Overall Work Plan
(OWP)

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ASEAN Regional Integration Support by the European Union - (ARISE) Plus

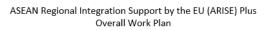## Project No. ACA/2016/389774

Service Contract No. EUROPEAID/138416/DH/SER/MULTI

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ARISE PLUS FACT SHEET

Project Title	ASEAN Regional Integration Support by the EU (ARISE Plus)
Project Number	ACA/2016/389774
Service Contract	EUROPEAID/138416/DH/SER/MULTI
Service Contractor	AETS, in consortium with FratiniVergano, AECOM and ARTEMIS
Project Location	ASEAN Secretariat Jakarta (with activities in ASEAN and EU)
Contracting Authority	EU Delegation to Indonesia & Brunei Darussalam
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Project Dates	8th November 2017 to 7th November 2020
Project Budget	€13,833,125.00
Working Days available	KE 2508, SNKE 6765, JNKE 400.
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LIST OF ABBREVIATIONS

ABAC	ASEAN Business Advisory Council
ACCSQ	ASEAN Consultative Committee on Standards and Quality
ACCC	ASEAN Coordinating Committee on Connectivity
ACCP	ASEAN Committee on Consumer Protection
ACD	ASEAN Cosmetic Directive
AC-SPS	ASEAN Committee on Sanitary and Phytosanitary Measures
ACSS	ASEAN Community Statistical System
ACTD	ASEAN Common Technical Dossier
ACTR	ASEAN Common Technical Requirements
ACTS	ASEAN Customs Transit System
ACTS-IP	ACTS Information Portal Management
AEC	ASEAN Economic Community
AECB	ASEAN Economic Community Blueprint
AEGFS	ASEAN Expert Group on Food Safety
AEO	Authorised Economic Operators
AFAFGIT	ASEAN Framework Agreement on the Facilitation of Goods in Transit
AFAFIST	ASEAN Framework Agreement on the Facilitation of Inter-State Transport
AFAMT	ASEAN Framework Agreement on Multimodal Transport
AFFA	ASEAN Federation of Forwarders Associations
AFS-CC	ASEAN Food Safety Coordinating Committee
AHEEERR	ASEAN Harmonised Electrical and Electronic Equipment Regulatory Regime
AIMD	ASEAN Integration Monitoring Directorate
AMS	ASEAN Member State(s)
API	Active Pharmaceutical Ingredient(s)
APLAC	Asia Pacific Laboratory Accreditation Cooperation
ARAC	ASEAN Risk Assessment Centre for Food Safety
ARASFF	ASEAN Rapid Alert System for Food and Feed
ARISE	ASEAN Regional Integration Supported by the EU
ASEAN	Association of Southeast Asian Nations
ASEAN-CBTP	ASEAN Agreement on the Facilitation of the Cross-Border Transport of Passengers by Road Vehicle
ASEC	ASEAN Secretariat
ASI-CT	ASEAN Statistical Indicators-Consolidated Template
ASOA	ASEAN Standard for Organic Agriculture
ASPSC	ACCSQ's 2016-2025 Strategic Plan for Standards and Conformance
ASSIST	ASEAN Solutions for Services, Investment and Trade
ATFJCC	ASEAN Trade Facilitation Joint Consultative Committee
ATFF	ASEAN Trade Facilitation Framework
ATFSAP	ASEAN Trade Facilitation Strategic Action Plan
ATFW	ASEAN Trade Facilitation Work Plan
ATT	Authorised Transit Trader
ASW-SC	ASEAN Single Window Steering Committee
ATIGA	ASEAN Trade in Goods Agreement
ATR	ASEAN Trade Repository
AWP	Annual Work Plan
BE	Bio-equivalence
BFSDAS	Broad Framework for the Sustainable Development of ASEAN Statistics

CCA	ASEAN Coordinating Committee on the Implementation of ATIGA
CCI	ASEAN Coordinating Committee on Investment
CCBWG	Customs Capacity Building Working Group
CCC	ASEAN Customs Coordinating Committee
CCS	ASEAN Coordinating Committee on Services
CECWG	Customs Enforcement and Compliance Working Group
CEN-CENELEC	European Committee on Standardization – European Committee for Electrotechnical Standardization
CIFOCOss	Chronic Individual Food Consumption database – Summary statistics
CLMV	Cambodia, Lao PDR, Myanmar, Viet Nam
COB	Council of ASEAN Insurance Bureaux
COST	Committee on Science and Technology
CPTFWG	Customs Procedures and Trade Facilitation Working Group
DSG	Deputy Secretary General
DG DEVCO	Directorate-General for International Cooperation and Development
EC	European Commission
EDSM	Enhanced Dispute Settlement Mechanism
EEE	Electrical and Electronic Equipment
EU	European Union
EUABC	EU-ASEAN Business Council
FA	Financing Agreement
FAO	Food and Agriculture Organization
GIFT	Global Individual Food Consumption Data Tool
GMP	Good Manufacturing Practice
ICH	International Council for Harmonization
IGDRP	International Generic Drug Regulators Program
KE	Key Expert(s)
KLTSP	Kuala Lumpur Transport Strategic Plan
JNKE	Junior Non-Key Expert
LSAD	Legal Services and Agreements Directorate
MIS	Management Information System
MPAC	Master Plan on ASEAN Connectivity
MRA	Mutual Recognition Arrangement
MSME	Micro-, Small-, and Medium-Sized Enterprises
MST	Malaysia, Singapore, Thailand
NKE	Non-Key Expert
NAB	National Accreditation Body
NFAB	National Focal Points for Accreditation
NTM	Non-Tariff Measure(s)
NTR	National Trade Repository
NTTCC	National Transit Transport Coordinating Committees
OWP	Overall Work Plan
PFPWG	Prepared Foodstuffs Product Working Group
PIC/S	Pharmaceutical Inspection Co-operation Scheme
PPWG	ACCSQ Pharmaceutical Product Working Group
PSC	Project Steering Committee
PWG	Product Working Group(s)
SC-AROO	Sub Committee on ATIGA Rules of Origin
SNKE	Senior Non-Key Expert
SPCD	Strategic Plans for Customs Development
STOM	ASEAN Senior Transport Officials

SOM AMAF	Senior Officials Meeting of the ASEAN Ministers on Agriculture and Forestry
TA	Technical Assistance
TAT	Technical Assistance Team
TBT	Technical Barriers to Trade
TFD	Trade Facilitation Division
TFWG	ASEAN Transport Facilitation Working Group
TRIM	Trade-related Investment Measure
TTCB	Transit Transport Coordinating Board
UNCTAD	United Nations Conference on Trade and Development
VCO	Visibility, Communication and Outreach
WGDSA	Working Group on Data Sharing, Analysis, Dissemination and Communication
WHO	World Health Organization
WTO	World Trade Organization

EXECUTIVE SUMMARY

This document constitutes the Overall Work Plan (OWP) of the ASEAN Regional Integration Support by the EU (ARISE) Plus project. The Technical assistance provided under ARISE Plus will significantly contribute to regional economic integration and is guided by the ASEAN Economic Community Blueprint (AECB) 2025. ARISE Plus formally commenced on 8th November 2017 with a 5-month inception period, and this OWP covers the implementation phase from 8th April 2018 to 7th November 2020.

The implementation of the OWP will be delivered through three work plans (WP) as follows:

First work plan (WP1)	8th April 2018 to 7th May 2019
Second work plan (WP2)	8th May 2019 to 7th May 2020
Third work plan (WP3)	8th May 2020 to 7th November 2020

The project's OWP has been structured along the following lines, five high level components, and fifteen related sub-components.

Project Structure

Component 0	**Management and Outreach**
Sub-component 0.1	Project Management and Coordination
Sub-component 0.2	Demand Driven Contingency
Sub-component 0.3	Visibility, Communication and Outreach
Component 1.0	**Trade Facilitation and Transparency**
Sub-component 1.1	ATIGA Implementation with Focus on Transparency and NTMs
Sub-component 1.2	Trade Facilitation and Private Sector Engagement
Sub-component 1.3	'On-Demand' Activities
Component 2.0	**Standards and Conformity Assessment in Particular Healthcare and Agro-Based Products**
Sub-component 2.1	Supporting the Development Quality Infrastructure and Related Policies in ASEAN
Sub-component 2.2	Supporting the Harmonisation of Standards and Compliance to International Standards
Sub-component 2.3	Supporting the Market Integration and Enhancing Food Safety in Agro-based Sector
Sub-component 2.4	Support to the Pharmaceutical Sector
Component 3.0	**Customs, Transport and ACTS**
Sub-component 3.1	Customs Measures
Sub-component 3.2	Transport Measures
Sub-component 3.3	ACTS Implementation
Component 4.0	**ASEAN Economic Integration Monitoring and Statistics**

| Sub-component 4.1 | ASEAN Economic Integration Monitoring |
| Sub-component 4.2 | ASEAN Statistics Capacity Building |

Following an extensive consultation process with: the ASEAN Secretariat, 17 different sectoral working groups and committees and the EU, the Sub components were further developed into 52 related activities. It is on this basis that the resource allocation has been made. It should be noted that the resource allocation is indicative as there is the need for flexibility given the demand-driven element in the design of the project and the duration.

Implementation of activities will be carried out by the Technical Assistance Team (TAT) which has been contracted through a consortium of consulting firms led by AETS. The TAT comprises four key experts, providing 2508 expert working days. A further total of 6765 senior short term expert working days, 400 junior short term expert working days and EUR 3.500.000 for incidental expenditures is available and has been allocated as indicated, the allocation takes into account the resource used during the Inception Period.

The indicative allocation of resources aggregated at the component level   for the OWP is shown below, with a breakdown at the sub component level provided in the body of the report.

OWP Overall Resource Allocation

Component	KE days	SNKE days	JNKE Days	Incidentals
0.0 Management and Outreach	897	793	0	€437.690
1.0 Trade Facilitation and Transparency	377	1070	100	€673.243
2.0 Standards and Conformity Assessment in Particular Healthcare and Agro-based products	463	1250	175	€962.212
3.0 Customs, Transport and ACTS	467	2513	50	€1.044.798
4.0 ASEAN Economic Integration Monitoring and Statistics	0	1023	75	€302.057
Total	**2204**	**6649**	**400**	**€3.420.000**

These resources will be used to achieve the outcomes shown below:

Project Structure and Outcomes

Component 0.0 Management and Outreach	Outcomes
Sub-component 0.1 Project Management and Coordination	*Project resources managed to ensure the efficient and effective realisation of outcomes at all levels.*
Sub-component 0.2 Demand Driven Contingency	*Demand-driven activities facilitated to support the implementation of the AEC Blueprint 2025.*
Sub-component 0.3 Visibility, Communication and Outreach	*Communication objectives of the AEC is supported whilst providing visibility to ARISE Plus as a flagship programme of the EU and the strategic nature of the EU's support.*
Component 1.0 Trade Facilitation and Transparency	**Outcomes**
Sub-component 1.1 ATIGA Implementation with Focus on Transparency and NTMs	*Enhanced trade-related regulatory transparency and progressive NTMs' streamlining through the effective operationalization of the ASEAN Trade Repository (ATR) and the network of AMSs' National Trade Repositories (NTRs).*
Sub-component 1.2 Trade Facilitation and Private Sector Engagement	*Private sector engagement is enhanced through increased participation in the activities of ATF-JCC and other ASEAN sectoral bodies, in line with the applicable Guidelines for Private Sector Engagement, and by greater usage of ASSIST, including in the areas of trade in services and trade-related investment measures.*
Sub-component 1.3 'On-Demand' Activities	*Legal certainty, commercial predictability and trade facilitation are enhanced through specific on-demand support for, inter alia, self-certification of goods of ASEAN origin, the trade facilitation related activities of the ASEAN Consultative Committee on Connectivity, and the transposition of regional agreements at national level.*
Component 2.0 Standards and Conformity Assessment in Particular Healthcare and Agro-based products	**Outcomes**
Sub-component 2.1 Supporting the Development Quality Infrastructure and related policies in ASEAN	*Technical barriers to trade for intra-ASEAN trade are reduced through the adoption of policies, mutual recognition arrangements, harmonisation of regulatory regimes and the development of the quality infrastructure and supporting mechanisms for market integration.*

Sub-component 2.2 Supporting the Harmonisation of Standards and Compliance to International Standards	*Market integration advanced with the increased number of standards harmonised in ASEAN that are aligned with international standards which are adopted by regulatory authorities and referenced by ASEAN businesses and industry.*
Sub-component 2.3 Supporting the Market Integration and Enhancing Food Safety in Agro-based Sector	*Reduced barriers for trade in food products and essential food safety levels ensured across AMS through the establishment of an integrated regulatory framework for food safety based on harmonised standards and measures.*
Sub-component 2.4 Support to the Pharmaceutical sector	*The adoption of a common approach and agenda for pharmaceutical regulation that enhances the regulatory systems for pharmaceuticals in turn facilitating the production of pharmaceuticals and improving access to medicines in ASEAN.*
Component 3.0 **Customs, Transport and ACTS**	**Outcomes**
Sub-component 3.1 Customs Measures	*Enhanced harmonisation of the customs environment within ASEAN in support of the facilitation of ASEAN trade with more effective partnerships between customs authorities and the business community.*
Sub-component 3.2 Transport Measures	*An enhanced cross-border transport environment implemented within ASEAN, for the benefit of the private sector cross-border trading community and passengers.*
Sub-component 3.3 ACTS Implementation	*the ASEAN Customs Transit System (ACTS) installed and operating live within a ratified legal environment on the ASEAN north-south and east-west transit transport corridors.*
Component 4.0 **ASEAN Economic Integration Monitoring and Statistics**	**Outcomes**
Sub-component 4.1 ASEAN Economic Integration Monitoring	*Through the operationalisation of the AEC 2025 M&E framework analysis, reporting and awareness on the progress of AEC integration facilitated and ASEAN research, capacity and awareness strengthened to support the implementation of the AEC Blueprint 2025.*
Sub-component 4.2 ASEAN Statistics Capacity Building	*Strengthened coordinating role of the ACSS as the apex statistical entity, with improved statistical production capacities to cater for relevant new data requests from ASEAN Sectoral Bodies in all ASM (and particularly but not limited to CLMV countries).*

PROJECT BACKGROUND

The ASEAN Regional Integration Support by the EU (ARISE) Plus, Service contract number EUROPEAID/138416/DH/SER/MULTI, started officially on 8th November 2017 by means of an administrative order from the Delegation of the European Union in Jakarta. The initial closing date of the project is 7th November 2020, after 36 months. Additional services related to the activities may be contracted through a negotiated procedure for an additional 24 months for an estimated additional budget of up to €7,400,000 subject to the decision of the EU Delegation in conjunction with the Project Steering Committee and their relevant parties.

The project builds on the achievements of the predecessor EU funded projects, most notable ARISE, that is recognised as a highly successful project and finished in June 2017. The short gap between ARISE and ARISE Plus, means the momentum generated under ARISE has not been lost and the foundations for ARISE Plus are firmly in place and it is upon this which the OWP is built.

This OWP outlines the general direction of activities as well as the basic setup and operational modalities of the project. The implementation phases covered by this OWP will be broken down and detailed in three work plans (WP) as follows:

First work plan (WP1)	8th April 2018 to 7th May 2019
Second work plan (WP2)	8th May 2019 to 7th May 2020
Third work plan (WP3)	8th May 2020 to 7th November 2020

ARISE plus has two types of resources at its disposal: expert working days and funds for incidental expenditures. Out of the total 9673 expert working days, 2508 days are assigned to key experts 1-4, 6765 expert working days are available for senior non-key experts (SNKE) and 400 days for junior non-key experts (JNKE). A total of €3,500,000 is available to cover incidental expenditures as defined in the ToR.

This represents a significant increase on the resources available under the predecessor project, and the challenge of mobilising the resources cannot be underestimated, however drawing on previous experience of ARISE project, the Key experts of the TA team are well equipped to meet the challenge. The TA team will be supported by the consortium comprising AETS (lead partner) Artemis, AECOM and FratiniVergano, with Intrasoft being the nominated Sub-contractor for ACTS.

Guiding Project Documents

The Guiding documents of the project are:
- The Financing Agreement (FA) between the Association of Southeast Asian Nations (ASEAN) and the European Union (EU).
- The Terms of Reference (ToR), which are the basis for the service contract between the EU and AETS Consortium.

Governance

Project Steering Committee

The Project Steering Committee (PSC) is the highest body governing ARISE plus.

The EU Delegation and the ASEAN will set up a regional Project Steering Committee (PSC) and act collectively as Co-Chairs for the overall implementation of ARISE Plus. It will include representatives from the AMS, the relevant ASEAN sectoral bodies and the ASEAN Secretariat. and shall meet annually and will:

- supervise and ensure that the programme is implemented in accordance with sound verifiable and transparent reporting and auditing standards;

- review plans of operations, Annual Work Plans, including technical assistance requirements, taking into account the recommendation of the Reference Groups;

- review monitoring and progress reports and participating in all monitoring and evaluation processes based on a single integrated monitoring framework;

- provide guidance and facilitate overall programme implementation.

The implementation of this TA contract will have its separate sub-PSC meeting organised prior to ARISE Plus PSC annual meeting, and it shall provide strategic guidance to ARISE, review and endorse all work plans and reports, and facilitate contacts and networking.

Project Description

The Component and activity structure as defined in the ToR has been adjusted and aligned for coherence with the ASEAN bodies, their respective work plans and ARISE Plus reporting. The table below summarises the alignment.

Project Component Structure Comparing the Overall Work Plan and ToR

OWP Numbering	Title	ToR numbering
Component 0.0	Management and Outreach	n/a
Component 1.0	Trade facilitation and Transparency	Component 1.1
Component 2.0	Standards and Conformity Assessment in particular Healthcare and Agro-based products	Component 1.2
Component 3.0	Customs, Transport, and ACTS	Component 1.3
Component 4.0	Strengthen ASEAN Economic Integration Monitoring	Component 4.1
Component 4.0	Strengthen ASEAN Statistics Capacity	Component 4.2

The components are further subdivided into Sub Components (as shown below) and it is at this level which outcome monitoring will occur. The Sub Components comprise of a series of interlinked activities with defined outputs and results which contribute to the realisation of Outcomes.

Project Structure

Component 0.0	**Management and Outreach**
Sub-component 0.1	Project Management and Coordination
Sub-component 0.2	Demand Driven Contingency
Sub-component 0.3	Visibility, Communication and Outreach
Component 1.0	**Trade Facilitation and Transparency**
Sub-component 1.1	ATIGA Implementation with Focus on Transparency and NTMs
Sub-component 1.2	Trade Facilitation and Private Sector Engagement
Sub-component 1.3	'On-Demand' Activities
Component 2.0	**Standards and Conformity Assessment in Particular Healthcare and Agro-based products**
Sub-component 2.1	Supporting the Development Quality Infrastructure and Related Policies in ASEAN
Sub-component 2.2	Supporting the Harmonisation of Standards and Compliance to International Standards
Sub-component 2.3	Supporting the Market Integration and Enhancing Food Safety in Agro-based Sector
Sub-component 2.4	Support to the Pharmaceutical Sector
Component 3.0	**Customs, Transport and ACTS**
Sub-component 3.1	Customs Measures
Sub-component 3.2	Transport Measures
Sub-component 3.3	ACTS Implementation
Component 4.0	**ASEAN Economic Integration Monitoring and Statistics**
Sub-component 4.1	ASEAN Economic Integration Monitoring
Sub-component 4.2	ASEAN Statistics Capacity Building

The ToR of ARISE Plus specify the overall Objective, Purpose and Results, which form the basis of the activities as detailed in this OWP.

Overall objective

The ASEAN Regional Integration Support from the EU (**ARISE**) Plus, has the overall **objective** "To support greater economic integration in ASEAN through the implementation of the ASEAN Economic Community Blue Print 2025 (AECBP)".

Purpose

The purposes of this contract are as follows:
- To improve customs, transport facilitation, trade facilitation, and standards with a view to achieve a highly integrated cohesive economy;

- To strengthen institutional capacities through, in particular, managing the integration process with an emphasis on strengthening compliance, outcomes monitoring, and impact assessment including statistics, coordination and management and improved capacity among ASEAN bodies and the ASEAN Secretariat (ASEC)

Results

The results to be achieved by the project follow the component-based structure, which is further elaborated upon under the activities for each component and related subcomponent.

Component 1 Trade Facilitation and Transparency
Implementation of the ASEAN Trade Facilitation Framework (ATFF) and implementation of the ASEAN Trade in Goods Agreement (ATIGA) through addressing non- tariff barriers (NTB's) in particular through the ASEAN Trade Repository (ATR)/ National Trade Repositories (NTR's), ASSIST, an ASEAN wide self-Certification of product origin scheme and maintaining an NTM database.

Component 2 Standards and Conformity Assessment in particular Healthcare and Agro-based Products
Implementation of harmonised Standards and Mutual Recognition Arrangements (MRA's) in Specific sectors.

Component 3 Customs, Transport and ACTS
Harmonisation of Customs and Transport facilitation procedure; development of an implementation framework for the ASEAN Framework Agreement on Multimodal Transport (AFAMT) and Implementing Guidelines of the ASEAN Framework Agreement on the Facilitation of Cross Border Transport of Passengers by Road Vehicles (CBTP) and implementation of the ASEAN Customs Transit System (ACTS).

Component 4 ASEAN Economic Integration Monitoring and Statistics
Enhancement of the ASEAN Economic Community Integration Monitoring Framework through better monitoring of the progress and outcomes / impact of regional integration to facilitate the implementation of measures and enhanced outreach and reporting.

Assumptions

Underlying the successful delivery of the project and achieving the defined results, there are the following assumptions.
- AMS are committed to achieving the AEC Blueprint (AECB) 2025;

- Political and security situation remains stable;

- Suitable skilled personnel are available and can be retained by ASEC to support AECB 2025 implementation;

- ASEAN integration beyond 2015 is given an enhanced position as part of the AMS governments' national development agendas in the course of programme's implementation;

- Continuous coordination amongst the ASEAN partners takes place to ensure coherence, complementarity and efficiency;

- AMS are committed to implement the ATFF (endorsed in 2016);

- AMSs ratify the protocols necessary for the implementation of the ASEAN transport facilitation agreements;

- AMSs ratify the AFAFGIT protocols;

- Continued commitments in ASEC to go beyond compliance monitoring;

- Pertinent data and information on ASEAN integration are available and accessible; and

- Retainment of mandate for ASEAN Secretariat to take lead in AEC integration progress and outcomes/impact monitoring and for the requisition mechanisms to be put in place.

Risks

The design of ARISE Plus is based on the previous achievements of ARISE and aims at building on the results delivered. However, the following risks have been identified and have been taken in to consideration when designing and planning activities.

- Lack of genuine political commitment and administrative willingness to implement changes and reforms;

- Development gaps among and within AMS (regulatory, technical and infrastructural) may prevent achievement of higher level results;

- Absorption capacity (knowledge transfer) is inadequate and unsustainable;

- Wrong/inadequate personnel attendance to meetings;

- High staff turnover takes place;

- SMEs in some countries may not have associations to represent them; and

- Growing competition and economic uncertainty in the face of a global slowdown could trigger protectionist tendencies in some AMS and slow the momentum of ASEAN integration efforts.

PLANNED PROJECT ACTIVITIES IN THE PERIOD APRIL 2018 TO NOVEMBER 2020

COMPONENT 0.0 MANAGEMENT AND OUTREACH

Planned Resources Component 0.0

Component 0.0	KE1	KE2	KE3	KE4	S-NKE	J-NKE	Incidentals
Sub Component 0.1	571	95	115	117	0	0	€ 120.911
Sub Component 0.2	0	0	0	0	553	0	€ 205.392
Sub Component 0.3	0	0	0	0	240	0	€ 111.387
Total Component 0.0	**571**	**95**	**115**	**117**	**793**	**0**	**€ 437.690**

Sub-Component 0.1 Project Management and Coordination

Outcome

> *Project resources managed to ensure the efficient and effective realisation of outcomes at all levels.*

Activity 0.1.1 Project Management and Coordination

The Team Leader, the Key Experts and the Project Assistants in Jakarta will coordinate the implementation of ARISE Plus as a whole. They will coordinate the activities in Components 1-4 which are defined and detailed in the relevant chapters of this OWP. The ARISE Team Leader will promote the project to key stakeholders in the ASEAN and the EU with a strong focus on the Private Sector. In addition, he will ensure the coordination between the ARISE Plus 'Single Market' project and the EU funded bilateral projects. This will be supported by integrated monitoring framework developed under ARISE Plus and rolled out to the national projects as and when they commence.

The tasks of the Team leader under this activity include but are not limited to:

- Consult all relevant stakeholders, including high level officials in ASEAN and the EU Delegation, representing the Contractor;

- Provide high-level policy / technical / strategic inputs to the ASEAN Secretariat;

- Identify, in cooperation with ASEC and AMSs, areas for further cooperation when needed to achieve the project results;

- Manage the team of Key and non-Key Experts, including the detailed definition of their ToRs and monitoring their performance;

- Report regularly to the EU Delegation on progress achieved in implementing the project;

- Participate actively in M&E activities, with specific focus on developing and implementing an integrated monitoring framework across ARISE Plus regional and national components;

- Insure coordination across all ARISE Plus' components, including those implemented at the national level.

Consultation Process

To facilitate the preparation and approval of this OWP, one of the key tasks carried out during the Inception period was the consultation with the beneficiaries and stakeholders of the project. The ARISE Plus project has many different stakeholders within ASEAN Secretariat (ASEC), ASEAN Member States and the EU. This adds an additional level of complexity to both the management of the project and the delivery of the results. The detail of those consulted with for each sub component is listed below. Those consulted are also the direct beneficiaries.

Sub Component	Bodies Consulted/Beneficiaries
1.1 ATIGA Implementation with Focus on Transparency and NTMs	ASEAN Secretariat's Trade Facilitation Division, Senior Economic Officials Meeting (SEOM), ASEAN Trade Facilitation Joint Consultative Committee (ATF-JCC), ASEAN Coordinating Committee on the Implementation of ATIGA (CCA), ASEAN Trade Repository/National Trade Repository (ATR/NTR) Focal Points in AMSs and Private Sector in ASEAN.
1.2 Trade Facilitation and Private Sector Engagement	SEOM, ATF-JCC, CCA, ASEAN Coordinating Committee on Services (CCS), ASEAN Coordinating Committee on Investment (CCI), AMSs' ASSIST Focal Points, ASEAN DSG for AEC, ASEAN Secretariat Trade Facilitation Division, ASEAN Transport Facilitation Working Group (TFWG), ASEAN Single Window-Steering Committee (ASW-SC), ASEAN Consultative Committee on Standards and Quality (ACCSQ), ASEAN Committee on Sanitary and Phytosanitary Measures (AC-SPS), ASEAN Member States and Private Sector in ASEAN.
1.3 'On-Demand' Activities	CCA, Sub Committee on ATIGA Rules of Origin (SC-AROO), ASEAN Connectivity Coordinating Committee (ACCC), SEOM, ACCSQ, AMSs' Regulators, ASEAN Secretariat's Legal Service and Agreement Directorate, ASEAN Secretariat's Trade Facilitation Division, SEOM, ASEAN Member States and Private Sector in ASEAN.
2.1 Supporting the Development of the Quality Infrastructure and Related Policies in ASEAN	ACCSQ , Product Working Groups under ACCSQ and Regulatory Agencies in ASEAN, ASEAN Product Working Groups Implementing Mutual Recognition Arrangements, ACCSQ Working Group 2, ACCSQ Working Group 3, Member States' regulatory agencies, ASEAN accreditation bodies and National Accreditation Focal Points, ASEAN Committee on Consumer Protection (ACCP), ACCSQ WG3, the Committee on Science and Technology (COST) and its Experts' Group on Metrology, Agriculture Working Groups for Crops, Fisheries and Livestock, Prepared Foodstuffs Product Working Group for Food Safety , the Pharmaceutical Products Working Group, Health Cluster 3, Health Cluster 4.

2.2 Supporting the Harmonisation of Standards and Compliance to International Standards	Working Group 1 of the ACCSQ, Product Working Groups, National Standards Bodies in Member States, Trade and Industry in ASEAN and regulatory agencies in Member States.
2.3 Supporting the Market Integration and Enhancing Food Safety in Agro-based Sector	Health Cluster 4, Prepared Foodstuffs Product Working Group (PFPWG) and Members State's food safety regulators, ASEAN Risk Assessment Centre for Food Safety (ARAC), ASEAN Rapid Alert System for Food and Feed (ARASFF) Steering Committee, Senior Officials Meeting of the ASEAN Ministers on Agriculture and Forestry (SOM-AMAF), the Task Force ASEAN Standards on Organic Agriculture, the Agriculture Working Groups for Crops, Fisheries and Livestock, ACCSQ Working Group 2, ASEAN Consumers.
2.4 Support to the Pharmaceutical Sector	ACCSQ Pharmaceutical Product Working Group (PPWG), Health Cluster 2 and 3 under the ASEAN Health Ministers.
3.1 Customs Measures	ASEAN Customs Directors-General, Customs Coordinating Committee (CCC) and its Working Groups, the Transit Transport Coordinating Board (TTCB), the ASEAN Federation of Forwarders Associations (AFFA), National Transit Transport Coordinating Committees (NTTCC), ASEAN Senior Transport Officials (STOM), ASEAN Transport Facilitation Working Group, and ASEAN Secretariat.
3.2 Transport Measures	TTCB, NTTCC, STOM, ASEAN Transport Facilitation Working AFFA, ASEAN Secretariat.
3.3 Implementation of ACTS	ASEAN Customs Directors-General, STOM, TTCB, CCC and its Working Groups, AFFA, NTTCC, ASEAN Transport Facilitation Working Group and ASEAN Secretariat.
4.1 Strengthen ASEAN Economic Integration Monitoring Systems	ARISE Plus TAT regional and bilateral projects, EU Mission to ASEAN, EUD to AMS, ASEAN Integration Monitoring Directorate (AIMD), Relevant ASEAN Bodies, ASEAN Member States.
4.2 Strengthen ASEAN Statistics Capacity	ASEAN Integration Monitoring Directorate (AIMD) and Statistic Division (ASEANstats), ASEAN Community Statistical System (ACSS), Sub-Committee on Planning and Coordination (SCPC), Working Group on Data Sharing, Analysis, Dissemination and Communication (WGDSA), Working Groups on relevant domains.

