

# **Lessons Learned from the Establishment of Border Security Systems: General Information on Past, Present, and Future Activities**

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Recent changes in the perception and understanding of security have made effective and efficient border security systems a basic requirement for all states. In many cases, improving a country's frontier controls in this way necessitates extensive organizational and structural changes.

In order to assist the Western Balkan (WB) governments in the creation of new border security systems, the Geneva Centre for the Democratic Control of Armed Forces (DCAF) has developed a program intended to address the strategic needs and issues involved in this process. The participating countries are: Albania, Bosnia & Herzegovina, Macedonia, Serbia, and Montenegro, with activities aimed in particular at the respective ministries of the interior in each country, which are responsible for border security. DCAF appreciates that Croatia, who has already been invited to negotiation talks by the EU, is willing and able to assist its neighbors through the sharing of its own national experiences.

Through a series of customized workshops entitled "Lessons Learned from the Establishment of Border Security Systems," DCAF is (together with seven donor countries) offering an inside look at how Estonia, Finland, Germany, Hungary, Russia, Slovenia, and Switzerland developed their own respective border security systems, and what lessons they learned in the process. Initiated in November 2001, the program will continue at least until 2007. The entire plan of activities, designed to support the creation and development of reliable border security systems that will be in line with EU requirements, has been drawn up according to the specific security needs of South Eastern European countries.

Despite the results achieved so far in establishing reliable border security systems in countries undergoing transition, there is a need for these forums of discussion to be organized, because there is still an absence of recognized operational norms and concepts in this area. These arenas can be regarded as supplementary work to previous efforts. The ensuing pages provide an insight into the program, which is composed of two phases, and is aimed at four different levels.

The first phase, which ran from 2001–03, involved a general overview of European border guard agencies and the elaboration of general principles in border security. The second phase, which started in June 2003, represents a shift away from general overviews to a focus on concrete topics, ranging from legal reform to training and education and risk assessment. A detailed Coast Guard program is included as part of the

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second phase. In this phase, customized projects have been designed to reach four levels of personnel working in the field of border security, as follows:

- Level 1 – Chiefs of border police services and senior staff
- Level 2 – Regional commander level
- Level 3 – Station commander level
- Level 4 – Future leaders

An envisioned third phase of the program aims to use the knowledge gained in the first two phases in specific projects that will be customized for regional commanders, station commanders, and young cadets respectively. These projects include an Advanced Distance Learning course, operational guidelines and job descriptions, and an annual conference for future leaders.

For the first level, a series of permanent working groups has been formed focusing on the following priority areas:

- Legal reform
- Strategic and organizational structure, leadership, and management
- Logistical support
- Education and training
- Risk analysis, criminal intelligence, and investigation
- Blue border surveillance

These working groups bring together a group of experts from donor and recipient countries to work towards the realization of a number of concrete aims. With their practical focus, the working groups give participant countries the opportunity to analyze and discuss specific topics of crucial importance in achieving success in modern integrated border management, as well as allowing them to work on strategies related to specific elements of their organizational structures. The International Advisory Board assists in developing these strategies if the need arises. Each working group meeting has a concrete goal, and builds upon the work achieved both during and after the previous meeting. They endeavor to direct assistance not to the leaders of the border police services, but rather to those persons directly responsible for the given topic. In legal reform, for instance, the final aim was the development of a border security act, all necessary side acts, and a book of regulations for the border security service. Participants were the chief lawyers of the border police services, with assistance provided by legal experts from various EU countries.

For the second level—that of regional commanders of border security services—an Advanced Distance Learning (ADL) course has been developed, which can be seen as a cornerstone for a future Virtual Border Guard Academy. This course was under preparation in 2004–05, and was launched in January 2006. The aim of this course is to provide a learning platform for regional commanders to enable them to communicate effectively and share information with all other colleagues involved in guarantee-

ing security for their citizens through effective border management, and to ensure that common best practices are established through permanent and direct interaction.

Designed as a two-year-long education and training project, the ADL course also aims to improve both English language skills and management and leadership skills among some thirty-five regional border police commanders. Courses will be given in English; with a view to ensuring that all participants will have the required language skills by the beginning of the ADL course, DCAF organized four three-week-long English language courses. In between the formal language courses, language training is implemented by distance e-learning, which takes place at home or in the workplace. On completion of the language training, the professional course regarding border security will run for eighteen months, starting in February 2006.

The ADL course is divided into three core modules, stretched over five blocks of activities during 2006 and 2007. The virtual part of the course will take two months (e-learning period). During this time students will receive general education on the following topics: change in the security environment, leadership and management, and border management. Classroom activity will then follow, taking place in Switzerland, Slovenia, Estonia/Finland, Germany/Hungary, and in the Western Balkan region, and will include study visits. This portion of the course is aimed at solidifying the knowledge received during the two-month e-learning period. This will be followed by a four-week customized program, which will offer deeper analysis of border security in a specific target region, and will contain tailored propositions for national arrangements.

At the level of station commanders, and in response to requests from recipient countries, a special program entitled "Operational Guidelines and Job Descriptions" has been organized. This program complements the ADL module for regional commanders described above, and aims to provide practical training for station commanders on the subject of carrying out border checks and surveillance at the individual station level. Participants at this level are commanders who have yet to take up their border station posts. The program takes the form of two week-long study visits, during which participants carry out a variety of practical exercises, all designed to reproduce situations similar to those found in their home countries.

For the fourth level, DCAF runs an annual Summer Training Conference for around fifty future leaders. The aim of this gathering is to bring together a group of promising professionals in the field of border security, accompanied by young scholars, NGO activists, journalists, and government officials from Albania, Bosnia and Herzegovina, Croatia, Estonia, Finland, Germany, Hungary, Macedonia, Montenegro, Serbia, Slovenia, and Switzerland in order to give them an opportunity to engage with prominent international experts in a comprehensive debate concerning contemporary and future issues of border security. Such an event will train and educate future leaders in the field of border security, thereby contributing to DCAF's effort towards guaranteeing continuity in transferring best practices. Moreover, by sharing their professional experiences and participating in group activities, participants will be able to build the basis for future cooperation based on good relations among young professionals across the region.

## First Phase of the Program

The initial exploratory workshop took place on 21–24 November 2001 in Lucinges, France. It focused on the preliminary lessons learned from creating border security services in Estonia, Germany, Finland, and Hungary, as these represent particularly successful examples. Successes and failures of these countries in the establishment of their border security systems were compared with more distinct Russian and Swiss case studies.

During the second workshop, held on 20–24 February 2002 in Geneva, we delivered, gathered, and systematized information and suggestions to the Yugoslav participants. FRY was represented by fifteen experts: five from the Federal Ministry of the Interior; five from the Serbian Ministry of the Interior; and five from their Montenegrin counterpart. At this event, the findings of the first workshop were further evaluated, and some specific aspects (missions, goals, and objectives) of the issue were more thoroughly discussed.

The third meeting took place in Helsinki on 12–18 April 2002, under the heading “The Finnish Frontier Guard (FG) as a Credible and Adequate Border Security System.” Finland’s experience shows that it is no longer possible for states to combat transnational organized crime alone and by means of a fixed borderline. The workshop emphasized that border security systems must be complex and flexible at the same time. National and international cooperation at all levels is thus of great importance, and one of its most important elements is functional cooperation between neighboring countries. This is an issue that can be of particular significance in the case of countries in South Eastern Europe. Present were the chiefs of the border security services, accompanied by three experts, representing Albania, Bosnia and Herzegovina, Croatia, Macedonia, Serbia and Montenegro, and Slovenia. The decision to include Slovenia as one of the program’s donor countries was made at this workshop.

The fourth workshop, entitled “Principles Leading to Success in Development of the Most Forceful Border Security Organization in Europe—the *Bundesgrenzschutz*,” took place from 8–14 June 2002 in Germany. The event consisted of an exchange of views on passport control techniques, methods of fighting illegal immigration, and approaches to dealing with asylum seekers. Participants were introduced to how the *Bundesgrenzschutz* operates within the Green Border/Schengen internal border, and how their education and training system has been constructed. Moreover, attendees were given the opportunity to briefly participate in the work of a border guard battalion of the *Bundesgrenzschutz*.

The fifth workshop took place in Estonia from 16–21 August 2002. It focused on, among other topics, activities and action plans to comply with the EU requirements regarding the Schengen *aquis* and the use of limited resources to fulfill set goals. The Estonian experience concerning the delimitation and demarcation of borders—in the absence of political will on the side of the “honorable neighbor”—was discussed. Methods of criminal intelligence gathering and investigation as important means of guaranteeing effective border control were analyzed. Finally, participants were shown demonstrations of the electronic surveillance systems at the green and blue borders.

The sixth workshop was held in Slovenia on 4–8 November 2002, and continued the focus on EU compatibility that had begun in the fifth workshop in Estonia. Participating were representatives from the EU Commission, who explained to representatives from the Western Balkan countries the obligations incumbent upon them as aspirant future EU member states. At the same time, a focus was given to the Slovenian concept of border security, and its application to the problem of illegal migration. This event was of particular interest to the participants, given that they share with Slovenia the same practical concerns. In spite of the fact that the Slovenian border security model is different from that which was discussed during all previous workshops, the way in which their border security system was developed involved a number of similar stages that are central to the enhancement of any border security capacity. For this reason, the workshop provided an important insight into the future requirements that will be faced by SEE countries.

The seventh workshop was held in Geneva on 11–14 March 2003, under the title of “Managing Change—A View from the Western Balkans.” The workshop was composed of two main elements. In the first part, there was discussion and further development of the participant countries’ strategy papers and implementation plans. These documents were to form the basis of presentations made to the EU in April 2003, and the Geneva workshop was an opportunity to make them as rigorous and as complete as possible. This was also the chance to discuss in detail DCAF’s future activities, and to determine how well they fit in with countries’ needs and priorities. The second part of the workshop was dedicated to the discussion of the Ohrid process, the Ohrid conference to take place in May 2003, and the concrete topic of civil-military cooperation in the field of border security. With presentations made by representatives from the EU and NATO, such cooperation was described as a way of meeting the practical needs of a transition period characterized by the co-existence of different authorities. It was emphasized that the measure would only be temporary, to be kept until civilian authorities had developed the various competencies necessary to take over full authority for border security. Given the importance of this issue, the future contribution and support of the EU and the donor community was sought, with the final intention being that civilian border authorities would be empowered by such cooperation, and that it would in the end produce a more complete and capable border security system.

The eighth workshop, which took place in Brussels on 7–9 April 2003, was a continuation of the earlier March workshop. Entitled “Preparation for EU Candidacy: Schengen Criteria and Lessons Learned from Schengen Experiences,” the strategy papers and implementation plans, which were the culmination of eighteen months of work, were presented to the EU. These presentations occurred during the second half of the workshop. The first half was dedicated to presentations by EU representatives on the subject of EU standards and requirements in the border security field. Topics ranged from the details of the Schengen system to the concept of twinning projects. In the context of the upcoming Ohrid conference in May, the EU, along with its partners such as NATO and the Stability Pact, presented in some detail their views on civil-military cooperation in the Western Balkans. The need for a temporary, civilian-led form of cooperation was re-emphasized by all sides.

As a conclusion for the first phase, it can be said that the strategy papers presented to the EU Commission in Brussels showed that the Western Balkan countries had a clear idea and vision regarding the development of their border security systems. This vision is one of increasing harmonization with EU requirements. The main obstacles to such harmonization are therefore not at the level of strategic thinking, but rather in the practical difficulties that arise in the implementation process.

Throughout these meetings an emphasis has been placed on an interactive component, where the participants were asked to present their views and analyses of the topics introduced by the host nation. The interactive workshops also presented an opportunity for participants to share experiences with border guarding experts from the donor countries.

For its part, DCAF has been, and remains, intent to build on its current experience in the area of border security, and will continue to seek insightful information and experience from individuals or organizations that have been active in the establishment and/or reform processes of border guard structures. DCAF's goal remains the design and promotion of successful models, and the provision of assistance in their concrete implementation. To achieve this goal, DCAF will continue with the establishment of suitable programs, and with advising and guiding countries who are interested in building up or reforming their border security systems.

