learned with ESC for dissemination to other fora.

### **Guidance for BMC**

7. BMC is responsible for advising SOM on budgetary matters and those relating to management coordination among APEC fora, and therefore shares in the responsibility for implementing the Manila Declaration, the Osaka Action Agenda (OAA) Part II and the priorities given in paragraph 2.

8. BMC's review of applications for APEC-funded projects is a critical step in this process. In general, a more discerning approach is needed to minimize the kinds of problems identified by the evaluation frameworks of ECOTECH activities.
9. BMC should take into account the guidance contained herein in addition to the guidelines already established in reviewing project applications. In general, review of an activity's results-orientation is as important as its compliance with established financial procedures.
10. The BMC representative of the economy proposing a project should be prepared to explain and defend the project in the BMC. This will enable the relevant APEC Secretariat director to provide independent advice on the project's merits and thereby remove a conflict of interest inherent in the status quo. (See paragraph 13).

#### **Guidance for the APEC Secretariat**

11. The APEC Secretariat can provide valuable support to APEC fora that develop and implement ECOTECH activities and to the BMC's review of their merits.
12. In its consultation with project proponents and in the advice it provides to BMC, the Secretariat should be authorized and encouraged to comment on any aspect of a project it feels competent to address. For example, it should comment on issues of duplication, results-orientation or others noted above, as well as on financial procedures.
13. It is important in discharging this function that program directors serve the APEC process as a whole, and not be influenced by the interests of any particular forum.
14. To improve coordination of ECOTECH activities, the Secretariat should also make full use of its information-sharing role and exploit the capabilities of its project database.

#### **Guidance for Enhancing Business/Private Sector, International Financial Institutions (IFIs) and Other Relevant International Institutions Involvement in ECOTECH Activities**

15. Fora could invite business people, especially representatives from ABAC, regional trade and industry associations, International Financial Institutions (IFIs) and other relevant international institutions to attend future meetings for policy dialogue on recommendations relevant to the forum's ECOTECH agenda. This could include careful review of the relevant ABAC recommendations. Policy direction to or request for support from IFIs will be made in consultation with the Finance Ministers Process.
16. Fora could work together with business representatives to set priorities and develop collective work plans of the fora. They could review the justification for any elements of the plans that are not relevant to business needs and priorities
17. Fora could seek to involve the business/private sector in all stages of the ECOTECH project cycle. This could include inviting business proposals of specific projects to realize the collective work plans; soliciting and taking into account business feedback on projects proposed by member economies; joint development of projects; inviting active business participation in project execution; seeking business representatives' evaluation of completed projects and ensuring that such evaluations are fed back into the project development process. ABAC's Partnership for Equitable Growth (PEG) could be one vehicle for facilitating such public-private collaboration.

18. Fora could invite business support - financial, in-kind or technical - for future cooperatively developed projects or those already in the pipeline that it considers relevant to its needs. Relevant International Financial Institutions (IFIs) and other international institutions could be invited to render support and share expertise in the areas that are complement with the APEC's activity.

19. Each forum could consider how it could contribute to cross-cutting focused outcomes developed in collaboration with the business/private sector and involving other APEC fora.

20. Invitations to International Financial Institutions (IFIs) and other relevant international institutions will be in accordance with the Revised Guidelines on Non-Member Participation in APEC Activities approved by the APEC Ministerial Meeting in October 2002.

| <b>Guidelines of Maximum Funding for Items in Itemized Budget<br/>           Applicable for Operational Account, TILF Special Account and APEC Support Fund Account</b> |                                                   |                                                                                                                                                                                                                                                                                                |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Items</b>                                                                                                                                                            | <b>Max. Funding</b>                               | <b>Remarks</b>                                                                                                                                                                                                                                                                                 |
| Honorarium                                                                                                                                                              | US\$1,500                                         | Normal range between US\$300 - US\$1,000. Not permitted for government and international organization officials.                                                                                                                                                                               |
| Experts                                                                                                                                                                 | 6 persons per day                                 | An exception may be allowable if sessions are being held concurrently.                                                                                                                                                                                                                         |
| Consultant                                                                                                                                                              | US\$80 per hour                                   | Depending on the prevailing rate.                                                                                                                                                                                                                                                              |
| Secretariat Support                                                                                                                                                     | US\$20 per hour                                   | Less, if the prevailing rate is less.                                                                                                                                                                                                                                                          |
| Travel Expenses for Active Participants                                                                                                                                 | 2 persons for each travel-eligible member economy | Travel-eligible member economies are Chile, China, Indonesia, Malaysia, Mexico, Papua New Guinea, Philippines, Peru, Russia, Thailand and Viet Nam. The number of APEC-sponsored participants should be kept down as far as possible. Request for waiver is required for government officials. |
| Communications                                                                                                                                                          | US\$500                                           |                                                                                                                                                                                                                                                                                                |
| Photocopying                                                                                                                                                            | US\$1,000                                         | US\$0.10 per page.                                                                                                                                                                                                                                                                             |
| Publications                                                                                                                                                            | US\$5,000                                         | Electronic publishing preferred.                                                                                                                                                                                                                                                               |
| Hosting Costs                                                                                                                                                           | US\$5,000 for a 2-day conference                  | Inclusive of Conference and Secretariat Room Rental, Conference Support and Organizing and Stationery. Meals including coffee/tea breaks, Flowers, Souvenirs, Banners, Tours, Brief Cases and Other Promotional Materials are not allowable. Competitive bidding to be used where possible.    |

**Request for Waivers with Justifications**

**(1) Tendering Requirements**

**(2) Advance Payment for Non-salary Costs**

(a) However, no waiver is needed for advance payment of the following expenses:-

(i) Travel expenses for WTO officers (*approved at BMC II, 2000*); and

(ii) Travel expenses for APEC-funded travellers from APEC travel-eligible economies (*approved at BMC II, 2004*).

(b) Even though no waiver is needed, advance payment will only be processed for the above expenses upon the request of APEC-funded traveller.

**(3) Expenses for Officials from Government and International Organization**

No waiver for honorarium. Travel expenses for participants are limited to a maximum of two persons for each travel-eligible member economies.

**(4) Business Class Travel for Flights under 12 Hours**

Project proponent/overseer has to provide strong justifications and the exceptions should apply to senior business sector personnel only. After the project had been held, the overseer has to report back to the BMC on who has been given the exceptional treatment so as to monitor whether the exception made is appropriate (*approved at BMC I, 1998*)

**(5) Simultaneous Interpretation** - Strong justifications have to be provided for an exception.

**(6) Translation Costs of Publications**

**(7) Local Transport Costs** - Including rental of buses or cars to take participants to and from airport or to go sightseeing.



**TILF Special Account:  
Procedures & Allowable Expenses**  
(Approved by SOM in June 1998, revised by BMC in July 2000 and October 2002 )

**Contribution to APEC Trade & Investment Liberalization & Facilitation**

**1. Background**

At the Economic Leader's Meeting in Bogor in 1994, the APEC members committed themselves to completing the achievement of the goal of free and open trade and investment in the Asia-Pacific region no later than year 2020. In Osaka, the members adopted the "Action Agenda" for the implementation of this commitment. As the members proceed to meet their respective trade and investment liberalization and facilitation commitments, their efforts could be enhanced through cooperation projects supported by APEC.

While respecting the individual efforts of member economies, Japan proposed at the Osaka Leader's Meeting to contribute, where necessary, up to 10 billion yen to the APEC Central Fund over the coming several years for the use of appropriate cooperation projects formulated in support of trade and investment liberalization and facilitation. Then Prime Minister Murayama noted that Japan expects other member economies to also make active contribution voluntarily to promote these projects.

**2. Scheme**

**(a) Eligible Projects**

Projects eligible for financing will be APEC projects satisfying the requirements of the "Criteria for Assessment of APEC Projects (e.g. having the active participation of large number of APEC economies) approved as cooperation projects contributing to trade and investment liberalization and facilitation (e.g. projects in line with the 15 areas listed in Part 1 and, where appropriate, part 2 of the Action Agenda).

**(b) Type of Projects**

- (i) Seminars, symposia, workshop and short-term technical training courses relating to trade and investment liberalization and facilitation (Such projects are expected to be basically within approximately two weeks in duration, although specific needs on duration will be taken into consideration)
- (ii) Survey, analysis and research projects related to trade and investment liberalization and facilitation
- (iii) Provision of equipment for APEC projects related to trade and investment liberalization and facilitation (e.g. inspection and certification equipment necessary for a technical guidance workshop on measurement criteria)

**(c) Host Economies or Location**

In the case of b(i) or b(ii) type projects, host economies or locations should conform to one of the following conditions:

- (i) APEC Projects hosted or implemented by eligible economies\* or by members including eligible economies (regardless of location)
- (ii) APEC Project hosted or implemented by APEC fora such as Committee or Working Groups (regardless of location)
- (iii) APEC Project held in eligible economies (regardless of economy hosting project)

In the case of b(iii) type projects, equipment can be provided to eligible economies. Examples of projects which, having satisfied the Criteria for Assessment of APEC Projects, would be eligible for this kind of funding:

- (1) Where A (eligible economy) and B (non-eligible economy) jointly host technical training symposia, regardless of location
- (2) Where a series of seminars is hosted by an APEC fora regardless of location
- (3) Where an eligible economy is supplied with the equipment needed to construct an information network among members for the promotion of trade and investment liberalization and facilitation

\* "eligible economy" here refers to: Brunei Darussalam; Chile; People's Republic of China; Hong Kong, China; Indonesia; Republic of Korea; Malaysia; Mexico; Papua New Guinea; Peru; Republic of the Philippines; the Russian Federation; Singapore; Chinese Taipei; Thailand; and Viet Nam. Therefore, "non-eligible economy" here means APEC economies not referred above. The "eligible economy" concept applies only to this scheme and has no bearing on any other APEC activities.

**(d) Allowable Expenses (details as attached)**

- (i) Short-term symposia, workshops, seminars, technical training, etc.:
  - Expenses entailed in the invitation of speakers or lecturers  
(honorarium (not for government officials), except with prior BMC approval i.e. must be included in the project proposal), travel and accommodation expenses etc.)
  - Expenses entailed in the intake of trainees (travel costs)
  - Consultant (including researcher) fees etc.
  - Project site expenses (renting costs, teaching material, etc.)
  - Equipment expenses (including installation)
  - Report publication expenses (including distribution)
  - Communication, photocopying and other such expenses
- (ii) Survey, analysis and research activities:
  - Personnel costs for researchers etc.
  - Expenses necessary for survey, analysis and research work  
(business trip expenses, literature purchases etc.)
  - Equipment expenses (including installation); purchase or lease, depending on which is the cheaper option
  - Report publication expenses (including distribution)
  - Communications, photocopying and other such expenses
- (iii) Provision of equipment:
  - Equipment expenses (including shipping and installation cost); purchase or lease, depending on which is the cheaper option
  - Any allowable expenditures / expenditures criteria not listed above will basically be decided according to "Allowable expenses under the Operational Account of the APEC Central Fund" criteria.

- While the expenses listed above will be allowable under this scheme, members are welcome to shoulder costs for some part of project expenses in line with the APEC principle of voluntary contribution.
- Ownership and responsibility for the purchased equipment used in relation to the above projects will basically cede to the host economy on project completion.

**(e) Procedure**

- Formulation of projects by APEC members
- Evaluation, modification and approval by APEC fora such as Working Groups and Committees, with project proposals made to BMC
- Review by BMC of projects proposals and formulation of recommendation
- Approval by SOM and the Ministerial Meeting of BMC recommendation; decision on expenditure
- Contributions to the APEC Central Fund (TILF Special Account)
- Project implementation
- Distribution from the APEC Central Fund for project
- Report to the relevant WG/Committee and BMC on project progress or results: BMC audit of expenditure
- Where a situation is not covered under existing procedures, where necessary, BMC will consider the situation in liaison with the Secretariat.
- Contribution to this scheme will be dealt with through the APEC Central Fund, but treated separately from existing funds in the accounting under the TILF Special Account.
- Disbursement will be in line with APEC Central Fund disbursement procedures.
- Japan's annual contribution to this TILF Special Account may differ according to project formulation and Japan's fiscal circumstances. Contributions from other member economies are welcome.

