



**EU P2P**

# Newsletter

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The EU P2P Export Control Programme is managed by the European Commission's Directorate General (DG) for International Cooperation and Development (DEVCO) and the European External Action Service (EEAS).



## Welcome from the European Union

The Eighth Issue of the EU P2P Newsletter covers the period from October 2018 to April 2019. During this reporting period, the EU Partner to Partner Programme (EU P2P) continued promoting cooperation and capacity building in all three main areas of its activity: dual-use export controls, Arms Trade Treaty (ATT) implementation and conventional arms export controls (COARM).

Concerning dual-use outreach activities, several positive outcomes were achieved in the concerned period and other promising developments are in reach. For example, the consortium in charge of the implementation of dual-use activities kicked off its newly established seminars on institutional memory and train-the-trainer concepts with a regional workshop for South East Europe.

Positive signals are transmitted also from South East Asia. To name just few, Philippines adopted the implementing regulations of the Strategic Trade Management Act as of January 2019 while other States in the region are taking steps to adopt and enforce effective dual-use export controls.

At the same time, the various projects under the Targeted Initiatives (TIs) implemented by the Science Centres in Ukraine (STCU) and Kazakhstan (ISTC) are advancing as expected and include inter alia the setup of a master course on exports controls by the Taras Shevchenko National University (TSNU), in Kyiv.

Of note is that Jordan published its amended instructions on export and re-export of dual use goods incorporating also an updated control list which is aligned with the EU one.

On the conventional arms export side, since the last newsletter, we are pleased to report the approval by the Foreign Affairs Council on 9 November 2018 of the 20th EU Annual Report on Arms Exports and its subsequent publication in the Official Journal on 14 December 2018. The Foreign Affairs Council also approved the updated Common Military List (CML) on 18 February 2019, and this was published in the Official Journal on 12 March 2019. Both documents are also available on the EEAS website.

With regards to EU P2P activities on conventional arms export controls, since the last newsletter, the EU continued to be active with its efforts under the two projects, namely the Council Decision on COARM outreach and the Council Decision on Arms Trade Treaty (ATT) outreach. With regards to the ATT project, new long-term partners (Roadmap partners) were taken on for both implementing agencies: Malaysia in the case of BAFA and Nigeria in the case of Expertise France. In addition, a number of new partners took part in ad-hoc activities under the project. This period also saw the preparatory process intensify for the Fifth Conference of the States Parties to the ATT (CSP5), in the form of meetings of the Preparatory Plenary and three Working Groups at the end of January/early February



and in early April, both held in Geneva and chaired by Latvia as President of the Conference.

On 19 November 2018, the Council adopted a new EU Strategy against illicit Firearms, Small Arms & Light Weapons (SALW) and their Ammunition. This new Strategy, that replaces the 2005 SALW Strategy, takes into account the evolved security context and the guiding principles of the 2016 EU Global Strategy. All these events are described in more detail in this Eighth Issue of the Newsletter.

**Eddie Maier**, Deputy Head of Unit, Security, Nuclear Safety, DG International Cooperation and Development (DEVCO)

**Caroline Cliff**, Chair of the Working Party on Conventional Arms Export (COARM), European External Action Service (EEAS)



## Contents

### Export Controls News

#### Dual-Use Trade Control News

Message from the Council's Dual-Use Working Party Chair.....	7
Annual Report on the implementation of the EU Regulation (EC) No 428/2009.....	8
The EU list and its correlation table with the EU Customs Combined Nomenclature.....	8
Adoption of the Regulation 2019/496 granting a Union general export authorisation for the export of certain dual-use items from the Union to the United Kingdom.....	9
The Industry focused strand of the Targeted Initiatives (TIs).....	9
Positive developments in Jordan under the CoE Project No 38.....	12

#### ATT and COARM Trade Control News

Second Experts Meeting.....	13
Second Train-the-Trainer Academy.....	14
Adoption by the Council of the new EU Strategy on SALW.....	14
1st and 2nd Preparatory Meetings for the Fifth Conference of States Parties of the Arms Trade Treaty.....	15

#### Export-Control Events in the EU and beyond

Seventh EU Conference on Non-Proliferation and Disarmament.....	16
13th Export Control Day (ECD).....	17

#### International Export-Control Regimes

Plenary Meeting of the Wassenaar Arrangement.....	18
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## EU P2P: Dual-Use Trade Control Activities

### CoE Project No 64 (North Africa and Sahel, South East Europe and Eastern Europe and Caucasus)

First Dissemination event for Tunisian Authorities.....	19
Workshop on Customs Topics for Kosovo* .....	20
Regional Workshops for South East Europe on Institutional Memory and Train-the-Trainer concepts.....	20
Legal Workshop for Armenia .....	21
Training on Licensing for North Macedonia.....	22
Advanced Training on Customs Issues for Ukraine.....	23
Initial Visit in Belarus.....	23
Advanced Training on Customs for Bosnia and Herzegovina – Commodity Identification.....	24
Legal Workshop for Tunisia.....	24
Legal Workshop for Morocco.....	25

### CoE Project No 47 (South East Asia)

Legal Workshop for Lao PDR.....	26
Workshop on Strategic Trade Control Enforcement for Thailand.....	27
Advanced Enforcement Training for Philippines Customs.....	29
Industry Engagement Event for Lao PDR.....	30

### CoE Project No 38 (Jordan, Lebanon)

Customs Workshop in Amman.....	32
Enforcement workshop for Jordan.....	32

### Other Dual-Use Trade Control Activities

Third Seminar on the "Export Control of Dual-use Materials and Technologies.....	33
Promo-event for the master course on CBRN dual- use technology transfer controls.....	36



## EU P2P: Arms Trade Treaty Activities

### Arms Trade Treaty Outreach Project II (ATT-OP II)

Second Roadmap Activity in the Philippines.....	38
Initial Visit to Sierra Leone.....	38
Sub-regional workshop in Georgia.....	38
Second Roadmap Activity for Colombia.....	39
Customs Capacity Building in Burkina Faso.....	40
Initial Visit to Malaysia.....	40
Study Visit to Paris for Senegal.....	41
Second Roadmap Activity for Zambia.....	42
First Sub-Regional Seminar in the Philippines.....	43
Second Roadmap Activity for Costa Rica.....	44
Interagency exercise for Ivory Coast.....	45
Ad Hoc Activity for Madagascar (legal assistance).....	45
Legislative and Regulatory Assistance Workshop for Benin.....	46
Third Roadmap Activity for Georgia.....	47
Cooperation Activity on the Legal Transposition of the Arms Trade Treaty for Togo.....	48
Ad-Hoc Workshop for Panama.....	49
Ad-hoc Activity for Chile.....	50

## EU P2P: Conventional Arms Export Controls Activities

Regional Workshop on Arms Export Controls for South-East Europe.....	52
Regional Workshop in Tunisia.....	53
Individual Assistance Workshop for Albania.....	53
Individual Assistance Workshop for Serbia.....	54
Regional Workshop in Armenia.....	55





## Export Controls News

### Dual-Use Trade Control News

#### Message from the Council's Dual-Use Working Party Chair

The main topic of the Romanian Presidency's programme continues to be the Proposal for a Regulation setting up a Union regime for the control of exports, transfer, brokering, technical assistance and transit of dual-use items, with the aim of adopting a Council Position.



# romania2019.eu

In this respect, the Working Party on Dual-Use Goods (WPDU) has built on the progress achieved by the Bulgarian and Austrian Presidencies and completed the revision of technical aspects of the proposal. With the support of the European Commission, the Romanian Presidency launched a call for consultations, welcomed by Member States, in view of setting up working subgroups to explore challenging topics like Outreach with Academia and Emerging Technologies.

Also, worth mentioning is the adoption of a regulation, as part of the Contingency Action Plan launched by the European Commission, in order to mitigate the administrative burden for exporters and competent authorities after the withdrawal of the United Kingdom:

*Regulation (EU) 2019/496 of the European Parliament and of the Council of 25 March 2019 amending Council Regulation (EC) No 428/2009 by granting a Union general export authorisation for the export of certain dual-use items from the Union to the United Kingdom.*

In addition, the WPDU endorsed a *Notice to stakeholders regarding the withdrawal of the UK and EU rules in Dual-Use Export Control*, drafted by the European Commission with active participation of all Member States.

Romania is committed to continue its efforts and support next presidencies in their work.

25 April 2019.

Authors: Gabriela Ciupitu, chair of the Council's Dual-Use Working Party Chair



## Annual Report on the implementation of the EU Regulation (EC) No 428/2009

*14 December 2018, Brussels*

Article 23(3) of the dual-use Regulation (EC) No 428/2009 calls for the Commission to submit an annual report to the European Parliament on the activities, examinations and consultations of the Dual-Use Coordination Group (DUCG). This report, prepared by the Commission with input from Member States' in the DUCG, provides information on the implementation of the Regulation in 2017, and includes aggregated export control data for 2016. It is available [here](#).

Author: Stephane Chardon, Policy Coordinator, DG TRADE

## The EU list and its correlation table with the EU Customs Combined Nomenclature

*15 December 2018, Brussels*

### Introduction

The Commission Delegated Regulation updating the Annex I of the EU Regulation 428/2009 -the so-called dual-use list- entered into force on 15 December 2018. The 2018 update of the EU dual-use control list reflects the 2017 amendments from the multilateral export control regimes.

In the EU, all commodities are described by the Combined Nomenclature (CN), published in Annex I to Council Regulation (EEC) No 2658/87 on the Tariff and statistical nomenclature and on the Common Customs Tariff, while dual-use items are described in the Annex I of the Regulation (EC) 428/2009, as amended by (EU) 1922/2018.

The Correlation Table provides a correlation between dual-use codes and CN codes with various levels of uncertainties due to the intrinsic differences in the structures of the two lists. The correlation table is available on DG TRADE [website](#).

The CN code declared on SAD (Single Administrative Document) is the most important data which allows to link the commodity to the potential dual use relevance of the item by means of the correlation table. This can help also awareness raising and risk assessments, since it is not possible to physically check all the exports operations at Customs control point.

TARIC is a multilingual database integrating all measures relating to EU customs tariff, mainly with the aim of collecting the right tariff duties, but also of offering a consolidated database of other non-tariff measures related to: security enforcement (dual-use goods), environment protection (gases that deplete the ozone layer), health (psychotropic and narcotic drugs), safety (dangerous goods), etc. TARIC uses the CN codes for providing operators with a clear view of measures to be taken when importing goods into the EU or exporting goods from the EU. The TARIC database is available on this [webpage](#).

Author: X. Arnes-Novau, Project Officer, DG JRC





## **Adoption of Regulation 2019/496 granting a Union general export authorisation for the export of certain dual-use items from the Union to the United Kingdom**

*27 March 2019, Brussels*

As of 25 March 2019, the EU has adopted the [Regulation 2019/496](#) amending Annex II of the dual-use regulation by including the UK in the list of destinations for which an Union General Export Authorisation might apply. The regulation will start apply from the date that the EU Treaties cease to apply to the UK pursuant to article 50 (3) TEU. More information can be found on the [DG Trade website](#).

Author: C. Charatsis, Project Officer, DG JRC

## **The Industry focused strand of the Targeted Initiatives (TIs)**

### **Introductory Note**

In Issue N. 6 of the EU P2P Newsletter, we introduced you to the European Commission Targeted Initiatives on 'Export Controls of Dual-Use Materials and Technologies' implemented through the International Science and Technology Centre (ISTC) and the Science and Technology Centre in Ukraine (STCU). The ISTC, located in Astana, Kazakhstan, targets countries broadly in Central Asia (Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan, Turkmenistan, Armenia, Georgia, Afghanistan, Pakistan, and Mongolia), while the Kyiv, Ukraine-based STCU serves the GUAM countries (Georgia, Ukraine, Azerbaijan and Moldova).

### **Supporting Industry as an Active Partner in Export Controls**

Most people have only a very vague notion of what export controls are, and an even more vague understanding of how they work. Export controls may not appear to interact with our daily routines, but they nonetheless provide important protections to citizens of the EU and across the world.

Responsibility for developing and enforcing export control regulations rests with those responsible for governance, but also requires the active involvement of economic partners (industry, banks, insurance, universities), as well as engagement by engineers, scientists, economists, and the academic community. Because commerce is at the heart of modern economies -- but has real security risks -- it is important to learn from each other and share good practices and lessons learned through regional and international cooperation.

Cooperating with those who have long experience with export controls, such as the EU, can accelerate the development, implementation, and enforcement of effective regulations and practices. This has been the approach taken under the two Targeted Initiatives (TIs) implemented by the ISTC and STCU.

