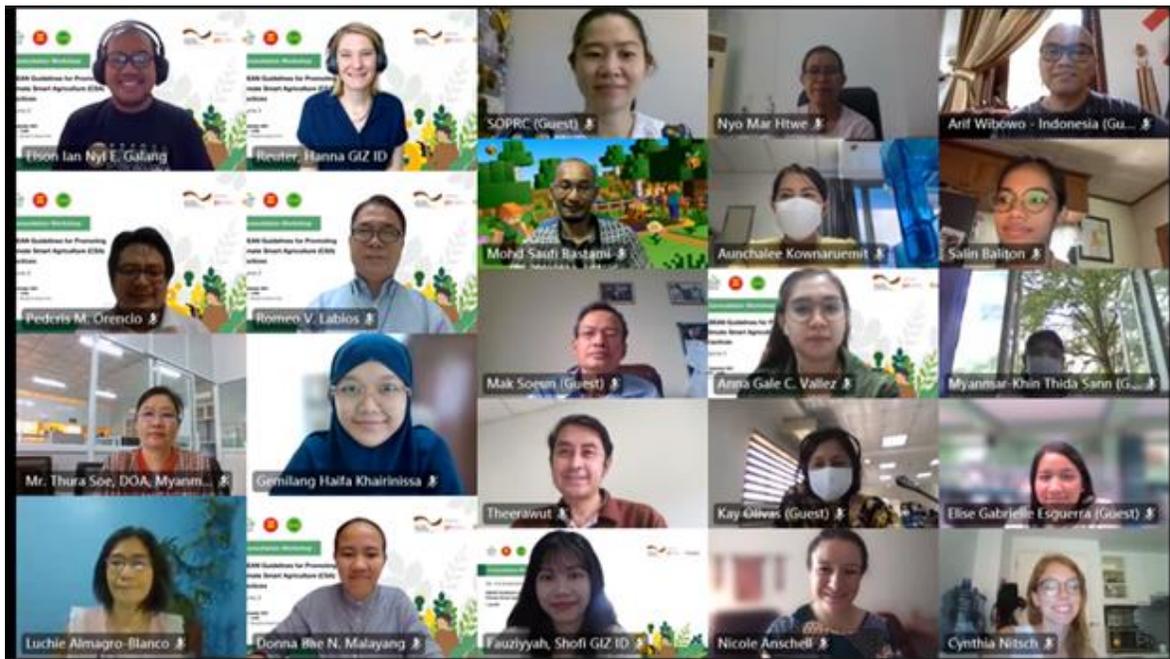


CONSULTATION WORKSHOP EVENT SUMMARY

ASEAN Guidelines for Promoting Climate Smart Agricultural (CSA) Practices Volume III and Implementation Framework

September 23, 2021



Group photo of some meeting participants. (Photo: GIZ/Shofi Fauziyyah)

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List of Abbreviations

ACRF	ASEAN Comprehensive Recovery Framework
AMAF	ASEAN Ministers on Agriculture and Forestry
AMS	ASEAN Member States
ASEAN	Association of Southeast Asian Nations
ASEAN CRN	ASEAN Climate Resilience Network
ATWGARD	ASEAN Technical Working Group on Agriculture Research and Development
CASA	Climate-Smart Agriculture Systems-Level Approach
CBFM	Community-based Forestry Management
CSA	Climate Smart Agriculture
CSLU	Climate Smart Land Use
CS-MAP	Climate-Smart Mapping and Adaptation Mapping
CSV	Climate-Smart Villages
DSR	Direct Seeded Rice
FAF	Food, Agriculture, and Forestry
GACSA	Global Alliance of Climate-Smart Agriculture
GDP	Gross Domestic Product
GHG	Greenhouse Gas
LEAPS	Low Emission Animal Production System
MARDI	Malaysian Agriculture Research and Development Institute
SEARCA	Southeast Asian Regional Center for Graduate Study and Research in Agriculture
SME	Small and Medium Enterprises
SOM-AMAF	Senior Officials Meeting on ASEAN Ministers on Agriculture and Forestry

I. Background

In 2020, the ASEAN Comprehensive Recovery Framework (ACRF) and its associated Implementation Plan were endorsed to provide guidance to ASEAN Member States (AMS) on building back better from the impacts of the COVID-19 pandemic. The ACRF indicated how Climate-Smart Agriculture (CSA) could be a critical and sustainable response to the challenges posed by this pandemic. As a reaction, the ASEAN Climate Resilience Network (ASEAN-CRN) initiated the development of the third volume of the ASEAN Regional Guidelines for Promoting CSA, which will highlight the latest trends in CSA and provide recommendations on how to advance CSA in the region. It complements the existing guidelines volumes [1](#) and [2](#).

The process is being supported by the “Climate-Smart Land Use in ASEAN” (CLSU) project financed by the German Federal Ministry for Economic Cooperation and Development (BMZ) and implemented by GIZ, with contributions from the Southeast Asian Regional Center for Graduate Study and Research in Agriculture (SEARCA).

To kickstart the development process of the third volume, the first regional consultation workshop was held virtually last July 7, 2021. The outputs and outcomes of the workshop underlined two things: (1) there is a need to identify the assessment guidelines and implementation principles for CSA adoption and practices, and (2) it is important to look at CSA from a systems-level perspective. Documentation is available [here](#).

As part of the development process of the third volume, SEARCA in coordination with GIZ spearheaded a region-wide survey on relevant Systems-Level Approaches for CSA from August 5 to 25, 2021.

Based on the above activities (i.e., outputs of workshop and survey), SEARCA in coordination with GIZ prepared an annotated outline for the third volume that includes chapters on (1) participatory approach in prioritization of CSA practices, (2) suggested principles for CSA promotion and adoption, (3) Systems-Level Approaches for CSA, and 4) partners, coordinating, and implementing institutions for CSA across scales .

With the ongoing development process, a second regional consultation workshop was hosted by the Malaysian Agricultural Research and Development Institute (MARDI), also acting as this year’s Chair of the ASEAN Working Group on Agriculture Research and Development (ATWGARD), on behalf of ASEAN-CRN.

Workshop objectives

1. To validate Systems-Level Approaches for CSA based on the regional survey;
2. To present the annotated outline of the third volume and collate feedback from the AMS; and
3. To determine national or regional policies for implementation and scale-up of CSAs in the region.

II. Participants

The meeting was attended by ASEAN-CRN members, national focal points from ATWGARD and other selected ASEAN sectoral bodies, representatives of development agencies, and research institutions. In total, the workshop was attended by approximately 52 participants from 8 ASEAN Member States (AMS) and 16 participants from other government agencies and development organisations.

The list of participants is attached in **Annex I**.

III. Workshop Summary

The final meeting program is attached as **Annex II**.

