



ASEAN Regional Forum at Twenty: Promoting Peace and Security in the Asia-Pacific

A Commemorative Publication for the 20th ARF

东盟地区论坛成立二十周年纪念册



 世界知识出版社
World Affairs Press




ASEAN Regional Forum at Twenty
— A Commemorative Publication for the 20th ARF



世界知识出版社

**A Commemorative Publication for
the 20th ASEAN Regional Forum**

东盟地区论坛成立20周年纪念册

 世界知识出版社

World Affairs Press

Foreword



The ASEAN Leaders Summit of 1992 called for positive responses to the ending of the Cold War, by widening and deepening the scope of the region's external relations. A particular emphasis was placed on security.

The first ASEAN Regional Forum, held in Bangkok two years later, was the ASEAN Ministerial Meeting's contribution.

The approach we adopted was new and imaginative. It reflected the special needs for security in a region that, until very recently, had been one of the most unstable areas in the world.

We recognized powerful differences in background, history, culture, beliefs, economic resources and political and social systems among those we sought to involve. We acknowledged the potential all these still had for confrontation among fellow ASEAN members and in their dealings with countries outside the region.

Above all, we sought a way to proceed in accordance with what had become known as "The Asean Way": respect for each other and recognition of one another's priorities, leading to constructive dialogue, exchanges of views and, wherever possible, consensus.

The result was not a "Conference," nor even a "Meeting". It was a "Forum", an essentially human process that offered us all a chance to understand one another, share thoughts and work together in whatever practical ways we could all agree upon.

It may have appeared modest at the time but that modesty has stood the test of rapidly changing

international affairs, new alliances, fresh crises and a technological revolution of a scale and complexity never before seen in our region.

We are now about to hold our twentieth annual forum and this is a cause for justifiable pride and considerable recognition. I send my profound respects to all fellow members.

HRH Prince Mohamed Bolkiah
Minister of Foreign Affairs and Trade
Brunei Darussalam
Chairman of the 20th ASEAN Regional Forum

Foreword



On the occasion of the 20th ASEAN Regional Forum (ARF), China and Brunei Darussalam have jointly produced this commemorative book to review the course of the ARF, take stock of its successful experience and present to the world its remarkable achievements and its important role in upholding peace and stability in the Asia-Pacific region.

The ARF was established at the initiative of ASEAN not long after the end of the Cold War. After two decades of development, it has become the most inclusive and influential security forum in the Asia-Pacific region and has developed a set of effective models and principles for dialogue and cooperation. The ARF has scored remarkable achievements in fostering new security concepts, including comprehensive security, common security and cooperative security, and in conducting practical cooperation on security. It has played a big part in boosting mutual trust among Asia-Pacific countries and building a harmonious regional environment. Given the diversity of the region and the complexity in relations among countries in the region, it is by no means easy to achieve these results. In fact, the ARF represents a new model of security dialogue and cooperation for countries in the Asia-Pacific and provides an important platform for benign interactions between big countries and between big countries on the one hand and small and medium-sized countries on the other in the region.

With changing situation in the Asia-Pacific, new security challenges have kept coming up and various initiatives on security dialogue have been proposed. In the face of new opportunities and challenges, it is imperative for the ARF to increase dynamism, raise efficiency and continue to grow. As the ARF enters its 20th year, we need to think deeply about its future course. Based on its founding purposes and successful experience, the ARF should make further efforts in the following three areas.

First, the ARF should take confidence building as its core mission. The ARF clearly defined its mission at the time of its inception. That is, the ARF is a forum to promote dialogue, enhance

cooperation, bridge differences and build constructive relationships among countries. For years, it has played a significant role in building up mutual understanding and mutual trust among its members. But mutual trust is still far lacking among countries in the Asia-Pacific due to historical and practical reasons and the ARF still has a long way to go in building up mutual trust. We cannot afford to be complacent of what has been achieved or slacken our efforts. We need to realize that as long as all parties pursue dialogue, boost mutual understanding and build trust, it is possible to prevent and manage differences and problems and promote the growth of the ARF on the basis of consensus. Therefore, we should further explore the potential of the ARF, consolidate and deepen the confidence building measures (CBMs) and ensure that these measures run through the entire growth course of the ARF.

Second, the ARF should give priority to cooperation in non-traditional security. As globalization and regionalization gather pace in today's world, countries in the Asia-Pacific have become increasingly interdependent. While wars and other traditional security threats are noticeably subsiding, non-traditional security threats such as natural disasters, terrorism, transnational crimes and maritime security have increasingly become prominent security challenges to the region. Over the years, the ARF has made useful exploration on non-traditional security cooperation and yielded good results. The ARF should respond to the changing trend, give full play to its strength, continue to focus its cooperation on guarding against and addressing non-traditional security challenges in the region, deepen cooperation in disaster prevention and relief, combating transnational crimes and maritime security, and create new highlights.

Third, the ARF should uphold the principle of non-interference. The principles that the ARF has developed over the past 20 years, such as mutual respect, dialogue on an equal footing, non-interference in each other's internal affairs, consensus through consultation, incremental progress and accommodating each other's comfort level, reflect regional diversity, constitute a source of strength for the ARF and underpin its future growth. It is widely agreed that the ARF should build on the CBMs and, on that basis, gradually move to preventive diplomacy. In view of the great diversity in the region and different security concerns of the countries, we cannot simply copy the experience of other regions in conducting preventive diplomacy. Rather, we need to find a preventive diplomacy model that suits the reality of the region, conforms to the ARF Concept and Principles of Preventive Diplomacy adopted in 2001 and upholds the non-mandatory principle and the principle of non-interference.

China, an ARF founding member, has all along attached great importance to the ARF over the past 20 years and taken an active part in building up the ARF. China has advocated the new security concept of equality, mutual trust, mutual benefit and coordination, initiated the

ARF Security Policy Conference attended by senior military officials of ARF members, and organized more than 30 cooperation projects, thus playing a constructive role in the sound development of the ARF. China will continue to firmly support ASEAN's centrality in the ARF, work with other members for its further growth, and support the ARF in contributing more to regional peace and security and setting a good example for world security dialogue and cooperation.



H.E. Mr. Wang Yi
Minister of Foreign Affairs
the People's Republic of China
Co-Sponsor of the Commemorative Publication
for the 20th ASEAN Regional Forum

Message



It gives me immense pleasure, in my first year as the Secretary-General of ASEAN, to be able to contribute to this important publication, in celebration of the 20th Anniversary of the ASEAN Regional Forum (ARF).

Since its establishment on 25 July 1994, the ARF has grown in size and substance. Within two decades, the number of participants has grown from eighteen to twenty-seven currently. The ARF's broad spectrum of participants comes from some of the world's smallest countries to countries that are permanent members of the UN Security Council.

In terms of its evolution, the Forum has seen a gradual move from the confidence-building measures (CBMs) stage - the main focus of the Forum's activities to-date, to the preventive diplomacy (PD) stage, with conflict resolution being the ultimate stage. ARF cooperation is currently focused on the priority areas of disaster relief, counter-terrorism and transnational crime, maritime security, non-proliferation, peacekeeping operations and defence dialogue. In addition, the Forum has also been addressing a wide array of non-traditional security issues such as climate change, space security and cyber security.

To accommodate the expansion of its areas of cooperation, the number of ARF working mechanisms has also increased correspondingly over the years. Inter-sessional as well as expert group meetings have been established on the priority areas under the ARF's purview. Activities such as workshops, seminars and exercises involving government, both civilian and military, and non-government agencies have also been convened.

In order to provide effective institutional support to the ARF's growing area of work, an ARF Unit was established in the ASEAN Secretariat in 2004. The ARFNet has also been constantly improved to meet the increasing needs of the ARF participants in sharing information.

Being the first multilateral forum in the Asia-Pacific region to discuss political and security matters under its umbrella, the ARF can take pride in its many accomplishments. It has brought together the countries in the region, especially those who are not part of any other multilateral groupings outside the United Nations, to discuss political security issues in an environment that builds upon mutual trust and confidence. Additionally, the Forum provides a platform for countries with diverse and competing interests to create common ground for cooperation. Each ARF participant is able, and continues, to contribute in its own way to the evolution of the Forum.

Another advantage of this Forum is that all discussions are conducted in accordance with ASEAN’s principles of respect for amity and cooperation, sovereignty, equality, consensus and non-interference. This represents another hallmark of ARF, thus adding to its attractiveness and value.

These characteristics have supported and contributed to ARF’s achievements over the past twenty years. The Forum must now build upon these achievements to face increasingly complex challenges in the future. Maintaining ASEAN’s centrality and the relevance of the Forum amidst the proliferation of regional and sub-regional groupings in the Asia Pacific, are among the challenges that would need to be addressed. In the face of the increasing number of activities which overlap with other regional mechanisms, the ARF would also need to find its niche in order to maintain its relevance and add-value to the overall regional architecture. It is also well positioned to move steadily from policy discussions to include more practical concrete activities.

I hope ARF participants will continue to sustain their interest and commitment in this Forum into the future.

On this note, on the occasion of its 20th Anniversary, I wish the ARF still greater achievements in its deliberations.



Le Luong Minh
Secretary-General of ASEAN

Table of Contents

WRITE-UPS

1. A New Chapter in Regional Cooperation by Gillian Bird	3
2. ASEAN Regional Forum by Lim Jock Seng.....	5
3. ASEAN Regional Forum and Cooperative Security by FU Ying	9
4. The ASEAN Regional Forum and Asia-Pacific Security by Ali Alatas	11
5. The Progress of the ASEAN Regional Forum and its Group of Experts/Eminent Persons by Kadir Mohamad	15
6. The ASEAN Regional Forum after 20 Years by Chris Elder	19
7. Present at the Creation: Looking Back at the First ASEAN Regional Forum in 1994 by Suriya Chindawongse.....	23
8. The ARF Unit of the ASEAN Secretariat by the ARF Unit.....	27

PHOTO COLLECTION	29
-------------------------------	-----------

MILESTONE DOCUMENTS

1. The ASEAN Regional Forum: A Concept Paper (1995)	53
2. ARF Concept and Principles of Preventive Diplomacy (2001)	63
3. Enhanced Role of the ARF Chair (2001)	68
4. Co-Chairs’ Paper on the Terms of Reference for the ARF Experts/Eminent Persons (2001).....	71
5. Guidelines for the Operation of the ARF EEPs (2004)	73
6. A Concept Paper on Enhancing Ties between Track I and Track II in the ARF, and between the ARF and Other Regional and International Security Organizations (2006)	75
7. Terms of Reference of the Friends of the ARF Chair (2007)	79
8. ARF General Guidelines for Disaster Relief Cooperation (2007)	82
9. Singapore Declaration on the 15 th ARF (2008)	86

10. ARF Vision Statement (2009)	89
11. ARF Strategic Guidance for Humanitarian Assistance and Disaster Relief (2010) ..	92

AREAS OF COOPERATION

ASEAN Regional Forum Process

1. Hanoi Plan of Action to Implement the ARF Vision Statement (2010)	165
2. ARF Preventive Diplomacy Work Plan (2011)	175

Disaster Management and Humanitarian Assistance

1. Developments in ARF Cooperation on Disaster Relief	178
2. ARF Work Plan on Disaster Relief (2012)	182

Counter Terrorism and Transnational Crime

1. Developments in ARF Cooperation on Counter-Terrorism and Transnational Crime...	200
2. ARF Work Plan on Counter-Terrorism and Transnational Crime (2011)	202

Maritime Security

1. Developments in ARF Cooperation on Maritime Security	217
2. ARF Work Plan on Maritime Security (2011)	219

Non-Proliferation and Disarmament

1. Developments in ARF Cooperation on Non-Proliferation and Disarmament	223
2. ARF Work Plan on Non-Proliferation and Disarmament (2012)	225

Peacekeeping Operations

1. Developments in ARF Cooperation on Peacekeeping Operations	231
---	-----

STATEMENTS

Counter Terrorism and Transnational Crime

1. Statement by the Chairman of the ARF on the Terrorist Acts of the 11 th September 2001(2001)	235
2. ARF Statement on Measures Against Terrorist Financing (2002)	236
3. Statement by the Chairman of the ARF on the Tragic Terrorist Bombing Attacks in Bali (2002)	239
4. ARF Statement on Cooperative Counter-Terrorist Action on Border Security (2003) ..	240
5. ARF Statement on Strengthening Transport Security Against International Terrorism (2004)	245
6. ARF Statement on Information Sharing and Intelligence Exchange and Document Integrity and Security in Enhancing Cooperation to Combat Terrorism and Other Transnational Crimes (2005)	250

7. ARF Statement on Cooperation in Fighting Cyber Attack and Terrorist Misuse of Cyber Space (2006)	253
8. ARF Statement on Promoting a People-centred Approach to Counter Terrorism (2006)	257
9. Statement of the ASEAN Regional Forum on the Republic of Korea Hostages in Afghanistan(2007).....	260
10. ARF Statement on Promotion of Inter-Civilization Dialogue(2007)	261
11. ARF Statement Promoting Collaboration on the Prevention of Diversion of Precursors into Illicit Drug Manufacture(2008)	263
12. ARF Statement by the Ministers of Foreign Affairs on Cooperation in Ensuring Cyber Security(2012)	266

Maritime Security

1. ARF Statement on Cooperation Against Piracy and other Threats to Maritime Security (2003)	268
--	-----

Disaster Management and Humanitarian Assistance

1. ARF Statement on Disaster Management and Emergency Response(2006)	272
--	-----

Non-Proliferation and Disarmament

1. ARF Statement on Non-proliferation (2004)	278
2. ARF Statement Supporting National Implementation of United Nations Security Council Resolution 1540 (2007).....	282

ACKNOWLEDGEMENTS	285
------------------------	-----

• **WRITE-UPS** •

A New Chapter in Regional Cooperation

By Gillian Bird^{*}

The first meeting of the ASEAN Regional Forum (ARF) in July 1994 generated a new atmosphere of multilateral cooperation in a security environment that had been dominated throughout the Cold War years by the division of the region into competing blocs.

This development of a new approach to regional security – a cooperative approach – was the result of coordinated efforts to develop a security dialogue between states in the region. Australia has a long history of working with our regional partners to strengthen regional architecture as a way of promoting economic integration and encouraging cooperation on security issues, and we actively pursued the creation of the ministerial-level ARF.

One of the key distinguishing elements of the ARF’s establishment was the agreement that it would adopt an evolutionary approach. Over time and at comfortable pace, the ARF would gradually move from confidence building to preventive diplomacy, and then eventually, a conflict resolution capacity. One of the highlights during my time as Australia’s senior official in the ARF has been the endorsement by Ministers in 2011 of the ARF Preventive Diplomacy Work Plan. The work plan marks the evolution of the ARF to its second phase: including preventive diplomacy alongside its well-established confidence-building measures.

As the ARF enters its 20th year, in line with the inexorable shift in economic and strategic weight to the Asia-Pacific, Australia will continue to work closely with ASEAN and our partners throughout the region to consolidate and implement its significant achievements.

^{*} Gillian Bird is the current Deputy Secretary and Ambassador to ASEAN, Department of Foreign Affairs and Trade of Australia

The ASEAN Regional Forum

By Lim Jock Seng^{*}

“They [ASEAN Foreign Ministers] noted a convergence of views among the participants on the need to find ways to promote consultations on regional political and security issues. They endorsed the proposal of the senior officials to invite China, Laos, Papua New Guinea, Russia and Viet Nam to meet ASEAN and its Dialogue Partners at the ASEAN Regional Forum in Bangkok.”

*Joint Communique of the 26th ASEAN Ministerial Meeting
23-24 July 1993,
Singapore*

In 1995, Brunei Darussalam hosted the Second ASEAN Regional Forum (ARF). It was a defining moment for ASEAN and its partners as we adopted the ARF Concept Paper.

Prior to the Meeting in Brunei, we had worked hard in Singapore and Bangkok to lay the foundation of the ARF.

In Singapore, Foreign Minister Wong Ken Seng had shared ASEAN’s view that the ARF would “... promote dialogue on regional security... help build mutual confidence and preserve stability and growth in the Asia-Pacific by evolving a predictable and constructive pattern of relationships in the region”.

Our intentions were well received, and in Bangkok the following year, at the ARF’s first meeting, the Forum reached quite an outcome, with Ministers endorsing the purposes and principles of the Treaty of Amity and Cooperation (TAC) as a code of conduct governing relations between us.

This achievement alone is significant considering the post cold-war baggage many of us were carrying at the time, and the fact that until today, many countries would like to associate

^{*} The Honourable Pehin Dato Lim Jock Seng is the Minister of Foreign Affairs and Trade II of Brunei Darussalam.

themselves with the TAC.

With this early success, the ARF was attracting much interest from the international community. There was also great excitement among the Forum members.

By 1995, we needed a sense of direction. With a view of developing a concrete proposal for the ARF, Brunei was assigned to study the papers and ideas from previous meetings. We established an ASEAN Task Force and worked in close consultations with our friends from various Track II bodies.

The result of our work was an ASEAN draft “ARF Concept Paper” mapping out our future direction. This was the first paper prepared by ASEAN under the ARF and the first time we had to build a consensus with the non-ASEAN ARF participants.

With an underlying lack of trust still present in the region, individual personalities stood out as ASEAN worked collectively through intensive consultations and lobbying with other ARF members. Sometimes, these discussions happened in the meeting rooms but most of them took place in hotel lobbies, airports and even golf courses, late at night or early in the morning.

Personally, I believe this was ASEAN at its best. The end result was satisfactory to all. We had “A Concept Paper”, which became the basis in shaping the nature and direction of the Forum.

The Concept Paper acknowledged that the world’s economic gravity was shifting towards the region, and for the region to continue to pursue economic progress and prosper, it was imperative to sustain and enhance peace, stability and security.

Clear goal, but there were major challenges including how remarkably diverse the region was. We had to identify a way to allow people from different levels of development and socio-political backgrounds to work together.

And so we agreed that the ARF was going to be an evolutionary process. It would cover three broad stages, namely the promotion of confidence building, development of preventive diplomacy and conflict resolution.

Closely tied to this “step-by-step” approach, and perhaps more importantly, the ARF was going to proceed at a pace comfortable to everyone, while decisions would be made by consensus and after extensive consultations.

Over the years, many officials and academics have re-looked at the ARF Concept Paper adopted in 1995, however this concept paper still remains the guiding document for the ARF and continues to receive the full support of its members.

The principles in the concept paper will continue to be echoed by future ARF meetings as we move together in developing “a more predictable and constructive pattern of relations for the Asia-Pacific region”.

In conclusion, I would like to take this opportunity to express my sincere appreciation to the many good friends who worked closely with Brunei back then, including among others, Tan Sri Kamil Jaafar and Tan Sri Kadir Mohamed of Malaysia, Rodolfo C. Severino of the Philippines, Kishore Mahbubani and Peter Ho of Singapore, Saroj Chanvanaviraj of Thailand, Michael Costello of Australia, Wang Yingfan and Fu Ying of China, Hiroshi Fukuda of Japan, Ban Ki-moon of Republic of Korea and Winston Lord of the United States.

ASEAN Regional Forum and Cooperative Security

By Fu Ying^{*}

This year marks the 20th year of the ASEAN Regional Forum(ARF), which has become the the most influential and most inclusive platform for security dialogue and cooperation in the Asia-Pacific region.

It is satisfying for me to see the ARF flourish as we have worked for years to foster its growth. At a larger level, as part of the global trend towards peace and development, this forum has helped China to forge a strategic partnership with ASEAN countries and together explore a new approach to security. At the heart of this new approach are equality and cooperation. That is why it can be called cooperative security.

The core value of cooperative security can be defined as security for all. Remember, a region can only feel as secure as its most insecure member. A good example would be the Korean Peninsula. Out of fear for its security, the weaker party would be prone to radical actions, which would be more extreme when met by containment or or sanctions. Any resolution to the situation therefore cannot rest on isolation or exclusion. It cannot buttress the absolute security of one at the expense of the absolute insecurity of another. Security in Asia should mean security for all Asian countries.

The foundation for cooperative security would be development and prosperity. East Asian countries have firsthand experience in the past 60 years of how armament, bloc politics have all failed to secure lasting peace. It was only with the end of the Cold War, particularly the war in Cambodia that East Asian countries were able to concentrate on economic development, creating the East Asian miracle, which has in turn strengthened regional stability. We should not sacrifice our children's future with instability of our making. We have given them greater economic security that we should now be building upon, not undercutting.

^{*} Madam Fu Ying is the Chairperson of the Foreign Affairs Committee, National People's Congress of China and she served as Vice Foreign Minister of China from 2009 to 2013. The main content of this article was first published on the Phnom Penh Post on May 24, 2012 and this is the second time for publication.

Cooperative security cannot be achieved in turmoil and conflict. Compare East Asia with other regions in the world, we can justly be proud of our achievement. We should also learn to cherish this progress. A new realization has dawned on Asians that the future of Asia both in terms of economics and security lies in cooperation and integration, not division or retrogression.

Achieving cooperative security requires the efforts of all countries in the region. Asia has built a solid track record of resolving or containing disputes in the past 20 years. No one should underestimate the wisdom and capacity of Asian countries to tackle their own challenges. What we should do is to grasp every opportunity to reach out for Asian solutions to Asian problems by working together.

Cooperative security is being borne out in China-ASEAN relations. This is based on the understanding that security should be inclusive; all countries should be stakeholders in the building of a regional security architecture. Security should be mutual; the security of one cannot be founded on the insecurity of another. Absolute security is only an illusion. Hegemony in whatever form is not welcome in this region. Security should be comprehensive, including economic security and non-conventional security. The means to achieve security should also be comprehensive. Arbitrary recourse to military solutions and fear mongering is not popular in East Asia.

Under cooperative security, countries strengthen their security through win-win cooperation. Big countries should not bully small countries, nor should small countries play with fire by provoking big countries. Countries should focus on the big picture and long term interests and stick to peaceful resolution of disputes.

To build a multilateral security architecture in East Asia, we need to draw experiences and lessons from past efforts. China believes ASEAN should remain in the driver's seat and play a leading role. We are committed to the principle of consensus, gradual progress and accommodating the comfort level of all parties. There's no reason to force unanimity or domination by major powers.

China sees ASEAN countries as its strategic partners, bound together not just by geography but also by cultural affinity and a common aspiration for Asian renewal. We must avoid unnecessary bickering and grandstanding. We must join hands in working towards security for all through cooperation and on that basis achieve lasting peace and prosperity. We owe it to our children to make our region peaceful, secure and prosperous for all.

The ASEAN Regional Forum and Asia-Pacific Security

By Ali Alatas*

With the advent of the post-Cold War era and with the dissipation of East-West confrontation, the Asia Pacific region enjoys relative peace. But it is by no means free of tension and the anxiety of potential conflict. We do have a history of intermittent conflict, chronic instability and armed contention among rival powers. This should not be surprising, for in this region converge the physical presence and interests of four major powers. The intensity and frequency of policy interactions among these major powers as well as the influence they exert on the smaller countries of the region have always had and will continue to have a direct bearing on the political and economic realities in the region. Thus, it is from the dynamics of this quadrangular power constellation, from its stability or instability, from the convergences, tensions or realignments that occur within it, that much of the substance of the security environment of the Asia Pacific will be derived.

Among the actual problems and potential challenges that the region must face is the persistence of inter-state disputes, especially territorial disputes and overlapping claims of sovereignty, which could intensify if their potential for conflict were not effectively managed. The unresolved tensions on the Korean peninsula, recently aggravated by the nuclear issue, must be addressed with the utmost urgency and circumspection. The military modernization programmes of some countries have aroused concern among others in the region. We should also be aware that adverse domestic developments in some states could have a destabilizing impact on the region as a whole.

At the same time, we also have a unique opportunity to put an end to the threat of recurrent conflict and chronic upheaval. We could begin to design, establish and maintain the habits and processes of cooperating and of interacting for peace and stability as well as for common progress and prosperity so that the world, or at least the neighbourhood in which we are, may become a better place to live in.

* H.E. Mr. Ali Alatas was former Indonesian Foreign Affairs Minister from 1988 to 1999. This article is an excerpt from "The Asia Pacific Security Situation", remarks at the first meeting of the ASEAN Regional Forum, Bangkok, 25 July 1994.

In this context, it is worth noting that economic arrangements and processes such as through APEC, AFTA, and EAEC can complement the political-security processes in a positive and synergistic way, contributing to a growing sense of partnership and community among the member states. A tremendous complement to that sense of partnership and community would be a firm commitment on the part of all countries in the region to a commonly agreed code of ethics or guidelines of behaviour, and a posture of mutual restraint at all levels of their interaction.

Such a code is precisely embodied in the ASEAN Declaration on the Zone of Peace, Freedom and Neutrality (ZOPFAN), a flexible blueprint for a new framework for peace in the Asia Pacific region.

Being a flexible blueprint, ZOPFAN is open to further refinement and adjustments in light of the rapidly changing global and regional environment. It endeavours to address the complexity of the geo-political and strategic environment of the Asia-Pacific while fully taking into account the immense diversity of the countries in the region.

Since the launching of the concept in 1972, the ASEAN states have steadily developed and elaborated on it. Although its full elaboration has been retarded by the outbreak of the Cambodia conflict, some of its major elements have been incorporated in the 1976 Treaty of Amity and Cooperation (TAC) to which all ASEAN states as well as Papua New Guinea, Vietnam and Laos have subscribed and which remains open for accession by all Southeast Asian states.

This Treaty has been given global recognition through the adoption by consensus of the UN General Assembly Resolution 47/53B. The resolution cites the Treaty for providing a strong foundation for regional confidence-building and for regional cooperation consistent with the call of the UN Secretary-General for closer cooperation between the United Nations and regional organizations. It is only natural, therefore, that other states in the Asia Pacific region should associate themselves more closely with this Treaty of Amity and Cooperation.

An essential component of ZOPFAN is the establishment of a nuclear-weapon-free zone in Southeast Asia. As envisioned, the NWFZ would include the land areas and the maritime and air space under sovereignty and jurisdiction of the Southeast Asian countries, the boundaries and limits of which would be determined in accordance with principles of international law, including the United Nations Convention on the Law of the Sea. None of the countries in Southeast Asia has any intention of acquiring or manufacturing nuclear weapons, all being parties to the Non-Proliferation Treaty. This common denominator augurs well for the NWFZ

initiative. It has, however, encountered opposition from some nuclear powers that perceive it as undermining their doctrine of nuclear deterrence and as establishing an unacceptable precedent for other regions. It is a view that we do not share. In the regime envisioned for the region, freedom of navigation and overflight guaranteed by the Law of the Sea will remain unaffected. The question of port-calls will, of course, be left to the individual countries.

The Leaders of ASEAN, at the recent Singapore Summit, issued a declaration that ASEAN shall now seek to realize ZOPFAN and the SEA-NWFZ in "consultation with friendly countries, taking into account changing circumstances." To my mind, they are indeed important and concrete concepts that we can take up in the ARF which is the appropriate Forum for considering them. The early realization of both ZOPFAN and SEA-NWFZ will not only be a major step toward stable peace in the region but also a significant regional contribution to global nuclear disarmament and non-proliferation. The new strategic environment in the Asia Pacific region will definitely facilitate our efforts towards this goal.

The role of regional organizations in the pursuit of peace has been recognized by the United Nations. In his report entitled, "*An Agenda for Peace*," Secretary General BoutrosBoutros-Ghali has noted that "regional arrangements or agencies in many cases possess a potential that should be utilized in serving the functions (of) preventive diplomacy, peace-keeping, peacemaking and post-conflict peace-building."

It is in this spirit that the ASEAN Regional Forum (ARF) has been established. The ARF reflects the desire of the Asia Pacific countries to ensure a peaceful and stable political and security environment for their peoples. This Forum is unique in that it was not established in response to any threat or crisis. Rather, it has been established at a time when the Asia Pacific region was enjoying an economic boom and relative peace. Thus the ARF is an exercise in preventive diplomacy in the most positive sense as it attempts to manage strategic change in such a way that a new equilibrium among the major powers in the Asia Pacific region could evolve gradually and peacefully over the next decade. In tandem with APEC and ASEAN and with the various organizations for economic cooperation in the region, the ARF may turn out to be the ultimate confidence building measure in this part of the world.

The Progress of the ASEAN Regional Forum and its Group of Experts/Eminent Persons

By Kadir Mohamad*

In 1992, a communiqué issued at the end of their meeting implied that the ASEAN Heads of State and Government had decided that the time had come for ASEAN as an important regional organization - and its 6 member states at that time (Brunei, Indonesia Malaysia, Philippines, Singapore, Thailand) as critical stake holders in regional affairs - should intensify dialogues in political and security matters with other relevant partners as a means of building cooperative ties with States in the Asia-Pacific. This strategic decision of the ASEAN Summit paved the way for bringing into being what has since proven to be a vital regional institution - the ASEAN Regional Forum.

In 1993, the 26th ASEAN Ministerial Meeting (in Singapore) made a special arrangement for an informal dinner attended by 18 Foreign Ministers from the then 6 ASEAN member states, 7 dialogue partners, 3 observers and 2 guest countries of ASEAN, during which it was agreed to hold the first ASEAN Regional Forum Meeting (ARF) in Bangkok the following year to conduct informal consultations on regional political and security issues.

In 1994, 18 participants attended the First ARF Ministerial Meeting, namely Indonesia, Malaysia, Singapore, Brunei, the Philippines, Thailand, Vietnam, Papua New Guinea, Laos, China, Japan, Republic of Korea, Russia, United States, Canada, Australia, New Zealand and Europe Union. Today, the ARF has grown to 27 members with the later inclusion of Myanmar, Cambodia, India, Mongolia, DPRK, Pakistan, Timor-Leste, Bangladesh and Sri Lanka.

Just as the composition of the ARF membership has grown in size, the Forum's role as an avenue for discussing regional peace and security issues, and in some ways as a moderator of regional peace and security situations, has also grown in importance. Despite its hesitant beginnings, the ARF has in fact become the most important inter-governmental forum for multilateral security dialogue and cooperation in the Asia-Pacific. Thanks to the great

* Kadir Mohamad, ARF EEP, Malaysian ARF SOM Leader (1996-2001).

foresight of the ASEAN Leaders who met in Singapore in 1992.

Indeed, the ARF functions in a unique way. The forum started amidst much uncertainty and considerable consternation about its proper role and meeting procedures. Nowadays, the annual meetings of the ARF Ministers have become one of the most anticipated events in the ASEAN calendar.

The ARF takes no formal decisions and it has no mechanism to implement its ideas or preferences. But the closed-door deliberations within the four walls of the ARF must have had great impact on the regional peace and security situation. Since 1993, there has been relative peace in Southeast and East Asia, the geographical area which is under the implicit purview of the ARF. There has been no conflict which can truly be classified as wars between regional countries. Neither has there been any situation which has precipitated external interventions, sanctioned or otherwise by the United Nations, like what happened in Iraq and Libya. Peace has indeed prevailed in the Asia Pacific for 20 years, just as the ARF celebrates its 20th year in 2013.

There is another uniqueness about the ARF process. Unlike other inter-governmental forums, the ARF receives direct support in its work from ordinary citizens of ARF member countries in the form of the group of Experts and Eminent Persons (EEP).

The concept of involving scholars, researchers and retired diplomats who possess expert knowledge and who have interest in contributing towards the achievement of regional peace and security was mooted sometime in the year 2000.

However, in those early years, the ARF was most cautious about taking any new initiative. In fact, the discussions during ARF sessions were restrained and not as robust as it is today. Then, everything had to take place step by step. Nevertheless, the ARF Senior Officials Meeting in 2000 formally endorsed the compilation of a Register of Experts and Eminent Persons who could be called upon to provide inputs into the regional peace and security dialogue.

ARF member countries submitted to the ARF Chair the names of their nationals (up to a maximum of five for each country) who would serve as their EEP. Today, that Register is maintained by the ARF Unit in the ASEAN Secretariat in Jakarta.

Nothing really happened in the first five years until the ASEAN members of the ARF decided that the best way to begin tapping the brains of the EEP was to gather them together in one

place. Still, caution was the order of the day.

An informal gathering of ASEAN representatives decided in 2005 that they would attend full sessions of the EEP as a caucus within the EEP group. Today, of course, the atmosphere has completely changed. There are no sub-groups within the group. Participants speak their minds as individuals, not as representatives of their countries or regions. The innovative intentions of the initiators of the EEP idea have in fact matured.

The First meeting of the EEP as a group was held in the Republic of Korea in 2006, The Sixth Meeting of the ARF EEP took place in Thailand in 2012. The writer had the privilege of attending the Fourth, Fifth and Sixth meetings in the series as the EEP from Malaysia.

While the discussions in the meetings of the EEP have now become as robust as the discussions in the Ministerial Meetings of the ARF, perhaps even more so, the group is still searching for a proper definition of purpose of its existence. The Terms of Reference for the functioning of the group had indeed been adopted as early as 2001 but that has not helped to produce the desired results.

The meetings of the EEP are certainly not a Track 1 process. The EEP themselves do not wish their meetings to be viewed as a Track 2 process either. At the last meeting in 2012 in Thailand, there was a kind of consensus among the EEP that their meetings could appropriately be classified as constituting the Track 1.5 process.

Generally speaking, the EEP are still probing how best they could contribute towards the enhancement to the ARF process particularly in the realm of preventive diplomacy. However, their discussions lack specific focus and thus the EEP have not succeeded in making specific recommendations. This is because they have never been given precise tasks.

It might serve to make EEP meetings more relevant and their contributions more effective if the ARF Ministers, through the ARF Senior Officials, could direct the EEP group to function as a think-tank, commissioned to undertake group research on specific topics and write specific papers for submission to the ARF Senior Officials Meeting - starting perhaps with one assignment per year.

The ASEAN Regional Forum after 20 Years

By Chris Elder*

When I first became New Zealand’s Senior Official for the ASEAN Regional Forum, the country’s Foreign Minister was Don (now Sir Donald) McKinnon. In that year (1998) the Ministerial Meeting was held in Manila. Knowing that it is the job of a responsible senior official to smooth the way for his minister, before the meeting I asked Mr McKinnon which of his foreign minister colleagues he would like to meet for a bilateral discussion. He looked at me with some surprise. “All of them”, he said.

It had not previously occurred to me that it would be possible to fit twenty separate one-on-one meetings into the margins of a busy series of formal sessions extending over little more than a day. I had something to learn about ARF diplomacy. Through a mixture of formal bilaterals, pull-asides, and judiciously-planned chance encounters, Mr McKinnon had by the end of the meeting introduced himself to, and established a rapport with, every one of his counterparts, the last triumphantly ticked off as we queued to depart for the airport.

A collegial approach

The ARF Ministerial Meeting that year had plenty to discuss, coming as it did soon after the onset of the East Asian financial crisis, and needing to address also India and Pakistan’s decision to test nuclear weapons. What was striking was that it took up these issues in a collegial way, with participants registering strongly-held views without drawing lines of demarcation that closed off the possibility of reasoned debate. It would be too much to suggest that the exchanges led to concrete solutions or any clear way forward, but the most important issues being addressed were probably not in any case susceptible of such resolution.

Structured regional consultation

To assess the value of the ASEAN Regional Forum, as it was then and as it has developed since, it is salutary to compare its structure and operation with what was in place before

* Chris Elder, New Zealand ARF Senior Official (1998-2001).

it was set up. Before ASEAN ministers agreed to establish the ARF, with the stated aim of intensifying ASEAN's external political and security dialogues as a means of building cooperative ties in the Asia-Pacific region, there existed no mechanism for structured regional consultation on security issues. The countries of ASEAN, of course, pursued a programme of dialogue and consultation among themselves, but countries outside ASEAN had to rely on ad hoc bilateral contacts with one another and with the ASEAN nations. It was not a situation conducive to building familiarity and mutual trust.

Compare that with the situation that had come to prevail within four years of the forum's inception. ARF provided a venue and a focus for discussions on issues affecting the region, discussions that involved decision-makers from virtually all the countries having an interest. Not just at ministerial level, but also among the officials engaged in preparatory meetings, ideas were being associated with names, and names with faces.

The ARF talkshop

The ARF from the outset operated as an "anarchic regime" – one in which the views of all members were given equal weight, and no one country had a privileged position in determining outcomes. The forum has moved forward on the basis of compromise and consensus. For countries more accustomed to the hierarchal politics of the West, where major powers exercise major influence, and meetings are directed towards achieving tangible outcomes ("deliverables"), this has at times proved immensely frustrating. The ARF, it has been said, is little more than a talkshop.

That misses the essential point. The ARF is indeed a talkshop, and an immensely valuable one. It has become a key element in regional security architecture not because of any particular concrete achievement, but because of its role as a forum that brings together decision-makers, and creates a base of familiarity that can be drawn upon in time of need. It is through its very existence a Confidence Building Measure. If it is hard to identify issues upon which the ARF as a forum has had a decisive influence, it is by contrast quite easy to find regional concerns that have been resolved between ARF members on the basis of a familiarity, both with the issue and with those tasked with resolving it, to which ARF membership has contributed. Therein lies the forum's real value.

Benefits for New Zealand

For New Zealand, ARF membership has delivered real benefits. That this country is

geographically at the edge of the region of which it forms part does not mean that Asia-Pacific security concerns are less important to us, or that we need to be less involved in finding a way through them. It does mean that we have to work harder to overcome logistical and practical challenges in keeping in touch with regional thinking and key participants, and in making an effective contribution to the enhancement of regional security.

From the time of its inception, the ARF has been instrumental in helping us to address these challenges. Once a year at ministerial level, and more frequently for officials, it has brought together those whose views matter most on the issues at hand. Plenary sessions have offered the opportunity for New Zealand to hear and to set out formal positions, but more valuable have been the contacts in the corridors. The most ambitious ministerial travel programme could not have hoped to achieve as much in terms of direct Ministerial contact and in knitting us into the fabric of Asia-Pacific regional security.

New Zealand has benefited in another way too. As a country steeped in the Western political tradition, New Zealand might easily have failed to understand the consultative and consensual nature of ARF decision-making. Indeed, it would be idle to pretend that there have not been times when this country has considered, and diplomatically suggested, that goals could be approached more directly. But the longer New Zealand has participated in the collective work of the ARF, the more attuned it has become to an approach to problem-solving that differs from the Western norm.

Coming to understand and accept the value of the collegial approach the ARF embodies, where progress depends upon the power of consensus rather than the handing down of any legally-binding majority decision, brings New Zealand closer to the mode of regard of other countries in our neighbourhood. Readiness to work constructively within those parameters reinforces our emerging identity as a country of the Asia-Pacific.

We do not, any more than others among ARF's membership, scorn the possibility of achieving "deliverable" results through the meetings of the ARF. We do, however, recognise that in a world where progress on matters affecting security can depend critically upon mutual trust and excellent communication, it will often be the meeting itself which is the deliverable. Mr McKinnon's tireless engagement with his ministerial counterparts was not an indulgence. It was part of a process that has integrated New Zealand more firmly into the region, at the same time as it has permitted this country to contribute more effectively to the ARF's key goal, "To bring about a more predictable and constructive pattern of relations in the Asia-Pacific".

Present at the Creation: Looking Back at the First ASEAN Regional Forum in 1994

By Suriya Chindawongse *

As we convene the 20th ASEAN Regional Forum (ARF) in Brunei Darussalam in July 2013, it is perhaps worthwhile to go back in time and take a look at what transpired at the very first meeting of the ARF on 24 July 1994 in Bangkok which launched the ARF process, and to see how it all started.

In 1994 when the ARF convened its first meeting, Southeast Asia was a very different place from today. Back then, ASEAN still comprised only six countries. Laos and Viet Nam joined the First ARF as ASEAN Observers while Cambodia and Myanmar have not yet developed formal ties with ASEAN. Although ASEAN was moving towards bringing together all ten Southeast Asian countries together for the first time (an event ultimately realized at the historic first Southeast Asia Ten or SEA-10 Summit in Thailand subsequently in December 1995), it would be a number of years before ASEAN seriously undertook efforts to begin the process of building an ASEAN Community.

ASEAN still, however, was able to play a leadership role, in cooperation with its Dialogue and Consultative Partners, to propose the idea of a forum that would bring the countries in the region and those that have an impact on the region together in a dialogue on security issues of common concern. It was felt that such dialogue would help build better understanding and, more importantly, trust that would facilitate the promotion of stability in the region. In terms of format, the ARF would be quite similar to the then annual Post Ministerial Conferences or PMC that involved ASEAN discussing with all of ASEAN's Dialogue and Consultative Partners at the same time.

So it was from such humble beginnings that eighteen Foreign Ministers gathered in Bangkok on that fateful day in 1994 for the First ARF under Thailand's chairmanship. There was a sense of history in the making because never before had such a group of key countries got together to discuss specifically on security issues that impact on the Asia-Pacific region. But

* Dr. Suriya Chindawongse, Director, Department of ASEAN Affairs, Ministry of Foreign Affairs of Thailand, was interpreter for Chair of the 1st ARF in 1994.

there was also some sense of anxiety since no one really knew where the Forum would be heading, even though there was a growing sense that it would be important to keep the Forum going.

Because of the novelty of the situation, it was therefore considered essential to build a good comfort level amongst all the participants and this was very much recognized by the Thai ARF Chair as one of its primary tasks. So translation facilities were provided, to ensure effective communication and language comfort—a rarity in ASEAN-related FMs meetings at that time. Furthermore, an informal set up, rather than a plenary format, was employed in order to develop an atmosphere of comfort conducive to useful exchanges of views. In fact, this ARF format, more or less, survives to this very day.

These arrangements did ultimately generate an atmosphere that encouraged participants to take the opportunity to get to know their counterparts and present useful ideas. So once started, the constructive discussions were able to continue throughout the day, interrupted only once when the Chair requested a short adjournment to allow a camera news team from CNN into the meeting room to briefly film this historic event.

This atmosphere of informality and comfort was critical to the substantive discussions and to the longer term goal of generating consensus on a viable work programme that would ensure continued momentum in the ARF process. And so the ARF was able to have constructive exchange of views, from issues such as developments in the Korean Peninsula (a number of years before the Six Party Talks mechanism was created) to concrete ways to developing confidence-building measures leading to preventive diplomacy.

One of the interesting exchanges at the First ARF, for example, centered on the idea of defense transparency as an initial CBM. Although some countries felt that transparency with regard to defense information should be encouraged, drawing on example of the United Nations Arms Register, others felt that defense information was confidential by nature and therefore should not be shared. To allay the concerns of the latter, a compromise was eventually reached on having “non-classified military information” as an issue for further study, and this eventually found its way into the meeting’s outcome document.

The outcome document of the ARF was itself an example of ASEAN innovation. In order to have flexibility in terms of drafting a document on security-related issues that were considered to be quite sensitive and new at that time, the idea of a Chairman’s Statement was preferred to the traditional Joint Communique which was considered as potentially too rigid. Such a

document as the Chairman’s Statement would be the responsibility of the Chair and reflect the Chair’s sense of the general conclusions of the meeting that would be supported by participants, without rigidly binding them. This reduced the need for extended negotiations on the draft of the text and gave some leeway to the Chair to try to reflect the consensus of the discussions. The ARF Chairman’s Statement was born and remains in use to this very day.

When the meeting ended, a slight applause broke out, signaling a collective satisfaction at a job well done for this very first regional meeting on security issues. Special commendation was directed by fellow participants to Senator Gareth Evans of Australia for his strong encouragement of the ARF to take bold steps in the follow-up programme of work. Much of the work would be successfully taken up by the next ARF Chair, Brunei Darussalam, who subsequently drafted the ARF Concept Paper which was adopted at the Second ARF and provides the framework and foundation of the ARF that we enjoy today. But all long and successful journeys began with small first steps. The First ARF in Bangkok in 1994 marked that small first step, bringing us together for the first time on this shared journey of promoting stability and security in our region.

The ARF Unit of the ASEAN Secretariat

By the ARF Unit

The ARF Unit takes great pride in being able to contribute to this important publication celebrating ARF's 20th year anniversary. It is almost ten years since the Ministers officially welcomed the establishment of the ARF Unit and its participation in all ARF activities at the 11th ARF in Jakarta in 2004.

In terms of its functions, the Unit was first established to be the depository of ARF documents/papers and to serve as the ARF's institutional memory, to set-up the ARF registry and database, and to provide secretarial work and administrative support to the ARF process. Another key role was to support the enhanced role of the ARF Chair. Today, the ARF Unit continues to serve as the resource centre on ARF matters for the twenty-seven ARF participants and the general public.

The roles of the ARF Unit have increased in line with the evolution of the ARF process since its establishment. At the initial stages, the overall tasks of the ARF Unit included serving as resource persons in meetings and drafting meeting reports, monitoring the implementation of ARF decisions and coordinating with other ASEAN Sectoral Bodies on relevant issues. Managing ARF projects and preparing ARF publications were also part of its scope. In recent years however, the ARF Unit have played a greater role in the work of the ARF to include monitoring the implementation of the Hanoi Plan of Action to Implement the ARF Vision Statement and assisting the Co-Chairs of ARF Inter-Sessional Meetings (ISMs) in the review and preparation of ARF Work Plans. The ARF further rely on the ARF Unit to provide advice on scheduling of ARF meetings and activities, providing up-to-date reference documents, assisting the Chair or Co-Chairs in the preparation of their meetings and serving as conduit between the ARF and other international and regional organisations.

In order to provide value-added secretariat support to the ARF participants, the ARF Unit has been maintaining the ARFNet since its launch in 2005. The website effectively serves as the virtual information centre and digital archive repository for ARF participants.



In line with the increasing functions and roles of the ARF Unit since its inception and in order to deliver on the broader scope of responsibilities the ARF participants have placed on the ARF Unit, more resources in terms of staff strength, expert and technical support have been provided to the ARF Unit. The ARF Unit remains committed to continue to play an integral and key element in the ARF process into the future.