It should also be noted that the team has been involved in extensive discussions with other Dialogue partners to ensure that there is a complementarity between the activities proposed by ARISE and other donor support to ASEAN.

Planning & Reporting

The Team Leader will coordinate the timely preparation and coordination of the following plans, and reports:

Work Plans

This OWP will be implemented through 3 Work Plans (WP's) during the cycle of ARISE Plus. The OWP provides a high-level view of the planned activities together with an indicative budget for each sub-component. The WPs will detail the activities planned under each sub-component together with activity budget estimates, as illustrated below.

The following work plans will be submitted during the implementation period of ARISE Plus;

Period	Report	Submission Date to PSC
8th April 2018 – 7th November 2020	Overall Work Plan	March 2018
8th April 2018 – 7th May 2019	Work Plan 1	March 2018
8th May 2019 – 7th May 2020	Work Plan 2	May 2019
8th May 2020 – 7th November 2020	Work Plan 3 (final)	May 2020

Prior to submission to the PSC for endorsement, all work plans will be submitted to the respective ASEC desk officers for forwarding to the relevant sectoral working groups and coordinating

committees, to ensure alignment with their strategic action plans. The EUD will also be consulted for comment. Following this Team Leader will forward work plans to the PSC for endorsement.

Reporting

The Technical Assistance Team will submit the following reports during the period of ARISE Plus implementation:

Period	Reports
8th November 2017 – 7th April 2018	Inception Report
8th November 2017 – 7th May 2018	1st Six-monthly Report
8th May 2018 – 7th November 2018	2nd Six-monthly Report
8th November 2018 – 7th May 2019	3rd Six-monthly Report
8th May 2019- 7th November 2019	4th Six-monthly Report
8th November 2019 – 7th May 2020	5th Six-monthly Report
8th May 2020 – 7th November 2020	6th Six-monthly Report
8th November 2017– 7th November 2020	Final Report

All reports will be submitted to the PSC for endorsement. Once PSC endorsement has been obtained, AETS will formally submit reports to the EUD for approval. The narrative reports referred to above will be accompanied on a six months basis by the invoice and associated expenditure verification report.

Sub-Component 0.2 Demand Driven Contingency

Outcome

Demand-driven activities facilitated to support the implementation of the AEC Blueprint 2025.

Activity 0.2.1 Demand Driven Contingency

A key element of the successful delivery of the results under the ARISE project was the creation of an unallocated pool of resources to meet the demand of activities which had not been planned under the OWP.

Discussions with SEOM and their associated bodies, during the inception period, have confirmed the need for this type of demand driven provision to be continued. Therefore, to meet this request, under ARISE Plus the allocation of resources made in this OWP are considered as indicative, and under Activity 0.2.1 a pool of SNKE days and incidentals have been budgeted which will be used to respond to demand driven unforeseen activities. This will be reflected in the related Work Plans.

The modalities of utilisation will follow the process which reflects the standard procedures agreed between ASEAN ASEC, EUD and ARISE Plus. It should be noted that the request for such activities will be initiated by the Coordinating Committees / sectoral bodies who are direct beneficiaries of the ARISE Plus Project.

Sub-Component 0.3 Visibility, Communication and Outreach (VCO)

Outcome

> *Communication objectives of the AEC is achieved whilst providing visibility to ARISE Plus as a flagship programme of the EU and the strategic nature of the EU's support.*

Activity 0.3.1 Visibility, Communication and Outreach (VCO)

Rationale:

The ASEAN Economic Community Blueprint 2025 clearly outlines the communications objectives of:

– creating greater awareness of the AEC including its objectives, potential benefits and challenges in all ASEAN countries.

– keeping all stakeholders informed of the progress of the AEC, and its contribution to economic development, sustainable and equitable growth and the well-being of people in the region.

– developing a regional platform for dialogue and sharing information in implementing the AEC.

– creating AEC communication channels to reach ASEAN communities on the AEC.

Activity 0.3.1 will contribute towards these communication objectives of the AEC whilst providing visibility to ARISE Plus as a flagship programme of ASEAN and the strategic nature of the EU's support.

The VCO activities will enable the numerous technical outputs and outcomes at the activity level generated by ARISE Plus regional project under its four technical components to be packaged in an attractive, contextualised, branded and consistent manner so as to create ownership and relevance amongst key target groups. The VCO activities will also establish a number of communication channels and tools so as to effectively engage with ASEAN stakeholders and also support feedback mechanisms. Social media will be leveraged upon to enable quick, effective and real time communication and increased visibility of ARISE Plus regional project activities and the regional project as a whole.

The activity also offers added value as it facilitates activities identified by the project components such as strengthening public-private partnership co-operation, promoting compliance to international standards among business and establishing feedback mechanisms with ASEAN stakeholders for AEC monitoring.

Activity 0.3.1	Visibility, Communication and Outreach
Main Beneficiaries	Relevant EU, ASEAN, AMS and national level beneficiaries which include government bodies, private sector, associations, media, other donor agencies and academia.
Planned Tasks	• **Develop** communication products at project and activity level; • **Develop** initial key messages matrix;

Activity 0.3.1	Visibility, Communication and Outreach
	Develop calendar of relevant ASEAN and AMS initiatives (e.g., AEC events, sectoral events) which is leveraged to enhance communication, outreach and visibility of Arise Plus at the project, component and activity level; **Develop** a multiplier strategy to effectively engage with suitable multiplier organisations to maximise the dissemination and outreach potential of VCO activities through their networks, events and communication channels and establish feedback mechanisms; **Finalise** communication and visibility plan (key messages, stakeholders, multiplier strategy, best communication tools, communication guidelines for TAT, design and branding guidelines, visibility screening tool, copyright screening tool and specific outreach activities); **Identify** and engage with suitable multiplier organisations including ASEAN sector bodies, ASEAN level business associations, AMS level business associations, EU chambers of commerce in AMS, AMS government networks; **Develop** content for print communication products e.g. posters, banners, leaflets, booklets, folders, policy studies; **Develop** content and design requirements for project website and oversee development in conjunction with key expert; **Develop** content and design requirements for animations and video and supervise development; **Develop** content and design requirements for other communication products e.g. bookmarks, calendars etc; **Design** and identify suitable activities to communicate with and engage the private sectors from AMS in the relevant ARISE+ activities; **Develop** content and engagement strategies for social media platforms such as Facebook, Twitter and LinkedIn to engage with relevant stake holders especially the private sector; **Develop** case studies at the project, and activity level; **Organize** and support outreach events targeting key stakeholders including the private sector at the project, component and activity level building on partnerships with multiplier organisations and sectoral events conducted by the project; **Provide** inputs into suitable ASEAN publications; **Provide** inputs for EU-ASEAN newsletter, updates for EU Ambassadors and DEVCO Heads; **Develop** media linkages, produce press-releases and facilitate media publications;

Activity 0.3.1	Visibility, Communication and Outreach
	• **Maintain** media library (event photos and other visuals); • **Undertake** consultations with ARISE Plus national projects to ensure coherence, coordination and brand consistency in communication efforts within the ARISE Plus programme; • **Develop** communication, branding and design guidelines for ARISE Plus national projects to ensure coherence in messages and brand consistency within the Arise Plus programme but enable uniqueness in each country (e.g. for production of communication materials, identifying key messages, outreach events, visibility screening tools, copyright screening tools, communication monitoring tools etc).
Expected outputs	1. Communication stake holder matrix for every AMS which include government bodies, private sector, associations, media, other donor agencies and academia; 2. Key messages matrix; 3. Master annual calendar of relevant ASEAN and AMS activities and events to leverage on for ARISE + VCO activities; 4. Multiplier strategy; 5. Communication and visibility plan; 6. Print communication products (e.g. posters, banners, leaflets, booklets, coffee table books, folders, policy studies); 7. Project website (enhanced and regular updates); 8. Social media content and platforms such as Facebook, Twitter and LinkedIn; 9. Animations and videos; 10. Other communication products (e.g. bookmarks, calendars etc); 11. Case studies covering key cross-cutting themes and on activities of Arise Plus; 12. Multiplier partnerships with relevant organisations for VCO activities particularly ASEAN and AMS level business associations and chambers of commerce; 13. Outreach events for private sector engagement which among others may include launch events, media briefings, business events, sectoral events, exhibitions, forums etc; 14. News appearing in the press (print, online and broadcast media); 15. Articles in ASEAN publications based on major project activities and results;

Activity 0.3.1	Visibility, Communication and Outreach
	16. Articles in EUD-ASEAN newsletter based on major project activities and results; 17. Quarterly updates to the EUD; 18. Six-monthly updates for EU Ambassadors and DEVCO Heads; 19. Consultation notes with national components; 20. Communication and design guidelines for national components.
Expected results	• Awareness and updated information on the ARISE Plus project available to stakeholders at the EU, ASEAN and AMS levels; • Continued and enhanced buy in from stakeholders especially from the private sector; • Joint communication activities (events, communication tools) undertaken with other EU projects, other donors, ASEAN and AMS organisations, and private sector associations and chambers; • Operational partnerships with multiplier organisations in the region enhancing VCO activities and providing feedback mechanisms; • Enhanced EU and ARISE Plus Programme visibility within the region; • Contribution towards the communication objectives of the ASEAN Economic Community Blueprint 2025.
Time frame	AWP1, AWP2, AWP3

COMPONENT 1.0   TRADE FACILITATION AND TRANSPARENCY

Component 1.0 on Trade Facilitation is organized on the basis of three Sub-Components of activities in order to logically reflect the areas of ARISE Plus intervention mandated under the ToRs, better organize the provision of support in light of the results to be achieved and the needs expressed by ASEAN during the coordination meetings and consultations held during the inception phase with the relevant sectoral bodies (*i.e.*, SEOM, ATF-JCC, CCA, Singapore's 2018 Chair, ASEC, etc.), and leverage on the combined resources of each cluster of activities for purposes of achieving the overall trade facilitation results mandated under ARISE Plus.

Planned Resources Component 1.0

Component 1.0	KE1	KE2	KE3	KE4	S-NKE	J-NKE	Incidentals
Sub Component 1.1	0	165	0	0	613	100	€ 268.534
Sub Component 1.2	0	177	0	0	360	0	€ 177.425
Sub Component 1.3	0	35	0	0	97	0	€ 227.284
Total Component 1.0	**0**	**377**	**0**	**0**	**1070**	**100**	**€ 673.243**

Sub-Component 1.1 ATIGA Implementation with Focus on Transparency and NTMs

This Sub-Component groups together Activity 1.1.1 on "*Supporting the Effective Implementation of the ATIGA (ATR and NTRs)*", Activity 1.1.2 on "*Identifying, Classifying and Notifying NTMs*", and Activity 1.1.3 on "*Supporting the Coordinating Committee for the Implementation of the ATIGA*". The key objective of this cluster of activities is the effective implementation of the ATIGA, particularly its commitments on trade-related regulatory transparency and the operationalization of the ASEAN Trade Repository (ATR) and the network of AMSs' National Trade Repositories (NTRs). A critical '*by-product*' of this transparency effort will be the identification, classification and upload on the NTRs/ATR of the AMSs' non-tariff measures (NTMs) and the updating of the '*NTMs Database*' mandated under Articles 11, 13 and 40 of the ATIGA, which looks poised to enhance trade facilitation within the region and allow for progressive NTMs' streamlining, where need be, and for the NTMs that amount to non-tariff barriers (NTBs) to be removed. '*On demand*' assistance will be provided to CCA (*e.g.*, vis-à-vis the '*NTMs Guidelines'* being developed) and coordination will be ensured between the activities implemented to effectively implement the ATIGA and those focussing on trade facilitation, private sector engagement, as well as with the ARISE Plus National Programmes and the other development partners, as relevant.

Outcome

> *Enhanced trade-related regulatory transparency and progressive NTMs' streamlining through the effective operationalization of the ASEAN Trade Repository (ATR) and the network of AMSs' National Trade Repositories (NTRs).*

Activity 1.1.1 Supporting the Effective Implementation of the ATIGA (ATR and NTRs)

Rationale:

Enhanced trade-related regulatory transparency is critical for the effective implementation of the ATIGA and one of the key objectives of the AECB 2025. There is no better catalyst for effective regional economic integration, intra-ASEAN trade facilitation, and increased legal certainty and commercial predictability within ASEAN than transparency. The ATIGA requires that an ASEAN Trade Repository (ATR) be established and fed trade-related information from a network of National Trade Repositories (NTRs) located in the AMSs. The ATR has been established and is operational, but not all AMSs have completed the process of setting up NTRs (in some countries these are called trade portals) or online repositories, and much remains to be done for the ATR to become a comprehensive, reliable and ATIGA-compliant repository or trade-related information from all AMSs.

ARISE Plus aims at continuing to support the effective implementation of the ATIGA through improved transparency and predictability of trade rules and procedures, by assisting AMSs to complete the development of the ATR and the NTRs in all AMSs, improving the quantity and quality of the information uploaded on those electronic platforms in line with the ATIGA Article 13 requirements and the UNCTAD 2012 NTMs classification structure, encouraging the use of more uniform content, and ensuring regular maintenance, with additional support to CLMV as required, and assisting with the updating of the '*NTMs Database*' mandated under Articles 11, 13 and 40 of the ATIGA. The ATR can only be considered fully operational insofar as information is available on the NTRs and properly web-linked to the ATR. Therefore, the first focus area is to ensure that AMSs' NTRs are sufficiently organized, populated and up to date; this in turn requires information to be properly collected, classified, packaged and uploaded on the NTRs throughout ASEAN.

Once a critical mass of properly '*packaged*' information is available, it will be progressively uploaded to the ATR, thereby increasing its search capability and the value to users. This process will unfold on a rolling basis. Implementation of the activity will need to factor in AMSs' needs, other donors' initiatives, and the ability of ARISE to co-ordinate with other EU technical assistance projects in the ASEAN region (notably in Cambodia, Indonesia, Lao PDR, Myanmar, the Philippines and Vietnam).

Activity 1.1.1	Supporting the Effective Implementation of the ATIGA (ATR and NTRs)
Main Beneficiaries	ASEC's TFD, SEOM, ATFJCC, CCA, ATR/NTR Focal Points in AMSs and Private Sector in ASEAN
Planned Tasks	• **Deploy** specialised teams of experts to engage with the authorities of each AMS in charge of its respective NTR and of web-linkages to the ATR. Each mission will last approximately 1-2 weeks and **be conducted together with those under Activity 1.1.2**. Roughly, one such mission should take place in each AMS in AWP 1-2 and one in AWP2-3; • **Conduct**, during the first AWP, a preliminary quantitative and qualitative '*mapping exercise*' of the current status of the individual NTRs and their linkages to the ATR in terms of: the amount of information uploaded so far by each AMS; the systematic web-linkage to the ATR of the information available on the respective AMSs' NTRs; the uniformity, correct categorization, completeness, comprehensiveness and reliability of the information so far uploaded on the ATR; and apparent areas of deficiency;

Activity 1.1.1	Supporting the Effective Implementation of the ATIGA (ATR and NTRs)
	• **Hold** specialised training and capacity building events targeting small groups of beneficiaries from line agencies (*e.g.*, Customs, SPS, TBT); • **Train** AMSs' Government officials and retain local experts in order to create domestic capacity to sustainably engage in ATR/NTR activities in the medium/long-term, including for purposes of NTMs' notifications and updating the '*NTMs Database*; • **Pursue** co-operation and synergies with other EU technical assistance projects in selected AMSs (*i.e.,* ARISE Plus national programmes in CLMV, plus Indonesia and Philippines) and/or with other donors active in this area (*e.g.*, World Bank, USAid, etc.); • **Develop** measurable targets in terms of the quantity and quality of the trade-related information to be packaged and uploaded to the NTRs and web-linked to the ATR; • **Define,** design and operationalize a new page on the ATR where users (*e.g.*, private sector) can interactively seek feedback from AMSs on transparency and obtain specific missing trade-related information, including on NTMs through a possible '*Report an NTM*' interactive feature; and • **Provide** further on-demand assistance to AMSs, on a '*rolling basis*' and electronically from a distance.
Expected outputs	• Conduct a **preliminary quantitative and qualitative '*mapping exercise*'** in each AMS of the current status of the individual NTRs and their linkages to the ATR, with a Report produced for each AMS; • Conduct an expected average of **one training and capacity building mission in each AMS during AWP1-2 and AWP2-3**, with a final Report produced at the end of each mission indicating the quantitative and qualitative improvements vis-à-vis the ATIGA requirements and the deficiencies identified in the preliminary '*mapping exercise*'; and • Ensure that, by the end of AWP3, the relevant trade-related information of **all AMSs** is collected, properly packaged and web-linked to the ATR in **all nine categories under Article 13 of the ATIGA**, with additional resources devoted to Category 4 on NTMs in coordination with Activity 1.1.2, including for purposes of updating the '*NTMs Database*'.
Expected results	• Trained Government officials and local experts are able to implement the collection, packaging and uploading of all trade-related information under Article 13 of the ATIGA on their respective NTRs and web-linking it to the ATR in the medium/long-term; • The ATR is enhanced and further operationalised with quality information, which is uniformly uploaded by each AMS; • Greater usage by private sector of ATR (to be measured on the basis of the average monthly clicks of users accessing the ATR) and increased

Activity 1.1.1	Supporting the Effective Implementation of the ATIGA (ATR and NTRs)
	interaction between private sector and AMSs for purposes of transparency; and
	• The ATR is further developed as a comprehensive '*one-stop-shop*' ASEAN trade facilitation platform for transparency, together with the other related online facilities (*i.e.*, ASEAN Harmonized Standards Gateway, ASSIST, ACTS, ASW, ASEAN Tariff Finder, and ACCP interface).
Time frame	AWP1, AWP2, AWP3

Activity 1.1.2 Identifying, Classifying and Notifying NTMs

Rationale:

One of the key objectives of the AECB 2025 is the progressive reduction or elimination of border and behind-the-border regulatory barriers that impede trade, in order to achieve the competitive, efficient, and seamless movement of goods within the region. The ATIGA contains important disciplines on NTMs in Articles 11, 13 and 40. In relevant part, AMSs must ensure the transparency of their NTMs by: 1) notifying new or modified NTMs to ASEC and SEOM; 2) having them incorporated by ASEC in a dedicated database (*i.e.*, the '*NTMs Database*'); and 3) reflecting the adopted NTMs on their respective NTRs and web-linking them to the ATR.

NTM notification procedures have been codified, with assistance from ARISE, on the basis of template forms aimed at facilitating AMSs' compliance vis-à-vis similar transparency obligations under the WTO. AMSs have endorsed the templates within CCA. However, reportedly, the process of systematic NTM notification by AMSs to ASEC and SEOM is not taking place, with no ASEC consolidation and maintenance/updating of the required '*NTMs Database*' (evidenced by the partial and outdated copied posted on the ASEAN website). The sole focus presently relates to NTBs and TBTs, largely through the efforts of other ASEAN bodies.

ARISE Plus aims at greatly advancing the process of identification, classification and notification of all AMSs' NTMs, reflected on their respective NTRs and via the ATR, and at assisting ASEC and AMSs to update the ASEAN '*NTMs Database*', which shall be maintained by the ASEC on the basis of data notified by AMSs. The focus of the activity shall be on assisting all AMSs to identify, classify, '*package*' and upload their NTMs onto their NTRs and the ATR. ARISE Plus shall do so by supporting AMSs to do their research and their '*packaging*' work domestically, in line with the guidelines endorsed by CAA in 2014 and the 2012 UNCTAD NTMs Classification. ARISE Plus shall also assist AMSs to '*validate*' and properly '*package*', for ATR-upload purposes, existing NTMs databases (*e.g.*, AMSs' online repositories, UNCTAD/ERIA NTMs database, WTO SPS/TBT notifications, etc.). The NTMs Database, on the other hand, requires a willingness among AMSs to systematically notify their NTMs to the ASEC/SEOM for it to be constantly updated, which may not be seen as a priority.

Activity 1.1.2	Identifying, Classifying and Notifying NTMs
Main Beneficiaries	ASEC's TFD, SEOM, ATFJCC, CCA, ATR/NTR Focal Points in AMSs and Private Sector in ASEAN.
Planned Tasks	• **Undertake** an average of one NTM training and capacity building mission in each AMS during each AWP to engage with the authorities of each AMS competent for the adoption of NTMs. **This task will be implemented in parallel to Activity 1.1.1**; • **Train** Government officials and retain local experts to create domestic capacity in order to sustainably engage in identifying, classifying, packaging, uploading on NTRs, web-linking on ATR, and notifying NTMs to regularly update the '*NTMs Database*' in the medium/long-term. **This task will be implemented in parallel to Activity 1.1.1**; • **Conduct** training and capacity building events targeting small groups of beneficiaries from the line agencies, which will be specialised in nature

Activity 1.1.2	Identifying, Classifying and Notifying NTMs
	(*e.g.*, Customs, SPS, TBT). **This task will be implemented in parallel to Activity 1.1.1**;
	• **Develop** measurable targets for each event in terms of the number and quality of NTMs to be packaged for uploading on the NTRs and web-linked to the ATR. **This task will be implemented in parallel to Activity 1.1.1**;
	• **Harmonise** the quality of the NTMs web-linked to the ATR across all AMSs and in line with the ATR's operational guidelines endorsed by CCA in 2014 and the 2012 UNCTAD NTMs Classification. **This task will be implemented in parallel to Activity 1.1.1**;
	• **Assist,** if requested by the ASEC and AMSs, for purposes of AMSs systematically notifying NTMs to ASEC and SEOM in line with Articles 13 and 40 of the ATIGA, with ASEC consolidating and maintaining the required NTM database. This task would be implemented by means of regional workshops to train AMSs' Focal Points in notifying NTMs and the ASEC is maintaining and regularly updating the '*NTMs Database*'; and
	• **Pursue** co-operation and synergies with other EU technical assistance projects in selected AMSs (*i.e.*, ARISE Plus national programmes in CLMV, plus Indonesia and Philippines) and/or with other donors active in this area (*e.g.*, World Bank, USAid, UNCTAD/ERIA, etc.). **This task will be implemented in parallel to Activity 1.1.1**.
Expected outputs	• **Reports and training materials** from NTM training and capacity building missions in each AMS. **This result is to be achieved in coordination with Activity 1.1.1**;
	• **300-600 NTMs** from each AMS uploaded on the respective NTRs and web-linked to the ATR by the end of AWP3;
	• Compilation, consolidation and maintenance by the ASEC of the '*NTMs Database*', as mandated under Articles 13 and 40 of the ATIGA, with one regional training workshop held in AWP2 and one in AWP3 on NTMs notification and updating of the '*NTMs Database*'; and
	• **Reports** on the cooperation and coordination with other EU projects and donors.
Expected results	• Trained Government officials and local experts are able to implement the collection, packaging and uploading of all AMSs' NTMs under Article 13 of the ATIGA on their respective NTRs and web-linking them to the ATR in the medium/long-term;
	• The ATR is enhanced and further operationalised with quality information on NTMs, which is uniformly uploaded by each AMS;
	• ATR is enhanced and further operationalised with over 3,000 NTMs from AMSs uploaded on it by AWP3;

Activity 1.1.2	Identifying, Classifying and Notifying NTMs
	• Greater transparency on NTMs, with positive effects on NTMs streamlining and possibly even the removal of NTBs, especially those that stand out as trade irritants and are referred by AMSs or private sector to CCA, SEOM and/or ATF-JCC; and • Greater usage by private sector of the ATR (to be measured on the basis of the average monthly clicks of users accessing the ATR and searching for NTMs).
Time frame	AWP1, AWP2, AWP3

Activity 1.1.3 Supporting the Coordinating Committee on the Implementation of the ATIGA

Rationale:

As argued for Activities 1.1.1. and 1.1.2., transparency stands out as one of the most important drivers of trade facilitation and the attainment of TF objectives under both the ATIGA and the AEC Blueprint 2025. The ATR structure and reach, as mandated under Article 13 of the ATIGA, is one of the most ambitious ASEAN undertakings and tools for regulatory and trade-related transparency in the world. Transparency is systematically recalled in all the high-level legal instruments adopted by ASEAN and in all declarations made by ASEAN leaders. Therefore, the support of ASEAN and AMSs for the effective implementation of the ATIGA depends on constant co-ordination, support and engagement with the relevant ASEAN bodies: primarily the Senior Economic Officials Meeting (SEOM) and the Coordinating Committee on the Implementation of the ATIGA (CCA), but also vis-à-vis the ASEAN Trade Facilitation Joint Consultative Committee (ATF-JCC), and other ASEAN bodies, such as ACCSQ, and the Customs DGs.

ARISE Plus aims at providing further institutional support to the relevant ASEAN bodies, primarily to CCA, and at systematically coordinating the technical assistance activities under ARISE Plus in light of AMSs' needs, priorities and objectives, particularly with respect to transparency (Activities 1.1.1 and 1.1.2). The focus of this activity should be on the regular engagement with CCA and the other relevant ASEAN bodies (*inter alia*, ASEC's DSG for AEC, ASEC's Trade Facilitation Division, SEOM, and ATF-JCC). This proximity, and the systematic participation (upon invitation) to meetings of these ASEAN bodies, will be instrumental to the success of ARISE Plus.

Activity 1.1.3	Supporting the Coordinating Committee on the Implementation of the ATIGA
Main Beneficiaries	CCA and ASEC's TFD
Planned Tasks	• **Participate** (upon invitation) to all meetings of the CCA and (upon invitation) to meetings of the other ASEAN bodies relevant for purposes of ATIGA implementation (*i.e.*, SEOM and ATF-JCC, *inter alia*) for purposes of giving technical presentations and reports to AMSs; • **Hold** '*on demand*' dedicated workshops on issues of particular AMSs' interest, back-to-back with meetings of the relevant ASEAN bodies; and • **Provide** '*on demand*' assistance to CCA and AMSs on selected issues of ATIGA implementation (*e.g.*, the drafting of the '*NTMs Guidelines*' and/or the review and assessment of ATIGA implementation).
Expected outputs	• Regular **PowerPoint Presentations and substantive reports** given to CCA and AMSs on ARISE Plus activities to support ATIGA implementation; and • **Regional workshops** organized 'on demand' on selected issues of relevance to ATIGA implementation and falling within the scope of CCA.
Expected results	• Continued enhancement of the institutional capacity of the relevant ASEAN bodies, and particularly of CCA, thereby ensuring that the

Activity 1.1.3	Supporting the Coordinating Committee on the Implementation of the ATIGA
	objects under the ATIGA, the AEC Blueprint 2025 and AEC 2025 CSAP are achieved; and • Continued engagement by ARISE Plus as the primary technical assistance partner of ASEC and AMSs with respect to ATIGA implementation, particularly in the areas of ATR/NTRs transparency; NTMs identification, classification and notification; ASSIST operationalization; and trade facilitation.
Time frame	AWP1, AWP2, AWP3

Sub-Component 1.2 Trade Facilitation and Private Sector Engagement

This Sub-Component groups together Activity 1.2.1 on the "*Full Operationalisation and Management of ASSIST, including in the Services and Investment Sectors*", Activity 1.2.2 on "*Supporting the ASEAN Trade Facilitation Joint Consultative Committee*", Activity 1.2.3 on "*Supporting the EU-ASEAN Policy Dialogue on Trade Facilitation*", Activity 1.2.4 on "*Assisting ASEC and AMSs in TF-Related Policies and Dialogue*", and Activity 1.2.5 on "*Strengthening Public-Private Cooperation*". The key objective of this cluster of activities is the enhancement of trade facilitation within the region and the support and coordination of private sector engagement, particularly MSMEs and primarily through ABAC, in line with the objectives and drivers laid out in the AEC Blueprint 2025. The broader context of this cluster of activities is ASEAN trade facilitation, which will be assisted by ARISE Plus mainly through on-demand support of the ATF-JCC, of ASEAN-EU dialogue on trade facilitation, and of the setting and implementation of ASEAN trade facilitation policies. Considerable efforts will be made to fully operationalize ASSIST, as the preeminent tool of public-private cooperation and trade facilitation, including its roll-out for addressing trade in services and trade-related investment measures. A stronger interface between ASEAN institutions and the private sector must therefore be seen within the parallel contexts of the efforts being made by ASEAN to increase AMSs' regulatory and trade-related transparency (ATR/NTRs), to streamline NTMs and remove NTBs (ASSIST), and to implement and improve other key ASEAN trade facilitation instruments adopted to the primary benefit of the private sector (*e.g.*, ACTS, ASW, Tariff Finder, MRAs, etc.). This cluster of activities will have an important '*on demand*' dimension, particularly in Activities 1.2.3, 1.2.4 and 1.2.5. For instance, reference has been made during the coordination meetings held with AMSs within the ATF-JCC, during the inception period of ARISE Plus to the wish that ARISE Plus minimize or even abandon work on self-certification of origin scheme and rather assist AMSs in adopting solid legal frameworks regionally and nationally on e-commerce, which is considered a powerful enabler of trade facilitation.

