



# Evaluation of the European Union's Regional Development Cooperation with Latin America (2009-2017)

**Final report**

**Volume 2**

**May 2019**

---

*Evaluation carried out on behalf of the European Commission*



**ECORYS**



**Lead company**  
Merzhauser Str. 183  
D-79100 Freiburg

Consortium composed of Particip, Ecorys, ECDPM, Fiscus, Itad and OPM

Leader of the Consortium: Particip GmbH

The evaluation was carried out by: Enzo Caputo, Jörn Dosch, Ana García Femenía, Warren Olding,  
Carlos Rivera, Tino Smail, Susan Soux, Sergio Uribe,

Contact person for this evaluation: [simon.dietrich@particip.de](mailto:simon.dietrich@particip.de)

FWC COM 2015 - Lot 1 - Evaluation  
EuropeAid/137211/DH/SER/Multi  
Specific Contract No°2017/387613

## **Evaluation of the European Union's Regional Development Cooperation with Latin America (2009-2017)**

This evaluation was commissioned by the Evaluation and Results Unit of the DG  
DEVCO (European Commission).

Implemented by Particip GmbH



The opinions expressed in this document represent the authors' points of view  
which are not necessarily shared by the European Commission or by the authorities  
of the countries involved.

# Evaluation of the European Union's Regional Development Cooperation with Latin America (2009-2017)

## Final report - Volume 2

- Volume 1: Main report**
- Volume 2: Detailed evidence matrix**
- Volume 3: Annexes**

### **VOLUME 1: Main Report**

#### Executive summary

1. Introduction
2. Context
3. Evaluation questions - main findings
4. Conclusions
5. Recommendations

### **VOLUME 2: Detailed evidence matrix**

1. EQ 1 - Strategic directions
2. EQ 2 - Implementation approaches
3. EQ 3 - Security-development nexus
4. EQ 4 - Environment and climate change
5. EQ 5 - Social equity
6. EQ 6 - Inclusive growth
7. EQ 7 - Higher education

### **VOLUME 3: Annexes**

1. Annex 1: Terms of reference
2. Annex 2: List of persons interviewed
3. Annex 3: List of documents
4. Annex 4: Evaluation matrix
5. Annex 5: Inventory
6. Annex 6: Intervention logic
7. Annex 7: E-survey report
8. Annex 8: Field mission notes

# Evaluation of the European Union's Regional Development Cooperation with Latin America (2009-2017)

## Final report - Volume 2

*This volume presents the evidence underpinning the main evaluation findings that emerged from each of the seven evaluation questions, and following the structure of the evaluation matrix elaborated during the inception phase (see volume 3 annex 4). Findings are grouped by judgement criterion and were developed from the data collection based on indicators. For each finding, the text specifies the sources of information as well as an appreciation of the strength of the evidence according to the scale: "weak", "medium" or "strong".*

### Table of Content

<b>1</b>	<b>EQ 1 - Strategic directions</b>	<b>1</b>
1.1	JC 11 - Responsiveness, participation and alignment	1
1.2	JC 12 - High-level dialogue	13
1.3	JC 13 - Coherence with the EU external action policy framework	18
<b>2</b>	<b>EQ 2 - Implementation approaches</b>	<b>23</b>
2.1	JC 21 - Added value of the regional approach	23
2.2	JC 22 - Synergies with bilateral and regional/sub-regional support	28
2.3	JC 23 - Synergies with other EU financing instruments	33
2.4	JC 24 - Synergies with EU MS and other donors	38
2.5	JC 25 - Approaches (incl. modes of delivery and implementing partners)	41
<b>3</b>	<b>EQ 3 - Security-development nexus</b>	<b>50</b>
3.1	JC 31 - EU-LA policy exchanges and institutional networking	50
3.2	JC 32 - Intra-regional cooperation	55
3.3	JC 33 - Legal, policy and institutional environment	58
3.4	JC 34 - Broader results	61
<b>4</b>	<b>EQ 4 - Environment and climate change</b>	<b>65</b>
4.1	JC 41 - EU-LA policy exchanges and institutional networking	65
4.2	JC 42 - Intra-regional cooperation	70
4.3	JC 43 - Legal, policy and institutional environment	75
4.4	JC 44 - Broader results	81
<b>5</b>	<b>EQ 5 - Social equity</b>	<b>85</b>
5.1	JC 51 - EU-LA policy exchanges and institutional networking	85
5.2	JC 52 - Intra-regional policy dialogue	90
5.3	JC 53 - Legal, policy and institutional environment	93
5.4	JC 54 - Broader results	97
<b>6</b>	<b>EQ 6 - Inclusive growth</b>	<b>101</b>
6.1	JC 61 - EU-LA policy exchanges and institutional networking	101
6.2	JC 62 - Intra-regional policy dialogue	105
6.3	JC 63 - Legal, policy and institutional environment	107
6.4	JC 64 - Broader results	110
<b>7</b>	<b>EQ 7 - Higher education</b>	<b>113</b>
7.1	JC 71 - EU-LA policy exchanges and institutional networking	113
7.2	JC 72 - Intra-regional cooperation, sharing and learning	118
7.3	JC 73 - Employability	121
7.4	JC 74 - Fostering bi-regional knowledge communities	126

## 1 EQ 1 - Strategic directions

To what extent has the EU development cooperation responded in a flexible way to the regional policy priorities and to the partner countries' needs while being in line with the overall EU external action policy framework?

This EQ covers three main dimensions/judgement criteria:

- JC 11: Responsiveness, participation and alignment
- JC 12: High-level dialogue
- JC 13: Coherence with the EU external action policy framework.

### 1.1 JC 11 - Responsiveness, participation and alignment

#### 1.1.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 11: EU support responded to the needs and challenges of the region, and was coherent with the <b>policy framework of LA partner governments and organisations</b>	I-111 Existence of an <u>analysis of needs</u> and challenges in the EU programming documents I-112 Degree to which EU programming documents have taken <u>cross-cutting issues</u> into account (especially gender and vulnerability) I-113 Degree to which <u>LA partners</u> (including government and civil society) have been involved in the design of the development cooperation strategy I-114 Correspondence of the EU support's <u>objectives</u> with the strategic objectives of LA partners, especially at regional level I-115 Degree to which the EU has effectively adapted cooperation in the <u>context of crisis</u> (including political crisis such as in the case of Venezuela and Brazil) I-116 Degree to which EU regional programmes have supported or responded to the <u>graduation</u> process

#### 1.1.2 Main findings and related evidence

##### 1.1.2.1 Finding: Strategies and programmes reflected the needs and priorities of the partner countries and institutions

<b>Related indicators:</b>	I-111
<b>Sources of information:</b>	Documents (selection - see also Volume 3): <ul style="list-style-type: none"> <li>• Strategy/programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Thematic studies</li> </ul> Interviews in Brussels and LA (see Volume 3) eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

#### Security-development nexus

In the security sector, the design of the EU-CELAC migration project responded to the needs and challenges faced by both Europe and LAC countries in relation to heavy migration flows from LAC to Europe. The common need to better understand the increased migration and to define areas for mutual cooperation was identified by the Heads of State during the EU-CELAC 5th Summit of 2008 where it was also decided to establish the Structured and Comprehensive Dialogue on Migration<sup>1</sup>. The Project focused on data collection, processing and sharing on migration, migration management and labour migration policy, and promoting the productive investment of remittances, while strengthening the capacity of CELAC countries' institutions.<sup>2</sup> The migration project was agreed upon at the political level of the Dialogue and was designed without any further needs assessment.<sup>3</sup> The project

<sup>1</sup> Annex 4 to the AAP 2010 of the Thematic Programme for Cooperation with Third Countries I the Field of Migration and Asylum AIDCO (2010) D/NNN p.2

<sup>2</sup> EU (2015): Final Evaluation of the EU-CELAC migration project.

<sup>3</sup> Main source: interviews.

elaborated a publication, “Migratory Routes and Dynamics between Latin American and Caribbean (LAC) Countries and Between LAC and the European Union” which, although not identified as such, took a political economy perspective – it looked at the reasons for the historical and current trends in migration by examining the interaction of elements based in the economy, politics, colonial history, culture, gender, legal structures and security.

The Cooperation programme between Latin America, the Caribbean and the European Union on Drugs Policies” (COPOLAD) comprised a comprehensive needs analysis which clearly identified target groups (especially the National Drugs Observatories), described the high turnover in partner institutions as a major challenge, and moved from a focus on top-down training of individuals in COPOLAD I to a more holistic and demand-driven approach in COPOLAD II. However, some challenges faced during implementation of COPOLAD I highlighted weaknesses in the design, particularly an insufficient depth in the analysis of capacity needs,<sup>4</sup> for example, the report concluded that there was a significant imbalance between available inputs and expected outputs, also the main objective encompassed other three objectives themselves (strengthening capacity of national authorities to draft drug policies; support regional cooperation in LAC; reinforce EU-CELAC dialogue). The evaluation of COPOLAD also stressed the lack of complementary, cooperation and coordination between the programme and other capacity development activities.<sup>5</sup>

The Cocaine Route Programme (CRP) was initially designed to confront an emergency, i.e. the fact that cocaine was shipped to Europe via West Africa as an alternative route to the LA and Caribbean channels.

EL PAcCTO was designed to offer technical assistance to LA to strengthen Rule of Law and Security as LA features some of the highest rates of criminal violence in the world. Many countries face particular security challenges that are of global concern. Public insecurity, organised crime, drug trafficking, money laundering and corruption remain of paramount importance in regional agendas. EL PAcCTO is designed to support AMERIPOL and INTERPOL. According to interviews there was no formal needs assessment conducted, questionnaires were sent to countries and visits were conducted in 15 of 18 countries to consult and 2 meetings were held between EU/CELAC in Feb 2016 then Jan 2017. EU-CELAC defined the project then EC took over with input prior to Action Fiche.

#### Environment and climate change

The Identification Fiche (IF) of EUROCLIMA I (2009-2013) indicates a satisfactory and comprehensive needs assessment took place in of, inter alia, the institutional capacity needs (ranked good, moderate, or low) of the 18 LA countries’ national focal points (NFP) and the designated national authority responsible for UNFCCC and first commitment period of the Kyoto Protocol 2008-2012. In the interests of enhancing ownership, EUROCLIMA II (2014-2017) focused on the priority needs of the 18 LA countries concerned. EUROCLIMA+ (2017-2021) builds on the achievements and lessons learned from EUROCLIMA II and responds to the needs of all 18 LA countries to meet their obligations under the Paris Agreement agreed at COP 21 (2015).<sup>6</sup>

The identification of WATERCLIMA (2014-2017) responded to the needs of each LA country to develop an integrated water management system, based on a needs and priorities analysis.<sup>7</sup> However, the Desk review found this analysis focused on building institutional capacity primarily at the country/sector level. This situation encouraged respondents to the calls for proposals to focus on supporting national, or sub-national needs, rather than focusing at trans-boundary, sub-regional or regional levels, where major challenges remain unresolved concerning the application of effective water resources management. RALCEA (2010-2015) responded to the needs identified under the framework of the EUWI Latin America Working Group (EU member states and the water directorates of LA countries) and the priorities identified through the Latin American Conference of Water Directors (CODIA).

EUROSOLAR (2007-2013) was identified in accordance with the national electrification policies and needs of 600 marginalised rural communities in eight countries in LA not linked to the electricity grid: Bolivia, Ecuador, El Salvador, Guatemala, Honduras, Nicaragua, Paraguay and Peru. The countries were chosen because they had the lowest Human Development Index at the time the intervention was

<sup>4</sup> EU (2015): Final Evaluation of the COPOLAD Programme (2010-2014).

<sup>5</sup> EU (2015): Final Evaluation of the COPOLAD Programme (2010-2014).

<sup>6</sup> Council conclusions on European climate diplomacy after COP21 as adopted by the Council at its 3447th meeting held on 15 February 2016.

<sup>7</sup> Thematic study on the common problems and challenges in the integrated management of water resources and coasts in the context of climate change in LA, the experts visited eight countries (Dominican Republic, Nicaragua, Panama, Peru, Bolivia, Chile, Argentina and Brazil).

designed. The final evaluation found that while most countries were well chosen because they lacked conventional electrification in isolated communities, progress in the expansion of conventional rural electrification in El Salvador and Paraguay meant the need for alternative energy solutions was less important at the end of EUROSOLAR in 2013 than when it was identified and designed in 2007. External evaluations (mid-term and ex-post) also confirm that although the programme was designed as a regional intervention, its expected results focus primarily on achievements at the national level, reinforced by the fact each beneficiary country has different needs and priorities.<sup>8</sup>

#### Social equity

Programming documents in the area of social cohesion include relevant needs analyses and public policy assessments. URBAL III provides analysis on how cities and other territorial configurations play a key role in helping communities advance towards a more cohesive society. EUROsociAL II focuses on the challenges to reach social cohesion in LA. EUROsociAL + links a needs assessment to the challenges to face inequality in the region.

#### Inclusive growth

In the sector “Inclusive and sustainable growth”, the documentation reviewed at strategy and intervention level shows a detailed understanding of the main challenges faced by LA economies in terms of competitiveness and trade and a high degree of relevance of the programmes implemented. While the needs analyses presented in the project documents remain succinct, they make references to relevant recent studies published by the ECLAC/OECD and both EU and LA research institutions/think tanks, and clearly highlight important issues such as the low level of regional integration, the key role played by Micro, small and medium enterprises (MSMEs) in the economy of the region and the main barriers that impede MSMEs’ competitiveness and access to regional and international markets. They clearly identify the importance of the integration of MSMEs into networks and value chains, and the opportunities offered by the action of business membership organisations.

One programme, AL-INVEST, has played a central role in the EU regional support. The programme started in 1994 and is currently in its fifth phase. Phase III (implemented before the evaluation period) pursued general objectives related to regional integration and increased ties between EU and LA enterprises. AL-INVEST IV and 5.0 put less emphasis on EU enterprises to concentrate on LA MSMEs. While AL-INVEST IV consisted on various actions aimed at enhancing the competitiveness and internationalisation of MSMEs, Phase 5.0 (ongoing) had a clearer focus on increased competitiveness. This change of strategy aimed at addressing the needs of smaller companies (including micro) and not only the ones having a size important enough to consider internationalisation. The new phase also integrated a stronger dimension related to the strengthening of national policy frameworks. Despite substantial changes in the programme’s design, there has been some level of continuity between the different phases, in particular in terms of the actors involved and the emphasis on supporting business linkages. Each phase built on the previous one allowing the EU and its partners to increase their understanding of the main challenges faced by the programme’s beneficiaries. A major evolution between the different phases has actually been the adjustment of its coverage through a redefinition of the programme’s target groups. In particular, AL-INVEST 5.0 has reflected a strategic shift in the EU support with a narrower focus on MSMEs with a clear growth potential.

A major feature of AL-INVEST’s recent phases has been the decentralised approach adopted to implement the support: instead of identifying needs and the response strategy in a detail manner at central level, the business membership organisations involved in the programme’s implementation would define specific activities to be undertaken on the basis of criteria reflecting local comparative advantages and needs. This was achieved through a subgranting mechanism.

A major weakness of the AL-INVEST programme has been the very limited attention paid to issues related to gender equality and integration of marginalised groups. In particular, while the programme includes some actions targeting women, there is no indication of a strong gender-sensitive design of the actions foreseen.

#### Higher education

Unlike in the other sectors, EU support to higher education was not embedded in a discussion or analysis of regional needs. The RSP 2007-2013 for Latin America mentions ALFA and ERASMUS MUNDUS as a contribution to the development of human resources and mutual understanding between the EU and Latin America but does not elaborate on the situation, challenges and needs in higher education in detail. There is some limited coverage of existing and planned interventions in

---

<sup>8</sup> Ex-post Evaluation of the EUROSOLAR programme, 03 March 2014, see Annex 1: Synthesis of previous evaluations and ROM missions.

support of higher education: “A large-scale programme will be mounted to improve higher education in the region based on experience gathered in programmes which are already running. It will focus on links with employment and the involvement of business in educational institutions. In line with the Vienna Declaration, there will be a major visibility component”.<sup>9</sup> ALFA III programme documents briefly stress Latin American needs in higher education but this falls short of an analysis.<sup>10</sup> The designs of the global programmes, Erasmus Mundus and Erasmus+, do not comprise needs analyses for individual regions. The MIP 2014-2020 aims to promoting higher education exchanges and cooperation between the EU and Latin America and briefly notes, “Supporting Higher Education (HE) in Latin America is also a long-standing objective of the EU-LAC bi-regional partnership to provide the region with the knowledge and skills for addressing continued developmental needs in the region. Cooperation under this strand will be fully integrated into the Erasmus+ programme for 2014-2020.”<sup>11</sup>

### 1.1.2.2 Finding: Improved quality of needs analyses with regards to cross-cutting issues

<b>Related indicators:</b>	I-112
<b>Sources of information:</b>	Documents (selection) <ul style="list-style-type: none"> <li>• Strategy/programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Thematic studies</li> </ul> Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

The MIP Latin America 2014-2020 identifies the following cross-cutting issues: (1) Human rights protection, in particular of vulnerable populations, and enhanced adherence to relevant international mechanisms; and (2) Gender equality and elimination of gender-related violence as cross-cutting issues. This is a progress compared to the MIP and RIP 2011- 2013 which mentions gender and vulnerability as crucial but not cross-cutting issues. Throughout all sectors, programme designs elaborate on gender-related issues and challenges and identify relevant actions in response to the challenges. The same applies – albeit to a somewhat lesser extent – to vulnerable and marginalised groups.

#### Security-development nexus

The feminisation of migration was widely recognised when designing the migration project, as was the need to crosscut both gender and human rights, however neither was systematically addressed in the design of the EU-CELAC migration project, consequently not effectively present throughout the project.<sup>12</sup> According to interviews, as the project evolved, gender was more fully integrated, as can be seen in project documents.<sup>13</sup> COPOLAD I had an equally strong focus on gender. One annual conference was exclusively dedicated to the gender-dimension of the drug phenomenon. COPOLAD II is designed to ensure that gender as a cross-cutting issue will be even further strengthened. Beneficiaries are requested to include a global gender analysis of all activities in the yearly progress reports. Both programmes have also taken vulnerable and marginalised groups into account but it is unclear at this stage to what extent this has happened. The EL PAcCTO project identifies Gender as a cross-cutting issue for “specific and differentiated treatment” and as a focus for looking at women and organised crime. According to interviews 1/3 of activities have gender approach, there is no demand from countries but they will bring on a gender expert to undertake a study on ‘organised crime and gender’.

#### Environment and climate change

The AF of EUROCLIMA+ provides a provision for cross-cutting issues that includes application of the Lima Work Programme on Gender (2014) and respecting human rights including those of indigenous peoples, which it recognises have benefited least of all from poverty alleviation. In addition, the evaluation was informed by the EC that EUROCLIMA+ is in the process of establishing a gender expert to respond to and monitor gender equality in the programme (2018). The AF of RALCEA was

<sup>9</sup> RSP Latin America, 2007-2013, p. 17.

<sup>10</sup> EU (2010): ALFA III Mid-Term Evaluation.

<sup>11</sup> MIP Latin America, 2014-2020, p. 4.

<sup>12</sup> EU (2015): Final Evaluation of the EU-CELAC migration project.

<sup>13</sup> Remittances from a gender perspective – Adriana DETRELL, ION. “Strengthening the dialogue and cooperation between the EU and LAC to establish management models on migration and development policies”. FIIAPP, EU. (Power point presentation used for project.) Also [https://publications.iom.int/system/files/pdf/manual\\_de\\_remesas\\_en\\_0.pdf](https://publications.iom.int/system/files/pdf/manual_de_remesas_en_0.pdf)



found to make no explicit reference on the need to target vulnerable groups or on the integration of gender issues or human/indigenous rights even though during the identification of the programme attention was to be given to “Integration of gender issues and those referring to the indigenous population”. In the case of the EUROSOLAR programme its design does include the importance of securing the participation of women in the project, but that this was not backed up by targeting specific funding to advance the gender equality in general and women in particular.

#### Social equity

The quality of needs analyses with regards to gender have substantially improved over the period under evaluation. URBAL III and EUROsocial II only included short references to the issue of gender as a cross-cutting priority in all its activities. However, in line with MIP for Latin America 2014-2020, gender has become a key area of intervention under EUROsocial+ and the programming documents provide an extensive needs analysis, partially based on the work already conducted by ECLAC on the gender topic in the region. Strategy and programming documents also identify relevant actions targeting vulnerable/marginalised groups at different levels. URBAL III referred in a generic way to “vulnerable social groups”. EUROsocial II focused on social protection and employment policies, especially for workers in the informal economy and vulnerable groups. EUROsocial+ places special attention on indigenous peoples and migrants.<sup>14</sup>

#### Inclusive growth

For this sector, both “Gender equality” and “Marginalised groups” are mentioned in the programme documents, but in a rather general way. There has been an increased focus on gender issues in the various phases of AL INVEST. It should be highlighted that some consortia implementing AL INVEST IV core component developed some gender equality actions. Through the RA consortium, AL INVEST IV has also supported women entrepreneurs through the Nucleus approach in the handicrafts and jewellery sectors<sup>15</sup>. It is worth highlighting COEXPORT’s objective ‘support to the 80% of artisan women’ (El Salvador) or the CAMC consortium’s training programme for Women Leaders in the region of Limón (Costa Rica). Progress and monitoring reports for AL INVEST 5.0 indicate that the more recent phase of the programme also included some activities specifically aimed at empowering women entrepreneurs. Moreover, AL INVEST 5.0 has established gender criteria as a condition to participate in the calls for proposals. Overall, reporting does include basic statistics on the number of women entrepreneurs reached. However, overall, gender issues are still not addressed in a holistic or strategic way. The theme was covered in very general terms in the design of the programme. The action document of AL INVEST 5.0 does not reflect a detailed gender analysis. It only mentions: *“Gender equality: When defining the focus sectors in the specific countries, attention should be paid to include sectors that have a high percentage of women workers and entrepreneurs and to promote the participation of women entrepreneurs in all sectors. Here a direct follow/up to several successful activities of the ALINVEST IV programme should be sought, for example the groups of women entrepreneurs and the strategy to focus on sectors with a high percentage of women entrepreneurs in several actions.”*

#### Higher education

ALFA III and Erasmus Mundus, as all other EU-funded programmes in support of HE, promoted inclusiveness in HE from a gender perspective, and some promoted other under-represented, disadvantaged groups. While the Erasmus+ programme guide claims that *“Erasmus+ is an effective instrument to promote the inclusion of people with disadvantaged backgrounds, including newly arrived migrants”* and lists several examples of disadvantages,<sup>16</sup> it does not provide any specific selection criteria.

<sup>14</sup> Action Document Ref. Ares(2015)2186118, p 8-9.

<sup>15</sup> Al Invest IV Final Evaluation, Brussels, June 2014.

<sup>16</sup> Erasmus+ Programme Guide, Version 1 (2018): 25/10/2017, p. 5, 10.

### 1.1.2.3 Finding: Participation of non-state stakeholders in the design of programmes increased

<b>Related indicators:</b>	I-113
<b>Sources of information:</b>	Documents (selection) <ul style="list-style-type: none"> <li>• Strategy/programming documents</li> <li>• Programme/project evaluation reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Medium

#### Security-development nexus

Participation in the migration project was extensive as it included 33 LAC government and administration representatives along with representatives of regional organisations. It also included NGOs and migration experts and researchers, both local and international. However, although the Dialogue and the Project had been based on principles of mutual cooperation, shared responsibility and shared management of migration, participation was undermined by not actively including the LAC states in the design of the project, and this factor produced ongoing challenges for implementation with feelings of not being equal partners. The LAC countries consequently could not come to a consensus on joining the Steering Committee and therefore remained absent throughout. Participation did improve at the country level during implementation of activities allowing for an adequate alignment with their necessities. Although NGOs and other experts were included in activities of the project it was observed that their participation should have been more broadly integrated.

In general, COPOLAD I and II were characterised by strong participation from national authorities in LA countries. Although for COPOLAD I not all beneficiaries were consulted.<sup>17</sup> For COPOLAD II, the consortium leader FIIAPP organised broad consultations with beneficiaries to define the programme strategy.<sup>18</sup> PRELAC was the first EU-financed bi-regional initiative that focused on the development of triangular relationships between private sector, government entities and law enforcement and was thus based on the strong participation of the involved stakeholders.<sup>19</sup> The EU-LAC Coordination and Cooperation Mechanism on Drugs and EU-CAN High-Level Specialised Dialogue on Drugs provide frameworks for the discussion of drugs between the two regions, facilitating agreement and shared approaches.

#### Environment and climate change

The quality of the participatory process applied to identify the main objectives of EU cooperation in E&CC sector in Latin America was found to have been satisfactory in the design of the Regional Strategy Paper for Latin America. This has been facilitated by several positive developments in the 2009-2018 period such as, among others: 1) the Environment Ministers of LA agreeing to the establishment of the Regional Cooperation Platform on Climate Change for Latin America in 2016 through which priorities and strategies could be discussed with the EU in relation to implementing the Paris Agreement (December 2015); 2) engaging the national focal points in the EUROCLIMA programme to identify the a new phase of the programme with the European Commission in 2016, which facilitated the not only the identification of EUROCLIMA+, but its implementation in close association with its LA partners; 3) facilitating, through calls for proposals, the development of alliances between LA partners at the national and subnational levels and specialist organisations in water management from Europe in order to propose water management-related projects under the RALCEA and WATERCLIMA initiatives; and 4) forging alliances with LA partners from the ministries responsible for renewable energy, education and health in designing and implementing the EUROSOLAR programme in isolated communities off-grid.

Nonetheless, the evaluation also identified caveats concerning the involvement of LA partners in the design of EU development cooperation in the E&CC sector. Most significant is the lack of a regional body responsible for managing the implementation of agreements reached between LA partners, in particular in the Ministries responsible for E&CC, and the EU that are supportive of the implementation of the regional strategy paper in general and the Multilateral Environment Agreements (MEAs) and the Paris Agreement in particular. Likewise, at the sector level there is no regional body that can support

<sup>17</sup> EU (2015): Final Evaluation of the COPOLAD Programme (2010-2014)

<sup>18</sup> ECB (2016): COPOLAD II Executive Summary

<sup>19</sup> UNODC Independent Evaluation Unit (2012): Independent Project Evaluation of the Prevention of the diversion of Drugs precursors in the Latin American and the Caribbean Region, PRELAC, p. 24.

all 18 LA partners to act on specific sector agreements relating to advances in natural resources management at the regional level, with the exception of the Conference of Ibero-American Water Directors (CODIA in Spanish).<sup>20</sup>

#### Social equity

Social cohesion was promoted as a priority of the strategic alliance between the two regions in the period under evaluation. National governments were therefore involved in the identification of the objectives of the cooperation at a high level since the EU-LAC Guadalajara Summit (2004). Participation of social partners and civil society in the bi-regional process has been strengthened through the Civil Society Fora organised by the Economic and Social Committee (ESCE), although it is not clear at this stage if those summits did have an influence on political decisions. At programme level EUROsociAL witnessed an increased participation process of national authorities at the design stage of the different programme phases. Between December 2016 and June 2017 EUROsociAL+ conducted 14 country missions in order to raise national demands related to the three focal thematic areas: gender equality policies, democratic governance policies and social policies.

#### Inclusive growth

The continuity of the support provided and the high level of decentralisation ensured that feedback received from stakeholders such as business membership organisations fed into the design of the new phase. However, overall, the range of stakeholders involved in the design of the AL-INVEST regional programme (phases IV and 5.0) has been limited. Consultations mostly involved high level public and private actors, and quite scant. There has been very limited involvement of groups such as CSOs active in the area of women entrepreneurship, which would have strengthened the integration of gender-related aspects in the design of the programme. The fact that AL-INVEST is considered as a well-established programme by LA stakeholders only partially explains the limited efforts put into ensuring broad participation in the design.

In the earlier phases of AL-INVEST (e.g. Phase III), there had been some attempts to ensure a high level of participation of EU stakeholders in the design and implementation. However, it turned out to be difficult to maintain their interest in the programme and their participation has been limited to a few actors (e.g. Eurochambres) in the more recent phases.

#### Higher education

Within the EU-CELAC cooperation framework, officials from both regions have expressed a strong commitment towards the establishment of sustainable structural cooperation in higher education and science based on increased research cooperation, enhanced mobility of researchers, educational staff and exchange of knowledge and best practices. EU-CELAC cooperation, particularly the summit meetings, works as an agenda setter for the continuous development of the cooperation strategy.

Non-state stakeholders participated in regional dialogues in Latin America in the field of higher education. In most of the ALFA III projects, links were established with civil society stakeholders in order to facilitate closer interaction and a broader dialogue on reform issues between HEIs and society (e.g. labour market, NGOs, marginalised groups, educational bodies).<sup>21</sup>

#### **1.1.2.4 Finding: EU support's objectives well-aligned with the strategic objectives of LA partners**

<b>Related indicators:</b>	I-114
<b>Sources of information:</b>	Documents (selection) <ul style="list-style-type: none"> <li>• Strategy/programming documents</li> <li>• Programme/project evaluation reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

#### Security-development nexus

The definition of migration as an issue in need of analysis and action was concluded jointly by both the EU and the LAC member states, during the EU-LAC Summit of 2008. Large flows of migrants leaving

<sup>20</sup> The CODIA has technical secretariat in Madrid, Spain, to support the implementation of its Strategic Plan (2014). However, in spite of RALCEA's efforts to support the CODIA, the evaluation found no evidence to indicate the EU has established permanent coordination and dialogue with the LA partners involved, although there is potential for this to change given AECID is co-managing the water theme under EUROCLIMA+.

<sup>21</sup> See EQ 7.

LAC for Europe concerned by both Parties and required a data base, improved migration management capacity and strategic investment of remittance payments to be used for development. The concern was translated into the establishment of the Structured Dialogue on Migration and then the Project on Migration which both aligned clearly with EU and LA policy priorities.<sup>22</sup> Overall, the objectives of the migration project were in line with the LAC countries development and migration policies and laws (see also final evaluation of the migration project).

The adoption of shared responsibility eased the alignment of common values and approaches to the drug issue. Strong continuity between COPOLAD I and COPOLAD II in this regard. Both programmes stayed closely aligned with the EU-CELAC Strategic Partnership and Action Plans. Beneficiaries gave high support and value to the programme objective, yet some approaches were not considered fully adapted for the regional context. The mid-term evaluation of the strategy showed that both beneficiaries and the EU thought that current problems in relation to drug policies were addressed. Yet, stakeholders also identified other areas in need of more focus: legislation regarding new psychoactive drugs, fostering closer links between drug demand policy and overall social policy. PRELAC encouraged a changed philosophy to work not only in strong control of illicit drugs but to include the control of precursors of those drugs fostering an intelligence intensive approach to guide law enforcement efforts.

#### Environment and climate change

The objectives of all regional programmes were found to be aligned primarily with the national legal, policy and institutional frameworks, agreements reached at the sub-regional level (for example SICA's Regional Strategy for Climate Change in Central America from end of 2010, or MERCOSUR's official commitment to implement the Paris Agreement), or through decisions reached at regional meetings of Ministers of Environment (managed by a secretariat in UNEP, Panama). This is mainly due to the fact LA countries do not have a regional body in place to define regional objectives concerning E&CC in LA. As a result, programmes such as EUROCLIMA I and II have been obliged to forge alliances with regional institutions such as ECLAC or UNEP to promote regional dialogue, or with specialised regional organisations such as the International Research Centre for the El Niño Phenomenon (CIIFEN) that have limited capacity and leverage to develop policy dialogue beyond their specific mandate. In other programmes WATERCLIMA, RALCEA, or EUROSOLAR this situation has encouraged the identification and design of largely “stand-alone” regional programmes and projects that are primarily designed to harness the participation of the public sector, private sector or civil society though calls for proposals. In these cases, actions have generally been designed to be implemented at the national level or, in a few cases, at the trans-boundary level. Given these programmes have adopted relatively short durations of between two and five years, they have not had the time or resources to influence policy reform beyond the local level, which is crucial to integrating E&CC into national, sector and/or sub-regional policies, strategies and plans. In sum, the main objectives of EU cooperation in E&CC have evolved, but this has not been matched by an evolution in the implementation or communication mechanisms applied to meet these objectives.<sup>23</sup>

#### Social equity

EU cooperation to Latin American has been highly relevant in the field of social equity since it was aligned with the Latin American aspirations of social equity. The commitment to social cohesion is, in fact, a distinctive feature of the interests, values and identity on which internal and international policies are based, both in Latin America and the EU.<sup>24</sup> During 2007-2013 the objectives of EU-LA cooperation were mainly directed to LA's efforts to develop strategies, policies and instruments to strengthen social cohesion by, inter alia, reducing poverty, inequalities and social exclusion. For the period since 2014, the specific objectives have focused more on the accountability and capacity of institutions. This evolution mainly resulted from a shift in the strategic objectives of LA partners as expressed in the final declarations of the CELAC Summits. The first Summit held in Chile acknowledged “social equity and social inclusion” as one of the main priorities for the region.<sup>25</sup> The need to develop social equity policies with quantifiable goals and clear calendars was acknowledged by the LA governments a year later (La Habana, 2014). Accountable policies for development with equity, highly encouraging education and gender equality as well as protection of marginalised groups have been emphasised in those Summits (Costa Rica 2015 and Chile 2017 inter alia).

<sup>22</sup> 2007-2013 RSP – Latin America; 14; MTR 2011 and RIP 2011-2013; 2010 EU-LAC Action Plan: p.8; 2014-2020 MIP Latin America; p.6/7; 2016 4th CELAC Summit Declaration; p. 11; Interview Devco, April 2018

<sup>23</sup> For example, the vast majority of programmes have and continue to rely on calls for proposals to identify and fund projects, which in most cases are implemented in isolation of each other.

<sup>24</sup> Sanahuja, EU-CELAC Relations and the social cohesion: Balance and Future perspectives. EUROsociAL.

<sup>25</sup> Declaración Final I, CELAC, Santiago, Chile, 27 y 28 de enero de 2013

### Inclusive growth

The EU support has been well aligned with the increasing focus on MSMEs in LA countries' policy framework in the last decades, recent national industrialisation strategies and the continuous emphasis on export-led growth. "Social Cohesion" was given special importance in AL-INVEST IV. While the support continues to be related to objectives of reduction in income inequalities in AL-INVEST 5.0, the new programme has resolutely moved away from supporting micro and small enterprises which can be identified as "subsistence firms". The focus is now on MSMEs with a clear growth potential, hence a more indirect way to support social cohesion. This evolution seems to correspond more to internal considerations than to an attempt to reflect new strategic orientations in LA countries.

### Higher education

The majority of all EU funds targeted at HE development cooperation (90% of the total support) was delivered through the global regional programmes (i.e. **ALFA III, Erasmus Mundus, Erasmus+**). While the focus of these programmes transcends the concept of country-level support, aiming to benefit a whole region as opposed to being focused on one single country, in Latin America as elsewhere extensive dialogue and coordination with government stakeholders ensured that the EU support responded well to key national and regional development priorities. ALFA III in particular was based on a process that involved dialogue at the level of the EU and partner countries, which ensured the harmonisation the programme's design with the different partner countries' strategies.<sup>26</sup> The mid-term evaluation of Erasmus+ found the Erasmus+ objectives to be aligned with national policies "Overall, a vast majority of experts surveyed estimate that a high share of the projects funded align very highly to fairly with national level priorities. However, these findings are not specific to Latin America although the evaluation reports claims the general validity of this conclusion. Experts felt that there has been an improvement on this matter between **Erasmus+** and its predecessor programmes."<sup>27</sup>

#### **1.1.2.5 Finding: EU-LA cooperation programmes not affected by major disruptions due to abrupt changes to the context**

<b>Related indicators:</b>	I-115
<b>Sources of information:</b>	Documents (selection) <ul style="list-style-type: none"> <li>• Strategy/programming documents</li> <li>• Programme/project evaluation reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

### Security-development nexus

The migration project began in response to high flows of migration from LA to EU countries and was working with sub-regional organisations (MERCOSUR, CAN, CSM, CRM, CARIFORUM, SICA) as well as with member states of the LA region. During the period of the project, countries fluctuated between being countries of origin, transit or destination. Trends reversed with the EU as more people began arriving in LA from Europe than in the other direction. Intra-regional trends increased as labour migrants moved towards Chile, Argentina and Brazil where employment opportunities were better, and as the crisis in Venezuela deepened many people fled to neighbouring countries in the region.<sup>28</sup> The Cartagena + 30 process<sup>29</sup> dealing with a revision of policy for refugees in South America was also in progress during this timeframe and culminated in the adoption of the Brazil Declaration in 2014.<sup>30</sup> The work of the project should have had an influence in how these regional organisations and countries of the region dealt with new challenges. However, at this stage it is unclear if this has happened. The EU

<sup>26</sup> HE evaluation, vol. 1, p. 40.

<sup>27</sup> EU (2018) Commission Staff Working Document. Mid-term evaluation of the Erasmus+ Programme (2014-2020), p. 48.

<sup>28</sup> El estudio "Dinámicas Migratorias en América Latina y el Caribe (ALC), y entre ALC y la Unión Europea-Mayo 2015" actualiza la versión anterior, de 2012, al incorporar nuevos elementos, datos e informaciones.

<https://www.migrationpolicy.org/article/amid-record-numbers-arrivals-chile-turns-rightward-immigration>

<sup>29</sup> <https://www.acnur.org/cartagena30/antecedentes-y-desafios/>

<sup>30</sup> World Migration Report 2018, IOM; p.1; Regional Action Plan – Venezuela Migration, IOM, 2018; p.6; +30 Cartagena: Brazil Declaration 2014.

is now cooperating with the Venezuela refugee crisis through DG ECHO and other thematic budget lines of DG DEVCO and FPI (according to interviews).

There was no major change in the context in the drugs sub-sector and hence no major needs to adjust the design. The reinforced trust resultant of COPOLAD I—according to the mid-term evaluation of EU Drug Strategy 2013-20—will facilitate, if necessary, the adjustment of COPOLAD II to meet changing conditions across the region. The uncertainty of the Venezuelan situation coupled with the transitions in Colombia after the signing of the peace agreement might impact on the progress of the different projects tackling the drug issue. Under the CRP, AMERIPOL's 2013 report on the drug situation in LAC revealed that the disappearance of the main cartels—turned into “criminal gangs” or mini cartels—has made it harder to fight criminal organisations, as they are harder to investigate due to inherent problems (group atomisation, cultural diversity, and territorial expansion).

#### Environment and climate change

There is no evidence to suggest the cooperation framework has been significantly affected by abrupt political changes, or force majeure linked to major natural/manmade disasters. In the case of the EUROCLIMA initiative, EUROCLIMA+ has reduced the risks of existing/unforeseen political crises by adopting a demand-driven approach based on the principle of “take it or leave it”. As a result, EUROCLIMA+ enjoys: a) greater freedom to focus its support primarily on countries and sectors where it is needed and wanted, as opposed to “selling” ideas and/or actions, which has been the case in other regional programmes and projects, such as EUROSOLAR; b) greater emphasis on working with structural mechanism (in particular public institutions) means EUROCLIMA+ is less dependent on individuals (who in the past have suffered from staff rotation).

Concerning specific crises such as Venezuela or Brazil, interviews and assessments of evaluation/ROM reports indicate only minor disruptions in implementation of EU regional programmes have been experienced. This has been aided by the fact EUROCLIMA+ works through more than one NFP in the vast majority of LA countries (usually political and technical focal points). One disruption of importance concerns the decision to postpone the updating of the EU-CELAC Action Plan (2016-2020) due to the deterioration of the political crisis in Venezuela in 2017 to date. Nonetheless, despite political crises in countries such as Brazil and Venezuela, all countries in LA have ratified the Paris Agreement and started the NDC process with the exception of Colombia where the slow peace process has had a bearing. In the case of the other regional programmes evaluated, the application of calls for proposals has ensured the implementation of their main components is carried out through projects which, according to interviews with representatives of the three projects funded under WATERCLIMA, have already taken into account the socio-political and environmental context during their design phase to avoid working in high risk areas/countries.

Nonetheless, a major finding is the general lack of integration of risk management in project planning and implementation. This is not aided by the fact the AF and the logical framework of the regional programmes identify risks and assumptions without adequate information on their ranking (high, moderate, low), or that the mitigation measures suggested should be reassessed in the inception period as well as through a mid-term review (at programme, country and/or project levels) to determine whether additional resources are required to attend to risks that have grown from low to high, or which have precipitated new risks.

#### Social equity

The cooperation has been “demand driven” in this area. Venezuela did not require any participation in the programme.

#### Inclusive growth

There has been no change in design to respond to abrupt changes in context. The political crisis in Venezuela simply translated in a lower participation of stakeholders of this country in the regional programme (without any major effect of the implementation of the programme).

#### Higher education

EU support to higher education has been mainly project-driven through all the programmes covered under the evaluation period. As the beneficiaries are mainly universities, these programmes are less affected by changes in the cooperation context than other interventions, which involve governments and other state actors. Brazilian higher education institutions are prominently involved in Erasmus+. While Brazilian universities have not led capacity building projects under Erasmus+, they participated in 21 projects, which were selected for funding between 2015 and 2017. This equals 45% of all selected projects (47) with Latin American participation. Only Argentina was involved in more projects (22). There is no indication that the Brazilian crisis has affected the involvement of the country's universities in Erasmus+. Venezuelan universities, however, took part in only 2 selected projects, one

in each 2015 and 2016 but – probably as the result of the crisis – none in 2017, the lowest participation rate. .<sup>31</sup>

### 1.1.2.6 Finding: Graduation not well understood in LA and regional cooperation perceived as inadequate substitute

<b>Related indicators:</b>	I-116
<b>Sources of information:</b>	Documents (selection) <ul style="list-style-type: none"> <li>• Strategy/programming documents</li> <li>• Programme/project evaluation reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

The new Development Cooperation Instrument (DCI) of the European Commission is proposing suppressing bilateral aid to 19 middle-high income countries, of which 11 are from Latin America and the Caribbean. This would only leave 6 countries as recipients of bi-lateral aid. As such, LAC is the region that will experience the most significant shift in status in the EU's cooperation, since the only remaining eligible countries would be Bolivia, Guatemala, Honduras, El Salvador, Nicaragua and Paraguay. Additionally, the new regulations for the Generalised Scheme of Preferences (GSP) would focus on the poorest countries. Along with countries like Mexico and Chile, who will benefit from a different regime in its association agreements with the EU, 2014 will mark the removal of the following countries as GSP beneficiaries: Argentina, Brazil, Cuba, Uruguay and Venezuela.

The drastic reduction in aid from the EU to Latin America and the Caribbean is most visible when analysing the distribution of resources that is contemplated in the long-term financial plan for 2014-2020 for external action. The countries that have “graduated” as recipients of aid can now get involved in regional programmes related to global risks, and will continue to benefit from the “local authorities and civil society” programme and mechanisms for democracy and human rights, which are open to all developing countries. However, the graduated countries will be excluded from the IDC, the instrument with more resources, and would only be subject to bilateral programmes through the “Instrument for Association”, which only represents around 1% of the total resources and that, as the Commission points out, its primary aim is to promote the interests of the EU, and not the international development goals.

The proposal by the European Commission has been subject to objections, from Latin America, especially by some middle-high income countries (MHICs) that will “graduate”, though others have welcomed it without issue, and value it as a symbol of their new international identity as “emerging countries”. With approximately EUR 750 million annually, the actual aid from EU institutions is small in relation to other financial resources for development to which the region has access, which moreover is going through a boom in commodity exports. However, that these funds are not essential does not mean that there is not a high level of “unfulfilled demands” of the EU cooperation in the areas of promoting investment in infrastructure, renewable energies, environmental technologies or higher education.<sup>32</sup>

#### Environment and climate change

Triangular cooperation was fostered by EUROCLIMA II which was instrumental in developing a new role for graduated countries in the programme. For example, the programme made efforts to: a) link graduated countries with less developed countries in the interests of the former guiding the latter in specific activities, such as the formulation of proposals for on-demand studies, training, pilot projects, etc.; b) contract ECLAC (under a contribution agreement) to review the economic effects of CC in LAC countries. This helped bring key ministries (such as for planning and finance) into direct contact with EUROCLIMA II and in particular its efforts to develop a more coordinated approach to reducing the adverse effects of CC in less developed countries (e.g. El Salvador). This concept has been carried forward by EUROCLIMA+ where graduated countries will be encouraged to add value to the programme by becoming important service providers. For example, education specialists in CC preparedness will be used to support the elaboration of project proposals in less developed LA countries. However, the main challenge appears to be the identification of expertise in the graduated

<sup>31</sup> Erasmus+ Desarrollo de Capacidades en el ámbito de la Educación Superior, Resultados en América Latina (Convocatorias 2015, 2016 y 2017).

<sup>32</sup> Sanahuja (2015). The EU and CELAC: Reinvigorating a Strategic Partnership. Hamburg: EU-LAC FOUNDATION, p. 76-77.

countries and matching it to the needs of state and non-state actors in less developed countries in LA. Generally, the majority of programmes evaluated in the E&CC sector were identified and designed prior to the MIP for the period 2014-2020. Furthermore, the ruling on the two main graduated countries that will no longer be eligible for ODA (Chile and Uruguay) are not affected in EUROCLIMA+ given the ruling will take effect in the next phase (i.e. from 2021).

#### Social equity

The graduation perspective is important through the ‘triangulation’ of cooperation: the combining of EU-LA cooperation with South-South cooperation, above all between countries in the LA region. This type of cooperation is undergoing clear expansion especially in the area of the transfer of capabilities, based on the experience of best practices in the policies of certain countries, which have a strong focus on social cohesion. Examples include advice given for the construction of fiscal agreements and tax reforms or for the improvement of citizens' equality and participation. Within this framework, the contribution of the EU is fundamental, specifically owing to its vast experience in pro-social cohesion policies within Europe. In public finance, for example, tax administration agencies have already established a peer- to peer exchange scheme, where each agency assumes the funding of the study trip of its teams to learn from a specific experience in another country. Some donors, such as IDB, also support those exchanges financially. The South-South component in public finance, measured by participation in activities as transferring countries in relation to the European contribution shows a ratio of 30/70 in all areas, except in tax education. Brazil, Argentina, Chile and Mexico have been the most important transferring countries since they are more advanced in their tax modernisation processes.

#### Inclusive growth

Although the reduced bilateral allocations have contributed to increasing the interest of LA countries in AL-INVEST, the process of graduation has not had a major direct impact on the design and implementation of the regional programme. There is no specific element of design that addresses issues of graduation. In fact, one of the major challenges faced by AL-INVEST in the last decade has been the great variety in the structure of the economies of the region. This variety is also present within each sub-region and within the groups of “graduated” and non-graduated” countries (see the differences between Panama and Mexico or between Paraguay and Honduras).

#### Higher education

Graduation affects support to higher education in so far as it changes the allocation of funds. All LA countries are eligible for **Erasmus+** funding but size and development status affect the allocation of funds for the International Credit Mobility action. Latin America (Region 8) has specific scholarship targets for the Lower Middle Income Countries and a maximum allocation to Brazil/Mexico:

- At least 25% of the funds available for LA are meant to be used to organise mobility with the least developed countries of the region: Bolivia, El Salvador, Guatemala, Honduras, Nicaragua and Paraguay;
- no more than 35 % is available for Brazil and Mexico (together)<sup>33</sup>

As from the 2019 call, Paraguay will no longer be eligible to benefit from the 25% quota for least developed countries and will be subsumed under “other countries”, while Chile and Uruguay are moved to region 13 (industrialised Americas, with no specific quotas).<sup>34</sup>

---

<sup>33</sup> Erasmus+ Programme Guide, p. 37.

<sup>34</sup>[https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.C\\_.2018.384.01.0004.01.ENG](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.C_.2018.384.01.0004.01.ENG)



## 1.2 JC 12 - High-level dialogue

### 1.2.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 12: EU support and EU-LA <b>high-level dialogue</b> , especially in the context of the EU-CELAC strategic partnership, reinforced each other	I-121 Degree to which regional programme support has created a conducive environment for an informed high-level dialogue I-122 Degree to which high-level dialogue has created ownership and commitment to the regional programme interventions I-123 Degree to which high-level dialogue has contributed to ensuring a relevant focus and orientation of regional interventions

### 1.2.2 Main findings and related evidence

#### 1.2.2.1 Finding: Notable results in terms of informed high-level dialogue

<b>Related indicators:</b>	I-121
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• RSP/MIP</li> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Thematic studies</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

The comprehensive report “The EU and CELAC: Reinvigorating a Strategic Partnership” (2015) by the EU-LAC FOUNDATION gives insights on the strategic partnership. Latin America and the Caribbean maintain on a bi-regional level a unique relation with the EU. Both regions have achieved notable results in terms of political dialogue, development cooperation and a good number of Association Agreements based on an inter-regional model not yet completed, in the light of pending agreements.<sup>35</sup> The emergence of CELAC has added a new element to the bi-regional EU-LAC summit process. At its beginning, CELAC showed a strong presidential presence: the attendance of 30 Heads of State out of the 33 proved the political support and momentum that this new LAC regional initiative received at its start. CELAC does not intend to substitute existing sub-regional groups, and based on its “inclusiveness” principle, it seeks, rather, to shape a common framework to develop a functional and thematic cooperation through those groups or with other regions.<sup>36</sup> After 2016, CELAC has entered in a complex political momentum, due to the Venezuelan crisis and some deep political changes that have affected important regional countries.

According to its initial ambitions, CELAC sought to promote cooperation in a multidimensional agenda covering several economic, social and environmental levels, science and technology and the management of the risk of disasters. CELAC’s agenda expanded to a point where, in 2014, it encompassed dialogues among 30 sectors and 21 thematic axes, as identified in the Costa Rica Action Plan for the CELAC Presidency in 2014, even though in most aspects the focus was on defining consensual agendas rather than defining policies or initiatives.<sup>37</sup>

Regarding CELAC’s external dimension, particular importance was placed on the harmonisation of foreign policy, with a view towards strengthening the region’s presence, voice and influence in international organisations and multilateral forums. CELAC aimed at achieving this through pronouncements and adopting a stance in relation to the important issues in the global agenda and the defence of what is termed “Latin American and Caribbean interests”. In this regard – and as explicitly recognised by the Declaration of Caracas and other texts approved in the Summit – CELAC attempted to take up the historical *acquis* of the Rio Group to deploy it with a more considerable political profile, and the legacy of Latin America participation in multilateral organisations. A telling fact is that CELAC is still expressly appointed as the regional interlocutor in the EU and Latin American

<sup>35</sup> Sanahuja (2015). The EU and CELAC: Reinvigorating a Strategic Partnership. Hamburg: EU-LAC FOUNDATION, p.29.

<sup>36</sup> Ibid, p.32

<sup>37</sup> Ibid, p.32

and the Caribbean relations, in both the aforementioned bi-regional Summits and in the dialogue between EU-Rio Group. Another telling fact is that through its Presidency and the troika<sup>38</sup>, CELAC began in 2012 to hold regular political dialogues with energetic actors such as India, China, South Korea, Turkey, Japan, the Gulf Cooperation Council and Russia.<sup>39</sup> Of course the present political framework at regional level in LA has played down such ambitions and in certain cases has put them on hold.

On the other hand, even though the EU has always aspired to have a regional counterpart in LA, it is evident that the nature of CELAC is very different – it is more a process than an organisation<sup>40</sup>, subject to political changes and very much depending upon the regional political momentum. This consideration increases the importance of the bi-regional cooperation, which may ensure a certain continuity of the dialogue and policy exchange, as it has happened for decades in high education, social cohesion, etc.

According to strategy documents, regional programme support and high-level dialogue have mutually reinforced each other. “EU development cooperation instruments have been - alongside political engagement, trade and investment, and sectoral dialogues - a crucial building block of this relationship over the years.”<sup>41</sup> Feedbacks and support from the high-level political dialogue, however, seem crucial to address the continental and cross-border nature of most challenges in LAC and to strengthen the bi-regional partnership on global challenges.<sup>42</sup>

*Box 1                      The example of the Drugs Strategy and Action Plan*

The aim of the EU Drugs Strategy 2013–2020 is to contribute to a reduction in drug demand and drug supply within the EU. It is divided into two policy areas of demand reduction and supply reduction and has three cross-cutting themes of coordination, international cooperation, and information, research and evaluation.

Drug policy is increasingly coordinated at both EU and international levels, in line with the objectives of the EU Drugs Strategy. Stakeholders valued the ability of the EU to speak ‘with one voice’ in international fora, particularly evidenced in the relatively swift preparation and adoption of EU Common Position in preparation for the UN General Assembly Special Session (UNGASS) in 2016.

In addition to contributing to the ability of the EU to speak ‘with one voice’ in international fora, a number of other measures in the field of international cooperation included in the Drugs Strategy and Action Plan have been implemented as planned. EU-funded projects aiming to reduce the supply of drugs (such as the Cocaine and Heroin Route Programmes and the Cooperation Programme on Drugs Policies – COPOLAD) have been implemented and resulted in significant activities in a number of third countries. EU-funded projects continue to be key structures under which EU international cooperation in relation to drugs is undertaken and as part of which long-term relationships are maintained with third countries.

*Source: EU (2016): Mid-Term Assessment of the EU Drugs Strategy 2013–2020 and Final Evaluation of the Action Plan on Drugs 2013–2016*

*Box 2                      The example of the migration project*

The migration project has supported the Structured and Comprehensive EU-CELAC Dialogue on Migration, mostly in an indirect way, in as much as the project design did not contemplate a mechanism to inter-relate the EU-CELAC project with the EU-CELAC Dialogue. The EU-CELAC migration project supported the dialogue by contributing to a better understanding and sharing of migration issues at national, sub regional and regional level through the following:

- The creation of an incipient informal "network" of migration related high and middle level public officials within participating LAC institutions, with pre-eminence of Ministries of Foreign Affairs and Ministries of Labour, and Statistical Commissions and Ministries of Planning.
- The sharing and common construction of concepts, instruments, strategies and recommendations within in the EU-CELAC institutional building processes. A reasonable cause-effect analysis would indicate that this common "acquis" generated in the project has

<sup>38</sup> The Troika provides assistance to the Pro Tempore Presidency and is made up of the State currently holding the Presidency, by the former State in this position, and by the State assuming the title.

<sup>39</sup> Ibid, p.33

<sup>40</sup> Ibid, p.34.

<sup>41</sup> MIP 2014-2020, p. 1.

<sup>42</sup> MIP 2014-2020, p. 12.

had a certain impact in the "threading" of sub regional and regional positions.

- The repository good quality Manuals and Diagnostics, as well as the presentations of the best practices of the CELAC participating countries and practical policy and operational recommendations, jointly elaborated by technical migration related officials during workshops or internships, are substantial inputs accessible to any interested public official or other.

Source: EU (2015) Final Evaluation of the EU-CELAC migration project

### Box 3 The example of higher education

The report on Higher education cooperation between the European Union, Latin America and the Caribbean (2015) explains the linkages between high-level policy dialogues and programme support in the field of higher education. *"The report sheds light upon the various dimensions of an already vast and far reaching cooperation. It shows how initiatives that may appear modest at first sight can have far reaching impacts. Similarly, it presents the panorama of EU programmes over the most recent years in the field of higher education and research which involve Latin America and the Caribbean, and their impact. In addition, it looks at achievements as regards research collaborations through international and cross-sectoral mobility of researchers."*<sup>43</sup>

Interviews in Brussels and LA showed that policy dialogues since 2010, and particularly the official establishment of the Common Research Area in 2015, have contributed to a greater degree of equality in bi-regional relations. High-level dialogues have generally worked as agenda setters and allowed LA and European stakeholders to align and harmonise their interests and strategies which are reflected in regional programmes. Likewise experiences in the implementation of regional programmes have back into discussions on the political level.

