



**UNIVERSITY OF THE PHILIPPINES
OPEN UNIVERSITY**

MASTER OF ASEAN STUDIES

RICO C. MACAWILI

**CONSTRUCTION OF AN ASEAN CONVENTION PROCESS: AN
AUTOETHNOGRAPHIC STUDY OF AN ADMINISTRATIVE FACILITATOR FOR
THE “ASEAN CONVENTION AGAINST TRAFFICKING IN PERSONS”(ACTIP)**

Thesis Adviser:

Dr. JEAN A. SALUDADEZ
Faculty of Management and Development Studies

27 October 2023

Permission of the classification of this academic work access is subject to the provisions of applicable laws, the provisions of the UP IPR policy and any contractual obligations:

Invention	☐ Yes or ☐ No
Publication	☒ Yes or ☐ No
Confidential	☐ Yes or ☐ No
Free	☐ Yes or ☐ No

Student's signature:

Thesis Adviser signature:

University Permission Page

CONSTRUCTION OF AN ASEAN CONVENTION: AN AUTOETHNOGRAPHIC STUDY OF AN ADMINISTRATIVE FACILITATOR FOR THE “ASEAN CONVENTION AGAINST TRAFFICKING IN PERSONS” (ACTIP)

“I hereby grant the University of the Philippines a non-exclusive, worldwide, royalty-free license to reproduce, publish and publicly distribute copies of this Academic Work in whatever form subject to the provisions of applicable laws, the provisions of the UP IPR policy and any contractual obligations, as well as more specific permission marking on the Title Page.”

Specifically, I grant the following rights to the University:

- a. Upload a copy of the work in the theses database of the college/school/institute/department and in any other databases available on the public internet*
- b. Publish the work in the college/school/institute/department journal, both in print and electronic or digital format and online; and*
- c. Give open access to the work, thus allowing “fair use” of the work in accordance with the provision of the Intellectual Property Code of the Philippines (Republic Act No. 8293), especially for teaching, scholarly and research purposes.*

 RICO C MACAWILI 28 July 2023
Signature over Student Name and Date

Acceptance Page:

This paper prepared by **RICO C. MACAWILI** with the title: **CONSTRUCTION OF AN ASEAN CONVENTION PROCESS: AN AUTOETHNOGRAPHIC STUDY OF AN ADMINISTRATIVE FACILITATOR FOR THE 'ASEAN CONVENTION AGAINST TRAFFICKING IN PERSONS' (ACTIP)** is hereby accepted by the Faculty of Management and Development Studies, U.P. Open University, in partial fulfillment of the requirements for the degree Program.

Dr. JEAN A. SALUDADEZ

Chair, Thesis Committee

28 July 2023

(Date)

Dr. GRACE J. ALFONSO

Member, Thesis Committee

28 July 2023

(Date)

Ambassador ELIZABETH P. BUENSUCESO

Member, Thesis Committee

28 July 2023

(Date)

Dr. JOANE V. SERRANO

Dean Faculty of Management and Development Studies

28 July 2023

(Date)

Biographical Sketch

This learner hails from Laguna where I spent my primary and secondary education at Biñan, eventually pursued an aviation related degree. I am a retired public servant and aviator.

This researcher was facilitator convener to the “*ASEAN Convention against trafficking in persons especially women and children*” until its *entry into force* and *socialization* where I found inspiration and gained level knowledge to endeavor this study.

A GOD fearing husband and father; a continuing learner...

Acknowledgment

To GOD who gives us strength; and wisdom generously provided for those who ask of Him. The tech support and same on all forms whom my wife and children facilitates.

The ASEAN Convention advocate *Framers* whom inspired and shared the level institution knowledge learnt.

To all UPOU ASEAN Studies Faculties-in-Charge and FMDS staff for their dedication to Open Distance Learning; and to all educator advocates behind UPOU for providing the opportunity to endeavor continuing education through ASEAN studies.

For the prompt response and resource assistance provided by the UPOU library staff. To the UPOU ASEAN Studies Professors and Associate Professors whom from the first day of student orientation to my thesis undertaking were exceptionally encouraging.

My sincerest appreciation is extended to the esteemed members of the *thesis committee*; *Dr. Grace J. Alfonso, Ambassador Elizabeth P. Buensuceso and Chair Dr. Jean A. Saludadez* for gracefully extending their valued guidance, institution knowledge, encouragement, kind thoughts, patience, and significant time shared to mentor on the facilitation of this research to its fruition.

Dedication

To GOD who gave me *another chance of life* and blessings. To my loving family whom provided me with all and relevant support.

To the ASEAN Convention *Framers* whose advocacy are to promote the welfare and rights of the vulnerable and marginalized peoples of the region; especially to the respective families of the late *Usec Joji “Madam Chair” Aragon* of DOLE, *esteemed Chair* of the ACTIP meetings; and former POEA Dir. *Robert “Atty. Obet” Larga* who ensured that the rights and welfare of vulnerable sectors are best represented in the *ASEAN Convention against Trafficking in Persons*.

Their exceptional dedication and advocacy to protect the rights and welfare of vulnerable and marginalized peoples especially the women and children of the ASEAN and Asian region are forever impressed upon the *ACTIP* - and immensely appreciated. Thank you for sharing *Madam Chair* and *Atty. Obet* with the *ACTIP PH Team* and *ASEAN family*. Their exceptional contribution to regional community building, and our ‘*substantive*’ memories with them shall forever be valued.

Few months before *she* passed, before a DFA meeting regarding the 50th ASEAN Anniversary, Prof Rowena approached me and conveyed encouragement to finish Asean studies. *Prof Rowena G. Layador* reflects the impetus of exceptional UP/OU educators and their advocacies extending her way to encourage a learner promoting the value of continuing education. Her valuable *work* on the “*ASEAN way*” is advanced upon this research.

To all UP/OU educator advocates whose *prime* and time have been shared with outstanding dedication to continuing education; your legacy is imbued on those who have carried and endured upon shared aspirations - for posterity, *Upang buksan*

ang kamalayan at pagsuring kritikal. Your endeavors, contributions, sacrifices and benevolence shall forever be appreciated and impressed upon us indebted learners.

Abstract

The importance to examine the ASEAN Convention is to identify the ASEAN Convention component-steps **and** realize the *Principles* underlying the development process **because** there is value in writing - the latent ASEAN Convention process as an academic agenda to generate ASEAN knowledge; **and** provide real world practical application to respond to the 2014 ASEAN *streamlining provision*. **Autoethnography is used both as a framework and methodology** to answer the research questions. The liberating *framework* of autoethnography affirmed the emancipating impetus of the ASEAN Convention to answer the research questions on the *Convention Process* sought **and** *Principles* underlying. As methodology, my autoethnography immersed *Convention* culture allowing me to experience the phenomenon first hand and write the culture experience as field notes serve as *the artifact*, the data to where information of the study is collected from.

Through autoethnography **the research questions** 1) what are the component-steps processes to develop an ASEAN Convention; and 2) what are the *Principles* underlying the *Process*? - are answered from the information acquired through my *Convention* culture experience. Autoethnography is an emancipating framework that enabled me as a researcher to convey my first-hand culture experience of the ACTIP to re-call, identify and write the ASEAN Convention Process **and** make known the *Principles* underlying the *Process*; in the context of an administrative facilitator for the ACTIP.

The **ASEAN Convention component-steps process** includes: 1) Affirming the Foundations, 2) Managing the Framework, 3) Shepherding the Member States to address *priority areas*, 4) Convening the Meetings **and** 5) Moving the *Way Forward* that includes Ratification, Entry-into-Force and Cross Pillar Cooperation through

Socialization. The ***Principles*** underlying the process (to correspond to the component-steps) are identified as: ASEAN tenets in consultation, non-intervention and consensus to uphold centrality; shared advocacies, shared responsibility; inclusiveness, extending highest level of cooperation for the best interest of the region, reciprocity, shared interest; socialization, and cross-pillar cooperation. Through the *Convention* process identified and *Principles* underlying revealed,

I have concluded that the *Convention process* is a manifestation of the ASEAN Ways specifically: the ASEAN tenets and *rules based multilateralism* referred as mandates to uphold centrality are observed and affirmed to form the foundations of the ASEAN Convention; Frameworks are indispensable enabler platform for policy development where priority areas are made its *Convention* development way forward through this regional policy tool; Shepherding requires the soft and physical infrastructure to capably *lead* other State shepherds thus not all Member States are shepherds to ASEAN Priority Areas; The Meetings are guided by the ASEAN tenets including conflict resolution – as observed Member States form sub-groups to discuss shared interests to form “*identity solutions*” and share their consensus to the *whole* group; That concerns/disputes are “*raised and returned*” to apprise Principals and Capitals in respect of their internal edicts to align to the highest interest of the region and; The Convention is best shared through socialization across pillars to harmonize all the regional efforts in a united work-plan. These observations demonstrate that *Principles* underlying are anchored on the fundamental institution tenets to uphold ASEAN centrality and reflect the ASEAN way. The **research contributions to ASEANOLOGY** have both academic and pragmatic facets. The academic impetus provides the written *Convention* along its

processes is to be made known; **and** the *Principles* underlying the Convention are revealed to affirm that institution tenets safeguards centrality that reflects the ASEAN Ways; and whilst pragmatic than theoretical, the written Convention has real world practical application as academic response to the 2014 “*streamlining provision*” of ASEAN.

Observations from 2014 to 2017 on Convention development were written as field notes that served as artifact and source data. The observed *Convention culture* identified the ASEAN *process* and was written as a *process guide*. The significant data were *themed*, tabled and processed to generate *principles* underlying. The *tabled interests* on frameworks, priority areas, shepherding, and culture events were analyzed as to their intra-relations and nuanced variance to make known the current state of *internal dynamics* - *Convention culture, the “Ways” and values* of ASEAN within the ASEAN Sector. The underlying bases on the phase of ASEAN were determined with the permutation of; basic line geometry and culture events subjected upon basic math. The Assumptions on the driver of the phase of ASEAN was analyzed. By tabling culture events and sifting its origins, affirmed the inherent quality – the nature of ASEAN practices further exposing the prevailing principle of ASEAN practices.

The research generated *the* written ASEAN Convention Process (guide). The written *Convention* imbued with Principle assumptions, affirmed the fundamentals of ASEAN. The foundations in *mandates* and *tenets* guide the Convention process to *uphold centrality*. These foundations reinforce the *enabling Frameworks* to process priority areas. Lead shepherds *diligently maximize* these available frameworks to *generate attendant frameworks* necessary for *Convention* development. Member States in their *shared advocacy and responsibility extend their highest form of*

cooperation to promote the highest interests of the peoples of ASEAN. The “Raise and return” dynamics form part of the inclusive culture dynamics to respect the interest of Principals and Capitals to observe non-intervention. Socialization of the Instrument is sharing regional responsibility to fellow advocates across Pillars. Cross Pillar Cooperation encourages harmonized efforts to address regional concerns and trail blazed institution precedence. Ratification and Entry-into-Force implies altruism for the highest interest of the region over nation. These ASEAN values and emergent ways hinged upon institution tenets to safeguard the rights of the peoples, provides ASEAN its Convention culture identity.

Keywords: ACTIP, Advocacies, Autoethnography, ASEAN / Convention, Centrality, Consensus, Consult, Culture / Identity, Cross-Pillar Cooperation, Emergent / Ways, Entry into Force, Frameworks, Institution Knowledge, Lead Shepherd, Mandates, Non-Intervention, Priority Areas, Shared / Responsibilities, Socialization, Tenets, Value/s.

TABLE OF CONTENTS

Title Page	i
University Permission Page	ii
Acceptance Page	iii
Biographical Sketch	iv
Acknowledgment	v
Dedication	vi
Abstract	vii
Table of Contents	xii
CHAPTER I: Rationale	1
Importance of the study	1
Contributions to ASEANOLOGY Research	2
CHAPTER II: Review of Related Literature	8
Accommodation of ACTIP in Indonesia Regulation	8
ASEAN Handbook on International Legal Cooperation in TIP Cases	9
Trafficking Victim Protection in ASEAN	10
ACTP and ASEAN	11
Dignity and Worth for All	11
CHAPTER III: Research Framework and Questions	13
Framework: Autoethnography as a Tradition	14
Research Questions	25
CHAPTER IV: Methodology	26
Study Site	26
Data Collection	27
Data Analysis	29
Artifact Convention Structure	32
Plausibility of Results	35
CHAPTER V: Results and Discussions	43
ASEAN Convention Process	45
Process Discussion – Autoethnography Account to Identify Principles	49
Underlying Assumptions	98
Principles Underlying upon the Underlying Assumptions	106
Culture that Drive and Direct the Phase of ASEAN	124
Principles Underlying the Convention Process	151

Bridging the Process and Principles: The Results	156
CHAPTER VI: Research Summary Conclusions, Implications/Recommendations	160
Research Summary	160
Conclusions	161
Emergent Ways	163
Rigor Explained through form and function	165
Implications/Recommendations	171
REFERENCES	175
APPENDICES	187
A. Artifact – Draft Convention Process Guide	188
B. Terminologies / Operative Words	203
C. ACTIP history	208
D. ASEAN Convention Against trafficking in Person (Gist)	210
E. ASEAN Plan of Action (Gist)	214
F. Bohol Work Plan (ASEAN Report)	218
G. ACTIP Ratification Status	220
H. Thesis Committee Recommendations	221
I. List of Convention Framers	224
LIST OF TABLES	
1. ASEAN Lead Shepherds/Prio Areas, and Convention Status	62
2. Established Technical Working Groups under the APSC	68
3. Established ASEAN Institution Framework under the APSC	74
4. Basic ASEAN Sector Body Institutional Framework	76
5. Established ASEAN Institution Framework of the HSU	80
6. Abstract of the Research Observation and Assumptions	98
7. ASEAN Shared Culture Event Dates	109
8. Possible meeting days in a year for Member States to meet	117
9. ASEAN Emergent Ways	121
10. Nature of Shared ASEAN Culture Event Dates	125
11. List of Specific Findings, Conclusions and Implications	131
12. Findings, Conclusions, Implications and Emergent Ways Gist	147

LIST OF FIGURES

1. China's Interest over South East Asia through the MOA illustrated	60
2. ASEAN Decision Building Process Line	118
3. UN Decision Building Process Line	119
4. Graphic Representation Bridging the Convention Process to Principles	156
5. Learning Form Component-Step 1	165
6. Learning Form Component-Step 2	166
7. Learning Form Component-Step 3	167
8. Learning Form Component-Step 4	168
9. Learning Form Component-Step 5	170
10. Auto Ethno Picture	174

Chapter I

RATIONALE

There is *value* in writing to seek the unknown - latent *ASEAN Convention Framework*, its *processes* and *principles* underlying. In its written **form**, the identified *Convention* process has real world practical application as an academic response to the *ASEAN provision to streamline ASEAN Processes* anchored from the “*Declaration on...Reviewing ASEAN Processes*” (asean.org, 2014). It serves as a pragmatic guide to the valued but latent *process* only known by the Framers. In its written form, the *process* has the real world capacity to lead ASEAN shepherds to generate enabler Frameworks and address the development way forward of ASEAN priority areas. In written form, it safeguards the institution knowledge of advocate *Framers* contributing to the academic impetus of ASEANOLOGY.

I was Lead Shepherd facilitator-convener to the 2014 – 2017 conduct of the *ASEAN Convention against Trafficking in Persons* development process. Within the ASEAN'S 55 years of regional existence and cooperation, particularly under the ASEAN Political Security Community Pillar (APSC), there had only been two (2) regional instruments created, ratified and entered into force as ASEAN Conventions; – the “ASEAN Convention against Terrorism”, *lead shepherded* by Indonesia, and the “ASEAN Convention against Trafficking in Person Especially on Women and Children” (ACTIP), *lead shepherded* by the Philippines.

This implies merit to generate the *process* knowledge albeit most relevant is to identify the *Principles* underlying the process to generate and ascertain the foundations of *ASEAN Convention* knowledge.

As contribution to ASEANOLOGY research, *The written process* is a measure to affirm the dynamics and *principles* underlying the nature of ASEAN *Convention* culture in latent frameworks, foundations, *shepherding*, cross pillar cooperation, ASEAN phases - central driver, *ways* emergent and identity among others.

The *process functions* to *promote* advocacies through *Frameworks* as institution platforms of regional cooperation. The *process* reveals the dynamics and *principles* on the nature of ASEAN *shepherding* in relation to the intricate role of leading Member States to address regional concerns. To *protect* the interests of States, Issues are “*Raised and Returned*” to Principals and Capitals as measures of *conflict resolution* that are hinged upon institution tenets of consultation, non-intervention to gain consensus to align with the highest interests of the region. The *process* further identified the *principles* underlying the phase of ASEAN *practices*, and the inclusive entity that drives and directs the phases. That culture articulated in its nature and frequency, subjected under the rigor of numbers provided the modality to identify ASEAN’S phases.

The *process* contributes to share the significance of *Socialization* as inclusive measure to value the acquired best practices across Pillars in shared responsibility to generate a harmonized work-plan to safeguard the welfare of the vulnerable peoples of ASEAN which trail-blazed and set precedence to Cross Pillar cooperation.

The *process* moreover demonstrates and emphasizes respect through awareness and level understanding of a State’s observed culture and diversity as it provides a way to facilitate processes – and consensus. It also affirms that the thin line that bounds consensus is – *one* Member State, hence validating the relevance

of every-“one” in ASEAN. Further contributions are indicated in the *Results* chapter of the study.

This study is an auto ethnography research to identify the *ASEAN Convention Step Processes*, devise a process *guide* and reveal the *Principles underlying* through re-collection of events, based on my account as head admin facilitator on conference management, in the context, experience and perspective of a facilitator–convener, public servant and ASEAN student for the conduct of the actual ACTIP Meetings. The word ‘*Step*’ is added to ‘*Processes*’ as a qualifier to modify its meaning on emphasizing the series of related undertakings or sub-processes that the identified ASEAN Convention encompasses.

The study’s intent is to obtain knowledge from the *process emergent* from the “ways” of the *Convention* through re-call and rigor, identify the *processes* of the ASEAN institution’s best practice, devise an ASEAN Convention process template to *seek the underlying assumptions* behind its development, rather than a focused interest study on the subject of its reference in human trafficking –which then provides the study’s limitation.

Rather than a procedure, I regard the *ASEAN Convention* as a process because the dynamics on the means to realize the intent is a “*would*” or “*could*” event rather than a “*should*”. A procedure is a series of undertakings that entails what is *prescribed* to realize the objective. The ASEAN Convention process with its tenets on consultation to achieve consensus is not a “*should*” course. The consultation dynamics demonstrate that consensus is achieved not by a “*must*” dictate but by the aspirations of an inclusive and harmonized “*could*” or “*would*” possibilities and realization.

The basis for identifying the *Convention* as a *process* resides on the position that these *Convention* events reveal the *ways of ASEAN– the process of Convention culture* exemplifying its identity which is academic rather than procedural. This is to establish a premise for the need to know how ASEAN identity is articulated through *ASEAN Convention culture*. This renders the study's relevance for researcher-learners of Member States to be equipped with *the* level knowledge of ASEAN organization structure development along its processes, and be guided on creating a regional legal instrument identified as an *ASEAN Convention* to understand its *Principles* underlying the *process*.

The development of the ACTIP Convention stemmed from the need to address the regional and transnational concerns on human trafficking. The ASEAN Member States conceived the feasibility of the *Convention* in 2007 and facilitated its development way forward until its *entry into force* in 2017 by which the Philippines' *instrument of ratification* was submitted through Ambassador Elizabeth P. Buensuceso, then Permanent Representative of the Philippines to ASEAN. As per the Ambassador and as staunch advocate of women's rights, she submitted the document to coincide with the International Women's month to emphasize and raise awareness on the significance of the "*instrument*". The history of the ACTIP is appended in this manuscript.

The ASEAN Convention "*process*" is not ascertained under the APSC. The *Framers* have actually engineered the *Convention step processes* whilst crafting a regional best practice only known within the Experts Working Group (EWG) circle *but had not established that knowledge produced - in writing* as an identified APSC institutional framework process unbeknownst to ASEAN practitioners and for future Convention developers to constructively exploit and employ. Organizational

psychologist Edgar Schein's thoughts conceivably summed - up and validate this research impetus to seek the knowledge on Convention process by expounding that *"Organizational assumptions are usually 'known', but are not discussed, nor are they written or easily found"* (Schein, 2004).

By design, the development of the ACTIP Convention is a process to produce a regional instrument for its intended purpose – this is the known assumption. However, the Convention Framers have also generated another level of that intended framework into an apparent platform to facilitate regional policy development; laden upon underlying assumptions to reveal the *Ways of ASEAN* and its identity through this Convention culture.

Attendant to the knowledge aspired; this study intends to bridge and substantiate that gap by first devising a *Convention template* as the source artifact – the knowledge emergent of the explained context process to seek the *Principles* underlying that shaped the ASEAN Convention and its progression. The template whilst more pragmatic than academic shall provide the *artifact* to acquire the theoretical – to form and reveal the research findings.

This *Convention process guide* is the collective institution knowledge of the *Framers* that has its relevance as institution framework to facilitate and address Member State's respective shepherded priority areas, having its practical regional application as platform for ASEAN policy development to shape the ASEAN intra organization landscape to further demonstrate organizational readiness, reinforcing this research relevance. The research' endeavor to develop a written *Convention process, promotes to establish this organization standard to foster ASEAN institutionalization of protocol infrastructure*, reflecting regional bloc's credence and

relevance, as partners for regional community building – however more significant are the *Principles* underlying that form and drives the process which shapes the relation of ASEAN across the region.

This aspired institutional standard tool for regional cooperation, determines the regional house rules, to where the regional players including *Dialogue* and *External Partners*, are subjected under the ASEAN tenets to align their interests congruent to the interest of the bloc, *reinforcing the ASEAN centric approach*. This validates the weight of ASEAN tenets and centrality to the *process* as significant. The research' applicability on regional policy development, shall provide future Convention developers, ASEAN practitioners and learners, the level knowledge on ASEAN processes, and significant sources of substantive institutional information, to promote policy development and enhance regional relations.

The ACTIP is anchored upon the *UN Palermo Protocol to address the Human Trafficking* mandate, as ASEAN'S regional response. Mandates are an important legal basis that serves as foundations required to initiate regional instruments and programs.

Since the *entry into force* and *socialization* of the ACTIP, there has not been an attempt to share the valuable ASEAN best practice of *Convention Development*, even at best to socialize it through an academic forum or research. Sharing the *Convention Framer's* institutional knowledge is a rational course and initiative to preserve and promote ASEAN'S best practice to collectively develop a regional instrument.

Moreover, during the finalization of the ACTIP on December 16, 2014, I asked from the ASEAN Secretariat on the next steps after the finalization of the documents,

*"Do we even have a manual for this process' "? The Secretariat replied "none", hence it was a eureka moment for me that the rational way forward is to make the most of this culture experience and ASEAN best practice to fill the institutional gap of a platform by identifying the Convention process and devise an *ASEAN Convention guide* to identify the *Convention's* underlying assumptions, to contribute on the knowledge production in ASEANOLOGY - from a facilitator-convener's perspective. The research objective therefore is clear, to (1) identify the *Principles* underlying generated upon (2) the creation and development of the *ASEAN Convention Processes* in its written form. "*Bring the ASEANOLOGY knowledge from your subject position...There is that kind of humility to bring it from your lens. You are speaking on behalf of conveners in ASEAN "* (Saludadez, 2022).*

Chapter II

REVIEW OF LITERATURE

The paper “**Accommodation of ACTIP in Indonesia Regulation** ” by Jevlin Solim is reasonably the relevant literature for this research as the research query sought segued to identify the *Convention* development process.

Whilst the intent of the literature is to identify the Indonesian measures of accommodating the ACTIP, the author provided the objective *overview* of the *history* on the ACTIP development relevant to the object of my research. Solim rendered an outline of how the ACTIP developed from concept to *entry into force*. This *outline* being said did not identify the *specific* proceedings that transpired during the culture event as it was not her intent, albeit is the object of *this* research. The structure of the *Convention* however which Solin provided identified the outline of my study’s intended research result.

Further according to Solim’s methodology, “*The method used in this journal is normative juridical. This approach requires **secondary data** that usually is used in the writing of normative law*” (Solim, 2019). Emphasize on the word secondary data. This should render relevance to this research *Framework* on **autoethnography** that is a participated **first hand culture experience** account of the subject *Convention*.

As per relevance to this study, the actual ASEAN Conventions against *Trafficking in Persons* and *Counter Terrorism* as related literature only provides the focused interest on the substantive provisions on how regional concerns are to be addressed. It renders indications of how the *Conventions* are of use - but does not provide the *step- processes* on how it was “*Framed*” for the facilitation of knowledge *process* generation.

Whilst the *UN step processes* as referenced literature provided the processes of a supra body's *Convention* protocol. Our ASEAN foundations in tenets differ in particular level(s), the non-intervention principles from that of a supra body, that directs the phase of *ASEAN processes*.

Moreover, though the research intent of Solin sought the accommodation of the ACTIP, Her *method* resulted to accommodate my *research end* to seek the *Convention* process, at least the outline of such. This actually validates the *structure* of my first- hand accounts – reinforcing integrity to this research.

The “**ASEAN Handbook on International Legal Cooperation in Trafficking in Persons Cases**” document is a study “*supported by the Australian Agency for International Development, AusAID, through the Asia Regional Trafficking in Persons Project (ARTIP)*”. (*asean.org, 2010*), which is the actual manifestation of the ASEAN **Principle** through Dialogue and External Partner's efforts to **cooperate** on **shared-interest** to curb regional human trafficking. This document pre-dates the ACTIP in its impetus to fill the void of a binding regional legal instrument to curb human trafficking. This document provides guidelines to address human trafficking which stresses the importance of **Frameworks** established. This document (in part answers) the research question regarding the sought *Principles* underlying the process of Dialogue and External Partner's shared-interest to cooperate on matters addressing human trafficking by filling-in the void of a Framework. This document also manifests an ASEAN tenet that whilst Dialogue and External Partners share the same interests, the Member States through have developed the ACTIP observing the **non-intervention tenet** disallowing any Dialogue and External partner to engage in the ASEAN Convention Development.

Trafficking Victim Protection in ASEAN: A study on the implementation of the ASEAN Convention against Trafficking in Persons, Especially Women and Children, in seven ASEAN Member States – ASEAN External Partner from Australia commissioned this study to assess the level of implementation of seven Member States of which methodology is to interview government and non-state actors to collect data. Relevant to my research, this study delves on the *way forward* of the process of ACTIP. This study's principle is to "*inform relevant stakeholders of the good practices...to respond to trafficking in persons under ACTIP obligations*" (AACT, 2022). My research **principle** includes related *socialization* or in AACT's case is sharing good practices to curb human trafficking. Whilst it provides like-principle to respond against human trafficking, it does not offer to explain the whole ACTIP process as it is not AACT's study intent; though provided the recommendation on the *way forward principle* of my study.

It is interesting to note that the same ASEAN External Partner made a *pre* and *post* study on the ACTIP. There are four ASEAN principles about these 2 studies. One is ***shared responsibility*** as the ASEAN external partner endeavored to fill the void by providing/recommending a framework in their predated study and ***moving the way forward*** of that established framework by providing the *post* ACTIP status of implementation of *Member States* according to *their* platform edicts. Another is ***non-intervention in which*** they can only provide recommendations and that they cannot interfere in our processes, as means and manifestation of ***centrality***.

The "**ASEAN & ACTIP: Using a Regional Legal Framework to Fight a Global Crime**" is a 2017 study by Liberty Asia to prevent human trafficking hinged on the ACTIP. The study provided a brief background of the ASEAN Convention Development which coincides with the author Solim's narrative that confirms my

autoethnography narrative on the *Convention* process. This study is referenced because of its relevance to the **way forward** of the *Convention*. Whilst the *Convention* is socialized across ASEAN Pillars, the internal edicts of every ASEAN Member State are tabled to correspond to the provisions of the ACTIP. This study (in part) answers the research question regarding the *Principles* underlying the process as the method implies the importance of **aligning national interests to the interests of the region**, that in turn demonstrate the *Principle* of **non-intervention** underlying the *Convention* process. This study also (in part) provided an answer to the research question on the *Convention* development steps that is the importance of an established **Framework** developed. Framework development is again emphasized as a platform to develop regional *Conventions*.

“Dignity and worth for all: identifying shared values between social work and Christian faith-based groups’ anti-sex trafficking discourse” This paper by author Logan Knight answers my research question regarding the *principles* underlying the process. Author Knight acknowledges that the “*process*” to curb human trafficking entails collaboration across *Faiths*. Akin to my study, an important *principle* behind the *Framework* effort of sharing the ACTIP is through **socialization** across Pillars of ASEAN. Socialization invokes the value of **sharing**. In the like regard of the author as implying a *cross-Faith* measure, is invoking **shared-responsibility** through **shepherding** via **cross-pillar/ (faith) collaboration** efforts against human trafficking. This is also a manifestation of the **inclusive** nature of the *process* that *concerns* (in my study are priority areas) by Faith groups does not discriminate against the nature of the victim's Faith but extends facilitation to address human trafficking across-Faiths. This Faith/Belief *element* as an institution **shared value** is actually a *Principle* affirmed underlying the *Convention* process.

The aforementioned literature(s) provides in parts the principles underlying to endeavor a *Convention* process. The study papers do not delve into the development *process* of their interest subject ACTIP/human trafficking as it is not their intent. This is to emphasize the need for my study to seek the unknown and identify the ASEAN Convention development process and reveal the *Principles* underlying such process.

This is also to emphasize that the intent to know the ASEAN Convention Process and know the principles underlying have not been studied if at all and not on the first person account, providing empirical value to this autoethnographic study.

Chapter III

RESEARCH FRAMEWORK AND RESEARCH QUESTIONS

Research Framework

Who stands plausible to make a study? Is it the learner who has the actual knowledge, and has practically lived with the culture experience as a participant of the study? Or the learner whose knowledge production is using conventional research methods on the same subject, and on whose validating method, is to interview that participant of that culture experience to give credence to his/her knowledge production?

Both can definitely generate the equal degree of aspired knowledge with credence on the purview applying their respective frameworks. However, the former using autoethnography can definitely and confidently expound the subject with his back stories of the culture event.

The means of identifying the ASEAN Convention process was done through re-collection of the ACTIP events - the development process of an ASEAN regional instrument. To appropriately derive a theoretical framework for this research, the modality of gaining the re-call knowledge as observed by the learner, and to what category of research re-collection is subjected to, was of utmost consideration.

“The underlying assumption of qualitative research is that reality and truth are constructed and shaped through the interaction between people and the environment in which they live” (Silverman, 2000; Freebody, 2003) In the case of this research, the knowledge gained from the ACTIP *Convention* was shaped within the *Convention* development environment; shared, lived and experienced with *Convention* developers.

With the research’ application on the methods of observation, experience, and level participation as the facilitator with *players* on acquiring ASEAN *Convention* knowledge, the apt theoretical framework is *recollection* and *rigor (writing)* through

Autoethnography. “Autoethnography is an approach to research and writing that seeks to describe and systematically analyze personal experience in order to understand cultural experience” (Ellis, Adams, Bochner, 2011). The culture practices experienced in the research’ case is the ASEAN dynamics on *Convention* development and its attendant forces guided by the tenets of the ASEAN.

“*Autoethnographers...emphasis on auto- (self), -ethno- (the cultural link), and -graphy (the application of a research process)*” (Ellis & Bochner, 2000) “*Rigor in the research process (“-graphy”) is emphasized...*” (Duncan, 200) “*Autoethnography allows researchers to draw on their own experiences to understand a particular phenomenon or culture*” (Mendez, 2015). The *Convention* process I observed drawn from actual participation in the ACTIP *Convention* was and is in itself an emergent *Convention* culture of the Member States collectively sharing their regional responsibilities to mind and bridge the gap, to attend the needs of the peoples of the region.

Autoethnography as a Tradition

“The intent of autoethnography is to acknowledge the inextricable link between the personal and the cultural and to make room for nontraditional forms of inquiry and expression” (Wall, 2006). Autoethnography in a ***traditional paradigm is a non-conventional*** form of qualitative research. “Autoethnography is dismissed for social scientific standards as being insufficiently rigorous, theoretical, and analytical...” (Ellis, 2009; Hooks, 1994; Keller, 1995)

The challenge for the framework is that “*Expert knowledge is socially sanctioned in a way that commonsense or personal knowledge is not. As well, how knowledge is produced and who produces it are important in how status is attributed*

to knowledge” (Muncey, 2005). The predicament is that whilst expert knowledge is conventionally accepted, the supposed level knowledge that I present as learner whose status is not of the expert kind, is equipped only of the experienced (ASEAN) *sharing-responsibility* kind.

I then posit an argument that whilst a traditional researcher (outside of the convention development circle or even outside of the purview circle) would correlate a particular theoretical framework to establish a scholarly relation to a purview, autoethnographers, such as I have already an available framework in autoethnography to convey that “*theory*” or premise (which is actually an existing ASEAN best practice) to an established institutional structure.

“In evaluating the quality of qualitative study, journals insist on researchers meeting certain expectations, which are largely based on the traditions of social science research” (Loo, 2017). However, “*conventional criteria to judge the quality of qualitative studies may not be applicable to autoethnographies*” (Sparkes, 2000).— Because *autoethnography* provides “*vital aspects of human experience that cannot be accessed using other available methods*” (Vryan, 2006)— The author’s back stories to back-up the claim.

Moreover, should the word *criteria be separate* for what is scholarly or otherwise? I realize that criteria/standards are set to uphold the integrity of the research process. But are standards not subject to development and progress? Is the deviation of Autoethnography a valid *grail* of research progression?

“Using them (conventional research) increases the probability of [acceptance] but they are not . . . evidence of greater—or lesser—truth value . . . than . . . writing using other conventions” (Richardson, 2000). The *criteria* imply that the author vulnerable to subjectivity is not able to observe and implement *rigor – objectivity* in

the study. This is what **this** research endeavors – to break that mold to realize the emancipating nature of autoethnography to convey the immersed experience upon this *liberating framework* upheld by integrity through rigor and fact-validation.

Tracy employed *credibility* and *rigor* as “*criteria for excellent qualitative research*” (Tracy, 2010). *Credibility* entails validation of the thick description of accounts. – The rich culture event in ratification where I claimed an account that Ambassador Buensuceso as then Permanent Representative of the Philippines to ASEAN, deposited in behalf of the Philippines, the *Instrument of Ratification* to the ASEAN General Secretariat; which is the enabling instrument for the ACTIP’s entry into force; this event is actually ASEAN history.

Rigor entails “*data and time in site*” (Tracy 2010). From 2014 to 3rd quarter of 2017 I was immersed in the culture experience that enabled my written field work to serve as data/artifact for this research; - that is backed-up by documented published ASEAN History. If these accounts on credibility and rigor serve as empirical evidence, then by the standards offered by Tracy, this meets the criteria of qualitative study.

Further, “*Empirical information by definition requires some real-world phenomenon to be studied, and if the policy has never existed it cannot have been*”(Rigterink,Schomerus 2016).There is plausibility to the *Convention* phenomenon because the ACTIP document actually exists. The challenge is the *plausibility of results* based on autoethnography accounts.“*Plausibility is not proof but is broader than most current definitions of evidence*” (Rigterink, Schomerus 2016).Plausibility therefore is a modality of providing the empirical information to the phenomenon.

This then I posit, I am steadfast in my claim that there is real world practical application for a written Convention process. What *empirical information* could *plausibly backup* my claim? Is there really a need for the *process guide*? – Critics can arguably say ASEAN SOMTC can do without the written process guide because there has been two precedents of *Convention* development without a guide. True.

However, the 2014 “*Declaration on Strengthening the ASEAN Secretariat and Reviewing the ASEAN Organs*”...“*To strengthening ASEAN’s institutional capacity to support the ASEAN Community building, **through streamlining and improving its work processes** and coordination among ASEAN Organs and Bodies*”(asean.org, 2014)**provides** not only *empirical information* but an actual **ASEAN mandate** to encourage action on my claim. This renders plausibility on my claim, which is “*broader than most definitions of evidence*”(Rigterink, Schomerus 2016)because it is not only **encouraged, it is even mandated** to be done as backed-up by the provision of ASEAN.

If and when tabled and approved by SOMTC, would the other bodies within and across Pillars benefit when this best practice is adapted to move their priority areas to *Convention* development way forward?...because this is *plausible*.

Autoethnography as a Process, “When researchers do ethnography, they study a culture's relational practices, common values and beliefs, and shared experiences for the *purpose of helping insiders* (cultural members) and outsiders (cultural strangers) better understand the culture” (MASO 2001). This research is to provide the future Convention Framers, practitioners and learners alike the level knowledge of the *Principles* underlying the Convention – and the *Process* itself. As it has practical application as a framework to facilitate regional concerns to protect the interests of the peoples of the region.

Autoethnography as a Product, “When researchers write ethnographies, they produce a “thick description” of a culture” (Geertz 1973; Goodall, 2001). The thick description of culture in this research can be associated with ASEAN’S rich *Convention process* history and the valued *Principles* underlying the Convention process.

“Emancipatory projects are better served by alternative knowledge production processes’ ’ (Wall, 2006). The challenge to re-call a regional practice is best undertaken by a participant who lived through the cultural experience of developing a regional document through this unconventional qualitative framework.

Autoethnography gives importance to the experience of the author against conventional inquiry as who ‘inquires’ this time is participant of that phenomenon. “*What I know matters*” (Wall, 2006). What I as the researcher knew (still knows) and experienced matters to stakeholders because the produced knowledge has that capacity to generate and develop indispensable regional policies.

What I as researcher gained, was (still is) an understanding of a specific ASEAN dynamics and transform that information into a practical skill to create a platform, aspired to be developed into step process, an institutional standard in the form of a regional *ASEAN Convention process guide*.

The *ASEAN Convention Framers* have shared their valued time and effort to provide a regional document to protect the rights and welfare of the ASEAN peoples. It would be a travesty for that institutional knowledge obtained by the convention *Framers* through convention development, not to be sustained and realized through an aspired *framework*. Autoethnography offers that opportunity for the research impetus on the way forward for that gained knowledge to be safeguarded.

I as researcher represents the present generation of ASEAN practitioners whose attempt to contribute to *ASEANOLOGY*, keeps the level knowledge on *Convention* development available, and is sustained in the aspired form of an *ASEAN Convention process guide* through knowledge production via autoethnography.

Autoethnography is conveying an experienced culture. Convention development is sharing a state's interest to align with the regional interest in a platform of an experts working group framework. So what the Member States Had done (and still doing) is aligning their culture interest into the ASEAN regional interest through a social assembly.

"The question [has been] raised about political and cultural representation—not only about who should represent whom but what should be the forms of representation in relationship to hegemonic practices" (Clough, 2000). Clough's thoughts on autoethnography best illustrate the comparison on the frameworks of autoethnography and convention development.

To "deconstruct" Clough's thoughts on autoethnography the following parallelism to ASEAN Convention development is inferred:

The political and cultural representation on the framework of auto ethnography coincides with the ASEAN Member State's representation of their brand of government and its attendant forces;

The form of representation and who shall represent describes the relevant sectoral body of ASEAN, in this case the advocates and practitioners of ASEAN against transnational crimes;

The hegemonic practices assumed is the *Convention* development practice that has not made its way forward as an established framework, and standard

practice in ASEAN is in the form of an ASEAN Convention process template. Hence writing about the *Convention process* and its way forward is imperative.

“Writing is a method of inquiry... although we usually think about writing as a form of “telling” about the social world . . . writing is also a way of “knowing”— a method of discovery and analysis. By writing in different ways, we discover new aspects of our topic and our relationship to it. Form and content are inseparable” (Richardson, 1994).

Writing the re-called *Convention* process is knowledge production. Information is generated from pocket elements which collectively lead to explore the possibilities of that information to be structured into a regional framework. This is an aspect discovered in the research, and the correlation to the researcher as actual participant produces an inquired outcome in the form of an aspired *Convention process guide*, substantive in its form and content function.

Through autoethnography, the *Convention process* is recalled, written, and analyzed. This safeguards the shared collective institutional knowledge of the *Convention Framers* on how the ASEAN advocates developed the significant emergent information on regional policy development.

“...Autoethnography is more authentic than traditional research approaches, precisely because of the researcher’s use of self, the voice of the insider being more true than that of the outsider” (Reed-Danahay, 1997).

“There is a direct and inextricable link between the personal and the cultural. Thus, rich meaning, culturally relevant personal experience, and an intense motivation to know are what typify and strengthen autoethnography” (Wall, 2006). First-hand understandings in an immersed culture phenomenon produce a rich

comprehension of information to which value is significant to the scholarly sector of the region to enhance regional relations and relevant policies.

After reading Wells' literature on autoethnography, my reflection on autoethnography is that the framework, unconventional as it is, does not follow a standard template of any study (it is its own convention). That knowledge is produced by my re-call of a cultural experience.

Whether it is to be validated by cross reference on documents, observation or interview (bi-combination or tri combination); the production of knowledge is primarily obtained through conveyance of and with culture experience. The predicament is to criticize recollection as research. Let us then de-construct these two terms.

“Re-search is to produce (and re-introduce) knowledge. Re-call is to re-collect one's thoughts; experiences and observations of a cultural phenomenon to convey that knowledge (already) produced, but are aspired to be re-introduced”.

Conventional re-search have expected nomenclatures to validate the study. The conventions of autoethnography are experiences conveyed with or without the *traditional* validating methods.

Who stands credible to make a study? Is it the learner who has actual knowledge, and practically lived with the culture experience as a participant of the study? Or the learner whose knowledge production is using conventional methods on the same subject, and on which validating method, is to interview that participant of that culture experience to give credence to his/her knowledge production?

Both can definitely generate the equal degree of aspired knowledge on the purview with their respective frameworks. However, the former using autoethnography can *definitely and confidently* expound the subject with his back stories of the cultural events. The reader's critical discernment is encouraged.

Juxtapose re-search with re-call; this study posits that whilst both have nuances on producing knowledge, both can definitely provide the deliverables of the study. I aspire to encourage future learners to discern the advantages of the non-traditional method of research in the form of autoethnography (when applicable) as an alternative knowledge generator.

Autoethnography is also sharing one's social responsibility to contribute to knowledge production of a particular purview. Likewise, this study is sharing the generated knowledge by the *Convention Framers* to enhance the status quo of the ASEAN institution to have a standard framework on *Convention* development.

"Ellis (2000) suggested a number of questions that can be asked to judge the value of a story, including "Can the author legitimately make these claims for his story? Did the author learn anything new about himself? . . . Will this story help others cope with or better understand their worlds?"(Wall, 2006) A participant of the culture experience can lay claim to a conveyed experience. I as a learner understood the value of recalling the ASEAN process in an attempt to promote the regional best practice. A process is best understood when the results are experienced by the intended recipients as planned to benefit the marginalized sectors of society.

"They (autoethnographers) are (the) sharing (of) new and unique knowledge that is useful and applicable in a broader context" (Wall, 2006). This research, similarly, shares a unique regional knowledge in *Convention* development that has its applicability within and outside the Sectors even across Pillars of ASEAN.

"Auto ethnography represents for many the right to tell their truth as experienced *without waiting for others* to express what they really want to be known and understood" (Mendez, 2015) - This renders the emancipating quality of Autoethnography.

The following literature forms to substantiate the liberating nature and approach of the *Framework* from where the ASEAN Convention in its emancipating impetus is processed and adapted as *Framework* in the research.

An Autoethnography on Learning Autoethnography - The author Sarah Wall presents an outlook on approaches unconventional to mainstream research as the study emphasizes individual experience on a subject practice and culture that does not follow typical conventions on research. “The author explores the state of understanding regarding autoethnography as a research method and describes the experience of an emerging qualitative researcher in learning about this new and ideologically challenging genre of inquiry” (Wall, 2006).