Outcome

> *Private sector engagement is enhanced through increased participation in the activities of ATF-JCC and other ASEAN sectoral bodies, in line with the applicable Guidelines for Private Sector Engagement, and by greater usage of ASSIST, including in the areas of trade in services and trade-related investment measures.*

Activity 1.2.1 Full Operationalisation and Management of ASSIST, Including in the Services and Investment Sectors

Rationale:

ASSIST is one of the key trade facilitation tools adopted by ASEAN to implement the ATIGA and allow the private sector (*i.e.*, ASEAN-based businesses, chambers of commerce and trade associations) to directly and autonomously engage with the AMSs with respect to the regional integration agenda and to address NTMs, NTBs and/or other operational issues affecting intra-ASEAN trade in goods, with a view to achieving trade facilitative solutions. Initially operationalized for trade in goods, installation of the system has been completed, and ASEC and competent AMS Focal Points and relevant authorities were trained, with awareness-raising events also held for the private sector. To date, however, only very few cases have been triggered through ASSIST. Discussions held within SEOM suggest the current low utilisation of ASSIST by the private sector is the result of a combination of factors, notably: 1) the complainants' fears of possible '*retaliation*' by AMSs; 2) a lack of trust in the current anonymity features; 3) the availability of ASSIST only in English; and 4) the relative lack of awareness by the private sector on the existence of ASSIST, its user-friendly features and mechanisms, and areas (other than tariffs) in which integration measures have been carried out.

ARISE Plus aims at supporting the full operationalization and management of ASSIST, including its roll-out vis-à-vis trade in services and trade-related investment measures (TRIMs), which is one of the deliverables for Singapore's 2018 ASEAN Chairmanship. This should provide ASEAN with an improved and more effective tool for trade facilitation and private sector engagement, in line with the ATIGA and the AEC Blueprint 2025.

Activity 1.2.1	Full Operationalisation and Management of ASSIST, Including in the Services and Investment Sectors
Main Beneficiaries	SEOM, ATF-JCC, CCA, CCA, CCI, AMSs' ASSIST Focal Points, ASEC's TFD and Private Sector
Planned Tasks	• **Bring** specific improvements to the ASSIST system (*e.g.*, translation into all ASEAN languages of the website pages and operating manuals; proposal for options to increase anonymity and implementation of the chosen approach; and creation of greater awareness about ASSIST within the region, particularly vis-à-vis the private sector) in order to address the current perceived shortcomings and under-utilization; • **Cooperate** with ASEC, SEOM/ATF-JCC/CCA and AMSs' respective Focal Points for purposes of rolling-out ASSIST in the additional areas of trade in services and TRIMs. This will include IT design and system upgrades, as well as training of ASSIST Services and ASSIST Investment Focal Points in each AMS; • **Hold** regular awareness creation events and initiatives, in each AMS and in regional contexts, in cooperation with relevant private sector stakeholders (*i.e.*, chambers of commerce, trade associations, law societies, academia, media), in all AMSs; and • **Establish** an ASSIST Help Desk in each AMS (as agreed with AMSs and to be based within a reputable and accessible organization, such as a trade

Activity 1.2.1	Full Operationalisation and Management of ASSIST, Including in the Services and Investment Sectors
	association, business federation, university or research centre) in order to further support the private sector (especially MSMEs) to use ASSIST and create positive momentum around this trade facilitation tool.
Expected outputs	• Website pages and operating manuals translated into all ASEAN languages by the end of AWP1; • Definition of an enhanced proposal with options to increase anonymity to be presented to AMSs and implementation of the chosen approach with IT system upgrades and revision of operating manuals; • One regional training and capacity building workshop held to update and retrain the AMSs' authorities involved in trade in goods (ASSIST Goods Focal Points) in light of the improvement brought to ASSIST in AWP1; • Definition, in cooperation and discussion with AMSs, of the concept for ASSIST Services, software design, adaptation of the operating manuals and roll-out of one training and capacity building workshop in each AMS to train the AMSs' authorities involved in trade in services (ASSIST Services Focal Points) in AWP1 and AWP2; • Definition, in cooperation and discussion with AMSs, of the concept for ASSIST Investment, software design, adaptation of the operating manuals and roll-out of one training and capacity building workshop in each AMS to train the AMSs' authorities involved in trade-related investment measures (ASSIST Investment Focal Points) in AWP2 and AWP3; • At least 300 ASEAN business entities (*i.e.*, chambers of commerce, trade associations, business councils, law societies, academia, media, etc.) attend awareness-creation events in the ten AMSs, by the end of AWP3; and • Creation and support, as necessary and in the AMSs interested to host one, of an ASSIST Help Desk to support MSMEs in filing complaints, in AWP1, AWP2 and AWP3.
Expected results	• Fully operationalizing ASSIST (*i.e.*, for trade in goods, trade in services and trade-related investment measures); and • Ensuring that a significant number of ASEAN private sector stakeholders becomes aware of ASSIST, with a concomitant number of complaints filed and addressed (*e.g.*, an average of 50 complaints and 10 solutions offered by AWP3).
Time frame	AWP1, AWP2, AWP3

Activity 1.2.2 Supporting the ASEAN Trade Facilitation Joint Consultative Committee

Rationale:

In view of the need to enhance cross-sectoral coordination, both the ATIGA and the AEC Blueprint 2025 call for a strengthened ATF-JCC and more effective interaction, respectively, with the relevant ASEAN bodies, private sector, and international institutions. Considerable amount of work needs to be conducted in order to meet the objectives of the Strategic Action Plan on Trade Facilitation (ATFSAP) for 2017 to 2025 and the biannual ASEAN Trade Facilitation Work Plans (ATFWPs) called for by ATIGA. Such ATFWPs will then need to be implemented, monitored, and reported to SEOM with support from the ATF-JCC. Institutional capacity building is needed, in particular, to support ATF-JCC's engagement with the private sector (*i.e.*, ABAC and other business councils) and its co-ordination with the relevant ASEAN sectoral bodies. The ATF-JCC is expected to meet 3-4 times per year, with ASEC's TFD be servicing the meetings. A critical step will be the operationalization of the ATF-JCC's engagement with the relevant ASEAN bodies in those areas where the bulk of work planning, monitoring and co-ordination activities are needed.

ARISE Plus aims at ensuring that the ATF-JCC is effectively supported in its engagement with the private sector and with other ASEAN bodies, delivering the results required of it, starting from the definition and delivery of its ATFWPs and meeting the objectives set in the ATFSAP, in line with the drivers of the AEC Blueprint 2025. The focus of the activity should be on the effective and regular engagement of all relevant ASEAN bodies involved in the process of trade facilitation: ASEC's DSG for AEC; ASEC's Trade Facilitation Division (TFD); SEOM; ATF-JCC; CCA; CCC; TWFG; ASW-SC; ACCSQ; AC-SPS; etc. Most importantly, the ATF-JCC needs to be supported in its engagement of the private sector, working closely with ABAC and other relevant ASEAN business councils and private sector organizations to develop, execute and monitor its ATFWPs and ATFSAP, as well as catering to the specific requests of the private sector.

Activity 1.2.2 Main Beneficiaries	Supporting the ASEAN Trade Facilitation Joint Consultative Committee
	ATF-JCC, ASEC's DSG for AEC, ASEC's TFD, SEOM, CCA, CCC, TWFG, ASW-SC, ACCSQ, AC-SPS, AMSs and Private Sector
Planned Tasks	• **Support** ATF-JCC by participating (upon invitation) in all ATF-JCC meetings, with assistance provided through technical presentations and reporting, especially where TF issues of interest to the private sector, and on issues where ARISE Plus is providing assistance to ASEAN, are being discussed; • **Hold** one half-a-day ARISE Plus Roundtable Discussions on Trade Facilitation, back-to-back to each meeting of the ATF-JCC, in order to foster informal dialogue between ASEAN officials, private sector representatives and independent experts on specific trade facilitation issues; • **Meet** regularly with ASEAN-based private sector representatives (*i.e.*, ABAC and other relevant ASEAN business councils and private sector organizations) in order to facilitate their engagement with ASEAN institutions and relevant bodies within ATF-JCC; and

Activity 1.2.2	Supporting the ASEAN Trade Facilitation Joint Consultative Committee
	• **Provide** institutional support and capacity building to the ATF-JCC and ASEC's TF Division, particularly in terms of discussing, drafting, monitoring, evaluation and reporting on the implementation of the ATFWPs and ATFSAP.
Expected outputs	• PowerPoint presentations and reports delivered at ATF-JCC in order to brief ATF-JCC on the trade-facilitation support being provided by ARISE Plus and to build capacity on issues of relevance and need for AMSs; • Informal dialogues held, within the ARISE Plus Roundtable Discussions on Trade Facilitation back-to-back to each meeting of the ATF-JCC, between ASEAN officials, private sector representatives and independent experts on specific trade facilitation issues; and • Capacity building provided on selected issues of trade facilitation, as requested by ATF-JCC and/or ASEC's TFD, including through monitoring and evaluation reports demonstrating progress in the area of trade facilitation vis-à-vis ATFF, ATFSAP and ATFWPs.
Expected results	• Improvement of trade facilitation within the ASEAN region; • Greater institutional coordination and cooperation among ASEAN relevant bodies and AMSs within the ATF-JCC; and • Greater private sector engagement within ATF-JCC and ability of ASEAN to cater for private sector's requests, particularly in terms of addressing trade irritants, facilitating trade, streamlining NTMs and removing NTBs.
Time frame	AWP1, AWP2, AWP3

Activity 1.2.3 Supporting the EU-ASEAN Policy Dialogue on Trade Facilitation

Rationale:

Regular policy dialogue on trade facilitation between the EU and ASEAN can help ASEAN make informed policy choices and ensure that the results of its trade facilitation initiatives make ASEAN an easier place in which to trade intra-regionally, and also for the purposes of favouring international trade, foreign investment, and increased participation in global value chain activities. The specific initiatives for ASEAN-EU policy dialogue on trade facilitation issues will be largely demand-driven, as during implementation of the ARISE Programme.

Coordination will be needed vis-à-vis the activities implemented by the EU's e-READI project, especially its economic dimensions, in order to avoid duplication and overlaps. ARISE Plus is expected to focus its policy dialogue initiatives and take the lead on support to trade facilitation in areas of its core engagement with ASEAN, as well as in relation to transparency and engagement with the private sector (primarily MSMEs). ARISE Plus aims at fostering high-level policy dialogue between ASEAN and the EU, with a view to assisting ASEAN's decision-making processes (through increased awareness and understanding among decision makers of TF in both intra- and extra-regional contexts). The focus of its demand-driven activities should be on identifying international best practices and comparing ASEAN's needs and possible solutions, to those of the EU. High-level policy dialogues in the areas of ARISE Plus involvement should enable relevant ASEAN sectoral bodies to better pursue the objectives mandated in their respective Strategic Action Plans and Work Programmes.

Activity 1.2.3	Supporting the EU-ASEAN Policy Dialogue on Trade Facilitation
Main Beneficiaries	ATF-JCC, SEOM, ASEC's TFD
Planned Tasks	• **Support** of demand-driven initiatives to enable high-level policy dialogue through studies, conferences, seminars, study-tours and other meetings/events between EU and ASEAN officials in the areas supported by ARISE Plus (*e.g.*, e-commerce as a trade facilitation enabler).
Expected outputs	• Support at least one policy dialogue initiative during AWP1-3, as and when requested by ASEAN and/or the EU to do so.
Expected results	• Capacity is built within ASEAN on key trade facilitation issues on the basis of the needs identified and indicated by ASEAN and in light of EU best practices and policy guidance.
Time frame	AWP1, AWP2, AWP3

Activity 1.2.4 Assisting ASEC and AMSs in TF-Related Policies and Dialogue

Rationale:

ASEAN has adopted, and expects to implement, several strategic measures in its bid to increase its competitiveness. In particular, ASEAN will establish effective competition regimes by agreeing and implementing competition policies (and legal frameworks for such policies) in all AMSs, based on international best practices and the agreed-upon ASEAN competition guidelines. The capacities of competition-related agencies in the region is being enhanced by establishing and implementing institutional mechanisms necessary for the effective enforcement of national competition laws, including comprehensive technical assistance and capacity building. Regional co-operation arrangements on competition policy and law should be reached through competition enforcement co-operation agreements to empower AMSs to deal with cross-border commercial transactions. Greater harmonisation of competition policy and law in ASEAN would be enhanced by the development of a regional strategy on convergence, and by further strengthening competition policy and law in ASEAN taking into consideration the relevant international best practices.

With respect to consumer protection, a common ASEAN Consumer Protection Framework is needed with higher levels of consumer protection legislation, improved enforcement and monitoring of consumer protection legislation, and establishing effective forms of redress, including alternative dispute resolution mechanisms. Higher consumer confidence and increased cross-border commercial transactions would result from strengthening product safety enforcement, particularly in the key sector of food safety and pharmaceutical products, stronger participation of consumer representatives, and promotion of sustainable consumption.

These and other areas related to trade facilitation, for instance national and cross-border e-commerce regulation and facilitation, are seen as key drivers to achieve the broader goal of regional economic integration and are policy areas where the EU has considerable experience and expertise.

The objective of this activity is to enhance competition law and policy, consumer protection, and other regulatory areas and sectoral initiative, for instance e-commerce, that are seen as key enablers of ASEAN trade facilitation. The specific engagement by ARISE Plus will be demand-driven and the focus of its activities shall be primarily on identifying relevant international best practices by comparing ASEAN's needs, policies and mechanisms to those of the EU, always in coordination with e-READI and with the national ARISE Plus programmes, where relevant.

Activity 1.2.4	Assisting ASEC and AMSs in TF-Related Policies and Dialogue
Main Beneficiaries	SEOM, ATF-JCC, ASEC, AMSs
Planned Tasks	• **Support** of demand-driven initiatives to enhance ASEAN trade facilitation in related areas such as competition law and policy, consumer protection (in the sectors of food safety and pharmaceutical products), and e-commerce, *inter alia*, through conferences, seminars, study-tours, position papers and other initiatives, as necessary.
Expected outputs	• 1 event or initiative (*e.g.*, conference, seminar, study-tour, position paper) completed for each area of requested intervention (*i.e.*, competition law

Activity 1.2.4	Assisting ASEC and AMSs in TF-Related Policies and Dialogue
	and policy, consumer protection, and/or e-commerce) between AWP1 and AWP3, as and if requested by ASEAN.
Expected results	• The capacity of ASEAN officials to negotiate, define, draft, adopt, transpose and implement policies in the areas of requested intervention (*i.e.*, competition law and policy, consumer protection, and/or e-commerce) is increased and based on the relevant international best practices and on the assessment and comparison of ASEAN's needs, policies and mechanisms to those of the EU.
Time frame	AWP1, AWP2, AWP3

Activity 1.2.5 Strengthening Public-Private Cooperation

Rationale:

The role of the private sector in ASEAN integration is important as a key stakeholder in the process. The AEC Blueprint 2025 recognises that greater involvement of the private sector and more structured participation will be beneficial to the achievement of all ASEAN goals. Private sector inputs and partnerships are essential not only in designing regional strategies and initiatives, but also in identifying impediments to realising deeper regional economic integration. Currently, the private sector only engages with some of the many ASEAN sectoral bodies and in diverse forms and with differing degrees of participation, sophistication and success. The AEC Blueprint 2025 calls for the redoubling of efforts to engage the business sector, particularly MSMEs, to provide easier access to official information on implementation, and obtain timely feedback on policies. A stronger interface between ASEAN institutions and the private sector must be seen within the parallel contexts of efforts being made by ASEAN to increase AMSs' regulatory and trade-related transparency (ATR/NTRs), to streamline NTMs and remove NTBs (ASSIST), and other key trade facilitation instruments that ASEAN is implementing to the primary benefit of the private sector (*e.g.*, ACTS, ASW, Tariff Finder, MRAs, etc.).

The ABAC, as the primary private sector apex body channelling the positions and needs of nine ASEAN+1 business councils and of 66 business entities, is the institutionalised representative of the private sector before the ATF-JCC, SEOM and the other relevant ASEAN sectoral bodies. Its role should be strengthened to ensure that it can convey the needs, views and contributions of the ASEAN private sector at large. Besides the now institutionalized engagement of private sector within the ATF-JCC, on the basis of the Guidelines for Private Sector Engagement, which have been drafted and adopted in line with the Outline of the Rules of Procedures for Private Sector Engagement under the AEC, there is a need to support the activities of the ABAC and the other business councils and ASEAN-representative associations, particularly in the CLMV and vis-à-vis MSMEs, in order to enable their effective participation to ASEAN initiatives and dynamics.

The objective of this activity is to enable the private sector to improve its ability to coordinate and cooperate with the ATF-JCC and all other relevant ASEAN sectoral bodies, particularly in view of the applicable Guidelines for Engagement and the ATFWPs. ARISE Plus aims at being a catalyst for the ASEAN's regular engagement with ABAC and the other key ASEAN business councils. For instance, co-ordination, support and guidance shall be provided to the EU-ASEAN Business Council (EABC), which has been tasked by ABAC to take primary responsibility for trade facilitation issues. The implementation of this activity has a horizontal nature across the three Components of ARISE Plus and shall also benefit of the support and overall coordination by Key Expert 1 (Team Leader) through Activity 0.2.

Activity 1.2.5	Strengthening Public-Private Cooperation
Main Beneficiaries	ABAC, EABC, ATFJCC, ASEC
Planned Tasks	• **Support** of and coordination with ABAC and EABC, as well as ASEC's TFD and ATF-JCC Chair, with preparatory meetings, technical presentations and *ad hoc* reports, as required, for purposes of their attendance at meetings of the ATF-JCC with the private sector and of the private sector

Activity 1.2.5	Strengthening Public-Private Cooperation
	with the other relevant ASEAN sectoral bodies within (*i.e.*, SEOM; ATF-JCC; CCA; CCC; TWFG; ASW-SC; ACCSQ; AC-SPS; etc.); and • **Hold** dedicated national workshops on trade facilitation issues of particular interest to ABAC and selected business councils, chambers of commerce and/or trade associations to support their engagement with the ATF-JCC.
Expected outputs	• Hold regular coordination meetings with ABAC and selected ASEAN business councils to prepare ATF-JCC meetings; and • Conduct at least 1 workshop in each AMSs, in co-operation with ABAC and to the benefit of the local business sectors, to create awareness about the ATF-JCC, the ATFWP and the ASEAN mechanisms available to achieve greater trade facilitation across the region.
Expected results	• ABAC, EABC and other business councils, as relevant, will be able to more effectively articulate and convey their requests and comments to the ATF-JCC and other ASEAN bodies, in line with the applicable Guidelines for Engagement.
Time frame	AWP1, AWP2, AWP3

Sub-Component 1.3 'On-Demand' Activities

This Sub-Component groups together Activity 1.3.1 on "*Assisting in the Implementation of an ASEAN-Wide Self-Certification of Origin Scheme*", Activity 1.3.2 on "*Supporting the ASEAN Consultative Committee on Connectivity*", and Activity 1.3.3 on "*Supporting the Transposition of Regional Agreements at National Level*". The key objective of this cluster of activities is to provide specific on-demand support to ASEAN in areas that are intimately linked, conducive and relevant to the trade facilitation agenda of ASEAN. The specific tasks under these activities shall be defined and prioritized, on a rolling basis and on the basis of the requests by ASEAN, in coordination with the relevant ASEAN sectoral bodies. This cluster, together with the on-demand resources earmarked under Sub-Components 1.1 and 1.2, will ensure that ARISE Plus be flexible in nature and adaptable to the changing needs of ASEAN, while adhering to the broader objectives and outcomes mandated in the ToRs of ARISE Plus.

Outcome

Legal certainty, commercial predictability and trade facilitation are enhanced through specific on-demand support for, inter alia, self-certification of goods of ASEAN origin, the trade facilitation related activities of the ASEAN Consultative Committee on Connectivity, and the transposition of regional agreements at national level.

Activity 1.3.1 Assisting in the Implementation of an ASEAN-Wide Self-Certification of Origin Scheme

Rationale:

Certification of product rules of origin falls under Article 38 of the ATIGA, which states simply that treatment shall be supported by a Certificate of Origin (Form D), as set out in Annex 7 of the ATIGA, issued by a Government authority designated by the exporting AMS and notified to the other AMSs in accordance with the Operational Certification Procedures, as set out in Annex 8 of the ATIGA. It was subsequently agreed by the Sub-Committee on Rules of Origin that self-certification could be undertaken by manufacturers and/or traders, subject to post-clearance audit. Self-certification offers a potentially significant benefit to intra-regional trade.

If required by AMSs, ARISE Plus would support AMSs in the implementation of a coordinated and common approach to the self-certification of goods of ASEAN origin, in order to achieve maximum opportunities for trade facilitation within the region. This intervention is subject to AMSs' request and is fully '*on demand*' in nature.

Activity 1.3.1	Assisting in the Implementation of an ASEAN-Wide Self-Certification of Origin Scheme
Main Beneficiaries	CCA, SC-AROO, AMSs, Private Sector
Planned Tasks	• **Provide** '*on demand*' training and advice on implementation issues such as Post Clearance Auditing (PCA) and the provision of technical support and assistance to AMSs as required to boost their current national systems; and • **Create** awareness, if requested, among AMSs' officials and private sector about the trade facilitation potential and functioning of the adopted ASEAN-wide self-certification of origin scheme.
Expected Outputs	• Training workshops and awareness creation events held in AMSs, with PowerPoint presentations given and information material disseminated.
Expected Results	• Trade facilitation through the self-certification of goods of ASEAN origin and smoother customs procedures by means of increased knowledge of competent authorities and traders.
Time Frame	AWP1, AWP2, AWP3

Activity 1.3.2 Supporting the ASEAN Connectivity Coordinating Committee

Rationale:

The MPAC 2025 calls on AMSs to "*harmonise or mutually recognise standards, conformance, and technical regulations for products in key sectors*" and to "*reduce the number of trade-distorting non-tariff measures across ASEAN Member States*". The Master Plan is meant to ensure the synchronisation of ongoing sectoral strategies and plans within the frameworks of ASEAN and its sub-regions. Through enhanced Connectivity production and distribution networks across ASEAN should be deepened, widened, and become more entrenched in the global economy. An ASEAN Connectivity Coordinating Committee (ACCC) has been established, comprised of the Permanent Representatives to ASEAN or special representatives appointed by the ASEAN Member States. The Committee is expected to report regularly to the ASEAN Coordinating Council and to the other ASEAN Community Councils on the progress of and challenges faced in the implementation of the Master Plan.

ARISE Plus aims at supporting the ACCC to liaise with other regional/relevant bodies supporting trade facilitation, including with respect to the MPAC 2025 disciplines of seamless logistics, and regulatory excellence, including NTMs and the harmonisation or mutual recognition of standards, conformance, and technical regulations for products in key sectors. The focus shall be on activities geared to regional economic integration (*i.e.*, trade facilitation, border management, mutual recognition, standardization, etc.) and on areas falling within the priority support given by ARISE Plus, notably sectors identified in coordination with ACSSQ (in conjunction with Activity 2.1.1 on "*Supporting ACCSQ to Implement the ACCSQ Strategic Plan for Standards and Conformance*" under Component 2 of ARISE Plus).

Activity 1.3.2	Supporting the ASEAN Connectivity Coordinating Committee
Main Beneficiaries	ACCC, SEOM, ACCSQ, AMSs' Regulators
Planned Tasks	• **Identify**, in cooperation with ACCC and ACCSQ, three prioritised product groupings for the harmonisation of standards, mutual recognition and technical regulations; • **Assess** the role that the actions undertaken within ACCSQ, ATF-JCC and relevant AMSs' regulators may have to enhance regional connectivity, address NTMs and facilitate trade within ASEAN; and • **Conduct** workshops bringing together the relevant sectoral bodies and discussing the intersection between good regulatory practices, connectivity and trade facilitation.
Expected outputs	• Reports and workshops on: the choice of prioritised product groupings for the harmonisation of standards, mutual recognition and technical regulations; and the role that the actions undertaken within ACCSQ and ATF-JCC may have to enhance regional connectivity, facilitate trade and address NTMs within ASEAN.
Expected results	• The ACCC, ACCSQ, SEOM and the relevant AMSs' regulators have access to the necessary expertise, technical insight and information required to discharge their functions; and

Activity 1.3.2	Supporting the ASEAN Connectivity Coordinating Committee
	• Greater coordination is achieved at all levels between the MPAC 2025, AEC Blueprint 2025 and ATFF.
Time frame	AWP1, AWP2, AWP3

Activity 1.3.3 Supporting the Transposition of Regional Agreements at National Level

Rationale:

Increased centrality of the rule of law, the legal certainty of international trade commitments and concessions made by AMSs, and the availability of mechanisms to find solutions to trade problems, or to resolve commercial disputes, are key drivers being pursued by ASEAN in line with the AEC Blueprint 2025. The legal services of the ASEC should be further empowered, in terms of staff levels and capacity of the Legal Services and Agreements Directorate (LSAD) to systematically assist AMSs in the negotiation, drafting, interpretation and implementation of regional economic agreements. The variety of ratification processes and procedures at the national AMS level (and of divergent implementation and interpretation paths following translation into national languages and domestic legal process) undermines the credibility of ASEAN, the reliability of its instruments and legal certainty required for mechanisms such as the EDSM and ASSIST to work.

The process of harmonising (or aligning equivalent) regulations and MRAs at regional level, through the adoption of regional agreements transposed into national law, depends on the availability, both regionally and at national level, of highly trained legal professionals that can contribute to the adoption, domestic transposition and interpretation of ASEAN legal instruments. ARISE Plus aims at improving the quality of the legal instruments adopted at ASEAN level and their transposition into AMSs' national legislation, while building legal capacity within key Divisions of ASEC. This should have a natural focus on the areas of core engagement by ARISE Plus, for the legal instruments adopted within the AEC, notably the MRAs in key sectors that need domestic transposition (*i.e.*, food safety and pharmaceutical sector, in conjunction with Activity 2.1.4 on "*Transposing Regional Commitments into National Legislation*" under Component 2 of ARISE Plus).

Activity 1.3.3	Supporting the Transposition of Regional Agreements at National Level
Main Beneficiaries	ASEC's LSAD and TFD, SEOM, CCA, ACCSQ and AMSs
Planned Tasks	• **Support** the requests of ASEC (*i.e.*, LSAD and/or TFD) to assist in the negotiation, drafting and adoption by AMSs of ASEAN legal instruments and regional agreements, particularly those with an economic nature and falling within the areas of technical assistance by ARISE Plus; and • **Hold** capacity building events on the transposition at AMSs' domestic levels of regional MRAs adopted in key sectors of relevance to ASEAN regional integration (*e.g.*, food safety and pharmaceuticals), trade facilitation and ARISE Plus engagement.
Expected outputs	• '*On demand*' workshops and/or on-the-job-training modules are implemented to train ASEC officers or AMSs' officials at national level in order to build the relevant institutional capacity and improve the transposition of regional legal instruments at national level.
Expected results	• The transposition of regional legal instruments at national level is supported and improved, particularly in the areas of MRAs and primarily in the areas of food safety and pharmaceutical regulation; and

Activity 1.3.3	Supporting the Transposition of Regional Agreements at National Level
	• The capacity of ASEAN officials to negotiate, draft, adopt, transpose and implement ASEAN legal instruments and regional agreements is increased, with positive benefits in terms of legal certainty, commercial predictability and trade facilitation.
Time frame	AWP1, AWP2, AWP3

COMPONENT 2.0 STANDARDS AND CONFORMITY ASSESSMENT IN PARTICULAR HEALTHCARE AND AGRO-BASED PRODUCT

This component focusses on horizontal support for the ASEAN Committee on Standards and Quality (ACCSQ), continuing and advancing the progress made in ARISE. Additionally, specific and comprehensive assistance is provided for two sectors; the Agro-based goods and Healthcare sectors.

Component 2.0 comprises of 4 Sub-Components, each with a set of activities that reflect Technical Assistance mandated under the terms of reference of ARISE Plus for component 2. The main counterparts are counterparts in the Market Integration Directorate in the ASEAN Secretariat, the ASEAN Consultative Committee for Standards and Quality and its relevant working groups, i.e ACCSQ Pharmaceutical Product Working Group (PPWG), ACCSQ Prepared Foodstuff Product Working Group (PFPWG); Heath Cluster 3 (Strengthening health system and access to care) Cluster 4 (Ensuring food safety). Additionally, This component will provide support in horizontal issues under the purview of ACCSQ Working Group 1 (Standards) and Working Group 2 (Conformity Assessment and Accreditation). Component 2.0 activities will focus on providing support to the specific regional institutions and sectoral bodies serviced by the Market Integration Directorate and that are responsible for the formulation and implementation of integration policies in the specific areas.

Planned Resource Component 2.0

Component 2.0	KE1	KE2	KE3	KE4	S-NKE	J-NKE	Incidentals
Sub-Component 2.1	0	0	157	0	125	40	€ 214.512
Sub-Component 2.2	0	0	74	0	83	30	€ 81.490
Sub-Component 2.3	0	0	187	0	738	105	€ 487.840
Sub Component 2.4	0	0	45	0	304	0	€ 178.371
Total Component 2.0	**0**	**0**	**463**	**0**	**1250**	**175**	**€ 962.212**

Sub-Component 2.1 Supporting the Development of the Quality Infrastructure and Related Policies in ASEAN

This Sub-Component groups together Activity 2.1.1 on "Supporting ACCSQ to Implement the 2016-2025 ASEAN Strategic Plan for Standard and Conformance", Activity 2.1.2 on "Supporting Mutual Recognition of Conformity Assessment and Harmonisation of Technical Regulations", Activity 2.1.3 on "Strengthening Conformity Assessment and Accreditation", Activity 2.1.4 on "Transposing Regional Commitments into National Legislation" and Activity 2.1.5 on "Enhancing Co-ordination across ASEAN Sectoral Working Groups".

The key objective of this cluster of activities is the effective implementation of the **2016-2025 ASEAN Strategic Plan for Standard and Conformance.** The activities include i) the establishment and implementation of an integrated reporting and monitoring system to manage the implementation of the 2016-2025 ASEAN Strategic Plan for Standards and Conformance; ii) the establishment and adoption of ASEAN principles for the harmonisation of technical regulations; and iii) identification of new areas and initiatives for market integration. Proposed actions are additionally targeted at advancing the development of the accreditation infrastructure across all ASEAN Member States(AMS) such that a desired a range of accreditation services are available to support all the ASEAN mutual recognition arrangements, harmonised regulatory regimes in particular and industry in general. In parallel support is aimed accelerated implementation of market integration by promoting more effective enactment and transposition, with a focus on Cambodia, Myanmar and Lao PDR, by assisting in the development and/or amendment of national legislation as required.

