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AFRICAN UNION BORDER PROGRAM
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DRAFT AFRICAN UNION STRATEGY FOR ENHANCING
BORDER MANAGEMENT
IN AFRICA

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Abbreviations

Acronym	Full Form
ACV	Agreement on Customs Valuation
APSA	African Peace and Security Architecture
ARA	Autonomous Revenue Agencies
ATGW	Anti-tank Guided Weapon
AUBP	African Union Border Programme
AUC	African Union Commission
BCP	Border Control Post
BIP	Border Inspection Post
CAAU	Constitutive Act of the African Union
CEWS	Continental Early Warning System
COMESA	Common Market for Eastern and Southern Africa
DDR	Disarmament, Demobilization and Reintegration
DHR	Department of Human Resources
DPA	Department of Political Affairs
DPS	Department of Peace and Security
DRC	Democratic Republic of Congo
DSA	Department of Social Affairs
EAC	East African Community
ECOWAS	Economic Community of West African States
GLR	Great Lakes Region
IBM	Integrated Border Management
IC/GLR	International Conference on the Great Lakes Region
ICPO-INTERPOL	International Criminal Police Organization
ICS	Inland Control Station
IDDRS	Integrated Disarmament, Demobilization and Reintegration
IDP	Internally Displaced Person
IGAD	Inter-Governmental Authority on Development
IOM	International Organization for Migration
LC	Legal Council
MANPADS	Man-Portable Air Defence System
MOU	Memorandum of Understanding
NEPAD	New Partnership for Africa's Development
OAU	Organization of African Unity
OIE	Office International des Epizooties/The World Organization for Animal Health
PRC	Permanent Representatives' Committee
PSC	Peace and Security Council
REC	Regional Economic Communities
SADC	Southern Africa Development Community
SALW	Small Arms and Light Weapons
SSR	Security Sector Reform
UNODA	United Nations Office for Disarmament Affairs
UNAFRI	United Nations African Institute for the Prevention of Crime and the Treatment of Offenders
UNICRI	United Nations Interregional Crime and Justice Research Institute
UNODC	United Nations Office on Drugs and Crime
WCO	World Customs Organization
WTO	World Trade Organization

EXECUTIVE SUMMARY

The *Strategy for Enhancing Border Management in Africa* is a *de rigueur* instrument developed to improve the security of borders and to facilitate easy movement of people and goods among AU Member States; which in turn, enhances regional and continental cooperation and integration in Africa.

The Strategy is built on the understanding that African countries have not sufficiently secured their borders to prevent crime and encourage beneficial cross-border trading. The AU, therefore, has found it necessary to support its Member States to enhance the management of their borders in a manner that promotes peace, security, and development.

The Strategy is based on three pillars, namely: (i) cooperation and coordination, (ii) capacity building, and (iii) community involvement. The first pillar focuses on the need for collaboration by border management actors at all levels, and this concept is adopted as best practice from the IBM model, which is widely used among European countries. To define it formally, IBM is an approach that:

1. Addresses in an all-inclusive manner the interconnected obstacles to the free flow of trade and traffic at border crossings, insecurity, crime and smuggling across borders; and
2. Demands the various authorities and agencies involved in these areas (especially border control and customs) to work together on common problems, rather than working separately and often at cross-purposes.

The second pillar places emphasis on capacity building through institutional reforms, acquisition and proper use of modern technology, and continuous training of personnel based on the needs and changing nature of African borders.

The third pillar anchors the strategy on the inclusion and active involvement of local communities in the management of border.

The philosophy behind the three pillars underpinning this Strategy is that by cultivating a culture of cooperation and coordination, by developing dynamic and self-transforming institutions, by strengthening performance through enhanced capabilities, and by embracing the positive contribution of local stakeholders, it is possible for border management actors to increase their efficiency and effectiveness.

This Strategy document is divided into eight chapters. The first chapter is the introduction. The second chapter lays out the policy framework for border management in Africa. The third chapter highlights issues in border management in Africa and the on-going efforts on the part of African countries, regional initiatives and the AU to meet border management challenges. Chapter Four lays down the foundation of enhanced border management in Africa based on the three pillars. Chapter Five focuses on the institutional framework and actors involved in border management in Africa. The strategy for enhancing border management is elaborated in Chapter Six while the roadmap for implementing it is drawn in Chapter Seven. The last chapter focuses on how the strategy will be monitored and evaluated.

1. INTRODUCTION

The Declaration on the African Union Border Programme (AUBP) and the Modalities for the Pursuit and Acceleration of Its Implementation made in Addis Ababa, Ethiopia, in March 2010, paved the way for the development of this Strategy for Enhancing Border Management in Africa. This Declaration builds on a number of initiatives which include the Declaration of the African Union Border Programme and Its Implementation Modalities of July 2007 and the 2004 – 2007 Strategic Plan of the African Union Commission. The July 2007 Declaration stressed “the need to put in place a new form of pragmatic border management, aimed at promoting peace, security and stability, but also at facilitating the integration process and sustainable development in Africa.” Indeed, among the justifications laid out in the July 2007 Declaration was the need “to address cross-border criminal activities.” On its part, the 2004-2007 AU Commission Strategic Plan sought to accelerate the achievement of peace and security, socio-economic integration and sustainable development in Africa through a border programme that would demarcate and manage African borders.

The Strategy for Enhancing Border Management in Africa is based on a general understanding that despite continuous efforts at both national and regional levels, border management in Africa is far from satisfactory in accomplishing the purposes of enhancing regional and continental peace, security, and integration. One of the purposes of border management is the prevention and elimination of cross-border crimes such as illegal trafficking of weapons, drugs, goods and people; illegal migration; piracy, insurgency and terrorism; illegal exploitation and destruction of natural resources; auto theft; and cattle rustling. Most of these criminal acts are aggressively pursued in highly organised and complex ways that spread out regionally and globally.

The other purpose of border management is the facilitation of the lawful movement of people and legitimate trading interactions. Whether it is the simple exchange of goods between immediate neighbours across the border or something involving large amounts of imported and exported goods, trade provides economic and social benefits not only to the businesses that are directly taking part in it but also to people who are the ultimate users of the goods and governments that generate tax revenue. However, the prevalence of insecurity along territorial borders stifles legitimate commercial activities and replaces them with illegitimate ones, which denies local communities and governments economic benefits.

The Strategy for Enhancing Border Management in Africa draws its significance and legitimacy from a series of resolutions, conventions and agreements other than the Declarations cited above. African border-related issues date back to the early years of decolonization and to the establishment of the Organization of African Unity (OAU), which in Resolution AHS/Res. 16(I) of 1964 called for the respect of colonially-inherited boundaries. This Resolution is one of the first acts in Africa directed at mitigating border-related conflicts, and provided the basis for AU’s peace, security integration and development agendas.

The Strategy for Enhancing Border Management in Africa is guided by the Constitutive Act of the African Union (CAAU); the OAU’s Resolution CM/Res. 1069 (XLIV) on peace and security in Africa (1986); the Memorandum of Understanding on Security, Stability, Development and Cooperation in Africa (CSSDCA) (2002); and the Decision (Assembly/AU/Dec.145 (VIII)) of the

8th Ordinary Session of Heads of State and Government of the African Union (2007), the 2007 Declaration that established the AUBP and empowered it to undertake efforts to enhance border management, and the 2010 Declaration that called on AU Member States to strengthen “cross-border cooperation in the area of the prevention and fight against terrorism and cross-border crime, including drug trafficking, and other cross-border threats, such as piracy and other illicit acts on sea.”

Based on this understanding, the Strategy emphasizes the significance of the existing regional, continental and international regimes, agreements and guidelines to prevent and combat cross-border crimes and to promote easy border crossing for legitimate activities. In so doing, the Strategy draws from key instruments, and recommends that AU Member States and the regional economic communities (RECs) adopt them during the implementation phase.

The Strategy for Enhancing Border Management in Africa aims to promote peace and security through: (i) cooperation and coordination of border management agencies, (ii) capacity building of border management personnel and agencies, and (iii) community involvement in management of borders. To start with, the Strategy puts high premium on cooperation and coordination among border management stakeholders using the Integrated Border Management (IBM) approach. Therefore, the Strategy is designed to coordinate and integrate border management policies, procedures and activities, both vertically and horizontally, and to harmonize them at local, state, regional and international levels.

Secondly, the Strategy for Enhancing Border Management in Africa puts great emphasis on capacity building through institutional reforms, acquisition and proper use of modern technology, and continuous training of personnel based on the needs and changing nature of African borders. Thirdly, it is anchored on the active involvement of local communities in border management.

This Strategy is backstopped by the rising awareness that African countries are increasingly being challenged by rapid and drastic local, regional and global changes that affect the day-to-day tasks of keeping national borders safe for citizens. By cultivating a culture of cooperation and coordination, developing dynamic and self-transforming institutions, strengthening performance through enhanced capabilities, and embracing the positive contribution of local stakeholders, it is possible for border management actors to increase their efficiency and effectiveness.

Last but not least, this effort to draw up a continental border management strategy is supported by Articles 3 (j) and 3(l) of CAAU, which mandates the AU, among others, to “promote sustainable development at the economic, social and cultural levels as well as the integration of African economies” in order “to raise the living standards of African peoples,” and to “coordinate and harmonize the policies between the existing and future Regional Economic Communities for the gradual attainment of the objectives of the Union.” Once fully implemented, this Strategy will significantly contribute to the attainment of these noble objectives.

2. POLICY FRAMEWORK FOR THE MANAGEMENT OF BORDERS IN AFRICA

Borders are critical instruments in the political, social, economic and cultural interactions among African countries and people. This realisation of the importance of borders in enhancing or undermining regional and continental integration is highlighted by the AU initiatives to turn borders from barriers into bridges by allowing African people to easily and conveniently cross them, engage in productive cross-border trading activities, and carry out their socio-cultural responsibilities. Positive interactions such as these increase the bond between states and citizens, and safeguard their long-term security, stability and prosperity. At the same time, African borders must be closed to illegal and criminal activities that threaten human and national securities.

Despite the awareness of border-related benefits and threats there has not been a common approach and concerted efforts in forms of policy formulation and other responses at national, regional and continental levels to enhance border management.

2.1. AU Member States' Responses to Border Insecurity

The primary responsibility of managing borders is on states that have to put in place the necessary mechanisms in form of agencies, systems, policies, laws and procedures. Governments are constitutionally empowered to maintain border security not only as a requirement of maintaining national sovereignty but also as a measure of protecting human security of the citizens.

The changing nature of borders and the challenges of managing them due to technological advancement have rendered the traditional approaches—such as tackling border management problems by a single country or the mounting regimes of tightly secured borders—obsolete. While some African countries are certainly aware of this trend, they have yet to adopt modern and integrated approaches to border management. The AU and RECs have taken up this challenge to enunciate strategies and policies that enhances border management at continental and regional levels with an understanding that states are key players.

2.2. Regional Economic Communities' (RECs) Intervention

RECs have thus far played a significant role in supporting their member countries with regard to border management as with other key issues. They have given them real and timely assistance through facilitating various initiatives and mechanisms for, for instance, coordination with neighbouring countries and other regions. Regional, bilateral and multilateral agreements, resolutions, policies, strategies and programmes have been developed and implemented. The following list highlights some examples of resolutions and agreements made by RECs to enhance border security:

- The ECOWAS Declaration of a Moratorium on Importation, Exportation and Manufacture of Light Weapons in West Africa (1998)
- The Economic Community of West African States (ECOWAS) Protocol Relating to the Mechanism for Conflict Prevention, Management, Resolution, Peace-Keeping and Security (1999)

- ECOWAS Protocol A/P.1/5/79 Relating to Free Movement of Persons, Residence and Establishment (1979)
- ECOWAS Convention on Small Arms and Light Weapons, their Ammunition and Other Related Materials (2006)
- Project on Curbing Proliferation of SALW in the EAC Region, initiated by the EAC Secretariat with GTZ assistance (2006 – 2009)
- The Nairobi Protocol for the Prevention, Control and Reduction of Small Arms and Light Weapons in the Great Lakes Region and the Horn of Africa (2004)
- The Dar-es-Salaam Declaration of the International Conference on the Great Lakes Region (ICGLR) to strengthen bilateral and regional cooperation in the area of defence and security (2004)
- The SADC Protocol on Control of Firearms, Ammunition and other related materials (2001)
- The Nanyuki Memorandum of Understanding on the Regional Counter Terrorism Strategy (2006)
- The IGAD initiative on the Disarmament of Pastoralist Communities (May 2007)
- The ICGLR Pact on Peace, Security and Stability of the Great Lakes Region (2006)

2.3. AU Border Management Policy and Strategy Agenda

2.3.1. Legal and Regulatory Measures

For the past three decades, the AU and its predecessor, the OAU, have clearly and repeatedly stated their positions on border security in Africa through a series of resolutions, decisions, policy directives, and strategies, as illustrated below:

- The Bamako Declaration on an African Common Position on the Illicit Proliferation, Circulation and Trafficking of Small Arms and Light Weapons(2000)
- The Kampala Declaration and Recommendations on Refugees, Returnees and Internally Displaced Persons in Africa (2009)
- The Ouagadougou Action Plan to Combat Trafficking in Human Beings, Especially Women and Children(2006)
- The African Charter on Human and Peoples Rights (1981) and its Protocol relating to the Rights of Women (2002)
- The African Common Position on Migration and Development (2006)

- The Migration Policy Framework for Africa (2006)
- The AU Commission Initiative against Trafficking Campaign as part of the overall Programme of Activities of DSA on Migration and Development for 2009-2012
- The AU Plan of Action on Drug Control and Crime Prevention(2008)
- The African Union Plan of Action on the Prevention and Combating of Terrorism(2004)
- The OAU Convention on the Prevention and Combating of Terrorism (1999)
- African Union Convention on Preventing and Combating Corruption (2003)
- The Common African Position on Anti-Personnel Landmines (2004)
- The Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-Personnel Mines and on Their Destruction (1997) (the Mine Ban Treaty)
- The Declaration of the African Union Border Programme and Its Implementation Modalities as Adopted by the Conference of African Ministers in Charge of Border Issues (2007)
- The Declaration on the African Union Border Programme and the Modalities for the Pursuit and Acceleration of Its Implementation as Adopted by the Conference of African Ministers in Charge of Border Issues (2010)

Despite this elaborate list of activities, there is a need for harmonising and consolidating them so as to ensure the implementation of the specific border management clauses in these documents. The Strategy for Enhancing Border Management in Africa should therefore be viewed as an important step taken by the AU to consolidate, coordinate and synergize the isolated policies, initiatives, and efforts on border management in Africa.

2.3.2. Establishment of the AUBP and its Mandates

Based on the principles of *subsidiarity* and the *respect of the sovereignty of States*, enshrined in the Constitutive Act of the African Union (CAAU), the African Union Commission (AUC) is implementing the AUBP as an instrument that enables AU Member States and RECs to cooperate on matters related to border management in the continent. This aim was underscored in June 2007 by the first conference of Ministers in charge of border issues in Africa. Since then several measures have been taken including the creation of a unit within the Department of Peace and Security (PSD) in the AU to the implement the AUBP and conducting of regional workshops to promote it. In March 2010, the second conference of Ministers in charge of border issues in Africa directed the AU Commission to accelerate the implementation of the AUBP after acknowledging a number of its achievements and challenges it has faced since its launch.