A. Opening Remarks

Dr. Mohd Shukri Bin Mat Ali, Director for Agrobiodiversity and Environment Research Center of the Malaysian Agriculture Research and Development Institute (MARDI), opened the event and welcomed the participants. He noted that the ASEAN-CRN and its partners have actively participated in developing several ASEAN policies, including the two earlier volumes of the ASEAN Guideline for Promotion of CSA, and are now working to develop the third volume which will expand and complement the earlier volumes. The third volume of the ASEAN Guideline for Promotion of CSA is expected to provide practical guidance to AMS on how to further enhance and scale-out their CSA practices.

Dr. Shukri summarized key outcomes of the first consultation and highlighted that the ASEAN CSA Guidelines will be part of a set of regional policy frameworks and tools, which contribute to distilling global, regional and national best practices for the benefit of all AMS. The ASEAN Guidelines for Promoting CSA will also serve as a reference for policymakers in developing and implementing relevant policies in relation to agriculture.

Lastly, Dr. Shukri extended his gratitude to the GIZ CSLU Project and the research team from SEARCA for sharing their expertise in developing the ASEAN Guidelines.

B. Introduction of Agenda and Reflection on First Workshop

Ms. Hanna Reuter of GIZ introduced the agenda and the program flow for the second consultation workshop. She then reminded about the topics discussed during the first consultation workshop that was held virtually on July 7, 2021 which were (1) the experiences with Volume 1 and 2 of the ASEAN Guideline for Promotion of CSA, (2) evolution and the emergence of shocks and stresses related to the climate change in the ASEAN, and (3) proposed strategies for CSA promotion and implementation in the region.

The consultation workshop report was circulated, which was then followed by the regional survey on CSA systems-level approaches that are currently implemented by the AMS. From the results of the regional survey and inputs from the first consultation workshop, the draft annotated outline for the third volume of the ASEAN Guideline for Promotion of CSA was developed.

C. Results and Analysis of the Regional Survey on Systems-Level Approaches for CSA

Mr. Elson Ian Nyl Galang of SEARCA recalled the two volumes of the ASEAN Guidelines published in 2015 and 2017, which featured different CSA practices. Volume 1 highlighted the stress-tolerant rice varieties, stress-tolerant maize varieties, agro-insurance using weather indices, alternate wetting, and drying, and cropping calendars for rice and maize. Meanwhile, Volume 2 focused on agricultural insurances, integrated framing, climate services, rice-shrimp farming. Volume 3 is expected to feature new practices in addition to those already included in the earlier volumes.

Following the first consultation workshop, wherein a call to showcase systems-level approaches to CSA was emphasized, Mr. Galang presented the suggestions for CSA Systems-Level Approaches (CASA) that could be featured in the volume 3. The research team defined CASA as “an integrated set of practices that increase productivity and incomes, enhance the resilience of livelihoods and ecosystems, reduce and remove greenhouse gas emissions across systems at the community level through multi-stakeholder participation.” The need for CASA emerged with the realization that Volume 1 and 2 focused on a single component or technology, and that in applying these in communities there is a need for integration in systems-level perspectives. It is also based on the realization that technologies and practices are interconnected and transcend value chains and food systems. Furthermore, CASA could translate to better achievement of the three pillars of CSA of i) sustainably increasing agricultural productivity and incomes, ii) adapting and building resilience to climate change, and iii) reducing and/or removing greenhouse gas emissions, while maximizing synergies and reducing trade-offs across various components.

SEARCA, in close coordination with GIZ, spearheaded a regional survey to solicit feedback and suggestions for CASAs. This survey was circulated across members of the ASEAN-CRN, ATWGARD, other ASEAN sectoral bodies, participants of the first consultation workshop, and experts from different research and academic institutions in the region. The survey was conducted from August 5 to 25, 2021, with SEARCA receiving a total of 37 responses.

Mr. Galang further explained that based on the outputs of the first consultation workshop, desk reviews, and expert consultations, SEARCA’s expert team was able to pre-identify three CASAs representing various forms of relevant systems. The pre-identified CASAs are:

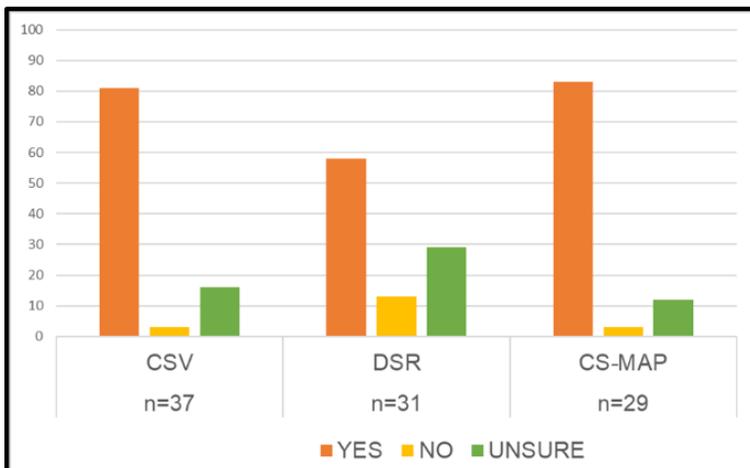
1. On agroecological systems: **Climate-Smart Villages (CSV)** which is an integrated set of CSA practices that are co-identified, co-developed, and co-implemented in the communities through participatory methods;
2. On the value chains: is **Direct Seeded Rice (DSR)** which is a crop establishment system wherein rice seeds are sown directly into either a dry or wet field mechanically or manually; and
3. On digital support system: **Climate-Smart Mapping and Adaptation Planning (CS-MAP)** which is a multi-stakeholder, multi-disciplinary development of risk maps and

production adaptation maps for seasonal and water-availability scenarios using ICT-based tools.

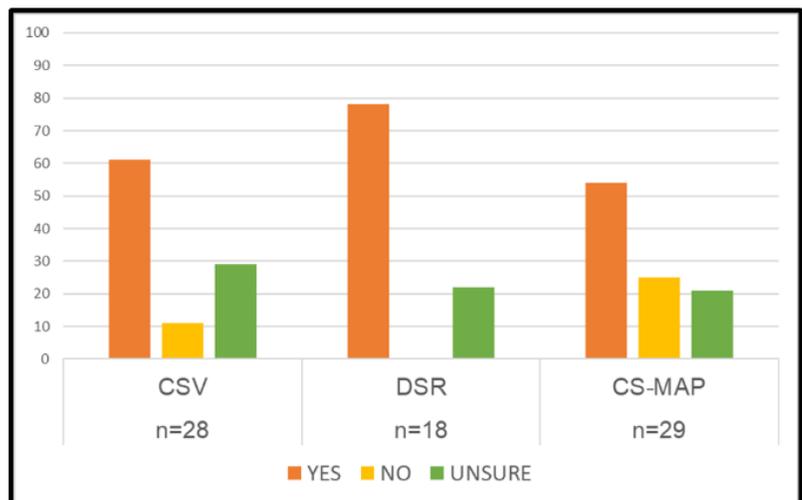
The regional survey asked about the status of these pre-identified CASAs and whether these CASAs should be included in Volume 3 of the ASEAN Guidelines for Promotion of CSA. Questions on the scale of the implementation, existing policies to support these CASAs, stakeholders involved, and its responsiveness to COVID-19 pandemic we included as well. Mr. Galang elaborated that the CASAs to be included in Volume 3 will highlight its contributions in response to the impacts of the COVID-19 pandemic, thereby contributing to the call of the ASEAN Comprehensive Recovery Framework.