Outcome

> *Technical barriers to trade for intra-ASEAN trade are reduced through the adoption of policies, mutual recognition arrangements, harmonisation of regulatory regimes and the development of the quality infrastructure and supporting mechanisms for market integration.*

Activity 2.1.1 Supporting ACCSQ to Implement the ACCSQ Strategic Plan for Standards and Conformance

Rationale:

ACCSQ's 2016-2025 Strategic Plan for Standards and Conformance (ASPSC), developed with the assistance of ARISE in 2016, provides direction for ACCSQ and its working groups in achieving the targets of the 2016-2025 ASEAN Economic Community Blueprint (AECB). ACCSQ has established key performance indicators (KPIs) for the 6 strategic thrusts identified in the Plan and these strategies have been referenced by the working groups to develop their respective action plans and expected outcomes. Additionally, ACCSQ has undertaken direct responsibility for critical initiatives for the establishment of ASEAN Principles for harmonisation of technical regulations and for identifying new sectors and initiatives for market integration. The identification of new sectors will be undertaken in coordination with *Activity 1.3.2: Supporting the ASEAN Connectivity Coordinating Committee (ACCC)*, as the ACCC has also proposed to expand the scope of ASEAN market integration. Support from ARISE Plus to implement the 2016-2025 ASPSC will provide technical assistance needed to achieve these goals under the AECB 2025.

Key stakeholders are ACCSQ Members, ACCSQ Working Groups (WGs) and Product Working Groups (PWGs), Desk Officers in ASEAN Secretariat responsible for ACCSQ, ACCSQ Working Groups and Product Working Groups.

Activity 2.1.1	Supporting ACCSQ to Implement the ACCSQ Strategic Plan for Standards and Conformance
Main Beneficiaries	ASEAN Consultative Committee for Standards and Conformance ACCSQ Working Groups (WGs) and Product Working Groups (PWGs)
Planned Tasks	• **Develop** and propose an integrated reporting and monitoring system to assist ACCSQ to manage the implementation of its 2025 Strategic Plan; • **Support** deliberations in ACCSQ leading to the adoption of an integrated reporting and monitoring system to assist ACCSQ to manage the implementation of its 2025 Strategic Plan and conducting reviews; • **Conduct** workshops leading to the establishment of the "*ASEAN Principles for the development and implementation harmonised regulatory regime*s"; • **Establish** links between CEN-CENELEC Management Centre (CCMC) and ACCSQ established for Information Exchange and Cooperation; • **Implement** a Study Tour for ACCSQ officials to CEN-CENELEC Management Centre to study the role of standards in market integration in the EU; • **Provide** technical assistance to ACCSQ in supporting its work on identifying new product grouping sectors and initiatives for market integration. (Undertaken in coordination with *Activity 1.3.2: Supporting the ASEAN Connectivity Coordinating Committee (ACCC).*

Activity 2.1.1	**Supporting ACCSQ to Implement the ACCSQ Strategic Plan for Standards and Conformance**
Expected outputs	• ACCSQ's 2016-2025 Strategic Plan for Standards and Conformance (ASPSC) implemented; • ASEAN Principles for the development and implementation harmonised regulatory regimes established and adopted; • Links and communication channels between ACCSQ and the CEN-CENELEC Management Centre (CCMC) and ACCSQ established; • New areas and initiatives for ASEAN Market integration identified and work plans developed.
Expected results	• ACCSQ is enabled to efficiently manage all the programmes, including those under its working groups and product working groups, generate progress reports and review progress; • The *ASEAN Principles for the development and implementation: harmonised regulatory regimes* provide guidance to all working groups in ASEAN to effectively to develop market integration initiatives; • ACCSQ is able to learn from CEN-CENELEC to enhance the use of standards in removing TBTs and develop cooperation for mutual benefit; • ACCSQ's scope of work is widened to include new sectors of interest to Member States.
Time frame	AWP1, AWP2, AWP3

Activity 2.1.2 Supporting Mutual Recognition of Conformity Assessment and Harmonisation of Technical Regulations

Rationale:

ACCSQ has been leading the development of mutual recognition arrangements (MRAs) and development of harmonised regulator regimes since the conclusion of the ASEAN Framework Agreement on Mutual Recognition Arrangements in 1998. MRA's have been implemented for the Electrical and Electronic Equipment (EEE), and for Good Manufacturing Practice(GMP) inspections for pharmaceuticals. Recently MRAs for Bio-equivalence (BE) Study Reports for Generic Pharmaceuticals, and for Inspection and Certification Systems on Food Hygiene for Prepared Foodstuff Products have been adopted and are planned to be implemented. The ACCSQ has additionally overseen the adoption of the harmonised regulatory regime for the Cosmetics sector of the ASEAN Cosmetic Directive (ACD)and the ASEAN Harmonised Electrical and Electronic Equipment Regulatory Regime (AHEEERR). The newly concluded ASEAN Medical Devices Directive is yet to be implemented. MRAs for Construction and Building Products and Automotive Products and an ASEAN Agreement on Traditional Medicines are under development. ACCSQ is currently in the process of updating its ASEAN Framework Agreement on Mutual Recognition Arrangements (MRAs) to ensure that it caters for the changing situation.

The MRAs and Harmonised Regulatory Regimes are the main instruments utilised by ACCSQ and its product working groups to remove specific technical barriers to intra ASEAN Trade The interventions by ARISE Plus will focus on development of best practices and procedures for successful implementation.

Activity 2.1.2	Supporting Mutual Recognition of Conformity Assessment and Harmonisation of Technical Regulations
Main Beneficiaries	ACCSQ, PWGs Implementing MRAs, Member States' regulatory agencies
Planned Tasks	**Support** the finalisation and adoption of the revised ASEAN Framework Agreement for MRAs. and follow-up with a **workshop** for planning implementation; **Support,** on a demand driven basis, the updating of existing MRAs and the development of implementation plans and procedures for recently concluded mutual recognition arrangements and harmonised regulatory regimes including the following: - Inspection and Certification Systems on Food Hygiene for Prepared Foodstuff Products; - Bio-equivalence (BE) Study Reports for Generic Pharmaceuticals; - ASEAN Medical Devices Directive.
Expected outputs	- Revised ASEAN Framework Agreement for MRAs adopted and implementation deliberated by ACCSQ and its Working Groups; - MRA for Inspection and Certification Systems on Food Hygiene for Prepared Foodstuff Products implemented;

Activity 2.1.2	Supporting Mutual Recognition of Conformity Assessment and Harmonisation of Technical Regulations
Expected results	• Implementation procedures for of recently concluded MRAs and Harmonised Regulatory Regimes developed.
	• ACCSQ and its Product Working Groups have an updated reference for the development and maintenance of mutual recognition arrangements;
	• Expanded coverage of trade sectors by mutual recognition arrangements;
	• Improved and expanded implementation of ASEAN MRAs.
Time frame	AWP1, AWP2, AWP3

Activity 2.1.3 Strengthening Conformity Assessment and Accreditation

Rationale:

ASEAN market integration initiatives depend on the mutual acceptance of accredited conformity assessment. Seven Member States have established national accreditation bodies (NABs). The remaining 3 Member States are in the process of establishing NABs and, in the interim, have established national focal points for accreditation (NFABs). ASEAN has limited direct co-operation mechanism or recognition arrangement between NABs through Working Group 2, and relies on the recognition arrangements administered by Asia Pacific regional organisations, APLAC and PAC. The ACCSQ's 2016-2025 Strategic Plan in its Strategic Thrust 1 recognises the need for structured co-operation between National Accreditation Bodies (NAB) and National Accreditation Focal Points (NAFP) Laboratory Networks. Much deeper co-operation would facilitate mutual recognition of conformity assessment between countries, especially in AMSs that do not yet have NABs. This would also enable the sharing of scarce resources.

A Guideline for ASEAN Laboratory Networks was developed by WG2 in 2016. This guideline was developed to better define the role of laboratory networks in supporting market integration but is non-binding. Networks have been established in the Cosmetics and Food sectors and networks are proposed for other sectors such as Rubber products. This guideline is yet to be utilised for reviewing and upgrading the laboratory networks.

Support to WG 2 in developing and implementing co-ordinated plans and programmes for capacity building, development of accreditation schemes, and delivery of services and sharing of personnel and resources would help achieve the targets of ACCSQ's 2016-2025 Strategic Plan.

Activity 2.1.3	Strengthening Conformity Assessment and Accreditation
Main Beneficiaries	ACCSQ, WG2, NABs, NFABs
Planned Tasks	• **Compile** data on the scope and capacity of AMS NABs NFABs to provide accreditation services in the identified sectors relevant to ASEAN integration initiatives; • **Propose** new cooperative actions for the development of new accreditation services relevant to ASEAN and build capacity; • **Review** the existing laboratory networks against the *ASEAN Guidelines for Laboratory Networks;* • **Implement** cooperation programmes for NABs; • **Support** the participation of Cambodia Laos PDR and Myanmar in APLAC and PAC; • **Develop** common accreditation guidelines for certification of Organic Agriculture (In coordination with Activity 2.13).
Expected outputs	• Regular cooperation programmes between NABs established; • Common ASEAN Accreditation Guidelines for Certification of Organic agriculture established;

Activity 2.1.3	Strengthening Conformity Assessment and Accreditation
	• Improvements to the operations of laboratory networks in ASEAN; and • Enhanced participation of AMS NABs in APLAC and PAC recognition arrangements.
Expected results	• Availability of accreditation services enhanced, especially in Cambodia Laos PDR and Myanmar; • Mutual Recognition of organic agricultural produce enabled across ASEAN; • Laboratories better able to support ASEAN MRAs and Harmonised regulatory regimes.
Time frame	AWP1, AWP2, AWP3

Activity 2.1.4 Transposing Regional Commitments into National Legislation

Rationale:

The MRAs and harmonised regulatory regimes ASEAN has developed are intended to remove or reduce technical barriers and facilitate cross-border trade. For the MRAs and harmonised regulatory regimes to be implemented, AMSs need to ensure that domestic legislation is compatible with the stipulated conditions and regulatory requirements. This may require the amendment of existing legislation (to plug gaps or remove inconsistencies), or enactment of new legislation where the required provisions do not exist.

Such gaps in national legislation and regulatory coverage in the AMSs, hinders the full implementation of MRAs and harmonised regulatory regimes. This in turn delays implementation processes and stakeholders from deriving expected benefits, which include removal of TBTs, improvements to safety, public health and consumer protection.

Market integration initiatives implemented by ACCSQ include varying obligations for AMSs with respect to national enactment and legislation. With new initiatives to deepen the removal of TBTs, the need to review their existing laws and regulations or development of new legislation increases. This is more significant concern in Cambodia, Lao PDR and Myanmar, where there are larger gaps.

This activity will be implemented on an on-demand basis.

The results of the work undertaken under this activity will feed into *Activity 1.3.3: Supporting the Transposition of Regional Agreements at National Level.*

Activity 2.1.4	Transposing Regional Commitments into National Legislation
Main Beneficiaries	ACCSQ, relevant CLM contact points
Planned Tasks	• **Consult** with product working groups and Member States' (focus on Cambodia, Lao PDR, Myanmar) regulatory agencies on assistance requirements with respect to effective implementation of MRAs and harmonised regulatory regimes in the food and pharmaceutical sectors; • **Undertake** a Baseline Assessment of regulations for the pharmaceutical sector in CLMV to establish needs; • **Implement** identified programmes in the Member States including reviewing existing equivalent legislation, conducting national workshops to deliberate options, supporting the drafting of revised and new legislation; • **Support** a review of the legislation in Cambodia, Lao PDR, Myanmar to facilitate the implementation of the MRA on inspection and certification systems of food hygiene for prepared foodstuffs.
Expected outputs	• Baseline data on regulations for the pharmaceutical sector in CLMV complied, assessed and development needs identified;

Activity 2.1.4	Transposing Regional Commitments into National Legislation
Expected results	• Legislation in the Member States made compatible with ASEAN MRAs and Harmonised Regulatory Regimes, enabling effective implementation of current MRAs and harmonised regulatory regimes.
	• Progress towards implementing Mutual Recognition Arrangements and Harmonised Regulatory Regimes is accelerated.
Time frame	AWP2, AWP3

Activity 2.1.5 Enhancing Co-ordination across ASEAN Sectoral Working Groups

Rationale:

The ASEAN Secretariat provides support to the range of ASEAN Ministerial groupings under the *economic*, *social and cultural*, and the *political and security* pillars in ASEAN. Each Ministerial has established its respective independent organisational structures, working groups and task forces. This creates difficulty for the implementation of a number of market integration initiatives which require co-ordinated action under the authority of more than one Ministerial grouping. In the case of food safety, ASEAN bodies responsible for Health, Trade, Industry and Agriculture all have a direct interest and need to be engaged with arrangements to facilitate co-ordination. Similarly, for organic agriculture certification, consumer, trade, environmental issues are additionally included and need to be addressed. The development of mechanisms for regular communications between the sectors is required in advancing such crosscutting issues. The Secretariat has not established a formal arrangement for regular communication and coordination between Committees and Working Groups established under different Ministerial Groups and also between ASEC Divisions within the same Ministerial Groups. A concerted effort is needed to enable and support the development and maintenance of such communication and coordination mechanisms and the need to address this concern has been recognised in the ACCSQ's 2016-2025 Strategic Plan.

Activity 2.1.5	Enhancing Co-ordination across ASEAN Sectoral Working Groups
Main Beneficiaries	ACCSQ, ASEAN Committee on Consumer Protection (ACCP), ACCSQ WG3, the Committee on Science and Technology (COST) and its Experts Group on Metrology, Health Cluster 4, Agriculture Working Groups for Crops, Fisheries and Livestock, Prepared Foodstuffs Product Working Group for Food Safety, the Pharmaceutical Products Working Group, Health Cluster 3.
Planned Tasks	• **Enhance** the ongoing coordination between the health, agriculture and economic sectors by supporting regular joint workshops and meetings between relevant desk officers in the Secretariat in the development of the ASEAN Food Safety Framework Agreement and all the associated protocols; • **Support** the review and upgrading of the ASEAN Food Safety Network (AFSN) to enable its utilisation as an information exchange and communication tool between relevant ASEAN Bodies involved for ongoing initiatives on food safety; • **Develop** coordination on pharmaceutical sector by supporting regular and meetings between relevant desk officers in the Secretariat and joint workshops for the Pharmaceutical Product Working Group, the Health Cluster 3 Grouping and the ASEAN Committee on Consumer Protection; • **Enable** consultation on the initiatives for the pharmaceutical sector, by food safety, rapid alert systems metrology with relevant groups; • **Establish** cooperation between WG 2 and the Agriculture WG (Crops) and Task Force on Organic Agriculture on Cooperation on Accreditation of Organic Agricultural Product Certification.

Activity 2.1.5	Enhancing Co-ordination across ASEAN Sectoral Working Groups
	• **Develop**, co-operation and coordination between other groups on a demand-driven basis; such as between ASEAN Committee on Consumer Protection with product working groups dealing with market surveillance issues, product safety rapid alerts and information networks.
Expected outputs	• The establishment of enhanced co-ordination mechanisms (committees, task forces etc.) within ASEC focussing in the food, pharmaceutical, consumer protection and other areas when required.
Expected results	• Effective development and implementation of market integration initiatives in the food, pharmaceutical, and other areas based on improved co-ordination and co-operation between relevant bodies.
Time frame	AWP1, AWP2, AWP3

Sub-Component 2.2 Supporting the Harmonisation of Standards and Compliance to International Standards

The two activities in this subcomponent are to assist ASEAN to ensure that there are sufficient relevant harmonised standards to support planned market integration initiatives by reviewing the methods for the identification standards needed and the process of harmonisation that are adopted. Together with this, it is intended that the dissemination of information on harmonised standards to stakeholders will be improved and result in increased use of international standards in ASEAN. The harmonisation of Member States' Standards when undertaken on the basis of international standards will in turn facilitate the strengthening of global value chains.

Outcome

> *Market integration advanced with the increased number of standards harmonised in ASEAN that are aligned with international standards which are adopted by regulatory authorities and referenced by ASEAN businesses and industry.*

Activity 2.2.1 Supporting Harmonisation of Standards

Rationale:

Since the 1980s, efforts have been made to harmonise selected product standards in ASEAN. ACCSQ's current policy provides that international standards should serve as a basis for harmonisation and the development of unique ASEAN standards is not pursued. ARISE supported Working Group 1 to clarify and document the broad principles for the harmonisation of Member States' standards in the "A*SEAN Guidelines for Harmonisation of Standards"*. Progress on the harmonisation process, however, has been slow with approximately 320 standards currently listed as 'harmonised'. The processes for harmonisation relies on ACCSQ's Product Working Groups and are implemented on what amounts to a voluntary basis. The approach adopted has focussed on a few Product Working Groups that have established harmonised regulatory regimes. Given the significance of harmonised standards in enabling market integration, there is a strong need for a more ambitious approach, with greater involvement of the standards committees within national standards bodies and the pro-active identification of the most relevant standards to be harmonised.

Technical assistance is needed to support the efforts of Working Group 1 of the ACCSQ, that underpins the development of harmonised standards, Harmonised Regulatory Regimes, Mutual Recognition Arrangements

Activity 2.2.1	Supporting Harmonisation of Standards
Main Beneficiaries	Working Group 1 of the ACCSQ, Product working groups, National Standards Bodies in Member States, Trade and Industry in ASEAN and regulatory agencies in Member States.
Planned Tasks	• **Develop** methodology for identification of standards that are selected for harmonisation established in consultation of WG 1; • **Identify** provisional lists and targets for standard to be harmonised for acceptance by WG 1 and National Standards Bodies (NSBs); • **Conduct** workshops for national standards bodies to coordinate adoption plans for harmonised standards and review the *ASEAN Guidelines for Harmonisation of Standards*; • **Develop** guidance document for NSBs on implementing harmonised standards including those that have been withdrawn at international level for review and acceptance by WG 1; • **Seek** comments and inputs from National Standards Bodies, standards users and other stakeholders to review and upgrade ASEAN Harmonised Standards Database.
Expected outputs	• Needs for harmonisation of standards on the basis of international standards identified and targets established with mid-term and long-term targets; • Substantial increase in the number of harmonised standards in ASEAN; • Review the completed harmonised standards database leading to improvements in availability of data.

Activity 2.2.1	Supporting Harmonisation of Standards
Expected results	• Harmonised standards (including those related to technical regulations for the presumption of conformity) will provide a common basis for safety, health, environmental and consumer protection. Such standards also facilitate business to business transactions; • Stakeholders in ASEAN will have improved access to the standards and to information on harmonised standards through the revamped harmonised standards database; • Updated Guidelines for the Harmonisation of Standards and additional guidance on implementation of harmonisation decision by National Standards Bodies; • Adoption of harmonised standards in NSBs enhanced resulting in higher level of harmonisation of national standards.
Time frame	AWP1, AWP2, AWP3

Activity 2.2.2 Promoting Compliance to International Standards in the Business

Rationale:

It is ACCSQ policy to promote the use international standards and adoption of international standards as ASEAN regional standards, applied (as required) by each of the AMSs. The decision to use particular standards by industry is a business decision driven by market considerations and awareness of the standards and their comparative benefits. National Standards Bodies provide a bridge between international standards bodies and the business community. Promotion of the use and adoption of international standards is best achieved by strengthening the NSBs' promotional programmes and their success in linking the business community with international level standardisation – especially among MSMEs. Equally, the mutual recognition and harmonised regulatory regimes are based on international standards used to demonstrate compliance with the essential requirements of the regime.

It is ASEAN policy to promote the adoption and use by its AMSs of international standards and to use these as a basis to remove TBTs arising out of different national standards. Successful application of this policy would significantly ease intra-ASEAN trade, while ensuring that the business community's links to the GVCs are maintained and strengthened. Increased compliance with international standards by the business community would also supports the AECB 2025 target in enabling ASEAN to move up GVCs and support market integration. The implementation of this activity will be coordinated with *Activity 1.2.5: Strengthening Public-Private Cooperation.*

Activity 2.2.2	Promoting Compliance to International Standards in the Business
Main Beneficiaries	WG1 of ACCSQ, National Standards Bodies in ASEAN, ABAC and the ASEAN Business Community.
Planned Tasks	• **Conduct** a mapping of the level of participation in international standards development by ASEAN National Standards Bodies (NSBs) and the level of adoption of international standards by AMS for review by WG 1; • **Assist** in the identification of relevant areas of international standardisation of interest to the business community for participation; • **Identify** constraints to participation and develop recommendations to enhance participation in priority sectors; • **Build** capacity in Cambodia, Lao PDR, Myanmar to participate in critical international standards development committees (training, awareness and recommendations); • **Organise** workshops for stakeholders on selected international standards to raise awareness of international standards important for ASEAN market integration; • **Develop**, co-operation and synergies, where possible, with other EU technical assistance projects in selected AMSs (i.e., in Cambodia, Indonesia, Lao PDR, Myanmar, the Philippines and Vietnam) and/or with other development partners active in this area.

Activity 2.2.2	Promoting Compliance to International Standards in the Business
Expected outputs	• Increased capacity in Cambodia, Lao PDR and Myanmar to participate in critical international standards; • Increased awareness of international standards (and ASEAN harmonised standards) by the business community in the focus areas of interest to ACCSQ & use of international standards in ASEAN; • Increased adoption of international standards in ASEAN.
Expected results	• Increased participation by ASEAN NSBs in international standards; • Intra ASEAN Trade facilitated through referencing and use of international standards by the business community.
Time frame	AWP2, AWP3

Sub-Component 2.3 Supporting the Market Integration and Enhancing Food Safety in Agro-based Sector

In the agro-based sector, the seven activities provide support to the relevant ASEAN Working groups in the agriculture, economic and health sectors that are expected to lead to an integrated approach to food safety with the establishment an overall regulatory framework on food safety through the development of a legal instrument for the *'ASEAN Food Safety Regulatory Framework'* that ensures that food safety is implemented across the food chain. This in turn will be supported assistance to the PFPWG in implementing the MRA for Inspection and Certification Systems on Food Hygiene for Prepared Foodstuff Product that has been recently agreed by all Member States and the ongoing institutional arrangements for the ASEAN Risk Assessment Centre for Food Safety (based in Malaysia) the Rapid Alert System for Food and Feed (RASF). The support to the agriculture sector aims to develop a credible, verifiable common approach to certification of organic agricultural produce in ASEAN in order that the acceptance of certified products is enhanced and producers are, encouraged to adopt organic agricultural practices. Specifically, it is intended that an integrated regulatory framework is established that is supported by regional arrangements for risk assessment, a food and feed alerts and that provide training services to regulators improving the robustness and effectiveness of the competent authorities of the ASEAN Member States in discharging their regulatory functions in the food sector.

Outcome

> *Reduced barriers for trade in food products and essential food safety levels ensured across AMS through the establishment of an integrated regulatory framework for food safety based on harmonised standards and measures.*

Activity 2.3.1 Developing and Implementing a Regulatory Framework for Food Safety

Rationale:

Several ASEAN Bodies under the Economic, Health, and Agriculture Ministerial Groups are pursuing initiatives related to removing technical trade barriers and addressing accompanying food safety concerns. Considerable progress has been made on harmonising specific requirements, however the adoption of these harmonised requirements into technical regulations is uneven and remains voluntary. In 2016, ASEAN Member States committed themselves to establishing a binding ASEAN Food Safety Regulatory Framework (AFSRF). This is designed to facilitate improved co-ordination among the different bodies involved in food safety risk management in ASEAN and enable the transposition and implementation of harmonised technical requirements in each Member State. This is expected to be a complex undertaking, given the multitude of ASEAN bodies involved in the process and the far-reaching impact.

The realisation of the objective commenced with the development of a preliminary draft document that is being reviewed by officials in all Member States. ARISE Plus will support the process for the development of the framework agreement, its protocols and implementing mechanisms working in cooperation with the ASEC Food Safety Coordinating Committee, which comprises of ASEC Desk Officers from the Agriculture Health and Trade Divisions of the Secretariat.

Activity 2.3.1	Developing and Implementing a Regulatory Framework for Food Safety
Main Beneficiaries	PFPWG, Health Cluster 4, Agriculture Working Group on crops, fisheries, livestock.
Planned Tasks	• **Conduct** a workshop to review of comments from Member States' on Preliminary Draft AFSRF Agreement and develop first draft for consultation by Task Force for the AFSRF; • **Develop** a revised draft of the AFSRF agreement- incorporating comments and decisions of Task Force members for consultation with relevant ASEAN bodies; • **Assist** the ASEAN secretariat to review comments received on revised draft and for the development of a final draft agreement for the AFSRF for endorsement of SEOM, SOM Health and SOM AMAF; • **Develop** draft Terms of Reference of the ASEAN Food Safety Coordinating Committee for review and deliberation and for recommendations on adoption by SEOM, SOM-AMAF and SOM-AHMM; • **Prepare** a preliminary list of protocols for incorporation into the AFSRF Agreement, and support deliberations by the Task Force on establishing an agreed list; • **Support** the ASEAN Secretariat in the establishment of the ASEAN Food Safety Coordinating Committee and commencing its functions; • **Support** consultations, drafting and finalising the ASEAN Common Food Control Requirements for Food Labelling;

Activity 2.3.1	Developing and Implementing a Regulatory Framework for Food Safety
	• **Support** the drafting and finalising the ASEAN Common Food Control Requirements for Food Additives and Food Contact Materials.
Expected outputs	• Development of the AFSRF Agreement is completed and the agreement endorsed by the ASEAN Ministerial Groups for Health, Agriculture & Forestry, Economy; • The Task Force for the AFSRF succeeds in obtaining the Ministerial Groups endorsement for the ASEAN Food Safety Coordinating Committee (AFS CC) Terms of reference; • ASEAN Common Food Control Requirements for Food Labelling finalised; • ASEAN Common Food Control Requirements for Food Additives finalised; • ASEAN Common Food Control Requirements Food Contact Materials finalised.
Expected results	• AFSRF Agreement signed, ratified and adopted; • The ASEAN Food Safety Coordinating Committee (AFS CC) commences its work in implementing the AFSRF Agreement; • The list of protocols for the AFSRF are identified together with the ASEAN Bodies responsible, development work on protocols initiated.
Time frame	AWP1, AWP2, AWP3

Activity 2.3.2 Implementing the MRA on Inspection and Certification Systems of Food Hygiene for Prepared Foodstuffs

Rationale:

The Prepared Foodstuffs Product Working Group (PFPWG) finalised a Mutual Recognition Arrangement of inspection and certification systems on food hygiene for prepared foodstuffs in 2016. This MRA enables food regulators in AMSs to accept the results of tests, inspections and certifications that are conducted by their counterparts in other Member States upon implementation of the agreement.

The conditions of recognition and the methods for sharing results are broadly defined in the provisions of MRA by reference to the ASEAN Common Food Control Requirements (ACFCRS) adopted by the PFPWG. In order to operationalise the MRA, the details must be defined and agreed by the Joint Sector Committee established under the MRA. This Committee is expected to start work upon the formal entry into force of the MRA. Common administrative processes and procedures enabling mutual recognition also need to be agreed. A comprehensive plan will be required to map the details to be defined and established.

Activity 2.3.2	Implementing the MRA on Inspection and Certification Systems of Food Hygiene for Prepared Foodstuffs
Main Beneficiaries	Prepared Foodstuffs Product Working Group (PFPWG) and Members State's food safety regulators.
Planned Tasks	• **Prepare** a draft plan and identify procedures required for the implementation of the MRA (in consultation with the Joint Sector Committee for the MRA); • **Organise** Workshops to establish a plan for the roll out of the MRA on inspection and certification systems of food hygiene for prepared foodstuffs and Workshops for developing operating procedures for the implementation of the MRA; • **Support** a review of the legislation and institutional structure in Cambodia, Lao PDR, Myanmar to facilitate the implementation of the MRA on inspection and certification systems of food hygiene for prepared foodstuffs.
Expected outputs	• Plans and procedures for the implementation of the MRA on inspection and certification systems of food hygiene for prepared foodstuffs are developed and adopted; • Member States' complete reviews of the legislation to ensure compatibility with the MRA on inspection and certification systems of food hygiene for prepared foodstuffs and commence transposing the requirements.
Expected results	• PFPWG commences to implement the MRA on inspection and certification systems of food hygiene for prepared foodstuffs;

Activity 2.3.2	Implementing the MRA on Inspection and Certification Systems of Food Hygiene for Prepared Foodstuffs
	• Member States domestic legislation is compatible with the MRA on inspection and certification systems of food hygiene for prepared foodstuffs.
Time frame	AWP1, AWP2, AWP3

Activity 2.3.3 Supporting the ASEAN Risk Assessment Centre for Food Safety

Rationale:

The ASEAN Risk Assessment Centre was established with ARISE support to the ASEAN Experts Group on Food Safety (AEGFS) under the authority of the AMSs' Health Ministers. Following the development of the concept and consensus of Food Safety Regulators in ASEAN, the AEGFS proposal to establish an ASEAN Risk Assessment Centre (ARAC) in Kuala Lumpur received endorsement from the ASEAN Health Ministers Meeting in August 2014.

ARAC is a key element in the ASEAN Regulatory Framework for Safety. The analysis that it conducts will provide a basis for the development off harmonised standards and food safety measures undertaken to mitigate risks. With support from the Ministry of Health of Malaysia which provides a Secretariat, ARAC began by establishing a Scientific Committee to oversee its technical work and a first panel to evaluate risks with respect to aflatoxins. The potential role of ARAC is vast as ASEAN seeks to harmonise its food safety standards and measures. The current operations should serve as a nucleus and provide lessons for future expansion to food additives, food contaminants, food contact materials and the agricultural working groups dealing with pesticide residues and drug residues.

