



# *REPORT ON DIFFERENCES AND CONVERGENCES IN EU AND (CE)LAC SOCIAL INCLUSION POLICY APPROACHES*

*COMPARATIVE ANALYSIS OF RESPECTIVE APPROACHES TO  
SOCIAL INCLUSION*

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## SUMMARY

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This report is a compilation of three individual contributions with different authorships which sum up to a multi-dimensional analysis of social inclusion policies in the EU and LAC. Each contribution focuses on a different aspect of social inclusion.

Part I presents an analysis of convergences and differences between policies to promote social inclusion of poor populations by comparing Conditional or Responsible Transfer Programs in Latin America and the Caribbean and Minimum Income Schemes in the EU. The chapter will argue that poverty alleviation and social inclusion are shared challenges in social policy of both regions, but based on different concepts of poverty. Whereas the EU approaches poverty alleviation mainly through social and labour market integration measures, LAC focuses on the satisfaction of basic needs and human capital development. However, LAC is in a transition phase towards stronger focus on labour market integration. The chapter eventually gives recommendations for concrete EU-LAC collaboration opportunities in the field of social inclusion policies.

In Part II we have a greater look at migration movements between EU and LAC and integration of migrant populations in both regions. In recent years, LAC countries have faced new challenges due to new immigration flows and some governments started to revise integration policies for migrant populations. However, we observe in some big countries (like Brazil or Argentina) regressive tendencies in migration policies. The EU has a complex legal framework for the integration of (third country) migrant workers which guarantees certain (social) rights, although Member States are to date implementing more restrictive immigration policies which jeopardize progress in integration processes. In LAC, migration policies differ greatly between countries and the distinction between third country and intra-zone migrants (which is extremely relevant in the EU) does not apply. The chapter starts by providing an overview of the historical development and main characteristics of EU-LAC migration flows which shape the thematic orientation of the cooperation agenda on migration. In a second step we analyse main rules, regulations and instruments of migration management in both regions with a special emphasis on access of third country migrants to labour markets and social protection systems. At last, we discuss a selection of national and local practices which facilitate better integration processes of migrant populations. Part II concludes by presenting recommendations for the advancement of the bi-regional agenda on migration.

Territorial cohesion has been promoted as a key goal of EU-LAC cooperation in the last decade. Part III presents a critical reflection of the implementation of this (genuinely European) concept in the context of EU-LAC cooperation. In more concrete terms, we analyse how the EU approach on territorial cohesion has been applied in a set of programs and projects in LAC and how the concept relates to the territorial development approach which is predominant in LAC. Rural territorial development in LAC has the reduction of poverty and inequality as its main purpose. Simultaneously the EU concept of territorial cohesion (which is genuinely connected to economic and social cohesion) can be understood as a place-based approach towards social inclusion. In sum, the research concludes that EU interventions in promoting territorial cohesion in LAC had certain impact on social policy reforms and on addressing multidimensional inequality from a territorial perspective. Nevertheless, the EU approach could also benefit from including aspects of the LAC approach on territorial development, especially when addressing most vulnerable populations.



## COMMON INTRODUCTION

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Both Latin American and Caribbean and European citizens are currently living in uncertain times when it comes to relying on national welfare systems and regional social policy strategies. Insecure sustainability of social protection systems, increasing inequalities, rapidly changing labour markets, social unrest and new forms of racism and social exclusion are just some examples of current trends in social development. We argue that international cooperation between the two regions which (at least in theory) aims at economic growth with equity and social inclusion can be fruitful in times of transition. We presume that fighting inequality and poverty must be a priority area for action in the next EU-(CE)LAC cooperation agenda and want to give some ideas on relevant issues for the bi-regional policy dialogue that are in line with the objectives and targets set out in the Sustainable Development Goals.

In general, the EULAC Focus project aims at analysing the scientific, social and cultural relations between Latin America and the Caribbean (LAC) and the EU and at proposing next steps to renew these relations on the basis of changing socio-economic trends in both regions. This report is part of Work Package 5 which focuses on the social dimension of the relations between both regions. In previous deliverables we had a look at common and diverging social trends and challenges and respective policy answers (D.5.1)<sup>1</sup>. In a next step (D5.2)<sup>2</sup> we compared main features of welfare reforms in both regions and assessed major European cooperation programmes in the area of social inclusion and cohesion policies. While these two reports were mainly focused on regional perspectives, the present report is a comparative analysis of national approaches to social inclusion in the two regions, but also taking into account the bi-regional dimension and its influence on the aforementioned policies. This means that social policies will be analysed and examined regarding their specific contribution to inclusion and the well-being of citizens with the ultimate goal to identify opportunities for enhanced cooperation between EU and LAC.

Although policies for social inclusion are very context-dependent and these contexts vary considerably across and within both regions, we nevertheless try to work out whether the conceptual and programmatic architecture of social inclusion policies follow the same guiding principles (e.g. the social investment paradigm) respectively if they are based on common values.

The objective of this report lies in the comparison of policy approaches to social inclusion related to those social challenges which are deemed crucial for the future of welfare states in both regions. The following questions guided the research process: How are problems and issues defined and construed in different contexts? Which policies are implemented to foster social inclusion? Who is primarily addressed by those policies? Which problems and issues are similar in both regions (or in many countries) and therefore comparable and/or transferable? Which strategies are in place that tackle territorial aspects of social inclusion? In addition, we analyse whether social inclusion policies

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<sup>1</sup> EULAC-Focus (2018): Research trajectories on social issues in the EU, (CE)LAC and beyond.

How the social dimension of the EU and (CE)LAC frame EU-(CE)LAC social relations. See: [http://eulac-focus.net/private/Modules/Tools/EUProject/documents/66/D5.1\\_WP5-DI-66\\_Social-Issues\\_v13\\_1.pdf](http://eulac-focus.net/private/Modules/Tools/EUProject/documents/66/D5.1_WP5-DI-66_Social-Issues_v13_1.pdf).

<sup>2</sup> EULAC-Focus (2019): Report on common interests for the implementation of EU-LAC cooperation in social cohesion policies. See: [http://eulac-focus.net/private/Modules/Tools/EUProject/documents/148/WP5-DI-148\\_D5\\_2\\_SocialCohesion\\_v5\\_0\\_Final.docx](http://eulac-focus.net/private/Modules/Tools/EUProject/documents/148/WP5-DI-148_D5_2_SocialCohesion_v5_0_Final.docx).

in both regions enable equal and universal access to welfare systems, social protection and/or equal access to labour markets and employment.

In the first year of the EULAC Focus project, WP5 identified three specific areas of social inclusion which will be analysed in this report:

**Focus Area I - Anti-poverty policies:** The first one is social inclusion policies targeting people living in poverty, because historically this has been a major concern of LAC and it is becoming of growing relevance in the EU. The report evaluates whether common social values shape cash transfer programmes in LAC and minimum income schemes in the EU and explores opportunities for mutual learning in future cooperation initiatives. This focus area is in line with SDG #1 “End poverty in all its forms everywhere” and especially the sub-targets 1.1., 1.2., 1.3., and 1.B.

**Focus Area II – Inclusion of migrants:** The second focus is on social policies targeting migrant population and ethnic minorities, which is an issue of increased political tensions in both regions and therefore bound to have an increased weight in the political dialogue. We want to outline the state-of-the-art of LAC-EU migration dynamics and relate it to the social situation of migrant populations in both regions. This includes an overview of the legal situation of migrants, in particular of migrant workers, in both regions. By doing so, we evaluate a reorientation of strategic focus and objectives of the EU-LAC political dialogue on migration. This focus area is a transversal one, but especially relates to SDG #8 “Decent work and economic growth” and the sub-target 8.8. on protecting labour rights and promote safe and secure working environments for all workers, including migrant workers, in particular women migrants, and those in precarious employment.

**Focus Area III – Territorial cohesion:** As a third area, territorial cohesion policies were identified as a key domain in the social dimension of EU-LAC relations. Territorial cohesion in the EU means securing a harmonious, balanced, efficient and sustainable regional development. Due to its cross-border orientation, territorial cohesion can be seen as a major force of regional integration in the EU trying to decrease socio-economic inequalities. We show that the promotion of the EU “territorial cohesion” concept in LAC through specific cooperation programs was in certain aspects successful, but also want to encourage reconsidering an exchange of experience which gives more room to the LAC concept of rural territorial development. This focus area is a very relevant contribution to SDG #11 “Sustainable Cities and Communities” and to sub-target 11.A on supporting positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning.

This threefold approach to analyse differences and convergences in EU and LAC social inclusion policies is crucial to reach a comprehensive understanding of potentials for creating a renewed and sound bi-regional social cooperation agenda between EU and LAC. Deliverable 5.3 - Report on differences and convergences in EU and LAC social inclusion policy approaches – contributes to this overarching goal of WP5 firstly through identifying social policies that are of interest to the respective region and secondly through contextualisation of these policies. Furthermore, the deliverable analyses whether policies defined and implemented at EU level, in particular territorial cohesion programs, remain inspiring models for LAC and how they are translated to concrete policies.

Due to the heterogeneity of the field of social inclusion, the three focus areas poverty, migration and territorial cohesion will be analysed using different methodologies designed for the specific context they are used in. This allows an adequate inquiry in every single field but also sets the scene for the elaboration of joint conclusions and recommendations. The following section gives an overview of the methodologies applied in the different areas. Most of the research is based on literature review, policy analysis (including legislative texts, project reports, and evaluations) and expert interviews.

## METHODOLOGICAL ASPECTS

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As described in the introduction, the present report deals with a research object which is multidimensional and difficult to grasp (social inclusion approaches in EU and LAC). The first difficulty in analysing social inclusion policy in the EU and LAC, and in their bi-regional relations, is in the definition of the observed field itself. First of all, regarding the EU, there is not a single and unified “EU social policy” as, according to article 4 TFEU, most areas of social policy fall under Member State competence. The EU has very limited competences in some areas (education and health as more important examples) and has not exercised its non-exclusive competences very extensively in all the others. For that reason, welfare systems in EU are very heterogeneous and, in fact, the meaning of “Social Policy” in the TFEU system is very restrictive and refers mainly only to salaried workers and working conditions. Secondly, the understanding of the scope of social policies and of their main objectives is very different also in LAC countries, among them and towards the EU.

In this context, it is quite challenging to find the right yardsticks to guide the investigation and to get to meaningful results from a comparative perspective. Therefore, we chose a multifaceted research approach in order to analyse different policy measures pertaining to social inclusion policy as well as their relevance for specific vulnerable groups. The report is a snapshot of a subset of policy measures for social inclusion. In more concrete terms, we consider three subsets of policies for social inclusion:

- a) Anti-poverty policies: focus on policies targeting people affected or threatened by poverty, more precisely minimum income schemes in EU countries and conditional cash transfer programmes in LAC countries.
- b) Legal and social inclusion of migrants: focus on legal situation of migrants in both regions, migration movements, regional strategies on migration governance, assistance measures for integration and the issue of social protection of migrant workers.
- c) Territorial cohesion: focus on the comparison of main instruments and approaches in the EU and LAC and confronting LAC perspectives on territorial cohesion.

The red line which links the individual parts of the research is the aim to evaluate how social inclusion policies are conceptualised in the EU and LAC and whether these policies have common grounds and orientations (see Figure 1).

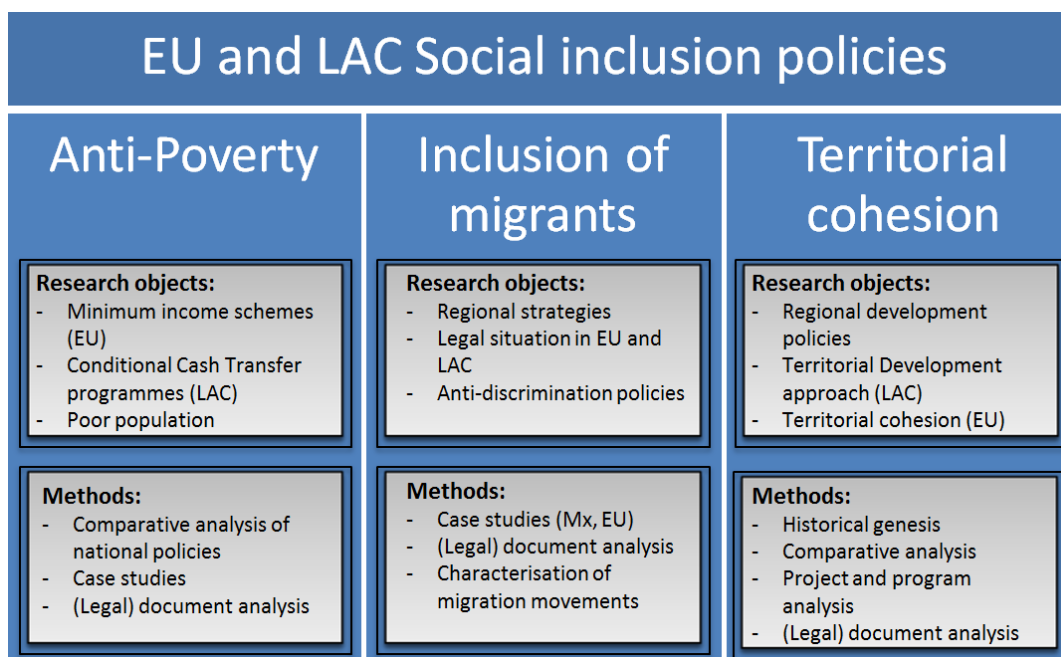


Figure 1: Three-layered methodological approach to EU-LAC social inclusion policy comparison.

These three policy areas have been selected to get a comprehensive picture of the different approaches applied to foster social inclusion and in order to show whether there are convergences between social inclusion systems in LAC and the EU. Ultimately, this threefold approach will explore common values and convergences of social inclusion policies in both regions and identify models and measures for social inclusion that are relevant for both regions. These analytical insights will help to make out starting points for enhanced EU-CELAC cooperation in the area of social inclusion policies.

We chose these three focal points for several reasons: poverty and migration rank high on the political agendas in both regions and are of increasing political relevance (poverty is a traditionally important issue in LAC and migration is extremely relevant in the EU). Territorial cohesion is of a different character, but has had major relevance in past EU-LAC cooperation initiatives. Within these three sub-topics we selected policy instruments of each region for the analysis which we consider most relevant and/or best comparable. In the end, the focus of the report lies on EU-LAC cooperation and revealing opportunities for enhanced cooperation in the area of social inclusion. An intermediate step is to reveal whether conceptual and programmatic policies of social inclusion approaches of the two regions have a common ground or are based on different values. Hereby it is important to note that there are no strict boundaries between the three studied policy areas. On the contrary, they are overlapping and interacting and these links get evident in the research at hand.

The three focus areas follow the same structure, even though some variation is unavoidable due to the heterogeneous nature of the research topics. However, each of the three focus areas introduces its specific methodological approach and objectives. Common conclusions from the three different parts as well as integrated recommendations are presented at the end of the report.

## **FOCUS AREA I – ANTI POVERTY POLICIES – A COMPARATIVE ANALYSIS OF RELEVANT APPROACHES TO SOCIAL INCLUSION**

### **1 INTRODUCTION**

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The main objective of EULAC Focus' subtask 5.3.1 "Policies to Promote Social Inclusion in EU and LAC" is to identify convergences and divergences in policies aimed at promoting social inclusion of vulnerable groups in the European Union (EU) and Latin America and the Caribbean countries (LAC) in order to suggest topics and modalities for strengthening EU-LAC cooperation in the field of social policies. The first two parts of this report focus on policies and specific strategies to reduce social exclusion of two vulnerable groups, namely: (1) poor populations and (2) migrants.

As regards poor population, it was decided to focus on Conditional or Responsible Transfer Programmes in Latin American and Caribbean countries and on Minimum Income Schemes (MIS) in the European Union, so as to have a comparable approach among both regions.

Over time, poverty reduction and social inclusion have been important destinations of state resources in Latin America, the Caribbean and the European Union. The most frequently used strategies in both regions have been monetary transfers (Gough & Geof, 2004; Jenson, 2010; Thorp, 1998). This approach originates from the perception of poverty as the lack of means of support on an individual level; however, this approach includes other non-monetary aspects such as health care, education and labour market integration strategies, which are essential in the process of overcoming poverty and indigence (Chiodi, 2016; Arriba, 2014; European Social Network, 2012).

Approximately fifteen years ago, policies for overcoming poverty became instruments to tackle the multiple dimensions of poverty. Latin America and Caribbean countries (LAC) as well as the European Union thus developed a series of strategies combining monetary and non-monetary approaches to tackle the various dimensions of poverty (Chiodi, 2016).

In the case of LAC, the first initiative of Conditional Transfer Programmes (CTP) was implemented in the late 1990s in Mexico and has up to now been replicated in the rest of the continent. From the standpoint of programmatic design, CTP rely on delivering a monthly or bimonthly amount of money to households that commit themselves to complying with pre-established conditions such as ensuring school attendance of their children and, for those with children who are not yet of school age, to submit to health checks. Over time, these types of programmes have transformed the region's social policy by promoting the use of tools such as targeting indexes, impact assessments and strengthening services in remote areas (Tejerina & Pizano, 2016).

In the case of European countries, overcoming poverty is addressed, mainly, on the basis of Minimum Income of Insertion Programmes (MII) or Minimum Income Schemes (MIS). According to the European Social Policy Network, MIS are defined as income support schemes that provide working-age individuals with a social safety network. MIS are strategies of last resort aimed at overcoming and preventing individuals from finding themselves in a situation of poverty; securing a minimum essential standard of living to individuals and their dependents, when they lack other means or financial support is otherwise insufficient (ESPN, 2016).

With the purpose of alleviating poverty, LAC and EU countries use different approaches based on characteristics of the regional conjuncture, historical evolution, political context and available resources. According to the European Social Policy Network (ESPN, 2016) there are five groups of monetary transfers in social policy: (a) Simple and global systems aimed at the overall population that lacks sufficient means of support; (b) Simple and non-categorical schemes, but with limited eligibility and coverage; (c) General and last resort regimes that offer additional categorical benefits covering the majority of individuals that have support needs; (d) Complex networks of different schemes, categorical and overlapping, which cover the majority of individuals that have support needs; (e) Limited, partial or fragmentary schemes aimed at a narrowed category of beneficiaries and which do not cover many of the individuals in need of assistance. The most common MIS strategies in European countries can be subsumed under the categories a, b and c. These schemes cover all individuals needing assistance and are not restricted to categories of individuals. The Latin American CTP generally aim at assisting very specific sectors of society for which they include mechanisms to select beneficiaries, based on socioeconomic, geographic or mixed factors. Therefore, CTP would belong more to the ESPN's e category.

On the basis of these strategies, part I of Deliverable 5.3 seeks to analyse convergences and divergences in the area of poverty reduction in both regions. To study the common denominator and the meeting points between LAC and the EU, this part is structured as follows: first, it describes the relevant methodological aspects. Subsequently, it briefly describes general characteristics of money transfer programmes, with special emphasis on CTPs and MIS. Then, convergences and divergences are identified, with special attention to the definitions of poverty, the general characteristics of the programmes, and their strategies to overcome poverty. Finally, the most relevant findings are highlighted and policy recommendations that outline some areas of political dialogue between the two regions through which the social dimension of their relations can be strengthened are formulated.

## 2 METHODOLOGICAL ASPECTS

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The aim of part I of this Deliverable is to identify convergences and divergences between the strategies of EU and LAC countries for poverty alleviation. To this end, CTP and MIS were defined as the object of research.

Traditionally there are three ways of using comparison in social studies: historical analysis, statistical analysis and qualitative studies. For this study a qualitative approach to comparative methods was applied. Qualitative studies are characterised by a process of interactive construction of theoretical argument and empirical evidence (Maxwell, 1996). They are studies of a holistic type which try to capture the nucleus of interest and the key elements of the studied reality, facilitating the understanding of meanings, contexts of development and processes.

Three lines of comparison have been identified: for justification and hypothesis control; to discover and generate new hypotheses and as a logical and systematic procedure that, in strict terms, is known as a comparative method. In 1971, Lijphart explained that the comparative method could be considered a research strategy, but not a research technique (Lijphart, 1971). For Sartori (1984), the comparative method aims to find similarities and differences. According to Fideli (1998), the comparative method is an approach that allows confronting characteristics of units, processes and geopolitical institutions at a precise moment or in a more or less broad time frame.

To inform the comparative analysis of convergences and divergences of the strategies of social inclusion in both regions, programmes from both LAC and the EU were selected to be examined closer. Five programmes from LAC were selected: Brazil (Bolsa Familia), Chile (Programa Familia Seguridades y Oportunidades), Jamaica (Programme of Advancement Through Health and Education - PATH), Mexico (Programa de Inclusión Social Prospera) and Peru (Juntos)<sup>3</sup>. Additionally, three programmes from the EU were selected: Italy (Reddito di Inclusione), Spain (Rentas Mínimas) and Austria (Bedarfsorientierte Mindestsicherung).

The selection of these programmes was based on the origin of the project partners participating in this sub task at the same time ensuring the diversity within the regions and the advancement of the programmes. In order to analyse mechanisms for poverty reduction in both regions, a methodology matrix was designed (see Annex A) based on the most outstanding elements quoted in the literature and from consultation with experts. Among other aspects, these elements include the analysis and characterisation of the target group as well as the origin, evolution, financing, institutionalisation, requirements, conditionalities and results of the examined programmes.

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<sup>3</sup> As a summary, in Appendix B, details of the characteristics of these programmes are presented



## 3 MONETARY TRANSFER PROGRAMMES AND POLICIES

### 3.1 CONDITIONAL TRANSFER PROGRAMMES (CTP)

#### 3.1.1 Definition and historical context

Conditional cash transfers programmes in Latin America and the Caribbean are aimed at reducing prevailing poverty while at the same time developing human capital, in an attempt to break the intergenerational transmission of poverty (Stampini & Tornarolli, 2012).

CTP targeted to poor households have become widely used, in particular to activate beneficiary households to invest in their children's human capital. The approach assumes that the supply side of social services for education and health is in place and that stimulating demand through income effects is not enough to induce major changes in human capital investment (Bourguignon, Ferreira, & Leite, 2002)

The implementation of CTP in the Latin American region originates from Mexico and dates back to 1997 with the launch of the PROGRESA programme (Education, Health and Food Program) aimed at poor rural communities. From then on, the concept of conditional monetary transfers was replicated in other countries in the region such as Brazil and Chile.

PROGRESA, as well as CTP implemented later on Latin American countries, introduce conditions for monetary transfers to poor households such as school attendance of the household's children and primary health care check-ups. Conditions are fundamental axes of cash transfers with short-term and long-term effects, providing income to the neediest households by encouraging consumption of basic goods and investing in human capital of children in order to break intergenerational poverty (Cruces, Moreno, Ringold, & Rofman, 2008).

PROGRESA quickly became "one of the most analysed and best-evaluated cases in the field of conditional monetary transfers in Latin America" (Villatoro, 2005, p. 96). Impact evaluations conducted by social policy experts from international organisations such as the Inter-American Development Bank or the World Bank established quantitative and qualitative standards for CTPs in the region. These studies highlight the focalisation of programmes, intersectoral collaborations, women's empowerment and co-responsibility as the main characteristics of monetary transfers. (Skoufias & Parker, 2001; Banco Mundial, 2009)

The trajectory of the Mexican programme started what experts point out as "the Latin American surge" (Cecchini & Madariaga, 2011) or the so-called "silent revolution" in Latin America's struggle against poverty (Barrientos, Hulme, & Hanlon, 2008). In 2002, Chile established the Chile Solidario programme which consisted of transfers of money targeted to homes affected by extreme poverty. PATH in Jamaica started as a CTP with financing from the World Bank. In 2003, the Federal Government of Brazil launched the Bolsa Familia programme. In 2005, Peru started the Juntos programme showing similar characteristics. In 2006, the Republic of Bolivia started a transfer cycle with the Juancito Pinto Bond and currently implements the Juana Azurduy Mother and Child Bond, which addresses the education and health areas. Since 2008, the Republic of Uruguay has also put into operation a conditional cash transfer program (Stampini & Tornarolli, 2012).



By 2011, CTP had spread to 18 countries in the region and covered as many as 135 million beneficiaries. These programmes have gained significant exposure in the policy debate on poverty eradication in the regional and international contexts as well as in agencies such as the World Bank (WB) and the Inter-American Development Bank (IDB) thanks to the establishment of various multilateral forums for the exchange of experiences and good practices, such as the Inter-American Social Protection Network (IASPN) within the framework of the Organisation of American States (OAS) (Cecchini & Madariaga, 2011).

Until the 1990s, social protection in Latin America and the Caribbean was mostly organised around work-related social insurance, which included health coverage and pensions. These schemes reduced formal workers' vulnerability to life cycle events. However, given the high prevalence of self- and informal employment, they failed to reach a large part of the population. Coverage was low and the impact in terms of poverty reduction weak. The need for complementary social assistance programmes became evident when the region was hit by structural crises that further increased the rates of unemployment and informality. In the late 1990s, Mexico and Brazil introduced the first innovative conditional cash transfer programmes that in many ways differed from previous social assistance. First and most importantly, they aimed at breaking the intergenerational transmission of poverty by conditioning payments on compliance with co-responsibilities for developing children's human capital. These included regular school attendance, health check-ups for children, pregnant women and lactating mothers, complete vaccination records, and participation in training sessions focusing on nutrition and health. The ultimate hope, although never explicitly stated in these terms, was that conditions would allow the accumulation of sufficient human capital to drive the next generation out of poverty, so that in the future, social assistance would no longer be needed.

Other substantial differences from previous social assistance programmes were that: (i) Benefits were paid in cash rather than in kind (a departure from the practice of delivering food baskets) to acknowledge that households rather than public administration are better positioned in deciding how to allocate available resources; (ii) Transfers were assigned to mothers, under the assumption that women direct a higher share of expenditure to types of goods and services that benefit children, including food, schooling and health, and finally; (iii) Some of the first CTP (e.g. Progresa/Oportunidades) embedded rigorous evaluations that proved their impacts in terms of poverty reduction and increased demand for schooling and health services (Fonseca, 2006; CONEVAL, 2014).

CTP have become the backbone of social assistance, replacing previous ineffective transfers and working in synergy with complementary programmes focusing on key areas of human capital development, such as child nutrition and early childhood development. Thanks to the accurate registries of beneficiaries, far-reaching executing agencies and institutionalised interaction with the supply of education and health services, CTP have become the basis for the organising of social services networks.

### **3.1.2 Main Characteristics**

The structure of CTP is based on the delivery of monetary and non-monetary resources. The benefit is granted to families, whose children are usually minors and who experience poverty or extreme

poverty<sup>4</sup>, subject to commitments associated with the improvement of their human capabilities (Cecchini & Madariaga, 2011). Holzman and Jorgensen (2009) have defined this process as the “social risk management approach”. This implies that individuals, households and communities are constantly exposed to multiple risks and poverty situations. These circumstances lead to greater vulnerability, as people in poverty environments have limited or no-access to adequate social risk management instruments and are in less favourable conditions to deal with social crisis.

The regular mechanisms used by lower-income households to deal with domestic economic shocks are informal type strategies, such as reductions in health care or, in the case of children, school non-attendance. These strategies originate from an inefficiency mechanism that has irreversible effects in human development because they exacerbate present vulnerabilities and, at worst, perpetuate the intergenerational cycle of poverty (Holzmann & Jorgensen, 2009). Bearing this in mind, CTP were designed to respond to three attributes of public policy in order to eradicate the intergenerational cycle of poverty: prevention, mitigation and confrontation.

Social protection systems in LAC have developed CTPs as strategies encompassing the three aforementioned characteristics, with special emphasis on mitigation mechanisms (Hicks & Wodon, 2001). Actions developed within the framework of social protection programmes involve investment in human capital with the purpose of promoting access to basic services and discourage people from applying informal strategies. These actions provide access to social protection for individuals who: (i) live in conditions of structural poverty, (ii) are slightly above the poverty line, and (iii) require special resources because of disabilities or inadequate access (Villatoro, 2005). In Chile the Familia, Seguridades y Oportunidades programme allocates special resources to groups in poverty with specific vulnerabilities, giving priority access to conditional cash transfers and non-monetary components to beneficiaries of the programme who are homeless, to the elderly and to children whose parents or caregivers are in jail. PROSPERA in Mexico gives priority access to households with children, women of childbearing age and people with disabilities. PATH in Jamaica focuses on children, elderly and people with disabilities as well.

Regarding beneficiaries, the unit of CTP intervention is rather the family than the individuals, with a special focus on the leading role of women. The reason for the focus on family is that poverty is conceived as a multidimensional and cyclical phenomenon to be overcome by means of an intergenerational process. These programmes are focused on the allocation of roles in the family nucleus, where the role of women is empowered. Likewise, poverty is a scourge that affects more profoundly single-parent families especially where women are in charge. This is why CTP promote women's responsibility in responding to the agreed commitments and administering monetary and non-monetary resources. Therefore, transfer recipients are mothers, assuming they will use monetary resources to improve the families in general and that of their children in particular. Likewise, mothers are in charge of conditions and sometimes act as programme promoters (Rodríguez Enríquez, 2011). This gender approach has been adopted in PROGRESA in Mexico, FSO in Chile, Juntos in Peru, and Bolsa Familia in Brazil.

Finally, another aspect of CTP is the adoption of technical criteria for targeting beneficiaries. They are normally based on two or more stage procedures with a predominance of targeting by

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<sup>4</sup> National definitions of poverty are based on national poverty lines, which vary by country. In section 4.1 the definition for each studied country is presented.

geographic units and mechanisms of selecting families indirectly by verifying their means of support (for example: Proxy Means Test process). Peruvian programme Juntos uses a mix of geographic criteria and the socioeconomic characterisation of households; currently covering almost all regions of the country. Likewise, PROSPERA in Mexico combines both processes. In Chile, FSO selects households according to proxy means testing and works with social registers of beneficiaries; same as Bolsa Familia in Brazil.

Although CTP have a common structure, one can find large variations in definitions of target population, benefits offered and the person in charge of linking with the programme and enforcing conditionalities (Cecchini & Madariaga, 2011). These differences arise from defining poverty lines, considering there is no regional institutional framework to undertake this task, unlike the case of the European Union and the MIS where poverty lines are defined as a percentage with common measurement indicators for the region.

The CTP social protection approach seeks to solve the problems raised by lack of investment in human capital preventing intergenerational poverty reproduction. CTP propose granting incentives to beneficiaries by conditioning monetary transfers. In pursuing this purpose, these programmes have two main components: a monetary one and one which is non-monetary or conditional.

#### Monetary Component

The monetary component of CTP consists in granting an economic allowance. There are still many programmes that deliver cash through payment events in urban areas. These payment events are usually supported by a public or private bank responsible for transferring cash amounts, verifying the person's identity and delivering the corresponding amount (Tejerina & Pizano, 2016).

Bearing in mind the complexities involved in the transfer of cash in the payment events, many countries began to look for operational solutions to improve the efficiency of payments. They generally use electronic cards, sometimes linked to a savings account. This mechanism does not necessarily apply to all LAC countries initiatives. Even so, the trend towards mechanisation of transfers has meant a great advance in the processes of allocation of funds and the simplification of administrative processes. In Brazil, for example, *Bolsa Familia* delivers the allowance through an electronic card that allows withdrawing cash at ATMs from the *Caixa Econômica Federal* network. In Brazil, only 1% of beneficiaries receive the cash allowance, while 84% use a limited-use electronic card and 15% already have a debit card linked to a bank account (Tejerina & Pizano, 2016). Similarly, Colombia and Argentina also adopted the card system, in order to decrease the time that takes beneficiaries to receive the payment and the programme's operating costs (Seira, 2010). In the case of Chile, the payment of the conditional cash transfers of the FSO Programme is made through an electronic deposit in the bank account of the designated collector of the beneficiary family, or in a bank account that is opened for the beneficiaries at no cost, or through face-to-face payment in bank branches and specialised offices.

#### Non-monetary component

CTPs involve conditions or responsibilities that require the participation of beneficiaries in social services. In this sense, the monetary transfer is not only considered a tool to overcome poverty, but also a stimulus for a greater development of human capital through school attendance of all children of school age, regular medical attention or the active search for jobs.

Conditionalities focus on several elements (education and health, among others) which can be considered as positive goods (Rodríguez Enríquez, 2011). This means that meeting certain conditions (positive goods) is a precondition for obtaining a social benefit. State interventions are thus crucial to ensure that consumption levels of these kinds of goods are socially ideal. Investment in education and health, for example, produces positive externalities. Vaccination contributes to reducing the spread of diseases and together with that, the cost assumed by the State to care for the sick population. Education generates more responsible behaviours (for example, regarding hygiene and personal care, addictions, etc.) and could lead to a reduction of costs required to address common social problems. Conditionalities would ensure that beneficiaries obtain the optimum level of human capital investment that not only optimises their individual situation, but also allows population to achieve maximum social benefits (Rodríguez Enríquez, 2011).

In addition to monetary transfers, several programmes provide in-kind transfers, such as food supplements and backpacks with school supplies, seeking to strengthen and complement resources for complying with previously agreed conditionalities (Cecchini & Madariaga, 2011). For example, PROGRESA in Mexico supplies basic and complementary products to rural areas and provides school supplies to scholarship beneficiaries of the programme enrolled in elementary and high schools.

Other non-monetary components complementary to the monetary transfers can take the form of specific accompaniment programmes in psychosocial or labour integration areas, or act as access mechanisms to the social services network. PROGRESA in Mexico focuses on guaranteed access to health care, training and formal employment, productive development programmes, financial inclusion programmes and access to other social benefits. FSO in Chile guarantees access to social benefits, as well as psychosocial and socio-labour accompaniment programmes focused on groups with specific needs.

### 3.2 MINIMUM INCOME SCHEMES (MIS)

In EU member states, MIS have become support measures designed to facilitate that their beneficiaries move from social exclusion to a working life, also fulfilling the function of preventing people from falling into poverty.

MIS are a system of providing social welfare that guarantees that the income of all citizens or families is sufficient to meet their needs, provided they meet certain conditions. Eligibility is typically determined by citizenship, a means test and the availability for the labour market or a willingness to perform community service (George, 2010; Moreira, 2008; Nelson, 2010). MIS can take different forms in accordance with the different models of European welfare states (Esping-Andersen, 2002; Gough I. , 1979; Thane, 2016).

According to Esping-Andersen (2002), the welfare state rests on four pillars:

- Education compulsory and free in the early stages and heavily subsidised at higher levels;
- Health as universal and free principle. It started to be restricted to certain groups in some parts of Europe and citizens begin to contribute to its costs.
- Social security including insurance to meet various needs (or e.g. orphans pension, widow's allowance etc.), as well as pensions that vary according to contributions made by workers throughout their working life.

- Social services, a set of aids designed to meet the needs of certain disadvantaged groups.

Traditionally, three types of welfare states have been distinguished in Europe: social democrat, conservative and liberal). However, the fall of the communist bloc and its incorporation into the market economy have generated a series of new types of welfare state in Central and Eastern Europe which are still in the definition phase. The following are the different welfare states models and their main features:

Welfare State Model	Main Characteristics	Examples
Social Democrat / Nordic model	High taxes, high income redistribution, high participation of women in the labour market, high standards of living and a high level of trust among citizens.	Denmark, Norway, Iceland, Finland and Sweden
Conservative / Corporative Model	This category includes a subgroup composed of the countries of southern Europe which share certain features, although not important enough to be considered as an independent group. Main features: low participation of women in the labour market, based on social contributions instead of taxes, moderate redistribution of income.	Austria, Belgium, Germany, Greece, Italy, Malta, Cyprus, Turkey, Luxembourg, Netherlands, Spain and Portugal
Liberal model	Low level of total state expenditure and low level of social protection spending.	Switzerland, United Kingdom and Ireland

Table 1: Welfare State models. Source: Self Elaboration based on Sping-Andersen (2002).

Regardless of its specific model, European welfare states have applied various tools to overcome and prevent poverty. The MIS initiative took place within this framework (Ferrera, 2005). Strategies were shaped according to the specific needs of each country and have been modified over time. They differ in the composition and type of expenditure, political priorities and the sources of funding. Some countries emphasize universal policies; others focus on specific targets and vulnerabilities such as the elderly, single mothers and ethnic minorities. It must always be recalled that, in the EU framework., any member state can address social problems with a different mix of instruments and measures, with special attention to the provision of services and benefits in kind (European Parliament, 2017; Figari, Matsaganis, & Sutherland, 2013; Van Parijs, 2004).

Overall, most programmes have a monetary component, some low intensity conditionalities and lack strong enforcement mechanism. For example, in the programmes “Rentas Mínimas” in the “Comunidades autónomas” in Spain, beneficiaries have to sign an agreement committing to using the money to meet basic necessities. With the “Reddito di Inclusione” in Italy, the conditionalities are stronger and involve recommendations for family members that cover areas such as: frequent contacts with the multidisciplinary team of the social service provider managing the respective cases,

search of a job, participation in training or job inclusion projects, acceptance of 'relevant' job offers, regular attendance to courses and commitment to school obligations. Although conditionalities only affect individual beneficiaries of the program, social services are obliged to follow-up with the whole family.

As to financing, MIS are usually financed by national taxes, although in some cases, programmes obtain partial financing from other organisations or entities. Likewise, assigning this benefit is subject to proof of economic means available to the claimant and, in certain situations, members of his family (Van Parijs, 2004).

Concerning the value structure, some MIS understand that labour inactivity of individuals below the poverty line is not a passive attitude or a product of their unwillingness to work. Labour market (re-)integration is encouraged by the MIS, avoiding blaming the beneficiaries for lack of employability produced by various reasons, among others, shortage of demand in the labour market (Chiodi F., 2015; Figari, Matsaganis, & Sutherland, 2013; Standing, 2003).

Finally, in most cases and in parallel to CTP, MIS consider social investment as one of the fundamental tools for overcoming poverty, focusing on interventions mainly at the individual level. This element has emerged in the context of the discussion of new social risks, transitions in the course of life and the need to invest soon after the hardship has occurred. The objective is to prevent risk and have a mechanism for quickly detecting situations of social crisis (Dhéret & Fransen, 2017). Access and rights are based on an evaluation of assets and means, and therefore benefits vary according to existing income and individual circumstances.

## 4 CONVERGING AND DIVERGING ASPECTS AND ELEMENTS OF COOPERATION

In order to analyse converging and diverging aspects between CTP and MIS schemes, this section of the report will discuss six elements which will help to reach conclusions on good practices and possibilities for international cooperation. These elements include:

- Poverty concept;
- Target group and coverage;
- Policy typology;
- Objectives and programmatic orientation;
- Satisfactory element;
- Measures of success

### 4.1 POVERTY CONCEPT

Poverty is a common concern between Latin America and the Caribbean and Europe, although it has been addressed from different perspectives given the needs and requirements of each region. From the definition of poverty lines to the design and implementation of programmes to overcome it, they differ not only at the cross-regional level, but also within regions themselves. While the EU has been

pushing integration on regional level and Member States are designing policies for more equitable societies, Latin America is far more heterogeneous, and some countries still seek to guarantee basic elements such as housing, drinking water and health, among others.

It is therefore essential to briefly review the concept of poverty in terms of the policies and programmes under consideration. If one considers the UN definition of poverty as a starting point, which understands poverty as a "condition characterized by severe deprivation of basic human needs, such as food, drinking water, sanitation facilities, health, housing, education and information" (United Nations, 1995), the way in which the concept of "basic human needs" is understood becomes relevant since it is at this point that the definitions for the Latin American/Caribbean and European cases diverge.

#### **4.1.1 Poverty concepts in the EU**

The European Commission and the Organisation for Economic Cooperation and Development (OECD) understand that an individual or family is in a situation of poverty when "their resources are so scarce as to exclude them from the minimum acceptable standard of living of the Member State in which they live" (European Commission & OECD, 2006). Therefore, the most commonly used methodology for measuring poverty is generally based on disposable income.