The result of the survey encouraged the inclusion of CSV, DSR, and CS-MAP in Volume 3 of the ASEAN Guidelines for Promotion of CSA. Results showed that the three pre-identified CASAs are partly already being implemented among AMS, though at different scales.

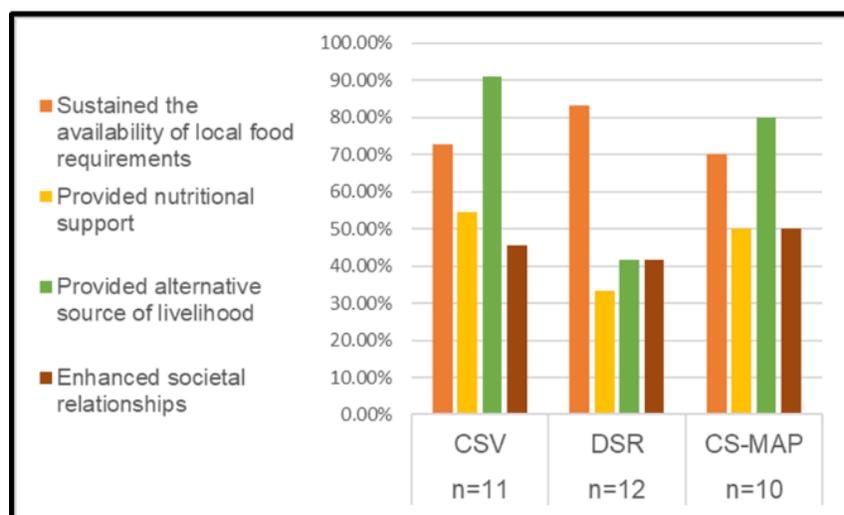
Would you **suggest including** the following Systems Level Approaches to CSA (CASA) in the ASEAN Guidelines for CSA Volume III?



Are the *CASA (or a related program)* **being implemented** in your country?



How did the CASA help communities to cope with the impacts of COVID-19?



Further, the survey revealed that all CASAs could help communities cope with the impacts of COVID-19, especially in sustaining local food requirements and providing them with alternative sources of livelihood.

Survey respondents also suggested a number of other potential CASAs. Some could be embedded in the three pre-identified CASAs (e.g. part of CS-MAP and other ICT-based digital support systems), others have already been included in Volumes 1 and 2, or describe overarching concepts such as sufficiency economy philosophy, climate-resilient agriculture, and climate-smart agriculture strategy.

One of the recurring recommendations in the survey was the inclusion of CASAs that would represent animal and forestry sectors. On animal systems, Mr. Galang identified the Low Emission Animal Productions Systems (LEAPS) that was highlighted in a recent workshop hosted by ASEAN-CRN and organized by GIZ and SEARCA. Meanwhile, Community-based Forest Management was identified as a forestry CASA.

The five CASAs which the research team to include in Chapter III of the third volume of the ASEAN Guidelines for Promotion and Adoption of CSA are therefore the following:

1. Climate-Smart Villages (CSV), on agricultural system
2. Direct Seeded Rice (DSR), on value chains
3. Climate Smart Mapping and Adaptation Planning (CS-MAP), on digital support system
4. Low Emission Animal Production System (LEAPS), on animal systems
5. Community-based Forest Management (CBFM), on forestry.

Chapter III shall contain the technical description, status and facilitating policies and programs, field/community operationalization, how it addressed the food system, contributions to the three pillars of CSA, contributions to the COVID-19 response, and references.

Discussion

Ms. Imeda Bacudo of ASEAN-CRN noted the introduction of the new term, CASA. She cautioned to introduce new terms and recommended to use established terminology and refer to food systems.

Dr. Mak Suoen of Cambodia suggested including information on aspects such as finance, governance, digitalization and innovation in support of CSA, resilient livelihood, and food systems. Dr. Suoen commended the introduction of CASA to promote resilient and inclusive growth of the agriculture sector and the economy. He also saw the need for the CSA practices to be more specific on how they contribute to the three objectives of CSA. He emphasized that governments need support for harmonizing approaches across sectors.

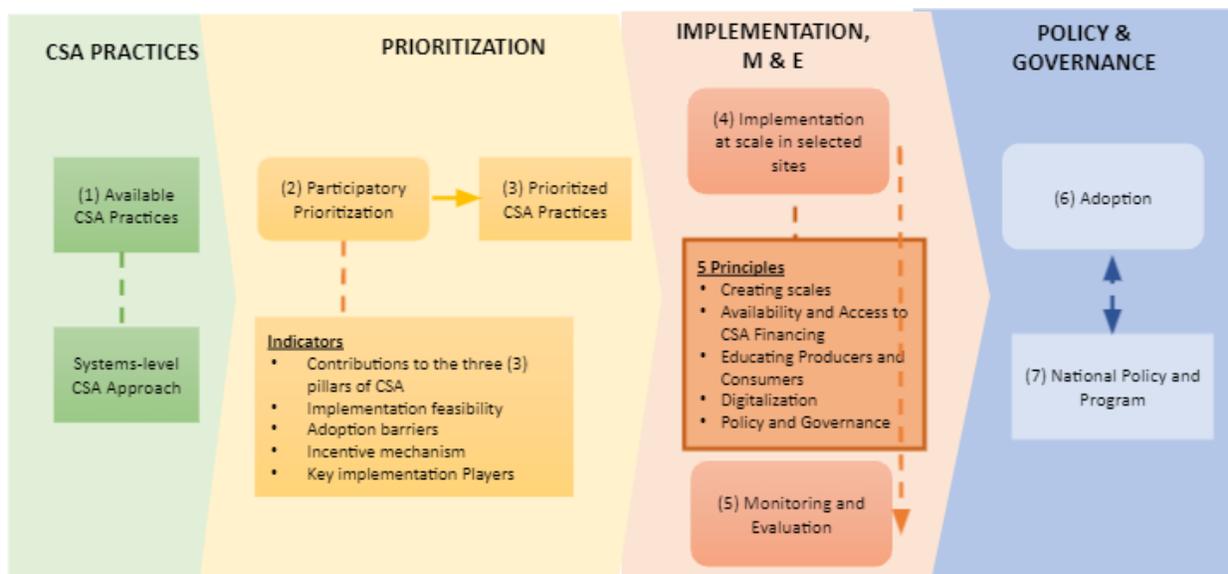
Dr. Margaret Yoovatana of Thailand supported that term CASA should be reconsidered in order to avoid confusion and highlight the continuation of Volumes 1 and 2.

