

WASSENAAR ARRANGEMENT MEETING WITH SINGAPORE OFFICIALS

Singapore, 11 July 2017

WA Best Practices & Resources



Ambassador Philip Griffiths

Head of Secretariat

www.wassenaar.org

THE WASSENAAR ARRANGEMENT

On Export Controls for Conventional Arms and Dual-Use Goods and Technologies

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Introduction

The Wassenaar Arrangement (WA) has been established in order to contribute to regional and international security and stability, by promoting transparency and greater responsibility in transfers of conventional arms and dual-use goods and technologies, thus preventing destabilising accumulations. The aim is also to prevent the acquisition of these items by terrorists.

Participating States seek, through their national policies, to ensure that transfers of these items do not contribute to the development or enhancement of military capabilities which undermine these goals, and are not diverted to support such capabilities.

For more information, see the [About Us](#) link.

Click [here](#) to see documents related to the goals and principles of the WA.

[Frequently Asked Questions \(FAQ\)](#)

What's New

[Interview with 2017 Plenary Chair and WA Head of Secretariat, 1 March 2017](#)

[Statement by the Plenary Chair on 2016 Outcomes, 8 Dec, 2016](#)

[Best Practices for Effective Legislation on Arms Brokering](#)

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Vienna, Austria

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Wassenaar, The Hague

Wittenburg Castle - where agreement was reached in December 1995 to establish the Wassenaar Arrangement

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Vienna - where the Wassenaar Arrangement holds its regular meetings and the Secretariat is located

Best practices and guidelines

 [Public Documents, Vol. III – Compendium of Best Practice Documents](#)

Individual Best Practice Documents

Documents of General Use

-  [Elements for Objective Analysis and Advice concerning Potentially Destabilising Accumulations of Conventional Weapons](#)
-  [Best Practices for Effective Export Control Enforcement](#)
-  [Elements for the Effective Fulfilment of National Reporting Requirements](#)
-  [Best Practices for Implementing Intangible Transfer of Technology Controls](#)

Arms Transfers

-  [Best Practice Guidelines for Exports of Small Arms and Light Weapons \(SALW\)](#)
-  [Best Practices to Prevent Destabilising Transfers of Small Arms and Light Weapons \(SALW\) through Air Transport](#)
-  [Elements for Export Controls of Man-Portable Air Defence Systems \(MANPADS\)](#)
-  [Best Practice Guidelines on Subsequent Transfer \(Re-Export\) Controls for Conventional Weapons Systems contained in Appendix 3 to the WA Initial Elements](#)
-  [Statement of Understanding on Arms Brokerage](#)
-  [Best Practices for Effective Legislation on Arms Brokering](#)
-  [Elements for Controlling Transportation of Conventional Arms between Third Countries](#)

Transit/Trans-shipment

-  [Best Practice Guidelines for Transit or Trans-shipment](#)

Demilitarised Military Equipment

-  [Best Practices for Disposal of Surplus/Demilitarised Military Equipment](#)

Dual-Use Goods and Technologies

-  [Criteria for the Selection of Dual-Use Goods, including Sensitive and Very Sensitive Items](#)
-  [Best Practices regarding VSL Items](#)
-  [Best Practice Guidelines for the Licensing of Items on the Basic List and Sensitive List of Dual-Use Goods and Technologies](#)
-  [Statement of Understanding on Control of Non-Listed Dual-Use Items \("Catch-All"\)](#)

Industry and Academia

-  [Best Practice Guidelines on Internal Compliance Programmes for Dual-Use Goods and Technologies](#)
-  [List of Advisory Questions for Industry](#)

End Use and End User Controls

-  [Introduction to End User/End Use Controls for Exports of Military-List Equipment](#)
-  [Statement of Understanding on Implementation of End-Use Controls for Dual-Use Items](#)
-  [End-Use Assurances Commonly Used – Consolidated Indicative List](#)

Applicant Countries

-  [Guidelines for Applicant Countries](#)

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WA BEST PRACTICES GUIDELINES

Examples:

- Introduction to **End User/End Use Controls** for Exports of Military-List Equipment (2014)
- Subsequent Transfer (**Re-export**) Controls for Conventional Weapons Systems (2011)
- **Internal Compliance Programmes** for Dual-Use Goods and Technologies (2011)
- Implementing **Intangible Transfers of Technology** Controls (2006)
- Statement of Understanding on **Control of Non-Listed Dual-Use Items** (2003)
- List of **Advisory Questions for Industry** (2003)
- Best Practice Guidelines for Exports of **Small Arms and Light Weapons (SALW)** (2002, amended 2007)
- Elements for Export Controls of **Man-Portable Air Defence Systems (MANPADS)** (2000, amended 2003 and 2007)

LATEST WA BEST PRACTICES GUIDELINES

2016

- Best Practices for **Effective Legislation on Arms Brokering** (updated)
- Best Practices for **Effective Enforcement** (updated)

2015

- Best Practice Guidelines for **Transit or Trans-shipment**

WA BEST PRACTICES GUIDELINES

Introduction to End User/End Use Controls for Exports of Military-List Equipment

- Factors to consider in designing an end use/end user control component for a national export control system
- To ensure that exported equipment is not diverted
- Different forms – e.g. Govt-Govt agreements; commercial contracts enforceable under national law
- Anti-circumvention measures – to ensure integrity of the assurance