As ASEAN accelerates its harmonisation of food standards and food safety measures, there is a need for risk assessments to be undertaken to provide data and results to risk managers, to ASEAN Bodies undertaking harmonisation, and to AMSs. Support for ARAC will underpin the assistance ARISE Plus will provide in the development of an ASEAN Food Safety Regulatory Framework by supporting the scientific basis for harmonisation in ASEAN.

Activity 2.3.3	Supporting the ASEAN Risk Assessment Centre for Food Safety
Main Beneficiaries	ARAC, Health Cluster 4
Planned Tasks	• **Supporting** the review of current terms of reference and procedures of ARAC in the light of pilot activities and formalising its role in the ASEAN Food Safety Regulatory Framework; • **Supporting** awareness and outreach programmes with other relevant ASEAN Bodies to inform of ARACs operations and identify risk assessment needs; • **Organising** a Study tour to EFSA for the Scientific Committee to gain direct knowledge, enhance communications for future technical collaboration; and • **Organising** workshops to support the establishment of Scientific Panels as identified by ARAC and the relevant ASEAN Bodies.
Expected outputs	• Additional Scientific Panels to undertake risk assessment as required to harmonise requirements for food safety; • Updating the TOR and the procedures of ARAC to enhance its operations; and

Activity 2.3.3	Supporting the ASEAN Risk Assessment Centre for Food Safety
Expected results	• Formalising the central role of ARAC as the ASEAN reference body for risk assessment in support of the ASEAN Food Safety Regulatory Framework.
	• ARAC has an expanded scope and programme and of risk assessment projects;
	• Updated procedures for ARAC provide greater clarity and flexibility to undertake its activities;
	• ARAC is integrated into the ASEAN Food Safety Regulatory Framework intuitionally and operationally.
Time frame	AWP1, AWP2, AWP3

Activity 2.3.4 Supporting the Collection, Management and Harmonisation of Food Consumption Data to Strengthen Risk Assessment in ASEAN

Rationale:
Food consumption data is a key requirement for assessing dietary exposure to chemical and biological contaminants in food. As such, it is an essential tool in the process of risk assessment, which itself is a prerequisite to risk management calls made to set food safety standards (MRLs, ML and microbiological criteria).

National food consumption data can be used as such by national food safety authorities to assess the risk and ensure the protection of consumers. However, this data cannot be combined with similar surveys from other ASEAN Member States without a significant effort of harmonisation in food classification. In the absence of such harmonisation, the national data cannot be used to support regional risk assessment. Harmonised food consumption data will therefore support ASEAN's food safety strategy through contributing to the work of the ASEAN Risk Assessment Centre (ARAC). Harmonised classification will greatly facilitate discussions between ASEAN countries and the international community and improve access to international trade market for food commodities produced in the region. However, progress has been made in coming to an agreement on the food category template (i.e. only 2 levels consisting of Food Group and Food Subgroup) to be used for the compilation of food consumption data, which was based on the FAO/WHO format, while retaining regional specificity. Currently, existing food consumption data in ASEAN are mostly collected for nutrition purposes and not available to risk assessors to do exposure assessments.

Improvement of the current situation for an equal, usable, and powerful collection of microdata is undertaken through global initiatives are described below. Food consumption data is stored in the Chronic Individual Food Consumption Database – Summary Statistics (CIFOCOss), using the standardized Food Classification and Description System (FoodEx2). Data will be collected to enable the future completion of the Global Individual Food Consumption Data Tool (GIFT).

– FAO/WHO CIFOCOss currently includes summary statistics from 37 food consumption surveys conducted in 26 countries (including 17 EU countries) and presenting mean, standard deviation, high and low percentiles (P5, P10, P50, P90, P95) in total population and consumers only at a refined level of food categorization (about 500 items).

– FAO/WHO GIFT consists of a global database, containing individual quantitative food consumption data from any country disregarding their level of income, made freely accessible online through an interactive web platform. FAO/WHO GIFT aims to be a multipurpose tool, providing information on specific indicators in the field of nutrition, food safety and environment, in addition to data on food consumption.

The interventions by ARISE Plus are aimed at integrating ASEAN data into the global database and hence ASEAN to utilise the tools that these global initiatives provide for analysis and with this essential tools and data, it is foreseen that ARAC will contribute to enhancing food safety in the ASEAN region.

Activity 2.3.4	Supporting the Collection, Management and Harmonisation of Food Consumption Data to Strengthen Risk Assessment in ASEAN
Main Beneficiaries	ASEAN Risk Assessment Centre, Health Cluster 4, Prepared Foodstuffs Working Group
Planned Tasks	• **Developing** and seeking endorsement of Member States for a common approach for managing food consumption data; • **Convening** stakeholder meetings/workshops to discuss the importance of food consumption data harmonisation and the challenges that it raises; • **Supporting** the ASEAN Member States in addressing the issues faced in the harmonization of their individual food consumption data; • **Integrating** the individual food consumption data harmonised and provided by the ASEAN Member States into FAO/WHO CIFOCOss and FAO/WHO GIFT.
Expected outputs	• Harmonisation of food consumption data for ASEAN; • Integration of food consumption data from ASEAN Member States into the FAO/WHO CIFOCOs and GIFT.
Expected results	• The availability of comprehensive food consumption data from ASEAN Member States for utilisation by ARAC in risk assessment.
Time frame	AWP1, AWP2, AWP3

Activity 2.3.5 Establishing Rapid Alert Systems for Food and Feed (RASFF) in Member States and integrating them in the ASEAN Rapid Alert Systems for FOOD and Feed (ARASFF)

Rationale:

Growing intra ASEAN food trade is increasing the risk of having a major food safety crisis hit the region in the future, and food safety authorities have to face the challenge. In case of such food safety crisis, communicating on related risks is key in implementing corrective measures, including identifying the source and sites where contaminated products have been distributed to.

Article 77 of the ASEAN Trade in Goods Agreement (ATIGA) has identified this potential problem by specifying that "*effective post market surveillance systems shall be further enhanced through the establishment of Alert Systems among Member States*".

In response, the ASEAN Rapid Alert System for Food and Feed (ARASFF) mechanism was developed in 2005-2007 and was endorsed by the 34th Special SOM - AMAF, held in August 2013. This decision resulted in the creation of a Steering Committee and appointment of National Contact Points by the national agencies in charge of food safety. It is implemented on a voluntary understanding between Member States.

ARASFF is a web-based application of regional scope enables Competent Authorities in Food Safety and Public Health of all ASEAN Member States to rapidly notify and exchange information on direct or indirect risks to human deriving from food or feed being traded in ASEAN, and measures taken to prevent them entering the food chain. The ARASFF application was developed with support from the EU and resides in a server provided by Thailand. Over the last 10 years efforts have been placed on the development of regional tools and processes to operate the ARASFF, but only a limited number of notifications into ARASFF have been observed to date. Insufficient food safety alert systems at national level do not allow concerned authorities to generate the information which is needed to tackle risks on their domestic markets and to be shared with other AMS in case of food safety crisis at regional level.

Activity 2.3.5	Establishing the Rapid Alert Systems for Food and Feed (RASFF) in AMSs and integrating them in the ASEAN Rapid Alert Systems for FOOD and Feed (ARASFF)
Main Beneficiaries	ARASFF Steering Committee, PFPWG, Health Cluster 4 and food safety and agriculture authorities in Member States.
Planned Tasks	• **Increasing** awareness of policy makers on the essential contribution of ARASFF – and national RASFF –to manage food safety; • **Supporting** the integration of ARASFF into the ASEAN Food Safety Framework; • **Strengthening** the detection of non-conformity on food and feed and at the national levels. Providing training & technical advice on the establishment of robust national food safety alert systems and notification mechanism to other AMS, using expertise from the region and the EU;

Activity 2.3.5	Establishing the Rapid Alert Systems for Food and Feed (RASFF) in AMSs and integrating them in the ASEAN Rapid Alert Systems for FOOD and Feed (ARASFF)
	• **Assisting** the review and implementation of action plans established by Steering Committee through improving the exchange mechanisms of information relevant for organisations concerned by Food Safety and regional levels and improvements to coordination between ASEAN member states and ASEAN bodies in charge of Food Safety; • **Increasing** awareness of industry in reporting of food safety problem information to public health authorities linked to ARASFF on food and feed related so that coordinated and coherent actions by all ARASFF members are taken for a better consumer safety as a whole.
Expected outputs	• Targeted technical assistance and training to national authorities in establishing/strengthening their national rapid alert systems; • Dissemination of agreed ARASSFF policies and procedures to authorities and stakeholders in ASEAN.
Expected results	• Trained officials in national authorities are able to implement the necessary activities for the sustained operation of alert systems; • Implementation of ARASFF based on agreed ASEAN procedures; • ARASFF integrated into the ASEAN Food Safety Regulatory Framework.
Time frame	AWP1, AWP2, AWP3

Activity 2.3.6 Strengthening ASEAN Cooperation on Organic Agriculture

Rationale:

The availability of standards and credible certification services enable producers to provide the confidence to consumers on the organic nature of their products and essential for the adoption of organic practices by producers. ASEAN initiated regional co-operation for Organic Agriculture with the development of the ASEAN Standard for Organic Agriculture (ASOA) which was endorsed by Senior Officials responsible for Agriculture and Forestry (the SOM-AMAF) in 2014.

The ASEAN Standard is voluntary and the Task Force of SOM-AMAF (TF ASOA) that developed the ASOA has recommended that Member States adopt this Standard or align their national standards with the ASOA. The task force is currently developing the "*ASEAN Guide for Organic Certification.*" TF ASOA has held discussions on potential future co-operation. Co-operation in organic agriculture is at an early stage in ASEAN. Representatives of Member States have explored in furthering co-operation beyond the development of the ASEAN Standard on Organic Agriculture. The co-operation proposals include activities such as promotion of Organic Agriculture, and harmonisation of regulations and mutually recognising certification systems. In this context, it is noted that there are several private and public organic certification programmes operating in ASEAN with significant differences in regulatory requirements in Member States, with some Member States not regulating organic certification. The interventions that are planned have the objective enhancing the development of credible and harmonised organic certification services in ASEAN Member States that will in turn provide support and stimulate adoption of organic agricultural practices by producers.

Activity 2.3.6	Strengthening ASEAN Cooperation on Organic Agriculture
Main Beneficiaries	SOM AMAF, the Task Force ASEAN Standards on Organic Agriculture, the Agriculture Working Groups for Crops, Fisheries and Livestock and Working Group 2.
Planned Tasks	• **Investigate** organic agriculture regulations, standards, certification in Member States and gaps identified towards establishment of credible and comprehensive organic certification and labelling systems. Review scope of coverage of the ASEAN Standards to include Fisheries and Livestock; • **Conduct** workshop to review findings of the investigation with view of identifying and adopting cooperation objectives and plans. Review scope of coverage to include fisheries and livestock certification; • **Support** development of *Implementation Guidelines for the production and labelling of organic products;* • **Coordinate** with Working Group 2 (see Activity 2.4) to deliberate on adoption of the *ASEAN Guide for organic certification for reference by the National Accreditation Bodies in ASEAN* prescribing common requirements for certification bodies for Organic agricultural products; • **Cooperate** with Working Group 2 (see Activity 2.4) on the Development of harmonised requirements for adoption by the National Accreditation

Activity 2.3.6	Strengthening ASEAN Cooperation on Organic Agriculture
	Bodies for the accreditation of organic agriculture certification schemes in ASEAN Member States.
Expected outputs	• An updated report on the comparative status of regulations and certification of organic agricultural products in ASEAN Member States; • *Implementation Guidelines for the production and labelling of organic products* adopted; • *ASEAN Guide for organic certification* adopted by National Accreditation Bodies in ASEAN; • Harmonised requirements for accreditation of certification of organic agricultural product certification bodies established and adopted by National Accreditation Bodies in ASEAN; • Review of the scope of coverage of the ASEAN Standard on Organic Agriculture.
Expected results	• Baseline data on organic agriculture regulations, standard and certification reviewed and recommendations for cooperation adopted; • Adoption of a common approach to future harmonisation and mutual recognition of certification of organic agricultural products in ASEAN; • Harmonised accredited certification systems in ASEAN based on common guidelines for organic agriculture; • Enhanced credibility of organic certification in ASEAN supporting organic agricultural production; and • Mutual recognition of organic certification enabled through the establishment of harmonised criteria for certification and accreditation of organic certification bodies.
Time frame	AWP1, AWP2, AWP3

Activity 2.3.7 Training in Food Safety

Rationale:

The capacity and capability of the food safety authorities to conduct their activities in a competent, effective and responsible manner is a critical factor for the success of food safety strategies. Insufficient capacity and inadequate capability leads to sub-standard enforcement of requirements and compromises public health and consumer protection.

Training of staff ensures that technical expertise of staff and in turn the capability of regulatory authorities.

In addition, lack of specialized education and of experience in - or exposure to - international processes and discussions undermines the quality of regional cooperation and inhibits progress on harmonization of technical requirements. Even more importantly, it seriously and systematically compromises the actual implementation of harmonized standards at Member States level, a critical factor that affects the development of a coherent and sustainable food safety system in ASEAN.

Several ASEAN Member States have established or are establishing training academies in the food sector which could be used as centres of excellence to develop a network at the ASEAN level, in cooperation with similar initiatives in the EU, notably the Better Training for Safer Food (BTSF) programme of the European Commission – DG SANTE. These include - Malaysia: International Food Safety Training Centre Malaysia (under Ministry of Health-MoH), - Singapore: Agri-Food and Veterinary Authority (AVA), and Thailand: Food and Drug Administration (Thai FDA). The establish of a network and structured training modules will lead to much improved situation in ASEAN.

Activity 2.3.7	Training in Food Safety
Main Beneficiaries	Food Safety Regulatory Agencies in ASEAN Member States, Prepared Foodstuffs Working Group, Health Cluster 4, ASEAN Consumers.
Planned Tasks	• Establishing of an education and training platform on food safety and nutrition for ASEAN of identified experts and institutions for food safety; • Developing, in cooperation with academia in ASEAN and in the EU, a standard curriculum on the general principles of food law (risk analysis, traceability, governance, etc.) and on the international framework governing the food sector (WTO, SPS, Codex, etc.); • Developing specialised complementary education/training modules for various areas of food safety and nutrition (e.g. microbiology, contaminants, food contact materials, plant health, labelling, etc.).
Expected outputs	• ASEAN Education and Training Platform/Network on Food Safety and Nutrition established; • ASEAN Standard Education and Training Curriculum on Food Safety and Nutrition established;

Activity 2.3.7	Training in Food Safety
Expected results	• Sectoral education and training modules, including E-learning modules available for ASEAN Member States. • Cooperation on training between ASEAN Food Safety Authorities established to enhance availability of training resources for ASEAN; • Better trained officials in ASEAN Food Safety authorities who are able to implement regulations and other initiatives more effectively.
Time frame	AWP1, AWP2, AWP3

Sub-Component 2.4 Support to the Pharmaceutical Sector

The activities under this Sub-component are targeted at facilitating the development of a regulatory framework to support trade and investment in line with the ACCSQ 2025 strategic plan and, the implementation of the components of the ASEAN Post 2015 Health Development Agenda that deal with access to health care. A major target is the development of an overall framework for pharmaceuticals regulation that will incorporate and strengthen the several ongoing initiatives of the Pharmaceutical Product Working Group on mutual recognition and harmonisation of requirements. It is intended that the assistance provided will contribute towards the adoption of an agenda for the development of a regulatory framework for ASEAN. The support provided is expected additionally to:

i.   Enhance implementation institutional capacity building for pharmaceutical regulation in Cambodia, Lao PDR, Myanmar;

ii. Enhance information sharing and development of concerted strategies in control falsified medicines, including the distribution and use of Active Pharmaceutical Ingredients (APIs); and

iii. Increase involvement of ASEAN and its Member States in international regulatory initiatives in the pharmaceutical sector and equipping the ASEAN with a mechanism of improved participation at the International Council on Harmonisation (ICH), European Pharmacopeia (Ph. EU) and the International Generic Drug Regulators Program (IGDRP).

The combined impact of the initiatives is targeted at establishing enhancing the regulatory systems that will directly facilitate the production of pharmaceuticals and improve access to safe medicines in ASEAN.

Outcome

The adoption of a common approach and agenda for pharmaceutical regulation that enhances the regulatory systems for pharmaceuticals in turn facilitating the production of pharmaceuticals and improving access to medicines in ASEAN.

Activity 2.4.1 Strengthening the Pharmaceuticals Regulatory Framework

Rationale:

A robust regulatory framework is essential to ensure the availability of safe, effective and high quality medicinal products and is part of a modern healthcare system. This involves a range of regulatory processes including pre-marketing authorization of products; controls on manufacturing, importation, distribution and retail; post-marketing surveillance; and promotion of the rational use of medicines. These actions will be undertaken in support of the parts of ASEAN Post-2015 Health Development Agenda that is coordinated by Health Cluster 3.

Regulatory cooperation and indeed international harmonization is a necessity for all regulatory authorities with pharmaceutical research, development and production getting increasingly global. On the other hand, medical treatments are getting more and more complex, as evidenced by the emergence of advanced therapies (gene therapy, cell therapy, tissue engineering, etc.). New drug reviews require the consideration of massive amounts of information, and the understanding of a host of highly complex disciplines.

ASEAN Member States, in addition to substantial domestic production, are significantly dependent on imported medicinal products, in particular highly innovative ones, to satisfy their health needs. Substantial progress, mainly driven by the ACCSQ-Pharmaceutical Product Working Group, has been made towards cooperation and harmonization within ASEAN in the pharmaceutical sector. The main achievements include the ICH-derived ASEAN Common Technical Dossier (ACTD), ASEAN Common Technical Requirements (ACTR) the ASEAN Sectoral MRA on GMP Inspection, the newly completed ASEAN MRA on the acceptance of Bioequivalence Reports for Generic Medicines and in post-marketing information sharing.

Implementation of the ACTD and ACTR remains voluntary and there are significant differences in, regulations, technical capabilities and institutional capacity between ASEAN Member States.

Activity 2.4.1	Strengthening the Pharmaceuticals Regulatory Framework
Main Beneficiaries	PPWG, Health Cluster 3 under the ASEAN Health Ministers
Planned Tasks	• **Reviewing** the adoption of existing PFPWG initiatives by Member States (ACTD, ACTR, GMP MRA.); • **Undertake** a baseline assessment of regulations for the pharmaceutical sector in CLMV assessed and gaps identified; • **Support** the finalisation of the Procedures for the Implementation of the BE MRA. (Implemented in OWP 2.3); • **Conduct** a workshop to deliberate on the scope and objectives and outline content a framework for harmonisation the pharmaceutical sector; • **Organise** a workshop to deliberate on the objectives, scope and content of the ASEAN Guideline for Rational Use of Medicines (RUM); • **Assist** the development a draft of the ASEAN Guideline for RUM and consultation with relevant parties for Health Cluster 3;

Activity 2.4.1	Strengthening the Pharmaceuticals Regulatory Framework
	• **Develop** a proposal for PPWG to deliberate on the scope, objectives and content of the proposed expansion of the MRA on GMP for medicinal products to include Active Pharmaceutical Ingredients (APIs) and other products.
Expected outputs	• Report containing baseline data on the regulatory gaps in CLM; • Procedures for the Implementation of the MRA for the acceptance of the results of bioequivalence of medicinal products developed and adopted; • A common ASEAN pharmaceutical regulatory agenda for increased cooperation and harmonization adopted so as to allow for informed and coordinated decision-making; • Common ASEAN Guidelines for the rational use of medicinal products; • GMP MRA amended, increasing its scope of application.
Expected results	• Development needs of CLMV with regard to Pharmaceutical Regulation identified; • Member States commence implementing the MRA for the acceptance of Bioequivalence of medicinal products; • PPWG commences development of a comprehensive regulatory framework for pharmaceuticals in ASEAN incorporating existing initiatives; • ASEAN Guidelines for the rational use of medicinal products implemented by Member States; • Member States commence of acceptances of GMP MRA inspection results for APIs and other products.
Time frame	AWP1, AWP2, AWP3

Activity 2.4.2 Combatting Falsified Medicines in ASEAN

Rationale:

Falsified medicines are fake medicines that pass themselves off as real, authorized medicines. They are not the same as counterfeit medicines, which are medicines that do not comply with intellectual-property rights or that infringe trademark law, although counterfeited medicines are almost always also falsified medicines.

The phenomenon of falsified medicines is on the increase. The World Health Organization (WHO) estimates that a significant part of the world supply of medicinal products is counterfeited and falsified. Falsified medicines are an even bigger threat in Asia in general, and ASEAN in particular. On the one hand, they are even more widely spread than in the EU. On the other hand, in ASEAN, falsified medicines include medicines used to treat life-threatening conditions such as malaria, tuberculosis and HIV/AIDS.

The EU strengthened the protection of patients and consumers by adopting Directive 2011/62/EU on falsified medicines for human use. This Directive aims to prevent falsified medicines from entering the legal supply chain and reaching patients. It introduces harmonised safety and strengthened control measures across Europe, including: safety features (barcodes will be printed on or attached to every single pack of medicines, which will be checked into a database by the manufacturer and when dispensed by a pharmacy) and control on internet sales of medicines (an obligatory logo that will be placed on the websites of legally operating online pharmacies).

This activity will seek to reinforce ASEAN Member States' controls over the medicinal products on their market, through a coordinated approach at ASEAN level notably in respect of the production and importation of Active Pharmaceutical Ingredients (APIs) and in respect of internet sales of finished pharmaceuticals, and increased international cooperation, notably with the EU.

Activity 2.4.2	Combatting Falsified Medicines in ASEAN
Main Beneficiaries	Health Cluster 3, PPWG
Planned Tasks	• **Convene** stakeholder meetings/workshops to inform interested parties about the new control measures introduced in the EU to combat falsified medicines, to consider whether some elements of a similar regime could be introduced in ASEAN and how reinforced regulatory cooperation between the EU and ASEAN on falsified medicines; • **Conduct** a Study Tour to the EU for officials from ASEAN to learn about EU approaches to combatting falsified medicines; • **Support** the development of an ASEAN scheme to control the importation, distribution and use of Active Pharmaceutical Ingredients; • **Support** the participation of ASEAN representatives in international fora involved in the fight against falsified or counterfeited medicines.

Activity 2.4.2	Combatting Falsified Medicines in ASEAN
Expected outputs	• Adoption of an addendum to the ASEAN Sectoral MRA on GMP Inspection to cover APIs and intermediate products; • Adoption of an ASEAN Guide on Good Distribution Practices; • Feasibility study on an ASEAN cooperation system to control internet sales of medicinal products.
Expected results	• Strengthened control measures adopted by Member States for falsified medicines; • Reinforced cooperation amongst ASEAN Member States and between ASEAN and international partners to curtail trade in falsified medicines.
Time frame	AWP1, AWP2, AWP3

Activity 2.4.3 Enhancing Pharmaceuticals Standardization in ASEAN

Rationale:

As pharmaceutical research, development and production is getting more and more global, pharmaceutical regulators have not only increased cooperation at the international level but have also undertaken harmonization of technical requirements.

Whilst it was initially (1990) meant to provide harmonization between the EU, the U.S. and Japan, ICH (the International Council for Harmonization) has gradually evolved to respond to the increasingly global challenge of drug development. The recent (2015) reform of ICH, to become a truly global forum not only means that more countries around the world now participate in the formulation of ICH Guidelines, but also that more countries make a commitment to implement the ICH Guidelines. ASEAN has long been an observer in ICH, and a series of ASEAN Common Technical Requirements (ACTR) as well as the ASEAN Common Technical Dossier (ACTD) are directly derived from the corresponding ICH products.

In the area of quality control, the Pharmaceutical Inspection Co-operation Scheme (PIC/S) aims at harmonizing inspection procedures worldwide by developing common standards in the field of GMP and by providing training opportunities to inspectors. Indonesia, Malaysia, Singapore and Thailand, amongst ASEAN Member States, are members of PIC/S. The European Pharmacopoeia (Ph. Eur.) provides common quality standards (in the form of monographs) to control the quality of medicines, and the substances used to manufacture them. The EU itself, and 37 European countries are members of the Ph. Eur., which also counts 26 observer countries, including Singapore and WHO. The IGDRP (International Generic Drug Regulators Program), of which Singapore is a member, aims at facilitating the timely authorization and availability of generic medicinal products.

Greater involvement of ASEAN and its Member States in international regulatory initiatives in the pharmaceutical sector will provide an impetus for regional harmonization, greater convergence with international requirements, and new opportunities for cooperation with regulatory authorities on the global scene. It will further result in strengthening the institutional set up and contribute to the development of pools of qualified and experienced staff in all ASEAN Member States.

Activity 2.4.3	Enhancing Pharmaceuticals Standardization in ASEAN
Main Beneficiaries	PPWG, Health Cluster 3
Planned Tasks	• **Convene** meetings of regulators/stakeholders on ASEAN ICH coordination to consider a greater involvement of ASEAN and ASEAN Member States in ICH and a sustainable uptake of ICH guidelines; • **Establish** ASEAN PIC/S coordination for sharing best practices and providing training opportunities to GMP inspectors, as well as support to ASEAN Member States who are not, or not yet, members of PIC/S; • **Organize** a workshop to consider participation in IGDRP as well as the establishment of an IGDRP-like mechanism in ASEAN; • **Convene** a discussion group to consider ASEAN to become an observer in the Ph. Eur.

Activity 2.4.3	Enhancing Pharmaceuticals Standardization in ASEAN
Expected outputs	• The Philippines and Vietnam become members of PIC/S; • ASEAN becomes an observer at the Ph. Eur; • ASEAN participation in IGDRP and/or creation of an ASEAN IGDRP-like mechanism.
Expected results	• ASEAN to increase its participation in ICH as well as the uptake of ICH or ICH derived guidelines; • Increased ASEAN Cooperation in the authorisation of Generic medicines; • Greater involvement of ASEAN and its Member States in international regulatory initiatives in the pharmaceutical sector.
Time frame	AWP1, AWP2, AWP3

COMPONENT 3.0 CUSTOMS, TRANSPORT AND ACTS

ASEAN has continued to pursue its regional economic integration agenda with ever-greater success over the past years. The commitments made by the ASEAN leaders are expressed collectively in the AEC Blueprints 2015 and 2025, the Master Plan on ASEAN Connectivity 2025 and the ASEAN Trade in Goods Agreement (ATIGA). Commitments related to Customs and transport are set out in the ASEAN Agreement on Customs (2012), the ASEAN Customs Vision 2015, the ASEAN Framework Agreement on the Facilitation of Goods in Transit (AFAFGIT) and the Protocol governing the implementation of the ASEAN Harmonised Tariff Nomenclature.

One of the key objectives of the AEC Blueprint 2025 is the progressive reduction or elimination of border and behind-the-border regulatory barriers that impede trade, to achieve the competitive, efficient, and seamless movement of goods within the region.

The AEC Blueprint lists various measures, activities and initiatives required to ensure the ASEAN Economic Community functions effectively. Implementation of these actions has been undertaken by individual ASEAN countries and their regional sectoral bodies, coordinated by the ASEAN Secretariat.   These activities are partly supported by the cooperation, financial and technical assistance of dialogue partners and international organizations, including the Asian Development Bank, Japan's Economic Research Institute for ASEAN and East Asia, Australia's ASEAN Australia Development Cooperation Program, the United States Agency for International Development and the European Union (ARISE).

The planned interventions for Component 3 of the ARISE Plus Overall Work Plan (OWP) fall into two broad areas, Transport and Customs, and as such are reflected in the activities proposed below. These will build on the successes of ARISE in supporting ASEAN's activities to lay the foundations for the implementation of facilitated environments for Customs and Transport within ASEAN.

Under Transport, the derived activities will assist the removal of barriers to the free flow of goods by first assessing the status of Protocols 1, 3, 4 & 5 of the ASEAN Framework Agreement on the Facilitation of Goods in Transit and ASEAN Framework Agreement on the Facilitation of Inter-State Transport and supporting their subsequent finalisation and implementation.

Under Customs, the derived activities will assist the implementation of Protocols 2 (Designation of Frontier Posts) and 7 (Customs Transit System). ACTS has been successfully installed along the north-south corridor of ASEAN, involving a pilot implementation Malaysia, Singapore and Thailand (MST). The programme will support the full roll-out of the system along the north-south corridor, and piloting and implementation of the system along the east-west corridor, Cambodia, Lao PDR, Myanmar and Viet Nam. The programme will also support the management and training activities required for the long-term sustainability of the ASEAN Customs Transit System (ACTS) in the region.

In Summary:
Component 3 is organised into 3 sub-components and will:
Under sub-component 3.1, Customs Measures:
- Support the implementation of selected Strategic Plans for Customs Development (SPCD) to assist the development of an integrated Customs environment for the trading community;

Under sub-component 3.2, Transport Measures:
- Assist ASEAN to expedite the implementation of the three ASEAN Framework Agreements on transport facilitation (the ASEAN Framework Agreement on the Facilitation of Goods in Transit, the ASEAN Framework Agreement on the Facilitation of Inter-State Transport, and the ASEAN Framework Agreement on Multimodal Transport);

- Assist the implementation of the ASEAN agreement on the Facilitation of the Cross-Border Transport of Passengers by Road Vehicle (ASEAN-CBTP) along with finalisation of the Implementing Guidelines to the agreement; and

Under sub-component 3.3 ACTS Implementation:
- Provide further support to the roll-out of the ASEAN Customs Transit System (ACTS) along the north-south corridor and piloting along the east-west corridor of ASEAN as part of the implementation of protocol 7 of the ASEAN Framework Agreement on the Facilitation of Goods in Transit (AFAFGIT).

