

“Follow the€ Money III”



Solidarity: The use of AMIF funds to incentivise resettlement and relocation in the EU





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INTRODUCTION & METHODOLOGY

The Asylum, Migration & Integration Fund (AMIF) 2014-20 aims to contribute, via financial assistance, to the effective management of migration flows and to the implementation and development of a common EU approach to asylum and migration. The AMIF reflects the efforts to simplify and streamline the implementation of the EU budget in the area of home affairs. In 2014-2020, approximately 88% (€2.39bn) of total AMIF resources of €3.1bn were allocated to Member States implementing multiannual national programmes agreed with the European Commission.

In 2017 and 2018, ECRE and UNHCR produced two joint research reports entitled *Follow the Money: Assessing the use of Asylum, Migration and Integration Fund (AMIF) funding at national level*, providing a critical analysis of the programming and expenditure of AMIF funds for asylum, integration and return at the national level. This third *Follow the Money* study focuses on AMIF *financial incentives* (lump sums) allocated to the AMIF national programmes of Member States participating in refugee resettlement and intra-EU relocation.

This study:

- Maps the distribution of AMIF financial incentives (lump sums) for resettlement and relocation in AMIF national programmes approved by the European Commission, during 2014-18.
- Assesses the impact of AMIF financial incentives (lump sums) for resettlement and relocation for the EU.
- Assesses the impact of AMIF financial incentives (lump sums) for resettlement and relocation as incentivising tools for Member State participation in resettlement and relocation.
- Provides recommendations for Member States on the future implementation of AMIF financial incentives (lump sums) for resettlement and relocation.
- Provides recommendations for the European Commission on the future structuring of EU funding to incentivise Member State engagement in resettlement and relocation.

This study has been produced in the framework of the strategic partnership of the European Council for Refugees and Exiles (ECRE) and the UN Refugee Agency (UNHCR), established in 2016 to develop and promote discussions on the future of the Common European Asylum System (CEAS).

Supporting research was conducted using a mixed methods approach:

a. DESKTOP REVIEW

- i. **Existing research, evaluation & analysis (resettlement and relocation in the EU)**, published by EU institutions and stakeholders, and national authorities and organisations.
- ii. **Initial consultation with the European Commission**, via a discussion to clarify AMIF funding arrangements, request additional data, and determine the study's scope.
- iii. **Consultation with EU stakeholders**, comprising eight interviews with stakeholders working on resettlement and relocation at EU level (seven interviews with NGO representatives, and one interview with an international organisation).
- iv. **Analysis of the dataset provided by the European Commission in early September 2019**, covering EU resettlement and relocation activities and the distribution of associated EU funding during 2014-18, as well as further solidarity measures planned for implementation in AMIF national programmes from 2020 onwards.

b. SURVEY PHASE

i. Online surveys: national authorities (resettlement Member and Associated States)

In June 2019, two online surveys on national resettlement and relocation activities and financing were circulated to national authorities of 22 Member States and made available for online completion until September 2019. While surveys were available only in English, national authorities could respond in their respective national languages. A total of 20 survey responses were received:

- **Resettlement survey:** 9 Member States submitted 10 responses (Austria, Croatia, Estonia, Finland, Germany (2 responses),¹ Lithuania, Luxembourg, Spain, and the UK).
- **Relocation survey:** 9 Member States submitted 10 responses (Croatia, Estonia, Finland, Germany (2 responses),² Latvia, Lithuania, Luxembourg, Slovakia, and Spain).

ii. Email surveys: UNHCR & ECRE member organisations (resettlement Member and Associated States)

During June–October 2019, the same surveys made available for online completion by national authorities were distributed via email to UNHCR representatives and ECRE member organisations in 22 Member States participating in resettlement. A total of 11 responses were received:

- Three UNHCR responses (Austria, Italy, and Portugal).
- Eight responses from ECRE members (Austria, France (2 responses), Portugal (2 responses), Slovenia, Spain, and Switzerland).

iii. Short email questionnaire (UNHCR representatives in Member States not participating in resettlement)

Three short questions on reasons for non-participation in resettlement and the role of EU funding were distributed to UNHCR representatives in six Member States (Bulgaria, Cyprus, Greece, Hungary, Poland, and Slovakia) in late July 2019. Responses were received for from four (Bulgaria, Cyprus, Greece, and Poland).

c. SELECTION OF MEMBER STATES FOR CASE STUDIES

Findings of the desktop analysis and initial consultation with EU stakeholders, together with ongoing online survey responses, guided the selection of four Member States (France, Italy, Portugal, and Slovenia) as the subjects of detailed case studies of national implementation of EU funding for resettlement and relocation (the European Commission dataset was provided too late in the research process to inform case study selection).

Case study Member States were selected so as to provide a range of different resettlement and relocation contexts and practices within which the role and impact of EU funding could be explored:

- A relatively new resettlement country, with a recently increased and currently substantial resettlement quota and strong participation in relocation (**France**).
- A nNew resettlement country, experiencing substantial pressure in terms of migrant arrivals and a beneficiary 'sending country' for relocation (**Italy**).
- A small, relatively new resettlement country, with a recently increased resettlement quota and strong participation in relocation (**Portugal**).
- A small, very new resettlement country, with a relatively small resettlement quota and strong participation in relocation (**Slovenia**).

The selection of case study Member States also aimed to achieve an even geographical representation across the EU.

d. ONE-TO-ONE INTERVIEWS (CASE STUDY MEMBER STATES)

A total of 16 one-to-one interviews were conducted with national actors in the four case study Member States:

- **France:** six interviews (four civil society and two national authority representatives)
- **Italy:** three interviews (one civil society and two national authority representatives)
- **Portugal:** three interviews (two civil society and one national authority representative)
- **Slovenia:** four interviews (two civil society and two national authority representatives)

e. CONSULTATION ON PRELIMINARY FINDINGS WITH ECRE MEMBERS AND UNHCR

Preliminary findings of the study were presented for feedback at the ECRE Annual General Conference in Brussels in October 2019, enabling the views and experiences of the wider ECRE membership and UNHCR participants to be incorporated into the study's findings and recommendations.

EXECUTIVE SUMMARY

'Follow the Money III: the use of AMIF funds to incentivise the creation of safe and legal routes to protection in the EU' presents a critical analysis of the implementation and impact of *financial incentives* for resettlement and relocation allocated to Member States implementing Asylum, Migration & Integration Fund (AMIF) national programmes.

It draws on the knowledge base developed by the first two *Follow the Money* studies, which assessed the national programming, design and implementation of AMIF funds for asylum, integration and return, and expands the focus of the series to include AMIF funding designed to incentivise and support Member State participation in solidarity and responsibility-sharing measures in the area of migration and asylum.

Key Findings: Resettlement (Chapter 2)

Since 2015, the EU has established three joint, ad-hoc resettlement schemes, which Member States participate in voluntarily: to resettle 20,000 persons (2015-17), 50,000 persons (2017-19), and an unspecified number via the 'one-for-one' resettlement scheme that formed part of the EU-Turkey Statement launched in March 2016.

Member States resettled 76,205 persons during 2014-18, via both EU schemes and national programmes. Member State participation in resettlement during this period was uneven: nine Member States received 94.6% of all refugees resettled to the EU, two of which (the UK and Sweden) received 45%. Sweden and Finland dominate Member State participation when resettlement is considered per 100,000 of population. Cyprus, Greece, Poland, and Slovakia did not engage in resettlement during 2014-18, and Denmark does not participate in the AMIF.

Limited and infrequent reporting of Member State resettlement activities makes it challenging to assess the progress of Union resettlement schemes during 2014-18. The European Union does not routinely report resettlement arrivals per Member State for Union resettlement schemes, and Member States are not required to disaggregate annual resettlement arrivals under Union schemes and national programmes when reporting migration statistics.

The AMIF provides funding support for the '*establishment, development and implementation*' of national resettlement programmes, implemented as part of general Member State AMIF national programme activities. This funding stream is a flexible resource that has supported a broad range of national resettlement activities during the pre-departure and post-arrival stages, including piloting new approaches. Despite this flexibility, just 12 Member States have made use of it in their AMIF national programmes, allocating extremely low amounts of funding relative to other national programme activities.

Member State resettlement is supported by the AMIF (2014-20). The AMIF provides Member States with *financial incentives* per person resettled: lump sums of €6000 per resettled person, increasing to €10,000 when the resettled person falls into one of the categories included under common Union resettlement priorities. While these amounts are included in national AMIF programmes based on Member State resettlement pledges, they are not subject to any reporting or expenditure requirements save for Member States evidencing the arrival of the resettled person they relate to.

A total of €377.4m in AMIF financial incentives for resettlement were paid to 23 Member States during 2014-18, corresponding to 38,467 resettlement arrivals. Payments are made based on Member State financial reporting to the European Commission. The significant difference between resettled persons for which Member States requested payment and actual numbers resettled during 2014-18 (76,205 persons) indicates considerable delays in reporting resettlement arrivals. It is therefore not possible to determine the extent to which AMIF *financial incentives* contributed to Member State resettlement activities during 2014-18.

The AMIF explicitly provides lump sums per person resettled as a way of incentivising Member State engagement in resettlement. The incentivising effect of AMIF lump sums is evidenced by Member State predictions regarding the potential effects of their reduction or removal: namely reductions in the numbers they resettle and/or programmes that offer less support to resettled persons.

AMIF *financial incentives* are, however, just one of a range of potential motivations for Member State involvement, and cannot by themselves address all of the potential barriers to national participation. The availability of EU funding indeed had no influence on the decision-making of those Member States not participating (or participating at a lower level) in resettlement during 2014-18.

Member States consider AMIF lump sum financing to be an effective mechanism to provide EU funding for resettlement, and AMIF national programmes an effective vehicle to allocate and reimburse these funds. Not all resettlement Member States make use of national budget resources to supplement AMIF *financial incentives* for resettlement.

Key Findings: Relocation (Chapter 3)

Following the European Commission's May 2015 announcement of its intention to establish an intra-EU '*temporary distribution scheme for persons in clear need of international protection*', two September 2015 decisions of the European Council established a framework to relocate 160,000 persons from Greece and Italy over a two-year period.

During 2016-18, Germany relocated by far the highest number of people under the two relocation decisions (12,952 persons or 34.5% of all relocations), more than double the amount of the next highest-performing relocation country (France, 5682 persons/15%). Smaller Member States, including Luxembourg, Malta, Ireland, Latvia, Slovenia, Portugal, and Cyprus, were more successful in fulfilling their national relocation commitments under the two decisions.

Member States were able to offset obligations under the second relocation decision via resettlement from Turkey under the EU-Turkey Statement. Ten Member States together pledged 29,666 resettlement places using this provision, effectively blocking 18.5% of the planned total of 160,000 relocation places for resettlement from Turkey. The pool of eligible relocation applicants was *de facto* further reduced by the decision to use the 20 March 2016 start date of the EU-Turkey Statement as a cut-off point for relocation from Greece, thus preventing 13,713 eligible Syrian and Iraqi nationals who arrived into Greece after this date from benefiting from relocation. These ten Member States finally received 20,574 persons, and a corresponding €133.7m of AMIF lump sums originally allocated for relocation.

The different post-arrival approaches taken by receiving relocation Member States mean there is no common agreement as to the actual costs of relocation, and differing views amongst national authorities concerning the adequacy of AMIF funding in this context. AMIF funding was certainly not able to address all operational and political barriers to the effective implementation of relocation, and the wider EU policy context in which relocation was implemented worked against the effectiveness both of the scheme and the EU funding provided to support its implementation.

Nonetheless, the operationalisation of solidarity through relocation was a significant achievement, with positive impacts for access to protection for the majority of relocated persons, and for future EU policy initiatives in the area of solidarity and responsibility-sharing. EU funding has therefore played a significant role both in providing access to some form of protection for a large cohort of applicants for international protection, and in mobilising engagement from Member States.

Key Findings: Resettlement and relocation in the AMIF (2020) and the Multiannual Financial Framework (2021-27) (Chapter 4)

The European scheme to resettle 50,000 refugees closed at the end of 2019, and Member States have collectively pledged 30,000 resettlement places for 2020. While these pledges match demands by civil society actors for European resettlement in 2020, the European Commission has to date confirmed the availability of AMIF lump sum funding for 20,000 resettlements only. Although the European Commission has indicated that internal discussions regarding additional budget allocations are ongoing, an eventual funding shortfall risks limiting Member State resettlement activities to levels below their stated aspirations and capacities for 2020. Potential impacts include national programmes offering less resettlement places and/or reduced pre-departure and post-arrival support.

When pledging for the EU scheme to resettle 50,000 persons during 2018-19, Member States were able to carry over unused national pledges for the '20,000 scheme' implemented in 2015-17. AMIF funding rules mean funds allocated to national programmes (including *financial incentives* for resettlement) that remain unused by December 31 of the second year following the year for which they were allocated will be removed (decommitted) from that programme and returned to the general EU budget. The provision for Member States to 'carry over' unused resettlement places as pledges for subsequent EU resettlement schemes thus risks the loss (via decommitment) of EU funding originally intended to support resettlement. In addition to creating a lack of clarity as to the actual number of Member State resettlement pledges under the various EU schemes, for 2020 the decommitment of funds has contributed to a situation where the AMIF potentially cannot fully support Member State resettlement pledges.

€843m was allocated to AMIF national programmes to implement the two relocation decisions and resettlement from Turkey under the EU-Turkey Statement. Both relocation decisions expired in September 2017, and by October 2018 €567m of these funds remained unspent. As these funds were due to be decommitted at the end of 2018, an amendment to the AMIF made it possible for Member States to reallocate unspent relocation funds within their AMIF national programmes: a minimum of 20% for solidarity measures, and a maximum of 80% for other AMIF actions.

Somewhat perversely, Member States that were more successful in fulfilling their relocation commitments had less resources available for reallocation within their AMIF national programmes at the end of 2018. Further, the Member States against which infringement proceedings are ongoing for non-compliance with relocation (Hungary, the Czech Republic and Poland) had the possibility to reallocate nearly all EU funding originally allocated to support relocation within their AMIF national programmes. Just eight Member States made new, voluntary relocation commitments within revised AMIF national programmes for 2020, pledging a total of 4345 places.

The proposed Asylum and Migration Fund (AMF) for 2021-27 has a global financial envelope of €10.42bn: 60% (€6.25bn) to be allocated to Member States implementing AMF national programmes, and 40% (€4.17bn) to a new Thematic Facility. This facility is proposed to be programmed via biannual Work Programmes issued by the European Commission, with its components being:

- Specific actions.
- Union actions.
- Emergency assistance.
- Resettlement.
- Support to Member States contributing to solidarity and responsibility efforts.
- The European Migration Network.

The interim evaluation of the AMIF (2014-20) indicated a total expenditure of €3.74bn on the activities proposed for inclusion in the AMF's Thematic Facility during 2014-17. The allocation to the activities proposed to be supported by the AMF's Thematic Facility is thus just **€0.43bn (10.3%)** more than AMIF expenditure on these same activities solely during the 2014-17 period. Although the specific migration circumstances in Europe from 2015 onwards have led to a more than 100% increase in the overall AMIF financial envelope for 2014-20, a similar set of circumstances in Europe during 2021-27 would risk an overall budgetary shortfall for Thematic Facility activities.

Further, the continued lack of dedicated budget lines for resettlement and intra-EU relocation means resettlement and relocation would in effect be competing for budgetary allocations with the other activities proposed for the Thematic Facility. The majority of these, in particular emergency assistance, would be prominent aspects of a European response to any future critical migration situation. In this context, a repeat of the current scenario with respect to resettlement for 2020, in which Member State resettlement pledges cannot (at least at this time) be fully supported by EU funding, is possible.

RECOMMENDATIONS

The study makes a number of recommendations addressed to both Member States and European co-legislators, based on the key findings presented above and those arising from case studies of the national implementation of AMIF funds in four Member States (France, Italy, Portugal and Slovenia).

Recommendations addressed to Member States focus on the technical aspects of implementing EU funding at national level, particularly in relation to national actors providing post-arrival reception and integration support. Member States should:

- Structure financing for national resettlement and relocation activities to ensure the benefits of AMIF lump sum financing (reduced administrative burden, increased flexibility) are passed onto national actors.
- Ensure financing approaches do not create undue risks for national actors implementing the funds, or disproportionately advantage larger organisations with more capacity.
- Use the capacity created by relaxed reporting requirements for AMIF lump sums to focus national monitoring on programme quality and integration outcomes.
- Include flexibility measures for national actors in order to make integration support more responsive.
- Be transparent regarding the use of AMIF funds for resettlement and relocation by national authorities.

Key recommendations for EU co-legislators are to:

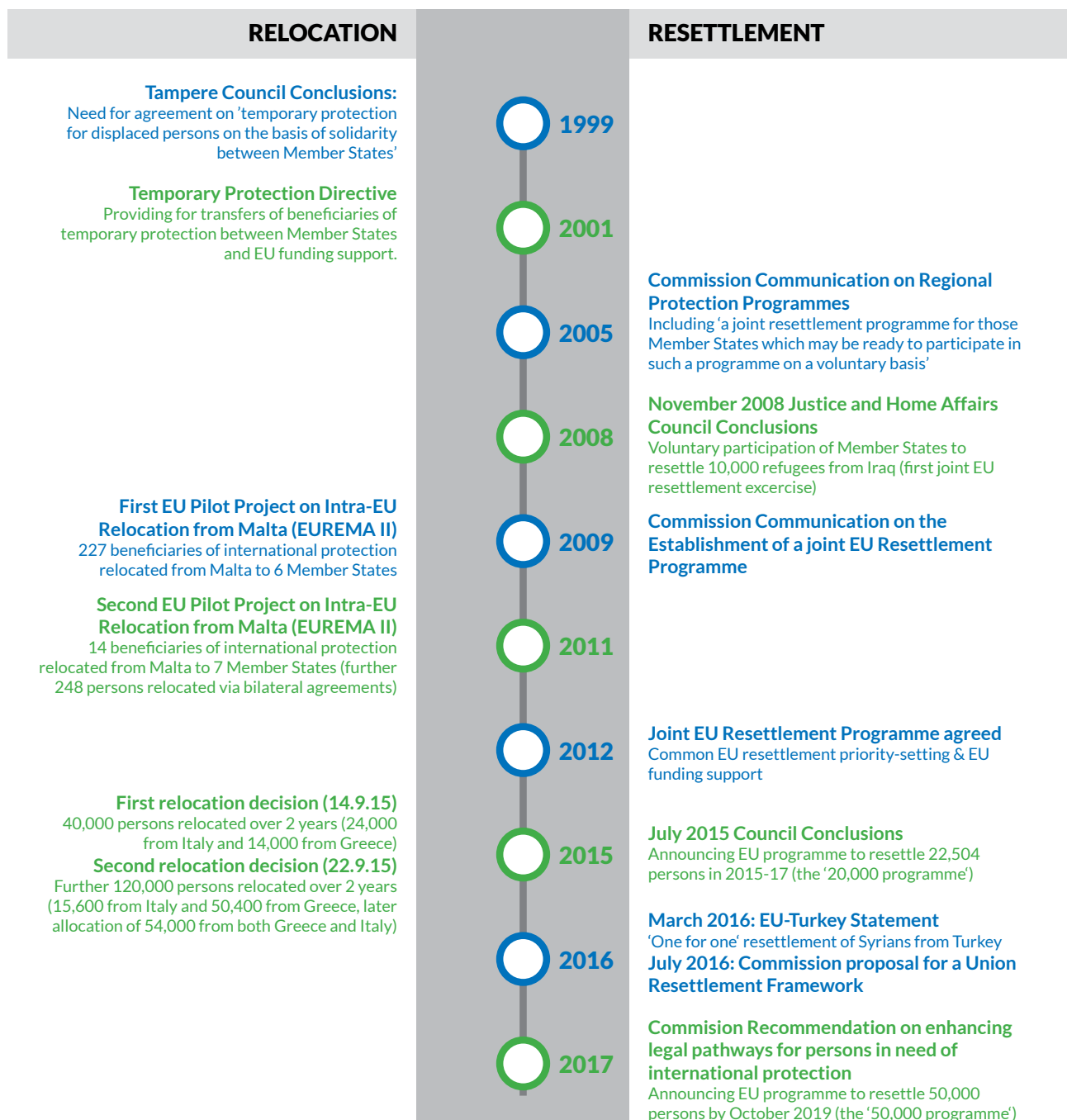
- Retain the financial incentive/lump sum modality for funding resettlement and relocation in future EU financial and legislative instruments.
- Introduce dedicated budget lines for resettlement and relocation in the proposed Asylum and Migration Fund for 2021-27, with a view to expanding EU resettlement to 100,000 places per year by 2030.
- Not permit Member States to carry over unused resettlement places pledged for a specific pledging period/ EU resettlement programme to pledges for subsequent periods/programmes.
- Adjust AMIF financial reporting from the current October-to-October period to calendar year reporting (as also recommended in the previous *Follow the Money II* study published by ECRE and UNHCR).

Additional recommendations address provisions for the technical programming of AMIF/AMF funds for resettlement at the national level, namely requiring Member States to mobilise available funding in order to develop national resettlement programmes and include resettled refugees as beneficiaries of national AMIF/AMF integration actions. On the former, co-legislators are recommended to include national actions to develop resettlement programmes amongst those actions eligible for higher co-financing from the AMF.

1. EU POLICY & FUNDING FOR RESETTLEMENT & RELOCATION

Since 1999, both refugee resettlement from third countries into the EU and intra-EU relocation have become increasingly prominent aspects of EU policy on asylum and migration. Resettlement is a core component of the external dimension of EU asylum policy, whilst relocation is an internal solidarity mechanism designed to ease pressure on the asylum systems of individual Member States experiencing rapid and/or increased arrivals of persons seeking international protection.

Figure 1.1: EU policy and operational initiatives for relocation and resettlement (1999-2017)



a. RESETTLEMENT POLICY & INITIATIVES

i. Joint EU Resettlement Programme

The establishment of the Joint EU Resettlement Programme in 2012 provided a framework for the agreement of common Union resettlement priorities. Although Member State engagement in resettlement remained voluntary, common priorities were intended to guide their resettlement activities and provide a basis for the targeting of EU funding made available for national resettlement,³ initially under the European Refugee Fund III and later via the AMIF (2014-20).

In order to access EU funding for resettlement, the AMIF (2014-20) required Member States to pledge resettlement places for 2014-16 as part of their initial AMIF national programmes and make new resettlement pledges every two years thereafter. Individual financing decisions would enable corresponding funding to be included in AMIF national programmes.

ii. Ad-hoc EU resettlement schemes (2015-19)

The biannual Member State resettlement pledging exercise originally envisaged under the AMIF was replaced during 2015-18 by Member State pledging under various ad-hoc EU resettlement schemes, established as part of the European response to the increased numbers of irregular arrivals to the EU from 2015 onwards:

- **The '20,000 scheme' agreed in July 2015**, which maintained the common EU resettlement priorities set out in the AMIF, within which Member States were asked to focus their pledges on resettlement from *'North Africa, the Middle East and the Horn of Africa...in particular on the countries where the Regional Development and Protection Programmes are implemented'*.⁴ **Member and Associated States pledged 22,504 resettlement places under the '20,000 programme',⁵ and finally resettled 19,432 persons under this scheme.⁶**
- **The '50,000 scheme' announced in September 2017**, which amended the common EU resettlement priorities set out in the AMIF and specified that Member State resettlement pledges focus on:
 - The continued resettlement from Turkey of Syrians, third-country nationals and stateless persons displaced by the conflict in Syria (in order to support the implementation of the EU-Turkey Statement).
 - Continued resettlement from Lebanon and Jordan.
 - Libya, Niger, Chad, Egypt, Ethiopia, and Sudan, including by supporting the UNHCR's temporary mechanism for emergency evacuation from Libya.⁷

³ International Catholic Migration Commission (Europe) (2013) *Welcome To Europe! A comprehensive guide to resettlement*, p108-110

⁴ Council of the European Union (22 July 2015) *Conclusions of the Representatives of the Governments of the Member States meeting within the Council on resettling through multilateral and national schemes 20 000 persons in clear need of international protection*

⁵ Council of the European Union (22 July 2015) *Conclusions of the Representatives of the Governments of the Member States meeting within the Council on resettling through multilateral and national schemes 20 000 persons in clear need of international protection*, Annex

⁶ European Commission (16 May 2018) *Progress report on the Implementation of the European Agenda on Migration (Annex 4: Resettlement - State of Play as of 4 May 2018)*

By May 2018, Member States had pledged a total of 50,039 resettlement places for the 50,000 scheme, of which 3,072 places were unfulfilled pledges carried over from the previous 20,000 scheme.⁸ In September 2019, the deadline for implementation of the 50,000 programme was extended from October to end December 2019.

- **The EU-Turkey Statement of 18 March 2016**, which included a prominent resettlement component for Syrian refugees in Turkey in the form of the 'one-for-one' scheme, which undertook to resettle one Syrian refugee from Turkey to the EU for every Syrian returned from Greece to Turkey. This scheme allowed Member States to count a person resettled from Turkey as fulfilling an existing resettlement or relocation pledge (see *Relocation and legal admission (resettlement) from Turkey*, below).⁹

The number of persons resettled under the EU-Turkey Statement is challenging to define, as at least some of those resettled in this context were counted under the 20,000 and 50,000 resettlement schemes. **While the European Commission notes a total of 24,492 persons resettled under the Statement by 16 September 2019, in the period up to 4 May 2018 at least 4,790 of these had been counted under the 20,000 or 50,000 schemes.**¹⁰

b. EU FUNDING FOR RESETTLEMENT

i. Background: European Refugee Fund (2008-13)

- **General funding (ERF national programmes)**

The European Refugee Fund (ERF) III (2008-13) was the first EU financial instrument to provide specific funding for Member State resettlement activities. Eligible actions were:

- Actions relating to the establishment and development of a resettlement programme.
- Pre-departure actions (health assessments, medical treatment, material provisions and information measures).
- Travel arrangements, including medical escort services.
- Information and assistance immediately upon arrival, including interpretation services.¹¹

Reimbursement of expenditure for eligible actions listed above were subject to the same monitoring, reporting and payment arrangements as for other actions implemented via ERF national programmes.

- **Fixed amounts per person resettled**

The provision to Member States of additional, fixed financial amounts per person resettled was also first introduced under the ERF III. The fund initially enabled Member States to receive **€4,000 per resettled person** falling into four specific geographical and/or vulnerability categories.¹²

⁸ European Commission (16 May 2018) *Progress report on the Implementation of the European Agenda on Migration (Annex 4: Resettlement - State of Play as of 4 May 2018)*

⁹ European Council press release (18 March 2016) *EU-Turkey Statement*

¹⁰ European Commission (16 May 2018) *Progress report on the Implementation of the European Agenda on Migration (Annex 4: Resettlement - State of Play as of 4 May 2018)* & European Commission (September 2019) *implementation of the EU-Turkey Statement*

¹² Article 13(3), *Decision No. 573/2007/EC of the European Parliament and of the Council of 23 May 2007 establishing the European Refugee Fund for the period 2008 to 2013 as part of the General programme 'Solidarity and Management of Migration Flows' and repealing Council Decision 2004/ 904/EC*

An amendment to this provision was introduced in March 2012, establishing differential fixed amounts per resettled person¹³ based on Member States' previous access to this funding stream:

- **€6,000 per person resettled** for Member States applying for resettlement fixed amounts from the ERF III for the first time.
- **€5,000 per person resettled** for Member States who had received resettlement fixed amounts from the ERF III once previously.
- **€4,000 per person resettled** for all other Member States engaged in resettlement.¹⁴

ii. Asylum, Migration & Integration Fund (AMIF) 2014-20

• General funding (AMIF national programmes)

The AMIF maintains the **general (non-lump sum) funding for Member State resettlement activities implemented in the context of AMIF national programmes**, included under the fund's first Specific Objective (the 'asylum priority') as National Objective 3 (Resettlement).