Autoethnography: An Overview - Authors Ellis C., Adams T., and Bochner A. provides a general idea on the framework of autoethnography. The literature provides starter knowledge on the framework as a process (on doing autoethnography) and product (on writing autoethnography). The literature also provides the approaches of autoethnography or how ethnography can be framed based on the writer’s purview. The literature also provides an overview of the criticisms and validity of the framework as autoethnography is a non-traditional framework of research.

Autoethnography as a Research Method: Advantages, Limitations and Criticisms - The objective of the article is to examine the framework of autoethnography as a research method. It describes the narratives and particular features of the framework. The literature also offers an evaluation on the different approaches to the framework as an unconventional method; also providing the advantages, limitations and criticisms as a non-traditional research framework.

Organizational Culture and Leadership - Author Edgar Shein provides a psychologist's view on organizational assumptions where the *apparent* seems not as such. Shein expounds that organizational assumptions offer knowledge apparent, presupposed existing, but are not reflected in any tangible form to be employed to the advantage of the organization. This gives the exact premise of this research to identify the knowledge produced by the Convention Framers to validate the produced knowledge' relevance through its underlying assumptions to understand and make the development way forward for its attendant regional application.

Research Questions

Based on the rationale presented, there is an apparent need to identify the ASEAN *Convention* processes. The ASEAN *Convention* processes articulated through a *template* whilst practical rather than theoretical shall serve as the reference artifact to generate ASEAN Convention knowledge to identify the *processes'* underlying assumptions.

The questions are structured relevant to the research objective surmised in the rationale.

1. What are the component-steps processes to develop an ASEAN Convention?

To answer the question, the *Convention* elements are recalled, gathered and identified through *autoethnography* to construct the step by step *process*. The ACTIP regional instrument contains the factor elements assimilated to the institution dynamics as regional practice on *Convention* development that made its way forward until its entry into force and socialization.

After the processes had been identified, the next rational question would then be;

2. What are the *Principles* underlying the Convention process?

“Underlying assumptions are the source of values in a culture and what causes actions within the organization”(Schein, 2004).The values cited by Schein are analogous to the tenets of ASEAN including Centrality which sets the standard and foundation that determines the manner and course of actions - as knowledge produced by the Framers of Convention development.

“The underlying assumption of qualitative research is that reality and truth are constructed and shaped through the interaction between people and the environment in which they live”(Silverman, 2000; Freebody, 2003).Through auto ethnography, the knowledge produced via Convention developed is the resultant of the course of actions lived by the Framers/Participants of this cultural experience guided and driven by the Tenets and Centrality of ASEAN.

Chapter IV

METHODOLOGY

“Why is your story more valid than anyone else's? What makes your story more valid is that you are a researcher. You have a set of theoretical and methodological tools and a research literature to use. That's your advantage. If you can't frame it around these tools and literature and just frame it as “my story” (Allen, 2006).

This autoethnography is a re-call on the *ASEAN Convention* process experienced and practiced by ASEAN advocates; and is a re-search on that process using methods relevant to the applied *framework*. This is an ASEAN best practice from a *Convention* culture experience conveyed as a research literature referenced and grounded from the relevant ASEAN *mandates* and related literatures.

This research sought the knowledge on *Convention process* and *Principles* underlying from the process. The framework in its non-conventional nature directs the methods of data collection and analysis.

Study Site – The place of study is where the Experts Working Group (EWG) Meetings were conducted. There were (nine) 9 EWG ACTIP Convention development Meetings that were conducted. Eight (8) of which were held in the Philippines and (one) 1 as shared responsibility held at Myanmar. A tenth (10th) meeting was held in Indonesia again as shared responsibility for the Convention's *legal scrubbing*. Related Meetings were the Leader's signing at the ASEAN Summit in Malaysia; with the Socialization and follow-up meeting for the sharing of the ACTIP documents were conducted in the Philippines.

The *Meetings' observed Protocols* on discussions were anchored upon the institution's tenets of consultation, non-intervention and consensus. Disputes are observed and settled by subscribing to the same tenets. Issues are *raised and*

returned to Principals and Capitals for their appraisal and approval. As observed, all Member States regardless of disputes have aligned their interests to the highest interest of the region to extend their highest form of cooperation.

Expert Working Group (EWG) Participants – The EWG Meetings were represented by *subject matter experts*/participants from relevant agencies primarily from the Foreign Affairs, Interior Department and their regional counterpart(s), Law enforcement, Justice Department, Labor and Employment, and agencies relevant to address human trafficking from all Member States; and the ASEAN Secretariat. The EWG, Legal Scrubbing, Socialization Meetings were Chaired by the Philippines as the ASEAN Lead Shepherd against human trafficking.

The Philippines is the ASEAN Lead Shepherd against human trafficking. I acted as the facilitator to convene the meetings from 2014 until its entry into force and Socialization in 2017. I took the helm to lead the PH *admin team* on said dates to see through the development, finalization and entry into force and socialization of the ASEAN Convention.

Moreover, this research is facilitated through the lens and under the context of a convener-facilitator, public servant and ASEAN studies student from the immersed *Convention* culture experience.

Data Collection – Observations from 2014 to 3rd quarter of 2017 on Convention development were written as field notes (See appendix A). I collected data to form as field notes. These field notes re-called the processes of the Convention development. The field notes were developed into the devised written *step-process* to structure both the *Convention* development steps *and* its narratives. The narratives describe the *Convention* culture event (steps) as it progressed.

At the same time that I facilitated the ACTIP, I was already an ASEAN studies student around the time (2015) the *Convention* was being developed. I took stock of the *Culture process* dynamics – laden with *Convention Culture* knowledge as intent; and devised the *same* into random field notes in practical application to incorporate the substantive information of culture experience in my research way forward.

“Ethnographers do this by becoming participant observers in the culture—that is, by taking *field notes* of cultural happenings as well as their part in and others' engagement with these happenings” (Geertz, 1973; Goodall, 2001). “The purpose of this description is to help facilitate understanding of a culture for insiders and outsiders, and is created by (inductively) discerning patterns of cultural experience—repeated feelings, stories, and happenings—as evidenced by field notes, interviews, and/or *artifacts*” (Jorgenson, 2002).

The *written form* of the Convention development served as the *artifact* – source data for the study. The identified Convention processes then provided me *the artifact* for to re-call accounts related to each *step-process*. The subject-interest from the narratives was structured as themed data. The *interests* now themed are organized into tabled information. This provided a system to; 1) gain an outline of the themed data and 2) analyze - compose a premise/thought for the *principles, processor ways* underlying to be known.

Themed *interests* in available frameworks, priority areas, shepherding, foundations and culture events (among others) were examined of how each or their element permutation developed the ASEAN *Convention* process to reveal *principles* underlying thereof.

In principle and practice, data collection is anchored upon the *framework* of Autoethnography to write the gathered information re-called from the immersed Convention culture experience.

Data Analysis –From the step-process narratives, are interest-subjects structured into themes and organized in tables. The tabled information provided a system for the sought *Principles* and *Ways* underlying best emerge. The tabled information was determined of their semblance and/or variation to reveal principles and way underlying specific to a step-process and/or related to other processes.

The *tabled interests* were analyzed as to their availability or non-availability [particularly the *Frameworks* (Table 3)] that affects internal procedures of the *Convention processes*. The roles of the *tabled* shepherds (Table 1) were examined as to their relation/affect to the *tabled* priority areas nexus to the Frameworks. The *tabled culture events* (Tables 7, 8, 9 & 11) were examined in their nature and frequency which revealed the phase, driver and *director/guide* of ASEAN on processes and practices.

Each step of the *Convention process* was examined to seek the principles underlying how their “way” came to transpire, such as socialization; as it is not in any *established* written protocol to immediately share the regional instrument, but it was *immediately* shared nonetheless. In this specific case *Inclusiveness* through *sharing* via Cross Pillar cooperation was determined as the *Principle* underlying the process. The empirical information for the claim is the Bohol work plan that enables this result as *plausible*.

When the subject-interest from the narratives was tabled, it was identified for their specific property to distinguish from the lot. It was done in an approach to single out a constant – a specific premise themed to reveal in whole or in part the *principle*

underlying as to why and how a process is such / why and how it transpired/came about. This is how the *process* is analyzed.

The phase of ASEAN was determined with the permutation of; basic line geometry and culture events subjected upon basic math. The culture events were tabled to seek semblance and/or variation or *anomaly* thereof. The events reveal *duality* in day and date. In simple terms ASEAN culture events have - Same events that were held at different dates *and* different events were held at same dates.

This duality resulted in determining the number of days in a year that ASEAN is able to meet and gain consensus. However, the numbers alone do not contribute to the phase. I utilized basic line geometry to place all Member States in a basic linear structure to illustrate that the inclusive tenet (specifically consensus) of ASEAN directs the phase of ASEAN processes; because from *Convention* initiative to its conclusion, all Member States (*in-line*) in inclusive nature are to concur within the *line* for the *Convention* to make the way forward. But what happened to the determined number of days was for nothing?

Having further analyzed the culture days, I once more tabled the culture days and found semblance. I then tabled to organize the culture events (table 10) as to their nature and *discovered the driver of ASEAN culture*. The Assumptions on the driver on the phase of ASEAN was analyzed by tabling culture events (table 10) and sifting its origins, revealing the property/nature of practices further exposing the predominant value of ASEAN practices.

"In autoethnography...it is determined by whether the (specific) autoethnographer is able to illuminate (general) unfamiliar cultural processes' ' (Ellis & Bochner 2000; Ellis & Ellingson, 2000).

The observed information from the five tables (Tables 1 to 5) was subjected to cycles of analysis until the central principle underlying the process was revealed. The data (observed information) was tabled [(Table 6) cycle 1] to determine the principles underlying. The interest information from the narratives of that table (Table 6) were again tabled [(Table 9) cycle 2] in a *man-method-machine* format which revealed another set of “Ways” emergent from the process. Through Table 10 the central quality of ASEAN Culture was determined.

The observation premise from Tables 1 to 5 led to table the culture event days of ASEAN [(Table 7) cycle 3] identified the actual number of days in a year that ASEAN can meet and gain consensus to which is illustrated in Table 8. However, to correlate these results to the assumption on ASEAN’S phase, Figure 7 (cycle 4) was developed to analyze and determine the *process* phase of ASEAN.

The list of findings to *conclude* the *process’ principles* and identify *implications* was tabled [(Table 11) cycle 5]; to where the findings were scaled down on themed interests (*in foundations, frameworks, shepherding...among others*) generated the collective *Principles* and “Ways” emerged from the *process* represented in Table 12.

The initial-collective observation/premise-information from Tables 1 to 5 was overall subjected to five (5) cycles of analysis to determine the *central* nature of *Convention* development making the most of the liberating framework of autoethnography.

To render ***plausibility of results, empirical information*** is provided for each interest themed finding-result because “*plausibility...is broader than most definitions of evidence*”. (Rigterink, Schomerus 2016)

This process-analysis renders the autoethnography in its qualitative nature as an enabling and emancipating framework devoid of the restrictive convention to

conform to standard(s) - capitalizing on an otherwise conventional framework rendering its relevance to theoretical abstraction and critical thinking". The plausibility of *results* will validate the *same*.

Autoethnographers ask: "How useful is the story?" and "To what uses might the story be put?" (Bochner, 2002). The use of the written Convention (story) is in its relevance of the revealed Principles underlying the process. Whilst it is more pragmatic than academic, the practical use of the devised Convention process guide is to pursue its impetus for the academic.

Provided is the re-called scaled-down adaptation of the Convention step-process structured from feasibility study to development and finalization, following the legal scrubbing, Leaders signing, ratification and entry into force as reference to the devised the **ACTIP Convention Process guide artifact**. The full accounts are explained in length within the *Research Results and Discussion* Chapter.

The ACTIP Process structure re-called:

1. An ASEAN Priority Area is determined;
2. A Member State, or the Lead Shepherd State tables the Priority Area through the Senior Officials Meeting (SOM);
3. Member States arrives at a consensus to raise the issue to the Ministers, through Ministers Meeting on Transnational Crime (AMMTC);
4. Ministers acknowledge the issue as priority, to direct the SOM to address the issue;
5. SOM advises the Technical Working Group on Transnational Crime (TWG -TNC) on priority area to conduct feasibility study;

6. TWG forms the Experts Working Group (EWG) on TNCs to conduct feasibility study;
7. EWG convene to recommend a “go” to the TWG-TNC;
8. TWG-TNC recommends SOM approval to ‘go ahead’ with the ACTIP;
9. SOM conveys approval, AMMTC conveys approval, Leaders conveys approval for the EWG Meeting to Commence convention development;
10. Series of EWG meetings are conducted;
 - a. A Working draft is developed by the Lead Shepherd the Philippines-Department of Justice (PH – DOJ) - head of the substantive team;
 - b. Alternate Working draft is developed by Singapore;
 - c. Delegates/representative of Member states are assigned for the meeting;
 - d. Meeting is Chaired by Lead Shepherd;
 - e. Discussion on the working draft – terminologies, sub areas of concerns, substantive topics within the series of EWG meetings;
 - f. Negotiations, consultations, leverage on aspired measures form part the dynamics;
 - g. Schedules are “determined by Member States” important cultural dates;
 - h. National interests align with regional interests;
 - i. Member States “raise and return” issues to Principals/Capitals for approval, to arrive at a consensus;
 - j. Singapore raises the way forward of their draft/(to be the working draft), AMS decides;

- k. The Singapore draft (in consensus) becomes the ASEAN Plan of Action (APA) for the ACTIP;
 - l. The APA is integrated into the ACTIP as its Implementing Rule;
 - m. Final Draft – Member States arrive at a consensus to finalize draft;
 - n. Legal scrubbing meeting is convened to “legally proof-read” the final draft;
11. Process of Leader’s (Heads of States) Approval;
- a. EWG presents final draft to TWG for approval;
 - b. TWG presents final draft to the SOM for approval;
 - c. SOM presents to the AMMTC for approval;
 - d. AMMTC presents to the Leaders for approval and signing;
 - e. ASEAN Leaders sign the Convention;
12. Entry into force procedures:
- a. Member States secure instrument of ratification through respective internal process;
 - b. Six (6) Member States submission on their instrument of ratification to ASEC are required for the regional instrument to be entered into force;
 - c. After 30 days when the 6th Member State had submitted the Instrument of Ratification, the legal instrument was “*entered into force*”.
 - d. Way Forward is to socialize the ASEAN Convention with stakeholders across relevant ASEAN pillars;
 - e. The ACTIP socialization meeting is convened.
 - f. A Cross-Pillar Work-Plan is developed to harmonize all regional efforts against trafficking in persons. This is called the “*Bohol Work Plan*”.

- g. Within the work-plan is a monitoring mechanism to check developments and the way forward of the ASEAN against transnational crimes.

To recap: data collection is anchored from the framework of autoethnography to write the immersed *Convention* culture experience. The data formed the narratives which are tabled to analyze and distinguish their purpose to reveal the *Principles* underlying the process. Rigor was employed as the data generated were subjected to repeated cycles of analysis. Autoethnography as a method enabled my Convention information from the written artifact to be tabled and analyzed enabling autoethnography as a framework and a method.

Plausibility of Results

To reinforce the integrity of research, the plausibility of (each themed) results is provided with empirical information to establish result plausibility. Plausibility of research *results* will confirm the *same*.

Value of a written ASEAN Convention Process – I claimed that there is “real world practical application for a written Convention process”. The 2014 “*Declaration on Strengthening the ASEAN Secretariat and Reviewing the ASEAN Organs*”... “*To strengthening ASEAN’s institutional capacity to support the ASEAN Community building, through streamlining and improving its work processes and coordination among ASEAN Organs and Bodies*”(asean.org, 2014) provides not only *empirical information* but an actual *ASEAN mandate* to encourage action on my claim. This renders plausibility on my claim, which is “*broader than most definitions*

of evidence”(Rigterink; Schomerus 2016)because it is not only *encouraged, it is even mandated* to be done as backed-up by the provision of ASEAN.

Frameworks Management – I stated that Conventions will not move its way forward without *Frameworks* as platform tools of regional cooperation to process priority areas. The present SOMTC status is that there are only 5 Working Groups of 10 priority areas. Established Technical Working Groups (TWG) indicates that 5 priority areas do not have Expert Working Groups (EWG) because it is the TWG that creates the EWGs. Therefore 5 Conventions are not making their way forward because it is at the level of the Subject Matter Experts within the EWG who develop the way forward of the Convention – providing the empirical information and plausibility.

Lead Shepherding Member States – I asserted that socialized Conventions indicate resolve to maximize available resources. The actual ACTIP Convention ratified and entered into force is empirical information to affect plausibility to the claim. The lead shepherd maximized the available resource offered by Indonesia as shared responsibility to sponsor the Legal Scrubbing of the ACTIP at Indonesia.

I averred in my discussion that Shepherded ASEAN priority areas are correlated. The empirical information provides: Arms (weapons) smuggled are tools to abet terrorism, human trafficking, wildlife and timber trafficking all of which are promoted through cyberspace accessory to cybercrime in money laundering – economic crimes, hence plausibility to result claim.

Autoethnography – Relevant to the claim from *ASEAN Core driver and guide*, “the observed respect for culture and diversity is reciprocated through consensus” *with* my observed “unpleasantries” demonstrated by advocates from a sector across Pillar during the socialization. My simple empirical information

is...Consensus; because *“The thin line that bounds consensus is only one Member State”*. Imagine two States (representatives) in disagreement, rendering the claim plausible.

Affirming the Foundations and attendant Dynamics – I have observed that ASEAN forms informal sub-groups during discussions to consult as disputes; are observed settled when like-minded neighbors consult to facilitate resolutions through informed decisions. The formation of the actual BIMP – EAGA and the Mekong Group clearly distinguishes the Maritime from the Mainland ASEAN. This actual sub-grouping is empirical information.

Convention Management in Phase of ASEAN; and Core Convention Driver and Guide – I claimed that “The phase and state of ASEAN affairs are best understood with empirical evidence - through *culture*”. By tabling culture events, this research has provided empirical information to reveal that the nature or prevailing quality central of ASEAN culture events is attributed to Faith/Belief. And that through linear structure ASEAN’S inclusiveness in consensus brings the initiative to its conclusion in a straight line where all Member States concur to pass the initiative through all members to gain consensus. Tenets (in non-intervention/sovereignty) direct the (Convention) *culture* (in consensus) that drives the phase of ASEAN processes.

Further on the Phases of ASEAN, I averred that whilst *“Culture drives the phase of ASEAN, the inclusive culture in (the specific) tenet of consensus directs the phase of ASEAN”*. This culture *study* provided empirical information that the prevailing nature of this ASEAN culture is Faith based/Belief.

To correlate the thoughts: therefore, I further claim that *“Faith/Belief imbued in our culture is the driver central to the phases of practices and processes of*

ASEAN". The empirical information to support the claim is this. The core reason for the foundation of ASEAN is our founding fathers' impetus to "*Keep the Faith*". ASEAN'S founding father's impetus to prevent communism – a Godless ideology from spreading in our region. Our *shared history* has driven our ASEAN'S founders to keep our sovereign, our way of life – our ASEAN culture safeguarded from all (foreign) threats and its attendant forces in all its forms; to liberally practice our culture – to "keep our faith", providing plausibility to result.

Moving the Ways Forward through Socialization and Cross-Pillar Cooperation – I asserted that the "The value of socialization is in its inclusiveness. Its attendant force is shared responsibility". The documents were shared with relevant bodies across pillars as an inclusive measure. The latter shared their acquired regional best practice through establishment of a harmonized work plan. For socialization and cross pillar cooperation, the one empirical information to affect the plausibility of this result is the actual Bohol work plan.

The following documents are *means –ways* to make sense to develop and identify the written Convention Process *and* Principles underlying that is anchored primarily on Mandates and *Frameworks* reflecting the impetus of the research to seek the unknown *process* and *principles* that shaped the ASEAN Convention.

UN Handbook on Treaty Development - As to the relevance to the intent of my research, the handbook emphasizes the value of a written framework for Member States to be guided on the approach to Treaty development. From the archives of the United Nations, the UN literature titled the 'Treaty Handbook' (UN, 2012), was prepared by the UN Treaty Section of the Office of Legal Affairs. The handbook is a "practical guide to the depository practice of the Secretary-General and the registration practice of the Secretariat...It is presented in a user-friendly format with

diagrams and step-by-step instructions, and touches upon many aspects of treaty law and practice. This handbook is designed for use by States, International organizations and other entities” (UN, 2012). It is a comprehensive document with specific guidelines to develop a UN treaty.

UN Convention against Transnational Organized Crime and the Protocols thereto - This literature serves *the* mandate to cascade supra mandates into regional application such as the ACTIP to where my research specific of its *processes* to determine the intent result of *Practices underlying* is anchored upon. The supra framework against transnational organized crime, where the "Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime” (unodc.org, 2004) is contained. The UN protocol against human trafficking is the ASEAN region’s benchmark to develop the ASEAN’s response to this protocol.

ASEAN Charter -The Charter represents the authority to engage *partners* through *Frameworks* advocated in my research. The Charter supports the tenets from where queries on *Principles* underlying are grounded upon. The regional framework of the ASEAN bloc which reinforces the institution’s relevance to contribute to intra and inter regional community building, as this framework provides the bloc *its* “legal personality” (asean.org, 2020) to engage with Dialogue, External, and like-minded partners on matters relating to regional peace, development, and community building.

ASEAN Political Security Community Pillar Blueprint -The framework of the ASEAN Political Community Pillar “to ensure that the peoples and member states of ASEAN live in peace with one another and with the world at large in a just, democratic and harmonious environment”. This Blueprint also adopted a

comprehensive approach to security and an outward-looking approach in ASEAN external relations". (asean.org,2016) This forms the regional guide of State actors to conduct supra and intra relations including the APSC on the *time and results* bound endeavors of community building. This encourages Sectors to engage across Pillars to move the way forward of work-plans that are incorporated in the results of my research.

ASEAN Convention against Trafficking in Person (ACTIP) - This serves as the benchmark of my research intent in terms of identifying the Convention *process* to reveal the *Practices* underlying. A framework of ASEAN "to establish a regional instrument that deals especially with trafficking in persons as a legal framework for regional action in preventing and combating trafficking in persons, including the protection of, and assistance to, victims of trafficking in persons" (asean.org, 2015). This instrument is ASEAN'S regional response to the UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children.

ASEAN Plan of Action (APA) - This document validates the result of the inclusive nature of culture identified in the research for lead shepherds to listen to the alternate voices of reason. With the ACTIP as the benchmark document, all regional aspirations to combat human trafficking is translated into this action plan for the ASEAN Member States "to effectively address these challenges so as to progressively prevent, suppress and punish all forms of trafficking in persons including the protection and assistance to victims of trafficking in the region and work towards an enhanced comprehensive and coordinated regional approach to achieve this objective" (asean.org, 2021).

ASEAN Documents on Combating Transnational Crimes and Terrorism - The document contains relevant data on the priority areas, lead shepherds and available

frameworks that reveal the actual state of *Convention* affairs vital to identify the *Principles* underlying sought in my research. This document under the ASEAN Political Community Pillar is the “compilation of ASEAN Declarations, Joint Declarations, and Statements on Combating Transnational Crimes and Terrorism” (asean.org, 2012). This is a reference document for ASEAN practitioners, advocates, and learners on matters relating to, and addressing the regional concerns on transnational crime and terrorism in all its form.

ASEAN Convention on Counter Terrorism - This document is confirmation to the diligence, and of Lead *Shepherd(s)* in their resolve to develop the way forward of priority areas that is cited as finding in this research. ASEAN framework where the Member States reaffirm “that terrorism cannot and should not be associated with any religion, nationality, civilization or ethnic group; in “strong commitment to enhance cooperation in countering terrorism which covers the prevention and suppression of all forms of terrorist acts” (asean.org, 2021). This regional instrument is one (1) of only two (2) ASEAN Conventions developed under the ASEAN Political Community Pillar in ASEAN’s 55 years.

Declaration on Strengthening the ASEAN Secretariat and Reviewing the ASEAN Organs - This research is in part benchmarked on this mandate as emphasized in the value of writing the *Convention process* to respond to this provision. The ASEAN Heads of States highlighted and expressed commitment “to strengthening ASEAN’s institutional capacity to support the ASEAN Community building, through streamlining and improving its work processes and coordination among ASEAN Organs and Bodies” (asean.org, 2014). This provision provides this research the benchmark to recommend the ASEAN Convention template as the academe’s response to streamline and improve the processes in ASEAN.

ACTIP Bohol Work Plan - This document is validation to the inclusive cross-pillar socialization of the ACTIP which form a *Principle* underlying the process in this research. The 2017 Bohol TIP Work-Plan is the way forward document of the ACTIP and APA. The Work-Pan harmonized all the ASEAN regional efforts against human trafficking across all Pillars into a matrix chart. This plan is equipped with monitoring measures to ensure all efforts against TIP are making progress.

Chapter V

RESULTS AND DISCUSSION

“The framework that directs the regional order is the very same framework that delegates superpowers as regional partners subjecting such to align their interest and conform to ASEAN tenets, empowering ASEAN as a relevant bloc central to regional development in its entire purview – providing relevance to established frameworks.”

This research is an administrative facilitator’s account on the *ACTIP Convention* development process to generate the relevant ASEAN knowledge through the identified underlying assumptions gained from the empirical construction of the *ACTIP step processes framed through autoethnography*.

“Subject and author positioning is important” (Alfonso, 2022) *“Establish your position as autoethnographer”* (Buensuceso, 2022); *“Qualitative research celebrates the subject position”* (Saludadez, 2022). The title celebrates the value of subject and author *convener* position within the institution dynamics to seek, produce, and at the very least confirm and re-introduce the existence of such *ASEAN Convention* knowledge which has not been since identified – the underlying assumption that is not forced to emerge but is known and revealed through the *“process”* with rigor - in *“terms of how the ASEAN way was played out”* (Saludadez, 2022).

The *ASEAN emergent way* has binary significance of the *empirical ASEAN way*, and the emergent knowledge produced from the *ASEAN Convention Process* as *revealed* through the *auto ethnography process* of construction.

The research objective in essence reflects the impetus of the research questions to reveal the underlying assumptions – the knowledge generated on

Convention development through the empirical construction of the identified ACTIP process through auto ethnography to make known the *ASEAN emergent way*.

“Auto ethnography is not only recalling; it is also the use of data. Be creative...what breadth of autoethnography will you employ, your draft becomes your data” (Saludadez, 2022).

The research methodology to produce *ASEAN Convention knowledge* was accomplished primarily through the *framework* of auto ethnography. Field notes drafts served as artifacts to *validate* the re-call of the *ACTIP* culture experience.

The *ACTIP* history was written and appended to *substantiate* the field notes and culture experiences re-call. Relevant literature were referenced and/or cited to *confirm* accounts. Thesis Committee recommendations were likewise referenced and cited to guide the framework process.

“Have an outline of that process because it is the practical side of it...exactly your draft process will be your data because those are the artifacts” (Alfonso, 2022).

In this research' case, the *draft ACTIP Convention step processes* I outlined and devised from my years immersed in the convention culture experience with advocate framers served as *reference artifacts* to seek and reveal the *Convention's* underlying assumptions through the identified ACTIP processes.

Recalling *Research Question 1* - What are the component-steps processes to develop the Convention? To answer the question, the ACTIP convention process was re-called. The recall on events and dates were provided in the *history* segment of this paper.

“Methodology and data are important and how the autoethnographer figure in it” (Saludadez, 2022). The *Data* acquired from the draft process are in ways facilitated by the autoethnographer as convener to the *meetings*. As facilitator to the

culture experience, the same was a level contributor to the development and conclusion of the *convention design's* post ratification process.

I with the *researcher team* advocated convening the related meetings for the way forward of the (1)immediate socialization of the ACTIP in 2016; and (2)development of a harmonized work plan in 2017 on all regional efforts against trafficking in persons now known as the Bohol Work Plan.

The research did not delve into the substantive contents of the *ACTIP Convention manuscript*. The substantive contents are available within the ACTIP manuscript which can be accessed and reviewed by future ASEAN Convention developers, researchers and practitioners. The answers to research question one (1) are as follows:

The ASEAN Convention Process

Component-step method Pre-Convention requisite: An ASEAN Convention is anchored upon a *mandate* - a legal basis to cascade the mandate into the region. In the ACTIP's case the UN Protocol against Trafficking in Persons serves as the supra mandate. The ASEAN Charter has the legal personality to cascade the UN mandate to the region by developing the ASEAN Convention.

The development of the Convention is grounded and guided upon the institution tenets of consultation, consensus and non-intervention to uphold and *manifest*ASEAN centrality.

The mandates and the institution tenets upholding centrality therefore constitutes to 1) **affirming the foundation** of the Convention which is the *first component-step* on Convention development.

The ASEAN Convention Process starts with a priority area that is shepherded by a Lead State. In the ACTIP's case the Philippines is the Lead to Shepherd the Member States to the way forward of Convention development. 2) **Lead Shepherding the Member States** is the *second component-step* of the Convention process. Not every Member State leads a priority area. The availability of a Member State's soft and physical infrastructure is necessary to capably lead the region to the development of the Convention. The lead shepherd uses the available Framework as platform to *process* the priority area to the *Convention* development way forward. 3) **Framework Management**, establishment/development is the *third component-step* to develop an ASEAN Convention. The Experts Working Group (EWG) Framework is formed by the Technical Working Group (TWG) to develop the *Convention*. The Senior Officials (Meeting) advises the TWG to create the EWG which is directed by the Ministers (Meeting), through the approval of the ASEAN Leaders (Summit); these tiers are the necessary ASEAN Frameworks to develop the *ASEAN Convention*. This emphasizes the importance of one Framework to advise another and *create* an ad hoc EWG Framework that is the "*foundry*" for Convention development. Frameworks generate attendant Frameworks.

With the Foundation affirmed, Frameworks established the lead shepherd tables the priority area at the Senior Officials Meeting. The Senior Officials forwards the proposal to the Ministers through the Ministers Meeting. The Ministers raise the proposal to the Leaders through the ASEAN Summit. The Leaders approve the proposal and direct the Ministers to develop the Convention. The Ministers advise the Senior Officials to proceed with the development. The Senior Officials inform the Technical Working Group to create the EWG to develop the Convention.

The ***EWG Convenes the Meeting – the4) Convention Meeting Management*** proper which is the fourth component-step to Convention development.

The lead shepherd presides as *Chair Of* all EWG Meetings. Representatives from relevant agencies of Member States participate; 2 Member States are seated at the table to represent their State. Assisting delegates sit behind their representatives. Representatives from the ASEAN Secretariat sit adjacent to the Chair for smooth facilitation of the Meeting.

The Meetings are guided by the institution tenets of consultation, non-intervention and consensus. These tenets also served as a guide to disputes over issues as *conflict resolution* mechanisms. An issue may be parked and consulted. The issue is again raised after consultation and eventually resolved. The observed *conflict resolution* measure I have observed in the ACTIP is that nearest neighbor States form sub-groups to consult and arrive at an “*identity solution*” that is shared to the whole group in consensus. Nearest neighbors have shared history and interests which identify them in sub-groups.

The EWG Meetings and related meetings may be sponsored by a Member State(s) other than the Lead State as shared responsibility. The Lead Shepherd, however, will preside as Chair of the Meetings.

Moreover, Issues are “*raised and returned*” to Principals and Capitals for their appraisal and aligns their national interests (edicts and appropriations) to the best interest of the region as extended highest form of cooperation conveyed through consensus. The raised and returned principle is one form to resolve conflicts. In the case of the ACTIP, a *Working Draft* and an *Alternate Draft* is tabled for the consideration of the *Body*. The alternate working draft I opine is the alternate voice of

reason of fellow Member States. The Working draft made its way forward as the ACTIP and the alternate working draft made its way as the ASEAN Plan of Action. The APA is an inclusive measure to hear all Member States voices of reason – Inclusiveness this is how a Shepherd Leads.

Updates are provided (officially) to the hierarchy of Frameworks on their scheduled Meetings. The proceedings of the Meetings are documented by the ASEC and lead shepherd secretariat to inform the tier Frameworks of the Meeting development as a measure of *reporting and monitoring*.

When all provisions are agreed upon by the Member States, the draft is finalized. The *Finalized ASEAN Convention Draft* is subjected under “*legal scrubbing*”. This is to ensure that the regional instrument is void of any potential legal issues. Legal representatives from Member States “*legally proof read*” the Convention.

The Document is raised through the tier Meetings Framework. After the legal scrubbing of the finalized draft Convention, the EWG forwards the draft to the TWG. The TWG raises the document to the Senior Officials for their approval. The Senior Officials forward the document to the Ministers for their adoption. The Ministers raise the ASEAN Convention to the Leaders for their adoption and signing.

5) Moving the Way Forward of Ratification, Entry into Force and Cross Pillar Cooperation through Socialization - The Document is now subjected to the internal *Ratification process* of Member States. After 30 days when six (6) Member States have submitted their instrument of ratification to the ASEAN Secretariat, the Document shall be *Entered-into-Force*.

In the ACTIP’s case, the Lead Shepherd immediately *socialized* (shared) the ASEAN Convention to all relevant Sector(s) *across Pillars* to harmonize the regional

effort into a united work-plan to protect the welfare of the peoples of ASEAN. This **Way Forward** in socialization and cross pillar cooperation is the *fifth component-step* to *Convention* development.

The *draft ACTIP Convention step processes* devised as reference artifact of this study is appended (See Appendix A). The draft Convention process is an autoethnography endeavor to administratively organize an institutional approach to facilitate and develop a *Framework Convention*.

“See the thick description of the convention process” (Alfonso, 2022). *“The thick description of the process is rooted upon the knowledge production in principles underlying derived from the rich collective culture and values of ASEAN processes history and dynamics”*.

The very existence of the *draft process* as *the artifact* suggests a level underlying assumption. That participation to culture experience is *central*, in Framework’s nature on immerse culture experience, the study provided a documented system - in writing to structure the re-called culture experience *Convention* process to seek, know and reveal the underlying assumptions because - *“Writing is also a way of knowing”* (Richardson, 1994).

Accounts of the Convention Process to identify the *Principles* underlying

Documentation of the ASEAN Convention process is generating *substantive* artifact contributive and significant to ASEANOLOGY because within the draft processes are the *culture convention history* along with its attendant forces and nuances generated and explained. *“They (autoethnography) are sharing new and unique knowledge that is useful and applicable in a broader context”* (Wall, 2006).

There is therefore this reinforced value in documented culture participation – in *autoethnography*, to have recorded the culture history participated, as to how and why the assumptions were generated through this *central* framework. *Writing to draft the Convention process is to document and provide fundamental ASEAN information as record information/evidence of the event. Autoethnography therefore is a “process” of and by documenting the Convention Culture history process participated and facilitated to seek, know and reveal the convention’s underlying principles; and a “product” as the documented evidence on Convention processes drafted to reveal how practitioners are addressing the needs of the peoples of ASEAN. “Autoethnography is both a process and a product”*(Ellis, Adams, and Botchner, 2011). My autoethnography re-call account and documentation serves as a *process*. The principles underlying how regional concerns are addressed as deliverables of the framework process serve as the product.

“The interest here is to be able to understand what brought the steps” (Saludadez, 2022). The way forward of an endeavor is effectively driven by learning to *understand* the history of the undertaking. In this study’s case, the effective *process* of learning its *Convention* history was through the framework of auto ethnography.

That by living through the culture experience, I’ve gained an institution understanding that the *Convention* history to the current state of *Convention* affairs was brought - and is still being directed by collective tenet culture dynamics of ASEAN and its advocates.

“The underlying assumption of qualitative research is that reality and truth are constructed and shaped through the interaction between people and the environment in which they live”(Silverman, 2000; Freebody, 2003).

Meaning that all actions taken and that had ensued, developed into the present state of *Convention* affairs, and were collectively driven by the institution centric approach bearing the tenets of ASEAN as its compass to guide the development of the regional instrument as the platform framework of cooperation to benefit the peoples of ASEAN – all within the culture environment of *Convention* development.

“Ethnographers do this by becoming participant observers in the culture - that is, by taking field notes of cultural happenings as well as their part in and others' engagement with these happenings” (Geertz, 1973; Goodall, 2001).

In this research, the *Convention* history was referenced to validate the *convention* process I drafted and devised as a field note *artifact*, which served as primary written autoethnography benchmark to generate the underlying ASEAN knowledge. Knowledge production is moreover guided by the *thesis committee* recommendations which was carefully transcribed and developed into a matrix.

From the history referenced, I came in before the 4th Experts Working Group (EWG) (2014) in time to be at the *convener's* helm to prepare for the conduct of the 4th EWG meeting. Albeit coming in the *ACTIP* community before the 4th meeting, I learned through the auto ethnography framework, reviews of the previous meetings and the *history* of its regional initiative, on how the coming meeting aspired to be conducted to its development way forward.

“When researchers do ethnography, they study a culture's relational practices, common values and beliefs, and shared experiences for the purpose of helping insider's (cultural members) and outsiders (cultural strangers) better understand the culture” (Maso, 2001).

An ASEAN *Convention process* is initiated with a mandate. Mandates are reflection of the collective aspirations of a culture or group thereof based on their common and shared values reinforced by experiences, devised as mechanisms to enhance and or maintain a prevailing system.

The supra mandate to endeavor an ASEAN Convention is hinged upon the UN's Protocol against human trafficking; "*States Parties shall establish comprehensive policies, programmes and other measures: (a) To prevent and combat trafficking in persons; and (b) To protect victims of trafficking in persons, especially women and children, from revictimization*". To include "*States Parties shall adopt or strengthen legislative or other measures, such as educational, social or cultural measures, including through bilateral and multilateral cooperation, to discourage the demand that fosters all forms of exploitation of persons, especially women and children, that leads to trafficking*" (unodc.org, 2004). These supra mandate support ASEAN'S response to develop the ASEAN Convention against Trafficking in Persons.

The draft ASEAN *Convention* devised through autoethnography asserts an Identified ASEAN best practice developed in this research as an artifact benchmark framework. This manuscript is hinged from an ASEAN mandate specifically the 2014's "Declaration on Strengthening the ASEAN Secretariat and Reviewing the ASEAN Organs" which states "**REAFFIRMING our commitment to *strengthening ASEAN's institutional capacity to support the ASEAN Community building, through streamlining and improving its work processes and coordination among ASEAN Organs and Bodies, enhancing the conduct of ASEAN's external relations and strengthening the ASEAN Secretariat***" (asean.org, 2014) is where the research is anchored upon this ASEAN mandate.

Mandates serve as a legal basis and indispensable foundation to develop an ASEAN *Convention*. Mandates are mechanisms and *regional legal instruments to develop - regional instruments*. Mandates hold true to its legal form to affect its legal function and provide its deliverables as anchors to necessary frameworks.

A strong foundation therefore to a regional initiative is its legal basis as benchmark, especially when the basis is in pursuit of an advocacy to protect the rights and welfare of the region's peoples.

The first step of the Convention process is to understand and ***affirm the foundations*** of the ACTIP. The Convention has its roots from a supra entity's mandate particularly from the UN to protect the rights and welfare of women and children from human trafficking.

The premise here is that actions and initiatives from a supra *umbrella* entity, not directly housing "*the ASEAN*" but all its member states as signatories to the UN, have an impact on endeavored advocacies as like-minded regional blocs to address and protect the vulnerable peoples of various regions against human trafficking.

The ASEAN with this referenced mandate then cascaded this endeavored advocacy into the region to develop the ACTIP in a process unique to the bloc cascading the relevant UN mandate into a region centric endeavor. How then is the knowledge produced as emergent?

Whilst it would look more practical than theoretical for ASEAN to share the regional responsibility and cascade a supra entity's shared endeavor, the *process* of how the ACTIP regional instrument was developed is the antithesis of its *origin mandate* process – *and more*.

The UN's voting process requires a majority of its Member States for an endeavored advocacy that is aspired to be institutionalized to make its way forward, meaning the UN does not require every member state to concur.

The ASEAN however entails consensus for an endeavor to be adopted – every Member State agrees, because every Member State regardless of its economic, socio cultural and political status is regarded as equal and central drivers-architects of the region. Whilst the UN, particularly its *Security Council*, reflects the reality of the exclusiveness of regional powers.

ASEAN therefore balances this UN Security Council power by having delegated these super powers as Dialogue Partners of ASEAN. These dialogue partners now under the framework of ASEAN are subjected under the institution tenets to align their interest according to the interest of the region particularly working under the ASEAN centric approach driven by its tenets of consultation, non-intervention to internal affairs and consensus.

These tenets along with ASEAN centrality working on mandates are *soft powers of ASEAN* over the superpowers *delegating* them as dialogue and external partners under the regional framework. These principles underlying are extant but are not identified as such, which as an auto ethnographer had worked on to know and reveal through this study.

It stands to reason that ASEAN has (albeit it's soft form) this power over the superpowers labeled as dialogue partners of the institution. This shows the leverage of a united regional bloc over super power/s. This very same regional order provides ASEAN the relevance over powerful nations where small but bonded diverse and *developing* economies shows leverage over supra interests.

My culture experience with this underlying assumption is this: though as I've indicated, I came in before the 4th Experts Working Group (EWG), I however have an inside culture experience relevant to this initial *foundation* process. Sometime in 2014, I participated in an ASEAN Heads of Specialist (HSU) Meeting.

The HSU is a meeting relevant to address human trafficking which is specifically explained in the "*established framework*" process. During the meeting, the ASEC announced that the US is offering a capacity building program relevant to human trafficking to **empower** the Member States to address human trafficking in the region.

This was my first time attending an ASEAN meeting. The word empower signaled a red flag in my ears and did not sit well in my mind. I expressed concern with the delegate on my left – Singapore, I told him "**who is empowering who?**" so the representative from Singapore asked permission to pose and raise the concern over the proposal, I said yes.

To make the long story short, the proposed US program did not materialize because of the word and intent to "empower", **exactly who is mandating who?** which as representative of the Philippines, I felt a superpower having its way over the ASEAN institution where they (US and other super powers) are delegated as Dialogue Partners not as superiors empowering any of us Member States.

Consultation with counterparts, consensus by all Member States over an empowered dialogue partner, to uphold the ASEAN Centric approach on modalities offered by regional partners, were demonstrated that day reflecting the basic institution foundations in tenets of the ASEAN advocating the region's highest interest and relevance.

This event is evidence to how emergent is the “way” of ASEAN when the tenet of non-intervention by way of involuntarily “empowering” the institution by an external power is challenged.

Our participation and role as representatives amongst law enforcement counterparts of respective ASEAN States provided us - the participants, the opportunity to convey our valid thoughts - through consultation, to render our firm voice - in resolute consensus, to protect the welfare and sovereignty of the institution, independent of the *empowered* dictates of a superpower and dialogue partner.

This renders back to ASEAN an *empowered* modality to demonstrate to the super powers the level of understanding by Member States on the significance of a single *word* to protect the integrity of the institution and its tenets.

The underlying inclusiveness of ASEAN is re-surfaced as our voice – in every Member State is central to the decision making process is made important through Institution’s tenets.

At the onset on revealing the emergent ways, the ASEAN Institution is at the helm that drives, directs and commands the phase of cooperation for regional partners to align and advance their interests along the same collective path to pursue the highest interest of the region – benchmarked on a ***mandate***, collectively and ***centrally*** driven through ASEAN ***tenets***.

Autoethnography accounts related to the processes of the ASEAN tents of consultation, consensus, and non-intervention to internal affairs; centrality and mandates – forms the *foundations* of an ASEAN framework.

“...thicken the narratives...identify the underlying values” (Buensuceso, 2022)

The China account – two weeks before the 2015 ASEAN Meeting in Malaysia. I received a proposed MOA originating from dialogue partner China as forwarded by the DFA for comments. I was then the director for plans and policies of the Philippine Center for Transnational Crimes (PCTC) and as such I was responsible for providing interventions and comments on incoming MOAs and MOUs on all matters and efforts against transnational crimes.

