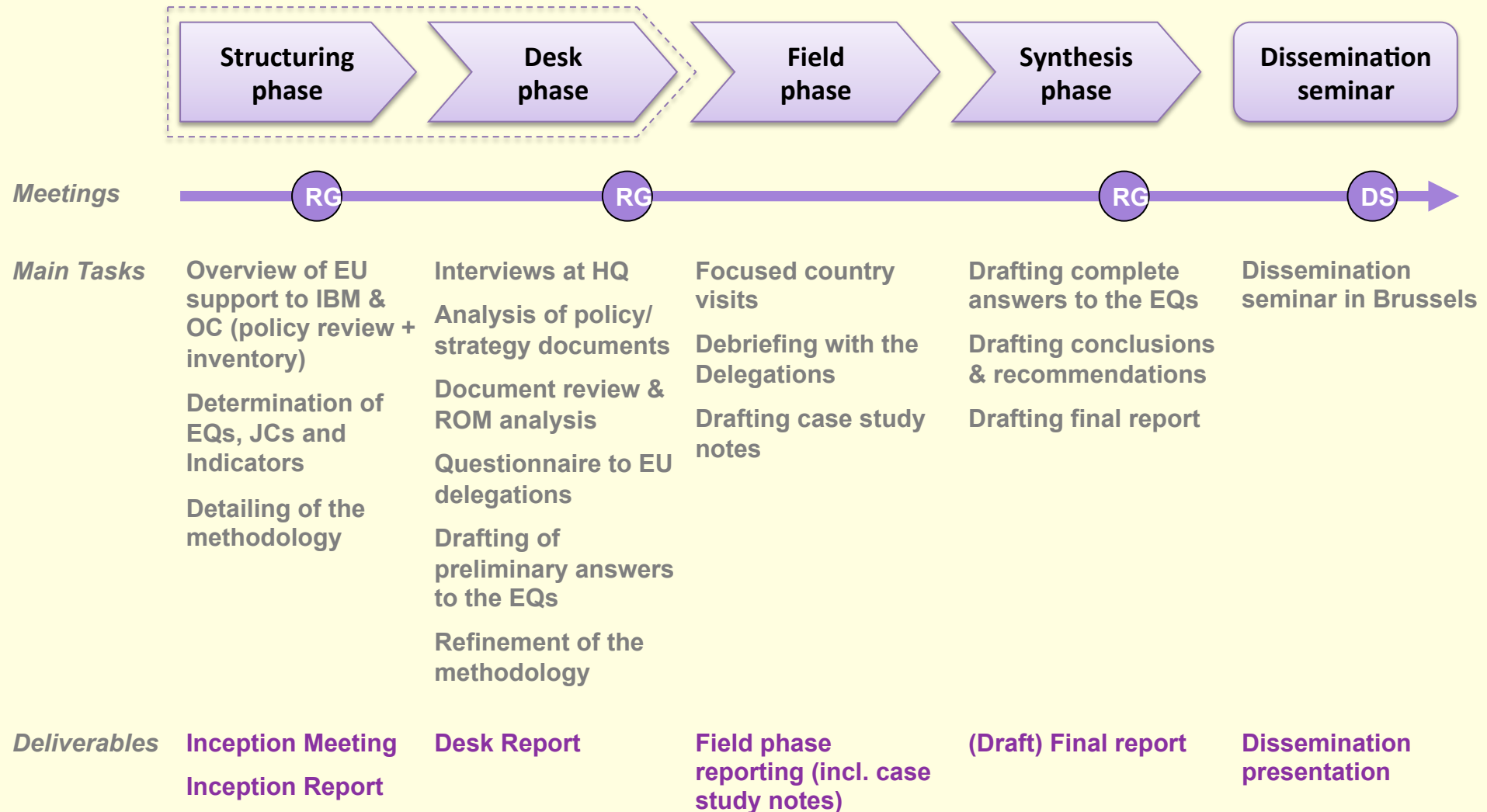




Thematic evaluation of the EU support to Integrated Border Management and the fight against Organized Crime



