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THIS ACTION IS FUNDED BY THE EUROPEAN UNION

ANNEX VI

to the Commission Implementing Decision on the financing of the multiannual action plan in favour of Asia-Pacific for 2024-2025 covering ASEAN, and migration, forced displacement and mobility

Action Document for the “EU-ASEAN Strategic Partnership Dialogue Facility”

MULTIANNUAL PLAN

This document constitutes the annual work programme within the meaning of Article 110(2) of the Financial Regulation, within the meaning of Article 23 of the NDICI-Global Europe Regulation.

1 SYNOPSIS

1.1 Action Summary Table

1. Title CRIS/OPSYS business reference Basic Act	EU-ASEAN Strategic Partnership Dialogue Facility OPSYS number: ACT-62709 Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)
2. Team Europe Initiative	No
3. Zone benefiting from the action	The action shall be carried out in the member countries of the Association of Southeast Asian Nations (ASEAN) and countries which have observer status in ASEAN as well as in the Member States of the European Union. In accordance with Article 43(1) of the NDICI Regulation and in duly justified cases, activities within the objective of the action may also exceptionally take place in other countries (e. g. as triangular cooperation).
4. Programming document	Asia and the Pacific Regional Multi-Annual Indicative Programme 2021-2027
5. Link with relevant MIP(s) objectives / expected results	Priority Area 1.3: Regional Integration and Cooperation South East Asia and ASEAN (Association of Southeast Asian Nations): <ul style="list-style-type: none">- Sector 1: Implementation of the EU-ASEAN Strategic Partnership - Policy dialogue and cooperation; Responding to Global Challenges and building back better; Regional integration<ul style="list-style-type: none">o Specific Objective 1 (SO 1): Providing a platform for continuing and enhancing EU-ASEAN policy dialogues and exchanges of experience in a number of areas, including the ASEAN-EU Dialogue in Science and Technology; and providing support where needed and requested for capacity and institutional strengthening initiatives.o Specific Objective 2 (SO 2): Enhanced EU-ASEAN cooperation to build the two regions’ resilience and preparedness to respond to global challenges, including security threats and risks in a flexible, forward-looking and strategic manner.o Specific Objective 3 (SO 3): Contributing to regional integration in South East Asia and good,

	effective and inclusive governance, trade, security, peacebuilding, the protection of human rights and gender equality in line with SDGs 16 and 5, notably the protection of the rights of and promotion of opportunities for women migrant workers in Southeast Asia.				
PRIORITY AREAS AND SECTOR INFORMATION					
6. Priority Area(s), sectors	DAC Code: 998 Unallocated / Unspecified				
7. Sustainable Development Goals (SDGs)	Main SDG (1 only): 17 Other significant SDGs (up to 9) and where appropriate, targets: 1, 5, 8, 10, 16				
8 a) DAC code(s)	43010 Multisector aid – 100%				
8 b) Main Delivery Channel	Private sector in provider country– 61000				
9. Targets	<input type="checkbox"/> Migration <input type="checkbox"/> Climate <input type="checkbox"/> Social inclusion and Human Development <input checked="" type="checkbox"/> Gender <input type="checkbox"/> Biodiversity <input type="checkbox"/> Education <input checked="" type="checkbox"/> Human Rights, Democracy and Governance				
10. Markers (from DAC form)	General policy objective @	Not targeted	Significant objective	Principal objective	
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Aid to environment @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Gender equality and women's and girl's empowerment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
	Reproductive, maternal, new-born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Disaster Risk Reduction @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Inclusion of persons with Disabilities @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
	Nutrition @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	RIO Convention markers	Not targeted	Significant objective	Principal objective	
	Biological diversity @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Combat desertification @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Climate change mitigation @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Climate change adaptation @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	11. Internal markers and Tags:	Policy objectives	Not targeted	Significant objective	Principal objective
		Digitalisation @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>		

	digital connectivity	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	digital governance	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	digital entrepreneurship	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	digital skills/literacy	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	digital services			
	Connectivity @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	digital connectivity	YES	NO	
	energy	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
transport	<input type="checkbox"/>	<input checked="" type="checkbox"/>		
health	<input type="checkbox"/>	<input checked="" type="checkbox"/>		
	education and research	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Policy objectives	Not targeted	Significant objective	Principal objective	
Migration @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Reduction of Inequalities @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Covid-19	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
BUDGET INFORMATION				
12. Amounts concerned	Budget line(s) (article, item): 14.020131 Total estimated cost: EUR 7 000 000.00 Total amount of EU budget contribution (2025): EUR 7 000 000.00			
MANAGEMENT AND IMPLEMENTATION				
13. Type of financing	Direct management through: - Procurement			

1.2 Summary of the Action

The European Union (EU) and the Association of Southeast Asian Nations (ASEAN) have been dialogue partners since 1977. In 2020, the EU and the ASEAN opened a new chapter in their relationship by becoming Strategic Partners. This elevates the partnership with a commitment to regular summits at leaders' level.