It is important at this point to ensure that the AUBP is moving ahead to implement the tasks assigned to it in the two declarations. The development of this Strategy is an essential step taken to implement the AUBP's strategic objective of assisting in the management of African borders. It

is also important to point out that the AUBP draws its strength and legitimacy to spearhead the AU border management agenda from a number of sources. These include:

- A.** *The Declaration of the African Union Border Programme and Its Implementation Modalities as Adopted by the Conference of African Ministers in Charge of Border Issues Held in Addis Ababa, Ethiopia, June 2007*

On General Principles

- Article 1(a): “... the achievement of greater unity and solidarity among African countries and peoples require[s] the reduction of the burden of borders separating African States.”
- Article 1(b): “... by transcending the borders as barriers and promoting them as bridges linking one State to another, Africa can boost the on-going efforts to integrate the continent, strengthen its unity, and promote peace, security and stability through the structural prevention of conflicts.”
- Article 1(c)(v): “... the Commission [is encouraged] to pursue its efforts at structural prevention of conflicts, especially through the implementation of the Border Programme of the African Union.”

On Justification of AUBP’s Creation

- The relevance of the AUBP:-
 - Article 2(a): “... to address cross-border criminal activities.”

On AUBP’s Objectives

- The objectives of AUBP:-
 - Article 3(b): “... the reinforcement of the integration process, within the framework of the RECs and other large-scale cooperation initiatives.”
 - Article 3(d): “... capacity building in the area of border management, including the development of special education and research programmes.”
- The implementation principles of the AUBP:-
 - Article 5(b): “Local cross-border cooperation,” which means that (i) “[t]he local stakeholders should be the direct initiators of cross-border cooperation under the auspices of the States,” and (ii) “[t]he States should, with the assistance of the African Union, facilitate local initiatives and mandate the Regional Economic Communities to implement regional support programmes for cross border cooperation.”
 - Article 5(c): “Capacity building,” meaning that the AUBP will “design a capacity building programme in the area of border management.”

- B.** *The Declaration on the African Union Border Programme and the Modalities for the Pursuit and Acceleration of Its Implementation, Addis Ababa, Ethiopia, March 2010*

On Border Management

- Article 12 (ix): “... the establishment, where necessary, by Member States of joint Commissions with their neighbours for ... the management of their borders....”

On Cross-Border Cooperation

- Article 13(iii): “...the strengthening of cross-border cooperation in the area of the prevention and fight against terrorism and cross-border crime, including drug trafficking, and other cross-border threats, such as piracy and other illicit acts on sea....”
- Article 13(iv): “... the establishment by Member States that have not yet done so of joint cross-border cooperation mechanisms with their neighbours, by 2011.”

On Capacity Building

- Article 16(iii): “... the development of programmes on border studies and training in management of borders in the universities and the training centres for civilian, as well as immigration security and defence personnel.”

On Follow up of the Declaration

- The Ministers of the Member States of the AU:
 - Article 19: “... request the Commission to ensure the follow up of this Declaration and to take all the necessary measures for its implementation....”
 - Article 20: “... agree to hold our next meeting in 2012, in order to assess the implementation of the AUBP and determine the measures to be taken to speed up the realization of its objectives.”

2.4. On-going Border Management Efforts

The magnitudes, severities and complexities of border management problems in Africa calls for urgent actions to be taken in order to turn borders into zones of peace, security, stability and development. Despite the prevalence of border problems, individual countries, the RECs and the AU are yet to come to a common understanding of the challenges posed by the poor or lack of management of borders, and to elaborate a common strategy of effectively managing them.

However, it is laudable that a number of steps have been taken or are being taken, which in combination, contribute to the development and implementation of effective border management policies and strategies. For instance, the AU has drafted a policy framework on security sector reform (SSR) that will guide it, the Member States, the RECs and other stakeholders to, among other things, “provide state security by defending the state, borders and national sovereignty and territorial integrity of Member States within the rule of law.”

Similarly, the Economic Community of West African States (ECOWAS) has been reviewing the Counter-Terrorism Strategy and Implementation Plan in response to the increasing threat terrorist activities pose to the region. The objectives of the draft strategy and implementation plan include providing ECOWAS Member States with the right tools “to undertake rapid, timely

and effective response to terrorism when it occurs; disrupting terrorists' planning, networks and their activities; bringing terrorist leaders and their followers, supporters and sympathizers to justice and cutting terrorists' funding and access to equipment training and meeting ground as well as creating a hostile environment for terrorists in the region.”

IGAD's ICPAT component on border management aims to implement border control along common borders in the Horn of Africa, to propose measures for improvement where appropriate, to facilitate support for such improvements where possible, and to improve inter-departmental cooperation on border control. Since its inception 2006, ICPAT has undertaken work on both the practical monitoring of the borders and other points of entry, through both desktop research field studies. It has also identified weaknesses of border control and proposed measures for border management, promoted an IGAD-wide discussion on regional border security, and liaised with such institutions as the International Organization for Migration, INTERPOL, and global organizations working on aviation, marine, airport and port security, immigration and customs, to bring technical expertise and possible other support to IGAD member states.

In view of the above and other efforts, the timing for the development of an AU Strategy for Enhancing Border Management in Africa is most opportune. As indicated earlier, the Strategy is a consolidation of regional and continental efforts, present and future, aimed at contributing to the AU objectives of promoting integration, peace, security and development of the African continent through efficient and effective border management.

3. THE CONTEXT OF BORDER MANAGEMENT IN AFRICA

3.1. POLITICAL, SOCIAL AND ECONOMIC SITUATIONS

Over the last two decades, Africa has experienced significant political, social and economic transformations that saw improvements in basic education and health services coverage, clean water availability, housing, mortality and other parameters. However, it is notable that these improvements have not reached border areas, which are still characterized by lack of these basic services.

African economies are generally moving on a growth path. This growth is being accompanied by changes in state structures, policies and strategies that meet the demands of the increasing populations. There are also efforts being made to improve the livelihoods of the people living in the peripheries. Many governments are also recognizing the importance of including border populations in national development policies.

3.2. GEOGRAPHIC CIRCUMSTANCES

With 6% of the total surface area and about 20% of the total land area of the Earth, Africa ranks second in size to Asia. Its population, about 1 billion people according to 2009 estimates and accounting for about 15% of the Earth's population, makes it again second to Asia. The people live in 55 sovereign countries, and represent a diversity of racial, ethnic, linguistic and cultural groupings, 177 of which are partitioned by 109 international boundaries. While most of the countries on the main continent that is surrounded mostly by seas and oceans, there a few island states, which are separated from the rest of the continent by vast tracts of water in the Indian and Atlantic Oceans. Since the majority of the 55 countries are on the continental mainland, they share significant lengths of their land, air or maritime boundaries.

Massive size in both land mass and population, abundant natural resource endowment, and open seas and oceans have had implications on the continent's security, peace and stability. On the one hand, they represent the existence of greater opportunities for the African people to use these nature-borne advantages for economic development. Abundant land ensures agricultural, mineral and raw material availability enables the people to engage in productive and profitable economic activities. The seas and oceans guarantee less costly means of transportation for personal and commercial interaction with each other and with the rest of the world in addition to being rich sources of food and energy.

On the other hand, the same geographic circumstances have made the continent vulnerable to both internal and external threats since the 15th Century. The negative trend continues to date. Africa's rich resources have attracted criminals, terrorists, and traffickers to exploit the undefended coastal waters and porous borders to engage in illegal activities that threatens regional and continental peace, stability and security.

Given the above circumstances, the significance of an effective and efficient control of African borders cannot be overstated. The size of the continent, the diversity and size of its population, the multiplicity of sovereign nations, the open seas and oceans have left the vast continent

vulnerable to various forms of insecurities that threaten development, integration, peace, security and stability

3.3. Sources of Border-related Insecurity in Africa

Most parts of the African continent are characterized by insecurity, underdevelopment and conflict. Some of the underlying causes of these problems are cross-border criminal activities ranging from cattle rustling, automobile theft, smuggling of weapons and commodities to terrorism. Borders in Africa are often unmanaged or poorly managed by personnel that are ill-equipped, understaffed, ill-trained and unmotivated to prevent cross-border crimes and to facilitate harmonious and prosperous interactions between countries.

The following assessment of the sources and levels of insecurity highlights the critical need to enhance border management in Africa.

3.3.1. Trafficking and Smuggling

- *Small Arms and Light Weapons (SALWs)*: ‘Small arms and light weapons’ is a terminology used to describe a broad array of military grade weapons ranging from hand guns to mortars and their ammunition. According to the *Small Arms Survey 2010*, the term ‘light weapons’ includes mortar systems up to and including 120 mm; hand-held (stand-alone), under-barrel, and automatic grenade launchers; recoilless guns; portable rocket launchers, including rockets in single-shot disposable launch tubes; and portable missiles and launchers, namely Anti-Tank Guided Weapon (ATGWs) and Man-Portable Air Defence System (MANPADS).

SALWs’ combined qualities of destructiveness, adaptability and portability have made them weapons of choice for organized criminal groups. Their unchecked availability has played a part in causing massive violations of human rights and international humanitarian law, and in the emergence of a culture of violence and the use of children in armed conflicts—events which have devastated many socio-economic systems in Africa. Criminals and rebel groups have taken advantage of the widespread availability of SALWs to engage in acts that undermine human security and state sovereignty.

There are currently several internal and external sources of SALWs. Nevertheless, regardless of their origin, these SALWs do cross national borders to reach various destinations where they are lucratively sold or, in some cases, donated. The major destination points for These SALWs have been circulated in all regions of Africa where they have been used in civil wars, violent robberies, and terrorist acts. There is an established correlation between the proliferation of SALWs and civil wars, coups, insurrections, ethnic violence and organized crime in Africa.

- *Drugs*: The trafficking of drugs is a dreadful threat that is connected to the permeability of borders. The drug trafficking routes in Africa are similar to the ones usually used to smuggle illegal migrants and contraband, with hubs in West Africa and East Africa linked to European markets. Drug trafficking is a more lucrative business that is used to finance other organized criminal activities like terrorism, arms trafficking, and human trafficking.

Colossal amounts of returns generated from these illegal activities have fostered money laundering, another growing cross-border criminal activity.

The drug issue has another dimension; besides providing drug trafficker's routes for drugs smuggled into Europe, Africa is increasingly becoming a destination for illegal drugs. Drug addiction, drug-related HIV infection, and erosion of social fibres are now major financial burdens to most societies and governments in Africa. Like other cross-border crimes, corruption is what oils the easy flow of these illegal drugs across borders.

It is now widely acknowledged that drug trafficking has become a major threat to human security, national sovereignty and regional stability.

- *Human Beings*: Human beings are another 'cargo' for cross-border traffickers and smugglers who move them across borders for money. International policy and legal frameworks attempt to make two categories of people in relation to this problem: trafficked people and smuggled people. In the Ouagadougou Plan of Action on Trafficking in Human Beings Especially Women and Children, the AU has described trafficking in human beings, within and between states, as a "scourge" to human beings. Under international law, it is equated with slave trading. Trafficked people, mainly women and children, are those who are cheated or forced out of their countries and brought involuntarily to be sold across borders into slavery-like conditions and prostitution.

Host countries are advised to treat these people, who are victims rather than criminals, more humanely, and to assist and reintegrate them. As to smuggled people, while they too are victims of crime and need to be humanely treated, their unlawful crossing of another country's border calls for measures of a stronger deterrent nature, since they voluntarily seek the assistance of smugglers to illegally cross international boundaries.

Violations of African borders by both traffickers and smugglers are a daily event, and shared by all African countries and regions, though flows, patterns, volumes and dynamics vary amongst them. Human trafficking and smuggling compound the challenges for African states by strengthening organized criminal and terrorist organizations in both financial and manpower terms.

- *Contraband*: When agricultural products (such as coffee, cocoa, tobacco, vanilla, rubber, timber and cattle), manufactured goods (such as cigarettes, beverages, medicines, electronic gadgets, vehicle and industrial machinery parts), and precious minerals (like diamonds and gold) are smuggled across African borders, governments are denied tax revenues needed for national development. The trafficking and smuggling of contrabands not only deny governments collectible revenues but also undermine nascent industries by floating the market with cheap products, some of which are hazardous to the health and safety of citizens.
- *Endangered Species of Wild Fauna and Flora*: Apart from the reckless plundering of the natural environment, endangered flora and fauna are trafficked across unmanaged or poorly managed borders. Given Africa's current position as home to some of the rarest and most precious fauna and flora, borders must be managed in ways that do not

contribute to the extermination of these endangered species. With better border security, the state of the African natural environment will be greatly enhanced.

3.3.2. *Illegal Migration*

- Migration of people is as old as civilization, and, considering Africa's role played as the cradle of mankind, even older as it is through this very act that human beings have been able to cover the face of the earth from early on. The reasons for such age-old migration activities and the forms thereof may have been varied in conformity with prevalent environmental, social, political and economic circumstances. It is only logical to expect that the same process will be a major human preoccupation as long as these circumstances remain to be the governing factors in the long term, as well.

Two categories of reasons are generally identified as factors contributing to the movement or migration of people across national borders: the *push* and *pull* factors. The push factors include man-made and/or natural catastrophes such as drought, famine, flooding, wars and conflict, and other sources of insecurity such as unemployment. These factors induce people to leave their home countries for neighbouring or distant ones where, they believe, they can secure relative safety for themselves and, often, their families. On the other hand, the pull factors generally refer to conditions in destination countries that, as a matter of reality or of perception maintained by the migrators, are more attractive or conducive than those in their home countries. These attractions manifest in the form of an opportunity for a better life, high income, greater security, better quality of education and health care.

No matter how people are influenced to cross other countries' borders, their crossing itself will be regarded either legal or illegal. Countries demand the legal movement of people as this form has beneficial outcomes to both the migrant and the destination country in terms of almost all aspects, if not to the home country which may consider the event a loss of potential productive capability. Conversely, illegal migration is something countries have always defended themselves against, as it is associated with border insecurity. Border management initiatives in Africa, therefore, have to take into account all these pros and cons, more specifically with respect to illegal migration, without which they may be already doomed to fail.

In Africa, the increasing frequency of armed conflicts initiated by politically disenchanted groups, the rising sense of insecurity, environmental degradation and subsequent famine, and the cruel vicious circle of poverty have driven millions to the brink of despair. The customary reaction of people has always been to flee their homes and take refuge elsewhere within their own country or in neighbouring countries. Tension may escalate to armed conflict between refugees and local people, ultimately sucking in the concerned countries into it, as well. Moreover, criminals and insurgents may take advantage of the situation to carry out attacks on host governments or even against other sovereign nations across borders, as has been the case with rebel groups in the Great Lakes region.