First ARF Ministerial Meeting, July 1994

ARF ministers met for the first time on 25 July 1994 in Bangkok. Australia's Foreign Minister Gareth Evans (7th from left) described the ARF as “the central element in the process of building a new sense of cooperative security in the region, lowering tensions, building trust and reducing the potential for conflict to occur.” (Contributed by Australia; image used with permission of the Bangkok Post)



The 9th Meeting of the ASEAN Regional Forum (ARF) was held at the International Convention Centre in Bandar Seri Begawan, Brunei Darussalam in 2002. (Contributed by Brunei Darussalam)



Heads of the delegations to the first Security Policy Conference of the ASEAN Regional Forum (ARF) pose for a photo in Beijing, capital of China, Nov. 5, 2004. The three-day meeting, opened on Nov. 4, was the highest level of its kind ever held within the framework of ARF. It was attended by senior defense officials from 24 ARF members. They discussed international and regional security situation. The security policy session was proposed by China at the 10th ARF Foreign Ministers' Meeting in 2003 and approved by the 11th ARF Foreign Ministers' Meeting in 2004. The meeting was hosted by China and chaired by Indonesia. (Contributed by China)



Chinese Premier Wen Jiabao met with the heads of delegations attending the first Security Policy Conference of the ASEAN Regional Forum (ARF), Nov. 5, 2004, Beijing, China. (Contributed by China)



Singapore hosted the first ever ARF Maritime Security Shore Exercise from 22 to 23 January 2007. It was also the first time that member countries came together for an operational activity under the ambit of the ARF. The multilateral shore exercise was designed to promote interoperability and familiarity amongst the various agencies involved in enhancing maritime security. Maritime security experts from the military, law enforcement, port, and policy agencies of ARF member countries participated in a series of inter-agency discussions and table-top exercises. The exercises focused on inter-agency as well as international information sharing and collaborative sense making. A total of 102 officials from 21 ARF member countries participated in the Maritime Security Shore Exercise. (Contributed by Singapore)



Address by H.E. Mr. Sergey Lavrov, Minister of Foreign Affairs of the Russian Federation, at the 16th ASEAN Regional Forum Ministerial Meeting, Phuket, Thailand, 2009. (Contributed by Russian Federation; photographer: Mr. Dmitry Pesov)



The Philippines and Australia co-chaired the ASEAN Regional Forum (ARF) Seminar on the UN Convention on the Law of the Sea (UNCLOS) on 8-9 March 2011 at the Mandarin Oriental Hotel, Manila, Philippines. The UNCLOS Seminar provided a valuable overview of maritime law issues such as maritime regimes, cooperative mechanisms under UNCLOS, dispute settlement mechanisms, and marine environmental protection. (Contributed by the Philippines)



ARF DiREx 2011 SAR Exercise

Pursuant to the decision of the 17th Ministerial Meeting of the ASEAN Regional Forum (ARF) held in Hanoi on 23 July 2010, the ARF Disaster Relief Exercise (ARF DiREx) was held in Manado, Indonesia, on 15-19 March 2011, co-chaired by Indonesia and Japan. Representatives from almost all ARF participants participated in the ARF DiREx. Three main activities were conducted during the ARF DiREx, namely Table Top Exercise (TTX), Field Training Exercise (FTX), and Humanitarian Civic Action (HCA). FTX consisted of an Urban Search and Rescue (USAR), Land Operations, Maritime Operations and Air Operations. (Contributed by Indonesia)



Japan and the Republic of Indonesia co-hosted the ASEAN Regional Forum Disaster Relief Exercise (ARF DiREx 2011) in Manado, Indonesia. Over 4,000 people from 25 countries, including Ms. Makiko Kikuta, then Parliamentary Vice-Minister for Foreign Affairs of Japan (second from right), participated in the exercise. The success of the DiREx significantly contributed to the improvement of management capacity on disaster relief of the participating countries, and effectively promoted confidence building among civilian and military agencies of ARF member states through their close cooperation in the exercise. (Contributed by Japan)



18th ARF 2011 Plenary

The 18th Meeting of the ASEAN Regional Forum (ARF) was held on 23 July 2011 in Bali, Indonesia. (Contributed by Indonesia)



Chinese Foreign Minister Yang Jiechi participates in the 18th ASEAN Regional Forum (ARF) in Bali, Indonesia 23 July 2011. (Contributed by China)



The opening ceremony of the High Level workshop on CBM and PD in Berlin in Nov 2011.
(Contributed by EU)



The 6th Meeting of the ASEAN Regional Forum Experts and Eminent Persons in Bangkok, Thailand in February 2012, co-chaired by Dr. Panitan Wattanayagorn, EEP of Thailand, and Dr. Ralph Cossa, EEP of the United States, reaffirmed EEPs' role in providing substantive inputs to the future direction of the ARF. (Contributed by Thailand)



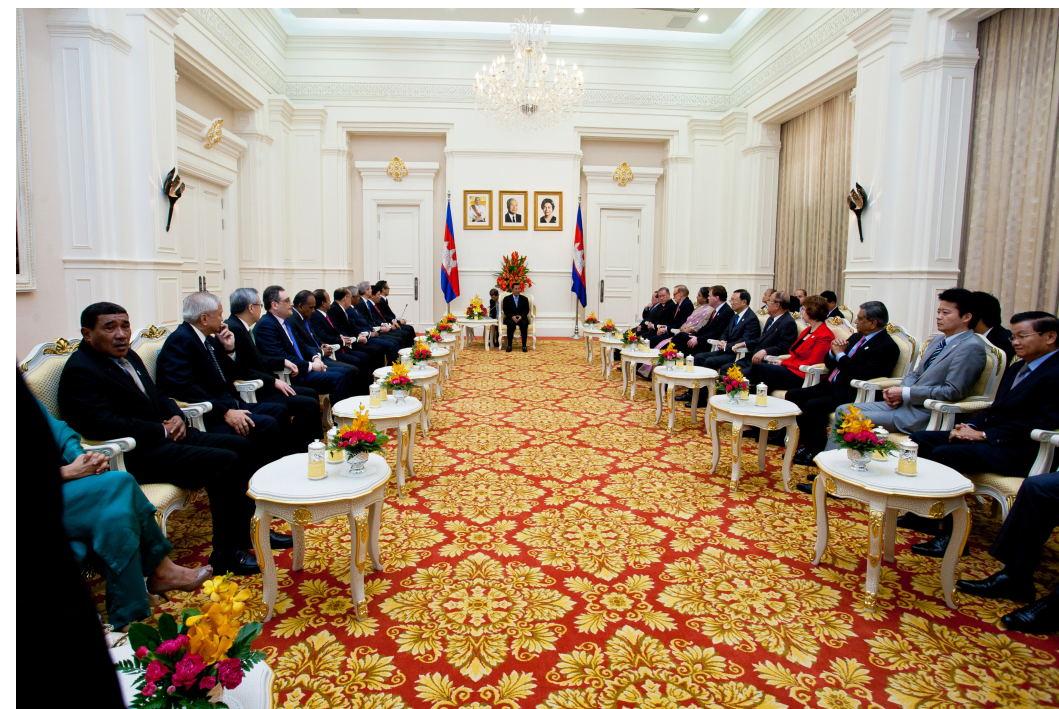
New Zealand Secretary of Foreign Affairs, Mr. John Allen, speaking at a welcoming dinner for delegates attending the ARF ISG on CBM and PD and the DOD, which was co-hosted by New Zealand and Cambodia in Wellington on 7-8 May 2012. The welcome was held at Te Marae in Te Papa Tongarewa, New Zealand's National Museum. New Zealand was privileged to co-host this successful set of meetings which contributed to outcomes from the ARF Ministers' Meeting in July 2012. New Zealand is committed to playing its part in ARF processes that contribute to regional security and stability. (Contributed by New Zealand)



Upon Timor-Leste's invitation, some ARF participants sent voluntary observers to Timor-Leste's parliamentary election on 7 July 2012. (image courtesy of Doug Orr, contributed by Australia)



The Foreign Ministers of the ASEAN Regional Forum posed for photo session in formal ASEAN Way before the start of the 19th ASEAN Foreign Ministers' Retreat under the Chairmanship of H.E. HOR Namhong, Deputy Prime Minister, Minister of Foreign Affairs and International Cooperation of Cambodia, on 12 July 2012, at the Peace Palace, Phnom Penh, Cambodia. (Contributed by Cambodia)



The Foreign Ministers of the ASEAN Regional Forum paid courtesy call on Samdech Akka Moha Sena Padei Techo HUN SEN, Prime Minister of the Kingdom of Cambodia, prior to the 19th ASEAN Regional Forum on 12 July 2012, at the Peace Palace, Phnom Penh, Cambodia. (Contributed by Cambodia)



Secretary of State Hillary Rodham Clinton participates in the ASEAN Regional Forum (ARF) Retreat, Phnom Penh, Cambodia, July 12, 2012. (Contributed by the United States, State Department photo by William Ng)



The Philippines, together with Australia and the United States, hosted the ASEAN Regional Forum (ARF) Workshop on Preparedness and Response to a Biological Event in Manila on 5-7 September 2012. The Workshop was the fourth and final in a series on biosecurity issues held under the ARF, in support of the Chemical, Biological, Radiological and Nuclear(CBRN) priority area of the Inter-Sessional Meeting on Counter-Terrorism and Transnational Crime (ISM on CTTC). (Contributed by the Philippines)



The Republic of Korea hosted the ARF Seminar on Confidence Building Measures in Cyberspace from 11 to 12 September 2012. The Seminar allowed the participants to keep track of the previous discussions on CBMs in cyberspace and further elaborated them in pursuit of strengthening international security. Participant countries in the Seminar contributed to facilitating the implementation of those measures. The result of the discussions carried out in the Seminar became a useful source to the ARF process and the works of other for a such as the UNGGE and Conference on Cyberspace. (Contributed by the Republic of Korea)



Thailand and the Republic of Korea co-hosted the Third ARF Disaster Relief Exercise (ARF DiREx 2013) on 7-11 May 2013 in Cha'am, Phetchaburi Province, Thailand. Over 1,800 civilian and military representatives from ARF participants as well as other key participating partners. The main objective of the exercise is to enhance civilian-military coordination, strengthen cooperation in disaster relief as well as promote exchanges of expertise and best practices in disaster management among ARF participants. (Contributed by Thailand)



On 7-11 May 2013, ARF Disaster Relief Exercise 2013 (ARF DiREx 2013) was held in Thailand. A Chinese chemical defense expert team participated in the chemical accident emergency response and rescue exercises in coordination with Thailand and Indonesia. The Chinese chemical defense experts were plugging up the chemical leakage point. (Contributed by China)

• MILESTONE DOCUMENTS •

The ASEAN Regional Forum: A Concept Paper

(1995)

Introduction

1. The Asia-Pacific region is experiencing an unprecedented period of peace and prosperity. For the first time in a century or more, the guns are virtually silent. There is a growing trend among the states in the region to enhance dialogue on political and security cooperation. The Asia-Pacific is also the most dynamic region of the world in terms of economic growth. The centre of the world's economic gravity is shifting into the region. The main challenge of the ASEAN Regional Forum (ARF) is to sustain and enhance this peace and prosperity.

2. This is not an easy challenge. The region has experienced some of the most disastrous wars of the twentieth century. It is also a remarkably diverse region where big and small countries co-exist. They differ significantly in levels of development. There are cultural, ethnic, religious and historical differences to overcome. Habits of cooperation are not deep-seated in some parts of the region.

3. ASEAN has a pivotal role to play in the ARF. It has a demonstrable record of enhancing regional cooperation in the most diverse sub-region of the Asia-Pacific. It has also fostered habits of cooperation and provided the catalyst for encouraging regional cooperation in the wider Asia-Pacific region. The annual ASEAN Ministerial Meetings have contributed significantly to the positive regional environment today. There would be great hope for the Asia-Pacific if the whole region could emulate ASEAN's record of enhancing the peace and prosperity of its participants.

4. Although ASEAN has undertaken the obligation to be the primary driving force of the ARF, a successful ARF requires the active participation and cooperation of all participants. ASEAN must always be sensitive to and take into account the interests and concerns of all ARF participants.

The Challenges

5. To successfully preserve and enhance the peace and prosperity of the region, the ARF must dispassionately analyse the key challenges facing the region. Firstly, it should acknowledge that periods of rapid economic growth are often accompanied by significant shifts in power relations. This can lead to conflict. The ARF will have to carefully manage these transitions to preserve the peace. Secondly, the region is remarkably diverse. The ARF should recognise and accept the different approaches to peace and security and try to forge a consensual approach to security issues. Thirdly, the region has a residue unresolved territorial and other differences. Any one of these could spark conflagration that could undermine the peace and prosperity of the region. Over time, the ARF will have to gradually defuse these potential problems.

6. It would be unwise for a young and fragile process like the ARF to tackle all these challenges simultaneously. A gradual evolutionary approach is required. This evolution can take place in three stages:

Stage I : Promotion of Confidence-Building Measures

Stage II: Development of Preventive Diplomacy Mechanisms

Stage III: Development of Conflict-Resolution Mechanisms

7. The participants of the first ARF Ministerial Meeting in Bangkok in July 1994 agreed on "the need to develop a more predictable and constructive pattern of relations for the Asia-Pacific region". In its initial phase, the ARF should therefore concentrate on enhancing the trust and confidence amongst participants and thereby foster a regional environment conducive to maintaining the peace and prosperity of the region.

Stage I: Promotion of Confidence-Building Measures

8. In promoting confidence-building measures, the ARF may adopt two complementary approaches. The first approach derives from ASEAN's experience, which provides a valuable and proven guide for the ARF. ASEAN has succeeded in reducing tensions among its member states, promoting region cooperation and creating a regional climate conducive to peace and prosperity without the implementation of explicit confidence-building measures, achieving conditions approximating those envisaged in the Declaration of Zone of Peace, Freedom and Neutrality (ZOPFAN). The concepts of ZOPFAN and its essential component, the Southeast Asia Nuclear Weapons-Free Zone (SEANFWZ), are significantly contributing

to regional peace and stability. ASEAN's well established practices of consultation and consensus (*musyawarah* and *mufakat*) have been significantly enhanced by the regular exchanges of high-level visits among ASEAN countries. This pattern of regular visits has effectively developed into a preventive diplomacy channel. In the Asian context, there is some merit to the ASEAN approach. It emphasises the need to develop trust and confidence among neighbouring states.

9. The principles of good neighbourliness, which are elaborated in the concept of ZOPFAN, are enshrined in the 1976 Treaty of Amity and Cooperation in Southeast Asia (TAC). One simple concrete way of expanding the ASEAN experience is to encourage the ARF participants to associate themselves with the TAC. It is significant that the first ARF meeting in Bangkok agreed to "endorse the purposes and principles of ASEAN Treaty of Amity and Cooperation in Southeast Asia as a code of conduct governing relations between states and a unique diplomatic instrument for regional confidence-building, preventive diplomacy, and political and security cooperation."

10. The second approach is the implementation of concrete confidence-building measures. The first ARF meeting, in Bangkok entrusted the next Chairman of the ARF, Brunei Darussalam, to study all the ideas presented by ARF participants and to also study other relevant internationally recognised norms, principles and practices. After extensive consultations, the ASEAN countries have prepared two lists of confidence-building measures. The first list (Annex A) spells out measures which can be explored and implemented by ARF participants in the immediate future. The second list (Annex B) is an indicative list of other proposals which can be explored over the medium and long-term by ARF participants and also considered in the immediate future by the Track Two process. These lists include possible preventive diplomacy and other measures.

11. Given the delicate nature of many of the subjects being considered by the ARF, there is merit in moving the ARF process along two tracks. Track One activities will be carried out by governments. Track Two activities will be carried out by strategic institutes and non-government organisations in the region, such as ASEAN-ISIS and CSCAP. To be meaningful and relevant, the Track Two activities may focus, as much as possible, on the current concerns of the ARF. The synergy between the two tracks would contribute greatly to confidence-building measures in the region. Over time, these Track Two activities should result in the creation of a sense of community among participants of those activities.

Moving Beyond Stage 1

12. There remains a residue of unresolved territorial and other disputes that could be sources of tension or conflict. If the ARF is to become, over time, a meaningful vehicle to enhance the peace and prosperity of the region, it will have to demonstrate that it is a relevant instrument to be used in the event that a crisis or problem emerges. The ARF meeting in Bangkok demonstrated this by taking a stand on the Korean issue at the very first meeting. This was a signal that the ARF is ready to address any challenge to the peace and security of the region.

13. Over time, the ARF must develop its own mechanisms to carry preventive diplomacy and conflict-resolution. In doing so, the ARF will unique challenges. There are no established roads or procedures for it to follow. Without a high degree of confidence among ARF participants, it is unlikely that they will agree to the establishment of mechanisms which are perceived to be intrusive and/or autonomous. This is a political reality the ARF should recognise. However, it would be useful in the initial phase for the Track Two process to consider and investigate a variety of preventive diplomacy and conflict-resolution mechanisms. A good start was made with the three workshops organised by International Studies Centre (Thailand) and Institute of Policy Studies (Singapore) on ASEAN-UN Cooperation for Peace and Preventive Diplomacy, and the Indonesia-sponsored series off workshops on the South China Sea.

Stage II: Development of Preventive Diplomacy Mechanisms

14. Preventive diplomacy would be a natural follow-up to confidence building measures. Some suggestions for preventive diplomacy measures are spelled out in Annexes A and B

Stage III: Development of Conflict-Resolution Mechanisms

15. It is not envisaged that the ARF would establish mechanisms conflict resolution in the immediate future. The establishment of such mechanisms is an eventual goal that ARF participants should pursue as they proceed to develop the ARF as a vehicle for promoting regional peace and stability.

Organisation of ARF activities

16. There shall be an annual ARF Ministerial Meeting, in an ASEAN capital just after

the ASEAN Ministerial Meeting. The host country will chair the meeting. The incoming Chairman of the ASEAN Standing Committee will chair all inter-sessional Track One activities of the ARF.

17. The ARF shall be apprised of all Track Two activities through the current Chairman of the Track One activities, who will be the main link between Track One and Track Two activities.

18. In the initial phase of the ARF no institutionalisation is expected. Nor should a Secretariat be established in the near future. ASEAN shall be the repository of all ARF documents and information and provide the necessary support to sustain ARF activities.

19. The participants of the ARF comprise the ASEAN member states, the observers, and consultative and dialogue partners of ASEAN. Applications to participate in the ARF shall be submitted to the Chairman of the ARF who will then consult the other ARF participants.

20. The rules of procedure of ARF meetings shall be based on prevailing, ASEAN norms and practices. Decisions should be made by consensus after careful and extensive consultations. No voting will take place. In accordance with prevailing ASEAN practices, the Chairman of the ASEAN Standing Committee shall provide the secretarial support and coordinate ARF activities.

21. The ARF should also progress at a pace comfortable to all participants. The ARF should not move “too fast for those who want to go slow and not too slow for those who want to go fast”.

Conclusion

22. ARF participants should not assume that the success of the ARF can be taken for granted. ASEAN's experience shows that success is a result of hard work and careful adherence to the rule of consensus. ARF participants will have to work equally hard and be equally sensitive to ensure that the ARF process stays on track.

23. The ARF must be accepted as a “sui generis” Organisation. It has no established precedents to follow. A great deal of innovation and ingenuity will be required to keep the ARF moving forward while at the same time ensure that it enjoys the support of its diverse participants. This is a major challenge both for the ASEAN countries and other ARF participants. The UN Secretary-General’s “Agenda for Peace” has recognised that “just as no

two regions or situations are the same, so the design of cooperative work and its division of labour must adjust to the realities of each case with flexibility and creativity”.

ANNEX A

I. CONFIDENCE-BUILDING MEASURES

Principles

1. The development of a set of basic principles to ensure a common understanding and approach to interstate relations in the region; and
2. Adoption of comprehensive approaches to security.

Transparency

3. Dialogue on security perceptions, including voluntary statements defence policy positions;
4. Defence Publications such as Defence White Papers or equivalent documents as considered necessary by respective governments;
5. Participation in UN Conventional Arms Register;
6. Enhanced contacts, including, high level visits and recreational activities;
7. Exchanges between military academies, staff colleges and training;
8. Observers at military exercises, on a voluntary basis; and
9. Annual seminar for defence officials and military officers on selected international security issues.

II. PREVENTIVE DIPLOMACY

1. Develop a set of guidelines for the peaceful settlement of disputes, taking into account the principles in the UN Charter and the TAC;
2. Promote the recognition acceptance of the purposes and principles of the TAC and its provisions for the Pacific settlement of disputes, as endorsed by the UNGA in Resolution 47/53 (B) on 9 December 1992; and
3. Seek the endorsement of other countries for the ASEAN Declaration on the South China Sea in order to strengthen its political and moral effect (as endorsed by the Programme of Action for ZOPFAN).

III. NON-PROLIFERATION AND ARMS CONTROL

Southeast Asia Nuclear Weapons-Free Zone (SEANWFZ).

IV. PEACEKEEPING

1. Seminars/Workshops on peacekeeping issues; and
2. Exchange of information and experience relating to UN Peacekeeping Operations.

V. MARITIME SECURITY COOPERATION

Disaster Prevention

ANNEX B

I. CONFIDENCE-BUILDING MEASURES

1. Further exploration of a Regional Arms Register;
2. Regional security studies centre/ coordination of existing security studies activities;
3. Maritime information data bases;
4. Cooperative approaches to sea lines of communication, beginning with exchanges of information and training in such areas as search and rescue, piracy and drug, control;
5. Mechanism to mobilise relief assistance in the event of natural disasters;
6. Establishment of zones of cooperation in areas such as the South China Sea;
7. Systems of prior notification of major military deployments that have region-wide application; and
8. Encourage arms manufacturers and suppliers to disclose the destination of their arms exports.

II. PREVENTIVE DIPLOMACY

1. Explore and devise ways and means to prevent conflict;
2. Explore the idea of appointing Special Representatives, in consultation with ARF members, to undertake fact-finding missions, at the request of the parties involved to an issue, and to offer their good offices, as necessary; and
3. Explore the idea of establishing, a Regional Risk Reduction Centre as suggested by the UN Secretary-General in his Agenda For Peace and as commended by UNGA Resolution 47/120 (see section IV, operative para 4). Such a centre could serve as a data base for the exchange of information.

III. NON-PROLIFERATION AND ARMS CONTROL

A regional or sub-regional arrangement agreeing not to acquire or deploy ballistic missiles.

IV. PEACEKEEPING

Explore the possibility of establishing a peacekeeping centre.

V. MARITIME SECURITY COOPERATION

1. A multilateral agreement on the avoidance of naval incidents that apply to both local and external navies;
2. Sea Level/Climate Monitoring System;
3. Establishment of an ASEAN Relief and Assistance Force and a Maritime Safety (or Surveillance) Unit to look after the safety of the waters in the region;
4. Conventions on the Marine Environment
 - Dumping of Toxic Wastes
 - Land-based Sources of Marine Pollution;
5. Maritime surveillance; and
6. Explore the idea of joint marine scientific research.

ASEAN Regional Forum (ARF) Concept and Principles of Preventive Diplomacy

(2001)

Introduction

1. The ASEAN Regional Forum (ARF) was established by ASEAN in 1994 to maintain peace and stability in the region and to promote regional development and prosperity. It was recognised that rapid development in the regional and global environment had impacted on the security and strategic concerns of countries in the region. It was also acknowledged that the region was remarkably diverse, and that there remained challenges to regional peace and prosperity.

2. The ARF sought to meet these challenges by putting into place a three-stage process - Stage 1 on promotion of Confidence Building Measures, Stage 2 on development of preventive Diplomacy and Stage 3 on Elaboration of Approaches to Conflicts. It was generally recognised that the ARF would have to establish itself, over time, as a meaningful forum to enhance the peace and prosperity of the region. To do so, the ARF process would have to adopt a gradual evolutionary approach, decision-making by consensus and move at a pace comfortable to all its members in order to achieve its long-term objectives. Discussions should be aimed at enhancing mutual understanding and trust among the Asia-Pacific countries, furthering their dialogue and cooperation, and promoting peace, stability and prosperity in the region.

3. Much progress has been made over the past six years, a relative short time in the life of regional organisations. Constant interaction among Ministers and senior officials of the ARF members, and confidence building measures that have been initiated, have helped to build up comfort levels. This has allowed for discussions among ARF members to be candid and frank, thereby encouraging greater transparency, mutual trust and understanding of each other's concerns and positions. It was stressed that the confidence building would continue to be the main thrust of the whole ARF process, since it is impossible to move the ARF forward without a high degree of mutual understanding and trust among ARF participants.

4. Hence, at the 4th ARF, the Ministers instructed the ARF Intersessional Support Group on Confidence Building Measures (ISG on CBMs) to identify areas in the overlap between CBMs and Preventive Diplomacy, and ways and means of addressing them while maintaining the focus on CBMs. In addressing the issue of overlap, a common understanding on a working concept of Preventive Diplomacy (PD) and the principles governing its practice is necessary to provide a common basis on which to explore this overlap and to enhance confidence in the process. Pursuant to this, the Ministers at the 6th ARF in Singapore instructed the ISG on CBMs to further explore the overlap between CBMs and PD, focusing inter alia on the development of the concepts and principles of PD.

Definition, Concept and Principles of PD by the ARF

5. Agreement on the definition and, more importantly, a common understanding of the concept of PD and the principles governing the practice of PD, would be useful for further progress on the development of PD within the ARF. The definition of PD by the ARF sets out very broad objectives, and the concept would serve as a guide as to the approach to take, while the principles would serve as a guide as to fundamental parameters for the practice of PD in the ARF.

6. The definition, concept and principles of PD as agreed by ARF members are not legal obligations. They are shared perspectives that would apply only to the ARF and should be understood as representing the current status of an evolving consensus in the ARF as discussions continue. These discussions should be aimed at enhancing mutual understanding and trust among ARF members, take into account the actual conditions of the region and be consistent with basic principles of international law and established ARF processes.

Definition of PD

7. The definition of PD has proven to be controversial. However, there appears to be general consensus that PD is consensual diplomatic and political action taken by sovereign states with the consent of all directly involved parties :

- To help prevent disputes and conflicts from arising between States that could potentially pose a threat to regional peace and stability;
- To help prevent such disputes and conflicts from escalating into armed confrontation; and
- To help minimise the impact of such disputes and conflicts on the region.

Concept of PD

8. Much academic work has been done within this broad definition of PD, and various concepts have been suggested. We can view PD along a time-line in keeping with the objectives; to prevent disputes/conflicts between states from emerging, to prevent such disputes conflicts from escalating into armed confrontation, and to prevent such disputes and conflicts from spreading. Some measures could be taken even before a crisis has actually arisen.

9. PD measures could include the following:

- a. *Confidence Building Efforts* i.e. efforts to build mutual trust and confidence between states. The successful application of PD has to be built upon continuous efforts to maintain and enhance trust and confidence. Without a high degree of trust among ARF participants, it is unlikely that PD in the later stages of any conflict can be carried out. While the ARF has succeeded in fostering dialogue among ARF members over the past few years, it is now time to look into strengthening the habit of cooperation. Cooperation among ARF members can preempt disputes as well as prevent disputes from developing into conflicts by enhancing trust and understanding.
- b. *Norms building* i.e. nurturing of accepted codes or norms of behaviour guiding the relationships among states in the Asia-Pacific region. To the extent that the codes enhance predictability and strengthen cooperative behaviour in ensuring regional peace, norms building enhances trust between and among states in the region. The ARF could consider measures in this area, such as developing a code of conduct governing relations among ARF members which is consistent with existing codes such as the Treaty of Amity and Cooperation in Southeast Asia (TAC) and the UN Charter.
- c. *Enhancing Channels of Communication*: open, easy and direct communications or channels among ARF participants which serve to promote transparency with a view to avoid misperception or misunderstanding such channels would advance information-sharing, provide early warning and facilitate dialogue.
- d. *Role of the ARF Chair* The ARF Chair could play a role as determined by ARF members.

10. At the onset of a crisis, further measures could be considered as appropriate. The ARF should continue to consider possible further measures with a view to reaching consensus on them.

Principles of PD

11. Principles to guide the practice of PD are necessary to increase understanding of the scope and mechanisms of PD and to provide consistency and reasonable expectations of the process. In formulating and applying these principles, it would be useful to draw on the approach that has contributed to ASEAN's success and resilience. This includes the non-use of force in inter-state relations, the peaceful settlement of disputes, non-interference in the internal affairs of members, pragmatism, flexibility and consensus, consultation accommodation.

12. The following are 8 key principles of PD, drawn mainly from discussions in CSCAP:

- It is about diplomacy. It relies on diplomatic and peaceful methods such as diplomacy, negotiation, enquiry, mediation, and conciliation.
- It is non-coercive. Military action or the use of force are not part of PD.
- It should be timely. Action is to be preventive, rather than curative. PD methods are most effectively employed at an early stage of a dispute or crisis.
- It requires trust and confidence. PD can only be exercised successfully where there is a strong foundation of trust and confidence among the parties involved and when it is conducted on the basis of neutrality, justice and impartiality.
- It operates on the basis of consultation and consensus. Any PD effort can only be carried out through consensus after careful and extensive consultation among ARF members, with due consideration for the need for timeliness.
- It is voluntary, PD practices are to be employed only at the request of all the parties directly involved in the dispute and with their clear consent.
- It applies to conflicts between and among States.
- It is conducted in accordance with universally recognised basic principles of international law and inter-state relations embodied, *inter alia*, in the UN Charter the Five Principles of Peaceful Co-existence and the TAC. These include respect for sovereign equality, territorial integrity and non-interference in the internal affairs of a State.

Conclusion

13. The ARF's process should progress at a pace comfortable to all members on the basis of consensus. A step-by-step approach is needed to ensure consensual progress in order to secure the maintenance and continuing enhancement of commitment of all participants in the ARF process. We should seek to proceed with the possible while keeping an eye on what can be done in the longer term. For the ARF to further develop, it is important to achieve a common understanding and consensus on the concept, definition and principles of PD.

May 2001

Enhanced Role of the ARF Chair (Shared Perspectives among the ARF members)

(2001)

Objective

The 6th Senior Officials' Meeting (SOM) of the ASEAN Regional Forum (ARF) in May 1999 agreed that the next ISG (1999-2000) would continue to explore the principles and procedures for an enhanced role for the ARF Chairman in good offices and co-ordination in between ARF meetings. The 6th Ministerial Meeting in July 1999 noted the common understandings reached on the four tabled proposals relating to the overlap between CBMs and PD. These common understandings includes the above agreement at the SOM.

Consistent with this request, the ARF ISG on CBMs of the 1999-2000 inter-sessional year at its meeting in Tokyo in November 1999 discussed these roles and agreed that such a role for the ARF Chairman in liaising with external parties should be further encouraged as far as it was carried out informally with prior consultation with all ARF members and their consent. The ARF ISG meeting in Singapore in April 2000 had a substantive exchange of views on this issue. The meeting agreed that the ARF Chair could serve as a useful conduit for information-sharing in between ARF meetings, and that members could utilise this on a voluntary basis.

The 7th Ministerial Meeting in July 2000 requested the ISG to continue its work in exploring the overlaps between CBMs and PD and strengthening the four CBM/PD overlap proposals already agreed upon, which include an enhanced role of the ARF Chair.

The aim of this paper is to help clarify and facilitate the ongoing discussions at the ISG on the Enhanced Role of the ARF Chair. The paper is mainly focused on the role of the ARF Chair in the CBM stage, and outlines principles and procedures that could serve as a basis for further discussions. These principles and procedures are shared perspectives that would apply only to the ARF and should be understood as representing the current status of an evolving consensus in the ARF as discussions continue.

1. Principles

In accordance with universally recognised basic principles of international law and inter-state relations embodied, inter alia, in the UN Charter, the Five Principles of Peaceful Co-existence and the TAC, including respect for sovereign equality, territorial integrity and non-interference in the internal affairs of a state, the Enhanced roles of the ARF Chair in good offices and co-ordination in between ARF meetings are aimed at enhancing mutual understanding and promoting the continuity and efficiency of the ARF process.

2. Roles and Procedures

(1) Definition of the ARF Chair

ARF Chair means the Minister for Foreign Affairs or its equivalent of the ARF Chair Country in the inter-sessional year. The ARF Chair could appoint a representative (such as the SOM Leader) to assist the Chair.

(2) Roles

The ARF Chair could perform a role in good offices and/or a role in co-ordination in between ARF meetings which includes:

- (a) Promoting confidence building among ARF members by facilitating information exchange and dialogue between and among ARF members, such as by holding conferences and workshops.
- (b) Fostering cooperation between ARF members by facilitating discussion on potential areas of cooperation.
- (c) Facilitating discussion on norms building in the ARF to enhance mutual trust and understanding.
- (d) Encouraging exchange of information and highlighting issues that can impact on regional security for consideration by the ARF by serving as a conduit for information sharing in between ARF meetings.
- (e) Serving as a focal point for consultations among ARF members on the basis of consensus of all the ARF members. Upon prior consent of directly involved states and the consensus of all ARF members, the ARF Chair may convene an ad hoc meeting of all ARF members at an appropriate level.
- (f) Liaising with external parties, such as heads of international organisations, and Track II organisations on an informal basis and with prior consultation with all ARF members and their consent.

(3) Mechanism to Support the ARF Chair

The ARF should discuss an appropriate mechanism to support the ARF Chair so that the Chair can carry out the roles in good offices and co-ordination in between ARF meetings smoothly and effectively. The following modalities of mechanism could be taken into consideration:

- (a) The ARF Chair will be supported by the resources of its country as is the current practice.
- (b) The ARF Chair could draw on the expertise and resources of other ARF- member (s). In this context, a particular attention should be paid to the need to ensure effective continuity during a transition period of chairmanship.
- (c) The ARF Chair could call upon the Experts and Eminent Persons (EEP) to provide their views on issues of relevance to their expertise in accordance with the Terms of Reference of EEP to be established with the consensus of all ARF members.
- (d) The ARF Chair could draw on the expertise and resources of external parties and Track II organisations as far as this was undertaken informally with consent of ARF members.

(4) Reporting

The ARF Chair should report to all ARF members on its activities in a timely manner.

Co-Chairs' Paper on the Terms of Reference for the ARF Experts/Eminent Persons (EEPs)

(2001)

The 7th ARF Senior Officials' Meeting in May 2000 agreed that *“the ARF proceed with collating nominations of experts/eminent person (EEPs) for the Register on a voluntary basis for submission...However, discussions on the terms of reference for the use of the Register would continue in the next inter-sessional year.”* The 7th ARF Ministerial Meeting in July 2000 also agreed that *“pending further discussions and agreement on the terms of reference for the Register, the ARF participants proceed with collating nominations of experts/eminent persons (EEPs) for the Register on a voluntary basis with the ARF Chair serving as a focal point.”*

Consistent with this request, the ARF ISG on CBMs of the 2000/2001 inter-sessional year should continue discussions on the terms of reference for the use of the Register while the ARF participants forward the list of their EEPs for the Register on a voluntary basis. The purpose of this paper is to generate further exchange of views among ARF participants on the development of an appropriate draft Terms of Reference for the EEPs.

1 Nomination on Experts/Eminent Persons

- (a) Each ARF participant can nominate, on a voluntary basis, up to five experts/eminent persons (EEPs), after having obtained their consent.
- (b) Each ARF participant may only nominate its own nationals to the Register. (In the case of the EU, it may nominate EEPs holding the nationality of any EU country).
- (c) An ARF participant cannot veto the nominees of another ARF participant.

2. Contents of the Register

The Register should contain the following information on each EEP: name, nationality, contact details (address, phone/fax numbers, e-mail address, etc.), curriculum vitae, areas of expertise, as well as any additional information deemed relevant.

3. Management of the Register

- (a) The ARF Chair will manage the Register throughout each intersessional year. Copies of the Register should be made available during meetings of the ARF SOM and upon the request of any ARF participant.
- (b) ARF participants should keep the ARF Chair informed of any changes in the information regarding their respective nominees including the addition and/or withdrawal of an EEP. The ARF Chair will then update the Register accordingly.

4. Scope and Procedure for Activities of the EEPs

- (a) The EEPs may provide non-binding and professional views or recommendations to the ARF participants, when they are requested to undertake in-depth studies and researches or serve as resource persons in ARF meetings on issues of relevance to their expertise.
- (b) The ARF Chair or any ARF participant may propose to activate the EEPs for the above-mentioned tasks. Such proposals will be collected by the ARF Chair and circulated to all ARF participants. In the absence of any objection from concerned ARF participants the proposals will be put into effect.
- (c) The activities and findings/results of the EEPs should be reported to the ARF Chair which would share it with all ARF participants. In this regard, the EEPs should be informed in advance on the way their findings/results will be used by the ARF chair or ARF participants.

5. Financial Rules

- (a) The ARF participants that engage the services of the EEPs will bear the costs involved.
- (b) In the event that the EEPs are commissioned for a task by the initiative of the ARF Chair, the Chair may mobilize voluntary contributions from ARF participants. The modality of funding should be indicated in the proposals.

6. Future Review of the Terms of Reference

These Terms of Reference for the use of the Register of EEPs will be reviewed for possible amendments and revisions when and if the need arises in the future. Any amendments and revisions shall be made on the basis of consensus of all ARF members.

Guidelines for the Operation of the ARF EEPs

(2004)

These guidelines, based on the Co-Chair's Paper on the Terms of Reference for the ARF EEPs adopted at the 8th ARF Ministerial Meeting in 2001, is to provide a guidance to the actual operation of the Register of EEPs.

1. Composition and Status of the EEPs

- (a) The EEPs, experts and eminent persons nominated and registered by each ARF participant in due course in accordance with the 2001 Co-Chairs' paper on Terms of Reference for the ARF EEPs, shall be regarded as advisers to the ARF.
- (b) The ARF participants will be encouraged to indicate the specific field of expertise of the individual EEPs, thereby facilitating selection of EEPs suited for the assigned task.

2. Role of the EEPs

- (a) The role of the EEPs is to provide non-binding and professional views or policy recommendations to the ARF through the ARF Chair, or to serve as resource persons to the ARF on issues of relevance to their expertise.
- (b) The activities of the EEPs shall focus on issues and subjects which are relevant to the interests and concerns of the ARF not being adequately addressed elsewhere, and to which their expertise is directly applicable.
- (c) The work of the EEPs should directly support activities to take the ARF further forward, especially with respect to formative work on confidence building measures, the development of preventive diplomacy and the elaboration of approaches to conflicts in the region. In this regard, "the Nine Recommendations on the Future Direction of the ARF" adopted at the 9th ARF Ministerial Meeting on 31 July 2002 provide good examples of those subjects in which the expert study, analysis and recommendations of the EEPs may be required.

3. Procedures for Activities and Meetings of the EEPs

- (a) The ARF Chair or any ARF participant may propose activating the EEPs for the aforementioned tasks. Such proposals will be collected by the ARF Chair and circulated to all

ARF participants. In the absence of any objection from the ARF participants, the proposals will be put into effect.

(b) The ARF Chair shall invite nominations of EEPs from the ARF participants and, in consultations with the ARF participants, propose the individual EEPs to participate in the assigned task. The EEPs for the assigned task will be selected to reflect a diverse range of views among the EEPs and be of a manageable size. The mandate and scope of the work of the EEPs will be determined on a case-by-case basis and in accordance with the principle of consensus and so as to support the ARF Chair on specific tasks.

(c) Meetings of the EEPs may be convened to facilitate the conduct of the work mandated by the ARF, with the government hosting the EEPs' meeting providing the secretariat services and administrative assistance. It is encouraged that the EEPs' meeting be co-chaired by an EEP from ASEAN member state and an EEP from non-ASEAN member state.

(d) The activities and findings/results of the EEPs should be reported in writing to the ARF Chair which will share them with all ARF participants. In this regard, the EEPs should be informed in advance that their findings/results will be used by the ARF Chair or ARF participants within the ARF and with the consent of the concerned participants. The copyright for publication of the activities and findings/results of the EEPs will be held by the ARF and their activities and findings/results will not be publicized outside the ARF.

4. Financial Rules

(a) The ARF participants providing the EEPs with related services will bear the costs involved.

(b) In the event that the EEPs are commissioned for a task on the initiative of the ARF Chair, the Chair may mobilize voluntary contributions from the ARF participants. The modalities for funding should be indicated in the proposals.

5. Future Review and Amendment

(a) These guidelines will be reviewed for possible amendment and revision when and if the need arises in the future.

(b) Any amendment and revision shall be made on the basis of consensus of all ARF members.

A Concept Paper on Enhancing Ties between Track I and Track II in the ARF, and between the ARF and Other Regional and International Security Organizations

(2006)

Background

1. At the 12th ARF on 29 July 2005 in Vientiane, the Ministers emphasized the need to continue strengthening ties with other regional and international security organizations as well as linkages between Track I and Track II.

2. In accordance with the discussion at the ARF ISG Meeting in Honolulu on 17-19 October 2005, this paper attempts to provide some further guidelines and procedures to give expression to the Ministers' decision, building upon recommendations from previous ARF meetings and related papers, which include, *inter alia*, "Enhanced Role of the ARF Chair: Shared Perspectives among ARF Members," Brunei Darussalam's "Stocktaking of the ARF Process and Recommendations," Canada's "Discussion Paper on Strengthening Linkages Between Track I and Track II in the ARF Context," and Russia's "Draft Concept Paper on ARF-SCO."

Strengthening Linkages between Track I and Track II

3. Since the 1995 ARF Concept Paper decided to move the ARF process along two tracks, there have been many Track II activities.* The results of some have been reported to the ARF and some inputs have also been incorporated by Track I. An example is Singapore's "Concept Paper on Preventive Diplomacy" adopted at the 8th ARF, which refers to CSCAP's proposal on the definition of Preventive Diplomacy (PD).

4. It is understood that all decisions with regard to enhancing linkages between Track I and Track II would be undertaken by consensus in accordance with the principle of respect to ARF participants' sovereignty and non-interference in their internal affairs and take into account the comfort level of all ARF participants. As such, contacts with Track II would not prejudice ARF participants' policies towards such organizations. Further modalities of linkages between

* Track II activities have been compiled by the ARF Unit and the list appears on the ARF Net (www.aseanregionalforum.org).

the ARF and various Track II organizations may differ, without one case necessarily setting a precedent for another.

Formats and Procedures

5. With respect to strengthening linkages between Track I and Track II, priority should at this stage be given to CSCAP and ASEAN-ISIS in the following manners:

- Inviting chairs of CSCAP and ASEAN-ISIS to the ISG on CBMs and PD meeting to give a presentation of written report(s) on their work, which reflect the consensus of their respective members and with prior consultation and consent of ARF participants. The ISG co-chairs would make every effort to ensure that Track II invitees do not raise sensitive issues;
- Reporting Track II activities that are sponsored by ARF participants to the ARF Chair;
- Circulating to ARF participants a compilation of CSCAP and ASEAN-ISIS recommendations made by consensus of their respective members;
- Including Track II experts, when judged appropriate by individual ARF participants, on the participant's national delegations to ARF CBMs, with the understanding that these individuals agree in advance to respect the non-public character of the discussions and that participants include only individuals from their own country(s). The co-chairs of CBMs would make every effort to ensure that such experts do not raise sensitive issues.

6. As the Guidelines for the Operation of the ARF EEPs has been adopted by the 11th ARF, the ARF will consider the EEPs as its major Track II resources for studying possible links/ overlaps between Track II recommendations and those of Track I activities and pursuing deeper discussions on a particular issue (s), including on Preventive Diplomacy.

Strengthening Ties between the ARF and other Regional and International Security Organizations

7. Since the 6th ARF endorsed the recommendations on the “enhanced role of the ARF Chairman” in liaising with external parties, including other regional organizations, the ARF Chair has initiated informal contact with other organizations such as United Nations, the OAS (Organization of American States), the OSCE (Organization for Security and Cooperation in Europe) and the NAM (Non-Aligned Movement).

8. Other organizations are doing likewise. In line with its Tashkent initiative to gradually

establish a partnership network of multilateral associations active in the Asia Pacific region, the SCO (Shanghai Cooperation Organization) has expressed interest in establishing links with the ARF. The OSCE and the CICA (Conference on Interaction and Confidence Building Activities in Asia) are exploring the modalities for conducting a seminar jointly.

Format and Procedures

9. Based on the agreement that contacts between the ARF and external parties should be carried out for the sharing of information and experiences with prior consultation with all ARF members and their consent, ARF may, at the initial stage, wish to develop contacts with the UN, SCO, CICA, NAM, OAS and OSCE on issues relevant to its work. For the UN, such bodies as UN Office for Drugs and Crime and the Counter-Terrorism Executive Directorate may be given special consideration in view of the significance given by ARF to the related issues.

10. In view of the differing characteristics of various regional and international security organizations, ARF may have to consider the issue of enhancing linkages with specific organizations on a case-by-case basis and in an incremental manner. Modalities of linkages between the ARF and various organizations may differ, without one case necessarily setting a precedent for another. In principle, the external parties with which the ARF may wish to engage should be significant organizations or processes that are deemed of immediate relevance to the ARF and its particular CBM-PD activities.

11. Subject to the above guidelines, preliminary suggestions for ARF contact with such regional and international security organizations include:

- a. Promoting contacts between the ARF Unit and the Secretariats, or between the ARF Chair and the Chairs of other organizations;
- b. Inviting experts from other organizations to provide briefings to ARF ISG, ISM, or CBM activities on specific issues of interest to the ARF, on a case-by- case basis;*
- c. Conducting joint discussions on an informal and voluntary basis;**
- d. Encouraging ARF participants that are also members of other organizations to disseminate information on activities and outcomes of the ARF in those organizations and vice versa.

* This was the case with the presence of a representative from the OSCE Action Against Terrorism Unit to the ISG in Berlin/Potsdam in 2005 and a representative of SCO to the 4th ISM on CT/TC in 2006.

** An example of this was when OSCE and ARF participants met informally at the sideline of the ARF Workshop on Preventive Diplomacy in Tokyo in 2004. Thailand, as host, invited ARF participants to attend the OSCE Thailand Conference, on 25-26 April 2006, Bangkok.

Review

12. The above Format and Procedures for enhancing ties between Track I and Track II in the ARF, and between the ARF and other regional and international security organizations shall be subject to review whenever the need arises.

Terms of Reference of the Friends of the ARF Chair

(2007)

Background

1. The Workshop on Preventive Diplomacy conducted by the Council for the Security and Cooperation of the Asia Pacific (CSCAP) in 2000 in Singapore cited the use of “Special Representatives” and the “Group of Friends” of the UN Secretary General as relevant mechanisms for ARF with regard to efforts to enhance confidence building and help set the stage for the creation of preventive diplomacy mechanisms in the ARF.
2. At the 10th ARF in Cambodia, the Ministers agreed to “*support the ARF Chair to have Friends of the Chair to assist the Chair in dealing with regional and international situations, which affect the peace and security of the region.*”
3. The 2005 ASEAN Joint Communiqué issued in Vientiane stated that the ASEAN Ministers “*agreed to move forward the ARF activities by replacing the Inter-Sessional Support Group on Confidence Building Measures (ISG on CBM) with the ISG on CBM and PD (ISG CBM and PD),” to consider developing the concept of the Friends of the ARF Chair...*”
4. During the 12th ARF in Vientiane on 29 July 2005, the Ministers “*agreed to establish ‘Friends of the Chair’ in the ARF, and welcomed the Philippines’ offer to draft the terms of reference for this concept with the understanding that such an ad-hoc group shall have an advisory role to assist the ARF Chair and be flexible in terms of its membership.*”

Purposes and Principles

5. The FOC is to assist the ARF Chair in the latter's enhanced role, in accordance with the principles enshrined in the adopted paper on the Enhanced Role of the ARF Chair, even as it is generally accepted by ARF countries that the concept of the enhanced role of the ARF Chair is itself evolving.

6. It is an ad hoc group, constituted for a specific task by the ARF Chair as and when the situation warrants, including in times of emergency, crisis, and situations likely to disturb regional peace and stability.