According to the European Commission's 2010 Communication "European Union's (EU) 2020 Strategy for smart, sustainable and inclusive growth"<sup>5</sup>, one of its five fundamental objectives is "to fight poverty and social exclusion". The quantitative target associated with this objective is to reduce the number of people living in or at risk of poverty and social exclusion by at least 20 million. To measure this objective, a new aggregate indicator of poverty and social exclusion is used (At Risk of Poverty and/or Exclusion - AROPE).

The AROPE consists of three sub-indicators that are derived from EU-SILC data:

- a relative component: the at-risk-of poverty rate / monetary poverty (AROP)
- a "kind of" absolute component: material deprivation
- an exclusion of labour market component: severe low work intensity.

This broader "at-risk-of-poverty or social exclusion" indicator is relevant in capturing several dimensions. More precisely it includes people that are at least in one of the 3 categories:

- People at risk-of-poverty, who have an equivalised disposable income below the risk-of-poverty threshold, set at 60 % of the national median equivalised disposable income (after social transfers).
- People who suffer from severe material deprivation and have living conditions severely constrained by a lack of resources. They experience at least 4 out of the 9 following deprivations items. They cannot afford: i. to pay rent or utility bills, ii. keep home adequately warm, iii. face

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<sup>5</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:52010DC2020&from=en>



unexpected expenses, iv. eat meat, fish or a protein equivalent every second day, v. a week holiday away from home, vi. a car, vii. a washing machine, viii. a colour TV, or ix. a telephone.

- People living in households with very low work intensity who are those aged 0-59 living in households where adults worked less than 20% of their total work potential during the past year. In total in 2017 there were about 112.8 million people in the EU-28, equivalent to 22.4 % of the entire population, who were at-risk-of poverty or social exclusion (AROPE)<sup>6</sup>. Among them, 14,4 million were both at risk of poverty and living in households with a very low work intensity, about 10,2 million at risk of poverty and severely materially deprived, a bit less than 2 million both severely materially deprived and in households with a very low work intensity, and 7.1 million were experiencing all 3 poverty and social exclusion situations.

#### 4.1.2 Poverty concepts in LAC

As far as Latin America is concerned, the criteria for defining poverty are somewhat different. Although there have been efforts towards measuring poverty from a multidimensional perspective during the last decade, the most common conceptual definitions of poverty used in LAC countries are those based on the lack of ability to reach minimum consumption levels.

According to the approach used by ECLAC to estimate poverty, a person is classified as poor when the per capita income of that person's household is below the poverty line, that is, the minimum income needed to meet a person's basic needs. Poverty lines expressed in national currency reflect the cost of a basket of basic goods and services, using the cost-of-basic-needs method.

Where relevant data were available, the cost of a basic food basket that covers a person's nutritional needs was estimated for each country and geographical area, taking into account consumption habits, the actual availability of foodstuffs and their relative prices, as well as the price differences between metropolitan areas, other urban areas and rural areas. This is the indigence line.

The poverty line is defined by adding to the indigence line an estimate of the resources needed by a household to satisfy its basic non-nutritional needs. This estimated amount is the result of multiplying the indigence line by a constant factor, generally 2 for urban areas and 1.75 for rural areas.

In most cases, data on the structure of household consumption of both foodstuffs and other goods and services came from national household-budget surveys. When such survey was not available, other information on household consumption was used.

Because those surveys were conducted before the poverty estimates were made, indigence lines and poverty lines have been updated using cumulative variations in the consumer price index (CPI). Until December 2006, the same variation is applied to both lines. Starting in 2007, the indigence line is adjusted to reflect changes in the foodstuff component of the CPI, whereas the part of the poverty

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<sup>6</sup> See: [https://ec.europa.eu/eurostat/statistics-explained/index.php/People\\_at\\_risk\\_of\\_poverty\\_or\\_social\\_exclusion#Number\\_of\\_people\\_at\\_risk\\_of\\_poverty\\_or\\_social\\_exclusion](https://ec.europa.eu/eurostat/statistics-explained/index.php/People_at_risk_of_poverty_or_social_exclusion#Number_of_people_at_risk_of_poverty_or_social_exclusion)



line that corresponds to non-food spending is adjusted to reflect changes in that component of the CPI. Therefore, from 2007 onwards the differential between the indigence and poverty lines is no longer constant.<sup>7</sup>

The World Bank uses also the criterion of income to define poverty and extreme poverty. In the 2030 perspective, he defines as in extreme poverty people living on less than \$1.90 a day (2011 PPP prices). By this measure, however, most countries in Latin America and the Caribbean (LAC) have low rates of extreme poverty. The level of economic development in the region has therefore led analysts to use regional poverty lines that are higher and more in line with LAC countries' official extreme and moderate poverty lines: \$2.50-a-day and \$4-a-day poverty lines (in 2005 PPP prices).

In addition, growing interest on the vulnerable and middle classes has led to the estimation of two other sets of lines. The vulnerable population are those who are not in poverty but not yet in the middle class. These households earn between \$4 and \$10-a-day (2005 PPP) and are currently the largest group in the region. The middle class are households that have a low probability of falling into poverty but are not rich. They have been defined as earning between \$10 and \$50-a-day (2005 PPP)<sup>8</sup>.

In general, indigence in Latin America is understood as households and individuals whose income, if they were to use it in its entirety for this purpose, is not sufficient to acquire a basic food basket, (Social Capital Initiative & United Nations, 2003). On the other hand, total poverty is conceived as households and individuals whose income is insufficient to purchase a basket of goods and services. In both definitions, the baskets vary from country to country.

Among the Latin American countries, the Chilean case stands out as some exception. The poverty measurement applied since 1987 to 2012 was based exclusively on income (the price of a basic basket of goods that covered fundamental needs for a household). However, this methodology has been modified twice in the last decade. The first, carried out in 2012, was reflected in the application of the National Socioeconomic Characterisation Survey (CASEN) 2013, through which the Ministry of Social Development of Chile incorporated a multidimensional measure of poverty that covered four areas: education, health, labour and social security and housing. As a result of the application of this instrument in that year, the main criticism that emerged was that poverty should be seen as a limitation of individuals' ability to function socially and in society and not exclusively as an economic issue (Hernado, 2016). Based on this observation, in 2014, the CASEN survey was modified once again, incorporating in the last available measurement (2015) an environment indicator within the housing dimension and a new dimension of networks and social cohesion, in order to overcome the aforementioned issues. In this way, the relevance of the other dimensions apart from income in its measurement is evident.

Therefore, contrasting the poverty definitions of both regions, it is apparent that the European definition has advanced by taking the concept towards social and labour inclusion, with income

<sup>7</sup> [http://interwp.cepal.org/sisgen/sisgen\\_badeinso\\_estimaciones\\_pobreza\\_cepal.asp?idioma=i](http://interwp.cepal.org/sisgen/sisgen_badeinso_estimaciones_pobreza_cepal.asp?idioma=i)

<sup>8</sup> <http://www.worldbank.org/en/topic/poverty/lac-equity-lab1/poverty>

being only one element under consideration. However, in LAC poverty is still defined in relation to the coverage of basic needs. Although some LAC countries are moving towards multidimensional measures, the income indicator is still the most used in the region.

## 4.2 TARGET GROUP AND COVERAGE

In general, the programmes focus on individuals or families considered as living in actual poverty even though, as mentioned in the previous section, poverty can be defined in different ways depending on the situation, country and region.

In LAC countries, in the case of Brazil, for example, the target group is families with a per capita/month income of up to BRL\$77 (USD\$20) and families with a per capita income of between BRL\$77.01 and BRL\$154 (USD\$40), provided that they include children and adolescents aged 0-17. Based on this definition, the potential beneficiaries of the programme for 2016 were estimated at 13.7 million families (50 million people).

In the case of Chile, the target group is defined by means of the CASEN (National Characterisation and Socioeconomic Survey), which since 1984 has been the mechanism for measuring and characterising poverty in Chile. By 2011, the survey estimated that 14.2% of the total population was below the total poverty line and 2.8% was living in extreme poverty (Ministerio de Desarrollo Social, 2011).

The eligibility criteria for the Jamaican PATH Programme define five categories under which beneficiaries may be considered: children, from birth to the end of secondary school; elderly, 60 years and over and not receiving a pension; people with disabilities; pregnant and lactating women and poor adults between 18 and 59 years old. To participate in the programme, an application must be submitted to the parish office of the Ministry of Labour and Social Security (MLSS) with detailed information on demographic and socioeconomic situation of the applicant(s). This allows the MLSS to calculate a household score which determines programme eligibility for each applicant.

In recent years, LAC countries have faced new challenges due to the arrival of migrant population. In this new scenario, social programmes have had to adapt and have gradually included foreign citizens who meet the selection criteria to access benefits.

In the case of European countries, the target groups for anti-poverty programmes vary slightly from Latin American countries. For example, in the case of Spain and according to data from the 2014 Labour Force Survey, there were 742,000 households without any form of income including that derived from work, unemployment benefits or contributory pensions, and 1,789,400 families in which none of the adults were employed. The total number of recipients of the minimum income in 2014 was 612,518 (3.93% less than in 2013) (Ministerio de Sanidad, Servicios Sociales e Igualdad, 2014).

It is worth noting that European countries emphasize the inclusion of foreigners residing in the country. This is the case in Italy, where the target groups are families living in poverty, including immigrant families, with at least one minor or disabled child and pregnant women. It is estimated that between 180,000 and 220,000 families and between 400,000 and 500,000 children have benefited from the “Reddito di Inclusione” programme.

Both programmes consider the target group as the poor population; however, the differences in the definitions of poverty, poverty rates and the age composition of each region, affect the number and type of beneficiaries of the programmes.

### 4.3 POLICY TYPOLOGY

Social programmes can be universal, targeted or mixed. In this sense, universal programmes are those whose target group is not selective. Targeted are those that are dedicated to supplying certain monetary or non-monetary needs of a specific group of people (e.g. women, children, indigenous people, etc.). Finally, mixed programmes target the whole society, but provide extra benefits to a specific group. Below are three examples of the programmes selected for this study that illustrate the various types of social programmes.

As an example, the Juntos programme in Perú is a targeted programme whose coverage combines two criteria: geography and poverty level. The geographic focus determines which districts are targeted. Based on this, a targeting of households according to their poverty level is done to select the families eligible for the program. Household targeting is based on data from the Household Targeting System (SISFOH). In 2014, the Ministry of Development and Social Inclusion (MIDIS) issued a resolution determining that the indigenous communities in the natural region of Selva would be assumed to be in a situation of extreme poverty, regardless of the SISFOH classification. The reason for this decision was the poor quality of the data available to categorise these communities. The programme has a national scope and, over the years, it has been able to intervene in almost all regions of Peru, with the exception of Tumbes, Ica, Moquegua and the constitutional province of Callao, due to the criterion of geographic focalisation which selects districts with poverty rates of over 40%. As of the first two months of 2017, the programme had 745,329 affiliated households and 1,601,451 target members.

The Autonomous Communities' minimum income programme (CC.AA, Spain) has elements of a mixed programme, because, in spite of fact that it is available to all family or cohabitation units that meet certain requirements (element of universality), its actual amount depends on geographic specificities. Indeed, although common characteristics can be identified for all the minimum income programmes of the Autonomous Communities, they are different in terms of their conceptualisation and their implementation. Thus, heterogeneity is their most outstanding characteristic and, at the same time, their weakest point. Moreover, in recent years these differences have widened even further. One of the aspects in which most differences can be seen at the territorial level is in the amount of benefits. For example, the amount of benefits is generally lower in areas with higher levels of poverty, ranging from 340 USD in Murcia to 755 USD in the Basque Country.

An example of a universal programme is the Bolsa Familia programme in Brazil given its coverage and the fact that the only restriction to participate is the eligibility criteria based on the per capita family income (sum of the income of all family members divided by the number of family members), declared in the single registry<sup>9</sup>. All families living in poverty (monthly income per person between 20 USD and 40 USD) and extreme poverty (monthly income per person up to 20 USD) are eligible for Bolsa Familia. The law establishing the programme defines family as "a nuclear unit, possibly

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<sup>9</sup> The federal government's Single Registry for Social Programmes that offers i) its implementation network; and ii) information about registered families to the Bolsa Familia Programme.

extended by other individuals who are related to it or have affinity with it, which forms a domestic group, lives under the same roof and is maintained by the contribution of its members". The programme focuses on families living in poverty or extreme poverty within each municipality (it does not have a national base). For each municipality, an estimate of the number of families living in these situations was established based on data from the demographic census and the National Household Sample Survey (PNAD), both carried out by the Brazilian Institute of Geography and Statistics (IBGE). Thus, the number of families that qualify is limited by the estimate calculated for each municipality, the national estimate being the sum of all the municipal estimates. The families' entry into the programme is in the following order: first, families considered to be priorities; second, families with the lowest monthly income per person; and third, families with the highest number of children and adolescents between the ages of 0 and 17.

The programmes in both regions face challenges in defining whether or not to target specific populations and how to achieve it. There are important challenges regarding the institutional responsibility for the programmes and the scope of the attributions of local governments, in other words, who decides on the eligibility criteria of programme. Another relevant challenge has to do with the registration systems and their ability to correctly identify who meets those criteria.

#### 4.4 OBJECTIVES AND PROGRAMMATIC ORIENTATION

Another difference between the programmes studied is their programmatic orientation and objective. The Austrian case will be described as one example of European experiences. The Bedarfsorientierte Mindestsicherung (BMS), a typical MIS, is coupled with labour market measures and is designed to provide people with a last safety net if all other social security systems are insufficient. Labour market measures are active labour market policies, especially:

- training,
- re-training,
- case management to combine labour market consultation with social work perspectives,
- socio-economic companies to help especially long-term beneficiaries to find employment in the second labour market<sup>10</sup> as a first step out of BMS.

No specific gender equality mechanisms can be found in the programme. Some labour market policies are aimed specifically at women and some even at migrant women, but these are not directly connected with BMS. Nonetheless, women can participate in these labour market programmes, i.e. FIT (Women in Technology) while being beneficiaries of BMS.

On the other hand, the Italian initiative Reddito di Inclusione does not define a quantitative objective. This is because the policy is not a plan or programme, but rather a reform of the welfare system that implements a means-tested national measure (benefit) to support poor families to overcome their poverty status. While there are other instruments and policies related to poverty, the establishment of this measure has a re-foundational character for public interventions as being "unique" and structural, thus making it the "first essential level of social benefits" concerning civil

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<sup>10</sup> The basic idea of the "second labour market" is to enable the reintegration of long-term unemployed people. On a fixed-term job they have the opportunity to start their professional integration under expert guidance. Such a workplace is called a transit workplace and is intended to improve personal qualifications and finally to find a job in the open labour market.

and social rights. In other words, it is a benefit that must be guaranteed uniformly throughout the territory. The importance of this step can be understood in the light of the fact that competition in socio-assistance matters is regional, not at state level. From a conceptual point of view, the *Reddito di Inclusione* is not conceived as a measure of mere economic assistance (hence the name, which underlines the objective of inclusion), but as an integrated set of interventions to address the different causes of poverty in each case and to accompany the family towards autonomy. For this reason, the platform of the national measure is based on two interlinked tools: monetary support for poor families (for the time being, with minors, or with people with disabilities or pregnant women) and services for the development of personalised social and labour activation projects conceived as means for overcoming poverty, labour market (re-)integration and social inclusion. However, it is also assumed that the will of the people is a necessary condition for achieving changes that monetary support and services alone cannot generate.

In the case of LAC programmes, the Mexican programme PROSPERA assumes the definition of poverty from its immediate predecessor Oportunidades, defining it as deprivation of capabilities and not simply the income component. Accordingly, the process of overcoming poverty involves broadening access to socio-economic conditions that affect individual capabilities. In addition, PROSPERA, like its predecessor, starts from accepting the insufficiency of assistance to overcome poverty, claiming the need for participation of the beneficiaries themselves, which is translated into the principle of co-responsibility. Based on the tradition of targeted programmes to combat poverty in Mexico, it is considered that the transition to nonpoverty has been completed when inclusion in the labour market improves the family's monetary income levels. Depending on the reasons given, it can be inferred that the programme's conception of poverty is largely circumstantial, which is also reflected in the systematic processes of verifying economic conditions and updating the beneficiary census (recertification). Once a family joins PROSPERA, it can receive two types of support: cash transfers and transfers in kind (of certain goods and services). On the other hand, the different types of support can assume two fundamental modalities: the Co-responsibility Support Scheme (CSS) or the Non-Co-responsibility Support Scheme (NCSS). The first is defined as the one in which families can simultaneously receive support from all programme components (health, education, food and linkage support) because there is sufficient coverage and capacity for care. In this variant, families are obliged to take co-responsibility actions, i.e., the responsibilities of attending health and education services in order to receive the programme's support. The CSS is PROSPERA's preferred option because it is more consistent with the capabilities approach. In the case of local communities with deficits in health and education coverage, food support is provided under the NCSS modality. In PROSPERA as well as in other programmes in LAC, there has been a gender perspective, with an emphasis on equal opportunities for men and women. Likewise, the recipients of benefits in households, in most cases, are women.

The specific objectives of the programmes may vary, between regions and within each region. While it is true that all of them focus on improving the living conditions of the population and helping them to overcome poverty, the programmes can be located at the base of the social protection systems (Italy) or as its last resort (Austria). On the other hand, programmes in both regions share the main goal that individuals and families can stay out of poverty autonomously (through labour market participation), however the starting point depends on local contexts. Some programmes have to provide a minimum livelihood base and ensure access to basic services (health and education), while others focus exclusively on job search. In this last point, EU and LAC could face different challenges.

## 4.5 SATISFACTORY ELEMENT

It is important to mention the relevance of the satisfactory element in the different programmes. The satisfactory element is defined as the adequacy of the means to solve the problem or meet the need. They concern mainly the operational mechanisms, including access to the social protection system and measures to improve income-generating capacity. As mentioned above, both the MIS and the CTP have two general elements: the transfer of cash to the beneficiaries and the conditionality of meeting certain requirements. The following are some examples of satisfaction within the revised programmes.

As an example of LAC programmes, the aim of the Juntos (Peru) programme is to improve the human capital of populations living in poverty by promoting the use of key public services such as education, health and nutrition. The programme expects that by achieving this goal, the intergenerational cycle of poverty in families can be broken and poverty reduced. In order to carry out this mission, the policy focuses on monetary transfers conditional on a series of co-responsibilities that the beneficiary household assumes. These co-responsibilities are the children's school attendance, health checks according to the life cycle of the child, adolescent or young person, and the correct identity documentation. By promoting these practices, the programme expects that children will be better prepared and have greater opportunities to overcome poverty. The economic incentive consists of a bi-monthly payment of 60 USD for each household. This incentive also serves to give the family more resources to address their poverty situation. The Juntos programme targets poor households in rural areas with children aged 0-19 or where the mother is pregnant. In addition to these requirements, the programme carries out, first, a geographic targeting through which the districts where the intervention will be implemented are chosen, and secondly a targeting by household characteristics, where the eligible households are determined according to their poverty level.

In the case of European countries, in Italy, the means to solve the problem of poverty/social exclusion are two integrated pillars of the policy: the monetary subsidy and the personalised project of social and labour inclusion. The two instruments act simultaneously. In order to produce effects, a necessary condition that is assumed for the activation of the beneficiaries is a pact (conditionality) between the beneficiaries and the services. The money transfer is the responsibility of the National Social Security Institute (INPS) and is made through periodic bonuses on electronic cards (SIA Letter) delivered to the beneficiaries and managed through the national postal system (Poste Italiane Spa). The responsibility for the relationship with the beneficiaries and for the inclusion projects falls on the municipalities, generally through the Ambiti Territoriali, that is to say the associations of municipalities established for the collective provision of social services. The municipal services organised at territorial level have the responsibility to inform the population about services and interventions provided, receive the applications and inspect for compliance with requirements. The services and interventions include:

- Labour inclusion
- Work orientation
- Training for (re)professional qualification, self-employment, labour market insertion, etc.
- Social activation trajectories: socio-educational support for people with particular weaknesses and low employability.



- Labour activation measures: promotion of work experience, also through internships, grants, social workshops, integration into community work, support for work, etc.
- Measures to encourage recruitment: incentives to enterprises in accordance with existing legislation and measures.
- Insertion in social cooperatives
- Support for self-employment and entrepreneurial activities

To tailor design activities related to active job search, training and labour inclusion, the personalised project has to be coordinated by the labour centres. Otherwise beneficiaries have to assume a “pact of services” already signed between the both parts (centres and beneficiaries).

In contrast to the Italian programme, the objective of the Mexican programme PROSPERA is the fight against extreme poverty. To this end, the programme coordinates a series of conditional monetary support and access to certain goods and services. The programme focuses both on alleviating the conditions inherent in poverty and on medium- and long-term capacity building, while at the same time advocating for a gender and rights perspective. One of the main achievements of the programme has been the mechanisms for updating the register of beneficiaries, and in particular the permanent verification system, which in practice, is a system for monitoring beneficiaries. The intervention process can be summarised in four main stages: 1) the identification of eligible families through a targeting methodology; 2) their incorporation into the programme; 3) the monitoring of the evolution of the beneficiaries; and 4) the strategies that provide for their transit out of the programme.

As already mentioned, the problem to be solved in each case can have different characteristics according to local contexts. Therefore, the means to solve the problems are varied. However, what the programmes reviewed in both regions have in common is the need to involve the beneficiary in solving the problem. This has been done through the conditionalities that beneficiaries must meet to receive the benefits. Whether it is the children's attendance at school or the active search for work, the beneficiaries must be an active actor if the solution is to be sustained over time.

#### 4.6 MEASURES OF SUCCESS

The design of any public policy, and especially of those related to poverty reduction, aims at real and measurable results. In general, the evaluation mechanisms of these programmes are either not properly implemented or do not have sufficient tools or resources to carry out the relevant evaluations.

In terms of results, only some of the programmes studied allowed an assessment of their level of effectiveness and efficiency in terms of inclusion. Some examples are the following:

In the case of Chile, although the quantitative evaluations of effectiveness and efficiency do not show that the result is a significant contribution to the solution of the problem of structural poverty, nor lead to a higher rate of schooling and better working conditions for female beneficiaries, the qualitative evaluation studies (such as focus groups) show a slight improvement in the living conditions of the beneficiaries, among which advances in the diet and room for family recreation stand out. It is worth noting that, throughout the existence of the programme, modifications have been implemented with the aim of improving its effectiveness and efficiency. One of the problems

that has been addressed is that of the use of the social protection card, mainly because of the incentives for under-declaration by beneficiaries, in a process that is self-reporting. The government has worked on the implementation of modifications, particularly in the line of validating the data provided by the respondents, which is a prerequisite for this programme to meet its objectives of serving the population in extreme poverty, so that by 2012 a new instrument was issued. Regarding the components of the programme, there are some aspects that should be taken into account, such as allowing a certain degree of differentiation in the intervention and recognising the heterogeneity of the beneficiary families. On conditional transfers received by beneficiaries, there is still excessive fragmentation, complexity of the calculation formula for their allocation and inefficient targeting of incentives, especially to the respect of women's incentives to enter the labour market. It has also been noticed the need for the programme to set specific targets for the fulfilment of each condition in order to facilitate the constant monitoring of its progress.

The PATH programme in Jamaica was evaluated by an independent research contractor<sup>11</sup>. In order to evaluate PATH's impacts, a comparison-group research design was developed. The design involves comparing outcomes for a sample of 2,500 households eligible for PATH (the participant group) with another group of households that were similar to the participant group but were not deemed eligible for PATH (comparison group). The evidence from the PATH management information system indicates that PATH has been successful in targeting its benefits to the Island's poorest households. In particular, 58 per cent of benefits were found to go to the poorest quintile of the population. However, there may be room for some improvements in the targeting area. PATH has been effective at accomplishing its objective of encouraging households to send their children to school with greater regularity. Multiple regression analysis indicated that PATH has increased school attendance by approximately 0.5 days per month. The estimated increase is about three percent over the baseline level, and it is statistically significant. PATH was also successful in meeting its objective of increasing the use of preventive health care for children in PATH families. The results of the statistical analysis suggest that health care visits for children 0-6 increased by approximately 38 per cent as a result of PATH. While PATH was successful at increasing school attendance and preventive health visits, there is no evidence that it was able to affect longer term outcomes such as grades, advancement to next grade or health care status. This suggests that to improve the human capital of poor households through PATH, policymakers may want to pay particular attention to the interaction between PATH and factors related to the delivery of education and health services in Jamaica.

In the Austrian case there is an "Arbeitskreis Bedarfssorientierte Mindestsicherung", a working group, concerned with monitoring and evaluating BMS. The last report was published in December 2016<sup>12</sup> with detailed insights into BMS, especially its mechanisms, its intentions and potential for improvement. The overall report contains reports from the Austrian ombudsman (Volksanwaltschaft) and the audit office (Rechnungshof) as well as detailed studies and evaluation of BMS in the nine federal states. Main achievements have been the introduction of nationwide minimum standards and the introduction of health insurance for all. This offers the beneficiaries of

<sup>11</sup> Levy, Dan; Ohls, Jim: Evaluation of Jamaica's PATH programme: Final report. Online available at: <http://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.1.296.5616&rep=rep1&type=pdf>.

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See:

[https://www.sozialministerium.at/cms/site/attachments/1/4/6/CH3434/CMS1537444234394/bms\\_2017\\_3.\\_bericht\\_web\\_neu.pdf](https://www.sozialministerium.at/cms/site/attachments/1/4/6/CH3434/CMS1537444234394/bms_2017_3._bericht_web_neu.pdf)



BMS equal access to medical services and releases them from paying prescription drugs charges. Additionally, there are significant improvements for single parents in comparison to the former system and claims for compensation are limited (formerly, relatives were charged before a beneficiary was allowed to receive “Sozialhilfe”, social assistance).

One major critique of the BMS is that the standardisation over the nine federal states was not successful (which was one of the major aims when introducing it) since BMS only sets minimum standards but still allows federal states to impose their own regulations. According to the ombudsman, some federal states are still granting support below the minimum standards and these violations of the regulation are not sanctioned. A similar critique was raised by the audit office, also questioning the successful harmonisation of minimum standards. However, the various reports show significant improvements for people at risk of poverty through the introduction of BMS mainly through granting higher minimum standards for single parents (more than 90% of them are women) and the introduction of health insurance. Recently, the BMS has come under pressure because the new right-wing coalition government currently in power in Austria, led by the Austrian People's Party (ÖVP), wants to reform the programme. Its main objective is to restrict the access of non-EU-citizens to the BMS. Since this is difficult to implement from a legal point of view, the government has tried to introduce other barriers (e.g. having completed middle school in Austria, intermediate language skills in German, declining extra financial support for families with more children) targeting all recipients of the BMS, regardless of their nationality, but de facto addressing in particular non-EU migrants.

Concerning the integration of BMS beneficiaries into the labour market, there is a severe east-west difference. In the western part of the country, there are far less BMS beneficiaries and more jobs available (for one job opening in the unqualified sector, 7 people were applying in Salzburg and 10 in Tyrol, while in Vienna this ratio was 1:44 in the year 2015). Since integration into the labour market is mainly dependent on the labour market situation, with raising unemployment rates all over the country, this aim gets harder to achieve.

Although important efforts are being made in both regions to evaluate the programmes reviewed in this document, it is also true that there is a large space to improve instruments in order to be able to conclude with greater precision whether the objectives for which they were created have been fulfilled or not. Regarding the findings of the programmes evaluations carried out, there are some common elements in terms of results and challenges. Among others: there is no evidence regarding their specific contribution to overcoming poverty, however, progress is observed in the areas related to the conditionalities. The findings of this study suggest that targeting and allocation of benefits require much more sophisticated and integrated information systems; constant feedback is required to ensure that the incentives are working correctly, that is why it is essential to have good monitoring and evaluation systems.

## 5 CONCLUDING REMARKS AND RECOMMENDATIONS

### 5.1 CONCLUSIONS

- 1. Overcoming poverty and social exclusion remain important challenges for social policies in both Latin America and Europe, even when they are covered from different approaches and face different strategies, according to the needs and prevailing contexts in each region.**

Analysing different realities of both regions, convergence and divergence points can be found between both blocks. A first element is related to poverty conceptions in both regions. While in countries of the European Union overcoming poverty has been mainly related to social and labour inclusion, in Latin American and the Caribbean countries, the fight against poverty is still being determined by the coverage of basic needs, albeit the focus on the development of human capital and social inclusion is gaining ground. Even though poverty and social exclusion phenomena are still present in both regions, the conceptualisation of poverty and the policies targeted towards its mitigation are determined by countries' socioeconomic contexts. In the EU, regional integration has helped in the promotion of policies to build more equal societies; however, economic crises and high unemployment have jeopardised welfare systems to maintain social cohesion, and they have increased vulnerability in certain groups such as children, women and immigrants. In Latin America, where the level of absolute poverty is higher and the characteristics of poverty are more heterogeneous and, in many cases, with a rural dimension, policies in some countries are still focused on guaranteeing basic elements such as housing, drinking water and/or health. Likewise, the migratory phenomenon is also a factor to be considered in the region, as it is accelerating and, nowadays, social integration at this level constitutes a new challenge for social policies.

- 2. Countries from the European Union and Latin America and the Caribbean have implemented monetary transfer policies as tools to mitigate the effects of poverty, with specific approaches and objectives for each region.**

In both regions, poverty reduction policies and social inclusion promotion have focused on improving living conditions and helping people out of poverty and staying out of it. However, there are differences depending on local contexts. In LAC countries the design of poverty reduction policies is generally associated with providing assistance; i.e. providing a minimum base of livelihoods in a targeted manner and guaranteeing access to basic services for the population in a situation of poverty or extreme poverty. In the EU on the other hand, transitory risks are at the core of anti-poverty policies, taking a more universal approach that for example focuses on labour market insertion of people who are excluded from the labour market. In countries of the European Union, the minimum income systems have considered promotion and access to employment of individuals at risk of falling into poverty as the main element of their policy through tools that give them autonomy by means of activation and investment in human capital, with beneficiaries' joint responsibilities. On the other hand, the conditional transfer programmes in LAC, which aim to shift from social assistance towards a policy focused on people's capabilities, as well as assuring the basic needs to reduce the risk of remaining in poverty, have been concerned about the development of human capital and the beneficiaries' joint responsibilities, through the fulfilment of conditions to

receive the monetary benefits. The conditional transfer programmes in LAC have progressed, however, towards labour integration as an ultimate objective, and have incorporated measures in this matter. Special emphasis has been placed on women's insertion into the labour market and women's empowerment as holders of benefits of families, as a gender perspective that has been relevant to attack household poverty by incorporating a second source of income or improving the main source of income in the case of female headed-households. Without a doubt, it is a great challenge for the region to continue working in this direction.

### **3. The monetary transfer programmes reviewed in both regions have involved beneficiaries as co-responsible constituent in overcoming their poverty situations through conditionalities.**

The programmes analysed in both regions have the practice of involving the beneficiary in overcoming their poverty situation, through the definition of certain conditions that programme users must meet to receive the benefits and stay in the programmes in common. The conditions applied are related to children's school attendance, the maintenance of their health check-ups or vaccines up-to-date, or job search, as it is understood that beneficiaries must be an active actor in order to ensure sustainable solutions over time. In the European case, beneficiaries' conditions are related to an active job search and participation in reintegration work programmes, and the co-responsibilities are formalised in the contracts with users as requirements to receive the benefit, and with the ultimate objective of generating autonomy in terms of social assistance.

In Latin America and the Caribbean, the involvement of beneficiaries in the implementation of the programmes seems to have had positive effects in the areas to which the conditions are related (mainly child nutrition, educational achievement and health). However, as will be discussed below in conclusion 5, the results of the existing evaluations are not so conclusive concerning the effects of the measures as a strategy to break the intergenerational transmission of poverty, based on long-term human capital development. There have also been improvements in the control of compliance with the required conditions, both at the level of the administrative records of the ministries or sectoral organisations (ministries of education and health) and, simultaneously, at the level of the integrated systems of social and beneficiaries' information that have allowed to keep a record of the fulfilments and to see any improvements in this matter.

### **4. The financing and institutional set-up of the programmes for overcoming poverty and social inclusion are crucial for their success.**

An important element to consider for the success of poverty reduction policies in both regions is the institutional framework that supports the programmes and the implementation of the regulations and financing involved. In the case of the EU, member states have been able to benefit from the general context of regional integration and some of the programmes funded by the EU. In Latin America, international contributions have been fundamental for the design and implementation of programmes. This has been essential considering the regional context, which involves large populations and with higher levels of poverty including rural poverty, as well as high levels of exclusion and social marginalisation. Currently, most of the CTP operate with public budgets and, in several cases, the institutionalisation of programmes with specific legal support has made possible to ensure their financing and sustainability, beyond the priorities of the governments in power.

Regarding the targeting of resources, programmes in both regions face challenges when deciding whether or not they should target specific populations, and how to achieve it. In Europe, some systems implement policies with a universal approach, while others focus on groups with particular vulnerabilities. In contrast, the Latin American programmes focus on households in poverty or extreme poverty, giving priority to certain groups according to their specific vulnerabilities. In both cases, a relevant challenge is related to the institutional capacity to properly identify who meets the criteria to access programmes through social information systems and registers associated with the targeting and allocation of benefits. Improvements in social information systems and the registers of beneficiaries in Latin America, which have allowed maintaining and improving the targeting of resources assigned to these programmes, also improving efficiency and increasing their coverage, must be highlighted. On the other hand, at the institutional level, the intersectoral coordination and the work made by the implementing agencies of local programmes have been an important support for the good results of the programmes, and also for the fulfilment of the social inclusion objectives and access to the social services network, as a complementary element to the monetary transfers.

**5. The impact of monetary transfer programmes has been evaluated in both regions, but no findings regarding their contribution to the quantitative reduction of poverty in the countries has been established.**

Important efforts are being made both in the European Union and in Latin America and the Caribbean countries to evaluate the monetary transfer programmes. However, there is room to improve evaluation instruments in order to analyse programmes' effectiveness in a more accurate way, and to conclude with greater precision whether the objectives for which they were created have been fulfilled and the proposed goals have been achieved. On the other hand, the targeting and allocation of benefits require much more sophisticated and integrated information systems and constant feedback is needed to ensure that the incentives work properly, hence further investment monitoring and evaluation systems is essential. Regarding evaluation findings, in both regions there is no evidence concerning their specific contribution to reduce poverty, even though, in some countries, indicators of poverty or extreme poverty have improved. However, in the case of Latin America, the evaluations have shown progress in the areas related to the conditionalities (education, health and nutrition, job search), which is nevertheless very positive for the mitigation of the causes and consequences of poverty in the long term.

## **5.2 RECOMMENDATIONS**

Four areas have been identified where international cooperation, and in particular a strengthened framework of EU – LAC relations, appears to be fundamental to the definition and implementation of effective policies for overcoming poverty and the development of more equitable and inclusive societies.

1. Both in the EU and LAC, an effective way to improve programmes' implementation, use of resources and the probability of affecting the areas identified as deficient (poverty, inequality, inclusion, etc.) is that countries have the ability to correctly identify potential beneficiaries and adequately track their trajectory in the programme. For this purpose, it is necessary to invest in improving the existing **information systems**. While it is true that progress has been made in this area in all countries, based on the demands imposed by social programmes such as those

analysed, there is still room for improving them and learning from good practices between countries and regions. In this sense, EU - LAC cooperation to disseminate successful experiences is fundamental for mutual learning in these areas.

2. Accordingly, another important challenge is to **maintain monitoring and evaluation systems** to constantly oversee the results of the programmes, and thus be able to redirect the interventions when problems or inefficiencies are detected timely. The problem with this is that sophisticated evaluation methodologies are expensive and many countries, especially in LAC, prefer to target scarce resources to the implementation of social policies, leaving behind the possibility of providing feedback on their design and implementation. At this point, international, and in particular EU cooperation, is essential to enable the continuous improvement of programmes, either by financing evaluations or by providing technical advice to countries with less progress in this area. Here, setting-up adequate training programmes able to transfer the best practices from more experienced countries is also to be recommended.
3. The **institutional** sphere is another important area when looking at policy and programme implementation. The institutional structure of each country, from the legislation regarding the policies to face poverty, inequality and inclusion, to the geographical-administrative distribution, are crucial for the success or failure of the programmes. Each region is internally heterogeneous. While there are some common or single legal frameworks in the EU, which facilitate certain actions, each country has its own policy and regions with different degrees of autonomy, or more or less territorial subdivisions. Similarly, LAC is also diverse with countries with large populations and others with relatively small ones, with urban and rural areas and, quite often, conflict zones (guerrillas, for example). Each country has had to address its own challenges and has resolved these conflicts in one way or another. It is of great importance that both regions, and countries within each one, in particular within LAC, are able to share these solutions to achieve a global institutional development. The EU could promote the generation of spaces for discussion between policy designers and implementers of both regions, in order to share, understand and adapt good practices to local challenges.
4. Finally, both regions face challenges regarding the care of populations in **vulnerable** situations. This concerns, in particular, the growing migrant population and the strains it produces in social assistance systems, a very difficult policy area where each country is developing strategies that would be worth bringing to a joint discussion. Besides, there is concern for the elderly. This problem has become evident in the EU where the population pyramid has inverted, putting at risk the welfare systems. On the other hand, in LAC the problem is incipient but the projections indicate that the long-term care systems have been challenged. Women and their labour and social inclusion also cause concern. In both regions, specific interventions have been developed to incorporate them into the workplace and to empower them in the defence of their rights and their social participation. The EU, from its approach to labour inclusion, and the LAC countries, from their experience in highly excluded populations (economically, geographically, or by ethnic origin, among other reasons), can contribute to jointly face these challenges, sharing strategies and learning to solve phenomena that slow down the social development capacity of the countries of both regions, and that diminish the wellbeing of their populations.

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## FOCUS AREA II – INCLUSION OF MIGRANTS – A COMPARATIVE ANALYSIS OF RELEVANT APPROACHES TO SOCIAL INCLUSION

### 1 INTRODUCTION

Migrations flows between Europe and Latin America and the Caribbean have taken place for centuries. Most of the time, they were unidirectional, from the East to the West (including forced slave traffic from Africa organized by Europeans). At some point, a small part of the flow took a contrary direction, in particular after Cuba's independence. Migration took place most of the time without prerequisites, other than the impulse to undertake new lives, seek new horizons or escape from the violence of wars, dictatorships and armed conflicts. In recent years, however, migration between the two regions has become a subject of concern, fear and even rejection and has gained an increased presence in legislation. From a historical perspective, this seems paradoxical when one recalls how migration has been a key dimension in the development and growth of all economies. On the other hand, and on a more positive note, the protection of migrants' human rights is emerging as a promising field, with advances and setbacks on both sides of the ocean.

The first attempts between the European Union and Latin America and the Caribbean (EU-LAC) to define a common agenda on migration issues, coincided with the increase of Latin American migration to Europe at the beginning of the millennium, mainly in Spain, Portugal and, to a lesser extent, Italy. These approaches sought to lay common grounds by first recognising the history that unites both regions and the possibility, based on that, to place the migration issue as a strategic component in EU-LAC relations (CELAC, IOM, & Government of Chile, 2012). Although today these flows (from Europe to Latin America and the Caribbean, and in the opposite direction) are not the most significant for both regions<sup>13</sup>, the historical and permanent nature of these movements constitutes a key precedent for positioning the issues and problems, as well as to understand the potential that exists when thinking about coordination and integration agendas.

The construction of this common agenda has probably not been easy due to the diverse interests involved. However, there is consensus on the need to incorporate a global and integral perspective to migration that allows us to address the multidimensionality of these movements, incorporating the various realities facing each of the regions, the construction of a permanent dialogue based on up-to-date assessments regarding the characteristics of migration, as well as the main problems faced by migrants on both sides of the ocean. At the same time, the incorporation of different actors capable of representing varied interests and points of view, such as governments, social organisations, academia, local governments, international organisations and migrants themselves is key (Meza, 2016, in Canales & Rojas 2017).

<sup>13</sup> For both Europe and Latin America, the most important share of international immigrants comes today from their own region: more than 50% in the case of the first (EPCS, 2017), and 63% in the case of the second (Martínez and Orrego, 2016).

