



International Nonproliferation Export Control Program (INECP)

US DOE/NNSA

***The International Nonproliferation Export
Control Program***

*Ashley Fullenwider
Argonne National Laboratory*

***ECCO
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Outline

- **Threat and Mission**
- **Program Overview**
 - Engagement process
 - Three pillars of INECP activity
 - *Licensing*
 - *Enterprise outreach*
 - *Enforcement*
 - INECP reference and technical guides
 - U.S. export enforcement
 - Regional engagement
 - *Technical Expert Working Groups (TEWG)*
 - *International organizations*
- **INECP Today**

Proliferation Threat

- **Proliferation history demonstrates that proliferators developing WMD programs seek to build local production facilities**
- **These facilities rely on imports of special equipment, materials, systems, and components**
- **WMD procurement programs systematically target weak export control systems and use networks of agents, brokers, and front companies to obtain items of interest**

International Nonproliferation Export Control Program

MISSION

Strengthen global efforts to prevent proliferation of WMD-related materials, equipment, and technology



AREAS OF ENGAGEMENT

Proliferation Risk Analysis in the Licensing Process

- Ensure the license review process competently assesses proliferation risks associated with end-uses and end-users, and ensure technical specialists are being utilized

Government Outreach and Enterprise Compliance

- Assist governments to establish outreach programs and promote enterprise compliance at key enterprises and technology holders

WMD-related Commodity Identification Training and reach-back for Customs

- Ensure enforcement personnel are sensitized to WMD-related materials and equipment, and have access to technical/analytical resources and support

**Primary Objective:
strengthen implementation of strategic trade controls**

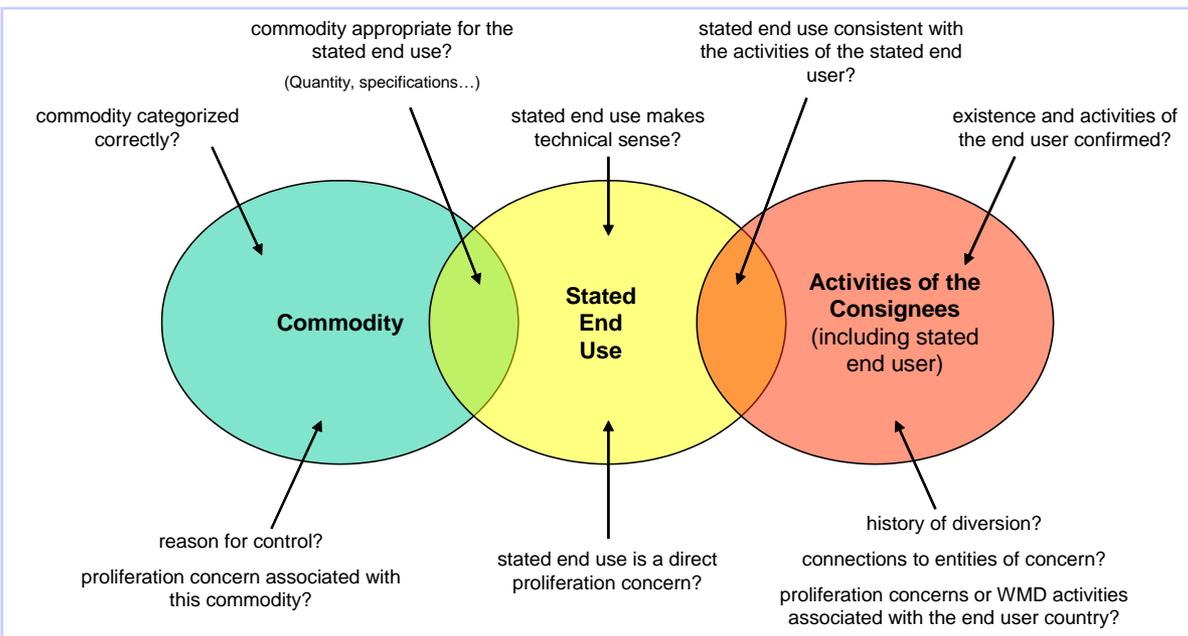
INECP Approach

- **INECP tailors an approach according to the partner's needs that INECP can most effectively address based on the technical expertise of the Department of Energy and its National Laboratories**
 - Helps establish cadres of technical specialists to support licensing officials
 - Helps establish government outreach programs reach public sector & legacy WMD enterprises, labs, manufacturers, etc. to promote compliance
 - Helps establish national training programs for export enforcement officials and promotes establishment of timely and effective technical reachback
 - Fosters regional partnerships and outreach to build and strength strategic trade control cooperation