The AMIF expands the types of actions eligible for EU funding under this objective by including both humanitarian admission programmes and family reunification in the context of resettlement, and more clearly defines other eligible actions, as below:

- The establishment and development of national resettlement programmes and strategies and other humanitarian admission programmes (HAPs).
- The establishment of appropriate infrastructure and services to ensure the smooth and effective implementation of resettlement actions and actions concerning other HAPs (including language assistance).
- Setting up of structures and systems, as well as training of staff to conduct missions to third countries and/or other Member States.
- Assessment of potential resettlement cases by Member State authorities, such as conducting selection missions to the third country.
- Pre-departure measures, including health assessments, medical treatment, pre-
- departure material provisions, pre-departure information and integration measures, and travel (including medical escorts).
- Information and assistance upon arrival or shortly thereafter (including interpretation).
- Actions for family reunification purposes for persons being resettled in a Member State.
- Strengthening of infrastructure and services relevant to migration and asylum in those countries designated for the implementation of Regional Protection Programmes.
- Creating conditions conducive to the integration, autonomy, and self-reliance of resettled refugees on a long-term basis.¹⁵

¹³ Member States were eligible to receive the variable fixed amounts in relation to resettled persons falling into one or more of three specific categories:

- Persons from a country or region designated for the implementation of a Regional Protection Programme.
- Persons belonging to 'vulnerable groups' defined in the ERF III.
- Persons indicated on the list of specific common EU priorities for 2013.

Source: Council of the European Union Press Release (8 March 2012) *Common EU resettlement priorities for 2013 and new rules on EU funding*

- **AMIF financial incentives for resettlement (lump sums)**

In addition to funding for resettlement and humanitarian admission under the asylum priority of AMIF national programmes, **the AMIF also continues the provision for Member States to receive fixed financial amounts per person resettled.** By contrast to the ERF III, **the AMIF makes clear that these amounts are ‘financial incentives’, designed to encourage Member States to engage in resettlement and to address common EU resettlement priorities when doing so.**¹⁶

The AMIF discards the previous ERF III system of differential fixed amounts based on Member State’s previous access to this type of EU funding. Member States are instead eligible to receive a basic lump sum of **€6,000 per resettled person, increasing to €10,000 when the resettled person falls into one of the categories included under the common Union resettlement priorities¹⁷ and/or vulnerable groups¹⁸** outlined in the fund’s legal base.¹⁹ Member States may *‘where appropriate’* also be eligible to receive financial incentive payments for family members of resettled persons who are themselves resettled in accordance with the AMIF,²⁰ although the amounts applicable to these persons are not clarified.

Payments of AMIF *financial incentives* for resettlement are made using the fund’s ‘lump sum’ modality. Lump sums are one of several simplified cost options that Member States can use to structure budgets for AMIF actions and reimburse eligible expenditure to the fund’s beneficiaries.²¹ However, *‘in light of the purpose of the financial incentives’* for resettlement and *‘because they represent a small fraction of the actual costs’*,²² these incentive payments are exempted from the regular requirement for lump sums to be calculated based on historical or statistical data.²³ The Commission can amend the lump sums via Delegated Acts,²⁴ but must *‘carry out appropriate consultations during its preparatory work, including at expert level’* and *‘ensure a simultaneous, timely and appropriate transmission of relevant documents’* to the Parliament and Council.²⁵

The AMIF specifies that *financial incentives* for resettlement are allocated to individual AMIF national programmes every two years, based on Member State pledges for resettlement. Allocations for 2014-16 were initially made via decisions approving AMIF national programmes, and for subsequent two-year periods via financing decisions annexed to these programmes according to Member State resettlement pledges.²⁶ A Guidance Note issued to Member States by the European Commission clarified that Member States *‘should report to the Commission the number of persons who were effectively resettled’*, and retain the *‘necessary supporting documents to allow proper identification of the resettled persons, to prove the date of resettlement, and to demonstrate they belong to the relevant priority categories’*, in order for AMIF *financial incentives* allocated based on pledges to be paid to Member States.²⁷

While funding for the implementation of humanitarian admission programmes (HAPs) is available under the AMIF’s asylum priority, **Member States are not eligible to receive financial incentive payments for persons**

¹⁷ Annex III, Regulation 516/2014

¹⁸ Article 17(5), Regulation 516/2014

¹⁹ Article 17(1-2), Regulation 516/2014

²⁰ Article 17(7), Regulation 516/2014

²¹ Article 18(1), Regulation (EU) No 514/2014 of the European Parliament and of the Council of 16 April 2014 laying down general provisions on the Asylum, Migration and Integration Fund and on the instrument for financial support for police cooperation, preventing and combating crime, and crisis management (hereafter ‘Regulation 514/2014’).

²² Recital 49, Regulation (EU) No 516/2014 of the European Parliament and of the Council of 16 April 2014 establishing the Asylum, Migration and Integration Fund, amending Council Decision 2008/381/EC and repealing Decisions No 573/2007/EC and No 575/2007/EC of the European Parliament and of the Council and Council Decision 2007/435/EC. (hereafter ‘Regulation 516/2014’).

²³ Article 25, Regulation 516/2014

²⁴ Article 17(10), Regulation 516/2014

²⁵ Recital 50, Regulation 516/2014

²⁶ Article 17(9), Regulation 516/2014

²⁷ European Commission Guidance Note (undated)

granted temporary stay via HAPs. The AMIF here draws a clear distinction between ‘the Union’s resettlement programme, that explicitly aims to provide a durable solution (permanent residence status in the receiving Member State) to persons in need of international protection transferred...from third countries’ and HAPs designed to provide temporary protection only.²⁸

- **AMIF financial incentives: ad-hoc EU resettlement schemes (2015-19)**

The biannual Member State resettlement pledging exercise originally envisaged under the AMIF was replaced during 2015-19 by Member State pledging under various ad-hoc EU resettlement schemes. These were established as part of the overall European response to the increased numbers of irregular arrivals to the EU from 2015 onwards, within which Member States were eligible to receive differential financial incentive amounts per person resettled:

- The 20,000 and 50,000 schemes: Member States resettling under these schemes were eligible to receive financial incentive payments of €10,000 per person resettled from the priority regions provided for in the AMIF.
- EU-Turkey Statement of 18 March 2016: while the Statement does not specify the financial incentive amount applicable in this context, the European Commission has since indicated that Member States were/are eligible to receive €6,000 per person resettled via this scheme.

c. RELOCATION POLICY & INITIATIVES

i. Background: Temporary Protection Directive & EUREMA programmes

The first EU solidarity mechanism to deal with a ‘mass influx’ of displaced persons to the Union was set out in the Temporary Protection Directive of 2001.²⁹ This Directive provides for the transfer of beneficiaries of temporary protection between Member States, based on a voluntary offer from the receiving Member State and the consent of the person being transferred.³⁰ The Directive remains in force but has to date not been activated.

The first EU solidarity initiative for the transfer of beneficiaries of international protection was implemented in 2009. The *EU Pilot Project on Intra-EU Relocation from Malta* (EUREMA) was proposed by the European Commission, and led by the Maltese Ministry for Justice & Home Affairs in collaboration with the International Organization for Migration (IOM).³¹ **EUREMA initially planned for the relocation of 255 beneficiaries of international protection from Malta to ten Member States: 227 such persons were finally relocated to six Member States by mid-2011.**³²

²⁸ Recital 46, Regulation 516/2014

²⁹ Council Directive 2001/55/EC of 20 July 2001 on minimum standards for giving temporary protection in the event of a mass influx of displaced persons and on measures promoting a balance of efforts between Member States in receiving such persons and bearing the consequences thereof, 2001 OJ L212/12

³⁰ Article 25-6 Temporary Protection Directive (ibid)

³¹ Maltese Ministry for Home Affairs & National Security <https://bit.ly/2Pm3iy3> (last accessed 4 October 2019)

³² To Germany (102 persons), France (95), UK (10), Slovenia (8 persons), Luxembourg (6), Portugal (6). France had also relocated 95 persons from Malta via bilateral agreement with Malta prior to EUREMA I, using EU funding within its ERF national programme. Source: European Migration Network (2012) *Annual Policy Report on Migration and Asylum Policy in Malta*, p22

At a May 2011 Ministerial pledging conference, the European Commission launched a second phase of the EUREMA programme (EUREMA II). 12 Member States and 3 Associated States³³ pledged to relocate a total of 356 beneficiaries of international protection from Malta. Eight of these³⁴ conducted relocation via bilateral arrangements with Malta, while the remaining seven states³⁵ undertook relocation with EU funding in the framework of EUREMA II. **In effect, EUREMA II aimed to relocate 91 beneficiaries of international protection from Malta, with 14 such persons finally relocated by the programme's conclusion at the end of 2013.**³⁶

Based on experiences of implementing the two EUREMA programmes, in December 2011 the European Commission announced its intention to '*propose a voluntary, permanent (relocation) scheme... (to) allow Member States to request assistance through relocation*'.³⁷ EUREMA I and II thus reinforced the Commission's support for intra-EU relocation as a key aspect of solidarity and responsibility-sharing in the context of asylum, and provided an evidence base for future developments in this area.

See '*EU funding for relocation*', below, for details of EU funding provided to support the implementation of EUREMA I and II.

- **Intra-EU relocation (2015-18)**

In an April 2015 joint meeting of foreign and interior ministers, the Commission presented a ten-point plan of action to be taken in response to '*exceptional migratory flows*' in the Mediterranean, which included a commitment to '*consider options for an emergency relocation mechanism*'.³⁸ The European Agenda on Migration, published shortly after in May 2015, accordingly announced the Commission's intention to propose '*a temporary distribution scheme for persons in clear need of international protection*' and to ensure a '*fair and balanced participation of all Member States*' via the use of a redistribution key based on objective national criteria, including GDP, population size and number of asylum seekers and resettled refugees.³⁹

European Council Conclusions of 25-26 June 2015 subsequently approved the pursuit of solidarity and responsibility-sharing measures in three areas (resettlement and relocation, returns and readmission, and cooperation with third countries). In relation to relocation, the Council specifically called for the adoption of a Council decision on '*the temporary and exceptional relocation, over two years, from Italy and from Greece to other Member States of 40 000 persons in clear need of international protection*'.⁴⁰ As the UK could opt out of EU measures and legislation in the area of justice and home affairs,⁴¹ it subsequently chose not to participate in the relocation scheme.⁴²

³³ Germany, Poland, Spain, The Netherlands, Denmark, Romania, Slovakia, Hungary, Ireland, Lithuania, Portugal, Bulgaria, Norway, Switzerland, Liechtenstein (ibid, p22-23)

³⁴ Germany, Spain, The Netherlands, Denmark, Ireland, Norway, Switzerland, Liechtenstein (ibid, p22-23)

³⁵ Poland, Romania, Slovakia, Hungary, Lithuania, Portugal, Bulgaria (ibid, p22-23)

³⁶ European Commission (2018) *Ex-post evaluation of the European Refugee Fund 2011- 2013 and Ex-post evaluation of the European Refugee Fund Community Actions 2008-2010*, p106

³⁷ European Commission (December 2011) *Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions on enhanced intra-EU solidarity in the field of asylum: An EU agenda for better responsibility-sharing and more mutual trust*, p8

³⁸ European Commission press release (20 April 2015) *Joint Foreign and Home Affairs Council: Ten point action plan on migration at https://ec.europa.eu/commission/presscorner/detail/en/IP_15_4813* (last accessed October 30 2019)

³⁹ European Commission (May 2015) *Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions: A European Agenda on Migration*, p4

⁴⁰ Recital 6, *Decision 2015/1523*

⁴¹ Protocol 21, *Treaty on the Functioning of the European Union (TFEU)*. Ireland has a similar opt-in/out arrangement in the area of justice and home affairs, but chose to opt in to relocation.

⁴² European Council (26 June 2018) *European Council meeting (25 and 26 June 2015) – Conclusions*, p2

A Council Decision of 14 September 2015 ('first relocation decision') set out the framework for this scheme, and clarified that of the 40,000 persons planned to be relocated, 24,000 would be come from Italy and 16,000 from Greece.⁴³ Member States were to engage in receiving relocated persons on a voluntary basis, indicating to the Italian and Greek authorities *'at regular intervals, and at least every three months'* the number of persons they could receive.⁴⁴

A further Council Decision on 22 September 2015 ('second relocation decision') provided for an additional 120,000 persons to be relocated from Greece and Italy,⁴⁵ allocated as follows:

- 15,600 persons from Italy ('quotas' per Member State included as Annex I to the second relocation decision).
- 50,400 persons from Greece ('quotas' per Member State included as Annex II to the second relocation decision).
- 54,000 persons from both Greece and Italy (originally intended for relocation from Hungary⁴⁶) to be allocated to receiving Member States according to the allocation proportions set out in Annexes I and II to the second relocation decision (final quota allocations to be determined by the Council following a future proposal by the Commission).⁴⁷

Under this second decision, Member States were obliged to receive specific numbers of relocated persons from both Greece and Italy,⁴⁸ calculated using a distribution key as previously announced⁴⁹ (Annexes I and II to the second relocation decision are included as Annex I to this study).

To be eligible for relocation, applicants for international protection were required to:

- belong to a nationality for which the proportion of first instance asylum decisions was *'according to the latest available updated quarterly Union-wide average Eurostat data, 75 % or higher'*⁵⁰; and
- have arrived on the territory of Greece or Italy between 15 August 2015 and 17 September 2017 (first relocation decision)⁵¹ or 24 March 2015 and 26 September 2017 (second relocation decision).⁵²

Both relocation decisions deferred arrangements for the reception of relocated persons to Member States, save for measures restricting their ability to move onwards after relocation had taken place.⁵³ While the first relocation decision expired on 17 September 2017⁵⁴ and the second on 26 September 2017,⁵⁵ Member States were required to carry out any relocation commitments not implemented by 26 September 2017 within *'a reasonable time thereafter'*. Civil society actors thus maintain that the obligation for Member States to meet numerical quotas under the relocation decisions continues beyond the formal expiry dates of the two relocation decisions.⁵⁶

⁴³ Recital 22 & Article 4, *Decision 2015/1523*

⁴⁴ Article 5(2), *Decision 2015/1523*

⁴⁵ Recital 17, *Council Decision (EU) 2015/1601 of 22 September 2015 establishing provisional measures in the area of international protection for the benefit of Italy and Greece* (hereafter '*Decision 2015/1601*').

⁴⁸ Included as Annex I & II to *Decision 2015/1601*

⁴⁹ European Commission press release (9 September 2015) at https://europa.eu/rapid/press-release_IP-15-5596_en.htm (last accessed October 28 2019)

⁵³ European Council on Refugees & Exiles (2018) *Relocation of asylum seekers: A view from receiving countries*, p8-9

⁵⁴ Article 13(2), *Decision 2015/1523*

⁵⁵ Article 13(2), *Decision 2015/1601*

⁵⁶ European Council on Refugees & Exiles (2017) *Relocation not procrastination: ECRE's assessment of the obstacles to relocation of asylum seekers from Greece and Italy and its proposals for a continuation of relocation after September 2017*, p3

ii. Relocation and legal admission (resettlement) from Turkey

A further Council Decision of 29 September 2016⁵⁷ amended the second relocation decision to enable Member States to count persons resettled from Turkey (recorded as ‘*legal admission from Turkey*’) under the EU-Turkey Statement against their obligations in relation to the 54,000 persons to be relocated from Greece and Italy.

d. EU FUNDING FOR RELOCATION

i. Background

● Temporary Protection Directive (2001)

In addition to ‘*solidarity in terms of physical reception*’ via transfers of applicants of international protection between Member States, the Temporary Protection Directive also provides for ‘*financial solidarity*’ in the form of EU funding.⁵⁸ Although the Directive has never been activated, EU funding was theoretically available via ‘*financial reserves*’ established to implement emergency measures under the European Refugee Fund during 2001-13 (ERF I, II and III).⁵⁹ The AMIF maintains the availability of EU funding for intra-EU transfers implemented under an activated Temporary Protection Directive, via AMIF emergency assistance.⁶⁰

● Intra-EU relocation from Malta 2009-13 (EUREMA I & II)

As in ‘*EU policy & operational initiatives for resettlement & relocation*’, above, the EUREMA I and II programmes for intra-EU relocation from Malta were implemented during 2009-11. ERF II and III reserved specific proportions of each fund’s financial envelope (7% and 10%, respectively) to support ‘*transnational actions or actions of interest to the Community as a whole concerning asylum policy and measures*’ applicable to the funds’ beneficiaries (referred to as ‘*Community Actions*’).⁶¹ EUREMA I (2009-11) was co-financed under the 2009 ERF III 2009 Community Actions programme⁶² with a co-financing contribution of €1.1m to the €1.13m overall cost of the EUREMA I programme. The EUREMA II programme was launched in May 2011 and financed under the 2011 ERF II Community Actions programme for 2011, with a total EU funding contribution of €771,270.⁶³

⁵⁷ Council Decision (EU) 2016/1754 of 29 September 2016 amending Decision (EU) 2015/1601 establishing provisional measures in the area of international protection for the benefit of Italy and Greece

⁵⁸ European Commission (2016) *Study on the Temporary Protection Directive: Executive Summary*, p2

⁵⁹ Recital 10 & Article 6 (1-2), Council Decision of 28 September 2000 establishing a European Refugee Fund; Recital 10 & Article 9, Council Decision of 2 December 2004 establishing the European Refugee Fund for the period 2005 to 2010; Recital 21 & Article 1(5), ERF III Decision

⁶⁰ Article 2(a) & Article 21, Regulation (EU) No 516/2014 of the European Parliament and of the Council of 16 April 2014 establishing the Asylum, Migration and Integration Fund, amending Council Decision 2008/381/EC and repealing Decisions No 573/2007/EC and No 575/2007/EC of the European Parliament and of the Council and Council Decision 2007/435/EC, hereafter Regulation 516/2014

⁶¹ Articles 4 & 8, ERF II Decision

⁶² Maltese Ministry for Home Affairs & National Security <https://bit.ly/32lBz5X> (last accessed 4 October 2019)

⁶³ European Commission (2011) *European Refugee Fund – Community Actions Call for proposals 2011 List of proposals selected for funding*

ii. Asylum, Migration & Integration Fund (AMIF) 2014-20

• Transfers of beneficiaries of international protection

The AMIF initially provided for funding for ‘voluntary burden-sharing operations agreed between Member States,’ consisting of ‘the transfer of beneficiaries of international protection, and of applicants for international protection, from one Member State to another.’⁶⁴

Whilst both beneficiaries of and applicants for international protection are included as target beneficiaries of AMIF actions, the fund provides for Member States to receive *financial incentives* (via the lump sum mechanism, as for resettlement) only for intra-EU transfers of beneficiaries of international protection. The purpose of AMIF *financial incentives* in this context is to:

- **Enhance solidarity** and better share responsibility between Member States, in particular ‘those most affected by asylum flows’.
- **Reduce the pressure** on Member States receiving higher numbers of asylum seekers and beneficiaries of international protection, either in absolute or proportionate terms’.⁶⁵

Member States receiving beneficiaries of international protection transferred from another Member State are eligible to receive **€6,000 per transferred person**. They may also, ‘where appropriate’, receive the lump sum amount for family members of transferred persons where they are transferred in accordance with the fund’s general provisions.⁶⁶

Financial incentives for the transfer of beneficiaries of international protection are allocated to Member State AMIF national programmes via the individual financing decisions approving them, and then ‘later’ via subsequent financing decisions annexed to these programmes.⁶⁷

• Relocation (2015-18)

Both relocation decisions temporarily derogated from AMIF provisions on *financial incentives* for intra-EU transfers, so as to enable Member States to receive the **€6,000 lump sum per applicant for international protection (rather than solely beneficiaries of international protection) relocated under the two decisions**.⁶⁸ Neither relocation decision framed the AMIF lump sums payable per relocated person as *financial incentives*.

The first relocation decision maintained the AMIF’s allocation of lump sums to national AMIF programmes via individual financing decisions, with payments made to Member States via the general AMIF reporting and reimbursement system.⁶⁹ The second relocation decision temporarily derogated from the general AMIF reporting and reimbursement system, instead providing Member States with a **pre-financing allocation of 50%** of the total *financial incentives* allocated to their AMIF national programmes, pursuant to the relocation obligations set out in Annexes I and II of that decision.⁷⁰

The second relocation decision also provided for **Greece and Italy to receive a lump sum payment of €500 per person** leaving their territory, to cover ‘the actual costs necessary to transfer an applicant to the Member State of relocation’.⁷¹

⁶⁴ Recital 16, Regulation 516/2014

⁶⁶ Article 18 (1-2), Regulation 516/2014

⁶⁷ Article 18(3), Regulation 516/2014

⁶⁸ Recital 24 & Article 10, Decision 2015/1523 & Recital 30 & Article 10(1), Decision 2015/1601.

⁶⁹ Article 10, Decision 2015/1523.

⁷⁰ Article 10(2), Decision 2015/1601

⁷¹ Recital 30, Decision 2015/1601

2. EU FUNDING FOR RESETTLEMENT: IMPACT & EFFECTIVENESS

a. RESETTLEMENT PLEDGES & ARRIVALS IN THE EU (2014-18)

According to Member State data, a total of **76,205 persons were resettled to the EU during 2014-18**,⁷² including persons resettled via both *'national and Union resettlement schemes*.⁷³ A breakdown of numbers resettled via national programmes and EU schemes is not available.

Member States are eligible to receive AMIF *financial incentives* per person resettled under EU schemes. Member States can also register pledges for persons to be resettled under national programmes, for which they would be eligible to receive AMIF *financial incentive* payments. Where Member States receive resettled refugees under national programmes but do not make corresponding pledges, they are not eligible to receive AMIF *financial incentive* payments.

As in figure 2.1, below, **the United Kingdom (19,845 persons) and Sweden (14,395 persons) were the largest resettlement Member States during this period**, together accounting for just under 45% of all resettlement to the EU. The seven further Member States that resettled more than 2,000 persons⁷⁴ together accounted for 49.7% of all resettlement to the EU, meaning **nine Member States were responsible for 94.6% of resettlement into the EU during 2014-18**. Member States in Central and Eastern Europe and the Baltics⁷⁵ received the lowest numbers of resettled refugees during this period, accounting for just **0.7% of the overall EU total**. Cyprus, Greece, Poland, and Slovakia did not engage in resettlement at all during 2014-18.

Numbers of persons resettled per Member State during 2014-18 are included in Annex II to this report.

⁷² Eurostat resettlement statistics, last accessed 23 December 2019

⁷³ Article 4(g), *Regulation (EC) No 862/2007 of the European Parliament and of the Council of 11 July 2007 on Community statistics on migration and international protection and repealing Council Regulation (EEC) No 311/76 on the compilation of statistics on foreign workers*

⁷⁴ France (9855 persons), Germany (8245), The Netherlands (5425), Finland (4735), Italy (3835), Belgium (2950), and Spain (2820)

⁷⁵ Croatia, Lithuania, Latvia, the Czech Republic, Romania, Hungary, Slovenia, Estonia, Bulgaria, Slovakia, Poland

Figure 2.1: Number of persons resettled per Member State, 2014-18 (source: Eurostat)

This picture changes slightly when considering persons resettled per 100,000 of population:

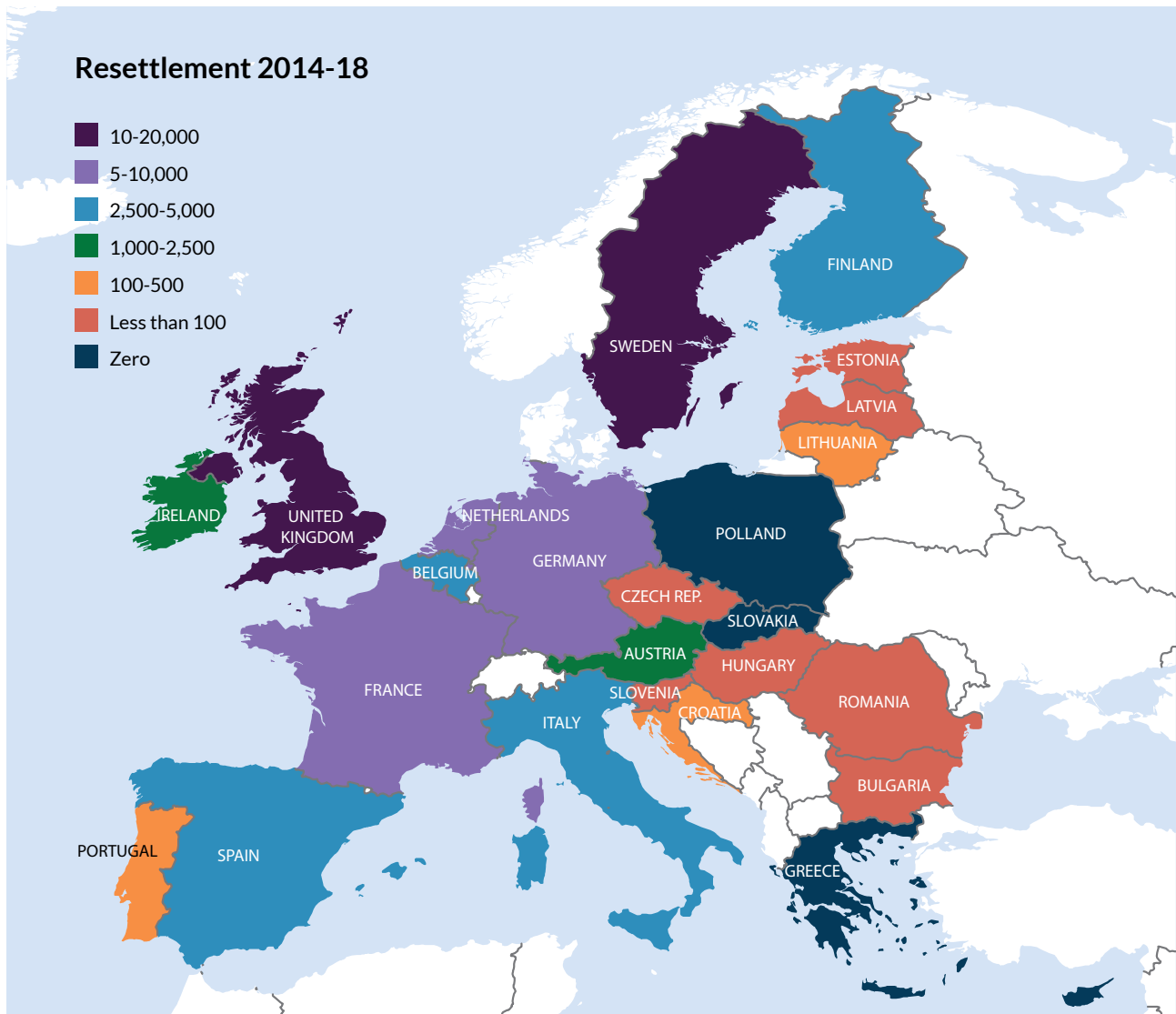
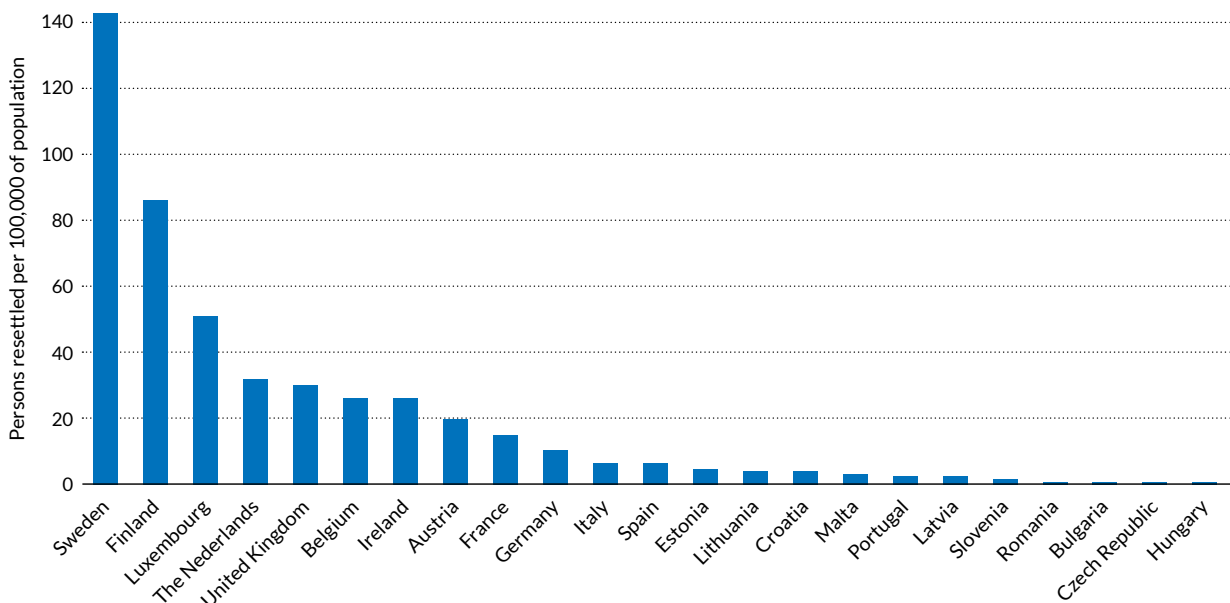