On the other hand, regional, multilateral or bilateral cooperation, as well as cooperation initiatives on specific issues and cooperation agreements within the countries of the region, show that the paths towards better migration governance must be strengthened by mechanisms that envisage the migration processes within a regional and global framework, with space for binational agreements, and that are essentially aimed at protecting the migrants' human rights (Canales & Rojas, 2017).

For this report's Focus Area II, it is really important to learn about experiences related to the systems of protection of migrants' rights. The question guiding this reflection concerns the experiences we can highlight and eventually incorporate into public policies targeted to these groups. We will focus in the labour dimension and the protection of migrants' rights, based on specific cases.

Thus, the first section of this Focus Area addresses the sociodemographic characteristics of migration flows in each region, as well as migration between them. This will allow us to identify the central themes of the migration agendas in the EU and LAC. The second section analyses the main guidelines of European migration policy and the spaces and instruments developed at the regional and interregional level aimed at managing migration movements. This will allow us to identify developments in the shared agenda, the main weaknesses and possible proposals. The third section systematises a series of local practices that allow progress in the processes of integration of the migrant population in the countries of arrival. The nature of these practices allows us, on the one hand, to observe the little political space that is given to integration processes (as opposed to what happens with the security agenda), and, on the other hand, to consider certain approaches that dominate in the way in which the nation states approach migration. The fourth section proposes ways to advance in the configuration of a bi-regional agenda.

To elaborate this part of the report, the methodology was established based on a literature review and documentary analysis of summit declarations and regional integration documents that have addressed the migration issue. More than 40 documents, reports and articles on migration in Latin America and the Caribbean were reviewed (taking the region as a unit of analysis in general), four reports on the migration situation in specific countries of Latin America and the Caribbean, 11 reports and studies on migration in Europe in general terms and 13 documents on migration between Europe and Latin America.

On the other hand, the declarations in which the theme of migration was incorporated in spaces of cooperation and integration were also reviewed: CELAC (7 summits), EU-CELAC (9 summits), High-level Meeting on Migration (4 High-Level Meetings), the EU-CELAC Structured and Comprehensive Dialogue on Migration (3). Regarding Latin America in particular, declarations and action plans of the Regional Conference on Migration (period 2000-2017), of the South American Conference on Migration (2000-2017), the Specialised Migration Forum of MERCOSUR (2009-2016), the Andean Forum of Migrations of the Andean Community of Nations (2008-2013), the Central American Integration System (2010-2017) and the Community of Caribbean States (2005-2015) were reviewed.

Each of the minutes/statements of these meetings was codified, using the ATLAS Ti programme. This allowed identifying what dimensions were addressed in each of these instances and how that approach changed over the years.

The units of analysis were both regions and not the individual countries of the regions, although in certain cases specific experiences associated with specific states are mentioned. In particular, specific countries were used to account for local experiences of the inclusion of migration.

## 2 MIGRATION FLOWS IN EUROPE, LATIN AMERICA AND THE CARIBBEAN: MAIN CHARACTERISTICS AND PRIORITY THEMES

The following section gives an overview both on the current situation of EU-LAC migration flows and the thematic priorities of the dialogues and agreements on international migration between the countries of Latin America and the Caribbean and the European Union.

### 2.1 MAIN CHARACTERISTICS OF THE MIGRATION FLOWS IN LATIN AMERICA, THE CARIBBEAN AND EUROPE

#### 2.1.1 Migration flows in Latin American and the Caribbean

The literature distinguishes three main patterns of international migration in this region since the twentieth century: historical overseas immigration, extraregional emigration, and intraregional migration (J. Martínez & Orrego, 2016). Each one of these tendencies has its own trajectory and rhythm throughout history, and today they explain part of the general migration map of the region.

Overseas immigration took the form, mainly<sup>14</sup> but not exclusively, of the arrival of people from Europe from the mid-nineteenth century. Between 1850 and 1950, about 52 million people left Europe, and of these, 21% (11 million) arrived in Latin America and the Caribbean (72% went to North America) (Ayuso, 2009). Ayuso points out that half of the European immigrants who came to Latin America went to Argentina while 36% went to Brazil with Italian, Spanish and Portuguese being the main nationalities of origin. Most of these cases were labour migration possibly encouraged by immigration policies of South American countries. The emergence of totalitarian regimes in the 20s and 30s in Europe also triggered the migration of a significant number of people from that region, including the exodus of Spaniards fleeing the Franco regime to Cuba, Chile, Mexico, Puerto Rico and the Dominican Republic (Córdova, 2015). Towards the end of the 30s this flow stopped, only to experience a slight recovery after World War II, and then decreased steadily and significantly from 1950 onwards (Ayuso, 2009).

Regarding emigration to extra-regional destinations, United States stands out as the main destination for Latin Americans. According to Martínez and Orrego (2016), although the flow of migrants to the USA coming from Latin American and the Caribbean has decreased, there are still close to 20.8 million migrants present in the USA from LAC. Even if Mexico (which has about 12 million migrants in the United States) is excluded, the USA continues to be the main extra-regional destination for LAC migrants, followed by Spain (home to 8% of the migrants from the Latin American region in 2010) and emerging destinations such as Canada, the United Kingdom and Japan (J. Martínez & Orrego, 2016). Hispanics make up 17.8% of the American population (57.6 million people - US Census 2016) emphasising their relevance in the USA.

<sup>14</sup> The arrival of Chinese migrants, from the Middle East and logically from Africa, are part of the development of Latin America.

Part of the second migratory pattern, the presence of Latin Americans in Europe, has acquired great visibility from 2000, particularly in Spain and Italy. However, it is not a new phenomenon, but is rather built on the migration history of the twentieth century between both regions. Ayuso (2009) distinguishes four types of movements between Spain and Latin America during the second half of the 20th century. The first taking place between 1962 and 1973, which she points out was characterised by the return of Europeans to the old continent; the second, during the seventies, which had as its main trigger the exile of people from dictatorships in the Southern Cone; the third, in the 1980s, is explained by the economic and labour migration resulting from the economic structural adjustments produced in Latin America in the so-called lost decade; and, finally, the fourth moment, beginning in the 1990s, when migration from Latin America towards Europe increased, primarily to Spain, followed by Italy and Portugal. This migration coincided with a change in the European economy, which generated significant demand in the service sector as well as in the construction sector, whilst experiencing growth in informal and flexible jobs (Peixoto, 2009, in Córdova, 2015). It would be important to include a fifth movement characterised by emigration from Spain to Latin America, among other destinations, caused by the economic crisis of 2008.

The third pattern mentioned by Martínez and Orrego (2016) - intraregional migration - has experienced one of the most significant intercensal increases (32% between 2000-2010), particularly in South America (Stefoni, 2017). However, in terms of overall figures, Latin America and the Caribbean continue to be, as has been the case for the last 70 years, a region of emigration rather than immigration. According to census data for 2010, there were some 7.6 million immigrants (intra and extra-regional), compared to about 30 million Latin Americans and Caribbeans living abroad (Martínez, Cano & Soffia 2014). Different reasons explain the growth of intraregional migration. The literature highlights i) the emergence of newly attractive destinations due to their economic and political stability within the region, as is the case of Chile; ii) new migration policies within the framework of regional integration agreements, which have facilitated the movement of people between the countries involved; iii) transformations and openings in labour markets; iv) the decrease in the cost in transportation (Martínez & Orrego, 2016); v) specific humanitarian crises, such as Haiti (IOM, IPPDH, & MERCOSUR, 2017, Rojas, Silva, Amode, Vásquez, & Orrego, 2017; Vásquez, Busse, & Izaguirre, 2015); vi) economic and political crisis, as in Venezuela (Freitez, 2011); and finally, vii) restrictive measures in countries of the Global North following the economic crisis of 2008, and their effects on labour markets and on austerity policies implemented in several of the northern economies.

Figure 1 compares the flows of migration from Europe and intraregional migration and illustrates that intra-regional migration has been growing stronger than inter-regional migration.

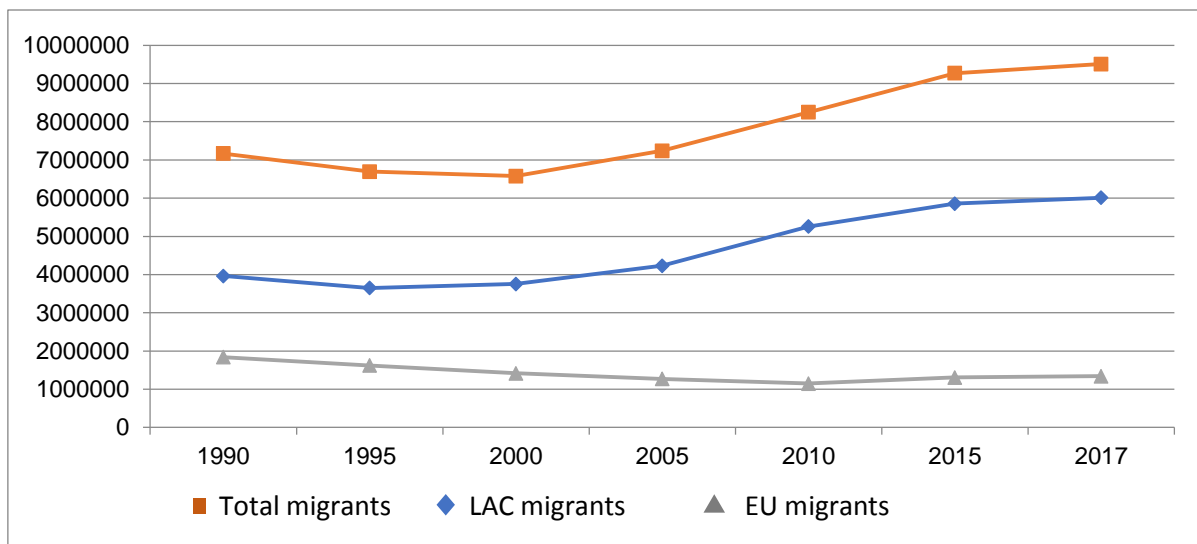


Figure 1: Immigrants in Latin America and the Caribbean according to region of origin, 2017. Source: United Nations, Department of Economic and Social Affairs, Population Division, estimates in December 2017.

### **Subregional specificities in Latin America and the Caribbean**

The trends that occur in the LAC region present certain specificities when focusing on subregions and individual countries. For example, in South America the negative migratory balance is less noticeable than in Central America and the Caribbean, according to Martínez, Cano and Soffia (2014). In South America 0.9% of the population were immigrants in 2010, compared to 1.6% being emigrants, in Central America, these percentages were 1.1% and 10.2%, respectively, while in the Caribbean they were 2.8% and 11.1%, respectively. This means that Central America and the Caribbean are the subregions that contribute the most to the emigration profile that characterises the region.

Another important specificity of the South American case is the increase in migrants from other Latin American countries that are geographically more distant to one another. Although cross-border migration between countries contributes to the majority of the flows, it is interesting to note the increase in migration flows from more distant countries within the region, such as Haiti and the Dominican Republic, towards South America (Stefoni, 2017).

Venezuelan migration is a special case that has gained in regional relevance in the last few years. Venezuela has historically been one of the countries, together with Argentina, that received the largest amount of migrants in the region. More than a million people were attracted over decades by its booming oil-based economy (Chi Yi, Urquijo, & Picouet, n.d.). However, the crisis of the extractive economic model, high rates of violence and the political instability of recent years have caused an emigration process that today has reached the extent of a humanitarian crisis (Freier, 2018). The principal destinations are the United States and Europe: considering the 432,000 migrants registered in the 2010 census, 185,000 were residing in the United States and 155,000 in Europe (Stefoni, 2018). But the situation has changed in the last five years. It is estimated that between 1,500,000 and 4,000,000 Venezuelans are outside their country, a situation that sharply grew in 2017 according to the media, social organisations and international reports. The economic crisis, reflected in very high inflation, shortages of food, medicine and everyday goods, is today the first cause of migration.



The information available reveals that more than half of the Venezuelan diaspora currently resides in South America (IOM, 2018). Studies highlight the high educational levels of the migrants (Rojas & Silva, 2016; Freier, 2018). However, as the political situation in the country worsens, also more people with fewer economic resources are leaving Venezuela.

The migration patterns in Mexico and Central America, on the other hand, are currently characterised by negative migration balances (Canales & Rojas, 2017). Thus, in these countries, emigration is much more significant than immigration, as shown above. Moreover, with the exception of Panama and Costa Rica, intraregional migration is much less dynamic CA. Mexico and the countries of the Northern Triangle of Central America (NTCA) -Guatemala, Honduras and El Salvador- stand out due to their high levels of emigration and low levels of immigration.

Among the factors driving migration in the countries of the so-called NTCA are poverty, lack of opportunities, food insecurity, increasing violence (in different modalities and perpetrated by different actors), insecurity, and, recently, the effects of climate change (floods, landslides, droughts, earthquakes and hurricanes) in regions of subsistence agriculture (Canales & Rojas, 2017). The intraregional flows that stand out, in a general scenario of limited intraregional dynamism, are those of Nicaraguans migrating to Costa Rica and of Guatemalans to Mexico (Canales & Rojas, 2017).

As in the cases of Central America and Mexico, the Caribbean is also notable for the intensity of its emigration processes. In 2015, according to data from the Department of Economic and Social Affairs of the United Nations, 3.2% of the inhabitants of the subregion were immigrants, while 16% were emigrants (Mejía, 2017). Among the specific processes present in the Caribbean, there is the growing flow of Haitians to countries in South America, mainly Chile and Brazil, and the situation of Cubans who emigrate to the United States, following the end of the "wet feet, dry feet" policy (Mejía, 2017).

Finally, another specificity that is important in order to understand the relevance of certain migration issues in the areas of subregional integration, is that of the return of migrants. It is a significant phenomenon in Central America and Mexico. Mexico saw a record number of returnees between 2005 and 2010 (825,000 people), more than a triple of the number of the returnees in the previous period from 2000 to 2005. Likewise, Honduras saw a notable increase, going from less than 4,000 people in 1996-2001 to almost 33,000 in the period from 2009 to 2014 (Canales & Rojas, 2017). In South America, however, although the number of migrants returning increased after 2008, it was not a massive movement, but rather limited and specific (Stefoni, 2017).

The migration movements that are observed in the region therefore reveal a series of problems that necessarily require an integral approach, due to their depth, multidimensionality and complexity.

### **2.1.2 Migration flows in Europe and between Europe and Latin America**

In 2017 the total number of international migrants in the world was estimated to be around 257 million people<sup>15</sup>, which is more than 100 million people higher than the estimates for 1990, and almost three times higher than in 1970. Of this amount, almost a third are in Europe

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<sup>15</sup> United Nations, Department of Economic and Social Affairs, Population Division, estimates in December 2017. The World Migration Report 2018 by the IOM indicates 244 million, estimated in 2015.

(about 77 million people), and half of them were born in a European country and are living in another country in the same region. Hence, half of the migration in Europe comes from the same region, so the Europe-Europe corridor is the second most important in the world, after the Latin America and the Caribbean to the United States corridor (IOM, 2017). Intraregional migrants in Europe mostly stem from Russia, Ukraine, Poland and Romania<sup>16</sup>. A smaller number of migrants come from Asia (15%) and Africa (11%), in the latter case mainly from Algeria and Morocco. Kazakhstan and Turkey are also relevant, in between Europe and Asia

In 2015, Germany was the European country with the largest number of immigrants (12 million), the main countries of origin being Poland, Turkey, Russia and Kazakhstan. France and the United Kingdom had 7.5 million each. In the case of France, the main countries of origins were francophone countries in Africa, and in the United Kingdom, they were India and Poland. Spain and Italy are listed as the fourth and fifth most important destinations for migration to the region (IOM, 2017).

The IOM-2018 World Report estimates 35 million non-European migrants living in Europe. Of these, 7,5% (a little less than four and a half million people) come from a Latin American or Caribbean country or territory (OIM, 2017).

According to the Population Division of the United Nations (2017 revision), Latin American and Caribbean migration to the countries of Europe intensified after 2000 (Figure 2). Between 2000 and 2005, the stock of migrants in the continent doubled, from one and a half million to more than three million people. Towards 2010, this figure rose to almost four and a half million people, a figure that remains stable today. However, this trend changed in the following five years (2010-2015), mostly due to the economic crisis of 2008. Whereas the number of migrants in Europe generally increased throughout the last 27 years as figure 2 shows, the number of migrants from Latin America and the Caribbean living in Europe shows a more dynamic picture. It went from a surge of 112% in 2000-2005 to an increase of only 35.4% in 2005-2010, and a decrease of 3.1% in 2010-2015.

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<sup>16</sup> United Nations, Department of Economic and Social Affairs, Population Division, estimates in December 2017.

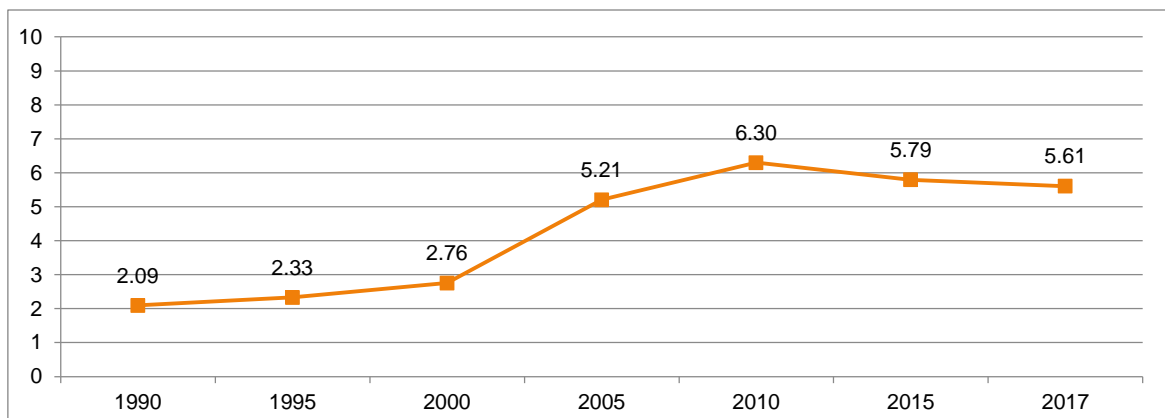


Figure 2: Migrants from Latin America and the Caribbean in Europe, 1990-2017. Source: United Nations, Department of Economic and Social Affairs, Population Division, estimates in December 2017.

Spain, Italy, the United Kingdom and the Netherlands are the main destinations for Latin American migrants. Around 2005, Portugal also became an attractive destination country although to a lesser extent. Of the total of Latin American migrants, approximately 5% resided in Portugal in 2015, most of them stemming from Brazil (Table 2).

	Spain	Italy	UK
Total population	40,512,653	60,788,694	60,355,000
Migrant stock	6,677,839	4,464,400	6,486,000
Migrants as % of total population	16%	7.3%	10.7%
Stock of Latin American migrants	2,453,738	872,252	133,000
Latin American migrants as % of migrant stock	36.7%	19.5%	2.1%

Table 2: Number and percentage of migrants from Latin America in the main European destinations, 2010. Source: First Statistical Compendium on CELAC-EU migration. CELAC-EU Structured Dialogue on Migration, 2012.

Migration to Spain increased markedly in the 2000-2005 period, from being home to 36% of the total of Latin American migrants in Europe, to 57% in 2005 and almost 60% by 2010. The period of economic growth before 2008 in Spain caused a progressive decrease in the fertility rate, an increase in education levels, an increase in life expectancy and the incorporation of women into the labour market (Cerruti, Maguid & Díaz Gil, 2011), all factors that attract migrant workers. Hence in Spain, migrants from the Latin American region make up almost 38% of all migrants.

As for migrants from Caribbean countries and territories, the main countries of destination are the United Kingdom and the Netherlands, which house practically the entire Caribbean migrant population, a trend that has remained unchanged over time.

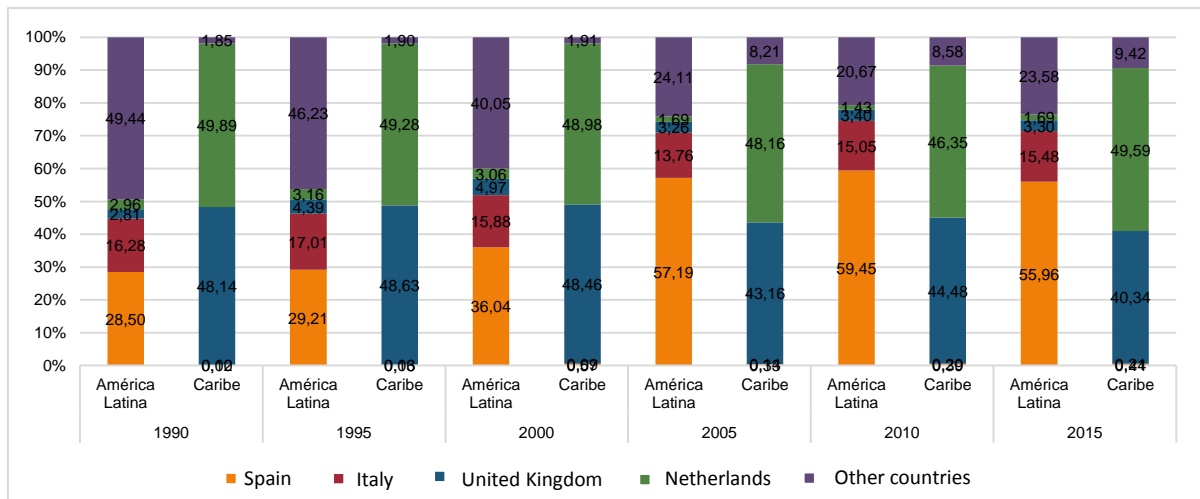


Figure 3: Main destination countries for Latin American and Caribbean migrants, 1990-2015. Source: United Nations, Department of Economic and Social Affairs, Population Division, estimates in December 2017.

Ayuso (2009) identifies four main features that characterise the migration of Latin Americans and Caribbeans to Europe today: the concentration of migrants in southern European countries (Spain, Italy and Portugal); the heterogeneity of the social position and educational level of migrants; the feminisation of migration (especially in the cases of Ecuadorian, Dominican and Colombian migration), and the "irregularity". The latter refers to migrants who have extended their stay for longer than the duration of their visas, which seems to be related to their participation in the underground economy.

## 2.2 PRIORITY ISSUES IN MIGRATION FLOWS IN LATIN AMERICA AND THE CARIBBEAN AND THE EUROPEAN UNION

To advance the formation of a common agenda on migration issues, it is important to understand that there are different focuses of attention in each region, which result in the interests that arise in the spaces for bi-regional dialogue. In the following subsection we identify some of them.

### 2.2.1 Latin America and the Caribbean

#### *Insecurity, violence and irregular migration*

The migration movements in Latin America and the Caribbean in the last few decades have exposed the difficulties experienced by nation states in order to defend and protect migrants' human rights. Migrants have become a social group whose living conditions, both in transit and in the places of destination, are extremely precarious, generating conditions for exploitation, discrimination and the worst forms of rights violations. Reports from the OAS International Human Rights Commission, IOM and various organisations have denounced systematic human rights violations suffered by migrants, particularly women and children (UNHCR, IOM, UNICEF, 2012; IACHR, 2015; OAS IACHR, 2015).

According to Canales (2017), one of the main concerns that has motivated the negotiation and signature of the UN Global Compact for Migration<sup>17</sup> is irregular migration, a phenomenon well present in the Americas. It is estimated that, in 2016, there were a total of 11.3 million immigrants in an irregular or unauthorised situation in the United States (Passel, 2017 in Canales A., 2017), of which practically half (5.6 million) were Mexicans and 15% from the NTCA countries (in particular El Salvador and Guatemala) (Canales & Rojas, 2017). In recent years, the number of Mexicans who have crossed the border irregularly has decreased, but the clandestine entry of nationals from other countries has increased.

Also in the case of the Caribbean, irregular emigration emerges as one of the central problems since it is associated with serious human rights violations that affect all migrants, including women and children. This situation is particularly dramatic among those who are heading to the United States, and recently to countries in the Southern Cone, especially Chile and Brazil (Mejía, 2017). This situation extends to the rest of the Latin American region and, today, is one of the central focuses of immigration policy and migration management.

A second area of concern is the violence and insecurity connected to transit migration, particularly in transit corridors such as Mexico. According to projections (Rodríguez, 2016, in Canales A. 2017), it is estimated that the number of Central American migrants in transit through Mexico was close to 420,000 people in 2015. The arrests and detentions carried out by Mexican authorities revealed the growing participation of women and children, and of unaccompanied minors (IACHR, 2015). In the context of transit corridors, human trafficking and smuggling have become major issues. According to various reports, Mexico and Central America function as suppliers of people to trafficking networks, to be exploited in other destinations; it is a space that receives and hides victims that are being trafficked to other places and receives victims of trafficking that will be exploited in Mexico and Central America. A similar situation occurs with human smuggling. In both cases (trafficking and smuggling), it is difficult to know the true extent of the phenomenon, as well as the actors and resources involved, which hinders the fight against these crimes (Canales & Rojas, 2017).

In the Southern Cone, issues concerning migration arise on one hand from the difficulty of integration and inclusion of migrants (esp. in Brazil, Argentina, Chile) and on the other from the emigration of nationals to other destinations. However, since the subregion is a region of emigration, immigration, transit and return, the diversity of problems is associated with the characteristics of each of these movements.

Another issue generating concern recently in South America is what some consider a regressive trend in migration policies. The Argentinean case is paradigmatic in this sense, since law no. 25,871 of 2003, once considered an example of approaching migration processes from a human rights perspective<sup>18</sup> (Martínez & Stang, 2005), has been the target of administrative

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<sup>17</sup> Signed in Marrakech, Morocco, on the 19th of December 2018 (see: <https://www.iom.int/global-compact-migration>)

<sup>18</sup> It is important to note, however, that for some interpretations the previous Argentine migration policy, together with that of other countries such as Ecuador and Brazil, has been considered as "South American populist liberalism in the sphere of migration" (Acosta and Feline, 2015), to the extent that there was a "liberalisation" of discourse around migration, based on the idea of universal reception, but this has been partially translated into immigration laws and policies, and in reality, these governments reject the increasing irregular migration from countries in Africa, Asia and the Caribbean, to varying degrees.

measures that, in their effect, impair it. Some authors consider it a paradigm shift, from one based on rights to a securitised one (Caggiano, 2017), or what they call a "new (old) policy", as it returns to seeing migration primarily from a security perspective (Canelo et al., 2018). The key measure that produced this change is the Necessity and Urgency Decree (DNU) N° 70/2017, which, in general terms, "extends the time required to receive citizenship, expands the causes of denial and cancellation of residence in the country, as well as broadening the causes for expulsion, it weakens the right to legal defence, and considerably extends or accelerates the possibilities of detention of migrants subject to a process of expulsion" (Caggiano, 2017). The National Boundary Commission and Border Centres were also created for "'comprehensively fighting' against international crime and securing 'better border control'" (Canelo et al., 2018). For the authors, these facts demonstrate that "the existence of legal norms guaranteeing protection is not enough to prevent the reappearance of unsolved conflicts, when faced with changes to the socio-political context that gave rise to them" (Canelo et al., 2018).

The recent administrative measures (2018) taken by the new Chilean administration can also be interpreted similarly. The government reformulated the visa system by way of decree (April 2018), even imposing a consular visa on Haitians, with a clearly restrictive purpose and, for some, representing an institutionalisation of racism.

Broadly speaking, then, the serious violations of migrants' human rights and the situations of violence they face in their departure as well as in the final destinations have led the Latin American and Caribbean region to focus on this matter, demanding greater support for the protection of the human rights of migrants and their families from the international community.

#### *Remittances*

The sending of remittances has been one of the central axes of the discussion regarding the relationship between migration and development. Remittances "are composed of money and goods that are sent to households and individuals by migrants outside their communities of origin, both in other areas of the country and abroad" (Gómez 2013: 161 in Córdova, 2015).

In the case of countries such as Haiti, Honduras, El Salvador, Jamaica and Guatemala, remittances constitute more than 10% of the national GDP, a situation that indicates a high economic dependence on these resources (table 3). The importance of remittances in local economies has been a major axis of discussion in development policies. The debate has not reached a complete consensus concerning whether remittances must be considered primarily as a significant part of family incomes (Canales, 2008) or as a factor in the development of local and, eventually, national economies (Canales, 2008). It is important to remember in this debate that remittances occur from the integration of workers into highly vulnerable and precarious labour markets and flow to families, many of whom live in conditions of poverty and social marginalisation. In this sense, remittances also reflect the unequal conditions migrants have to face, both in the societies of arrival and in those of origin (Stefoni, 2017). Therefore, Latin American governments have requested in international forums to reduce the taxes that are charged for the delivery of remittances.

Country	Remittances in 2013 (millions of	Remittances as a
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	US dollars)	percentage of GDP
Haiti	1,781	21.1
Honduras	3,136	16.9
El Salvador	3,971	16.4
Jamaica	2,161	15
Guatemala	5,371	10.0
Nicaragua	1,081	9.6
Dominican Republic	4,486	7.4
St. Kitts y Nevis	52	6.9
Dominica	24	4.7
Belize	74	4.6
San Vicente and the Grenadines	32	4.4
Bolivia	1,201	3.9
Ecuador	2,438	2.7
Santa Lucía	30	2.3
Paraguay	591	2
México	23,022	1.8
Antigua y Barbuda	21	1.7
Perú	2,707	1.3
Colombia	4,119	1.1
Panamá	418	1
Trinidad y Tobago	126	0.5
Uruguay	123	0.2
Argentina	526	0.1
Brazil	2,537	0.1
Chile	0	0
Venezuela	121	0
Total	60,149	

Table 3: Remittances in countries of Latin America and the Caribbean, 2013. Source: Migration dynamics in Latin America and the Caribbean and between LAC and the European Union, Córdova, 2015.



A similar issue in this regard is the transfer of pension contributions between states once the migrant decides to return to his country. Currently, there are a number of difficulties involved in the transfer of resources, which become more complex in the case of individual capitalisation systems (e.g. contributory pension systems based on individual/private savings), as is the case in several Latin American countries.

### 2.2.2 Europe

Migration from outside Europe has become in the last three years one of the most burning issues in EU and EU member states policies. According to IOM's World Migration Report 2018, some of the issues related to migration processes that have received the most attention in the last period are the following:

#### *Shelter and migration*

In 2016, nearly 390,000 people arrived in Europe via the Mediterranean, and of these 360,000 crossed the Mediterranean Sea to come to Europe. After the agreement between the EU and Turkey in 2016, the number of people who arrived on the Greek coasts dropped drastically (from 850,000 in 2015 to 170,000 in 2016). In Italy, in contrast, the figure increased by 16% in the same period. The number of deaths linked to this form of migration is the highest recorded in the region, and women, boys and girls are the most vulnerable groups. In 2016, 92% of the children who arrived in the Mediterranean were unaccompanied minors, and more than 60,000 applications for asylum were made by unaccompanied minors (IOM, 2017).

#### *Discrimination, racism and xenophobia*

The arrival of refugees in Europe was met with anti-immigration political and media discourse. Surveys showed that more than half of the population perceived immigrants and refugees negatively. This has become one of the main challenges for public policies aimed at the integration of the migrant population (IOM, 2017).

#### *Irregular migration*

In the European case, it is estimated that in 2008 there were between 1.9 million and 3.8 million people in an irregular situation, a significant drop compared to 2005, when a minimum of 2.4 and a maximum of 5.4 million was calculated. The irregularity in the European case is one of the main arguments for introducing restrictive migration policies, which is the opposite of the Latin American perspective, as the region demands the decriminalisation of irregular migration and the protection of human rights, avoiding or reducing arrests and deportations (IOM, 2017).

#### *Dynamism within the region*

Migration between EU member states was already intense in the 50s of the past century and was one of the reasons why the European Community Treaty contained from the very first moment a chapter on free movement of workers. The jurisprudence of the European Court of Justice interpreted very broadly other provisions of the treaty, so that at the end of the 80s, freedom of movement between member states was extended to most categories of people. In the 90s, the Schengen agreement, later introduced into the EU treaties, eliminated controls at intra-EU borders. However, this situation is being increasingly questioned in the last five years. Therefore, there is uncertainty about what will happen in the near future with the freedom of movement that characterises the region (IOM, 2017).

### 3 THE TOPIC OF MIGRATION IN REGIONAL FORUMS FOR INTEGRATION

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The mixed nature of migration movements between both regions requires international cooperation and shared responsibility. Thus, the protection of human rights should be the basis of the common agenda to be developed. However, the diversity in the flows and in the contexts poses a challenge for developing a common (bi-)regional agenda (Ayuso, 2009).

The following section briefly analyses the main areas that have contributed to the development of the regional and interregional migration agenda. Firstly, regional integration organisations and forums are reviewed, and secondly, those found in the EU-LAC cooperation forums are looked at. In each case, the main issues related to migration processes that have become key themes in recent years are discussed in order to define possible lines of consensus.

#### 3.1 MIGRATION POLICIES IN REGIONAL INTEGRATION ORGANISATIONS AND FORUMS IN LAC

The regional agenda on migration issues in LAC is developed in two dialogue forums that are dedicated to the development of a mutual understanding of relevant issues and the implementation of cooperation initiatives among the participating states (Ramírez & Alfaro, 2010). The first is the **Regional Conference on Migration** (RCM), created in 1996 and also known as the "Puebla process", that brings together 11 countries of North America and Central America<sup>19</sup>. The second one is the **South American Conference on Migration** (SACM) that formally began in 2000 and is composed of 12 countries<sup>20</sup>.

In both forums, there is a convergence regarding the issues that are of greatest interest and concern<sup>21</sup>. The first of these are the *human rights of migrants*, especially children, mainly unaccompanied minors, and women. Both groups are defined as vulnerable migrants. Along with this, there are two specific problems, such as *human smuggling* and *migrant trafficking*, linked to transnational organised crime.

A second converging thematic area is the recognition of the important role played by civil society organisations, not only in terms of the assistance they give to the migrant population, but also in the need to generate opportunities for participation in decision-making and public policies related to the issue of migration.

One of the aspects of relevance in the RCM is the *return* and *reintegration* of migrants, a topic influenced by the return of Mexican and Central American migrants from the United States. This is directly linked to issues such as *detention*, *deportation* and *repatriation*, although to a lesser extent than return and reintegration of migrants. In terms of the perspectives from which migration processes are viewed by the RCM, the link between migration and development is observed, as well as the importance of migration being "orderly and regular".

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<sup>19</sup> Belize, Canada, Costa Rica, El Salvador, the United States, Guatemala, Honduras, Mexico, Nicaragua, Panama and the Dominican Republic.

<sup>20</sup> Argentina, Bolivia, Brazil, Chile, Colombia, Ecuador, Guyana, Paraguay, Peru, Suriname, Uruguay and Venezuela.

<sup>21</sup> 20 final statements and joint communiqués from the annual conferences held between 2000 and 2017 were analysed, as well as an action plan (2002).

As for the SACM, this forum has been marked from its beginning by three basic axes (and principles), according to the analysis by Mármora (2016): considering migration as part of the processes of regional and subregional integration (Mercosur and the Andean Community of Nations); the link between migration and development; and human rights. Regarding the approaches, the ideas that are mentioned the most are those linked to the paradigm of *migration governance* in general, and to several of the components of this perspective: *regular, safe and orderly migration*. This paradigm has appeared in the discourse since the first conference held in 2003 (Santi, 2011). Closely related to the paradigm of migratory governance, the most relevant issue in official SACM documents is *migrants' human rights*, and their need to be guaranteed and protected by states, as well as concern for the *smuggling and trafficking of migrants*.

Migration governance and the need to strengthen the protection of migrants' rights have converged in the development and spreading of the notion of *enlarged citizenship*. For many, this notion stems from the treatment given to migration by sub-regional integration processes in Latin America and the

MERCOSUR, the Andean Community, the Union of South American Nations (UNASUR), the Central American Integration System (SICA) and the Caribbean Community (CARICOM) address all of them issues of migration. Two issues stand out in this regard. First, the strong focus on facilitating the mobility and residence of migrant workers among the countries of the subregions, Second, the protection of the migrants' human rights is high on the political agenda. However, their effectiveness is very variable.

The key step was certainly the signing of the "Agreement on residence for Citizens of Mercosur member states"<sup>22</sup> signed in December 2002 and entered into force in 2009. The agreement facilitates free movement between Argentina, Bolivia, Brazil, Chile, Colombia, Ecuador, Paraguay, Peru and Uruguay and allows citizens of the countries mentioned to obtain legal residence in the territory of another. With this, the following rights were achieved (ILO, 2017):

- Equality of civil rights and social, cultural and economic freedoms, right to work, right to petition authorities, right of entry and exit of the territory, and freedom of worship;
- Family members that are not citizens of one of signatory states are granted residence with the same validity as their family member covered by the treatment;
- In work matters, immigrants enjoy rights and treatments in terms of salary, working conditions and social insurance;
- Right to send remittances;
- The children of immigrants who are born in the signatory states have the right to a name, and birth registration and nationality, as well as access to education under the same conditions as nationals of the receiving country.

The Andean Community of Nations (CAN) is made up of Bolivia, Colombia, Ecuador and Peru as Member States, Chile, Argentina, Brazil, Paraguay and Uruguay as Associated States, and Spain as an observer country. Its objective is to advance the process of sub-regional integration through the development of an institutional framework and a common legal order with supranational norms that are binding for the states (Texidó & Gurrieri, 2012). In terms of

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<sup>22</sup> <https://www.refworld.org/pdfid/54f46f934.pdf>

migration policy, the CAN has two important normative regulations: Decision 545 or Andean Labor Migration Instrument (2003)<sup>23</sup>, which sets out the free movement and residence rights of Andean nationals in the sub-region (for labor purposes) and Decision 583 or Andean Social Security Instrument (2004)<sup>24</sup>, based on the need to guarantee adequate social protection for labor migrants and their beneficiaries, so that their rights are not diminished when they migrate (Martínez and Stang, 2004; Stang, 2009).

Finally, the Union of South American Nations (UNASUR), in which all the countries of South America participate, but not binding in nature, sets out two objectives related to the field of migration: the consolidation of a South American identity that progressively moves towards a South American citizenship, and cooperation in migratory matters, with respect for human rights, and, in terms of work, the harmonisation of public policies (Mejía, 2015).

Therefore, migration was included in these three processes of economic and political integration in South America. However, in recent years we have observed some regression in this approach, based on the implementation of national policies that seek to reduce and control migration movements.

**The Central American Integration System (SICA)** embraced in its origin Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama. Belize joined in 2000, and the Dominican Republic in 2013. It was created at the end of 1991, through the signing of the Protocol to the Charter of the Organisation of Central American States (ODECA) or the Protocol of Tegucigalpa, and in 1993 it began to formally operate<sup>25</sup>. The Protocol creates an institutional system but does not impose substantive legal obligations.

The analysis of the SICA-statements between 2010 and 2017<sup>26</sup> shows that the main topic of interest for the migration agenda is the protection of the *human rights of migrants*. As countries of emigration, they are especially concerned with the violation of human rights in the destination countries. Still, their responsibilities as receiving and transit countries are also discussed. A matter of special attention is the immigration policy of the United States. Along these lines, the XXXV Ordinary Meeting of 2010 agreed:

"To resume the regional efforts for the design of a strategy that specifically favours a comprehensive immigration reform in the United States of America, which incorporates the human rights of the citizens of the SICA Countries residing in that country" (XXXV Ordinary Meeting, Panama, 2010).

In line with their focus on human rights, there is concern about the situation of *unaccompanied migrant children and adolescents*, both because of their high vulnerability and because of the conditions of their detention and repatriation in/from receiving countries, principally the United States. A third issue of interest is *human trafficking and migrant smuggling*. Finally, there is concern about *irregular migration*, a fact that is linked to the elaboration of a Comprehensive Regional Migration Policy.

<sup>23</sup> See: <http://www.comunidadandina.org/StaticFiles/DocOf/DEC545.pdf>

<sup>24</sup> See: <http://www.comunidadandina.org/StaticFiles/DocOf/DEC583.pdf>

<sup>25</sup> SICA website, <[www.sica.int](http://www.sica.int)>.

<sup>26</sup> 17 declarations of semi-annual meetings, both ordinary and extraordinary, made in that period were reviewed.

