

**ASSESSMENT OF BORDER MANAGEMENT POLICIES ON NATIONAL
SECURITY IN NAIROBI COUNTY, KENYA**


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**A Thesis Submitted in Partial Fulfillment of the Requirements for the Award of the
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DECLARATION

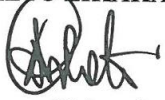
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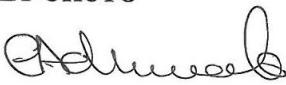
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DEDICATION

This work is dedicated to my family; my husband Robert Ndegwa Karimi and two beautiful daughters Leilana Wangechi and LeAndria Meghan for the immense support they accorded me when writing this thesis. Not forgetting my parents and siblings (William and Ronald). Your support and love were the driving force that gave me the encouragement to complete this thesis.

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God bless you all.

ABSTRACT

The border management policies advocate for the need of all stakeholders in the border management to be involved to increase the efficiency of border management. The study assessed the contributions of border management policies on national security in Kenya. Specifically, the study established the level of awareness of the existing border management policies in Kenya among the employees in the border management committee. The study also assessed the effectiveness of the utilization of border management policies in promoting national security. Moreover, the study examined the challenges hindering the effectiveness of border management policies on national security. The theories that underpinned the study include the international theory of international relations, and Statism theory. A survey research design was adopted in the study. The target population comprised of various stakeholders such as the border management committee in the Jomo Kenyatta and Wilson Airports. These included Kenya Ports Authority (30), Kenya Bureau of Standards (20), Immigration Department (60), National Police Service (140), Kenya Airports Authority (60), Kenya Revenue Authority -customs and border control department (30), Kenya Civil Aviation Authority (30) and National Youth Service (60). From these stakeholders, a sample of two hundred and seven (n=207) respondents was selected using Yamane's formula. Simple random sampling technique was used to arrive at the sample size. Questionnaire was key instrument of data collection. The study used qualitative data analysis to provide insights and understanding of the field while quantitative data analysis was used to generalize these insights. In summarizing the data into frequencies and percentages, Statistical Package for Social Sciences (SPSS version 21) was also used. Tables, figures and pie charts were used in presenting the data. Qualitative analysis was used to analysis the open-ended questions and presented within the quantitative data. The following key findings were made: there were clear border management policies established (60%). Most of the agencies involved in border management (85%) did not have up to date training on handling various security threats that may be experienced at the border points. Corruption cases also posed a challenge to the proper implementation of border management policies in the country (86.3%). Border management challenges posed a threat to national security to some extent. Border management policies had a positive significant relationship with national security. The study recommended that more awareness should be emphasized on the policies to create its awareness among the relevant stakeholders who are involved in implementing it. Policy reforms should be done to ensure that they fully promote the integration of information communication technology in border management practices. There is also a need for further studies to be carried out to examine factors affecting stakeholder coordination in the border management systems in Kenya and the role of ICT in border management and national security in Kenya.

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OPERATIONALIZATION OF TERMS

Border: refers to the lines that have been internationally recognized through agreements for the sustenance of sovereign powers.

Border Management: as used in the study, the term refers to the overall control mechanisms of migration management.

Border Management Policies: refer to the legal frameworks that have been put in place to control human migration.

Border Management Agencies: these refer to all the stakeholders who have been authorized to protect the borders of the country from national and international threats.

National Security: involves security and defense of the country from external and internal threats.

ABBREVIATION/ACRONYMS

AFFA	Agricultural Fish and Food Authority
OAU	Organization of African Unity
AU	African Union
COMESA	Common Market of Eastern and Southern Africa
DVS	Department of Veterinary
EAC	East African Community
ICAFRICA	International Charity for Africa
ICT	Information Communication Technology
IGAD	Intergovernmental Authority on Development
IOM	International Organization for Migration
KAA	Kenya Airports Authority
KCAA	Kenya Civil Aviation Authority
KEBS	Kenya Bureau of Standards
KENTRADE	Kenya Trade Network Agency
KPA	Kenya Ports Authority
KRA	Kenya Revenue Authority
NACOSTI	National Commission for Science, Technology and Innovation
NATO	North Atlantic Treaty Organization
NPS	National Police Service
NYS	National Youth Service
OSBP	One Stop Border Post
PPB	Forestry, Pharmacy and Poisons Board
RECs	Regional Economic Commissions
UN	United Nations

CHAPTER ONE

INTRODUCTION

1.1 Introduction

This study explored the contributions of border management policies on national security in Kenya. The chapter sections include background to the study, statement of the problem, the study purpose, research objectives, research questions, hypotheses, the significance of the study, scope and delimitation, limitations of the study, assumptions, theoretical framework, and conceptual framework.

1.2 Background to the study

Border management includes all legal and administrative efforts a sovereign state undertakes to secure, safeguard and enhance the sovereignty, security, safety, and integrity of its territory. It is, therefore, key to any national migration policy. In this regard, the Office of the President through a circular number 1/2008 designated the Department of Immigration as the leading agency at Immigration Control Border Posts (Kenya National Migration Policy, 2013).

The international community has witnessed the entrenchment and tightening of border controls triggered largely by cross border crimes and globalization of organized crime syndicates. In the last two decades, movements of people and goods have tremendously increased, calling for the adaptation of immigration and border management structures to better and more efficiently manage people flows and trade. A common challenge experienced by all states is the control of movement of people and goods while at the same time ensuring that the borders are secure and balanced in terms of open and controlled borders. The state and its borders remain an important factor in international relations (Moraczewska, 2010).

In terms of statistics, there are over 180 million people who live in countries that are not of their birth origin. This has increased from 80 million, three decades ago. Concerning national border migration, it is estimated that 8-10 million people migrate in a year. Migrants represent about 1 out of 35 peoples in the world and 3% of the world population. When brought together to form a state, migrants would form the fifth most populous country in the world (IOM, 2003). Additionally, in a report presented by Koslowki (2011), the arrival of tourists from an international perspective had increased from 69.3 million in 1960s to 687 million in 2000s. McLinden, Fanta, and Widdowson (2010) argue that border management concept involves the organization of different agencies and their integration into the border management concept.

According to Kolowski (2011), the advancements in technology and globalization have made the migration of people and goods to be easier and faster. It is due to economic challenges in countries, that migration is encouraged. Through the process, criminals and other high-risk individuals get to be involved. Crimes of terror are associated with a cross-border dimension. This makes the management of borders to be important in the maintenance of public security. However, developing policies for border management are considered to be a greater challenge.

The United States of America has invested heavily on technology for the sole purpose of monitoring and managing its borders. The key reason that has led to the country investing all its energy and resources to border management is the prevention of another terror attack. Australia however is considered to be a leading country in the border management practices. It is considered as a leader on the attainment of effective

border management. This has made it to be considered a role model by others countries in adopting measures to border management (Papademetriou & Collet, 2011).

The European Union member states are considered to be experiencing border management as a new concept due to its newness to immigration. The states have been slow to embracing new technologies for border management. This is because there are those countries that lack external borders. However, the EU has been able to contribute to the complexity and collaborative approaches to border management. It needs to be noted that external border for EU is made up of 42,672 kilometers of sea border and 8,826 km of land borders. This involves 18 of European Union's 22 Schengen's states, and 8 non-EU states (Kamphuis, 2011).

According to Collett (2011), the integrity of physical borders remains critical to effective border management. Whilst there is an increase in international travel, the systems of border management are expected to address the additional risks related to these movements. Such risks which include terrorist attacks, human smuggling, and illegal immigration have exposed weaknesses within the state's ability to manage borders effectively. Over the last decade, governments have made huge investments in implementing new border management frameworks. Currently, global border management is increasingly under threat from increased use of fraudulent travel documents, trans-national crimes, among them, smuggling and trafficking in persons, terrorism, drug trafficking, trafficking in small arms, money laundering and recently piracy. Illegitimate people can now acquire legal documents using illegal means. In addition, border porosity, increased refugee cross border movements and weak enforcement remain major border management operational challenges (Collett, 2011).

Within the African continent, borders are the key sources of conflict. Porous borders are common in the region, resulting in cross border crimes and instability. A high level of porosity among African countries makes them easily penetrable by smugglers of drugs, weapons and contrabands. Security is a paramount aspect at the border. It requires protective measures to combat any activity that can endanger lives and property, or put the integrity of a country into question (IQPC, 2020). West and central African countries have a high rate of intra-regional migration. This is attributed to the increased economic growth among the countries. However, with the increased regional security challenges experienced in the process, the governments are prompted to rethink their approach to immigration and border management to promote more effective and efficient migration governance, including border processes (IOM, 2003).

The Eastern Africa community is made up of two territories with the six state partners of East Africa being Kenya, Uganda, Tanzania, Rwanda, Burundi, and South Sudan. These countries share borders as well as have a common market that has contributed to increased inter-regional migration. Some of the issues experienced within the Eastern Africa communities due to sharing borders include trans-national communities, porous border, and common visa (Nyaoro, 2010). Within the Eastern Africa region, there are various cases of human trafficking, smuggling, terror attacks among other issues that may pose a threat to national security. Most of these activities are organized by individuals within the respective countries and those of other nationalities. The illegal activities include crossing land borders and the Mediterranean seas (Sahan Foundation & IGAD, 2016).

Kenya is one of the leading countries in East Africa. Moreover, it is also considered as a hub for smuggling and trafficking activities across borders. Illegal migration takes place within the country and people may be moved from the refugee camps, to the capital city and then to Mombasa where they can get other illegal assistance to cross borders through the sea. The immigrants may also move without their migration documents such as visas and passports and this poses a threat to the country (Gastrow, 2011; RMMS, 2017).

A major loophole in the border management process in the country is that border officials and police can easily be bribed and protection, information, documentation and power can be bought (Gastrow, 2011). Additionally, according to a report presented by Frouws and Horwood (2017), there are certain officials who are part of the smuggling and trafficking industry and this makes it challenging to national security in the country.

Transnational violations are executed by people crossing global fringes either via air, ashore or via ocean. Thus, a successful border the management strategy ought to reinforce the executives and upgrade the ability to identify and catch mala fide explorers and effectively encourage the free development of true blue voyagers. This is a key part of any effective outskirts arrangement (Collett, 2011). There was a need, along these lines to reinforce and institutionalize fringe tasks trying to decrease the potential for unlawful section and to counter trans-national violations. Therefore, this study sought to examine how border management policies affect national security in Kenya.

1.3 Statement of the Problem

Illegal movement of human beings across boundaries is considered to pose certain national security threats such as the smuggling of human beings and terrorism (Collet,

2011). As such, it is important to understand the contributions of border management policies in addressing these threats to national security. Indeed, issues of human trafficking, smuggling, terrorism, illegal migrants is evident in Kenya. These issues have posed a challenge to the national security. The terror attacks that have taken place in the country have been coordinated by illegal assailants from neighboring country of Somalia with the help of recruits from within the country (Ombati, 2018). These attacks could have been stopped with strict border control policies to avoid illegal assailants from entering the country. Besides the terror attacks, smuggling and human trafficking is also a major issue experienced within the Kenyan borders (Gastrow, 2011). Therefore, a question that surfaces is what are the loopholes in the border management control policies that are affecting national security?

Empirically, there is little that has been done with regard to border management control policies and national security (Gituanja, 2013). Therefore, there was a need for this study to be carried out to assess the border management control policies on national security in Kenya by examining some of the key border entry and exit points in the country and that is Jomo Kenyatta Airport and Wilson Airport.

1.4 Purpose of the Study

The purpose of the current study was to assess border management policies on national security in Nairobi County, Kenya. The study also sought to understand how the implementation of border management policies has been done to reduce security issues.

1.5 Research Objectives

1.5.1 General Objective

The general objective of this study was to assess the contributions of border management policies on national security in Kenya.

1.5.2 Specific Objectives

1. To establish the awareness of the existing border management policies among the employees in the border management committee in Nairobi County, Kenya.
2. To assess the utilization of border management policies in promoting national security.
3. To examine the challenges hindering border management policies on national security.

1.6 Research Questions

1. What is the level of awareness of the existing border management policies among the employees in the border management committee in Nairobi County, Kenya?
2. How effective are the existing border management policies in achieving national security?
3. What are the challenges hindering the effectiveness of border management policies on national security?

1.7 Hypotheses

Ha: There is no significant relationship between border management policies and national security.

1.8 Significance of the Study

Regoniel (2015) argues that the significance of the study points out the beneficiaries of the study and its contributions. In this study, the different agencies involved in border management will benefit. They will be informed of how their collaboration with other agencies in border management affects national security. Moreover, the agencies will also be informed of the contributions that informational technology has in enhancing national security.

The government policies and other stakeholders will be informed on the influence of regional integration in border management as well as national security. They will be informed of how regional interactions affect national security. As such, the policymakers will be enlightened of the loopholes in border management policies that need to be addressed to enhance national security.

The study will also contribute knowledge on border management and national security. It will provide literature on the available border management policies, the effectiveness of utilization of border management policies and the challenges in the implementation of border management policies on national security. The literature will be used by scholars and students of research who are interested in investigating the same area of border management and national security.

1.9 Scope of the Study

According to Creswell (2012), the term scope refers to the boundaries in which a study is limited. The boundaries include the purpose of the study, its objectives and methodology adopted. This study focused on border management policies and national security in Kenya. The key variables of examination included establishing the existing border management policies in Kenya, the effectiveness of utilization of border management policies and the challenges in the implementation of border management policies. In terms of geographical coverage, this study was delimited to Nairobi County. The area of the examination was Jomo Kenyatta International Airport and Wilson Airport. The target population included the Kenya Police officials, department of criminal investigation officials, army officials as well as other agencies involved in border management and national security at the airport.