Similarly, refugees are doubly victimized when are forcefully recruited by rebel groups and criminal syndicates that operate usually along national borders. Another problem

associated especially with cross-border mass migration is that it puts too much pressure upon neighbouring countries' natural resources and the environment.

In view of the fact that refugees are victims of multiple circumstances, African countries have to enhance the safety of refugees as well as ensure their own security by designing and implementing prudent refugee policies and programmes. As regards to illegal recruitment of refugees by criminal gangs, states must act proactively, their actions being, for example, by providing adequate security around their camps to prevent armed groups infiltrating them. In the same manner, countries must practice innovative ways of assigning or locating camps on sites that are not too close to the boundary or on fragile ecosystems. That is, locating or relocating refugee camps must involve a thorough planning paralleling in depth and scope what is customary in comprehensive urban planning with the needs of the refugees accounted for as much as circumstances permit.

3.3.3. Organized and Terrorist Crimes

- *Terrorism:* Terrorism has been one of the most serious challenges for African countries for decades. It undermines the basic tenets on which the AU is founded and stands on. It violates basic human rights, particularly freedom of expression, freedom from fear, the right to life, the right to development, the right to practice religion and the right to security.
- Its threat has been particularly felt in Eastern Africa, where there have been repeated attacks by Al Qaeda and its African affiliates. The August 1998 bombings of US embassies in Nairobi and Dar-es-Salaam showed the vulnerability of African countries to transnational terrorism. The failure of Somalia as a sovereign state gave a foothold to Al Qaeda and worsened the security situation of the Horn of Africa. The trend has still continued in North and West Africa. A common denominator in all transnational terrorist activities is the ease with which borders are used to transport radical elements and the ingredients for making terrorist bombs.
- *Illegal Exploitation of Natural Resources:* Research findings have proven that there is a linkage between sustained conflicts and the exploitation of resources such as coffee, cocoa, cattle, diamonds, gold and timber, whose sales proceeds are used to purchase arms and weapons. The control of illegal shipment of these resources to foreign markets has not been entirely successful because of the intricate cross-border networks which criminal groups utilize for the purpose. The connection between the Sierra Leonean civil war and the diamond trade boom is still a good example from which lessons should be drawn for the enhanced management of common borders.

Poor management of borders attracts looters even during peacetime. This is particularly true of maritime resources such as fish, which are prone to plunder by large international fishing companies. Having little coast guard or naval capabilities, African coastal countries have been unable to protect their precious marine resources.

- *Money Laundering:* Money laundering represents the act of converting, transferring, concealing or disguising money or any other property, knowing that it is the proceeds of

some crime, and intending to evade its legal consequences. In Africa, such proceeds come from criminal activities described above, and are either used to finance other crimes such as terrorism and to purchase weapons that are distributed as income among gang members, or are invested in legitimate business activities preferably in a country other than where the crime is committed. This involves the crossing of borders. However, the advancement of cyber technology, the proliferation of sophisticated money transfer methods, and globalization have made money laundering possible without the need by criminals to cross state borders.

- *Auto Theft:* This kind of crime has proliferated in recent times especially in Southern Africa. Being a highly lucrative activity, generating billions of dollars annually, it has attracted large numbers of people, especially the young, to be organized in criminal gangs whose operations span several countries in the region and, therefore, require the illegal crossing of national borders. The requirement for legalizing stolen vehicles has made it necessary to employ sophisticated methods such as high quality forgery and identity theft, and to involve wide networks of people with specialized expertise including corrupt policemen, customs officials and licensing authorities. The proliferation of SALWs—especially hand guns that are sold easily and cheaply—has contributed to the intensification of this transnational threat directed against the safety of citizens and their property.
- *Corruption:* Corruption is a curse in Africa, and it flourishes wherever there is a crisis. Border areas are particularly ideal places for the spread of corrupt practices because of the prevailing difficult social and economic circumstances which encourage border control agents to compromise security in exchange for illegal benefits. The problem of corruption requires a broader understanding and a more appropriate response by all stakeholders, for any degree of control achieved in this area will have corresponding positive implications against the other border related problems. This is due to the direct linkages between corruption and crime, whereby the former routinely facilitates an environment conducive to the sustainment of criminals and their activities, including those related to national borders. Wherever there are border management agents and officials who are willing enough to trade their responsibilities for personal benefits, it is only natural to encounter the proliferation of smugglers, traffickers and terrorists who know no qualms to extend their trades once they have overcome this immediate barrier. Therefore, unless efforts are taken at all levels to prevent and combat corruption, there will be little progress in mitigating the impact of these criminals on national, regional or global security.
- *Piracy:* Piracy is not a new phenomenon in Africa but has now gained attention in the news particularly off the Somali coast and in the Red Sea. Due to lack of maritime security along the African coastal waters, and acquisition of advanced technology ranging from fast boats to global positioning system (GPS), pirates have been able to negatively affect maritime transport. In addition, piracy has blossomed due to weak state governance and lack of state capacities to patrol coastal waters.

3.3.4. Landmines

- Armed conflicts in Africa have left behind another undesirable legacy: landmines that continue to maim and claim a large number of human lives. Landmines are usually left buried and forgotten at or near the common borders where past military engagements had taken place. Even long after the cessation of active hostilities, these borders still remain dangerous and unusable for any productive domestic activity or for improving cross-border relations. Cooperation between former belligerents in mine-clearing efforts along common borders is a first step to ensuring safety for their border communities and to converting borders from impassable barriers to bridges.

3.3.5. Infectious Human, Animal and Plant Diseases

- Human, animal and plant diseases are other forms of security threats that come across borders. There have recently been a series of animal and bird based plagues spreading across the world through border crossing posts (BCPs), airports or seaports. Fortunately, these viruses did not affect Africa much other than in terms of inconveniences caused by screening and travelling from affected countries. This does not mean, however, that the danger is not always there.

3.4. Border Management Infrastructure and Facilities

In order to be able to appreciate the importance of generating a border management strategy for Africa, it is worth first reviewing the current situation of African borders:

- Africa has 109 international boundaries whose total length is approximately 45,000 kilometres, but of these boundaries, less than 35% are clearly demarcated. African boundaries are characterised by a high level of porosity and poor management.
- There are about 350 official border-crossing points (BCPs), which means that there is about 1 BCP for every 120 kilometres of border in Africa; most control posts are set back between 16 and 20 kilometres from the border.
- There are some land borders between neighbouring countries that have no access by road, rail or watercraft—for example, the border between Central African Republic and the Congo Republic, or between Tanzania and the DRC.
- The 109 international borders divide 177 cultural or ethnic groups.
- Only 414 roads cross international borders, 69 of which have no customs posts along their entire length.
- There are only 20 cross-border railway and ferry routes.

4. FOUNDATIONS OF ENHANCING BORDER MANAGEMENT IN AFRICA

In order to improve border management practices in Africa and bring them to a higher level of effectiveness and efficiency, it is necessary to identify a suitable and appropriate strategic approach. The preferred approach is the EU's Integrated Border Management (IBM) model that has been modified to suit prevailing African circumstances. In order to generate an appropriate border management strategy for Africa, an effort is made to elaborate and build upon the three IBM strategic pillars.

4.1. Concept & Scope

IBM is defined by the European IBM Guidelines as “national and international coordination and cooperation among all the relevant authorities and agencies involved in border security and trade facilitation to establish effective, efficient and coordinated border management, in order to reach the objective of open, but well controlled and secure borders.” However, the African border management setting demands extension of this horizon farther than just cooperation and coordination among border management agencies though these still provide the main building blocks for our framework. Such scaling up of the scope is, therefore, accomplished in this Strategy with the inclusion of two other key factors identified during the need assessment phases: capacity building and community involvement.

4.2. Strategic Pillars

The areas of intervention or the strategic Pillars identified for this Strategy are as outlined below:

- i) Cooperation and coordination
- ii) Capacity building
- iii) Community involvement

These pillars sum up the existing and anticipated African border management challenges, and thus offer strategic alternatives that will help transform the border management regime for better performance and outcome. They make up the strategic issues that influence the formulation of the strategic objectives and mechanisms that have to be in place for the purpose.

The idea behind these pillars is that, in order to boost security and trade across the borders of African countries, border management actors must ensure unity or coordination of purpose and action along structural lines and across national borders. Within the African context, however, this unity must be strengthened through institutional transformation and development coupled with the participation of border communities including residents, local governments, private sector businesses and NGOs.

4.2.1. Cooperation and Coordination

Cooperation and coordination relate to the various forms of interaction African countries should maintain domestically, regionally and globally while conducting border management activities on

their borders. Three broad levels of cooperation and coordination are identified within the IBM model:

A. *Intra-service cooperation:* refers to the procedural, vertical and horizontal interaction that should be there between:

- A ministry and its respective border management agency;
- A border management agency and other services within the same Ministry;
- Different units at headquarters;
- Different local units: border crossing points (BCPs), border inspection posts (BIPs) and inland control stations (ICSs); and
- Headquarters, regional units and the local BCPs and ICSs.

B. *Inter-agency cooperation:* refers to the cooperation and coordination between different ministries or border agencies, as well as between the operational officers of the different agencies active at the borders or ICSs.

C. *International cooperation:* refers to cooperation and coordination of a country with neighbouring or other countries, regions, continents and also international organizations. In light of the current African situation, this kind of cooperation takes the following forms:

- i) *Bilateral cooperation:* represents a two-sided cooperation and coordination between neighbouring countries that share common borders;
- ii) *Regional cooperation:* refers to cooperation between countries of large areas whether or not they share common borders through pre-existing RECs or other relevant regional mechanisms; e.g. cooperation between ECOWAS, the Common Market for Eastern and Southern Africa (COMESA), the Southern Africa Development Community (SADC), the East African Community (EAC), or the Inter-Governmental Authority on Development (IGAD) member states;
- iii) *Continental cooperation:* describes the kind of border-related cooperation that should be there among the various countries and regions at continental level such as the AU establishment of the AUBP with a mandate of enhancing border management in Africa; and
- iv) *Global cooperation:* entails African countries, RECs and the AU cooperating with the rest of the world and with international organizations on matters associated with border management.

Areas of Cooperation and Coordination

Cooperation and coordination between border management actors at the various levels described above call for the identification of specific areas. These areas will serve as the foundation through which border management agencies harmonize their activities, achieve synergy, and, therefore, ensure that border security is not only present in their respective localities or countries but is also universally present across regions and in Africa.

The IBM model recommends the following areas for cooperation and coordination:

- *Legal and regulatory framework*—describes the necessary legal basis for cooperation and information exchange.
- *Institutional framework*—provides the recommended organisational setting for introducing IBM.
- *Procedures* for cooperation.
- *Human resources and training*—deals with recruitment and educational/training issues in the framework of coordination and cooperation.
- *Communication and information exchange*—provides guidance on how best to create standardized and efficient flows and exchanges of information.
- *Infrastructure and equipment*—recommends how equipment and facilities can support cooperation and coordination at all levels.

4.2.2. Capacity Building

A second pillar of the Strategy, capacity building, contributes to the enhancement of border management in several ways. Firstly, it is instrumental to the improvement in institutional as well as individual performance, because it directly equips border management agencies with the relevant institutional capabilities and their personnel with the proper kind and amount of skill, knowledge and attitude required to do their tasks well. Secondly, it is one of the basic intervention mechanisms border management agencies should utilize in order to facilitate the realization of cooperation and coordination in the manner stated above.

A. Definition

Capacity building can be generally defined as:

- The creation of an enabling environment with appropriate policy and legal frameworks;
- Institutional development, including community participation (of women in particular); and
- Human resources development and strengthening of managerial systems.

In the context of border management, the capacity building process can be simplified to:

- The development or acquisition of the skills, competencies, tools, processes and resources necessary to enhance the capabilities of the particular border management agency to carry out its assigned functions and to achieve its objectives.

B. Components of Capacity Building

Capacity building in border management includes the following:

- a) *Human resource capacity building*: the process of equipping border management personnel with the understanding, skills and access to information, knowledge and training that enables them to perform effectively. Included in this category are the human resource management aspects such as career development, improved working environment, compensation, motivation, incentives, etc.
- b) *Organizational capacity building*: the elaboration of management structures, processes and procedures, not only within organizations but also the management of relationships between the different organizations as well as stakeholders within and across national borders.
- c) *Institutional and legal framework development*: making legal and regulatory changes in organizations, institutions and agencies at all levels and in all sectors to enhance their performance in service delivery.
- d) *Infrastructure development*: the improvement or upgrading of the equipment, machinery, and other facilities necessary to efficiently and effectively manage borders. Besides the working space, these could include the hardware, software and other technology required to access, use and develop border-related data and other products for decision making.

C. Guiding Principles for Border Management Capacity Building

- Build on existing efforts and best practices;
- Focus on user's needs;
- Foster collaboration and partnership at the local, national, regional and global level;
- Enhance the sustainability of existing and future border management capacity building efforts by raising awareness amongst decision makers; and
- Facilitate the development of comprehensive, sustainable capacity building efforts that address infrastructure capacity needs, education and training, and building local institutional capacity.

D. Training

The focus of this Strategy is to enhance the quality of border management by improving the managerial and operational efficiency and effectiveness levels of personnel as a means to

ensure borders are zones of peaceful co-existence and legitimate economic activities for those who live in or cross them. In addition, it aims at sustaining a long-term and high performance level for the personnel who manage it.

In view of this basic objective, priority must be given to the human aspect of capacity development, especially training. Whether we adjust policies and regulations, strengthen institutions, or modify working procedures and coordination mechanisms, these will not take hold on the ground unless the key human aspects are already in place. Therefore, border management in Africa will only be qualitatively transformed to the required standards when relevant agencies are staffed by people with the requisite skills, knowledge, qualifications, value systems and attitudes.

This calls for provision of sustained quality training of all border management personnel based on a well-designed curriculum with practical training modules.

E. Research and Development

Training of border management personnel cannot yield expected results in the long term unless high quality research informs the training and the border management regimes. This is especially true with respect to updating the training curriculum in all its aspects—i.e., objectives, syllabus content and methodology, entry and exit profiles of trainees, frequency and length of training, training modules and so on.

Considering the urgent need in Africa to ensure long-term dynamism and resilience in border management systems and practices, research and development should be extended beyond the immediate purposes of training. Border management agencies have to be supported on a regular basis with new and appropriate methods, technologies, intelligence, best practices, etc. in such a manner that, over time, their activities and measures can reach the globally desirable or, at least, acceptable levels of uniformity, efficiency and effectiveness. At the very centre of this aspiration are found training centres or other institutions such as colleges and research organizations that should be approached and funded to offer training and undertake research in border management.

4.2.3. Community Involvement

By giving community involvement the status of a pillar, this Strategy recognizes the importance of local communities as key stakeholders in the management of borders in Africa. Local communities include the people who live on both sides of a border, border traders, border civil society organizations, local government administrative authorities, and other locals who in one way or another could play a role in the way borders are managed. Decisions and subsequent actions taken with regard to border security will be doomed to fail if they are not backed by these key stakeholders at the borders.

This document elaborates, in Chapter 6, the various strategies and accompanying mechanisms recommended for ensuring the involvement of local communities in border management

decision-making and implementation as a means to enhance security at national borders in Africa.

