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**ANNEX IV**

of the Commission Implementing Decision on the financing of the multiannual action plan in favour of the Asia region for 2021-2022

**Action Document for EU-ASEAN Green Initiative**

**ANNUAL PLAN**

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation, and action plans in the sense of Article 23(2) of NDICI-Global Europe Regulation.

# 1. SYNOPSIS

## 1.1. Action Summary Table

<b>1. Title</b> <b>CRIS/OPSYS</b> <b>business reference</b> <b>Basic Act</b>	EU-ASEAN Green Initiative CRIS number: 2021/043-300 Financed under the Neighbourhood, Development and International Cooperation Instrument (NDICI-Global Europe)
<b>2. Team Europe Initiative</b>	Yes ASEAN/South East Asia TEI Green Initiative
<b>3. Zone benefiting from the action</b>	The action will be carried out in the ASEAN Member States
<b>4. Programming document</b>	Regional MIP Asia and Pacific 2021-2027
<b>5. Link with relevant MIP(s) objectives/expected results</b>	The action supports directly the objectives and related results of the Regional MIP, in particular establishing and supporting the external dimensions of the EU Green Deal with ASEAN/South East Asia and promoting a green and inclusive growth model, in line with the 2030 Agenda, and promoting a coherent regional transition towards a circular, climate resilient, energy efficient economy.
<b>PRIORITY AREAS AND SECTOR INFORMATION</b>	
<b>6. Priority Area(s), sectors</b>	DAC 410 – General Environment Protection DAC 150 – Government and Civil Society
<b>7. Sustainable Development Goals (SDGs)</b>	Main SDG: SDG 13 Climate Action Other significant SDGs: 5 (gender equality), 6 (clean water), 7 (clean energy), 8 (decent work and economic growth), 12 (sustainable consumption and production), 14 (life below water), 15 (life on land)
<b>8 a) DAC code(s) <sup>1</sup></b>	DAC 41010 – Environmental policy and administrative management – app. 60% DAC 15150 - Democratic participation and civil society – app. 20% DAC 23110 - Energy policy and administrative management – app. 20%

<sup>1</sup> DAC sectors (codes and descriptions) are indicated in the first and fourth columns of the tab ‘purpose codes’ in the following document: <http://www.oecd.org/dac/financing-sustainable-development/development-financestandards/dacandcrscodelists.htm>

<b>8 b) Main Delivery Channel @</b>	6000 – Private Sector Institution			
<b>9. Targets<sup>2</sup></b>	<input type="checkbox"/> Migration <input checked="" type="checkbox"/> Climate <input checked="" type="checkbox"/> Social inclusion and Human Development <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Biodiversity <input checked="" type="checkbox"/> Education <sup>3</sup> <input type="checkbox"/> Human Rights, Democracy and Governance <sup>4</sup>			
<b>10. Markers<sup>5</sup> (from DAC form)</b>	<b>General policy objective @</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment @	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Gender equality and women's and girl's empowerment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade development	<input checked="" type="checkbox"/>	<input 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Inclusion of persons with Disabilities @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Nutrition @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Biological diversity @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Combat desertification @	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation @	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<b>11. Internal markers<sup>6</sup> and Tags<sup>7</sup>:</b>	<b>Policy objectives</b>	<b>Not targeted</b>	<b>Significant objective</b>
Digitalisation @		<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Tags: digital connectivity			<input checked="" type="checkbox"/>	<input type="checkbox"/>

<sup>2</sup> Actual contribution to targets will be confirmed ex-post based on a standardised methodology.

<sup>3</sup> This target is specific to INTPA. If the action is marked as contributing to the Education target, please make sure the target on "Social inclusion and Human Development" is also marked.

<sup>4</sup> Thematic target for geographic programmes (at least 15%) in delegated act.

<sup>5</sup> For guidance, see <https://www.oecd.org/development/financing-sustainable-development/development-finance-standards/> (go to "Data collection and resources for reporters", select Addendum 2, annexes 18 (policy) and 19 (Rio) of the reporting directive).

If an action is marked in the DAC form as contributing to one of the general policy objectives or to RIO principles as a principal objective or a significant objective, then this should be reflected in the logframe matrix (in the results chain and/or indicators).

<sup>6</sup> The internal markers have been created to report on the implementation of the Commission's own policy priorities in areas where no DAC reporting tool is available. For the sake of consistency and comparability, the methodology is equivalent to the DAC markers, with three possible positions (main target, significant target, not targeted)

<sup>7</sup> Methodology for additional tagging providing granularity on internal markers is under development.

	digital governance		<input type="checkbox"/>	<input type="checkbox"/>
	digital entrepreneurship		<input checked="" type="checkbox"/>	<input type="checkbox"/>
	job creation		<input type="checkbox"/>	<input type="checkbox"/>
	digital skills/literacy		<input checked="" type="checkbox"/>	<input type="checkbox"/>
	digital services		<input type="checkbox"/>	<input type="checkbox"/>
	Connectivity @ Tags: transport people2people energy digital connectivity	<input type="checkbox"/>	<input checked="" type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Migration @ (methodology for tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reduction of Inequalities (methodology for marker and tagging under development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Covid-19	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>BUDGET INFORMATION</b>				
<b>12. Amounts concerned</b>	Budget line: BGUE-B2021-14.020131-C1-INTPA Total estimated cost: EUR 30 000 000 Total amount of EU budget contribution EUR 30 000 000			
<b>MANAGEMENT AND IMPLEMENTATION</b>				
<b>13. Type of financing<sup>8</sup></b>	<b>Direct management</b> through: - Grants (Call for Proposals) - Procurement – Service Contract  <b>Indirect management</b> with the entity(ies) to be selected in accordance with the criteria set out in section 4.4.3			

## 1.2. Summary of the Action

The proposed action seeks to **enhance the EU-ASEAN partnership and reduce negative environmental impacts**, as well as climate-related and disaster risks covering key areas of the European Green Deal. It is aligned with the EU's and ASEAN's respective commitments to implement the **Paris Agreement** on Climate Change and the 2030 Agenda for Sustainable Development with its Sustainable Development Goals (**SDGs**), particularly SDG 13 Climate Action. It will also contribute to SDGs 6 (Clean Water), 7 (Affordable and Clean Energy), 8 (Decent Work), 11 (Sustainable Cities and Communities), 12 (Responsible Consumption and Production), 14 (Life below Water), and 15 (Life on Land). SDG 5 Gender Equality will be mainstreamed throughout the Action and contribute to the objectives of the Gender Action Plan (GAP) III. The action will be aligned with relevant EU-ASEAN documents (Plan of Action, etc.), ASEAN Blueprints and action plans, including with other partners.

The envisaged **components** for this action are:

1. Horizontal Climate Change Component
2. Circular Economy, Zero Pollution and Marine Litter
3. Biodiversity, Sustainable Landscapes, Forestry and Oceans

<sup>8</sup> Art. 27 NDICI

4. Sustainable Food System: From Farm to Fork
5. Clean, Affordable, Reliable, Sustainable and Modern Energy
6. Call for proposals for EU ASEAN Green Partnerships

Key concepts and priorities, such as climate and energy policy, circular economy and zero pollution will be treated as mainstreamed themes and not be limited to individual components. The action will apply the Human Rights Based Approach (HRBA) and its five working principles.

The regional assessment and Multiannual Indicative Programme (Regional MIP Asia and Pacific 2021-2027) identified **promoting green growth and climate action** in the region as one of the main objectives of EU-ASEAN cooperation post-2020. The action will tackle relevant regional issues, supporting a just transition to circular, climate-neutral, risk-informed and environmentally sustainable economies and resilient ecosystems, while implementing the external dimension of the European Green Deal in the areas of clean energy, circular economy and zero pollution, clean oceans, sustainable food systems, biodiversity protection and ecosystem restoration, sustainable landscapes and forest management, and climate change mitigation and adaptation and disaster risk reduction (DRR). In doing so, full account will be taken of the heterogeneity among ASEAN Member States in terms of economic circumstances, political systems and capacities. Given the severe impact of the COVID-19 pandemic on the ASEAN economies and households, livelihoods and employment, the action will respond to the need for a recovery that supports green growth, and that creates new and decent employment opportunities.