To help guide DCAF in this process, an International Advisory Board of senior border security officials from Estonia, Finland, Germany, Hungary, Russia, Slovenia, and Switzerland was established. In the future, the possibility of appointing new members to the International Advisory Board certainly exists, with interest already having been expressed by Bulgaria, France, the Netherlands, Poland, Romania, Spain, and Sweden (which already has been involved in several activities). The goals of the IAB are to improve the security of citizens in the Western Balkans, and of Europeans more broadly, through the development of effective citizen-oriented border security systems, and to achieve this mission within the context of a national and international security alliance.

## **Second Phase of the Program**

In its second phase, the program has taken a different approach. The general overviews of national border security systems have been replaced with analysis and discussions of specific topics of crucial importance in achieving success in modern integrated border management. DCAF has invited senior specialists in the areas under discussion to take part in all events. All donor countries have been asked to present detailed analyses and recommendations for participants on selected topics.

An innovation introduced in the second phase has been the creation of working groups to accompany each workshop. These working groups of senior specialists provide an opportunity to deepen and extend the work covered in the workshops. Since June 2003, working groups have been established for legal reform, leadership and management, education and training, logistical support, risk analysis, criminal intelligence and investigation, and blue border surveillance.

The second phase, with its practical focus as reflected in the working groups and other activities, serves to reinforce the achievements of the first phase of the project. After having built the general framework of their border security systems, it allows participant countries to work on strategies related to specific elements of their organizational structures. The International Advisory Board assists in developing these strategies if the demand arises.

In order to allow for the regular evaluation of work as it progresses, DCAF's Border Security Program convenes international review conferences at the ministerial level, which take place annually in February. The first review conference took place in Slovenia in 2004; the 2005 review conference was held in Skopje, Macedonia, and was attended by all the ministers of interior, public order, and security of the recipient countries. The ministers' support for DCAF's program was emphasized by the signing of a common ministerial declaration. These conferences allow the countries of the region to present their work, with IAB members providing evaluation and feedback. In addition, the participants have the opportunity to receive an overview of the activities taking place in the region and receive first-hand information about the present developments and future activities of the border police services in neighboring countries. Invitees include practitioners in the field of border security, accompanied by politicians, analysts, academics, and other agencies and organizations involved in running border security programs. The third annual ministerial review conference was held in Sarajevo from 23–25 February 2006, where a further ministerial declaration was signed regarding regional cooperation.

This entire plan of activities, designed to support the creation and development of reliable border security systems that will be in line with EU requirements, has been drawn up according to the requirements of South Eastern European countries. Such a plan reflects their needs, as stated in the responses to the IAB-DCAF questionnaires sent out in December 2002. Additionally, gaps between the member states' intentions set down in the strategy papers and their ability to implement these objectives are being addressed through the program organized by the DCAF IAB, in close collaboration with the Finnish Frontier Guard, the Estonian Border Guard, the German *Bundesgrenzschutz*, the Hungarian Border Guard, and the Slovenian Border Police. In addition to leadership training, the workshops focus on the training of middle management and individual specialists, with special programs prepared for future leaders, commanders of the smallest border guard units, and individual specialists who are taking their first steps in the field of border security.

### ***Organization of the Second Phase of the Project***

#### *Level One: Working Groups for Chiefs of Border Police Services and Senior Staff*

*Legal Reform (first workshop held 25–28 June 2003 in Brussels).* The goal of the legal reform workshop was to introduce EU requirements concerning border security acts and all associated legislation that impacts upon border security activities. The importance of a legal framework is that it serves as the basis for an organization's actions, by setting out the limits to its authority, and making its duties and responsibilities trans-

parent to itself and outside actors. Border security systems can function without such a legal framework, but there will always be ambiguity as to their role and function in national security structures. This event served to clarify these issues, and made clear to participants the importance of developing a clear legal structure through which border security systems can define themselves. Through the perspective of law, the issue of the internal regulation of border guard services was addressed. Finally, an area where legal frameworks are particularly important is that of cooperation. More than simply personal ties or informal meetings, international cooperation involves the signing of binding agreements.

Workshop participants included leaders of the border police of participating countries, along with their closest co-workers who participate in director-level decision making, and top specialists within the organization in the field of legal reform. As a follow-up to the legal reform workshop, a working group was formed consisting of experts in the field of legal issues pertaining to border security. The goal of this working group has been to consider all issues pertaining to the drafting of a modern border security act, and to finally draft such an act. The working group's meetings are outlined below.

*Legal Basis Working Group I, 10–13 September 2003, Valbandon, Croatia.* This working group meeting focused on the cooperation between different national agencies that play a part in the border security system. The conference featured some theoretical themes as well as practical exercises. Presentations were given by legal experts from Croatia, Estonia, Germany, and Slovenia, who spoke of their experiences in reforming their own legal systems.

*Legal Basis Working Group II, 26–28 October 2003, Sarajevo, Bosnia and Herzegovina.* This working group was an opportunity for the participating Western Balkan states to gain insight into different processes of legal reform. For that purpose, the cases of Slovenian, Croatian, Hungarian, and Estonian legal reform were discussed from new viewpoints. The main emphasis was placed on how to create a solid legal basis for successful border guarding, what difficulties can be expected, and how to overcome them. The intended result of such meetings is the drafting, by all WB countries, of a modern border security act, in full compliance with EU requirements.

Participants in this working group included leaders of legal departments, accompanied by their closest co-workers, and specialists from other departments who are able to contribute to the drafting of legislation that relates to border security. Together, all three events covered in detail the requirements, practices, and methodologies involved in drafting a new border security act. Participating countries presented their newly drafted border security acts at the Review Conference in February 2004.

Meetings of Working Groups on Legal Reform will also take place throughout 2005 and 2006, and will elaborate on the importance of governmental and ministerial decrees and instructions as well as rules and regulations issued by director general of border police. The working groups have met as follows:

*Legal Reform Working Group III, 31 January–2 February 2005, Logarska Dolina, Slovenia.* Co-organized by the Slovenian national police, the conference served as an opportunity to investigate and discuss the role of “rules and regulations” in border se-

curity. Working group meetings were designed to provide participants with the opportunity to learn about the difficulties and obstacles that have been encountered, and subsequently solved, by the countries that have experience regarding the preparation of “Rule Books.” The meeting was divided into three parts.

First, participants focused on the basis for preparing sufficient subordinate laws (manuals of roles/directives) and guidance. During the first day, participants were acquainted with EU legislation (especially the Schengen manual), then the relations between main and subordinate laws, and the role and importance of guidance and instructions in Slovenia, Germany, and Estonia. Participants discussed the relations between main and subordinate law in foreign countries and realized the importance and the role of guidance and instructions. In particular, the program highlighted which activities should be covered in South Eastern European countries with subordinate laws and guidance/instructions.

Second, participants discussed which phase they were currently in the process of setting up a coherent set of legislation regulating their nation’s border service. They also discussed the influence on parallel legislation in South Eastern European countries, and presented their own view of their next steps and requirements to achieve harmonization with EU legislation.

Last but not least, participants discussed the usefulness of establishing an on-line database that will include all EU requirements and recommendations as well as South Eastern European countries’ existing laws and subordinate laws related to border security. During the workshop, participants gave presentations about the current status of affairs in their country regarding:

- Main laws regulating border security
- Laws related to the main laws (e.g., laws relating to foreigners, asylum law, etc.)
- Governmental acts
- Ministerial acts
- Directors’ instructions and orders.

Participants nominated to attend this working group were legal experts with experience in the field of border security and involved in legislation development, as well as operational commanders with substantial experience of the practical requirements.

*Legal Reform Working Group IV, 1–4 June 2005, Mostar, Bosnia and Herzegovina.* Co-organized by the State Border Service (SBS) of Bosnia and Herzegovina, this working group continued the focus on subordinate laws/side acts (including manuals of rules and directives) and guidance and instructions related to border security and the border police, with special attention being given to the main and subordinate laws regulating border security in Bosnia and Herzegovina. The meeting started with a presentation by an expert from Hungary, who talked about the Hungarian experience of bringing side acts regulating border security issues into full compliance with EU requirements.

Presentations were then given from all the delegations on the developments and progress made in the field of legal reform within the last six months, as well as on their

respective nations' plans for the future. This is an extremely useful way of exchanging information between the countries of the region, and ensures that everyone is regularly informed about new developments throughout the Western Balkans. The BiH delegation then gave a presentation on the legal framework within Bosnia and Herzegovina related to the subordinate law regulating border police activities.

After discussing this main law in Bosnia and Herzegovina, participants were given documents relating to various laws subordinate to the main law, and were divided into four working groups. These groups included a mixture of participants from each of the participating countries; each group was led by experts, as mentioned above. The working groups were given selected topics to cover from those laid down in the BiH *Main Law on Surveillance and Control of Crossing of the State Border*, and were tasked to create drafts of the implementing regulations which should be passed by the head of the BiH State Border Service in accordance with the above mentioned main law (Article 64). After one and a half days of discussion and work, the various working groups presented the drafts of their proposals for these regulations. This was followed by a presentation made by one of the experts from Croatia, who discussed Croatia's experience regarding the creation of a manual on state border surveillance. This manual has been created as a practical tool to assist border police officers in their daily work; a draft has been submitted to the Border Directorate in the Ministry of the Interior, and a final version will be signed by the Director of the Border Police in autumn of this year.

The meeting also included a presentation regarding the creation of a specialized Web page that would include information on all border security legislation. This would include both EU legislation and national legislation (from all the countries of the region), and would be available through DCAF's main Web site. All participants agreed that this would be an extremely useful tool, and Slovenia has agreed to take the lead in creating this site. Each participating country agreed to provide a point of contact who will be responsible for forwarding up-to-date information on national laws and related subordinate laws to the main Slovenian organizer. It is intended that this Web page will be up and running by January 2006.

Participants in the working group included representatives from Albania, Bosnia and Herzegovina, Croatia, Macedonia, Montenegro, and Serbia. The attendees were a mixture of legal experts involved in legislation development with experience in the field of border security, along with operational commanders with substantial experience of the practical requirements. Lectures were delivered and working groups were led by experts from Slovenia, Estonia, Croatia, Germany, and Hungary, who were able to pass on their experiences in the development of legislation relating to border police and border surveillance and cross-border control within their countries.

The working group hoped to hold two meetings in 2006, with the aim of identifying the obstacles within national legislation that need to be overcome in order to implement the agreed flexibility measures as stated in the ministerial declaration, as well as providing guidance for the drafting of international agreements in order to create the capacities to implement the measures. Participants in these meetings of the working group were to have the following qualifications:

- Educational background in law
- Operational exposure in the field of border security, including practical experience specifically in legislation development
- Operational commanders with substantial experience of practical requirements
- Elementary knowledge of one foreign language.

*Legal Reform Working Group V, 15–18 January 2006, Moravske Toplice, Slovenia.* Co-organized by the Slovenian Police, this working group was dedicated to developing “international agreements between services in order to create legal guarantees to enhance cooperation measures.” During the meeting, participants looked in detail at the area of cross-border cooperation, including the issues of common patrols, exchange of liaison officers, and exchange and flow of information. In addition, the following requirements for the creation of a sound legal basis were discussed, among others:

- Negotiation skills and procedures
- One-stop control
- Common patrols
- Data exchange, data flows, and a common data center
- Liaison officers/desk officers network
- Direct cooperation and sharing of best practices
- Authorities in foreign territories
- Civil/labor liability
- The database in DCAF’s server.

Delegations were invited to embark on a round table discussion highlighting the latest developments in legal reform within the border services of their home countries in order to keep colleagues up to date with actual developments that had taken place since the Mostar meeting. Also included was a visit to the border check point at Dolga Vas on the Slovenian-Hungarian border. Participants were able to see first-hand how the professional personnel involved physically manage the flow of information between the two countries, in order to ensure efficient “one-stop control.” Practical deficiencies and advantages of one-stop control were also discussed during the visit.