1.10 Limitation of the Study

As defined by Creswell (2012), limitations are the potential weaknesses that may be encountered in the study process. In the study, a major limitation that was experienced was the bureaucracy of obtaining permission to collect data from the respondents. This slowed down the data collection process. However, to overcome this challenge, the researcher made prior arrangements with the officials in charge to make it easier for data collection during the actual day of collection. Moreover, the researcher ensured that all the official documents required for data collection were obtained.

1.11 Assumptions

Assumptions refer to the elements in a project that if not available may make the project to be invalid (Simon, 2011). This study assumed that the target respondents will be able to give accurate and reliable information on the contributions of border management on national security. Moreover, the study assumed that there is adequate literature on border management and national security. The study relied on the assumption that national security relies heavily on the measures put in place in protecting and controlling the borders of the country. Moreover, the study assumed that there are certain loopholes in the border management policies that may have an effect on national security and need to be examined.

1.12 Theoretical Framework

Lederman and Lederman (2015) argued that a theoretical framework is a concept made of a theory(s) that try to explain the relationship between different phenomena. The main theory that guided this study is the realism theory in International Relations and Statism theory.

1.12.1 Realism Theory in International Relations

The proponents of realism begin from the premise that in the international stage, states are the key actors. State leaders are actors who conduct themselves rationally and their primary interest is maximizing security and or power (Viotti & Kauppi, 2012). The state is the key primary actor and the unit of analysis because it is the only entity with a claim of sovereignty, power monopoly that is legitimate, individuals and a territory. The state has the power of legitimate force to secure its territory against other states and international actors. They play an important role in international systems. As such, the behavior of other actors is largely dependent on the decisions and power of the state (Gilpin & Waltz, 1979).

This theory is based on the view that national security can be seen through different lenses in the international system. The balance of power is important for each state and these states continually worry about their survival as a result. The international system that is full of power politics drives the states to behave the way they do concerning the balance of power. This has gone on for many years. This study is based on a realist approach to International System.

Realism is characterized by self-interest and anarchy. States live with each other in a context of international anarchy; this means there is no central authority to police states. On its own, each country has to survive. As a result, countries by definition are self-help agents. National security is important in the mind of a realist. Every other military or political concern is how the politics of the world is controlled.

Realists believe that the international system is chaotic and guided by self-interest defined by way of power. This theory maintains that moral principles cannot be applied

when states act. Realism gained popularity in the cold war era between Russian and the US. Relationships between states and their security were viewed through the lenses of deterrence and balance of power. Fast forward to the post-cold war era, the selfish nature of realism in a globalizing world is not what states believe. Collective security has taken precedence and Alliances like NATO show that states have preferred collective security systems (Baylis, Smith & Owens, 2011).

The culmination of the cold war opened up the process of globalization making states more interdependent and expanding its democracies. As Moravcsik (2011) puts it, “states are and always have been in a transnational and domestic society that creates incentives for social, economic and cultural interaction across borders. However, state survival and defending its national interest takes precedence.

This theory was considered to be of relevance to the current study. Through the theory, the researcher was able to understand how the border management policies are designed and/or implemented for the achievement of national security in the country. The researcher assessed border management policies and national security in Kenya.

1.12.1 Statism Theory

The main proponent of Statism theory is John Locke who had a lot of influence in the modern thinking through the 16th century. Statism theory fills the gap of realism theory which focuses on states survival by taking into consideration that underdevelopment of African states emerged due to bad administrative technique applied by the ruling elites, corruption, problem of good policy implementations, patron-client permutation and other variables that undermine the presence of security for life and

property (Naomi et.al, 1999). Evils like embezzlement, misappropriations, and mediocrity are factors that have pushed states to their knees.

Dye (2005) argues that public policy is key to the operation of government institutions since a policy does not become a public policy until it has passed through the policymaking process. Policies are made by institutions for use and enforcement by some other government institutions. De Coning and Cloete (2006) support the statist theory by stating that public institutions are the ones that mandated with the responsibility of formulating policies.

The theory is criticized for focusing on the government needs rather than the needs of the society. According to an observation made by Boaz (2010), the rights of the people have been in existence way before the government. Hence, their needs need to be met by the government through the policies that they formulate.

The theory was applicable in the study in the sense that it helped to understand how the formulation and implementation of management policies within the country affect national security. The theory also contributed to the current study in understanding the legitimacy of policies, legal obligations and whether the citizens have a role in the protection of the borders for national security.

1.13 Conceptual Framework

McGaghie, Bordage, and Shea (2001) defined a conceptual framework as a pictorial display of the existing relationship between the dependent and independent variables. This study conceptualized that national security is dependent on border management. The independent variables included the border management policies,

utilization of border management policies and challenges in implementing border management policies. Figure 1.1 shows how the variables relate.

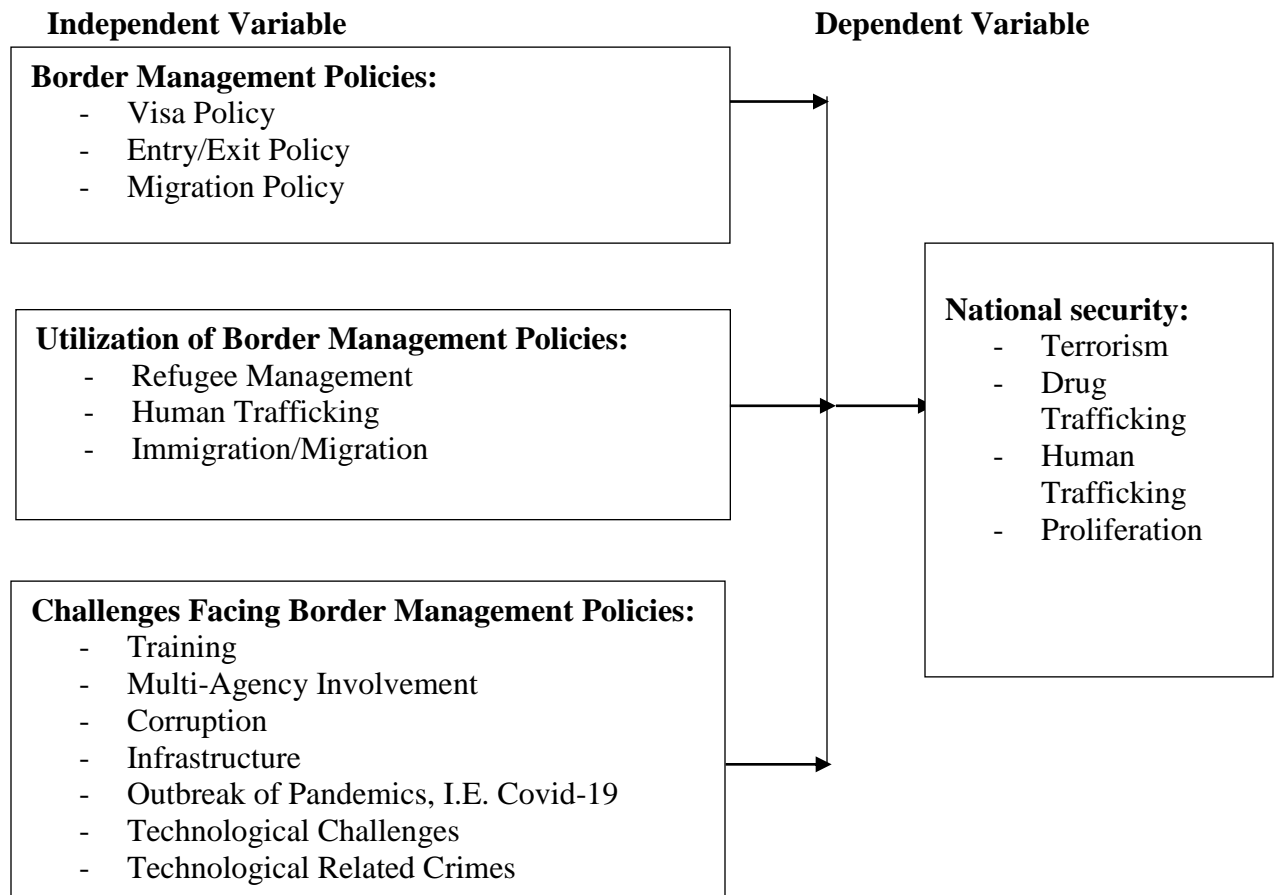


Figure 1.1: Conceptual Framework

Source: (Researcher, 2020).

As conceptualized in the figure above, it is evident that national security heavily depends on border management factors. In terms of the policies, the entry/exit and migration policies determine the people who are allowed to move in and out of the country for different purposes. They put restrictions and regulations that monitor the movement. Hence, they are better placed in screening those who may pose a threat to

national security through terrorism, drug trafficking, human trafficking and weapons proliferation among others.

In addition to the policies, the utilization of the policies is also conceptualized as critical to national security. Without proper systems put in place such as the refugee management systems, human trafficking management systems, and immigration/migration systems there may be a challenge in addressing the threats to national security and vice versa. Other issues in the border management policies such as training, multi-agency involvement, corruption, and infrastructure may also influence the overall effectiveness of border management policies in addressing national security threats.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter covers the literature review on border policies and national security. The resources are obtained from online articles, research publications, books, and journals. The chapter is organized according to the following sections; border management policies in Kenya, utilization of border management policies on national security, and the challenges in the implementation of border management policies.

2.2. Literature Review Based on Objectives

2.2.1 Border Management Policies in Kenya

Kenya hosts a large number of foreigners and is a major tourist destination. The number of Kenyans traveling out of the country is also on the increase. Consequently, there is an urgent need to develop a policy to manage these groups of migrants. However, a shortfall management in the migration system has potential destabilizing effects on national and regional security such as an increase in transnational crimes, xenophobia, and discrimination. Any migration/immigration policy will be influenced by the environment inside and outside the country and the two are very much interrelated. According to Kenya National Migration Policy (2013), this policy is not different and it can establish the goals of migration as well as the objectives that may be followed by the country in addressing the limitations.

The evolution of the Kenya border policy can be traced to the colonization of Kenya from 1900. During the scramble for Africa, Kenya as known today was carved and became a British colony under the crown. Kenya's border and therefore the border policy were drawn at the time. More critical was the intentional border survey in 1932

which formally developed the Kenyan borders as they are today. The resultant map of Kenya was subsequently deposited with the UN thus; the borders became instruments of international law (United Nations, 2000). Several surveys conducted on the Kenyan borders together with various agreements between Kenya and its neighbors form an important part of the Kenya border policy. Such agreements rotated around the exactness of Kenyan borders, seasoning of Kenyan borders, the surrender of parts of the territory to Kenya like the case of Kenya and Uganda over parts of the western region, surrender of the coastal parts, among others.

The colonial ordinance of 1945 on immigration into Kenya and alien control though seeking to structure immigration into Kenya also form an important part to Kenya's border policy. According to Opon (2003), the alien's registration ordinance of 1952, seeking to regulate the stay of aliens in Kenya is also important. These two colonial ordinances were later to be repealed by the Immigration Act Cap 172, the Alien's Registration Act Cap 170, the Civil Registration Act Cap 173, and later the Kenya Refugees Act 2006. These legislations in their legal form are an integral part of the Kenya border policy since they provide a clear guideline on not only matters of immigration but also on matters of admission and exclusion of aliens, control of Kenyan citizens' movement and such related matters. All the above Acts have now been repealed by the Kenya citizenship and Immigration Act 2011, the Kenya Citizenships and Immigration Service Act 2011 and the Constitution of Kenya 2010 especially chapter three, also, several executive decrees, administrative directives and visa regulations from part of the Kenyan border policy (Kenya Citizenship and Immigration Act, 2011).

The development of the Kenya National Migration Policy is informed and in tandem with the July 2001 AU/OAU Lusaka Council of Ministers' Decision that laid the foundation for the development of the African Migration Policy Framework by African States. The Framework was adopted by Heads of States and Governments in Banjul, Gambia in July 2006. It revolves around nine thematic areas including border management, labour migration, irregular migration, and forced displacements, the human rights of migrants, migration data, and interstate cooperation among others. Subsequent resolutions by Regional Economic Commissions (RECs) among them, IGAD and COMESA also support the development of national migration policies. However, these provide only guidelines and principles. In the study conducted by Mocerquadale (2000), it was concluded that States are free to choose and pursue areas of interest based on available resources and capacity to implement.

The Kenya border policy is a mix of policies aimed at enhancing national security and promoting good neighborliness for the achievement of her development objectives. Sovereignty of any state is a product of its security including security of external attacks, which is guaranteed through security of a country's national border, and its development defined as the ability of a country to meet its obligations without external assistance. As such, every country has its own border policy, which is spread in several areas. A country's border policy is a product of the international relations and diplomatic activities of the respective state. In this regard, Gituanja (2013) argues that where a country borders a hostile state, its border policy will be shaped to respond to this hostility thus resulting into restrictive immigration policies. Gituanja (2013) further observes that strictness within the borders has increased especially with the recent cases of terrorism, which were

experienced in the country. Moreover, the policies are designed in a way to control the movements of refugees especially within the Kenyan-Somalia border. This has been due to the penetration of Muslim rebels such as the Al Shaabab into the country disguising as refugees and therefore recruiting the local citizens into their criminal activities.

