

Role of Industry in Implementing UNSCR 1540

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New Delhi, February 25-26, 2014

Proliferation Threats Today

- ◆ **Access to dual-use, WMD-relevant, items, technologies, materials & knowledge by select States**
- ◆ **Access by non-state actors/terrorist groups (insider problem)**
- ◆ **Emerging suppliers (states)**
- ◆ **Industry (complicit or ignorant)**
- ◆ **Inadequate strategic trade controls in transit or trans-shipment states**

**Growing fungibility (of dual-use items & technologies)...
requires balancing trade with security imperatives**

Impact of Globalization

Transnational production & supply chains

- *Complex genealogy of firms*
- *Globalization of factors of production*
- *Spatially distributed units for sourcing, know-how, production, marketing & distribution*

Transnational proliferation trends

- *Not import the entire system & therefore risk detection*
- *But assemble items in bits and pieces*
- *Then acquire expertise to integrate them*

Government – Industry Role in UNSCR 1540

Govt → prevent proliferation & terrorism

Industry → prevent mis-use of its products (including IP)

UNSC R 1540 *explicitly* recognizes the need for PARTNERSHIP between govt and industry

Emphasis should be on monitoring & managing

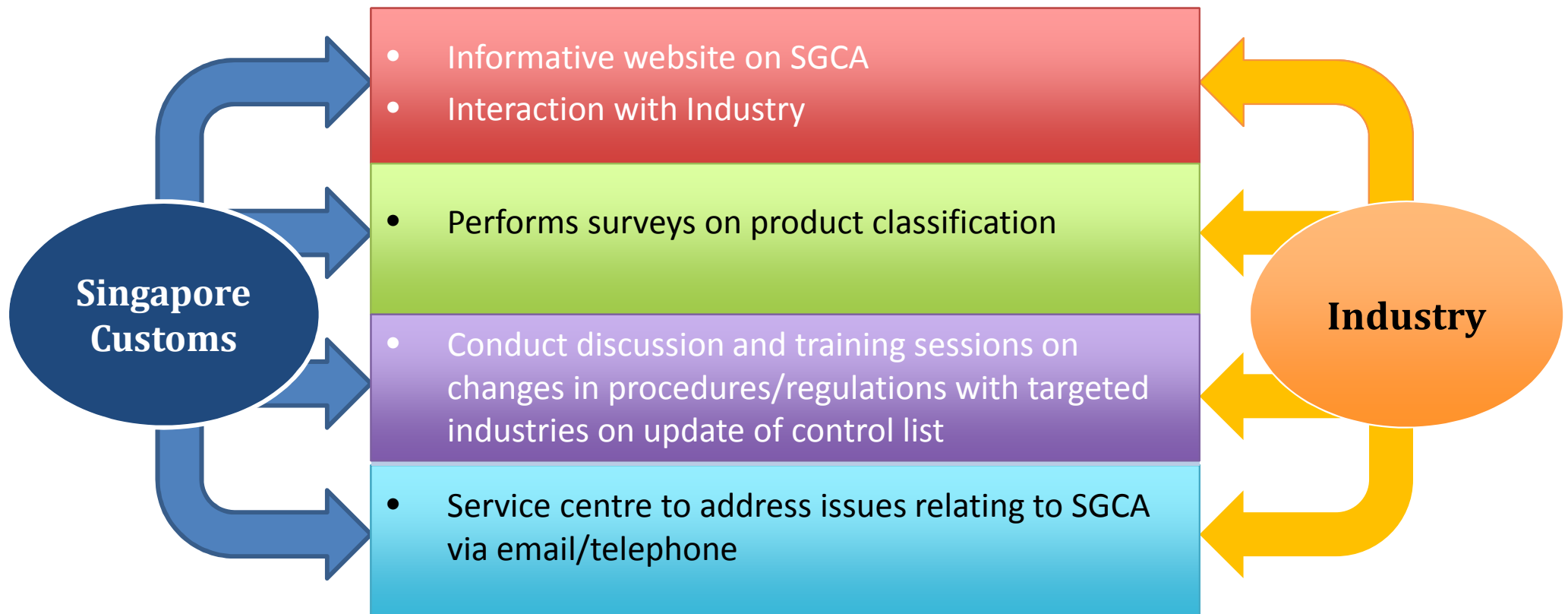
→ *TRADE AND TECHNOLOGY*

→ *TRADE IN TECHNOLOGY-EMBEDDED PRODUCTS*

1

Singapore: Engaging Stakeholders

Continuous Information and Communication



2

Singapore: User-friendly Resources

Singapore Customs Homepage