It is particularly useful to note from the outset that the term 'local community' or 'border community' is intended to represent in this document a broad category of people, institutions and organizations, private or public, government or otherwise including civil society organizations, that have a deliberate interest or stake in what goes on along and/or across the borders between any two or more countries. It is in the context of this broad meaning that the third section of Chapter 6 attempts to shape out a workable approach to border management via community involvement.

5. INSTITUTIONAL FRAMEWORK—ACTORS

5.1. Organization of Border Management Agencies

There are five major categories of border management activities that should be deployed for best border control and trade facilitation purposes as recommended in the IBM concept. These are described in the next section of this chapter. Already, government border management agencies in Africa perform one or another of these border management activities. Nevertheless, the names by which the agencies are known, how they are organized, to which ministry they report, etc. may vary from one country to the next depending on their respective overall political and other key contexts. As far as this Strategy is concerned, questions like these are to be left to the countries in question and to be treated in accordance with their own disposition.

5.2. Main Border Management Functions

The main border management functions and the possible corresponding agencies normally assigned to perform them are the following:

1. **Regulating the movement of people:** Names and methodology of agencies responsible for border checks may vary. Nevertheless, the core task remains the same: to determine whether persons are authorised to enter or leave the territory of a state, including checking their means of transportation and the objects in their possession and processing them accordingly. Border checks and border surveillance are closely linked and often conducted by the same agency. Responsible agencies are:
 - Immigration service
 - Border guard/police
 - Coast guard
 - Customs
 - Armed forces (army, air force and navy)
 - Specialized law enforcement/intelligence services
2. **Regulating the movement of goods:** Customs agencies generally assume the lead in the control of goods, which not only includes the inspection and checking of goods but also, in most cases, the collection of duties and other revenues. As a result, customs agencies operate closely with a wide range of other government and private sector actors. These include:
 - Customs
 - Customs and border protection service
 - Fiscal and customs police

- Fiscal police/financial guard
 - Specialized law enforcement agency (e.g. on drug smuggling)
3. **Inspection of plants and plant products:** Plants and plant products destined for import or transit through a country are inspected in order to prevent the spread and introduction of harmful organisms. Such phyto-sanitary inspections should be carried out in close coordination with the customs control agency. Agencies in this category are:
- Plant health inspection service
 - (Plant) quarantine service
 - Phyto-sanitary inspection
 - Customs
4. **Inspection of live animals and food stuffs:** Live animals and foodstuff and other products of animal origin (so-called animal by-products) are inspected to prevent outbreaks of animal or food-borne illnesses, since these are both harmful to consumers and live animals, and can have negative effects on trade, tourism and the fauna. The following are the agencies charged with such control responsibility:
- Veterinary inspection
 - Health and food safety agency
 - Animal inspection service
 - Quarantine service
5. **Human health inspection:** Communicable diseases do not respect national borders and can quickly spread via airports, harbours and land border crossings through persons, baggage, cargo, containers, goods and postal parcels if no appropriate actions are taken to combat them. Agencies included in this category are:
- Sanitary inspection
 - Public health agency
 - Health and food safety agency
 - Quarantine service

Note that, under the IBM approach, agencies are efficient and effective in border control duties when they cooperate and coordinate amongst themselves. This entails the various agencies sharing certain overlapping duties, information and resources. This approach is designed to encourage and facilitate cooperation and coordination in these overlapping areas and, as well as in others, where necessary.

6. STRATEGY

As already shown, the Strategy for Enhancing Border Management in Africa pursues an approach with a broader scope that reflects the realities of border management on the continent. Accordingly, it was necessary in Chapter 4 to summarize border management issues in Africa along three broad categories which underpin the strategic pillars. Therefore, the following sections lay out the objectives of each pillar and makes recommendations on how to implement it.

6.1. Cooperation and Coordination

The levels of performance of border control agencies differ among African countries as there are between them institutional, legal, infrastructural, and other differences. Even then, it has not been difficult to find certain defining characteristics such as those identified during the consultative meetings. These include lack of coordination, absence of uniform institutional and legal frameworks, lack of commitment and oversight, insufficient resources including infrastructure and manpower, poor working environment, lack of expertise, and so on. Therefore, border management agencies require legal and regulatory instruments; procedures; institutional structures; and capabilities in order to tackle their inefficiencies, enhance cooperation and coordination vertically and horizontally among themselves, and provide improved services to their clients.

Cooperation and coordination of authorities and agencies on border management activities takes place at three levels—namely, intra-service, interagency and international—and in the following areas:

- Legal and regulatory framework
- Institutional framework
- Procedures
- Human resources and training
- Communication and information exchange
- Infrastructure and equipment

It is only through the establishment of such linkage or integration between African border management actors that the IBM model guarantees the success of this Strategy. Thus, it is essential that the recommended strategies be implemented completely.

Hence the general objectives for cooperation and coordination on border management at all levels are to:

- Ensure protection against threats to national security.
- Prevent trans-border crime and irregularities.
- Facilitate legal cross-border movements.

6.1.1. Intra-service Cooperation

Intra-service cooperation takes place between national ministerial/administrative bodies and responsible agencies for different tasks vertically between the central/federal, regional and local levels, as well as horizontally between different BCPs and inland control points. It is the foundation for all the other cooperation levels, namely, interagency and international cooperation.

i) Legal and Regulatory Framework

Strategic Objectives: Ensure border management agencies are legally empowered to fulfil their mandates.

Recommended Strategies:

Common for all ministries and agencies

- Change and/or amend existing national laws or draft new ones to address gaps and inconsistencies in the legislations that regulate the activities of border management agencies.
- Reform the criminal justice system, including the introduction or enhancement of restorative justice, as appropriate.
- Adopt national laws on the relevant aspects of the agencies' duties (e.g., for border policing: laws on state/federal police, on foreigners, on national border, on guarding and controlling the state border, on asylum, on trafficking and other transnational crimes, and on coast guard, including rescue at sea).
- Strengthen national laws regulating migration, trafficking, smuggling, including through the creation of clear, transparent categories for admission/detention/expulsion of people, confiscation and elimination of illegal and harmful goods/plants/animals, clear eligibility criteria for the protection of asylum seekers, refugees, victims of trafficking, etc.
- Adopt the Integrated Disarmament, Demobilisation and Reintegration Standards (IDDRS) issued by the UN Department for Disarmament Affairs (DDA).
- Establish link with national commissions on SALW, drugs, migration, trafficking, terrorism, border crimes, etc. needed to act as coordinating bodies and focal points.
- Ensure there is an effective arms management regime for stockpile management and arms collection or disarmament.
- Incorporate into national policies instruments allowing periodic security sector, governance and judicial reforms.
- Plan and design national crime prevention and criminal justice policies within the overall socio-economic policy and legislative context.

Border surveillance/Border check specific

- Facilitate the review of national arms ownership laws and legislations.
- Strengthen national policies, structures and laws to establish co-coordinated and integrated approaches at national level through, among others, incorporating the United Nations Convention Against Trans-national Organized Crime and its two additional Protocols (2000), Protocol to Prevent, Suppress and Punish Trafficking in persons, Especially Women and Children, and the Protocol Against the Smuggling of Migrants by Land, Sea and Air and harmonizing provisions into national legislation.
- Adopt and incorporate into national policies the international instruments pertaining to the protection of refugees including the 1951 Convention on the Status of Refugees and its 1967 Protocol, the 1969 OAU Convention Governing the Specific Aspects of Refugee Problems in Africa.
- Incorporate into national legislations and policies and implement protection obligations arising out of the relevant treaties, the principle of non-*refoulement*, statelessness, registration and issuance of identity documents, access to work and education opportunities, treatment according to minimum humanitarian standards.
- Incorporate into national legislative and policy frameworks measures pertaining to the protection of civilians in armed conflicts as defined in the 4 Geneva Conventions of 1949 their two Additional Protocols of 1977 and, the tenets of the UN Guiding Principles on Internal Displacement into national legislative and policy frameworks.
- Incorporate into national legislative and policy frameworks mechanisms to enhance self-sufficiency of refugees and IDPs residing in camps, including, *inter alia*, granting rights to employment, access to land, freedom of movement and other social-economic rights when possible
- Incorporate into national legislative and policy frameworks mechanisms to preserve the civilian and humanitarian character of refugee camps by ensuring the physical safety of refugees and IDPs and security of camps, including, where necessary, establishing civilian camp police forces, and making efforts to separate combatants and other armed elements from refugee populations.
- Reinforce national policies and legal frameworks by incorporating key instruments from declarations extending fundamental human rights protections to migrants, including the Universal Declaration on Human Rights, the International Covenant on Civil and Political Rights, 1990 International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families, the Convention on the Rights of the Child, Convention on the Elimination of All Forms of Discrimination against Women, the Convention Against Torture, ILO Conventions 97 and 143, and

relevant regional human rights instruments including the African Charter on Human and People's Rights.

- Develop legal and regulatory framework for a more efficient collection, dissemination and exchange of data and information on migration and related issues.
- Develop legal and regulatory framework for a more efficient collection, dissemination and exchange of data and information on migration and related issues.
- Support the implementation of the NEPAD Initiative concerning in particular the aspect of ICT to facilitate the collection and exchange of data.

Customs specific

- Change/Amend national legislations governing customs procedures with an aim to remove inefficiencies and avoid dysfunctionalities of customs organizations and customs operations.
- Adopt the Revised Kyoto Convention to improve customs operations with a view to standardizing and harmonizing customs policies and procedures.
- After adopting the Revised Kyoto Convention, tailor policies and procedures in specific ways to meet unique legal, political, cultural and economic requirements.
- Modernize the Customs Code especially to exclude non-core customs, seek harmonization and compliance with agreed on international commitments, ensure transparency and predictability by providing basic information on matters such as rules, decisions, consultation mechanisms, and adequate appeals processes.
- Promote trade facilitation by eliminating complex or redundant customs formalities that delay clearance and create opportunities for unnecessary discretionary interventions.
- Incorporate laws that grant authority for customs to achieve its enforcement and compliance goals.
- Adopt legal mechanisms that provide little discretion to customs staff and that have built-in accountability mechanisms to reduce both the opportunity and incentive for corruption.
- Implement policy efforts specifically designed to fight corruption in accordance with the WCO directive and the Revised Arusha Declaration on Integrity in Customs.
- Strengthen trade facilitation laws with trade liberalization initiatives in order to enhance external competitiveness and become better integrated with the global economy.

- Enforce valuation reform in accordance with the WTO's Agreement on Customs Valuation (ACV) framework in conjunction with comprehensive customs modernization programmes.
- Adopt and implement regulations that ensure the compliance, participation and collaboration of national and international private sector land, sea and air transport operators in the effort to enhance security.
- Adopt and implement international and regional conventions that apply to sea and air transport to enhance the security of these modes of transportation—vehicles, cargo and personnel—as well as how these transport modes are operated.

ii) Institutional Framework

Strategic objective: Ensure adequate organizational structure, effective implementation of tasks and efficient intra-service cooperation and communication

Recommended Strategies:

For all agencies

- Implement uniform organizational structure wherever possible.
- Determine clear duties and responsibilities for all management positions.
- Strengthen the management systems by abolishing multiple accountability and chains of command and control.
- Empower agencies to manage their own resources through delegation of resources and decisions.
- Restructure the agencies at all levels in such a way that they will handle personnel, training, logistics and budget issues on their own.
- Improve the planning system from the central level down to the border level.
- Establish focal points within relevant ministries and devise national contingency plans in order to enhance capacities to address situations of mass displacement as well as mass return in a timely, efficient and appropriate manner.
- To welcome the return of migrants, establish reception committees, composed of psychologists, officers of Ministries of Labour and Education and others, in order to ensure adequate reception, follow-up and guidance.
- Establish a separate budget line within the central budget for the agencies down to the border level.

Internal control unit and external audit

- Establish internal control and reporting units at the central level—or whenever deemed necessary, at the regional level—to monitor not only performance and the coherent implementation of operational instructions, but also the efficient use of resources, and to provide guidance, for instance newly-recruited staff.
- Conduct an external audit on a regular basis in order to independently evaluate the effectiveness of the agency's operations and provide an assessment of the agency's internal control mechanism.
- Establish transparent procedures for corrective action to be taken in case of irregularities, including punishment for perpetrators.

Risk analysis

- Ensure establishment of risk analysis and statistical units by all border management agencies at the central/federal and sometimes also at the regional level.
- Provide risk analysis units with all relevant information from the field, starting from embassies and diplomatic missions through the pre-frontier area and all the way inland.
- Ensure at the central level that accurate analyses of information as well as suggestions for operational adjustments are made and forwarded to all relevant units at central/federal, regional and local levels.
- Implement procedures for the identification, analysis, evaluation, and mitigation of risks that minimize the achievement of striking a balance between control and trade facilitation.
- Develop a risk map that identifies potential vulnerabilities of processes and determine how procedures may be geared toward ensuring better realization of objectives.
- On the basis of regular risk assessment, define a risk containment strategy, set priorities, gear operational details toward these priorities, and effectively and efficiently deploy resources.

Mobile units

- Deploy mobile units to different locations depending on fluctuating needs: (i) to carry out border surveillance and to support BCP staff in times of high cross-border traffic, for example during peak times (start/end of school holidays or tourist season), or in case a BCP may temporarily need particular specialists to respond to a specific need; and (ii) to conduct targeted checks of persons and/or goods inland and at the border along known smuggling routes.

- Seek, whenever necessary, cooperation and coordination with other governmental mobile surveillance units as well as with mobile units of neighbouring countries.

Border surveillance/Border check specific

- Organize the responsible agency for border surveillance/border checks at an appropriate ministry (Ministry of the Interior, Justice, Home Affairs or comparable body) as a distinct structure within the ministry (i.e. reporting directly to the minister or deputy minister) or as a part of the national police force (reporting to the head of the national police forces).
- Ensure awareness at all levels that the task of border surveillance and border checks differs significantly from normal policing duties and needs specialized staff, and support this with clear, non-overlapping duties and responsibilities, rights and obligations.
- Ensure that the staff of the agency responsible for border security is assigned at each BCP but it must not necessarily employ the same number of staff at each BCP; use data on the number of movements and other work related activities to better allocate staff numbers to ensure equal working levels between sites that meet department standards of activity processing times; and charge border guards at the local level with patrolling the boundary between BCPs.
- Empower units at local level to react quickly and effectively in unforeseen situations and should also be able to make small-scale purchasing decisions (e.g. office material).
- Safeguard the human security needs of refugees (physical, material, legal and health), especially in the context of refugee camps and with particular attention to the needs of vulnerable groups (women, children, disabled, and the elderly), while at the same time ensuring that refugees are aware of national laws, regulations and their obligations to abide by these.
- Enable relief consignments of a humanitarian and impartial nature to reach civilian populations in need, and safeguarding the security of aid agency personnel.
- Ensure that refugees and IDPs have access to education and skills training in order to facilitate their eventual integration or reintegration into host and/or home communities.
- Counter environmental degradation caused by the protracted presence of displaced persons by implementing relevant and targeted environmental protection programmes including proper planning of refugee camps and rapid environmental impact assessments, and recommendations for camp locations; and calling upon UNHCR and countries of first asylum to identify areas for resettlement giving appropriate consideration to environmental factors.