The **Caribbean Community (CARICOM)** is a sub-regional forum for integration of the Caribbean created in 1973. It brings together 15 Member States and five associate members (British colonies)<sup>27</sup>.

With regard to the movement of persons between the member and associated states, the Revised Treaty establishes conditions for "the full employment of labour and other factors of production"<sup>28</sup>. Although Article 45 of the Treaty ensures the free transit of nationals among the Member States of the community, it is limited to the search for employment for workers in specific occupations that are duly certified<sup>29</sup> by CARICOM, based on a certificate of recognition of competencies (CARICOM Skills Certificate)<sup>30</sup> in the following areas: "a) university graduates; b) media workers; c) sportspersons; d) artists; and e) musicians [...]" (article 46). Subsequently, nurses, teachers, holders of associate degrees, artisans and domestic workers were added to these categories (Mejía, 2017). Hence, the restriction to those categories implies that this regulation only facilitates the selective transit of qualified persons.

On the other hand, CARICOM has an Agreement on Social Security, in force since 1997, which protects the right of intraregional migrant workers to access the totality of the contributions paid to social security organisations in the Member States<sup>31</sup>. Only Haiti and Suriname are not part of this agreement (Mejía, 2017).

An analysis of the outputs of the Conferences of Heads of Government of the Caribbean Community conducted by Mejía (2017) highlights the following main topics in CARICOM related to migration:

- Irregular migration and human trafficking. This issue is problematized mainly from the perspective of sending countries –which is the generalized profile of this sub-region, and focuses on human rights violations against emigrants and the risks for the personal integrity experienced by them on their migratory journeys.<sup>32</sup>
- Emigration of professionals, especially from the health sector.

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<sup>27</sup> Members: Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Montserrat, Saint Lucia, Saint Kitts and Nevis, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago; Associate members: Anguilla, Bermuda, British Virgin Islands, Cayman Islands, Turks and Caicos Islands.

<sup>28</sup> Revised Treaty of Chaguaramas, Article 6 "Objectives of the Community"

<sup>29</sup> More information about these requirements and restrictions to stay in a Member State can be found at <<https://caricom.org/work-areas/overview/caricom-single-marke-and-economy>>.

<sup>30</sup> In the Declaration on Functional Cooperation, issued by the Heads of Government of the Caribbean Community on the occasion of the twenty-eighth meeting of the Conference, held in July 2007 in Barbados, the Member States welcomed the introduction of this certification, considering that it " will provide a credible, fair and transparent assessment of skills and competencies of Community nationals as they move and work within the region".

<sup>31</sup> In the 2007 Declaration, cited in the footnote above, the Member States reaffirmed their commitment in this regard: "Also welcome the imminent introduction of the Caribbean Vocational Qualification which will provide a credible, fair and transparent assessment of skills and competencies of Community nationals as they move and work within the region".

<sup>32</sup> See "Statement on trafficking in persons issued by the thirty-first regular meeting of the Conference of Heads of Government of the Caribbean Community, 4-7 July 2010, Montego Bay, Jamaica", <<https://caricom.org/media-center/communications/statements-from-caricom-meetings/statement-on-trafficking-in-persons-issued-by-the-thirty-first-regular-meet>>.

- The deportation of nationals from third countries, in particular from the United States.<sup>33</sup>

The common points that can be identified in regional integration organisations and forums in Latin American and Caribbean, and those specifically dedicated to migration, are as follows:

- The human rights of migrants, and especially of specific groups: children, mainly unaccompanied minors, and women, probably the result of the situation on the northern border between Mexico and the United States. Of primary importance in regional integration organisations and forums in Latin American and Caribbean is the human rights perspective for tackling migration issues, at least discursively, since this perspective does not always materialise in public policies. This issue is undoubtedly the most solid element of agreement within the region and also with the EU, and constitutes a point of departure for advancing bi-regional relations.
- People smuggling and migrant trafficking, which stands out as one of the topics that demands the most energy from international forums and regional consensus on migration<sup>34</sup>. As in the case of the bi-regional agenda, it is necessary to accept the complex relationship of this problem with transnational organised crime, but at the same time separate this aspect of this criminal phenomenon from migration in general, to avoid criminalising the victims and to adopt more effective measures, based on a better understanding of the topic.
- The link between migration and development processes, which can be looked at from different perspectives. On the one hand, poverty represents an important driving factor for emigration, especially in less developed countries. On the other hand, migrants contribute to the development of migration sending country through remittances. Especially the migration of skilled workers poses a threat to the (economic) development of migration sending countries, but contributes to the progress of migration receiving countries. The ambiguity of those issues calls for an approach of shared responsibility. The so-called skilled migration requires an approach of shared responsibility, to the extent that the training of emigrated professionals places demands on educational resources from the countries of origin which are incorporated through migration into the human capital of the countries of destination. Moreover, the implications of the historic looting produced by the European colonisation of LAC has caused structural development problems in the region that cannot be ignored, nor can the incidence of coloniality of power that crosses social relations in LAC, which is closely linked to the history of colonialism.
- LAC countries, mostly in the Central American and Caribbean regions, are also faced with reintegrating some of their citizens who return to their home country after being involuntarily repatriated through for example deportation or detention. Undoubtedly this is a matter that creates tension between LAC and the EU. Building a bi-regional consensual agenda will require great effort of mutual understanding and of

<sup>33</sup> See "Statement issued by the Conference of Heads of Government of the Caribbean Community at its thirteenth special meeting, 4-5 April 2008, Trinidad and Tobago", <<https://caricom.org/media-center/communications/statements-from-caricom-meetings/statement-issued-by-the-conference-of-heads-of-government-of-the-caribbean>>.

<sup>34</sup> It is important to bear in mind that, beyond the relevance of this problem in qualitative terms, it is also observed that some international organisations put this issue on their agendas.

negotiation. It is also related to the concern for irregular migration, which, as seen, generates dissimilar emphasis in both regions.

Two other topics that have been discussed in the regional integration organisations and forums in LAC and that may involve interregional divergences that will have to be considered, are the rejection of restrictive migration policies developed by some recipient countries, and the criminalisation of migration in various national and regional scenarios. Smuggling and trafficking have been viewed from these perspectives, and in this sense, it is central that states do not use the existence of these transnational criminal processes as an excuse to increase entry barriers for migrants.

One issue that emerges as one of the integration policies at the South American level is the Mercosur residency agreement that aims to facilitate and promote regular migration. Although not all countries have implemented it equally, it is an effort to understand sub-regional migration in an integrated manner.

Finally, agreements have been developed in the regional integration organisations and forums in South American to generate strategic information on migration for decision-making based on accurate data. Collecting and providing this data could be a line of work in the bi-regional cooperation that will contribute to consensus-building.

### 3.2 EUROPEAN MIGRATION POLICIES

Migration between EU member states was already intense in the 50s of the past century and was one of the reasons why the European Community Treaty contained from the very first moment a chapter on free movement of workers. The jurisprudence of the European Court of Justice interpreted very broadly other provisions of the treaty, so that at the end of the 80s, freedom of movement between member states was extended to most categories of people. In the 90s, the Schengen agreement allowed for the elimination of controls on people at intra-EU borders, and the Treaty of Amsterdam introduced the Schengen agreement into the European Union Treaties.

After the Schengen treaty was introduced in the EU Treaties, the EU began to develop a migration policy towards non-EU nationals. This policy can be defined as being based on three central axes (Garcialoro, 2008):

- 1) the control policy;
- 2) the integration policy ;and
- 3) the cooperation policy for the development of the migration-sending countries.

In the European Council of Tampere (15 and 16 October 1999), the direction and political priorities on migration issues along the aforementioned central axes were agreed on. These orientations focused on four areas:

- The development of an integration policy for third-country nationals, promoting the elimination of social, political and economic discrimination, developing measures



- against racism and xenophobia, combating irregular migration, and managing migration flows;
- The efficient management of migration movements in order to find a balance between admission for humanitarian and for economic reasons;
- Collaboration with countries of origin of migration;
- The creation of a common asylum system.

In relation to the **first axis**, Olesti (2008) points out that the agenda and the proposed emphases in Tampere underwent important changes due to different causes. On the one hand, the attacks of September 11 2001 in the United States led to the strengthening of the security and migration control agenda globally and regionally. Subsequent attacks in London and Madrid reinforced this line of action. On the other hand, the heterogeneity of the legal regimes of the different Member States and the different forms of MS participation in this integration space hindered the progress of the proposed agenda.

In November 2004, the European Council held in Brussels established a new programme called "The Hague Programme: strengthening freedom, security and justice in the European Union". In line with the developments described above, this programme placed security and the prevention of terrorism as a central topic for the European Union. Gil Araujo argues that the European policy on migration has strengthened the logic of migration control, emphasising the fight against irregular migration (Araujo, 2011). In contrast, the absence of actions aimed at integrating the migrant population in the countries of destination was reflected in the reduced importance that the Hague Programme dedicated to the integration of third-country nationals and social cohesion (Olesti, 2008).

Martínez (2008), on his part, points out that the Hague Programme emphasised the contribution made by migrants to economic growth and social enrichment in Europe. The contribution of migrants was seen in parallel with the recognition of the decrease in the workforce, the aging of the population and the progressive reduction of the fertility rate. In this context, migration emerged as one of the solutions to demographic change and as a means to ensure the financing of social security and pension systems in the countries of the European Union in the short and medium term. On December 14, 2007 (European Council 2007, Paragraphs 17-25), the European Council addressed again the issue of migration. The main thrust of its argument is best expressed and illustrated in its own words:

*"(17) Cooperation with third countries remains vital for the purpose of well-managed migration flows and the fight against illegal immigration (...) (18) The European Council (emphasizes the need for coherence between migration and development policies and calls for further work in this field. (...) (19) The European Council acknowledges that migration can have a significant impact on growth potential and employment growth, labour markets, adjustment capacity, productivity, competitiveness and public finances, whilst stressing that immigration is no substitute for structural reform. An effective immigration policy should be considered in the light of skills shortages and labour market requirements. Labour migration shall fully respect the Community acquis, Member States' competences in this field and the principle of Community preference for EU citizens. (...)*

*(19) The European Council reaffirms that measures to promote integration are important, as are the efforts of migrants themselves to integrate. (20) The European Council invites the Council to take work*

*(...) on the admission of third-country nationals for the purpose of highly-qualified employment and on a single application procedure and a common set of rights for legally residing third-country workers. Combating illegal immigration requires concerted and effective measures directed to undeclared work and illegal employment, in particular through the effective enforcement of dissuasive sanctions. (...) (23) The European Council (...) underlines the need for agreement on common standards in the area of return policy and encourages the Council and EP to continue their efforts to find a basis for a swift agreement on the proposal while bearing in mind the particular circumstances of each Member State. The European Council reaffirms the need for an effective readmission and return policy. (24) The European Council underlines the need for progress on the future Common European Asylum System with a view to its realisation by 2010 (...) (25) The European Council calls for better coordination between migration and integration policies."*

To advance in the control and security axis, a series of provisions have been adopted. Olesti (2008) highlights, among others: i) the common visa policy, ii) the establishment of an integrated system for managing the external borders, in particular the creation in 2004 of the European Agency for the Management of Operational Cooperation at the External Borders (FRONTEX), and iii) controls on people crossing the external borders.

Regarding the **second axis** of migration policy, i.e. the integration policies for non-EU immigrants, the literature recognises that it has not been the central focus of the European Union. Although there are certain central guidelines in European policy, there is ample space for states to autonomously restrict or extend these criteria. However, in the policy-making process it is essential to recognise the diversity of social, cultural, historical, political and economic realities that affect the process of integration as well as the heterogeneity of measures that can facilitate inclusion in those specific contexts. Therefore, although there is a general integration policy which translates into specific guidelines, each nation state has incorporated these guidelines according to its own sociohistorical context (Garcialoro, 2008).

The central aspects that Europe defines in order to address the integration of migrants in host societies are: i) family reunification, ii) third-country nationals who are long-term residents and iii) the integration of foreign workers into the labour market (Garcialoro, 2008: 28). Family reunification is a right recognised by international legal instruments and stipulated in the European Convention for the Protection of Human Rights and Fundamental Freedoms of 1950. Despite this, the norm establishes that Member States can freely adopt specific provisions on regrouping of relatives in the ascending line, children who are of full age and single, and unmarried partners.

With respect to third-country nationals who are long-term residents, the EU considers that their integration is essential and their rights must be duly guaranteed<sup>35</sup>. However, national legislations weaken this principle of equality. In other words, although the statute establishes that the long-term resident is entitled to all benefits under the same conditions as nationals, the same regulation indicates that a Member State may limit these rights (for example, a migrant might have to prove they can speak the language to access employment).

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<sup>35</sup> A long-term migrant is considered a person who has been a resident for more than five years after having obtained his or her permanent residence.

A key dimension in the process of inclusion of migrants is access and integration into the labour market. Martínez (P. Martínez, 2006) picks up certain topics that began to be central to the European migration policy on labour: 1) The link between legal migration and the integration of migrants, 2) the attraction of highly skilled workers, and 3) workers' rights with special emphasis on unskilled workers. Labour market inclusion is often related to the issues of over-qualification, especially in the case of refugees. Different approaches to appraisal and recognition of foreign educational credentials are present in EU member states and are connected to access of migrants to educational systems.

Immigrants in EU countries usually enjoy the same rights and duties in education as the domestic citizens do in the area of primary, secondary, and tertiary education. Foreigners have the right to education based on Article 14 of the Charter of Fundamental Rights. One factor that depends on national regulations is the use of national or other languages in teaching at all levels, but especially the tertiary level. Practice in this regard is formed by specific national, regional or even local regulations and provisions. Generally, as common principle: When national language is used for the instruction, foreign pupils and students – at least in primary and secondary and mostly also tertiary educational institutions – take part there, they have the same rights, conditions and position as the domestic population. However, third-country nationals might be subject to additional fees e.g. on university level.

Another issue relevant to this policy axis is the one of access of migrants to health care. In theory, according to the European Charter of Fundamental Rights (Article 35)<sup>36</sup> all individuals including migrants have the right to access at least primary health services (under the conditions provided by national law) (O'Donnell 2018: 6). However, the EU cannot exert exclusive competences in the field of health care, as the competence to act in the field of public health and health services is with the MS (Pace 2011: 63). Nonetheless the Treaty of Lisbon introduced the notion of shared competences in public health matters if common safety concerns are detected (Article 2c). In general, national regulations of EU member states allow access to health care services for (undocumented) migrants; although in the majority of them only against payment<sup>37</sup>.

The **third axis** of European migration policy is the cooperation with and the development of the migration sending countries. In 1998 the European Council raised the need to move towards the integration of migration policies, trade policies and development aid in the countries of origin and transit. Thus, and as mentioned above, one of the main guidelines established at the European Council in Tampere (15 and 16 October 1999) was the collaboration with countries of origin and transit of migration. The topic discussed in regard to the relationship between migration and development have been remittances (in the sense of favouring sending them), diasporas as a factor of support for developing countries and the so-called brain drain, which the EU has sought to address by favouring the circular migration of highly qualified people.

In relation to the link between migration and development, the European Commission presented a communication in September 2005 aimed at improving the impact of migration on socioeconomic development in the countries of origin, for example, by reducing the cost of sending remittances, improving return and reintegration policies, considering possibilities for temporary migration and mitigating the negative impact of the so-called "brain drain".

<sup>36</sup> See: [http://www.europarl.europa.eu/charter/pdf/text\\_en.pdf](http://www.europarl.europa.eu/charter/pdf/text_en.pdf).

<sup>37</sup> See: <https://fra.europa.eu/en/theme/asylum-migration-borders/healthcare-entitlements>.

One of the flagship programmes established under this guideline was the AENEAS Cooperation Programme, which provided financial and technical assistance to third countries in the fields of asylum and immigration. Although Latin America was not the main recipient of these funds, the priorities defined were to contribute to the development and strengthening of interregional dialogue, to finance projects aimed at reducing remittance costs, and projects that improve national legislations in human trafficking and the development of information systems (Martinez, 2006). However, more critical readings indicate that migration is a very complex phenomenon that has many roots and causes (poverty, inequality, political and economic crises, among others) and cannot be tackled by (external) policy instruments.

### **3.3 INSTRUMENTS FOR COOPERATION AND MANAGEMENT OF MIGRATION BETWEEN EUROPE, LATIN AMERICA AND THE CARIBBEAN**

The migration agenda between both regions has been designed and agreed upon in the EU-LAC Summits, CELAC-EU Summits, High Level Meeting on Migration (EU-LAC) and the EU-LAC Structured and Compressive Dialogues on Migration.

Regarding the architecture that sustains bi-regional relations in the area of migration, Amalia Stuhldreher (2015) alludes to the difficulties that have existed in establishing a pure inter-regionalism model. Instead, the relations between the European Union and LAC can be better described as "hybrid inter-regionalism" or "multiple bilateralism" (Stuhldreher, 2015). In those models, bilateral elements play a significant role, while non-state actors are incorporated (Stuhldreher, 2015). The advantages of multiple bilateralism lie in the possibility of accommodating the multiple (and sometimes contradictory) interests of the countries involved. However, this has hampered the development of a regional institutional framework that allows Latin America and the Caribbean to relate as a block with Europe. The author argues that some of the reasons that have hindered the regional consensus have been the weight of Brazil and Mexico, the North American influence, and the ideological differences between different countries and governments (Stuhldreher, 2015).

In the following section, the central elements addressed by these bi-regional forums in migration matters are systematised.

#### **3.3.1 EU/LAC and EU/CELAC summits**

The First EU-LAC Summit (Rio, June 28 and 29, 1999) inaugurated a dialogue and integration mechanism based on the concept of the "Bi-regional Strategic Association" (Stuhldreher, 2015). Based on the recognition of the cultural heritage that unites both regions, the Summit sought to build an agenda with common interests regarding specific dimensions. Migration has been part of the issues addressed, and has gained more relevance through the establishment of the structured dialogues initiated at the Fifth Summit (Lima, May 16, 2008). In the First and Second Summits (Rio 1999, Madrid 2002), the concern for xenophobia and racism affecting migrant groups, the need for an analysis of the situation in both regions, and to guarantee full respect for the fundamental rights of migrant workers and their families was addressed. However, in 1999, the Treaty of Amsterdam entered into force in Europe, which defined an increasingly restrictive policy focused on undocumented migration and repatriation processes (Stuhldreher, 2015).

In the Guadalajara (2004) and Vienna (2006) Summits, the need to protect the rights of migrants was pointed out, regardless of their migration status, as well as the importance of

migration for the development of countries (affirming that remittances are private and indicating the need to reduce transfer costs), and the need to jointly address irregular migration and human trafficking. The Summit in Lima (2008) coincided with the discussion of the EU's directive 2008/115/EC of 16 December 2008 on common standards and procedures in Member States for returning illegally staying third-country nationals (the so-called "Return directive")<sup>38</sup>, generating tensions at the summit. In 2010 (Sixth Summit, Madrid 2010), discussions focused on the fight against terrorism and the need to maintain a multidimensional approach to understand the complex phenomenon of migration.

The First EU-CELAC Summit (Santiago, Chile) 2013 (or Seventh EU-LAC Summit) aimed to strengthen the structured dialogue and thus to establish models of migration policy management and development policies with important collaboration from the IOM (Stuhldreher, 2015). The Second EU-CELAC Summit (Brussels, June 10 and 11, 2015) reinforced the issues addressed in the previous summits: the fight against human smuggling and trafficking, strengthening the relationship between migration and development, guaranteeing the rights of migrants, regardless of their migratory status, and deepening and improving information systems in order to have updated data.

Given this bi-regional background, on the CELAC side the Fourth CELAC Summit (Quito, 2016) rejected the criminalisation of irregular migration and all forms of discrimination and racism. The migrant was recognised as a subject with rights, regardless of their immigration status. It also reiterated the need for migration to be regular, orderly and safe, and highlighted the social, cultural and economic contributions of migration. Recipient countries were urged to put an end to policies that selectively treated migrants differently based on their national origin (Political Declaration of Quito, Fourth CELAC Summit, Quito, January 2016). Finally, in 2017, the Fifth CELAC Summit held in Punta Cana reinforced the importance of the human rights approach, rejecting the criminalisation of irregular migration and discrimination against migrants.

Stuhldreher (2015) analyses an important turn in EU-CELAC summits dealing with migration. After 10 years of having maintained the principle of the Bi-regional Strategic Association, the Madrid Summit in 2010 emphasised the bilateral relations between different countries of both regions as an important channel to move forward. This probably occurred due to some stagnation in the progress of the proposed topics, and due to evidence gained from a series of bilateral agreements signed by the EU and specific countries in the region, but also, as the author points out, due to institutional weakness in the Latin American system.

Finally, it must also be mentioned that, in a scenario different from the EU – LAC/CELAC Summits, the Euro-Latin American Parliamentary Assembly, created at the Vienna Summit in May 2006, set up a Migration Working Group that proposed the creation of a Euro-Latin Observatory on migration.

### 3.3.2 Structured Dialogue and High-Level Meetings

In 2009 in Brussels, the EU and LAC formally launched the Structured and Comprehensive bi-regional Dialogue on Migration<sup>39</sup> (which had already been agreed on in Lima 2008), with the

<sup>38</sup> <https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2008:348:0098:0107:EN:PDF>

<sup>39</sup> [https://ec.europa.eu/home-affairs/content/eu-lac-structured-dialogue-migration\\_en](https://ec.europa.eu/home-affairs/content/eu-lac-structured-dialogue-migration_en)

aim of seeking common solutions, ensuring the full exercise of human rights and improving the management of international migration processes (CELAC et al., 2012)<sup>40</sup>. For this Dialogue, the European Pact on Migration and Asylum and the Global Approach to Migration served as a reference. The topics to be discussed in this Dialogue were: human rights, in accordance with international obligations, the fight against all forms of discrimination, racism and xenophobia, enhancing the relationship between migration and development (cooperation for the eradication of poverty, improving political stability, facilitating and reducing the costs of sending remittances, avoiding the brain drain, among others), better organising regular migration, addressing irregular migration (legislative and administrative measures, measures aimed at women and children, decent return, readmission including cases of unaccompanied minors), fighting against human smuggling and trafficking, and improving the quality of travel documents (CELAC et al., 2012).

The initiative "Strengthening the Dialogue and Cooperation between the EU and LAC to Establish Management Models on Migration and Development Policies"<sup>41</sup> was funded by the European Union for a period of 3 years (2011-2014), and implemented by the IOM in partnership with different Directorates General of the European Commission. The initiative was aimed at providing concrete support for the development of the EU-LAC Comprehensive and Structured Bi-regional Dialogue on Migration initiated in June 2009. The objective of this initiative was to contribute to the process of cooperation between the EU and the CELAC region, as well as the creation of regional capacities within CELAC for a permanent exchange of information and good practices, both among the interested countries and between these countries and the EU. Its specific objectives were to generate more exhaustive knowledge of the most relevant migration flows, promote effective management of migration through the application of reintegration policies aimed at migrants who wish to return to their communities of origin, and support for initiatives for alternative uses to the direct consumption of remittances by strengthening the beneficiary communities to make better use of these private monetary flows and the involvement of the diaspora in local development strategies.

On the basis of a review of the main issues addressed at the regional and bi-regional levels, the following areas of interest shared by Latin America and the Caribbean and the European Union can be identified. Although they are shared, they are treated nevertheless with different emphases and perspective in both regions. These topics are:

- The centrality of the human rights perspective in the approach to migration and the need to incorporate this approach regardless of the migratory status of the person.
- Human smuggling and trafficking. The increase in the number of people smuggled and trafficked, the violence of organised crime, and the difficulties in prosecuting these crimes have contributed to the perpetuation and aggravation of the vulnerability of many migrants seeking a life opportunity in a foreign country. The transnational nature of smuggling and trafficking networks raises the need to think about coordinated responses between different countries and regions, in order to make the identification, report and punishment of these crimes more efficient.

<sup>40</sup> The Dialogue was formalised by the "Basis for structuring of the EU-LAC Dialogue on Migration"

<sup>41</sup> <http://publications.iom.int/system/files/pdf/iom-eucooperation.pdf>



- Unaccompanied minors. In the United States, Latin America and Europe, the arrival of unaccompanied minors shows the complexity of migration movements when borders are forcefully closed. This situation requires, like the others previously mentioned, coordinated and deeply humanitarian measures by the recipient countries.
- The emergence of xenophobic and racist discourses in countries of destination is an area of constant concern. These anti-immigration discourses can influence government programmes and policies, providing support for restrictive migration measures.
- The link between migration and development and the need to adopt measures to strengthen the positive aspects of this relationship. Some of the specific aspects mentioned refer to the validation of educational degrees, the timely integration in labour markets, access to health, education and the social protection system, the reduction of the costs of sending remittances, facilitating the transference of pensions, among others.

In the European case, an issue that is of greater relevance than in the Latin American and Caribbean region is that of irregular migration and the measures necessary to control and reduce it. In the case of Latin America and the Caribbean, this issue, although present in some of the agendas of the sub-regional organisations and forums of integration, does not acquire the same relevance. Probably this emphasis is due to the greater weight of the securitisation approach in the EU countries, and its character as a migrant-receiving destination. These differences in profile – as a receiving, sending or transit region of migrants, as well as the different prevalence of concerns regarding security and control, or human rights - are indeed a source of tension in the search for a consensus between both regions. Explaining these latent or potential conflicts is an important step towards achieving a consensus.

## **4 PROMINENT EXAMPLES FOR THE INCLUSION AND INTEGRATION OF THE MIGRANT POPULATION. CASE ANALYSIS**

This section studies two prominent examples of policies and initiatives for the inclusion and integration of the migrant population: the EU and Mexico. It focuses in particular the legal regime of migrants in the labour market. Two reasons justify this.

First, current migration movements are directly linked to seeking work opportunities abroad. In the case of Latin America, the ILO study (ILO, 2017) identifies the following problems regarding the integration of migrants into the labour market:

- Overrepresentation of regular or irregular migrants in the informal economy. For example, in the case of Argentina, 67% of South American migrant workers work in the informal sector and in the Dominican Republic, 83% of Haitian migrants work in this sector.
- Feminisation of migration, which is directly linked to a more precarious labour integration for women, due to the characteristics of the labour markets that are most accessible for migrant women (domestic work, agriculture, services, among others).



- Overqualification. In most destination countries migrant workers often only find work for which they are overqualified for. This situation renders integration and social inclusion more difficult – for the migrants as well as for the target society. At the same time, the brain-drain from the country of origin is a subject long discussed in the specialised literature.

The ILO report (ILO, 2017) indicates that the population most at risk to participate in the informal labour market are asylum seekers without work permits, students with partial work permits, dependents with residence and without work permits, regular migrants without work and whose employers do not want to pay social security, and self-employed migrants.

Some of the difficulties in developing adequate processes of inclusion of migrants in labour markets, as well as in the protection of their rights, are (ILO, 2017):

- Little follow-up to regional integration agreements, with little or no adjustment to legislation
- Greater weight given to security preoccupations than to issues related to rights and work (regulations)
- Absence of actors from the world of work in consultation processes on migration (SACM, RCM)
- Absence of civil society actors linked to the world of work (trade unions or others) in instances of regional integration
- Need for greater coordination between migration policies and employment policies
- Weakness of institutions responsible for monitoring the working conditions of migrant workers: they cannot fight abuses in recruitment, high rates of disqualification, discrimination in labour markets, among others.
- Scarce unionisation of migrant workers
- Weaknesses in the preparation of statistical information related to the functioning of labour markets and the inclusion of migrants

Second, it is in this area of the legal regime of migrant workers where the EU has extensively exercised its own competence, not only concerning intra-EU migration but also migrants from outside the EU.

Albeit these are two cases that will be studied, it is worth noting that, more in general, new Latin American legislation on migration has adopted a rights-based approach, as well as mechanisms that allow and/or facilitate regular migration. This implies that these regulatory frameworks tend to guarantee the principle of equality between foreigners and locals, regardless of the country of origin. Moreover, as the previous section has shown, the different organisations and forums for sub-regional integration have contributed to the generation of agreements to facilitate mobility among the member countries.

However, faced with specific situations such as that of the recent crisis in Venezuela, the countries of the region are adopting specific measures to guarantee regular migration. For example, Peru implemented the Temporary Residence Permit (PTP) for Venezuelan migrants in

January 2017. This permit allows holders to prove their regular migratory situation for a period of one year, with which they can access education and health services. In Chile, the government established a Democratic Responsibility visa for Venezuelans, which must be requested in the country of origin and allows those who enter Chile to do so with up-to-date paperwork. In the case of Ecuador, in spite of having a legislation that facilitates migration, the government tried to restrict access by requiring a passport, though this measure was dropped later. In Bolivia, Venezuelans can enter with the Andean Migration Card, thanks to a circulation agreement between both countries (Koechlin & Eguren 2018).

#### 4.1 EU MIGRATION AND LABOUR MARKET INTEGRATION POLICY

There is a growing gap in labour market participation between third-country nationals and EU citizens. In 2017, the EU-28 activity rate for migrants born outside the EU was 72.6 %, which was 1.8 percentage points lower than the rate recorded in 2008. By contrast, the activity rate for the native-born population stood at 78.4 %, which marked an increase of 3.0 percentage points compared with 2008.<sup>42</sup>

Labour migration to the EU, and with that more temporary forms of labour migration, have increased in past decades, which has led to the increasing vulnerability of labour migrants' rights (Verschueren, 2016). What is most critical for our study is whether labour migrants from LAC can invoke the same employment and social rights in EU Member States as the host state's own citizens.

##### 4.1.1 Legal Basis

The establishment of shared EU competences for the Area of Freedom, Justice and Security goes back to the Amsterdam Treaty (1999) and facilitated the regulation of non-EU nationals' entry and residence in the EU and their employment rights. Article 79(2) of the Treaty on the Functioning of the European Union (TFEU) provides a legal basis for provisions applying to third-country nationals (TCN) legally residing in the EU, including their free movement. However, according to Article 79(5), Member States are solely responsible for determining the number of TCNs they admit for the purpose of work (Stuchlik & Poptcheva, 2015). After all, migration policy in the EU is a central concern of national sovereignty.

The EU approach to third-country nationals' integration has evolved over the last decade in a multi-dimensional way and is steered by a series of multiannual programmes endorsed by the European Council. Integration of TCNs has also been discussed and promoted within EU employment policies.

Over the last decades the EU has adopted a number of legal instruments on labour migration. However, the EU has only *fragmentally and gradually* been able to develop coordinated labour migration policy and instruments, leaving Member States room to provide exceptions (Verschueren, 2016). At the same time the EU legal framework on legal immigration attributes different rights to different categories of migrants; it thus follows a sectoral approach to the integration of migrants.

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<sup>42</sup> Eurostat: [https://ec.europa.eu/eurostat/statistics-explained/index.php/Migrant\\_integration\\_statistics\\_%E2%80%93\\_labour\\_market\\_indicators#Labour\\_market\\_participation\\_.E2.80.94\\_activity\\_rates](https://ec.europa.eu/eurostat/statistics-explained/index.php/Migrant_integration_statistics_%E2%80%93_labour_market_indicators#Labour_market_participation_.E2.80.94_activity_rates)

Nevertheless, the below mentioned EU Directives guarantee in principle equal treatment of labour migrants from third countries with nationals of Member States (MS) in the host country with regard to employment conditions. An exception is the situation of intra-corporate transferees, who are only entitled to equal treatment for a limited number of employment rights.

- Family reunification Directive (2003/86/EC): regulating admission and residence of family members of third-country nationals (sponsors) legally residing in Member States.
- Long-Term Residents Directive (2003/109/EC): allowing third-country nationals who have legally and continuously resided in a Member State for 5 years to obtain an "EU long-term resident" status and associated rights.
- EU Blue Card Directive (2009/50/EC): regulating admission and residence of highly skilled third-country workers, and their families.
- The Single Permit Directive (2011/98/EU): establishing EU rules for a single application/permit and equal treatment provisions for third-country workers. It is a "framework" or "horizontal" Directive that covers third-country workers also admitted to a Member State according to national migration law.
- Seasonal Workers Directive (2014/36/EU): regulating admission and stay of third-country nationals admitted temporarily to carry out seasonal work.
- Intra-Corporate Transferees Directive (2014/66/EU): covers third-country workers, and their families, employed outside of the EU by a group of undertakings and posted to a subsidiary in an EU Member State for maximum 3 years.
- Students and Researchers Directive (2016/801): covering the conditions of entry and residence of third-country nationals for the purposes of research, studies, training, voluntary service, pupil exchange schemes or educational projects and au pairing (recast of Directives 2004/114/EC on students and 2005/71/EC on researchers).

Table 4: Overview EU sectorial Directives relating to third-country nationals' admission to and residence in an EU Member State. Source: [http://ec.europa.eu/smart-regulation/roadmaps/docs/2016\\_home\\_199\\_fitnesscheck\\_legal\\_migration\\_en.pdf](http://ec.europa.eu/smart-regulation/roadmaps/docs/2016_home_199_fitnesscheck_legal_migration_en.pdf) (10.12.2018)

In the case of social security rights, more exceptions for temporary migrant workers are allowed. These exceptions mainly concern family benefits and unemployment benefits (Verschuere, 2016).

However, exceptions or restrictions to equal treatment might be overruled by fundamental rights instruments, such as the EU Charter of Fundamental Rights (which in accordance with art. 6 TEU has "the same legal value as the Treaties") or by other EU directives on social policy or anti-discrimination (Verschuere, 2016). Article 31 of the Charter of Fundamental Rights of the European Union, headed 'Fair and just working conditions', states that, 'Every worker has the right to working conditions that respect his or her health, safety and dignity'. This applies to third-country nationals as well as nationals of the EU Member States.

Article 15(3) of the Charter establishes a principle of equal treatment with regards to working conditions between non-EU nationals and EU citizens, a principle not evident in the Treaties. Article 15(3) enacts at European level the non-discrimination principle at work on the basis of nationality in very forceful terms: "3. Nationals of third countries who are authorised to work in the territories of the Member States are entitled to working conditions equivalent to those of citizens of the Union". Quite surprisingly, the reference to this fundamental provision is absent in most studies on EU – LAC relations.

Directive 2000/43/EC implementing the principle of equal treatment between persons irrespective of racial or ethnic origin and Directive 2000/78 establishing a general framework for equal treatment in employment and occupation protect all Union citizens and third-country

nationals and both cover 'employment and working conditions, including dismissals and pay' (Article 3(1)(c) in both directives).<sup>43</sup>

A different issue is social security coordination between the systems of the Member States and those of third countries, which is still a matter of bilateral agreements. Member States are not very keen on giving up autonomy in this field. The aggregation of periods of employment, insurance and residence for the purpose of obtaining and maintaining social security benefits in the host State are negotiated in bilateral agreements (Verschueren, 2016). Third country migrants are therefore confronted with a fragmented landscape of bilateral agreements or no agreements at all (with a specific country).

#### 4.1.2 Labour market integration of third country nationals (TCN)

Generally, third-countries' nationals can perform work on the condition that they have received a **work permit and a residence permit** or an Employee Card or a Blue Card (Council Directive 2009/50/EC), provided that the Employment Law or other similar regulation does not establish otherwise.

The EU Blue Card is a work permit issued by EU Member States (with the exception of Denmark, Ireland and UK) to highly-qualified non-EU citizens. The Single Permit, officially implemented in 2011, is complementary to the EU Blue Card, and regulates and combines both the residence permit and the work permit into a single permit enabling non-EU citizens to reside and work within the country of issue. The Single Permit provides TCNs with common rights similar to those of EU nationals with regard to work and salary conditions, pensions, social security and access to public services. In addition, it grants favourable conditions for family reunification and permanent residence (Abella et al., n.d.).

There is a vast number of local and regional programmes and projects initiated by public employment services, NGOs, municipalities, governments, etc., often aimed at specific groups of migrants, with the aim of enhancing the employability of migrant workers (Abella et al., n.d.) Combating discrimination is another building block of the integration policy. The ratification of the European Convention on Human Rights (ECHR) was an important milestone in this regard. Since then the EU has started to draw up directives outlawing discrimination in more specific ways. However, the weak point in combating discrimination in the EU is not a lack of legislation, but its implementation in the courts and its prevention (Abella et al., n.d.).

There are numerous other practices of labour market integration which cannot be analysed in more detail here, such as removing obstacles to job access, recognition of skills and qualifications, regularisation of residence or employment status, combating wage discrimination, etc. Member States address these issues quite differently and there are certainly outstanding good practices, but also political failures.

One issue that might be especially interesting in the case of LAC migration to the EU is the protection of domestic and household service workers. The rights of these types of workers have proven to be difficult to enforce and tend to get violated more often. Within Europe, the biggest employers of domestic workers are Spain, France and Italy, where this type of work is a common entry for female migrants into the labour market. Spain has seen an especially rapid

<sup>43</sup> <https://www.eurofound.europa.eu/observatories/eurwork/industrial-relations-dictionary/third-country-nationals>

increase in domestic workers in the last decade. Most female domestic workers are foreign born, especially from Spanish speaking countries from Latin America. In 2015, around 32% of migrant domestic workers in Spain were from Ecuador and 13% from Colombia. According to the ILO, domestic workers remain one of the least protected groups of workers under national labour legislation. Western European and Scandinavian countries tend to have special labour laws for the regulation of working conditions of domestic workers. Few countries, such as France and Italy, have collective agreements on domestic work (ILO, 2013).

#### **4.1.3 Intra-EU mobility for third country nationals (TCN)**

Integration in the European context depends heavily on free movement rights, as these give economic and social benefits to individuals. Free movement of people within the EU is one of the four fundamental freedoms of the internal market (along with the free movement of goods, services and capital) and is one of the main achievements of the European integration process (*Intra-EU Mobility of third country nationals*, 2013).

Free movement / intra-EU mobility of migrant workers is limited to specific categories of third-country nationals, i.e. long-term residents, highly skilled workers, researchers and students. Whilst third-country nationals who hold a valid residence permit or visa have the right to move freely within the Schengen area for up to three months within a six-month period, the rights in relation to taking up residence for a period exceeding three months in another Member State is covered by specific legal instruments, depending on their status, and subject to conditions in national legislation (*Intra-EU Mobility of third country nationals. European Migration Network Study 2013*, 2013).

We will begin by looking at the case of long-term residents. According to the Directive on the status of TCN, 2003/109/EC, a Long-Term Residency (LTR) Permit can be granted after continuous legal residence in the MS for a period of 5 years, and a sufficiently stable financial situation. In addition, MS may require the TCNs to meet additional “integration conditions”. Once a TCN has acquired an LTR permit in the first country of residence, he/she has the right to move to another MS. However, this second MS might have special ways of limiting TCN’s access to its labour market (e.g. it may give preference to EU nationals or it has special quotas for TCN’s access to its labour market). This means that, in effect, TCNs have reduced mobility rights which might diminish their economic opportunities and/or social integration (Della Torre & de Lange, 2018).

The Blue Card Directive concerns highly qualified labour migrants and allows for limited mobility rights after 18 months. For researchers who want to stay longer than 3 months in a second MS, provisions vary significantly across MS. Moreover, for certain categories of third-country nationals, the EU acquis does not provide rules on intra-EU mobility, for example, cross-border workers, seasonal workers and workers in regulated professions.

In conclusion, TCNs may be confronted with more or less tighter restrictions to access labour markets in Member States other than their first country of residence. The development of mobility rights of TCNs is still below expectations and poses a certain threat to the full exploitation of TCNs labour market potential.

To sum up, the EU, while having advanced considerably in the recognition of rights to non-EU migrant workers, has yet to come up with an often claimed ‘more holistic approach to migration’ which would superpose the sectoral approach which divides migrants into different

categories. Currently, there seems to be little political will by Member States to pursue a more coordinated approach.

## 4.2 MEXICAN MIGRATION POLICY

At the end of 1908, shortly before the Mexican revolution, the first Immigration Law was published in Mexico. It regulated the admission of foreign people into Mexico and set up an administrative structure, assigning the Secretary's Office of the State as responsible authority for overseeing this process.

