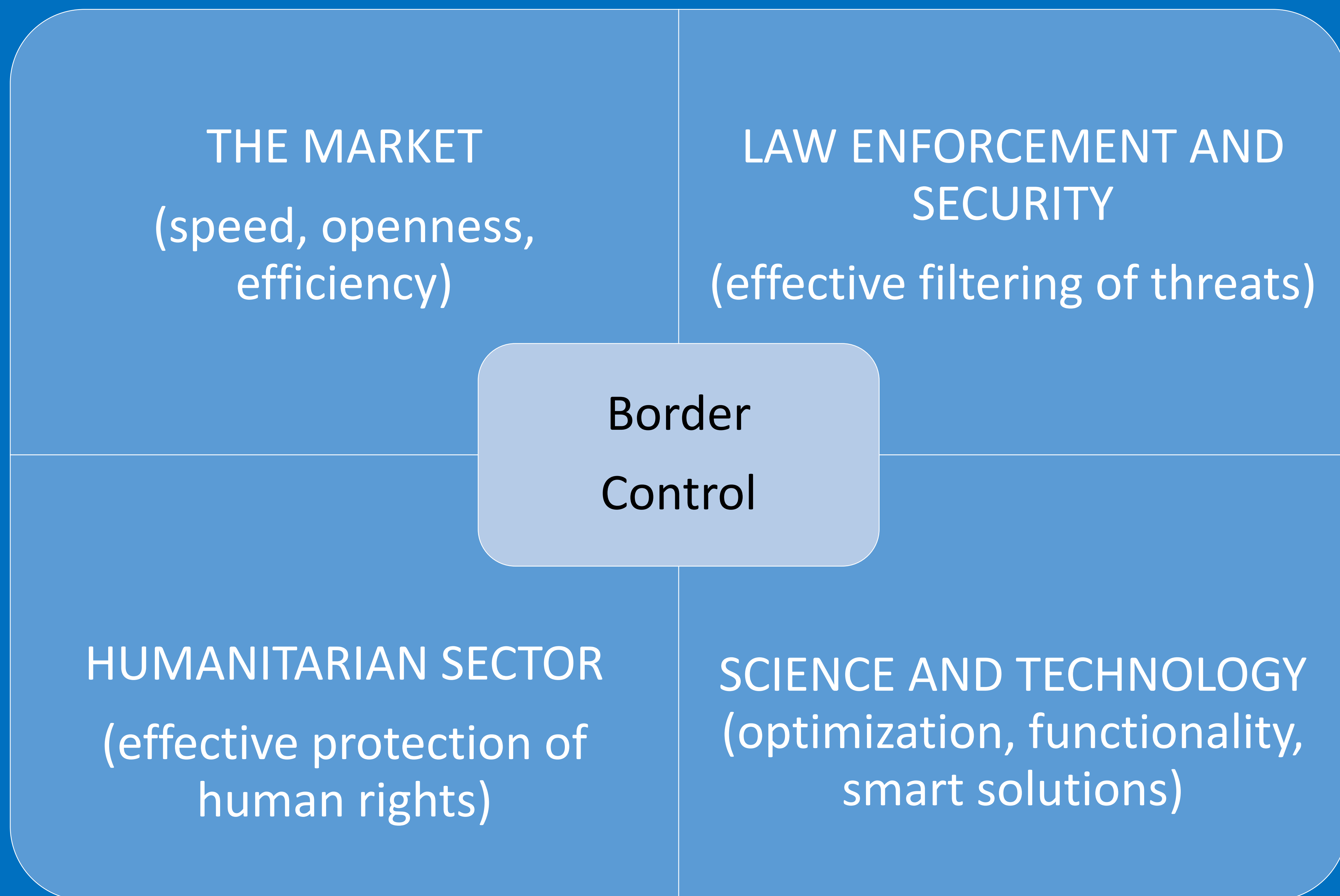


# Responsible Border Controls



**Responsible Research and Innovation (RRI) is an ethical framework aimed at aligning technical processes and products to societal values and interests. RRI calls for a holistic approach to the regulation of research and innovation activities by addressing multi-actor and multi-level interactions.**