The proposed action aims to strengthen the implementation of the EU-ASEAN Strategic Partnership and to position the EU as a partner of reference for ASEAN, contributing to mutual better understanding, impacting the alignment of respective policies. It will contribute to the Regional MIP priority on the "Implementation of the EU-ASEAN Strategic Partnership through a mix of policy dialogues and programmes", including:

- Policy dialogue and cooperation in areas of mutual interests;
- Responding to global challenges and building back better;
- Regional integration.

The Specific Objective of the action is to contribute to the delivery of the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor through support to policy dialogues in a range of sectors and strengthening of capacities of ASEAN institutions, including on gender. This contributes mainly to SDG 17. The Output to be delivered by this action is that resources of this action are mobilised strategically to address delivery gaps in the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor.

By supporting structured dialogues involving relevant Commission services and the EEAS, as well as EU Member States when appropriate, while also providing a flexible tool to support needs related to the implementation of the EU-ASEAN strategic partnership, the action will play a central role in EU cooperation with ASEAN. It will be closely coordinated with other EU actions with ASEAN and focus mainly on areas not covered under the other ASEAN priorities of the regional MIP (sustainable connectivity and the green transition).

1.3 Zone benefitting from the Action

The action shall be carried out in the member countries of the Association of Southeast Asian Nations (ASEAN) and countries which have observer status in ASEAN¹ as well as in the member states of the European Union. The Action is of a global, trans-regional or regional nature, fostering regional cooperation. Due to the project's nature and the importance to ensure extended regional coverage, the eligibility of the action extends exceptionally to the following countries or territories, as their participation constitutes a substantial element to ensure the coherence and effectiveness of Union financing or to foster regional or trans-regional cooperation: Brunei Darussalam, Singapore, EU Member States; and, in accordance with Article 43(1) of the NDICI Regulation, other countries in exceptional and duly justified cases (e. g. as triangular cooperation).

2 RATIONALE

2.1 Context

The Association of Southeast Asian Nations (ASEAN) is an inter-governmental organisation established in 1967 and consists of the following 10 Member States as of May 2024: Brunei Darussalam, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam. Timor-Leste was admitted, in principle, to be the 11th member of ASEAN in November 2022, granting it an observer status and allowing it to participate in all ASEAN meetings including at the Summit plenaries. As per the respective ASEAN Leaders' Statement, all ASEAN Member States and external partners shall fully support Timor-Leste to achieve the milestones identified in the reports of the Fact-Finding Missions conducted by the three ASEAN Community pillars through the provision of capacity building assistance and any other necessary and relevant support for its full membership in ASEAN.

The European Union (EU) became ASEAN's Dialogue Partner in 1977 and it was formally institutionalised following the signing of the ASEAN-European Economic Community Cooperation Agreement in 1980. The adoption of the Nuremberg Declaration on an EU-ASEAN Enhanced Partnership in 2007 was an important milestone in the dialogue relations. The dialogue relation grew with the adoption of the Bandar Seri Begawan Plan of Action to Strengthen the ASEAN-EU Enhanced Partnership (2013-2017) in 2012, which gave a more strategic focus to cooperation at regional cooperation in a wide range of areas – political/security, economic/trade and socio-cultural. The plan was succeeded by the ASEAN-EU Plan of Action 2018-2022. In 2020, ASEAN and the EU became Strategic Partners with their leaders holding the first EU-ASEAN Commemorative Summit in 2022. The Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) guides current actions of the EU with ASEAN in all four community pillars of ASEAN, namely the political and security, economic, socio-cultural, and cross pillar cooperation.

The EU has been supporting the EU-ASEAN Dialogue with two facilities since September 2011. The first one was the Regional EU-ASEAN Dialogue Instrument (READI; EUR 3.2 million) which was implemented until August 2015 and focussed on support to the establishment of an ASEAN Community by drawing on European experience and know-how through sectoral policy dialogue and knowledge development.

