


ASEAN Guidance for Climate-Smart Land Use Practices

A REVIEW





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Foreword

I

The members of the Association of Southeast Asian Nations (ASEAN) are committed to promoting climate-friendly and resilient practices in agriculture

and forestry in the region.

For this purpose, ASEAN has produced a number of strategic documents such as guidelines, frameworks, master plans and many others which address different aspects relevant for climate-smart land use. These documents have contributed to bring forward the ASEAN agenda at the intersection between agriculture, forestry, food security (FAF) and climate change. When developing and implementing climate-smart policies and programmes in the FAF sectors, policymakers and practitioners in the ASEAN Member States may want to reflect and consider principles described in the guidelines.

The ASEAN Climate Resilience Network (ASEAN-CRN) in coordination with the ASEAN Technical Working Group on Agricultural Research and Development (ATWGARD) has facilitated the development of several key policy and technical documents in this context, which have been endorsed by the Senior Officials Meeting of the ASEAN Ministers on Agriculture and Forestry (SOM-AMAF). These contributions to ASEAN policy processes are just one example for the numerous joint initiatives and achievements under ASEAN-CRN. Thailand has always been proud as the Chair of ASEAN-CRN, and would like to express its gratitude and appreciation for the involvement of all member states and partners who contributed to preparing ASEAN strategies and guidance papers and who continue to promote their application through the ASEAN-CRN and beyond.



Therefore, on behalf of the ASEAN-CRN, I am pleased to welcome the publication of ASEAN Guidance for Climate Smart Land Use Practices – a Review. This study helps to raise awareness for selected existing ASEAN policy tools and informs how they can be utilised better in the future ♦

A handwritten signature in black ink, appearing to read 'P. Wiriyaapaha'.

Mr. Pichet Wiriyaapaha

Director – General Department of Agriculture (DOA) Thailand
ASEAN-CRN Chair

Executive Summary

In 2014, the Association of Southeast Asian Nations (ASEAN) established the Climate Resilience Network (ASEAN-CRN) as a platform for regional exchange on climate-smart agriculture (CSA). ASEAN-CRN has provided a space for ASEAN Member States (AMS) to share insights on how each of them responded to the challenges arising from climate change impacts on agriculture and how the sector can adapt and optimise mitigation potential. The Network has contributed to and promoted a number of land use related guidelines and similar policy tools and advocated for broader action on climate change in the agriculture sector both regionally and internationally. Its volumes on ASEAN Regional Guidelines for Promoting Climate-Smart Agriculture (CSA) Practices were endorsed by the Senior Officials

Meeting of the ASEAN Ministers on Agriculture and Forestry (SOM-AMAF). These guidelines not only provide guidance for specific CSA practices, they were also important tools in the region's contributions to the negotiations on the role of agriculture in the United Nations Framework Convention on Climate Change (UNFCCC).

ASEAN is a regional grouping that promotes cooperation among its 10 members and operates through shared understanding and informal procedures rather than binding formal agreements guided by respect for sovereignty and non-interference principles, which are central tenets of the ASEAN Charter. As such, guidelines are an important policy tool to steer thematic areas of work by distilling global, regional and national best practices into a compendium that is accessible to AMS. Guidelines broadly signify that there is an

agreement among AMS to pursue a strategic direction. Over the past decade, the ASEAN Ministers of Agriculture and Forestry have endorsed an array of guidance documents and strategic frameworks on agriculture, food, fishery and forestry issues in addition to its numerous other manuals that provide in-depth protocols for livestock, fisheries, food, biotechnology, crops and forestry. The high number of guidance documents reflects the prominent role of this approach to regional cooperation.

Guidelines not only seek to provide AMS with technical support, but also a space for them to contribute their expertise and experience in addressing regional challenges. Despite the wide use of guidelines in the ASEAN policy process, few studies have addressed the lifespan of thematic guidelines, ranging from their initial request to how they are produced, disseminated and, ultimately, used at the national level.

Given the prominence of guidelines as a policymaking tool in the food, agriculture and forestry (FAF) sectors, this study provides an understanding of how a selection of six land use

related guidelines covering CSA, crop insurance, responsible investment, public-private partnerships and gender mainstreaming are used as policy tools from the perspectives of the ASEAN Secretariat, ASEAN working groups and the development agencies who assist ASEAN at the regional and national levels. It also considers the content and style of individual guidelines as well as the coherence of the information presented. In addition to providing evidence of the use and significance of the existing guidelines, this work aims to provide insights and recommendations that can help to develop and promote other guidelines.

This study found that the usefulness of land use guidelines cannot only be measured with evidence of implementation or related policies. Rather, there are other important policy and collaborative benefits to engaging in a process that unites AMS in finding joint solutions to collective challenges. For example, the ASEAN Regional Guidelines for Promoting Climate-Smart Agriculture (CSA) Practices were utilised as an important tool in the region's contributions to multilateral policy-making.

The guidelines helped AMS synthesise challenges related to CSA and reach consensus on the first ever ASEAN submission for issues related to agriculture to UNFCCC's 44th Subsidiary Body of Scientific and Technological Advice.

At the national level, there are few documented examples of guideline implementation. As governance in the ASEAN region differs from national and local governments in structure, time scales, funding and priorities, it is difficult to ensure that countries have the political will and appropriate resources to implement regional priorities in the FAF sectors. In addition, integrating the guidelines into national plans and eventually creating extension programmes takes a long time. However, in some cases, as with the Insurance or Responsible Investment Guidelines, AMS have sought assistance from development partners to support implementation. Project support after guideline endorsement was found to be an essential element to ensure that the guideline is operationalised.

Ultimately, the outcomes of this study informed a number of recommendations related to guideline design, dissemination, awareness raising, implementation, monitoring and funding. Recommendations are also directed towards the ASEAN Secretariat to further develop its role in aiding guideline development, implementation and monitoring.

The key recommendations are:

1. Assess if guidelines are the most effective policy tool for the intended outcomes.
2. Consult among AMS and with the ASEAN Secretariat the next time guidelines are requested to better understand the motivations and intended use of any new guidelines.
3. Accessibility, readability and legibility of the guidelines should be considered to attract more users, especially

policymakers from the region.

Social media-friendly approaches such as short video clips could be used to disseminate guidelines.

4. The ASEAN Secretariat and AMS should move towards more strategic policy-making when responding to ASEAN-wide issues by breaking down silos and engaging with different sub-sectors to provide a more holistic view on the state of climate-smart land use in ASEAN.
5. Guidelines should be produced with a concrete implementation plan that involves relevant stakeholders and provides adequate funding.
6. A workable and suitable monitoring, evaluation (M&E) and learning framework needs to be developed to assess regularly how guidelines are being used. If this is not possible, M&E should at least be built into existing sectoral frameworks within ASEAN by specifically asking how the different guidelines are used.
7. Advocate for more frequent intersectoral dialogue to bring together relevant sectoral bodies to talk about climate change and provide their own perspectives to further strengthen ASEAN's agenda on climate change.
8. Review guidelines at ASEAN Secretariat level to enable a system-wide reflection of their use ♦

Acknowledgement

T

his review has benefited from the assistance of a number of people. The authors would like to acknowledge the constant support, critical feedback and

encouragement provided by Hanna Reuter who leads the Climate Smart Land Use in ASEAN (CSLU), project funded by the German Federal Ministry for Economic Cooperation and Development and implemented by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH in close cooperation with the ASEAN Secretariat (ASEC). Thanks also to Zahra Zafira Mutiara, technical advisor in the CSLU project, for the initial comments.

Imelda (Dada) Bacudo, who supports the CSLU project as a senior project consultant, played a key role in shaping this work. Dada worked with the authors to provide strategic direction and situate the guidelines in the history of ASEAN-CRN and the workings of ASEAN. She also linked the authors with resource persons to interview, clarified their understandings of issues, and contributed to the analysis of this work.

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Acronyms

AMAF	The ASEAN Ministers of Agriculture and Forestry
AMS	ASEAN Member States
ASEAN	Association of Southeast Asian Nations
ASEAN RAI	ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestry
ASEAN-CRN	Climate Resilience Network
ASEC	ASEAN Secretariat
ATWGARD	ASEAN Technical Working Group on Agricultural Research and Development
AWG	ASEAN Working Groups
CSA	Climate-Smart Agriculture
CSLU	GIZ Climate Smart Land Use in ASEAN
FAF	Food, Agriculture and Forestry
FAO	Food and Agriculture Organization
FOR-CC	Forest and Climate Change project
GAP	Good Agriculture Practices
PPP	Public-Private Partnership
SBSTA	Subsidiary Body of Scientific and Technological Advice
SDGs	Sustainable Development Goals
SEI	Stockholm Environment Institute
SOM-AMAF	Senior Officials Meeting of the ASEAN Ministers on Agriculture and Forestry
SPA Vision	2016-2025 Vision and Strategic Plan for ASEAN Cooperation in Food, Agriculture and Forestry
UNFCCC	United Nations Framework Convention on Climate Change

Background and Purpose

The GIZ Climate Smart Land Use in ASEAN (CSLU) project, the successor to the former Forest and Climate Change project (FOR-CC), conducted a review of selected Association of Southeast Asian Nations (ASEAN) guidelines that were (co-)developed and/or promoted by the ASEAN Climate Resilience Network (ASEAN-CRN) and the ASEAN Technical Working Group on Agricultural Research and Development (ATWGARD), and endorsed at the Senior Officials' Meeting of the ASEAN Ministers of Agriculture and Forestry (SOM-AMAF). This activity is part of the CSLU project's continuous support for ASEAN Member States (AMS) implementing climate-smart practices in agriculture and forestry and is a contribution to the work of ASEAN-CRN. The project has commissioned the Stockholm Environment

Institute (SEI) to explore the usefulness of land use guidelines and similar policy-tools in implementing ASEAN priorities related to climate-smart land use at the national level. This study aims to contribute to the strengthening of ASEAN's role in coordinating and fostering contributions from AMS to international and national climate policies on climate-smart land use in agriculture and forestry.