In the context of the construction of the modern Mexican State, a new Immigration Law was enacted in 1926 that repealed the Immigration Law of 1908. This norm introduced a policy that tended to protect national interests, especially economic ones. The law imposed the duty of foreign people to subdue to the inspection by migratory authorities. They were able to check the entrances and departures from the country and verify good behaviour and a honest way of living. The new law introduced many restrictions to foreigners' immigration, especially for foreign workforce; it prohibited the immigration of foreign drug dealers and addicts; and for the first time it defined the crime of smuggling foreign people without documentation.

In 1936 a deep change took place during Lázaro Cárdenas' Presidency in the way that the Mexican State conceived the migratory phenomenon. The General Law of Population embedded the issue of migration within demographic development instead of seeing it as an isolated problem of security. Among the new aspects that the law introduced in reference to migration, there is the right to migrate and to ask for shelter and to receive it, and also some penalties related to human trafficking. In that regard, it is important to emphasize the implications that these orders had during the governments of presidents Lázaro Cárdenas (1934 – 1940) and Luis Echeverría (1970 – 1976). Back then Mexico was distinguished for its openness to offer refuge to people escaping from the dictatorial governments in Europe<sup>44</sup> during Cárdenas term of office and later from Latin-American countries when Echeverría was in office.

The 1936 Law was replaced by a new legislation in 1974 that was remodelled in 1996. However, only in 2011 the currently in force Migration Law was introduced..

The migration law that entered into force in 2011 establishes new guidelines for migratory policy based on a human rights perspective; which constitutes a fundamental change from previous legislation. Its objective is "to regulate all that concerns the entry and departure of Mexican people and foreigners into or out of the Mexican territory, and the traffic and stay of foreign people on it, all in an environment of respect, protection and safeguard of human rights, of contribution to national development, and also of the national sovereignty and security". It recognises the state's duty of guaranteeing the application of the recognized constitutional rights and of international agreements to migrant people, irrespective of their migratory situation. It removes the verification of legal stay for access to educational services, health services, civil acts and justice impartation. It recognizes the necessity of protecting people in a vulnerable situation (boys, girls and young immigrant people who are without companion, pregnant women and the elderly). Since its publication the law has been

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<sup>44</sup> From 1936-1940 Mexico was the only country in the world which implemented a humanitarian plan on asylum (no restrictions or conditions are imposed) for all European victims of persecution. From 1970-1976 Mexico gives asylum to victims of political persecution from Latin-American dictatorships.



remodelled twice, in June of 2013 and in October of 2014. The changes concern asylum, refuge, the regulation of a Professional Migratory Service, as well as the assistance to people in a vulnerable situation, especially minors and young people.

There are two specific aspects that we must underline concerning immigrants who are in an irregular situation: First, the law guarantees the respect and protection of their human rights; and second, it emphasizes the State's duty to report the detention of a foreign citizen to his/her consular authorities. Together with the Migration Law, the Law about Refugees, Complementary Protection and Public Asylum was also adopted in 2011, published in the DOF<sup>45</sup> in January 27 of 2011. They both define what could be described as the legal foundation of the migratory policy of the Mexican State.

The introduction of a human rights approach into the migration legislation offers migrants new protection, since the authorities must interpret migratory norms in relation to the norm that offers the best protection and the best benefits to the person, without restricting any of the rights given by the Constitution and the International Treaties signed by Mexico.

#### **4.2.1 Migratory situation in Mexico**

In the last years immigration to Mexico has increased significantly. In 2015 1.007.813 immigrants were living in Mexico, which is 0.84% of the population.

Although temporary migration has been reduced especially throughout 2012, total migration in Mexico in 2013 was around 65%<sup>46</sup> higher compared to the previous year. Population that was born abroad increased in recent years, even though it is still below 1% of the total population in 2013. Between 2012 and 2013, Mexico has recorded an increase of 60% in the number of refugees and complementary protection requests, with 1,296 requests registered in 2013. Honduras, El Salvador and Cuba are the countries from where most of these requests come from. In 2013, there were 1,831 refugees living in Mexico, most of them coming from El Salvador, Guatemala and Honduras. Mexico is still the biggest recipient of remittances in Latin-America, in absolute terms. In 2013 they reached an amount of 21,600 millions of dollars (approximately 2% of the Gross Domestic Product) coming mostly from the United States. Nevertheless, the amount of remittances was reduced about 3.8% in relation to 2012.

The National Plan of Development 2013 – 2018 includes the first special Program of Migration 2014-2018. The purpose of this national program is to consolidate an integral, intersectorial and participatory migratory policy, based on the promotion of human rights, sustainable development, gender equity, interculturality and human security. This program sets out a definition of public policy that promotes the application of rights and freedom of immigrant people in a favourable environment for their social integration in conditions of equality and valuation of their contributions to culture and development. Moreover, the capacities of the three government levels and civil organisations are strengthened in order to build optimal mechanisms for migratory government and to motivate processes of dialogue and international cooperation.

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<sup>45</sup> Diario Oficial de la Federación

<sup>46</sup> This strong increase is mainly explainable due to the new immigration law that entered into force in 2011 and that lead to higher registration rates in Mexico. Furthermore the restrictive US immigration policy made many more Central and South-American migrants register in Mexico. For data see: <https://www.gob.mx/conapo/documentos/prontuario-sobre-movilidad-y-migracion-internacional-dimensiones-del-fenomeno-migratorio>



Since 1989, the Paisano Program is a program that supports and protects Mexican migrants who return temporarily to Mexico in order to visit their families. The Paisano Program facilitates the migratory and customs administrative procedures, the import of vehicles and sanitary regulations, besides helping with consular functions abroad by giving information to get and renew documents as well as to obtain an apostille of documents.

In the beginning of 2014, Mexico's government released the "South Frontier Program", which tries to improve the access of migrants from Guatemala and Belize to regular migration channels by facilitating the acquirement of "Frontier Worker" cards (TVTF) and of "Regional Visitor" cards (TVR). In addition, the programme entails inter-institutional actions aiming at giving protection and access to public and social services to immigrant people as well as fighting organized crime. In the context of the Pacific Alliance, in November 2012, Mexico announced the elimination of visas for people from Colombia and Peru for periods of six months, as long as their activities do not entail entering the labour market, i.e for tourist travelling, traffic or business. Since May of 2013, people from Brasil that visit the country with these purposes (tourism, traffic or business) are also exempt of the Mexican visa request.

When discussing migration in Mexico it is not only necessary to describe the migration flows to Mexico, but also to elaborate on the emigration of Mexicans. Regular emigration of Mexican people to the United States has still increased and in 2012 it was 13% higher than 2010. In contrast, estimations of Mexicans who migrate to the US irregularly ("sin papeles") show an important reduction since the economic crisis of 2008. At the same time, the number of Mexican people without documentation living abroad was reduced approximately by a million between 2007 and 2012, according to the estimations done by the Pew Hispanic Center<sup>47</sup>.

The recovery of the United States economy is undoubtedly related to the positive results of the incorporation of Mexican migrants into the workforce of the countries of the OECD in general, considering that more than 85% of Mexican immigrants reside in the United States. Unemployment rates for Mexican workers in the United States and Europe were reduced by about two percentage points between 2010 – 2011 and 2012 – 2013 for both men and women. Between 2010 and 2013, more than half a million Mexican immigrants have been repatriated by American authorities according to the Mexican government<sup>48</sup>. In the same period, more than 16,000 Mexicans have re-immigrated from Spain to Mexico, according to the National Institute of Statistics of Spain. In 2014 the government has implemented the program "We Are Mexican" aimed increasing the outreach of the Human Repatriation Program, implemented in 2007. The programme cares for the immediate needs of repatriates by providing them with information, counselling, food, shelter, medical services, transport, ways of communicating with their families as well opportunities of work and social integration.

#### **4.2.2 Evaluation of Mexican migration policy**

Migration is a complex phenomenon and its legal regulation is challenging. The current migration policies all over the world have made migrants a highly vulnerable group. Their vulnerability is partly caused by the deficient coordination between migratory and other public authorities as well as the legal frameworks and its implementation.

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<sup>47</sup> Unauthorized Immigrant Population Trends for States, Birth Countries and Regions, Pew Hispanic Centre, December 2014.

<sup>48</sup> <https://www.gob.mx/conapo/documentos/prontuario-sobre-movilidad-y-migracion-internacional-dimensiones-del-fenomeno-migratorio>

In Mexico, one of the main issues regarding migration is the vulnerability of Mexican migrants in the USA. Lack of language skills and differences in culture and local customs pose a potential obstacle to social integration. Another main issue is the lack of political representation of Mexican migrants and the impediments to make effective their economic, social and cultural rights. Moreover, Mexican migrants encounter obstacles when obtaining their identification documents and difficulties in accessing legal counsel in case of an infringement of their human rights.

Between 2007–2016, the National Commission of Human Rights (CNDH) registered 21,034 infringement facts committed against immigrants in Mexico, (see Figure 4). Among them, the CNDH confirmed the existence of 6,420 authorities<sup>49</sup> that were responsible for the infringements. Before the Migratory Law of 2011 was applied, the number of infringement cases was increasing; however, since that year a reduction took place, just as it is shown below:

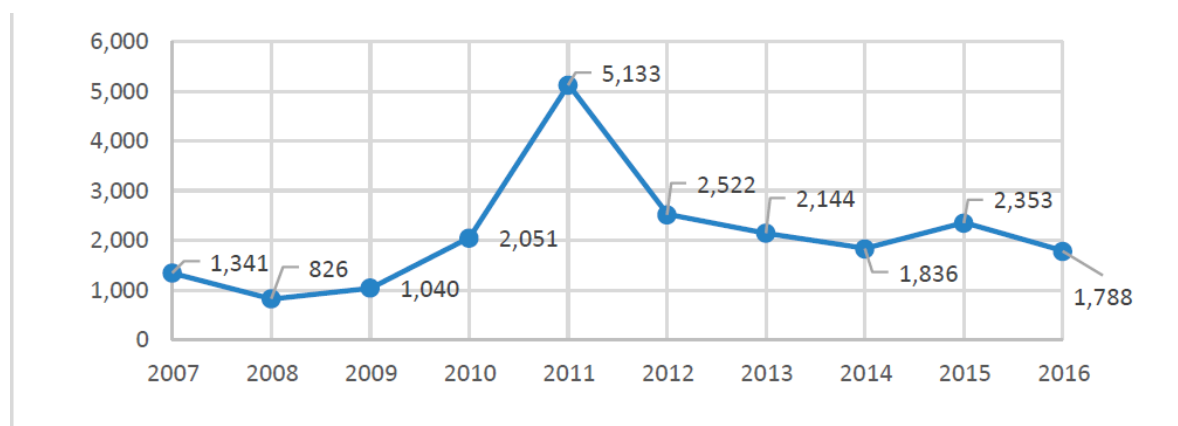


Figure 4: Infringement facts committed against immigrant people. Source: Elaborated by the Chief Audit Office of Mexico on the basis of data collected by the National Commission of Human Rights Elaborado (393/CNDH/OM/DGF/2017; 11.09.2017).

Different reports focusing on the improvement of the coordination of the Mexican migration system concede that the Mexican state has made progress in implementing recommendations set out by different international and national institutions (Comisión Interamericana de los Derechos Humanos 2015, CNDH 2009, 2011, Weiss et al. 2011). Some of the recommendations for protecting the violated human rights and the punishment for the authorities that committed the infringement have been pointed out by different national and international institutions. The recommendations mainly focus on strengthening the procedures of looking after immigrants, and to promote, as part of the government's strategy, regular and safe migration. A focus was the remodelling of the legal framework, which provoked discrimination on the basis of its bureaucratic form and implementation. Moreover, the implementation of the laws, especially in the cases of detention has allowed for violations against human rights. Besides the lack of reliable and systematised data, the measurement of migratory flows poses a challenge. Therefore, the recommendations were focused on implementing a public policy to

<sup>49</sup> This includes the institutions of the National Institute for Migration, the police, the human rights commission, local, state and federal governments, etc. The value is the sum of all the infringements against migrants committed by a public institution that attends directly or indirectly to migrants.

prevent, to protect and to penalize the crimes and infringements of human rights of immigrant people.

#### 4.2.3 Situation of EU Migrants in Mexico

The situation of European migrants in Mexico in respect to their economic and social rights is subject to the Migration Law. According to Article 6 of the Law all foreigners have the same social and labour rights as Mexican nationals. In order to obtain their work permit they solely have to verify some immigration forms<sup>50</sup>. All of them are allowed to work and access labour and possess social and economic rights as defined in the 'Federal Labour Law'. Mexican migration law does not make any distinctions, in terms of rights and obligations, between nationals of LAC or Europe. Any citizen may access the Mexican labour market always and whenever he/she has a job offer and the offer complies with the administrative requirements which are laid down by the National Migration Institute.

#### 4.2.4 Conclusions

The Mexican Migration Law (Article 6) guarantees the exercise of all rights to foreigners independent of their legal situation in the country. The foundation for this regulation is the introduction of the Human Rights perspective into the migration law in 2011. All foreigners and their families have the right to access education and public and private health care independent of their legal status (Article 8). Alike, they have the right to be attended by administrative institutions (for birth, wedding, divorce) and administration and imparting of justice (Article 9, 11). Probably the most important change has been the obligation of the Mexican State to promote the economic and social integration related to its identity and ethical and cultural diversity (Art.15). Mexican regulations on migration have changed from expulsion or reduction of migrants to a reinforced attraction of migrants.

It is too soon to see how the new government under president López Obrador will approach the migration topic. Even though it is too early to make any conclusions, it seems that its first steps are directed towards more cooperation for the development of the Centro American region, granting protection, temporal asylum and resident permits to those migrants heading towards the US and unable to get through, as well as enhancing the attraction of migrant workers with qualifications in all productive sectors.

## 5 CONCLUSIONS AND RECOMMENDATIONS

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### 5.1 AT THE REGIONAL AND BI-REGIONAL LEVEL

#### *Strengthening multilateralism*

Working jointly on an immigration agenda between both regions requires strengthening those forums that bring together the representatives of the states involved. With regard to migration, multilateral policymaking has to play a central role in advancing the debate on migration and in moving forward through concrete political actions. Therefore, it is highly important to strengthen the regional integration organisations and forums in Latin America and the Caribbean so that they can interact with the European Union at eye-level. The framework open

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<sup>50</sup> Visitor with permission to perform remunerated activities, Visitor border worker, temporary resident and permanent resident.

by the signature of the UN Global Compact for Safe, Orderly and Regular Migration by most EU and LAC Member States, and the strong support given to it by the European Union (which for legal reasons cannot be a signatory of it) should open an avenue of strengthened cooperation at the multilateral level.

#### *Bilateral progress*

Given the nature of migration movements, it is essential that countries move forward in terms of integration, mobility and respect for the human rights of the migrant population in those corridors with the greatest flow of migrants. Cases such as Spain-Ecuador, Costa Rica-Nicaragua, Dominican Republic-Haiti, Chile-Peru, and Brazil-Portugal must continue the efforts to guarantee the inclusion and rights of migrants.

#### *Addressing migration in an integral and multidimensional way*

While the interests of the countries and regions may be different, and sometimes even contradictory, it is essential to recognise migration as a multidimensional process, and address it comprehensively. It has to be underlined that migration sending and migration receiving countries share the responsibility for tackling issues related to migration. Each of the agreements or measures implemented must consider the effects that this can produce on both sides of the ocean. The causes of migration are manifold, and are also related to each other, so that by intervening in one dimension, consequences are generated in the others. Restricting the number of people entering via a border, for example, can generate a redirection of flows and, therefore, an increase in number entering via another border. Hence the importance of knowing and considering the consequences beyond a specific country of the measures taken cannot be overestimated. This multidimensional approach to migration matches well the new approach to development as a multidimensional phenomenon put forward in the seminal joint CEPAL/OECD/EC-DEVCO document *Emerging challenges and shifting paradigms: New perspectives on international cooperation for development*, just published in October 2018.

#### *Regional view of humanitarian crises*

The case of Venezuelan migration sparked as a consequence of the political and economic crises raises the fundamental question of how to approach this exodus from a regional perspective and how the efforts of each country could be coordinated.

#### *Incorporation of migration issues in regional agreements of diverse nature*

On the other hand, the studies reviewed underline the need for embedding the issue of migration into the different sub-regional integration processes. Due to the interdependence of migration movements with areas such as production systems and labour markets, trade policies, among others, it is necessary that this issue be part of integration agendas focused on economic and productive, political, social, cultural and environmental spheres.

#### *Strengthening the principle of free movement*

Progress in this area in LAC has not been taken over from or supported by EU – CELAC Summits and Declarations, despite the fact that the EU has such a long and broad experience in regional integration and free movement of people. It is a topic both regions can collaborate on.

Within South America there are certain setbacks, produced by national regulations, that hinder or slow down migration within the region, as is the case of Chile, a country that has not ratified the residence agreement with all Mercosur countries.

## 5.2 IN THE AREA OF INFORMATION AND DATA COLLECTION

### *Strengthening information systems*

A recognised element for an agenda of bi-regional cooperation is the need to strengthen and improve the information systems available, in order to have up-to-date data on the migration situation. There is room for a desirable and necessary EU collaboration to support the countries of Latin America with the production of data and the generation of statistics. The implementation of systems to share information is an area that can be developed in the short term. One aspect that should be developed with greater force is the generation of indicators and the production of data based on administrative records.

### *Following up on agreements adopted within the framework of regional integration organisations and forums*

The EU-LAC countries have signed and made various commitments in terms of the protection of the rights of the migrant population. It is extremely important to monitor the various agreements and identify the main problems that make it difficult to move forward with a real agenda for the protection of rights.

### *Generation of inclusion indicators of migrant population*

The agreements signed and ratified must be translated into a series of indicators that allow for continuity and evaluation of the results of the public policies implemented.

## 5.3 STRENGTHENING INCLUSION

### *Comparative analysis related to the labour market integration of migrants*

The labour dimension is key to the process of inclusion of migrants in the society they migrate to. It is essential to have comparative information regarding the type of inclusion experienced by these groups, both in Latin America and in Europe. In turn, it is necessary to identify the main problems that hinder labour market integration as well as to understand how labour markets are segmented along the lines of nationality and thus to unveil how migrants are de facto discriminated against in local labour markets despite formally non-discriminatory legal provisions.

### *Comparative analysis regarding legal and real access to social protection systems*

The majority of national legislations establish universal access to rights (with the exception of certain conditions in some countries). Despite this, the studies and research reviewed show a very different situation, in which migrants do not manage to access the protection systems,

either because they are in an irregular situation or due to fear, to previous experiences of discrimination, or to a lack of information. In this sense, it is essential to have comparative analyses to identify the current situation and the main difficulties in achieving these objectives.

*Comparative analysis on access to health and education rights of the migrant population irrespective of their immigration status*

Most laws guarantee access to health and education; however, there is evidence that the migrant population does not access these under the same conditions as the local population. Higher rates of dropout and turnover in education, lower access rates to university education, and difficulties in accessing health services account for a reality where migration is emerging as the new axis of inequality in contemporary societies.

*Participation of civil society in the regional and local discussion forums in the various areas of cooperation*

It would be of great benefit to incorporate civil society organisations, as well as other non-state actors, into the discussion and elaboration of proposals on migration policy, especially in regional integration organisations like CELAC.

*Share good practices in policies of integration and inclusion*

National policies and legislations in Latin America, and the common migration policy in the EU focus on the construction and reinforcement of borders (who can enter the territory and how), but to a lesser extent on policies for inclusion. There is room for mutual learning about the implementation of policies for the inclusion of migrants, not only through regularisation processes, but also in labour markets, recognition and validation of educational degrees and diplomas, access to services, and the promotion of inclusive citizenships.

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## FOCUS AREA III - TERRITORIAL COHESION - A CRITICAL ANALYSIS OF EU-LAC APPROACHES AND REGIONAL POLICY

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### 1 INTRODUCTION

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Territorial perspectives have reconfigured the way development and cooperation are addressed. They have not only contributed to highlighting the role that institutional and ecological dimensions play in socially and culturally diverse contexts but have added methodological criteria to address heterogeneity from a complex developmental perspective. While for the European Union (EU) this perspective has been discussed as “territorial cohesion”, in Latin America and The Caribbean (LAC) it has been known as “territorial development”.

Territorial cohesion is, blended with social and economic cohesion, a major EU goal contributing to social inclusion across all Member States. It is usually defined as a set of principles for harmonious, balanced, efficient and sustainable territorial development. Furthermore, it aims at the correction of socio-economic imbalances in a given territory. From an institutional perspective, during the past years, territorial cohesion has been promoted as part of several EU cooperation initiatives in Latin America and The Caribbean (LAC). Nonetheless, given that territorial cohesion has somehow become a polysemic term, a critical reflexion on its contributions and effects on policy-making is required.

Focus area III of Deliverable 5.3 of the EULAC Focus project therefore focuses on analysing the similarities and differences between the EU’s territorial cohesion perspective and approaches developed in LAC. The goal is to explore the former’s influence on the design and implementation of programs in the LAC region. In sum, this part addresses the discussion about the similarities and differences between both concepts in the light of the intertwined relationships among regional perspectives (EU concept of territorial cohesion), bi-regional development projects and national policies with emphasis on LAC approaches to territorial cohesion.

### 2 METHODOLOGICAL ASPECTS

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#### 2.1 RESEARCH OBJECTIVES

The overall research objective of this part is to analyse the influence of the EU perspective on territorial cohesion in LAC with emphasis on: (i) knowledge generation, (ii) program and project design and implementation, and (iii) perspectives and challenges, in dialogue with relevant regional approaches such as territorial (rural) development.

Moreover, the part pursues the following specific objectives:

- *Knowledge generation:* Identify how the EU perspective on territorial cohesion has evolved over time and to what extent it relates to the territorial development approach discussed in LAC.

- *Program and project design and implementation:* Contrast how the EU perspective on territorial cohesion has been applied in a set of programs and projects in LAC by following a case study methodology.
- *Perspectives and challenges:* Propose a research agenda on territorial cohesion for LAC with emphasis on opportunities and limitations based on research results and an expert consultation.

## 2.2 RESEARCH METHODOLOGY

This exercise follows a five-step methodology (see Figure 5). The study was mainly based on content analysis of relevant documents and reports on territorial cohesion. In addition, a total of 6 interviews were conducted. The criteria for the selection of key informants included: (i) familiarity with the territorial approach, (ii) knowledge about the design, implementation and/or evaluation of relevant LAC programs, projects and/or policies on the subject, and/or (iii) experience/exposure to the decision-making processes regarding LAC regional policies.

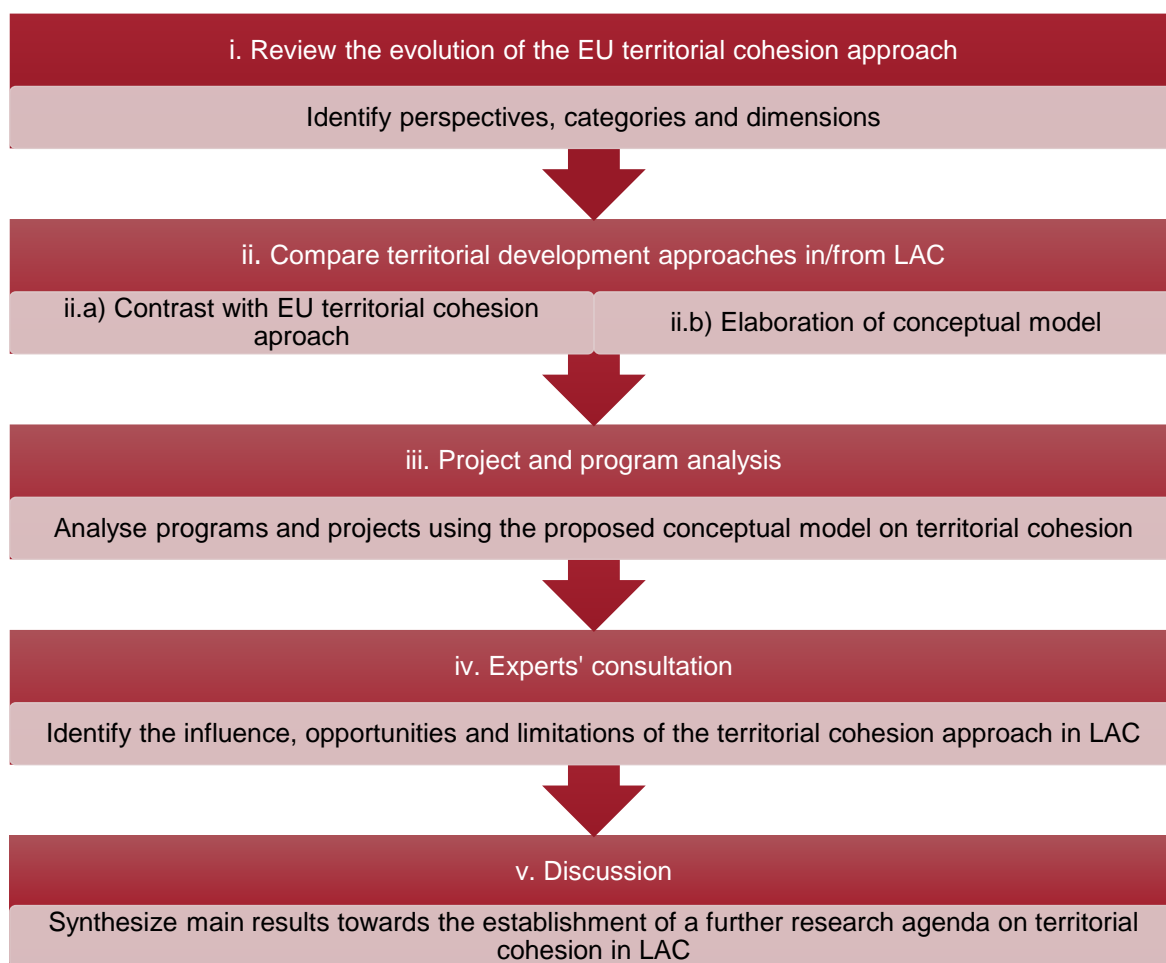


Figure 5: Research methodology for the analysis of territorial cohesion in EU-LAC. Own elaboration.

## 2.3 RESEARCH STEPS

### *i. Review the evolution of the EU territorial cohesion approach*

As a European-based concept, it is important to start this task defining how the EU conceives territorial cohesion and how it has developed throughout the years. The task focused on the perspectives that are nowadays discussed in Europe and identified main categories and dimensions associated to the approach.

### *ii. Compare territorial development approaches in/from LAC*

During the last decades, the territorial development approach has gained importance in the design of social policy in LAC. This task consisted on the revision of how this approach has been conceptualized. In connection with the previous task, a comparison was carried out between both approaches in order to identify potential similarities and differences among them. Moreover, this task allowed the elaboration of a conceptual model that was used to analyse the selected case studies.

### *iii. Project and program analysis*

In order to understand how the territorial cohesion approach has been taken to the field, an analysis of development projects and programs was made. This exercise allowed to recognize the trajectory of the concept within the LAC reality and how it has developed and, eventually, been modified. The selection of projects and programs was based on the following criteria: (i) inclusion of the (territorial) cohesion approach in the design, (ii) main location in LAC countries, and (iii) EU support through development cooperation and/or regional policy. Five projects and/or programs were selected including CESCAN, EURO-Social, EURO-SOLAR, URB-AL and URBELAC.

### *iv. Experts' consultation*

To further analyse the influence of the territorial cohesion approach in LAC, at the preliminary stage, three experts were consulted regarding how this approach was reflected in the selected cases<sup>51</sup>. It was expected that 6 to 8 in-depth interviews would be further conducted to provide relevant evidence about contextual factors that explained the implementation of the programs, as well as the lessons derived from them with emphasis on the influence they had on the design and/or implementation of regional/national policies, and what are the main opportunities and limitations encountered. Unfortunately, despite several efforts made throughout the study, it was not possible to identify and/or contact relevant informants to complete this task<sup>52</sup>.

### *v. Discussion*

This last step consisted in a final discussion about the development of the territorial cohesion approach in LAC. Based on research findings (i.e., literature review, case studies and experts' consultation), possible areas and feasible strategies for intensified EU-LAC collaboration were identified and further topics for future research were outlined especially as they relate to cross-cutting dimensions such as mobility, diversity, inequality and sustainability.

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<sup>51</sup> Due to their past/current positions, experts asked to be treated anonymously.

<sup>52</sup> Efforts included searching the internet for relevant institutional contacts/sites, asking EULAC Focus colleagues for potential informants, exploring potential informants through our European counterpart (ZSI), sending several emails to different potential informants, contacting the EU Mission in Lima, etc. None of these venues rendered positive results.

## 3 RESULTS

### 3.1 TERRITORIAL COHESION – AN EVOLVING EU CONCEPT

#### 3.1.1 The historical evolution of EU cohesion policy and its territorial component

The establishment of EU territorial cohesion policy must be traced back to the Single European Act (signed in 1986 and entered into force the following year), which introduced a new chapter on Economic and Social Cohesion, whose first article – article 130 a - states that “In order to promote its overall harmonious development the Community shall develop and pursue its actions leading to the strengthening of its economic and social cohesion. In particular, the Community shall aim at reducing disparities between the various regions and the backwardness of the least-favoured regions”. While measures and instruments to achieve this goal may have changed in thirty years, the goal itself remains at the centre of modern EU cohesion policies constituted by social, economic and territorial dimensions (Davoudi, 2005; Ianos et al., 2013; Dijkstra, 2014; Mederios, 2016). Cohesion policy was one of the main results of the accession to the then European Economic Community of Greece, Spain and Portugal (Dijkstra, 2014: 179). The agenda included measures like multi-annual programming, strategic orientation of investment, concentration of support on the poorest parts of the EU and the involvement of both local and regional partners (Dijkstra, 2014: 179).

As a consequence, some of the already existing European Community Funds (ERDF-European Regional Development Fund, ESF-European Social Fund, EAGGF - European Agriculture Guidance and Guarantee Fund) took also into account fostering economic and social cohesion in the EU, and a new Fund, the Cohesion Fund, was set up, which explicitly brought territorial cohesion policies to the centre of the EU agenda in both the economic and the social realm. In the context of EU enlargement and the growing disparities related to this process, cohesion policies acquired a renewed importance as a measure of compensating them.

However, it was not until the Amsterdam treaty of 1997 that territorial cohesion was explicitly integrated in the EU agenda (EC, 2008: 7; Medeiros, 2016: 15). Article 7d mentions the territorial component of cohesion and is therefore the first legal document that directly refers to territorial cohesion (EC, 1997: Article 7d), but it was not until the Treaty of Lisbon – signed in 2007 – that the concept was fully recognized in the legal framework of the EU. Article 2 of the Lisbon treaty states that the EU shall “promote economic, social and territorial cohesion, and solidarity among Member States” (EC, 2010: Article 2); and the qualification “territorial” is added to “economic and social cohesion” as the name of Title XVIII of Part III of the TFEU. The basis for the incorporation of the concept of territorial cohesion were various documents produced by different EU or MS institutions that urged to put territorial cohesion at the centre of future EU cohesion policy (Mederios, 2016: 7). The most important documents produced in this regard were the European Spatial Development Perspective (ESDP), the Territorial Agenda of the European Union (2007 and subsequently 2011) and the EC Green Paper on Territorial cohesion (2008).

These documents also show the arising tensions that accompany the field of territorial cohesion. While the ESDP and the Territorial Agendas are mainly elaborated by the ministers



from EU member states in consultation with the European Commission, the Green Paper on Territorial Cohesion has as only author the latter. This illustrates the conflict of competences evolving around policies of territorial cohesion: while the Commission has historically been a driving force in the development of regional policies in the Community, later in the Union, the aim of its politics was to strengthen the EU competences and its own powers in their exercise, by e.g. enlarging available funds for regional development projects that complied to the institutional community goals of cohesion (Manzella & Mendez, 2009: 25). Besides the actor constellation as a main shaping factor of EU cohesion policy, and especially territorial cohesion policies, the key explanatory factors of the rise of EU cohesion policy were internal policy dynamics, enlargement procedures, market unification and trends of devolution and decentralisation (Manzella & Mendez, 2009 : 23).

Arguably, EU cohesion policies have to be put into the context of tensions between state orientated compensation and free market de-regulation policies which unravel the constant struggle between competitiveness and cohesion that takes place in the realm of the EU single market (Davoudi, 2005: 686; Manzella & Mendez, 2009: 24). Consequently, EU cohesion policy is seen by the European Union as a measure of compensation for regions which are likely to face economic and social rejections as a result of EU integration and the single market (Dijkstra, 2014: 205). Contrary to the predominant neo-classical assumption that capital would move to less developed regions all by itself, EU enlargement and integration showed that additional compensatory measures were necessary to tackle the movement of capital to places of economies of scale (Dijkstra, 2014: 205; see also: Krugman, 1980). The role of territorial cohesion hereby is to ensure a focus on 'space' as a relevant category in the balanced development of the EU. The concrete objectives, challenges and instruments of territorial cohesion have hereby varied in the last decades and will be explained in the following section.

### 3.1.2 Objectives, challenges and instruments of EU Territorial Cohesion policy

Quite surprisingly, the ESDP envisioned territory as a key feature of the EU due to the concentration of cultural diversity in a small area. This was considered as a factor that distinguished the EU from other regional integration projects like Mercosur, which are also shaped by cultural diversity but cover a larger territory (Council of Ministers responsible for Spatial Planning, 1999: 7). Indeed, the document begins by asserting:

*"(1) The characteristic territorial feature of the European Union (EU) is its cultural variety, concentrated in a small area. This distinguishes it from other large economic zones of the world, such as the USA, Japan and MERCOSUR. This variety – potentially one of the most significant development factors for the EU – must be retained in the face of European integration. Spatial development policies, therefore, must not standardize local and regional identities in the EU, which help enrich the quality of life of its citizens"*

Therefore, cohesion policies of the EU should encompass a territorial impact perspective that supports spatial development in three dimensions (Council of Ministers responsible for Spatial Planning, 1999: 19–20):

1. Development of a polycentric and balanced urban system and strengthening of the partnership between urban and rural areas;
2. Promotion of integrated transport and communication concepts. Parity of access to infrastructure and knowledge should be realised gradually. Regionally adapted solutions must be found for this;

3. Development and conservation of the natural and the cultural heritage through wise management as contribution to the preservation and deepening of regional identities and the maintenance of the natural and cultural diversity of the regions.

This approach to spatial development, the ESDP, elaborated by the responsible ministers of the Member States -MS- of the EU, is considered as a basis for the orientation of Territorial Cohesion policy in the EU (Davoudi, 2005; Mederios, 2016). Even though this document was produced by the MS in a joint effort, the European Commission – especially the Directorate General for Regional and Urban Policy - played a significant role in enabling this process without having any direct legal competence on most of the issues treated in the document. (Faludi, 2010: 4)

The next important step in establishing territory as a core component of EU cohesion policies was the “Green paper on Territorial Cohesion – TC-” by the European Commission, which coined that territorial cohesion is about “the harmonious development of all places and about making sure that their citizens are able to make the most of inherent features of these territories” (EC, 2008: 3) and which identifies TC as a contribution to the “economic competitiveness and capacity for growth” of the EU (EC, 2008: 7). While a Green Paper is not a legally binding document, it puts important topics on the political agenda and strives to evoke discussion and debate between various EU and Member States actors. The green paper shows the inherent connection of TC to a growth paradigm that aims to include criteria of ecological and sustainable development and to make every region in the EU an active player in the growth and jobs agenda of the EU (EC, 2008: 7, see also: EC, 2010b). This definition illustrates that TC cannot be understood as an area separated from economic and social cohesion but rather has to be seen as a dimension that is relevant in every form of policy trying to achieve cohesion in the EU territory (Mederios, 2016: 9). The Green Paper lists various policy fields that are of relevance to Territorial Cohesion policy including transport policy, energy policy, infrastructure policy (e.g. high-speed connection to the internet), agriculture policy and employment strategies (EC, 2008: 10). But as the European Union does not have the exclusive competence in these policy fields, the issue of TC remains a matter of shared competence with the MS.

Therefore, the evolution of the concept of Territorial Cohesion was mainly, at the beginning, the result of interaction between Member States and the European Commission. This has, to some extent, changed with the entry into force of the Lisbon Treaty in 2009. While there is still no significant competence attributed to the EU through the treaty in the dimension of spatial planning, the treaty includes explicitly territorial cohesion as an explicit principle of EU cohesion policies. However, Member States’ action remains the core driving force for Territorial Cohesion in the EU (Faludi, 2010; Mederios, 2016). In this sense, the revision in 2011 of the 2007 “Territorial Agenda of the European Union” by the Ministers responsible for Spatial Planning and Territorial Development of the European Union (2011: 7–8), specified, in a 2020 perspective, the following priorities for development of the EU (Ministers responsible for Spatial Planning and Territorial Development of the European Union, 2011: 7–8):

1. Promote polycentric and balanced territorial development;
2. Encouraging integrated development in cities, rural and specific regions;
3. Territorial integration in cross-border and transnational functional regions;
4. Ensuring global competitiveness of the regions based on strong local economies;
5. Improving territorial connectivity for individuals, communities and enterprises;

## 6. Managing and connecting ecological, landscape and cultural values of regions.

While these objectives are obviously based on the guidelines set out by the ESDP, it is noteworthy that the topic of global competitiveness takes a more pronounced role in the Territorial Agenda 2020. This is in accordance with the Europe 2020 strategy, which puts its focus on smart, sustainable and inclusive growth. At the same time, the Agenda refers to solidarity as a main motivation for implementing cohesion policies in the EU to tackle regional interdependencies and to foster networking, cooperation and integration between different regions. (Ministers responsible for Spatial Planning and Territorial Development of the European Union: 3). This policy framework of Territorial Cohesion is hereby developing in the context of different challenges which include the increased exposure to globalisation, segregation of vulnerable groups (e.g. concentration in certain areas), energy challenges or the loss of biodiversity (ibid., pp. 4-5). To tackle these challenges there are a number of instruments and mechanisms put in place, both by the European Commission and the Member States.

These instruments are under shared competences between the Member States and the EU. This means that the territorial cohesion objective is pursued by a variety of mechanisms and initiatives, which for example combine EU funding with programmatic MS initiatives. The most important instruments through which the EU exercises its competence for actions in fields related to spatial development are the Community Competition Policy, Trans-European Networks, Structural Funds, Common Agriculture Policy, Environment policy and Research, Technology and Development Policy as well as loan activities of the European Investment Bank (Council of Ministers responsible for Spatial Planning, 1999: 13).

The main specific instrument to foster spatial development, territorial cohesion and trans-national cooperation, the INTERREG programme (dating back to an initiative of the ESDP), is financed by the European Regional Development Fund (ERDF). On the other hand, it is the MS who form the members of the Network of Territorial Cohesion Contact Points (NTCCP), which was set up to pursue the implementation of the Territorial Agenda 2020. INTERREG is arguably the most important mechanism to foster territorial cohesion, as it is a funding programme that explicitly links spatial planning with territorial cohesion objectives (Davoudi, 2005: 687; Council of Ministers responsible for Spatial Planning, 1999: 16).

Another programme established to foster the monitoring of spatial development and to provide evidence on the achievement of the territorial cohesion goal in the EU, is the European Spatial Observation Network (ESPON), which is also financed by the European Commission. Other programmes related to territorial cohesion are the Community-Led Local Development programme (successor of the Leader programme) and the Integrated Territorial Investment or URBAN (specifically targeted at cities). The wide range of funding instruments shows that territorial cohesion is a diverse field that encompasses multiple areas and requires the integration of various sector policies, which opens up potential for conflicts between different actors but at the same time allows integrating it in various policy fields (Faludi, 2010: 12). This diversity has implications for the implementation and measurability of the Territorial cohesion concept as well as for its role in external policy matters.

## 3.2 TERRITORIAL DEVELOPMENT – A LAC APPROACH IN DIALOGUE WITH TERRITORIAL COHESION

In the nineties, along with the territorial cohesion perspective developed by the EU, LAC proposed an approach dealing also with the territorial dimension. Experts in the subject named it “rural territorial development”. Its aim was to provide a comprehensive theoretical and methodological framework to deal with socioeconomic inequality, particularly in rural areas. To date, its contribution is reflected not only in the way development is conceptualized but also in the assumptions that shape several policies and programs which are currently designed and implemented in the region (FAO, 2007).