The screenshot shows the Singapore Customs homepage. Red boxes highlight the following sections:

- Navigation Bar:** The 'Legislation' link is highlighted in the top navigation bar.
- Strategic Goods Control (STGC) Section:** The 'Overview' link is highlighted in the left sidebar.
- QUICK LINKS:** The 'Forms' and 'Circulars' links are highlighted in the left sidebar.
- CONTACT US:** The contact information and 'Email us' link are highlighted in the left sidebar.
- MAILING LIST:** The mailing list sign-up link is highlighted in the left sidebar.
- Handbook on Strategic Trade Scheme:** The link to the handbook is highlighted in the 'Highlights' section.

Red arrows point from these highlighted sections to callout boxes on the right side of the slide:

- An arrow from the 'Legislation' link points to the 'General Information' box.
- An arrow from the 'Overview' link points to the 'Crucial Links' box.
- An arrow from the 'Handbook on Strategic Trade Scheme' link points to the 'Handbook for Export Permit Scheme' box.
- An arrow from the 'Email us' link points to the 'Contact Information' box.
- An arrow from the 'Mailing List' link points to the 'Email Notification Subscription' box.

General Information:

- Legislation
- Control List
- Sanction List

Crucial Links:

- License application forms
- Notices/Circulars

Handbook for Export Permit Scheme

Contact Information

Email Notification Subscription

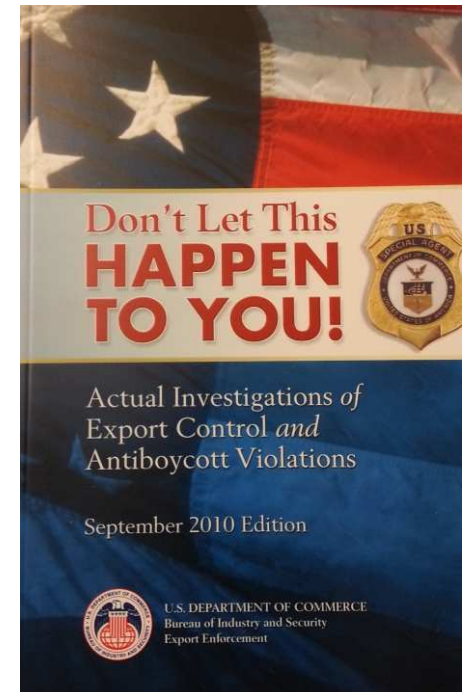
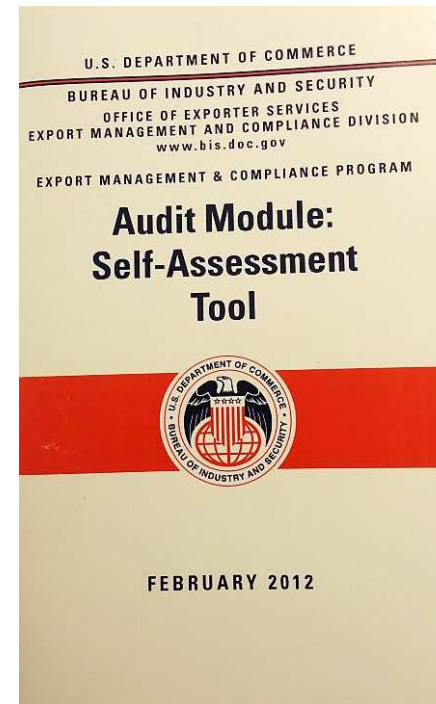
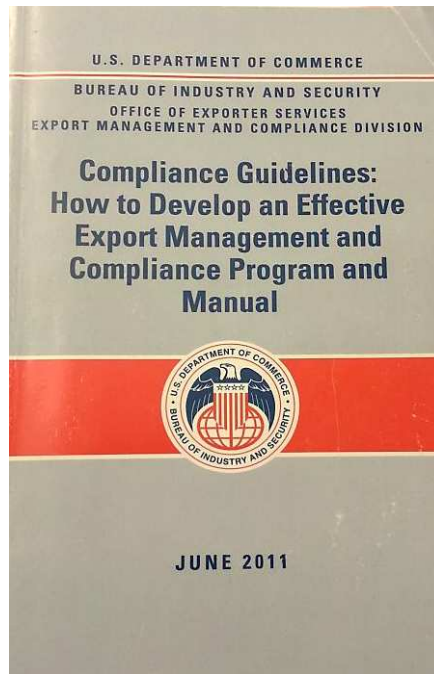
3