Within ASEAN's policy-making processes, guidelines are viewed as an important policy tool to steer thematic areas of work by distilling global, regional and national best practices into a compendium that is accessible to AMS. The ASEAN Ministers of Agriculture and Forestry (AMAF) is one of 13 bodies in ASEAN's Economic Pillar and offers at least 29 guidance documents and strategic frameworks

on agriculture, food, fishery and forestry issues. Annex 2 contains a list of these documents. Eleven of them are generic to the agriculture, food, fishery and forestry sector, while 18 documents are sub-sector specific covering a variety of topics, such as organic certification, soil nutrient management and animal vaccines, to name a few. AMAF also has numerous manuals and other guidance that provide in-depth protocols for livestock, fisheries, food, biotechnology, crops and forestry. This high number of guidance documents reflects the prominent role of this particular approach to regional policy-making at ASEAN. In fact, as discussed later in the report, this approach to policy-making seems to characterise ASEAN in the food, agriculture and forestry (FAF) sectors, and the extent to which they are successful in achieving their desired objectives is an empirical question that needs to be asked if we are to learn from the process.

This study will provide an understanding of how a selection of land use guidelines are used as policy tools from the perspectives of the ASEAN Secretariat (ASEC), ASEAN working

groups (AWG) and the development agencies who assist ASEAN at the regional and national levels. It will also consider the content and style of individual guidelines as well as the coherence of the information presented. In addition to providing evidence of the use and significance of the existing guidelines, this work aims to provide insights that can help to develop and promote other guidelines.

This study focuses in particular on the following guidelines that have been developed and/or promoted by ASEAN-CRN: **Volumes I and II of the Climate Smart Agriculture (CSA) Guidelines** (referred to throughout the document as CSA guidelines Vol. I/Vol. II), the **10 Phases in Developing a National Crop Insurance Program** guide (the crop insurance guidelines), the **ASEAN Public-Private Partnership Regional Framework for Technology Development in the FAF Sectors** (the PPP guidelines), **Responsible Investment in Food, Agriculture and Forestry** (the RAI guidelines) and **AMAF Approach to Gender Mainstreaming in the FAF Sectors** (the gender mainstreaming guidelines) ♦

¹For reasons of readability, the study will use the word “guideline” for all documents assessed.

Approach

T

his report is based on a review of the above-mentioned land use related guidelines and interviews with a variety of stakeholders, either involved in

creating the guidelines or targeted as users.

The report further considers how the guidelines were produced and used and presents examples of how they are being used at the national level.

ASEAN-CRN aims to provide ‘a platform for countries to share knowledge, experiences, successes and failures on a range of topics facing the region’ (ASEAN Climate Resilience Network, 2017, p. 23) and guidelines not only seek to provide AMS with technical support, but also to provide space for them to contribute their expertise and experience in addressing regional challenges. The recommendations in this report are directed at ASEAN-CRN members and development agencies and, to some extent, at ASEC and the National Focal Points in the ASEAN Working Groups, to improve the

production of regional guidelines and broaden outreach and the publication of the guidelines. The findings may also provide useful insights that can aid the development and promotion of future guidelines. This assessment also hopes to assist ASEC in framing requests to development agencies for better support in developing and promoting guidelines.

This report ultimately contributes towards the 2016-2025 Vision and Strategic Plan for ASEAN Cooperation in Food, Agriculture and Forestry (SPA Vision 2025), which aims to direct ‘ASEAN towards the completion of the Millennium Development Goals (MDGs) and the post-2015 Sustainable Development Goals (SDGs), and to achieve the related goals of UN Zero Hunger’ (AMAF, 2015, p. 3). Climate-smart land use, and the 2016-2025 Vision more broadly, contribute towards achieving the SDGs by integrating sustainable agriculture in order to alleviate poverty (SDG 1), end hunger, achieve food security and improve nutrition (SDG 2),

while making efforts to reduce emissions and adapt to climate change (SDG 13). In addition, Strategic Thrust 4 of the SPA seeks to increase resilience to climate change, disasters and other shocks and address the adverse impacts of climate change by promoting appropriate agricultural practices. Action programmes related to Strategic Thrust 4 include increasing investment in research and development of climate-smart technologies and management systems, promoting good agriculture practices, capacity building and information sharing, and integrating gender issues into climate-friendly agriculture (AMAF, 2015).

This review provides an overview of the content and style of the selected land use guidelines, how they were disseminated, their usability and the value of regional guidelines. The timeliness of the guidelines, the relevance of the climate-smart land use approaches covered, and the comprehensiveness of the guidelines were also explored, however, the insights into these elements were less obvious. The review began with an in-depth evaluation of Volumes I and II of the Climate Smart Agriculture guidelines and then compared them to other relevant guidelines. Criteria were developed to steer the review with the aim of ultimately providing recommendations on how existing guidelines

can be improved and promoted further and to inform the design of future guidelines. The review also includes interviews with stakeholders who were involved in developing or using the guidelines. These are listed in Annex 3.

The remainder of the report is organised as follows: Section 3 situates the guidelines in the broader ASEAN knowledge production and dissemination environment; in Section 4, we look at the content of the guidelines and provide a short summary of each guideline. Section 5 highlights the usability of the guidelines by comparing the designs and styles of the two CSA Guidelines to four other selected guidelines. The timeliness and relevance of the guidelines are elaborated in Section 6 in an analysis of key informant interviews with members of ASEC, representatives of AMS and individuals who were involved in either producing or using the relevant guidelines. Interviews were semi-structured with questions designed and developed around the interviewee's position, experience and relationship to the various land use guidelines. Many of the interviews occur during the COVID-19 related lockdowns and so were conducted online as there was no opportunity for in-person interviews. Initial findings of the review were, however, presented and discussed online during a virtual ASEAN-CRN meeting ♦

² In view of privacy considerations, these interviewees are not named but some description of their roles in their organisations is provided in the text.

Knowledge Production and Dissemination in ASEAN

A

SEAN produces an array of knowledge products and strategic documents, including frameworks, guidelines, strategic plans of action, master

plans, etc. For an idea of the range of guidelines and frameworks available on the FAF sector, see Annex 2. To produce these documents, the Secretariat executes many processes, with follow-up implementation taking place at different levels depending on the product. Guidelines are reference documents, often used to coordinate policies and inform the implementation and monitoring of a certain action area. They can be produced as part of ASEAN activities and influence regional activities in strategic plans of action and other frameworks.

When considering the impact of guidelines and other endorsed ASEAN documents, it is important to consider the sovereignty and non-interference principles in the ASEAN

Treaty of Amity and Cooperation. ASEAN often operates using shared understanding and informal procedures rather than binding formal agreements (Severino, 2001). ASEAN has standards and procedures but provides support rather than compelling individual states to follow them. As such, guidelines are not legally binding documents. In order to be endorsed, guidelines need to be agreed upon by all AMS, but their implementation is based on country priorities and whether or not they are seen by national users as useful (Interview 3, AMS 2, 9 Apr 2020).

There are therefore several limitations to the ASEAN system and governance framework. This is reflected in the way that guidelines are developed and ASEAN's approach to their dissemination and implementation. Guidelines broadly signify that there is an agreement among AMS to pursue a strategic direction.

In this case, countries have agreed that agricultural practices need to be resilient to the adverse effects of climate change and, if possible, mitigate greenhouse gases at the same time (Interview 8, International Development Partner, 28 May 2020). The CSA Guidelines, for example, began as a discussion among members of ASEAN-CRN, where it was informally agreed that broader action on climate change and agriculture was needed. AMS later agreed to develop guidelines based on an in-depth study of agriculture vulnerabilities in the region and on action programmes related to Strategic Thrust 4 of the SPA Vision 2025.

Elders and Miyazawa (2015) ascribe ASEAN's organisational structure and governance as key to its increasingly important role in environmental cooperation in the region. Despite the institution's complicated organisational and decision-making system, there are a number of entry points to promote environmental cooperation on programme planning and implementation. However, there are challenges relating to 'large political, socio-economic, and cultural differences among member countries' and a shortage in funding leading to relatively slow progress (Elders and Miyazawa, 2015, p. 2).

The authors recommend that engagement takes place directly with AMS and the working groups, as exemplified in ASEAN-CRN.

ASEAN-CRN is not a formal ASEAN body, although it was founded by ATWGARD focal points and the institutions/government agencies they represent (mostly agricultural research). This means it is not governed by the same strict protocols that govern formal ASEAN bodies and can be more flexible when engaging partners. One ASEAN source stated that, 'ASEAN-CRN enjoys a unique attachment to a formal working group and ATWGARD functions almost like the working group's think tank' (Interview 7, Consultant 2, 20 Apr. 2020).

ASEAN-CRN promotes activities that ensure climate resilience in the agriculture sector ♦

The Content and Style of the Reviewed Guidelines

T

his section discusses the content and style of selected land use related guidelines reviewed for this study. The goal is to understand if content or style underpins the use and impact of the guidelines.

ASEAN does not have official guidance outlining the style, format or information that should be covered in the guidelines that are produced. Section 4.1 provides an overview of the selected guidelines. Section 4.2 highlights some of the similarities and differences in formatting and style between the reviewed guidelines. Much of the content mentioned below is organised in a table for comparison in Annex 1.

Before describing the aims of the different guidelines, it is important first to outline what climate-smart agriculture/land use is and why the guidelines on related practices are particularly useful for ASEAN Member States. The concept of climate-smart agriculture was first introduced by the Food and Agriculture Organization (FAO) in 2009 as an approach to ‘guide the management of agriculture in an era of climate change’ (Lipper and Zilberman, 2018, p. 13). FAO understands agriculture to include crop and livestock production, fisheries, aquaculture and forestry; therefore, CSA approaches encompass all these aspects.