Source: EU (2015) Higher education cooperation between the European Union, Latin America and the Caribbean

#### 1.2.2.2 Finding: EU-CELAC dialogue strengthened ownership and commitment to regional programmes

<b>Related indicators:</b>	I-122
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• RSP/MIP</li> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Thematic studies</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Medium

The continental nature of the challenges faced, and of the responses required, is widely recognised in by the countries of the region. This is also reflected in the EU-LAC dialogue at the highest political level (as illustrated in outcomes of the EU-CELAC Summit, January 2013, that stress the importance of regional approaches). This expression of ownership and political will on the part of all the countries of the region is an asset for the purposes of implementing EU cooperation responses at continental level.<sup>44</sup>

The European Parliament Report on EU political relations with Latin America:

- underlines the importance of the EU-CELAC summits as an instrument of the strategic bi-regional partnership as a new framework for political dialogue; calls for the EU and for CELAC to also reinforce this partnership and political dialogue within the framework of its thematic dialogues and main initiatives, such as the Joint Initiative on Research and Innovation, the Structured Dialogue on Migration and the Coordination and Cooperation Mechanism on Drugs and by working on clearly identified common interests in order to jointly address key global challenges in the areas of good governance, economic growth, social cohesion, culture,

<sup>43</sup> EU (2015) Higher education cooperation between the European Union, Latin America and the Caribbean, p. 16

<sup>44</sup> MIP 2014-2020, p. 5.

innovation and the environment in multilateral forums, such as the United Nations, the G-20, and the WTO;<sup>45</sup>

- Urges better coordination between policies and programmes supporting the LAC region, as well as the outermost regions and overseas countries and territories; calls for political commitments made at EU-LAC regional summits to be met and accompanied by the allocation of the necessary financial resources<sup>46</sup>

**Box 4**                      *The example of high-level dialogue on higher education and drugs*

The report on **higher education** cooperation between the European Union, Latin America and the Caribbean (2015) explains the linkages between high-level policy dialogues and programme support in the field of higher education. *“The report sheds light upon the various dimensions of an already vast and far reaching cooperation, which has contributed to the gradual establishment of a LAC/EU higher education area. It shows how initiatives that may appear modest at first sight can have far reaching impacts. Similarly, it presents the panorama of EU programmes over the most recent years in the field of higher education and research which involve Latin America and the Caribbean, and their impact. In addition, it looks at achievements as regards research collaborations through international and cross-sectoral mobility of researchers.”* However, the report was compiled by the European Commission’s Directorate-General for Education and Culture, its Directorate-General for International Cooperation and Development, and the Education, Audiovisual and Culture Executive Agency of the European Commission, without – as it seems – the involvement of LAC partners.

Evidence is especially available for **drugs** issues which included on the agenda of bilateral dialogues between the EU and partner countries from Latin America, the Caribbean and Central Asia at different levels. Cooperation with Latin America and the Caribbean through EU-CELAC is widely considered as continued successful examples of EU international cooperation. Drugs are an important chapter of EU-CELAC relations and the biannual Action Plan. For example, CELAC embassy representatives take part in regular EU-CELAC meetings in Brussels, and these meetings are perceived as an efficient and a useful mechanism for the exchange of information and best practices. The EU-CELAC dialogue enlarged the scope of collaboration with Caribbean countries (as part of COPOLAD II). In relation to the fourth component of COPOLAD II (consolidation of the EU-CELAC Coordination and Cooperation Mechanism on Drugs), representatives from the Commission and from third countries in Latin America reported that the EU-CELAC dialogue in the framework of COPOLAD is a very useful cooperation mechanism. It was found that the mechanism allowed the building of trust and the exchange of best practices. Moreover, the inclusion of Caribbean countries in the second phase of COPOLAD has also been seen as a necessary step by representatives from both sides. Moreover, the representative of the Commission reported that the alignment of the Latin American countries’ positions with the EU position on drugs has become very evident during these high-level meetings.<sup>47</sup>

### 1.2.2.3 Finding: Regional programmes and high-level dialogue reinforced each other

**Related indicators:** I-123

**Sources of information:** Documents (selection):

- RSP/MIP
- Programming documents
- Programme/project evaluation reports
- Thematic studies

Interviews in Brussels and LA  
eSurvey (see Volume 3)

**Strength of evidence:** Medium

The current MIP for Latin America was established in accordance with the DCI Regulation for 2014-2020 and based on the EU-CELAC Strategic Partnership and Action Plans.

<sup>45</sup> European Parliament (2017). Report on EU political relations with Latin America (2017/2027(INI)) Committee on Foreign Affairs, 20.7.2017.

<sup>46</sup> European Parliament (2017). Report on EU political relations with Latin America (2017/2027(INI)) Committee on Foreign Affairs, 20.7.2017.

<sup>47</sup> EU (2016) Mid-Term Assessment of the EU Drugs Strategy 2013–2020 and Final Evaluation of the Action Plan on Drugs 2013–2016, p. 62

The 2013 Action Plan includes a number of initiatives consistent with the priorities established at the VI EU-LAC Summit as encompassed in its Final Declaration as well as in new areas incorporated at the VII EU-LAC Summit / I EU-CELAC Summit held in Santiago de Chile on 26-27 January 2013. The Action Plan identifies instruments and activities which, if properly implemented should lead to concrete results guaranteeing ownership and capacity building in the following key areas, which are directly or indirectly linked with the central theme of the Summit:

1. Science, research, innovation and technology;
2. Sustainable development; environment; climate change; biodiversity; energy;
3. Regional integration and interconnectivity to promote social inclusion and cohesion;
4. Migration;
5. Education and employment to promote social inclusion and cohesion;
6. The world drug problem;
7. Gender;
8. Investments and entrepreneurship for sustainable development.<sup>48</sup>

The action plan was updated following the II EU-CELAC Summit held in Brussels on 10-11 June 2015 and in its updated version focuses on the following areas:

1. Science, research, innovation and technology;
2. Sustainable development; environment; climate change; biodiversity; energy;
3. Regional integration and interconnectivity to promote social inclusion and cohesion;
4. Migration;
5. Education and employment to promote social inclusion and cohesion;
6. The world drug problem;
7. Gender;
8. Investments and entrepreneurship for sustainable development.
9. Higher education
10. Citizen security

Overall, the regional programmes have been built on the basis of policy dialogue priorities, which are reflected in Commission communications and declarations from the Summits of Heads and State and Government of the two regions. For example, the concerns expressed on Information Society and Higher Education (Madrid Summit 2002) gave birth to the @LIS (Alliance for Information Society) and ALBAN (high-level training scholarships); reflections on social cohesion (Guadalajara Summit 2004) conducted to the launch of the EUROsociAL programme.<sup>49</sup> The need to tackle environmental degradation and climate change was also recognised by the Heads of State and Government of the EU and LAC countries in the 2008 Lima Declaration. In response, the EUROCLIMA programme was launched. Starting in 2010, EUROCLIMA has a joint commitment to address complex multi-sectoral issues that need to be seen from various angles: policy dialogue, scientific, technological and socioeconomic prospects, institutional capacity building, sharing experiences and disseminating information.<sup>50</sup>

In a similar vein, the Santiago Declaration of the EU-CELAC Summit of Heads of State and Government (Santiago de Chile, January 2013) recognises the important contribution of higher education programmes for academic cooperation and international student, research and academic staff mobility between EU and Latin America and the importance of investment in the field of higher education, research and innovation for promoting growth, employment and sustainable development. EM Partnerships targeting EU and LA institutions are built on the priorities of both regions. Erasmus+ will act a catalyst to ensure that this cooperation will continue in the same direction to promote greater cooperation.<sup>51</sup>

The October 2008 Commission Communication on 'Strengthening the Global Approach to Migration', later endorsed by the European Council, stressed the importance of a follow up to the Lima Declaration by developing a structured and comprehensive dialogue on migration, which should identify common challenges and areas for mutual cooperation on migration and mobility policies. The

---

<sup>48</sup> EU-CELAC Action Plan 2013-2015

<sup>49</sup> MID TERM REVIEW AND REGIONAL INDICATIVE PROGRAMME 2011-2013 FOR LATIN AMERICA, p. 12.

<sup>50</sup> P. 7.

<sup>51</sup> EU (2015) Higher education cooperation between the European Union, Latin America and the Caribbean, P. 22

dialogue was launched on 30 June 2009 and held its first High-Level Meeting on 25 September 2009. A number of specific actions were undertaken as part of the Thematic Programme for Cooperation with Third Countries on Migration and Asylum and its predecessor AENEAS. One such action was developed for the LAC region in the shape of a targeted project (starting in 2010). Its objective was to start building regional capacity within LAC for a permanent exchange of information and good practices between interested countries in the region, as well as between these countries and EU.<sup>52</sup>

### 1.3 JC 13 - Coherence with the EU external action policy framework

#### 1.3.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 13: EU support was coherent with the <b>broader EU external action policy framework</b>	I-131 Perceived importance (by EU and LA actors) of regional level development cooperation in overall EU-LA relations (including evolution since 2009) I-132 Degree of integration of the principles set out in the overall EU development cooperation policy framework (as spelled out, among other policy documents, in the Agenda for Change and the European Consensus) in the EU regional cooperation strategy I-133 Degree of coherence of EU support with the Agenda 2030 for Sustainable Development (SDGs)

#### 1.3.2 Main findings and related evidence

##### 1.3.2.1 Finding: Strong perceived importance of regional level development cooperation in overall EU-LA relations

<b>Related indicators:</b>	I-131
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programme/project evaluation reports</li> <li>• Partner documents</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Medium

#### Security-development nexus

The Dialogue and Project on Migration were new initiatives that reflected the political sensitivity of the dramatic increase in migration from LAC to EU, and were underpinned by instruments such as the Thematic Programme for Cooperation with Third Countries on Migration and Asylum, within the framework of the EU-LAC 5th Summit of 2008. The project was formulated as a development-oriented intervention and dealt with migration management, labour migration and investment of remittances for development. It was conceived as an issue of common challenge and shared responsibility between the regions<sup>53</sup>, however the project itself veered from these principles when it was designed collaboratively between DEVCO and EEAS, without participation of the LAC. The EEAS also intervened on different occasions during the implementation process (according to interviews). The project was a one-time intervention and the Dialogue concluded shortly after. Currently migration is contemplated under DEVCO's EUROsociAL and ECHO interventions as either a development or humanitarian concern.

#### Environment and climate change

The perceived importance of regional level E&CC development cooperation in overall EU-LA relations has grown since 2009 due primarily to the Paris Agreement, which for the first time has provided the EU with clear mandate to shift its cooperation into mitigation of GHGs as well as continue its support to the region on adaptation to CC. This mandate has been enhanced following the USA's decision to pull out of the Agreement, increasing the EU's importance in the cooperation on mitigation. For example, an interview with DG CLIMA confirms several countries in LA now see EUROCLIMA+ as the most important intervention in the region concerning mitigation and adaptation, which has major

<sup>52</sup> P. 8-9.

<sup>53</sup> Annex 4 to the AAP 2010 part 2 of the Thematic Programme for Cooperation with Third Countries in the field of Migration and Asylum; Action Doc

implications on enhancing both E&CC as well as overall EU-LA relations, especially following the USA's decision to pull out of the Paris Agreement in 2017. For example, EU-LA relations are beginning to benefit from: a) exploiting the catalytical effect of EUROCLIMA+ to promote green growth with the private sector in LA (and worldwide), based on EU good practices that have reduced CO2 emissions by 22% between 1990 and 2016 (without a negative effect on GDP); b) encouraging the EU to increase its climate finance contributions by 50% to EUR 20.7 billion in 2017 (against 2012 figures), making the EU the main donor among Annex 1 parties<sup>54</sup> participating in the second-round of the Kyoto Protocol targets on emission reductions; c) increasing opportunities for linkages between the fight against drugs and conserving/extending protected areas where drugs are being produced or used as trafficking corridors; and d) deepening scientific research between EU and LA, facilitated, for example, by the direct engagement of JRC for the first time in LA through the EUROCLIMA initiative.

#### Social equity

Perceived importance (by EU and LA actors) of regional level social equity/social cohesion development cooperation in overall EU-LA relations has always been strong. Moreover, many LA stakeholders consider the historical developments of social equities issues in the EU (including the European welfare state model and the different social protection schemes in place, concepts such as the social cohesion funds, etc.) as an interesting source of inspiration to think about new models or adjustments to existing ones for LA. This specificity is well recognised by the LA actors according to the interviews carried out. Therefore regional level cooperation in equity/inclusive policies – as developed through EUROsociAL and URBAL in the period under evaluation – have been perceived of high importance by EU and LA actors. In the case of EUROsociAL this recognition has increased over the decade since important policy reforms have been promoted by the programme (tax reform in Uruguay among many others). The network of Economic and Social Council, the tax education Network or the Latin American Regional Development Network have been supported since EUROsociAL I and II. EUROsociAL + is also supporting the RTA (Network on transparency and access to the information). The Latin American Regional Development Network was created in 2013 at the initiative of Brazil. Brazil is one of the countries that has advanced the most with national policies of regional development. Although it is not a new issue, it emerged strongly in Latin American public agendas a few years ago. Beyond the territorial structure of the State and the processes of decentralisation underway in some countries, there was a common theme that worried the countries and was the issue of how to reduce territorial imbalances and support actions for the convergence between territories, in short, territorial cohesion. EUROsociAL organised a seminar with active participation from many countries (13 or 14) and that was the seed of the network. The network has an orientation council in which ECLAC, Development Center of the OECD and EUROsociAL are. Although the issue of financial sustainability is a latent problem of this network, it is true that the institutions that have been in charge of the Presidency (Brazil, Mexico and now Costa Rica) have shown commitment and have exercised good coordination. The Network already has its statutes, working groups work although it continues to depend financially on international cooperation.

#### Higher education

In higher education, the EU's support made a substantial contribution to to advancing regional integration. See JC 72 for a comprehensive elaboration.

### **1.3.2.2 Finding: Strong alignment of the regional programme with the overall EU development cooperation policy framework**

<b>Related indicators:</b>	I-132
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• RSP/MIP</li> <li>• Other EU strategy documents</li> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Thematic studies</li> </ul> Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

<sup>54</sup> Annex 1 parties are signatories of the Kyoto protocol classified as industrialized countries and economies in transition, including 42 countries plus the EU.

### Security-development nexus

The main interventions in this sector were well aligned with the EU policy framework - both at the overall development cooperation level and at the sector level (e.g. the EU Drugs Strategy).

COPOLAD I final evaluation:

*“As concerns the first judgment criteria, the ET found that the project is fully coherent with the priorities listed in the EU drug strategy. The project clearly advocates for a balanced (demand and supply) and evidence-based drug policies and supports regional and international cooperation on drugs. The link with the overall objective of the DCI regulation is also strong since, as indicated in the Regulation, “greater cooperation in combating drug trafficking will help overcome a problem that is a destabilising factor both inside and outside the region”.”*

Migration project final evaluation:

*“The EU policy framework lying behind the EU-CELAC dialogue on migration and of the action under evaluation is found supportive of the Policy Coherence for Development, the European Consensus on Development (2005) and the Agenda for Change (2011) as the intervention seeks for an impact in human rights, inclusive and sustainable growth, and promotes more effective aid and greater alignment of EU and CELAC policies. The action aimed as well to be aligned with the international development framework, i.e. the Paris Declaration on Aid Effectiveness, the Millennium Development Goals (MDGs) and the post-2015 Development Agenda. Furthermore, the design, objectives and implementation arrangements of the EUCELAC project are supportive of the 2014 adopted EC Communication, “A decent life for all: from vision to collective action”<sup>10</sup>, as the intervention is fully realistic of the challenges of a globalised and inter-linked world.”*

### Environment and climate change

There is sufficient evidence to confirm regional cooperation has integrated the main principles set out in the overall EU development cooperation policy framework into its design. For example, all programmes evaluated were found to have aligned their identification with the principles of the European Consensus. Programmes identified after 2011 were found to have respected the main principles in the Agenda for Change. This has been translated into the EU-CELAC Action Plans for 2013-2015 and 2016-2020. For example, the Action Plans promoted the principles of sustainable development, protection of the environment and climate change by requiring EU regional cooperation to focus on, among others:

- improved knowledge on problems and consequences of climate change (both Action Plans);
- strengthened capacities and emergency networks to prevent and address the effect of natural disasters (both Action Plans);
- Improved capacity for sustainable development, environmental and climate change-related challenges and for the conservation and sustainable use of the biodiversity (2016-2020 Action Plan);
- Improved use and accessibility of renewable energies, increased energy efficiency and saving to diversify and complement the energy matrix (2016-2020 Action Plan).

### Social equity

Regional cooperation in the social equity sector has integrated the main principles set out in the overall EU development cooperation policy framework into its design. It promotes social inclusion as well as human development, social cohesion and employment, which are fundamental objectives of the European Consensus for Development. Those equality-oriented policies in the region -and in the world- have been reinforced with the Agenda for Change. In line with the new European Consensus for Development, which enshrines the commitment from both the EU and its Member States to promote "adequate and sustainable social protection", the EU regional cooperation advocates for and supports economic transformation and policies that mobilise resources (especially domestic) to generate stable and sufficient revenues for social protection.

### Inclusive growth

Regional programmes in this sector were overall consistent with the overall EU development cooperation policy framework, in particular the Agenda for Change. However, some aspects related to implementation, especially the limited linkages with other regional programmes, show a mismatch with the ambition of the Agenda for Change to better link the economic and non-economic dimensions of development cooperation. This was an objective clearly stated in the programme documentation. For instance, the action document of AL INVEST 5.0 states: *“[the programme] will be the first action to be presented in the economic part of the 2014-2020 programme for Latin America. This means that during the implementation special attention must be paid to assure synergies with evolving complementary programmes. Particular attention will also be paid to creating links and synergies with other European initiatives such as the programme ELAN or Horizon 2020.”*



### Higher education

The New European Consensus on Development puts emphasis on education (which includes tertiary education) in general, stating “Ensuring access to quality education for all is a prerequisite for youth employability and long-lasting development. The EU and its Member States will support inclusive life-long learning and equitable quality education [...] They will also promote education at secondary and tertiary level, technical and vocational training as well as work-based and adult learning, including in emergency and crisis situations.” The regional programme is thus consistent with the development cooperation framework.

#### **1.3.2.3 Finding: Coherence of EU support with the Agenda 2030 despite prior programme design**

<b>Related indicators:</b>	I-133
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• RSP/MIP</li> <li>• Other EU strategy documents</li> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Thematic studies</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

### Security-development nexus

The evolution of EU migration policy in LA from a development/migration perspective to include a security/migration focus has followed the UN transition to the 2030 Agenda for Sustainable Development and puts the emphasis peaceful societies and on the security / migration nexus. The EU’s Consensus for Development (2017) incorporated the changing approach to development and reflected the broadened approach to include security into its cooperation framework as seen in the MIP 2014-2020; it also aligned itself with the Agenda 2030. The introduction of the EL PACtO project with its focus on institutional development, operational exchanges and cooperation also follows the policy evolution supporting the development of peaceful societies and just and strong institutions under the same framework.

While COPOLAD I & II were designed before the adoption of the Agenda 2030, they strongly relate to SDG16 “justice and strong institutions”. Drugs related issues considered in COPOLAD are also linked to the following SDGs: poverty (SDG1); health (SDG3); education (SDG4); employment (SDG8); reduced inequalities (SDG10); ecosystem/forest (SDG15). The EU-CELAC Santiago Declaration affirmed that transnational organised crime undermines economies, threatens stability and security, weakens rule of law, governance systems, development and human rights; indirectly recognising the relevance of SDGs in the fight against drugs. COPOLAD II Action Document (2014) identifies among its cross-cutting issues, a sustainable development approach through activities of alternative development including environment, social and economic development and sustainability.<sup>55</sup>

### Environment and climate change

All regional programmes evaluated are coherent with the MDGs (where they were identified prior to 2015) and more recently the SDG framework (Agenda 2030 for Sustainable Development). The latter has been highly relevant in justifying the identification, design and implementation of EUROCLIMA+ which is expected to contribute to several SDGs: a) SDG 13 (combat CC and its impact); b) SDG 2 (safeguard food security and nutrition through adaptation and mitigation actions); c) SDG 5 (gender equality and empowerment of women); d) SDG 6 (access to water and sanitation for all); e) SDG 7 (affordable, reliable and sustainable energy for all).

### Social equity

EU support for social equity is coherent with the SDG framework (Agenda 2030 for Sustainable Development) and this new international framework has had an important influence on the identification of the objectives pursued in the sector. The pillars of human development, human rights and equity are deeply rooted in SDGs and several targets explicitly people with disabilities, people in

<sup>55</sup> EU (2014): Action Document for COPOLAD II (2016-2020)

vulnerable situations, and to non-discrimination. The SDGs have one comprehensive goal emphasising well-being and healthy living including NCDs; Quality education; Gender equality; Decent work and economic growth; Reduce inequality; Peace, justice, and strong institutions; and Partnership for the goals. SDGs Indicators related to social equity sector are particularly 10.2, 10.3 and 10.4. Support to middle-income countries remains equally important to attain the SDGs. Many lower MICs are facing the same kind of difficulties as LICs. A large number of the world's poor live in these countries. Many are confronted with striking inequalities<sup>56</sup> and weak governance which threaten the sustainability of their own development process. The EU has therefore continued to provide development assistance based on countries' poverty reduction or equivalent strategies.<sup>57</sup>

#### Inclusive growth

Since the programmes reviewed were designed before 2015, there is logically no mention of SDGs in the documents analysed. The EU support has been broadly consistent with the SDGs framework. In particular, AL-INVEST has had a strong emphasis on specific dimensions of SDG8 (see table below).

However, employment has been addressed only in general terms in AL-INVEST. There has been no focus on youth unemployment in the initial project design, but some activities implemented focused on this target group.

Moreover, AL-INVEST covers only very specific aspects of SDG 9, with limited emphasis on innovation and very limited linkages with the EU regional programme LAIF which has focused on infrastructure (see also EQ2).

#### Higher education

SDG4 focuses on education and also covers higher education:

*“4.3 By 2030, ensure equal access for all women and men to affordable and quality technical, vocational and tertiary education, including university*

[...]

*4.b By 2020, substantially expand globally the number of scholarships available to developing countries [...] for enrolment in higher education, including vocational training and information and communications technology, technical, engineering and scientific programmes, in developed countries and other developing countries”.*<sup>58</sup>

As the EU has been – and continues to be - a major global provider of scholarships under Erasmus Mundus/Erasmus+, EU support is alligned with the SDGs in this regard.

---

<sup>56</sup> Eight out of the 20 most unequal countries in the world according to the Gini Index are in Latin America. The rest are in Sub-Saharan Africa.

<sup>57</sup> European Parliament (2012) A new European Development Cooperation Policy with LA

<sup>58</sup> United Nations. Transforming our World: The 2030 Agenda for Sustainable Development. A/RES/70/1

## 2 EQ 2 - Implementation approaches

**To what extent were the implementation approaches adopted appropriate to pursue the development cooperation's objectives while creating synergies with other EU support and with the actions of EU Member States and other donors?**

This EQ covers five main dimensions/judgement criteria:

- JC 21: Value added of the regional approach
- JC 22: Complementarity with bilateral and regional/sub-regional cooperation
- JC 23: Complementarity with reinforced other EU financing instruments
- JC 24: Complementarity with actions of EU MS and other donors
- JC 25: Appropriateness of approaches.

### 2.1 JC 21 - Added value of the regional approach

#### 2.1.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 21: EU support has been designed to maximise the <b>value added stemming from a regional, transboundary or cross-border approach</b>	I-211 Regional-level interventions addressed transboundary issues I-212 Regional-level interventions and approaches adopted focus on creating opportunities for cross-country coordination, sharing and learning (including through triangular cooperation)

#### 2.1.2 Main findings and related evidence

##### 2.1.2.1 Finding: Regional-level interventions addressed transboundary issues, but faced challenges related to geographic, cultural, socio-economic and political diversity

<b>Related indicators:</b>	I-211
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Monitoring reports</li> <li>• Partner reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

#### Security-development nexus

Migration achieved high profile and political sensitivity for both the EU and the LAC regions resulting in its inclusion in the agenda of the EU-LAC 5<sup>th</sup> Summit in 2008 which emphasised defining characteristics of the EU-LAC migration relationship. It called for establishing the Structured Dialogue, which in turn was launched in 2009 in order to identify common challenges, areas for mutual cooperation as well as the need to build a stronger evidence base that would provide a better understanding of the realities. This determination was based on a perspective of shared responsibility and commitment to discuss migration issues. On the premise of defining a model for shared management of migration the EU financed the migration project in 2011.

The value of a regional approach, or bi-regional approach, was not only obvious in this case but was the only way to address the common issues relating to the high migration flows between LA countries and the EU that were affecting many countries in both regions. There was also an intent to develop a model of shared migration management which would require bi-regional participation. (The model was not developed, however tools were provided to create data bases on migration statistics and management structures that had the potential to advance common models.)

The challenge of a regional approach is found in the wide diversity – geographic, cultural, socio-economic and political - which was to some degree experienced by all during these interventions. (See EQ 1 – Structure / Participation)

The EU regional cooperation in the areas of migration and organised transnational crime has supported the creation of networks for sharing of information, best practices and technical expertise among the governments, at both administrative and political levels, of LAC states, as well as with Europe. Although standardisation of practices was often not the chosen direction, due to diverse realities, a degree of harmonisation did happen and common practices were adopted. Dialogue on Migration and the migration project have benefited from the involvement of international expert input provided through the EU cooperation during workshops, training sessions and project activities.<sup>59</sup>

#### Environment and climate change

The EUROCLIMA initiative - more than any other regional programme in the E&CC sector - has demonstrated its value added by working at the regional level, despite the fact there is no regional agency responsible for coordinating CC. Due to the Paris Agreement, EUROCLIMA found itself well placed to facilitate regional and sub-regional policy dialogue on implementing the Agreement in LA, which includes new opportunities to forge linkages between Europe and LA in implementing the mitigation agenda (at public, private and civil society levels). EUROCLIMA+ has attempted to maximise its added value by shifting away from the traditional “sector” approach (such as WATERCLIMA, RALCEA, EUROSOLAR), which encouraged programmes to largely work independently of each other, towards a more integrated and demand-driven approach based around a central theme; namely implementation of the NDCs through both horizontal and vertical support measures. The increase in the added value of EUROCLIMA in the LA region has been facilitated by three key factors: a) substantially increasing the EU budget to EUROCLIMA+ from EUR 16 m. in EUROCLIMA I and II to annual contributions in the first two years of EUR 40 m. (2016 and 2017); b) widening the network of partners (NFPs, ECLAC, UNEP, SICA, MERCOSUR, etc.) to include five Member State agencies (MSA) from France, Germany and Spain, which has increased the presence and leverage of EU regional cooperation in LA based on a positive message the MS and EU are working together as partners with LA; the USA’s decision to pull-out of the Paris Agreement, which has left EUROCLIMA+ as the main player on CC in the LA region.

In the case of EUROSOLAR, RALCEA, or WATERCLIMA the main finding from the document review and interviews is that the added value of their regional approach has been far less significant to LA countries given their project-oriented approaches could have been implemented through bi-lateral or sub-regional programmes with equal, or possibly more, effectiveness, because they were mainly effective in bringing about change and reforms at the local/provincial/state levels. Furthermore, none of these programmes have benefited from the same clear mandate to operate in the region as has been provided to the EUROCLIMA initiative following the Paris Agreement. For example, in the case of EUROSOLAR it had to operate under three different sub regional energy strategies where only in Central America was the expansion of renewable energy in rural off-grid areas a priority. Indeed, the final evaluation of EUROSOLAR (2014) pointed out that the solar power kits were promoted in countries such as Paraguay where off-grid energy sources had very limited scope due significant advances in rural electrification during the programme’s lifetime (due to the Itaipu dam).

In addition, their implementation mechanisms relied heavily on highly limited timeframes, which interviews confirm reduced the scope for legal/policy reforms. For example, WATERCLIMA carried out a call for proposals and selected three projects (ECO CUENCAS, AGUA SIN FRONTERAS and GESTION DE ZONAS COSTERAS), each involving specialised partners in river basin and water management from Europe and LA and lacking the political leverage needed to bring about significant changes at the national/sub-regional or national levels. As a result, it can be argued these projects represented an extension of the EU’s bi-lateral cooperation. This observation is also evident in ROM reports. One exception appears to be the transboundary initiative in the Catamayo-Chira river basin (Peru and Ecuador), which was the only example where all three projects participated in coordinated activities (in particular ECO CUENCAS and AGUAS SIN FRONTERAS) that have helped lay the foundations for the agreement to develop a transboundary river basin commission in 2017.

#### Social equity

Through the EUROsociAL programme EU support in the area of social equity has been highly designed so as to maximise the value added stemming from a regional approach. The programme’s core is to promote exchanges of experiences, specialised knowledge and good practices in the social field between the two regions to increase social cohesion and public policies for social equity.

---

<sup>59</sup> An international expert on migration statistics was hired to work on the study of migratory routes – resulting in two publications on “Migratory Routes and Dynamics among Latin American and Caribbean countries and between LAC and the European Union” in 2012 and 2015 Other experts also participated in various project activities.

Transboundary development exchange activities have taken place in the framework of EUROsociAL II in Argentina, under the thematic line: Decentralisation and territorial cohesion<sup>60</sup>.

The programme clearly promoted a space for South-South and Triangular cooperation focused on exchange based on collective learning among peers. It is considered the most important regional programme of EU in LA in terms of South-South cooperation promoted. Through the URBAL programme, EU support in the area promoted a transboundary or cross-border approach by stimulating of cross-border cooperation, established in the territorial dimension of the Call for applicants.<sup>61</sup>

#### Inclusive growth

The EU flagship regional programme AL-INVEST (IV and 5.0), focused on promoting business linkages in LA. The regional level is a 'logical' level to pursue such objectives. The programme intends to ensure cross-fertilisation between initiatives aimed at strengthening the competitiveness of LA MSMEs. However, AL-INVEST faced a number of challenges during implementation which limited the added value of the regional programme. In particular, the implementation of AL-INVEST IV relied on three consortia of business membership organisations (one for Central America, Mexico and Cuba CAMC; one for the Andean region RA; one for MERCOSUR, Chile and Venezuela MCV). It also had the support of a European consortium for 'coordination services' (CCS). This type of implementation was successful in the relevance of the measures adopted, since the consortia were closer to the needs and territorial particularities of SMEs. However, the regional added value was reduced, among other factors, by the limited interactions between the 3+1 consortia.

Although the more recent regional programmes have somewhat played a role of gap filler in the context of the graduation process, the continental approach in AL INVEST 5.0 adopted does not seem to have presented any added value in this regard, especially if compared to a sub-regional approach. Nevertheless, there have still been areas of added value, in particular in terms of gains in efficiency and coherence compared to an approach that would have been based on the parallel implementation of various sub-regional programmes.

The regional programmes could have presented an added value in terms of synergies with EU-LA trade facilitation efforts. But, while there has been a general coherence between these two levels, opportunities of synergies have not really materialised for two main reasons: i) the limited operational linkages built between AL-INVEST and these processes; ii) the uneven progress achieved in trade negotiations and the fact that there is no real trade facilitation process with a continental dimension.<sup>62</sup>

#### Higher education

EU support to higher education has been predominantly based on regional (ALFA III) or global approaches with regional dimensions (Erasmus Mundus, Erasmus+). These programmes have been instrumental in creating hundreds of regional networks among Latin American higher education institutions.

### **2.1.2.2 Finding: Evolving approaches to South-South cooperation and triangular network building**

<b>Related indicators:</b>	I-212
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Monitoring reports</li> <li>• Partner reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

#### Security-development nexus

The EU regional cooperation on migration has supported the creation of networks for sharing of information, best practices and technical expertise among the governments, at both administrative and

<sup>60</sup> <http://EUROsociAL-ii.EUROsociAL.eu/es/noticia/intercambio-de-experiencias-para-el-desarrollo-transfronterizo>

<sup>61</sup> Final Evaluation of URBAL III, 2014

<sup>62</sup> EU (2014). Final Evaluation of AL-INVEST IV; EU (2017). Mid-term Evaluation of PRAIAA

political levels, of LA states, as well as with Europe. These networks were created by people coming together at workshops and project activities, where they made contacts and followed up for consultation and sharing. However, they were informal and no mechanisms were institutionalised that would provide sustainability of such networks. A high turnover of government employees also contributed to the failing of these networks as individuals carried the contact not the institution. A project website was created with all project and reference materials, and publications were made available. The website was maintained for a period of time by OIM but later disappeared. The High Level Migration Meetings did provide a structured environment for sharing and discussion of migration issues and it was fed from the information generated by the project. Although standardisation of practices was often not the chosen direction, due to diverse realities, a degree of harmonisation did happen and common practices were adopted. In the case of Mexico, who participated in the PP on labour reintegration, it became aware of weaknesses of its own system and planned to introduce changes to improve management of public migratory policy<sup>63</sup>. Data collection, sharing of information and practice, developing common practice for migration management and remittance investment, were the key objectives and all necessitated clear communication, however communication was weak at almost all levels of this intervention.<sup>64</sup>

COPOLAD I had a positive impact in terms of the reinforcement of networking and contacts among participants and with regards to the regional dialogue on drug policies. The nature of the policy-oriented project feeds into the changing tides of international relations and politics in LA in general and amongst the 18 LA nations (including Cuba). The project contributed to the establishment of new procedures, encouraged the discussions of more technical issues and contributed to the participation of more CELAC countries in the coordination mechanism (CCM). According to the final evaluation of COPOLAD, the project managed to gradually increase the coherence among CELAC and between them and EU MS in terms of the harmonisation of the concepts used by all participants to the CMM. Stakeholders also welcomed the presence of EU in the field of drug policies indicating that it represented a counterweight to the US approach on drugs.<sup>65</sup>

PRELAC initiatives tended towards technology-intensive approaches which bolster regional development in this area. CRP created structures for more effective law enforcement with enhanced capacities and cooperation networks, that have facilitated the joint task initiatives. However, many beneficiaries of COPOLAD indicated that the regional approach implying a joint approach across LA was not practical given disparities among countries. Many called for a sub-regional approach instead.<sup>66</sup> Some stakeholders in the Migration and the EL PAcCTO projects acknowledged that a sub-regional approach would provide greater relevancy to some specific issues (i.e. an Andean approach or a Central American approach), however they also stated that the regional approach was most effective for transnational issues<sup>67</sup>.

#### Environment and climate change

As explained above, WATERCLIMA carried out a call for proposals and selected three projects, each involving specialised partners in river basin and water management from Europe and LA. The approach facilitated information exchange and technology transfer (both EU-LA and South-South), but, opportunities for learning were reduced by the fact that the three projects did not target the same areas of intervention, with the exception of the Catamayo-Chira river basin (shared between Ecuador and Peru) where both the ECOCUENCAS and Water Without Frontiers were active. JC 22 - Synergies with bilateral and regional/sub-regional support

#### Social equity

EUROSociAL clearly promoted a space for South-South and triangular cooperation as it focused on exchange based on collective learning among peers. It is considered the most important regional EU programme of in LA in terms of the promotion of South-South cooperation.<sup>68</sup>

Some South-South cooperation activities have presented tangible results. For instance: i) the transfer of an IT platform from an Argentinian peer organisation to the Employment Offices of Colombia (initiated in May 2014); ii) the strengthening of Public Defenders in Ecuador, Guatemala and Honduras focusing on individuals deprived of their liberty, with support of their Costa Rican homologues; iii) the stimulation of two regional networks, Red CESLAC and REDPLAN, thanks to the active engagement

<sup>63</sup> Final Evaluation of LAC migration project 2015, p. 33

<sup>64</sup> EU (2015): Final Evaluation of the migration project:43, 45, 48.

<sup>65</sup> EU (2015): Final Evaluation of the COPOLAD Programme (2010-2014):

<sup>66</sup> EU (2015): Final Evaluation of the COPOLAD Programme (2010-2014):

<sup>67</sup> Interviews during field phase –August 2018.

<sup>68</sup> South-South Cooperation Study, DEVCO, 2015.

of Brazilian institutions; and iv) the launch of a pilot project in Peru applying the Brazilian model of “Youth Competencies” in the framework of professional insertion by holders of the PTC.

The activities accomplished until now have also led to the rise of emerging processes of cooperation between peer institutions in the context of EUROsociAL II. Relevant examples include: i) the Costa Rican Ministry of Labour, in a non-formalised manner, has shared its youth training on soft skills programme with its Chilean homologue; ii) the Secretariat for Social Development of Honduras, with the support of the Brazilian Cooperation Agency, have been coordinating a joint action to strengthen the capacities of technical experts on social protection policy, together with the Ministry of Social Development and the Fight against Hunger of said country.

A final element to underline (also clearly highlighted in the evaluation of EUROsociAL II) is the role of the regional programme as a promoter of South-South cooperation through the generation of replicable experiences. Numerous reform processes of public policy that are being supported, or that are foreseen to be supported, have a calling to be shared with homologous institutions of countries that plan actions among the same lines. This is the case with the implantation of Work Centres on behalf of the Colombian Ministry of Labour, which defines itself as an experience that can be replicated in Peru and Ecuador. Another example is the Monitoring System for Measurement of Equality in Healthcare, which will be developed in the Ministry of Healthcare in Uruguay and aims to be adapted to the needs of Colombia and Costa Rica initially. In the same vein, the Judicial Power of Costa Rica aspires to act as a provider in terms of limiting barriers to equal access to justice for persons with an auditory impairment or psychological disability, with a process which is completely innovative for the region, supported by the Programme.

Finally, the significant presence of South-South activities in the programme was considered an indicator of high potential for sustainability: “A lot of political decision makers and bureaucrats feel that EU-Latin American cooperation can provide models and roadmaps for the structuring of future systems of triangulation and South-South cooperation, which will become the dominant force of technical cooperation in public policy in the coming decades”<sup>69</sup>.

#### Inclusive growth

According to the final evaluation of AL-INVEST IV, there have been missed opportunities in terms of establishing mechanisms of triangular cooperation (e.g. between the EU, Brazil and Bolivia or Paraguay). More generally, implementation has been marred by regional asymmetries, the great heterogeneity of stakeholders involved (including at country level) and, above all, weak elements in the design focusing the regional dimension of the programme and the promotion of learning mechanisms at continental level. The continental approach adopted under AL INVEST 5.0 has only very partially helped addressing these challenges.

#### Higher education

In higher education, through the network approach of ALFA III the EU contributed decisively to South-South cooperation. The programme not only strongly encouraged such cooperation, but also facilitated intra-regional (between LA higher education institutions) and inter-regional collaboration (between LA and EU universities) and thus created a suitable basis for triangular cooperation.<sup>70</sup> Erasmus Mundus and Erasmus+ have followed a similar approach.

---

<sup>69</sup> EU (2015): South-South Cooperation Study.

<sup>70</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014), Vol. 1.

## 2.2 JC 22 - Synergies with bilateral and regional/sub-regional support

### 2.2.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 22: EU regional-level support complemented and reinforced bilateral and regional/sub-regional EU-LA cooperation	I-221 Degree of synergies with the bilateral (country level) component of EU-LA cooperation, including evidence that regional interventions provided knowledge, innovative approaches and frameworks, which were taken advantage of by country actions I-222 Degree of complementarity and coherence of regional-level support within individual sectors, i.e. security, social equity, environment, growth, higher education/science & technology

### 2.2.2 Main findings and related evidence

#### 2.2.2.1 Finding: Synergies between regional-level and bilateral/sub-regional development support not systematically developed

<b>Related indicators:</b>	I-221
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Monitoring reports</li> <li>• Partner reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Medium

#### Security-development nexus

The 2018 COPOLAD II ROM report noted that the EUDs in the countries of CELAC are not sufficiently informed about the activities of COPOLAD II by the headquarters. This prevents the identification of possible synergies with national or regional programs related to the problem of drugs financed by the EU itself, by Member States or by other funders.

The MIP 2014-2020 also foresaw important synergies with national and sub-regional cooperation in this section which didn't materialise according to interviews and the documents reviewed: *"In the field of security, the continental programme proposed would be complementary to the actions for institutional strengthening in this field envisaged in particular under the sub-regional programme for Central America component, the EDF regional programme for the Caribbean and the bilateral programmes (e.g. youth and violence prevention in El Salvador, conflict and violence in Guatemala; strengthen the rule of law in Honduras; support to the justice reform and fight against illicit drugs in Bolivia; development-security-nexus in Jamaica). Indeed, the often continental and cross-border nature of many of the related challenges cannot be sufficiently tackled only at the lower levels, but needs to be complemented through relevant interventions at continental level with a view to promoting international standards and best practices in human rights and fight against crime, as well as fostering continent-wide mechanisms for cooperation and policy dialogue in the areas of drugs, migration and security."* (source: EU (2014) - MIP 2014-2020 for Latin America)

The programming document states more generally: *"This continental component will be complemented by a sub-regional component for Central America that will create important synergies in the areas of security-development nexus, inclusive and sustainable growth and environmental sustainability and vulnerability."*

#### Environment and climate change

The main finding from the desk review is that EU regional cooperation provides information about "complementary actions" in the AF, but inadequate attention is given to clarifying the synergies to be developed and how they are to be funded with: a) EU bilateral cooperation projects; b) interventions at the sub-regional level with SICA, CAN, MERCOSUR; and c) with other relevant regional programmes.

At the bi-lateral level direct complementarities and synergies with other EU projects were not identified. Indeed, there are cases where the ROM reports stated more needed to be done in this regard. For example, the ROM report on RALCEA (2013) recommended the programme should be establishing alliances with bi-lateral projects such as the budget support programmes relating to water



in Bolivia and Honduras. Similarly, the evaluation on EUROCLIMA (2015), stated synergies had generally not been exploited with other programmes and projects funded by the EU.

There is also insufficient evidence to indicate the regional programmes established complementarity or dynamic synergies with the EU's sub-regional programmes. For example, the Soil Atlas produced by EUROCLIMA (2015) does not appear to have built on the maps and data in the Atlas for Sustainable Land Management in Central America produced in 2012 by the EU-funded Regional Programme for the Reduction of Vulnerability and Environmental Degradation (PREVDA) and which is owned by SICA. In another example, EUROSOLAR and Energy and Environment Partnership in Central America (EEP) launched in 2009 did not establish synergies in the four countries of Central America where they were both actively promoting renewable energy sources and greater accessibility in rural areas.

#### Social equity

Strategic and impact level linkages with bilateral and sub-regional support have been weaker than expected. One of the reasons that can explain this situation is the fact that bilateral cooperation is managed by the delegations while regional cooperation is managed from HQ. This weak interconnection is observed at the territorial level since the Delegations are embedded in the country-level cooperation but not so much in the regional level one.

The coherence between the regional EU strategy (of regional programs that necessarily land on the national level where public policy reforms occur) and the country strategy (CSP) can therefore sometimes be at risk. The lack of connection directly affects the entire cycle of design, implementation and learning.

The EUROSociAL programme evolved from phase I to phase II and to EUROSociAL +. In the second phase the programme felt the need to work more at a country level -together with the regional level-. This implied an extra effort from the programme implementers to inform and involve the delegations when the programme had activities in the specific countries. Despite those efforts, challenges remained in the interconnection between country and regional level cooperation. There were cases like the Social Cohesion Laboratory in Mexico where, despite the extreme similarities between the interventions (at country at regional level) synergies were very few. According to interviews, there were contacts between the Technical Assistance of the Social Cohesion Laboratory in Mexico and FIIAPP but no specific joint actions have been found. The Laboratory faced several challenges due to weaknesses in its design. Some important national stakeholders could not be involved and two major sectors, education and health were not covered by the programme. This undermined the effectiveness of the programme and the potential synergies with EUROSociAL II.

However, there are certainly many cases where synergies have been found. In El Salvador the Programa de Empleo y Empleabilidad Juvenil (PEEJ) design was supported by a comparative analysis of youth employment programmes in Central and South America carried out with the help of EUROSociAL. (From Initial Action Document for "Apoyo al Plan Social 2014-2019 de El Salvador"). The new programme "Jóvenes con Todo" in El Salvador -supported under BS modality- was designed with the support of EUROSociAL, taking experiences from Argentina.

Nevertheless, at the implementation level, there is strong evidence that regional interventions -like EUROSociAL and URBAL- provided knowledge, innovative approaches and frameworks, which were taken advantage of by country actions.

#### Inclusive growth

The linkages with bilateral and sub-regional support are not always clear. Within the CSPs there is not always clear evidence on how the Regional programs are incorporated into national country strategies. The bilateral programmes often mentions the "cooperation and complementarity" with regional programmes but there is not specific mechanism established to link national with regional activities. For example, at programming level, AL-INVEST or LAIF or any other regional programme are not mentioned. At the implementation level the regional programme are implemented without a strong involvement of EU delegations.

There has been obvious coherence where the bilateral interventions have targeted different actors than the ones covered by the regional programme (e.g. public entities in the case of the AdA-Integración bilateral project in Guatemala) and there is a potential for synergies over the long term in several instances. However, examples of synergies that have materialised with, for instance, the same actors benefitting from complementarity support measures provided at different levels of cooperation, are limited, and the documents reviewed do not highlight specific mechanisms to build bridges

between the two levels of cooperation or avoid duplications. Overall, the interventions appear to have been working in silos.<sup>71</sup>

#### Higher education

90% of all EU funds targeted at higher education development cooperation worldwide have been delivered through the major regional and global HE programmes such as - prior to 2014 - ALFA III and Erasmus Mundus (as well as Tempus IV, Edulink, and the Intra-ACP Academic Mobility Scheme) and, since 2014, Erasmus+.<sup>72</sup> Synergies between the regional-level and bilateral support of DEVCO-funded support to higher education have not been systematically developed. However, such synergies exist for interventions funded by other DGs, which are outside the scope of the evaluations and presented only for information purposes:

The EU has concluded bi-lateral science & technology agreements with Argentina, Brazil, Chile and Mexico. These agreements constitute a framework and a privileged forum to identify common interests, priorities, policy dialogue, and the necessary tools for S&T collaboration.<sup>73</sup> However, it is not known as to whether and what degree actions under the bilateral agreements were complementary and produced synergies with the project-driven approach under FP7 and Horizon 2020. Under FP7, for example Brazilian HE institutions participated 223 times in 171 FP7 signed grant agreements, receiving a total EU contribution of EUR 32.24 million for such participants, and an overall EU Contribution of EUR 565.10 million in total, for the respective projects. Under the latter due to the “non-automatic funding” principle which applies to emerging economies, Brazilian entities are no longer automatically eligible for EU funding (under FP7 Brazil was still automatically eligible for EU funding). Such limitation has decreased significantly Brazilian participation in the calls launched in Horizon 2020.<sup>74</sup> The evaluation of EU support to research and innovation mentions that “the increase in scientific capacity among researchers who participated in FP7 consortia had knock-on effects not only for DG DEVCO actions in the area of R&I, but for DG DEVCO’s bilateral programmes more generally”.<sup>75</sup> However, there is no elaboration on the specific case of Latin America.

#### **2.2.2.2 Finding: Coherence of regional-level support within individual sectors**

<b>Related indicators:</b>	I-222
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Monitoring reports</li> <li>• Partner reports</li> </ul> Interviews in Brussels and LA
<b>Strength of evidence:</b>	Weak

#### Security-development nexus

When migration was first identified as a focus (2007-2013 RSP) and later as a priority for attention (2014 MTR) it fell within the framework of poverty eradication, social cohesion and the MDGs in LAC, or the migration / development nexus. A focus on migration was also an effort to address the links between migration and development, or poverty causing migration. Labour migration was included in the project activities and an ILO expert was included. Migration is also tied to the rule of law and security when associated with irregular migration, human trafficking, or fleeing conflict and violence, and these were issues addressed. Migration also incorporates human rights and gender. Gender has a particular significance as seen in many countries where women are the majority of migrants and this phenomenon has been identified as the feminisation of migration. A future regional project on

<sup>71</sup> EU (2017). Final Evaluation of PRAIAA.

<sup>72</sup> HE Evaluation, Vol. 1: 33.

Integrated Border Management is to be financed by the EU, which would also be complementary to the recently finalised subregional IBM (SEFRO) project in Central America.<sup>76</sup>

As mentioned, the migration issue was introduced within the framework of poverty eradication, social cohesion and the MDGs or migration and development. As such the migration project complements the EUROsociAL programme<sup>77</sup> and its commitments to social cohesion and poverty eradication.

Although not explicitly taken into account in the design, it is recognised in the COPOLAD II Action Document that drugs issues also have an impact on health, life expectancy, education, employment, human rights and poverty reduction. COPOLAD's objectives towards reduction of demand and negative impacts of drug consumption are paired with rehabilitation and reintegration of consumers.<sup>78</sup>

#### Environment and climate change

The identification and design mechanism applied for regional programmes does not have a specific section on coherence and complementarity with other sectors. As a result, the EU regional programmes in E&CC have been heavily sector-focused in their scope (RALCEA, WATERCLIMA, EUROSOLAR). This also indicates the programmes have not been conceived as cross-cutting initiatives. EUROCLIMA, by contrast, has been designed to cross-cut different development sectors in the interests of integrating CC into sector and national policies and strategies. For example, there is evidence EUROCLIMA and LAIF have actively attempted to improve coordination and coherence in line with the provisions in the MIP 2014-2020 where it is specified LAIF should be supportive of the E&CC sector as well as other relevant sectors such as agriculture, transport and energy.

Nevertheless, the fact regional programmes such as EUROCLIMA and LAIF are managed centrally from EC-HQ in Brussels, interviewees confirmed it has been difficult to harness interest and support from EUDs to facilitate this spirit of coherence and complementarity at the bi-lateral level to establish more integrated cooperation approaches (as well as potential synergies). To address this the Commission produced a status report on LAIF at the end of 2017<sup>79</sup> to increase the information flow to EU Delegations on the LAIF project portfolio in the interests of facilitating "the appropriation of ongoing LAIF projects by the delegations in view of a more strategic positioning of LAIF within EU Delegations' project portfolio and a better coordination and complementarity with the other bilateral and regional programmes. Interviews with both EUROCLIMA and WATERCLIMA confirmed this situation remains a major challenge for EU regional and bi-lateral cooperation in the LA. Indeed, LA partners and international organisations interviewed, such as UNEP/Latin America (in its function as secretariat for Environment Ministers' Forum) and ECLAC informed the evaluation that the establishment of the secretariat of EUROCLIMA+ in Brussels, is considered too far away from the region to stimulate effective multi-sectoral approaches to combatting CC in which LAIF and other EU instruments and programmes were better coordinated and supported. Nonetheless, there are positive indications that EUROCLIMA+ is addressing this lesson learnt by placing greater emphasis on: a) amplifying the EUROCLIMA+/ECLAC/EU cooperation framework, so that funds can be channelled to ECLAC to implement activities that forge relations with different sectors (for example, agriculture, transport and energy); and b) working with more NFPs that facilitate a multi-sector approach to CC. According to DEVCO one of the most interesting examples is Costa Rica which has established an inter-ministerial coordination unit to combat CC and mitigate its effects.

A separate challenge identified from the desk review is that LA countries retain a strong interest in capturing regional finance for the benefit of its own sector-based interests. For example, interviews with DEVCO confirmed EUROCLIMA+ negotiations centred heavily on LA countries interests to "divide up the cake" rather than a concerted effort to build up the regional infrastructure needed to promote and manage the different sectors (components) in the programme to push the NDC implementation process forward at all levels.

Synergies between regional programmes were generally found to be weak. This is despite the fact the AF provides a specific section on "complementary actions" funded by the EU or other donors. Similarly, the AF for RALCEA identified EUROCLIMA as a significant complementary action in terms of the development of networks to harmonise analysis and methodologies relating to data collection, database elaboration, exchange of information, seminars and trainings, etc. which would include water

<sup>76</sup> Interview DG Devco April 2018; [https://ec.europa.eu/europeaid/sites/devco/files/evaluation-central-america-report-volume1\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/evaluation-central-america-report-volume1_en.pdf)

<sup>77</sup> Action Doc; EUROsociAL; DCI-ALA/2015/037-821, p. 8

<sup>78</sup> EU (2014): Action Document for COPOLAD II (2016-2020).

<sup>79</sup> LAIF – State of play at the end of 2017 is an internal document of the LAIF programme, distributed in February 2018.

resources. In another example, EUROCLIMA I and II did not forge synergies with the Disaster Preparedness Programme in Latin America (DIPECHO), although this has changed in EUROCLIMA+ due to the inclusion of DRM as one of the vertical components in the programme and which is managed by AECID/AFD.

A major shortcoming identified is that there is no explicit information in the project description of the AF to clarify how coherence is to be developed and implemented. Interviews confirm this situation relies on the implementing partners to identify the synergies. However, until 2017 (start of EUROCLIMA+) this has been highly difficult due to the absence of resources allocated specifically for the development and operation of such synergies. Thus, there is little incentive for projects to spend valuable resources and time on developing synergies, especially when they have a limited duration. In addition, the communication mechanism within the Commission is not geared to promoting interconnectivity between its programmes and projects. Indeed, ROM reports and interviews confirm an urgent need for DEVCO to develop a unit dedicated to producing a full real-time inventory of its programmes and actions to facilitate the development of synergies. For example, B4LIFE stated they could be more proactive in supporting EUROCLIMA+ if such an inventory was available.

In conclusion, the tendency for EU E&CC regional programmes has been to “go it alone” developing where possible ad hoc complementarities or synergies where possible, but which are generally restricted to co-financing and/or participating in specific events and trainings (especially when there are geographical, research, etc. overlaps). For example, of the three WATERCLIMA projects only ECO CUENCAS confirmed they had worked with RALCEA. However, this mainly involved participation in a RALCEA event conducted in Florianopolis, Brazil (2017). Likewise, synergies between EUROCLIMA I and RALCEA primarily consisted of exchanges of information which mainly happened through the AQUAKNOW platform managed by JRC. For example, EUROCLIMA produced software designed to model future natural resources scenarios (REFRAN-CV) and a GIS programme to support improvements in the spatial coverage of meteorological observatories that was integrated into the AQUAKNOW platform to provide direct access to the Water Knowledge Centres established in the RALCEA network.

#### Social equity

In the social equity sector the two big programmes, EUROsociAL and URBAL were complementary and coherent since they addressed social equity policies at different levels of the implementation of public policies (from national to regional and local ones). However, some overlaps and elements of inefficiencies were also found. For example URBAL had an important component on conceptualisation of “*social cohesion*”. This component was developed by one of the implementing partners (Diputació de Barcelona) whose strong expertise was on “decentralised cooperation” and not on “social cohesion”) while at the same time another member of the consortium, FIIAPP, was implementing EUROsociAL. The interconnection of the “social cohesion” component of URBAL with EUROsociAL did not occur nor was there a look for synergies among the two programmes. Diputació de Barcelona ended up developing its own approaches of the concept of “social cohesion” instead of relying on the already existing documents, tools, researches developed by FIIAPP. This caused severe inefficiencies and lack of effectiveness for URBAL (Mid Term evaluation URBAL). This situation could have been avoided by enhancing the provision of specific expertise by the different implementing partners, and a clear division of roles among the different members of the consortium from the start of the programme, always in relation with the principles of aid effectiveness.