The **specific objectives** (Outcomes) are:

1. Cooperation with and within ASEAN for developing and implementing ambitious climate policies is improved.
2. A coherent regional transition towards a circular, climate-neutral and resource efficient economy is promoted.
3. The equitable and sustainable management of regional natural capital and landscapes is made more effective.
4. The transition towards sustainable and climate resilient food systems in ASEAN is promoted.
5. The transition towards clean energy and greater energy efficiency is accelerated.
6. Partnerships with and between a wide range of actors including civil society organisations (CSOs), city authorities and youth on climate action, environmental protection and DRR are strengthened.

Expected **results** (Outputs):

- 1.1. The institutional and individual capacity of the ASEAN bodies relevant to climate policy is strengthened.
- 1.2. Contributions to the ASEAN and bilateral Team Europe Initiatives (TEIs) with individual ASEAN Member States in the area of the Green Deal are well coordinated with strong European visibility and link to the policy dialogue at regional and national level.
- 2.1. The basis for effective policy action in ASEAN and its Member States concerning plastic production, waste avoidance and waste management in line with circular economy principles is enhanced.
- 3.1. The capability of ASEAN and its Member States to systematically address and reduce deforestation and forest/land degradation, illegal logging, illegal, unreported and unregulated (IUU) fishing, illegal wildlife trade, and biodiversity loss is strengthened.
- 4.1. Regulatory regimes for sustainable food systems in ASEAN are better harmonised, in line with EU and international standards, to reduce barriers for trade in food products.
- 4.2. The basis for ASEAN cooperation on sustainable agricultural practices, including agro-ecological approaches and climate-smart agriculture, and organic farming, agro-ecology and other innovative approaches including through family farming is enhanced.
- 4.3. Public awareness in ASEAN about sustainable and affordable food production and food waste is increased and consumers are empowered to make informed, healthy food choices.
- 5.1. Cooperation on energy transition with and within ASEAN is improved.
- 5.2. Capacities and awareness of the relevant ASEAN stakeholders in the energy transition are improved.
- 6.1. Opportunities are created for EU and ASEAN organisations to share experiences and cooperate on advocacy for climate neutrality, climate change adaptation and DRR, biodiversity protection and ecosystem restoration, circular economy and ocean protection.
- 6.2. Digital youth environmental education programmes are created and adjusted to the needs of ASEAN

Member States.

The action will enable an enhanced coordinated approach, promoting synergies with other EU policies, including on digitalisation. It is the first building block to the proposed **Team Europe Green Initiative** with ASEAN/SEA providing first concrete elements to its implementation. The action will support coordination of the TEI and link actions to relevant ASEAN bodies. It is well aligned with the MIPS and proposed TEIs in ASEAN Member States, as well as other EU-funded projects in the region. Close coordination will be ensured with the relevant projects funded by the Service for Foreign Policy Instruments (FPI) exploiting synergies where possible. Furthermore, the action will leverage the relevant capabilities and thematic services of Copernicus, the European Union's earth observation programme.

To secure a transformative impact, the proposed action includes concrete technical assistance combined with possible direct grants as well as possible blending operations, including through the Asia Investment Facility, and will foster dialogue and cooperation between a wide range of actors, including policymakers and officials, civil society organisations, the private sector, academia and youth organisations. The action will build on the experience and lessons learnt from previous and ongoing EU-funded cooperation projects with ASEAN.

## 2. RATIONALE

### 2.1. Context

Southeast Asia is **one of the world's most dynamic regions** economically and demographically. Home to approximately 700 million people, ASEAN is the fourth-largest trading partner of the EU, which is in turn the third-largest trading partner of ASEAN. ASEAN is also of strategic importance to the EU in the context of regional dynamics in Asia and the new Indo-Pacific Strategy, and this Action is designed to strengthen cooperation between the **EU and ASEAN on a Green Agenda**.

There have been several recent milestones in relations: The EU became an ASEAN **Strategic Partner** in December 2020 in recognition of our long-standing and wide cooperation. In June 2021, the EU and ASEAN also concluded negotiations on the first bloc-to-bloc air transport agreement, a key milestone in enhancing connectivity between both regions.

The ASEAN region is a **major host of global terrestrial and marine biodiversity**. While it occupies only 3% of the Earth's land, it covers four biodiversity hotspots and contains three of the world's 17 mega-diverse nations, which have exceptionally high levels of species endemism. The region hosts the world's centre for marine biodiversity - the Coral Triangle - and has the most extensive and diverse coral reefs in the world. The ASEAN region also has an extensive forest cover and is home to around 60% of the world's tropical peatlands and 42% of the world's mangrove forests.

However, ASEAN is also among the **most vulnerable regions in the world to the impacts of climate change, environmental degradation** (notably deforestation and forest degradation) and **natural hazards**. The fact that a high number of people still live in poverty and in particularly vulnerable situations across the region also contributes to the overall vulnerability. The region **faces challenges** of biodiversity loss, pollution, overexploitation of natural resources, and growing energy needs **with global impacts on climate and biodiversity**. For instance, between 1990 and 2016, the region's greenhouse gas (GHG) emissions rose from 2.3 Gt CO<sub>2</sub>e to 3.6 Gt CO<sub>2</sub>e; and energy-related emissions more than doubled in the same period. Methane emissions are also an important and potent source of GHG emissions. This makes ASEAN an **important partner for EU climate policies and the external dimension of the European Green Deal**, which is further expressed in EU policy frameworks and strategies such as the Circular Economy Action Plan, the Farm to Fork Strategy, the EU Biodiversity Strategy 2030 and the Zero-Pollution Action Plan.

Although all ASEAN Member States (AMS) have signed the Paris Agreement and formulated and ratified the relevant Nationally Determined Contributions (NDCs), these are often not sufficiently ambitious and their implementation is restrained or highly dependent on international support. This can have a negative impact on the achievement of the SDGs and, in particular, on international climate and disaster risk reduction targets. Additionally, the **COVID-19 pandemic threatens the achievement of climate policy goals across the region and further impedes the development of more ambitious NDCs** and long term strategies towards net zero emissions. The action will specifically support ASEAN's Comprehensive Recovery Framework, in particular regarding its Broad Strategy 5: Advancing Towards a More Sustainable and Resilient Future. This framework

includes specific priorities on sustainable investment and infrastructure, as well as sustainability, and productivity in agriculture. As millions across the region have either lost their jobs or had to drastically reduce their working time in the wake of the pandemic, it is also a vital period for demonstrating the growth and decent employment potential of a green transition.

The action will **leverage regional integration and cooperation as critical drivers for sustainable development**, economic growth, stability and peace. It will in particular foster regional coordination, cooperation and the exchange of information and best practices on climate and environmental issues, including related disaster risk reduction aspects, to support regional integration efforts through ASEAN bodies and in ASEAN Member States. In doing so, full account will be taken of the significant heterogeneity among ASEAN Member States in terms of state capacity and economic development, to address and reduce the development ‘gap’ within ASEAN in areas relevant to the action. Support and dialogue activities will be tailored to the specific capacity context. Ownership and country-level engagement will be encouraged with a targeted and flexible approach, with the aim the aim to pilot strategic initiatives and that could eventually be replicated by other ASEAN Member States.

The action will provide a potent vehicle to **upscale current engagement with ASEAN** and address the geopolitical dimension of EU policies under the EU Green Deal in the region by sharing success stories of effective regional solutions stemming from the EU experience, including through the use of digital technologies and the green agenda. It is the first building block for the planned **Team Europe Green Initiative** with ASEAN/South East Asia and will bring together actions planned at bilateral level, with an overarching structure and strong involvement of EU Member States with a view to leveraging blending and guarantees.

## 2.2. Problem Analysis

ASEAN’s **rapid economic and demographic growth**, coupled with the **overexploitation of natural capital** and **growing energy needs** results in steeply **increasing greenhouse gas (GHG) emissions**, exerts pressure on the region’s biodiversity and, coupled with high vulnerability to the impacts of climate change and natural hazards, puts livelihoods, in particular of those living in vulnerable situations, and businesses at risk. It is also a threat to the achievement of international climate and disaster risk reduction targets. This situation is further exacerbated by the COVID-19 pandemic, which has varying effects on individual ASEAN Member States, and which presents the opportunity to tackle common issues on a regional level.