Historically, the territorial approach in LAC departed from a structural perspective. It emphasised that, to explain development and territorial inequalities, it was extremely relevant to analyse the set of systemic, historical and structural interrelations, specific to the form of insertion of LAC in the world economy and the productive structures associated to it (De Mattos, 1988). In the 1980s, this idea was complemented with the recognition of the endogenous potential available to the territories to generate development processes, for example, the capacity of social actors to create political projects (Boisier, 1988). In sum, the structural interpretation of regional territorial development and inequalities is based on: (i) a relational process: analysing both lagging territories and those with higher levels of development, (ii) conditions: evidencing the existence and persistence of structural aspects of productive and institutional generators and reproducers of inequalities; (iii) endogeneity: emphasising the influence of specific factors to each territory whose activation plays a strategic role in the possibilities of achieving development processes; and (iv) complexity and multi-level nature: recognising that these are processes linked to diverse dynamics that can contribute or restrict the possibilities of development of territories.

### 3.2.1 LAC – from outstanding economic growth to the persistence of inequality gaps

During the past decades, in general, LAC countries have exhibited positive economic growth rates. However, this has not necessarily been accompanied by the corresponding closure of inequality gaps (see Figure 6). These dynamics have reconfigured what is known as “development” in the region. Thus, in the 1970s, the production of knowledge around it was closely linked to the economic-productive component and the exploration of its determinants (De Janvry, 1981). Subsequently, in the 1980s, the discussions outlined the importance of local dynamics with an emphasis on grassroots organisations and the emergence of new actors and movements (Long, 2007). The 1990s focused on generating more comprehensive approaches that would account for the complex links between productive, institutional, cultural and political spheres. This leads, for example, to the sustainable livelihoods approach (Chambers & Conway, 1991). Finally, the arrival of the new millennium is increasingly important to integrate these debates into the dynamics of public policy formulation and intervention in the territory (FAO, 2013).

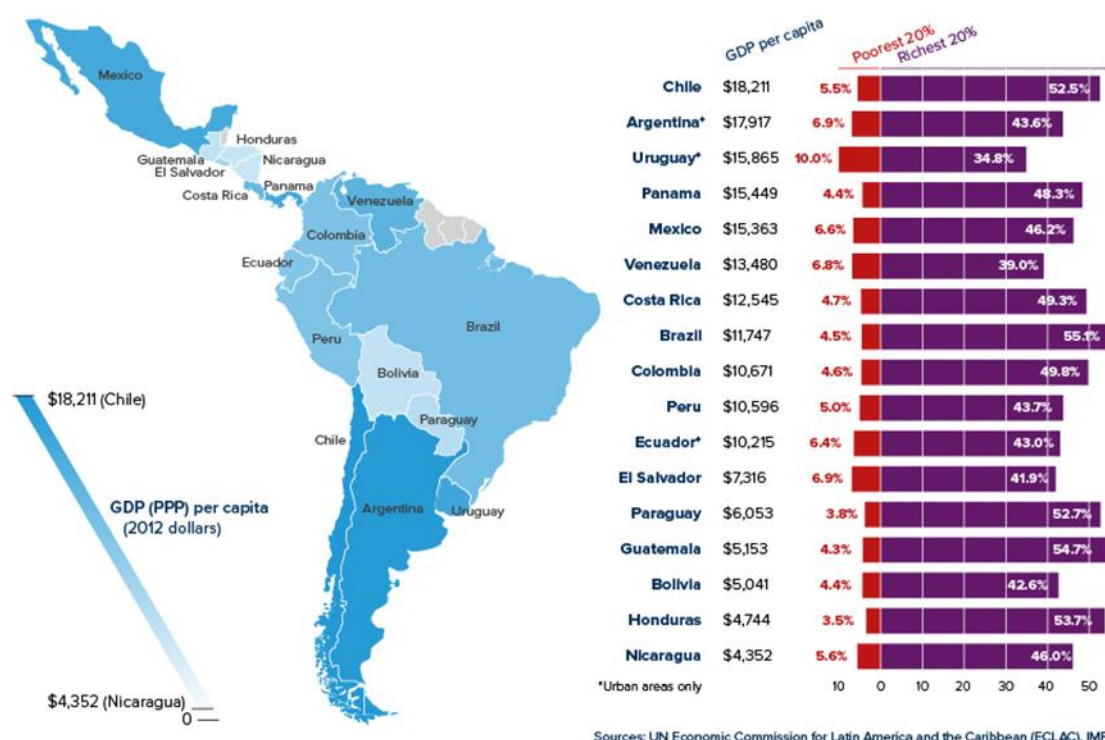


Figure 6: LAC: Growth and inequality patterns. Source: Oxford Analytical, 2014

Due to this context of social change, development, according to this approach, implies the recognition of a diversity of dynamics, actors and institutions that operate in a territory. Thus, from a territorial perspective, inequality and exclusion constitute distinctive features of the most vulnerable areas and, when intertwined, generate enormous restrictions - following Sen (2000) - on the capability of the population to activate development strategies that they have reasons to value because they promote the exercise of rights, autonomy and, ultimately, the extension of their freedom. To make this idea even clearer, following Sen's capabilities approach, rethinking rural development implies: (i) recognising the trajectory of what has been transposed in terms of approaches, categories and instruments, (ii) analysing the tensions between theory and practice of rural development at the regional level and the resulting lessons, and (iii) to reflect systematically and critically on what inequality and exclusion imply in the territory as distinctive features of "the rural" (Vargas, 2017).

However, alongside the conceptual reflection on the changes that the notion of development has experienced in LAC, it is essential to analyse the context. Thus, if the available figures are examined, the findings suggest that, despite strenuous efforts to implement policies and development programs targeting the most vulnerable populations, gaps in inequality and exclusion between urban and rural areas are maintained and, in some cases, have increased. In Latin America, out of the 16 countries studied, only 3 have monetary rural poverty and extreme poverty rates below 10% (see Table 5). The picture is particularly devastating when we observe that, out of these countries, 7 reach rural poverty rates that exceed 50% - among them are Colombia, Peru, Guatemala, among others.

Country	% Employed in condition of			
	Poverty		Indigence	
	Urban.	Rural	Urban	Rural
Uruguay (2009)	6	3	1	1
Chile (2009)	6	4	1	2
Costa Rica (2009)	9	9	2	3
R. Dominicana (2009)	25	28	9	11
Brasil (2009)	13	31	2	11
Panamá (2009)	8	34	2	15
México (2008)	21	35	4	14
Ecuador (2009)	30	38	9	18
El Salvador (2009)	32	47	8	18
Colombia (2009)	28	52	6	20
Perú (2009)	16	55	2	24
Guatemala (2006)	33	57	10	32
Paraguay (2009)	38	60	12	40
Nicaragua (2005)	46	63	15	38
Bolivia (2007)	35	73	12	57
Honduras (2007)	47	73	18	55

Table 5: LAC: Poverty and extreme (indigence) poverty rates, 2010. Source: FAO, 2013

In this context, due to their different implications, it is crucial to emphasise that poverty and inequality are complementary categories and, therefore, there is not necessarily a positive correlation between them (World Bank, 2016). The case of Latin America illustrates this clearly (CEPAL, 2008, 2010, 2012, 2014, 2017). Thus, although - over the last few years - there has been a significant decrease in the overall rates of monetary poverty, inequality does not decrease in the same way. In that sense, the evolution of the Gini index suggests that, for the period 2012-2014, it has been reduced only by 0.002 points (CEPAL, 2016). On the other hand, although the poverty and indigence rates have been reduced by half, there is still a third of the region's population living in poverty, that is, without sufficient resources to meet their needs. In addition, another relevant indicator related to inequality refers to the distribution of income. In Latin America, the richest 20% of the population has access to more than half of total income while the poorest 20% have access to only 4% (see Figure 7).

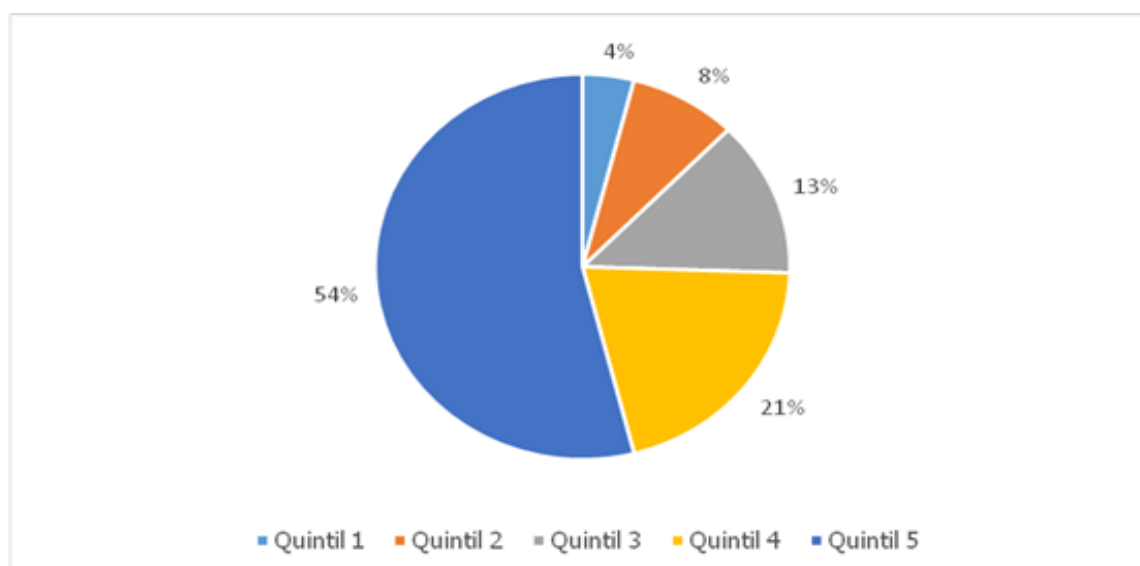


Figure 7: LAC: Income distribution by poverty quintile. Source: CEPAL, 2016



### 3.2.2 Territorial (rural) development: a perspective to deal with inequality

In general, Rural Territorial Development (RTD) is understood as a process of complementarity between productive transformation and institutional development in a given rural space. The main purpose of this process is to contribute to the reduction of poverty and inequality. On the one hand, the productive transformation seeks to competitively and sustainably articulate the economy of the territory to dynamic markets and, on the other hand, institutional development has the purpose of facilitating interaction and coordination between local actors and relevant external agents, as well as increasing opportunities for people to participate in the process and its benefits (Schejtman & Berdegué, 2004). The conceptual, operational and institutional assumptions of the approach are discussed below.

Conceptually, the RTD approach takes distance from traditional approaches to rural development. These approaches have been increasingly inefficient in addressing the magnitude and intensity of changes in rural societies. Thus, unlike these, RTD emphasizes the processes of change and understands rural spaces as dynamic and connected with urban centres. In this way, the approach has a double objective. On the one hand, it theoretically aims to become a framework for analysing changes in the Latin American rural world and, on the other hand, it suggests a model of intervention to generate development and reduce rural poverty based on an action research logic which aims at improving the design and implementation of vulnerable population-centred interventions. In short, the approach moves away from “macro” projects that consider populations as being homogenous and “micro” projects that are limited in scope and lack sustainability (Hernández Asensio, 2012: 32-33).

Operationally, the approach suggests that the concept of *territory* does not only refer to a physical space. In that sense, the territory must be considered as a social construction that can be defined by governmental or private entities, as well as by the civil society. The criteria for delimiting a territory can be objective (geographical and natural criteria, origin, economic and social factors), subjective (perception and interests of local actors) or a combination of both. Likewise, delimiting a territory is associated to the scope of participation of all stakeholders. As such, this participation might be generated through the construction of channels of communication between government democracy and local actors. In this way, the RTD approach encompasses territory as the basis of collective identity (territorial identity), the physical space where the daily activities of the population are reproduced (territorial dynamics) and policy initiatives. The territory is, under these assumptions, conditioned by and from the actions of the actors and their environments (Claverías, 2008:31).

Institutionally, RTD starts from a plan agreed upon between the government, the private sector, international cooperation and the civil society that promotes the desired changes in organisations and productive and economic processes. As part of it, given the historical role that civil society has played in advancing democratic practices, as well as social rights and public services for vulnerable populations in rural areas, the role of civil society is fundamental (Sorj, 2012). It must act with autonomy, particularly, proposing its own forms of organisation, visions and strategies. In addition, it must exercise so-called “integral citizenship”, that is, its political, economic, social and cultural rights, and activate mechanisms of “quality participation”, in other words, promote that citizens be capable of proposing and building local and regional development (Claverías, 2008: 36).



In sum, as the RTD approach aims to achieve productive and institutional development in rural populations, it emphasises the importance of taking into account the dynamics and strategies of the rural population to understand the characteristics of the territory. It also considers the way in which these characteristics are articulated with the economy and markets. In addition, it prioritises cooperation and collaboration between different actors as a mechanism to achieve territorial development. Ultimately, the approach allows understanding the productive and institutional strategies from a perspective that considers the importance of the agreement and articulation between different actors in the territory.

Moreover, given that the territorial approach is innovative in several senses - conceptual, operational and institutional- it has undergone in Latin America a rapid theoretical evolution that is closely linked to the one that the term has also had in Europe (see Figure 8). Indeed, outside the framework of the European Union, the pioneer approach was defined in Europe as “territorial ordering” (Consejo de Europa, 1983). This notion is defined as one that seeks a balanced development between regions and a physical organisation of space based on the analysis of the individual and institutional decisions that converge in the territory, the limitations of the market, the peculiarities of the administrative systems and the diversity of socio-economic conditions and the environment. Later, the notion of “territorial cohesion” was introduced in the EU framework, largely characterized and discussed in Section 3.1.

At present, in Latin America the notion of RTD has been enlarged and encompasses two additional elements - it includes an intercultural perspective and establishes a dialogue, from a multiple-vulnerability perspective, with other aspects of social life.

Regarding the intercultural perspective, current RTD approaches developed within regional cooperation institutions such as the International Fund for Agricultural Development (IFAD) and the *Centro Latinoamericano para el Desarrollo Rural* (RIMISP) suggest that, within the framework of social transformation processes, cultural identity is an asset that can favour the generation of income alternatives and, at the same time, facilitate the process revaluation of local knowledge and beliefs within the territorial context. All this within a framework of well-being (Ranaboldo 2006). Thus, some of these alternatives include: (i) identification and dimensioning of the cultural heritage endowment - tangible and intangible - available in the territory and feasible to be valued; (ii) stimulus to (re) creation and innovation of processes and (iii) construction and promotion of a territorial seal that allows differentiating, recognising and positioning the territory in front of others, and making it "attractive", both for different types of "markets" and for the actors themselves, (iv) strengthening community-based governance, and (v) enhancement of the systemic linkage between cultural and natural biodiversity.

Along with the above, RIMISP has strengthened the debate on RTD in Latin America by focusing poverty and social inequality from a territorial perspective. Its relevance is associated with the fact that, unlike other approaches, it allows a clearer approximation to the rural sectors of Latin America with emphasis on understanding their different limitations and weaknesses. As part of these efforts, RIMISP has produced three Biennial Reports (2012, 2014, 2016) that, among other contributions, have contributed to identifying the profile of the enormous territorial gaps that - in relation to urban population - rural population experiences in dimensions such as health, education, citizen security, income, economic dynamism and gender equality (RIMISP, 2012). The latest report also proposes a Territorial Equity Index that measures the gaps in a series of dimensions that are key for explaining the opportunities that

Latin American households and communities have for personal development and access to an adequate quality of life, based on the place where their inhabitants are born or live. The results not only allow comparing territories within each of the ten countries included in the study (Bolivia, Chile, El Salvador, México, Peru, Ecuador, Nicaragua, Colombia, Brazil, and Guatemala) but also, for the first time, comparison between countries. The dimensions considered in the index reflect the combined contribution of economic growth and social inclusion policies to development processes (i.e., territory's dynamism and economic activity; investment in human capital; and availability of income for people and households). The discussion has also contributed to the understanding of the territorial factors (i.e., lack of quality public services, poverty, institutional and governance-related patterns) that generate these gaps, as well as the identification of those that could potentially contribute to their reduction (RIMISP, 2016; IFAD & RIMISP, 2017). Consequently, the findings constitute a significant contribution to the formulation of policies and interventions with a territorial approach aimed at favouring the most vulnerable populations settled in rural areas (Vargas, 2017).

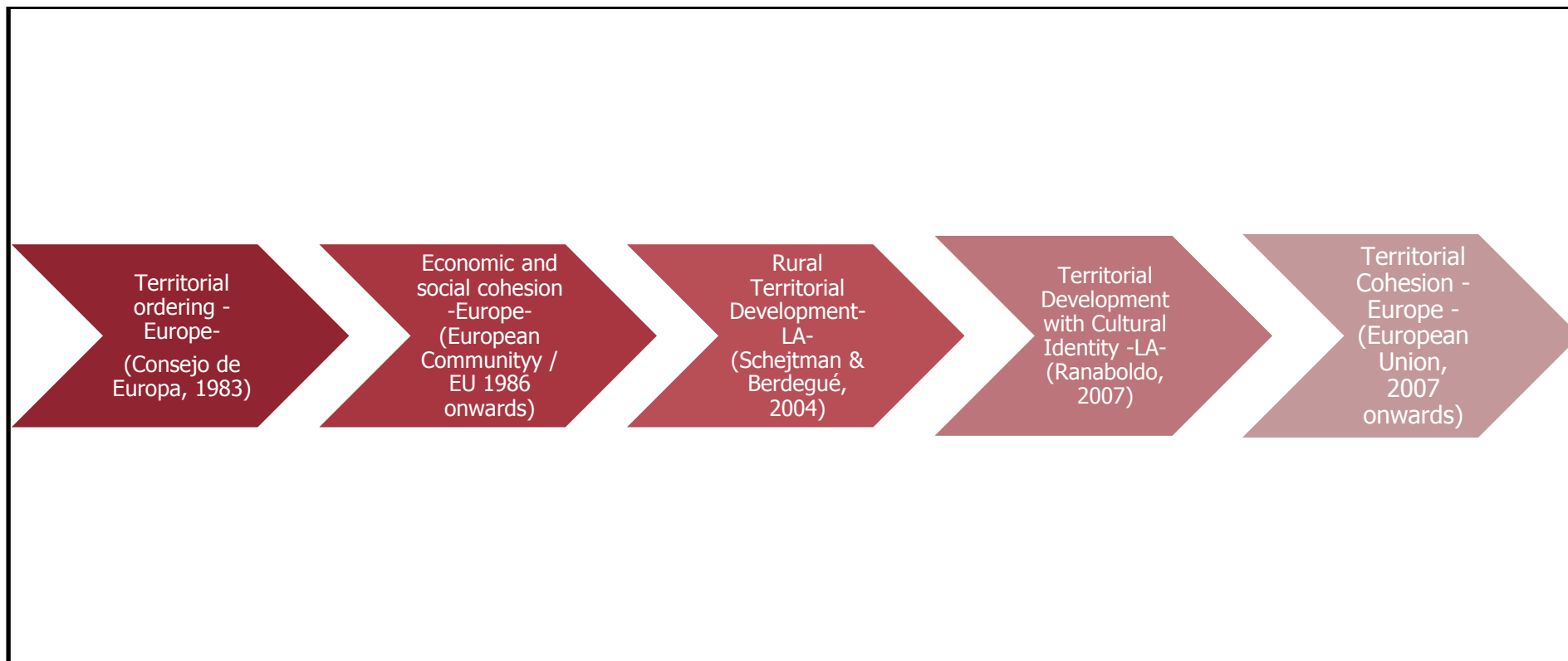


Figure 8: Evolution of territorial-related perspectives (1983 – 2008)

### 3.2.3 Territorial development and its policy-related implications

In addition to the above, RTD has also a number of implications in the ways policy is designed and implemented (Remy, 2014). In particular, three of them are relevant:

- Analytical implications. RTD contributes by adding territorial variables for the analysis. This is particularly relevant as economic growth does generally not follow a homogenous trend. Moreover, these implications are relevant because “conventional” development approaches and categories do not allow to systematically approaching heterogeneity and/or diversity.
- Measurement implications. Departing from a territorial approach, there is evidence of change in public infrastructure and access to services. These trends suggest the need of reconfiguring the way policy intervenes in the territory. On the one hand, public investment explains improvements in access (supply component) but, on the other, territorial inequality (altitude, rurality) suggests that are gaps that remain wide open.
- Policy knowledge-generation implications. The analysis of the effect of public interventions in the territory is key. To understand the current dynamics implies challenges for research and the formulation of public policies. Thus, the territorial approach contributes in three ways: (i) it embraces the dynamic nature of social processes to address inequality through closing gaps, (ii) contributes to the understanding of heterogeneity and its management in the territory recovering the notion of cultural identity, and (iii) it offers an alternative to the sectoral logic that is based on the intersectoral articulation for the allocation, use and accountability of public resources.

### 3.2.4 Territorial approach in EU-LAC cooperation policies

As mentioned above, in the nineties an increasing number of governments in Latin America -most significantly Mexico, Brazil and Chile- started to rethink development as inequalities did not subside despite a decade of economic growth and poverty reduction (Zamora et al., 2015: 8). As social inclusion started to emerge as a strong approach in the region, by the end of the century, LAC and the EU strengthened their cooperation and new perspectives of development were introduced. Since the institutionalisation of EU-LAC bi-regional cooperation in the 1999 Rio Summit, the cohesion policy started quickly to gain relevance in the agenda of LAC countries; five years later, in 2004, the EU-LAC Guadalajara Summit positioned social cohesion as one of the main elements of bi-regional cooperation and acknowledged the importance to promote it (EU-LAC summit 2004: 7).<sup>53</sup>

As discussed in Section 3.1, territorial cohesion in the EU is genuinely connected to economic and social cohesion, which strongly ties it to the aim of increasing social inclusion within the EU and its Member States. This relation is expressed through a place-based approach towards social inclusion and to social models in general (Barca, 2009a: 7; Davoudi, 2005: 685) which becomes visible in the three following aspects (Barca, 2009a: 16-18):

1. Measurement of social inclusion must take into account place and context.

<sup>53</sup> For a more detailed elaboration of EU-LAC cooperation on social issues see: EULAC-Focus (2018): Research trajectories on social issues in the EU, (CE)LAC and beyond. How the social dimension of the EU and (CE)LAC frame EU-(CE)LAC social relations. See: [http://eulac-focus.net/private/Modules/Tools/EUProject/documents/66/D5.1\\_WP5-DI-66\\_Social-Issues\\_v13\\_1.pdf](http://eulac-focus.net/private/Modules/Tools/EUProject/documents/66/D5.1_WP5-DI-66_Social-Issues_v13_1.pdf).

2. Deprivations show a spatial pattern, i.e. institutions that provide social services are dependent on their local context and the local elites.
3. The policy effectiveness highly depends on place: regional context shapes the abilities of individuals and interventions have to take these territorial specificities into account.

These aspects are the yardsticks of the relation between social inclusion and territorial cohesion. The characteristics of territorial cohesion and social inclusion carry, nevertheless, inherent risks. First, territorial interventions (i.e. through EU funded programmes) can be used by local elites to further promote their interests. Secondly, paternalism poses a considerable threat as territorial interventions are likely to be designed externally and possibly ignore important local contexts (Barca, 2009b: 17–18).

As previously noted, social cohesion has been the dominant element in the social dimension of EU-LAC relations and still is. Nonetheless, in the last decade, the territorial dimension of cohesion has gained importance in cooperation. The bi-regional EU-CELAC summit in Brussels in 2015 stated that “sharing of experiences and knowledge on national policies of regional development, in pursuit of greater territorial cohesion within their countries” (EU-CELAC Summit, 2015: 14) should be an important goal for regional relations, especially as urban and sustainable regional development is positioned prominently in the Summit’s Declaration. Arguably, the declarations produced in these summits lack real effect in terms of policy changes in specific countries. Nonetheless, they reflect topics that are already of importance, or can gain it, in development cooperation or other projects funded by the competent European Commission’s Directorates General.

A notable initiative in this area is “URBELAC: Urban European and LAC cities”, implemented since 2011, which works towards sustainable urban development and exchange of experiences in the field of regional (urban) development. This initiative and the role of territorial cohesion in it will be further analysed below. Additionally, regional innovation systems, as institutional frameworks that support innovation in the productive structure of a region (Navarro, 2007: 6), are an aspect that can be of key importance in future EU-CELAC cooperation. Regional innovation systems aim at reducing spatial disparities through addressing territorial cohesion topics such as multi-level governance systems, marginalisation of rural and border areas and also territorial development in post-conflict situations (Hall & Lopez Sanchez, 2015: 7). These regional innovation systems projects have a strong component of cross-border and transnational cooperation. Since 2011, European Commission’s DG REGIO has supported several projects in Latin America (Brazil, Argentina, Chile, Peru) to exchange experiences between Latin American and European regional authorities and specialized agencies in policy setting, implementation and management with respect to clusters and SME innovation inducing policies.

These projects mostly try to make the experience of European institutions in regional innovation systems or cross border cooperation available to LAC counterparts. Hereby the EU integration model serves as a role model to enable similar process in LAC countries. However, as an increasing number of LAC countries adopt policies with a territorial approach, new experiences show the necessity to adapt these policies to LAC context. In this matter, LAC countries have a diversity of institutional contexts that leads to a difference in the emphasis of some strategies of these policies (Buitelaar et al., 2015: 12).

### 3.3 TERRITORIAL COHESION FOR (RURAL) REGIONAL DEVELOPMENT: TOWARDS A CONCEPTUAL MODEL

Addressing a dynamic territory imposes knowledge-related and development challenges. Thus, departing from the recognition of the particularities of the territory might contribute to this process. As a result of the analysis of the EU's territorial cohesion approach and the (rural) territorial development perspective in LAC, it is apparent that there are a number of aspects to be considered towards the understanding of (rural) regional development. Nonetheless, there are relevant differences that require to be stressed. While, in the EU, territorial cohesion is an instrument to foster trans-border cooperation and to bring all regions of the Union, ideally, to the same level, for LAC the cross-border component seems limited and RTD is configured as a national strategy. These aspects are particularly relevant as they are intrinsically connected to the policy of the EU to foster and support regional integration projects in other regions.

Furthermore, in terms of the strategic aim of each of these approaches, territorial cohesion emphasizes the disparity of development in the countries of the EU. Contrariwise, (rural) territorial development deals with the persistence of high levels of inequality within one country after a decade of economic growth and poverty reduction (Brazil, Mexico). In addition, major dimensions related to territorial cohesion are to promote a balanced and polycentric development, encourage integrated development between urban and rural regions, promote territorial integration in border regions and transnational operation, ensure the global competitiveness of regions based on economies, and strengthen territorial connectivity between individuals, communities and businesses. (Rural) territorial development stresses other aspects such as the need to address heterogeneity (incorporate and recognise the existence of other actors besides poor rural families), promote cross-sectorial articulation (articulate agricultural, industrial and service sectors), recognise multisectoriality of employment (incorporation of non-agricultural jobs as an object of actions aimed at raising productivity), overcome the urban-rural divide (understanding the links between spaces classically considered urban or rural not to stick only to rural) and institutionalisation (recognise the importance of institutions in the territory) (Shejtman & Berdegúe, 2004).

Based on these elements, a preliminary conceptual model of territorial cohesion for sustainable development is proposed to analyse regional development in LAC taking into account EU-inspired territorial cohesion dimensions (see Figure 9). Within a context of increasing competitiveness, ambiguous governmental interventions and increasing multiple inequalities, the model involves three dynamic dimensions – r/urbanisation, interculturalisation<sup>54</sup>, and institutionalisation. Each of these is further explored and operationalized in the analysis of selected case studies.

<sup>54</sup> "Interculturalisation" is used, instead of "interculturalism" in order to strengthen its meaning as "a policy and a process" and to keep closer to its Spanish form and meaning.

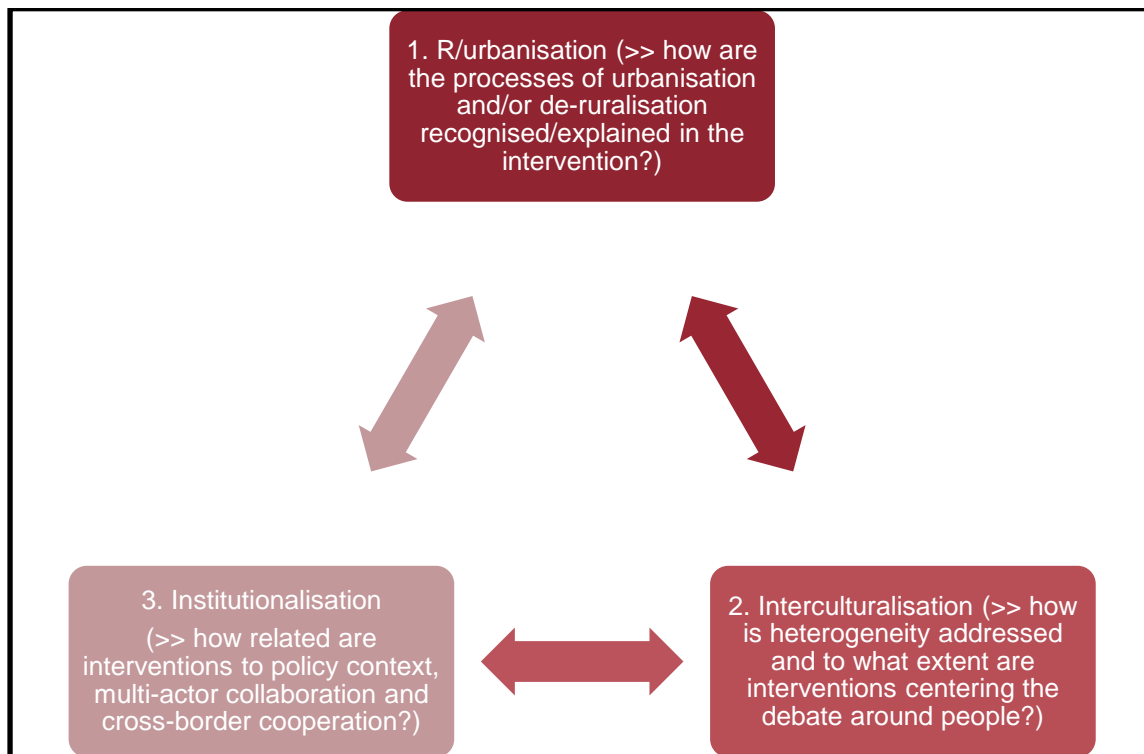


Figure 9: Proposed conceptual model. Own elaboration.

### 3.4 CASE STUDIES

Based on the methodological criteria explained above (i.e., (territorial) cohesion approach, location in LAC and EU support), five case studies were selected. They are: CESCAN<sup>55</sup>, EUROsocial<sup>56</sup>, EUROSOLAR<sup>57</sup>, URB-AL<sup>58</sup> and URBELAC<sup>59</sup>. Case description has been organized into three aspects – territorial timeline, strategic goals and relevant outcomes<sup>60</sup>.

#### 3.4.1 Territorial timeline

The beginning of the implementation of these five EU-promoted initiatives can be traced back to the mid-nineties (see Figure 10). URB-AL was the first one to start in 1994, the most recent ones are EUROSOLAR, CESCAN and URBELAC that began in 2008-2011. EURSocial began earlier but is still in place in its third phase.

As per their territorial scope, the selected cases show differences that have been categorised into three – (i) wide-scope country interventions (i.e., those covering the whole Latin America with a notorious involvement of a large amount of LAC countries) such as URB-AL and EUROsocial, (ii) mid-scope country interventions (i.e., those sub-regional – Andean- or covering some specific LAC

<sup>55</sup> <http://www.comunidadandina.org/cescanII/cescanII.html>

<sup>56</sup> <http://eurosocial.eu/en>

<sup>57</sup> [https://ec.europa.eu/europeaid/regions/latin-america/euro-solar\\_en](https://ec.europa.eu/europeaid/regions/latin-america/euro-solar_en)

<sup>58</sup> [https://ec.europa.eu/europeaid/regions/latin-america/urbal\\_en](https://ec.europa.eu/europeaid/regions/latin-america/urbal_en)

<sup>59</sup> [https://ec.europa.eu/regional\\_policy/es/policy/cooperation/international/latin-america/urbelac/](https://ec.europa.eu/regional_policy/es/policy/cooperation/international/latin-america/urbelac/)

<sup>60</sup> A rigorous analysis about the context in which these programs emerged would have been extremely valuable (e.g., framework, origin, institutional arrangements), Unfortunately, as explained above, this information was to be gathered through interviews that could be conducted.



countries) such as CESCAN EURO-SOLAR and CESCAN, and (iii) specific local interventions (i.e., those involving specific cities in the EU and LAC) such as URBELAC. The scope, aside from reflecting the logic and the strategic goals of the intervention, might also be associated to the type of impact they have had on policy making. While wide-scope interventions might have stronger impact due to the comparative evidence they collected and the heterogeneity they address, focused ones might be more effective in setting up the policy agenda around the issues they promote.

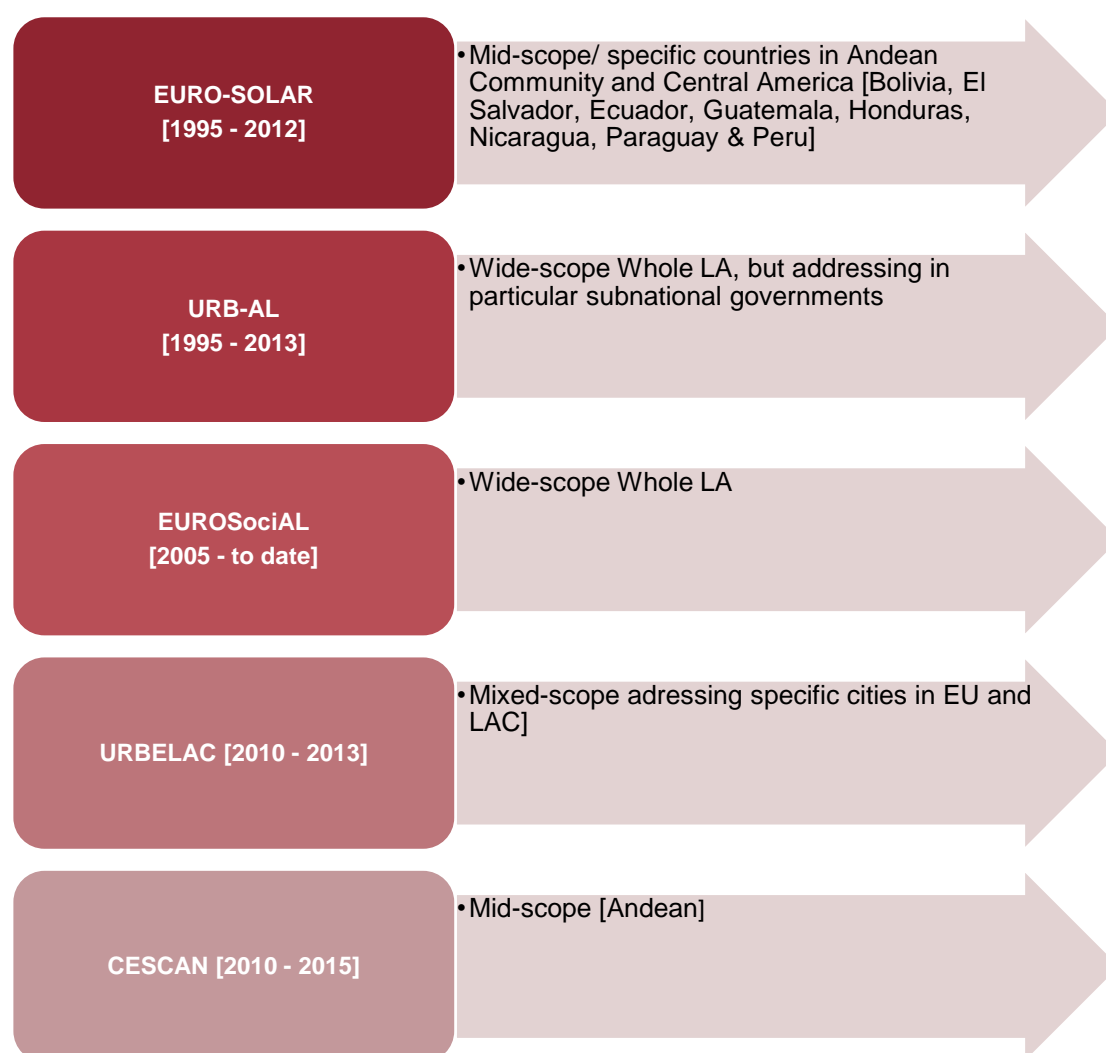


Figure 10: Case studies: territorial timeline

### 3.4.2 Strategic goals

All the selected initiatives explicitly departed from the decision of contributing, using a (territorial) cohesion approach, to the formulation of public policies geared towards the improvement of the quality of life of LAC population. Although this goal was not explicit in all cases, both documents and experts suggested the relevance of the interventions in terms of validating models, generating knowledge and adapting findings to develop a set of policy instruments.

Moreover, as the past two decades have been characterised – overall – by an absence of serious conflicts, cooperation efforts have been effective. Such stability has probably been related to the

context of a favourable economic situation at least until the last years. These factors have positively affected the well-being of millions of people in LAC from the beginning of the 2000s (CEPAL, 2015). Some areas of social development, linked to the Millennium Development Goals, showed significant advances in most countries. Among them was the reduction of poverty, the expansion of education coverage, the reduction of infant mortality and malnutrition, and – to some extent – the positive evolution of labour market indicators. However, despite these achievements, LAC still faces unavoidable challenges such as the sustained reduction of poverty and inequality.

In this context, in terms of their strategic goals, the selected cases showed similarities and differences (see Table 6). Among the similarities, it was found that the five cases emphasised the regional perspective, the cohesion scope and the willingness to influence policy-making. However, they showed thematic (i.e., main theme addressed by the intervention) and operational (i.e., main aspects to be promoted as part of the intervention) differences. As per themes, three categories have been identified – (i) sustainable urban development (i.e., improvement of cities and urban livelihoods) such as URB-AL and URBELAC, (ii) economic and social cohesion (i.e., consolidation of economic and/or social policies) such as EUROSociAL and CESCAN, and (iii) rural livelihoods (i.e., promotion of opportunities among the most vulnerable rural populations) such as EURO-SOLAR.

Interestingly enough, operational aspects vary depending on the thematic dimension. While sustainable urban development efforts relied on networking and experience exchange between Latin American and European actors, the economic and social cohesion-related initiatives promoted technical assistance and support by explicitly targeting policy makers (i.e., Ministries, governmental officers, regional authorities and the like). Finally, rural livelihoods-associated efforts aimed at directly working with civil society representatives and local-level managers. According to available reports and experts' opinions, this "operational diversity" might have contributed to strengthening the territorial cohesion approach from diverse angles (i.e., national policy to local-level) and the involvement of different actors (i.e., high-level authorities, technical staff and local authorities).

	<b>Strategic goal</b>	<b>Thematic/ operational characteristics</b>
<b>EURO-SOLAR</b>	Contribute to the improvement of living conditions of the most vulnerable rural communities through the use of renewable energies.	Rural livelihoods/civil society
<b>URB-AL</b>	Promote social cohesion with a territorial approach through the creation of networks and decentralised cooperation between European and Latin American actors with incidence on public policies.	Sustainable urban development/networking & experience exchange LAC/EU actors
<b>EUROsociAL</b>	Consolidate social cohesion in LAC through supporting the design, reform and implementation processes of public policies with emphasis on gender, governance and social policies.	Economic and social cohesion/assistance to policy-makers
<b>URBELAC</b>	Foster sustainable urban development through the creation of networks and the exchange of experiences among the various public actors of the EU and LAC.	Sustainable urban development/networking & experience Exchange LAC/EU actors
<b>CESCAN</b>	Contribute to the improvement of economic and social cohesion in the Andean Community (CAN) through supporting CAN members in the design of a regional policy of economic and social cohesion and territorial development, with emphasis in cross-border cooperation.	Economic and social cohesion/assistance to policy-makers

Table 6: Case studies: strategic goals

### 3.4.3 Relevant outcomes

In addition to the above, the selected initiatives have rendered outcomes (i.e., observable changes) in different fronts (see Table 7). In order to organise the information, these outcomes have been categorised into four alternatives – knowledge generation (i.e., contribution to better understanding certain processes or intervention-related contexts), public policy strengthening (i.e., formulation or consolidation of policy reforms with emphasis on social aspects), service access (i.e., increase in availability or access) and territorial incidence (i.e., generation of evidence at the local level related to prioritised agendas).