EUROsociAL has a strong system of monitoring and learning and a clear “improvement process” between EUROsociAL I, II and +. This system however has mainly relied on the evaluations conducted through the programmes cycle. According to some of the interviewees there is still room for improvement regarding the learning capacities of the different stakeholders, including DEVCO, in order to strengthen harmonisation, strategic approach, efficiency and dialogue around the cooperation initiatives.

#### Inclusive growth

There is a high degree of consistency with three main other sectors, but limited actual linkages:

- With respect to the area of environment and climate change, an explicit dimension related to environment sustainability is mentioned in the project documentation and the strategy papers. However, there has been a missed opportunity to put more emphasis on the “green economy” during implementation, for instance by creating linkages with initiatives taken under EUROCLIMA or LAIF, or by including explicit criteria related to this area in the calls for proposals.
- With respect to the area of social equity, the regional programme used to pursue a dual objective of promoting regional integration (not only economic integration) and social

cohesion. The explicit emphasis on social cohesion has faded away over time as explained in EQ1, but issues of social inequities and unemployment have implicitly remained of high importance.

- Finally, there are obvious linkages between the “inclusive and sustainable growth” sector and issues related to “higher education, research, science and technology” which are clearly acknowledged in the strategy document. Although these linkages are less explicit in the project documentation<sup>80</sup>, they remain important at the operational level with some examples of stakeholders involved in the implementation of the programme bringing together these various dimensions. However, as already mentioned in EQ1, the emphasis on “innovation”, which could have strengthened linkages between these sectors, is limited in the design of AL-INVEST (phases 4 and 5).

#### Higher education

Project applications under Erasmus Mundus and partially ALFA III had to address national and regional development objectives as a key selection criterion for funding.<sup>81</sup> In Bolivia for example, support was linked to scholarships in the sectors promoted by AL-INVEST at individual companies. AL-INVEST provided direct experiences in protection activities for example, and universities facilitated specialised education in the fields of agro processing, textile, and coffee.

## 2.3 JC 23 - Synergies with other EU financing instruments

### 2.3.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 23: EU support through the DCI budget lines <b>complemented and reinforced other EU financing instruments</b> (including IfS/IcSP, thematic budget lines and the Partnership instrument)	I-231 Degree of synergies with the regional or sub-regional support provided through <u>other EU financing instruments/budget lines</u> I-232 Degree of synergies with the regional or sub-regional support provided through the <u>Partnership Instrument</u> I-233 Degree of complementary achieved between financing instruments to ensure continuity in the cooperation with LA <u>countries exiting from ODA</u> (i.e. “graduated” countries)

### 2.3.2 Main findings and related evidence

#### 2.3.2.1 Finding: Limited synergies with regional or sub-regional support provided through other EU financing instruments/budget lines

<b>Related indicators:</b>	I-231
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

#### Environment and climate change

The evaluation did not find conclusive evidence that regional programmes have received funding or developed synergies with other EU thematic budget lines, such as the DCI-financed *Environment and Sustainable Management of Natural Resources Thematic Programme* (pre 2014) or *Programme on Global Public Goods and Challenges* (post 2014).

#### Social equity

Synergies between the regional programmes and other financing instruments/budget lines have been found with SOCIEUX, a global programme tackling social protection. Coordination with EUROsocial

<sup>80</sup> As an illustration, keywords such as “research” or “technology” appear only once in the action document describing the AL-INVEST 5.0 programme.

<sup>81</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report. Main Report, p, Vol. 1, p. 37.

could have been strengthened in the first stages of the programme. However, this has improved under EUROsociAL+. Synergies with the Spotlight Initiative to eliminate violence against women and girls from UN have been established with EUROsociAL+. Through the Initiative Non State Actors demands are received at DEVCO for cooperation with NGOs. Synergies with the EU initiative “Collect more spend better” were also mentioned in the interviews.

#### Inclusive growth

Examples of synergies with other development cooperation instruments are even more scarce than with bilateral cooperation (see JC22). Some interventions financed under the thematic programmes seem to have filled a gap left by the regional programme. In particular, this seems the case on issues related to gender equality (incl. women entrepreneurship) and the integration of vulnerable groups. However, there is no example of operational linkages between these interventions and the regional programme.

#### Higher education

Support to research and innovation in Latin America has been funded by the geographic programme of the DCI. The Evaluation of the EU Support to Research and Innovation does not mention any synergies with other financing instruments.<sup>82</sup> Between 2007 and 2014 44% of the EU support to higher education in the world were financed by DCI, 43% by ENPI, and 3% by both DCI and ENPI, while 10% were financed by the EDF. However, unlike in other regions, DCI was the only financing instrument for Latin America.<sup>83</sup>

According to interviews, all of Brazil's the country's universities had benefitted from EU programme support either through Alfa III/Erasmus Mundus, or FP7/ H2020 or both.

### **2.3.2.2 Finding: Synergies with the regional or sub-regional support provided through the PI exist only in the inclusive growth and E&CC sectors**

<b>Related indicators:</b>	I-232
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Medium

#### Inclusive growth

Some complementarity with the regional or sub-regional support provided through the Partnership Instrument (PI) exist particularly in the economic growth sector. The PI included a focus on Latin America<sup>84</sup> and has been applied consistently and coherently in most countries of the region. The External Evaluation of the PI mentions Latin America under the heading “*areas where the PI has been more successful to date*” in terms of “*its opportune timing, supporting cooperation with countries graduating from development assistance*”. According to the evaluation “*this has been particularly relevant in Latin America, where eight countries are no longer eligible for bilateral aid.*”<sup>85</sup>

The PI has been used in a diversity of areas in LA, but complementarity with regional programmes were mostly observed in the E&CC and inclusive growth sectors<sup>86</sup>, and, to some extent, in the security-development nexus<sup>87</sup> and social equity<sup>88</sup> sectors. Despite DG DEVCO's participation in the programming of PI<sup>89</sup> and exchanges taking place at EUD level, there is limited evidence of synergies between the PI-funded actions and DCI-funded regional programmes. This situation can be explained

<sup>82</sup> EU (2016). Evaluation of the EU Support to Research and Innovation for Development in Partner Countries (2007-2013) Final Report Volume 1 – Main Report.

<sup>83</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report. Main Report, p, Vol. 1, p. v.

<sup>84</sup> Partnership Instrument. First Multi-annual Indicative Programme for the period 2014-2017.

<sup>85</sup> EU (2017). External Evaluation of the Partnership Instrument (2014 – mid 2017) Final Report, p. 25.

<sup>86</sup> e.g. Low carbon business action in Brazil and Mexico (AAP 2014, AAP 2016), Support civil society participation in the implementation of EU trade agreements Central America (AAP 2017), Promoting economic empowerment of women at work through Responsible Business Conduct - Latin America (AAP 2017).

<sup>87</sup> e.g. Support of the EU-Brazil common agenda for migration and mobility (AAP 2014).

<sup>88</sup> e.g. Promoting CSR and Responsible Business Conduct (RBC) in LAC (AAP 2017).

<sup>89</sup> e.g. participation in clusters and sub-cluster meetings and QSGs.

by various factors, in particular: i/ the emphasis of the PI on a few strategic countries in LA (Argentina, Chile, Brazil, Mexico) and on the promotion of EU and mutual interests explains this situation, which differs from the focus of the DCI-funded interventions; ii/ line DGs involved in the PI actions are less involved in the DCI-funded regional programmes (partly because of resource constraints).

The 2017 evaluation of the PI stressed that “*the coexistence of the different instruments working on similar topics also presents a potential risk of duplication. In Latin America for instance, the situation is made complex by the fact that countries are at different stages of development.*”<sup>90</sup>

#### Other sectors

In other sectors the PI has not been relevant. For example, as the PI does not cover drugs-related actions, it has not been relevant for COPOLAD. The PI does not seem not have had a relevant role in the social equity sector either. The EU E&CC programmes were identified prior to the launch of the PI. One exception concerns a potential synergy between the PI and EUROCLIMA+ where dialogue has been established to explore synergies under Objective 1: Global Challenges and Policy Support (section 1: Energy, CC and sustainable urbanisation), given the PI agreed in 2017 to fund the project “Energy Efficiency in Argentina” (EUR 4.5 m. over 36 months).

#### **2.3.2.3 Finding: Some coordination efforts between DEVCO and EEAS and consistency between DEVCO interventions and actions of other EU DGs, but limited linkages between the different types of EU external action**

<b>Related indicators:</b>	I-231
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Medium

#### Security-development nexus

EEAS represented in the migration project’s steering committee, which, according to the final project evaluation “*proved to be a useful and effective resource to analyse, re-orientate and agile decision making.*”

#### Environment and climate change

Degree of coordination between DEVCO and EEAS to strengthen EU-LA cooperation at regional level has evolved positively at the thematic level concerning CC. This is due to the growing priority of CC in EU development policy since the Paris Agreement. This has been facilitated through: a) annual meetings between EEAS and DEVCO (the Boendaal meetings); b) co-participation in international conferences concerning UNFCCC (COPs) and related international agreements and protocols (Kyoto Protocol, Sendai Framework for Action, etc.); c) identifying common areas of mutual interest with the Foreign Policy Instrument (FPI) which works alongside EEAS and EU Delegations. For example, EUROCLIMA+ is looking to develop synergies with the FPI’s Urban Cooperation Programme in Latin America; d) the updating of the EU-CELAC Action Plan (although this has been postponed due to the Venezuela crisis). In the case of coordination between DEVCO and EEAS at the geographical level, DEVCO confirmed staff rotation has reduced the scope for developing closer ties. Concerning the environment, coordination between DEVCO and EEAS also depends on DG Environment, which has generally been unable to participate in coordination meetings due to a lack of human resources.

General consistency between EU development cooperation managed by DEVCO and the action of other EU DGs has generally been difficult to consolidate due to: a) the lack of human resources in other DGs to ensure they participate at least once a year in annual meetings. For example, DG CLIMA and DG Environment have so far not participated in high-level ministerial meetings concerning EUROCLIMA+ due to staffing constraints; b) JRC has not been active in LA countries, although this has started to change through its participation in the EUROCLIMA initiative which has included the operation of its BioMA platform and DLDD observatory in LA countries; c) the participation of several DGs as well as EEAS at the UNFCCC and other relevant COPs which is not easy to coordinate due to

<sup>90</sup> Ibid.

the above-mentioned staffing challenges and shortcomings in the internal communication mechanism applied.

DG CLIMA funded between 2012 and 2015 the CLIMACAP project designed to strengthen modelling capacity (through the Latin America Modelling Project – LAMP) to support climate change mitigation strategies of key Latin American countries and regional groupings, as well as to generate cross-model comparison analyses and scenarios up to 2050.

#### Social equity

The degree of coordination between DEVCO and EEAS has been high in terms of relevance since building more cohesive societies and promoting greater social cohesion for the benefit of all have been at the core of the different interventions throughout all period. Reducing inequalities in the region has been a priority in the EU-LA political agenda, and it has been addressed in all EU-LAC, EU-CELAC Summits since 2009. Consequently an important part of the funds available for EC cooperation with Latin America has been allocated to social cohesion. Dialogue and cooperation between government authorities, international institutions and civil society has also been intensified thanks to the EUROsociAL and URB-AL programs. EEAS and DEVCO coordination in the area of social equity has also been encouraged through the EEAS support to the SDGs in the framework of the EU Global Strategy.

Consistency between EU development cooperation managed by DEVCO and the action of other EU DGs in the social equity sector has been found as follows: with DG Employment, although this DG does not have an external action as such, it is part of the EUROsociAL orientation committee. The programme clearly uses the concepts of “employment” managed by DG Employment in relation to “social cohesion”. With DG Regio there is consistency in regards to decentralisation and territorialisation and their own experts do participate in the EUROsociAL’s activities.

In Costa Rica other DGs are getting there with expertise. It is the case of DG Connect and the Space Agency for instance. DG Regio has also been involved with MIDEPLAN in the Regional Development Plan through EUROsociAL. DG Trade is cooperating with the ILO on labour law compliance.

#### Inclusive growth

AL-INVEST has been coherent with the EU’s engagement in trade facilitation in the region. There are multiple references to ongoing trade negotiations in the project documentation. One of the expected effects of the main regional programme (AL-INVEST) was that MSMEs targeted would be better equipped to seize opportunities offered by the association/trade agreements under negotiations between EU and LA.

However, at the operational level, there have been very limited linkages between regional development cooperation and broader efforts to support trade facilitation. DG TRADE has had limited involvement in the implementation of AL-INVEST. Moreover, there is no evidence that the EU regional development cooperation has had a significant effect on regional integration (see also EQ6), which may have played a role in trade facilitation.

#### Higher education

No information has emerged on the degree of coordination between DEVCO and EEAS to strengthen EU-LA cooperation in higher education at regional level. None of the interviewed stakeholders thought that formal coordination had taken place. However, since 2010 an inter-service steering group (led by DG EAC and composed of DGs DEVCO, BUDG, EMPL, ELARG, ENTR, INFSO, RTD and of the SG, SJ, EEAS and EACEA), provided input to an impact assessment on international cooperation in HE. This impact assessment fed into the process that resulted in the establishment of *Erasmus+*. The group meets two or three times a year.<sup>91</sup>

DG DEVCO’s support to HE at regional level in LA and DG RTD’s funding of the Framework Programme 7 (FP7) – the EU’s main instrument for funding research before 2014 – were coherent and complementary.<sup>92</sup> DG RTD and DG EAC reviewed the complementarity of their programmes when establishing *Erasmus+*, with a concerted decision to move the doctoral training previously offered under *Erasmus Mundus* to the Marie Curie actions under Horizon 2020.

However, DEVCO is not directly involved in supporting science and technology/research through dedicated programmes. The EU’s current flagship programme is Horizon 2000 (the predecessor of

<sup>91</sup> Ibid, p. 80; interview information.

<sup>92</sup> EU (2016). Evaluation of the EU support to research and innovation for development in partner countries (2007-2013).



Framework Programme 7/FP 7) which involved nine DGs but not DEVCO.<sup>93</sup> The budget is implemented by 22 different bodies, some of which channel resources from other funding bodies (other EU, national, regional, and/or private funds) and so act as a secondary source of funds.

While many universities in Latin America have benefitted from both Erasmus Mundus/Erasmus+ and FP7/Horizon 2020 funding, explicit and institutionalised cross-linkages and thus direct synergies between the two areas do not exist.

According to interviews there is very little interaction between DEVCO and DG RTD in supporting the higher education sector in Latin America. A first attempt at strengthening consistency and cooperation was the EU-CELAC Knowledge Week, held in early October 2017 in San Salvador. The event, which was jointly co-organised by DEVCO, RTD and EAC included an event for national authorities on research and innovation, an Erasmus+ and Horizon 2020 information event, a seminar on recognition of study periods abroad and an “Academic and Knowledge Summit”, which brought together 300 academics and higher education decision-makers from the two regions.<sup>94</sup>

#### 2.3.2.4 Finding: Considerable efforts undertaken to ensure continuity in the cooperation with “graduated” countries

<b>Related indicators:</b>	I-233
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Medium

Regulation 233/2014 stipulates, ‘the following partner countries are considered eligible for bilateral cooperation, as exceptional cases, including in view of the phasing out of development grant aid: Cuba, Colombia, Ecuador, Peru and South Africa.’<sup>95</sup> Partly due to the strong pressure from the European Parliament, three countries, namely Peru, Colombia, and Ecuador, have since been granted exceptions to continue to benefit from bilateral aid programmes even though they fall under the upper middle income (UMIC) category.<sup>96</sup>

Graduated countries can also still benefit from the EUR 7,000 million allocated to thematic programmes under the DCI. Thematic programmes include the Global Public Goods and Challenges Programme (GPGC) and Civil Societies and Local Authorities programme (CSOs-LAs). With the GPGC, the EU ‘aims to contribute to the solution of global problems through global development outcomes that will be inclusive and sustainable within planetary boundaries’. The CSOs-LAs programme aims to strengthen Civil Societies and Local Authorities. It also “pursues the objective of improving governance and accountability through inclusive policy-making by empowering citizens and populations, through the voicing and structuring of their collective demands, to contribute to tackle injustice and inequality”. According to the European Commission, it is very difficult at this stage to see the overall amount allocated under the GPGC programme since the amount is first allocated to a theme and then the implementation depends on the specific needs. Data are nevertheless easier to collect for CSOs but we could not receive a comprehensive list of CSOs projects.<sup>97</sup>

AL-INVEST used to directly target EU companies. However, from phase IV onwards, there has been a shift towards a focus on LA MSMEs. The programme ELAN, which ran from 2015 to 2017 and was financed under ICI+, focused on supporting EU companies to develop or integrate trade networks with LA. It appears that there is currently no more EU-financed programme in place to support business

<sup>93</sup> DG Research and Innovation (DG RTD), DG Communications Networks, Content and Technology (DG CONNECT), DG Education and Culture (DG EAC), DG Energy (DG ENER), DG Internal Markets, Industry, Entrepreneurship and SMEs (DG GROWTH), DG Mobility and Transport (DG MOVE), DG Migration and Home Affairs (DG HOME), DG Agriculture and Rural Development (DG AGRI), and the Joint Research Centre (JRC)

<sup>94</sup> [https://ec.europa.eu/education/events/201710-celac-el-salvador\\_en](https://ec.europa.eu/education/events/201710-celac-el-salvador_en)

<sup>95</sup> Regulation (EU) No 233/2014 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 March 2014 establishing a financing instrument for development cooperation for the period 2014-2020.

<sup>96</sup> European Parliament (2016). Does the EU have the right instruments to finance assistance in protracted crises and the needs of upper middle income countries?

<sup>97</sup> European Parliament (2016). Does the EU have the right instruments to finance assistance in protracted crises and the needs of upper middle income countries?

linkages between EU and LA entities at continental level. The recently launched Foreign Policy Instrument (FPI) which focuses EU companies has identified priority countries in LA (Brazil, Chile, Mexico) and do not pursue the continental approach initiated under the DCI any longer.

In 2016 new contracts were signed on South-South cooperation with Chile, Argentina & Uruguay to launch the Facility for International Cooperation, a new mechanism for the cooperation with LA countries with the overarching objective of poverty reduction. This approach responded to the requests expressed by LA countries to enter into a new policy framework of diversified and modernised partnerships.<sup>98</sup> Furthermore, in the Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and The Committee of the Regions, a stronger role of the private sector in achieving inclusive and sustainable growth in developing countries is promoted using a variety of instruments and specially the PI.

In May 2018 the Regional Facility for Development in Transition for Latin America and the Caribbean was launched. The EU-led initiative was developed with the support of the OECD and its Development Centre and the Economic Commission for Latin America and the Caribbean (ECLAC). Through this Facility, the EU plans to strengthen its engagement with partner countries in LAC as well as with multilateral organisations to adapt and offer adequate support. "The Facility will assess how transitions to higher levels of income can benefit from improved strategic and policy capacities to achieve the 2030 Agenda for Sustainable Development. The Facility will also pilot tailored initiatives to offer new responses to changing realities and challenges."<sup>99</sup> The EU has allocated an initial EUR 9.5 million to the Facility.<sup>100</sup>

## 2.4 JC 24 - Synergies with EU MS and other donors

### 2.4.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 24: <b>EU support and the actions of EU MS and other donors complemented and reinforced each other</b>	I-241 Degree of coordination and synergies between EU support and the actions of EU MS's and other donors I-242 Degree of added value of the EU (subsidiarity principle)

### 2.4.2 Main findings and related evidence

#### 2.4.2.1 Finding: Coordination between EU support, EU MS and other donors but scarce evidence for synergies

<b>Related indicators:</b>	I-241
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Reports by MS</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

#### Security-development nexus

Synergies were possible with this project often due to the working relationship IOM and FIIAPP have with governments throughout the region and the other projects they are currently, or have conducted in the past. In particular IOM has several other related projects in the region. Potential synergies were identified at initial stages of the project with the following initiatives:

- Joint EC-UN Migration and Development Initiative (JMDI) with Pilot actions in Ecuador and Jamaica

<sup>98</sup>[https://ec.europa.eu/europeaid/news-and-events/new-contracts-signed-south-south-cooperation-chile-argentina-and-uruguay-under\\_en](https://ec.europa.eu/europeaid/news-and-events/new-contracts-signed-south-south-cooperation-chile-argentina-and-uruguay-under_en)

<sup>99</sup> [https://ec.europa.eu/europeaid/node/119221\\_fr](https://ec.europa.eu/europeaid/node/119221_fr)

<sup>100</sup> Ibid.

- IFAD's Financing Facility for Remittances where Pilot countries in the region are Bolivia, Colombia, Ecuador, Haiti, Jamaica, Mexico, Nicaragua, Paraguay and Peru
- Supporting Regional Integration through Improved Migration Management in Central America
- Border Security and support to Mobility in Central America
- Improved local management flows of migrant domestic workers from Bolivia, Colombia, Ecuador and Peru to the EU, primarily Spain

Also with the IOM management of this project synergies were possible with:

- IOM finalised Migration Profiles for five South American countries, namely Bolivia, Chile, Paraguay, Venezuela and Uruguay through its own sources. IOM's proposal for new Migration Profiles to be carried out in the framework of this project was based on the knowledge that together with the IOM-funded profiles, the EU-LAC project would thus contribute to a comprehensive view of migration trends and dynamics in the LAC region.
- Jamaica's Migration Profile initiative is a first step within the overall objective of Mainstreaming Migration into Development Planning, and is a parallel project with one funded by the Global Migration Group in the context of the Global Forum on Migration and Development.
- IOM is also working closely with its colleagues of the ACP-EU Migration Observatory to identify synergies with their capacity building activities on the improvement of migration statistics, in particular for the Caribbean region.

Other IOM actions aiming at improving research and capacity building on migration have been financed to date by the EC in the region concern (examples include the project funded to support Regional Integration in Central America (DCI-MIGR/2008/153-022), a project to build capacities in Colombia to fight human trafficking (MIGR/2008/153-015) and a programme to improve border management and sustain return and reintegration in Bolivia (MIGR/2007/130-604). The results of these recently concluded projects will feed into the selection, planning and organizing of the project activities in the framework of this project.

The EU and Organisation of American States organised some workshops under EU-LAC initiative in an innovative three-year programme aimed at creating partnerships among cities in Europe, Latin America and the Caribbean to exchange best practices in drug treatment and rehabilitation. The programme is designed to empower city officials and organisations to build drug treatment capacities at the local level. As concerns demand reduction, there risks have been expressed that some of the training offered by COPOLAD may duplicate with similar activities implemented by other donors such as PRADICAN23 or TREATNET24 but it appears that COPOLAD has been coordinating and working closely with all those initiatives.<sup>101</sup>

COPOLAD II Action Document (2014) recognises the establishment of good coordination and collaboration with other donor and funding agencies—such as EMCDDA, CICAD, PAHO, WHO, UNODC, CARICOM, among others—as well as a good level of complementarity with other EU programmes in LAC region (CRP, PRADICAN, PRELAC).

The independent project evaluation of PRELAC (2012) distinguishes it as a complementary action to an UNGASS initiative of 1998 where there was an aim to control precursors roughly at the international level, since PRELAC addresses the LAC region precursors' trafficking.

#### Environment and climate change

The desk review and interviews confirm: a) the regional programmes placed heavy emphasis on establishing synergies between the European and LA partners responsible for the implementation of the projects selected for funding. For example, design given this was a major condition given the established with projects funded by the MS and other donors have developed, but almost exclusively because they were operating in the same intervention zones. For example, the three projects funded under WATERCLIMA (AGUAS SIN FRONTERAS, ECO CUENCAS and COASTAL ZONE MANAGEMENT) engaged AECID and a large number of NGOs, non-profit organisations and public authorities from the MS (mainly from France, Italy and UK) and LA region; b) synergies with other donors were largely limited confined to projects operating in the same intervention areas. For example, the project AGUAS SIN FRONTERAS coordinated activities with the project: Building River Dialogue and Governance (BRIDGE), which forms part of IUCN's Water programme, given both were operating in the Catamayo-Chira river basin (Ecuador-Peru). In another example, the RALCEA network forged relations with AECID, due to AECID's support in the development of the Information

---

<sup>101</sup> EU (2015). Final Evaluation of the COPOLAD Programme (2010-2014)

System for Water in Latin America (SIAGUA platform) in line with recommendations from the ROM mission (2013).

However, since 2017 the EUROCLIMA+ initiative represents an important shift to optimising coordination with the MS by integrating the co-participation of GiZ, AFD and its technical arm Expertise France (EF), and AECID together with the Government of Spain's International and Latin America Foundation for Administration and Public Policy (FIIAP). This approach is designed to increase coordination with these agencies other programmes and projects in the LA region in the interests of establishing greater efficiency and effectiveness of EU and MS aid in the region dedicated to CC and relevant sectors. The operation of EUROCLIMA+ is as follows: 1) Horizontal climate services (FIIAP/GiZ); 2) Vertical CC action services in phase I for: a) Forests, Biodiversity and Ecosystems (EF/GiZ); b) DRM (AECID/AFD); Urban Mobility (GiZ/AFD) and in phase II from 2019: d) Resilient Food Production (GiZ/EF); e) Water management and urban resilience (AFD/AECID); and Renewable Energy and Energy Efficiency (AECIS/AFD). Interviews confirm the coordination mechanism - based on a Steering Committee, Management Committee and Secretariat – faces significant challenges for the following reasons: a) the lack of a regional interlocutor on CC; b) the MS agencies involved enjoy significant autonomy in the implementation of the abovementioned services and actions; and c) the calls for proposals to be applied under each component imply a significant quantity of stand-alone projects, which may prove difficult to coordinate.

### Social equity

EUROsociAL I has been, in the subcontinental scenario, the only intervention programme whose objective was Social Cohesion in its multidimensional and multi-sectoral characteristics. Naturally, the intervention of the EU MS in the specific social sectors and in the Employment and Justice issues is wide, but there are no intervention experiences for the promotion of Social Cohesion in the multidimensional sense. The same can be said for other donors. Complementarity has been low at the sectoral level with sub-regional and above all regional activities. The most relevant element is the lack of interaction with European programmes (especially URB-AL). A collaborative experience with other international auditors has been the co-financing with UNDP of the project "New Agenda for Social Cohesion in Latin America" that contributes to the generation of databases that provide the necessary inputs for research.<sup>102</sup>

EUROsociAL+ has also made some efforts towards the coordination of donors by bringing together the most active multilateral bodies in the region in its Orientation Committee (IDB, ECLAC, ILO, EU-LAC Foundation, Development Center of OECD, European Commission, among others). This has been the body responsible for supporting the strategic orientation of its activities.

Social cohesion is also included into the operational agenda of other international bodies in the region, such as the IDB, ECLAC and UNDP. One of the most important tasks of EUROsociAL II consisted in setting up an effective coordination framework to take advantage of different cooperation initiatives, to carry out concrete joint actions, to avoid duplications and, finally, to give continuity and sustainability to the Programme's results.<sup>103</sup> However, according to the final evaluation, complementarity, cooperation with international organisations that have convergent agendas with EUROsociAL's objectives, such as ILO or the World Health Organisation (WHO) for the Americas, among others, still showed room for improvement. With ECLAC, collaboration was closer and more strategic, although strengthened cooperation in conceptual terms seems relevant. Although examples of high-level relations with organisations, such as OAS, UNDP, OECD and ILO, have been found, the full potential of complementarity has not yet been achieved<sup>104</sup>.

### Inclusive growth

There have been some linkages with the German cooperation through the temporary involvement of GIZ in AL-INVEST. But, overall, the involvement of EU MS in the regional programme has substantially decreased since phase III. There is limited coordination with EU MS active in LA. This is partially explain by the limited scope of their interventions in the region.

In general, the approach followed in the regional programmes has been mainly focused on dealing with various implementation issues not so much in developing strategic partnerships at a broader level. In particular, limited resources were invested in building bridges with other active donors in LA. As for other donors, there was a lack of coordination with those such as the IDB who had important projects focusing on productivity in some countries.

<sup>102</sup> Final Evaluation EUROsociAL I

<sup>103</sup> Action Fiche EUROsociAL II.

<sup>104</sup> Final Evaluation EUROsociAL II.

### Higher education

In higher education there is no formal coordination between the EU support, EU MS and other donors at the regional level. This is at least partly related to the fact that EU MS do not have regional programmes in Latin America.

The prime example for EU-MS coordination is outside the DEVCO-funded support and is presented for information purposes only: the European Initiative on International Agricultural Research for Development (EIARD), a permanent Agricultural Research for Development (ARD) policy coordination platform, recognised in 1997 by a Communication of the Commission to the Council and the European Parliament. EIARD is a permanent platform that involves the Commission and Member States that determines, among others, a common position to the (former) Consultative Group for International Agricultural Research (CGIAR), including on the funding instruments used as well as the restructuring process. However, the evaluation of EU support to research & innovation did not identify other instances of EU coordination with MS or other donors.<sup>105</sup>

#### 2.4.2.2 Finding: Regional approach as main value added of EU support

<b>Related indicators:</b>	I-242
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Reports by MS</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Weak (if one looks at it from the point of view that EU MS do not have regional programmes)

It was precisely the regional approach that provided an added value by fostering regional and inter-regional networking and dialogue between higher education institutions.<sup>106</sup> In the economic field, trade promotion per se is a competence of EU MS. ELAN biz was, hence, designed to bring an added value to EU MSs' activities by complementing their efforts in favour of their companies. EU embassies and delegations have always a regular dialogue on trade-related issues and are working closely together.<sup>107</sup> AL-INVEST IV provided the only major cooperation platform in Mexico where – except for the German GIZ and the Spanish AECID – MS terminated their support because the country is a member of the OECD. In Central America there has been some overlap between AL-INVEST and the interventions of MS (Denmark, Netherlands, Germany, Spain) but there is also a tendency of these programmes being gradually phased out.<sup>108</sup>

## 2.5 JC 25 - Approaches (incl. modes of delivery and implementing partners)

### 2.5.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 25: <b>Approaches (including modes of delivery and implementing partners)</b> used were appropriate to implement the regional cooperation strategy in a timely and cost-effective manner while enhancing learning	I-251 Degree of adequacy of the modalities used (including calls for proposals, delegated agreements, grants with/without a sub-granting mechanism) to achieve the objectives of the strategy in a timely and cost-effective manner I-252 Degree of adequacy of the choice of implementing partners (including EU MS institutions, UN bodies, Private Sector, Other) to achieve the objectives of the strategy in a timely and cost-effective manner I-253 Evidence of advantages of blending as compared to the non-blending of traditional programmes I-254 Evidence of sound monitoring and learning mechanisms in place to improve the design EU regional-level support and disseminate useful data and lessons among LA partners

<sup>106</sup> EU (2016). Evaluation of the EU Support to Research and Innovation for Development in Partner Countries (2007-2013)

<sup>107</sup> ELAN action document

<sup>108</sup> Final Evaluation of AL-Invest IV.

## 2.5.2 Main findings and related evidence

### 2.5.2.1 Finding: Programmes generally used adequate modalities and were demand-driven

<b>Related indicators:</b>	I-251
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Partner reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

#### Security-development nexus

The centralised management model adopted in COPOLAD I has proven to be efficient, both in terms of budget management, as well as regarding the need to attain activities according to a really tight schedule. It permitted to minimise continuous turnovers of stakeholders, due to frequent institutional changes at NAs and at the Technical Committee of the Mechanism. This factor continuously challenged the progress of the programme, since those changes affected all (or almost all) actors at the NAs, as well as the national focal points for COPOLAD. According to this positive experience, COPOLAD II will maintain a centralised managerial model, under the direct responsibility of the Direction Board (FIIAPP, DGPNSD and the ECB).

However, the final evaluation of COPOLAD found that the “management team was overstretched due to a) a large number of activities to be implemented (including several multi-focal results), b) a limited administrative staff and a limited use of modern administrative tools (i.e. modern accounting programs and others) and c) localisation of the team in the EU while most of the project’s activities were taking place in Latin America. The report also noted that “few EU countries are active in the project and engagement of LAC countries is uneven” and stressed frustration among beneficiaries due to distinction between partners and non-partners in compliance with DCI regulations.

#### Environment and climate change

In the E&CC sector all the regional programmes up to 2017 placed heavy emphasis on direct centralised management using a mix of service contracts for TA, grant contracts to employ implementing partners following a call for proposals (WATERCLIMA), Administrative Agreements to employ specialist DGs such as JRC to implement scientific activities (RALCEA) and Contribution Agreements with regional/international organisations such as ECLAC (EUROCLIMA I and II). Under this implementation modality the EC (engaging relevant services) has been responsible for managing the calls for proposals and for the assessment and management of grant awards. The launch of the New European Consensus on Development in 2017 (designed to be coherent with the 2030 Agenda for Sustainable Development and its 17 SDGs, adopted in 2015), helped precipitate an evolution in the way the EC’s implementation modalities. Most significant in the E&CC sector has been the decision to change the EUROCLIMA+ implementation modality to “indirect management with a MS agency”. There is no conclusive evidence yet to suggest this implementation modality is more effective than the previous modality given it has been in operation for approximately one year. The major lessons learnt so far are: a) the indirect implementing modality may benefit from greater participation and coordination between the EC and MS, but it still does not include LA agencies, which appears to be a sensitive issue in some LA countries and may impede the sense of ownership of EUROCLIMA+ in the region; b) it still depends heavily on calls for proposals as its main delivery method, which risks continuing the stand-alone project approach and thus compromising on the added value of the programme operating at the regional level, especially as interviews indicate LA countries continue to express an interest in dividing up the budget to meet their own political interests and commitments.<sup>109</sup>

#### Social equity

Both URBAL III and EUROsociAL II and + show a learning process with the integration of recommendations stemming from mid-term or final evaluations into the activities implemented in the following years. The governance model adopted by EUROsociAL II was judged to be successful because of its strategic characteristics (result orientation, demand-driven characteristics, focus on public policies, priority to peer support, flexibility and the ability to respond to the changing needs of

<sup>109</sup> Interview with DEVCO/EUROCLIMA+

the participating countries).<sup>110</sup> In the case of URBAL III some important inefficiencies were found related to the implementation and organisation modality, particularly in relation to the role and functions of the COO (Coordination Organization Office). Although quality of execution was good on many aspects, implementing capacity had been overestimated in view of the sheer volume of services to be supplied. In particular, this led to a lack of efficiency which were aggravated by various issues related to the initial institutional design.

In the case of URBAL III the programme witnessed, in its evolution, a process of greater complexity by involving several levels of government: regional plus local. However, this has facilitated the identification of the best-suited actions. Indeed, these levels of government, being closer to the public, easily involved the territorial actors and civil society, which have a great knowledge of the needs of their territory.

URBAL III (the last phase since the programme ended afterwards) included a Call for proposal for 20 projects that had to be presented by international consortia from both continents. In some cases the consortia were formed by institutions both in Europe and Latin America that had no previous joint working experiences, in other cases, entities were invited to be part of the consortia in order to win the bids, but real commitment to work on the topic was missing on their side.

Unlike previous versions of URB-AL, this one was equipped with an ad-hoc structure (also selected by a Call) that took over the responsibility for studies, coordination, technical support, training and network animation as well as the dissemination of programme outcomes. This instance, known as the Coordination and Orientation Office (COO), maintained a similar structure to that of the projects, in which partners formed a directive committee and the Barcelona Provincial Council kept, through an official the Executive Direction. All the other staff was hired for the purposes of the Project. (Final Evaluation URBAL III)

However, by extending, the focus to the broad problematic of social and territorial cohesion, URB-AL III diluted its actions in a much larger territory compared to previous phases of URB-AL, and in favour of a target population and a highly diversified institutional range, distorting somewhat the urban vocation of this series of Euro-Latin American regional Programs. (Final evaluation URBAL III)

The case of EUROsociAL shows a remarkable process of positive learning, and the programme evolved consequently: Between EUROsociAL I and II there was an important change in the programme organisation. EUROsociAL I was implemented by 5 consortia who were in charge of the different programme thematic chapters: Employment, Fiscality, Health, Education and Justice. In EUROsociAL II there was a call for applicants to hire a single consortium in charge of the whole package (led by FIIAPP, Expertise France, IILA, SISCA), leading a big consortium with the participation of several members from both EU and LA. This change was proved to be an important improvement in terms of efficiency, effectiveness and impact. In EUROsociAL I, where several entities had the responsibility of different parts of the programme, coordination was challenging. Internal coordination has been easier and more effective under EUROsociAL II and + where a sole consortium was selected for the implementation of the programme.

The presence of regional organisations among the consortiums, or collaboration with them, has had a positive influence on the achievements, as well as their impact and sustainability". (Final Evaluation EUROsociAL I)

The implementation modalities adopted have generally facilitated the processes, although in several cases a weak strategic approach, institutional anchors limited to the Ministries and an ineffective use of the methodology have negatively influenced the scope of the objectives; The demand-driven characteristics and flexibility adopted by the programme have facilitated their adaptation to the needs of the Latin American context, since the programme provided technical expertise, support to peer to peer exchanges, etc, based on the needs of the partner countries.<sup>111</sup>

EUROsociAL developed since its first phase a methodology based on exchange of experiences and peer learning that proved to be very effective. It also developed a "demand driven approach" and an ex-ante results framework to accompany deep policy reforms in the countries involved.

On the other hand, the intervention methodology adopted makes EUROsociAL II an intervention that could be considered a 'good practice' of cooperation, especially regarding its emphasis on peer-to-peer learning approaches. EUROsociAL has promoted the involvement of LA middle-income countries in these exchanges.<sup>112</sup>

---

<sup>110</sup> Mid Term evaluation EUROsociAL II.

<sup>111</sup> Mid Term evaluation EUROsociAL II.

<sup>112</sup> Mid Term evaluation EUROsociAL II.

### Inclusive growth

One of the strengths of AL-INVEST IV has been its “decentralised approach” which consisted in relying on consortia of business membership organisations in LA. The choice of approach and implementing partners was adequate to pursue the objectives identified. Although one specific entity was established to coordinate the whole programme, it turned out to be difficult for this entity to play a strategic role. The TA mobilised at global level also turned out to be too general to respond to the specific needs identified at the local level.

The set up adopted in AL-INVEST 5.0 has been quite different to the one of AL-INVEST IV. The new phase has relied on only one consortium (instead of three). There are also questions on whether the resources (financial, technical and organisational) mobilised for AL-INVEST 5.0 are adequate to fulfil the ambitious objectives of enhancing productivity of MSMEs with growth potential in LA. At the financial level, it is noteworthy that the EU contributions have decreased from 50mEUR in phase IV to 26mEUR in phase 5.0, which had several implications on the approach adopted for the implementation of the programme, in particular the switch to a sub-granting mechanism. This contributed to the “decentralised approach” highlighted above.<sup>113</sup>

### Higher education

In higher education, the general finding is that the delivery of support, mainly via projects, provided a suitable framework for achieving the expected outcomes. This evaluation confirms the finding of an earlier evaluation which did not find any differences between the level of efficiency of EU support provided through major regional and global HE programmes and EU support provided bilaterally.<sup>114</sup>

#### **2.5.2.2 Finding: Most programmes faced delays during implementation**

<b>Related indicators:</b>	I-252
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Partner reports</li> </ul> Interviews in LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Medium

### Environment and climate change

All the EU programmes reviewed have experienced delays, particularly during start-up which have contributed to the need for extensions and provide indications of programme design weaknesses, coupled with heavy bureaucratic procedures and counterpart funding challenges that have contributed to slowing down the implementation process. For example:

a) EUROCLIMA experienced delays of several months in at the start of phase I due to the slow recruitment process of the TA. According to the evaluation of EUROCLIMA (2014) the late incorporation of the TA caused a knock-on effect in terms of delaying the development of the coordination mechanism (with the NFPs and other key stakeholders) and determination of targets and indicators for the internal monitoring system. Delays in implementation of activities have also been experienced due to the high rotation of NFPs in many countries (particular during the change of governments, or because of political crises). Due the major shift in the implementation of EUROCLIMA+ through Delegation Agreements with five MS agencies, the planned start date of EUROCLIMA+ was delayed from its planned start date in June 2016 to June 2017. To maintain a smooth transition from EUROCLIMA II to EUROCLIMA+ the former was extended to June 2017.

b) WATERCLIMA projects experienced a delay in starting operations in the first year due to the time needed to establish the implementation mechanism and ensure implementing partners of the three projects were aware of EU procedures and obligations. In addition, it took more time than expected to set up and implement the outreach activities (communication and networking between implementing partners from Europe and LA within each project) and, according to the ROM report, there were problems in consolidating accounts which caused delays of several months in submitting progress reports.

<sup>113</sup> AL-INVEST evaluation.

<sup>114</sup> EU (2017), Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Vol I, p. 86



c) RALCEA experienced delays in establishing the internal management mechanism for the network to work effectively and transparently. This was not aided by the fact project management was nominated to three Knowledge Centres in the region, but the administration of funds was entrusted to JRC. According to the ROM report this caused confusion and delays in the design and implementation of a specific plan of activities intended to improve the coordination of the research work of the participating Knowledge Centres (based on the definition of clear working areas and targets designed to support informed decision making on policy reform in the water sector in the region). As a result, this reduced the scope for the Knowledge Centres to participate proactively in the network during the first two years of the project. To support the completion of the work plans for the three main components the project duration was extended from 2014 to 2015.

In terms of cost efficiency, the general indication from the desk review is that all regional programmes in the E&CC sector incur far higher transaction and logistical costs than bi-lateral programmes. The following factors have increased transaction costs:

- the high numbers of implementing partners that need to be coordinated, informed and supported;
- the high number of stakeholders and end beneficiaries involved in the LA region;
- the travel costs needed to cover physical developments (including those that cannot be carried out virtually/remotely); d) the lack of adequate engagement of the EUDs; and
- the absence of an appropriate regional agency through which to work on key developments in the region relating in particular to reform of the policy, legal, regulatory and institutional framework in LA at all levels (national/sub-regional/regional).

#### Social equity

Implementing partners have proved to be effective in mobilizing expertise from EU and among LAC. Some of those implementing partners have been more effective than others in mobilizing expertise from other UE Member States. Challenges however remain in terms of visibility/identity related to the programmes. Institutions from Member States look for their own visibility while DEVCO claims its own one, etc. According to some interviewees, DEVCO gains greater visibility when the implementing partner is a company, under a service contract formula. On the contrary, when the implementing partner is a public entity from the Member States, like FIIAPP (Spain), GIZ (Germany) or Expertise France, DEVCO finds that these institutions look for their own visibility instead of looking for the EU's visibility.

The efficiency perspectives have been affected by several constraints, which have produced a delay in implementation, which can be defined as "severe". The most important, the basis of the delay, corresponds to the demands of greater effectiveness that EUROsociAL II has and which have just been underlined, i.e. the joint presence of, orientation to the results, orientation to the demand, multi-sectoriality, implementation in a high number of countries with differentiated conditions, which determines a highly complex implementation context (Evaluation Mid Term EUROsociAL II).

Arriving, with this model at the "cruising" speed, has involved a longer learning period than expected, to which must be added the need to better refine the initial understanding of the "Results Orientation" (especially in function of the relationship between programmed activities and concretion of the expected results), which determined the rejection of the 2012 Annual Action Plan by the EC and the need for a complex reorientation and reformulation activity. The year 2013 represented a turning point, with a significant increase in activities, of 443% over the previous year. Management is optimised, and the project's cruising speed is reached and exceeded. In addition, initiatives "Pipeline" are numerous and many of them have prospects to achieve results in certain times (Evaluation Mid Term EUROsociAL II).

The conclusion for efficiency is however pretty positive: "The governance model adopted by EUROsociAL II has been the most successful because it allows the programme to maintain all of its strategic characteristics (result orientation, demand-driven characteristics, focus on public policies, priority to peer support). The levels of flexibility achieved, the ability to respond to the changing needs of the participating countries, the stimulation of processes with broader potential (for all the most important one is cited: South-South cooperation stimulated and supported), the gradual recovery (and with an important increase in 2013) of efficiency and management capacity of the management model by the actors involved, are testimonies of the model's capacity to serve the process and, at the same time, of the management difficulties that such a model has. That allows you to say that this level of complexity is a characteristic of projects such as EUROsociAL II, and that it is necessary to invest from the outset in the fluidity of the management mechanisms in order to reduce inefficiency risks" (Evaluation Mid Term EUROsociAL II).

In the case of URBAL some important inefficiencies were found related to the implementation and organisation modality, particularly in relation to the role and functions of the COO (Coordination

Organisation Office). Although it showed excellent capacity of execution, the sheer volume of services to be supplied led to overestimate the structure in detriment of efficiency (Final Evaluation URBAL III).

Some inefficiencies were also linked to administrative issues and particularly to the application of the PRAG Guide procedures. In URBAL for example there have been two situations that need to be emphasised. The funds managed by NGOs acting as partners applied integrally the PRAG guide. However, Local Authorities were compelled to apply the national contracting procedures, which according to the explanations received, were stricter than those of the Guide. Some partners chose to delegate the management of these resources to local NGOs (Paraguay PACEF) to perform operations quicker. (Final Evaluation URBAL III).

#### Inclusive growth

AL-INVEST has achieved a good level of efficiency. Financial execution rates have been very satisfactory. There has been some delays, especially at the level of the central management of the programme and some issues of articulation between the levels of the programme (centralised vs decentralised levels). But, in general, delays and problems faced have not had any major effect on the successful completion of the programme. The final evaluation of AL-INVEST IV states that the decentralised approach adopted has been very cost-effective given the low transaction costs achieved with the involvement of local consortia. There have also been some efficiency gains thanks to the fact that some stakeholders were already involved in previous phases of AL-INVEST. Conversely, there have been some transaction costs on the LA partners side in cases of “newcomers” or when the already involved partners had to adjust to important changes in design.<sup>115</sup>

#### Higher education

Across the entire portfolio, support to higher education was delivered in a timely fashion in most cases, with the exception of some delays at operational level that were not, however, perceived as being highly critical.<sup>116</sup> In the specific case of ALFA III project reports (especially the Final Reports) show a positive judgement about the disbursements and financing modalities. However, there are some occasions where the Final Reports provide some critical comments about delays of the disbursements which somehow affected the smooth development of the project.<sup>117</sup>

### **2.5.2.3 Finding: Blending allowed for broader engagement, but with limited regional dimension**

<b>Related indicators:</b>	I-253
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Partner reports</li> </ul> Interviews in Brussels and LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Medium

*“The main DCI achievement in the area of leveraging additional funds has been the successful development of blending, as called for by the DCI Regulation Blending is specifically called for in the DCI Regulation.”*<sup>118</sup> Evidence of advantages of blending as compared to the non-blending of traditional programmes is available for LAIF, the only case of blending in Latin America.

Blending has been the subject of a recent evaluation<sup>119</sup>, which prominently draws on LAIF. The evaluation concluded that the modality encouraged a more strategic approach to cooperation, particularly in lower-middle and middle-income countries. Blending has in many instances added significant value to the EU’s grant based development cooperation and also brought added value to IFI loan operations. The evaluation found that, by using grants in combination with loans, blending allowed projects to go ahead that would not have been possible if financed purely by loans or purely

<sup>115</sup> Final Evaluation of AL-INVEST.

<sup>116</sup> EU (2017), Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Vol I, p. 86.

<sup>117</sup> Vol. III, p. 26.

<sup>118</sup> EU (2017). External Evaluation of the Development Cooperation Instrument (2014 – mid 2017). Final Report, p. vi.

<sup>119</sup> EU (2016): Evaluation of Blending. Final Report

by grants. It had a positive effect on DCI potential policy leverage by giving the EU a seat at the table with large donors (including MS agencies such as KfW and AFD) and a voice in strategic infrastructure-related policy areas such as energy, transport, and water and sanitation. While the full potential of blending to mobilise the private sector have not been realised, there is evidence of at least some generation of private finance. LAIF was “clearly linked to the overall EU objectives and policy priorities in the region”<sup>120</sup> Under LAIF the main supported sector was water & sanitation, representing 45% of the total. Energy and transport were the other main sectors.<sup>121</sup> For example, blending was used in Colombia to finance two projects in the infrastructure-related sectors (urban development and water). According to the evaluation, which did not cover other Latin American countries, Colombia also provided an example for the wider evaluation of how blending projects operate and contribute in Latin American countries. While the evaluation came to a generally positive assessment, it also concluding that the full potential for poverty alleviation was not fully achieved, particularly for projects approved in the earlier phases.<sup>27</sup>

#### 2.5.2.4 Finding: Varied levels of M&E and absent formal learning mechanisms

<b>Related indicators:</b>	I-253
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Programme/project evaluation reports</li> <li>• Partner reports</li> </ul> Interviews in LA eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

#### Security-development nexus

The migration project conducted an interim evaluation of progress, which produced the Interim Report 2012, and it commissioned a Final Evaluation completed in 2015. The Final Evaluation of COPOLAD I provided the basis for improvements in the programming of COPOLAD II. The dissemination of knowledge was integrated in the activities planned under component 1 and 3 for COPOLAD II, following one of the recommendation of the COPOLAD I evaluation.<sup>122</sup> One of PRELAC’s main focus areas is on monitoring and information exchange, this still needs some development in order to be fully operational. CRP too had a focus on monitoring and information exchange in order to support the joint initiatives and trainings of law enforcement agents involved in tackling the drug problem and its associated issues.<sup>123</sup> To the knowledge of the evaluation team, there were no ROM reports covering the migration project and one ROM report (from 2018) covered COPOLAD II.

#### Environment and climate change

The internal monitoring systems of all programmes evaluated were found to focus mainly on operations and the achievement of specific outputs (such as the production of studies, tools and guides, development of software, databases and networks, or civil works to combat the effects of CC), as opposed to results (i.e. outcomes of products and activities realised). This was confirmed in the ROM/evaluation reports and through initial interviews. As a result, the use of internal M&E systems was found by the evaluation to have not fully optimised learning from the EU-funded programmes, in particular due to too much emphasis being placed on the monitoring of activities and outputs as opposed to more in-depth monitoring dedicated to identifying their main outcomes and prospects of sustainability. The evaluation found this situation has generally reduced the opportunities for internal reflection and peer reviews on the qualitative aspects of the programmes concerned in the interests of identifying keys lessons and best practices that could be replicated and/or upscaled. However, the desk review and interviews also confirm that external reviews, through both mid-term and final evaluations and ROM, have helped to identify gaps and provide recommendations that have focused

<sup>120</sup> Latin America MIP, 2014, p. 11.

<sup>121</sup> EU (2016) Evaluation of Blending. Final Report. Volume I – Main Report.

<sup>122</sup> EU (2015): Final Evaluation of the COPOLAD Programme (2010-2014)

<sup>123</sup> RUSI & EU. “About us”. Cocaine Route Programme. Retrieved from <https://cocaineroute.eu/about-us/>

on the updating of the logical framework in general and the improvement of results indicators in particular.<sup>124</sup> For example:

- WATERCLIMA: interviews with project coordinators confirm the ROM (2016) provided support in identifying gaps and proposing solutions such as the introduction of results indicators (for example in the project AGUAS SIN FRONTERAS to measure the effects of stone walling, terraces, irrigation tanks and other physical infrastructure), improving risk assessments and applying a gender focus with a specific focus on empowerment of women;
- RALCEA: the ROM (2013) provided important recommendations on updating the logical framework in particular the application of SMART indicators designed to promote more effective and coherent monitoring of expected results under its three main components in the interests of meeting specific objectives;
- EUROCLIMA I: the evaluation (2014) identified insufficient coordination of the different implementing partners interventions in relation to the achievement of the programme's main results and proposed the TA play a greater role in such coordination, which included clarifying the contractual obligations and role of each partner.

In terms of dissemination of useful data and lessons learned the desk review and interviews reveal the following findings/lessons: a) the AF include a sub section on lessons learned, which in theory provides scope for incorporating lessons learned identified in evaluations and ROM to be incorporated. However, this is not explicitly mentioned; nor is there an indication that the evaluation unit of DEVCO participates the design phase, which is good practice in some MS (e.g. UK); b) where the project design has ensured data collection, processing and dissemination is managed through an existing platform, such as RALCEA using the AQUAKNOW platform managed by JRC, the project ensures all data is centralised and accessible to all stakeholders; c) the general lack of promoting peer reviews as good practice in project design has reduced the scope for dynamic learning within most projects (i.e. the reliance on reading is generally accepted by education establishments as far less effective than when there is oral interaction, or teaching of peers on what has been learnt); d) the lack of an adequate coordination mechanism within the Commission (includes EUDs), supported by a real-time inventory of projects and interventions reduces the opportunities for knowledge exchange, networking and potential synergies that could reduce duplication and overlaps.

#### Social equity

The final evaluation of EUROsocial I was a basis for improvement in the programming of EUROsocial II. The same can be confirmed for the transition between EUROsocial II and EUROsocial+. EUROsocial II has put in place an online database to support changes in the design and implementation of public policies to improve social cohesion: through an exchange of experiences, good practices and know-how between public institution's both regions; promoting "peer learning" which would make an effective contribution to such policy changes<sup>125</sup>. Despite the fact that the final evaluation recommended the use of a database<sup>126</sup> and it was considered by some stakeholders a very useful tool providing information on the sectors and countries covered by the programme, EUROsocial + is not developing this tool anymore for efficiency reasons.

The Action Document for the Regional Facility for international cooperation and partnership indicates: *"The Facility will also make use of the valuable experience acquired over the last decades by many LAC countries through their participation in development cooperation activities with the support of international donors. Additionally, this peer learning will maximise the impact of the EU development cooperation actions, creating added "value for money" for the EU support to LAC. It will also allow the mainstreaming of EU policies and principles and the transferring of EU expertise, by using/bringing in the best sectorial experiences and knowledge of the EU"*.

EU Regional Programmes in Latin America are frequently using modalities of SSC in the implementation of their actions. EUROsocial II, for instance, has specifically developed a system for follow-up of the SSC activities carried out within the programme. EUROsocial II is a clear example of a successful EU support to the South-South cooperation, and can also be considered a good example of modern cooperation that responds to the Paris Declaration, the EU Agenda for Change and particularly to the new relationship with Latin America. About 40% of EUROsocial II activities are

<sup>124</sup> The evaluation found that this was not, however, always combined with adequate clarification of baselines and targets to be met within the programme implementation period and beyond.

<sup>125</sup> [sia.EUROsocial-ii.eu](http://sia.EUROsocial-ii.eu)

<sup>126</sup> "Explore procedures to select the optimal public technical assistance available in Europe or Latin America to reduce correlation between mobilised public technical assistance and the database of the EUROsocial+ Consortium partners" (source: Final Evaluation EUROsocial II / chapter on recommendations).

based upon South-South interaction. It is expected that at the end of the programme more than EUR 10 000 000 of the budget allocated to this Programme (approximately 25%) will have been spent on South-South cooperation. The use of SSC, especially the peer learning, the exchange of experiences and best practices inter pares, has been one of the most important aspects of the success of this regional Programme. But even more important, it has allowed the EU to promote the dialogue with LAC countries, encouraging partner countries to engage in EU priorities and to find sustainable and adequate solutions to the key challenges of social cohesion in the region. (Action Document for the Regional Facility for international cooperation and partnership).

Under the implementation of ADELANTE (Current name for the Regional Facility) the SSC cooperation has been strengthened. This is illustrated by the projects being supported by the programme – see: <http://www.adelante-i.eu/cooperacion-triangular>. It is worth mentioning that one of the eight projects supported under ADELANTE, namely Evalúa, is promoting a process of peer review of the evaluation of public policies (<http://www.adelante-i.eu/evalua>).