\* \* \* \* \*

## **Allowable Expenses under the TILF Special Account**

### **1. Direct Labour**

- (a) Seminars, symposia, workshop and short-term technical training courses:
- Honoraria for speakers
  - Remuneration for translation of seminar material, short term clerical and secretarial staff employed for the event
  - Writing fees (for teaching materials etc.)
- (b) Survey, analysis and research projects:
- Research and consultant fees
  - Fees for translation, interpretation etc.
  - Writing fees (for manuscripts etc.)

NB: Where government of member economies shoulder all or parts of the allowances of speakers, researchers or trainees, that amount will be deducted from the total amount allocated.

### **2. Equipment**

- (a) Seminars, symposia, workshop and short-term technical training courses:
- Purchase or rental (whichever is cheaper) of equipment (inclusive of freight, installation and servicing for the duration of event)
- (b) Survey, analysis and research projects:
- Purchase of books and documents for the research (inclusive of postage or courier)
  - Purchase or rental (whichever is cheaper) of material/equipment for survey, analysis and research (inclusive of freight, installation and servicing for the duration of projects)
- (c) Provision of equipment for APEC projects:
- Purchase or rental (whichever is cheaper) of equipment for TILF projects other than categories (1) and (2).

NB: Where government of member economies shoulder all parts of the costs for facilities, machinery, equipment etc., that amount will be deducted from the total amount allocated.

### **3. Travel**

- (a) Seminars, symposia, workshop and short-term technical training courses:
- For speakers; airfare (economy class normally, but restricted business class if the airport to airport travel time exceeds 12 hours), and per diem (including accommodation and incidental expenses).
  - For active participants; airfare (economy class) and, upon agreement of waiver request, for per diem (including accommodation and incidental expenses) for up to two persons from travel-eligible member economies\* Waiver also required for airfare for government officials of travel-eligible economies.

\* “travel-eligible member economies” here refer to: Chile, People’s Republic of China, Indonesia, Malaysia, Mexico, Papua New Guinea, Peru, Republic of the Philippines, the Russian Federation, Thailand, and Viet Nam. The “travel-eligible economy” concept applies only to this scheme and has no bearing on any other APEC activities.

- For trainees (from travel-eligible member economies) air fare (economy class). Waiver required for airfare of government officials from travel-eligible economies. No per diem.

(b) Survey, analysis and research projects:

- For researchers on project related travel: airfare (economy class normally, but business class for flights of or over 12 hours excluding transit), accommodation, per diem and incidental expenses

NB: Where governments of member economies shoulder a part or all of travel costs, that amount will be deducted from the amount allocated.

#### **4. Other Direct Costs**

(a) **Publication costs**

(i) Seminars, symposia, workshop and short-term technical training courses:

- Printing and related costs (inclusive of proof-reading and distribution) of materials or documents arising from seminars and symposia

(ii) Survey, analysis and research projects:

- Printing and related costs (inclusive of proof-reading and distribution) of materials or documents arising from research, survey or analysis

NB: Where governments of member economies shoulder a part or all costs, that amount will be deducted from the total amount allocated.

(b) **Communications**

(i) Seminars, symposia, workshop and short-term technical training courses:

- Fax, telephone, mail and courier costs related to event

(ii) Survey, analysis and research projects:

- Fax, telephone, mail and courier costs arising from the project

NB: Where governments of member economies shoulder a part or all of travel costs, that amount will be deducted from the total amount allocated.

(c) **Others**

(i) Seminars, symposia, workshop and short-term technical training courses:

- Teaching and training materials in seminars
- Hosting cost (inclusive of conference room rental, conference support and organizing, stationery)

- (ii) Surveys, analysis and research projects:
  - Hosting costs (inclusive of conference room rental, conference support and organizing, stationery)
- (iii) Photocopying cost

## **APEC Guidelines on the Policy on Advance Payments**

### **Policy on Advance Payments to Contractors**

#### **Scope**

To describe APEC's policy for making advance payments to individuals, organizations, institutions, or other contractors engaged by the APEC Secretariat.

#### **Definitions**

An **advance payment**, as defined under the APEC Secretariat, is a payment made by or on behalf of APEC under the terms of a contract before the performance of that part of the contract for which the payment is made.

A **contractor** is defined under this policy as a person, institution, corporation, or executing agents with whom the APEC Secretariat enters into a contract for the provision of goods or services.

The term "**contract**" in this policy will also cover instances where payments are made through an agreement or other arrangements which require the APEC Secretariat to disburse funds.

**Project Overseer** in this policy is a person, institution, corporation or executing agent who is responsible for supervising the project and reporting on its progress to the relevant APEC fora.

#### **Policy**

1. Request for advance payments together with strong justification should be made known during submission of the project proposal to BMC but, if unforeseen circumstances arise, requests for advance payment together with the necessary justification can be made subsequently for approval by the BMC at a subsequent meeting or intersessionally.
2. Provision for the making of advance payments shall be included in the terms and conditions of a contract, for a purpose and within the financial limits established by APEC Secretariat.
3. The contract shall specify with respect to advances:
  - the payment schedule, including dates or period covered, amounts or percentage of contract value, and conditions for payments; and
  - the timing and form of the accounting and of settlement by the contractor.
4. Contractors shall submit a detailed accounting of the costs together with the supporting documents incurred against the advance payment in accordance with the timeframe specified in the contract and in a form prescribed by APEC. A settlement may also be effected either by collection action or by deduction from current requests for reimbursement of expenses.
5. An APEC Director (Program) or a member of the APEC Secretariat designated by the Executive Director shall be responsible for ensuring that all submissions and contracts are in accordance with this policy and relevant APEC Guidelines.
6. For advance requests over \$20,000, the Contractor needs to submit a letter of guarantee indicating the financial viability of his institution, organization or company and an unconditional undertaking by that institution, organization or company of full responsibility in the case of default. This clause would not apply in the case of official departments of the APEC member economies.

7. Complete documentation as to justifications of advance payments, including amounts, cash flow forecasts and approvals, shall be retained at the APEC Secretariat.
8. The prior approval of the Executive Director is required for exceptions to this policy.

**Operational Guidelines:  
Advances to Contractors under Contract to APEC Secretariat**

**Part I**

Project Agreements with contractors shall clearly specify the circumstances under which advances may be made. The contractor should prepare the request for advances and submit to the relevant APEC Director (Program).

1. Advance cash payments to contractors will be made as follows:
  - (a) Advance cash payments will be made on the basis of quarterly or an agreed to period of time which will include the following minimum information: reasons for seeking advances, funds advanced to date, disbursements to date, estimated funds on hand, estimated disbursements to end of next reporting period and the advance required and any measurable deliverables at specific milestones in the implementation schedule, the cost breakdown, implementation schedule and other funding sources and their terms.
  - (b) An individual advance is restricted to a limit of 25% of the total value of the contract. This advance must be fully accounted for before a subsequent advance can be made.

**Part II**

The authority for making advance payments to contractors under contract to the Secretariat is as follows:

1. It is accepted APEC practice to provide advances when required to a contractor for the costs indicated in clauses 3 and 4 below.
2. Before completing the agreement of a contract which includes provisions for advance(s), the relevant APEC Director (Program) responsible for the contract should review with the APEC Director, Finance the invoicing and accounting procedures relating to such advances. This will ensure that all parties are aware of the proper procedures for requesting advances and the mechanisms for recovering advances. In accordance with current practices, the Executive Director would authorize the final contract.
3. Contract advances will be made for expenses or non-salary costs only. Unless agreed to by the Executive Director, advances will not be provided for salaries/fees.
4. A list of expenses or non-salary costs which are consistent with and should be cross referenced to the existing guidelines for the **Operational Fund**, the **TILF Special Account** and the **APEC Support Fund** which would be eligible for advances follows:

**(a) Operational Fund/APEC Support Fund**

- *Travel* - airfare for speakers, researchers, etc (economy class normally but restricted business class may be offered if the airport to airport travel time exceeds 12 hours),



accommodation, per diem and incidental expenses. A sample undertaking for advance payment of travel expenses is at **Annex F1**.

- *Publication* - printing and related costs (inclusive of proof reading and distribution) of materials or documents arising from seminars and symposium and from research, survey or analysis.
- *Communications* - Fax, telephone, mail and courier related to event or project.
- *Others* - Photocopying costs

**(b) TILF Special Account**

- *Equipment* - purchase or rental (whichever is cheaper) of equipment for (A) seminars, symposia, short term technical; training courses, (B) survey, analysis and research projects and (C) for TILF projects other than categories A and B. This would be inclusive of freight, installation and servicing for the duration of the event. Purchase of books /documents for research (inclusive of postage or courier)
  - *Travel* - airfare for speakers, researchers, etc (economy class normally but restricted business class if the airport to airport travel time exceeds 12 hours), accommodation, per diem and incidental expenses.
  - *Publication* - printing and related costs (inclusive of proof reading and distribution) of materials or documents arising from seminars and symposium and from research, survey or analysis.
  - *Communications* - Fax, telephone, mail and courier related to event or project.
  - *Others*- Photocopying costs, teaching and training materials in seminars, hosting costs (inclusive of the room rental, conference support and organizing, stationery) for projects.
5. The relevant APEC Director (Program) is responsible for ensuring that the contractor or Project Overseer is informed of the circumstances for which advances will be paid, the procedures for requesting advances and the mechanism for recovering advances. Normally, this review will occur during contract negotiations.
  6. Contractors will request and account for advances in the manner specified by the APEC Secretariat. If necessary, deductions from current progress claims will be made to recover an advance. In extreme cases, collection action will be pursued.
  7. A faxed request for an advance shall only be acceptable to the APEC Secretariat when the request is in accordance with the terms and conditions of the signed contractual obligation which is maintained at the APEC Secretariat for audit purposes.
  8. The Director (Program) in charge of the project shall closely monitor the recovery and accounting of advances to ensure that contractors are adhering to the APEC policy.

\*\*\*\*\* SAMPLE \*\*\*\*\*

### Undertaking for Advance Payment of Travel Expenses

*Date*  
*Name*  
*Designation*  
*Fax No.*  
Dear .....

#### **Request for Advance Payment for *Project No. (Project Title)***

I refer to your e-mail dated ..... on the above project requesting for advance payment.

After considering this, the APEC Secretariat agrees in principle to the granting of advance payments of US\$..... for *project no.* as airfare to your office to cover services for this project, in accordance with the "APEC Guidelines on the Policy of Advance Payment" (approved by the APEC Budget and Management Committee). Pursuant to these approved Guidelines, the conditions of the advance payments being made to you are as follows:

- (a) The advance payments must be spent for their intended purposes for the specific projects as per the Annex;
- (b) A detailed accounting of the costs together with supporting documents against the advance payment must be submitted within one month from the APEC – funded event;
- (c) Any excess of the advance payments over the actual entitlement to per diem and incidentals, if any, must be returned by you to the APEC Secretariat no later than one month after you have received our confirmation of (b) above; and
- (d) In the event of any default, the APEC Secretariat may initiate collection action, and the costs incurred by the APEC Secretariat in this respect will be borne by you. If necessary, deductions from other claims made by you will be taken to recover the advance. No further advance will be made to you until this advance is fully accounted for.

The tasks to be performed by you are:

- to arrive in ..... on or before *date*;
- *Detailed terms of reference as provided by the project overseer*

In view of the large bank charges and heavy administrative burden incurred by the Secretariat, any underpayment of US\$50 or less of the advance payments over your actual entitlements will not be reimbursed to you. Please note this potential reduction is avoidable if you choose not to take an advance but instead opt for reimbursement.