Singapore: Training to industry



1

US: Online Resources



www.bis.doc.gov “Compliance”

2

US: Targeted Information

Would you like to...

Select from the list below:

Exporter Portal



Everything you need to know about exporting

In The News



BIS Newsroom

Consolidated Screening List



The following list may be relevant to your export or reexport transaction

Export Control Reform



Export Control Reform -- Upcoming Weekly Teleconferences and Webinars

Report Violations



Reporting Possible Violations

Seminars

February 24-25, 2014 Newport Beach, CA



February 24-25, 2014, The 9th Annual Export Control Forum

The Export Control Forum is a one-and-a-half day program dedicated to bringing the business community up-to-speed on the latest initiatives underway in the export control field, including the latest developments in the Export Control Reform initiative.

[View event details](#)

US: Comprehensive Information



Bureau of Industry and Security
U.S. Department of Commerce
Where Industry and Security Intersect

[Home](#) [About BIS](#) [Regulations](#) [Licensing](#) [Enforcement](#) [Compliance & Training](#) [Policy Guidance](#) [Add'l Programs](#) [Reform](#)



Bureau of Industry and Security Adds 36 Parties to Entity List for Actions Involving Illegal Shipments of Goods to Iran and China



BIS Publishes Proposed Rule On Revisions to the Export Administration Regulations (EAR): Unverified List (UVL)



Bureau of Industry and Security Adds 36 Parties to Entity List for Actions Involving Illegal Shipments of Goods to Iran and China



Texas Company to Pay \$100 Million for Export Violations to Iran, Syria, Cuba, and Other Countries

Would you like to...

Select from the list below:

Speak to an Export Counselor

In The News

 [BIS Newsroom](#)

Consolidated Screening List

 The following list may be relevant to your export or reexport transaction

4

US: User-Friendly Tools

Export.gov
Helping U.S. Companies Export

Register | Manage Account
Search Our Site Search

Home > Export Control Reform [Print](#) | [E-mail Page](#)

Export Control Reform

- ▶ [ECR Home](#)
- ▶ [About](#)
- ▶ [News](#)
- ▶ [ECR Library](#)

Areas of Reform

- ▶ [Export Control List](#)
- ▶ [Licensing Policy](#)
- ▶ [IT System Modernization](#)
- ▶ [Export Control Enforcement](#)

For Exporters

- ▶ [Consolidated Screening List](#)
- ▶ [Export Licensing](#)
- ▶ [Decision Tree Tools](#)
- ▶ [Export Enforcement Coordination Center \(E2C2\)](#)
- ▶ [Weekly Teleconference](#)

Provide Input

- ▶ [Website Feedback](#)