Customs control specific

- Ensure that customs service is present both at BCPs and within the country.
- Decentralize customs service to increase flexibility to react to changes in the flow of goods and other traffic; temper this power with regular and independent internal audits to ensure efficient use of resources and an evaluation on how customs officers at all levels in the organisation are carrying out their duties.
- Determine structure of the organisation and allocation of resources primarily by operational demand; and clearly define the roles, responsibilities and links between central, regional and local levels of the administration and the regional offices.

Plant and plant product inspection

- Incorporate a two-tier system of organization in which work is carried out by two different levels, and the second (local) level is accountable to the first (central/federal) level; the central/federal level carries out strategic planning, including risk assessment and the operational level takes responsibility for risk management.
- Locate activities at selected land, sea and air BCPs and ensure that all traffic requiring phyto-sanitary inspection or certification is processed accordingly.
- Concentrate activities at BCPs (including harbours and airports) along the main trading routes so as not to unnecessarily impede international trade.
- Delegate some responsibilities of the phyto-sanitary inspection service to the customs agency, particularly at BCPs where it is not present.

Live animal and foodstuff inspection

- Incorporate a two-tier system of organization in which work is carried out by two different levels, and the second (local) level is accountable to the first (central/federal) level; the central/federal level carries out strategic planning, including risk assessment and the operational level takes responsibility for risk management.
- Determine at how many and which BCPs the BIPs should be situated, as well as the number of staff to be deployed based on the demands of the import/export flow and in coordination with the other border agencies, especially the customs service.

iii) Procedures

Strategic Objective: Ensure the existence of standardized and uniform approaches, steps or procedures that enhance efficiency and effectiveness at BCPs, BIPs and ICSs.

Recommended Strategies:

Common for all agencies

- Develop procedures covering all relevant tasks at all levels of a border agency for all types of borders and comprising control procedures, contingency procedures, documentation, and information flow at and between the central, regional and local levels.
- Assign clear responsibilities so that the person in charge should be identifiable at each step in the workflow through the use of stamps or signatures, or in the case of electronic processing through user names and passwords.
- Ensure the absence of gaps in information exchange to prevent loss of necessary information, incompleteness, lateness, delay of response, and unreliability, for instance, of risk analysis results.
- Replenish and update regularly regional and local level staff with new developments, expected events, a new modus operandi of smugglers, traffickers, irregular migrants, new types of document forgeries, etc.
- Develop information exchange procedures that cover topics such as periodic reports, analytical reports, collection of statistical data, and early warning.
- Develop procedures at the central level defining which information goes where, in which form and how often.

Border Surveillance/Border Check Specific

- Establish effective and fair procedures for individualized refugee status determinations, including granting asylum seekers meaningful access to such procedures.
- Reinforce information-gathering systems relating to trafficking to facilitate dissemination of information on the changing nature of trafficking routes, and the establishment of databases on convicted traffickers and on missing persons, presumed to be victims of trafficking.
- Ensure that refugees and asylum-seekers are registered and issued with appropriate identity documents such that their status can be easily identified in their dealings with public authorities and private institutions such as banks, employer organizations, housing/estate agencies and other institutions that require identification.
- Adopt procedural mechanisms to enhance self-sufficiency of refugees and IDPs residing in camps, including, *inter alia*, granting rights to employment, access to land, freedom of movement and other social-economic rights when possible.

- Use voluntary repatriation (through repatriation, reintegration, rehabilitation, reconstruction mechanisms), local integration (through development by local integration mechanisms) and resettlement, as applicable, to address protracted displacement situations through a comprehensive and integrated approach based on international solidarity and burden sharing.
- Ensure that migrants who are detained by public authorities, are treated humanely and fairly regardless of their immigration status, and are afforded all applicable legal protections, including where appropriate the assistance of counsel and competent interpreter services, access to their consulates, protections against arbitrary detention, in accordance with norms of international law.
- Incorporate key guidelines as recommended in the 1954 and 1961 Statelessness Conventions.

Customs control specific

- Ensure that customs controls are based on the border control policy (for BCPs), inland control policy (for ICSs), the sector-specific border control strategy, and intelligence-led risk analysis and selectivity techniques.
- Promote efficiency and customer satisfaction by introducing innovative approaches or best practices; for instance, dividing tasks in such a way that security check is done at BCPs and import and export (release) clearances performed at ICSs will improve waiting time.
- Allow separation of commercial and passenger traffic, and provide a safe and user-friendly working environment.
- Adopt ethics procedures that provide little discretion to customs staff and that have built-in accountability mechanisms to reduce both the opportunity and incentive for corruption.
- Implement as a first-line of defence modern procedures that reduce face-to-face contact between traders and customs officials and that reduce the discretionary powers of customs officials.
- Adopt procedures for the identification, analysis, evaluation, and mitigation of risks that minimize the achievement of striking a balance between control and trade facilitation.
- Develop a risk map that identifies potential vulnerabilities of processes and determine how procedures may be geared toward ensuring better realization of objectives.
- On the basis of regular risk assessment, define a risk containment strategy, set priorities, gear operational details toward these priorities, and effectively and efficiently deploy resources.

- Ease controls on less risky aspects and focus on the part that represents the greater risk.
- Adhere to international standards on value and classification, as well as regional standards on rules of origin.
- Harmonize customs operations across the BCPs, BIPs and ICSs, and across cargo categories to ensure the speedy release of goods and to support the competitiveness of traders.

iv) Human Resources and Training

Strategic Objective: Enhance the capacities of the personnel keeping surveillance of the border and manning the border crossing points.

Recommended Strategies:

For all services

a) Human resources

- Promote professional excellence, ethics, teamwork and organizational belongingness.
- Develop and issue detailed job descriptions for all staff, based on the terms of reference of the agency.
- Implement objective and transparent procedures (written) for merit-based recruitment, taking job-related skills and education into account, and transparent procedures for termination of employment.
- Establish effective rules for a system of rotation within the border management agency, regarding both duty station and tasks, either through volunteering or on obligatory assignment in order to expose the border officers to different tasks and duties and thus increase their experience and areas of expertise.
- Determine and regularly update the required numbers and categories of staff (management, operational, administrative, specialist, etc.).
- Deploy the necessary numbers of staff for the agency as a whole and for each individual location (in line with risk analysis).

b) Training

- Design and implement specialized, advanced and appropriate training to reinforce existing capabilities.
- Clearly establish codes of conduct (rights and duties), employ transparent and appropriate staff monitoring and evaluation mechanisms, and apply just and merit-based compensation and promotion systems.

- Promote the recruitment of personnel based on testing educational level and physical suitability, and meeting moral and legal requirements (criminal/judicial records).
- Ensure the reflection of the highly specialized border management tasks in the training plans, basic and advanced theoretical and practical classroom-based training as well as on-the-job training, complemented by coaching and mentoring in the field.
- Ensure that training becomes a continuous element for staff throughout their careers (refresher, specialization and new skills/information training), and is based on regularly updated curricula and manuals.
- Broaden and strengthen the capabilities of staff by incorporating in border management training courses on management skills, languages and computer skills.
- Encourage joint training of officers with different profiles in order to encourage cross-fertilization of ideas.
- Establish centralized training facility—and depending on size and resources of the country—other ‘satellite’ training offices or centres.
- Employ training of trainers (ToT) system in order to quickly cascade knowledge down the field level.

Border surveillance/border check specific

- Train relevant law enforcement officials who have first contact with refugees (immigration officers, customs, police, and etc.) in the obligations set forth in relevant international instruments, to enable appropriate and humane screening of asylum-seekers at borders and referral to the competent authorities.
- For positive discrimination, strengthen the gender dimension in the training activities related to human rights particularly with respect to training the staff in charge of receiving migrants or refugees.

Customs control specific

- Promote a strong sense of integrity among the staff by instituting systems of adequate compensation, enhancing the risk of detection, and strengthening the capacity to investigate and prosecute breaches of integrity.
- Establish, as much as possible, autonomous revenue agencies (ARAs) to avoid rigid civil service rules, provide more financial autonomy, and greater flexibility in operational matters with substantial care not to neglect other elements of customs operations that enhance effectiveness and efficiency.
- Engage, whenever necessary, private sector management contractors with a view to enhance revenue performance.

- Change organizational structure if and only if such a measure contributes to improved human resources management and better customs clearances.

v) Communication and Information Exchange

Strategic Objective: Regulate and standardise an efficient and rapid flow of information and effective documentation.

Recommended Strategies:

For all services

a) Communication

- Develop a communication system through which relevant and up-to-date information is made available for operational staffs of border patrol and border control agencies to properly fulfil their duties and respond to threats and emergencies in an appropriate way.
- Develop a communication system through which statistics and data as well as information about the activities of other units flow smoothly, since this forms the basis for budget, resources, instructions, planning and strategy formulation, and helps monitor the work of the regional and local level.
- Ensure both vertical and horizontal information flow within each agency.
- Collect, collate, analyse and disseminate information about the hazards and consequences of drugs, crime and criminality on citizens, their families and societies, including the severe cost of drug abuse and crime on sustainable development.
- Ensure access by women, children and youths to information about their rights, and warnings about the modus operandi of human traffickers, including traffickers in human organs, and recruitment syndicates into crime, prostitution and pornography.

b) Information exchange

- Utilize ICT to improve transparency, greater efficiency and enhanced security.
- Adopt ICT solutions that, if possible, are available off-the-shelf, and most appropriate for the country's operating environment, resource base, telecommunications infrastructure, and realistic development ambitions.
- Adopt operational instructions or manual in which the system of information exchange is clearly described and standardised forms and templates for the reporting of statistical data or information are incorporated.

- Ensure a harmonized system of data collection in order to facilitate data exchange and cooperation with other services.
- Ensure data protection regardless of the method used, (tailor-made or basic IT system, and exchange of information via hard-copies or phone).
- Ensure automated information exchange and communication within the border management agency through a unified system, for example database, intranet and e-mails.
- Provide for a system of collecting, processing and distributing data and information with real-time access for authorised users.
- Allow for data flow management.
- Include a central alert system with clear and transparent processes for the addition and removal of entries.
- Include the possibility of creating statistical/analytical summaries.
- Ensure security, e.g. through firewalls and cryptography.
- Allow links to electronic border protection equipment where feasible.
- Ensure interoperability with the IT systems of other relevant public authorities.

Border surveillance/border check specific

- Conduct sensitization programmes for refugees on the need to respect and abide by the laws in the asylum countries.
- Disseminate information about migrants, through public information and education campaigns and other means in order to promote respect for, tolerance and understanding of migrants, and to counter anti-immigrant and xenophobic attitudes.

Customs control specific

- Integrate modern practices and processes with ICT-driven customs management systems.
- Promote awareness regarding the significance of customs as a key resource in border security highlighting its experience of managing risks and knowledge of international trade as an important element of national security.

vi) Infrastructure and Equipment

Strategic Objective: Provide adequate and sufficient facilities and equipment to enable the operational staff to efficiently perform their duties.

Recommended Strategies:

For all services

- Ensure the adequacy and sufficiency of equipment—both basic and specialist equipment—and infrastructure in relation to the flow of passengers and vehicles at each BCP, ICS and BIP.
- Formalize standards of equipment and infrastructure used by each agency in connection with an overall investment policy, which takes volume and nature of the traffic at each BCP, ICS and BIP into consideration.
- Ensure allocation of resources are based on the actual needs of BCPs, BIPs and ICSs especially in connection with the processing of high-risk goods and persons, and establish minimum standards for each BCP, BP and ICS.
- To ensure economies of scale in the face of budget restrictions, develop investment plans that allow the procurement of adequate infrastructure and equipment in a timely manner; the plans should cover BCPs, border surveillance units, BIPs, search equipment, infrastructure, communication tools, vehicles, roads, parking space, etc.
- Ensure decision making regarding quantity or amount and suitability of equipment and infrastructure for allocation—e.g. how many and what kinds of cars to assign for patrolling the border line—to happen at central level but to be based on official studies of the needs of each BCP, ICS and BIP.
- Ensure uniform definition and use of terms such as basic equipment and specialist equipment.
- Facilitate maintenance systems and procedures for equipment and infrastructure, and allocate budget based on the mode of maintenance, i.e., whether to outsource or to train and employ maintenance staff.
- Develop and implement early warning systems for conflict in order to better manage migration movements and to ensure national and regional stability.

6.1.2. Inter-agency Cooperation

Inter-agency cooperation takes place between agencies in different national ministries while performing their assigned responsibilities in border management. Cooperation and coordination at inter-agency level eliminates the risks and failures associated with the “right hand not knowing what the left hand is doing.”

i) Legal and Regulatory Framework

Strategic Objective: Determine the content and scope of the cooperation and information exchange between the involved stakeholders.

Recommended Strategies:

For all ministries and agencies

- Implement or enact laws that empower agencies to cooperate with other actors, and that oblige them to provide assistance to other agencies in specific cases.
- Ensure consensus among ministries and agencies on the scope of their cooperation (including the delegation of authorities) through formal agreements or MoUs, copies of which are distributed to each signatory.
- Ensure that inter-agency agreements or MoUs covers relevant areas such as information and data exchange obligations and mechanisms (e.g. focal points, common use of databases), including a reference to data protection; joint risk analysis and/or sharing of risk assessment reports or intelligence; day-to-day cooperation procedures at BCPs and inland points, including joint operations and controls, e.g. detecting persons attempting to cross the border illegally; preventing or detecting customs crimes and offences; detecting smuggling of protected species, drugs and stolen vehicles, and illegal transportation of waste, harmful chemical substances, radioactive and nuclear material and other dangerous items across the border; joint training; sharing of equipment/facilities and joint procurement; and early warning and contingency plans.
- Enact national data protection law which clearly defines the standards to be applied in information collection, exchange and storage.
- Establish national boundary commissions, composed of representatives of all agencies involved in border management, with mandates to enhance peaceful, safe and prosperous borders.

ii) Institutional Framework

Strategic Objective: Ensure agencies are well-structured and established to enable them to interact with each in the performance of their tasks of managing borders.

Recommended Strategies:

For all ministries and agencies

- Establish a formal coordination structure in the form of an inter-agency working group that is mandated to meet at regular intervals and be composed of high-ranking officials from each ministry, supported by operational border management experts from each agency (lawyers, management, etc.) and controlled by a supervisory group or steering committee, which is directly under the auspices of the political leadership; and whose functions are to resolve problems of cooperation, and to identify areas where increased information exchange would be beneficial and where other joint interests exist.

- Establish a formal coordination structure in the form of a national boundary commission whose mandate is to manage the nation's borders by coordinating the activities of all national border agencies, and assuming responsibility for daily, weekly and ad hoc situational reports; immediate factual information on situations; and early warning messages.
- Establish units within national boundary commissions to undertake specialized tasks that cut across agencies.
- Exchange liaison officers between agencies.
- Set up joint agency offices to undertake tasks such as threat and risk analysis.

iii) Procedures

Strategic Objectives:

- Establish an overall workflow in which the activities of all relevant border management agencies are included.
- Ensure a smooth processing at the BCP and coordinated border surveillance activities.