The kind of engagements between and among states also helps shape a country's border policy, where states major concern is economical their border policies will be shaped to allow economic engagements to thrive such as trade. Countries will, therefore, come up with policies that reduce trade barriers. It can be argued, therefore, that the Kenya border policy is informed by the dictates and the needs of Kenya, such needs as maintained of diplomatic relations, economic benefits, military power and defense, security of the state and protection of its citizens from external influences together with the need to expand its influence through regional integration all coalesce to shape the direction form and shape of Kenya's border policy. The formulation of Kenya's border policy and its implementation is the efforts of several state agencies all under the leadership of the executive. These institutions that help in border policy making are the Ministry of Immigration, Foreign Affairs, Ministry of Internal Affairs, Ministry of Regional Cooperation and Office of the President.

Visa is also taken into consideration as one way of border management policies. A visa is a security screening clearance mechanism for persons intending to travel to a foreign country. States conclude bilateral or multilateral agreements to waive visa requirements for their national traveling to the territory of a party state. The EAC partner States are a typical example. International best practices in Visa administration include

centralization of visa issuance processes. Consequently, the Kenya Borders Manual (2010) states that many States are pushing borders away from natural borders.

Kenya is a major tourist destination country. A large number of tourists visiting the country yearly, slightly over one million, bear testimony to this. The economic importance of this industry cannot be gained suffice to say that it has overtaken tea and coffee as the largest foreign exchange earner and offers many employment opportunities particularly to the large armies of unemployed youth. Tourists comprise the largest single category of persons visiting Kenya. Consequently, Kenya Borders Manual (2010) demonstrate that any visa policy should be guided by considerations on national security, economic benefits, the ease at which tourist and other visitors may obtain visas and visa issuance locations. However, this window should not compromise national security and all visa application must be thoroughly screened (Kenya Borders Manual, 2010). Currently, visas may be obtained at all Kenya Missions abroad for nationals of most countries and at all ports of entry into Kenya. Visa applicants at ports of entry are required to appear in person and produce passports or other acceptable travel document with a validity of not less than six months. Online visa application facilities are available at a few Kenyan missions abroad (Kenya Borders Manual, 2010).

Effective border management depends on achieving delicate balance between facilitation and control while managing the risks posed by irregular migration. The border policy implementation requires facilitation of entry into Kenya of travelers who meet the requirements, to identify and manage the risks that may arise from the travelers who do not meet the entry requirements, to enforce the entry and exit legislation and related regulations as well as promote inter-agency and cross border cooperation and

coordination in border management (Kenya Immigration Border Manual and Procedures, 2010).

A comprehensive and integrated border management policy is critical to effective border management mechanism. This is in recognition of the fact that one of the core responsibilities of governments is to provide security for citizens and residents, which may be easily eroded by ineffective and inefficient border management policies and systems. In this regard, approaches to border management have been and will continue to be influenced by security concerns (Kenya Immigration Border Manual and Procedures, 2010).

All personnel engaged at any level in border management should receive appropriate and relevant training including border security, information and computer technology. The development of smarter borders that can distinguish between the legitimate and illegitimate travelers is pertinent. Strengthening the border policy is intended to deter the incidence of illegal immigrants and the entry of international criminals into Kenya. In the study conducted by Jana (2017), border management stakeholders are identified as customs, immigration, police, armed forces and the ministry of agriculture for quarantine purposes who in most cases operate independently and without networking or exchanging information. He concludes that border management is an expression of a state's sovereignty. A state's failure to manage its borders can undermine its domestic and international legitimacies. The legal status of a state/government depends on how it manages its borders.

In an observation made by McLinden and Widdowson (2010), it is a requirement for people, vehicles and goods to abide by the laws that have been established both for the

exit and entry country. This means that border management policies have been established for the purpose of directing and providing guidance on the movement of items and human across different countries. They also noted that borders may not only be limited to geographical separation but it may be drawn within ethnic lines or regions of economic influence.

2.2.2 Utilization of Border Management Policies

The border management policies may be utilized widely. In the study conducted by Adamson (2006), it was argued that the capacity of states to keep up authority over their outskirts and to figure a lucid national identity is ostensibly fundamental preconditions for the upkeep of state security in different territories. As conceptualized in this study the utilization of border management policies may address the immigration and migration activities, human smuggling and refugee management among other activities for national security purposes. It is striking that not all states are similarly ready to deal with the difficulties presented by migration, notwithstanding, and those with elevated levels of institutional limit are in a vastly improved situation to adjust to this new condition than are feeble or failing states. The areas in which relocation affects state limit and independence are fringe control and national identity.

Migration is the fastest growing global human activity of the 21st century. It presents opportunities as well as challenges to states and individual migrants. Migration today is driven by a multitude of factors, among them, forces of globalization, changing demographics, education, family unification, poverty, unemployment, poor governance, climatic change, political instability, community marginalization, wage differentials, among others. Migration may be voluntary or forced, documented or undocumented.

Migration in one way or another (Kenya National Migration Policy, 2013), affects all states.

Universal relocation has moved to the highest point of the worldwide security motivation. Progressively, policy creators in the United States, Europe, and around the globe are making links between relocation strategy and national security. Quite a bit of this conversation, according to Adamson (2006) has concentrated on relocation streams as a course for global terrorism. For instance, the author argues that the capacity of nineteen ruffians from abroad to enter, live, and train in the United States in anticipation of doing assaults on the World Trade Center and the Pentagon could not however raise concerns in regards to the connection between the cross-outskirt versatility of individuals and worldwide psychological oppression (Adamson, 2006). Indeed, even before the September 11 assaults, nevertheless, enthusiasm for the connection between globalization, movement, and security had risen both in the world policy and in certain territories of the security study field. In the 1990s, migration was high on the European security motivation (Adamson, 2006).

Alongside the strategic vision of a borderless Europe, Gogou (2006) argues that a range of international agreements (bilateral, trilateral, and multilateral) were signed between various European countries within what was then the EC for the exchange of information between their respective police and intelligence agencies on trans-border threats, thus acting to tighten cooperation and coordination across national borders. In addition, Belgium, the Netherlands, and Luxembourg, who had earlier created the Benelux Economic Union, had led the way in abolishing border controls between them in 1970 as part of this trilateral customs union. The success of the Benelux arrangement

helped spur a broader multilateral agreement to abolish border controls between the Benelux countries and France and Germany. This multilateral agreement was signed in 1985 in the town of Schengen in Luxembourg and, upon implementation in its present form in 1995, brought about what is commonly referred to as the Schengen System, a framework that includes open internal borders between member states of the system.

By the mid-1990s, since the *Single European Act* called for open borders and since, in practice, open borders were being implemented via the multilateral (that is, between respective national governments) Schengen framework, it became necessary to create an affiliation between Schengen and the European Union's legal and institutional framework, something that was accomplished via the *Treaty of Amsterdam* of May 1999. This, however, still left out a few loose ends given that some Schengen countries were not part of the EU (Norway, Switzerland, Iceland, and Lichtenstein) and some EU countries were not part of most or all aspects of Schengen. In a nutshell, the various agreements that have been signed over time and that collectively make up the current Schengen system not only removed border controls between Schengen Area countries, but also created common border controls, procedures, and information-sharing at 'external borders', that is, non-Schengen land borders, maritime borders, and all ports of entry from non-Schengen Area countries (air, sea, and land). The Schengen system does not, however, eliminate border controls completely between its members as the agreements include provisions for temporarily reinstating national border controls in the event of crises or during major national events (sporting events, commemorations, etc.) (Morag, 2020).

Within the sphere of immigration issues, the Schengen Area countries also agreed to create a common short-term visa for visitors coming from outside of the Area. Aside from these short-term visitors, immigration law and policy regarding non-EU and Schengen country citizens has remained firmly within the purview of the individual member states, though they have agreed to common standards regarding the reception and processing of asylum-seekers. As far as the combatting of smuggling, human trafficking, and cross border-related terrorism, the EU and Schengen frameworks provide for common databases (the Schengen Information System, version II, and the Visa Information System) to track all people entering and leaving the Schengen Area and to deny entry to individuals at one country's external border who have previously been denied entry at another country's external border (or to apprehend those for whom a European Arrest Warrant has been issued) (European Commission, 2019).

Finally, in terms of coordination and cooperation, EU countries with external land and/or maritime borders can call on border security aid from other EU countries within the framework of the European Border and Coast Guard Agency, previously the European Agency for the Management of Operational Cooperation at the External Borders of the Member States of the European Union (known as Frontex and established in 2004). The new European Border and Coast Guard Agency (still known as Frontex) helps design common training standards and carries out assessments and risk analyses. The agency also has the capacity to provide member governments with Raid Border Intervention Teams (RABITs) – teams of border guards from other EU countries to deploy at an external Schengen border in order to assist a member state facing challenges to securing its border. Moreover, the EU's 1990 *Dublin Convention* and 2003 *Dublin II*

Regulation, allow for cross-border surveillance, cross border hot pursuit, and faster extradition between member states (European Union, 2009).

Within the African continent, the African Union (AU) has been implementing a set of regulations at the continental level since the late 1990s which aim to guide African frontier management. The need to harmonize and amend those treaties was at the same time understood to ensure that the special border protection provisions had been enforced. In 2007, the AU took the first steps to establish a regional policy to strengthen border security in Africa. In May 2012, the draft Strategy Paper was completed and completed (Lampsey, 2013).

In a study conducted by Okumu and Ikelegbe (2010), there is a scarcity of office space, border monitoring and control personnel facilities and unsatisfactory means of communication that have also seriously challenged their capacity to efficiently conduct their work. Therefore, there is insufficient ability and poor job comprehension. The insufficient knowledge of national constituent laws and local agreements pertaining to the efficient conduct of their work is exacerbating these problems. For instance, staff posted to the frontier areas in Mali and Niger have complained of lack of adequate training and logistics to carry out their work effectively. Some in Mali have complained about poor terms of work and lack of support for logistics in the Tessalit 9 region. These two countries occupy substantial regions and thus make patrolling very difficult, which calls for their workers to be continually educated and to improve working conditions (Goita, 2011)

Kenya has a long porous border and coastline that is susceptible to irregular entries of migrants. Along these borders and the coastline are few immigration

checkpoints, which are widely spaced with poor infrastructure, inadequate equipment and technology. The policy, therefore, advocates for enhanced border surveillance by establishing a specialized border patrol unit, the opening of new border posts, improved capacity of existing posts and enhanced use of ICT at all ports of entry (Kenya National Migration Policy, 2013).

The growing importance of migration in national economies and security can no longer be overlooked. The issue is of interest and concern to all states. The dynamism and number of international migrants in the Kenyan context is increasing rapidly and this trend is likely to persist into the near future. The root causes of migration are complex and influenced by many forces among them the push and pull factors. International migration affects all countries in one way or another, either as countries of origin, transit or destination. Kenya is no exception to this global phenomenon; hence the need to develop a migration policy that maximizes the opportunities created by migration and at the same time addresses the challenges (Kenya National Migration Policy, 2013).

Besides addressing the issues of migration and immigration, border management policies may also be utilized in addressing the human smuggling issues. As an international phenomenon, by definition, human smuggling knows no boundaries. The criminal gangs involved in this practice are highly organized into international networks, which create the actual platform for illegal immigration. The vast majority of illegal immigrants use the services of international people-smuggling networks to get from their country of origin to their destination. This also applies to those seeking asylum in various countries. Human smugglers help would-be immigrants to cross borders illegally by accompanying them themselves or providing other logistical support. According to

Mocorquadale et al. (2000), this applies to the external borders at airports as much as to internal borders, which may be crossed at unmanned points, in the countryside or at official checkpoints, in which case the people being smuggled are hidden in vehicles.

Mocorquadale et al. (2000) further argue that the human smugglers provide would-be immigrants with forged or falsified travel documents or real papers that either belong to someone else with a similar appearance or have been fraudulently obtained through corruption or deceit. Arrangements may also be made to specifically smuggle in people who can serve as a basis for further immigration through marriage or family reunification. People smugglers can make arrangements for people who have entered a country legally but subsequently overstayed their visa. Human smuggling overlaps with human trafficking in certain cases where criminal gangs or networks smuggle immigrants into a country for a very high price, often under inhumane or dangerous conditions. If the person being smuggled cannot pay the high fee demanded, they are forced to pay off their debt by working in the smuggler's service for years, often in criminal activities (Mocorquadale et al., 2000).

In another study, Kamba (2019) examined the strategies of patrolling and surveillance as used by the border management to curb insecurity, at Liboi border post of Kenya. The study analyzed the period between 2007 and 2015. The purpose of the study was to establish how the border management to curb insecurity along the border has applied the strategies of surveillance and patrols. The study had the following research questions: to establish how surveillance has been used to curb insecurity along the border, how patrols are conducted in order to curb insecurity along border. To find out if there is any cooperation among the security agents, when conducting these patrols and

surveillance along the border. The study further used cross-sectional research design because the respondents had differences in many aspects but lived in the same environment. Deterrent theory was used in this study because it helps in formulating ways of stopping people from crime and offending. Though Bureaucratic theory of Max Weber was used in the study, it was only a guide on how to establish a successful border authority. The target population includes all security personnel working at the Liboi border post and the police working under the officer commanding police division at Dadaab refugee camp. Questionnaires and focused interview guides were used to collect data. Quantitative data was analyzed using SPSS version 20 software whereas qualitative data was analyzed by organizing the data into categories of similar responses for ease of making inferences. The study found that surveillance was practiced at the Liboi border post but it is hampered by the terrain and serviceability of the equipment. Patrols were found to be used at the border but the frequency was not adequate. The study found that there were obsolete stores held by the security agencies at Liboi.