Consolidated Screening List

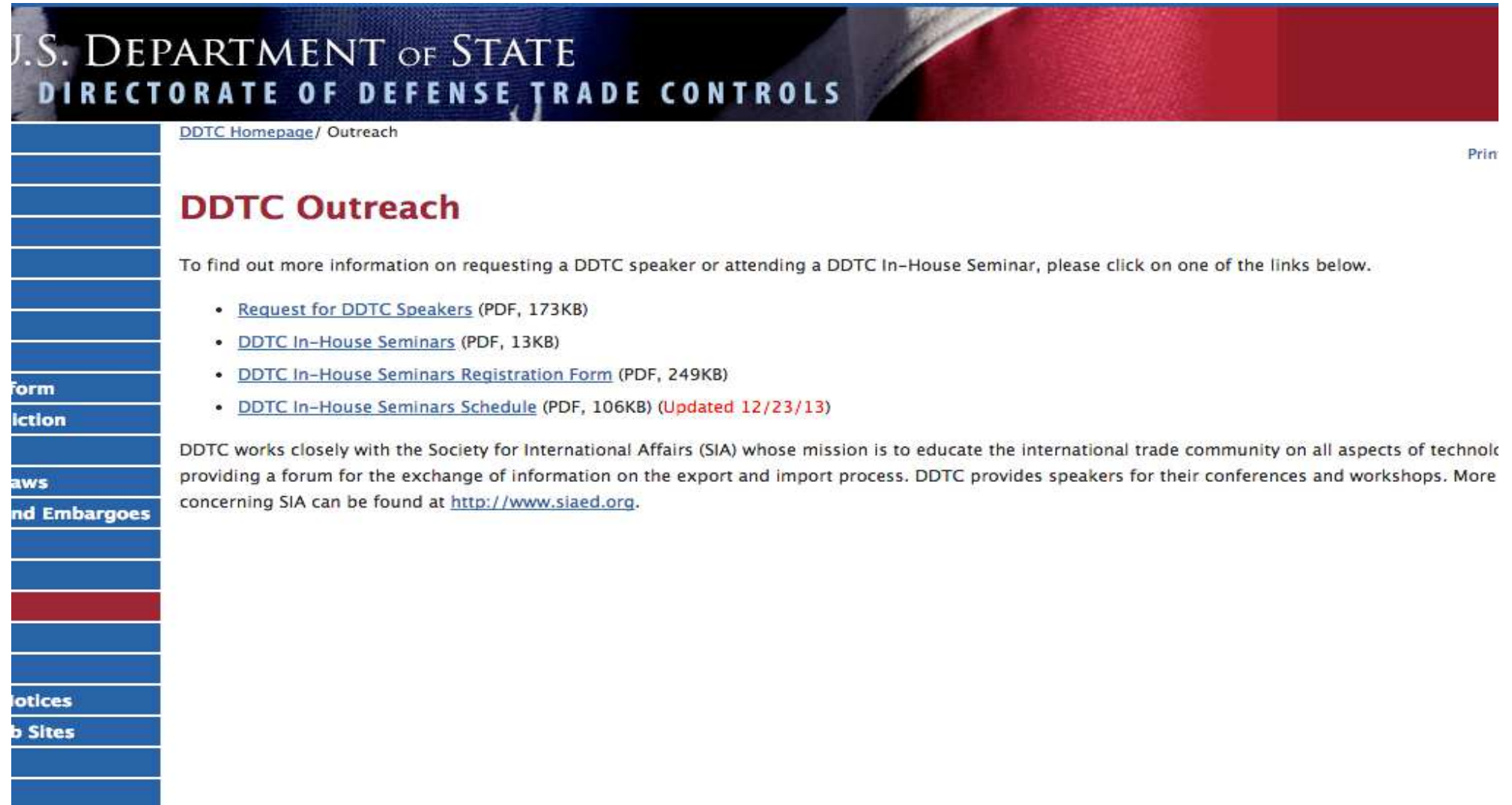
Below is a link to a downloadable file that consolidates export screening lists of the Departments of Commerce, State and the Treasury into one spreadsheet as an aide to industry in conducting electronic screens of potential parties to regulated transactions. In the event that a company, entity or person on the list appears to match a party potentially involved in your export transaction, additional due diligence should be conducted before proceeding. There may be a strict export prohibition, requirement for seeking a license application, evaluation of the end-use or user to ensure it does not result in an activity prohibited by any U.S. export regulations, or other restriction.