It was followed by the Enhanced Regional EU-ASEAN Dialogue Instrument (E-READI; EUR 18.9 million) which began in September 2017 and runs until December 2025. While READI worked in 10 areas (Information and Communication Technology – ICT, Energy, Science and Technology, Disaster Management, Education, Human

¹ Considering ASEAN Leaders' in-principle decision of November 2022 to admit Timor-Leste to be the 11th member of ASEAN, selected activities as appropriate may be carried out in Timor-Leste in consultation with ASEAN and with the agreement of the competent Timorese authorities.

Rights, Capacity Building for EU-ASEAN Cooperation, Climate Change, Maritime Cooperation, Election Observation), E-READI initially targeted 5 broad areas (Trade and Economic, Environment and Climate Change, Human Rights and Gender Equity, Science and Research, Cross-Sectorial Coordination Policy Dialogue), and eventually supported 34 sectorial dialogue areas across all four pillars of ASEAN by the end of 2023. A Mid-Term Evaluation conducted from July 2022 to May 2023 highlighted that, amongst the dialogues, almost all are geared to support the enhancement of the EU-ASEAN partnership and to learn the best practices and know-how from the EU. For example, the dialogue on trade matters has been intended to support the EU-ASEAN regional free trade agreement (FTA) negotiations. Similarly, the study on trade and sustainable development highlighted the key provisions of the sustainable development chapters of selected free trade agreements (for example, EU – Viet Nam FTA, the Comprehensive and Progressive Agreement for Trans-Pacific Partnership – CPTPP) about the labour and environment commitments included in those trade agreements, which has been instrumental in the light of other bilateral FTA negotiations. The Mid-Term Evaluation also noted that the partnership between EU and ASEAN has been enhanced through the support to some of the EU-ASEAN dialogues, particularly with the participation of some high-profiled officials from the EU and ASEAN in those dialogues and activities under E-READI. Nevertheless, the Mid-Term Evaluation concluded that support to dialogues could be more focused and more strategic to support fewer, but more in-depth ones during the remaining period of the E-READI operation. A broad consultation on the planning for the no-additional cost extension period of 2024 and 2025 brought down the number of sectorial dialogue areas to be supported in 2024 and 2025 to 27.

The intention to focus on most strategic areas, where there is sufficient interest and resources for EU's engagement, and which best complement other EU actions, also fed into the design of this action. The action is designed in a way that it can serve all four pillars of ASEAN, hence the political and security, economic, socio-cultural, and cross pillar cooperation, which is a prerequisite for a tool to support the implementation of the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor.

2.2 Problem Analysis

The Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) includes 47 action lines under the political and security cooperation, 48 under the economic cooperation, 51 under the socio-cultural cooperation, and 15 under the cross pillar cooperation, totalling in 161 action lines.

The mentioned Plan of Action (PoA) is ambitious and complex. Its implementation receives close scrutiny from ASEAN Member States and is tracked at least annually in an implementation matrix. This process involves a wide range of stakeholders on the EU and ASEAN sides, including EU and ASEAN institutions staff dealing with subject-matters and staff working on EU-ASEAN relations.

On both the EU and the ASEAN side, identifying and mobilising experts dealing with relevant policy areas can be challenging. While the Delegation of the European Union to ASEAN has a key role to play here, the mobilisation of a team of experts at the ASEAN Secretariat that can help in liaising and building networks is crucial. This has been one of the functions of the Enhanced Regional EU-ASEAN Dialogue Instrument (E-READI) which has proven to be a cornerstone of the EU-ASEAN cooperation since September 2017, supporting EU-ASEAN dialogue actions in up to 34 different thematic areas.

The limited availability of EU institutions staff to engage in all relevant policy dialogues with ASEAN also make the implementation of the ambitious PoA dependant on complementary human resources from EU Member States and, in particular, contracted as in the case of E-READI. The costs of international travels and constraints with budget for missions also result in limited opportunities for person-to-person dialogues, depriving participants of the opportunities of informal meetings and talks on the side of formal physical meetings. While this constraint cannot be fully addressed, an action providing resources to mobilise EU expertise and facilitate dialogues will contribute to transform the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor into tangible success can mitigate negative effects partly. The action could facilitate more thorough needs assessments, develop studies, arrange seminars, workshops and meetings to exchange knowledge or participate in such, as well as build more dialogue capacity, to mention a few possible activities.