Key steps of the evaluation process



RG: Reference Group meeting; DS: Dissemination Seminar

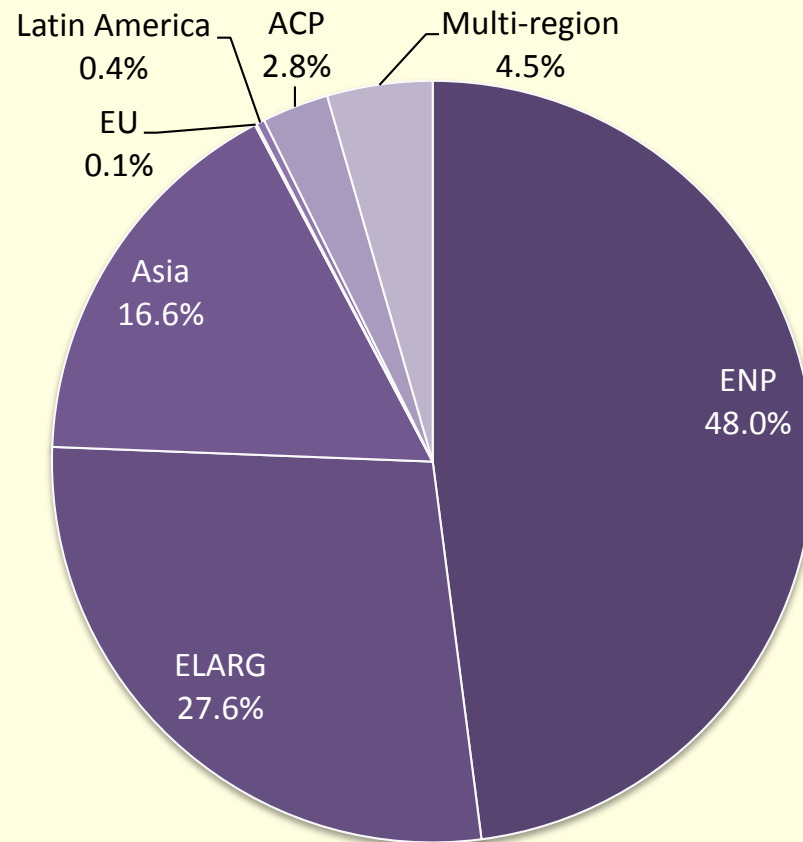
✓ Thematic scope:

- **‘Border management’, an area entailing multiple dimensions** => focus on IBM but broader attention given to “*all institutions, processes and tasks directly involved in the management of borders*”.
- **‘The fight against organised crime’**: analysed only to the extent where relevant activities “*...are in the strategic framework of Commission border management cooperation*”.

✓ Geographical scope:

- Scope extended to ‘Enlargement countries’,
- But EU borders and EU internal not included.

DISTRIBUTION OF FUNDS COMMITTED BY REGION



Source: CRIS and Particip GmbH analysis

Desk and Field phases - Geographical focus of the analysis

<i>ELARG</i>	<i>ENP</i>	<i>Asia</i>	<i>ACP</i>	<i>Latin America</i>
Albania	Belarus	Afghanistan	Botswana	Nicaragua
Bosnia and Herzegovina	Egypt	Kazakhstan	Mauritania	
Serbia	Georgia	Kyrgyzstan	Senegal	
Croatia	Libya	The Philippines	South Africa	
Kosovo	Moldova	Uzbekistan		
	Morocco			
	Russian Federation			
	Ukraine			
	West Bank and Gaza Strip			



field mission countries

Other observations:

- ✓ **Only 29%** of the commitments were considered as **pure IBM** interventions (mainly in the ENP, ELARG and Asia regions).
- ✓ **32%** of the commitments went to **regional interventions**.
- ✓ **Non-EU development agencies** (e.g. UNDP, UNODC) was the main channel for interventions categorised as **IBM** (54% of the commitments in this category), whilst the **private sector** was the main channel in interventions considered to **direct support to Border Management** (50% of the commitments).

- *Guidelines for IBM in EC External Co-operation*; highly influential in the comprehension and implementation of IBM principles.
- The levels of full IBM 'take up' became less noticeable the further geographically from the EU the intervention was.
- EU support particularly effective in security aspects of IBM; this is less the case in the area of trade and traffic facilitation.
- Inter-agency and international co-operation improved significantly; the intra-service element received less support and improvements were equally less.
- Significant Border Crossing Point construction/renovation took place.
- EU support was less effective in terms of training and human resource development.

- The EU 'shared the field' with other donors and interest groups - national governments, funding institutions and private investors.
- One positive element of added value was the impartiality that the EU brings, when compared to EU Member States.
- EU support brought added value of experience, solutions, best practices and lessons learned from all Member States, even when not all Member States were represented in a particular intervention.
- Experience of the EU in the context of mobility and trade is unique and acknowledged with respect by beneficiaries.

RECOMMENDATION 1: STRENGTHEN THE EU POLICY FRAMEWORK RELATED TO IBM AND OC BY CLARIFYING THE LINK WITH EU INTERNAL POLICIES AND REAFFIRMING THE CROSS-CUTTING POSITION OF IBM AND OC IN THE RELEVANT EU POLICY AREAS.