INECP's focus is to develop a cadre of technical experts that can support a partner's export control system over time

Spotlight on Licensing

- **Technical Introduction to Licensing (TIL) introduces countries in the process of developing a national control list to the structure and technical content of the European Union (EU) Dual Use List**
- **End Use/End User (EU/EU) Analysis focuses on strengthening the ability of analysts to uncover suspicious procurement activity and assess proliferation risk.**
- **Analysis of Strategic Commodity Transfers (ASCOT) helps analysts better understand multilateral controls, including the commercial and WMD applications of listed commodities.**



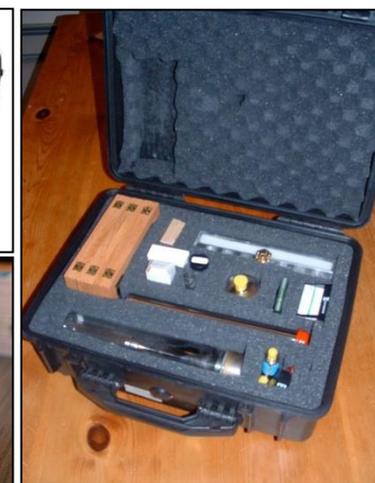
Spotlight on Enterprise Outreach

- **INECP works with foreign partners to establish and strengthen enterprise compliance with strategic trade management laws**
 - Activities are tailored to the specific country, circumstances and needs
- **An effective EO program must be led and driven by government licensing and/or enforcement agencies**
- **INECP supports government EO activities by providing subject matter expertise based on DOE/National Laboratory experience with US export management systems, multilateral regimes, control lists and export control special topics**
- **Of the various elements of a national EO strategy, INECP has focused primarily on supporting public seminars and conferences and, to a lesser extent, the publication of information resources**

Activities are carried out in close collaboration and coordination with foreign partners

Spotlight on Enforcement

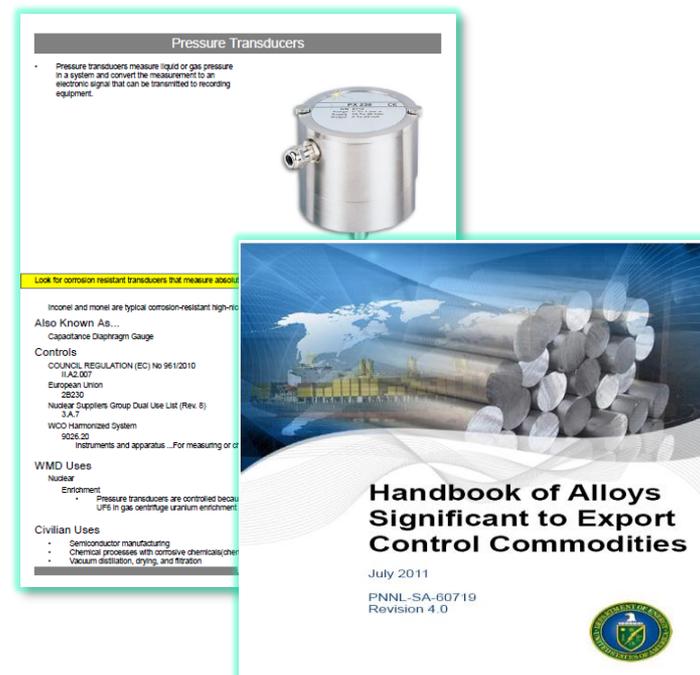
- CIT familiarizes enforcement officers with the materials, components, and equipment sought by WMD procurement programs
- CIT reduces the complexity of the various export control lists
- INECP follows a train-the-trainer approach, to help establish ongoing training programs and technical “reach-back” capabilities
- INECP’s CBRNe CIT strengthens interdiction and border security capacities to address the non-state actor dimension of the proliferation threat, as called for by UNSCR 1540.