Identification of main stakeholders and corresponding institutional and/or organisational issues (mandates, potential roles, and capacities) to be covered by the action:

- **ASEAN Secretariat (relevant Divisions), ASEAN Working Groups:** Within their mandate to further integration and development, deepen regional harmonisation and cooperation, and implement regional policy commitments (e. g. blue prints), the ASEAN Secretariat and ASEAN Working Groups are expected to be providers and recipients of experience regarding regional integration.
- **European Commission (relevant Directorate-Generals), European External Action Service (relevant Divisions), European Parliament (relevant Committees), Council of the European Union (relevant DGs/Working Parties):** These institutions and bodies address common interests of the European Union and its people and are expected to be providers and recipients of experience regarding regional integration.
- **ASEAN National Secretariats, Ministries in ASEAN Member States:** ASEAN National Secretariats, and Ministries/Departments in ASEAN Member States involve relevant sectors and are in charge of the shaping and implementation of the regional agenda. As such, they are expected to be providers and recipients of experience regarding regional integration. Awareness about regional commitments as well as knowledge about and willingness to address technical sectoral issues and gaps are key to mobilise their capacities.
- **Ministries in EU Member States:** Ministries in EU Member States involve relevant sectors and are in charge of implementing, but also shaping the regional agenda. They are expected to be providers and recipients of experience regarding regional integration. Awareness about regional commitments as well as knowledge about and willingness to address technical sectoral issues and gaps are key to mobilise their capacities.
- **Private sector, civil society organisations including think-tanks, and academic sector in ASEAN Member States or EU Member States:** These stakeholders are expected to provide resource persons that contribute to participatory, inclusive and representative policy drafting processes that will strengthen the quality and sustainability of policies. Particular attention will be given to representatives of youth, women, persons with disabilities and human rights activists.
- **Media in ASEAN Member States and EU Member States:** The media is expected to facilitate communication with and understanding by stakeholders about regional integration policies.

3 DESCRIPTION OF THE ACTION

3.1 Objectives and Expected Outputs

The Overall Objective of this action is to strengthen the implementation of the EU-ASEAN Strategic Partnership and to position the EU as a partner of reference for ASEAN, contributing to mutual understanding, impacting the convergence/approximation/alignment of respective policies in key focus areas of dialogue, cooperation, and mutual interests.

The Specific Objective of this action is to contribute to the delivery of the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor through support to policy dialogues in a range of focal sectors of mutual interest and institutional cooperation, strengthening exchanges and building thematic networks on sectoral policies of capacities of ASEAN institutions, including on gender.

The Enhanced Regional EU-ASEAN Dialogue Instrument (E-READI), which will end in December 2025, has provided constant support to the ASEAN-EU Human Rights Policy Dialogues, including related consultations of civil society organisations. E-READI has brought the Committee of the Permanent Representatives (of the ASEAN Member States to the ASEAN) and the Committee of the Permanent Representatives (of the EU Member States to the EU) closer together too. It is expected that the work plan of the proposed action, mutually agreed by the EU and ASEAN, would carry work in these two thematic areas forward.

The Output to be delivered by this action contributing to the corresponding Specific Objective is:

- 1.1 Resources mobilised strategically to address delivery gaps in the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor.

3.2 Indicative Activities

Activities relating to Output 1.1 will include the following :

- Based on consultations, needs assessments, mutual interests and policy priorities , elaboration of a Work Plan for the implementation of the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor, addressing the key areas under the EU ASEAN four pillars, as appropriate, and with a focused and targeted approach;
- Implement the Work Plan once approved, providing EU policy support and targeted technical assistance in various forms, e. g. studies, exchanges of respective EU-ASEAN countries knowledge/experience/best practices, with/among experts (workshops, seminars, conferences, study tours, etc.), as well as building more dialogue capacity at the different EU-ASEAN instances/thematic groups/networks.

The Work Plan will be developed based on the outcome of consultations between the EU and ASEAN and in the view of addressing joint strategic priorities, building on results achieved with support through the Enhanced Regional EU-ASEAN Dialogue Instrument (E-READI). It will address key priority areas mutually agreed by the EU and ASEAN, based on their political and policy priorities.

However, in principle, sectoral and policy areas already covered under other instruments/programmes/actions (namely the Green and Connectivity packages) will not be part of this assignment.

Therefore, the proposed action should be considered as subsidiary action in the sense that it should only be used when no other action can contribute to the implementation of the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027). In the current setting, it is expected that most support related to the thematic areas of climate action and environment will come from actions under the EU-ASEAN Green Team Europe Initiative, while most support related to connectivity (trade, intellectual property, energy, digital, transport, higher education and investment promotion) will come from actions under the EU's Sustainable Connectivity Package with ASEAN.