CSA was developed in response to the limitations in international climate policy in understanding agriculture and food security, and the potential opportunities to integrate adaptation and mitigation (Chandra and McNamara, 2018).

CSA has three main objectives: to increase agricultural productivity and incomes, adapt and build resilience to the impacts of climate change, and reduce or mitigate greenhouse gas emissions. CSA aims both to address climate change by proactively integrating climate change-related provisions into development and planning, while working towards productivity, adaptation and mitigation.

Some experts also use the terms ‘climate-smart land use’ or ‘climate-smart land management’ in order to emphasise that this concept not only applies to agricultural practices but also encompasses land use, land use change and forestry. For example, the United Nations Convention to Combat Desertification highlights low emissions agricultural practices such as agroforestry and ecosystem conservation and restoration ♦

04.1

Content of the CSA Guidelines

AMS have been increasingly responsive to how climate change is impacting agriculture throughout the region. ASEAN-CRN was established to ‘ensure that ASEAN Member States are in a better position to adapt their agricultural sectors to climate change and optimise its mitigation potential’ (ASEAN-CRN, n.d.).

An initiative by Thailand to create an inventory of adaptive practices in the agriculture sector led to the framing of the CSA Guidelines. GIZ, through the ASEAN-German Programme on Climate Change (GAP-CC, 2011-2013) and with assistance from the Southeast Asian Regional Center for Graduate Study and Research in Agriculture (SEARCA), supported this initiative over a two-year period with a host of consultative national and regional meetings.

The consultations and a series of national studies eventually led to the endorsement and publication of the book ‘Promotion of Climate Resilience for Food Security in ASEAN: Rice, Maize and Cassava’ (Sarom et al., 2015).

This work ultimately led to the establishment of ASEAN-CRN by the agriculture research institutes who took part in the exercise and who make up ATWGARD. The practices identified as part of the study provided the basis for developing the relevant guidelines.

Volume I of the CSA Guidelines was developed alongside the establishment of ASEAN-CRN and the creation of its terms of reference. Both underwent the necessary official endorsement from policy-making bodies under AMAF.

The CSA Guidelines provided an opportunity to promote CSA and a response to the threat that climate change poses to the region's agricultural production, food security, ecological stability and sustainable development. CSA practices have also been known to integrate indigenous practices, crop management and knowledge-based options to enhance climate resilience (ASEAN, 2015). As there is no official guidance on what guidelines should look like from ASEC itself, the format was inspired by the Good Agriculture Practices (GAP) produced by the ASEAN Working Group on Crops.

Volume I of the CSA Guidelines (2015) has two objectives: 'to facilitate and formalise the exchange and sharing of knowledge and information' and 'to promote the scaling-up and scaling-out of CSA practices and policies throughout the ASEAN region' (ASEAN, 2015, p. 7).

The compilation of practices in the CSA Guidelines are the result of an open call for contributions to a number of experts and practitioners (Interview 7, Consultant 2, 20 Apr 2020) and build on a number of priority practices identified in the two-year study, selected

based on their potential for enhancing climate resilience, ease of adoption and acceptance, economic efficiency, suitability of framework conditions and human and institutional capacity.

Five good practices were outlined in the guidelines: stress-tolerant rice varieties, stress-tolerant maize varieties, agri-insurance using weather indices, alternate wetting and drying for rice production and a crop calendar for rice and maize. These guidelines are technical in nature and provide specific information about the different practices rather than policy-level guidance. See also Box 1 for an insight into the development of the guidelines.

Volume II of the CSA Guidelines was released in 2017 as a follow-up to Vol. I and outlines four additional CSA practices: integrated farming systems, rice shrimp farming, agricultural insurance and climate information services for agro-advisory services. These practices highlight ongoing or completed projects on climate resilience in the FAF sector in ASEAN ♦

04.1.1

Content of other Guidelines Included in the Review

The 10 Phases in Developing a National Crop Insurance Programme (2018) is a step-by-step guide for AMS to implement or improve existing national programmes. The guide complements the agricultural insurance chapters in both Volumes I and II of the CSA Guidelines.

It was developed specifically for an ASEAN-CRN knowledge exchange event held in Ho Chi Minh City in 2016, which featured insurance as one of the topics. The 10 phases include stakeholder assessments of the need for an agricultural insurance scheme, a feasibility study and risk assessment, a regulatory framework, national policy creation, product development, distribution and pricing, division of stakeholder responsibilities, field implementation and training, piloting, process and product revision, and a full programme launch.

The stakeholder assessment is explained in detail in the second half of the report. Insurance offers farmers a safety net against climate-related hazards by transferring some of the production risks to the insurance sector.

The ASEAN Public-Private Partnership Regional Framework for Technology Development in the Food, Agriculture and Forestry Sectors (2017) highlights private sector investment as vital to achieving innovation and technology development in order to secure higher productivity and reduce harvest losses.

This framework underlines climate-smart practices as core components to increase productivity sustainably and reduce pre- and post-harvest losses through innovative ‘green’ technologies and sustainable resource management. Its overall objective is to ‘increase collaborative investments in sustainable

technology development, adoption and dissemination throughout the whole value chain in the FAF sector in ASEAN’ (ASEAN Ministers of Agriculture and Food, 2017, p. 5). Public-private partnerships are important for implementing commitments made under the Paris Agreement and CSA practices. Climate resilience and the promotion of CSA are considered when selecting public-private partnership projects.

The Responsible Investment in Food, Agriculture and Forestry guidelines (2018) are made up of 10 guidelines that address a number of challenges including: food security, land rights, jobs and livelihoods, climate change and the environment, technical and institutional capacity, and project failure and investor-state contracts. Guideline 7, which aims to contribute to climate change adaptation and mitigation, mentions the importance of ‘developing, testing and scaling up climate adaptation measures and effective, efficient and affordable strategies for climate resilience’ to complement the CSA guidelines (ATWGARD, 2018a, p. 21).

It also notes that stakeholders have a responsibility to work with local communities, smallholders and SMEs to ‘encourage and

support their adoption and effective use of climate-smart mitigation and adaptation practices’ (ATWGARD, 2018a, p. 26).

Gender equality is recognised as being an essential precondition to sustainable development as expressed in the ASEAN Declaration on the Gender-Responsive Implementation of the ASEAN Community Vision 2025 and Sustainable Development Goals (2017), Strategic Thrust 4. **AMAF’s Approach to Gender Mainstreaming in the Food, Agriculture and Forestry Sectors (2018)** begins by articulating the importance of gender equality in ASEAN and for women in FAF sectors.

The document is a reference guide for AMS in their efforts to promote gender equality and provides guidance for a better understanding of gender-responsible policies and programmes at the regional level. It also promotes gender equality in FAF policies, programmes, systems and structures. This approach aims to raise awareness of the importance of gender policies, enhance the sharing of best practices and provide space for regional collaboration.

One of the document's objectives is to 'promote gender-equitable research supporting climate-smart agricultural technologies' (ATWGARD, 2018b, p. 7).

This is further elaborated throughout the guide alongside calls to train both men and women on climate-smart technologies. More broadly, the guidelines provide important insights on gender

mainstreaming in any climate-smart land use approach by setting out potential limitations as well as considerations for successful implementation.

All land use guidelines mentioned above provide a background to the relevant topics and a number of aspects that are important to consider for project design and implementation ♦

BOX I. INSIGHT INTO THE DEVELOPMENT AND IMPLEMENTATION OF THE GUIDELINES

ASEAN-CRN and the Climate-Smart Agriculture Guidelines

ASEAN-CRN was established in 2014 as a platform for regional exchange to share information, experiences and expertise on climate-smart agriculture. The purpose was to address the need for regional cooperation on agriculture and food security in the face of climate change.

ASEAN-CRN was borne out of an ATWGARD project on climate resilience in rice and other crops and was proposed by Thailand. One of its earliest outputs,

Volume I of the CSA Guidelines, not only identifies five CSA practices, but also provides information about the establishment of ASEAN-CRN, the methodology for developing the guidelines and describes the national and sub-national assessments complemented by regional level discussions.

These included an assessment of the vulnerabilities of key crops in the region while also identifying good practices and

ways to stimulate knowledge-sharing across AMS. The guidelines convey many of the findings from the study in a usable format to inform AMS decision-making.

The first volume provided ASEAN-CRN with experience in finding commonalities among AMS, gaining consensus and navigating the policy process for ministerial endorsement (Interview 7, Consultant 2, 20 Apr 2020).

Volume II of the CSA Guidelines was a response to requests for additional guidance on insurance and other farming practices and tools. The Guidelines build

on the strengths of Volume I, with slightly different inputs and presentation.

The addition of ‘stories from the field’ provide a perspective on what the practices look like when implemented and the impact they have on the target populations.

The endorsement of both volumes of the CSA guidelines is significant because they formally recognise the impact that climate change has on the agricultural sector and provide guidance on how to build resilience ♦



04.2

Style of the Selected Guidelines

The six guidance documents discussed in this review all have different purposes and themes. However, they are all connected to the food, agriculture and forestry sectors and have some link to climate-smart land use practices. The styles in which they are presented also vary and this has been shown to have an impact on their usefulness. The style of each guide is summarised in Annex 1.

Volumes I and II of the CSA guidelines present specific CSA practices, as described above, using a case-study approach and providing comprehensive explanations of the different practices and extensive technical details. Each chapter of the technical guidelines includes a synthesis of technical issues, institutional and technical challenges, regional cooperation and mechanisms to address implementation.

Volume II presents the CSA methods slightly differently. Each section begins with a ‘story from the field’, providing a real-life example of the CSA practice by describing the situation and how the method impacted the farmer’s livelihood and overall resilience.

The story is followed by the benefits and challenges of the method, the roles of various stakeholders, how the method works, how AMS are already using the method and the potential for regional collaboration.