### **Developing a Common Understanding**

There can be different motivations for supporting export control programmes. At the level of national and interna-



tional security, those responsible for export controls do not want to see technologies, materials, or ideas spread that could create instability or threats. And even though companies want to maximize the benefits of invention and innovation, they have to comply with laws and regulations to ensure that the positive results of science and engineering do not create security risks. Many may think of export controls as applying to only weapons of mass destruction or military goods, but much of the risk lies in the area of dual-used items – things that have both civilian and military uses. For example, certain fire retardants used in the construction industry can also be used to manufacture poison gas. Similarly, teaching people or sharing knowledge about how to use controlled items (intangible or deemed exports) can also fall under export control prohibitions, as can supplying certain types of software.

For all these reasons, it is important to reach out to industry as the EU is doing through the TIs. A useful first step in 2017-2018, was a series of regional workshops at which participants representing government authorities, industry, research institutes, and universities could discuss the international framework for export controls and share with each other how they approached the issue in their own countries. These workshops were dynamic, discussion-driven events that included presentations from outside experts as well as individuals from the participating countries. Some countries described their experience with automated systems for licensing and information, while others discussed national laws requiring Internal Compliance Programs (ICPs) for companies dealing with sensitive goods, technologies, or materials.

(See [EU P2P Newsletter, Issue N. 6, pp 14-16](#))

From those discussions, participants developed an appreciation that often countries or groups seeking disruptive or destructive capabilities don't need obvious things. Perhaps they are looking for information on construction of a particular kind of facility or a better understanding of metallurgy. We explored cases studies of countries like the DPRK, which have their own capabilities, but also had help as documented in the [UN report of February 2017](#) ). The report described how the DPRK got around sanctions with evasion techniques that increased in scale, scope and sophistication. This report documented interdictions that showed how the DPRK used:

- overseas networks
- sophisticated concealment techniques when shipping illicit items
- activities in Africa that were previously unknown involving arms deals
- banks and financial institutions that could move money, people, and goods across borders
- non-DPRK facilitators and front companies to avoid detection
- DPRK official and diplomatic personnel to carry out prohibited sales, procurement, finance and logistics

TI workshop participants also shared their own experiences and how important it is for industry to be an active partner, working together with government organizations, research institutes, universities, and others.



## An Action Plan Develops

As a result of these workshop discussions, some gaps were identified that are now being filled through a variety of projects implemented by ISTC and STCU.

- **Export Control Handbooks** – One of the most immediate needs that was identified was the requirement to make information on national export control laws available, easily accessible, and understandable to a range of communities. The goal of this activity is for each country to produce a Handbook that follows roughly the same format: an overview on international conventions and treaties; national dual-use trade control legal references; national dual-use trade licensing; national customs contacts and information; education and outreach efforts; and national enforcement and prosecution information. These Handbooks are designed to be accessible electronically so they can be updated as national and international regulations change.
  - ⇒ Handbook projects are underway with all four GUAM countries through STCU, and with the Kyrgyz Republic through ISTC, with more in process.
- **Internal Compliance Programmes (ICP)** – Several of the countries participating in the TIs have laws requiring companies to have ICPs, but not all of them have implemented the programmes. In addition, some countries had experience with one area, such as nuclear technologies, but others were more interested in how an ICP would be implemented in the chemical sector. Most importantly, we could identify a model that could be adapted for use in multiple sectors.
  - ⇒ Organizations from Kazakhstan and Armenia joined together to propose a project that would update Kazakhstan's existing ICP implementation guidelines for the nuclear industry, develop a generic model from that process, and then work with Armenia to adapt the model to that country's chemical industry. Once developed, the model will be made available for general use.
- **Specialized Courses** – The TIs work with industries, but also with organizations that represent industries. In Ukraine, the Chambers of Commerce requested a special course that would help their technical staff and staff from industry members understand the special restrictions. Ukraine is a world leader in rockets and space technology, but this same technology can be used illicitly to develop weapons delivery systems, so it is vital that industry and its organizations understand the risks. Under the TI, a special one-week course has been designed that is being implemented under the STCU. The main part of the course will focus on items, technologies, and know-how controlled under the Missile Technology Control Regime (MTCR). Because of Ukraine's use of and trade in nuclear energy technology, the course will include one day on the Nuclear Suppliers Group (NSG), as well as an introduction to controls over Unmanned Aerial Vehicles (UAVs or "drones"). The program expects more of these specialized courses in the future on this and other topics.
- **Glossaries** – Another project area under discussion is the development of a glossary of export control terms. Many of the countries participating in the TIs are aligning their export control lists with the EU single list, but inherited their current lists from Russia/Soviet Union regulations. As many countries are making the transi-



tion to using their own languages for official business and Russian is becoming less common, there is a need to ensure that the terminology is accurate, that commodity codes translate from one system to another, and so forth. This is a very technical challenge, but an important one for future consistent application of export control regulations and the smooth functioning of commerce in the region.

As the TIs enter their second full year, the participants have demonstrated that they have a high appreciation for the importance of the issues we have discussed and are actively developing projects and ideas to fill gaps they have identified in their systems.

Author: Anne Harrington, Senior Consultant/ Project Leader of Industry WP

### Positive developments in Jordan under the CoE Project No 38

The Ministry of Industry, Trade and Supply (MIT), which is the responsible licensing authority for the export and re-export of dual use items in Jordan, published the amended version of the relevant piece of legislation in the Official Journal of the year 2019, page 918.

This publication will replace the Instructions of the year 2009. The amendment of these Instructions was elaborated under considerable input from the EU project. Since 2017 the focus of the project's work was on the amendment and update of the dual use trade control legislation on export and re-export. The adoption of the amended Instructions was enabled largely through a number of events addressing the licensing authority, customs, other responsible ministries and government agencies and industry organised in particular, in 2018. As result of these events and accompanying internal talks the proposed amendment of the Instructions was reviewed several times prior to agreeing in the final version. Part of the amendment is the definition of assessment /decision making criteria for licensing procedures. The adopted provisions and criteria are similar to those commonly applied by modern trade control systems. They, in particular, consider risks of illicit trafficking and the assessment of the end-use and the end-user. Together with the amended Instructions the Jordanian dual-use control list was published as an annex, because the control provisions with respect to listed items make reference to this annex. The updated control list was already published in the Official Gazette end of May 2018. Already then, Jordan fully aligned its dual-use control list with the EU's Annex I (2016 version).

The amended Instructions will enter into force late summer 2019, after a transition period. This period will be used for, in particular, reaching out to the private economic operators that are engaged in cross border trade of dual-use items. Further , the internal operating procedures of the ministries and government agencies that have responsibility in the licensing process will be fine-tuned.

Work on the adoption of control provisions on the transit and transshipment of dual-use items will continue. This



aspect has been part of the project from the beginning and it is pursued in close cooperation with the US Export Control and Related Border Security Program (EXBS).

Author: Werner Knapp, BAFA

## ATT and COARM Trade Control News

### Second Experts Meeting

*6-7 November 2018, Paris*

On November 6 and 7, 2018, Expertise France, together with its co-implementer BAFA, organised the second meeting of experts within the framework of Council Decision (CFSP) 2017/915.

Held in Paris, this event brought together 47 people involved in the second phase of the European Union's activities in support of the implementation of the Arms Trade Treaty (EU ATT OP II).

As the first meeting of experts had focused more on lessons learned (Brussels, January 2018), this time, the implementers placed the emphasis on some outreach tools and training materials that experts could use to address the needs of partner countries:

- A reference framework for reaching compliance with the ATT and for an efficient dissemination of knowledge concerning it;
- Self-learning digital modules to enhance comprehension of the Treaty's key provisions and ways of implementing them;
- A set of legal guidance to help countries introduce ATT obligations in their national legislations;
- A Frequently Asked Questions document to encourage countries to comply with their reporting obligations under the Treaty;
- An exercise to understand the basics of interagency processes associated with arms trade controls.

This event was successful in providing an opportunity, within the expert community, to share experiences, best practices as well as common training materials and tools.

The next meeting of experts will take place in June 2019, in Frankfurt (Germany).

Author: EF Outreach Team





## Second Train-the-Trainer Academy

*8 November 2018, Paris*

On 8 November 2018, Expertise France organised, together with its co-implementing partner BAFA, the second 'train the trainer' workshop within the framework of Council Decision (CFSP) 2017/915.

Held in Paris, this event took place on an extra third day after the meeting of experts, gathering 12 representatives from beneficiary countries and other people involved in the second phase of the European Union's activities in support of the implementation of the Arms Trade Treaty (EU ATT OP II).

In order to enlarge the pool of experts (a pillar of the overall success of the project), Expertise France placed the focus on:

- Key concepts regarding five ATT topics covered in any awareness-raising seminars of the EU ATT OP II:
- Framework for conventional arms transfers;
- Establishment and implementation of a national control system for conventional arms transfers;
- Regulation of conventional arms import, export, transit and transshipment;
- Regulation of conventional arms brokering;
- Transparency;
- Behavioural and pedagogical approaches to become a trainer;
- A practical exercise simulating a training session.

The participants made this event successful, showing strong motivation and involvement in the presentations they had to prepare.

Technical and pedagogical skills acquired by the 12 representatives from partner countries will be a key asset in the programmes' results sustainability.

Author: EF Outreach Team

## Adoption by the Council of the new EU Strategy on SALW

*19 November 2018, Brussels*

On 19 November 2018, the Council adopted a new EU strategy against illicit firearms, small arms and light weapons (SALW) and their ammunition "Securing arms, protecting citizens". Illicit SALW continue to contribute to instability and violence in the EU, in its immediate neighbourhood and in the rest of the world. Illicit small arms are fuelling armed violence and organised crime, global terrorism and conflicts, thwarting sustainable development and crisis management efforts. This is why the EU is committed to preventing and curbing the illicit trade in firearms, small



arms & light weapons and their ammunition and is promoting accountability and responsibility with regard to their legal trade.

The new EU Strategy, that replaces the 2005 strategy, takes into account the evolved security context, including the threat of terrorism inside the EU and developments in SALW design and technology affecting the capacity of governments to address the threat. It also takes into account the guiding principles of the 2016 EU Global Strategy.

Author: Frank Meeussen, EEAS

### **1<sup>st</sup> and 2<sup>nd</sup> Preparatory Meetings for the Fifth Conference of States Parties of the Arms Trade Treaty**

*29 January-1 February 2019, Geneva*

The 1st Preparatory Meeting of the Fifth Conference of States Parties (CSP5) of the Arms Trade Treaty (ATT), the first under the new President of CSP5, Amb. Karklins of Latvia, discussed the topical theme of this year's CSP, namely the gender perspective and gender-based violence in arms export risk assessments; the reports of the three Working Groups (WGs) on Implementation, Reporting and Transparency, and Universalisation, that had met prior to the meeting; the Voluntary Trust Fund; the Sponsorship Programme; the finances of the ATT; the functioning of the Management Committee; and the agenda and programme of work for CSP5. States Parties expressed satisfaction with the work of the WGs and with the more substantive discussions than in the past. In the WG on Implementation, States Parties discussed best practices and challenges in establishing national export control systems and national control lists, the challenges of diversion, and, on the gender perspective, the need for national policies in support of the equal participation of men and women. In the WG on Reporting and Transparency, States Parties discussed the state of play on the submission of national reports, which showed that many Parties had still not reported, and identified some key challenges in this regard. On universalisation, Parties welcomed the milestone reached of 100 States Parties with Mozambique's ratification in December, and encouraged further efforts to increase the number of States Parties from the Asian region and from the major arms exporters and importers. States Parties again expressed concern about the financial situation of the ATT, with a still significant amount of unpaid assessed contributions. The EU highlighted its outreach activities in support of treaty universalisation and effective implementation, and the high standards required by the EU Common Position on arms exports (CFSP/2008/944).

*2-5 April 2019, Geneva*

The 2nd Preparatory Meeting of the Fifth Conference of States Parties (CSP5) of the Arms Trade Treaty (ATT) represented the conclusion of the preparatory process for CSP5, to be held on 26-30 August 2019 in Geneva. Under the Presidency of Latvia, States Parties discussed the thematic focus of his Presidency of gender and gender-based violence (GBV), which is a legally-binding risk assessment criterion for conventional arms exports. States Parties were generally supportive of the Presidency's proposals on GBV and of an ICRC proposal to identify gaps in the implementation of the GBV risk assessment criteria. The discussion concluded with recognition of the need to improve



risk-assessment and risk -mitigation when doing arms transfers that had the potential to result in GBV. The Working Groups on Effective Treaty Implementation, on Treaty Universalisation and on Transparency and Reporting exchanged practical experiences on the implementation of the core provisions, such as the establishment of the legal framework for an effective export control system, risk assessment criteria, long-term record-keeping and the obligation to submit a national report. Various stakeholders shared their universalisation efforts and activities.