- ✓ Further promote the **potential of IBM as a genuine development tool** among policy-makers and external co-operation staff.
- ✓ Clarify and strengthen the **reference to IBM in future policies and strategies** related to Security Sector Reform, migration, trade, etc.
- ✓ The **difference between the two divergent IBM concepts** should be clearly explained and defined by the EU to avoid the current confusion that sometimes exists.
- ✓ The **status of the *Guidelines for IBM in EC External Cooperation*** should be given a greater level of authority by the EU.

RECOMMENDATION 2: WHILE CONTINUING TO ADOPT A TAILORED APPROACH TO EXTERNAL CO-OPERATION IN THE AREA OF IBM AND OC, THE EU SHOULD ENSURE A BETTER BALANCE BETWEEN SECURITY AND FACILITATION OF TRAFFIC AND TRADE IN ITS SUPPORT.

- ✓ DG DEVCO should initiate a dialogue within the EU and with international development/donor community to design and implement a strategy to **restore the balance between security and facilitation** in IBM and OC support.
- ✓ EU bodies involved in programming (esp. DG DEVCO and EEAS) should ensure that:
 - Long term goals as well as intermediate steps associated to the objective of “...*open but secure and well-controlled borders*...” are more explicitly promoted;
 - Human rights training actively includes border management staff, and is not provided in disconnection with other elements of the support to border management;
 - Project design and implementation inter-react better with trade bodies and the private sector in beneficiary countries and with groups with trade expertise internationally.
- ✓ During project design and delivery, greater use should be made of security-related assistance that has **traffic and trade facilitation applications**.

RECOMMENDATION 3: STRENGTHEN THE EU CAPABILITY FOR THE DELIVERY OF COMMON AND HIGH QUALITY STANDARDS AND MAKE GREATER USE OF THE POSSIBILITIES TO PROMOTE EU VALUES IN BORDER MANAGEMENT.

- ✓ Future **project visibility opportunities** should be actively used to promote EU values in border management
- ✓ The EU should develop a more detailed **capability for the delivery of common and high quality standards** in the customs sector.

RECOMMENDATION 4: INCREASE EUD ENGAGEMENT AT LOCAL AND INTERNATIONAL LEVELS WHILST STRENGTHENING EU EXPERTISE IN IBM.

- ✓ Main relevant Commission services and EEAS, and especially the EUDs, should increase their **role in the co-ordinating and monitoring of assistance** in the area of IBM and OC.
- ✓ **Expert support to EUD staff** involved in border management and customs issues should be provided.
- ✓ Many examples of good practices have been noted during the evaluation. As a means to exploiting these, it is recommended to set up a **database/record of good practices**.

RECOMMENDATION 5: CLARIFY THE RANGE OF ISSUES AND LEGAL CONSTRAINTS AND POLITICAL POSITIONS THAT CURRENTLY LIMIT AND IMPEDE EU–THIRD COUNTRY INFORMATION EXCHANGE.

- ✓ Increased and concentrated efforts should be made to ensure that third country partners provide equivalent **levels of protection to EU data** thus removing a major obstacle to cross-border information exchange between EU MS and third country border agencies.
 - EEAS and DG DEVCO, in contact with DG HOME and the European Data Protection Supervisor (EDPS), should clarify the range of issues and legal positions that currently limit and impede EU-third country information exchange in view of finding appropriate solutions.
 - At the policy level, the EU should develop a clear statement and guidance regarding data exchange with third countries to dispel concerns that the EU is only interested in a one-way flow of information. Subsequently, it should be ensured that EU-funded interventions follow this guidance.

RECOMMENDATION 6: INCLUDE MORE TOP MANAGEMENT-RELATED ACTIVITY WITHIN BORDER MANAGEMENT INTERVENTIONS AIMED AT FUNDAMENTAL REFORM IN BENEFICIARY AGENCIES.

- ✓ In future assistance, more emphasis should be placed on providing **assistance towards top management** of border agencies and reforms of their management practices.
- ✓ EU Customs Blueprints, the Schengen acquis and the Guidelines for IBM could be more actively used to **set standards, with practical efforts** such as training, study tours and strategy re-drafting being used to demonstrate current management practices as being operated within EU border agencies.

RECOMMENDATION 7: INCREASE SUPPORT TARGETED AT CAPACITY BUILDING REFORMS TO ACT AS A FOUNDATION FOR THE MORE COMPREHENSIVE AND DEEP ROOTED EMBEDDING OF ALL ELEMENTS OF BORDER MANAGEMENT ASSISTANCE.

