

WORKSHOP ON CUSTOMS PROCEDURES AND LICENSING ISSUANCE: INTEGRATING THE NATIONAL PROCESSING OF DUAL-USE GOODS AND CONVENTIONAL WEAPONS THROUGH INFORMATION SHARING

RACVIAC - Centre for Security Cooperation, Rakitje, Stari hrast 53, 10437 Bestovje, Croatia.
24-27 October 2011

DRAFT AGENDA

The purpose of the workshop is to enhance information sharing between the customs services and the licensing officers at the national and regional levels in order to effectively fight the trafficking of conventional weapons, including small arms and light weapons, and strategic dual-use commodities across the border.

The objectives of the seminar are to:

- provide concrete follow-up to the January 2011 Workshop on OSCE Efforts to Implement UNSCR 1540 by offering practitioners the possibility to exchange best practices and benefit from each others' experience in addressing the strategic trade complexities from the facilitation, enforcement and risk analysis perspectives;
- promote the guidance and intent of Forum for Security Co-operation Decision No. 7/09, titled Decision on best practice guide on United Nations Security Council Resolution (UNSCR) 1540 on Export Controls and Transshipment;
- promote the full implementation of the OSCE Document on SALW (2000) to fight the trafficking of illicit SALW through enhanced co-operation and information sharing of customs agencies at the regional level;
- meet the commitments of the OSCE Border Security and Management Concept (MC/DEC 02/05) by offering technical experts the opportunity to discuss the necessary sharing of information on all levels of the strategic trade / dual-use corridors so as to establish effective intra-agency, inter-agency and international co-operation;
- share OSCE participating State expertise on processes, information sharing and accountability as they pertain to the movement of controlled small arms, light weapons and dual-use goods along and among the trade/transport pathways;

Time	Event	Location
Monday, 24 October 2011		
	Participants gathering at the Hotel Rakitje	
19.00 – 21.00	Dinner	RACVIAC Restaurant
Tuesday, 25 October 2011		
0900-0940	Course Opening –Welcome Address Ambassador Adam KOBIERACKI, Director, OSCE Conflict Prevention Centre (TBC) Ambassador Nikola TODORČEVSKI, Director of RACVIAC - Centre for Security Cooperation Introduction of the Course Agenda and Methodology RACVIAC and OSCE Representatives Subsequently, each course participant will have a “thirty-second opportunity” to introduce her-/himself to the audience and to formulate expectations from the workshop.	Class room 310

0940-1000	<p>Opening Thematic Remarks <i>The workshop is intended to introduce those responsible for the licensed movement of dual use and controlled commodities, including small arms and light weapons, with the customs officials most often described as the national enforcement personnel in regards to the trade transaction and physical movement. Using expert presentations and facilitated discussions, customs and licensing officials will examine the necessities and opportunities of working more closely together in the complex strategic trade and security area.</i></p>	Class room 310
1000-1030	Group Photograph, subsequently Coffee Break	
	<p>Workshop Moderator: Mr. Jon Trumble, Customs Advisor, OSCE Conflict Prevention Centre</p>	
	<p>Working Session I. Role of Licensing in Fighting Proliferation</p>	
1030-1300	<p>1. Do we know what proliferation looks like? <i>Using a case study and other examples, the speaker will examine the nexus of licensing and enforcement, and where it has been exploited by proliferators and illicit arms dealers in the movement of commodities and arms.</i> Speaker: Mr. Renaud Chatelus, Independent Consultant</p>	
	<p>2. Licensing of Controlled and Dual-Use Goods <i>Licensing of trade is an historical role of government, made far more complex in today's world of technology and risk. The speaker will address today's world of licensing the movement of controlled commodities and arms, and the relationship to international counter-proliferation efforts and requirements.</i> Speaker: Federal Office of Economics and Export Control (BAFA), Germany</p>	
	Coffee Break	
	<p>3. End Use Controls <i>National licensing protocols for controlled and dual use goods and small arms and light weapons require end use controls in order to establish accountability for the use of the commodities traded. Other protocols may prevent the delivery of such goods entirely. Our speakers will discuss both such methods and use case studies and examples to highlight the effectiveness of the licensing controls.</i> Embargoes Speaker: Mr. James Beavan, Independent Consultant Pre-delivery checks / Post-delivery checks Speaker: Don Pearce, Regional Export Control Officer, U.S. Embassy Singapore</p>	
1300-1400	Lunch	
1400-1700	<p>Working Session II. Intelligence or Information Driven Risk Management Systems</p>	
	<p>1. The Risk Matrix and Proliferation <i>When considering the risks associated with the issuance of licenses for the export of strategic trade commodities, are licensing protocols sufficient to gauge the potential harm of the transaction? Is there an over arching assessment performed that accounts for the probability of harm actually happening versus the impact on nation and neighbour if the harm does occur as a part of the transaction. The speaker will address methods and examples of constructing a risk matrix that is specific to the potential risks of proliferation and illicit end use.</i> Speaker: Italy -TBC</p>	