The EU's assistance efforts under the ATT EU Outreach Programme II were broadly acknowledged by partners, and especially from the Latin American countries. Industry made several interventions in the debate. States Parties agreed that the participation of both industry and civil society had a positive impact on preventing the diversion of arms. The Preparatory Meeting also discussed institutional issues such as the Voluntary Trust Fund, the Sponsorship Programme, the finances of the ATT and the agenda and programme of work for CSP5. States Parties again expressed concern about the financial situation of the ATT with a still significant amount of unpaid assessed contributions. Regarding the topic of gender, the EU used the opportunity to promote a broader focus on activities addressing GBV in relation to the Women, Peace and Security Agenda and the Resolution 1325. Finally, Argentina announced its interest in presiding over the ATT in 2020.

Author: Caroline Cliff, Chair of the COARM WP, EEAS

## Export-Control Events in the EU and beyond

### Seventh EU Conference on Non-Proliferation and Disarmament

*18-19 December 2018, Brussels*

The seventh EU Non-proliferation and Disarmament Conference took place on 18 and 19 December 2018 in Brussels, gathering high level speakers from public institutions, international organisations and civil society. The Conference, organised by the EU Consortium of independent think tanks since 2012, has become one of the key events on non-proliferation and disarmament worldwide.

In her opening address, High Representative/Vice-President Federica Mogherini said: “Today, the European Union is recognised as a global point of reference for non-proliferation and disarmament. The starting point for our work and our European approach is to treat disarmament, arms control, and non-proliferation as tools of security policy, first and foremost, to look for negotiated diplomatic solutions, to even very serious security challenges. [...] The only way forward on all non-proliferation and disarmament issues is therefore to enforce the existing agreements, to modernise and universalise the current architecture and to expand it with better rules and better guarantees. [...] This is why the European Union and its Member States are a driving force - and will continue to be - to preserve and strengthen the implementation of the Treaty on the Non-Proliferation of Nuclear Weapons as the cornerstone of the global non-proliferation architecture.”



The conference addressed key issues, notably preserving the norm against the use of chemical weapons; regulating the arms trade; the challenges of autonomous weapons; nuclear non-proliferation and disarmament; arms control in outer space; as well as cyber security challenges. Special sessions were devoted also to regional and horizontal issues such as non-proliferation and disarmament in North-East Asia; the work of the EU CBRN Centres of Excellence and the implementation of the EU's agenda in the field of non-proliferation and disarmament.

The conference was attended by over two hundred and thirty participants from some sixty countries and international organisations. A key note speech was delivered by the Director-General of the Organisation for the Prohibition of Chemical Weapons Fernando Arias. Further speakers included NATO Deputy Secretary-General, Rose Gottemoeller, US Assistant Secretary of State, Christopher Ford, Director of the Geneva Branch of UNODA, Anja Kaspersen, International Atomic Energy Agency Chief Coordinator, Cornel Feruță, and NATO Assistant Secretary-General, Antonio Missiroli, besides renowned academics, researchers and officials from around the world. The EU Non-proliferation and Disarmament Conference demonstrated once again the strong EU commitment and support to multilateral non-proliferation and disarmament and the rules-based global order at large.

Author: Emil Kazakov, EEAS

## 13th Export Control Day (ECD)

7-8 March 2019, Berlin

The 13th Export Control Day (ECD) was held in Berlin, Germany from 7 to 8 March.

The annual conference serves as an exclusive interface between practice and policy, providing representatives of the German business sector the chance to meet once a year with representatives from politics, ministries und administration as well as with academics and NGOs to exchange thoughts and discuss important developments in the area of export controls.

Yet again more than 500 high-level representatives of business, politics, finance, the legal profession and science discussed current and future developments of foreign trade law in the German capital under the topic of "Necessities and Risks in Export Controls".

Notably Mr Peter Altmaier, German Federal Minister for Economic Affairs and Energy, gave this year's keynote speech.

Picking up the topic of the conference, this year's forward-looking panel discussion, chaired by a SIPRI representative, focussed on "Export Control: The Future of Europe and Beyond". High-level representatives of France, Italy, Switzerland, United Kingdom and Germany exchanged views about





common goals and challenges faced by European stakeholders.

Also, particular attention was paid to the expectations and concerns in the academic world, as the handling of security-related research and procedures relating to intangible transfers of technology are of major importance – not only for the industry but also in the field of “Academia”.

Furthermore, a closer look was taken on how things stand with regard to the Recast of the EU-Dual-Use-Regulation with perspectives from the EU-Commission (DG Trade) as well as the responsible German Federal Ministry for Economic Affairs and Energy.

As in recent years, the ECD was organized by BAFA, the German Federal Office for Economic Affairs and Export Controls, together with the Centre for Foreign Trade at the Institute for Public Commercial Law at the University of Münster.

Author: Federal Office of Economics and Export Control (BAFA)

## International Export-Control Regimes

### Plenary Meeting of the Wassenaar Arrangement

*5-6 December 2018, Vienna*

The annual Plenary meeting of the Wassenaar Arrangement (WA), chaired by UK, approved the work undertaken during the year by the General Working Group (GWG) and the two Expert Groups, discussed regional issues, with a main issue of discussion being Russian destabilising activities in eastern Ukraine, and the process for selecting the next Head of the WA Secretariat. The Plenary also took a number of decisions based on the GWG report, but several of the latter consisted of rolling over discussion on proposals and best practice guidelines to 2019. The Plenary adopted the updated Control List: this paves the way for the EU to update the EU Common Military List and the Commission to update the Dual-Use Control List. It also agreed the roadmap for the selection of the future Head of Secretariat: the new Head of Secretariat should be appointed by consensus at the 2019 Plenary. On membership, no progress was again made on the nine pending applications. The Plenary also discussed outreach which included approaches to the Asian region and Pakistan. The EU delivered a statement on Ukraine, on membership, and on outreach; and circulated a Fact Sheet on EU outreach activities. As in previous years, the Plenary did not reach agreement on a Plenary Public Statement. Instead, the Chair issued a statement under his own authority.

Author: Caroline Cliff, COARM Chair, EEAS





## EU P2P: Dual-Use Trade Control Activities

CoE Project No 64

(North Africa and Sahel, South East Europe and Eastern Europe and Caucasus)

### First “Dissemination Event” for Tunisian Authorities

*12 – 13 September, 2018*

The implementing consortium of the EU Partner-to-Partner (P2P) Programme on Dual-Use Trade Controls – Project 64 of the EU Chemical, Biological, Radiological and Nuclear (CBRN) Risk Mitigation Centres of Excellence Initiative (CoE) – organised together with the Ministry of Foreign Affairs and the Ministry of Trade of Tunisia and in cooperation with the Export Control and Bor-

der Security (EXBS) Programme of the US Department of State a first event in the framework of the second phase (2017-2020) of the P2P programme, in Tunis, on September 12-13, 2018.

The objective of this event was to support the organisation of the first meeting of the newly created inter-ministerial Working Group set for cooperating with international donors contributing thereby to the enhancement of the national capacities in dual-use goods’ trade control.

The event was opened by Mrs Aïcha Ayari, Chef de Division at the Ministry of Foreign Affairs and Mr. Nabil Arfaoui, Chef de Division at the Ministry of Trade. Eight ministries were represented in the Working Group:



First dissemination event for Tunisian authorities group picture



## EU P2P

export control programme  
for dual use goods

Foreign Affairs, Trade, Justice, National Defence, Interior, Finance (Customs), Industry and Small and Medium Size Enterprises, and Transport. The Working Group members shared their experiences and views with P2P experts and EXBS representatives concerning the basic concepts and mechanisms for the control of international trade in dual-use items. The general consensus is to work in close collaboration with the Working Group, the EXBS and P2P actors towards the elaboration and implementation of a Tunisian trade control system of dual-use strategic items in line with the international best practices.

Author: EF Outreach Team

### Workshop on Customs Topics for Kosovo\*

*25-26 September 2018, Pristina*

A two-day themed event on commodity identification and interagency cooperation took place on 25-26 September, 2018 in Pristina, Kosovo\*, under the EU P2P Export Control Programme for Dual-Use Goods. The aim of this workshop for Customs was to train Kosovar partners in identifying and classifying dual-use items listed under various categories of the EU control list. Moreover, a focus was placed on evaluating measures to or-

ganise, strengthen and enhance interagency cooperation practices.

Three experts from the EU P2P Programme supported the workshop by sharing national practices and providing case studies and practical examples. During the round-table discussions, attendees had the opportunity to further discuss the topics raised in the presentations and cases.

Ten officers from the Kosovar Customs Authority and two officials from the Ministry of Trade and Industry entrusted with the implementation of strategic trade controls took part in the training.

Footnote:

\*This designation is without prejudice to positions on the status of Kosovo, and it is in line with UNSCR 1244 (1999) and the ICJ Opinion on the Kosovo Declaration of Independence.

Author: EF Outreach Team

### Regional Workshops for South East Europe on Institutional Memory and Train-the-Trainer Concepts

*19-20 November 2018, Ljubljana*

The first regional seminar for South East Europe



Regional Workshops for South East Europe on Institutional Memory and Train-the-Trainer concepts group picture





(Albania, Bosnia and Herzegovina, Former Yugoslav Republic of Macedonia, Kosovo, Montenegro, Serbia) and Ukraine under the latest phase of the EU P2P Export Control Programme for Dual-Use Goods, took place in Ljubljana, Slovenia. The workshop was dedicated to the topic of Institutional Memory and was conducted back-to-back with a workshop under the title: "Introduction to the Train-the-Trainer Concept".

On the first day, attendees and EU experts addressed the importance of "Institutional Memory" as a crucial element for fostering sustainability of any system and more particularly of a trade control system. One objective of the institutional memory is also to enable the traceability of decisions taken. This can play a crucial role, especially during the prosecution phase.

The experts and representatives from participating partner countries provided an overview of their respective national practices. As the "institutional memory" mainly consists in guidelines and procedures that enable an institution to organize and preserve the array of tangible and intangible knowledge, discussions were held on the implementation of standard operating procedures, internal training programmes as well as the use of data bases. These are examples of essential tools for implementing the concept of "institutional memory". The regional event aimed also at highlighting that "institutional memory" is not only an issue of setting up rules and procedures, but also requires a constant effort for adapting to the challenges encountered in the day-to-day work of the institution.

The first half of the second day offered a platform to further discuss the various instruments used under the overall umbrella of the term of "Institutional Memory" as well as challenges that arise during the practical implementation of these instruments. The workshop in-

cluded a practical exercise, too. The attendees were asked to split into two break-out groups: the first group was consisted of licensing officials, whereas the second group was made up of customs officials. This approach allowed for in-depth discussions on issues such as how standard operating procedures and the dissemination of relevant information can be institutionalised across agencies involved in export controls.

The second half of day two addressed the train-the-trainer concept and the skills a trainer should ideally have or develop. Moreover, EU experts and several partner countries presented their national training programmes for customs officers. Among the aims of this section of the regional event was to highlight that the training and lifelong professional development of employees is crucial to any organisation's performance. Consequently, the "institutional memory" together with "train-the-trainer" program ensures that the respective staff of an institution is kept abreast of the new developments in their working area. As staff turnover can be frequent, knowledge must be passed on to newly appointed officers. In that regard, institutional memory can be an enabler that needs to be in place.

Author: EF Outreach Team

## Legal Workshop for Armenia

26-27 November, 2018



Legal Workshop for Armenia group picture



## EU P2P

export control programme  
for dual use goods

The implementing consortium of the EU P2P Programme on Dual-Use Trade Controls organised together with the Ministry of Foreign Affairs a workshop on the legal framework of Armenia, Yerevan, on 26- 27 November 2018.

The objective of the workshop was to present and discuss the existing legislation and regulations of Armenia that govern controls over sensitive trade. Armenian experts together with EU P2P trainers exchanged their views concerning international practices in this area and studied the possibilities for enhancing specific controls over the international trade of dual-use items that might contribute to WMD proliferation and other non-peaceful purposes. 8 participants from the Ministry of Economic Development and Investments, the Ministry of Foreign Affairs, the National Security Service and the National Bureau of Expertise shared their experiences and views on the existing legislation, and contributed to defining ways forward for the national dual-use trade control system, on the basis of existing mechanisms, converging with the international best practices.