Recommended Strategies:

For all ministries and agencies

- Identify and describe existing workflows of each agency at central/federal, regional and local level, wherever the area of competence of another stakeholder is touched upon, especially with regard to responsibilities, sequencing and processing times at the BCP.
- Jointly resolve identified overlaps and delays, and amend the relevant procedures accordingly.
- Develop procedures and utilize instruments to provide transparency and ensure that all required checks are completed—e.g., routing slips that list the controls of goods performed by the customs and inspection services at the BCP, and are stamped and signed after each step of the procedure has been completed.
- Develop and issue standard procedures that guide officers and inspectors at a BCP, ICS, BIP or in a mobile control unit how to act if they find items relevant for other services; and that include provisions for lists of consignments, definitions and standards of goods, including which service starts the procedure and which type of specialized equipment is needed.

- Develop a *common risk strategy* that identifies and addresses the strengths and weaknesses of the current border management system to implement as a response specific activities; e.g. identifying adequate inland control points on major transit routes or joint mobile units of customs officers and border guards.
- Consider the options for *joint or coordinated controls* at BCPs to shorten processing times; e.g. the one-stop control and single-window concept.
- Provide for *joint operations* in which targeted, high-impact operations on specific groups of people, vehicles or cargoes can take place at the BCP, in the border zone or inland.
- Develop at central level *contingency and emergency plans* to clarify the division of responsibilities in case of imminent threats to national security or public health, or extreme situations such as natural disasters, pandemic diseases, mass influx of irregular migrants or refugees, terrorist activities or major accidents and fires in the border zone; adjust them for the regional and local levels; and inform each BCP about the distribution of responsibilities and tasks among the services present.

iv) Human Resources and Training

Strategic Objective: Enhance knowledge and understanding of the tasks and responsibilities and needs of other border management agencies.

Recommended Strategies:

For all ministries and agencies

- Design joint training activities that involve staff from all border management agencies to enhance confidence-building, information exchange function, and efficient use of resources.
- Target—for continuous, in-service training—operational and management level personnel from all agencies as well as new recruits.
- Adopt various forms of interagency training including *training on rules and procedures* which deal with or involve cooperation with other actors; *joint training* with other agencies on issues of common concern; *training to familiarise* staff with the tasks and activities of their counterparts and to raise general awareness about the importance and benefits of inter-agency cooperation—areas of such training should include organizational structure, legal framework, basic tasks and competencies, and areas of joint interest.
- Establish or strengthen common national training centres in order to reduce costs for individual agencies, facilitate the cross-fertilisation of ideas, provide situations in which staff from different agencies can come into contact, informally and formally, and reinforce the concept of a nationally cohesive approach to border management.

v) Communication and Information Exchange

Strategic Objective: Ensure continuous flow of information and regular communication between agencies.

Recommended Strategies:

For all ministries and agencies

- Establish a three-level interagency communication approach, namely, local (shift managers/leaders in daily contact; BCP chiefs meeting regularly, e.g. on a weekly basis); regional (heads of regional office conducting regular—e.g. monthly—meetings and ad hoc); and central/federal (representatives of all agencies meeting regularly, for example on a monthly basis, as well as ad hoc; representatives of the IBM inter-agency working group meeting on a regular basis—e.g. twice yearly).
- Clarify in a formal agreement what information will be shared between all participating agencies and with whom; then decide how the information will be exchanged, and meeting protocols and minutes (also for ad hoc meetings) drafted, distributed and filed.
- Develop new or upgrade existing IT systems taking into consideration compatibility with other systems in use and planned; security (data protection, access regulation); accountability (records of access, usernames etc.); and adaptability (adding/amending components/modules, users etc.).
- Create joint systems, such as one overall operating system with sub-modules allocated to each border agency to facilitate authorised information exchanges.
- Establish an effective early warning system to be in place, be it through a system of contact points in individual agencies or through IT solutions.

vi) Infrastructure and Equipment

Strategic Objective: Share resources to reduce costs and enhance cooperation between agencies.

Recommended Strategies:

For all ministries and agencies

- Assess regularly existing facilities and equipment, and select *priority BCPs* in coordination with all border management agencies—and other possible outlying stakeholders—where resources should be focused; consult the neighbouring state(s) and take their BCP development plans into account.
- Promote sharing border management infrastructure and facilities to achieve enhanced capacity utilization and reduce costs.

- Establish an inter-ministerial joint procurement office to save costs by making use of economies of scale.
- Enter into contracts to formalize non-owner user's responsibility as regards use of BCPs and/or BIPs, maintenance and coverage of costs.

vii) Cooperation with Other Stakeholders

Strategic Objective: Ensure greater effectiveness and efficiency by taking into account the activities and interests of other governmental and non-governmental stakeholders.

Recommended Strategies:

For all ministries and agencies

- Ensure clear division of responsibilities, and precise procedures for cooperation, information sharing and follow up to enhance cooperation between state actors with overlapping responsibilities as, for instance, in the case of police and immigration authorities who are mutually responsible for inland control and for fighting against trans-border crime.
- Use agreements and MoUs to enhance cooperation between border management agencies and other state actors who could be involved in border management related matters. This could also be done by involving them in the national boundary commissions.
- Enhance customer satisfaction and facilitate trade by communicating simplified versions of relevant procedures to private sector stakeholders such as airlines, cruise and ferry operators, air and sea cargo carriers, railway companies, postal companies, freight forwarders and importers.
- Provide easily understandable, accessible and up-to-date information on border-related issues including standards, regulations and procedures to all stakeholders, including the general public, to eliminate corruption and inconveniences.

6.1.3. International Cooperation

International cooperation takes place between agencies in different countries. Such cooperation can be at the levels of joint-boundary commissions or at agency levels, e.g. immigration departments of two countries working together at a border crossing point. The main objective of such cooperation is to enhance bilateral, regional and international relations on border management matters.

i) Legal and Regulatory Framework

Strategic Objectives: Lay down adequate legal ground to enable the collaboration of agencies of different governments on border management matters.

Recommended Strategies:

Regional, continental and international cooperation mechanisms

- Harmonize national-level legislations regulating the powers and responsibilities of border management agencies and corresponding ministries to cooperate and coordinate on border matters at bilateral, regional, continental, and international levels.
- Strengthen cooperation and partnerships among Member States and the AUC, relevant UN Agencies, and African and other international partners, in order to effectively combat transnational organized crime, including drug trafficking, trafficking in persons and firearms, smuggling of migrants, terrorism, corruption, economic and financial crime, money-laundering and cyber crime, promote crime prevention and enhance criminal justice reform, including restorative justice.
- Encourage closer links between the African Union and the United Nations in preventing cross-border-crimes.
- Enter into regional and international treaties/agreements that enhance regional, continental and international border management.
- Implement AU's Migration Policy Framework for Africa.
- Implement the African Union Plan of Action on the Prevention and Combating of Terrorism; UN Res. 62/159 on Protection of Human Rights and Fundamental Freedoms while Countering Terrorism (2008); Res. 64/297 on the UN Global Counter-Terrorism Strategy; adopt and/or develop African regional agreements against terrorism such as the ECOWAS Counter-Terrorism Strategy and Implementation Plan (2011); etc.
- Implement the AU Policy Framework on Security Sector Reform (SSR) once it has been adopted.
- Utilize the available expert resources of United Nations Office on Drugs and Crime (UNODC), United Nations African Institute for the Prevention of Crime and the Treatment of Offenders (UNAFRI) and United Nations Interregional Crime and Justice Research Institute (UNICRI), International Organization for Migration (IOM) and International Criminal Police Organization (ICPO-INTERPOL) in the various capacity building and research projects/programmes outlined above.
- Adopt and implement regional and international protocols, declarations and conventions against SALW; e.g. the Bamako Declaration of the African Union, 2000; the UN Firearms Protocol, 2001; the UN Programme of Action (POA), 2001; the UN Security Council Resolution 1373; the ECOWAS Moratorium, 1998; the ECOWAS Convention on Small Arms and Light Weapons, Their Ammunition and Related Material, 2006; the Nairobi Protocol, 2004; the SADC Protocol, 2004; the OAS Convention, etc.

- Adopt and implement regional and international protocols, resolutions and decisions against drugs; e.g. the 2008 African Union Plan of Action for Drug control and Crime Prevention (2007 – 2012); ECOWAS Resolution relating to the Prevention and Control of Drug Abuse in Africa; etc.
- Expand the Continental Early Warning System (CEWS) to include variables on border monitoring.
- Involve international partners such as UNODC and INTERPOL to assist in the prevention and combating of cross-border.
- Harmonize drug control legislation across the continent; disseminate updated model laws among AU Member States.
- Adopt and implement regional and international protocols, resolutions and decisions against organized crime; e.g. the UN Convention on Transnational Organized Crime and its three Protocols on Trafficking in Persons, Smuggling of Migrants and Trafficking of Firearms; the UN Code of Conduct against Cyber Crime; the UN Convention against Theft of and Trafficking in Cultural Property; etc.
- Adopt and implement the United Nations Security Council resolutions 1373 (2001), 1624 (2005) and 1963 (2010) on terrorism.
- Adopt and implement UN Res. 64/221 on South-South Cooperation.
- Develop and implement regional and international protocols, resolutions and decisions that enhance border management such as the ECOWAS Protocol relating to the Mechanism for Conflict Prevention, Management, Resolution, Peace and Security (1999); etc.

Bilateral Cooperation

- Enter into regional treaties/agreements to establish joint-border cooperation commissions to deal with bilateral and/or trilateral border issues such as security and trade.
- Establish legal frameworks that allow bilateral cooperation between agencies in border management.
- Expand bilateral cooperation to include as many areas as possible—designation of official contact points or liaison officers or establishment of contact offices, joint training/exercises, joint patrols, cross-border surveillance, exchange of information, harmonisation of day-to-day work practices at the BCP, etc.

ii) Institutional Framework

Strategic Objective: Ensure adequate organizational structure exists at international level to effectively implement tasks related to border management.

Recommended Strategies:

- RECs and the AU should establish institutional structures for enhancing border management at regional and continental levels.
- Governments should deploy or exchange liaison officers.
- Each government should establish contact points to exchange information on regular basis with counter-parts in neighbouring countries.
- Establish regional working groups to generate or revise regional policies on border security, cross-border trade, border infrastructure development, data exchange, and other regional border issues.
- Ensure information on border management generated in meetings of regional and international organisations such as Interpol, the UN agencies, the IOM, and the WCO is received and utilized to enhance border management in Africa.
- Enter into MoUs with international organizations with mandates on border management to share best practices and technical expertise, and to collaborate on areas of mutual interest.

iii) Procedures

Strategic Objective: Ensure standard practices are used in managing borders across Africa.

Recommended Strategies:

- Harmonise procedures at the BCPs so as to ease the flow of goods and people across borders, undertake joint operations, and gather and analyse data.
- Develop common guidelines for joint controls, patrols, searches, forensic examination, surveillance and other operations at the borders.

iv) Human Resources and Training

Strategic Objective: Promote enhanced service quality.

Recommended Strategies:

- Encourage border management personnel to participate in international training workshops, study visits and exchange programmes to sharpen and update their skills and knowledge on modern border management techniques
- To increase mutual understanding between neighbouring countries, the training curriculum for newly recruited personnel should include modules on the general knowledge, as well as the institutional frameworks and operational procedures, of the countries in their regions.

- Harmonize training curricula to ensure they are based on similar bench marks, best practices and training material and equipment.
- Identify regional centres of excellence and support them to offer regular courses.
- Develop a regional and continental pool of trainers.
- Design comprehensive curricula that include practical training, knowledge acquisition and theoretical foundation of approaches such as IBM.
- Besides being trained in equipment use, procedures and thematic subjects, participants in courses must also acquire basic skills in regional and international languages.

v) Communication and Information Exchange

Strategic Objective: Ensure efficient and reliable sharing of information between governments and international organizations.

Recommended Strategies:

- Establish effective external communication mechanisms in order to create functional interfaces between border agencies in different countries.
- Give priority of communication to neighbouring countries, countries of origin of significant flows of migrants, strategically relevant exporting and importing countries, industry representatives within these countries as well as relevant international organisations.
- Ensure communication between BCPs (local level), between regional headquarters, between ministry/agency (government level) and at bilateral/multilateral/regional level.
- Ensure regular central and regional level meetings between representatives of border agencies from different countries at all levels.
- Ensure regular contact and day-to-day working relations of heads of BCPs with their operational counterparts across the borders.
- Allow periodic systematic exchange of national reports and statistical data between the authorities of neighbouring countries.
- Encourage border control professionals to utilize membership of international professional and think-tank networks to capitalize on experience and knowledge sharing.

vi) Infrastructure and Equipment

Strategic Objective: Enhance performance and the efficient utilization of resources.

Recommended Strategies:

- Coordinate the grading of BCPs with neighbouring countries to ensure that a similar level of control is in place at both sides of each BCP.
- Promote joint use of BCP facilities and equipment on condition that there are agreements or MoU facilitating the settlement of relevant cost-sharing, responsibility, maintenance, and other issues.
- Ensure direct and efficient Internet, radio and telephone communication access in all BCPs, ICSs and BIPs in order to make certain the easy availability of information.

6.2. CAPACITY BUILDING—TRAINING STRATEGIES

6.2.1. Overview

In chapter 4 of this document, a brief account was given highlighting the importance of capacity building as one of the three Pillars of this border management strategy. The AU recognizes the efforts of its Member States to keep their borders safe and peaceful while facing the challenges of keeping out criminals and contraband goods. The AU is also aware that many of its Member States are encouraging many difficulties in securing their borders due to multiple reasons, some of which were mentioned in above sections.

This chapter builds upon the fact that some of the obstacles and complications encountered in managing African borders are related to capability gaps, which need to be filled through a number of measures outlined in Chapter 4. This chapter isolates training from among these programmes as an immediate area of intervention, and recommends appropriate strategies that augment AU's efforts of enhancing border management in Africa.

6.2.2. Philosophy

The traditional view of training is that trainees must complete the number of hours assigned to a course or module as a measure of success. This view ignores the fact that organizations seek to train their employees and invest resources only to induce practical changes in the way employees behave and perform their assigned tasks. Consequently, the traditional view is inadequate to represent the kind of result this Strategy aspires to bring into border management in Africa. The anticipated border management training programmes must be based on an approach that focuses on improving the current performance of border management personnel and on bringing significant changes in the way borders are used.

6.2.3. Purpose

The purpose of border management training in Africa is to equip border management personnel with the relevant knowledge, skills and attitude to perform their assigned duties in the manner that reflects the functions and purposes of borders. This involves a significant degree of improvement in performance by each and every concerned border management actor, regardless of position and type of job. In addition, the training aims at supporting the effective implementation of the IBM approach as incorporated in this document, namely the enhancement

of cooperation and coordination at various levels and in diverse situations. As a result, this strategy guides curriculum development to focus on the recommended strategies.