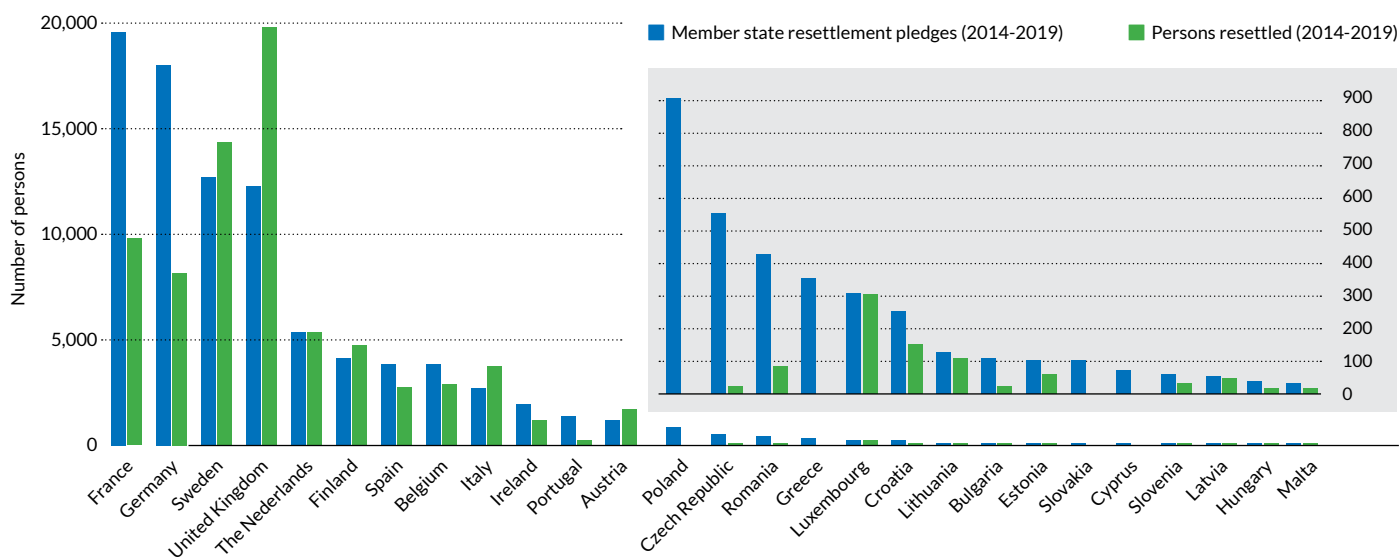
Figure 2.2: Persons resettled per 100,000 of population per Member State, 2014-18 (source: Eurostat)



Sweden and Finland have the highest rates of resettlement per 100,000 of population. Although eight⁷⁶ of the top ten countries in terms of total numbers resettled during 2014-18 remain the same, albeit in an amended order, Luxembourg, Ireland and Belgium show significantly higher rates of resettlement when considered per 100,000 of population.

Numbers of persons resettled per 100,000 of population per Member State during 2014-18 are included in Annex II to this report.

Figure 2.3: Member State resettlement pledges 2014-20 (source: European Commission dataset) and number of persons resettled per Member State 2014-18 (source: Eurostat)



National resettlement during 2014-18 can also be considered in terms of how far Member States are fulfilling their AMIF resettlement pledges. The European Commission notes a total of **91,232 resettlement places pledged by Member States for 2014-20** (pledges for the 2014-18 period are not available).⁷⁷ These are solely resettlement places pledged within the AMIF funding framework, and not those places included in national resettlement schemes for which Member States have not sought AMIF funding.

The five Member States for which the total number of persons resettled during 2014-18 exceeds AMIF resettlement pledges for 2014-20 either:

- maintain national resettlement schemes for which they do not request AMIF *financial incentive* funding (Sweden and Finland); or
- operate legal admission programmes which may not be eligible for AMIF *financial incentive* funding but which Member State national authorities may report as ‘resettlement’⁷⁸ when submitting data on resettlement arrivals to the European Commission (Austria,⁷⁹ Italy⁸⁰ and the UK⁸¹).

The European Commission does not routinely report resettlement arrivals per Member State for Union resettlement schemes. The last such report was issued on 5 May 2018,⁸² and subsequent communications and factsheets concerning resettlement have included global numbers of resettlement arrivals at Union level and/

⁷⁶ Sweden, Finland, The Netherlands, UK, Belgium, Austria, France and Germany.

⁷⁷ Dataset provided by the European Commission.

⁸² European Commission (May 2018) *Communication from the Commission to the European Parliament and the Council: Progress report on the Implementation of the European Agenda on Migration, Annex 4: Resettlement, State of Play as of May 2018*

or numbers of refugees from specific national backgrounds.⁸³ Given this lack of regular reporting on Member State resettlement activities at EU level, and as Member States are not required to disaggregate annual resettlement arrivals under Union and national schemes when reporting migration statistics to the European Commission, **it is not possible to determine the implementation rate for Member State AMIF resettlement pledges for 2014-20 achieved during the 2014-18 period.**

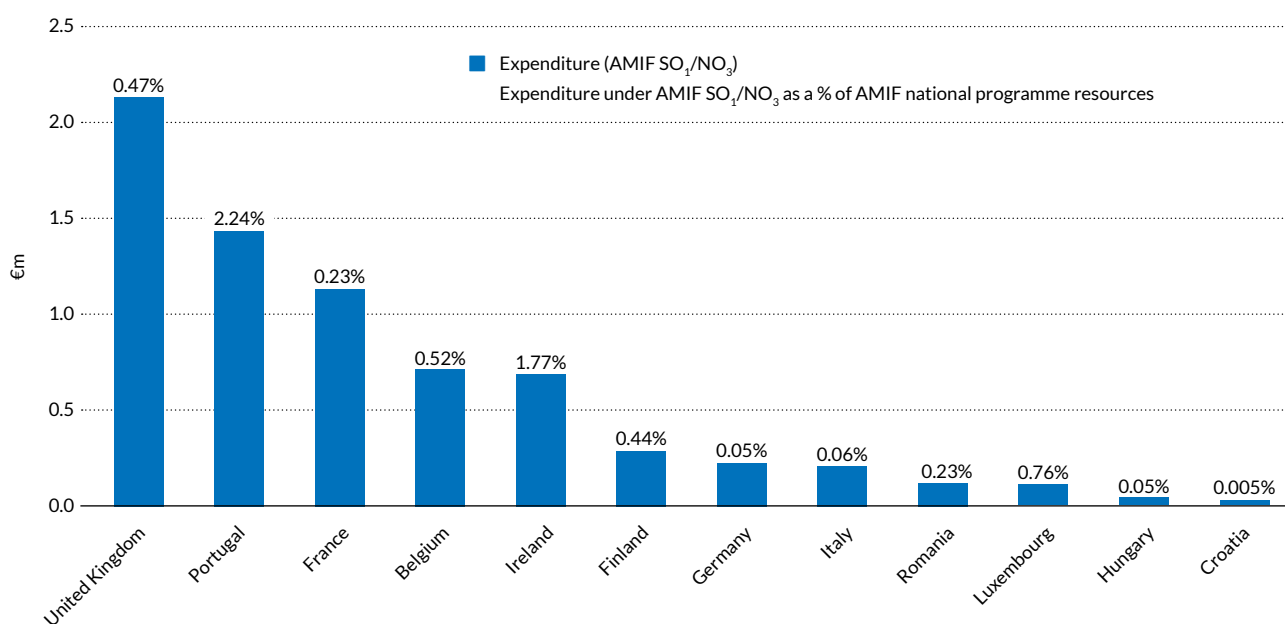
Numbers of resettlement places pledged per Member State for 2014-20 are included in Annex II to this report.

b. DISTRIBUTION & NATIONAL IMPLEMENTATION OF EU FUNDING FOR RESETTLEMENT

i. AMIF national programme resources for resettlement

During 2014-18, 12 Member States implemented actions for resettlement in their AMIF national programmes using the specific funding available for this work under the AMIF's Specific Objective 1 (Asylum)/National Objective 3 (Resettlement):

Figure 2.4: Payments of AMIF funds (Specific Objective 1: Asylum, National Objective 3: Resettlement) to Member States, 2014-18 (source: dataset provided by the European Commission)



Just three of these (UK, Portugal and France) incurred expenditure of more than €1m under this specific stream of AMIF funding. In all cases, **expenditure under this heading constituted a very small proportion of the overall budgetary resources available within these Member States' AMIF national programmes.**

Figure 2.5, below, summarises the activities of Member States⁸⁴ implementing resettlement actions using AMIF funding under Specific Objective 1 (Asylum)/National Objective 3 (Resettlement):

⁸³ The most recent *Progress Report on the European Agenda on Migration* COM(2019) 481, issued by the European Commission on 16 October 2019, for example, makes reference to 'almost 63,000 persons resettled (to the EU) since 2015', '25,000 (Syrian) persons in need of international protection resettled since April 2016 to 18 Member States' under the EU-Turkey Statement and 'by 7 October 2019...39,000 resettlements (78% of the total pledged)' under the 50,000 scheme.

⁸⁴ The Croatian national AMIF interim evaluation report was not provided in a format that enabled translation of this information

Figure 2.5: Activities implemented by 11 Member States under AMIF Specific Objective 1 (Asylum/ National Objective 3 (Resettlement) (source: national AMIF interim evaluation reports for 1 January 2014 to 30 June 2017, published/provided by Member States)

Member state	Activities implemented under AMIF Specific Objective 1 (Asylum)/National Objective3 (Resettlement)
UK	<ul style="list-style-type: none"> • Pre-departure biometric data collection for visas • Pre-departure cultural orientation • Post-arrival mainstream services (health, welfare benefits, education)
Portugal	<ul style="list-style-type: none"> • Post-arrival integration action (language training, preparation to access the labour market)
France	<ul style="list-style-type: none"> • Post-arrival receptions services • Post-arrival specialist health services • National dissemination of best practice for resettlement and integration
Belgium	<ul style="list-style-type: none"> • National coordination of resettlement (government agencies)
Ireland	<ul style="list-style-type: none"> • Selection missions • Post-arrival activities at reception centres
Finland	<ul style="list-style-type: none"> • Two local authority integration projects
Germany	<ul style="list-style-type: none"> • National information provision and training for resettlement actors • Additional HAP and resettlement arrivals
Italy	<ul style="list-style-type: none"> • Establishing a national Resettlement Office (within the Ministry of the Interior) to coordinate the new national resettlement programme
Romania	<ul style="list-style-type: none"> • Selection missions • Transfer of resettled persons
Luxemburg	<ul style="list-style-type: none"> • Selection missions
Hungary	<ul style="list-style-type: none"> • Selection missions • Evaluation of resettlement activities

In terms of pre-departure activities, four Member States (Hungary, Ireland, Luxembourg, Romania) funded **resettlement selection missions** using this AMIF funding stream. The UK also used this AMIF funding stream to support **pre-departure biometric data collection** for visas, while Romania was the only Member State to note the use of general AMIF funding for the **transfer of persons selected for resettlement from a third country**.

For post-arrival activities, five Member States (Finland, France, Ireland, Portugal, UK) used general AMIF funding to support **post-arrival integration services**. The UK and France specifically noted the use of general AMIF funding to provide mainstream services (health, education and welfare benefits) for resettled persons, while France and Germany used this funding stream for training, information provision and awareness-raising activities for national resettlement actors and stakeholders. Although Hungary noted allocation of these funds to an **evaluation of national resettlement activities**, this project had not yet been concluded.

Just one Member State (Germany) used this general AMIF funding stream to add places to national resettlement (1246 persons) and humanitarian admission (704 persons) programmes, and it remains unclear why other Member States did not make similar use of this AMIF funding stream.

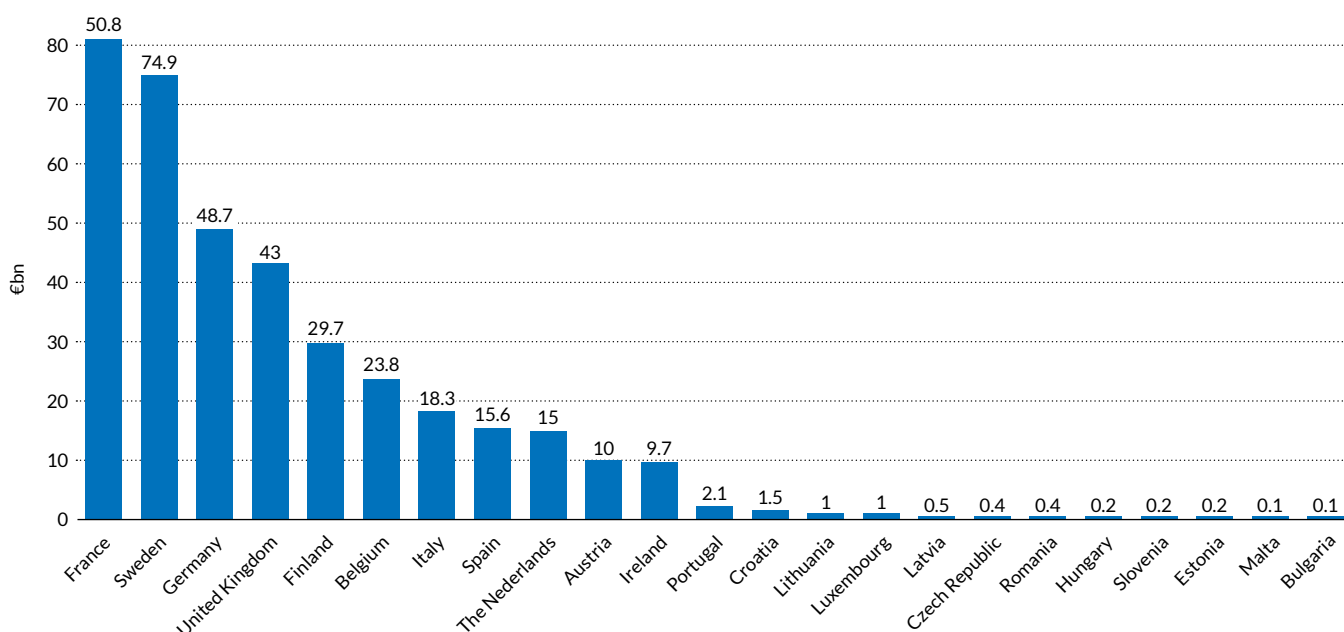
The diverse ways in which Member States chose to implement this AMIF funding stream demonstrates its usefulness in providing **flexible support for a broad range of national resettlement activities**. Its usefulness is, however, limited both by the relatively small number of Member States making use of it and their low rates of expenditure, suggesting that **the development of national resettlement activities was not a Member State priority during the first period of AMIF implementation**.

EU stakeholders interviewed in the course of this research additionally suggested that a **lack of Member State awareness of this AMIF funding stream and its potential uses** may partially explain the low rate of implementation.

ii. AMIF financial incentives for resettlement

The European Commission notes a total of €377.4m in AMIF **financial incentives** for resettlement paid to Member States during 2014-18, distributed as in figure 2.6, below:⁸⁵

Figure 2.6: AMIF financial incentives for resettlement paid to Member States 2014-18 (source: dataset provided by the European Commission)



⁸⁵ As Cyprus, Greece, Poland and Slovakia did not engage in resettlement or receive AMIF financial incentives for resettlement during 2014-18, they are not included here

The financial year for Member State reporting on AMIF activities runs from 16 October-15 October.⁸⁶ Member States must submit annual financial reports (payment requests) to the European Commission by 15 February of the year following the financial year in question,⁸⁷ and the European Commission issues a decision on the clearance of annual accounts for each AMIF national programme by 31 May of the same year.⁸⁸ The data presented in figure 2.6, above, therefore refers to payments of AMIF *financial incentives* in relation to resettlement arrivals declared by Member States in national AMIF financial reporting for the period 1 January 2014 to 15 October 2018.

During 2014-18, Member States requested payment from the European Commission of AMIF *financial incentives* relating to 38,674 resettlement arrivals, while declaring a total of 76,205 resettlement arrivals in annual reporting to the European Commission for the 2014-18 period. Notwithstanding that not all resettlement arrivals during 2014-18 took place within the framework of the AMIF, as detailed above, it is clear that there are considerable delays in Member State declarations of resettlement arrivals for the purposes of AMIF financial reporting/payment requests. **These delays mean it is not possible to determine the amount of funding amount contributed via AMIF *financial incentives* to Member State resettlement activities during 2014-18.**

Numbers of resettlement arrivals declared by Member States in AMIF financial reports/payment requests for 1 January 2014 to 15 October 2018 are included in Annex II to this report. As detailed in 'Methodology', above, nine Member States⁸⁹ responded to an online survey on resettlement during June-September 2019.

Figure 2.7: Member State responses to selected online resettlement survey questions (June-September 2019)

	AMIF financial incentives only	AMIF financial incentives and national budget resources
How is resettlement financed in your national context?	Austria, Croatia, Lithuania	Estonia, Finland, Germany, Luxembourg, Spain, UK
Are lump sums an effective mechanism for the EU to provide funding support for Member State resettlement activities?	Yes Austria, Estonia, Finland, Germany, Lithuania, Luxembourg, Spain, UK	No Croatia
Are AMIF national programmes an effective way of allocating and paying lump sums for resettlement to Member States?	Yes Austria, Croatia, Estonia, Finland, Lithuania, Luxembourg, Spain, UK	No Germany
Are resettled refugees included as target beneficiaries of actions under the AMIF national programme?	Yes Austria, Croatia, Estonia, Finland, Germany, Lithuania, Luxembourg, Spain, UK	No

⁸⁶ Article 38, Regulation 514/2014. Difficulties

⁸⁷ Article 59(5), Regulation (EU, EURATOM) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002

⁸⁸ Article 45(1), Regulation 514/2014

⁸⁹ Austria, Croatia, Estonia, Finland, Germany, Lithuania, Luxembourg, Spain, UK

As in figure 2.7, above, six Member States indicated that national resettlement activities were financed using a combination of AMIF *financial incentives* and national budget resources, while three noted resettlement programmes financed entirely via AMIF *financial incentives*. The vast majority considered that lump sums were an effective mechanism to provide EU funding for resettlement, and that AMIF national programmes are an effective vehicle to allocate and make payment of lump sums to Member States.

By contrast, the Croatian national authorities stated a preference for a **tailor-made resettlement financing system** based on:

- the reception and integration needs of specific groups of resettled persons; and
- the financial and operational capacity of the receiving Member State.

A response from Germany indicated some **challenges for financial management caused by differences between the AMIF national programme accounting/reporting cycle** and the resettlement pledging periods included in the various ad-hoc EU resettlement exercises during 2015-19. The recommendation here is for a separate reporting and accounting system for AMIF *financial incentives* for resettlement.

All nine responding Member States indicated that **resettled persons are included as target beneficiaries of integration actions under their respective AMIF national programmes**, highlighting the availability of AMIF resources to support resettled refugees additional to those specifically dedicated to resettlement.

c. INCENTIVISING MEMBER STATE PARTICIPATION IN RESETTLEMENT

i. The potential of EU funding to incentivise Member State participation in resettlement

As above, the AMIF clearly frames lump sum financial amounts for Member States engaged in resettlement as '*financial incentives*', designed to motivate Member States to engage in receiving resettled refugees. Additionally, the structuring of AMIF *financial incentives* for resettlement, with a higher lump sum amount payable for persons resettled according to common Union resettlement priorities, explicitly aims to steer Member States' resettlement activities toward those priorities.⁹⁰

The explicit assumption is that financial lump sums incentivise Member State participation, and that higher lump sum amounts further incentivise Member States to implement resettlement activities in a particular manner. To assess the actual potential of EU funding to incentivise Member States in this way, it is necessary to consider **the full range of factors that both motivate and discourage national governments from engaging in this type of activity**.

A 2017 study on global resettlement produced by the Migration Policy Institute identified four categories of motivation for national governments and other actors to engage in resettlement:

- **Value-based motivations**, including a moral obligation to assist refugees, maintaining national traditions of humanitarianism, showing solidarity with the countries of first asylum hosting the largest numbers of refugees, and a sense of responsibility for the causes of displacement.
- **Strategic protection considerations**, including safeguarding protection space in countries of first asylum, and incentivising certain actions by countries of first asylum.⁹¹
- **National and domestic interests**, including foreign policy objectives, and national asylum and border management goals (resettlement as a means of reducing irregular arrivals).

⁹⁰ Recital 40, Regulation 516/2014

- **External incentives or opportunities**, including *financial incentives* and capacity-building initiatives.⁹²

The study further identified a number of reasons offered by governments for their reluctance to engage in refugee resettlement, including:

- **A lack of capacity to receive resettled refugees**, particularly in terms of available housing and limited capacity of mainstream services.
- **Difficulties in integrating resettled refugees** into receiving societies, often framed in terms of negative impacts on social cohesion or limited potential for labour market integration.
- **Security concerns**, often linked to terrorism.⁹³

ii. European Refugee Fund III (2008-13)

As above, the provision to Member States of additional, fixed financial amounts per person resettled was first introduced under the European Refugee Fund (ERF) III (2008-13). Evaluations of the extent to which these amounts incentivised Member State participation in resettlement concluded that their effect had been limited:

- A study on the EU scheme to resettle 10,000 refugees in Iraq launched in November 2008⁹⁴ concluded that there was *'little indication of the incentive role of ERF funding for Member States to engage in resettling vulnerable Iraqi refugees from eligible categories'*.⁹⁵
- An evaluation of the ERF III similarly concluded that, although the availability of funding from the EU *'did encourage a few MS to get involved in or continue and strengthen their resettlement programmes'*, the number of Member States newly participating in resettlement *'remained limited during the 2011-2013 period'*.⁹⁶ Indeed, *'more than 75% of the 15,292 resettlement places pledged under ERF III for the period 2008-12 were offered by countries already engaged in resettlement'*.⁹⁷

The ERF III evaluation recommended that *financial incentives* for resettlement be restructured so as to *'increase transfers'*, and that the successor fund to the ERF III dedicate a specific budget to *'the implementation of resettlement projects and EU resettlement programmes'*.⁹⁸

In addition to the structure of EU funding for resettlement under ERF III, a number of other barriers to the ERF's capacity to incentivise Member State participation in resettlement during the 2008-13 period were identified:

- **The lack of a clear reflection on 'the need for solidarity'** in the objectives of the ERF as defined in its legal base, and the omission of *'the need to ensure a 'balanced' effort between Member States'* in the context of solidarity from the fund's general objectives.⁹⁹
- **The voluntary nature of Member State engagement in resettlement**, which *'did not significantly incentivise MS to partake in these responsibility-sharing initiatives'*.¹⁰⁰

⁹² Migration Policy Institute (ibid), p10-16

⁹³ Migration Policy Institute (ibid), p25

⁹⁴ Council of the European Union (November 2008) *Press Release: 2908th meeting of the Council (Justice and Home Affairs) Brussels, 27 and 28 November 2008*

⁹⁵ International Catholic Migration Commission (Europe) & International Rescue Committee (2010) *10,000 refugees from Iraq: a report on joint resettlement in the European Union*, p28

⁹⁶ European Commission (2018) *Ex-post Evaluation of the European Refugee Fund 2011-2013 and Ex-post Evaluation of the European Refugee Fund Community Actions 2008-2010*, p11

⁹⁷ International Catholic Migration Commission (Europe) (2013) *Welcome To Europe! A comprehensive guide to resettlement*, p106-7

⁹⁸ European Commission (ibid), p15

⁹⁹ European Commission (ibid), p10

¹⁰⁰ European Commission (ibid), p10

- **National constraints in the use of ERF III funding for resettlement**, including ‘delays in the distribution of funds to NGOs by national governments’, and ‘difficulties in administering initiatives in which ERF beneficiaries must be separated from other groups using the same services’.¹⁰¹

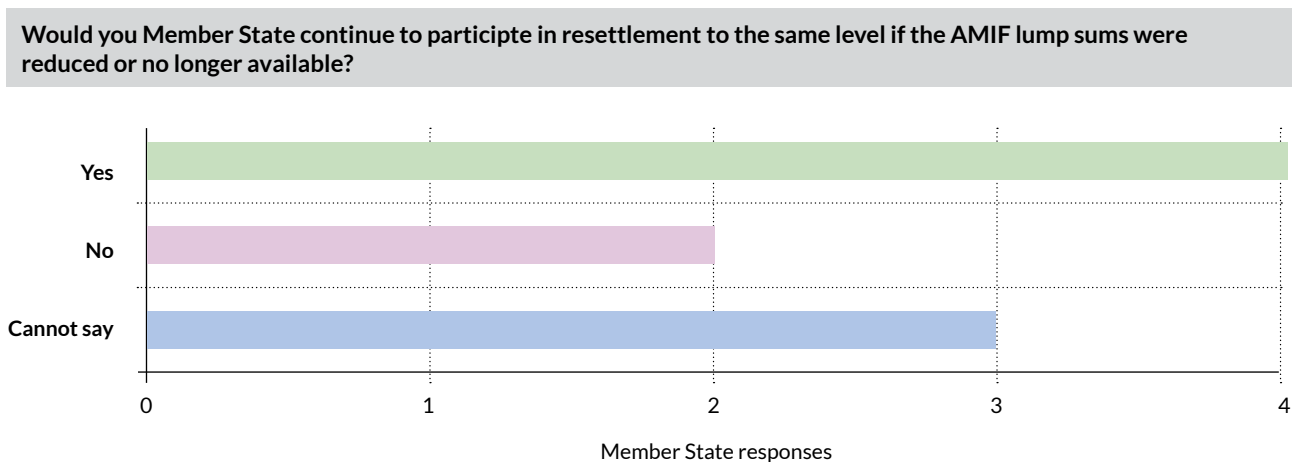
iii. Asylum, Migration & Integration Fund (AMIF) 2014-19

By increasing the lump sum amounts and maintaining general funding for national resettlement activities under the asylum priority, the AMIF incorporated key recommendations from the ERF III evaluation for the 2014-20 period. However, the interim evaluation of the fund, covering the period 1 January 2014 to 30 June 2017, concluded that **the effectiveness of AMIF funding for resettlement had been limited:**

- **A limited AMIF contribution to the ‘establishment, development and implementation of national resettlement programmes’** through AMIF national programmes.
- **Persistence of ‘rather unequal’ resettlement contributions by Member States**, with some Member States fulfilling resettlement commitments set out in their AMIF national programmes and others not engaging in resettlement at all during the evaluation period.
- **AMIF funding for resettlement was ‘not sufficient to incentivise enhanced resettlement efforts’** by those Member States either not engaged in or receiving limited numbers of resettled refugees.¹⁰²

As in ‘Methodology’, above, nine Member States¹⁰³ responded to an online survey on resettlement during June-September 2019, including specific questions on the influence of AMIF *financial incentives* in motivating Member State involvement in resettlement:

Figure 2.8: Member State responses to online resettlement survey question 6 (June-September 2019)

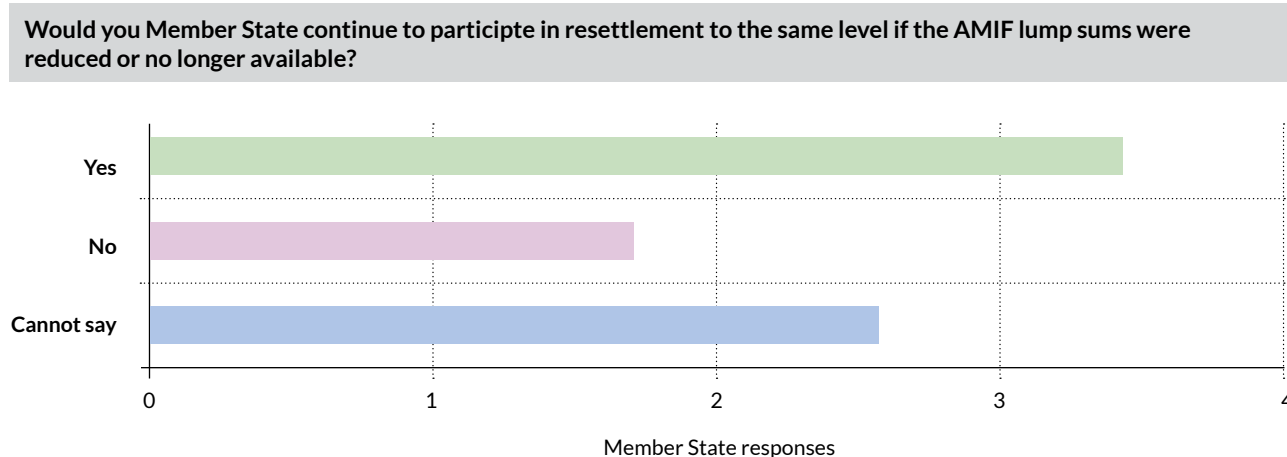


Five Member States (Austria, Germany, Luxembourg, Lithuania, Estonia) indicated that **AMIF lump sum amounts for resettlement are adequate to incentivise their participation**. Five responses indicated that **the lump sum amounts were too low** (Spain and Finland) to incentivise **or had little or no influence** (Croatia, UK and a second survey response from national authorities in Germany) on their decisions to participate in resettlement. Of these, three (Croatia, Finland, Spain) suggested **an increase in the lump sum amount (to a minimum level of €20-25,000 per person resettled)** would be adequate for AMIF funding to incentivise their participation.

