Integrated Border Management (IBM)

C. L. Broennimann and G. G. Stigmer[1]
[1]ALAKHDAR, Saudi Arabia

Abstract

Economic prosperity relies on the free movement of goods and people, but if those flows are not monitored and controlled the result can lead to smuggling, trafficking and illegal immigration followed by organized crime and terrorism. How can governments maintain the security they need, while at the same time encouraging the trade they want?

As a consequence of the abolition of internal borders within the European Union (EU) and the establishment of the right to free movement, the EU has made an effort managing its common external borders by establishing several internal mechanisms, instruments and bodies as well as various forms of cooperation with the associated Schengen countries and external third actors.

We do not advocate for a "European solution" as the role model for the GCC area and beyond; we are fully aware of the differences and specifics. We are, however convinced that Integrated Border Management with its focus on cooperation on all levels in order to fight border crossing crime is an interesting concept and that the idea of a formal regional cooperation should be further studied and developed.

Keywords: Integrated Border Management, Border Control, Cooperation, Interoperability, Four-Filter-Model, Strategy, Organizational Development

1. Introduction

With the increasing mobility of persons and goods, states need to address the challenge of ensuring the right balance between open, but at the same time secured and controlled borders. To meet these challenges, the concept of "Integrated Border Management (IBM)" was developed in Europe.

IBM requires that all competent authorities work together in an effective and efficient manner. Cooperation should not be established exclusively within each country, but also across its borders and with relevant agencies of neighboring States. IBM seeks to address three levels of cooperation and coordination: intra-service cooperation, inter-agency cooperation and international cooperation

Despite the introduction of IBM in the EU, the ongoing influx of migrants to Europe has emphasized the necessity for strong management of the external frontiers. At the same time trade and legal movement of people has to be facilitated. A clear and consistent migration policy on political level must also be maintained. This highlights the multi-functionality and complexity of Border Management within EU. Notwithstanding that the responsibility for borders remains primarily with its Member States, the EU has developed several mechanisms and policies internally, but also in cooperation with the associated Schengen countries. Additionally, the EU has signed various agreements with third parties and initiated different projects for securing its external borders.

2. From Border Control to Integrated Border Management (IBM)

Over decades, the perception of what constitutes a border has changed. Although there is no definition agreed-upon of what constitutes border security, the importance of controlling the external borders is uncontested as it constitutes a key priority of states. There are three types of borders: territorial, organizational and conceptual. Territorial borders are understood as the classical land, sea and air ports of entry. The second type of borders, organizational borders, consist of the membership conditions for migrants leading to the access to the welfare state, labor market and the national citizenship. Lastly, conceptual borders comprise notions of community and identity. EU refers to external borders as "the Member States' land borders,

including river and lake borders, sea borders and their airports, river ports, sea ports and lake ports, provided that they are not internal borders" (EU 2006: Article 2(2)).

EU applies a holistic approach to border management and ensures that standards are commonly agreed and valid for all Member States as is shown in figure 1 below.
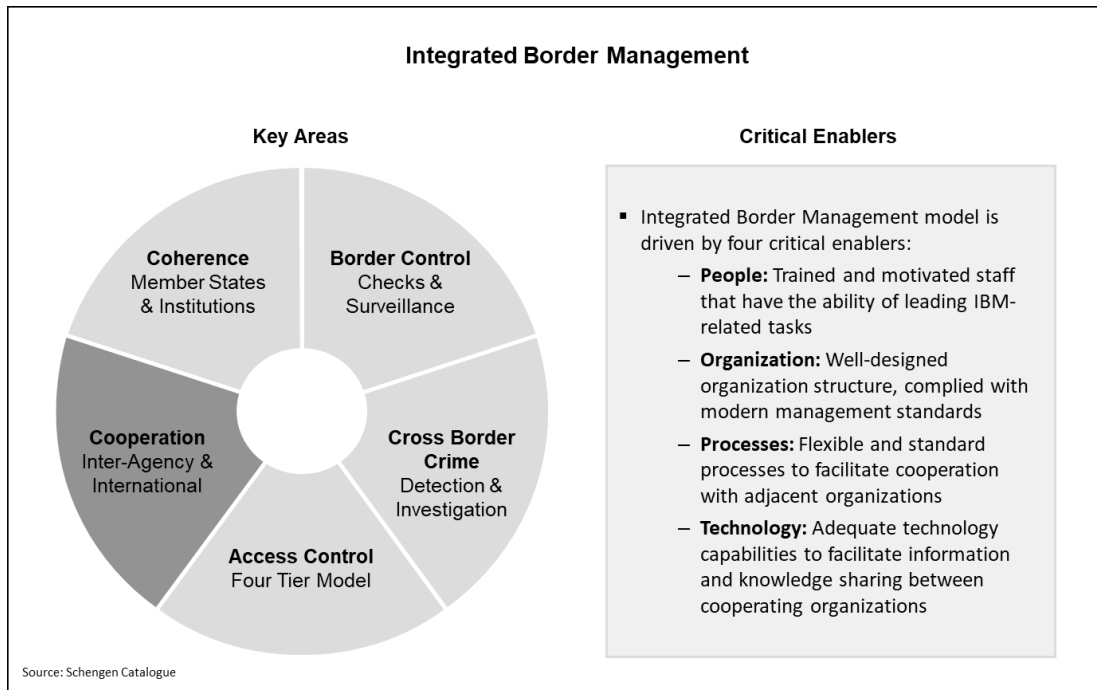