#### Inclusive growth

AL-INVEST benefitted from a long history of cooperation and there has undoubtedly been some learning for all stakeholders involved. However, the M&E framework and system established has suffered from many weaknesses which have limited the overall learning. This was especially the case for AL-INVEST IV. In particular, the M&E framework did not reflect well the initial logic of the intervention. Some elements were also overly complex as illustrated by the presence of numerous indicators that could eventually not be measured. The M&E system also suffered from the ambitious design of the programme itself, in particular of the ambitious objectives. As an illustration, it turned out to be particularly challenging to monitor the contribution of the programme to social cohesion in Latin America. More generally, the monitoring and M&E mechanisms put in place have failed to support a more strategic way of managing the regional programme at the global level. There have been limited opportunities created to promote learning and cross-fertilisation (e.g. though exchange of best practices) at the global level. AL INVEST 5.0 has been designed to address some of these weaknesses.

#### Higher education

ALFA III, Erasmus Mundus and Erasmus+ have been subject to regular evaluations. In addition, the global EU support to higher education was evaluated and prominently focuses on Latin America. However, there is no clear evidence on how and to what extent ALFA III and Erasmus Mundus evaluations informed the design of Erasmus+ as the successor programme. According to verbal information, recommendations made by the evaluation EU support to higher education (2017) are currently being considered.

Individual projects provide annual and final reports which elaborate on achievements (against targets), problems/challenges and lessons-learned – and how these lessons have been used to improve project implementation.

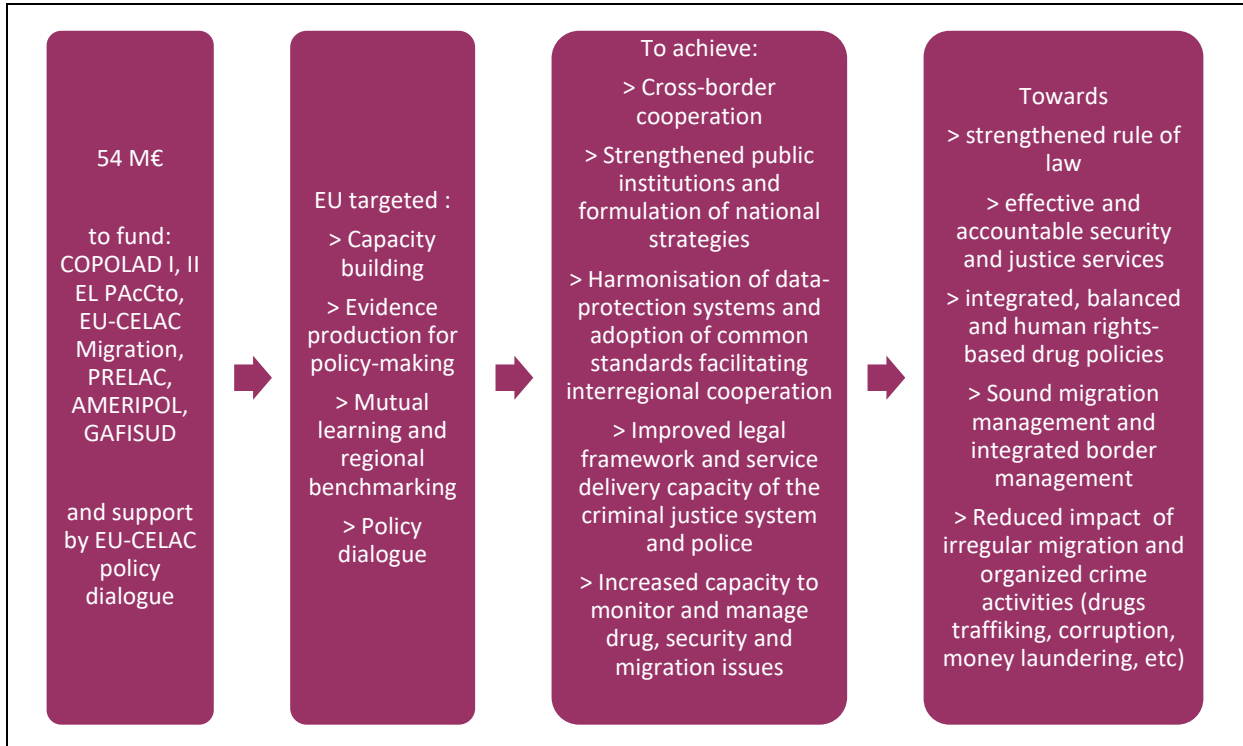
### 3 EQ 3 - Security-development nexus

**To what extent has EU support contributed to the strengthening of the region's responses to peace and security challenges?**

This EQ covers four main dimensions/judgement criteria:

- JC 41: EU-LA policy exchanges and institutional networking
- JC 42: Opportunities for intra-regional cooperation, sharing and learning
- JC 43: Legal, policy and institutional environment
- JC 44: Results.

Figure 1 The EU regional development support to security-development nexus in LA from 2009 to 2017



#### 3.1 JC 31 - EU-LA policy exchanges and institutional networking

##### 3.1.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 31: EU support contributed to fostering EU-LA policy exchanges and institutional networking, including opportunities for pursuing joint actions in global fora, in the areas of drugs, transnational organised crime and migration	I-311 Number and quality of EU-LA dialogue platforms established in the area of migration (incl. frequency of exchange through these platforms) I-312 Number and quality of EU-LA dialogue platforms established in the area of drugs and transnational organised crime (incl. frequency of exchange through these platforms) I-313 Degree to which the supported platforms have created opportunities for policy exchanges, sharing of information and networking (between the two regions) beyond these platforms I-314 Number of joint tools, models, actions (e.g. joint manuals and diagnostics in the area of migration management) developed by EU and LA partners

### 3.1.2 Main findings and related evidence

#### 3.1.2.1 Finding: Multiple fora used by EU and its LA partners for policy dialogue in the area of security, migration and drugs with mixed results

<b>Related indicators:</b>	I-311, I-312, I-313
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

#### Bi-regional Structured and Comprehensive Dialogue on Migration

The Bi-regional Structured and Comprehensive Dialogue on Migration was launched in 2009 and during the period 2009-2016 eleven meetings were held. A Working Group was also established in Brussels. The Dialogue discussion successfully provided a forum to raise bi-regional concerns on migration such as the synergies between migration and development, education, health and migration, vulnerable groups and irregular migration. It proposed to build a stronger evidence base for EU-LAC migration in order to better understand its realities that faced them.

Overview of meetings:

- 1<sup>st</sup> High Level Meeting on Migration, (theme: Synergies between Migration and Development), 25 September 2009, Brussels, Belgium
- 2<sup>nd</sup> EU-CELAC High Level Meeting on Migration (theme: Education, Health and Migration), 17-18 February 2010, Madrid, Spain
- 3<sup>rd</sup> EU-CELAC High Level Meeting on Migration (theme: Families, Vulnerable Groups and Migration), 15-16 March 2010, Madrid, Spain
- 4<sup>th</sup> EU-CELAC High Level Meeting on Migration (theme: irregular Migration), 17 December 2010
- 5<sup>th</sup> EU-CELAC High Level Meeting on Migration (theme: regular migration), 24-25 May 2011, Brussels, Belgium
- 6<sup>th</sup> EU-CELAC High Level Meeting on Migration (theme: migration and economic growth), 25 May 2012
- 7<sup>th</sup> EU-CELAC High Level Meeting on Migration (theme: trafficking of human beings and migrant smuggling), 28 November 2012
- 8<sup>th</sup> EU-CELAC high Level meeting on Migration (theme: policies for the protection and integration of migrants as well as the fight against all forms of discrimination, racism and xenophobia), 26-27 November 2013, Brussels, Belgium
- 9<sup>th</sup> EU-CELAC High Level Meeting on Migration (theme: to reiterate the importance of addressing migration-related issues for both regions), November 13-14, 2014, Brussels
- 10<sup>th</sup> EU-CELAC High Level Meeting on Migration, November 20, 2015, Quito
- High-Level Meeting of EU-CELAC Structured and Comprehensive Bi-regional Dialogue on Migration, 8-9 November, 2016, Santiago de Chile.

The Dialogue included 61 EU and LAC countries, attended by Ministers of Foreign Affairs, Labour and Education, alongside migration officers, other experts and regional organisations, as well as NGOs, academics, and the IOM and FIIAPP as facilitator / observer organisations<sup>127</sup>, providing an opportunity for broad discussion and sharing between regional governments and other sectors.

The Structured and Comprehensive Dialogue on Migration offered a bi-regional platform for sharing of information, strategies and best practices. Participation in the Dialogue, which met in different locations in the LAC region, included not only government representatives but also representatives of sub-regional organisations such as the Central American Integration System (SICA), the Community of Andean Nations (CAN), and the Regional Council on Migration (RCM), MERCOSUR and CARIFORUM, civil society and academics<sup>128</sup>. The breadth of the participation – both geographically

<sup>127</sup><https://www.iom.int/european-union-latin-america-and-caribbean-structured-and-comprehensive-bi-regional-dialogue;>

<sup>128</sup><https://www.iom.int/european-union-latin-america-and-caribbean-structured-and-comprehensive-bi-regional-dialogue;>

and by sector - generated exchange and networking far beyond the confines of diplomatic inter-government discussion.

The EU-CELAC Structured and Comprehensive Dialogue on Migration was inactive after the last meeting in 2016. However, in a 2018 meeting of EU-CELAC Foreign Ministers announced their commitment to reactivate the dialogue with annual meetings.<sup>129</sup>

Field phase interviews in El Salvador and Peru confirm that national stakeholders view the dialogue on migration as important and welcome its reactivation. However, they emphasised the need that the agenda for a reactivated dialogue should be defined together.

### Drugs

Concerning drugs, there are a number of platforms that have been established between the two regions to facilitate dialogue and exchange of knowledge and experience. They have led to a strengthened and comprehensive understanding, capacities, and institutions developed to fight against drug trafficking and related crimes. The aim of these initiatives is to address the supply and demand of drugs through understanding, strong control, and complementary prevention initiatives:

- The Santiago Joint Declaration (2012) resulting from the XI Meeting of the High Level Specialized Dialogue on Drugs (CAN-EU) was engrained on the view of transnational organised crime as undermining development, stability and security, rule of law, governance and human rights. The Declaration called for the implementation of actions aimed at strengthening inter-alia, law enforcement cooperation, mutual legal assistance and trans-border intelligence sharing to dismantle criminal organisations.
- The CELAC-EU Coordination and Cooperation Mechanism on Drugs has proven to be a reference framework on the fight against drugs, frequently cited in different projects and initiatives of both regions.

The CELAC-EU Action Plan aims at addressing the world drug problem by strengthening bi-regional dialogue based on the principle of common and shared responsibility. Under this action plan COPOLAD focused on high-level meetings which have concentrated on evidence based policy formulation to confront drug issues, PRELAC set in motion administrative controls in an effort to affect drug supply, CARICOM Crime and Security and Central America Security Strategy which has enabled that sub region the definition of programmes, plans and projects to combat drugs and organised crime, amongst others; which contemplate important initiatives in drug issues between the two regions. Additionally, the action plan expresses a concern regarding the environmental impact of drug production and promotes the development of sustainable crop control.

In September 2017, on the basis of the Brussels Declaration<sup>130</sup>, EU-CELAC organised the Seminar on Citizen Security as the first step towards creating a bi-regional Dialogue on Citizen Security. The purpose of which would be to develop a common understanding of citizen security threats, their root causes, and consequences and the national and regional priorities to tackle them through policy dialogues and technical exchanges. Peru and El Salvador are among 24 LA countries participating in this new EU-CELAC Dialogue on Citizen Security.

### **3.1.2.2 Finding: Valuable EU technical inputs to support the dialogue processes**

<b>Related indicators:</b>	I-314
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

### EU-CELAC migration project

The dialogue on migration was accompanied by a regional EU intervention "Strengthening the dialogue and cooperation between the European Union and Latin America and the Caribbean", to establish a data base, management models on migration and development policies"<sup>131</sup> that ran from 2011 to 2015. Thirty-three LAC countries participated, and IOM and FIIAPP co-managed the project that also provided feedback and technical expertise to the Dialogue. The migration project was finalised in 2015 and the Dialogue terminated in 2017. Technical inputs from the project, described

<sup>129</sup> [https://www.parlament.gv.at/PAKT/EU/XXVI/EU/03/13/EU\\_31368/imfname\\_10831065.pdf](https://www.parlament.gv.at/PAKT/EU/XXVI/EU/03/13/EU_31368/imfname_10831065.pdf)

<sup>130</sup> EU-CELAC Summit June 2015. The second seminar was held in January 2018 and the state of progress of COPOLAD, EL PAcCTO, ICRIME and the Cocaine Route Programme were presented. EU-CELAC Seminar Tackles Citizen Security; EU –EASS 23/01/2018.

<sup>131</sup> DCI-MIGR/2010/259-532



below (statistics on migration, migration profiles, information on remittances and their use, etc.) were provided to the Dialogue in meetings.

The migration project was also able to utilise and benefit from the network of offices already created by IOM throughout the LAC region.

The project focused on three components and in each of these areas the following outputs were produced<sup>132</sup>.

- Data collection:
  - A study on “Migratory Routes and Dynamics between Latin American and Caribbean (LAC) countries and between the LAC region and the European Union (EU)” provided elements for debate.
  - A “Rapid Assessment of Data Collection Structures in the Area of Migration in Latin America and the Caribbean” that dealt with the data collection mechanisms in the area of migration for CELAC, in each of the sub-regions and nations.
  - “Migration Profiles (MP)” were elaborated for Ecuador, Peru and Nicaragua<sup>133</sup> that brought together data from various sources and facilitated a process of consultation among stakeholders.
- Migration management, and migration and employment/reintegration migrants:
  - Activities were conducted in the areas of “*Descriptive Institutional Analysis*” to evaluate capacities and functions of institutions responsible for migration policy development and management.
  - *Training courses* were provided to strengthen the public institutional capacities of the CELAC countries’ institutions.
  - *Internships* for public officials aimed at contributing to information and knowledge exchange for migration and employment policy management
  - Twenty-five countries participated in the capacity building activities which trained mainly officials from the Labour and Foreign Affairs Ministries.p.30
  - The following activities and manuals for use in the area of reintegration of returned migrants were developed: a manual on *Proposals to link Migration and Employment Policies*, a Manual on *Labour Market and Migration Studies* (Argentina, Bolivia, Colombia and Panama), workshops on “*Strategies for the Creation of Employment – linking migration and labour markets*” and *pilot projects* focused on reintegration of migrants in their country of origin
- Remittances and development policies:
  - A “*Good Practices Handbook*” on maximizing remittances as a tool for development;
  - *Workshops* on how to incorporate remittances and the participation of the diaspora in development policy;
  - *Pilot projects* based on the creation of partnerships among actors in the local, public and private sectors, civil society and diaspora members to develop and implement policy on the use of remittances for development.

A newsletter and website for project communication and information sharing were produced<sup>134</sup> and maintained for a period after the project terminated by IOM.

The migration project was designed at a time when heavy migration flows were directed from the LA region to Europe, these flows changed, and in part were reversed. Political will of the LA countries was affected by the fact that they were not included in the design of the project, and the initial interest in the Dialogue decreased as the project drew to a close.

From field phase interviews it emerged that the level of participation in the migration project of LA countries diverged dramatically. Some countries, like Peru, participated actively in most of the projects activities and produced a Migration Profile and a Pilot Project on returnees and have used the project outputs for developing policy and programmes. In El Salvador, although migration has been a growing problem due to the insecurity from gang violence, only few stakeholders remembered the project at all.

#### Drugs and organised crime

<sup>132</sup> EU (2015) Final Evaluation of the EU-CELAC migration project; p. 26

<sup>133</sup> As well as Suriname and Jamaica

<sup>134</sup> EU (2015) Final Evaluation of the EU-CELAC migration project, p.55/56

The COPOLAD I final evaluation finds that the programme reinforced the dialogue mechanism:

*“All informants interviewed by the ET stress that the project reinforced significantly the coordination mechanism (CCM). It seems that the project contributed to the establishment of new procedures, encouraged the discussions of more technical issues and contributed to the participation of more CELAC countries into the mechanism. (...)*

*Several informants report that the project managed to gradually increase the coherence among CELAC and between them and EU MS in terms of the harmonisation of the concepts used by all participants to the CMM. For some there has been a change of paradigm and most of the beneficiaries analyse the drug phenomenon in terms of shared responsibility rather than in terms of producing/consumer countries as it was often the case in the past. COPOLAD as a technical discussion assembly that precedes the CCM meeting has, by all accounts, enhanced discussions within CCM. Despite these positive developments, the conclusions of the CCM seem to remain relatively general. This may be due to the fact that the CMM is a political rather than a technical forum in which discussions on evidence-based drug policies are marginal. The EU/CELAC dialogue is also limited by the fact that only few EUMS are actively participating in the mechanism.”*

According to the recent ROM report on COPOLAD II, the programme is a unique opportunity to collaborate and exchange on issues related to drugs, supporting at the same time the implementation of the corresponding policies. The report paints a positive picture with regards to the programme's role in the policy dialogue:

*“El producto más evidente de este Componente es la Declaración Política de Alto Nivel producida, a través de la cual se apoya, con el compromiso adquirido de los países, la consolidación del multilateralismo en sus diferentes aspectos y se favorece la participación de los países, en particular de la CELAC, en la construcción del arquetipo político y jurídico global sobre la problemática de drogas. Otro producto importante es la introducción de temas candentes y de actualidad sobre la problemática de drogas en las Agendas Políticas de los países. En el caso de las reuniones de Alto Nivel del Mecanismo UE-CELAC, así como en los Comités Técnicos, la dinámica de trabajo que se genera entre los participantes – Agencias de Drogas; Ministerio de Relaciones Exteriores; Embajadas – tiene como efectos concretos un conocimiento global del fenómeno y un contacto permanente en el intercambio de información sobre drogas.*

*La percepción institucional sobre el COPOLAD II se identifica con una mirada continental, tanto de la problemática como de los acuerdos institucionales, y con una actualización sobre las soluciones que se están aplicando, así como la identificación de insumos aplicables a la realidad nacional. Se propician relaciones de intercambio a través de las Comisiones Mixtas Bilaterales con países limítrofes.*

*El COPOLAD II da continuidad a los logros alcanzados y a las acciones desarrolladas en el COPOLAD I, fortaleciendo los principales aspectos relacionados con la reducción de la demanda de drogas, el control y la reducción de la oferta, la disponibilidad de indicadores clave, confiables y objetivos para la toma de decisiones y la formulación de políticas públicas basadas en evidencia, reforzando, paralelamente, el Mecanismo. Su enfoque facilitador y su abordaje participativo favorecen una alta apropiación por parte de las instituciones y organismos participantes, facilitando el apoyo efectivo del COPOLAD II a la implementación de políticas en los países de la CELAC.”*

According to the recent COPOLAD II ROM report, the sustainability of the EU-CELAC Cooperation Mechanisms seems promising:

*“Con respecto al Componente 4 (Mecanismo de Coordinación y Cooperación CELAC-UE en materia de Drogas), la sostenibilidad se producirá de manera indirecta. El Mecanismo ha sido fortalecido con apoyo técnico que ha llevado a discusiones y debates relevantes y profundos. Sin la existencia del COPOLAD II, el Mecanismo tiene que buscar formas para mantener el nivel técnico de las discusiones. En caso de no lograr esto, el Mecanismo volverá a la situación en la que se encontraba antes del COPOLAD II. Sin embargo, el apoyo prestado sobre temas como por ejemplo la Darknet, donde el COPOLAD II ha llevado el Mecanismo a un nivel técnico más elevado, seguirá estando disponible y puede servir como punto de partida para discusiones y debates al respecto en el futuro.”*

## 3.2 JC 32 - Intra-regional cooperation

### 3.2.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 32: EU support contributed to creating sustainable opportunities for intra-regional cooperation, sharing and learning in the areas of drugs, transnational organised crime and migration	I-321 Number of EU supported initiatives (e.g. regional conferences) promoting South-South exchange of experience and good practices in the areas of drugs, transnational organised crime and migration (and level of participation) I-322 Existence and degree of sustainability of regional networks / institutional coordination structure (including entities such as drugs observatories) established / supported through EU regional interventions I-323 Number (and quality) of joint tools, models, actions developed by LA partners in the area of migration and the fight against transnational organised crime (including platforms to share information and data in these areas)

### 3.2.2 Main findings and related evidence

#### 3.2.2.1 Finding: Some opportunities of South-South cooperation created in the area of migration but, overall, limited sustained effects on intra-regional cooperation

<b>Related indicators:</b>	I-321, I-322, I-323
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

The migration project worked with 33 countries of the region and offered the possibility of an even greater exposure for networking and sharing. The project facilitated some bi-national cooperation; the exchange of expertise and sharing of perspectives, and its' work was intended to contribute to the Dialogue, to provide expertise and substantive input<sup>135</sup>.

EU (2015) Final Evaluation of the EU-CELAC migration project:

- Examples of bi-national cooperation - exchanges between countries outside the project framework on issues of technical expertise did happen, as did discussion on differing political approaches to issues as exemplified below. However, it is not clear whether the project actually provoked a significant number of external activities, or facilitated the internal debates to external fora.
- *“The issue of labour migration seemed of high relevance to most countries visited as well, in general terms. However, country’s interests concerning labour migration differ: whereas some are interested in exploring options for attracting skilled migrants (Brazil), others are more interested in making existing regional agreements work (Caribbean), and others are concerned with the return of migrants and their reintegration to the country (Peru, Colombia, Mexico or Ecuador). A representative from the Brazilian Ministry of Labour who attended the “Migration management and its relationship with employment policies” workshop in Lima in 2012 indicated that the course as an initial contact with the topic and of it being useful for the exchange of best practices in the region.”*
- Resulting from the exchanges during the Workshop on Certification of Labour Competencies funded by the migration project, Peru requested technical assistance from the Colombian ML for their public officials. This specific example would be, according to Colombia's ML a clear effect of the project in triggering horizontal cooperation among participant LAC countries, mainly on a bilateral level
- A 2014 Internship in Colombia facilitated an exchange between Colombia and El Salvador. This exchange led to the signing of a bilateral Agreement in 2014 between the Minister of Foreign Affairs of the Republic of El Salvador, and the Chancellor of the Republic of Colombia. Colombia was to provide technical assistance to El Salvador on their ‘Colombia Nos Une’ (Colombia unites us) programme that provides assistance to Colombian emigrants in other countries.

The confluence of effects produced by the migration project, including the capacity building, have created an incipient mechanism - a network of migration related authorities and institutions - that could

sustain an on-going exchange of information and good practices, however the real sustainability of this network mechanism is not yet clear<sup>136</sup>. To endure, the mechanism should be formalised between institutions rather than individuals that abandon positions due to turnover of civil servants. The discussions and work on migration continue through sub-regional bodies and other international organisations, including IOM.

The above-mentioned network was built on the participation of 33 LAC countries that also interact through the sub-regional organisations (MERCOSUR, CAN, UNASUR, CARICOM, SICA, CRM and the CSM) and that maintained a dialogue and consultation on migration in the region until 2017. These connections should guarantee a degree of sustainability of the thematic issues and policy developments in the ongoing regional debates<sup>137</sup>.

### 3.2.2.2 Finding: EU support contributed to improving regional cooperation in the areas of drugs and organised crime

<b>Related indicators:</b>	I-321, I-322, I-323
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

#### COPOLAD

COPOLAD reactivated the EU-CELAC Cooperation Mechanisms as well as supporting South-South cooperation efforts. At the same time, COPOLAD introduced a comprehensive approach to illegal drugs that combines punitive measures with public health priorities. Furthermore, the head of Demand Reduction of the Ministry celebrated the creation of work groups under the framework of COPOLAD, since they made the region's SSC dialogues more dynamic and productive. As a final remark, the GOC applauded the facilities created at COPOLAD, using SSC to exchange of information and good practices, so that several CELAC nations could develop a practical guide on information analysis regarding new synthetic drugs and the diversion of its precursors.

The COPOLAD I final evaluation (2015) notes:

*“It seems COPOLAD had a positive impact in terms of reinforcement of networking and contacts among participants and had had a positive impact in terms of regional dialogue on drug policies. Round table discussions with selected LAC nations made it evident that COPOLAD’s contribution to networking has greatly improved trust and communication. Four years ago, it seems that the only occasion for which drug policy decision makers met was at the annual meeting of the CND in Vienna, but today COPOLAD allows them to maintain close communication. Likewise technical staff now maintains close contact and give continuity to discussions that previously would be lost because of political turnover.”*

The network of National Drug Observatories play a key role in the intra-regional cooperation, at the institutional level but also in the exchange of capacity, as highlighted in the ROM report of COPOLAD II:

*“Cada país dispone de un OND equipado y funcionando y, a día de hoy, 8 países de América Latina y 5 países del Caribe están trabajando en el montaje de los Sistemas de Alerta Temprana (SAT), organizados en 2 Grupos de Trabajo. En cuanto a los Informes Nacionales sobre Drogas, 14 países de América Latina y 13 países del Caribe participan en el Grupo de Trabajo para la elaboración de los Informes Nacionales sobre Drogas.*

*Los OND son piezas clave para la toma de decisiones políticas y su correcto funcionamiento permite disponer de la información necesaria para la toma de decisiones a nivel político e institucional. Los SAT, donde se realiza “la detección temprana de las amenazas representadas por nuevas sustancias psicoactivas o por nuevos usos de sustancias tradicionales”, hacen uso de los recursos disponibles en los OND. Actualmente, no todos los OND parecen funcionar de manera eficiente con respecto a sus 3 funciones operativas (recogida de datos; análisis, interpretación y triangulación de datos; elaboración de informes). En lo que se refiere al SAT, con el apoyo del COPOLAD II se han designado los OND de*

136EU (2015) Final Evaluation of the EU-CELAC migration project.p.38/39

137 Mexico identifies the Regional Conference on Migration (CRM – which includes 11 countries including Canada, USA, Mexico, Central America, Belize and Dominican Republic), or the Puebla Process, as representing its immediate international forum for reaching consensus before the member countries elevate the issues to CELAC. (ibid p. 40)

*Colombia y Uruguay para que brinden apoyo técnico a los países CELAC que aún no tienen o aún no han desarrollado un SAT. El COPOLAD II, en cuanto plataforma de Observatorios, facilita la elaboración de una Guía flexible (en lo que se refiere a su desarrollo metodológico) para la implementación del SAT en los países donde el Sistema ya ha sido “consensuado”. En la elaboración de los Informes Nacionales se utilizan “líneas guías” que están en fase de definición por parte del COPOLAD II.”*

### Cocaine Route Program

Under the Cocaine Route Program, multiple individual projects have been financed by the IfS / IcSP: AIRCOP, CRIMJUST and SEACOP are ongoing projects. PRELAC a project that aimed at strengthening capacities of national administrative control authorities to prevent precursors' diversion was terminated in 2016. AMERIPOL and GAFILAT used to be financed part of the Cocaine Route Programme and are now financed by the regional DCI envelope.

Specific projects such as AMERIPOL, AIRCOP, SEACOP, GAFILAT, and PRELAC have taken on the challenge of introducing coordinating mechanisms and multi-agency institutional elements composed of different law enforcement entities and establishing elements to enhance data and intelligence sharing:

- AIRCOP has created the Joint Airport Interdiction Task Forces at airports which has induced the evaluation of how to best coordinated activities of Migration, Customs, Airport Administration, Prosecutors and Polices in a relative reduced environment. This has contributed to better coordination amongst national agencies. Additionally, although AIRCOP was originally created under the CRP to search for drugs, its activities (seizure of drugs, guns, cash and control of people traffickers) have induced a better understanding the extent of criminal activities at civilian airports throughout the region.
- Likewise, the SEACOP project has created Joint Martine Control Units with their own Martine Intelligence Units which have created the need for new legal frameworks for data sharing and operation execution. SEACOP, as AIRCOP, has introduced both Interpol's I-24/7 information system as well as WCO's CENcomm real-time information systems
- GAFILAT—formerly called GAFISUD—has continued to work on national instruments for asset forfeiture, the adequate management of bank secrecy laws and money laundering, all within the parameters accepted for FATF enforcement;

### EL PAcCTO

From field phase interviews, the team learned that the recent EL PAcCTP project is viewn to have created valuable spaces for learning, discussion, debate and exchange of information. The workshops were perceived to be of high calibre and important. They cover topics from cross-border cooperation, penitentiary intelligence, recuperation of assets, alternative measures to imprisonment, police and customs cooperation, and corruption. However, in some cases (e.g. Colombia) the project's activities have been less well received, due to problems in the design and implementation (see JC 33 for more details). There were challenges in the coordination of EL PAcCTO and SICA, which is coordinating the Central American Security Strategy (ESCA). As of June 2018, there was no a cooperation agreement between EL PAcCTO and SICA.

### 3.3 JC 33 - Legal, policy and institutional environment

#### 3.3.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 33: EU support contributed to the strengthening of legal, policy and institutional environment in LA countries in the areas of drugs, transnational organised crime and migration, in line with regional best practices and international (including EU) standards	<p>I-331 (Policy) Evidence of strengthened policy formulation processes in the area of security and migration, including increased analytical underpinning (e.g. better understanding of the root causes of irregular migration, adequate use of available data on drugs and transnational organised crime)</p> <p>I-332 (Policy) Evidence of an active role played by civil society in policy formulation</p> <p>I-333 (Policy) Policies related to migration and security integrate a gender equality approach and respond to particular needs of vulnerable/marginalised groups (including children)</p> <p>I-334 (Policy) Existence and implementation of reintegration policies for migrants returning to their communities of origin, including information on employment and investment opportunities</p> <p>I-335 (Institutional) Degree of integration of EU and international standards and regional best practices in tools, models, actions developed for policy implementation (including development of strategies to achieve positive combined effects related to migration, mobility and development)</p> <p>I-336 (Institutional) Perceived effectiveness (by stakeholders involved) of capacity development approaches supported (e.g. train-the-trainers, casework) in the law enforcement area</p>

#### 3.3.2 Main findings and related evidence

##### 3.3.2.1 Finding: Some contribution to policy formulation and legal reform in the area of migration

<b>Related indicators:</b>	I-331, I-332, I-333, I-334, I-335
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

Examples of legislation and other institutional developments that took place around the time of the project; some attributed these achievements to participation in the project, but at least they demonstrated relevance of the project subject matter to national processes on migration (2015 final evaluation of the EU-CELAC migration project).

- Peru: passed the March 2013 Law for economic and social reintegration of the returned migrant; and strengthened the Inter-sectorial Working Roundtable for Migration Management (MTIGM).
- Ecuador: created the Parliamentary Group for the Rights of Persons in Human Mobility (2013) by the National Assembly, and according to stakeholders was considered it to be a major political and legislative development attributed to the project (ibid p.22).
- Mexico: the 2014-2018 Special Migration Programme in Mexico.
- Guatemala: The Legislative Assembly was working on the Migratory Code in order to replace the previous one of 1998.
- Nicaragua: passed the 2011 Migration and Foreigners Law, its 2012 regulation; and the 2015 Trafficking Law.
- Honduras: passed the 2013 Law on the Protection of the Honduran Migrants and their Families, and the 2013 Asylum Decree 13/81; the National Council for the Protection of Honduran Migrants was established in 2014.
- Central America: The pursuing of a common regional migration policy in Central America.

The migration project produced a number of activities, studies, training, manuals and tools that have been said by participants to have strengthened their capacities to promote migration policy and structures, at national, sub-regional and regional levels. Following are examples of how transference has occurred, with problems identified, between the project and other contexts (EU (2015) Final Evaluation of the EU-CELAC migration project).

- The *Rapid Assessment of Data Collection Structures in the Area of Migration in Latin America and the Caribbean* that looked at the data collection mechanisms in the area of migration for

the LAC was found to be very useful by all stakeholders; nonetheless its dissemination was quite limited to academic or scientific levels, and it could be further disseminated and better socialised. The study serves as a data base on data collection structures and can and has been used by government officials and civil society to understand different data collection structures. There were also complaints that it was initially only drafted in Spanish and stakeholders had not been consulted during the drafting process.

- The Migration Profiles have supported data collection systems, encouraged the sharing of information on migration among government, civil society and academia and promoted coherent and coordinated policy development. For example, the Migration Profile in Peru covers Peruvian immigration, emigration, labour migration, irregular migration, remittances, legal framework, and national and local migration policies. It adheres to the principles of the United Nations Global Forum on Migration and Development, and the Peruvian profile has been used by the Mesa de Trabajo Integrada de Gestión Migratorio or Integrated Roundtable on Migration Management (MTIGM) as a main policy tool. Use by the MTIGM ensures that the relevant national institutions and civil society organisations have a common understanding of the concepts and information. This document has been used in the formulation of policy and legislation and has supported the work of the CSM (Conferencia Sudamericana sobre Migraciones)<sup>138</sup>.
- Stakeholders commented that the project strengthened the work of the MTIGM, which began in Peru in 2009 and was decreed in 2011. The Project was instrumental in the inclusion of civil society as a member, as IOM sits on the MTIGM and provided a link between the Roundtable and the project<sup>139</sup>. Peru feels that their participation in the reconvened Migration Dialogue must include consultation on the agenda with the MTIGM
- The field work found that the Peruvian Ministerio de Trabajo y Promocion de Empleo (MTPE) used a pilot project financed by the migration project as it identified who was returning, what professional status they had and where they had come from; it also identified challenges to be faced as many returnees had held good jobs and higher salaries in the countries they were leaving and were reluctant to accept lower Peruvian salaries. Although the time allotted to this PP was considered to be very short the profile attained has been used by the government for reintegration policy and practice. This was the first time Peru looked at migration as a labour opportunity. The pilot project also fed into the development of the Law on Returnees Ley No. 30001, 2013 (Ley de Reinserción Económica y Social para el Migrante Retornado)<sup>140</sup>
- Pilot Projects in Guatemala were seen by stakeholders to have instigated the elaboration of 3 interrelated products: i) an operative structure in the departments of MFA and ML concerned with Migration and Employment; ii) Protocols of Performance for Labour Migration; iii) Computer Systems on Labour Migration. Although the third had not been implemented at the time of the evaluation due to financial considerations, the ML stated that the first 2 components have provided clarity on how to approach better services and assistance to return immigrants<sup>141</sup>.
- Also project workshops addressed the labour migration issues that generated the debate and process of bi-national certification of competencies within the Andean Community and the Andean Instrument on Labour Migration, Decision 545 between Peru, Ecuador and Colombia This Instrument contemplates giving national treatment to Andean workers within the Andean Community territory. In 2013 Colombia enacted the decree.
- In Ecuador participants from financial institutions (i.e. Cooperativa Jardin Azuayo) and civil society organisations (i.e. Red Ecuatoriana de Migrantes y Organizaciones Sociales) recall the Pilot Projects as timely, as offering shared experiences from other countries, and they identify the Manual on remittances as a main reference tool and consultation guide for this material. One organisation states that it is referenced in their Strategic Plan.
- In Colombia the Pilot Project on remittances was seen as “*bringing political dialogue into reality*” (MFA) thus enabling better use of remittances; also in Colombia the MFA stated that Component 3 raised awareness within the beneficiary communities that it is possible to generate investment initiatives with the use of remittances.

<sup>138</sup> Perfil Migratorio del Peru 2012, OIM, p. 15.

<sup>139</sup> Interviews conducted in August 2018 in Peru.

<sup>140</sup> Interviews during field study August 2018.

<sup>141</sup> Final Evaluation of LAC migration project 2015, p. 34

- Brazilian participants deemed “the effects of the Pilot Projects to have been very solid, the experience very enriching and that it inspired the participating / implementing institution to reorganize their administrative structure of social support. The institution now views migration as a socially relevant issue and is currently working on a new mechanism to provide assistance to migrants.” This institution is replicating the Pilot Project.

Ecuadorian officials attributed to the project the creation of the Parliamentary Group for the Rights of Persons in Human Mobility (2013) by the National Assembly; considered to be a major political and legislative development<sup>142</sup>.

The studies and training were undertaken to increase knowledge of the causes for migration, improve capacity and promote institutional development in the areas of migration dynamics and management. These programmes were acknowledged by stakeholders to have contributed to policy formation and improved capacity. From the participants polled greater than 70% stated that the topics covered were relevant to their professional needs, 82.7% agreed that the training activities contribute to strengthening regional capacity in LAC for a permanent exchange of information and best practices between countries in the region, 54.39% believed that through the training you and/or your country learned new techniques and mechanisms for working on migration<sup>143</sup>.

### 3.3.2.2 Finding: With regards to drugs, EU support had limited influence on policy, but helped strengthen institutions in some LA countries

<b>Related indicators:</b>	I-331, I-332, I-333, I-335, I-336
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

#### COPOLAD

In the framework of COPOLAD, the EU approach brings in the international standard of the regulatory legal framework through the numerous international agreements adopted by the Member States and establishing a bridge of conversation with CELAC countries while also encouraging a dialogue and exchange of information on drug policies between peers among CELAC countries on a regular basis.<sup>144</sup>

National Drugs Observatories have been created throughout the region based on the COPOLAD principle of “evidence based policy making” which was the principle for COPOLAD’s activities; in fact, constitute the only or one of the main reference points in the production of drug information in the country. Although the observatories are key initiatives to fight illicit drugs, they represent a great deal of regional disparity. A few countries have functional observatories, others barely have a structure or trained staff, while others still do not even have an active Observatory. These discrepancies in structure, staff, equipment and data collection present a challenge to maintain a regional approach.

Given the pre-eminence that NDOs face in designing policies that aim to respond to different problems related to drugs, it is critical to work towards consolidation of their work, which is a priority objective to the NDO seems to be one element that will provide operational guarantees while enabling institutional strengthening. The most general situation is that they either do not have a defined budget or that it is provided for certain specific items and not necessarily to fully cover the work of the NDO.<sup>145</sup>

One of the recommendations of the situational analysis of NDOs was that consideration should be given to the implementation of the activities of Component I: Consolidation of National Drugs Observatories of COPOLAD in different groups of countries, taking into account the unequal level of development of NDOs in the region. It encourages the integration of international protocols into their framework so that opportunities for country exchanges be forged based on the experiences of those who maintain these standards. Nonetheless, the report recognises that working with groups of countries and adapting to the different needs of NDOs, seems to be the best approach.

Field mission interviews confirmed that COPOLAD had a positive impact in the establishing and development of NDOs and early warning systems. In Colombia, COPOLAD has facilitated the Precursor Control Office at the Justice Ministry the opening of 25 legal cases regarding illicit use of chemical precursors in Colombia. It has also cooperated in the development of practical guides on the

<sup>142</sup> EU (2015) Final Evaluation of the EU-CELAC migration project; p. 22

<sup>143</sup> EU (2015) Final Evaluation of the EU-CELAC migration project, Annex 9

<sup>144</sup> EU (2018) COPOLAD II Consolidated ROM Report

<sup>145</sup> COPOLAD (2017) Situational analysis of national drug observatories in Latin America and the Caribbean



final disposition of precursors and information analysis on new synthetic drugs and the diversion of its precursors.

### PRELAC

PRELAC has left a trail of instruments that serve both individual nations and the region as a whole, by developing instruments to share information on the legal movement of selected cargos of precursors used to process Cocaine/heroin/synthetic drugs before they can be diverted to criminal activities; as mentioned above there is concern about the commitment of some countries with the long term success of the project.

### EL PAcCTO

The EL PAcCTO Project, resulting from the EU-CELAC Action Plan of 2015, is structured to maximise sharing and networking through the existing institutional and operational networks and EU-LA intercontinental links.<sup>146</sup> It proposes to complement and cooperate with sub-regional initiatives such as ESCA, I-CRIME, COPOLAD II and EUROSociAL, as well as longstanding international professional organisations including AMERIPOL, INTERPOL, EUROPOL, EUROJUST, REMJA, AIAMP, IberRed, COMJIB, REFCO.

While it is still too early to measure results of the EL PAcCTO project, the stakeholders provided mixed feedback in field phase interviews. Discrepancies were identified in of opinions concerning the consultation process for the project. Peru and El Salvador expressed satisfaction with being consulted, even though Peru did not present a 'demanda' for 2018, while Colombia expressed frustration that the project plan did not include their inputs from the consultation process.

In some countries coordination problems within the EU (Brussels and the delegations), between the EU and its implementing agency and finally between these and the potential beneficiaries have hampered the projects implementation. During the interviews it became evident that there is insufficient communication between the 3 pillars of EL PAcCTO within the individual countries. Participants of one of the three pillars do not know what is happening in the other pillars. The structure thus reinforces existing communication problems between different national agencies working on security and crime instead of using its potential to improve coordination. Interviewees highlighted that it might be useful to create coordination units yet when this type of unit was created in Colombia, at the suggestion of EUD, its recommendations were dismissed by the implementing agency.

## 3.4 JC 34 - Broader results

### 3.4.1 Overview of the evaluation matrix

<i>Judgement criterion</i>	<i>Indicators</i>
JC 34: Positive results have been achieved in curbing demand and supply of drugs and reducing perceptions of insecurity and impunity	I-341 Citizen perceptions of insecurity or impunity, and regarding the police and criminal justice sectors (UNDP Human Development report) I-342 UNODC data on supply and demand of drugs in LA

### 3.4.2 Main findings and related evidence

#### 3.4.2.1 Finding: Changing migration patterns in LA are creating pressure in many countries to re-examine migratory regulations and policy

<b>Related indicators:</b>	I-341
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

ILO (2016): Labour migration in Latin America and the Caribbean – Diagnosis, Strategy, and ILO's Work in the Region:

- *“The ILO estimates that the Americas concentrate around 27 per cent of all migrant workers in the world and that their importance increases rapidly. In 2010, the figures were 25.1 million in North America and 3.2 million in Latin America and the Caribbean; five years later, these figures had risen to 37 million in North America and 4.3 million in Latin America and the Caribbean: a total increase of 13.1 million people in just five years.”*

<sup>146</sup> Action Document for Continental programme on Rule of Law and Security-Development nexus

- *“Until the early nineties, the most significant flows of Latin American and Caribbean migrant workers were directed almost exclusively to the United States, and other (less important in numerical terms) intra-regional flows, were concentrated in Costa Rica, the Dominican Republic, and Venezuela. Although we cannot deny the importance that the United States continues to play as the main country of destination to Latin American and Caribbean migrant workers (in 2015, 51 per cent of its immigrant population was from Latin America and the Caribbean), since the beginning of the 1990s, migration flows from the Latin American and Caribbean region have expanded to other destinations, mainly to the European Union. At the same time, there has also been a noticeable increase in intra-regional flows. Indeed, in Latin American and Caribbean countries, 80 per cent of immigrants originate from other countries from the region, in most cases from neighbouring countries”*

IOM World Migration Report 2018. Key features of migration in LA:

- Migration northward is the predominant trend in Central America and Mexico, although there are a number of intra-regional trends worth noting.
- Irregular migrant flows in the region are shifting and becoming increasingly diversified.
- New and diversified flows throughout the region have prompted a response by transit and destination countries to increase border enforcement and protection.
- Socioeconomic conditions and generalised community-level violence in a number of Central American countries contribute to migration, notably of high numbers of women and children.
- Intra-regional migration within South America has intensified.
- Millions of South Americans continue to reside outside of the region, while at the same time the number of migrants from outside the region is slowly growing.
- Though localised to particular countries, conflict and violence contribute to human displacement and migration in the region.

IOM (2015): Migratory routes and Dynamics between Latin American and Caribbean (LAC) countries and between LAC and the European Union:

- Migration patterns reflect changing political, social and economic conditions and the patterns, as earlier stated, have changed between Europe and LA, as in 2012 more Europeans migrated to LA than Latin Americans to Europe in earlier years.
- Trends within the LA countries also changed as economic and political conditions evolved. Migrants are leaving poorer countries such as Bolivia and Ecuador and are migrating to Peru, Chile, Argentina and Brazil in search of jobs.

The extreme levels of criminal violence affecting the northern countries of LA have worsened<sup>147</sup> over the evaluation period. As the USA has closed its doors, migrants now head to Costa Rica, Panama or Mexico. The latter, historically a country of transit, has become a country of destination and asylum for the influx of southern migrants<sup>148</sup>.

New challenges in the area of migration were also evident in the countries visited by the team:

- In El Salvador, migration issues have reached crisis proportions as gangs force the population to move within the national territory or to flee the country. As US borders close and policy tightens against immigration many people are now heading south to Costa Rica or Panama. The whole Northern Triangle is suffering insecurity due to gang violence and organised crime. The country is anticipating many Salvadorans to be returned from the USA next year as a programme facilitating residence in the USA is being discontinued. It is unclear how the country will deal with this situation.
- Peru is currently facing serious issues as well. The economic and political situation in Venezuela has escalated, leading to massive immigration to other countries in the region, including Peru. As a consequence, UNHCR opened two new offices in Peru.

<sup>147</sup> Forced to Flee Central America's Northern Triangle: A Neglected Humanitarian Crisis, Medecins Sans Frontières, May 2017

<sup>148</sup> <http://www.unhcr.org/news/latest/2017/3/58c2636f4/greater-cooperation-needed-protect-refugees-central-america-unhcr-says.html>

### 3.4.2.2 Finding: Crime and violence in the LA region remain pervasive and costly, and drug production, especially coca, is rebounding in LA

<b>Related indicators:</b>	I-341, I-342
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

In regard to the available information supplied by the UNODC, it is important to note that the data comes from the NDOs of the LAC countries, which implies that the persistent disparities on the quality, capacities and training of the observatories from country to country greatly affects the information available to work with.

Additionally in the producing nations (Bolivia, Colombia and Peru) UNODC, still today, runs the Coca Monitoring System also known as SIMCI – this is the system created with EU financing during the first decade of the XXI century and was initially meant to be handed over to the drug agency in each country. Due to political considerations this handover was not done. Today they work out of the UNODC offices in each country and with the exception of Colombia (this country finances 100% of UNODC activities in Colombia) receive most of their funds from TC projects (EU funds included) and some funds from the host governments.

World Drug Report 2018:

- The increase in coca bush cultivation in Colombia is the main driver of global expansion:** Recent trends in the global area under coca bush cultivation have largely been driven by changes in coca cultivation in Colombia, where the cultivation area decreased by 70 per cent over the period 2000–2013 only to then triple in size from 2013 to 2016. With 146,000 ha under coca cultivation in 2016, Colombia accounted for 68.5 per cent of the global cultivation area. Coca bush cultivation is widespread in Colombia, having been identified in 21 of the country's 33 departments in 2016, although more than two thirds of the total area under cultivation is located in the southern area of the country. The increase in coca bush cultivation in Colombia in 2016 came about for a number of reasons related to market dynamics and the strategies of trafficking organizations. Among other factors, it was also linked to a perceived decrease in the risk of illicit activities following the suspension of aerial spraying, the expectations in some communities of receiving compensation for replacing coca bush cultivation, and a reduction in alternative development interventions, which has undergone a period of transition from an approach based on crop elimination to an approach based on promoting the rule of law. The overall number of dismantled laboratories used for the manufacture of coca and cocaine products in Colombia more than doubled, from 2,334 in 2013 to 4,842 in 2016 (95 per cent of which were manufacturing coca paste and cocaine base, while 5 per cent were manufacturing cocaine hydrochloride), the largest number ever reported. Seizures of cocaine hydrochloride more than doubled in Colombia, from 167 tons in 2013 to a record 378 tons in 2016; in addition, 43 tons of coca paste and cocaine base were intercepted in 2016. Eradication (manual eradication and spraying) fell, from more than 213,000 ha in 2006 to 69,000 ha in 2013 and less than 18,000 ha in 2016, while aerial spraying ceased in October 2015. Farmers cultivating coca bush may have felt that the threat of eradication had diminished, and some of them may have therefore felt emboldened to take collective action to block potential manual eradication efforts and were thus inclined to increase their coca bush production.
- Signs of increases in traditional coca bush cultivation areas in Peru:** Following a decline that began in 2011, the area under coca bush cultivation in Peru increased to 43,900 ha in 2016, which was equivalent to 21 per cent of the global area under coca bush cultivation. In 2016, Peru's coca bush production took place mainly to the east of Lima, across the Andes, in the Valle de los Ríos Apurímac, Ene y Mantaro (70 per cent) and further away in La Convención y Lares (14 per cent). By contrast, most of Peru's coca bush production in the 1980s and 1990s took place in Alto Huallaga, in central Peru. By 2016, Alto Huallaga accounted for just 4 per cent of the total area under coca bush cultivation in Peru. However, the long-term downward trend came to an end in 2016 when the area under cultivation in Alto Huallaga rose, from a low level, by 45 per cent from the previous year. None of the two main coca bush cultivation areas today (Valle de los Ríos Apurímac, Ene y Mantaro, and La Convención y Lares) were subject to eradication in 2016.
- The downward trend in coca bush cultivation in the Plurinational State of Bolivia has also come to an end:** The Plurinational State of Bolivia accounted for 10 per cent of global coca cultivation in 2016, when the area under coca bush cultivation in that country rose by 14 per cent, to 23,100 ha, returning to the level reported in 2013. The increase in 2016 ended the

*downward trend that started in 2010 and which was the result of, among other factors, a government policy based on “voluntary” reductions in coca bush cultivation in the coca-growing areas, which went in parallel with eradication (as reported by the Government), particularly in national parks and other areas outside accepted cultivation areas. Overall, coca bush eradication almost doubled in the Plurinational State of Bolivia, from around 6,000 ha per year over the period 2005–2009 to around 11,000 ha per year over the period 2011–2015, then decreased to 6,600 ha of eradication in 2016, coinciding with the increase in cultivation reported that year.*

In Colombia, the Ministry of Justice' has witnessed with concern an increase of chemical precursors for illicit activities of 52% in 2016, which has led to new strategies that involve the establishment of strategic partnerships with licit market businesses and private sector affected by precursors' control as well as the customs office to counter international cases and worker unions that are interested in participating on this area.

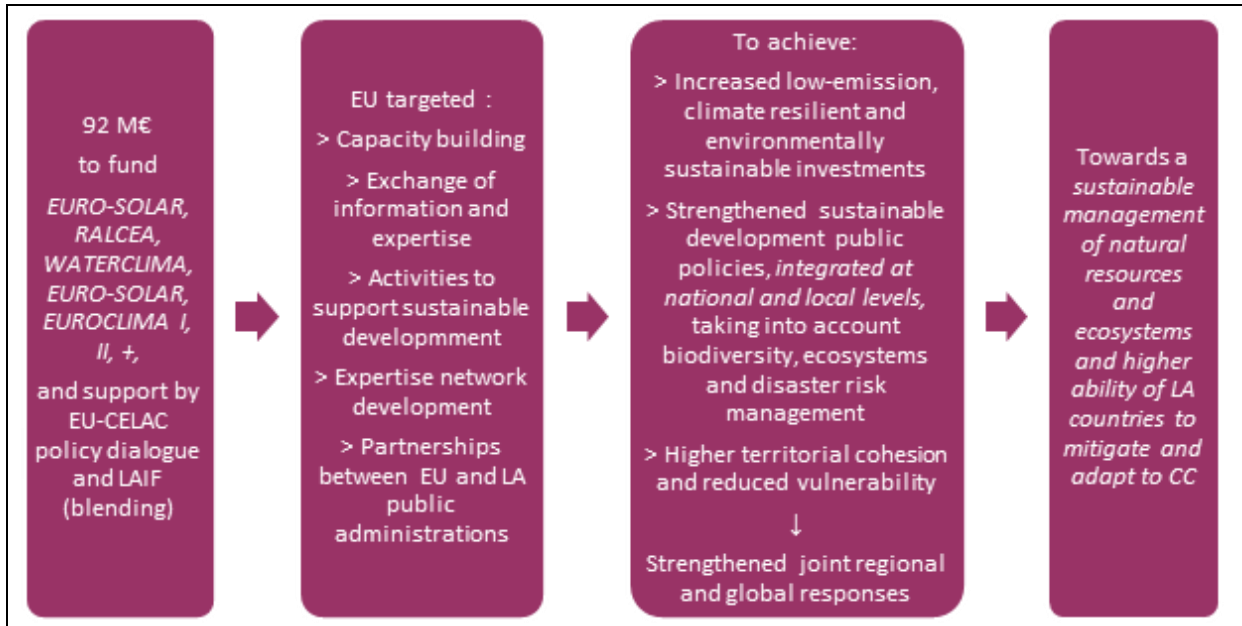
## 4 EQ 4 - Environment and climate change

**To what extent has EU support contributed to the strengthening of the joint regional and global responses to climate change and environmental challenges?**

This EQ covers four main dimensions/judgement criteria:

- JC 41: EU-LA policy exchanges and institutional networking
- JC 42: Opportunities for intra-regional cooperation, sharing and learning
- JC 43: Legal, policy and institutional environment
- JC 44: Results.

Figure 2 The EU regional development support to E&CC in LA from 2009 to 2017



### 4.1 JC 41 - EU-LA policy exchanges and institutional networking

#### 4.1.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC41: EU support contributed to <b>fostering EU-LA policy exchanges and institutional networking</b> , including opportunities for pursuing joint actions on global challenges, in the areas of environment and climate change	I-411 Number and quality of EU-LA dialogue platforms established in the area of climate change (incl. frequency of exchange through these platforms) I-412 Degree to which the supported platforms have created opportunities for policy exchanges as well as improved communication, information exchange and networking (between the two regions) beyond these platforms I-413 Number of joint tools, models, actions developed by EU and LA partners I-414 Evidence on increased awareness among LA partners on the benefits of using voluntary partnership agreements to enhance forest governance and develop international trade in verified legal timber exports

#### 4.1.2 Main findings and related evidence

##### 4.1.2.1 Finding: Substantial contribution to increased bi-regional policy dialogue

<b>Related indicators:</b>	I-411, I-412
<b>Sources of information:</b>	Document review, interviews in Brussels and LA, eSurvey (see Volume 3)
<b>Strength of evidence:</b>	Strong

According to interviewees and the documents reviewed, EU-LA policy dialogue through the EU-LAC Environment Ministers' Forum has increased, in particular since the Los Cabos Declaration in 2014<sup>149</sup> and Paris Agreement in December 2015, to become one of the most important spaces to identify and agree on regional priorities relating to E&CC.

