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An Analysis on the Implementation of Human Security in Ecuadorian National Police Department

에콰도르 경찰청의 인간안전보장에 관한 연구

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Abstract

An Analysis on the Implementation of Human Security in Ecuadorian National Police Department

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The study of public administration could not be completed without an understanding of policymaking institutions, as the base of government constructions and social order. This research paper is a descriptive analysis following a qualitative approach, which strives to explain the institutional change of Ecuadorian Police Department to overhaul the Human Security framework using New Institutionalism. The purpose of this study is to understand better the challenges institutions suffer in the process of restructuration, referring to the patterns of behavior, norms, rules and relationships that influence institutions.

Ecuadorian republic history was marked by the lack of planning as an important role making public policy decisions, however during the current political administration planning became the key on Ecuadorian institution’s
development. Since 2008 in Ecuador violence and organize crime increased, swelling the feeling of insecurity among the citizenship. Even tough, with current President Rafael Correa and the New Constitution, planning became a key process to the State, for National Police Department this reforms stood aside. In despite of the investment on internal security, National Police Department remains as an untrusted institution. In this context, the following analysis focuses in the dynamics of the National Police Department thorough the changes proposed by the central government since 2010. The final objective is to obtain crucial information as a guideline for policy makers to understand the needs of the institution in order to overcome the bad perception of the institution and to achieve the transformation towards Human Security.

**Keywords:** New Institutionalism, Human Security, Institutional change, National Police Department, Ecuador

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ABBREVIATIONS AND ACRONYMS

SENPLADES: National Secretariat of Planning and Development

USAID: United States Agency for International Development

UN: United Nations

UNDP: United Nations Development Program

INEC: Ecuadorian Institute of Statistics and Census

GDP: Gross Domestic Product

LAPOP: Vanderbilt University’s Latin-American Public Opinion Project
CHAPTER ONE

1. Introduction

1.1 Problem

Ecuadorian republican history has been marked by the lack of planning as an important role making public policy decisions, in this sense institutions have had a major role on public policy, however these were a sort of empirical institutions, based on tradition, were past country's experiences or international pressure was the framework for ruling and police department was no different. During the current political administration planning becomes important, besides is now the key on Ecuadorian institutions. Central planning guided by the National Secretariat of Planning and Development searches now for the establishment of strategic objectives and policies towards social development through active citizen’s participation to contribute regarding a transparent and efficient public administration (National Secretariat of Planning and Development, 2013).

According to this new strategy, National Police Department is one of the most significant institutions to line up with national planning considering the major role it has played in Ecuadorian history. Since the independence of Ecuador as a new republic, Police Department has completed a critical role in the constitutional live of the country. The first established police organizations were under local control, and national
problems were settled by military intervention. In 1835, the President Vicente Rocafuerte, proposed the control of all police under the Minister of State, this however, did nothing to change the administration of each municipality for its internal police affairs. Until 1930, the Police Department developed slowly under a system of local organizations commanded by provincial police administrator.

The first national police forces took place in 1936 by President Alberto Enrique who created the first command, establishing the first training courses for officers, nonetheless the institution and the curricula were essentially military (USAID, 1973).

Institutions had little change, until 1951, when it was formally transformed to the new National Police, with a first attempt to separate the military complexity of the organization, according to the United States Agency for International Development (USAID) report the National Police of Ecuador almost "pulled itself up by its own bootstraps". This situation remained with no or little change throughout the different Constitutions of Ecuador.

In 2006, President Correa is elected and his main strategy was the creation of a new Constitution to work towards the development of Ecuador, using a national plan for the first time in the country. The main objective of this new Constitution was to recognize the importance of institutions, and give them the crucial role on the national planning process. Meanwhile during 2008, in Ecuador violence and organized crime increased, swelling the feeling of insecurity amongst Ecuadorian citizens. Even tough with President Correa and the 2008 Constitution, planning
becomes a key process for the State, for National Police Department this reforms stood aside. In despite of the investment on internal security, and all the planning intentions, National Police remains as un untrusted institution, possibly due to the fact that in the past Police was a militarized institution related with practices against human rights.

The following years and in desperate attempts, the Ecuadorian government tried to centralize the management of internal security affairs through presidential statements, creating a sensation of uncertainty, ending with the police uprising of September 30th, 2010, in which the government accused the institution of an attempted coup. This situation brought to a new strategy, in 2012 The Ministry of Interior, with the new Ecuadorian National Plan, proposed institutional changes to adapt the National Police Service into the latest institutional strategies of the State. The Minister avowed that the theoretical approach used traditionally by the National Police Department needed an integral change towards development and Human Security (Ministry of Interior, 2014), to overcome the difficulties that institution was going through and to create a more social oriented Police Department.

According to the Ministry Coordinator of Security, in charge of creating and implementing this plan, “much work has been carried out by international specialists and institutions on how to improve security in developing countries based on the conception of human security” (Ministry Coordinator of Security, 2011). Consequently, Ecuador proposed a new National Police Department based on the Human Security Framework. Current criticisms against National Police Department still continue
remarking the use of excessive force by public security forces, criminality and insecurity, some glitches remained alike isolated unlawful killings, poor prison conditions, arbitrary arrest and detention, corruption and denial of due process within the judicial system, exacerbated by revolts, human right abuses and widespread corruption (Southwick, 2013).

In this context, the following analysis wants to focus in the dynamics of the National Police Department before and after the institutional changes proposed on 2012, changes that were proposed based on the Human Security framework, to obtain crucial information as a good guideline for policy makers to understand the needs of the institution in order to overcome the bad perception of National Police among Ecuadorian citizens.

This institutional changes will be related and explained based on theoretical expectations, a Human Security Framework and historical events, in order to understand better the role of Police Department in Ecuador. The importance for its institutional alignment with national planning, and how this planning took place regarding the Police Department, the reasons why changes came later, and the possible outcomes regarding the normative analysis. At the same time, institutions dictate the social life of citizens, therefore, social indicators such as structure of the institution, functions, social perception rate, and criminal rates are relevant to explain the social phenomena underneath this necessity of institutional change of the Police Department. As it was mentioned before, this examination is relevant to Public Administration studies as it wants to contribute in the analyses of possible institutional
failures and the need of National Police to cope in the future to improve their perception within society.

1.2 Research Question

1.2.1 General Question

How are the institutional changes proposed for the National Police Department of Ecuador overhauling the framework of Human Security?

1.2.2 Specific Questions

1.2.2.1 Regarding to Human Security Framework which are the main features to be applied in order to change Police Department?

1.2.2.2 In the case of Ecuadorian Police Department which are the characteristics of the institution since 2008 and throughout the changes proposed for the institution?

1.2.2.3 In the case of Ecuador what is the behavior of the main social rates since 2008 and throughout the process of change of the National Police Department?
1.2.4 What are the implications of the institutional transformation of National Police Department towards Human Security?

1.3 Objectives of the Study

1.3.1 General Objective

To know the major institutional changes proposed for the National Police Department of Ecuador based on the application of Human Security

1.3.2 Specific Objectives

1.3.2.1 To identify the main features in Human Security to be applied in the institutional change of Ecuadorian National Police Department

1.3.2.2 To identify the characteristics of the institution since 2008 and the contrast between the starting point in 2008, and after all the institutional changes proposed for the institution

1.3.2.3 To know the behavior of social rates since 2008 and throughout all the institutional changes suggested for the National Police Department
1.3.2.4 To analyze the real implications of the institutional changes of Ecuadorian National Police Department

1.4 Justification

1.4.1 Theoretical Justification

The theoretical approach of integral security proposed by the Ministry of Interior, based on the needs of the Ecuadorian National Plan sustains that this new perspective is essential to be established to express the "multiple causes" involving security issues for a state. Its main idea holds that because of the complexity of the problem, government cannot treat security uniquely from a police and military approach thus security must include a social, participatory and transversal criterion. This proposal directs all its efforts towards the human being, applying the notion of human security (Ministry Coordinator of Security, 2011).

According to the concept established by the United Nations (UN) human security is a dynamic and practical regulatory framework that serves to mitigate threats that people and governments face. This concept focuses on people in different specific contexts and with a preventive orientation. Moreover, human security poses solutions to have a direct affection on the daily lives of people threats to their survival, and that throughout its promotion immediate and tangible results can be address (United Nations Trust Fund for Human Security, 2009). For Pérez de Armiño, this kind of security could be
achieved not through military defense nonetheless with the knowledge of human development, reinforcing human capacities to ensure people's daily lives, meeting their basic needs, participating inside the community in a freely and securely way (Pérez de Armiño, 2010).