Planned Resource Component 3.0

Component 3.0	KE1	KE2	KE3	KE4	S-NKE	J-NKE	Incidentals
Sub-Component 3.1	0	0	0	168	254	0	€ 332.093
Sub-Component 3.2	0	0	0	110	171	0	€ 158.555
Sub-Component 3.3	0	0	0	188	2089	75	€ 554.151
Total Component 3.0	**0**	**0**	**0**	**467**	**2513**	**50**	**€ 1.044.798**

Sub-Component 3.1 Customs Measures

Rationale:

The ASEAN Directors General of Customs (ASEAN DGs) have committed to implement fourteen (14) Strategic Plans of Customs Development (SPCDs). These SPCDs have been revised and updated to cover the period 2016-2020. The objective is to support Customs integration and trade facilitation under the ASEAN Economic Community (AEC). National Customs services play a pivotal role in the implementation of the AEC. To support the required activities, the SPCDs focus on the implementation of commitments specified in the various legal instruments and mandates relating to Customs integration and harmonisation.

Collectively, the revised SPCDs are guided by the AEC Blueprint 2025, the Master Plan on ASEAN Connectivity 2025, the ASEAN Trade in Goods Agreement (ATIGA), the ASEAN Agreement on Customs (2012), the ASEAN Customs Vision 2015, the ASEAN Framework Agreement on the Facilitation of Goods in Transit (AFAFGIT) and the Protocol governing the implementation of the ASEAN Harmonised Tariff Nomenclature.

One of the key objectives of the AEC Blueprint 2025 is the progressive reduction or elimination of border and behind-the-border regulatory barriers that impede trade, to achieve the competitive, efficient, and seamless movement of goods within the region. The project will contribute to the enhancement of border management, and facilitation of compliant ASEAN trade by supporting the Customs services of the ASEAN Member States in implementing 5 key SPCDs, specifically:

- Customs Clearance (SPCD 04);
- Partnership with Businesses and Trading Community (SPCD 06);
- Authorised Economic Operators (AEO) Programmes (SPCD 07);
- Customs Enforcement and Mutual Assistance (SPCD 09); and
- Narrowing the Development Gap in Customs (SPCD 13).

Of these SPCDs:

SPCDs 04, 06 and 07 fall under the purview of the Customs Procedures and Trade Facilitation Working Group (CPTFWG);

SPCD 09 is managed by the Customs Enforcement and Compliance Working Group (CECWG); and

SPCD 13 falls under the Customs Capacity Building Working Group (CCBWG).

These SPCDs have been selected to support the expressed priorities of ASEAN. In addition, these SPCDs support the Customs and private sector environments within which the ASEAN Customs Transit System (ACTS) will operate. These SPCDs are central to the trade facilitation impetus of ASEAN Customs. The SPCD 5, Customs Transit, has not been included here as support for the ACTS is being directly addressed under other activities proposed under the project. A further justification for focussing on these SPCDs is that they have a direct read-over to the ACTS. The need for expedited Customs clearance is set out under SPCD 04, Customs Clearance, which is also a pre-requisite of the facilitated ACTS clearance procedures. AEO programmes (SPCD 07) are reflected in the Authorised Transit (ATT) scheme under ACTS. Mutual Assistance (SPCD 09) between Customs Authorities is required for the recovery of cross-border Customs debts that may arise under the ACTS. Under SPCD

13, Narrowing the Development Gap in Customs, it is proposed to target support for enhancing the technical and managerial capacity of Customs officers in CLMV.

Outcome

Enhanced harmonisation of the customs environment within ASEAN in support of the facilitation of ASEAN trade with more effective partnerships between Customs Authorities and the business community.

Activity 3.1.1 Supporting Enhancement of Customs Clearance Procedures (SPCD 04)

This activity is designed to support implementation of the SPCD, which aims to expedite Customs clearance and release, and to reduce the time and cost required for Customs transactions through streamlining of Customs clearance processes in ASEAN Member States on the basis of international best practices, including the ASEAN Cargo Processing Model.

Activity 3.1.1	Supporting enhancement of Customs Clearance Procedures (SPCD 04)
Main Beneficiaries	ASEAN Secretariat, ASEAN Customs Directors-General, Customs Coordinating Committee (CCC) and its Working Groups, the Transit Transport Coordinating Board (TTCB, the ASEAN Federation of Forwarders Associations (AFFA).
Planned Tasks	• **Perform** an assessment of the current status SPCD 04, Customs Clearance; • **Develop** an action plan for the implementation of this SPCD in co-operation with the Customs Procedures and Trade Facilitation Working Group (CPTFWG); • **Draft** harmonised guidelines on proposed procedures for the implementation of Customs clearance processes by ASEAN Customs Authorities; • **Conduct** training and capacity building of Customs officials in the development of streamlined Customs clearance processes on the basis of international best practices where required, including the ASEAN Cargo Processing Model; and • **Implement** a detailed programme of support for the application of the SPCD.
Expected outputs	• Analysis of the status of implementation of each of the relevant Strategic Plan of Customs Development (SPCD) covering Customs clearance; • Production of an action plan for the development of the relevant SPCDs; • A draft of harmonised guidelines on proposed procedures for the implementation of Customs clearance processes by ASEAN Customs Authorities; • Formulation and implementation of detailed programmes of support for the application of the SPCD, including capacity building and training of Customs officials where required.
Expected results	• The SPCD on Customs clearance implemented and providing the benefits of a harmonised and streamlined Customs clearance environment to the trading community; • Enhanced technical capacity to operate streamlined Customs clearance procedures within ASEAN Customs services.
Time frame	AWP1, AWP2, AWP3

Activity 3.1.2 Supporting Partnership with Businesses and the Trading Community (SPCD 06)

The objective of this activity is to support implementation of the SPCD, which aims to pursue an effective partnership with businesses and the trading community for enhancement of competitiveness as well as for ASEAN economic integration.

Activity 3.1.2	Supporting Partnership with Business and the Trading Community
Main Beneficiaries	ASEAN Secretariat; ASEAN Customs Directors-General; Customs Coordinating Committee (CCC) and its Working Groups; the Transit Transport Coordinating Board (TTCB); the ASEAN Federation of Forwarders Associations (AFFA).
Planned Tasks	• **Perform** an assessment of the status of implementation of the SPCD covering partnership with business and the trading community; • **Develop** an action plan for the implementation of this SPCD in co-operation with the ASEAN Customs Procedures and Trade Facilitation Working Group (CPTFWG); • **Draft** harmonised guidelines on proposed procedures for partnership between ASEAN Customs Authorities and business and the trading community; and • **Support** the implementation of detailed programmes of support for the application of the SPCD.
Expected outputs	• Analysis of the status of implementation of the Strategic Plans of Customs Development (SPCD) Partnership with Businesses and the Trading Community; • Production of an action plan for the development of proposed procedures for partnership with business and the trading community; • Formulation of detailed programmes of support for the implementation of detailed procedures for partnership between Customs services and the business and trading community; • Harmonised procedures in place for partnership between Customs services and business and the trading community.
Expected results	• The SPCD on partnership with business and the trading community implemented and providing the benefits of a harmonised Customs environment to the ASEAN trading community; • Arrangements in place for harmonised procedures for partnership with business and the trading community.
Time frame	AWP1, AWP2, AWP3

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Activity 3.1.3 Supporting Development of Standard Authorised Economic Operator (AEO) Programmes and AEO Mutual Recognition Arrangements (MRA) in ASEAN (SPCD 07)

This activity supports implementation of the SPCD, which aims to enhance the security of the global supply chain and facilitate trade by supporting ASEAN Member States in the implementation of their national AEO programmes and by promoting mutual recognition of AEO programmes amongst ASEAN Member States.

Activity 3.1.3	Supporting the Development of Standard Authorised Economic Operator (AEO) Programmes and AEO Mutual Recognition Arrangements in ASEAN
Main Beneficiaries	ASEAN Secretariat, ASEAN Customs Directors-General, Customs Coordinating Committee (CCC) and its Working Groups, the Transit Transport Coordinating Board (TTCB), the ASEAN Federation of Forwarders Associations (AFFA).
Planned Tasks	• **Perform** an assessment of the current status of implementation of SPCD 07 on AEO programmes in ASEAN; • **Develop** an action plan for the implementation of this SPCD in co-operation with the Customs Procedures and Trade Facilitation Working Group (CPTFWG); • **Conduct** training and capacity building of Customs officials in the development of national AEO programmes where required; • **Propose** standard texts for the mutual recognition of Authorised Economic Operator programmes within ASEAN; • **Draft** harmonised guidelines on procedures for the implementation of mutual recognition arrangements (MRA) between ASEAN Customs Authorities; and • **Implement** detailed programmes of support for the application of the SPCD.
Expected outputs	• Analysis of the status of implementation of the Strategic Plan of Customs Development (SPCD) covering Authorised Economic Operators (AEO) Programmes; • Production of an action plan for support where required the development of national AEO programmes; • Detailed programme of support implemented for the development of harmonised national AEO programmes, including capacity building and training of Customs officials where required; • Harmonised requirements developed for the mutual recognition between ASEAN Customs Authorities of AEO programmes; this includes the development of a proposed standard text for a Mutual Recognition Agreement (MRA) to act as a standard basis for the guidance of Customs Authorities in mutual recognition.

Activity 3.1.3	Supporting the Development of Standard Authorised Economic Operator (AEO) Programmes and AEO Mutual Recognition Arrangements in ASEAN
Expected results	• The selected SPCDs implemented and providing the benefits of a harmonised Customs environment to the ASEAN trading community; • Enhanced capacity within ASEAN Customs services to design and implement AEO programmes, supported by training and awareness programme; • Harmonised national AEO programmes in place in ASEAN; and • Arrangements in place for the mutual recognition of AEO programmes within ASEAN.
Time frame	AWP1, AWP2, AWP3

Activity 3.1.4 Supporting Customs Enforcement and Mutual Assistance processes (SPCD 09)

This activity supports the implementation of the SPCD, which aims to actively promote Member States' participation in on-going enforcement programmes in ASEAN, and to enhance bilateral and multilateral level of cooperation and coordination between and amongst Customs administrations.

Activity 3.1.4	Supporting Customs Enforcement and Mutual Assistance processes
Main Beneficiaries	ASEAN Secretariat, ASEAN Customs Directors-General, Customs Coordinating Committee (CCC) and its Working Groups, the Transit Transport Coordinating Board (TTCB), the ASEAN Federation of Forwarders Associations (AFFA).
Planned Tasks	• **Perform** an assessment of the current status of Customs enforcement and mutual assistance processes within ASEAN; • **Develop** an action plan for support for the implementation of Customs enforcement and mutual recognition processes in co-operation with the ASEAN Customs Enforcement and Compliance Working Group (CECWG); • **Prepare detailed** harmonised guidelines to promote Member States' participation in on-going Customs enforcement programmes in ASEAN; • **Draft** harmonised guidelines on procedures to enhance mutual assistance processes between ASEAN Customs Authorities, including bi-lateral and multi-lateral cooperation between and amongst ASEAN Customs services; • **Conduct** training and capacity building of Customs officials in enforcement and mutual assistance where required; • **Implement** detailed programmes of support for the promotion of participation by ASEAN Customs services in on-going enforcement programmes in ASEAN; and • **Implement** detailed programmes of support for the enhancement of bi-lateral and multi-lateral cooperation between and amongst ASEAN Customs services.
Expected outputs	• Analysis of the status of implementation of the Strategic Plan of Customs Development (SPCD) covering Customs Enforcement and Mutual Assistance (SPCD 09); • Production of an action plan for support for the promotion of participation by Customs services in on-going enforcement programmes in ASEAN in co-operation with the ASEAN Customs Enforcement and Compliance Working Group (CECWG); • Production of an action plan for support for the enhancement of bi-lateral and multi-lateral cooperation between and amongst ASEAN Customs services in co-operation with the ASEAN Customs Enforcement and Compliance Working Group (CECWG);

Activity 3.1.4	Supporting Customs Enforcement and Mutual Assistance processes
	• Formulation of detailed programmes of support for the application of enforcement and mutual assistance processes, including capacity building and training of Customs officials where required; • Implementation of detailed programmes of support for the application of enforcement and mutual assistance processes.
Expected results	• Improved participation by Customs services in on-going enforcement programmes in ASEAN; • More effective arrangements in place for Customs services to participate in enforcement and mutual assistance processes in ASEAN; • Enhanced capacity to cooperate bi-laterally and multi-laterally between and amongst ASEAN Customs services.
Time frame	AWP1, AWP2, AWP3

Activity 3.1.5 Assistance to Narrowing the Development Gap in Customs (SPCD 13)

This activity will support the implementation of the SPCD, which aims to assist the Customs Administrations of Cambodia, Lao PDR, Myanmar and Viet Nam (CLMV) in catching up with new developments in Customs techniques and strengthening their capability to conduct national programmes in a more sustainable manner, through the following:

  a. Enhancing the technical and managerial capability of Customs officers and institutions of Customs Administrations of CLMV; and
  b. Modernise legislative frameworks relevant to Customs.

Activity 3.1.5	Assistance to Narrowing the Development Gap in Customs
Main Beneficiaries	ASEAN Secretariat, ASEAN Customs Directors-General, Customs Coordinating Committee (CCC) and its Working Groups, the Transit Transport Coordinating Board (TTCB), the ASEAN Federation of Forwarders Associations (AFFA).

Planned Tasks	• **Perform** an assessment of the current status of implementation of activities supporting narrowing of the development gap in Customs;
	
	• **Carry out** a gap analysis of the training and capacity-building needs of CLMV Customs Administrations;
	
	• **Analyse** the status of the legislative frameworks relevant to CLMV Customs services;
	
	• **Develop** an action plan for the implementation of this SPCD in co-operation with the ASEAN Customs Capacity Building Working Group (CCBWG), to include:
	
	   o Capacity building to enhance the technical and managerial capability of CLMV Customs officers and institutions; and
	   o Recommendations for the modernisation of these legislative frameworks.
	
	• **Implement** detailed programmes of support for the application of the SPCD; and
	
	• **Conduct** training and capacity building of Customs officials where required.

Expected outputs	• An assessment performed of the current status of implementation of activities supporting narrowing of the development gap in Customs; • A gap analysis completed of the training and capacity-building needs of CLMV Customs Administrations; • An analysis of the status of the legislative frameworks relevant to CLMV Customs services; • An action plan developed for the implementation of this SPCD in co-operation with the ASEAN Customs Capacity Building Working Group (CCBWG), to include: o Capacity building to enhance the technical and managerial capability of CLMV Customs officers and institutions; and

Activity 3.1.5	Assistance to Narrowing the Development Gap in Customs
	o Recommendations for the modernisation of these legislative frameworks. • Detailed programmes of support implemented for the application of the SPCD; and • Training and capacity building conducted of Customs officials where required.
Expected results	• Increased capacity within CLMV Customs services to conduct national programmes in a more sustainable manner; • New developments in Customs techniques adopted in CLMV Customs services; • Enhanced technical and managerial capacity within CLMV ASEAN Customs services and institutions, supported by training and awareness programme; and • Proposals accepted by CLMV Customs services for the modernisation of legislative frameworks relevant to Customs.
Time frame	AWP1, AWP2, AWP3

Sub-Component 3.2 Transport Measures

Rationale:

AFAFGIT and AFAFIST are long-standing transport facilitation agreements involving both transport agencies and Customs authorities. The agreements share a number of protocols, specifically relating to transport routes, frontier offices, the number and type of road vehicles, the technical specifications of road vehicles and the requirement for third party vehicle insurance.

The main text of the AFAFGIT has been signed and ratified by all AMSs, and entered into force on 2nd October 2000. The ASEAN Framework Agreement on the Facilitation of Inter-State Transport (AFAFIST) was signed by the AMSs in 2008, and has been ratified by six AMSs (Cambodia, Lao PDR, Myanmar, Philippines, Thailand and Viet Nam). It has entered into force among those AMS that have ratified the agreement but cannot function in the absence of the required Protocols on frontier posts allowed. These two agreements and their protocols form a significant element of the ASEAN Strategy for transport co-operation and integration specified in the Kuala Lumpur Transport Strategic Plan (KLTSP) 2016-2025.

The AFAFGIT and its Protocol 3 (types and quantity of road vehicles), 4 (technical requirements of road vehicles), 5 (compulsory vehicle insurance) and 8 (sanitary and phyto-sanitary procedures) have been signed and ratified.

Protocol 1 (transit routes) has been ratified by all AMS.

Protocol 2 (frontier posts) has been signed by nine Member States, and the signature of Malaysia is expected. Ratification by all ASEAN Member States (AMS) is awaited.

Protocol 6 (railways) has not been ratified by two (2) AMSs.

Protocol 7 (Customs transit system) has been ratified by 9 AMSs with the exception of Indonesia

Protocols 1 and 2 may enter into force among those that have ratified after deposit of the 6th instrument of ratification, whilst Protocol 7 requires all AMS to ratify it in order to enter into force. Since AFAFIST shares the AFAFGIT Protocols (except Protocol 7) it is also currently inoperative.

All AMS have ratified Protocol 9 (dangerous goods) which entered into force on 13 September 2017.

Six (6) AMSs, with the exception of Brunei, Indonesia, Malaysia and Singapore, have ratified the AFAFIST.

The KLTSP calls for the development and implementation of the necessary procedures for the operationalisation of AFAFGIT and AFAFIST, along with support for the operational functions of the National Transit Transport Coordinating Committees (NTTCCs) in each AMS.

The ASEAN Framework Agreement on Multimodal Transport (AFAMT) was signed by the AMSs in 2005. Seven (7) countries have ratified the agreement, and it has entered into force among these countries. The Kuala Lumpur Transport Strategic Plan (KLTSP) 2016-2025 calls for the development of an Implementation Framework, Action Plan and Implementation Mechanism for the

operationalisation of the AFAMT. This will involve a review of the different procedures for each mode of transport (i.e. whether by sea, air, road, rail or river) with a view to streamlining the procedures in line with the development of a multi-modal transport regime, to include legal, regulatory and procedural aspects.

Support will need to be provided to develop a capacity building 'Going Multimodal' Programme with three likely components: technical assistance, international standards and knowledge exchange. It is planned to involve the expertise of the ASEAN Federation of Forwarders Associations (AFFA) in the capacity building and knowledge exchange activities. It is further proposed to utilise the knowledge and skills of Singapore as a world-class Centre of Excellence for the implementation of efficient logistics techniques and operations.

Previously, ARISE developed a draft Implementation Framework for AFAMT, and provided advice to the AMSs on their development of national Action Plans for the implementation of AFAMT. Thus far, Lao PDR, Myanmar, Thailand and Viet Nam have developed national Action Plans, and other AMS are in the process of developing theirs.

For passenger transport by road, the objective is to support the ratification and implementation of the ASEAN-CBTP agreement and the development and adoption of detailed Implementing Guidelines. This will contribute to the facilitation of road transport passenger services within ASEAN, and enhance tourism, trade and cultural exchanges between Contracting Parties.

The draft text of the ASEAN Framework Agreement on the Facilitation of Cross-Border Transport of Passengers by Road Vehicles (ASEAN CBTP) was developed by AMS and assessed and reviewed in 2015 and 2016 with support from ARISE.

All AMSs have signed the ASEAN-CBTP and it will enter into force with the ratification of 3 AMS and effective in those countries that have ratified.

The overall aim is to develop, promote and enhance tourism, investment, trade and culture exchange among ASEAN countries, recognising that People-to-People connectivity is a key strategy in the MPAC 2025.

Outcome

> *An enhanced cross-border transport environment implemented within ASEAN, for the benefit of the private sector cross-border trading community and passengers.*

Activity 3.2.1 Operationalising the ASEAN Framework Agreement on the Facilitation of Goods in Transit (AFAFGIT) and the ASEAN Framework Agreement on the Facilitation of Inter-State Transport (AFAFIST)

The objective of this activity is to support the implementation of both the AFAFGIT and the AFAFIST. Specifically, support is required for the development and implementation of practices, processes and procedures for the operationalisation of these agreement across the range of areas covered by key Protocols 1, 2, 3, 4, 5 and 7.

Activity 3.2.1	Operationalising the AFAFGIT and the AFAFIST
Main Beneficiaries	ASEAN Transit Transport Coordinating Board (TTCB), National Transit Transport Coordinating Committees (NTTCC), ASEAN Senior Transport Officials (STOM), ASEAN Transport Facilitation Working Group and ASEAN Secretariat; the ASEAN Federation of Forwarders Associations (AFFA).
Planned Tasks	• **Analyse** of the obstacles that exist to full operationalisation of AFAFGIT and AFAFIST; • **Support** the development and implementation of transport facilitation–related procedures and documentation required for practical operationalisation of the agreements (with updating of current texts as required); • **Perform** training and capacity-building events for public and private sector stakeholders that will participate in these agreements; and • **Ensure** live the running of trucks across ASEAN borders.
Expected outputs	• An updated analysis of the obstacles that exist to full implementation of AFAFGIT and AFAFIST; • A transport facilitation-related implementation action plan in co-operation with the AMSs and ASEC, along with development of the relevant procedures and documentation; and • Training and capacity-building events, as required, to support all stakeholders in the implementation of these agreements; • Signature and ratification of the AFAFGIT and AFAFIST; • Practical implementation of these agreements in cooperation with the stakeholders in Government Transport agencies, Customs Authorities and the private sector.
Expected results	• The AFAFGIT and AFAFIST signed and ratified in full; • A harmonised implementation plan developed for these agreements, involving all stakeholders in the public and private sector; and • The AFAFGIT and AFAFIST implemented practically in cooperation with the stakeholders in Government Transport agencies, Customs Authorities and the private sector.
Time frame	AWP1, AWP2, AWP3

Activity 3.2.2 Supporting Implementation of the Action Plan for ASEAN Framework Agreement on Multi Modal Transport (AFAMT)

The objective of this activity is to support the ratification of the AFAMT by all AMS. This will act as a basis for the development and implementation of an ASEAN-wide approach to the legal, regulatory and procedural framework of this multi-modal transport agreement, with a view to implementing a harmonised multi-modal transport environment for the benefit of the business community. There is a need for further support to the agreed activities, specifically with respect to conduct of an Economic Impact Study, as well as Performance Assessment Case Studies and the collection of reliable Multimodal Statistics. There is also a need to benchmark current logistics performance.

Activity 3.2.2 Main Beneficiaries	Supporting the Implementation of the Action Plan for AFAMT
	ASEAN Transit Transport Coordinating Board (TTCB), National Transit Transport Coordinating Committees (NTTCC), ASEAN Senior Transport Officials (STOM), ASEAN Transport Facilitation Working Group and ASEAN Secretariat, the ASEAN Federation of Forwarders Associations (AFFA).
Planned Tasks	• **Develop** a 'Going Multimodal' capacity building programme; • **Produce** an Implementation Framework for the operationalisation of the AFAMT; • **Develop and deliver** in co-operation with AFFA capacity building and knowledge exchange programme, including performance assessment case studies; • **Collect** reliable statistics on multimodal performance in ASEAN; • **Benchmark** existing logistics performance in ASEAN; • **Develop and implement** agreed multi-modal transport regulations and procedures; and • **Support** the implementation of these procedures at regional level.
Expected outputs	• A 'Going Multimodal' support programme developed and delivered; • In cooperation with AFFA, a capacity building and knowledge exchange programme developed and delivered, including performance assessment case studies; • Reliable statistics collected on multimodal performance in ASEAN; • Benchmarking performed of existing logistics performance in ASEAN; and • Agreed multi-modal transport regulations and procedures developed and delivered.
Expected results	• The AFAMT is ratified in full; • The Implementation Framework for AFAMT and Action Plan, involving all stakeholders in the public and private sector is developed and approved by AMS;

Activity 3.2.2	Supporting the Implementation of the Action Plan for AFAMT
	• The AFAMT is implemented practically in cooperation with the stakeholders in Government Transport agencies, Customs Authorities and the private sector; and • Enhanced logistics performance in ASEAN.
Time frame	AWP1, AWP2, AWP3

Activity 3.2.3 Supporting Implementation of the ASEAN Framework Agreement on the Facilitation of the Cross-Border Transport of Passengers by Road Vehicle (ASEAN-CBTP)

The objective of this activity is to support the implementation of the ASEAN-CBTP agreement and its associated Implementing Guidelines is to facilitate the cross-border transport of passengers by road vehicles between and among ASEAN contracting parties. The intention is also to simplify and harmonise transport, Customs, immigration and quarantine procedures that apply to passengers travelling within ASEAN by scheduled and non-scheduled passenger transport services. There is a need for more detailed Implementing Guidelines to be developed, taking into account that the ASEAN CBTP has been signed and proper mechanism for implementation of the agreement needs to be revisited, and support provided to AMSs in the practical implementation of the agreement. These activities will include the development of a permit system and procedures for Member States to notify each other of the cross-border passenger vehicle transport permits that have been issued for non-scheduled transport services, where the limit is 500 vehicles per Country.

Activity 3.2.3	Supporting the Implementation of the ASEAN-CBTP by Road Vehicles
Main Beneficiaries	ASEAN Transit Transport Coordinating Board (TTCB), National Transit Transport Coordinating Committees (NTTCC), ASEAN Senior Transport Officials (STOM), ASEAN Transport Facilitation Working Group and ASEAN Secretariat.
Planned Tasks	• **Support** the implementation of the ASEAN-CBTP agreement by Contracting Parties; • **Develop** more detailed Implementing Guidelines to the agreement; • **Develop and implement** procedural guides for public and private sector operatives; and • **Develop and implement** an action plan for the practical operation of the provisions of the agreement.
Expected outputs	• More detailed Implementing Guidelines to the ASEAN CBTP agreement produced; • Procedural guides developed for the public and private sector officials responsible to managing passage transport in ASEAN; • A permit system developed to control the number of non-scheduled passenger transport vehicles permitted to operate under the ASEAN-CBTP agreement; this system will include cross-border notification of the permits that have been issued by each contracting party; and • An action plan developed and delivered for the operationalisation of the ASEAN-CBTP agreement.
Expected results	• Implementing Guidelines to the AFA-CBTP developed and adopted; • Procedural guides for the public and private sector developed and in use by the relevant stakeholders;

Activity 3.2.3	Supporting the Implementation of the ASEAN-CBTP by Road Vehicles
	• A permit system in place to control the number of road vehicles permitted to transport passengers in ASEAN countries**;** and
	• Enhanced efficiency of the transport of passengers by road vehicles in ASEAN.
Time frame	AWP1, AWP2, AWP3

Sub-component 3.3 ACTS Implementation

Rationale:

The ACTS legal framework consists of the AFAFGIT and its 9 implementing protocols. For the purposes of the ASEAN Customs Transit System (ACTS) Pilot, three of these protocols were not included, being Protocol 6 (railway interchange stations), Protocol 8 (sanitary and phyto-sanitary measures) and Protocol 9 (dangerous goods). Of the remaining protocols, two are under the purview of Customs, specifically Protocol 2 (Designation of Frontier Posts) and Protocol 7 (Customs Transit System). Transport authorities are responsible for Protocols 1 (transit transport routes), 3 (types and quantity of road vehicles) and 4 (technical requirements of vehicles). Protocol 5 covers compulsory vehicle insurance and is managed by the Finance Division in the ASEAN Secretariat and the Council of ASEAN Insurance Bureaux (COB).

The main AFAFGIT text was signed by AMS on 16th December 1998, has been ratified by all AMS and has entered into force.

Protocol 1 (transit routes) has been ratified by all AMS.

Protocol 2 is in the process of signature and ratification. Currently nine (9) AMS have signed Protocol 2, except Malaysia. Nine countries have ratified Protocol 7.

In these circumstances, the legal framework does not support the live implementation of the ACTS.

For the ASEAN Customs Transit System (ACTS) Pilot to be implemented, there is a need for the legal framework to be in place. This will be achieved by full ratification by all AMS of the relevant AFAFGIT Protocols 2 (Designated Frontier Posts) and 7 (Customs Transit System). Of the operative protocols, 3, 4 and 5 have been signed and ratified by all AMS, but are in some respects outdated.

In 2016, the ACTS software was successfully installed and tested at national level in the North-South corridor pilot countries Malaysia, Singapore and Thailand (MST). This installation consisted of the deployment of national level ACTS components in the pilot countries, namely the National Transit Application (NTA) and Trader Portal (TP) along with the Guarantee Management System (GMS), the User Management System (UMS), the Trader Repository (TR) and other components. The implementation of ACTS Central Services (CS) was also completed, consisting of the Reference Data System (RDS), the Management Information System (MIS), the User Management System (UMS) and the Information Portal (ACTS-IP). All ACTS sites (Malaysia, Singapore, Thailand, and Central Services) were electronically linked to a closed secured communication network using ACTS Gateways (AGWs) deployed in each ACTS site.

The associated Customs and transport procedures have been developed, agreed with AMSs and documented in a series of procedural manuals for Customs Authorities, Government transport officials and the private sector. The ACTS Pilot was implemented using a limited number of transit transport routes, a small number of Customs offices of departure, transit and destination and a restricted number of private sector participants.

Subject to establishment of the required legal framework, support is required for roll-out to an increased number of transit routes and Customs offices, for which additional training of Customs

officials and private sector operatives will be required. Additional training may be required for Customs Authorities in their procedural and ICT teams, and the private sector. Helpdesk and corrective maintenance services for ACTS software will expire on 31 December 2019, and need to be extended to ensure business continuity.

Following the successful implementation of ACTS along the north-south corridor of ASEAN, there is a need to extend the ACTS system to the other mainland ASEAN countries along the east-west corridor, Cambodia, Lao PDR, Myanmar and Viet Nam (CLMV). The activities required for CLMV are similar to those in MST during the previous ARISE project, and include the specification and procurement of hardware and system software and setup and configuration of the ACTS ICT environments required to run ACTS at the national level. This in turn requires funding to be available (at around 150,000 to 300,000 EUR per country). ACTS software and Customs procedural training to Customs procedural and IT personnel will be needed, along with training of Government transport officials and private sector declarants. After setup and training are completed, a full cycle of testing of ACTS at national level and conformance testing of the entire setup including electronic communications gateways will be performed. Once the system is tested nationally, it will be linked electronically between CLMV countries and with ACTS Central Services for a phase of scenario (desk-based) electronic pilot ACTS scenarios and business cases, to be followed by a parallel run of trucks and finally live operations under controlled pilot conditions.