2.2.3 The Challenges in the Implementation of Border Management Policies

There are numerous challenges experienced in the implementation of border management policies. Azure (2010) found that in West and Central Africa, integrated border management is being implemented but this remains largely at the domestic levels where there is cooperation among border security agencies such as customs, immigration officers and Border Police. In Ghana for instance, the Ghana Immigration service and the Customs division of the Ghana Revenue Authority have been integrated making it possible for the two agencies to share vital data on cross border movement of goods and services (GIS, 2016).

According to World Bank (2005), there are 35 international borders with a high degree of porosity in West Africa alone. It makes them extremely vulnerable to risks, such as human trafficking, drug trafficking, small arms and light weapons and recent terrorist attacks (World Bank, 2005). Similarly, Flynn (2002) argues that border security challenges are nevertheless not always rooted in national security and economic policies and borders organizations are usually poorly equipped, ill-trained and poorly resourced. There are certain boundary points in the sub-region which do not always have sufficient infrastructures such as detection equipment and scanners, in particular the farther from the capital. In the different countries of the region, customs administrations do not typically have national bases of criminals, their networks, forms and amounts of illegal goods seizures (Goita, 2011).

Lamptey (2013) iterated that the insecurity issue is compounded by understaffed agencies and unmotivated staff who do not effectively collaborate and coordinate their activities nationally and regionally. Similarly, Okumu and Ikelegbe (2010) posit that the instability of the Arab Spring and the growth and increase in transnational organized crime groups and their transnational activities have therefore severely tested the response mechanisms that have been established to protect the borders.

A study conducted by Opon, Okoth and Onkware (2015) evaluated the challenges that faced by immigration border control and the opportunities that affected the measures of counter-terrorism in Kenya. The findings of the study showed that staffing levels, serving under unequal scheme of service and terms of employment, and deployment of officials on personal integrity and competence were the key human resource issues that affected immigration border control.

Additionally, Gituanja (2013) also carried out a study to analyze challenges facing effective implementation of border management policies in Kenya. In particular, the study sought to examine the impact of emerging global trends on border management and implementation of border policies in Kenya. A survey research method was used to collect information during a highly structured interview. The study relied on questionnaires for the primary data and was issued to immigration officers and administrative officers within the Department of Immigration and data analyzed qualitatively. From the findings, challenges exist in the effective implementation of border policies and procedures. Emerging trends in the globe were seen as major determinants and challenges to effective border management. Largely, integration as a trend has had impact on border management as well as migration.

Using a primary and secondary research data, Ndunda (2013) established that the difficulties facing one stop border post strategy slowed down its implementation process. The style of leadership and employee performance may speak to a test to the utilization of any framework or course of action in affiliations. Authority is the limit of an individual to affect, energize and engage others contributes towards the suitability and achievement of the relationship of which they are members. Leadership is required for convincing use of policies, as this will ensure that the organization effort is combined and facilitated towards accomplishment of its targets (Pearce and Robinson, 2010). Laborer performance on the other hand will impact the gainfulness and viability of exercises. Convincing and repaying extraordinary performance by individuals and definitive units are key ingredients in the implementation of strategies (Pearce and Robinson, 2010). Therefore,

this study examined whether the leadership and employee performance aspect affects the implementation of the border management policies.

Inadequate involvement of the leaders, staff and other relevant stakeholders poses a challenge to effective implementation of policies. According to the study conducted by David (2003), the leaders and staff should be involved in the implementation decision and communication between all parties, which is important for successful implementation. David (2005) argues that the roles people play, how they interact through the formal and informal processes and the interrelationships that they build are critical to the success of implementation. Moreover, Hrebiniak (2005) indicated that poor knowledge and sharing of information coupled with unclear responsibility and accountability among stakeholders can lead to failure of strategy or policy implementation.

According to the study conducted by World Bank (2016), in Africa 25% of fringe delays are brought about by infrastructure while 75% are brought about by poor trade. These postponements and organization make African transport expenses to be overall, multiple times costlier than those of South America and multiple times costlier than Asian ones. These have an adverse effect on the intensity of African products on the worldwide markets, (International Charity for Africa (ICAFRICA), 2010).

A descriptive survey research design was carried out by Cheruiyot and Rotich (2018) to assess the factors that affected the implementation of one stop border post strategy. From the analysis, the study was able to establish that all the variables (technology, stakeholders' cooperation and capacity of the personnel) significantly influenced the implementation of OSBP strategy. This means that implementation of

OSBP policy may be a challenge if the stakeholders' cooperation and capacity of the personnel is not good. Hence, the current study tried to establish whether these variables also have an influence on the implementation of the overall border management policies in Kenya.

2.3 Summary of Review of Literature

From the review of literature, it is evident that national security influenced by various aspects in the border control and management. Porous borders, lack of clear guidelines and/or structures in the border management pose a challenge to the national security of the country. The utilization of border management policies is still affected by the above mentioned challenges. Lack of clear policy structures on the border management have had a significant influence on the national security and especially in addressing the increasing issue of refugees, human trafficking, and terror attacks within the country and the borders. Therefore, the reviewed literature has contributed significant secondary information to understanding the issues of border management and national security.

In terms of the empirical gap, there is little research that has been done on border management policies and national security. For instance, the studies done by Cheruiyot and Rotich (2018) and Ndunda (2013) focused on the implementation of the one-stop border post and failed to examine how these would have an influence on the national security. The study by Gituanja (2013) was limited in that it only focused on the implementation of border management policies and it did not dwell much on national security. Further, Opon, Okoth and Onkware (2015) evaluated the immigration border control human resource challenges and opportunities affecting counter-terrorism

strategies in Kenya. To fill these gaps, there was need for this study to be carried out to assess border management and national security in Nairobi County, Kenya.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter covered the research design and methodology of this study on the assessment of border management policies on national security in Kenya. It included the research design, target population, determination of study sample, description collection measures, data analysis procedure and ethical consideration.

3.2 Research Design

A research design is the process through which an empirical test is done to support or disagree with a given claim (Gall, Gall & Borg, 2007). A descriptive survey research design was used in this study. The design helped in describing, recording, analyzing and interpreting existing conditions. The design was adopted in this study because it allowed the researcher to examine the relationship between the border management policies and national security by using standardized questions and testing for their reliability (Owen, 2002).

3.3 Research Site

According to Kombo and Tromp (2011), is the location in which the research is carried out. The location is considered important because it determines the relevance of the data obtained. The area where the study was carried in is Nairobi County. Nairobi County is the capital city of Kenya. It has an estimated population of 3.5 million and a land area of 695 square kilometers (Otiso, 2012). The recently created Nairobi Metropolitan Region has an area of 32,000 square kilometers and an estimated population of 6.65 million people. The city lies between 1,600 and 1,850 meters above sea level on the southeastern edge of Kenya's agricultural heartland at 1816'S latitude and 36848'E

longitude; its high elevation gives the city a temperate climate despite its close proximity to the equator (Otiso, 2012). Moreover, the main border entry and exit point for is located within the county and that is the Jomo Kenyatta International Airport and Wilson Airport. As such, the researcher found these locations strategic in understanding border management policies and national security.

3.4 Target Population

As defined by Frankel and Wallen (2000), a target population is the population size in which the researcher intends to conduct a study to obtain data. Additionally, Cooper and Schindler (2008) argued that a target population is an aggregate group consisting of elements where references are made. The target population included the stakeholders involved in national security implementing border management policies at the two airports. These included the staff members in the Kenya Ports Authority (KPA) (30), Kenya Bureau of Standards (KEBS) (20), Immigration Department (60), National Police Service (NPS) (140), Kenya Airports Authority (KAA) (60), Kenya Revenue Authority (KRA) -customs and border control department (30), Kenya Civil Aviation Authority (KCAA) (30), and National Youth Service (NYS) (60). In total, the target population was four hundred and thirty (N= 430).

Table 3.1: Target Population

Departments	Population Size
Kenya Ports Authority (KPA)	30
Kenya Bureau of Standards (KEBS)	20
Immigration Department	60
National Police Service	
- Anti-terror	20
- Department of Criminal Investigation	30
- Anti-narcotic	20
- Kenya Airport Police Unit(KAPU)	50
- General Service Unit (GSU)	20
Kenya Airports Authority (KAA)	60
Kenya Revenue Authority (KRA)	
- Customs and border control department	30
Kenya Civil Aviation Authority (KCAA)	30
National Youth Service (NYS)	60
Total	430

3.5 Determination of Study Sample

This sample size and sampling procedure are as discussed below.

3.5.1 Sample Size

A sample is a proportion of the target population (Mugenda and Mugenda, 2009). The sample size can also be referred to as subjects, or respondents. To arrive at the sample size, Yamane's (1967) formula of sample size determination was used. The formula is stated as indicated below:

$$n = \frac{N}{1 + N e^2}$$

Where,

n = the sample size

N = the size of the population

e = the error of 5 percentage points

$$n = \frac{430}{1 + 430(0.05)^2}$$

$$n = 207$$

Therefore, from the population size of 430, the respondents were two hundred and seven (n=207). A stratified random sampling was employed to select the 207 respondents. From 430-population size, it implies that for every two respondents, the researcher would pick one respondent, that is: $430/207 = 2.077$. The summary of the stratified random sampling is presented in Table 3.2.

Table 3.2: A Summary of the Population Target and Sample size

Departments	Population Size	Sample Size
Kenya Ports Authority (KPA)	30	14
Kenya Bureau of Standards (KEBS)	20	9
Immigration Department	60	28
National Police Service		
- Anti-terror	20	9
- Department of Criminal Investigation	30	14
- Anti-narcotic	20	9
- Kenya Airport Police Unit(KAPU)	50	22
- General Service Unit (GSU)	20	9
Kenya Airports Authority (KAA)	20	9
Kenya Revenue Authority (KRA)	60	28
- Customs and border control department	30	14
Kenya Civil Aviation Authority (KCAA)	30	14
National Youth Service (NYS)	60	28
Total	430	207

3.5.2 Sampling Procedure

According to Malhotra (2011), the sampling process is the identification of entities of sample selection. Ogula (2005) further defines the sampling procedure as the process through which the sample size is selected. The researcher used a probability procedure in selecting the respondents. Random sampling procedure was used to arrive at the number of appropriate groups of respondents sampled in the study (n=207). In each of the department: KPA, KEBS, Immigration Department, NPS, KAA, KRA - customs and border control department, KCAA, and NYS, a representable distribution of the respondents was selected.

3.6 Data Collection Measures

This section covered the data collection instruments, pilot test, validity and reliability of the instruments and the data collection process.

3.6.1 Data Collection Instruments

According to Gillham (2008), data collection instruments are tools that are used in gathering information from respondents. In this study, questionnaires and interview guides were used to collect data.

Questionnaire for the Staff Members

Questionnaires were the key instrument of data collection used in the study. They are considered important for the study because they are easy to develop, and answer. Through the questionnaires, the researcher can be able to cover a wide area within a short period (Ogula, 2005). The questionnaire was divided according to the research objectives, except the first section which captured the background information. The questionnaires had both closed and open-ended questions.

Interview Guide for the Heads of Department

The interview guide was also used in the study to collect data from the heads of the department. The interview guide was structured according to the research questions and they comprised of open-ended questions.

3.6.2 Piloting of the Instruments

A pilot test was carried out to examine the reliability of the data collection instruments. For the piloting, the researcher distributed the questionnaires to ten respondents in three border management departments at Wilson. These departments were randomly selected. Additionally, these respondents were picked randomly and they did not form part of the actual study. The questionnaires were distributed and collected after two days for the reliability test to be done.

3.6.3 Validity of Research Instruments

According to Mugenda and Mugenda (2009), validity refers to the degree to which evidence and theory support the interpretation of test scores entailed by the use of tests. The validity of the instrument is the extent to which it does measure what it is supposed to measure. In this study, both content and face validity were used to validate the questionnaires. For the content and face validity, the researcher reviewed the questionnaires with the supervisor to check whether the questions asked are answering the research objectives. The recommendations given by the supervisor were used to reinforce the questionnaire before taking it to the field for actual data collection.

3.6.4 Reliability of Research Instruments

The term reliability refers to the ability of an instrument to be consistent in measuring characteristics of interest over a given period (Mugenda and Mugenda, 2009). According to Nachmias and Nachmias (2008), reliability focuses on the ability of a test to be consistent, dependable and stable. In this study, a pilot test was carried out for the purpose of establishing the reliability of the questionnaire. The pilot test comprised of a few respondents from the different departments targeted in the study. They were given the questionnaires to fill and return back. Cronbach Alpha method was used to establish the reliability levels with the help of SPSS. According to an observation made by George and Mallery (2003), if the value found falls within the accepted levels (0.6-0.9), the questionnaire is held to be reliable. From the reliability test, a Cronbach alpha of 0.8 was obtained. Therefore, the research instruments were considered reliable for the study.