The 10 Phases in Developing a National Crop Insurance Program is organised, as the title implies, with the process of developing a crop insurance programme broken down into 10 phases and comes across as a checklist-style training manual.

The guidance provides clear steps for implementing each phase, outlining the stakeholders that should be consulted, the types of goals to set, data that should be collected and so forth.

The guidance, complemented by chapters on Agricultural Insurance in Volumes I and II of the CSA Guidelines, is not overly detailed but provides general overviews of different types of insurance, the risks that can be covered, insurance products and subsidies.

The 10-step guide was intended to provide interested governments with an outline of the decisions they would need to make in order to design a national insurance programme (Interview 5, Consultant 1, 16 Apr 2020).

One interviewee found that the 10-step guide was particularly useful as it not only provided practical and detailed steps, but it allowed for AMS to assess their starting points and thus begin from a relevant position (Interview 4, Development Partner 1, 10 Apr 2020). See Box 2 for additional insights.

The ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestry Guidelines are made up of 10 guidelines that promote regional economic development, food security, equitable benefits and the use of sustainable resources. Each guideline outlines the significance of the particular recommendation and provides specific actions that AMS can consider in order to implement it. These actions provide tailored advice for working with the private sector, engaging local communities, specifying stakeholder involvement and strategy development.

The guidelines also outline the roles and responsibilities of other stakeholders. The recommendations only indicate general actions that should be considered by different stakeholders to promote investment in food, agriculture and forestry. They do not give any technical guidance on how these principles and aspects can be implemented in practice.

As indicated in its title, the **ASEAN Public-Private Partnership Regional Framework for Technology Development in the Food, Agriculture and Forestry (FAF) Sectors** is a regional framework written in a different style to the usual guidelines in that the latter tend to be process-oriented (i.e. 'how to' manuals).

The document highlights the importance of innovation and knowledge in the FAF sectors as key to their sustainable competitiveness and the need for stronger private collaboration. The framework therefore aims to increase investments in technology development, adoption and dissemination throughout the value chain. It does this by suggesting several policy and legal actions, an institutional framework that includes roles and responsibilities, and guidance on how to develop and implement these partnerships at the regional level.

The guidance aims to provide AMS with information on creating a predictable and efficient public-private partnership environment to promote technology development and dissemination in FAF value chains that is consistent across AMS, by providing

recommendations, sometimes accompanied by specific examples. Ultimately, it acts as a reference to show that AMS have communicated a political commitment to promoting public-private partnerships in the FAF sectors, aiming to strengthen private sector cooperation.

AMAF's Approach to Gender Mainstreaming in Food, Agriculture and Forestry is intended to serve as a reference guide for AMS in their efforts to promote gender equality in the FAF sectors, by raising awareness of the importance of gender policies and stimulating the development of best practices.

The guidelines offer high-level policy advice to provide a reference for AMS in their efforts to promote gender equality in the food, agriculture and forestry sectors, and are a direct contribution from ASEAN-CRN and ATWGARD to a key indicator of Strategic Thrust 4 of the SPA Vision 2025.

The document first provides an overview of gender equality in ASEAN AMAF's policy on gender mainstreaming, before outlining potential constraints for women, particularly in specific sectors in agriculture/land use and how these should be addressed in policy-making.

The regional strategy and action plan then describe the approach, which includes capacity building, an institutional framework, strengthening partnerships, communications and research and innovation. The guidelines conclude with a general overview of the implementation process, which is unique compared to other guidelines.

Details of the different formats of each guide provide an insight into how user-friendly they are. As will be discussed further in the next section, the step-by-step methodology used by the insurance guidelines has provided Member States with clear policy instructions on how to apply them.

In comparison, both volumes of the CSA guidelines provide important explanations of different CSA practices, the stakeholders involved and how they can be implemented, however, they do not offer examples of how policy-makers can best promote the guidelines ♦

The Drafting, Dissemination and Impact of the Guidelines

T

he following section highlights insights that have emerged from nine semi-structured interviews with individuals who have relationships with ASEAN and ASEAN-CRN, such as government officials from AMS and relevant ASEC staff.

These are complemented by interviews with development agencies who have supported the development of the guidelines or activities implemented with ASEC, including the roll-out of technical guidelines. Another interview was held with the author of one of the guides (agri-insurance). One interviewee was also a journalist who has been working with, and reporting on, ASEAN in different capacities over the past few years. Her insights provided input into how ASEAN communicates both internally and externally.

Given the range of backgrounds and experience, the interviews had a varied focus and sets of questions.

05.1

How did the Guidelines Come into Existence?

Guidelines are just one of a menu of policy tools alongside frameworks, strategies, policy briefs, stocktakes, policy recommendations, toolkits and others that ASEAN deploys to disseminate knowledge to AMS (Interview 4, Development Partner 1, 10 Apr 2020).

New regional guidelines can be developed at the request of AMS if they seek particular guidance on an issue, based on the decision of an ASEAN sectoral body, or they can be proposed by ASEC (Interview 1, ASEC Staff, 1 Apr 2020).

The request may also align with one of ASEAN's strategic frameworks or may be relevant to one of its working groups' strategic plan of action or particular performance indicators and provides further guidance for implementation (Interview 2, AMS 1, 8 Apr 2020). The proposed guidelines are then approved by all AMS and the development is often facilitated by ASEC,

frequently with the support of a development agency or consultant (Interview 2, AMS 1, 8 Apr 2020).

The process of developing guidelines can take many forms. In some cases, a consultant is hired to provide services to an AMS, through written inputs and in-person workshops, and refers to past guidelines and ASEAN priorities and frameworks to develop the guidelines.

The AMS will then provide comments, add new information or accept the document. It then gets endorsed at the working-group level before being forwarded to AMAF (Interview 3, AMS 2, 9 Apr 2020, 4). In other cases, development or research partners take the lead in drafting the guidelines. Interviewees stressed the importance of having the AMS engaged from the outset in order to create a sense of buy-in and momentum towards implementation (Interview 1, ASEC Staff, 1 Apr 2020, 3, 4).

The CSA guidelines were different in the sense that no consultants were hired to draft them. Instead, ASEAN-CRN collected voluntary contributions from existing relevant initiatives that were happening in the region at the time. This process, although it took time, engendered ownership among AMS as evidenced by the role the guidelines have played in enabling a collective position on the role of agriculture in climate change negotiation (see Box 4 on the role of the ASEAN Negotiators Group on Agriculture).

The CSA guidelines were made up of best practices deemed important enough for AMS to be endorsed at the ministerial level; they provide a snapshot of some of the concerns facing the region and solutions to address them (Interview 3, AMS 2, 9 Apr 2020). A government official explained that, after extensive input from experts, the guidelines go through a lengthy process of approval from the Ministry of Agriculture, following its protocols and procedures.

This means that they must be sent to the relevant ministries and approved by their cabinet ministers. In this official's opinion, the lengthy process and extensive effort required to secure approval justifies the need to use the guidelines (Interview 3, AMS 2, 9 Apr 2020). In seeking endorsement, a Member State can

insist that the information their ministries or departments deem relevant is included in the guidelines. While this process ensures the guidelines represent the existing state of knowledge within a particular Member State, the effort taken to shepherd them through the ministerial approval process may reduce the time left for implementation. Also, if a Member State already has much of the information contained in the guidelines, they are likely to use their own information rather than the guidelines themselves.

This means the guidelines will only be useful for Member States who lack such information and need a steer from other Member States. This is where what might be described as 'the politics of endorsement' come in, as the guidelines become a platform to showcase national innovations and best practices, thus ensuring their inclusion in the guidelines becomes an overriding concern. This process may lengthen the time taken to approve the guidelines.

In the case of the selected guidelines reviewed in this study, it took at least one year for the AMS to approve them as consensus needed to be reached before they were endorsed ♦

05.2

Dissemination and Awareness-Raising

Generally, when guidelines are produced, they require planned socialisation initiatives to promote them, followed by capacity building and training to instruct policy-makers on how they can best be used (Interview 1, ASEC Staff, 1 Apr 2020). However, despite the prevalence of guidelines as a policy tool, a standard approach is lacking for the dissemination and implementation of new guidelines.

In the past, guidelines were primarily sent out as hard copies and disseminated to AMS focal points for distribution. However, now online methods are used for broader distribution (Interview 4, Development Partner 1, 10 Apr 2020). Dissemination is also often driven by the development agencies and research partners involved in creating these guidelines. Some guidelines have dedicated websites with other knowledge materials. For example, a stand-alone website was created to provide context and additional resources relating to the RAI Guidelines.

Other communication products explaining the RAI Guidelines include a brochure with clear bullet points for each principle that has been



ASEAN-CRN exhibition booth during the 5th Global Science Conference on CSA, 8–10 October 2019 in Bali, Indonesia.
Photo : GIZ/Dada Bacudo

translated into eight ASEAN languages and videos highlighting reports relating to the guidelines (Interview 9, Development Partner 2, 11 Jun 2020).

In the case of the CSA guidelines, hard copies were produced and distributed at regional and international meetings, workshops and conferences, although no measures were taken to trace their use and adoption. The book

documenting the two-year study that led to the guidelines, ‘Promotion of Climate Resilience for Food Security in ASEAN: Rice Maize and Cassava’, was copied to CDs and distributed.

However, this review notes that there are an array of guidelines that ASEAN has produced for AMS and which most national and sub-national stakeholders are not aware of. While development

partners supporting these guidelines may have limited scope in implementation and are bound by the terms of reference provided to them, dissemination, outreach and implementation of the guidelines are key if ASEAN wants to ensure that these guidelines actually ‘guide’ the actions of AMS. In other words, the expected outcomes of the guidelines should explicitly be stated at the outset when planning and formulating them ♦

BOX II. DEVELOPMENT AND IMPLEMENTATION INSIGHTS

10 Phases in Developing a National Crop Insurance Program: Guide Overview

In contrast to the typical guideline development procedure, the crop insurance guidance was developed by an expert working on a crop insurance programme in Indonesia who found that some countries seemed to have a lot of common challenges.