7. The FOC shall carry out its work in accordance with the UN Charter and consistent with the purposes and principles of the Treaty of Amity and Cooperation in Southeast Asia, and in particular the core principles of consensus, respect for national sovereignty, and non-interference in the domestic affairs of one another.

Organizational Matters Composition

8. The Friends of the Chair is a troika composed of the (a) Foreign Minister of the incoming ARF chairing country (b) the Foreign Minister of a non- ASEAN ARF country, and (c) the Foreign Minister of the immediate past ARF chairing country.

9. taking into account the preceding paragraph, the ARF Chair, in consultation with all ARF participants, will decide on the specific composition of the FOC, depending on the issue at hand. The decision will take into account the need for a political balance among various interests and the paramount importance of regional stability and peace.

Scope

10. The FOC is primarily focused on confidence-building and shall not be intervention oriented. The FOC may advise the Chair in the performance of its good offices role and in facilitating discussions and negotiations on issues of critical significance for regional peace and security.

11. The FOC is an ad hoc group to support and assist the ARF Chair. It is not a decision-making body. It is only an advisory body. It is not intended to represent the ARF Chair beyond the specific tasks assigned to it.

Procedures

12. The ARF Chair will inform ARF countries before deciding when a situation warrants the constitution and convening of the FOC.

13. In discharging its mandate, the FOC will report and make recommendations to the ARF

Chair. The ARF Chair decides on the next steps to take.

14. The FOC may meet as often as necessary. The ARF participants, which have representatives in the FOC, will bear the costs involved in the activities of the FOC. In the event that the FOC is constituted and convened, the ARF Chair may mobilize voluntary contributions from ARF participants, including through contributions to the ARF Fund for such purpose.

15. The ARF Chair and the FOC may request the ARF Unit in the ASEAN Secretariat for any assistance within the ARF Unit's mandate.

Future Review of the Terms of Reference

16. These Terms of Reference of the Friends of the ARF Chair will be reviewed for possible amendments and revisions when and if the need arises in the future. Any amendments and revisions shall be made on the basis of consensus of all ARF participating countries.

ARF General Guidelines for Disaster Relief Cooperation

(2007)

In line with the principles of humanity, neutrality and impartiality and based upon UN recognized standards, the General Guidelines aim to establish a basic framework for disaster relief cooperation among ASEAN Regional Forum participating countries, to promote more effective cooperation, and to reduce the losses due to frequent disasters.

1. Scope

(a) In this document, “disaster” refers to a situation which requires assistance among the ARF participating countries in certain region where a natural or man-made event has caused significant human injuries and fatalities, serious damage to properties, livelihood, essential services, lifelines and public infrastructure, disruptions to the functioning of a community or society, and threats to public health, and surrounding environment. The provision of humanitarian assistance in situation of armed conflict is beyond the scope of these guidelines.

(b) “Relief” refers to resources and humanitarian action that the ARF participating countries could offer, which include, but are not limited to personnel, equipment, relief supplies, and actions related to transit facilitation.

2. Basic Principles

(a) Mutual Assistance on Equal Footing. In carrying out disaster relief cooperation, ARF will recognize the centrality of saving human lives and alleviating suffering where it is found. The Assisting Country will, on a voluntary basis and in accordance with its domestic laws and regulations, provide relief to the Receiving Country, and shall respect the sovereignty and territorial integrity of the Receiving Country without any racial, ethnic, or religious discrimination. The Receiving Country, upon receipt of relief from the Assisting Country, should ensure the timely, fair and transparent distribution of relief, and give timely briefing on how the relief is being used. The ARF participating countries will, within their capabilities, facilitate the disaster relief operation, such as, but is not limited to, the rapid and unimpeded delivery of relief consignments, equipment and personnel, the protection of such consignments.

(b) Respect for Receiving Country’s Decision. The Receiving Country has the first and foremost responsibility to take care of the victims of disasters occurring on its territory. The Assisting Country will provide disaster relief only with the consent of the Receiving Country. All disaster relief activities by the Assisting Country within the territory of the Receiving Country should be supportive of the guidance, coordination, and arrangements of the government of the Receiving Country.

(c) Decision by Mutual Agreement. The Receiving Country and the Assisting Country are ready to discuss and resolve differences and related issues that emerge during the preparation, launch, implementation, and conclusion of disaster relief operations, by seeking mutual agreement in ways comfortable to both sides.

(d) Enhancing Coordination. Recognizing the central role of the United Nations, in particular the Office for the Coordination of Humanitarian Affairs(OCHA), in coordinating the international humanitarian assistance efforts, the ARF participating countries will enhance coordination among themselves and with the humanitarian disaster relief activities of the United Nations and other international, regional, and local governmental and non-governmental organizations.

3. Launch of Disaster Relief Operations

(a) The disaster relief operations should be launched with the consent of the Receiving Country. The national disaster relief contact points of the ARF participants, or international organizations should be informed by the Receiving Country or the UN agencies through diplomatic channels after a disaster has stricken. Taking into account the speed with which assets and personnel need to be on the ground to have practical effect at saving lives and alleviating human suffering, the designated lead agencies for disaster relief of the ARF participants will undertake the coordination of disaster relief efforts within its territory. ARF participants are encouraged to stock-take and inform the contact points of their lead agencies and resources and capacities for overseas disaster relief to facilitate the process.

(b) The Receiving Country, in its request, should make clear the details of the disaster, such as location, time, nature, and magnitude of the disaster, as well as the relief needs and priorities, and where applicable, may seek assistance from the international post disaster damages and needs assessment(PDNA) teams in identifying the areas of greatest need.

(c) Upon receipt of the request for disaster relief, the ARF participating countries should, in a timely manner, review such requests and inform the Receiving Country as soon as possible whether it can provide assistance and, if applicable, of the nature, amount, and terms of the relief. All forms of relief from the Assisting Country should conform to the aim and requirement for disaster relief of the Receiving Country, and be conducive to rehabilitation and be compatible

with the long-term development of the Receiving Country.

(d) The ARF participating countries should adopt all necessary measures to, as far as possible, prevent disaster within their territories from spreading abroad, and will immediately inform the relevant countries and international organizations when the danger of such spread emerges, so that coordinated measures can be undertaken to mitigate the effects.

(e) In accordance with their domestic legislation and regulations, the ARF participating countries in the proximity of emergencies, upon receipt of the request by the Assisting Country or the Receiving Country, are encouraged to facilitate, to the extent possible, the transit of PDNA and disaster relief teams, equipment, facilities, and material supplies that are bound for the Receiving Country.

4. Management of Disaster Relief

(a) Unless otherwise agreed, the Receiving Country should exercise the overall direction, coordination and supervision of the foreign disaster relief teams within its territory. Disaster relief teams of the Assisting Country should follow the general plan of the Receiving Country for disaster relief operations.

(b) The government of the Assisting Country retains the full competence and responsibility for the internal management of all personnel, equipment and resources in disaster relief operations. The government of the Receiving Country should facilitate the work of foreign disaster relief teams within its territory, and do its utmost to ensure the safety of these personnel, equipment, and material supplies in the disaster relief operations. ARF participating countries will work together on importation, clearances, transfers, or exportation to accommodate disaster relief operations with the least possible delay.

(c) During their stay in the Transit Country and the Receiving Country, members of the disaster relief team should strictly abide by all the laws and regulations and respect the customs of these countries, implement relief impartially on the basis of need, not become involved in local disputes, and will seek to avoid having an adverse effect on the local economy.

(d) Military assets should only be requested for disaster relief as a last resort where there is no comparable civilian alternative and when their use can meet a critical humanitarian need. The use of such assets will be subject to mutually agreed arrangement between the Receiving and Assisting Countries, including, if applicable, to the appropriate status of forces arrangements.

(e) The Receiving Country and the Assisting Country should coordinate with each other to determine the length of stay of the disaster relief team. The Receiving Country has the right to ask the Assisting Country to withdraw any of its personnel, equipment or materials from the territory of the Receiving Country, within time frame agreed by both countries.

(f) Following the principle of friendly consultation, the Assisting Country and the Receiving Country should coordinate and consult to resolve the issues arising from disaster relief operation.

5. Cost of Disaster Relief

Disaster relief assistance should be provided at no cost to the Receiving Country, unless otherwise agreed between concerned States or regulated by international agreements.

6. Amendment and Relations with Other Instruments

(a) The Guidelines are of a non-binding nature and will not, in any way, affect the rights, obligations or responsibilities of States and where relevant, individuals under the Charter of the United Nations and, where applicable, the Convention on the Safety of United Nations and Associated Personnel, the Geneva Conventions of 1949 and the Additional Protocols of 1977 or under other applicable international laws. The Guidelines may be amended by consensus as the situation requires.

(b) To strengthen regional disaster relief collaboration and apply the Guidelines more effectively, the ARF participating countries are encouraged to enhance their disaster relief capacities through such cooperative activities as joint exercises, training programs, and partnerships with relevant bodies of ASEAN, UN and other international organizations, to reach a bilateral or regional understanding on the use of disaster relief resources, as well as to support the efforts for establishing a regional arrangement for the facilitation of the provision of the immediate humanitarian assistance.

Singapore Declaration on the 15th ARF

(2008)

We, the Ministers of the Member States of the Association of Southeast Asian Nations (ASEAN), Australia, Bangladesh, Canada, People's Republic of China, European Union, India, Japan, Democratic People's Republic of Korea, Republic of Korea, Mongolia, New Zealand, Pakistan, Papua New Guinea, Russian Federation, Sri Lanka, Timor Leste, and the United States of America, on the occasion of the 15th ASEAN Regional Forum (ARF) in Singapore on 24 July 2008;

Recalling the achievements of the ARF since its inaugural meeting in Bangkok in 1994 in promoting greater trust and confidence in the Asia-Pacific region and bringing together key countries that have an impact on the geographical footprint of the ARF to where it now comprises 27 participants who are firmly committed to enhancing regional peace and stability;

Recognising the continued relevance of the ARF in promoting and maintaining peace, security and stability in the region and its vital role in building confidence and trust amongst its participants;

Reaffirming the role of ASEAN as the primary driving force of the ARF and emphasizing that the active participation and cooperation of all participants are critical for the success of the ARF;

Reiterating the basic principles contained within the 1994 ARF Concept Paper, which is an important foundational document that has guided the development of the ARF since its inception;

Welcoming the recommendations proposed in the Paper on the Review of the ARF and looking forward to the assessment of the recommendations of the Study of Best practices in Preventive Diplomacy in selected regional and international organizations, which can be considered further by the ARF as it pursues progress towards goals set forth in the 1994 ARF Concept Paper;

Concerned that despite the ARF's best efforts and its successful endeavours, security threats and challenges that could undermine the peace, security and stability of the region still exist, and that such challenges are increasingly multi-faceted and non-traditional in nature which require our common resolve to address them; and

Cognisant that the ARF and its working processes should evolve to ensure that it continues to be the main regional security forum in the Asia-Pacific region;

Hereby Declare to:

- 1. Renew** our individual and collective commitment to build upon the achievements of the ARF and strengthen dialogue and cooperation in existing and new areas to promote and maintain regional peace and security;
- 2. Further** the development of appropriate Preventive Diplomacy concepts, in line with our decision in 2005 to move the ARF from the Confidence Building stage to the Preventive Diplomacy phase, while ensuring that future development would continue to be based on the values and roadmap contained in the 1994 ARF Concept Paper, 2001 ARF Concept and Principles of Preventive Diplomacy, and Paper on the Review of the ARF;
- 3. Strengthen** the existing ARF's organisational mechanism, including that of the ARF Chair, Friends of the Chair (FOC), ARF Unit and ARF Fund, through the mobilization of more resources, manpower and expertise;
- 4. Commit** to undertake concrete and practical cooperation to address issues of common interests, with the view to build capacity, develop expertise and enhance coordination in areas that can contribute to the region's collective security objectives;
- 5. Enhance** the cooperation, coordination and operational familiarity among our defence officials and operational agencies;
- 6. Enhance** further the engagement between Track I and Track II in the ARF, as well as partnership ties between the ARF and other regional and international organisations particularly by exchanging ideas, experiences and best practices;
- 7. Promote** greater awareness and understanding of the ARF's achievements, and its rele-

vance to people in the ARF region as well as enhance the visibility of the forum, its objectives and activities, in promoting regional peace and security; and

8. Further cooperate to strengthen and develop the ARF, its mandate, and its activities so that the ARF can serve as the premier regional security forum in the Asia-Pacific region.

Adopted in Singapore, this Twenty-Fourth Day of July in the Year Two Thousand and Eight.

ARF Vision Statement

(2009)

We, the Foreign Ministers of the ASEAN Regional Forum (ARF) Participants, gather today on 23 July 2009 in Phuket, Thailand to celebrate the 15th anniversary of the ARF after its establishment in Bangkok in 1994.

Representing Participants located in or with a key stake in the wide expanse of the Asia-Pacific, we chart a Vision for ARF by 2020 and its place in the region to ensure that our peoples can thrive and prosper in a safe, peaceful and harmonious environment. In so doing, we reaffirm our commitments to the principles that have guided our cooperation well over the past 15 years.

Building a Region of Peace, Friendship and Prosperity

1. We see the ARF as a central pillar in the evolving regional security architecture. Taking into account other regional arrangements, fora and cooperative frameworks that have emerged over the years, it is vital for the ARF to significantly contribute to the changing political landscape and evolving regional security architecture and make further efforts to raise its effectiveness.
2. We envision the Asia-Pacific as a region of lasting peace, stability, friendship and prosperity where States and organizations, both within and outside the region, work in a spirit of mutual trust, appreciation and respect to overcome security threats and challenges and prevent escalation of potential conflicts with a view to creating an environment conducive to sustainable development, social progress and improved quality of life for all peoples in the region.
3. We envision a region where States, institutions and other relevant organizations actively cooperate in promoting a culture of peace, tolerance, mutual understanding, respect and dialogue amongst peoples, cultures, religions and civilizations through the sharing and shaping of norms and values.

Guiding Approaches

4. We reaffirm ASEAN's role as the primary driving force in the ARF process. Noting the ASEAN Charter, we are committed to realizing enhanced synergies between the ASEAN Political-Security Community and the ARF. We also pledge close consultations with and the participation, support and cooperation of all ARF Participants in moving forward the ARF process.

5. We commit to move the ARF at a pace comfortable to all Participants in its evolution from the stage of confidence-building measures to the development of preventive diplomacy, while bearing in mind the ultimate stage where we can elaborate approaches to conflict resolution.

6. We envision the accession by all ARF participants to the Treaty of Amity and Cooperation in Southeast Asia (TAC) which contributes further to the region's long-term peace and stability and testifies to the deeper trust and higher level of cooperation between and among ARF Participants. We recognize the importance of fully adhering to the purposes and principles of the TAC.

Enhancing Cooperation for Action

7. Taking into account the principles and approaches mentioned above, including the UN and ASEAN Charters, we pledge to cultivate and nurture amongst the ARF Participants a habit of constructive dialogue, cooperation and greater transparency on political and security issues of common interest and concern and, as much as possible, to reconcile any differing views among us in order to address and reduce threats to regional peace and security, as follows:

- Strengthen ARF's role in raising awareness on security challenges and intensifying confidence building and cooperation.
- Develop preventive diplomacy in priority areas that directly affect our peoples and that are insurmountable through our individual actions alone, namely those pertaining to non-traditional, transboundary and inter-state security challenges including working towards mutually acceptable early warning mechanisms.
- Make the ARF an action-oriented mechanism that develops concrete and effective responses to the common challenges confronting the Asia-Pacific region, such as terrorism and transnational crime, disaster relief, maritime security and non-proliferation and disarmament, and those that may arise in the future.

- Maintain comprehensive approaches to regional security issues, as appropriate, including developing codes of conduct, guidelines, common standard operating procedures and best practices along with standby arrangements, effective interoperable collective responses and enhanced capability including through joint exercises in specific areas of activity agreeable to all Participants.
- Encourage greater participation in ARF activities by a broad spectrum of agencies and officials including defense and security.
- Develop feasible preventive diplomacy capabilities through, amongst others, norm-building and enhanced channels of communication.
- Promote the role of the ARF Chair including enhancing the Friends of the ARF Chair mechanism that, with the consent of the ARF Participants involved, can help address situations of common concern. The Secretary-General of ASEAN could also serve as a point of first contact in cases of emergency or crisis.
- Develop more advanced institutional features for ARF which could include the development of stronger secretariat support by providing necessary resources to the ARF Unit.

Building Partnerships for Comprehensive Security

8. We envision the ARF developing fruitful partnerships and networks of cooperation amongst various security organizations and fora in the Asia-Pacific region and other regions as well as with international organizations with a view to creating feasible synergies between them on issues of common concerns.

9. We believe that Track II organizations, including the ARF Experts and Eminent Persons (EEPs), ASEAN ISIS and CSCAP, and with the consensus of ARF Participants, relevant accredited civil society groups can provide useful ideas and policy inputs and help raise public awareness of the ARF.

Implementation

To fulfill our Vision, we will develop a plan of action and undertake a regular review of its implementation.

**ASEAN Regional Forum Strategic Guidance for
Humanitarian Assistance and
Disaster Relief**

(2010)

CONTENTS

**CHAPTER 1:
THE NEED FOR STRATEGIC GUIDANCE FOR HUMANITARIAN
ASSISTANCE AND DISASTER RELIEF**

	Para
Introduction	
Disasters	101
The ASEAN Regional Forum	104
Strategic Guidance of HADR	107

**CHAPTER 2:
CHARACTERISTICS OF DISASTERS**

Humanita Ban Emergency/Disaster	201
Disaster Relief	203
Disaster Management	204
Disaster Mitigation	206
Humanitarian Community	207
Humanitarian Assistance	208
Humanitarian Space	209
Military Involvement in HADR	210
Affected States Support	212
Civil-Military Coordination	213
Civil-Military Cooperation	214
Civil-Military Operations	215

**CHAPTER 3:
DISASTER RELIEF APPROACH TO DISASTER RELIEF**

Disaster Management Cycle	301
---------------------------	-----

Asia-Pacific Perspective	303
Principles	308
Military Assets	319
Multi-national Force	324
Multi-national Planning Augmentation Team	327
Non-Government Organisations	329
United Nations	330
International Cluster Approach	342
International Organisation for Migration	344
Implementation of Disaster Relief	346
Priority of Response	354
Planning and Preparation	358
Lines of Operation	362
Transition Planning	364

CHAPTER 4: COORDINATION AND COOPERATION

Introduction	401
Degrees of Coordination	405
Coordination within the ASEAN Regional Forum	406
Authority	407
Coordination Responsibilities	413
Governments	415
Civil Society/International Aid Community	416
Military	420
Handover of Responsibilities	425
Evaluation	427

CHAPTER 5: LOGISTICS SUPPORT FOR DISASTER RELIEF

Logistics Planning	501
Capability Requirements	505
Resource and Support Planning	506
Transfer of logistic Support	510
Health Support	515

Health Conditions and Medical Support Considerations	519
--	-----

CHAPTER 6: PREPAREDNESS

Disaster Risk Management Cycle	601
Preparedness Planning	602
UN International Strategy for Disaster Reduction	606
Australia and Singapore ARF Disaster Relief Mapping Service	608
Awareness and Preparedness for Emergencies at Local Level	609
Standby Arrangements	611

CHAPTER 7: TRAINING

Types of Training Exercises	702
Elements of Training	706
Interagency Training	710
Team Building	712
Leadership Training	715
Training in Media Operations	717
Skills Training	718

ANNEXES

Chapter 1

Annex A - ASEAN Charter and Other Declarations and Agreements

Chapter 2

Annex A – Indonesian Tsunami 2004

Chapter 3

Annex A – ARF General Guidelines for Disaster Relief Cooperation

Annex B – Guidelines on the Use of Military and Civil Defence Assets in Disaster Relief

Annex C – Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance

Annex D – Other Guidelines

GLOSSARY

ACRONYMS AND ABBREVIATIONS

WEBSITES FOR HUMANITARIAN ASSISTANCE AND DISASTER RELIEF

CHAPTER 1

The Need for Strategic Guidance for Humanitarian Assistance and Disaster Relief

Introduction

The Strategic Guidance is not intended to replace or compete with other regional or international documents. It is designed to provide high level guidance for both civil and military actors in the humanitarian assistance and disaster relief arena. It provides a common point of reference for ASEAN Regional Forum (ARF) members. The document has been developed by members of the ARF for the greater good of the ARF community.

The ARF Strategic Guidance on Humanitarian Assistance and Disaster Relief (HADR) is intended to promote a common understanding of civil-military cooperation and coordination procedures for improving interoperability and cooperation between ARF participants, and so reduce their response time in disaster relief. The Strategic Guidance acknowledges the primacy of sovereignty, and is legally non-binding. It focuses on emergency response activity and is not intended to apply to rehabilitation and reconstruction activity.

Existing Regional Documents on HADR. The ARF HADR Strategic Guidance is also intended to be used in harmony with other national and international HADR documents, guidelines and procedures, such as:

- ARF General Guidelines for Disaster Relief Cooperation (Annex A to chapter 3),
- ASEAN Standard Operating Procedures for Regional Standby Arrangements and Coordination of Joint Disaster Relief and Emergency Response Operations (SASOP),
- ARF Work Plan for Disaster Relief 2009-2011 Version 5.0. as adopted by the 16th ARF, and

Asia Pacific Conference on Military Assistance to Disaster Relief Operations Guidelines.

A summary of the ASEAN Charter and other ASEAN declarations and agreements is contained in annex A to this chapter.

The Strategic Guidance will be continually improved on the basis of the needs of the ARF through incorporation of lessons learnt and other forms of validation. This document may

be reviewed when necessary at the ARF Inter-Sessional Meeting on Disaster Relief will be responsible for annual review of the document.

Disasters

101. Large scale, catastrophic events in recent years, including tsunamis, earthquakes, landslides and hurricanes have all highlighted the importance of effective coordination mechanisms between civil agencies and military forces in rapidly responding to disasters.

102. Disasters are a complex mix of occurrences and may be the result of natural forces (extreme weather or geological activity) or human activity (conflict, social upheaval and pollution). Disasters can cause widespread human displacement and suffering, and retard economic and social development for lengthy periods.

103. Population growth, technological advancement, infrastructure development, the risk of global diseases, the emerging energy crisis, climate change, regional security instability, changing geopolitical trends and the threat of terrorism add to the complexities of preparing adequate disaster mitigation and response strategies.

The ASEAN Regional Forum

104. Established in 1994, the ARF is a key forum for multilateral security dialogue in the Asia Pacific region. In addition to the ten ASEAN nations, the ARF includes Australia, Bangladesh, Canada, the People's Republic of China, the European Union, India, Japan, North Korea, South Korea, Mongolia, New Zealand, Pakistan, Papua New Guinea, Russia, Sri Lanka, Timor-Leste and the United States.

105. The ARF countries cover a vast proportion of the earth's surface and include populations that live in every form of habitable environment including deserts, jungles, highly developed urban environments, rural areas and mountainous locations. This means that each year one or more countries in the region may confront a wide range of natural or man-made disasters. The random and overwhelming nature of disasters exposes all countries to a degree of irreducible risk, regardless of their size, location or level of development.

106. The ARF has a well-established, diverse and highly capable membership with shared intent to improve interoperability, effectiveness and response time in disaster relief. In July 2006 the ARF Statement on Disaster Management and Emergency Response (DMER) was

endorsed by the Ministers during their 13th Meeting. This statement confirmed the commitment of ARF participating countries to support improved cooperation and coordination in disaster response, and also identified the need for a common understanding among ARF members of civil-military cooperation and coordination procedures. The important role of existing ASEAN organisations in the field of disaster management was also acknowledged. Furthermore, in July 2009, ARF Ministers endorsed the ARF Work Plan for Disaster Relief to assist in the coordination and planning of ARF efforts on disaster relief.

Annex:

ASEAN Charter and other Declarations and Agreements

ASEAN Charter and other Declarations and Agreements

1. **The ASEAN Charter.** ASEAN Leaders, at their 13th Summit, agreed upon and signed the ASEAN Charter, which shall provide legal and institutional framework for ASEAN. The Charter serves as a basis for the Association to establish One Vision, One Identity and One Caring and Sharing Community based on its agreed principles.

2. **Priority for Disaster Management.** ASEAN's priority for disaster management was reaffirmed by the ASEAN leaders in the Bali Accord II of October 2003 where they pledged to achieve an ASEAN community by 2020. The ASEAN Socio-Cultural Community calls for intensifying "cooperation in addressing problems associated with population growth, unemployment, environmental degradation and trans-boundary pollution, as well as disaster management in the region to enable individual members to fully realise their development potential and to enhance the mutual ASEAN spirit."

3. **ASEAN Agreement on Disaster Management and Emergency Response.** The ASEAN Agreement on Disaster Management and Emergency Response (AADMER) sets out a range of obligations and principles for ASEAN member countries related to (i) disaster risk identification, assessment and monitoring, (ii) disaster prevention and mitigation, (iii) disaster preparedness including early warning, (iv) emergency response, (v) rehabilitation, and (vi) technical cooperation and scientific research. It also calls for the establishment of the ASEAN Coordinating Centre for Humanitarian Assistance on Disaster Management (AHA Centre). The AADMER has been signed and ratified, by all ASEAN countries.

4. **ASEAN Committee on Disaster Management.** ASEAN member countries provide representatives to the ASEAN Committee on Disaster Management (ACDM) which is mandated to coordinate and implement regional disaster management activities. The Committee formulates the ASEAN Regional Programme on Disaster Management (ARPD) as a framework for promoting concerted regional cooperation on disaster management in the ASEAN region and outlines ASEAN's regional strategy on disaster management, as well as priority areas and activities for disaster risk reduction in the region. The Committee is also responsible for managing a workplan on Disaster Relief.

5. **The Jakarta Declaration on Action to Strengthen Emergency Relief, Rehabilitation, Reconstruction and Prevention** in the aftermath of the Earthquake and Tsunami Disaster of 26 December 2004 issued at the Special ASEAN Leaders' Meeting on the Aftermath of

Earthquake and Tsunami in Jakarta, 6 January 2005.

6. **Declaration on Mutual Assistance on Natural Disasters.** Emphasising the need for mutual assistance in mitigation, and rescue and relief of victims of natural disasters, the ASEAN Declaration on Mutual Assistance on Natural Disasters, adopted on 26 June 1976, called on member countries to cooperate in:

- a. improvement in communication for early warning;
- b. dissemination of medical supplies, services and relief assistance; and
- c. exchange of experts, trainees, information and documents.

CHAPTER 2

Characteristics of Disasters

Humanitarian Emergency/Disaster

201. A humanitarian emergency/disaster is a serious disruption of a society's ability to function effectively, causing widespread human, material, or environmental losses which often exceed the ability of an affected society to cope using only its own resources. Humanitarian emergencies/disasters have some of the following characteristics:

- are disruptive to individuals and communities;
- usually a large area, often remote, with constrained access and limited resources;
- disproportionately affect developing countries;
- are not part of day-to-day experience and are outside normal life expectations;
- are unpredictable in occurrence and effect;
- require a response for which normal local resources are generally inadequate;
- have a wide range of effects and impacts on the human and physical environment;
- can be of sudden onset;
- are destructive to human, animal and/or plant life, health, property and/or the environment; and
- overwhelm normal prudent protective measures.

202. Emergencies/disasters, regardless of the cause, generate humanitarian needs that often exceed local capacity to address. These needs can be classified into immediate and longer-term:

- Immediate needs are those required to save lives and mitigate direct human suffering including: search & rescue, potable water and sanitation/hygiene, food, shelter, medical treatment and supplies, security, and safety of the affected population.
- Long-term or recovery needs are those required to restore some sense of normalcy, including: rehabilitation, reconstruction and development of future security plans.

Disaster Relief

203. Disaster relief is the emergency assistance provided to help ease the effects of natural disasters such as typhoons, floods and earthquakes, and manmade events such as industrial accidents and/or the results of conflict.

Disaster Management

204. Disaster management is a term covering implementation of preparedness, prevention/mitigation, emergency response or relief and recovery measures.

205. The goals of disaster management include (a) reducing vulnerability to disasters, (b) enhancing disaster response capacity, and (c) delivering services effectively to the impacted community. Plans, structures and arrangements are established by national emergency management agencies to coordinate the endeavours of government, voluntary and private agencies in a comprehensive and coordinated way to deal with the needs generated by emergencies.

Disaster Mitigation

206. Disaster mitigation is all preventative measures taken before and all recovery measures taken after a disaster to moderate the severity of the impact on the population and the environment.

Humanitarian Community

207. The humanitarian community (HC) consists of civilian/non-governmental/multilateral agencies and organisations whose primary focus is the provision of humanitarian aid, assistance, relief, development support and human rights advocacy. These groups include the United Nations humanitarian agencies, international organisations such as the Red Cross / Red Crescent movement and non-governmental organisations.

Humanitarian Assistance

208. Humanitarian assistance (HA) consists of activities conducted to relieve or reduce human pain, disease, hunger, or adversity created by conditions that might present a serious threat to life or that can result in great damage to or loss of property. Humanitarian assistance should be provided in accordance with the basic humanitarian principles of humanity, impartiality and neutrality.

Humanitarian Space

209. Following disaster, there is a need to work in an environment devoid of political-military external factors that threaten independence, impartiality and neutrality of humanitarian organisations.

Military Involvement in HADR

210. Military involvement in HADR varies depending on the type of disaster response required. There are five basic types of military HA/DR operations:

- relief,
- affected population support,
- security,
- technical assistance, and
- consequence management.

211. Military and Civil Defence Assets: (MCDA) as defined in the 1994 Oslo Guidelines (Rev 1-1 in Nov 07), “comprises relief personnel, equipment, supplies and services provided by foreign military and civil defence organisations for international humanitarian assistance.”

Affected States Support

212. Affected States Support (ASS) is the civil and/or military assistance rendered by an affected state to foreign forces within its territory based on agreements mutually concluded between nations.

Civil-Military Coordination

213. Civil-Military Coordination (CMCoord) is the essential dialogue and interaction between civil and military actors in humanitarian emergencies that is necessary to protect and promote humanitarian principles, not blur the roles of civilian and military organisations, avoid competition, minimise inconsistency, and when appropriate, pursue common goals. Basic strategies range from coexistence to cooperation. Coordination is a shared responsibility facilitated by liaison and common training.

Civil-Military Cooperation

214. Civil-Military Cooperation (CIMIC) is the coordination and cooperation, in support of the military mission, between the commander and civil stakeholders, including the national population and local authorities, as well as international, national and non-governmental organisations and agencies. CIMIC is a military function of establishing relationships with civilian agencies active within the area.

Civil–Military Operations

215. Civil–military operations are conducted in support of military operations, or in times of emergency, to enhance the effectiveness of military assets and civil operations and minimise the impact of military operations on civilians.

Annex:

Indonesian Tsunami 2004

Indonesian Tsunami 2004

1. The 2004 tsunami, as a result of the Sumatra earthquake, was one of the worst natural disasters in recent history affecting coastal areas in much of South-East Asia, Sri Lanka, India and Africa simultaneously. The widespread destruction is illustrated in Figure 2–1.

2. Dealing with a disaster of this magnitude highlighted critical issues and enabled comparisons between approaches to disaster management in different countries. A key lesson was the requirement for the development or updating, and integration, of comprehensive national disaster management plans.

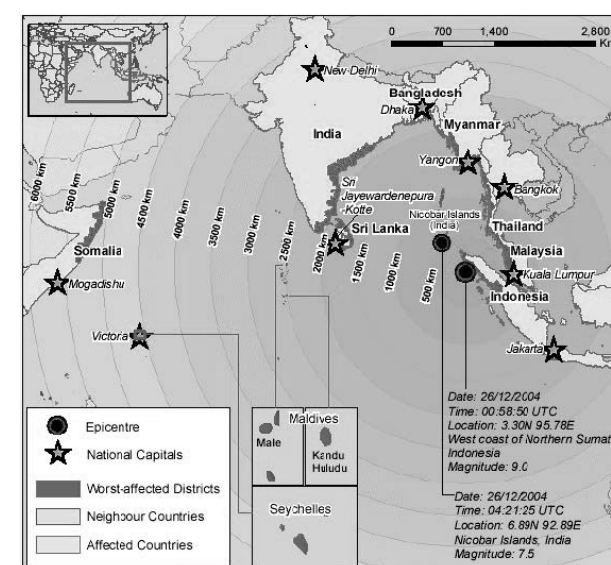


Figure 2-1: Area Affected by the Tsunami – December 2004

3. The devastating earthquake of 26 December 2004 occurred as a thrust-faulting on the interface of the India plate and the Burma micro-plate. Within minutes, the strain energy that had accumulated for centuries from ongoing subduction of the India plate beneath the overriding Burma micro-plate was freed. This huge release of energy was estimated to be equivalent to 190 million tons of TNT which caused the surface of the ocean bed to displace for over 1000 km along this fault line. The displacement caused a number of waves to travel away from the source at speeds of up to 1200 kph in a predominantly East-West direction, impacting on most of the Indian Ocean rim countries and killing about 250,000 people.

Lessons Identified

4. **Information Management.** An information management coordination centre is required to manage the information provided from multiple sources throughout the disaster area including the media.

5. **Medical.** Important medical lessons include requirement to:

- conduct a needs assessment in emergency health services at the national, sub-national and community levels;
- develop contingency plans for disaster preparedness and response for the health sector;
- establish emergency health task forces in disaster prone regions;
- conduct training and capacity building exercises for health teams and medical personnel including government and NGOs;
- develop and conduct public education and awareness materials and campaigns;
- develop outbreak response mechanisms;
- provide adequate supplies for reproductive health, emergency obstetrics care, newborn and child health services; and
- ensure health facilities are not located in hazardous areas.

6. **Local Populations.** Response teams should work with the population of the Affected State, using local expertise to find suitable solutions. Response teams can benefit from in-depth knowledge and experience in how local systems are organised. With a better understanding of the language and culture, resource teams can contribute much more effectively within the community.

7. **Resource Management.** Efficient management of supplies and assistance should be a priority. It is also important to find the right people with the right skills for the job immediately after a disaster. The faster the response, the better the outcome. Identifying and mobilising hundreds of experts within a short timeframe is a difficult task. It is therefore important to establish a database of experts who could be mobilised in times of emergency.

8. **Pre-disaster Supply Arrangements.** Preparatory supply agreements should be made with local industries to provide emergency supplies. The agreements should facilitate the immediate supply of material resources following an emergency.

9. **Communications.** Communication infrastructure is critical to response coordination.

Communications systems should be considered a strategic element in the development of preparedness plans.

10. **Community Readiness.** Community readiness is a major factor in providing a coordinated local response. Community empowerment involves providing the community with timely, accurate information, relevant training and resources, and identifying a leader within the community to coordinate the response. This enables the community to respond appropriately and immediately when disasters occur, without waiting for, or relying on, external assistance. Community-based warning and response systems are required.

11. **Disaster Victim Identification.** Disaster victim identification (DVI) includes the procedures used to positively identify deceased victims. A single coordinated identification process is required to speed up the identification and repatriation process.

CHAPTER 3

Disaster Relief Approach to Disaster Relief

Disaster Management Cycle

301. The immediate objectives of humanitarian assistance and disaster relief (HADR) are to save lives, alleviate suffering and maintain human dignity during and in the aftermath of natural disasters. However, in the last ten years the approach to HADR has become broader, encompassing all elements of the disaster management cycle.

302. The disaster management cycle is a dynamic process involving all key actors working together for Prevention/Mitigation, Preparedness, Response and Recovery (PPRR). The PPRR methodology requires planning, organising, staffing, leading, and controlling, and is widely adopted by ASEAN, the UN, the Red Cross / Red Crescent Movement, and NGOs, CBOs, and civil society. The primary longer term objective is to strengthen preparedness, which is covered in more detail in chapter 6.

Asia-Pacific Perspective

303. A perceptual and conceptual shift in emergency management in the Asia-Pacific region has occurred in recent years focussing not only on responding after disaster strikes but also supporting activities that anticipate and mitigate the likely impact. The key elements of this approach are:

- away from an emergency-centric view of emergency management towards a community-centric view;
- towards a broad inter-agency approach;
- towards an increased emphasis on sustainability as a key purpose of emergency management;
- viewing emergencies as manifestations of vulnerability, not simply as a function of the presence of hazards;
- recognising the need to create multiple focal points for interdisciplinary and inter-sectoral partnerships; and
- emphasising the benefits of effort and resources invested in prevention/mitigation/risk reduction compared with response and recovery.

Principles of Disaster Relief

304. The ARF Strategic Guidance for HADR is intended to be consistent and complementary with internationally agreed principles and existing guidelines for disaster relief cooperation, including:

- ASEAN Regional Forum (ARF) General Guidelines for Disaster Relief Cooperation – refer Annex A;
- Guidelines on the use of Military Civil defence Assets (MCDA) for Disaster Relief (‘Oslo Guidelines’) and the MCDA guidelines in complex emergencies – refer Annex B;
- Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance adopted by the International Conference of the Red Cross and Red Crescent – refer Annex C; and
- Other Guidelines – Sphere, UNISDR, UNDAC – refer Annex D.

305. Most humanitarian organisations adhere to certain principles and/or the rights of beneficiaries to receive relief. While there is no universal treaty in this area comparable to the Geneva Conventions of 1949, the principles of disaster relief have considerable moral standing based on various disaster related and human rights treaties, United Nations General Assembly resolutions, and other authoritative documents.

306. In disaster relief the objectives of key actors are not always the same. Although some tactical level considerations may coincide, larger strategic objectives may not. This variance in aims, objectives, needs and requirements demands careful management. When a disaster is a consequence of natural rather than man-made causes, the ‘end states’ are more often aligned. However careful disaster management is still necessary to balance competing agendas.

307. The core principles generally accepted within the international humanitarian community are those of humanity, impartiality and neutrality, are articulated in UN General Assembly Resolution 46/182. This resolution also states the overall coordinating role of UN/OCHA in international disaster response. Principles of response are not commonly demarcated along strict government and or military lines.

Principles

308. **Humanity.** Human suffering must be addressed wherever it is found, with particular

attention to the most vulnerable in the population, such as children, women and the elderly. The dignity and rights of all victims must be respected and protected.

309. **Neutrality.** Humanitarian assistance must be provided without engaging in hostilities, except in self-defence, and without taking sides in political, religious or ideological issues.

310. **Impartiality.** Humanitarian assistance must be provided without discriminating as to ethnic origin, gender, nationality, political opinions, race or religion. Relief of the suffering must be guided solely by needs and priority must be given to the most urgent cases of distress.

311. **National Ownership and Sovereignty.** Any HADR operation needs to respect Affected States' sovereignty, and conform to its wishes and direction. Even in extreme situations when Affected States' capacity may be limited, national sovereignty must be respected and assistance should be provided with Affected States' authorisation.

312. **Unity of Effort.** Maintaining unity of effort between the various actors is crucial to enhancing the impact of the international community's overall response. Maintaining unity of effort in such an environment requires a high degree of sensitivity to the interests and operating cultures of the various actors involved. True unity of effort cannot be imposed and must be carefully constructed through a constant process of communication and compromise.

313. **Integration.** As HADR operations usually involve complex networks reaching from the strategic to the tactical level, integration is critical. All key actors need to be consulted and efforts coordinated. Integration does not imply subsuming of one agency by another, rather it emphasises coordination and cooperation.

314. **Coordination and Cooperation.** Integration depends on coordination and cooperation between security, political and humanitarian actors at all levels. Effective communication and regular sharing of information may necessitate regular briefing of key actors and the sharing of liaison officers. Further detail on coordination and cooperation is contained in chapter 5.

315. **Command and Control.** Clearly defined command and control (C2) arrangements are also critical. Large numbers of key actors, each with their own C2 chains, highlight the importance of well-directed coordination and cooperation. As a general rule, consistent with item 4a of the ARF General Guidelines for Disaster Relief Cooperation, the Affected State would have primary responsibility for command and control of any HADR operation.

316. **Security.** Security includes the protection of vulnerable civilians from the prevailing climatic conditions (shelter), dehydration and starvation (food, water and sanitation), environmental hazards (health) and personnel security (protection). The principle of security will have a different emphasis for different actors. Military actions are driven by political objectives (national security) whereas humanitarian actions are driven by concern for the population (human security).

Key Actors

317. Besides the ASEAN Regional Forum, many actors respond with international HADR, including:

1. Affected State government and military agencies;
2. Affected State civil organisations (NGO) and civil society organisations (CSO);
3. international aid agencies such as the International Federation of Red Cross and Red Crescent Societies (IFRC);
4. United Nations (UN), in particular OCHA which has an overall coordination role;
5. Other national governments and militaries; and
6. ASEAN, through:
 7. the development of ASEAN Standard Operating Procedures for Regional Standby Arrangements and Coordination of Joint Disaster Relief and Emergency Response Operations (ASEAN SASOP);
 8. a new role for the ASEAN Secretary-General as “Humanitarian Assistance Coordinator”; and
 9. the Emergency Response Assessment Team (ERAT).

318. Each actor has its own objectives, agenda and operating procedures. For example, NGOs normally wish to remain neutral in order to ensure humanitarian support is provided in accordance with their organisation's charter and the expectations of their donors are met. As a result, managing expectations and supporting a coordinated approach is critical to HADR operations. The potential complexity of coordinating a number of stakeholders with different

objectives requires a shared understanding of the required outcomes, a common language and a willingness to coordinate response efforts.

Military Assets

319. Military assets are becoming a major contributor to disaster relief because of their rapid mobilisation and logistic capabilities. They are a trained, cohesive workforce that can plan and conduct large-scale tasks at short-notice, especially in situations of degraded infrastructure. Military assistance during HADR operations includes transport and logistical support, evacuation, rescue, medical services, shelter and emergency supplies.

320. Militaries need to understand the same basic HADR principles practised by civilian aid agencies. These principles require rigorous analytical and information management skills, discipline, common-sense, timeliness, and high standards of planning and accountability as lives are at risk. The challenge is to provide humanitarian and emergency relief which is:

- relevant to immediate and longer term humanitarian needs;
- co-ordinated with partner governments, other donors, NGO and the affected community;
- implemented quickly, professionally and flexibly; and
- consistent with international humanitarian principles and practice.

Military involvement in HADR varies with each country, although all military forces should operate in accordance with UN Security Council or Multinational Force mandate and directives or other relevant international agreements and frameworks. In some countries the military may have primary responsibility for HADR response and virtually all the resources to execute HADR missions. In other countries, the military plays a supporting role and may become directly involved only in life-threatening situations under very specific conditions, where there is no comparable civilian alternative.

321. Guidelines on the use of MCDA in HADR ('Oslo Guidelines' and the 'MCDA Guidelines') are contained in Annex B These guidelines emphasize among other things that military assets should be used only as 'last resort' and that military personnel should refrain from participating in direct delivery of humanitarian assistance but should focus on support functions, such as transportation. Additionally, the 16th ARF noted the effort to enhance civilian-military cooperation in disaster relief, and to develop an ARF Voluntary Model Arrangement on the Use of Foreign Military and Civil Defence assets (MCDA) in Humanitarian Assistance and Disaster Relief (HADR). Further information on coordination of military assets is contained in chapter 4.

322. **Security.** In HADR operations the military may also be called upon to provide security. However, the use of military assets to implement rule of law programs should be avoided. Rule of law is a civilian responsibility and should be implemented by civilian authorities. Consequently, when the security situation requires the presence of armed troops, integrated military and police operations should be conducted.

323. **Carriage of Arms.** Policy on carriage of arms by foreign military and police forces is also contained in the Annex B guidelines.

Multi-National Force

324. **Multinational Force (MNF) represents a broad overarching term that describes the broad multinational efforts of participating nations. MNF may be used to refer to the entire organisation of nations** participating forces, and military support based upon shared interests in disaster relief operations.

325. **MNF** involvement in HADR will most likely be of short duration and limited scope. MNF are generally involved in the initial response to the emergency (or immediate life saving phase) and until the Affected State and international humanitarian community can sustain long-term rehabilitation and reconstruction.

326. **International** agencies and the UN will also generally be providing assistance prior to arrival of the MNF and will generally remain for recovery, rehabilitation and reconstruction activities after the MNF departs.

Multinational Planning Augmentation Team

327. The Multinational Planning Augmentation Team (MPAT) Program is a cooperative multinational effort to facilitate the rapid and effective establishment and/or augmentation of a multinational task force headquarters. The MPAT provides responsive coalition/combined expertise in crisis action planning. MPAT is a rapidly growing multinational program, established in November 2000 by the Commander of U.S. Pacific Command and the Chiefs of Defence of several nations in the Asia-Pacific region. Participation in the program has grown from five nations in 2000 to 31 nations by 2005.

328. An important feature of the MPAT Program is the Multi-National Force Standard

Operating Procedures (MNF- SOP) which covers a broad spectrum of planning considerations for multi-national operations (primarily at the operational level). It is not intended to be prescriptive, binding or directive.

Non Government Organisations

329. Non government organisations (NGO) are key stakeholders in HADR. They are often present in countries before the onset of disasters, providing on-going humanitarian and/or development/reconstruction support. During a disaster response, they are generally at the disaster site providing food, shelter, medical support and other emergency relief. Each NGO works toward its own objective and may not necessarily be a specialist disaster relief agency.

United Nations

330. The UN undertakes a broad range of disaster-related activities that is coordinated by the Inter-Agency Standing Committee (IASC) and the International Strategy for Disaster Reduction (ISDR). Further information on ISDR is contained in Annex D. Paragraph 420 also provides further detail of UN disaster relief coordination, and response agencies. The following website provides detail <http://www.humanitarianreform.org/>.

331. United Nations Office for the Co-ordination of Humanitarian Affairs

The mandate of the United Nations Office for the Co-ordination of Humanitarian Affairs (OCHA), a department of the UN Secretariat, is comprised of three core functions:

- co-ordination of emergency response,
- policy development, and
- humanitarian advocacy.

332. All three functions are exercised with a view to facilitating the effective delivery of assistance to all victims of emergencies and disasters. In particular, OCHA aims to mobilise and co-ordinate effective and principled humanitarian action in partnership with national and international stakeholders. Further detail on OCHA coordination of assistance is contained in chapter 4.

333. **United Nations Development Programme.** The United Nations Development Programme (UNDP) is designed to help countries in their efforts to achieve sustainable human development by assisting them to build their capacity to design and carry out development programmes. UNDP programs and activities in the area of disaster risk reduction stems from

its overlapping concerns with other development priorities.

334. **United Nations Children's Fund.** The United Nations Children's Fund (UNICEF) advocates and works for the protection of children's rights, meeting their basic needs, and helping them reach their full potential. In HADR, UNICEF assists and protects children and women.

335. **World Food Programme.** The World Food Programme (WFP) is mandated to combat global hunger. WFP has developed a very high level of competence in logistics. In disasters, WFP plays a central role in providing food to those affected as well as logistical and communication support to maximise efficiency and effectiveness in delivery of assistance.