Pérez stated that this kind of conception already existed but became popular since the treaty signed by the United Nations Development Program (UNDP) in its Human Development Report in 1994 (Perez de Armiño, 2010). He even argues that the issue of human security is the complement of human development as they are linked. He points out that within human security the features included are:

- Universality, applied to all citizens around the world
- The “threat” is not necessarily a geographically isolated phenomenon but goes across national borders
- Preventive, thus it focuses on avoiding the causes or menaces (Pérez de Armiño, 2010)

For Dammert, the senses of human security consent governments to establish new strategies in order to achieve the development stated in the theory. This mention is considered important thus the proposed solution lies not only in the definition of models, responsibilities and methodologies but as Dammert held, lies in the constant and dynamic ability of institutions to adapt to their new needs. Considering that in a country where violence and crime are a widespread issue, police acquires an important role in their relationship with the governance of the country (Dammert, 2007) and in this view human security becomes the tool to achieve its goals.

At the same time, there are many criticisms related to human security
about the possible vagueness and arbitrariness. For Paris, current definitions and theories on human security tend to be either extensive in the way that many subjects can be included or attached to security issues, and at the same time this vagueness opens the possibility for arbitrariness, in the way that countries can pick their own agenda and justified it as a way to achieve human security (Paris, 2001). Nevertheless, there is much more possibly importance in human security development and practices, that this criticism is an opportunity and a motivation to develop this research.

1.4.2 Methodological Justification

This research is fundamentally bibliographical. The information linked to the referential framework comes from journals, papers, articles and websites where it is possible to collect updated information to elaborate the theoretical basis within a scientific context. The research presents a qualitative approach.

A descriptive analysis of historical characteristics, behavior, norms and figures will be used to answer the research question. Considering that the concept of Human Security is a concept that has great acceptance specially regarding the Latin-American region in despite of its relative short time. Therefore, this descriptive analysis would collaborate in the identification of behavior and patterns that Police Department followed in order to overhaul a Human Security framework. As behavior, actions and policy are under construction, it is important to take into consideration not only the norms, but the circumstances and actors involved in the restructuration process of the
institution since it can not be understand outside its cultural and historical background. Correspondingly, this study will analyze the historic variation on social perception rate and the criminal rates as a useful indicator of the effectiveness of the changes and to achieve a more consistent academic study. It is stated that the independent variable is human security, and the considerations involved in human security to be applied inside governments. The dependent variables are related to policy and strategies (detailing capabilities in the form of structure, characteristics, and organization) using the new institutionalism approach. One study case, Ecuadorian National Police is included to illustrate how New Institutionalism is used to analyze policy. The similarities, differences, strengths and weaknesses between what the phenomena propose and how one institution changes its policy to reach human security.

1.5 Policy Implication

Ecuador is for the first time in its history trying to build and follow national planning, for this purpose it is a necessity that institutions are aligned to it. National Police Department is one of the major institutions therefore, it is critical to shadow this planning in order to achieve the goals stated. It is not less to say that being Police Department one of the most traditional ones, having a military background and being a powerful tool between people and government might bring out some intrinsic, complicated social problems to analyze. The importance of Police is
outstanding since it is the nexus between citizens and central government, as security is one of the basic necessities for societies to work. At the same time, Latin-American countries take as part of its security construction the idea of Human Security, as a way to guarantee the role of central government in public security control. In the case of Ecuador, it is critical considering the military history that has been linked to the institution, breaking this tradition is slightly problematic for current Ecuadorian government.

Despite the efforts, the normative and the investment, there is still a distant perception between the institution and citizenship. In this context, this study wants to examine the institution and its composition, the changes proposed and the possible errors to contribute in the decision making process to generate public policies to improve social perception of National Police Department in the short term and contribute to national development in the long term.

1.6 Validity and Limitation of the Study

This research is a current existing data, descriptive and historical analysis of the Police National Department, based on the plan proposed by the Ministry of Interior in 2012 succeeding a Human Security framework, to observe the changes proposed for the institution. However, there are many considerations that limit this study.

Starting with the period suggested for the analysis, eight years may be
considered a narrow space time to analyze such a complex institution. Bearing in mind the importance that Police represents among society, being the nexus among citizens and government and possessing such a fundamental task. However, this particular time in Ecuadorian government possesses some strong figures included.

First, the creation of a new Constitutions and the establishment for the first time of a national planning system to overcome underdevelopment, an organized plan with goals to achieve and with roles given to the different institutions being part of it. Afterward, in 2010 the commotion generated by the September 30th riot that might have ended in a coup alerted government to create amendments to the different institutional plans for the National Police Department, being the origin for real changes among the institution consequently the origin for this study to take place.

Following with the notion of Human Security, as noted early in the proposal design, researches have difficulty establishing one narrow notion of human security, therefore some criticism include that the vagueness and extension of the notions opens a great door for governments to work towards something not really possible to achieve, or that it gives governments the chance to select based on an agenda the changes they want to take into account. At the same time, this opens the debate about human security scoop and its application.

Nevertheless, this weakness is a reflection of real current decisions Ecuadorian government is facing, and as the goal is to create a tool to contribute for policy makers to improve social perception of Police Department among citizenship debating on the challenges becomes a thrust-worthy action. It also
can be a valid starting point to current alignment of national policy towards human security policies around the world.

Social perception rates might be considered tricky due to the fact of subjectivity measured. Nonetheless, this rate gives a clearer situation of deep social relations and the role taken by institutions. One of the current concerns about the changes proposed for the National Police Department include the fact that perception has not improved in despite the effort and investment done. This is a valid point to analyze and comprehend the importance of National Police Department and can become a tool for policy makers to take into account to improve social perception of the Ecuadorian Police.
CHAPTER TWO

2. Literature Review

2.1 New Institutionalism

Institutions have been regarded as the basic building blocks of social and political life (DiMaggio & Powell, 1991). Interest in the new institutionalism paradigm is driven by advances in research directed at understanding and explaining institutions. Institutionalism has gained considerable popularity in political analysis, using considerations of norms, rules, identity and culture in shaping behavior.

According to Peter Hall and Rosemary Taylor, the new institutionalism offers three general analytical approaches: rational choice institutionalism, historical institutionalism and sociological institutionalism. Rational choice institutionalism covers the assumptions that actors are rational and that they are motivated by maximization of the utilities (Hall & Taylor, 1996). Behavior in this case is tended to be instrumental and based on cost and benefit.

Historical institutionalism defines institutions in another perspective, taking care of procedures, here formal and informal routines, norms and conventions entrenched in the organizational structure of the policy are taking into consideration. Moreover, for this kind of institutionalism, institutions are associated basically with the rules in a formal manner, related to how actors interact with institutions using a calculus and a cultural approach (Hall &
Sociological institutionalism emphasizes the "social and cognitive features of institutions" rather than the structure, the norms or the compelling qualities as in the other models. In this case, sociological institutionalism argues that institutions are driven by cultural behavior, specific practices shaping ideas of appropriateness and no necessarily by enhancing means-end efficiency (Hall & Taylor, 1996). As such is supposed to provide advance on the rational choice approach as its intended to prove where preferences come from and how are they generated (Bacalso, 2010).

Following DiMaggio, a second line dividing institutionalism is whether institutions reflect individual preferences and corporate actors or if they are collective outcomes (DiMaggio & Powell, 1991). On the one hand, most institutional economists and public choice theorists assume actors build institutions that achieve the outcomes they desire, in this case decisions are limited by cost (DiMaggio & Powell, 1991).

On the other hand, sociologically oriented rejects this alignment, and keeps that individuals choose certain actions with certain situations by suitability and these choices cannot be understood outside their cultural and historical background. A third point of discussion comes from the variation of institutional theory concerning autonomy, flexibility and efficiency of institutions. Some economist scholars and rational choices theorists recognize that institutions are not highly malleable and constrain individual behavior (DiMaggio & Powell, 1991).
2.2 Nature of institutions and change

The notion of institution according to Immergut, varies along several dimensions. Being a concept so fundamental for social sciences that widths an enormously broad ranges or concepts, methods and approaches (Immergut, Comparative Politics, Institutionalism, 2010). Some authors may even say that nature and institution are opposite conceptions regarding the fact that institutions are a social construction, but that would be another different study. In reference to institutionalism, one dimension is the degree of formalization, another dimension is the degree to which institutions are collectively binding. The movement from the informal to formal is what we call institutionalization, and it entails the shift from individual to social, and this is the first step to build an institution. Following the degree to which institutions are tying constitutes a second dimension, a forward step, in which time plays an important role thus is related to way that institutions has been followed or accepted by a group of people. Institutions include the totality of social forms and structures established by law or custom (Immergut, Comparative Politics, Institutionalism, 2010).

