EN

ANNEX 3

Of the Commission Implementing Decision on the 2019 Annual Action Programme for cooperation with third countries to be financed from the general budget of the European Union

**Action Document for 'Security cooperation in and with Asia'**

1 **KEY IDENTIFICATION DATA**

<table>
<thead>
<tr>
<th><strong>Title of the Action</strong></th>
<th>Security cooperation in and with Asia</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Country/region/global</strong></td>
<td>Five pilot countries: India, Indonesia, Japan, Republic of Korea and Viet Nam</td>
</tr>
<tr>
<td><strong>Sector of intervention</strong></td>
<td>Maritime security, counter-terrorism, crisis management (peacekeeping/CSDP) and cyber security</td>
</tr>
</tbody>
</table>
| **Indicative budget** | Total: EUR 8 500 000  
EC contribution: EUR 8 500 000 (100%)  
Other contributions: NA |
| **Duration and target start date of implementation** | 48 months – September 2019 |
| **Method of implementation** | Indirect management with a Member State agency |
| **DAC code(s)** | NA |

<table>
<thead>
<tr>
<th><strong>Markers (from CRIS DAC form)</strong></th>
<th><strong>General policy objective</strong></th>
<th><strong>Not targeted</strong></th>
<th><strong>Significant objective</strong></th>
<th><strong>Main objective</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Participation development/good governance</td>
<td>☐</td>
<td>☑</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Aid to environment</td>
<td>☑</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Gender equality</td>
<td>☐</td>
<td>☑</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Trade Development</td>
<td>☑</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>RIO Convention markers</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Biological diversity</td>
</tr>
<tr>
<td>Combat desertification</td>
</tr>
<tr>
<td>Climate change mitigation</td>
</tr>
<tr>
<td>Climate change adaptation</td>
</tr>
</tbody>
</table>

| **Global Public Goods and Challenges (GPGC) thematic flagships** | NA |

1
2 RATIONALE AND CONTEXT

2.1 Action summary

The action aims to support the strengthening of the EU’s security engagement by supporting tailor-made cooperation with an initial set of five pilot countries (India, Indonesia, Japan, Republic of Korea and Vietnam), grouping together EU security-related efforts with the country concerned in particular in four areas: maritime, counter terrorism, crisis management (peacekeeping/CSDP) and cybersecurity. These areas respond to the EU’s interests and priorities agreed with Member States in the FAC conclusions and the identified partners’ needs. Partners could cooperate with the EU in one several or all these areas, at variable geometry, depending on shared or converging interests. It will be essential to continue to engage with counterparts in the targeted countries to further analyse needs and to identify opportunities for enhanced cooperation.

The project has three the components: 1. Support deeper and more operational security and defence dialogues with partner countries (“Support to Policy Dialogue” component); 2. Promote security cooperation and greater convergence between the policies and practices of the EU and the partner countries (“Cooperation and Capacity Building” component); and 3. Increase international awareness and acknowledgement of the EU as a security provider (“Public Diplomacy” component).

The action will contribute to the objectives set in the Global Strategy for the European Union’s Foreign and Security Policy, and will support the implementation of Council Conclusions calling on the EU to scale up its security engagement in and with Asia (May 2018) as well as the Council Conclusions on Women, Peace and Security (December 2018) determining gender perspectives to be integrated into all EU policies, including foreign and security policy and its aspects of conflict prevention and resolution as well as peace-building.

It is as much about doing more in Asia in the security field as it is about creating the conditions for alliance building aiming at doing more with Asian partners outside of the region in this area. In Asia, it will respond to the demand by the EU’s partners for greater engagement and it will help get a better overall balance between the economic and the political/security legs of the EU’s cooperation with Asia. It will also contribute to develop joint efforts with these Asian partners for peace and stability in other parts of the world, for example peacekeeping in Africa and the Middle East, and to agree on common approaches at the global level, for example norm building in the area of cybersecurity.