6.2.4. Scope

The border management training focuses on the training of personnel who have been with their organizations for some time, and have some degree of relevant experience with border management. That is, it does not accommodate new recruits whose immediate need is basic training. This implies that basic training activities are outside the scope of the current strategy.

6.2.5. Training Needs Analysis

Due to the persistence of African border management problems national governments, RECs, the AU, international organizations such as the IOM and the UN as well as Western governments such as the US and France have called for prioritization of enhancement of border management in Africa. There have been a series of consultative and legislative meetings especially at regional and AU levels where exhaustive studies and discussions have focused on how to transform border management in Africa in fundamental ways. Among the areas that have drawn attention as deserving action is the development of human resource, particularly in the performance of duties and capabilities to efficiently manage borders without endangering national sovereignty and regional security. As an important factor in border management, personnel must be continuously trained in procedures and equipped with relevant knowledge and skills that makes them competent and efficient in the performance of their duties.

6.2.6. Training Curriculum and Modules

A. Curriculum Design

Upon evaluation, enrichment and approval of this training strategy by the concerned bodies, a curriculum will be designed, developed and implemented across the continent at identified centres of excellence.

B. Identification of Core Subjects

The core subjects can be divided into three categories in accordance with the cognitive, psycho-motor, and attitudinal pedagogical classifications: those that equip skills, those that furnish knowledge, and those that reform attitude. Based on this understanding, the following can be recommended:

i) Skills:

- Management/leadership/interpersonal
- Performance monitoring and evaluation techniques
- Conflict management
- Crisis management (which includes mass movements of people across borders, etc)

- Communication procedures
- Workplace coaching and mentoring
- Interception procedures
- Identification procedures
- Tasks and responsibilities of border management agencies
- Inter-agency communication
- Language competence/proficiency
- Computer skills
- Report writing
- Data collection and analysis
- Skills to detect corrupt practices
- Skills and techniques for encouraging the reduction of and combating the presence of corruption

ii) *Substantive Knowledge:*

- The Concepts of IBM
- Concepts of border management
- Human rights
- Transnational crimes
- Migration (theories, typologies, etc)
- Africa and globalization
- Technology and society
- Impacts of corruption

iii) *Attitudes/Core Values/Principles:*

- Accountability
- Integrity

- Transparency
- Gender issues
- Legal procedures
- Safety and security procedures
- Environment protection
- Ethics
- Corruption

C. Identification of Modules

Modules can be developed from the above core subject areas, and differentiated among the various categories of staff, based on relevance and degree of complexity of job. Management level programmes will be offered at regional centres of excellence. Those training programmes targeting border-level staff are to be provided at national centres.

D. Target Groups/Trainees

Border management training targets the following categories of staff:

- National level (upper echelon) management
- Supervisory (middle level) management
- Operational/ border level staff

E. Entry and Exit Profile of Trainees

Training outcomes cannot be left to guesswork. Based on needs assessment—and, later on, based on impact assessment—trainees must be profiled or described in terms of what they look like when they enter into training and when they leave. Effective measurement and evaluation mechanisms must be installed for the purpose such as, for example, entrance exams of trainees. The entry and exit descriptions, then, must be incorporated in the curriculum. Note that short-term training programmes involve gaps and interruptions, and thus some follow-up mechanism to trace trainees up to their workplace and to conduct impact assessment on a regular basis should be established.

F. Trainee Selection Criteria

Selection of trainees is an agency responsibility, and yet there must be some basis for selection to be applied uniformly by all agencies. This calls for establishing selection criteria which are based on certain relevant *principles* and *eligibility criteria*. The selection criteria may include, for instance, the following:

c) Professional standards:

- Commitment to pursue the career which one is to be trained in, and the capacity to complete the training program.
- An appropriate academic record and work experience in the area of training.
- Professional expertise that includes a minimum level of basic skills necessary for the completion of the training, etc.
- A range of working experiences in different job descriptions and working locations – from head quarters to regional offices to isolated field locations.

d) Personal attributes:

- Good health and conduct—the ability to function professionally without seriously endangering oneself or others.
- Willingness to work in stressful situations.
- Reliability and responsibility—the ability to be accountable and dependable with regard to oneself and others.
- Acceptance of teamwork—the ability to understand one's responsibilities and to work effectively and cooperatively with patients, staff and colleagues.

G. Trainers

Unlike formal education, skill-oriented short-term training requires enriched professional expertise and actual field experience from trainers. This is because what trainees basically lack is immediate interface with their jobs requiring a down-to-earth, fast, effective correction that enables them to get back to their jobs as soon as possible.

This has a direct bearing on the method of selection of trainers. In addition to practical experience and expertise, trainers should be equipped with the pedagogical know-how to deliver the training effectively.

H. Training Centres

There are several training centres in many African countries, with relevance in one form or another and a willingness, to offer courses. These centres will be contacted and assessed in relation to infrastructure, facilities, proximity and other relevant criterion. The best ones will be selected as regional centres of excellence in border management training.

One such facility is the International Organization for Migration's (IOM) African Capacity Building Centre (ACBC) that was established to support African States' efforts to enhance migration and border management both on a national and regional scale. The ACBC's portfolio covers all topics along the migration management continuum and has a significant focus on border management. The ACBC is committed to foster a border management

philosophy that balances facilitated movement of people and cross-border trade with border security and crime prevention.

Since its inception in 2009, the ACBC has assisted a number of African countries, through the expertise of its team, to acquire highly specialized migration and border management knowledge and skills through four core activities:

- i. Shaping and delivering specialized border management training programmes;
- ii. Assessing border and migration management capacities of requiring countries and developing dedicated projects to strengthen their capacities;
- iii. Reinforcing migration data collection and analysis, notably through the installation of IOM's in-house Border Management Information System; and
- iv. Fostering national synergies, regional cooperation and cross-fertilization of ideas and projects.

During its two years of existence, the ACBC team has trained over 1, 400 persons from more than 20 different nationalities, and has assisted with the implementation of projects in 34 African countries and regional bodies.

The forward-looking approach adopted by the ACBC and its objectives reflects the vision enshrined in the 2010 Declaration on the African Union Border Programme (AUBP) to identify and partner with Centres of Excellence to enhance border management in Africa.

I. Duration of Training

Training programmes will have a maximum of 10 working days.

J. Number of Trainees

The number of trainees during a course may range from 10 to 30 depending on the background of the trainees and the focus area of the particular course. If, for instance, the course requires high levels of interaction of senior management staff and is designed to promote specific management/supervision/coaching/communication skills, the number should be limited to 10. Otherwise, a course ceiling of 30 will be taken as a norm.

6.2.7. Coordination Structure and Post-Implementation Assistance

The AU, which is the driver of this strategy, has made the necessary arrangement by establishing the African Union Border Programme (AUBP) to handle all African border-related issues. It is, therefore, automatic that the coordination and support role that should be played by the AU will take place through the AUBP.

6.3. COMMUNITY INVOLVEMENT STRATEGY

6.3.1. Definition of Community Involvement

In this Strategy, community involvement:

- Refers to the deliberate act of border management agencies to seek support of, and work closely with, local communities in the management of borders in Africa.
- Presupposes border management agencies as a legal authority establishing a useful relationship with the border communities, developing a genuine and thorough understanding of how the communities contribute to the security of the borders. The success of this cooperation lies in the commitment of border management agencies to working with local communities and recognising their strategic placement at the borders.

The Strategy regards the following people, organizations (government, public, private and non-government), and entities as eligible for community involvement:

- Those who share a border locality or area for living and/or working repeatedly and/or for a considerably long period of time; and
- Those who have a legitimate interest or stake in either the success or failure of border management.

6.3.2. Major Characteristics of African Borders and Communities

- **Chronic tensions over access to grazing land and wells.** Borders in Africa are in the remote parts of the countries, where communities compete aggressively for scantily available resources such as pasture and water. According to some studies, pastoralists live in 21 African countries occupying some of the driest areas that provide nothing much for the people as a means of sustenance. Due to these and other circumstances like frequent drought and famine, the pastoralists have sometimes used desperate means to survive.
- **Underdevelopment.** Border areas are generally marginalized, neglected, and underdeveloped than those areas which are closer to capital cities and hubs of economic activities such as mining. Their livelihoods are usually threatened by poor or lack infrastructure and facilities necessary for promotion of human security.
- **Border irregularity.** Some African borders are so irregularly marked that they cut asunder clan and family members making the border difficult to control. Violence that starts on either side of the border normally invites kinsmen at the other side to join and escalate the problem.
- **Collaboration with criminals.** Distance from national capitals normally means in the African context being alienated from crucial public services such as policing and legal coverage, and falling prey to all kinds of opportunism including cross border crimes. By force or by consent, some members of border communities involve themselves, as accessories or as active players, in cross-border criminal activities.

- ***Traditional Conflict Resolution Mechanisms.*** Not everything about border areas is negative. There are embedded qualities among many border area ethnic communities in the manner of highly respected structures of self-governance, political participation, and juridical systems. These coupled with their intimate knowledge of the border terrain, makes them assets in managing African borders.

6.3.3. Culture of Community Involvement in Africa

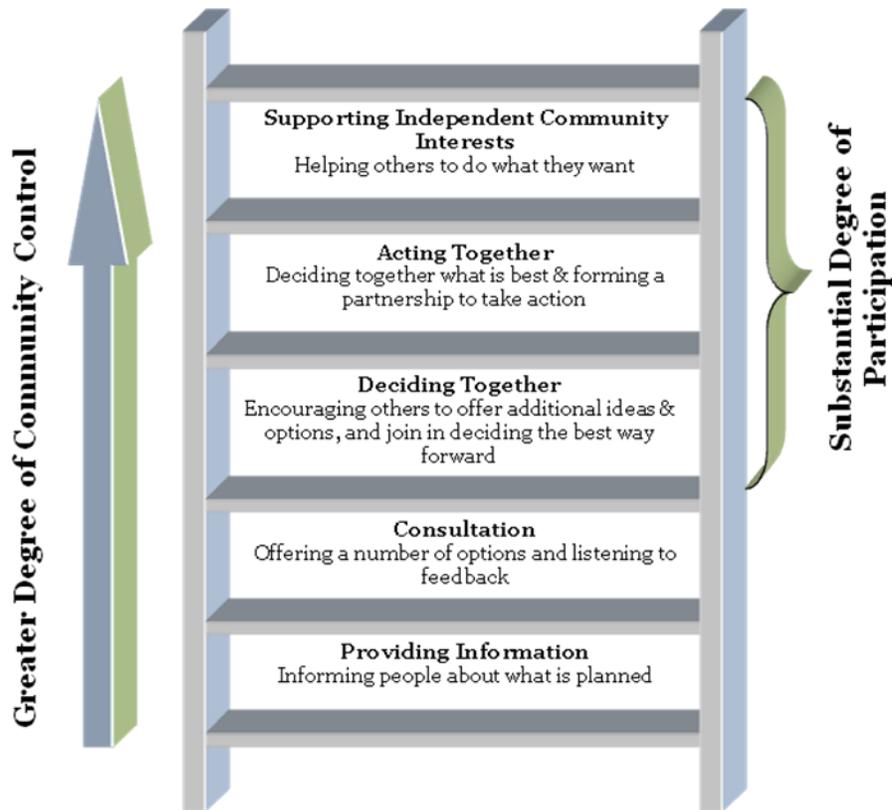
Despite the gravity of the security issues in the borders and the fact that the local communities are right in the middle of these problems—often as victims—little attention has been given to involving them in border management decision making as part of the remedial package. Local people have been on the sidelines assuming at best an indifferent role. As part of the new outlook toward border management, there is now a prevailing thinking that gives border area communities their rightful place in the border management strategy. According to this thinking, local communities have enough knowledge and skills that are essential for keeping African borders safe, peaceful and secure, if properly harnessed.

6.3.4. Strategic Objectives:

- Enhance local communities' sense of ownership by involving them in the management of the borders.
- Assist border communities to build confidence, enhance awareness and develop skills that are useful in the long-term transformation of their communities.
- Ensure timely availability of otherwise impossible high-value information or intelligence shared by participants who have built trust and confidence in border authorities.
- Ensure enhanced border security situation, as locals have intimate knowledge of the borders that could be useful in detection and prevention insecurities.
- Transform the image of security services in the eyes of local population who in many cases treat them with hostility, suspicion and as intruders and strangers in their land.

6.3.5. Framework of Community Involvement

Community involvement is a multifaceted phenomenon that works in two ways. On the one hand, information flows from the community to influence border management decisions by formal authorities. On the other hand, the community needs priming in the form of initial sharing of information from the authorities. The outcome of the communities' involvement is then governed by the degree and level to which official border personnel are willing to engage with the locals. The diagram illustrates this concept with some clarity.



The community participation ladder adapted from a model developed by David Wilcox (1994)

6.3.6. Guiding Principles

The following principles guide border management authorities' approach toward effective community involvement:

- Communication agendas and processes must be clear and known to all participants;
- Wherever possible, communication must be purposeful and timely, particularly in relation to consultation and decision making;
- Wherever possible, communication must be open, honest and frank;
- In general, relevant information should be available in a transparent manner, and only withheld in exceptional cases (e.g. to preserve confidentiality);
- Communication is a two-way process. It is not just a question of messages being passed down from the authorities to the community: upward and horizontal communication is equally important;
- Effective communication increasingly depends on information systems which must be easy to use, accessible, robust and reliable; and
- The authorities must communicate effectively within themselves and with the community which they serve.

6.3.7. Standards for Community Involvement

The following standards for community involvement will help accomplish the strategic objectives by defining the relevant kind and combination of people to be selected for the purpose.

- i) *Reasons for community involvement.*** Border authorities must be clear and transparent why they are involving the community in decision-making; what benefits the community can expect; how their views will help inform the decision-making process; and the need to share ownership of the joint decisions and some degree of accountability for the outcomes.
- ii) *Criteria of who to involve.*** Border authorities must be all-inclusive as much as possible, and make the effort to include a representative sample of the whole community; and pay particular attention to the involvement of individuals or groups who are usually difficult to reach such as women, minority and/or isolated ethnic or caste groups, non-sedentary people like pastoralists, disabled people, young and older people.
- iii) *Mechanisms of involvement.*** Where infrastructure and facilities are underdeveloped, it is difficult to communicate with communities. Announcements of meetings and notification of decisions at African border levels may be challenging, but these and other activities can hardly be ignored. So it is up to the border authorities to find most suitable methods to reach the public and ensure maximum participation during meetings.
- iv) *Time and location of involvement.*** Care should be taken in the selection of time and place for meetings, as it determines success or failure in accomplishing its purpose. If the border communities are nomads who are constantly on the move, their involvement in border management could be particularly difficult. If involvement is a strategic tool, then officials have to do whatever it takes to ensure it. In Christian communities, inviting people for meetings on Sundays is an impossible arrangement, as is Friday for Muslims.
- v) *Motivational factors.*** In situations where participation is voluntary, few people will take the pains to attend regularly. Correct this shortcoming with incentive mechanisms which may or may not involve payment. Easier options are also available such as prizes, recognitions, etc.
- vi) *Coordination.*** Community involvement is a serious business, and it must be treated as such. Border authorities should stay advised to ensure the existence of a coordinating office or an already existing office to which the task can be delegated. Without coordination, things get awry, and it is a pity if so grand a purpose fails here.
- vii) *Approval of involvement.*** Secrecy and confidentiality may require once in a while the need to exclude community representatives, who should be informed of this chance occurrence ahead of time, probably as part of community involvement procedures.
- viii) *Feedback.*** Community representatives have to be furnished with periodic updates of decision outcomes for which they are responsible.