The cases that have been studied suggest that four of them had outcomes in terms of public policy strengthening (e.g., all but URBELAC), two in territorial incidence (e.g., EURO-SOLAR and URBELAC), one in knowledge generation (e.g., CESCAN) and one in service access (e.g., EURO-SOLAR). According to the experts, this diverse set of outcomes might have contributed, as explained above, to expanding the impact of the EU's (territorial) cohesion approach in LAC.

	Strategic goal	General outcome
<b>EURO-SOLAR</b>	<ul style="list-style-type: none"> <li>▪ <i>Access to services.</i> 300,000 individuals of isolated rural communities access to electric energy</li> <li>▪ <i>Incidence in the territory.</i> Promotion of basic services (education, health and telecommunications) and new models of sustainable production</li> <li>▪ <i>Strengthening of public policies.</i> At local and community institutions level</li> </ul>	<ul style="list-style-type: none"> <li>▪ Service access</li> <li>▪ Territorial incidence</li> <li>▪ Public Policy strengthening</li> </ul>
<b>URB-AL</b>	<ul style="list-style-type: none"> <li>▪ <i>Strengthening of public policies.</i> 131 local public policies in more than 500 Latin American municipalities and validated models to foster social cohesion dynamics</li> </ul>	<ul style="list-style-type: none"> <li>▪ Public Policy strengthening</li> </ul>
<b>EUROsociAL</b>	<ul style="list-style-type: none"> <li>▪ <i>Strengthening of public policies.</i> 90 policies (from 2011 to 2015), 80 change processes and 752 policy tools (e.g., methodologies, protocols, commitment letters, communication tools, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Public Policy strengthening</li> </ul>
<b>URBELAC</b>	<ul style="list-style-type: none"> <li>▪ <i>Incidence in the territory.</i> Long-term planning of Latin American cities, bilateral agreements between LAC and EU cities, and identification of collaboration and financing opportunities with participant institutions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Territorial incidence</li> </ul>
<b>CESCAN</b>	<ul style="list-style-type: none"> <li>▪ <i>Knowledge generation.</i> Preparation of studies “Objetivos Andinos de Desarrollo Social de la Comunidad Andina”, “Estrategia Andina de Desarrollo Rural Territorial de la Comunidad Andina”, “Indicadores para monitorear los OANDES”, and “Desarrollo Rural y Seguridad Alimentaria y Nutricional en la Comunidad Andina – Indicadores Básicos Comunes”.</li> <li>▪ <i>Strengthening of public policies.</i> 4 border development projects and 17 rural development projects</li> </ul>	<ul style="list-style-type: none"> <li>▪ Knowledge generation</li> <li>▪ Public Policy strengthening</li> </ul>

Table 7: Case studies: relevant outcomes

Summing up, the analysis of cases suggested that, despite sharing some common objectives, they have had differences in their territorial timelines, strategic goals and relevant outcomes. However, rather than being a constraint, this heterogeneity has been an asset. Thus, despite challenges ahead, the impact of the territorial cohesion approach in LAC has been systematically expanded.

## 4 DISCUSSION

This section aims at analysing the case studies using the conceptual model of territorial cohesion for sustainable development in LAC presented in **section 3.3**. In particular, the cases are discussed according to the three dynamic dimensions the model identified – r/urbanisation, interculturalisation and institutionalisation. To facilitate the discussion, operationally, each of these dimensions was defined as follows:

- R/urbanisation – set of processes associated to new and/or renewed patterns of rural-urban spatial configurations, social exchange and institutional connections. They include aspects such as increasing vulnerability in rural areas, expansion of intermediate cities, rapid urban growth and urbanisation, as well as their effects in livelihoods (i.e., public services availability, market access, TIC use).
- Interculturalisation – set of mechanisms that facilitates identifying, valuing, considering and mainstreaming existing cultural strategies as part of policy instruments. This implies generating conditions to gather people's voice, developing diverse methodological tools, addressing heterogeneity and avoiding "one-size-fits-all" paradigms.
- Institutionalisation – set of considerations related to activating collaboration among different social and political actors. Such collaboration explicitly involves intergovernmental coordination (i.e., national, regional, local). Moreover, these considerations also relate to the acknowledgement of national policy agendas and existing legal frameworks to promote strategic and timely alignment among efforts.

Based on the above, the analysis results suggest that – in the cases that were studied – the three dimensions have been addressed. Specifically, it was found that:

**EURO SOLAR.** Given its focus on promoting better rural livelihoods through the provision of renewable energy, the program took into account the vulnerability associated to the limitations rural areas face in terms of access services, market liability, increasing urbanisation and lack of opportunities. This was reflected in their strategy of promoting decentralised cooperation to facilitate the involvement of local authorities, enhancing community involvement in equipment management provided by the programme, and developing services such as education, telecommunication and sanitation. These actions contributed to the ownership of the programme and, to some extent, added up to its sustainability. To this end, it is apparent that the r/urbanisation dimension was addressed by stressing territorial differences. Although few mechanisms were developed to include communities' voice, the program contributed to promote interculturalisation in the rural space. This was shown in the different strategies used to involve civil society and local authorities with emphasis on the existing community organisation strategies that were in place, such as the creation of Local Community Organisations for the management and maintenance of the equipment supplied and coordinating with the community the activities that would take place. Finally, as per institutionalisation, although this intervention was eager to explore mechanisms through which population could access electrical energy by using renewable sources, there were constraints for scaling-up this experience at the national level and, therefore, it had limited policy influence. On the other hand, the program developed sustainability mechanisms, such as technical training to community members and self-sufficient strategies for equipment maintenance.

**URB-AL.** The program emphasised the dynamics and potential of urban spaces. The criteria for working in these areas were related to the fact that URB-AL recognised the intensity of mobility trends among cities, as well as the need to provide better opportunities for the population settling there. This approach is clearly observed in the different aspects the program prioritised during its different stages, including urban productivity, drug consumption, urban environment, urbanisation control and management, cross-border cooperation, reduction of urban poverty and security. Thus, the r/urbanisation criterion was considered as a key aspect from the beginning. In addition, URB-AL also promoted interculturalisation by activating decentralised cooperation mechanisms and encouraging the participation of different governmental levels – national, regional, and local. Moreover, the program also included Regional Dialogues aiming at documenting experiences and good practices. Finally, in terms of institutionalisation, the program explicitly sought to influence policy by involving subnational governments (e.g., cities, municipalities, states, regions, provinces) both from the EU and LAC and created long-term networks and partnerships between them to develop innovative solutions to the issues that emerged in each territory. This had important policy impact as program outcomes allowed to develop policies agendas around sustainable urban cities from a regional perspective.

**EUROSociAL.**<sup>61</sup> This program – one of the most ambitious in its nature – was designed to explicitly influence regional policy making, particularly, in the social field. To this end, this initiative prioritised major challenges such as vulnerability, inequality and poverty. However, despite the extreme relevance these aspects have, the r/urbanisation dimension operationalised above did not seem to be fully addressed (e.g., rural-urban tension and patterns). On the other hand, cultural diversity was included as a relevant criterion in the design of diverse policy instruments including learning experiences and the ‘voice’ of different actors through the promotion of horizontal international cooperation. The program was also eager to promote South-South collaboration. Specifically, EUROSociAL was keen in addressing interculturalisation by actively acknowledging the diversity of the 19 countries it involved and addressing cross-cutting issues such as gender inequality, vulnerable groups and youth. As a result, this experience has been key in strengthening efforts that countries had in place with emphasis in areas such as gender, governance and social policy. According to experts, EUROSociAL has been highly relevant for developing complementary and specific cooperation agreements at the national level, which are aligned to national objectives and, at the same time, are part of a regional policy. Furthermore, EUROSociAL emphasised the institutional impact by having an approach that mainly relied on the complementarity among European cooperation, LAC national policies and collaboration among multiple actors.

**URBELAC.** This program, similarly to URB-AL, departed from an explicit commitment to promote better opportunities for the population that was living in cities based on the recognition of effects of migration, lack of opportunities and increasing urbanisation processes. The r/urbanisation criterion was at the core of this program from start and, to some extent, justified its approach. Moreover, in terms of interculturalisation, the program had intercultural mobilisation as a goal from start. As such, the EU-LAC coordination, as well as the model of establishing collaboration networks at the national, regional and local levels was instrumental to address heterogeneity. In this sense, the explicit use of ICT, workgroups and field visits helped facilitating communication among participants, as well as involving the different social actors that were targeted by the program. Furthermore, the program

<sup>61</sup> For a more detailed and comprehensive analysis of the EUROSociAL project see: EULAC-Focus (2019): Report on common interests for the implementation of EU-LAC cooperation in social cohesion policies.

included an explicit aim to promote policy reforms and to establish common indicators and tools to support an urban sustainable development. The impact was later seen in the agendas that several of cities that were part of the program were able to develop.

**CESCAN.** This program explicitly promoted territorial social cohesion in LAC through policy instruments that included studies, technical assistance and experience exchange. To this end, differences among urban and rural settings were included through the use of a territorial approach that strongly emphasised cross-border rural development. Interculturalisation, although not explicitly addressed in the design or the mechanisms of the program, appeared in projects related to nutrition and food safety, where local production and consumption processes are promoted to increase food availability. Therefore, special interest was placed on local strategies and resources. Finally, due to program efforts, it contributed to consolidating institutional tools for collaboration, accounting for previous experiences, promoting the alignment to political/policy priorities and consolidating a regional discussion about cohesion that was, later on, scaled-up at the national, regional and local fronts. Moreover, the program actively pursued the elaboration of a regional policy of social and economic cohesion in the framework of the Andean Community. However, discussions and impacts at the local level are not yet fully in place.

In sum, the five cases displayed different configurations of the dynamic dimensions selected in the conceptual model. Moreover, to some extent, each of them produced different outcomes. In Table 8 these aspects are synthesised. As it shows, institutionalisation has been highly addressed as a main dimension in almost all cases. In addition, efforts towards r/urbanisation and interculturalisation have also been, in the majority of cases, achieved. A major lesson derived is that, in order to promote interventions based on territorial cohesion approach in LAC, aside from departing from strategic goals and relevant outcomes, it is important to activate these three dimensions at once. Doing so could, ultimately, contribute to sustaining efforts beyond programs and projects.

	Conceptual model – dynamic dimensions		
	R/urbanisation	Interculturalisation	Institutionalisation
<b>EURO-SOLAR</b>			
<b>URB-AL</b>			
<b>EUROsocial</b>			
<b>URBELAC</b>			
<b>CESCAN</b>			

**Legend:**

	Highly achieved		Achieved		In progress
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Table 8: Case studies by dynamic dimensions. Own elaboration.



In sum, the proposed conceptual model was helpful to organise, analyse and discuss the progress of selected cases. Despite its limitations to address the context and explore particularities, the model allowed to validate the idea about the need for integrating different dimensions in the way territorial cohesion is approached. These results are aligned with the findings of the studies from CEPAL (2017), FAO (2013), IFAD & RIMISP (2017) and RIMISP (2016) in terms of addressing multidimensional inequality in Latin America from a territorial approach.

Finally, the main contribution of these EU interventions in promoting territorial cohesion in LAC has been to explicitly address policy formulation from start. As a result of these efforts, the initiatives have positively affected social policy reforms in the region during the past years. Furthermore, this has been particularly relevant for setting up the conditions for including EULAC cross cutting issues – mobility, diversity, inequality and sustainability – as policy priorities in the context of territorial cohesion. As part of the approach, mobility is currently regarded not only as a demographical challenge but as a socioeconomic and spatial one (i.e., URB-AL and URBELAC), diversity and inequality are considered social dimensions linked to critical aspects such as discrimination and poverty (i.e., EURO-SOLAR and EUROSociAL) and sustainability is regarded as a process to promote institutional conditions and collaboration to endure positive impacts (i.e., EUROSociAL and CESCAN). Nonetheless, despite progress made, LAC still shows weaknesses that remain unsolved such as insufficient institutional leadership, limited efforts to scaling-up results, unsatisfactory communicational mechanisms and scarce effective tools to promote sectoral coordination.

## 5 CONCLUSIONS AND RECOMMENDATIONS

Following the objectives set out for this report, this section explores the topics that appear to be especially relevant and/or promising as part of the Territorial Cohesion dialogue (e.g., sustainable urban development, multi-level government systems, cross-border cooperation, security-development nexus, etc.), as well as the tools that offer opportunities for enhanced cooperation (e.g., civil society initiatives, place-based approaches, territorially sensitive monitoring, etc.). The objective is to contribute to innovative regional policies for overcoming territorial imbalances. Last but not least, we provide an outlook on upcoming opportunities for enhanced bi-regional cooperation on territorial cohesion.

This section is organised following the three specific objectives this part of the report has: (i) identify how the EU perspective on territorial cohesion has evolved over time and to what extent it relates to the territorial development approach discussed in LAC (>> knowledge generation); (ii) contrast how the EU perspective on territorial cohesion has been applied in a set of programs and projects in LAC (>>program and project design and implementation), and (iii) propose a place-based research agenda on territorial cohesion for LAC (>> perspectives and challenges).

- ***Knowledge generation.*** To identify how the EU perspective on territorial cohesion has evolved over time and to what extent it relates to the territorial development approach discussed in LAC, it is important to note that the EU territorial cohesion concept is an instrument to foster trans-border cooperation and to bring all regions of the Union, ideally, to the same level. In turn, for LAC the cross-border component seems limited and RTD is configured as a national strategy. Moreover, in terms of the strategic aim of each of these

approaches, territorial cohesion emphasises the disparity of development in the countries of the EU. The LAC (rural) territorial development deals with the persistence of high levels of inequality after a decade of economic growth and poverty reduction.

In addition, major dimensions related to territorial cohesion are to promote a balanced and polycentric development, encourage integrated development between urban and rural regions, promote territorial integration in border regions and transnational operation, ensure the global competitiveness of regions based on economies, and strengthen territorial connectivity between individuals, communities and businesses. (Rural) territorial development stresses other aspects such as the need to address heterogeneity (incorporate and recognize the existence of other actors besides poor rural families), promote cross-sectorial articulation (articulate agricultural, industrial and service sectors), recognize multisectoriality of employment (incorporation of non-agricultural jobs as an object of actions aimed at raising productivity), overcome the urban-rural divide (understanding the links between spaces classically considered urban or rural not to stick only to rural) and institutionality (recognize the importance of institutions in the territory).

- Program and project design and implementation. In terms of the contrast on how the EU perspective on territorial cohesion has been applied in a set of programs and projects in LAC, a preliminary conceptual model of territorial cohesion for sustainable development was proposed to analyse regional development in LAC taking into account territorial cohesion dimensions. Within a context of increasing competitiveness, ambiguous governmental interventions and increasing multiple inequalities, the model involved three dynamic dimensions – r/urbanisation, interculturalisation, and institutionalisation.

In sum, the five cases displayed different configurations of the dynamic dimensions selected in the conceptual model. Moreover, to some extent, each of them produced different outcomes. As it was shown, institutionalisation has been highly addressed as a main dimension in almost all cases. In addition, efforts towards r/urbanisation and interculturalisation have also been, in the majority of cases, outstanding. A major lesson to be drawn is that, in order to promote interventions based on territorial cohesion approach in LAC, aside from departing from strategic goals and relevant outcomes, it is important to activate these three dimensions at once. Doing so could, ultimately, contribute to sustaining efforts beyond programs and projects.

- Perspectives and challenges: Based on the above, a place-based research agenda on territorial cohesion for LAC was proposed in consultation with experts. As a result, the agenda has been organised into two sections – general research aspects and thematic research aspects.

General research aspects. Experts highlighted the need to consolidate territorial cohesion-related knowledge taking into account five conditions (see Figure 11). The first one is related to the generation of political awareness around these issues by providing relevant and timely information to decision-makers. The second one refers to designing territory-based information systems including a set of indicators that, aligned to policy priorities,

could be available for public consultation and policy making. The third aspect relates to providing training to strengthen strategic and operational capacities around territorial cohesion, with emphasis on university students. The fourth involves multi-actor collaboration by activating the institutional commitment of relevant institutions and other potential allies. Finally, in dialogue with the above, the last aspect relates to the socialisation of efforts through different communication tools.



Figure 11: Place-based research agenda – general aspects. Own elaboration.

In addition to the above, following the dimensions considered in the conceptual model, relevant thematic issues were suggested.

	Dimension	Thematic issues
1	<b>R/urbanisation</b>	<ul style="list-style-type: none"> <li>- From a territorial approach, what are the main dynamics that the rural-urban flows are configuring in LAC?</li> <li>- How could “territorial trajectories” be traced in LAC with emphasis on their similarities and differences?</li> <li>- To what extent are sustainable livelihoods promoted in a territorial cohesion approach in LAC? How do they include ethnic, gender and cultural aspects?</li> </ul>
2	<b>Interculturalisation</b>	<ul style="list-style-type: none"> <li>- What are the different research strategies promoted in LAC to address cultural differences, with emphasis on discrimination and inequality?</li> <li>- How can equal opportunities be promoted in LAC for the most vulnerable groups (e.g., children, youth, women, elderly, people with disability) in</li> </ul>

		<p>heterogeneous territories?</p> <ul style="list-style-type: none"> <li>- What are the most effective policies to address interculturalisation?</li> </ul>
<b>3</b>	<b>Institutionalisation</b>	<ul style="list-style-type: none"> <li>- What are the main innovations that territorially-based policy could contribute to socioeconomic cohesion policy design in LAC?</li> <li>- How can multi-actor collaboration be promoted to scale-up results using a territorial cohesion approach?</li> <li>- To what extent can territorial-based indicators improve knowledge generation about institutionalising policy efforts?</li> </ul>

Table 9: Place-based research agenda – thematic issues

Finally, the contribution of the territorial cohesion approach can be observed at different fronts – programme management, policy making and research. Despite its enormous influence, it can still benefit from a dialogue with LAC-based ideas about territorial development and policy with emphasis on the strong role that civil society/movements play and the contribution of intercultural approaches. This, rather than a constraint, represents an opportunity to keep generating knowledge in order to sustain decisions that could affect the life of many. In particular, territorial cohesion could address the most vulnerable population: those that experience multiple deprivations, and therefore the population that, at the end, when discussing the real essence of development, is the one that really matters.

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## COMMON CONCLUSIONS – A SYNTHESIS

Three different focus areas have been analysed in this report in order to get a sufficiently comprehensive overview of the state of social inclusion policy in the EU and LAC in order to be able to contribute to the strengthening of the social dimension of EU – LAC relations. The goal was to work out whether the conceptual and programmatic architecture of social inclusion policies have a common ground and share common values and objectives as well as to identify those areas that are promising for reinvigorating bi-regional cooperation efforts. Therefore, the following synthesis tries to connect the results of the three different focus areas:

### **Focus Area I - Anti-poverty policies:**

In LAC, Conditional Transfer Programmes (CTP) is the most frequently used strategy to reduce poverty. Foremost, they aim at breaking the intergenerational transmission of poverty by providing cash transfers to poor households on the condition that those households prove their efforts to comply with certain requirements e.g. for developing children's human capital.

A majority of countries in the EU uses Minimum Income Schemes (MIS) for people of working age to ensure a minimum standard of living and encourage labour market reintegration, focusing on transitory risks. MIS used in EU countries generally take a more universal approach towards labour market integration of people who are excluded from the labour market than its LAC counterparts.

Both approaches have certain commonalities and divergences although the programmatic focus differs according to local context (generally speaking, LAC puts more focus on providing for basic needs, while the EU rather confronts transition problems linked to labour market integration).

Fighting poverty is a common concern of EU and LAC, but both regions define and measure poverty quite differently. Whereas the EU uses multidimensional measures which consider social and labour inclusion, LAC countries predominantly use income as the main indicator. As LAC countries are beginning to introduce more multidimensional measures (e.g. by including labour market reintegration as an ultimate goal) this might be an area where the exchange of experience and knowledge between countries and regions could have positive effects on policy making. Gender related aspects in monetary transfer programmes could be explored as an additional focus in cooperative activities.

Both regions face challenges in defining and reaching target groups for their programmes and in using more effective registration systems for the identification of those people who qualify for the programmes. Although LAC has made considerable progress in social information systems and single records of beneficiaries, the exchange of good systems and tools might be another opportunity for knowledge exchange.

Despite both regions are undertaking considerable efforts in evaluating monetary transfer programmes, it is difficult to draw conclusions on their effectiveness and real impact regarding their primary goals. In both regions there is room for improvement of monitoring and evaluation systems, which could be further explored in (and financed by) cooperative efforts. Capacity building in the area of evaluation and monitoring of these policy measures is a field where the bi-regional cooperation agenda can be renewed with mutually beneficial results.

**Focus Area II – Inclusion of migrants:**

Both regions show growing tensions in regard to new flows of migrant populations and their access (or not) to social assistance. Although migration flows between the EU and LAC are not the most significant ones for either region, the historical and permanent character of these flows makes it worthwhile to continue developing a progressive cooperation agenda on EU-LAC migration. We argue that shared responsibility for the protection of human and social rights of migrant populations should be a central concern in the common migration agenda. In doing so, it is important that the bi-regional dialogue on migration is held by a broad range of actors (including governmental actors, social organisations, academia, local governments, international organisations and migrants themselves).

Other important topics of mutual concern are human trade and traffic, unaccompanied minors, the emergence of discourses of xenophobia and racism and the link between migration and development. All of them have a strong link to social cohesion.

However, in order to progress in the bi-regional migration debate it is also important to be aware of the existence of persisting divergences in approach. These divergences arise mainly from the fact that LAC strongly focuses its regional dialogue on migration on human rights of migrants and on combating violence which LAC migrants heavily confront when they depart from their home countries. The EU, on the other hand, is predominantly concerned with reducing irregular immigration (whereas LAC is promoting decriminalisation of irregular migration) and tightening security and control measures. Nevertheless, there exist numerous examples of projects, initiatives or proposals for supporting the integration process of immigrants (e.g. with focus on the recognition of qualifications, access to services, promotion of inclusive citizenship, etc.) in both regions, which can be explored and further developed in international cooperation.

As social inclusion is directly connected to labour market integration, related problems should be of central concern in the EU-LAC migration debate. The legal status of migrant workers and their access to labour markets, social protection, education and health care varies greatly across countries and is often not given. An analysis of the state-of-the-art and of predominant common difficulties can be realised in a cooperative initiative, combining knowledge exchange and capacity building projects. A possible framework for this could be a bi-regional Labour Regulation Observatory that brings together key regional and national actors from both regions, connecting different stakeholders like policy makers, civil society representatives, researchers and public officials. In this context, the EU can emphasize its achievements on free movement of workers and the social integration of migrants, an area where the EU has positive results and a vast experience which makes collaboration especially relevant.

Last but not least, knowledge exchange on good information systems related to migration data and the implementation of systems for data sharing could be realised in the short term and can be regarded as one of the main issues of common interest.

### **Focus Area III - Territorial Cohesion:**

Since the Lisbon Treaty, Territorial Cohesion, meaning the strengthening of economic and social cohesion by reducing disparities between regions, is made explicit as a clear objective of the EU. The concept is strongly linked to a place-based approach towards social inclusion. In its past cooperation initiatives with LAC, the EU has strongly promoted key concepts of EU Territorial Cohesion policy with the aim to enable similar processes in LAC. Experience as well as analysis have shown that, in the future, territorial cohesion approaches need to be better adapted to the LAC context in order to be more beneficial to the region and to strengthen the EU's role and international presence.

The LAC equivalent to territorial cohesion is the concept of Rural Territorial Development (RTD), which deals predominantly with the persistence of high levels of inequality despite decades of economic growth and poverty reduction. The EU focus on trans-border cooperation for the reduction of development disparities of Member States is of limited relevance in RTD. It was difficult to evaluate results and outcomes of selected EU funded cooperation programmes and projects that were implemented in LAC on territorial cohesion due to a lack of information at first hand. This would indeed deserve a closer look. A major lesson learnt is that, in order to promote interventions based on territorial cohesion approach in LAC, it is important to activate the three dimensions (r/urbanisation, interculturalisation, and institutionalisation – see Focus Area II, chapter 4) at once. In the end, the European territorial cohesion approach could benefit from a dialogue with LAC-based ideas about territorial development, especially in the area of interculturalisation.

### **Common conclusions and perspectives of EU-LAC relations – Conception, Implementation and Monitoring of social policies**

The analysis shows that the general conception of social inclusion policies in the three investigated areas differs considerably between as well as within the two regions. This starts with the definition of the problem that is to be solved and includes the implementation as well as the monitoring of social inclusion policies. Due to the institutional and social heterogeneity of the situation in LAC, the issues that are considered most relevant differ, and therefore also the responses. Different narratives frame the intellectual and political construction of relevant problems, as for example some insights from the comparison of (im)migration policies show.

As a main example, the specific political and socio-economic situation in Mexico contributed to a change in migration policies towards a strong foundation in human rights protection, guaranteeing to all foreigners and their families the right to access education and public and private health care independent of their legal status. Recent developments in the EU risk moving into the opposite direction. There, the recent rise of xenophobia pushed by the surge of right-wing populisms induces a stronger focus on reducing irregular immigration and tightening security and control measures as well as limiting access to social benefits not only for refugees but also for migrants in general. Still, one element of migration policies that the EU should bring to the fore, at the expert and political levels, much more forcefully is the “Right to equal treatment” of foreign workers that constitutes one of its basic principles from the very beginning. Restricted at first to workers from other member States, it has been extended to migrant workers from non-EU countries. Indeed, directive 2011/98/EU<sup>62</sup> ensures the non-discrimination of Latin-American workers with a labour contract in a EU Member State by reference to EU citizens. As no entity exists in LAC that could provide such legal

<sup>62</sup> Directive 2011/98/EU, Article 12. See: <https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:32011L0098&from=EN>.

provision, other ways need to be explored in order to secure reciprocity of workers' rights between EU and LAC countries, as for example the reciprocal inclusion of these rights in bi-lateral agreements.

In terms of implementation of social inclusion policies, we can determine that their scope and orientation vary considerably between, but also within, the regions. The specific social situation in LAC countries generally favours policies that are more targeted to the most vulnerable groups, as it is the case with anti-poverty policies. For example, programmatic approaches in LAC tend towards offering assistance by providing a minimum base of livelihoods in a targeted manner and guaranteeing access to basic services for the population in a situation of poverty or extreme poverty. In EU countries on the other hand, policies are generally more focused on facing transitory risks as a more universal approach of labour market integration of people who are excluded from it, similar to the European model.

From a bi-regional cooperation perspective this shows that while the target groups in the two regions may vary, there are also some common problems shared, such as how to define and reach the programmes' target groups and how to implement most effective registration systems for the identification of those people who qualify for the programmes. While it is hard to identify easily transferable social inclusion policies from one region to the other due to the aforementioned reasons, the perspective of working in common on the development of effective registration systems and building up specific capacities for the implementation of social inclusion policies is an area of high potential for reinvigorating the bi-regional relations, as the exchange of experiences is beneficial even though target groups and the scope of social inclusion programmes differ.

Whereas conception and implementation of social policies differ due to different political, institutional and socio-economic landscapes in the two regions, the issue of monitoring these policies is equally pertinent. This does not mean that monitoring can or should work in exactly the same way in the two regions, as it is still context dependent, but it illustrates the fact that the potential for mutually beneficial cooperation is especially high in this area. For example, the creation of a territory-based information and monitoring system of social inclusion progresses, including a set of indicators that serves not only for policy making but also for public consultation, would be a worthwhile endeavour from a bi-regional perspective. Both regions could contribute already existing monitoring approaches: the indicators for territorial cohesion in the EU are quite comprehensive and could be useful for expanding the LAC monitoring systems. LAC strategies for territorial development approaches on the other hand are rich in experiences of intercultural approaches. Obviously, this is true for all aspects of social inclusion policies and is not an exclusive feature of territorial cohesion policies. Connecting the different dimensions present in both regions and working jointly on the respective successes and shortcomings in all dimensions of social inclusion policies is the most promising added value that can be gained out of the reinvigoration of bi-regional relationships.

Departing from these results and to conclude this report, the next part offers four potential starting points for evolving EU-LAC relations towards a mutually beneficial framework that recognises the multi-dimensionality of social inclusion policies.

## RECOMMENDATIONS

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This final part of the report puts forward four very concrete recommendations, very easy to implement, which could be taken up in order to reinvigorate EU - LAC relations and put both regions in a strong position to influence global policy frameworks. These recommendations are based not so much on the often-cited common values and common history, but on the recognition of the heterogeneity of both regions and on their respective interests and policy priorities while opening up spaces for mutual learning and mutually beneficial relations. The recommendations put forward in this section bring together insights from the specific conclusions and recommendations made in the three different focus areas of the report, but try to take a holistic perspective, creating synergies between the observations made in the three dimensions of social inclusion policy. The recommendations are meant to be included in the Plan of Action that will constitute the final Deliverable of the EULAC Focus project.

### **Recommendation I – A bi-regional exchange forum on monitoring social inclusion policies should be set up**

A recurring topic in the three different parts of this report is the need to further improve monitoring and evaluation of social inclusion policies in both regions. At this point, international cooperation is essential to enable the continuous improvement of programmes, either by financing evaluations or by providing technical advice to countries with less progress in this area. This includes strengthening and improving the information systems available (e.g. on migration data, coverage of cash transfer programmes and/or territorial development) that allow a stronger, evidence-based foundation of social inclusion policies. While it is foremost the LAC countries that need support in the production of data and the generation of statistics, relevant information and methodology on e.g. monitoring territorial development could also be gained from LAC examples. The implementation of systems to share information is an area that can be developed in the short term.

The recommendation is in line with the propositions made in Deliverable 5.2. of the EULAC Focus project, already cited, namely the establishment of a “bi-regional forum on social policies” (Recommendation II of Deliverable 5.2) and could be integrated in this forum as a dedicated working group on the described issues. By setting up such an entity not only EU-LAC relations would be strengthened but also the exchange and formulation of common LAC positions and needs would be fostered, which has always constituted one of the main goals of the bi-regional relation. This would also strengthen the role of the two regions (and mainly the EU) at the global/multilateral level by bringing them to the forefront in the pursuit of the Sustainable Development Goals. In particular, such an exchange forum could contribute to achieving targets related to SDG #1 “End poverty in all its forms everywhere”, especially the sub-targets 1.1 (eradicating extreme poverty), 1.2 (reduce percentage of people living in poverty by half), 1.3 (adequate social protection systems around the world), and 1.B (creation of a sound policy framework based on pro-poor and gender-sensitive development strategies).

### **Recommendation II - Revive the bi-regional Dialogue on Migration**

The bi-regional dialogue on migration between EU and LAC has stalled in the last couple of years. Even though the bi-regional dialogue as it was implemented in recent decades can by its nature not produce binding agreements, it can still be an important forum to set forward priority agendas in both regions. Working jointly on a migration agenda between both regions requires strengthening

those forums that bring together the representatives of the states involved, even though those forums might lack the necessary legal competencies to spark actual change. In this sense, multilateral policymaking is a privileged space in which to shape the agenda on migration issues and to lay the basis for moving forward with concrete actions. This means strengthening existing forums and organisations, despite the fact that one of the problems pointed out in the literature is the low impact of regional institutions in Latin America and the Caribbean when it comes to policy-making. Reinvigorating a strong partnership on migration issues could not only be a possibility to contribute to the SDGs, but could also reinstate trust in multilateral agendas that have come under scrutiny not at last due to the recent tensions surrounding the UN Global compact for migration.

### **Recommendation III - Introduce reciprocity regarding protection of migrant workers in bilateral agreements**

In order not to remain only on a bi-regional level, which implies remaining on the level of non-binding dialogue due to missing legal competencies in the LAC side, there are also concrete measures that can be taken up to affect the lives of EU-LAC migrants in both regions positively.

The EU should bring to the fore, at the expert and political levels, much more forcefully the “Right to equal treatment” of foreign workers that constitutes one of its basic principles from the very beginning. It could and should emphasize that, restricted at first to workers from other member States, it has been extended to migrant workers from non-EU countries.

As no entity exists in LAC that could provide such legal provision, other ways need to be explored in order to secure reciprocity of workers’ rights between EU and LAC countries. Introducing reciprocity of workers’ rights into bilateral agreements between EU and LAC countries would ensure that social rights and access to social protection which is granted to one group in the receiving country (e.g. LAC workers in an EU member state) are also applicable vice versa. This action would also be in line with sub-target 8.8 of the SDGs on protecting labour rights and promote safe and secure working environments for all workers, including migrant workers. Here again, this would also strengthen the role of the two regions (and mainly the EU) at the global/multilateral level

This measure would not only create direct benefits for citizens of both regions but also be operational without the need for further legal adaptations on the regional level. Such agreements could cover issues like mutual responsibilities, working conditions, social security and accommodation, hereby stipulating the equality of LAC professionals in the EU and vice versa.

### **Recommendation IV - Joint Training and Research Programme(s) on social inclusion policy**

The global framework of EU-LAC relations has changed considerably in the last decades, culminating in the formulation of the Sustainable Development Goals, which emphasise mutual cooperation and try to break up the classic North-South knowledge divide. This has also relevant implications for exchanging experiences of social inclusion policy approaches. Instead of following old paradigms of transferring knowledge from North to South, a mutually beneficial framework for interchange, knowledge-sharing and capacity building should be set up. In line with recent joint efforts by the OECD, CEPAL and the DG DevCo<sup>63</sup> and the re-structuring of the External Actions envisioned in the

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<sup>63</sup> See: Economic Commission for Latin America and the Caribbean (ECLAC)/Organisation for Economic Cooperation and Development (OECD), *Emerging challenges and shifting paradigms: new perspectives on international cooperation for development* (LC/PUB.2018/16), Santiago, 2018.



MFF 2021-2027, this framework could include a Joint EU-LAC Training and Research Programme/Facility on social inclusion policy.

This programme could be set up on the intersection between external actions, the Research Framework Programme and the Erasmus + programme for cooperation in higher education. It would provide the possibility for training professionals, academics, administrative personnel and public officials to strengthen strategic and operational capacities around topics such as territorial cohesion (supporting positive economic, social and environmental links between urban, peri-urban and rural areas, SDG #11), intercultural components in rural development, continuous exchange and sharing of good practices in policies of integration and inclusion policies (ending poverty, SDG #1). Again, implementing this programme would be a key asset in positioning EU and LAC as an influential coalition on a global scale and strengthen not only the bi-regional relations but also capacities for implementing policies in the two regions themselves.

## Appendix A MATRIX FOR INFORMATION COLLECTION ON CPT AND MIS

### APPENDIX A: Methodology Matrix

#### Conditional Transfer Programs (CPT) - Minimum Income Schemes (MIS)

Program Name:

Country:

*We kindly request to complete matrix in Single Space 10 Times New Roman*

#### 1.-Target-group and Coverage

Beneficiaries of the policy (including foreign population, if is applicable). Specify number of potential and actual beneficiaries.

#### Guidelines

- ✓ What are the general characteristics of policy beneficiaries?
- ✓ How many are the potential beneficiaries?

#### 2.- Target-group Characteristics

Background of situation affecting the target group.

#### Guidelines

- ✓ What are the specific characteristics of the target-group?
- ✓ Are there any specific conditions that prioritize one group over others? Specify?
- ✓ Is participation in another social protection mechanism required to join the program?

### 3.-Origin and Evolution

Historical-political processes through which the program is defined and evolved.

To demonstrate if there are other policies and / or instruments to mitigate poverty, in order to identify the relative weight of the policy in question as well as to mention whether the policy was inspired by another experience in the region.

#### Guidelines

- ✓ What are characteristics of the country's social protection system? ¿How do they works?
- ✓ How does the analysed program fit in the social protection system?
- ✓ Does the analysed program seek to correct shortcomings of previous programs?
- ✓ Is it a novelty program?
- ✓ What social, political and / or economic situations led to the creation of the program?
- ✓ What are the country's policy debates on social policy matters?
- ✓ Is there consensus or discrepancy between the country's political forces?
- ✓ Have there been any relevant modifications or changing in the program? Specify which ones?

### 4. - Policy's Typology (1.Focalized, 2. Universal, 3. Mixed)

Coverage level of the program

#### Guidelines

- ✓ Is the program aimed at a specific target society?
- ✓ Is the program focalized, universal or mixed?
- ✓ Are there any discrepancies in territorial level application?
- ✓ How many beneficiaries are actually participating in the program?
- ✓ What is the territorial distribution of the beneficiaries?

### 5.- Objectives and programmatic orientation

Objectives and conceptual approach (logic of the policy / hypothesis of causes and effects that underpin the logic of policy). Indicate modalities for (a) access of beneficiaries to the set of services and benefits of the welfare system (b) improved participation of beneficiaries in the labour market.

#### Guidelines

- ✓ How is poverty defined in the country?
- ✓ How is the process of overcoming poverty conceived?
- ✓ What are the role of poor individuals, the State, monetary benefits, services and labour (re)insertion?
- ✓ Who assumes the link with the program?
- ✓ What are the causes of poverty?
- ✓ Does the program have any mechanism or stage for intervention?
- ✓ What is the focus of the program?
- ✓ Does the program have any associated values?
- ✓ What is the program's incentive system?
- ✓ Does the program have any support instruments?
- ✓ Does the program have any non-monetary instruments?
- ✓ What is the program incentive system?
- ✓ **Does the program have any subprograms? How do they work?**
- ✓ **Does the program have any labour (re)insertion elements? How do they work?**
- ✓ Is it included in a welfare state system?
- ✓ Does the program have mechanisms to guarantee gender equality and non-discrimination?

#### 6.- Execution Period

Year in which the policy started to be applied, years in which there have been substantive changes and year of completion of the program.

#### Guidelines

- ✓ When did the program start?
- ✓ What were the main difficulties in implementing the program?
- ✓ What relevant changes have been introduced to the program? Specify when?
- ✓ What is the estimated date of completion of the program?

## 7.- Budget and financing

Origin of the program economic resources (governmental, supranational, regional, mixed, international cooperation, others) and amount of financing. Indicate expenditures in the policy purpose within the social expenditure and in social protection.

### Guidelines

- ✓ What is the initial budget amount?
- ✓ What is the source of funding?
- ✓ Are there one or more sources of funding?
- ✓ Were the total resources implemented?
- ✓ Was a fixed or variable amount?
- ✓ What is the percentage of the program within the total amount designated to social policies?
- ✓ You are requested to express the amounts in local currency and in current US Dollars (USD).

## 8.- Institutional and application level

Public administration sectors responsible for administrative, budgetary and operational design, and implementation of the program's actions. Level of government structure in which the policy is inserted. Describe the governance system involved.

### Guidelines

- ✓ Are there legal and institutional mechanisms to structure the program? Specify?
- ✓ Are there specific legal frameworks that establish the program? Specify?
- ✓ Are there one or more sectors of public administration involved?
- ✓ How do they interact?
- ✓ How are the inter-institutional and public-private relationship articulated?
- ✓ Are there differences between local capacities?
- ✓ What are the responsibilities of each public sector?
- ✓ How are the different institutions organized?
- ✓ What is the program's sustainability?

## 9.-Requirements for benefits access

Eligibility criteria of beneficiaries.

### Guidelines

- ✓ Which are the access requirements?
- ✓ What do they consist of?
- ✓ Does the program have age, gender or other requirements?
- ✓ What are the socio-economic requirements for accessing the benefit?
- ✓ Should the potential beneficiary apply or is he/she selected by the program administration?
- ✓ How is the beneficiary selection mechanism carried out?
- ✓ How is information collected from current and potential users?
- ✓ Does the program have an information and registration system?