Decarbonisation efforts, energy and resource efficiency, abatement measures, the uptake of sustainable technologies and practices, as well as the administrative capacity in the environmental domain have not kept pace with the region’s growth trajectory, which results in **growing pressure on the environment**. This is of particular concern in relation to:

**Climate change:** The ASEAN bodies responsible for climate policy have limited influence on the work of other specialist bodies and policy making entities in ASEAN Member States, both in climate change mitigation and adaptation. ASEAN and the AWGCC (ASEAN Working Group on Climate Change) in particular are not exploiting their potential in this regard. There remains significant potential for better internal cooperation and coordination within ASEAN and its Member States and also externally with the EU and its Member States. In this context further reflection on how to narrow the development gap between ASEAN Member States is of particular importance. In addition, there is potential to increase visibility of the EU and its Member States as prime partners for ASEAN on climate change and the role that regional integration can play in this context.

**Circular economy, zero pollution and marine litter:** Underdeveloped, under-resourced and fragile waste management systems result in the leakage of hazardous substances into the environment, including the leakage of plastic into water bodies. This has severe consequences for health and biodiversity in the region, with a disproportionate impact on the poor and those living in vulnerable situations. Simultaneously, waste amounts are increasing due to changing production and consumption patterns and the popularity of single use plastic items. Policies to effectively address the waste problem are still absent in some ASEAN countries or their implementation is hampered by a lack of coordination and cross-border cooperation. ASEAN Member States mainly approach plastics-related problems as waste management issues, not as broader systemic issues of waste avoidance, material flows, and product design and utilisation. In addition, at present, there are few efforts to engage upstream businesses and hold them accountable for offering solutions downstream. A lack of circularity of materials and circular business models is relevant to all problem areas identified here and such approaches will, therefore, be mainstreamed.

**Biodiversity, sustainable landscapes, forestry and oceans:** Changes in land use (e.g. deforestation, intensive monoculture, urban sprawl), direct exploitation (hunting and over-fishing), climate change and pollution result in

rapidly growing pressures on terrestrial and maritime biodiversity in the ASEAN region. Conservation efforts suffer from weak enforcement, a lack of awareness and resources, including administrative and scientific capacity, and the absence of cross-border cooperation and information exchange. Identifying the specific gaps in the current regional cooperation structures that keep ASEAN from being a more effective player in the area of terrestrial and maritime biodiversity could significantly improve conservation outcomes. However, such efforts are currently held back by a lack of opportunities for an effective dialogue between key stakeholders. All countries are a party to the Convention on Biological Diversity.

**Sustainable food systems:** ASEAN countries are facing significant problems related to the sustainability of food production and food security. Population growth and rapid urbanisation have resulted in growing demand, high wastage and sometimes poor food quality as production and supply chains are not adapted. This coincides with the negative impacts of climate change and environmental degradation on yields and nutrient content. So far, ASEAN countries have not succeeded in introducing regulatory regimes and approaches for sustainable food production that fully reflect the link between the sustainable use of natural resources, agriculture, food, nutrition and disaster and climate resilience in line with EU and international standards. The importance of reducing barriers for trade in food products is also not always fully reflected in this context.

**Clean, affordable and secure energy:** The increasing energy demand in ASEAN relies heavily on fossil fuels, especially coal. Despite political commitments in some ASEAN countries to stop the construction of new coal power plants, emissions from the power sector are rapidly increasing and drive global warming and air pollution. Progress in terms of renewable energy (onshore as well as offshore), energy efficiency, smart grids and towards achieving the targets of the ASEAN Plan of Action for Energy Cooperation (APAEC) has been slow. The current capacity of stakeholders such as the ASEAN Centre for Energy (ACE) and national energy authorities is still not at a level where it could significantly accelerate the transition. Also, decision makers in the ASEAN region are not always sufficiently aware of the urgent need to switch to clean sources of energy and to ensure a just transition.

These issues hinder ASEAN and its Member States in formulating and implementing more ambitious environmental strategies and targets, including more ambitious Nationally Determined Contributions (NDCs). ASEAN is not yet fully harnessing the potential to be an effective partner in regional climate and environmental policies and in supporting a green transition in the region. The action will address these issues through focussed support and policy dialogue in six key areas. This will enable the EU to pursue coherent policy outreach and dialogue with governments and other partners, in particular on the SDGs and the European Green Deal. Technical Assistance supporting the Green Agenda will address the gaps to realise ASEAN's policy objectives for sustainable green growth and aim to leverage involvement of the private sector and sustainable investments to boost the transition.

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

The main stakeholders are the **ASEAN Secretariat, relevant ASEAN Centres** (e.g. ASEAN Centre for Biodiversity (ACB), ASEAN Centre for Energy (ACE), ASEAN Specialised Meteorological Centre (ASMC), ASEAN Coordinating Centre for Humanitarian Assistance (AHA) etc.), as well as **ASEAN Sectoral Bodies and Working Groups**, including those under the ASEAN Senior Officials on the Environment (ASOEN) as well as the Senior Officials Meeting under the ASEAN Ministers on Agriculture and Forestry (SOM-AMAF), and the Senior Officials on Energy (SOME). Relevant ASEAN working groups include the ASEAN Working Groups on Climate Change (AWGCC), Nature Conservation and Biodiversity (AWGNCB) and others covering issues related to climate change and the environment, biodiversity, circular economy, agriculture, energy and disaster management.

ASEAN Member States governments, the private sector and civil society organisations, including those representing women, youth and, where relevant, indigenous people, will be systematically involved. As the private sector will have a key role to play in the green transition, engaging businesses and business associations will be important for improving the environmental performance of products and services.

In addition, European authorities and city authorities may be involved where relevant. A cross-sectoral approach will bridge topics of components addressed by more than one ASEAN pillar. The action will maintain an open approach to engage and benefit a wide range of stakeholders as appropriate.

### 3. DESCRIPTION OF THE ACTION

#### 3.1. Objectives and Expected Outputs

The Overall Objective (Impact) of this action is to **enhance the EU-ASEAN partnership and to reduce negative environmental impacts**, covering the main areas of the European Green Deal.

The Specific Objectives (Outcomes) of this action and linked to the specific components, are:

1. Cooperation with and within ASEAN for developing and implementing ambitious climate policies is improved.
2. A coherent regional transition towards a circular, climate-neutral and resource efficient economy is promoted.
3. The equitable and sustainable management of regional natural capital and landscapes is made more effective.
4. The transition towards sustainable and climate resilient food systems in ASEAN is promoted.
5. The transition towards clean energy and greater energy efficiency is accelerated
6. Partnerships with and between a wide range of actors including CSOs, city authorities and youth on climate action, environmental protection and DRR are strengthened.

The Outputs to be delivered by this action contributing to the corresponding Specific Objectives (Outcomes) are:

Contributing to Outcome 1:

- 1.1 The institutional and individual capacity of the ASEAN bodies relevant to climate policy is strengthened.
- 1.2 Contributions to the ASEAN and bilateral TEIs in the area of the Green Deal are well coordinated with strong European visibility and link to the policy dialogue at regional and national level.

Contributing to Outcome 2:

- 2.1 The basis for effective policy action in ASEAN and its Member States concerning plastic production, waste avoidance and waste management in line with environmental standards circular economy principles is enhanced.

Contributing to Outcome 3:

- 3.1 The capability of ASEAN and its Member States to systematically address and reduce deforestation and forest/land degradation, illegal logging, illegal, unreported and unregulated (IUU) fishing, illegal wildlife trade, and biodiversity loss is strengthened.

Contributing to Outcome 4:

- 4.1 Regulatory regimes for sustainable food systems in ASEAN are better harmonised, in line with EU and international standards, to reduce barriers for trade in food products.
- 4.2 The basis for ASEAN cooperation on sustainable agricultural practices, including agro-ecological approaches and climate-smart agriculture, and organic farming, agro-ecology and other innovative approaches including through family farming is enhanced.
- 4.3 Public awareness in ASEAN about sustainable and affordable food production and food waste is increased and consumers are empowered to make informed, healthy food choices.

Contributing to Outcome 5:

- 5.1 Cooperation on energy transition with and within ASEAN is improved.
- 5.2 Capacities and awareness of the relevant ASEAN stakeholders in the energy transition are improved.

Contributing to Outcome 6:

- 6.1 Opportunities are created for EU and ASEAN organisations to share experiences and cooperate on advocacy for climate neutrality, climate change adaptation and DRR, biodiversity protection and ecosystem restoration, circular economy and ocean protection.
- 6.2 Digital youth environmental education programmes are created and adjusted to the needs of ASEAN Member States.