Prior to taking any further actions, users are to consult the requirements of the specific list on which the company, entity or person is identified by reviewing the webpage of the agency responsible for such list. The links below will connect you to the specific webpage where additional information about how to use each specific list is contained. These links are also embedded into the file for each listed entity to direct you to the proper website for information about how to resolve the issue. Note that the column on the attached file, which is titled "Source List", indicates which specific consolidated screening list is the source for each entry on the spreadsheet. Blank data fields in the file are not applicable to the consolidated screening list in the "Source List" column.

Department of Commerce – Bureau of Industry and Security

- [Denied Persons List](#) - Individuals and entities that have been denied export privileges. Any dealings with a party on this list that would violate the terms of its denial order are prohibited.
- [Unverified List](#) - End-users who BIS has been unable to verify in prior transactions. The presence of a party on

US: Interaction (Regular + Requested)



U.S. DEPARTMENT OF STATE
DIRECTORATE OF DEFENSE TRADE CONTROLS

[DDTC Homepage/ Outreach](#) Print

DDTC Outreach

To find out more information on requesting a DDTC speaker or attending a DDTC In-House Seminar, please click on one of the links below.

- [Request for DDTC Speakers](#) (PDF, 173KB)
- [DDTC In-House Seminars](#) (PDF, 13KB)
- [DDTC In-House Seminars Registration Form](#) (PDF, 249KB)
- [DDTC In-House Seminars Schedule](#) (PDF, 106KB) (Updated 12/23/13)

DDTC works closely with the Society for International Affairs (SIA) whose mission is to educate the international trade community on all aspects of technology providing a forum for the exchange of information on the export and import process. DDTC provides speakers for their conferences and workshops. More concerning SIA can be found at <http://www.siaed.org>.

Form
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b Sites

1

Malaysia: Comprehensive resources

Welcome to the Official Portal of the Ministry of International Trade and Industry, Malaysia

Language: **English**  [Reset](#)

[Login](#) | [Sign up](#) | [Links](#) | [Contact Us](#) | [Site Map](#) | [Feedback](#) | [FAQ](#)



MINISTRY OF INTERNATIONAL TRADE AND INDUSTRY

[About MITI](#)
[Promoting Trade](#)
[Transforming Industry](#)
[Guidelines](#)

[Home](#) > [Guidelines](#) > Strategic Trade Act 2010 (STA)

Strategic Trade Act 2010 (STA)

GSP

ATIGA

ACFTA

AKFTA

MPCEPA

MJEPA

AJCEP

AIFTA

AANZFTA

MNZFTA

MICECA

MAFTA

Strategic Trade Act 2010 (STA)

10 Dec 2013 05:03 PM

Announcements



STA 2010 Info Pack



Circulars



Forms



Online Application



Internal Compliance Programme (ICP)



Highlights

Approved Permit



Shares



STA 2010



Lynas Info Pack



2

Malaysia: Targeted information

Online Application



Internal Compliance Programme (ICP)



Schedule of Outreach Programmes & Client's Day



Seminar and Conference/ Outreach (Presentation Slides)



