

# 24<sup>th</sup> Asian Export Control Seminar

(Tokyo, 21-23 February 2017)

## THE WASSENAAR ARRANGEMENT: RECENT DEVELOPMENTS

*Ambassador Philip Griffiths*

*Head of Secretariat*

*Wassenaar Arrangement on Export Controls for Conventional Arms  
and Dual-Use Goods & Technologies*



[www.wassenaar.org](http://www.wassenaar.org)

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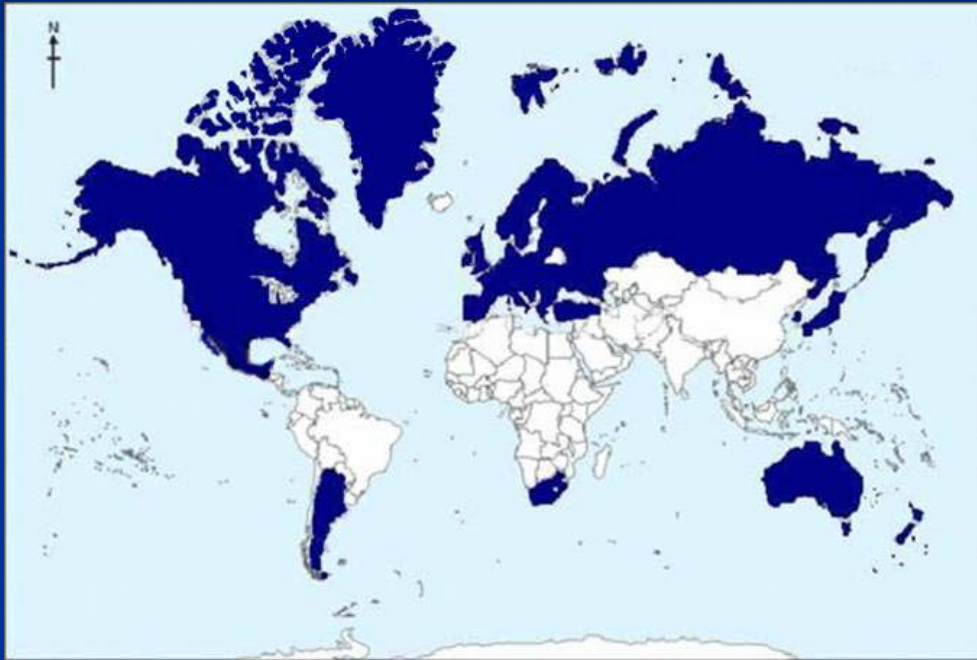
## WASSENAAR ARRANGEMENT

### Purposes:

- To promote transparency and responsibility in transfers of conventional arms and sensitive dual-use goods and technologies
- To contribute to regional and international security and stability
- To prevent destabilising accumulations and the acquisition of these items by terrorists

# WASSENAAR ARRANGEMENT

## 41 Participating States



Wassenaar Arrangement

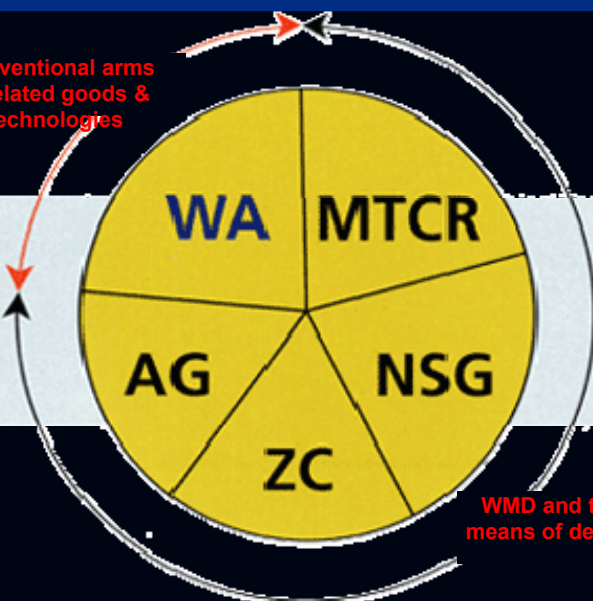
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## WHERE DOES THE WASSENAAR ARRANGEMENT FIT?

**WA: Wassenaar Arrangement (Conventional)**

**AG: Australia Group (Chemical & Biological)**  
**MTCR: Missile Technology Control Regime (Missiles)**  
**NSG: Nuclear Suppliers Group (Nuclear)**  
**ZC: Zangger Committee (Nuclear)**