#### 3.2. Indicative Activities



The following list is indicative. Activities may include those listed below taking into account that each action will need to be agreed with and receive firm expressions of support and commitment from the side of ASEAN/AMS. The commitment of the EU's contribution to the Team Europe Initiatives foreseen under this action plan will be complemented by other contributions from Team Europe partners. It is subject to the formal confirmation of each respective partners' meaningful contribution as early as possible. In the event that the TEIs and/or these contributions do not materialise the EU action may continue outside a TEI framework.

Activities related to **Output 1.1**: The institutional and individual capacity of the ASEAN bodies relevant to climate policy is strengthened.

- Technical assistance, capacity development, studies and related activities relevant to the NDC process, climate mainstreaming, climate finance, adaptation, disaster risk reduction, measurement, reporting and verification (MRV), consideration of gender and human rights aspects (partly virtual formats).
- Processing of practical examples (private sector cooperation, consideration of gender aspects); ASEAN-wide distribution.
- Advice on the development of ASEAN policy instruments and implementation plans.
- Reinforcement, replication or up-scaling of approaches in the NDC context in selected ASEAN Member States
- Innovation fund for specific technical advice on innovative approaches and (digital) technologies with NDC relevance in ASEAN Member States.
- Establishment of regional NDC implementation dialogues with the private sector.
- Establishment or further development of knowledge management, communication and exchange formats, taking into account possibilities for digitization.
- Processing of current climate issues e.g. in studies, policy briefs, specialist articles, etc.
- Support to specific ASEAN strategies and workplans, development of policy instruments and implementation plans, in areas related to the Action.
- Support reflection on how to narrow the development gap between AMS with the aim to pilot innovative and strategic initiatives by AMS that could eventually be replicated by other AMS.

Activities related to **Output 1.2**: Contributions to the ASEAN and bilateral TEIs in the area of the Green Deal are well coordinated with strong European visibility and link to the policy dialogue at regional and national level.

- Targeted political and policy dialogue formats and related capacity development for climate change adaptation and mitigation, including boosting the implementation and monitoring, reporting and verification (MRV) of Member States, coal phase-out and improving their access to climate finance in the context of sustainable finance initiatives (particularly green bonds), and related to disaster-risk reduction.
- Regional meetings and webinars organised to share experiences of bilateral TEIs in the region and develop joint solutions at ASEAN level.
- Creation of digital platform to promote EU's activities and TEI outputs in the region.
- Creation of a Youth Sounding Board on the ASEAN Green Agenda.
- Promotion of digital solutions for environmental protection and advocacy.
- Organisation of outreach and visibility events linking to the EU ASEAN policy dialogues on climate change, environment and other issues related to the action.
- Additional activities with direct relevance to the Green Agenda that could arise from changing circumstances, major events or new political priorities.

Activities related to **Output 2.1**: The basis for effective policy action in ASEAN and its Member States concerning plastic production, waste avoidance and waste management in line with circular economy principles is enhanced.

- Specific dialogue and exchange formats in support of policy alignment (e.g. industrial and product policies, information labels, eco-design, environmental and health standards) building on the ASEAN Circular Economy Platform, which is currently being established with the support of E-READI (Enhanced Regional EU-ASEAN Dialogue Instrument). This will include support to policy outreach encouraging ASEAN Member States to join relevant global agreements and alliances, such as the Global Alliance on Circular Economy and Resource Efficiency (GACERE) and a potential Global Agreement on Plastics.
- Content, organisational and communication support to national initiatives aimed at reducing marine litter and promoting circular economy and clean oceans, including through sustainable blue economy finance principles. A specific focus will be on addressing common gaps in waste management (particularly

plastics) in the region or a sub-set of countries, including the absence of good quality data and knowledge on how to use it, lack of systematic, coordinated and harmonised governance framework for waste, lack of technical capacity and a lack of a clear understanding of links between the market mechanism and waste issues.

- Facilitating the involvement of European authorities, city authorities, and the private sector in dialogues with ASEAN and its Member States.
- In line with circular economy approaches, support for preventing plastics pollution and clean oceans (e.g. through the implementation of regulatory, business and operational standards in plastics production, designing financial incentives that encourage recycling and a reduction in the use of virgin polymers, consumer awareness policies) and strengthening urban waste management.
- Organisation of events, workshops, campaigns, dialogue and outreach activities to improve awareness of local businesses, policy makers, workers, consumers and the wider public on circular economy/waste issues.
- Facilitating access to finance for circular economy infrastructure and business models (including through blending and guarantees).
- Exchange among ASEAN entities and with the EU to share EU experience (from public and private sector) on circular economy approaches, regulatory regimes, and business models.
- Support to development of business and operational standards for plastic producers in the region.
- Institutional development for the ASEAN Secretariat, strengthening its circular economy expertise.

Activities related to **Output 3.1**: The capability of ASEAN and its Member States to systematically address deforestation and forest degradation, illegal logging, IUU fishing, illegal wildlife trade, and biodiversity loss is strengthened.

- Support to ASEAN bodies, strategies and workplans, such as the ASEAN Working Group on Nature Conservation and Biodiversity (AWGNCB) on exchange of knowledge on key terrestrial and marine biodiversity area conservation issues covering a) protected areas (including eco-tourism and biodiversity), b) species conservation, c) invasive alien species, d) mainstreaming biodiversity including climate change and biodiversity actions, e) ecosystem restoration, f) health and biodiversity.
- Support to ASEAN Member States on inventorying and quantifying the natural capital in key landscapes including ecosystem assessment, ecosystem services valuation, and impacts of climate change and marine pollution on socio-economic systems (dynamics model).
- Support the (a) regional mapping of degraded ecosystems, (b) pilot initiatives on ecosystem restoration, and (c) recognition local and national activities of ecosystem restoration through tree planting, including potential support for private sector involvement.
- Promotion of natural capital protection practices in AMS through knowledge exchange and partnerships between the EU business community and ASEAN economic operators particularly on mainstreaming the sustainable practices to reduce the ecological footprint, mainstreaming zero deforestation and prevention of forest degradation, illegal logging, IUU fishing, and illegal wildlife trade and promote access and benefit sharing (ABS). In this context, synergies will be sought with existing EU schemes, including Forest Partnerships addressing forests in a comprehensive and integrated way and taking into account the specific rights and needs of local communities and indigenous peoples.

Activities related to **Output 4.1**: Regulatory regimes for sustainable food systems in ASEAN are better harmonised, in line with EU and international standards, to reduce barriers for trade in food products.

- Support to the implementation of the ASEAN Food Safety Regulatory Framework Agreement (AFSRFA).
- Implementation of other relevant supporting instruments in food safety and food control (e.g. ASEAN Mutual Recognition Agreement (MRA) of Food Hygiene for Prepared Foodstuffs).
- Implementation of ASEAN guidelines and procedures on traceability for food and feed products.
- Strengthening the capacities of ASEAN to assess and manage food safety risks.
- Support aimed at enabling small-scale farmers and seafood producers to meet international and EU food safety and sustainability standards and access markets.

Activities related to **Output 4.2**: The basis for ASEAN cooperation on sustainable agricultural practices, including agro-ecological approaches and climate-smart agriculture, organic farming, agro-ecology and other innovative approaches including through family farming is enhanced.

- Support for the implementation of the MRA for Organic Agriculture Certification.
- Support for the implementation of the ASEAN Organic Certification scheme.

- Support the adoption of low pesticide-input management practices by farmers, such as Integrated Pest Management (IPM), organic farming, including in aquaculture and agro-ecology practices.

Activities related to **Output 4.3**: Public awareness in ASEAN about sustainable and affordable food production and food waste is improved and consumers are empowered to make informed, healthy food choices.

- Awareness-raising on sustainable agri-food production, encouraging the consumption of fresh fruits and vegetables in the context of healthy diets and promoting the sustainability of ASEAN food products in export markets, including for seafood products and their dependence on clean oceans.
- Support for the establishment and implementation of a Harmonised Nutrition Labelling Regulation.
- Support for the development of a Code of Conduct for Responsible Business and Marketing Practice, similarly to the EU, to tangibly improve the environmental and social performance mainly of the food industry, retail and distribution (may also involve other actors in the chain), building on existing good practices and front-runner examples.

Activities related to **Output 5.1**: Cooperation on energy transition with and within ASEAN is improved. and **Output 5.2**: Capacities and awareness of the relevant ASEAN stakeholders in the energy transition are improved.