Approved by BMC, Aug 2005  
Approved by SOM3, Sep 2005  
Endorsed by AMM, Nov 2005

**Annex F**  
Page 5 of 7

**Annex F1**  
2 of 4

If you agree to the terms above, please sign the duplicate of this letter and send back the entire letter, initialled on each page, to us at +(65) 6775-6013, together with detailed payment instructions. Unless requested otherwise, the advance payments will be made in US Dollars.

Yours sincerely.

Director (Finance)  
APEC Secretariat

Agreed by .....

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Payment instructions

*Normally payment is in US\$ but with mutual agreement other convertible currencies may be used.  
Please indicate currency agreed if other than US\$.*

▪ **For telegraphic transfer**

Account name

Bank name

Bank branch and address

Bank Account number

Bank code (if applicable and where known)

▪ **For bank draft (or cheque in Singapore dollars only)**

Beneficiary name

Full postal address

## ANNEX

### Travelling Expenses

#### 1 Airfare

- Economy class airfare of US\$ \_\_\_ for a round-trip ticket from A to B

#### 2 Travelling Expenses (where provided for in the budget)

- Non-accountable 100% of the prevailing per diem rate of US\$\_\_\_ for B for the period of the event plus arrival day. Maximum amount of per diem claimable is US\$ \_\_\_ x (number of days) (period concerned) = US\$ \_\_\_\_\_. This covers hotel accommodation, meals and incidentals.
- One-off, non-accountable “additional payment” – 75% x [per diem rate for city of meeting venue (US\$xx)]. This covers such items like land transfers, travel insurance, separate airport charges, visa application, bank charges and expenses incurred in the reimbursement process.
- No other expenses will be reimbursable by the APEC Secretariat.

#### 3 Supporting documents (to be provided to the APEC Secretariat (**in originals**) within one month of completion of travel. Subject to receipt of certification from the Project Overseer to show satisfactory completion of tasks, this will discharge obligations under this advance undertaking)

- (i) airfare invoice issued from travel agent; (if tickets were bought on-line then please so indicate and provide a copy certified by you of airline/agent confirmation advice)
- (ii) air-ticket receipt; (if e-tickets were used then please so indicate); and
- (iii) airport tax receipt (where applicable).

## **Guidelines for Evaluation and Reporting System for APEC Projects**

(Approved by SOM September 1998 and October 2002:

revised by BMC July 1999, August 2000, October 2002, April 2005 and March 2006, BMC March 2007)

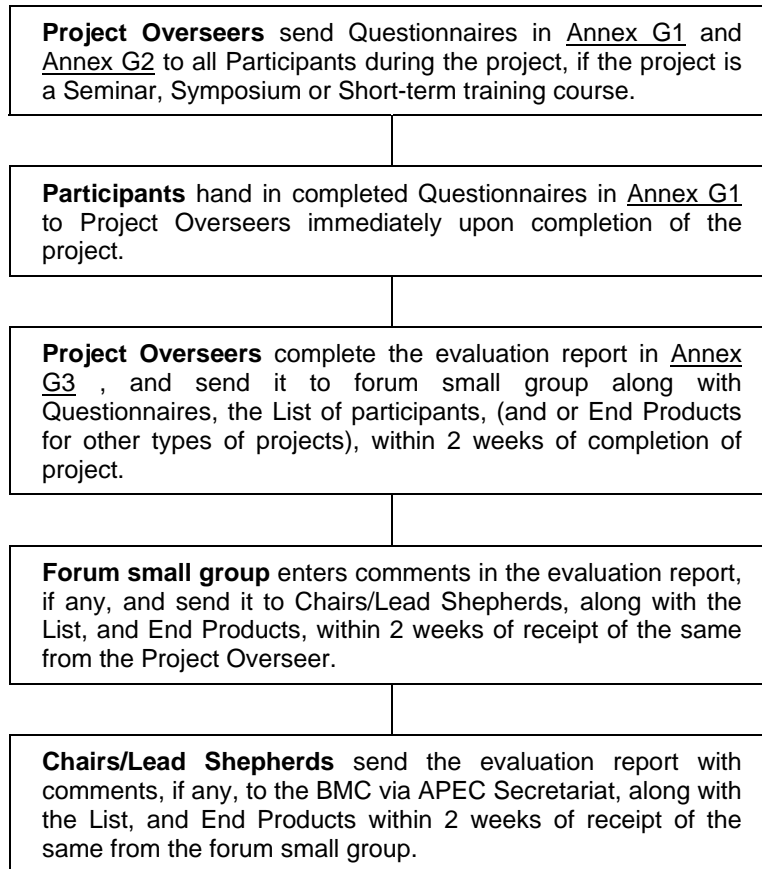
### **Implementation/Monitoring of Projects after Approval**

1. Upon approval of the projects, the approved projects (both APEC Central Funded and self-funded ones) are supervised by the Project Overseers or by project steering committees. While the Project Overseers or the Chair of project steering committees have the obligation to report to the relevant APEC fora on the progress of their projects, the APEC fora are responsible to monitor the performance of the projects for assuring completion of project goals and objectives.
2. The Project Overseers must circulate questionnaires for the participants of seminars, symposia, and short-term training courses to complete during the activity. **Annex G1** contains the basic questions which should be included in the questionnaires for the speakers/panelists and participants/trainees. The project overseers may use these questions as a basis on which to build further questions.
3. The Project Overseers should report the progress in implementing the project (format in **Annex G2**) as required from time to time. The Chairs/Lead Shepherds should collect the reports from the project overseers. The Chairs/Lead Shepherds should have an overall view of all the projects undertaken by their fora before submitting the reports to the APEC Secretariat. The BMC asks all APEC fora to provide progress reports for all the APEC projects to the APEC Secretariat before the 2<sup>nd</sup> BMC meeting each year, so that summary tables for such reports can be submitted to the 2<sup>nd</sup> BMC meeting (usually in July/August) each year.
4. Projects identified as the project which needs "Health Check" should submit the Monitoring Framework sheet according to the Guidelines on How to Use the AME Frameworks (**Annex B4**) in addition to the progress report mentioned in paragraph 3.

### **Completion/Evaluation**

5. Upon completion of the projects, Project Overseers should complete the evaluation reports (format in **Annex G3**), which should reflect the findings from the questionnaires completed by the speakers/panelists and participants/trainees as appropriate. The cover sheet of the project (Annex G3). The Project Overseers should send the evaluation reports to the forum small groups (see paragraph 6) together with the questionnaires and the list of participants, within 2 weeks of the completion of the project. In the case of projects such as surveys or publications, the Project Overseers should provide the evaluation reports with the end products (in draft or final form).
6. All APEC fora, including sub-fora of CTI, should set up a forum small group comprising at least two or three members. The forum small groups receive the project overseer's evaluation reports and assess the outcomes of the projects. The forum small groups should, within 2 weeks of such receipt, fill in the format according to the Guidelines on How to Use the AME Frameworks (**Annex G3**), and forward it together with the list of participants or the end product, as the case may be, to the Chairs/Lead Shepherds for comments, if any, or endorsement before submitting to the BMC via the Secretariat. Chairs/Lead Shepherds send the evaluation report with comments, if any, to the BMC via APEC Secretariat, along with the list, and end products within 2 weeks of receipt of the same from the forum small group.
7. The evaluation reports and relevant documents described in paragraphs 5 and 6 should be submitted to the secretariat within 6 weeks of the completion of the projects.
8. Multi-year projects, like one-off projects, are required to complete the evaluation reports, when the intended tasks covered by an approved unit have been implemented. For example, suppose CTI 06/2001, CTI 03/2002 and CTI 04/2003 are a series of multi-year training courses, then the evaluation reports should be completed when CTI 06/2001, CTI 03/2002 and CTI 04/2003 are completed respectively.

9. A Flow chart outlining the evaluation for APEC Projects, described in paragraphs 3 to 8, is summarized as follows:



10. The APEC Secretariat will enter comments, if any, into the evaluation reports. The evaluation reports will be disseminated to the BMC Small Groups in charge of relevant fora. Supporting documents such as, the list of participants and end products will be kept by the Secretariat for BMC members' inspection.

#### **Feedback of the Assessment**

11. The BMC Small Groups will assess the evaluation reports and submit their outcome of assessments along with these evaluation reports to the BMC for their consideration. The BMC will provide the feedback of the assessments to the APEC fora where appropriate.

### **Further Actions against Non-Compliance with the Evaluation Procedures of APEC-Funded Projects**

12. If a BMC Small Group notes a failure to comply with reporting guidelines (timeframes, completeness, standard, etc), then it will, by consensus, report this to the BMC.
13. The BMC will, upon the BMC Small Group's advice, determine whether there is a failure and where the responsibility of the failure lies, e.g., in the project overseeing economy, the forum small group, or the Lead Shepherd/Chair;
14. If consensus is reached on the points above, the BMC Chair will issue a warning letter to the forum concerned, while requesting immediate improvements and reporting accordingly to SOM;
15. In case that the forum concerned fails to meet the request, the BMC may decide at its next meeting that the forum will be barred from proposing new project proposals for the next financial year, or until the problem has been remedied to the BMC's satisfaction.

APEC Secretariat  
March 2006



**Questionnaire for APEC Projects which are in the Category of  
Seminar, Symposium or Short-term Training Course**

**Project Code:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_  
\_\_\_\_\_

Your evaluation of the project will assist the assessment by the APEC fora. Your responses to the following questions are appreciated.

Those who are speakers, panelists, etc. should fill your comments in Part A. Those who are participants, trainees, etc. should fill your comments in Part B. The Questionnaires should be sent to the Project Overseers.

N.B The Project Overseers should collate all questionnaires, and send them together with the list of all the participants to Small Group.

**Part A. Summarize Project's Purpose and Expected Results  
(For Speakers & Panelists)**

**Name:** \_\_\_\_\_ **Sex:**  M / F

**Agency/Economy:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

(a) What activities did you attend?

Training       Conference       Seminar/Symposium       Other (pls. specify)

Duration: \_\_\_\_\_

Project start date: \_\_\_\_\_ Project end Date: \_\_\_\_\_

(b) What were your roles before, during, and after the activity?

(c) Do you think the project achieved its objectives? What were the project's results/achievements?

(d) Were the attendees the most appropriate target group?

(e) What is your assessment of the overall effectiveness of the project?

(f) Was there any room for improving the project? If so, how?

(g) Any other suggestions:

**Part B**      **Assess the Results**  
**(For Participants & Trainees)**

**Name:** \_\_\_\_\_ **Sex:**   M / F  

**Agency/Economy:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

- (a) How have you or your economy benefited from the project?
- (b) What new skills, knowledge, or value have you gained?
- (c) What, if any, changes do you plan to pursue in your home economy as a result of the project?
- (d) What needs to be done next? How should the project be built upon?
- (e) Is there any plan to link the project's outcomes to subsequent collective actions by fora or individual actions by economies?

(f) Please use the same scale to rate the project on an overall basis.

|        |       |       |       |        |
|--------|-------|-------|-------|--------|
| [5]    | [4]   | [3]   | [2]   | [1]    |
| (Good) |       |       |       | (Poor) |
| _____  | _____ | _____ | _____ | _____  |

(g) What is your assessment of the overall effectiveness of the project?

(h) Was the project content: (Check One)

Just Right \_\_\_\_\_ Too Detailed \_\_\_\_\_ Not Detailed Enough \_\_\_\_\_

(i) Please provide any additional comments. How to improve the project, if any?