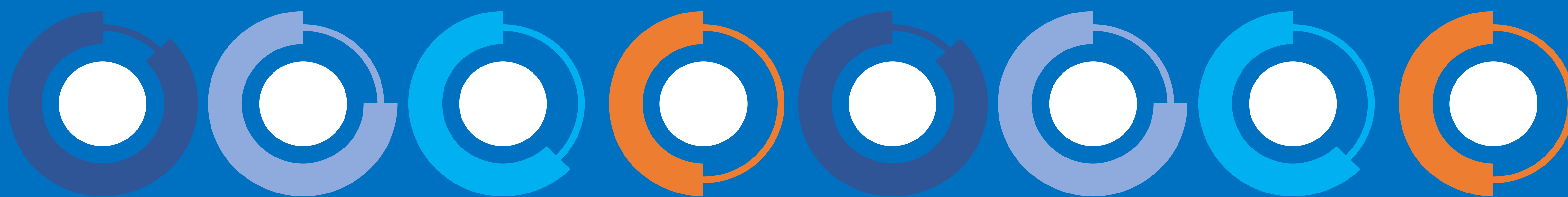
We believe that the aim of Responsible Research and Innovation is to promote a **contextual model of interconnection amongst social dimensions**, where all the actors implied in a process become aware of their roles and of the reciprocal needs in order that individual aspirations can be realised and implemented in institutionally structured ways. In terms of contents, meaning the value and norms that should be addressed in these dialogical efforts, most of them implicitly or explicitly refer to ethical acceptability and/or societal desirability. Border Controls are aimed at guaranteeing and improve individual freedoms of travellers. This objective is pursued through three main drivers operating in all border controls processes, security, speed and fairness. These recommendations are meant to suggest some concrete and feasible measures that could improve the overall efficacy of the process.





## ENGAGEMENT

If we want to have responsible practices in border controls, different actors need to actively engage. This can be understood as the necessity of providing different actors with sufficient knowledge regarding the different aspects at stake. For instance, information on how a technology works, what could be its contribution to the development of the process, what kind of rules are guiding the controls, are there some information that both border officers and travelers should be aware of, in order to improve the overall performance. Moreover, it should be increased the recognition of each other's role and the interconnection between travelers and border guards. The recognition of reciprocal tasks, objectives and difficulties can lead to a stronger help in facilitating existing procedures.



### RECOMMENDATION 1: Fostering Reciprocal Interaction

Policy-makers and border managers should favor systematic forms of engagement amongst the different stakeholders operating around the border framework. International exchanges between border guards, as well as workshops, where to learn technology development and report field dynamics are some important exemplifications.

It should be foreseen to increase the bottom-up aspect of communication between border guards and decision-makers, so to increase the quantity and quality of knowledge about their difficulties and challenges.

Border Guards should engage with the team and their managers, in order to help recognize upcoming challenges and obstacles. They should be more integrated in future developments given their concrete expertise. Border Guards should also try to communicate with travelers to raise awareness and reciprocal trust.

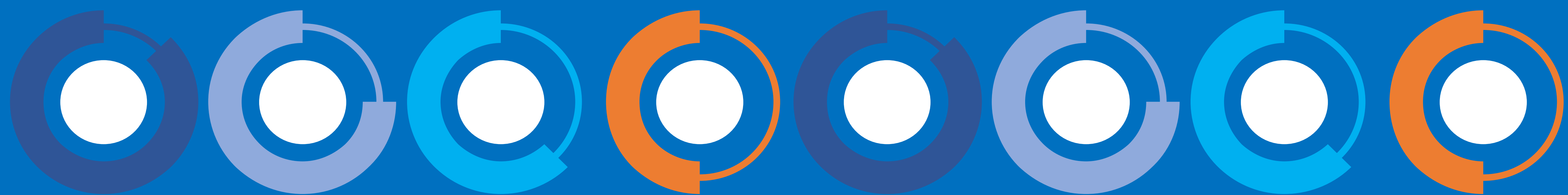
Passengers should be able to recognize the goodness of border controls and facilitate officers' tasks. They should also find channels to communicate with decision-makers in order to exchange experiences and provide feedbacks.