WA BEST PRACTICES GUIDELINES

Subsequent Transfer (Re-export) Controls for Conventional Weapons Systems

- Government-to-Government agreements, end-user assurances and export licences
- Re-exports should require prior authorisation, and an undertaking that they will not be used for other than declared purposes, and will not be transferred to an unauthorised internal end-user
- Also applicable to weapons produced under licence

WA BEST PRACTICES GUIDELINES

Internal Compliance Programmes (ICPs) for Dual-Use Goods and Technologies

- Industry/academia play an integral role in achieving effective export controls
- Governments to undertake targeted outreach and provide encouragement/incentives
- ICPs help exporters to comply with national export controls
- ICPs can be a pre-condition for obtaining a general licence (where available)
- Detailed Annex of elements for inclusion in ICPs

WA BEST PRACTICES GUIDELINES

Intangible Transfers of Technology (ITT) Controls

- “Technology” defined in the WA Munitions and Dual-Use Lists:
 - “Specific information necessary for the ‘development’, ‘production’ or ‘use’ of a product
- May take the form of:
 - Technical data (blueprints, plans, diagrams, etc)
 - Technical assistance (training, consulting services, etc)
- Intangible transmission – oral and electronic
- Measures: design national laws and regulations with clear definitions; promote awareness and “self-regulation” by industry, academia, individuals; post-export monitoring; regular compliance checks; training; sanctions

WA BEST PRACTICES GUIDELINES

List of Advisory Questions for Industry

- Non-exhaustive list intended to guide companies in any export situation
- Intended to raise awareness of potentially suspicious transactions and when contact with national licensing authorities might be advisable
- Do you know your customer?
- Is there anything unusual about the order?

WA BEST PRACTICES GUIDELINES

BEST PRACTICE GUIDELINES FOR TRANSIT OR TRANS-SHIPMENT

Tools may include:

- Establish and apply a transparent legal/regulatory system, including the authority to stop, inspect, seize and dispose of a shipment
- Extend authority to special Customs areas
- Require authorisations for transit or trans-shipment of listed items, as well as unlisted items where reliable information exists
- Utilise an intelligence-led, risk-based approach
- Conduct focused outreach; provide training
- Deploy appropriate screening technologies
- Exchange information with WA partners

ELEMENTS FOR OBJECTIVE ANALYSIS AND ADVICE CONCERNING POTENTIALLY DESTABILISING ACCUMULATIONS OF CONVENTIONAL WEAPONS

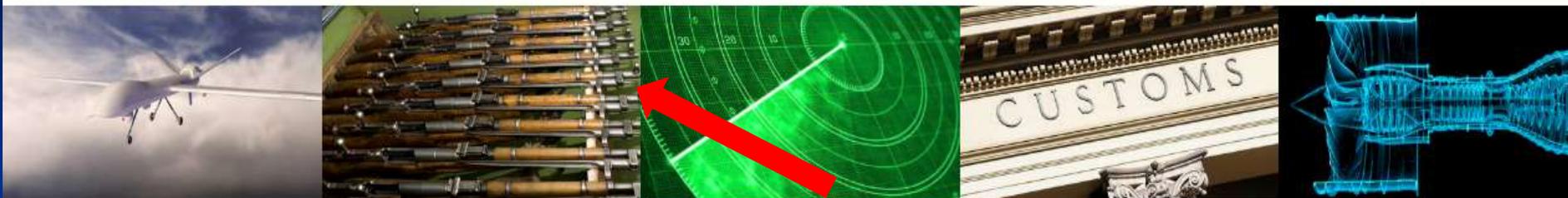
Examples of factors to consider:

- Impact on regional security balance
- Foreign and military policy and non-proliferation commitments of recipient country
- Possible weapons use in human rights violations
- Influence on civil armed conflicts
- Export controls and secure weapons storage in recipient country

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[EXPORT CONTROL DOCUMENTATION](#)

Argentina	Australia	Austria	Belgium	Bulgaria
Canada	Croatia	Czech Republic	Denmark	Estonia
Finland	France	Germany	Greece	Hungary
Ireland	Italy	Japan	Latvia	Lithuania
Luxembourg	Malta	Mexico	Netherlands	New Zealand
Norway	Poland	Portugal	Republic of Korea	Romania
Russian Federation	Slovakia	Slovenia	South Africa	Spain
Sweden	Switzerland	Turkey	Ukraine	United Kingdom

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[General Secretariat for Defence and National Security \(Prime Minister's Office\)](#)

[Ministry of Foreign Affairs and International Development](#)

[Ministry of Defence](#)

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[Customs](#)

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Luxembourg	Malta	Mexico	Netherlands	New Zealand
Norway	Poland	Portugal	Republic of Korea	Romania
Russian Federation	Slovakia	Slovenia	South Africa	Spain
Sweden	Switzerland	Turkey	Ukraine	United Kingdom

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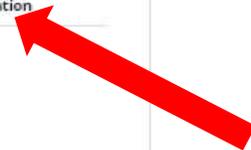
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