After fruitful exchanges of views and analysis of the current legal provisions, it emerged that stakeholders in the workshop share similar aspirations as to the way forward for the amendment of the dual-use trade control legal framework in Armenia, consistently with the commitment expressed in the National Action Plan for the implementation of the United Nations Security Council Resolution 1540(2004). The participants committed to engaging with interested parties in the EU and Armenia so as to move this process forward under the EU P2P Programme.

Author: EF Outreach Team

## Training on Licensing for North Macedonia

*11–12 December 2018, Skopje*

In the framework of the EU P2P Export Control Programme for Dual-Use Goods, a Training on Licensing –License Assessment and Practical Matters– was conducted on 11-12 December, 2018, in Skopje, North Macedonia.

The purpose of this two-day themed event was to enhance the existing capacities in the field of dual-use export controls with a special focus on license assessment and the decision-making process related to licensing. In line with this, the sessions were designed to depict the various stages of the licensing procedure and to raise awareness towards potential challenges. Furthermore, in particular the importance of inter-agency cooperation was highlighted and national practices from EU member states were discussed.

The mission was supported by two EU licensing experts who provided a multitude of licensing-related presentations and practical case studies.

In total 18 representatives from the partner country's state authorities entrusted with implementing dual-use export controls attended the workshop.

Author: EF Outreach Team



Training on Licensing for North Macedonia group picture





Advanced Training on Customs Issues for Ukraine group picture

## Advanced Training on Customs Issues for Ukraine

*11-13 February 2019, Kiev*

In the framework of the EUP2P Programme on Export Controls of Dual-Use Goods 2017-2020, the second national seminar for Ukraine took place on 11-13 February, in Kiev.

The focus of the seminar was on commodity identification, risk profiling and audit. The seminar addressed relevant stakeholders involved in strategic trade controls such as the State Service on Export Controls, State Fiscal Service, State Border Guard Service, Security Service and the Institute for Nuclear Research.

In order to fulfil the country's request, the EU experts have prepared different exercises demanding from participants to deal with various case studies to be resolved in groups and with each session followed by a presentation and discussion about the solutions.

The seminar was met with enthusiasm by the attendees and maintained a good level of interaction between the EU experts and the Ukrainian officers over its duration. The seminar aimed at increasing knowledge concerning the modus operandi of offenders and sharing best practices for preventing and detecting illegal trade in dual-use goods.

On the occasion of the seminar, the Targeted Initiative (TI) on the "Export Controls of Dual-Use Materials and

Technologies in GUAM Countries" was also presented.

EU experts from France and Slovenia supported this event by presenting case studies and moderating exercises.

Author: EF Outreach Team

## Initial Visit in Belarus

*18-19 February, 2019*

On 18 February, 2019, members of the Project Management Team of the consortium implementing the EU P2P Programme on Dual-Use Goods and representatives of the Delegation of the EU to the Republic of Belarus conducted their first visit in Belarus. Substantial and constructive discussions took place with the participation of



Initial Visit in Belarus group picture





representatives of the authorities primarily concerned by trade controls: the Ministry of Foreign Affairs, State Military Industrial Committee, State Customs Committee and State Security Committee. Belarus competent authorities showed great interest for the programme especially as regards training and capacity building activities. The details of the activities to be implemented in Belarus will be finalised soon through a dedicated Roadmap.

Author: EF Outreach Team

## Advanced Training on Customs for Bosnia and Herzegovina – Commodity Identification

*5-6 March 2019, Banja Luka*

A two-day themed event on commodity identification was organised in the framework of the EU P2P Export Control Programme for Dual-Use Goods on 5-6 March 2019, in Banja Luka, Bosnia and Herzegovina.

The purpose of the Training Session was to train customs officials and other national stakeholders involved in strategic trade controls in identifying selected dual-use materials and commodities. In addition, useful tools such as the EU control list were discussed in order to facilitate the customs work. In line with this, a roundtable discussion offered a platform to address the issue of developing standardised operating procedures for customs officers as well as ways to enhance inter-agency cooperation with other governmental bodies.

The mission was supported by two experienced EU customs experts by providing presentations on selected dual-use materials and commodities as well as case studies highlighting the practical significance of such a training.

In total 21 representatives

from the partner country's Customs Administration and the Dual-Use Goods Control Commission attended the event.

Author: EF Outreach Team

## Legal Workshop for Tunisia

*25-26 March 2019, Tunis*

The implementing consortium of the EU P2P Programme for Dual-Use Goods organised together with the Ministry of Foreign Affairs and the Ministry of Commerce a workshop on the legal framework of Tunisia in relation to dual-use trade controls, in Tunis, on 25 -26 March 2019.

The objective of the workshop was to have a discussion with the members of the national inter-ministerial Working Group and US experts of the Export Control and Border Security programme concerning the existing legislation of Tunisia that governs controls on trade. In addition, the workshop intended to promote exchanges on international practices in this area and study the possibilities for enhancing specific controls on the international trade of dual-use items that can be diverted to enhance WMD proliferation and other non-peaceful purposes.

The event was opened by Mr. Frank Penaud, representing the Head of the EU Delegation in Tunisia. The National Focal Point of Tunisia for the EU CBRN Centres



Advanced Training on Customs for Bosnia and Herzegovina – Commodity Identification

group picture



## EU P2P

export control programme  
for dual use goods

of Excellence, Colonel-Major Bechouel Lassaad attended the event as well. 11 participants from the ministries of Foreign Affairs, Commerce, Defence, Finance (Customs), Justice, Interior, Industry and Transports (Ports Authority) shared their experiences and views on the existing legislation, and contributed to defining ways forward for the national dual-use trade control system, on the basis of the existing mechanisms and in line with international best practices.

After exchanges of views and analysis of the current legal provisions, the members of the Working Group reiterated their commitment to promote to the highest authority the need to formally initiate work for the development of a national dual-use trade control system, in Tunisia. The participants committed to engaging with interested parties in Tunisia, the EU and the USA to move this process forward with the EU P2P Programme.

Author: EF Outreach Team

### Legal Workshop for Morocco

28–29 March, 2019

The implementing consortium of the EU P2P Programme on Dual-Use Trade Controls organized, together with the Ministry of External Trade of Morocco, a legal workshop on the regulatory framework in relation to dual-use trade controls, in Rabat on 28 - 29 March 2019.

The objective of this workshop was to discuss and amend drafts of regulatory texts according to the orientations contained in the draft Law related to dual-use trade controls, which is entering the final stages of its adoption process. Exchanges took place between Moroccan, European and American experts on international best practices in this area in order to detail the implementing measures of the principles of control to be set by the Law.

The event was opened by Mr. Brahim Ait Addi, Chef de Division at the Ministry of External Trade. Nineteen par-



Legal Workshop for Tunisia group picture

ticipants from the Ministries of External Trade, Interior (including Police, Intelligence), Finance (Customs), Defence (including Gendarmerie Royale), Health (National Centre of Radioprotection), Energy and Mines, Trade, Investment, Industry and Numerical Economy, the Financial Intelligence Unit and the Nuclear and Radiological Safety and Security Moroccan Agency, as well as the United States EXBS programme on border security and trade controls shared their experiences and views on drafts' amendments of a decree organising the national control system and an arrêté establishing the list of dual-use goods and technology.

The general consensus is to continue working, in parallel to the finalisation and adoption of the provisions of the draft Law, on the elaboration of the implementing regulations. All the stakeholders are committed to working with interested parties in the EU and in coordination with other international donors to move this process forward under the European Union P2P Programme.

Author: EF Outreach Team

### CoE Project No 47 (South East Asia)

#### Legal Workshop for Lao PDR

18-19 September 2018, Vientiane





Legal Workshop for Morocco group picture

On 18 - 19 September 2018, the third workshop on “the legal framework of dual-use trade controls in Lao PDR and its perspectives” was organized in Vientiane, Lao People’s Democratic Republic.

The event was opened by Mr Soulinhon Philavong, Director General of the Department of Import and Export of the Ministry of Industry and Commerce and Ambassador Leo Faber, Head of the EU Delegation in Lao PDR.

The objective of this workshop was first to introduce the newly established inter-ministerial Working Group of the National Trade Facilitation Committee tasked with the elaboration of the dual-use trade management system including the main procedures and mechanisms of control over dual-use trade, as well as of a draft De-

cree setting the overarching principles of the system. Most importantly, the workshop intended to discuss and amend the current drafts taking into account the views of the Working Group.

The general consensus is to set the principles of the national dual-use trade control system in a government decree organizing the roles and competences of the key stakeholder Ministries and the inter-ministerial coordination for controlling the international transactions involving dual-use items or technology, and to implement them through appropriate regulations and guidelines. The experts committed to continue supporting the Working Group to bring this process to a successful end, under the EU P2P Programme.

Author: EF Outreach Team



## EU P2P export control programme for dual use goods

Legal Workshop for Lao PDR group picture



### Workshop on Strategic Trade Control Enforcement for Thailand

9-12 October 2018, Bangkok

A "National Workshop on Strategic Trade Controls Enforcement (STCE) for Thai Customs Officials" was organised by Expertise France (EF), the lead organisation of the consortium in charge of the implementation of the EU P2P Programme on Dual-Use Goods. This is an activity under Project 47 of the EU CBRN Risk Mitigation CoE Initiative. The workshop was held in Bangkok, Thailand, on 9 - 12 October 2018.

The Workshop was opened by Ms. Nunthita Sirikup, Director of Human Resources Management of Thai Customs. Ms. Sirikup called the participants to absorb the transferred knowledge on strategic trade controls of

dual-use goods as it is new to Thailand. She reiterated that this workshop will be useful for Thai customs when the dual-use legislation is adopted, implemented and enforced- Thailand hopes to enforce the law by 1st January 2019. The participants were informed about the international legal basis of controls over exports and re-exports, transit and

transshipment, brokering and provision of technical assistance which is an international obligation for all UN member countries under the United Nation Security Council Resolution 1540 of 2004 (UNSCR 1540). Therefore, it has become an obligation for Thailand to adopt and implement a trade control system covering all relevant aspects specified in the UNSCR1540. Ms. Sirikup noted that this workshop is an important activity for Thailand so as to become familiar with and adopt international best practices in customs procedures addressing thereby proliferation risks linked to the trade of dual-use goods.

A representative from the EU Delegation informed the participants of the various initiatives undertaken by the EU in its 'anti-proliferation' efforts that are specifically aimed at making the world safer from WMDs. In this regard, the EU has allocated substantial funds to assist countries to build capacities and expertise in li-





## EU P2P

export control programme  
for dual use goods

censing, enforcement, commodity identification, investigation and prosecution in dual-use controls. This cooperation/assistance is made available to all countries who wish to become part of this effort - both to countries that are in the process of adopting dual-use controls and to countries that have adopted the laws but they still need to strengthen their capacities. The representative from the EU Delegation called upon Thailand to join the growing list of countries that have adopted export controls of dual-use goods.

The objective of this workshop was to strengthen the knowledge of frontline officers from the Customs Department who work in ports, airports and other border crossing points in Thailand in identifying dual-use goods. After this workshop, it should be easier for the thirty participants to take necessary actions to control import and export of radiological and nuclear material, poisons, chemicals and biological agents, and to stop illicit trade that may contribute to global proliferation of

dual-use items. Dual-use describes equipment, knowledge, technology and material that is intended for good purposes but could potentially also be misused to harm humans, animals or the environment.

The four-day workshop is an adaptation of the World Customs Organization Strategic Trade Control Enforcement (STCE) curriculum training by the EU P2P Export Control Programme to specifically address the needs of Thai Customs. The training was provided by four experts with wide experience and knowledge in dual-use goods and trade. The workshop exposed the enforcement officers to the EU control list and the characteristics, packaging and markings usually found in/on various dual-use materials and items. It highlighted what to look out when customs come across items that may be dual-use in nature. It also stressed the inter-agency effort required to enforce controls over strategic goods and items.

Thailand has already adopted a draft legislation on dual-



Workshop on Strategic Trade Control Enforcement for Thailand group picture





use controls. The draft is currently under judiciary review before being presented to the Thai Parliament for approval. The country hopes to implement and enforce controls on dual-use goods by 1 January 2019.