The China MOA proposed capability building programs providing equipment and training for ASEAN member states to address related concerns on piracy over sea. China implied that to effectively address such concerns, they are to have coast guard stations in every member state. This raised a red flag – literally a big red China flag.

I analyzed to “*red team*” the proposal by preparing a regional landscape where stations are to be positioned (Figure 6) I strategically placed stations in Brunei to monitor the Spratlys and south most tip of Palawan; Cambodia where the Mekong River meets the sea to secure its ingress and egress; Indonesia between East Timor and fronting Australia; Lao at the midpoint of Mekong joining Cambodia, parallel to Thailand and Vietnam to monitor traffic at mid mainland ASEAN.

Malaysia fronting to access the Philippines from Tubbataha; Myanmar near the sea bordering India; Thailand at Phuket to secure access from the Indian sea to the South China and West Philippine Sea; Singapore to secure the Malacca strait; Vietnam at Saigon parallel Palawan; and the Philippines’ Luzon Strait to secure access from the Pacific trade route and patrol the Eastern Philippines from Benham rise to Indonesia.

China did not even state how many stations per member state they’re planning to position. I recommended to my superior that the MOA will not serve the

best interest of the region and that is what the office recommended in its response to the DFA.

A day before the ASEAN-China meeting in Malaysia, I then reminded Atty. Anwar Ito of DFA about the tabled MOA for the said meeting, I even remembered to convey that this is worse than the nine-dash-line. He advised me to talk to my counterparts and I understood what that meant. So the night before the meeting, I sought the thoughts of my counterpart from Vietnam and she had the same concern. We shared the task of talking with our counterparts to reach consensus.

On the day of the meeting Singapore Chaired the ASEAN-China meet where the Member States extended their appreciation to China for the proposal. However the MOA was still in circulation for comments of the Member States on their decision. That was the diplomatic statement provided by ASEAN. The MOA did not prosper. **I, with my counterparts at our level have prevented a super power's incessant lust for absolute hegemony**, although I knew that Atty. Ito in his level track coordinated with his counterparts. To make the long story short, the established ASEAN framework *worked* against the illicit intent of China under the guise of a benevolent proposal; and worked for ASEAN in its mandate to serve the best interest of its peoples.

Agreements are binding contrast *Understanding* where parties can only do as much when able. This MOA if considered will endow China the authority and *regional mandate* to extend her absolute hegemonic grip over the region reinforcing and enabling control of all access to the geopolitical waters and economic trade routes of the region. *This is to highlight the value of mandates used from a guise perspective.* The proposed MOA was circulated by the ASEC as part of institution protocols to **consult** and collectively gather the thoughts of Member States for the

way forward (or otherwise) of the proposal. The ASEAN-China Meeting is a framework for this dialogue partner to *consult* with ASEAN on matters of similar interests.

This *Framework* upholds ASEAN centrality where the approach to achieve cooperative measure/s is in **consensus** centered upon the interest of the peoples of ASEAN; with the dialogue partner/s aligning their interests, *all* subjected under the institution's tenet *processes*. The Member States in *consensus* and diplomatic terms declined the proposal of China as it does not represent the best interest of the peoples of the region. The MOA is a guise to re-design and disrupt the security architecture of the region to advance the hegemonic ambitions of a dialogue super power partner for control of all strategic access to the regional defense and economic trade route of the region.

This consensus in united stance to protect the highest interest of the region flags ASEAN'S relevance to the gamut of regional order. This also suggests the *inherent soft power of a united bloc*. This put across a message to dialogue and external partners to re-think their strategies upon their conduct of regional relations aligning their interests with ASEAN.

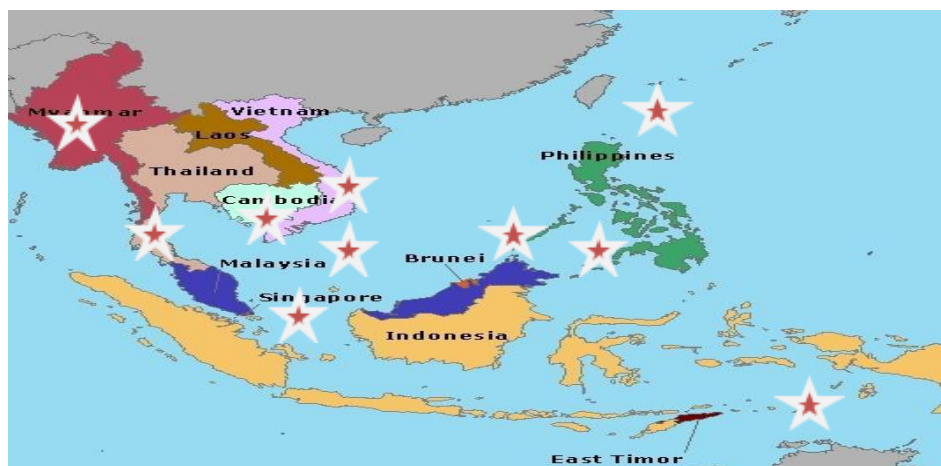
The ASEAN as a bloc is vulnerable to outside interventions without the consensus tenet. The consensus principle of ASEAN averts dialogue and external partners from dividing the *house*. Without this principle, ASEAN is subjected to a *majority principle* which can be exploited by outside influence detrimental to ASEAN internal relations.

Influence is a form of control - and outside control is interference which infract ASEAN'S **non-intervention** tenet. This regional relation dynamics provides nuance to consensus relative to non-intervention; and validates the impetus of ASEAN

tenets as a valuable institution framework only identified with ASEAN. Hence, the institution tenets under the ambit and framework of **ASEAN centrality** provide to enlighten the profound *underlying values* behind **ASEAN identity**.

Moreover, there is this underlying contribution made by level delegates which is unknown to most. That there is this breadth of institution *inclusion* where level advocates have that *soft power* to recommend the direction of the regions' security architecture as demonstrated by *assisting delegates*.

Figure 1. China's Interest over South East Asia through a proposed MOA Illustrated



Note: The stars represent possible stations for China's control over the SEA via ASEAN.

Shepherding Member States to address priority areas is the third component –step of Convention development. Lead Shepherds and Areas of Cooperation; the *Convention* foundations in mandates, tenets and centrality have been identified and established. The *Convention* process proper is prepared for an *ASEAN priority area* to be subjected under, and addressed through the observed best practices of *Convention Framers* and advocates.

The ASEAN Member States share their regional responsibility through shepherding *areas of cooperation* also known in ASEAN as priority areas.

The *Convention* was initiated with the call for an ASEAN **priority area** to be addressed. A Member State or the Member State **Lead Shepherd** of a particular priority area tables the priority area to be addressed within the SOMTC meeting.

The Senior Officials in consensus acknowledged the need for the tabled priority area to be addressed and raised the issue to the Ministers Meeting on Transnational Crime.

Within this phase of the Convention process, the priority area/s and the lead shepherd initiates the dynamics to *jumpstart* the *Convention*. It is intentional that the term *jumpstart* is used as though the system *process* needs its power source.

The power source emanates from the identified *foundation* elements. The lead shepherd with its shepherded priority area provides the boost linking the anchored foundation to kindle the rest of the *Convention process*.

A table is provided to identify the ASEAN *Lead Shepherds* parallel their priority areas as *ASEAN Areas of Cooperation* under the perspective of shepherding.

“Our analysis would bear it out...we have a claim as knowledge producers”
(Saludadez, 2022).

The Tables are created to place *Convention* elements in perspective; and modified to associate entity dynamics to develop narratives, analyze and form assumptions describing the *process* emergent to produce ASEAN knowledge.

Table 1

ASEAN Lead Shepherds Corresponding to their Priority Area and Convention Status

ASEAN Lead States	SOMTC Priority Area	Convention Status
Brunei		
Cambodia	Arms Smuggling	
Indonesia	Terrorism	Convention Entered into Force
Lao PDR		
Malaysia	Money Laundering Sea Piracy People Smuggling	
Myanmar		
Philippines	Trafficking in Persons	Convention Entered into Force
Singapore	Cybercrime International Crime Economic	
Thailand	Illicit Drug Trafficking Wildlife-Timber Trafficking	
Vietnam		

Note : Table 1 is intended to show the ASEAN Lead Shepherds on their Priority Areas To include Convention Development Status.

: Blank space/s indicates absence of priority area and Convention respectively.

Gleaned from the table is that Malaysia shepherds three (3) ASEAN priority areas; Singapore and Thailand has two (2) priority areas each; Cambodia, Indonesia and the Philippines have one (1) priority area each, - whilst Brunei, Lao PDR, Myanmar and Vietnam do not *appear* to have shepherded priority area. Appearance however can be deceiving. This will lead us to this *process*' underlying assumptions.

At the onset, the assumption reflecting the value of shared regional responsibility is evident - the ASEAN Member States assume lead responsibility as the country primarily responsible to address a particular priority area. What is not surfaced are the *process and* the dynamics on how ASEAN shepherding is carried out "*its way*".

The general assumption is that for every ASEAN *priority area* such as human trafficking, there is a Member State *lead shepherd* like the Philippines as country caretaker to lead and direct efforts on all matters related to address a concern area. As gleaned from the table, there are only six member states leading ten priority areas.

*The obvious question therefore is why wouldn't all ASEAN Member States shepherd a particular priority area? The answer to this question is that **all member states shepherd all priority areas. There is however a Lead ASEAN State Shepherd**, like the Philippines on human trafficking to direct relevant efforts and guide Member States to address the particular concern.*

The official term for ASEAN lead shepherds is actually **Voluntary Lead Shepherds**. By this “voluntary” qualifier, **a Member State has accepted its shared regional responsibility as lead** on all matters to address priority areas.

But why wouldn't other Member States take the helm of other priority areas to make the ratio 1:1 – one Member State to one priority area? The answer at best can be surmised from the very term and **framework on Voluntary Lead Shepherds**.

This has nuance to the **non-intervention tenet of the institution of not forcing an issue into a sovereign State where it may not have the relevant institutional capacity** according to their State's resources; **and necessary skills as best practice to address a regional issue**.

There are however other nuances. The Philippines is an involuntary “*sending State*” of victims of human trafficking. Not to say that such a state is the only *sending state*. But does it mean that if such a country is an involuntary *source* of victims that such should take the lead to address this? Let the efforts of Member States Thailand

on wildlife trafficking and Singapore against cybercrime, facilitate the knowledge on the matter.

This was my observation in Brunei during the 2014 Senior Officials Meeting (SOM), Thailand was pushing for the establishment, and tabled to the Senior Officials the creation of a Technical Working Group (TWG) to counter wildlife trafficking. [Through Thailand's diligence, the TWG on wildlife and timber trafficking was established in 2019 in response to the growing concern on the degradation of the region's wildlife and timber resources.]

Moreover around 2015, Singapore was pushing for the establishment of the TWG to counter cybercrimes, eventually getting the nod from the ASEAN Leaders for *'the subsequent establishment of a Working Group on Cybercrime'* (asean.org, 2017).

My analysis as a culture observer of the *"process"* – as how the *ASEAN way* played out is that; Singapore houses the INTERPOL Global Complex for Innovation as it is *"the centre of our activities in cybercrime, research and development, and capacity building. It also provides an Asian base for the Organization in several crime areas"* (Interpol General Secretariat, 2023).

Further, Thailand houses the headquarters for the ASEAN Wildlife Enforcement Network (ASEAN WEN) in Chatuchak, Bangkok. This means that Thailand and Singapore as lead shepherds have the established institutional platform and relevant mechanisms to address their particular priority areas of concern.

Further as for the Philippines' case, the Philippines do not house any regional center for excellence against human trafficking. However, the country is the only ASEAN member state with an established Heads of Specialist Unit (HSU) under the

framework of a Technical Working Group in all of ASEAN providing such shepherding capability.

This means that the Philippines, along with Thailand and Singapore have the established relevant *soft* and *tangible* institution framework to address their respective priority areas because these Member States whilst *lead shepherds* have acquired the relevant skills as their regional best practice against the threats identified as priority areas that is supported by an established institution infrastructure.

Moreover, gleaned from the table modified, it is shown that only two ASEAN *Conventions* are established. This is to correlate the shepherded priority areas to the lead shepherds showing their efforts relative to their concerned areas. The Philippines and Indonesia aspires to share and encourage fellow Member State shepherds that **with the available institution frameworks** and with their support, an endeavor of such level is achieved.

Having stated available frameworks, the next step process of *established Frameworks* shall provide the relevance of such, and the lack thereof, to take full advantage of available institutional mechanism/s further providing relevance of the *draft* Convention process as template developed under the framework of autoethnography.

Along this line, this was my culture observation with Thailand and Singapore during the series of *Working Group meetings*. Both were pushing for the establishment of their shepherded working groups whilst the Philippines was pushing for their support to make the way forward of the *ACTIP* Convention.

Managing the Convention Meetings - Convening the ASEAN level Meetings and **managing the** established Institution **Frameworks** provide the third and fourth component-step process respectively to develop the *Convention*.

Following the tabling of priority areas by *Lead Shepherds*, the lead shepherds' shared responsibility to address priority area/s anchored on advocated mandates and driven by institution tenets, was made forward to the next *Convention* step-processes.

The next *step-processes* were known by identifying and understanding the significance of the established ASEAN institution frameworks as an integral part of the *Convention* development *process*.

The *ACTIP* Convention was processed through *established Frameworks* under the ASEAN transnational crime purview. The actual *Convention* process drafted was previously referenced.

The very effort of a Member State to carry out the responsibility to table a priority area as supported by the lead shepherd is in itself a glance into the cooperative nature - and underlying collective value of regional responsibility identified with the advocates of ASEAN.

Table 1 bears out the only two established ASEAN *Frameworks* on Conventions against human trafficking and terrorism. Human trafficking and terrorism have a common ground on matters related to human security.

I surmise that it is not a coincidence that the two *Conventions* were prioritized as ASEAN endeavors' values the general welfare of all regions' peoples from threats of terrorism; and specific to that general population are the vulnerable sectors in women and children from the threats of human trafficking.

“The ASEAN collective efforts hinged to secure human lives and promote a safe region to safeguard ASEAN valued cultures to thrive, protected from threats in all forms of terrorism and human trafficking – is an ASEAN value evident on table 1 as prioritized advocacy to protect and care for the basic elements of the community – the members of family and ties related to the dynamics anchored from Asian culture for peoples and ASEAN/Asian culture to thrive and be protected from all threats in all its forms.”

“Life and culture preservation is definitely not an exclusive endeavor to any region. the manner however by which ASEAN prioritizes peoples and human security in safeguarding life and culture to safely thrive is revealed in ASEAN Convention priorities to form this research’ purview and underlying assumption”.

This way akin to the efforts of ASEAN WEN, all efforts this time against human trafficking are synchronized around the globe to address this modern day slavery.

Table 2*Established Technical Working Groups under the SOMTC*

ASEAN Member State	Priority Area	Technical Working Group Status
Cambodia	Arms Smuggling	Not Established
Indonesia	Terrorism	Established
Malaysia	Money Laundering	Not Established
	Sea Piracy	Not Established
	People Smuggling	Not established
Philippines	Trafficking in Persons	Established
Singapore	Int'l Economic Crime	Not Established
	Cybercrime	Not Established
Thailand	Wildlife-Timber Trafficking	Not Established
	Illicit Drug Trafficking	Not Established

Note: There were only two (2) established Technical Working Groups within SOMTC as of Convention autoethnography time (2014 to 2017). [However as of this date the TWG Arms Smuggling, Cybercrime and Wildlife Timber Trafficking have been established.]

: I developed this table to provide the proper perspective on the established ASEAN Frameworks and efforts undertaken by advocates and institution practitioners under the ambit of ASEAN transnational crime.

Back in 2017 there were only two (2) ASEAN Working Groups established. These were the working groups to address terrorism and human trafficking. I've previously discussed the efforts of Thailand and Singapore on how they have recently established their working groups on *wildlife and timber trafficking* and *cybercrime* respectively in cooperation with Lead Shepherd Philippines on human trafficking.

On 30 Oct 2018, the Working Group against Arms Smuggling was established as adopted by the ASEAN Ministers to combat arms smuggling in the region. The Member States are one in preventing the proliferation of arms in the region. However back in 2016 this was not the case.

Back 2016 my culture experience around the same time when the AMMTC and SOMTC were held in Cambodia to discuss the ACTIP, Cambodia tabled to the *meetings* a Working Group to combat arms smuggling. The Philippines supported Cambodia to encourage a side meeting amongst Member States to discuss this possibility of forming a working group against arms smuggling. However, during the side meeting, Indonesia initially did not support the idea.

Without the concerned State providing the actual reason, my underlying assumption was that Indonesia is not a signatory of the UN Arms Trade Treaty – to regulate trade of conventional arms. But so are Brunei, Lao PDR, Myanmar and Vietnam (UN ODA, 2021). So that makes half of ASEAN non-signatories. To this research date, these five (5) ASEAN Member States had not signed the UN Arms Trade Treaty but are under the ASEAN Framework to address gun smuggling in the region.

This again demonstrates the tenet of non-intervention. Like the previous example of not pushing an agenda to a Member State because of an entailed amendment to their internal legislation affecting budget. This time the measure also impinges on incoming proceeds from the arms production industry and possibly required relevant internal regulation.

This is then where purviews intersect. Indonesia, we recall and as indicated in table 2 is Lead Shepherd to counter terrorism. Arms in all its forms - conventional or otherwise are tools causal to their endeavored advocacy. It will then follow the sense and progression that to advocate and make the way forward to address their shepherded priority area, is to curb the tools that sustain terrorism - which is their priority area.

“My assumption on this purview is that issues specifically ASEAN priority areas are not pushed especially not shoved to a Member State – but is effectively made aware through diplomacy”.

Cambodia tabled the establishment of the Working Group against arms smuggling through SOMTC in 2016. The move was expected from Cambodia as a voluntary lead shepherd against arms smuggling. It is incumbent therefore for other Member States in regional support - to prepare for all relevant internal amendments to accommodate the ASEAN priority area to be addressed. Because technically **all Member States are shepherds** to all priority areas to which Cambodia is voluntarily leading ASEAN to ensure that arms smuggling in the region is addressed.

Indonesia along with Member States that are non-signatories to the UN Arms Trade Treaty have extended their highest level of regional responsibility and commitment by supporting to establish the Working Group against arms smuggling revealing the underlying assumption relevant to the regional values of shared responsibility in efforts to keep ASEAN a safe region for all its peoples from all forms of threats.

It is also not a coincidence that the Working Groups against *cybercrime* along with *arms smuggling* have recently been established. The reason I deduced is because these two regional concerns are *tools* to protract the two ASEAN priority areas in human trafficking and terrorism.

Human trafficking and terrorism are promoted in cyberspace; and as previously discussed, arms smuggling is contributory to the propagation of terrorism. The assumption as surmised is that all these concerns on terrorism, arms smuggling, cybercrime and human trafficking are all **related** threats against human security.

Table 2 provides insight and knowledge to how the ASEAN values human life and culture. The established Working Groups are indicators of priorities to ASEAN values. Human security is top priority.

Safeguards through established *Conventions* Frameworks are developed to protect the region from terrorism and human trafficking – protecting the general populations from threats of terrorism and specific vulnerable populations in women and children safeguards against human trafficking. Cybercrime and arms smuggling are also tools contributory on terrorism and human trafficking.

The Working Groups *established* therefore follow the progression that ASEAN, by way of endeavoring to support the efforts on human security, needs to support initiatives to counter cybercrime and arms smuggling to preserve the *regions’ “way of life” or culture* to promote a secured region from all forms of threats.

The knowledge produced here is revealed on values indicative of ASEAN Member States to prioritize human security in safeguarding human lives and preserving the region's *ways of life – our ASEAN culture*.

To support life preservation is safeguarding the region’s environment to where peoples of ASEAN are stakeholders acting both as stewards and participants. Every entity in nature is an integral link to maintain the ecological balance that the environment sustains. This lay down the relevance of the Working Group on Wildlife and Timber Trafficking.

Table 2 shows two (2) Working Groups established; the working groups against human trafficking, terrorism, cybercrime, arms smuggling and wildlife/timber-trafficking.

Previously discussed was the interrelation of human trafficking, terrorism, cybercrime and arms smuggling under the purview of human security. How is wildlife/timber-trafficking a concern related to these human security issues?

Arms are used as tools to poach wildlife and protect both timber and wildlife traffickers. Arms are also used by human traffickers and definitely in terrorism. These arms used are most certainly unregulated. This then demonstrates the interrelation of the two (2) established ASEAN Working Groups and aspired TWGs.

The impetus of ASEAN Member States to prioritize the established Working Groups reveals the collective drive of Member State advocates anticipating the needed *institution Frameworks* to address related human security issues.

Table 2 illustrates the present regional human security issues. This also shows the collective efforts that ASEAN prioritizes on the welfare of its peoples to be protected from all forms of threat, by institutionalizing Frameworks as mechanisms to address these related human security issues.

The knowledge obtained from the illustrated Table (2) is that Frameworks are established for reasons not only to address these issues but how these issues can be addressed because table 2 reveals the network of human security issues revealing that all issues are related in one form or the other. It also reveals the collective wisdom of Member States to anticipate mechanisms and establish relevant frameworks as evidently prioritized.

This also discloses the relation of *Lead Shepherds* to shepherded priority areas where all ASEAN Member States are collective shepherds to all regional issues but a central entity in form of a *Lead Shepherd* directs all efforts to guide fellow States to address the issues. This is because all issues are related and that

each regional concern should have a focal point for all lead shepherds to harmonize efforts collectively addressing issues.

“This further reveals a region centric approach to human security issues. Having all issues be addressed through respective established Working Groups - all under the Framework of the ASEAN Ministers Meeting on Transnational Crime and its “related meetings” because all issues are centered into human security and the preservation of the ASEAN ‘way’ of life in ASEAN culture”.

The important related question a reader may ask is that **how are Working Groups in ASEAN established.**

I witnessed in 2016 Cambodia on how the lead shepherd on arms smuggling initiated their drive to establish a working group. During the Senior Officials Meeting (SOM) in Siem Reap, Lead Shepherd Cambodia tabled to the Senior Officials the establishment of a Working Group against arms smuggling.

The official process is that when a working group is tabled in the SOM, the Senior Officials endorse the initiative through the Ministers Meeting. The Ministers then forward the initiative through the actual ASEAN Summit where the *Leaders* approve or disapprove the initiative.

Table 3 shows the established *Frameworks* where the programs and relevant initiatives are proposed and processed that goes through the ASEAN *hierarchy* protocol.

Table 3*Established ASEAN Institution Framework under the APSC*

Relevant ASEAN APSC Meetings	Mode of Coordination by “Meeting” Head
ASEAN Summit	ASEAN Leaders Guide (approve/disapprove) and Direct Ministers on programs proposed.
ASEAN Ministers Meeting on Transnational Crime (AMMTC)	Ministers raise programs to ASEAN Leaders, advise Senior Officials regarding Leader’s Directives.
ASEAN Senior Officials Meeting on Transnational Crime (SOMTC)	Senior Officials raise programs to Ministers, Advice TWG Lead Shepherd (on priority area) regarding Ministers Directives.
Working Groups under the Meetings	Mode of Coordination by Lead Shepherds
Technical Working Groups (TWG) on (SOMTC Priority Areas)	TWG Lead Shepherd raises programs to Senior Officials, advises EWG Lead Shepherd regarding Senior Official’s instructions.
Experts Working Groups (EWG) on (SOMTC Priority Areas)	EWG Lead Shepherd develops and raises programs to the TWG; EWG is guided by the APSC hierarchy.

Note: This table was developed based on my auto ethnography observation of the institution frameworks and protocol dynamics of the ACTIP Convention Process and related meetings.

: Although there were only two (2) established Technical Working Groups within SOMTC as of the Convention autoethnography time, the Working Groups were included in this table as an integral part of the Convention development process;

: The ASEAN Summit is included to show the flow of coordination within the ASEAN Political Security Community Pillar.

: The ASEAN Secretariat, the Lead Shepherd and the Lead Shepherd Secretariat are in close coordination with Member States to facilitate matters related to “Meetings”.

The approval was made through a *Leader’s Declaration* citing the importance of such initiative and support of the Leaders and Ministers. The Senior Officials then proceeded and formed the Working Group through the Senior Officials meeting and informed the Lead Shepherd in this case Cambodia of the official approval. All

Member States were present to discuss the conduct of the Meetings and provided the subject matter representatives to discuss the way forward of the Framework.

These processes took years and numbers of consultation amongst fellow States where I previously discussed the concern of Indonesia to take on this task, but it is an area of cooperation where Indonesia's shepherded priority area met its cross road to mitigate the tools of terrorism in its proliferation. Cambodia eventually got the nod of the *Leaders* in Oct 30, 2018 the then when Working Group against Arms Smuggling (asean.org 2021) was established.

There is utmost importance to establish a Working Group. An ASEAN Working Group is a necessary Framework to *institutionally process* a concern priority area in the region such as human trafficking to establish justifications and present these findings to the ASEAN hierarchy enabling for the priority area be justified to make its *Convention* development way forward.

The ASEAN Working Group is the workhorse of the Senior Officials. Programs are tasked by Senior Officials for the Working Groups to administer. This is where the way forward of programs related to addressing a priority area is proposed, discussed and endorsed to the Senior Officials, Ministers and Leaders. This is where agendas for Leaders under their shepherded purview are conceived.

The Working Group established is an independent and integral part of the *Convention* development process. This is therefore the underlying assumption under this *framework* purview, - that without the benefit and framework of a Working Group, there would be no ASEAN Convention developed, because the Technical Working Group (TWG) forms the Experts Working Group (EWG) which is directed and under the supervision of the TWG to work the development way forward of ASEAN Conventions.

Table 3 provides the **basic structure of an ASEAN Sector Body**. The table illustrates the “*hierarchy*” and linear protocol to where institution initiatives are subjected and processed.

This table was developed to allow learners to have an optic representation of the basic structure of an ASEAN body (the structure particularly under the transnational crime purview), because **this is only known to ASEAN practitioners and Convention Framers** and limited to researchers and learners for obvious reasons that this is the only time where this relevant research is made under this purview.

Therefore to know the “*generic*” ASEAN body protocol framework, Table 4 was generated as knowledge produced since this is an extant ASEAN knowledge but is not written to be illustrated.

Table 4

Basic ASEAN Sector Body Institutional Framework

Relevant ASEAN Meetings	Mode of Coordination by “ <i>Meeting</i> ” Head
ASEAN Summit	ASEAN Leaders Guide (approve/disapprove) and Direct Ministers on programs proposed.
ASEAN Ministers Meeting on (subject purview)	Ministers raise programs to ASEAN Leaders, advise Senior Officials regarding Leader’s Directives.
ASEAN Senior Officials Meeting (on subject purview)	Senior Officials raise programs to Ministers, Advice TWG Lead Shepherd (on priority area) regarding Ministers Directives.
Working Groups under the Meetings	Mode of Coordination by Lead Shepherds
Technical Working Groups (TWG) on (purview Priority Areas)	TWG Lead Shepherd raises programs to Senior Officials, advises EWG Lead Shepherd regarding Senior Official’s instructions.

Experts Working Groups (EWG)
on (purview Priority Areas)

EWG Lead Shepherd develops and raises
programs to the TWG; EWG is guided by
the Sector Body hierarchy.

Note: The ASEAN Secretariat, the Lead Shepherd and the Lead Shepherd Secretariat are in close coordination with Member States to facilitate matters related to "Meetings"

There is more to these tables than as it is plainly illustrated. After I explained the processes in Table 4, the gains of having instituted frameworks under an ASEAN sector body are revealed. Table 4 first is explained as follows:

The next step process after the tabling of the priority area was for Senior Officials to raise the issue to the Ministers on transnational crime through an AMMTC meeting. The Ministers then raise the issue to the ASEAN Leaders through the ASEAN Summit.

The ASEAN Leaders direct the Ministers to address the priority area. The Ministers convey to the Senior Officials their approval for the way forward of the proposed program to address the concern.

The Senior Officials then direct the Technical Working Group (TWG) – (Chaired by the Lead Shepherd) to meet, - and form an Experts Working Group on TIP (EWG on TIP) to conduct a feasibility study on the proposed *Convention*.

The Experts Working Group – chaired by the Lead Shepherd, conduct the feasibility study and provided the recommendation to the Senior Officials, where the Senior Officials inform the Ministers for their (Ministers) approval to eventually be conveyed to the Leaders for their (leaders) nod on the proposal; Leaders with their decision/s - go back down the tier.

The above process of conveying issues from the hierarchy of Senior Officials, Ministers and eventually to Leaders - and back down to the level; provided an element and importance to the step-processes on supra and regional mandates. *The*

*ASEAN Leader's decisions and declarations formed as **mandates*** for the Working Groups Chair/s, Officials and Ministers to adapt and make the way forward on a program.

This I believe promotes ASEANOLOGY awareness on *Framework processes and protocols* where *Leader's decisions and declarations formed as **mandates enabling*** Working Groups Chair/s, Officials and Ministers to have *the* legal bases and benchmark to make the development way forward of an initiative.

This research' assumption that under the ASEAN Political Security Community Pillar (APSC), platform mechanisms on Ministers and Senior Officials Meeting and their attendant Working Group Meetings are indispensable **established Frameworks** – these are *Meetings that are* instrumental platforms to develop regional policies and the ASEAN *Conventions'* way forward. However, and moreover, the underlying assumption that is not evident and known is that there are gains of having an established ASEAN Framework.

By virtue of an established *Framework*, a progressive unit was created under a Working Group Framework – this was the creation of a [one (1)] Heads of Specialists Unit or HSU.

One (1) HSU was established under the WG on TIP with the guidance from the Senior Official and Ministers as a specialized operation unit under the AMMTC as implementing arm of ASEAN to address the Asean Priority Concern within the field level to where it matters. The HSU is the only of its kind in any sector body of ASEAN.

*“This means that if a priority area is in the process of being addressed such as human trafficking through established Working Groups, **programs similar to the HSU are driven to be instituted in ASEAN** by Member States as a proactive approach for the demand to engage the regional concerns in the field”.*

*“This further **strengthens the relevance and practical applications of established frameworks** to facilitate priority areas in response to expedite and engage these regional concerns down to the field where it matters the most”.*

“Maximize qualitative research paradigm that it allows no predetermined or pre-defined categories, allowing the data for centrality and tenets to emerge - not forced” (Saludadez, 2022).

Akin to the research method, the manner in which the HSU was established did not conform to any predetermined ASEAN protocols. The HSU exists as an **inclusive** mechanism brought by the necessity to **consult field workers** of the actual situation on the ground to where it matters most.

The data provided by the field are ASEAN “ways” to **consult** the workers and victims in aid of Leaders to establish - in **consensus** further strengthen *Frameworks* to address regional issues.

The HSU is a focal point for all Member States and regional partners to align all efforts against human trafficking. This means that the HSU as a necessary **emergent** entity upholds **ASEAN centrality** to direct Member States and regional partners alike in a united regional front to serve the highest interests of the peoples of ASEAN.

Table 5 shows the heads of specialist unit (HSU) embedded in the framework.

Table 5*Established ASEAN Institution Framework under the APSC*

Relevant ASEAN APSC Meetings	Mode of Coordination by “Meeting” Head
ASEAN Summit	ASEAN Leaders Guide (approve/disapprove) and Direct Ministers on programs proposed.
ASEAN Ministers Meeting on Transnational Crime (AMMTC)	Ministers raise programs to ASEAN Leaders, advise Senior Officials regarding Leader’s Directives.
ASEAN Senior Officials Meeting on Transnational Crime (SOMTC)	Senior Officials raise programs to Ministers, Advice TWG Lead Shepherd (on priority area) regarding Ministers Directives.
Working Groups under the Meetings	Mode of Coordination by Lead Shepherds
Technical Working Groups (TWG) on (SOMTC Priority Areas)	TWG Lead Shepherd raises programs to Senior Officials, advises EWG Lead Shepherd regarding Senior Official’s instructions.
Heads of Specialist Unit against Trafficking in Persons (HSU TIP)	Independent of the EWG, The HSU reports to the TWG on matters of addressing TIP
Experts Working Groups (EWG) on (SOMTC Priority Areas)	EWG Lead Shepherd develops and raises programs to the TWG; EWG is guided by the APSC hierarchy.

Note: Under the Technical Working Group on Trafficking in Persons, one (1) Heads of Specialists Unit was created as an operational unit on trafficking in persons as implementing entity to address TIP in the field;

: The texts on HSU purview are highlighted to show its place within the hierarchy and protocol of the Convention.

The HSU like the EWG are attendant frameworks under the Technical Working Group. Both are at the base of the hierarchy as these entities serve as the foundry for *Framers-workhorses* providing backbone to the APSC transnational crime structure.

Whilst the HSU is the operational arm of the APSC framework, the EWG is an ad hoc body created to develop legal strategies against human trafficking along the creation of the Convention on TIP.

A *Framework* nevertheless is only a structure if not for the underlying value. The APSC transnational crime framework therefore as surmised is an institution structure progressively generating deliverables hinged upon the foundations of a legal mandate equipped with sub-frameworks as tools bearing the operational readiness for regional cooperation.

This framework has produced two regional legal *Convention* instruments worthy of regional partners' interest. It is capable of producing most with the available Working Group Frameworks. This Framework has demonstrated a progressive approach to organization, by institutionalizing an operational arm (HSU).

“Whilst the *Frameworks* operate and are guided by institution tenets and *centrality* provided by the Charter, it does not conform to a pre-defined *manual*. The *ASEAN Charter* provides the legal personality of ASEAN to conduct relations; it does not hold specific *manuals* for sector body Frameworks. The Framework instead *processes* initiatives according to its *phase* of affairs that is unique to the region, even unique to its Pillar”.

The ***entire developed tables*** provided, is institutional knowledge illustrated. Through autoethnography accounts, the APSC Frameworks are structured to show institution protocol and flow of coordination as how the “*process*” works. This reflects relevance as an established *ASEAN sector body* to regional partners.

Notice that from Table 1 to Table 5, the APSC framework continued to evolve. Since 2017 when I left the “*program*”, three (3) Working Groups had been added and established. The continued creation of a Working Group Framework provided (and

still provides) an opportunity and momentum for a priority area to be processed and make its *progressive “way”* forward.

This demonstrates the lead work provided by the advocates, practitioners and *shepherds* for future *Convention Framers* and developers to employ.

The underlying value of established Frameworks is provided from the frameworks' *innate enabling capacity* to *collectively process* initiatives to generate deliverables in the forms of attendant framework in HSU; and advocacy statutes such as *ASEAN Conventions*.

Therefore established frameworks are rendered as “progressive advocacy instrument multipliers”.

To proceed with the re-call on the Convention *process* specifically on the observed processes of the Experts Working Group (EWG), the Lead Shepherd steps up taking the helm of the EWG Meetings and its attendant requirements.

A unique approach was employed by the EWG on TIP specific to this priority area. That two (2) *Convention drafts* were created. This approach by the *Convention framers* was a best practice that future Convention developers may emulate to employ. The *Working Draft* is made by the Lead Shepherd “*Substantive team*”, the Philippines. The *Alternate Draft* is proposed by another Member State Singapore supported by Thailand.

A working draft and an alternate draft were simultaneously provided for the EWG body's perusal. I surmise that the alternate draft provided the “*check and balance*” to complement the proposed provisions on the working draft.

During the conduct of the 2014 4th EWG meeting in Tagaytay, representatives from Singapore were the only Member State representatives who have not agreed to conform to the draft of the Lead Shepherd Philippines, which was to be employed by

the EWG body as the *working draft* to make its Convention development way forward.

Singapore was the author of the *alternate draft*. Singapore raised the issue to their Principal and Capital, who eventually conveyed their united intent to move the Convention development way forward, extending their shared highest interest to protect the women and children of the region.

There was an incident along this event that the EWG meeting couldnot start because Singapore's computer laptop was missing. I was the convener, overall responsible for everything including security and I was to be responsible for looking for that laptop - short of blaming me for the loss.

Long story short my colleagues found the laptop. It was so secured that Singapore forgot that they stashed it away under their table.

This was the time that Singapore was not amenable to the PH draft to be the working draft, creating the incident I presumed from ***their "look"*** at me that I was hiding their laptop related to their stand which was clearly from the location found was not anyone's fault. (I just had to bring this up).

This incident provides an underlying dynamic within the *EWG group*. *That trust is difficult to earn, but once earned it follows a smooth facilitation of the processes*. I also learned that the State delegates do have security protocols to follow – one of it is that their rooms are not to be cleaned otherwise it will be considered breached.

The *alternate draft* was in consensus eventually developed to its way forward into the Regional Plan of Action officially termed the ACTIP ASEAN Plan of Action for TIP.

Moving on with the *process*, the series of EWG meetings were conducted. The “*Meetings*” were *chaired* by the Lead Shepherd. Administrative matters and substantive context of the meeting including agenda/s were prepared, guided and steered by the Lead Shepherd in coordination with the ASEAN Secretariat.

The ASEC in turn coordinated all the relevant preparations with all ASEAN Member States for ease of Meeting facilitation and information for all concerned entities.

Substantive contents were prepared by the Lead Shepherd *Substantive team*. This paper did not delve into the specifics of the substantive content as it should be considered a noteworthy subject of another study. As a matter of (unwritten) protocol, substantive matters were discussed with utmost diplomacy and were guided by the tenets of ASEAN in consultation, non-intervention to internal affairs, and consensus.

In my observation during the EWG meetings, two Member States had “*concerns*” proceeding with the Convention development. It may have a related concern as “*Receiving States*”. In my analysis, I infer that going through with the Convention development upon their part, may entail that internal legislation/s be appropriated on relevant statutes.

*This is where leadership was (still is) central. The two Member States, at the same time of the convention development, were pushing for the establishment of their respective priority area’s Technical Working Groups. **Through consultation**, the ACTIP Lead Shepherd supported their bid to make way forward of their shepherded TWGs - **through negotiation**, the concerned Member States supported the way forward of the Convention development. This account is provided to **demonstrate the ASEAN dynamics using the tenets of consultation to negotiate and reach consensus.***

_____This account leads me to posit a thought in relation to the tenet of consensus to the ASEAN Framework dynamics, that without the benefit of consensus, **would we have the same brand of ASEAN centrality** with the *modified relationship* that the bloc would have **with a majority scheme**?

Could we claim *centrality* at all when *centrality* requires a consensus approach to preserve and uphold internal and bloc sovereignty – citing a later account on an external partner sponsoring an ASEAN Convention development Meeting.

If the bloc employed a majority scheme, then it could tilt to a paradigm where dialogue and external partners are able to influence a majority. Then there would be no *ASEAN centrality* and *regional identity* to claim. Therefore there is this underlying relevance on the *relationship on consensus and non-intervention through consultation to uphold ASEAN centrality* on all initiatives of the Institution.

The ASEAN tenets were rigorously observed to uphold ASEAN centrality. It was (still is) my observation that the tenets of ASEAN in this culture event was strictly observed not only because it formed the house rules, but for reasons that ASEAN practitioners experience the “process” to uphold the value of regional identity, these tenets served (still serves) as compass – a rational approach to this distinctive regional institution dynamics to safeguard ASEAN centrality.

A Member State offered to host an Expert Working Group Meeting citing shared regional responsibility, the Lead Shepherd – the Philippines obliged. It is only when the Lead Shepherd team arrived at the host Member State that the meeting was sponsored by an ASEAN External Partner.

The noble intention of the external partner is commendable but is not necessary and pragmatic within the established principles of ASEAN.

“The value of centrality in tenets is emergent when the ‘process’ is challenged”

As Lead Shepherd and role leader to Member States, the Philippines requested the external partner to vacate the entire duration process of the EWG meeting to observe the ASEAN tenet of non-intervention to internal affairs. I gather that the ASEAN tenets were strictly observed with practically the resolve of the Lead Shepherd and support of the Member States.

Moreover, the Lead Shepherd team – the Philippine ACTIP team with the guidance of its Senior Leaders in Atty. Peter Corvera, former DILG USEC for Peace and Order, and Felizardo Serapio former Executive Director of the PCTC; The Philippine ACTIP delegates did not avail of the monetary reimbursements from the sponsor ASEAN external partner to demonstrate resolute *ASEAN* leadership and integrity to fellow Member States in upholding the regional values in the ASEAN tenet of non-intervention to safeguard the institution’s values and principle on *Centrality*.

The PH SOM leaders and I were not physically present at the Myanmar EWG meeting. I gave way for the Researchers – members of the PH admin team to experience their share in shaping the Convention development way. All decisions however were coursed and mediated through my table as “handle” to and from the PH SOMs.

“The significance of good shepherding and ascendancy is imperative and underscored”. The value of centrality in part is in good shepherding. The Convention process is upheld be ASEAN centric. Upon knowledge of the external partner’s intervention, the Lead stepped-up to uphold the interest of the region disallowing the external partner to further participate in the Meeting.

The *ACTIP* lead shepherd demonstrated the best example of how to conduct a Convention process. The Lead allowed a Member State to share the responsibility of hosting EWG meeting/s without compromising the tenets and centrality that the institution is grounded upon.

Whilst Myanmar was agreed to host, the Philippines as *ACTIP* Lead Shepherd maintained as *Chair* – central to uphold ASEAN values to all *ACTIP* meetings.

Moving on the **process of discussion on the *Working Draft and Alternate Draft***, substantive subjects were discussed. When there are issues to be resolved that cannot have its conclusion within the meeting, a Member State may recommend “*parking*” the issue to move on to another agenda. The *parked* issue may be resolved by the concerned Member States through consultation when meetings are recessed. When a conclusion was agreed upon, the agenda was brought back to the table to be finalized in consensus.

Within the observed EWG framework agendas or topics however highly disputed –can and were resolved with consultation, negotiation and even leverage on aspired measures. These valued tenets formed part of the dynamics of every discussion.

This discussion happened (during a stormy day) in Mandaluyong where the EWG meeting was held. This dispute consumed practically the whole day meeting with just one (1) disputed terminology to use - *transnational organized crime* as against *transnational crime*.

Without going through the elements of what constitutes both terminologies, a conclusion was reached to use the latter term. It was a healthy albeit lengthy discourse which nevertheless was an exercise of shared informed opinions to collectively “*cover all the bases*” – as what the whole process aspired.

The collective informed opinion values to safeguard stakeholders shared interests as ***shared information generates informed sensible decisions***.

Moving on the ASEAN dynamics observation, there exist informal sub-groups amongst members. I am not referring to the maritime and mainland grouping, only referring to observations under the SOMTC group dynamics. This may all be a subject of discussion, and I infer that this in nature be *ad hoc* or *prevailing interest* driven.

However Member/s for whatever reason/s, have encouraging *leverage* on two to three Members who actually needed to be apprised and convinced. Then other Members consult on twos and threes to form sub group/s. Then they would collectively arrive at a consensus.

“Identify their common characteristics that made the Convention” (Buensuceso, 2022). This is a value reflecting ASEAN dynamics. “That you’re nearest neighbor is most aware of your aspirations”. To achieve a consensus, the body aspires to encourage neighbor Members to consult with, and align their aspirations and interest to serve the best interest of the peoples of ASEAN.

This is another culture experience observation *related* to the finding on the observed practices regarding agendas or topics that however highly disputed *can be resolved* with consultation, negotiation and even leverage on aspired measures - *that the “process” of resolving issues within the meeting involved an unwritten protocol amongst all Member States– the “Way” ASEAN resolves disputes.*

This has to do with ASEAN’S tenet on respecting the internal process of each member state. Representatives of Member States to the meeting (when in doubt) ***“raise and return”*** issues back to Principals/Capitals for adoption and approval to arrive at a consensus.