Articles



FAQs



Contact Us



Malaysia FTA

MITI Malaysia



on Facebook



6,124 people



Blog @ Miti

RM260m boost vendors, dealers

2/21/2014 8:53:34 AM

Malaysia: Well-publicized Outreach

STA 2010 OUTREACH PROGRAMME AS AT 19 DECEMBER 2013

DATE	TIME	VENUE	PROGRAMME	ORGANISER	CONTACT PERSON
JANUARY 2014					
08/01/2014 (Wednesday)	8.30 am – 4.30 pm	MCMC Office	STA 2010: Compliance Regulator Seminar	Malaysian Communications and Multimedia Commission	Mr. Mohd Fahmi Idrus (MCMC Officer) Tel.: 03-8688 8282 Fax: 03-8688 1005 E-mail: mohd.fahmi@cmc.gov.my
21/01/2014 (Tuesday)	8.30 am – 4.30 pm	Prince Hotel, Kuala Lumpur	Industry Outreach Seminar in collaboration with Ministry of Economy, Trade and Industry (METI), Japan	MITI Malaysia in collaboration with METI, Japan	Strategic Trade Secretariat Tel : 03- 6200 0585 Email : admin.sts@miti.gov
22/01/2014 (Wednesday)	8.30 am – 4.30 pm	Shah Alam Convention Centre, Selangor	FMM Selangor Workshop on Complying with STA 2010	Federation of Malaysian Manufacturers	Name: Ms. Nur Hafizah (FMM Secretariat) Contact No.: 03-6286 7200 Fax: 03-6274 1266 / 7288 E-mail: hafizah@fmm.org.r
FEBRUARY 2014					
TBC	TBC	University of Malaya, Kuala Lumpur	STA 2010 Outreach Programme with Researcher in University of Malaya on	University of Malaya	Name: Ms. Tan Hsiao Wei (University of Malaya) Contact No.: 03-7967 4643

STS Client's Day Schedule – 2014

STS Client's Day will be held on every last Wednesday of the month, from 10.00 am to 12.00 noon at MITI Kuala Lumpur. If a public holiday falls on that day, the Client's Day will be held on Wednesday of the following week. Interested participants please register with the Secretariat via e mail to admin.sts@miti.gov.my with your names, designation, contact numbers, fax numbers as well as email address for logistical and record purposes.

No.	Date
1.	29 January
2.	26 February
3.	26 March
4.	30 April
5.	28 May
6.	25 June

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UK: Dedicated govt agency - ECO/BIS

Export Control Organization (Department of Business, innovation & skills)



20 February 2014 — Press release
Foreign Secretary says EU will impose sanctions on Ukraine

Leaving the Foreign Affairs Council, Foreign Secretary William Hague spoke about the sanctions which the EU is imposing on Ukraine.



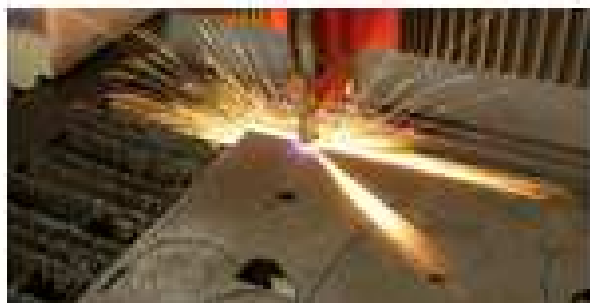
14 February 2014 — Form
Export control symposium: invitation and registration form


Invitation and registration form for the Export Control Symposium 2014.




5 February 2014 — Guidance
Export control: licensing performance dashboard

Find out more about trends in licensing, with guidance on avoiding processing delays for your export licence applications.




 Department for Business
Innovation & Skills




HomeContact



Notices to Exporters

Read updates issued by the Export Control Organisation including details about imposition of arms embargoes, Open General Export Licence amendments or announcements about Control List changes. Detailed guidance about UK strategic export controls is published at www.gov.uk.

Search...



Notice to Exporters 2014/03: Changes to EU Sanctions against Iran

January 2014

On 20 January 2014 the EU amended the sanctions against Iran. These amendments implement within the EU the Joint Plan of Action agreed in Geneva on 24 November 2013 by the E3+3 (UK, France, Germany, USA, Russia and China) and Iran as a first step towards resolving the Iranian nuclear issue.

Filed in [Legislation](#), [Sanctions](#), [Uncategorized](#)

Related Links

- [Checker Tools database \(Goods Checker and OGEL Checker\)](#)
- [FCO website – Strategic Export Controls page](#)
- [GOV.UK website](#)
- [SPIRE Website – Apply for an Export Licence](#)
- [Strategic Export Controls – Reports and Statistics Website](#)
- [Strategic export training for exporters](#)

3

UK: Linkages with related policies

Why governments put trade controls in place, how they work for importers and exporters, and how traders can apply for a licence.