- ✓ An independent and comprehensive **capacity building needs assessment** for any relevant beneficiary should take place before support is fully granted.
- ✓ **Training modernisation related activities** should be launched to encourage and support the fundamental reform of training taking place alongside the establishment of professional academies.
- ✓ Greater degree of **training specialisation in OC matters** should be embedded within academy programmes to strengthen the role and effectiveness of border agency staff in combatting OC.
- ✓ EU support should consider that **joint training academies** for border guards and customs be created.

RECOMMENDATION 8: PAY GREATER ATTENTION TO SUSTAINABILITY DURING ALL PHASES OF THE PROJECT CYCLE.

- ✓ More emphasis should be placed on clear, concrete and comprehensive formalising of **sustainability plans and contingencies** in planning documents from the earliest stage.
- ✓ High level **beneficiary management involvement and agreement** with a special focus on sustainability of project achievements should be obtained.
- ✓ **Technical advice on methods of ensuring sustainability** should be included as part of any support (EU, EUD, external experts, trade sources, etc.) and co-funding used as a tool to improve local ownership.
- ✓ Greater use should be made by the EU of the whole array of **tools available for political dialogue and elements of conditionality** in design and management of the support, to ensure comprehensive and committed up-take of project aims.

RECOMMENDATION 9: EXPAND AND STRENGTHEN THE SUPPORT PROVIDED THROUGH REGIONAL INTERVENTIONS.

- ✓ Regional delivery means should be considered wherever funds and situations allow.
- ✓ DG DEVCO and EEAS services should identify clear **geographical regions** and **key IBM related** areas where IBM assistance delivery would benefit from the regional approach.
- ✓ Future regional projects should be established with minimal resident core expert and support staff, **using expertise horizontally and on a thematic basis.**
- ✓ Regional level support should be **synchronised and phased in over an agreed period**, giving each beneficiary time to absorb and to progress stage-by-stage their respective processes of reform and modernisation.
- ✓ Regarding the management structure and the type of funding channels to be used, there is **no one-size-fits-all solution.**

RECOMMENDATION 10: CONSOLIDATE THE EU SUPPORT TO ALL THREE PILLARS OF BORDER MANAGEMENT DESCRIBED IN THE GUIDELINES FOR IBM IN EC EXTERNAL CO-OPERATION (INTRA-SERVICE, INTER-AGENCY AND INTERNATIONAL CO-OPERATION).

- ✓ **National IBM action plans** should be developed jointly, with partners at the inter-agency and international level.
- ✓ **Joint activities** (inter-agency and international) should be introduced and fully embedded into standard work patterns.
- ✓ For future BCP construction and refurbishment interventions, planning should include as much use of **joint facilities and equipment** as possible.
- ✓ Emphasised and dedicated assistance should be provided to enable top management to be actively concerned with developing **effective internal communication**. This could include:
 - Support the establishment of national IBM co-ordination centres.
 - Development of a model for and establishment of neutrally managed national IBM co-ordination centres.
 - Neutral or rotating management should be used to ensure impartiality amongst all agencies.

RECOMMENDATION 11: FURTHER DEVELOP THE RESPONSE GIVEN TO COMBATING OC AS A DEDICATED ELEMENT OF EU SUPPORT TO BORDER MANAGEMENT.

- ✓ EU assistance should encourage the adoption, by national governments, of **criminal investigation powers for customs and border guard services**. This could include:
 - Obtaining high level support for and promotion of customs services as equal law enforcement partners at national level.
 - Clarification, expansion and active EU support (where appropriate) of the customs role in terms of combating OC, in line with the Investigation & Enforcement chapter of the EU Customs Blueprint.
- ✓ **Comprehensive capacity building measures** should be designed and delivered to allow for the swift and effective implementation of criminal powers into what would be a new working environment.
- ✓ **Specialist border guard and/or customs capacities** should be developed and, when possible, special units established to respond on a permanent basis

RECOMMENDATION 12: STRENGTHEN THE MONITORING AND EVALUATION OF THE EU SUPPORT TO IBM AND OC.

- ✓ More **proactive and on-going monitoring** of IBM projects by EUD in particular should take place. This could include:
 - The review of all existing forms of monitoring and evaluation to arrive at a more comprehensive, inclusive yet streamlined system.
 - Raising of awareness of the necessity and benefits of pro-active monitoring amongst EUD, beneficiaries and implementing partners.
 - Improved resourcing/increased time for the monitoring of projects.
 - Formalised mid-term evaluations to cover a range of border management assistance interventions should also be undertaken with greater frequency than is at present.
 - This enhanced monitoring and evaluation requirement should be embedded fully within the whole project cycle and should involve EUD, implementing partners, external sources and the beneficiaries.
- ✓ **Active public consultation** should be used as an input to the formulation, review and amendment stages of policy, strategy and operational implementation.