Author: EF Outreach Team

## Advanced Enforcement Training for Philippines

*12–14 November 2018, Manila*

The implementing Consortium of the EU P2P Programme on Dual-Use Trade Controls, led by Expertise France, organised an “Advanced Enforcement Training for Philippines Customs Officers” on Commodity Identification; Risk Assessment; Profiling, Targeting and Audit. The training was held in Manila, Philippines from 12 to 14 November, 2018. The Philippines partner for the training was the Bureau of Customs of the Philippines.

The objectives of the training was to familiarize participants with the process of:

- a) identifying indications of the dual-use nature of a commodity in order to be able to appropriately detain for further checks and reach back;
- b) determining the dual-use nature of a commodity based on the EU dual-use regulation technical specifications;
- c) risk management and profiling to determine the dual-use nature of a commodity based on the EU dual-use regulation technical specifications;
- d) audit planning and methods and specialized knowledge necessary to conduct audits of dual-use items including to locate source of information, to highlight some type of irregularities, importance of audit and exchange of information

and ability to assess the current state of implementation of audit in the country.

Twenty five participants from various branches of the Philippines Bureau of Customs participated in this training. Most were frontline officers from several international ports and airports of the Philippines. Among them, there were officials involved in customs clearance and risk assessment and profiling from the Manila Port, Cebu Port, Manila International Container Port, Ninoy Aquino International Airport, Customs Intelligence Group and Customs Headquarters. Three EU Experts under the EU P2P Export Control Programme conducted the training. The training was interactive as it used hands-on and table-top training exercises.

The Philippines adopted the Strategic Trade Management Act (STMA) in 2015 and the Implementing Rules and Regulations in 2017. The STMA is a comprehensive law wherein controls are imposed on export, transit, transshipment, brokering, provision of technical assistance and technology transfers of strategic items that are dual-use in nature. In addition, the Philippines has also decided to implement controls over imports of dual-use items. The control list used by the Philippines is the EU control list. The STMA received final clearance for implementation from the National Security Council-Strategic Trade Management Committee (NSC-STMCom) in September 2018. It will be officially enforced on 1st January 2019.

Author: EF Outreach Team

## Industry Engagement Event for Lao PDR

*17–18 December 2018, Vientiane*

Within the framework of the EU CBRN Risk Mitigation



## EU P2P

export control programme  
for dual use goods



Advanced Enforcement Training for Philippines Customs group picture

CoE Initiative, the EU P2P Programme for Dual-Use Goods organised a twofold "Industry Engagement Event" in Vientiane, Lao PDR on 17 - 18 December, 2018. The Industry Engagement event is a meeting between EU industry experts and the Laotian authority who leads the process of adopting and implementing legislation on dual-use export controls, as well as representatives from national industry with a view to sharing experiences and best practices and industry norms concerning the adoption, implementation and enforcement of strategic trade controls on dual-use goods. Two industry experts from two leading European multinational companies and one expert from the EU P2P programme participated in this event.

The first day of the event was focused on interactive sessions between EU industry experts and the Lao authorities on how Industry and Government could work

together for the successful implementation and enforcement of dual-use export controls. This session was attended by thirty participants representing the ministries and agencies concerned by the topic of trade controls: Industry and Commerce; Health; Agriculture; Trade; Foreign Affairs; Science and Technology; Environment; Customs and Excise; Research and the Attorney General Chambers.

Mr Soulinhon Philavong, Director General of Import and Export Department of the Ministry of Industry and Commerce of Lao PDR representing the Government of Lao PDR opened the meeting with the authorities. Mr Philavong spoke of the ongoing efforts being taken in Laos to adopt the legislative framework on export control of dual-use goods. He briefed the meeting on the state of play of the implementation of the Roadmap and Laos' commitment to have the legislation in place by the third





## EU P2P export control programme for dual use goods

quarter of 2019. In this regard, he thanked the EU for the assistance it has provided so far to accelerate the process of adopting the legislative framework. He provided the assurance that Laos will try to stick to the timeline foreseen in the Roadmap in order to join the countries who are in compliance with the UNSCR 1540. He also expressed his country's appreciation for the EU efforts to build critical capacity and knowledge within the Government and to help outreach to industry as well. He requested the EU to continue providing support to Lao PDR also after the adoption of the legislation as the following phase will require foreign assistance to implement dual-use export control effectively.

His Excellency Mr. Bounmy Manivong, Vice Minister of Industry and Commerce of Lao PDR opened the second day of the event with industry. In his opening remarks, H.E. Manivong shared his appreciation to the large number of participants from the industry attending this session, in particular to share best practices and experiences with the EU industry experts. He emphasised the importance of industry-government partnership and cooperation to effectively implement dual-use controls. He thanked the EU for arranging this meeting with industry. As he observed, "the meeting offers ample opportunities to enhance networking and cooperation between the government and industry which would be critical when Laos implements and enforces the dual-use control legislation". He also asked from industry representatives to provide inputs to the draft law that would be soon published. Fifty participants representing a wide

cross section of Laos industry participated in this outreach to industry. Stakeholder agencies representing the Laos authorities were also present in order to provide updates and answer questions posed by the Industry. The sessions between the EU industry experts and Laos' industry was very interactive. Most of the questions asked by the participants concerned best practices and how export control on dual-use goods is implemented in the EU.

This Industry Engagement Event is expected to enhance the cooperation between the Lao PDR government and industry to effectively implement dual-use controls in the country. Both the authorities and industry took advantage of the presence of the EU industry experts to get insights into best practices and industry norms as practised in the EU. The presence of the EU industry experts at this event constituted also an actual demonstration of the importance of public-private sector partnership in the implementation of export controls that is mutually beneficial to both parties.

Author: EF Outreach Team



Industry Engagement Event for Lao PDR group picture



CoE Project No 38 (Jordan, Lebanon)

### **Customs Workshop in Amman**

*11–12 December 2018, Amman*

The customs workshop for the Hashemite Kingdom of Jordan took place on 11-12 December 2018, in Amman, Jordan. The workshop was conducted in cooperation with the EU dual-use programme and the US EXBS programme.

The project brought together national stakeholders from the Jordan Customs Department mainly posted at the border crossing points of Karameh, Jaber and Yard 4 in Aqaba and Queen Alia Airport air cargo customs houses, the Jordan Ministry of Industry, Trade and Supply (MIT) and the Aqaba Special Economic Zone Authority (ASEZA).

The overall aim of the workshop was to elaborate procedural agreements concerning cooperation between different actors involved in the implementation of controls. On the first day, the focus was on the draft control concept note for transit and transshipment, the amended procedure on the control of export and re-exports of dual-use items and the required information for granting a license as well as for processing an application for customs clearance of cross-border movements. The topics were presented and discussed by the participants.

On the second day, two practical case studies were presented by the EU experts and discussed with the Jordan participants. The case studies provided the impetus to discuss the cooperation between licensing and customs authorities in controlling cross-border movements of dual-use items. The case studies helped also to draw comparisons with the procedures applied in Germany

and Hungary.

The workshop ended with a contemplation of the discussed topics and an open discussion concerning future activities. It became evident that more training for customs officers is required.

The event was supported by experts from Hungary and Germany.

Author: BAFA Outreach Team

### **Enforcement workshop for Jordan**

*18–19 February, 2019 Aqaba*

On 18-19 February 2019, a workshop mainly for personnel from the Free Trade Zones in Aqaba was conducted jointly by the EU Centres of Excellence Project (CoE#38) and the US EXBS Programme in Aqaba, Jordan.

It was the first event targeting Free Trade Zones (FTZ) representatives and affiliated customs offices' representatives. In Jordan, FTZs and Special Economic Zones are becoming increasingly important in both political and economic terms.

The Government of Jordan recently decided to establish two new Special Economic Zones in order to facilitate the trade activities with neighbouring countries (and through these to ease the transportation route to the European single market). FTZs according to the present legislation operate mostly without internal trade controls being applied (generally, customs exercise their authority at the entry and exit point only). The event aimed at encouraging FTZ representatives to invest in setting up –internal– procedures and mechanisms that will allow them to exercise controls over the internal FTZ activities thereby making them less vulnerable in





becoming – unintentionally – involved in sensitive cross border trade.

The first day of the event included presentations by both the EU and EXBS on general aspects of Strategic Trade Controls, as well as specific issues regarding export/re-export, the control list and transit/transshipment controls. Furthermore, a representative from the Aqaba Special Economic Zone Authority (ASEZA) provided an overview of their work.

The second day started with a presentation concerning Free Trade Zones and their relevance for STC.

Afterwards, the audience was split into three breakout groups to work on three case studies concerning export/re-export, transit and transshipment. The workshop concluded with a reporting session from the groups and closing remarks.

More than 30 participants from the FTZ in Aqaba and Jordan's Customs Department attended the workshop.

The workshop was supported by experts from Hungary, the United Kingdom and the United States.

Author: BAFA Outreach Team

## Other Dual-Use Trade Control Activities

Targeted Initiatives (TIs) for GUAM and Central Asian Countries

### Third Seminar on the "Export Control of Dual-Use Materials and Technologies

*5-6 November 2018, Yerevan*

On November 5-6, took place in Yerevan (Armenia) the Third Seminar of the TI on CBRN Export Control on Dual-Use Materials and Intangible Technologies in Central Asia.

The over 100 participants from Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, Armenia, Georgia, Afghani-



Enforcement workshop for Jordan group picture





stan, Pakistan, Uzbekistan and Mongolia listened to the updates of the implementation of the TI and the progress achieved under the various projects undertaken in the framework of the Initiative.

The Conference started off with an update on the progress achieved in the different WPs under the TI: the set-up of a master course, the grant of PhD scholarships, the engagement of research community and the build of ICP models tailored to the nuclear and chemical sectors for Kazakhstan and Armenia respectively. The master course in the KAZGUU university is expected to start as a pilot in 2019 while the PhD student from Kazakhstan has settled in University of Liege and has started her research. The Project for the development of ICP models for Armenia and Kazakhstan has been approved and it will start soon. The Nuclear Technology Safety Center of Kazakhstan and the National Bureau of Expertise of Armenia are in charge of the project on ICPs. The Nuclear Technology Safety Center of Kazakhstan is going to table an additional proposal for the development of a Glossary defining main export control terms and concepts soon. In addition, the Kyrgyz Republic provided to the Project Coordinator with a number of project proposals that could be implemented under the Initiative.

The centrepiece of the seminar was a tabletop exercise (TTX) designed to make participants to reflect about different types of legislative and regulatory measures necessary to prevent the illicit transfer of CBRN and dual-use technologies or mitigate the consequences of such a violation. Situated in a fictitious continent, one country was accused of constructing a chemical weapons factory despite being a Party to the Chemical Weapons Convention. The participants were divided in four

breakout groups representing two other countries of the continent: the first one was a supplier of dual-use technologies to the allegedly proliferator country; the second represented a transit country. The task entrusted to each breakout group was to act as an advisory body to the government's country. Spread over two half-days, participants were faced with an evolving crisis scenario challenging them to come up with short-term solutions to address the unfolding crisis or, to identify gaps in the national regulatory system and its implementation and, suggest solutions. The different groups had to report their findings in plenary at the end of each phase of the exercise. The participants, with professional backgrounds in relevant government offices, academia, sciences or industry, came to appreciate their responsibilities and the complexities they would face both as public authorities and as individual professionals and scientists. The TTX ended with an overview of areas and types of international assistance available to address questions on the control of dual-use technology transfers.

Following this, the second half of the last day was dedicated to WG discussions with representatives from 1.) research community 2.) academia and 3.) industry. Representatives from governments were distributed in all three groups.

Several of the themes discussed during the TTX were raised also during the discussion of the research community working group. The discussion proved fruitful and lively and, several aspects of the impact of export controls on day-to-day working practices of researchers were discussed. Among other things the group explored: restricted access to materials such as reagents; the need to broaden outreach to technicians; an ICP for



Third Seminar on the "Export Control of Dual-use Materials and Technologies group picture

academics; and various forms of train-the-trainer scenarios to leverage dissemination and impact of education and outreach efforts.

The working group for academia built on the outcomes of the TTX as well. Several participants expressed interest in hosting a master course on CBRN dual-use transfer controls and were advised to contact the ISTC to explore the possibility to initiate such projects. An important part of the discussion concerned how the proposed master course differs from many other international initiatives in support of science and technology development in Central Asia. This led to an in-depth elaboration of the course's objectives, educational methodologies, and target audiences. The working

group formulated several concrete proposals for future activities for consideration by the ISTC.