¹⁰¹ International Catholic Migration Commission (Europe) (2013) *Welcome To Europe! A comprehensive guide to resettlement*, p106-7

¹⁰³ Austria, Croatia, Estonia, Finland, Germany, Lithuania, Luxembourg, Spain, UK

Figure 2.9: Member State responses to online resettlement survey question 7 (June-September 2019)



Four Member States (Croatia, Finland, Germany, Spain) indicated that they would continue to participate in resettlement in the event of AMIF *financial incentives* being reduced or no longer available, one of which (Finland) however highlighted the importance of ongoing EU funding for political willingness to increase national resettlement quotas in the future.

Supporting comments submitted with these responses indicated that **ongoing participation in this context would likely be in the form of programmes implemented with operational cost reductions**, should increased contributions from national budgets not be possible. Given that the aspects of resettlement programmes for which cost savings could be achieved consist of pre-departure and post-arrival support to resettled persons, **ongoing participation in resettlement following reduction or removal of the lump sums would result in programmes that offer substantially less support to those being resettled, with the potential to negatively affect settlement and integration outcomes for resettled persons.**

Two Member States (Estonia, Lithuania) indicated that they would **cease all resettlement activities in the event of reduced or removed EU funding**. Of the three Member States (Austria, Luxembourg, UK) that could not provide a definitive answer, Austria highlighted how participation in resettlement is a political decision taken without reference to funding capacity, and Luxembourg noted that the availability of EU funding was not the only motivation to engage in resettlement.

To obtain a fuller picture of the role of AMIF lump sum amounts in incentivising national participation in resettlement, it is necessary to consider perspectives from Member States not engaged in resettlement or receiving limited numbers of resettled refugees during 2014-18.

As in 'Methodology', above, UNHCR representatives in four such Member States (Bulgaria, Cyprus, Greece, Poland) responded to a short questionnaire on the reasons for this lack of/low participation and the potential of EU funding to incentivise future participation:

Figure 2.10: Summary of UNHCR survey responses (June-August 2019)

Member state	UNHCR Survey responses
Bulgaria	<p>Development of the nascent national resettlement programme has been marred by a lack of integration support for refugees in Bulgaria, which result from political opposition to integration.</p> <p>Availability of EU funding has no influence on Bulgaria’s development of integration support for refugees, and so no influence on national engagement in resettlement.</p>
Cyprus	<p>Preparations for the implementation of resettlement put on hold due to increased asylum claims since 2015 and resultant pressure on the reception system in Cyprus.</p> <p>EU funding for resettlement has no influence on the current reception situation. Resettlement might start, but only when the reception situation stabilises.</p>
Greece	<p>Greek authorities currently have little appetite to receive refugees via EU resettlement schemes, given the disproportionate number, relative to the size and capabilities of Greece, of applications for international protection registered, precessed and positively decided since 2015.</p> <p>EU funding for resettlement does not address the lack of integration infrastructure/services necessary to support resettled refugees. Investment in this area is required before resettlement can begin in Greece.</p>
Poland	<p>Since late 2015, national authorities have emphasised security and prevention of terrorism, including by limiting the number of refugees on the national territory. Effectively no refugees has arrived to Poland via resettlement or relocation.</p> <p>Policy preference to assist refugees in the regions/countries of firts asylum.</p> <p>The availability of EU funding has no influence on Poland’s engagement in resettlement.</p>

As in figure 2.10, above, responses identified a range of factors preventing participation in resettlement by the Member States concerned. These included prioritising the management of pressure caused by increased asylum arrivals since 2015, an overall lack of interest in resettlement, lack of national integration infrastructure, and, in the case of Poland, political opposition to admitting refugees.

All respondents indicated that the availability of EU funding for resettlement had no influence on Member State decisions concerning participation in resettlement. It is clear, therefore, that **the potential for EU funding to incentivise the participation of Member States not previously engaged/engaged to a limited degree in receiving resettled refugees is limited in relation to other political and operational factors.**

KEY FINDINGS, CHAPTER 2

- a. **Member States resettled 76,205 persons during 2014-18, via both national programmes and EU resettlement schemes**
- b. **Member State participation in resettlement during 2014-18 was uneven, and largely concentrated in the Western and Nordic regions**

Nine Member States received 94.6% of all refugees resettled to the EU during 2014-18, two of which (the UK and Sweden) received 45% of all resettled refugees during this period.
- c. **Sweden and Finland dominate Member State participation in resettlement when considered per 100,000 of population**
- d. **Infrequent and limited reporting of Member State resettlement activities makes it challenging to assess the progress of Union resettlement schemes during 2014-18**

The European Commission does not routinely report resettlement arrivals per Member State for Union resettlement schemes, and Member States are not required to disaggregate annual resettlement arrivals under Union and national schemes when reporting migration statistics to the European Commission.
- e. **A total of €377.4m AMIF financial incentives for resettlement were paid to Member States during 2014-18, corresponding to 38,647 resettlement arrivals**
- f. **EU funding supported the resettlement activities of 23 Member States during 2014-18**

Cyprus, Greece, Poland and Slovakia did not engage in resettlement during this period, and Denmark does not participate in the AMIF.
- g. **Mainstream AMIF national programme funding to support the establishment, development and implementation of national resettlement programmes is a flexible resource that has supported a broad range of national resettlement activities**

Member States making use of this funding stream have implemented a wide range of resettlement activities at both the pre-departure and post-arrival stages of resettlement, including piloting new approaches.
- h. **Despite the flexibility mentioned above, to date Member States have made limited use of mainstream AMIF national programme funding to support the establishment, development and implementation of national resettlement programmes**

Just 12 Member States included such actions under the asylum priority of their AMIF national programmes, of which only three allocated more than €1m to this area of activity.
- i. **Member States reported 76,205 resettlement arrivals during 2014-18, but requested payment of AMIF *financial incentives* for only 38,647 resettlement arrivals**

These considerable reporting delays mean it is not possible to determine the amount of funding contributed via AMIF *financial incentives* to Member State resettlement activities during 2014-18.
- j. **Not all resettlement Member States make use of national budget resources to supplement AMIF *financial incentives* for resettlement**

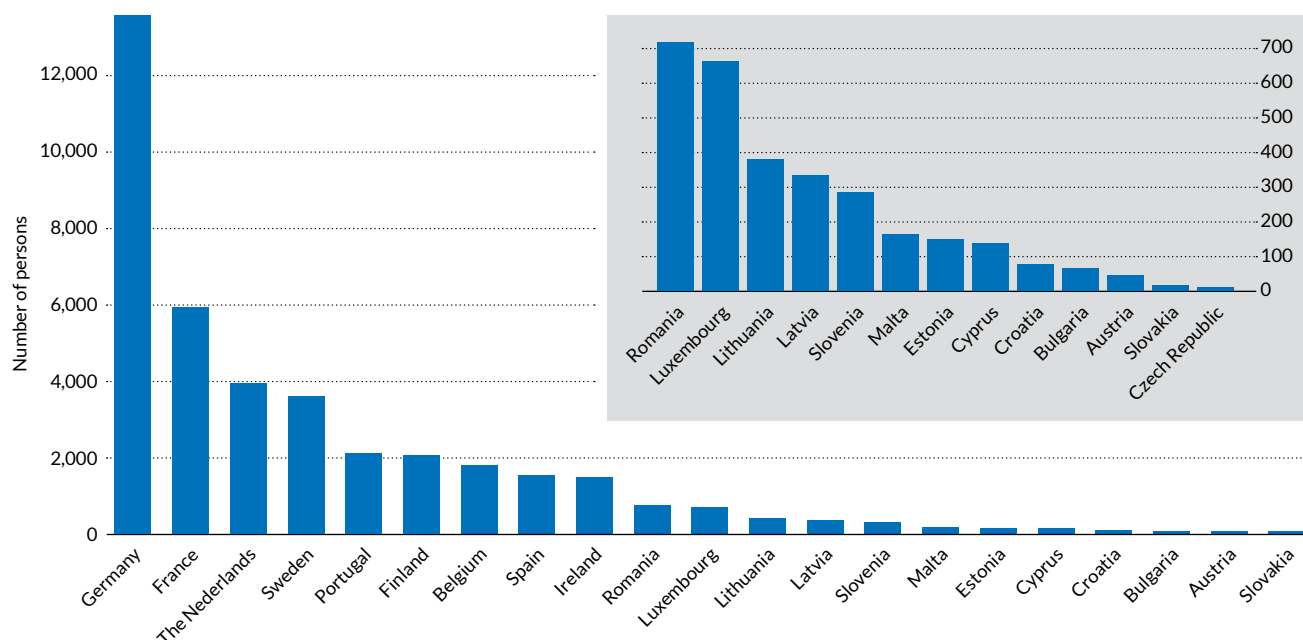
- k. Member States consider AMIF lump sum financing to be an effective mechanism to provide EU funding for resettlement, and AMIF national programmes an effective vehicle for allocating and paying these funds
- l. *Financial incentives* are one of several potential motivations for Member State participation in resettlement, and cannot by themselves address all potential barriers to participation
- m. The reduction or removal of EU *financial incentives* for resettlement would be likely to result in national resettlement programmes that offer less support to resettled persons
- n. The availability of EU funding had no influence on the decision-making of those Member States not participating in resettlement/participating to a limited degree during 2014-18

3. EU FUNDING FOR RELOCATION: IMPACT & EFFECTIVENESS

a. MEMBER STATE RELOCATION ACTIVITIES (2015-18)

The European Commission notes a total of **34,705 persons relocated from Greece and Italy to other Member States by September 2018**,¹⁰⁴ an implementation rate of **21.6% of the originally planned 160,000 persons**. Details of individual Member State contributions to this total number of relocation arrivals have not yet been made available, with the most recent published update covering the period until 7 March 2018 (33,846 relocations).¹⁰⁵

Figure 3.1: Relocations declared by Member States in AMIF financial reporting/payment requests in the period up to 15 October 2018 (source: dataset provided by the European Commission)



As in Figure 3.1, above, **Member States declared 37,595 relocation arrivals in AMIF financial reporting/payment requests for the period until 15 October 2018**. While Member States may report additional relocation arrivals under the two decisions in subsequent AMIF financial reports/payment requests, the close correlation between this Member State accounting total (37,595 relocations) and the ‘political’ reporting of relocation by the European Commission (34,705 relocations), together with the lack of more recent relocation data at Member State level, makes it reasonable to base an assessment of the implementation of relocation under the two decisions during 2015-18 on Member State financial/accounting declarations.¹⁰⁶

¹⁰⁴ Proposal for a Regulation of the European Parliament and of the Council amending Regulation (EU) No 516/2014 of the European Parliament and the Council, as regards the re-commitment of the remaining amounts committed to support the implementation of the Council Decisions (EU) 2015/1523 and (EU) 2015/1601 or the allocation thereof to other actions under the national programmes, preamble p1

¹⁰⁵ Annex IV, Communication from the Commission to the European Parliament, the European Council and the Council ‘Progress report on the Implementation of the European Agenda on Migration’ (14 March 2018)

¹⁰⁶ Member States may report additional relocation arrivals in subsequent AMIF financial reports/payment requests

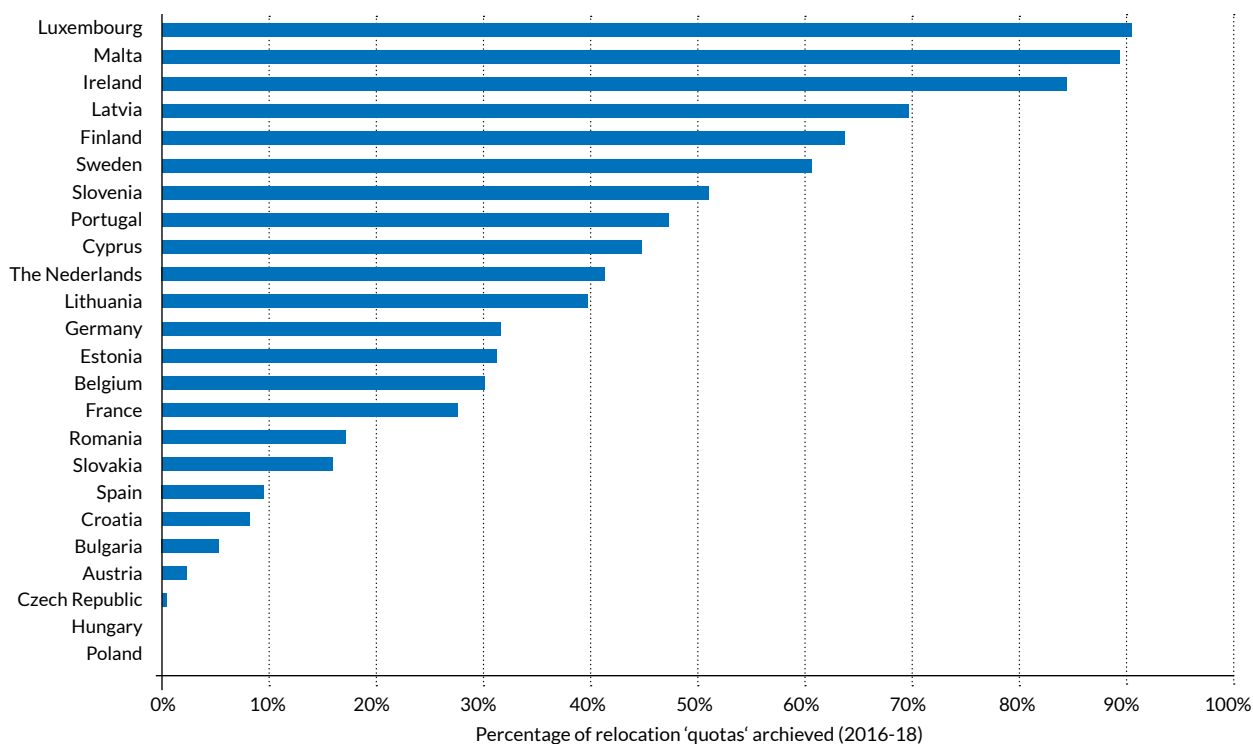
On this basis, **Germany relocated by far the highest number of persons in the period until 15 October 2018**, accounting for just under 34.5% (12,952 persons) of all relocation within the EU and more than double the amount of the next highest performing relocation country (France – 5682 persons, 15.1% of all EU relocation).

15 Member States¹⁰⁷ relocated less than 1000 persons, two of which (Poland and Hungary) did not participate in relocation. It should be noted here that Austria benefited from a suspension of 30% of its relocation quota (1065 persons) for a period of one year (March 2016-March 2017),¹⁰⁸ partly accounting for the relatively low relocation implementation rate in this Member State. Additionally, infringement proceedings are ongoing against the Czech Republic, Hungary and Poland for non-compliance with their obligations under the two relocation decisions.¹⁰⁹

Numbers of relocated persons declared by Member States in AMIF financial reporting/payment requests in the period until 15 October 2018 are included in Annex III to this report.

The success of relocation in individual Member States can also be considered in terms of the extent to which Member States have achieved their relocation commitments under the two relocation decisions:

Figure 3.2: Percentage of relocation commitments achieved per Member State 2016-18 (source: dataset provided by the European Commission)



¹⁰⁷ Romania, Luxembourg, Lithuania, Latvia, Slovenia, Malta, Estonia, Cyprus, Croatia, Bulgaria, Austria, Slovakia, Czech Republic, Poland, Hungary

¹⁰⁸ European Commission (10 March 2016) *Implementing decision 2016/408 - Temporary suspension of the relocation of 30 % of applicants allocated to Austria under Decision (EU) 2015/1601 establishing provisional measures in the area of international protection for the benefit of Italy and Greece*

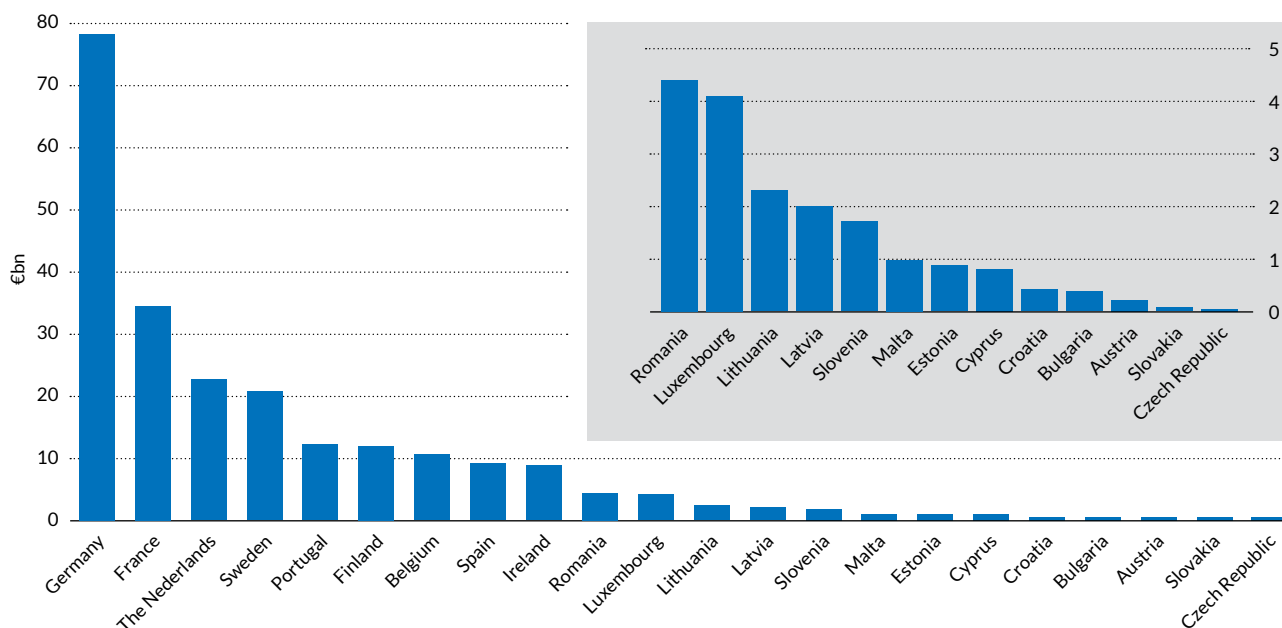
¹⁰⁹ See Court of Justice of the European Union (31 October 2019) *Advocate General's Opinion in Cases C-715/17 Commission v Poland, C-718/17 Commission v Hungary and C-719/17 Commission v Czech Republic*

Here, several smaller Member States with smaller relocation commitments (including Luxembourg, Malta, Ireland, Latvia, Slovenia, Portugal. and Cyprus) were more successful in fulfilling their relocation commitments during the 2015-18 implementation period.

Member State relocation commitments under the two relocation decisions are included in Annex III to this report.

b. DISTRIBUTION OF EU FUNDING FOR RELOCATION

Figure 3.3: AMIF lump sums for relocation paid to Member States in the period until 15 October 2018 (source: dataset provided by the European Commission)

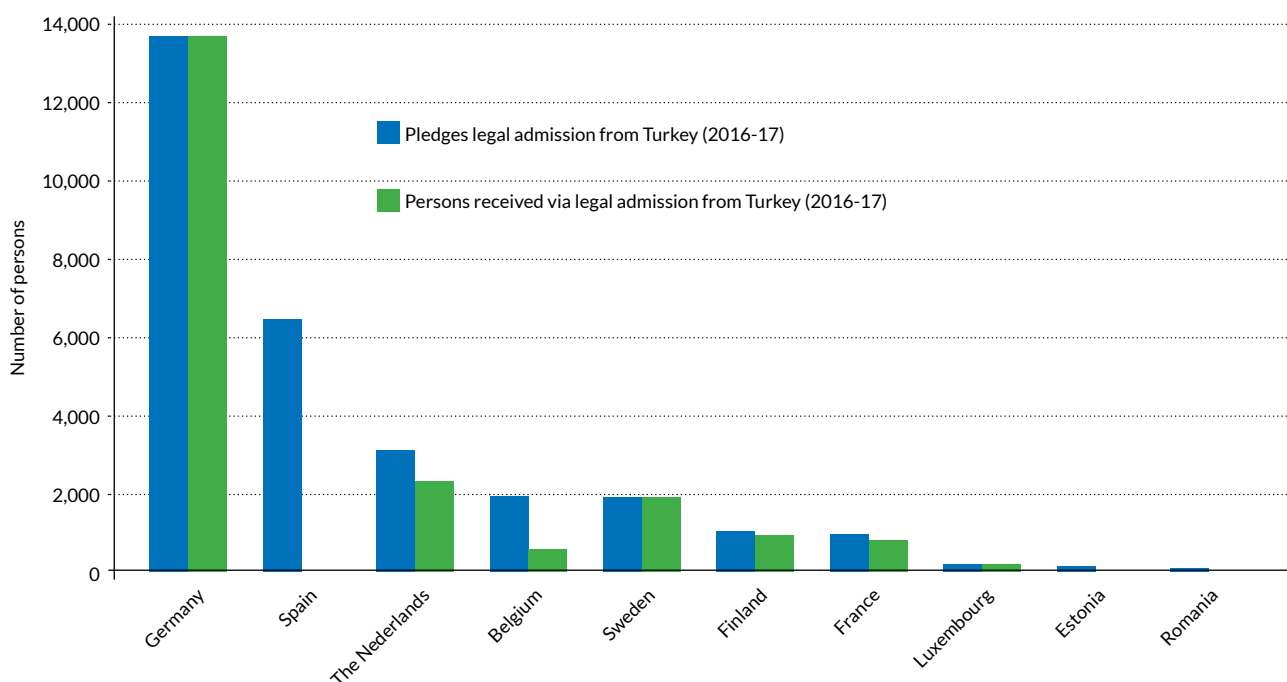


The European Commission notes a total of €225.6bn of AMIF lump sums for relocation paid to Member States during 2015-18. The distribution of funding across Member States mirrors relocation arrivals, with **Germany (€77.7bn/35.4%)** the largest recipient of funds, and four Member States (Germany, France, The Netherlands and Sweden) receiving just under 69% of all AMIF funds distributed in this context during 2015-18.

c. RELOCATION AND LEGAL ADMISSION (RESETTLEMENT) FROM TURKEY (2016-17)

During 2016-17, ten Member States made use of the provision to count legal admission (resettlement) from Turkey under the March 2016 EU-Turkey Statement against their obligations under the second relocation decision. They together pledged a total of **29,666 places**, and finally received **20,574 persons**:

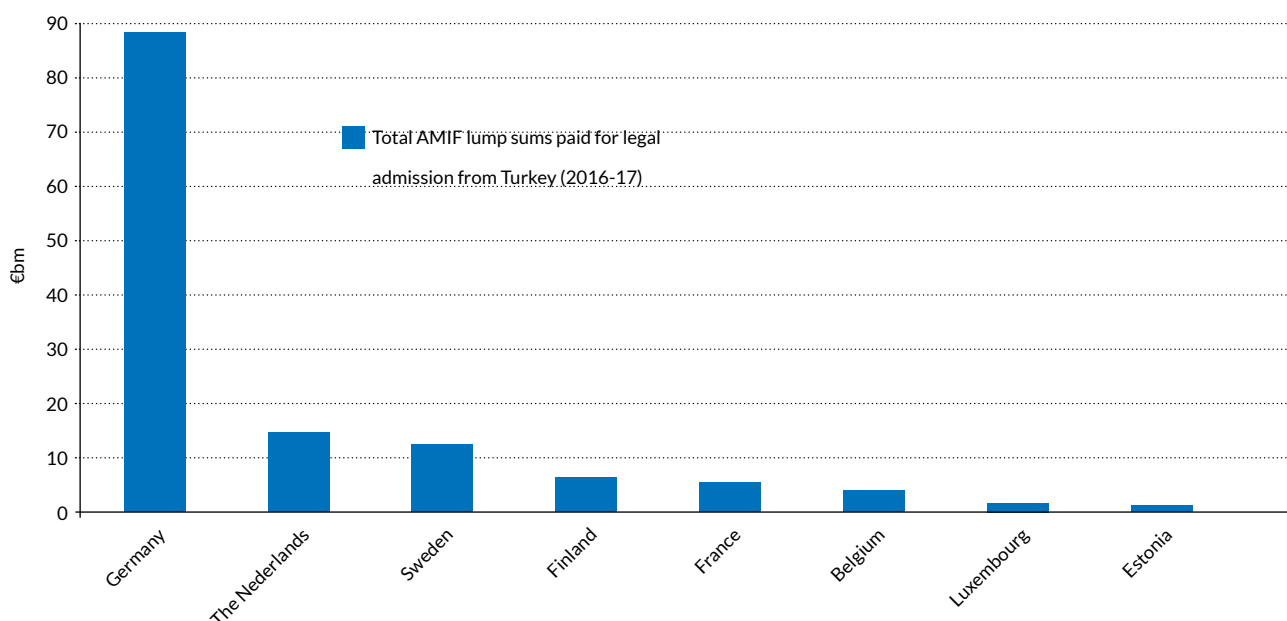
Figure 3.4: Legal admission (resettlement) from Turkey, 2016-17 (source: dataset provided by the European Commission)



Persons recorded as received via legal admission from Turkey are not included in the total number of relocated persons during 2016-18, but were counted as persons resettled by the ten Member States listed above during 2015-18. Other resettlement from Turkey that was not offset against relocation obligations by Member States was recorded under the general resettlement heading.