Subject to establishment of the required legal framework, support is required for roll-out to an increased number of transit routes and Customs offices, for which additional training of Customs officials and private sector operatives will be required.

In addition, helpdesk and corrective maintenance services will need to be provided to CLMV to ensure ACTS business continuity, once the ACTS is at the trial operations stage in CLMV.

The responsibilities of the ACTS Central Management Team (CMT) include day-to-day ACTS project monitoring and management, management of ACTS Central Services, ACTS reference data system (RDS) management, ACTS management information system (MIS) management, ACTS Information Portal management (ACTS-IP), communications network management and the provision of certain helpdesk functions. Additional training and capacity building for the CMT will be supported by ARISE Plus.

In addition, there is need for the CMT to record and analyse requests from AMSs for functional enhancements to ACTS. To this end, a Change Management Board will need to be setup, indicatively comprising one representative of the Sub-Working Group on ACTS (SWG-ACTS), CMT, ARISE Plus Team and other specialized experts as needed.

The Change Management Board (CMB) will require the definition of its Terms of Reference (TOR), including its responsibilities and activities. The TOR will specify the procedures under which proposed changes are generated, for subsequent presentation to and processing by the CMB. Each change will need to be analysed in terms of priority, impact, implementation effort, timescale, cost and implementation approach.

Among other ACTS management responsibilities, the CMT will be responsible for managing the AMS requests for ACTS system enhancements, for which a Change Management Board will be set up, on which the CMT will be represented.

Currently the ACTS follows the functional scope defined in AFAFGIT Protocol 7 and its Technical Appendix, and all changes and enhancements agreed with AMSs during ARISE. The associated Customs and transport procedures have been developed and agreed and documented in a series of procedural manuals for Customs Authorities, Government transport officials and the private sector. In 2016 an ACTS Pilot was installed and tested both nationally and regionally under conditions similar to those of live operations in MST, and the Central Services site at the Secretariat.

Customs, transport and private sector users of the system have identified new functional requirements; for example, management and processing of transport documents (e.g. AGVCB) and other functional requirements for the Reference Data System (RDS), the National Transit Application (NTA), the Guarantee Management System (GMS), the Trader Repository (TR), and the Trader Portal (TP). Furthermore, ACTS needs reference data updates because full roll-out in MST and CLMV is planned under ARISE Plus and a new version of the AHTN was released in 2017.

In order to ensure controlled and orderly approval and implementation of the changes in ACTS, a defined change management procedure must be followed, and Change Management Board (CMB) established to manage changes of the ACTS from their inception and detailed analysis, though implementation in ACTS, to roll out to the live system.

Specifically relating to the needs of the transport sector: Protocol 3 of the ASEAN Framework Agreement on the Facilitation of Goods in Transit (AFAFGIT) provides for a limit of 500 goods vehicles per AMS permitted to operate under the ASEAN Customs Transit System (ACTS), specified in protocol 7 of AFAFGIT. To assist ASEAN Member States in controlling the number of goods vehicles that each country allows to use ACTS, ARISE has developed a permit system and associated regional notification methodology under which each AMS will notify the other AMS of the permits issued, up to a maximum of 500.

These permits will be stored for the information of border officials on a 'look-up' basis in the Members Only area of the ACTS Information Portal at https://acts.asean.org, so they can be checked as required (for example if there is a suspicion that a permit is invalid).

When submitting ACTS transit declarations, Principal traders will also be required to declare these permits. The permit serial number is printed on the ACTS Transit Accompanying Document (TAD). Efficiency could be further increased by integrating the permits into the electronic ACTS Reference Data System (RDS) and implementing an on-line validation of the permits upon submission of the ACTS electronic declaration by the Principal trader.

Using ACTS, it would also be possible to manage the control of inward and outward movements of goods vehicles, to give border officials a tool to control the time foreign trucks spend in their country. Currently, there are national limits for periods of stay and it would be operational helpful to support border officials in controlling the cross-border movement of trucks.

Under AFAFGIT (and AFAFIST) there is an agreed limit of 500 vehicles per Country permitted to carry out cross-border operations. Currently, for the purposes of the ACTS, each truck is allocated an ASEAN Goods Vehicle Cross-Border permit with a serial number running up to 500. The system would be more efficient where storage and validation of these permits is computerised. Functionality could also include management of inward and outward movement of vehicles within ASEAN.

The objective is to implement a reference data code list of transport documents under which the ASEAN Goods Vehicle Cross-Border (AGVCB) permits are validated on-line by ACTS at the declaration stage in the country of departure. This will ensure that only trucks with valid permits are accepted for transit operations. The code list with additional functionality could also be utilised for controlling the inward and outward movement of trucks (and possibly all vehicles) across ASEAN borders.

Outcome

> *The ASEAN Customs Transit System (ACTS) installed and operating live within a ratified legal environment on the ASEAN north-south and east-west transit transport corridors.*

Activity 3.3.1 Supporting the Implementation of the ACTS Legal Framework

The objective is to establish the ACTS legal framework so that the ACTS can become operational in all AMS and transit movements commence. This legal framework will be in the form of ratification by all AMS of Protocols 2 and 7. All AMS have ratified the AFAFGIT and the other Protocols relevant to ACTS implementation (Protocols 3, 4 and 5). Protocol 3 covers the types and quantity of road vehicles, Protocol 4 the technical requirements of vehicles, and Protocol 5 the compulsory vehicle insurance provisions for goods vehicles performing transit operations in ASEAN.

Activity 3.3.1	Supporting the Implementation of the ACTS Legal Framework
Main Beneficiaries	ASEAN Customs Directors-General; ASEAN Senior Transport Officials (STOM), the Transit Transport Coordinating Board (TTCB), Customs Coordinating Committee (CCC) and its Working Group, the ASEAN Federation of Forwarders Associations (AFFA), National Transit Transport Coordinating Committees (NTTCC), ASEAN Transport Facilitation Working Group and ASEAN Secretariat.
Planned Tasks	• **Briefing** AMSs at ministerial level on commitments that have already been made by participating ASEAN Member States, being approximately $250,000 invested per pilot AMS in terms of computer equipment at national level; the total investment in ACTS is estimated to amount to €6 million; and • **Briefing** to Ministers of the need for the pilot countries Malaysia, Singapore and Thailand and other remaining AMS to sign and ratify Protocols 2 and 7 soonest.
Expected outputs	• Support provided to ASEC in briefing ASEAN Ministers on the need for the ACTS legal framework to be put in place by signature and ratification of the relevant Protocols 2 and 7.
Expected results	• The legal environment in place to allow ACTS to be fully implemented. This environment is provided by the signature of participating AMS and the, ratification and implementation by AMS of the relevant protocols of AFAFGIT.
Time frame	AWP1, AWP2, AWP3

Activity 3.3.2 Supporting Full Roll-out of the ACTS in Malaysia, Singapore and Thailand (MST)

The objective of this activity is to complete the roll-out of ACTS to MST, with additional training for Customs Authorities and the private sector before, during and after the system goes live. With all technical solutions previously defined and comprehensively tested, follow-up technical advice and training may be required for ICT support staff and end-users in the AMSs. To ensure business continuity, helpdesk and corrective maintenance services will need to be extended until the end of ARISE Plus programme.

Activity 3.3.2	Supporting the Full Roll-out of the ACTS in Malaysia, Singapore and Thailand
Main Beneficiaries	ASEAN Customs Directors-General, ASEAN Senior Transport Officials (STOM), the Transit Transport Coordinating Board (TTCB), Customs Coordinating Committee (CCC) and its Working Groups, the ASEAN Federation of Forwarders Associations (AFFA), National Transit Transport Coordinating Committees (NTTCC), ASEAN Transport Facilitation Working Group and ASEAN Secretariat.

Planned Tasks	• **Develop** an agreed plan for the roll-out of ACTS to MST;
	
	• **Deliver** training for:
	
	    o Customs Authorities in ACTS procedures as more Customs offices are added to ACTS;
	    o Additional private sector operatives wishing to submit electronic Customs transit declarations to ACTS; and
	    o IT support staff as scope of ACTS IT operations increases.
	
	• **Provide** helpdesk and corrective maintenance services to MST after expiration of current arrangements on 31 December 2019;
	
	• **Support** other full roll-out activities in MST.

Expected outputs	• An agreed plan developed for the roll-out of ACTS to MST;
	
	• Training delivered providing enhanced capacity to:
	
	    - Customs Authorities in ACTS procedures as more Customs offices are added to ACTS;
	
	    - Additional private sector operatives wishing to submit electronic Customs transit declarations to ACTS; and
	
	    - IT support staff as scope of ACTS IT operations increases.
	
	• Helpdesk and corrective maintenance services provided to MST after expiration of current arrangements on 31 December 2019, to ensure business continuity; and
	
	• ACTS rolled out successfully to the ASEAN north-south corridor.

Expected results	• Enhanced capacity among all stakeholders in the public and private sector to operate ACTS;

Activity 3.3.2	Supporting the Full Roll-out of the ACTS in Malaysia, Singapore and Thailand
	• Business continuity ensures by the provision of helpdesk and corrective maintenance services; and
	• ACTS rolled-out successfully in MST and operating to reduce transit transport times.
Time frame	AWP1, AWP2, AWP3

Activity 3.3.3 Rolling Out of ACTS to Cambodia, Lao PDR, Myanmar and Viet Nam (CLMV)

The objective is to support the roll-out of ACTS to CLMV, including specification, procurement and installation of the necessary hardware and software at national level, associated training of stakeholders in the public and private sector, national level testing, and pilot operations of the ACTS in CLMV. Helpdesk and corrective maintenance services will also be needed for CLMV starting in parallel with the pilot operations.

Activity 3.3.3	Rolling Out of ACTS to CLMV countries
Main Beneficiaries	ASEAN Customs Directors-General; ASEAN Senior Transport Officials (STOM); the Transit Transport Coordinating Board (TTCB); Customs Coordinating Committee (CCC) and its Working Groups; the ASEAN Federation of Forwarders Associations (AFFA); National Transit Transport Coordinating Committees (NTTCC); ASEAN Transport Facilitation Working Group and ASEAN Secretariat.
Planned Tasks	• **Support** the hardware and system software procurement by each CLMV countries; • **Setup** and configure the ACTS at the national level, including the setup and configuration of system software and network components, such as firewalls; and setup and configuration of ACTS software components; • **Train** all stakeholders in the public and private sectors, consisting of Customs Authorities, Government transport agencies and the private sector; • **Test** ACTS using User Acceptance Testing (UAT) and Conformance Testing (CT) procedures; • **Execute** an ACTS Pilot in CLMV; • **Provide** helpdesk and corrective maintenance services to CLMV as soon as ACTS scenario and business cases trials start; • After testing of the system in the east-west corridor is complete, make the necessary arrangements to link it up with the north-south corridor; • **Support** other full roll-out activities in CLMV; and • **Perform** an end-to-end time release study to assess the logistical efficiency of the ACTS.
Expected outputs	• An agreed plan developed for the roll-out of ACTS to CLMV; • Specifications developed for the national-level hardware and system software required to run ACTS; • System installation, setup and configurations performed; • Training provided to stakeholders in the public and private sectors, consisting of Customs Authorities, Government transport agencies and the private sector;

Activity 3.3.3	Rolling Out of ACTS to CLMV countries
	• Pilot ACTS desk-based scenarios and business cases tested between CLMV countries;
	• Suitable pilot routes identified;
	• A parallel and/or live run of ACTS conducted;
	• ACTS successfully implemented operationally in the east-west corridor of ASEAN and linked to MST for full live operations; and
	• Helpdesk and corrective maintenance services provided to CLMV after expiration of current arrangements on 31 December 2019.
Expected results	• ACTS installed and piloted successfully in CLMV countries; • Enhanced capacity among all stakeholders in the public and private sector to operate ACTS; • ACTS rolled-out successfully in CLMV and linked to MST and operating to reduce transit transport times in the ASEAN region.
Time frame	AWP1, AWP2, AWP3

Activity 3.3.4 Developing the Capacity of the ACTS Central Management Team (CMT)

The ACTS Central Management Team (CMT) was established under the ARISE programme and operates within the Trade Facilitation Division of the ASEAN Secretariat. Initial training to the team was provided under the ARISE programme. The CMT is responsible for the management of on-going operations of ACTS and the ASEAN Single Window (ASW). This team will require additional training and know-how to manage ACTS from the technical and procedural perspectives.

Activity 3.3.4	Developing the Capacity of the ACTS Central Management Team (CMT)
Main Beneficiaries	ASEAN Customs Directors-General, ASEAN Senior Transport Officials (STOM); the Transit Transport Coordinating Board (TTCB), Customs Coordinating Committee (CCC) and its Working Groups, the ASEAN Federation of Forwarders Associations (AFFA), National Transit Transport Coordinating Committees (NTTCC), ASEAN Transport Facilitation Working Group and ASEAN Secretariat.
Planned Tasks	• **Provide** training, advice and support to CMT, to enable them to discharge their responsibilities in relation to the management of on-going ACTS operations, system and support activities; and • **Support** the set-up of the Change Management Board (CMB), along with definition of the TOR of the board, including its responsibilities and activities.
Expected outputs	• Training carried out of the CMT on the technical, procedural and documentary aspects of the ACTS, providing them with the necessary skills, knowledge and confidence to manage all regional aspects of on-going ACTS operations; • Advice and support provided for the initial period of CMT operations; and • A Change Management Board set up with a definition of its terms of reference.
Expected results	• CMT in place with the capacity to manage ongoing ACTS operations effectively; and • CMB set up and operating efficiently to handle ACTS system change requests.
Time frame	AWP1, AWP2, AWP3

Activity 3.3.5 Carrying out a Functional Upgrade of the ACTS

The objective of this activity is to assess and implement changes identified by Customs, Transport, and private sector according to a controlled and orderly change management procedure. The Technical Assistance Team will support the establishment of a Change Management Board (CMB) to ensure the effective management of all agreed changes to the ACTS.

Activity 3.3.5	Carrying out a functional upgrade of the ACTS
Main Beneficiaries	ASEAN Customs Directors-General, ASEAN Senior Transport Officials (STOM), the Transit Transport Coordinating Board (TTCB), Customs Coordinating Committee (CCC) and its Working Groups, the ASEAN Federation of Forwarders Associations (AFFA), National Transit Transport Coordinating Committees (NTTCC), ASEAN Transport Facilitation Working Group and ASEAN Secretariat.
Planned Tasks	**Identify** any needs for specific new functional requirements for ACTS; **Analyse** the priority, impact and initial implementation approach and plans of system change requests (CRs) under the purview of the Change Management Board (CMB); **Perform** detailed analysis of for implementation approved by SWG-ACTS CRs; **Perform** an initial analysis and assessment of the need to store AGVCB permits in the ACTS for management of the permits and possible validation of declared permits at departure; **Develop** an analysis and assessment of the need to control the inward and outward movement of ASEAN transit transport goods vehicles; **Treat** these requirements as system Change Requests (CRs), assuming to favourable results, to be handled under the ACTS-related activities; **Implement** the approved CRs based on performed detail analysis; **Deploy** the enhanced with implemented CRs ACTS software/systems; **Test** the newly deployed ACTS software/systems; **Assess** the implementation of the CRs – to be performed by CMB and reported to the SWG-ACTS.
Expected outputs	- CMB and change management procedures set up and operating efficiently to handle ACTS system change requests from AMS; - An analysis and assessment completed of the implications of including the control of AGVCB permits in ACTS; - An analysis performed of adding new functionality to ACTS for the online validation of AGVCB permits at departure of transit movements in ASEAN;

Activity 3.3.5	Carrying out a functional upgrade of the ACTS
	• A system in place for ACTS to validate AGVCB permits utilised at departure by ASEAN transit traders; • As many CRs as can be accommodated under the budget of ARISE Plus implemented.
Expected results	• Enhanced functionality of ACTS responding to AMS requirements; • Improved control of the use of AGVCB permits in ASEAN; • Enhanced efficiency in the management of the movement of outward and inward road transit transport vehicles in ASEAN; • Enhanced confidence that the numerical limits of valid AGVCB permits issued by each participating Member State is being respected.
Time frame	AWP1, AWP2, AWP3

COMPONENT 4.0 ASEAN ECONOMIC INTEGRATION MONITORING AND STATISTICS

Planned Resource Component 4.0

Component 4.0	KE1	KE2	KE3	KE4	S-NKE	J-NKE	Incidentals
Sub-Component 4.1	0	0	0	0	309	0	€ 79.503
Sub-Component 4.2	0	0	0	0	714	75	€ 222.554
Total Component 4.0	**0**	**0**	**0**	**0**	**1023**	**75**	**€ 302.057**

Sub-component 4.1 ASEAN Economic Integration Monitoring

Outcome

Through the operationalisation of the AEC 2025 M&E Framework analysis, reporting and awareness on the progress of AEC integration facilitated and ASEAN research, capacity and awareness strengthened to facilitate the implementation of the AEC Blueprint 2025.

Activity 4.1.1 Developing an Internal ARISE Plus Monitoring System and an Integrated Monitoring Framework for ARISE Plus Regional and National Projects

Rationale:

The main objective of the *ARISE Plus* programme is to improve connectivity between the AMSs through sustainable, inclusive economic integration and trade facilitation. It is also tasked to continuing the EU's economic and development assistance to ASEAN and individual AMSs in consolidating the establishment of the AEC, comprised of a Single Market and Production Base and Competitive Economic Region, with Equitable Economic Development and enhanced Integration into the Global Economy. It should also provide further support for improved intra-regional connectivity in relation to these goals, progress towards which must be monitored. ARISE Plus is therefore a comprehensive package of trade related technical assistance (TRTA) operating at both regional and national levels.

A robust monitoring system will ensure the ARISE Plus regional project is monitored against expected results, outcomes and impact and changes adopted as necessary during implementation and planning cycles. An appropriate internal monitoring system is an important pre-requisite to guide management and decision making in the ARISE Plus regional project.

To ensure coherence and synergy within the ARISE Plus programme it is essential that a monitoring framework is established to link national and regional components of ARISE Plus. The framework should establish linkages with regional AEC integration monitoring activities in particular AEC priorities for compliance monitoring. The framework can also consider AEC outcome monitoring and impact evaluation priorities. The framework should also consider indicators supporting AEC integration such as communication, outreach, feedback, advocacy, M&E and research. The activity will build on best practices and learning from the previous phase of ARISE and from the monitoring of other EU-ASEAN projects.

This activity focusses on two core areas of monitoring: firstly, an internal monitoring system of the ARISE Plus regional project; and secondly on an integrated monitoring framework for the ARISE Plus regional and national projects as a key mechanism for coherence and coordination within the ARISE Plus Programme.

Activity 4.1.1	Developing an Internal ARISE Plus Monitoring System and an Integrated Monitoring Framework for ARISE Plus Regional and National Projects
Main Beneficiaries	ARISE Plus TAT of regional project, ARISE Plus TAT regional and bilateral projects, EU MISSION TO ASEAN, EUD to AMS, ASEAN Integration Monitoring Division (AIMD), Relevant ASEAN Bodies
Planned Tasks	**ARISE Plus regional project internal monitoring:** • **Develop and update** indicators for ARISE Plus regional project covering efficiency, effectiveness (results and outcomes), relevance, impact (specific objectives and overall objectives) and sustainability including communications/outreach/visibility;

Activity 4.1.1	Developing an Internal ARISE Plus Monitoring System and an Integrated Monitoring Framework for ARISE Plus Regional and National Projects
	• **Map** ARISE Plus regional project indicators for results, outcomes, specific objectives and overall objective with AEC indicators for compliance monitoring and AEC outcome monitoring; • **Update** ARISE Plus regional project logframe at annual intervals; • **Develop** detailed monitoring framework for ARISE Plus regional project including reporting intervals; • **Develop** tools for monitoring of ARISE Plus regional project for specific events (tasks) and at six-monthly and annual intervals; • **Gather** data for monitoring of **efficiency and results** of ARISE Plus regional project at six-monthly intervals and strengthen feedback mechanisms in conjunction with communication and outreach activities; • **Gather** and analyse quantitative and qualitative data for monitoring of **relevance, sustainability**, **outcomes and specific objectives** of ARISE Plus regional project at annual intervals and strengthen feedback mechanisms in conjunction with communication and outreach activities. This activity may align with the Country Visit process in activity 4.1.2 if appropriate for data collection and feedback mechanisms; • **Gather** and analyse quantitative and qualitative data for monitoring of **overall objectives** of ARISE Plus regional project at three-year intervals and strengthen feedback mechanisms in conjunction with communications and outreach activities. This activity may consider alignment with the country Visit process in activity 4.1.2 if appropriate; • **Analyse** and report on monitoring findings of ARISE Plus regional project at quarterly, six-monthly and annual intervals including lessons learnt to support decision making, planning, management and communication/outreach. **ARISE Plus regional and national projects monitoring and coordination** • Undertake consultations and discussions with TAT of ARISE Plus regional and national projects and relevant AMS EUDs; • Expand ARISE Plus regional project monitoring framework to create indicators for coherence and coordination between ARISE Plus regional and national projects; • Support gathering of data for monitoring of regional and national projects, through tools and joint country level data collection where appropriate in line with monitoring framework at **annual intervals** and **every three-years;** • Analyse, consolidate and triangulate data gathered from ARISE Plus national and regional projects;

Activity 4.1.1	Developing an Internal ARISE Plus Monitoring System and an Integrated Monitoring Framework for ARISE Plus Regional and National Projects
	• Develop an ARISE Plus Programme Monitoring brief at annual intervals to support decision making, planning, management, communication/outreach and programming at the programme level; • Undertake regular review workshops with ARISE Plus national and regional projects to assess monitoring arrangements, systems and outreach so as to enhance coherence and coordination at the programme level.
Expected outputs	**ARISE Plus regional project internal monitoring** • Indicators of ARISE Plus regional project covering efficiency, effectiveness (results and outcomes), relevance, impact (specific objectives and overall objectives) and sustainability including communications/ outreach/ visibility; • Mapping document linking ARISE Plus regional project indicators for results, outcomes, specific objectives and overall objective with AEC indicators for compliance monitoring and AEC outcome monitoring; • Updated ARISE Plus regional project logframe; • Detailed monitoring framework for ARISE Plus regional project including reporting intervals; • Data collection and analysis tools for monitoring of ARISE Plus regional project including feedback mechanisms; • Qualitative data for monitoring of **efficiency and results** of ARISE Plus regional project at **six-monthly intervals;** • Quantitative and qualitative data for monitoring of **relevance, sustainability**, **outcomes and specific objectives** of ARISE Plus regional project at **annual intervals;** • Quantitative and qualitative data for monitoring of **overall objectives** of ARISE Plus regional project at **three-year intervals;** • Monitoring chapter for ARISE Plus regional project six-monthly reports; • Monitoring documents, highlighting ARISE Plus regional project achievements, for communications and outreach activities at quarterly or six-monthly intervals. **ARISE Plus Regional and National Programmes monitoring and coordination** • Monitoring framework linking ARISE Plus regional project with national projects;

Activity 4.1.1	**Developing an Internal ARISE Plus Monitoring System and an Integrated Monitoring Framework for ARISE Plus Regional and National Projects**
	• Data for monitoring of national ARISE Plus projects in line with monitoring framework at annual and three-year intervals; • ARISE Plus Programme Monitoring brief covering **achievements and learning** of regional and national projects and as a programme as a whole at annual and three-year intervals; • Coordination meeting notes between the ARISE Plus regional and national projects.
Expected results	• Operationalisation of an integrated monitoring framework for ARISE Plus regional project; • Operationalisation of an integrated monitoring framework for ARISE Plus regional and national projects, as a key co-ordination tool linking regional and national activities; • Regular monitoring and reporting of the ARISE Plus programme supporting decision making, planning, management, communication/outreach and programming at the programme level.
Time frame	AWP1, AWP2, AWP3

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Activity 4.1.2 Supporting Implementation of AEC 2025 M&E Framework

Rationale

The development of an enhanced monitoring framework for the ASEAN Economic Community (AEC) is envisaged in the AEC Blueprint (AECB) 2025. The AEC 2025 Monitoring and Evaluation (M&E) Framework was endorsed by the ASEAN Economic Ministers and AEC Council in 2016 and has been disseminated to the AEC sectoral bodies. The AEC 2025 M&E Framework consists of four components:

- compliance monitoring (based on the Consolidated Strategic Action Plan (CSAP) and Annual Priorities drawn from sectoral work plans with reporting taking place every year)

- outcomes monitoring (based on sectoral key performance indicators, with reporting every 2-3 years)

- impact evaluation (based on socio-economic indicators, mid-term and end-term evaluations)

- reporting, verification and review.

The Framework guides AEC M&E processes and initiatives and facilitates the reporting on both compliance and outcomes at the sector implementation level as well as overall outcomes of the AECB 2025. Its operationalisation is expected to result in the enhancement of M&E processes at AMS, sectoral bodies' and broad AEC levels. The Framework introduces new M&E tools such as annual prioritisation and country visits.

AEC monitoring is coordinated by the ASEAN Integration Monitoring Directorate (AIMD) of the ASEAN Secretariat. One of the challenges ASEAN and AIMD face is to co-ordinate monitoring activities based on AMS submissions at the level required to identify what initiatives have been completed and where further efforts are required. Another key challenge is to keep the M&E process technical, robust and evidence based as it has the risk of being politicised, especially when M&E reporting is taken as synonymous with public relations.

Following its regularisation in 2016, as part of the exercise of strengthening the ASEAN Secretariat to support the newly established ASEAN Community, and with excellent staff, AIMD is now in a position, to more impactfully monitor and report on ASEAN economic integration, including in many of the areas supported via ARISE Plus.

Activity 4.1.2	Supporting Implementation of AEC 2025 M&E Framework
Main Beneficiaries	ASEAN Integration Monitoring Division (AIMD), ASEAN Sectoral Bodies, AMS
Planned Tasks	**Compliance Monitoring** Support AIMD to: • **Enhance** the Country Visit process and other technical compliance verification processes; • **Enhance** synergy of monitoring and evaluation (M&E) and reporting across regional, national and sectoral level with concrete follow up to the broader AEC M&E monitoring efforts. Effectively disseminate information on implementation progress to AEC sectoral bodies, and the general public,

Activity 4.1.2	Supporting Implementation of AEC 2025 M&E Framework
	such as through regular publications, meeting information papers, and the AEC Monitoring website; • **Develop** a strategy for engaging the private sector under the AEC 2025 M&E Framework; • **Undertake** awareness raising and capacity building activities on ASEAN economic integration monitoring at the AMS and sectoral bodies level. **Outcome Monitoring** Support AIMD to: • **Assess** progress of sectoral bodies' outcome-level Key Performance Indicators (KPIs). **Impact Evaluation** Support AIMD to: • **Establish** guidelines and procedures for AEC impact evaluations; • **Undertake** mid-term review of the AECB 2025 through a robust evaluation process; • **Undertake** co-ordinated reviews of sectoral work plans; • **Establish** technical guidelines for end-term review of the AECB 2025.
Expected Outputs	**Compliance Monitoring** • Improved conduct and reporting of the Country Visits (based on feedback from AMS); • Mapping of sectoral and/or national M&E efforts, and identification of synergies and concrete follow up to the broader AEC M&E monitoring efforts. Information materials on AEC implementation progress, such as in regular publications, meeting information papers, and the AEC Monitoring website; • Strategy on private sector engagement; • Awareness raising materials (printed, online, social media, multimedia) on ASEAN economic integration monitoring for AMS, sectoral bodies, and the public. Outcome Monitoring • Written outputs (e.g. section or chapter) on technical analysis of outcomes-level KPIs for AEC Monitoring reports; • Impact Evaluation; • Develop procedures and guidelines for conduct of AEC impact evaluations; • Mid-term review report of the AECB 2025.

Activity 4.1.2	Supporting Implementation of AEC 2025 M&E Framework
	• Review reports of sectoral work plan; • Technical guidelines for end-term review of the AECB 2025. AIMD will be the owner of the above outputs.
Expected Results	• Operationalisation of the AEC 2025 M&E Framework; • Regular compliance monitoring of implementation of the AECB 2025 and its corresponding sectoral work plans; • Practical and timely measurement and reporting of the sector outcomes-level KPIs; • Mechanisms for AECB 2025 impact evaluation established and mid-term review of AECB 2025 conducted; • Enhanced synergy of monitoring and evaluation (M&E) and reporting among regional, national and sectoral level stakeholders; • Enhanced private sector engagement; • Improved awareness on ASEAN economic integration monitoring amongst AMS and sectoral bodies, and the public.
Time Frame	AWP 1, AWP 2, AWP 3

Activity 4.1.3 Demand-driven Support for Research, Capacity Building and Outreach Activities to Assist the Implementation of the AEC Blueprint 2025

Rationale:

As stipulated in the AEC Blueprint 2025, in addition to its role in monitoring and evaluating the progress and the impact of the AEC Blueprint 2025 measures, the ASEAN Secretariat also continues to assume an active role in the dissemination of information to all stakeholders, and in the conduct of research or other initiative that are relevant to, and supportive of, the AEC Blueprint 2025 (Paragraph 85 of the AEC Blueprint 2025). To implement the agreed measures, the ASEAN would continue to facilitate the mobilisation of resources from ASEAN Member States, Dialogue Partners and international institutions, in terms of, but not limited to, funding, expertise, and capacity building support (Paragraph 87 of the AEC Blueprint 2025).