**APEC PROJECT FORMAT**

**Progress Report on APEC Projects**

[ ] Operational Account      [ ] TILF Special Account      [ ] APEC Support Fund

|                                                                                                                                                                                                                                                                               |                                |                                                           |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|-----------------------------------------------------------|
| <b>Project number:</b>                                                                                                                                                                                                                                                        |                                | Date received by Secretariat:                             |
| <b>Name of Committee/Working Group:</b>                                                                                                                                                                                                                                       |                                |                                                           |
| <b>Title of Project:</b>                                                                                                                                                                                                                                                      |                                |                                                           |
| <b>Proposing APEC Economy:</b>                                                                                                                                                                                                                                                |                                |                                                           |
| Co-sponsoring APEC Economy (ies)                                                                                                                                                                                                                                              |                                |                                                           |
| Project Overseer: Name, Title and Organization (M/F)                                                                                                                                                                                                                          |                                |                                                           |
| <b>Postal address:</b>                                                                                                                                                                                                                                                        |                                | Tel:<br>Fax:<br>Email:                                    |
| Financial Information                                                                                                                                                                                                                                                         | Total cost of proposal (US\$): | <b>Amount being sought from APEC Central Fund (US\$):</b> |
| Type of Project: <input type="checkbox"/> seminar/symposium <input type="checkbox"/> short-term training course <input type="checkbox"/> survey or analysis and research<br><input type="checkbox"/> database/website <input type="checkbox"/> others <i>(Please specify)</i> |                                |                                                           |
| Project start date:                                                                                                                                                                                                                                                           |                                | Project end date:                                         |
| <b>Brief description of Project : its purpose and the principal activities (including when and where) :</b>                                                                                                                                                                   |                                |                                                           |
| Signature of Project Overseer:                                                                                                                                                                                                                                                |                                |                                                           |
| <i>(Separate written confirmation acceptable for email submission)</i> Date:                                                                                                                                                                                                  |                                |                                                           |
| <b>Signature of Committee Chair/WG Lead Shepherd: (Not applicable to Progress Report and Evaluation Report)</b>                                                                                                                                                               |                                |                                                           |
| <i>(Separate written confirmation acceptable for email submission)</i> Date:                                                                                                                                                                                                  |                                |                                                           |

**Progress Report on APEC Projects**

| <b>Status/Progress and Problems</b>                                                                                                                                                                                                                                                         |                                                                  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>Current status of project:</b>                                                                                                                                                                                                                                                           | On schedule (Yes/No)                      Within budget (Yes/No) |
| <b>Objectives</b><br><br>How do results of the project thus far (if any) compare with its expected results? Include your results thus far (if any) relative to quantitative measures you proposed in paragraph 1 (and 25) of the project design proposal.                                   |                                                                  |
| <b>Linkages, Methodology, Budget</b><br><br>Describe any problems which have arisen and how they were resolved, including changes in schedule or revised dates, budget changes, changes in participation, or additions or deletions of activities.                                          |                                                                  |
| <b>Gender Considerations</b><br><br>Provide a brief description of the impact of the project on women to date.<br>Provide details to show how women have been consulted on the delivery of the project.<br>What kind of sex-disaggregated data has been collected and used for the project? |                                                                  |
| Progress since last report :                                                                                                                                                                                                                                                                |                                                                  |

- Notes:**
- All Committee and Working Group projects, irrespective of their source of funding, should be reported to BMC.
  - Please mark "**N.A.**" if any item is not applicable.
  - Name of Project should be identical with the name stated in the project proposal.

## **Guidelines on How to Use the Assessment Monitoring and Evaluation (AME) Frameworks**

### **Introduction**

To improve APEC project quality, the Quality Assessment, Monitoring and Evaluation Framework have been developed and subsequently adapted for all projects. This will help members not only develop good quality project proposals, but also increase the likelihood of a successful project - one likely to achieve its objectives.

The AME is the same QAF for all APEC fora. A generic approach will allow working groups, taskforces and committees to harmonise their standards together and develop a common approach to project quality across APEC. This paper provides members with guidance on how to use the AME Frameworks.

### **E - Evaluation**

- a) All APEC projects must be evaluated using the Evaluation Framework.
- b) The Project Overseer should provide the forum with a brief and factual statement on the project's outcome. The question to answer in a brief statement is '*What were the results of the project?*' and "*To what extent the project contributed to TILF/ECOTECH?*" Lessons learned should also be included in the statement.
- c) A small group formed within the forum, should then review the completed project and fill in the Evaluation Group Assessment. The Co-sponsoring Economy should be part of this group and could take the lead to ensure that the framework is correctly filled out.
- d) The Lead Shepherd should then read the framework, comment on it if thought necessary, and then sign it off. The filled out Evaluation Framework should then be sent to the PSM to read, comment on if thought necessary. It is then forwarded by the PSM to the BMC.

### **Scoring**

The following scores should be given to each criterion on all the AME Frameworks:

- 3 - representing good practice
- 2 - representing fully satisfactory
- 1 - representing marginally satisfactory
- 0 - representing weak
- 0 - also representing not applicable

**Good practice (3)** should be a rare score that is not given lightly. It represents a situation where something over and above expectations has occurred, particularly something innovative which could be presented to others as a model to follow.

**Satisfactory (2)** is as good as it normally gets, if there are weaknesses then they are few and minor.

**Marginally satisfactory (1)** indicates that there are serious weaknesses although they could be overcome by early action.

**Weak (0)** should be a rare score which indicates that there is a major deficiency.

**Not applicable (0)** should only be used when absolutely necessary. Because the criteria are important indicators of project success, when one of them has not been considered then it is a weakness.

### **Basic Principles of Scoring**

1. All criteria are of equal value, no weighting system should be used
2. When awarding scores only whole numbers should be used
3. Be alert to the tendency of adopting a central position by awarding a '2' when sometimes it may not be merited
4. Final written judgements should be made on a logical '*all things considered*' basis. Judgements should not be derived from any formulaic combination of earlier ratings (like taking the average)
5. Final scores are derived from adding together the criteria scores and they can be used to rank projects in order of their relative merit

**APEC PROJECT FORMAT**  
**Evaluation Report on APEC Projects**

|                                                                                                                                                                                                                                                                                 |                                |                                                    |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|----------------------------------------------------|
| Project number:                                                                                                                                                                                                                                                                 |                                | Date received by Secretariat:                      |
| Name of Committee/Working Group/Taskforce:                                                                                                                                                                                                                                      |                                |                                                    |
| Title of Project:                                                                                                                                                                                                                                                               |                                |                                                    |
| Proposing APEC Economy:                                                                                                                                                                                                                                                         |                                |                                                    |
| Co-sponsoring APEC Economy(ies):                                                                                                                                                                                                                                                |                                |                                                    |
| Project Overseer: Name, Title and Organization (M/F)                                                                                                                                                                                                                            |                                |                                                    |
| Postal address:                                                                                                                                                                                                                                                                 |                                | Tel:<br>Fax:<br>Email:                             |
| Financial Information                                                                                                                                                                                                                                                           | Total cost of proposal (US\$): | Amount being sought from APEC Central Fund (US\$): |
| Type of Project: <input type="checkbox"/> seminar/symposium <input type="checkbox"/> short-term training course <input type="checkbox"/> survey or analysis and research<br><input type="checkbox"/> database/website <input type="checkbox"/> others ( <i>Please specify</i> ) |                                |                                                    |
| Project start date:                                                                                                                                                                                                                                                             |                                | Project end date:                                  |
| Brief description of Project : its purpose and the principal activities (including when and where) :                                                                                                                                                                            |                                |                                                    |
| Signature of Project Overseer:                                                                                                                                                                                                                                                  |                                |                                                    |
| (Separate written confirmation acceptable for email submission)                                                                                                                                                                                                                 |                                | Date:                                              |
| Signature of Committee Chair/WG Lead Shepherd: (Not applicable to Progress Report and Evaluation Report)                                                                                                                                                                        |                                |                                                    |
| (Separate written confirmation acceptable for email submission)                                                                                                                                                                                                                 |                                | Date:                                              |

**Evaluation of Outcomes. Framework (for all projects)**

|                                   |
|-----------------------------------|
| <b>Project Overseer's comment</b> |
|                                   |
| <b>Signature:</b>                 |
| <b>Name:</b>                      |



**Evaluation Group Assessment**

| # | Criteria                                                                                                                                                                                                                                                            | Explanations (what to look for)                                                                                                                                                                                                                                                                                                                                                                                                                        | Comments (if any) | Assessment |
|---|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|------------|
| 1 | Were all the objectives fully achieved?                                                                                                                                                                                                                             | What exactly were they? (What skills were improved – from what level to what level; was capacity built and institutions strengthened – by how much? Was economic efficiency and performance increased – how was it measured?)                                                                                                                                                                                                                          |                   |            |
| 2 | Were all the outputs fully achieved?                                                                                                                                                                                                                                | Were they also of a satisfactory quality?                                                                                                                                                                                                                                                                                                                                                                                                              |                   |            |
| 3 | <p>For ECOTECH and other projects, has the completed project contributed to a priority APEC theme?</p> <p>For TILF projects, has the completed project specifically contributed to trade and Investment liberalization and facilitation to achieve Bogor Goals?</p> | <p>Has it contributed to one of the priority themes in the 1996 Manila Declaration, or has it been directly relevant to one specific priority set by APEC Ministers and Leaders, or a vision statement from a working group.</p> <p>Has it contributed to one of the Actions in Specific Areas in Section 3 of Osaka Action Agenda in 1995, or has it addressed issues directly contributing trade and investment liberalization and facilitation?</p> |                   |            |



## Information for APEC Project Overseers

### Sample documents

*(This is a handy reference guide for Project Overseers. Full information is obtainable in the relevant chapters of the Guidebook on APEC Projects, downloadable from [www.apec.org](http://www.apec.org)).*

1. Project Overseers are responsible for all matters relating to their projects, including ensuring adherence to BMC-approved overall project funding.
2. The APEC Secretariat provides support to Project Overseers in the budgetary control of the projects; administers the disbursement of APEC funds; and provides advice on other matters relating to project implementation.
3. Projects may vary in nature, e.g., they may be training programs, surveys, consultant studies, seminars, etc. Depending on the complexity of the project, it may be advisable to form a Steering Committee for the project. Otherwise, the Project Overseer will be responsible for implementing the project.

### **Draw up a Timetable of Events**

4. A timetable of events, detailing the milestones for implementing the project, should be drawn up by the Project Overseer, based on information provided in the project proposal. (Sample at **Annex H1**). The Steering Committee/Project Overseer should identify potential slippage and anticipate problems that might affect the timely completion of certain components of the project. They should let the Director (Program) know immediately of such changes, so that the timetable can be updated.

### **Draw up a Budget Table**

5. The budget table contained in the project proposal approved by the BMC may become outdated when the project comes to the implementation stage (e.g. change of number of speakers, etc.) The Steering Committee/Project Overseer should draw up a budget table (Sample at **Annex H2**), keep it updated to reflect the latest estimates of expenses, and ensure that these are within the BMC-approved budget.
6. The APEC Secretariat should always be provided with a copy of the latest budget table.

### **Sign Necessary Documents before Direct Labor and Travel Costs are Incurred**

7. Where direct labor is involved, contracts need to be signed (Sample at **Annex H3**) **before** costs are incurred. Please provide information to your Director (Program) so that he or she can draft the contract for you.
8. Tendering is required where direct labor is over US\$20,000 in a single contract. A Request For Proposal (RFP) (Sample at **Annex H7**) should be drawn up by the Project Overseer in conjunction with the Director (Program). The Project Overseer should then circulate the RFP to at least three potential bidders, preferably within APEC member economies. There is no restriction on the number of economies to be circulated.
9. The Project Overseer should form a Bidding Committee (which may be the same as the Steering Committee for the project where such is formed) to evaluate the proposals received. The

Project Overseer should forward a recommendation (with supporting justifications) on the winning proposal to the Director (Program), who will then draw up the contract between the successful bidder and the APEC Secretariat.