	<p>2. What Risk Indicators Are Available In Licensing? Are They Really Useful?</p> <p><i>Licensing protocols contain information fields specific to exporter, end user, commodity and other related specific elements of the trade transaction. How do these indicators relate to our assessment of risk? Information is almost always useful, and the licensing criteria, along with the collective assessment of the risk by licensing officials and associated technical advisors can be effective in drawing a larger picture for all stakeholders in the risk management system. The speaker will guide the workshop into a discussion of how this collective produces and shares the valuable knowledge gained during the licensing process.</i></p> <p>Speaker: Federal Office of Economics and Export Control (BAFA), Germany</p>	
	<p>3. What is Intelligence or Information Driven Risk Management and its Role in Counter proliferation?</p> <p><i>Customs organizations have utilized risk management systems for some years so as to maximize revenue collections and to protect against illicit and dangerous movement of contraband. In recent years the automation of risk management has logically utilized more intelligence and information to drive the process of assessment, profiling and targeting for efficient response. The speaker will lead the workshop through an examination of today's approaches to risk management and the application of the system in counter-proliferation and combating illicit arms trafficking.</i></p> <p>Speaker: UN Conference on Trade and Development - TBC</p>	
	<p>4. What information does the Customs Agency need for counter proliferation enforcement? Is Licensing the right source?</p> <p><i>Customs organizations are charged with the enforcement of national legislation specific to numerous risks and factors, proliferation among them. In order to be most effective a customs agency would prefer to be notified, and to act on, transactions before they arrive at the border – whether inbound or outbound. Is there particular information, or different information, needed when acting on the movements of strategic trade goods and weapons? Is customs receiving everything they might need already? How can, and how does the national licensing authorities help customs to make sure that they have what they need? The speaker will lead the workshop through an examination of today's enforcement side risk assessments and investigations related to ensuring that legal trade flows and that illicit trade is identified.</i></p> <p>Speaker: TBC</p>	
1830-1930	<p>Free time to Zagreb</p> <p>A bus will be available in front of hotel Rakitje at 1800</p>	
1930-2130	<p>Welcome Dinner (Dress: jacket and tie)</p>	Restaurant Centre of Zagreb
Wednesday, 26 October 2011		
Working Session III. Profiling The Risk In Proliferation		

0900 –1230	<p>1. Profiling for the strategic trade/ weapons risk with an eye to seaports, airports, end users /destinations or origins?</p> <p><i>Customs organizations are rarely if ever staffed with enough personnel resources to put eyes on to each and every transaction entering or exiting their nation. Using the indicators and information gathered within the risk management system, and applying that information in comparison to criteria, helps to direct the most effective employment of the resources on hand. So how do these systems work when the specific commodity is not narcotics, but dual use goods? Not frozen chicken or automobiles, but automatic rifles. And not inbound but predominantly outbound from the country. Our speaker has been asked to explore with the workshop how a risk profile might best be constructed in this arena of trade and international security.</i></p> <p>Speaker: Turkey - TBC</p>	
	<p>2. Random Targeting – Is it worth the effort?</p> <p><i>In the absence of a developed risk management system complete with automated data analysis, risk profiles and pre-arrival information, or in conjunction with all of the above, customs enforcement officials often rely on random targeting to identify those cross-border movements that they will scrutinize. While a time honoured tradition of enforcement, are random checks actually worth the effort? Are officers better off trusting the licensing documents when faced with a shipment of controlled goods or weapons? Using case studies and other examples, our speaker has been invited to demonstrate to the workshop the pros and cons of random systems, and to suggest how we may best use the methods.</i></p> <p>Speakers: Regional Intelligence Liaison Office of WCO - TBC</p>	
	Coffee Break	
	<p>3. Regional Profiling and Targeting – Sharing Transactions</p> <p><i>In order to transmit and to receive pre-arrival information regarding weapons and controlled goods transactions, it is often most efficient to work within a regional cooperative specific to the proliferation and arms trafficking risks. The speaker for this session will present the experiences and good practices of one such regional cooperative, offering ideas on how others may benefit through this type of arrangement.</i></p> <p>Speaker: Mr. Diman Dimov, Team Leader, South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC)</p>	
	<p>4. Commodity Identification – Can we target by the components? Are we qualified?</p> <p><i>When a customs officer opens a crate and sees AK-47 rifles, he or she knows they are weapons and will likely check the shipment more closely to determine its legality. That does not hold true when the movement involves high technology or benign dual-use goods. It may be unreasonable to expect a customs officer in the field to gain that level of knowledge, and providing other tools to assist the enforcement sector in this identification process may be necessary. The speaker on this topic has been asked to offer a broad view of expectations and realities, and to introduce the workshop to alternatives that most effectively create confidence and capability for the customs officials who are making exit/entrance decisions specific to controlled goods and weapons.</i></p> <p>Speakers: Federal Office of Economics and Export Control (BAFA), Germany</p>	