Member States choosing to offset obligations under the second relocation decision via legal admission/resettlement from Turkey were eligible to receive an AMIF lump sum of €6,000 per person received. **A total of €133.7m of AMIF lump sums for relocation** were paid to the eight Member States choosing to make use of this mechanism:

Figure 3.5: AMIF lump sums for relocation paid to Member States offsetting relocation obligations via legal admission from Turkey (source: dataset provided by the European Commission)



The vast majority (€89.01m/67%) of this amount was paid to Germany, with The Netherlands (€15.06m/11%) and Sweden (€12.53m/9%) also well represented in terms of funds received.

c. INCENTIVISING MEMBER STATE PARTICIPATION IN TRANSFERS AND RELOCATION

i. European Refugee Fund III (2008-13)

A 2012 evaluation of the two EUREMA initiatives for intra-EU relocation from Malta made a number of recommendations to improve the relocation process, including facilitating quicker access to EU funds so as to enable Member States to meet the costs of implementing relocation actions and supporting the integration of relocated persons.¹¹⁰ Indeed, the end date for the EUREMA II project was extended from June to December 2013 in order to deal with delays to relocation caused by a lack of timely access to ERF funding for receiving Member States.¹¹¹

An evaluation of the ERF III concluded that, while *'the ERF focus on transfer was clearly marginal and was not sufficiently developed by Member States'*, the EUREMA initiatives had been *'very useful for relocation efforts'* outside of these specific projects, by encouraging relocation via bilateral agreements between Malta and seven Member/Associated States. It attributed the low numbers relocated in the framework of EUREMA II (14 of a planned 91 persons) not to delays in accessing funding, but to *'contextual factors, such as the dramatic increase of refugees'* and the fact that participating Member States *'were essentially "new"...with small migrant communities and little experience in the field of relocation'*.¹¹²

Aside from the EUREMA initiatives, the evaluation of the ERF II concluded that the fund's *'focus on transfer was clearly marginal and was not sufficiently developed by Member States'*.¹¹³

ii. Asylum, Migration & Integration Fund (AMIF) 2014-19

The interim evaluation of the AMIF (2014-20), covering the period 1 January 2014 to 30 June 2017, stated that it was *'not possible to draw any robust conclusions about the Fund's contribution to transferring asylum applicants through the National Programmes'*, due in large part to just four Member States providing an assessment of their activities in this area.¹¹⁴

As in *'Methodology'*, above, nine Member States¹¹⁵ responded to an online survey on relocation during June-September 2019:

Four Member States (Estonia, Latvia, Lithuania, Slovakia) indicated that **AMIF lump sum amounts were adequate to cover the costs of their participation in relocation.**

Responses from the five Member States (Croatia, Germany, Spain, Luxembourg, Finland) who considered AMIF lump sums to be inadequate for relocation, demonstrate the **diverse ideas across Member States about what constitutes the 'cost of participation' in relocation**, and their resultantly different expectations about the types of costs AMIF funding for relocation should cover:

¹¹⁰ European Asylum Support Office (2012) *Fact Finding Report on Intra-EU Relocation Activities from Malta*, p14-16

¹¹¹ European Migration Network (2012) *Annual Policy Report on Migration and Asylum Policy in Malta*, p22 (footnote 3)

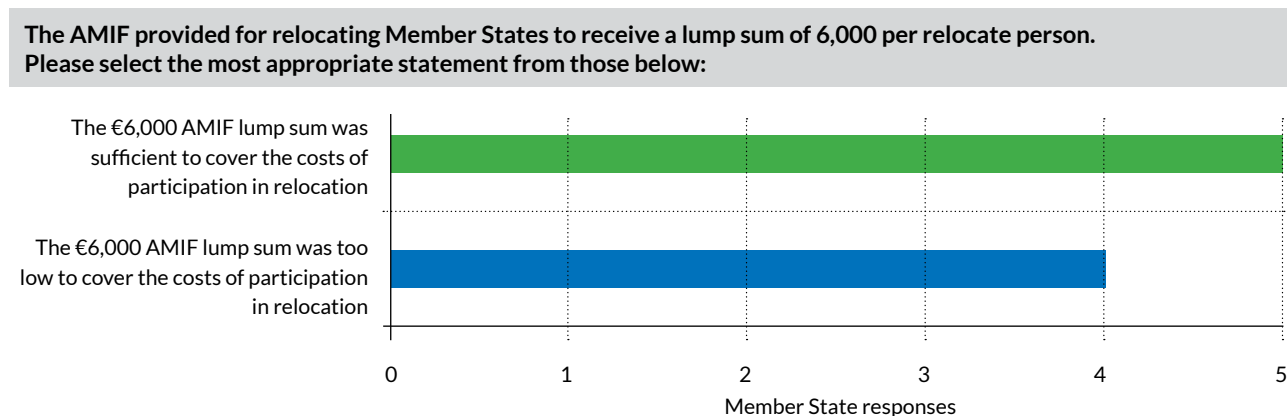
¹¹² European Commission (2018) *Ex-post Evaluation of the European Refugee Fund 2011-2013 and Ex-post Evaluation of the European Refugee Fund Community Actions 2008-2010*, p106

¹¹³ European Commission (ibid), p106

¹¹⁴ Ramboll Consulting, published by the European Commission (March 2018) *Interim evaluation of the Asylum, Migration and Integration Fund: Final report for acceptance*, p86

¹¹⁵ Croatia, Estonia, Finland, Germany, Latvia, Lithuania, Luxembourg, Slovakia, Spain

Figure 3.6: Member State responses to online relocation survey question 6 (June-September 2019)



- **Two Member States recommended an increase in the lump sum amount (to €17-25,000 per person) if the lump sum were to cover the costs of integration.**
- **One Member State recommended an increase in the AMIF lump sum for relocation to €10,000, in order to provide parity in conditions for resettled and relocated persons for whom integration needs are broadly similar.**
- One Member State indicated that while the existing AMIF lump sum amount was adequate to cover the costs of relocation selection, transfer and reception, and staff costs for this process, it **did not cover living costs for relocated persons during the asylum procedure or their subsequent integration/return.**
- One Member State noted that the AMIF lump sum was adequate to cover the **costs of transfer and of hosting relocated persons for three months after arrival.**

This divergence in ideas about the costs associated with relocation can be explained by the different post-arrival approaches taken by receiving Member States in which some treated relocated persons as any other category of asylum seeker arriving on their territories, while others adopted expedited asylum procedures and/or implemented specific standalone reception and integration arrangements.¹¹⁶

iii. The potential of AMIF funding to incentivise Member State participation in relocation

As above, 37,595 persons were relocated from Greece and Italy to other Member States during 2016-18, an implementation rate of just 23.5% of the originally planned 160,000 persons.

To assess the extent to which EU funding influenced both Member State participation in relocation and the number of persons finally ultimately relocated, it is necessary to consider the relocation scheme in its broader operational and European policy context.

¹¹⁶ European Council on Refugees & Exiles (2017) *Relocation of asylum seekers: A view from receiving countries*, p5-6

→ Challenges for relocation implementation

Analyses of the implementation of relocation identified several factors contributing to slow implementation of relocation:

- **Delays in agreeing operational competences and procedures for relocation**, caused by the quick adoption of the relocation decisions without a preceding operational planning exercise. Key stakeholders agreed operating protocols only in summer 2016 (Greece) and the end of 2016 (Italy).¹¹⁷
- **Political opposition to relocation by receiving Member States**, most notably in the case of those Member States against which infringement proceedings have been brought by the European Commission, but also on the part of participating Member States exhibiting a general '*lack of cooperation*'¹¹⁸ and '*delayed or incomplete*' operational responses¹¹⁹ during implementation.
- **Refusals to relocate eligible persons by receiving Member States**. Although no data is available for Italy, at end-March 2018 510 persons eligible for relocation from Greece were refused by receiving Member States. Refusals were ostensibly on security grounds, although it is unclear if these were related to refugee status exclusion clauses and/or public security concerns.¹²⁰ Some Member States also applied arbitrary relocation criteria with no basis in the two relocation decisions, such as Bulgaria (no Eritreans) and the Czech Republic (only persons with travel and identity documents).¹²¹
- **Insufficient human resource capacity**, particularly in relation to identification, registration and processing capacities in Greece and Italy.¹²² The low number of registrations of persons potentially eligible for relocation was a key contributor to the underperformance of the scheme: in fact, of those persons who were registered, relatively high proportions were finally relocated (80% and 89% from Greece and Italy, respectively).¹²³
- **Insufficient capacity to relocate unaccompanied minors (UAMs)**, an intended beneficiary group for relocation. Capacity was lacking both in relation to complex and lengthy legal processes to assign guardians to UAMs in Greece and Italy, without which UAMs could not be processed for relocation, and to a lack of available and adequate reception places for UAMs in receiving Member States.¹²⁴
- **Challenges in informing eligible persons about relocation**. Whilst information was provided, insufficient time was included at the outset of relocation to introduce the scheme to potential eligible persons in an effective manner, in particular to '*build the confidence*' of those persons proposed to be relocated to '*less familiar Member States*'.¹²⁵ The information that was provided was '*not effective enough to gain their trust and convince them that the schemes were attractive*'.¹²⁶

¹¹⁷ European Court of Auditors (2019) *Asylum, relocation and return of migrants: time to step up action to address disparities between objectives and results*, p25

¹¹⁸ European Council on Refugees & Exiles (2017) *Relocation not procrastination: ECRE's assessment of the obstacles to relocation of asylum seekers from Greece and Italy and its proposals for a continuation of relocation after September 2017*, p1

¹¹⁹ UNHCR (January 2016) *Building on the Lessons Learned to Make the Relocation Schemes Work More Effectively: UNHCR's Recommendations*, p4

¹²⁰ European Council on Refugees & Exiles (2017) *Relocation of asylum seekers: A view from receiving countries*, p2

¹²¹ European Court of Auditors (2019) *Asylum, relocation and return of migrants: time to step up action to address disparities between objectives and results*, p25

¹²² UNHCR (January 2016) *Building on the Lessons Learned to Make the Relocation Schemes Work More Effectively: UNHCR's Recommendations*, p4-5

¹²³ European Court of Auditors (2019) *Asylum, relocation and return of migrants: time to step up action to address disparities between objectives and results*, p24

¹²⁴ UNHCR (January 2016) *Building on the Lessons Learned to Make the Relocation Schemes Work More Effectively: UNHCR's Recommendations*, p6

¹²⁵ UNHCR (January 2016) *Building on the Lessons Learned to Make the Relocation Schemes Work More Effectively: UNHCR's Recommendations*, p7-8

¹²⁶ European Court of Auditors (2019) *Asylum, relocation and return of migrants: time to step up action to address disparities between objectives and results*, p24

As for resettlement, it is clear that **AMIF lump sums are not able to address all operational and political barriers to the effective implementation of relocation** listed above.

Outside of the implementation of relocation, **several aspects of the wider EU policy environment in which relocation was implemented worked to limit the effectiveness of the scheme** and of the EU funding provided to Member States for its implementation:

→ **EU-Turkey Statement (March 2016)**

The provision for Member States to offset obligations under the second relocation decision via legal admission (resettlement) from Turkey, introduced in September 2016 in support of the implementation of the EU-Turkey Statement, introduced the possibility to reduce the total number of persons targeted for relocation by 54,000.

The 29,666 places eventually pledged by the ten Member States making use of this provision effectively blocked 18.5% of the planned total 160,000 relocation places for resettlement from Turkey, representing a significant shift of resources away from the implementation of an internal solidarity mechanism and toward the implementation of one aspect of an external policy initiative of unclear legal status.¹²⁷

Additionally, the pool of eligible relocation applicants was *de facto* further reduced by the decision to use the 20 March 2016 start date of the EU-Turkey Statement as a cut-off point for relocation from Greece. **13,713 eligible Syrian and Iraqi nationals arriving in Greece after this date were thus 'unduly deprived of the benefit of relocation' with 'no legal basis whatsoever'**.¹²⁸ The European Commission maintained that the EU-Turkey Statement had no '*amending effect*' on the relocation decisions, and that responsibility for '*deciding the relocation*' of any applicant for international protection in Greece was the competence of Greek authorities.¹²⁹ It is, however, clear that the introduction of the EU-Turkey Statement caused a redirection of available resources away from relocation and toward the 'one-for-one' resettlement scheme: the scope of relocation (and the impact of EU funds allocated to support it) was therefore limited to '*a small fragment of asylum seekers that had nothing to do with the initial number of predictions of 2015*'.¹³⁰

→ **The Dublin system**

The 2013 Dublin III Regulation sets out '*the criteria and mechanisms for determining the Member State responsible for examining an application for international protection lodged in one of the Member States*'¹³¹ and the procedure for transferring applicants for international protection to the Member State responsible for examining their claim.

Dublin transfers to Greece were suspended in 2011 due to '*systemic deficiencies in the Greek asylum system*'.¹³² **In 2016-17, Italy received 91,471 requests from other EU Member States to take back applicants for international protection** whose asylum claims those Member States believed Italy to be responsible for

¹²⁷ See, for example, General Court of the European Union Press Release No 19/17 (February 2017) *The General Court declares that it lacks jurisdiction to hear and determine the actions brought by three asylum seekers against the EU-Turkey statement which seeks to resolve the migration crisis* and De Vrieze, J (2018) *The legal nature of the EU-Turkey Statement*

¹²⁸ European Council on Refugees & Exiles (2017) *Relocation not procrastination: ECRE's assessment of the obstacles to relocation of asylum seekers from Greece and Italy and its proposals for a continuation of relocation after September 2017*, p2

¹²⁹ European Commission (15 February 2018) response to parliamentary question E-006164/2017

¹³⁰ The Greek Ombudsman Independent Authority (2019) *Relocation revisited: the Greek case*, p49

¹³¹ Article 1, Regulation (EU) No 604/2013 of the European Parliament and of the Council of 26 June 2013 establishing the criteria and mechanisms for determining the Member State responsible for examining an application for international protection lodged in one of the Member States by a third-country national or a stateless person (recast)

¹³² European Commission factsheet (December 2016) *Questions & Answers: Recommendation on the conditions for resuming Dublin transfers of asylum seekers to Greece*

examining under the Dublin rules. During the same period, **9,739 applicants for international protection were transferred to Italy from other Member States under the Dublin rules.**¹³³

At November 2017, the European Commission noted **10,625 persons relocated from Italy** to other Member States under the two relocation decisions,¹³⁴ carrying a total AMIF lump sum financing contribution for receiving Member States of **€63.75m**. In effect, and although the costs of Dublin transfers are borne by Member States, **€58.4m (91.6%) of AMIF funding provided to Member States receiving relocated persons from Italy was negated by Dublin transfers to Italy from other Member States during the same period.**

For future EU relocation activities, civil society actors have accordingly recommended that Dublin transfers to Member States benefiting from relocation be suspended, as enforcing both simultaneously is *'counter-productive and defeats the purpose of relocation'*.¹³⁵

→ The 'EU asylum lottery'

The 'EU asylum lottery' refers to the wide disparity in protection granted to applicants for international protection from the same national backgrounds in different EU Member States. In 2018, for example, recognition rates for Iraqi asylum seekers ranged from 94.2% in Italy to 12% in Bulgaria, and for Afghan asylum seekers from 98.4% in Italy to 6% in Bulgaria.¹³⁶

- **The 'EU asylum lottery' persisted in relocation.** While the majority of relocated persons were granted asylum by receiving countries, in Belgium, The Netherlands, Malta and Slovenia some claims for international protection made by relocated persons were rejected. Additionally, receiving Member States granted different forms of protection to relocated persons:
- **France, Romania, Slovenia, and Bulgaria granted refugee status** to the majority of relocated persons they received.
- **Spain granted subsidiary protection** to all relocated persons *'as a rule'*.
- **Portugal granted different forms of protection** to relocated persons based on nationality (subsidiary protection to Syrians and refugee status to Eritreans).¹³⁷

If the effectiveness of relocation (and of the EU funding provided to facilitate its implementation) is to be assessed in relation to its original aims, then **the denial of international protection to some relocated persons in receiving Member States means the fulfilment of the key objective to relocate persons 'in clear need of international protection'**¹³⁸ is questionable.

¹³³ Eurostat Dublin statistics, last accessed 30 October 2019

¹³⁴ European Commission factsheet (November 2017) *Relocation: sharing responsibility within the EU*

¹³⁵ European Council on Refugees & Exiles (2017) *Relocation not procrastination: ECRE's assessment of the obstacles to relocation of asylum seekers from Greece and Italy and its proposals for a continuation of relocation after September 2017*, p3

¹³⁶ European Council on Refugees & Exiles news article (25 January 2019) *Asylum Statistics 2018: Changing Arrivals, Same Concerns* at <https://www.ecre.org/asylum-statistics-2018-changing-arrivals-same-concerns/> (last accessed October 30 2019) and European Council on Refugees & Exiles *Statistics: Bulgaria* at <http://www.asylumineurope.org/reports/country/bulgaria/statistics> (last accessed October 30 2019)

¹³⁷ European Council on Refugees & Exiles (2017) *Relocation of asylum seekers: A view from receiving countries*, p8

¹³⁸ Article 4, *Decision 2015/1523*

iv. Operationalising solidarity: a major achievement with positive future impacts

Although relocation during 2016-18 fell far short of its initial target of 160,000 persons, the scheme was ‘the first solidarity initiative in the history of European migration policy aimed at the large-scale redistribution of asylum applicants among Member States’.¹³⁹ Relocation ensured ‘access to protection for a significant number of applicants who would otherwise have been confined in Italy and Greece’.

Where receiving countries were ‘genuinely engaged’ with the process, they managed to ‘avoid excessive bureaucracy and duplication of efforts’ and to complete the relocation procedure within the time limits set out in the two decisions. **Relocation has thus ‘demonstrated its potential as an instrument of genuine responsibility-sharing within the Common European Asylum System’.**¹⁴⁰ That said, the number of persons finally relocated was ‘not sufficient to alleviate effectively the pressure on the asylum systems in Greece and Italy’, with final relocations representing approximately 4% and 22% of asylum seekers in Italy and Greece, respectively.¹⁴¹

While fully acknowledging the operational and policy challenges affecting the overall effectiveness of relocation, EU stakeholders interviewed during the course of this research agreed that operationalising solidarity through relocation during a period of entrenched disagreement between Member States on the reform of the Common European Asylum System represented a significant achievement. It is clear, therefore, that **EU funding has played a significant role both in providing access to some form of protection for a large cohort of applicants, and in mobilising engagement from a significant number of Member States.**

The implementation of relocation has also positively impacted policy discussions at the European level, evidenced both by a French-German proposal in response to the 2018-19 ‘disembarkation crisis’ in the Central Mediterranean for ‘a solidarity mechanism based on “relocation as a rule”’,¹⁴² and a European Commission call for a ‘structured, predictable mechanism for solidarity to ensure that no Member State bears a disproportionate burden’ in terms of the number of claims for international protection they must examine.¹⁴³

¹³⁹ European Court of Auditors (2019) *Asylum, relocation and return of migrants: time to step up action to address disparities between objectives and results*, p23

¹⁴⁰ European Council on Refugees & Exiles (2017) *Relocation of asylum seekers: A view from receiving countries*, p10

¹⁴¹ European Court of Auditors (2019) *Asylum, relocation and return of migrants: time to step up action to address disparities between objectives and results*, p23

¹⁴² *Permanent Representations of France and Germany to the EU, Proposal to the Justice and Home Affairs Council, 6 December 2018*, quoted in European Council on Refugees & Exiles (2019) *Relying on relocation: ECRE’s proposal for a predictable and fair relocation arrangement following disembarkation*, p3

¹⁴³ European Commission (4 December 2018) *Managing migration in all its aspects: Progress under the European Agenda on Migration*, p16

KEY FINDINGS, CHAPTER 3

- a. The European Commission notes a total of €225.6bn of AMIF lump sums for relocation paid to Member States during 2015-18**
Germany (€77.7bn/35.4%) was the largest recipient of funds, and four Member States (Germany, France, The Netherlands and Sweden) received just under 69% of all AMIF lump sums for relocation distributed in this context during 2015-18.
- b. Germany relocated by far the highest number of persons under the two relocation decisions during 2016-18**
Relocation to Germany accounted for just under 34.5% (12,952 persons) of all relocation within the EU, more than double the amount of the next highest performing relocation country (France, 5682 persons)
- c. Smaller Member States were more successful in fulfilling national relocation commitments under the two relocation decisions**
Including Luxembourg, Malta, Ireland, Latvia, Slovenia, Portugal, and Cyprus.
- d. 10 Member States made use of the provision to offset obligations under the second relocation decision via legal admission (resettlement) from Turkey**
Germany, Spain, The Netherlands, Belgium, Sweden, Finland, France, Luxembourg, Estonia, and Romania together pledged a total of 29,666 places for legal admission (resettlement) from Turkey under this provision, and finally received 20,574 persons.
- e. There is no common agreement amongst Member States regarding the actual costs of relocation, and their views on the adequacy of AMIF funding for relocation therefore differ**
The different post-arrival approaches to relocation taken by receiving Member States may explain differing views as to the costs that EU funding for relocation should reasonably be expected to support, for example in terms of reception accommodation, integration and/or return.
- f. EU funding for relocation was not able to address all operational and political barriers to effective implementation of relocation**
- g. The wider EU policy context in which relocation was implemented worked against the effectiveness of both relocation and the EU funding provided for its implementation**
- h. Nonetheless, the operationalisation of solidarity through relocation was a significant achievement, with positive impacts both for access to protection for the majority of relocated persons and future EU policy initiatives in the area of solidarity and responsibility-sharing**

4. FUNDING FOR RESETTLEMENT & RELOCATION: AMIF (2020) AND THE MULTIANNUAL FINANCIAL FRAMEWORK (2021-27)

a. RESETTLEMENT & THE AMIF (2020)

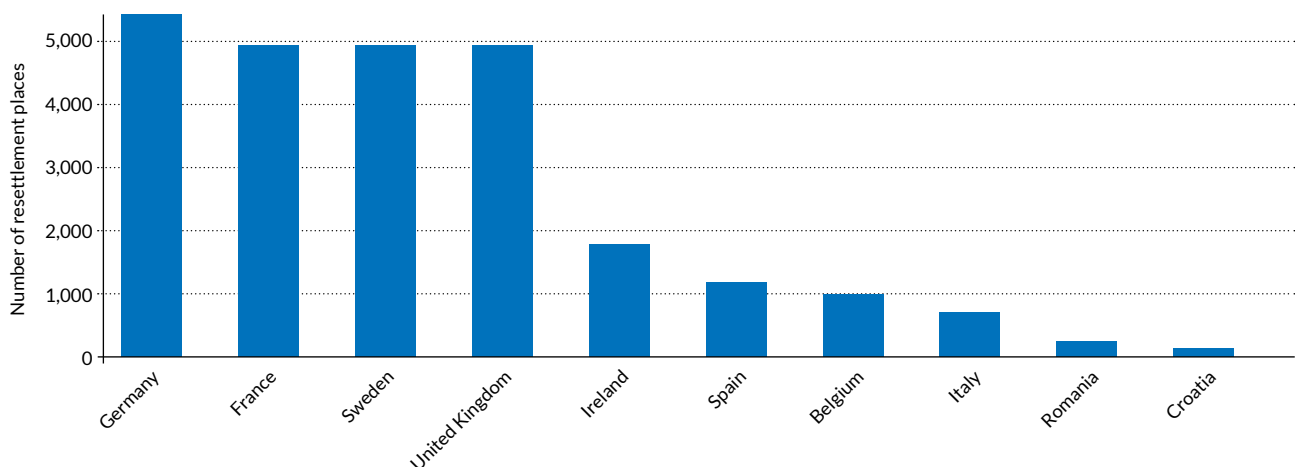
i. EU funding

The EU scheme to receive 50,000 resettled refugees closed at end December 2019. An October 2019 European Commission factsheet on resettlement indicates a total of **39,000 persons (78% of the intended 50,000) received by Member States**,¹⁴⁴ although does not make clear which date was used as a cut-off point for counting arrivals.

In mid-2019, the European Commission communicated to Member States that **sufficient AMIF funding is in place to provide financial incentive lump sum payments for up to 20,000 persons to be resettled in 2020**, and invited Member States to pledge resettlement places for 2020 by September 2019.

The European Commission has since communicated that Member States have collectively pledged 30,000 places for 2020,¹⁴⁵ although as yet has not published details of the individual national pledges that make up this global total. At the December 2019 Global Refugee Forum, however, nine Member States declared their intention to resettle a total of 24,300 persons in 2020. Spain has also announced plans to resettle 1200 person during the same period, meaning formally announced resettlement pledges by EU Member States for 2020 total 25,500 persons:¹⁴⁶

Figure 4.1: Resettlement pledges for 2020 declared by EU Member States (source: statements at the Global Refugee Forum published at www.unhcr.org/global-refugee-forum.html and announcement of the Spanish Ministry of the Interior at <https://bit.ly/3c8Jicf>)



¹⁴⁴ European Commission factsheet (October 2019) *Delivering on Resettlement*

¹⁴⁵ European Commission factsheet (October 2019) *Delivering on Resettlement*

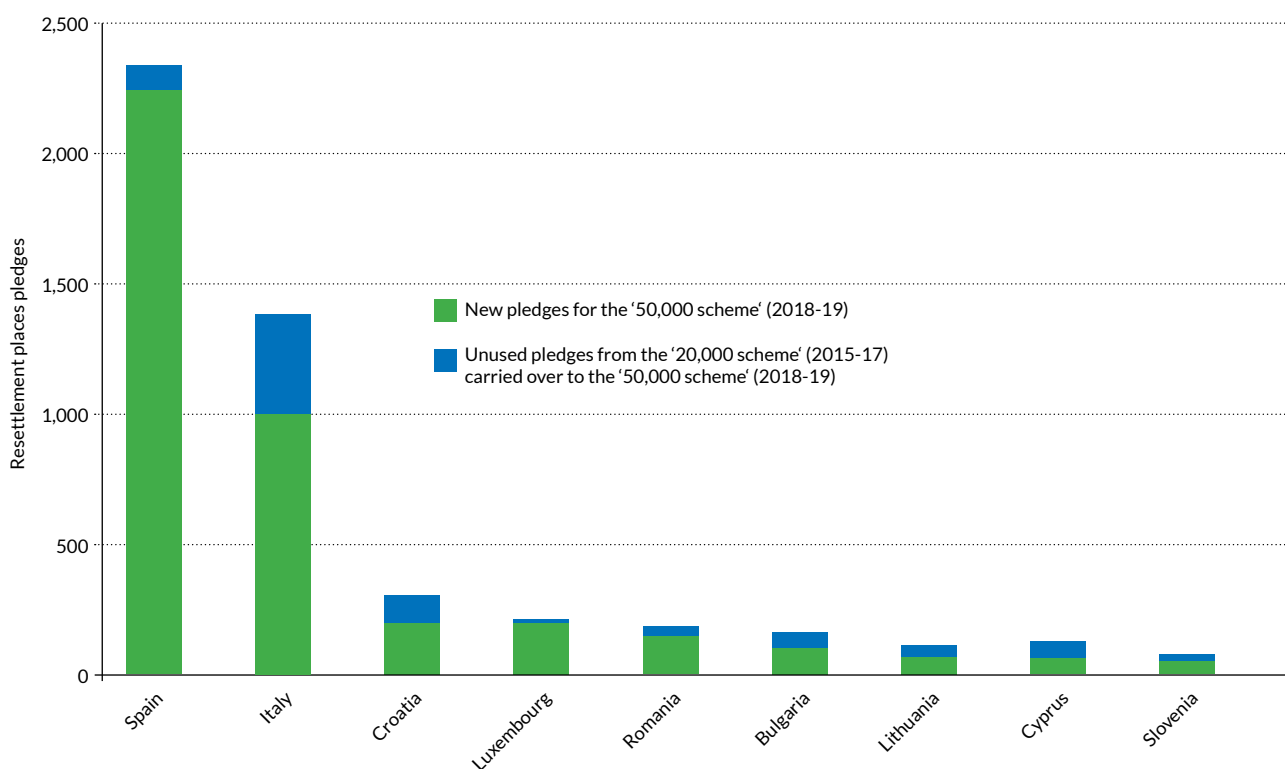
¹⁴⁶ Although the UK formally withdrew from the European Union on January 31 2020, a transition period is in place until 31 December 2020 during which the UK will continue to be subject to EU legislation, and participate in EU funding instruments and activities. UK resettlement pledges for 2020 will therefore be implemented as part of wider EU resettlement efforts during this period, with the support of the AMIF. Given the extent of the UK contribution to overall EU resettlement (19.61% of all formal Member State resettlement pledges for 2020), the withdrawal of the UK from the EU is likely to have a significant negative impact on EU resettlement post-2020.