This means that Member States representatives to the meeting understandably, can only represent as much and cannot at *Their Level* commit immediately if the issue/s entail “*change/s*” to the Member State’s internal processes - reflecting their national interest that has to be aligned with the collective regional interest.

Let me provide an observed example. If a proposed provision in the *developing Convention* entails budgetary requirements for Member States (whether it be the present fiscal or the next fiscal budget), the Principals and respective Capitals are pragmatically consulted as it will require possible adjustment to State budget, further even amendment to relevant legislations.

*“This valued premised on cooperation was observed. “That Member States in their impetus to resolve and address ASEAN priority areas **will** extend their utmost level of cooperation by ensuring first their national interest is reasonably safeguarded before aligning to the region’s interest to seek the highest welfare of the vulnerable peoples of ASEAN and further improve the region’s security posture”.*

Reporting within the APSC structure allowed leaders to be apprised of the development and attendant need of inclusive *Frameworks*. This enabled the Leaders, Ministers and Senior Officials to address issues to the level and have the Working Groups facilitate the concerns. These dynamics provide the relevance of *reporting and monitoring*.

Provided on the *draft* convention processes are the dynamics on coordination protocol of APSC frameworks, where part of the coordination dynamics are the *Pre-Meetings* before the actual Summit.

I represented PH SOM for the pre-meeting of the AMMTC in Malaysia 2015. Part of my role was to write interventions for the Philippines which I did for the side

meetings regarding the “*Rise of Radicalization and Violent Extremism*” (asean.org, 2015).

I recommended to USEC Peter Corvera, the PH SOM leader, to refrain from referring to the term *Islamic extremist* since we were in Malaysia where the Koran is integrated in their constitution. I recommended *religious extremist* instead be used as the term.

This was actually a gesture extended for the host State Malaysia and relevant States providing the utmost regard to the word Islam as they do and as embedded in their constitution. Looking at the host and Chair of the meeting, he nodded in appreciation for the gesture of not linking the word Islam to a negative qualifier.

This underlying regard for a Member States’ belief is a subtle ASEAN way which reciprocates impact on relations during consultation Meetings. The gesture has nuance to the *non-intervention* tenet by way impinged of valued regard for belief, encouraging consensus building. This was clearly responded to by a nod (as I observed from the host chair) - to confirm the host’s gestured consensus.

“Awareness of States’ observed culture provides a ‘way’ to facilitate processes”.

This is an account relevant to the finalization of the document which I have previously stated in the *rationale of the research* that during the finalization of the ACTIP on December 16, 2014, I asked from the ASEAN Secretariat on the next steps after the finalization of the documents, “*Do we even have a manual for this process*”? The Secretariat replied “*none*”.

It was a eureka moment for me that the rational way forward is to make the most of this culture experience and ASEAN best practice to fill the institutional gap of

a platform by identifying the *process* to draft, devise and seek the *principles* underlying the *Convention process* to generate knowledge in ASEANOLOGY.

To proceed with the *Convention development*, when all Member States *subject matter experts* concur on all provisions in the *Final Draft*, the final draft is then subjected to the process of **Legal Scrubbing**.

The Lead Shepherd is *Chair* to the *legal scrubbing* process. Legal representatives from all Member States scrutinize the finalized ACTIP and APA manuscripts for potential legal concerns. Terminologies and its use in the manuscripts were reviewed. All provisions in connection with possible conflicts with other provisions were examined.

The legal scrubbing process was undertaken to ensure that the ACTIP and APA manuscripts are void of any potential legal issues. This legal scrubbing by all intents and purposes, is the “*legal proofreading*” of the manuscripts.

The PH SOM leaders and I were not physically present at the legal scrubbing in Indonesia early 2015. Again, I gave way for the researchers to share the experience to shape the development of the ACTIP. All decisions, however, were coursed and mediated through my table as “handle” to and from the PH SOMs – the Lead steers the direction of the course.

Thicken the narratives...make the plots interesting (Buensuceso, 2022).

In the midst of these processes, there was a concern. An ASEAN Sector Body sought the Lead Shepherd’s clarification on matters regarding the Convention development. The PH SOM Leaders directed me to attend a “*Meeting*” and represent the Lead Shepherd – the Philippines. When I arrived at the venue (Marriott Resorts World Pasay, barely a month before the Sept-Oct 2015 Malaysia Ministers Meeting), lo and behold, no less than Ambassador Rosario Manalo extended both her hands to

welcome me to the meeting...*I was literally “front and center” at the grilling end of an ASEAN Human Rights Meeting.*

*The ASEAN Human Rights Member States representatives were asking (A Member State representative was actually demanding) for a copy of the ACTIP manuscript. My predicament was not to offend the requesting ASEAN Human Rights Body as **it was not within my level to commit.***

***This was my response...**“Excellencies...We will all have our chance to acquire a copy of the ACTIP...after our Ministers have adapted the document...I **shall** ... (with emphasis) convey your request to my Principal and further recommend the Body’s request be raised during the Ministers Meeting on Transnational Crime in Malaysia...thank you”.*

The Chair - Malaysia acknowledged the response and extended appreciation to the Philippines. I was present during the 2015 Ministers Meeting in Malaysia, in due diligence to ensure that their requests were raised by the Lead Shepherd which was eventually done and addressed.

*Within this culture experience on convention development, **I’ve learned a valuable skill in diplomacy**; it is how to convey **no** without even saying the word and offending the requesting entity, further leaving them completely convinced that their concern was appropriately acknowledged and addressed – which I sincerely intended to do and did.*

There was a dynamic nuance in this account. The *Representative* borderline *demand*ed a copy. Within the AMMTC framework, the manuscript is to be adapted first by the Ministers/Leaders before being shared. This however is not written in any institution guide, Hence the significance of a draft Convention process.

This account also emphasizes the dynamics of **raise and return** issues to Principals and Capitals that are not within the level of the Member State representative/s. To ensure that the respective Capitals were informed and made aware to protect their national interests whilst aspired aligned with best interests of the region.

The next process is to present the manuscripts to the APSC hierarchy (TWG to the AMMTC) and eventually forwarded to the ASEAN Leaders for their adaption and signing. The process of *ratification* and *entry into force* follows.

It was during this adaption and signing in Malaysia that the request of ASEAN human rights were raised and approved by the (Transnational Crime) Ministers ensuring that all stakeholders' concerns are aptly attended.

Moving the way forward forms the fifth component-step through *Ratification, Entry-into-Force and Cross Pillar Cooperation through Socialization*.

Ratification - The ASEAN Convention having been adapted and signed by the ASEAN Leaders “November 21, 2015” (asean.org, 2020) was submitted under the respective Member State’s internal ratification process, where the state’s legislative and/or executive department (as applicable) approves, recognizes and commits to adhere the provisions of the regional instrument, through the submission of the Country’s Instrument of Ratification to the ASEAN Secretariat.

The respective ACTIP ratification dates of all Member States are appended to validate *ratification accounts* (cil.nus.edu.sg, 2023). Ambassador Elizabeth Buensuceso, then Permanent Representative of the Philippines to ASEAN, deposited the Philippines’ Instrument of ratification to then ASEAN Secretary General Le Luong Minh (asean.org, 2020) of ASEC February 6, 2017.

Entry into Force – The ASEAN Convention was officially implemented effective after the required minimum six (6) Member States had submitted their respective Instruments of Ratification to the ASEAN Secretariat. After thirty (30) days where the 6th ASEAN Member State, the Philippines had submitted its Instrument of Ratification, the regional legal instrument was *entered into force* “March 8, 2017”(cil.nus.edu.sg, 2023).

Whilst the team aspired for the Philippines to be the first Member State to deposit the instrument of ratification, the team was equally grateful that the Philippines was the sixth member state to do so stamping the *punctuation mark* to its *entry into force*.

This was a practice observed, from the process of the manuscript finalization to legal scrubbing and eventual adoption, to signing and entry into force; these processes are *in principle* “Institutionalized” but are not set in black and white as part of the whole Convention development *process*. Hence, the significance of the total *draft* Convention process as the research referenced artifact is underscored.

Socialization - This is an observed finding, that an ASEAN Convention after it has been entered into force, was best pushed to its way forward when under the diligence of the Lead Shepherd, the manuscripts was immediately as practical, socialized and shared with ***all*** the relevant ASEAN bodies across relevant ASEAN Pillars, because in that socialization, a work plan can be crafted to harmonize all programs related to address the specific priority area in order to unite all efforts in a coordinated measure to ensure efficient implementation of the ASEAN Plan of Action.

*During the start of Socialization, the ACTIP was shared with all relevant bodies across pillars. There was one Member State representative from another body outside the host Pillar who asked (in a multi-tone manner) “**Why is there a provision here allowing Member States to withdraw from the agreement? Why is this provision allowed**” (!)? There was obviously a silent pause, a minute actually. I was looking and expecting a response from the lead shepherd, there was none.*

*Then the eldest most respected statesman of the SOMTC responded in aid to the lead shepherd, In a very calm mono-tone diplomatic manner He replied, “**Thank you for the question ... Please refer to the last page**”... then everyone turned to the last page of the manuscript. “**To answer your questions...Please...ask your President why he signed this document...thank you**”...digesting the wisdom of the wise, silence and awe prevailed. The Statesman is His Excellency Sieng Lapress – Adviser to the King of Cambodia.*

This was also an observed finding that the Socialization, whilst aspired, was not an immediate default initiative of a Convention development process. The Convention *entered into force* can already be made its way forward into a work plan by the TWG, based on the implementing guide from the ASEAN Plan of Action, and then be eventually shared and socialized.

The observed best practice of the ACTIP *Framers* with its immediate socialization was that relevant stakeholders were given their opportunity to share their acquired regional best practice in shared responsibility and contribute to the programs of their purview particular priority area based on their gained expertise addressing the specific priority area.

The ACTIP was shared and socialized to relevant ASEAN bodies across Pillars February 2016 generating the “*Bohol Work Plan*” (asean.org, 2021).

“Include the milestone of the process” (Alfonso, 2022).

*During the socialization, I asked the ASEAN Secretariat **if an initiative of this scale had been done.** The ASEC checked and responded that **this is the first time that a document is socialized across ASEAN Pillars particularly between the ASEAN Political and the ASEAN Socio Cultural Pillars** including all the relevant bodies under the respective Pillars - to where the first ASEAN cross Pillar Work Plan was developed, established, trail-blazed and set institutional Framework precedence. This is called the Bohol ACTIP Work Plan.*

The unpleasant side of the process – “*Outside*” elements provided an underlying assumption on the comparative efforts of sector bodies to demonstrate complexity and snag in cooperation.

*Further into the Socialization - during the Meeting, a representative outside the host Pillar did not acknowledge the presence of his Sector colleague which caught the ire of the offended colleague. **A brief exchange of “unpleasantries” ensued between the two personalities in front of everyone** representing their Sectors across two ASEAN Pillars. It was my first and only time to experience this untoward regional display. **It is intentional on my part to include this***

account because this actually provided and confirmed an assumption.

This display validated my speculation on why there are only two (2) ASEAN Conventions created under 55 years of ASEAN existence. But first, it is only appropriate to acknowledge that there are actually equally significant initiatives across Pillars especially under ASEAN Economic Pillar, that are binding “*Conventions*” but are otherwise counterpart termed as “*Regional Agreements*”.

Brought by the untoward display, an ASEAN dynamic(s) is confirmed. This is also connected to the referenced assumptions on the established institutional Frameworks and lead shepherd’s role and resolve to push an initiative. I observed through the *ASEAN Convention process*, that there are three (3) basic elements to an ASEAN initiative’s way forward conclusion, these are: (1) *Lead Shepherd’s direction and resolve*, (2) *Institutional tools and tenets in established frameworks at-hand*, and (3) *Honest to goodness ‘like-minded advocates’ focused on regional interests (and not on themselves)*.

Case in point, how many ASEAN Conventions have been developed and entered into force in the 55 years of ASEAN? Only two (2) under what ASEAN sector was it developed? And under whose watch? – Both under the Senior Officials Meeting on Transnational Crime, APSC.

Through Autoethnographic observation, I surmise that In-squabbles compromise regional interests and moreover hamper regional development. Level civil harmonious relation amongst in-sector actors is called for an ASEAN initiative’s conclusion.

The thin line between a consensus and non- agreement is actually – one Member State. Then imagine two member representatives locked horns

representing their state? Would the highest interest of the region be addressed? Because of this untoward display of Statesmanship (or lack of it) that I have inferred the above assumption.

*“Staying close to theory allows experimental writing to be a vehicle for thinking of new sociological subjects, new parameters for the social” (Clough, 2000). “The **enabling** endeavor to write under the Framework of auto ethnography opportune me to examine and identify a parameter that - within ASEAN exists social entities that are “**limiting** resource” by allowing the status quo unchallenged which should otherwise capitalize on the empowering established platform of ASEAN Frameworks to develop initiatives intended for the highest interest and welfare of the peoples of the ASEAN region – hindered in essence by personal interest”.*

These again underlines the important role and resolve of the Lead Shepherds to diligently push the ways forward of their shepherded priority area amidst *conflict*, through the support of Member States extending their highest form of cooperation and shared regional responsibility, guided with institutional tenets to uphold ASEAN centrality.

This also provides an underlying facet in human relation nexus Framework objective. That personal issue undermines the objectives of the institution's goal. Advocacy only matters when it is attended to its way forward. It is appalling when issues of personal nature get in the way of advocacies. This is a poignant state of affairs outside of the APSC body as observed. It is never about them - the learner-advocates; it is about the best interests of the peoples of ASEAN.

“The way to be regarded as learner-advocates is to conduct befitting one”.

Moreover during the socialization, the ACTIP and APA manuscript was socialized in a special session with external partners. When the session was over, the external partner remained in the meeting room. Being the convener and Lead Shepherd representative, I was requested (actually sternly reminded) by Singapore

that the non-intervention principle should be observed and safeguarded. So, I respectfully asked the external partner to vacate the room to allow the meeting to continue amongst Member States.

I included this account to provide the level of diligence that Member States demonstrate to maintain the ASEAN tenets safeguarded, sternly reminding me of my role as convener to keep our *values* checked.

It is in these accounts that I developed my conclusions and further assumptions. Table 6 was developed to gather all underlying assumptions to identify the core premise of the findings.

Underlying Assumptions

Table 6 explains the principles underlying the observations.

Table 6

Abstract of the research observation corresponding their underlying assumptions

Autoethnography Observations	Underlying Assumptions
There are six (6) Member States who Lead Shepherds priority area/s, whilst four (4) Member States are without a lead shepherd role.	All Member States are shepherds to all priority areas. It is only that six Member States are voluntary Lead Shepherds. A lead task is voluntary in nature.
Identify the underlying assumption why wouldn't every Member State have respective priority areas to lead and make the ratio 1:1 – 1 member state to lead 1 priority area.	This may stem from the best practice of a State; its attendant conditions nexus existing infrastructure providing them the relevant know-how and capability to address the issue. This corresponds to the non-intervention principle of ASEAN where States may not have the relevant background and existing infrastructure to address issues therefore such are not required/forced upon.

In ASEANS' 55 years , Out of the total ten (10) ASEAN priority areas, only two (2) have made their way to be developed as ASEAN Conventions, whilst eight (8) ASEAN priority areas still remain to be developed on their way forward to a Convention.	Relevant to the above assumption, existing infrastructures in the form of established Working Groups provide the platform to enable a priority area to make its development way forward – diligently led and directed by the voluntary Lead Shepherd. Hence the central role of Lead Shepherds to rally Member States is underscored.
Under the ASEAN Political Security Community Pillar (APSC) Frameworks on Ministers and Senior Officials Meeting and their attendant Working Group Meetings have been established.	In connection with the above assumption, the established Frameworks are indispensable platforms/infrastructure mechanisms to process priority areas or regional issues to be addressed on the level and/or make its Convention development way forward. Further, these infrastructures command centrality and value from regional partners as Frameworks reflect standards of organization.
There is one (only 1) established Heads of Specialist Unit HSU within the Technical Working Group Framework under the whole of APSC that functions as the implementing arm of the SOMTC to address Human Trafficking.	The HSUs' establishment represents the progressive institution dynamics of ASEAN. Created under the technical Working Group on TIP, the HSU is a product brought by the necessity of the AMMTC Framework to consult the operators and victims on the ground, and acquire the actual situation to address the concerns where it matters most. It is the only one of its kind framework in the APSC.
The Experts Working Group (EWG) is created by the TWG as directed by the APSC hierarchy.	The advocacy is channeled and processed into a specific group of subject matter experts in the EWG. This group collectively develops the Convention guided by the tenets of ASEAN and centrality and led and directed by the Lead Shepherd.
Out of the six (6) priority areas that are presently shepherded by Member States, only five (5) have established Working Groups. Identify the significance and underlying assumptions on the establishment of Technical Working Groups	The relevance of established Working Groups is attributed to the diligence of Lead Shepherds to bring their shepherded priorities progress through this Convention way forward through this consultative Framework to have a collective/consensus approach to address such.

	Technical working groups are central processors to the whole <i>Framework</i> processes. TWGs process every initiative that the Leaders, Ministers and Senior Officials advocate. TWGs form the Experts Working Groups (EWGs) to specifically develop regional instruments such as the conventions; and formed the HSU as a consultative operational measure to have workers in the field to attend priorities where it matters.
In the Convention way forward, a Working Draft and an Alternate Draft are simultaneously provided to the EWG body.	The Lead Shepherd develops the working draft whilst a Member State generates the alternate working draft. The alternate draft is an inclusive mechanism to listen to the alternate voices of reason. The alternate draft offers to check and balance provisions to ensure that all interests and bases are covered.
An observed practice is that agendas, issues or topics however highly disputed – are leveraged and can be resolved.	The ASEAN however diverse in national interest will always level its way to arrive at a consensus through consultation, negotiation and level in a manner without submitting its interests but endeavor to leverage on such to push a higher even a better measure. ASEAN Member States will extend their highest level of cooperation by aligning their national interest to the region's interest to seek the highest welfare of the region's vulnerable peoples.
This is an observation related to ASEAN dynamics. Member States form sub-groups to consult.	Member States form sub-groups based on shared borders and interests to consult and ensure that their inclusive interests are considered and aligned to the highest interests of the ASEAN region. Member States value the shared interests of neighbors with shared history. That your nearest neighbor is most aware of your aspirations.
The ACTIP and APA are making their regional instrument development way forward.	Only when the institutional Frameworks are established, and only when the Lead Shepherds are resolute to initiate, employ and maximize the available ASEAN institutional protocol infrastructures – can a

	priority area make its Convention development way forward – underlining the pivotal role of Lead Shepherds; and significance of mandates in Frameworks.
An observed emergent dynamic(s) is that an ASEAN Convention after it has been entered into force is best pushed to its way forward to Socialization.	Under the diligence of the Lead Shepherd, the Convention is to be socialized and shared with all the relevant ASEAN bodies across related ASEAN Pillars, because in that socialization , a work plan can be crafted to unite all regional programs related to address the specific priority area in order to harmonize all efforts in a coordinated measure to ensure efficient implementation of the ASEAN Plan of Action
It is observed that the Socialization, whilst aspired, is not an immediate default initiative of a Convention development process.	The reason is that Socialization is not explicitly written to be implemented. There is no ASEAN guide to make socialization a default measure as an implementing way forward. This may provide relevance to the draft convention process devised in this research. This is the value of <i>writing</i> .
The ACTIP and APA regional instruments are nevertheless Socialized.	Stakeholders' interests are valued along the highest interests of the region's women and children to render inclusiveness .
That an ASEAN Cross - Pillar Work Plan is plausible.	The establishment of the Bohol Work Plan is evidence of that claim. This should set precedence to initiatives of ASEAN Bodies/Sectors crossing Pillars. Related to this finding is an attendant finding that this initiative is the first of its kind and scale on Cross - Pillar endeavor to socialize throughout all relevant sectors of the Political and Socio-Cultural Pillars of ASEAN under the Lead Shepherd Philippines helm.
During the Convention development to its <i>entry into force</i> process and even to the socialization process, the ASEAN tenets were rigorously and diligently observed to uphold the regional identity in ASEAN Centrality.	It takes like-minded advocates with shared history and interests beyond their own to pragmatically keep the region safe from threats in all its forms using ASEAN tenets and centrality as tools of identity .

The ACTIP and APA development is observed as the rallying point for regional human rights advocates.	The ACTIP provided a platform for human rights advocates most from the Socio Community Pillar to commune and gather initiatives to be harmonized.
The significance to draft the Convention process artifact observed.	The draft Convention process as a practical reference provided to form and identify the underlying assumptions to understand the premise on how and why the Convention is developed - the process as how the ASEAN Way worked.
Under the APSC only two (2) Conventions are developed, ratified and entered into force. Identify the observed reason for this phenomenon.	The common denominators for the two Conventions are the (1) established Frameworks anchored on mandates maximized by (2) Lead Shepherds in their diligent role to push the Convention development way forward. Meaning the ASEAN operational readiness way exists and is working. It is also observed that in-fighting within the sector bodies (sectors observed outside the APSC demonstrating unpleasanties during socialization) hinder shepherded advocacies to make its way forward.
The ASECs important role observed as The" Alter ego" of the Secretary General upholding and representing the interests of ASEAN	The ASEAN Secretariat has the important role to ensure that all efforts on administrative and substantive matters are conveyed to all Member States as provided and coordinated by the Lead Shepherd to be further circulated and relayed to all concerned parties. Coordination and communication is always encouraged between Member States and the ASEAN Secretariat on all matters related to facilitating the efficient development of the Convention.
Lead Shepherd's important role observed	The Regional Leader directs the development way forward of the shepherded area/s of cooperation maximizing the available Framework resources, ASEAN tenets under the ASEAN centric approach.
Observed significance of Mandates	The Convention would not have been processed without the benefit of the Legal Mandates anchored from supra and regional benchmarks. Mandates are imperative as a valued legal basis ,

The data from Table 6 provides the research findings synopsis derived from the empirical deconstruction of the artifact draft ASEAN process to reveal the underlying assumptions and ASEAN emergent ways where:

Mandates are imperative as a legal basis. The Conventions way forward are hinged upon valued mandates as its foundation and benchmark.

ASEAN tenets serve as a compass to the Convention process. ASEAN tenets determine the ways ASEAN conducts institution and regional relations. The valued tenet guided processes are then centrality driven.

Every Member State shepherds all priorities. There is however a voluntary Lead to direct priorities course. The value in regional responsibility is not only evident in leading; it is in sharing the responsibility to shepherd one. This is the *way of ASEAN*.

Established Frameworks are valued as enabler infrastructures for Lead Shepherds to process priorities. The way lead shepherds maximize infrastructure resources underscores the Lead's central role on Convention development.

Institution Frameworks are indispensable process infrastructure for Convention development. Frameworks are further valued to generate an attendant framework. This is an ASEAN emergent way where Technical Working Groups create the: Experts Working Groups and specialists Framework.

Institutional Frameworks reflect standards of organization. The attendant Frameworks established represent the progressive institution dynamics of ASEAN. These attendant Frameworks are valued as consultative mechanisms, the way ASEAN seeks and manages the collective aspirations at the level.

The integrity of Frameworks requires an overseer to safeguard such; this is where the ASEC is valued and central. As alter ego of the Sec Gen - ASEC's ways is to encourage extended highest forms of cooperation amongst States to keep the Frameworks with its tenets and centrality upheld -and relevant.

An emergent practice by the Convention Framers was to generate an alternate draft. The alternate draft is an inclusive measure to consider reasonable alternatives to cover collective interests, which provides its value.

The way to "go back to principals and capital" to consult and concur represents the value of regard for the internal affairs of a State. Its relevance is evident in consensus.

Let all experienced opinions be heard and valued, and then it becomes shared information. Shared information generates informed sensible decisions. The observed way ASEAN practices best on conflict resolution.

The value with shared borders is having shared history and interests. Sub-group dynamics provide this opportunity to consult within, and reinforce neighboring interests to align in consensus with the rest of ASEAN – an empirical best practice.

Nuances in culture when accorded with regard reciprocates value. Its significance is apparent in consensus.

The ACTIP is a rallying point for - and valued by human rights advocates. Socialization is the emergent way when ASEAN advocates across Pillars.

The three basic elements valued to develop a Convention way forward: (1) a resolute Lead supported by Shepherd States; to make best use of the (2) available ASEAN institutional protocol infrastructures to process priorities, employing with rigor the (3) institution tenets – through centrality.

Regional partners rally around the ACTIP Convention produced by ASEAN Frameworks to align interests in advocacies – is a way ASEAN commands relevance and centrality.

The value of Socialization is in its inherent inclusiveness. Its attendant force is a harmonized Framework; the shared regional responsibility is its relevance.

Whilst socialization is not an immediate default measure, the ACTIP sharing in an emergent way, sets precedence as guide for future framers to emulate.

An ASEAN Cross - Pillar Work Plan is plausible. Its value is in its set precedence. It is an attendant measure of socialization. Its way is through socialization.

The value of established Conventions is in ways provided by Advocate Framers. The *Framer's* relevance then is with their institutional knowledge generated and shared.

To preserve the institutional knowledge of Framers provides value to draft the historic Convention process. The significant best practices and ways of ASEAN are *drafted* within.

The value of good shepherding is evident in two established Conventions under the APSC. Its ways do not require well learned advocates - only *cultured* ones resolute and open to listen.

The ACTIP development provides this part of ASEAN its relevance. The *process* and context to protect its peoples gives ASEAN its identity.

Autoethnography provided the Framework to reveal the research' underlying assumptions. The knowledge produced provided autoethnography its empirical relevance.

Principles underlying upon the research' underlying assumptions

“Autoethnography provided the framework to reveal the research' underlying assumptions. The knowledge produced provided autoethnography its empirical relevance.”

The research' assumptions point to the Convention process surfaced – the emergent ways of ASEAN in relation to the processes subjected under the tenets through the ASEAN centric approach, the ASEAN way of life – the culture.

These Principles underlying the research' underlying assumptions stemmed from a query to a Member State when asked *“would your team be amenable on this date for the next meeting?”* the representative answered, *“it is the natal day of our king (in Brunei) we are encouraged to be present”*. This was not the only time that I scheduled a meeting away from Member States' *culture events* dates to make me aware of such regard. *The qualitative and quantitative property of Culture kindle consensus* – at least for ASEAN, whilst inconspicuous, culture impacts the decision making process of ASEAN.

The empirical deconstruction of Convention processes revealed culture as Principle underlying to have a profound impact on the phase of ASEAN'S process and relations emergent in its ways to reinforce consensus as the ideal tenet on ASEAN decision building process. *How?*

First let me establish the premise that autoethnography is science. *“Do not box yourself”* (Alfonso, 2022), this is thinking outside of it. I shall employ a simple equation to provide derivative empirical evidence on consensus building as *“autoethnographers also value the need to write and represent research in evocative, aesthetic ways”* (Ellis, 1995, 2004; Pelias, 2000) where I shall employ

numbers to serve as functional aesthetics that suggests to provoke as how culture processes are number driven.

“Autoethnography is the science of writing your lived experience. Autoethnographic writing is a scientific method which contextualizes experiences in cultural, social, political and personal history” (O’Hara, 2018).

The approach through a draft artifact, cross-validated by published articles on accounts provides the research’ evidence based documentation approach.

“Methods of heuristic inquiry are open-ended [with] each research process unfold[ing] in its own way” (Moustakas, 1990). But whilst autoethnography is a science of writing it is a science that can be proven using the generated empirical data subjected through the rigors of math to produce empirical derivative evidence on the phase of ASEAN.

It is easy to assert that ASEANS’ processes as slow with only the aspect and entity of *“time to procedure conclusion”* as a straightforward basis. But had any critic provided empirical evidence to *place a number* on the phase of ASEAN and rationalize ASEAN’S perceived slow phase if at all the same should be - is labeled as such.

“Let us maximize the qualitative research paradigm that allows no predetermined or pre defined categories, allowing the data for centrality and tenets to emerge-not forced” (Saludadez, 2022).

Through autoethnography in the Convention process, I realized a direct relation of culture to ASEANS’ phase - to consensus through equations. Having convened most of the Convention meetings I observed that there is nuance on the number of culture events to the breadth of ASEAN consensus. Let us put a number on that, let numbers explain the science behind consensus.

Table 7 presents a premise on culture events where same dates have different events and culture events have different (even overlapping) dates. The specific culture events and dates of ASEAN are indicated therein (See Table 7).

It is with due diligence that I presented this facet of the study. The purpose of the research is to acquire the principles underlying the adjacent and substantial factors that contribute to the development of the Convention, specifically the length and phase of the *Convention* Process. This provides a deeper understanding of the specifics on events and dates of culture directing the phase of ASEAN. There is this *day* to *date* duality in this study. The *day* represents culture events. The *date* represents the frequency of culture events celebrated. These events however are either celebrated on the same dates (even overlapping); or same culture event on different days.

Table 7 indicates the total shared culture days of Member States when tabled are 82 (culture events on weekends are not included as the intent is to measure the number of days a year ASEAN can meet). Member States either share same dates (even overlapping) over events; or share same events on different dates. The 82 figure either means that Member States share a certain culture event dates; or Member States share the event on different date's even overlapping days. This provides the above position that culture events are either *shared* through dates, or actual events of Member States.

The results / findings were not forced. Whilst the results of the event days compared to dates have different figures, they however both indicate the same finding. That ASEAN has enough days of the year to meet, consult and gain consensus.

The point to show these figures is to confirm the recommendation of the research committee to let the assumptions emerge and not be forced. *“Our analysis would bear it out, let it emerge from the data...not forced”*(Saludadez, 2022).

Table 7

ASEAN Culture events and dates (2016)

Shared		#	Member States
Culture Events	Dates		
1 New Year	Jan 1-2PH(Sat)	1	All except MM MY
2 Independence Day	Jan 4	1	MM
	Jan 6	1	LA
3 Pathet Lao Day	Jan 7	1	CM
4 Victory over Genocide Day	Jan 9	1	MM
Kayin New Year Day (Sat)	Jan 20	1	LA
5 Lao Army Day			
VN New Year's Eve (Sun)	Feb 7	1	VN
	Feb 8	1	BN, ID, LA, MY,
6 Chinese New Year	Feb 8	1	PH, SG
	Feb 9	1	VN
7 Vietnam New Year	Feb 9-(14 WE)	4	MY, SG
		1	VN
8 Chinese New Year	Feb 12	1	
		1	MM
9 Tet Holiday	Feb 22	1	
		1	TH
10 Union Day	Feb 22		
			CM
11 Magha Puha	Feb 23		
			BN
12 Meak Bochea Day	Feb 25		
			PH
13 National Day			

14 People Power Day			
15 Peasant's Day	Mar 2	1	MM
16 International Women's Day	Mar 8	1	CM, LA
	Mar 9	1	ID
17 Day of Silence	Mar 20	1	CM, VN
18 Spring Equinox	Mar 20	1	LA
19 Peoples Day	Mar 22	1	MM
20 Full Moon of Tabuang	Mar 24	1	PH
21 Maundy Thursday	Mar 25	1	ID, PH, SG
	Mar 26	1	PH
22 Good Friday	Mar 27	1	MM
Black Saturday			
23 Armed Forces Day			
24 Chakri Memorial Day	April 6	1	TH
	April 9	1	PH
Araw ng Kagitingan	April 11-20	8	MM
25 Maha Tingyan (2 WE)	April 13-15	1	TH
	April 13-15	1	CM
26 Songkran	April 13-15	1	LA
27 Khmer New Year	April 16	1	VN
	April 30	1	VN
28 Lao New Year			
King's Commemoration (Sat)			

Liberation /Unification Day (S)			
---------------------------------------	--	--	--

Shared		#	Member States
Culture Events	Dates		
Labor Day (Sun)	May 1	1	ID, LA, MY, PH
29 Labor Day	May 2	1	CM, SG, TH, VN
30 May Day	May 1	1	MM
31 Coronation Day	May 5	1	TH
32 Ascension of Jesus Christ	May 5	1	ID
33 Israk Mikraj	May 5	1	BN
34 Ascension of the Prophet	May 6	1	ID
Mother's Day (Sun)	May 8	1	CM
35 King's Birthday (14-15Sat-Sun)	May 13-(15)	1	CM
	May 20	1	TH
36 Vesak	May 20	1	LA
37 Buddha's Birthday	May 20	1	LA
38 Full Moon of Kasong Wesak Day	May 20	1	MM
Vesak Day	May 21	1	MY
Waisak Day	May 21	1	SG
Visak Bochea Day	May 21	1	ID
39 Royal Plowing Ceremony	May 21	1	CM
40 Armed Forces Day	May 24	1	CM
	May 31	1	BN
41 International Children's Day	June 1	1	CM, LA
Yang Di-Pertuan Agong BD	June 4	1	MA
42 Ramadan	June 6	1	BN

Independence Day	June 12	1	PH
Father's Day	June 19	1	CM
43 June Solstice/King's Mother B	June 20	1	CM
44 June Solstice	June 20	1	VN
45 Nuzul Al-Quran	June 22	1	BN
46 Vietnam Family Day	June 28	1	VN
47 Joint Holiday	July 4-5 & 8	3	ID
48 Hari Raya Puasa	July 6-7	2	MY, SG
49 Eid Al-Fitr	July 6-7	2	ID
50 End of Ramadan/Holiday (9Sun)	July 7 & 11	2	BN
Sultan's Birthday	July 16	1	BN
51 Full Moon of Waso (Buddhist Lent)	July 18	1	MM
	July 19	1	TH
52 Asalha Puja	July 19	1	MM
53 Martyr's Day			

54 National Holiday	Aug 9	1	SG
	Aug 12	1	TH
55 Queen's Birthday	Aug 17	1	ID
56 Independence Day	Aug 21	1	PH
	Aug 29	1	PH
Ninoy Aquino Day (Sun)	Aug 31	1	MY
57 National Heroes Day			
58 National Day			

59 Independence Day	Sept 2	1	VN
	Sept 11	1	BN
Hari Raya Aidil Adha	Sept 12	1	MY
60 Hari Raya Qurban	Sept 12	1	SG
	Sept 12	1	ID
61 Hari Raya Haji	Sept 13	1	MY
62 Eid Al-Adha	Sept 16	1	MY
63 Hari Raya Qurban (Hari Kedua)	Sept 22	1	CM, VN
	Sept 24	1	CM
64 Malaysia Day			
65 September Equinox			
Constitution Day			
Awal Muharram (Maal Hiraj)	Oct 2	1	BN, ID, MY
	Oct 11-13	3	CM
66 Pchum Ben Day	Oct 15	1	TH
Commemoration King's Father	Oct 15	1	MM
	Oct 20	1	VN
Full Moon of Thadingyut (lent end)	Oct 23	1	CM
	Oct 24	1	TH
67 Vietnamese Women's Day	Oct 29	1	MY
Paris Peace Agreement Day	Oct 29	1	SG
	Oct 29	1	TH
68 Chulalongkorn Day	Oct 31	1	VN
Diwali			
Deepavali			

King's Coronation Day 69 Special Holiday			
70 All Saints Day	Nov 1	1	PH
71 Independence Day	Nov 9	1	CM
	Nov 13	1	MM
Full Moon of Tazaungmone	Nov 23	1	MM
72 National Day	Nov 24-25	2	CM
73 Water Festival (26 Sun)	Nov 30	1	PH
74 Bonifacio Day			
75 National Day	Dec 2	1	LA
76 King's Birthday	Dec 5	1	TH
International Human Rights	Dec 10	1	CM
	Dec 12	1	TH
77 Constitution Day	Dec 12	1	ID, MY
78 Prophet Muhammad's BD	Dec 21	1	CM, VN
	Dec 25	1	MM, MY, SG, PH, VN
79 December Solstice	Dec 26	1	
	Dec 28	1	ID, SG, BN
Christmas Day	Dec 30	1	MM
80 Christmas Observed	Dec 31	1	PH
			TH, PH, VN
81 Kayin New Year			
82 Rizal Day			
New Years Eve			
82 Shared Events (- W.E. events)	Shared dates	115	

Note: The table is developed from the sourced 2016 ASEAN holidays (dejdomlaw, 2016) to reveal shared culture events and dates of ASEAN Member States.

Legend:

Brunei	BN	Indonesia	ID	Myanmar	MM	Philippines	PH	Thailand	TH
Cambodia	KH	Lao PDR	LA	Malaysia	MY	Singapore	SG	Vietnam	VN
Weekend	W.E. (minus weekend events)								

This then I deduce that there is a need for a separate study on the **“Significance on the nature of ASEAN shared culture events (in the context) to determine (a particular) ASEAN Identity(ies)”** as this study has provided nuances that these event *days* and *dates* have underlying ASEAN culture knowledge waiting to be generated.

This reveals that there is a distinction between culture event days from actual culture dates because of the above nuances. This only proves that *“when a study is endeavored for answers, more questions are raised”*. This is a premise emergent from searching ASEAN culture knowledge providing another layer and perspective on shared culture.

To proceed with the premise on relation of culture to ASEANS’ phase - to consensus through equations, figures from Table 7 shall be utilized. The sum of the collective number of culture events of all ten (10) ASEAN Member States; and weekend days in a year as minuend subtracted from the 365 days (1 year) as subtrahend is equal to the total numbers of days the ASEAN (at least in the SOMTC) where the meetings can possibly be conducted to which the answer makes all the *“difference”*.

365 days (1 year) - (x number of culture dates + weekend days) = plausible meeting dates.

There are 115 total ASEAN culture event days. *Based on Table 7* there are 115 ***shared culture event dates***. The 115 culture dates are sifted to represent the ***actual*** ASEAN shared culture dates.

Factor in “52 *averaged weekends*” + 2 days for 2016 = 106 (*rapidtables.com, nd*) in a year. Where 52×2 (Saturdays and Sundays) + 2 days = 106] is 106 weekend days.

115 culture event days added to 106 weekend days is 221 days. This 221 shall be subtracted from 365 days (1 year) which makes 146 days.

ASEAN has 115 culture dates plus 106 weekend days subtracted from 365 days [$365 - (115 + 106 = 221) = 144$] makes 144 possible days to meet and concur with culture events.

That will make a positive variance and high probability of meetings conducted based on the nuance of *culture* on the total number of culture events. That means for ASEAN it is possible to have 144 meeting days in a year – to meet and gain ***consensus***.

“*Make the plots interesting*” (Buensuceso, 2022). Juxtapose ASEAN with the UN; the UN has 193 member countries. For intents of academic discussion and without even culling all UN member country’s cultural events, Let us assume three (3) cultural events [independence/foundation, memorial/heroes day, and faith based day] for each UN member country making the events total to 579 days ($193 \text{ states} \times 3 \text{ culture events} = 579$) to factor-in culture considerations.

However if to factor in “*shared culture events*” , by using the “*culture date*” percentage from ASEAN is 71 percent (71%) of 579 UN culture days results to 411 (.09).

71(.3) percent came from 82 (*culture days*) of the total 115 ASEAN culture days equal 71 percent. This is used to estimate the same for the UN since ASEAN represents 5 percent of the 193 UN members. [10 ASEAN Member States are 5 percent of 193 UN countries.]

Then 71 percent of 579 (UN culture days) is 411. In this case 411 UN culture days; further factored to add in 104 weekend days [52 weekends x 2 (Saturdays and Sundays) = 104]. Moreover 104 weekend days are added to 411 culture days [106 + 411 = 517 days to be subtracted from 365 days (1 year)].

517 culture and weekend days subtracted from 365 days (1 year) is - 152 (negative variance) computed for UN to meet when culture events are factored in.

Table 8

Possible meeting days in a year for Member States to meet

365 days (1 year) - (x no. of culture dates + x no. of weekend days) = plausible meeting dates	
ASEAN	United Nations
365 – (115+106 = 221) = 144	365 – (411 +106 = 517) = - 152
144 days	-152 days (negative variance)

Note: The premise is under a culture based decision consideration providing regard on culture events days to meet and decide and/or build consensus.

There is therefore the direct relation to culture in entailed number of meeting days to the probability that an event aspired (in this research' case the Convention) to conclude.

This means that no meeting will be held with none accomplished if the UN adopts a culture event consideration approach – hence a consensus based approach will not work for the UN if it employs every member to attend much less gain consensus. Through this empirical calculation, a pragmatic majority decision

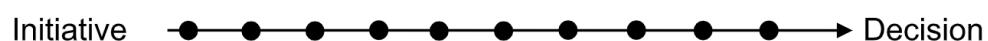
making processes instead is employed by UN – I empirically surmise as it is computed proven. Again the premise comes from culture event consideration for everyone to be present and decide in consensus, because there is the need to meet to have a decision.

With ASEANS' positive variance against the UN's negative variance on the possible days of the meetings means consensus is a pragmatic approach to decision making for ASEAN. This reinforces ASEANS' culture inclusiveness; further galvanizing its decision making process. Therefore, based on the empirical number of culture data computed on the possible days ASEAN can meet is 144 days in a year to develop the Convention. Further based on computation UN will have a negative 152 variance days aspired to meet.

If this be the case then why is the phase of ASEAN such when ASEAN has all 144 possible days to meet whilst the UN have a negative 152 days variance?

Let us apply the simple lines in geometry where Archimedes [287-212 BCE (Toomer, 2023)] asserted that "*the shortest distance between two points is a straight line*" as two points determine a straight line.

Figure 2. ASEAN decision building process line



Legend:

Points (dots) – ASEAN Member States

Line – ASEAN process

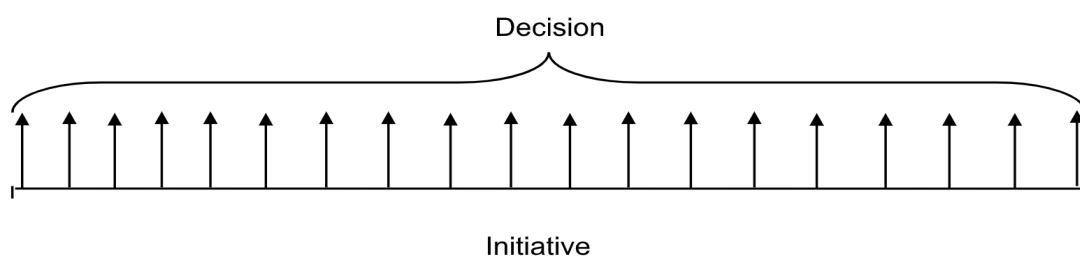
Arrow tip – decision

To relate and represent the elements, the shortest approach from an initiative to its development and conclusion is still a straight line.

The figure represents a “*Convention initiative to Convention decision and entry into force*”. The arrow direction represents the decision building process – from initiative to decision.

All ASEAN States have to align all points to consult and achieve consensus as *inclusive* measures. These dynamics determine ASEAN'S phase of processes and relations. It is the culture – the *way* ASEAN of its processes are inclusive.

Figure 3: UN decision building process line



Legend:

Line – straight line represents the initiative

Bracket – represents the Member's Collective albeit independent decision

19 arrow lines – represent 193 UN Members and respective independent decision in arrow lines on increments of 10

The UN states are illustrated to be aligned. The line represents the initiative where *the States are aligned to decide*. However, the UN state's *decisions do not have to be aligned*.

The UN Member States do not have to concur with every fellow State. They decide independently in yes, no, or abstain in a non-aligned approach, rendering their decisions based on national or *cluster* interests.

Again, to relate and represent the elements, the shortest approach from an initiative to its development and conclusion is still a straight line. The straight line

however for UN States does not have to pass through an inclusive line. Their lines from initiative to decision though still collective are independent.