In response to Dr. Suoen's intervention, **Mr. Galang** said that the contributions of these practices to the three objectives of CSA will also be included in the discussion of Chapters I and II. Mr. Galang also noted the feedback of Ms. Bacudo. He said that in defining CASA for operationalization of the research, they adopted the definition of food systems and built on the existing definition and contextualized the same in terms of CSA. He however assured that the research team will consult about the terminology again. The term CASA will be temporarily used across this workshop until the research time has revisited its use for the next drafts of documents and events.

To this, **Ms. Reuter** noted that the presentation was based on the result of the survey. The result of the survey is not the only source of information of the research team, and this is not the final point of this research endeavor.

D. Proposed Annotated Outline for the Third Volume of the ASEAN Guidelines for Promotion of CSA Practices

Dr. Romeo Labios of SEARCA explained that the volume 3 will help the AMS in enhancing and scaling-out of CSA programs. For this purpose, he introduced a stepwise process of prioritization and implementation principles for CSA promotion and adoption (*see Figure below*).



Stepwise process of prioritization and implementation principles for CSA promotion and adoption

Elements of this process will be elaborated further in the four chapters of the volume three, which are as follows:

Chapter I. Participatory Approach in Prioritization of CSA Practices

Chapter II. Five Suggested Principles for the Promotion and Adoption of CSA Practices

Chapter III. Selected Success Stories of Climate Smart Agriculture Systems-Level Approach (CASA)

Chapter IV. Partners, Coordinating, and Implementing Institutions for CSA Across Scales

Chapter I outlines a Participatory Approach of Prioritization which is based on the following indicators:

1. Assessment of CSA interventions
2. Assessment of Implementation and Feasibility
3. Assessment of Adoption Barriers
4. Assessment of Incentive Mechanisms
5. Assessment of Key Implementation Players

The assessment of CSA interventions is evaluated based on their contribution to enhanced productivity, climate risk reduction, and emissions reduction. Dr. Labios shared an example of a CSA assessment form which has several guide questions for each indicator against different CSA interventions. He explained that these indicators and templates can be modified depending on the specific needs of the implementation area. The methodology used is a multi-criteria analysis, technology ranking based on composite indicators.

The assessment of implementation feasibility evaluates the technical feasibility, cost of technology, inclusivity (gender friendliness), and synergy with government plans. The ranking of

CSA intervention implementation feasibility is based on a composite indicator, which utilized a multi-criteria analysis method.

The assessment of adoption barriers looks into finance availability, machine availability, farmers' knowledge, farmers' acceptance, labor availability, reliable water availability, government support access, extension service access, and market access. This assessment determines the external and internal constraints that affect the adoption of farmers and other stakeholders of CSA practices.

The assessment of the incentive mechanism evaluates the available subsidy, credit, capacity building, and market linkages. This evaluates the factors that affect the motivation of farmers and other stakeholders to adopt and replicate CSA practices.

The assessment of key implementation players looks, among others, at the government, custom hiring centers, youth-based advisory groups, women SHGs, FPOs, NGO, and private sector/retailer.

Chapter II covers the five principles that could help operationalize the promotion and adoption of the CSA systems level approaches in Southeast Asia. They are informed by the Philippine Strategies for Climate-Resilient Agriculture which was further refined after the first Regional Consultation Workshop and series of consultations. These principles are:

1. Creating Scales
2. Availability and Access to CSA Financing
3. Educating Producers and Consumers
4. Digitalization
5. Policy and Governance

Ideally, these five principles will help in full implementation of promotion and adoption of CSA practices. The five principles are all relevant and can be addressed individually.

Operational Question	Importance	If no, then... (example activities)
Principle 1: Creating Scales		
To obtain the full benefits of CSA, could this be implemented at large scale?	Having bigger scales of groups of farmers with clustered and consolidated farms under CSA would translate to volume of production leading to better quality produce and higher negotiating powers.	Strengthen farmer organizations through education and capacity-building Incentivizing cooperatives
Principle 2: Availability and Access to CSA Financing		
Is there available financing for implementation of the CSA Practice?	Having availability and access to CSA financing at multiple levels (i.e., local to international) would lead to better investments by more stakeholders, addressing multi-dimensional challenges of food, nutrition, livelihood	Institutionalizing financial schemes among government banks and other financial institutions Creating special credit facilities or systems by government and private entities Operationalizing the ASEAN Guidelines on Promoting Responsible Investment in Food,

Operational Question	Importance	If no, then... (example activities)
	insecurities, and poverty reduction.	Agriculture and Forestry and 10 phases in Developing a National Crop Insurance Program Guide across AMSs
Principle 3: Educating Producers and Consumers		
Do producers and consumers have up-to-date information on the CSA practice?	Having producers who have up-to-date information on CSA practice would cultivate their agri-preneurial skills, climate-ready business mindset, and access to market information while increasing consumers' informed decisions would influence them towards more sustainable options.	Enhancing participatory approaches in the out-scaling of community-based CSA practices, focusing on entrepreneurial values and climate science Wider digital communication strategies with focus on climate, agriculture, and natural resource management.
Principle 4: Digitization		
Are there digital infrastructure or platforms that could foster climate-readiness and market competitiveness with the CSA practice?	Having digital infrastructure platforms that foster climate-readiness and market-competitiveness would catalyze Agric 4.0 with faster, wider-reached, and up-to-date informed producers, consumers, and policymakers/implementors.	Strengthening partnerships and joint programs with private communication service providers Operationalizing ASEAN Regional Guidelines on Promoting Digital Technology for Food and Agriculture Sector (upcoming) across AMSs
Principle 5: Policy and Governance		
Are there operationalized existing CSA policies for adoption and upscaling at local level?	Having local and national CSA policies would ensure operationalization and implementation of CSA practices	Strengthening inclusive and participatory policymaking by ensuring active engagement of women, youths, and indigenous peoples (please refer to AMAF's Approach to Gender Mainstreaming in the FAF Sectors) Enhancing academe-industry-government partnerships and collaborations (please refer to ASEAN Public-Private Partnership Regional Framework for Technology Development in FAF)

Dr. Labios also discussed monitoring and evaluation to ensure the implementation of the principles and as a system that should have tools for assessment. The monitoring and evaluation indicators shall be based on the actions required for the implementation of the principles. Other monitoring and evaluation systems for CSA could also be derived from FAO's [Monitoring and Evaluation Systems for Climate-Smart Agriculture](#).