336. **Food and Agriculture Organisation.** The Food and Agriculture Organisation of the United Nations (FAO) mandate is to raise levels of nutrition and standards of living, to improve agricultural productivity, and to better the condition of rural populations. FAO commitment covers emergencies which result from disasters affecting either the food or the agricultural sector, or a combination of the two.

337. **United Nations High Commission for Refugees (UNHCR).** The United Nations High Commission for Refugees (UNHCR) is mandated to lead and co-ordinate international action for the worldwide protection of refugees and the resolution of refugee problems. In the area of disaster management, UNHCR acts to assist and protect refugees, particularly refugee women and children, who are victims of disasters. In times of disaster and/or emergency response, UNHCR plays a key role in the provision of temporary housing and non-food items.

338. **World Health Organisation.** The World Health Organisation (WHO) is the directing authority for health within the UN. It is responsible for providing leadership on global health matters, shaping the health research agenda, setting standards, articulating evidence-based policy options, providing technical support to countries and monitoring and assessing health trends. WHO coordinated multiple global and regional health programs such as coordinating the global response to avian influenza.

339. **The Red Cross and Red Crescent Movement.** The International Committee of the Red Cross (ICRC) and the International Federation of Red Cross and Red Crescent Societies (Federation) together constitute a worldwide humanitarian movement whose mission is to prevent and alleviate human suffering wherever it may be found. The Federation, or the National Society of the affected country directs and coordinates the international activities of the International Red Cross and Red Crescent Movement disaster relief and humanitarian

assistance operations. The ICRC normally plays that role in a conflict situation. As well as reducing the impact of disasters, the Federation is increasingly devoting attention to disaster preparedness.

340. **International Disaster Response Laws, Rules and Principles (IDRL) Programme.**

The International Conference of the Red Cross and Red Crescent comprising States and all members of the International Red Cross and Red Crescent movement in 2007 adopted a set of guidelines that seek to strengthen State's national legal framework and procedures for accepting an international response to disasters. These guidelines are titled Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance and are supported by a set of Annotations.

341. The purpose of the Guidelines is to provide States with a framework to assist in developing effective and efficient mechanisms to improve disaster response plans that improve the process for accepting offers of international emergency humanitarian assistance. Further information can be found in Annex C and from the list of websites at the end of this document.

International “Cluster” Approach

342. The cluster approach is part of the wider humanitarian reform process, and operates at both global and country level. A cluster is a group of organisations and actors, with a designated lead, working together in an area (or sector) of humanitarian intervention where a “gap” has been identified. Fig 3-1 shows the current clusters.

Global Cluster/ Sector	Cluster/Sector Lead
Agriculture	FAO
Camp Coordination and Camp Management (CCCM)	UNHCR (conflict) IOM (natural disaster)
Early Recovery	UNDP
Education	UNICEF Save The Children – United Kingdom
Emergency Shelter	UNHCR (conflict) IFRC (convenor natural disasters)
Emergency Telecommunications	OCHA (process owner) WFP (security telecomms) UNICEF (data telecomms)
Health	WHO
Logistics	WFP
Nutrition	UNICEF
Protection	UNHCR
Water, Sanitation and Hygiene (WASH)	UNICEF

Figure 3-1: Cluster System

343. The cluster process builds upon existing partnerships and forges new resolve between UN agencies, the Red Cross and Red Crescent Movement, national and international organizations and NGOs, and other stakeholders in humanitarian action. In October 2005, the Pakistan Country team adopted the cluster approach in its response to the earthquake and the cluster approach was formally adopted on 1 January 2006.

International Organization for Migration

344. The International Organization for Migration (IOM) is dedicated to promoting humane and orderly migration for the benefit of all. Its mandate is to:

- help ensure the orderly flow of international migrants,
- promote migrants' rights through international cooperation,
- search for practical solutions to migration problems, and
- contribute to international solidarity by providing humanitarian assistance to people in need.

345. IOM is designated as the UN Cluster coordinator for Camp Management, and with special expertise in air, sea and land transport, often provides shelter, food, water and medical care to affected populations. IOM has been given responsibilities relating to legal “protection” of displaced persons and refugees by the UN High Commissioner for Refugees (UNHCR) in certain relief situations.

Implementation of Disaster Relief

346. The success of a HADR operation will, to a large extent, depend on its ability to maintain the goodwill and support of the Affected and Assisting States, the local population, and the wider international community. To achieve this, the operation should be seen at all times as a legitimate and credible contribution. The concept of respect of humanitarian space should be upheld as should the philosophy of “do no harm”.

347. Some key actors, particularly the members of the International Red Cross and Red Crescent Movement and certain humanitarian NGOs, will seek to assert and maintain a high level of visible independence from political and/or military structures as a matter of principle. In this regard sensitivity should be shown to the fact that political-military relief efforts can cut across carefully planned NGO campaigns. Attempts to persuade humanitarian stakeholders to subordinate their activities to the priorities of the operation should be handled with proper consideration to the dynamics of the environment.

348. A philosophy of “do no harm” should be inculcated in all personnel in order to mitigate harmful side-effects inherent when providing HADR. To achieve this, the following should be considered:

- Will it negatively affect the relationship between members of a community or between communities?
- Is it complementary to the work done by the Affected State or other agencies?
- Will it bring harmony and peace, or increase jealousy and ill feeling in the affected area and beyond?
- Will it change the work habits of people, making them dependent on aid?
- Can they sustain the standard of living provided by aid?
- Can it lead to sustained development?
- Does it increase the risk of future disasters and requests for HADR?

349. The size of an operation’s human and material “footprint” can cause a real or perceived impact in the community. Social impact can be caused by different cultural norms of staff and Affected State, such as employment of women in non traditional gender roles, mixing and socialisation amongst genders, drinking, gambling and other culturally inappropriate behaviour. Economic impact can be caused by high wages for locally employed staff, competitive pricing on housing and accommodation, demands on local producers for staple foods and materials, which may place

them out of reach of the local community.

350. These aspects, together with expectations of what can be delivered and when, should be managed throughout the life of the operation at all levels. A sound communication strategy is essential. Public information campaigns should use local public radio and television if available, as well as traditional forms of information dissemination such as local community and religious groups.

Phases of Disaster Relief

351. HADR can be divided into the following three broad phases, each requiring different types of assistance:

- Phase 1 - Immediate Life Saving. Search and rescue, and medical first aid (response is expected to be provided within 0-48 hours).
- Phase 2 - Stabilisation. Life preserving relief operations such as the delivery of aid to prevent the situation deteriorating (response is expected to be provided from 0-5 days).
- Phase 3 - General Recovery. Ensuring humanitarian needs continue to be met in anticipation of longer term rehabilitation and reconstruction (response is expected to be provided from 0-4 weeks).

352. These phases are not necessarily sequential, and in most cases the second and third are undertaken concurrently. Consequently, effective coordination will be required between agencies with relevant skill sets required in each phase.

353. Each HADR operation is unique. The initial response may occur in relative chaos and there is often a mismatch between necessary resources and situational needs, adding to uncertainty and tension. The government of an Affected State may be overwhelmed by the effects of the disaster and the scale of the required response.

Priority of Response

354. The priority of response for HADR should be governed by the immediate hazards posed to the affected community/area. Affected State agencies (if still functioning) and various Humanitarian Community (HC) organisations conduct needs assessments on the extent of the disaster/emergency and the needs/requirements. Assessments also include determining the capabilities and resources of various relief organisations, including MNF, if they are part of

the HADR effort. The following are examples of needs and capabilities assessed in this phase of the effort:

- Data on the population affected, including but not limited to the number of people affected, locations, infrastructure capabilities and the health situation.
- Identification of vulnerable populations, rescue requirements, damage to infrastructure (required for transportation, shelter, sanitation), condition of life sustaining resources (water and food supplies), and the security situation.
- Capabilities and resources including: relief organisations; government agencies; coordinating mechanisms; availability of infrastructure; civil assets; military assets; and relief supplies.

355. The first HADR priority should be the harm minimisation of survivors and the local population and the creation of “safe” environments from which assistance and assessment of needs can be conducted.

356. The first 24-48 hours and up to one week is the most critical time frame for a disaster response, given that saving lives is often the first priority. Key immediate interventions include:

- A rapid response unit with search and rescue (SAR) capability as in many cases there is major infrastructure damage and this means there is a finite window (usually 48 hours) in which to locate survivors. Military support can be critical in these situations as they can rapidly deploy personnel and have ready access to equipment needed for SAR.
- Immediate access to triage/health facilities. The military can be useful in that they have specialist deployable triage capacity that can be set up quickly at critical locations to attend to those most injured when host nation medical facilities are compromised or overwhelmed. Additional medical facilities are often more readily accessible via military medical ships and an ability to rapidly deploy medical units and personnel to sites via air assets.
- Logistical capacity to quickly deploy people to areas most severely impacted by a disaster. These areas usually coincide with infrastructure damage and are therefore often difficult to access/egress by normal means such as roads and airports. Unique military assets can greatly assist.

357. Logistic capacity continues to be a critical element of HADR operations for as long as it takes to repair and/or make accessible key infrastructure such as roads, seaports and airports.

The military therefore often become a conduit of emergency supplies provided by other stakeholders such as the UN and NGOs. This situation may last several weeks or months.

Planning and Preparation

358. Initial planning and preparation should establish a framework for participating and supporting agencies and organisations. Planning and preparation provides an opportunity to mobilise structures and resources for response and recovery. This is achieved through

- establishing strong organisational and personnel networks between member organisations and agencies, the emergency services, and other functional areas and the community;
- establishing and maintaining Memoranda of Understanding (MOU);
- regularly reviewing and testing plans and providing input to the review of other relevant plans; and
- identifying and undertaking relevant emergency management training for personnel responsible for the emergency response and recovery management.

359. Detailed initial assessment is critical to a co-ordinated response. Disasters often seriously disrupt local infrastructure such as transport, communications, food supply and the provision of shelter. Under these circumstances, relief supplies and personnel (often unfamiliar with the area) sent into a disaster zone without a request based on a sound assessment can hinder rather than help.

360. Advance knowledge of assets and capabilities of potential contributing countries will greatly facilitate planning. One way of achieving this is through standby arrangements (refer chapter 7). For example, planners would like to know:

- how quickly forces can deploy and what strategic lift assistance will they need;
- the sustainment plans for deployed forces and will they be a burden on the Affected State or a lead Assisting State;
- status of forces agreements (SOFA) and operating procedures, including arrangements that national forces operate under, and the legal code to be applied if there is a breakdown of Affected State law and order; and
- the political position for Assisting States and their willingness to place their forces under the command or control of the Affected State or a lead Assisting State.

361. Early assessment of the nature and extent of a humanitarian emergency/disaster and the type of relief required is an essential element of any response. The overall purpose of an assessment is to provide information and to make recommendations that will enable timely decisions on appropriate response to a HADR situation. The types of information required include:

- situational information on the magnitude of the disaster and the extent of its impact on both population and infrastructure,
- immediate needs information to identify resources and services for immediate emergency measures to save and sustain lives, and
- planning information to help develop a course of action for all stages of the operation.

Lines of Operation

362. Lines of operation describe how each of the key HADR actors operate relative to each other in time and space through a matrix of decisive points. Annex E illustrates typical lines of operation.

363. Key elements of a line of operation include:

- Decisive points. A decisive point is a major event created by successfully addressing a critical coordination or information requirement directly influencing the HADR operation.
- Decision Points. A decision point in time and space requires a decision affecting key actors, or a change of direction of the plan toward a branch or a sequel. Decision points should allow sufficient lead time for action to be initiated.
- Branches. Branches are further options for a phase in a line of operation. A branch deviates from, and then returns to, the same line of operation. An example may be an expected secondary crisis, caused by the primary crisis, but which can be met within current resource and time constraints.
- Sequels. A sequel is a different line of operation and is a significant shift in focus. A sequel may be the emergence of a new, unrelated problem within the same geographic area, or a secondary problem which potentially overshadows the primary, requiring additional resources and/or time to address.

Transition Planning

364. The transition, or disengagement, is a critical aspect of the HADR operation. In many cases it is seen as the beginning of the end of the operation, and there is an eagerness to

redeploy before the Affected State is capable. Transition planning should be considered from the beginning of any HADR operation, in consultation with the Affected State.

365. The speed of transition is ultimately dependent on the capacity of the parties and those identified to take responsibility. Transition of responsibility for specific functions to a designated agency should therefore be managed and governed by the capacity of the agency to sustain these functions.

Annexes:

- ARF General Guidelines for Disaster Relief Cooperation
- Guidelines on the use of Military and Civil Defence Assets (MCDA) in disaster relief
- Guidelines for Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance
- Other Guidelines – Sphere, UNDAC, UN CMCoord Deployment Plan
- Lines of Operation

ARF General Guidelines for Disaster Relief Cooperation

In line with the principles of humanity, neutrality and impartiality and based upon UN recognized standards, the General Guidelines aim to establish a basic framework for disaster relief cooperation among ASEAN Regional Forum participating countries, to promote more effective cooperation, and to reduce the losses due to frequent disasters.

1. Scope

(a) In this document, “disaster” refers to a situation which requires assistance among the ARF participating countries in certain regions where a natural or man-made event has caused significant human injuries and fatalities, serious damage to properties, livelihood, essential services, lifelines and public infrastructure, disruptions to the functioning of a community or society, and threats to public health, and surrounding environment. The provision of humanitarian assistance in situation of armed conflict is beyond the scope of these guidelines.

(b) “Relief” refers to resources and humanitarian action that the ARF participating countries could offer, which include, but are not limited to personnel, equipment, relief supplies, and actions related to transit facilitation.

2. Basic Principles

(a) **Mutual Assistance on Equal Footing.** In carrying out disaster relief cooperation, ARF will recognize the centrality of saving human lives and alleviating suffering where it is found. The Assisting State will, on a voluntary basis and in accordance with its domestic laws and regulations, provide relief to the Affected State, and shall respect the sovereignty and territorial integrity of the Affected State without any racial, ethnic, or religious discrimination. The Affected State, upon receipt of relief from the Assisting State, should ensure the timely, fair and transparent distribution of relief, and give timely briefing on how the relief is being used. The ARF participating countries will, within their capabilities, facilitate the disaster relief operation, such as, but is not limited to, the rapid and unimpeded delivery of relief consignments, equipment and personnel, the protection of such consignments.

(b) **Respect for Affected State's Decision.** The Affected State has the first and foremost responsibility to take care of the victims of disasters occurring on its territory. The Assisting State will provide disaster relief only with the consent of the Affected State. All disaster relief activities by the Assisting State within the territory of the Affected State should be supportive of the guidance, coordination, and arrangements of the government of the Affected State.

(c) **Decision by Mutual Agreement.** The Affected State and the Assisting State are ready to discuss and resolve differences and related issues that emerge during the preparation, launch, implementation, and conclusion of disaster relief operations, by seeking mutual agreement in ways comfortable to both sides.

(d) **Enhancing Coordination.** Recognizing the central role of the United Nations, in particular the Office for the Coordination of Humanitarian Affairs (OCHA), in coordinating the international humanitarian assistance efforts, the ARF participating countries will enhance coordination among themselves and with the humanitarian disaster relief activities of the United Nations and other international, regional, and local governmental and non-governmental organizations.

3. Launch of Disaster Relief Operations

(a) The disaster relief operations should be launched with the consent of the Affected State. The national disaster relief contact points of the ARF participants, or international organizations should be informed by the Affected State or the UN agencies through diplomatic channels after a disaster has stricken. Taking into account the speed with which assets and personnel

need to be on the ground to have practical effect at saving lives and alleviating human suffering, the designated lead agencies for disaster relief of the ARF participants will undertake the coordination of disaster relief efforts within its territory. ARF participants are encouraged to stock-take and inform the contact points of their lead agencies and resources and capacities for overseas disaster relief to facilitate the process.

(b) The Affected State, in its request, should make clear the details of the disaster, such as location, time, nature, and magnitude of the disaster, as well as the relief needs and priorities, and where applicable, may seek assistance from the international post disaster damages and needs assessment (PDNA) teams in identifying the areas of greatest need.

(c) Upon receipt of the request for disaster relief, the ARF participating countries should, in a timely manner, review such requests and inform the Affected State as soon as possible whether it can provide assistance and, if applicable, of the nature, amount, and terms of the relief. All forms of relief from the Assisting State should conform to the aim and requirement for disaster relief of the Affected State, and be conducive to rehabilitation and be compatible with the long-term development of the Affected State.

(d) The ARF participating countries should adopt all necessary measures to, as far as possible, prevent disaster within their territories from spreading abroad, and will immediately inform the relevant countries and international organizations when the danger of such spread emerges, so that coordinated measures can be undertaken to mitigate the effects.

(e) In accordance with their domestic legislation and regulations, the ARF participating countries in the proximity of emergencies, upon receipt of the request by the Assisting State or the Affected State, are encouraged to facilitate, to the extent possible, the transit of PDNA and disaster relief teams, equipment, facilities, and material supplies that are bound for the Affected State

4. Management of Disaster Relief

(a) Unless otherwise agreed, the Affected State should exercise the overall direction, coordination and supervision of the foreign disaster relief teams within its territory. Disaster relief teams of the Assisting State should follow the general plan of the Affected State for disaster relief operations.

(b) The government of the Assisting State retains the full competence and responsibility for the internal management of all personnel, equipment and resources in disaster relief

operations. The government of the Affected State should facilitate the work of foreign disaster relief teams within its territory, and do its utmost to ensure the safety of these personnel, equipment, and material supplies in the disaster relief operations. ARF participating countries will work together on importation, clearances, transfers, or exportation to accommodate disaster relief operations with the least possible delay.

(c) During their stay in the Transit Country and the Affected State, members of the disaster relief team should strictly abide by all the laws and regulations and respect the customs of these countries, implement relief impartially on the basis of need, not become involved in local disputes, and will seek to avoid having an adverse effect on the local economy.

(d) Military assets should only be requested for disaster relief as a last resort where there is no comparable civilian alternative and when their use can meet a critical humanitarian need. The use of such assets will be subject to mutually agreed arrangement between the Receiving and Assisting Countries, including, if applicable, to the appropriate status of forces arrangements.

(e) The Affected State and the Assisting State should coordinate with each other to determine the length of stay of the disaster relief team. The Affected State has the right to ask the Assisting State to withdraw any of its personnel, equipment or materials from the territory of the Affected State, within time frame agreed by both countries.

(f) Following the principle of friendly consultation, the Assisting State and the Affected State should coordinate and consult to resolve the issues arising from disaster relief operation.

5. Cost of Disaster Relief

Disaster relief assistance should be provided at no cost to the Affected State, unless otherwise agreed between concerned States or regulated by international agreements.

6. Amendment and Relations with Other Instruments

(a) The Guidelines are of a non-binding nature and will not, in any way, affect the rights, obligations or responsibilities of States and where relevant, individuals under the Charter of the United Nations and, where applicable, the Convention on the Safety of United Nations and Associated Personnel, the Geneva Conventions of 1949 and the Additional Protocols of 1977 or under other applicable international laws. The Guidelines may be amended by consensus as

the situation requires.

(b) To strengthen regional disaster relief collaboration and apply the Guidelines more effectively, the ARF participating countries are encouraged to enhance their disaster relief capacities through such cooperative activities as joint exercises, training programs, and partnerships with relevant bodies of ASEAN, UN and other international organizations, to reach a bilateral or regional understanding on the use of disaster relief resources, as well as to support the efforts for establishing a regional arrangement for the facilitation of the provision of the immediate humanitarian assistance.

Guidelines on the Use of Military and Civil Defence Assets in Disaster Relief

(Updated November 2007)

1. The “Oslo Guidelines” began development in 1992, culminating in an international conference in Oslo, Norway, in January 1994. Over 180 delegates from 45 States and 25 organisations attended the conference, and the results were released in May 1994.

2. The following states and organizations were involved: Argentina, Austria, Belgium, Germany, Indonesia, Italy, Japan, Kenya, the Netherlands, Norway, Russian Federation, Switzerland, United Kingdom, United States of America, AFDRU, Brown University’s Watson Institute, DHA, European Union/ECHO, ICDO, ICRC, IFRC, INSARAG, NATO, Steering Committee for Humanitarian Response, UNHCR, UN Legal Liaison Office, University of Naples, University of Ruhr, WHO and Western European Union.

3. The unprecedented deployment in 2005 of military assets in support of humanitarian response to natural disasters, following an increasing trend over the past years, confirmed the need to update the 1994 Guidelines. The Consultative Group on the Use of Military and Civil Defence Assets (MCDA), at its annual meeting in December 2005, tasked OCHA’s Civil-Military Coordination Section (CMCS) with this facelift.

4. The “Oslo Guidelines” address the use of MCDA following natural, technological and environmental emergencies in times of peace. The principles, mechanisms and procedures concerning military assets participating in peacekeeping operations or the delivery of humanitarian assistance in situations of armed conflict are not encompassed by this document.

5. The use of MCDA in armed conflict situations is covered in the “Guidelines on The Use

of Military and Civil Defence Assets to Support United Nations Humanitarian Activities in Complex Emergencies” (“MCDA Guidelines” - March 2003).

6. The Oslo Guidelines were re-launched at an event hosted by the Government of Norway, in Oslo, on 27 November 2006, held in conjunction with the annual meeting of the Consultative Group on the Use of MCDA. Norway, Switzerland and Sweden took the lead in the update, facilitated by OCHA’s Civil-Military Coordination Section / Emergency Services Branch. Minor changes were incorporated in Revision 1.1 of November 2007.

Contents of the Guidelines

7. A summary of the contents of the Guidelines is as follows:

Introduction

Key Terms and Definitions

Aim

Scope

Status

Organisation

Comments, Recommendations and Future Changes

Principles and Concepts

Core Principles

Key Concepts for use of MCDA Assets by UN Agencies

Operational Standards for use of UN MCDA

Operational Standards for use of Other Deployed Forces

UN-CMCoord in Natural Disaster

Tasks and responsibilities

Affected State and Transit States

Humanitarian Coordinator (HC) / Resident Coordinator (RC)

UN Humanitarian Agencies

Office for the Coordination of Humanitarian Affairs (OCHA)

Assisting State and Foreign Military or Civil Defence Commander

Annexes

Annex 1: Model Agreement Covering the Status of MCDA.

This model is intended to serve as a basis for the drafting of individual agreements between States, or the UN and States on whose territory MCDA in IDRA operations are deployed. It is subject to modifications agreed between parties in each case, and may also serve as the basis for an agreement with an Affected State in operations where no OCHA personnel are deployed.

Annex 2: UNOCHA Civil Military Coordination Section (CMCS) Sample Request for MCDA

Annex 3: Abbreviations

Website

The full guidelines can be accessed at: <http://ochaonline.un.org/OchaLinkClick.aspx?link-=ocha&docId=1112394>.

Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance

1. The purpose of the Guidelines is to provide a tool of reference that gives States an opportunity to improve national preparedness of their domestic legal, policy and institutional frameworks concerning international disaster relief and initial recovery assistance. They are a non binding document and are not intended to apply during armed conflict or to disasters resulting from the consequences of armed conflict.

2. Content of the Guidelines. The Guidelines refer to the basic principles of the primacy of the affected State to initiate calls for international assistance and to coordinate and monitor international assistance. The Guidelines also acknowledges that assisting organisations have a responsibility to maintain minimum emergency humanitarian crisis response quality and accountability standards within their organisational capacity and capability. A summary of the contents of the Guidelines is as follows:

Part I: Introduction:

- Purpose and Scope.

- Definitions.
- Part I: Core Responsibilities:
 - Responsibilities of Affected States.
 - Responsibilities of Assisting States.
 - Additional Responsibilities of All States.
 - Responsibilities Concerning Diversion and the Intended Use of Resources.

Part II: Early Warning and Preparedness:

- Early Warning.
- Legal, Policy and Institutional Frameworks.
- Regional and International Support of Domestic Capacity.

Part III: Initiation and Termination of International:

- Initiation.
- Initiation of Military Relief.
- Termination.

Part IV: Eligibility for Legal Facilities:

- Facilities for Assisting States.
- Facilities for Assisting Humanitarian Organisations.
- Facilities for Other Assisting Actors.

Part V: Legal Facilities for Entry and Operations:

- Personnel.
- Goods and Equipment.
- Special Goods and Equipment.
- Transport.
- Temporary Domestic Legal Status.
- Taxation.
- Security.
- Extended Hours.
- Costs.

Background information regarding development of the Guidelines and a copy of the Guidelines can be found at the following website - <http://www.ifrc.org/what/disasters/IDRL/advocacy/guidelines.asp>.

Other Guidelines

The Sphere Project – Minimum Standards for Humanitarian Assistance

1. The Sphere Project was launched in 1997 by a group of humanitarian NGOs and the Red Cross / Red Crescent Movement. The aim is to improve the quality of assistance provided to people affected by disasters, and to enhance the accountability of the humanitarian system in disaster response.

2. The Sphere Project principles and standards, outlined in the Sphere handbook, have gained wide acceptance internationally as a benchmark for planning, implementing and evaluating humanitarian assistance interventions. It comprises two parts:

a. **Part 1 - Humanitarian Charter** is based on the principles and provisions of international humanitarian law, international human rights law, refugee law and the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief. The Charter describes the core principles that govern humanitarian action and asserts the right of populations to protection and assistance

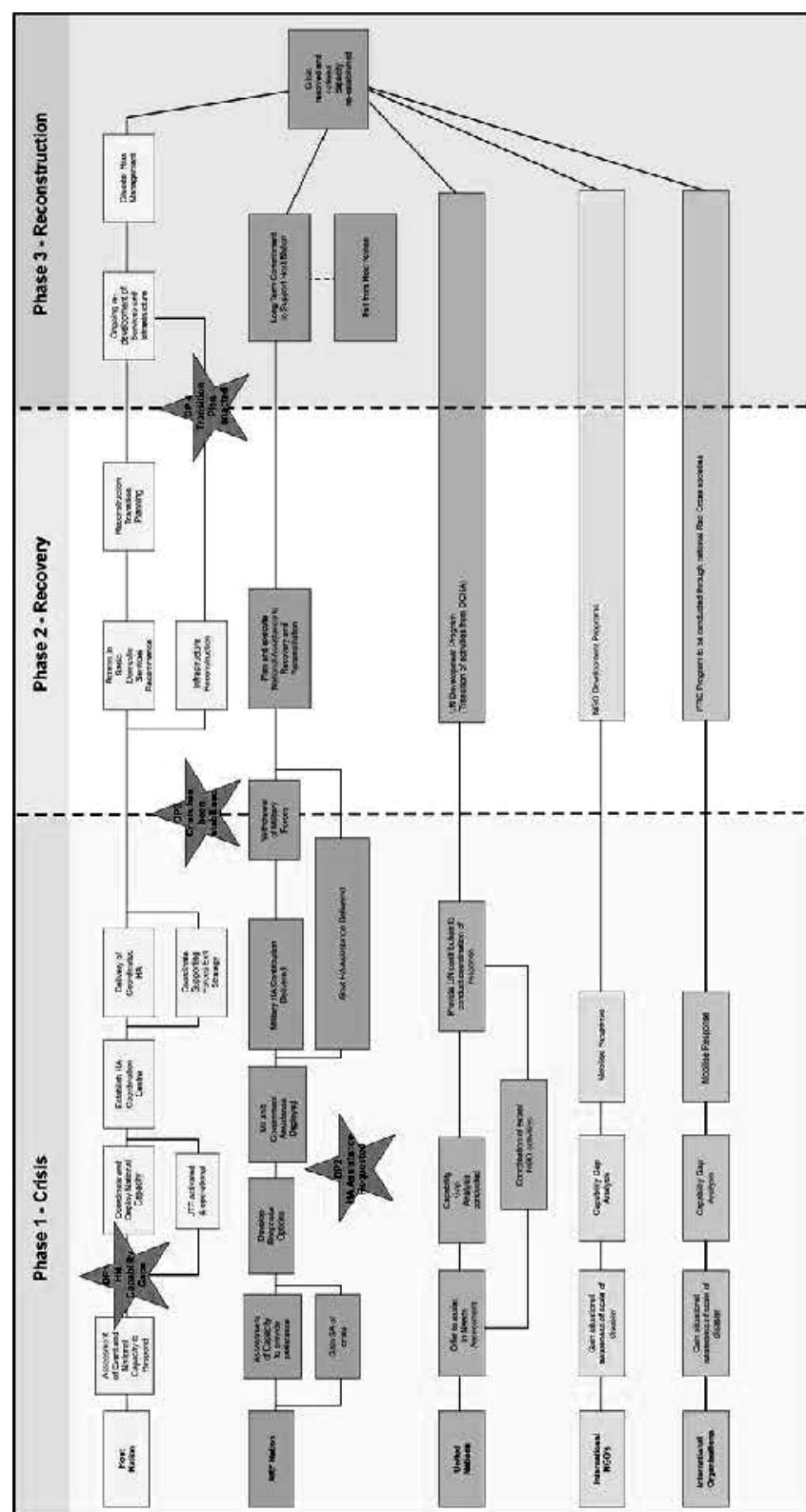
b. **Part 2 - Minimum Standards** and their indicators consolidate existing knowledge and practice in four key sectors: water supply and sanitation, food security nutrition and food aid, shelter settlement and non food Items, and health services.

United Nations

3. Disaster Assessment and Coordination (UNDAC). The UNDAC handbook is a very useful reference guide for the use of members (designed predominantly for the UNDAC team) undertaking an emergency mission. The handbook contains a variety of useful information, checklists and a description of coordination structures in the field.

4. **UN-Civil-Military Coordination Officer Deployment Plan**. This plan, based on the UN Humanitarian Civil- Military Coordination (CMCoord) Concept, aims to provide a predictable and continuous function of civil-military coordination during disaster response. UN-CMCoord Officers are advisers and facilitators. They advise the leadership of the humanitarian community on civil-military issues and facilitate the establishment, maintenance and review of appropriate relations between humanitarian and military actors.

Lines of Operation



CHAPTER 4

Coordination and Cooperation

Introduction

401. Large scale international HADR response usually encompasses an inter-agency approach, with military support being but one element. Whilst formal coalitions are not normally formed, there may be opportunities to develop multinational support from and for other deployed forces, using arrangements for Affected State support, logistic support and Memoranda of Understanding (MOU).

402. Neighbouring countries need to be aware of transit issues such as over-flight rights, and staging of forces. All efforts on the “ground” should be coordinated with other contributors in order to generate the desired unity of effort in addressing the needs of the Affected State.

403. An integrated approach is required which is facilitated by establishing liaison officers and coordination cells. In the initial stages of a HADR operation deployable national elements would be the predominant representatives (military, police, and civil defence agencies with humanitarian support). Later stages would see the withdrawal of those deployed elements and an increase in the economic/infrastructure/commercial elements to assist in the reconstruction stage.

404. The success of HADR operations depends on the strength, structure and capability of the contributing national contingents and their effective coordination within the wider relief effort. This chapter describes how that coordination is achieved.

Degrees of Coordination

405. There are degrees of coordination, shown in figure 4-1, beginning with basic communication, through to full synchronisation, as follows:

- Establishment of basic communications. Some of these may already be established, as part of standing arrangements.
- De-confliction of key actors by developing situational awareness in the operating environment.
- Cooperation in determining what is needed, where it is needed, and when it is needed.

- Coordination is achieved by determining who is able to provide appropriate responses, and obtaining agreement and permission to respond.
- Full synchronisation is achieved when all concurrent responses can be effectively harmonised.

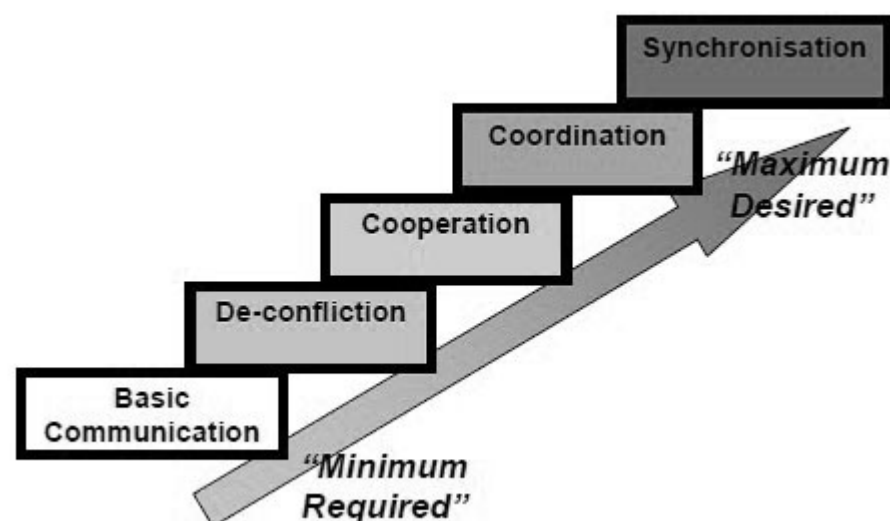


Figure 4-1: Degrees of Coordination

Coordination within the ASEAN Regional Forum

406. Coordination within the ARF is currently achieved by annual meetings of the ARF Inter-Sessional Meeting on Disaster Relief (ISMDR). During a disaster situation, coordination will be dependent on a number of factors such as scale of the emergency, host nation capacity, number of assisting nations and numerous other key elements. Figure 4-2, taken from the MPAT MNF SOP, illustrates a coordination methodology that could be employed in typical disaster situation.

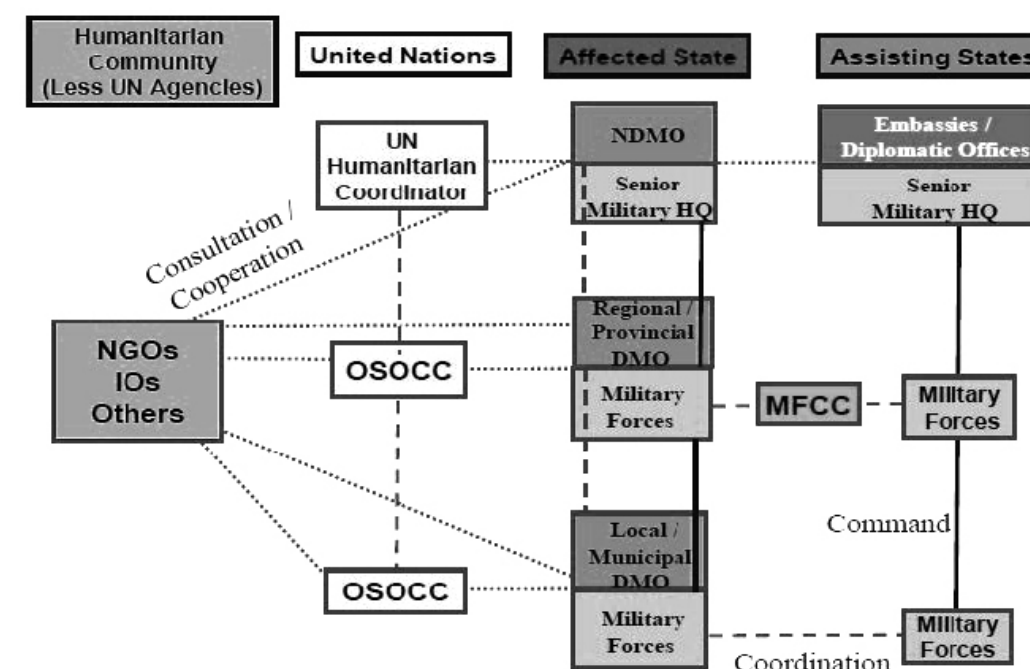


Figure 4-2: Civil-Military, Command, Control, Cooperation and Coordination Arrangements Model

Authority

407. Authority to conduct HADR operations generally comes from a request for assistance (such as occurred from those from countries affected by the 2004 Tsunami). The Affected State would develop guidance for the operation in the form of a mandate and directives for the force commanders and lead agencies.

408. The Affected and Assisting States will establish a multinational framework for planning and conducting relief operations. A Multi-National Task Force will usually be formed, whose commander will be designated by the Affected State. Coordination functions are established through sharing of liaison officers and the establishment of coordination cells, such as CMOC, CMCoord, logistics and movements.

409. **Military degrees of authority.** All actors should be aware of military terminology for degrees of authority. The three degrees of authority for military support to HADR operations are as follows:

- **Operational Control.** Operational control (OPCON) is the command authority to organise and employ forces, assign tasks, designate objectives, and give authoritative direction necessary to accomplish the mission. It does not involve direction for logistics or matters of administration, discipline, internal reorganisation of a nation's units, or unit training.
- **Tactical Control.** Tactical Control (TACON) is command authority limited to detailed control of movements or manoeuvres in the operational area necessary to accomplish assigned missions or tasks.
- **Support.** Support is a command relationship established by a higher commander or authority between subordinate commanders when one organisation should aid, protect, complement, or sustain another force.

410. The nature of HADR operations encourages the highest degree of autonomy and delegation. Changing local situations may require rapid re-tasking of allocated forces. Delays in seeking approvals through relevant National Command Elements (NCE) may unnecessarily endanger life.

411. The following are considerations in controlling allocated forces:

- Operating procedures are different for the multiple actors engaged in emergency response.
- The risk of being constrained by Affected and Assisting States' government priorities that may not be in accordance with actual need and/or priority interventions.
- Affected State priorities not coinciding with perceived priorities of the international aid community.
- The need for logistical hubs to be established and jointly managed by UN, government, military and civilian sources including Affected State customs support is required.
- Emergency response should always be seen as a coordinated and joint effort. UNOCHA is equipped and organised to coordinate a multi-stakeholder response.

412. Further guidance can be found in the Oslo Guidelines (Annex A to chapter 3) which outlines the Civil-Military Coordination framework for UN-Military actions/relationships in HADR.

Coordination Responsibilities

413. The local population should be included in its own response and recovery efforts. HADR should therefore be concerned with community awareness and adhere to the principles of disaster relief in chapter 3.

414. In most cases the phases of a disaster are concurrent rather than sequential, requiring coordination between actors in overlapping phases.

Governments

415. The Affected State is ultimately responsible for the safety, security and welfare of its people, as well as coordinating all disaster response. In practice, Affected State governments can be overwhelmed by competing priorities and damage to national infrastructure. Coordination can therefore often be shared with other key actors such as the UN or ASEAN, which will always seek to work in support of governments where nations and regional organisations involved in disaster response agree. The sharing of coordination mechanisms does not however imply that the Affected State will abrogate any aspects of its national sovereignty responsibilities and it will always retain responsibility for overall control and coordination of the disaster response.

Civil Society/International Aid community

416. A number of international NGOs such as Oxfam, Save the Children, Medecins Sans Frontieres, and others, frequently respond to disaster situations. The most effective are often those agencies that are already established in the affected region.

417. Most lives are saved in the first 48 to 72 hours following a disaster with the National Red Cross and Crescent Societies often playing a key role. These are locally established organisations that can mobilise immediately following a disaster to assist civil authorities with search and rescue efforts and the distribution of relief items. Individual national societies are supported by the International Federation of Red Cross and Red Crescent Societies (IFRC) from its country or regional delegations, its Asia Pacific Zone Office in Kuala Lumpur or its Geneva headquarters.

418. UNOCHA Coordination of Assistance. The UN Office for Coordination of Humanitarian

Assistance (OCHA – refer chapter 3) mobilises assistance teams, assets and resources both at its headquarters and in the field to begin co-ordinating international response. It can also establish an On-Site Operations Co-ordination Centre (OSOCC) to support the Affected State's local emergency management authority in co-ordinating the activities of international relief providers. Below is a list of tools at the OCHA's disposal for co-ordinating emergency response during natural disasters and environmental emergencies. These tools are managed by the Emergency Services Branch (ESB) of OCHA Geneva.

- **United Nations Disaster and Co-ordination (UNDAC) Teams.** With a rapid-response post-disaster mandate the UNDAC team is a stand-by team of international disaster management professionals who are nominated and funded by member governments, OCHA, UNDP and operational humanitarian United Nations Agencies. Upon request of a disaster-stricken country, the UNDAC team can be deployed within hours to carry out rapid assessment of priority needs and to support the Affected State's authorities and the United Nations Resident Coordinator to coordinate international relief on-site.
- **International Search and Rescue Advisory Group (INSARAG).** After an earthquake international urban search and rescue (SAR) teams, made up of emergency response professionals world-wide are sent by their governments to support the life-saving efforts of local governments and other authorities of the affected area. OCHA acts as the secretariat for the INSARAG.
- **Environmental Stand-by Experts (ESBE).** Through a joint venture with the United Nations Environmental Programme (UNEP), OCHA facilitates the co-ordination of UN emergency response to environmental emergencies, such as chemical and oil spills and forest fires.
- **Civil-Military Coordination Section.** OCHA ensures the most efficient use of military and civil defence assets by serving as a hub for the mobilisation and deployment of these assets and by acting as a liaison between the humanitarian and military cells during a humanitarian relief operation. This involves establishing Humanitarian Operations Centres (HOC) and Humanitarian Information Centres (HIC), ideally staffed with both military and civilian personnel.

419. The UN, as a coordinating body for emergency response for UN agencies and NGOs, will often be a source of information on:

- emergency stockpiles available for response,
- civilian (local NGO/church/civil society) networks available to support access and delivery of goods, and

- the presence of international NGOs with existing networks that can quickly access those most in need.

Military

420. As discussed in chapter 3, the role of the military is to support, not lead the effort. The military is in a unique position to play a critical role in the early stages of a disaster because it has the logistical capacity to deploy people, technical expertise, transport elements, and supplies at a scale and speed that other stakeholders may be unable to provide or undertake. However, where practicable, military HADR should begin in concert with civil actors to prevent military dependency and inhibition of longer-term development programs.

421. Military assistance during HADR operations includes: tactical and strategic heavy lift; deployable engineering, infrastructure and logistic support; security; evacuation; rescue; communications; medical services, accommodation and emergency supplies. The type of disaster and its effects will shape the military response.

422. **Health Service Support.** Military Health Service Support (HSS) is particularly important after ecological and environmental disruption, and is characterised by:

- rapid creation of an HSS element with an appropriate mix of specialties, which can also provide accurate assessment;
- preventive medicine, sanitation and disease control; and
- treatment in austere field conditions.

423. **Liaison.** The military command and control structure should be able to coordinate and communicate with all key actors. Military liaison officers (MLO) trained in political/military affairs are therefore essential, as are experienced HADR personnel who provide a basis for accountability and assessment. A set of minimum standards for the delivery of emergency humanitarian relief already exists in the form of the Sphere Standards outlined in Annex C to chapter 3.

424. Recent disasters have underlined the importance of timely and flexible responses based on accurate assessments and reporting of damage and need. The military can also deploy advance teams to scope out damage, and deploy appropriate search and rescue (SAR) teams. It should be noted that the UN and Red Cross regularly deploy advance teams whose role is to scope and assess damage immediately following a disaster. Military and civilian agency coordination is a key element in avoiding duplication of effort.

Handover of Responsibility

425. **Exit Strategy.** A coherent exit strategy should be formulated at an early stage. This may be expressed as a date, or the achievement of certain criteria. However, the exit strategy will need to be constantly reassessed as the operation progresses.

426. The development of reliable indicators or Measures of Effectiveness (MOE) is crucial to successful transition planning and management. This enables the national authorities, assisted where necessary by international actors and other international agencies, to make a reasoned assessment of progress and determines at which point the process of consolidation can be safely handed over to the Affected State authorities.

Evaluation

427. Evaluation is separate from MOE. A formal and non-judgemental evaluation of the total HADR effort will help gauge relief effectiveness, and the compiling of a “lessons-learned” database. This process can be potentially sensitive, but is essential in developing a body of HADR knowledge.

CHAPTER 5

Logistics Support for Disaster Relief

Logistics Planning

501. HADR operations are mounted when the Affected State is unable to cope with the magnitude or scope of the situation, usually because of degradation of the Affected State’s communication and logistic infrastructure. Effective and timely logistic support is therefore crucial to HADR operations.

502. HADR logistic contingents are frequently provided by Assisting States that do not regularly operate together. Standards of training, doctrine, methods of operation and equipment specification and capability generally vary. Distances and infrastructure limitations from national support bases may often dictate lines of logistic support beyond the capability of national chains.

503. Military logistics, being expeditionary in nature, is generally the most suited for these functions, although there are an increasing number of civilian global logistic partnership organisations that provide similar services. Logistic functions generally required to support HADR operations are:

- construction and engineering;
- accommodation and shelter;
- provision and preparation food and sustenance;
- water distribution and purification;
- power generation;
- heavy lifting and transport equipment;
- air/sea port handling assistance;
- cargo consolidation, prioritisation and tracking;
- personal protective equipment;
- communications equipment;
- health and medical supplies;
- fuels, oils and lubricants;
- distribution, and transport including movement coordination and assistance;
- warehousing, supply and distribution;
- provision of emergency supplies (including packaged water); and

- hazardous waste and rubbish collection and removal.

504. Without coordination, resources may not be shared or distributed according to needs. Poor coordination and communication may result in duplication of effort, overlaps and gaps, and unproductive activity. Resource coordination is often a weak point in multi-agency responses and special attention should be given to this area.

Capability Requirements

505. The type of HADR depends on identified and agreed tasks. In addition to coordination and communication, the following capabilities are regularly required and should be considered in the task organisation:

- **Mobility.** Degradation of infrastructure and the scale of the affected area require an ability to deliver relief quickly to where it is needed. Tactical air transport, particularly helicopters, are therefore likely to be force multipliers, as will be maritime assets, including ships used for tactical bulk transfer; small, lightweight and highly manoeuvrable military specific craft; and hovercraft in littoral or riverine areas.
- **Protection and Security.** Whilst HADR are generally conducted in a permissive environment, some environments may require additional levels of protection for personnel, military assets and equipment.
- **Transshipment.** Transshipment nodes enable stock to be reconfigured for transport on different modes, such as from a shipping container to an airdrop load.
- **Stock Management.** Stock tracking and management is needed to ensure the correct stocks can be located and distributed when and where it is needed. Stock management is also needed to ensure it does not perish before it is distributed.
- **Sustainability.** HADR operations will normally be of short duration, thus minimising the sustainability requirements of the deployed force. Nevertheless, a detailed sustainability statement should be produced. Unless otherwise arranged through some form of agreement, logistics is a national responsibility and should be coordinated through a National Support Element (NSE). Any deployed HADR force should be self-supporting for the duration of the operation in order to avoid placing additional stress on overburdened local authorities or the supported humanitarian agencies.
- **Strategic Lift.** Appropriate platforms, which may include civil charter assets, will be required to deploy the force to and from the area of operations. Given the time imperative associated with disaster response this is likely to be military airlift.
- **Intra Theatre Lift.** Intra theatre lift is usually at a premium. Lift that is not restricted to

land movement needs to be carefully managed to ensure efficient usage. In a devastated environment fixed wing aircraft air drop and rotary wing external lift will often be used to provide assistance to isolated persons.