## 10.- Economic Benefit

Amounts and periodicity of monetary transfers according to characteristics of beneficiaries.

### Guidelines

- ✓ What is the monetary amount allocated to the beneficiary?
- ✓ Is the amount differentiated according to the beneficiary's characteristics?
- ✓ What is the periodicity of the benefit?
- ✓ Are there any complementary benefits?
- ✓ Can a beneficiary receive more than one benefit under the same program?
- ✓ Is the benefit renewable or granted only once?
- ✓ Is there any mechanism for adjusting benefits? Which one? (E.g: By inflation rate)
- ✓ You are requested to express the amounts in local currency and in current US Dollars (USD).

## 11.- Duration of benefit and Exit Strategy

Temporary limits and exit conditions or mechanisms.

Guidelines
<ul style="list-style-type: none"> <li>✓ How long does the benefit allocation extend?</li> <li>✓ What conditions end the beneficiary's participation in the program?</li> <li>✓ Is the duration of the mechanism defined differently for each beneficiary?</li> <li>✓ Once the participation is completed, can the program be re-entered? Under what conditions?</li> <li>✓ Are there graduation strategies? Specify?</li> </ul>

12.- Conditionality and Sanctions
Describe actions subject to sanction beneficiaries.
Guidelines
<ul style="list-style-type: none"> <li>✓ Can the beneficiary leave the program?</li> <li>✓ What are the consequences for the beneficiary when leaving?</li> <li>✓ What are the conditionalities of the program?</li> <li>✓ How do conditionalities work?</li> <li>✓ What are the reasons whereby a beneficiary can be suspended or sanctioned?</li> <li>✓ Are there sanctions for non-compliance with conditionalities? Specify?</li> <li>✓ How does the program monitor compliance with conditionalities?</li> <li>✓ In the event that the beneficiary does not collect his / her benefit on time, are granted monetary benefits extinguished?</li> <li>✓ Do monetary benefits granted extinguish? Why?</li> </ul>

13.- Satisfaction Mechanism
Means to solve the problem. How does the measure or program in particular operates, in all its components and articulations, including access to the social protection system and measures to improve the capacity to generate income.
Guidelines
<ul style="list-style-type: none"> <li>✓ What is the purpose of the program?</li> <li>✓ <b>How does the program work?</b></li> </ul>



- ✓ What is the monitoring process?
- ✓ **What are the means for solving the problem of poverty?**
- ✓ How do actions carried out by the program promote the elimination or reduction of poverty?
- ✓ What are the stages of intervention and how do they work?
- ✓ What are the subprograms for labour (re)insertion?
- ✓ Which are the services associated with the benefits?
- ✓ How do monetary incentives work?
- ✓ How do non-monetary incentives work?
- ✓ What are the non-monetary intervention mechanisms?
- ✓ How do conditionalities work?
- ✓ What are the targeting mechanisms?
- ✓ Does the program have any non-monetary intervention mechanism?
- ✓ How do conditionalities work?

#### 14.-Results

Successes and failures of policies, including their operating system and approximate relationship of their results. Future challenges.

#### Guidelines

- ✓ Does the program have evaluation mechanisms?
- ✓ What have been the program's achievements and failures? Describe.
- ✓ Are evaluations incorporated into the program design framework?
- ✓ Is there an established periodicity for evaluations?
- ✓ Has the program been modified as a result of evaluations?
- ✓ How effective and efficient has the program been for poverty reduction / eradication?
- ✓ What elements can be improved in terms of poverty reduction / elimination?
- ✓ What have been the program's novel elements?

#### 15.- Consulted References

List sources used for completing the matrix.

## Appendix B TABLE FOR COMPARING CPT

Country	BRAZIL	CHILE	JAMAICA	MEXICO	PERU
Programme name	Bolsa Familia Programme	Familias Seguridades y Oportunidades (FSO) Programme	Programme of Advancement Through Health and Education-PATH	Inclusion Social Prospera Programme	Juntos Programme
<b>Total population per country</b>	208.5 million inhabitants (estimated to July 2018)	17.5 million inhabitants	2.8 million people	123.5 million inhabitants	32 million inhabitants
<b>% poverty or extreme poverty</b>	% of poverty is 8.7% (2015), according to World Bank data.	According to the CASEN survey 2017 (Encuesta de Caracterización Socioeconómica Nacional, National Socioeconomic Characterisation Survey), total (income) poverty reaches 8.6% of the population. 6.3% are in poverty and 2.3% are in extreme poverty. Multidimensional poverty reached 20% in 2017.	20% incidence of poverty 2014	43.6% of poverty. 36% of moderate poverty and 7.6% of extreme poverty (CONEVAL 2016)	21.7% of poverty.
<b>Definition of poverty per country</b>	The definitions used for poverty and extreme poverty refer to monthly income. Families in extreme poverty are the ones who have a monthly income of R\$89.00 (USD \$24) per person. On the other hand, families with monthly income between R\$89.01 to R\$178.00 (USD \$48) per person are	Income is used as the main definition of poverty, considering the households in extreme poverty (indigence) and non-extreme poverty. It is calculated according to poverty and extreme poverty threshold, which are built based on a basket of basic needs. It is measured from the data	The poverty lines are absolute measures of poverty and represent the level of food and non-food expenditure required to maintain a minimum acceptable standard of living. The food poverty line is equal to the food proportion of the adult equivalent poverty line and this	Poverty is understood as population living below the Minimum Wealth Line (MWL), which is equivalent to the cost of the food basket a month per person, estimated in \$49 USD for rural zones, and \$69 USD for urban zones. Poverty is also understood as the privation of capabilities	The concept of poverty used in this programme refers to monetary poverty, and the poverty threshold is determined by the INEI in approximately \$50 USD a month per person in the household (INEI 2016).

	considered poor.	reported in the CASEN Survey, applied every two years. In recent years, the definition of multidimensional poverty has been used in a complementary manner that, beyond income, includes gaps in other dimensions (education, health, work, social security and housing).	represents the minimum expenditure needed for an individual to meet basic nutritional requirements (PIOJ and STATIN 2016). A person is considered to be poor if his/her expenditure for consumption is less than the minimum level established by the regional poverty line for the region in which he/she resides (PIOJ and STATIN 2016).	and not only by its income component. Therefore, the process of poverty alleviation implies deepening the access to socioeconomic conditions that affect individual capacities.	
<b>Strategies for the alleviation of poverty</b>	From 2011, Brazil adopts the “Brazil without extreme poverty Plan”, a coordinated multidimensional strategy with clear and measurable objectives and goals. It is an initiative that aligns policies from different areas and seizes their synergies. This strategy is established on public systems of free public services of health, education and social assistance, as well as on the existence of a social welfare system, which in Brazil has contributory	Chile has acquired the international commitment to eradicate extreme poverty and, according to the Sustainable Development Goals, reduce it by half by 2030 through the implementation of National Social Protection Systems. The government's strategy to fight poverty is based on an Intersectoral Social Protection System that serves households, people and territories or specific groups in a situation of vulnerability and it includes, in	Towards the end of the 1990s, there was growing recognition within the Government that the existing welfare programmes in the country were not having the desired impact. Some income support and targeted transfer programmes were in place and operating, these included the Food Stamps, Outdoor Poor Relief and Public Assistance. Although these programmes were designed to safeguard the vulnerable, their benefits were seen as inadequate	Since the late 80s, the fight against extreme poverty has been done through different social protection programmes in Mexico, from targeted subsidies, to a model of conditional monetary transfers subject to attendance to schools and health centres by beneficiary families, which still exists. In this sense, guarantying poor people three basic pillars (health, education and food) were the goals assumed.	The strategy for poverty alleviation is focused on improving the life quality of the population in vulnerability or poverty, promoting the exercise of their rights, the access to opportunities, and the development of their own capabilities. Public action is concentrated on the eradication of extreme poverty and chronic infant malnutrition, the access of girls, boys and youth to the universal health and education networks to promote human capital and break the

	<p>and non-contributory components. Additionally, it coordinates existing programmes, such as <i>Bolsa Familia</i>, <i>Registro Único</i>, <i>Más Educación</i> Programme and <i>Luz para todos</i> Programme, and it also incorporates new programmes, such as mobile boats and social assistance mobile equipment, Pronatec's professional qualification courses, the Programme <i>Agua para todos</i> and <i>Bolsa Verde</i> Programme. The main guidelines of the Plan are: the prioritisation of the extremely poor population; care of their specific needs (inclusion and non-segregation); broad scale; national scope; federal agreement for the commitment of all states; adoption of simple forms of implementation and financing; and the adoption of clear goals (which will be monitored).</p>	<p>addition to the population living in poverty or indigence, other vulnerable groups such as children, the elderly and people with disabilities. The system works as an institutional network to support social integration, with mechanisms to expand opportunities (including conditional transfers and access to benefits or social services) accessed through a single targeting instrument (Social Protection Card).</p>	<p>(in value and outreach), they were not necessarily reaching the neediest, and they were suffering from a lack of timeliness, difficulty of access, and high cost. Part of the problem was perceived to lie in the fragmentation of the administration of benefits across government agencies and the lack of collaboration among them. As a result of the prevailing challenges at the time, the Government developed PATH as the centrepiece of a wholesale reform of these programmes, with the goal of knitting the safety net into a more fiscally sound and more efficient system of social assistance for the poor and vulnerable with a particular focus on the extremely poor. This programme replaced three major income support programmes: Food Stamps Programme, the Poor Relief Programme, and the Public Assistance</p>	<p>intergenerational poverty cycle.</p>
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			Programme.		
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General characteristics	Programme origin and evolution	<p><i>Bolsa Familia</i> Programme (PBF) in Brazil is a Conditional Monetary Transfers Programme with national coverage that aims at supporting families living in poverty or extreme poverty, as well as expanding access to education and health services. The programme was created by the Federal Government in October 2003 and became law in January 2004. It is foreseen in Federal Law No. 10,836, January 9, 2004, and regulated by Decree No. 5,209 December 17, 2004. September 2004, and other regulations.</p>	<p>Chilean social policy has developed from monetary subsidies, social security, social services and development programmes or social protection, where FSO is included. This programme's origin and foundation are the creation of Chile Solidario System at the end of the 1990s, where it is understood that the population living in poverty is subject to risks that keep them in a vulnerable condition. The programme was focused on eradicating extreme poverty, and it was institutionalized in 2004 as a large-scale intervention, concentrating on families, providing psychosocial support and accompaniment to families, in addition to transitory monetary transfers, for a better access to the social benefits of the State. Then, the Ethical Family Income Bonus was</p>	<p>The Path programme was initially implemented in the parish of St. Catherine in 2001 as a pilot. The Island-wide implementation began in 2002 (Levy and Ohls, 2007). PATH has been undertaken by the Government of Jamaica with the support of the World Bank which has provided a loan of US\$40 million. The loan took effect on February 28, 2002 and is to be disbursed over a four (4) year period. These funds are being supplemented by USD \$37.5 million from the Government of Jamaica (MLSS, 2005). The PATH programme generally utilizes all the funds budgeted to it for the financial year. The amount allotted each year varies based on the availability of funds from the government and partner agencies.</p>	<p>Programmes destined to fight extreme poverty begun in the late 80s, and they had evolved into PROSPERA. The National Programme of Social Solidarity (Programa Nacional de Solidaridad Social) 1988-1997; Progres a Health, Education and Food Programme (Programa de Salud, Educación y Alimentación Progres a) 1997-2002; Human Development Opportunities Programme (Programa de Desarrollo Humano Oportunidades) 2002-2014, and Social Inclusion PROSPERA Programme (Programa Prospera de Inclusión Social) 2014-2018. Since the late 90s, targeted subsidies idea is resumed, reforming into a conditional monetary transfer. The experience from previous programmes have made PROSPERA the most important social policy in Mexico. Beyond the sectors of food, health and education, PROSPERA</p>	<p>Juntos Programme was established in 2005 with the objective to contribute to poverty reduction and to break its intergenerational transmission, promoting the use of public services such as education, health and food. Juntos is included in the proliferation of conditional transfer programmes in Latin America, being the first of its kind in Peru, with its late adherence to this type of programmes. In its beginnings, it was targeted to populations in poverty conditions in the regions affected by the political violence of the previous decades, as a collective reparation programme; subsequently, it expanded to other regions and, by the end of 2005, it reached almost 60,000 households, which has grown to 800,000 households, becoming the most important programme in Peru. Other poverty alleviation</p>
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			created in 2011, as monetary transfers to families in extreme poverty, which later became the FSO Programme in 2012 under Law 20,595.		adds labour, productive and financial inclusion, and more institutional coordination with other existing programmes; and it considers that the transit to non-poverty has finalized fundamentally when the inclusion in labour markets allows to increase families' monetary incomes. At the moment of this report, PROSPERA is active pending ratification of the new Mexican authorities (in power from December 2018).	programmes in Peru refer to social pensions for elder population; infant care programmes; food and nutrition programmes; and programmes for the generation of economic opportunities for rural households.
	<b>Objectives and programmatic orientation</b>	The programme contributes to the fight against poverty and inequality in Brazil. It has 3 main axes: 1. Income supplement: families receive a benefit in cash every month, which is transferred directly by the Federal government. 2. Access to rights: Families must fulfill some commitments (conditions), which reinforce access to education, health and social assistance. The conditions are not	The programme responds to the challenge of fighting poverty, promoting social mobility, ensuring citizen participation and improving the targeting of social policies. From here, FSO is based on three action approaches for overcoming poverty. In first place, Systemic Family approach, considering the family as an intervention unit and in the improvement of living conditions; secondly, Capacities	The PATH programme was designed to have short-term poverty alleviation impacts, as well as potential for long-run impacts into the cycle of poverty affecting families. The main challenge to the programme is that of compliance. Although it has come a far way since its implementation phase, compliance at both the health centres and schools are still lagging. Some aspects of the programme have	In PROSPERA, four action approaches are combined: 1 Systemic Family Approach: the programme pretends, in future, the improvement in current family conditions and their most vulnerable members (women and children). 2. Capabilities Approach: broadening basic capabilities of the individuals and families to reduce their vulnerability condition. 3 Gender approach: equity in rights and opportunities for	The objective is to contribute guaranteed social protection to vulnerable groups with priority in pregnant women, children, adolescents and youths up to 19 years old in households in poverty situation, people in rural zones are a priority also, so they can access health, food and education services. The programme approach is Conditional Monetary Transfers, in order to increase the youth human capital and



		<p>punitive but have a logic of guaranteeing access to basic social rights, which is why the authorities must guarantee service offer. 3. Articulation with other actions: the programme has the capacity to integrate and articulate several policies in order to stimulate the development of families.</p>	<p>approach, to promote individuals' capabilities and assets to achieve better living conditions; and finally, Opportunities approach, to guarantee access to education, health, work, etc. The objectives of the FSO programme are: 1. Relieve the consequences of poverty in the short term by increasing household income through monetary transfers and access for adults working at home, including women. 2. Tackle the causes of poverty in the medium term through the association of incentives or conditionalities in order to access benefits, with human capital development mainly in health and education.</p>	<p>changed since it was introduced in 2002. Initial calculations of the number of elderly and disabled persons eligible for payments turned out to be much lower than the Government's targets. It was also decided upon after the first months of implementation, that compliance of certain conditions should only be applied to children, the elderly and the disabled, and not be applicable to pregnant and lactating mothers, nor to the destitute.</p>	<p>men and women; and 4. Rights Approach: their goal is to promote families' development in equal opportunities.</p>	<p>to break the intergenerational poverty cycle. Households commit to comply with the co-responsibility with the State, in exchange of an economic incentive; basically, the use of public services such as education, health and food, and national identification documents from pregnant women, children, adolescents, and youths.</p>
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	<b>Focus</b>	<p>The programme is focused on poor families and families in extreme poverty. However, there are programme quotas per municipality, according to an estimate of the poor population, so being part of this category does not guarantee immediate entry to the programme. The targeting instrument is a Single Registry, which is not exclusive to this programme but it is also used for all social programmes. Municipalities and federal governments are responsible for registering families. Likewise, interested families must approach the premises installed, where they are asked for the necessary documentation to prove their family income.</p>	<p>Programme focused on poor population and in extreme poverty population, according to characteristics of the vulnerable groups and to Law N° 20,595.</p>	<p>The programme is focalized on the poorest and most vulnerable (those falling in quintiles 1 and 2) such that poor household from any parish in Jamaica can apply to become beneficiaries. Rural and Urban poverty are different, as such, the cut-off point under the Proxy Means Test for rural differs from that of urban.</p>	<p>PROSPERA is a programme focused on households in extreme poverty.</p>	<p>Juntos Programme is targeted according to geographic location and poverty level criteria. The geographic targeting determines the districts that will be intervened and from them a household focalisation is done according to their poverty level in order to select the families eligible for the programme. The targeting by homes is based on the data from the Households Focalisation System (SISFOH). Besides, since 2014, it was determined that indigenous communities in the Peruvian rainforest will be assumed as in extreme poverty, independently from their classification in the system.</p>
	<b>Institutionality and application level</b>	<p><i>Bolsa Familia</i> Programme depends on the 3 levels of government, which have the following responsibilities and attributions:</p> <p>Federal Government: The</p>	<p>The Social Protection System, and FSO Programme, is coordinated at the central level by the Ministry of Social Development, which</p>	<p>The executing agency for the project is the Ministry of Labour and Social Services. The Ministry of Finance and the Public Service (MFPS) and the Planning Institute of</p>	<p>PROSPERA has a specific legal framework. The organism responsible for PROSPERA is the Social Development Secretary (Secretaría de Desarrollo Social, SEDESOL), part of</p>	<p>Juntos Programme is ascribe to the Development and Social Inclusion Ministry, although it has administrative and financial autonomy as a</p>

		<p>National Secretariat of Renda de Cidadania (Senarc), linked to the Ministério do Desenvolvimento Social (MDS) (Ministry of Social Development), is responsible for the programmes' procedures and administration. It is in charge of the formulation of management procedures and instruments; technical and financial support to states and municipalities; of making communication channels available between managers and beneficiaries; the articulation with other bodies and the integration of complementary actions; and of monitoring the programme. Besides, it manages the contract with the Caixa Econômica Federal (CAIXA), executor of the programme's payments.</p> <p>State Government: it is in charge of inter-sectoral coordination and articulation to monitor compliance with</p>	<p>centralizes the budget assigned under Law N° 20,595 that constitutes monetary transfers and transfer of resources to other institutions that provide services in this system. Accompaniment programmes are carried out by municipalities through teams of specialized professionals or, in some cases, in agreements with non-profit institutions, and in coordination with public services, and the Ministerial Regional Secretariats for Social Development. The network of associated services is executed by public agencies or departments in charge of specific programmes, in some cases in agreements with non-profit institutions.</p>	<p>Jamaica (PIOJ) are the implementing agencies for specific components. The four components of the project are:</p> <ol style="list-style-type: none"> <li>1. Improving Effectiveness of PATH</li> <li>2. Building Capacity for the Steps-to-Work programme</li> <li>3. Improving Public Pension Administration; and</li> <li>4. Developing a Holistic Social Protection Strategy (JCDC, 2010)</li> </ol> <p>The programme receives support from the Ministry of Education, the Planning Institute of Jamaica, the Ministry of Finance and Planning and other agencies involved in the government's social safety Net programmes such as the HEART/NTA.</p>	<p>the Federal Public Administration. For the execution of the programme there is a PROSPERA National Coordination, a decentralized body which coordinates the work with other public institutions. At the local level, State Delegations are in charge of the operation of the programme in each State. There are also normative instances such as a Technical Committee of National Coordination, in charge of the interpretation of the Operational Rules and State Technical Committees to establish an agreement between local actors that participate in PROSPERA.</p>	<p>programme. Juntos interacts with multiple State institutions, like the Ministry of Education (MINEDU), Ministry of Health (MINSA) and the National Identification Registry and Civil State (RENIEC), who provides the programme users' identity information. These organisms are in charge of the compliance with the co-responsibilities. Juntos Programme has an executive director and regional directors for each region where it's apply. At the local level, local managers are the nexus between the user and the project.</p>
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		<p>conditions; of training and giving technical support to the municipalities; of managing the financial resources; of supporting control and social participation.</p> <p>Local Government: the municipalities are responsible for the programme's local management, taking care of: the coordination with the areas of education, health and social assistance; benefits' management; managing financial resources; accompaniment and monitoring of actions; control support and social participation. Besides, in general, the cadastre of families works in the municipality, so the management of the Bolsa Familia and the Single Registry depend on the same area.</p>				
	<b>Budget and financing</b>	<p>R\$27,488,690,000 (\$9,151,729,779 USD) estimated for 2015.</p>	<p>\$368,037,672 USD according to 2018 budget Law.</p>	<p>The total budget of the PATH programme between 2001 and 2005 was \$78 million USD. Of this, approximately half was provided by the</p>	<p>PROSPERA programme gets State funding annually. Its budget reached \$4,010,387,160 USD in 2017. Nevertheless, for the</p>	<p>Juntos programme's budget is totally governmental. For 2017, the overall budget was of \$311,141,975 USD. Nevertheless, it has</p>

				Government of Jamaica and the remaining portion was provided by a loan from the World Bank (Overseas Development Institute, 2005).	management of this type of programmes, the Mexican government has subscribed loan contracts with the World Bank, to finance part of its annual budget. For PROSPERA, there is a current loan subscribed in 2014 for an amount of USD \$350 million, to be executed before June 2019.	received technical assistance from the World Bank financed by international cooperation, for some of its sectorial programmes.
<b>Programme implementation</b>	<b>Target-group and coverage</b>	Target group: Families who experience poverty or extreme poverty. Coverage: 13,936,791 households and, estimated 56,244,652 persons (2015).	Persons and families in extreme poverty and socioeconomic vulnerability. Mainly population in permanent vulnerability and/or that has previously participated in social assistance programmes. It also considers population in swinging vulnerability or individuals in conjunctural poverty.	The programme is focalized on the poorest and most vulnerable (those falling in quintiles 1 and 2) such that poor household from any parish in Jamaica can apply to become beneficiaries. Rural and Urban poverty are different, as such, the cut-off point under the Proxy Means Test for rural differs from that of urban. In 2015, there were 380,010 registered PATH beneficiaries. The total number of beneficiaries that received PATH payments over the same period was 310,018.	The programme focuses on extreme poverty and its target population are households with an estimated per capita income below the adjusted Minimum Wealth Line (MWL), which socioeconomic and income conditions do not allow the development of their members' capabilities in areas such as food, health and education. Between them, household with members below 22 years old, women in reproductive age and people with any disabilities are prioritized. The former definition allows PROSPERA to benefit foreign people,	Juntos Programme is targeted to families with children up to 19 years old, or pregnant women, that live in rural areas in a household in poverty situation. The programme has national scope and, with the years, has been capable of intervene in almost all Peruvian regions. Currently, the programme has almost 800,000 affiliate households, with 1.6 million people's benefited.

					even if their migratory situation is irregular. The coverage of the programme reaches all the municipalities of the country and SEDESOL beneficiaries' census reported more than 6 million registered families and a total of 25 million persons benefited in 2016.	
	<b>Eligibility criteria of beneficiaries</b>	Families in extreme poverty (monthly income per person up to R\$89.00 (USD \$24)) and poor families (monthly income per person between R\$89.01 and R\$178.00(USD \$48)) can participate in the programme, the latter, as long as they have children or adolescents from 0 to 17 years. In addition, they must enrol in the Single Registry, which is not exclusive to this programme but it is also used for all social programmes. Municipalities and federal governments are responsible for registering families.	Individuals or families who are in a situation of extreme poverty and socio-economic vulnerability can participate in this programme, and they are identified from their information in the Social Household Registry through the municipalities. People do not need to apply to the programme. Within this group, elderly people (65 years old or more) who live alone or accompanied by a person and who are in poverty are also prioritized; all children and adolescents who maintain a meaningful relationship with a person deprived of	The eligibility criteria for PATH rely on being a member of a poor family. There are five categories under which beneficiaries may fall; Children: from birth to completion of secondary school, Elderly: 60 years and older and not receiving a pension, Persons with disabilities, Pregnant and lactating women and Poor adults 18-59 years. To be a participant in the programme, an application must be submitted to the Ministry of Labour and Social Security (MLSS) parish office with detailed demographic and socio-economic information of the applicant(s). This	PROSPERA identifies as beneficiaries, in first place, families that hold a valid registry in the previous programme OPORTUNIDADES, which included more than 20% of the country's households. Besides, PROSPERA gives priority to those households with members younger than 22 years old, women in reproductive age, or people with disabilities. PROSPERA benefits also foreigners, even those in irregular migratory status. The focalisation is done in two phases: first consists of a geographical selection of the localities in accordance with a Social Risk Index, and	By regulation, the programme first focuses on geographical criteria, which limits its intervention in some districts, and in a second phase, it narrows by characteristics and the poverty levels of the households according with the households' focalisation system; if the person complies with the requirement enters the registry.

		<p>Likewise, interested families must approach the premises installed, where they are asked for the necessary documentation to prove their family income. Fulfilling these requirements is not a guarantee of automatically entering the programme since there are quotas per municipality, according to an estimate of families in poverty and extreme poverty.</p>	<p>liberty; and their caregivers; and people of legal age who are in homeless situation. Women heads of households, mothers, or couples of male heads of households, as long as they are over 18 years old, are prioritized when giving the benefits.</p>	<p>would allow the MLSS to calculate a household score which will be used to determine programme eligibility of each applicant.</p>	<p>then through a marginalisation index; the second stage consist of the recompilation of socioeconomic information at household level in the selected localities through a household survey of socioeconomic characterisation. Once selected the benefited household, for their incorporation an identification process of the household responsible is undertaken, who will directly receive the monetary supports. At this point, the programme evidences a clear gender perspective, which proves a preferential option for mothers above 15 years old.</p>	
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	Characteristics of the services or programme components	<p>The programme has 3 components: 1. Income supplement; 2. Access to rights (associated with component 1 as conditions to access the benefit); and 3. Articulation with other actions.</p> <p>Basic Benefit: Monthly payment of R\$89.00 (USD \$24), only for families in extreme poverty.</p> <p>Variable benefit:</p> <ul style="list-style-type: none"><li>- Related to children and adolescents between 0-15 years old: Monthly payment of R\$41.00 (USD \$11) to poor families and in extreme poverty, conditioned to school attendance of children between 6-15 years old.</li><li>- Related to pregnant women: Monthly payment of R\$41.00 (USD \$11) to poor families and in extreme poverty, conditioned to the assistance of the pregnant woman to monthly health check-ups. There are 9 instalments.</li><li>- Related to nursing mothers: Monthly</li></ul>	<p>The programme has 3 components: first, conditional or unconditional monetary transfers; a second component of accompaniment programmes focused on poor families, homeless people, children and adolescents with parents or important adults deprived of liberty and on vulnerable elderly people; a third component refers to access to other programmes and sectoral social services.</p> <p><b>Component 1.</b></p> <p>Conditional and unconditional transfers, which include different bonus that are intended to support families and individuals in the improvement of their living conditions from the income perspective; seeking also to reinforce positive behaviours or reward achievements during their participation process in the accompaniment programmes, thus complementing their</p>	<p><b>Base</b></p> <p>A base benefit of \$400.00 (USD \$3) per month was introduced under PATH in June 2010. Non-compliant beneficiaries receive a minimum benefit of \$400.00 (USD \$3) per month instead of no benefit at all. The remainder of the benefit is paid upon achievement of the required compliance conditionalities. As at October 2014:</p> <p><b>Education:</b></p> <table><thead><tr><th>Grade</th><th>Boys</th><th>Girls</th></tr></thead><tbody><tr><td>1 to 6</td><td>\$1,045</td><td>\$1,045 (USD \$8)</td></tr><tr><td>7 to 9</td><td>\$1,400</td><td>\$1,400 (USD \$11)</td></tr><tr><td>10 to 13</td><td>\$1,600</td><td>\$1,600 (USD \$12)</td></tr></tbody></table> <p><b>Health:</b></p> <p>Children 0 to 6 years receive \$1,000.00 (USD \$8) per month. Elderly \$1,725.00 (USD \$13) per month. All other categories receive \$1,190.00 (USD \$9) per month.</p> <p><b>Complementary Benefit:</b></p> <p>Beneficiary students at</p>	Grade	Boys	Girls	1 to 6	\$1,045	\$1,045 (USD \$8)	7 to 9	\$1,400	\$1,400 (USD \$11)	10 to 13	\$1,600	\$1,600 (USD \$12)	<p>Once the families are incorporated to PROSPERA, they may receive two types of supports: monetary transfer and in-kind transfers (determined goods and services). There are supports with co-responsibility or conditional, and other non-conditional. The first one it is when the family may receive simultaneously the supports of all components of the programme (health, education, food and links) because there is a sufficient coverage and attention capabilities. In this form, families are obliged to co-responsibility actions such as assist to health and education services to receive the support of the Programme. Regarding the non-conditional monetary transfers, they are transfers to the household responsible or members of the family to complement the household income and</p>	<p>Juntos Programme objective is to increase the human capital of poor population through the promotion of key public services such as education, health and food. To undertake this mission, the programme uses conditional monetary transfers to a series of co-responsibilities in the beneficiary household. These co-responsibilities are the children's school attendance, health appointments according with the life cycle of the child, adolescent or youth, and the identity documentation service. Promoting these practices, the programme expects children to be more prepared and have better chances to overcome their poverty situation. Juntos Programme economic incentive is the bimonthly payment of \$62 USD. The rate is flat and it does not change due to the characteristics of the beneficiary, including</p>
		Grade	Boys	Girls														
1 to 6	\$1,045	\$1,045 (USD \$8)																
7 to 9	\$1,400	\$1,400 (USD \$11)																
10 to 13	\$1,600	\$1,600 (USD \$12)																



		<p>payment of R\$41.00 (USD \$11) to poor families and in extreme poverty with infants between 0-6 months old. There are 6 instalments.</p> <p>- Related to adolescents: Monthly payment of R\$48.00 (USD \$13) (up to 2 per family) to poor families and in extreme poverty, conditioned to school attendance of adolescents between 16-17 years old. Benefit for overcoming extreme poverty: Value calculated for each case, destined to families in extreme poverty that do not reach income of R\$89.00 (USD \$24) per person, despite receiving the other benefits of the programme.</p> <p>The 3 levels of government (federal, state and local) must be with the families while fulfilling the commitments and guarantee their access to social services (education, health, social assistance). They must identify vulnerable families and</p>	<p>intervention. They are monthly delivered to families and FSO users or once subject to compliance with requirements or conditions, accompanied by a process of psychosocial intervention in homes. (Protection and family-based bonus, a bonus for families with children under 6 years old, a school attendance bonus, a bonus for those active in the socio-labour Accompaniment process, a bonus for adults' high school graduation and a bonus for working women)</p> <p><b>Component 2.</b> Consists of four psychosocial and socio-laboural accompaniment programmes, the delivery of benefits and monetary transfers for four specific groups: Families in extreme poverty and vulnerable situation (<i>Familias</i> Programme), homeless adults (<i>Calle</i> Programme), children and adolescents whose responsible adult is</p>	<p>the secondary level are exempted from the payment of tuition fees. The fees are paid by the Ministry of Education, Youth and Culture. These students also have free access to those text books which are normally available under the Government's Textbook Rental Scheme.</p>	<p>benefit their access to food, education and health.</p>	<p>number of children. The mother assumes the link with the State and represents the household. Male ownership cases occur only if the mother does not count with identity card or being widower or abandoned.</p>
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		guide families in the social assistance network.	deprived of liberty ( <i>Abriendo Caminos</i> Programme); persons older than 65 years old, who live alone or with one person, and who are in a situation of poverty ( <i>Vínculos</i> Programme). <b>Component 3:</b> Access to benefits and offer of social programmes of the State.			
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	<b>Transfers or monetary benefits</b>	<p>Money transfers are paid monthly, through a bank card that families receive when entering the programme (Cartão Bolsa Família), issued by the Caixa Econômica Federal (CAIXA). 93% of the cards are administered by women.</p>	<p>Transfers are paid monthly or only once, through electronic deposit in the bank account of the family collector or an account that is opened for beneficiaries without cost, or face-to-face payment in branches or offices. The monthly amounts are differentiated in time depending on the implementation period of the psychosocial support, and vary between approximately \$10 USD and \$25 USD monthly. The bonus provided only once, vary between \$75 USD and \$300 USD.</p>	<p>Payments are made to compliant beneficiaries by one of two modes, either by a cheque or by electronic transfer. Cheque payments are made through the island wide network of Post Offices and Postal Agencies administered by the Postal Corporation of Jamaica. Beneficiaries may choose to collect their benefits through the use of an electronic banking card-Keycard Cash, issued by the National Commercial Bank. Payments to beneficiaries are made in February, April, June, August, October and December, beginning the 15th day of each month.</p>	<p>Monetary supports are divided between the food components (food bonus), education (scholarships and monetary supports), and health (elder support). The programme determines a monthly maximum allowance that each family may receive for education and food support, which moves between \$89.5 – \$144.4 USD. Unless exceptions such as unique allocations or the support for tertiary education, the allowance distribution is given bimonthly. Besides monetary supports, families incorporated to PROSPERA may receive support in kinds.</p>	<p>The economic incentive of the Juntos Programmes is the bimonthly payment of \$62 USD. The rate is flat and it does not change due to the characteristics of the beneficiary, including number of children.</p>
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	<b>Conditionalities</b>	<p>The conditions to receive the monetary benefits are related to education and health. In particular, children's and adolescents' school attendance (85% for children from 6 to 15 years old and 75% for adolescents between 16-17 years old); vaccines for children up to 7 years old; and pregnant women's prenatal care.</p>	<p>The conditionalities and requirements of the users of the FSO Programme to access monetary transfers are established in Law N° 20,595, and are specific for each conditional monetary transfer. The co-responsibilities are that mainly health check-ups for children under 6 years of age remain current; school attendance of boys, girls and adolescents monthly equal to or greater than 85%; to be an effective participant of the socio-professional accompaniment programmes and its activities, to register continuous contributions for the health and pensions system or for Unemployment Insurance, to have completed secondary studies in an institution recognized by the State.</p>	<p>Continuous receipt of the benefit is linked to evidence of behavioural changes in the beneficiaries. As such, beneficiaries are required to comply with all established requirements. The two major categories of compliance requirements are that of Education and Health. The conditionalities are:</p> <ul style="list-style-type: none"> <li>- Education Conditionality: The Programme provides assistance for children between ages 6 and 17 years under an Education Grant. These beneficiaries are required to adhere to the requirement of an 85% minimum school attendance per month. Benefits are suspended where unacceptable absences exceeding 15% in any month.</li> <li>- Health Conditionality: All beneficiary groups outside the 6-17 years age range are required to adhere to a schedule of visits to designated Health Centres (the</li> </ul>	<p>The allocation of monetary and non-monetary benefits keeps happening as long as families comply with the conditions to remain in the Programme Beneficiaries Census. Families are obliged to co-responsibility actions, attend health and education services to receive the Programmes supports.</p>	<p>The economic incentive of the programme is subject to the eligibility requirements and the compliance with the co-responsibility; like children's school attendance, the health appointments according with the life cycle of the child, adolescent or youth, and the identity documentation service. If the beneficiary does not comply three times in a row with them, he or she may be suspended and even disqualified from the programme. Nevertheless, the programme allows the reincorporation under the commitment of complying with the requirements. The ministries of health, education and civil register do follow-ups of the co-responsibilities compliance and report the use of public services of the affiliates. This controls are taken by the local managers of the programme.</p>
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				number of visits required varies with the beneficiary category). Health Centre visits are free of cost to beneficiaries.		
	<b>Duration of benefit and exit strategy</b>	Periodically, people leave the programme either because they did not update their data in the Single Registry, or because they increased their income and no longer qualify to get the benefits. Failure to comply with the conditions can also lead people to leave the programme, but it is considered a last resort, after warnings and transfer suspensions (2 months). To give security to the beneficiaries, if families	All the accompaniment programmes last 24 months. Monetary transfers are delivered in periods of 24 months or once.	For the education grant, a beneficiary allocation is extended until he/she reaches the age of 18 years old unless they are enrolled in a post-secondary or tertiary institution. In which case there is a Post-secondary grant or a Tertiary grant which beneficiaries can apply for. A beneficiary may also be suspended or inactive if they are non-compliant. To be suspended, a beneficiary would have to be non-compliant for two consecutive payment	PROSPERA includes different supports to ensure the beneficiaries improvement, as well as increase their capabilities in a minimum timeframe of eight years	The benefit of Juntos is available meanwhile the family complies with the eligibility requirements and with the co-responsibilities. There are no graduation strategies in the programme, but there are initiatives and pilot programmes that look into the development of economic activities that may surplus the income that beneficiaries will not perceive once finished their participation in the programme. There are also initiatives to link

		raise their income to half a minimum wage per person and declare it to the Single Registry, they can stay two more years in the programme. Besides, people can leave the programme voluntarily, and for that they must notify the municipality. In this case, families have 36 months to re-enter the programme without going through the selection process if they meet the programme's criteria again.		periods (4 months). If no contact is made with the parish office or a social worker in contact with the family, the beneficiary will become inactive. However, beneficiaries can visit the parish offices or speak with their case worker to regain active statuses.		Juntos Programme with productive programmes.
	<b>Results or evaluations</b>	<i>Bolsa Familia</i> Programme has been analysed from a variety of perspectives, from its effect on poverty and inequality to the institutional challenges that a strategy of this magnitude imposed. Some of the positive effects observed are related to the beneficiary children and their progress in the school system, as well as more school attendance in some localities, which has resulted in a decrease in child labour. Also,	Different evaluations have been made to the Programme in its different stages of evolution, without reaching significant impacts in the structural reduction of poverty, and rather maintaining its results in improvements in the living conditions of the programme's beneficiaries. Among the main achievements or developments to improve the efficiency and effectiveness of the programme, the	The PATH programme was evaluated by an independent research contractor on 2007. The evidence indicates that PATH has been successful at targeting its benefits to the Island's poorest households. In particular, 58 per cent of benefits were found to go to the poorest quintile of the population. However, there may be room for at least some additional improvements in the targeting area. Also, PATH has been effective at	It's not clear that the programme has had an impact on extreme poverty reduction, which has only decrease 0.3% since 2013. Amongst its results, it can be observed an improvement of the targeting of the programme increasing the number of families helped and a statistical model that better predicts the families' socioeconomic situation. Other innovation is the use of mobile devices in	The Programme has an evaluation mechanism, but also external reviews by the IADB and independent consultants had been conducted. Amongst the main achievements of the programme is the compliance with its immediate objectives; scholar enrolment has increased and there is more interest in attending schools. Besides, benefited households report spending the food and

		<p>positive results have been found in the increase of prenatal care of beneficiary women and, as a consequence, greater weight in their newborns. On the other hand, the findings indicate that the programme has no negative effects on the participation of male beneficiaries in the labour market. Meanwhile, women, who are the main managers of the programme card, have acquired greater autonomy and have become empowered in relation to household decisions, purchase of durable goods, etc.</p>	<p>increased focus of the programme is highlighted through the modification of the targeting instrument in 2012 and the institutionalisation of the programme in Law N° 20,595. Likewise, the socio-labour support programme and the bonus for working women stand out as positive elements in the evaluations.</p>	<p>accomplishing its objectives of encouraging households to send their children to school with greater regularity and increasing the use of preventive health care for children in PATH families. On the other hand, while PATH was successful at increasing school attendance and preventive health visits, there is no evidence that it was able to affect longer term outcomes such as grades, advancement to next grade or health care status.</p>	<p>field work, which has allowed more celerity in the identification and families incorporation processes. This resulting in a better coverage in rural areas. Other functional modifications with good results had been the reallocation of supports in species towards monetary transfers and key elements in the exit strategies. Nevertheless, average monthly monetary allocations that families receive had not grown significantly. One of the main novelties of PROSPERA has been to include the link component that includes financial, labour and productive inclusion.</p>	<p>education bond, and it has had a profound impact in the reduction of critical severe malnutrition. Therefore, the objective of promoting the use of public services in rural households in poverty situation is being achieved. The programme does not impact the reduction of chronic malnutrition or children learning, nevertheless these variables do not depend solely on this programme, but also in the work of other sectorial institutions.</p>
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