## GENDER

Border controls are rooted on the basic equality of travellers (as subjects of rights) and must be developed according to non-discriminatory lines. As well, border officers should be enabled to perform their tasks independently of any biological or cultural difference. Physical, psychological and ideological barriers should be detected and removed. Differences should be conceived as expressions of the equal freedom of any citizen and should not undermine a fair border control process. Women, but also citizens who identify themselves as part of the LGBTQ community should not be treated and/or conceived as differently from all other passengers according to criteria that do not fall under the drivers required for border controls like security, speed and fairness.

During the implementation of new technologies for border checks, it should be considered and analysed how differently the environmental factors and the organization of the process impacts border guards of different gender (e.g. is the equipment and gear more burdensome for female border guards and how does that impact their performance during a shift); how the border check procedures impact travellers of different gender, especially when they have certain vulnerabilities (e.g. necessity to have dedicated lines for disabled or subjects with temporary demanding health conditions like pregnancy); how cultural and gender issues are interconnected (e.g. the necessity to assure that religious beliefs affecting identity controls should be handled also according to traveller's needs and values. For instance, in some cultures it is considered inappropriate for a woman to stay alone in a room with another man as could be the case for second-line checks).



### RECOMMENDATION 2: Fostering Equal Chances

Policy-makers and borders managers should revise existing processes and products in order to improve their gender-oriented attitude and eliminate biases based on biological or cultural aspects, which are not respecting differences and providing equal opportunities. Barriers that are not necessary to ensure a secure process should be removed from border controls procedures, both logistically and psychologically.

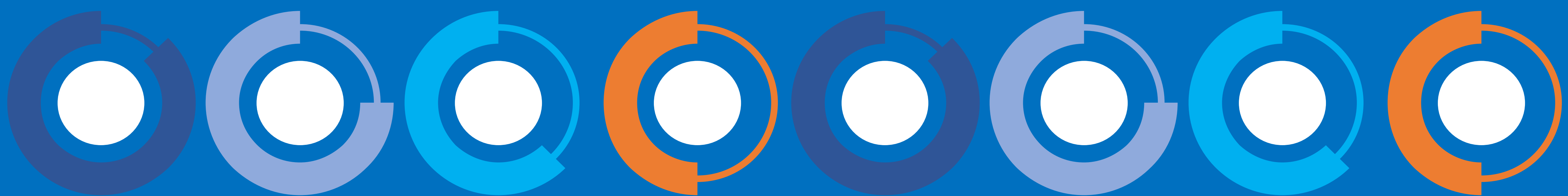
Border Guards should engage with differences in order to avoid implicit unbalances in terms of quotas and dialogue. They should reflect on potential biases affecting their tasks as well as travellers. This could be particularly important with regard to new technologies. They should "listen" to passengers and report to decision-makers in order to avoid discriminatory practices/attitudes in the overall process. This might be particularly relevant with regard to technological biases.

Passengers should help border guards by gently expressing their concerns or feeling of discomfort, in order to raise awareness on potentially biased processes or products.



## OPEN ACCESS

Knowledge and awareness are key aspects not only for the democratic legitimacy of a border control process, but also for its efficiency. Transparency is surely one of the main measures evoked by citizens. However, given the sensitive nature of security measures in place, the openness of information should be limited to the dimension of rights and address the functions of technological artifacts. These two aspects could increase the trust by citizens and increase the familiarity with technologies. Moreover, access to knowledge can support practitioners in developing more efficient strategies.