Hegel, for example saw custom, tradition, norms, laws and institutions as inheritances that have achieved legitimacy by standing the test of time. One strand of sociological tradition views institutions as the cultural products that substitute for instinct and give an advantage onto human societies. Institutions are the ones to create social order by giving meaning to symbolic expressions, setting positive and negative feeling to prevent social deviance. In the end, as
stated by Durkheim, institutions ranges from concrete social practices or structures to representations, categories and ideas. For Rational choice theorists, institutions are a response to dilemmas of collective action, assuming that human actors are rational, self-interested, and utility maximizers (Pierson, 2004).

Institutions may change depending to whether they are self-reinforcing, if the rules vary since is self-interest to the group, or if require intervention by some sort of bigger power if rules are elaborated in order for actors to follow them (Immergut, 2005). There are three types of institutions: social institutions, conceptions as marriage for example, Constitutions, which are the supreme law governing the exercise of public power and regimes, which denotes to the process of giving something the character of an institution (Douglas, 1986). Nevertheless, this studies focused on institutions, are troubled with the formation and impact of different social engagements, whether they evolve or are products of human design, in the end they are the purposeful entities fundamental to impact on social life.

2.3 Three different approaches

One of the important remarks considered by Hall is the ambiguity surrounding new institutionalism due to the fact that is not a single body of thought but three different analytical approaches, “each of which calls itself a new institutionalism” (Hall & Taylor, 1996). In their analysis the authors focus on two main issues a) the relationship between institutions and behavior and b)
the process whereby institutions originate or change.

Rational Choice in comparison to Historical institutionalism has developed a precise notion of the relationship between institutions and behavior, and according to Hall the usefulness of this approach is limited by the degree to which it specifies the goals of the actors, and rational choice analysts incorporate into their analysis much more appreciation for the role of the human intentionality. To this Sociological Institutionalism includes other dimensions to the relation between institutions and actions that may not be instrumental, underlying preferences or identities (culture related) of actors that Rational Choice does not consider. Meanwhile, Historical Institutionalism has the most extensive conception using both “calculus” and “cultural” relations (Hall & Taylor, 1996).

Afterward, regarding the explanation of institutional origin and change, Rational Choice turns to the functions that institutions perform and benefits provided, the problem with this approach is that does not contemplate the inefficiencies that institutions display, neither the asymmetries of power of some actors, which can be problematic due to the possible limitation in the analysis. By disparity, both Historical and Sociological approach the explanation by insisting that institutions are created in a “world already replete with institutions” (Hall & Taylor, 1996). Sociological Institutionalism, explores existing structures, processes, and explains the inefficiencies in social and political institutions. Meanwhile, Historical Institutionalism starts in the same position but focuses on the way in which some actors or interests gets more power in the process of creation and it uses the notion of path dependence (Hall & Taylor, 1996).
Despite the differences, the strengths and the weaknesses these different views or approaches of New Institutionalism make it a significantly theory to help understanding the political world we live in. At the same time, considering that social phenomena have multiple faces to explain, a more sophisticated appreciation will be needed. Therefore, it would be necessary to include a cultural and a calculus approach, Historical Institutionalism will suit better for this analysis considering the wide range of elements, especially path dependence, resistance to redesign and the persistent features that could be included in the analysis of the study case of Ecuadorian National Police Department.

2.4 Human Security

According to the concept established by the United Nations, human security is a dynamic and practical regulatory framework that serves to mitigate threats that people and governments face. This concept focuses on people in different specific contexts and with a preventive orientation. Moreover, human security poses solutions to have a direct affection on the daily lives of people threats to their survival, and that throughout its promotion immediate and tangible results can be address (United Nations Trust Fund for Human Security, 2009). The purpose of the concept shared by the UN was to bridge two kinds of freedom, the freedom from want and the freedom from fear, the first one related to the economic, environmental and social front and the second one related to violence and police protection. As stated in the Social Summit in
Copenhagen “human security is a child who did not die, a disease that did not spread, a job that was not cut, an ethnic tension that did not explode in violence, a dissident who was not silenced. Human security is not a concern with weapons, it is a concern with human life and dignity” (United Nations Trust Fund for Human Security, 2009).

According to Krause, this new definition re-conceptualized security in a fundamental way, it moves away the state-centric conceptions of security focused on the safety of states from military aggression, to one relaying on the security of the individuals, their protection and somehow their empowerment. It draws attention to a multitude of threats that affect aspects of human life and highlight the interaction between security, development, and human rights. Finally, promotes an integrated, people-centered approach to advance towards peace within and across nations (Krause, 2007).

Pérez de Armiño thinks this kind of security could be achieved not through military defense but with the knowledge of human development, reinforcing human capacities to ensure people’s daily lives, meeting their basic needs, participating inside the community in a freely and safely way (Perez de Armiño, 2010).

Likewise, the concept of citizen security is also derived from development whereas this one related to the protection of the entire system of life and private property of citizens from risks and threats caused by various external factors. In this concept it is noted that, security is not restricted to the biological dimension of the human being motivated by protection needs, although extends to all those parts of human nature deriving from the coexistence inside a society (Organization of American States, 2015).
The approach generated by Emma Rothschild, when she described extended security noting that human security has extended concepts in four directions. Starting by moving security of nations to the security of individuals, then stating the security of the international system in a supranational physical environment (though related to menaces as terrorism). The third extension related to the sort of security that are in question from military to political, economic, social, and environmental. Last, the political responsibility for ensuring security including upwards to international institutions, downwards to local governments and sideways to nongovernmental organizations and society itself. Her contribution positioned Human Security provoking ways to make them less inclusive by suggesting that society should have recourse to civil policies for preventing conflict (Rothschild, 1995).

Other authors focuses on the freedom from want. King and Murray defined human security as “expectation of a life without experiencing the state of generalized poverty”. They brought up an index that include only the domains of well-being, the components of this index are health, education, income, political freedom and democracy. These authors, recognize conflict and violence-related threats, but they put emphasis in the need to address poverty as the preventive root in order to achieve a secure and peaceful environment for people’s development. For them, security is achieved only when all of the other dimensions are in place, and for that institutions play a key role (King & Murray, 2000). For Caroline Thomas, human security entails basic needs, human dignity and democracy, describing a condition of existence including a meaningful participation of people in the life of the community, including to the concept a material and non-material dimension to form a
For Hampson et al., human security is "the absence of threat to core human values, including the most basic human value, the physical safety of the individual". He argues human security related to different issues related to social needs and ended up concluding that human security is nothing but an underprovided public good. This is important, considering possible market and political failures that have led to this under provision of human security (Hampson, Osler, Daudelin, John, Martin, & Reid Holly, 2002).

The importance of human security is not only the conception of it, but the discussion provided by it, the international awareness of possible changes to grasp human security and further beyond to achieve development, as proposed by Alkire. A few examples to illustrate these wider discussions are the World Bank, the New Partnership for African Development, the World Bank, the Organization of American States, by providing a very constructive contribution by identifying specific target areas (according to each institution) to work towards human security. At the same time countries changing their focus on security, as Canada, Norway or Japan which have operationalized human security by committing some of its institutions to narrower the interpretation of human security and naturally rise its practices. The intensity and diversity of opinions suggest that the government’s effort should focus on two interrelated ways, the state role of protecting its borders from external threats (traditional security), and its role in ensuring human security for its citizens, meaning that people is entitled to be free of oppression, hunger, poverty and violence (Alkire, 2003).

Daniel Goldstein sustains that it is important to consider Human
Security and Citizen Security as powerful discourses, that set policies and governments around which much political contestation in Latin America is centered, as people, states and nonstate actors negotiate the meaning of security and the means of attaining it in their societies (Goldstein, 2016). For Dammert, the senses of human security allow governments to establish new strategies in order to achieve the development stated in the theory. This mention is considered important thus the proposed solution lies not only in the definition of models, responsibilities and methodologies but as Dammert held, lies in the constant and dynamic ability of institutions to adapt to their new needs. Considering that in a country where violence and crime are a widespread issue, police acquires an important role in their relationship with the governance of the country (Dammert L., 2007).
CHAPTER THREE

3. Methodology

3.1 Type of Methodology

This research is a qualitative research. The use of information is linked to the referential framework that comes from books, journals, presidential mandates, ministerial statements and websites where all this updated information is available in order to build a reliable theoretical basis within an academic context.

3.2 Research Methodology Approach

This study research is presented following a qualitative approach. The strive is to make sense of the human security phenomena and the institutional change of Ecuadorian National Police Department in terms of the meanings people involved with the phenomena bring to them. A descriptive analysis of historical facts and data will be used to pose answer to the research questions. Consequently, the dynamics and patterns between the variables (detailing capabilities in the form structure of characteristics and, organization) and its comparative analyses will be examined based on theory and historic events supporting this paper with a qualitative approach research.
The research starts with the analysis of human security phenomena, the advances in its theory and the main elements to be applied by governments in order to achieve its implementation. Due to the need of every research to be included in a scientific base, this study will be found on institutionalism, in the way that the research is looking to analyze for the strategic behavior of the institution once the changes proposed are taking into action. Institutions have been regarded as the basic building blocks of social and political life (DiMaggio & Powell, 1991). As institutionalism has gained considerable popularity by being driven by advances in research directed at understanding and explaining institutions, it will be used, also considering norms, rules, identity and culture in shaping institutional behavior. In this context, the deductive method will be used as a special and particular method to try to test the hypothesis stated for the research (Eom, 2015), without rejecting the possible use of other important methods during some sections of this research.