3.6.5 Data Collection Process

For the data collection to begin, a research letter permit was obtained from the university. Additionally, the researcher also obtained a research authorization letter from National Commission for Science, Technology and Innovation (NACOSTI). With these permits, the researcher proceeded to the respective organizations and introduced herself to the management and the purpose of the visit. With the completion of the introduction and approval to continue, the respondents were randomly selected and issued with the questionnaires. The purpose of the study was explained to the respondents and a follow up to ensure that they have understood the questions. This was done in all the other organizations until the required number of respondents was reached. Research assistants were involved in the data collection process.

3.7 Data Analysis

The collected data was analyzed using both quantitative and qualitative data analysis approaches. The quantitative approach involved descriptive and inferential statistics. To present the descriptive statistics, frequencies and percentages was used. Moreover, tables and figures were also used in the study. Statistical Package for Social Science (SPSS 21) was used to summarize the data into frequencies and percentages. For the inferential analysis, correlation and linear regression statistics was used to establish the relationship between the border management policies and national security. The model summary, analysis of variance (ANOVA), and correlation coefficient tables were used to present the inferential statistics.

The open-ended questions in the questionnaire were analyzed qualitatively. The qualitative data was organized according to the key objectives of the study. Once it is organized, the data was presented within the quantitative data using a narrative approach. The qualitative data was analyzed thematically. This is whereby they were organized according to different research themes and presented in a narrative form.

3.8 Legal and Ethical Considerations

Ethical considerations were adhered to in the study. The principle of voluntary participation was implemented in the researcher. This is whereby the respondents' interests were protected and they were not forced to participate in the study. Hence, they were given the free-will not to respond to the questionnaire if not interest. Another principle of informed consent was also adhered to in the research. The respondents were asked to provide their consent to participate. Before collecting data, the purpose of the study was explained to the respondents. All the data obtained from the field was treated with utmost confidentiality. The researcher also ensured that the principle of anonymity

was strictly upheld during the data collection process. This was implemented whereby the respondents did not indicate their names on the data collection instruments.

Upon the completion of the study, the researcher will also ensure that the organizations which had participated in the study are issued with a copy of the thesis. This is for the purpose of supplying them with information that they can use for improving the national security through border management policies. The researcher also looked for a research permit from the university as well as the National Commission for Science, Technology and Innovation (NACOSTI) for the purpose of collecting information from the relevant stakeholders concerning the border management policies and national security.

CHAPTER FOUR

DATA ANALYSIS AND FINDINGS

4.1 Introduction

This chapter presents the results and analysis of the findings on the assessment of boarder management policies on national security in Nairobi County, Kenya. The chapter is organized according to the following sections response rate, background information, boarder management policies, the effectiveness of the utilization of boarder management policies, the challenges in the implementation of border management policies. The chapter finally concludes with hypothesis testing. The information captured in this section was obtained from the field data collected using the questionnaires and interview guides. This chapter addresses the following objectives:

- i. To establish the level of awareness of the existing border management policies in Kenya among the employees in the border management committee.
- ii. To assess the effectiveness of the utilization of border management policies in promoting national security.
- iii. To examine the challenges hindering the effectiveness of border management policies on national security.

The questionnaires after being collected back were sorted by the researcher to ensure that they were all properly filled. Those that were not properly filled or not filled were set aside. The properly filled data was then coded into the computer using the Statistical Package for Social Sciences (SPSS) software. This enabled the researcher to summarize the data into frequencies and percentages. For the presentation, both quantitative and qualitative approaches were used in presenting the results and analysis of the findings. The quantitative analysis involved both descriptive and inferential analysis.

The quantitative analysis was presented using tables, bar graphs and pie charts. The null hypothesis was also tested using multiple regression analysis at a significance level of 0.05. Qualitative data from interviews were analyzed concurrently with the quantitative data. Moreover, direct quotations were also utilized in presenting the qualitative data.

4.2 Response Rate

In the data collection process, the researcher managed to issue out 207 questionnaires. However, 180 questionnaires were filled and returned back. From the one hundred and eighty questionnaires, 10 questionnaires were poorly filled and therefore the researcher did not include them in the final data analysis. Therefore, only one hundred and seventy questionnaires were considered to be properly filled and fit for the analysis. This translates to a response rate of 82.1%. According to Mugenda and Mugenda (2003) a 50% response rate is adequate, and a response rate greater than 70% is very good. Hence, the response rate in this study was satisfactory. Table 4.1 presents a summary of the response rate.

Table 4.1: Response Rate

Respondents	Sample	Percentage
Not filled	27	13.1
Poorly filled	10	4.8
Properly filled	170	82.1
Total	207	100%

Source (Field Data, 2020)

4.3 Background Information

The respondents were asked to indicate their background information. This included the name of the organization, the occupation in the agency and the working experience. The responses given on the background information are as presented in this section.

As shown in Table 4.2, a higher percentage of the respondents came from the National Police Service (34.2%) followed by Immigration department (14.2%), National Youth Service (12.9%), Kenya Airports Authority (KAA) (12.9%), Customs and border control department (8.6%), and Kenya Civil Aviation Authority (KCAA) (8.6%). Other organizations represented included Kenya Ports Authority (KPA), and the Kenya Bureau of Standards (KEBS).

Table 4.2: Distribution of the Respondents by their Organization

Departments	Frequency	Percentage (%)
Kenya Ports Authority (KPA)	10	5.7
Kenya Bureau of Standards (KEBS)	5	2.9
Immigration Department	24	14.2
National Police Service		
- Anti-terror	10	5.7
- Department of Criminal Investigation	12	7.1
- Anti-narcotic	10	5.7
- Kenya Airport Police Unit(KAPU)	17	10.0
- General Service Unit (GSU)	10	5.7
Kenya Airports Authority (KAA)	22	12.9
Kenya Revenue Authority (KRA)		
- Customs and border control department	14	8.6
Kenya Civil Aviation Authority (KCAA)	14	8.6
National Youth Service (NYS)	22	12.9
Total	170	100

Source (Field Data, 2020)

The working experience of the respondents was categorized into 1 year and below, 2-5 years, 6-10 years, and 11 years and above. The responses are as shown in Figure 4.1. Majority of the respondents (61.5%) had a working experience of 11 years and above. Slightly less than a quarter (21.1%) had a working experience of below 5 years. The remaining 17.3% had a working experience of 6-10 years. This was an indication that most of the respondents who participated in the study have been in the

field for a longer period and therefore are competent to provide information needed in the study to address the effect of border management policies on national security.

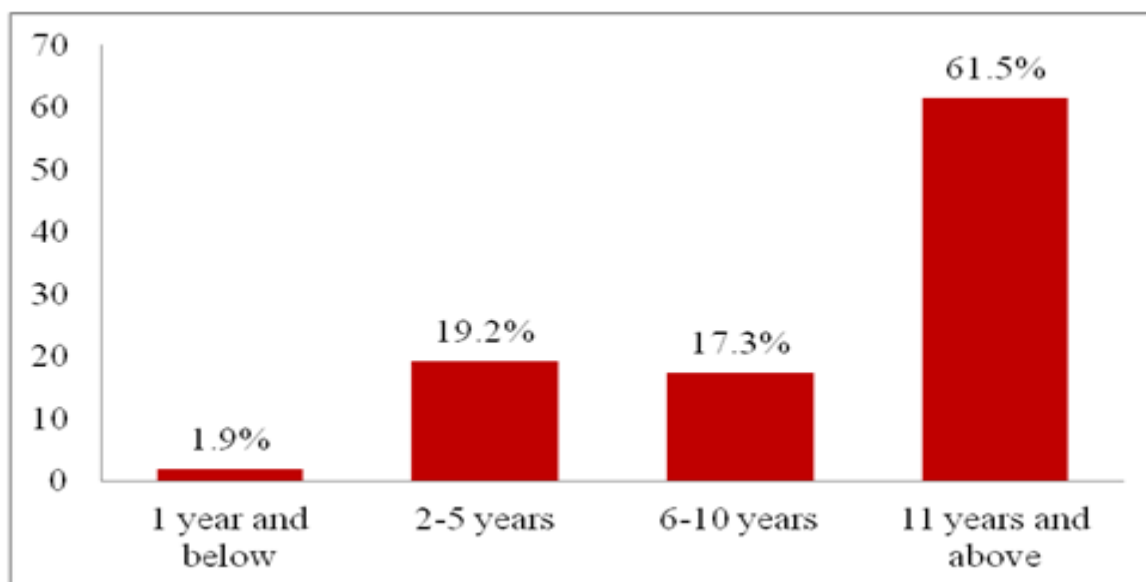


Figure 4.1: Distribution of the Respondents by their Working Experience

Source (Field Data, 2020)

4.4 Border Management Policies

This study sought to establish the level of awareness of the existing border management policies in Kenya among the employees in the border management committee. In order to answer this objective, the respondents were asked several questions. They were first asked to indicate if there were any border management policies that have been established in the country (See Figure 4.2). As shown in Figure 4.2, a slight majority (60%) of the respondents indicated that clear border management policies had been established in the country. A few however, indicated the opposite. This implies that there is still some gap on the clarity of border management policies established in the country. Those who indicated that there were policies were asked to indicate the policies that they were aware of. In response, they all indicated that policies on border

management revolved around the entry and exit points of the country such as visa policies, passports and border control policies. All these policies helped to implement border management and security.

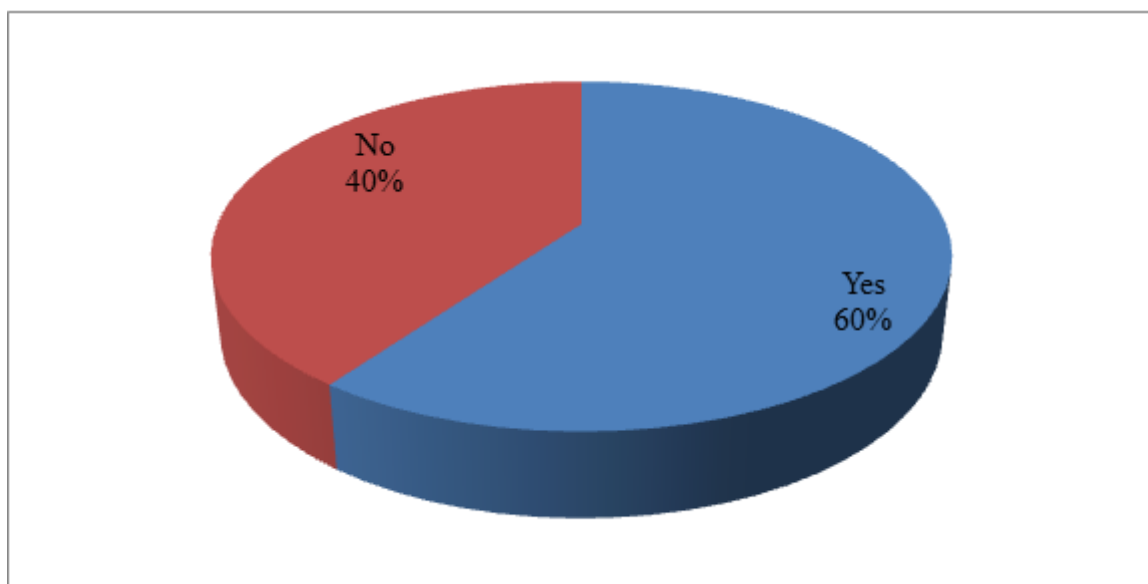


Figure 4.2: Whether Border Management Policies Have Been Established

Source (Field Data, 2020)

On the other hand, those who indicated no as a response were also asked to give their reasons. They reported that some of the policies were not clear enough since there were still issues and loopholes in the border management whereby illegal immigration could still be experienced at the border and especially within the physical borders of the country.

Having understood on the clarity of border policies, the respondents were asked to rate the effectiveness of the policies in terms of border management. The policies that were suggested include visa policy, entry/exit policy, migration policy and immigration policy. The responses given are as shown in Table 4.3. As seen in Table 4.3, majority

(60%) of the respondents indicated that the visa policy was effective in border management. On the other hand, 35% of the respondents indicated that it was not effective whereas the remaining 5% were not sure of its effectiveness. This implies that the visa policy has played an integral role in promoting border management but there is still more which needs to be done so as to increase its effectiveness.

The entry and exit policies refer to the restrictions or regulations that have been put in place to guide the movement of people in and out of the country. With regard to the entry/exit policies, 45% of the respondents indicated that it was effective in border management whereas 40% indicated it was not effective. The remaining 15% were however not sure of its effectiveness in the border management. This implies that the entry and exit policies still have some loopholes which hinder its full effectiveness in promoting border management practices in the country. In terms of entry/exit policies, the government of Kenya has been able to update the policies more recently with the pandemic. The policies require that all the travelers to Kenya need to present a negative coronavirus disease (COVID-19) test that has been verified through the Trusted Travel Initiative or Global Haven partnership. On the other hand, the travelers who are leaving Kenya are required to present a negative COVID-19 certificate verified by the Trusted Travel Initiative and the PanaBios system (GardaWorld, 2021).

Whereas 40% of the respondents rated that the immigration policy was effective in border management, half of the respondents rated it as ineffective. Only a few (10%) were not sure of its effectiveness. Therefore, it can be concluded that the overall immigration policy in place was not satisfactory.

Table 4.3: Effectiveness of Border Management Policies

	Effective		Not effective		Not Sure	
	F	%	F	%	F	%
Visa policy	102	60.0	60	35.0	8	5.0
Entry/Exit policies	77	45.0	68	40.0	25	15.0
Immigration policy	68	40.0	85	50.0	17	10.0

Source (Field Data, 2020)

Through the interview guide, some of the key informants were asked to list some of the border management policies in Kenya. From the open-ended questions, it was noted that the key policies around border control and management included the immigration policies such as passports, entry/exist guidelines and policies, and visas. These were the key tools or instruments used for border control. In fact, one of the key informants explained that:

Border management policies generally explain or outline the approaches used in controlling the entry and exit movements of people within the borders. Visas and passports are largely used. (Key Informant X, 2020).