If ASEAN has only ten members to render a decision, then ASEAN should arrive at a decision in a sooner phase. This is otherwise the case, *why?*

The ASEAN has a different process phase from the UN because its line from *initiative to decision* is determined by the decision making process borne by the regard on culture events as observed through autoethnography - ***This assumption is claimed and provided with empirical number information in this research.***

Culture expressed in numbers impacts the decision building process of ASEAN directing the phase of ASEANS' processes and regional relations. ASEAN culture in numbers implies inclusiveness. ***ASEAN Inclusiveness entails and reinforces institution centrality.***

The *Way of ASEAN* relations – ASEAN culture is valued, embedded and anchored on tenets. Tenets then expressed through inclusive culture reinforces centrality and forms the underlying impetus to ASEAN'S phase and processes. “...Have a confident claim to that knowledge because there was a rigor followed in the way we did research” (Saludadez, 2022). This research therefore has provided empirical written and number information to prove autoethnography in culture Convention process as science – a research done with rigor.

“Autoethnography is dismissed for social scientific standards as being insufficiently rigorous, theoretical, and analytical, and too aesthetic, emotional, and therapeutic” (Ellis, 2009; Hooks, 1994; Keller, 1995). This research' level calculation bridging autoethnography's science through numbers to enlighten social premises should prove critics otherwise.

“Auto ethnography is both a process and a product” (Ellis, Adams, and Botchner, 2011). The empirical data on the research’ underlying assumptions were subjected through a *number process* to provide information on the value of *inclusive culture* reflecting ASEAN tenets and centrality as the underlying impetus and *product* to ASEAN’S phase and processes. This validates that we in ASEAN have more shared culture days than distinct culture days implying the strengthened bond that we all share in culture as culture in its *ways* determine our values in relations.

“Culture directs the phase of ASEAN processes and relations”, this I therefore posit. Since the Convention is a process, I further analyzed the abstract principles underlying to bring it to its core premise, to which I placed such into categories of *“man, method and machine”*; Man or peoples’ traits and values, method or emergent ways, and machine or instruments / tools. Table 9 illustrates the underlying core premise into categories of traits/values, emergent ways and instruments/tools.

Table 9

ASEAN Values, Culture, Foundations Relationship – The Emergent Ways

Actors’ traits / values	Emergent Process	Instruments – Tools
Integral equal partners relevance	Centrality guided/driven	Mandates – legal basis
Voluntarism – lead shepherd	Tenets guided/driven	Foundation – consultation
Shared responsibility	Intra/inter/supra relations	Foundation-non intervention
Collective aspirations	Consensus building	Foundation-consensus
Safeguarding values	Community building	Foundations-centrality
Extended highest cooperation	Shepherding (Lead)	Frameworks
Encouraging	Convention development	Enabler infrastructures
Regard-consult	Produce attendant Frameworks	Process infrastructure

Collective/shared interests	Maximize available resources	Consultative mechanism
Upholding Interests	Standards of organization	Integrity of frameworks
Respect non-intervention	Dynamics of ASEAN	Institution protocol infrastructure
Shared culture	Progressive institution	Draft convention process
Valued views	Inclusive measure	Policy generators/multipliers
Decision building-consensus	Raise and return	
Regional responsibility	Shared informed decisions	
Respect for culture	Rigor employed	
Reciprocity	Aligning interests	
Resoluteness of Lead	Socialization	
Advocacies	Cross sector/pillar work plan	
Commanding Centrality	Framers best practice on process	
Shared border/history	Institution knowledge generated	
Knowledge produces/sharer	The <i>phase</i> of ASEANProcesses	
Valued institutional knowledge		
Good shepherding		
ASEAN Identity		

Note: The entries are independent and does not correspond to adjacent category columns

The information from the table reveals Convention facts and process design. At the onset, the entries were not forced to reveal such numbers. The data were carefully sifted and acquired from the narrative and tabled underlying assumptions. My initial intent was to summarize the already “*gisted*” underlying assumptions abstractly.

I however noticed a process design that led me to posit a deeper underlying assumption. The tables revealed that there are more traits and values than; instruments (tools); and resultant emergent ways of ASEAN processes.

I've mentioned in my previous narratives that lead shepherds make the most of the available Frameworks to push the Convention development way forward. The table confirmed my assumptions that there are only these Frameworks and foundations to go by and develop a Convention, substantive enough though to endeavor a Convention into its *entry into force* and socialization.

Further, the traits and values out-number the emergent ways. I am inclined to suggest that the ASEAN Convention is values driven due to numbers. It is not however the numbers - it's the property of ASEAN values that drives it. Here's how and why. The Convention process anchored on its foundations of tenets and centrality; employing most of the available frameworks develops a Convention. The Convention process itself hinged on foundations and frameworks that forms an encompassing *emergent Convention culture*.

"Culture is the ongoing negotiation of learned and patterned beliefs, attitudes, values and behaviors"(mn.edu, 2023). Values and behavior (traits in this study) are then significant elements to form culture. The ASEAN emergent ways depicted in the table are part and pieces of Convention culture.

I therefore posit that the ***"ASEAN Convention culture is ASEAN values driven"***; not because of the quantity of values revealed on the table, but because of its inherent *"property quality"* that *"values determines and shapes ASEAN Convention culture"* – qualitative instead of quantitative.

Even if the emergent ways outnumber the traits and values, it will only further provide most proof that the inherent quality of values shapes culture, because ASEAN values drives the production of emergent ways – the ASEAN Convention culture, the more the emergent ways generated, the best proof that ASEAN values are dynamic drivers of culture - again proof of qualitative over quantitative.

The culture definition implies that culture is dynamic; akin to the Convention after its socialization, the Convention is making its way forward to implementation.

Further, having established that *“ASEAN processes are values driven”*, I shall coalesce-relate this position to my previous assumption that *“culture directs the phase of ASEAN processes and relations”*. So when culture directs the phase of ASEAN processes and relations, *‘that culture’* –the Convention culture from my previous assumption is then driven by values from this established position. Then the culture that directs the phase of ASEAN *processes and relations* is shaped by ASEAN values.

I therefore posit that ***“ASEAN values drive the culture that drives the phase of ASEAN processes and relations”***. The inherent quality of ASEAN values drives the culture (in numbers) that directs ASEAN’S phases – qualitative over quantitative.

However the inherent quality of the tenets *directs* the phase of ASEAN. Tenets are imbued in ASEAN culture. Tenets serve as a compass to ASEAN processes. Therefore ***“ASEAN values drive the culture that drives the phase of ASEAN processes and relations- are directed by ASEAN tenets”***.

Moreover, “It is from these cultural influences (behavior, values) that our identities are formed” (mn.edu, 2023). The values that shape culture form ASEAN identities. Then, ASEAN identity hinges upon the values that drive culture which drives the phase of ASEAN. ***Therefore ASEAN values in ASEAN culture are our identity.***

“Cultural identities are based on socially constructed categories that teach us a way of being and include expectations for social behavior or ways of acting” (Yep, 2002).

ASEAN identities are constructs of values as our ‘ways’ of being – our culture. Expectation vs. reality is real. ASEAN in lieu of its number is in ways expected to render decisions in ideal phases.

The reality is that it is in this number premise that ASEAN is imbued with the value of inclusiveness and its tenets. This renders ASEAN this “way”, ***“the ways of values in culture is ASEAN’S ideal phase”***.

ASEAN identity is determined upon the ASEAN values that drive ASEAN culture directing the phase of processes and relations in ASEAN. This renders our identity in our phase of processes and relations – in a positive light.

ASEAN’S facility to command a Convention culture and create a regional instrument in its phase of processes and relations provides ASEAN its relevance, the values in these culture “processes” gives it identity.

Table 10

Nature of ASEAN Shared Culture Event Date

ASEAN Event	Member States	Nature of Events
1 New Year	All except MM MY	Season
2 Independence Day	MM	State
3 Pathet Lao Day	LA	State
4 Victory over Genocide Day	CM MM	State State
5 Kayin New Year Day	LA	State
6 Lao Army Day		Season
7 VN New Year’s Eve	VN	Season
8 Chinese New Year	BN, ID, LA, MY, PH, SG	Season
9 Vietnam New Year	VN	Season
10 Chinese New Year	MY, SG	Season
11 Tet Holiday	VN	State
12 Union Day	MM	Faith Based
13 Magha Puha	TH	Faith Based
14 Meak Bochea Day	CM	State
15 National Day	BN	State
16 People Power Day	PH	State
17 Peasant’s Day		Rights Based
18 International Women’s Day	MM CM, LA	Faith Based Season

19 Day of Silence	ID	State
20 Spring Equinox	CM, VN	Faith Based
21 Peoples Day	LA	Faith Based
22 Full Moon of Tabuang	MM	Faith Based
23 Maundy Thursday	PH	Faith Based
24 Good Friday	ID, PH, SG	State
25 Black Saturday	PH	State
26 Armed Forces Day	MM	State
27 Chakri Memorial Day		Faith Based
28 Araw ng Kagitingan	TH	Faith based
29 Maha Tingyan (2 WE)	PH	State
30 Songkran	MM	Faith Based
31 Khmer New Year	TH	State
32 Lao New Year	CM	State
33 King's	LA	Rights based
Commemoration	VN	Rights based
34 Liberation /Unification	VN	Rights based
Day		State
35 Labor Day	ID, LA, MY, PH	
36 Labor Day	CM, SG, TH, VN	
37 May Day	MM	
38 Coronation Day	TH	

39 Ascension of Jesus Christ	ID	Faith Based
40 Israk Mikraj	BN	Faith Based
41 Ascension of the Prophet	ID	Faith Based
42 Mother's Day	CM	Family based
43 King's Birthday	CM	State
44 Vesak	TH	Faith Based
45 Buddha's Birthday	LA	Faith Based
46 Full Moon of Kasong	MM	Faith Based
47 Wesak Day	MY	Faith Based
48 Vesak Day	SG	Faith Based
49 Waisak Day	ID	Faith Based
50 Visak Bochea Day	CM	Faith Based
51 Royal Plowing Ceremony	CM	Faith Based
52 Armed Forces Day	BN	State
53 International Children's Day	CM, LA	Rights Based
54 Yang Di-Pertuan Agong BD	MA	State
55 Ramadan	BN	Faith Based
56 Independence Day	PH	State
57 Father's Day	CM	Family based
58 June Solstice	CM	Season
59 King's Mother BD	TH	State
60 June Solstice	VN	Season
61 Nuzul Al-Quran	BN	Faith Based
62 Vietnam Family Day	VN	Familybased ³

63 Joint Holiday	ID	Faith Based
64 Hari Raya Puasa	MY, SG	Faith Based
65 Eid Al-Fitr	ID	Faith Based
66 End of Ramadan/Holiday	BN	Faith Based
67 Sultan's Birthday	BN	State
68 Full Moon of Waso (Buddhist Lent)	MM	Faith Based
69 Asalha Puja	TH	Faith Based
70 Martyr's Day	MM	State
71 National Holiday	SG	State
72 Queen's Birthday	TH	State
73 Independence Day	ID	State
74 Ninoy Aquino Day	PH	State
75 National Heroes Day	PH	State
76 National Day	MY	State

77 Independence Day	VN	State
78 Hari Raya Aidil Adha	BN	Faith Based
79 Hari Raya Qurban	MY	Faith Based
80 Hari Raya Haji	SG	Faith Based
81 Eid Al-Adha	ID	Faith Based
82 Hari Raya Qurban (Hari Kedua)	MY	Faith Based
83 Malaysia Day	MY	State
84 September Equinox	CM, VN	Season
85 Constitution Day	CM	State
86 Awal Muharram (Maal Hiraj)	BN, ID, MY	Faith Based
87 Pchum Ben Day	CM	Faith Based
88 Commemoration King's Father	TH	State
89 Full Moon of Thadingyut (lent end)	MM	Faith Based
90 Vietnamese Women's Day	VN	Rights Based 7
91 Paris Peace Agreement Day	CM	State
92 Chulalongkorn Day	TH	State
93 Diwali	MY	Faith Based
94 Deepavali	SG	Faith based
95 King's Coronation Day	TH	State
96 Special Holiday	VN	(undetermined)
97 All Saints Day	PH	Faith Based
98 Independence Day	CM	State
99 Full Moon of Tazaungmone	MM	Faith Based
100 National Day	MM	State
101 Water Festival (26 Sun)	CM	Faith based
102 Bonifacio Day	PH	State
103 National Day	LA	State
104 King's Birthday	TH	State
105 International Human Rights	CM	Rights Based
106 Constitution Day	TH	State
107 Prophet Muhammad's BD	ID, MY	Faith Based
108 December Solstice	CM, VN	Season
	MM, MY, SG, PH, VN	Faith Based

109 Christmas Day 110 Christmas Observed 111 Kayin New Year 112 Rizal Day 113 New Years Eve	ID, SG, BN MM PH TH, PH, VN	Faith Based 45 State State 45 Season 12
---	--------------------------------------	--

Note: The intent of the table is to determine the nature of events. The numbers in the rightmost column indicate the frequency of the nature of events.

Legend:

Brunei BN Indonesia ID Myanmar MM Philippines PH Thailand TH
Cambodia KH Lao PDR LA Malaysia MY Singapore SG Vietnam VN

The intent to create the table is to determine the nature of the shared culture that influences the phase of processes and relations of ASEAN. The figures show the predominance of faith based and state culture events both at 45; with season at 12, rights based culture events (7), family related events at 3 and 1 undetermined nature of event. The total culture events are 113. (45+45+12+7+3+1 = 113 to check)

Whilst State and Faith based events are on equal footing, the data provides empirical information that *the nature of ASEAN'S shared culture is still predominantly Faith and State/People based*. This information clearly depicts that the shared culture which shapes the phase of process and relations of ASEAN is grounded upon our peoples collective interests- amidst diverse beliefs.

ASEAN faiths diverse in forms articulated along the lines of *respect* are imbued in our culture constituting the “DNA” of ASEAN processes. Advocates and Convention Practitioners render deliverables anchored on ASEAN'S DNA in deep-seated beliefs.

My lived Convention culture experience reinforced this assumption. As convener to Meetings of diverse faiths, I am always made aware to ensure that faith based related considerations are provided for Advocate Framers.

As facilitator, it is always a standard to make certain that there will always be a prayer room for delegates near the conference room. I have observed that some

delegates in their time of prayer will do so even behind a curtain facing “*kiblah*” oriented to the direction of Kaaba in Mecca representing their faith, as I would ensure that they are left to do so uninterrupted.

In the same regard, I will always make certain that quality “*halal*” food is available for all delegates in a separate area to avoid being paired with other food which may otherwise be considered “*haram*”.

During a meeting in Malaysia 2015, the host before concluding the Meeting politely requested and encouraged us to wait for their time to eat as they were observing Ramadan; in respect we obliged to extend our cooperation.

As convener of the Convention process, the team practically designed and implemented protocols to safeguard faith based considerations to make certain that their *practices* are secured and unimpeded. *It is in these accounts I observed that faith “DNA” is assimilated in the Convention process through extended highest level of cooperation; shared respect and shared responsibility - Pragmatic to theoretical.*

“The relevance for the deference on diverse belief is evident in consensus - the tangible indication of which is the ratified ACTIP Convention”.

“Realizing that all ASEAN Member States...have a shared responsibility and a common goal to prevent trafficking in persons” (cil.nus.sg.edu, 2015). This provision from the ACTIP Convention is shepherded and articulated on shared responsibilities hinged upon the “DNA” within our people’s diverse and collective beliefs.

Shepherding is a shared responsibility. Shepherding and leading to address priority areas is an *expressed form* or “way” of ASEAN leadership – a shared culture, a leadership shared responsibility culture.

This means that shepherding as shared regional responsibility is a shared ASEAN culture. The elements or *DNA* which constitutes culture (as identified in this research so far) are beliefs (faith) and values. Shepherding therefore is an instrument of ASEAN *DNA* or shared culture to share regional responsibilities.

Along this premise shepherding is established as a shared way of Convention culture. The *DNA* of belief (and values) then is ingrained in shepherding. This therefore validates faith (along with values) as movers – the “*internal shepherds*” of ASEAN culture.

“*Culture is the ongoing negotiation of learned and patterned beliefs, attitudes, values and behaviors*”(mn.edu, 2023). The previous narratives identified the significance of the research’ Convention culture values and beliefs. The attitudes in the Convention culture are the Framer’s core views towards the endeavor – advocacies on people’s rights.

The behaviors are the actions to the endeavor. Good shepherding, leading, sharing responsibilities and institutional knowledge, inclusiveness, consultation, non-intervention, consensus, commanding centrality, reciprocity, encouraging, safeguarding values and regional interests, voluntarism, extending highest level of cooperation and respect, maximizing resources, socializing instruments and generating ASEAN knowledge. ASEAN *DNA* or the core of ASEAN culture then constitutes belief, values, attitudes and behaviors – “*internal shepherds*” of ASEAN *Convention* culture.

Therefore “***ASEAN DNA in attitudes, behavior, faith and values shapes the culture that drives and directs the phase and processes and relations of ASEAN Convention***”, – reflecting ASEAN identity, revealing the heart of ASEAN discipline.

“The draft Convention processes relevance is in its underlying assumptions.

The assumption’s inherent ‘ways’ of ASEAN in culture provides its identity”.

Table 11

Answers to research question 2- List of Specific Findings, Conclusions and Implications

1) Value of a Written ASEAN Convention Process		
Research Finding	Conclusion	Implication/Recommendation
The ASEAN Convention Process is enabled best devised, <i>written</i> , drafted and documented, as <i>writing is a form of learning</i> .	The pragmatic led the academic to identify and generate the knowledge on Convention development along its attendant underlying assumptions.	That this ASEAN Convention guide process be preserved through documentation through written and academic visual platforms.
The added value of writing is its intrinsic quality to preserve a heritage culture process such as the ASEAN Convention.	There is reinforced value in participation (autoethnography) and written documentation.	This process guide has real world application as an academic response to the ASEAN provision to streamline ASEAN Processes.
The value to draft the <i>Convention process</i> artifact is within its underlying potential and capacity to facilitate priority areas; and surface the ASEAN dynamics from a noteworthy culture event.	The draft <i>Convention</i> process as a practical reference provided “ <i>form to Convention function</i> ”; that identified the underlying assumptions to understand the premise on how and why the <i>Convention</i> is developed - the process as how the ASEAN emergent Ways worked.	Learners, aspiring <i>Framers</i> and Practitioners can capitalize on this <i>guide and platform</i> to analyze, study for the ASEAN to streamline processes.
The <i>Convention’s principles</i> underlying the processes inherent <i>emergent ways</i> in culture provides ASEAN its identity.	ASEAN values and beliefs are imbued within <i>Convention</i> culture shaping <i>emergent ways</i> that renders ASEAN its distinct ways of processes guided by its tenets to safeguard centrality.	Processes such as <i>Convention</i> development are laden with distinct <i>culture practices</i> , providing relevance to write/document <i>practices</i> to uphold our ASEAN identity.
2) Framework(s) Management		
Research Finding	Conclusion	Implication/Recommendation
In ASEANS’ 55 years , Out of the total ten (10) ASEAN priority areas, only two (2) have made its way to be	Relevant to the above assumption, existing infrastructures in the form of established <i>Working</i>	Institution <i>Frameworks</i> are enabler platforms for priority areas to be facilitated

developed as ASEAN Conventions, whilst eight (8) ASEAN priority areas still remain to be developed on their way forward to a Convention.	<i>Groups</i> provide the platform to enable priority area(s) to make its development way forward – diligently led and directed by the voluntary <i>Lead Shepherd</i>. Hence the central role of <i>lead shepherds</i> to rally member states is underscored.	to its <i>Convention</i> development way forward; Hence the establishment of un-settled Working Groups on remaining priority areas is <i>reiterated</i> to be given the apt attention for its establishment. <i>Shepherds</i> are central to create this institutional tool.
Under the ASEAN Political Security Community Pillar (APSC) - <i>Frameworks</i> on Ministers and Senior Officials Meeting and their attendant Working Group Meetings have been established.	The established <i>Frameworks</i> are indispensable platforms/infrastructure mechanisms to process priority areas or regional issues to be addressed on the level and/or make its <i>Convention</i> development way forward.	These <i>Institution Infrastructures</i> command centrality and value from regional partners - because <i>Frameworks</i> reflect standards of organization. Wherefore: Frameworks should be safeguarded by Observing institution tenets that command centrality.
The <i>hierarchy</i> of ASEAN Institutional Framework for <i>Convention</i> development is identified by tabling the ASEAN Institution structure as protocol for <i>Convention</i> infrastructure. This study further provided and establishes the basic structure of an ASEAN Sector Body.	Convention development entails this protocol infrastructure starting with the indispensable Working Groups as its foundational <i>workhorse</i>. “Without the benefit and Framework of a <i>Working Group(s)</i>, there would be no ASEAN Convention developed.”	Importance is provided to establish(ed) institutional Frameworks. There are still five SOMTC priority areas without Working Groups. Without the benefit of Working Groups, attendant Frameworks will not be established which are vital to facilitate priority areas.

2) Framework(s) Management continued

Research Finding	Conclusion	Implication/Recommendation
A Framework is only a structure if not for its underlying value.	The underlying value of established Frameworks is provided from the Frameworks' <i>innate enabling capacity</i> to <i>collectively</i> process initiatives to generate deliverables in the forms of attendant framework in Heads of Specialists Unit (HSU); and advocacy	Established Frameworks are regarded as “<i>progressive advocacy instrument multipliers</i>”. Therefore, Frameworks that generate attendant <i>Frameworks</i> are aspired to be advanced through relevant studies; as to how actual applications benefiting

	statutes such as <i>ASEAN Conventions</i> .	the peoples of ASEAN through generated derivatives makes the ASEAN way forward to achieve ASEAN (sector) goals.
By virtue of an established Framework, a progressive unit was created under a Technical Working Group Framework; unique under the whole of APSC that functions as implementing arm of the SOMTC to address Human Trafficking – this is the creation of a [lone (1)] Heads of Specialists Unit or HSU.	The HSU exists as an <i>inclusive</i> mechanism brought by necessity – as an ASEAN way to <i>consult field workers</i> of the actual situation on the ground to address concerns where it matters most.	The HSU strengthens the value of Frameworks reflected on ASEAN tenet in consultation. The tenets therefore are invaluable elements of ASEAN Frameworks.
The HSU is the only one of its kind Framework in the APSC.	The HSU's establishment represents the progressive institution dynamics of ASEAN as a derivative mechanism of an existing Framework. An emergent entity upholding ASEAN Centrality – safeguarding the best interest of the peoples of ASEAN.	Aspiring <i>Advocate Framers</i> and Practitioners are to observe this basic <i>principle(s)</i> as guide to ASEAN (<i>Convention</i>) Processes.

2) Framework(s) Management continued

Research Finding	Conclusion	Implication/Recommendation
Frameworks are (tools for) trust building measures; and Good Shepherds capitalize these tools to acquire the aspired trust in cooperation. <i>Good shepherding is diligently leading.</i>	Trust is central to any cooperative Framework. Good Leadership through voluntary shepherding is a role vital to gain trust; as cooperation with Member States entails confidence in Leadership.	Frameworks are tools for regional cooperation. Lead Shepherds are to make full stock of the available Frameworks by maximizing this <i>enabler institution infrastructure</i> to develop regional policy Frameworks.
The Experts Working Group (EWG) is created by the TWG as directed by the APSC hierarchy.	Advocacies are channeled and processed into, and by a specific group of Subject Matter Experts in the EWG. This group collectively develops the <i>Convention</i> as guided by the tenets of ASEAN and centrality and managed by the Lead	The value of leadership through the APSC hierarchy is central to the development way forward to address priority areas. The Lead Shepherd however steers the direction of the development way forward of <i>Conventions</i> .

	Shepherd; as directed by the APSC hierarchy.	It is for the lead to maximize the available <i>Frameworks</i> ; if challenged without the <i>apt frameworks</i> , then capitalize on the precedence that fellow shepherds had trail-blazed to move a priority forward - to create that opportunity of a Framework.
--	--	---

2) Framework(s) Management (continued)

Research Finding	Conclusion	Implication/Recommendation
Out of the six (6) priority areas that are presently shepherded by Member States, only five (5) have established Working Groups.	The relevance of established Working Groups is attributed to the diligence of Lead Shepherds to bring their shepherded priorities progress through this Convention way forward through this consultative Framework to have a collective/ consensus approach to address such.	Technical Working Groups are central processors to the whole <i>Framework</i> processes. TWGs process every initiative that the Leaders, Ministers and Senior Officials <i>advocate</i> .
There is value to the establishment of Technical Working Groups. The underlying assumptions of this Framework provide the tenets its significance to command centrality.		TWGs form the Experts Working Groups (EWGs) to specifically develop regional instruments such as the <i>Conventions</i> ; and formed the HSU as a consultative operational measure to have skilled practitioners in the field to attend priorities where it matters.
		Advocates and practitioners are to capitalize upon the precedence and Frameworks paved by the Framers before them.

2) Framework(s) Management (continued)

Research Finding	Conclusion	Implication/Recommendation
There are Intrinsic relations between priority areas; such as <i>cybercrimes</i> and <i>arms</i> which are tools against human security issues.	Whilst the study's center is to know the assumptions on Convention development and not the focused interests on the priority areas, the priority areas reinforces the impetus to establish	This study provides empirical information to reinforce ASEAN infrastructure processes through established Institutional Frameworks.

The ASEAN priority areas gravitate around to address human security issues – to seek and prioritize the best interest of the peoples of ASEAN.	Working Group Frameworks to preserve the ASEAN way of life, our diverse intrinsic cultures.	<i>This value of Instituted Frameworks as platforms to process advocacies in its relevance to safeguard culture is established in this study.</i>
3) Shepherding Member States...		
Research Finding	Conclusion	Implication/Recommendation
The ACTIP and ASEAN Plan of Action (APA) are making its regional instrument development way forward through diligent <i>Shepherding</i> .	Only when the institutional Frameworks are established, and only when the Lead Shepherds are resolute to initiate, employ and maximize the available ASEAN institutional protocol infrastructures – can a priority area make its Convention development way forward – underlining the pivotal role of Lead Shepherds; and significance of mandates in frameworks.	An ASEAN Convention that is entered into force - is the mark of good shepherding. Lead shepherds are to be resolute and diligent to assume the responsibility of moving the <i>Convention</i> from feasibility study to its entry into force; as lead Shepherds Lead.
3) Shepherding Member States...(continued)		
Research Finding	Conclusion	Implication/Recommendation
The ASEAN value of shared responsibility is reflected upon the (shepherding) voluntary Lead Shepherding of an area of cooperation or a priority area.	Whilst all Member States shepherds priority areas, there is however a member state <i>Lead Shepherd</i> that takes cognizance of the priority area to its development way forward. <i>This study is established.</i>	Shared responsibility under the ambit of <i>Lead Shepherding</i> does not mean equal distribution of priority area on the ratio of 1:1; Shared responsibility in ASEAN reflects the consultation and non-intervention tenets where Member States lead according to their soft and tangible infrastructure capabilities. <i>This study is established.</i>
There are six (6) Member States who Lead Shepherds priority area/s, whilst four (4) Member States are without a lead shepherd role.	All Member States are shepherds to all priority areas. It is only that six Member States are voluntary Lead Shepherds. A lead task is voluntary in nature.	Shepherding entails responsibility. Lead Shepherding requires diligence to move the development way forward of a priority area.
There is this principle underlying why every		Future Farmers and Practitioners are to be aware

Member State doesn't have respective priority areas to lead and make the ratio 1:1 – 1 Member State to lead 1 priority area. (as indicated in the conclusion)	This may stem from the best practice of a State; its attendant conditions nexus existing infrastructure providing them the relevant know-how and capability to address the issue. This corresponds to the non-intervention principle of ASEAN where States may not (yet) have the relevant background and existing infrastructure to address issues therefore such are not required/forced upon.	to observe the non-intervention tenet along with Consultation because not all Member States have the physical and soft infrastructure to lead a priority area.
---	---	--

3) Shepherding Member States...(continued)

Research Finding	Conclusion	Implication/Recommendation
The significance of Lead Shepherding is reflected in its capacity to develop the way forward and entry into force conclusion of a Convention; and the Lead's opportunity to trail-blaze " <i>precedence on processes</i> " and establish institution standards that merit respect from Dialogue and External Partners.	The Regional Leader directs the development way forward of the shepherded area/s of cooperation <i>maximizing the available Framework</i> resources; trailblazing precedents under the compass of ASEAN tenets to command ASEAN centric approach.	Lead Shepherding comes with the opportunity to share best practices on the intricacies of <i>Convention</i> development. Fellow Shepherd's shared responsibility then is to capitalize on the shared best practices and lessons learned to move their respected shepherded priorities to its development way forward.
In the Convention way forward, a Working Draft and an Alternate Draft is simultaneously provided to the EWG body.	The Lead Shepherd develops the working draft whilst a Member State generates the alternate working draft. The alternate draft is an inclusive mechanism to listen to the alternate voices of reason. The alternate draft offers to check and balance provisions to ensure that all	The Lead shepherd whilst managing the development of <i>Convention</i> observes the inclusive nature of the process to <i>listen and include the alternate voices of reason.</i> The alternate draft becomes the working draft for the <i>Plan of Action</i> to implement the mainstream manuscript - ASEAN Convention.

	interests and bases are covered.	
The value of intra cooperation through lead shepherding.	Good shepherding bridges sub-grouping that is identified in this study. <i>Lead</i> unites all <i>Shepherds</i> for the common interest of the peoples of ASEAN.	The relevance of Good Shepherding is reflected upon the ability to unite sub-groups and interests into a consensus.

4) Affirming the Foundations

Research Finding	Conclusion	Implication/Recommendation
The foundation(s) of an ASEAN Convention is composed of: its mandate supported by institution tenets to uphold centrality; and Charter as its legal personality.	A strong foundation to a regional initiative is its legal basis as a benchmark. The legal personality to endeavor such is provided by the Charter.	An endeavor such as the <i>Convention</i> is aptly initiated and embodied by a mandate for which means are guided by the principles of ASEAN, backed up by its legal personality to benefit the marginalized peoples of ASEAN.
This finding is observed and confirmed from the Convention process.	The tools provided are the tenets to uphold centrality in the interest of the people's region. The dynamics of mandates supporting tenets upholding centrality is validated in this study.	The value of a benchmarked mandate and institution principles is in its impetus to uphold centrality. These foundations reinforce centrality and <i>Frameworks</i> .
This is an observation related to ASEAN dynamics. There exists sub-groups in ASEAN formed either ad hoc or prevailing interests driven. Member states form sub-groups to consult. Member states value the shared interests of neighbors with shared history.	That your nearest neighbor is most aware of your aspirations. This is a value reflecting ASEAN dynamics. This sub grouping validates the like-minded nature of shared interest or shared history. Sub grouping has its value in empathy; like-minded peoples are cohorts to " <i>identity</i> " solutions.	States identify themselves geographically with shared history sharing like-minded interests. ASEAN has its culture – its ways of resolving issues. Belonging to a core group reinforces validation on shared interests. The decisions on sub-group validate first their aspirations then aligns with the whole group.

4) Affirming the Foundations (continued)

Research Finding	Conclusion	Implication/Recommendation
Observed significance of Mandates: Mandates are imperative as valued legal	The Convention would not have been processed without the benefit of the	It is a <i>constant</i> that regional endeavors are anchored upon a mandate as its legal

basis , foundation and benchmark of ASEAN initiatives.	Legal Mandates anchored from supra and regional benchmarks.	foundation. Mandates form foundations to reinforce Conventions.
During the Convention development to its <i>entry into force</i> process and even to the socialization process, the ASEAN tenets were rigorously and diligently observed to uphold the regional identity in ASEAN Centrality.	It takes like-minded advocates with shared history and interests beyond their own to pragmatically keep the region safe from threats in all its forms using ASEAN tenets and centrality as tools of identity .	It is but pragmatic that we identify with people of commonalities, shared interests and history. Our commonality amid diversities that we share as a source of advocacies establishes our ASEAN regional identity.
An observed practice is that agendas, issues or topics however highly disputed – are leveraged and can be resolved.	The ASEAN however diverse in national interest will always level its way to arrive at a consensus through consultation, negotiation and level in a manner without submitting its interests but endeavor to leverage on such to push a higher even a better measure.	ASEAN Member States will extend their highest level of cooperation by aligning their national interest to the region's interest to seek the highest welfare of the region's vulnerable peoples. Issues are raised and returned to Capitals to be appraised.

4) Affirming the Foundations (continued)

Research Finding	Conclusion	Implication/Recommendation
ASEAN has the soft power over the superpowers (Dialogue Partners) through institution Tenets and ASEAN Centrality. <i>ASEAN is empowered by its tenets, centrality, mandate, and Charter.</i>	The underlying inclusiveness of ASEAN that empowers representatives to uphold the best interests of the peoples of ASEAN is anchored from the Charter along ASEAN'S attendant tenets and centrality which renders ASEAN as a relevant bloc.	Studies as such identify Frameworks and tenet values of inclusiveness render ASEAN'S relevance. The claim is reinforced with Dialogue and External Partners subjected under the tenet dynamics of ASEAN in order to advance their interests - should align with ASEAN. This attendant value of ASEAN foundations is observed in this study.
Within the observed Experts Working Group dynamics on agendas or topics, however highly disputed – can and were resolved with consultation, negotiation and even	This ASEAN Framework dynamics validates the working principles of ASEAN as a pragmatic approach to institutional processes particularly <i>Convention</i> Development.	I've observed that alternative "Ways" to resolve issues is through her "nearest neighbor" because they both have shared history and interests. Decisions will affect them both. – This is how The ASEAN tenets work

leverage on aspired measures.	on shared history – the <i>culture</i> (way) to settle disputes.
These valued tenets formed part of the dynamics of every discussion.	

4) Affirming the Foundations (continued)

Research Finding	Conclusion	Implication/Recommendation
The “ <i>Raise And Return</i> ” dynamics are institution practice aligning with the non-intervention tenet of ASEAN.	Resolution to Issues is obtained from within. Issues are raised and returned to Principals and Capitals.	The value of the raise and return practice is its deliverable on consensus. The practice is also a reflection of the non-intervention tenet observed by Member States.
It is to consult the Principals and Capitals on issues concerning internal statutes that may have to align with regional edict.	Nearest neighbors or subgroups are consulted to align their interests. These are further negotiated to observe non-intervention to achieve consensus.	This is a practice that reflects the respect of sovereignty for Member States. They may need to align their edicts that require adjustment to their national budget. Or prepare to align their laws to the interim needs of the region.
Raise and return embodies the ASEAN way because the dynamics are conducted through the ASEAN tenets upholding state’s sovereignty and non-intervention.	Consensus is a deliverable of the co-tenets of consultation and non-intervention.	
Convention development reflects the inclusive nature of its tenets.	The thin line between a consensus and non-agreement is <i>one</i> Member State.	The value of one Member State is emphasized in its realization of consensus.
The value then of tenets reflecting inclusiveness to accomplish regional endeavors is underscored; In ASEAN, there is the inclusive “power of (every)-One”.	The inclusive nature of ASEAN is reflected upon the <i>value of one and every Member State</i> as an equal partner to decisions on regional community development.	The significance of “ <i>One</i> ” further reflects/reveal the equitable and equal role of “ <i>every-one</i> ”.

5) Moving the Way Forward – Socialization

Research Finding	Conclusion	Implication/Recommendation
It is observed that the Socialization, whilst aspired, is not an immediate default initiative	The reason is that Socialization is not explicitly written to be implemented. There is no	Hence there is value of written guidelines for the way forward of a ratified Convention to its

of a Convention development process.	ASEAN guide to make socialization a default measure as an implementing way forward. This may provide relevance to the draft <i>Convention</i> process devised in this research.	implementation – through socialization.
The value of Socialization is in its inclusiveness. Its attendant force is shared responsibility.	The ASEAN Convention (ACTIP) is socialized to relevant bodies across Pillars.	Share. The attendant force/derivative of ACTIP socialization is another enabler Framework – the <i>Cross Pillar Work Plan</i> ; this is the value of Sharing.
The ACTIP and APA regional instruments are nevertheless socialized.	Stakeholders' interests are valued along the highest interests of the region's women and children to render inclusiveness . It is an enabling measure to further devise a cross body – Pillar cooperative Framework.	
An observed emergent dynamic is that an ASEAN <i>Convention</i> after it has been entered into force is best pushed to its way forward to socialization.	The <i>value of socialization</i> provides a Work Plan that can be crafted to unite all regional programs related to address the specific priority area in order to harmonize all efforts in a coordinated measure to ensure the efficient implementation of the ASEAN Plan of Action.	As per experience with the ACTIP Convention; the Convention when finalized and entered into force is recommended to be immediately shared and socialized with the relevant bodies, to work upon a unified work-plan for the intended beneficiaries to receive its attendant welfare.
Under the Lead Shepherd's diligence, the <i>Convention</i> is socialized with all <i>Bodies</i> across related ASEAN <i>Pillars</i> .		

6) Moving the Way Forward - Cross Pillar Cooperation

Research Finding	Conclusion	Implication/Recommendation
That an ASEAN Cross - Pillar Work Plan is plausible.	The establishment of the " <i>Bohol Work Plan</i> " is evidence to that claim. This should set precedence to initiatives of ASEAN Bodies/Sectors crossing Pillars.	The value of cross <i>Pillar</i> cooperation is that all relevant ASEAN <i>Bodies</i> are involved to share the responsibility of addressing regional concerns. Again, the Bohol Work Plan is its empirical evidence. The team has trail-blazed

	Related to this finding is an attendant finding that this initiative is the first of its kind and scale; on Cross - Pillar endeavor to socialize throughout all relevant sectors of the Political and Socio - Cultural Pillars of ASEAN, under the Lead Shepherd Philippines.	measures to set this precedence for aspiring <i>Framers</i> to emulate.
The significance of an ASEAN cross Pillar measure is a shared approach to regional solutions.	The ACTIP was shared to relevant bodies across Pillars. The ACTIP socialization was then a trailblazing measure to reach out to all relevant ASEAN bodies.	The derivative of this ACTIP endeavor is a <i>harmonized</i> approach to address (a particular) regional concern/s. A cross-pillar approach whenever possible is a recommended measure to apprise every Member State across Pillars on the efforts to share the responsibility of safeguarding the rights of ASEAN peoples.

6) Moving the Way Forward - Cross Pillar Cooperation (continued)

Research Finding	Conclusion	Implication/Recommendation
The ACTIP and ASEAN Plan of Action (APA) development is observed as the rallying point for regional human rights advocates.	The ACTIP provided a platform for human rights advocates most (and Across) from the Socio Community Pillar to <i>commune</i> and gather initiatives to be harmonized.	There is value to inclusiveness. <i>Socializing rendered advocates across Pillars an empowering platform to advance their advocacies.</i> <i>Inclusiveness conveys Respect and Empowers.</i>
Under the APSC only two (2) Conventions were developed, ratified and entered into force. Part of the reason is assumed and identified in an observed <i>“phenomenon” from Cross-Pillar coordination.</i>	The common denominators for the two Conventions are the (1) established Frameworks anchored on mandates maximized by (2) Lead Shepherds in their diligent role to push the Convention development way forward. Meaning the ASEAN operational readiness way exists and is working.	Upon observation of a particular ASEAN body outside of the APSC, I’ve arrived at a conclusion for the plausible reason(s) that <i>Conventions</i> are not developed within their shop; because their representatives demonstrate <i>“unpleasantries”</i> amongst themselves in front of cross Pillar counterparts.

	It is also observed that in-fighting within the sector bodies (sectors observed outside the APSC demonstrating unpleasanties during socialization) hinder shepherded advocacies to make its way forward.	<i>“The way to be regarded as learned Advocates is to conduct befitting one”.</i> Respect, civil harmonious relations are expected amongst representatives to <i>move advocacies forward.</i>
--	--	--

6) Moving the Way Forward - Cross Pillar Cooperation (continued)

Research Finding	Conclusion	Implication/Recommendation
The ASEC is a conduit and instrumental to cross Pillar cooperation. The ASEC’s important role is observed as The " alter ego" of the Secretary General upholding and representing the interests of ASEAN including cross Pillar cooperation.	The ASEAN Secretariat has the important role to ensure that all efforts on administrative and substantive matters are conveyed to all Member States as provided and coordinated by the Lead Shepherd; to be further circulated and relayed to all concerned parties – <i>across all sectors and Pillars.</i>	The ASEC is an intrinsic and important body of ASEAN to coordinate/communicate across <i>Bodies and Pillars.</i> Coordination and communication is always encouraged between Member States and the ASEAN Secretariat on all matters related to facilitating the efficient development of the Convention and related processes.

7) Convention Management - Phase of ASEAN

Research Finding	Conclusion	Implication/Recommendation
The phase of ASEAN through articulation of <i>culture</i> days and dates is realized. Culture events are subjected through simple math equations revealing reasons on the phase of ASEAN practices and processes.	The nuanced duality of all ASEAN culture days and dates are sifted and computed to reveal the remaining days for ASEAN to meet and concur. Consequently the common denominator for ASEAN juxtaposed with the UN for computed meetings dates is articulated in culture. This revealed that culture drives the phase of processes in ASEAN not exactly by numbers but by the inherent inclusive property of <i>ASEAN Tenet Culture.</i>	This is the value of research. Objective rationalization on narratives is best tested with exact measures. The phase and state of ASEAN affairs are best understood with empirical information - culture examined through the rigor of math, methodical sifting and permutations thereof.

8) Convention Management - Convention Core Drivers		
Research Finding	Conclusion	Implication/Recommendation
Whilst the phase of ASEAN processes is revealed and identified through numerical empirical evidence, the nuance that drives and directs the phase of ASEAN is identified.	“ASEAN processes are values driven” and “culture directs the phase of ASEAN processes and relations”. Therefore “ASEAN values drive the culture that drives the phase of ASEAN processes and relations”. Further “the ways of values in culture is ASEAN’S ideal phase”, and ASEAN faiths diverse in forms articulated along the lines of <i>respect</i> are imbued in our culture constituting the “DNA” of ASEAN processes. Concluding that “ASEAN DNA in attitudes, behavior, faith and values drives the culture that drives the phase and processes and relations of ASEAN Convention”.	The phase and state of ASEAN affairs are best understood with empirical information through culture.
The value of culture to the general dynamics of ASEAN.	The study established the phase of ASEAN that is driven by culture. Cultures in its diverse and communed nature shape the dynamics of the region and relations.	The culture that shapes the region in diverse and particular fields is worthy of study to generate the knowledge on the underlying premise of its attendant forces shaping the region and regional relations.

8) Convention Management - Convention Core Drivers (continued)		
Research Finding	Conclusion	Implication/Recommendation
The respect for culture and diversity is reciprocated through consensus.	Respect through awareness and level understanding of a State’s observed culture and diversity provides a way to facilitate processes – and consensus.	Respect is reflected upon these tenets. It is for Leaders to maintain this level of respect through all ASEAN processes.

	ASEAN safeguards its ways by leadership. Lead Shepherds' role is to make the way forward of processes whilst observing the basic tenets.	<i>Respect diversity in all its form; its reciprocal is deference; its deliverable is consensus.</i>
Looking into this study, I surmise the value to further study on culture specific on ASEAN practices having direct effect on the phases of ASEAN.	Math rendered empirical information that there is sense to culture study having its direct effect on the phase of ASEAN processes and practices.	I surmise that the study's knowledge production on culture nexus ASEAN'S phase is only a nuance to the gamut of its contributions. It is for practitioners and future <i>Convention</i> developers to further observe the dynamics of ASEAN communion culture in all its degree and fields of particularities or fields, generate assumptions and establish ASEAN knowledge.