10. Where the contract is likely to exceed US\$ 50,000, it is the task of the Director (Program) to circulate the RFP to member economy contact points and ensure that a copy is placed on the APEC Secretariat web site. The Director (Program) will send copies of the proposals received to the Project Overseer for evaluation by the Bidding Committee, Thereafter the steps are as above.
11. Where travel is required, whether under a contract or for an individual to attend an APEC-sponsored event, an undertaking must be signed by each claimant before costs are incurred and at least 8 working days **before** travel. A sample of such an undertaking to be prepared by the APEC Secretariat is at **Annex H4**. Any changes that concern the travel entitlements specified in the signed undertaking such as early departure of traveller and the provision of honorarium should be communicated to the Director (Program) immediately.
12. Failure to sign contracts and undertakings before labor and travel costs are incurred will jeopardise eventual disbursement.

#### **Per Diem Form**

13. All speakers and participants receiving Per Diems must sign a Per Diem form (sample at **Annex H8**) at the end of each day of the seminar. The Project Overseer must then certify that the information contained in the form is correct.

#### **Actual Implementation of Projects**

14. Incur expenditures strictly within the limits of the Budget Table. Keep all relevant receipts for reimbursement claims. Originals certified by the Project Overseer or other pre-designated person should be sent to the Secretariat for reimbursement. For travel the Project Overseer only needs to certify the completion of travel and tasks within the terms of the undertaking. It is not necessary to certify the receipts.
15. Inform the Director (Program) any APEC-sponsored events, such as seminars and workshops, at least **four weeks** in advance. This is to ensure ample time for the preparation of contracts and travel undertakings.

#### **Disbursement**

16. If the project costs have been tracked carefully with the help of the budget table mentioned above, disbursement should be a straight-forward step. Otherwise, the Secretariat may need to establish the full financial position of a project before releasing payment, which will obviously result in long delays in disbursements.
17. Disbursement requires the certification of satisfactory completion of tasks. Such certification is usually done by the Steering Committee/Project Overseer.

**Reporting Requirements (Progress and Evaluation Reports)**

18. The BMC places great importance on the reporting requirements. The Steering Committee/Project Overseers should ensure that the requirements of providing Progress Reports for APEC projects to the APEC Secretariat by end of each June for the duration of the project and completing an Evaluation Report within eight weeks of the completion of the project are complied with.

**When Help is Needed**

19. Contact your Director (Program) in APEC Secretariat, who can be reached by email [info@apec.org] to save communication costs or by fax +(65) 6775-6013, telephone +(65) 6775-6012, or by post at 35 Heng Mui Keng Terrace, Singapore 119616.

\*\*\*\*\* SAMPLE \*\*\*\*\*

### Timetable for an APEC project

| <b>Event</b>                                                                                   | <b>Dates</b>        |
|------------------------------------------------------------------------------------------------|---------------------|
| 1. Set up Steering Committee                                                                   | 20 January 2003     |
| 2. Prepare and agree request for Proposal (RFP) with APEC Secretariat                          | 25-30 January 2003  |
| 3. APEC Secretariat sends RFP to all economies                                                 | 31 January 2003     |
| 4. Deadline for tender submission. Responses sent to PO                                        | 1 March 2003        |
| 5. Steering Committee considers tenders                                                        | 10 - 20 March 2003  |
| 6. Steering Committee recommends successful bidder; APEC Secretariat negotiates with same      | 21- 30 March 2003   |
| 7. Contract signed between successful bidder and APEC Secretariat                              | 10 April 2003       |
| 8. Invitations to speakers sent                                                                | 15 April 2003       |
| 9. List of speakers finalised. APEC Secretariat informed of same and other details of workshop | 8 May 2003          |
| 10. Contractor deliverable #1 due                                                              | 20 May 2003         |
| 11. Undertakings with speakers signed                                                          | 25 May 2003         |
| 12. Contractor deliverable #2 due                                                              | 30 June 2003        |
| 13. Contractor deliverable # 3 due                                                             | 17 July 2003        |
| 14. Concluding workshop held                                                                   | 15-18 August 2003   |
| 15. Contractor delivers final report and all his tasks performed. Invoices certified by PO     | 20 August 2003      |
| 16. Printing and distribution of final report by APEC Secretariat                              | 2-20 September 2003 |

\*\*\*\*\* SAMPLE \*\*\*\*\*

**Budget Table for an APEC-funded project  
 (as at dd.mm.yyyy)**

|                       | <b>BMC Approved Amt. (US\$)</b> | <b>Latest Estimate (US\$)</b> |
|-----------------------|---------------------------------|-------------------------------|
| <b>Direct Labor</b>   |                                 |                               |
| Speakers              | \$500                           | \$625                         |
| Honorarium            | (4 x \$125)                     | (5x\$125)                     |
| Consultant            | \$28,000                        | \$28,000                      |
| <b>Travel</b>         |                                 |                               |
| Airfare               | \$5,000                         | \$5,100*                      |
| Per diem<br>& hotel   | \$2,600                         | \$1,790*                      |
| <b>Printing</b>       | \$8,000                         | Self-funded by overseer       |
| <b>Communications</b> | \$1,000                         | \$1,000                       |
| <b>TOTAL</b>          | <b>45,100</b>                   | <b>36,515</b>                 |

**\* Travel cost estimates**

| <b>Name</b> | <b>Airfare</b>                       | <b>Hotel</b>               | <b>Per diem</b>              |
|-------------|--------------------------------------|----------------------------|------------------------------|
| Mr AAA      | \$1,000 (City X to City Y, Econ)     | 4 x \$80 (Hotel X) = \$320 | 4 x \$60 + 0.75 (80) = \$300 |
| Mr BBB      | \$2,100 (City K to City Y, Business) | 4 x \$80 (Hotel X) = \$320 | 4 x \$60 + 0.75 (80) = \$300 |
| Mr CCC      | \$2,000 (City P to City Y, Econ)     | 4 x \$80 (Hotel X) = \$320 | 4 x \$60 + 0.75 (80) = \$300 |

\*\*\*\*\* **SAMPLE** \*\*\*\*\*

## CONTRACT

### **WITHOUT PREJUDICE**

[Project Name and Number]  
This contract is made on [date].

BETWEEN

The Asia-Pacific Economic Cooperation Secretariat (the "APEC Secretariat"), with an office at 35 Heng Mui Keng Terrace, Singapore 119616.

AND

[Company Name/Consultant's Name] (the "Contractor"), a company incorporated in [economy] with an office at [address]/a consultant, with an office at [address].

WHEREAS

The APEC Secretariat has agreed to engage the Contractor to provide the services in accordance with the terms and conditions set forth in the

A) *For contracts not more than US\$20,000*  
Terms of Reference<sup>1</sup> at Annex A and the Conditions to this Contract<sup>2</sup> at Annex B

**OR**

B) *For contracts more than US\$20,000*  
Request for Proposal<sup>3</sup> at Annex A, the Contractor's proposal dated [date], at Annex B,

[and other relevant annexes as appropriate, e.g., a copy of the guidelines on publication styles and nomenclature for projects involving publications, Gantt chart showing project timeline], all of which form part of this contract.

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<sup>1</sup> A sample of the Terms of Reference is appended at **Annex H5**

<sup>2</sup> A sample of the Conditions to the Contract is appended at **Annex H6**

<sup>3</sup> A sample of the Request for Proposal is appended at **Annex H7**



AND WHEREAS IT IS ALSO AGREED:

1. Subject to the satisfactory completion of the contracted tasks, the APEC Secretariat shall pay the Contractor US\$[amount in figures] (United States Dollars [amount in words]) as soon as practicable upon receipt of the appropriate invoices according to the following schedule:

|                      |             |            |
|----------------------|-------------|------------|
| Completion of Task 1 | }           | US\$ _____ |
| Completion of Task 2 | } [specify] | US\$ _____ |
| Completion of Task 3 | }           | US\$ _____ |

2. Travel expenses, not exceeding US\$ \_\_\_\_\_, for the contractor will be reimbursed by the APEC Secretariat, subject to signing of a separate travel undertaking prior to the travel and in line with APEC travel regulations as set forth in the *Guidebook on APEC Projects* (the Guidebook).
3. Invoices shall be submitted to the APEC Secretariat by the Contractor in original and two copies. Invoices shall be accompanied by supporting documentation as set forth in the Guidebook and shall include the following information:
  - a) full name and number of project;
  - b) name of contractor;
  - c) invoice date and invoice number;
  - d) description of services provided and associated dates;
  - e) charges and payments for previous invoices;
  - f) charges for billing period;
  - g) name, title, complete address, and fax and phone number of payee, and banking instructions including bank name and address, account title and number; and
  - h) a signed statement by the Contractor that the services have been performed in accordance with the terms and conditions of this contract, and the costs being billed are true and correct and have not been previously paid, with the endorsement by the Project Overseer [insert name, post and address] that the services have been satisfactorily completed.
4. The APEC Secretariat shall have the right to authorise in writing representative(s) who can give instructions and provide clarifications to the Contractor in performing the required work.
5. All work will be completed within [period] of the date of execution of this Contract/by [date].
6. This Contract shall be governed by the laws of the Republic of Singapore and the parties hereto agree to submit to the non-exclusive jurisdiction of the Courts of the Republic of Singapore.

Signed for and on behalf of the APEC Secretariat

\_\_\_\_\_

in the presence of

[Insert name]  
Executive Director/Deputy Executive Director

\_\_\_\_\_

[Insert name]  
Director (Finance)

Signed for and on behalf of [Company]

\_\_\_\_\_

in the presence of

\_\_\_\_\_  
(Name and Appointment)

\_\_\_\_\_

\_\_\_\_\_  
(Name and Appointment)

\*\*\*\*\* SAMPLE UNDERTAKING\*\*\*\*\*

**APEC Project No: [WG] 03/2003 "Seminar on gggg"**

: Mr/Ms AAA

Research Fellow  
BBB Institute  
Address

Dear Mr/Ms AAA,

**Terms of reference for invited person**

Thank you for accepting the invitation to take part in this APEC – sponsored event.

This letter of undertaking describes the tasks which you have agreed to perform and in turn provides details the reimbursement which you can expect on certification by the Project Overseer of completion of the tasks over the time period concerned. [If you are a government official, reimbursement is subject to the APEC Secretariat receiving at least 8 working days before the travel commences, written confirmation by your government that it is unable to fund this travel.]

Please sign this letter where indicated and initial each page to indicate your agreement to undertaking the tasks and to the reimbursement procedures contained therein. Please then return a copy by fax to [name of person at the APEC Secretariat] on [ +(65) 6775-6013].

If you have any queries, please contact the undersigned at [e-mail address and telephone number]. May I wish you a successful APEC-funded event.

Yours sincerely

Director (Program)/Program Assistant, APEC Secretariat

**Invitee's tasks (name of person and project number)**

- to arrive in City Z on or before the evening of dd mm yyyy;
- to attend, as required and invited, all discussions of the [WG] and other sessions relating to ....;
- to present a paper, in the pre-determined manner, regarding .....
- to chair a session of the CCC group, and to write a report on the group's discussions;
- to deliver final, written versions of papers orally presented to the Chair of the [WG] (Mr/Ms DDD of the [Economy]), together with versions on disk (Word 6);
- to submit claims for reimbursement with **ORIGINAL** supporting documents as set out below no later than [date (usually within one month of the event)] to the APEC Secretariat at 35 Heng Mui Keng Terrace, Singapore 119616. I will provide clear payment instructions either by Telegraphic transfer or by bank draft (cheque is also available for Singapore dollar payments only) (for Telegraphic Transfer: account name and number, bank name and branch address (bank codes, where applicable); for bank draft/ cheque: account holder's name and full postal address.)