With regard to the entry/exit policies, another Key Informant from the Kenya Ports Authority (KPA) reported that:

The entry/exit policies are well stipulated. This is because they clearly indicate the requirements for any individual who may be entering or exiting the country. For instance, in terms of exit, the policies require that every person, other than an excluded person, to personally report their intention of departure to the immigration officer at the point of exit. In the process, they should complete a departure declaration form in Form 20 set out in the First Schedule; and personally deliver the departure declaration form to that officer. (Key Informant B, 2020).

Based on the analysis on the level of awareness, it is evident that the respondents are aware of the existence of border management policies. This shows that the level of

awareness on the policies is high and therefore, they were better placed in explaining how the policies affect national security in the county.

4.5 The Effectiveness of Utilization of Border Management Policies

This study was set to assess the effectiveness of the utilization of border management policies in promoting national security. As such, the respondents were given a number of statements on the utilization of border management policies and asked to indicate their extent of agreement or disagreement. The responses are as shown in Table 4.4.

Whereas 92.3% of the respondents agreed that the policies have facilitated a smooth control of the immigration and migration activities at the border points in the country, 7.7% disagreed with the statement.

When asked to indicate whether through the integration of ICT in border management, security at the border points and especially the airport has been improved, 88.6% of the respondents agreed. On the other hand, 10% disagreed. The remaining 1.4% was undecided on the matter.

Majority (86.6%) of the respondents agreed that due to the improved border management structures, human, drugs and weapon trafficking has been reduced. However, 10% of the respondents disagreed with the statement whereas 3.4% remained undecided.

As agreed by 70.3% of the respondents, enhanced coordination among agencies in the border points has helped to address the refugee crisis in the country. On the other hand, 11.5% were undecided on the matter. A few (18.2%) however disagreed with the

statement. This shows that the immigration policy in place have significantly contributed to the enhanced national security across the border points.

Table 4.4: The Utilization of Border Management Policies

Statement	A		UD		D	
	F	%	F	%	F	%
a. The policies have facilitated a smooth control of the immigration and migration activities at the border points in the country.	157	92.3	-	-	13	7.7
b. Through the integration of ICT in border management, security at the border points and especially the airport has been improved.	151	88.6	2	1.4	17	10.0
c. Due to the improved border management structures, human, drugs and weapon trafficking has been reduced.	147	86.6	6	3.4	17	10.0
d. Enhanced coordination among agencies in the border points has helped to address the refugee crisis in the country.	120	70.3	20	11.5	30	18.2

Source (Field Data, 2020)

The respondents were further asked to explain the other ways in which border management policies were being utilized in the country for national security purposes. In response, the respondents indicated that the policies enabled the authorities to monitor the movement of people in and out of the country as well as their intentions of moving. As such, through the policies the government has been able to protect the country from drug and human trafficking businesses. One of the Key informants from the department of criminal investigation (DCI) reported that:

Through the border management policies, we have been able to minimize the movement of immigrants within the country. This is more prevalent in the borders in the neighboring country Somali. (Key Informant A, 2020).

Another key informant from the Kenya Airport Police Unit explained that:

Integration of ICT in the border management has made the process to be smooth and effective. Now it is easier to process more people at the

boarder such as the one stop border post. This gives the security staff to be more alert and effective in executing their roles. (Key Informant Y, 2020).

Having established the utilization of border management policies, the respondents were further asked to indicate the extent to which the utilization of border management policies promoted national security in the country. The responses given are as shown in Figure 4.3. According to the figure, 63% of the respondents said the utilization of border management policies has promoted national security to some extent. This was further supported by slightly more than a third (35%) who indicated that it did promote national security to a greater extent. A few were however not sure.

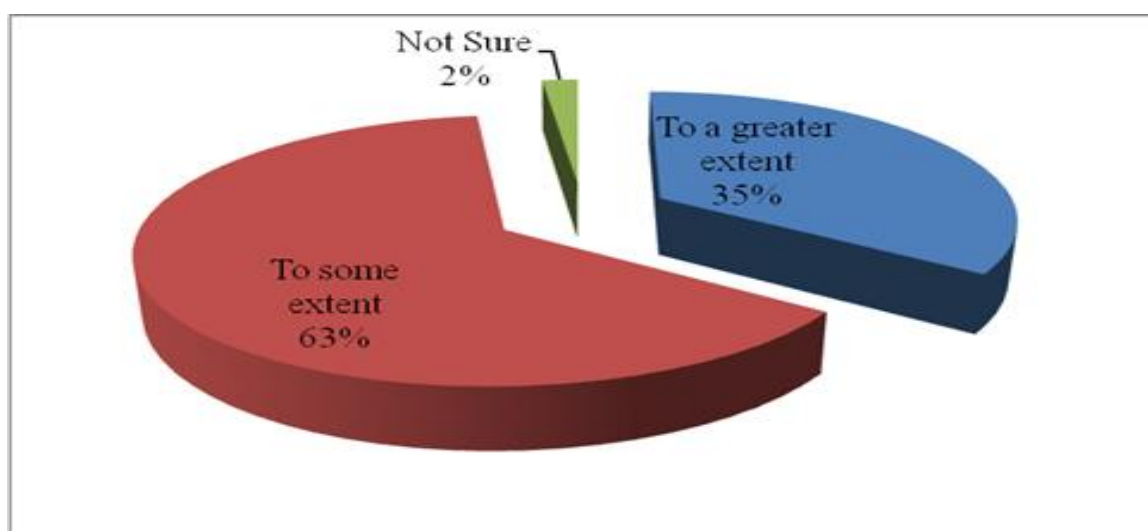


Figure 4.3: Extent to Which the Utilization of Border Management Policies Promoted National Security in the Country

Source: (Field Data, 2020)

From the interview guide, the respondents were asked to explain the effectiveness of the existing border management policies. As a response, most of the key informants reported that the policies were effective in the border management and control. This was due to the fact that, policies helped to streamline the activities that took place within the borders and hence the different stakeholder in charge had some guidelines to follow. It

was also reported that there are some loopholes within the policies that make them less effective that may need to be addressed. One of the key informants from the Anti-narcotic unit reported that:

The existing border management policies have been fundamental in enhancing national security in the country. Through these policies, the government through its respective security bodies has been able to monitor and reduce criminal activities such as drug trafficking through the country. (Key Informant C, 2020).

Another Key Informant from the Immigrations Department reported that:

Kenyan passports are easily accessible to any individual irrespective of their nationality. This may pose a great challenge to the overall security of the country. This is because some of the criminals may disguise themselves as locals through the easily accessible passports and hence continuing their criminal activities without detection. (Key Informant D, 2020)

It was further reported that:

Passports must be presented to Immigration authorities on departure ... For those passengers going through exit controls; Kenyan Immigration Officers ... scan every passport. We are not aware if this is linked to a database searching for criminal records for Kenya nationals or others. However, further to consultation with the RCMP Liaison Officer at mission, we do not believe this is linked to any list of individuals with wants or warrants outstanding. (Key Informant G, 2020).

4.6 The Challenges in the Implementation of Border Management Policies

The last objective of this study was to examine the challenges hindering the effectiveness of border management policies on national security. Therefore, the respondents were asked to indicate whether there were any challenges experienced in the implementation of border management policies in the country. The responses given are as indicated in Figure 4.4. As shown by the figure, an overwhelming majority (85%) indicated that they were challenges experienced in the implementation of border

management policies in the country. However, a few (15%) indicated that they were challenges experienced.

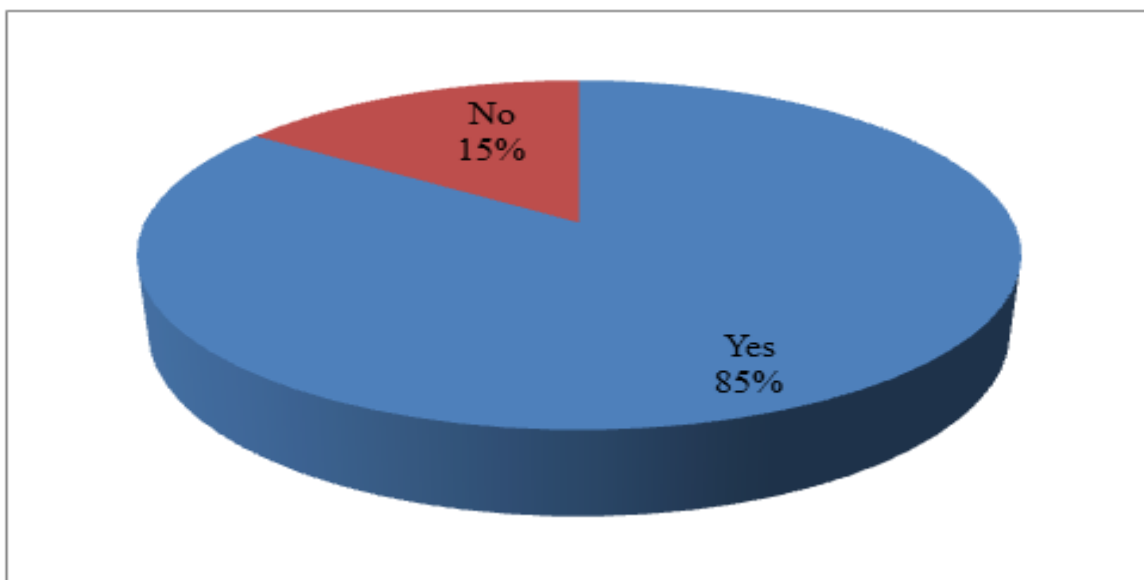


Figure 4.4: Whether there are Challenges Experienced in the Implementation of Border Management Policies in the Country

Source (Field Data, 2020)

Further, the respondents were given a number of statements on the challenges faced in the implementation of border management policies. They were asked to indicate their extent of agreement or disagreement. The responses given are as shown in Table 4.5. Majority (88.5%) of the respondents agreed that the agencies involved in border management do not have up to date training on handling various security threats that may be experienced at the border points. The remaining 11.5% disagreed with the statement.

With regards to coordination, 75.0% of the respondents agreed that there is poor coordination among border management agencies due to lack of clear mandates on border

management. On the other hand, a quarter (25.0%) of the respondents disagreed to the statement.

Whereas 86.3% of the respondents agreed that corruption cases also pose a challenge to the proper implementation of border management policies in the country, 13.7% disagreed. This may be due to the fact that corruption has been flagged as a major problem in the country affecting various areas of operations including national security.

Table 4.5: The Challenges Faced in the Implementation of Border Management Policies

Statement	A		UD		D	
	F	%	F	%	F	%
a. The agencies involved in border management do not have up to date training on handling various security threats that may be experienced at the border points.	150	88.5	-	-	20	11.5
b. There is poor coordination among border management agencies due to lack of clear mandates on border management.	128	75.0	-	-	42	25.0
c. Corruption cases also pose a challenge to the proper implementation of border management policies in the country.	147	86.3	-	-	23	13.7
d. The infrastructure available for border management purposes is inadequate and this affects the overall implementation of border management policies.	101	59.4	-	-	69	40.6

Source (Field Data, 2020)

Some of the key respondents from the interview sessions were able to add in a few other challenges that they felt affected the border management and therefore posed a threat to the national security. Some of the challenges that were highlighted included weak organizational structures that could facilitate proper coordination among the various teams involved in the implementation of border management practices, poor equipment, and conflict of interest among various stakeholders in the border management among other challenges. In fact, one of them reported that:

Conflicts of interest among the stakeholders possess a greater challenge in the border management. This is whereby some of the organizations tend to think that by partnering or coordinating with other organizations in the effort of enforcing security within the border their relevance in the area may be reduced. As a result, they may not share information or resource required for effective border management practices. (Key Informant F, 2020).

Lastly, the respondents were further asked to indicate the extent to which the mentioned challenges in the border management posed a threat to national security. Figure 4.5, shows the responses that were provided. Whereas 77% of the respondents indicated that the border management challenges posed a threat to national security to some extent, 21% indicated to a greater extent. However, the remaining 2% indicated that the challenges had no effect on the nation security of the country. Therefore, it is important to urgently address the challenges identified by the current study in order to enhance the national security through effective border management approaches.