Chapter III contains the five identified CASAs (see chapter C in this report).

Chapter IV describes the roles and responsibilities of various partners, as well as coordinating and implementing institutions for CSA in Southeast Asia from both the regional and local levels. Dr. Labios shared that advocating for systems-level approaches to CSA is a shared responsibility that involves different sectors from the government, financial and lending institutions, research and academe, agribusiness and industries, and civil society. Engaging and involving different

sectors in the planning and policymaking process is an important step to draw their support and commitment towards the shared goal of implementing CASAs in the region.

Discussion

Ms. Bacudo reminded that these CSA practices are already being implemented in different countries and commented that scaling up is not the only target of our actions especially considering the realities of the local circumstances. Ms. Bacudo also asked the research team if they could look into the current work of Dr. Margeret Yoovatana to identify the good CSA practices from Thailand.

Dr. Suoen asked for clarification on whether the support for resilient infrastructure was included in any chapter of the ASEAN Guidelines. He also asked about digitalization and the inclusion of EWS such as remote sensing and drought forecasting. Noting the importance of remote sensing information in crop insurance programs.

Dr. Labios took note of the comments and suggestions raised by Ms. Bacudo. On the points raised by Dr. Suoen on the support for resilient infrastructure, Dr. Labios expressed his concern in including such, so instead, they decided to focus on technology and practices. Nevertheless, the research team will also reconsider this. On digitalization, Dr. Labios noted that it is already included in the CS-MAP that is currently being implemented in Vietnam.

Dr. Yoovatana added to the discussion about the FAO project she is working on. The project aims to propose an investment portfolio for private sector engagement for the implementation on the ground. She highlighted the importance of policy recommendations in the third volume of the ASEAN Guidelines to guide operationalization and implementation on the ground and to reach the farming communities. Dr. Yoovatana suggested the showcase of success stories of local communities of their adoption of CSA practices.

E. Policy Landscape for Climate-Smart Agriculture in ASEAN

Dr. Pedcris Orencio of SEARCA started the discussion by recalling the objectives of CSA, which are to ensure high productivity, increase resilience to climate change, and minimize GHG emissions. CSA is an approach to respond to climate change and climate variability while providing food security and climate change adaptation and mitigation. It employs specific practices and technologies across various scales of the agricultural system. CSA also follows a coherent policy framework across systems to support the implementation of strategies and programs.

Dr. Orencio touched upon the different turning points of CSA through the analysis of CSA-related publications across time. It was observed that since 2011, publications related to CSA have increased drastically. Dr. Orencio noted the Hague Conference on Agriculture, Food Security, and Climate Change in 2010, CSA Sourcebook in 2013, Global Alliance on Climate-Smart Agriculture (GACSA) at the UN Climate Summit in 2014, Paris Agreement in 2015, and the Agenda 2030 and UN Sustainable Development Goals also in 2015 to have greatly influenced the development and adoption of CSA.

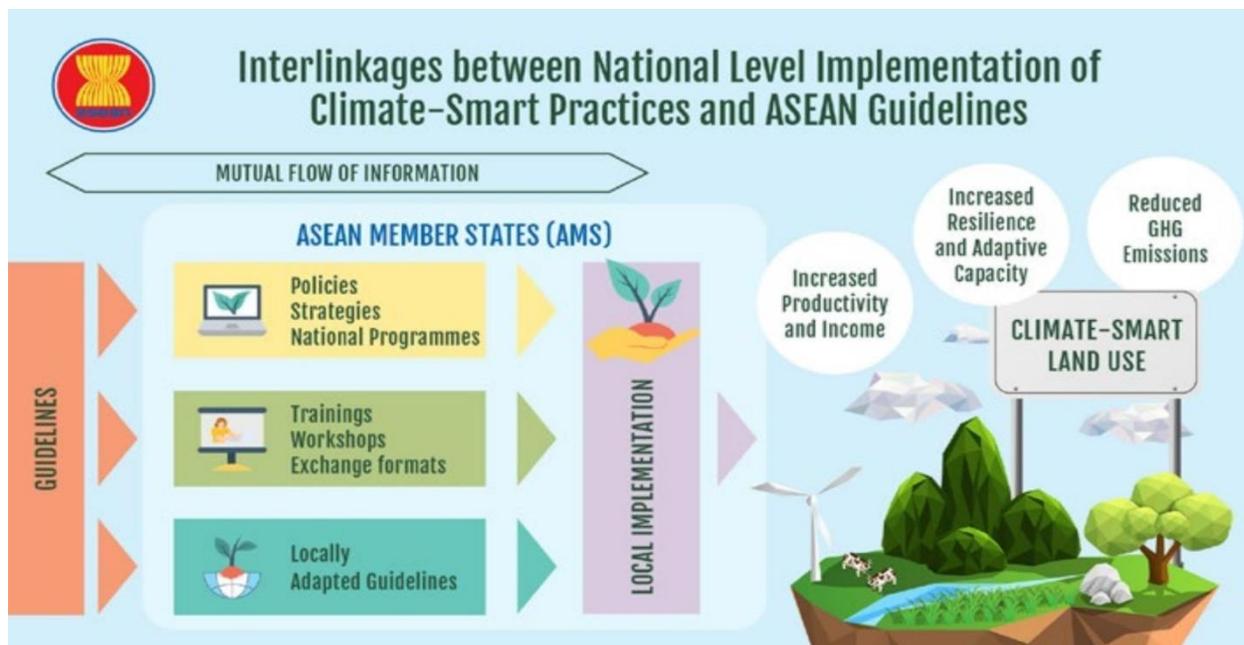
Strategic Thrust 4 of the ASEAN Cooperation on Food, Agriculture, and Forestry (FAF) aims to increase resilience to climate change, disasters, and other shocks and address the adverse impacts of climate change by promoting appropriate agricultural practices. There are two relevant outputs under this strategic thrust.

First, for CSA to be implemented according to the ASEAN Guidelines on Promotion of CSA Practices and for regional initiatives to be supported by climate change finance mechanism. Its expected outcomes include the (1) reduced losses and enhanced resilience in agricultural production, yield, and income, (2) decreased rate of depletion and enhanced stock and quality of natural capital, and (3) number of ASEAN climate change projects successfully accessing the relevant climate change funds. Among the key performance indicators of this strategic thrust include the contributions of the agricultural sector of the Intended Nationally Determined Contributions, percentage of agriculture in GHG emission in ASEAN, and percentage of adjusted net savings of the gross domestic product.