**Reimbursement (name of person and project number)**

1. Airfare
  - Economy class airfare for the **most direct** and **economical** route applies.
  - Restricted business class airfare **only** applies, where included in the budget, and the one way travel time exceeds 12 hours, airport to airport.
  - Airfare quotation should be submitted to the APEC Secretariat for approval before flight arrangement is confirmed.
  - *The agreed quotation (including taxes) and class of travel from place of departure to city Z will be inserted here. Separate airport taxes not included in the ticket price are covered under Additional Payment.*
2. Travelling Allowances (where applicable)
  - Non-accountable 100% of the prevailing per diem rate (US\$xx) for (city Z) for the period of event plus arrival day. Maximum amount of per diem claimable is  $US\$xx \times (\text{period of stay plus arrival day}) = US\$yy$ . This covers hotel accommodation, meals and incidentals like laundry; plus
  - One-off, non-accountable "additional payment" – 75% x [per diem rate for city Z (US\$xx)]. This covers such items like land transfers, travel insurance, separate airport charges, visa application, bank charges and expenses incurred in the reimbursement process.
3. Honorarium (where applicable)
  - An honorarium of (US\$ww)

4. Reimbursement

- Reimbursement will be processed after receipt of *the Per Diem Form (applicable for per diem payable to an APEC workshop)* and certification by the Project Overseer of satisfactory completion of the work and upon the receipt of the following documents **(in originals)**:
  - (i) airfare invoice issued from travel agent; (if tickets were bought on-line then please so indicate and provide a copy certified by you of airline/agent confirmation advice);
  - (ii) air-ticket receipt; (if e-tickets were used then please so indicate); and
  - (iii) hotel bill from (hotel name) showing lodging expenses (where per diem is payable to ad hoc APEC travel other than workshops).

I have studied the contents of this letter and agree to undertaking the tasks and receiving reimbursement in the amount and manner indicated.

Name \_\_\_\_\_

Organization \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Reimbursement details (if available, otherwise include when claim is submitted).

*Normally reimbursement is in US\$ but with mutual agreement other convertible currencies may be used. Please indicate currency agreed if other than US\$.*

▪ **For telegraphic transfer**

Account name

Bank name

Bank branch and address

Account number

Bank code (if applicable and where known)

▪ **For bank draft (or cheque in Singapore dollars only)**

Beneficiary name

Full postal address

\*\*\*\*\* SAMPLE \*\*\*\*\*

**TERMS OF REFERENCE**

*(NB: Terms of Reference are only required for contracts for which there has been no bidding, either because the contract is below US\$20,000 or there is a waiver from bidding requirements)*

**APEC Coal Trade and Investment Liberalisation  
And Facilitation Workshop Series**

**[Venue] Workshop (Project No.)**

**Date**

**Terms of Reference: [Workshop Organizer]**

**Background:**

The APEC Coal Trade and Investment Liberalisation and Facilitation (TILF) Workshop Series is aimed at facilitating cooperation between APEC economies to address coal trade and investment issues within APEC.

The Workshop Series is being funded by the TILF Special Account of the APEC Central Fund. The workshop Series is being jointly organized by ..... Individual workshops will be organized and managed in cooperation with authorities from the host economy.

The objective of the workshop series is to foster regional co-operation to liberalize and facilitate trade and investment in the coal and coal based energy sectors of developing member economies and to support the region's rapidly expanding demand for clean and efficient energy.

The workshops will address issues and problems which distort trade and investment decisions with a specific focus on coal as an energy source. As well as addressing trade and investment issues specific to the coal based energy sector in ....., the workshop will also....for the region as a whole.

In organising each workshop, particular attention will be given to forging on-going partnerships between government and industry throughout APEC, etc.....

The workshop organiser is contracted by the APEC Secretariat but will be required to report directly to and be responsive to the needs and directions of the Project Overseer, .....and/or his representative and other organizations, involved in overseeing the workshop.

**Contracted Tasks for the Workshop Organiser:**

The tasks of the workshop organiser, having due regard for the aims and objectives of the APEC TILF Coal Trade and Investment Workshop Series as outlined above, will be to:

**Planning Mission (no. of days)**

1. Attend and in co-operation with the project overseer provide logistical support for the planning mission to ..... As part of a small team, the workshop organiser will need to work constructively and professionally with other team members to achieve best possible outcomes from the planning mission. The main functions and responsibilities of the conference organiser for the planning mission include:
  - identify suitable workshop venues, negotiate a cost effective venue and accommodation package and make recommendations on the venue/accommodation to the project overseer so that a decision on venue/accommodation can be finalised quickly
  - develop cordial working relationships with venue and accommodation providers
  - initiate arrangements for the workshop
  - as required, attend and participate in meetings with government and industry officials, paying particular attention to identifying and addressing administrative/organizational issues which will need to be taken into account in planning the workshop
  - provide guidance and support to other team members on the development of a format for a workable and effective program for the workshop which may include a number of plenary and concurrent sessions
  - provide administrative support as required to other members of the planning mission
  - arrange accommodation and travel as required for other members of the planning mission, with particular attention to meeting APEC requirements for contractual and funding approval for travel and accommodation expenses for the Industry Adviser
  - ensure own travel and accommodation for planning mission, and workshop, meet APEC requirements including prior approval needed for APEC funding.

**Workshop Venue and Accommodation**

2. Manage and co-ordinate all venue and accommodation matters in accordance with APEC requirements and those of the organisers.

**Promotional Strategy**

3. Develop a promotional strategy and compile mailing lists in accordance with APEC requirements and those of the organisers.
4. Upon finalization of program and speakers, arrange design, production and distribution of brochure and other promotional material as required by the organisers and in accordance with the promotional strategy.



### **Workshop Speakers and Presentations**

5. The workshop organiser will liaise with speakers, the organisers and the APEC Secretariat to
  - satisfy all APEC requirements regarding the contracting, authorization and funding approval of travel and accommodation for presenters at the workshop
  - determine and manage in conjunction with the APEC Secretariat, travel accommodation and audio visual requirements for presenters
  - secure papers by the stated deadline
  - secure biographical details for inclusion in the Workshop folder
6. Collation of speakers' papers and other documentation for inclusion in delegate kits.

### **The Workshop (no. of days)**

7. The workshop organiser will work to the project overseer in managing all administrative, logistical and technical issues associated with presenting a successful APEC seminar in ..... Associated functions include but are not limited to managing and maintaining a workshop office at the venue, a workshop registration desk, technical support for presenters, ongoing co-ordination and management of workshop sessions and other workshop activities.
8. The workshop organiser will put together a team of people, at own expense unless otherwise detailed in the itemised budget for the workshop, to provide the necessary support, noting that the project overseer may only provide limited or ad hoc administrative support.
9. The workshop organiser will plan the workshop on the basis of a two day seminar or conference sessions for up to around 125 free participants from APEC economies, with an official reception on the first evening and a technical tour prior to or after the formal sessions.
10. The workshop organiser will be responsive to the reasonable needs of organisers, presenters and participants that may arise during the workshop.

### **Official Reception and Technical Tour**

11. The approved budget from APEC does not cover a reception or technical tour. The workshop organiser will need to work with the project overseer and other organisers in seeking funding and logistical support from ..... for a reception and technical tour.

### **Workshop Evaluation**

12. Co-ordinate the printing, distribution and collection of evaluation forms for the Workshop and provide the organisers with a summary of responses from evaluation forms and other appropriate sources

### **Workshop Proceedings**

13. Arrange and co-ordinate the printing and distribution and/or electronic publication of proceedings and other records in accordance with the APEC Publication Policy and the arrangements approved by the APEC Secretariat. The printing and distribution costs will be covered by the APEC Secretariat separately, subject to prior approved by the APEC Secretariat. The number of copies to be printed should be sufficient to meet the following requirements: all workshop

Approved by BMC, Aug 2005  
Approved by SOM3, Sep 2005  
Endorsed by AMM, Nov 2005

**Annex H**  
Page 16 of 31

participants - one copy each, (lists to be provided) - 2 copies each. In addition electronic version of the proceedings should be sent to APEC Secretariat.

**Budget and APEC Requirements**

14. Work with the Project Overseer to manage the budget, maintain financial records and process payments for the workshop in accordance with the itemised budget approved by the APEC Secretariat. The Conference Organiser will need to pay particular attention in ensuring all expenditure to be reimbursed by the APEC Secretariat is completed, lodged and finalised with the APEC Secretariat by ....
15. Be fully conversant with and apply in co-operation with the project overseer, APEC financial and other requirements for projects of this nature.
16. The workshop organiser will maintain properly constituted records and audited accounts governing sponsorship, fees and monies received through them such as for accommodation bookings, and for monies paid out.
17. Keep the Project Overseer fully informed and be available to meet with the Project Overseer or his or her representative as required to address planning issues.

**Financial Sponsorship**

18. The workshop organiser will endeavour to secure private commercial sponsorship to the extent necessary to supplement the approved APEC budget or to cover expenses not covered by the itemised budget. Expenses to be covered by sponsorship are to be agreed with the project overseer. Commercial sponsorship can be publicised and acknowledged in material and notices associated with the workshop in accordance with APEC requirements.
19. The workshop organiser can charge a commission of up to 50% of funds provided through commercial sponsorship they organize.
20. These sponsorship arrangements do not cover support from any Government authorities for the reception and technical tour. If commercial sponsorship is required for these events, the rate of commission to the workshop organiser will need to be individually negotiated to reflect support from other organisers, but will not exceed 50% of the funds raised.
21. The workshop is free to members from APEC economies and participants from APEC economies have first access to available places.

**Planning Schedule:**

The workshop organiser will work to the following schedule of planning tasks. Its format relates to the number of weeks prior to the workshop.

Weeks from Official Notification  
 from .....supporting the workshop  
 (date)

Task

|      |                                                       |
|------|-------------------------------------------------------|
| one  | APEC Secretariat signing contract with the contractor |
| two  | Commence arrangements for planning visits             |
| four | Planning visit to venue                               |

Weeks to Workshop  
 (Week of date)

Task

|       |                                                                            |
|-------|----------------------------------------------------------------------------|
| eight | finalize workshop program, topics and speakers                             |
| eight | compile mailing/invitation lists                                           |
| seven | finalize design of invitation or flyer and submit to printer               |
| six   | dispatch invitations/flyer                                                 |
| six   | finalize requirements for conference documentation                         |
| six   | finalize requirements for banners and other display items                  |
| three | coordinate receipt of speakers' papers and other documentation for copying |
| one   | ship all documentation, display and other material to venue                |

Weeks after Workshop

Tasks

|            |                                                                                                                             |
|------------|-----------------------------------------------------------------------------------------------------------------------------|
| One        | Analyze completed evaluation forms<br>Collate papers/presentations for publication<br>Process outstanding workshop expenses |
| Two        | Papers to go to publication as workshop proceedings                                                                         |
| Three/four | Distribute proceedings (both hard and soft copies)                                                                          |
| Four/Five  | Process printing and distribution costs<br>Finalize reconciliation of workshops budgets                                     |

**Length of Contract:**

mm yyyy to mm yyyy

**Terms of Payment:**

A total of US\$xx will be paid for the contracted tasks listed in this TOR including its attachment. This amount is inclusive of any Goods and Services Tax (GST).

The cost of return economy class airfare from ..... to ....., per diem (including accommodation), and incidentals to attend the planning mission and the workshop (one person only from the contracting company) will be reimbursed by APEC, subject to compliance with the relevant APEC guidelines. An undertaking needs to be signed before each trip.

**Payment Schedule:**

\*\*\*\*\*

\*\*\*\*\* SAMPLE \*\*\*\*\*

### Conditions of this Contract

1. APEC PREFERENCE PROGRAM

It is the policy of APEC to award contracts to firms from Member Economies when this can be done consistent with an expectation of efficient performance of the Contract, at prices no higher than are obtainable elsewhere, and which can be done without restricting competition. If subcontractors are used, the Contractor shall use its best efforts to place subcontracts in accordance with this policy.