At the same time, this study will focus on a study case, due to strength of this method to examine, in depth within its real life context. The study case is concerned with describing how and why things happen, giving the opportunity for the researcher to differentiate between what was planned and what actually occurred, using multiple sources of evidence (Eom, 2015). Going deeper in the description, this study will use a pre-post case study method, analyzing the entity at two-time point separated by the institutional change proposed by the Ministry of Interior, and it will be constituted as a single-case study.
3.3 Methods and Variable Identification

The main foundation for this research is the institutional change proposed by the Ministry of Interior for Police Department in 2012, and the different elements constituting the institution and its behavior during two period times, 2008-2011 and 2012-2015. Regarding to accomplish this task it is necessary to complete a deep analysis on the important role that National Police have had during the years of republican history of Ecuador. The main data to be analyzed will be divided in two. On the one hand the role of the institution, its composition, the role given by the Constitution and some components as the structure and functions will be stated to picture a better situation of the institution itself. On the other hand, social and criminal rates will be studied to comprehend better if the changes in the institution have given any result in terms of diminishing criminal rates and at the same time to show how the behavior on the perception of the institution might have been affected by the changes proposed.

This descriptive analysis focuses on two periods of time. Starting in 2008 and until 2011, this period has been selected due to the current President’s National Plan, starting with 2008 being the first time for Ecuador to have a national plan to follow to achieve development including a new Constitution. In this section a brief historical recount will be necessary to understand better the intrinsic roots of National Police and its importance during Ecuadorian history and at the same time to set the basis to contrast in the sequent period, one crucial historic event is September 30th, 2010. Later on, the second period
considered is 2012-2015 after the apparent coup stated against current President Correa, real changes were considered for the National Police Department. This period is well-thought-out only after the Ministry of Interior stated a plan to adjust the institution and align it better to the national strategies of planning.

The institutional analysis will consider the following aspects: the inclusion of the role of the police among the Constitution, the structure created and the functions established for the institution. The purpose is to clearly describe which are the characteristics of the National Police and contrast them in the different periods to understand the possible changes in the power provided, the number of officials, budget and functions. Then criminal and social rates to visualize the work done by the institution, the ciphers given by the Police Department and at the same time the polls conducted by the Ecuadorian Institute of Statistics and Census (INEC) to measure the effectives and the possible social reaction to the strategies applied and the institution.

### 3.4 Data Sources and Time Frame

The goal of this research is to get to know the major institutional changes proposed for the National Police Department of Ecuador based on the application of Human Security Framework, comparing different variables related to the characteristics of the institution and its performance during two periods of time. In this sense, the variables to be analyzed are obtained from different institutes.

In relation to the qualitative variables of this study, the task is more
descriptive, the main documents for this part of the research arise from the main institutions. In this case, the Constitution of Ecuador consists the main law document to be analyzed, as the new Constitution was established in 2008, this year becomes the base year for the analysis of this Police Department and the later comparison with the changes proposed in 2012. At the same time the National Plan stated by the official government and the main points focused on security, followed by the Ministerial Plan proposed by the Ministry of Interior in 2012, after the September 30th event took place. In this sense, it is important to include the main presidential statements related to security and the administration of Police Department and the official documents from the Police Department, to include a complete vision of the institutions, its behavior, its function and its characterization.

Regarding the quantitative variables of this study, the Ecuadorian Institute of Statistics and Census, that is the current official institution to measure social perception rates. This social perception rate is measured in the principal cities of Ecuador and measures two conditions, the objective act of delinquency (murder, robbery, assault) and the subjective condition (perception of citizenship) to provide how people feel towards the institution, in this case the National Police Department of Ecuador (Ecuadorian Institute of Statistics and Census, 2011). Throughout this survey it is possible to identify the principal crimes committed in the territory, the frequency of the different kind of assaults, but most important the perception of people, this rate would help establish if the work done by the institution is effective or not, this might pull out different social relations that maintain low the perception of the institution among citizens.
The National Police Department, is the official public institution able to enforce the law, this is also the institutions in charge of publishing the numbers related to the different criminal undertakings happening daily in the territory of a country. This might imply a challenge for the research, due to the fact that he institution might be seen as "judge and jury". Nevertheless, it is the only official public institution keeping the records of the criminal acts and therefore they are the one and only source of information for this kind of rates.
CHAPTER FOUR

4.1 Institutional characteristic of

Ecuadorian National Police Department

4.1.1 National Police Department and the New Constitution

The Constitution of 2008, in its Article No. 163 remarks that National Police Department is a “public, obedient and non-deliberative institution, which possesses a civil character and it is an institution armed, disciplined, professional, hierarchical, technical and highly specialized in the protection of citizens”. To understand better this statement, it is necessary to have into consideration that, previously, the National Police of Ecuador was the institution guarantor of internal order and one of its main functions was to be the auxiliary force of the National Army and was supervised by the National Police Council (Ministry of Interior, 2012).

It is important to mention that since the 80s Ecuadorian police was characterized for following the National Security Doctrine, which included a strong military participation in public security and strong anti-subversive practices to keep civilians under control (Vallejo, 2014). The National Police enjoyed low levels of acceptance within Ecuadorian society, at the same time linking their activity to inefficiency, corruption and abuse of power (Hanashiro
One of the most important changes needed, if not the most important one, was precisely this, the demilitarization of internal security.

According to Vallejo, demilitarization implies that civilians are the ones who take actual possession of this civil organization and they are the ones to determine the participation or non-participation of the Armed Forces within internal affairs, at the same time it makes clear the division of tasks, external defense for the Army and internal public security exclusively under National Police administration (Vallejo, 2014).

The new Constitution of 2008 already included a human rights approach prioritizing a preventive policy on security. At the same time, established National Police as a centralized public organization under the rule of the Ministry of Government. Although, despite being under this Ministry, the National Police had its own legal personality and administrative and financial autonomy (Ponton, 2009). This was something unusual, considering that Police Department could take decisions without having to consult to Ministry above them.

In 2008 new Constitution, the National Police Department was set as a specialized institution in controlling crime and the maintenance of public order, internal protection, public security and that under certain circumstances it has the faculty to indorse the progressive use of force and count on the Armed Forces support when needed (Ministry of Interior, 2014). However, there are no changes in the structure and tasks, therefore it is hard to say that the Police Department inside the New Constitution had a new approach. At this point, there might been the intention to control the Police Department, nevertheless, the actions did not change a thing. Police continue to be independent in the
establishment of threats and actions in order to maintain internal security, at the same time there was no break between the institution and its traditional military background.

This, as pointed out by Pontón, shows a lack of commitment to real changes towards Human Security (Ponton, Community Police and Institutional change in Ecuador, 2009), and at the same time Police tried to position as the best and only provider of security. It is identified that Police Department needed an institutional change regarding the security needs of the period, although policy makers did not break this military tradition, and does not noticeably utter how the institution should change or the path to follow in the future. One observation during this time, and as mentioned earlier, the Police Department continued to be autonomous in its decisions, therefore there was no alignment between the institution and central power.

### 4.1.2 Institutional changes proposed for the National Police Department

Since 2006, Ecuadorian government established planning as the key for the institutional changes needed. President Correa’s speech was not only seeking for political reform but a social agreement. One of the first steps taken, was to appreciate the presence of civil authority through public investment, the ciphers in 2007 marked 7.5% of Gross Domestic Product (GDP) compared to 4.7% in 2006, for 2008 investment rose to 12.9% of GDP, and continued increasing the following years as show on the next graphic (Central Bank of
Despite the investment and the intentions of change, crime and insecurity continue to be a major concern for the State, therefore, the Executive power felt the need to take control over the security situation due to alarming criminal rates. At the same time central government was seeking to return control of public security to civil society institutions, and, finally break with the National Security Doctrine. This, as seen before was not achieved with the New Constitution, since no major change was included. Since 2008, President Correa started to take actions over security, trying to assume the leading role in the management of public safety by a successive issuing of emergency decrees, instead of socializing institutional changes.

By the year 2010 new changes took place, The Public Service Act along with the establishment of new wage rates for the National Police service, tried to include policeman as civil servants, considering this the first step into the transformation of Police Department. Once policemen were included in the civil service, some special bonuses and privileges were cut off, this decision and
the inadequate communication process generated dissatisfaction within the institution. Dissatisfaction and discomfort that ended in the September 30th riot, event qualified by the Executive as an attempted coup. This episode showed the institutional weaknesses of the National Police (Mena, 2010) and is one relevant fact that lead to the further reform instruments employed for the institution (Rivera, 2011).