As already highlighted in the 2015 evaluation of EUROCLIMA:

*“there are indeed signals that policy dialogue on CC has improved. There are more and more forums on this topic, incorporating different actors. (...) the exact EUROCLIMA contribution, taking into account that the Programme constitutes one among different actors, is hard to assess. (...) [However] five years of intense study production activities and frequent exchange and dense information dissemination have significantly contributed, undoubtedly, to the realization of the pre-determined target.”* Source: Evaluation of EUROCLIMA (2015)

EUROCLIMA successfully supported bi-regional dialogue activities at various levels:

- *Contribution to EU-CELAC summits.* For example, in 2013 the first summit led to the Santiago Declaration, which agreed to the regional implementation of the 10<sup>th</sup> Principle of the 1992 Rio Declaration (i.e. civil society has the right to participation in the decision-making process concerning environmental matters that underpin sustainable development). In 2015 both regions adopted the EU-CELAC Action Plan in which sustainable development, environment, CC, biodiversity and energy dialogue was to be advanced by developing relevant aspects of the “Lima Agenda on Sustainable Development, Environment, CC and Energy” as well as on biodiversity with the aim of securing consensus and facilitating the full implementation of international agreements and conventions in these areas. Moreover, after the Paris Agreement (2015), the 2016 EU-CELAC summit adopted the 2030 Agenda for Sustainable Development and its SDGs, which included an agreement that EUROCLIMA+ should include as a central theme, the implementation of the (I)NDCs.
- *Contribution to coordination on dialogue related to global issues.* The regional programmes relied on National Focal Points (NFPs) through which the EU and the LA countries could also prepare for the COPs of UNFCCC, participate in specific training events, studies and communication material, etc. Moreover, EUROCLIMA employed UNEP’s regional office for LAC (acting as the Secretariat of the Forum of Ministers of Environment for LAC out of its LAC Regional Office) to improve the exchange of information and experiences on CC. The successful contribution of EUROCLIMA is illustrated by the multiple references to the EU programme in high-level declarations supported by UNEP<sup>150</sup>.
- *Contribution to increased dialogue with regional institutions such as ECLAC and IICA<sup>151</sup>.* For example, under EUROCLIMA II, ECLAC was employed to carry out specific studies, such as the identification of “no-regrets” adaptation and mitigation measures to be prioritised through pilot actions in the LA region.
- *Contribution to specific bi-regional dialogue relating to the development of scientific research networks, in particular, with DG JRC.* For example, the evaluation of EUROCLIMA (2015) confirmed bi-regional dialogue was enhanced through joint research activities in the region relating to AridasLAC, Soil Offices RedAL, Bioenergy How2 Guide and the AQUAKNOW network (in coordination with RALCEA through EUROCLIMA’s water component).

Regarding the other EU regional programmes, the evaluation found:

- RALCEA was designed to bring together centres of excellence for water and NFPs in the region in the interests of stimulating policy dialogue between scientists and decision-makers on improving water management and governance at the regional and continental levels. This was done through case studies and regional training courses that focused on capacity development and promoting dialogue and networking in areas such as watershed management, strategies for managing aquifers and development of effective governance structures.
- WATERCLIMA provided funding through calls for proposals to support three projects dedicated to improving water resources management in river basins and coastal areas in the region. All three projects provided funding and technical assistance to support legal/policy reform and actions on the ground at the national level. However, two projects (ECO-

<sup>149</sup> <https://europa.eu/capacity4dev/unep/blog/latin-american-and-caribbean-environment-ministers-seize-opportunity-prepare-exert-global-envir>

<sup>150</sup> See, for instance: <https://wedocs.unep.org/bitstream/handle/20.500.11822/22238/UNEPLAC-IC.2017-4%20Eng.pdf?sequence=3&isAllowed=y>

<sup>151</sup> <http://www.iica.int/>

CUENCAS and AGUAS SIN FRONTERAS) included support to Ecuador and Peru to improve water management within the Catamayo-Chira river basin and its tributaries respectively. This facilitated policy dialogue on how to improve management of the nine river catchments that are shared between Ecuador and Peru (see details in the next JC).

- EURO-SOLAR had no provisions for specific EU-LA policy exchanges and institutional networking. Instead, EURO-SOLAR was designed to support the installation of solar powered kits to around 600 communities in 8 countries in the region.
- LAIF (EUR 196.6 m.) was accessible to all 18 countries in LA in the period 2010-2013, but the programme has not played any direct role in developing dialogue with the EU and LA at the regional level beyond inducing national governments to invest in key areas that could have a major bearing on sustaining national development, such as supporting management of water resources, water supply and sanitation and infrastructure developments designed to reduce the impact of CC.

Interviews carried out during the field missions in Costa Rica, Ecuador and Peru indicate that lessons learned from regional programmes such as RALCEA, WATERCLIMA and EUROSOLAR have not been the subject of discussion in EU-LA high-level policy exchanges at the regional level. This has not been aided by their strong focus on conducting operations primarily through national focal points who have concentrated on securing funds in the national interest, coupled with a lack of continuation of their main activities soon after their closure (such as RALCEA and EUROSOLAR) and/or ex-post monitoring to fully assess their outcomes and impact beyond a year of their closure. However, interviewees confirmed that EUROCLIMA has contributed to developing EU-CELAC dialogue on climate change, especially as dialogue in the aftermath of the ratification of the Kyoto Protocol (2005) gradually switched from addressing climate change as the prime responsibility of developed nations to a common obligation involving all nations in the run up to and following the Paris Agreement in 2015. For example, the gradual increase in support from developing countries to do their part in reducing GHG emissions was instrumental in the decision to integrate adaptation and mitigation to climate change in the EU-CELAC Action Plan as a priority objective from 2015. Indeed, interviewees from ECLAC also confirmed that, through EUROCLIMA, they have increased their institutional capacity to advocate the importance of adaptation and mitigation throughout the region (supported by the integration of climate change specialists within its sustainable development division).

#### 4.1.2.2 Finding: Intensification of technical and scientific dialogue between the two regions

<b>Related indicators:</b>	I-411, I-412, I-413
<b>Sources of information:</b>	Documentary review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

RALCEA and EUROCLIMA were found to have made contributions to strengthening bi-regional dialogue on the development of technical and scientific research networks. In the case of RALCEA dialogue was strengthened between water centres of excellence and DG JRC of the European Commission. This was aided by the development of various research tools and pilot projects, in particular:

- a database designed to calculate the regional water balance, which was subsequently integrated into the AQUAKNOW database managed by DG JRC in 2014;
- development of the open source software REFRAN-CV to support regional analysis of climate variability linked to policy dialogue on developing hydro-meteorological data; and
- publication of the Atlas on the frequency of extreme weather events using data and maps from 16 LAC countries.

In addition, EU support also contributed to the following:

- the creation of a regional integrated monitoring system of the dry season in Central America and the Caribbean;
- a proposal<sup>152</sup> to link up national agro-climatic observatories already established in countries such as Chile and Peru to support informed decision-making on adaptation in the agriculture sector throughout the LAC region;

<sup>152</sup> The evaluation does not have information on whether this was established.

- development of risk management tools to support communities vulnerable to prolonged droughts;
- tools and technologies to support improvements in water quality and sanitation including a project implemented by Chile and Peru designed to improve the management of residual water in Lima and replicated throughout the region.

Meanwhile EUROCLIMA was instrumental in supporting the development of a number of tools and methodologies that have enhanced dialogue between EU-LA partners, such as through the development of online platforms designed to facilitate South-South cooperation, knowledge transfer and informed decision-making in the LA region. These include: Expansion of the platform Biophysical Models Applications (BioMA) designed as open-source software to support experts in the LA region develop sustainable and resilient agriculture through modelling;

- Development of the Desertification, Land Degradation and Drought Observatory for Latin America (DLDD-LA observatory) designed to aid meteorologists, agro-meteorologists, drought and land degradation experts, etc., increase capacity in development of drought prediction models, risk and vulnerability maps, economic valuation of DLDD, etc. and designed to support mitigation and adaptation to CC (at national and transboundary levels); supporting the creation of the bio-energy network, designed to facilitate information exchange and technology transfer in support of biogas production.
- Funding of the production of the Soil Atlas of Latin America and the Caribbean to coincide with the International Year of Soils (2015). The first edition of the Soil Atlas was produced by JRC using data in the SOTERLAC database, which has not only unified all existing data on soils in the region, but will ensure future editions are produced using updated and validated data from this database thanks to the development of the Network of Departments for Soils in LA.<sup>153</sup>
- Thematic studies to support adaptation and mitigation in the region, or develop legislation/policy, such as the elaboration of the Environment Code in Ecuador under the current EUROCLIMA+ phase;

The quality of some of the platforms mentioned above appears to have suffered from:

- software glitches, which in the case of the BioMA platform was not resolved until 2017 when improvements to the simulation software were completed by DG JRC;
- a general lack of sufficient and reliable data inputs from of the least developed countries in LA that do not have the resources to collect, process and validate bio-physical, climatic, hydro-meteorological and other relevant data on a regular basis (or which has not been digitalised) to develop effective modelling and promote South-South cooperation with more advanced countries such as Argentina, Brazil, Chile, Mexico and Uruguay.

WATERCLIMA projects have been particularly successful in maintaining the networks they established with specialised institutions in the EU. In the case of ECOCUENCAS and ASF Ecuadorean counterparts maintain the platforms established with Peru and EU partners. This helped to advance talks on improving water resources management in transboundary areas in line with the landmark bilateral agreement in October 2017 to establish a bi-national commission to oversee the management of all nine shared river basins crossing the Ecuadorean border into Peru

#### 4.1.2.3 Finding: Persisting challenges in bi-regional dialogue

<b>Related indicators:</b>	I-411, I-414
<b>Sources of information:</b>	Documentary review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

Programmes evaluated in the E&CC sector have faced some limitations, either due to either their limited scope (such as EUROCLIMA in its first phase), or due to the lack of a clear focus in the calls for proposals to support NRM at the transboundary, sub-regional or regional levels according to relevant policies, strategies and action plans already in place (such as EUROSOLAR, WATERCLIMA). Furthermore, DEVCO did not do enough to exploit both internal and external learning mechanisms in order to focus policy dialogue on the lessons learned from its programmes. As a result, the EU has experienced difficulties in engaging decision-makers from government and civil society in the bi-

<sup>153</sup> The Atlas provides access to high quality resolution maps on soil diversity that are easy to interpret at the continental and eco-regional levels (supported by explanatory notes, use of graphics and images, etc.).



regional dialogue it has participated in and supported. For instance, the evaluation of EUROCLIMA I (2015) noted that:

*“a wide gamma of civil society organisations, both in Europe and in LA, remain on the lookout of solutions to the CC crisis and present alternative development proposals. It is suggested to intensify the efforts that are being promoted by the TA in order to increase the presence of other non-state actors in the programme through strategic alliances with LEDS LAC, Adapt-Chile, LatinClima and the Global Gender Office of the IUCN<sup>154</sup>, for example, to approach the civil society with initiatives and mutually enhance each other.”<sup>155</sup>*

Representatives from the government of Costa Rica and IICA interviewed during the field phase also noted that, although policy exchange at the EU-CELAC level has improved dialogue on Climate Change at the regional level, there is consensus far more needs to be done to ensure the dialogue fosters a more multi-sector dialogue process. For example, IICA informed the evaluation that dialogue on adapting agriculture to climate change should be improved between the Councils for Agriculture and Livestock for Central and South America (CAC and CAS) and the Environment Ministers' Forum. It was suggested this could be done by ensuring relevant CfPs under EUROCLIMA+ target (under its theme for Resilient Agriculture):

- multi-sector dialogue to implement the SDGs in line with existing strategies (such as ECADERT, ERAS and ERCC in Central America);
- the strengthening of sub regional institutions such as the Central America Commission for Environment and Development (CCAD), and the Subsidiary Body for Scientific and Technological Advice (/SBSTA) in South America (Peru); and
- promote the case for Agriculture developing its own institutional infrastructure to implement the Paris Agreement/NDCs (i.e. establish a subsidiary organism for Agriculture that has a regional office in Latin America).

However, to achieve this, EUROCLIMA+ would first need to establish a strong working relationship with the sub-regional institutions that have a legal mandate to conserve the natural environment and combat the effects of climate change; namely SICA, CAN and MERCOSUR. Indeed, the evaluation found that DEVCO does not have a permanent representative or established a permanent observer in any of these sub-regional organisations despite funding and supporting a number of sub-regional programmes relating to E&CC such as the CCAD and CEPREDENAC in Central America (SICA).<sup>156</sup>

However, while financial and technical inputs from the EU were found to be adequate to develop/expand RALCEA's NFP network (15 countries), centres of excellence from the LA and EU regions (25 centres) and international institutions (9 institutions such as UNESCO, WMO, the Inter-American Institute and AECID), the dependency of EU funding became apparent within the first year of project closure in 2015. Indeed, interviews indicate there was not enough time and resources dedicated to self-funding of these networks, or in developing full collaboration with initiatives such as the Conference of Water Directors from Ibero-America (CODIA), which has been operational since 2001 and is currently composed of 22 countries (including Spain and Portugal). For example, although RALCEA provided training to water professionals linked to the CODIA, it did not have funds to support the implementation of priority water-energy-food (WEF) activities identified under its Regional Strategy for implementation from 2015-2017. Also significant is the lack of resources dedicated to developing effective synergies with other EU-funded programme such as EUROCLIMA or WATERCLIMA. Indeed, interviews confirmed that only *ad hoc* coordination was developed, such as participation in specific events, or in the development of tools and methodologies relating to the REFRAN-CV water balance software to support the expansion of the Aquaknow database (run by DG JRC) in the LA region. For example, RALCEA carried out river basin pilot activities in seven LA countries to develop medium-term scenarios on climate variability, but these activities were not coordinated to support the projects active in river basin management under the WATERCLIMA initiative.

---

<sup>154</sup> LEDS LAC: Regional Platform for Latin America and the Caribbean; Adapt-Chile: Non-profit organisation focused to facilitate the adaptation process to climate change and environment global change in municipalities, cooperatives, governments and businesses; LatinClima: Climate Change Communications Network; IUCN: International Union for Conservation of Nature.

<sup>155</sup> Evaluation of EUROCLIMA (2015).

<sup>156</sup> For example, the Regional Programme to Reduce Vulnerability and Environmental Degradation (PREVDA) was implemented by the secretariat of SICA, the Central America Commission for the Environment and Development (CCAD), the Central American Regional Committee for Water Resources (CRRH) and the Coordination Centre for Disaster Prevention in Central America and Dominican Republic (CEPREDENAC) between 2006 and 2012.

Interviewees in Ecuador confirmed EU-CELAC dialogue should do more to clarify the regional approaches to be implemented in LA countries and how they are to be managed, ensuring greater understanding of Ecuador's national priorities in E&CC, as well as programmes of other key donors operating in the region. It was indicated this would support greater coherence to these priorities and their relationship with the SDGs and could be addressed according to AECID, through the GEF dialogue. Furthermore, EU-LA regional policy exchanges now by-pass the secretariat of CAN following the decision to remove the environment division in 2015. Similarly, interviewees in Peru and Costa Rica reiterated a similar view that EU-LA regional policy exchanges have tended to by-pass sub-regional institutions and their adopted policies and strategies such as the regional strategy for climate change (ERCC) adopted by SICA in 2011 and which is currently being revised.

Finally, interviewees (including implementing partners) stated that increased EU-LA policy exchanges over the past decade now means more needs to be done to ensure greater coordination and coherence is established both between relevant EU regional programmes and platforms and with those funded by other donors and international organisations.

## 4.2 JC 42 - Intra-regional cooperation

### 4.2.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 42: EU support contributed to creating sustainable opportunities for intra-regional cooperation, sharing and learning in the areas of climate change and biodiversity conservation	I-421 Number of EU supported initiatives (e.g. regional conferences) promoting South-South exchange of experience and good practices I-422 Existence and degree of sustainability of regional networks / institutional coordination structures (especially on climate change and biodiversity conservation) established / supported through EU regional interventions I-423 Number (and quality) of joint tools, models, actions developed by LA partners I-424 Number of tools, models, actions receiving long-term funding commitments from LA partners

### 4.2.2 Main findings and related evidence

#### 4.2.2.1 Finding: Important contribution to fostering intra-regional cooperation and learning on E&CC issues

<b>Related indicators:</b>	I-421, I-423, I-424
<b>Sources of information:</b>	Documentary review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

In Latin America, fora for intra-regional dialogue and learning on Climate Change and the conservation and sustainable use of natural resources include:

- the EU-CELAC summits and specific conferences, seminars, workshops, webinars, etc. of EU regional programmes<sup>157</sup>.
- the forums of the Ministers of Environment of LAC and for the Ministers of Agriculture in LA (through the CAC and CAS), which address key issues raised in the COPs and AP concerning E&CC;
- the above-mentioned scientific networks and platforms (under JC41) some of which continue to be supported through EUROCLIMA+;

EU regional support has been effective in developing intra-regional cooperation and learning through these channels. For instance, EU programmes (EUROCLIMA, RALCEA, EURO-SOLAR) have facilitated communication and networking between LA countries through their support in the development of National Focal Points (NFPs), which in the case of the EUROCLIMA programme has included support in bringing the NFPs together to work as a regional bloc in UNFCCC COPs in the run up to the Paris Agreement and which continues to date.

In addition, EUROCLIMA I and II contributed to fostering greater intra-regional cooperation on climate change by facilitating policy dialogue through:

<sup>157</sup> More information on EUROCLIMA+ regional events can be found at: <http://EUROCLIMApplus.org/intranet/registro/detalle.php?id=106&lang=es>

- funding of regional seminars involving all 18 LA countries and other stakeholders;
- funding of main stakeholders to participate in national, regional and global events (including side events at UNFCCC COP20 in Lima and COP 21 in Paris), which also enabled the EU to promote EUROCLIMA products and services as well as promoting greater coordination and collaboration between LA countries, donors, civil society, scientific and educational establishments, etc. (although increased linkages with the private sector appears to have been low);
- funding of presentations concerning EUROCLIMA products and services;
- TA to support the development of specific alliances through which EUROCLIMA products could be disseminated. For example, with the academic movement “Adapt-Chile” and LEDSLAC network promoting resilient and low emission development strategies;
- TA to support on-demand requests from LA countries to prepare project proposals designed to promote adaptation/mitigation measures (based on a pilot case strategy agreed with 17 of the 18 in 2015).

Moreover, in 2015 EUROCLIMA engaged UN Environment’s Regional Office for LAC (acting as the Secretariat of the Forum of Ministers of Environment for LAC out of its LAC Regional Office) to improve the exchange of information and experiences on CC. Interviews with representatives from the Regional Office stated this has helped increase political awareness on the benefits of strengthening the policy, legal and institutional framework on CC at the national, sub-regional and regional level. NFPs in Ecuador, Peru and Costa Rica also stated that EUROCLIMA’s employment of UN Environment’s Regional Office for LAC has facilitated institutional networking, in particular among the Ministries of Environment, or equivalent in the region. Furthermore, this development has also helped prioritise the agenda for the Forum of Ministers of Environment for LAC on three pillars of activity: i) electric transport, ii) development of the Global Environment Assembly to support policy and legal reforms, and iii) ecosystem-based adaptation designed to promote the cost-benefits of using nature to support adaptation rather than implementing public works.

The tools and methodologies detailed in JC41 were also found to have stimulated South-South cooperation in the form of knowledge transfer to support informed decision-making in areas such as water resources management (WATERCLIMA), connecting isolated communities to solar power and combatting the effects of climate change (EUROCLIMA). In all these cases the role of EU support has been to provide funding, equipment and TA through direct management from DEVCO to the region (EURO-SOLAR and WATERCLIMA), or through an administrative and delegation agreements concerning RALCEA and EUROCLIMA with DG-JRC and MS agencies respectively. Indeed, during the field missions, several interviewees highlighted the positive contributions of EUROCLIMA in enhancing intra-regional networking. For example:

- In the agriculture sector, IICA’s Working Groups have enhanced dialogue on developing a common approach to addressing the loss of agrobiodiversity and in the production of resistant varieties of rice, coffee, etc. to both abiotic and biotic stresses. This stimulated a participatory process leading to the elaboration of the Strategy for Sustainable Agriculture adapted to climate change for the SICA region (2018-2030).
- In the urban mobility sector, transport ministries have been brought together through the development of the MOVELATAM platform (managed by UN Environment). This facilitated elaboration of the Regional Report on Electric Transport, (2017) and, through EUROCLIMA+’s CfP for Urban Mobility, has helped Costa Rica enhance South-South cooperation opportunities by associating with larger countries from South America (such as Brazil and Chile) to establish the economies of scale it needs to enter into electric transport market.

More generally, evidence from the field phase confirms the positive contribution of EU regional programmes to intra-regional cooperation and learning on E&CC at multiple levels:

- In Costa Rica, interviewees from the government confirmed EUROCLIMA has enhanced LA countries ability to participate as a region bloc in the UNFCCC COPs (see Box 1), which has been instrumental in facilitating the expansion of South-South and technological cooperation relating to Climate Action and Sustainable Development.
- Interviewees from the water sector confirmed that RALCEA was instrumental in the identification and mapping of key actors in watersheds which was then applied in specific case studies (such as in Panama). Although the RALCEA network was abandoned approximately a year after closure of the programme in 2015, interviewees from Costa Rica stated they maintain ad hoc contact with their homologues in more advanced countries in the region and continue to apply relevant aspects of the programme in their water administrations. For example, the Ministry of Environment and Energy (MINAE) confirmed they identify problems

and the causes of bad watershed management associated with privately owned hydro-dams and provide guidance on how to reduce them, based on their trainings during RALCEA.

- In Ecuador, interviews in the Ministry of Environment confirmed EUROCLIMA+ has successfully established regional platforms in all 6 thematic areas of operations. NFPs and other stakeholders stated that these platforms have been created/consolidated due to EU funding of regional events, which they would otherwise not have attended. Furthermore, in some cases, the evaluation found informal dialogue is becoming increasingly popular to facilitate the interchange of technical information, good practices and lessons learnt due to ease and low cost associated with social media (such as Facebook, WhatsApp and webinars).<sup>158</sup> As a result, these platforms are highly likely to continue well beyond EUROCLIMA+. Nonetheless, barriers remain for both formal and informal dialogue to bring about results on the ground.
- In Costa Rica, Ecuador and Peru, the NFPs for EUROCLIMA+ were found to be the same focal points for UNFCCC and all three have a political and technical focal point to support the management of day-to-day operations. This has removed the risks associated prior to EUROCLIMA+ where the NFPs for EUROCLIMA were not the same as those for UNFCCC.<sup>159</sup> This situation has also helped soften the impact of staff rotation (i.e. loss of institutional memory). Moreover, the coming together of technical focal points and technicians from the region to interchange information and work experience has stimulated networking at the thematic level; notably in sectors such as energy efficiency and urban mobility.

Although it is too early to assess the results and outcomes of EUROCLIMA+, it can be highlighted that this new phase of the regional programme builds on the lessons learnt from the previous phase (in particular to support NFPs to be more proactive and to support action on the ground) and responds more closely to the priorities of the 18 countries involved.

Finally, the evaluation identified a small number of positive developments at the sub-regional level. In particular, WATERCLIMA successfully contributed to improving relations and cooperation between Ecuador and Peru through funding of two transboundary projects known as EOCCUENCAS and Water Without Frontiers. In both projects, TA was provided from EU countries (France and Italy) to improve water resources management in the Catamayo-Chira river basin and one of its tributaries (Macara River) respectively. This was instrumental in enhancing Ecuador's access to good practices concerning the water sector in Peru and Peru's access to local water harvesting technologies in Loja, Ecuador. Furthermore, interviews with the Prefecture of Loja, SENAGUA and OIEAU confirm triangular cooperation continues between the partners.

However, the evaluation also found that WATERCLIMA did not include adequate provisions in the budget to stimulate cross-fertilisation between these two projects, or with the third project dedicated to coastal zone water resources management. Indeed, as already mentioned in JC41, programmes such as RALCEA, WATERCLIMA and EUROSOLAR supported projects that had a strong country focus (excluding Ecuador and Peru).<sup>160</sup>

#### 4.2.2.2 Finding: Some challenges remain in sustaining and replicating intra-regional cooperation mechanisms and learning

<b>Related indicators:</b>	I-421, I-422
<b>Sources of information:</b>	Documentary review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

Interviewees in Peru and from the region (ECLAC and UN Environment) confirmed that regional programmes have not been able to translate improved dialogue and networking between the main stakeholders in the region into action at the regional, sub-regional or bilateral levels. Instead, support for mainly national projects prevails and this is not aided by the fact CfPs do not allocate sufficient time and resources to facilitate sub-regional or regional initiatives to be identified among interested parties.

<sup>158</sup> This appears to be particularly successful in areas such as urban mobility where a set of countries have demonstrated an interest to work together on developing electric bus routes (includes Ecuador, Peru, Chile, Uruguay and Costa Rica).

<sup>159</sup> Nonetheless, there are a number of countries that continue to have one NFP only (Cuba, El Salvador, Honduras, Nicaragua, Panama y Venezuela).

<sup>160</sup> Includes Argentina, Colombia, Brazil, El Salvador, Haití y México.

Moreover, several sources pointed out sustainability problems linked to the NFPs approach given they are “programme funded” and “focused actions”, as opposed to complementary support to initiatives embedded in the institutional framework of the LA countries involved. For example, ROM reports and external evaluations confirm the development and dependency on NFP networks pose a number of challenges due to regular staff rotation and/or overburdening public officials with additional workload. However, this finding relates more to EURO-SOLAR, RALCEA, WATERCLIMA which have now closed. Under EUROCLIMA+ the indications are (as mentioned above) that most countries now have the same NFPs who are responsible for over-seeing implementation of the Paris Agreement and have technical/alternate focal points assigned to support day-to-day dialogue and operations. However, EUROCLIMA+ has no formal mechanism in place to manage a regional agenda and implement decisions in coordination with national mechanisms, such as the CICC in Ecuador.

More generally, a majority of interviewees in Ecuador stated sustaining intra-regional cooperation has been highly challenging following the closure of the regional programmes mentioned. This has not been aided by the lack of clarity on the resources needed to stimulate such cooperation during both the implementation of the programmes and in the post closure phase. For example, interviews confirmed RALCEA was abandoned within a year of closure in 2014 due to the lack of a formal mechanism and budget in place to continue its agenda following its closure in 2015.

Interviewees in Costa Rica also believe EUROCLIMA+ has encouraged the adoption of a heavily sector-focused approach, which they argue reduces the scope for more integrated approaches to combatting the effects of CC that cross-cut sectors and centre on establishing sustainable development. At the sector level EUROCLIMA+ deals with the region primarily through its NFPs. This has precluded dialogue at the local/grass roots level in its main components. The evaluation found this has limited the opportunities for EUROCLIMA+ to identify key gaps concerning main actors at both municipal and national levels (i.e. gaps in articulation with decision-makers at both levels). As a result, some interviewees believe this approach means policy exchanges and networking may be difficult to sustain over the long-term especially where cross-sector dialogue has not been developed to support implementation of the national (and sub-regional) strategy on combatting climate change. Indeed, the evaluation found ample evidence to indicate more needs to be done to develop policy coherence in key sectors such as agriculture and environment. For example, in Costa Rica the Ministry of Environment and Energy has adopted a new policy on “Sustainable Production and Consumption” (in line with the Environment Ministers’ Forum/UNEP Agenda) while the Ministry of Agriculture has adopted a separate policy entitled “Sustainable Agriculture Adapted to Climate Change” (in line with the IICA Strategy).

Moreover, some joint tools, methodologies and actions developed with LA partners have faced shortcomings, which have affected their sustainability:

- The above-mentioned portals (e.g. DLDD-LA - see also JC41) have required modifications and updates that rely exclusively on DG-JRC (as opposed to institutions in the region), which has been criticised by some LA countries, especially as DG-JRC does not have an office in the region, or maintain a dedicated help desk services to support full access and application of the software concerned.
- Alternative software applications risk marginalising EU-funded initiatives. For example, several countries in the region have agreed to adopt the HydroBID software managed by IADB to support modelling in the water sector. Peru has become the first country to apply the software nationally. There are indications that as more countries apply HydroBID software, the need to use the Aquaknow database will decline;
- Inadequate peer reviews to provide feedback on the future development and application of software, in particular to support trans-boundary, triangular and sub-regional cooperation and collaboration.

Another challenge highlighted during some in-country missions relates to the fact that regional programmes such as EUROCLIMA+ do not have the communication strategies in place to encourage countries to cooperate in areas of mutual interest. Interviews in Costa Rica identified several communication gaps targeted at decision-makers in particular to support the case for policy and legal reforms, committing public investment to adaptation and mitigation and strengthening capacity areas such as disaster prevention and reduction. Examples identified during the field missions where communication needs to be improved include:

- Communicating the growing economic costs associated with the effects of CC/EI Niño phenomenon (in particular floods and droughts) as a percentage of GDP<sup>161</sup>;
- Communicating the effects of policy and legal gaps and overlaps at the national, sub-regional and regional levels. For example, in countries such as Peru, the Ministry of Agriculture and Irrigation is responsible for both land titling of indigenous territories in the Amazon and promoting agro-industrial expansion in the same region. In another example, the IPCC has still not agreed on green-house gas (GHG) emissions according to different agricultural practices. For example, the National Institute for Innovation and Technology in the agriculture and livestock sector confirmed there is no agreement on GHG emissions that are saved through the application of local varieties of crops under agro-diverse practices that are scientifically proven to retaining humic and fulvic acids that reduce GHG emissions, which is crucial to countries such as Costa Rica which are fully committed to decarbonisation of their economy;
- Communicating the need for coordinating mechanisms that address the reduction of costs associated with CC and disasters through both coordinated policy reforms and coordinated actions. The National Systems established in Costa Rica or Peru to combat climate change provide two examples that have so far not been targeted by EUROCLIMA's communication strategy;
- Communicating what is being done and achieved through recent/current bilateral cooperation programmes and projects and ensuring relevant programmes and projects are presented/discussed in regional events (to support the identification of good practices and lessons learned).

In Ecuador, there was consensus among all interviewees that CfP deadlines continue to be too short to allow project proposals of a bi-national, tri-national, sub-regional or regional nature to be identified. Due to this limitation it was reported by a majority of interviewees in the region that CfPs continue to focus their funding on project proposals that are in the vast majority of cases limited in scope (due to the short duration period applicable of between one and three years) and primarily focus on issues of national as opposed to sub-regional or regional interest. Furthermore, interviewees who had participated in CfPs under the EUROCLIMA initiative in Peru stated the CfPs capped budget ceilings for projects to a maximum of USD 300,000, which means it has not been possible to propose more substantive and far reaching projects. It was also reported in interviews that the CfPs do not provide a list of projects from which possible synergies could be identified in the proposals. The evaluation found that although the NFPs in EUROCLIMA+ had participated in workshops to determine the six verticle themes of the programme and agreed on the allocation of EUR 10 million they believe inadequate space has been established to allow them to provide feedback on the design, application and monitoring of the CfP process, which is centralised in the EUROCLIMA+ secretariat in Brussels. There was consensus among the majority of interviewees that the CfPs launched by EUROCLIMA in particular and by other relevant programmes in general, respond to short-term specific needs of LA partners through the provision of relatively quick funding, but they also stressed they should engage local partners more actively during the design phase to ensure funding conditions and project duration is allowed to meet different needs. Furthermore, interviewees found the more on-demand approach adopted by the horizontal line of EUROCLIMA+ to be a possible model for the six vertical themes where the CfP process is applied and. Finally, the evaluation found some interviewees advocated the adoption of peer reviews as a good practice to support the fine tuning of each new round of CfPs.

The evaluation found interviewees in Costa Rica, in particular from government and EU Member States, were particularly adamant that more needs to be done to: a) strengthen intra-regional cooperation by working with the relevant secretariats at the sub-regional level to ensure policy coherence is adequate to support and advance intra-regional cooperation; and b) ensure effective articulation is developed and maintained with decision-makers to enhance the ownership and alignment of regional programmes and projects; c) ensure there is a mechanism in place to coordinate regional, sub-regional and national agendas and enhance the participatory process at all levels including the subnational level.

Finally, in Peru, some interviewees highlighted that the EU-LA dialogue produced useful declarations and action plans, but because no formal mechanism is in place to implement them and report on progress it remains unclear (from the design phase) as to how regional programmes are expected to contribute to developing EU-CELAC dialogue or implement relevant priorities in the EU-CELAC Action Plan.

---

<sup>161</sup> For example, ECLAC has calculated that flooding caused by Hurricane Mitch in Honduras alone amounted to approximately USD 3.8 billion, which was equivalent to 70 per cent of GDP in 1998. In addition, ECLAC reported 7,000 people lost their lives and 1.5 million people were made homeless.

## 4.3 JC 43 - Legal, policy and institutional environment

### 4.3.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 43: EU support contributed to <b>the strengthening of legal, policy and institutional environment in LA countries at the national and sub national levels</b> in the areas of environment and climate change, in line with regional best practices and international (including EU) standards	I-431 (Policy) Evidence of strengthened policy/strategy formulation processes, including increased analytical underpinning I-432 (Policy) Evidence of an active role played by civil society and private sector in policy formulation I-433 (Policy) Environmental/Climate change policies integrate a gender equality approach and respond to particular needs of marginalised groups (including vulnerable farming communities and indigenous peoples where relevant) I-434 (Institutional) Evidence of increased capacity to mobilise climate finance (national and international) to advance adaptation and mitigation strategies I-435 (Institutional) Number of countries that are in the process of establishing a sound governance framework to ensure the protection and use of biodiversity remains sustainable I-436 (Institutional) Degree of integration of EU and international standards and regional best practices in tools, models, actions developed for policy implementation

### 4.3.2 Main findings and related evidence

#### 4.3.2.1 Finding: Some contributions to policy reforms and institutional strengthening, but less so at the regional level

<b>Related indicators:</b>	I-431, I-432, I-434, I-435, I-436
<b>Sources of information:</b>	Documentary review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

The evaluation found that EU initiatives such as EUROCLIMA (I, II, +), WATERCLIMA, and EURO-SOLAR have made positive contributions to policy and legal reforms at the both the regional and national level in the region. However, there was less conclusive evidence to indicate RALCEA achieved similar developments, with some interviewees claiming the programme had not worked with key centres of excellence for water that have a track record for advocating policy and legal reforms.<sup>162</sup> As highlighted above (see JC42), EUROCLIMA I and II have contributed to a number of reforms such as:

- Supported IICA to elaborate the “Strategy for sustainable agriculture adapted to climate change in the SICA region (2018-2030)” and a common approach to addressing the loss of agrobiodiversity and promoting the sustainable use of resistant local varieties of rice, coffee, etc. (to both abiotic and biotic stresses). This strategy is designed to help countries in LA (to integrate adaptation to climate change in their own national policies<sup>163</sup>. Support to the Ministry of Environment in Ecuador to elaborate the Environment Code and its Regulation, which was adopted by the government in 2017.
- Supported efforts of several countries to integrate climate change into sector and national policies, including Costa Rica, Ecuador, Mexico and Peru. The Ministry of Environment in Peru confirmed EUROCLIMA has indirectly facilitated legal and policy dialogue on elaborating a Framework Law on climate change, which was adopted in April 2018 and provides guidance for the first time on not only the integration of mitigation and adaptation to climate change in national and sector policies, but also implementation, monitoring, reporting, etc.
- Contributed to strengthening national policy frameworks through the implementation of a broad range of studies, such as:
  - The identification of “no-regrets” adaptation and mitigation measures to be prioritised through pilot actions in the LA region carried out by ECLAC.

<sup>162</sup> Interviewees in Costa Rica stated there was a strong focus on working with government-based centres (such as in Nicaragua and Bolivia), without including some key universities and research centres on water in the region.

<sup>163</sup> The evaluation was informed by IICA that the strategy has not been accepted by the ALBA countries (Bolivia, Ecuador, Nicaragua and Venezuela)

- Climate Change and Risk Management: Vulnerability Analysis of Coastal Marine Infrastructures in Latin America;
- Climate Change and Soil Degradation in Latin America: Scenarios, Policies and Responses;
- Best Practices for Adaptation to Climate Change in Rural Latin America: Options and Lessons from the Sustainable Livelihoods Approach;
- Nationally Appropriate Mitigation Actions in urban areas in Latin America: tools and successful experiences.

According to the EU's publication on Regional Cooperation in Latin America - Experiences in Climate Change, Renewable Energy and Water (2015), the tools and training exercises funded by EU regional programmes have contributed to developing a more integrated approach to water resources management in the region. For example, this has happened in Taricá (Peru), as well as in the Ramsar site at Moyúa, Playitas and Tecomapa (Nicaragua).

Stakeholders associated with the EURO-SOLAR and WATERCLIMA programmes also informed the evaluation of important legal developments that have taken place following their closure in 2014 and 2017 respectively.

EUROSOLAR was instrumental for the Ministry of Electricity and Renewable Energy (MEER) in Ecuador regarding:

- The adoption of a Plan of Action for the Rural Electrification Programme in Isolated Areas (2013-2019), which is being supported by IADB funding. According to MEER the programme builds on weaknesses identified in the EUROSOLAR programme such as the need to employ private companies to install the solar power units in isolated communities and train trainers on operation of the installations, including the recovery of energy tariffs to support maintenance of micro-networks.<sup>164</sup>;
- The reform of the national policy on rural electrification, supported by the adoption of the Law on Public Service in the Electric Power Sector (2015), which officially supports the promotion of solar energy in isolated community buildings and schools. According to interviewees from MEER the policy has incorporated lessons learned from the EUROSOLAR programme, such as the need for all units to be sealed to prevent insect infestations;
- The elaboration of the normative framework for the above-mentioned Law, which is expected to gain presidential approval before the end of 2018, will facilitate further revisions of the national policy on rural electrification.

WATERCLIMA was instrumental in advancing legal and policy reforms, in particular in bringing the countries of Ecuador and Peru together to adopt a landmark agreement in 2017 that commits them to establishing a bilateral commission dedicated to developing water resources management in all nine shared watersheds along their border. Other contributions include the on-going review of the regulatory framework for the new Law on Water Resources, Access and Use in Ecuador and supporting The Mar del Plata city of Argentina improve policy on water resources management by bringing different stakeholders together to discuss the main findings of studies on the quantity and quality of water available.

WATERCLIMA, EUROSOLAR and more recently EUROCLIMA+<sup>165</sup> have been instrumental in strengthening the capacity of national institutions carry out important reforms in the water, renewable energy and environment sectors in several countries. Meanwhile, the evaluation found that although the RALCEA initiative established a strategic plan on capacity building to meet the needs of the LA partners involved<sup>166</sup>, it was unable to establish the consensus needed between its partners to ensure the network would continue to be funded and promoted beyond the closeure of the programme in 2015. According to interviews with former partners the network has only met once since the programme closed and that its main achievement has been to link up water specialists who still contact each other on an ad hoc basis mainly for information purposes.

---

<sup>164</sup> MEER confirmed this has also helped increase coordination and cooperation with the Ministries of Education and Health (initiated under EUROSOLAR) as well as government institutions responsible for telecommunications

<sup>165</sup> The first phases of EUROCLIMA primarily focused on promotinig awareness on the impact of the effects of climate change through a series of studies, regional workshops, networking, etc. throughout Latin America.

<sup>166</sup> This included support to developing a regional water balance to support planning and adaptation to climate change in various sectors such as agriculture, water supply for human consumption and sanitation and renewable energy.



Evidence collected in Ecuador and Peru confirms the WATERCLIMA initiative was particularly successful in fostering alliances between the national authority responsible for water and specialised institutions from the EU, which continue to date despite the programme's closure in 2017. This has strengthened the following institutions ability to seek advice and support from their EU counterparts, which they confirmed have contributed to the following evolutions in these countries (see also Box 3 below):

- SENAGUA stated that the ECOCUECAS project has strengthened its ability to learn about EU water practices as well as from the National Water Authority (ANA) in Peru where access to its more advanced water legislation has supported the ongoing formulation of its regulatory framework for the Water Law adopted in 2014. SENAGUA stated it has already secured a Ministerial agreement to apply important elements taken from the water resources management developed in the Catamayo-Chira watershed such as the creation of a more decentralised system of integrated water resources management supported by a redistributive payment system whereby water tariffs are ploughed back into the same watershed from where they are collected (rather than into a centralised fund as is currently the case). SENAGUA stated that the new regulatory framework will be endorsed by a Presidential Decree before the end of 2018. It is planned the new regulatory framework will be applied in Loja province first and then replicated throughout the country.
- The Prefecture of Loja and counterpart in Peru (the Regional Government of Piura Department) stated they have increased capacity on water resources management in the Catamayo-Chira river basin thanks to the Water without Frontiers project (ASF) funded under WATERCLIMA. For example, The Regional Government confirmed it has learned how to replicate local rainwater harvesting technologies from Loja (albarradas)<sup>167</sup> to support irrigation in the Macara River catchment that straddles both countries. This has led to the development of South-South cooperation which has been instrumental in forging trans-boundary management of the Catamayo-Chira river basin through: i) development of a bi-national association and platform of municipalities and other stakeholders to coordinate the management of water resources; ii) the development of a diploma in transboundary water management (at CATIE, Costa Rica); ii) the approval of 12 municipal ordinances to establish the Regional Trust Fund for Water (FORAGUA) in the province of Loja (Ecuador) and a regional ordinance from the National Water Authority (ANA) allowing the regional Government for Piura (Peru) to establish the Regional Trust Fund for Water (FORASAN) supported by alliances with national and international partners including SUNASS, TNC, World Bank, USAID and the Swiss Agency for Development and Cooperation (SDC)<sup>168</sup>.
- The ASF project has also been instrumental in strengthening institutional capacity through the Prefecture's decision to create the Direction for Watersheds and Biodiversity in Loja in 2017, as well as facilitating other developments, such as the formulation of a binational project to install early warning systems in critical places in both sides of the watershed.<sup>169</sup>
- In 2017 the Foreign Ministers of Ecuador and Peru signed an official agreement to set up a bi-national commission to manage water resources in all 9 shared river basins. In March 2018 the first meeting took place on setting up the bi-national commissions. A watershed management plan is currently being identified in the transboundary watershed of the River Zarumilla (completion expected in September 2018).
- The Coastal Zone Management project has strengthened municipal authorities manage scarce water resources. For instance, La Paz municipality (in Baja California State, Mexico) and the Mar del Plata city council (Argentina) confirmed the adoption of coastal zone management plans, which include the incorporation of an aquifer management plan and water tariffs designed to cover operation and maintenance costs of the public bodies responsible for water supply and sewerage systems in these cities<sup>170</sup>.

---

<sup>167</sup> "Albarradas" are an ancestral system of ponds or walls that were originally dug in Loja province to replenish the upper aquifer at strategic points. The captured water then flows underground to springs further down the watershed where it is captured in reservoirs for irrigation.

<sup>168</sup> Since 2016 FORAGUA and FORASAN have been funding actions designed to conserve the ecosystems of the Catamayo-Chira river basin in accordance with a Binational Action Plan.

<sup>169</sup> The evaluation was informed that this project had just been approved for funding by EUROCLIMA+ during the mission (July 2018).

<sup>170</sup> Evidence taken from the final report of the Coastal Zone management project and skype interviews with CATIE, responsible for the implementation of the project.

Likewise, EUROSOLAR was also found to have strengthened the capacity national authorities responsible for renewable energy. For example, in Peru the Ministry of Energy and Mines (MEM) confirmed the programme had contributed to the successful installation of 130 solar-powered kits in remote areas from which the Ministry identified important lessons that have been applied in its sector strategy review and helped produce the following developments:

i) reform of the normative framework for energy (2012) supported by a Plan of Action for universal access to energy in which expansion of solar energy kits was included for isolated communities; ii) implementation of the Mass Solar Energy Programme (Programa Masivo Fotovoltaico - PMF) to install (through private companies – 15 year contracts) and maintain (through a specific energy tariff) 200,000 solar modules in isolated rural schools (similar to EUROSOLAR) and health centres and housing (new in PMF), which helped increase coordination and cooperation with the Ministries of Education and Health (initiated under EUROSOLAR).

EUROCLIMA II and + have also provided concrete evidence of institutional strengthening at the regional as well as national level, although this has not been the case at the sub-regional level so far. For example, EUROCLIMA II has contributed to strengthening the capacity of the Environment Ministers' Forum to implement its main decisions and action plan by engaging the Regional Office of UN Environment to act as its secretariat since 2016. It has also helped ECLAC's Sustainable Development and Human Settlements Division develop capacity in areas such as adaptation and mitigation to climate change through the realisation of studies. At the national level it has provided on-demand services that have strengthened capacity in areas such as natural resources management. For example, interviews in Ecuador confirmed EUROCLIMA+ had provided valuable technical assistance in elaborating the Environment Code, which was adopted in 2017. It has also increased capacity to mobilise climate finance (national and international) to advance adaptation and mitigation strategies by way of TA designed to support LA countries prepare project proposals and identify the most viable sources of climate finance to fund priority adaptation/mitigation measures in accordance with their national development policy goals and national climate change strategy. This new capacity is being consolidated in EUROCLIMA+ to support the implementation of the NDCs agreed under the Paris Agreement.

Finally, the development of tools, methodologies, and specific actions have all strengthened institutional capacity to implement international agreements through national policies, strategies and plans relating to E&CC. Some of the abovementioned regional software programmes and developments (see I-1.3.2) have been integrated into its main umbrella programmes managed by the European Commission, such as Aquaknow managed by DG-JRC, or which conform to international standards, for example, the production of atlases produced by EUROCLIMA for soils and drought. The evaluation understands from its interviews with soil experts that soil data harmonisation is seen as an important milestone to facilitate national action plans dedicated to combatting soil erosion and safeguarding food security.<sup>171</sup>

Despite the positive achievements identified above, the evaluation identified some shortcomings concerning policy implementation and the development of synergies with other interventions supporting the strengthening of institutional capacity at all levels (regional, sub-regional and national) in LA countries. Indeed, the evaluation identified several cases, where policy reforms and new laws have been adopted, but their implementation has generally been slow with limited results so far, especially in relation to governance and law enforcement issues.

According to interviews, policy development at the regional level has been slow and difficult to achieve so far, although the Paris Agreement has provided an important framework for EUROCLIMA to increase its added value. This is due to several factors that include: i) highly complex national constitutional, legal and policy frameworks that make it difficult to harmonise policies and laws at the transboundary, sub-regional and regional levels; and ii) the absence of regional institutions with a mandate to promote integration, effective governance structures and standardised methods for data collection, processing and validation; iii) the regional programmes have not focused support at strengthening capacity and implementation of policies and strategies adopted at the sub-regional level.

---

<sup>171</sup> An interviewee in Costa Rica also stated this process may also help address the current gap concerning data on the fixation of carbon dioxide in organic soils as opposed to ones containing chemical inputs for agro-industrial farming. The evaluation was unable to interview JRC on the current status of the Aquaknow programme, or its ongoing support concerning the digitalisation and harmonisation of soil data that is currently being managed by the LAC Network of Soil Bureaus with support from the European Soil bureau Network. This was due to recent changes in staff responsible within JRC.

At the national level, despite the introduction of new laws relating to rural electrification and water in Ecuador, they still need regulatory frameworks to be approved before they can implement them. Similarly, in Peru, interviewees highlighted that more needs to be done to finalise its regulatory framework for its Law on Climate Change. Indeed, the evaluation found there is a need in Peru (and most other countries in the region) to identify and apply the linkages that exist between adaptation and mitigation, which are generally interpreted in Peru as two separate initiatives in sector policy developments as opposed to being inextricably linked (i.e. adaptation can contribute to mitigation of GHGs and vice versa).

In Costa Rica, interviewees noted that significant progress was made in addressing environmental degradation and climate change, but generally regional programmes have shortcomings because they have not done enough to:

- evaluate the performance and results of LA countries own policies, strategies and action plans;
- provide fiscal incentives to widen Renewable Energy (which in Costa Rica is not a priority due to the dominance of the public sector in the generation of hydro-electric power); and
- promote a coordinate multi-sectoral approach to environmental governance (in Costa Rica there are land conflicts between sectors and water quantity and quality is not managed at the watershed level; rather by conservation areas).

Regarding synergies, interviewees from the EU MS and other donors stated a major shortcoming is the general lack of donor/project mapping undertaken by regional programmes to aid the identification of synergies with regional programmes of MS and other donors, (which should also be supported by a similar exercise at the bilateral level). Currently, there are no provisions for such mapping to be developed and updated annually (which could be coordinated through national agency responsible for international cooperation, such as the Peruvian Agency for International cooperation - APCI). In Ecuador, the EUD confirmed a mapping exercise was on-going to identify all main donors and their programmes in the country, but the lack of management of such mapping at the national level (including regional programmes operating in the country) reduces the scope for proactive policy dialogue at the intra and inter-ministerial levels as well as at the bilateral, sub regional/regional levels.

#### 4.3.2.2 Finding: Increased participation of the civil society, but limited engagement of the private sector

<b>Related indicators:</b>	I-432
<b>Sources of information:</b>	Documentary review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

EUROCLIMA and WATERCLIMA have explicitly recognised the importance of engaging civil society in all main activities, including policy formulation. EU efforts since the Santiago Declaration in 2013 to enhance the participation of civil society in E&CC issues have contributed to making dialogue and the decision-making process more inclusive. As highlighted in some interviews, this has also been aided through policy and legal reforms at the sub-regional and national levels, in which participation of civil society is now mandatory. The vast majority of interviewees confirmed that although participation in policy dialogue is an important, for participation to be effective it is necessary that civil society also participates in decision-making following consultations to ensure its needs and rights are taken into account.

According to DG CLIMA more needs to be done through EUROCLIMA+ to develop the private sector's participation in policy reform to advance global commitments on reducing emissions (mitigation). It cited:

- the need for coordination with EU initiatives on mitigation being promoted by DG GROW (green economy drive) and the FPI in Argentina (energy efficiency), Brazil and Mexico (low carbon business action);
- DG CLIMA's dialogue with the private sector in Latin America to increase investment in mitigation measures (especially in Argentina, Brazil, Chile, Mexico and Uruguay)<sup>172</sup>;

<sup>172</sup> Interviews with DEVCO and DG Clima in March 2018 confirmed that due to staff shortages the a representative from DG Clima had so far not participated in any EUROCLIMA events in the region to date, but

- coordination with other donors, especially the MS on mitigation issues.

There is also consensus among interviewees in Costa Rica that not enough has been done to ensure the private sector has a more prominent voice in the formulation and implementation of EU regional programmes. One exception highlighted concerns the Urban Mobility component of EUROCLIMA+ where there is consensus that several countries have been encouraged to associate to develop economies of scale that aim at attracting investment from the private sector, in particular concerning the provision of electric public transport. Indeed, as already mentioned above, the government of Costa Rica confirmed this strategy represents a viable way of entering into electric bus routes that would be out the country's reach at the bilateral level.

Indeed, the evaluation found regional programmes such as EUROCLIMA+ provide significant scope for increasing private sector participation to support already existing South-South cooperation and triangular cooperation with private companies from the EU. The evaluation found this is already being illustrated in Ecuador, where MEER and SENAGUA are committed to working with the private sector in the installation and maintenance of the solar power kits in isolated communities and in the collection of water user tariffs respectively.

At a broader level, to bring about a wider process of legal, policy and institutional reforms regional programmes such as EUROCLIMA+ need to work more closely with national structure/mechanisms, such as the National Systems being established in Costa Rica and Peru, to ensure its regional workshops and conferences use these cases for learning with all key stakeholders at these events (civil society, private sector, unions, academic research institutes, bilateral projects, etc.) and develop an agenda to identify and present similar national systems to their respective decision-makers. Similarly, a similar approach needs to be developed with the science and research sector, given there is a need to support scientific community conduct research where there are legal, institutional and/or resource gaps or a lack of recognition and inclusion of marginalised groups such as indigenous groups<sup>173</sup>youths, etc.

#### 4.3.2.3 Finding: Limited integration of horizontal objectives

<b>Related indicators:</b>	I-433
<b>Sources of information:</b>	Documentary review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

The document review found that all E&CC programmes evaluated, provided information to confirm they incorporate sex-disaggregated information on participation in main events. However, specific activities and funding targeting gender balance in accessing training, information and resources was found to be absent in both the design and implementation phases of these programmes. For example, interviewees in Peru and Costa Rica confirmed that more needs to be done to fully integrate gender equality into the CfP process to ensure policy reforms and E&CC actions on the ground reflect both national and EU policy on gender equality, indigenous peoples, good governance, etc. Similarly, interviews in Ecuador noted that gender equality could and should cross-cut all CfPs more explicitly, in particular where women are most proactive, such as in resilient food production where rural women are often the main knowledge holders.

---

that agreement had been reached that DG Clima would be represented in future events, such as the regional gathering planned in Argentina in September 2018 to coincide with the XXI Environment Ministers' Forum for LA.

<sup>173</sup> For example, indigenous peoples have specific cultural views on water (and rights) given water, forests, agro-biodiversity, etc. are all considered as "living" and, therefore, have rights that must be respected.

## 4.4 JC 44 - Broader results

### 4.4.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 44: Positive results have been achieved in reducing the loss of biological diversity and curbing greenhouse gas emissions at the regional/sub regional and national levels	I-441 (Environment/biodiversity) Evolution in biodiversity loss (Convention on Biological Diversity/Aichi Targets) I-442 (Environment/biodiversity) Number of hectares of protected areas with management plans in operation I-443 (Climate change) Number of specific mitigation or adaptation actions (e.g. Nationally Appropriate Mitigation Actions) implemented and degree of implementation

### 4.4.2 Main finding and related evidence

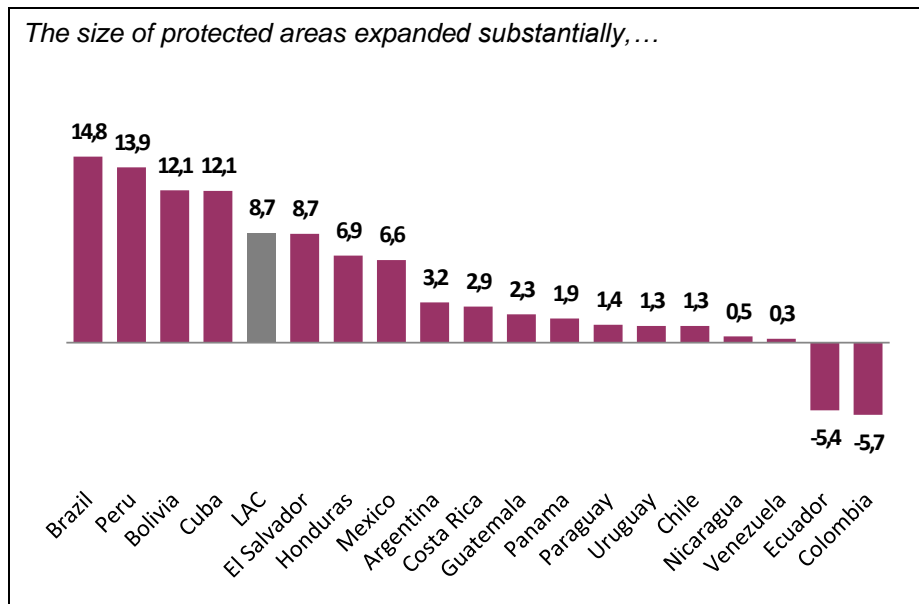
#### 4.4.2.1 Finding: Persisting high vulnerability to the effects of environmental degradation and climate change despite progress in various areas

<b>Related indicators:</b>	I-441, I-442, I-443, I-444
<b>Sources of information:</b>	Documentary review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

#### Protected areas

To help slow down deforestation rates in LAC there has been more than a doubling of the number of protected areas in the region between 1990-2008 (marine and terrestrial) – see Figure 3.