2. ASSIGNMENT

Assignment of the Contract or any benefit arising thereunder or any interest therein will be grounds for terminating the Contract at the option of the APEC Secretariat.

3. CHANGES TO SCOPE OF CONTRACT

The terms of the Contract may be varied only by written agreement between the APEC Secretariat and the Contractor.

4. CONTRACTOR LIABILITY FOR PERSONAL INJURY AND/OR PROPERTY DAMAGE

The Contractor indemnifies and holds harmless the APEC Secretariat for loss or damage or injury suffered by any person, however and wherever caused, by the Contractor, its employees, agents and contractors during the performance of the Contract.

5. DEFAULT

5.1. In the event of a Default by the Contractor, the APEC Secretariat shall write to the Contractor setting out the Default. If the Contractor fails to remedy the Default within the time specified in writing by the APEC Secretariat, the APEC Secretariat may forthwith terminate the Contract without prejudice to the rights of any parties accrued to the date of termination.

5.2. A Default means any breach of a condition of the Contract or any substantial breach of a warranty in the Contract, including, but not limited to:

- (a) failure to perform the Contract within the agreed time, or
- (b) failure to deliver equipment of adequate capability, quality or reliability.

6. DISPUTES

In the event of any dispute concerning the meaning to be given to any term in the Contract, a determination by the APEC Secretariat in writing as to the meaning shall be final and conclusive.

7. EXAMINATION OF RECORDS

The APEC Secretariat, or its designated representative, shall have access to the Contractor's directly relevant books, documents, papers, and other records involving transactions related to the Contract. This access shall commence from the date of signing of the Contract and shall continue for a period of 3 years following the completion of the Contract.

8. RIGHTS IN DATA - GENERAL

The APEC Secretariat shall be deemed the owner of, and shall be deemed to have full rights (including copyright) in all data, regardless of form, format, or media, resulting from performance of the Contract, all data regardless of form, format, or media, used in performing the Contract; all data delivered under the Contract constituting manuals or instructional and training material; all processes delivered or furnished for use under the Contract; and all other data delivered under the Contract.

Subject to the prior written approval of the Executive Director of the APEC Secretariat ("the Executive Director"), the Contractor may have the right to use, release to others, reproduce, distribute, or publish any data first produced or specifically used by the Contractor in the performance of the Contract. For example, the information may be used to promote economic development with any benefits accruing to the originator.

The APEC Secretariat may deliver to the Contractor data necessary for the performance of the Contract. Title to APEC Secretariat furnished data remains with the Secretariat. The Contractor must use any data which it receives from the APEC Secretariat only in connection with the Contract.

To the extent it receives or is given access to data necessary for the performance of the Contract which contains restrictive markings, the Contractor shall treat the data in accordance with such markings unless otherwise specifically authorized in writing by the Executive Director.

The Contractor shall not disclose any information received or generated under the Contract, unless its release is approved in writing by the Executive Director and shall assert any privilege allowed by law to defend vigorously the APEC Secretariat's rights to confidentiality.

9. SUSPENSION OF WORK

The Executive Director may, at any time, by written order to the Contractor, suspend all, or any part, of the work, if any, being carried out by the Contractors, its officers, employees, agents or subcontractors, for a period of up to 90 days after the order is delivered to the Contractor, and for any further period as the circumstances may require at the discretion of the Executive Director. Upon receipt of the order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the costs incurred by the stoppage relevant to the work covered by the order. Any associated adjustment to the Contract price and/or time for completion will be negotiated between the Executive Director and the Contractor.

10. TERMINATION FOR CONVENIENCE OF THE SECRETARIAT

The Executive Director, by written notice and without giving any reasons therefor, may terminate this Contract, in whole or in part as he sees fit by issuing a Notice of Termination. If this Contract is terminated, the rights, duties, and obligations of the parties, including compensation to the Contractor, shall be negotiated between the Executive Director and the Contractor, but in no event shall it exceed the total value of the Contract.

After receipt of a Notice of Termination and except as directed by the Executive Director, the Contractor shall immediately stop work as specified in the notice.

After termination, the Contractor shall submit a final termination settlement proposal to the Executive Director in the form and with the certification prescribed by the Executive Director. If the Contractor fails to submit the termination settlement proposal within the time allowed, the Executive Director may determine, on the basis of information available, the amount, if any, due to the Contractor because of the termination and shall pay the amount so determined.

11. LANGUAGE

All drawings, documents, information, correspondence, test reports and such like items shall be in the English language.

\* \* \* \* \*



\*\*\*\*\* **SAMPLE** \*\*\*\*\*

## **Request for Proposals**

### **Asia-Pacific Economic Cooperation (APEC) Energy Working Group**

#### ***Project Title (Project No.)***

This request for proposals is for a consultancy to undertake the following:

- 1 prepare a Training Manual for APEC Energy Regulators based on information on how financial institutions, insurers and energy developers assess risk in energy infrastructure projects in general and in the 21 APEC economies in particular
- 2 design and deliver a two-day Workshop on ... to an audience consisting primarily of ..
- 3 publish (consistent with APEC publication policy) and distribute ... copies of the Training Manual and any additional Workshop papers to Workshop participants and others as listed under "Duties of Consultant"
- 4 provide an electronic copy of the above publications to the APEC Secretariat for dissemination via the APEC Website.

#### **Objective of the project**

To improve APEC energy regulators' understanding of how financial institutions, insurers and energy project developers assess investment risks in energy infrastructure projects. It is expected that making such information available to energy regulators would improve APEC energy regulators' understanding ... Estimates are that hundreds of millions of dollars of investment will be required for energy power infrastructure in APEC economies over the next decade.

#### **Background**

##### APEC Energy Working Group

The Energy Working Group (EWG), one of nine working groups of the Asia-Pacific Economic Cooperation (APEC) forum, was launched in 1990. Its goal is to ... The EWG develops policies ...

##### APEC Energy Ministers

APEC Energy Ministers have met three times to endorse work done by the EWG and also direct future work of the Group. In their Declaration at Okinawa in October 1998,

*"Ministers recognised....."*

##### *Rationale for this project*

Following instructions from APEC Energy Ministers in Okinawa, the APEC-PECC Workshop to Improve Investor Confidence and Capital Mobilization in APEC's Energy Sector was held in ... in ...

One of the recommendations by the Workshop ... The EWG endorsed this recommendation at their meeting in ... and proposed Project ... as one of the priorities for APEC funding in...

### **Scope of Work**

The main output of this project will be a Training Manual to improve...

The scope of the project should include:

- The compilation and publication of information in the form of a Training Manual by ... on tools and methods used by the private sector ... for risk assessment of energy infrastructure projects in general and in the 21 APEC economies in particular,
- Design and deliver a two-day Workshop (venue and location to be determined) prior to the EWG meeting in ... , to train and communicate the above information to an audience consisting ... taking a leading role in the structure and execution of the workshop,
- Publish (consistent with APEC publication policy) and circulate ... copies of the Training Manual to participants prior to Workshop and ... copies of the Training Manual together with any additional workshop papers to others listed under "Duties of Consultant" by ...
- Provide an electronic version of the above publications by end ... to the APEC and EWG Secretariats for dissemination via the APEC and EWG Websites.

### **Duties of Consultant**

In consultation with the EWG (through the EWG Secretariat), the successful tenderer will:

- Compile and publish (consistent with APEC publication policy) a Training Manual based on tools and methods used by the private sector for general and economy specific risk assessment of energy infrastructure and circulate ... copies to workshop participants prior to the Workshop.
- Develop an agenda in consultation with the EWG Secretariat and nominate a panel of speakers representing ... to address the two-day Workshop for an audience consisting primarily of APEC energy regulators.
- Deliver a two-day Workshop to present ...
- Distribute (by airmail and/or courier) ... copies of the Training Manual and any additional Workshop papers to;
  - 21 EWG contact points (... copies each),
  - the EWG Secretariat (...copies),
  - the ASEAN Secretariat, PECC Energy Forum & South Pacific Forum (... copies each),
  - relevant business and international organizations (... copies),
  - APEC Secretariat (... copies).
- Produce an electronic version of the above document for dissemination via the APEC and EWG Websites.

### **Timetable & Deliverables**

The proposed timetable for the completion of each stage of the project is as follows:

- |    |                                                                                                                                                                       |         |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| 1. | Deadline for submission of proposals to the Project Overseer;                                                                                                         | Mm yyyy |
| 2. | Proposal evaluation and bid selection by a steering committee of representatives from APEC Member Economies;                                                          | Mm yyyy |
| 3. | Negotiation of contract details between the APEC Secretariat and the successful tenderer;                                                                             | Mm yyyy |
| 4. | Collation of information on private sector tools and methods for investment risk assessment by the private sector and publication of the Training Manual;             | Mm yyyy |
| 5. | Organization of workshop;                                                                                                                                             | Mm yyyy |
| 6. | Circulation of Training Manual to APEC Energy Regulators;                                                                                                             | Mm yyyy |
| 7. | Execution of Workshop;                                                                                                                                                | Mm yyyy |
| 8. | Distribute (by airmail and/or courier) ..... copies of the Training Manual the information gathered on investment risk assessment and any additional Workshop papers; | Mm yyyy |
| 9. | Produce an electronic version of the above document for dissemination via the APEC and EWG Websites.                                                                  |         |

### **Qualifications of Consultant**

Consultants wishing to tender for this project should present a proposal to the Project Overseer by close of business (*date*). This proposal should address the following criteria (given in order of priority from highest to lowest):

The consultant will need to supply evidence of the ability and experience to undertake the specified objectives/duties in this Request for Proposal, including:

- evidence of a breadth and depth of knowledge of information on tools and methods used for project-specific and economy-specific risk assessment by private sector investors including financial institutions, insurers and energy developers in energy infrastructure projects;
- demonstrated experience and expertise in undertaking consultancy studies/economic research and conducting workshops in the energy/power sectors of APEC Member Economies;
- an outline of the approach to the task and the methodologies to be applied. These should demonstrate that the consultant has a clear understanding of the consultancy;
- evidence of the capacity to deliver high quality products on time and within budget;
- evidence of international networking capacity within APEC member economies.

## **Budget**

A budget of up to US\$..... is available for this consultancy to complete the following tasks:

- compile and publish (consistent with APEC publication policy) a Training Manual of the tools and methods used by the private sector for risk assessment of energy infrastructure projects in general as well as the 21 APEC economies in particular;
- design and delivery of a two-day Workshop to present the information to an audience consisting primarily of APEC energy regulators;
- circulate ..... copies of the Training Manual to Workshop Participants prior to the Workshop;
- circulate by airmail or by courier of ..... copies of the Training Manual on investment risk assessment, and any additional Workshop papers and others as listed under "Duties of Consultant" and
- provide an electronic version of the above documents for dissemination via the APEC and EWG Websites.

The consultant is required to prepare a detailed itemised budget in submitting their proposal, including a specification of:

- consultancy fees and administrative support charges, with unit cost and the number of hours/days proposed to be devoted to the project;
- publishing costs and other administrative costs associated with the project, such as postage and communication.
- Travel expenses (included in the available budget) for the contractor to attend the Workshop will be reimbursed by the APEC Secretariat, subject to signing of a separate undertaking by the traveller prior to the Workshop and in line with APEC travel regulations.