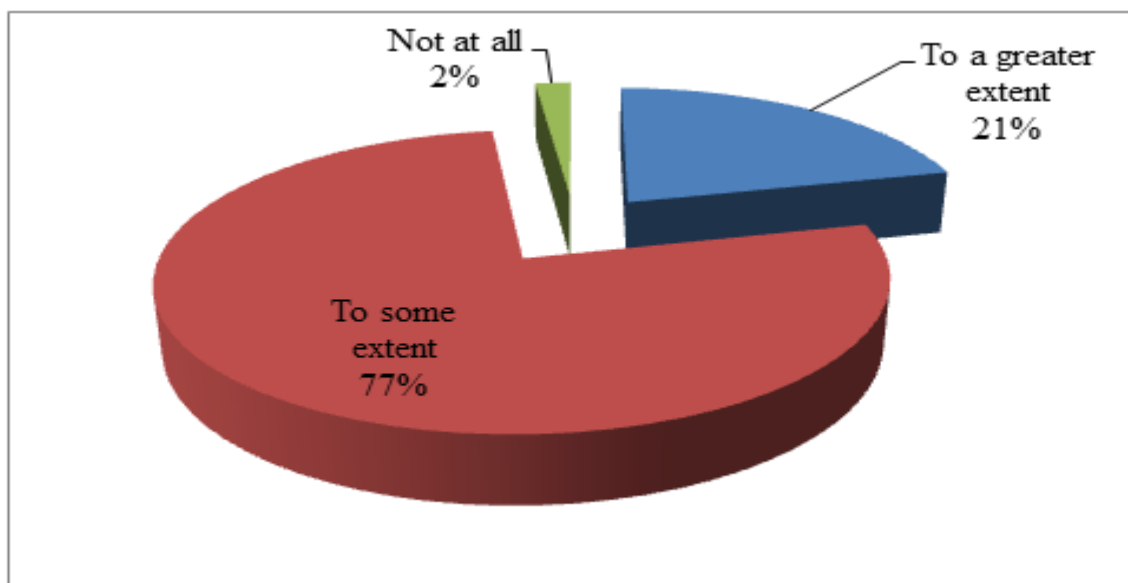


Figure 4.5: Extent to Which Challenges Mentioned in Border Management Posed a threat to the National Security

Source (Field Data, 2020)

4.7 Hypothesis Testing

The following hypothesis was tested:

Ha: There is no significant relationship between border management policies and national security.

For the inferential statistics, hypothesis testing was further carried out in this study to establish the level of relationship between border management policies and national security in the country. For this purpose, both correlation and regression analysis were used.

4.7.1 Correlation Analysis Results

The study sought to find out the correlation between border management policies and national security in the country. The findings showed that there is a positive relationship between border management policies and national security. Pearson correlation coefficient was used to gauge the relationship between the two variables. The results indicated that border management policies have a positive significant relationship with national security. This is indicated on table 4.6. As shown in the table, the precision under consideration was at $p=0.000$ and this meets the threshold since $p<0.05$, the relationship was represented by correlation coefficient of 0.896 and the number of respondents considered was 170.

Table 4.6: Correlation between Border Management Policies and National Security in the County

		National Security	Border Management Policies
National Security	Pearson Correlation	1	.896**
	Sig. (2-tailed)		.000
	N	170	170
Border Management Policies	Pearson Correlation	.896**	1
	Sig. (2-tailed)	.000	
	N	170	170

** . Correlation is significant at the 0.01 level (2-tailed).

Source: (Field Data, 2020)

4.7.2 Regression Analysis Results

Regression analysis was conducted to establish the relationship between the dependent and independent variable. The findings obtained from the analysis are presented using the model summary, ANOVA, and coefficient tables below.

Table 4.7: Model Summary for Border Management Policies on National Security

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	0.896	.804	.801	.64669

a. Predictors: (Constant), Border Management Policies

Source: (Field Data, 2020)

As presented in the coefficient of determination R square is 0.804 and R is 0.896 at 0.05 significance level. The coefficient of determination indicates that 80% of the variation on national security in the country is influenced by border management policies. This has an implication that, there exists a positive significant relationship between border management policies and national security of the country.

Table 4.8: ANOVA Results for Border Management Policies on National Security

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	16.351	1	16.351	39.097	.000 ^b
	Residual	141.355	168	.418		
	Total	157.706	169			

a. Dependent Variable: National Security

b. Predictors: (Constant), Border Management Policies

Source: (Field Data, 2020)

The Analysis of Variance (ANOVA) results as shown in table 4.8 further confirms that the model fit is appropriate for this data since p-value of 0.00 which is less than 0.05 with 169 degrees of freedom. This implies that, there is a significant positive relationship between border management policies and national security in the country. Therefore, the null hypothesis is rejected and concluded that there is a significant relationship between border management policies and national security.

Table 4.9: Coefficient Results for National Security in the Country

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.
		B	Std. Error	Beta		
1	(Constant)	1.512	.081		18.577	.000
	Border Management Policies	.767	.043	.896	6.253	.000

a. Dependent Variable: National Security

Source: (Field Data, 2020)

The results also indicate that border management policies have positive and significant effect on national security as can be verified from table 4.9. Thus H_a: There is a significant relationship between border management policies and national security is accepted. This means that border management policies is of significance when it comes to improving the national security in Kenya.

CHAPTER FIVE

DISCUSSIONS, SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This chapter presents the discussion, summary, conclusions and recommendations of this study on border management policies and national security in Kenya. The chapter also concludes with recommendations for further study(s).

5.2 Discussion of the Findings

In this section, discussion of the findings is presented. The discussions are done based on the research objectives.

5.2.1 Level of Awareness of the Existing Border Management Policies

With regard to policy awareness, the research question that study intended to fill was what is the level of awareness of the existing border management policies in Kenya? From the findings, this study was able to show that the level of awareness on border management policies was relatively high among most of the stakeholders in the country. Majority of the respondents indicated that clear border management policies had been established in the country (Table 4.3). A slight majority of the respondents further indicated that policies on border management revolved around the entry and exit points of the country such as visa policies, passports and border control policies (Table 4.3). All these policies helped to implement border management and security. The entry and exit policies refer to the restrictions or regulations that have been put in place to guide the movement of people in and out of the country. With regard to the entry/exit policies, a slight majority of the respondents indicated that it was effective in border management whereas others indicated it was not effective (Table 4.3). Similar findings are demonstrated by the Kenya Citizenship and Immigration Act (2011) which points out that

these policies and guideline provisions are available in the country. Moreover, the Canadian's High Commission (2014) in Kenya reported that border management policies are in existence in the country. For instance, exit controls are present for all the passengers who are leaving the country. The report also supported that different agencies in Kenya are aware of the policies; they take part in implementing them for instance the Kenyan Department of Immigration, and its agents at airports perform the exit control measures.

In the European countries, the level of awareness on border management policies and practices is high. The different agencies have been implementing the policies since the European supra-national structures whereby borders between member states were policed and ports of entry controlled (though many goods could transit the borders free of customs duties) by the respective member states (Morag, 2020).

In Europe, border management is a curious amalgamation of international agreements, supra-state controls, and individual national policies. This reflects the tension in Europe between centripetal and centrifugal impulses that, on the one hand, pull EU member states closer together towards a common federative state and, on the other, assert the individual identity, sovereignty, and political autonomy of each of the nation-states that comprise the EU (Nicoll & Salmon, 2001).

In the US, border agencies (customs, border police and immigration services) are responsible for the processing of people and goods at points of entry and exit. They also play a role in the detection and regulation of people and goods attempting to cross borders illegally. Efficient border and immigration management policies and structures, supported by professional, well-trained customs, border and immigration officers,

facilitate and foster enhanced movement management at borders and prevent irregular migration, enabling the detection of smuggled migrants and trafficked persons, with the ultimate objective of dismantling organized crime networks and protecting the rights of these vulnerable persons (International Organization of Migration (IOM), 2021). This is in line with the findings of this study whereby these agencies are also mandated to implement the border management practices in Kenya.

5.2.2 The Utilization of Border Management Policies in Promoting National Security

This study sought to establish how effective the existing border management policies are in achieving national security? From the analysis, it was established that border management policies were being utilized in various aspects. One of the areas that have been utilized more is on the migration and immigration of people. The findings demonstrated that the majority of the respondents agreed that the policies have facilitated a smooth control of the immigration and migration activities at the border points in the country (Table 4.4).

The majority of the respondents further agreed that there was integration of ICT in border management, security at the border points and especially the airport has been improved. It was further noted that due to the improved border management structures, human, drugs and weapon trafficking has been reduced. Moreover, enhanced coordination among agencies in the border points has helped to address the refugee crisis in the country (Table 4.4). This finding is in line with the Kenya National Migration Policy (2013) has been migration and immigration. This is because the porous borders and coastline of the country is susceptible to irregular entries of migrants. As a result of

the policies, immigration checkpoints have been established along the coastline and borders of the country.

The study also established that border management policies were being utilized in controlling human smuggling and drug trafficking cases across the country (Table 4.4). Indeed, it was noted that the policies enabled the authorities to monitor the movement of people in and out of the country as well as their intentions of moving. As such, through the policies the government has been able to protect the country from drug and human trafficking businesses. These findings concur with Mocerquada et al. (2000) who observed that border management policies were utilized in addressing the human smuggling issues. This applies to the external borders at airports as much as to internal borders, which may be crossed at unmanned points, in the countryside or at official checkpoints, in which case the people being smuggled are hidden in vehicles.

According to Adamson (2006), the availability of border management policies plays an important role in controlling the movements of people in and out of the country. The policies help to address and prevent terror attacks as well as any other cross border criminal activities. This is in accordance with the findings of this study. Additionally, a report by the Daily Nation (2014) indicated that Jomo Kenyatta International Airport had implemented biometric scanners in their premises as well as Personal Identification Secure Comparison and Evaluation System (PISCES) border control database. These were within their policies directed towards promoting national security in the country.

Also supporting the findings of this study that border management policies are being utilized in promoting national security (Figure 4.3) is a report on terrorism that was presented in 2013 by the US (2013). The report indicated that the government through its

policies had put in place border management system initiatives in the major ports of entry in the country. These initiatives included terrorist screening watch lists and biographic and biometric screening measures.

In terms of effectiveness, whereas some of the respondents noted that the policies were effective, there are those who indicated that it was not effective. For instance, integration of ICT in the border management has made the process to be smooth and effective (Table 4.4). Now it is easier to process more people at the boarder such as the one stop border post. This gives the security staff to be more alert and effective in executing their roles. In addition, the majority of the respondents agreed that the utilization of border management policies has promoted national security to some extent (Figure 4.3). This concurs with a previous observation made by Ndonga (2014) and East African Community (EAC) (2011). They noted that due to the porousness of the Kenyan borders, the border management policies especially in the control of people moving in an out of the country were ineffective. This is a clear indication that the border management policies may be having some challenges, which are affecting its effective utilization as pointed out in the third variable.

5.2.3 The Challenges Hindering the Effectiveness of Border Management Policies

This study established that the implementation of border management policies faced numerous challenges. Indeed, the findings demonstrated that an overwhelming majority indicated that they were challenges experienced in the implementation of border management policies in the country (Figure 4.4). For instance, the majority of the respondents agreed that the agencies involved in border management do not have up to date training on handling various security threats that may be experienced at the border

points (Table 4.5). The study findings further demonstrated that a majority of the respondents agreed that there is poor coordination among border management agencies due to lack of clear mandates on border management (Table 4.5). Corruption cases also pose a challenge to the proper implementation of border management policies in the country. This is in line with a study carried out by Gituanja (2013) which showed that challenges exist in the effective implementation of border policies and procedures. To top up to this, the study by Opon, Okoth and Onkware (2015) pointed out some challenges such as staffing levels, serving under unequal scheme of service and terms of employment, and deployment of officials on personal integrity and competence. This is further evident from a previous study conducted by Okumu and Ikelegbe (2020) whereby they indicated that there is scarcity of office space, border monitoring and control personnel facilities and unsatisfactory means of communication that have also seriously challenged their capacity to efficiently conduct their work.

It was also established that stakeholder participation was a challenge affecting the implementation of border management policies on national security. This is because of the weak organizational structures that could facilitate proper coordination among the various teams involved in the implementation of border management practices, poor equipment, and conflict of interest among various stakeholders in the border management among other challenges. This concurs with an observation made by Cheruiyot and Rotich (2018) poor stakeholder cooperation and capacity affected the implementation of the implementation of OSBP strategy. Further, this study also noted that lack of training among the stakeholders also posed a challenge on the overall implementation of border management policies on national security.

In line with the findings of this study that there are certain challenges that affect the effectiveness of border management policies in promoting national security, a workshop report presented by the East African Community (EAC) (2011) pointed out several challenges. The challenges included document fraud, lack of interconnectivity of borders and integrated alien management system, and an inadequate legislative and policy framework. The report also pointed out that the enforcement of the existing policy regulations was weak (EAC, 2011).

Additionally, another report by Misiko (2014) indicated that poor local and regional cooperation was experienced in the country. This was especially evident in terms of poor coordination between the National Intelligence Service and the police. This concurs with the findings of this study whereby 75.0% of the respondents indicated that there is poor coordination among border management agencies due to lack of clear mandates on border management (Table 4.5).

According to 86.3% of the respondents in this study, corruption was a major challenge affecting effectiveness of border management policies in promoting national security (Table 4.5). This is a challenge that Kenya as country continues to experience and it has been ranked globally as leading nations with corruption. Accordingly, Transparency International (2014) ranked both the police and the immigration department as the most corrupt institutions in Kenya. Further, the TI's East African Bribery Index (2011) ranked the Kenya's Department of Immigration fifth out of 34 government institutions where individuals were expected to pay a bribe.

The Westgate Mall terrorist attack shows how corruption has affected the effectiveness of border management policies in promoting national security. This is

whereby; there are senior and mid-level immigration officers who played a role in helping the terrorist to secure Kenyan identification documents illegally. As a result, the illegal immigrants were involved in the killings of many Kenyans through their terror attacks (Warah, 2014).

5.3 Summary

This study focused on the assessment of the contributions of border management policies on national security in Kenya. Specifically, the study intended to establish existing border management policies in Kenya, to assess the effectiveness of utilization of border management policies and examine the challenges in the implementation of border management policies. A survey research design was adopted in the study.