- Support for the preparation of ASEAN strategic plans such as but not limited to the ASEAN Energy Outlook (AEO).
- Studies on issues related to supply and demand modelling, energy projection, and other relevant topics related to renewable energy (onshore and offshore), energy efficiency, and smart grids such as employment impacts from the just transition in the clean energy sector.
- Exchange of experiences and policy dialogue, in particular on issues of regional nature, such as regulatory issues, interconnected power grids, market policy, infrastructure, etc.
- Support to energy efficiency and renewable energy projects, e.g. through financing schemes, derisking and promotion of bankable projects or Energy Efficiency certification schemes,
- Support for roadmaps to facilitate the energy transition, including on phasing out coal or energy subsidies, as well as for methane strategies.
- Private-sector cooperation on energy transition through business match-making and broad-based partnerships.
- Youth and media involvement on energy awareness, e.g. journalism competitions, regular media interviews, capacity development.
- Support to a partners coordination platform to promote exchange.
- Institutional development and capacity building for ACE.

Activities related to **Output 6.1**: Opportunities are created for EU and ASEAN organisations to share experiences and cooperate on advocacy for climate neutrality, biodiversity protection, circular economy and ocean protection, and **Output 6.2**: Digital youth environmental education programmes are created and adjusted to the needs of ASEAN Member States.

- Organise call(s) for proposals, promote the guidelines to EU and ASEAN CSOs and monitor grants.
- Develop the digital and in-person training programmes for participating CSOs and youth groups.
- Design social media and other visibility campaigns for wide outreach.
- Monitor and evaluate the programmes to optimise the effectiveness of the programmes.
- Where possible, establish links between CSO activities and other relevant components of this programme.

### 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).

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### **Gender equality and empowerment of women and girls**

As per OECD Gender DAC codes identified in section 1.1, this action is marked as G1. This implies that a gender responsive approach will be applied throughout implementation in all activities undertaken. The action will be used to implement the GAP III in ASEAN and ensure gender is taken into account in the activities of this action. For instance, a gender equality, human rights and human rights based approach will also be integrated in relevant (capacity building) activities, documents (i.e. ToRs, etc.), as minimum requirements of expertise.

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### **Human Rights**

Respect for human rights is a fundamental value of the European Union. Strengthening the human rights dialogue with ASEAN and its Member States, and aligning the legal framework (ratification of international human rights treaties) and promoting the implementation of priorities under the EU-ASEAN human rights dialogue in relation to environment and climate change are an important element of the action. The various human rights impacts of climate change, energy, biodiversity and food production will be taken into consideration and especially as they affect groups living in vulnerable situations, including women, youth, the elderly, indigenous peoples and minority communities. The design and implementation of the programme will give attention to those who are most marginalised, excluded or discriminated against and living in vulnerable situations. A human rights based approach will be applied throughout, ensuring meaningful and inclusive participation, non-discrimination and equality as well as accountability and transparency. The action will contribute to the new EU Action Plan on Human Rights and Democracy 2020-2024 which highlights the link between human rights and the environment and the new opportunities and risks that arise from global environmental challenges

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### **Disability**

As per OECD Disability DAC codes identified in section 1.1, this action is labelled as D0. This implies that disability is not considered the overall nor a specific objective of the action. However, in all activities all possible measures will be taken to ensure an inclusive policy dialogue. Therefore, attention will be paid to ensure and enable the participation of people with disabilities in the activities, and to ensure that the achieved results will be accessible for people with disabilities.

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### **Democracy**

Strengthening democracy and enhancing good governance and the rule of law are purposes stated in the ASEAN charter. The importance of these principles and their relevance to good environmental and climate governance are directly reflected in the design of the action which supports inclusive dialogues, participatory processes, clear and reliable regulatory frameworks, transparency and better environmental information.

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### **Conflict sensitivity, peace and resilience**

Building resilience and preventing conflicts are relevant in ASEAN for conflicts linked to environmental resources and territorial disputes. The various positions and interests of concerned stakeholders and the factors determining them (e.g. the distribution of energy resources in the ASEAN region) will be thoroughly analysed. The result will inform the implementation of the action and a conflict sensitive approach will be ensured in relevant actions.

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### **Disaster Risk Reduction**

Building disaster and climate resilience and preventing disasters are primarily relevant in the ASEAN region in the context of climate-induced and natural disasters climate-related, biological and geophysical hazards. A project on humanitarian aid and disaster management benefits the region. The element of resilience to climate-induced disasters is addressed through climate change mitigation and adaptation measures under this action. Following the COVID-19 pandemic and in the perspective of building back better, public health preparedness and crisis response in the case of global pandemic will be relevant crosscutting issues.

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### **Other considerations if relevant: Digitalisation and minorities**

The promotion of digital solutions and technologies will be promoted throughout the Action, e.g. to support the green transition. Inclusivity of marginalised communities, minorities, indigenous peoples, people with disabilities

and people living in severe poverty, vulnerable women, children and youth will be taken into account when designing specific activities.

### 3.4. Risks and Lessons Learnt

Category	Risks	Likelihood (High/ Medium/ Low)	Impact (High/ Medium/ Low)	Mitigating measures
External environment	Policy at ASEAN level may have little effect in individual member states.	medium	medium	Clearly convey the value of coherent regional action for national priorities. Improve ASEAN's visibility as a relevant partner for its Member States.
	Heterogeneity of ASEAN Member States will make it difficult to develop common positions.	medium	high	Ensure cooperation directly responds to the needs of a broad range of member countries. Promote exchange and cooperation formats that also directly benefit capacity building in individual countries. Ensure prospective analysis of factors that could result in diverging interests and positions (e.g. distribution of energy resources in the region).
Planning, processes and systems	Challenge to build stable relations which enable a functional policy dialogue.	low	high	Base interventions on existing structures and entry points; and develop potential activities based on joint interest and as an opportunity for peer-to-peer exchanges and mutual learning.  All key stakeholders will be meaningfully consulted and heard prior to activities and will participate in monitoring of the action. Particular attention on promoting participation and capacity of the institutions and bodies promoting the involvement of youth and gender equality.
People and the organisation	Lack of human and financial resources as well as limited mandates within ASEAN bodies hinder achievement.	medium	medium	Capacity building is directly supported by the action. Activities are designed with current mandates in mind and based on ASEAN work plans and programmes.
	The TEI under discussion cannot materialise due to lack of commitment of EU MS.	low	medium	Clarify expectations and modalities, maintain an open yet realistic approach.
Communication and information	Actions including policy dialogue, public diplomacy and technical assistance lack credibility.	low	medium	Actions and outreach to be designed and implemented in partnership and consultation with ASEAN stakeholders. Engaging with youth and establishing a youth sounding board will additionally facilitate the cooperation and increase the EU's recognition.
<b>Lessons Learnt:</b>				

The action builds on the experience and lessons learnt from previous and ongoing projects with ASEAN, in particular the Enhanced Regional EU-ASEAN Dialogue Instrument (E-READI), the Biodiversity Conservation and Management of Protected Areas (BCAMP) project, the Sustainable Use of Peatland and Haze Mitigation in ASEAN (SUPA) project, the Integrated Programme in Enhancing the Capacity of AHA Centre and ASEAN Emergency Response Mechanisms (SAHA) and other projects including SWITCH Asia, and those funded under FPI. Attention will be given to narrowing the development gap between AMS. Special attention needs to be paid to elements of the action that are cross-sectoral in nature and require cooperation and ownership of actors under different ASEAN pillars.

Striking a balance between core interest and key environmental challenges faced by ASEAN and the EU is important to ensure the programme success. It is also imperative to ensure the programme content is as concrete and applied as possible to ensure knowledge transfer. Experience also shows that the administrative and coordination challenges involved in co-financing with EU Member States a joint action to support ASEAN should not be underestimated to avoid delays in implementation. Another lesson from previous projects is the need for sustained support. Future support to ASEAN entities should foster stronger ownership and thus translate into increased longer-term financial commitments from ASEAN Member States.