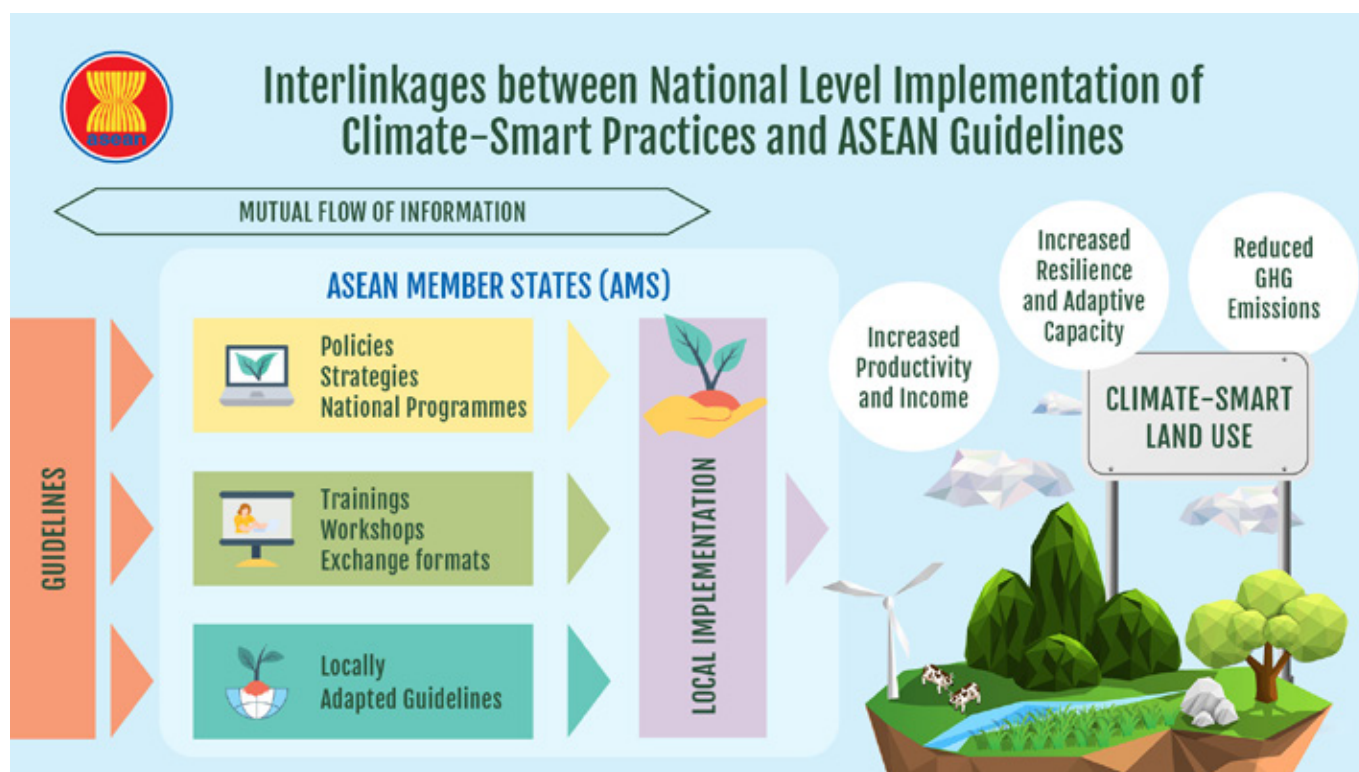
ASEAN-CRN contacted an expert who willingly developed the step-by-step recommendations in time for the ASEAN-CRN Knowledge Exchange

Event at which insurance was one of the key topics. It was then used by participants in a workshop in Vietnam. The guidelines aimed to be as realistic as possible, highlighting a lot of common mistakes and providing a tool that would help governments avoid them.

Breaking the content down into 10 steps provided a comprehensive resource for countries to understand the decisions that would need to be made and which stakeholders to involve at each step of the process.

05.3

Implementation and Monitoring



One common theme in guidelines that were successfully implemented by AMS is that they were directly linked to implementation projects and programmes with support from development partners (Interview 2, AMS 1, 8 Apr 2020; Interview 4, Development Partner 1, 10 Apr 2020; Interview 5, Consultant 1, 16 Apr 2020). Examples include the implementation of the insurance and investment guidelines. One development partner provided two examples of guideline development projects that she had

been involved in on biocontrol and soil nutrient management.

The project developing biocontrol measures included implementation measures, ensuring direct piloting of the guidance in order to inform and update the guidelines and provide for lessons learned (Interview 4, Development Partner 1, 10 Apr 2020). To monitor and evaluate the guidelines, support is also needed in the form of specific follow-up through initiatives

and projects along with the necessary funding. Without this explicit support, guidelines will often remain unimplemented.

Some guidelines, like **Volumes I and II of the CSA Guidelines**, were derived from best practice and in many cases were already being implemented by projects with their own funding. In this case, the guidelines were more a compilation and a reference point for AMS who were seeking guidance on their own implementation.

In this sense, the guidelines were not necessarily designed for active implementation but meant to be a general reference for specific issues. For example, guidelines are typically referred to when AMS are developing their sectoral masterplans in order to harmonise with ASEAN commitments. However, national governments need to prioritise how the guidance is relevant to their agency (Interview 3, AMS 2, 9 Apr 2020). The turnover of government officials can sometimes be problematic as institutional memory is lost and guideline implementation is not easy to follow (Interview 3, AMS 2, 9 Apr 2020). If no staff are aware of the guidelines, they will not follow up, refer to or use the guidelines at all.

One challenge for widespread guideline implementation stems from the fact that AMS

are at different levels of development and have different national priorities. While they can agree on priorities at the regional level, these do not necessarily line up with national strategies for addressing climate change in the FAF sectors (Interview 1, ASEC Staff, 1 Apr 2020).

Implementation may take different forms, depending on national priorities and pre-existing institutions and experience (Interview 4, Development Partner 1, 10 Apr 2020). It is often helpful to have one AMS who can lead an initiative and provide examples of guideline implementation and useful practices (Interview 1, ASEC Staff, 1 Apr 2020). One participant of an ASEAN-CRN meeting, for example, mentioned that the Philippines Department of Agriculture did not implement the CSA Guidelines because they had already adopted a more integrated approach to building climate-resilient agriculture and fishing communities, livelihoods and enterprises.

This approach improved the communities' understanding of climate risks and test technologies and the need to adapt. As such, there is no longer a use for the guidelines as a member state had already chosen a different policy direction.

For better implementation, the guidelines could include or have a corresponding document,

such as a specific training manual, providing information on how to implement them at the national level (Interview 4, Development Partner 1, 10 Apr 2020).

Opportunities to further encourage guideline implementation include integrating the outputs into regional documents and workplans (Interview 1, ASEC Staff, 1 Apr 2020). Development partners and other relevant stakeholders can engage with AMS to see where support is needed and how applicable guidelines can easily be used and implemented.

The monitoring of guideline implementation has not been a priority. The CSA guidelines, for example, were produced when ASEAN-CRN was working to build its identity (Interview 7, Consultant 2, 20 Apr 2020) and establish its operations and existence. Follow-up after the endorsement of regional guidelines is rare, but the information would be of use to those working in development and to members of the Secretariat involved in developing and implementing such policy tools (Interview 1, ASEC Staff, 1 Apr 2020). The annual ministerial and working-group meetings provide opportunities for AMS to share their updates and experiences in relation to workplan activities and guideline implementation, however this is not systematic (Interview 1, ASEC Staff, 1 Apr 2020; Interview 2, AMS 1, 8 Apr 2020). Interviewees

pointed out that without monitoring plans in place, insights emerging from the use of the guidelines are not being documented (Interview 3, AMS 2, 9 Apr 2020; Interview 4, Development Partner 1, 10 Apr 2020).

Monitoring, evaluation and learning from the implementation of the guidelines will provide insight especially given the fact that the guidelines serve as an important policy vehicle to achieve ASEAN's objectives.

Although one of the major aims of this project was to explore how AMS use the guidelines, the examples of how they were being used are very limited and would require either a more extensive study to tease out detailed lessons or an in-person workshop where AMS could share their experiences.

The study was able to document the use of the guidelines in the ASEAN Negotiators Group on Agriculture negotiations (Box 4), queries on the 10 steps on 'how to setup' and agriculture insurance. However, it was not easy to get representatives from AMS to come forward with examples on how they used the guidelines, despite the fact that they are obliged to report on how they have implemented ASEAN-related policies ♦

BOX III. INSIGHT INTO DEVELOPMENT AND IMPLEMENTATION

The ASEAN Guidelines for Promoting Responsible Investment in Food, Agriculture and Forestry: Implementation Strategy

Grow Asia developed the RAI Guidelines to contextualise the Committee on World Food Security's Principles for Responsible Investment in Agriculture and Food Systems, together with FAO and the International Institute for Sustainable Development. The RAI Guidelines are the first regional adaptation of the Principles and include three themes of particular relevance to AMS: the role of technology, climate change mitigation and the relationship to the ASEAN structure.

The final guidelines reflect feedback from more than 250 stakeholders from the public sector, private sector and farming organisations.

After the guidelines were adopted by AMAF in 2018, development partners wanted to ensure that AMS would implement them and worked with FAO, IISD and Grow Asia to host a series of workshops in AMS to obtain feedback on a proposed implementation roadmap. In October 2019, a three-phase action plan and implementation strategy was developed, aiming to apply the guidelines by 2030 in all 10 ASEAN countries by incorporating them into new and existing policy.

The programme was given a clear directive from ASEC for a measurable increase in quantity and quality investment. The implementation strategy aims to encourage the uptake of the guidelines in both the public and private sectors and provides support to all relevant stakeholders.