The industry working group included participants from industry, chambers of commerce, and research institutes that work with industry. Reflecting on the TTX, they all agreed that there should be more opportunities for exercises like that, especially ones that explore issues like the dual-use challenges of biotechnology and the life sciences, and scenarios that are based on actual case studies of deliberate or accidental circumvention of dual use regulations. Other ideas for future projects include technical guidelines for commodity identification, additional development of export control terminology glossaries, and specialized training for target au-



diences, including customs officers, particularly to familiarize them with new technologies.

Overall, the seminar was a very productive one. It was agreed to continue working under ongoing projects and take on additional ones. There is for instance an idea to set up a module for responsible science and a master course in an Armenian university. Furthermore, Mongolia, Georgia, Kyrgyzstan and Armenia offered their participation in the Glossary project mostly by translating it to their national languages. The next meetings will be dedicated to research community and industry and they will be held in dates and places to be announced soon.

Author: Christos Charatsis, Project Officer, DG JRC

Maria J. Espona, DG DEVCO Consultant, ISTC Project Coordinator

### **Promo-event for the master course on CBRN dual-use technology transfer controls**

*5-6 April 2019, Kiev*

On 5–6 April 2019, the Department of Entrepreneurship in the Faculty of Economics of the Taras Shevchenko National University (TSNU) in Kyiv held a promotional event for the forthcoming master course entitled ‘Economic Security of Entrepreneurship: Export Control Rules of Dual-Use Goods and Technologies’. Issue #7 of the EU P2P Newsletter contains a description of the development of the master course financed by the European Commission as part of a Targeted Initiative on ‘Export Controls of Dual-Use Materials and Technologies’ whose implementation has been entrusted to the Science and Technology Centre in Ukraine (STCU). The Kyiv-based STCU serves the GUAM countries (Georgia, Ukraine, Azerbaijan and

Moldova).

The 2-year master course is now scheduled to start on 2 September 2019. The Department of Entrepreneurship elected to include six of nine proposed modules in the programme. Visiting professors will teach the two introductory modules in September and the four substantive modules between February and April 2020. TSNU academics will organise the three remaining seminar modules. The visiting professors will also cooperate closely with local academics with a view of enhancing Ukrainian academic capacity in the specialised field of dual-use technology transfer controls and transferring ownership of the course to the TSNU.

The Promo-event advertised the course to senior TSNU management, academics and students. It comprised two half days. The presentations addressed the course’s purpose and offered a taste of the module contents.

On Friday afternoon, 5 April, two of the envisaged Visiting Professors addressed the audience. Dr Jean Pascal Zanders (Belgium) first gave a humorous introduction as to why even the export of an everyday chemical can cause a major worry in the prevention of the re-emergence of chemical weapons. He then proceeded to explain the concept of ‘technology’ and how the Chemical Weapons Convention addresses the dual-use problem via the General Purpose Criterion. In a second presentation later in the afternoon, he discussed a case study of CW proliferation as a way to identify the different types of actors who may be involved in illicit technology transfers.

Dr Şebnem Udum (Turkey) reviewed the challenges





## **EU P2P** export control programme for dual use goods

and risks posed by nuclear technology and the various legal instruments designed to prevent misuse in weapon development or for criminal and terrorist purposes. In her second presentation she focussed on proliferation threats and discussed the Abdul Qadeer Khan network as a concrete example.

The next morning two Ukrainian Professors of the Institute for Nuclear Research of the Academy of Science, Dr Vladimir Davidivskij and Igor Anokhin (also consultants to the EU P2P project) introduced participants to nuclear security and the practice of export controls in Ukraine. A large contingent of the Ukrainian armed forces joined the audience, part of an effort to promote a culture of responsibility also among the military. In an extensive discussion session that followed both introductions, TSNU professors who will eventually take over teaching of the modules and students showed their interest in the course by asking many questions about its integration into the faculty's overall programme and the prospects for individual careers.

Author: Dr Jean Pascal Zanders, The Trench



## EU P2P: Arms Trade Treaty Activities

### Arms Trade Treaty Outreach Project II (ATT-OP II)

#### Second Roadmap Activity in the Philippines

*10 - 11 October, 2018, Manila*

Following the entry into force of the Implementing Rules and Regulations of the Strategic Trade Management Act, thus paving the way for the national implementation of the Arms Trade Treaty provisions, the second Roadmap activity for Philippines was co-organised by Expertise France and BAFA in the second phase of the EU ATT Outreach Project II (EU ATT OP II).

The activity was dedicated to the exchange of best practices for the implementation of the principles and mechanisms contained in the treaty, in accordance with the legal and institutional settings foreseen by the newly adopted legislation.

In addition, and as the Philippines is facing a regional environment with arms-related security challenges, working at a sub-regional level is a commitment expressed by the national partners under the coordination of the Office of the Special Envoy on Transnational Crime. This activity, therefore, enabled the definition of the themes of the first sub-regional workshop, to be organised jointly by the Philippines and the EU ATT OP implementers.

The event achieved a high level of satisfaction and the first sub-regional activity took place in December 2018 (see below).

Author: EF Outreach Team

### Initial Visit to Sierra Leone

*22-23 October, 2018, Freetown*

Following preliminary exchanges between the Sierra Leone National Commission on Small Arms and the EU, an initial visit was organised in the framework of the EU ATT Outreach Project co-implemented by Expertise France and BAFA, in Freetown on 22 and 23 October 2018.

The event was used as an opportunity to exchange information on the EU-OP II and its potential contribution to support the national arms trade control system. The visit also provided the EU implementers with an insight into the current state of play concerning the Sierra Leone control framework and its prospects for amendment in light also of the national efforts to fully comply with the provisions of the Arms Trade Treaty. As the EU ATT OP II seeks to support these efforts, the visit contributed to the elaboration of a Roadmap, listing activities that could be implemented jointly.

The Roadmap, as an outcome of the visit, is presently under discussion by the concerned authorities in Sierra Leone, together with the possibility to organise a first awareness-raising event aimed at key national stakeholders for the control of arms transfers.

Author: EF Outreach Team

### Sub-Regional Workshop in Georgia

*24-25 October 2018, Batumi*

The first Sub-Regional Workshop for Georgia within the second phase of the EU ATT OP took place on 24-





25 October in Batumi, Georgia. State officials from Georgia, Kazakhstan and Ukraine participated.

Georgia as a long term partner country plays a crucial role in regional outreach by further liaising with its close neighbouring countries which could encourage south-south cooperation over the longer term.

Therefore, Georgia will host two sub-regional workshops over the course of the project.

The topics of the first Sub-Regional Workshop included the universalisation of the ATT, transit and transshipment, as well as industry outreach. Furthermore, the meeting aimed to foster regional cooperation by providing a platform for information exchange and for jointly identifying priorities within export control.

The Sub-Regional Workshop was implemented by BAFA and supported by experts from Hungary, Lithuania, the Czech Republic and Sweden, the CARICOM IMPACS as well as by a representative from the ATT Secretariat. Around 40 participants engaged in active discussions

during the two-day workshop.

Author: BAFA Outreach Team

## Second Roadmap Activity for Colombia

*29- 30 October, 2018, Bogota*

On 29-30 October 2018, the Second Roadmap Activity for Colombia under the second phase of the EU ATT OP was conducted in Bogota, Colombia.

The Second Roadmap Activity entitled "The human factor in the implementation of the ATT in Colombia" was supported by five experienced export control experts from Costa Rica, Sweden, the Netherlands and United Kingdom.

This two-day workshop offered an analysis of methods that contribute to improving risk assessment capabilities concerning arms transfers. In addition, best practices to address the risk of diversion under different operations while transferring arms (transit, transshipment



Second Roadmap Activity for Colombia group picture



and brokering) were presented, and assistance for the implementation of a national control list -including the ammunition list- was also provided.

Likewise, the issue of the obligation to submit reports on authorised and cleared exports and imports of conventional weapons was discussed.

Considering that Colombia has repeatedly expressed interest in working more closely with its neighbouring countries on issues that are not merely national, but cross border (as in the case of arms transfers), and given that Chile faces similar threats and challenges to Colombia in the field of security, it was decided that five representatives of the Government of Chile who play a key role in the implementation of the ATT in their respective country, would participate in this workshop.

This activity not only sought to assist Colombia and Chile to effectively implement the ATT, but also promoted regional cooperation in Latin America.

The event was attended by 20 representatives from various ministries and agencies of Colombia and five delegates from Chile.

Author: BAFA Outreach Team

## Customs Capacity Building in Burkina Faso

*21–22 November, 2018, Ouagadougou*

Supported by Expertise France throughout the second phase of the EU's outreach activities in relation to the implementation of the ATT, Burkina Faso hosted, on 21-22 November, the second workshop, in line with its assistance Roadmap.

Organised in Ouagadougou and attended by 20 mem-

bers of the Burkinabe Customs, the workshop focused on:

- The pivotal role Customs play;
- Control systems to regulate the transfer of conventional arms;
- Measures to prevent illicit trade and the diversion of authorised arms trade (particularly to armed non-State actors);

To address the above-mentioned topics, Expertise France selected a team of French experts from Customs and the Ministry of Defence. In addition, the local partner, the High Authority of Import Control of Arms and their Use (HACIAU), invited several national speakers.

The workshop achieved its initial objectives. By sharing best practices and giving technical advice, the trainers made this two-day event interactive and valuable for the attendees.

The stakes and issues identified through the numerous exchanges with the participants will also help Expertise France to continue address the specific needs of Burkina Faso, a country resolutely committed to the effective implementation of the ATT.

Author: EF Outreach Team

## Initial Visit to Malaysia

*28–29 November 2018, Kuala Lumpur*

The Initial Visit to Malaysia was organised by BAFA in the framework of EU ATT OP II and took place on 28-29 November 2018, in Kuala Lumpur, Malaysia.

Malaysia, a signatory state to the ATT since 2013, filed a request for assistance in September 2018 and be-



came the last of the nine Roadmap partner countries for BAFA. This two-day workshop constituted the first of five Roadmap activities in the framework of the project to be implemented in the new partner country Malaysia. The EU project brought together national ATT stakeholders from the Attorney General's Chamber, Customs Department, Malaysian Maritime Enforcement Agency, Malaysian National Security Council, Ministry of Defence, Ministry of Foreign Affairs, Ministry of Home Affairs, Ministry of International Trade and Industry, and Royal Malaysia Police.

The first day kicked off with welcome remarks by the Malaysian Ministry of Foreign Affairs, the EU Delegation to Malaysia, and the German Embassy in Kuala Lumpur. Afterwards, an introduction into the project gave participants a better idea of the scope, target and experiences of the EU ATT Outreach Programme. After a coffee break, EU Experts presented challenges and lessons learnt during the implementation of ATT outreach activities in other partner countries. After lunch, the Malaysian MFA gave a comprehensive presentation on the current status and the legal capacities in Malaysia in implementation of the treaty. This was followed by a fruitful round table discussion about Malaysia's needs and expectations for this project.

The second day began with a series of presentations by EU experts on the topics legal/reporting, licensing/risk assessment, control list/technical assessment, and customs work/enforcement. The presentations were intended to point out obligations in the ATT in the respective fields, as well as to take into account findings by the experts with regard to Malaysia's export control system and issues raised on the previous day. The presentations were complemented with case studies which were specifically asked for by the Malaysians and

highly welcomed. That set the stage for a round of recommendations for Malaysia's ATT process from all EU experts. The final agenda item was a final discussion round with the goal to define the topics to be included in the Roadmap document for Malaysia.

The participants were very target-orientated and engaged in fruitful discussions.

In Malaysia, the organisers were supported by experts from Finland, Germany, Latvia and the UK.

Author: BAFA Outreach Team

## Study Visit to Paris for Senegal

27–29 November, 2018

As part of the second phase of the European Union's outreach activities in support of the implementation of the ATT, ten representatives of the Senegalese authorities involved in conventional arms transfer controls participated in a study visit to Paris between 27-29 November, 2018. Organised by Expertise France, this three-day event focused on the implementation of licensing procedures and enforcement of controls. It aimed at:

- Strengthening the practical knowledge of the



Study Visit to Paris for Senegal group picture





attendees

- Offering examples of coordination and information sharing between government agencies
- Presenting the role and activities of the main French authorities taking part in the control of conventional arms transfers[1].

To achieve these objectives, the previously mentioned authorities hosted a series of meetings coordinated by Expertise France. During the discussions, the Senegalese delegation also had the opportunity to share current topics of interest and concern with several French experts in arms transfer controls.

Lessons learned and best practices shared should help the Senegalese partners to consolidate their actions aimed at effectively implementing the ATT (starting with the completion of their preliminary draft model law).