### 3.5 The Intervention Logic

The underlying intervention logic is that the action will structurally improve sector coordination and overall cooperation on the Green Agenda in ASEAN by strengthening the capacities of ASEAN working groups and sectoral bodies, dedicated ASEAN centres, and within ASEAN Member States. It will support the involved actors in devising regional frameworks and policies to support the transition to a green and circular economy. The action foresees technical assistance as well as possible dedicated grants to ASEAN centres and aims to increase the participation of the private sector, city authorities, civil society, including youth, and other relevant actors in policy dialogue. The intention is to provide an overall regional framework in support of the Regional Green Team Europe Initiative which will bring together and leverage actions planned at the bilateral level across South East Asia.

It is expected that activities, including policy dialogue, technical assistance, capacity development on regulatory frameworks and sharing experiences and know-how among ASEAN and from the EU, will lead to more ambitious and effective climate policies, the promotion and adoption of more sustainable approaches in the areas of food systems and biodiversity and landscape management, and spur the transition to clean energy and a circular economy in ASEAN.

Involving a wide range of actors and promoting partnerships between private sector and CSOs, including women and youth organisations, will ensure wide EU visibility as a global frontrunner on environment and climate change and as the prime partner for ASEAN on the Green Agenda.

Increased and coordinated engagement facilitated by the action will allow leveraging additional funding from EU Member States and European financial institutions, to create greater impact and will ensure the success of the Regional Green Team Europe Initiative with ASEAN/South East Asia and coherence with other EU-funded actions in the region, including Team Europe Initiatives in ASEAN Member States on the Green Agenda and ECHO targeted actions on disaster preparedness.

### 3.6 Logical Framework Matrix

At action level, the indicative logframe should have a maximum of 10 expected results (Impact/Outcome(s)/Output(s)).

It 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.

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
<b>Impact</b>	To enhance the EU-ASEAN partnership and reduce negative environmental impacts in key areas of the European Green Deal.	1. EU-ASEAN Green Agenda is agreed and implemented. 2. Progress on environmental SDGs in ASEAN countries.	1. 0 2. 2021 score by country	1. 1 2 SDG Index Score	1 Official documents, minutes of meeting 2 UNEP / SDGindex.org	<i>Not applicable</i>
<b>Outcome 1</b> [Horizontal climate change]	1. Cooperation with and within ASEAN for developing and implementing ambitious climate policies is improved.	1.1 The AWGCC implements new collective climate policy initiatives with at least one other ASEAN body. 1.2 Number of new collective climate policy positions on strategic priorities in two international policy dialogues introduced by ASEAN representatives. 1.3 Number of climate policy instruments developed that draw on the experience gained from implementing the NDCs in ASEAN Member States (AMS) and integrate inclusive aspects such as gender. 1.4 Number of climate policy instruments that include just transition aspects in particular ensuring decent work in a green transition of the economy of ASEAN Member States.	1.1 0 1.2 0 1.3 0 1.4 0	1.11 1.2 2 1.3 2 1.4 2	1.1 Official meeting records / minutes 1.2 Official meeting records 1.3 (NDCs database from UNDP and NDCs database from UN-ESCAP 1.4 as in 1.3	
<b>Outcome 2</b> [Circular economy, zero pollution and marine litter]	2. A coherent regional transition towards a circular, climate-neutral and resource efficient economy is promoted.	2.1 Number of new gender-responsive policies approved by ASEAN governments in the green or circular economy sectors.	2.1 0	2.1 2	2.1 Official records	
<b>Outcome 3</b> [Biodiversity, sustainable land use, forestry and oceans]	3. The equitable and sustainable management of regional natural capital and landscapes is made more effective.	3.1 Number of degraded hectares of ecosystem restored in ASEAN. 3.2 Number of inventoried natural capital in key landscapes in ASEAN. 3.3 Number of new ecosystem assessments, ecosystem services valuations, and analyses of the impacts of climate change/natural hazards and on socio-economic systems (dynamics model) conducted. 3.4 Reduction in degradation and illegal activities in key ecosystem and trans-boundary protected areas. 3.5. Improvement in biodiversity, sustainable land use and forestry knowledge and science.	<ul style="list-style-type: none"> <li>Illegal activities (encroachment, poaching, illegal logging, etc.) are still taking place in terrestrial and marine landscape in 2021.</li> <li>Limited capacity of AMS to quantify the value of the ecosystem services and natural capital.</li> <li>Some AMS have limited capacity in scientific on suitable</li> </ul>	<ul style="list-style-type: none"> <li>Significant reduction of degradation and illegal activities in 2027 by 30%.</li> <li>30% of Critical Ecosystems in AMS are inventoried and mapped.</li> <li>30% of Natural Capital Valuation in Key Landscapes are quantified.</li> <li>AMS have good/enhanced capacity in scientific biodiversity research, forestry</li> </ul>	3.1 ASEAN State of the Environment Report (SOER) 3.2 ASEAN Socio-Cultural Community (ASCC) Scorecard 3.3 AMS Annual Natural Resources Report 3.4. AWGNCB Action Plan. 3.5 APMS 2020-2030 document and AMS official document.	



			landscape and natural capita; research as well as limited integration of two factors in development processes in 2021	and sustainable landscape after 2027.		
<b>Outcome 4</b> [Sustainable food system]	4. Transition towards sustainable and climate resilient food systems in ASEAN is promoted.	4.1 Number of ASEAN regulations in place for sustainable food systems. 4.2 Number of ASEAN regulations in place on organic farming and agro-ecology in ASEAN. 4.3 Number of ASEAN regulations in place for nutrition labelling and responsible food business and marketing practice.	4.1 0 in 2022 4.2 0 in 2022 4.3 0 in 2022	4.1 3 in 2025 4.2 3+ in 2025 4.3 2 in 2025	Arise Plus Programme final report, ASEAN official reports, programme implementation reports, OECD/UN reports, etc.	
<b>Outcome 5</b> [Clean, affordable, secure energy]	5. Sustainable energy transition towards clean energy and greater energy efficiency is accelerated	5.1 Energy intensity in ASEAN 5.2 RE share in ASEAN total primary energy supply (TPES) 5.3. Energy-related GHG emissions	5.1 2005 level 5.2 2018 % share 5.3. Business as usual scenario from 2005-2025 in energy sector	5.1 32% energy intensity reduction (Joule/unit of GDP) by 2025 compared to 2005 5.2. 23% RE share in TPES by 2025 5.3. GHG emission target scenario of ASEAN in energy sector in 2025	5.1. APAEC monitoring report, AEO 5.2. APAEC monitoring report, AEO 5.3. ASEAN statistic data and climate change reports	
<b>Outcome 6</b> [EU-ASEAN green partnerships call]	6. Partnerships strengthened with and between a wide range of actors including CSOs, city authorities and youth on climate action/environment.	6.1 6.2 ...	6.1 6.2	6.1 6.2	6.1 6.2	
<b>Output 1 related to Outcome 1</b>	1.1 The institutional and individual capacity of the ASEAN bodies relevant to climate policy is strengthened.	1.1.1 Sixty additional representatives, 24 women (40%), from 15 selected government institutions of AMS have received training on relevant topics of international climate policy. [Target value could be increased] 1.1.2 AWGCC and other ASEAN bodies have used two additional exchange formats regarding the topic of NDCs for the purposes of their policy dialogue. 1.1.3 Ten innovative practical examples relevant to NDC implementation have been prepared and made available to ASEAN	1.1.1 1.1.2 1.1.3	1.1.1 1.1.2 1.1.3	1.1.1 1.1.2 1.1.3	