*Legal Reform Working Group VI, 7–10 June 2006, Croatia.* Co-organized by DCAF and the Croatian Border Police, the aim of this working group was to focus on providing guidance for, and to start work on the drafting of international agreements in order to create the preconditions for implementation of the objectives for regional cooperation as agreed in the ministerial declaration signed in Sarajevo in February 2006. These objectives are as follows:

- Maintaining contacts between border police leaders at local, regional, and national levels to assist in more effective operations

- Appointing national contact points for regional or cross-border liaison and co-operation, including:
  - Establishing a liaison/desk officers network
  - Establishing integrated border crossing points, including local offices for the exchange of information and early warning messages
  - Promoting joint patrols
  - Setting up common risk analysis procedures
  - Encouraging joint operations
  - Establishing common information management methods
  - Coordinating investigations.

Participants were divided into sub-groups, and experts were allocated to assist them in discussions of the following issues (i.e., the nine objectives as laid out in the ministerial declaration signed in Sarajevo):

- Sub-group One: Holding of regular meetings of border police leaders at local, regional, and national levels to assist in more effective operations; appointing national contact points for regional or cross-border liaison and cooperation; establishing a liaison/desk officers network
- Sub-group Two: Establishing integrated border crossing points, including local offices for the exchange of information and early warning messages
- Sub-group Three: Promoting joint patrols
- Sub-group Four: Setting up common risk analysis procedures; encouraging joint operations; coordinating joint investigation units; establishing common information management methods.

Using the Convention on Police Cooperation in SEE as the legal basis for their work, the sub-groups were tasked to work on the draft texts of agreements to be signed between two countries, in order to implement the measures as stated above. The sub-groups worked for just one and a half days, and on the final day of the workshop each sub-group presented their work. In this short timeframe, each group had managed to complete draft texts of agreements/MOUs covering all but one of the nine objectives.

The impressions of participants attending the event were extremely positive. They felt that the issues discussed were of much relevance; they learned a great deal and received useful advice from the experts; and found this working group challenging, stimulating and helpful, as the output can be used as a basis for actual negotiation in the future. From DCAF's side, this working group achieved more than expected, and it was impressive to see the high standard and amount of work produced in such a short period of time. The majority of participants in this workshop had been permanent members of this working group, and as such were well acquainted with the subject matter, the issues involved, and their colleagues from the neighboring countries. In addition, the participants have the required expertise required to complete the work, and the ability to follow this work through on returning to their ministries.

Participants in the workshop included attendees from Albania, Bosnia and Herzegovina, Macedonia, Montenegro, and Serbia, and were a mixture of legal experts involved in legislation development with experience in the field of border security, as well as operational commanders with substantial experience of the field's practical requirements. Working groups were led by experts from Slovenia, Croatia, and Hungary who were able to pass on their expertise and experiences in the development of international/bilateral agreements with regard to cross-border/regional cooperation. The Legal Adviser–Defense Reform of NATO HQ, Sarajevo, attended as an observer.

The final aim of this working group is the drafting of a new Border Security Act that will cover the main ideas and principles of the border security mission, and is in full compliance with EU requirements. All issues concerning border security not included in this new act should be identified, so that they can be covered in accompanying side acts. A set of internal regulations should also be drafted, taking the form of a rulebook to be used by border guard personnel.

*Leadership, Management, and Internal Organization in Border Security Services*

*First Workshop, 27–30 August 2003, Dobogókö, Hungary.* For border management to be successful, it must follow four cardinal principles: planning, organization, motivation, and control. Exactly how these principles translate into the border security context was the first focus of the workshop. Secondly, emphasis was placed on the importance of correct internal structuring of the organization. Among the issues investigated were how top-level management fits together with regional commanders, and how local stations are integrated into the regional centers. Clarity on such questions facilitates communication, and ensures that each border guard has a place in the organization and knows what is expected of him.

Participants in the workshop included leaders of the border police from participating countries, along with their closest co-workers who participate in director-level decision-making, and top specialists within the organizations in the fields of planning, organizing, motivating, and controlling. The workshop on leadership was followed by two working group meetings aimed at further developing the themes covered. The meetings are set out below.

*Leadership and Management Working Group I, 30 November–5 December 2003, Budva, Montenegro.* This meeting focused in particular on the planning and control of the border service. Participants were introduced to the system of control developed by the Hungarian Border Guard, and to the “management by results” approach developed by the Finnish Frontier Guard in the 1990s. The participants were given the opportunity to apply this approach to their own services, through practical exercises given to the delegations. Participants in this working group included leaders of the departments responsible for the day-to-day planning and organization of their respective nations' border control services.

*Leadership and Management Working Group II, 24–29 January 2004, Mavrovo, Macedonia.* This working group focused on motivation and control. In particular, emphasis was placed on the importance of teamwork. The synergies that can be achieved through teamwork were explained in presentations, and tested in various group activi-

ties. Explanations were also given on how to calculate staff priorities, a key consideration when attempting to motivate personnel. The control system of the Hungarian Border Guard was also presented, with participants expected to consider those general principles of control relevant to their own domestic systems. Participants included leaders of the departments of human resources and operations who are responsible for motivating and controlling, along with their closest co-workers.

The final aim of the leadership and management working group, which also met in 2005 and 2006, is the development of a three-level planning system. This is intended to cover national headquarters (strategic, tactical and operational plans), regional centers (tactical and operational plans), and local stations (operational plans). Working groups met as follows:

*Leadership and Management Working Group III, 22–24 May 2005, Frankfurt, Germany.* This meeting was for chiefs of cabinets of participant countries. The chiefs evaluated the Second Annual Review Conference, which took place in Skopje in February 2005, and also discussed proposals for inclusion in the Third Annual Review Conference, which took place in Bosnia and Herzegovina in February 2006.

*Leadership and Management Working Group IV, 22–24 September 2005, Kopaonik, Serbia.* This workshop gathered together chiefs of the border police organizations from all the countries involved in DCAF's Border Security program, as well as chiefs of the cabinets or other responsible persons from BIH, Macedonia, Albania, Croatia, and Serbia. During the meeting presentations were made by representatives from Germany, Finland, Slovenia, and Croatia on the subject of the importance and different models of cross-border cooperation. The meeting also included discussion about the draft program, substance, and objectives of the Third Ministerial Conference, which was held in Sarajevo from 22–24 February 2006. The chiefs of the border police services also agreed on the following common objectives for 2006:

- To foster efforts in the area of legal reform
- To describe the objectives and substance of future joint field operations, such as procedures and co-ordination of activities in all operational areas
- To enhance and update technical facilities (infrastructure) and trans-border interoperability to advance joint operational capabilities with reference to the border police.

*Leadership and Management Working Group V, 4–5 December 2005, Budva, Montenegro.* The chiefs of the border services of all the countries of the Western Balkans involved in DCAF's Border Security Program, as well as the chiefs of cabinets of the ministers of interior or security (or their representatives) met in Budva. The aim of the meeting was to evaluate DCAF's annual program of activities for 2005, to discuss the Third Ministerial Review Conference in February 2006, and to discuss and approve the annual plan of border security activities for 2006. The chiefs of services universally praised the program, often citing it as one of the major influences on the progress made during the last year within the field of border security. The Ministerial Conference was discussed in depth, and its program agreed upon; in addition, delegations agreed on the

proposed program of activities for 2006, with a main goal of further enhancing regional cooperation and the implementation of regional flexibility measures.

This working group aimed to hold two events in 2006, targeted at the chiefs of services, to look into the necessary steps which have to be taken in order to achieve the flexibility measures as stated in the Ministerial Declaration. Participants in these workshops would include delegations headed by either the chief of staff or chief of operations from a national border service (or other representative from the appropriate management level), along with three to four high-ranking officials responsible for preparing working instructions and other manuals for the national border police organization involved in the program.

*Leadership and Management Working Group VI, 5–8 April 2006, Jahorina, BiH.*

The workshop was in essence a follow-up to the Ministerial Conference in Sarajevo of 24–25 February 2006, where intensive cross-border cooperation was agreed upon, as set forth in the declaration that was signed by the ministers of the interior or security of the Western Balkan countries (with the exception of Croatia). The aim of the Working Group for Leadership and Management is to prepare a manual for the border police/ border guard services of the SEE countries (Common Standard Operational Procedures) for future implementation of the following objectives:

- Regular meetings in order to maintain contacts between border police leaders at local, regional, and national levels
- National contact points for regional or cross-border liaison
- Integrated border crossing points (common border checks, among others)
- Joint patrols
- Liaison/desk officers network
- Common risk analysis and investigation methods
- Joint operations
- Common information management procedures.

The first meeting covered the first four issues listed above. Experts from Estonia, Finland, Germany, Hungary, and Slovenia contributed the experience of their services and national regulations. Their presentations served as a basis for the following discussions and first drafts of the various manual chapters. Three sub-groups were established, around the following sets of topics:

- National contact points and regular cross-border meetings (leading countries: Montenegro and Macedonia; experts from Finland and Slovenia)
- Joint patrols (leading country: Serbia; expert from Germany)
- Shared responsibilities in border checks (leading country: Bosnia and Herzegovina; experts from Estonia and Hungary).

The presentations of the experts were broadly discussed. The results were presented to the plenary and were submitted for further work to the respective leading country. In

wake of the presentations, it is intended that practitioners from the front lines of the border services in each country will complete the first draft with their recommendations. Meetings with other DCAF working groups in order to coordinate their contributions to open questions and problems have to be decided on a case-by-case basis. The host nation, Bosnia and Herzegovina, which at the same time is the leading country for the working group on leadership and management, will collect all contributions and revise them with DCAF. For the follow-up preparations, BiH has provided a special secretary for the editorial work. The minutes of this workshop will be submitted to all participating countries. The participants in this workshop were officers serving in key functions of operations and organization and, in one case, a chief of border police (Macedonia).

*Leadership and Management Working Group VII, 11–14 October 2006, Jahorina, BiH.* This next workshop will tackle the following five issues related to cross-border cooperation:

- Establishing a liaison/desk officers network
- Common risk analysis methods
- Joint operations
- Common information management procedures
- Co-ordination of investigations.

### *Logistical Support*

*Workshop, 8–12 October 2003, Kalvi-Narva, Estonia.* It is self-evident that border security organizations must aim to fulfill their missions and achieve their objectives to the best of their ability. However, the success of the underlying security mission depends to a large extent on having a functioning logistical support system in place. The conclusion of this workshop was that logistics is what gives meaning and direction to equipment and technological know-how. Logistics therefore constitutes the relationship between strategy, operational needs, and technical means. On the basis of the experiences of various European border security organizations, some key principles to ensure an effective logistical support system were found to include foresight, efficiency, flexibility, simplicity, cooperation, and inter-operability. Other major topics covered in the workshop included the procedures involved in drafting proposals for EU funding, and the various steps to be followed when developing a list of technical needs for a specific border security project. Throughout the workshop, the experience of the Estonian border guard (and other European border security organizations) was drawn upon to illustrate the issues and difficulties faced by Western Balkan countries in their reform processes.

Participants in this workshop included leaders of the border police from participating countries, along with their closest co-workers who participate in director-level decision-making, and top specialists within the organization in the field of logistical support. To further examine the issues dealt with in the workshop on logistics, two working groups were formed. One will focus on the development of “Smart Borders Pro-

jects,” and the other will study in detail the drafting of proposals for EU funding. The Smart Borders Projects group will aim at clarifying the equipment needs of WB border authorities, through the specification of what exactly these authorities expect from their equipment, in terms of output and results. For its part, the EU funding working group will involve the development of technical assistance project management units (TAPMUs), which will provide WB border security authorities with the competences to deal successfully with international donor agencies, and in particular the EU funding agencies. These working groups were organized according to the following schedule.

*TAPMU Working Group I, 24–29 January 2004, Mavrovo, Macedonia.* This working group was the first attempt to explain to participants the procedures involved with obtaining funding from external donors—notably the European Union—and implementing and managing such projects. This involved participants looking at specific stages of the funding process, including topics such as program and project identification; the elaboration of project fiches, including logical framework matrices; drafting Terms of Reference; and examining aspects of EU project management procedures. The aim of this working group is to develop small technical assistance project management units (TAMPUs) within border guard agencies, trained so as to be able to deal effectively with international technical assistance donors at all the relevant stages of the funding process. Eventually, these units will be sufficiently trained so as to provide their respective agency with a corpus of expertise in most aspects of procurement and project management. At the conclusion of the working group meeting, participants were informed of a scheme to provide distance-learning assignments which will be assessed and distributed prior to the follow-up meeting.