7. IMPLEMENTATION ROADMAP

7.1. Coordination and Networking Mechanisms

7.1.1. Intra-AU Coordination Mechanism

Effective implementation of this Strategy demands the active and direct support rallied behind it by all the relevant AU commissions, departments, divisions and other organs. Among these bodies, are: the AU Commission (particularly the departments of Peace and Security, Social Affairs, Economic Affairs, Political Affairs, Human Resources and Legal Counsel), the Permanent Representatives' Committee (PRC), the Peace and Security Council (PSC), the AU Court of Justice and Human Rights, the Pan-African Parliament and other bodies depending on their functional relevance and potential contribution to the purpose. The idea is that representatives from each of the AU bodies will come together to form a team that will advise the AUBP, the coordinating body. The team's main task should be to periodically meet, say semi-annually, and examine the implementation of the Strategy according to the plan, provide direction, and ensure momentum. In addition, because the Strategy is comprehensive enough to include political, social, cultural, economic and other key African issues that lie within the domains of a number of departments in the AUC, the team will serve broader objectives that would ensure that there is a maximum level of coherence within parallel programmes and of economy of effort.

7.1.2. Inter-Africa Coordination Team

Because the Strategy is ultimately to be turned over to AU Member States and RECs for implementation, there should also be some means for the AUBP and these major actors to work together, coordinate their respective roles, and harmonize the implementation process throughout the continent. Similar to the above arrangement, a team of representatives from each Member State and RECs will be established to meet periodically, say quarterly, with the AUBP to review and measure implementation progress at each Member State and/or REC level, identify problems, and exchange best practices.

7.2. Implementation Phases

Supporting or complementing the Strategy, there are also other activities to be done, either simultaneously or sequentially, with implementation of those major ones recommended in the Strategy. This calls for an incorporation of a fairly structured, time-based or phased approach within the comprehensive action plan. The following series of parallel or sequenced activities are designed to lead the Strategy to accomplish the set objectives in a more effective and efficient manner:

7.2.1. Phase I: Oct. 2012 – June 2013

A. Stakeholder Buy-in

There are generally three factors that make or break strategy implementation. These include: (i) the need for a sound and compelling strategy that distinctly establishes itself as the best possible alternative to the accomplishment of a set of objectives; (ii) the right mix of implementation approaches, performance reviews, and accountability; and (iii) buy-in.

The third criterion, buy-in, is a strategic tool that should be adopted in this Strategy to effectively rally the support of actual actors and other stakeholders behind the Strategy as well as to ensure their ownership. It is essential that the major African border management actors and other stakeholders are familiar with the Strategy, and that they wholeheartedly embrace it. This necessitates careful identification of stakeholders and the nature of their involvement; approaching stakeholders; familiarization and popularization programmes such as workshops; and effective coordination mechanisms and levels of communication. It is mandatory that the Action Plan accommodate a specific schedule for implementing buy-in as a preliminary methodology to smooth out the field for the main Strategy.

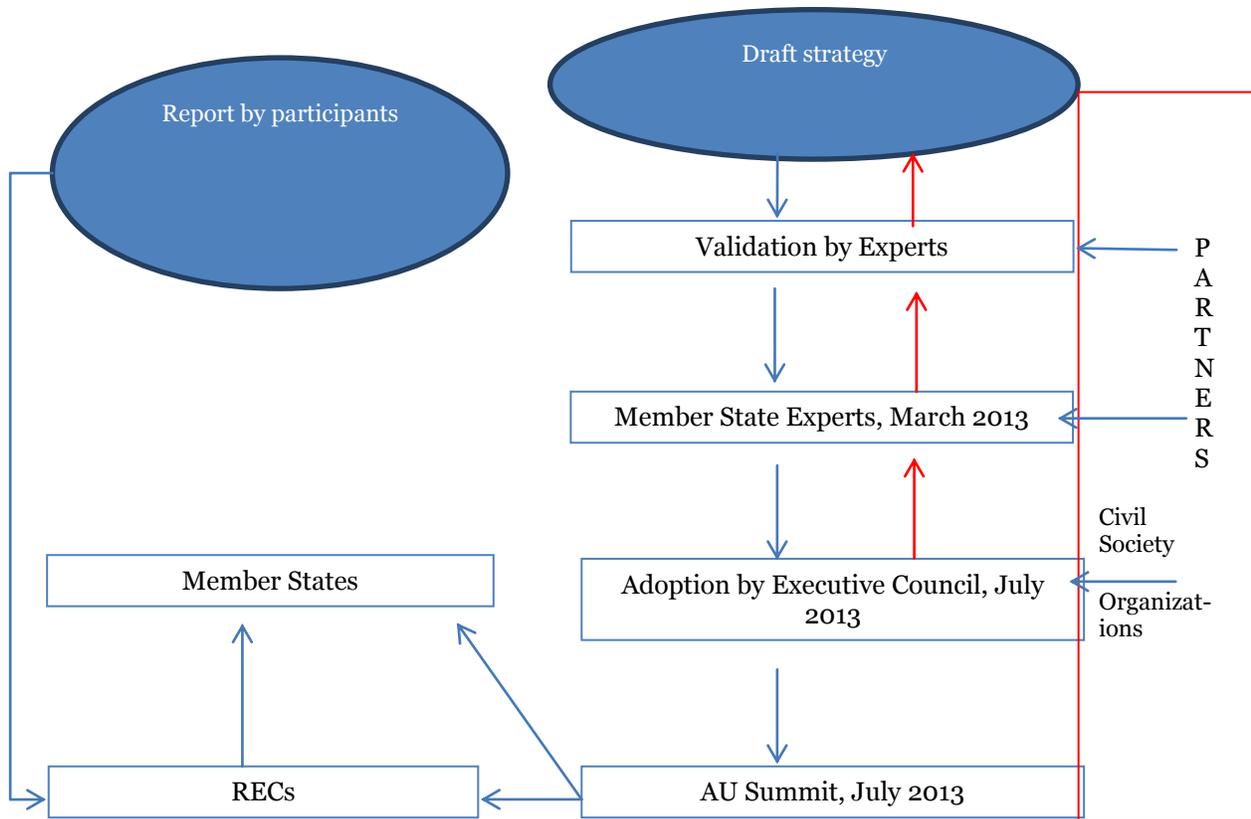
B. Strategy Validation and Adoption

The Strategy has to pass through a thorough process of validation before it is turned over for implementation to Member States and RECs. This process takes a longer period, as it should await final approval by the AU Summit. The following is a breakdown of the process:

- September 2012—Completion of drafting the Strategy
- October 2012—Team of Experts to meet and evaluate the draft Strategy
- March 2013—Presentation of Draft Strategy to the AU Governmental Experts on Border Management for adoption
- July 2013—Presentation of adopted Strategy to the AU Summit for final approval

C. Communication Process

Equally important during this implementation phase is the manner in which the communication process is streamlined to fit the purpose of reaching effectively the various interest groups. A model is provided below to give a clearer picture of the process.



The above diagram illustrates how the validation and adoption process leverages the communication linkages created to enrich the Strategy. In so doing, it outlines only an instance of the various multiple communication issues there are in the circumstances.

D. Initiating Pilot Programmes

As it was shown in Chapter 6, the border management training initiative is one of the pillars of this Strategy, and, as such, priming of some of its components must start ahead of the actual implementation. Training requires a comprehensive plan of action the framework of which has been recommended in that chapter, and it includes, among other things, preparation of curriculum and modules. The consultative meetings had advised the AUBP to initiate the preparation of these workshops immediately following the drafting of the Strategy which informs the training pedagogy. In addition, the AUBP is to plan implementation of the curriculum, one of the first activities of which is piloting the training by using, at least, two programmes to be conducted at REC level at the earliest possible time, preferably, before the end of 2012. These pilot programmes will add impetus to the speedy adoption of the Strategy, to the quality of the training, and to the buying-in effort.

7.2.2. Phase II: Adjusting Border Management Environment (July 2013 – June 2014)

In addition to buy-in, advocacy and other facilitative implementation strategies, it may be worth the effort to think of first ensuring the evolution of the Member State situations, especially with respect to the legal environment. Legislation is usually slow to pass considering the length of the

process, and yet many of the strategies recommended in this document cannot see the light of day without first inducing improvements in the laws. Respecting the right of Member States to pursue this goal at their own pace, it is necessary to provide advice, follow up, share experiences, and encourage temporary measures in order to induce changes wherever they are necessary.

7.2.3. Phase III: Full-Scale Implementation (June 2014 – on-going)

This phase incorporates only the earliest possible time for initiating at full force the whole weight of the Strategy against the African border management problems. Given that Member States adopt their own pace, it is just logical to expect variations in terms of timing and manner of implementation of the Strategy, and in terms of realization of outcomes. The Action Plan should consider this possibility, and, therefore, provide implementers with contingency plans, if necessary, for every possible scenario.

In any case that implementation has moved forward, the efforts of Member Countries and RECs should be closely followed and strengthened as prescribed in Section 7.1.

7.3. Stakeholder Participation and Summary of Roles

Participation of stakeholders in the implementation of the Strategy cannot be limited to AU organs, RECs and Member States. In fact, if this Strategy is to be optimally successful, participation should be more dynamic, more cognizant of changing circumstances, and adjustable in accordance with these changing circumstances. The following list offers the various stakeholders brief menus of their tasks in implementing the Strategy for Enhancing African Border Management. The Action Plan will be build on and expand this list while assigning duties and responsibilities to the stakeholders or participants.

Stakeholders	Responsibilities
Member Countries	<ul style="list-style-type: none"> • Based on the Strategy, formulate and promote national policies, laws, strategies and programmes • Implement Strategy and monitor its long-term impact • Set up national coordinating mechanisms, multi-sectoral and multidisciplinary expert advisory boards and/or teams • Determine the relevant Ministry to take ultimate responsibility for coordinating and facilitating the contributions of other ministries, government agencies and other actors • Provide support through effective legislation, appropriate infrastructure, implementation programmes, adequate funding, monitoring and evaluation, and continuing research • Provide accurate and balanced information • Ensure consistency between national security strategies and border management strategies • Ensure coherence between policies and strategies among multi-sectoral and multi-disciplinary actors in relation to border management activities; (ensure cooperation and integration between sectors and agencies) • Integrate border management issues in education policies, curricula and programmes • Ensure community involvement
RECs	<ul style="list-style-type: none"> • Ensure coherence between policies and strategies among national actors in relation to border management activities • Provide appropriate technical support to build national capacity in planning and

	<p>implementing a national strategy and in tailoring it to local circumstances</p> <ul style="list-style-type: none"> • Provide advice and support to Member States • Facilitate the framing, strengthening and updating of regional and national policies and strategies on border management
AU Commission, its organs, departments, directorates, AUBP	<ul style="list-style-type: none"> • Facilitate the framing, strengthening and updating of continental, regional and national policies and strategies on border management • Facilitate the drafting, updating and implementation of national border management guidelines, in collaboration with national agencies and drawing upon global knowledge and experience (e.g. IBM) • Provide guidance to Member States on the formulation of guidelines, norms, standards and other policy-related measures that are consistent with the objectives of the AUBP strategy • Identify and disseminate information on evidence-based interventions, policies and structures that are effective in promoting and optimizing border security in countries and among border communities • Provide models and methods so that interventions on border security constitute an integral component of regional and national security • Promote and provide training to border management professionals either within existing programmes or in special workshops • Promote the inclusion of border peace and security in development policies and programmes • Conduct, promote and support research in priority areas to facilitate programme implementation and evaluation—activities: commissioning of scientific papers, conducting analysis, and holding technical meetings on practical border management research topics • Work with partner organizations to establish networks for capacity building and mobilizing resources • Mobilize resources and funds to implement the Strategy
International Partners	<ul style="list-style-type: none"> • Support in drawing up guidelines on best practices in border management • Support the drafting of national guidelines in collaboration with AUBP, RECs, and national agencies • Cooperate in the development, testing and dissemination of models for community involvement • Collaborate with the AU and RECs to promote peaceful, safe and secure borders in Africa that are bridges for integration • Support the training of border management personnel to enhance their effectiveness and efficiency
Civil Society and Non-governmental Organizations	<ul style="list-style-type: none"> • Mobilize grass-roots support of the Strategy and advocate for border peace and security to be placed on the public agenda • Support the wide dissemination of information on strategies and measures to reduce and eliminate border insecurities • Form networks and action groups to promote border security, and advocate and support border peace and stability campaigns • Organize campaigns and events that will stimulate involvement and awareness • Assist governments, the AU and RECs in promoting peaceful, safe and secure borders in Africa that are bridges for integration • Play an active role in fostering implementation of the AUBP strategy • Generate knowledge and good practices that enhance border management in Africa
Private Sector	<ul style="list-style-type: none"> • Emulating the airline industry, other private companies should train their employees to enforce guidelines and laws related to border management • Cooperate with security agencies to in preventing and combating cross-border criminal activities

8. MONITORING AND EVALUATION

Implementing a strategy without a monitoring and evaluation mechanism would be like sailing without a chart. It is essentially difficult to know where we are, how far we have come, how far we need to go and how to get there. Planned performance and actual performance are likely to be at variance, and a timely evaluation of the results should contribute to a timely correction of the course. To this end, this Strategy recommends the following to be the framework of a monitoring and evaluation system:

- i) Set assessment framework involving action plan with clear results, indicators, baseline, targets and validation mechanisms;
- ii) Set benchmarks;
- iii) Facilitate review and correction mechanisms;
- iv) Set timeline and responsibility centres; and
- v) Establish reporting mechanisms.

In relation to border management activities, various agencies are at play at one specific spot carrying out different responsibilities. This implies that, in specific terms, it is difficult to recommend the same measurement criteria for all the offices. And yet, allowing that member countries and RECs will have a lot to contribute in streamlining criteria, the following have been agreed upon during consultation as good starting points to measure change and improvement:

At BCP level:

- i) Reduced waiting time at border points;
- ii) Simplified customs procedures, where they exist;
- iii) Reduced congestion;
- iv) Detection and reduction of cross-border crimes;
- v) Increased coordination and cooperation; and
- vi) Updated accessible database.

At national and regional levels, much broader areas are to be explored:

- i) Patterns and trends of border-crossing criminal activities and other risk factors;
- ii) Evaluation of the effectiveness of policies, strategies and programmes to improve border management activities;
- iii) Constraints or barriers encountered in implementation of the strategy and the measures taken to overcome them; and
- iv) Legislative, executive, administrative, financial or other measures taken within the context of the strategy.

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