The target population comprised of various stakeholders such as the border management committee in the Jomo Kenyatta and Wilson Airports. These include Kenya Ports Authority (KPA) (30), Kenya Bureau of Standards (KEBS) (20), Immigration Department (60), National Police Service (NPS) (140), Kenya Airports Authority (KAA) (60), Kenya Revenue Authority (KRA) - customs and border control department (30), Kenya Civil Aviation Authority (KCAA) (30), and National Youth Service (NYS) (60). From these stakeholders a sample of two hundred and seven (n=207) respondents was selected using Yamane's formula of sample size determination. However, only one hundred and seven fully participated in the study. Simple random sampling technique was used to arrive at the sample size. Questionnaire was the key instrument of data collection.

The study used qualitative data analysis to provide insights and understanding of the field while quantitative data analysis was used to generalize these insights. Close-

ended response items were used to analyze data through descriptive statistics. In summarizing the data into frequencies and percentages, Statistical Package for Social Sciences (SPSS version 21) was also used. Tables, figures and pie charts were used in presenting the data. Qualitative analysis was used to analysis the open-ended questions and presented within the quantitative data.

From the analysis, the following findings were made majority (60%) of the respondents indicated that clear border management policies had been established in the country. Majority (60%) of the respondents indicated that the visa policy was effective in border management.

With regard to the entry/exit policies, 45% of the respondents indicated that it was effective in border management whereas 40% indicated it was not effective. When asked to rate the effectiveness of the migration policy, half (50%) of the respondents indicated that it was effective. Whereas 40% of the respondents rated that the immigration policy was effective in border management, half of the respondents rated it as ineffective. 92.3% of the respondents agreed that the policies have facilitated a smooth control of the immigration and migration activities at the border points in the country.

When asked to indicate whether through the integration of ICT in border management, security at the border points and especially the airport has been improved, 88.6% of the respondents agreed. Majority (86.6%) of the respondents agreed that due to the improved border management structures, human, drugs and weapon trafficking has been reduced. Majority (70.3%) of the respondents agreed that enhanced coordination among agencies in the border points has helped to address the refugee crisis in the country.

According to 63% of the respondents, the utilization of border management policies has promoted national security to some extent. An overwhelming majority (85%) indicated that they were challenges experienced in the implementation of border management policies in the country. Majority (88.5%) of the respondents agreed that the agencies involved in border management do not have up to date training on handling various security threats that may be experienced at the border points.

With regards to coordination, 75.0% of the respondents agreed that there is poor coordination among border management agencies due to lack of clear mandates on border management. Majority (86.3%) of the respondents agreed that corruption cases also pose a challenge to the proper implementation of border management policies in the country. Whereas 77% of the respondents indicated that the border management challenges posed a threat to national security to some extent, 21% indicated to a greater extent. Border management policies have a positive significant relationship with national security. There is a significant relationship between border management policies and national security ($p < .000$).

5.4 Conclusions

From the presentation of the findings, and discussions of this study, the following conclusions are made. The level of awareness on border management policies is slightly high. The most common policies within the border management include visa, passports, entry/exist requirement and immigration policies.

On the utilization of border management policies in promoting national security, this study is conclusive that the policies have played an integral role in controlling the movements of people in and out of the country. Border management policies have been

utilized through the coordination of different agencies manning the borders to ensure national security. The policies have been utilized in ensuring that all measures are taken within the borders such as digital identification and scanners.

With regard to the challenges hindering the effectiveness of border management policies on national security, this study concludes that border management is affected by various factors such as lack of proper training among the stakeholders, poor coordination among the stakeholders, institutional conflict of interests, and corruption cases. Additionally, inadequacy of infrastructure also affects the utilization of border management policies in enhancing national security in the country.

The overall objective of this study was to assess the contributions of border management policies on national security in Kenya. From the analysis, this study concludes that the policies have contributed a lot in enhancing national security. This ranges from the implementation of entry/exit controls, and visa policies. Moreover, technology has also been integrated through the policies to enhance strict entry controls whereby passengers are scanned and their identities verified in order to reduce terrorists from entering the borders of the country.

5.5 Recommendations

The following recommendations are given:

5.5.1 Awareness of Border Management Policies

Since there are a few stakeholders that are not aware of the border management policies, more awareness should be emphasized on the policies to create its awareness among the relevant stakeholders who are involved in implementing it. This can be done through workshops and briefings by the different organizations.

5.5.2 Utilization of Border Management Policies on National Security

With regard to the utilization of border management policies (Figure 4.2), this study recommends that more efforts should be put place in promoting effective utilization of border management policies in controlling human and drug trafficking within the Kenyan borders. Policy reforms should be done to ensure that they fully promote the integration of information communication technology in border management practices. With ICT, the stakeholders are better placed to be at par with other countries such as Europe and the US that have integrated it in their border management systems.

5.5.3 Challenges affecting Utilization of Border Management Policies

One of the challenges experienced was poor coordination (Table 4.5). Therefore, it is recommended that there is a need for reforms to be put in place to promote proper cooperation among the different stakeholders. Joint taskforce should be organized and all the stakeholders incorporated and given one mandate to promote national security through border management practice.

There is also need for training to be provided among the stakeholders in order to increase their capacity in implementing border security management. This can be provided through workshops, seminars, and even camps where external trainers from developed nations can be invited to provide the training sessions.

There is also need to improve on the infrastructure and especially integration of new technology into the border management systems. Provision of adequate infrastructure will help to boost the effectiveness of the border management policies in promoting national security. This is because policies may not be implemented in the absence of the necessary infrastructure.

5.6 Recommendations for Further Study

Since this study focused only on the assessment of border management policies on national security in international airports in Kenya, there is also a need for the study to examine how the policies influence national security in the context of the one stop border posts which are situated in the borders of the country.

This study was limited in that it looked at stakeholder coordination as a challenge faced in the border management; therefore, there is need for a broader study to be carried out to assess the issues or factors affecting stakeholder coordination in the border management systems in Kenya. A comparative study may also be carried out to examine the border management policies and national security in Kenya and the neighboring countries such as Tanzania, Uganda and Somalia.

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APPENDICES

Appendix I: Questionnaire

AFRICA NAZARENE UNIVERSITY
DEPARTMENT OF PEACE AND SECURITY STUDIES
MSC IN GOVERNANCE, PEACE AND SECURITY
ASSESSMENT OF BORDER MANAGEMENT POLICIES ON NATIONAL
SECURITY IN NAIROBI COUNTY, KENYA

Declaration: I am a student at Africa Nazarene University undertaking a research on the border management policies and national security in Kenya. The information obtained will be confidential and used for academic purposes only. Kindly take a few minutes to answer the questions therein.

Section A: Background Information

1. Name of the Organization _____

2. Work experience

- a) 1 year and below []
- b) 2-5 years []
- c) 6-10 years []
- d) 11 years and above []

Section B: Border Management Policies

3. Are there any clear border management policies that have been established in the country?

- a) Yes []
- b) No []

If yes, what are some of the policies that you are aware of? Kindly state

If no, kindly explain.

4. How effective are the following policies in terms of border management? Kindly tick (✓) where appropriate

	Effective	Not effective	Not Sure
Visa policy			
Entry/Exit policies			
Migration Policy			
Immigration policy			

Section C: The Effectiveness of Utilization of Border Management Policies

5. By use of a tick (✓), indicate your extent of agreement or disagreement on the following statements regarding the utilization of border management policies.

	Statement	A	UD	D
a.	The policies have facilitated a smooth control of the immigration and migration activities at the border points in the country.			
b.	Through the integration of ICT in border management, security at the border points and especially the airport has been improved.			
c.	Due to the improved border management structures, human, drugs and weapon trafficking has been reduced.			
d.	Enhanced coordination among agencies in the border points has helped to address the refugee crisis in the country.			

6. In what other ways, are the border management policies utilized in the country for national security purposes?

7. To what extent has the utilization of border management policies promoted national security in the country?

- a) To a greater extent []
- b) To some extent []
- c) Not at all []
- d) Not sure []

Section D: The Challenges in the Implementation of Border Management Policies

8. Are there challenges experienced in the implementation of border management policies in the country?

- a) Yes []
- b) No []

9. By use of a tick (√), indicate your extent of agreement or disagreement on the following statements regarding the challenges faced in the implementation of border management policies.

	Statement	A	UD	D
a.	The agencies involved in border management do not have up to date training on handling various security threats that may be experienced at the border points.			
b.	There is poor coordination among border management agencies due to lack of clear mandates on border management.			
c.	Corruption cases also pose a challenge to the proper implementation of border management policies in the country.			
d.	The infrastructure available for border management purposes is inadequate and this affects the overall implementation of border management policies.			

10. What other challenges are experienced in the border management that may have a threat to the national security?

11. To what extent has the above mentioned challenges in border management posed a threat to the national security?

- a) To a greater extent []
 b) To some extent []
 c) Not at all []
 d) Not sure []

12. What are the measures that can be put in place to address border management policies and national security in the border entry/exit points of the country?

Thank you for your cooperation

Appendix II: Interview Guide

1. What are the existing border management policies in Kenya?

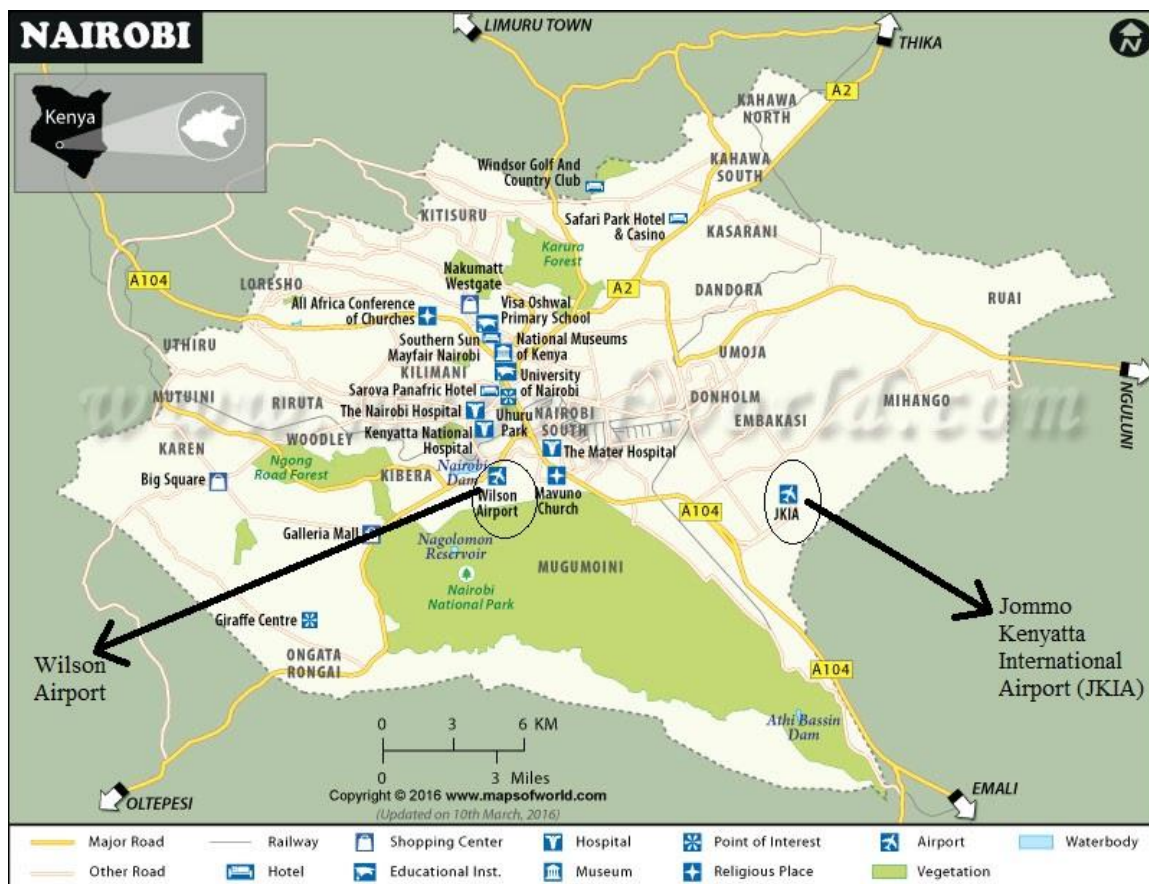
2. How effective are the existing border management policies? Kindly explain

3. What are the challenges facing the implementation of border management policies?

4. What are the measures that can be put in place to address border management policies and national security in the border entry/exit points of the country?

Thank you for your cooperation

Appendix III: Map of the Study Area



Appendix IV: University Research Authorization Letter

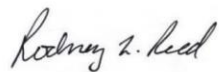


26th May 2020

RE: TO WHOM IT MAY CONCERN

Clare Kerubo Moragori (16S03DMGP002) is a bonafide student at Africa Nazarene University. She has finished her course work and has defended her thesis proposal entitled: - *“Assessment of Border Management Policies on the Implementation National Security in Kenya: A Case Study of Nairobi County”*.

Any assistance accorded to her to facilitate data collection and finish her thesis is highly welcomed.



Rodney Reed, PhD.

DVC Academic & Student Affairs.

Appendix V: NACOSTI Research Permit



REPUBLIC OF KENYA



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1/10/2020

COUNTY COMMISSIONER
NAIROBI COUNTY
P. O. Box 30124-00100, NDI
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