After September 30th, central government proposed the implementation of new normative for the Police Department, the creation of the "Integral Security Plan" followed by the Law on Public Security, the Institutions of Public Safety Bill and the Executive Decree No. 632 marked the actual transformations of the institution with the aim of building a Police framed on the principles of Human Security. As regarded, there was an environment of change within the New Constitution, and the central power knew that changes were needed, however, it was not until this particular event that the transformations were considered. According to the Historical New Institutionalism this particular event, can be considered the critical juncture by which the restructuring process took place. At the same time, as considered by Scott, one of the pillars of institutions is normative, therefor one of the most important elements to be changed was normative regulating the National Police Department.

One of the first changes, included the transformation of the National Police into a community policing. This reformulation of police sought to create an institution that operated more efficiently at the local level, with communities. This approach pursued to generate higher levels of transparency and to revalue the work of policeman. At the same time, the National Assembly
established the Public Service Bill, this bill came with the restructuring of wages, and the recognition of National Police within regular public services. Through this proposal, remunerative scales were now established by the Ministry of Labour. Finally, the educational institutions administered by the National Police were situated under guidance of the Ministry of Education (National Assembly of Ecuador, 2010).

Subsequent, Fernando Cordero, former President of the National Assembly submitted the Organic Code of Public Safety avowing that National Police was an essential institution for the accomplishment of Ecuadorian development and that a deep restructuring was needed to strengthen it. Cordero justified the Bill on the unpredictable consequences for the country if the National Police failed as the essential institution to preserve the social life of citizens (Cordero, 2011). This Bill proposed a modernization process including the definitive exclusion of the military-type structure, establishing a civil organization linked to all the local governments and actively working within communities (Cordero, 2011). However, somehow this proposal failed due to the fact that never got implemented, since currently it is still on debate on National Assembly.

Nonetheless, new normative took place. After 2010, different decrees and resolutions were created to implement some of the changes proposed before. The next step of the Executive was the establishment of the Decree No.632 on January 2011, throughout which the Ministry of Interior became the legal and judicial responsible for the National Police Department (Presidency of the Republic of Ecuador, 2011).

Continuing with the reforms, the following proposal established by the
Executive power was the Integral National Plan of Security. This plan formulates a modernization process, to complement some of the organizational changes proposed before, here again trying to eliminate the military-type of structure to a civil kind of organization, closer to citizens and linked to local governments and within the community (Ministry Coordinator of Security, 2011). In addition, this document aroused the conception of security as a multidimensional issue, identifying several new threats related to Human Security, threats including health, education, and inequality (Ministry Coordinator of Security, 2011).

Notwithstanding, it does not include the agencies nor the organizations and Ministries to be held responsible for preventing and controlling these new threats. At the same time, it lacks the actions to be implemented, nor the role of the police in this regard, and also it lacks the strategies to ensure the inclusion of these topics in the security agenda, or even worse the construction of a model towards Human Security. Yet, this plan highlights the role of the Armed Forces as an important support of the National Police in internal security affairs, affairs including drug dealing issues. Therefore, the objective or changing the Police department, and making it closer to the community once again cannot be fully reached due to the lack of procedures to be established in order to break the military tradition.

After this long process as an institution, it has been identified an extensive work on the normative creation, intended to establish a new Police Department towards Human Security. However, it is difficult to determine if there are changes on the real praxis of the Police, because they are not easily identified. Likewise, National Police has a long history strongly linked to the
military tradition and practices, which despite the time and efforts to break apart, had not been overcome. Similarly, Police have faced credibility crisis as an institution, due to the problems associated with misuse of force, corruption and inefficiency to ensure public security. All this normative focused its concern on improving the efficiency of the Police Department (achieving professionalism on their service), as well as the incorporation of Human Security as the institutional code, the standardization of units and functions according to democratic and human rights principles, but none of the proposals include actions that would lead to the compliance of a new Police Department based on Human Security.

4.1.3 Changes in the Structure of the National Police

Department

Since 2010, the Ministry of Interior worked towards the management of National Police. This significant transformation altered the legal representation of the institution addressing civil control over the security issue for the first time. (Presidency of the Republic of Ecuador, 2011) At the same time, this proposal changed the administration order of the Police Department by implementing the administrative levels created by the National Secretariat of Planning and Development (SENPLADES), disappearing the regular provincial commands and building more units (region, district and circuit), seeking to generate closeness to citizens through the creation of police units throughout the territory (Presidency of the Republic of Ecuador, 2011).
Within the institution, a new division was created between police personnel and the new investigation system implemented by the Ministry of Interior. Now, police personnel take care exclusively of insecurity in its different ways, while these new Investigation personnel take care of the investigation and judiciary processes. The next graphic presents the titles of the different hierarchical levels of police personnel, which suffered some modification, and the number of chargers increased within the different hierarchies. However, the values that organize and guide the institution remains of those of a military nature. Unlike the practice done in other countries like Northern Ireland (Gabaldon & Antillano, 2008), Ecuador has not underlined symbolic changes on its iconography, the oath of service or the official titles to model a new police image.

### Graphic No.2 Hierarchical Levels of Police Personnel

<table>
<thead>
<tr>
<th>Hierarchical Levels in 1998</th>
<th>Hierarchical levels in 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inspector General</td>
<td>Police Personnel</td>
</tr>
<tr>
<td>District General</td>
<td>General Superior</td>
</tr>
<tr>
<td></td>
<td>General Inspector</td>
</tr>
<tr>
<td></td>
<td>General de Distrito</td>
</tr>
<tr>
<td>Colonel</td>
<td>Police Colonel</td>
</tr>
<tr>
<td></td>
<td>Police Lieutenant</td>
</tr>
<tr>
<td></td>
<td>Colonel</td>
</tr>
<tr>
<td>Major</td>
<td>Police Major</td>
</tr>
<tr>
<td>Captain</td>
<td>Police Captain</td>
</tr>
<tr>
<td>Lieutenant</td>
<td>Police Lieutenant</td>
</tr>
<tr>
<td>Sub lieutenant</td>
<td>Police sub lieutenant</td>
</tr>
<tr>
<td>Second Lieutenant</td>
<td>Police officers servers</td>
</tr>
<tr>
<td></td>
<td>Chief Petty Officer</td>
</tr>
<tr>
<td>Petty Officer First</td>
<td>Petty Officer Major</td>
</tr>
<tr>
<td>Petty Officer Second</td>
<td>Petty Officer First</td>
</tr>
<tr>
<td>First Sergeant</td>
<td>Petty Officer Second</td>
</tr>
<tr>
<td>Sergeant</td>
<td>First Sergeant</td>
</tr>
<tr>
<td>Corporal</td>
<td>Sergeant</td>
</tr>
</tbody>
</table>
The Ministry of Interior, claimed that this new Integral Plan was prepared based on three main lines of action: prevision, prevention and response, in which the structure of the National Police is proposed in terms of prevention and investigation of crimes, establishing two subsystems, one specialized on crime prevention and the second one on criminal investigation (Ministry of Interior, 2014). According to the Ministry, on the one hand, the first subsystem proposes the National Police conducting preventive actions focused on crime, including criminal analysis throughout tactical units and interagency coordination. On the other hand, the investigation system is in charge of the Police Investigation Service, which work in crime laboratories, forensic medicine and morgues (Ministry of Interior, 2014). However, the actions to be undertaken by the police are not listed, there are no specification on the practices to be included and it does not show how this system could lead to the construction of a Human Security policy.
Graphic No.3 National Police Department Decentralized services system

<table>
<thead>
<tr>
<th>Territorial Level</th>
<th>Decentralized services system</th>
<th>Investigative</th>
</tr>
</thead>
<tbody>
<tr>
<td>National</td>
<td>Citizen Security Education System</td>
<td>Judicial Police</td>
</tr>
<tr>
<td></td>
<td>Drug Prevention Comitee</td>
<td>Criminal Scene Laboratories</td>
</tr>
<tr>
<td></td>
<td>Special Units</td>
<td>Special Unit againsts kidnapping</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Antinarcotic Special Unit</td>
</tr>
<tr>
<td></td>
<td>Intelligence: Strategic Analisis</td>
<td></td>
</tr>
<tr>
<td>Zonal</td>
<td>Order Maintenance</td>
<td>Criminal Investigation</td>
</tr>
<tr>
<td></td>
<td>Migratory Service</td>
<td>Antinarcotic Department</td>
</tr>
<tr>
<td></td>
<td>Enviroment Protection Service</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Urban Tactical Operation Unit</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Video Surveillance Service</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Anti-criminal Office</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Intelligence: Security Offices</td>
<td></td>
</tr>
<tr>
<td>District</td>
<td>Patrol Service</td>
<td>Immediate response teams</td>
</tr>
<tr>
<td></td>
<td>Vehicle Safety Service</td>
<td>Domestic Violence Unit</td>
</tr>
<tr>
<td></td>
<td>Satellite Tracking Service</td>
<td>Crime Scene Investigation</td>
</tr>
<tr>
<td></td>
<td>Video Surveillance Service</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Intelligence: Delictive Information Analysis</td>
<td></td>
</tr>
<tr>
<td>Neighborhood</td>
<td>Citizen Service Community</td>
<td></td>
</tr>
<tr>
<td>(Circuit)</td>
<td>Police Immediate aid</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Patrol Service</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Intelligence: Gathering Information</td>
<td>Complaint Service</td>
</tr>
</tbody>
</table>