Resource and Support Planning

506. Resource planning should be conducted in parallel with logistic planning and needs to be an iterative process of testing planning against the realities of contributing nation's capacity and budget. Key considerations for logistic support planning for an HADR operation include:

- Threat situation for security, health threats, disease, environment and weather.
- Availability of lift assets for deployment and sustainment including strategic and tactical air and sea transportation platforms.
- Level of combined military and civil capability that regional states can contribute to the operation.
- Deployment of a survey/reconnaissance technical mission to undertake a detailed assessment of logistic requirements and assessment of host nation infrastructure capability and capacity for sea and/or river ports and airfields and their associated equipment.
- Condition of internal distribution infrastructure including roads, railways and bridges.
- The use of an advance team to prepare the ground for the deployment of the operation.
- Existence of any cross-servicing agreements with partners that can support deployment.
- Command and control arrangements and tasking authority.

507. **Resource coordination.** General logistics support to an operation should be primarily the responsibility of the Affected State or a designated lead nation (excluding unique national requirements which will be coordinated through the NSE). Logistic requirements in support of the operation will be coordinated through a Logistics Coordination Centre (LCC) this should work closely with other agencies' logistic bodies such as the UN LCC if deployed and the Affected State's infrastructure bodies.

508. HADR operations require coordination with both the Affected State and other assisting international partners in the relief effort. The military should always be in a supporting role to the Affected State's needs in HADR operations and the relationship between military and civilian humanitarian actors should stress complementarity, not competitive, in roles and capabilities.

509. **Affected State Ownership.** The Affected State should actually and figuratively be leading the HADR operation. The concerns of the Affected State and the local population are therefore important. Visibility of their concerns should be assured by including them in both the planning and conduct of operations. Where practicable, improving longer term Affected State capacity, such as rebuilding and refurbishing a local hospital, rather than bringing in a temporary field hospital, is preferable. This latter option will contribute more to Affected State's long-term recovery, as well as demonstrating that those providing the assistance have the Affected State interests in mind.

Transfer of Logistic Support

510. Transfer of logistic support to the Affected State is the ultimate aim of any HADR operation, and effective planning is essential. The strategic objectives of the operation, as stated in the mandate/authority for its conduct, will indicate necessary transfer conditions. Nonetheless, the actual transfer will impose significant planning demands and is likely to require review throughout the life of the operation.

511. Measures of effectiveness (MOE) should be developed for the operation to enable a reasoned assessment of its progress and success. These MOE should be based on benchmarks for consolidation by the Affected State authorities, assisted where necessary by international actors including UN agencies, NGO or other aid/development partners. MOE should be agreed with the Affected State and other key actors.

512. Suitable MOE can help put HADR into perspective by comparing pre and post disaster states. Given the uniqueness of each event, there is no absolute list of measures for HADR. However, there is good reason to have a set of measures which together cover four essential categories: timeliness, effectiveness, efficiency and learning.

513. MOE should also alert Assisting Actors to emerging problems, as well as inform decisions on when and where to shift effort or assets, whether more (or less) support is required, and where relief efforts are in relation to disaster impacts. MOE can assist in establishing and assessing exit criteria and should be tied into campaign effectiveness analysis.

514. Transfer should only occur when the Affected State and key Assisting Actors can sustain the functions at the level and rate of effort required. Handover or disposal of stores, equipment and facilities should be planned for well before transfer. Equipment and facilities may be "gifted" or "loaned" depending on the policies of the Assisting State and consideration

should be given to their ongoing maintenance. Disposal of stores and equipment should be in accordance with the requirements of the Affected State.

Health Support

515. It is well known from experience that emergencies result in excess loss of life (high mortality) and increased incidence of diseases (high morbidity). The diseases mainly responsible for high mortality and morbidity are measles, diarrhoeal diseases (including cholera), acute respiratory infections (pneumonia), malnutrition and malaria. The factors which increase the risk of disease and which should be addressed in any emergency response include an unfamiliar environment, poverty, insecurity, overcrowding, access to and quality of water, poor environmental sanitation, inadequate shelter and insufficient food supply.

516. Emergency response at a minimum, places its greatest emphasis on preservation of life and prevention of human suffering. Likewise first responders and those involved in HADR should be protected from the hazard prior to treating victims. Planning for HADR should include provisions for appropriate personal protective equipment (PPE) for force personnel.

517. Immediate priorities of the deployed force would include:

- a. resuscitation;
- b. treat emergency situations as they develop;
- c. stabilise the patients as much as possible;
- d. synchronise the evacuation in conjunction with the relevant lead coordinating authorities;
- e. triage patients for evacuation (most severe and stable out first); and
- f. transport patients to definitive care as soon as practicable.

518. **Urgent Survival Needs.** Meeting the most urgent survival needs requires food, water, emergency shelter, health care, sanitation and fair distribution. The Sphere Standards detail minimum emergency requirements and can most readily be achieved via the following:

- a. Local Community. Involve the local community/victims of the disaster and promote their self-reliance from the start. If this is not done, HADR effectiveness will be severely reduced, and an early opportunity to help the victims to start to recover from the psychological effects of their ordeal may be missed.
- b. Food. Ensure that at least the minimum need for energy is met; a full ration can follow. Set up special feeding programmes if there are clear indications of malnutrition and the establish

storage facilities.

- c. Water. Protect existing water sources from pollution and establish maximum storage capacity with the simplest available means. Transport water to the site if the need cannot otherwise be met.
- d. Vector Control. Needs to be undertaken immediately to prevent the subsequent spread of disease.
- e. Emergency Shelter. Meet the need for roofing and other materials from local sources if possible. Request outside supplies (e.g. plastic sheeting) if necessary.
- f. Health Care. Provide the necessary organisational assistance, health personnel and basic drugs and equipment in close consultation with the national health authorities. Although the immediate need and demand may be for curative care, do not neglect preventive and particularly environmental health measures.
- g. Sanitation. Isolate human waste from sources of water and accommodation.

Health Conditions and Medical Support Considerations

519. In addition to all the health planning considerations for an emergency response into the affected impact area, health protection planning for the emergency responders is essential. Food, water, blood products, high levels of industrial pollution, and indigenous diseases combine to provide a high-risk environment for all emergency response personnel. Additionally HADR operations may place emergency response personnel in situations that substantially increase the risk of disease or injury. This requires that the emergency response have robust preventive medicine capabilities to perform medical and environmental health risk assessments and prevent health threats (including mental health) to the emergency response agencies. General planning considerations include:

- a. Immunisation and prophylaxis for biological agents.
- b. Technical assessment and health survey of Affected State during the planning process.
- c. Strategic and tactical aero-medical evacuation (AME) arrangements and casualty evacuation options based upon transportation platform availability.
- d. Communications systems established for notification to and receipt of information from doctors/clinics.
- e. Augmentation of medical facilities and personnel.
- f. Inventory control; manage medical stores ensuring security and maintenance, and making sure that medical stocks are kept in proper storage conditions.
- g. Patient tracking/record keeping.
- h. Augmentation of epidemiological services and support.

- i. Analytical laboratory support, including Memoranda of Agreement (MOA) specifying special consideration and testing as appropriate;
- j. Mental health support services, including clinical psychologists, psychiatrists, social workers.
- k. Potential logistical problems that may be caused by the unsolicited influx of volunteers and donated goods.

520. Mortuary Services. The Indian Ocean Tsunami (Annex A to chapter 2) demonstrated that a disaster can result in the death of a large number of persons in a very short time, which could overstress local capabilities for handling deceased remains. If a disaster involves biological or chemical agents, or there are delays in retrieving bodies, the remains may become contaminated. Planning should include medical examiners and/or coroners, morticians, and other persons involved in the handling of remains.

CHAPTER 6

Preparedness

Disaster Risk Management Cycle

601. As discussed in chapter 3, preparedness is an element of the Prevention/Mitigation, Preparedness, Response and Recovery (PPRR) disaster risk management cycle, summarised as follows:

- **Prevention.** Activities to provide outright avoidance of the adverse impacts of hazards, and means to minimise related environmental, technological and biological disasters.
- **Mitigation.** Structural and non-structural measures to limit the adverse impact of natural hazards, environmental degradation and technological hazards. Examples of prevention/mitigation are education and training, zoning, building specifications and regulations.
- **Preparedness.** Activities and measures taken in advance to ensure effective response to the impact of hazards, including the issuance of timely and effective early warnings and the temporary evacuation of people and property from threatened locations. Preparedness is fundamentally about planning ahead and building the disaster response capability of all key actors (refer chapter 3).
- **Response.** The provision of assistance or intervention during or immediately after a disaster to meet the life preservation and basic subsistence needs of those people affected. Response can be immediate, short term, or of a protracted duration. As response comes from diverse organisations with little regular contact with each other, coordination and cooperation (refer chapter 4) are critical.
- **Recovery.** Decisions and actions taken after a disaster with a view to restoring or improving the pre-disaster living conditions of the stricken community, while encouraging and facilitating necessary adjustments to reduce disaster risk. Recovery involves physical and psychological rehabilitation and restoration of essential services.

Preparedness planning

602. Preparedness planning for emergencies allows organisations and communities to adapt and innovate more quickly when disasters occur. Response mechanisms need careful planning, and should take into account the vulnerability and capabilities of the affected community, State or specific region, as well as policies and legislation on disasters, and the administrative and technical organisation of the various disaster agencies.

603. Apart from planning, preparedness is a function of training and education (see chapter 7), coordination and cooperation (chapter 4), resources, readiness, and community resilience.

604. **Principles of preparedness planning.** Experience has identified the following fundamental features of effective disaster preparedness planning:

- A network of partners with common values. The ARF has a well-established, diverse and highly capable membership with shared intent to improve interoperability, effectiveness and response time to disaster relief.
- Systems and mechanisms for prediction, early detection, and wide dissemination of warning of impending disasters.
- Engagement and consultation with those at risk, such as information campaigns showing how people and communities can better respond.
- Contingency plans, such as evacuation. However, as each disaster is different, not all aspects of a contingency plan are likely to be applicable.
- Training of key actors. Contingency plans also assist development of scenarios for exercises and training.
- Establishment of a national framework for coordination and control of key actors at all levels. Refer Figure 4- 2.
- Stockpiling supplies, and/ or compiling databases of supplies that can be readily accessed.
- Identification of regional hubs for stockpiling and or distribution and appropriate coordination/control measures.
- Development of a legal framework for the response.

605. **Implementation.** Specifically, preparedness of communities at risk may be implemented by:

- convening meetings or opportunities for the purpose of sharing information
- holding disaster drills, rehearsals and simulations;
- developing techniques for training, knowledge transfer and assessments;
- formulating memoranda of understanding and mutual aid agreements;
- educating the public and others involved in the planning process;
- obtaining, positioning and maintaining relevant material resources;
- establishing informal linkages between involved groups;
- thinking and communicating information about future dangers and hazards;
- drawing up organisational disaster plans and integrating them with overall community mass-emergency plans; and

- continually updating obsolete materials/strategies.

UN International Strategy for Disaster Reduction

606. The UN International Strategy for Disaster Reduction (UN ISDR) shifts the emphasis from disaster response to the management of risk through the integration of disaster reduction into sustainable development. The ISDR is dedicated to the building of disaster resilient societies by:

- increasing public awareness of disaster reduction;
- obtaining commitment from public authorities;
- stimulating inter-disciplinary and inter-sectoral partnerships;
- improving scientific knowledge of the causes, consequences and impact of natural disasters; and
- strengthening early warning and emergency preparedness capability.

607. **Hyogo Framework for Action.** At the World Conference on Disaster Reduction, held in Kobe, Hyogo, Japan in January 2005, 168 governments adopted a ten year plan to make the world safer from natural hazards. The Hyogo Framework for Action (HFA) is a global blueprint for disaster risk reduction, offering concrete guidelines and practical means for achieving disaster resilience for vulnerable communities. All ASEAN Regional Forum member states endorsed the HFA. Further detail can be found from the website list at the end of this document.

Australia and Singapore ARF Disaster Relief Mapping Service

608. Australia and Singapore have developed a disaster relief mapping initiative which was endorsed by ARF Ministers in July 2009. Essentially, this aims to host on a single website, various forms of geospatially derived data which could be used to assist in both risk reduction activities and real time disaster relief. When fully functional, the database tool will be available to all ARF members.

Awareness and Preparedness for Emergencies at Local Level

609. The United Nations Environment Programmes Industry and Environment Office (UNEP IE) has a program titled Awareness and Preparedness for Emergencies at Local Level (APELL). The APELL program allows local communities to measure their preparedness as a function of

awareness and having workable, realistic plans in the event of a disaster.

610. The APELL process consists of the following ten steps:

- Identify the emergency response participants and establish their roles, resources and concerns.
- Evaluate the hazards and risks that may result in emergency situations in the community.
- Have participants review their own emergency response plans for adequacy relative to a co-ordinated response.
- Identify the required response tasks not covered by existing plans.
- Match these tasks to the resources available from the identified participants.
- Make the changes necessary to improve existing plans, integrate them into an overall community plan and gain agreement.
- Commit the integrated community plan to writing and obtain approval from local governments.
- Educate participating groups about the integrated plan and ensure that all emergency responders are trained.
- Establish procedures for periodic testing, review and updating of the plan.
- Educate the general community about the integrated plan.

Standby Arrangements

611. Standby arrangements, like contingency plans, are designed to reduce response times. The basic aim of any standby arrangement is to quickly augment or provide specialist assistance not available within the Affected State. As the three main elements of disaster relief are logistic support, medical, and search and rescue, maintaining databases of these assets and capabilities beforehand, and agreeing on procedures for their use, can greatly facilitate response.

612. Some standby arrangements already exist, such as the UN Standby Arrangements. However, their processes and timelines for activation could compromise required reaction times (initial deployment within 24-48 hrs).

613. **Proposed ARF Standby Arrangements.** The 2006 ARF Statement on Disaster Management and Emergency Response (DMER) encourages ARF member nations to enhance support for existing regional and international HADR mechanisms for disaster prevention and preparedness. In particular, the Statement urges the development of ARF regional standby arrangements for immediate humanitarian assistance. Further work on such standby arrangements is yet to be undertaken.

CHAPTER 7

Training

701. Training in HADR activities is essential in helping nations understand each others' capabilities to contribute to future missions, and allowing nations the opportunity to develop and refine methods for cooperation and coordination. Importantly, training needs to encompass the entire spectrum of HADR elements including civil, military, Government and Non-Government actors.

Types of training exercises

702. A desktop exercise is an activity in which officials and key staff with DR responsibilities are gathered informally, to discuss various simulated emergency situations. The exercise is designed to elicit constructive discussion by the participants to evaluate plans and procedures and to resolve questions of coordination and assignment of responsibilities throughout the exercise under minimum stress.

703. A functional exercise is an activity designed to test or evaluate the capability of individual or multiple functions or activities within a function. This exercise is more complex than a desk-top exercise in that activities are usually under some type of time constraint with the evaluation critique coming at the end of the exercise. It can take place in some type of operations centre, the field, or combination of both. It is centred in an operations centre and can simulate the use of outside activity and resources.

704. The full scale exercise is intended to evaluate the operational capability of HADR systems in an interactive manner over a substantial period of time. Preparedness exercises may be run in conjunction with other HADR exercises or agency exercises, but should have discrete aims and objectives for the testing of the preparedness arrangements. A full-scale exercise is the most complicated of all the exercises. It requires many resources, a full staff of evaluators, actors who play victims, props and occasionally someone to "mouflage" simulated trauma victims.

705. This type of exercise includes mobilisation of personnel and resources, and the actual movement of personnel, equipment and resources to demonstrate coordination and response capability. The HQ/operations centre is initiated and field command posts may be established.

Elements of Taining

706. Training should be competency based, drawing on the UN Standard Training Modules (STM), IFRC and NGO training modules and military specific training. Training subjects should include:

- the "do no harm" philosophy;
- International Humanitarian Law, International Disaster Response Law, Human Rights Law, and Refugee Law;
- professionalism, discipline and conduct;
- interagency coordination and cooperation;
- cultural awareness;
- media awareness;
- negotiation and meeting skills;
- first aid, nutrition, bio hazards; and
- OCHA/CMCoord.

707. Training should be conducted well before any deployment and supplemented with regular seminars and refresher training once in the operational environment.

708. Drills and exercises are valuable training methods in that they:

- provide a benchmark for HADR operations;
- have the ability to focus on comprehensive emergency management;
- encourage collaboration between stakeholders when conducted with other organisations;
- enhance operational continuity and resiliency;
- provide an opportunity to detect gaps in capability and other operational deficiencies;
- validate professional capabilities;
- identify potential personnel issues;
- demonstrate effective use of public resources and provide justification for resources; and
- encourage intra and inter-agency communication and team building.

709. Nations should be encouraged to establish their own counter disaster training institutions and consider integrating them with existing peacekeeping centres (if they exist).

Interagency Training

710. Contributing nations should consider establishing a program of attachments for key staff from appropriate government organisations; military, police, and aid agencies as well as NGO and commercial organisations. These attachments help build and foster a greater understanding of each others' operating procedures, capacities and capabilities and more importantly the cultural ethos unique to those organisations.

711. Attendance at interagency and international seminars, courses and exercises also assists develop relationships before any deployment.

International Agency Training

Team Building

712. HADR calls for the cooperative efforts of a wide variety of agencies. In some large disaster responses, hundreds of organisations may be involved. Team building is a key HADR skill as team members need to rapidly understand their roles and responsibilities to work effectively together. Training teaches first responders and key officials how to respond to new stresses presented by a disaster as well as teaching the accepted norms of carrying out a job or skill. Training involves not only teaching one's self what is expected, but also teaching others what is expected of them.

713. Teamwork is important in HADR collaboration as it smoothes the progress of understanding and shows the way to a true appreciation of differences, generating a system that establishes shared decision making and communication. To ensure that collaboration exists, effective leaders ensure creative cultures are maintained in which staff feel compelled to make teamwork part of their routine.

714. During a disaster, Emergency Managers operate in teams and the attendance of a well trained, experienced team reduces the impact of stressors on the commander, as tasks can be delegated, second opinions sought, and strategies discussed and agreed. Good team work is very dependent on a proper analysis of the required team roles, training in team skills and the existence of an open work climate.

Leadership Training

715. HADR initiatives are more successful when all key stakeholders in a project share in the

development of the vision, process and desired outcomes for its undertaking. Effective leaders can mediate conflict-ridden situations by sharing information, providing expertise, promoting a sense of security, and by facilitating progressive change toward achieving project goals.

716. Responsibilities of the military leader are the delivery of timely and accurate information with its dissemination required for not only command and control but also in the education of the stricken community. Leadership training in preparation of DR may also look at assisting traumatised victims and emergency workers.

Training in Media Operations

717. The media plays an important role in keeping emergency organisations of all types as well as governments accountable. Media relations are a training requirement for HADR that requires tact and experience. Often a single designated Media Liaison Officer is delegated this role which has the power to gain community and stakeholder engagement. Collaboration between specialists, scientists, military, governments, and other response agencies (as well as the media) is crucial to guarantee the provision of accurate and consistent information to the local and world community prior to, during and after HADR.

Skills Training

718. Job-specific tasks, roles, responsibilities and expectations should be of primary importance. Other coordination training requirements include:

- hazard management,
- field coordination,
- emergency management methodology systems,
- risk management frameworks,
- warning systems,
- evacuation,
- emergency medical care,
- public safety,
- perimeter control,
- incident management/response,
- traffic control,
- search and rescue,
- donations management,

- personal protective equipment,
- damage assessment,
- declaration of the disaster,
- debris removal,
- sheltering,
- management of bodies,
- communications,
- transportation convoys,
- maintenance and repair of essential services and equipment in the field,
- essential services restoration, and
- public information.

Glossary

Affected State

Affected State means the State upon whose territory persons or property are affected by a disaster.

Affected State Support

Affected State support is the civil and/or military assistance rendered by a nation to foreign forces within its territory based on agreements mutually concluded between nations.

Assisting State

Assisting State means a State providing disaster relief or initial recovery assistance, whether through civil or military components.

Assisting Humanitarian Organisation

Assisting humanitarian organization means a foreign, regional, inter-governmental or international non-profit entity whose mandate and activities are primarily focused on humanitarian relief, recovery or development.

Assisting Actor

Assisting actor means any assisting humanitarian, organization, assisting State, foreign individual, foreign private company providing charitable relief or foreign entity responding to a disaster on the territory of the Affected State or sending in-kind or cash donations.

Civil-Military Coordination

Civil-Military Coordination (CMCoord) is the essential dialogue and interaction between civil and military actors in humanitarian emergencies that is necessary to protect and promote humanitarian principles, avoid competition, minimise inconsistency, and when appropriate, pursue common goals. Basic strategies range from coexistence to cooperation. Coordination is a shared responsibility facilitated by liaison and common training

Civil-Military Cooperation

Civil-Military Cooperation (CIMIC) is the coordination and cooperation, in support of the military mission, between the commander and civil stakeholders, including the national population and local authorities, as well as international, national and non-governmental organisations and agencies. CIMIC is a military function of establishing relationships with civilian agencies active within the area.

Civil–Military Operations

Civil–military operations are operations conducted in support of military operations, or in times of emergency, aimed at enhancing the effectiveness of military assets and civil operations and minimising the impact of military operations on civilians.

Disaster

A disaster is a serious disruption of the functioning of society which poses a significant, widespread threat to human life, health, property or the environment, whether arising from accident, nature or human activity, whether developing suddenly or as a result of long-term processes, but excluding armed conflict.

Disaster Management

Disaster management is a term covering: implementation of preparedness, prevention/mitigation, emergency response or relief and recovery measures.

Disaster Relief

Disaster relief is the emergency assistance provided to help ease the effects of natural disasters such as typhoons, floods and earthquakes, and manmade events such as industrial accidents and/or the results of conflict.

Humanitarian Assistance

Humanitarian assistance (HA) is aid to an affected population that seeks, as its primary purpose, to save lives and alleviate suffering of a crisis-affected population. Humanitarian assistance should be provided in accordance with the basic humanitarian principles of humanity, impartiality and neutrality.

Humanitarian Community

The humanitarian community (HC) consists of civilian/non-governmental/multilateral agencies and organisations whose primary focus is the provision of humanitarian aid, assistance, relief, development support and human rights advocacy. These groups include the United Nations relief agencies, international organisations like the Red Cross/Red Crescent movement and non-governmental organisations like Save the Children and Medecins Sans Frontieres.

Humanitarian Space

The need to work in an environment devoid of political-military external factors that threaten independence, impartiality and neutrality.

Initial Recovery Assistance

Initial recovery assistance means goods and services intended to restore or improve the pre-disaster living conditions of disaster-affected communities, including initiatives to increase resilience and reduce risk, provided for an initial period of time, as determined by the affected State, after the immediate needs of disaster-affected communities have been met.

International Disaster Relief Assistance

International disaster relief assistance (IDRA) means material, personnel and services provided by the international community to an Affected State to meet the needs of those affected by a disaster. It includes all actions necessary to grant and facilitate movement over the territory, including territorial waters and the airspace of a Transit State.

Military Civil Defence Assets

MCDA comprise relief personnel, equipment, supplies and services provided by foreign military and civil defence organisations for IDRA.

Mitigation

Structural and non-structural measures to limit the adverse impact of natural hazards, environmental degradation and technological hazards.

Originating State

Originating State means the State from which disaster relief and initial recovery personnel, goods and equipment begin to travel to the affected State.

Preparedness

Activities and measures taken in advance to ensure effective response to the impact of hazards, including the issuance of timely and effective early warnings and the temporary evacuation of people and property from threatened locations.

Prevention

Activities to provide outright avoidance of the adverse impacts of hazards, and means to minimise related environmental, technological and biological disasters.

Recovery

Decisions and actions taken after a disaster with a view to restoring or improving the pre-disaster

living conditions of the stricken community, while encouraging and facilitating necessary adjustments to reduce disaster risk.

Response

The provision of assistance or intervention during or immediately after a disaster to meet the life preservation and basic subsistence needs of those people affected. It can be of an immediate , short term, or protracted duration.

Transit State

Transit State means the State through whose territorial jurisdiction disaster relief or initial recovery assistance has received permission to pass on its way to or from the affected State in connection with disaster relief or initial recovery assistance.

ACRONYMS AND ABBREVIATIONS

APAN	Asia-Pacific Area Network
ACDM	ASEAN Committee on Disaster Management
ASEAN	Association of Southeast Asian Nations
ARPDM	ASEAN Regional Programme on Disaster Management
ARF	ASEAN Regional Forum
CBO	Community-based organisation
CIMIC	Civil–military cooperation
CMO	Civil–military operations
CMOC	Civil–military operations centre
CTF	Coalition/combined task force
DR	Disaster relief
FAO	Food and Agriculture Organisation of the United Nations
FACT	Field Assessment and Coordination Team
HA	Humanitarian assistance
HADR	Humanitarian assistance and disaster relief
HC	Humanitarian community

HFA	Hyogo framework for action
HN	Host nation
HSS	Health service support
ICRC	International Committee of the Red Cross
IDRL	International Disaster Response Laws, Rules and Principles
IFRC	International Federation of Red Cross and Red Crescent Societies
IO	International organisation
IOM	International organisation for migration
ISDR	International strategy for disaster reduction
JTF	Joint task force
MOE	Measures of effectiveness
MCDU	Civil-military co-operation / military civil defence unit
MPAT	Multinational planning augmentation team
MNF	Multi-national force
NGO	Non-government organisation
OCHA	Office for the Coordination of Humanitarian Affairs (United Nations)
RC/HC	Resident Coordinator / Humanitarian Coordinator
SAR	Search and rescue
UN	United Nations
UNDAC	United Nations disaster assessment and coordination
UNDP	United Nations development programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children’s Fund
WFP	World Food Programme
WHO	World Health Organisation

Websites for Humanitarian Assistance and Disaster Relief

UNITED NATIONS

UN Relief web **www.reliefweb.int**

UN Development Program **www.undp.org**

UN International Strategy for Disaster reduction **www.unisdr.org**

World Food Program **www.wfp.org**

UN Office for Coordination of Humanitarian Affairs / UN Disaster Assessment and Coordination (UNDAC) Handbook **www.unochaonline.un.org**

SOCIETIES

International Federation of Red Cross/Red Crescent Societies **www.ifrc.org**

Sphere Project **www.sphereproject.org**

International Relief Information Network **www.irin.org**

ASEAN/ASIA PACIFIC

ASEAN **www.aseansec.org**

ASEAN Regional Forum (ARF) **www.aseanregionalforum.org**

Asian Disaster Preparedness Centre **www.adpc.net**

Asian Disaster Reduction Centre **www.adrc.or.jp**

Pacific Disaster Center **www.pdc.org**

Centre of Excellence in Disaster Management and Humanitarian Assistance **www.coe-dmha.org**

MPAT MNF SOP **www.mnfsop.com**

Small Islands Developing States Network **www.sidsnet.org**

OTHER

Registered Engineers for Disaster Relief **www.redr.org**

Interagency Steering Committee **www.humanitarianinfo.org**

www.em-dat.net General source of disaster statistics

• AREAS OF COOPERATION •

ASEAN Regional Forum Process

Hanoi Plan of Action to Implement the ASEAN Regional Forum Vision Statement

(2010)

The Plan of Action (PoA) implements the ARF Vision Statement adopted by ARF Foreign Ministers who at their 16th ARF Meeting in July 2009 charted out a vision for the ARF by 2020. It is a step to strengthen the ARF process, with ASEAN as the primary driving force, as a central pillar in the evolving regional security architecture.

The Plan of Action will help to move the ARF process forward at a pace comfortable to all Participants, in its evolution from the stage of confidence- building measures, which have been the main focus of the ARF's activities, to the development of preventive diplomacy, while the ultimate stage is elaboration on approaches to conflict resolution.

The Plan of Action will also help the ARF cooperation process become more action-oriented, so that it can effectively contribute to enduring peace and stability in the region.

The Plan of Action, therefore, contains policy guidance for the Forum to develop and implement concrete and practical actions, including those agreed under ARF's work plans in its areas of cooperation.

The Plan of Action should be implemented in accordance with the principle of consensus, on a voluntary basis, and in conformity with relevant international and national laws and regulations.

I. Areas of Cooperation

1. Disaster Relief

By 2020, ARF aims to harmonize regional cooperation in Disaster Relief/Management and strengthen the interoperability of civilian and military relief operations.

1.1. Support the work of the ARF ISM on DR as an established ARF framework to deal with regional disaster relief issues.

1.2. Support and contribute to the implementation of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) through concrete and practical activities.

1.3. Support civil-military coordination that enhances regional capacity to provide effective and timely responses to major natural disasters, including through the holding of exercises on a regular basis commensurate with the capacity of ARF Participants.

1.4. Develop and refine tools such as regional protocols, a standby arrangement system, a model legal arrangement for foreign military assistance, common standard operating procedures, best practices, a voluntary registration scheme of civilian and military capabilities, and innovative initiatives that ultimately create effective regional disaster response framework complementary to internationally established guidelines.

1.5. Establish a clear working relationship and ensure complementarity with other international and regional bodies dealing with disaster relief such as the UN system, EAS, APEC, ASEM and Asia Pacific Conference on Military Assistance to Disaster Relief Operations (APC-MADRO), including through such means as collaboration with these fora's activities.

2. Counter Terrorism - Transnational Crime

By 2020, ARF will develop an effective network for regional law enforcement and military agencies to build regional capacity, share information, and individually and collectively respond in a timely and effective manner to the threats posed by terrorism and transnational crime in the region.

2.1. Support the work of the ARF ISM on CTTC as a framework to address regional terrorism and transnational crime.

2.2. Support the early ratification and implementation of the ASEAN Convention on Counter Terrorism (ACCT) and the Treaty on Mutual Legal Assistance in Criminal Matters among ASEAN Member States.

2.3. Encourage ARF Participants to accede, ratify, and implement relevant UN international instruments and conventions and participate actively in international counter terrorism and transnational crime fora.

2.4. Support the United Nations Global Counter Terrorism Strategy.

2.5. Support the development of national strategies and legal frameworks in the field of counter terrorism and transnational crimes through such means as information exchange and capacity building.

2.6. Explore the possibility of establishing an ARF tool, as appropriate, to provide legal assistance upon requests in combating transnational security threats.

2.7. Encourage ICT (Information and Communication Technology) security and build on and further develop the 2006 ARF Statement on Fighting Cyber Attack.

2.8. Work towards the establishment of an ARF transnational threat information-sharing center that utilizes and deepens existing regional mechanisms and centers specializing in information-sharing and capacity-building and develops new information-sharing, subject to proper data protection, and capacity-building arrangements when appropriate and in partnership with existing mechanisms.

2.9. Encourage technical cooperation among ARF Participants through transfer of skills, knowledge and technology including possible mutual assistance to enhance the technological capabilities of developing countries and in conformity with international commitments and national law.

2.10. Support the development of initiatives aimed at addressing conditions conducive to terrorism and transnational crimes that terrorists and perpetrators of transnational crimes can exploit.

2.11. Develop programs and activities aimed at the promotion of a culture of peace and tolerance, respect for diversity and inter-faith, intra-faith and intercultural dialogue in the region.

2.12. Exchange best practices in the field of law enforcement.

2.13. Hold concrete activities such as seminars, workshops, and exercises, as and when appropriate, in order to contribute to ARF's CTTC goals.

3. Maritime Security

By 2020, ARF should serve as a regional forum for maritime security issues that promotes and enhances maritime domain awareness, and develop concrete and effective regional responses to maritime security challenges.

3.1. Support the work of the ARF ISM on MS as an established regional framework that addresses maritime security issues.

3.2. Promote compliance and adherence to relevant international legal instruments and regional arrangements.

3.3. Forge close cooperation toward enhancing the safety and security of navigation, including the implementation of standards, best practices, and data-sharing for small vessel registration on a national and, as appropriate, regional basis, taking into account existing regional mechanisms and frameworks.

3.4. Utilize the work of national and regional think tanks to assist the work of the ISM on Maritime Security to enhance transparency in regional maritime security.

3.5. Promote regional maritime security capacity-building through concrete activities such as information-sharing, exchanges of officials, and holding maritime security-related tabletop and joint training exercises as and when appropriate.

3.6. Promote networking among ARF, ASEAN Maritime Forum (AMF), IMO, IOR-ARC, ReCAAP, as well as other maritime-related fora, as part of a comprehensive and mutually beneficial approach to maritime cooperation.

3.7. Promote cooperation in maritime issues, including maritime security and safety and search and rescue, through activities such as information sharing and technological cooperation in line with national and international laws.

3.8. Forge closer cooperation in combating maritime terrorism and transnational maritime

crimes such as piracy, armed robbery against ships, hijacking, smuggling, and trafficking in person, in accordance with national and international laws through concrete and practical activities.

4. Non-proliferation and disarmament

By 2020, ARF should develop national and regional capacity and promote common efforts in non-proliferation, disarmament, and peaceful uses of nuclear, chemical and biological technology.

4.1. Support the work of the ISM on Non-proliferation and Disarmament (NPD) as a framework to address non-proliferation, peaceful use and disarmament issues.

4.2. With a view to contributing to the process of global nuclear disarmament, ARF participants might consider the merit of the CTBT.

4.3. Support the goal of a world free of nuclear weapons and identify how ARF could contribute to its achievement.

4.4. Promote ARF contributions to the development of peaceful uses of nuclear energy through sharing national experiences and assisting in capacity building in cooperation with the IAEA, including on the relevant nationally applicable IAEA standards on nuclear non proliferation, safeguards, safety and security in accordance with their respective international legal commitments.

4.5. Support the implementation by ARF participants of international treaties to which they are parties.

4.6. Encourage nuclear weapon States and States parties to the SEANWFZ Treaty to work constructively with a view to ensuring early accession of the nuclear weapon States to the Protocol to the Treaty.

4.7. Encourage ARF participants which have not yet done so to accede to or ratify Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on their destruction.

4.8. Encourage the implementation of UNSCR 1540 and the relevant recommendations

of the UNSCR 1540 Committee in the work of ISM on NPD.

4.9. Support regional and national efforts toward the effective implementation of the UN Programme of Action to Prevent, Combat, and Eradicate the Illicit Trade in Small Arms and Light Weapons in all its aspects.

4.10. Exchange experience and promote the development of relevant best practices and with a view to building common approaches in strategic export controls where appropriate.

5. Peacekeeping Operations

By 2020, ARF will further enhance the regional capacity and readiness for peacekeeping activities, including through necessary training measures.

5.1. Compile a list of peacekeeping best practices and lessons learned including inputs from UN and other regional organisations.

5.2. Update on a regular basis the list of ARF peacekeeping contact points to facilitate information sharing.

5.3. Support the convening of ARF Meetings of Peacekeeping Experts or some other mutually agreed modalities on a regular basis.

5.4. Promote networking among ARF Participants' peacekeeping centers to encourage cooperation among them in such areas as training and seminars.

5.5. Hold ARF joint training and planning activities, including to conduct desk-top and scenario-based planning exercises for the ARF on peacekeeping operation exercises as and when appropriate with the consent of ARF Participants.

6. Defense Dialogues

By 2020, ARF should further integrate defense track and personnel into the ARF process.

6.1. Strengthen the effectiveness of the Defense Officials Dialogue (DOD) by making it more aligned with and supportive of the broader ARF process.

6.2. Extend the DOD to one full day and conduct working groups, if necessary, to allow it to discuss defense and military issues in the ISG and SOM's agenda and recommend ARF actions to the ISG.

6.3. Promote proper alignment of the ARF Security Policy Conference (ASPC) with ARF's activities to ensure practical and effective defense participation in the ARF process.

6.4. Expand the capacity of the ARF Heads of Defense Universities, Colleges, and Institutions Meeting (ARF HDUCIM) to exchange best practices in defense policies and academic development.

6.5. Encourage the DOD and ASPC contributions to and implementation of the relevant activities under the Plan of Action.

6.6. Ensure complementarity between ARF and the proposed ASEAN Defense Ministers' Meeting Plus (ADMM Plus) to avoid duplication of efforts.

II. CBMs and PD

By 2020, ARF should continue its efforts on consolidating CBMs while implementing PD activities/measures

1. Consolidation of CBMs:

1.1. Encourage non ASEAN ARF countries to appoint and accredit Ambassadors to ASEAN and to consider appointing a mission and/or dedicated official to also work on ARF matters in Jakarta.

1.2. Continue the current practice of initiating and implementing CBMs by at least one ASEAN and one non-ASEAN ARF Participant.

1.3. Compile best practices on confidence-building measures, preventive diplomacy and conflict resolution for further development by ARF.

1.4. Improve the collection, dissemination, and exchange of information and analyses of regional security concerns.

1.5. Encourage ARF Participants to arrive at mutually agreed CBMs and support the promotion of their implementation to enhance peace, stability, economic growth and prosperity in the region.

1.6. Encourage greater participation of ARF defense officials in ARF activities in order to promote greater transparency and understanding of defense policies and security perceptions.

1.7. Increase bilateral exchanges and cooperation among defense officials and military training institutions in order to promote trust and mutual understanding.

1.8. Hold ARF exercises upon the consent of the interested states in areas to include disaster relief and other areas of cooperation and develop an early and realistic time table for their regular execution.

2. Implementation of PD Activities/Measures:

2.1. Develop and implement an ARF Preventive Diplomacy (PD) Work Plan as mandated by the 16th ARF.

III. Institutional Enhancement

By 2020, ARF will expand and enhance the effectiveness of its institutional features to ensure the successful implementation of the PoA.

1. Promote the role of the ARF Chair with the possibility of assistance from the Secretary General of ASEAN as a point of first contact in cases of emergency or crisis

2. Activate and exercise the Friends of the ARF Chair mechanism as and when needed

3. Strengthen the ARF Unit

3.1. Expand the expertise and personnel capacity of the ARF Unit in a manner that assists the ARF Chair in efficiently facilitating the work of the ARF.

3.2. Elevate the ARF Unit into a division of the ASEAN Secretariat through the increase of the number of officials working in the ARF Unit.

3.3. Encourage all ARF Participants to contribute funding, personnel, and expertise assistance to the ARF Unit on a project-by-project basis or through more comprehensive means.

3.4. Hold regular discussions to review the capacity of the ARF Unit and as appropriate seek out additional resources from ARF Participants, and plan appropriate resource assistance to the ARF Unit.

4. Enhance the role of ARF EEPs

4.1. Consider utilization of ARF EEPs as expert consultative resources.

4.2. Consider expanding the functions of EEPs.

5. Expand the ARF Fund

5.1. Encourage the development of an appropriate procedure to secure commitments by ASEAN and its Dialogue Partners to fund ARF activities through their existing ASEAN assistance programs.

5.2. Support the development of innovative funding modalities for ARF activities with the consent of ARF Participants.

6. Develop fruitful ARF partnerships and networks

6.1. Improve the networking of established regional security centers, think-tanks, and the ARF Unit.

6.2. Encourage the development of an ARF consultation process with accredited and mutually acceptable Civil Society Organizations (CSOs) on regional security matters.

6.3. Consider the establishment of an ARF academic institute of regional security studies, under rules and mandate to be prescribed by the ARF, and to be situated within ASEAN.

7. Work with regional and international security bodies

7.1. Develop concrete and mutually beneficial cooperation programmes, as appropriate,

with relevant regional and international security bodies, including those of the UN system.

8. Work with Track II organizations

8.1. Encourage joint research projects on defense issues by regional government-affiliated policy and strategic research institutes.

8.2. Encourage the development of modality/guidelines for regular consultation with Track II organizations.

8.3. Encourage the development of an appropriate procedure that allows Track II participants to meaningfully contribute to ARF, through the implementation of the existing procedure to consider recommendations from ASEAN-ISIS, and CSCAP.

8.4. Encourage Track II organizations to enhance ARF's public profile and visibility.

IV. Review and Implementation

1. The implementation of the PoA should be reviewed and evaluated annually by the ISG and SOM to ensure that all its activities are responsive to the needs and priorities of the ARF.

2. ISM co-chairs are responsible to review and brief the ISG and SOM on the progress of the implementation of their respective Areas of Cooperation. ISM co-chairs should facilitate the development of the appropriate modalities to implement the items under their Area of Cooperation.

3. The ARF Unit of the ASEAN Secretariat is responsible for preparing a progress report of this PoA and submit to the Ministers for consideration.

4. Measures adopted by ARF Ministers on improving ARF's working methods should be strictly implemented by the PoA.

5. The PoA's implementation should be maintained as one agenda item of ISG and SOM meetings.

6. Any amendment to the PoA should be made with the consent of all ARF Participants and adopted by Ministers.

ASEAN Regional Forum Preventive Diplomacy Work Plan

(2011)

Introduction

1. The ASEAN Regional Forum's (ARF) founding document, the 1995 *ARF Concept Paper*, identified a three-stage process for ARF to develop a more predictable and constructive pattern of relations for the Asia-Pacific. It was agreed that ARF would progress from Stage I - Promotion of Confidence-Building Measures (CBMs); through Stage II - Development of Preventive Diplomacy Mechanisms; and ultimately Stage III - Development of Conflict-Resolution Mechanisms. Noting ARF's success in implementing CBMs, the 8th ARF in July 2001 judged that the time was right to begin a discussion on preventive diplomacy. At the 8th ARF, Ministers adopted the paper *ARF Concept and Principles of Preventive Diplomacy*.

2. The 14th ARF in August 2007 welcomed the Track II *Study of Best Practices and Lessons Learnt by Selected International and Regional Organisations in Preventive Diplomacy* (the PD Study). At the 16th ARF in July 2009, Ministers mandated officials to begin development of an ARF Preventive Diplomacy Work Plan by drawing on the PD Study and other relevant ARF documents. The 16th ARF also tasked the ARF Experts and Eminent Persons (EEPs) to provide their views on the elements of such a Work Plan. The 4th Meeting of the ARF EEPs was held in December 2009 and prepared a paper entitled *Draft Elements of a Work Plan on Preventive Diplomacy*. This ARF *Preventive Diplomacy Work Plan* has been prepared taking into account the above discussions and papers.

Objectives

3. The objectives of the Preventive Diplomacy Work Plan are as follows:

- To establish appropriate preventive diplomacy measures/mechanisms for the ARF;
- To move the ARF process forward from Stage I - Confidence Building Measures to Stage II - Preventive Diplomacy, on the basis of consensus through action-oriented cooperation and activities, while continuing confidence building measures, mindful of

ARF's intention ultimately to move to Stage III and;

- To increase the capacity and capabilities of the ARF and its participants in the area of preventive diplomacy.

Definition

4. ARF's agreed definition of preventive diplomacy is contained in paragraph 7 of the 2001 paper, *ARF Concept and Principles of Preventive Diplomacy*.

"Preventive diplomacy is consensual diplomatic and political action taken by sovereign states with the consent of all directly involved parties:

- *To help prevent disputes and conflicts from arising between States that could potentially pose a threat to regional peace and stability;*
- *To help prevent such disputes and conflicts from escalating into armed confrontation; and*
- *To help minimise the impact of such disputes and conflicts on the region.*

Principles

5. Preventive diplomacy measures/mechanisms in the ARF should be subject to a step-by-step approach and applied subject to the following principles:

- Those agreed by Ministers in the Concept and Principles of the Preventive Diplomacy document adopted at the 8th ARF;
- based on consultation and consensus;
- the application of existing CBMs and the development of new CBMs should be continued;
- the application of preventive diplomacy measures/mechanisms should be non coercive, and voluntary upon specific request and clear consent of all parties directly involved in a particular dispute;
- preventive diplomacy should be conducted in accordance with universally recognised principles of international law embodied, inter alia, in the UN Charter and the Treaty of Amity and Cooperation in Southeast Asia (TAC).

Work Plan

- Strengthen concrete cooperation in the ARF areas of Humanitarian Assistance and Disaster Relief, Counter-Terrorism and Transnational Crime, Maritime Security,

Non-proliferation and Disarmament, and Peacekeeping Operations.

- Continue to implement and enhance CBMs.
- Encourage ARF participants to contribute to the ARF Annual Security Outlook with review and analysis of it conducted when practical to identify possible areas of ARF PD work.
- Develop standardised formats and reporting criteria for CBMs.
- Identify and partner with mutually agreeable organisations, such as the UN, on preventive diplomacy capacity building programmes, experience sharing and training.
- Conduct workshops and training programmes for ARF participants on preventive diplomacy.
- Strengthen the ARF Unit in the ASEAN Secretariat by providing it with the necessary manpower, expertise and resources to support and monitor ARF activities as well as to support the ARF Chair.
- As appropriate, utilise the ARF EEPs, CSCAP and ASEAN-ISIS as expert consultative bodies for monitoring and identifying potential flashpoints.
- In the longer term, consider the establishment of a regional risk reduction centre to monitor regional trends.
- On the basis of consensus, identify and develop optional and voluntary preventive diplomacy mechanisms that could be utilised by ARF participants. These could include:
 - capacity-building such as technical assistance;
 - good offices role consistent with the Hanoi Plan of Action (ARF Chair, ASEAN Secretary-General, and Friends of the ARF Chair);
 - consider expanding the functions of the ARF EEPs;
 - fact-finding and observer missions; and
 - those identified in the TAC.
- Over time, with the consent of all directly involved parties, explore and consider the potential for:
 - mediation/facilitated dialogue;
 - conciliation.

Review and Implementation

- The implementation of the work plan should be reviewed and evaluated as appropriate by the ISG and SOM to ensure that its activities are responsive to the needs and priorities of the ARF.
- Any amendment to the work plan should be made with the consent of all ARF participants and adopted by ministers.

Disaster Management and Humanitarian Assistance

Developments in ARF Cooperation on Disaster Relief

The work of the ASEAN Regional Forum (ARF) on humanitarian assistance and disaster relief dates back to the establishment of the ARF Inter-Sessional Meeting on Search and Rescue Coordination and Cooperation (ISM on SRCC) in 1996. The aim of the ISM was to initiate cooperation among the Rescue Coordination Centers as well as serve as a network among search and rescue (SAR) personnel in the region. The 1st and 2nd ARF ISM on SRCC were held respectively in 1996 and 1997.

The ARF's work on humanitarian assistance and disaster relief was then placed under the purview of the ARF Inter-Sessional Meeting on Disaster Relief (ISM on DR) which was convened in 1997 and met annually for four consecutive years. It was reconvened in 2005 in the wake of the 2004 Indian Ocean Tsunami which gravely affected many countries in the region. Among the recurrent themes of the ISM include civil-military cooperation in disaster relief, information sharing including utilizing web-based early warnings and contact points, and the establishment of a common procedure to expedite responses to disaster.