05.4

How Else Can We View the Impact of the Selected Guidelines?

Despite the limited observed achievements of the guidelines, as described above, they still serve other purposes which continue to be recognised by development partners. Guidelines are particularly useful for highlighting regional challenges, as well as the priorities of AMS, and they provide guidance on different practices (Interview 2, AMS 1, 8 Apr 2020).

ASEAN has produced a wide variety of guidance documents. However, implementation and monitoring is not universal and the Secretariat does not have the authority to mandate following through on these but rather provides further guidance (Interview 6, ASEAN Media Practitioner, 17 Apr 2020).

In fact, guidelines are sometimes produced without the intention of supporting implementation or monitoring but rather to compile existing practices or standards and act as a reference document. AMAF alone has endorsed over 20 guidelines on a variety of FAF topics (Interview 3, AMS 2, 9 Apr 2020).

Guidelines also highlight activities happening in the region because inputs are often sourced from AMS and show how they are coping with particular challenges, highlighting areas for potential collaboration (Interview 3, AMS 2, 9 Apr 2020). They also show what each AMS aspires to (Interview 7, Consultant 2, 20 Apr 2020) and what the region can provide as guidance for other regions not yet excelling in such practices.

Guidelines can also shine a light on gaps and areas that need further regional attention and serve as outreach tools and common ground between Member States. Guidelines officially endorsed by SOM-AMAF provide a licence to operate as they are official ASEAN documents and provide the AMS with more incentive to work with them as they have already been endorsed by their ministers (Interview 9, Development Partner 2, 11 Jun 2020; Interview 8, International Development Partner, 28 May 2020).

International donor agencies often find that endorsed documents are more likely to succeed given their widespread support across the region.

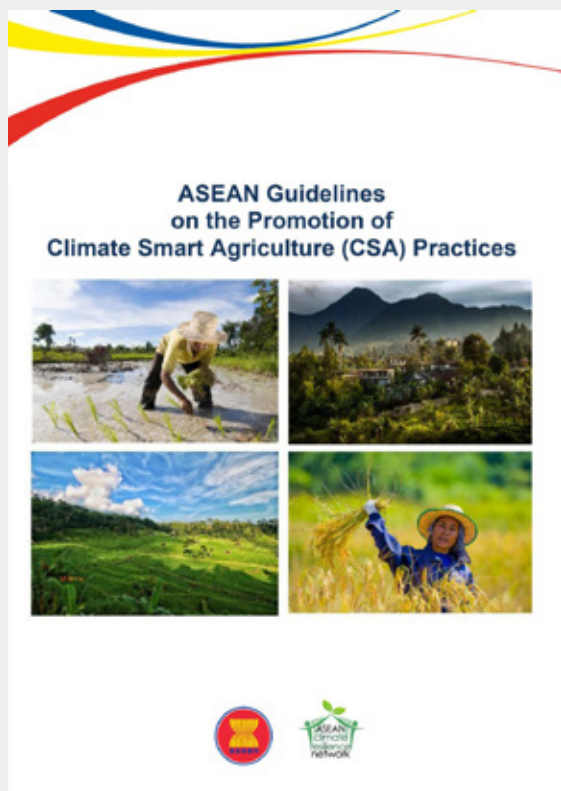
The CSA Guidelines, for example, provide a rationale of relevant proposals by showing broad agreement among AMS that CSA practices are both applicable and desirable (Interview 8, International Development Partner, 28 May 2020).

AMAF's endorsement of guidelines and other strategic documents is one of their greatest strengths as it legitimises the output as a representation of the shared priorities among AMS. This gives legitimacy to the practices described in the two volumes of the CSA Guidelines and highlights the impact that climate change will have on the agricultural sector and the regional cooperation needed to mitigate and adapt. Prior to establishing ASEAN-CRN and developing the guidelines, agriculture had been considered or discussed in relation to food production and security (Interview 7, Consultant 2, 20 Apr 2020). Furthermore, the strong collaboration among AMS that led to the CSA guidelines was important in drafting the region's common position on climate change and agriculture for the United Nations Framework Convention on Climate Change negotiations in 2016 (Interview 3, AMS 2, 9 Apr 2020; Interview 7, Consultant 2, 20 Apr 2020; Interview 8, International Development Partner, 28 May 2020).

The guidelines provided an agreed baseline and strategic vision for AMS. They also provide a *raison d'être* for future courses of action by justifying why certain policy directions may be taken (Interview 8, International Development Partner, 28 May 2020). This means that guidelines can be beneficial not only for the purpose they are originally intended but also for other possible opportunities. In light of the outcomes of the CSA guidelines, and possibly other ASEAN guidelines, it is worth considering if it is possible for guidelines to be replaced or enhanced by other strategic documents given that they often serve as a statement of intent (Interview 8, International Development Partner, 28 May 2020).

Given the cross-cutting nature of climate change and its impact on food security and poverty alleviation, the guidelines produced and disseminated by ASEAN-CRN are relevant to other ASEAN bodies and were in turn informed by the experience and expertise of these bodies when the guidelines were developed. For example, the Poverty Eradication and Gender Division under ASEAN's Sociocultural Pillar provided insight for the investment and gender guidelines which were circulated at their annual meetings (Interview 1, ASEC Staff, 1 Apr 2020). The ASEAN Committee on Women was also involved in drafting the gender guidelines ♦

BOX IV. GUIDELINES AS A POLICY TOOL



Mr. Huy from Vietnam presents the CSA Guidelines during one of the UNFCCC negotiations in Germany.
Photo : ASEAN-CRN



The ASEAN CSA Guidelines were not only important in providing guidance for climate-smart practices, they were also an important tool in the region's contributions to multilateral policy-making, such as the United Nations Framework Convention on Climate Change (UNFCCC) negotiations. The guidelines helped in synthesising and reaching consensus on the first ever ASEAN submission for issues related to agriculture to UNFCCC's 44th Subsidiary Body of Scientific and Technological Advice (SBSTA 44), which was endorsed by AMAF.

The ASEAN Negotiators Group on Agriculture's SBSTA 44 submission responded to two calls from the UNFCCC: Identification of adaptation measures in agriculture (Submission C) and Identification and assessment of agricultural practices and technologies (Submission D). The CSA guidelines are explicitly mentioned in Submission C as an example of regional cooperation to address diversity in agricultural systems. The methods outlined in Volume I are outlined in Submission D as priorities for action.

Conclusion

This review of the usefulness of climate-smart land use guidelines in the implementation of ASEAN land use priorities at the national level shows mixed results. An observed weakness is that there are no documented extensive examples as yet on field programmes being implemented using any of the ASEAN guidelines covered by this report. Given that ASEAN governance differs from national and local governments in structure and time scales, integrating the guidelines into national plans and eventually creating extension programmes takes a long time (Interview 8, International Development Partner, 28 May 2020).

However, in some cases, as with the Insurance or RAI Guidelines, AMS have sought assistance from development partners to support implementation (Interview 9, Development Partner 2, 11 Jun 2020; Interview 5, Consultant 1, 16 Apr 2020). Project support after guideline endorsement is essential to immediately operationalise the guidelines.

Moreover, specific guidelines may become outdated in terms of technical innovation or regional priorities. In some cases, when they cannot be updated, the focus should no longer be on disseminating them but treating them as part of the historical process of reaching regional consensus.

The process of developing the CSA Guidelines has acted as a steppingstone for the region's promotion of climate-smart practices in the agriculture sector. In this case, the CSA Guidelines contributed to the formation of the successful ASEAN Negotiating Group on Agriculture and its first ever submission to the UNFCCC's processes (see Box 4).

Limitations in the use and usefulness of the guidelines in some ways reflect the ASEAN system and governance framework, as countries are not mandated to use the guidelines but rather choose to adopt the voluntary guidance available. The value of the processes, like the development of the guidelines, shows the unified approach among AMS to pursuing

a strategic perspective. These can also be reinforced by ASEAN strategies and frameworks and incorporated in implementation plans to ensure that strategies will be governed by common principles. Endorsing the guidelines can also contribute to shaping the agendas of AMS and their development partners by effectively outlining regional priorities.

The interviews highlighted several limitations to the monitoring and implementation of regional guidelines. Such limitations included unsystematic dissemination, lack of implementation and monitoring support (funds and personnel), competing priorities and limited examples of how policy-makers can best use the guidelines. However, the limitations were paired with ideas, recommendations and lessons learned, all of which will be outlined in this section.

While there are many opportunities to improve the implementation, monitoring and evaluation of regional guidelines, it is also important to reflect on the ultimate purpose of these tools. This analysis also revealed that guideline development, endorsement and dissemination can make an impact regardless of explicit implementation.

The drafting, endorsement and dissemination of the CSA guidelines facilitated valuable dialogues and discussions that cannot necessarily be displayed in tangible outputs. The development of the CSA guidelines also showed regional cooperation based on the two-year regional consultation. Other guidelines are based on successful knowledge exchange events and/or reflect regional priorities.

Nevertheless, ASEC and AMS continue to request support for monitoring and for these guidelines, however more systematic planning and better coordination is needed. There is a need to recognise policy tools that have been developed across different ASEAN working groups and the three ASEAN Communities.

Further development of guidelines should also reflect gender and social equality to ensure that the implementation of the guidelines will lead to fair and equitable outcomes ♦

Recommendations

I

In view of the foregoing discussions, we offer the following recommendations to ASEAN bodies, experts and government representatives involved in the development and implementation of guidelines. These recommendations are structured into four areas: 1) design, dissemination and awareness-raising, 2) implementation and monitoring, 3) funding, and 4) specific recommendations to ASEAN as represented by its Secretariat.