3.3 Mainstreaming

Environmental Protection & Climate Change

Outcomes of the SEA screening (relevant for budget support and strategic-level interventions)

The Strategic Environmental Assessment (SEA) screening concluded that no further action was required.

Outcomes of the EIA (Environmental Impact Assessment) screening (relevant for projects and/or specific interventions within a project)

The EIA (Environment Impact Assessment) screening classified the action as Category C (no need for further assessment).

Outcome of the CRA (Climate Risk Assessment) screening (relevant for projects and/or specific interventions within a project)

The Climate Risk Assessment (CRA) screening concluded that this action is no or low risk (no need for further assessment).

Gender equality and empowerment of women and girls

As per the OECD Gender DAC codes identified in section 1.1, this action is labelled as G1. This implies that the action has at least one explicit gender equality objective backed by at least one gender-specific indicator (see Specific Objective / Outcome indicator 1.2). There is no gender analysis on the level of ASEAN. The EU is working on a kind of gender analysis, but focussing on EU-ASEAN priorities to implement the Gender Action Plan (GAP) III. The result should be available in 2025. A work plan to be developed at the beginning of the implementation of this action will build on this result and outline gender actions, key events/dialogues and messages on gender and women's empowerment. The action will contribute to the institutional commitments as outlined in the Gender Action Plan (GAP III) by supporting the work of the EU as a key actor in promoting gender equality and women's empowerment in multilateral fora.

Gender actions will be aligned with the ASEAN Gender Mainstreaming Strategic Framework 2021-2025. More specifically, it will contribute to Goal 2: ASEAN builds its knowledge, technical competence and capacity on gender and inclusion issues.

Human Rights

The Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) includes 6 action lines under the chapter “Promote cooperation on human rights and good governance”:

- a) Enhance the promotion and protection of human rights and fundamental freedoms in accordance with relevant international and regional human rights instruments, to which all ASEAN and EU Member States are parties.
- b) Continue to hold ASEAN-EU Policy Dialogues on Human Rights.
- c) Strengthen the cooperation between ASEAN Intergovernmental Commission on Human Rights (AICHR) and the EU through training, regional dialogues, awareness raising activities, exchange of best practices and other capacity-building initiatives to enhance the promotion and protection of human rights and fundamental freedoms.
- d) Strengthen cooperation between ASEAN and the EU to implement relevant UN conventions and instruments on the promotion and protection of human rights and fundamental freedoms to which all ASEAN Member States are parties, the ASEAN Human Rights Declaration (AHRD) and the Phnom Penh Statement on the Adoption of the AHRD.
- e) Strengthen the cooperation between ASEAN and the EU through sharing of experience, knowledge, and best practices and other capacity building initiatives to promote and support efforts in strengthening democracy, good governance, rule of law and judiciary systems.
- f) Promote further cooperation on combating corruption through, inter alia, encouraging the implementation of the UN Convention Against Corruption. In this respect, also promote the sharing of best practices.

The action is expected to support the EU in these action lines as requested.

The EU will follow and promote the human rights based approach (HRBA) in its dialogues with ASEAN, supported by this action. The HRBA is a methodology that applies five working principles: human rights for all; meaningful and inclusive participation and access to decision-making; non-discrimination and equality; accountability and rule of law for all; and transparency and access to information supported by disaggregated data. The HRBA addresses political sensitive issues that in a significant number of members ASEAN are difficult to promote, for example the rights of LGBTI persons. This proposed action supports dialogues which are an important tool to find feasible, consensual solutions to the problems identified in the area of human rights.

Disability

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D1. This implies that this action has the promotion of social, economic or political inclusion of persons with disabilities and respect for their inherent dignity in line with Article 1 of the Convention on the Rights of Persons with Disabilities (CRPD) as a significant objective and the EU Strategy for the Rights of Persons with Disabilities 2021-2030. Leaving no one behind is important for ASEAN and for the EU and part of the dialogues and exchanges between the EU and ASEAN. Disability, inclusion and participation shall be addressed when addressing human rights. Events (including consultations) organised and communication and information material designed with the support of this action will be accessible and inclusive for persons with disabilities.

Reduction of inequalities

The extent to which the action will contribute to the reduction of inequalities depends on the request from the EU and ASEAN side to support respective topics in the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027).

Democracy

Democracy will be promoted in a suitable manner by the EU in the dialogue with ASEAN, supported by this action.