8) Convention Management Convention Core Drivers (continued)

Research Finding	Conclusion	Implication/Recommendation
The <i>Convention</i> dynamics in its particularities and generality reveal that the emergent <i>ways of ASEAN</i> is shaped by its foundations of tenets borne centrality.	Consultation, Non-intervention and Consensus serves as a compass to ASEAN to safeguard centrality. It is with these tenets that directs the dynamics of ASEAN.	The basic foundations of ASEAN are validated in this study as the impetus behind ASEAN Convention development <i>Culture</i> - the "Way" of ASEAN on its emergent practices and processes. This is established in this study.
Culture – our collective <i>identity</i> drives the dynamics of ASEAN Processes whilst tenets guides that force to safeguard ASEAN centrality	These institution dynamics set and present the <i>ASEAN culture</i> , the way of life – <i>the ASEAN Way</i> on the conduct of regional relations that is <i>emergent</i> from the processes of Convention development.	To examine the veracity or even dismiss any of the study's findings through another integral study is highly encouraged and welcomed.
– Reinforcing these culture dynamics as ASEAN Identity.	The ASEAN way therefore is demonstrated, shaped and guided by the basic	This is to keep the academic discourse on ASEAN active to propagate and seek the underlying values and knowledge that the <i>ways of</i>

	institution principles of consultation, non-intervention and consensus grounded on benchmarked mandates to safeguard ASEAN Centrality. This is established in this study.	ASEAN hold to shape the region's future.
--	---	--

8) Convention Management - Convention Core Drivers (continued)

Research Finding	Conclusion	Implication/Recommendation
The ASEAN Convention process is values driven.	I am inclined to suggest that ASEAN <i>Convention</i> development is values driven due to numbers (number of traits and values identified and tabled in the study). It is not however the numbers - it's the property of ASEAN values that drives it. Here's how and why. The empirical information provides the possible days for ASEAN to meet (144 days/year). However it is the culture nature of consensus that drives ASEAN to its inclusive phases. Values and behavior (traits in this study) are then significant elements to form Convention Culture.	The significance of ASEAN values – the Framers' traits and behavior demonstrated throughout the <i>Convention</i> development has brought the Convention to its <i>entry into force</i> and application. It is to be observed that the same values be extended by future Framers and practitioners to process the remaining priority areas advanced to its development way forward.

8) Convention Management -Convention Core Drivers (continued)

Research Finding	Conclusion	Implications/Recommendation
The knowledge on the <i>driver</i> that shapes the phase of ASEAN - its practices and processes is revealed.	Through analysis of ASEAN culture days and date, the <i>phases</i> of the processes and practices of ASEAN are determined.	Culture is central to the phase of ASEAN. In the like regard the ASEAN tenets imbued in Convention culture serves as a compass to ASEAN processes.

	Culture in its imbued nuances and frequency reveal that through ASEAN'S tenet dynamics, ASEAN'S inclusive culture nature drives the phase of ASEAN's processes and practices.	Therefore: Culture drives the phase of ASEAN whilst Tenets direct that phase of ASEAN.
ASEAN identities are constructs of values as our <i>ways of being</i> – our culture.	Then, ASEAN identity hinges upon the values that drive culture which drives the phase of ASEAN.	Therefore ASEAN values in ASEAN culture <i>construct</i> our identity. ASEAN'S facility to command a Convention culture and create a regional instrument in its phase of processes and relations provides ASEAN its relevance, the values in these culture “ <i>processes</i> ” gives it identity.

9) Autoethnography

Research Finding	Conclusion	Implication/Recommendation
Through autoethnographic observation, I observed that In-squabbles compromise regional interests and moreover hamper regional development.	Sector bodies are represented by Subject Matter Experts and even Eminent Persons who are lear-ned around their fields. This is admirable at best.	Cooperation is working together to an end. A tool to cooperation is respect; respect is not conveyed if self is centered. All are within the bounds of its tenet to affect centrality.
Level civil harmonious relation amongst in-sector actors is called for an ASEAN initiative's conclusion.	It is however my autoethnography experience that when self is centered above sector objectives, these subject persons can hinder sector development getting the better of them.	The consultation tenet reflects the respect for another's diverse thought to obtain consensus.
There is this value of altruism, modesty, meekness and respect for fellow Member States in their diverse culture.	I've provided situations in this study on conduct that was demonstrated even at the expense of another sector body for everyone from another sector Pillar to observe their internal (rifts) concerns.	Centrality is a product of the respect for institution tenets; ASEAN values entail self away as center; rather working with fellow States on the interests of ASEAN peoples as center to render deliverables and uphold centrality.

"It is not about raising the interest of self but the interests represented to align with the welfare of the peoples of ASEAN".

9) Autoethnography (continued)

Research Finding	Conclusion	Implication/Recommendation
The enabling value of the Autoethnography Framework is its sensible approach to academic freedom.	Autoethnography is a pragmatic approach to Academic freedom; Liberating researcher learners from the dependence on various thought restrictions. It is an enabling Framework to present the study from an actual practice and culture participation to affect plausibility on underlying assumptions and knowledge production.	Whilst autoethnography provides the level of academic freedom and does not conform to mainstream research, the study maintained its integrity by validation through cross referencing events with facts and documentation (published) in its relevant duration history. Further akin to the nature of this <i>Framework</i> , The <i>Convention</i> in its entirety is an emancipating framework to safeguard the peoples; women and children of ASEAN from the threats of human trafficking.

Note: The findings along with conclusions/assumptions are themed according to subject premise, emergent ways.

Table 12

Abstract on List of Findings, Conclusions, Implications provided with Emergent Ways

1) Value of a Written ASEAN Convention Process

Research Finding	Conclusion	Implication/Recommendation
The <i>Convention Process</i> is enabled best when written; as writing is a form of learning. This form safeguards heritage Convention culture. The Convention is imbued with underlying values – our identity. It has the capacity to facilitate priority areas.	That there is value in writing. It serves as a reference to process and develop priority areas into regional instruments. This preserves the institutional knowledge of Framers that learners and aspiring Framers can capitalize.	The value to safeguard the legacy - institution knowledge of Framers is in the <i>process guide's</i> capacity for real word practical application on ASEAN'S provision to Streamline ASEAN Processes; and Principles underlying the <i>Process</i> .
Emergent Ways – Safeguard Framers institution knowledge, Streamline processes		

2) Frameworks Management

There are only 5 of 10 Technical Working Groups established. An attendant Framework of HSU is formed because of the available TWG framework.	The presence of an available <i>Framework</i> generates attendant <i>Frameworks</i> . This provides relevance to establish such. Frameworks reflect <i>Convention culture</i> . Frameworks are advocacy platforms.	Frameworks are platform tools of regional cooperation to process priority areas. Conventions will not move its way forward without frameworks. Reflects the efforts of the Sector – Lead Shepherds.
--	--	---

Emergent Ways – Convention culture, Generate attendant frameworks, Regional Cooperation, Advocacy platforms.

3) Shepherding Member States to address Priority Areas

Lead shepherd Philippines facilitated the ACTIP to its ratification, entry into force and socialization. Lead shepherding is not forced to Member States. It is voluntary (non-intervention) in nature.	Lead Shepherd capitalized available Frameworks to facilitate the ACTIPs way development forward. Shepherds who lead have the available soft and physical infrastructure to facilitate priority areas.	Socialized Conventions <i>indicate</i> the resolve, diligence and responsibility of good shepherds to maximize available resources; even to generate an HSU framework.
---	---	--

Emergent Ways – Lead/Good Shepherding, Voluntarism/ non-intervention, Resolve, Diligence, Responsible.

4) Affirming Foundations and attendant dynamics

Research Finding	Conclusion	Implication/Recommendation
Consultation, non-intervention and consensus to uphold centrality form the basic foundation of ASEAN Processes. Mandates serve as legal basis; the Charter provides the legal personality to pursue such.	ASEAN <i>processes</i> including attendant dispute resolutions are anchored on ASEAN fundamentals. States <i>raise and return</i> issues to Principals and Capitals in respect of national edicts to align with the region. Nearest neighbors congregate because they have shared history and interests. <i>They</i> are cohorts to “ <i>identity solutions.</i> ”	Capitals extend their highest form of cooperation by aligning their interest with the highest interest of the region to make the development way forward of the Convention. Disputes are observed and settled when like-minded neighbors consult to facilitate resolutions through informed decisions.

Emergent Ways - Consultation, non-intervention and consensus to uphold centrality. Raise and Return. Extend the highest form of cooperation. Aligning national interest with the highest interest of the region. Shared history/Interests. Like-minded neighbors consult to facilitate resolutions.

5) Moving the Way Forward – Socialization		
Socialization, whilst aspired, is not an immediate default initiative of a <i>Convention</i> development process.	Socialization is not a default initiative as it is not written as <i>Convention</i> protocol.	The value of a written guide is emphasized.
ASEC has a significant role to socialize the instrument.	The Instruments are shared to stakeholders across Pillars with acquired valued best practices as inclusive measures to address regional concerns.	Share. The attendant force/derivative of ACTIP socialization is another enabler framework – the <i>Cross Pillar Work Plan</i> ; this is the value of Sharing.
	The value of socialization is in its inclusiveness. Its attendant force is shared responsibility.	As soon as practical Immediately share the Convention Instrument with the co-facilitation of the ASEC through encouraged cooperation, coordination and communication.
Emergent Ways – Socialization, Share, Enabler. Acquired valued best practices, Inclusive measure, Co-facilitation. Inclusiveness. Shared responsibility.		

6) Moving the Way Forward - Cross Pillar Cooperation		
Research Finding	Conclusion	Implication/Recommendation
That an ASEAN Cross - Pillar Work Plan is plausible.	The attendant force of a <i>Cross Pillar</i> measure is a shared inclusive approach to regional solutions.	The creation of the Bohol Work Plan as indicator is empirical information to Cross Pillar cooperation.
The developed <i>Instrument</i> is observed as the rallying point for regional human rights advocates across Pillars.	This set precedence to trail-blaze socialization across Pillars.	All regional best efforts are cascaded into a harmonized work plan.
		Inclusiveness conveys Respect and Empowers.
		Indicates that ASEAN operational readiness way exists and is working.

Emergent Ways - Rallying point for advocates. Shared inclusive approach. Harmonized work plan. Inclusiveness conveys Respect and Empowers. Set precedence, Trail-Blazed *sharing* measures. Operational readiness way exists and is working.

7) Convention Management - Phase of ASEAN Processes		
The phase of ASEAN is realized through permutation rigors on basic math and line geometry, and articulation of <i>culture</i> days and dates.	The phase of ASEAN is inclusive culture driven.	Whilst the phase of ASEAN is inclusive culture driven, that culture has an intrinsic property that directs the phase of ASEAN. <i>Culture driver</i> and <i>director</i> (guide) are separate elements.

This is the value of research, objective rationalization on narratives is best determined with apt rigor.

Emergent Ways - Inclusive culture driven. Rigor

8) Convention Management – Convention Core Driver and Guide

Research Finding	Conclusion	Implication/Recommendation
Whilst the phase of ASEAN processes is revealed and identified through number rigor/empirical evidence, the nuance that drives and directs the phase of ASEAN is identified.	“ASEAN DNA in attitudes, behavior, faith and values drives the culture that drives the phase and processes and relations of ASEAN Convention”. The tenets however serve as a compass to guide ASEAN to its phases. Therefore, The institution tenets direct <i>the culture</i> that drives the phase and relations of ASEAN Convention.	The phase and state of ASEAN affairs are best understood with empirical information - through <i>culture</i> .
The observed respect for culture and diversity is reciprocated through consensus.	Respect through awareness and level understanding of a State’s observed culture and diversity provides a way to facilitate processes – and consensus.	Respect for diversity in all its forms; its reciprocal is deference, its deliverable is consensus.

Emergent Ways - Respect for culture and diversity. Reciprocity

9) Autoethnography

Autoethnography is a liberating framework	The emancipating impetus of the ASEAN <i>Convention process</i> in its entirety is advocated through the liberating framework of <i>autoethnography</i> .	The <i>Convention process</i> and <i>autoethnography</i> are <i>emancipating enabler frameworks</i> facilitating interest and advocacies respectively.
---	---	--

Emergent Ways – Liberating framework. Enabler frameworks.

9) Autoethnography

Research Finding	Conclusion	Implication/Recommendation
Through autoethnographic observation, I observed	Sector bodies are represented by Subject	Cooperation is working together to an end. A tool to

that In-squabbles (from cross sector <i>Representatives</i>) compromise regional interests moreover hamper regional development.	Matter Experts and even Eminent Persons who are learned around their fields. This is admirable at best.	cooperation is respect; respect is not conveyed if self is centered. All are within the ASEAN tenet bounds to affect centrality.
Level civil harmonious relation amongst in-sector actors is called for an ASEAN initiative's conclusion.	It is however my autoethnography experience that when self is centered above sector objectives, these subject persons can hinder sector development getting the better of them.	The consultation tenet reflects the respect for another's diverse thought to obtain consensus.
There is this value of altruism, modesty, meekness and respect for fellow Member States in their diverse culture.	I've provided situations in this study on conducts unnecessary - that was demonstrated even at the expense of another sector body for everyone from another sector pillar to observe their internal (rifts) concerns. <i>"The thin line that bounds consensus is one Member State". Imagine two states in disagreement.</i>	Centrality is a product of the respect for institution tenets; ASEAN values entail self away as center; rather working with fellow States on the interests of ASEAN peoples as center to render deliverables and uphold centrality. <i>"It is not about raising the interest of self but the interests represented to align with the welfare of the peoples of ASEAN" ... as "the way to be regarded as Learned Advocates is to conduct befitting one".</i>

Emergent Ways - Level civil harmonious relation amongst in-sector actors. Centrality as a product of the respect for institution tenets. The interests of ASEAN peoples as center.

Note: This table was developed to facilitate the relation of the observed findings assumptions to its conclusion and relevant implication. Further revealed are the ASEAN Emergent Ways underlying the Convention process.

Principles Underlying the Process

The Principles Underlying the Process are drawn from the ASEAN Ways themed according to the context premise on the component-steps 1) Affirming the Foundation 2) Shepherding the Member States 3) Frameworks Management 4) Convention Management in the 4A) Phase of ASEAN and 4B) the Core Driver of ASEAN Processes 5) Moving the Way Forward in 5A) Socialization and 5B) Cross

Pillar Cooperation Attendant principles upon the premise on the 6) Autoethnography and 7) Value of a Written ASEAN Convention.

1) **Affirming the Foundation** – The dynamics of the Convention are anchored and guided by **Mandates** and the **Tenets**. These foundations are a source of Member States' soft **power**. The soft power comes from the consensus tenet.

The **consensus** tenet allows every Member State equal stake as partners in decision making to *safeguard* the interest of the region's peoples. Causal to that collective claim is **Centrality**. Therefore the *tenets* that empower States entail/command *centrality*.

2) **Lead Shepherding the Member States** – There are 10 priority areas for 10 member states. I used to assume that for 1 priority area there is one Member State to shepherd and lead the concern 1:1. This is however the fact; only 6 Member States lead 10 priority areas.

“Good shepherding in shared responsibility”. But why would other Members not take the helm when other members lead 2 priority areas. Explanation: All Member States are shepherds. There is however a lead to address the way forward of a priority area – using resources available. Meaning a lead role entails soft and physical infrastructure, experience to capably address regional concerns.

The position entails that a priority area is not forced (**non-intervention**) to a Member State without these established frameworks. Further **diligence** of lead shepherds is observed on two entered-into-force ASEAN Conventions **making the most available** Frameworks.

3) **Frameworks Management** (Development and Establishment). Established Frameworks are *enabler platforms of regional cooperation* to process regional

concerns to its convention development way forward. Without the benefit of established frameworks priority areas will not be processed.

Extending the highest form of cooperation (ASEAN values) entails an institutional platform such as Frameworks. This reinforces the tenets casual to the *soft powers* of Member States over Dialogue partners subjected under the **enabling** institution tenets of non-intervention and consensus, and established enabler Frameworks.

4) **Convention Management – (4.A) Core Driver of ASEAN Processes.** The Inclusive Culture drives and directs ASEAN'S phase of processes; **Respect for Culture** in its intricacies as it defines and **upholds our identity**. **Reciprocity** is an attendant principle for Respect for culture as observed in the Convention process.

Moreover, I correlated the core driver of ASEAN culture to be predominantly *Faith* and *State* driven from the data on table 10, which indicate to validate the impetus of the founding members of ASEAN to safeguard the region from the threats of communism. To keep the region it's *Faith* in all its diversity from the threats of a Godless ideology.

4 B) **Convention Management - Phase of ASEAN – The inclusive nature** of ASEAN drives and directs its phase of processes. The inherent property of **Consensus** that is hinged upon **Consultation** and **Non-intervention** create an *inclusive institution culture* dynamics to empower every Member State equal rights to **regional community building**.

5) **Moving the way Forward in (5.A) Socialization – An inclusive** Framework to **share** the Convention document to affect the implementation way forward of the Convention through a Cross Pillar Work Plan. Socialization is not a default protocol after the Leader's signing. Nevertheless the ACTIP was immediately

shared to relevant ASEAN bodies across Pillars as inclusive measure and **respect** to apprise fellow advocates of the efforts to address regional issues.

Moving the way forward in *Ratification* and *Entry-into –Force* imbues **non-intervention** and **inclusiveness** respectively as not to interfere in *any form* with the internal ratification process of Member States and Entry into Force is a manifestation of **extended highest level of cooperation** to include and **safeguard the best interests** of the Peoples by **overcoming conflicts** through “*identity resolution*” measures **guided by shared interests/identity/history** anchored upon the basic tenets of ASEAN in **consultation**, non-intervention and **consensus** to uphold and manifest **centrality**.

5. B) **Moving the Way Forward in Cross Pillar Cooperation – Harmonize shared efforts** across Pillars into a single Work Plan. This form of collaboration conveys respect upon **valued efforts** of fellow **advocates** across Pillars. This **set the regional precedent** – trail-blazed.

Attendant *Principles* were further identified from the *Process* through Autoethnography and affirming the value of a written Convention.

6) **Autoethnography** is a liberating framework for research. The emancipating impetus of the ASEAN *Convention process* in its entirety is advocated and facilitated through the liberating framework of *autoethnography*.

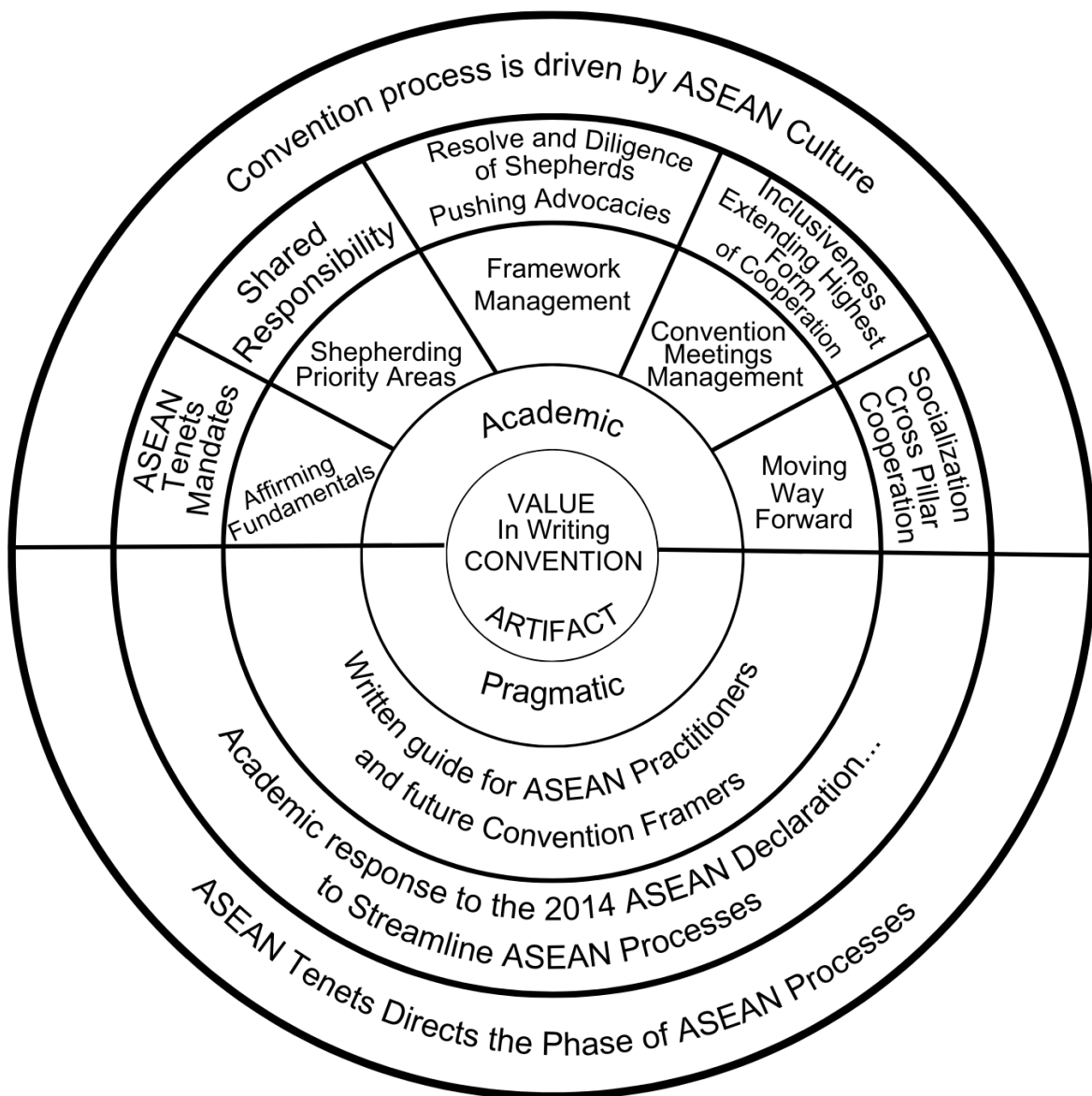
Akin to inherent quality of the autoethnography *framework*; the ACTIP Convention is an **enabling** and **emancipating** framework to protect the vulnerable women and children of ASEAN – to **liberate** them from the threats of human trafficking.

Further, relevant to the *Convention process* this emancipating measure in *Framework* enabled this research to reveal assumptions from the lens of a

participant; in the context of a facilitator convener and ASEAN student. People best understand processes when immersed within. We clearly validate things that are simultaneously facilitated by the senses. We recall processes when our senses are invested in.

7) **Value of a Written ASEAN Convention** – *Writing is a form of learning.* We learn origin and processes of various subjects through written platforms. Convention **culture is safeguarded** with a written artifact. The potential of a written *Convention guide* is in its relevance to **real world practical application**. The convention guide, when realized, enables the facilitation and development of priority areas that actually have real world effect on the vulnerable peoples of ASEAN. It further responds to the streamlining provision of ASEAN.

Figure 4. The Results Bridging the Convention Process to the Principles Underlying



Note: The Graphic representation is made to illustrate that the value in writing the Convention has both academic and pragmatic contributions to ASEANOLGY by providing the actual Convention process and Principles underlying further revealing the important role of culture to the entirety of the ASEAN Convention.

I posited the importance of the study to the value of writing the *Convention* Process. Autoethnography as a Framework *enabled* me to write my first-hand account of the *Convention* culture experience in the context of a *facilitator-convenor*. Autoethnography as a *Method* facilitated my accounts to be written as field notes to

serve as the *artifact* for the study – the data from which all first-hand information were collected and tabled and analyzed to answer the research questions *Process* and *Principles* underlying.

The research results confirmed that there is value in writing the *latent Convention* Process. The latent Convention process provided the artifact data that identified the *Process* and *Principles* of the then unknown ASEAN Convention *practice – Culture*.

The *academic* and *pragmatic* values of the *Convention* culture are affirmed in this study. The “*Process*” or “*how the ASEAN ways played out*” (Saludadez, 2022), provided the means to generate the “*Principles*” underlying that *Process*. The Convention Process termed as “*component-process*” is provided as follows:

Affirming the Fundamentals – The mandate(s) from where the Convention is anchored upon form the base of the development endeavor. The ASEAN tenets serve as guiding principles to the development endeavor for all Member States to observe. The ***Principles*** underlying this component-step are from the ASEAN guiding tenets of consultation, non-intervention and consensus to uphold centrality.

Lead Shepherd the Member States to address priority areas form the second component-process. Lead shepherds possess the soft and physical infrastructure, including the experience to capably *Lead* Member States to develop *priority areas* to Conventions. Lead States with resolve and diligence and as shared responsibility, leads the Member States to push the development of a Convention. The ***Principles*** identified in this component-step are shepherds’ resolve, diligence and shared responsibility.

Framework Management – Lead Shepherds capitalizes on the available established *Frameworks* of the sector-body. The enabler Frameworks are institution

infrastructure to develop regional policies including instruments such as the Convention. Frameworks are tools for regional cooperation to share best practices to address regional concerns. The ***Principles*** identified from this component-step are regional cooperation and sharing of best practices. Also in principle, Frameworks advances advocacies to safeguard the welfare of the ASEAN peoples which renders advocacies as principles underlying this process.

Convention/Meeting Management—The Convention proper is where discussions and consultations to observe non-intervention and render consensus forms its dynamics. Conflict resolution is guided by these tenets to uphold centrality. When there are disputes, issues are *“raised and returned”* to Principles and Capitals (as inclusive measure) to allow their internal edicts align with the best interest of the region in shared responsibility and extend their highest level of cooperation through conveyed consensus. Further, Member States form sub-groups with *nearest neighbors of shared history and interest* to consult and provide *“identity solutions”* to eventually *re-join* the whole group with conveyed consensus. The *Practices* of the Convention is basically guided by the ASEAN tenets to uphold centrality. The ***Principles*** identified in this component-process are ASEAN tenets to uphold centrality, shared responsibility, extending the highest level of cooperation for the best interest of the region, shared interests/history, inclusiveness and in effect reciprocity as extended gesture of consensus.

Moving the Way Forward – After agreeing to all the provisions, the Convention Document is *finalized and legally scrubbed*, the document is then subjected to the respective internal *ratification* process of each Member States as an inclusive measure. After the six Member States have submitted their instrument for ratification, the Convention is *entered into force*. As best practice by the PH Lead

Shepherd, the Convention is immediately socialized as an inclusive measure to all relevant agencies in Cross-Pillar Cooperation to harmonize all acquired regional best efforts to develop a united work-plan to address the regional concern. The ***Principles*** identified in this component-step are inclusive measure, socialization, sharing/acquired best practices and harmonization of regional efforts.

For the Pragmatic value of the written *Convention*, the identified component-steps correspond to the pragmatic value of providing a written guide for Practitioners and aspiring Convention Framers to develop regional policy instruments. As an academic response, the practical value of the *Process* and *Principles* revealed has real world application to take action on the 2014 ASEAN Declaration to *streamline ASEAN Processes*.

Since the Convention Process is a “*way of how ASEAN works*”, it is therefore our distinct culture practice – our identity in culture. Employing rigor to articulate culture in its nature, numbers and frequency; and from empirical information through rigor, I then arrived at an attendant result that *Culture drives the phase of ASEAN processes*. Moreover, the *Tenets upholding centrality directs the culture that drives the phase ASEAN*. Culture therefore is at the center of ASEAN processes. The Convention culture process with principles underlying is the region’s distinct practice of process, providing ASEAN its Convention culture identity.

Chapter VI

RESEARCH SUMMARY, CONCLUSION AND IMPLICATIONS/RECOMMENDATIONS

Research Summary

The written *Convention process* has actual *real world practical application*. The devised written *process* responds to the “*ASEAN provision to streamline ASEAN Processes*”. The *Convention guide* is imbued with the institutional memory of *Framers* on the process of proven *but latent Convention development*. It serves as an available pragmatic platform guide to facilitate, expedite and address ASEAN priority areas.

Whilst the written *Convention guide* has its pragmatic real world application, the *Convention process* is laden with underlying *Principles*, and *Practices*. The *mandates* and tenets of *consultation*, *non-intervention* and *consensus* form the fundamentals to *guide* and *shape ASEAN Framework processes* to *safeguard* and *reinforce centrality*. Without the benefit of *enabler frameworks*, lead shepherds are not able to move the *Convention development* way forward of priority areas. Shepherds are central to capitalize on *frameworks* to generate *emergent attendant frameworks*.

Lead shepherds observed the *inclusive nature of the process* to *listen and include the alternate voices of reason*, which is why the alternate draft from Member States was developed into the *ASEAN Plan of Action (APA)*. Further, this study revealed that *lead shepherding* is not *forced* upon a Member State without infrastructures and capabilities. The quality of *good shepherding* in *shared responsibility* is reflected upon the *Convention’s way forward* to its entry into force,

socialization, and application – as extended with the *highest level of cooperation to seek the highest interest of the region* by fellow Member States.

The regional instrument's *socialization*, whilst not a default measure, was nevertheless immediately socialized and *shared* as an inclusive *value measure* to *harmonize* all regional efforts across Pillars through a unified work plan; all in shared responsibility. The phase of ASEAN is determined by culture articulated in numbers and nature of events. Culture events expressed in numbers, sifted according to frequency and nature of its events provided empirical information on the *driver* and *compass guide* of ASEAN'S phases of processes and practices. All indicate culture (in its inherent and inclusive property) – as central to *ASEANConvention* practice and process dynamics.

Whilst findings reveal the underlying development of the *Convention*, I've also observed the reason why other ASEAN *bodies* across Pillars have not made forward their advocacies. Non- alignment of interests displayed even across Pillars confirmed those assumptions. Autoethnography provided these opportunities to observe, write and provide empirical information on assumptions. Akin to *autoethnography* as liberating, the *Convention process guide* along inclusive values is an emancipating enabling Framework.

Conclusions

Frameworks are advocacy platforms. The availability of *Framework(s)* generates attendant *frameworks*. This renders relevance to establish such, as *frameworks* reflect *Convention culture* and efforts upon the *culture process*. Lead Shepherds capitalize on the available soft and physical infrastructure as platforms to facilitate and address priority areas. Lead shepherding is voluntary in nature.

ASEAN *processes* including attendant *dispute resolutions* are anchored on ASEAN fundamentals. States *raise and return* issues in consultation with Capitals in respect of national edicts to align with the region and provide consensus. Like-minded *neighbors* form sub-groups because of shared history and interests to consult and gather *informed decisions* to align with ASEAN. *Disputes are observed and resolved through informed decisions*. Further, Respect through awareness and level understanding of a State's observed culture and diversity provides a way to facilitate processes – and consensus.

Socialization is not a default initiative as it is not written as *convention* protocol. The Instruments are shared to stakeholders across Pillars with *acquired valued best practices* as inclusive measures to address regional concerns. The value of socialization is in its inclusiveness. Its attendant force is shared responsibility. The attendant force of a *Cross Pillar* measure is a shared inclusive approach to regional solutions. This set precedence to trail-blaze socialization across Pillars.

The phase of ASEAN is inclusive culture driven. *ASEAN DNA in attitudes, behavior, faith and values drives the culture that drives the phase and processes and relations of ASEAN Convention*. The tenets however serve as a compass to guide ASEAN to its phases. Therefore, the *Institution tenets direct the culture that drives the phase and relations of ASEAN Convention*. Also as a result *central to culture* is the people's aspiration and belief. The emancipating impetus of the ASEAN *Convention process in its entirety* is advocated through the liberating framework of *autoethnography*. Through autoethnography I've formed the conclusion that a *sector* (outside of APSC) had not moved development ways forward of Convention(s) because of the observed internal rift and pointlessly demonstrated such amongst

Cross Pillar advocates. *The way to be regarded as advocates is to move the advocacies together, otherwise never.*

There is value in writing. The latent *Convention process* in its entirety serves as a guide to facilitate priority areas into regional instruments. This safeguards the *institution knowledge* of Framers which learners and aspiring Framers can exploit as a pragmatic response to streamline ASEAN processes.

This study defines *Emergent ASEAN Ways* as the *practices emergent and underlying from the ASEAN Convention culture*. These *Ways* emergent from the Convention processes are anchored upon institution tenets that reflect ASEAN'S identity in *values* – the principles underlying the *process culture*:

Through **resolve** and **diligence** Shepherds **generate attendant frameworks**. *Lead Shepherding* is **voluntary** in nature. These *enabler Frameworks* serve as **advocacy platforms** for **regional cooperation**. **Good shepherding** entails **shared responsibility**. The Convention is **shared** with relevant ASEAN bodies through **Cross-Pillar Cooperation** via **socialization**;

Socialization is an **inclusive measure** to respect stakeholders of their interest to **promote the welfare** of the vulnerable peoples of the region. **Inclusiveness** conveys **Respect and Empowers**. This set precedence as **trail-blazed sharing measure** and **rallying impetus** of advocates to **harmonize** the **acquired valued best practices** across Pillars as a **shared inclusive approach** to generate a harmonized work-plan. This renders that the **operational readiness** of the Framework exists to move the way forward to implementation. The ASEAN Secretariat **co-facilitates** this endeavor;

Like-minded neighbor States with **shared history and interests** form sub-groups to **facilitate resolutions** through “*identity solutions*” via **informed**

decisions, along with level **civil harmonious relations** amongst in-sector advocates as central to process development. Issues are “**raised and returned**” to **consult** Principals and Capitals as means to respect sovereignty on internal edicts – **non-intervention**. Capitals extend their highest form of cooperation through **consensus** by **aligning their interest** to the highest interest of the peoples of the region to convey consensus.

The **enabling Framework** and **emancipating impetus** of the ASEAN *Convention culture process* in its entirety is advocated and facilitated through the liberating **rigor Framework** of *autoethnography*. The value to **safeguard the Framers institution knowledge** is in its **pragmatic capacity to streamline Convention processes**. The interests of ASEAN peoples are at the core of **Convention culture** impetus. ASEAN’S phase is **inclusive culture driven**. The tenets direct the culture that drives the phase of ASEAN – to **uphold centrality**. Centrality is a product of that observed respect for institution tenets. These ways emergent from the process, are *evidence* of the underlying value of Convention processes.

Akin to my gained Convention culture experience, I’ve concluded to devise a way to explain the Convention Process and Principles by simultaneously constructing the Convention process and (using) the Rubik cube. The original intent for the development of the Rubik’s cube is to be used as instructional aid – a visual form for *construction*. I shall subscribe to that intent to provide a form. **I posited that there is value in writing. Writing is a form. It is a form of knowing. This rubik cube shall serve its form – as a method to know the Convention process and principles underlying.**

Figure 5. The Rigor of Convention Process is explained through a Rubik's Cube Form.

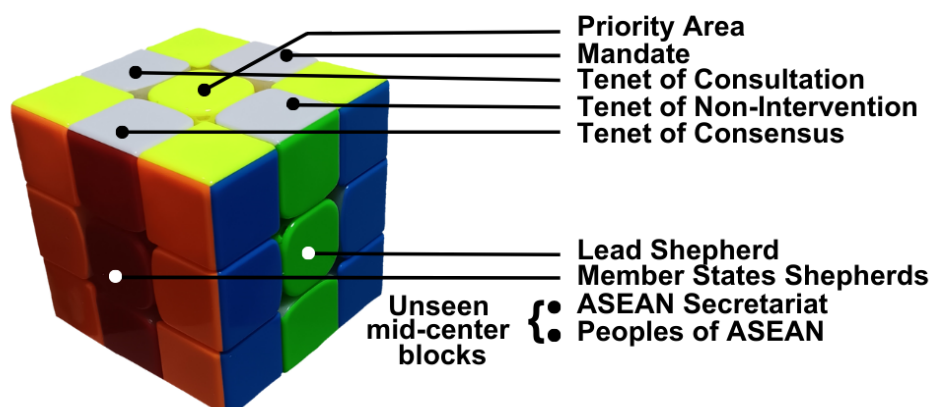
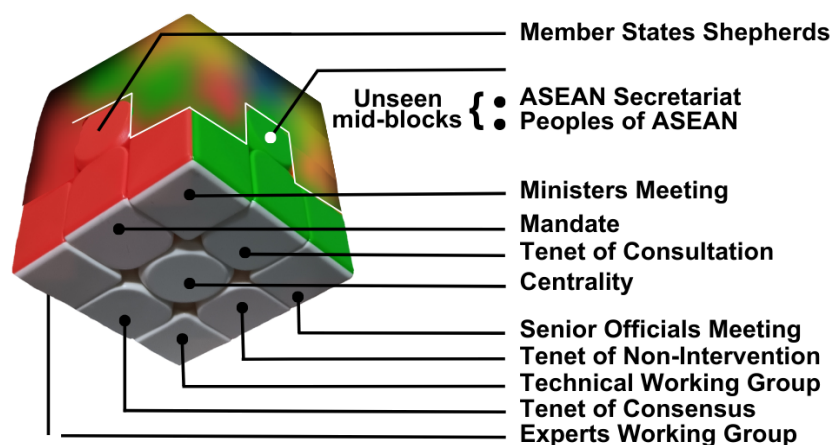


*Figure 5 represents the first component-step for Convention development which is **affirming the foundation**. – The important requisite to initiate Convention development.*

The yellow center block represents the Priority Area to be developed as a Convention. A priority area is made its development way forward upon an anchored *mandate* as represented by one (1) white block. The other three (3) blocks represent the ASEAN tents of consultation, non-intervention and consultation. The mandate(s) and tenets are the fundamental guide (principles) of ASEAN in its processes. The **principles** underlying these step processes are the basic tenets of consensus, non-intervention and consultation to uphold centrality. The tenets (block) are shown aligned to the lead shepherd, the Member State shepherds, the ASEAN Secretariat and the vulnerable Peoples/stakeholders of ASEAN. [The four side blocks of the cube are turned/twisted rotated down to form the base – the foundations are represented in its literal form. (See Figure 6)]

Figure 6. Framework Management (Development & Establishment) is component-step 2



The Lead Shepherd in diligence capitalizes to *manage* the available and established *Frameworks*. In this case the Frameworks of established Experts Working Groups, Technical Working Groups, Senior Officials Meeting and Minister's Meeting represented as the corner blocks of the foundation.

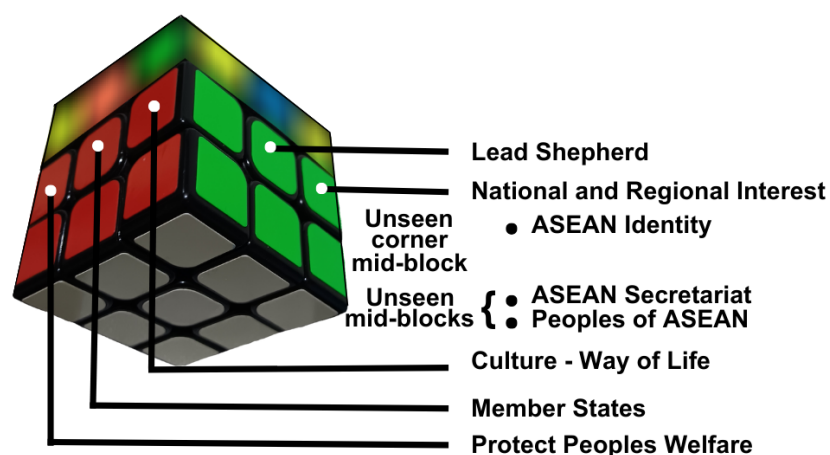
These working groups are platforms for regional cooperation. Without the benefit of working group frameworks, priority areas will not move its development way forward.

The Lead Shepherd is guided by the mandates to maximize all available frameworks to develop the Convention...the ASEAN centric way. The middle block foundation therefore represents ASEAN Centrality.

The mandates, the established working groups along with the tenets to uphold ASEAN centrality form the foundation to develop ASEAN Conventions.

The principles underlying here is diligence of Lead Shepherd to develop forward the Convention, centrality, and regional cooperation. [The Rubik's cube is twisted/rotated to form the mid-corner blocks (see Figure 7)]

Figure 7. Component-step 3 is Lead Shepherding States to address Priority Areas



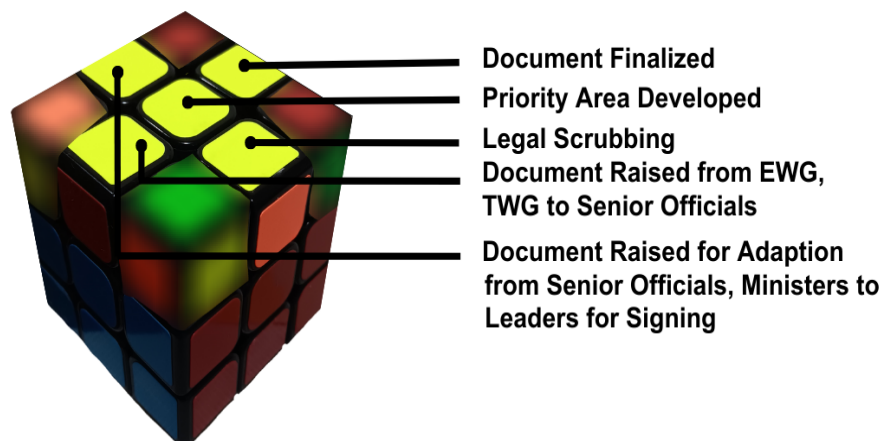
The 4 white fundamental blocks aligned to the Lead Shepherd, Member States, ASEC and the Peoples of ASEAN represented by the mid-center blocks.

The 4 mid-corner blocks represent the National interest aligning with the regional interest that is shepherded by the Lead State. The ASEC oversees the *culture process* – the way of Convention development represented by a mid corner block. The Member States extend their highest level of cooperation to protect the welfare of the vulnerable peoples of ASEAN *and the rights* of stakeholders to share their regional responsibility to address regional concerns. The welfare and rights is represented by a mid-corner block. The distinct culture convention process safeguarding the peoples of ASEAN provides ASEAN its *identity* as a block with established frameworks for regional policy development. This ASEAN Identity is represented by a mid-corner block to complete the component-step.

Notice that at the center of the cube – representing the *Convention* development process are the Peoples of ASEAN and their interests, welfare/rights, culture and identity; including the foundation center block *centrality*. This manifests that the ASEAN Convention development is a *people centric process*.

The *principles* indicative underlying of the processes are; safeguarding welfare, rights, culture, identity and national to align with regional interests through extended highest level of cooperation.[The cube is twisted and turned to form the yellow cross above the cube.(See Figure 8)]

Figure 8. Managing the Convention Meeting(s) is the 4th component-step Process.



The cube is twisted and turned to form the yellow cross of the top cube. The twist and turn represent the discussions, consultations, non-intervention through issues disputed, *raised and returned* to Principals and Capitals to be apprised of the concern and work on to allow internal edicts aligned to the best interest of the region; to extend their highest form of cooperation through consensus. Further conflict resolution is addressed through consultation “*nearest neighbor*” Member State sub-grouping based on shared history

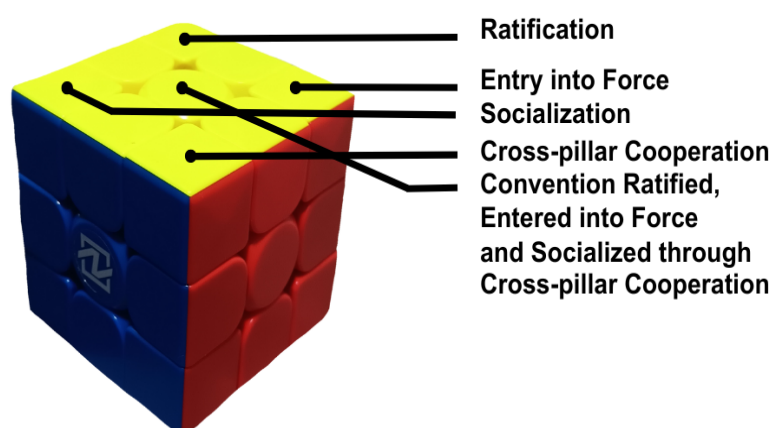
and interests to provide “*identity solutions*” and re-join the whole ASEAN group in consensus.

After all the provisions of the Convention are agreed upon in principle, the draft convention is finalized and subjected to legal scrubbing to “*legally proof read*” to be void of any legal issues. The document is raised from the EWG to the TWG, Senior Officials and Ministers for their adoption. The Ministers then raise the *document* to the Leaders for their signing.