This study visit marked another important step in accomplishing Senegal's assistance Roadmap.

The next workshop will be dedicated to the interagency

cooperation and it will take place in the spring of 2019.

Footnote: [1] The General Secretary for Defence and National Security (Prime Minister's Office), The Ministry for Europe and Foreign Affairs, the Ministry of the Armed Forces, the Ministry of Interior and the Directorate General of Customs and Indirect Taxes (Ministry of Public Action and Accounts).

Author: EF Outreach Team

## Second Roadmap Activity for Zambia

*28-29 November 2018, Siavonga*

On 28 – 29 November 2018 the Second Roadmap Activity for Zambia under the second phase of the EU Arms Trade Treaty Outreach Programme was conducted in Siavonga, Zambia. The event focused on the development of the national transfer control legislation and the harmonisation of the ATT implementation with further international agreements and treaties. Further topics were regional cooperation and the establishment of a transit licensing system.

The event kicked-off with discussions on the state of the art of the national legislation and the control list,



Second Roadmap Activity for Zambia group picture





facilitated by a presentation from the national focal point. The discussion was further supported by a representative of Nigeria who also offered a short presentation on the national ATT implementation in his country, also mentioning the main challenges.

Based on the request of the Zambian stakeholders, the second session of the event focussed on the harmonisation of the ATT with further international treaties, such as the UN Programme of Action and the Firearms Protocol. An expert from the NGO, Saferworld provided a short overview of the relevant treaties for Zambia. Afterwards, he provided more detailed information on the most relevant documents and explained their connections to the ATT.

The second day started with a session on licensing for transit cases. Due to its location, Zambia is considered as a transit country. A presentation including a case study was designed to sensitise the audience on the problem and to discuss possible measures.

The objective of the session on regional cooperation was to present examples on how regional cooperation platforms function and to show what levels of information exchange could be necessary among the countries of a region.

The event in Siavonga was supported by ATT experts from

Nigeria, Ghana, Hungary and New Zealand.

Author: EF Outreach Team

## First Sub-Regional Seminar in the Philippines

*11-12 December 2018, Manila*

The Philippines and its partners under the EU ATT OP II, co-implemented by Expertise France and BAFA, designed together the first sub-regional seminar as foreseen in the national Roadmap. The seminar took place in Manila on 11- 12 December 2018 with the theme of: “Working together to combat illicit trafficking of arms in the sub-region”.

Indonesia, Malaysia and Philippines were represented by delegations of experts from key stakeholder ministries and public agencies dealing with the control of the international trade of arms.

The seminar was fruitful as it allowed the participants to exchange good practices from their national control



First Sub-Regional Seminar in the Philippines group picture



systems and it provided impetus to consider how neighbouring states can cooperate better in the fight against illicit trafficking in arms. It also demonstrated the importance of the ATT in this context and particularly, how the ATT could be used as a platform for sub-regional cooperation. Thus, the seminar provided further arguments in favour of joining the ATT which can be taken into account in the process of ratifying the Treaty which is under way in the Philippines and in Malaysia.

The experts, and their delegations, expressed the intent to continue exploring the possibility to implement the identified initiatives at both the national and ASEAN level.

The event was received with a high level of satisfaction and the next activity is expected to take place in 2019.

Author: EF Outreach Team

## Second Roadmap Activity for Costa Rica

*17-18 December 2018*

On 17-18 December 2018, the Second Roadmap Activity

for Costa Rica under the second phase of the EU Arms Trade Treaty Outreach Project was held in San José, Costa Rica.

The Second Roadmap Activity in Costa Rica was supported by four experienced export control experts from Colombia, Germany, Mexico and Spain.

This two-day workshop served to discuss ways to develop manuals on procedures for the regulation of international arms transfers. In addition, the outcomes from the Fourth Conference of States Parties to the ATT (CSP4 2018) were presented and strategies to tackle problems particularly relevant to the Latin American sub-region, such as diversion were explored.

Likewise, during the second day of the workshop, methods that contribute to improving risk assessment capabilities of the personnel involved in issuing arms transfers licences were analysed. Finally, the issue of inter-agency cooperation as key to effectively implement the Treaty was discussed.

Achievements in establishing a national control system in Costa Rica and the exchange of information between Costa Rica and another Roadmap country in the region,



Second Roadmap Activity for Costa Rica group picture





Peru, have led the latter to be keen on intensifying the exchange of information with Costa Rica. The Peruvian authorities are very interested in getting to know the process that enabled the establishment by law of a national control authority. As a consequence, six representatives of the Government of Peru who hold a key position in terms of implementation of the ATT in this country, participated in Costa Rica's second Roadmap activity. This move not only served to assist Peru in the establishment of such an authority, but also fostered regional cooperation in Latin America.

The event was attended by a total of 28 representatives of several ministries and agencies of Costa Rica and 6 delegates from Peru.

Author: BAFA Outreach Team

## Interagency exercise for Ivory Coast

*18-19 December 2018, Abidjan*

18-19 December 2018, Abidjan

On December 18 and 19, 2018, Expertise France organised in Abidjan its first interagency exercise as part of the second phase of the European Union's outreach activities in relation to the implementation of the ATT.

The exercise gathered sixteen representatives from the main Ivorian authorities involved in conventional arms transfer controls and, it consisted of simulating the coordination between two fictional entities (representing licensing and

border control services) when facing cases of illegal arms transfers .

By fostering cooperation, discussion and decision-making, this exercise was primarily aimed at helping participants to:

- Enhance their coordination mechanisms in arms transfer controls;
- Improve mutual understanding of the role and missions of each stakeholder.

Additionally, based on observations resulting from the exercise, Expertise France provided recommendations on ways to strengthen interagency cooperation and exchange of information on conventional arms transfer controls in Ivory Coast.

The next workshop with this partner country is scheduled on February 6 and 7 in order to continue to work towards a final draft model law incorporating ATT obligations.

Author: BAFA Outreach Team

## Ad Hoc Activity for Madagascar (legal assistance)

*18-20 December 2018, Antananarivo*



Interagency exercise for Ivory Coast group picture





Ad Hoc Activity for Madagascar group picture

Following the ratification of the Arms Trade Treaty by the Republic of Madagascar in 2016, the Government took the decision to modernise the national legal framework in order to transpose existing international good practices in the control of the arms trade. The Ministry of National Defence initiated the amendment process by setting up a group of experts to prepare a draft law, in collaboration with the EU's Arms Trade Treaty Outreach Programme, implemented by Expertise France and BAFA .

In order to elaborate a text adapted to the national realities, the Malagasy and European partners exchanged their expertise and experiences during an event organized on the 18- 20, December 2018 in Antananarivo.

His Excellency the Minister of National Defence, as well as the Ambassador and Head of the Delegation of the European Union, inaugurated the activity, stressing both the importance of the reform of the national law and of the added value of cooperation between Madagascar and the European Union on the issues related to the transposition of the ATT and the good management

of the life cycle of arms.

The partners expressed their satisfaction with the joint approach implemented as well as the wish to continue their collaboration.

*Author: EF Outreach Team*

### **Legislative and Regulatory Assistance Workshop for Benin**

*16-17 January 2019, Cotonou*

In the framework of the EU ATT OP-II , on 16 -17 January, the first workshop for Benin was held in accordance with its assistance Roadmap.

For this event organised in Cotonou, Expertise France selected a team of three experts (from France and Burkina Faso[1]), supplemented by two national speakers invited by the local partner, the Ministry of Foreign Affairs and Cooperation.

Gathering 15 representatives of the main actors involved in the implementation of the ATT (the Government, the National Assembly, the judiciary and civil society), the



workshop gave an opportunity to discuss the ongoing initiatives, notably a draft law covering the ECOWAS Convention on small arms and light weapons (but also incorporating some elements of the ATT, such as the categories listed under article 2) [2].

The experts devoted much attention to sharing best practices and technical advice in light of the Beninese plan to start working on a new preliminary law, and its decrees, integrating further ATT obligations in the legislation, including:

- The creation of a national control system regulating all the transfers of conventional arms referred to under article 2;
- The designation of competent national authorities;

- The establishment of a national control list.

Following this first workshop, the cooperation with Benin will continue, in the spring and summer, with the provision of remote assistance in the drafting of the previously mentioned draft law and decrees.

Footnotes:

[1] One current member and one former member of the Ministry for the Armed Forces (France), as well as one representative of the High Authority of Import Control of Arms and their Use (Burkina Faso).

[2] Draft law adopted by the National Assembly of Benin following the workshop, on January 24.

Author: EF Outreach Team

### Third Roadmap Activity for Georgia

*23-24 January 2019, Tbilisi*

On 23 – 24 January 2019, the Third Roadmap Activity



Legislative and Regulatory Assistance Workshop for Benin group picture





Third Roadmap Activity for Georgia group picture

for Georgia within the EU ATT OP II took place in Tbilisi, Georgia.

The first day of the workshop kicked-off with welcome remarks by a representative from EEAS and a representative from the Georgian Customs Department. The first session provided an introduction into principles, guidelines and provisions on transit and transshipment. After this theoretical approach, presentations from a licensing and customs perspective were provided. These included case studies and a practical approach that engaged the participants in the discussions. In the afternoon, a case study on commodity identification was jointly discussed.

The second day of the workshop focused on risk assessment and risk management. First, a general overview on the topic was provided, followed by the licensing and customs perspective. A table-top exercise emphasised various important parameters in conducting risk assessment. The exercise was positively rated, especially by the customs department.

The workshop closed with a round-table discussion on

challenges and priorities for the way ahead within the ATT programme.

The Roadmap activity was attended by 18 participants from the Ministry of Defence and the Customs Departments from Tbilisi, Kutaisi-Senaki, Poti-Kulevi, Batumi and Sarpi. Furthermore, representatives from EEAS and the EU-Delegations to Georgia and from US EXBS attended the event.

The activity was supported by four EU experts from Estonia, Greece, Latvia and Lithuania with established expertise in the discussion topics and in the region.

Author: BAFA Outreach Team

### **Cooperation Activity on the Legal Transposition of the Arms Trade Treaty for Togo**

*4-7 February, 2019*

Following the ratification of the Arms Trade Treaty by the Republic of Togo in 2015, the Government took the decision to modernise the national legal framework in order to transpose existing international good practices





for the control of arms trade. The National Commission for the Fight against the Proliferation, Circulation and Illicit Trafficking of Small Arms and Light Weapons (CNLPAL) steers the amendment process by having an inter-ministerial committee to finalise a draft law, in collaboration with the European Union Outreach Programme in support of the implementation of the Arms Trade Treaty (EU ATT-OP II), implemented by Expertise France and BAFA .

In order to contribute to the finalisation of the text, the partners exchanged, from 4 to 7 February 2019 in Lomé, on the topics of inter-agency coordination in the process of control of arms transfers and questions related to transit and transshipment. In addition, this event prepared the drafting of the annual report which is a national obligation derived from the Treaty. Finally, the participants initiated an exchange of expertise with a view to establish the national control list.

His Excellency the Vice-President of the CNLPAL, as well as a representative of the Delegation of the European Union, inaugurated the activity, both stressing the importance of effectively controlling international arms transfers on the basis of a strong national framework anchored in legislation, pursuant to the Arms Trade Treaty.

The partners expressed their satisfaction regarding the joint approach implemented, as well as the wish to continue their collaboration on these topics.

Author: EF Outreach Team

## Ad Hoc Workshop for Panama

*6-7 February 2019, Panama*

On 6-7 February 2019, an ad hoc Workshop under the



Cooperation Activity on the Legal Transposition of the Arms Trade Treaty for Togo group picture

second phase of the EU Arms Trade Treaty Outreach Project (EU- ATT OP II) was held in Panama City, Panama, entitled "Strengthening the arms control system in Panama".

This two-day workshop was supported by four experienced export control experts from Costa Rica, Peru, Spain and The Netherlands.

The ad hoc workshop served to discuss central areas of cooperation that the Panamanian authorities had identified as priorities in the official request they sent to the European Union on 4 September 2018 in order to get assistance within the EU ATT Outreach Project.

Therefore, during this capacity building event the legislation of Panama to meet ATT requirements was reviewed. As we had provided our partner country with remote technical assistance for a legal assessment, a report on conclusions and recommendations for amendments of



relevant Panamanian decrees and resolutions was presented during the first session of the workshop.

Furthermore, on the first day of the conference, strategies to improve the management of arms control were explored and the imperative to set a national control list was analysed. Regarding this last topic, the EU military list was presented as a good model to be adopted by this country.