		bodies, including three considering gender aspects.				
<b>Output 2 related to Outcome 1</b>	1.2 Contributions to the ASEAN and bilateral TEIs in the area of the Green Deal are well coordinated with strong European visibility and link to the policy dialogue at regional and national level.	1.2.1 Number of coordination activities (regional forums, meetings, exchanges)	1.2.1	1.2.1	1.2.1	
<b>Output 1 related to Outcome 2</b>	2.1 The basis for effective policy action in ASEAN and its member states concerning plastic production, waste avoidance and waste management in line with circular economy principles is enhanced.	Number of new implementing activities for: 2.1.1 managing plastic waste, including extended producer responsibility and deposit return schemes for packaging and plastic products. 2.1.2 sustainable consumption and production of plastic, including design for reuse and recyclability, standards for plastic recyclates as well as alternatives to plastics and the use of microplastics in products. 2.1.3 reduction of litter from sea-based sources, including port reception facilities for waste from ships, fishing-for-litter schemes, marine litter from aquaculture and fishing gear.	2.1.1 2.1.2 2.1.3	2.1.1 2.1.2 2.1.3	2.1.1 2.1.2 2.1.3	
<b>Output 1 related to Outcome 3</b>	3.3 Capability of ASEAN and its member states to systematically address deforestation and forest degradation, illegal logging, IUU fishing, illegal wildlife trade, and biodiversity loss strengthened.	3.1.1 Percentage of illegal logging, IUU fishing, illegal wildlife trade, and biodiversity loss reduced 3.1.2 Percentage of agriculture, oil palm and fibre, fisheries and NTFS (Non-Timber Forest Products) plantations in AMS that improved their practice into more sustainable way.	3.1.1 Some kinds of illegal activities (encroachment, poaching, illegal logging, etc.) are still taking place in terrestrial and marine landscape in 2021. 3.1.2 Majority of Economic Operators are practicing unsustainable practices in natural resources utilization in 2021.	3.1.1 Reduction of illegal practice by 15-25% by 2027. 3.1.2 Sustainable resources utilization practices improved by 20% by 2027.	Time Series Satellite Information Global Forest Watch Report Meeting documents Agreements Studies reports Protocols produced Policy or government decisions.	
<b>Output 1 related to Outcome 4</b>	4.1 Regulatory regimes for sustainable food systems in ASEAN are better harmonised,	4.1.1 ASEAN food safety regulation in place.	4.1.1 draft by 2022		Arise Plus Programme final report,	

	in line with EU and international standards, to reduce barriers for trade in fod products.	4.1.2 ASEAN Mutual Recognition Agreement (MRA) of Food Hygiene for Prepared Foodstuffs in place. 4.1.3 ASEAN guidelines and procedures on traceability for food and feed products in place. 4.1.4 Number of ASEAN professionals demonstrating increased knowledge and practice of food hygiene inspections and risk-based inspections 4.1.5 International/EU Food Safety and sustainability standards adopted by small-scale farmers.	4.1.2 draft by 2022 4.1.3 guidelines available in 2022 4.1.4 150 (75 women) in 2022 4.1.5 not adopted in 2022	4.1.1 adopted and implemented by 2025 4.1.2 adopted and implemented by 2025 4.1.3 implemented by 2025 4.1.4 300 (150 women) by 2025 4.1.5 adopted by 2026	ASEAN official reports, programme implementation reports, OECD/UN reports, etc.	
<b>Output 2 related to Outcome 4</b>	4.2 Basis for ASEAN cooperation on sustainable agricultural practices, including agro-ecological approaches and climate-smart agriculture, and organic farming, agro-ecology and other innovative approaches including through family farming enhanced.	4.2.1 MRA for Organic Agriculture Certification implemented. 4.2.2 ASEAN Organic Certification scheme implemented. 4.2.3 Integrated Pest Management (IPM), organic farming and agro-ecology practices adopted.	4.2.1 signed by 2022 4.2.2 in place by 2022 4.2.3 not in place by 2022	4.2.1 implemented by 2025 4.2.2 implemented by 2025 4.2.3 adopted and in use by 2025		
<b>Output 3 related to Outcome 4</b>	4.3 Increased public awareness in ASEAN about sustainable and affordable food production and food waste and empower consumers to make informed, healthy food choice.	4.3.1 Public awareness on sustainable agri-food production and consumption. 4.3.2 Harmonised Nutrition Labelling Regulation established and implemented. 4.3.3 Code of Conduct for Responsible Business and Marketing Practice developed.	4.3.1 TBD 4.3.2 not available in 2022 4.3.3 not available in 2022	4.3.1 TBD 4.3.2 established and implemented by 2025 4.3.3 developed by 2025		
<b>Output 1 related to Outcome 5</b>	5.1 Cooperation on energy transition within ASEAN is improved.	5.1.1 Number of policy and technical documents on sustainable energy prepared or revised with input from the EU are endorsed. 5.1.2 Number of EU-supported studies related to renewable energy and energy efficiency as well as the just transition int ASEAN. 5.1.3 Number of recommended actions on cleaner energy and energy efficiency relevant to NDCs that are implemented in AMS.	5.1.1 0 in 2021 5.1.2 0 in 2021 5.1.3 0 in 2021	5.1.1 5 documents in 2025 (input to APAEC 2026-2035, AEO 8, studies, etc.) 5.1.2 2 studies in 2025 5.1.3 5 actions implemented in AMS	5.1.1.Report 5.1.2 Report 5.1.3 Report	
<b>Output 2 related to Outcome 5</b>	5.2 Capacities and awareness of the relevant ASEAN stakeholders in the energy transition is improved.	5.2.1 Number of selected capacity building measures (trainings) and sustainable energy promotions/sharing conducted with relevant ASEAN stakeholders. 5.2.2 Number of regional plans for woman empowerment and youth involvement on energy awareness in ASEAN submitted to	5.2.1 0 in 2021 5.2.2 0 in 2021	5.2.1 10 trainings and 5 information sharing in 2025 5.2.2 1 plan on woman empowerment and youth involvement in energy awareness	5.2.1 Report 5.2.2 Report	

		Renewable Energy Sub-sector Network (RE-SSN).		submitted to SSN in 2025		
<b>Output 1 related to Outcome 6</b>	6.1 Opportunities created for EU and ASEAN organisations to share experiences and cooperate on advocacy for climate neutrality, climate change mitigation and adaptation, biodiversity protection and ecosystem restoration, circular economy and ocean protection.	6.1.1 More than 10 EU and ASEAN organisations have established joint campaigns to protect the climate and biodiversity. 6.1.2 More than 20 sectoral circular economy initiatives/campaigns carried out in ASEAN countries.	6.1.1 6.1.2	6.1.1 6.1.2	6.1.1 6.1.2	
<b>Output 2 related to Outcome 6</b>	6.2 Digital youth environmental education programmes are created and adjusted to the needs of ASEAN member states.	6.2.1 More than 3 age brackets covered with digital environmental education programmes across all 10 ASEAN MS. 6.2.2 More than 10 million ASEAN youth reached with the environmental education campaigns with content in their own languages.	6.2.1 6.2.2	6.2.1 6.2.2	6.2.1 6.2.2	

## 4. IMPLEMENTATION ARRANGEMENTS

### 4.1. Financing Agreement

In order to implement this action, it is not envisaged to conclude a financing agreement with the Association of Southeast Asian Nations (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 adoption by the Commission of this Financing Decision.

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 of the Budget Support Component

N/A

### 4.4. Implementation Modalities

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures<sup>9</sup>.

#### 4.4.1. Direct Management (Grants)

##### **Grants: (direct management)**

##### **(a) Purpose of the grant(s)**

Grants will be awarded to support the achievement of output 5.2 under outcome 5 as well as outcome 6. For output 5.2 under outcome 5, grants are considered as an alternative for Indirect Management with a Member State.

While for output 5.2, other modalities, in particular Indirect Management with a Member State may be considered, grants under outcome 6 will directly contribute to strengthening partnerships with and between a wide range of actors including CSOs, city authorities and youth on climate action/environment.

The expected results of the grants are furthermore directly linked to outputs:

6.1. Opportunities are created for EU and ASEAN organisations to share experiences and cooperate on advocacy for climate neutrality, biodiversity protection, circular economy and ocean protection.

6.2. Digital youth environmental education programmes are created and adjusted to the needs of ASEAN Member States.

##### **(b) Type of applicants targeted**

In order to be eligible for a grant, applicants must:

- be legal entities, public and private sector organisations, CSOs
- be established in a member state of the EU or in a member state of the ASEAN region.
- have demonstrated, at least 5 years of experience in the field of climate neutrality, biodiversity protection, circular economy, sustainable energy and/or ocean protection
- have knowledge of implementation of programmes, also EU-funded ones, in the ASEAN region

<sup>9</sup> [www.sanctionsmap.eu](http://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.

#### 4.4.2. Direct Management (Procurement)

In order to achieve the objectives under section 3.1 service contracts will be signed.

The implementation by these entities will cover outcomes 1,3,4 and 5 to facilitate policy dialogue, capacity building in particular but not limited to the areas listed above, as well as coordination and visibility for the entire action. In addition, it will ensure coordination in the context of the ASEAN/South East Asia TEI Green Initiative.