This action will show the EU’s capacity to match its goals with concrete and operational peer-to-peer cooperation and thus support increased international awareness and acknowledgement of the EU as a global security provider with a strong role to play in global affairs.

Finally, it aims to support the EU’s objective to become a full-fledged member of the ASEAN Defence Ministers’ Meeting Plus (ADMM+).

2.2 Background/Context/Rationale for FPI funding

Both the EU Global Strategy and Council Conclusions adopted in the Foreign Affairs Council of 28 May 2018 on “Enhancing EU Security Cooperation in and with Asia” underline the EU’s commitment to scale up its security engagement in and with Asia to better complement its economic reach. The Foreign Affairs Council Conclusions of 25 June 2018 also call for the development of a more strategic approach for EU partnerships on security and defence with third countries. Likewise, the FAC Conclusions on Counterterrorism of 19 June 2017 include South/East Asia as an additional priority region for engagement by the EU.

As noted in these Council Conclusions, the EU’s security engagement needs to become more concrete and operational to increase its value as a trusted security partner to Asian partners. The proposed action fully reflects the objectives set out in article 1 (2a) as well as article 1 (2d) of the PI regulation (EU) No 234/2014. The activity also reflects the objectives listed in article 1 (2b) and 1 (2c). Through a more coherent and better planned approach to Security in and with Asia, the proposed action is in line with article 3 of the PI regulation.
2.3 Lesson learnt

In recent years, the EU has increased its engagement on security issues in Asia with positive experiences to draw on. For example, the EU helped broker and implement peace deals in Aceh and Mindanao; it has provided funds for reconstruction and development of police forces in Afghanistan and Myanmar; it ensures the full implementation of UN sanctions against DPRK's nuclear and WMD programmes and complements them with autonomous sanctions; it has included several Asian countries in its CSDP operations, including the very successful ATALANTA and EUCAP Nestor missions in the Indian Ocean.

The EU has Strategic Partnership Agreements with RoK and Japan and also counts India and China as Strategic Partners in the region and is working towards adding the ASEAN to that group. It has held for years regular bilateral dialogues on cybersecurity and on CT; has run EU-ASEAN high-level dialogues on maritime security to exchange lessons learned, as well as CSDP and other security-related courses. Regular meetings take place between the EU and authorities of the five designated countries in the context of the ASEAN Regional Forum, where the EU is now co-chairing with Vietnam the next three year cycle of Intersessional Meetings on Maritime Security.

Since 1996, the Asia-Europe Meeting (ASEM) has been the principal forum for region-to-region dialogue and cooperation including on non-traditional security issues. Hence, many of the proposed actions are the continuation and deepening of existing dialogues, aimed at the implementation of more concrete and operational activities that complement, build upon and benefit from the lessons learned and experience gathered from previous and ongoing projects that have provided funding to security cooperation, in particular with Asian partners. These projects are detailed in section 2.5.

2.4 Coherence and complementarity

Full coherence and complementarity will be ensured with other EU funded actions under the Partnership Instrument, the Instrument Contributing to Stability and Peace (IcSP), as well as other DCI-funded project and EU Member State actions.

These include the following ongoing projects:

- Advancing the EU's role in multilateral fora in Asia (PI): aimed at ensuring a more active EU presence and engagement in all regional fora in Asia.
- EU Cyber Direct (PI), implemented with EU Institute for Security Studies (EUISS): supports EU cyber diplomacy efforts and consequently contributes to the development of a secure, stable and rights-based international order in cyberspace.
- EU Policy and Outreach Partnership projects in Asia: Indonesia and South East Asian countries (PI), aimed at enhancing and widening the understanding and visibility of the EU, its policies and guiding principles to create a conducive environment for deepening and strengthening the EU's political and economic relationship with these countries.
- Support to the Partnership and Cooperation Agreements (PCA) and Strategic Partnership Agreement (PI): Indonesia, Vietnam, Japan
- Support to Policy Dialogue Facilities (PI): India, Japan, Republic of Korea
- Cooperation with major economies for the implementation of the Paris Agreement (PI) - renamed externally with "Strategic partnerships for the implementation of the Paris Agreement (SPIPA)", (PI), implemented by GIZ.
- Support to Countering Violent Extremism in South East Asia: Thailand, Malaysia, Indonesia and the Philippines (IcSP), with UNDP.
- Europe’s New Training Initiative for Civilian Crisis Management - ENTRi (IcSP), implemented under the lead of the Centre for International Peace Operations (ZIF).
- European Police Services Training - EUPST (IcSP): The project focused on training police officers for stabilisation missions fostering interoperability and increasing harmonisation for crisis management operations.
- Enhanced Regional EU–ASEAN Dialogue Instrument, E-READI (DEVCO), aimed at supporting the implementation of the ASEAN Community blue prints, and sub-sequent plans.
- GLACY+ (DEVCO) implemented with the Council of Europe project and aimed at enabling criminal justice authorities to engage in international cooperation on cybercrime and electronic evidence based on the Budapest Convention on Cybercrime.
- Cyber4D (DEVCO): implemented with the Northern Ireland Cooperation Overseas (NICO), in consortium with UK FCO, Dutch MFA and Estonian RIA, and aimed at supporting and further facilitating the development of cyber resilience in partner countries while promoting an inclusive multi-stakeholder and rights-based approach and ensuring compliance with the rule of law and good governance principles.
- Cyber capacity building toolkit (DEVCO), implemented with EUISS. The project has produced a comprehensive practical framework to design and implement EU’s external actions in the field of cyber-crime and cyber-security the so-called “Operational Guidance for the EU’s international cooperation on cyber capacity building”.
- Strengthening Resilience to Violent Extremism in Asia (STRIVE Asia), a joint EU-UN partnership (DEVCO). The proposed action, to be implemented by UNOCT in cooperation with UNDP and UNODC, is expected to contribute to P/CVE in Central, South and Southeast Asia through a whole of society/multi-stakeholder approach including governments, security actors, civil society and the private sector.

2.5 EU added value

As stated by HRVP Mogherini “Europe and Asia have never been so close. Our economies are interconnected; our cultures are interconnected; and our security is connected: we face the same challenges, we confront similar threats, and we share an interest in preserving peace in our regions and international cooperation on a global scale.”

EU interest in this action stems from the increasing importance of Asian security for the security of EU citizens as well as the increasing role played by Asian partners on the global security stage. With increasing connections to Asia comes a higher vulnerability to Asian security problems. It is already important now to have strong relationships with Asian countries to address security challenges, and this will be increasingly so in the future.

In order to engage, to build alliances and to have influence, one needs to be able to contribute. The EU’s concrete contributions to Asian partners have lagged behind our expressed ambitions in dialogues. This action aims to help deliver on the EU’s promises, and by doing this, to strengthen relationships with Asian partners.

Cooperation with EU Member States is at the core of this project. Only by operating collectively but clearly under the EU flag can we make security cooperation in Asia and with Asian partners elsewhere in the world operational and sustainable, thus maximising our influence.

2.6 Cross-cutting issues

Rule of law, good governance, environment, human rights and gender equality and adhering to the highest standards of conduct, discipline and accountability are crosscutting issues for this project and will be directly targeted. The EU Strategic Approach to Women, Peace and Security (welcomed in the Council Conclusions of December 2018) gives new and specific tools for the integration of gender equality in all matters related to security and defence.
3 ACTION DESCRIPTION

3.1 Objectives

Against the background set out above, the overall objective of this action is to enhance the EU’s security and defence cooperation in and with Asia.