*Smart Border Project Working Group I, and TAPMU Working Group II, 26–30 April 2004, RACVIAC, Bestovje, Croatia.* A customized training course was designed in order to develop the project-leader skills of pre-selected specialists from within the technical and logistical branches of the border guard services of the participating countries. These leaders were instructed in the procedures necessary for conducting analyses of the technical needs that are required when responding to operational demands. A particular emphasis was placed on communication and surveillance systems, and participants were shown how best to carry out the analytical processes—such as feasibility studies—that are essential when providing technical solutions to operational problems.

Additionally, they became acquainted with the process of elaborating technical specifications, particularly in relation to international tender procedures. The leaders were expected to elaborate full operational-technical justifications for equipment requirements and to be able to fully appreciate what technical means are currently available and appropriate. These solutions should also address important questions related to procurement, including licensing, spares, maintenance regimes, and operational sustainability (including financial sustainability).

A questionnaire was provided to participants before the working group meeting relating to their own logistical support system and equipment for IT, communication, and green and blue border surveillance systems currently in use. This questionnaire provided a transparent insight into the current equipment holdings of the respective agen-

cies. Additionally, the respondents were asked to fully identify new requirements and provide detailed justification as to why the equipment was necessary. These matters were addressed during the working group meeting. Additionally, participating countries were asked to make presentations based on their responses to the questionnaire. General recommendations on the creation of IT systems by Finnish, Estonian, Slovenian, and Hungarian specialists were made at the meeting. Additionally, a presentation was made on how to design technical specifications for a TETRA system and how to prepare them for international tender. Presentations on their respective IT systems were also made by recipient countries.

In the second TAPMU working group meeting, held simultaneously, the participants discussed their assignments and examined how well (or otherwise) they had succeeded in drafting quality documentation. The remainder of the working group meeting examined in greater detail the qualities required for elaborating such documents. In addition, a handbook, to be used as an *aide-mémoire* for all those participants scheduled to work in TAPMUs, was reviewed.

*Smart Border Project Working Group II, 17–21 October 2004, Rovinj, Croatia.* In the course of this meeting, experts presented in detail the green border surveillance systems used by their border guard organizations and introduced their future requirements. Delegations from the region introduced their own achievements in the field of IT and communications during the past six months. Briefings from specialists who had designed technical specifications for a wide range of surveillance systems and prepared associated tender dossiers were also given. Participants benefited from hearing the experiences of other countries regarding the establishment of their border police service, and in particular their experiences regarding the following:

- Preparations of tender procedure
- Definition of the technical characteristics of the necessary surveillance equipment
- Making a draft fiche and considering possibilities of delivery of equipment.

The workshop included teamwork and practical exercises where, together with experts, participants attempted to find functional solutions to build a technical surveillance system at a specific border under specific conditions. In 2005, the working groups would continue their activities, with the final aim being to ensure that leaders in logistics are well-positioned to understand and respond to the operational requirements through the use of communications, IT, and surveillance systems.

*Logistical Support Working Group III, 10–12 February 2005, Belgrade, Serbia.* This meeting continued with the theoretical aspects of logistic support; the main topics of the working group included the explanation of procedures involved in the setting up of tenders, evaluation of results, the setting up and signing of contracts, financial procedures, and how to implement and install technical equipment. It also covered the education and training of the people working with technical equipment and its maintenance. Experts from Estonia and Bulgaria gave presentations on the design of operational communication systems. A special day was dedicated to the Serbian experience gained in the creation of IT and communications in the field of border security, which

involved a visit to the Ministry of Interior of the Republic of Serbia to see their equipment in practice.

Participants in this working group included those with an educational background in engineering, including IT, as well as operational exposure in the field of border security, including practical experience in communications, IT, and surveillance. In addition, participants were required to know at least one foreign language. They were appointed in border guard organizations as team leaders and team members, responsible for the creation of national communications, IT, and surveillance systems. Participants were accompanied by personnel who are competent English speakers with some knowledge of border security who were willing to learn and who will in the future provide South Eastern European border security authorities with the competences to deal successfully with international donor agencies, and in particular the EU funding agencies.

*Logistical Support Working Group IV, 8–13 September 2005, Toila, Estonia.* The aim of this workshop was to familiarize participants with the practical side of logistics, infrastructure, and structure of the border crossing points and border surveillance posts, and to introduce them to various systems of border surveillance equipment. Experts from the Estonian Border Guard described the process of system development and showed participants the installation of their new coastal surveillance system. Experts from the Finnish Frontier Guard and Spanish *Guardia Civil* compared the latest developments with their experiences and made suggestions to the participating countries. A comparative analysis of the technical means required for green border surveillance was also conducted, and the requirements for various building and construction projects for border guard functions were discussed.

Each county sent a delegation composed of personnel from the border police organizations or from other relevant departments/sectors in the ministries responsible for preparing and implementation of projects for blue and green border surveillance, as well as from departments responsible for building or renovating the facilities. The delegations were basically made up of one architect or engineer, and two persons responsible for border surveillance.

In 2006, the working group will hold two meetings, with two main topics: communications and IT. The goal of these meetings is to examine projects in the preparation phase, in order to ensure that the systems that will be purchased will be interoperable.

Participants in these meetings should have the following qualifications:

- Educational background in engineering, including IT
- Operational exposure in the field of border security, including practical experience specifically in communications, IT, and surveillance
- Elementary knowledge of one foreign language.

In addition, participants should be appointed in border guard organizations as team leaders or team members responsible for the creation of national communications, IT, and surveillance systems.

*Logistical Support Working Group V, 22–25 March 2006, Serbia.* Interoperability between telecommunications and IT services and the equipment of different border agencies in neighboring countries is one of the cornerstones of efficient, integrated border management. As long ago as 1985, the Schengen Agreement envisaged a more coordinated, cooperative approach between public authorities across Europe. The purpose of this meeting was to explore the different technical means and facilities for exchange of all kinds of information between border services of neighboring countries. This includes setting up—particularly in border areas—telephone, radio, and telex lines and other direct links to facilitate the transmission of information. The introduction of interoperable digital radio-telephone systems was also considered in order to support field operations of mobile units; the important issues of standardization of equipment and coordinated procurement procedures were investigated as well.

Through expert presentations and a series of practical examples, as well as through discussion panels, the participants were given the opportunity to gain knowledge about the new technologies and European trends in these fields. In addition, an analysis was conducted to find possible joint activities, and it was agreed to establish a coordination committee for conducting future actions. This committee will consist of chiefs of telecommunications services (or their deputies) of the Ministries of the Interior of Albania, Croatia, Macedonia, Montenegro, and Serbia, and of the State Border Service of Bosnia and Herzegovina. The mandate of this committee will be to:

- Coordinate all activities concerning the cross-border telecommunications of their countries
- Hold regular meetings and exchange information about the condition and development plans in the field of telecommunications in their countries
- Evaluate possible technical solutions regarding cross-border telecommunications and prepare proposals for joint projects of common interest
- Cope with issues of information security and protection in cross-border communications.

The next meeting of the Logistical Support Working Group will be held from 6–9 September 2006 in Croatia.

#### *Annual Review Conferences*

*First Annual Review Conference, 27–28 February 2004, Lake Bled, Slovenia.* The series of annual review conferences is intended to provide an occasion for participants to present the results of the year's activities, both in the workshops and the working groups. The first annual review conference covered the main achievements during 2002–03 and described plans for 2004–05. To support the aspirations of participating countries, an annual plan for assistance in 2004–05 was discussed and signed. To guarantee the continuation of financial assistance, and so that in the future it may include material assistance from the Swiss Ministry of Defense, a Memorandum of Understanding was discussed, evaluated, and signed. All chiefs of services and ministerial

representatives were present, along with representatives of the Slovenian Minister of the Interior, who was host to the event.

*Second Annual Review Conference, 24–26 February 2005, Skopje, Macedonia.* The Second Annual Review Conference aimed to give participants the opportunity to gain an overview of all the activities taking place in the region and the participating countries in the field of border security, to which DCAF's program contributes in part. The Prime Minister of Macedonia opened the conference with an address on security sector reform, and presentations on the demands of internal security in SEE were given by the heads of the EU, OSCE, NATO, and the Stability Pact's delegations.

During the second day, the ministers of the interior of the Western Balkan countries stressed the importance of border security within their countries in order to guarantee the security of their citizens, and highlighted the importance of national, regional, and international cooperation. The conference reviewed the progress made to date by the border security services of the Western Balkan states; the overall achievements in the period 2003–04 were presented by the chiefs of the border services of the region. The ministers of the interior signed a statement that recognized the importance of the work being done by the border security services in providing a secure environment for their citizens, and formally approved the continuation of the Border Security Program. The annual plan of common activities for 2005–06 was also discussed, and formally signed by the chiefs of the border security services.

The participants included ministers of the interior of all Western Balkan states (with the exception of the Minister of Interior from Montenegro), chiefs of border security services of all Western Balkan states, as well as other agencies involved in assisting border security programs: EU, NATO, OSCE, ICMPD, EUPOL PROXIMA, and the Stability Pact.

*Third Annual Review Conference, 23 – 25 February 2006 in Sarajevo, Bosnia and Herzegovina.* The Third Annual Review Conference aimed to give participants an overview of all the activities taking place in the region and the participating countries in the field of border security, to which DCAF's program contributes in part. The Chairman of the Council of Ministers of BiH, Adnan Terzic, opened the conference. He and the Minister of Security, Barisa Colak, reflected on achievements made in the reform of internal security in anticipation of eventual EU integration. The Head of the EU Commission Delegation to BiH, Ambassador Hunphreys, addressed the conference on internal security and European integration, and the Deputy State Secretary for International Relations of Hungary and a member of the Stability Pact's Working Table III made statements on current developments from their perspective.

During the second day, attendees reviewed the progress made to date by the border security services of the Western Balkan states and overall achievements in 2005. Implementation strategies for the future were presented by the chiefs of the border services of the region. Senior border guard officials from Hungary and Slovenia gave presentations on their countries' roles in supporting the countries of the region. The ministers of the interior or security from the region stressed the importance of border security within their countries in order to guarantee the security of their citizens, and highlighted the importance of national, regional, and international cooperation, the ne-

cessity to work together in order to jointly fight cross-border crime, and the requirement to further harmonize regulations to reach EU standards.

Undoubtedly, the highlight of the event was the signing of a declaration effected by all ministers of the interior or security of the region (with the exception of Croatia). This declaration recognizes the importance of and need for formally setting up mechanisms to promote, strengthen, and deepen regional cooperation, thus taking shared responsibility for the problem of cross-border crime, as well as setting out steps to more effectively combat it. By signing this declaration, the ministers have confirmed their support for harmonizing legal frameworks, developing coordinated operational measures and procedures, and advancing interoperable technical means. With this commitment endorsed by the ministers, sincere and valid regional cooperation can now begin. The ministers also formally approved and signed the annual plan of common activities for 2006.

On the last day of the conference, a roundtable discussion on the latest EU developments in the field of border security took place, where representatives from DCAF's IAB for Border Security and beyond (from Estonia, Finland, Slovenia, Greece) gave presentations and updates on a variety of relevant issues. The participants in the conference included the ministers of the interior or security of all Western Balkan states (with the exception of the Minister of Interior from Serbia, who was represented by his Chief of Cabinet); chiefs of border security services of all Western Balkan states; and representatives from the following donor countries: Estonia, Finland, Germany, Hungary, Slovenia, Switzerland, Greece, Poland, and Romania. Representatives were also present from the following agencies involved in assisting border security programs: EU, NATO, OSCE, ICMPD, EUPM, FRONTEX, Danish Centre for Human Rights, the PSOTC in BiH, PAMECA, SIPRI, Stability Pact, and Austrian, Swiss and U.S. Embassy staff. Some ninety persons were present during the opening of the conference on 23 February. The Fourth Annual Review Conference will take place in February or March 2006, and will be hosted by the Republic of Croatia.