Conventional arms  
& related goods &  
technologies

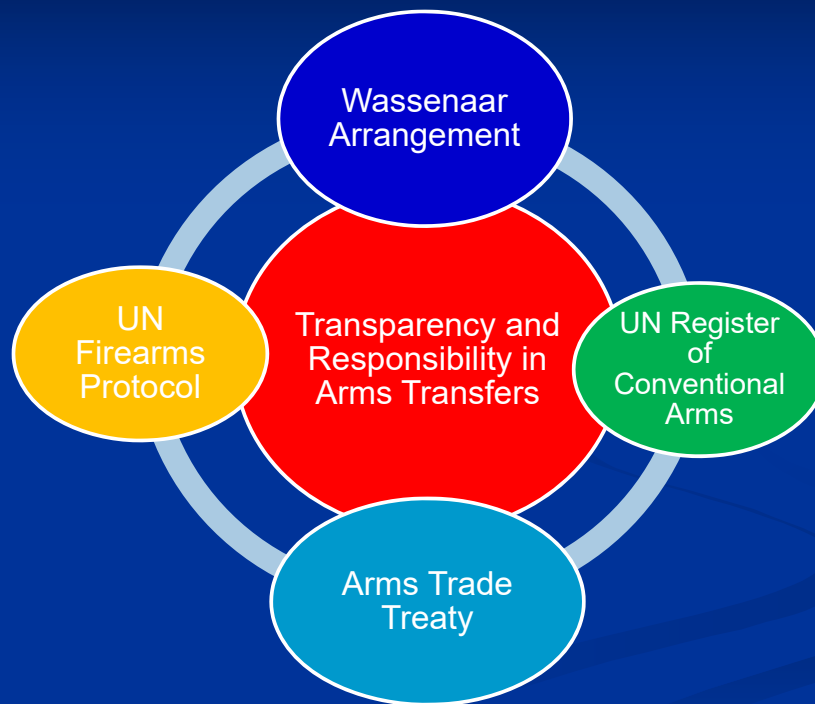


WMD and their  
means of delivery

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# WA AND SOME OTHER CONVENTIONAL ARMS CONTROL INSTRUMENTS



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## WA BASIC COMMITMENTS

Effective Export Controls at the National Level



### WA Collective Work

- WA Munitions and Dual-Use Export Control Lists
- General and Specific Information Exchange
- Best Practices, Elements and Procedures



### National Implementation

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## WA STRUCTURE

### Plenary

Overall decision-making body; 2017 Chair - France

### General Working Group

Policy and procedures; 2017 Chair - Slovenia

### Experts Group

Control Lists; 2017 Chair - Luxembourg

### Licensing and Enforcement Officers Meeting

Practical implementation issues; 2017 Chair - UK

## WA CONTROL LISTS

- Munitions List (approx. 300 entries):
  - including components, accessories, ammunition, production equipment, etc.
- Dual-Use List (over 1,000 entries):
  - Sensitive List (170 entries)
  - Very Sensitive List (80 entries)

\* \* \* \* \*

Non-listed dual-use exports are also controlled in certain circumstances (“catch-all”)

## WA CONTROL LISTS: ANNUAL UPDATING

- To keep up with
  - advances in technology
  - international security developments
  - market trends
- Control List Changes
  - government experts work with industry
  - changes approved by annual WA Plenary
  - updated Lists published, and
  - implemented nationally, including by some non-WA countries

## WA CONTROL LISTS: UPDATING

In 2011-2015 (examples):

New WA controls agreed, or existing controls updated, reflecting fast evolution of communications & space technologies:

- GSM communications equipment
- “cyber tools” (software & technologies for the development of “intrusion software”)
- Internet surveillance equipment
- space equipment

## WA CONTROL LISTS: UPDATING

### In 2016 (examples):

Continued focus on new technologies, e.g.

- additive manufacturing (3-D printing)
- interception devices
- electronic forensic tools

Most significant new/updated controls:

- a high-power explosive
- materials used in reactive armour
- specific electronic components able to withstand extreme environment conditions

## WA CONTROL LISTS: UPDATING

### Also in 2016 (examples):

Clarification of existing controls:

- biological and radioactive agents
- information security
- concept and use of “technology”

Relaxation of controls:

- some machine tools, computers & equipment incorporating information security used in consumer industries

# TRANSPARENCY MEASURES

## General Information Exchange:

- Regional Views exercise
- Discussion of transfer risks and concerns, e.g.
  - Suspicious acquisition/brokering activities
  - Projects and programmes of concern
  - Diversion activities

# TRANSPARENCY MEASURES

## Specific Information Exchange:

- Semi-annual reporting of certain transfers and denials to non-WA members
- 8 categories of arms transfers
- Sensitive dual-use transfers
- All dual-use denials

## BEST PRACTICES GUIDELINES, ELEMENTS & PROCEDURES

- Non-binding guidance for national export control policy and practice
- Available on the WA website
- WA licensing and enforcement officers share experiences with implementation issues, including case studies

## LATEST WA BEST PRACTICES GUIDELINES

### 2015

- Best Practice Guidelines for **Transit or Transshipment**
  - List of tools to help identify and mitigate the risk of illicit diversion
- Elements for the **Effective Fulfilment of National Reporting Requirements**

### 2016

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



## WA & ARMS TRADE TREATY (ATT)

- Wide-spread international acceptance of need for export controls on conventional arms
- Goals of ATT align with those of WA
- WA members ready to share experience & expertise with other countries
- WA Secretariat monitoring opportunities for WA to contribute to international cooperation

## OTHER WA WORK IN 2016

- Regular internal **Assessment** of the WA's overall effectiveness and efficiency:
  - Conclusions adopted by 2016 Plenary
- **20<sup>th</sup> Anniversary** of the WA's inception (1996), including:
  - **Commemorative Event**, 6 December 2016, Vienna
  - **Practical Outreach Workshop**, 27-28 June, Vienna
  - Upgrading of **WA outreach tools** (see website)

# THE WASSENAAR ARRANGEMENT

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

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- CONTROL LISTS
- BEST PRACTICES
- ALL DOCUMENTS
- OUTREACH
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## About Us

The Wassenaar Arrangement 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.

## What's New

Statement by the Plenary Chair on 2016 Outcomes, 8 Dec. 2016

Best Practices for Effective Legislation on Arms Brokering

Best Practices for Effective Export Control Enforcement

List of Dual-Use Goods and Technologies and Munitions List as at Dec. 2016

Summary of Changes to the Lists as at Dec. 2016

WA 20th Anniversary 2016

[READ MORE](#)

## Search

wassenaar.org

## Contact

Wassenaar Arrangement Secretariat  
Vienna, Austria

[CONTACT US](#)



### Wassenaar, The Hague

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

### Vienna, Austria

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



www.wassenaar.org