While pledges of 30,000 resettlement places match demands voiced by civil society actors for EU resettlement in 2020,¹⁴⁷ the European Commission has yet to confirm that sufficient funding will be made available to facilitate AMIF *financial incentive* payments for the additional 10,000 places pledged by Member States for this period.¹⁴⁸ The European Commission has indicated that internal discussions regarding additional budget allocations are ongoing, with funding arrangements expected to be confirmed in two stages: at the outset of 2020 (50% of all new pledges) and later in 2020 (remaining pledges for which funding is available). Pending forthcoming confirmation of financial support for all 30,000 pledges, it can be said that **an eventual funding shortfall would risk limiting Member State resettlement activities to levels below their stated aspirations and capacities for 2020**. Potential impacts include national programmes offering less resettlement places and/or reduced pre-departure and post-arrival support for resettled persons.

ii. 'Recycling' of resettlement pledges

When pledging for the EU scheme to resettle 50,000 persons during 2018-19, Member States were able to carry over unused national pledges for the '20,000 scheme' implemented in 2015-17.

Figure 4.2: Pledges under the EU scheme to resettle 50,000 persons in 2018-19 by Member States carrying over unused pledges from 2015-17 (source: *Communication from the Commission to the European Parliament and the Council: Progress report on the Implementation of the European Agenda on Migration, Annex 4: Resettlement, State of Play as of May 2018*)



As in figure 4.2, above, nine Member States made use of this provision to carry over a total of 792 places, representing 26% of the 3072 places pledged by 15 Member States¹⁴⁹ for 2015-17 but unused during that

¹⁴⁷ Joint NGO statement (31 October 2019) *NGOs call on the EU and its member states to demonstrate leadership on resettlement at the Global Refugee Forum 2019*, available at <https://bit.ly/38Q1h4Z> (last accessed 30 October 2019)

¹⁴⁸ As communicated by European Commission representatives at the ECRE Annual General Conference and the SHARE Network Conference (both held in Brussels, October 2019)

¹⁴⁹ The 15 Member States that did not implement all resettlement places they pledged for 2015-17 were Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Greece, Italy, Latvia, Lithuania, Luxembourg, Poland, Romania, Slovenia, Slovakia and Spain.

period.¹⁵⁰ New Member State pledges under the 50,000 programme therefore totalled **49,247 places**, slightly less than the envisaged target for the programme.

Numbers of new and carried over pledges for the nine Member States concerned are included as Annex IV to this report.

AMIF funding rules mean funds allocated to AMIF national programmes that are unused by December 31 of the second year following that for which they were allocated for implementation, will be decommitted (or removed) from that programme and returned to the general EU budget.¹⁵¹ This rule also applies to AMIF *financial incentives* for resettlement allocated to national programmes on the basis of Member State pledging.¹⁵² As communicated to Member States by the European Commission in mid-2019, **it is therefore not possible to 'carry over' AMIF financial incentives allocated to national programmes in 2018 for resettlement under the '50,000 scheme' to support the implementation of resettlement pledges in 2020.**

In addition to creating a **lack of clarity over the actual number of Member State pledges under different EU resettlement schemes**, the provision to carry over pledges from one scheme to another **reduces the impact of EU funding by creating a risk that funds allocated for resettlement will be decommitted from AMIF national programmes (and the general AMIF budget) and thus become unavailable for resettlement.** For 2020, the decommitment of funds has contributed to a situation where **the AMIF potentially cannot fully support Member State resettlement pledges.**

Responding to the call by civil society actors to ensure that Member State resettlement places pledged for 2020 *are implemented within the calendar year and are not used to recycle pledges from previous commitments*¹⁵³ would not only ensure **swifter access to protection for those resettled**, but also avoid any future decommitment of funds allocated to resettlement and, in doing so, **maximise the impact of EU funding made available for this purpose.**

b. RELOCATION & THE AMIF (2020)

i. Reallocation of unspent AMIF funds allocated for relocation and resettlement from Turkey

The European Commission reports that **€843m was allocated to AMIF national programmes to implement the two relocation decisions and legal admission (resettlement) from Turkey under the EU-Turkey Statement.** Both relocation decisions expired in September 2017 (although residual relocation arrivals continued into early 2018), and **at October 2018 €567m of these funds remained unspent.**¹⁵⁴

¹⁵⁰ European Commission (May 2018) *Communication from the Commission to the European Parliament and the Council: Progress report on the Implementation of the European Agenda on Migration, Annex 4: Resettlement, State of Play as of May 2018*

¹⁵¹ In practice, the European Commission informs Member States of a risk of decommitment as soon as possible, and communicates the amount to be decommitted as of 31 January of the relevant year. Member States have two months to either agree to the decommitment amount or submit their observations, and the European Commission must carry out decommitments within nine months of their first communication with Member States. If Member States do not produce a revised financing plan for their AMIF national programme, the decommitment amount will be automatically deducted from allocations to the AMIF national programme for the relevant year (see European Commission (2017) *The basic acts and other regulations of the 2014-20 Home Affairs Funds: AMIF & ISF*, Article 52)

¹⁵² Article 50, *Regulation 514/2014*

¹⁵³ Joint NGO statement (31 October 2019) *NGOs call on the EU and its member states to demonstrate leadership on resettlement at the Global Refugee Forum 2019*, available at <https://bit.ly/2v2Kb5r> (last accessed 30 October 2019)

¹⁵⁴ European Commission (22 October 2018) *Proposal for a Regulation of the European Parliament and of the Council amending Regulation (EU) No 516/2014 of the European Parliament and the Council, as regards the re-commitment of the remaining amounts committed to support the implementation of the Council Decisions (EU) 2015/1523 and (EU) 2015/1601 or the allocation thereof to other actions under the national programmes (hereafter the Regulation for an amended Article 18)*, p1

AMIF decommitment rules mean that these allocated but unused amounts would not have been available for use in Member State AMIF national programmes beyond the end of 2018. In order to 'ensure that the amounts committed in 2016 to support the implementation of the (relocation decisions) remain available to the Member States in their national programmes', a **December 2018 Regulation amended Article 18 of the AMIF** to make these funds available for:

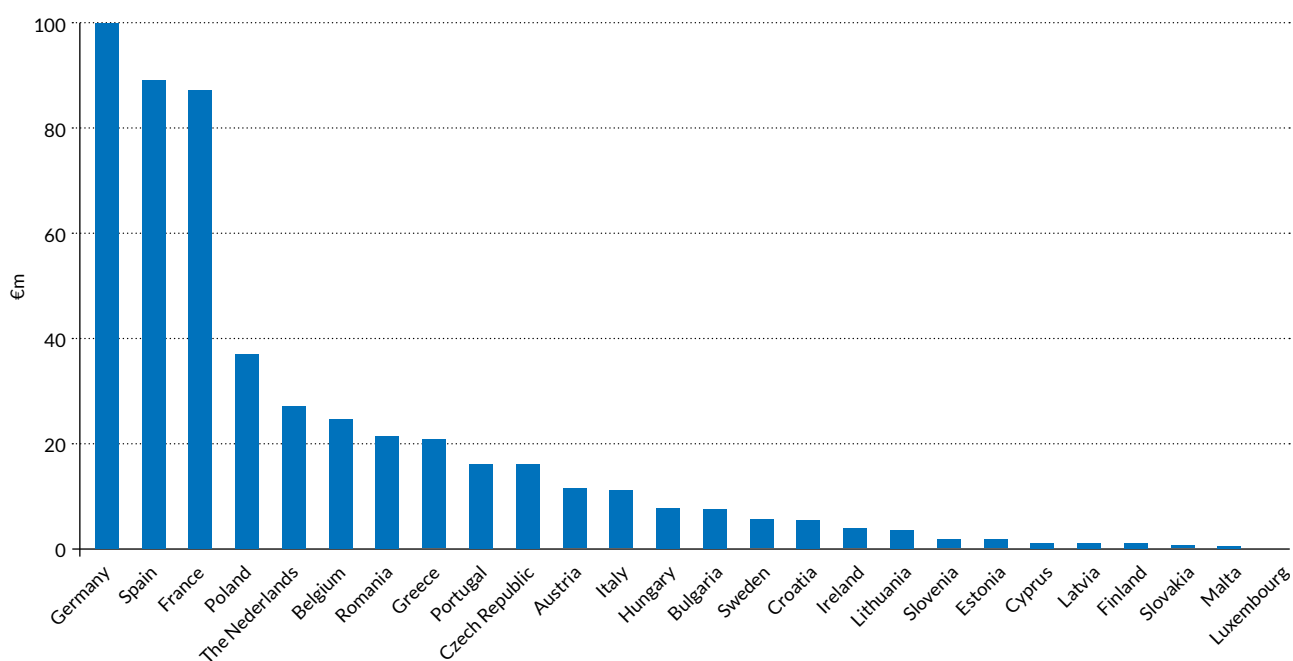
- The '**financing of relocation**' activities undertaken by Member States beyond the period of the two relocation decisions (also including the transfer or resettlement of beneficiaries of international protection).
- **Other migration and asylum actions eligible for AMIF support** 'if duly justified in the framework of a revision of the national programme' and not including 'measures related to detention'.¹⁵⁵

When revising national programmes, Member States were required to split unspent AMIF funds between these two aims: a minimum of **20% for solidarity measures**, and a maximum of **80% for other AMIF actions**. Member States not wishing to allocate national programme resources to solidarity actions were not obliged to do so, but could not make use of the 20% funding ringfenced for this purpose for any other actions.¹⁵⁶

The deadline for Member States to submit AMIF national programmes revised on the basis of this so-called 'AMIF split' was June 2019.

ii. Funding available for reallocation in AMIF national programmes (2020)

Figure 4.3: Unspent AMIF resources available for reallocation in Member State AMIF national programmes following the Article 18 (source: dataset provided by the European Commission)



¹⁵⁵ P1 and Article 1(c), Regulation for an amended Article 18

¹⁵⁶ Recitals 4-5 & Article 1(c), Regulation (EU) 2018/2000 of the European Parliament and of the Council of 12 December 2018 amending Regulation (EU) No 516/2014 of the European Parliament and of the Council, as regards the recommitment of the remaining amounts committed to support the implementation of Council Decisions (EU) 2015/1523 and (EU) 2015/1601 or the allocation of those amounts to other actions under the national programmes (hereafter the 'AMIF split Regulation')

Germany, Spain and France, all Member States with larger commitments under the two relocation decisions, together accounted for 59% (€276.8m) of all unspent AMIF funds available for reallocation in AMIF national programmes.

In general, **the more successful Member States were in fulfilling their commitments under the two relocation decisions, the less resources they had available for reallocation within their national programmes following the Article 18 revision.** As noted above, smaller Member States with smaller relocation commitments (Luxembourg, Malta, Slovakia, and Cyprus) were more successful in fulfilling them, and hence had far less resources available for reallocation within their national programmes following the Article 18 revision.

Somewhat perversely, **Member States against whom infringement proceedings for non-compliance with relocation are ongoing (Poland, the Czech Republic and Hungary) retained the possibility to reallocate nearly all of the EU funding originally allocated to support their activities for relocation and resettlement from Turkey (€60.9m) within their AMIF national programmes, 80% (€48.7m) of which they were free to reallocate to non-solidarity related measures under other priorities of their AMIF national programmes.**

iii. Member State relocation commitments (2018-20)

Civil society actors maintain that the obligation for Member States to meet commitments made under the relocation decisions continues beyond their formal expiry dates for eligible persons arriving in Greece or Italy during the periods specified in each decision.¹⁵⁷ By contrast, the European Commission considers relocation arrivals reported by Member States to date to represent 'over 95% of all eligible applicants registered for relocation in Greece and Italy', and has called on Member States to continue relocation from Greece and Italy on a voluntary basis, with funding provided by the AMIF.¹⁵⁸

Since the summer of 2018, other relocation has been taking place from Greece and Malta following disembarkation of rescue boats,¹⁵⁹ arrangements that were initially ad-hoc but are now becoming more formalised. Additionally, Cyprus has requested 5000 applicants for international protection be relocated from its territory following increased arrivals.¹⁶⁰ Civil society actors have argued for a 'predictable and fair' relocation mechanism to be established, given the ongoing absence of resolution to the reform of the Dublin system, to be supported by the AMIF.¹⁶¹

The European Commission has indicated that **18,045 relocation places related to the two relocation decisions remain in AMIF national programmes revised on the basis of the Article 18 amendment**¹⁶² (details of places remaining per Member State have not yet been made available). These places can be included in Member State financial reporting until 2023, and are presumably intended to be implemented on a voluntary basis per the European Commission statement referenced above.

¹⁵⁷ European Council on Refugees & Exiles (2017) *Relocation not procrastination: ECRE's assessment of the obstacles to relocation of asylum seekers from Greece and Italy and its proposals for a continuation of relocation after September 2017*, p3

¹⁵⁸ Answer to Parliamentary question E-000635/2019 by Commissioner Avramopoulos, 11 April 2019

¹⁵⁹ Centre for European Policy Studies (June 2019) *Search and rescue, disembarkation and relocation arrangements in the Mediterranean: Sailing Away from Responsibility*, p23

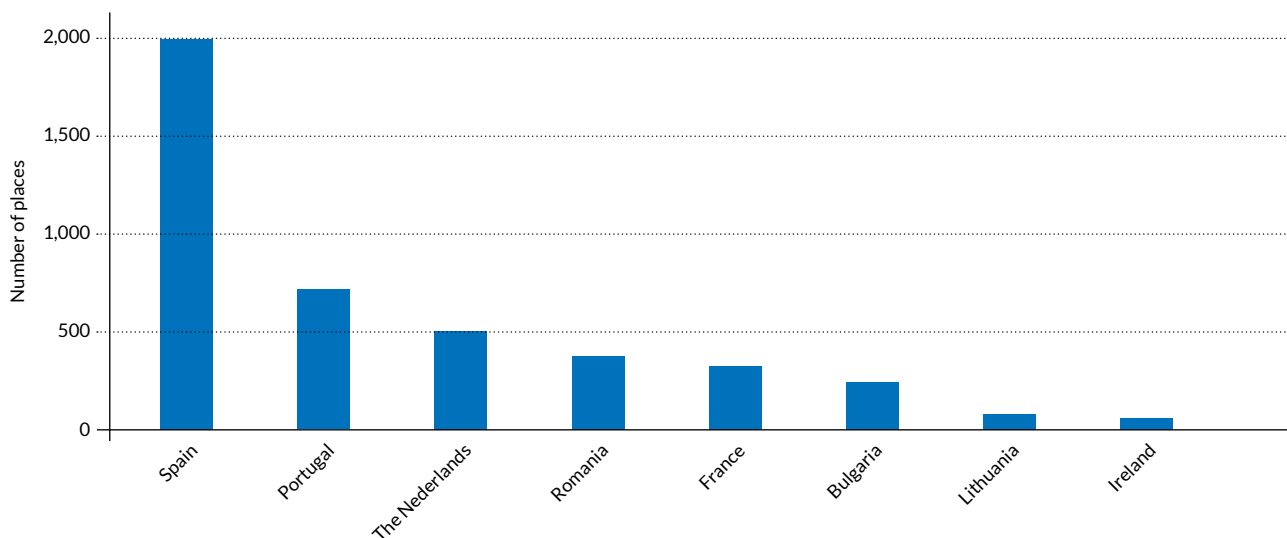
¹⁶⁰ See Barigazzi, J. *Cyprus asks Brussels to relocate 5,000 asylum seekers*, Politico Europe (8 June 2019) <https://politi.co/2vWRImm>

¹⁶¹ European Council on Refugees & Exiles (January 2019) *Relying on relocation: ECRE's proposals for a predictable and fair relocation arrangement following disembarkation*, p6-7, 9

¹⁶² Dataset provided by the European Commission

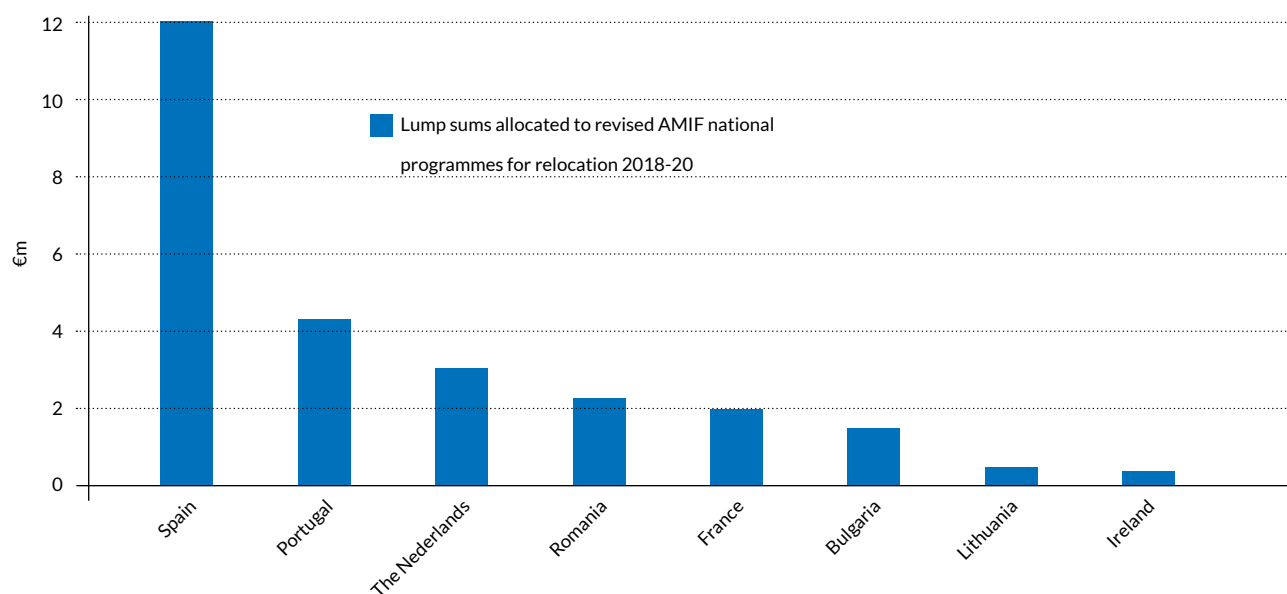
Taking into account the 37,595 relocations reported by Member States in AMIF financial reports/payment requests to date, **104,360 (65.2%) of the 160,000 places originally envisaged under the two relocation decisions were finally unused.**¹⁶³

Figure 4.4: New voluntary relocation pledges by Member States for 2018-20 (source: dataset provided by the European Commission)



As in figure 4.4, above, **eight Member States have made new, voluntary relocation commitments** in their AMIF national programmes revised on the basis of the amended Article 18, together including **4345 relocation places for implementation during the remainder of the AMIF period**. Spain has pledged the highest number of places (2000), while Portugal (717 places) and The Netherlands (510 places) have also made significant contributions in this context:

Figure 4.5: Unused AMIF funding for relocation and resettlement from Turkey allocated to relocation in Member State AMIF national programmes, revised on the basis of the Article 18 amendment (source: dataset provided by the European Commission)



¹⁶³ Dataset provided by the European Commission

As in figure 4.5, above, **€26.1m** in AMIF lump sum funding (€6,000 per person relocated) has been allocated to the revised AMIF national programmes for the eight Member States choosing to make new, voluntary relocation commitments within revised AMIF national programmes. This means **just 4.6% of the €567m of unused AMIF funding is being dedicated to new intra-EU relocation measures**. This represents a **significant shift of EU financial resources away from their originally intended purpose** of supporting EU solidarity and responsibility-sharing, and a **substantial reduction in the potential of EU funding** to address the needs and situations of Member States under significant migratory pressure.

c. Resettlement and relocation in the Multiannual Financial Framework for 2021-27

The proposed Asylum & Migration Fund (AMF) for 2021-27 has a global financial envelope of **€10.42bn**, of which **60% (€6.25bn)** is proposed to be allocated to Member States' AMF national programmes during 2021-27.¹⁶⁴ The remaining **40% (€4.17bn)** is proposed to be allocated to a new **Thematic Facility**, the proposed components of which are:

- Specific actions.
- Union actions.
- Emergency assistance.
- Resettlement.
- Support to Member States contributing to solidarity and responsibility efforts.
- The European Migration Network.¹⁶⁵

The Thematic Facility will be implemented via shared, direct and/or indirect management, and programmed via biannual work programmes issued by the European Commission.¹⁶⁶

For resettlement, the proposed AMF maintains the system for providing a fixed sum per person resettled to receiving Member States, as a 'contribution' taking the form of 'financing not linked to costs'.¹⁶⁷ In line with the provisions of the proposed Union Resettlement Framework, under discussion since 2016 as part of the wider reform of the Common European Asylum System, *financial incentives* for resettlement under the proposed AMF are set at **€10,000 per person**¹⁶⁸ resettled via 'targeted Union resettlement schemes' adopted by the European Commission (one or more schemes per year).¹⁶⁹ The maximum number of persons to be resettled to the EU each year would be 'determined through Council implementing acts establishing annual Union resettlement plans'.¹⁷⁰

¹⁶⁴ Article 8 (1-2) *Proposal for a Regulation of the European Parliament and of the Council establishing the Asylum and Migration Fund* (hereafter the *AMF Regulation*)

¹⁶⁵ Article 9(1), *AMF Regulation*

¹⁶⁶ Article 9(1) *AMF Regulation*. Although the Regulation does not specify the frequency of European Commission work programmes, a European Commission presentation at 'Refugee protection and forced displacement in the EU post-2020 Multiannual Financial Framework (MFF)' (event held on June 18 2018 in Brussels) referred to 'biannual work programmes' for the Thematic Facility

¹⁶⁷ Article 16(1), *AMF Regulation*

¹⁶⁸ Recital 11 & Article 16, *AMF Regulation* and Article 17(3)1 *Proposal for a Regulation of the European Parliament and of the Council establishing a Union Resettlement Framework and amending Regulation (EU) No 516/2014 of the European Parliament and the Council* (hereafter the *Union Resettlement Framework*)

¹⁶⁹ Recital 23 & Article 8, *Union Resettlement Framework*

¹⁷⁰ Preamble to the *Union Resettlement Framework*, p9

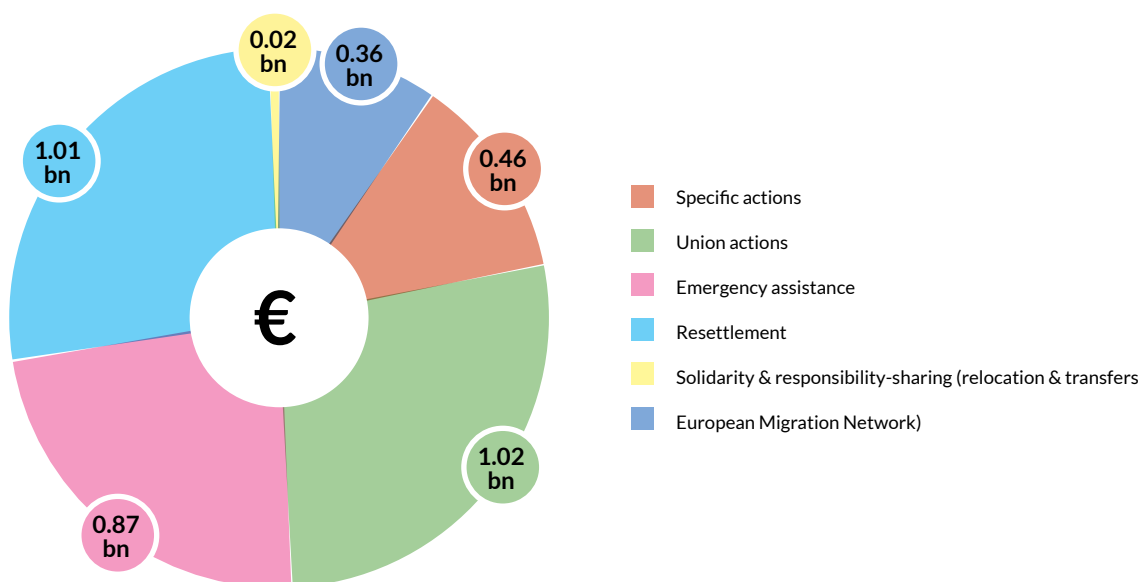
The proposed AMF also maintains the previous AMIF’s support for general actions to support resettlement within Member State national programmes, replacing the list of potential actions under the AMIF in this context with a more general provision to support ‘actions related to the conducting of procedures for the implementation of the Union Resettlement [and Humanitarian Admission] Framework or national resettlement schemes that are compatible with the Union Resettlement Framework’.¹⁷¹

The AMF proposes to support the ‘transfer of applicants for or beneficiaries of international protection between Member States’. Its provisions are in line with the proposed reform of the Dublin Regulation, also under discussion since 2016. It sets out the specific circumstances under which Member States may receive a contribution amount of €10,000 per person transferred under the proposed reformed Dublin rules, and includes a provision for an additional lump sum of €10,000 for transferred persons granted international protection in order to support ‘the implementation of integration measures’.¹⁷²

These provisions do not preclude the establishment of a further time-limited intra-EU relocation scheme, such as that established for 2015-17 via Council decisions, which would however (as in 2015-17) require a formal amendment to the AMF should lump sum payments form a part of such a programme.