Conflict sensitivity, peace and resilience

The EU-ASEAN Strategic Partnership enshrines the dialogue on a level playing field, promoting inclusion and peaceful settling of conflicts. The EU's engagement with ASEAN and its Member States will be in line with and adapted to existing EU restrictive measures and EU policies of critical engagement if required (e. g. Myanmar).

Disaster Risk Reduction

This action allows to support the promotion of EU policies on Disaster Risk Reduction, including EU support to the Sendai Framework for Disaster Risk Reduction 2015-2030, in ASEAN.

Other considerations if relevant

This action is a tool to support EU-ASEAN dialogue areas, but the content of the dialogue areas has to come from the EU itself that, in turn, leads best by example. This is not different when it comes to cross-cutting and mainstreaming.

3.4 Risks and Lessons Learnt

Category	Risks	Likelihood (High/ Medium/ Low)	Impact (High/ Medium/ Low)	Mitigating measures
External environment	The development gap deficiencies (regulatory, technical and infrastructural) among ASEAN Member States prevent achieving results at a higher level.	High	Medium	Rules of ASEAN minus X (when not all 10 ASEAN Member States decide to embark in an initiative) might apply; specific support to individual ASEAN Member States might be deployed to close a gap.
People and the organisation	Absorption capacity for knowledge transfer is not similar in chosen areas to allow benefits for all ASEAN Member States.	High	Medium	Request as in-kind contribution the allocation of staff at the ASEAN Secretariat and ASEAN Member States level.
People and the organisation	Conditions (travel and time) are not in place for EU staff (HQ and Delegation) to attend meetings in person.	High	Medium	Activities discussed and planned well in advance with the relevant thematic counterpart in respective EU institutions. Involve EU Member States. Consider virtual attendance as an alternative solution. Aim for the participation of think-tanks.

People and the organisation	Conditions (travel and time) are not in place key population groups such as youth, migrants, women, minorities and persons with disabilities.	Medium	Medium	The action will take active measures to ensure representation of key actors, including support for travel costs and ensuring accessibility of events.
Planning, processes and systems	Wrong/inadequate personnel attends meetings.	Low	Low	Clear identification of the ASEAN official participants in particular. Monitoring of the attendance and report to the respective ASEAN meetings.
Communication and information	Perceptions within ASEAN of EU-driven dialogue.	Low	Low	Clearly link the activities to the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor in combination with suitable communication.

Lessons Learnt:

Virtual attendance in a dialogue facility cannot replace the quality of a physical attendance with allows for informal and personal interaction in a bilateral and informal manner apart from e. g. a presentation in a plenary. Restricted financial and time resources of EU staff are a serious challenge in the implementation of the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor.

3.5 The Intervention Logic

The underlying intervention logic for this action is that if a work plan to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor is elaborated and implemented according to key policies with a focused and targeted approach – providing targeted policy support in various forms, e. g. studies, exchanges with/among experts (workshops, seminars, conferences, study tours, etc.), the resources of this action are mobilised strategically to address areas not yet covered by other programmes. The Output will contribute to the delivery of the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor through support to policy dialogues in a range of selected priority sectors. Under the assumption that the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor continues to be relevant for the EU-ASEAN policy dialogue in a range of sectors, the Outcome will contribute to the Overall Objective to strengthen the implementation of the EU-ASEAN Strategic Partnership and to position the EU as a partner of reference for ASEAN, contributing to mutual understanding, impacting the alignment of respective policies

3.6 Logical Framework Matrix

This indicative logframe constitutes the basis for the monitoring, reporting and evaluation of the intervention.

On the basis of this logframe matrix, a more detailed logframe (or several) may be developed at contracting stage. In case baselines and targets are not available for the action, they should be informed for each indicator at signature of the contract(s) linked to this AD, or in the first progress report at the latest. New columns may be added to set intermediary targets (milestones) for the Output and Outcome indicators whenever it is relevant.

- At inception, the first progress report should include the complete logframe (e.g. including baselines/targets).
- Progress reports should provide an updated logframe with current values for each indicator.
- The final report should enclose the logframe with baseline and final values for each indicator.

The indicative logical framework matrix may evolve during the lifetime of the action depending on the different implementation modalities of this action.

The activities, the expected Outputs and related indicators, targets and baselines included in the logframe matrix may be updated during the implementation of the action, no amendment being required to the Financing Decision.