Figure 1: Integrated Border Management

According to the EU Border Management Strategy, the following dimensions constitute the conceptual framework of IBM:

- Border control (checks and surveillance) including risk analysis and crime intelligence;
- Detecting and investigating "cross-border crime" in cooperation with all the relevant law enforcement authorities;
- The four-tier/filter access control model (see figure 2 below), which includes measures in third countries of origin or transit, cooperation with neighboring countries, measures on border control at the external borders and control measures within the common area of free movement;

- Inter-agency cooperation in border management including border guards, customs and police, national security and other relevant authorities; and

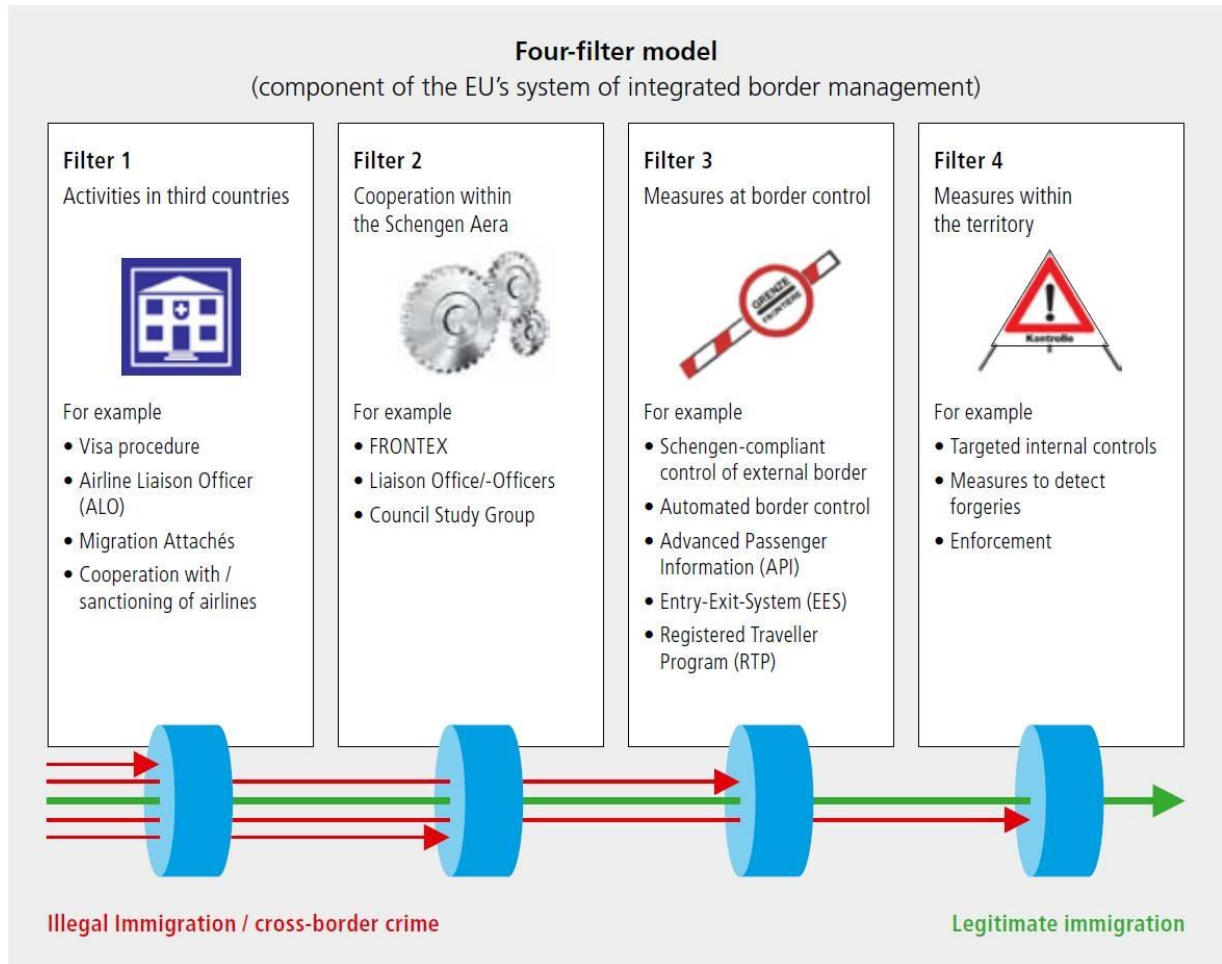- Coordination and coherence at the national and transnational level.