The specific objectives of this action, which constitute the components of the programme, are:

SO.1. To support deeper and more operational security dialogues with partner countries ("Support to Policy Dialogue" component);

SO.2. To promote greater convergence between the policies and practices of the EU and the partner countries ("Cooperation and Capacity Building" component);

SO.3. To increase international awareness and acknowledgement of the EU as a security provider ("Public Diplomacy" component).

The planned results of the action will be:

1. Enhanced engagement and advocacy through regular dialogues with key Asian partners on security topics of shared or converging interest.
2. EU and international standards and best practices are disseminated in the partner countries which incorporate them in the revision processes of their national strategies, and start discussing in regional organisations such as ASEAN.
3. Increased factoring in of the EU’s policies and strategies in the response to security threats and challenges faced by partner countries in the region and beyond.
4. Greater visibility and understanding of the EU’s contribution to security in the world and in and with Asia.

These results will be achieved by implementing the following indicative activities:

1. Information management, including the gathering and analysis of information on security related policies, capacities and relation of the partner countries. This will be based on in-house expertise and the use of the implementing agency's/consortium networks, as well as on consultation with EU Delegations, partner countries and stakeholders, and on feedback from discussions at global and regional level.

2. Support relevant research pieces, events and/or preparatory work for policy dialogues. This will include support to EU security-related dialogues with partner countries and regional/international security-related fora on Asia.

3. Organisation of informal dialogues (Track 1.5 or 2.0) with the targeted partner countries endorsed and/or driven by the EU.

4. Provision of mentoring, peer-to-peer exchanges of experience, best practices and cross-fertilization for the development and implementation of legislative frameworks, policies, guidelines and SOPs (including the transposition of international/regional policies and guidelines into national laws).

5. Advising and training (including train-the-trainer programmes and support to curriculum development) both in Europe and in-country to build-up and/or reinforce specific capacities in accordance with relevant international standards and EU best practices needed to face security challenges in the region and beyond.

6. Organisation of experts' exchanges, study visits, summer schools, workshops, thematic events and provision of technical assistance (both in terms of human and technological expertise).
7. Support participation in observation missions to EU CSDP missions and peacekeeping missions and operations.

8. Support participation in joint exercises.

9. Development of networks of practitioners and tools of interest and use at both national and regional levels.

10. Ensuring European participation in high-profile public events in Europe and throughout Asia.

11. Support to dialogues through side events, public outreach, or exhibitions to engage with non-governmental stakeholders, the academic sector, and the general public.

12. Production and dissemination of country targeted communication material illustrating the role of the EU as global security actor and promoter of peace, including in the different fields targeted by this action and the potential benefits for citizens and national security and development.

13. Support press relations around the events/study tours organized for key multipliers on EU cooperation on security.

The activities have to promote EU interests in the region and beyond and be coherent with and complementary to EU security and defence dialogues with targeted countries and regional structures in the region.

Thematically, the four key areas identified are: counter terrorism, cybersecurity, maritime security, and crisis management (CSDP and Peacekeeping Operations). Partners could cooperate with the EU in one, several or all these areas, at variable geometry, depending on shared or converging interests. Activities in other policies domains could be supported by the project based on identified needs and opportunities for enhanced cooperation with partners in Asia.

Human rights and gender perspectives and adhering to the highest standards of conduct, discipline and accountability are crosscutting issues and need to be explicitly included in relevant activities supported through this action.

In order to keep as much flexibility as possible, the expected results and indicative activities listed below are to be considered as overarching and fully adjustable to the needs identified in each country and the specificities of each thematic area.

### 3.2 Stakeholders

The present action has been designed to strengthen the EU’s security engagement in and with Asia by supporting tailor-made cooperation activities with some of its key Asian partners. It will focus on five partner countries, India, Indonesia, Japan, Republic of Korea and Vietnam, selected on the basis of the level of ongoing dialogues as well as potential for deeper engagement. As far possible, joint activities with two or more of the countries in scope will be promoted, including in an ASEAN/ARF/ADMM+ context. More partners (including Australia, China, New Zealand, Pakistan Singapore and Malaysia) could be included in specific activities of this action. A second phase, including other countries will be considered at a later stage, based on progress and lessons-learned from the activities carried out with the first five countries.