Figure 3 Change in size of terrestrial protected areas 2000-2016, in percent



Source: *Particip*, based on data from UNEP and the World Conservation Monitoring Centre, accessed through World Development Indicators

In some countries such as Brazil and Mexico political measures (such as the creation of the Amazon Fund in Brazil, or increased funding for forest management in Mexico) have been instrumental in reducing deforestation rates by as much as 74% between 1990 and 2010 (UNEP). In Peru, it was confirmed during the field mission that Protected Areas have increased to 76 since 2009, of which 66 have Presidential Decrees<sup>174</sup>. Total protected area amounts to 22.6 m hectares (17.34% of land mass) of which 403,915 ha are marine protected areas (0.41% of marine waters).<sup>175</sup>

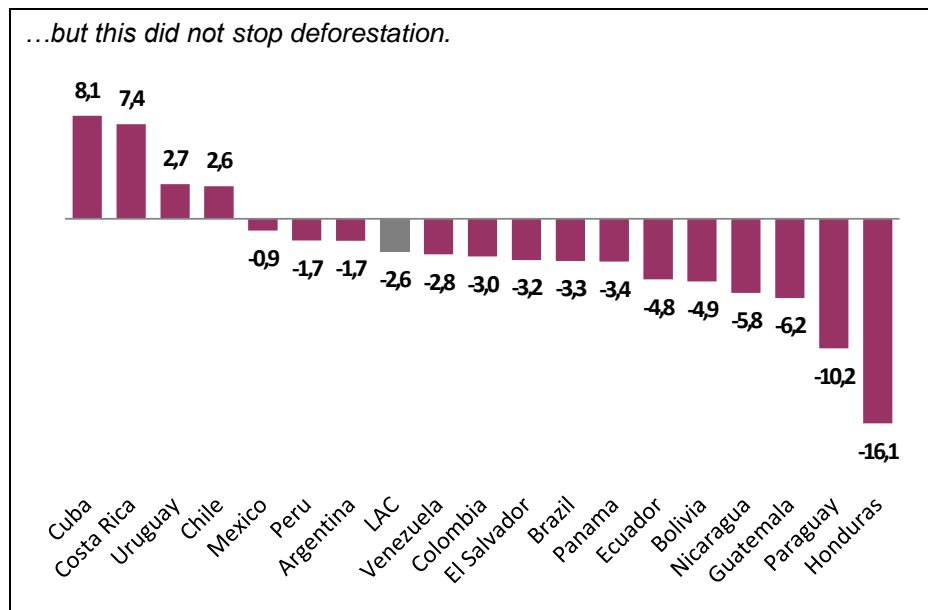
<sup>174</sup> The National Service for Protected Areas (SERNAMP) stated this total includes 10 Protected Areas categorised as “private transitory areas” that do not have to be renewed by the State.

<sup>175</sup> This confirms Peru has met Aichi Target 11 on protecting at least 17% of terrestrial and inland water areas. However, it has not met the 10% target for marine protection.

The role of the EU regional cooperation in bringing about the above results has been indirect through the strengthening of policies, raising awareness on E&CC issues and mobilisation of decision-makers at the highest level – see JC41, JC42 and JC43. Some interviewees highlighted the positive effects of the COP 21 on the forest protection and agriculture sectors. The EUD in Guatemala also highlighted that the support on the development of the Belize-Guatemala buffer zone has been successful in reducing deforestation and is appreciated by the Guatemalan partners. Nonetheless, the direct contribution of EU regional cooperation for E&CC in the period 2009-2017 amounts to EUR 63.5 million (excl. LAIF), which it can be argued has been relatively small when compared to bilateral donors such as Germany and Norway, which have signed a Joint Declaration of Intent between GIZ, the Norwegian International Climate and Forests Initiative (NICFI) and the government of Peru to provide NOK 3.6 billion (approximately EUR 396 m.) and TA (from GIZ) over three phases between 2014 and 2020 to reduce forest deforestation and forest degradation in Peru alone. However, the decision to increase the budget of the EUROCLIMA+ programme with commitments already agreed to provide EUR 80 million in the first year and similar commitments in subsequent years provides clear evidence that the EU now recognises climate change is a priority area of cooperation in the region.

Despite some progress in the expansion of protected areas, latest figures from UN Environment/REDD+ indicate deforestation rates although slowed until 2014, have increased in several countries since this date. This has been the case in Brazil, where political turmoil, inadequate cooperation and coordination between federal and states agencies responsible for the environment and expansion of the private sector into the Amazon region have all contributed to the loss of forest cover. More generally, most countries in the region have displayed some of the highest rates of deforestation and forest degradation worldwide between 2000 and 2015, as can be seen in the figure below.

Figure 4 Change in forest cover 2000-2015, in percent



Source: *Particip*, based on data from FAO, accessed through World Development Indicators

Interviews in Ecuador and Peru highlighted that weak law enforcement and gaps in the legal framework<sup>176</sup> remain major barriers to securing the effective application of environmental laws and policies that are needed if they are to meet international agreements, targets and goals.

#### Biodiversity loss

Reliable data still remains a problem to determine biodiversity loss. This is due to a lack of standardisation in monitoring, reporting and verification (MRV) systems needed to track changes in land cover (including the size and quality of forest cover). This issue is being addressed through REDD+, although the EU is not directly supporting REDD+ readiness in the LA region; instead it

<sup>176</sup> E.g. in Ecuador, there is currently no legal framework in place that supports dedicated to land use management at the watershed level. This makes it highly challenging to achieve effective adaptation in the water, ecosystems and resilient food components of EUROCLIMA+.

contributes to climate funds which are in most cases managed by the World Bank, Inter-American Development Bank or UNREDD. According to FAO (2010) LAC accounted for 23 per cent of the world's forests (915 m. hectares). However, biodiversity loss (in terms of forest coverage) between 1990 and 2005 was estimated at almost 69 million hectares globally (7 per cent of LAC forest cover) confirming LAC had the highest deforestation rate in the world in this period. Of particular significance is the fragmentation of forests (forest degradation) which UN Environment's State of Biodiversity in LAC (2010) confirms threatens the viability of many species to adapt to CC and is leading to the breakdown of ecosystems to operate properly. This situation, it believes will have a knock-on effect ecoservices that are vital for the rural economy (and the promotion of sustainable cities).

The B4LIFE global initiative funded by the EU has also confirmed more needs to be done in LA countries to address biodiversity loss. This is also reiterated in a recent OECD report entitled "Biodiversity, Land Use and Ecosystems – What's happening 2017-2018", which highlights the need to, among others:

- ensure national policies deliver greater biodiversity benefits per unit of investment;
- improve synergies and minimise trade-offs concerning biodiversity, ecosystems and agricultural policies;
- improve and standardise indicators on land cover and land cover change to support more effective governance structures (in particular concerning monitoring, reporting and verification (MRV) and enhancing law enforcement).

#### Genetic diversity

LAC is the world's richest genetic reservoir (UN Environment). Agrobiodiversity, for example, is particularly rich and the origin of a large number of the world's foods which were domesticated by indigenous peoples from the region (cocoa, maize, potato, tomato, etc.). However, agriculture policies in LAC promote modern farming practices (using chemical inputs and improved seeds) that have had a dramatic effect on agrobiodiversity loss. High outward migration of men and youths in search of work has in many cases left women as the last remaining knowledge holders of local practices and technologies that have been passed on for thousands of years. Recognition and value of women as knowledge holders of seeds and crops that are crucial in supporting adaptation of small holders has been slow (FAO), although concerted efforts over the last five years to conserve this knowledge through *ex situ* (germplasm banks) and *in situ* (on-farm) conservation of agrobiodiversity has been promoted in countries such as Peru and Chile (ITPGRFA/FAO), or through legal reforms such as in Ecuador, where the evaluation was informed the government has adopted a new law in 2014 designed to protect the country's agro-biodiversity and seeds.<sup>177</sup>

#### NAMAs

The UNFCCC NAMA Registry confirmed Nationally Appropriate Mitigation Actions (NAMA) registrations have grown constantly in the LAC region since 2013 and that in 2015 that LAC was the region with most NAMAs registered (39 of a total of 129). This is broken down as follows:

- 13 countries have sought support for the preparation of NAMAs;
- 19 countries in LAC have sought support for implementation of NAMAs; and
- 7 countries have registered NAMAs for recognition.<sup>178</sup>

Mitigation actions have generally focused on, in order of importance: energy, urban buildings, agriculture, waste management, transport, industry and forestry. The total financial support sought in the LAC region in 2015 amounted to:

- preparation: USD 8.06 m.;
- implementation USD 2.04 m.

The vast majority of financial requests directed at the EU have targeted grants from LAIF. Analysis indicates financial requests to carbon funds has been very low among all regions, including LAC confirming knowledge about, and access to carbon funds remains a major issue. During the field

<sup>177</sup> Organic Law on Agrobiodiversity, Seeds and Promotion of Agriculture, June 2017. FAO confirmed the Regulation for this law was still being finalised in Ecuador at the time of the evaluation in July 2018.

<sup>178</sup> Interviews with GiZ in Costa Rica confirmed German cooperation (Action Clima II programme) and the UK Department for Business Energy and Industrial Strategy (BEIS) has supported a significant NAMA project entitled, "Low-carbon coffee Costa Rica" involving 6,000 coffee farmers and 50 processing plants in the application of climate smart cultivation and processing methods. In addition, GiZ has supported the NAMA project "Reducing carbon and water footprints in banana plantations" that includes a practical guide to quantify, measure and reduce carbon and water footprint to promote scaling up of the practice in Costa Rica and other banana producing nations in LA.

mission to Peru, some interviewees highlighted the important role EUROCLIMA+ can play in supporting the 18 countries implement their NDCs (and NAMAs). In particular, according to MINAM, this is aided by the fact that the programme can mobilise finance and TA support quicker than most of the beneficiary countries in the region.



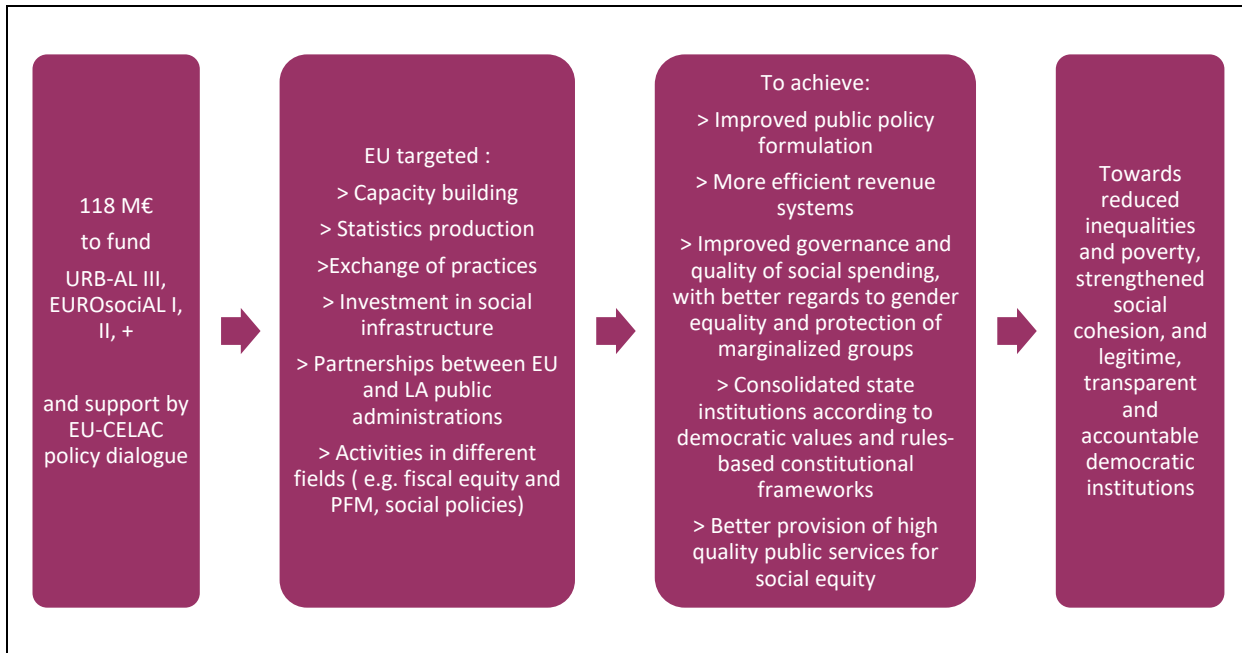
## 5 EQ 5 - Social equity

### To what extent has EU support contributed to the strengthening of social equity?

This EQ covers four main dimensions/judgement criteria:

- JC 51: EU-LA policy exchanges and institutional networking
- JC 52: Opportunities for intra-regional cooperation, sharing and learning
- JC 53: Legal, policy and institutional environment
- JC 54: Results.

Figure 5 The EU regional development support to social equity in LA from 2009 to 2017



### 5.1 JC 51 - EU-LA policy exchanges and institutional networking

#### 5.1.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 51: EU support contributed to fostering EU-LA policy exchanges and institutional networking in the areas of social and fiscal policies	I-511: Number and quality of EU-LA dialogue platforms established in the area of social and fiscal policies (incl. frequency of exchange through these platforms) I-512: Degree to which the supported platforms have created opportunities for policy exchanges, sharing of information and networking (between the two regions) beyond these platforms

#### 5.1.2 Main findings and related evidence

##### 5.1.2.1 Finding: The strengthening of social equity has been at the center of the EU-LA cooperation framework

<b>Related indicators:</b>	I-511
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Documentation on EU-LA cooperation</li> <li>• Thematic papers/studies on Social Cohesion</li> </ul> Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

Themes related to social equity have been a central element of the EU-LA partnership since the early 1990s and the transition to democracy of several LA countries. Social cohesion explicitly became a top priority of the EU-CELAC bi-regional agenda at the Guadalajara Summit in 2004.

In 2006, in preparation of the EU-LAC Summit in Vienna and for the first time, a High Level EU-LAC Forum on Social Cohesion was held in Brussels in March 2006 which discussed the efforts to combat social inequality, poverty and exclusion in Latin America, the Caribbean and the European Union. The forum focused on the need for integrated strategies for social cohesion, the development of cooperation programmes and mobilisation of public policies in support of social cohesion. The first formal event took place in Chile in September 2007 and the EU supported several initiatives in this area in the following years, including large thematic studies carried out by ECLAC and other key institutions.

The 2010, 2013 and 2015 Action Plans adopted in the EU-CELAC summits all contain a key area with a strong focus on social equity: “Education and employment to promote social inclusion and cohesion”. The Madrid Action Plan (2010-2012) was adopted in accordance with the Final Declaration of the Sixth EU-LAC Summit of Heads of State and Government, held in Madrid, Spain, on 18 May 2010, entitled ‘Towards a new stage in the bi- regional partnership: innovation and technology for sustainable development and social inclusion’, particularly as regards the adoption of the new programme EUROSociAL+<sup>179</sup>. It included the topic of social equity in two of its six major lines of action as follows: “Regional integration and interconnectivity to promote social inclusion and cohesion”; “Education and employment to promote social inclusion and cohesion”. The EU-CELAC Action Plan approved in Brussels in 2015 maintained those two issues among its ten priorities<sup>180</sup>.

Several key policy documents on EU-LA cooperation put the support to social cohesion at the heart of the cooperation framework. For instance, the 2012 European Parliament resolution of 12 June 2012 on defining a new development cooperation with Latin America contains multiple references to this concept:

*“The European Parliament (...) Reiterates the importance of the EU–Latin America forum on social cohesion and asks that it be strengthened as a space for bi-regional political dialogue on social cohesion, through the promotion of more ambitious mechanisms and mechanisms for the coordination of cooperation in this field, and that social cohesion be encouraged on the agendas of the main international forums; (...) Takes the view that the EU-LAC partnership’s objective of social cohesion will be achievable only insofar as it generates a high level of development and fairness of income and wealth distribution, and that this objective requires ensuring the eradication of poverty through more just and progressive fiscal policies, strengthening tax-paying capacity and the fight against fraud and tax evasion. (...) social cohesion has a broad dimension that involves combating poverty, reducing inequality ensuring universal access to basic services such as health care, education, pensions and housing, the recognition and protection of social dialogue and labour rights; whereas there is a need for a fiscal compact that guarantees fairly the best distribution of resources”*

The 2015 EU-CELAC Strategic Partnership report highlights the importance of social cohesion in the EU policies:

*“In effect, and notwithstanding the importance of external partners with whom Latin America and the Caribbean are associated, none of these partners incorporate dialogues or specific actions with regards to social cohesion with the depth of scope that is realised in the relationship the region has with the EU and its members. This distinctive characteristic adds value to the bi-regional partnership, and warrants due consideration given that it homes in on the association’s ultimate objective: the configuration of a sustainable socio-economic model that will guarantee the eradication of poverty and the development of both regions.”*

The 2016 4<sup>th</sup> EU-CELAC summit declaration notes:

*“Reconocemos que los retos socioeconómicos que afronta la región son grandes, por lo que nos comprometemos a apoyarnos mutuamente para avanzar hacia una mayor cohesión social, promover el trabajo decente en beneficio de las mujeres, los jóvenes y los hombres, erradicar el trabajo infantil y proteger los derechos laborales de todos los trabajadores incluyendo los trabajadores migrantes de los países miembros de la Comunidad.”*

As illustrated in the interviews carried out during the field phase in Costa Rica, all main partners of the EU-LA cooperation embrace the multi-dimension definition of social cohesion, including its “inclusion”

<sup>179</sup> See also: EUROLAT – Resolution of 20 September 2018 – Vienna, Tackling inequality through social cohesion policies in EU countries and Latin American and Caribbean countries

<sup>180</sup> 1. Science, research, innovation and technology; 2. Sustainable development; environment; climate change; biodiversity; energy; 3. Regional integration and interconnectivity to promote social inclusion and cohesion; 4. Migration; 5. Education and employment to promote social inclusion and cohesion; 6. The world drug problem; 7. Gender; 8. Investments and entrepreneurship for sustainable development. 9. Higher education 10. Citizen security

dimension. In Costa Rica, “social cohesion” is clearly mentioned in national documents related to social policies and public authorities are eager to keep a broad definition of social cohesion. The understanding of the concept has slightly evolved over the years and is now more and more associated to the concept of sustainable development. There is still a strong alignment between the way LA and EU partners approach issues related to social cohesion such as gender and sexual diversity. However, some stakeholders interviewed highlighted that themes such as migration and refugees were only loosely associated to the concept of social cohesion and there might be some emerging divergences in the use of the concept nowadays. The issue of refugees has been increasingly challenging in Costa Rica because of the recent evolutions in Nicaragua and Venezuela.

### 5.1.2.2 Finding: Decreasing spaces for EU-LA bi-regional dialogue on social equity in recent years, especially high-level dialogue

<b>Related indicators:</b>	I-511, I-512
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Documentation on EU-LA cooperation</li> <li>• Project documentation</li> </ul> Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

The 2016 EU-CELAC Assessment of programmes and actions highlights the important contribution of EUROsociAL in bi-regional dialogue:

*“EUROsociAL has contributed to the dialogue and actions foreseen [...] through peer-to-peer learning and experience exchanges between counterpart institutions in the two regions. This initiative has included different working areas such as education, health, taxation, justice, social protection, decentralization and employment policies, attempting to increase the level of social inclusion and cohesion and to strengthen the institutions responsible for their implementation in their capacity to provide high quality public services.”*

However, from 2016 onwards, there are less and less explicit references to the concept of “social cohesion” in strategic documents related to EU-LA cooperation. For instance, there is no explicit mention of “social cohesion” in the 5<sup>th</sup> CELAC summit declaration although the theme is still covered from different angles (the declaration contains explicit references to “social inclusion”, “equality”, “social justice”). Some stakeholders interviewed highlighted that, under EUROsociAL I and II, the concept of “social cohesion” was too broad and therefore lost strength, hence the evolution in the way stakeholders referred to related issues in recent years.

As explained in the next JC, some regional networks were created in the context of EUROsociAL I. In the context of EUROsociAL II, the support focused on existing LA regional networks. Policy dialogue around social equity policies took place in all networks described under next section. Cooperation in the framework of those networks took place around policies being implemented and being of interest for other countries.

The findings of the 2016 Final evaluation of EUROsociAL II indicate that, overall, the bi-regional policy dialogue on social cohesion was sub-optimal in the second half of the evaluation period. The Final evaluation recommends: *“More Europe: The activation of bi-regional dialogue spaces on social cohesion might promote the additional presence of other countries, apart from France, Italy and Spain, in terms of policy dialogue and technical support”*.

Some interviewees confirmed a decrease in the intensity of bi-regional dialogue on social cohesion in recent years, especially high-level dialogue. But they highlighted that, at the same time, there is increased attention by LA partners on specific social equity issues, such as social protection, which reflects a new global dynamic around this topic (see the recent global initiatives around universal social protection), and gender equality. But, mechanisms to ensure structured bi-regional dialogue platforms on these issues are yet to be established.

### 5.1.2.3 Finding: Some contributions to sharing of knowledge and good practices between LA and EU partners

<b>Related indicators:</b>	I-512
<b>Sources of information:</b>	Documents (selection): <ul style="list-style-type: none"> <li>• Programme evaluation and other project documentation (incl. internal information management system)</li> </ul> Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

EUROsociAL has been instrumental in “institutionalising” some policy exchanges between LA partners and between them and EU counterparts by developing “soft” institutional structures to promote mutual knowledge and peer learning. According to the interviews carried out, this institutionalisation of policy exchanges was particularly important given the absence of institutional mechanisms in this area in the LA region, since there are not regional institutions tackling social equity policies.

Stakeholders interviewed during the field phase also underlined the high quality expertise (both from the LA region and Europe) mobilised by the EU regional programme in a variety of areas (e.g. taxation, evaluation of public policies). Other international organisations (e.g. OAS) reportedly faced more difficulties in providing such high quality expertise. Stakeholders based in Costa Rica also praised the quality and usefulness of the sector institutional meetings organised under EUROsociAL, which involved a variety of European and Latin American institutions, and the results oriented approach adopted under the regional programme. An interviewee noted that: “*Thanks to the regional programme, we see common agendas emerging not only between Latin American countries, but also with Europeans. This strengthens the link with the EU as a region in terms of communication, values and political ideals*”.

Examples of EUROsociAL contributions to the sharing of knowledge and good practices between LA and EU partners include<sup>181</sup>:

- *Justice*: The CIRE (Centre for Reinsertion Initiatives) from Catalonia (Spain) is an international reference for labour-insertion for incarcerated persons. It has ten working centres that are responsible for socio-professional training of prisoners. Colombia, Panama, Peru and Uruguay have incorporated inputs from this model for the development of productive (Peru, Panama), regulative models (Uruguay and Peru) and socio-professional training plans (Uruguay).
- *Social Protection*: Cross-cutting competencies are key for social integration and work placement, particularly for the most vulnerable sectors. In Europe, the experiences from the state employment service from France, and Sweden in the development of cross-cutting competencies since secondary education are references. Several Latin American countries are applying them in their social programmes. With the support EUROsociAL, Colombia has added innovations into “Youth in action”, “Social income” (conditioned transferences) and “Enrutate-TU” (Route yourself – accompanying to work). In addition, Chile is introducing the cross-cutting competencies in the offer of the “Más Capaz” (work placement for women) programme and in the system for competence validation and accreditation (“Chile Valora” – Chile values).
- *Employment*: The employment systems from France and Italy (together with Argentina) have supported the creation of a new national network of the employment services in Colombia. In particular, the operating models of the centres, the models of services provision (information, guidance, training, derivation to other programmes, etc.) and the public-private coordination were defined. In addition, the computing platform for the programmes and the services of the Colombian National Network have been provided.
- *Public finance*: In Spain, the creation of the Tax Agency (Agencia Tributaria - AEAT) in 1992 was a major milestone for the fiscal policy and the improvement in the efficiency of the tax system that has led to a tax revenue increase. AEAT works in two strategic lines: voluntary compliance of the taxpayers (improving the assistance services: the online site, call centres, appointment system, mobile application, etc.), and with the fight against tax fraud, both in prevention and in prosecution of lawbreakers (massive control tools, real estate register model, taxpayers registry, etc.). This model constitutes an international reference and it has been shared with several Latin American countries through EUROsociAL.

<sup>181</sup> Source: EUROsociAL programme's management and information database.

- *Governance (“democratic institutionality”)*: The Finance Guard from Italy is a special police force that develops duties from the judicial police in economical and financial areas. It is a key structure in the fight against tax evasion and economic crimes. Through EUROsociAL, Colombia and Guatemala have become fully familiar with this model, a reference in Europe. Colombia has used these inputs for the launching of the judicial policy and Guatemala has created a Financial Intelligence Unit within the Superintendencia of Tax Administration (Superintendencia de Administración Tributaria - SAT).

The promotion of sharing of knowledge and good practices was achieved through a diversity of activities ranging from study visits to Europe and special meeting events to technical assistance and peer learning activities involving various EU and LA partners (e.g. line ministry staff).

#### 5.1.2.4 Finding: Varying degrees of participation by EU MS in EU-LA policy exchanges on social equity

<b>Related indicators:</b>	I-511, I-512
<b>Sources of information:</b>	Document review Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

The analysis of the EUROsociAL I and II programmes' management and information database highlights the predominance of a few EU countries providing expertise to the programme's actions. Three countries (France, Italy and Spain) have covered most of the actions involving EU expertise under EUROsociAL II. Similarly, in URBAL III, the three EU MS with higher presence in the programme were Italy, Germany and Spain.

There have been some other EU MS involved in EUROsociAL (e.g. on 'Housing First' regarding the homeless, with Finland; on human rights' monitoring in prisons, with the UK), but their involvement was more limited. This was confirmed through interviews. Language issues and aspects related to the history of cooperation between these countries and LA largely explain this situation. Another factor contributing to this situation is the fact that the fees expectations in some EU MS countries do not match the fees that could be reasonable applied in the regional programme, which hampered the mobilisation of expertise from these countries.

As highlighted in the final evaluation of EUROsociAL II, this has limited the opportunities of policy exchanges between the two regions: *“More Europe: The activation of bi-regional dialogue spaces on social cohesion might promote the additional presence of other countries, apart from France, Italy and Spain, in terms of policy dialogue and technical support”*.<sup>182</sup>

<sup>182</sup> EU (2016): final evaluation of EUROsociAL II

## 5.2 JC 52 - Intra-regional policy dialogue

### 5.2.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 52: EU support contributed to creating sustainable opportunities for intra-regional cooperation, sharing and learning in the areas of social and fiscal policies	I-521 Number of EU supported initiatives (e.g. regional conferences) promoting South-South exchange of experience and good practices in the area of social and fiscal policies (taxation / domestic revenue mobilisation and public finance management) I-522 Existence and degree of sustainability of regional networks / institutional coordination structure established or supported through EU regional interventions I-523 Existence of legal and policy harmonisation within the region in the area of social and fiscal policies

### 5.2.2 Main findings and related evidence

#### 5.2.2.1 Finding: Substantial contributions to increased intra-regional dialogue in the area of social and fiscal policies

<b>Related indicators:</b>	I-521, I-522, I-523
<b>Sources of information:</b>	Document review Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

As highlighted in the final evaluation of EUROsociAL II, there have been clear attempts to contribute to enhanced intra-regional dialogue and strengthening existing initiatives with a regional dimension. The report also notes: *“key alliances with regional institutions need to be highlighted, such as those with ECLAC, the Organisation of American States (OAS) and OECD. This support to existing regional institutions is positively assessed and has helped EUROsociAL to guide some of the addressed topics.”*

There are several examples of dialogue platforms established at continental level which were further strengthened under EUROsociAL and which were still active at the end of the evaluation period. For instance:

- In the area of social protection, intra-regional cooperation has taken place since 2009, among others, through the inter-American network of social protection (RIPSO)<sup>183</sup> in the framework of the American States Organization (OAS). RIPSO is a development platform of the ministries and national agencies in charge of social policies, in which the exchange and transfer of experiences and knowledge on social protection is promoted. RIPSO has designed and implemented a series of methodologies and tools with the objective of identifying the needs, challenges, trends and solutions in terms of social protection and poverty reduction in the region.
- The Economic and Social Councils Network for Latin America and the Caribbean (CESALC in its Spanish acronym). CESALC is comprised of five national CES's (Guatemala, Honduras, Panama, the Dominican Republic and Brazil), six state or provincial ones (Buenos Aires, Mexico City, Chaco Province, Jalisco, the Federal District of Brazil, Rio Grande do Sul) and two municipal ones (San Pedro and San Carlos in Brazil). Its goal is to exchange experiences and promote reflection and joint learning to address the common challenge of the region's CES's: to achieve stronger institutions, improve their technical and operational capacity, and increase their impact.

Within the framework of EUROsociAL I, two main networks had been created:

- The Health Network started in 2006 with 8 participating institutions, increasing to 32 in 2007, 40 in 2008 and 49 in 2009<sup>184</sup>. However, this network disappeared as such in the second

<sup>183</sup> RIPSO - created by mandate of the ministries of social development and the Summit of the Americas - is a cooperation mechanism of the ministries and national agencies of social development, in collaboration with international organisations, non-governmental organisations, the private sector and the academy, to promote the exchange and transfer of experiences and knowledge about social protection. <http://www.oas.org/es/sedi/dis/eqidad/ripso.asp>

<sup>184</sup> Final Evaluation EUROsociAL I: *“The fact that the exchanges organized in the health sector have been based on a network format has fostered significant knowledge on the part of the participants of the different experiences*

phase of the programme. According to the final evaluation of EUROsociAL I, the topics selected in the Health sector were not of major priority for the LA countries. It is also worth mentioning that at the same time EUROsociAL II did not keep health as a focal sector.

- The Tax Education Network was created in 2008 with the objective of promoting specialised knowledge and learning experiences based on shared reflection on the experiences of tax and educational institutions. The work of experience exchanges supported the “regionalisation” of best practices in formal and non-formal educational environments<sup>185</sup>. The second phase of EUROsociAL continued promoting this network. An important milestone was the signing of a Regional Letter of Intent by the representatives of the tax and educational agencies of ten Latin American countries in El Salvador in June 2013. This letter stated their commitment to working together to promote Tax Education as a State policy<sup>186</sup>.

In the second phase of EUROsociAL, it was decided to support existing networks in the region rather than creating new ones that could eventually disappear without the programme’s support as it had happened in the first phase. EU support sought to recover some of the networks created in the first phase as well as working with existing ones which were usually institutionalised in international organisations (COMJIB, CIAT, OEI, ILO, among others). The objectives were to identify common work areas and facilitate the insertion of social cohesion priorities in the agendas of these networks. Examples of LA regional networks in the social and fiscal policies area include:

- Ibero-American Network of Fiscal Policy: during the XXI Summit, held in 2011 in Asunción, Paraguay, the Ibero-American General Secretariat (SEGIB) and the Economic Commission for Latin America and the Caribbean (ECLAC) were urged to accompany the establishment of the Ibero-American Network of fiscal policy makers. It has held also meetings in 2013 (San José, Costa Rica) and in 2014 (Madrid). The network is formed by Responsible and Specialists in Fiscal Policy of Ibero-American countries. The coordinating committee of the Network is formed by SEGIB, OECD, ECLAC and FIIAPP. The purpose of this network is to accompany and facilitate work on fiscal policy within the framework of the reform of the State, with the purpose of strengthening the processes of economic development<sup>187</sup>.
- Latin American Network of Public Policies for Regional Development<sup>188</sup>: created in 2013, the Network focuses on territorial cohesion and consists of fourteen LA countries (Brazil, which ensures overall leadership, and Argentina, Bolivia, Chile, Colombia, Costa Rica, Ecuador, Guatemala, Honduras, Mexico, Panama, Paraguay, Peru and Uruguay) and several international institutions and organisations such as the EU (through the EUROsociAL programme and DG REGIO), the OECD Development Centre, ILPES-CEPAL and the Regional Committee.
- Network for Transparency and the Fight Against Corruption: the Transparency and Information Access Network (Spanish acronym: RTA) was created in 2011 and is made up of 13 countries and one international foundation. The RTA was formed as a formal space for dialogue and cooperation to promote the exchange of knowledge and experiences both among countries in the Latin American region and between the two regions in the area of transparency and access to information among its members. It aims to be a leader in peer-to-peer learning, thereby contributing to the construction of systems of accountability and to the strengthening of public management<sup>189</sup>

Interviews carried out during the field phase highlighted several positive experiences of regional cooperation supported by EUROsociAL in various areas:

- Evaluation of public policies: An Inter-institutional Working Group for the Evaluation of Public Policies has been established by representatives from Costa Rica, Ecuador, Mexico, Paraguay, Peru and Uruguay. It has developed and approved guidelines for the evaluation of public policies, which are particularly relevant for social and fiscal policies. This network was

---

*in the field both in Europe and in the region. The programme has contributed to a greater knowledge of the different aspects related in some way to health that affect social cohesion through a relevant production of research, studies, and technical documents in general, which can be partly attributed to the profile of the institutions leading the sector, -the IRD on the part of France and the FCSAI on the part of Spain-, as fundamentally research centers”.*

<sup>185</sup> <http://www.catastralatino.org/documentos/boletin%20EUROsociAL%20abril-julio%202010.pdf>

<sup>186</sup> <http://www.educacionfiscal.org/pagina/origen>

<sup>187</sup> <http://segib.org/i-reunion-de-la-red-iberoamericana-de-responsables-de-politica-fiscal/>

<sup>188</sup> <http://www.fiiapp.org/en/noticias/red-latinoamericana-de-desarrollo-regional/>

<sup>189</sup> <http://EUROsociAL-ii.eu/en/pagina/red-de-transparencia-y-acceso-a-la-informacion>

strengthened through a triangular cooperation project taking place under ADELANTE. They organise peer reviews of national evaluations<sup>190</sup>.

- Governance (“democratic institutionalism”): building on a study highlighting inter-institutional coordination experiences for the fight against economic-financial crimes linked to corruption in LA and the EU, a manual of good practices was developed (with the involvement of Finance Ministries of the region) for the implementation of a model of inter-institutional coordination for investigation, prosecution and sanction of economic and financial crimes linked to corruption.

In Costa Rica, stakeholders involved in EUROsociAL highlighted appreciated the use of peer to peer exchanges as a methodology. In some cases, like in the justice sector, institutional representatives emphasised the need to involve other stakeholders dealing with the same issues for example local governments or civil society organisations. As a successful example CONAMAJ has the “Casa de derechos de la mujer” (Women’s rights House) in the Upala canton.

More generally, according to the internal monitoring system of EUROsociAL, no less 1,500 projects were implemented between 2013 and 2016, out of which a substantial number of projects (more than 250) correspond to a triangular cooperation set up where at least one LA institution played a key “knowledge transfer” role.<sup>191</sup>

### 5.2.2.2 Finding: Challenges to intra-regional cooperation and legal and policy harmonisation

<b>Related indicators:</b>	I-521, I-522
<b>Sources of information:</b>	Document review Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

In gender equality, EUROsociAL supported the design of a Plan against violence against women under SICA. This was developed in the framework of COMMCA (Consejo de Ministras de la Mujer de Centroamérica y República Dominicana). However, COMMCA has lacked real political power. According to interviews carried out during the field phase, the plan was signed by the ministers of the sub-region, but there has been no follow-up.

Similarly, efforts of intra-regional cooperation in the area of citizen security carried out between 2012 and 2015 ended up with the drafting of a regional declaration for the prevention of violence and crime. The declaration was signed in the framework of the IV Encounter of Citizens Security Ministries in Colombia in 2015. However, according to the interviews carried out in Costa Rica, there has been no information or follow up on that Declaration after 2015.

More generally, there is no coordination or standardisation of policies at regional level on social equity.<sup>192</sup> As already highlighted in the 2016 evaluation of EUROsociAL II:

*“It is recognised that EUROsociAL II has continued the work that was initiated during the first phase especially in order to create regional structures in different areas that address social cohesion. It remains a challenge since there is no solid regional and/or sub-regional institutional framework in those areas of the Programme and/or in social cohesion. (...) There are few reported results at regional level or that involve more than one country, 18 out of 242 results, representing 7%, [which] reflects difficulties in achieving specific results at regional level.”*

The interviews carried out in Costa Rica during the field phase also underlined the difficulties faced by the EU regional programme in the framework of regional or sub-regional integration processes. In particular, intra-regional cooperation in the area of social equity in Central America faced important challenges due to weaknesses in the sub-regional integration process, especially in the area of social policies. The involvement of SISCA (the Central American Social Integration Secretariat) in EUROsociAL II (as a partner) since the start, has not translated in the promotion of intra-regional cooperation in this sub-region.

<sup>190</sup> <http://www.adelante-i.eu/evalua>

<sup>191</sup> See also the study produced in 2016 which analysed the South-South cooperation mechanisms in the context of EUROsociA. *FIIAPP (2016): ¿Qué hemos aprendido de los intercambios Sur-Sur en AL en el marco de EUROsociAL?*

<sup>192</sup> Exceptions can be found. For instance, under the Security Convention in SICA, transborder binational plans for Security Prevention have been developed between Costa Rica and Panama. However, EU support provided in the area of social equity has not reached these frameworks because of their thematic focus (not purely related to social cohesion).



Similarly, in the field of taxation, cooperation in the framework of SIECA (Central American Economic Integration System) has been very difficult due to a perception of a lack of legal security in other countries. From the Costa Rican point of view, there is a lack of solid fiscal institutions in the rest of the sub-continent.

Nevertheless, stakeholders interviewed during the field phase acknowledged the need to continue efforts to address a variety of issues related to social policies (including migration, gender and domestic violence, public security, drugs, employment creation, etc.) at regional and sub-regional level. Moreover, some stakeholders praised the fact that the Regional Indicative Programme 2014-2020 includes a specific component for Central America.

### 5.3 JC 53 - Legal, policy and institutional environment

#### 5.3.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 53: EU support contributed to the strengthening of legal, policy and institutional environment in LA countries in the areas of social and fiscal policies in line with regional best practices and international (including EU) standards	<p>I.5.3.1 (Policy) Evidence of strengthened social policy/strategy formulation processes, including increased analytical underpinning</p> <p>I-532 (Policy) Policies related to social protection integrate a gender equality approach and respond to particular needs of marginalised groups</p> <p>I-533 (Policy) Evidence of increased participation of social partners and representatives of organised civil society in social policy processes (including through institutions like Economic and Social Councils)</p> <p>I-534 (Policy/Institutional) Evidence of improved tax policy and allocative efficiency of social expenditure</p> <p>I-535 (Institutional) Evidence of strengthened institutional practices in the area of social policies (including inter-institutional coordination)</p> <p>I-536 (Institutional) Evidence of monitoring and evaluation systems developed in the LA public administrations</p>

#### 5.3.2 Main findings and related evidence

##### 5.3.2.1 Finding: Significant contributions to policy implementation

<b>Related indicators:</b>	I-531, I-534, I-535, I-536
<b>Sources of information:</b>	Document review Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

EUROsociAL II has contributed to a high number of results in terms of institutional strengthening in different thematic areas and countries. There are numerous examples of interinstitutional coordination experiences which deepened progress towards more integral care and social protection systems. For example, the elaboration of the Multidimensional Index of Infant Rights in Colombia, resulted from a joint effort of the Infant Wellbeing Observatory (Observatorio del Bienestar de la Niñez) of the Colombian Institute of Family Wellbeing (Instituto Colombiano de Bienestar Familiar, ICBF), the Direction of the National System of Family Wellbeing of ICBF, the Child Unified Information System (SUIN -Sistema Único de Información de la Niñez). They are comprised of technical working groups and interinstitutional roundtables to elaborate and validate instruments.

As highlighted in the final evaluation of EUROsociAL II, the efforts to articulate labour and education ministries to build and implement National Systems of Professional Qualifications (SNCP), which resulted in the national qualifications' catalogues, is another illustrative example<sup>193</sup>.

It is noteworthy that M&E systems have developed considerably in LA in the last ten years. This has been reflected in the emergence of regional networks such as RELAC (Evaluation Network of Latin America) or numerous at a national level such as the Rede Brasileira de Monitoramento e Avaliação, REDMEBOL (Bolivia Monitoring and Evaluation Network) or the Paraguayan or Peruvian evaluation networks to mention just a few. An interesting process has been the linkage produced in some countries between the planning administrations and those that are responsible for M&E. Although these evolutions cannot be attributed to the EU regional programmes, EUROsociAL II developed cooperation relationships with those initiatives, participating in the annual congresses, providing and sharing information, etc.

<sup>193</sup> Final Evaluation EUROsociAL II.

EUROsociAL II, has marked as one of its main axes of work the improvement of the quality of public spending through a greater linkage between plans and budgets and, above all, of the integration of the evaluation in the public policies cycle, which are some of the main challenges that Latin American public administrations are facing. Evidence of the latter orientation is found in the following countries: Colombia (Sistema Nacional de Evaluación de Gestión y Resultados, SINERGIA); Mexico (Consejo Nacional de Evaluación de la Política de Desarrollo Social, CONEVAL); Chile, Dirección de Presupuestos; Costa Rica (Ministerio de Planificación Nacional y Política Económica, MIDEPLAN), Ecuador (Secretaría Nacional de Planificación y Desarrollo, SENPLADES), Paraguay (Ministerio de Hacienda), Perú (Ministerio de Finanzas) and Uruguay (Oficina de Planeamiento y Presupuesto Presidencia de la República)<sup>194</sup>. Several of the institutions supported by EUROsociAL have been involved in the project “Evaluation of public policies in LAC” in the context of the South-South Cooperation Facility (called now ADELANTE)<sup>195</sup>.

Specific examples of institutional strengthening highlighted during the field phase include:

- Implementation and improvements of the national evaluation system. The Ministry of National Planning and Economic Policy (MIDEPLAN) of Costa Rica, as the governing body of the National Planning System (SNP) and the National Evaluation System (SINE), began a process in 2010 to promote the evaluation of public interventions in the country. At the regional level, an Inter-institutional Working Group for the Evaluation of Public Policies and budget-planning approaches (composed of representatives from Costa Rica, Ecuador, Mexico, Paraguay, Peru and Uruguay) was set up with the help of EUROsociAL a few years later. It actively contributed to the promotion of evaluation in the participating countries. Within the framework of the National Development Plan 2015-2018, the last government approved a National Assessment Agenda, which reflects the commitment of the Executive Branch in the evaluation of strategic operations. Mechanisms and procedures have been established to account for the institutionalisation of the evaluation, including an official register of evaluations, and the carrying out of impact evaluations.
- In fiscal education policy and important achievement was the conformation of the Sub-directorate of Education and Culture, inside the Ministry of Finance of Costa Rica. With EUROsociAL support this unit succeeded to have a properly trained work team, the elaboration of didactic guides for primary and secondary, the development and implementation of training programs for educators and for officials of the Ministry of Finance, construction of a game room in the Children's Museum, the development of a website and videogames, as well as the implementation of the Tax Assistance Centers. Besides, there was an important agreement between the Ministry of Finance and Ministry of Education, in such a way that it was possible to obtain the approval and inclusion of tax education topics, within the study programs, in Civic, in Social Studies and in Education for Everyday Life, by the Council of Higher Education. The nuclei of fiscal support conformed by university students have been able to grant support and advice to citizens that required it, such as small entrepreneurs.
- Under the national programme EMPLATE around 20.000 people were trained to increase their employability. There was initially a rate of around 17% of placement in the target population (poor and vulnerable). Evaluation results had shown that placement was directly linked to the level of training. New training centers thus focused on specific technologies, like Parque La Libertad, which helped to ensure much higher placement rates (90%). Private-public partnerships also seemed to have been very useful in this regard. One important example of private partner is Alianza Empresarial para el Desarrollo. EU contribution focused on the need to overcome the previous programme's "assistance" approach and supported national stakeholders to develop an approach based on "employability".

### 5.3.2.2 Finding: Some contributions to the strengthening of national policy frameworks

<b>Related indicators:</b>	I-531, I-533
<b>Sources of information:</b>	Document review Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

<sup>194</sup> Comparative study on the institutionalisation of the evaluation in Europe and Latin America, FIIAPP EUROsociAL, 2015.

<sup>195</sup> Interview with implementers of the Facility.

The Final Evaluation EUROsociAL II provides evidence of EU support contributing to various improvements in the legal, policy and institutional environment in LA countries at both national and sub-national levels and in line with regional best practices and international (including EU) standards. There is also some evidence of strengthened social policy/strategy implementation processes, including increased analytical underpinning, thanks to EU support. As some interviewees highlighted during the field mission to Costa Rica: regional networks supported by EUROsociAL have also helped civil servants to show to high-level managers and policy makers the results achieved in other countries and get “inspirations” for the adoption of new public policies.

Positive experiences highlighted during interviews include:

- Law on Regional Development Plan.
  - In 2014, the Ministry of National Planning and Economic Policy (MIDEPLAN) of Costa Rica began the preparation of a law to develop a Regional Development Plan at the national level. With EUROsociAL, two consultants were hired and visits took place to Spain (to learn about the implementation of European Funds in two different regions: Aragon and Extremadura), to Belgium (where Members of the Costa Rica Parliament met with peers) and to France (to better understand the governance model adopted in the country). DG Regio also contributed to policy exchanges on the topic. Members of the Parliament benefitted from specific activities and a work commission was created within the Legislative Assembly. Consultation forums were organised with mayors, deputies, civil society, private companies and community development associations trying to achieve their commitment to the law. In addition, visits were also organised through the Latin American Network of Public Policies for Regional Development to learn from experiences in other LA countries such as Brazil and Chile.
  - Negotiations with the Treasury were difficult due to the allocation of resources. The law unfortunately was not approved before the last elections. However, according to interviewees, the new Government maintains interest in this initiative and, even if the law does not go out, MIDEPLAN plans to move forward with concrete actions building on policy elements developed during the process. By July 2018, six regional development plans had already been validated.
- Law on child protection (and institutionalisation of the National Child Care and Development Network).
  - EUROsociAL helped national stakeholders to develop a National Child Care and Development Network building on experiences from other countries such as Brazil (“Hambre Cero” programme), Chile (Experts from FOSIS visited Costa Rica) and Nicaragua (how to include the local communities’ approach and involve them in the network). IADB facilitated a workshop in Washington to compare experiences from seven countries on family support for the most vulnerable populations. ECLAC also contributed with funding these activities.
  - The Law 9290 was created with the aim of establishing a system of public care and child development of public access and guaranteeing the right of all children, primarily those from zero to six years, to participate in care programs. This was the most important and innovative programme promoted by the administration of Laura Chinchilla (2010-2014) focused preferentially on comprehensive early childhood care, as well as older adults. With regard to early childhood, coverage reached 32 thousand children at the beginning of 2014, increasing by 9,688 children from the beginning of the administration. In relation to the elderly, the coverage was increased by 5 thousand people for the beginning of 2014. Under the last administration (Solís 2014-2018), the programme lost importance, but a new (and broader) strategy was developed: “Estrategia Puente al Desarrollo”.

It is important to highlight that the EUROsociAL actions did not intend to cover the entire life cycle of a public policy. While there are examples of positive contributions to the strengthening of the policy and legal framework of LA countries, EUROsociAL II actually ended up having a stronger focus on policy implementation than on policy/strategy formulation. This situation has been reinforced by the demand driven approach adopted in the programme. The 2016 Final evaluation of EUROsociAL also noted:

*“That the Programme has been used much less to design and formulate public policies is linked to: 1) the additional degree of difficulty involved in working in these areas; and 2) the time frame of EUROsociAL, that is substantially shorter and requires a more urgent follow up of results in a shorter period than the regular rhythm of public policies. It is also evident that the adoption of similar models already tested in Europe and Latin America were more*

*convincing for the national authorities than the option of initiating new processes to design, formulate and implement new policies.”*

There is no evidence of increased participation of social partners and representatives of organised civil society in social policy processes (including through institutions like Economic and Social Councils). EUROsociAL supported CESALC<sup>196</sup>, a network of Economic and Social Councils and similar institutions. This network is a practice community that was formally created in 2013. It was led by Brazil's Economic and Social Development Council, with technical support from Spain's Economic and Social Council (CES in its Spanish acronym). However, the institutional crisis in Brazil implied a weakening process of the ESDC and consequently of the network as such. Some exceptional cases have been found in the desk review about participation of social partners (in some cases through ESCs) in policy reforms, like it is the case of the ESC in Costa Rica, involved in the social protection reforms.

In recent years, EUROsociAL increasingly sought to cover more actively various phases the public policy cycle, including: policy agenda setting (definition of the problem as a public issue, awareness raising, consensus building), formulation (design or reform, analysis of alternatives, decision making), implementation (processes and procedures to provide a service or make a right effective, management models, among other aspects) and evaluation (analysis of the actions implemented, generating a culture of transparency and accountability). As highlighted in interviews, this idea went hand in hand with the objectives of South-South and triangular cooperation increasingly promoted by the programme.

### 5.3.2.3 Finding: Mixed picture regarding the promotion of gender mainstreaming and human rights

<b>Related indicators:</b>	I-532
<b>Sources of information:</b>	Document review Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

Several LA countries' national policies related to social protection have increased their response to particular needs of marginalised groups. Overall, there has been an increased focus on the protection of vulnerable groups (e.g. adult homeless people, PASC based on its Spanish initials; Infants and Adolescents, NNA-based on its Spanish initials; and the adoption of integral social protection systems). However, as already highlighted in the 2016 Final Evaluation EUROsociAL II, the salary and employment gender gap has persisted and constitutes one of the most important gaps in the region (followed by youth, with limited access to employment and social protection systems).

Although EUROsociAL I and II have dealt with gender equality policies on a horizontal and cross-cutting basis, there are already some actions that have tackled directly gender policies, like the action in the justice area on the assistance to victims of gender-based violence (Brazil, Costa Rica, Honduras, Nicaragua, Ecuador, regional, etc.)<sup>197</sup>.

Evidence from the field mission to Costa Rica includes:

- In the area of gender-based violence prevention, several protocols were designed thanks to EUROsociAL to strengthen coordination between public defenders and Police. Achievements were found in the recovery of gender-based violence offenders. Local Committees of Immediate Attention and Follow-up were developed with EU support.
- The National Policy for Gender Equality and Equity (covering 2007-2017) was followed by a National Policy for Effective Equality between Women and Men in 2018-2030. EUROsociAL contributed to these policy developments by providing expertise and funding research on gender gaps. It also contributed to strengthen and improve statistics with a gender perspective by providing support to INAMU (National Woman Institute). EU contribution was also important in the field of interinstitutional coordination.
- Despite the fact that social equity decreased in Costa Rica in the last decade, gender equality has actually improved. This has partially been possible thanks to the approval of several Laws integrating international commitments. Gender equality awareness has clearly raised in the country. However, gender gaps still remain in the field of employment and job opportunities.

<sup>196</sup> <http://www.ces.org.do/p/red-de-consejos-economicos-y-sociales.html>

<sup>197</sup> EUROsociAL+ action fiche.

Moreover, while the official discourse on human rights and gender equality is well developed in Costa Rica, the reality shows a darker picture.

## 5.4 JC 54 - Broader results

### 5.4.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 54: Positive results have been achieved in increasing fiscal equity and improving social policies	I-541 Key indicators in social protection in LA countries: coverage, uptake, benefits I-542 Tax collection rates of Latin American countries compared to OECD members' average

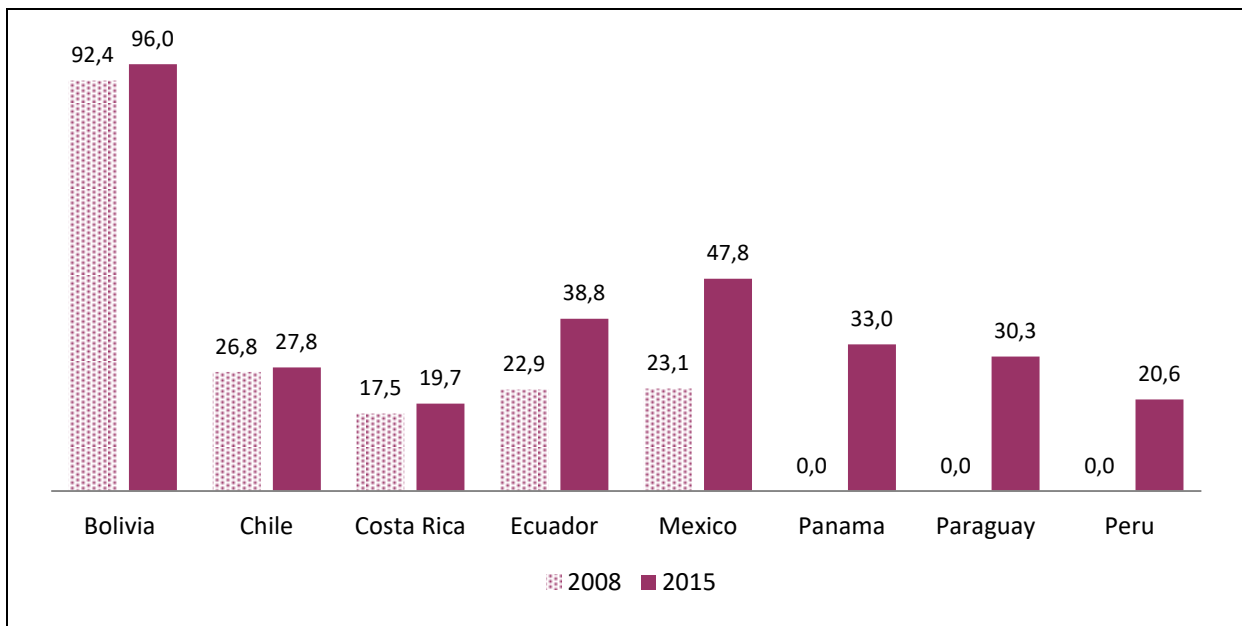
### 5.4.2 Main findings and related evidence

#### 5.4.2.1 Finding: Achievements on social equity issues in the region

<b>Related indicators:</b>	I-541, I-542
<b>Sources of information:</b>	Document review Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

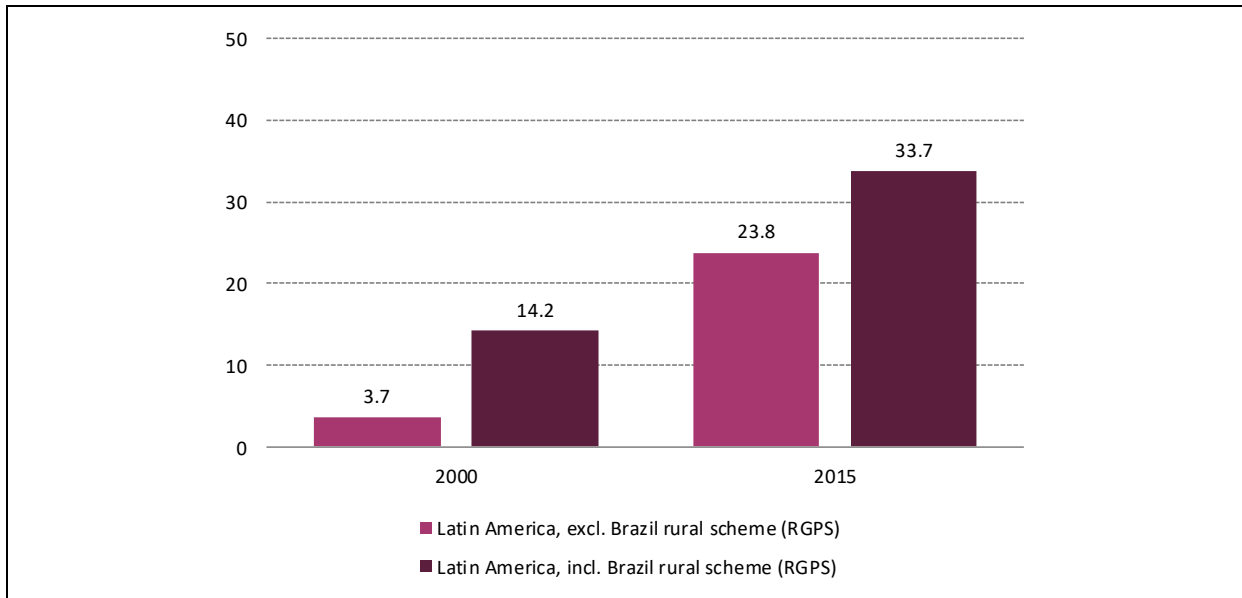
Social protection coverage has improved as illustrated by the trends in the coverage of pensions schemes – see figures below.