Source: Ministry of Interior. Elaboration: Own

Bestowing to what is presented in this figure, this process of police restructuring seeks to adapt its management in accordance to the administrative levels established by SENPLADES, while in the previous model the administrative management was based on the political division of the country (24 provinces). Theoretically, this model implies a radical transformation in the link between citizens and the institution, as the focus of change is set to the concept of units of service. These units called Police Community Units and Patrolling Community Units, which include both police and judicial services. In addition, these units will provide spaces for prevention and training workshops seeking to become spaces for interaction with the community to strength the relation and improve the perception of the Police Department (Ministry of Interior, 2014). Conferring to Garcia, these units despite the lack
of regulations and specific procedures, have developed some services including receiving complaints, care for victims, helping citizens to enter to the protection system, custody homes and personal property, the creation of community alarm systems and the timely response to the 911 system (Garcia B., 2013).

4.1.4 Functions of the National Police Department

Despite the numerous documents reviewed, and the quantity of normative intended for the Police Department, there are not much work done towards the functions of the institution. In the different proposal examined, the focus of attention is centered in the structure, organization and decision making process, however there is little work when reaching the functions of the National Police and strategies to achieve the intended goals. The particular point in the analysis is a clear example of how hard it is to break with the path dependence that exist within institutions, showing that institutions, especially strong and old institutions are resistant to their redesign. The considerations of the functions of the institution became one of the difficulties regarding the security issue in Ecuador, at the same time it becomes a limitation and a challenge for the present investigation project, however it is also a valid and a very important fact of analysis to take into account before generating any public policy since here is where policy should focus on.

The Executive Decree No. 632 is the only document mentioning the functions of the National Police. This norm not only changes the administration levels, to the ones created by SENPLADES, as mentioned above, but also recognized the functions of the National Police, keeping the ones already
existing in the National Police Bill of 1998 (Presidency of the Republic of
Ecuador, 2011).

According to the article No. 4 of the National Police Bill, the functions
of the National Police of Ecuador are as listed:

a) Maintain peace, order and public safety;

b) Prevent crimes and participate in the investigation of offenses using
the means authorized by law, in order to ensure a peaceful coexistence of the
inhabitants of the national territory;

c) Grasp offenders or suspected offenders; and take them to the
competent authorities within the period provided by law;

d) To prevent and participate in the investigation and control of drug
abuse and illicit trafficking in narcotics and psychotropic substances, chemical
precursors, illicit enrichment and land traffic in the country, in coordination
with the Intelligence System and similar national and international
organizations;

e) To cooperate with the administration of justice through the Judicial
Police Unit and other law enforcement agencies;

f) Maintain external security of social rehabilitation centers (jails) of
the country at the request of the competent authority;

g) Planning, executing and controlling traffic and transportation in the
jurisdictions authorized by law;

h) Check the migratory movement and stay of foreigners in the country;

i) To cooperate in protecting the environment;

j) Collaborate to social and economic development of the country;

Guarantee the rights of people and the protection of their property,
especially of minors, women and the family in its fundamental goods, enshrined in the Constitution of the Republic, laws and international treaties ratified by Ecuador; and, the others determined by the Constitution of the Republic and the Laws

As listed above, these functions are a throwback in the administration of Police Department. They do not represent the changes intended for the institution, at the same time, they are out of date, there are not clear strategies to fulfill the goals that the Executive power pursued. These functions can be part of the explanation of the incomplete and unsuccessful institutional change of the Police Department. Apparently, central government took the first step towards institutional change, however this step was an incomplete one, considering that there are no specifications of how the institution should carry on with the duty given. Among the proposals and documents, elements of normative changes have been identified, although still exists a big gap between the regulations and the practices proposed for the institution.

4.2 Behavior of the Criminal Rates since 2008

As specified by the UN, Police as an institution, is the most visible representation of the relations between the Government and its citizens, and its actions have significant consequence in the legitimacy of security policy (United Nations Trust Fund for Human Security, 2009). To measure the actions of the police is a hard task, especially as the Human Security practices are not fully visible when analyzing the theoretical proposals. According to Salomon, the image of the police is directly related to its performance, and idea that is
associated with the gap produced by the increase of crime rates and the ability of the institution to deal with it (Salomon, 2004). Therefore, one of the tools to analyze the work of the institutions is to measure its results according to crime rates.

Since 2008, when central government was framing the institutional changes for the Police Department, one of the main concerns was the public security issue. Bestowing with the analyses made by the UNDP in Ecuador, security was deteriorated considering the levels of insecurity as epidemic (United Nations Trust Fund for Human Security, 2009). Under the changes made in the region during that period of time, it was expected that the crime rates diminished according to the achievements gained (economic growth, decrease on poverty rates, and low unemployment rates), however, the region suffered a heavy burden of violence with more than 100,000 homicides registered per year, fitting to the figures provided by the UNDP (United Nations Trust Fund for Human Security, 2009).

According to the regional report of 2014, Ecuador, like other countries had terrible homicide rates, with levels of epidemic violence, accompanied by the increased of fear and insecurity among citizens (United Nations Trust Fund for Human Security, 2009). At the same time, the Ministry of Interior tried to demonstrate the efficacy in the actions taken on the Police Department. The Ministry created the Integral Security Statistics Report on 2014, this report was one of a kind, and presented the data collection given by all the organizations related to security under the management of the Ministry Coordinator of Security. The major figures showed in this report are:
Graphic No. 4 National Homicide rate per 100,000 inhabitants (2008-2014)

Source: Ministry of Interior, 2014

Graphic No. 5 Total number of weapons seized and abandoned (2008-2014)

Source: Ministry of Interior, 2014
From these charts presented by the Ministry of Interior, the remarks showed the focus of National Police on reducing the number of homicides, arm control and the raise of prison population. In this report, the Ministry of Interior made special effort on the comparison between 2012 and 2013 rates, emphasizing the diminishing of 6.7% on theft to pedestrians, 26% on murder, 23% on sex assaults and 6% on death by traffic accidents. In this report, the Minister put special effort saying that the achievements where accomplished due to the institutional changes, that the tradition police model could have not fought against the new kind of threats. However, this report is sort of doubtful, not on its figures but on the speech held by the Minister (Ministry of Interior, 2014).

Regarding the criminal rates objective, the positive outcome on the numbers show an improvement on criminal rates, as presented on figure No.4,
since 2008 homicides have been constantly reducing in the country, which is a
good first symptom for public security. However, the figures do not necessarily
represent a new focus on security, the crimes index presented are related more
with traditional public violence, such as theft and murder. As presented in
graphic No.7 the only figure still being consider by Police goals in the homicide
rate, not including any new threats. At the same time, as revised previously, the
institutional changes generated were oriented only to an administrative
nomenclature, it is hard to prove that the changes improved the figures.
Conversely, these indexes do not necessarily represent a change of strategy
towards Human Security, as it has been pointed out, there are still doubts as to
the institutional change arising from the contradictions of the regulations, as
well as the opacity of the proposals.

Graphic No. 7 Historic Chart of National Homicide rates

Source: Ministry of Interior, 2016

By no means this work fails to recognize the improvement presented in
the report, however it is questionable if the figures presented reflect or represent an institutional shift towards building Human Security. At the same time, the establishment and measure of threats are not far from the traditional view of violence, leaving aside issues related to other elements of Human Security such as education, health, economic development and so on.

4.3 Behavior of the Main Social Perception Rates since 2008

Considering that one of the objectives of Human Security is the trust building between institution and citizen, it can be said that public perception index is the indicated measure, as it tries to present the feeling of citizenship about the job done by the National Police Department. This index is being considered in this research to contrast the insecurity perception of citizens with the statistics presented by the Ministry of Interior. At the same time, as stated by Dammert, this kind of index are a valuable tool for policy making, in the improvement of the institution image, and the communication channels between institution and the community (Dammert L., 2007).