Second, for the guidelines to integrate the gender dimension and marginalized groups to reduce their vulnerability to natural disasters and climate change. It is expected to improve the livelihood of women and marginalized sectors in agriculture and forestry sectors and improve the socio-economic protection indices for women and marginalized sectors after natural disasters and other shocks. The key performance indicators of this output are (1) percentage increase in employment and percentage share of income of women and marginalized sector in the agriculture and forestry sector, and (2) number and type of initiatives targeted to the protection of women and marginalized sectors after natural disasters and other shocks.

On AMS country performance, Dr. Orencio noted that the gross domestic product shares of agriculture are declining, which can be attributed to the lack of progress in the sector in terms of economic development but is in fact positive sign of the rapid agricultural transformation in ASEAN to which at some extent require the adoption of CSA practices. However, according to Dr. Orencio, this still requires more study which the region needs moving forward as it defines CSA contributions. Furthermore, it was observed across sectors that female agriculture workers earn less. The earning of female agriculture workers ranges for around 70-80% than of the male earnings.

Dr. Orencio talked about the ASEAN Guidelines on CSA. In particular, he noted on the potential of the guidelines to contribute to the resilience of the AMS. AMS can reflect content of the guidelines when (1) developing policies, strategies, and national programs, (2) conducting training, workshops, and exchange formats, and (3) adapting local guidelines. All of these contribute to the three objectives of CSA which are increased productivity, increased resilience, and reduced GHG emissions.



Dr. Orencio also noted on cross-sectoral complementarities and referred to other relevant guidelines such as the ASEAN Guidelines for Agroforestry Development, ASEAN Guidelines on Promoting Responsible Investment in Food, Agriculture and Forestry (FAF), ASEAN Public-Private Partnership Regional Framework for Technology Development FAF Sectors and AMAF's Approach to Gender Mainstreaming in the FAF Sectors.

All these guidelines can be found here: [ASEAN Guidelines Archives - ASEAN-CRN](#)

On regional governance, Dr. Orencio presented the organizational structure of the ASEAN under the leadership of the ASEAN Ministers on Agriculture and Forestry (AMAF) and SOM-AMAF. Dr. Orencio noted that the sectoral directorate continues to provide secretariat support to different bodies and groups. Related to climate governance the remarkable contribution of ASEAN-CRN was highlighted for facilitating collaboration and consensus-building.

Technically, around the world around 70 CSA options have been identified with varying orientations and entry points. In SEA, a few illustrative examples include switching to resilient crop varieties and modifying farming techniques in line with different climate conditions. But CSA has focused mostly on increasing productivity at 82 percent with 17.5 percent on adaptation and 0.5 percent on mitigation as per recent studies. So, technically there are a lot of opportunities for improving its contribution to adaptation and mitigation. In the NDC for instance, about 67% refer to agriculture-related adaptation or mitigation actions at 78%, but only less than 20% of the NDCs mention CSA.

On potential contributions, five sustainability elements were identified. These include (1) finance and investment of the government and the private sector, (2) capacity building of institutions to mainstream their existing roles and responsibilities, (3) IEC, advocacy sharing, and networking, (4) infrastructure such as ICT, digital infrastructure services, platforms, and technologies, and (5) research development.

F. Breakout Room Discussion

During the breakout session, workshop participants were divided into three groups, wherein they discussed about the chapters of the annotated draft of the ASEAN Guidelines for the Promotion of CSA Practices. Each participant had the chance to comment on two chapters.

The discussion on Chapter I. Prioritization of CSA Practices through Participatory Approach was facilitated by Dr. Romeo Labios. The guide questions for the discussion as follows:

1. *Are the indicators included in the assessment guide enough or are there any suggestions?*
2. *What are the steps or processes needed to implement the prioritization exercise?*

The discussion on Chapter II. Suggested Principles for the Promotion and Adoption of CSA Practice was facilitated by Dr. Pedcris Orencio. The guide questions for the discussion were as follows:

1. *Are the suggested principles included enough or are there any other suggestions?*
2. *What actions are needed to implement each principle?*
3. *How can we monitor and evaluate the suggested principles?*

The discussion on Chapter III Systems-Level Approach for CSA was facilitated by Mr. Elson Ian Nyl Galang. The guide questions for the discussion were as follows:

1. *Do you think the contents in the CASA description are enough or are there any suggestions?*
2. *Who could lead the development of describing each of the CASA?*

Dr. Labios presented the results of the discussion on Chapter I Prioritization of CSA Practices through Participatory Approach. The participants generally found that the indicators included in the assessment guide are already enough. A participant from Myanmar pointed out that the assessment guidelines focused only on the crop sector and thus, she suggested that attention should also be given to the livestock sector.

On the steps or process needed to implement the prioritization exercise, participants from Myanmar shared that participation of all stakeholders is crucial. In Myanmar, the different climate conditions must be well represented in community discussions. They also shared that they are organizing farmer training on climate-smart technologies in different agro-climatic zones. A participant from Malaysia shared their climate-smart approach, which considers the Agro-Zonation of Malaysia to determine the suitable crop for each area. Participants also raised the importance of understanding the composite indicators related to climate change adaptation such as the vulnerability, risk, and impact assessment. The government must also be capacitated to

develop interventions. Lastly, a participant from Indonesia suggested the development of a task force. He noted the importance of ownership, funding, and implementation process, as well as the harmonization of the ASEAN Guidelines with other existing policies.

Dr. Orencio presented the results of the discussion on Chapter II Suggested Principles for the Promotion and Adoption of CSA Practice. He said that the participants were in agreement that the suggested principles are comprehensive enough.

On **Principle 1: Creating Scales**, participants underscored while the intention is to develop scales, the existing practices must also be considered and ensure that the new scales are built upon these existing practices.

On **Principle 2: Availability and Access to CSA Financing**, the discussion revolved around the implementation of different financing options. Some of these are the Southeast Asia Multi-country, multi-year proposal being submitted to the Green Climate Fund's Readiness and Preparatory Support Programme. Participants saw the need to ensure the effectiveness of coordination, level of access of different stakeholders to fund the implementation of their CSA practices, and the amount of funds received. They also underscored the importance of increasing the level of involvement of farmer groups.

On **Principle 3: Educating Producers and Consumers**, participants noted that it must be seen from the food and supply systems perspectives. The key players contributing to these supply chains must be determined as well as their level of participation and factors that influence their level of participation. Access to climate risk information was also highlighted to increase response from the industry to support SMEs.

On **Principle 4: Digitalization**, participants noted that digital bonds and fast access to climate-related information and digital market tools are important. They also saw the need to ensure the non-disruption of e-commerce platforms to allow farmers to continue selling and marketing their produce through social media.

On **Principle 5: Policy and Governance**, participants said that guidelines on the national and sub-national level should be developed which aligns with the regional guidelines. There is a need for alignment and harmonization to avoid contradictions and to ensure the complementation of actions. It was also raised that implementing agencies should complement each other to lessen tradeoffs.