The interim evaluation of the AMIF (2014-20) indicated a total expenditure of **€3.74bn on the activities proposed for inclusion in the AMF’s Thematic Facility during 2014-17**, as below:

Figure 4.6: Total AMIF expenditure (2014-17) on specific actions, Union actions, emergency assistance, resettlement, relocation, intra-EU transfers & European Migration Network. (Source: European Commission (June 2018) *Commission Staff Working Document: Interim Evaluation of the Asylum, Migration and Integration Fund 2014-2017*, p19 & 23)



¹⁷¹ Annex III 2(f), AMF Regulation

¹⁷² Article 17, AMF Regulation

The allocation to the activities proposed to be supported by the AMF's Thematic Facility is thus just **€0.43bn (10.3%)** more than AMIF expenditure on the same activities solely during the 2014-17 period. Although the specific migration circumstances in Europe from 2015 onwards have led to a more than 100% increase in the overall AMIF financial envelope for 2014-20 (from an initial €3.1bn to just under €6.9bn),¹⁷³ a similar set of circumstances in Europe during the 2021-27 period would risk **an overall budgetary shortfall for Thematic Facility activities.**

Further, **the continued lack of dedicated budget lines for resettlement and intra-EU relocation** (of either beneficiaries of or applicants for international protection), from the current AMIF to the proposed AMF, means **resettlement and relocation would in effect be competing for budgetary allocations with the other activities proposed to be implemented under the Thematic Facility.** The majority of these activities, in particular emergency assistance, would be prominent aspects of a European response to any future critical migration situation.

In this context, **a repeat of the current scenario with respect to resettlement for 2020, in which Member State resettlement pledges cannot (at least at this time) be fully supported by EU funding, is possible.** The explicit reframing of resettlement as *'a measure for enhancing cooperation and solidarity with third countries in the context of asylum'*¹⁷⁴ in the proposed AMF is of concern.¹⁷⁵ It makes it likely that the **internal solidarity and responsibility-sharing objectives of intra-EU relocation would be secondary concerns to those of external migration policy achievable through resettlement.** The preference shown for resettlement from Turkey over relocation from Greece following the 2016 introduction of the EU-Turkey Statement could be repeated.

¹⁷³ European Commission (June 2018) *Report from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of The Regions on interim evaluation of the Asylum, Migration and Integration Fund and the Internal Security Fund* (hereafter the *AMIF Interim Evaluation*), p3

¹⁷⁴ European Council on Refugees & Exiles and UNHCR (2018) *The Way Forward: a comprehensive study of the new proposals for EU funds on asylum, migration and integration.*

¹⁷⁵ European Council on Refugees & Exiles (2016) *Untying the Resettlement Framework: ECRE's Recommendations on Breaking the Link with Migration Control and Preserving the Humanitarian Focus of Resettlement*, p1

KEY FINDINGS, CHAPTER 4

a. Limited EU funding for resettlement in 2020 may potentially restrict Member State resettlement activities to below their stated aspirations and capacities for this period

Member States have collectively pledged 30,000 resettlement places for 2020, while the European Commission has to date confirmed the availability of AMIF funding (*financial incentives*) for 20,000 persons only.

b. The provision for Member States to 'carry over' unused resettlement places as pledges for subsequent EU schemes has the potential to reduce the impact of EU funding for resettlement

As funds allocated to AMIF national programmes (including *financial incentives* for resettlement) that are unused within a specified period are decommitted and returned to the general EU budget, the provision to carry over pledges creates a risk that EU funding allocated to resettlement will become unavailable for that purpose.

c. Member States that were more successful in fulfilling their relocation commitments during 2016-18 had less resources available for reallocation within their national programmes (following the 2018 amendment of Article 18 of the AMIF)

d. Member States against whom infringement proceedings for non-compliance with relocation are ongoing had the possibility to reallocate nearly all EU funding originally allocated to support their relocation activities within their AMIF national programmes

Poland, the Czech Republic, and Hungary were together permitted to reallocate €60.9m of unspent EU funding for relocation within their national programmes, 80% (€48.7m) of which was available for allocation to non-solidarity related AMIF actions.

e. Just eight Member States made new, voluntary relocation commitments for 2019-20 within their revised AMIF national programmes, pledging a total of 4345 relocation places

f. The wide range of priorities to be addressed by the Thematic Facility of the proposed Asylum & Migration Fund for 2021-27 creates a risk of budgetary shortfalls for resettlement and relocation during this period

g. The lack of dedicated budget lines for resettlement and intra-EU relocation in the proposed Asylum & Migration Fund for 2021-27 creates a risk of budgetary shortfalls for both activities during this period

CASE STUDIES:

NATIONAL IMPLEMENTATION OF AMIF FUNDING FOR RESETTLEMENT & RELOCATION IN FOUR EU MEMBER STATES

All data on the numbers of persons resettled during 2014-18 in the following case studies refers to resettlement arrivals declared by Member States in AMIF financial reporting/payment requests for this period, and not to the actual numbers of resettlement arrivals for 2014-18.

France

Italy

Portugal

Slovenia



CASE STUDY: FRANCE

1. FINANCING APPROACHES

a. Resettlement

France has two distinct resettlement programmes: a permanent programme established by agreement with UNHCR in 2008 (approximately 150 persons per year), and the 'EU resettlement programmes' established in response to the 20,000 and 50,000 EU resettlement schemes. The EU resettlement programmes consist of two initiatives: a programme to resettle 10,000 Syrians during 2016-19, and a programme to resettle 3,000 sub-Saharan Africans during 2018-19.

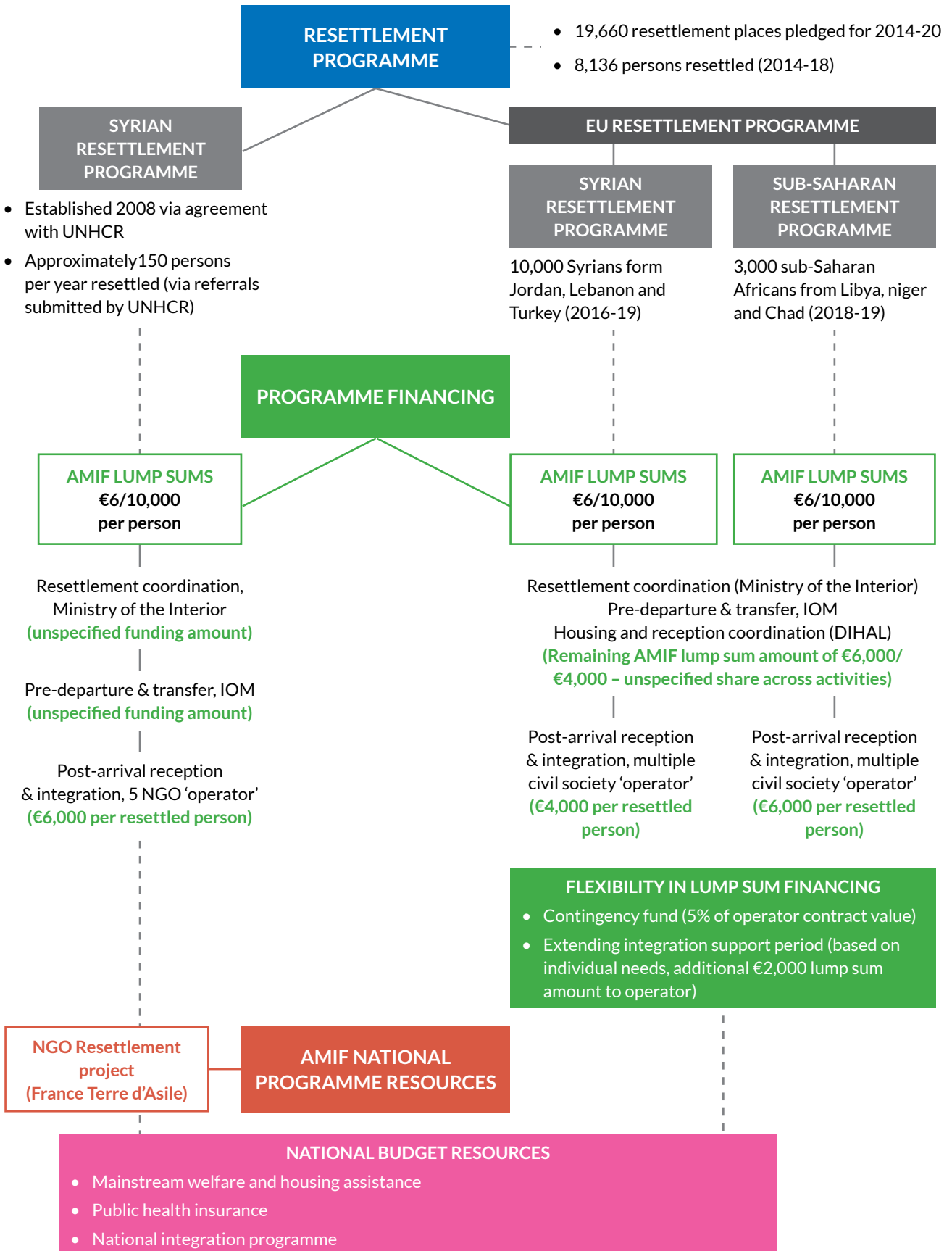
The two EU resettlement programmes have vastly increased numbers being resettled to France, from 300 persons per year in 2015 to 8136 persons during 2016-18 alone. To ensure these commitments are fulfilled, the French Ministry of the Interior has expanded the number and type of organisations (referred to in the French context as 'operators') providing reception and integration support.

Both EU resettlement programmes are financed entirely by the AMIF *financial incentives* (in the main the higher €10,000 lump sum per person, with the lower €6000 amount for those resettled from Turkey). Post-arrival operators receive different lump sum amounts for the two EU programmes: €4,000 per person for the Syrian programme, and €6,000 per person for the sub-Saharan programme

The lump sums reflect the different reception and integration approaches of the two programmes, which are based on the respective needs of the two groups:

- Syrian resettled refugees are received directly into independent housing, and provided with a 12-month integration support programme.
- Sub-Saharan resettled refugees spend 4 months in a temporary transitional accommodation (collective accommodation or individual housing located in the same area), and are provided with an 8-month integration support programme when they move to longer term independent housing.

FINANCING RELOCATION & RESETTLEMENT IN FRANCE



The remaining lump sum amounts are retained by national authorities to implement pre-departure and transfer (IOM), national coordination of resettlement (Ministry of the Interior) and the coordination of reception and housing of resettled refugees by a national interministerial delegation for housing (DIHAL¹⁷⁶). Civil society respondents highlighted a lack of transparency regarding the specific activities supported by the remaining lump sum amounts, and noted that many new providers are unaware of the AMIF lump sum amounts.

Within the lump sum financing system, operators can make use of two flexibility provisions to respond to the individual needs of those arriving via EU programmes:

- **Contingency funding** of up to 5% of the operator's contract value, to be used for exceptional expenses such as transport costs for those with disabilities or medical needs.
- **Extension of the 12-month support period to 18 months** for resettled persons in need of additional support. Operators can extend support for up to 20% of the resettled persons they receive, and are paid an additional €2,000 to implement the additional six months.

The permanent programme is currently funded via AMIF lump sums and national budget contributions. Five NGO operators receive €6,000 per resettled person, with an unspecified funding amount for national coordination (Ministry of the Interior) and pre-departure activities and transfer (IOM). In early 2019, national authorities announced this programme would also be funded entirely by AMIF lump sums.

b. Relocation

No specific post-arrival measures were put in place for relocated persons arriving into France. The AMIF lump sum amount supported pre-departure activities by the French authorities, including selection missions to both Greece and Italy.

2. IMPACT OF LUMP SUM FINANCING

a. Resettlement

Respondents identified a number of positive impacts of AMIF lump sum financing:

i. Reduced administrative burden:

Under the AMIF national programme, civil society organisations access funding by submitting applications in response to Calls for Proposals, and all project expenditure must be fully justified and evidenced. For lump sum financing, operators present general projects and agree overall contracts. For national authorities, heavy financial reporting and monitoring under the AMIF national programme is replaced by simple evidencing of resettlement arrivals.

ii. Improved capacity to establish new resettlement programmes:

Lump sum financing enables new resettlement programmes to be established in response to EU calls. Operator contracts can also be adapted to create more capacity while programmes are ongoing, as needed.

¹⁷⁶ Délégation interministérielle à l'hébergement et à l'accès au logement, established in 2010 to create, design and implement public policies for the homeless and insecurely housed, including refugees. For resettlement, DIHAL works with operators in order to find housing; sends monthly lists of refugees to be received to operators; maintains a register of all addresses; monitors the use of temporary accommodation, and coordinates travel with IOM.

iii. Reduced delays in payments to operators:

Under the AMIF national programme, civil society beneficiaries often experienced long delays in receiving grant payments. The structure of contracts under AMIF lump sum financing for resettlement has significantly reduced waiting times.

iv. Increased focus on integration in programme monitoring:

More relaxed financial controls for AMIF lump sum financing have created capacity within national authorities to assess the quality of operators' work and monitor the integration progress of individual refugees.

Respondents identified a number of challenges caused by AMIF lump sum financing:

i. Lack of guidance for Member States on implementing AMIF lump sums:

A lack of guidance on how to implement AMIF lump sums led the French AMIF Responsible Authority to initially implement this funding stream with the same financial controls and monitoring as the AMIF national programme.

ii. Lump sum amounts are inadequate to cover all programme costs:

Lump sums do not cover all costs incurred by operators, for example setting up new teams in a specific region/locality in which refugees will be newly received and, in some instances, the cost of housing. Children born post-arrival to resettled persons do not qualify for lump sum payments, and in some cases, operators have changed refugees' housing to accommodate additional children with no extra budget support.

The French programmes were designed for families, but resettlement from Niger (after following evacuation from Libya) means more of those resettled to France are young single men. Persons under 25 cannot access mainstream welfare in France, and lump sums do not enable operators to find affordable housing. No access to mainstream welfare after integration support ends also means that resettled young people must be able to financially sustain themselves within 12-18 months after arrival.

Civil society operators state that a lump sum of €6-8,000 per person would be necessary to cover the actual costs of implementing better quality reception and integration. Operators stressed, however, that this should be realised through an increase in the lump sum for resettlement at the EU level, rather than by allocating a larger share of existing amounts to operators, as national authorities made good use of the portion of lump sum funding dedicated to national coordination.

iii. Risks for operators:

There is no contingency funding for major incidents and emergencies, such as a November 2018 evacuation of unstable social housing in Marseilles that required operators to rehouse a large number of people. Some resettled refugees subsequently spent periods of up to six months in hotels, the cost of which exceeded lump sums payable to operators for their support.

If a refugee individual or household selected for resettlement to France does not finally depart, lump sum(s) connected to them are not paid, and as such the costs incurred by the operator in securing and preparing housing are also not reimbursed. Costs may vary depending on where in France resettled persons are placed. For example, operators provide 'pocket money' to resettled persons during the period they are waiting for mainstream welfare benefits, generally budgeted for a three-month period. If refugees wait for longer, operators incur additional costs.

iv. Impact on longer term integration

To fulfil increased national resettlement commitments, operators must keep welcoming people in order to secure the funding they have budgeted for, with a limited amount of time to evaluate the quality of what they are doing. Pressure to find housing and secure arrivals can detract from quality in other areas, particularly integration.

To maintain public support for resettlement, programmes must demonstrate successful integration outcomes. While civil society operators welcome the considerable French commitment to increasing resettlement numbers, they would like to see it matched by adequate national budget investment in integration.

3. DOES AMIF FUNDING INCENTIVISE PARTICIPATION IN RESETTLEMENT AND RELOCATION?

The French resettlement programme is entirely reliant on AMIF lump sums. All respondents indicated that a reduction in or removal of EU funding for resettlement would cause France to either to revert to implementing only the permanent resettlement programme, thereby receiving a maximum of 150 persons per year, or cease resettlement altogether. A continued permanent French resettlement programme would likely focus only on basic reception, with little or no dedicated long-term integration support and a vastly reduced range of operators working with resettled refugees.



CASE STUDY: ITALY

1. FINANCING APPROACHES

a. Resettlement

All 2022 persons resettled to Italy during 2014-18 satisfied one or more of the AMIF vulnerability criteria, making Italian authorities eligible to receive the €10,000 lump sum per person. The Italian national budget matched this EU funding, providing an additional €10,000 per person resettled, resulting in a total €20,000 per person with which to finance Italian resettlement activities.

The vast majority of this amount (79%/€15,800) is dedicated to financing housing and integration support for resettled persons within the national SIPROIMI reception network.¹⁷⁷ The SIPROIMI network generally receives 'new' refugees exiting the national asylum system, unaccompanied minors and holders of residence permits falling into specific vulnerability categories, in a number of 'SIPROIMI projects' (largely implemented by NGOs on behalf of local authorities) dispersed across the national territory. SIPROIMI projects were selected to receive persons resettled to Italy due to their integration expertise, and receive €35 per person/per day for each resettled person they receive. SIPROIMI housing and integration support is available to resettled refugees for a period of 12 months after arrival.

Far smaller proportions of the €20,000 amount are dedicated to pre-departure activities implemented by IOM (10%/€2,000), technical equipment for pre-departure work by embassies (1%/€200) and post-arrival activities to reinforce integration support for resettled refugees provided by SIPROIMI projects (10%/€2,000). The latter part of the lump sum was implemented via a national Call for Proposals, and implemented by NGOs.

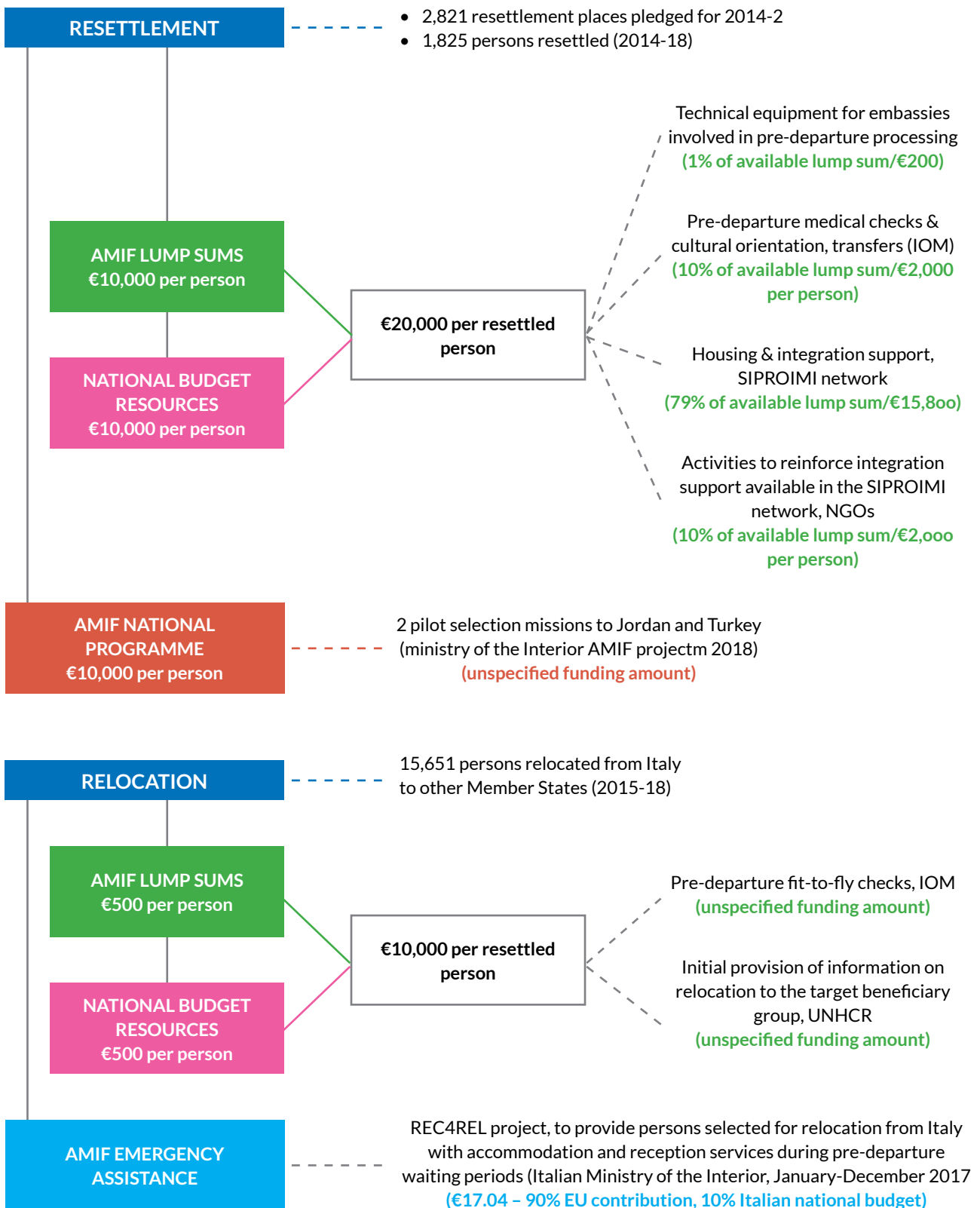
Some degree of needs-based flexibility is built into the financing of housing and integration support provided to resettled persons by SIPROIMI projects:

- A slightly higher per person daily rate is payable to SIPROIMI projects receiving particularly vulnerable resettled persons.
- For persons judged as in need of additional support, SIPROIMI projects can request an extension of the initial support period from 12 to 18 months. The majority of such requests are approved, and additional financing provisions are managed by Italian authorities at programme level to ensure the €20,000 financing amount per person is not exceeded.

AMIF national programme resources supported two pilot selection missions in 2018, implemented in response to inadequate/incomplete information included in dossiers on refugees due to be resettled. The pilot concluded that selection missions were too complex and expensive for the Italian resettlement programme, and the Ministry of the Interior now conducts pre-departure interviews via Skype/videoconferencing in order to gather relevant data.

¹⁷⁷ *Sistema di protezione per titolari di protezione internazionale e per minori stranieri non accompagnati* (Protection System for Beneficiaries of International Protection and for Unaccompanied Foreign Minors)

FINANCING RELOCATION & RESETTLEMENT IN ITALY



b. Relocation

Alongside Greece, Italy was a 'sending country' for relocation, and was eligible to receive AMIF funding of €500 per person relocated from its territory to another Member State. As in resettlement, this EU funding contribution was matched via the provision of an additional €500 per relocated person from the Italian national budget, resulting in a total of €1,000 per person with which to finance Italian relocation activities.

This amount financed contractual agreements between the Italian authorities and:

- IOM, to conduct pre-departure fit-to-fly examinations
- UNHCR, to provide information about relocation to those in the target beneficiary group.

During 2017, the Italian Ministry of the Interior received an additional AMIF emergency assistance grant of €17.04m to implement REC4REL. This action provided persons selected for relocation from Italy with accommodation and reception services during pre-departure waiting periods, which by 2017 had significantly exceeded the planned maximum of two months.¹⁷⁸ An earlier AMIF emergency assistance grant of €0.75m (January 2016) had also been awarded to IOM to broaden pre-departure medical checks for relocation.¹⁷⁹

2. IMPACT OF LUMP SUM FINANCING

a. Resettlement

Interview respondents identified several positive impacts of lump sum financing for resettlement in Italy:

i. Flexibility for organisations receiving resettled refugees:

Lump financing provides SIPROIMI projects with the freedom to develop housing and integration support that responds to the individual needs of resettled persons and the local contexts within which they are operating. This is in marked contrast to projects implemented under the AMIF national programme, which require the implementation of pre-determined actions that can only be amended via a fairly lengthy and complex process.

ii. Reduced administrative burden for national authorities:

The AMIF national programme places a significant reporting burden on Member State national authorities, most particularly in terms of extensive evidencing of expenditure. Lump sum financing for resettlement instead requires national authorities to send a reporting checklist to the European Commission each year, and retain supporting documents to prove a resettled person's arrival and evidence their vulnerability (to prove eligibility for the higher €10,000 lump sum), significantly reducing the burden of administering AMIF funds.

¹⁷⁸ European Commission (May 2019 update) *Managing Migration: EU Financial Support to Italy*, European Commission. See also the Italian Ministry of the Interior's online update of 3 November 2017 at <http://www.interno.gov.it/it/notizie/fondo-fami-approve-misure-emergenziali-rec4rel-e-borner> (last accessed 8 October 2019)

¹⁷⁹ European Commission (ibid)

iii. Enabling a focus on quality in programme monitoring:

In contrast to the strong focus on financial monitoring and reporting under the general AMIF national programme, in order to receive the specified lump sum amount for each resettled person they support, SIPROIMI projects must only report to national authorities the total number days a specific individual received their support. The bulk of monitoring and reporting requirements for SIPROIMI projects instead comprise individual integration reports (describing the services and interventions that were provided and individual integration progress), submitted to the Ministry of the Interior at the end of the individual programme.

The Ministry of the Interior team coordinating resettlement visits all refugees in SIPROIMI projects 6-8 months after they arrive. A number of significant changes have been made to the Italian resettlement programme based on information collected during these visits, such as amending the pre-departure cultural orientation to include a Skype call between the Ministry, the central SIPROIMI office and refugees selected for resettlement in countries of first asylum, during which refugees can ask questions and clarify information.

b. Relocation

Unlike resettlement, case study respondents noted the lack of ability of lump sum financing to positively impact many of the broader operational and political challenges associated with implementing relocation, as discussed earlier in this study.

3. DOES AMIF FUNDING INCENTIVISE PARTICIPATION IN RESETTLEMENT?

For the Italian authorities, the decision to participate in resettlement was taken based on the availability of EU funding, and the removal or reduction of AMIF *financial incentives* would likely lead to a severe reduction in (if not a cessation of) Italian resettlement activities.

Additionally, the level of co-financing for resettlement provided from the Italian national budget directly matched the EU contribution, and such national budget contributions would not be forthcoming without a corresponding level of EU funding.

In addition to incentives provided by EU funding, the EU resettlement policy framework is also an important motivating factor for Italian participation. The initial 2015 decision to participate in resettlement was prompted by the framework set out in the European Agenda on Migration, and subsequent resettlement pledges by the EU targets set out in the 20,000 and 50,000 schemes. The Italian asylum context also created a national policy imperative of emphasising legal routes to the EU for persons in need of international protection as a means of reducing irregular arrivals, expressed through participation in resettlement.



CASE STUDY: PORTUGAL

1. FINANCING APPROACHES

a. Resettlement

Portugal has participated in resettlement since 2006-7, albeit with a very small national resettlement quota of approximately 30-45 persons per year. Since 2016, the quota has rapidly increased in response to EU resettlement schemes: to 191 persons per year in 2016 (EU-Turkey Statement and 20,000 resettlement scheme), to the current pledge of 1,010 persons for 2018-19 (50,000 scheme). Prior to Portugal's engagement in relocation in 2015, resettlement was funded via a combination of AMIF lump sums and AMIF national programme resources. From 2018, a national decision was taken to finance resettlement solely via AMIF lump sums.

The range of 'hosting organisations' receiving resettled persons in Portugal¹⁸⁰ are allocated €6-7,500 per person. These amounts support an 18-month reception and integration programme, and are paid in six equal instalments over this period. The remainder of the lump sum is retained by national authorities for pre-departure activities and national resettlement coordination. Civil society respondents note a lack of transparency regarding the actual activities this funding amount supports. Similarly, when resettled persons leave the post-arrival support programme before the 18-month support period has ended, national authorities do not share how remaining unpaid lump sum instalments are used.

Resettled persons who leave the post-arrival support programme early but return to Portugal within the initial 18-month support period can restart the programme at the point at which they left. The most recent agreements between hosting organisations/platforms and ACM make the original hosting organisation responsible for 'taking back' the resettled person, including by providing them with housing.

Several larger NGOs working on reception and integration for resettlement have ongoing projects funded via the AMIF national programme, agreed prior to the 2018 transition to lump sum financing and due to conclude at the end of 2019. The core costs of some NGOs working in a coordinating capacity to place resettled persons with hosting organisations (for example, Jesuit Refugee Service (JRS) Portugal) are additionally funded under the integration priority of the AMIF national programme.