The ARF Statement on Disaster Relief and Emergency Response, adopted by the 13th ARF in 2006, called for, among others, the development of ARF general guidelines on disaster management and emergency response for the use of both civilian and military personnel within the ARF participating countries. In 2007, the 14th ARF adopted the ARF General Guidelines for Disaster Relief Cooperation, which aims to establish a basic framework for disaster relief cooperation among ARF participants, promote more effective cooperation, and reduce losses due to frequent disasters. The 16th ARF in 2009 adopted the ARF Disaster Relief Work Plan (2009-2011), aiming at coordinating ARF-wide or sub-regional training for disaster preparedness. And the 17th ARF in 2010 adopted the ARF Strategic Guidance for Humanitarian Assistance and Disaster Relief. The new Work Plan (2012-2014) was adopted by the 19th ARF in 2012, which consists of three new priority areas, namely 1) promote networking and information sharing to enhance the capacity of ARF participants particularly in the areas of risk assessment, monitoring and early warning; 2) promote international cooperation and assistance in HADR operations; and 3) promote interoperability and coordination in HADR operations.

Over the years, the ARF have gradually moved from simply discussion to practical cooperations. The ARF Voluntary Demonstration of Response simply on Disaster Relief was conducted in 2009 followed by Disaster Relief Exercise (ARF DiREx 2011), which was held in Manado 2011, with about 3,600 personnel involved in the Field Training Exercise and Humanitarian Civic Action. The ARF DiREx 2013 was held in Cha-Am/Hua Hin in May 2013, with over 1,800 personnel involved.

**ASEAN Regional Forum
Work Plan for Disaster Relief**

2012-2014

Table of Contents

Glossary of Acronyms.....182

Context.....183

Objective of the work plan.....184

Framework of the work plan.....184

Leadership, Management and Funding Structure.....185

Relationship to Other Regional/International Efforts.....187

Priority Areas.....188

Project Types.....188

Implementation Annex 2012-2014.....189

Glossary of Acronyms

AADMER	ASEAN Agreement on Disaster Management and Emergency Response
ACDM	ASEAN Committee on Disaster Management
ADMM	ASEAN Defence Ministers Meeting
ADMM-Plus	ASEAN Defence Ministers Meeting Plus Eight
ADPC	Asian Disaster Preparedness Center
ADRC	Asian Disaster Reduction Center
AHA	ASEAN Humanitarian Assistance Center
APC MADRO	Asia-Pacific Conference on Military Assistance to Disaster Relief Operations
APEC	Asia-Pacific Economic Cooperation
ARDEX	ASEAN Regional Disaster Emergency Response Simulation Exercise
ARF	ASEAN Regional Forum
ARPD	ASEAN Regional Programme on Disaster Management
ASEAN	Association of Southeast Asian Nations
AusAID	Australian Government Agency for International Development
CMCS	Civil Military Coordination Section
CoE-DMHA	(US) Center for Excellence in Disaster Management and Humanitarian Assistance (Hawai'i)
DR	Disaster Relief
EAS	East Asia Summit
ERAT	ASEAN Emergency Rapid Assessment Team
GLIDE	Global Unique Disaster Identifier
HADR	Humanitarian Assistance and Disaster Relief
ICRC	International Committee of the Red Cross
IFRC	International Federation of Red Cross and Red Crescent Societies
INSARAG	International Search and Rescue Advisory Group
ISG	Inter-Sessional Support Group
ISM	Inter-Sessional Meeting
ISM-DR	Inter-Sessional Meeting on Disaster Relief
KLAP	Kuala Lumpur Action Plan
MPAT	Multinational Planning Augmentation Team
NGO	Non-Governmental Organizations
OSADI	Online Southeast Asia Disaster Inventory
RCC	Regional Consultative Committee
SAARC	South Asian Association for Regional Cooperation

SASOP	(ASEAN) Standard Operating Procedure for Regional Standby Arrangements and Coordination of Joint Disaster Relief and Emergency Response operations
SOM	Senior Officials Meeting
UN	United Nations
UNISDR	United Nations International Strategy for Disaster Reduction
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
USAR	Urban Search and Rescue

Context:

Disaster management issues continue to represent one of the most pressing areas for cooperation in the Association of Southeast Asian Nations (ASEAN) Regional Forum (ARF) region. In part due to the dialogue within ARF, a consensus has emerged on the need to better mitigate, manage and respond to disasters. An increasing number of international and regional mechanisms are being developed to more effectively respond to and prevent disasters.

The 15th ARF Ministerial Meeting in Singapore in July 2008, tasked the then-Co-Chairs of the ARF Inter-Sessional Meeting on Disaster Relief (Indonesia and the European Union) to work with ARF participants to draw up the first ARF disaster relief Work Plan, aimed at coordinating ARF-wide or sub-regional training for disaster preparedness. The 2009-2011 Work Plan was adopted at the 16th ARF Ministerial Meeting in Thailand in July 2009.

The Hanoi Plan of Action to Implement the ARF Vision Statement, adopted at the 17th ARF in July 2010, contains policy guidance for the ARF to develop and implement concrete and practical actions, including work plans under ARF areas of cooperation. Under the ARF disaster relief framework in the 2010 Hanoi Plan of Action, ARF aims to harmonize regional cooperation in disaster relief/management and strengthen the interoperability of civilian and military relief operations.

In the course of the 11th ARF ISM on Disaster Relief (ISM-DR) in Brisbane, Australia, Indonesia and Australia (as Co-Chairs) agreed to update and revise the ARF Disaster Relief Work Plan* for 2012-2014. This Plan covers activities relevant to early stages of the disaster management cycle (risk assessment, monitoring, early warning, rapid deployment and acceptance of assistance) as well as interoperability and coordination in disaster relief operations. The Work Plan also takes concrete steps to better synergize with other

* Any reference to “Work Plan” in the document refers to the Disaster Relief Work Plan and associated Implementation Annex.

regional activities and agreements (such as AADMER – the ASEAN Agreement on Disaster Management and Emergency Response).

Objectives of the Work Plan:

This Work Plan updates and revises the 2009-2011 ARF Disaster Relief Work Plan for 2012-2014 by drawing on experiences of ARF participants and receiving guidance from ARF documents including the 2010 Hanoi Plan of Action, the ARF Statement on Disaster Management and Emergency Response, the General Guidelines on Disaster Relief Cooperation and the Strategic Guidance for Humanitarian Assistance and Disaster Relief (HADR).

The key objective is to ensure long-term coordination and comprehensive planning continues to:

- assist in the coordination of regional and/or sub-regional capacity building exercises and trainings for disaster preparedness, risk reduction and response;
- capture and build on shared experiences and lessons learned, including from joint exercises;
- maintain and build on existing ARF government efforts in capacity-building endeavors, technical support and information exchange;
- complement and coordinate with existing regional and international initiatives; and
- strengthen existing government to government, regional and global disaster management networks.

Framework of the Work Plan:

This 2012-2014 DR Work Plan identifies current Priority Areas for ARF disaster management efforts and looks to distinguish ARF’s role in the context of other regional efforts. While there are other important aspects of international disaster relief cooperation, ARF should continue to focus its own work in areas where it can add value given its geographic focus, participation, and past work.

The ARF DR Work Plan is comprised of a concept paper and implementation annex. The concept paper components are:

- Context
- Objectives
- Framework

- Leadership, Management and Funding Structure
- Relationship to Other Regional/International Efforts
- Priority Areas
- Project Types.

The implementation annex is the implementation plan for each of the Priority Areas. It is organized by Priority Area and each contains the following components:

- Scope
- Potential project themes
- Lead countries
- Proposed projects
- References
- Past relevant activities.

In line with previous practice, the Implementation Annex will continue to be considered a “living document” and is expected to change with the addition and completion of projects. Responsibility for updating and maintaining the Implementation Annex will continue to lie with the ISM DR Co-Chairs, Lead Countries, and the ARF Unit.

Leadership, Management and Funding Structure:

Lead Countries will be composed of one ASEAN and one non-ASEAN country, supported by the ARF Unit of the ASEAN Secretariat. Lead Countries will be responsible for briefly updating each ARF Inter-Sessional Support Group (ISG), Senior Officials Meeting (SOM), and annual ISM DR meeting on recent and future progress in their Priority Area. The ISM DR Co-Chairs will monitor the effectiveness of the activities based on reports given by the Lead Countries.

Lead Countries will be responsible for coordinating the input provided by ARF participants to their respective Priority Area, proposing their own projects, coordinating the work of their Priority Area, and seeking out Co-Sponsors to fund and host projects in need of assistance. All ARF participants are encouraged to submit appropriate project proposals. Similar to Lead Countries, activities will have one ASEAN and one non-ASEAN Co-Sponsor associated with them. Every Lead Country and Co-Sponsor should set a voluntary goal for introducing and contributing towards one project within the framework of the Priority Area during their two- year tenure beginning in mid-2012. Lead Countries are encouraged to coordinate outside of ARF

plenary meetings in order to manage their Priority Area.

ISM DR Co-Chairs should also be consulted in the development of Priority Area projects. ISM DR Co-Chairs should seek to create an ISM DR agenda and meeting conducive to substantive discussion of and overall guidance to the Work Plan.

An essential element of this revised Work Plan continues to be the strengthened mandate of the ARF Unit. In order to effectively implement the Work Plan and specific projects, the ARF Unit will be requested to:

- Provide administrative and technical support to ISM DR and appropriate project meetings.
- Liaise regularly with Lead Countries to ensure adequate coordination and implementation of Work Plan requirements.
- Serve as a depository of incoming project proposals for countries.
- Coordinate the implementation of certain projects including financial coordination of ARF contributions, contract services, and, if and as appropriate, engage in project monitoring, as directed by Lead Countries and in consultation with the ARF ISM DR Co-Chairs.
- Coordinate and de-conflict ARF projects, as appropriate with Lead Countries, Co-Sponsors, training centers and other regional/international organizations.

Lead Countries will be responsible for:

- Liaising with the ARF Unit on the coordination and implementation of Work Plan requirements.
- Updating the ARF Unit on Work Plan contributions.
- Working with the ARF Unit to de-conflict projects, as appropriate.

During the annual ISM DR, the Work Plan will be reviewed in depth every two (2) years to ensure continued relevance. Additional activities will be added, and the Work Plan will be revised, as needed. Major changes to the Work Plan, such as the addition or subtraction of Priority Areas, should be approved by the Ministers.

The involvement of all ARF participants continues to be encouraged, although the Work Plan will not impose mandatory obligations upon any participants and will operate on the basis of consent. Projects will be funded by sponsoring ARF members unless noted

otherwise. If necessary, sponsoring nations may seek assistance from donor nations or outside organizations.

Relationship to Other Regional/International Efforts:

The 15th ARF recognized the need for the Work Plan to be complementary to and coordinate appropriately with relevant regional and global efforts on disaster relief coordination and disaster risk reduction. Such efforts include, but are not limited to, the initiatives of the ASEAN Committee on Disaster Management (ACDM), the Asia-Pacific Economic Cooperation (APEC) Emergency Preparedness Working Group, the ASEAN Humanitarian Assistance Center (AHA Center), the South Asian Association for Regional Cooperation (SAARC) Disaster Management Framework, United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA), the United Nations International Strategy for Disaster Reduction (UNISDR), the East Asia Summit, the ASEAN Defence Ministers' Meeting (ADMM) and the ADMM-Plus, and the various disaster centers throughout the region. ARF activities should also comply with international guidance such as the Hyogo Framework and International Disaster Response Law Guidelines. Another important mechanism is the ASEAN Agreement on Disaster Management and Emergency Response (AADMER).

Through this Work Plan, the following actions will be taken to ensure activities are complimentary to and in coordination with other regional and international efforts.

- The participation, as far as possible, of regional/international organizations in annual ISM DR meetings, including co-chairs of the ADMM-Plus Expert Working Group on Humanitarian Assistance and Disaster Relief.
- The participation, where possible, of the ARF Unit and ISM DR Co-chairs in relevant meetings of other forums.
- If possible, back-to-back meetings of the ISM on DR with the ADMM-Plus experts' working group on HADR.
- Consistent sharing of organization reports, strategies, and Work Plans, etc. by ARF with other organizations.
- Consultation by Lead Countries, the ARF Unit, and ISM DR Co-Chairs with representatives of other forums.
- Once approved by ARF Ministers, publication of the Disaster Relief Work Plans on ARF and ASEAN public websites.

Priority Areas

Priority Areas should be relevant and feasible. The Priority Areas and Work Plan should be reviewed for relevance, updates, and changes every two years at the ISM on Disaster Relief.

The ARF shall focus on Priority Areas that promote:

- (i) networking and information sharing to enhance the capacity of ARF participants, particularly in the areas of risk assessment, monitoring and early warning.
- (ii) rapid assessment, deployment and acceptance of support, and,
- (iii) interoperability and coordination in disaster relief operations.

Project Types:

Projects can take a variety of forms to fit the particular assistance needs and nature of the Priority Area. As appropriate, projects can be single events or a series of activities with increasing complexity. Some examples include, but are not limited to:

- *Capacity-building workshops* that share information on experiences and bring in government, private sector, community and other relevant experts to brief, train, and/or develop best practices.
- *ARF Pilot Projects* that utilize funding given to the ARF Fund for a submitted technical assistance or capacity-building project(s) in one or more ARF countries. The ARF Pilot Project should be within the scope of agreed Priority Areas and could be implemented by qualified government agencies in cooperation with private sector agencies.
- *Multilateral tabletop or field exercises* to test the implementation of international agreements, regional arrangements, or modes of communication among ARF and sub-regional participants. Future exercises should take into account not only capacity- building and technical support needs, but also modes of communication and information-sharing among exercise participants.

Implementation Annex 2012-2014

Rationale/Strategy:

The preceding ARF Work Plan on Disaster Relief (DR) Implementation Annex covered the period 2009 – 2011. Its outcome was reviewed by the 11th ARF ISM on DR at its Meeting held in Brisbane, Australia on 16-17 April 2012 based on the ASEAN Secretariat's discussion paper: ARF Work Plan For Disaster Relief 2009-2011: A Review of its Implementation and Proposed Recommendations for the Subsequent Work Plan. The Meeting agreed that to strengthen the work of the ARF ISM on DR, some adjustments would be made to the Implementation Annex for 2012-2014. The ARF ISM on DR areas of cooperation in disaster management will focus more closely on activities that contribute to greater collective coordination and collaboration among ARF participants in disaster relief, preparedness and response.

The priority areas of this Work Plan on DR relate to those in the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) Work Programme 2010-2015, particularly the Strategic Component on Preparedness and Response. Activities implemented under the Work Plan will, in most cases, assist in achieving the outputs of the AADMER Work Programme and the goals of the AADMER. However, given the ARF's broader membership (including 17 non-ASEAN participants as well as the 10 ASEAN participants), projects that do not directly contribute to the AADMER Work Program may still be considered.

Building on the preparedness and response activities that are generated by the AADMER, Work Programme and other ASEAN-related mechanisms including the EAS and ARF, the activities for the 2012-2014 Implementation Annex will focus on the need to enhance the region's capacity to better collaborate and coordinate in multi-country operations for disaster relief and response.

The priority areas for the Work Plan on DR will, therefore, be as follows: i) Promote networking and information sharing to enhance the capacity of ARF participants, particularly in the area of risk assessment, monitoring and early warning; ii) Promote rapid deployment and acceptance of assistance in humanitarian assistance and disaster relief (HADR) operations; iii) Promote interoperability and coordination in HADR operations.

As the ASEAN Member States and the ASEAN Dialogue Partners are in most cases members of, or participants in, other ASEAN-related mechanisms such as ASEAN Plus Three, ASEAN

Defence Ministers Meeting Plus (ADMM-Plus), and East Asia Summit (EAS), activities carried out under the Work Plan on DR will take cognizance of disaster relief, preparedness and response related activities in these ASEAN-related mechanisms. They may also take account of other regional activities (for example, by the United Nations agencies or other regional organisations).

PRIORITY AREA 1: Promote Networking and Information Sharing to Enhance the Capacity of ARF Participants Particularly in the Areas of Risk Assessment, Monitoring and Early Warning

A. Scope:

Information sharing and networking among relevant national agencies as well as among countries have been recurring themes in ARF disaster relief cooperation. These are important elements to improving capacities in disaster response. Existing mechanisms/systems, such as the ASEAN Coordinating Centre for Humanitarian Assistance on disaster management (AHA Centre) and the ARF Disaster Relief Mapping Service (ARF-DRMS), should be further utilised to facilitate exchange of real-time information and networking. Closer collaboration between these mechanisms/systems would help to enhance the capacities of the ARF participants in HADR operations.

Risk assessment, early warning and monitoring (RAEWM) have been identified as priority areas in the first ARF Work Plan on Disaster Relief. However, there have been limited initiatives undertaken by the ARF on these issues. Given the importance of RAEWM in disaster preparedness, the ARF should further develop activities to increase the capacity of the participants in this area.

B. Potential Project Themes (include, but are not limited to):

1. Stocktaking national Risk Assessment, Early Warning and Monitoring (RAEWM) capacities and mechanisms of ARF participants;
2. Strengthening the capacity of ARF participants through capacity building in the area of risk assessment, monitoring and early warning;
3. Developing or strengthening existing mechanisms/systems (such as the AHA Centre and ARF-DRMS) and exploring networking among the systems to promote sharing of real-time information among ARF participants in times of disaster emergencies.

C. Lead Countries:

Cambodia and Philippines ; Non-ASEAN*

D. Proposed Projects (to be proposed as part of implementation of this Work Plan)

- 1.
- 2.
- 3.

E. References - AADMER/AADMER Work Programme/ARF:

1. AADMER WP RAEWM Output 1.8: Discussion to determine: What constraints, if any, should be placed on the sharing of national and regional risk assessment data and outputs?
2. AADMER WP RAEWM Output 4.4: Develop protocols and guidelines for the dissemination of regional risk assessment outputs.
3. AADMER WP Output 5: ASEAN Standby Arrangements developed and regularly updated.
4. Hanoi Plan of Action to Implement the ASEAN Regional Forum Vision Statement 1.2. Support and contribute to the implementation of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) through concrete and practical activities.
5. 6th ARF ISM on DR, Qingdao, 18-20 September 2006. Noted the recommendation for ARF countries to strengthen regional disaster preparedness through such measures as (i) holding joint training and exercises, and (ii) developing risk monitoring and early warning capabilities through sharing information, expertise and technologies, as well as contributing and utilization of the UNESCAP Tsunami Regional Trust Fund.
6. ARF Disaster Relief Mapping Service (ARF-DRMS). A practical tool termed the ARF Disaster Relief Mapping Service (ARF-DRMS) Initiative was developed by Australia and Singapore. The Mapping Service contains geospatial data which will be voluntarily contributed by ARF participants and readily available in the event of emergency. The Mapping Service had become operational on July 2010 and can be accessed through the Links section of the ARFNet.

* ACDM Co-Chairs on RAEWM under the AADMER Work Programme (2010-2015)

F. Past Relevant Activities:

1. ARF Disaster Relief Mapping Service (ARF-DRMS).
2. Development of systems in the area of RAEWM developed under the purview of the ASEAN Committee on Disaster Management (ACDM) for the AHA Centre. These include:
 - (i) ASEAN Disaster Monitoring and Response System (DMRS) with the Pacific Disaster Center supported by the United States;
 - (ii) ASEAN Standby Arrangements Database with the United States (to be connected to the DMRS);
 - (iii) Web EOC and the ICT capabilities of AHA Centre and the ASEAN Member States through Japan-ASEAN Integration Fund (JAIF);
 - (iv) ASEAN-Wide Disaster Risk Assessment Strategy supported by UNISDR and GFDRR;
 - (v) Knowledge Management (KM) system led by Singapore as ASEAN's lead country;
 - (vi) Database development and flood risk management with JICA;
 - (vii) ASEAN Earthquake Model being developed by academic/scientific institutions based in ASEAN region led by Singapore NTU and supported by Australia - Indonesia Facility for Disaster Reduction (AIFDR), etc.

PRIORITY AREA 2: Promote International Cooperation and Assistance in HADR Operations

A. Scope:

Facilitating better disaster relief coordination among ARF participants requires several elements such as, defining protocols on requesting, offering and accepting of assistance, and overcoming procedural bottlenecks to expedite transit procedures for assisting entities to bring in relief assets and capacities to the affected country. Efficient systems for issuing permits/ rights/licences to assist in disasters are needed. Customs clearance, immigration and quarantine procedures for bringing in relief supplies and personnel must be prepared. Privileges and immunities for assisting countries' personnel and their assets should be in place.

This priority area should look into gaps and bottlenecks in deployment and acceptance of

assistance in HADR operations without resorting to creation of new mechanisms. Rather, existing ARF mechanisms such as the ARF Strategic Guidance on HADR and the ARF Voluntary Model Arrangement on the Use of Foreign Military and Civil Defence Assets (MCDA) in Disaster Relief should be re-examined to meet the current needs. The ASEAN's operational mechanisms such as the Standard Operating Procedure for Regional Standby Arrangements and Coordination of Joint Disaster Relief and Emergency Operations (SASOP) as well as the IDRL "Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance" developed by the Red Cross and Red Crescent Movement should also be used as reference.

B. Potential Project Themes (*include, but are not limited to*):

1. Reviewing existing domestic policies, procedures and regulations to identify gaps and propose amendments as appropriate to facilitate the entry of international assistance and make it easier for the ARF participants and other assisting entities to provide assistance, if needed;
2. Developing, examining or implementing tools (such as protocols, model arrangements, training, etc.) to facilitate rapid deployment and enhance the efficiency of the entry of assistance in HADR operations;
3. Developing mechanisms for joint or complementary ways of working with the other humanitarian actors.

C. Lead Countries:

Malaysia and Singapore^{*}; Non-ASEAN

D. Proposed Projects (*to be proposed as part of implementation of this Work Plan*):

- 1.
- 2.
- 3.

^{*} ACDM Co-Chairs on Preparedness and Response under the AADMER Work Programme (2010-2015)

E. References - AADMER/AADMER Work Programme/ARF:

1. AADMER WP Output 2: SASOP is fully developed, institutionalised and disseminated.
2. AADMER WP Output 5: ASEAN Standby Arrangements developed and regularly updated.
3. AADMER WP Output 7: Procedures of entry of international assistance reviewed, and gaps identified.
4. AADMER WP Output 11: Response options to help define possible ASEAN's response options and triggers for response and establish clear decision-making processes.
5. AADMER WP Output 16: SOPs and/or mechanisms for coordination with other humanitarian actors developed.
6. Hanoi Plan of Action to Implement the ASEAN Regional Forum Vision Statement
1.4. Develop and refine tools such as regional protocols, a standby arrangement system, a model legal arrangement for foreign military assistance, common standard operating procedures, best practices, a voluntary registration scheme of civilian and military capabilities, and innovative initiatives that ultimately create effective regional disaster response framework complementary to internationally established guidelines.
7. 10th ARF ISM-DR, Bangkok 2-3 September 2010
Develop synergies, share lessons learnt, and ultimately institutionalise coordination between ARDEX and the ARF Disaster Relief Exercise (ARF DiREx).
8. 2nd ARF Seminar on Laws and Regulation on the Participation in International Disaster Relief by Armed Forces, Beijing, 30-31 August 2010
In the future, ARF participants can improve and complete the ARF Strategic Guidance for HADR in regards to civil-military cooperation with the aim of strengthening national and regional disaster response capabilities among ARF participants, as well as improving the speed and effectiveness of ARF multinational disaster relief responses.

F. Past Relevant Activities:

1. ASEAN Regional Disaster Emergency Response Simulation Exercise (ARDEX) implemented on an annual basis (2005-2008) and bi-annual basis (2013 onwards);
2. Standard Operating Procedure for Regional Standby Arrangements and Coordination of Joint Disaster Relief and Emergency Operations (SASOP);
3. ARF Voluntary Demonstration of Response (VDR) on 4-8 May 2009 in Central Luzon, the Philippines;
4. ARF Disaster Relief Exercise (ARF DiREx 2011) on 15-19 March 2011 in Manado, Indonesia;
5. ARF Strategic Guidance on Humanitarian Assistance and Disaster Relief;
6. ARF Voluntary Model Arrangement on the Use of Foreign Military and Civil Defense Assets (MCDA) in Disaster Relief;
7. IDRL “Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance” developed by the Red Cross and Red Crescent Movement.

PRIORITY AREA 3: Promote Interoperability and Coordination in HADR Operations

A. Scope:

Current disaster response efforts in the region are operating independently of each other. Cognizant of similar regional initiatives being implemented in several ASEAN Sectoral Bodies, such as the ACDM and the ADSOM, as well as other related mechanisms such as ADMM-Plus and EAS, this priority area should focus on promoting synergy between these initiatives with those of the ARF in view of minimising duplication of efforts.

The ARF should take advantage of the participation of the military and defence sector in the forum to promote civil-military cooperation and coordination. Concrete and practical

activities involving military assets and capabilities such as the ARF DiREx could be pursued in this priority area. Combining the ARF DiREx with ARDEX and/or relevant exercises under the ADMM-Plus could be considered. The outcomes of these exercises should also be able to address the gaps and bottlenecks in HADR operations. The exercises will also promote interoperability and coordination among the ARF participating countries as well as with related ASEAN mechanisms, such as the AHA Centre, in HADR operations.

B. Potential Project Themes (include, but are not limited to):

1. Identifying and understanding key organizational, institutional, procedural and legal elements needed for successful civil – military cooperation and coordination;
2. Promoting civil-military consultations and dialogues between ARF, the EAS, ADMM, ADMM-Plus, ACDM and ADSOM to set policy directions and determine how to achieve strengthened civil – military cooperation and coordination in HADR;
3. Conducting table top exercises (TTX), simulation exercises, assessments and other capacity building activities to increase preparedness and response capacity of the ARF participating countries as well as further enhance interoperability and coordination;
4. Synchronising outputs of ARDEX and ARF DiREx to ensure synergy and coordination between ASEAN and ARF mechanisms.

C. Lead Countries:

Malaysia and Singapore ; Non-ASEAN*

D. Proposed Projects (to be proposed as part of implementation of this Work Plan):

- 1.
- 2.
- 3.

* ACDM Co-Chairs on Preparedness and Response under the AADMER Work Programme (2010-2015)

E. References - AADMER/AADMER Work Programme/ARF:

1. AADMER WP P&R Output 3: Civil-military relations with respect to improving ASEAN disaster response enhanced.
2. AADMER WP P&R Output 7, Activity 7.6: Conduct exercises (such as table-top etc) or other assessments to review the efficiency of procedures of Member States (possibly as part of ARDEX).
3. 19th and 20th ASEAN Summits, and First Meeting of Conference of the Parties (COP) to AADMER: AADMER should remain as the main regional policy backbone and coordinating platform for disaster management in ASEAN, and for other sectors and mechanisms related to disaster management in ASEAN, including those under ASEAN+1, ASEAN+3, EAS, ARF, ADMM and ADMM Plus, to synchronise their policies using AADMER as the common platform to ensure the principles of ASEAN Centrality.
4. Hanoi Plan of Action to Implement the ASEAN Regional Forum Vision Statement
 - a. By 2020, ARF aims to harmonize regional cooperation in Disaster Relief/Management and strengthen the interoperability of civilian and military relief operations.
 - b. 1.3. Support civil-military coordination that enhances regional capacity to provide effective and timely responses to major natural disasters, including through the holding of exercises on a regular basis commensurate with the capacity of ARF Participants.
5. ARF Strategic Guidance on Humanitarian Assistance for Disaster Relief (HADR)
6. ARF Workshop on Civil Military Operation, Makati City, 12-13 September 2005
 - a. Standardize operating principles/procedures for use of both civilian and military disaster relief workers and materials within ARF participants i.e. visa, diplomatic clearance, landing permits;
 - b. ARF participants could establish a registration procedure for incoming NGOs to minimize confusion, duplication, etc.
7. 6th ARF ISM-DR, Qingdao, 18-20 September 2006
Recognized the urgency of starting the ARF regional cooperation on disaster relief, and agreed that the ARF participants could identify some priority areas for cooperation, such as civil-military coordination, and the modality of cooperation should complement rather

than duplicate the existing regional arrangements.

8. 2nd ARF Seminar on Laws and Regulation on the Participation in International Disaster Relief by Armed Forces, Beijing, 30-31 August 2010

Laws and regulations on HADR by armed forces should touch upon six aspects: legal norms of conduct on the subject, activity, procedure, legal liability, coordination issues, and the safety and security of the troops involved in HADR operations.

9. 3rd ARF Seminar on Laws and Regulation on the Participation in International Disaster Relief by Armed Forces, Beijing, 11-12 June 2012

10. 13th ARF in Kuala Lumpur on 28 July 2006

The ARF Statement on Disaster Relief and Emergency Response called for, among others, the development of ARF general guidelines on disaster management and emergency response for the use of both civilian and military personnel within the ARF participating countries.

F. Past Relevant Activities:

1. ARF Workshop on Civil Military Operation, Makati City, 12-13 September 2005;
2. 1st Workshop on ASEAN Defence Establishments and Civil Society Organisations (CSO) on Non-Traditional Security (Humanitarian Assistance and Disaster Relief), Bangkok, 8-9 June 2009;
3. 2nd Workshop on ASEAN Defence Establishments and Civil Society Organisations (CSO) on Non-Traditional Security (Disaster Management), Bangkok, 28-29 June 2010;
4. 3rd Workshop on ASEAN Defence Establishments and Civil Society Organisations (CSO) on Non-Traditional Security: Table-Top Exercise on Disaster Management and Humanitarian Assistance, Bangkok, 7-9 September 2011;
5. ARF Disaster Relief Exercise (ARF DiREx 2011) on 15-19 March 2011 in Manado, Indonesia;
6. 1st Workshop on the Use of ASEAN Military Assets and Capacities in Humanitarian Assistance and Disaster Relief, Jakarta, 6-8 October 2009;

7. 2nd Workshop on the Use of ASEAN Military Assets and Capacities in Humanitarian Assistance and Disaster Relief, Jakarta, 29 March 2011;

8. ARDEX 2005-2008 in Malaysia, Cambodia, Singapore and Thailand (ARDEX 2009 in the Philippines and ARDEX 2010 in Indonesia were cancelled in view of actual disasters in the host countries).

Counter Terrorism and Transnational Crime

Developments in ARF Cooperation on Counter-Terrorism and Transnational Crime

The ASEAN Regional Forum (ARF) Inter-Sessional Meeting on Counter-Terrorism and Transnational Crime (ISM on CTTC) was institutionalized with the adoption its Concept Paper in 2002 and followed by the inaugural meeting in 2003. The purposes of the ISM were to propose specific common policies to counter-terrorism and related transnational crimes for national and cooperative implementation by the ARF participants, and to assess the state of counter-terrorism action and cooperation against transnational crime in the region with a view to identifying a priority area for consideration and policy development prior to the next meeting.

The ARF ISM on CTTC is convened under different themes every year. The first three meetings discussed the issues namely border security, transport security, information/intelligent sharing and documents integrity and security. Since the fourth meeting, the focus of the discussion has shifted towards the “soft measures” in counter-terrorism by addressing the possible root causes of terrorism while at the same time reviewing the regional counter-terrorism strategies. The problems of cyber and information security were highlighted as the themes of the seventh and eighth ISMs on CTTC. The 10th ISM on CTTC focused on crime and terrorism in the maritime domain. The 11th ISM on CTTC focused on key trends in transnational crime in East Asia and the Pacific.

The ARF has issued several Statements on CTTC, including 1) Statement by the ARF Chairman on the Terrorist Acts of the 11th September 2001 (2001); 2) ARF Statement on Measures Against Terrorist Financing (2002); 3) ARF Chairman’s Statement on Tragic Terrorist Bombing Attack in Bali (2002); 4) ARF Statement on Cooperative Counter-Terrorist Actions on Border Security (2003); 5) ARF Statement on Cooperation Against Piracy and Other Threats to Maritime Security (2003); 6) ARF Statement on Strengthening Transport Security Against International Terrorism (2004); 7) ARF Statement on Information Sharing and Intelligence Exchange and Document Integrity and Security in Enhancing Cooperation to Combat Terrorism and Other Transnational Crimes (2005); 8) ARF Statement on Cooperation in Fighting Cyber Attack and Terrorist Misuse of Cyber Space (2006); 9) ARF Statement on

Promoting a People-Centred Approach to Counter-Terrorism (2006); 11) ARF Statement on Promotion of Inter-Civilizational Dialogue (2007); 12) ARF Statement Promoting Collaboration on the Prevention of Diversion of Precursors into Illicit Drug Manufacture (2008); and 13) ARF Statement on Cooperation in Ensuring Cyber Security (2012).

The 16th ARF in 2009 adopted the first ARF Work Plan on Counter-Terrorism and Transnational Crime and the 18th ARF in 2011 acknowledged the updated Work Plan on CTTC for 2011-2012.

Looking ahead, the foundation for ARF future cooperation in CTTC has been laid in the ARF Plan of Action (PoA) to Implement the ARF Vision Statement. The PoA stipulates that ARF should focus on concrete and practical cooperation. Henceforth, capacity building, mutual assistance and information sharing to address CTTC threats are identified as core actions for future CTTC cooperation.

**ASEAN Regional Forum
Work Plan for Counter-Terrorism
and Transnational Crime**
2011-2012

Table of Contents

Context.....	204
Objective.....	204
Framework.....	205
Leadership, Management ,and Funding Structure.....	206
Timeline.....	207
Priority Areas.....	208
Project Types.....	208
 Priority Area Implementation Annex.....	 210
 Priority Area #1: Illicit Drugs (2011-2012).....	 211
Priority Area #2:Chemical, Biological, Radiological and Nuclear (CBRN) (2011-2012).....	212
Priority Area #3: Cybersecurity and Cyber Terrorism (2011-2012).....	214
Priority Area #4: Counter Radicalization (2011-2012).....	216

Context

Counter-terrorism and Transnational Crime (CTTC) issues represent some of the most pressing and potentially useful areas for cooperation in the ARF region. In part due to the dialogue within ARF, there is a growing regional consensus on the nature of these threats. A large number of international and regional efforts exist towards combating these threats. ARF needs to make concrete progress on those areas where it can bring the most added value.

ARF has dealt with a wide range of issues including maritime security, illicit drugs, terrorism, cybersecurity and others. A more focused and coordinated strategy is needed. The report of the November 2007 Intersessional Support Group (ISG) meeting in Brunei Darussalam also noted several delegations calling for a comprehensive programme on CTTC issues. The Co-chairs Statement from the 5th ARF Inter-Sessional Meeting (ISM) on CTTC called for concrete and practical cooperation and in particular capacity-building. The 6th ARF ISM-CTTC reaffirmed the need for such cooperation, stating that future work of the ISM-CTTC be practical, action-oriented, and concrete. Many delegations expressed preliminary support for a CTTC Work Plan. It also affirmed the need that the work plan complements existing work such as the ASEAN Comprehensive Plan of Action on Counter Terrorism on the implementation of the ASEAN Convention on Counter Terrorism (ACCT).

The Hanoi Plan of Action to Implement the ARF Vision Statement which was adopted at the 17th ARF in July 2010 contains policy guidance for the ARF to develop and implement concrete and practical actions, including work plans under ARF's areas of cooperation. Under the ARF counter- terrorism and transnational crime framework, the Hanoi Plan of Action aims to develop a network for regional law enforcement and military agencies to build regional capacity, share information, and individually and collectively respond in a timely and effective manner to threats posed by terrorism and transnational crime in the region.

Objective

Create a CTTC Work Plan drawn from elements of the “ARF Cooperation Framework on Counter-Terrorism and Transnational Crime,” a comprehensive document prepared by the ARF Unit based on previous ARF goals, commitments, and efforts in the CTTC field. The Work Plan may also be drawn from a needs assessment of the conclusions from the various ISM-CTTC meetings.

To create a CTTC Work Plan which aims at developing regional capacity to respond to

terrorism and transnational crime threats, in line with the Hanoi Plan of Action to Implement the ARF Vision Statement.

To create a vetted, coordinated, and long-term strategy that:

- Helps ARF participants meet their CTTC-related national, regional, and international commitments;
- Focuses ARF's efforts towards concrete, capacity-building efforts, technical support and information exchange;
- Complements existing initiatives;
- Simplifies and consolidates ARF CTTC-related activities to reduce burden.

ASEAN, Shanghai Cooperation Organization (SCO), Collective Security Treaty Organisation (CSTO), Commonwealth of Independent States (CIS), Organization for Security and Cooperation in Europe (OSCE), Asia Pacific Economic Cooperation (APEC), Organization of American States (OAS), the Asia-Pacific Group on Money Laundering, and other international organizations have similar plans of work. The work plans of these organizations could be a useful model for ARF. The participation of some of these institutional representatives as well as briefs on ARF work in separate, but related areas in ARF CTTC-related meetings would ensure complementarity with the Work Plan's efforts.

Framework

The Work Plan identifies the *Priority Areas* for ARF's CTTC efforts. While there are other important aspects of international CTTC cooperation, ARF should focus its own work on the areas where it could bring the most added value given its geographic focus, participation, or past work. In other words, ARF does not need to “do everything,” in this vast field during the short term, but rather “do some things very well.” CTTC-related efforts in other fields can continue, but progress in initial Priority Areas can serve as models for other CTTC-related areas in the future. Each Priority Area is followed by a brief, but broad explanation of the *scope* of efforts that will be taken under ARF.

At the 15th ARF on July 24, 2008, Ministers endorsed the attached *framework* for the Work Plan. This includes:

- The designated Priority Areas;
- Their scope;

- Modalities for Priority Area leadership;
- The concept paper.

Reaching a general consensus at the ISM-CTTC annual meeting will be important to ensure that Ministers receive a Work Plan draft endorsed by an ARF meeting of CTTC experts. In this sense, the annual ISM-CTTC will serve as a coordinating body for ARF's CTTC work among CTTC experts. However, ultimate approval will rest with the ISG, SOM, and Ministerial process.

Leadership, Management, and Funding Structure

Lead Countries will be responsible for coordinating and presenting the input provided by ARF participants in their respective Priority Area, proposing their own projects, coordinating the work of their Priority Area, and seeking out funding and hosts for projects in the Priority Area. All ARF participants are encouraged to input appropriate projects to the respective Priority Areas. However, every Lead Country and *Co-Sponsor* should set a voluntary goal for introducing and contributing towards one project per year within the framework of the Priority Area during their two-year tenure. Modalities for filling these leadership positions are laid out below in the Timeline, which remains flexible as needed. (Note: Future Lead Countries and Co-Sponsors will be decided in this same manner as laid out in the Timeline.) Lead Countries will be composed of one ASEAN and one non-ASEAN country, supported by the ARF Unit of the ASEAN Secretariat. The positions for ASEAN Lead Countries of the ARF CTTC Work Plan will be filled by the relevant ASEAN Lead Shepherd under the ASEAN framework of cooperation in order to improve coordination between ARF and ASEAN efforts. Lead Countries will be responsible for briefly updating each ARF Inter-Sessional Support Group (ISG), Senior Officials Meeting (SOM), and annual ISM-CTTC meeting on recent and future progress in their Priority Area. The ARF SOM will monitor the effectiveness of the activities based on reports given by the Lead Countries.

Co-Sponsors have no limiting factors on either the number of co-sponsors or membership criteria. Co-Sponsors shall submit project proposals and advise Lead Countries on the development of their Priority Area. Lead Countries and Co-sponsors are highly encouraged to actively coordinate outside of ARF plenary meetings in order to manage their Priority Area's efforts.

ISM-CTTC Co-Chairs should also be consulted in the development of Priority Area projects. ISM-CTTC Co-Chairs should seek to create an ISM-CTTC agenda and meeting conducive to

substantive discussion of and overall guidance to the Work Plan. As the Work Plan progresses in its early stages, ARF should revisit the role of the ISM-CTTC Co-Chairs, perhaps to increase their coordination role and serve as co-chairs for a set period of time.

An essential element of this Work Plan includes expanding the mandate for the ARF Unit towards this effort. In order to effectively implement the Work Plan and specific projects, the ARF Unit will need to play an increasingly important role. The ARF Unit will need to:

- Provide administrative and technical support to ISM-CTTC and appropriate project meetings.
- Liaison regularly with Lead Countries to ensure adequate coordination and implementation of Work Plan requirements.
- Serve as a depository of incoming project proposals for countries.
- Updating ARF, perhaps quarterly as appropriate, on Work Plan contributions.
- As directed by Lead Countries and in consultation with the ARF Chair, coordinate the implementation of certain projects including financial coordination of ARF contributions, contract services, and, if and as appropriate, project monitoring.
- Coordinate, as appropriate, with training centers and other regional and international organizations.

Projects will be funded by sponsoring ARF members unless noted otherwise. If necessary, sponsoring nations may seek assistance from donor nations or outside organizations.

Timeline:

Late May 2011: the 9th ARF ISM on CTTC shall revise the Work Plan for 2011-2012. ISM-CTTC Co-chairs distribute ad referendum their recommendations for the revised Work Plan. If no objections to the Chair's recommendations are raised within 21 days, the Chair's recommendations will stand and be submitted to the 18th Ministerial Meeting.

June 2011: Senior Officials Meeting (SOM) participants endorse ad referendum the revised Work Plan for 2011-2012.

Interested ARF Participating Countries register their interest to become lead country for priority areas under the Work Plan.

[Note: The proposed priority areas and expansion of priority area will be reflected in the Work Plan when at least one ASEAN and one non-ASEAN Member State have agreed to co-lead the priority areas before the Work Plan is submitted for the Ministers' endorsement.]
July 2011: Ministers approve the revised ARF CTTC Work Plan for 2011-2012.

Priority Areas

CTTC Priority Areas should seek to strike a balance between Counter Terrorism (CT) and Transnational Crime (TC) threats. ARF participants may want to begin such cooperation in only a few Priority Areas. ARF can build success off of these and then venture into new CTTC-related Priority Areas in future inter-sessional years. Other work in the CTTC field may be done by ARF outside of these Priority Areas. However, comprehensive cooperation in a new area should be reflected in an updated Work Plan. Again, a Priority Area is an area of increased focus toward some of ARF's CTTC-related efforts.

Under the ARF Work Plan on CTTC 2011-2012, the ARF will continue to focus on the three priority areas underlined in the ARF Work Plan on CTTC 2009-2010, namely: (i) illicit drugs; (ii) bioterrorism and biosecurity; as well as (iii) cybersecurity and cyberterrorism. In addition, the ARF Work Plan on CTTC introduces three new priority areas, namely: (i) counter radicalization; (ii) terrorist financing; and (iii) trafficking in persons. In addition, the scope of the bioterrorism and biosecurity priority area will be expanded to cover chemical, biological, radioactive and nuclear (CBRN) aspect.

Project Types

These capacity-building projects can take a variety of forms to fit the particular assistance needs and nature of the Priority Area. As appropriate, projects can be single events or a series of events with increasing complexity. Some examples include, but are not limited to:

- *Voluntary Training Courses* from regional training centres (SEARCCT, JCLEC, ILEA, etc.) to provide capacity building in the Priority Area. The proposers of the project, Co-Sponsors, or Lead Countries should consider contributing funds to the training courses. While all ARF participants would be invited to send technical experts to such a course (self-funded), in coordination with the centre, sponsors of the training course may plan to fund some participants from interested countries.
- *Capacity-Building Workshops* that share information on experiences and bring in government, private sector, and other relevant experts to brief, train, and/or develop best practices.
- *ARF Pilot Projects* that utilize funding given to the ARF Fund for a submitted technical assistance or capacity-building project(s) in one or more ARF countries. The ARF Pilot Project should be within the scope of ARF's Priority Areas and could be implemented by

qualified government agencies in cooperation with private sector agencies.

- *Multilateral Tabletop or Field Exercises* that would test the implementation of international agreements, regional arrangements, or modes of communication among ARF and sub-regional participants. Future exercises should take into account not only the capacity-building and technical support needs, but also modes of communication and information-sharing among exercise participants.

Each year at the annual ISM-CTTC, the Work Plan will be reviewed in depth to ensure continued relevance, add additional follow-on activities, and revised if necessary. Major changes to the ARF CTTC Work Plan, such as the addition or subtraction of Priority Areas, should be approved by Ministers each year. Thus, the ARF CTTC Work Plan will be considered a living document. It has been proposed at the 9th ARF ISM-CTTC that priority areas should be dropped if no ASEAN and non-ASEAN ARF Participants comes forward to lead said priority area.

The extensive involvement of all ARF participants is encouraged and the Work Plan will not impose mandatory obligations upon any participants without its consent.

This concept paper and the structures it establishes may be revised in accordance with ARF procedures, in particular during the early stages of the Work Plan's implementation.

Priority Area Implementation Annex

Priority Area #1 Illicit Drugs(2011-2012)

Scope: ARF should target the production and trafficking of illicit drugs and their precursors, enhance law enforcement capacity in affected countries, address border deficiencies, support the development of national legislations, implement best practice measures, and increase coordination among law enforcement and forensic entities in ARF countries. In particular, ARF should seek to apply national precursor controls with uniform effectiveness throughout the world, as a means of avoiding the displacement of diversion points across national borders.

Lead Countries: Thailand, 1 non-ASEAN

Co-Sponsors: no limit or designation

Proposed Projects:

1. Name: *Safe Handling and Disposal of Seized Chemicals*: Proposed by Thailand, non-ASEAN country.
2. Name: *Future project on narcotics control issues*: Proposed by the United States and ASEAN country TBD.

Past ARF/ASEAN Work:

- ARF Seminar on Narcotics Control, September 17-19, 2007 in China.
- ARF Statement Promoting Collaboration on the Prevention of the Diversion of Precursors into Illicit Drug Manufacture.

Priority Area #2 : Chemical, Biological, Radiological and Nuclear (CBRN) (2011-2012)

Scope: The enactment and implementation of necessary national measures. This includes increase protection of dangerous biological materials, technology, and expertise. Increased protection of dangerous biological materials, technology, and expertise will build the capacities of ARF participants to prevent, or respond to, acts of bioterrorism. The dual-use nature of biological science, for both peaceful and non-peaceful purposes must be addressed to both prevent bioterrorism and continue biological science development for peaceful purposes. This will also build safe, secure, and sustainable capacity to combat infectious diseases, thereby meshing international security and public health priorities. Efforts should be in support of the goals of the Biological Weapons Convention, the Sixth Review Conference, and related commitments, and be consistent with international law. Following the 9th ARF ISM CTTC, the priority area will be expanded to also cover the chemical, biological, radioactive and nuclear (CBRN) aspect.

Lead Countries: Philippines, United States

Co-Sponsors: Philippines, Australia and United States

Proposed Projects:

1. *2011 Workshop on Disease Detection and Surveillance: Enhancing Public and Veterinary Health Networks to Combat Infectious Disease and Bioterrorism September 2011*

Description: *This workshop will focus on strategies to strengthen and integrate infectious disease detection and surveillance to ensure early warning for effective control of outbreaks, whether natural, accidental or intentional in origin. The workshop will build upon the Second ASEAN Regional Forum (ARF) Workshop held in 2010, which focused specifically on best practices of laboratory biorisk management to prevent accidental release and intentional misuse of pathogens.*

2. *Best Practices for Implementation of a Biorisk Management System* proposed by United States, Australia and Philippines

Description: *During the ARF Bio-Risk Management Workshop in Manila, the Philippines on 28-30 September 2010, ARF participating countries discussed the development of*

an ARF best-practices document on biorisk management. It was announced during the Workshop that the lead countries would develop and submit the said document for endorsement by the 18th ARF in July 2011.