Ms. Rochelle Lapitan presented the results of the discussion on Chapter 3 Systems-Level Approach for CSA. On the question related to the description of CASA, participants said that there is a need to define the distinction of each CASA. They suggested that the technology and education systems approach, for example, climate change learning centers, can be added as a systems approach. Ecosystems approaches, investment, financial mechanism, and nature-based solutions should be clarified and find potential ways to be integrated in the discussions. In particular, a suggestion was made for that nature-based solutions as part of CASA must relate to CSA and ecosystem-based solutions and that attention must be given to the indicators.

A participant raised that fisheries, particularly aquaculture technologies, are often overlooked in the discussion of agriculture. In relation to that, CSA practices on coastal management resources could also be included. The discussion on fisheries could integrate ecosystem approach to fisheries management (EAFM), ecosystems approach to aquaculture management (EAAM), technical-based toolkits on EAFM and EAAM, and freshwater aquaculture (Periphyton-based freshwater aquaculture).

It was also suggested that the contributions of CASA to COVID-19 response can be highlighted through case studies.

On the question of the lead countries who will describe each CASA, participants suggested that Thailand and Vietnam could potentially take lead for Climate-Smart Villages. For Direct Seeded Rice System, the discussion could be led by the Philippines or Myanmar. While the description of Community-based Forestry Management can be an effort of Vietnam through ICRAF and CIFOR. . Participants were unable to identify who can lead the discussion to describe Low Emissions Animal Production System.

Discussion

On policy and governance, **Dr. Kyaw Kyaw** of Myanmar asked if there is any technical or financial support for the development of national and sub-national guidelines. He added that these national and sub-national guidelines should be in local languages.

Dr. Labios answered that their focus for now is the development of the ASEAN Guidelines and after it is finalized, it can be translated into local languages.

Dr. Suoen noticed that new - green management practices are missing in the identified CSA practices. He mentioned the ASEAN Integrated New Green Guidelines.

Dr. Dian Sukmajaya of the ASEAN Secretariat commented on the implementation saying that this should be part of and mainstreamed in the action plans of each relevant ASEAN working group because CSA is not limited to one working group. He noted that the sectoral bodies engage with different partners for supporting implementation initiatives, but emphasized the need for more support for promoting implementation of CSA across the region.

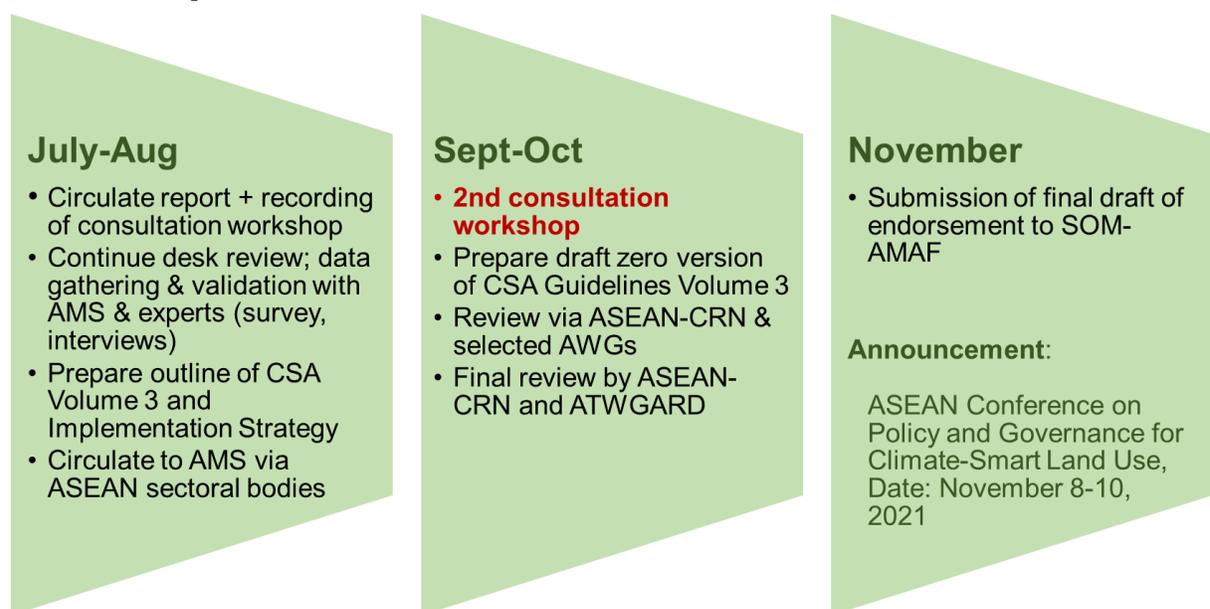
To which, **Ms. Reuter** added that the GIZ will continue to support the ASEAN-CRN. She highlighted the importance of networks such as the ASEAN-CRN who facilitate matchmaking between support needs and support sources.

Dr. Suoen added that Chapter III should also refer crop insurance practices. He shared that they have rural agricultural banks to make finance accessible to farmers, especially during the height of the COVID-19 pandemic. He suggested including financing, micro-finance institutions, and rural and agricultural development banks as part of green finance that might be relevant to M/SMEs.

B. Summary, Next Steps, and Closing Remarks

Ms. Hanna Reuter of GIZ recalled the first consultation workshop for the ASEAN Guidelines for Promotion and Adoption of CSA that paved the way for this second consultation workshop. She thanked the participants for attending the workshop. The documentation report will be circulated to the workshop participants together with relevant documents and information. The research team with SEARCA will work on revising the outline and start preparing for draft zero of the ASEAN Guidelines for Promotion of CSA Practices – Volume 3. For this, they will get in touch with selected experts and country representatives to gather more information on certain aspects and good practices. She noted that this document is expected to be circulated in October for review of ASEAN-CRN members and select ASEAN Working Groups. During the final round of revision, the CSLU project and research team will closely coordinate the ASEAN-CRN and the ATWGARD since they are the primary who will have the ownership of this document. Once the Volume 3 is finalized and endorsed by the ATWGARD, they will be submitted to the SOM-AMAF.

Next steps



Ms. Reuter also announced the ASEAN Conference on Policy and Governance for Climate-Smart Land Use, which will be held from November 16 to 18, 2021 (revised date). She informed the participants that further details will be communicated to them through email via the ASEAN Secretariat and ASEAN-CRN. During the event, there will be a reflection on different aspects of governance related to climate-smart, including an update on the progress of the ASEAN Guidelines for Promotion of CSA Practices – Volume 3.

Dian Sukmajaya of the ASEAN Secretariat gave his closing remarks and sent regards to the participants on behalf of Dr. Pham Quang Minh. Dr. Sukmajaya shared that the AMS aspires to develop a realistic implementation plan for the CSA Guidelines. He expressed the expectation that the Volume 3 will provide this sort of guidance. He noted that resource mobilization needs to

be optimized to support the implementation of CSA and to ensure that it is mainstreamed in different sectoral bodies under the ASEAN. Resource mobilization includes technical and capacity-building support.