Stakeholders from EU institutions include the European External Action Service (EEAS), different Commission services and EU Delegations. Other EU stakeholders may include EU agencies and bodies operating in the security field (including EU Institute for Security Studies, EUROPOL, CEPOL, ENISA, EMSA, EFCA, Frontex and ESDC).

Stakeholders also include EU Member States, including governmental and state authorities and institutions (principally military and police as well as diplomatic missions) and domestic non-state actors such as academic institutions, think-tanks, the private sector, and civil society organizations engaged in cooperation activities with the respective partner countries.
Military stakeholders from EU Member States may be particularly pertinent for cooperation with other military actors in the field of CSDP/Peacekeeping operations.

Correspondingly, stakeholders from the partner countries may include governmental and state authorities and institutions (including police and military), and domestic non-state actors involved in security cooperation.

3.3 Risk assessment and management

<table>
<thead>
<tr>
<th>Risks</th>
<th>Risk level (H/M/L)</th>
<th>Mitigating measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of clear perception of EU as a security actor and security partner</td>
<td>M</td>
<td>Outreach to officials and public diplomacy activities to disseminate knowledge of EU activities and policies. Ensure clear coordination with EU Member States and develop a list of clear examples and potential benefits where Asian countries would profit from a partnership with the EU and its Member States.</td>
</tr>
<tr>
<td>Overlaps with projects from other donors</td>
<td>L</td>
<td>Informal coordination with other donors, including Member States, to avoid overlaps. Project design also introduces necessary level of flexibility to avoid overlaps.</td>
</tr>
<tr>
<td>Overlaps with existing EU-funded projects at national and regional level</td>
<td>L</td>
<td>Direct involvement of EEAS/Commission geographical desks and EU DEL correspondents ensures full knowledge of parallel EU-funded activities.</td>
</tr>
<tr>
<td>Changes in the priorities of partner countries and in our bilateral relationships</td>
<td>L</td>
<td>Project design introduces necessary level of flexibility to adapt to such changes by focusing on particular topics and/or by involving stakeholders from a wide spectrum.</td>
</tr>
<tr>
<td>Gender equality may be seen as an extraneous and non-relevant issue by implementing partners and if not explicitly included in specific initiatives may not be integrated to the degree needed.</td>
<td>M</td>
<td>Project design will be based upon gender analysis and all activities to coherently integrate a gender perspective in line with EU policy on women, peace and security. This will include funding for the gender analysis as well as engagement with civil society.</td>
</tr>
</tbody>
</table>

Assumptions

Sustained willingness of partner countries to engage with the EU as expressed in bilateral dialogues.
3.4 Communication and EU visibility

Communication and visibility of the EU is a legal obligation for all external Actions funded by the EU.

This Action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation.

Appropriate contractual obligations shall be included in, respectively, the procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action\(^1\), which came into force on 1 January 2018, shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

Public Diplomacy has been specifically identified as a specific objective (with expected results defined as R.3.1: Greater visibility and understanding of the EU's contribution to security in the world and in and with Asia, through clearly delineated activities (A 3.1.1. – A 3.1.4, see Annex 1).

4 IMPLEMENTATION ARRANGEMENTS

4.1 Method of implementation

**Indirect management\(^2\) with a Member State agency**

This action may be implemented in indirect management with an entity which will be selected by the Commission’s services following a call for Expressions of interest to all Members states launched on 3 December 2018, in accordance with article 62(1) of the EU Financial Regulation (EU, Euratom) 2018/1046.