PROJECT MODALITY (3 levels of results / indicators / Source of Data / Assumptions - no activities)

Results	Results chain (a): Main expected results (maximum 10)	Indicators (a): (at least one indicator per expected result)	Baselines (values and years)	Targets (values and years)	Sources of data	Assumptions
Impact	Implementation of the EU-ASEAN Strategic Partnership strengthened and EU positioned as a partner of reference for ASEAN, contributing to mutual understanding, impacting the convergence/approximation/alignment of respective policies in key focus areas of dialogue, cooperation, and mutual interests.	<p>1 Extent to which the implementation of the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor is considered to have led to tangible results by key stakeholders</p> <p>2 Extent to which the EU-ASEAN policy dialogue is considered impactful by key stakeholders</p>	<p>1 To medium extent (estimate for 2026)</p> <p>2 To a medium extent (estimate for 2026)</p>	<p>1 To medium extent (2028)</p> <p>2 To a significant extent (2028)</p>	Survey	<i>Not applicable</i>

Outcome 1	Contributed to the delivery of the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor delivered through support to policy dialogues in a range of focal sectors of mutual interest and institutional cooperation, strengthening exchanges and building thematic networks on sectoral policies of capacities of ASEAN institutions, including on gender.	<p>1.1 Percentage of implementation of the work plan to address delivery gaps in the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor and its possible successor</p> <p>1.2 Number of joint EU positions for key gender international/regional events and negotiations per year</p>	<p>1.1 0%</p> <p>1.2 1</p>	<p>1.1 100%</p> <p>1.2 1</p>	<p>Reports of the action</p> <p>Reports of the action</p>	<p>The Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor continues to be relevant for the EU-ASEAN policy dialogue in a range of sectors</p>
Output 1 relating to Outcome 1	Resources of this action mobilised strategically to address delivery gaps in the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor.	1.1.1 Extent to which the resource allocation in the work plan of the action reflects the scope of the delivery gaps in the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor adequately	1.1.1 To a significant extent (2026)	1.1.1 To a significant extent (2028)	Work plan of the action	Funds under this action can be used in a way that enables catering adequately for delivery gaps in the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor

4 IMPLEMENTATION ARRANGEMENTS

4.1 Financing Agreement

In order to implement this action, it is envisaged to conclude a financing agreement with ASEAN.

4.2 Indicative Implementation Period

The indicative operational implementation period of this action, during which the activities described in section 3 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of entry into force of the financing agreement. Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

4.3 Implementation Modalities

The Commission will ensure that the EU rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures².

4.3.1 Direct Management (Procurement)

The action will be implemented under direct management.

A call for tender is planned to be launched on 1 October 2024 under a suspensive clause prior to the adoption of this Decision. This is justified because of the planned conclusion of the current dialogue instrument in December 2025 and the need to ensure continuity.

4.4. Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply, subject to the following provisions.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult (Article 28(10) NDICI-Global Europe Regulation).

For this multi-country action, natural persons who are nationals of, and legal persons who are effectively established in the following countries and territories covered by this action, are also eligible: Brunei Darussalam, Singapore, EU Member States.

4.5. Indicative Budget

Indicative Budget components	EU contribution (amount in EUR)
Implementation modalities – cf. section 4.3	
Procurement – total envelope under section 4.3.1	6 750 000.00
Evaluation – cf. section 5.2	
Audit – cf. section 5.3	250 000.00

² www.sanctionsmap.eu. Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

Contingencies	0.00
Totals	7 000 000.00

4.6 Organisational Set-up and Responsibilities

A Programme Steering Committee (PSC) will be set up to oversee and validate the overall direction of the programme. It will be comprised of members from the EU and ASEAN. The PSC will have a crucial role in reviewing and approving the draft work plan for the Plan of Action to Implement the ASEAN-EU Strategic Partnership (2023-2027) / its possible successor, as well as monitoring its implementation and possibly approving necessary adjustments.

The PSC will indicatively be comprised of representatives of:

- the Delegation of the European Union to ASEAN;
- relevant EU services and Delegations;
- the ASEAN Secretariat;
- the ASEAN Member States covered by the project activities;
- relevant ASEAN bodies.

Some members of the PSC might be consulted in preparation of the PSC meeting, but not participate in the PSC meeting itself to enable an *modus operandi* for the PSC comprised of a large number of members in different time zones.

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures set up for governing the implementation of the action and may sign or enter into joint declarations or statements, for the purpose of enhancing the visibility of the EU and its contribution to this action and ensuring effective coordination.

4.7 Pre-conditions

The signature of the Financing Agreement is a pre-condition for the implementation of this action.