This replaces
 BUSINESS
UK

Contents

[Introduction](#)

[What are sanctions and embargoes?](#)

[Types of sanctions and embargoes](#)

[Putting sanctions and embargoes into practice](#)

[Strategic export control and arms embargoes](#)

[Complying with financial sanctions](#)

[Further Information](#)

See more like this 

Introduction

Sanctions and embargoes are political trade restrictions put in place against target countries with the aim of maintaining or restoring international peace and security. This guide explains how sanctions and embargoes work and how they affect importers and exporters in international trade.

This guide also explains why and how governments put trade controls in place, and details the different types of sanctions and embargoes. It contains an overview of the laws of export control and shows how traders can apply for a licence to import or export their goods. It is important that traders keep up to date with legislation, so sources of further help are also given.

For details about specific destinations see [Current arms embargoes and restrictions](#).

What are sanctions and embargoes?

1

Japan: Info from Govt



Security Export Control System in Japan

Ministry of Economy, Trade and Industry, Japan

<http://www.meti.go.jp/policy/anpo/index.html>

2009

TOP	Export Basics	Publication	Service & Resource	About CISTEC
About CISTEC				
+ Introduction				
+ Access / Contact				
<h3>Introduction</h3>				
<p>Welcome to Center for Information on Security Trade Controls (CISTEC). CISTEC is a Tokyo based non-profit and non-governmental organization that supports for Japanese Industry Activities by timely research and analysis on numerous peace and security issues related to export controls.</p>				
<h4>Introduction</h4>				
<ul style="list-style-type: none">• History of CISTEC• CISTEC Mission• Support for Voluntary Export Controls by Businesses• Publication of Certain Items after Company's Self-Classification• Research and Representation of Opinions from Businesses on Security Export Control• Provision of Information on Security Export Control• International Cooperation on Security Export Control• CISTEC Organizational Structure				
<p>CISTEC Brochure</p> 				
<p>Digital Book P D F</p>				
<p>CISTEC's Role and Function -Working as a Bridge (PDF) NEW</p>				
<p>CISTEC Associate Members List (PDF) NEW</p>				

Japan: CISTEC services & information



Welcome to Center for Information on Security Trade Controls
Contributing to World peace and Promoting Effective Security Export Control
First Defense against Proliferation

TOP Export Basics Publication Service & Resource About CISTEC

Links
→ Links

JAIST
To the Japan Association of
International Security Trade

What's New

- 2014/02/07 Updated [CISTEC Associate Members List](#) **NEW**
- 2012/10/15 Updated [Contact Us](#) and [FAQ](#) in Export Basics
- 2012/10/15 Updated [Contact Us](#) and [FAQ](#) in Export Basics
- 2012/10/01 Updated ["Overview of Japan's Export Controls"](#)
- 2012/04/10 Updated [Committee Activities in Service & Resource](#)
- 2012/04/03 Updated [Committee Activities in Service & Resource](#)
- 2011/10/07 Updated [About CISTEC](#)
- 2011/09/15 Updated [FAQ in Export Basics](#)
- 2011/08/26 Updated [Export Basics](#)
- 2011/06/07 Updated [Export Basics](#) and [About CISTEC](#)
- 2010/05/19 Updated the [Publication: Guidance of Security Trade Control for overseas subsidiaries and affiliates](#)
- 2009/10/19 Updated Report for ["Technology Transfer and the Transition in the United States: Beyond the "Fortress"](#)
- 2009/10/06 Updated for ["Resolution 1540: At a Crossroads"](#)
- 2009/06/29 Updated for [the 10th International Export Conference](#)
- 2009/03/04 Undated Report on the 16th Asian Export Control Seminar

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South Korea: KOSTI – govt supported org