Implemented Projects:

1. ARF Biological Threat Reduction Workshop by Philippines and United States, June 2009 in Manila, Philippines
2. ARF Workshop on Bio-risk Management by Philippines, United States and Australia, September 2010 in Manila, Philippines

Past ARF/ASEAN Work:

- ARF Statement on Cooperative Counter-Terrorist Action on Border Security, Phnom Penh, June 17, 2003
- ARF Workshop on Implementation of UN Security Council Resolution 1540, San Francisco, February 14, 2007
- ARF Statement on Implementation of UN Security Council Resolution 1540, Manila, August 2, 2007
- ASEAN Working Group on Bio-Terrorism Prevention

Priority Area #3: Cybersecurity and Cyber Terrorism (2011-2012)

Scope: Cyber security and prevention of cyber terrorism with a view to enhance the response capacity and technological infrastructure of ARF participants to deter and prevent the misuse of the internet by terrorists or terrorist groups, including recruitment, campaign, and financial transfers.

Lead Countries: Malaysia, Russia, Australia

Co-Sponsors: Vietnam, United States

Proposed Projects:

1. Name: 2012 Workshop on Cyber Security Incident Response (Proposed by Australia and Singapore)

Description: *The 2012 Cyber Security Incident Response Exercise workshop is aimed at exploring and enhancing ASEAN Regional Forum (ARF) participants' capacity to cooperate in the event of a cyber security incident, with a focus on the benefits of consistent offences and information sharing mechanisms with law enforcement agencies and computer emergency response teams (CERTs). The convening of this workshop will demonstrate progress towards fulfilling the ARF Work Plan for Counter Terrorism and Transnational Crime, specifically under the priority area of cyber security and cyber terrorism. In particular, it provides a capacity building project in the form of a multilateral discussion exercise that would test the implementation of international agreements, regional arrangements, and modes of communication among ARF and sub-regional participants.*

2. Name: *State and Terrorist Use of Proxies in Cyberspace Capacity- building Workshop (Proposed by United States and TBD)*

Description: "Proxy actors" are third-party actors, often criminal, acting on behalf of terrorist or states to mask illicit and coercive activities. The nature of cyberspace makes this practice of increasing concern. The proposed initiative will focus on how states can collaborate to identify and prosecute disruptive proxy actors, with a particular emphasis on "botnets" that can be used to disrupt large swathes of networked machines. The workshop will focus on the issue at the policy-level, examining both the means available to such actors, and ways international action might discourage their use.

Implemented Projects:

1. Name: ARF Cybercrime Capacity-Building Conference by United States and Viet Nam, April 2010 in Brunei

Note: The project on Training Workshop on Enhancing Cooperation in Fighting Cyber Financial-Economic Scams, previously proposed by Viet Nam, has been combined and implemented as the Conference.

Past ARF/ASEAN Work:

- Proposal (in draft form) for ARF Virtual Meeting of Experts on Cybersecurity and Cyberterrorism
- The 1st - 4th ARF Seminars on Cyber Terrorism, 2004-2007
- ARF Statement on Cooperation in Fighting Cyber Attack and Terrorist Misuse of Cyber Space, Kuala Lumpur, 28 July 2006

Priority Area #4: Counter Radicalization (2011-2012)

Scope: The priority area “Counter radicalization” is aimed at implementing comprehensive approach tackling the spread of extremist ideologies, taking into account the frequently changing modus operandi of extremist groups. Among others, under this priority area, ARF participating countries may explore cooperative activities/projects in identifying the spread of radical ideologies through various channels such as the internet, religious centres and institutes of higher learning.

Lead Countries: Malaysia, Japan

Co-Sponsors: tbc

Proposed Projects:

Name: tbc

Name: tbc

Past ARF/ASEAN Work:

Symposium on the Dynamics of Youth and Terrorism, Kuala Lumpur, 8-11 May 2011

Maritime Security

Developments in ARF Cooperation on Maritime Security

The ASEAN Regional Forum (ARF) cooperation on maritime security began in 2003 with the ARF Chairman's Statement on Cooperation Against Piracy and Other Threats to Maritime Security. Through this Statement the ARF reinforced their intention and commitment to establish a legal framework for regional cooperation to combat piracy and armed robberies against ships.

The 15th ARF in 2008 established the ARF Inter-Sessional Meeting on Maritime Security (ISM on MS) as an annual forum for more focused dialogues and concrete cooperation and to assess basic and common regional needs, capacity building and developing practical forms of cooperation among concerned agencies of all ARF participants dealing with maritime security issues.

The 1st ARF ISM on MS, held in Surabaya on 5-6 March 2009, agreed to consider the possibility to develop a work plan of the ARF ISM on MS. The 2nd ARF ISM on MS, held in Auckland on 29-30 March 2010, discussed cross-sectoral issues under the purview of both the government and private sectors. The 3rd ARF ISM on MS, held in Tokyo on 14-15 February 2011, discussed current situation of information sharing on maritime security in the region, future challenges in maritime security including the potential threat of climate change. The 4th ARF ISM on MS, held in San Francisco on 14-15 June 2012, discussed regional cooperation in civil maritime law enforcement, including interagency and civil-military cooperation in maritime security and existing cooperation among the coast guards in the Asia Pacific region. The 5th ARF ISM on MS, held in Seoul on 18-19 April 2013, discussed cooperation in civil maritime law enforcement, International Ship and Port Security (ISPS) Code, and protection of marine environment.

The ARF has issued ARF Statement on Cooperation Against Piracy and Other Threats to Maritime Security in 2003 and ARF Statement on Strengthening Transport Security Against International Terrorism in 2004. These statements contain agreements to cooperate on various

areas relative to maritime security.

The 18th ARF in 2011 adopted the ARF Work Plan on Maritime Security (2011-2013), which has identified three Priority Areas, namely: 1) Information/intelligence exchange and sharing of best practices, including on naval operations; 2) Confidence Building Measures based on international and regional legal frameworks, arrangements and cooperation; and 3) Capacity Building of maritime law enforcement agencies in the region.

ARF Work Plan on Maritime Security

(2011)

Context: Maritime security related issues represent some of the most pressing and potentially useful areas for cooperation in the ARF region. Due to the importance of shipping and seaborne trade in the ARF region some forms of cooperation have developed among relevant countries in the region, both bilaterally and through multilateral fora, with a view to combating and preventing maritime security-related threats. However, cooperation in some areas still falls short of that which is necessary.

The ARF Inter-Sessional Meeting on Maritime Security was established by the 15th ARF Ministerial Meeting in Singapore in July 2008. Based on the discussion in the first ARF ISM on Maritime Security (ISM-MS) in Surabaya in March 2009 which agreed to utilize the outcomes of the previous ARF discussions on maritime security, the second ARF ISM-MS in Auckland in March 2010 agreed to seek a mandate from the 17th ARF Ministerial meeting to develop an ARF Work Plan. As a result of the 17th ARF Ministerial Meeting in Hanoi in July 2010, the Ministers issued the following directive in the Chairman’s Statement;

The Ministers stressed the need to build common perceptions on threats and challenges in maritime security. The Ministers appreciated the work of the Inter-Sessional Meeting on Maritime Security (ISM-MS) in promoting awareness and concrete cooperation on maritime security. In this regard, the Ministers tasked the ISM-MS to develop an ARF Work Plan on Maritime Security for consideration during the next inter-sessional year.

Framework: Consistent with the long term goals of the ARF Vision Statement, the Work Plan should identify Priority Areas for ARF’s maritime security efforts and distinguish the ARF’s role in the context of other regional efforts. While there are other important aspects of international maritime security cooperation, ARF should focus its own work in the areas where it could bring the most added value given its geographic focus, participation, and past work, as well as the specific interests of its members.

Objectives: The key objective of developing a Maritime Security Work Plan is to create a

long-term coordinated and comprehensive plan that would:

- Prioritize the issues on which the ARF ISM-MS should concentrate its future effort;
- Create a compilation of shared experiences and lessons learned;
- Strengthen existing networks to share and exchange information/intelligence;
- Assist in the coordination of regional and/or sub-regional capacity building exercises and training related to maritime security;
- Maintain and build on existing ARF government efforts in capacity-building endeavors, technical support and information exchange;
- Complement and coordinate with existing regional and international agencies, arrangements and initiatives;
- Advance ARF Maritime Security efforts in a direction that contributes to the goals of the ARF Vision Statement endorsed by Ministers in July 2009.

A key issue is the extent to which the ARF ISM-MS should balance its work between conventional and non-traditional security issues. Non-traditional security issues are recognized as useful early building blocks which are conducive to the cultivation of mutual trust and consensus in the region. Consistent with the PD Work Plan which is under development and on the basis of consensus, potential measures of preventive diplomacy and confidence-building in the maritime domain shall have a place in the Work Plan.

Lead Countries: Lead Countries for each priority area (one ASEAN and one non-ASEAN) are responsible for coordinating and presenting input provided by ARF participants to their respective Priority Area, proposing projects, coordinating the work in their Priority Area, and seeking out funding and hosts for projects in need of assistance. Lead Countries would also be responsible for:

- Liaising with the ARF Unit on the coordination and implementation of Work Plan requirements.
- Update the ARF Unit on Work Plan contributions every 6 months.
- Work with ARF Unit to ensure maximum synergies among projects, as appropriate.

Relationship with Other Regional/International Efforts: There is an obvious need for the Work Plan to be complementary to and coordinated appropriately with relevant regional and global efforts on maritime security. These efforts include various regional and international organizations (see Annex). The following actions will be taken to ensure activities are complimentary to and in coordination with other regional and international efforts.

- The participation, as appropriate, of regional/international organizations acceptable to all participants in annual ISM-MS meetings. The ARF Unit and ISM-MS Co-chairs should also seek participation in relevant meetings of other forums.
- Consistent sharing of organization reports, strategies, and Work Plans, etc. by ARF with other organizations.
- Lead Countries, ARF Unit, and ISM-MS Co-Chairs should regularly consult with representatives of other fora both within and outside of their own governments.
- Publish the ARF MS Work Plan on ARF and ASEAN public websites.

Implementation Timeline:

April 2011: The Work Plan will be tabled at the ISG

ARF participants submit to the Co-Chairs their interests in serving as Lead Countries of the designated Priority Areas. Lead Countries will be announced in due course.

May 2011: The Work Plan will be tabled at the SOM

July 2011: The Work Plan will be adopted by the Ministerial Meeting

Priority Areas: The concept of maritime security is a vast and diverse one which spans conventional maritime security issues such as military threats and state sovereignty concerns to more non-traditional maritime security issues such as piracy, terrorism, natural disasters, climate change, smuggling of drugs, people and goods, search and rescue. Although maritime security has such diverse meaning, Priority Areas for this Work Plan should be workable and realistic and reviewed every 2 years for relevance. The followings are the Priority Areas for 2011-2013:

1. Information/intelligence exchange and sharing of best practices, including on naval operations.
2. Confidence Building Measures based on international and regional legal frameworks, arrangements and cooperation.
3. Capacity Building of maritime law enforcement agencies in the region.

Project Types: These projects can take a variety of forms to fit the particular assistance needs and nature of the Priority Area. As appropriate, projects can be single events or a series of activities with increasing complexity. Some examples include, but are not limited to:

1. ARF-wide or sub-regional training focused on improving law enforcement capacity,

including inter-agency coordination;

2. Capacity-building workshops that share information on experiences on maritime security, bringing in government, private sector and other relevant experts, as agreed, to train and/or develop best practices;
3. Multilateral tabletop and/or field exercises that would test the modes of communication (including information-sharing) among ARF and sub-regional participants;
4. Studies on selected aspects of maritime security, in particular focussed on improved risk assessment and risk reduction.

Annex

International Maritime Organization (IMO).

United Nations Environment Programme (UNEP) (particularly its regional seas programmes).

Contact Group on Piracy Off the Coast of Somalia (CGPCS) Shipping associations

Regional fisheries management organizations (RFMOs)

Regional Cooperation Agreement on Combating Piracy and Armed Robbery against Ships in Asia (ReCAAP) Information Sharing Centre

The Singapore C2 Information Fusion Centre ASEAN Maritime Forum

ADMM Plus

Non-Proliferation and Disarmament

Developments in ARF Cooperation on Non-Proliferation and Disarmament

The issue of non-proliferation has been in the ARF agenda since the Forum was first convened in 1994. Non-proliferation was discussed against the backdrop of negotiations between the United States and the Democratic People's Republic of Korea (DPRK) at the time. In subsequent years, non-proliferation of weapons of mass destruction (WMDs) has always been discussed at the Ministerial Meeting of the ARF.

The ARF continued its deliberation on non-proliferation at ad-hoc activities and, at a later stage, also through the ARF Inter-Sessional Meeting at Non-Proliferation and Disarmament (ISM on NPD). The ARF ISM on NPD was established pursuant to the decision of the 15th ARF in 2008.

The 1st ARF ISM on NPD, held in Beijing on 1-3 July 2009, concurred that the following principles should be adhered to in future ISMs on NPD: 1) adherence to the goal of enhancing universal security; 2) giving balanced consideration to disarmament, non-proliferation and the peaceful uses of science and technology; 3) showing mutual respect and tolerance while striving to build consensus; and 4) pursuing practical cooperation to strengthen regional non-proliferation and disarmament capabilities. It also accepted the suggestion that the ISM on NPD be convened based on the three "pillars" of the NPT, namely non-proliferation, disarmament, and the peaceful uses of nuclear, chemical and biological activities.

The 2nd ARF ISM on NPD, held Singapore on 5-7 July 2010, discussed the exploration and promotion of peaceful uses of nuclear energy and technology, the development of national capabilities and confidence building measures, and international cooperation and assistance programmes. The 3rd ARF ISM on NPD, held in Las Vegas on 23-25 February 2011, discussed the current status of disarmament efforts, milestones in the disarmament of WMDs, and the promotion of international cooperation in non-proliferation and Disarmament. The 4th ARF ISM on NPD, held in Sydney on 8-9 March 2012, discussed the strengthening of global and regional nuclear non-proliferation measures, future prospects for the Biological Weapons

Convention (BWC) and the Chemical Weapons Convention (CWC), the role of the ARF in reducing the WMD threat through the implementation of UN Security Council Resolution 1540, and strengthening export controls and eliminating illicit trade in WMD sensitive goods.

The ARF has issued statements on Non-Proliferation and Disarmament namely 1) ARF Statement on Non-Proliferation (2004); and 2) ARF Statement on Supporting National Implementation of United Nations Security Council Resolution 1540 (2007).

The 19th ARF in 2012 adopted the ARF Work Plan on Non-Proliferation and Disarmament, which has identified three priority areas, namely: 1) non-proliferation; 2) peaceful use of nuclear technology; and 3) disarmament.

ARF Work Plan on Non-Proliferation and Disarmament

(2012)

Context:

Participants in the ASEAN Regional Forum (ARF) have indicated the desire to advance the focus of the organization beyond confidence building measures towards more concrete cooperation in accordance with their respective national laws and on a voluntary basis, particularly in non-traditional and transnational security areas. Toward this goal, at the 15th meeting of the ARF, Ministers agreed to the establishment of an Inter-Sessional Meeting on Nonproliferation and Disarmament (ISM-NPD) to address the threats posed by the spread of WMD. Through this step, Ministers sought to ensure that the new ISM would not only include the sharing of views on addressing threats posed by WMD, but would also provide a venue for working-level officials to discuss capacity building activities aimed at facilitating Participants' implementation of their Nonproliferation and Disarmament obligations as States Parties to the existing multilateral WMD instruments (NPT, BTWC, and CWC), including the 2004 ARF Jakarta Statement and UNSCR 1540. This workplan supports the Hanoi Plan of Action to Implement the ASEAN Regional Forum Vision Statement, as adopted in July 2010.

Goals of the ISM, as endorsed by Ministers, include the following:

- Promoting full implementation of participants' existing WMD nonproliferation and disarmament commitments and obligations.
- Preventing the illicit trafficking, in all aspects, of WMD, their means of delivery, and related materials in accordance with the national laws of ARF Participants.
- Implementing effective and appropriate national export control and border controls.
- Promoting implementation of UNSCR 1540.
- Promoting the peaceful uses of nuclear energy and access to nuclear technology, equipment, and fuel for peaceful uses under IAEA safeguards.
- Promoting implementation of the Bangkok Treaty, and encouraging dialogue between ASEAN and the Nuclear Weapons States on its Protocol.
- Preventing any costly and destabilizing arms race in the ARF region.

Objective: Creation of an NPD Workplan that addresses the goals identified above and that promotes balance to the three central pillars of the global nonproliferation regime:

Preventing proliferation of WMD, promoting the peaceful use of nuclear technology and access to nuclear technology for peaceful purposes, and advancing global disarmament efforts.

Priority Areas: Consistent with this objective the NPD should allow for focused discussion of each of the following priority areas:

1. **Nonproliferation**
2. **Peaceful Use of Nuclear Technology**
3. **Disarmament**

Framework: ARF participants will propose projects and proposals that fit within the endorsed Priority Areas, and will serve as Lead Countries for those projects. These projects can cover any of the classes of WMD, including nuclear, biological and chemical weapons. The NPD Work Plan will continue to be updated as projects progress and new projects are included in the Work Plan. All ARF participants are encouraged to submit project proposals to the ISM-NPD co-chairs.

During the annual ISM-NPD, the Work Plan will be reviewed to ensure continued relevance, additional activities will be added, and the Work Plan will be revised, if necessary. Major changes to the Work Plan, such as the addition or subtraction of Priority Areas, should be approved by the Ministers. Projects will be funded by sponsoring ARF participants. As necessary, sponsoring nations may seek assistance from donors as projects progress.

As necessary, the ISM co-chairs may develop a roster of focal points of ARF Participants on WMD issues to facilitate networking and information sharing.

Implementation Timeline:

- June 2009: China, Singapore, and the United States hold first ISM in Beijing, focusing on nonproliferation.
- July 2010: China, Singapore, and the United States hold second ISM in Singapore,

focusing on promoting the peaceful use of nuclear technology.

- February 2011: China, Singapore, and the United States hold third ISM in Las Vegas, focusing on disarmament.
- March 2012: Australia, Japan and Philippines hold fourth ISM in Sydney, Australia.
- First quarter 2012: ARF Senior Officials discuss the NPD Work Plan and endorse for Ministerial consideration.
- July 2012: 19th ARF approves NPD Work Plan. Projects can begin.

Project Types: These projects can take a variety of forms to fit the particular assistance needs and nature of the Priority Areas. As appropriate, projects can be single events or a series of activities with increasing complexity. Some examples include, but are not limited to:

- ARF-wide or sub-regional workshops, seminars, round-tables on the three priority areas.
- Capacity-building workshops that share information on experiences and bring in government, private sector, community and other relevant experts to brief, train, and/or develop best practices.
- ARF Pilot Projects that utilize funding given to the ARF Fund for a submitted technical assistance or capacity-building project(s) in one or more ARF countries. The ARF Pilot Project should be within the scope of the NPD Work Plan's Priority Areas.
- Multilateral tabletop or field exercises that build capacity for international cooperation at both the regional ARF and sub-regional levels.

Priority Areas and Project Proposals

Priority Area #A: NONPROLIFERATION

Goals from the Hanoi Plan of Action:

- Support the implementation by ARF participants of international treaties to which they are parties.
- Encourage the implementation of UNSCR 1540 and the relevant recommendations of the UNSCR 1540 Committee.
- Exchange experience and promote the development of relevant best practices and with a view to building common approaches in strategic export controls where appropriate.
- Encourage ARF participants which have not yet done so to accede to or ratify the Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on their destruction.
- Training program for officials from ARF participants on nonproliferation and

disarmament issues.

Past ARF/ASEAN Work:

- ASEAN Regional Forum Statement on Nonproliferation, July 2004
- Workshop on Export Licensing, November 2005 (Singapore and Canada)
- CBM on Nonproliferation of WMD, March 2006 (Singapore, China, and United States)
- Workshop on Implementation of UNSCR 1540, February 2007 (United States, Canada, and Singapore)
- ASEAN Regional Forum Statement Supporting National Implementation of United Nations Security Council Resolution 1540, June 2007
- Workshop on nuclear forensics (United States and Thailand, December 2011).

Project proposals under consideration:

- Additional workshops on UNSCR 1540 (proposed by United States, endorsed by Ministers at 18th ARF)

Topics for future work:

- Exchange of views, sharing of experience and development in export controls.
- Exchange of views on the impact of non-proliferation cooperation to regional and international security and development.
- Additional workshops on nuclear forensics (proposed by United States).

Priority Area B: PEACEFUL USE OF NUCLEAR TECHNOLOGY

Goals from the Hanoi Plan of Action:

- Contribute to the development of peaceful uses of nuclear energy through sharing national experiences and assisting in capacity building in cooperation with the IAEA, including on the relevant nationally applicable IAEA standards on nuclear non proliferation, safeguards, safety and security in accordance with their respective international legal commitments.
- Training program for officials from ARF participants on nonproliferation and disarmament issues.

Past ARF/ASEAN Work:

- ASEAN Regional Forum Statement on Nonproliferation, July 2004
- Two IAEA Regional Seminars on the Agency's Safeguards System for countries in Southeast and South Asia, March 2011 (Singapore)

Project proposals under consideration:

- Pending submission of proposals from ARF Participants

Topics for future work:

- Exchange of views and sharing of experience in nationally applicable IAEA standards on nuclear safety, nuclear security, and nuclear nonproliferation safeguards.
- Exchange of views on preventing nuclear terrorism including, inter alia, through cooperation within the framework of GICNT.
- Exchange of views on further necessary steps to improve nuclear safety worldwide.

Priority Area C: DISARMAMENT

Goals from the Hanoi Plan of Action:

- Support the goal of a world free of nuclear weapons and identify how ARF could contribute to its achievement.
- Support the implementation by ARF participants of international treaties to which they are parties.
- With a view to contributing to the process of global nuclear disarmament, ARF participants might consider the merit of the CTBT.
- Encourage ARF participants which have not yet done so to accede to or ratify the Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on their destruction.
- Training program for officials from ARF participants on nonproliferation and disarmament issues.

Other goals:

- Encourage ARF Participants which have not yet done so to accede to or ratify the

Biological and Toxin Weapons Convention.

Past ARF/ASEAN Work:

- ASEAN Regional Forum Statement on Nonproliferation, July 2004
- CBM on Missile Defense, October 2005 (United States, Thailand)
- CBM on Nonproliferation of WMD, March 2006 (Singapore, China, and United States).

Project proposals under consideration:

- Pending submission of proposals from ARF Participants

Topics for future work:

- Training program for officials from ARF countries on nonproliferation and disarmament issues.
- Encourage ARF participants to promote education which contributes to raising public awareness of WMD disarmament and non-proliferation.
- Exchange of views on how ARF could contribute to the achievement of the goal of a world free of nuclear weapons.

Peacekeeping Operations

Developments in ARF Cooperation on Peacekeeping Operations

The work of the ASEAN Regional Forum (ARF) on peacekeeping operations dates back to the establishment of the ARF Inter-Sessional Meeting on Peacekeeping Operations (ISM on PKO) in 1996. The aim of the ISM was to initiate cooperation through seminars and workshops on peacekeeping issues as well as exchange of information and experience relating to UN Peacekeeping Operations. The ARF ISM on PKO, held in Kuala Lumpur on 1-3 April 1996, underlined the importance of adequate and proper training as an essential prerequisite for efficient and effective UN peace support operations.

The ARF's work on peacekeeping operations was then placed under the purview of the ARF Peacekeeping Experts' Meeting which was convened in 2007.

The 1st ARF Peacekeeping Experts' Meeting, held in Port Dickson, Malaysia on 7-9 March 2007, highlighted the challenges experienced by peacekeeping missions and the need to establish trust between the conflicting parties, to address disagreements on the peace agreement after it has been adopted, difficulties in sustaining a ceasefire, and issues on media management. The 2nd ARF Peacekeeping Experts' Meeting was held in Singapore on 4-6 March 2008, with the theme of "Planning for Peace Operations – Achieving Mission Success in Diverse Environments", and with the objective to provide an overview of the diverse environment for peace operations and enhance knowledge of planning for peace operations. The 3rd ARF Peacekeeping Experts' Meeting was held in Siem Reap on 24-26 June 2009, with the theme of "Enhancing the Regional Capacity to Participate in UN Peacekeeping Operations", and with the aim of enhancing the regional troop contribution for peacekeeping operations, sharing of best practices for peace building, and networking among peacekeeping training centers in the Asia-Pacific region so that UN peacekeeping remains a viable and indeed a stronger instrument for the future. The 4th ARF Peacekeeping Experts' Meeting was held in Bangkok on 11-12 March 2010, with the theme of "Towards Integrated, Multi-dimensional and Comprehensive Peace Operations", and with a focus on discussions of three related and mutually reinforcing issues of capacity building, civil-military cooperation and regional cooperation in peacekeeping, post-conflict



peace building and humanitarian assistance and disaster relief (HADR) operations. The 5th ARF Peacekeeping Experts' Meeting was held in Ulaanbaatar on 27-28 August 2012, with the theme of "Cooperation of Regional Peacekeeping Centers and Challenges in the Peacekeepers Training". The Meeting discussed the current challenges facing peacekeeping training in the realm of modern peacekeeping operations, emphasised the importance of promoting networking among peacekeeping training centres and discussed ways to improve the networking.

• STATEMENTS •



Counter Terrorism and Transnational Crime

Statement by the Chairman of the ASEAN Regional Forum (ARF) on the Terrorist Acts of the 11th September 2001

Bandar Seri Begawan, 4 October 2001

His Royal Highness Prince Mohamed Bolkiah, the Chairman of the ASEAN Regional Forum on behalf of participating states and organisation issues the following statement:

The States and organisation participating in the ASEAN Regional Forum condemn the acts of terrorism perpetrated in the United States on September 11, 2001, that resulted in the death of thousands of innocent peoples.

The threat of international terrorism to international peace and security requires concerted action to protect and defend all peoples and the peace and security of the world. It is also important that the underlying causes of this phenomenon be addressed to resolve the scourge of international terrorism.

Our governments undertake to use all necessary and available means to pursue, capture and punish those responsible for these attacks and to prevent additional attacks.

The ASEAN Regional Forum will address ways and means to cooperate further in the fight against terrorism in its future deliberations.

ARF Statement on Measures Against Terrorist Financing

(2002)

H.R.H. Prince Mohamed Bolkiah, the Chairman of the ASEAN Regional Forum, on behalf of the participating states and organization, issues the following statement:

In the interest of global peace and security, the participants in the ASEAN Regional Forum (ARF) are determined to stop the financing of terrorism. In October 2001 the Chairman issued a statement on behalf of the participants that stated that we will address ways and means to cooperate together in the fight against terrorism. The fight against terrorist financing is a shared responsibility of the international community. We have therefore today endorsed a statement of our intention to work individually and in concert to prevent terrorists and their associates from accessing or using our financial systems and to stop abuse of informal banking networks.

These recommendations arise from the work done by senior officials of ARF participating states, notably the ARF Workshop on Financial Measures Against Terrorism hosted by Malaysia and the United States in Honolulu from March 24-26, 2002.

We agree that ARF participants will implement quickly and decisively measures that the United Nations has identified as mandatory to combating terrorist financing. We will block terrorists' access to our financial system. We will work with other relevant international bodies, including the International Financial Institutions (IFIs), the Financial Action Task Force on Money Laundering (FATF), FATF-style bodies, and the Financial Stability Forum (FSF) to prevent abuses to the financial system and threats to its integrity through the promotion of international standards relevant to terrorist financing, money laundering and financial sector regulation and supervision. We welcome the conclusions of the FATF extraordinary plenary on terrorist financing and its eight special recommendations on terrorist financing. Above all, we will enhance our ability to share information domestically and internationally as a vital component in the fight against terrorism. We call on all ARF participants to make every effort to provide assistance to those countries who require assistance in accordance with this statement. In pursuing our goals, we have agreed to the following concrete steps:

Freezing Terrorist Assets

- Each ARF participant will implement the relevant UN Security Council Resolutions, particularly UNSCR 1373, to stop the financing of terrorism.
- In accordance with UNSCR 1373, each ARF participant will, with its jurisdiction, freeze without delay the assets of terrorists and their associates and close their access to the international financial system.
- Each ARF participant will, consistent with its laws, make public the lists of terrorists whose assets are subject to freezing, and the amount of assets frozen, if any.

Implementation of International Standards

- Each ARF participant will aim to approve, accept, ratify or accede to and implement the UN Convention for the Suppression of the Financing of Terrorism as soon as possible.
- Each ARF participant will aim to approve, accept, ratify or accede to and implement to the UN Convention against Transnational Organized Crime.
- We will work co-operatively and in collaboration with the International Monetary Fund (IMF) and World Bank, FATF and FATF-style bodies, FSF, Basel Committee of Banking Supervisors (BCBS), and other relevant international and regional bodies to promote the adoption, implementation, and assessment of international standards or recommendations to combat the abuses of the financial system, including in respect of terrorist financing, financial regulation, and money laundering.

International Cooperation: Exchange of Information and Outreach

- We will enhance our cooperation on the international exchange of information, including regarding actions taken under UN resolutions. ARF participants will promptly implement such measures as are necessary to facilitate this exchange.
- Each ARF participant should establish promptly, or maintain, a Financial Intelligence Unit or its equivalent and will take steps to enhance information sharing among them, including through promoting increased participation in groups of such units.
- An important element of this effort is the work of the regional FATF-style anti-money laundering bodies. Accordingly, the ARF participants call on these regional bodies to meet promptly and to expand their mandates to include terrorist financing.

Technical Assistance

- We are committed to providing, where possible, technical assistance to countries that need help in developing and implementing necessary laws, regulations and policies to combat terrorist financing and money laundering.
- We welcome the efforts of the International Monetary Fund, the World Bank, the Asian Development Bank, and other multilateral and regional organizations to provide technical assistance, including by expanding existing programs and training centers.

Compliance and Reporting

- To promote implementation and compliance with international standards, and to share information regarding our respective laws, regulations, and best practices to address terrorist financing, we will support the activities of the UN Counter-Terrorism Committee. We will also actively support surveillance and voluntary self-assessment through the IFIs, FATF and relevant international bodies.
- ARF participants should respond to the FATF's invitation to participate in a self-assessment of the eight special recommendations on terrorist financing
- We encourage the FSF to continue its work respecting the actions of financial sector regulators in the fight against terrorism.
- We will ensure that our financial institutions and citizens comply with measures to combat the financing of terrorism and other financial crimes, and will assist them to do so, including through informing financial institutions of their obligations and new developments.
- We welcome the active contribution of the regional FATF-style bodies to the FATF's worldwide self-assessment program.
- We will review progress on our efforts to combat the financing of terrorism at our next Ministerial meeting.

Statement by the Chairman of the ASEAN Regional Forum (ARF) on the Tragic Terrorist Bombing Attacks in Bali

Phnom Penh, 16 October 2002

His Excellency Mr. HOR Namhong, Senior Minister, Minister of Foreign Affairs and International Cooperation of Cambodia, Chairman of the ASEAN Regional Forum (ARF), on behalf of participating member-states and organization issues the following statement:

The death toll of both foreign tourists and Indonesians claimed by terrorist bombing attacks in Bali, Indonesia, over the weekend sent a very shocking news all around the world. It is always the innocent people, as in this case both the foreign tourists and Indonesians, who were victims from these barbarous crimes that resulted in the loss of hundreds of innocent lives.

The member-states and organization participating in the ASEAN Regional Forum (ARF) condemn these premeditated acts of terrorism in the strongest terms. These most criminal acts of bombing have no justification whatsoever, and they must be fully condemned by every member of a civilized world.

The member-states and organization participating in the ARF wish to extend their deep condolences and sincere sympathy to the Indonesian Government and the families of the victims of these tragic terrorist acts.

The ARF, once again reaffirms its determination to further step up their cooperation and collective efforts to combat more effectively these barbarous crimes against humanity.

Phnom Penh, 16 October 2002

ASEAN Regional Forum (ARF) Statement on Cooperative Counter-Terrorist Action on Border Security

(2003)

The Chairman of the ASEAN Regional Forum, on behalf of the ARF participating states and organization, issues the following statement:

Recognizing that:

Terrorism constitutes a grave threat to stability, peace and security in the Asia-Pacific and beyond. It has links with transnational organized crime, such as money laundering, arms smuggling, people smuggling, and the production of and trafficking in illicit drugs. It is also associated with the illegal movement of nuclear, chemical, biological, and other deadly materials. Because terrorism has multiple dimensions, manifestations and causes and respects no national boundaries, it is a complex phenomenon that requires a comprehensive approach and unprecedented international cooperation. More than ever, it is important to ensure the secure flow of goods and people, to create and reinforce sound border infrastructures, and to coordinate information sharing and enforcement.

The fight against terrorism requires a comprehensive approach and unprecedented international cooperation.

In this regard, we recall the Statement by the ARF Chairman dated 4 October 2001, which stated “The threat of international terrorism to international peace and security requires concerted action to protect and defend all peoples and the peace and security of the world. It is important that the underlying causes of this phenomenon be addressed to resolve the scourge of international terrorism.”

Critical to such an approach and to effective international cooperation are the control of states over their borders and the denial of cross-border movement to terrorists and that of their goods, funds and material.

It is imperative therefore that borders should not be thought of only in terms of land frontiers

between nations. Airports and seaports are also border crossing points so that air transport and maritime transport need to figure in the overall concept of border security.

If one is not simply to encourage the threat to move from one mode of transport to another then progress needs to be made in parallel across the entire spectrum of modes of border-crossing transport.

We stress the leading role of the UN in the fight against terrorism and call upon ARF participants to become parties as soon as possible to the international conventions and protocols relating to terrorism fully implement the relevant UN Security Council Resolutions, including Resolution 1373, and remain fully committed to supporting the work of the UN Counter Terrorism Committee and other pertinent UN bodies. Acknowledging that terrorism and its linkage with transnational organized crime form part of a complex set of new security challenges, we stress the necessity to address them urgently in all aspects and in all fora, including the ASEAN Regional Forum.

We reject any attempt to associate terrorism with any religion, ethnicity, race or nationality, and stress that in the aftermath of the terrorist attacks of September 11, 2001 and in other parts of the world, the need to also strengthen dialogue and promote mutual understanding between cultures and civilizations is greater than ever before.

We acknowledge that terrorism, including its links with transnational organized crime such as money laundering, arms-trafficking and the production of and trafficking in illicit drugs, people smuggling, as well as illegal movements of nuclear, chemical, biological and other potentially deadly materials, forms part of a complex set of new security challenges, which have to be addressed urgently in all aspects and in all fora, including the ASEAN Regional Forum.

In this regard, we welcomed the recent establishment of the Southeast Asia Regional Centre for Counter—Terrorism in Kuala Lumpur, Malaysia.

The challenge for ARF participating states is to implement effective border security and documentation practices while facilitating the cost—effective and efficient flow of people and goods for legitimate economic and social purposes and without undermining the principles and policies that promote our common security, and well being. The ARF has already joined other multilateral fora in taking substantive steps to enhance information sharing.

The ARF notes the significant progress that has been made by ARF participants in addressing counter-terrorism aspects of border security and encourages ARF governments to further enhance their efforts and commitment to combat terrorism in a more comprehensive manner on a voluntary basis and taking into account resources and capacity of ARF participants, in particular their efforts :

- To strengthen the capability of law enforcement and intelligence agencies:
- To ensure that border security forces are carefully screened, receiving good initial and ongoing training and motivated both by a desire to protect the community and by an adequate wage structure.
- To strengthen cooperation in sharing of intelligence in order to effectively deal with terrorism and transnational crimes such as illicit arms trafficking, drug trafficking and human and cargo smuggling.
- To strengthen cooperation in, and the legal framework for, where possible, prosecuting and extraditing terrorists, and to ensure that terrorist acts are established as serious criminal offences in domestic laws and regulations and that the punishment duly reflects the seriousness of terrorist acts;
- To cooperate, particularly through bilateral and multilateral arrangements and agreements, to prevent and suppress terrorist attacks and take action against perpetrators of such acts;
- To ensure that the free flow of people and goods across borders is secure and not subject to exploitation by terrorists, drug traffickers, arms smugglers, people smugglers and other criminals.

The challenge for ARF and its participants is to implement border security and documentation practices that confront the terrorist threat without undermining these basic principles that promote our common security, including respect for human rights and the rule of law.

In this light, ARF participating states undertake to carry out the following cooperative actions for strengthening border security:

Movement of People

- Support the expeditious implementation of a common global standard based on UN EDIFACT for the collection and transmission of advance passenger information (API) where possible.
- Support international efforts to achieve agreement on minimum standards for the issuance of travel and identity documents.

- Support efforts to develop means for sharing data on individuals of terrorist and trans-national criminal concern in accordance with laws and regulations of each country, for the purpose of incorporating that data into national and/or regional alert systems.

Movement of Goods

- Support work, in cooperation with relevant international organizations, to develop and implement an improved container-security regime for identifying and examining high-risk containers and ensure their in-transit integrity, bearing mind that some countries would encounter problems of high financial costs and the difficulty in acquiring the appropriate technology.
- Take note with interest of support work within the World Customs Organization and other relevant international organizations to implement common standards for electronic customs reporting by 2005, wherever possible, and require advance electronic information pertaining to containers, including their location and transit, to the extent feasible and as early as possible in the trade chain, with due regard to the difficulty in acquiring the appropriate technology for this purpose.
- Encourage major trading nations and relevant international organizations to extend effective assistance to ARF participating states in their efforts to improve the security and facilitation of the international trade chain.
- Support the development, in the United Nations and other relevant international organizations, of an effective and proportionate security regime for the inter-state overland transport and distribution of hazardous cargoes that present significant security risks.
- Support relevant provisions of the document “Cooperative G8 Action on Transport Security” adopted in Cananascis on 26 June, 2002.

Document Security

- Support international work in the International Civil Aviation Organization (ICAO) towards developing minimum standards for the application of biometrics in procedures and documents, with due regard to the difficulty of some countries in bearing the cost and acquiring the appropriate technology for this purpose.
- Improve procedures and practices for sharing data on lost or stolen passports and denied entries.

General Measures

- Encourage multilateral cooperation on border security among ARF members to combat terrorism.
- Encourage ARF consideration and adoption of new measures for border security proposed by the International Civil Aviation Organization (ICAO), the International Maritime Organization (IMO), the World Customs Organization (WCO) and other relevant international organizations.
- Provide, where necessary and possible, technical assistance and capacity-building infrastructure to states that need help in developing laws, training, and or in acquiring the equipment to enhance border security.
- Enhance ARF participants' efforts to share information useful on terrorism and trans-national organized crimes such as illegal arms trafficking, drug trafficking, people smuggling, and money laundering, where feasible domestically and internationally as a vital component in the fight against terrorism.
- ARF participating states are to review the process of these and other efforts to strengthen border security at the 11th ARF Ministerial Meeting in 2004.

ASEAN Regional Forum (ARF) Statement on Strengthening Transport Security Against International Terrorism

(2004)

The Chairman of the ASEAN Regional Forum (ARF), on behalf of the participating states and organization issues the following statement:

Strongly condemning all terrorist acts regardless of objectives or motivations;

Drawing attention to the significant threat to transportation posed by terrorist organizations and criminal groups and their growing coalescence, including those involved in piracy and smuggling;

Recognizing that despite the increased anti-terrorist efforts of the international community terrorism remains a direct threat to international peace, security and stability, and economic prosperity, including in the Asia-Pacific region;

Stressing that the complex, multi-dimensional and global nature of terrorism requires active and concerted actions by the international community, and a comprehensive approach combining political, diplomatic, economic, legislative, law enforcement and other means to address its manifestations and its causes;

Recognizing the need to enhance international, regional and sub-regional cooperation to promote counter-terrorist capacity by sovereign states;

Stressing the need for all states to create an environment where terrorism in all its manifestations is resolutely and totally rejected and to establish the necessary legislation and other means to ensure that terrorist offenses are effectively investigated and prosecuted;

Ensuring that all measures to combat terrorism are taken in accordance with the Charter of the United Nations and other applicable norms and principles of international, humanitarian and human rights law;

Reaffirming and strengthening the central role of the United Nations, in combating terrorism and shaping a joint and efficient system to address global threats and challenges;

Remaining strongly committed to the implementation of UN conventions and protocols relating to terrorism and fully supporting the work of the Counter- Terrorism Committee of the UN Security Council and other relevant UN agencies;

Recognizing that further efforts aimed at facilitating the earliest possible conclusion of the draft UN Comprehensive Convention Against International Terrorism and the draft UN International Convention on the Suppression of Acts of Nuclear Terrorism would be a significant contribution in that regard;

Acknowledging the need to respect independence, sovereign equality and territorial integrity of states, the principles of non-interference in the internal affairs of states and non-use of force or threat of force;

Rejecting any attempts to associate terrorism with any religion, nationality, race or culture;

Noting the vital importance of the safe and efficient operation of transport systems for their proper functioning and successful development of the global, regional, and national economies;

Recognizing the significance of international cooperation stipulated in the United Nations Convention on the Law of the Sea (UNCLOS) and other relevant international maritime regime in enhancing maritime transportation safety and security as an important contribution to international, regional and national efforts to combat terrorism and transnational crime;

Noting the Bali Regional Ministerial Meeting on Counter-terrorism which established two Ad Hoc Working Groups to enhance regional law enforcement cooperation and legal frameworks;

Recalling the ARF Statements on Measures Against Terrorist Financing of 30 July 2002, on Cooperation Against Piracy and Other Threats to Maritime Security of 17 June 2003, as well as the ARF Statement on Cooperative Counter-terrorist Action on Border Security of 18 June 2003 which stresses, in particular, that progress needs to be made in fighting terrorism across the entire spectrum of modes of border-crossing transport;

Observing the progress achieved by the Forum participants in combating terrorism in transport;

Taking note of the “Cooperative G8 Action on Transport Security” adopted by G8 in Kananaskis on 27 June 2002 as well as the “Enhanced Transport Security and Control of Man-Portable Air Defense Systems (MANPADS)” Action Plan adopted by G8 in Evian on 3 June 2003 and the concerns about the threat posed to commercial and general aviation by MANPADS;

ARF participating states and organization will endeavor to:

1. Enhance wherever possible their efforts and cooperation in fighting terrorism in all modes of transport-on the road, by rail, at sea, in the air, and by pipelines-in accordance with their domestic legislation, international obligations, and this Statement. In this regard, ARF participating states and organization will endeavor to jointly explore new practical measures and initiatives to combat terrorism in the transport sector.
2. Strengthen the legal cooperation framework to counter terrorism in all modes of transport by accession to relevant global anti-terrorist conventions and protocols and the conclusion of appropriate bilateral and multilateral treaties, agreements, and conventions. The ARF participating states and organization will continue, *inter alia*, their efforts to cooperate on criminal prosecution and extradition of persons suspected of perpetrating terrorist acts.
3. Fully and effectively implement their obligations under the International Maritime Organization (IMO) International Ship and Port Security (ISPS) Code by the agreed date of 1 July 2004.
4. Strengthen cooperation in the exchange of information, particularly on terrorist activities-planned or being committed-and persons and entities/organizations/groups involved, as well as appropriately and effectively share information for the prosecution process of perpetrators of terrorist acts, while protecting the confidentiality of individual information, in accordance with domestic laws.
5. Strengthen practical cooperation between law-enforcement bodies, and relevant security and intelligence services, as well as state transportation agencies and organizations in counteracting terrorism in transport.
6. Explore possible ways of improving interoperable methods of identification of

members of international terrorist groups active in international transport routes. The ARF participating states and organization thus, express their intention for respective national authorities to cooperate in improving the security features of travel documents and visa systems, including through the consideration of standards and best practices established in other fora, thus facilitating the identification of individuals suspected to be involved in terrorist activities, while taking into account the need to avoid the violation of the rights of individuals.

7. Hold appropriate simulation and joint exercises, with a view to enhancing institutional capacity building of coastal states, especially with regard to piracy and maritime and aerial terrorism, to ensure effective modal coordination of maritime and aviation security and safety measures.

8. Consider opportunities to plan and implement, as appropriate, coordinated special operations and criminal investigations and set up under the most appropriate jurisdiction, joint operative teams to mitigate the effects of terrorist attacks on transport facilities and bring the perpetrators to justice.

9. Cooperate, consistent with existing relevant transportation regimes, in preventing transportation systems from being used by terrorists, either as a site to commit terrorist acts or for transporting personnel, arms, explosives and explosive devices, and weapons of mass destruction.

10. Promote cooperation between research institutions to examine terrorism against the transport network, carry out joint research, exchange expertise and recommend methodologies, technologies, and best practices for combating such threats through meetings, seminars and conferences or through exchange of legislative and other legal regulations, and scientific research results.

11. Expand cooperation and enhance participation in international fora and international organizations, in particular, by adherence to the International Maritime Organization's (IMO's) International Ship and Port Security (ISPS) Code and relevant standards of the International Civil Aviation Organization (ICAO).

12. Assist in providing appropriate training and equipment to respective transport security services.

13. Continue to develop and harmonize measures aimed at enhancing necessary security regimes for container shipping, while taking into account national legal systems and the need to avoid unnecessary increase in costs and disruption to trade.

14. Jointly examine and consider means to counter suicide terrorist attacks against transportation and transport facilities.

15. Continue to develop concerted efforts to right piracy and other border crimes such as smuggling of illicit containers, under the aegis of IMO and respective national and regional frameworks, in particular, those relating to enhanced export control measures.

16. Develop and share best practices in the formulation of an inter-modal transport security framework that would link air, rail, road, inland waterway and maritime transport, believing that such a framework will provide a coherent, cost-effective, and rational approach to cargo transport security.

17. Encourage constructive interaction between the ARF and other regional and international organizations/fora in this area with counter-terrorism mandates.

18. Cooperate to ensure that terrorists are prevented from using information technology and its applications to disrupt and sabotage the operation of transportation systems.

19. Annually review the progress of these and other efforts to combat terrorism in transport at the following ARF Ministerial Meetings.