5 PERFORMANCE MEASUREMENT

5.1 Monitoring and Reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (Outputs and direct Outcomes) as measured by corresponding indicators, using as reference the logframe matrix (for project modality) and the partner's strategy, policy or reform action plan list (for budget support).

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

Roles and responsibilities for data collection, analysis and monitoring: A baseline study will be undertaken by the implementing partner (foreseen for 2026) and the survey will be repeated towards the end of the implementation (foreseen for in 2028) as per the information in the logical framework. Likewise, all monitoring and reporting shall assess how the action is considering gender equality, human rights-based approach, and rights of persons with disabilities, including inclusion and diversity. Indicators shall be disaggregated at least by sex (when possible, age and disability).

5.2 Evaluation

Having regard to the importance of the action, a mid-term and/or final evaluation may be carried out for this action or its components via independent consultants contracted by the Commission. A mid-term evaluation may be carried out for problem solving and learning purposes, in particular with respect to the relevance, coherence, effectiveness, efficiency, impact and sustainability of the action. A final evaluation may be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that the impact of the action might have to be measured and might influence the design and/or implementation of possible future actions in the same or related fields.

The Commission shall inform the implementing partner at least one month in advance of the dates envisaged for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports may be shared with the partners and other key stakeholders following the best practice of evaluation dissemination. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, apply the necessary adjustments.

Evaluation services may be contracted under a framework contract. In addition, all evaluations shall assess to what extent the action is taking into account the human rights-based approach, as well as how it contributes to gender equality and women's empowerment and disability inclusion. Expertise on human rights, gender equality and disability will be ensured in the evaluation teams.

5.3 Audit and Verifications

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audit or verification assignments for one or several contracts or agreements.

6 STRATEGIC COMMUNICATION AND PUBLIC DIPLOMACY

The 2021-2027 programming cycle will adopt a new approach to pooling, programming and deploying strategic communication and public diplomacy resources.

In line with the 2022 “[Communicating and Raising EU Visibility: Guidance for External Actions](#)”, it will remain a contractual obligation for all entities implementing EU-funded external actions to inform the relevant audiences of the Union's support for their work by displaying the EU emblem and a short funding statement as appropriate on all communication materials related to the actions concerned. This obligation will continue to apply equally, regardless of whether the actions concerned are implemented by the Commission, partner countries, service providers, grant beneficiaries or entrusted or delegated entities such as UN agencies, international financial institutions and agencies of EU member states.

However, action documents for specific sector programmes are in principle no longer required to include a provision for communication and visibility actions promoting the programmes concerned. These resources will instead be consolidated in Cooperation Facilities established by support measure action documents, allowing Delegations to plan and execute multiannual strategic communication and public diplomacy actions with sufficient critical mass to be effective on a national scale.

Appendix 1 REPORTING IN OPSYS

A Primary Intervention³ (project/programme) is a coherent set of activities and results structured in a logical framework aiming at delivering development change or progress. Identifying the level of the primary intervention will allow for:

Articulating Actions or Contracts according to an expected chain of results and therefore allowing them to ensure efficient monitoring and reporting of performance;

Differentiating these Actions or Contracts from those that do not produce direct reportable development results, defined as support entities (i.e. audits, evaluations);

Having a complete and exhaustive mapping of all results-bearing Actions and Contracts.

Primary Interventions are identified during the design of each action by the responsible service (Delegation or Headquarters operational Unit).

The level of the Primary Intervention chosen can be modified (directly in OPSYS) and the modification does not constitute an amendment of the action document.

The intervention level for the present Action identifies as (tick one of the 4 following options);

Action level (i.e. Budget Support, blending)		
<input type="checkbox"/>	Single action	Present action: all contracts in the present action
Group of actions level (i.e. top-up cases, different phases of a single programme)		
<input type="checkbox"/>	Group of actions	Actions reference (CRIS#/OPSYS#):
Contract level		
<input checked="" type="checkbox"/>	Single Contract 1	Service Contract
Group of contracts level (i.e. series of programme estimates, cases in which an Action includes for example four contracts and two of them, a technical assistance contract and a contribution agreement, aim at the same objectives and complement each other)		
<input type="checkbox"/>	Group of contracts 1	

³ For the purpose of consistency between terms in OPSYS, DG INTPA, DG NEAR and FPI have harmonised 5 key terms, including 'Action' and 'Intervention' where an 'Action' is the content (or part of the content) of a Commission financing Decision and 'Intervention' is a coherent set of activities and results which constitutes an effective level for the operational follow-up by the EC of its operations on the ground. See more on the [concept of intervention](#).