07.1

Design, Dissemination and Awareness-Raising

- a. Assess if guidelines are the most effective policy tool for the intended outcomes. Consider if other knowledge products like case studies or a policy brief would be more useful, especially for certain kinds of audiences such as top-level decision-makers.
- b. Consult among AMS and with ASEC the next time guidelines are requested to better understand the motivations and intended use of any new guidelines. Include goals and practical ideas for how the guidelines should be used once approved or endorsed by the respective bodies. If guideline implementation is a top priority, work with ASEC and/or development partners to secure funding and programming to provide support and improve external dissemination. Also consider how this policy tool relates to previous guidance and creates further synergies.
- c. When considering guideline development, see what other relevant guidelines, frameworks or other policy tools already exist and whether they can either be updated or extended. Existing guidelines should be considered when designing new guidelines and, if relevant to the content of the new guidelines, can be drawn on for coherence and to expand related ideas. Guidelines can also be cross-

referenced to provide increased clarity, avoid duplication and evade competing best practices.

- d. ASEAN-CRN, ASEC and ASEAN working groups or other decision-making bodies should regularly refer to the guidelines to address issues and keep potential users informed of their existence. As policy-makers move through the relevant working groups, it would be useful to have a ‘welcome pack’ ready for them with an overview of the policy tools available, a brief description of why the tools are useful and examples of their application. ASEAN-CRN could also develop a brochure or other suitable online communication materials highlighting the key information in the guidelines to serve as a roadmap for users.
- e. When an opportunity presents itself to respond to a particular issue, for example on the COVID-19 pandemic, ASEAN bodies and initiatives such as ASEAN-CRN should prepare an op-ed, blog or tweet responses highlighting where guidance can be found.
- f. Support focal points during dissemination of the endorsed guidelines by helping them come up with a communication plan.
- g. Existing guidelines tend to be text-heavy with monotonous layouts. Accessibility, readability and legibility of the guidelines should be considered to attract more users. Good practices for presenting information include a website explaining the RAI guidelines and a concise and actionable step-by-step style used in the insurance guidance providing clear advice for implementation. The ‘stories from the field’ section in the CSA guideline Volume II, for example, could have been an opportunity for creative graphics to be included to draw readers into the human stories being described in the text. Social media-friendly approaches such as short video clips could be used to disseminate guidelines.
- h. If guidelines are important tools for regional policy-making among ASEAN Member States, they could be rendered more accessible, e.g. through more prominent presentation on ASEAN websites, in ASEAN-CRN and similar networks and initiatives, or through dedicated platforms similar to the website of the RAI guidelines. The ASEAN website, for example, does not have a central repository and appropriate curation of guidelines for the FAF sectors.
- i. In addition to offering technical guidelines, both ASEC and AMS should move towards more strategic policy-making when responding to ASEAN-wide issues by breaking down silos and contacting different sub-sectors to provide a more considered view

on the state of CSA in ASEAN, thus moving beyond an agronomic CSA approach.

- j. The ASEAN Multi-Sector Framework on Climate Change and Food Security

is a potential mechanism for promoting CSA practices, but it is currently being underutilised ♦

07.2

Implementation and Monitoring

- a. In order to be implemented effectively, relevant stakeholders must take ownership of the guidelines and they must be paired with a concrete implementation plan or roadmap as well as adequate funding.
 - b. A workable and suitable monitoring, evaluation and learning framework needs to be developed to assess regularly how guidelines are being used. If this is not possible, M&E should at least be built into existing sectoral frameworks within ASEAN by specifically asking how the different guidelines are used. Insight from M&E may be used to update or develop a follow-up guideline.
 - c. Development agencies and/or other relevant stakeholders could support AMS with an impact study on particular guidelines across sectors for comparison. Given interest in the guidelines' usefulness as an ASEAN sectoral policy tool to effect change at national level, an impact evaluation of the use of particular guidelines is instructive to dig deeper into how ASEAN knowledge products, represented by the guidelines, are being used nationally.
- This could include a survey, focus group discussions or key informant interviews of potential users.

- d. Suggest a mechanism for feedback.
This could be done using pilot activities with regular discussions with implementers to see what would be more helpful or how the guidance could be improved.

In addition, countries could follow up on implementation of the endorsed guidelines as a recurring topic in ASEAN Working Group meetings. This could contribute towards advice on making useful guidelines.

- e. Review other sectoral bodies to see if they have similar tools or guidelines or if they have transferable insights to learn from in designing climate-smart guidelines.

Other tools might include a plan of action, reference framework (e.g. ATWGARD, 2018a), marketing strategy (ASEAN Tourism Marketing Strategy 2017-2020), strategic plans, case studies, leaflets and toolkits (ASEAN self-assessment Toolkit).

- f. Advocate for more frequent intersectoral dialogue to bring together relevant sectoral bodies to talk about climate change and provide their own perspectives to further strengthen ASEAN's agenda on climate change ♦

07.3

Funding

- a. Funding is required to ensure nationwide implementation. The very limited number of implemented guidelines we encountered in this review were written when there was a dedicated initiative, often supported by a development partner, that could provide funding and personnel to apply the guidelines. However, as AMS are requesting and endorsing ASEAN guidelines, they should also reflect how they can support the implementation in their national context.
- b. Monitoring, evaluating and learning from the use of the guidelines at national levels need to be considered from the start, including how to include funding in ongoing or new initiatives. Unless this is done, information about the use of the guidelines will not materialise ♦

Successfully implemented guidelines, that are actively rolled out in AMS, usually have a project or programme supporting them, with clear funding, such as the ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestry (ASEAN RAI), which is being implemented by Grow Asia. See Box 3 for a discussion on the ASEAN RAI.

07.4

ASEAN Level

Given the plethora of guidelines and other policy documents, it might be wise to review the guidelines at Secretariat level to enable a system-wide reflection of their use. ASEC could lead a pilot study to evaluate the use of guidelines in its regional policy-making. A notable guideline from each pillar or sector could be selected for this review. This could be an opportunity for ASEC to take stock of its knowledge base, learn from the use of guidelines, understand their reach and use and identify potential gaps.

There might be best practices in different pillars or sectors that could be emulated by others. This could be a meaningful opportunity to come up with an ASEAN standard on guidelines and best practices on how to formulate them, which will achieve ASEAN's mission ♦

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Annexes

Annex 1 | List of Reviewed Guidelines and Their Objectives and Approaches

Guidelines	Objective	Approach	Content	Style
ASEAN Regional Guidelines for Promoting Climate-Smart Agriculture (CSA) Practices Volume I (2015)	<p>(1) to facilitate and formalise the exchange and sharing of knowledge and information on CSA Practices to enhance climate resilience and improve productivity in agricultural production (Guidelines for Regional Cooperation).</p> <p>(2) to promote the scaling-up and scaling-out of CSA practices and policies throughout the ASEAN region (Technical Guidelines on Scaling-up). These guidelines are based on selected CSA practices and experiences from the AMS level. They outline the enabling conditions necessary for scaling up these practices.</p>	<p>The document consists of three sections: the establishment of ASEAN-CRN, which includes the methodology and process of developing the guidelines; guidelines on regional cooperation and technical guidelines on good practices.</p> <p>The technical guidelines include five chapters describing different CSA practices: Stress Tolerant Maize Varieties, Stress Tolerant Rice Varieties, Agro Insurance Using Weather Indices, Alternate Wetting and Drying and Cropping Calendar for Rice and Maize. Each chapter provides a synthesis of technical issues, institutional and technical challenges, regional cooperation and mechanisms to address implementation.</p>	<p>Provides an overview of ASEAN-CRN.</p> <p>Describes the study which identified regionally important practices.</p> <p>Provides technical guidance for five CSA practices including a synthesis of technical issues, institutional and technical challenges, regional cooperation and mechanisms to address implementation.</p>	<p>Aim to serve as a tool for knowledge exchange; they are technical and text-heavy. The technical guidelines serve as a benchmark to AMS in developing specific CSA practices.</p>
ASEAN Regional Guidelines for Promoting Climate-Smart Agriculture (CSA) Practices: Volume II (2017)	<p>Does not state a specific objective but is framed as a follow-up to Vol. I and outlines four additional priority practices.</p>	<p>The document provides a brief introduction before detailing four CSA methods that are of particular interest to AMS and development partners, presented in four separate chapters. Each chapter includes a 'story from the field', benefits and challenges of the method, the roles of various stakeholders, how the method works, how AMS are already using the method and the potential for regional collaboration.</p>	<p>Provides technical guidance on four CSA practices. Each chapter explains the practice, how to implement it effectively and its status in ASEAN.</p>	<p>Technical guidelines that begin each section with 'stories from the field' to showcase impact. Each practice includes an overview, a 'how to' guide on the role of stakeholders and examples from AMS.</p>

Annex 1 | List of Reviewed Guidelines and Their Objectives and Approaches

Guidelines	Objective	Approach	Content	Style
10 Phases in Developing a National Crop Insurance Program: Guide Overview.	This is a 'step-by-step overview guide for prospective governments to consider before launching a national crop insurance program or to review for improving a current program' (p. 1).	The guidance presents 10 phases to developing a crop insurance programme. The guide is informed by lessons learned from national crop insurance programmes in Indonesia and countries in Africa, aiming to outline the many decisions that governments need to make when establishing such a programme.	Step-by-step overview guide for providing prospective governments with a list of key considerations before launching a national crop insurance programme or to review in order to improve a current programme. Provides information on a farmer survey in order better to understand the demand and need for agricultural insurance products.	Provides 10 phases in developing a crop insurance guideline; each step has concise information highlighting how each phase can be approached. The style is similar to a training manual.
ASEAN Public-Private Partnership Regional Framework for Technology Development in the Food, Agriculture and Forestry (FAF) Sectors (2017)	This framework aims to 'increase" collaborative investments in sustainable technology development, adoption and dissemination throughout whole value chain in the FAF sector in ASEAN' (p. 5).	The PPP Framework aims to contribute to the Strategic Plan for ASEAN Cooperation in Food, Agriculture and Forestry, 2016-2025 by increasing private sector participation and investments.	Provides an overview of the ASEAN regional PPP framework. Action plan to promote the implementation of the PPP framework in FAF sectors.	The guidelines are informational and provide a clear background to the role that PPP can play in the FAF sectors. The framework includes the policy and legal framework, roles and responsibilities, development and implementation, areas for cooperation, procedures and project development. The guidelines provide high-level policy advice.