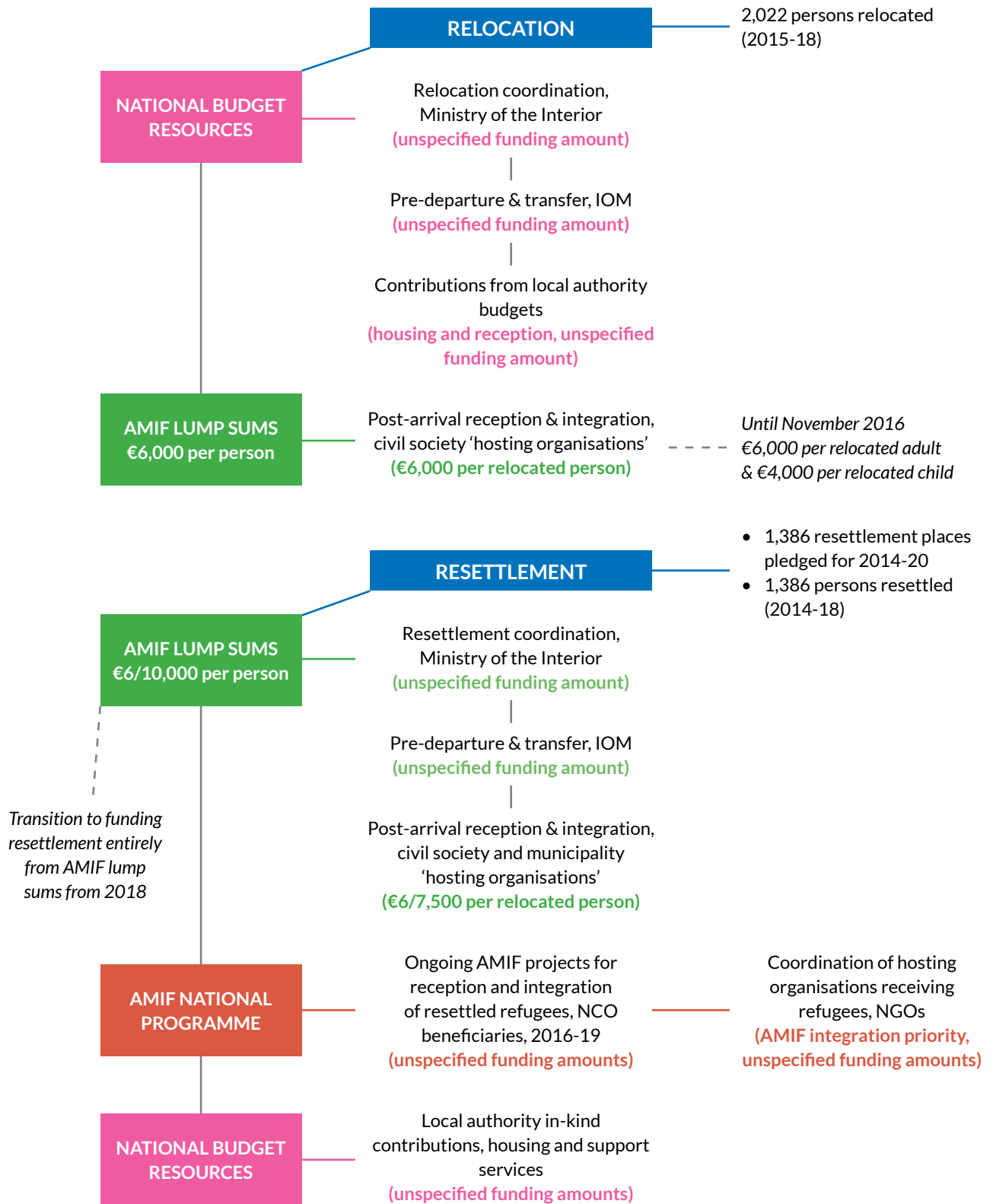
b. Relocation

Financing for relocation in Portugal differed from resettlement, in that the entire AMIF lump sum of €6,000 per person was dedicated to post-arrival reception and integration support. This element of relocation was implemented by civil society organisations and some municipalities, and coordinated by the national Refugee Support Platform led by the Jesuit Refugee Service (JRS) Portugal.

¹⁸⁰ 'Hosting organisations' receiving resettled persons in Portugal fall into five broad categories:

- Civil society hosting organisations coordinated by the Refugee Support Platform (JRS Portugal). From end-2018, resettled persons spend 1-3 months in a temporary hosting centre before moving to hosting organisations.
- Municipalities receiving resettled persons, coordinated by Portuguese Council for Refugees (CPR).
- Portuguese Red Cross: a national organisation coordinating local Red Cross delegations hosting resettled persons.
- House of Holy Mercy: a national organisation coordinating reception of resettled persons by local delegations across Portugal.
- Municipalities volunteering directly to the national authorities to host small numbers of resettled persons, who are placed in municipalities by the ACM.

FINANCING RELOCATION & RESETTLEMENT IN PORTUGAL



At the outset of the relocation programme in 2015, different lump sum amounts were payable to hosting organisations for children (€4,000) and adults (€6,000). In November 2016, following intensive civil society advocacy on the considerable support required to assist the integration of relocated children, this provision was amended to provide a standard lump sum of €6,000 for all relocated persons. National budget resources funded pre-departure activities for relocation, which in the case of Portugal included selection missions to both Greece and Italy, and many local authorities made in-kind contributions in the form of housing for relocated persons.

2. IMPACT OF LUMP SUM FINANCING

a. Resettlement

Identified advantages of lump sum financing are:

i. Reduction in the administrative burden for hosting organisations:

Hosting organisations are not required to evidence expenditure for lump sums, a significant change from the financial reporting previously required for resettlement activities under the AMIF national programme.

ii. Increased focus on integration in programme monitoring:

Hosting organisations report to national authorities on the integration progress of resettled persons, submitting quantitative reports every 2 months using common integration indicators, and qualitative reports on integration progress every 6 months. ACM also conducts a series of 'phasing out' interviews with refugees exiting the 18-month programme to check on their post-programme plans.

iii. Reduced financial burden for hosting organisations:

Prior to the transition to lump sum financing, organisations implementing resettlement projects funded via the general AMIF national programme had to provide 25% co-financing. Lump sums have no co-financing requirement, which civil society organisations identified as a major benefit.

iv. Flexibility in the type of support provided by hosting organisations:

Organisations agree general programmes (what they plan to do with/for people during the 18-month support period) with national authorities at the outset of their contractual period, then submit individual support/intervention plans for every refugee they receive. Lump sum financing thus enables hosting organisations to vary their reception and integration activities based on individual needs.

v. Reduced financial risk for national authorities:

Structuring lump sum payments at three-monthly intervals throughout the 18-month support period means national authorities do not disburse funds to provide support to persons who then leave the programme early.

The transition to lump sum financing has also had a number of negative impacts:

i. Lack of initial guidance for Member States on implementing AMIF lump sums

Portuguese national authorities reported a significant level of confusion amongst Member States regarding how to implement lump sums when they were first introduced, for both relocation and resettlement.

ii. Overall reduction in resources for reception and integration:

Prior to the transition to lump sum financing, organisations wishing to receive resettled refugees submitted applications for general AMIF funding in response to specific Calls for Proposals (CfPs). CfPs in this area were wide-ranging in terms of the potential activities for which applicant organisations could request

funding, but AMIF lump sums are not sufficient to finance the same range of activities. AMIF CfPs for resettlement also included specific funding for the core costs of hosting organisations, while AMIF lump sums are much more limited in how far they sustain the organisations that are implementing them.

iii. Financial risks for hosting organisations:

Structuring lump sum payments at three-monthly intervals can cause difficulties for hosting organisations. If, for example, refugees leave the programme before the 18-month period is concluded, hosting organisations must independently fund residual rental payments due for the accommodation in which they were living.

iv. Advantaging larger hosting organisations:

Larger hosting organisations receive higher numbers of resettled persons, creating more efficient lump sum financing via economies of scale. This same opportunity is not available for smaller civil society organisations or municipalities hosting one or two resettled persons.

b. Relocation

AMIF lump sum financing for relocation had a number of positive impacts:

i. Extended reception and integration support:

Prior to the implementation of relocation, reception and integration support for resettled persons in Portugal was generally provided for a period of 10 (maximum 12) months. The availability of AMIF lump sum financing for relocation enabled a longer integration support period of 18 months, and when resettlement transitioned to AMIF lump sums the integration support period was also extended to 18 months based on experiences of relocation.

ii. Piloting the use of AMIF lump sums:

The experience of implementing relocation using AMIF lump sum financing during 2015-17 made the transition to lump sum financing for resettlement from 2018 less challenging.

iii. Engaging a broader range of actors in receiving refugees:

The 'migration crisis' in Europe from 2015 mobilised public opinion in support of receiving refugees and expressing solidarity with Member States experiencing migratory pressure. Relocation provided a practical opportunity to mobilise this public support, and many smaller civil society organisations and municipalities became involved in the programme. This momentum continued in the context of the increased Portuguese resettlement quota, with over 300 actors mobilised.

3. DOES AMIF FUNDING INCENTIVISE PARTICIPATION IN RESETTLEMENT AND RELOCATION?

All respondents indicated that the political decisions for Portugal to participate in relocation and resettlement were made possible by and were conditional on the availability of EU funding. While the decisions were also politically motivated by a desire to contribute to solidarity at the EU level, the availability of EU funding was emphasised in the public presentation of the decisions to the Portuguese public. If EU funding for resettlement were to be reduced or removed, respondents noted the likelihood of a sharp reduction in or cessation of Portuguese resettlement activities.



CASE STUDY: SLOVENIA

1. FINANCING APPROACHES: RESETTLEMENT & RELOCATION

Slovenia participated in relocation prior to resettlement, and the number of persons relocated to Slovenia (253 during 2015-18) was far higher than those received via resettlement (34 persons in 2018).

a. Resettlement

AMIF lump sums for resettlement received by Slovenia were used to finance pre-departure activities (implemented by the Ministry of the Interior, IOM and Slovenian embassies) and coordination of the resettlement process by the Ministry of the Interior.

b. Relocation

For relocation, AMIF lump sums were used to finance pre-departure tasks and overall coordination by the Ministry of the Interior. In 2018, a provisional agreement between the Ministry and the national Government Office for the Support and Integration of Migrants (GOSIM)¹⁸¹ split the €6,000 equally between the two agencies. In 2019, GOSIM was technically awarded the right to spend this funding; although specific activities have yet to be developed, the agency is scheduled to begin implementing migration and integration-related actions supported by these funds during 2019-20.

c. Resettlement & relocation

Slovenia is unique amongst the case study Member States in its implementation of an integrated post-arrival programme for resettled and relocated persons. A number of reception and integration projects were implemented by GOSIM and two national civil society organisations under the integration priority of the AMIF national programme. The most important of these were two actions implemented by civil society organisations during 2015-19:

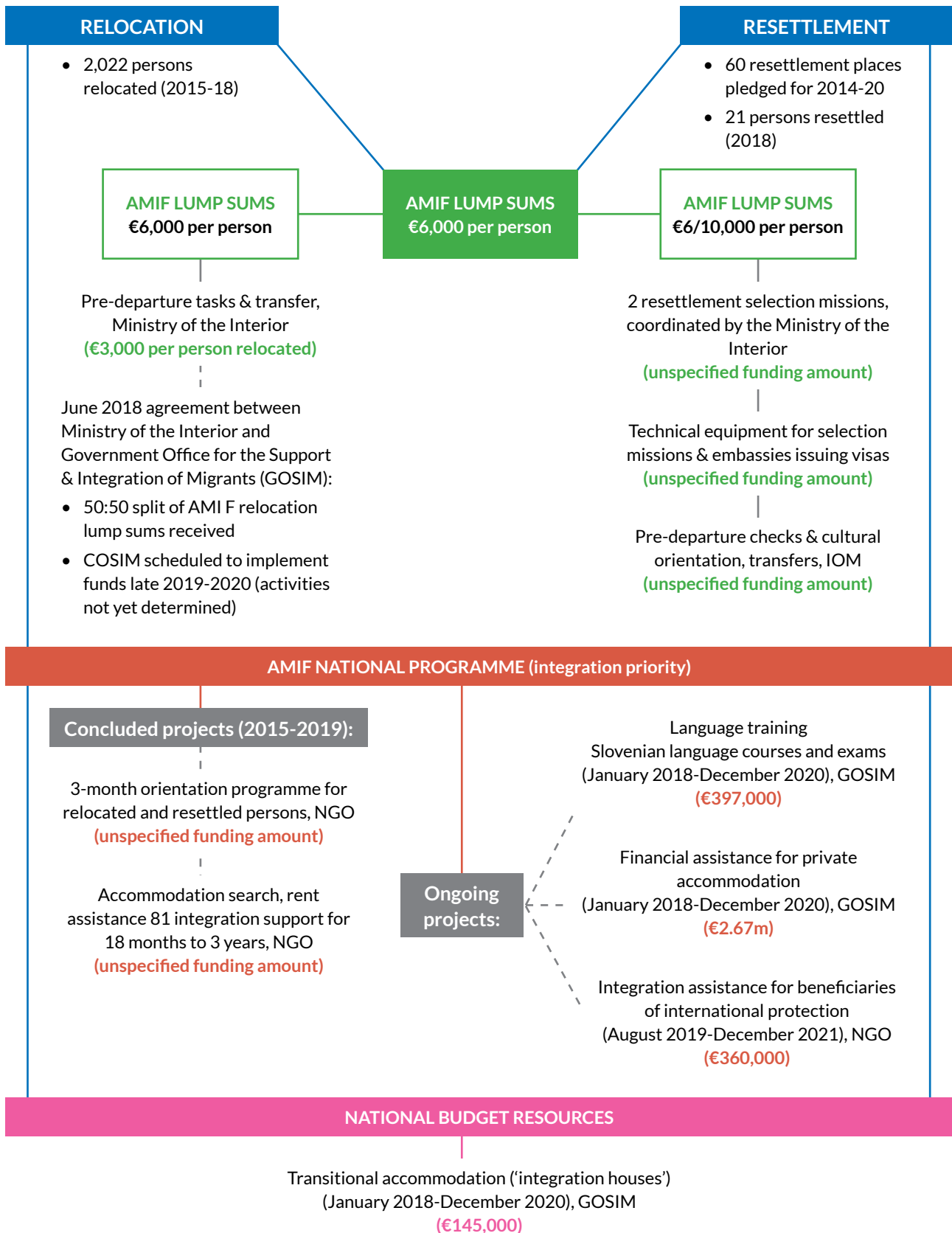
- A three-month post-arrival orientation programme for all resettled and relocated persons.
- An 18-month accommodation search and integration support programme (with the possibility to extend integration support for an additional 18 months - a total of three years support).

The orientation programme was designed to meet the specific needs of relocated persons, who were less familiar with Slovenian society and language than 'new' refugees exiting the asylum system. When resettlement was implemented in 2018, the similar needs of resettled persons were acknowledged by also including them as beneficiaries of this programme.

While the above two projects are now concluded, both areas of activity have since been integrated into a single orientation and integration programme available to all beneficiaries of international protection in Slovenia, implemented by a partnership of the same two civil society organisations.

¹⁸¹ The Government Office for the Support and Integration of Migrants (GOSIM) is a government agency established in 2017 to streamline and implement migration and integration work in Slovenia, and coordinate the work of the various Ministries involved in migration and integration

FINANCING RELOCATION & RESETTLEMENT IN SLOVENIA



In addition to actions for language training and financial assistance for private accommodation also implemented under the AMIF national programme, national budget resources support a project to provide resettled and relocated persons with short-term, transitional accommodation.

2. IMPACT OF LUMP SUM FINANCING

a. Pre-departure activities implemented/coordinated by national authorities

Lump sum financing has had a positive impact for Slovenian national authorities in the context of pre-departure activities for both relocation and resettlement.

For actions implemented under the AMIF national programme, the AMIF Responsible Authority effectively 'borrows' money from a fund established by the national Ministry of Finance, which it reimburses as and when AMIF national programme expenditure is approved and reimbursed by the European Commission. This process was introduced to mitigate the operational impact of delays in receiving reimbursements of AMIF expenditure from the European Commission and, while national authorities consider it to be a useful approach, it results in extensive 'double reporting' by the Ministry of the Interior (to both the Ministry of Finance and the European Commission).

By contrast, reporting for lump sum financing only requires the Ministry of the Interior to evidence the travel and arrival of relocated and resettled persons, significantly reducing the administrative burden placed on these authorities. National authorities also report that lump sum financing enabled a much more relaxed approach to contracting with IOM, reducing the administrative burden for IOM as the contracted body for pre-departure activities, and for the Ministry of the Interior that would be responsible for extensive checking and verification of IOM activities were they implemented under the general AMIF programme.

b. Post-arrival activities for resettlement and relocation:

As above, AMIF lump sum financing is not used for post-arrival reception and integration activities for either relocation or resettlement in Slovenia, which instead rely largely on support from the AMIF national programme. Slovenian respondents highlighted a number of challenges for these activities caused by this financing approach:

i. Administrative burden of reporting on and evidencing the use of funds:

Both GOSIM and civil society organisations implement/have implemented reception and integration actions for relocation and resettlement in Slovenia. Respondents here described the significant administrative workload involved in evidencing expenditure for these actions. Civil society AMIF beneficiaries in particular highlighted staff time dedicated to completing these reporting and monitoring tasks, the full cost of which was not provided for by AMIF national programme grant amounts.

ii. Lack of flexibility of actions implemented under the AMIF national programme:

Civil society respondents implementing the initial orientation programme for resettled and relocated persons noted the challenges of providing a standardised programme for groups of people with a wide range of needs and individual circumstances.

The action as envisaged in the AMIF national programme obliged them to receive all relocated persons into the programme as soon as they were granted refugee status, which resulted in the orientation programme being provided for a very mixed group in terms of educational and language backgrounds and levels of literacy. The project also did not enable deviations from the overall orientation programme timetable based on individual circumstances, for example specific health or mental health needs that might prevent/limit individual refugees from attending the programme.

3. DOES AMIF FUNDING INCENTIVISE PARTICIPATION IN RESETTLEMENT AND RELOCATION?

Despite the June 2018 agreement with GOSIM to allocate 50% of AMIF lump sums for relocation to the implementation of integration actions by GOSIM during 2019-20, national integration actors and authorities considered that AMIF lump sum amounts were insufficient to cover all costs associated with participation in relocation. For resettlement, national authorities similarly considered that AMIF lump sum amounts were adequate only to cover the costs of pre-departure activities, with significant investment required from the AMIF national programme resources to implement adequate reception and integration provisions.

National authorities were very clear that the continuation of the lump sum modality was of great importance to Slovenia's participation in any future intra-EU relocation schemes and its ongoing engagement in resettlement. This view was not based on the specific capacity created by AMIF lump sum amounts, but by the much reduced administrative burden of AMIF lump sum financing compared to that of the AMIF national programme.

Respondents described Slovenia's decisions to participate in both relocation and resettlement as politically motivated and based on a desire to express solidarity with states experiencing migratory pressures and hosting large numbers of asylum seekers and refugees, both within and outside the EU. The EU policy framework for relocation and resettlement was here considered to be extremely important in motivating Slovenian participation: without it, most respondents considered that Slovenia would not participate in these activities, or would engage at the absolute minimum level possible.

KEY FINDINGS FROM CASE STUDIES

a. Member States have adopted a wide range of national approaches to implementing EU funding for resettlement and relocation at national level

b. The lump sum approach to providing EU funding for resettlement and relocation has had several positive impacts at national level:

- i. Increased Member State capacity to establish resettlement programmes in response to EU calls and global refugee needs
- ii. Increased Member State capacity to rapidly expand existing resettlement programmes, both in terms of the number of refugees to be received and the number and type of national actors involved
- iii. A significantly reduced administrative burden when compared to mainstream AMIF national programme funding
- iv. Increased flexibility, both for national authorities and for actors participating in resettlement/relocation programmes, often resulting in programmes and reception/integration interventions that are more responsive to the needs of particular refugee groups and individuals
- v. Promoting a focus on quality in programme monitoring and evaluation, in particular concerning the outcomes of reception and integration activities and interventions for resettled and relocated persons

c. Several challenges can be identified for the effective implementation of EU funding for resettlement and relocation at national level:

- i. The benefits of lump sum financing (reduced administrative burden, increased flexibility) are not always passed onto national actors working in resettlement and/or relocation programmes
- ii. A lack of initial guidance for Member States from the European level on how to implement AMIF lump sum financing caused initial operational uncertainty and difficulties
- iii. A general lack of transparency regarding the use of AMIF lump sum funds for resettlement and relocation by national authorities.
- iv. For national resettlement programmes transitioning to financing solely via AMIF lump sums, non-state national actors implementing reception and integration activities often experienced reductions in the overall resources available for their work
- v. In programmes implemented solely via AMIF lump sum financing, the structuring of programme financing in some cases led to financial risks for non-state national actors implementing reception and integration activities.

d. The lump sum modality is, in itself, an incentivising factor for Member State participation in resettlement and relocation

Particularly with reference to the reduced administrative burden and increased flexibility of lump sum financing when compared to mainstream AMIF national programme funding.

RECOMMENDATIONS ADDRESSED TO MEMBER STATES

- a. Structure financing for national resettlement and relocation to ensure that advantages of AMIF lump sum financing (reduced administrative burden, increased flexibility) are shared across all implementing actors.
- b. Take advantage of relaxed reporting and monitoring arrangements for AMIF lump sums to focus programme monitoring on outcomes for relocated/resettled persons.
- c. Include flexibility measures in lump sum financing to ensure reception and integration support is able to respond to the individual needs of resettled/relocated persons.
- d. Ensure financing for national resettlement and relocation does not create undue financial risks for national actors providing reception and integration support.
- e. Ensure financing for national resettlement and relocation does not disproportionately advantage larger organisations providing reception and integration support. Consider providing additional resources for smaller organisations receiving small(er) numbers of resettled/relocated persons, for which economies of scale available to actors receiving larger numbers are not available.
- f. Where national resettlement programmes are transitioning or will transition to financing solely via AMIF lump sums, minimise any reductions in resources available for reception and integration.
- g. Be transparent as to the use of AMIF lump sums for resettlement and relocation by national authorities.

RECOMMENDATIONS ADDRESSED TO EU CO-LEGISLATORS

- a. Retain the financial incentive/lump sum modality for EU funding for resettlement and relocation in future EU financial and legislative instruments.
- b. Adjust the AMIF financial reporting period from the current October-October reporting period to calendar year reporting.
- c. To enable the expansion of resettlement in the EU to 100,000 places per year by 2030, introduce dedicated budget allocations for resettlement and relocation in the proposed Asylum & Migration Fund for 2021-27.
- d. Publish regular, up-to-date reports on the numbers of persons resettled under EU schemes, including a breakdown of numbers resettled per Member State.
- e. Ensure Member States make optimal use of mainstream AMIF/AMF national programme funding to support actions to establish, develop and implement national resettlement programmes.
- f. Include mainstream AMIF/AMF national programme actions to establish, develop and implement national resettlement programmes amongst those actions eligible for the higher EU co-financing rate of 90%, listed in Annex IV of the proposed Asylum & Migration Fund for 2021-27.
- g. Ensure Member States include resettled refugees as target beneficiaries of integration actions in AMIF/AMF national programmes.
- h. Do not permit Member States to carry over unused resettlement places pledged for a specific pledging period/EU resettlement programme to pledges for subsequent periods or programmes.

ANNEX I

Allocations for relocation from Italy and Greece per receiving Member State (second relocation decision)

Source: Annexes I and II, Council Decision (EU) 2015/1601 of 22 September 2015 establishing provisional measures in the area of international protection for the benefit of Italy and Greece

Member State	Allocation from Italy per Member State (15,600 applicants relocated)	Allocation from Greece per Member State (15,600 applicants relocated)
Austria	462	1,491
Belgium	579	1,869
Bulgaria	201	651
Croatia	134	434
Cyprus	35	112
Czech Republic	376	1,215
Estonia	47	152
Finland	304	982
France	3,064	9,898
Germany	4,027	13,009
Hungary	306	988
Latvia	66	215
Lithuania	98	318
Luxembourg	56	181
Malta	17	54
The Netherlands	922	2,978
Poland	1,201	3,881
Portugal	388	1,254
Romania	585	1,890
Slovakia	190	612
Slovenia	80	257
Spain	1,896	6,127
Sweden	567	1,830

ANNEX II

Resettlement places pledged (2014-20), resettled persons received (2014-18) and resettlement per 100,000 of population (2014-18) per Member State

Sources: dataset provided by the European Commission (number of resettlement places pledged 2014-20; resettlement declared in AMIF financial reports/payment requests); Eurostat (number of resettled persons received 2014-18; resettlement per 100,000 of population)

Member State	Number of resettlement places pledged (2014-20)	Number of resettled persons received (2014-18)	Resettlement per 100,000 of population (2014-18)	Resettlement declared in AMIF financial reports/payment requests (1 January 2014 to 15 October 2018)
Austria	1,229	1,730	19.61	1,004
Belgium	3,865	2,950	25.88	2,380
Bulgaria	110	20	0.28	13
Cyprus	69	0	n/a	0
Czech Republic	550	20	0.19	44
Germany	18,123	8,245	9.96	4,903
Estonia	100	60	4.55	20
Greece	354	0	n/a	0
Spain	3,909	2,820	6.04	1,560
Finland	4,156	4,735	85.89	3,143
France	19,660	9,855	14.73	8,136
Croatia	250	150	3.65	152
Hungary	40	15	0.15	22
Ireland	2,036	1,240	25.67	969
Italy	2,821	3,835	6.34	1,825
Lithuania	124	110	3.92	102
Luxembourg	310	305	50.66	102
Latvia	50	45	2.33	46
Malta	34	15	3.15	14
The Netherlands	5,452	5,425	31.58	1,567
Poland	900	0	n/a	0
Portugal	1,386	270	2.62	214
Romania	429	85	0.44	43
Sweden	12,775	14,395	142.24	7,854
Slovenia	60	35	1.69	21
Slovakia	100	0	n/a	0
United Kingdom	12,340	19,845	29.94	4,540

ANNEX III

Relocation commitments, relocated persons received and percentage of relocation commitments fulfilled per Member State (2015-18)

Source: dataset provided by the European Commission.

Member State	Relocation commitments under the two relocation decisions	Relocations declared in AMIF financial reports/ payment requests for the period until 15 October 2018
Austria	1,953	45
Belgium	5,762	1,736
Bulgaria	1,302	70
Cyprus	320	143
Czech Republic	2,691	12
Germany	41,230	12,952
Estonia	489	153
Spain	15,779	1,485
Finland	3,113	1,983
France	20,714	5,682
Croatia	968	78
Hungary	1,294	0
Ireland	1,712	1,445
Lithuania	971	384
Luxembourg	747	676
Latvia	481	335
Malta	188	168
The Netherlands	9,083	3,751
Poland	6,182	0
Portugal	4,274	2,022
Romania	4,280	728
Sweden	5,693	3,442
Slovenia	567	289
Slovakia	100	16

ANNEX IV

Resettlement pledges for 2018-19 (the '50,000 programme') by Member States carrying over unused pledges from 2015-17 (the '20,000 programme')

Source: Communication from the Commission to the European Parliament and the Council: Progress report on the Implementation of the European Agenda on Migration, Annex 4: Resettlement, State of Play as of May 2018

Member State	Total resettlement pledges (2018-19)	Unused resettlement pledges carried over from 2015-17 to 2018-19	New resettlement pledges (2018-19)
Spain	2,250	89	2,161
Italy	1,000	377	623
Croatia	200	110	90
Luxembourg	200	2	198
Romania	146	37	109
Bulgaria	110	50	60
Lithuania	74	38	36
Cyprus	69	69	0
Slovenia	60	20	40



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