The screenshot displays the KOSTI website interface. On the left is a blue sidebar with navigation links: 'About KOSTI' (with a sub-link 'KOSTI INTRODUCE'), 'Message from the President', 'Development to Date' (highlighted with a right arrow), 'Struture' (misspelled), and 'Location'. The main content area features a header banner with a city skyline and the text 'Securing Korean industries and facilitating responsible exports'. Below the banner is a breadcrumb trail: 'HOME > About KOSTI > Development to Date'. The 'Development to Date' section contains a timeline of key events, with the first two items visible: 1. '04. 8. 30, At the request of government.' followed by 'KITA founded the Strategic Trade Information Center (STIC), an institute specialized on export control.' 2. '06. 12. 8, Passing of Foreign Trade Act on which KOSTI has the legislative ground.' followed by 'STIC was renamed and upgraded to KOSTI(Korea Strategic Trade Institute)'. Blue arrows indicate the flow from the first event to the second, and then to a third, partially visible event box at the bottom.

About KOSTI
KOSTI INTRODUCE

Message from the President

Development to Date >

Struture

Location

Securing Korean industries and facilitating responsible exports

Development to Date

HOME > About KOSTI > Development to Date

□ 04. 8. 30, At the request of government.

KITA founded the Strategic Trade Information Center (STIC), an institute specialized on export control.

↓

□ 06. 12. 8, Passing of Foreign Trade Act on which KOSTI has the legislative ground.

STIC was renamed and upgraded to KOSTI(Korea Strategic Trade Institute).

↓

2

South Korea: Kosti - assistance to exporters

Kosti KOREA STRATEGIC
TRADE INSTITUTE

[Message from the president](#) [Development to date](#) [Structure](#) [Location](#)

Activities

KOSTI BUSINESS SERVICE

[Commodity Identification](#)

[Compliance Program](#)

[Public Relations](#)

[International Cooperation](#)

[Research](#)

[Training](#)

[System Service](#)

[Trust&Safety](#) / [Specialty](#) / [Global Service](#)

[Commodity Identification](#)

HOME > Activities > **Commodity Identification**

■ Commodity Identification

Commodity identification of strategic items is provided by the Korea Strategic Trade Institute(KOSTI) when exporters cannot determine internally whether the item (goods or technology) corresponds/non-corresponds to strategic material. The Institute refers the case to expert groups and reports the result back to the company.

■ Identification Procedure

- Access the identification/licensing system.
- Send an application form of commodity identification to KOSTI.
- KOSTI reviews the application for commodity identification.

South Korea: YesTrade Video



Key Recommendations for Governments

Clear procedures & consistent decisions

- 1. Penalties for non-compliance**
- 2. Incentives for compliance**

Build Awareness through information dissemination

- 1. Multiple channels**
- 2. User-friendly resources**

Capacity building for compliance

- 1. Through Govt agencies**
- 2. Through non-govt experts**
 - a. Industry associations*
 - b. Technical experts*
 - c. Dedicated agency (govt or non-govt)*

Key Recommendations for Industry

Understand the rationale & regulations

- 1. Be responsive to outreach events**
- 2. Spend staff-time & resources in getting info**

Assess own risks & establish risk-mitigation procedures internally

- 1. Investment into your own capabilities**
- 2. Proof of due diligence in the event of violation**

Provide feedback to government agencies

- 1. On effectiveness of procedures**
- 2. Concrete suggestions for improvement**
- 3. Voluntary disclosures about**
 - a. suspicious customers*
 - b. questionable activities of rivals*
 - c. own mistakes*

Conclusions

- ◆ **1540 should recognize crucial role of industry in**
 - *technology innovation*
 - *Generating new uses of existing line of products and services*
- ◆ **Recommend that govts create institutionalized mechanisms to solicit industry feedback**
 - *On regulations/procedures (**Comment period** before publishing new guidelines)*
 - *Simplification of forms and procedures → will expedite & foster routine compliance*
- ◆ **Consistent recognition of Industry as a **partner** in international non-proliferation efforts; both operating in a **dynamic** threat environment**