Mr Sukmajaya thanked the GIZ organizers of the event and the research team from SEARCA. He is looking forward to reviewing the draft document which shall incorporate the comments from the AMS and other participants of this consultation workshop. He also said that the ASEAN Secretariat is committed to facilitating the approval and subsequent submission of this document to the SOM AMAF.

IV. Annexes

Annex I. Participants' list

Government Representatives

Brunei Darussalam – Department of Agriculture and Agrifood, Ministry of Primary Resources and Tourism

1. Mr. Mat Rusli Hj Abu Bakar
2. Mr. Hirman Hj Abu

Cambodia – Ministry of Agriculture, Forestry, and Fisheries

3. Dr. Mak Soeun

Cambodia – Rice Research and Training Office

4. Mr. Ith Vannarith

Indonesia – Ministry of Environment and Forestry

5. Mr. Arif Wibowo

Indonesia – Ministry of Marine Affairs and Fisheries

6. Ms. Erna Yuniarsih
7. Mr. Irham Adhitya
8. Mr. Alza Rendian
9. Mx. Hendri Kurniawan

Malaysia - Malaysian Agricultural Research and Development Institute (MARDI)

10. Dr. Mohd Saufi Bastami
11. Mr. Mohammad Hariz bin Abd Rahman
12. Mr. Mohd Aziz Rashid

Myanmar – Ministry of Agriculture, Livestock, and Irrigation (MOALI)

13. Dr. Kyaw Kyaw
14. Dr. Aung Moe Myo Tint
15. Dr. Khin Thida Sann
16. Dr. Nyo Mar Htwe
17. Mr. Thura Soe
18. Mr. Myint Zin Htoo
19. Mr. Nyunt Win
20. Dr. Pau Sian Kam
21. Dr. Hnin Thidar Myint
22. Ms. Thi Thi Soe Min

Philippines - Department of Agriculture

23. Mr. Richard Tabudlong
24. Ms. Marilyn Erana

25. Ms. Carmelita Fantilanan
26. Ms. Maria Abegail Albaladejo
27. Mr. Gabriel Adrian Sumague
28. Ms. Ada Korina Manalo-Togono
29. Ms. Caroline Ann. Rodero
30. Ms. Kay Olivas

Philippines - Department of Natural and Environmental Resources - Forest Management Bureau

31. Ms. Elise Gabrielle Esguerra
32. Ms. Laryln Faith Aggabao
33. Ms. Dianna Lanugan
34. Ms. Diana Quebral-Vinarao
35. Ms. Manny Lie Racelis

Thailand - Department of Agriculture

36. Dr. Margaret Yoovatana
37. Dr. Anuwat kumpeangkeaw
38. Ms. Theeraut Chutinantakun
39. Ms. Naruenat Chairungsee
40. Ms. Narachai Phosan

Thailand - Department of Fisheries

41. Ms. Auchalee Nongnoul
42. Mr. Arnon Yoramin
43. Ms. Jutarat Kittiwanch

Thailand – Office of Natural Resources and Environmental Policy and Planning

44. Ms. Chatchawan Genarkarn
45. Ms. Chompunut Songkaho

Thailand – Suratthani Oil Palm Research Center

46. Ms. Ratchanee Chatbanyong

Vietnam – Directorate of Fisheries

47. Ms. Nguyen Mai Huong

Vietnam – Department of Crop Production

48. Ms. Tran Thi My Hanh

Vietnam – Ministry of Agriculture and Rural Development

49. Mr. Le Thank Tung

ASEAN Secretariat

- 50. Dr. Pham Minh
- 51. Mr. Dian Sukmajaya
- 52. Ms. Gemilang Khairinissa

Development Agencies and Research Institutions

Asian Partnership for the Development of Human Resources in Rural Asia (AsiaDHRRA)

- 53. Mr. Florante Villas
- 54. Ms. Luz Angeles Almagro-Blanco

Food and Agriculture Organization

- 55. Mr. Lufingo Mwamakamba

International Institute of Rural Reconstruction (IIRR)

- 56. Dr. Julian Gonsalves

Stockholm Environment Institute

- 57. Ms. Nicole Anschell

GIZ

- 58. Mx. Vivi Octavianty
- 59. Dr. Patric Schlager
- 60. Mr. Lukas Waldmann

International Center for Tropical Agriculture – Asia Regional Office

- 61. Dr. Bui Le Vinh

Northern Mountain Agriculture and Forestry Science

- 62. Dr. Luu Ngoc Quyen

World Agroforestry Center

- 63. Mx. Pham Thanh Van
- 64. Ms. Le Thi Tam

Organizers

GIZ

- 65. Ms. Hanna Reuter
- 66. Ms. Aidella Fitra
- 67. Ms. Shofi Fauziyyah
- 68. Mr. Moch Taufiqul Mujib

Parabukas

- 69. Ms. Sophia Caralde
- 70. Ms. Denise Clare Fernandez

71. Ms. Rosalin Baliton

SEARCA

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Annex II. Agenda

Time	Topic	Speaker/ Facilitator
9:00	Opening Remarks	Dr Mohd Shukri Bin Mat Ali <i>Director for Agrobiodiversity and Environment Research Center, MARDI</i>
9:10	Introduction to Agenda and Reflection on the First Workshop	Ms. Hanna Reuter <i>GIZ</i>
9:20	Input: Results and Analysis of the Regional Survey on Systems-Level Approaches for Climate-Smart Agriculture (CASA)	Mr. Elson Ian Nyl Galang <i>SEARCA</i>
9:40	Discussion: What are the underlying reasons for the comparative trends across various CASAs as observed in the analysis of the Regional Survey conducted? What are the other CASAs that should be reflected in the Guidelines?	SEARCA, GIZ
10:00	Short break and group picture taking	
10:05	Input: Proposed Annotated Outline for the 3 rd Volume of the ASEAN Guidelines for Promotion and Adoption of the Climate-Smart Agriculture (CSA) Question and Answer	Dr. Romeo V. Labios <i>SEARCA</i>
10:25	Input: Policy Landscape for Climate-Smart Agriculture (CSA) in ASEAN	Dr. Pedcris M. Orencio <i>SEARCA</i>
10:35	Orientation on Breakout Room Discussion	
10:40	Breakout Room Discussion on Annotated Outline	SEARCA
11:40	Break	
12:00	Sharing and Commenting Results of Breakout Groups	All
12:50	Summary, Next Steps, and Closing	Ms. Hanna Reuter <i>GIZ</i> Dr. Pham Quang Minh <i>ASEAN Secretariat</i>