The steps on 1) finalization, 2) legal scrubbing, 3) raising the document for adoption from the EWG, TWG to the Senior Officials then to the Ministers, and 4) and the signing of the ASEAN Leaders are represented by the 4 top mid-blocks of the cube. The center still is the Convention developed.

The Principles underlying this process are the foundation tenets of the Convention. Trust in shared history, interest, and extending the highest level of cooperation for the best interest of the region. [The cube is twisted and turned from the top corner blocks (see Figure 9)].

Figure 9. Moving the Way forward is the fifth component-step



The signed Convention document is subjected to the internal Ratification process of Member States. After 30 days when the sixth Member State had submitted their *Instrument of Ratification*, the Convention is *Entered-into-Force*. As best practice by the PH Team, the ACTIP is Socialized to relevant ASEAN bodies across pillars as an inclusive measure to share the acquired best practices across pillars to address the concern through Cross-Pillar Cooperation to harmonize all the region's efforts into a united work-plan. Moreover, the completed six (6) sides of the cube represent the 6 States needed for the Convention's entry-into-force.

Ratification, Entry-into Force, Cross-Pillar Cooperation and Socialization forms the *way forward* of the Convention; and are represented by the 4 top corner blocks of the cube to complete the construction.

The principles underlying this component-process include Sharing (acquired best practice), Cross-Pillar Cooperation and harmonization of regional plans.

The Rubik's cube provides a practical application of a form. Akin to the Pragmatic application of the written Convention in real world ASEAN application as response to the 2014 ASEAN streamlining provision. The *form - structure* also implies the value of a *Framework* that without the benefit of a framework there would be no platform to address ASEAN Advocacies to its way forward. Note: For the learners, The step process is called "*component-steps*" because the (verbing) *steps* are composed of *component* (nouns) to describe the (*noun*) *Convention Development* (verb).

The figurative hands that construct the cube – representing development of the Convention are the Maritime and Mainland ASEAN States.

Implications/Recommendations

There is value in writing. The **written Convention process** safeguards the legacy institution knowledge of Framers that as *guides* have the capacity for *real word practical application* as response *Framework* on ASEAN'S provision to *Streamline ASEAN Processes*.

Frameworks are enabler platform tools of regional cooperation to process priority areas. Conventions will not move its way forward without frameworks. It reflects the efforts of the ASEAN sector(s) helmed by Shepherds.

Frameworks socialized as Conventions *indicate* the resolve, diligence and responsibility of *good lead shepherds* to have maximized available resources; even to generate attendant Frameworks. Lead shepherding entails available infrastructure, capacity and experience on such; it is not required upon a State, It is voluntary in nature.

Principals and Capitals extend their highest form of cooperation by aligning their interest with the highest interest of the region to make the development way forward of the Convention. Their impetus is hinged upon the **fundamental tenets entailing centrality reinforced by the mandates** that are strengthened by the Charter's *legal personality* to cascade supra mandates into regional applications. Disputes are observed and settled when like-minded neighbors consult to facilitate resolutions through "*identity solutions*" via informed decisions.

The value of a written guide is again emphasized, as **socialization** is not a written protocol. As soon as practical, immediately share the Convention Instrument with the co-facilitation of the ASEC through encouraged cooperation, coordination and communication. Share. The attendant force and derivative of ACTIP socialization is another enabler framework – the *Cross Pillar Work Plan*; this is the value of Sharing.

The creation of the Bohol Work Plan as indicator is empirical information to **Cross Pillar cooperation**. Inclusiveness conveys *Respect* and *Empowers* as *all* acquired regional best practices and efforts are cascaded into a harmonized work plan. It is indicative that the ASEAN **operational readiness way** exists and is working.

Whilst the **phase of ASEAN** is *inclusive culture* driven, that culture has an intrinsic property that directs the phase of ASEAN. *Culture driver* and *director* (guide) are separate elements; Culture in its entirety *drives* the phase of ASEAN, inclusive tenets in Convention culture however *directs* that phase of ASEAN. This is the value of research, objective rationalization on narratives is best determined with *research rigor*.

The phase and state of ASEAN affairs are best understood with empirical information - through *culture*. Culture is at the **core of the Convention processes**, driving and directing the phases of ASEAN practices and processes. Respect for culture diversity in all its forms renders its reciprocal in deference, its deliverable is consensus.

The emancipating impetus of the ASEAN *Convention process* in its entirety is advocated through the liberating framework of *autoethnography* as both the ***Convention process and Autoethnography*** are *emancipating enabler frameworks* facilitating interest and advocacies respectively.

With regard to the observed *display* of Cross-Pillar advocates; it is not about raising the interest of self but the interests represented to align with the welfare of the peoples of ASEAN... *“Move advocacies together otherwise never” as “the way to be regarded as Learned Advocates is to conduct befitting one”*.

The Convention provides its brand of culture. The imbued inclusiveness of culture drives the phases of ASEAN. Central to that culture is Faith/Belief. Behind that collective culture that drives and tenet culture that directs the phases of ASEAN. *Faith/Belief* and *Inclusiveness* is at the heart of that Convention Discipline - our ASEAN Identity in Culture.

Figure 10. The Auto Ethno Account Photo



Where am I in this Community? I was facilitator to convene the ACTIP Meetings with Representatives from relevant ASEAN agencies – I am with the **Framers** of the Convention to protect and promote the rights of the vulnerable Peoples of ASEAN.

REFERENCES

- Alfonso, G. (2022). *Thesis Committee Convo*. [Transcribed thesis presentation]. University of the Philippines, Open University, Los Baños Laguna.
- Allen, M. (2006, May). *Personal Interview by Ellis C.* In Ellis C. et al (2011, Jan). *Autoethnography: An Overview*. Forum: Qualitative Social Research. <https://doi.org/10.17169/fqs-12.1.1589>
- asean.org. (2023). *ASEAN Public Holidays*.
<https://asean.org/wp-content/uploads/2022/12/ASEAN-Public-Holidays-2023.pdf>
- asean.org. (2023). *Events Calendar*. <https://asean.org/events-calendar/>
- asean.org. (2021). *ASEAN ACTIP Plan of Action*.
<https://asean.org/wp-content/uploads/2021/01/APA-FINAL.pdf>
- asean.org. (2022). *Bohol Work Plan (2017-2022) Final Report*.
<https://asean.org/wp-content/uploads/2022/09/Adopted-Final-Review-Report-of-Bohol-TIP-Work-Plan-2017-2020.pdf>
- asean.org. (2021). *A Compilation of ASEAN Declarations, Joint Declarations and Statements on Combating Transnational Crime and Terrorism*.
<https://asean.org/wp-content/uploads/2021/01/ASEAN-Documents-on-Combating-Transnational-Crime-and-Terrorism-1.pdf>
- asean.org. (2021). *ASEAN Convention on Counter Terrorism*.
<https://asean.org/wp-content/uploads/2021/01/ACCT.pdf>
- asean.org. (2021). *ASEAN Working Group on Arms Smuggling*.
<https://asean.org/wp-content/uploads/2021/01/Adopted-TOR-of-SOMTC-WG-on-Arms-Smuggling.pdf>
- asean.org. (2021). *Final-Version-of-Bohol-TIP-Work-Plan-2017-2020*.
https://asean.org/wp-content/uploads/2021/01/Final-Version-of-Bohol-TIP-Work-Plan-2017-2020_13Nov2017.pdf

- asean.org. (2020). *ASEAN welcomes Entry-into-Force of ACTIP*.
<https://asean.org/asean-welcomes-entry-into-force-of-actip/>
- asean.org. (2020). *Instrument of Ratification: Asean Convention against Trafficking in Persons especially Women and Children*.
<https://asean.org/philippines-deposits-instrument-of-ratification-on-anti-trafficking-convention/>
- asean.org. (2017). *ASEAN Declaration to Prevent and Combat Cybercrime*.
<https://asean.org/wp-content/uploads/2017/11/ASEAN-Declaration-to-Combat-Cybercrime.pdf>
- asean.org. (2017). *Bohol TIP Work-Plan 2017-2020*.
https://asean.org/wp-content/uploads/2021/01/Final-Version-of-Bohol-TIP-Work-Plan-2017-2020_13Nov2017.pdf
- asean.org. (2015). *ASEAN Convention against Trafficking in Persons especially Women and Children*.
<https://www.asean.org/wp-content/uploads/2015/12/ACTIP.pdf>
- asean.org. (2015). *Rise of Radicalization and Violent Extremism*.
<https://asean.org/wp-content/uploads/2021/09/Press-Statement-10th-AMMTC-RRVE.pdf>
- asean.org. (2014). *Declaration on Strengthening the ASEAN Secretariat and Reviewing the ASEAN Organs*. ASEAN Documents Series. <https://asean.org/wp-content/uploads/images/2015/October/asean-publication/9.%20September%202015%20-%20ASEAN%20Documents%20Series%202014.pdf>
- asean.org. (2012). *Joint Communiqué of the 6th AMMTC Bandar Seri Begawan*.
http://asean.org/?static_post=joint-communique-of-the-6th-ammtc-bandar-seri-begawan-6-november-2007
- ASEAN Political Security Blueprint. (2016). *ASEAN Political Security Blueprint*.
<https://www.asean.org/wp-content/uploads/2012/05/ASEAN-APSC-Blueprint-2025.pdf>

- ASEAN Secretariat. (2020). *ASEAN Charter: Significance of our ASEAN Charter*.
<https://asean.org/asean-charter/>
- Asean Secretariat. (2012, July 4). ASEAN Declaration on Transnational Crimes.
http://asean.org/?static_post=asean-declaration-on-transnational-crime-manila-20-december-1997
- Bochner, A. P. (1997). *It's about time: Narrative and the divided self. Qualitative Inquiry*. Sage Journals. <https://doi.org/10.1177/107780049700300404>
- Bochner, A. P. (2002). *Perspectives on inquiry III: The moral of stories*. In Mark L. Knapp & John A. Daly (Eds.), *Handbook of interpersonal communication* (3rd ed.). Sage Journals.
- Buensuceso, E. (2022). *Thesis Committee Convo*. [Transcribed thesis presentation]. University of the Philippines, Open University, Los Baños Laguna.
- Chan, A. (2018). *Thadingyut and Tazaungdaing Festivals*. Myanmar Insider Group.
<https://www.myanmarinsider.com/thadingyut-and-tazaungdaing-festivals/>
- cil.nus.edu.sg. (2023). *ACTIP database*.
<https://cil.nus.edu.sg/databasecil/2015-asean-convention-against-trafficking-in-persons-especially-women-and-children/>
- cil.nus.sg.edu. (2015). *Asean Convention against Trafficking in Persons*.
<https://cil.nus.edu.sg/wp-content/uploads/formidable/18/2015-ASEAN-Convention-against-Trafficking-in-Persons-Especially-Women-and-Children.pdf>
- Cripps, K. (2019). *Thailand Royal Coronation: What Bangkok travelers need to know*.
<https://edition.cnn.com/travel/article/bangkok-travel-royal-coronation-thailand/index.html>
- Clough, P. T. (2000). *Comments on setting criteria for experimental writing. Qualitative Inquiry*. In Wall S. (2006). *An Autoethnography on learning Autoethnography*. Sage.
<https://journals.sagepub.com/doi/10.1177/160940690600500205>

- cnbctv18.com. (2022). *Muharram history and how it is observed*.
<https://www.cnbctv18.com/india/muharram-2022-history-day-and-significance-14407042.htm>
- dejudomlaw.com. (2016). *Asean Public Holidays*. Dej-Udom and Associates.
<https://www.dejudomlaw.com/wp-content/uploads/2015/12/2016-ASEAN-Public-Holiday-Calendar.pdf>
- Doyle, L. (2018, July). *Martyr's Day Meaning*. UK Daily Express.
<https://www.express.co.uk/news/world/990961/Myanmar-Martyr-s-Day-2018-celebration-June-19-Burma-history-assassination>
- Duong, J. (2022). *Vietnam celebrates 47th Reunification Day*. Hanoi Times.
<https://hanoitimes.vn/hanoi-celebrates-47th-reunification-day-320636.html>
- Ellis, C., Adams, E., Bochner, A. (2011). *Autoethnography: An Overview*. Forum: Qualitative Social Research. <https://doi.org/10.17169/fqs-12.1.1589>
- Ellis, C. (2009). *Telling tales on neighbors: Ethics in two voices*. *International Review of Qualitative Research*. Sage. <https://doi.org/10.1525/irqr.2009.2.1.3>
- Ellis, C. (2004). *The ethnographic I: A methodological novel about autoethnography*. Alta Mira Press. <https://www.qualitative-research.net/index.php/fqs/article/view/1589/3095>
- Ellis, C. (1995). *Final negotiations: A story of love, loss, and chronic illness*. Philadelphia: Temple University Press.
<https://tupress.temple.edu/books/final-negotiations>
- Ellis, C. & Bochner, A. P. (2000). *Autoethnography, personal narrative, reflexivity*. In Norman K. Denzin & Yvonna S. Lincoln (Eds.), *Handbook of qualitative research* (2nd ed.). Sage Journals.
<https://www.qualitative-research.net/index.php/fqs/article/view/1589/3095>
- Ellis, C. & Ellingson, L. (2000). *Qualitative methods*. In Edgar Borgatta & Rhonda Montgomery (Eds.), *Encyclopedia of sociology*. New York: Macmillan.
<https://www.qualitative-research.net/index.php/fqs/article/view/1589/3095>

Faruqui, S. (2019, April). *Al-isra' wal-Mi'raj: The story of the miraculous night journey*.
<https://muslimhands.org.uk/latest/2019/04/al-isra-wal-mi-raj-the-story-of-the-miraculous-night-journey>

Freebody, P. (2003). *Qualitative research in education*. London: Sage.

In Méndez, M. G. (2013) Autoethnography as a research method: Advantages, limitations and criticisms.https://www.researchgate.net/publication/260778406_Autoethnography_as_a_research_method_Advantages_limitations_and_criticisms/link/5666988608ae15e74634d446/download

Geertz, C. (1973). *The interpretation of cultures*. New York: Basic Books Inc.
<https://web.mit.edu/allanmc/www/geertz.pdf>

Goodall, B.H.L. (2006). *A need to know: The clandestine history of a CIA family*. Walnut Creek, CA: Left Coast Press. In Ellis C. et al (2011). Autoethnography: An Overview. Forum: Qualitative Social Research.
<https://doi.org/10.17169/fqs-12.1.1589>

Goodall, B.H.L. (2001). *Writing the new ethnography*. Alta Mira Press.
In Ellis C. et al (2011). Autoethnography: An Overview. Forum: Qualitative Social Research. <https://doi.org/10.17169/fqs-12.1.1589>

Hadi, S. (2018, March). *What is Nyepi?* Understanding the Balinese Day of Silence.
<https://ubudhood.com/calendar.google.com>

Henton, K. (2017, Feb). *The history of Thingyan festival, Myanmar*.
<https://theculturetrip.com/asia/myanmar/articles/the-origins-of-the-thingyan-festival-burma/>

Hisham, (2022, April). *The history of Quran: Nazul Quran*.
<https://www.muslim.sg/articles/the-history-of-the-quran-nuzul-quran>

Holman Jones, S. (2005). *Autoethnography: Making the personal political*. In Norman K. Denzin & Yvonna S. Lincoln (Eds.), Handbook of qualitative research. Sage. In Ellis C. et al (2011). Autoethnography: An Overview. Forum: Qualitative Social Research. <https://doi.org/10.17169/fqs-12.1.1589>

Hooks, Bell (1994). *Teaching to transgress: Education as the practice of freedom*. New York: Routledge. <https://www.qualitative-research.net/index.php/fqs/article/view/1589/3095>

INTERPOL General Secretariat (2023). *INTERPOL Global Complex for Innovation*. <https://www.interpol.int/Who-we-are/General-Secretariat>

Jorgenson, J. (2002). *Engineering selves: Negotiating gender and identity in technical work*. Management Communication Quarterly. Sage Journals <https://doi.org/10.1177/0893318902153002>

Kitnan, R. (2008, June 16) - *Counter-terrorism, Human Trafficking Take Center Stage at ASEAN Officials Meeting*. South Information Gateway. <http://www.ssig.gov.my/blog/2008/06/16/counter-terrorism-human-trafficking-take-centrestage-at-asean-officials-meeting/>

Keller, E. F. (1995). *Reflections on gender and science*. Yale University Press. <https://www.qualitative-research.net/index.php/fqs/article/view/1589/3095>

Knight, Casassa, Kagotho, (2021, Dec). *Dignity and worth for all: identifying shared values between social work and Christian faith-based groups' anti-sex trafficking discourse*. Journal of Religion and Spirituality. <https://www.tandfonline.com/doi/full/10.1080/15426432.2021.2011533>

Koh, J. (2013, Oct). *Hari Raya Haji*. Nat'l Library Board Gov.sg. https://eresources.nlb.gov.sg/infopedia/articles/SIP_323_2004-12-28.html

Kongsanae, K. (2021, April). *Water Festival in ASEAN*. <http://www.c-asean.org/post/your-title-what-s-your-blog-about>

Kotecha (2017, Sept). *ASEAN & ACTIP: Using a Regional Legal Framework to Fight a Global Crime*. Liberty Asia to prevent human trafficking. <https://globalinitiative.net/wp-content/uploads/2018/01/Using-a-Regional-Legal-Framework-to-Fight-a-Global-Crime-Liberty-Asia-2017.pdf>

- LAOA, (2002). *Lao New Year History*. Lao Advancement Organization of America.
<http://www.laoamerica.org/documents/Lao%20New%20Year%20HistoryEng.pdf>
- Layador, M.A.R. G. et al (2013). *ASEAN's Diplomatic Culture: The ASEAN Way*.
 UPOU. ASEAN Studies Book II. University of the Philippines. Open University.
- Librero, F. (2018). *Thesis writing a practical guide*. Faculty of Information and
 Communication Studies. UPOU Networks. UPOU Multimedia Center. Los
 Banos, Laguna.
<https://networks.upou.edu.ph/12113/thesis-writing-a-practical-guide-dr-felix-librero/?highlight=thesis%20writing&cn-reloaded=1&cn-reloaded=1>
- Lim, L. (2002, April). *Khmer New Year*.
<https://ethnomed.org/resource/khmer-new-year/>
- Lindgren, D., Quinger, L. (2022, Sept). *Trafficking Victim Protection in ASEAN: A
 study on the implementation of the ASEAN Convention against Trafficking in
 Persons, Especially Women and Children, in seven ASEAN Member States*.
 Australia Aid ASEAN Australia Counter Trafficking - Rapid Asia.
https://www.aseanact.org/wp-content/uploads/2023/03/080223_Victim-Protection-Study_RapidAsia-1.pdf
- Loo, D.B. (2017). *Trust the researcher? Autoethnography as a tool to study English
 teaching professionals*. ESEA.
https://sola.kmutt.ac.th/dral2017/proceedings/3-Papers/4558_Trust%20the%20researcher_Daron%20Loo.pdf
- Maso, I. (2001). *Phenomenology and ethnography*. In Paul Atkinson, Amanda
 Coffey, Sara Delamont, John Lofland & Lyn Lofland (Eds.), *Handbook of
 ethnography*. Sage. In Ellis C. et al (2011). *Autoethnography: An Overview*.
 Forum: Qualitative Social Research. <https://doi.org/10.17169/fqs-12.1.1589>
- Mendes, M. G. (2013, Dec). *Autoethnography as a research method: Advantages,
 limitations and criticisms*. Colombian Applied Linguistics Journal.
https://www.researchgate.net/publication/260778406_Autoethnography_as_a_research_method_Advantages_limitations_and_criticisms/link/5666988608ae15e74634d446/download

- mfa.go.th. (2022, May). *Celebration of thai Visakha Puja or Vesak Day in Bodhgaya*.
<https://www.mfa.go.th/en/content/pr-kolkata-05202022-2?cate=5d5bcb4e15e39c3060006844>
- mfa.go.th. (2022, Nov). Songkran: *Thai New Year Festival Reception*.
<https://www.mfa.go.th/en/content/5d5bd12415e39c30600234cc?page=5d5bd3da15e39c306002aaf9&menu=5d5bd3cb15e39c306002a9b0>
- mn.edu. (2023). *Foundations of cultures and identities. Communication in the real world*.
<https://open.lib.umn.edu/communication/chapter/8-1-foundations-of-culture-and-identity/>
- Moustakas, C. (1990). *Heuristic research: Design, methodology, and applications*. Sage. In Wall S.
<https://journals.sagepub.com/doi/10.1177/160940690600500205>
- Muncey, T. (2005). *Doing autoethnography*. International Journal of Qualitative Methods. http://www.ualberta.ca/~iiqm/backissues/4_1/pdf/muncey.pdf
- Murray, L. (2023). *Eid al Fitr*. Encyclopedia Britannica Inc.
<https://www.britannica.com/story/the-international-criminal-court-icc>
- nationsonline.com. (nd). *Country Codes List*.
https://www.nationsonline.org/oneworld/country_code_list.htm
- Nyut, K. (2019, May). *Full Moon Kasone: Buddha Day*. Myanmar Digital News.
<https://www.myanmar.digitalnewspaper.com/en/full-moon-day-kasone-buddha-day>
- O' Hara, (2018, Oct). *Autoethnography: The science of writing you're lived experience*. National Library of Medicine. National Center for Biotechnology Information. pubmed.gov. U.S. <https://pubmed.ncbi.nlm.nih.gov/30336695/>
- Osman, T. (1985). *The Traditional Malay Socio-Political World-View*. Malaysian World View. ISEAS Publishing.
<https://www.degruyter.com/document/doi/10.1355/9789814345538-006/pdf>

- Pelias, R. J. (2000). *The critical life*. Communication Education.
<https://www.qualitative-research.net/index.php/fqs/article/view/1589/3095>
- Polkinghorne, D. (2007). *Validity issues in narrative research*. Qualitative inquiry.
 Sage Journals. <https://doi.org/10.1177/1077800406297670>
- rapidtables.com. (n.d.). *How many Saturdays and Sundays in 2016*.
<https://www.rapidtables.com/calc/time/weeks-in-year.html>
- Reed-Danahay, D. E. (1997). *Auto/Ethnography: Rewriting the self and the social*.
 Research Gate DOI:10.1525/ae.2000.27.2.551
- Richardson, L. (2000). New writing practices in qualitative research. Sociology of
 Sport Journal. In Wall S. (2006). *An Autoethnography on learning*
 Autoethnography. Sage Journals.
<https://journals.sagepub.com/doi/10.1177/160940690600500205>
- Richardson, L. (1994). *Writing: A method of inquiry*. In N. K. Denzin & Y. S. Lincoln
 (Eds.), *Handbook of qualitative research*. Thousand Oaks, CA: Sage. In Wall
 S. (2006). *An Autoethnography on learning* Autoethnography. Sage.
<https://journals.sagepub.com/doi/10.1177/160940690600500205>
- Rigterink, A.; Schomerus, M. (2016). *Probing for proof, plausibility,
 principle and possibility: a new approach to assessing evidence in a
 systematic evidence review*. Development Policy Review.
https://eprints.lse.ac.uk/64607/1/__lse.ac.uk_storage_LIBRARY_Secondary_libfile_shared_repository_Content_Schomerus,%20M_Probing%20for%20proof_Schomerus_Probing%20for%20proof_2016.pdf
- Saludadez, J. A. (2022). *Thesis Committee Conva*. [Transcribed thesis presentation].
 University of the Philippines, Open University, Los Baños Laguna.
- Saludadez, J. A. (2000). *Methodologies for ASEAN Studies Research. Segment 1
 Ontological Asssumptions of the Two Means of Knowing*. UPOU Multimedia
 Center. Networks.upou.edu.ph Los Baños Laguna.
<https://networks.upou.edu.ph/26738/methodologies-for-asean-studies-research-segment-1-ontological-assumptions-of-the-two-means-of-knowing-dr-jean-a-saludadez/?highlight=%22segment%201%22>

- Saludadez, J. A. (2000). *Methodologies for ASEAN Studies Research. Segment 2 Epistemological Assumptions of the Two Means of Knowing*. UPOU Multimedia Center. Networks.upou.edu.ph Los Baños Laguna
<https://networks.upou.edu.ph/26742/methodologies-for-asean-studies-research-segment-2-epistemological-assumptions-of-the-two-means-of-knowing-dr-jean-a-saludadez/>
- Saludadez, J. A. (2000). *Methodologies for ASEAN Studies Research. Segment 3 Teleological Assumptions of the Two Means of Knowing*. UPOU Multimedia Center. Networks.upou.edu.ph Los Baños Laguna.
<https://networks.upou.edu.ph/26744/methodologies-for-asean-studies-research-segment-3-teleological-assumptions-of-the-two-means-of-knowing-dr-jean-a-saludadez/?highlight=%22Segment%203%22>
- Saludadez, J. A. (2000). *Methodologies for ASEAN Studies Research. Segment 4 The Characteristics of Qualitative Research Methodology*. UPOU Multimedia Center. Networks.upou.edu.ph Los Baños Laguna.
<https://networks.upou.edu.ph/26746/methodologies-for-asean-studies-research-segment-4-the-characteristics-of-qualitative-research-dr-jean-a-saludadez/>
- Samean L. (2022). Cambodia Celebrates Visak Bochea Day. The Phnom Penh Post.
<https://www.phnompenhpost.com/national/cambodia-celebrates-visak-bochea-day>
- SEA Map. (2022). *South East Asia Map*. [SEA Map].
<https://seasia.wisc.edu/southeast-asia-country-information-and-resources/>
- Schein, E. H. (2004). Organizational culture and leadership (3rd ed.). research gate.
https://www.researchgate.net/publication/305730034_Edgar_Schein's_Organizational_Culture_and_Leadership_as_seen_through_the_lens_of_Ken_Wilber's_AQAL_Framework_and_the_author's_eyes
- Silverman, D. (2000, Dec). *Doing qualitative research: A practical handbook*. London: Sage. In Méndez, M. G. (2013). Autoethnography as a research method: Advantages, limitations and criticisms. Colombian Applied Linguistics Journal.
https://www.researchgate.net/publication/260778406_Autoethnography_as_a_research_method_Advantages_limitations_and_criticisms/link/5666988608ae15e74634d446/download

- Solim, J. (2019, June). *The Accommodation of ASEAN Convention against Trafficking in Persons (ACTIP) in Indonesia Regulation*. Lampung University, Indonesia. Faculty of Law. Fiat Justisia.
<http://jurnal.fh.unila.ac.id/index.php/fiat>
- SOMTC asean.org. (2020, Dec). *Senior Officials meeting on Transnational Crimes. ASEAN SOMTC Areas of Cooperation*.
<https://asean.org/senior-officials-meeting-on-transnational-crime-somtc/>
- Sparkes A. (2000). *Autoethnography and narratives of self: Reflections on criteria inaction*. *Sociology of Sport Journal*. In Wall S. (2006). *An Autoethnography on learning Autoethnography*. Sage Journals.
<https://journals.sagepub.com/doi/10.1177/160940690600500205>
- The ASEAN Charter. (2008). *ASEAN Charter*.
<https://asean.org/wp-content/uploads/images/archive/publications/ASEAN-Charter.pdf>
- Toomer, G. (2023, Jan). *Archimedes: Greek mathematician*. Encyclopedia Britannica
<https://www.britannica.com/biography/Archimedes/His-influence>
- Tracy, S. (2010). *Qualitative quality: Eight “big-tent” criteria for excellent qualitative research*. *Qualitative inquiry*. Sage Journals
<https://doi.org/10.1177/1077800410383121>
- United Nations. Handbook on Treaty Development. (2012). Treaty Handbook. United Nations Publications. <https://digitallibrary.un.org> UNODA. (2021). *Arms Trade Treaty*. UN Office for Disarmament Affairs.
<https://treaties.unoda.org/t/att>
- unodc.org. (2010, Aug). *Asean Handbook on International legal Cooperation in Trafficking in Persons Cases*. UNODC.
https://www.unodc.org/documents/humantrafficking/ASEAN_Handbook_on_International_Legal_Cooperation_in_TIP_Cases.pdf

- unodc.org. (2009). *“International Framework for Action to Implement the Trafficking in Persons Protocol”*. UNODC. https://www.unodc.org/documents/human-trafficking/Framework_for_Action_TIP.pdf
- unodc.org. (2004). *United Nations Convention against Transnational Organized Crime and the Protocols Thereto*. United Nations Office on Drugs and Crime. https://www.unodc.org/documents/middleeastandnorthafrica/organised-crime/UNITED_NATIONS_CONVENTION_AGAINST_TRANSNATIONAL_ORGANIZED_CRIME_AND_THE_PROTOCOLS_THERETO.pdf
- unodc.org. (2004). *United Nations Convention against Transnational Organized Crime and the Protocols Thereto*. United Nations Office on Drugs and Crime. United Nations New York. https://www.unodc.org/documents/middleeastandnorthafrica/organised-crime/UNITED_NATIONS_CONVENTION_AGAINST_TRANSNATIONAL_ORGANIZED_CRIME_AND_THE_PROTOCOLS_THERETO.pdf
- Vasu, S., Azrah, E. (2018, Jan). *Prophet Muhammad’s Birthday*. Nat’l Library Board Gov. https://eresources.nlb.gov.sg/infopedia/articles/SIP_323_2004-12-28.html
- Vryan, K. (2006). *Expanding analytic autoethnography and enhancing its potential*. *Journal of Contemporary Ethnography*. Sage Journal. <https://doi.org/10.1177/0891241606286977>
- Wall, S. (2006). *An Autoethnography on learning Autoethnography*. Sage Journals. <https://journals.sagepub.com/doi/10.1177/160940690600500205>
- Yep, G. (2002). *“My Three Cultures: Navigating the Multicultural Identity Landscape,”* *In Intercultural Communication: Experiences and Contexts*. (Eds.) Judith N. Martin, Lisa A. Flores, and Thomas K. Nakayama Boston, MA: McGraw-Hill. <https://open.lib.umn.edu/communication/chapter/8-1-foundations-of-culture-and-identity/>

Appendices

Appendix A

Draft ASEAN Convention Process Guide

The Research Artifact

Table of Contents

Devised Observed Convention Process	Page
I. Table 1	3
II. Table 2	6
III. Table 3	7
1. Mandate	
1.1 Regional Mandate	
1.2 International Mandate	1
1.3 Convention Manual Mandate	
2. ASEAN Tenet	
3.	
3.1 Consensus	2
3.2 Consultation	
3.3 Non Intervention to Internal Affairs	
4. ASEAN Centrality	2
5. Areas of Cooperation	
ASEAN Priority Areas	3
6. Lead Shepherds	
7. ASEAN Level Meetings	
7.1 Senior Officials Meeting on Transnational Crime (SOMTC)	
7.2 ASEAN Ministers Meeting on Transnational Crime (AMMTC)	
7.3 ASEAN Summit	4
7.4 Working Groups	
7.5 Technical Working Groups on (Priority Area)	
7.6 Experts Working Group on (Priority Area)	
Heads of Specialists Unit HSU	
ASEAN Secretariat	
8. Experts Working Group Convenes the ASEAN Convention Meeting	8

7.1 to 7.14 – Working Draft to Legal Scrubbing	
9. Observed Convention Protocols	
8.1 to 8.26 – Convention Protocols	9
10. Monitoring and Reporting	
9.1 to 9.4	11
11. Convention Adoption Process and Leader’s Signing	
10.1 to 10.5	12
12. Ratification Process and Entry into Force	
11.1 to 11.4 Ratification to Entry into Force	12
13. Way Forward	
12.1 to 12.7 ASEAN Plan of Action and Socialization	13

Draft ASEAN Political Security Community Convention Process

A recommended guide to develop ASEAN Conventions to address Priority Areas

After objective recollection on the observed ASEAN practice of Convention process, the step guide/template on convention process is deduced.

1. Mandate (Grounded Foundations)

Regional Instruments are developed and anchored under international and regional mandates. Mandates form the foundation of established Institutions. Established Institutions are hinged on mandates to push advocacies forward to realize regional aspirations.

Under the ASEAN Political Security Community (APSC) Pillar, the Senior Officials Meeting on Transnational Crime (SOMTC) are guided by the ASEAN Ministers Meeting on Transnational Crime (AMMTC), which is directed through Declarations as mandates by the ASEAN Heads of States termed as Leaders.

1.1 Regional Mandate - Declarations from the AMMTC and Leaders serve as the mandates for which the SOMTC apply as references to initiate a convention process. The Declarations contained in the 2012 '**ASEAN Documents on Combating Transnational Crimes and Terrorism**', serves as mandates to develop regional instruments.

1.2 International Mandate - The AMMTC and SOMTC draws legal mandates from a supra body. The 2004 '**United Nations Convention against Transnational Organized Crime**' guides the U.N. Member Countries respond in collective efforts to address transnational crimes. The regional response of ASEAN is to cascade this mandate to the ASEAN region through conventions addressing priority areas on transnational crimes.

1.3 Convention Template's Mandate - In relation to the study, and its significance to develop and devise a '*Convention Template*', the research draws its benchmark from the 2014 '**Declaration on Strengthening the ASEAN Secretariat and Reviewing the ASEAN Organs**'. This Convention Manual developed through this research is a response to ASEAN's provision to streamline and enhance efficiency of ASEAN processes. This guidebook therefore reinforces the importance of the study to respond to ASEAN's streamlining provision.

2.0 ASEAN Tenet

ASEAN is guided by institutional principles that provide the Bloc its unique regional identity. These principles reflect ASEAN regional dynamics on intra, inter and supra relations to echo ASEAN Centrality.

2.1 Consensus – This tenet is unique with other regional blocs to consider inclusion of all Member States, and emphasize the relevance of each Member State as equal partners in community building.

2.2 Consultation – This tenet provides importance to every Member State's regard on every regional concern. Member States are encouraged to discuss issues, negotiate if needed to align respective national interests with regional interests, to protect and promote the rights of the peoples of the region.

2.3 Non Intervention to Member State's Internal Affairs – ASEAN is basically established to prevent foreign intrusion on the region. This principle reflects the aspiration of every Member State to value their respective rights on sovereignty.

2. ASEAN Centrality

Working within the tenet bounds of consensus, consultation, and non-intervention to internal affairs, Centrality entails the tenet dynamics on institutional measures developed within, and by ASEAN for the benefit of the peoples of the region, void on any and all forms of outside influence.

The Mandates, ASEAN tenets, and ASEAN Centrality form the foundation, important to initiate and develop an ASEAN convention, until its conclusion to entry into force and socialization.

ASEAN Centrality provides relevance to every Member States as equal partners in regional community building. Every Member State has the equal opportunity to decide the political, economic and social architecture the ASEAN aspires to through the tenet of consensus.

Every Member State in consensus has a stake to collectively develop the region and promote the rights and welfare of the people in a regional centered process – or ASEAN centric approach.

The aspired "*Convention Process Guide*" provides that opportunity for Member States to enhance the regional security posture by providing a platform through a regional centric approach to develop conventions to protect the rights and welfare of the peoples of ASEAN.

Artifact page 2

3. ASEAN SOMTC Areas of Cooperation

The convention is initiated with the call for an ASEAN priority area to be addressed. A Member State or the Member State Lead Shepherd of a particular priority area, tables the priority area to be addressed within the SOMTC meeting. The Senior Officials in consensus acknowledges the need for the tabled priority area to be addressed and raises the issue to the AMMTC.

ASEAN Priority Areas – Under this study’s context, ASEAN Priority areas are the transnational crimes that are prioritized by the member states to be addressed. These Priority Areas are termed in ASEAN as Non-Traditional Security Issues.

4. Lead Shepherds (Shepherding Areas of Cooperation)

Lead Shepherds are Member States with designated particular priority areas, with the prime responsibility to lead ASEAN SOMTC on relevant efforts to prevent transnational crime in the region. They are also termed as ‘Voluntary Lead Shepherds’ as their shared responsibility to protect peoples of the region against transnational crimes.

Table 1

SOMTC Lead Shepherds corresponding their Priority Areas and Convention Status

ASEAN Member State	SOMTC Priority Area	Convention Status
Cambodia	Arms Smuggling	
Indonesia	Terrorism	Entered into Force
Malaysia	Money Laundering Sea Piracy People Smuggling	
Philippines	Trafficking in Persons	Entered into Force
Singapore	International Economic Crime Cybercrime	
Thailand	Wildlife-Timber Trafficking Illicit Drug Trafficking	

Note: This table is developed to show correlation of Lead Shepherd to Priority Area. The table also shows the only two (2) Conventions developed under the APSC.

AP 3

5. ASEAN Level Meetings (Frameworks)

ASEAN Level Meetings are established ASEAN mechanisms, which serve as the institution hierarchy protocol framework, to coordinate all efforts on matters related to promote and protect rights of the peoples of ASEAN. These level Meetings are the ASEAN's operational institution infrastructure of a particular discipline to address the need to maintain the regional security posture from threats of transnational crimes.

6.1 The Senior Officials on Transnational Crime (SOMTC) – The SOMTC recognizes the urgency for the tabled priority areas to be attended to and conveys the concern to the Ministers on transnational crime.

6.2 The ASEAN Ministers Meeting on Transnational Crime (AMMTC) - The Senior Officials on Transnational Crimes tables the agreed priority area to be addressed to the Ministers through the ASEAN Ministers Meeting on Transnational Crimes. The Ministers acknowledge the raised issue by the Senior Officials as vital to regional security.

6.3 ASEAN Summit – The Ministers of the AMMTC conveys the subject priority area brought by the SOMTC to the ASEAN Heads of State also called as Leaders through the ASEAN Summit. The Leaders acknowledge the issue to be addressed as priority and direct the Ministers to address the subject through relevant measures.

The AMMTC and SOMTC is now mandated through a “*Declaration*” by the ASEAN Leaders to work on the way forward of an ASEAN Convention.

6.4 Working Groups

6.4.1 The Ministers conveys to the Senior Officials the Leader's directive to address the priority area.

6.4.2 The Senior Officials relay the directive from the Ministers and ASEAN Leaders to the TWG Lead Shepherd for the way forward to address the priority area.

6.4.3 The Senior Officials directs the Lead Shepherd of the concerned priority area to tackle and address the issue(s) through the Working Group on (priority area).

6.5 Technical Working Group on (priority area) TWG – The Member State Lead Shepherd Chairs the Technical Working Group and attends to the concern by creating an Experts Working Group to discuss the way forward of the priority area through the development of a convention on (priority area).

AP 4

6.6 Experts Working Group on (priority area) EWG– The Member State lead Shepherd Chairs the Experts Working Group which is composed of relevant subject matter experts from all Member States to discuss all facets on the way forward of the priority area. The initial way forward is the feasibility study on the subject priority area.

6.6.1 Experts Working Group Feasibility Study – As best practice of a completed ASEAN Convention, a meeting is held to explore the best way forward to reinforce the feasibility to create an ASEAN Convention on (priority area). The ASEAN tenet of consultation, non-intervention to internal affairs of Member States, and consensus are played in the dynamics of the discussion, until an agreement or consensus of ASEAN Member States representatives are achieved.

6.6.2 The EWG conveys the result of the feasibility study to the TWG on (priority area). The TWG Lead Shepherd as Chair reports the outcome to the SOMTC.

6.6.3 The SOMTC is informed and conveys to the TWG the decision for the EWG to proceed with the convention development.

6.6.4 It should also be noted that under a particular established Working Group, a **“Heads of Specialist Unit” (HSU)** has been created as an operational arm of that Working Group to address the concerned area within the level fields where it matters.

The Heads of Specialists Unit (HSU) now form part of the institution framework of the ASEAN under the ASEAN Political Community Pillar.

The HSU has been established because the Lead Shepherd pushed for the creative way forward to deal with the issues where it is most needed – in the field.

There is only one (1) HSU established under the entire framework of the APSC.

This is to emphasize the need to create Working Groups on (priority areas) to demonstrate the resolve of ASEAN's collective efforts to prevent acts of unlawful interference in our region through HSUs.

6.6.5 Note: The **ASEAN Secretariat (ASEC)** (team) is always represented in every Level Meetings, including TWG, EWG meetings all throughout the convention process, to document, *provide technical recommendations*, coordinate with Member States and circulate Summary of Records (SOR) and/or related document(s) to Member States.

Table 2

Established Technical Working Groups under the SOMTC

ASEAN Member State	Priority Area	Technical Working Group Status
Cambodia	Arms Smuggling	Established
Indonesia	Terrorism	Established
Malaysia	Money Laundering	Not Established
	Sea Piracy	Not Established
	People Smuggling	Not established
Philippines	Trafficking in Persons	Established
Singapore	Int'l Economic Crime	Not Established
	Cybercrime	Established
Thailand	Wildlife-Timber Trafficking	Established
	Illicit Drug Trafficking	Not Established

Source: There are only two (2) established Technical Working Groups within SOMTC as of autoethnography culture experience time.

There is a gap inferred in the absence of eight (8) (2017 time) still to be established Working Groups under the SOMTC. In order for a Priority Area to be processed and bridges its way into a Convention, the Lead Shepherd primarily responsible to attend the concerned area must push for the establishment of a TWG on the subject priority area.

TWGs on (priority area) are indispensable platforms for ASEAN Priority Areas to make its Convention way forward to the attention and hierarchies of the Senior Officials, Ministers and Leaders of ASEAN.

The research identifies the *process* gap to generate the underlying assumptions from the “*draft convention processes*” and how these assumptions identify an integral culture convention environment. This further strengthens the relevance of study contributory to streamline institution processes to enhance organizational framework development.

AP 6

Table 3

Established ASEAN Institution Framework under the APSC

Relevant ASEAN APSC Meetings	Mode of Coordination by 'Meeting' Head
ASEAN Summit	ASEAN Leaders Guide (approve/disapprove) and Direct Ministers on programs proposed.
ASEAN Ministers Meeting on Transnational Crime (AMMTC)	Ministers raise programs to ASEAN Leaders, advise Senior Officials regarding Leader's Directives.
ASEAN Senior Officials Meeting on Transnational Crime (SOMTC)	Senior Officials raise programs to Ministers, Advice TWG Lead Shepherd (on priority area) regarding Ministers Directives.
Working Groups under the Meetings	Mode of Coordination by Lead Shepherds
Technical Working Groups (TWG) on (SOMTC Priority Areas)	TWG Lead Shepherd raises programs to Senior Officials, advises EWG Lead Shepherd regarding Senior Official's instructions.
Experts Working Groups (EWG) on (SOMTC Priority Areas)	EWG Lead Shepherd develops and raises programs to the TWG; EWG is guided by the APSC hierarchy.

Notes: The ASEAN Secretariat, the Lead Shepherd and the Lead Shepherd Secretariat are in close coordination with Member States to facilitate matters related to 'Meetings';

: Although there are only two (2) established Technical Working Groups within SOMTC as of 2017, the Working Groups are included in this table as it is an integral part of the convention development process.

AP 7

6. EWG Convenes ASEAN Convention on (Priority Areas) Convention Proper

7.1 Working Draft

A written draft is created to be used by the EWG as reference for the Subject Matter Experts to discuss debate, develop and finalize as an ASEAN Convention Manuscript;

7.1.1 A Working Draft is developed by the Lead Shepherd – As per ASEAN SOMTC best practice, Justice Department of the Lead Shepherd Member State leads the drafting, and heads the Substantial team;

7.1.2 An Alternate Working Draft is developed by another Member State as best practice. This is to have a semblance of check and balance on the provisions drafted within;

7.2 Meeting is chaired by Lead Shepherd;

7.3 Lead Shepherd will facilitate the admin and substantive matters relevant to the meeting, including schedules of meeting, coordination with ASEC and the Member States. Lead Shepherd prepares the admin and substantive team for the streamlined facilitation of the meetings.