Four-filter model
(component of the EU's system of integrated border management)

Filter 1
Activities in third countries

For example
- Visa procedure
- Airline Liaison Officer (ALO)
- Migration Attachés
- Cooperation with / sanctioning of airlines

Filter 2
Cooperation within the Schengen Aera

For example
- FRONTEX
- Liaison Office/-Officers
- Council Study Group

Filter 3
Measures at border control

For example
- Schengen-compliant control of external border
- Automated border control
- Advanced Passenger Information (API)
- Entry-Exit-System (EES)
- Registered Traveller Program (RTP)

Filter 4
Measures within the territory

For example
- Targeted internal controls
- Measures to detect forgeries
- Enforcement

Illegal Immigration / cross-border crime

Legitimate immigration

Figure 2: Integrated Border Management Four-Filter/Tier Model

3.   A Structured Approach to Cooperation – Example from the Saudi Border Guard

The Mission of the Border Guard of the Kingdom of Saudi Arabia, an agency of the Ministry of Interior, is to support the nation's security: to proactively secure the borders, sea ports and harbors of the Kingdom through preventing and restricting smuggling and infiltration, protecting vital infrastructure at the coasts, performing and coordinating search and rescue operations, and contributing to preserve the environment while serving the society. These critical duties are fulfilled in compliance with the Islamic Sharia, applicable regulations and international treaties in close cooperation and coordination with partners proactively ensuring the security and safety of the Kingdom of Saudi Arabia's land and maritime borders to protect national interests and serve society through situational awareness and cooperation based border management, committed to Islamic values and investing in human and technical resources to address future challenges.