*Training and Education as an Essential Means of Improving the Quality of a Border Security System in a Democracy*

*First Workshop, 7–10 March 2004, Lübeck, Germany.* Rapid social and economic changes over the last few years have made flexibility—meaning the ability to learn, unlearn, and relearn—more important than ever. It is essential to find new ways of communicating and working together, in order to facilitate the sharing of information and ideas. These changes have affected the border security field, most notably shifting the basic border guard mission away from guarding borders and towards the protection of citizens. This shift has increased the need for professionally-trained personnel. In short, the only way for police organizations to face all the challenges of the modern world is good education and training. We have to learn continuously merely to keep pace with an ever-changing environment.

While they are related, training and education are separate concepts. Training aims to provide the knowledge, skills, and attitudes that are needed to perform specific tasks. Education usually provides more theoretical and conceptual frameworks de-

signed to stimulate analytical and critical abilities. But learning by experience through solving an actual problem can genuinely contribute to learning and development. Therefore, training, education, and planned experience are interdependent. Distinctions should also be made between trainer-centered training and learner-centered learning, the latter enabling the effective transfer of learning to become reality. Through the presentation of different training and education systems developed by leading European border security agencies, this workshop explored the values and skills that are necessary throughout the different stages of career development, and sought to answer the question of what role there is for training and education in twenty-first-century border security organizations.

Participants included leaders of the border police of participating countries, along with their closest co-workers who participate in director-level decision-making, and top specialists within the organization in the field of training and education.

A working group on training made up of experts in the field was set up following the workshop in Germany. Meeting up to three times over the course of 2004–05, its aim was to discuss the quality of education and training programs for the effective and successful performance of border guard duties. In its first two meetings (see below), a selection of education models and best training programs were presented. The emphasis was on training as a process, which includes needs analysis, program development, program delivery and evaluation, train-the-trainer programs, and how training can play an important role in assisting an organization to achieve its objectives. These groups have met according to the following schedule.

*Training and Education Working Group I, 26–29 May 2004, Hungary.* At this working group meeting, all donor countries were expected to present proposals on how to create training systems for both the border guard personnel sent to man border stations and those who will be station commanders. Given the urgent need for manpower owing to the task of taking over border responsibilities from the military, the training cycle in this instance should be no longer than three months. The question of how to move from this initial step towards comprehensive, one- to two-year long training programs, which should serve as a cornerstones for success in the future, was a focus of the workshop.

*Training and Education Working Group II, 17–20 June 2004, Bosnia-Herzegovina.* In the course of this working group meeting, participants were expected to present what had been developed and implemented so far in the area of training and education by their respective services. At the same time, donor countries presented what they considered to be the keystone of their own training and education systems, and an essential element of its success. Participants in this meeting included leaders in the field of education and training, and their closest co-workers.

*Experts Meeting on Training and Education, 25–27 November 2004, Frankfurt, Germany.* The Meeting of the advisory board for education and training gathered together the senior representatives of the education systems from Estonia, Finland, Slovenia, and Hungary. The aim of the meeting was to clarify and make more precise any unresolved issues regarding the possibility of publishing a book on training and education. The main discussion was about the need for the publication of a book on training

and education, the content and substance of the book, the required time frame, the dynamics of forthcoming activities, the program for the following meetings, and the division of responsibilities between the persons involved in the process.

Representatives from all invited countries agreed and expressed their readiness to participate in the process of preparing a book on training and education. It was decided that the book should be a combination of practical experiences delivered by the countries involved as well as theoretical descriptions of worldwide methodology in the field of training and education. The book should provide information for the beneficiary countries on how to develop their concepts for training and education in the field of border security, but they should be able, based on the material delivered, to make their own conclusions and decisions about the structure and further development of their training and education capabilities. It was decided that it will be very important to emphasize that the internal vocational process of education and training is not only the responsibility of training centers and academies, but also of the border services in each country.

*Experts Meeting on Training and Education, 7–9 February 2005, Frankfurt, Germany.* Due to the activities undertaken within the Border Security Program in the area of training and education throughout 2004, the aim of this meeting was to initiate work on a handbook for border police officers, offering a practical eye and a comprehensive approach to the learning process of border guards. The meeting gathered experts from Bulgaria, Estonia, Finland, Hungary, and Slovenia who work in or are related to the area of border guard training and education in their respective countries and are able to contribute and qualitatively assess the value of the planned publication, titled *Developing a Border Guard/Border Police Education and Training System*.

The meeting largely followed the draft of the contents of the publication that was agreed upon at the training and education meeting which took place in November 2004, but some slight changes were subsequently made. The handbook will be aimed at working group members, their colleagues, and officials responsible for the development and implementation of education and training systems within the border guard services in their respective countries.

*Training and Education Working Group III, 31 March–2 April 2005, Sofia, Bulgaria.* During 2005, the meetings of experts in the field of education and training were dedicated to the curricula on border checks and border surveillance. The main objective of this first event was to try to clarify which knowledge, skills, and attitudes are necessary to perform specific border guarding tasks, how to assess the training needs, and how to define the needed competences—i.e. the ability to use knowledge, skills, attitudes, and values to perform the tasks that reflect the scope of professional practice. During the meeting, specialists elaborated upon the curricula needed for teaching passport controllers. Each country prepared a detailed presentation on a specific subtopic within their training curriculum for their border police, such as profiling, traveling documents, performing a border check, refusing entry, dealing with asylum seekers, etc. These presentations covered all aspects of the assigned topic that had been incorporated into the national training programs of each country's border services.

*Experts Meeting on Training and Education, 29–31 May 2005, Vienna, Austria.* The aim of this IAB gathering was to discuss further the launching of the handbook for border police officers, offering a practical eye and a comprehensive approach to the learning process of border guards. During the meeting, the IAB concentrated on the following topics: vocational and academic education, education process, training needs, and leadership training curricula.

The objective of the advisory board meeting was to review and evaluate the received contributions for the handbook *Developing a Border Guard / Border Police Education and Training System*. Training and education experts from Bulgaria, Estonia, Finland, Germany, Hungary, and Slovenia were involved in the assessment of various topics included in the draft of the handbook.

*Experts Meeting on Training and Education, 28–30 July 2005, Frankfurt, Germany.* The aim of this meeting was to further evaluate and review the received contributions for the handbook *Developing a Border Guard/Border Police Education and Training System*. During the meeting, experts focused on such topics as: guiding principles for developing the border guard/border police education system; cooperative leadership systems; best practice examples; assessment and evaluation; and quality control. Training and education experts from Bulgaria, Estonia, Germany, Hungary, Finland, and Slovenia also reviewed the completed and revised articles.

*Training and Education Working Group IV, 2–5 November 2005, Montenegro.* Co-organized by the Montenegrin Border Police, this meeting discussed the curricula on border surveillance and looked at theoretical principles of adult education, while the host country revealed its achievements in the area of education and training of border police officers and the paths to development in the future. The agenda also included a visit to the Education and Training Center situated in Danilovgrad. This visit aimed to raise awareness of the advances that have been made by the Montenegrin Border Police in the education and training of border police personnel.

As part of the program, participating delegations gave detailed presentations on pre-designated subtopics regarding border surveillance and discussed how theoretical teaching is reflected in practice within their individual border services. Each participating country chose the subtopic covered during the meeting. Those were:

- Surveillance methods
- Differences between surveillance areas
- Patrolling
- Actions taken during a border incident
- Planning system
- Risk analysis on the level of a station.

The meeting was aimed at training and education experts with experience in the field of border security, as well as representatives of the headquarters and police academies. The next year will be dedicated to the issue of permanent training within border guard services, training program design, and lifelong learning.

*Experts Meeting on Training and Education, 15–18 December 2005, Frankfurt, Germany.* This meeting continued the series of gatherings in 2005, and aimed at reviewing and evaluating the contributions for the publication discussed above. The concept of the planned handbook was also reviewed, with an objective of providing a comprehensive image of the education and training systems in the donor countries. From country reports outlining their border police development history and experiences, to concise theoretical articles tailored to be as universal as possible, the book will look at specific issues, such as values in the professional education and training of police, the strategy of lifelong learning, quality management in border police training, basic competences, needs analysis, etc. Those involved in the publication include education and training experts from Bulgaria, Estonia, Finland, Germany, Hungary, and Slovenia.

For 2006, two meetings are planned to examine what the border police should be taught in order to carry out their tasks. The first working group meeting will focus on curricula for border checks and harmonization of curricula, both for basic training courses and for personnel already serving in the border patrol. The second working group meeting will focus on the curricula for border surveillance. All countries involved stressed the deficiencies in their teachers' competencies to meet the new training requirements. The 2006 meetings will take this need as their starting point. Our intention is to develop common training programs and to prepare teachers, trainers, or instructors for their implementation. Delegations of participants in these meetings should include one person in a managerial position responsible for permanent training within border guard organizations, and two or three people who are experts in the field of border guarding, one of them serving as a trainer or teacher.

*Training and Education Working Group V, 15–18 March 2006, Macedonia.* Co-organized by the Macedonian Police, this working group aimed to set out the basis for the development of comprehensive, common curricula education and training programs regarding border checks and control and border surveillance. These programs, once they have been designed and approved, will be at the disposal of all countries in the region in order to harmonize border guard training, guarantee capabilities for common action, enhance regional cooperation, and thus improve the fight against cross-border crime.

On the first day of the meeting, the delegations gave presentations on the organization of their border guard training—i.e. how they determine the needs, who develops the program, who delivers it, how they manage training events, how they evaluate programs, and the problems they face. This was then complemented by presentations by experts from the Slovenian Police Academy, who talked about program design; presentations from the Finnish Border Guard Academy on administrative planning and supervision and border check and surveillance training; and presentations from Estonia on managing and leading education and training.

During the second day, the delegations divided into three teams. The two “program teams” worked together on the design of a common curriculum/training program for border checking and border surveillance, and a “managers’ team” worked on the planning of the negotiation and implementation of training programs within the border ser-

vices. On the final day, the three teams presented their work, and in particular the two program teams managed to produce an outline design of:

- Job descriptions—i.e., the tasks that have to be carried out by the border guard re: border checks and border surveillance
- What the border guard knows about the above subjects (as a result of basic training/experience on the job)
- What the border guard needs to know in the future.

The participants included delegations from all Western Balkan countries (except for Croatia), made up of managers, instructors from the police academies, and operators working in the field. The experts came from the Slovenian Police Academy, the Finnish Border Guard Academy, and Tallinn University in Estonia.

The sixth working group meeting is planned to take place from 12–15 November 2006 in Serbia. In the meantime, an extra meeting of the two program team member is planned for 27–30 August in Croatia to further prepare the common programs.

*General Overview of Maritime Border Issues and Integrating the Coast Guard into the Border Security System: the Case of the Finnish Frontier Guard*

*First Workshop, 25–29 August 2004 in Helsinki.* This specific project was aimed at providing useful background material and EU member country experience in order to assist Western Balkan states in the establishment of coast guarding systems. The starting point was the EU's requirements for management of the maritime borders. This covers both blue border surveillance and the border checks in ports. During the project, the beneficiaries were familiarized with existing organizational, operational, and technical solutions in Finland, Spain, and Greece.

While the general principles for the control and surveillance of green and blue borders are essentially the same, attention should be paid to the relationship between a coast guard service and the border security service. In the EU border management context it is essential that the coast guard function be completely interlinked with the border police. Several states have established a practice where the border service manages the coast guard, and takes on a number of other maritime duties. The aim of the third phase is to build a common understanding on how best to establish coast guarding functions in WB countries; to undertake a joint Adriatic threat analysis; to develop national drafts of coast guard concepts, structures and resources; and eventually to develop a model of Adriatic Sea border control cooperation based on the Baltic Sea region experience. The starting point was the EU requirements for management of maritime borders, covering both blue border surveillance and border checks in ports. Participants were familiarized with existing organizational, operational, and technical solutions in Finland, Spain, and Greece/Italy. The form of this phase will be discussed below.