#### 4.4.3. Indirect Management with Member State Organisations

A part of this action may be implemented in indirect management with a pillar assessed entity, which will be selected by the Commission's services using the following criteria:

- At least 5 years of experience in providing advisory services, capacity building and/or technical assistance to public and private sector;
- Knowledge of the ASEAN context
- Capacity to work with key bodies of ASEAN
- Proven expertise in one or several areas of the action, including climate change mitigation and adaptation, circular economy, biodiversity, sustainable food systems, and sustainable energy.

#### 4.4.4. Changes from indirect to direct management mode (and vice versa) due to exceptional circumstances (one alternative second option)

In case of exceptional circumstances outside of the Commission's control, the implementation modality could be changed from indirect management with Member States organisations to direct management through the award of grants and procurement as described in sections 4.3.1 and 4.3.2.

In case grants envisaged under section 4.4.1 cannot be implemented as planned due to circumstances outside of the Commission's control, the alternative implementation modality will be direct management (procurement) or indirect management based on the same criteria.

In case procurement envisaged under section 4.4.2 cannot be implemented as planned due to circumstances outside of the Commission's control, the alternative implementation modality will be indirect management based on the same criteria.

In case the part of the action envisaged to be implemented under section 4.4.3 cannot be implemented under the indirect management due to circumstances outside of the Commission's control, the alternative implementation modality will be direct management (procurement) based on the same criteria.

#### 4.5. 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).

In accordance with Article 8(3) of Regulation (EU) No 236/2014 and with regard to the regional nature of this action, the Commission decides that natural and legal persons from the following countries, territories or regions shall be eligible for participating in procurement procedures: Brunei Darussalam, Singapore. The supplies originating there shall be eligible.

## 4.6. Indicative Budget

N.B Fungibility/flexibility between component budgets should be maintained to allow for adapting the action to changing needs and priorities.

<b>Indicative Budget components<sup>10</sup></b>	<b>EU contribution (amount in EUR)</b>
<b>Horizontal Climate Change Component (outcome 1)</b>	<b>7 500 000</b>
Procurement (direct management) – cf. section 4.4.22	4 500 000
Indirect management with Member State - cf. section 4.3.3	3 000 000
<b>Circular Economy, Zero Pollution and Marine Litter (outcome 2)</b>	<b>5 000 000</b>
Indirect management with Member State - cf. section 4.3.3	5 000 000
<b>Biodiversity, Sustainable Landscapes, Forestry and Oceans (outcome 3)</b>	<b>2 000 000</b>
Procurement (direct management) – cf. section 4.4.2	2 000 000
<b>Sustainable Food Systems: From Farm to Fork (outcome 4)</b>	<b>4 500 000</b>
Procurement (direct management) – cf. section 4.4.22	4 500 000
<b>Clean, Affordable and Secure Energy (outcome 5)</b>	<b>5 000 000</b>
Procurement (direct management) – cf. section 4.4.2	3 000 000
Indirect management with Member State - cf. section 4.4.3	2 000 000
<b>Call for proposals for EU ASEAN Green Partnerships (outcome 6)</b>	<b>5 000 000</b>
Grants (direct management) – cf. section 4.4.1	5 000 000
<b>Evaluation</b> – cf. section 5.2 and <b>Audit</b> – cf. section 5.3	Covered by another decision <sup>11</sup>
<b>Communication and visibility</b> – cf. section 6	Covered by another decision
<b>Contingencies<sup>12</sup></b>	<b>1 000 000</b>
<b>Totals</b>	<b>30 000 000</b>

## 4.7. Organisational Set-up and Responsibilities

The EU and ASEAN will set up a regional Project Steering Committee (PSC) and act as Co-Chairs to guide the overall implementation of the programme in its entirety. This PSC will take place at least once per year and will,

<sup>10</sup> N.B: The final text on audit/verification depends on the outcome of ongoing discussions on pooling of funding in (one or a limited number of) Decision(s) and the subsequent financial management, i.e. for the conclusion of audit contracts and payments.

<sup>11</sup> Where the action is not covered by a financing agreement (see section 4.1), but ‘will be covered by another Decision’ as it is unlikely that evaluation and audit contracts on this action would be concluded within N+1. These contracts have to be authorised by another Financing Decision.

<sup>12</sup> Consider that contracts where no financing agreement is concluded, contingencies have to be covered by individual and legal commitments by 31 December of N+1.

where possible, be convened back to back with high-level ASEAN meetings. The PSC will (i) provide strategic and policy guidance on project implementation, (ii) review and endorse annual work plans, (iii) monitor project outputs and achievements, (iv) address obstacles and challenges related to project implementation. It will include representatives from the EU, including from relevant Commission services, the AWGCC, AWGNCB and other relevant ASEAN bodies and centres as needed.

The PSC feeds into the EU-ASEAN High-Level Dialogue on Environment and Climate Change. The Environment Division and other relevant Directorates in ASEC shall support the PSC in monitoring the general implementation and in convening the PSC Meetings. Special consideration will be given to the involvement of ASEC directorates under the Economic Pillar in charge of issues addressed by the action.

Sub-groups of the advisory mechanism group may be set-up for specific components of the action, led by the EU together with the respective ASEAN sectoral body or working group on the matter. These sub-groups shall meet at least every 6 months and include relevant EU Delegations in the region to ensure linkages with country-level MIPs and TEIs in AMS. In addition, this shall ensure coordination among various related actions and the coherence of the Team Europe Green Initiative in Southeast Asia.

Representatives from EU-funded programmes at regional and national levels, including bilateral Team Europe Initiatives on the Green Agenda in ASEAN Member States shall be invited for technical level meetings and lessons learnt will be shared.

Civil society, including women organisations, will be consulted and involved in the implementation of the action.

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.

## 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:

The implementing partner is responsible for day to day monitoring and reporting based on the agreed indicators in the logframe. Adjustments to the agreed indicators will be subject to a discussion and approval of the advisory committee. The contracting authority will be responsible for the approval of annual reports.

### 5.2. Evaluation

Having regard to the nature of the action, a mid term and/or a final evaluation may be carried out for this action or its components via independent consultants contracted by the Commission.

The mid-term evaluation would be carried out for learning purposes.

The final evaluation would be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that the action covers a wide variety of issues through different implementation modalities. In case (parts of) the action would be co-financed by EU Member States, evaluations could be conducted jointly for those components.



The Commission shall inform the implementing partners at least 2 months in advance of the dates envisaged for the evaluation missions. The implementing partners 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 shall be shared with the partner country and other key stakeholders following the best practice of evaluation dissemination<sup>13</sup>. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

The financing of the evaluation shall be covered by another measure constituting a Financing Decision.

### 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.

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 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.

<sup>13</sup> See best [practice of evaluation dissemination](#)

## APPENDIX 1 REPORTING IN OPSYS

An Intervention<sup>14</sup> (also generally called project/programme) is the operational entity associated to a coherent set of activities and results structured in a logical framework aiming at delivering development change or progress. Interventions are the most effective (hence optimal) entities for the operational follow-up by the Commission of its external development operations. As such, Interventions constitute the base unit for managing operational implementations, assessing performance, monitoring, evaluation, internal and external communication, reporting and aggregation.

Primary Interventions are those contracts or groups of contracts bearing reportable results and respecting the following business rule: ‘a given contract can only contribute to one primary intervention and not more than one’. An individual contract that does not produce direct reportable results and cannot be logically grouped with other result reportable contracts is considered a ‘support entities’. The addition of all primary interventions and support entities is equivalent to the full development portfolio of the Institution.

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 is defined in the related Action Document and it is revisable; it can be a(n) (group of) action(s) or a (group of) contract(s).

Tick in the left side column one of the three possible options for the level of definition of the Primary Intervention(s) identified in this action.

In the case of ‘Group of actions’ level, add references to the present action and other action concerning the same Primary Intervention.

In the case of ‘Contract level’, add the reference to the corresponding budgetary items in point 4.6, Indicative Budget.

<b>Option 1: Action level</b>		
<input type="checkbox"/>	Single action	Present action: all contracts in the present action
<b>Option 2: Group of actions level</b>		
<input type="checkbox"/>	Group of actions	Actions reference (CRIS# 043-300)
<b>Option 3: Contract level</b>		
<input type="checkbox"/>	Single Contract 1	
<input type="checkbox"/>	Single Contract 2	
<input type="checkbox"/>	Single Contract 3	
	(...)	
<input type="checkbox"/>	Group of contracts 1	

<sup>14</sup> [ARES \(2021\)4204912](#) - 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](#).