Figure 3 below describes an IBM concept model with emphasis on cooperation tailored to the Saudi Border Guard.
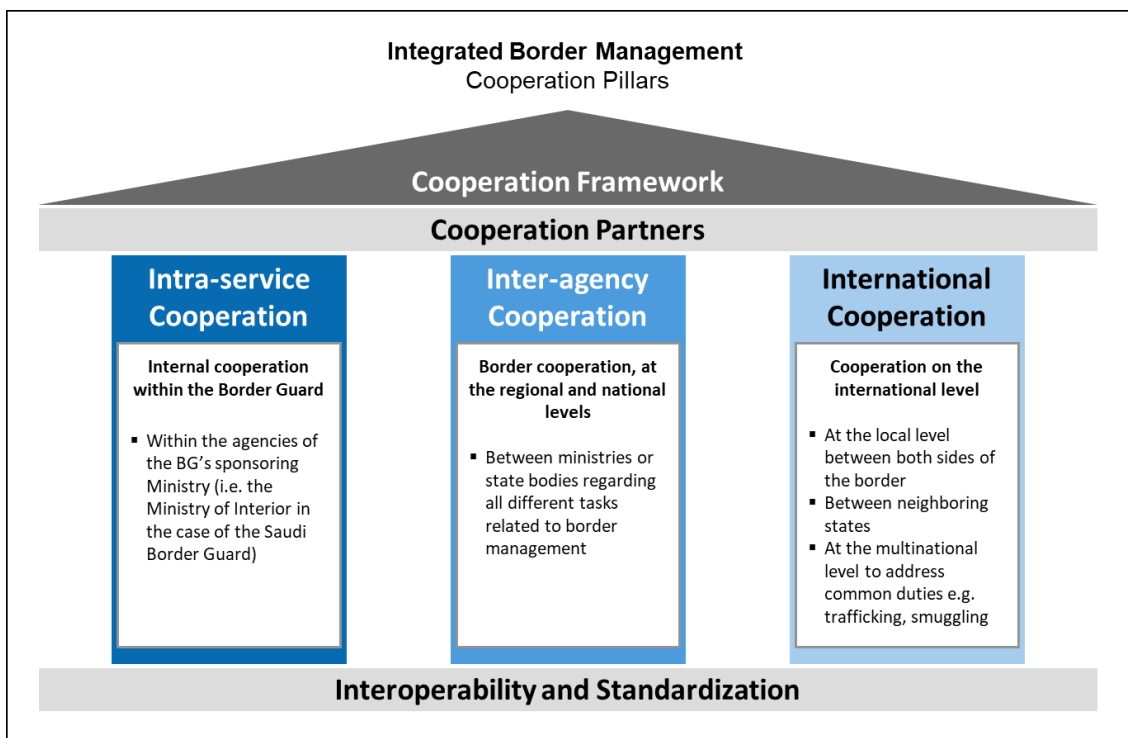

Figure 3: Integrated Border Management – Cooperation Pillars

4. Integrated Border Management

The Integrated Border Management Border concept incorporates four fundamental components, in support of a proactive strategy and the move towards information-led operations and exploitation of new C4ISR and platform related technologies. The key components of the IBM concept are:

- **Information Analysis**. Information analysis will provide the starting point for most activities. It aims to support decision making at all levels by providing fused information in response to standing information requirements or specific information requests. Whilst it can cover any operational information requirements, the core focus will be analysis of risks – understanding threats, vulnerabilities and potential impacts. In this way, commanders will be able to focus resources where they are needed most to meet the greatest threats and to mitigate the most severe impacts.

- **Prevention**. Border Guard operations will increasingly aim not just to respond to crimes being committed – e.g.: detaining people illegally crossing the border or smuggling items – but will aim to make an earlier impact, e.g. encouraging people not to get involved in such criminal activities in the first place; deliberate operations to focus on a specific activity or area to have a longer lasting impact. Prevention activities will focus on making an impact as early as possible in the chain of event. An example of this in civil operations will be education of people to reduce search and rescue incident. Prevention planning will help optimize the future use of operational resources, by supporting the capability development process and developing future operational and exercise plans.

- **Investigation**. Police-type investigation of criminal acts and crime networks will become a core capability supporting the transition of the Border Guard from being purely a military organization. Personnel in teams or patrols will be trained tactical measures that will enable them to conduct initial or preliminary investigation measures. Trained investigators will then take over case investigation activity supported by specialist skills such as forensics and communication interception and covert investigation. Over time the rich information on criminal patterns and networks will aid support the proactive and dealing with the increasingly sophisticated criminals.

- **Cooperation**. As covered earlier, the Border Guard is one of several agencies that are part of the Kingdom's defense and security structure. In addition, the mission of the Border Guard touches multiple civil organizations, e.g. the Department of Agriculture for fishing and environmental protection, GACA for air rescue. In addition, there are many agencies overseas undertaking tasks that can support or would benefit from interaction with the KSA Border Guard. Effective cooperation with national and international agencies is therefore a force multiplier, where shared information or activity can give mutual benefit to both sides. Cooperative policies and agreements will be initiated as part of the Strategy cluster function. Operation will support the development of the agreements, and departments and sections will undertake cooperation activities on a routine daily basis during their duties.