The aim of the “blue border project” is to build a common understanding on how to use EU coast guarding best practices in Western Balkan countries. The model for a joint Adriatic threat analysis; the development of national drafts of coast guard con-

cepts, structures, and resources; and eventually the development of a model of Adriatic Sea border control cooperation based on examples from the Baltic Sea region will be on the agenda of the meetings. The starting point of the “blue border project” concerned the EU requirements for the management of maritime borders and the application of those standards at maritime borders, covering both blue border surveillance and border checks in ports.

The meeting in Helsinki aimed to give a general overview of maritime border issues by emphasizing the case of the Baltic Sea area. Border management is one of the key civil security functions of any state at sea, but there are other necessary functions as well. It may prove useful to make a given authority responsible for a number of different functions. The possible divisions of responsibility between authorities were examined, with Finland being an example of a border guard organization that successfully carries out several coast guard functions. In addition, case studies were given by Sweden and Estonia to highlight the different aspects of being either an “independent” or an “integrated” coast guard.

The prevention of illegal immigration and human smuggling can be enhanced by cooperation with other countries bordering on the same littoral. The Baltic Sea region is an example where cooperation in coast guarding has helped curb maritime crime; the participants were able to examine the arrangements of this example of international cooperation in border control. In addition, the extensive experiences gained from securing the river border of the Oder River were presented by representatives from Germany, along with presentations by Romania and Bulgaria on strategies prepared under the EU’s perspective to prevent illegal border-crossings in the case of the Danube River. The workshop was organized in Finland in order to capitalize on the Finnish Frontier Guard’s expertise in the area and to maximize the synergies that can come from considering how maritime and green border operations can be integrated into one effective border security organization. A number of working group meetings followed on this workshop, which are outlined below.

*First Working Group on Blue Border Surveillance, 24–28 October 2004, Málaga, Spain.* Spain has established an EU ad hoc center for the surveillance of maritime borders, with a view to providing important insights into international cooperation at the operational level. Moreover, Spain is responsible for elaborating a common EU strategy on guarding blue borders. For Western Balkan countries, it is therefore interesting to see how the EU wants to achieve progress on this issue.

Jointly organized by DCAF and the Spanish *Guardia Civil*, this event was a continuation of the work done at the initial workshop on blue border surveillance held in Finland in August 2004. The gathering in Málaga was beneficial for all services seeking to explore the different possibilities that exist with regard to blue border surveillance, and the role and place of the coast guard in border security. The *Guardia Civil* presented its own system, and participants were able to draw comparisons with the systems that were presented to them in Finland, notably those of the Finnish Frontier Guard, the Estonian Border Guard, and the Swedish Coast Guard.

Participating delegations formed common teams, incorporating all relevant actors in this field, including representatives of the border police, the coast guard, and the

navy, depending upon where the responsibility for blue border surveillance lies in the various countries. The main topics of the workshop included the presentation of the Spanish system of blue border control. This involved, *inter alia*, discussions of illegal migration management, SIVE (the *Guardia Civil's* External Surveillance Integrated System deployed along the Spanish coast), and the centers of coordination of maritime borders of the EU. Study visits were made to the Málaga port, as well as to illegal migration management installations in Ceuta.

*Second Working Group on Coast Guard, 17–20 April 2005, Athens and Corfu, Greece.* This event was a continuation of the work already done in 2004 during the events mentioned above. Jointly organized by DCAF and the Hellenic Coast Guard, the meeting started with presentations from all delegations on the developments made in the field of blue border surveillance within the previous six months and their plans for the future. The Swedish Coast Guard then gave a presentation on the EU's Strategy for Sea Borders, and the Hellenic Coast Guard presented their system of blue border control, highlighting the way in which they implemented EU strategy. Participants were therefore able to draw comparisons between the variety of systems that were presented to them in Finland and Spain respectively and the Greek system of blue border surveillance, as well as considering the role and place of the coast guard in border security.

During the meeting, participants had the opportunity to see the work being done in the Hellenic Coast Guard Headquarters and at the EU's Eastern Sea Border Center. This included a visit to the operational center of the Hellenic Coast Guard, the Joint Rescue Command Center, and a presentation on the VTMIS surveillance system (Vessel Traffic Management Information System). Participants also had the chance to go to sea in coastal surveillance vessels to observe first-hand the various operational means available to the Hellenic Coast Guard to carry out their work, and to see in practice the Greek model of carrying out blue border surveillance.

On the final day of the workshop, participants were taken to sea on small patrol craft and shown blue border patrolling on the Greek/Albanian border. This was concluded by a visit to the Port Authority, where they were given a demonstration of the Vessel Traffic System (VTS) of surveillance, the local level of the VTMIS surveillance system. The meeting concluded by agreeing on the program for the third working group meeting on blue border surveillance, which took place in Croatia, as detailed below.

*Third Working Group on Coast Guard, 26–29 October 2005, Trogir, Croatia.* Jointly organized by DCAF, OSCE, and the Croatian Police, much of this meeting was dedicated to the first drafts of the strategies and action plans for blue border surveillance that were to have been created by each of the participating countries. The first day of the meeting started by looking at the EU's demands and requirements for maritime border strategies, followed by presentations from Finland, Estonia, Sweden, Spain, Greece, and Cyprus, which showed how the EU's guiding principles were implemented in practice in Northern and Southern Europe. The practical aspects of designing a strategy for maritime borders in accordance with EU demands and requirements was then presented. This was followed by a complementary presentation that

looked at the concerns and pitfalls that should be taken into account when designing a strategy.

On the second day of the meeting, Croatia presented her experiences in the field of blue border surveillance, given by representatives from the Croatian Maritime Police; the Ministry of Sea, Tourism, Transport, and Development; and the Ministry of Defense (Navy). This was followed by a visit to the harbor in Split and to the naval operational center to see the Peregrine and GEMS radar systems at work.

Participants then divided into different working groups to discuss in detail the strategies required for the control of sea, lake, and river borders respectively. Each working group then gave presentations on their results and findings, and each delegation left with a comprehensive template that could be used by them to further develop their draft blue border strategies.

The meeting concluded by agreeing that during the next two months all participating countries would prepare draft strategies for blue border surveillance, formatted in the manner that was discussed and presented during working groups' meetings. This would give them the chance to create a document that included their ideas, wishes, and choices for the organization they would like to set up in their countries that would be responsible for border guarding at sea.

In 2006, this group had plans for one event, to allow for elaboration of the final draft strategies prepared for the countries and discussion of how these strategies can be implemented. Participating delegations for this meeting were to be made up of all relevant actors in the field of blue border surveillance, including representatives of the border police, the coast guard, and the navy (depending upon where the responsibility for blue border surveillance lies in each country).

*Fourth Working Group on Coast Guard, 25–28 October 2006, Albania.* The final aim of the working group will be the creation of a strategy for a common border security system, including a search and rescue (SAR) function, whereby the means of green and blue border surveillance are united under a clearly defined control and command line. Written strategies should be presented at the Third Annual Review Conference in 2006.

### *Risk Analysis and Criminal Investigation & Intelligence*

*First Workshop, 30 November–4 December 2004, Frankfurt, Germany.* Rather than simply being concerned with controlling the entry and exit of aliens and national citizens, border security is a concept that includes preventing illegal entry, combating human trafficking and the smuggling of goods, and contributing to the fight against terrorism and the proliferation of weapons of mass destruction. All these activities require that three important elements—risk analysis, criminal intelligence, and investigation functions—are closely interlinked with other border guard duties.

Modern border guarding cannot take place without these three elements. This workshop aimed to highlight the importance of risk analysis within border security; it included presentations of a number of different risk analysis models, familiarizing participants with best practices. The presentations also described how these models have been organized by different services, focusing in particular on the model used by the

Finnish Frontier Guard. Criminal intelligence and investigation were covered in presentations made by other leading border security agencies that have successfully integrated criminal intelligence and investigation capacities into their operational concepts. Participating countries were also given the opportunity to present their own existing or planned approaches.

During the workshop, the main emphasis was placed on the comprehensive risk analysis model developed by the Finnish Frontier Guard. This model builds upon two assumptions: that effective contribution to crime prevention requires intelligence-led operational activities; and that the information gained in border management activities is to be utilized systematically for purposes of analysis and intelligence. The intelligence-led approach suggests that practical field-work is based on constant profiling, and that planning is supported by statistical analysis. Profiling means that each border guard is able to give special attention to those subjects that represent a higher threat, with applicable field methods having been developed to this end.

In the area of planning, it has to be recognized that system gaps may lead to irregularities. In this regard, border management is only as strong as its weakest link. The border management system has to be analyzed to determine its impact on crime in different areas, and to find out where the gaps exist in the system. For this purpose, pragmatic and simple statistical methods have been developed, part of the so-called operational risk assessment. The basis for both profiling and operational risk assessment efforts is a valid understanding of the prevailing threats. To achieve this, an intelligence function must be organized to support risk analysis in border management activities.

In addition to risk analysis, the scope of the border guard mission requires that such organizations also develop a mechanism for carrying out criminal intelligence and investigation activities. This can either take the form of coordination with police agencies and other actors outside of the border guard organization, or these capabilities can be integrated into the activities of the border guard itself. The choice made will depend on a number of factors, including the place of border security in a given nation's legal framework and the organizational concept upon which the border guard authority has been built.

The workshop included presentations on the activities of the German *Bundesgrenzschutz* (BGS), the Finnish Frontier Guard, and the Estonian Border Guard, as well as presentations from other leading border security agencies that have successfully integrated criminal investigation and intelligence capacities into their operational concepts in various ways. Participating countries were also given the opportunity to present their own existing or planned approaches to criminal investigation.

Participants in the workshop included leaders of the border police of participating countries, along with their closest co-workers who participate in director-level decision-making and top specialists within the organization in the field of criminal investigation and intelligence, as well as risk assessment. During 2005–06, three working groups were formed to address these closely interlinked elements. The aim of these working groups will be to assist the countries of the region to develop mechanisms within their border security systems to carry out criminal intelligence and investigation

activities and integrate criminal investigation and intelligence capacities into their operational concepts. In addition, the groups hope to develop a common understanding of the role of the border guard function in the national systems of criminal investigation, to provide operational guidelines about the organization of investigations within the border guards, and to further develop the operational and strategic risk analysis methods used in relation to different types of borders.

Experts will be drawn from investigation, intelligence, and border guard backgrounds, and will discuss in detail the coordination issues involved in sharing intelligence and investigation information, as well as the exact duties and the necessary competences required in order to carry out risk analysis successfully. For the risk assessment working group, experts will seek to make sense of and harmonize the many different risk assessment methods currently in use.

The working groups on *Investigation* will address the identification and analysis of the criminal investigation system in the region and the role of the border police. They will seek to evolve common conceptions of the role of the border police in the national systems of criminal investigation, as well as to prepare the necessary proposals for national legislation. The structure and contents of operation guidelines will also be prepared.

Participants in the Investigation working group will include legal experts with an education in criminal law, national and/or regional managers or trainers with experience in criminal proceedings, and personnel who will take over management positions in a border police unit involved in criminal proceedings.

The working group on *Risk Analysis* will be divided into groups focusing on operational and strategic analysis and tactical risk analysis. Regarding operational and strategic analysis, working groups will give a thorough introduction of operational and strategic risk analysis methods through lectures and case studies. Operational analysis methods will also be developed further, as they relate to different types of borders. As far as possible, existing material from the participating states would be utilized in exercises. Participants in this working group include national and/or regional managers or trainers with experience in and knowledge of operational border control activities and management.

The working group on tactical risk analysis will introduce the various methods of tactical risk analysis (and related intelligence) to the participants. Participants will be requested to provide genuine data on actual incidents, if possible, in order to assist in drawing up joint risk profiles, risk indicators, and refreshed models of operation. Participants in this working group include communication-oriented intelligence practitioners, or experienced border control and document checking experts. The following working group meetings have taken place.