### RECOMMENDATION 3: Transparency of the Process

Policy-makers and borders managers should promote the access to data and to processes driving border controls as much as possible. They should promote the publicity of the rules governing border controls as well as their scope. Monitors and notices throughout borders can help this process.

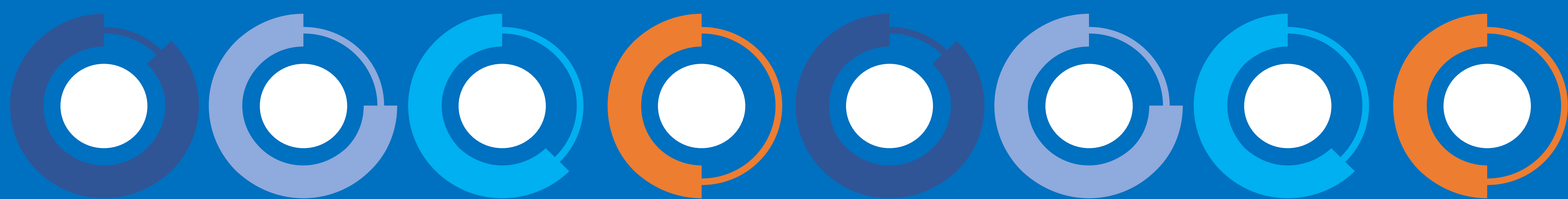
Border guards should be curious to access documents in order to feed their scientific, legal and moral knowledge. They should access the appropriate documentation useful for improving the process in terms of security, speed and fairness, and to learn good practices or challenges from different contexts.

Passengers should be introduced to the main documents concerning their duties and rights together with facilitating documents explaining how technological process works, in order to make them aware and increase acceptance of automated controls.



## SCIENCE EDUCATION

**Science Education** addresses one of the main aspects undermining the relation between science and society. In fact, skepticism concerning the good intentions of scientists, or disagreement on the proportionality of specific measures are often caused by the actual epistemic gap between scientists, practitioners and society. It is important to explore some ethically problematic moments and future challenges in view of the ongoing evolution of border control. In order for border guards or passengers to be able to understand the possibilities and challenges posed by new technologies or procedures, they need to be engaged in training sessions, workshops and alternative forms of communication. This operation is a co-learning experience that can easily lead to a higher degree of competences, to a more conscious approach to the possibilities and challenges of security processes, and to an improvement of the overall efficacy.



### RECOMMENDATION 4: Enacting a Learning Cycle

Policy-makers and Borders Managers should enable trainings for border guards on all the different aspects at stake, as well as enforce the exchange of knowledge amongst different practitioners. They should also increase passengers' knowledge about technologies.

Border Guards should engage in learning about new technologies together with the potential ethical issues connected to them. Exchanges with colleagues from other countries as well as participation to technology related events are highly recommended. Communication with passengers about the overall scope of the technology can help increasing trust in the process.

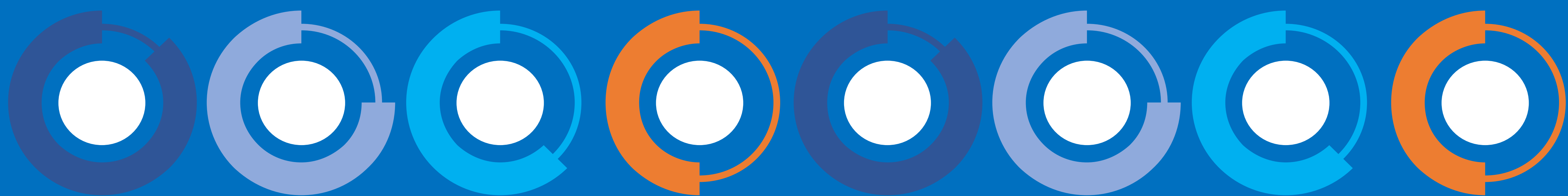
Passengers should learn about the scope and functioning of technologies and eventually report to the competent authorities on the basis of concrete experiences.