## **Submission of Proposals**

The Bidder shall lodge one original and three copies of its detailed Proposal. An electronic version should also be submitted at the same time. Decisions will be taken on the basis of the original hard copy written Proposal. In the event of any discrepancy between the original and copy thereof, information contained in the original shall be accepted as correct and shall prevail over any statements contained in the copies. Proposals shall be enclosed in a sealed envelope or package, clearly labelled and lodged via registered mail or courier *by .....on ..... (the "Closing Time")* at the following address -

|                                                                                                                                                                                                                                                                                                                                     |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Attention: <i>Name</i><br/><i>Designation</i><br/><i>Address</i><br/><i>e-mail address</i><br/>(TENDER: <i>Project No.</i>)</p> <p><i>Note: Details of Project Overseer (contract value less than or equal to US\$50,000) or Director (Program) of APEC Secretariat (contract value more than US\$50,000) to be inserted</i></p> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

**Proposals lodged in any manner other than as detailed in this paragraph shall be deemed to be invalid and will be excluded from consideration.**

### CONTRACT

If the Proposal of the Bidder is accepted by the APEC Secretariat, the Bidder shall execute a contract in a standard form ("the Contract") within the time period specified by the APEC Secretariat.

### ACCEPTANCE OF PROPOSALS

The APEC Secretariat reserves the right to accept any or no Proposal, or any part of parts of a proposal, at its sole discretion.

### ADDENDA TO REQUEST FOR PROPOSALS

The APEC Secretariat may, at its sole discretion, vary the Request for Proposals before the Closing Time.

## **Conditions of this Request for Proposals**

### 1. APEC PREFERENCE PROGRAM

It is the policy of APEC to award contracts to firms from Member Economies when this can be done consistent with an expectation of efficient performance of the Contract, at prices no higher than are obtainable elsewhere, and which can be done without restricting competition. If

Approved by BMC, Aug 2005  
Approved by SOM3, Sep 2005  
Endorsed by AMM, Nov 2005

**Annex H**  
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subcontractors are used, the Contractor shall use its best efforts to place subcontracts in accordance with this policy.

2. ASSIGNMENT

Assignment of the Contract or any benefit arising thereunder or any interest therein will be grounds for terminating the Contract at the option of the APEC Secretariat.

3. CHANGES TO SCOPE OF CONTRACT

The terms of the Contract may be varied only by written agreement between the APEC Secretariat and the Contractor.

4. CONTRACTOR LIABILITY FOR PERSONAL INJURY AND/OR PROPERTY DAMAGE

The Contractor indemnifies and holds harmless the APEC Secretariat for loss or damage or injury suffered by any person, however and wherever caused, by the Contractor, its employees, agents and contractors during the performance of the Contract.

5. DEFAULT

5.1. In the event of a Default by the Contractor, the APEC Secretariat shall write to the Contractor setting out the Default. If the Contractor fails to remedy the Default within the time specified in writing by the APEC Secretariat, the APEC Secretariat may forthwith terminate the Contract without prejudice to the rights of any parties accrued to the date of termination.

5.2. A Default means any breach of a condition of the Contract or any substantial breach of a warranty in the Contract, including, but not limited to:

- (a) failure to perform the Contract within the agreed time, or
- (b) failure to deliver equipment of adequate capability, quality or reliability.

6. DISPUTES

In the event of any dispute concerning the meaning to be given to any term in the Contract, a determination by the APEC Secretariat in writing as to the meaning shall be final and conclusive.

7. EXAMINATION OF RECORDS

The APEC Secretariat, or its designated representative, shall have access to the Contractor's directly relevant books, documents, papers, and other records involving transactions related to the Contract. This access shall commence from the date of signing of the Contract and shall continue for a period of 3 years following the completion of the Contract.

8. RIGHTS IN DATA - GENERAL

The APEC Secretariat shall be deemed the owner of, and shall be deemed to have full rights (including copyright) in all data, regardless of form, format, or media, resulting from performance of the Contract, all data regardless of form, format, or media, used in performing the Contract; all data delivered under the Contract constituting manuals or instructional and training material; all processes delivered or furnished for use under the Contract; and all other data delivered under the Contract.

Subject to the prior written approval of the Executive Director of the APEC Secretariat (“the Executive Director”), the Contractor may have the right to use, release to others, reproduce, distribute, or publish any data first produced or specifically used by the Contractor in the performance of the Contract. For example, the information may be used to promote economic development with any benefits accruing to the originator.

The APEC Secretariat may deliver to the Contractor data necessary for the performance of the Contract. Title to APEC Secretariat furnished data remains with the Secretariat. The Contractor must use any data which it receives from the APEC Secretariat only in connection with the Contract.

To the extent it receives or is given access to data necessary for the performance of the Contract which contains restrictive markings, the Contractor shall treat the data in accordance with such markings unless otherwise specifically authorized in writing by the Executive Director.

The Contractor shall not disclose any information received or generated under the Contract, unless its release is approved in writing by the Executive Director and shall assert any privilege allowed by law to defend vigorously the APEC Secretariat’s rights to confidentiality.

9. SUSPENSION OF WORK

The Executive Director may, at any time, by written order to the Contractor, suspend all, or any part, of the work, if any, being carried out by the Contractors, its officers, employees, agents or subcontractors, for a period of up to 90 days after the order is delivered to the Contractor, and for any further period as the circumstances may require at the discretion of the Executive Director. Upon receipt of the order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the costs incurred by the stoppage relevant to the work covered by the order. Any associated adjustment to the Contract price and/or time for completion will be negotiated between the Executive Director and the Contractor.

10. TERMINATION FOR CONVENIENCE OF THE SECRETARIAT

The Executive Director, by written notice and without giving any reasons therefor, may terminate this Contract, in whole or in part as he sees fit by issuing a Notice of Termination. If this Contract is terminated, the rights, duties, and obligations of the parties, including compensation to the Contractor, shall be negotiated between the Executive Director and the Contractor, but in no event shall it exceed the total value of the Contract.

After receipt of a Notice of Termination and except as directed by the Executive Director, the Contractor shall immediately stop work as specified in the notice.

After termination, the Contractor shall submit a final termination settlement proposal to the Executive Director in the form and with the certification prescribed by the Executive Director. If the Contractor fails to submit the termination settlement proposal within the time allowed, the Executive Director may determine, on the basis of information available, the amount, if any, due to the Contractor because of the termination and shall pay the amount so determined.

11. LANGUAGE

All drawings, documents, information, correspondence, test reports and such like items shall be in the English language.



**Per Diem Form & Project Overseer's Certification**

**Project No.** : \_\_\_\_\_  
**Name of Meeting/Workshop/Seminar** : \_\_\_\_\_  
**Date** *(excluding arrival & departure day)* : \_\_\_\_\_  
**Venue city & Economy** : \_\_\_\_\_

|    | Name of Experts/Participants | Arrival Date | ATTENDANCE (please tick ✓) |        |        |        |        |        | Signature of Experts/Participants |
|----|------------------------------|--------------|----------------------------|--------|--------|--------|--------|--------|-----------------------------------|
|    |                              |              | Day 1                      | Day 2  | Day 3  | Day 4  | Day 5  | Day 6  |                                   |
|    |                              |              | (date)                     | (date) | (date) | (date) | (date) | (date) |                                   |
| 1. |                              |              |                            |        |        |        |        |        |                                   |
| 2. |                              |              |                            |        |        |        |        |        |                                   |
| 3. |                              |              |                            |        |        |        |        |        |                                   |
| 4. |                              |              |                            |        |        |        |        |        |                                   |

**I hereby certify that the above experts/participants attended the above-mentioned meeting according to the signed schedule above and are entitled to receive per diems for their participation.**

Signature of Project Overseer : \_\_\_\_\_  
 Name of Project Overseer : \_\_\_\_\_  
 Date : \_\_\_\_\_

**Annex I**

**Guide on Gender Criteria  
for APEC Project Proposals**

**CONTENTS**

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

**1. WHY ARE THERE GENDER CRITERIA?**

---

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

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

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

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

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

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

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

---

APEC project proposals contain two questions on gender considerations – questions 13 and 14.

**Question 13 asks: What steps does this project take to ensure that it benefits both men and women, and in particular does not disadvantage women?**

**What?** To demonstrate your project will benefit women, and in particular will not disadvantage women, you need to describe:

- what you are doing to include women and women's perspectives in the design, implementation and evaluation of your project.

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

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

**Question 14: Show how the objectives of the project provide benefits for both women and men.**

**What?** 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?
- 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?**

---

The Project Assessment Panel assesses the gender criteria on a scale of 1 – 3 (1 for a poor quality response, and 3 for a good quality response).

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

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

#### 4. FREQUENTLY ASKED QUESTIONS

---

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

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

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

**Are you sure?** Have you investigated fully whether there benefits for women in the objectives of your project or whether there is a simple way that your project could benefit women? You should check with your gender focal point before you submit your proposal (see section 6 below for details).

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

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

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

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

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

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

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

---

**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?

---

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

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

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

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

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

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

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

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

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

## GLOSSARY OF TERMS

|                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|--------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>sex</b>                                                   | identifies the biological differences between men and women                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>gender</b>                                                | identifies the social relations between men and women<br>It refers to the relationship between men and women and how this is socially constructed.<br>Gender roles are dynamic and change over time.                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>gender analysis</b>                                       | the methodology for collecting and processing information about gender.<br>It provides disaggregated data by sex, and an understanding of the social construction of gender roles, how labour is divided and valued. Gender analysis is the process of analysing information in order to ensure development benefits and resources are effectively and equitably targeted to both women and men. It is also used to anticipate and avoid any negative impacts development may have on women or on gender relations. Gender analysis is conducted through a variety of tools and frameworks. |
| <b>gender awareness</b>                                      | 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.<br>This awareness needs to be applied through gender analysis into projects, programmes and policies.                                                                                                                                                                                                                                                                                                         |
| <b>gender-disaggregated data (or sex-disaggregated-data)</b> | data that show the differences between the situations of women and men, girls and boys. Gender-disaggregated data are necessary for good gender analysis.                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>gender division of labour</b>                             | 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.                                                                                                                                                                                                                                                                                                           |
| <b>gender equality</b>                                       | 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.                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>gender equity</b>                                         | fairness and justice in the distribution and outcomes of benefits and responsibilities between women and men.<br>Women-specific programmes and policies are often required to correct existing inequalities.                                                                                                                                                                                                                                                                                                                                                                                |
| <b>gender mainstreaming</b>                                  | 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.                                                                                                                                                                                                                                                                                                                                                            |
| <b>gender neutral</b>                                        | can only be determined after a rigorous gender analysis has taken place and the economic, social and demographic impacts on women and on men have been undertaken and it can be determined both quantifiably and qualitatively that the impact of any measure is the same.                                                                                                                                                                                                                                                                                                                  |
| <b>gender planning (or gender sensitive planning)</b>        | the process of planning development programs and projects that are gender sensitive and which take into account the impact of gender roles and gender needs of women and men in the target community or sector.                                                                                                                                                                                                                                                                                                                                                                             |
| <b>gender responsive budget</b>                              | an application of gender mainstreaming in the budgetary process.<br>It means a gender-based assessment of budgets, incorporating a gender perspective at all levels of the budgetary process and restructuring revenues and expenditures in order to promote gender equality.                                                                                                                                                                                                                                                                                                               |
| <b>gender roles</b>                                          | learned behaviours in a given society/community that condition which activities, tasks or responsibilities are perceived as male and female. Gender roles are changeable, and are affected by age, class, race, ethnicity, religion, and by the geographical, economic and political environment.<br>Both women and men play multiple roles in society. Women often have reproductive, productive and community managing roles. Men focus more on productive roles and community politics.                                                                                                  |

|                                                           |                                                                                                                                                                                                                                                    |
|-----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>gender-sensitive (or gender-responsive)</b>            | addressing the different situations, roles, needs, and interests of women, men, girls, and boys.                                                                                                                                                   |
| <b>productive roles</b>                                   | 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. |
| <b>reproductive roles</b>                                 | activities needed to ensure the reproduction of the society's labour force. This includes child bearing, child rearing, care for family members such as elderly, children, and workers. These tasks are unpaid and mostly done by women.           |
| <b>occupational segregation (vertical and horizontal)</b> | 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.                                    |
| <b>triple burden</b>                                      | 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.                                                      |