In Ecuador, the perception rate and the victimization index was presented by the Ecuadorian Institute of Statistics (INEC). In Ecuador, according to the last victimization survey held in 2012, 17 out of every 100 people have been victimize of a crime, of those, 18.54% did no reported to the authorities since they do not trust National Police. On other issues related to insecurity, INEC pointed out that 50.2% of people think that their neighborhood is unsafe, and
this figure increases when asking how insecure the person feels in the city it
inhabits, where the national average figures shows up to 83% of people who
feel their city is unsafe, followed by the 77.3% of people that believe crime
increased in the city they inhabit (Ecuadorian Institute of Statistics and Census,
2012).

With regards to the possible causes of crime, 23% of the population think
that unemployment is the main cause of crime, other 18.65% think that it is due
to drug dealing issues and only 9.64% think is due to the lack of policeman.
(Ecuadorian Institute of Statistics and Census, 2012)

Regarding institutional trust, the same survey determined a rating of 5.93
over 10 for the Special Police Department on family issues, 5.8 on the rating to
qualify the action held by the Ministry of Interior and only 4.75 to qualify
community police units. Although, 52.3% of people believe that the National
Police Department is the institution that should be responsible for internal
security against the 11.65% who think it should be the Ministry of Interior
(Ecuadorian Institute of Statistics and Census, 2012).

On international perspective, it is hard to tell. The United States
Department of State, in its Ecuadorian report for 2015 qualifies the country with
a critical crime rating, being crime a severe national problem including armed
robbery, kidnapping and sexual assault with a very low rate of apprehension
and conviction of criminals due to limited police and judicial resources (United
States Department of State, 2015). The US State Department notes that changes
have done little to improve police`s reputation, marred by endemic corruption
as well as widespread human right abuses. These include unlawful killing, use
of excessive force and arbitrary arrest, also impaired by poor hiring procedures
and insufficient training, supervision and resources (United States Department of State, 2015). According to the Vanderbilt University’s Latin America Public Opinion Project (LAPOP), the insecurity perception remained consistent, in 2001 the level was 46.6 points over 100 and this figure continued until 2010, with minor variations, and that still Ecuador had the 5th highest perception of insecurity in the region (The AmericasBarometer by the Latin American Public Opinion Project, 2012).

Pondering that, the main idea of the institutional changes was related to generate a rapprochement between the National Police and the citizenship, it turns out hard to establish the relation considering that the population has an average level of confidence in the institution. This could be the reflection of little change done inside the institution, or that the normative presented does not include a deep change on the organization, not enough to generate the expected confidence and recognition.

At the same time, the problem here evidenced is the lack of tools to analyze the police practices and performance, while it can be argued that institutional changes advocated by the Ministry of Interior are not entirely efficient or even obvious since they do not generate a link between citizens and the institution. It is true that in the crime issues there is a better control, according to the figures presented above, however at the time of linking the actions and the perception of people there is still a vacuum. Some of the observations presented the non-inclusion of new threats to internal security, no strategies for protecting people against this whole new conception of threats, and the fail to break the traditional security scheme which could lead to the eventual failure of the institution moving towards Human Security.
Irreversibly, if the figures, are as positive as presented above then citizen perception on the institution should have improved, nevertheless in Ecuador there is a remaining feeling of insecurity, which in an unintended consequence. This particular result indicates that despite the hard data showing positive results on crime rates, citizens in Ecuador do not feel the same way, therefore there is a problem related to the communication channels, there is something missing between the institution and the people, not only to have good results but to improve their institutional perception.

4.4 General Findings of the Analysis

According to the previous analysis, the evidence shows that there have been some changes instituted for the National Police Department of Ecuador. The changes however, are baby steps on the main objective of transforming public security towards a Human Security approach. It is important to denote that since 2006 Ecuadorian government started this wave of institutional changes and national planning, which is something completely new for Ecuador, despite its old democratic tradition. At the same time, despite the many changes proposed for the whole system, in the case of the security institutions changes come later than other sectors.

Throughout this chapter it is showed the difficult tasks involved in the change of an institution, which shows how resistant are institutions to change, once they have already established in the mind of the social collective. This analysis presents the reflection of an institution that suffers changes throughout
the time and the needs of people. A police department that tries hard to establish as the only and best option to provide security, supported on the Human Security framework. Although, at the same time, Ecuadorian Police is an institution born supported by a powerful an extended military tradition, and this tradition despite de constant attempts cannot disappear. An institution whose history is littered with crises and difficulties, characterized by its inefficiency, corruption and a negative trait. An institution that is resistant to change. Among the various normative and proposals analyzed, elements of change are identified, although still there is a gap between the regulations and plans thoughts and the real practices of the Police Department. At the same time, the indexes analyzed, graphics show constant positive outcomes, and this is a good sign for the Ministry of Interior to keep on working towards the institutional change of National Police Department. Due to graphics ensuring the continuity of the strategies applied, however, these are just a fraction of the difficulties related to public security issues.

Regarding the development of the National Police Department, it has been already stated that, despite the rules, normative and attempts to change, they do not reflect a break point with the military nature of the institution. It becomes necessary to applied different strategies that include a wider consideration of new threats linked to public security, especially the ones included in the Human Security framework, as well as the interaction with the rest of actors in the security system.

At first glance, the numbers presented by the Ministry of Interior reflected a positive change, and somehow it is, nevertheless, the analysis shows a deep problem when considering the perception of citizens. Although, perceptions
might be perceived as a subjective feeling, they are a sample of the current situation of the country. The acceptance of the police work remains low, which means that there is still work to be done in terms trust between the institution and the citizenship. This could be either a reflection of an inexistent communication among them, or a relationship of uncertainty between the actors involved. These considerations can be useful for further studies to complement this analysis and obtain better results in advance to institutional change of the National Police Department of Ecuador.
CONCLUSIONS

The engagement of policymaking implies the obligation not only to take into account the desire of change, nor the science, but the political, economic and social factors included in the hard task of creating and implementing public policy. It is important to understand the environment and social necessities among one community in order to create policy that suit their needs, in this process, history plays an important role to understand society, structure and its evolution, therefore historical analysis has been a foremost part of this analysis.

Internationally, Human Security and Public Safety are concepts that have great acceptance and recognition. This study soughed to highlight its application in the proposed reform for the National Police Department of Ecuador. The objective of this study was to identify, throughout the use of the New Institutionalism approach, how the institutional changes proposed for the National Police Department of Ecuador are overhauling the framework of Human Security. Despite the efforts to change the institution, people still feel discomfort and distrust when referring to the National Police Department, this was one of the motivation for this analysis, in order to provide evidence through a historical analysis and conclude if there is any real change, how was the process, the actors involved, and at the same time to provide information to improve the public policy process and the communication strategies to citizenship.

Outcomes:
Regarding the analysis of Human Security, it can be mentioned that it is considered broad and diffuse concept still. However, these characteristics allow governments use it in diverse modes, creating new strategies towards public security. It is important to mention, that the notion of Human Security is becoming increasingly popular on the international agenda, due to the large number of threats that are considered within it and most important due to the changes proposed against the classical sense of security (the recognition of the human being at the center of the security issue), especially in Latin America where it is used to conceptualize the security issue. However, this advantage can be also a difficulty when establishing not so clear policy and strategies for its implementation. It is important the recognition of new menaces and the necessities of change nonetheless this attempt to include every threat to a society as a security issue, might complicate too much the procedure of creating policy, of adjusting actors and gathering consensus. At the same time, giving government the faculty to decide what is a security threat could lead to the militarization of internal security, as the State becomes the only and best actor to provide security, therefore there is still a need of further development in terms of Human Security and possible strategies for countries to applied. Possible strategies to overhaul Human Security include: doctrinaire changes contained in strategies such as the demilitarization of internal security, the establishment of an autonomous police department, separated from the possible political junctures. The incorporation of mechanisms of control, organized by processes and objectives that could be monitored, seeking the best performance of the police actions and the efficient and transparent management. Furthermore, comprehensive strategies in their social outreach and human
development oriented.

To use the Human Security, implies the necessity to establish as a principle the search for harmony in the social relations, governed by social commitment and no longer under the classical logic of law enforcement against internal enemies of the State, but against a large range of threats to human development. Security institutions should work towards the inclusion of citizens in the construction of policy, to keep the real essence of human as the main center of policy.