## ETHICS

This key is the most substantive one within the Responsible Research and Innovation framework, since it integrates methodological measures with norms and values pertaining to the European community. The aim is to respect fundamental rights, but also to go beyond the legal aspects and to make sure that the societal relevance and acceptability are going to be guaranteed. As the Commission suggests: *"ethics should not be perceived as a constraint to research and innovation, but rather as a way of ensuring high quality results"*.

Ethics concerns all aspects embedded in one society and drives interactions according to moral principles but also to contextual matters. It applies a balancing of different logics within society in order to guarantee the equal respect of pluralism of perspectives. Accordingly, also the usually despised economic logic is one of the main parts of ethics. The main role of ethics in border controls is the respect of all the different kinds of pluralism pertaining to border checks.



### RECOMMENDATION 5: Respecting Differences

Policy-makers and Borders Managers should increase the capacities for mutual respect between different cultures, interests and values. In this respect, language courses as well as cultural exchanges could be highly beneficial. Translation of basic requests, needed actions and procedures should be written down and be available to border guards for communication with passengers.

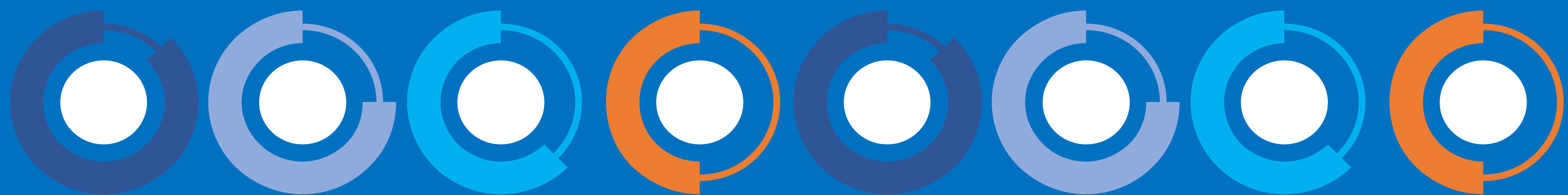
Border Guards should avoid diminishing the importance of a fair process in the name of security or for speed matters. This could lead to the disrespect of rules and procedures between first and second line. In this regard it is important to try to avoid the dismissal of one of the drivers, (security, speed, fairness) for unjustified or personal reasons. Border Guards should report any aspect undermining the respect of cultural differences in the implementation of new technologies during border checks.

Passengers should help the border guards in their tasks. Notices and videos across the border area could be highly beneficial for passengers to understand beforehand.



## GOVERNANCE

In border controls, governance should promote a fair and balanced interaction of all drivers, actors and values actively contributing or passively affected by border checks dynamics. An ethical governance is required to develop a responsible border governance. In a responsible border governance, the exclusive reliance on technical data or the blind development of a technology as the solution to border controls are not possible, since every technology is embedded in a society and shaped according to specific perspectives. Moreover responsible border governance entails a series of aspects, including: the right of privacy and data protection, communication tools, working conditions and balanced interaction among different actors in the border check process.



### RECOMMENDATION 6 Promotion of a Responsible Border Governance

Policy-makers and Borders Managers should:

- Ensure the availability of appropriate documents to passengers and guards, which are necessary for them to be aware of their rights and duties, as well as about the functioning of technologies.
- Develop forms of security that do not undermine rights of privacy and data protection, by giving special attention to how the data is collected and how the storage process is handled.
- Improve the standard working conditions in terms of
  - material conditions [environment (size of the boxes, air, light, good equipment)];
  - psychological ones (swapping tasks, enough pauses);
- Consider the employment technologies that promote the enactment of fundamental rights (e.g. simultaneous interpretation software);
- Engage non-governmental organizations in the border control process so they can contribute for its efficacy (information, counselling, assistance for appeals in cases of mistreatment, etc.)