Likewise, the workshop addressed the status quo of ATT implementation in Latin America, focusing on experiences, challenges, lessons learned and regional cooperation models.

Finally, the issue of interagency cooperation as key to effectively implement the Treaty, was exposed.

Although it was the first time an activity in Panama within the EU ATT Outreach Project was conducted, the workshop attracted widespread media attention. Furthermore, the seminar gathered the Ambassadors of the EU, Germany, France and Spain and representatives

from the Embassies of United Kingdom and Belgium.

The event was attended by a total of 23 representatives from several ministries and agencies of Panama.

*Author: BAFA Outreach Team*

### **Ad-hoc Activity for Chile**

*20–21 March 2019, Santiago and Valparaíso*

An ad-hoc activity was organised in Chile, on 20–21 March 2019. This was the second ad-hoc activity held in Chile within the framework of ATT OP II, since a first workshop had been conducted in April 2018 in Santiago. The Republic of Chile signed the ATT in June 2013, and ratified it on 18 May 2018, which means that the country is currently confronted with the challenge to implement ATT requirements efficiently.

This second ad-hoc activity was organised in the form of two separate workshop days, with each one addressing a different target audience. Both days were held direct-



Ad Hoc Workshop for Panama group picture





Ad-hoc Activity for Chile group picture

ly in the premises of the local authorities. This particular format ensured that targeted support could be provided to the key personnel of the main Chilean agencies involved in the implementation of the ATT.

The first day of the activity addressed mainly stakeholders from the different ministries and intelligence units in Santiago and was held in the premises of the National Intelligence Agency. The agenda included issues and steps relating to ATT implementation, control lists, elements and procedures of a comprehensive export control system (based on the case of Spain), instruments to counter diversion and inter-agency cooperation.

The second day addressed mainly the executive authorities and was hosted by the National Customs Authority, which has its headquarters in Valparaíso. The agenda covered various issues and steps relating to ATT implementation, the role

of customs in the implementation of the ATT, the control list, instruments to counter diversion, including instruments used by the police and risk analysis at customs, as well as inter-agency cooperation.

The activities were supported by a team of five ATT experts from Spain, Mexico and Uruguay.

Author: BAFA Outreach Team



Ad-hoc Activity for Chile group picture





## EU P2P: Conventional Arms Export Control Activities

### Regional Workshop on Arms Export Controls for South-East Europe

*10-11 October 2018, Tirana*

A Regional Workshop for South Eastern European partner countries was conducted in Tirana, Albania, on 10–11 October 2018, in the framework of the current EU Outreach Project on the Promotion of Effective Arms Export Controls (COARM IV). The participants came from Albania, Bosnia and Herzegovina, Former Yugoslav Republic of Macedonia, Kosovo, Montenegro and Serbia.

Based on the EU Council Decision 2018/101/CFSP, this regional workshop aimed to continue the good cooperation between the EU and its South Eastern European partnership countries in the area of the export of conventional arms and military items. This activity was the first out of two regional workshops for South East European partner countries in the framework of the new EU outreach project which started on 1 April 2018 with a duration of two years.

The focus of the activity was put on an exchange about

the current state of affairs in export control in the countries of the region, electronic licensing databases, commodity identification, and transit and transshipment from both a licensing and customs perspective. Moreover, at the special request of the host country Albania, the case of export/ import control mechanisms in ECOWAS Member States were discussed.

Overall, this workshop enabled participants to engage in discussions about challenges concerning the effective implementation of the export control of military items and allowed the comparison of national regulations. In this way, regional exchange and cooperation was strengthened.

Author: BAFA Outreach Team



Regional Workshop on Arms Export Controls for South-East Europe group picture



Regional Workshop in Tunisia group picture

## Regional Workshop in Tunisia

*6-7 November 2018, Tunis*

Based on the EU Council Decision 2018/101/CFSP, this regional workshop aimed at continuing the good cooperation between the EU and its partners in North African Mediterranean countries and Southern Neighbourhood countries of the European Neighbourhood Policy in the area of the strategic trade controls for conventional arms and military items. This activity was the first out of two regional workshops for this region and it was organised in the framework of the new EU outreach project, which started on 1 April 2018 with a duration of two years.

The focus of the activity was on exchanging information on international updates in arms trade controls as well as the current state of play concerning arms trade controls in the countries of the region. Then, the question of how to counter illicit arms trafficking through international cooperation was addressed, with practical examples from programmes implemented by the EU, EMPACT-firearms platform and WCO in relation to this region. Finally, also inter-agency cooperation from both policy/ licensing and customs perspectives

as well as commodity identification were part of the agenda.

Overall, this workshop encouraged participants to participate in open and multi-faceted discussions about challenges concerning the effective control of arms trade and allowed the exchange of perspectives with neighbouring states, as well as international experts. In doing so, the importance of exchanging more and starting cooperation on a regional and international basis was underlined.

*Author: Expertise France Outreach Team*

## Individual Assistance Workshop for Albania

*6-7 March 2019, Tirana*

An Individual Assistance Workshop within the framework of the EU Outreach Project on the Promotion of Effective Arms Export Controls took place on 6-7 March 2019, in Tirana, Albania.

This Individual Assistance Workshop aimed to address the needs and priorities of Albanian Customs Officials.

The first day kicked-off with welcome remarks by a





Individual Assistance Workshop for Albania group picture

representative from the General Directorate of Customs in Albania. The workshop day focused mainly on the control list and commodity identification as well as transit and transshipment. In this regard, the updates of the EU Common Military List were presented.

On the second day, presentations and case studies concerning risk assessment and inspections and audits for companies were discussed. For both days, the structure of the workshop used an interactive approach supported by joint discussions on various case studies with the participants.

Approximately 16 customs officials attended the workshop at the Customs Laboratory. Furthermore, a representative from the German Embassy in Tirana attended the workshop. The outreach activity was supported by three customs experts from Croatia, Malta and the Netherlands.

Author: BAFA Outreach Team

## **Individual Assistance Workshop for Serbia**

*6-7 March 2019, Belgrade*

An Individual Assistance Workshop within the framework of COARM IV was held on 6 -7 March 2019, in Belgrade, Serbia.

The Individual Assistance Workshop was designed to build capacity among representatives from the Serbian authorities concerned with licensing decisions: The Ministry of Trade, Tourism and Telecommunication; Ministry of Defence; Ministry of Interior; Security Information Agency; Ministry of Foreign Affairs and Customs Administration.

The agenda evolved around two central challenges: the issuing of general and global licenses and the licensing of brokering activities.

On the first day, mechanisms and practical advantages of introducing and using global and general licences





Individual Assistance Workshop for Serbia group picture

were addressed, looking at the example of how these types of licences are anchored in the legislation and applied in the daily licensing practice in some EU Member States.

On the second day, the discussion covered how to issue and specify licences for brokering activities. Specific challenges of issuing brokering licences were discussed, also with the view of interagency cooperation with customs and other enforcement agencies. The afternoon was dedicated to practical case studies from several EU Member States.

The activities were supported by a team of three international experts in the area of arms export control, from Hungary, Poland and UK.

Author: BAFA Outreach Team

## Regional Workshop in Armenia

*27–28 March 2019, Yerevan*

On 27–28 March 2019, a regional workshop under

COARM IV took place in Yerevan, Armenia. This was the second regional activity for Eastern European and Caucasian partner countries under the new COARM project. Furthermore, partner countries from South Eastern Europe participated in the event.

The workshop kicked off with welcome remarks held by representatives of the EU Delegation to Armenia, the German Embassy as well as the Armenian authorities. Subsequently, the new project phase of the EU COARM project was presented to the participants. Afterwards, the first session of the day provided updates on export controls for conventional arms in the European Union under the framework of the EU Common Position 2008/944/CFSP. The licensing review process and linked criteria as per the EU Common Position were discussed. Following this, the participating countries presented their national export control systems. This allowed the countries to inform other participants of their latest developments in the area of arms export controls. The EU team provided presentations and case studies regarding inter-agency cooperation focusing on the customs and licensing perspectives.

The second day of the workshop focused on risk assessment and risk management. Theoretical presentations as well as case studies regarding regional and international cooperation were provided. The topics were actively discussed among the participants. Subsequently, there were numerous presentations by participants on their working experience, especially concerning risk assessment. The workshop closed with a round-table discussion on challenges and priorities regarding the aforementioned topics as well as the way ahead within the EU COARM IV programme.

The regional workshop was attended by 47 participants from Armenia, Bosnia and Herzegovina, Georgia, Mol-



## EU P2P

export control programme  
for arms

dova, Montenegro, Serbia and Ukraine.

BAFA was supported by COARM experts from Germany, Greece, Hungary, Latvia and Lithuania.

Author: BAFA Outreach Team



Regional Workshop in Armenia group picture

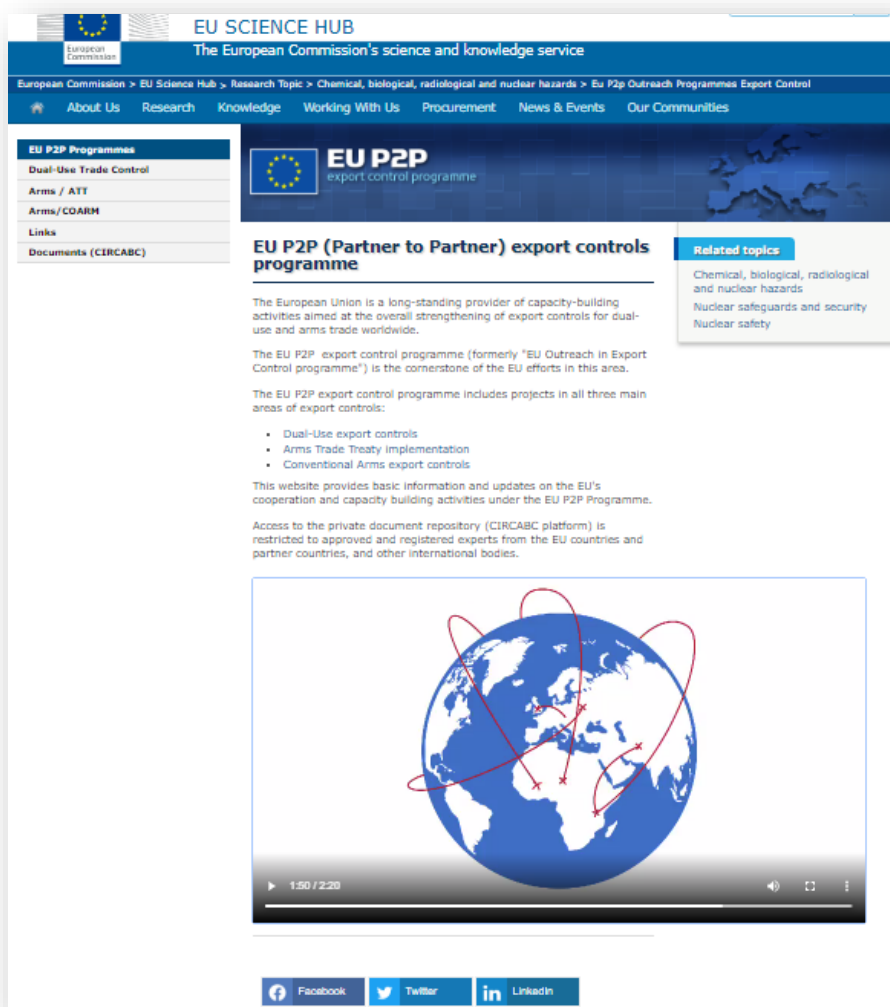


# EU P2P

## EU P2P Export Control website

The EU P2P Export Control Programme is managed by the European Commission's Directorate General (DG) for International Cooperation and Development (DEVCO) and the European External Action Service (EEAS).

<https://export-control.jrc.ec.europa.eu>







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## About P2P Export Control

In line with the recently adopted EU Global Strategy and the EU Strategy against the Proliferation of Weapons of Mass Destruction (WMD), the EU P2P Dual-Use

Programme aims to enhance the effectiveness of export control systems of dual-use items so as to combat the proliferation of WMD and related materials, equipment and technologies.

The programme's objectives are to reduce the risk of proliferation by strengthening international cooperation in the field of dual-use export controls and strengthening national and regional capacity, taking into account the balance between security and economic considerations.

For more information visit the EU P2P website:

<https://export-control.jrc.ec.europa.eu>

or send us an e-mail at:

[eu-export-control-support@ec.europa.eu](mailto:eu-export-control-support@ec.europa.eu)

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