Figure 6 Non-contributory pensions received by persons aged 65 years or over in eight LA countries, in 2008 and 2015 (percentages)



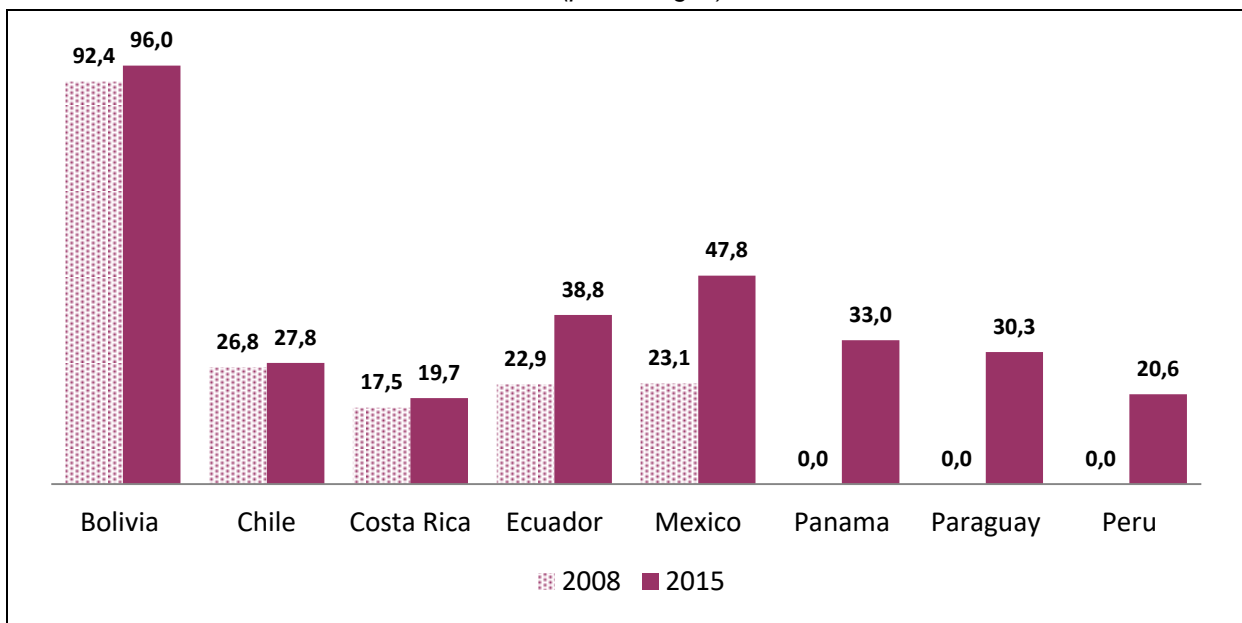
Source: ECLAC (2017) Social Panorama of Latin America

Figure 7 Coverage of non-contributory pensions among the population aged 65 and over, 2000 and 2015



Source: ECLAC (2017) Social Panorama of Latin America

Figure 8 Non-contributory pensions received by persons aged 65 years or over in eight LA countries, in 2008 and 2015 (percentages)



Source: ECLAC (2017) Social Panorama of Latin America

Latin America has also made notable progress in expanding domestic resources to finance its development policies in recent years. Most countries underwent important tax policy reforms during the last decade. However, increase in tax revenues' regional averages have mainly been driven by a few countries (e.g. Mexico, Uruguay) in recent years and, as further explained below, the region's tax systems still face major challenges.

Strong domestic policy processes and positive overall trends at economic level largely explain the few achievements observed in the areas of social and fiscal policies. As confirmed in the interviews, the EU has played a modest but positive role in these evolutions by contributing to strengthening public policies and institutions and raising awareness on the concept of social cohesion and the importance to address it from different angles.

In several LA countries, particularly Paraguay and El Salvador, the EU has contributed to the development of universal social protection and pension systems through the promotion of policy exchanges and mobilisation of technical expertise from the EU and LA on this topic. EU support in areas such as justice and democracy has also helped strengthening linkages between public administrations and the population. There is also evidence of EU support having contributed to

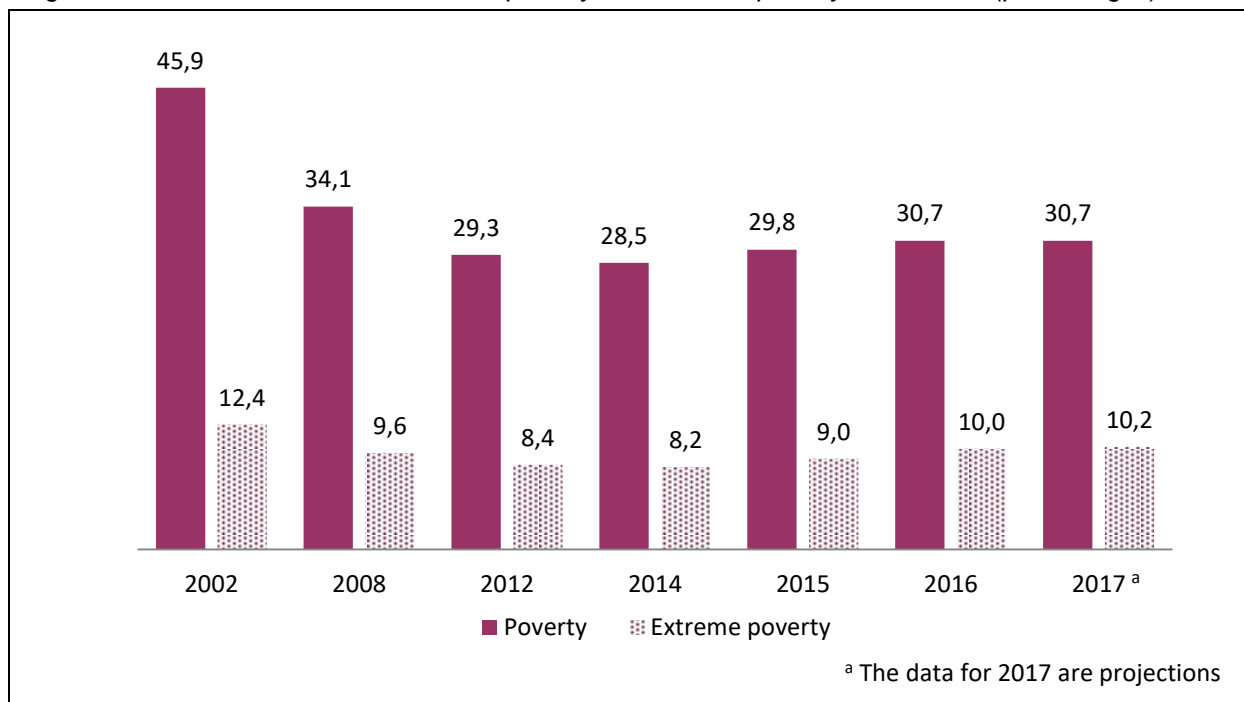
institutional strengthening in the fiscal policy area, as well as in improving fiscal education policy. Moreover, EU contribution to strengthen evaluation of public policies has had a positive effect in a more social cohesive approach of those policies.

#### 5.4.2.2 Finding: Enormous persisting challenges on social equity issues

<b>Related indicators:</b>	I-541, I-542
<b>Sources of information:</b>	Document review Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

As synthesised in ECLAC's 2017 Social Panorama of Latin America<sup>198</sup>, poverty and extreme poverty remain high (see figure below). High poverty rates persist in rural areas. Poverty and extreme poverty affect children, adolescents and young people more than other age groups, something that represents major risks in terms of social cohesion. There is also a growing feminisation of poverty in the youth and adult population.

Figure 9 Latin America trends in poverty and extreme poverty, 2002-2017 (percentages)



Source: ECLAC (2017) Social Panorama of Latin America

Note: Weighted average for the following countries: Argentina, the Bolivarian Republic of Venezuela, Brazil, Chile, Colombia, Costa Rica,

Social protection coverage is far from universal and suffers from considerable inequalities. At the same time, the process of ageing in the region has progressed faster than in other parts of the world.<sup>199</sup> This means that LA governments have less time for making the adjustments needed to meet the demands of an ageing population and to promote an equitable and inclusive society for people of all.

In addition, most tax systems still face significant weaknesses. Studies on personal income tax evasion have found that revenues from this tax in the Latin American countries are significantly lower than would be expected given its current level, and its redistributive capacity has been undermined as a result.<sup>200</sup>

<sup>198</sup> ECLAC (2017): Social Panorama of Latin America

<sup>199</sup> ECLAC (2013): Ageing, solidarity and social protection in Latin America and the Caribbean: time for progress towards equality.

<sup>200</sup> ECLAC (2017): Fiscal Panorama of Latin America and the Caribbean - Mobilizing resources to finance sustainable development.

Box 5 *Inequality Evolution and Tax Changes during the Last Decades*

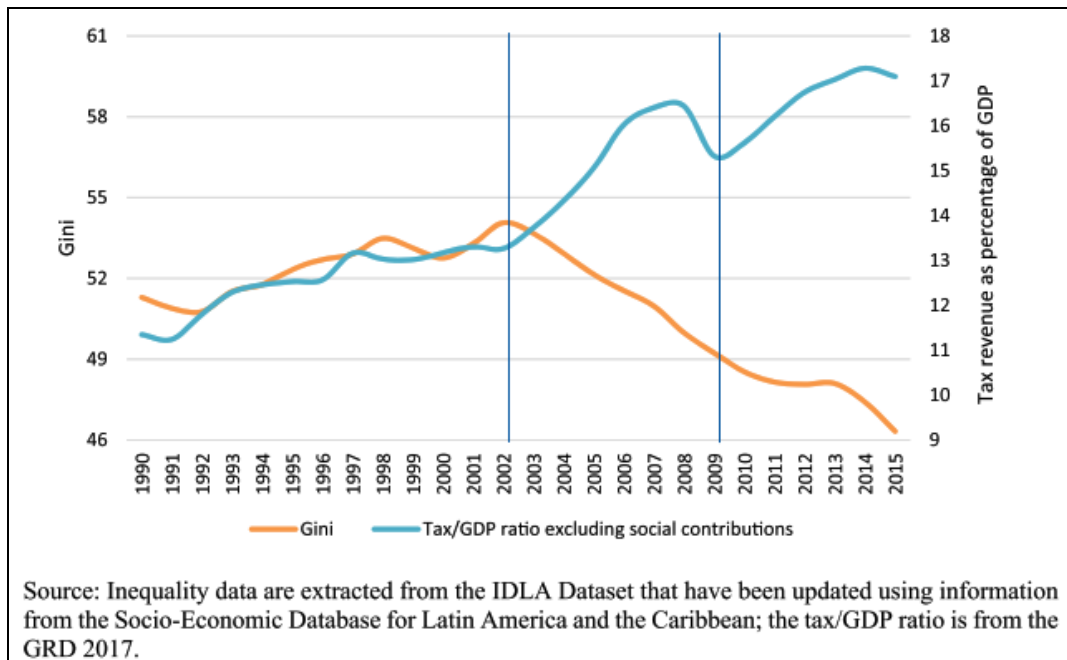
Inequality started to decline in the early 2000s (López-Calva & Lustig, 2010; Cornia, 2014; Cord et al., 2016). Between 2002 and 2015, Gini decreased by 8 points (from 54 to 46 points) achieving a value lower than the average recorded in the pre-Washington consensus period (Figure 1). Different factors have been advanced to explain this unexpected result such as economic growth in the mid-2000s (World Bank, 2011) and the improvement in external conditions (Székely & Mendoza, 2015). Despite these, Cornia et al. (2011) note that the contribution of taxation is also a significant aspect (and often ignored) behind the recent and extraordinary performance of Latin America. Indeed, inequality started to decrease when tax revenue steadily increased. In particular, the ratio of tax revenue on gross domestic product (tax/GDP) increased by 3 points over the period 2002–2008.

The arrival of the Great Recession affected economic conditions of the region and provoked a decline in the tax/GDP ratio by around 1 point. However, the tax/GDP ratio recovered the upward trend and kept on increasing by 2 points up to 17 per cent (despite important differences in terms of the magnitude of observed changes as well as a substantial heterogeneity in the level of the tax/GDP ratio across countries).

Yet the recent changes in tax revenue level are not enough to explain the evolution of inequality during the last decade. Indeed, the figure above shows that tax revenue increased in the 1990s and in the 2000s whereas inequality decreased only after 2002. However, a more detailed analysis shows a fundamental difference between these two periods related to changes in tax composition. In particular, the increase in tax revenue in the 1990s was mainly driven by the rise in taxes on sales and more specifically by the notable growth recorded by VAT. The scenario changed completely in the following decade in which inequality decreased. In particular, the growth recorded in tax revenue was mainly driven by the extraordinary performance recorded by taxes on income, profits and capital gains. Notably, the average contribution of these taxes to the average tax revenue increased by 7 points between 2002 and 2015. However, despite these progresses, the contribution of taxes on personal income was still low and around 1.6 per cent of GDP in 2015. On the other hand, the contribution of other taxes decreased.

Source: Martorano/ UNU Wider (2016) - *Taxation and inequality in developing countries - lessons from LA wp2016-98*

Figure 10 *Gini coefficient and tax revenue in 18 Latin American countries, 1990–2015*





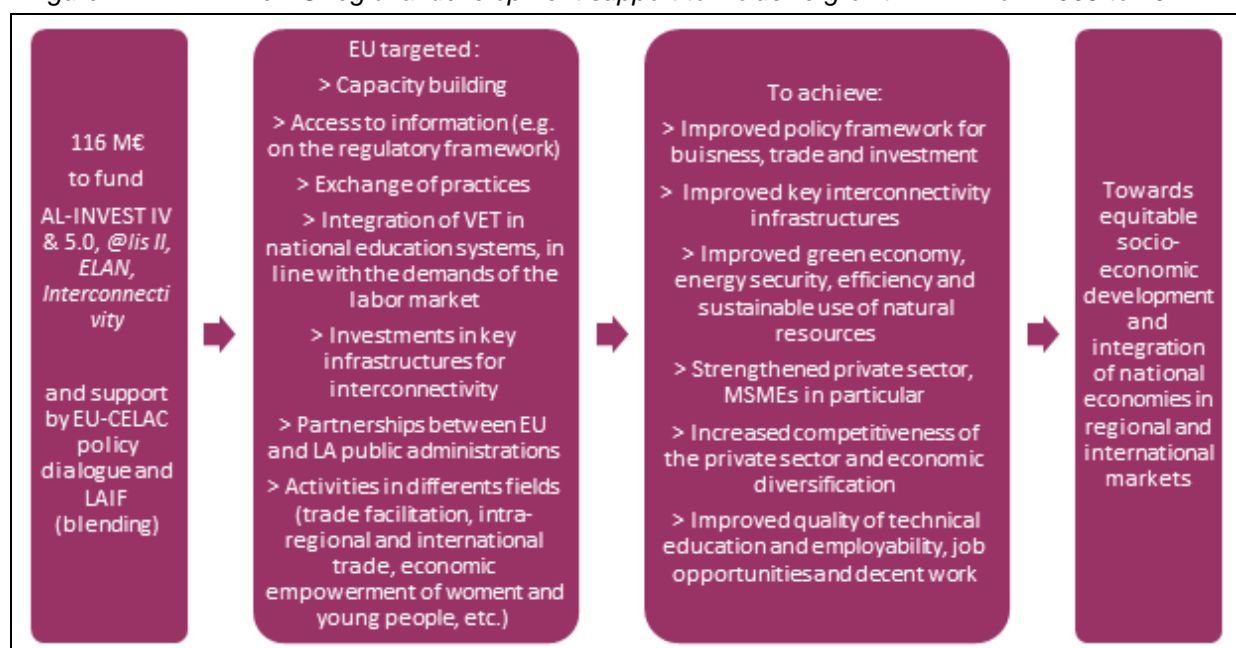
## 6 EQ 6 - Inclusive growth

**To what extent has EU support contributed to the strengthening of regional competitiveness and the private sector?**

This EQ covers four main dimensions/judgement criteria:

- JC 61: EU-LA policy exchanges and institutional networking
- JC 62: Opportunities for intra-regional cooperation, sharing and learning
- JC 63: Legal, policy and institutional environment
- JC 64: Results.

Figure 11 The EU regional development support to inclusive growth in LA from 2009 to 2017



### 6.1 JC 61 - EU-LA policy exchanges and institutional networking

#### 6.1.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 61: EU support contributed to fostering EU-LA policy exchanges and institutional networking in the areas of business, trade and investment, and regional integration	I-611 Number and quality of EU-LA dialogue platforms established in the area of trade and private sector development (incl. frequency of exchange through these platforms) I-612 Degree to which the supported platforms have created opportunities for policy exchanges, sharing of information and networking (between the two regions) beyond these platforms

#### 6.1.2 Main findings and related evidence

##### 6.1.2.1 Finding: Some opportunities created to compare experiences and construct conceptual bridges between the two regions

<b>Related indicators:</b>	I-612
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

The 2017 report of the EU-LAC foundation on the internationalisation of LA SMEs and their projection in Europe highlights the importance of SMEs in bi-regional dialogue: “*Latin American and European SMEs are natural and main actors of European Union-CELAC relations. This is reflected in the document jointly published by the CEPAL and the EU-LAC Foundation in 2015 entitled “CELAC-EU. Reinforcing Production Cooperation & Dialogue Spaces: the role of SMEs”. Interlinking the individuals, strategies and interests that collaboration between them can generate represents a crucial element in*

*bi-regional dialogue. Proof of this is the incorporation of the Business Summits into the EU-CELAC Summits of Heads of State and Government from 2006 onwards. Indeed, the topic chosen for the 5th Business Summit (Brussels, 2015) was “Europe, Latin America and the Caribbean: Promoting inclusive and sustainable growth by enhancing the role of Small and Medium Sized Enterprises”.*

The 2010, 2013 and 2015 Action Plans adopted in the EU-CELAC summits all contain a key area with a strong focus on inclusive and sustainable growth: “Investments and entrepreneurship for sustainable development” (Key area 8).

The 2013 EU-CELAC Action Plan (2013-2015) contains an objective which states: “*Set up a dialogue at an appropriate level to develop the main aspects of investments and entrepreneurship between both regions, such as the CELAC-EU Ministers of Economy Meeting, held in Puerto Varas, Chile.*” The action plan also contains the following expected results:

- *Seminar of national investment promotion entities, aimed at exchanging experiences and promoting coordination of investment efforts.*
- *Appointment in each country, as appropriate, of an official at the highest possible political level (“Mr. or Ms. MSMEs”) to deal with the issues related to MSMEs, exchanging best practices with their counterparts from other countries.*
- *Holding, as appropriate, of a “week for the promotion of MSMEs” in each country simultaneously, an initiative that has already been done successfully in countries of both regions.*
- *Invite countries to consider submitting a report of national action plans on CSR – if applicable - at the next CELAC-EU Summit of Heads of State and Government, in 2015.*
- *Bi-regional meeting on model enterprises applying the concept of corporate social responsibility as regards social, environmental and human rights matters.*

Bi-regional business fora were organised on a relatively regular basis during the evaluation period after the 2013 EU-CELAC summit in Santiago (Chile):

- 2015 LAC-EU Business Forum: 10 June 2015, Brussels (Belgium);
- 2017 LAC-EU Business Forum: 12-14 October 2017, Mexico City (Mexico);
- 2018 LAC-EU Business Forum: 13-15 June 2018, Antigua (Guatemala).

During these events, a wide range of activities for networking, policy discussions, exchanges of good practices, etc. were organised, with a large participation of business leaders, public entities and international organisations involved in EU-LA economic and trade relations.

However, some expected results identified in the EU-CELAC actions plans were not achieved. In particular, the interviews and documentary evidence gathered shows that the specific objective of having a high-level dialogue platform “*to develop the main aspects of investments and entrepreneurship between both regions*” has not been fully achieved since, beyond the above-mentioned business fora, there is no evidence of a structured dialogue in place in recent years.

The main regional programme in the area of inclusive and sustainable growth, AL INVEST, which is now in its fifth phase, has focused in varying degrees on strengthening policy dialogue between the two regions. The current programme has two main components:

- a core component, implemented by a consortium of business organisations, which focuses on the strengthening of private sector competitiveness, especially through business organisations;
- “Euromipyme”, implemented by ECLAC, which focuses on improving the business environment for MSMEs, especially through the development of industrial policies conducive to sustainable and inclusive growth. This component of two main activities: i) generation of knowledge (including thematic studies) to provide recommendations on policy development and nourish bi-regional dialogue; ii) monitoring of outcomes of the programmes.

According to interviews carried out during the field mission, some stakeholders involved in AL INVEST 5.0 perceive that the current programme focuses more on “private-private” dialogue than on dialogue between public institutions or between public and private actors. Moreover, the two components of AL INVEST 5.0 are implemented in parallel with limited connections between the two although, for instance, the stakeholders involved in the core component could participate more proactively on Euromipyme and the work carried out in the context of Euromipyme could be better disseminated in the context of the core component. Interviews carried out during the field missions show a general lack of knowledge about the role of ECLAC/CEPAL in AL INVEST 5.0.

One of the objectives of AL-INVEST 5.0 (related to its the “Euromipyme” component) was actually to produce inputs or nourish the bi-regional dialogue on MSMEs promotion. In 2017, ECLAC/CEPAL (the implementing partner) produced a strategic document and a draft position paper (published in 2018)

on this topic in close consultation with the relevant EU and LA stakeholders. The strategic document draws on the results of seven country studies on MSMEs policies carried out between 2016 and 2017. Project staff and representative from relevant organisations participated in the Mexico Business Forum in 2017 (Ciudad de Mexico, October 2017). This contributed to ensuring visibility of these activities. A specific Euromipyme UE-ECLAC logo and website<sup>201</sup> had also been designed during the first year of implementation.

### 6.1.2.2 Finding: Mixed results in terms of enhancing linkages between business actors in the two regions and ensuring the transfer of knowledge and good practices

<b>Related indicators:</b>	I-611, I-612
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

There is evidence of AL INVEST having contributed to establishing some linkages between EU and LA business actors through activities such as study visits, B2B events, annual meetings. The 2016 final evaluation of AL-INVEST IV notes: *“Las OI consideran que los Encuentros Anuales valen la inversión, por relacionamientos, e intercambio sobre políticas de apoyo a PyMEs y sobre la gestión de Cámaras.”* Moreover, example of concrete business linkages created through the regional programme includes: representatives of technology centres of the Basque country in Spain<sup>202</sup> participated in AL-INVEST 5.0 activities (including study visits and participation in B2B events) which helped establishing contacts with relevant sister organisations in the LA region. However, interviews carried out highlight that, overall, such linkages have remained limited in the context of AL INVEST. AL INVEST has actually evolved to increasingly focus on intra-regional collaboration with more visible achievements at this level (see JC62). The 2018 ROM report of the programme underlines: *“Un mayor peso del know-how regional en la transferencia de capacidades, frente a una mayor transferencia de know-how Europa- América Latina que se apreciaba en otras versiones de AL-Invest”*.

Although these regional programmes have not had a real continental coverage, ELAN Biz and ELAN Network have made clear contributions to increased business linkages between the two regions. According to interviews carried out, ELAN Biz has helped developing the presence of certain EU MSMEs in the LA countries targeted by the programme. ELAN Network has promoted the establishment of specific transfer of technology in the field of energy, water treatment and environment. For example, RBI (Croatia) and CeNAT (Costa Rica) are working on the improvement of meteorological models for Costa Rica and neighbouring countries. Tecnalia (Colombia) and TNO (the Netherlands) are working together on developing solutions to tackle challenges related to water treatment, energy and recycling. TNO is also working with INTI from Argentina to develop a Centre for research, development and technical assistance of renewable energies focusing on biomass and energy sufficiency<sup>203</sup>. More generally, ELAN Network has supported more than 68 collaborative projects between Latin American and European technology-based organisations. The number of participants to ELAN Network grew from 28 to 77. Despite this relative success and the participation of DG RTD in AL INVEST events, several LA stakeholders interviewed underlined the fact that the possibilities of cooperation offered by EU programmes such as the Horizon 2020 programme have been underused.

The attempt to promote business linkages through an online platform (developed by the IADB) under AL INVEST 5.0 has not been as successful as expected. The 2018 ROM report of the programme notes: *“Cabe hacer referencia a un producto estratégico que no recibe una valoración positiva por parte de sus usuarios. Se trata de la plataforma online desarrollada por el BID para la vinculación de las MIPYMES, basada en su plataforma ConnectAmericas. Los usuarios, especialmente los pequeños empresarios, consideran de forma generalizada que es una herramienta demasiado compleja y que no resulta fácil de usar ni de aprovechar su potencial (...) hay un alto grado de consenso en el escaso interés que ha generado el uso de la plataforma Red AL-Invest (interconectada con la plataforma ConnectAmericas del BID).”*

In general, examples of actual exchanges of good practices and transfer of knowledge between the EU and LA remain scarce. Despite clear objectives in this area, there is limited evidence that AL-INVEST has contributed to establish strong linkages or transfer of knowledge between EU and LA entities. A notable exception is the action of sequa GmbH (Germany) which in the context of AL-

<sup>201</sup> <https://www.cepal.org/es/proyectos/euromipyme>

<sup>202</sup> E.g. GAIA (clúster de telecomunicaciones y gestores de muchas iniciativas tecnológicas en el País Vasco).

<sup>203</sup> See 2018 EU: ELAN Network - Results and future prospects - Meeting presentation, 25 June 2018, Brussels.

INVEST IV helped some Andean countries to replicate a specific method for MSME development, the Nucleus Approach<sup>204</sup>.

### 6.1.2.3 Finding: Low participation of European stakeholders in the regional programmes

<b>Related indicators:</b>	I-612
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

A few actors like Eurochambres have been closely associated to the implementation of AL-INVEST and ELAN. ELANBiz has also contributed to strengthening the presence of bilateral Chambers of Commerce and Industry in the region. DG RTD participates in AL INVEST events, and DG GROW and DG TRADE are involved in the steering committee of AL INVEST. However, the evidence gathered shows that, overall, there has been a low participation of European stakeholders in the EU-funded regional programmes, which hampered policy exchanges and transfer of knowledge between the two regions.

The 2016 final evaluation of AL-INVEST IV notes: *“Las [Organizaciones intermedias – OI] consideran que los Encuentros Anuales valen la inversión, por relacionamientos, e intercambio sobre políticas de apoyo a PyMEs y sobre la gestión de Cámaras. (...) También algunas OI consideran que los europeos tenían una agenda y los LA otro, lo que dificulta el “matching”. En forma general, la participación de OI de la UE fue limitada, lo que dificultó la transferencia de tecnología y know how cuando muchas empresas buscan progreso tecnológico a través de coinversiones.”*

It further notes: *“no existe una línea de coordinación directa con los socios europeos de parte de los socios del Mercosur Chile Venezuela (MCV), lo cual hubiera facilitado la creación de una RED de trabajo, como la que resultó en AL-INVEST III. Este hecho fue señalado en las entrevistas con estos, donde afirmaron que el Consorcio MCV realizaba “acciones sin contar con ellos”.*

The final evaluation also highlights: *“A la complementariedad observada a nivel de cada consorcio se agrega la co-organización de citas de negocios con el European Enterprise Network (EEN) de la DG Enterprise y de los Talleres del Export Helpdesk de la DG Trade. La transferencia de conocimiento de parte de las empresas y OI europeas fue limitada.”*

The evaluation highlights the role played by other stakeholders in this area: *“Es importante diferenciar entre Reciprocidad europea y Aportación Europea. El segundo no va reñido con el primero. Un futuro programa debería posibilitar que Europa aporte y transfiera conocimiento, basado en las necesidades que se identifiquen en AL. Esto vendría justificado ya que algunas de las experiencias más interesantes que se han recogido en este AL-INVEST IV justamente proceden de la transferencia de conocimiento europeo: es el caso de los Nucleos Empresariales (Sequa), o en parte, el caso de los Encadenamientos Productivos en Guatemala, que son en gran medida, fruto del apoyo de cooperaciones de diferentes países europeos (como Danida o GIZ, aunque también de otras, como el USAID).”*

Interviews carried out highlight three main obstacles which impeded stronger involvement from European stakeholders in the EU-funded programmes: i) language barriers; ii) domination of exchange activities by a few EU MS already well established in the region (e.g. Spain, Germany, France, Italy); iii) underestimation (during the project design) of the resources required to promote the involvement of European stakeholders in the programmes<sup>205</sup>.

<sup>204</sup> A nucleus is a working group consisting of companies of the same sector, which is moderated by a management consultant employed by or under contract at a chamber or association. The Nucleus Approach mobilises a large number of companies, especially SMEs, within a very short time. The enterprises use the groups to identify activities with which they can trigger improvement processes. Participatory facilitation techniques support the work of the nucleus which turns into a platform allowing for exchange about problems and their solutions.

<sup>205</sup> In the case of ELANBiz, a specific communication strategy had to be developed during programme implantation to seek the participation of a broader range of European (private) actors.

## 6.2 JC 62 - Intra-regional policy dialogue

### 6.2.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 62: EU support contributed to creating sustainable opportunities for intra-regional cooperation, sharing and learning in the areas of business, trade and investment, and regional integration	I-621 Number of EU supported initiatives (e.g. regional conferences) promoting South-South exchange of experience and good practices in the area of investment and business climate I-622 Existence and degree of sustainability of regional networks / institutional coordination structure established or supported through EU regional interventions I-623 Degree of legal and policy harmonisation within the region

### 6.2.2 Main findings and related evidence

#### 6.2.2.1 Finding: Through the strengthening of LA business organisations, EU-funded regional programmes have generated some positive effects on intra-regional cooperation

<b>Related indicators:</b>	I-621
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

Business organisations, which play a key role in intra-regional business linkages, have been the main direct target beneficiaries of the AL-INVEST programmes and there is evidence that the programme has helped strengthening them (see JC63 below). Some activities organised in the context of the programme such as study visits and the AL-INVEST Academy created useful opportunities to create linkages between business organisations.

The AL-Invest Academy is an initiative backed by Eurochambres which targets the professional development of directors and mid-level managers of business organisations. It offers intense training as well as opportunities to establish contacts in an informal environment. The 2018 ROM report of AL INVEST 5.0 notes: “*En el nivel de las organizaciones empresariales se destaca la calidad de AL-Invest Academy, por sus contenidos y la utilidad para sus participantes.*”

The Final evaluation of AL-INVEST IV highlights some positive examples of exchanges between participants of the programme: “*Algunas ferias en Guatemala o Nicaragua<sup>206</sup> han adquirido dimensión regional (a través de la participación de empresas de otros países centroamericanos y porque se han realizado reuniones de Consorcio en su seno). En el marco del AL-INVEST IV, también hubo networking en las reuniones de Consorcio Anuales con otros socios de otras regiones, o a través de los Academias, donde 2 socios centroamericanos, CADEXCO y APEN se han incorporado a la “Red de Cámaras de organizaciones empresariales”, que la gestiona CAINCO<sup>207</sup>*”

Some stakeholders interviewed during the field missions (Bolivia, Colombia) confirmed that there were some exchanges taking place in the context of the AL INVEST 5.0 annual meetings. In recent years, these meetings took place during the same week as the EU-LA business fora (see JC61), which increased the level of participation in both events. It was not possible to collect robust evidence on the results of these exchanges.

The internal EU document “AL INVEST 5.0 State of play as of May 2018” indicates that 46 integration events between EU and LA business actors were organised since the start of the programme.

It is also noteworthy that AL INVEST IV and 5.0 have been implemented through international consortia which also somewhat enhanced the collaboration between participating business organisations although evidence gathered through interviews didn’t highlight a substantial effect in this regard.

<sup>206</sup> Estas ferias en Guatemala son: Agritrade, Manuexport, New World Craft, Service Summit, Guatemala Travel Market. En Nicaragua: ExpoApen.

<sup>207</sup> Esta red ya ha presentado un proyecto un proyecto en común al BID, que lidera CAINCO, para el Fortalecimiento de los Sistemas de Innovación Comercial.

### 6.2.2.2 Finding: Limited contribution of EU support to establishing or strengthening structured regional platforms of dialogue

<b>Related indicators:</b>	I-621, I-622, I-623
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

There are a few examples of exchanges of experiences between members (national business organisations) of implementing consortia during AL-INVEST annual meetings or specific internal meetings organised during business events. There are also some examples of replication of successful experiences (e.g. training courses on the support to innovation in Central America). However, examples of cross-border exchanges remained limited in terms of frequency and the number of stakeholders involved. Despite some positive effects highlighted above, interviews indicated that, overall, AL INVEST's effects on cross-border exchanges between the business organisations of the region and the establishment of structured regional platforms of dialogue have remained limited.

The Final evaluation of AL-INVEST IV already noted some shortcomings in the regional dimension of the programme: *“El Programa en el Consorcio Central America- Mexico-Cuba (CAMC) ha carecido de una dimensión regional. Cada país ha ejecutado sus propios presupuestos y sus propias actividades. No obstante, a lo largo de la ejecución del Programa se han podido estrechar los lazos y compartir algunas experiencias entre los socios CAMC, derivado de las reuniones de Consorcio y de los POAs que permitían identificar posibilidad de desarrollo de actividades conjuntas (por ejemplo en la feria BIOFACH). En cualquier caso parece que la colaboración intra-región centroamericana ha sido mayor que la colaboración Centroamérica-México, e incluso la intra-Mexicana.”* It further notes: *“el intercambio de experiencias entre los socios de MCV se limitó a las reuniones de coordinación anuales, organizadas por el Consorcio de Servicios. La coordinación de acciones con los otros consorcios fue mínima, y se limitó a aspectos puntuales (colaboración para participación en una feria regional, etc.).”*

Interviews carried out during the field mission show that examples of triangular (South-South-North) cooperation in the area of inclusive growth in the region remain scarce, despite the strong interest of some stakeholders. For instance, public institutions of Bolivia expressed a clear interest in increasing initiatives of triangular cooperation with countries of Central America or the Caribbean.

Moreover, the attempt to promote business linkages through an online platform (developed by the IADB) under AL INVEST 5.0 has not been as successful as expected. The 2018 ROM report of the programme notes: *“Cabe hacer referencia a un producto estratégico que no recibe una valoración positiva por parte de sus usuarios. Se trata de la plataforma online desarrollada por el BID para la vinculación de las MIPYMES, basada en su plataforma ConnectAmericas. Los usuarios, especialmente los pequeños empresarios, consideran de forma generalizada que es una herramienta demasiado compleja y que no resulta fácil de usar ni de aprovechar su potencial (...) hay un alto grado de consenso en el escaso interés que ha generado el uso de la plataforma Red AL-Invest (interconectada con la plataforma ConnectAmericas del BID).”*

Finally, as detailed in the next sub-section, AL-INVEST 5.0 has a component, Euromipymes, focusing on how to improve the business environment for MSMEs and develop industrial policies in LA conducive to sustainable and inclusive growth at national, regional and sub-regional level. However, it is worth highlighting that achieving legal and policy harmonisation was actually not an explicit objective of EU support during the evaluation period.

## 6.3 JC 63 - Legal, policy and institutional environment

### 6.3.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 63: EU support contributed to the strengthening of legal, policy and institutional environment in LA countries in the areas of business, trade and investment, and regional integration, in line with regional best practices and international (including EU) standards	I-631 (Policy) Evidence of strengthened social policy/strategy formulation processes, including increased analytical underpinning I-632 (Policy) Evidence of an active role played by the private sector in policy formulation

### 6.3.2 Main findings and related evidence

#### 6.3.2.1 Finding: EU support has substantially contributed to the strengthening of the institutional capacities of intermediary organisations in LA countries

<b>Related indicators:</b>	I-631
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

An important dimension of AL-INVEST IV and AL-INVEST 5.0 has been the institutional strengthening of business organisations. There have been clear positive contributions in this area. The EU document "AL-INVEST 5.0 state of play as of May 2018" indicates that: 19 Business Confederations were consolidating, including through the strengthening of the skills of more than 1,000 persons; 46 management services to support MSMEs were developed and benefited more than 1,100 MSMEs; 156 institutions improved their private-public dialogue capacities, realizing 14 agreements or alliances. The document further notes: "15,732 associated MSMEs, 7,240 of which have been trained on the use of business association tools; 3,924 MSMEs enlarged/diversified their business at local, national or international level; an online platform has been developed, with more than 2,000 users since its launching". It also highlights a success story in Uruguay where the regional programme supported the development of new services for SMEs by the Chamber of Commerce. Uruguay's CIU has developed three new services/information platforms for SMEs: i) a monitoring system of the scientific-technological market environment; ii) a platform for offer/demand of knowledge with industrial application; and iii) an observatory of micro competitiveness in the food sector.

As explained above, business organisations have been strengthened through training, study visits, technical support, etc. The increased use of the Nucleus Approach among Andean institutions such as CAINCO and CADEX in Bolivia illustrates the positive effects of AL INVEST on business organisations. The 2018 ROM report of AL-INVEST 5.0 highlights: "*en Bolivia, CAINCO ya ha adoptado como metodología institucional el trabajo mediante núcleos empresariales, y en Colombia, la Cámara de Comercio de Bucaramanga ha aprobado incorporar a su metodología institucional el trabajo mediante núcleos empresariales y está diseñando una estrategia para obtener la financiación necesaria para su mantenimiento sin tener que repercutir su coste íntegramente a los participantes. En Guatemala, AGEXPORT funciona desde hace años con una metodología de Comisiones Sectoriales, similar a la de núcleos empresariales, y hay una cierta estabilidad de los grupos desde hace años, por lo que no se prevén problemas para su continuidad cuando finalice AL-Invest 5.0.*"

More generally, the 2018 ROM report of AL-INVEST 5.0 notes: "*Un indicador relevante del éxito de este proceso de adquisición de capacidades entre los socios de ejecución y de su posible continuidad, es que parte de las organizaciones empresariales ejecutoras han incorporado a su estrategia institucional de forma permanente, al margen de las actividades de AL-Invest, el trabajo de fortalecimiento de capacidades de sus MIPYMES asociadas mediante la metodología de núcleos empresariales sectoriales que se aplica en el proyecto.*"

According to the interviews carried out, LAIF has supported marginally SMEs and MSMEs through enhanced access to credits. This was especially the case in Central America via interventions led by CABI and KfW. The supported projects have made some contributions to increasing access to credit, enhancing the targeted firms' knowledge of green products and the sharing of lessons from different countries of the sub-region.

### 6.3.2.2 Finding: Positive examples of increased collaborations between private organisation, public institutions and research institutions

<b>Related indicators:</b>	I-631 and I-632
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

EU support has supported some attempts to increase trilateral collaborations between private organisation, public institutions and research institutions. This has especially the case in the context of the ELAN Network programme. The ELAN Network actually support a “Triple Helix network”<sup>208</sup> formed by key actors from the innovation ecosystems of both regions. These actors are proactive, dynamic entities willing to create a context of mutual benefit and consist among others of:

- Business Support Organisations: Chambers of commerce, clusters, incubators and other entrepreneur support organisations, etc. that work with SMEs in various different domains, such as innovation, internationalisation, competitiveness, entrepreneurship, etc.
- Knowledge- and Technology-based Organisations: Universities, technology and innovation centres, etc. with an ability and interest in identifying the best ideas, in order to transform them into business.
- Public Sector Actors: Internationalisation and/or innovation promotion agencies, regional development agencies, etc. who are drivers of the innovation ecosystem in their territories and owners of programmes and policies that support the generation of business opportunities.

The 2017 ROM report of ELAN Network assesses that a good level of effectiveness has been achieved (“El análisis de Eficacia se ha calificado de medio-alto”), but it highlights serious concerns regarding sustainability:

*“En relación con la Sostenibilidad (planteada ahora como criterio de análisis), ésta presenta debilidades e incertidumbres significativas. Pese a una elevada apropiación de los actores implicados y unas buenas capacidades institucionales instaladas, el proyecto aún no ha creado las condiciones que garanticen que, cuando concluya la financiación de la UE, habrá continuidad en la financiación de los recursos técnicos, humanos y físicos de ELAN Network, por otras vías, para que sus beneficios sigan siendo accesibles. Los socios de la Red plantean un modelo de sostenibilidad en dos fases que parece viable, pero que aún deberá ser aceptado y concretado en sus detalles y, sobre todo, captar recursos financieros adicionales cuya disponibilidad no es aún evidente”.* (source: EU (2017): ROM report of ELAN Network).

This issue was recently taken into account by DG DEVCO who placed increased emphasis on strengthening the sustainability of the network (e.g. logframe adjusted, more close monitoring).

ELAN Network addressed ‘shared interests’ between the two regions. But, it is important to highlight that, by design, ELAN Network didn’t pursue “development cooperation” objectives at regional level. The programme was financed under the ICI+ instrument and had a strong focus on EU actors. Moreover, it focused only on seven LA countries: Argentina, Brazil, Chile, Colombia, Costa Rica, Mexico and Peru.

Finally, the 2018 ROM report notes:

*“La orientación múltiple de las acciones del proyecto hace que pueda ser percibido simultáneamente como un proyecto de fomento del comercio y como un proyecto de fomento de la investigación e innovación. Esta circunstancia, unida a que su financiación desde la Unión Europea ha estado a cargo de DG DEVCO, en lugar de corresponder a una Dirección General más afín a los contenidos del proyecto, ha contribuido a que no haya una visión única desde la UE sobre la orientación de las acciones del proyecto; particularmente en la interlocución desde las Delegaciones de la UE con los gestores de TECNALIA, en la que ha participado personal de la UE correspondiente tanto a DG TRADE como a DG RTD (Investigación e Innovación), en función del país donde se ejecutasen las acciones.* (source: EU (2018): ROM report of ELAN Network).

<sup>208</sup> The Triple Helix thesis is that the potential for innovation and economic development in a Knowledge Society lies in a more prominent role for the university and in the hybridisation of elements from university, industry and government to generate new institutional and social formats for the production, transfer and application of knowledge see [https://triplehelix.stanford.edu/3helix\\_concept](https://triplehelix.stanford.edu/3helix_concept).



### 6.3.2.3 Finding: Limited effects on the consolidation of the policy framework and the strengthening of public institutions involved in MSME development in LA countries (so far)

<b>Related indicators:</b>	I-631 and I-632
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

As highlighted above, the participation of the different actors of the private sector in the EU regional programmes has contributed to strengthening them. Interviews show that some of them have become true interlocutors in the formulation of support policies. In particular, this has been the case in Central America, a region characterised by small countries with strong private sector organisations / unions which can promote regulations of law and policies (per example in Guatemala or Honduras). In fact, trade promotion activities from AL-Invest in Central American region have influenced the EU-CA Association Agreement and its related policies.

AL-INVEST 5.0 has a specific component to support the development of public policies conducive to sustainable and inclusive growth at national, sub-regional and regional level. The Euromipyme project implemented by ECLAC has focused on how to improve the business environment for MSMEs and develop industrial policies in LA. The box below presents some achievements of the Euromipyme project after two years of implementation.

**Box 6** *Examples of achievements of the Euromipyme component of AL-INVEST 5.0 after two years of implementation*

Los logros más relevantes del proyecto CEPAL-UE sobre políticas para MIPYMES, durante su segundo año de implementación, se pueden resumir en los siguientes grandes ámbitos: 1) ampliación del análisis, de los factores que influyen en el desempeño de las MiPYMEs, con la incorporación de dimensiones relacionadas con los grandes cambios tecnológicos que están modificando los escenarios económicos y sociales mundiales; (2) ampliación de las actividades de asistencia técnica; (3) ampliación y consolidación de una red de responsables de programas de fomento de las MiPYMEs de una decena de países de la región y realización de una primera iniciativa de intercambio de buenas prácticas; (4) puesta en marcha de la página Web del proyecto y realización de numerosas acciones de sensibilización de actores públicos y privados; (5) identificación de áreas específicas relevantes para la asistencia técnica, cooperación regional y colaboración entre Europa y América Latina; y (6) profundización de la metodología para la evaluación del Programa AL-Invest 5.0 y creación de una primera base significativa de los beneficiarios de AL-Invest 5.0.

Terminado, en el período anterior, el análisis de la situación de las MiPYMEs en siete países de la región (Argentina, Brasil, Chile Colombia, El Salvador, México y Uruguay), se ha agregado un estudio sobre un octavo país (Ecuador) que, con un enfoque novedoso analiza los determinantes de las brechas de productividad entre las firmas de distintos tamaños. Al mismo tiempo, se ha ampliado el análisis de los factores tecnológicos y digitales que influyen cada vez más en el desempeño de las MiPYMEs y se han puesto en marcha investigaciones sobre buenas prácticas de políticas en ámbitos de acción de especial relevancia estratégica para el desarrollo de las MiPYMEs.

Este trabajo de análisis e investigación ha sido de gran importancia para orientar las asistencias técnicas que se realizan en el marco del proyecto, las actividades de apoyo al diálogo público-privado y la identificación de áreas de cooperación entre Europa y América Latina.

De la misma manera los estudios y las acciones de visibilidad del proyecto han favorecido la sensibilización de actores públicos y privados en la región, así como el establecimiento de relaciones más estrechas con los tomadores de decisiones sobre las políticas de apoyo a las MiPYMEs. En efecto en el área de asistencia técnica, además de continuar las actividades en Argentina empezadas en el primer año del proyecto, ha sido puesta marcha una cooperación técnica que involucra a cuatro países (Chile, Colombia, El Salvador y México), y se están definiendo acuerdos con instituciones de Brasil y Ecuador.

*Source: ECLAC (2018): AL-INVEST 5.0 Annual report for 2017*

The 2018 ROM report of AL INVEST 5.0 highlights the relevance of the activities under this component: “*En relación con los productos elaborados por la CEPAL, se ha constatado la profundidad y orientación a la utilidad de los diagnósticos sobre las MIPYMES realizados en 7 países de la región. Así como de los estudios especializados. También se ha podido verificar la satisfacción del Servicio de Cooperación Técnica del Gobierno de Chile (SERCOTEC) con la asistencia técnica recibida.*”

As highlighted during the interviews carried out in the field missions and in the 2018 ROM report of AL INVEST 5.0, the efforts to strengthen public policies at regional level are facing challenges related to the diversity of country context which characterises LA:

- In Bolivia, the priority of public policies has not been oriented to the development of the formal private sector. This leadership is actually exercised to a great extent by the Chambers of Commerce and efforts to develop MSMEs remain of a private nature.
- In contrast, in Colombia, in addition to a clear public policy focusing on private sector development, there are also specific guidelines on MSMEs. There is also a strong institutional environment structured around the National System of Support and Promotion of MSMEs (Sistema Nacional de Apoyo y Promoción de las Mipymes), which generate a favorable environment to develop specific measures in this area. The public sector and private actors are also closely connected through the Chambers of Commerce that, although being of a private nature, have the function of acting as a commercial register in their respective geographical areas.

So far, EU regional programmes have had a limited focus on strengthening public policies in the area of inclusive growth and there is a consensus among stakeholders interviewed that it is too early to witness effects of ECLAC work under AL INVEST 5.0.

Finally, gender equality has not been a focus of the EU-funded activities targeting the strengthening of public policies in the area of inclusive growth. However, it should be highlighted that some consortia implementing AL INVEST IV core component developed various gender mainstreaming actions, such as COEXPORT support to the 80% of artisan women objective (El Salvador) or the CAMC consortium's training programme for Women Leaders in the region of Limón (Costa Rica). Through the RA consortium, AL INVEST IV has also supported women entrepreneurs through the Nucleus approach in the handicrafts and jewellery sectors<sup>209</sup>. AL INVEST 5.0 has established clear gender criteria as a condition to participate in the calls for proposals. According to the Annual Report 2017, the programme has supported and empowered more than 4.280 women entrepreneurs through training and technical assistance<sup>210</sup>. However, the design of both phases of AL INVEST lacks the establishment of clear sex-disaggregated indicators and a system to monitor gender equality in the various areas of intervention. There was also no specific budget allocated to this dimension of the programme.

## 6.4 JC 64 - Broader results

### 6.4.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 64: Positive results have been achieved in modernising MSMEs	I-641 Increased competitiveness of Latin American MSME I-642 Increased number of MSMEs making use of low-emission, climate resilient and environmentally sustainable investments

### 6.4.2 Main findings and related evidence

#### 6.4.2.1 Finding: Some contributions to addressing challenges impeding LA countries' sustainable and inclusive economic development

<b>Related indicators:</b>	I-641, I-642
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

Evidence gathered in this evaluation shows that AL INVEST has been a success in terms of strengthening MSMEs and business organisations of the region, which some very likely positive effects on the competitiveness of many MSMEs.

The final evaluation of AL-INVEST IV gives some figures on the number MSMEs covered by the regional programme: *“los resultados parciales obtenidos por los 3 consorcios en el período de duración del programa: se han capacitado a 22.987 personas, entre empresarios y funcionarios; se han realizado 17.187 asistencias técnicas enfocadas a resolver dificultades específicas de las*

<sup>209</sup> Al Invest IV Final Evaluation, Brussels, June 2014.

<sup>210</sup> Al Invest 5.0.

empresas; se han ofrecido 3.270 asesorías en temas de innovación, los cuales poseen una influencia multiplicadora en las PYMEs, y finalmente se han ejecutado 4.248 rondas de negocios”. Overall, according to the figures reported by the implementing partners, the programme has supported more than 59,000 MSMEs (with a total of 72,902 direct beneficiaries for the three consortiums).

The EU document “AL-INVEST 5.0 state of play as of May 2018” highlights several achievements. In particular, it is stated that 1,670 MSMEs increased their productivity, 6,167 MSMEs incorporated innovative elements, such as CSR or environmental management, 3,065 women entrepreneurs empowered. The box below presents examples of success stories.

**Box 7**                      *Examples of AL-INVEST 5.0 success stories*

- Sales promotion: At a Business to Business meeting organised by the AL-INVEST 5.0 programme, the Ecuadorian group "Café de altura" met with representatives of sales chains from Quito; they signed an agreement with them to commercialise their coffee, which has generated an increase of 32% of their sales; they are now working on the creation of their own brand.
- Associativity - Business links: Through the programme, Colombian milk producers met and associated in a second level cooperative to build and use together a milk processing plant.
- Offer diversification – Development of new products: Following a consulting mission in the framework of the programme, the company "Industrias Eid" from Bolivia, developed 3 new products: frozen fruit pulp, nectar and fruit sauce.
- Improvement of existing products and processes: Thanks to training, the group Toquilleras de Portoviejo, from Ecuador, improved the design and finishing of their hats; they increased their sales of 25% and now have contracts with intermediaries to export to Europe.

Source: EU(2018): AL-INVEST 5.0 state of play as of May 2018.

The final evaluation of AL-INVEST IV also underlines the success of the Nucleus Approach promoted by sequa GmbH in the past decade: “Final eval AL-INVEST IV: La aplicación del enfoque NE por el Consorcio RA facilitó la formalización de miles de empresas, más de 12 000 empresas iniciaron su proceso de internacionalización, y más de mil se han internacionalizado.”

Some positive effects are also highlighted in the recent ROM report of AL INVEST 5.0:

*“En el caso del componente desarrollado por el consorcio liderado por CAINCO, en los proyectos de ejecución directa, y por las organizaciones empresariales en los proyectos de apoyo financiero a terceros, los productos desarrollados hasta el momento han sido muy bien valorados, tanto por las MIPYMES que actúan como beneficiarios finales, como por las organizaciones empresariales intermedias, que son a la vez beneficiarias de productos transversales. Los empresarios entrevistados que forman parte de los núcleos empresariales, comisiones sectoriales o clusters que han tenido acceso a actividades de capacitación y que han recibido asistencias técnicas señalan la adecuación de los contenidos formativos y de las consultorías a sus necesidades. También de forma generalizada manifiestan su satisfacción con la asesoría proporcionada por los consejeros de núcleo.”* (source: EU(2018): ROM report of AL INVEST 5.0)

The report also highlights a good level of sustainability:

*“En el caso de las MIPYMES, que son beneficiarias finales, están siendo fortalecidas mediante acciones de vinculación empresarial, diagnósticos, desarrollo de competencias para mejora de su oferta competitiva, certificación de procesos, etc. Se considera que en el caso de las MIPYMES, su nivel de partida, tamaño y recursos condicionan la probabilidad de que continúen los beneficios cuando concluya el proyecto, pero es posible que al menos las de tamaño mediano y pequeño puedan seguir aplicando los conocimientos adquiridos y, mediante el proceso de vinculación logrado, y mantener la colaboración con otras MIPYMES y organizaciones empresariales.”*

#### 6.4.2.2 Finding: Overall, likely limited effect at the macro level

<b>Related indicators:</b>	I-641
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

There is a consensus among stakeholders interviewed that the regional programme is not likely to have achieved any substantial results at aggregated (regional) level. Entities supported in EU-funded regional programmes represents only a tiny share of total MSMEs in the region. Moreover, as highlighted in some interviews, a large majority of the actors supported are “micro” enterprise. The assumption behind this decision was that supporting micro enterprise would have a greater social

impact. Even if multiplier effects are taken into account, MSMEs which received directly or indirectly EU support during the evaluation period only represent a small part of the economy of the region.

Despite some positive evolutions at macroeconomic level, increases in competitiveness and trade indicators have been sluggish in the region in the last decade. Some economic variables (e.g. export volumes) have followed positive trends in LA during the evaluation period. However, average annual GDP growth has remained far slower than growth in other developing regions, and growth of several LA countries contracted in recent years. The box below provides details from the recent WB report on Global Economic Prospects which contains a specific analysis on Latin America and the Caribbean.

**Box 8** *Recent economic developments in Latin America and the Caribbean*

Growth in Latin America and the Caribbean (LAC) is estimated to have reached 0.9% in 2017, the first positive rate since 2014. The recovery was broadly in line with expectations in June 2017, as stronger-than-expected growth in Brazil was offset by a much deeper-than-expected contraction in República Bolivariana de Venezuela and more modest shortfalls in the Caribbean sub-region and Peru.

However, overall, growth slowed sharply in Latin America and the Caribbean in recent years, falling from a most recent high of 6% in 2010 to -1.5% in 2016, in response to the precipitous drop in global commodity prices and domestic challenges in some of the region's largest economies. Although the slowdown, which began to fade in 2017, appears to have been almost entirely due to cyclical factors, there are worrisome signs that underlying potential growth has also fallen in recent years compared to the long-term (1998–2017) and pre-crisis (2003–07) averages.

The recent slowdown in potential growth in LAC was due to weakening productivity growth and less favorable demographic conditions, which hit South America the hardest. More worryingly, it concludes that adverse trends are likely to cause a further slowdown in the coming decade. Reforms to boost investment and female labour force participation and to improve education and health outcomes could help offset the expected deceleration in potential growth, but productivity enhancing reforms may be the most effective policy approach given the longstanding weakness of total factor productivity (TFP) in the region.

Growth in Latin American and the Caribbean is expected to accelerate, driven by private consumption and, to a lesser degree, investment. Despite the steady recovery, growth in the region is expected to continue to be weaker than both historical averages for the region and growth in all other EMDE regions. Fiscal sustainability has deteriorated in commodity exporters in the region, particularly oil-exporting countries, and government debt, already at high levels in the Caribbean, may expand in the aftermath of the natural disasters. Together with fiscal vulnerabilities, domestic policy uncertainty and natural disasters could undermine regional growth.