*Risk Analysis, Criminal Intelligence and Investigation Working Group I, 11–13 May 2005, Budva, Montenegro.* DCAF organized this working group meeting as a continuation of the workshop held in Frankfurt in December 2004. Its aim was to establish integrated working groups to deal with these three closely interlinked elements throughout 2005 and 2006 in order to assist the border services in the region to:

- Develop mechanisms for border police to carry out criminal intelligence and investigation activities
- Integrate criminal intelligence and investigation capacities into border police operational concepts
- Develop a common understanding of the role of the border police in the national systems of criminal intelligence and investigation
- Deliver operational guidelines about the organization of intelligence and investigations within the border police
- Further develop tactical, operational, and strategic risk analysis methods as they relate to different types of borders.

Presentations were given by the participating countries about the current tactical, operational, and strategic risk analysis methods used within the border police, or in close cooperation with the state police and state intelligence services. During these presentations, participants gained a clear view of the actual situation in other countries in the region concerning these topics.

After presentations from a variety of EU experts, teams worked in four working groups in order to find out the “ideal” way to carry out intelligence and investigation functions as well as to introduce a risk analysis model into the everyday practice of the border police services in the region. This teamwork was facilitated by experts from Germany, Switzerland, Estonia, and Finland. During the working group, participants had the opportunity to discuss in detail the coordination issues involved in sharing intelligence and investigation information, as well as the exact duties and the necessary competences required in order to carry out the above mentioned elements successfully. Participants in the workshop were both leaders of border police authorities and specialists in the fields of criminal intelligence, investigation, and risk assessment.

*Risk Analysis, Criminal Intelligence and Investigation Working Group II, 1–4 December 2005, Budva, Montenegro.* This meeting carried on the work from the previous working group meeting in May in Frankfurt. The framework for this working group was as follows. The working group started with short briefings by each delegation on:

- How the responsibilities regarding intelligence gathering, investigation, and risk analysis are divided between the agencies legally involved in this business
- How this works in practice
- How cooperation between the various agencies involved is organized.

This was followed by a discussion of the presented job descriptions, tasks, and the implementation of processes and procedures required—specifically, information gathering, investigation, and risk analysis at both the national and regional headquarters level.

During the working group meeting, experts from Estonia, Finland, France, Germany, and Switzerland covered the administrative aspects required to implement a risk analysis model, and looked into the practicalities of carrying out operational risk analy-

sis. The different stages and elements of the investigation process in the case of illegal immigration were discussed, and a practical case study covered intelligence matters and decision making. Participants included leaders of border police services as well as experts drawn from investigation, intelligence, and border guard backgrounds.

For 2006, the working group has two events planned. The meeting of the risk analysis group has as its goal building the capability within participant states of conducting risk analysis at the strategic level within the region. The intelligence and investigation working group meeting will focus on building the capability for data collection and analysis, examining full intelligence cycles; gathering, forming, storing, and distributing this information; creating profiles; and encouraging cooperation between agencies. Participants in these meetings should have the following qualifications:

- Leaders of the border police of participating countries, along with their closest coworkers who participate in director-level decision-making and top specialists within the organization in the fields of criminal investigation, intelligence, and risk assessment
- Legal experts with an education in criminal law, national and/or regional managers or trainers with experience in criminal proceedings, or personnel who will take over management positions in a border police unit involved in criminal proceedings
- National and/or regional managers or trainers with experience in and knowledge of operational border control activities and management
- Communication-oriented intelligence practitioners, or experienced border control and document checking experts.

*Risk Analysis, Criminal Intelligence and Investigation Working Group III, 10–13 May 2006, Slovenia.* During 2006, the working group on risk analysis, criminal intelligence, and investigation aims to assist the countries of the Western Balkans in achieving the following goals:

- In risk analysis: to be capable of conducting risk analysis at the strategic, operational (including tactical), national, and regional levels
- In Intelligence: to gain a capability in data collection and analysis; to be able to implement full intelligence cycles; and to conduct operational cooperation between agencies and services responsible for intelligence
- In Investigation: to assist in the enhancement of professional capabilities for criminal investigations by national border police authorities; and to identify and apply common standards and procedures for investigation of border-related crimes, in order to be able to carry on common investigations in cases of crimes committed in different countries.

During the first meeting, the working group made a number of agreements. In the area of risk analysis, participants actively discussed the structure of a strategic risk

analysis model (SRA) currently used by EU member countries. This model includes the following elements in its analysis of the internal and external environment:

- The operational situation in consulates (quality, equipment, effect of granting more visas); possible risks and threats, and proposals to address them
- The situation in neighboring countries, including the border security situation; levels of traffic; changes in border security systems; social factors; possible risks and threats, and proposals to address them
- The border security situation in the EU, including changes in borders and how they can impact national situations (enlargement), and possible risks and threats and proposals to address them
- Routes of illegal immigration, including possible risks in individual national systems and proposals to address them
- Land borders (border surveillance and border checks); sea borders; air borders; and possible risks and threats, and proposals to address them
- Main conclusions and proposals for implementation measures, comparison of risks and own resources (staff, equipment, mobility, commanding system, organizational structures, powers).

The participating countries agreed to create rules and regulations for carrying out national risk analyses, which will include formats of all the necessary reports included in their model. The created documents will be sent to DCAF by 1 November 2006, and will be discussed and analyzed during the next working group meeting, which will take place from 22–25 November in Macedonia. In addition, at this meeting activities will be directed towards the development of an operational risk analysis methodology.

In the area of intelligence, participants first received information from customs officers about the intelligence role within customs. At the same time, the importance of cooperation between different agencies and services was stressed again. Participants were asked in the working groups of the first day to identify the main factors that could influence their organizations and to sort out the possible opportunities and threats. Then, taking into account their organizations' strengths and weaknesses, they were asked to highlight the critical sectors and the key factors of efficiency in order to identify priorities and define measures to be taken.

A model was provided of how to conduct such an analysis, and the results of the three study groups were presented in a plenary session. This model of analysis must be considered as contributing to the preparation of the reports mentioned above. It thus offers participants a tool to complete their analyses in their home countries.

The morning of the second day was devoted to the presentation of some of the techniques and outcomes of criminal analysis. A second important point was addressed, concerning the structure and the conduct of the meetings in which situations are presented on the basis of intelligence analysis and decisions are made. Examples of reports disseminating information according to the decisions made were also presented. During the afternoon a comprehensive exercise was organized. Participants divided

into three groups representing two police agencies in France and Germany and a customs agency in France, and were assigned to analyze different situations, assimilate information obtained from their partners, request new information, and prepare coordination and decision meetings.

In the area of investigation, participants agreed on several recommendations. The first was that participating countries should apply the FEMALE method of investigation of human smuggling crimes. They were asked to evaluate the methodology and send proposals to DCAF by November 2006. The methodology will be discussed during the next workshop, along with the adoption of a common methodology for the investigation of human smuggling cases.

*Risk Analysis, Criminal Intelligence and Investigation Working Group IV, 22–25 November 2006, Macedonia.* The final aim of the working groups on risk analysis, criminal intelligence, and investigation will be to provide all participants with the knowledge of common EU standards for risk assessment in order to create operational risk assessment methodologies in each participating country. Operational guidelines on how to set up criminal intelligence and investigation capacities, including the necessary job descriptions, should also be elaborated.

### ***Level Two: Advanced Distance Learning (ADL) Module For Regional Commanders***

As a new stage of development, an ADL module for regional commanders, which can be seen as a cornerstone for a future Virtual Border Guard Academy, was under preparation in 2004–05, and was launched in February 2006. The learning provided is intended for regional commanders, in order to enable the sharing of information across participating countries and to ensure that common best practices are established through interaction. Interactive learning that brings together regional commanders from the countries that make up the Stabilization and Association Process (SAP) will also form a basis for future regional cooperation.

To prepare the content for the ADL module, an international advisory board was extended to include specialists in the fields of education and training from each participant country. The content of the curriculum was drafted on the basis of collaboration between advisory board members. Its aims are to determine the content of the curriculum for the entire course and particular modules, assess the relevance of the material provided, make the necessary updates, and prepare a final exam. For their part, the ADL specialists at the Zurich Federal Institute of Technology (ETHZ) are responsible for transforming the curriculum into an ADL module. While the curriculum materials have been translated, the seminar courses are given in English. With a view to ensuring that, by the beginning of the course in February 2006, all participants would have the required language skills, English courses were organized for participants in their home countries during 2004 by national authorities. After the first selection of candidates by the end of 2004, specialized language courses combining modules in the home country with courses in a native language environment started in February 2005.

Four English language courses of roughly a month in duration were organized by DCAF, and three two-month courses were organized by national authorities. Countries

nominate eight participants for these courses, with five participants ultimately being selected. DCAF provided content for the national segments of the courses.

Organized by DCAF, the first classroom phase of the Advance Distance Learning Course for Regional Commanders took place in York from 4–30 April, at the Leeds University Centre for International Studies. This was a four-week-long English language training course for thirty-four participants from all Western Balkan countries, as well as participants from Slovenia and Estonia.

The participants, who were divided into four groups depending on their ability and in accordance with the final achievement test, all progressed considerably during the four weeks of training. The participants also gained the necessary requirements in order to be able to actively participate in the next phase of language learning, which will involve a professional course on border security, planned to start in February 2006 and to run for eighteen months. The main aim of this program is to enable participants to communicate effectively with all other colleagues involved in guaranteeing security for their citizens through effective border management.

The second English language course took place in Lucerne, Switzerland, from 11 July–7 August 2005. Thirty-six regional commanders or police officers from ministries in headquarters from eight counties (Albania, Bosnia and Herzegovina, Croatia, Estonia, Macedonia, Montenegro, Serbia, and Slovenia) participated. During the first day, an exam was administered to assess the ability of all the participants. The participants were divided into four groups: one group at the elementary level, two groups at the pre-intermediate level, and the fourth group at the upper intermediate level.

The course involved intensive classroom activity in the following areas:

- Listening comprehension
- Reading comprehension
- Grammatical accuracy
- Phonological control
- Vocabulary range
- General linguistic range
- Spoken pronunciation
- Information exchange
- Notes, messages, and forms
- Correspondence
- Reports and essays.

The course concluded with a progress test that showed improvement in all previously mentioned areas.

The third English language course, took place in Birmensdorf, Switzerland from 25 September–16 October 2005. The participants included twenty-eight regional commanders (or police officers from ministries in headquarters of an equivalent level) from the same eight countries that sent participants to the previous course. This course in-

cluded participants at the elementary and pre-intermediate levels, although members of the latter group were able to move up to intermediate proficiency during the course. The program involved intensive classroom activity, which continued the themes mentioned above. As before, the course finished with a progress test that showed improvement in all previously mentioned areas.

The fourth English language course, took place in Budva, Montenegro from 12 November–5 December 2005. The thirty-six participants completed this final course in preparation for the main ADL course, which started in January 2006. The course finished with a progress test that showed improvement by all participants in all previously mentioned areas. Their achievements and present level of English knowledge is explained well in the certificates delivered to each participant.

The first module of the eighteen-month-long ADL course for regional commanders was scheduled to take place in Geneva during early 2006. The advanced distance learning phase of this module took place from 12 December to 22 January, to prepare the participants for the classroom phase.

The beginning of the ADL Main Course for Regional Commanders, entitled “Change in the Security Environment,” took place from 22 January–11 February 2006 in Geneva. The participants were twenty-four regional commanders or police officers from ministries in headquarters of an equivalent level, from eight countries (five from Albania, two from Bosnia and Herzegovina, six from Croatia, two from Estonia, two from Montenegro, six from Serbia, and one from Slovenia).

The course involved intensive classroom activity in the following areas:

- Working in teams
- Problems of border management in a globalizing world
- Roots of conflict
- New security environment
- Globalization, regionalism, and integration
- Transnational organized crime and international security
- Combating trafficking in human beings
- Organized crime in the Balkans
- The non-proliferation regime and its current challenges
- Trafficking in nuclear materials
- Trafficking in small arms and light weapons
- Old and new forms of terrorism
- Combating the ideological support of terrorism
- Counterterrorism and border security
- WMD terrorism
- EU counterterrorism policies

- The crime–terrorism nexus
- Human rights
- Border security in modern world
- Guiding principles of successful leadership and management in modern border security organizations
- Recent developments in the framework of the EU.