	<p>5. Reporting and Information Exchange – Does it help in risk management?</p> <p><i>There already exist reporting requirements and agreements through which participating States of the OSCE share information specific to transactions and accountability of small arms and light weapons. How does this information get to the risk management analysis units of customs and licensing? In this session our speaker will demonstrate the possibilities available for such interaction by way of existing information sharing systems that track illicit movements, with examples of how such multi-national, multi-agency networks might be tailored to the legitimate trade transactions as well.</i></p> <p>Speakers: US Department of Commerce - TBC</p>	
1230-1400	Lunch	
1400- 1700	Working Session IV. Targeting and Interception	
	<p>1. Reaching Back for Help – Will technical advice be there for the Customs Officer? Will Licensing answer the phone?</p> <p><i>Some nations have developed extensive laboratory systems, with personnel available 24 hours per day, to answer the technical questions of officers on the border or at clearance facilities. Others have no capability whatsoever, and regard it for the time being as a low priority in their capacity building. Still others have established agreements with universities and their scientists such that someone is ready to help when a customs official needs to ask. Is the licensing authority involved in these processes? Should they be? After all, they issued the license. Our speaker will introduce an existing system, and will examine the questions that may be raised by either customs or licensing officials on the roles which agencies and institutions play in such a technical support system.</i></p> <p>Speakers: TBC</p>	
	<p>2. Officer Safety – Is Personal Worry Stopping Interceptions?</p> <p><i>Weapons and strategic trade commodities may represent risk to the nation and the world. Their movement may also expose officers to personal risk if they actually take the time to examine a cargo physically. Is there a fear of the unknown, or the imagined, at play in an officer’s mind? Would education and safe exposure lessen the concern, resulting in an increased willingness to more closely investigate a suspicious movement? The speaker will use anecdotal experiences and studies to introduce the workshop to the realities of detecting and inspecting dangerous cargoes.</i></p> <p>Speaker: Craig Olson, Export Control and Related Border Security Advisor, US Embassy in Serbia</p>	
	Coffee Break	
	<p>3. Feedback to the Risk Management System – Are Officers Making Reports on Results? Not only seizures? Does it go to Licensing?</p> <p><i>A risk management system is most effective when reporting completes the circle of information. Were profiles accurate? Was the targeting reliable? Were documents accurate to transactions? And were all agencies involved in the risk management system informed of these results? Our speaker will discuss with workshop participants the value of a complete system, and some of the good practices developed across the world to ensure the information is in fact reported and shared, without creating burden to the reporting parties.</i></p> <p>Speakers: Turkey - TBC</p>	

	<p>4. Risk Ownership – Spreading the Wealth. Will All Levels of All Agencies Ever Participate?</p> <p><i>Who is responsible for identifying the risks within the transport and international movement of commodities of proliferation and small arms and light weapons? Once a risk is identified, who remains responsible? Can we trust others in our risk management system to fully engage with us to see a successful conclusion to our efforts? We have asked our speaker to introduce the workshop to the topic of risk ownership, and how we might achieve a healthy system of participation from all levels of the customs and licensing agencies.</i></p> <p><i>Speakers: Mr. Renaud Chatelus, Independent Consultant</i></p>	
1800-2200	<p>Free time to Zagreb (Optional)</p> <p>A bus will be available in front of hotel Rakitje at 1800</p>	
1900-2000	Dinner	RACVIAC Restaurant
Thursday, 27 October 2011		
	Working Session V: Sharing The Risk In Counter Proliferation and Weapons Trafficking	
0900-1330	<p>National Presentations and Facilitated Discussions – Current information sharing and risk analysis</p> <p><i>Having participated in the previous sessions, the final part of the workshop is given to the participants themselves, to demonstrate the current capacities and initiatives of their nation in bringing together the most effective responses to counter-proliferation, as well as to controlled, accountable and effectively communicated legitimate trade in small arms and light weapons. Some of the questions that might be addressed are:</i></p> <ul style="list-style-type: none"> - Does Customs share enough with Licensing? - Does Licensing share enough with Customs? - Do neighbouring countries share enough information to build confidence and trust? <ul style="list-style-type: none"> a. Albania b. Bosnia-Herzegovina c. Bulgaria d. Croatia e. Greece f. former Yugoslav Republic of Macedonia g. Montenegro h. Romania i. Serbia j. Turkey <p>Time will be available for separate presentations by Customs and Licensing, but it is encouraged that a joint presentation be developed between the agencies.</p>	
	Coffee Break	
1330-1400	<p>Debriefing- Evaluation of the Course</p> <p><i>All the participants and lecturers are expected to contribute substantially to the course conclusions, which will be an essential part of the course report to be compiled by the workshop organizers.</i></p> <p>Seminar Closing Ceremony and provision of the Participation Certificates</p> <p>Moderator: Lieutenant Colonel Konstantinos Alexopoulos.</p>	
1400	Lunch	
	Departure of participants	