Strategic to Tactical Focus. The operations functions will run consistently from the strategic to tactical levels through the National HQ, Regional HQ and Sector HQ structure. All the operations functions are present at each level, however, there will be logical differences at each level.

- At the tactical Sector level, there will be the greatest focus on surveillance and response activities
- Investigation and Prevention operations planning will be primarily led at the operational Regional level
- The strategic national level, will be the focus for crisis management planning and execution and capability development

Flexible Information-led Operations. The IBM concept combined with the new operational technologies will combine to provide much greater situational awareness to staff in Headquarters and to team members out on patrol or undertaking investigations. As the surveillance sensors feed into HQ command centers, more people will be needed to monitor and coordinate responses. In parallel, the new technologies will allow resourcing and patrols to be used in a more flexible manner. Personnel can be allocated where the need is greatest, and patrols can be assigned to areas of interest with much less need to use fixed routes and timings.

Overall, this will enable the Border Guard to be far more effective in operations to meet the greater and more sophisticated threats.

5. Organizational Development

In order to implement this new strategy and IBM, the enabling cluster will play an increasingly important role going forward. Enabling functions comprise value-adding processes, which are grounded in both the current Border Guard organization and international best practices which have been tailored to suit the Border Guard.

Enabling functions aim to provide high-quality, reliable and efficient services to the Border Guard operations as their key customers. The challenge is continuously meeting the service delivery levels that have been defined and agreed, within resource limitations. Linking into the strategy, evaluation and governance performance management, strategy and capability development processes, a balance will be maintained between demand for and supply of resources to ensure Border Guard operations are able to be undertaken in an optimal manner within resource constraints.

Proactivity also applies to the enabling cluster as good planning and forecasting of the need for services across the organization is needed to ensure the functions can deliver them on time and to the required quality. This will also require 'customers' of the services to provide stable planning assumptions, wherever possible, and clear service level requirements.

In order to both fulfill its own key transformation objectives and to contribute to the enhanced ways of working exploiting new technologies, the enabling cluster will aim to focus on four key measures.

• **Standardization**. Standardization of processes and work procedures across Border Guard stakeholders (i.e. departments/sections and across regions) will have multiple benefits. It will increase predictability and quality of services, simplify learning, enable sharing of best practice and continuous improvement. It will also enable implementation and exploitation of improved support ICT / ERP system.

• **Digitization and Automation**. Use of improved support ICT or ERP system, by allowing automation of tasks and systematic capture and use of support data will increase the speed, predictability and quality in services delivery to customers. It will not solve all support issues, and many tasks will still need to be done as manual business steps outside of ICT systems. However, high quality support ICT, matched to the defined streamlined support business processes will enable managers and delivery personnel to conduct their business in a far more integrated way, moving away from the labor-intensive activities which are better done using computers. The implementation of an ERP system or modern ICT support will be a major step for transforming the enabling cluster.

• **Centralization and Integration**. Standardization of processes, digitization and automation will in turn allow management of certain enabling functions to be integrated in central locations, under centralized management. The increased visibility provided by improved enabling ICT will allow tasks which are usually scattered across the organization to be centralized on a functional basis. This will improve the definition of clear responsibilities, remove duplication and friction, and generate economies of scale. For example, ICT as a function will be more centrally managed to ensure ICT systems are more connected to business needs, more interoperable and can pass information between systems, are underpinned by more capable and more coherent networks, and supported in an improved, more consistent way.

• **Transparency Increase and Performance Management**. Clearer, more standardized processes, improved ICT support systems will allow a Border Guard to monitor and track service quality and standards in a way that previously has not been possible. Increasingly rich support information will feed up into a business intelligence layer, which will allow support senior leaders and managers to understand performance and help inform how best to drive forward continuous improvement measures.

The enabling processes address a broad and comprehensive scope around people capabilities, infrastructure and technology – being the key assets when moving towards a more proactive and better equipped Border Guard. Without having the rightfully skilled and trained personnel as well as availability of assets in place, plus benefiting from enabling processes as a key advisor

to the organization (such as Legal Affairs), a Border Guard Organization would not be able to fully achieve the defined target state.

Overall, further building and sustaining enabling competencies will need to go hand-in-hand with implementation of ERP solutions and further state-of-the-art automation; serving as backbone for lean and efficient processes.