The lecturers were experts from GCSP, DCAF, Oxford University, Zurich University, Tartu University in Estonia, the Swiss Police, and the Slovenian Police, among others. As part of the course, several visits were organized to the following international organizations that are involved in the issues listed above, including:

- UN Headquarters in Geneva
- International Red Cross Headquarters
- Office of the UN High Commissioner for Human Rights
- Office of the UN High Commissioner for Refugees
- International Organization for Migration
- Swiss–French Communication Center.

The second ADL module, on “Leadership and Management,” took place from 3–23 May 2006 in Slovenia. The advanced distance learning phase of this module took place from 10 March to 6 May, to prepare the participants for the classroom phase in Slovenia. The third module, on “Border Management I,” took place in Estonia and Finland, from 15 August–3 September 2006. The fourth module, entitled “Border Management II,” will take place in early 2007 in Hungary and Germany.

### ***Level Three: Operational Guidelines and Job Descriptions for Station Commanders***

In response to requests made by recipient countries, and as a complement to the ADL module for regional commanders described above, a special program will be organized for station commanders. The aim of the program will be to provide practical training for station commanders on the subject of carrying out border checks and surveillance at the individual station level. The program will be aimed in particular at commanders who have yet to take up their border station posts or who have up to three years of experience. The program will take the form of week-long study visits, during which participants will be familiarized with the planning and organizing of everyday activities of border police stations, and will carry out a variety of practical exercises, all designed to reproduce situations similar to those found in their home countries.

The first courses for station commanders were begun in Kiskunhalas, Hungary on 16–23 May and 7–14 June 2004. Thereafter, two more courses took place in Gotenica, Slovenia, the first from 6–10 September and the second from 20–24 September 2004. In total, fifteen station commanders from each recipient country were invited, with all costs covered by DCAF.

In 2005, the first series of workshops on communication and stress management, took place in the Slovenian Police Academy in Ljubljana in March and April. In accordance with the proposal made by the Slovenian hosts, the previously established two working groups in this field were divided into four groups, and each of those groups participated in a four-day course over the period from 28 February to 15 April 2005, according to the following timetable:

- The first group from 1–4 March 2005
- The second group from 22–25 March 2005
- The third group from 5–8 April 2005
- The fourth group from 12–15 April 2005.

This series of workshops gathered together sixty-one commanders of police stations for border control from Croatia, BiH, Montenegro, Serbia, and Macedonia. Their aim was to develop communication skills for police daily work and the strategies for coping with stress in order to improve the officers' effectiveness and professionalism. The training was designed to be interactive, with the full involvement of the participants with many instruments for self-discovery, role plays, discussion, problem solving, group work, and analysis of their own behavior.

The workshop was divided into two parts. The first part was about communication training, and was designed to provide knowledge about the rules of effective communication. It built on experimental situations that allowed the students to improvise and to find out the best solutions for themselves. During this segment, police officers learned how to respect and protect others and their own human dignity through communication and stress management and how to be more effective. The second part of the workshop involved training in how to deal with stress, which is one of the most important personal competences involved in police work. Police officers were trained in how to use the advantages of stressful situations and how to protect themselves from the damaging effects of stress.

The second course, on leadership and green and blue border surveillance, took place over two one-week sessions, from 21–30 August and 11–20 September in Estonia. This workshop was a follow-up to workshops of the same kind held in Hungary (May/June 2004) and Slovenia (September 2004 and April/May 2005). There were thirty-nine participants from five countries (Bosnia and Herzegovina, Croatia, Macedonia, Montenegro, and Serbia) in each session. All of them held the rank of chief of a border police station. The workshop gave the participants the opportunity to gain knowledge and experience about leadership, as well as to observe how their colleagues at the station commander level perform their daily duties in practice. The workshop program was divided into two parts: classroom activities and field visits.

Classroom activities addressed the following topics:

- Leaders and leadership
- Leaders' competences
- Leaders' personality typology

- Leadership styles
- How to build an effective team
- Principles of effective teamwork
- Teambuilding process
- Motivating leadership
- Criteria of organizational efficiency.

This portion of the course also included a number of practical exercises, which the participants described as being very useful.

The second part of the program consisted of visits to a border guard station on Estonia's eastern border (with the Russian Federation). During this portion, participants were introduced to the following subjects:

- Organizational structure of the Estonian border guard
- How work is organized at the border crossing points
- How border guarding is carried out on the lakes, rivers, and green borders
- What kind of technical support do border guards have and how it functions
- In what way the work had been carried out before the Estonian border guards received their first technical equipment
- Cooperation with other services and neighboring countries (the Estonian Border Guard organized a joint exercise with their Russian colleagues, which provided an example of how the Estonian and Russian border guard manage illegal border crossings).

Further courses on operational guidelines and job descriptions for station commanders will take place in September in Hungary and Poland.

#### ***Level Four: Annual Summer Training for Future Leaders***

Under the rubric of the Border Security Program, DCAF organized a summer camp which gathered together fifty-eight future leaders in the area of border security from 15–21 August 2004 at the Swiss Army Mountain School in Andermatt, Switzerland (participants included three attendees from each Western Balkan country, and three from each donor country). The aim of this conference was to bring together a group of young scholars, NGO activists, journalists, and government officials from Albania, Bosnia and Herzegovina, Croatia, Estonia, Finland, Germany, Hungary, Macedonia, Russia, Serbia and Montenegro, Slovenia, and Switzerland in order to give them an opportunity to engage with prominent international experts in a comprehensive debate concerning contemporary and future issues of border security. The aim of this type of event is to train and educate future leaders in the field of border security, thereby contributing to DCAF's effort towards guaranteeing continuity in transferring best practices. Moreover, by sharing their professional experiences and participating in group

activities, participants will be able to build the basis for future cooperation based on good relations among young professionals.

The Second Annual Future Leaders Summer Training Conference took place once again at the Swiss Army Mountain School in Andermatt from 14–21 August 2005. This event was organized in cooperation with the Swiss Army Center of Excellence in Mountain Training, and gathered together forty-five participants from all countries in South Eastern Europe, as well as the Czech Republic, Estonia, Finland, Germany, Spain, Slovenia, and Ukraine. As mentioned above, the aim of this event was to bring together in a stimulating environment a group of young scholars, NGO activists, journalists, government officials, and border guards in order to give them an opportunity to engage with prominent international experts from Germany, Estonia, Slovenia, and Switzerland in a comprehensive debate concerning contemporary and future issues of border security.

The first three days of the summer training were spent in the classroom discussing topics related to a variety of security issues, as well as examining leadership and management methods. The second part of the program took the participants into the mountains, where they were able to learn and practice summer mountain training skills as taught by the Swiss Army, and to practice the leadership techniques discussed in the classroom. The level of genuine interest and involvement in both the academic and the training activities, together with the high standard of English displayed by both border officers and academics, led to a successful and productive week. It was decided to create a Future Leaders Alumni Network to coordinate the activities of the alumni and conduct on-line forums on issues related to border security in the future.

The Third Annual Future Leaders Summer Training Conference took place again in Andermatt from 13–20 August 2006. The topics discussed included:

- Leadership and management
- Corruption
- The new security environment
- Globalization and competing concepts of border law and border guarding
- Intelligence and risk analysis
- Management and corporate culture.

Participants were expected to have the following qualifications:

- Actively serving border guards, no older than 35 years old at the time of the conference
- The ability to speak and write English well enough to communicate with others without difficulty
- Operational exposure in the field of border security, including practical experience.

## ***Outlook for 2006***

In 2006, a program has been planned that continues the work of the working groups established in seven areas. These areas are legal reform, leadership and management, logistical support, education and training, risk analysis, criminal intelligence and investigation, and blue border surveillance/coast guard. It is intended that the working groups will meet twice a year over the 2006–07 period. By the end of this period, the final aims of the working groups stated above will hopefully have been achieved.

The Border Security Program’s activities will concentrate on the promotion and deepening of regional cooperation, with the aim of benefiting the development of the countries of the region and accelerating their integration into the EU. The focus will be on the following areas:

- Overcoming legal differences and fostering international agreements on cross-border cooperation
- Increasing operational capacities
- Improving the level of technical interoperability
- Harmonizing education and training processes.

*January 2006.* The working group on legal reform met for the fifth time in Slovenia. The first module of the ADL course for regional commanders on “The New Security Environment” began in Geneva, Switzerland.

*February 2006.* In February 2006, the Third Annual Review Conference was held in Sarajevo, Bosnia and Herzegovina. At this event, an evaluation was made of the progress achieved towards reaching the final aims of each working group, and documentation was presented. Also, plans for enhanced regional cooperation and the implementation of regional flexibility measures were discussed. This conference was followed by a meeting of the International Advisory Board for Border Security.

*March 2006.* The fifth working group meeting on education and training took place in Macedonia. The fifth working group meeting on logistical support also took place in March, in Serbia.

*April 2006.* The sixth working group meeting on leadership and management took place in BiH. The course for station commanders (Operational Guidelines and Job Descriptions) was run in Finland, focusing on the topic of communication and stress management. The same course was run twice, each time for forty participants, lasting for one week.

*May 2006.* The second module of the ADL course for regional commanders, entitled “Leadership and Management,” took place in Brdo, Slovenia. A meeting of the DCAF IAB for Border Security and the third working group meeting on risk analysis, criminal investigation, and intelligence also occurred. A meeting for chiefs of border guard agencies of the Western Balkans was organized, with the aim of evaluating the work done in the first half of 2006 and suggesting changes to the program for the second half of 2006. All three events took place in Slovenia.

*June 2006.* The sixth legal reform working group meeting took place in Croatia.

*August 2006.* The third future leaders summer conference took place in Andermatt, at the Swiss Army Mountain Training Site. The third module of the ADL course for regional commanders, “Border Management 1,” took place in Estonia and Finland.

*September 2006.* The sixth meeting of the Logistical Support working group is planned for September in Croatia. The continuation of the Operational Guidelines and Job Descriptions course for station commanders, which will focus on leadership and green and blue border surveillance, will take place over two weeks in Poland and Hungary.

*October 2006.* The seventh working group meeting for leadership and management will be held in October in BiH. The fourth coast guard working group meeting is planned to take place in Albania.

*November 2006.* The sixth working group meeting on education and training will take place in Serbia. The final IAB meeting of the year will be held in Bosnia and Herzegovina. In addition, the fourth working group meeting on risk analysis, criminal investigation, and Intelligence will also take place in Bosnia and Herzegovina. The fourth module of the ADL course for regional commanders, “Border Management II,” will take place in Hungary and Germany. Finally, the chiefs of the border services will meet in Frankfurt in order to agree on the annual plan for 2007.

*ADL Course for Regional Commanders.* The ADL course planned for 2006–07 is divided into five modules. The virtual part of the study will take two months, and during this time students are expected to receive general education on a specific subject or theme. Classroom activity will last three to five weeks, and will take place in the recipient’s country. It is aimed at solidifying the knowledge received during the two-month e-learning period. The following customized four-week program will offer deeper analysis of border security in a specific target region, and will contain tailored propositions for national arrangements.

*Third Annual Review Conference, 23–25 February 2006.* This conference provided WB participants with the opportunity to review the activities undertaken in 2005. The topics under consideration included legal reform, leadership and management, logistical support, training and education, blue border surveillance, risk analysis, and the development of criminal investigation and intelligence capabilities. At the same time, the annual plan of common activities for 2006 was discussed. The chiefs of the various border police services involved in the program were also asked to present an overall evaluation of the DCAF border guard projects, including their success and usefulness in the development of effective border management in the region.

*Third Future Leaders Conference, 13–20 August 2006.* The Third Future Leaders Summer Conference was held once again in Switzerland, in August 2006. This conference sought to continue the work that began in 2004 in the development of personal and professional relationships of young border guard cadets from all over Europe. Practical teambuilding experiences will be combined with lectures from specialists in the field of international relations, speaking on topics related to border security.