7.4 Delegates/Representative of Member States corresponding to their expertise on a given meeting agenda are assigned to the meeting;

7.5 ASEAN Secretariat leads the documentation of the meetings;

7.6 The lead Shepherd is assisted by Lead Shepherd Secretariat on matters (substantive or admin wise) relevant to the conduct of the meeting;

7.7 Discussion on the working draft – terminologies, sub-areas of concerns, substantive topics are discussed within the series of EWG meetings;

7.8 Consultations, Negotiations to leverage on aspired measures form part the dynamics to attain Consensus;

7.9 Schedules are “*determined*” by Member States’ important cultural dates. (Cultural dates of the Member States shall be appended);

7.10 National interests align with regional interests;

7.11 Member States “*raise and return*” issues to Principals/Capitals for approval, to arrive at a consensus;

7.12 ASEAN Plan of Action – The way forward of the *Alternate Convention Draft* by another member state is raised during the meeting. As Convention Process' best practice, the Member States decide in consensus to allow the *alternate draft* to be developed within the ACTIP meeting - as the ASEAN Plan of Action. The APA is the "*Methodology*" - regional plan to implement the convention.

7.13 Final Draft – Member States arrive at a consensus to finalize draft;

7.14 Legal scrubbing meeting is convened to "legally proof-read" the final draft;

7. Observed Protocols during the Meeting

8.1 Member States are guided by ASEAN's Tenets of Non-Intervention, Consultation, and Consensus building;

8.2 Meetings are conducted in a courteous and diplomatic manner – consultation amongst Member States is encouraged to achieve consensus;

8.3 The Lead Shepherd on the particular priority area chairs the meeting, whilst all Member States must have a representative to achieve quorum; Two (2) ASEAN Member States representatives from each country are seated at the meeting table, assisting delegates are allowed to sit and observe at the back of the official representatives;

8.4 The ASEAN Secretariat (team) is present to document the proceedings;

8.5 The Lead Shepherd Chair is assisted by the Lead Shepherd Secretariat on related convention requirements;

8.6 ASEAN Secretariat shall be present to document and provide an SOR of the meeting;

8.7 The prepared tabled Agenda is followed;

8.8 The proposed Agenda for the next meeting is circulated to all member states weeks before the actual meeting to allow member states to prepare relevant documents;

8.9 When there is an issue regarding a particular subject, a Member State may recommend the subject to be parked (to be seconded by another member state) to make way forward of another Agenda at hand;

8.10 Disputing members are encouraged to consult each other to settle parked issues /concerns in between actual meetings;

8.11 After consultation with Member States, the parked Agenda may now be discussed and agreed upon based on consultations made by interest parties;

8.12 When there are issues regarding respective laws of Member States to align with the subject Agenda, and consensus as aspired is not reached, the member state/s shall convey the issue to its Principal and/or Capital for their comments, decision and guidance. The Body shall wait for the decision of the interest Member State until such time that a consensus is achieved;

8.13 When decisions are needed but are not on the level of a participating Member State, the interest Member State shall seek the advice (*“raise and return”*) from his Principal or Capital until a decision is provided to achieve a consensus;

8.14 The body may recommend extending the meeting if necessary to expedite or resolve a particular agenda/s;

8.15 The ASEAN Secretariat provides (a) Summary of Records (SOR) for all member states after the meeting as soon as practical;

8.16 Summary of Records is circulated by the ASEAN Secretariat for corrections or comments by the Member States;

8.17 The Member States are responsible to inform the ASEC for any comments or concerns regarding the SOR;

8.18 Should there be comments or corrections; the ASEC provides other Member States of such;

8.19 During a Meeting, the Chair, or with the permission from the Chair, Member States can formally convey queries or consult from the ASEAN Secretariat on matters relevant to the Agenda or advice for any technical recommendation;

8.20 Before the end of a meeting, the Chair asks the body for queries if any, and gives the ASEAN Secretariat the floor to convey any announcement. With no matters raised, the Chair provides a recap of the matters taken up and adjourns the meeting;

8.21 The Lead Shepherd Secretariat prepares the Agenda for the next meeting based on the matters discussed and relevant agenda for the way forward;

8.22 The lead Shepherd is responsible to inform member states on the date and place for the next meeting;

AP 10

8.23 Any Member State may signify to volunteer and sponsor a meeting in their Country. Coordination is encouraged with the Lead Shepherd and ASEAN Secretariat to prepare and coordinate relevant arrangements. **The Protocol however shall remain** – The Lead Shepherd on the Priority Area shall remain as Chair of the meeting;

8.24 Coordination is encouraged between Member States and ASEAN Secretariat on matters related to the development of the Convention;

8.25 To observe ASEAN Centrality, the Lead Shepherd shall not accept any assistance of any and all forms from any Dialogue and External Partners, however noble the intention may be. This is to prevent any issues of influence from foreign entities to compromise development of the regional instrument. This practice has been observed by Member States vigilantly and diligently;

8. Monitoring and Reporting

9.1 Every year of the TWG on (priority area) Meeting, or as necessary, the Lead Shepherd of the EWG reports to the (TWG) body on the progress of the convention development until its conclusion;

9.2 Every year of the SOMTC Meeting, or as necessary, the lead Shepherd of the TWG reports to the Senior Officials on the progress of the Convention development until its conclusion;

9.3 Every year of the AMMTC Meeting, or as necessary, the Senior Officials reports to the Ministers on the progress of the Convention development until its conclusion;

9.4 Every year of the ASEAN Summit, the Ministers report to the ASEAN Leaders on the progress of the convention development until its conclusion;

9.5 At every phase of the Convention development, the Lead shepherd Secretariat and the ASEAN Secretariat are in coordination with the focal points of every Member State to provide the relevant ASEAN sector or members thereof, the needed information for the Convention in development to make the way forward;

Note: A day before the actual SOMTC, AMMTC and ASEAN Summit; pre-meetings are conducted to facilitate the orderly conduct and flow of the meetings including discussions on agendas – pre agreed or otherwise. It is attended by relevant representatives of the Member States

9. Process of Convention Adoption/Approval and Leader's Signing

10.1 EWG Lead Shepherd Chair presents final draft which had undergone legal scrubbing, to the TWG Body for approval;

10.2 TWG Lead Shepherd Chair, upon approval of the final draft endorses *Final Draft* to the Senior Officials during a SOMTC meeting for SOMTC approval;

10.3 The Senior Officials upon approval of the final draft presents *Final Draft* to the Ministers at the Ministers Meeting on Transnational Crime for the Ministers adoption;

10.4 The Ministers upon approval of the final draft presents the *Final Draft* to the ASEAN Leaders at the ASEAN Summit for their approval and signing;

10.5 The ASEAN Leaders upon approval, signs the 'Convention on (Priority Area)' at the Summit for which same shall be subjected to Member States respective internal processes of ratification;

10. Ratification Process and Entry into force

Ratification - The ASEAN Convention having been adapted and signed by the ASEAN Leaders shall be submitted under the respective Member State's internal ratification process, where the AMS' legislative and/or Executive Department (as applicable) approves, recognizes and commits to adhere the provisions of the regional instrument, through the submission of the Country's Instrument of Ratification to the ASEAN Secretariat.

Entry into Force – The ASEAN Convention is officially implemented effective after the required minimum six (6) Member States have submitted their respective Instruments of Ratification to the ASEAN Secretariat.

11.1 Member States secure Instrument of Ratification through respective internal processes;

11.2 Six (6) Member States submission on their instrument of ratification to ASEAN, are required for the instrument to be entered into force;

11.3 Six (6) Member States submit their Instrument of Ratification to the ASEAN, where through their respective ASEAN Permanent Representatives, the ASEAN Secretariat receives their Ratification Instruments;

AP 12

11.4 After Thirty (30) days where the 6th ASEAN Member State had submitted Instrument of Ratification, the Regional Legal Instrument is “*Entered into Force*”;

11. The Way Forward

12.1 The convention is ideally implemented through a Regional Plan of Action. If a plan of action is not co-developed with the Convention, the Senior Officials through the recommendation of the Working Group - directs the Experts Working Group to draft the draft a plan of action;

12.2 The Plan of Action process shall follow the coordination from EWG to TWG, forwarded to the SOMTC, endorsed to the AMMTC and guided by the Leaders;

12.3 The plan of action will be submitted by the WG to the Senior Officials, to be raised to the Ministers for their eventual adoption;

12.4 The effective way forward of a Convention as the best practice of the Ministers Meeting on Transnational Crime, is to *Socialize and share* the Convention with the relevant ASEAN Bodies and Organs through a Socialization Meeting;

12.5 The **Socialization Meeting** is a cross sector, cross Pillar meeting where ASEAN Organs and Bodies across Pillars can discuss on how to effectively and efficiently implement the Convention;

12.6 As regional best practice by the AMMTC in socializing the Convention, a **Regional Work Plan** is developed to harmonize all the relevant ASEAN agencies, bodies’ and organ’s programs on the particular issue or priority area – as a single regional effort to address the regional concern.

12.7 Within the Regional Plan of Action is a reporting and monitoring measure to ensure that all ASEAN (priority area) programs are made their way forward.

The efforts done by the developers of the ASEAN convention is a landmark framework. The *Convention Framers* have benchmarked trailblazing procedures as it engaged cross sector, cross pillar cooperation to implement the convention.

[Note: All terminologies in the findings and in this manuscript are crafted based on culture experience on how the term is applied within the framework and the convention process. Terms may vary from the actual description from mainstream manuscripts]

Appendix B

Terminologies – Operative Terms

The terminologies provided are defined based on my *autoethnography* convention culture experience on how the terms were employed relevant to the dynamics of ASEAN tenets and convention development; and based on how these terms are applied *operationally* within the convention development process. The terms provided are not obtained from any ASEAN and /or relevant mainstream manuscripts.

Alternate Working Draft – A draft created by another member state as an alternative to collectively consider all interests of member states. In this research case the alternate working draft is an ASEAN best practice to develop the *Methodologies* of the ACTIP.

ASEAN Centrality – Upholding the interests of the ASEAN peoples and region central on all its dynamics rendering every member states' claim on relevance through the inclusive nature of its tenets.

ASEAN Convention against Trafficking in Persons (ACTIP) – A regional binding agreement developed and ratified by the ASEAN to engage in a *disciplined* approach to address the region's transnational crimes to protect and uphold the rights of the marginalized and vulnerable peoples of ASEAN.

ASEAN Member States (AMS)– Member countries of the ASEAN, in this research, member states are shepherds cooperating on measures to address transnational crimes. Brunei, Cambodia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand and Vietnam are member states which compose the ASEAN.

ASEAN Ministers Meeting on Transnational Crime (AMMTC) – An ASEAN sector body composed of Interior Ministers or equivalent state post of Member States to address measures on transnational crimes (TNCs). The Ministers are level leaders that direct Senior Officials down the level of programs to address TNCs. The Ministers report to the Leaders of ASEAN on programs relevant to address TNCs. Ministers are linked to ASEAN Leaders to guide the hierarchy of the sector's way forward.

ASEAN Pillar/s – Structure divisions of the ASEAN organization to look after the welfare and uphold the rights of the peoples of the region, structured around the three groups on political security, socio-cultural and economic needs respectively of the peoples and region.

ASEAN Plan of Action (APA) – Also termed in the convention process as the *methodologies*. The instrument recommending the *measured* approach contained to implement the *ASEAN Convention against human trafficking*.

ASEAN Political Security Community (APSC) – A pillar of ASEAN to look after and address regional security concerns managed by the respective Ministers of the ASEAN security sectors. It is where the only two conventions of ASEAN against human trafficking and terrorism of are developed and implemented.

ASEAN Secretariat (ASEC) – The alter ego of the ASEAN Secretary General (Sec Gen) who provides their advice during meetings and ensures that the interests of ASEAN are aligned with all programs.

ASEAN Sector/s – These are sub-groups in ASEAN under its (ASEAN) political security, socio-cultural and economic pillars. These are where the work horses – advocates and practitioners of ASEAN address the region's priorities specific to their purviews.

ASEAN Socio Cultural Community (ASCC) - A Pillar of ASEAN to look after and address the rights, welfare and socio cultural interests of the peoples of ASEAN managed by the respective Ministers of the ASEAN social development sectors.

ASEAN Tenets – These are the guiding principles of ASEAN in consultation, non-intervention and consensus to affect centrality on all institution *processes* and *relations* to uphold the rights and interests of all peoples of ASEAN and the region.

Capitals – A term for a member state which renders the decision on a particular interest with the interest of the nation secured; to eventually align the same interest to the region.

Circulate – Is a process where the ASEC forwards the *interest* to all member states for their comments where in return member states provide their feedback to the ASEC for the comments on the interest collated and be addressed.

Convention – The *binding agreement* and *process* in the form of a regional instrument developed by the member states to address a priority area to protect the interests of its marginalized and vulnerable peoples; and the region.

Convention Framers – ASEAN skilled advocate practitioners under the experts working group which framed the development way forward of the convention to its entry into force.

Cross Pillar Work Plan – a work plan to harmonize the entire region's plan across sectors and pillars into a single mechanism.

Dialogue Partners – Countries with level partnership with ASEAN. Dialogue partners align initiatives to the interests of ASEAN under the working tenets and centrality of ASEAN.

Draft Convention Process – A draft manuscript of the convention created by the substantive team lead shepherd for the experts working group body to have a working manuscript to engage about addressing a specific ASEAN priority area.

Entry into Force – Thirty (30) days after the required number of member states (6) have submitted their instruments of ratification to the ASEAN secretariat, the ASEAN convention takes effect and is implemented or is entered into force.

External Partners (EPs) – Institutions under countries with level partnership with ASEAN whose specific purview reflects the interest/s aligned along the same interest of an ASEAN Dialogue partner. External partners align initiatives to the interests of ASEAN under the working tenets and centrality of ASEAN.

Experts Working Groups (EWG) – An ASEAN entity formed by the technical working group through the directive of the Senior Officials to address a particular priority area through specific measures. In this research case the creation and development of an asean convention against human trafficking. The EWG are composed of subject matter experts on areas relevant to the field addressing human trafficking. The EWG is chaired by the lead shepherd of a particular priority area. The EWG reports to the TWG.

Heads of Specialist Unit (HSU) – an operational unit against human trafficking formed by the SOMTC under the working group against trafficking in persons. The HSU is an attendant framework borne by the need to have agents in the field to address the concern where it matters most.

Instrument of Ratification – a document where member states signify their intention to adopt the convention and agree to its terms of implementation. The instrument is a necessary mechanism to make the Conventions' "Entry into Force".

Leaders – ASEAN Leaders are *Heads of State* of respective member countries of ASEAN. In this research, they direct and guide the ministers down the level of Senior Officials and working groups on all matters addressing transnational crimes.

Lead Shepherd – Particular state amongst ASEAN members that voluntarily leads all efforts on a particular priority area to be addressed.

Legal Scrubbing – The meeting to process and proof read to ensure that the ACTIP and APA manuscripts are devoid of any legal concerns.

Ministers – In this study, Ministers are Heads of the Interior Ministry or its equivalent in ASEAN. Ministers are the link between the ASEAN leaders and senior officials down the working group level to direct and guide the level on matters relating to address transnational crimes.

Principals – The member state officials who render the level decision on a particular interest with the interest of the state safeguarded to align on the ASEAN region's interests.

Priority Areas – Areas of concern of the region. These are transnational crimes which are concerns of the region. These are the areas of cooperation of Member States where all priority areas are shepherded to its measures of prevention and resolution.

Process – Term used under this study to indicate “in terms of how the ASEAN Way was played out” (Saludadez, 2022).

Receiving States – In this research, this implies the country destination of trafficked person/s (involuntary in nature as far as *States / Capitals* are concerned).

Raise and Return – When an interest warrants a decision from the principal or capital, a member state will raise the issue to their principal back to their capital to render and return their decision.

Ratification – A process where a convention after it has been signed by the ASEAN leaders is respectively adopted by the member states and agreed to its terms of implementation.

Sending States – In this research, this implies the country of origin of trafficked persons/s (involuntary in nature as far as *States / Capitals* are concerned).

Senior Officials – These are level leaders under the Interior Ministry or its equivalent in ASEAN. The Senior Officials compose the SOM. Senior Officials are the link to the Ministers guided by the leaders, to direct and guide the working groups down the level on matters relevant to address transnational crimes.

Senior Officials Meeting on Transnational Crime (SOMTC) – An ASEAN sector body composed of level officials from the Interior Ministry from all Member States to discuss measures addressing transnational crimes. The Senior Officials recommend and apprise relevant measures and programs to the AMMTC to address transnational crimes. The SOMTC reports to the AMMTC.

Shepherds – ASEAN Member States are all shepherds to all priority areas. There is however a voluntary State which leads Members on a particular priority area to address such.

Socialization – A measure to share the regional instrument with stakeholders to discuss the way forward of an initiative. In the case of the ACTIP and APA, the Convention was shared after the ratification with stakeholders across relevant Pillars to harmonize all regional efforts against human trafficking which resulted in the creation of a work-plan.

Streamlining Process – Measure on institution methods to render ASEAN processes efficient.

Technical Working Groups (TWG) – An ASEAN entity composed of all ASEAN Member States which is chaired by the Lead Shepherd of a particular priority area. This is a meeting where all relevant initiatives to address areas of cooperation are discussed and made its way forward. The Technical Working Group reports all development to the SOMTC.

Trafficking in Persons (TIP) – The taking and transport of person/peoples against the victim's will; accomplished with the elements of deception, force and threats for profit and forced labor. An Alternative term for human trafficking, TIP is one of 10 priority areas that ASEAN is addressing through frameworks such as the Convention and Working Groups.

Transnational Crimes (TNCs) – Trans-boundary crimes or *priority areas of Member States* which at the level of the region, affects the State of the socio-political and economic affairs of its Peoples and State. These are addressed through established Frameworks of ASEAN under its Political Security Pillar.

Working Draft – Convention draft made by the Lead Shepherd substantive team. The draft was employed by the EWG to work on the development way forward of the Convention.

Work Plan – A mechanism to collect all the regional efforts and bring it into a single measure harmonized for all States to be guided.

Appendix C

Background/History of the ACTIP

On the 6th of November 2007 during the 6th AMMTC in Brunei Darussalam, the Leaders *“recognized the increasing trend of the offenses of trafficking in persons in our region. In this regard, the Leaders agreed to explore the possibility of developing an ASEAN Convention on Trafficking in Persons and tasked Senior Officials Meeting on Transnational Crime (SOMTC) and its Working Group on Trafficking in Persons (WGTIP) to further study the possibility of such a convention and whether it will add value”* (ASEC, 2012).

On the 17th of June 2008 during the 1st SOMTC Working Group on Trafficking in Persons in Malaysia, the Meeting considered the possibility of developing the Convention. Indonesia submitted the concept paper for the study. *“An ASEAN Convention would provide the opportunity for member countries to clearly articulate both the principles and means of such cooperation and thereby to facilitate its effectiveness, it said”* (Kitnan, 2008).

On May 8, 2011 during the 18th ASEAN Summit in Indonesia, the Leaders directed the AMMTC (included within the Chair’s Statement) to accelerate the consideration for the Convention on trafficking in persons (TIP).

The Ministers Meeting on Transnational Crime (AMMTC) therefore mandated the SOMTC through the WGTIP to study the feasibility of developing a regional instrument to address the regional concerns on trafficking in persons especially women and children.

The Philippines as ASEAN Lead Shepherd against the regional trafficking in persons, conducted two meetings in 2011 at Dusit Hotel Makati, and Boracay, Aklan respectively for its feasibility study.

In 2013, at Crown Plaza Hotel Ortigas, Pasig, the Philippines submitted to the Experts Working Group (EWG) on Trafficking in Persons, a proposed draft of the Convention. Later that year (2013) at Tagaytay, the proposed draft of the Philippines was made as the actual working draft of the EWG to what is now a milestone regional instrument in the form of the ASEAN Convention against Trafficking in Person.

From 2007 to 2017, the road to the Convention’s development had been met by challenges posed by aligning Member States’ national interest to the highest interest of the region. The Convention dynamics however guided the institutional tenets of consultation, non-intervention and consensus. Conflict resolution is anchored upon the same tenets. The Member States *raise and return* issues to their

respective Principals and Capital to seek advice and approval and eventually extend consensus.

The Philippines is Lead Shepherd on ASEAN'S efforts against human trafficking. The Philippines Chaired the Meetings until from its feasibility study, development, finalization, legal scrubbing and socialization.

After much debate, negotiation and extended highest level of cooperation, in December 2014, The ACTIP was finalized by the Member States. The next step was for the Finalized draft to undergo legal scrubbing in Indonesia. The Final Draft was eventually signed by the ASEAN Leaders during the ASEAN Summit in Kuala Lumpur, Malaysia in 2015.

The next logical step would be for the member states to ratify the convention to be entered into force. Singapore and Cambodia were the first to submit their instruments of ratification followed by Thailand, Myanmar and Vietnam had earlier submitted their respective instruments of ratification from 2015 to 2017 to the ASEAN Secretariat.

In 2017 The Philippines submitted its instrument of ratification to the ASEAN Secretary General, as the 6th Member State to do so on the 6th of February 2017, rendering the Convention to be officially entered into force 30 days after the 6th Member State had deposited their instrument of ratification.

As of December 2016, the Working Group through *Socialization across pillars* moved the way forward of the Convention to develop the harmonized work-plan which compiled all the regional plans and programs of ASEAN relevant agencies, sector bodies against trafficking in persons, across the ASEAN Pillars - called the 'Bohol Work-Plan' to safeguard the welfare and rights of the vulnerable people especially the women and children of ASEAN.

Appendix D

ASEAN Convention against Trafficking in Persons (ACTIP) Gist

The ASEAN Convention against Trafficking in Person Especially Women and Children (ACTIP) is the ASEAN legal regional instrument in response to the threats of modern day slavery. The ACTIP is made as regional response to the 'United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime which was adopted and opened for signature, ratification and accession by General Assembly resolution 55/25 of 15 November 2000' (UN OHCHR 2000).

This UN protocol is also called the Palermo protocol which was signed on December 12, 2000. Exactly 16 years after the protocol on December 12, 2016, - the ACTIP and the ASEAN Plan of Action (APA) was finalized in the Philippines.

The member states as 'Parties' to the convention recognize the regional concern on trafficking in person and are committed as one community to address this concern as shared regional responsibility.

Chapter 1 'General Provisions' covers four (4) articles:

Article 1 presents the objectives to prevent, combat TIP and punish traffickers. Protect victims and promote cooperation between member states;

Article 2 defines the use of terminologies particular in this convention;

Article 3 provides the scope of application to where includes the prevention, investigation and prosecution of offenses established in accordance with the criminalization of trafficking in persons;

Article 4 highlights the ASEAN tenet on non-intervention on the domestic affairs of member states regarding 'The Protection of Sovereignty';

Chapter 2 entitled 'Criminalization' includes six (6) Articles:

Article 5 requires each 'Party' to adopt legislative and relevant measures to ensure that criminalization on trafficking in persons be carried through, including liabilities of offenders;

Article 6 explains the criminalization on participation in organized criminal groups;

Article 7 discusses the criminalization of laundering the proceeds of crime related to trafficking in persons;

Article 8 deals with the criminalization of corruption in relation to trafficking in persons;

Article 9 relates the criminalization on the obstruction of justice citing the use of intimidation, physical force or threats to interfere with the exercise of duty by public officials; or induce false testimony in relation to commission of offenses covered by the convention;

Article 10 establishes the 'Jurisdiction' covered by the convention over relevant entities in relation to trafficking in persons;

Chapter III 'Prevention' contains three (3) articles:

Article 11 draws attention to the policies and measures through education, research, information, bilateral or multilateral cooperation to prevent and combat trafficking in persons;

Article 12 underlines the areas of cooperation to include capacity building measures to prevent, control and combat trafficking in persons;

Article 13 emphasizes cross-border cooperation, control and validity of documents to prevent and detect trafficking in persons;

Chapter IV 'Protection' has two (2) articles

Article 14 enumerates the measures to protect victims of trafficking in persons including to protect the privacy and identity of the victim/s;

Article 15 looks after the welfare of victims on their repatriation and return to their countries of origin without prejudice to their rights;

Chapter V 'Law Enforcement' includes two (2) articles:

Article 16 take up policies and measures related to enforce laws related to prevent and combat transnational crime in coordination with the governments of member states and relevant agencies;

Article 17 adopts measures to ensure the confiscation and seizure regarding proceeds of crime related to Trafficking in persons. This includes identification, tracing, freezing and seizure of relevant items for the purpose of confiscation;

Chapter VI International cooperation includes five (5) articles:

Article 18 delves into mutual legal assistance and legal matters. That subject to the respective laws of the member states, the parties are to afford each other the necessary mutual legal assistance in criminal investigation and legal proceedings in relation to offenses related to trafficking in persons;

Article 19 provides a legal basis for extradition in respect of any offense established in accordance with Article 5 of this Convention;

Article 20 encourages close cooperation of member state's law enforcement agencies with respect to their legal and administrative systems to combat trafficking in persons;

Article 21 further underscores International cooperation for the purpose of confiscation. Requests are made by States relevant to trafficking in person cases with respect to jurisdiction of cases. Moreover, requests are made by Parties in accordance with and subject to the provisions of its domestic laws, bilateral multilateral agreements and the Treaty on Mutual Legal Assistance in Criminal Matters;

Article 22 looks into the disposal of confiscated proceeds of crime or property. That all disposal proceedings are in accordance with the domestic laws and administrative procedures of respective states;

Chapter VII on 'Final Provisions' has 9 articles:

Article 23 emphasizes the importance on the 'Establishment of Coordinating Structures' to enhance cooperation amongst member states in the fight against trafficking in persons;

Article 24 draws attention to the 'Monitoring, Reviewing and Reporting and update on all matters related to the efforts against trafficking in persons, with particular attention to the endeavor of the Senior Officials Meeting on Transnational Crime's (SOMTC) to address the regional concern on TIP with the active support of the ASEAN Secretariat;

Article 25 underscores the importance of the 'Confidentiality of Records and information'. The member states are to preserve the information gained in the endeavor to develop this convention. That all document shall be disclosed or shared only with written consent of the party provider;

Article 26 underlines the value of observing 'Relationship with other International Instruments'. That "this Convention shall not derogate obligations subsisting between parties...nor shall it prevent the Parties from providing assistance to each other pursuant to other international agreements or the provisions of their respective laws";

Article 27 promotes the "Amicable settlement of Disputes' between Parties through Diplomatic Channels and peaceful means";

Article 28 briefly offers the mode on 'Ratification, Approval and Depository' of the Convention with the Secretary General of ASEAN;

Article 29 describes the procedures for the Convention's 'Entry into Force and Amendment' with emphasis for the submission of the instrument for ratification by six (6) member states to affect the entry into force;

Article 30 provides the modality for withdrawal of any Party from the Convention citing such withdrawal “be notified by an instrument of withdrawal to the Secretary-General of ASEAN”; and

Article 31 explains that the “Convention shall be registered by the Secretary General of ASEAN to the United Nations Secretariat pursuant to Article 102 of the Charter of the United Nations”. The Convention against Trafficking in Persons is signed by the Leaders of ASEAN at Kuala Lumpur, Malaysia, on the 21st day of November 2015.

Appendix E

ASEAN Plan of Action (APA) Gist

The ASEAN Plan of Action is a document complementary to the ACTIP. The APA was a recommended draft for the ACTIP but was moved forward as an implementing document for the ACTIP.

I Introduction:

The ASEAN Charter and the United Nations Convention against Organized Crime and the Protocol to Prevent, Suppress and Punish Trafficking in persons, Especially Women and Children, along with the relevant ASEAN and UN mandates are the benchmarks for the creation of the APA;

II Challenges:

The need for respective local legislation and relevant enforcement, investigation and prosecution measures in relation to address trafficking in persons for some member states pose challenges in this endeavor to fight human trafficking. Hence an ASEAN Plan of Action for the ACTIP is created;

III Objective:

To address Trafficking in Persons through progressive “enhanced comprehensive and coordinated regional approach” (APA, 2017);

IV Action Plans:

Prevention of Trafficking in Persons

- a. Increase awareness campaigns through education;
- b. Continue capacity building to all relevant sectors and bodies;
- c. Place effective mechanisms regarding movement of TIP or boarder control systems and identity documentation measures;
- d. Enhanced cross border cooperation and intelligence sharing;
- e. Adopt and implement labor laws to protect rights of workers and prevent from being trafficked;
- f. Ensure implementation of national action plans including its monitoring;
- g. Conduct and support research on relevant TIP topics, collect and analyze data to understand the nature and extent of TIP;
- h. Develop national data with a view to develop a regional database;
- i. Utilize existing regional guidelines and develop national guidelines to identify victims of trafficking for swift response to minimize exploitation of victims;
- j. Increase and support prevention efforts by focusing on the supply and demand relative to TIP;

- k. In cross border-trafficking, increase coordination and information exchange of country of origin with receiving country to implement intensive preventive measures;
- l. Strengthen preventive measures for TIP demand to prevent re victimization;

Protection of Victims

- a. Reaffirm the promotion and protection of human rights for all victim of trafficking;
- b. Continue development of care, protection and support for victims of trafficking;
- c. Provide specialized services for victims consistent with the ACTIP and relevant international instruments including but not limited to health care;
- d. Subject to domestic laws and policies, victims are not criminally or administratively liable for acts directly related to the acts of trafficking in persons;
- e. Ensure protection for victim with particular attention to children to be provided with services relevant to their physical psychological and social recovery and rehabilitation;
- f. Develop and utilize procedures for rescue, protection, recovery, repatriation and reintegration of victims to community with particular attention to child victims;
- g. Ensure that victims are apprised of their rights and access proceedings in a language they understand;
- h. Recognize important role of civil society with law enforcement in providing assistance, facilitating the care and services for victims;

Law Enforcement and Prosecution of Crimes of Trafficking in Persons:

- a. Establish trafficking in persons as criminal offense;
- b. Develop proactive investigation methods and related measures to prosecute cases even without the testimonies of victims;
- c. Enhance efforts to investigate cases, prosecute perpetrators, and ensure that penalties are proportionate to the gravity of crime;
- d. Designate special prosecutors and establish prosecutorial specialized units to handle TIP cases;
- e. Prosecute crimes of TIP that covers all forms of exploitation and enact, enforce legislation that criminalizes TIP;
- f. Combat and prosecute organized crime engaged in TIP in accordance with domestic laws;
- g. Investigate prosecute and punish corrupt officials engaged in TIP and promote zero tolerance policy against corrupt officials consistent with the relevant UN mandates;
- h. Continue the development of protection mechanism for witnesses of TIP;
- i. Ensure liability of all categories of perpetrators of TIP;

- j. Waive under domestic laws, immigration fees of TIP victims for purposes of cooperating in TIP cases;
- k. Intensify capacity building of relevant agency's officials and personnel involved in the effort against TIP;
- l. Strengthen information sharing, investigation and prosecution processes for TIP cases by joint enforcement agencies to fast track cases especially at the regional level;

Regional and International Cooperation and Coordination:

- a. Strengthen the Heads of Specialists Units (HSU) within ASEAN;
- b. Utilize existing international mechanism including INTERPOL;
- c. Strengthen the coordination and cooperation among AMS related to TIP including all form of organized crimes;
- d. Strengthen operation cooperation among AMS in accordance with domestic laws, bilateral or multilateral agreements, joint investigations teams to be formed by the AMS;
- e. Strengthen capacity building activities to improve preparation and receiving requests relating to mutual legal assistance, extradition and cross-border law enforcement to prevent TIP;
- f. Extend the widest possible measure of mutual legal assistance to prosecute and punish TIP crimes in accordance with the Treaty on Mutual Legal Assistance in Criminal matters;
- g. Utilize international cooperation, including mutual legal assistance in accordance with the Treaty on Mutual legal Assistance in Criminal matters consistent with domestic laws;
- h. Strengthen and enhance collaboration and cooperation among ASEAN platforms dedicated to preventing TIP including SOMTC, working Group on TIP and the HSU;
- i. Promote collaboration with Dialogue Partners and sub-regional organizations through technical and financial assistance to combat TIP;
- j. Enhance cooperation with relevant UN agencies and other international organizations on TIP to provide the necessary assistance to TIP victims;
- k. Improve capacity building as an important component to combat TIP end encourage coherence within ASEAN though:
 - 1. Establish focal points for data sharing and communication to strengthen TIP policies;
 - 2. Promote cooperation and coordination among relevant stakeholders to strengthen TIP programs and policies;
- l. Enhance and continue the development of regional guidelines to combat TIP by strengthening coordination partnership, and international cooperation and implement existing guidelines;

Implementation Mechanism:

1. Endeavor to incorporate relevant programs and activities of this Plan of Action into respective AMS' national plans of action against TIP to ensure success; and
2. The SOMTC, supported by the SOMTC Working Group on TIP, will oversee the implementation of the ASEAN Plan of Action.

Appendix F

Bohol Work Plan (BWP)

Excerpts from 2017-2020 ASEAN BWP Final Report

The ASEAN Convention against Trafficking in Persons, Especially Women and Children (“ACTIP”) was signed by the ASEAN Leaders during the 27th ASEAN Summit on 21 November 2015. Further to the ACTIP, the ASEAN Plan of Action Against Trafficking in Persons, Especially Women and Children (“APA”) was adopted to supplement the ACTIP by providing specific action plans within ASEAN Member States (“AMS”)’ domestic laws and policies, as well as relevant international obligations, to effectively address regional challenges common to all AMS in four common thematic areas of concern: (1) the prevention of TIP, (2) the protection of victims, (3) law enforcement and prosecution of crimes of TIP, and (4) regional and international cooperation and coordination.

In November 2016, the ASEAN Cross-Sectoral Work Plan on Trafficking in Persons or the Bohol Trafficking in Persons Work Plan 2017-2020 (“BWP”) was developed under the initiative of the ASEAN Senior Officials Meeting on Transnational Crime (“SOMTC”) of the Philippines (“SOMTC-Philippines”) through the collaborative efforts of relevant ASEAN Sectoral Bodies / Organs (“SBOs”) working towards combating TIP. The BWP aims to highlight harmonized regional activities to combat TIP consistent with the four thematic areas of the APA, and was envisioned to drive the work of ASEAN on TIP consistent with the APA timeline.

The BWP sets out a series of proposed programmes, projects, and activities (“PPAs”), expected outputs of those PPAs, and assigns lead and co-operating SBOs to lead or participate in implementing those PPAs. These PPAs were to be carried out over the duration of the BWP from 2017-2020.

Further to the conclusion of the BWP in 2020, SOMTC-Philippines, in its role as the SOMTC Voluntary Lead Shepherd on TIP, and pursuant to the mandate of SOMTC under Article 24 of ACTIP to monitor and review the ACTIP, have been tasked to lead a review of the BWP. In undertaking this review, SOMTC-Philippines have been supported by ASEAN Australia Counter-Trafficking (“ASEAN-ACT”).

The review of the BWP has included the following activities: (a) A monitoring matrix was compiled as at the end of 2018 that sought to determine the number of addressed and unaddressed PPAs by reference to each of the four thematic areas in the BWP (the “2018 Matrix”).

In preparation for the Cross-Sectoral Collaboration Meeting, the Planning Workshop in Preparation for the Cross-Sectoral Collaboration Meeting for the Final Review back-to-back with the Ways Forward of the Bohol TIP Work Plan 2017-2020

was held on 23-24 October 2019 in Tagaytay (“Planning Workshop”). The purpose of the Planning Workshop was to gather inputs from SBOs representatives on the progress of implementing the PPAs under the BWP.

On 11 December 2019, a table of monitoring (the “2019 Table”) was compiled based on inputs from SBOs representatives which sought to collate more qualitative information regarding the status and progress of implementation of each of the PPAs.

On 27-28 May 2021, an inception workshop to consider the status of implementation of the BWP and ways forward for the review of the BWP was held. The workshop was attended by representatives from SOMTC-Philippines, the Philippines Department of Justice, Department of Foreign Affairs of the Philippines, the ASEAN Secretariat, The Asia Foundation and ASEAN-ACT (the “Inception Workshop”).

In September 2021, SOMTC-Philippines sent all SBOs a questionnaire and matrix designed (the “Review Questionnaire” and “Review Matrix”) to gather updated data on BWP activities, outcomes, strengths and weaknesses.

On 12 and 13 October 2021, SOMTC-Philippines hosted an ASEAN Workshop for the Review of the Bohol TIP Work Plan 2017-2020 (the “Review Workshop”). The Review Workshop was attended by approximately 84 participants, *from relevant ASEAN Sectors and bodies*.

The Body determined the strengths and points for improvement to make the way forward of the Work Plan including among others the need for the monitoring and clear reporting of activities.

Appendix G
ACTIP Ratification Status

ACTIP RATIFICATION STATUS	
ASEAN States	(Source: ASEAN Secretariats of 16/02/2021)
Brunei Darussalam	Signature 21/11/2015 Ratification 24/04/2020
Cambodia	Signature 21/11/2015 Approval 25/01/2016
Indonesia	Signature 21/11/2015 Ratification 17/11/2017
Lao PDR	Signature 21/11/2015 Ratification 16/05/2017
Malaysia	Signature 21/11/2015 Ratification 07/09/2017
Myanmar	Signature 21/11/2015 Ratification 16/01/2017
Philippines	Signature 21/11/2015 Ratification 06/02/2017
Singapore	Signature 21/11/2015 Ratification 25/01/2016
Thailand	Signature 21/11/2015 Ratification 24/07/2016
Vietnam	Signature 21/11/2015 Ratification 05/01/2017

Appendix H

Thesis Committee Recommendations Matrix (Salient Points)

Dr. Grace J. Alfonso	Ambassador Elizabeth P. Buensuceso	Dr. Jean A. Saludadez
Expected-theorizing about the process, let the policy makers manualize your work-frame it that way	Title should reflect main 4 elements; see the word proposed (for the manual depending on how I address it), convention making, mention ACTIP, & include auto ethnography	Go to your research question because it's knowing the unknown. The interest here is knowledge (production)
Don't box yourself-hindi pa alam kaya inaaral	Establish your position as auto ethnographer, what is your function as such? With what community?	Pinatangal ko yung word na manual because in the academic sphere ang status ng manual is practical rather than theoretical
Take away set notion (manual)	Make a drawing, graphic showing where you are in the community? How did you participate	What are the underlying assumptions, and the interest here is to be able to understand what brought the steps.
Theorize as...explain from your position	1 pager background of the ACTIP (as basis)	This is empirical, we don't know the assumptions
Subject and author positioning is important	Describe the steps used in the study	Gusto ko pang tingnan ditto yung ' <i>ASEAN way in putting together a convention</i> '...
See the thick description of the (convention process). This is what we are expecting from you	Defer to Dr Gigi's theoretical aspects, para hindi sya manual..or proposed...(could be) observations on the convention process.	(do it) from a point of view of an admin facilitator (convener) because the subject position of the researcher is surfaced
Integrate all these (recommendations). Pag sinabi na don't use the word manual, don't.	How do you thicken the narratives, How do you make the plots exciting	Qualitative research celebrates the subject position

You can have an <i>outline</i> of that (manual) Kasi yan ang practical side of it (manual) na usable	How do you narrate your stories, Establish yourself first as an auto ethnographer, who framed the ACTIP	Bring the ASEANOLOGY knowledge from your subject position
Exactly (your draft process) will be your data because yun yung artifacts	What are the underlying assumptions? What are the underlying values? Dun papasok and ASEAN way, Centrality, Principles, ano meron sila na nag play? Their common characteristics to come up with the convention?	Analysis na what sa thesis would be the ASEAN way... (how it) operate as you observe because that is ASEANOLOGY and it is when we see the ASEAN way operate (or not) in ASEAN realities.
Yung scope and limitations nandun ka na with your 3 years	Use and access public documents, press releases of member states ASEC/ACTIP	Intent ng thesis is to contribute to the knowledge
Yung milestones...yung mga conversations while drafting the process (include)	Amba reiterated that 'I don't really subscribe to a manual, but the underlying assumptions lang, how to make a convention	No one else can make a study except you so pwede nating idagdag sa Title 'An administrative facilitators construction of the convention development. There is that kind of humility to bring it from your lens. You are speaking on behalf of conveners in ASEAN
Analyze your field notes. It is part of explaining and telling the story	General assumptions in the ASEAN Context	
Dr Jean Saludadez		
What is empirical is that what is academic...not to lose the value of theoretical abstraction	The ASEAN way would be as you analyze the data, the ASEAN way would be emergent	Yung puso mo is when you speak from your point of view
A slice of experience-venient Makita natin na we have a claim as knowledge producers	Our analysis would bear it out, let it emerge from the data, wag pangunahan	What are the forms of data? Do you still have access?
Keep it (process) exciting, not mechanical	Focus on the underlying assumptions not on how to arrive at a manual	Auto Ethnography is not only re-calling, it is also the use of data available

Keep it (process) exciting, not mechanical	Focus on the underlying assumptions not on how to arrive at a manual	Auto Ethnography is not only re-calling, it is also the use of data available
Let it surface, let it emerge, yung interesting part, interestingness of the process, if it is set -mababawasan yan. Ma-surprise ka sa analysis mo, new knowledge	Lets maximize qualitative research paradigm na it allows nawala itong pre-determined or pre defined categories, allowing the data for Centrality (tenets) to emerge-not forced	Be creative, auto ethnography is everyday life; What breadth of auto ethnography will you employ? - your draft process becomes your data
Have a claim as auto ethnographer	For each data make a venient	Sa bawat portion gagawa ka ng kwento
ASEANOLOGY...should have a claim to that knowledge... there is this knowledge that I produce	Pero yung claim natin may confidence because there was a rigor followed in the way we did research	Slice of reality contributing to the building of knowledge.
This is a branch of knowledge that would contribute to ASEANOLOGY knowledge building	Methodology and data are important and how you figure in it. Let it emerge not forced	Your narratives becomes your data and analyze in the ASEANOLOGICAL way
Rigor and hinahanap dito, believable, plausible ang knowledge na produce mo-ma defend mo yung rigor	Academic research is important as to what it contributes in the overall reality of ASEAN...so ASEANOLOGY talaga yun	Rico is thinking to fill the gap kung wala...'rather the guidelines itself so the value of the study is to contribute putting together a guideline in the future...as basis for future policy makers, empirical pa yun'
<i>and 'enjoy the process'</i> – Chair & thesis Committee		

ACTIP Framers/Participants		
Brunei Darussalam		
Ms. Ang Lay Bee	Mohammad Irwan Hambali	
Cambodia		
His Excellency Sieng Lapresse	PBGEN Soc Reaksmei	Boren Yu
Indonesia		
Pa Eddy Mulya	Ms. Paulina Gupta	Andhika Chrisnayudhanto
Lao PDR		
Louis Bounkham	Ms. Noi Chansamai Souksanh	
Malaysia		
Ms. Ajanis Anak Ba-I		
Myanmar		
Ms. Omma Rangmi		
Philippines		
SOMTC Leader(s)	Usec Peter Corvera	Usec (PDIR) Felizardo M. Serapio, Jr. (Ret)
ACTIP Chair Usec Joji Aragon		
Substantive Team		Admin Team
Atty. Jonathan Lledo	Atty. Grace Quintana	Rico Macawili
Atty. Nancy Lozano	Atty. Robert Larga	Ms. Rhia Capinig
Atty. Darlene Pajarito	PSSUPT John Guyguyon	Ms. Princess Diane Castillo
Ambassador Alex La Madrid	Ms. Jan Arceo	Ms. Jeff Fernandez
Atty. “Van”	Ms. Rose May Asia - Rico	
Singapore		
Benny Oon	Ms. Tan Boon Ting	Tan Puay Seng
Thailand		
Ms. Thipsuda Khamto		
Vietnam		
Ms. Lisa Ngien		
ASEAN Secretariat		
Ms. Khine Myat Chit	Ms. Farah Monica Lasalle	Tommy Des Mulianta
Ms. Mala Selvaraju Ms. Adinda Koto		

Note: The list is not complete; this is an autoethnography account, I can only remember as much, it is not intentional on my part should a participant's name not be included.