Going forward, a Border Guard will continuously adopt best practices within its enabling processes and further develop its own capabilities, to become a fully trusted functional go-to organization for its various Border Guard internal customers around day-to-day service delivery, expertise provision and more strategic project involvement.

6. An Integrated Border Management strategy and its strategic implications for the Region

An Integrated Border Management Strategy for the GCC area and beyond should be based on the following internationally recognized principles:

- **Border management makes a key contribution to internal security**. Taking a comprehensive approach to preventing illegal immigration and associated cross-border crime, border management makes an important contribution to internal security. An integrated border management strategy must always be guided by this core function.
- **Border management contributes to security within the GCC area.** The responsibilities of all member states of GCC extends beyond its own internal security to that of the entire area. A successful border management strategy can no longer focus solely on internal borders but must meet the security requirements of the entire GCC.
- **The border management strategy is aligned with other relevant strategies**. Safeguarding internal security is a typical cross-cutting issue. The integrated border management strategy should therefore be aligned with other strategies. Where these are known, it should be ensured that the individual objectives and the action plan defined do not conflict with any other related or overlapping strategies. Where conflicts cannot be avoided, these should be disclosed.

- **The border management agencies have the necessary resources to perform their tasks**. The volume of international travel has been growing steadily in recent years, e.g. the constantly increase in pilgrims conducting pilgrimage to the Holy City of Makkah. At the same time, requirements on entry procedures are becoming increasingly important due to the risks for attempts to illegally enter the area by terrorist organizations. This poses a burden on the resources and infrastructure of border management agencies. Maximizing efficiency of the limited resources available is therefore an important requirement of any border management strategy.

- **Border management is professional, fast, consistent and appropriate**. The agencies involved in border management must perform their tasks in a manner that is professional (well-trained, assured, experienced, accurate), fast (meeting all legal and assured deadlines), consistent (uniform and non-negotiable) and appropriate (proportionate, justifiable and correct approach).

- **Border management respects human rights principles; it allows access to a fair procedure for those seeking protection from persecution**. Border management and its associated agencies must ensure the protection of human rights and grant access to a fair procedure for those seeking protection from persecution, allowing them to assert their claim and await clarification of their status.

- **Border management agencies work closely with each other and with other relevant domestic and foreign agencies**. A well-functioning IBM model regards border management as the outcome of the interaction between various domestic and foreign agencies involved. In order to fulfil the general goals, the various agencies and their processes should be integrated in a manner that is as comprehensive, systematic and seamless as possible. At a national level, this concerns the cooperation between those agencies actually involved in border management (i.e. foreign representations, border control and customs agencies, and police forces). Systematic cooperation with other relevant agencies (i.e. immigration, civil registry and social security offices) should also be sought as far as possible.

- **Border management contributes to the enforcement of removal measures**. If a border management strategy also includes activities within the territory itself, as in the case of the four-filter system, its focus should not be solely on preventing or detecting illegal

immigration and cross-border crime. The entire border management system will be more plausible and acceptable if it also encompasses solutions for consistent enforcement of removal measures. As well as considering how best to stem the flow of illegal immigration and cross-border crime, the border management strategy must also address the issues of enforcing removal measures and contribute to finding appropriate solutions.

- **Future developments/trends are incorporated into border management**. A successful strategy should serve as a system of reference for decision-makers. To this end, a strategy must have a certain degree of consistency and take a medium to long-term approach. It should not be geared solely to the status quo, but should also anticipate future trends as far as possible and provide answers to various scenario.

7. Conclusions

The control and management of the borders in the GCC region and beyond is a difficult task for several reasons. At some borders, geography is an impediment to effective control operations. At others, borders maintain historical as well as economic cross-border family relations, which makes it difficult to manage. In addition, it is important to recognize that border security forces along these borders are responsible for several tasks simultaneously, including fighting against smuggling and irregular migration as well as the task of fighting against terrorism and preventing the flow of terrorist groups into the area.

In order to meet these challenges an Integrated Border Management Strategy with a strong focus on cooperation on all levels – intra-service, inter-agency and international – is the concept of the future. The idea of a formal regional cooperation for Border Management should therefore be further studied and developed.