ASEAN Regional Forum (ARF) Statement on Information Sharing and Intelligence Exchange and Document Integrity and Security in Enhancing Cooperation to Combat Terrorism and Other Transnational Crimes

(2005)

The Chairman of the ASEAN Regional Forum, on behalf of the ARF participating states and organization, issues the following statement:

Recognizing that:

Terrorism and other transnational crimes pose significant threats to the peace, order, and security of our countries and our peoples;

Effective regional and global action requires a comprehensive approach and international cooperation reflecting best practices built upon agreed norms, standards, institutions, and international agreements; in accordance with the Charter of the United Nations and other applicable principles of international law, including humanitarian and human rights law;

Every state has a duty to refrain from organizing, instigating, assisting or participating in terrorist acts in other states or acquiescing in organized activities within its territory directed towards to the commission of terrorist acts;

Links between corruption and the proceeds generated by transnational crime could undermine and threaten legitimate commerce and finance and support terrorist and other criminal activities;

Effective information and intelligence exchange among states is an essential contribution to efforts to combat terrorism and transnational crime and must be carried out in a well-managed, responsible and systematic manner, including appropriate protections for sensitive and national security information obtained from other and adequate respect for and protection of personal privacy and other human rights;

The integrity and security of national identity, travel and other documents is a vital contribution to ensuring the security of our citizens and to identifying, apprehending and prosecuting terrorist

and other offenders.

Committed to:

Further strengthening effective cooperation among ARF participants in these efforts while noting the progress that has already been made, encourages ARF governments to further enhance their efforts and commitment to combat terrorism and other transnational crimes on a voluntary basis in a more comprehensive manner, taking into account resources and capacity of ARF participants and in accordance with international law and their respective national laws through information-sharing and intelligence exchange, cooperation in combating document fraud, and law enforcement cooperation. In particular, through the following efforts:

Information Sharing and Intelligence Exchange

- To better exchange relevant information and intelligence in a timely, effective systematic manner on the basis of bilateral, sub-regional, regional or other information-sharing agreements, bearing in mind that such information and intelligence shall not be further disclosed or disseminated without the official authorization of the originator;
- To strengthen cooperation for the effective and appropriate sharing and exchange of information, particularly on terrorist and other transnational criminal activities, for the prosecution of the perpetrators of such activities, while protecting the confidentiality of individual information, in accordance with domestic laws;
- To ensure that adequate national protections for sensitive and other information obtained from foreign partners are in place and effective;
- To ensure that the privacy and other rights of individuals about whom personal information is exchanged between states are respected and protected;

Combating Document Fraud

- To implement more secure and fraud-resistant national documents based upon internationally-agreed standards and containing appropriate biometric identifiers and to foster cooperation on adoption of Machine Readable Travel Documents (MRTD), with biometrics if possible;
- To criminalize, investigate, and prosecute the possession or creation of fraudulent national identity, travel and other documents from any country;
- To actively participate in the elaboration and implementation of new international document standards through ICAO and other international, regional and functional

organizations;

- to actively contribute on an ongoing basis to the INTERPOL database of lost and stolen travel documents, bearing in mind other effective channels of cooperation that exist;

Law Enforcement Cooperation

- to strengthen ARF law enforcement cooperation on the basis of bilateral and multilateral agreements and through the use of existing mechanism, in particular INTERPOL and its I 24/7 communications network for the exchange of information;
- to further strengthen international capacity building cooperation and assistance including through existing regional centers, such as inter alia, the International Law Enforcement Academy (ILEA), the Southeast Asia Regional Centre for Counter-Terrorism (SEARCCT), the Jakarta Centre for Law Enforcement Cooperation (JCLEC) and the Regional Anti-Terrorism Structure (RATS) of the Shanghai Cooperation Organization (SCO).

ARF participating states and organization are to regularly review the progress of these and other efforts to further strengthen cooperation against terrorism and other transnational crimes at the 4th and subsequent ARF Inter-Sessional Meetings on Counter-Terrorism and Transnational Crime.

ASEAN Regional Forum Statement on Cooperation in Fighting Cyber Attack and Terrorist Misuse of Cyber Space

(2006)

The Chairman of the ASEAN Regional Forum (ARF), on behalf of the participating states and organization, issues the following statement:

Strongly condemning all acts of terrorism regardless of their motivations, whenever and by whomsoever committed, as one of the most serious threats to international peace and security;

Reaffirming the imperative to combat terrorism in all its forms and manifestations;

Rejecting any attempt to associate terrorism with any religion, nationality, race, or culture;

Ensuring that all measures to combat terrorism are in accordance with the United Nations Charter and other applicable principles of international law, including humanitarian and human rights law;

Acknowledging that terrorist misuse of cyber space is a destructive and devastating form and manifestation of global terrorism whose magnitude and rapid spread would be exacerbated by the increasing cyber interconnectivity of countries in the region;

Recognizing the serious ramifications of an attack via cyber space to critical infrastructure on the security of the people and on the economic and physical well-being of countries in the region;

Recognizing the detrimental impact of fear which can be enhanced by the terrorists in conjunction with attacks in physical space;

Further recognizing that terrorist misuse of cyber space is a form of cyber crime and a criminal misuse of information technologies;

Acknowledging that the proceeds from cyber crime may be laundered and/or used to fund

terrorist activities;

Emphasizing the importance of ARF countries acting cooperatively to prevent the exploitation of technology, communications, and resources, including Internet, to incite support for and/or commit criminal or terrorist acts, including the use by terrorists of the internet for recruitment and training purposes.

Recalling the ARF Statement on Strengthening Transport Security against International Terrorism of 2 July 2004, which mentions, in particular, that ARF countries will endeavor to cooperate to ensure that terrorists are prevented from using information technology and its applications to disrupt and sabotage the operation of transportation systems;

Stressing the need for cooperation between governments and the private sector in identifying, preventing, and mitigating cyber-attacks and terrorist misuse of cyber-space;

Believing that an effective fight against cyber-attacks and terrorist misuse of cyber space requires increased, rapid and well-functioning legal and other forms of cooperation.

1. ARF participating states and organization endeavor to enact, if they have not yet done so, and implement cyber crime and cyber security laws in accordance with their national conditions and by referring to relevant international instruments and recommendations/guidelines for the prevention, detection, reduction, and mitigation of attacks to which they are party, including the ten recommendations in the UN General Assembly Resolution 55/63 on Combating the Criminal Misuse of Information Technologies.

2. ARF participating countries and organization acknowledge the importance of a national framework for cooperation and collaboration in addressing criminal, including terrorist, misuse of cyber space and encourage the formulation of such a framework that may include the following proposed courses of action:

- Identify national cyber security units and increase coordination among national agencies;
- Develop national watch, warning, and incident response capabilities;
- Collaborate/cooperate with international and regional agencies for cyber investigation and collection and sharing of cyber evidence and, effective management of resources for mutually beneficial partnerships that foster international cooperation, interoperability, and coordination in fighting criminal and terrorist misuse of cyber space;
- Conduct training/ technology transfer and counter-measures, especially digital forensics;

- Reinforce capabilities to protect and recover critical infrastructure, minimize loss, track and trace the sabotage activities on such infrastructure;
- Encourage private sector partnership with the government in the field of information security and fighting cyber crime, including the protection of critical infrastructure;
- Increase public awareness on cyber security and cyber ethics with emphasis on safety and security, best practices, the responsibilities of using information networks and negative consequences from misuse of networks.

3. ARF participating states and organization agree to work together to improve their capabilities to adequately address cyber crime, including the terrorist misuse of cyber space by:

- Endeavoring to identify national cyber security units and joining and participating in established networks of cooperation;
- Endeavoring to establish an ARF-wide network of Computer Security Incident Response Teams (CSIRT) concerning cyber-crime to facilitate the real time exchange of threat and vulnerability assessment and issuance of required warnings and patches and which would join existing cyber and incident warning and response networks;
- Leveraging on existing cooperation among different CSIRT networks and collaborating with other international and regional organizations with similar concerns;
- Providing, where and when possible, technical assistance and capacity-building programs to countries that request help in developing laws, extending training (in forensics, law enforcement, legal and technical matters), and when and where possible, providing hardware and software;
- Within the framework of applicable data protection regulation, information and intelligence sharing between law enforcement, partners, and regional agencies, and community;
- Enhancing efforts towards training and awareness among the masses to bring about a culture of cyber security.

4. The ARF participating countries and organization also commit to continue working together in the fight against cyber crime, including terrorist misuse of cyber space, through activities aimed at enhancing confidence among different national CSIRTs, as well as formulating advocacy and public awareness programs.

5. ARF participating countries and organization commit themselves to adopting such measures as may be appropriate and in accordance with their obligations under interna-

tional law to prohibit by law incitement to commit a terrorist act or acts, including through computer networks.

6. The ARF participating countries and organization decide to annually review the progress of these and other efforts to combat cyber attack and the terrorist misuse of cyber space at subsequent ARF Ministerial Meetings.

**28 July 2006
Kuala Lumpur**

ASEAN Regional Forum Statement on Promoting a People-centred Approach to Counter Terrorism

(2006)

The Chairman of the ASEAN Regional Forum (ARF), on behalf of the participating states and organisations, issues the following statement:

Recognising that:

The overwhelming majority of people in the region, and around the globe, are peace-loving;

Terrorism, irrespective of its origins, motivations or objectives, constitutes a serious threat to human security, regional and international peace, stability and security. There is no justification, whatsoever, for any act of terrorism which should be unequivocally condemned;

Any measures to counter terrorism in all its forms and manifestations should be consistent with the Charter of the United Nations (UN), international law, including human rights, refugee and humanitarian law, where applicable; United Nations Security Council Resolutions; and UN Conventions and Protocols related to counter-terrorism which individual participating states are a state party to;

Terrorism should not be associated with any religion, culture, race or nationality;

Successfully combating terrorism requires a comprehensive approach, that includes addressing causes and factors conducive to the spread of terrorism without acknowledging these as justifications for terrorist and/or criminal activities;

Supporting initiatives currently undertaken by regional and international organizations on counter terrorism, including efforts to resolve conflicts, promote respect, understanding and tolerance among people of all religions, beliefs and cultures, forms part of the overall ARF efforts to counter terrorism;

Strong cooperation exists within the ARF framework in the fight against international

terrorism and desiring to undertake further measures to prevent, disrupt, combat and respond to terrorism;

It is vitally important to engage all levels of society including academia, the media, non-governmental organisations, community groups and other relevant institutions in the efforts against international terrorism;

Committed to:

Implement the principles laid out in this Statement, in accordance with their respective domestic laws and their specific circumstances, with the view to the full implementation of any or all of the following measures:

1. Identifying counter terrorism strategies and measures that promote greater tolerance, understanding, conflict resolution including inter-cultural dialogues, as well as those aimed at winning the “hearts and minds” of the people and their unequivocal condemnation of terror in all its forms and manifestations and regardless of its alleged motives in order to ensure their effectiveness;
2. Inculcating people’s awareness of the threat from terrorism to their safety and well-being and enhancing preparedness in their response to the threat;
3. To undertake all necessary measures in accordance with international law;
4. Developing initiatives and programmes, in accordance with the Charter of the United Nations, international laws and relevant rules of procedure of the United Nations, to promote public participation in counter terrorism measures, by encouraging the comprehensive input of academia, media, non-governmental organizations, community groups and other relevant institutions;
5. Strengthening information sharing, exchange of best practices and joint-capacity building efforts on both preventive measures and emergency response mechanisms;
6. Identifying ways to enhance partnerships between, and among participating states, with international organizations, regional fora and other relevant institutions to promote the above measures in the efforts to counter terrorism; and

7. Reviewing the progress on these efforts to further strengthen cooperation to counter terrorism.

Kuala Lumpur
28 July 2006

Statement of the ASEAN Regional Forum on the Republic of Korea Hostages in Afghanistan

2 August 2007

The Foreign Ministers of the participating countries of the ASEAN Regional Forum express our solidarity with the people and government of the Republic of Korea and condemn the hostage taking of their nationals in Afghanistan and deplore in the strongest terms the brutal murder of two hostages.

We call for the immediate, unconditional and safe release of all hostages.

We share the grief and sorrow of the family and friends of the murder victims and the concern and heartache of the loved ones of the remaining hostages.

We express the hope that the hostages and their families will find the strength to face this ordeal, while at the same time expressing the hope that they will soon be reunited.

ASEAN Regional Forum Statement on Promotion of Inter-Civilization Dialogue

(2007)

The Chairman of the ASEAN Regional Forum, on behalf of its participants, issues the following statement:

Acknowledging that the world continues to face both opportunities and challenges for promoting sustainable peace and security, as well as harmony and understanding among the people,

Cognizant of the significance of inter-civilization dialogue encompassing interfaith and inter-cultural interaction as well as efforts to promote respect, understanding and tolerance among people of all religions, beliefs and cultures as an important part of ARF efforts to promote peace and security,

Reaffirming that terrorism cannot and should not be associated or identified with any specific religion, nationality, civilization or ethnic group,

Recalling their obligation as provided for in the Charter of the United Nations to refrain from the threat or use of force in any manner inconsistent with the purposes of the Charter, and underlining the necessity of respecting human rights in resolving conflicts,

Recognizing the significant contribution of efforts to enhance dialogue and understanding among the people of different faiths, cultures and civilizations, and *recalling* in this regard relevant UN Resolutions calling for international efforts to enhance dialogue and broaden understanding among and within civilizations,

Underscoring the importance of various international forums aimed at advancing inter-civilization, inter-cultural and inter-faith dialogue,

Believing that dialogue among cultures and civilizations as one of the important means for resolving problems and conflicts, as well as countering the threat of terrorism, is conducive to maintaining peace, stability and prosperity in the Asia Pacific region and the world;

ARF participants:

Strongly condemn terrorism in all forms and manifestations, committed by whomever, wherever and for whatever purposes including terrorist actions committed under the pretext of religion, as it constitutes one of the most serious threats to international peace and security;

Support the work undertaken by the ARF participating states and completed work of the ARF such as a recent Inter-Sessional Meeting on Counter Terrorism and Transnational Crime (ISM-CTTC) which focused on Inter-Civilization Dialogue as well as the UN to promote inter-civilization dialogue, with an aim to implementing such global frameworks as the “Global Agenda for Dialogue among Civilizations” and its Programme of Action adopted by the UN General Assembly and initiated by the UNESCO as a lead agency, the UN Global Counterterrorism Strategy;

Welcome the report of the High-Level Group of the “Alliance of Civilizations” established by UN Secretary General, which seeks to establish a paradigm of mutual respect between civilizations by building a comprehensive coalition able to avert any further deterioration of relations between societies and nations that could threaten international stability;

Support efforts aimed at addressing the conditions that may be conducive to the spread of terrorism, and efforts made on the basis of consolidating principles of peace and tolerance as well as of the rule of law and respect of human rights;

Consider it vital to intensify the role and involvement of government and parliamentary bodies, as well as non-governmental, religious and other public organizations in enhancing inter-cultural and interfaith understanding;

Will encourage the international community to take practical steps directed at improving inter-civilization, inter-cultural and interfaith cooperation, including identifying and implementing activities in order to address common challenges threatening shared values, universal human rights and achievements of human society in various fields, and to explore the establishment of principles to facilitate meaningful interaction between cultures based on mutual respect for one another’s traditions;

Work to expand, where appropriate, channels of information exchange among the ARF participants with a view to sharing national experiences in promoting respect, understanding and tolerance among cultures and faiths in the interests of peace, security, human rights and prosperity of Asia Pacific nations.

ASEAN Regional Forum (ARF) Statement Promoting Collaboration on the Prevention of Diversion of Precursors into Illicit Drug Manufacture

(2008)

The ASEAN Regional Forum (ARF),

Recalling:

- the purpose of the ASEAN Charter of 2007 article 1 paragraph 8 which highlights the importance to respond effectively, in accordance with the principle of comprehensive security, to all forms of threats, transnational crimes and transboundary challenges;
- the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988, in particular article 12 on substances frequently used in the illicit manufacture of narcotic drugs or psychotropic substances;
- the Political Declaration adopted by the United Nations General Assembly at its twentieth special session on the World Drug Problem, in which Member States established 2008 as a target date for States to eliminate or reduce significantly, among others, the diversion of precursors;
- United Nations General Assembly Resolution S-20/4 B adopted on 10 June 1998 in which Member States decided to promote the exchange of experience relating to police, customs and other administrative investigation, interception, detection and control of diversion of precursors;
- the Bangkok Political Declaration in Pursuit of a Drug-Free ASEAN 2015 adopted at the International Congress “In Pursuit of a Drug-Free ASEAN 2015: Sharing the Vision, Leading the Change” held in Bangkok, Thailand from 11 to 13 October 2000, which declared continued political will and commitment to reduce the illicit supply of drugs, particularly Amphetamine-Type Stimulants (ATS);
- the Beijing Declaration adopted at the Second International Congress of the ASEAN and China Cooperative Operation in Response to Dangerous Drugs (ACCORD) held in Beijing on 18 -20 October 2005, which among others, notes with deep concern that the illicit manufacture, traffic, distribution of ATS is spreading rapidly and endorsed the Regional Joint Action against ATS-related Crimes Initiative;
- the Siem Reap Declaration adopted in May 2005 which notes with concern the rapid

- increase of ATS abuse among children, the youth, and persons in labour-intensive activities;
- the Resolution 50/5 of the Commission on Narcotic Drugs adopted at its 50th Session in March 2007 entitled “Identifying sources of precursors used in illicit drug manufacture”, which among others invites the International Narcotics Control Board, with Member States, relevant international bodies and existing initiatives such Project Prism, to continue to identify the main sources of ephedrine, pseudoephedrine and 1-phenyl-2-propanone supplied to the main regions manufacturing ATS, the methods of diversion employed and the trafficking routes used;
 - the Resolution 50/6 of the Commission on Narcotic Drugs adopted at its 50th Session, “Promoting Collaboration on the Prevention of Diversion of Precursors”, encouraging the Asian Collaborative Group on Local Precursor Control (ACoG) and the International Forum on Control of Precursors for ATS (IFCP) to take forward the ACoG/IFCP Work Program;
 - the Resolution of the Commission on Narcotic Drugs (50/10) adopted at its 50th Session on the “Prevention of Diversion of Drug Precursors and Other Substances Used for the Illicit Manufacture of Narcotic Drugs and Psychotropic Substances” which emphasised the heightened concern about the diversion of non-controlled substances to circumvent legal controls;
 - the 2007 Report of the International Narcotics Control Board, in particular recommendations 12, 13 and 14 in which the board calls upon all competent authorities effecting seizures or intercepting shipments of precursors to investigate those cases; encourages governments to register for and use the PEN Online system; and requested all competent authorities to provide information on annual legitimate requirements of the precursor chemicals as stipulated in article 12 of the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances; and
 - the ASEAN Regional Forum Seminar on Narcotics Controls on 19-21 September 2007 and the Sixth ASEAN Regional Forum Inter-Sessional Meeting on Counter-Terrorism and Transnational Crime on 21-22 February 2008 in which this Statement was proposed and discussed.

Recognizing that different challenges in reducing the supply of ATS are faced by ARF participants, but that common characteristics of the manufacture of ATS exist among ARF participants, principally the reliance of the illicit manufacture of ATS on the availability of precursor chemicals used also in licit manufacture, as well as the increased misuse of non-controlled substances in the illicit manufacture of ATS;

Reaffirming the importance of applying national precursor controls with effectiveness throughout the region and the world, as a means of avoiding the displacement of diversion points across national borders;

Acknowledging the role of ACCORD and ACoG in striving to improve the control of ATS precursors in the region through enhanced collaboration on regulatory, administrative and legislative controls and practices;

Notes with concern the continued availability of precursors for illicit drug manufacture and the illicit supply and demand of ATS, including its spread to other parts of the world;

Calls upon Member States to continue cooperation with the International Narcotics Control Board as the principal body and global focal point for the international control of precursors to ATS and illicit drugs such as heroin;

Urges competent national authorities of ARF participants to work in cooperation with each other and with existing mechanisms to strengthen the control of precursors to illicit drug manufacture, including:

- a. the International Narcotics Control Board,
- b. the ASEAN Ministerial Meeting on Transnational Crime,
- c. the ASEAN Senior Officials Meeting on Transnational Crime,
- d. the ASEAN Senior Officials on Drug Matters,
- e. the ASEAN-China Cooperative Operations in Response to Dangerous Drugs,
- f. the United Nations Office on Drugs and Crime Regional Centre for East Asia and the Pacific and
- g. ACoG;

Calls upon ARF participants to promote the objectives of ACoG in particular to identify opportunities for cooperation and support for building capacity in the region to respond to the threats of diversion of precursors into illicit drug manufacture;

Calls upon ARF participants to promote the ACCORD Plan of Action and its four pillars as well as to implement the follow-up activities related to the Regional Joint Action on ATS and Their Precursors;

Decides to promote collaboration among ARF participants on activities implemented by existing mechanisms including ACCORD and ACoG.

ASEAN Regional Forum Statement by the Ministers of Foreign Affairs on Cooperation in Ensuring Cyber Security

(2012)

Noting the considerable progress in developing and applying advanced information and communication technologies (ICTs);

Expressing concern regarding the vulnerability of ICTs to threats to their availability, reliability and integrity from a variety of malicious sources,

Recognizing the need for all ARF participants to take systematic steps to protect their national information infrastructures,

Taking into account the UN General Assembly resolutions on the developments in the field of information and telecommunications in the context of international security, aimed at combating the use of ICTs for criminal or terrorist purposes and purposes inconsistent with the objectives of maintaining international stability and security,

Recognizing that confidence and security in the use of ICTs are among the main pillars of the information society, and that a robust global culture of cyber security needs to be encouraged, promoted, developed and vigorously implemented,

Bearing in mind that ensuring security in the use of ICTs should be consistent with international law and its basic principles,

Acknowledging the increasing interconnectivity in the use of ICTs by countries in the region,

Underlining the need to bolster coordination and cooperation among ARF participants in strengthening security in the use of ICTs,

Highlighting the need for further dialogue on the development of confidence-building and other transparency measures to reduce the risk of misperception, escalation and conflict,

Stressing the need for enhanced efforts to close the digital divide by capacity building for developing countries and exchanging best practices and training in the sphere of security in the use of ICTs,

Consistent with the ARF Statement on Cooperation in Fighting Cyber Attacks and Terrorist Misuse of Cyberspace of July 28, 2006,

Noting the United Nations Consensus Report of the Group of Governmental Experts on Developments in the Field of Information and Telecommunications in the Context of International Security (A/65/201),

ARF participants reiterate the need to further intensify regional cooperation on security in the use of ICTs, including through the following measures:

- Promote further consideration of strategies to address threats emerging in this field consistent with international law and its basic principles;
- Promote dialogue on confidence-building, stability, and risk reduction measures to address the implications of ARF participants' use of ICTs, including exchange of views on the potential use of ICTs in conflict;
- Encourage and enhance cooperation in bringing about culture of cyber security;
- Develop an ARF work plan on security in the use of ICTs, focused on practical cooperation on confidence building measures, which could set out corresponding goals and a timeframe for their implementation;
- Review a possibility to elaborate common terms and definitions relevant to the sphere of the use of ICTs.

Maritime Security

ARF Statement on Cooperation Against Piracy and Other Threats to Maritime Security

(2003)

The Chairman of the ASEAN Regional Forum (ARF), on behalf of the participating states and organization, issues the following statement:

1. Recognizing that:

- (a) Piracy and armed robbery against ships and the potential for terrorist attacks on vulnerable sea shipping threaten the growth of the Asia-Pacific region and disrupt the stability of global commerce, particularly as these have become tools of transnational organized crime;
- (b) ARF Countries represents approximately 80 percent of the world's GDP and trade, and even more of maritime or container shipping trade;
- (c) Maritime security is an indispensable and fundamental condition for the welfare and economic security of the ARF region. Ensuring this security is in the direct interest of all countries, and in particular the ARF countries;
- (d) Most maritime armed-robberies in the Asia-Pacific region tend to occur in the coastal and archipelagic waters. Trends over the last few years indicate that piracy and armed-robbery against ships continue to threaten to be a significant problem in the Asia-Pacific region;
- (e) To deal with this increasingly violent international crime, it is necessary to step up broad-based regional cooperative efforts to combat transnational organized crime, including through cooperation and coordination among all institutions concerned, such as naval units, coastal patrol and law enforcement agencies, shipping companies, crews, and port authorities;
- (f) Such efforts must be based on relevant international law, including the 1982 Law of the Sea Convention;

- (g) It is important that there be national and regional cooperation to ensure that maritime criminals and pirates do not evade prosecution;
- (h) Effective responses to maritime crime require regional maritime security strategies and multilateral cooperation in their implementation;
- (i) National, Regional and International efforts to combat terrorism also enhance the ability to combat transnational organized crime and armed-robberies against ships.

2. The Participants of ARF endeavour to achieve effective implementation of the relevant international instruments and recommendations/guidelines for the suppression of piracy and armed-robbery against ships, including the United Nations Convention on the Law of the Sea, the Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation 1988 and its Protocol for the Suppression of Unlawful Acts against the Safety of Fixed Platforms Located on the Continental Shelf; and the International Maritime Organization's recommendations and guidelines for preventing and suppressin piracy and armed-robbery against ships at sea; the International Convention for the Safety of Life at Sea, 1974 particularly the new Chapter XI-2 and the International Ship and Port Facilities Security (ISPS Code); and to enhance their coordination and cooperation to that end. The members of ARF express their commitment to become parties to the Convention for the Suppression of Unlawful Acts Against the Safety of Maritime Navigation, 1988 and its Protocol for the Suppression of Unlawful Acts Against the Safety of Fixed Platforms Located on the Continental Shelves as soon as possible, if they have not yet done so.

3. The ARF Participants will work together to protect ships engaged in international voyages by:

- (a) Enhancing cooperation on fighting piracy and armed-robbery in the region between ARF participants' shipping and organizations such as the International Maritime Organization (IMO) and the Piracy Reporting Center of the International Maritime Bureau (IMB);
- (b) Early implementation of the comprehensive amendment to the International Convention for the Safety of Life at Sea, 1974, and the new ISPS Code adopted by the Diplomatic Conference on Maritime Security in December 2002; as called for in Conference Resolution 6.
- (c) Affirming their responsibilities to prosecute, in accordance with relevant domestic laws, perpetrators of acts of piracy and armed-robbery against ships.

(d) Endorsing the development by the International Maritime Organization of the following instruments and recommendations/ guidance for use in preventing and suppressing piracy and armed-robbery against ships:

- Recommendations to Governments for preventing and suppressing piracy and armed-robbery against ships, MSC/Circ. 622/Rev. I, 16 June 1999;
- Guidance to ship-owners and ship operators, shipmasters and crews on preventing and suppressing acts of piracy and armed-robbery against ships, MSC/Circ. 623/Rev. 3, 29 May 2002; Directives for Maritime Rescue Coordination Centers (MRCCs), MSC/Circ. 967, 6 June 2000;
- Interim Procedures for MRCCs on Receipt of Distress Alerts, MSC/Circ. 959, 20 June 2000;
- Resolution A. 922 (22)- Code of Practice for the investigation of the crimes of piracy and armed-robberies against ships:
- Resolution A. 923(22)-“ Phantom” ships and registration process; and
- Convention for the Suppression of Unlawful Acts Against the Safety of Maritime Navigation, 1988 and its Protocol for the Suppression of Unlawful Acts Against the Safety of Fixed Platforms Located on the Continental Shelf.

4. The ARF participants *commit to* undertake the following actions:

- a. Encourage bilateral and multilateral maritime cooperation among ARF members to combat piracy, including at the present increased personnel contact among personnel, information exchanges and anti-piracy exercises on the basis of respecting territorial integrity, sovereignty, sovereign rights and jurisdiction and in accordance with the principles of voluntary participation and agreement in line with the respective applicable international conventions.
- b. Encourage ARF consideration and future discussion of new IMB proposals (10/23/02) on prescribed traffic lanes for large supertankers with coastguard or naval escort whenever and wherever possible on the high sea upon the consent of all ARF countries concerned. If considered feasible, forward to IMO for adoption as appropriate.
- c. Provide, where and when possible, technical assistance and capacity-building infrastructure to countries that need help in developing necessary laws, extending training, and where and when possible, providing equipment.
- d. Enhance ARF participants’ ability to share information domestically and internationally as a vital component in the fight against maritime piracy and armed-robberies.

e. Institute regional ARF cooperation and training in anti-piracy and security. Cooperate with the world maritime university (under the IMO) as regards education and training of personal engaged in anti-piracy and security.

f. Encourage greater ARF member states’ transport industries and shipping community to report incidents to the relevant coastal states and to ships’ flag administration for follow up action by the proper authorities as prescribed in MSC/Circ. 623. In addition to the IMO, ships may also report to secondary reporting centers such as the International Maritime Bureau’s Piracy Reporting Center in Kuala Lumpur.

g. Encourage the ARF Chair to explore with the ASEAN Secretariat or an ARF participant whether it would be willing to coordinate logging of requests for assistance by ARF participants in implementing the provisions of the Convention for the Suppression of Unlawful Acts Against the Safety of Maritime Navigation, 1988 and its Protocol for the Suppression of Unlawful Acts Against the Safety of Fixed Platforms on the Continental Shelf and other relevant instruments.

h. Review progress on efforts to combat maritime piracy and armed—robberies against ships at the 11th ARF Ministerial meeting, in 2004 and share their experiences with member states of the IMO.

i. Endorse the ongoing efforts to establish a legal framework for regional cooperation to combat piracy and armed—robberies against ships.

j. Welcome the discussion in the IMO on various issues relating to the delivery of criminals who have committed crimes on a ship on the high sea or on the exclusive economic zone to the authorities of port state by the master of the ship, and hope to reach a conclusion as soon as possible. (IMO document “ LEG 85/10”)

k. Nothing in this statement, nor any act or activity carried out in pursuant to this statement, should prejudice the position of ARF countries with regard to any unsettled dispute concerning sovereignty or other rights over territory.

Disaster Management and Humanitarian Assistance

ASEAN Regional Forum Statement on Disaster Management and Emergency Response

(2006)

The Chairman of the ASEAN Regional Forum, on behalf of the participating countries, issues the following statement:

Expressing condolences and sympathy to the victims, their families, the Government and the people of the countries that suffered significant human, social and economic losses and damages from the unprecedented tsunami disaster and earthquake as well as typhoons, cyclones/hurricanes, floods and landslides in various ARF participating countries;

Recalling the Declaration on Action to Strengthen Emergency Relief, Rehabilitation, Reconstruction and Prevention in the aftermath of the Earthquake and Tsunami Disaster of 26 December 2004 issued at the Special ASEAN Leaders' Meeting on the Aftermath of Earthquake and Tsunami in Jakarta, 6 January 2005; the Hyogo Framework for Action 2005-2015 (HFA), adopted at the World Conference on Disaster Reduction, in Kobe, 18-22 January 2005 to effectively tackle disaster reduction; the Ministerial Meeting on Regional Cooperation on Tsunami Early Warning Arrangement in Phuket, 29 January 2005; the ASEAN Agreement on Disaster Management and Emergency Response, 26 July 2005; the Asian Conference on Disaster Reduction in Beijing, 27-28 September 2005; as well as international conferences concerning natural or other disasters, including manmade, under the auspices of the United Nations;

Deeply concerned about the additional socio-economic burden borne by the ARF participating countries, particularly the developing countries, due to the number, scale and increasing impact of natural disasters and other disaster situations;

Noting with appreciation the solidarity, brotherhood, sense of humanity, generous outpouring of support and constructive cooperation shown by the international community, including ARF participating countries, to help affected communities with humanitarian assistance in response to recent natural disasters, including the 2004 earthquake and tsunami

in the Indian ocean and the 2005 South Asia earthquake;

Reaffirming that humanitarian assistance must be provided in accordance with the principles of humanity, neutrality and impartiality;

Mindful of the importance of encouraging regional and international cooperation to enhance preparedness and support the efforts of affected countries to mitigate and respond to natural disasters in all their phases and to reduce loss of life and other social, economic and global environmental assets;

Emphasizing the importance of civil-military cooperation in meeting regional peace and security challenges as well as identifying possible areas of cooperation in developing civil-military cooperation as an effective tool in disaster relief operations, at a pace comfortable to all, consistent with internationally agreed principles;

Recognizing the need for common understanding of civil-military cooperation, and the development of standardized civil-military coordination procedures consistent with existing international guidelines;

Recognizing also the need for appropriate and people-centered early warning and the dissemination of information and disaster management plans at all levels, including at the community level, which has thus far received rather limited attention from the international community and national governments;

Noting the importance of the availability of funds in the region for immediate disbursement, and the appropriateness of contributions to support timely and effective responses to humanitarian emergencies and noting international efforts to increase the pool of resources available;

Reaffirming that States have the primary responsibility to protect the people and property on their territories from natural disasters;

Recalling that the sovereignty, territorial integrity and national unity of states must be fully respected in accordance with the charter of the United Nations. In this context, humanitarian assistance should be provided with the consent of the affected country and in principle on the basis of an appeal by the affected country;

Emphasizing the importance of developing and strengthening institutions, mechanisms and capacities at the sub-national, national, regional as well as the international levels to support community capacities to reduce disaster risk;

Reaffirming the central role of the United Nations in providing leadership and coordinating the efforts of the international community;

Acknowledging the importance of the ASEAN Standby Arrangements for Disaster Relief and Emergency Response, the ASEAN Coordinating Centre for Humanitarian Assistance on Disaster Management, ASEAN Disaster Information Sharing and Communication Network, the ASEAN Committee on Disaster Management (ACDM), and other regional instruments on disaster management and emergency response, including UN bodies, and recognizing the need for close coordination between regional and international bodies;

Recognizing the importance of the national sovereignty and integrity as well as the international law in the process of disaster management and emergency response.

ARF participating countries will endeavor to enhance cooperation that support and complement existing regional and international disaster management and emergency response mechanisms in the following areas:

A. Risk Identification and Monitoring

(1) to take appropriate measures to identify regional disaster risks and risk management capacities and conduct disaster risk assessment covering among others; natural hazards, risk assessment, monitoring vulnerabilities and appraisal of disaster management capacities and the inputs/resources required to appropriately reinforce these;

(2) to share information with regard to forecasting and monitoring hazards and disasters to interested ARF participants; information transmission, feedback and action (particularly relating to populations at risk).

B. Disaster Prevention and Preparedness

(1) to develop an ARF Virtual Task Force on multi-hazard Disaster Response Management in order to promote ARF cooperation in disaster-related issues;

(2) to support the work of UNESCO Intergovernmental Oceanographic Commission in building up an Indian Ocean Tsunami Early Warning System and to link up with other regional efforts to create a global multi-hazard early warning system;

(3) to call upon all ARF participating countries to integrate disaster risk reduction efforts into their national legislative frameworks, policies and strategies in line with the Hyogo Framework for Action 2005-2015;

(4) to establish a directory of specialized experts/groups of experts in disaster relief and emergency preparedness in the ARFNet and share it with the United Nations Office for the Coordination of Humanitarian Affairs;

(5) to maintain an updated regional database of emergencies response and disaster management contacts, and to develop a joint database of assets and capabilities available to be shared with the United Nations Office for the Coordination of Humanitarian Affairs Central Register of Disaster Management Capacities and the Register of Military, Civil Defense and Civil Protection Assets (MCDA);

(6) to compile ARF participating countries' disaster management procedures/manuals and capabilities in order to enhance common understanding of respective countries' emergency preparedness procedures through sharing of lessons learned and best practices;

(7) to work towards the development of ARF regional standby arrangements for immediate humanitarian assistance including the development of Standard Operating Procedures (of non-binding nature) in close cooperation with the United Nations Office for the Coordination of Humanitarian Affairs;

(8) to allocate adequate resources for the development and implementation of disaster management policies at all levels of administration;

(9) to collaborate with international partners to clarify their possible roles in supporting national disaster response plans;

(10) to consider, as appropriate, the development of bilateral/regional/multilateral legal arrangements/framework to facilitate and in line with disaster management and emergency response related international assistance;

(11) to improve communications protocols with international data warning providers (in

terms of 24 hour-per-day, seven-day-per-week notification and verification data input and warnings with all critical international data providers);

(12) to provide early warning information to ARF participating countries, which include seismic and sea level data, data on seismic origins and to link with other warning systems and to exchange data in the case of an emergency.

C. Emergency Response and Disaster Relief

(1) to consider, as appropriate, the development of ARF general guidelines on disaster management and emergency response for the use of both civilian and military personnel within the ARF participating countries and to ensure consistency with existing UN guidelines and ASEAN mechanisms on disaster management and emergency response, civil-military cooperation and other international capabilities;

(2) to enhance networking and coordination between national Search and Rescue (SAR) and other relief agencies of ARF participants, and with the International Search and Rescue Advisory Group (INSARAG);

(3) to promote coordination among donors, relief agencies, and the international community in carrying out short, medium and long-term rehabilitation, reconstruction and risk-reduction efforts led by the Governments of disasters-affected countries, in cooperation with the International Recovery Platform co-organized by the UN (UNDP, ISDR, OCHA and ILO), the World Bank, the International Federation of Red Cross and Red Crescent Societies, and the Asian Disaster Reduction Center (ADRC);

(4) to receive warning information and to coordinate with national disaster warning center of each country to maximize efficiency in emergency response and disaster relief.

D. Capacity Building

(1) to undertake research and education, as well as sharing of knowledge and expertise among ARF participating countries with a view to strengthening capacities in the field of disaster risk reduction;

(2) to strengthen national/regional preparedness and disaster management capability through education and training, sharing of expertise, desktop disaster relief simulation exercises and combined joint exercises in civil military operations;

(3) to promote networking, enhance coordination and establish exchange/attachment programs between and among ARF participants' emergency management agencies;

(4) to welcome and make use of the Multi-Donor Voluntary Trust on Tsunami Early Warning Arrangements in the Indian Ocean and Southeast Asia, which has been established on 26 September 2005 under UNESCAP administration for the establishment of an effective early warning system in the Indian Ocean and Southeast Asia.

ARF participating countries are to regularly review the progress of these and other efforts to further strengthen cooperation in disaster relief at the subsequent ARF Intersessional-Meeting on Disaster Relief as well as other ARF meetings.

**Kuala Lumpur
28 July 2006**

Non-proliferation and Disarmament

ASEAN Regional Forum (ARF) Statement on Non-proliferation

(2004)

(1) The Chairman of the ASEAN Regional Forum, on behalf of the ARF participants, issues the following statement:

(2) Recognizing that:

(A) The proliferation of weapons of mass destruction (WMD) in all its aspects and their means of delivery constitute a threat to international peace and security and a growing danger to all states;

(B) The proliferation of WMD and the spread of terrorist groups increase the risk that terrorists may gain access to WMD and their means of delivery;

(C) A multilateral approach to security, including disarmament and nonproliferation, contributes to maintaining international order, therefore every effort should be undertaken to uphold, implement and strengthen the multilateral disarmament and nonproliferation treaties and agreements to which ARF participants are States Parties.

(D) The support of international institutions charged respectively with verification and upholding of compliance with these treaties is of key importance.

(E) It is vital to prevent terrorists or those who harbor them from acquiring or developing WMD, their means of delivery, and related materials, and continued efforts to reduce this threat should be greatly encouraged.

(F) In the interest of international peace and security, ARF participants agree that it is vital that we prevent, with utmost vigilance and urgency, the proliferation of WMD, their means of delivery, and related materials.

(G) The effort to prevent the proliferation of WMD and their means of delivery requires a comprehensive approach in accordance with international law.

(H) Critical to such an approach is to encourage all ARF participants to comply with their respective nonproliferation commitments and disarmament obligations under the international treaties to which they are parties. They are also encouraged to adopt new measures as appropriate on effective export controls and on establishing and enforcing appropriate criminal or civil penalties for violations of such export control laws and regulations.

(I) The ARF has long recognized the threat posed by the proliferation of WMD and their means of delivery to the Asia-Pacific region and the need to uphold, implement and strengthen the multilateral disarmament and nonproliferation treaties and agreements to which ARF participants are states parties. These principles were reflected in the 1996 ARF Chairman's Statement, which referred to the ARF Seminar on Nonproliferation in Jakarta on December 6-7, 1996, and in subsequent ARF statements. The ARF commends Canada's proposal to conduct a seminar on export licensing in the next ARF cycle.

(J) The prevention of proliferation should not hamper international cooperation in materials, equipment and technology for peaceful purposes.

(3) The ARF supports, in line with Article 25 of the UN Charter, the adoption of UN Security Council Resolution 1540 on non-proliferation of weapons of mass destruction (2004) and presumes that all its provisions, having unequivocal supremacy over this Statement, should be effectively implemented. To this end, ARF participants will closely collaborate with each other and duly cooperate with the Committee of the Security Council established under Resolution 1540. This Statement is a contribution at the regional level to achieving the goals of the aforesaid Resolution.

(4) The ARF notes the progress that has been made by ARF participants in addressing proliferation concerns. The ARF encourages ARF participants to further enhance their efforts and commitments to prevent the proliferation of WMD and their means of delivery in a more comprehensive manner that takes into account ARF participants' resources and capacities. The ARF encourages ARF participants to make best efforts:

(A) To redouble their efforts to maintain and strengthen the disarmament and nonproliferation treaties, and for all States parties to these treaties to fully implement them in accordance with their obligations under these treaties.

(B) To enact or improve national legislation, regulations and procedures to exercise effective control over the transfer of WMD and related materials, while ensuring that such legislation, regulations and procedures are consistent with the obligations of States Parties under international treaties;

(C) To strengthen cooperation in sharing of information among ARF participants and with relevant multilateral and international organizations in order to deal effectively with proliferation of WMD and their means of delivery and related transfers;

(D) To take cooperative measures to prevent illicit trafficking in nuclear, chemical or biological weapons, their means of delivery and related materials in accordance with national legal authorities and legislation and consistent with international law; and

(E) To strengthen national legal measures, as appropriate, for criminalizing the illicit exports of equipment and technology that contributes to the proliferation of WMD, their delivery systems, and related materials.

(5) To accomplish these goals, ARF participants have decided to carry out the following cooperative actions, as appropriate and in accordance with international law, for strengthening measures against proliferation of WMD and their means of delivery:

(A) ARF participants will implement effective export controls and enforcement measures to control the transfer of materials, technology and expertise that can contribute to the design, development, production or use of WMD and their means of delivery, where necessary reinforcing their national authorities and capabilities toward this end, while ensuring that such policies and practices are consistent with obligations of States Parties to the international treaties. However, efforts to prevent the proliferation of WMD should not hamper international cooperation in material, equipment and technology for peaceful purposes.

(B) To this end, ARF participants recognize the utility of effective national export control lists as well as the need, where necessary, to rigorously enforce and further develop them, without affecting the rights to develop research, production and use of (nuclear, chemical and biological) materials for peaceful purposes.

(C) Given that safe and secure management of radioactive sources is very important in the current security climate, ARF participants will review their abilities to control radioactive sources and will make a political commitment to work toward following the guidance contained in the International Atomic Energy Agency's (IAEA) Code of Conduct on the Safety and Security of Radioactive Sources, or "Code".

(D) Agreeing that the denuclearization of the Korean Peninsula would contribute to the peace and stability of the Asia-Pacific region, ARF participants will continue to support the Six Party Talks to resolve the nuclear issue peacefully through dialogue.

(E) ARF participants will continue to enhance cooperation with the IAEA and the OPCW in order to strengthen international nuclear and chemical safeguards respectively, and to uncover networks that provide WMD-related equipment, materials and technologies illegally.

(F) All participants will foster regional dialogue and cooperation in order to strengthen a global response to this serious challenge and threat to international security.

(6) In addition, ARF participants decided that they will:

(A) Work actively with international cooperative mechanisms to provide, when and where possible, technical assistance to strengthen mechanisms against proliferation of WMD, their delivery systems and related materials and technologies, to ARF participants that request such

assistance; and

(B) Encourage the ARF Chair to explore with the ASEAN Secretariat, or, if established, an ARF Unit, whether it would be willing to record requests from ARF participants for assistance in implementing measures to strengthen their respective WMD national authorities and other mechanisms against proliferation of WMD, their delivery systems and related materials and technologies.

(7) ARF participants will review the progress of these and other efforts to strengthen nonproliferation of WMD in all its aspects and their delivery means at the 12th ARF Ministerial Meeting in 2005.

ASEAN Regional Forum (ARF) Statement Supporting National Implementation of United Nations Security Council Resolution 1540

(2007)

The Chairman of the ASEAN Regional Forum, on behalf of the ARF participants, issues the following statement:

Recalling previous ARF commitments, in particular the Jakarta Statement on Nonproliferation, adopted by the 11th ARF on 2 July 2004, to prevent the proliferation in all its aspects of weapons of mass destruction and their means of delivery and to support the adoption of United Nations Security Council Resolution (UNSCR) 1540;

Acknowledging the useful exchange of views during the ARF Workshop on UNSCR 1540 Implementation on 13-15 February 2007 in San Francisco as well as the UN Seminar on Implementing UNSCR 1540 in Asia and the Pacific on July 12-13, 2006 in Beijing,

Taking note of UNSCR 1673 (2006) as well as the report of the UN Security Council Committee established pursuant to resolution 1540 (2004) (1540 Committee) of April 2006, which, inter alia, encourages States, if and as appropriate, to provide additional information on national implementation as an ongoing process, including, for instance, the preparation of plans for addressing remaining measures to be taken to fully implement the resolution, taking into account the analysis provided by the 1540 Committee, and notes the important role of regional organizations towards experience-sharing and lessons learned in areas covered by UNSCR 1540,

Acknowledging that implementation of Resolution 1540, including reporting, remains a national responsibility, on the basis of national legislation, arrangements and regulations;

Determined to continue full co-operation with relevant international organizations, including the 1540 Committee, as recommended in UNSCR 1673 (2006) and wishing for ARF participants to serve as a positive example for the international community,

Noting the willingness of ARF participating States to fully implement resolution 1540 at

national, regional and global levels,

Recognizing that some ARF participating States may be in need of assistance in implementing the provisions of resolution 1540 within their territories.

ARF participants will endeavour to:

1. Provide, as and when appropriate, additional information to the 1540 Committee on national implementation as part of the ongoing process of UNSCR 1540 implementation, including, inter alia, in the form of a road map or action plan, as recommended in the 1540 Committee Report (S/2006/257);
2. Work toward practical capacity-building activities and cooperation in the ARF region to help participants meet their obligations under UNSCR 1540 and other WMD non-proliferation commitments, in full cooperation with the 1540 Committee, by, inter alia, promoting lessons learned, sharing experiences and facilitating the identification of assistance needs for national implementation.
3. Remain seized of the matter in the ARF in the future and may hold further exchanges of views on the implementation of UNSCR 1540.

ACKNOWLEDGEMENTS

China and Brunei Darussalam, as co-lead countries for the commemorative publication for the 20th ARF, would like to thank all ARF participants, the ARF Unit and the ASEAN Secretariat for their support to this important project which was approved by the 19th ARF. Our special thanks go to all those ARF participants who have contributed write-ups and photos and to the ASEAN Secretary-General for his Message to the publication. The publication was financed by China's donation to the ARF and produced by the World Affairs Press of China.

This publication aims to showcase the achievements of ARF in its 20 year history and raise awareness among the general public on the need for greater cooperation to turn the Asia-Pacific into a region of lasting peace, stability, friendship and prosperity. As a central pillar in the evolving regional security architecture, ARF has a great contribution to make to the fulfilment of this vision. Let's work together to make this happen.