Implementation through full recourse to EU and/or EU Member states’ structures, such as agencies, security forces, and other bodies is key to achieve concrete results on sensitive/political but also technical matters, and to ensure effective credibility, interest, and cooperation with the Asian partner countries. In this sense, the expectations of the partner countries as to the quality and type of EU stakeholders to partner with, and specific cooperation approaches (mil-to-mil, civilian, technical experts) must be taken into account when defining the activities and the scope of implementation for each one of the security areas.

The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and the Agence Française d'Expertise Technique Internationale, France, "Expertise France", both pillar assessed organisations, have shown interest to lead the project. There are ongoing discussions with these organisations and their respective Ministries of Foreign Affairs to agree who will take the lead and sign a Contribution Agreement with the Commission.

Both organisations (GIZ and France Expertise) have a solid presence both at country level and regionally and have developed contacts and cooperation in the security domain with Asian partners. The lead organisation will involve expertise from other Member states during the implementation of the activities to ensure a genuine and wide European character to this action.

The entrusted entity would carry out budget implementation tasks that may include support to policy dialogue, exchange of expertise and best practices, training and capacity-building, organisation of seminars/conferences/events, carrying out studies and analysis, awarding grants to implement specific thematic components and/or activities.

If negotiations with the identified Member State organisation fail, this action may be implemented in direct management as described below.

---

2. Article 154 FR - Selection of the entities entrusted with the implementation of EU funds in indirect management.
Changes from indirect to direct management mode due to exceptional circumstances

The project will be implemented through the direct award of a grant to one or a consortium of EU and Member State agencies. Indicatively, one grant contract will be signed.

Indicative timing: 3rd quarter 2019.

4.2 Indicative budget

<table>
<thead>
<tr>
<th>Method of Implementation</th>
<th>Amount in EUR million</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indirect management with a Member State agency</td>
<td>8.5</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>8.5</strong></td>
</tr>
</tbody>
</table>

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

4.3 Organisational set-up and responsibilities

The Commission will invite the lead organisation to work with other EU/Member states actors based on the outcome of the Call for Expressions of Interest mentioned in section 4.1. Involvement of EU and EU Member States structures is crucial to go beyond policy dialogue and get real impact, to achieve the best possible balance of expertise in the prioritized areas of intervention and to promote an EU collective approach that ensures the visibility of the EU as a global security actor.

The lead organisation and its consortium partners will establish a Steering Committee with EU institutions. The European External Action Service and the Commission will provide the requisite steering at a strategic level, ensuring complementarity with the EU official dialogues and political positions. In addition, country-specific liaison teams will be established to monitor country-level work plans. The country teams will work under the lead of the EU Delegations in the priority countries and will include an expert of the implementing agency/consortium, EU MS and the FPI Regional Team in Bangkok as well as thematic experts as needed.

4.4 Performance monitoring

The day-to-day technical and financial monitoring of the implementation of this Action will be a continuous process and part of the implementing entity’s responsibilities. To this end, the implementing entity shall establish a permanent internal, technical and financial monitoring system for the Action and elaborate regular progress reports (not less than annual) and final reports.

Every report shall provide an accurate account of implementation of the Action, difficulties encountered, changes introduced, as well as the degree of achievement of its results. The progress and final reports shall provide quantified and qualitative data in relation to the logical framework indicators which will include relevant indicators from the list of core and corporate indicators.

The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the Action. The final report, narrative and financial, will cover the entire period of the Action implementation.

---

3 www.sanctionsmap.eu Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.
The Commission may undertake additional Action monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

4.5 Evaluation and audit

For this Action, the Commission may carry out interim and/or final/ex-post evaluation(s) via independent consultants contracted by the Commission based on specific terms of reference.

Without prejudice to the obligations applicable to contracts concluded for the implementation of this Action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments.

As the “N+1” rule applies for contracting under this decision, external evaluations and audits, as well as additional external monitoring referred to under section 4.4. above, will be funded from sources other than those allocated to this specific Action.