The ASEAN Integration Monitoring Directorate (AIMD) at the ASEAN Secretariat is responsible for: (i) spearheading the implementation of regional surveillance and economic integration monitoring in ASEAN; (ii) providing high level policy and technical advice and recommendations to support ASEAN economic integration initiatives; (iii) shaping the economic research and policy analysis programme of ASEAN Secretariat; (iv) ensuring effective information dissemination, communication and reporting on ASEAN economic integration; and (v) providing in-house capacity development for economic integration monitoring, analysis and research.

Existing publications include AIMD's flagship publication the ASEAN Integration Report 2015 (the next issue is planned for 2018); the bi-annual ASEAN Economic Integration Briefs, along with internal reports including regular sectoral surveillance reports such as the annual ASEAN Investment Surveillance Reports and the annual ASEAN Financial Integration Monitoring Reports. In addition to periodic internal and public research outputs, the AIMD also responds to the research needs of the AEC, at times in co-ordination with leading regional and international research institutions.

Given its resource constraints, increased demand for analytical work highlights the increased needs for resources including those required to articulate and disseminate results from the monitoring and evaluation of the AEC Blueprint 2025 as well as other ASEAN-related research outputs conducted by the ASEC to key regional stakeholders including relevant non-state actors to promote their support and participation in ASEAN regional economic integration efforts. To this end, the proposed activity 4.1.3 would provide on-demand support for the ASEAN Secretariat's particularly AIMD's relevant research, capacity building, and outreach activities to assist the implementation of the AEC Blueprint 2025.

Activity 4.1.3	Demand driven Research, Capacity Building and Outreach to Support AECB Implementation
Main Beneficiaries	The ASEAN Secretariat, particularly the ASEAN Integration Monitoring Directorate (AIMD), ASEAN Sectoral Bodies, ASEAN Member States.
Planned Tasks	• **Provide** on-demand assistance to develop research approach and methodology; • **Provide** on-demand assistance to gather information and data from key stakeholders at ASEAN regional and AMS individual levels leveraging on

Activity 4.1.3	Demand driven Research, Capacity Building and Outreach to Support AECB Implementation
	existing tools and mechanisms as appropriate e.g. country visits, online mechanisms, etc and on-demand support for access secondary datasets;
	• **Provide** on-demand assistance to data analysis;
	• **Provide** on-demand assistance to develop research publications such as the ASEAN Integration Report (AIR);
	• **Provide** on-demand assistance to develop outreach activities and communication materials based on research findings leveraging on existing events and mechanisms;
	• **Enhance** the AEC Monitoring Website to optimise dissemination potential;
	• **Provide** on-demand assistance to develop the capacity of the ASEC staff in the implementation of the above activities.
Expected outputs	• Appropriate research approach, methodology and feedback mechanisms;
	• Primary data from key stakeholders through country visits, online mechanisms etc and provision of access to secondary data;
	• Data analysis outputs;
	• Research publications such as the ASEAN Integration Report (AIR);
	• Completed internal reports;
	• An outreach plan for disseminating research findings;
	• Communication materials (printed, online, social media, multimedia) on AEC regional integration;
	• Enhanced AEC Monitoring Website;
	• Capacitated ASEC staff.
Expected results	• Strengthened research processes at ASEC to support the implementation of AEC Blueprint 2025;
	• Enhanced outreach mechanisms and materials based on research findings;
	• Improved awareness on ASEAN economic integration amongst AMS and sectoral bodies, and the public;
	• Research activities and outputs sustained through capacitated ASEC staff.
Time frame	AWP1, AWP2, AWP3

Sub-Component 4.2 ASEAN Statistics Capacity Building

Outcome

Strengthened coordinating role of the ACSS as the apex statistical entity, with Improved statistical production capacities to cater for relevant new data requests from ASEAN Sectoral Bodies in all ASM (and particularly but not limited to CLMV countries).

Activity 4.2.1 Enhancing AEC Monitoring Databases

Rationale:

In 2017, AIMD developed two internal databases, namely the "AEC 2025 Compliance Monitoring Database" (CM Database), and the "AEC 2025 Integration Monitoring Database" (IM Database) to help operationalise compliance and outcomes monitoring, respectively, for the AEC. The main features of the databases are as follows:

CM Database: tracks the implementation of AEC 2025 sectoral work plans at different tiers/levels of implementation; will be updated by the AIMD and AEC desk officers based on the progress of activities, meeting reports, and other official documents of AEC sectoral bodies.

IM Database: consolidates statistical data from ASEANstats and third-party sources; includes historical data for Key Performance Indicators (KPIs) adopted in AEC sectoral work plans, as well as other relevant statistical data.

Both databases, whose development has been supported by the COMPASS project, will contribute to a robust operationalisation of the AEC 2025 M&E Framework and will be utilised starting 2018 to systematically generate inputs to the preparation of internal and external reports on implementation of the AEC Blueprint 2025.

While the immediate priority is to fully utilise these databases, there is a need to continuously enhance the technical features/functions of the databases to respond to the challenges or additional requirements that may arise from the first year/s of operationalisation of the databases.

Activity 4.2.1	Enhancing AEC monitoring databases
Main Beneficiaries	ASEAN Integration Monitoring Directorate (AIMD) and Statistic Division (ASEANstats)
Planned Tasks	• **Assess** the current Monitoring databases' structure/architecture; and • **Enhance** these databases' structure/architecture and the reports generated from them.
Expected outputs	Enhanced AEC monitoring databases technical features/functions
Expected results	The monitoring databases are supporting the effective operationalisation of the AEC 2025 Monitoring and Evaluation (M&E) Framework.
Time frame	AWP2 and AWP3

Activity 4.2.2 Supporting the ACSS in the Context of the AECB 2025

Rationale:

The ASEAN Community Statistical System (ACSS) is still a relatively new entity, as it was formally established only in 2011. Its vision to be "A responsive ASEAN Community Statistical System providing high quality statistics" is bringing about great challenge to AMS NSOs and ASEANstats. Being the apex entity of the ASEAN statistical co-operation framework, the ACSS institutional strengthening is of crucial importance for ensuring the implementation of the ACSS work programmes. Over the past 6 years, the ACSS has made significant progress in strengthening of its institutional framework. ACSS Committee is the highest policy-making and co-ordinating body on statistical matters in the ASEAN region, and is the unique ASEAN body dealing with ASEAN statistics. An ACSS Code of Practice was adopted in 2012. The ACSS operates according to the ACSS Strategic Plan 2016-2025 and its annual work plans (AWPs).

The ACSS Strategic Plan 2016-2025 clearly identifies the outstanding challenges to be met. Among these are the further strengthening of the role of the ACSS Committee as the highest regional body in statistical policy-making needs. It includes supports to the ACSS in the implementation of ACSS Strategic Plan 2016-2025 and its AWPs; in the establishment of the ACSS Strategic Plan Monitoring and Evaluation (M&E) system based on its KPIs; in further improvements to the response to greater ASEAN data need; in enhancing appropriate IT tools to further improve the ASEANstats data production and dissemination/communication system; in the alignment of regional and national statistical development strategies; and in the enforcement of an operational statistics quality framework.

Activity 4.2.2	Supporting the ACSS in the Context of the AECB 2025
Main Beneficiaries	ASEAN Member States (AMSs), Statistics Division (ASEANstats), ACSS Committee, Sub-Committee on Planning and Coordination (SCPC), Working Group on Data Sharing, Analysis, Dissemination and Communication (WGDSA).
Planned Tasks	• **Assess** the state of progress at the end of COMPASS project and readjust activities; • **Support** the ACSS in the implementation of ACSS Strategic Plan 2016-2025 and AWPs, including further development of data user-producer partnerships of ASEAN statistics, effective implementation of ACSS work programs, M&E of the ACSS Strategic Plans, strengthening the statistical capacity of ASEANstats staff thru trainings and participations in global statistical agenda's activities and events; • **Contribute** to greater ASEAN data needs by further strengthening methodology for improved provision for timely, comparable and reliable key data for supporting the ASEAN Integration, particularly on SNA statistics and SDG indicators, as well as further improvements in the quality of existing databases on IMTS, FDIS, SITS, and other social-economic indicators in the ASEAN Statistical Indicators-Consolidated Template (ASI-CT);

Activity 4.2.2	Supporting the ACSS in the Context of the AECB 2025
	• **Contribute** to the enhancement of appropriate IT tools to further improve the ASEANstats statistical database production and maintenance system, as well as the data dissemination system, the implementation of Data Transmission Protocol and Tool, and ASEANstats websites; • **Organise r**egional events (trainings, workshops) on communication for statistics (including online data visualization, infographics, social media, press releases, press conference); • **Support** further development of ASEAN Statistical Training Agenda; continued conducts of ACSS cascading forums in AMSs; review of the implementation of Code of Practices (CoP) through self-assessment and peer reviews; further promoting co-operation and joint initiatives in AMSs thru ASEAN-Help-ASEAN initiatives, staff attachment, and lead country approach, as appropriate; • **Contribute** to the overall coordination of statistical supports and technical assistance, as appropriate – to address training and capacity building needs of the ACSS.
Expected outputs	• Working documents, concept notes, guidelines, reports, training materials and publications to support the ACSS committee, SCPC and WGs on relevant issues; • Input to the further enhancement of the operationalisation of ACSS Strategic Plan M&E system based on its KPIs; • Regular User-Producer Forum; • Updated ASEAN Statistical Training Agenda at Regional Level; • CoP implementation assessment in ASEANstats and all AMS; • Results of peer review in 2-3 interested AMS; • Consolidated and integrated of ASEANstats statistical database production, maintenance and dissemination system; and • Publications of statistical communication and visibility materials, including infographics leaflets, online data visualization, and other media outputs.
Expected results	• ACSS AWPs are effectively implemented according to the ACSS Strategic Plan 2016-2025; • ASEANstats statistical databases system is able to provide timely and reliable data for supporting policy analysis, decision making and ASEAN Integration; • The visibility of the ASEAN statistical cooperation, especially ACSS and ASEANstats works, is improved.
Time frame	AWP1 (Post Compass), AWP2 and AWP3

Activity 4.2.3 Strengthening AMSs' statistical capacities (particularly in but not limited to CLMV)

Rationale:

The ACSS supports the monitoring of the implementation of ASEAN integration, notably the AEC 2025 M&E Framework. In this regard, there is an increasing need for robust, quality data. Over the last 5 years, working groups were established first for International Merchandise Trade Statistics (IMTS), Foreign Direct Investment Statistics (FDIS), Statistics of International Trade in Services (SITS), and more recently for Sustainable Development Goals Indicators (SDGI) and System of National Account (SNA). The existence of formally constituted working groups reflects their permanent status within the decision-making framework of the ACSS Committee. This is already a first key step from an institutional perspective. In the fields of IMTS, FDIS and SITS, progress in harmonisation is ongoing. The work of SDG and SNA is more recent and is still at the initial stage.

Despite progress made since 2012, the statistical development of CLMV countries in these key areas lag behind those of the ASEAN-6 countries. There is a need for those countries to catch up and benefit from the ASEAN-6 experience and practices. At the same time, some ASEAN-6 may have also issues within these key areas that require specific support for further improvements.

Activity 4.2.3	Strengthening AMSs' statistical capacities (particularly in but not limited to CLMV)
Main Beneficiaries	ASEAN Member States (AMSs), Statistics Division (ASEANstats), ACSS Committee, Sub-Committee on Planning and Coordination (SCPC), Working Groups on relevant domains
Planned Tasks	• **Assess** the state of progress at the end of COMPASS project and readjust activities; • **Identify** the most advanced countries in the relevant sectors within the ASEAN-6, identifying best practices, and documenting these to contribute to the promotion of 'ASEAN-help-ASEAN', plus the creation of a pool of regional experts; • **Continue** initiatives of WG on FDIS, IMTS, SITS, SNA and SDGI to comply with international standards and in the harmonisation of ASEAN Statistics, particularly in but not limited to CLMV; • **Contribute** to the improvement ICT supports for CLMV for providing timely and reliable regular statistical data to ASEANstats; • **Provide** technical assistance and trainings particularly in but not limited to CLMV on specific statistical related subjects; • **Organise** regional study visits, exchange programmes, staff attachment and internships particularly in but not limited to CLMV; • **Assess** the compliance with the implementation of the ACSS CoP Assessment Measures on Statistical Process in AMS particularly in the CLMV.

Activity 4.2.3	Strengthening AMSs' statistical capacities (particularly in but not limited to CLMV)
Expected outputs	• Workshop and working reports, guidelines, training materials, ITD application system reports to be reported to ACSS/SCPC; • Trained IT staff and statisticians, particularly of but not limited to CLMV; • Sustainable functioning of the different Working Groups; • Improved capacity of AMS particularly but not limited to CLMV in providing timely and reliable regular statistical data to ASEANstats; • Promotion of the 'ASEAN-help-ASEAN first' approach and the implementation of activities through this approach; • Documentation and dissemination of best practices in various statistical activities in the ASEAN region; • Identification of procedures and criteria to build and update a pool of regional experts;
Expected results	All AMSs, including CLMV, is able to provide timely and reliable statistical data for supporting ASEAN Integration on regular basis.
Time frame	AWP1 (Post Compass), AWP2 and AWP3

Activity 4.2.4 Expanding ACSS Capacity in New Statistical Domains

Rationale:

The ACSS shall be responsive to new statistical needs emerging from major ASEAN initiatives and global agenda. Beyond the ASEAN monitoring initiatives under AEC, there are initiatives under other ASEAN Community pillars and global initiatives on statistics. The ACSS aims to improve its response to initiatives launched by the ASEAN Community pillars and the respective ASEAN sectoral bodies as well as international organisations (UNSC, ILO, UNESCAP, EUROSTAT), as appropriate.

As part of their outcomes monitoring effort, several ASEAN sectoral bodies are currently requesting ACSS/ASEANstats to consider including new data/indicators in the ASEAN Statistical Indicators-Consolidated Templates (ASI-CT) within the Broad Framework for Sustainable Development of ASEAN Statistics (BFSDAS). These newly requested data/indicators include SME, ASEAN connectivity, investment, minerals, agriculture and forestry, disaster and transport statistics. In following up these new data request, there is an urgent need for the ACSS to have a formal clearing mechanism for ensuring that the newly requested data is feasibly collected, and most importantly, these must be statistical data which is directly under AMSs NSOs' mandate. Hence, ACSS/ASEANstats is currently preparing "Protocol for New Data Request by ASEAN Sectoral Bodies".

New statistical needs from the global statistical initiatives include among others on SDG, open and big data for official statistics, and – increasingly also of interest to ASEAN - digital economy and/or e-commerce statistics.

The key stakeholder of this activity is ACSS i.e. ASEANstats and AMS NSOs, as well as AIMD, other analysis and monitoring division/directorate in the ASEAN Secretariat, and the ASEAN Community more broadly.

Activity 4.2.4	Expanding ACSS Capacity in New Statistical Domains
Main Beneficiaries	ASEAN Member States (AMSs), ASEAN Integration Monitoring Directorate (AIMD)*,* Statistics Division (ASEANstats), ACSS Committee, Sub-Committee on Planning and Coordination (SCPC).
Planned Tasks	• **Identify** and prioritising new indicators to expand the ASI list; • **Support** the establishment of new Working Groups/Task Forces on new statistical domains, as appropriate; • **Support** the implementation of the Protocol for New Data Requests by ASEAN Sectoral Bodies within BFSDAS; • **Identify** the ongoing initiatives, pilot exercises and most advanced countries in the relevant new statistical domains; • **Support** the preparation of relevant concept notes on the implementation plan for acquiring the new statistical data and developing the new statistical domains; • **Implement** some pilot exercises on new statistical domains/indicators as necessary;

Activity 4.2.4	Expanding ACSS Capacity in New Statistical Domains
	• **Organise** regional workshops to raise awareness within the ACSS about existing statistical methods and sharing experiences; • **Support** the preparation of statistical reports on the new areas, as appropriate.
Expected outputs	• Sustainable functioning of the different Working Groups or Task Forces on the new statistical domains; • Documentation and dissemination of existing practices in the ASEAN region; • Methodology for the compilation of new indicators; • Expanded ASI list in BFSDAS; and • Creation of new datasets in ASEANstats databases
Expected results	ASEANstats databases, with support from ACSS, are able to cater for relevant new data requests from ASEAN Sectoral Bodies and are in line with global statistical initiatives.
Time frame	AWP1 (Post Compass), AWP2, AWP3

Activity 4.2.5 Supporting ASEAN-EU Policy Dialogue on M&E and Statistics

Rationale:

Adopted in April 2012, the Bandar Seri Begawan Plan of Action to Strengthen the ASEAN-EU Enhanced Partnership (2013-2017) renewed the two regions' commitment to continue to support (including through technical assistance), "the gathering and availability of reliable statistical data at regional level, in order for ASEAN to be able to assess its current evolution as an integrated economic region and support further integration measures". Its successor, the ASEAN-EU Plan of Action (2018-2022), further confirmed support for effective implementation of the ASEAN Economic Community (AEC) Blueprint at regional and national levels. The endorsement of the AEC 2025 Monitoring and Evaluation (M&E) Framework by ASEAN Economic Ministers (AEM) in August 2016 and the AEC Council in September 2016 was to help ensure the timely and effective implementation of the AEC Blueprint 2025.

To this end, the holding of the ASEAN-EU Policy Dialogue on M&E and Statistics can contribute to achieve the objective of gathering and providing reliable statistical data at regional level through exchanges on topics of common interests, particularly those related to the M&E of regional integration efforts through the provision of regional statistical data, EUROSTAT has been identified as a suitable partner for this Dialogue. These dialogues would not only lead to identification of possible areas for further bilateral and multilateral cooperation but also help improving the operationalisation of the AEC 2025 M&E Framework and regional integration monitoring more broadly, in line with the Bandar Seri Begawan Plan of Action, its successor the ASEAN-EU Plan of Action, the AEC Blueprint 2025 and the ACSS Strategic Plan 2016-2025.

Activity 4.2.5	Supporting EU-ASEAN Policy Dialogue on M&E and Statistics
Main Beneficiaries	ASEAN Integration Monitoring Directorate (AIMD), ASEAN Community Statistical System (ACSS)
Planned Tasks	• **Identify** themes and mobilise technical expertise to facilitate the respective dialogues**;** • **Support** the preparation of fora, seminars or discussion papers**;** • **Provide** administrative, logistical and financial support to the EU-ASEAN policy dialogue on M&E and statistics.
Expected outputs	• The holding of at least two EU-ASEAN policy dialogues on M&E and statistics (and associated inputs) relevant to the AEC Blueprint 2025, the AEC 2025 M&E Framework and the ACSS Strategic Plan 2016-2025 during this ARISE Plus contract.
Expected results	• Better awareness and understanding of M&E best practices and other regional integration monitoring experiences, and the identification of way forward for enhancement of the operationalisation of the AEC 2025 M&E Framework;

Activity 4.2.5	Supporting EU-ASEAN Policy Dialogue on M&E and Statistics
	• Enhancement of regional statistical cooperation and outputs through better awareness and understanding of statistical best practices, cooperation experiences and lessons learned.
Time frame	AWP1 (Post Compass), AWP2, AWP3

LOGICAL FRAMEWORK

	INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS OF ACHIEVEMENT	SOURCE OF VERIFICATION	ASSUMPTIONS & RISKS
Overall objective	▪ To support greater economic integration in ASEAN through implementation of the AEC Blueprint 2025	▪ Specific measures listed under the AEC Blueprint and MPAC 2025	▪ AEC Council reports ▪ AEC Scorecard (as available)	<u>Assumptions</u> ▪ AMS are committed to achieving the AEC Blueprint (AECB) 2025;
Specific objectives	▪ To improve customs, transport facilitation, trade facilitation and standards with a view to achieving a highly integrated and cohesive economy; and ▪ To strengthen institutional capacities for managing the integration process with an emphasis on strengthening compliance and outcomes monitoring and impact assessment, including statistics, co-ordination and management and improved capacity among ASEAN bodies and the Secretariat	▪ Specific measures listed under the AEC Consolidated Strategic Action Plan (CSAP) ▪ Specific commitments made under the ATIGA, as part of biannual ASEAN Trade Facilitation Work Programmes (ATFWPs), the ACCSQ Plan for Standards and Conformance (ASPSC), and the ACSS Strategic Plan	▪ As above ▪ SEOM reports ▪ CCA reports ▪ ACCSQ reports ▪ Customs DGs and CPTWG reports ▪ LTWG and TFWG reports ▪ ACSS reports ▪ ASEAN Integration Reports (AIRs) ▪ Project reporting in relation to these	▪ Political and security situation remains stable; ▪ Suitable skilled personnel are available and can be retained by ASEC to support AECB 2025 implementation; ▪ ASEAN integration beyond 2015 is given an enhanced position as part of the AMS governments' national development agendas during programme implementation; ▪ Continuous coordination amongst ASEAN partners takes place to ensure coherence, complementarity and efficiency;
Expected outcomes: Component 0	Project resources managed to ensure the efficient and effective realisation of outcomes at all levels and achievement of specific objectives Demand-driven activities facilitated contributing to further implementation of AECB Communication objectives of the AEC are supported and visibility to ARISE Plus as a flagship programme of the EU and the	Number of demand-driven activities facilitated Number of private sector stakeholders reached with messages on AEC, EU and ARISE Plus Number of stakeholders from EU, ASEAN and AMS reached on EU and ARISE Plus Number of joint communication activities undertaken with other EU projects,	▪ SEOM reports ▪ CCA reports ▪ ACCSQ reports ▪ ACSS reports ▪ AIRs ▪ ASEAN Communication reports	▪ AMS are committed to implement the ATFF (endorsed in 2016); ▪ AMSs ratify the AFAFGIT protocols; ▪ AMSs ratify the protocols to implement the ASEAN transport facilitation agreements; ▪ Continued commitments in ASEC to go beyond compliance monitoring;

	INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS OF ACHIEVEMENT	SOURCE OF VERIFICATION	ASSUMPTIONS & RISKS
	strategic nature of the EU's support created	donors, ASEAN and AMS organisations, and private sector associations and chambers Number of operational partnerships with multiplier organisations in the region which support VCO activities Number of measures contributing to the communication objectives of the ASEAN Economic Community Blueprint 2025.	▪ Project reporting in relation to these ▪ Internal monitoring system	▪ Pertinent data and information on ASEAN integration are available and accessible; and ▪ Mandate for ASEC to take lead in AEC integration progress and outcomes/impact monitoring and for the requisition mechanisms to be put in place retained
Expected outcomes: Component 1	Enhanced trade-related regulatory transparency and progressive NTMs' streamlining through the effective operationalization of the ASEAN Trade Repository (ATR) and the network of AMSs' National Trade Repositories (NTRs). Private sector engagement is enhanced through increased participation in the activities of ATF-JCC and other ASEAN sectoral bodies, in line with the applicable Guidelines for Private Sector Engagement, and by greater usage of ASSIST, including in the areas of trade in services and trade-related investment measures. Legal certainty, commercial predictability and trade facilitation are enhanced through specific on-demand support for, inter alia, self-certification of goods of ASEAN origin, the trade facilitation related activities of the ASEAN Consultative Committee on Connectivity,	▪ National Trade Repositories (NTRs) operational in all AMSs; ▪ ASEAN Trade Repository (ATR) operational with min. of 3,000 NTMs from AMS ▪ Increased average monthly clicks on ATR by private sector ▪ Number of officials and experts able to operationalize respective NTRs and link to ATR ▪ The ASEAN NTM database established, based on data notified by AMSs; ▪ Fully operationalised ASSIST ▪ Minimum of 50 complaints filed by private sector and 10 solutions through ASSIST ▪ Number of key trade facilitation issues for which capacity is built within ASEAN Number of ASEAN officials capacitated to negotiate, define, draft, adopt, transpose and implement policies in	▪ SEOM reports ▪ CCA reports ▪ ACSS reports ▪ AIRs ▪ Project reporting in relation to these ▪ Internal monitoring system	

	INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS OF ACHIEVEMENT	SOURCE OF VERIFICATION	ASSUMPTIONS & RISKS
	and the transposition of regional agreements at national level.	competition law and policy, consumer protection, and/or e-commerce Number of requests from ABAC, EABC and other business councils conveyed to the ATF-JCC and other ASEAN bodies, in line with the applicable Guidelines for Engagement.		
Expected outcomes: Component 2	Technical barriers to trade for intra-ASEAN trade are reduced through the adoption of policies, mutual recognition arrangements, harmonisation of regulatory regimes and the development of the quality infrastructure and supporting mechanisms for market integration. Market integration advanced with the increased number of standards harmonised in ASEAN that are aligned with international standards which are adopted by regulatory authorities and referenced by ASEAN businesses and industry Reduced barriers for trade in food products and essential food safety levels ensured across AMS through the establishment of an integrated regulatory framework for food safety based on harmonised standards and measures. The adoption of a common approach and agenda for pharmaceutical regulation that enhances the regulatory systems for pharmaceuticals in turn facilitating the	Integrated reporting and monitoring system operationalised to manage implementation of 2016-2025 ASEAN Strategic Plan for Standards and Conformance. Principles for the development and implementation of harmonised regulatory regimes established Number of new sectors of interest to AMS integrated into ACCSQ's scope of work Mechanisms established for cooperation between accreditation bodies in AMS Coordination mechanisms strengthened in the food and pharmaceuticals sector across AMS Increased number of harmonised standards Increased number of sectors in which standards are harmonised Number of international standards adopted by ASEAN member states AFSRF Agreement completed and endorsed by the ASEAN Ministerial Groups for Health, Agriculture & Forestry, Economy	▪ SEOM reports ▪ CCA reports ▪ ACCSQ reports ▪ ACSS reports ▪ AIRs ▪ Project reporting in relation to these ▪ Internal monitoring system	

	INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS OF ACHIEVEMENT	SOURCE OF VERIFICATION	ASSUMPTIONS & RISKS
	production of pharmaceuticals and improving access to medicines in ASEAN.	ASEAN Food Safety Coordinating Committee (AFS-CC) established Implementation of MRA for prepared foodstuffs initiated Rapid Alert Systems for Food and Feed (RASFF) established in AMS Training platform and modules established for training of officials in AMS Food Safety authorities Development comprehensive regulatory framework for pharmaceuticals in ASEAN started by PPWG. Strengthened control measures adopted by AMS for falsified medicines		
Expected outcomes: Component 3	Enhanced harmonisation of the customs environment within ASEAN in support of the facilitation of ASEAN trade with more effective partnerships between customs authorities and the business community. An enhanced cross-border transport environment implemented within ASEAN, for the benefit of the private sector cross-border trading community and passengers. the ASEAN Customs Transit System (ACTS) installed and operating live within a ratified legal environment on the ASEAN north-south and east-west transit transport corridors.	Five SPCDs implemented AFAMT, AFAFGIT and AFAFIST ratified and implemented Implementing Guidelines to AFA-CBTP developed and adopted Legal environment established for ACTS to be implemented ACTS rolled out in Malaysia, Singapore and Thailand ACTS installed and piloted in CLMV countries Number of stakeholders with enhanced capacity to operate ACTS CMT established CMB established	▪ SEOM reports ▪ CCA reports ▪ Customs DGs and CPTWG reports ▪ LTWG and TFWG reports ▪ ACSS reports ▪ AIRs ▪ Project reporting in relation to these ▪ Internal monitoring system	Risks ▪ Lack of political commitment and administrative willingness to implement changes/reforms; ▪ Development gaps among and within AMS prevent achievement of results; ▪ Absorption capacity is inadequate and unsustainable; ▪ Wrong/ inadequate personnel attendance to meetings; ▪ High staff turnover takes place; ▪ SMEs in some countries may not have associations; and ▪ Growing competition and economic uncertainty in the face of a global slowdown could trigger protectionist

	INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS OF ACHIEVEMENT	SOURCE OF VERIFICATION	ASSUMPTIONS & RISKS
Expected outcomes: Component 4	Management and decision making in the ARISE Plus regional project enhanced and coherence and coordination between the national and regional ARISE Plus projects established through an integrated monitoring framework Through the operationalisation of the AEC 2025 M&E framework analysis, reporting and awareness on the progress of AEC integration facilitated and ASEAN research, capacity and awareness strengthened to support the implementation of the AEC Blueprint 2025. Strengthened coordinating role of the ACSS as the apex statistical entity, with improved statistical production capacities to cater for relevant new data requests from ASEAN Sectoral Bodies in all AMs (and particularly but not limited to CLMV countries).	Operationalisation of integrated monitoring framework for ARISE Plus regional project Operationalisation of integrated monitoring framework for ARISE Plus regional and national projects Number of improved Country Visits and reports measuring compliance monitoring Number of timely reports measuring AEC sector outcomes-level KPIs Establishment of mechanisms for AECB 2025 impact evaluation Mid-term review of AECB 2025 conducted Enhanced private sector engagement Number of strengthened research processes at ASEC established to support the implementation of AEC Blueprint 2025 Number of enhanced outreach mechanisms and materials based on research findings Overall assessment score of AMSs and ASEANstats based on the ACSS Code of Practice (CoP) Snapshot Tool Average percentage of data submissions to ASEANstats,in accordance with requirements of ASEAN Statistical Indicators-Consolidated Template (ASI-CT), by ASEAN-6 countries and CLMV countries	▪ ARISE Plus regional project reports ▪ ARISE Plus national project reports ▪ SEOM reports ▪ ACSS reports ▪ AIRs ▪ AIMD Reports ▪ Project reporting in relation to these ▪ Internal monitoring system	tendencies in some AMS and slow the momentum of ASEAN integration efforts

Project Overall Resource Allocation

Component	KE days	SNKE days	JNKE Days	Incidentals
0.0 Management and Outreach	897	793	0	€437.690
1.0 Trade Facilitation and Transparency	377	1070	100	€673.243
2.0 Standards and Conformity Assessment in Particular Healthcare and Agro-based products	463	1250	175	€962.212
3.0 Customs, Transport and ACTS	467	2513	50	€1.044.798
4.0 ASEAN Economic Integration Monitoring and Statistics	0	1023	75	€302.057
Total	**2204**	**6649**	**400**	**€3.420.000**

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