Referring to the reform of the National Police, one of the first observations, suggests that the institution should have been included in the planning process established by Correa’s government, at the beginning of the 2006 term. The 2008 Constitution legitimized the national planning process, however, the changes for the National Police came latter. At that time, Police Department had a fragile institution, however at first, institutions related to internal security were not included in the upsurge of restructuration. It is not clear why the government did not include National Police in the first attempt of restructuration in 2008. Probably due to the importance of National Police, and its path dependence of a strong military history, thus, central government did not set strategies or a policy to effectively change the institution. Resulting, in the lack of coordination between central government and the National Police Department, and finally with the number of proposals and draft that seek to transform the National Police. Taking in consideration the statement of Sociological New Institutionalism, this relation between the Police and its military tradition can justify the difficulties to establish changes, driven by its practices and its long relation with military tradition.
Continuing with the analysis, an essential component in the process of change is the relation of the institutions. On the one hand, the poor perception of citizenship against the institution, generate a demand of the population for greater security. The feeling against the institutional capacity, inefficiency, corruption, and its military tradition undermined their authority and evidenced the need for transformation. On the other hand, the choice of Human Security as a framework, based on the international agenda being adopted by other governments, especially in the region where Human Security is being used as the tool in the creation of the concept of security, settled a precedent for its use by the Ecuadorian government.

Among the new proposals presented by the Executive, it can be mention the Organic Law of Public Safety Institutions, the National Security Plan, the Law Amending the Law on Public Security and the State, and finally the Executive Decree No. 632. From the Organic Law of Public Safety Institutions, the changes include the transfer of assets and liabilities of the National Police to the Ministry of Interior. The transfer of planning, regulation and control of transportation system to local governments. The transfer of immigration processes from a police service to a civil service, and the administration of prisons to the Ministry of Justice. The reforms suggested, were proposed in order to break the already criticized militarization of public safety, which is the most significant change in the search of Human Security. And yet, this reform remained in paper, due to its current debate on Assembly. Nevertheless, the administrative changes were done through the Executive Decree No. 632.

From the set of rules and normative proposed by the central government it is denoted the intention of transformation, which as pointed by the New
Institutionalism, is one of the major considerations for institutions to restructure. Nevertheless, these changes are rather administrative issues and not so representatives in terms of the overhauling of Human Security approach, since over the reviewed normative exist a strong binding of the institution to its military tradition, which cannot yet be overcome. The changes, or the attempts to change the institution were taking into consideration once the institution planned a coup, therefore it can be understood the lack of trust between central government and National Police, at the same time central government did not show interest in the restructuring process until this point. It could be also considered as a justification in terms of improving efficiency, however the bottom of this might be to reassure the control of internal security and the alignment of National Police to the requirements of central government.

Likewise, there is a lack of strategies to include new types of threats. The current police work description is not different from the traditional criminal control that has been doing already since its creation. Additionally, there is a lack of definition of other actors needed to build a Human Security approach, nor strategies that include issues related to health, education, environment and so on, needed in the implementation of Human Security.

The use of criminal rates and social indexes is essential to analyze, monitor and evaluate strategies, therefore the National Police try to demonstrate its effectiveness throughout these statistics. Regarding the rates presented in this investigation, it can be mentioned that the institution justifies the administrative changes that have been implemented by reducing crime figures. However, regarding the perception of the citizenship, it makes visible that there is still a high level of victimization and rejection or uncertainties against the National
Police. Although, there is a subject factor involving perception rates, the numbers show an evident need for the Police Department to have the confidence and acceptance of citizens.

The trend towards Human Security is not something unique from Ecuador but as a part of the international trend of change in security issues an analysis, specially a strong discourse used in Latin America. A concept that highlights the interest in the human development, however a concept in construction. Good initiatives with great success although still insufficient and ineffective in terms of applicability. Therefore, it is imperative for the government of Ecuador to enhance the definition of threats and strategies in order to build better security policy.

It is true that there have been variations in the National Police, both the President and the Minister of Interior emphasize steadily the ongoing work regarding the changes that have been implemented within the institution. However, in the analysis, it can be said that these changes are largely administrative and in favor of the central government. It seems more like an attempt to control the police force, which is a pivot institution of society, and to guaranty government as the only provider of security, especially since the changes include the limitation of operational functions to crime prevention and investigation.

Institutions remain over time, and constitute the basis of social construction. Nonetheless, institutions are not highly malleable, in this case there are the reflection of the lack of planning, and its strong military tradition which is visible in the multiple documents and normative attempting to change the institution, as well as the remaining feeling of insecurity. There is no
intention on detract in any way, the progress and improvements achieved, specially in professionalization, infrastructure and criminal rates, however, it is intended to recognize that there is no change in the doctrinal sense of the institution. It is precisely this factor the one that hinders the establishment of the Human Security approach. Finally, it is important to consider the improvement in the channel communications between government and citizenship and they need of Ecuadorian government to keep working on the improvement of institutions, strong institutions that can work by themselves and not depending of the political will of the government in turn.
SUGGESTIONS AND POLICY RECOMMENDATIONS

Through this analysis, it has been evident that there exist certain mismatches between theoretical expectations and real evidence about the transformations of the institution. As in many other countries, Ecuador is no exception of the difficult task that involves the creation and implementation of public policy, and the existing study case has been a little evidence of it. Nonetheless, these difficulties also represent opportunities for the continue improvement of the institutions, in this particular case for the National Police Department.

In Ecuador, planning became the most important tool for development. Despite the great effort made by central government in the pass years, planning still presents its challenges, especially in the implementing stage. It is important for Ecuadorian policy makers to improve the planning and implementing system. It is important to reevaluate policies to align better institutions to the National Plan.

The findings present the importance of institutions among societies, as the representation of the actions and historical tradition. Conversely, institutions also represent the need of change and constant improvement, therefore National Police should keep in the changing process to achieve fully the Human Security approach proposed for the institution.

According to the normative analyzed, there is still a lot of work to be done for National Police Department to overhaul the Human Security approach. In terms of threats recognition and strategies to be implemented. It is
recommended the work with other actors of the policy making process. Once the threats have been recognized, it is important to include the other Ministries to work towards security. Related to this, the institution, especially the Ministry of Interior should work in the creation of new strategies that include the new elements of Human Security.

One of the possible errors found is the lack of strategies in terms on communication channels. First, in the relation central government-institution. Since the beginning of the change process, the lack of coordination between the central authorities and the police authorities created a feeling of discomfort and disbelief. Therefore, it is recommended, to include the active participation and socialization of the actors involved, especially the participation of the Police Department as the main actor of the security sector. Second, in the relation institution-citizenship. Despite the efforts and even the numbers on criminal rates, there is still a feeling of skepticism among citizens, therefore, it is recommended a new approach on the communication channels to the society. It is recommended a campaign to socialize not only the achievements in numbers but the policies services.

Successful public policies experienced in other countries show that appropriation of public spaces helps security improvement, it is recommended to design public policies in order to include the participation of the society and to shape harmony in the social relations. To have a more secure city, active participation of citizenship is a must, therefore it is recommended to take in evidence other security practices implemented in similar cities and encourage people to active participation in society.
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국문초록

에콰도르 경찰청의
인간안전보장에 관한 연구

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정책결정에 관한 제도는 정부의 구성과 사회적 질서의 기반이 되므로 행정에서 필수적인 요소가 된다. 이 연구는 이러한 제도 중에서도 인간안전보장에 관한 제도에 초점을 두고, 신도주의적 시각에서 질적인 접근을 통해 에콰도르 경찰청의 제도적 변화를 설명한다. 그리고 이를 통해 인간안전보장의 개념들에 대한 이해를 제고하고자 한다. 그리고 제도의 재구축 과정에 영향을 미치는 행위의 패턴, 규범, 규정과 관계 등을 확인하는 것이 이 연구의 목적이다.

에콰도르의 역사에서 기획은 공공정책 결정에서 많은 역할을 수행해 오지 못했다는 점이 행정적 특징이다. 2008 년 폭력과 범죄가 증가하여 시민들의 불안감은 증폭되기도 하였다. 다만, 현 대통령인 Rafael Correa 와 새로운 헌법 아래에서 기획이 주요한 과정으로 간주되기도 하였으나, 경찰청은 이러한 변화에서 한 걸음 떨어져 있었다. 이에 따라 국가 내부적 안보에 대한 투자가 증가하였음에도 불구하고 여전히 경찰청은 신뢰를 받지 못하는 조직으로 남게 되었다. 이러한 맥락을 고려하여, 이 논문은 2010년 이후 중앙정부에 의해 제안된 경찰청 제도 변화를 다루었다. 비로소 현 정부에 들어서서 에콰도르 제도의
발전에 핵심적 요소가 되었기 때문에 현 정부 이전과 이후를 비교하여 제도적 변화를 확인하는 것은 의미가 있다.
정책결정자들이 제도의 필요성에 관해 이해할 수 있도록 중요한 지침을 마련하여 제도에 관한 낮은 인식을 극복하고 인간 안전보장에 전기를 마련할 수 있도록 한다는 것이 이 논문의 함의이다.

주요어: 신제도주의, 인간 안전보장, 제도적 변화, 경찰청, 에콰도르

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