Annex 1 | List of Reviewed Guidelines and Their Objectives and Approaches

Guidelines	Objective	Approach	Content	Style
The ASEAN Guidelines for Promoting Responsible Investment in Food, Agriculture and Forestry (2018)	<p>'The primary purpose of the Guidelines is to promote investment in food, agriculture and forestry in the ASEAN region that contributes to regional economic development, food and nutrition security, food safety and equitable benefits, as well as the sustainable use of natural resources.' (p. 5).</p> <p>The aim is to establish favourable conditions for responsible investment and to create a guiding framework for AMS.</p>	The RAI Guidelines are grounded in the Committee on World Food Security, Principles for Responsible Agriculture and Food Systems (CFS-RAI) and reflect the ASEAN context and priorities.	This document provides an overview of challenges facing the FAF sector, including food security, land rights, livelihoods, climate change, technical and institutional capacity and project failure. The guidelines are meant as tools to support implementation. Each guideline shows how responsible investment can contribute to different aims and how AMSs can achieve them.	This document is made up of 10 guidelines, each of which provides a recommendation on how AMS can consider implementing them. The recommendations are rather high-level and do not give technical guidance on how they can be implemented in practice. The guidelines are complemented by a description of the roles and responsibilities of other stakeholders and provide general investment aims and guidance on how AMS can achieve them.
AMAF's Approach to Gender Mainstreaming in the Food, Agriculture and Forestry Sectors (2018)	Aim to provide guidance on understanding and implementing gender-responsive policies and programmes, promote gender equality in FAF sectors, strengthen the capacity of different stakeholders on appropriate approaches to integrating gender in agriculture and climate change and promote gender-equitable research.	<p>Outlines AMAF's approach to gender mainstreaming sector-by-sector, outlining some of the constraints and issues that should be considered when formulating the Strategic Plans of Action (SPA) for each sector.</p> <p>Provides a regional strategy and action plan that includes an approach to capacity building.</p>	<p>These guidelines outline different sectors in agriculture/land use and provide potential constraints for women and what should be considered in policy-making.</p> <p>Provide a range of methods to engage relevant stakeholders and enhance target group capacities.</p>	<p>Gender issues are considered in relation to each sector and the implementation of sectoral ASEAN frameworks.</p> <p>The document provides an overview of the many challenges that gender mainstreaming presents and the framework provides high-level policy advice.</p>

Annex 2 | List of Food, Agriculture and Forestry Sector-related Guidance Documents for ASEAN Member States

The land use related guidelines discussed in this review are only a sample of guidance documents related to the Food, Agriculture and Forestry sector available to and endorsed by ASEAN Member States. This table provides an overview of other ASEAN documents as collected from the ASEAN Secretariat website. It is possible that other documents could have been missed as there is no central repository and appropriate system for curation of these documents on the website.

No.	Policy Intent	Year Published	Title	Subject/Theme
1.	Framework documents for the food, agriculture and forestry sector	2016	2016–2025 Vision and Strategic Plan for ASEAN Cooperation in Food, Agriculture and Forestry	Priorities and action plans in food, agriculture and forestry sectors for ASEAN food security
2.		2016	Plan of Action (POA) for ASEAN Cooperation in Forest and Climate Change (2016–2020)	These documents are the action plans in relevant sectors in line with the Vision and Strategic Plan for ASEAN Cooperation in FAF
3.		2017	Plan of Action (POA) for ASEAN Cooperation on Agricultural Training and Extension (2017–2020)	
4.		2016	Strategic Plan of Action (SPA) for the ASEAN Cooperation in Agricultural Research and Development (2016–2020)	
5.		2016	Strategic Plan of Action (SPA) for the ASEAN Cooperation in Agricultural Cooperative (2016–2020)	

No.	Policy Intent	Year Published	Title	Subject/Theme
6.	Framework documents for the food, agriculture and forestry sector	2016	Strategic Plan of Action for ASEAN Cooperation on Crops (2016–2020)	These documents are the action plans in relevant sectors in line with the Vision and Strategic Plan for ASEAN Cooperation in FAF
7.		2016	Strategic Plan of Action of the ASEAN SPS Contact Points (SPA – ASCP) (2016–2020)	
8.		2018	The ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestry	Investment promotion in food, agriculture and forestry sector for economic development, food security and sustainable resource use management
9.		2017	ASEAN Public-Private Partnership Regional Framework for Technology Development in the Food, Agriculture and Forestry (FAF) sectors	Collaborative investments, adoption and dissemination of sustainable technology development throughout FAF value chains corresponding to ASEAN Cooperation in FAF Strategic Plan Thrust 1
10.		2016	ASEAN Plus Three Cooperation Strategy on Food, Agriculture and Forestry (APTCS) 2016–2025	Promotion of sustainable forestry and agricultural practices for food security in ASEAN and its Plus 3 countries (Japan, Korea and China)

Annex 2 | List of Food, Agriculture and Forestry Sector-related Guidance Documents for ASEAN Member States

No.	Policy Intent	Year Published	Title	Subject/Theme
11.	Food sub-sector specific guidance documents Agriculture and Forestry sub-sector specific guidance documents	2015–2020	ASEAN Integrated Food Security (AIFS) Framework and Strategic Plan of Action on Food Security in the ASEAN Region (SPA-FS) 2015–2020	Strategic plans for long-term food security through emergency/shortage relief, sustainable food trade, integrated food security information systems, agricultural innovation, including land conversion and nutrition-enhancing agricultural development
12.		2011	ASEAN Plus Three Emergency Rice Reserve Agreement	Cooperation to sustain food security to alleviate poverty and eradicate malnourishment in the ASEAN +3 countries (+ China, Japan and Korea)
13.		2017	ASEAN Regional Guidelines on Food Security and Nutrition Policy	ASEAN Regional Guidelines on Food Security and Nutrition Policy
14.		2017	ASEAN Guidelines on Soil and Nutrient Management	Policy recommendations and sustainable practices to maintain and improve soil productivity for IFS-SPA-FS towards 2025 implementation

No.	Policy Intent	Year Published	Title	Subject/Theme
15.	Food sub-sector specific guidance documents Agriculture and Forestry sub-sector specific guidance documents	2014	ASEAN Standard for Organic Agriculture	Standard for organic agriculture, including crops, and initiatives to promote and implement it
16.		2018	Good Agricultural Practices for the production of good quality cacao beans in the ASEAN Region	Reference tool for farmers to produce safe, high quality and sustainable beans
17.		2018	ASEAN Multi-Sectoral Framework on Climate Change: Agriculture and Forestry Towards Food and Nutrition Security and Achievement of SDGs (Proposed Integrated Framework for AFCC Component 4)	Strategy and roadmap for cross-sectoral, interministerial & interdepartmental coordination for climate change, food security & SDGs
18.		2018	ASEAN Roadmap for Enhancing the Role of Agricultural Cooperatives in Agricultural Global Value Chains 2018–2025	Cooperation on the enhancement of the regional agricultural sector in global agricultural value chains
19.		2018	Criteria for the Establishment of Work Priorities for the Development and Revision of ASEAN Standards for Horticultural Produce and Other Food Crops (Adapted from the Codex Procedural Manual)	Work priorities and new revision of ASEAN Standards for horticultural and other food crops in reference to Codex Standards

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No.	Policy Intent	Year Published	Title	Subject/Theme
20.	Food sub-sector specific guidance documents Agriculture and Forestry sub-sector specific guidance documents	2016	Strategic Plan of Action for ASEAN Cooperation on Forestry (2016–2025)	Seven Strategic Thrusts on forestry to promote regional inter- and extra-trade and increase private investment
21.		2016	Plan of Action (POA) for ASEAN Cooperation in Social Forestry (2016–2020)	SPA for ASEAN Cooperation on respective matters
22.		2016	Plan of Action (POA) for the ASEAN Cooperation in Forest and Climate Change (2016–2020)	
23.		2016	Plan of Action (POA) for ASEAN Cooperation on Forest Management (2016–2020)	
24.		2016	Plan of Action (POA) for ASEAN Cooperation in Forest Products Development	
25.		2017	ASEAN Criteria and Indicators for Sustainable Management of Tropical Forests	Framework definition of sustainable forest management
26.		2016	Work Plan for Forest Law Enforcement and Governance (FLEG) in ASEAN, 2016–2025	Sustainable forest management governance for trade promotion

No.	Policy Intent	Year Published	Title	Subject/Theme
27.	Fisheries sub-sector guidance documents	2015	Guidelines on ASEAN Good Aquaculture Practices (ASEAN GAqP) for Food Fish	Harmonisation of GAqP in the region to enhance fishery products' safety and quality
28.		2016	Strategic Plan of Action on ASEAN Cooperation on Fisheries (2016–2020)	ASEAN Cooperation in Fisheries

Annex 3 | List of Interviewees

INTERVIEW 1 | ASEC Staff, 1 Apr 2020

INTERVIEW 2 | AMS 1, 8 Apr 2020

INTERVIEW 3 | AMS 2, 9 Apr 2020

INTERVIEW 4 | Development Partner 1, 10 Apr 2020

INTERVIEW 5 | Consultant 1, 16 Apr 2020

INTERVIEW 6 | ASEAN Media Practitioner, 17 Apr 2020

INTERVIEW 7 | Consultant 2, 20 Apr 2020

INTERVIEW 8 | International Development Partner, 28 May 2020

INTERVIEW 9 | Development Partner 2, 11 Jun 2020



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