*Source: WB (2018): Global Economic Prospects - LA&C analysis*

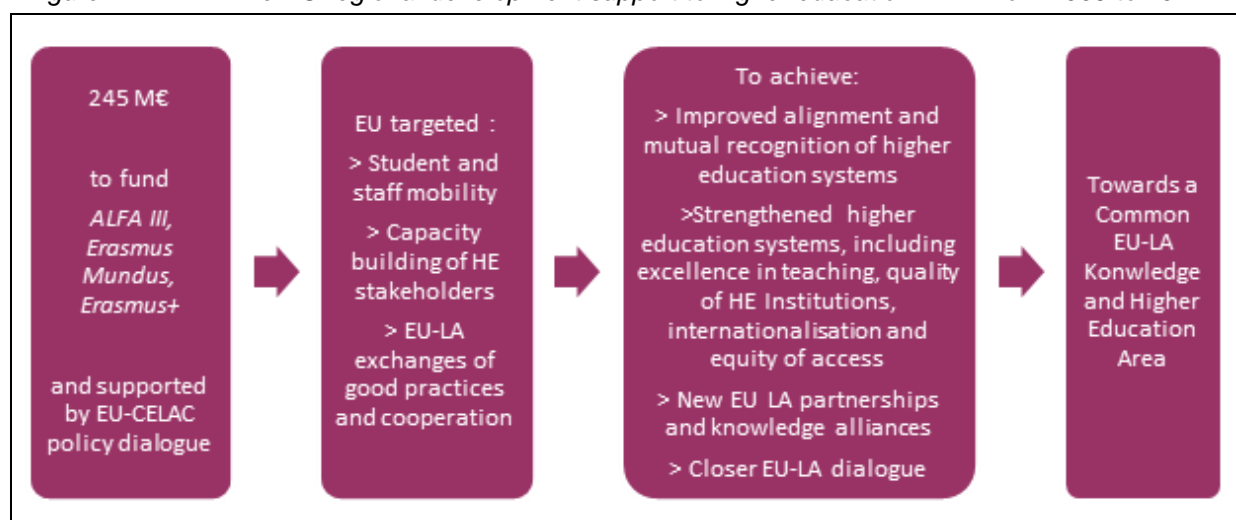
## 7 EQ 7 - Higher education

**To what extent has EU support contributed to the strengthening of the EU-LA bi-regional higher education area?**

This EQ covers four main dimensions/judgement criteria:

- JC 71: EU-LA policy exchanges and institutional networking
- JC 72: Higher education policy frameworks and governance systems
- JC 73: Employability
- JC 74: Fostering bi-regional knowledge communities.

Figure 12 The EU regional development support to higher education in LA from 2009 to 2017



### 7.1 JC 71 - EU-LA policy exchanges and institutional networking

#### 7.1.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 71: EU support contributed to <b>fostering policy exchanges and institutional networking</b> across Latin America and with the EU in the area of higher education	I-711 Number and quality of EU-LA dialogue platforms established in the area of higher education (incl. frequency of exchange through these platforms) I-712 Degree to which the supported platforms have created opportunities for sharing of information and networking (between the two regions) beyond these platforms (incl. existence of thematic networks on issues of mutual interest established to facilitate exchanges between EU and LA universities and research centres/networks as well as between private and public sector institutions) I-713 Increase in the number and scope of regional and bi-regional university partnerships and related collaborative research networks

#### 7.1.2 Main findings and related evidence

##### 7.1.2.1 Finding: Central role of policy dialogue in the implementation of the “Common Higher Education Area” and the “Common Research Area”

<b>Related indicators:</b>	I-711, I-712, I-713
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

The EU approach to strengthening cooperation with Latin America in the fields of higher education, science & technology has been two-fold. At the policy level exchanges have been embedded in the EU-CELAC dialogue. In the institutional realm, Latin American higher education institutions have benefitted from EU global and regional programmes in support of higher education, namely ALFA III, Erasmus Mundus and Erasmus+.

## Policy Dialogue:

- The 2009 Communication “The EU and Latin America: Global players in Partnership” underlined the need for stepping up the dialogue on science, research, technology and innovation with a view of developing an “EU-Latin America and Caribbean (LAC) knowledge area”<sup>211</sup>. The EU acted swiftly to achieve this objective.<sup>212</sup>
- In 2010, the Sixth EU-LAC Summit in Madrid adopted the Declaration “Towards a new phase of the bi-regional partnership in innovation and technology for sustainable and social inclusion.” It emphasised the key role of cooperation for mutual benefit in building a “Common Research Area”. The Summit defined a Joint Initiative for Research and Innovation (JIRI) and created the Senior Officials Meeting (SOM) to facilitate bi-regional dialogue on common priorities, encouraging mutual policy learning and ensuring the cooperation through biannual Action Plans.<sup>213</sup>
- In March 2016 the Fifth EU-CELAC Senior Officials Meeting on Science and Technology officially established the Common Research Area with the aim to further strengthen the bi-regional partnership in research and innovation by synchronising the manifold and various activities conducted by many different parties in both regions under three pillars: “mobility of researchers”, “international outreach of research infrastructures” and “jointly addressing global challenges”<sup>214</sup>
- An important output of the dialogue relations was the EU-CELAC Knowledge Week, held in early October 2017 in San Salvador. The event, which was co-organised by several DGs (DEVCO, RTD, EAC) included an event for national authorities on research and innovation, an Erasmus+ and Horizon 2020 information event, a seminar on recognition of study periods abroad and an “Academic and Knowledge Summit”, which brought together 300 academics and higher education decision-makers from the two regions.<sup>215</sup> The congress concluded with a Declaration calling for further integration and highlighting the Common Research Area as the existing policy framework supporting academic and scientific cooperation between the EU-Latin American and the Caribbean.<sup>216</sup>
- “*The progress towards the Euro-Latin American and Caribbean Higher Education, Science, Technology and Innovation Area requires a coordinated and generous effort from all institutions that are committed to it. To this effect, it must be underpinned by an institutional structure that promotes its continuous progress and adequate bi-regional articulation*”.<sup>217</sup> To this effect, the Senior Officials Meeting (SOM) for Research, the CELAC-EU University Council, the European University Association (EUA), as a representative institution of European universities, alongside the main Latin American and Caribbean rector and University associations, and the EU-LAC Foundation have started to play a role towards trying to establish the institutional underpinning. However, this process is in its early stages.
- The 2017 European Parliament “Report on EU political relations with Latin America” keeps silent on the issue and neither mentions policy exchanges in the field of higher education nor science & technology. It does, however, “*encourage[...] further cooperation with economic funds in the form of bilateral university participation, scholarships, knowledge exchange, and international mobility between EU and LAC students, in particular through boosting the Erasmus+ programme as part of the higher-education partnership with CELAC, launched in 2015*” and “*notes with satisfaction that in 2015, the Erasmus+ program was successfully launched offering 6 200 mobility possibilities and 3 500 scholarships mostly for CELAC students until 2020; points out the need to advance the full and mutual recognition of*

---

<sup>211</sup> COM (2009) 495

<sup>212</sup> EU (2016). Research and Innovation for Development in Partner Countries (2007-2013) Final Report Volume 3 – ANNEXES 1 TO 8, May.

<sup>213</sup> Madrid Declaration, 18 May 2010,

[http://www.europarl.europa.eu/cmsdata/124265/vi\\_18\\_5\\_2010\\_madrid\\_en.pdf](http://www.europarl.europa.eu/cmsdata/124265/vi_18_5_2010_madrid_en.pdf)

<sup>214</sup> EU-CELAC Joint Initiative on Research and Innovation (JIRI) Fifth Senior Official Meeting on Science and Technology 14 March 2016, [https://ec.europa.eu/research/iscp/pdf/policy/joint\\_communique\\_eu-celac\\_032016\\_en.pdf](https://ec.europa.eu/research/iscp/pdf/policy/joint_communique_eu-celac_032016_en.pdf)

<sup>215</sup> [https://ec.europa.eu/education/events/201710-celac-el-salvador\\_en](https://ec.europa.eu/education/events/201710-celac-el-salvador_en)

<sup>216</sup> <http://ec.europa.eu/research/iscp/index.cfm?pg=latin-amic-carib>

<sup>217</sup> CELAC-EU Academic and Knowledge Summit”. [https://ec.europa.eu/research/iscp/pdf/declaracion\\_de\\_san-salvador\\_en.pdf](https://ec.europa.eu/research/iscp/pdf/declaracion_de_san-salvador_en.pdf)

*university degrees and to strengthen bi-regional cooperation in the quality and accreditation system”.*<sup>218</sup>

- The EU has conducted higher education dialogues with Brazil and Mexico since 2010 which are led by DG EAC. However, these dialogues are not coordinated with the bi-regional policy dialogues on higher education within the EU-CELAC framework.<sup>219</sup>

European Parliament resolution of 12 June 2012 on defining a new development cooperation with Latin America *“takes the view that [...] triangular cooperation initiatives should be expanded in such sectors as science and research, sustainable development, the environment, climate change, energy, social cohesion, education and employment”*<sup>220</sup>. However, the field missions also showed the challenges faced by the EU regional programme:

- According to a recently published study on EU-LA relations: *“[...] it became clear that the EU is pushing for science diplomacy towards Latin America at various levels and in numerous projects and initiatives. Some are unique in nature, such as the ‘Academic Summits’, and some are related to the external aspects of internal policy making (i.e. participation in Horizon 2020). Ever since the first EU-Latin America summit was organised in 1999, cooperation in the area of science, higher education and innovation appeared consistently in every declaration and action plan as a core element of the EU-Latin America inter-regional partnership. [...]it also became clear that the EU is not using all operational instruments it has at its disposal to further its science diplomacy agenda in Latin America: it has not developed a network of science counsellors or officers in Latin America and cooperation and investment in shared research infrastructure has only took place sporadically. In addition, whereas four Latin American states have also signed bilateral cooperation agreements with the EU, incentives for the EU to continue working through the more cumbersome large-scale ‘continental’ or inter-regional programmes seem to diminish day by day.”* (Joren (2017): EU-Latin American Science Diplomacy<sup>221</sup>)
- DEVCO is not directly involved in supporting science and technology/research through dedicated programmes. The EU’s current flagship programme is Horizon 2020 which involved nine DGs but not DEVCO.<sup>222</sup> The budget is implemented by 22 different bodies, some of which channel resources from other funding bodies (other EU, national, regional, and/or private funds) and so act as a secondary source of funds. This complex structure of direct and indirect funding is the heritage of the multiplicity of instruments, partnerships and agencies created over past decades. The cascade of funding from the managing DGs to the beneficiaries of the EU funds therefore follows various routes that are not always easy for the final beneficiaries who perform the research and innovation activities (researchers, research institutes, private companies) to identify and track. If the sector is extended to also include support to HE and DEVCO is added to the equation, the number of involved DGs stands at ten. Both EU and government stakeholders agreed that it would be difficult and might not be useful to restrict an evaluation of EU-LA cooperation in the field of HE/S&T to development cooperation, as the latter played only a very small part and was neglectable for a graduated country like Brazil. However, this was not always the case. According to the EUD, until 2013 50% of the development cooperation under the bilateral envelope was spent on HE.
- One notable exception and a good example for cooperation among different DGs in the field of research and innovation is the BELLA (Building the Europe Link with Latin America) programme. It provides for the long-term interconnectivity needs of European and Latin American research and education communities through the procurement of a long-term Indefeasible Right of Use (IRU) for spectrum on a submarine cable between the two regions.

<sup>218</sup> European Parliament, Committee on Foreign Affairs (2017). Draft Report on EU political relations with Latin America (2017/2027(INI)), 20 July.

<sup>219</sup> EU Higher Education Policy Dialogues First meeting EHEA Advisory Group, Paris, 12 January 2016, [http://www.ehea.info/media.ehea.info/file/AG1\\_20160112\\_Paris/85/9/AG1\\_2016\\_01\\_12\\_EU\\_HE\\_PolicyDialogues\\_626859.pdf](http://www.ehea.info/media.ehea.info/file/AG1_20160112_Paris/85/9/AG1_2016_01_12_EU_HE_PolicyDialogues_626859.pdf); information provided by DG EAC

<sup>220</sup> European Parliament (2012). European Parliament resolution of 12 June 2012 on defining a new development cooperation with Latin America (2011/2286(INI))

<sup>221</sup> Selleslaghs, Joren (2017) EU-Latin American Science Diplomacy. EL-CSID Working Paper Issue 2017/8, September, p.21, [http://aei.pitt.edu/92500/1/EL-CSID\\_WorkingPaper\\_2017-08\\_EU-Latin\\_AmericanScienceDiplomacy.pdf](http://aei.pitt.edu/92500/1/EL-CSID_WorkingPaper_2017-08_EU-Latin_AmericanScienceDiplomacy.pdf)

<sup>222</sup> DG Research and Innovation (DG RTD), DG Communications Networks, Content and Technology (DG CONNECT), DG Education and Culture (DG EAC), DG Energy (DG ENER), DG Internal Markets, Industry, Entrepreneurship and SMEs (DG GROWTH), DG Mobility and Transport (DG MOVE), DG Migration and Home Affairs (DG HOME), DG Agriculture and Rural Development (DG AGRI), and the Joint Research Centre (JRC)

BELLA is also developing and deploying a 100Gbps-capable research and education network across Latin America. Funded by DG-CONNECT, DG-DEVCO, DG-GROWTH and by the Latin American National Research and Education Network (NREN) community, BELLA is implemented by a Consortium of Regional Research and Education Networks GÉANT (Europe) and RedCLARA (Latin America) and the NREN of Brazil, Chile, Colombia, Ecuador, France, Germany, Italy, Portugal and Spain. Yet, there is no linkage with EU support to higher education in Latin America.<sup>223</sup>

### 7.1.2.2 Finding: Substantial broadening and deepening of bi-regional institutional relations between universities

<b>Related indicators:</b>	I-713, I-714
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

#### ALFA III

In almost all ALFA III projects analysed by the Strategic Evaluation of EU Support to Higher Education networks were created at the end of the project's lifetime that functioned in an autonomous way – that is, without ALFA III financial aid – and continued tackling the goals of the project (for example, former pilot study courses would change into regular courses).<sup>224</sup>

During the field mission to Brazil s, stakeholders confirmed this finding, as follow:<sup>225</sup>

- Stakeholders agreed that the EU contributed to fostering EU-LA exchanges and institutional networking in the areas of higher education, science & technology through regional development cooperation (i.e. ALFA III, Erasmus Mundus, Erasmus+) but also with RDT cooperation (through Framework Programme 7 and Horizon 2020) but added that bilateral exchanges had played an equally or even more important part.
- Programme/project support and between state and non-state stakeholders (HEI, research institutes, private sector).
- All interviewees agreed that both through Erasmus Mundus/Erasmus+ and FP7/H2020 number and scope of regional and bi-regional partnerships and networks have increased. Over the evaluation period (2009-2017), a substantial diversification of the Brazilian involvement has taken place. While some ten years ago only the large Brazilian HEI participated in EU-funded programmes, Erasmus Mundus resulted in the inclusion of “some very small universities”, according to one interviewee. Another interviewee with excellent knowledge of the internationalisation of Brazilian universities said that by now all of the country's universities had benefitted from EU programme support either through Alfa III/Erasmus Mundus, or FP7/ H2020 or both. However, neither the government nor organisations/associations representing Brazilian universities have data showing the exact level and scope of Brazilian participation.
- Interviewees with decades—long deep knowledge of EU funded projects in Brazil, stated that many networks originally established under Erasmus Mundus have continued to exist long after the original funding came to a close and successfully applied for new grants. However, other interviewees stated that while individual researchers continued to work together the degree of institutional sustainability was rather low. Once people leave the networks often also discontinue.

#### Erasmus Mundus and Erasmus+

The term “Erasmus Mundus” has different meanings before and since 2014. Before 2014, in the context of Latin America (and other regions outside Europe) “Erasmus Mundus Action 2” funded student and staff mobility. Since 2014 the name refers to “Erasmus Mundus Joint Master Degrees”.

Three Erasmus+ subactions under two key actions are DEVO-funded and this relevant for the EU's development cooperation with Latin America:

- Key Action 1: Mobility
  - Subaction Learning Mobility of Individuals

<sup>223</sup> <http://www.bella-programme.eu/index.php/en/>

<sup>224</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report. Main Report, p. 66.

<sup>225</sup> Field Mission Note Brazil



- Subaction Erasmus Mundus Joint Master Degrees
- Key Action 2: Cooperation
  - Subaction Capacity Building in the Field of Higher Education<sup>226</sup>

Between 2007 and 2013 18% of Erasmus Mundus funds were directed at Latin American countries (EUR 81.6 million). Between 2014 and 2017 22.7% of Erasmus+ international actions funded by DCI were destined for LA. The table below summarises the amounts budgeted in the Erasmus+ Working Programmes.

Table 1 Amounts budgeted in Erasmus+ Working Programmes (WP) 2014-2017, in EUR

	WP2014	WP2015	WP 2016	WP2017	TOTAL
Latin America	22,938,387	22,016,597	24,585,868	26,463,347	96,004,199
DCI	100.336.946	96,304,856	111,678,500	115,393,824	423,714,126
LA/DCI	22,9%	22,9%	22,0%	22,9%	22,7%
Total International	246.857.624	239,012,423	277,896,889	291,321,134	1,055,088,070
LA/Total International	9,3%	9,2%	8,8%	9,1%	9,1%

Source: DG EAC

Strengthened internationalisation was one of the most important outcomes of all EM projects. All projects can legitimately claim that they contributed to the establishment of new or the expansion of existing partnerships between European and Latin American universities as well as among HEIs within Latin America. There is ample evidence for increased exposure to international research networks for most of the Latin American HEIs.<sup>227</sup>

During the field mission to Brazil stakeholders unreservedly supported the following finding: “ALFA III, Erasmus Mundus, Erasmus+: Robust evidence provided by several evaluation reports leaves no doubt that these programmes have substantially broadened and deepened bi-regional institutional relations between universities in LA and Europe for the benefit of the international standing of the universities themselves and the personal development of their students and staff.”

Stakeholders interviewed during the field mission highlighted the success of Erasmus Mundus that substantially contributed to the internationalisation of universities. In the cases of smaller universities, international offices were only created as the result of Erasmus Mundus projects. The knowledge transfer, the capacity-building and the resulting professionalisation that has taken place as a direct effect of collaboration within networks is seen as one of the most substantial and valuable impact of EM-projects.

Furthermore, phone interviews with LA stakeholders involved in ALFA III, Erasmus Mundus and Erasmus+ provided more evidence, as follow:

- *“El impacto a nivel cultural que tiene esta experiencia en los estudiantes de bajos recursos que nunca han salido de su ciudad. Por ejemplo, un estudiante realizó una maestría fuera y a la vuelta de manera voluntaria ha querido compartir su experiencia con los demás compañeros. Hoy en día es un firme candidato para que sea docente en la universidad. Está concursando para ser docente y esta experiencia le ayuda a tener el perfil requerido.”* (Colombia)
- *“La participación en este programa ha ayudado a la internacionalización de la universidad. La oficina de cooperación es ya una Vicerrectoría con una estructura mayor. El programa ha facilitado la firma de convenios marco. La universidad tiene acceso a más oportunidades.”* (Colombia)
- *“Cursos para docentes sobre cómo crear contenidos accesibles. Se hicieron muchos cursos en abierto para llegar a toda América Latina. Se formaron 959 docentes y a 937 estudiantes, e estos últimos 451 tenían una discapacidad.”* (Guatemala)
- *“El proyecto ha ayudado mucho a la internacionalización de la universidad. Las relaciones entre las diferentes universidades se han mantenido y a día de hoy tenemos más oportunidades. Se presentó otra propuesta a Erasmus+ en la que participaron muchos socios*

<sup>226</sup> [https://eacea.ec.europa.eu/erasmus-plus/actions\\_en](https://eacea.ec.europa.eu/erasmus-plus/actions_en)

<sup>227</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report. Main Report, p 66.

que estaban en ESVI-AL y que ha sido aprobada. Esto da continuidad al trabajo de internacionalización. El proyecto generó una cultura de “publicaciones” (antes en Guatemala no se publicaba tanto). Se realizaron varias publicaciones en diferentes congresos y revistas. En total, se elaboraron más de 60 publicaciones en conjunto. Dos tesis doctorales son fruto de este proyect.” (Guatemala)

- “Gracias a Equality<sup>228</sup> participamos en otros proyectos. Equality ha brindado nuevas oportunidades y hoy en día la proyección internacional del Tecnológico es mucho mejor.” (Costa Rica)
- “Con la implementación del proyecto nos dimos cuenta de que no nos habíamos involucrado lo suficiente en la internacionalización de la universidad. Nuestra Dirección encargada de facilitar la movilidad había estado dirigida solo a América Latina y solo en algunos casos a Europa.” (Mexico)
- “El programa ERASMUS LINDO ha supuesto que la oficina de cooperación Internacional de la Universidad se ampliase y se convirtiera en una Dirección importante con mayor capacidad y más personal. El cambio ha sido significativo.” (Chile)

## 7.2 JC 72 - Intra-regional cooperation, sharing and learning

### 7.2.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 72: EU support contributed to the strengthening of higher education policy frameworks and governance systems in LA countries, including in terms of labour market integration, in line with regional best practices and international (including EU) standards	I-721 Number and scope of policy reforms aligned with international consensus on good practice and EU-supported standards I-722 EU-supported progress on regional harmonisation and standardisation of higher education I-723 Number and scope of agreements on mutual recognition of qualifications within Latin America and in EU-LA relations I-724 Degree to which higher education policies and governance are directed to labour market needs and social inclusion

### 7.2.2 Main findings and related evidence

#### 7.2.2.1 Finding: Contribution of EU programmes to the creation and expansion of university networks within LA

<b>Related indicators:</b>	I-722, I-723
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

The Strategic Evaluation of EU support to higher education found that through its mobility schemes, “the EU contributed decisively to South-South cooperation”. Even in the case of ALFA III, which was not mobility programme, projects strongly contributed to establishing intra-regional dialogues and cooperation (partly as the result of synergies with Erasmus Mundus). In that way, the EU made a contribution to “South-South” cooperation in higher education.<sup>229</sup>

The support to ALFA III was entirely targeted at Latin American countries and amounted to EUR 69 million. A total of 418 universities (297 of Latin America, and 121 of the EU) participated in 51 ALFA III academic networks. According to the Combined Evaluation of Erasmus+ and Predecessor Programmes, most participants were satisfied with the collaboration.<sup>230</sup> Of 119 respondents to a survey<sup>231</sup> 66% were of the opinion that ALFA III had achieved its objective of supporting modernisation

<sup>228</sup> ALFA III project ALFA III Equality - Strengthening women leadership in Latin American HEIs and society, <http://www.equality-network.net/>

<sup>229</sup> Ibid.

<sup>230</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report. Main Report, p. 66.

<sup>231</sup> EU (2017). Combined evaluation of Erasmus+ and predecessor programmes. Synopsis report of the results of the Open Public Consultation on the Erasmus+ and predecessor programmes (Volume 5), October, 2017

and capacity building of higher education institutions in Latin America “to a (very) large extent” 23% answered “to a moderate extent”, and 11% said “to a small extent” or “not at all”.

This collaboration resulted, inter alia, in the exchange of good practises, internationalisation, joint development of study programmes, harmonisation and standardisation and, particularly in the case of intra-regional mobility, increased inter-cultural competence in relations between Latin American countries.<sup>232</sup>

ALFA III included minimum requirements for the participation of Latin American HEIs in projects – at least four LA countries (Lot 1) or 12 LA countries (Lot 2). The number of LA partners always had to be double the number of EU participants. This promoted the creation of intra-regional networks, and also promoted synergies contributing to regional integration in Latin America.

For Erasmus+ capacity building projects in Latin America regional participation requirements were lowered. Only two countries are required as partners, compared with at least twice that number under the previous ALFA III programme.<sup>233</sup>

Managers of EU-funded projects from six Latin American countries<sup>234</sup> interviewed for this evaluation saw this development as a disadvantage and thus confirmed findings of the 2017 Evaluation of EU support to Higher Education.

However, the requirement of two participating LA countries is an added reinforcing feature for Latin America in order to maintain a regional component. This rule does not exist for the other regions of application of Erasmus+ (i.e. it could just be one partner country in Asia). In practice there are projects with, for example, 4 European and 10 Latin American partners because the respective project consortiums decided to go beyond the minimum requirement and due to the fact that projects under recent calls often built on existing networks.<sup>235</sup>

During the field mission to Brazil and phone interviews with ALFA III, Easmus Mundus and Erasmus+ project leadears, stakeholders unanimously agreed that EU support to HE through Alfa III and Erasmus Mundus had greatly contributed to regional network-building among HEI in Latin America. This would not have happened – at least not in the same way – without EU support.

Every ALFA III project was designed to facilitate a structured dialogue of the network partners on higher education themes. Harmonisation of the HE systems in Latin America was one of the most important issues and covered benchmarking and good practices in, for example, quality assurance (QA), curricula reforms based on competences, special actions to remove access obstacles to HE for vulnerable und marginalised groups (including gender issues), and closer cooperation with labour market forces. ALFA III projects thereby contributed greatly to establishing regional dialogues, many of which have continued since project funding ended and/or provided the basis for new regional initiatives. For example, an academic mobility programme between Argentina and Colombia, agreed by the governments of these countries, will be based on the Latin American Reference Credit (CLAR) elaborated by the ALFA III-supported Tuning América Latina. 144 Latin American universities participated in the Tuning-project.<sup>236</sup> The ultimate goal of these project network dialogues was to pave the road to a harmonisation of regional HE policy and strategies in Latin America.<sup>237</sup>

Erasmus Mundus Action 2 (Mobilities): *“University regulations and mismatching study fields between home and host HEIs had proven particularly challenging for academic recognition in the region. However, the large majority of non-EU HEIs involved in EMA2 (85%) observed significant improvements in the academic recognition procedure since their first participation in the Programme. For around 92% of them this was to a great (48%) or to some extent (44%) directly attributable to the Programme.”*<sup>238</sup>

ALFA III, Erasmus Mundus, Erasmus+, have substantially broadened and deepened bi-regional institutional relations between universities in LA and Europe for the benefit of the international standing of the universities themselves and the personal development of their students and staff.

---

<sup>232</sup> Ibid.

<sup>233</sup> EU (2016). Evaluation of the EU Support to Research and Innovation for Development in Partner Countries (2007-2013) Final Report Volume 1 – Main Report, May, p. 41.

<sup>234</sup> Brazil, Chile, Columbia, Costa Rica, Guatemala, Mexico; interviews conducted in August and September 2018.

<sup>235</sup> Interviews with DEVCO and EAC officials.

<sup>236</sup> EU (2016). Evaluation of the EU Support to Research and Innovation for Development in Partner Countries (2007-2013) Final Report Volume 1 – Main Report, May, p. 71.

<sup>237</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report Volume III – Desk phase analysis. Desk phase case study – ALFA III, p. 22.

<sup>238</sup> European Commission (2017). Erasmus Mundus Action 2 Partnerships, Main achievements and results (2010-2018), p. 66-67.

Erasmus Mundus and Erasmus+ contributed to the internationalisation of universities through increasing their attractiveness, visibility and reputation. In the cases of several participating universities, international offices were only created as the result of EU funded projects. The knowledge transfer, the capacity-building and the resulting professionalisation that has taken place as a direct effect of collaboration within networks is seen as one of the most substantial and valuable impact of EM-projects. Furthermore, the mid-term evaluation of Erasmus+ found the Erasmus+ objectives to be well aligned with national policies.<sup>239</sup>

Erasmus Mundus: *“Cooperation under EMA2 highly contributed to the internationalisation of the partner HEIs in Latin America with a positive impact on their attractiveness, visibility and reputation. This was confirmed by the large majority of survey respondents. Moreover, according to the participating HEIs, Erasmus Mundus Action 2 highly contributed to the introduction of favourable changes in legislation to implement internationalisation.”*<sup>240</sup>

### 7.2.2.2 Finding: Erasmus+ places less emphasis on the regional component

<b>Related indicators:</b>	I-721, I-722, I-724
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Medium

For Erasmus+ capacity building projects in Latin America, only two countries are required as partners, compared with at least twice that number under the previous ALFA III programme.<sup>241</sup>

According to all HEI stakeholders interviewed in Brazil, Erasmus+ reduced the opportunity for LA universities to cooperate (due to changed requirements for participation). As one interviewee put it, *“Erasmus+ ended the era of regional partnerships. Even European universities are unhappy about this development. With the termination of these partnerships, credit mobility has become more bilateral in direction whereas it used to be regional and multilateral”*. Another interviewee said: *“Erasmus+ reduced the fantastic opportunity for regional network-building. Everyone at the universities in Latin America and Europa I have worked with perceives this as a disadvantage. We lost the opportunity to build networks within the region, to meet on a regular basis and to create balanced groups comprising of large and small and stronger and weaker universities. With the end of Erasmus Mundus the dynamic has changed drastically”*.

This view was also shared by all five Erasmus Mundus/Erasmus+ project managers interviewed by phone in September 2018:

Furthermore, phone interviews provided more evidence, as follows:

- *“Es un aspecto negativo. Lo interesante es el intercambio de culturas, conocimientos, experiencias y eso se va a limitar porque el programa va a estar dirigido a un área concreta y a un sector. La palabra Mundus pierde su sentido.”* (Colombia)
- *“Erasmus+ es más fácil pero se han limitado mucho las opciones y las partidas.”* (Guatemala)
- *“Lo considero un aspecto negativo. Estos consorcios son importantes y esto limita mucho la movilidad. Hemos presentado proyectos en el marco del programa Erasmus + pero no han sido aprobados. Con Erasmus + es mucho más difícil porque consideran que Mexico es un país avanzado. Esto nos ha perjudicado y no refleja la realidad porque nuestra universidad acoge a alumnos de muy bajos recursos y era una oportunidad para ellos para salir del país.”* (Mexico)
- *“Es un aspecto negativo. Si no se construyen esas redes el trabajo puede quedar invisibilizado. Es necesario mantener esas alianzas para que haya una retroalimentación.”* (Costa Rica)
- *“En mi opinión se trata de un cambio negativo. Con el programa ERASMUS LINDO se firmaron convenios de colaboración con otras universidades latinoamericanas (ej: Perú, Ecuador, Brasil), estrechándose lazos con estos países. El intercambio era mucho más*

<sup>239</sup> EU (2016), Final Evaluation of the ALFA III Programme, December; EU (2018). COMMISSION STAFF WORKING DOCUMENT Mid-term evaluation of the Erasmus+ programme (2014-2020);

<sup>240</sup> European Commission (2017). Erasmus Mundus Action 2 Partnerships, Main achievements and results (2010-2018), p. 67.

*enriquecedor al poder estar en contacto con un grupo de universidades de América Latina y Europa. Esto se ha perdido con el ERASMUS+.” (Chile)*

## 7.3 JC 73 - Employability

### 7.3.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 73: EU support contributed to increased ability of graduates to find professional positions corresponding to their qualification levels	I-731 Level of student and staff mobility across Latin America and between the EU and Latin America I-732 Evidence on institutionalised opportunities for students to gain practical experiences (apprenticeships, internships) I-733 Evidence of relative match of higher education learning outcomes with qualifications required by the labour market I-734 Employment rate of graduates having participated in exchange programmes compared to non-participants I-735 Existence of EU-supported mechanisms for interchange between universities and public and private sector production and services-providing organisations

### 7.3.2 Main findings and related evidence

There is no – or only few – data available (neither from EU nor LA sources) to assess Indicator 7.3.2, 7.3.3, 7.3.4 and 7.3.5 in quantitative terms. Hence, all findings on these indicators are mainly qualitative.

#### 7.3.2.1 Finding: EU contributed to the employability of graduates through mobility programmes

<b>Related indicators:</b>	I-731, I-733
<b>Sources of information:</b>	Document review, interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

### Erasmus Mundus

It is estimated that between 2007 and 2013, 6,780 students and academics from almost 220 different Latin American higher education institutions (HEIs) travelled to Europe.<sup>242</sup> Students from Latin America are mainly undergraduates (more than a third of the total flows), except in countries like Argentina or Cuba where participants are mainly doctoral candidates. In addition, over 2,500 students or doctoral candidates from Latin American countries were awarded scholarships or fellowships by Erasmus Mundus joint master and doctoral programs between 2004 and 2014. Geographically speaking, two countries - Brazil (30%) and Argentina (13%) - represent almost half (43%) of the LA regional mobility's implemented between 2007 and 2013.

### ALFA III

Matching higher education learning outcomes with qualifications required by the labour market and thus increasing the employability of graduates was a key objective of ALFA III. In the case of most projects important measures were undertaken at the participating HEIs to establish a closer relationship with the labour market. This was achieved through staff training programmes and curricula reforms. ALFA III helped to set up permanent mechanisms for dialogue with employers, or other means of following and responding to labour market needs. Projects such as Tuning América Latina and the Joint European-Latin American Universities Renewable Energy Project (JELARE) led to the establishment of units or other mechanisms for the observation and analysis of labour market trends. The Network of Technology Transfer Centres on Climate Change in Europe and Latin America (CELA) and Conocimiento, Inclusión, Desarrollo (CID) projects led to permanent mechanisms for dialogue with key labour market stakeholders.<sup>243</sup> Some ALFA networks were successful in establishing closer links

<sup>242</sup> EU (2015): Higher education cooperation between the European Union, Latin America and the Caribbean. Academic cooperation and mobility: bringing the two regions closer

<sup>243</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report. Main Report, p. 61

with market needs, i.e. through new study courses linked to market oriented technological issues.<sup>244</sup> However, while many ALFA III projects aimed at creating closer links with the private sector, there is no evidence that evidence that strategic partnerships with a balanced involvement of business and HE have been established across the board.<sup>245</sup>

#### Erasmus+

EU (2018) EU-CELAC Academic Cooperation factsheet:

- The budget for Latin America accounts for about 5% of the entire EU budget for International Credit Mobility (ICM). To-date 523 projects for bilateral partnerships between Latin America and Europe have organised mobilities. Within the framework of these projects more than 4500 students, researchers, and staff participated in mobilities. Between 2014 and 2017, 893 Erasmus Mundus scholarships were awarded to Latin American citizens (for comparison: Europe: 866, Caribbean: 29, rest of the world: 3,767). Brazil and Mexico are the top-2 countries in the world and Colombia also in top-10 in terms of number of scholarships.<sup>246</sup>
- Of particular importance for the qualification of students are Erasmus Mundus Joint Master Degrees (EMJMDs) award. These are full-degree scholarships to Master students from around the world covering tuition, travel, and a living allowance. The programmes last from one to two years during which students study in at least two different European countries. Upon graduation, students are awarded a joint or double degree, or multiple degrees. From 2014 to 2017, 89 institutions from Latin America were involved in 127 EMJMDs. Of these 127 programmes, Latin American institutions took part as associated partners in 111 of these instances, and as full partners in 16 of these instances. Countries with the highest rate of participation in EMJMD programmes were Argentina, Brazil, Chile, and Mexico. Top participating institutions were the Universidade de São Paulo in Brazil, which was involved in a total of nine EMJMDs, and the Universidad Autónoma de México in seven EMJMDs.<sup>247</sup>
- In the tracer study, also conducted by the higher education evaluation, students were asked to what extent their first (or current) jobs matched the study fields of their degree. Approximately 80% of Erasmus Mundus alumni considered that their first job matched their degree fields. Although there is no counterfactual evidence, these percentages appear to be high, suggesting that alumni were well-matched to the labour market.<sup>248</sup>
- Graduates generally felt that their EMJMD or Erasmus Mundus Masters Courses (EMMC) had prepared them well for the labour market. 66.8% of the graduates claimed that their Master's programme had prepared them very well or well while only 8.4% thought they had been prepared poorly or very poorly.
- Graduates felt prepared for the labour market across all fields of study. Graduates who successfully became employed after graduation especially perceived their academic experience, foreign language proficiency, and practical experience to be important employability factors in the eyes of their employers.

Erasmus Mundus Action 2 Scholarship Holders' Impact Survey:

- According to an EU survey of 8.141 scholarship holders from 155 countries, the large majority of Latin American beneficiaries confirmed that their participation in EU-funded mobilities had a positive impact on their careers.<sup>249</sup>
- *"More than two thirds (67%) considered this impact as very important. Almost 90% of survey respondents declared that the increase of their professional competences and skills was very high (49%) or rather high (40%). Similarly to other regions, the grantees from Latin America recognised that Erasmus Mundus played a decisive role in enhancing intercultural competences (69%), language skills (27%) and problem-solving skills (27%). Overall,*

<sup>244</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report Volume III – Desk phase analysis. Desk phase case study – ALFA III, p.19

<sup>245</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report Volume III – Desk phase analysis. Desk phase case study – ALFA III, p. 23.

<sup>246</sup> EU (2018) EU-CELAC Academic Cooperation through Erasmus+: opportunities for Latin America and the Caribbean, [https://ec.europa.eu/education/sites/education/files/eu-celac-cooperation-factsheet\\_en.pdf](https://ec.europa.eu/education/sites/education/files/eu-celac-cooperation-factsheet_en.pdf); information provided by EAC.

<sup>247</sup> EU (2018) EU-CELAC Academic Cooperation through Erasmus+: opportunities for Latin America and the Caribbean, [https://ec.europa.eu/education/sites/education/files/eu-celac-cooperation-factsheet\\_en.pdf](https://ec.europa.eu/education/sites/education/files/eu-celac-cooperation-factsheet_en.pdf)

<sup>248</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report. Main Report, p. 64.

<sup>249</sup> EACEA (2014) Erasmus Mundus Action 2 Scholarship Holders' Impact Survey. Results.

*Erasmus Mundus Action 2 helped increase the employability of grantees which was confirmed by almost all survey respondents. More than a third of them declared that the impact was very import and helped them find a job. Thanks to effective measures for preventing brain drain, almost all Latin American scholarship holders (93%) returned back home after their mobility.”<sup>250</sup>*

Strategic Evaluation of EU support to higher education:

- According to a survey of universities, conducted by the Strategic Evaluation of EU support to higher education, 79% of departments/faculties found that employability of their students increased “to a great extent” or “to a considerable extent” as a result of participation in EU mobility programmes. The evaluation report elaborates further, “Students enhanced their employability because they studied with quality curricula, or their access to and awareness of job opportunities increased. Being able to put an EU university on curriculum vitae is attractive. There were many references in project reports, programme evaluations, and Erasmus Mundus alumni surveys to the advantages that mobility programmes give to participants. These sources, and informants in the field visits, often referred to ‘soft skills’ – such as international experience and confidence – and language development as being the most important acquisitions in this respect.”<sup>251</sup>
- Studying an Erasmus Mundus Master seems to offer sufficient opportunities to develop methodical skills that are required in the work place (e.g. team working abilities, leadership abilities, presentation techniques, problem solving). On average, the extent to which the programme had contributed to these competencies was evaluated as at least fair by the participants.
- While participants do gain sufficient technical skills and competencies, they seem to have too little opportunities to transfer them in form of practical work experience (e.g. graduates point towards a lack of career mentoring during the programme or name too little practical experience as a reason why their job search was unsuccessful).<sup>252</sup> However, for the 2019 Erasmus+ Call for the first time traineeships were available.

2017 Erasmus Mundus Impact Survey (based on data from all surveys between 2012 and 2017. In 2017, 1,740 participants completed the questionnaire. 1,248 (71.7%) participants had already graduated, while 492 (28.3%) participants were still students. 13.3% were Latin America students or graduates):

- More than 90% of the students reported an improvement in their “soft” skills, such as knowledge of other countries, their ability to interact and work with individuals from different cultures, adaptability, foreign language proficiency, and communication skills. At the same time, 99% of the HEIs saw a substantial improvement in their students’ confidence and adaptability.(
- The job search of Erasmus Mundus graduates is usually very successful. The majority of successful job-seekers found a job in one of their three preferred job locations (89.2%) and within six months after graduation (79.3%).
- Typically, graduates planned on returning to their home country or remain in the EU to (re-)start a job after graduation and this plan tended to work out: 57.7% of the graduates that had eventually found a job as a result of this search took on a job in their home country while 29.7% took on a job in the EU.

During the field mission to Brazil, stakeholders agreed the EU contributed to the employability of individual graduates through mobility programmes but there are no data/surveys available to prove this claim.

All stakeholders agreed that EU-funded programmes (in particular mobility programmes) has positively affected the career prospects and employability of beneficiaries. However, there is no data available on employability. Neither do surveys of participants of mobility programmes exist.

Recognition of foreign degrees and credits gained at foreign universities remains a main challenge for Brazil and keeps restricting the effects of student mobility. Brazil’s own mobility programme “Science

<sup>250</sup> European Commission (2017). Erasmus Mundus Action 2 Partnerships, Main achievements and results (2010-2018), p. 66.

<sup>251</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report. Main Report, p. 51.

<sup>252</sup> Erasmus Mundus Association (2017). ERASMUS MUNDUS Graduate Impact Survey 2017, [http://www.em-a.eu/fileadmin/content/GIS/GraduateImpactSurvey\\_2017\\_final\\_web.pdf](http://www.em-a.eu/fileadmin/content/GIS/GraduateImpactSurvey_2017_final_web.pdf)

Without Borders“ (which was supported through complementary actions by the EU and MS) is a case in point. Between 2011 and 2015 the programme had sent about 100,000 Brazilian students for studies abroad.<sup>253</sup> However, according to authoritative estimates only about one third of credits points achieved by Brazilian students abroad were later recognised by their home universities.

Furthermore, we have collected the following evidence from phone interviews with LA stakeholders involved in ALFA III, Erasmus Mundus and Erasmus+ projects:

- *“Los tres alumnos que han regresado ya tienen trabajo. Hay otros doctorando que están terminando y regresarán el año que viene por lo que la información es parcial. Pero hasta la fecha los estudiantes han tenido oportunidad de entrar en el mundo laboral.”* (Colombia)
- *“En ALFA III no había movilidad o estancias de largo tiempo. Sin embargo, los cursos virtuales sí tuvieron un impacto en el ámbito y accesibilidad laboral. Uno de los cursos estaba enfocado a la preparación para el empleo. El proyecto impactó de manera positiva de manera indirecta.”* (Guatemala)
- *“Los alumnos que regresan tienen la inquietud de repetir la experiencia, se plantean volver a Europa a estudiar una maestría. Los alumnos se dieron cuenta de que en Europa existen otros métodos de enseñanza. El programa fomenta sus ganas de seguir estudiando pero no sabemos cuántos han encontrado trabajo a su regreso. La mayoría que salió durante la licenciatura han decidido estudiar una maestría. Los que regresan de una maestría quieren estudiar fuera un doctorado.”* (Mexico).
- *“Los académicos han mejorado su productividad científica y han podido optar a niveles jerárquicos superiores.”* (Mexico)
- *“Los estudiantes de grado han tenido una mayor inquietud por acabar la carrera y así poder regresar a Europa a estudiar un master o doctorado.”* (Mexico)
- *“Los estudiantes de master y doctorado han podido acceder a más y mejores oportunidades laborales.”* (Mexico)

### 7.3.2.2 Finding: Substantial contribution of EU support to the integration of students from vulnerable and disadvantaged backgrounds

<b>Related indicators:</b>	I-732, I-734, I-725
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

Inclusion is an explicit objective of most EU support to HE, but has been approached in different ways. All programmes aimed for equitable gender balance, but Erasmus Mundus Action 2 and ALFA III went further. Erasmus Mundus Action 2 distinguished between disadvantaged groups – including disabled and economically disadvantaged students – and vulnerable groups (“Nationals of the third countries concerned by the geographical lot who are in particularly vulnerable situations, for social and political reasons.”), which were assigned the title of Target Group 3.

#### ALFA III

ALFA III’s objectives, priorities and eligible actions referred variously to the “most disadvantaged”, “the most vulnerable groups” and “less privileged social groups”. Ethnic minorities were included under the term “vulnerable groups”. ALFA III also encouraged the participation of HEIs from areas with a low Human Development Index (HDI), and particular attention to the poorest countries in the region. The final evaluation found that projects funded under ALFA III succeeded in increasing the understanding and sensibilisation of teachers, administrative staff and students towards vulnerable groups. However, according to a survey among ALFA III grant holders, the vast majority of respondents did not think that the projects improved access to higher education for the most vulnerable groups.<sup>254</sup>

#### Erasmus Mundus

Erasmus Mundus Action 2 (EMA2) allowed members of disadvantaged groups to gain access to the higher levels of university education, such as Master’s degree or PhD programmes. In some bilateral

<sup>253</sup> “A dramatic change in political and economic fortunes in Brazil – including the impeachment of President Rousseff and a significant weakening of the Brazilian real – put the programme under pressure in 2015 and new scholarships were suspended late that year” (<http://monitor.icef.com/2017/04/brazil-shutting-science-without-borders/>)

<sup>254</sup> EU (2016), Final Evaluation of the ALFA III Programme. Final Report, December, p. 59.



country cooperation agreements – Argentina and Mexico, for example – additional funds were allocated to Erasmus Mundus, with the possibility of agreeing special conditions, such as priority for participants from marginalised or vulnerable groups. Overall, EAEAC statistics show that 2,480 students (5.2%) of all students who participated in mobilities funded by EMA2 and the ECW from 2007 to 2014 came from TG3.<sup>255</sup>

During the field mission to Brazil for this evaluation, a success story to be noted is the integration of a certain number of beneficiaries (Target Group/TG 3) who were considered vulnerable due to social or political reasons (for example candidates having a refugee status or asylum beneficiaries) to every Erasmus Mundus project had to have a certain number of beneficiaries (Target Group/TG 3) who were considered vulnerable due to social or political reasons (for example candidates having a refugee status or asylum beneficiaries). According to stakeholder interviews, Brazilian universities were among those who successfully lobbied for the inclusion also of students belonging to national or ethnic minorities and this who live in particularly remote areas with difficult access to education into TG3. According to interviewees, that way, students who would otherwise not have the opportunity to participate in mobility programmes, were given the opportunity to study abroad. This, in turn, greatly improved their overall situation and employment/career prospects. Despite the successes regarding TG3, interviewees stressed the challenge of balancing the need to accept TG3 students with the necessity to maintain high academic standards as TG3 often did not meet the high qualification criteria set for Erasmus Mundus participants.

Furthermore, we have collected the following evidence from phone interviews:

- *“El mayor desafío tuvo lugar con respecto al Target Group 3 de alumnos vulnerables. Este grupo estaba constituido por postulantes de origen indígena que tenían que acreditar de alguna forma su condición. En Chile no hay problema porque existe un documento específico que cumple con esta función, pero sí supuso un problema en cuanto a la acreditación de estudiantes indígenas que provenían de otras universidades latinoamericanas. En la primera convocatoria esto ralentizó mucho el proceso de validación de candidaturas pero en la segunda convocatoria se decidió que el coordinador/encargado de cada país visara/sellara la candidatura con la intención de garantizar que la acreditación de estos postulantes era fidedigna.” (Chile)*

#### Erasmus+

A special Chapter of the Regulation, which establishes the Erasmus+ Programme, deals with social inclusion. It states that, inter alia, with regard to the selection of participants and the award of scholarships, particular efforts must be made “to promote social inclusion and the participation of people with special needs or with fewer opportunities”<sup>256</sup>

However, in reality the focus on inclusiveness has been less straightforward under Erasmus+. TG3 does not exist anymore. While the Erasmus+ programme guide claims that “Erasmus+ is an effective instrument to promote the inclusion of people with disadvantaged backgrounds, including newly arrived migrants” and lists several examples of disadvantages,<sup>257</sup> it does not provide any specific selection criteria. So far the programme has therefore not been able to increase inclusiveness, according to verbal information shared by ETU staff.

<sup>255</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report.

<sup>256</sup> COM(2018) 367 final

<sup>257</sup> Erasmus+ Programme Guide, Version 1 (2018): 25/10/2017, p. 5, 10.

## 7.4 JC 74 - Fostering bi-regional knowledge communities

### 7.4.1 Overview of the evaluation matrix

Judgement criterion	Indicators
JC 74: Positive results have been achieved in increasing knowledge of EU and Latin America scientific and technological communities	I-741 Evidence of improved uptake and dissemination of research results for innovation in particular for MSMEs I-742 Number and scope of joint or collaborative degree programmes established in EU-LA relations I-743 Evidence of improved knowledge on problems and consequences of climate change including vulnerability and risk assessment, biodiversity loss and environment issues

### 7.4.2 Overview of the main findings and related evidence

#### 7.4.2.1 Finding: Increased LA knowledge of EU scientific and technological communities as the result of extensive network building

<b>Related indicators:</b>	I-742
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

#### *Uptake and dissemination of research results*

- ALFA III: More than 600 HEIs from Latin America participated in 51 academic networks.
- ALFA III projects provided training on research capacity for staff members and a platform for establishing contacts to technology based companies. The latter allowed the HEI to focus on applied research, mainly in cooperation with the companies. Yet, the Strategic Evaluation of EU support to HE did not come across evidence of an increased number of research outputs and outcomes and no direct evidence of national and international recognition of improved research capacities was found.<sup>258</sup> No evaluation or survey provides data, let alone analyse, on the uptake of research results – neither for innovation nor otherwise.

During the field mission to Brazil, stakeholders unanimously agreed that ALFA III and Erasmus Mundus significantly increased the number and scope of academic bi-regional cooperation networks and links. They had no doubts that this interaction increased the mutual knowledge of EU and LA scientific and technological communities. However, they also pointed out that interaction was mainly characterised as a one-way-street with Brazilian students and researchers going to European universities and research institutes but only few Europeans coming to Brazil. The current political instability and perception of Brazil as a violent country have made the country even less attractive for European students, post-docs and academics. However, this view of Brazilian stakeholders contradicts the perception in the European Erasmus+ community is that, once open to two-way mobility, Latin America could be flooded of European students attracted by such countries. Data on current oversubscription for Latin America Erasmus+ staff mobilities support this idea.<sup>259</sup>

#### 7.4.2.2 Finding: Unknown effects of research on climate change on increased knowledge and the development of response strategies

<b>Related indicators:</b>	I-743
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

#### *ALFA III*

ALFA III aimed at the modernisation of higher education systems in Latin America as a means to promote sustainable and equitable development in the region. The ALFA III programme comprises 51 projects

<sup>258</sup> EU (2017). Evaluation of the EU Development Cooperation Support to Higher Education in Partner Countries (2007-2014). Final Report Volume III – Desk phase analysis. Desk phase case study – ALFA III, p. 13.

<sup>259</sup> Information provided by EAC.

Table 2 Overview of ALFA III projects by sector

Sectors	No. of projects
New Technologies and Innovation	5
Public Health / Climate Change and Environment	8
Teaching methods / e-learning	9
Modernisation/ harmonisation of HE systems	8
Labour market / MSMEs	4
Institutional Strengthening	8
Socio-economic development	5
Inclusive higher education	4

Source: <https://ec.europa.eu/europeaid/sites/devco/files/lac-factsheet-en-web-150413-final.pdf>

The ALFA III CELA project (Network of Technology Transfer Centres on Climate Change in Europe and Latin America) created the possibility for scientists from both regions to share their expertise, support research projects, and disseminate the results through six Technology Transfer Centres (in Bolivia, Estonia, Germany, Guatemala, Nicaragua and Peru). More than 300 professors, experts and researchers, coming from universities, industries and NGOs participated in the project. The CELA Project established six Technological Transfer Centers in Europe and Latin America. They are crucial to foster the sharing of knowledge about climate change.<sup>260</sup>

In 2013, the United Nations Environment Programme (UNEP) appointed the Climate Technology Transfer Centre in Nicaragua as official national focal point for climate change adaptation and mitigation because of the essential role it plays in the process of adapting to and alleviating climate change.<sup>261</sup>

According to the project coordinator (2015): “Vast representation and promotion at conferences, workshops, meetings, online and in the media, with a wide CELA Network has been set-up and will continue even after the project completion”. However, there is no trace of such activities.<sup>262</sup> The website <http://cela-project.net/> still exists but does not feature any useful information about the project and its results.

#### 7.4.2.3 Finding: Limited evidence related to prove contribution of EU-funded research projects to innovation

<b>Related indicators:</b>	I-741
<b>Sources of information:</b>	Document review, Interviews in Brussels and LA
<b>Strength of evidence:</b>	Strong

More than 90% of the business environment in Central America is made up of micro, small and medium-sized enterprises (MSMEs). These businesses are a basic source of employment.

The ALFA III EURECA Network (European and Central American Network for the Improvement of Quality and Sustainability of MSMEs) initiated, among other activities, the creation of a MSMEs management graduate programme in six Central American universities. This graduate programme was innovative for the region because there was no other higher education programme that supports the development of this economic sector. The EURECA Network brought together nine universities (six from Central America and three from Europe) and three supporting institutions. The business sector participated actively in the design of the graduate programme, with an emphasis on practical matters. The beneficiaries acquired knowledge within the context of the socio-economic reality of the region. The graduate programme debuted in August 2012 and lasted for six months. About 40 students took courses in two universities (Nicaraguan Autonomía University, UNAN-Managua, and Honduran Technological University, UNITEC). Each participant completed five modules (Operational Management, Communication and Information Technologies, Accounting, etc.) This training allowed

<sup>260</sup> <https://ec.europa.eu/europeaid/sites/devco/files/lac-factsheet-en-web-150413-final.pdf>; CELA – Network of Climate Change Technology Transfer Centres in in Europe and Latin America (2015), <https://europa.eu/capacity4dev/file/23474/download?token=MvW51Hdz>

<sup>261</sup> ALFA III Supporting social equality and integration between Latin America and the European Union, [https://eulacfoundation.org/en/system/files/doc\\_198.pdf](https://eulacfoundation.org/en/system/files/doc_198.pdf)

<sup>262</sup> CELA – Network of Climate Change Technology Transfer Centres in in Europe and Latin America (2015), <https://europa.eu/capacity4dev/file/23474/download?token=MvW51Hdz>

the students to benefit from an innovative programme as well as to interact with professors from European and Latin American universities.<sup>263</sup>

The programme represented an experience in international cooperation for 45 university professors who designed the graduate programme. More than ten emerging economic sectors benefitted from the training and participation in the implementation of the project. Some examples of these emerging sectors are: renewable energy production, agricultural tourism, aquiculture, timber industry in Nicaragua, mining in Panama, natural rubber extraction and fishing in Costa Rica, and transformation of raw material into finished products such as furniture, shoes, jewellery, etc. This MSMEs management graduate programme was carried out in six countries (Costa Rica, Honduras, El Salvador, Nicaragua, Panama, and Guatemala).<sup>264</sup>

There is no evidence that the graduate programme still exist. However, UNAN-Managua and UNITEC still have a focus on enterprise development as part of other degree programmes.

Three recent Erasmus+ capacity building projects - Students 4 Change: Social Entrepreneurship in Academia (coordinated by the Instituto Tecnológico y de Estudios Superiores de Monterrey (México); Fostering Research-based Entrepreneurship and the development of spin-off companies in Central America - FREE Network (coordinated by the Universidad de Alicante) and Latin American and European Cooperation on Innovation and Entrepreneurship (coordinated by the University of Uppsala) have focused on entrepreneurship but the results are not known.<sup>265</sup>

---

<sup>263</sup> EU, Erasmus+ Programme, [https://circabc.europa.eu/sd/a/10242047-3e10-49ed-befe-cad0c6807176/HigherEducation\\_EN\\_BROCHURE\\_Repository.pdf](https://circabc.europa.eu/sd/a/10242047-3e10-49ed-befe-cad0c6807176/HigherEducation_EN_BROCHURE_Repository.pdf)

<sup>264</sup> Ibid.

<sup>265</sup> Erasmus+ Desarrollo de Capacidades en el ámbito de la Educación Superior. Resultados en América Latina. (Convocatorias 2015, 2016 y 2017). Project reports have not been made available by the EU.