Both front-line familiarity and technical reach-back are key in dual-use interdiction cases

INECP Reference and Technical Guides

- INECP develops and offers technical tools to assist in commodity identification, such as handbooks, the online eCIT Strategic Commodity Reference (SCORE) and an XRF-based alloy identifier
 - Guides and Handbooks
 - *Cross-Reference for Export-Controlled Chemicals*
 - *Export-Controlled Alloys Reference Handbook*
 - *Open-source Internet Research Guide*
 - eCIT-generated Commodity Handbooks and Field Guides
 - Partner-developed References
 - *Latvian textbooks for university-based course*
 - *Russian, Ukrainian and Georgian versions of NSG Dual-Use Handbook*
 - Other NNSA-developed Resources
 - *NSG Dual-Use List and Trigger List Handbooks*
 - *MTCR Annex Handbook*
 - *NSG and AG Licensing and Enforcement Officers Manuals*
 - *Handbook for the AG Dual-Use Chemical and Biological Equipment, Chemical Weapons Precursors*
 - *PSI WMD Commodity Reference Manual*



Russian, Kazak and Ukraine guides have been distributed to most FSU and EU frontier states

Supporting Export Enforcement in the U.S.

- **U.S. is a major supplier of strategic commodities**
- **INECP provides support to U.S. export enforcement efforts since 2002**
 - **Ad hoc technical assistance evolved to systematic support**
- **INECP work in the US provides NIS and EXBS credibility overseas when we ask foreign partners to address enforcement gaps**
- **USG partners extend INECP's reach to otherwise inaccessible international partners**
 - **UAE, Western Europe, WCO**
- **INECP is critical part of US export control system**
 - **no “train-the-trainer” option here. We are the technical resource for enforcement**



DOE is recognized as an impartial partner, able to bring agencies together

INECP Engagement Process

- **Partners are engaged based on a risk assessment that considers their capacity to supply WMD-related goods or to serve as a conduit to such suppliers**
- **Risk assessment guides country selection to ensure available funds maximize proliferation risk reduction**
 - Risk assessment combines supply and conduit threats with the national export control system vulnerability analyses
 - Risk = Threat x Vulnerability
- **Risk assessments are included in each Engagement Plan**

INECP's Engagement Plans are updated annually

Regional Engagements: Technical Expert Working Groups (TEWG)

- **Main goal: Provide a forum for EC professionals to share best practices, discuss ways to improve international EC cooperation between technical experts and develop regional EC initiatives/projects**
 - FSU TEWG
 - *8 meetings held from 1999-2012, starting with supplier states and now includes all FSU (except Belarus)*
 - Latin America TEWG
 - *First meeting held August 2012; South Africa participated*
 - Asia-Pacific Strategic Trade Experts Network (STEN)
 - *3 meetings conducted in July and November 2012, August 2013.*
 - *Participants include Australia, Indonesia, Malaysia, the Philippines, ROK, Singapore, Thailand and Vietnam*

TEWGs are force multipliers for bilateral partnerships and reinforce the imperative of establishing working level cadres of specialists

INECP Engagements: International Organizations (IO)

- **IOs leverage INECP's mission:**
 - IOs provide high-level validation and global reach through norm-setting and their own capacity-building programs
 - INECP involvement greatly enhances execution of IO capacity-building efforts and brings IO focus onto strategic goods export control and nonproliferation
- **IO outreach partnerships include:**
 - Leverage relationships and support bilateral partners (i.e. Brazil and OPCW, Argentina and WCO)
 - Reach new/larger audience with reduced costs
 - Leverage the resulting engagement pathways to establish more efficient and effective initial bilateral engagement
 - Avoid redundancy and reduce recipient fatigue while improving IO abilities to execute their mission
 - Mutually reinforce the nonproliferation message
 - Build and strengthen INECP's international reputation

Engaging IOs creates a force multiplier that positions NIS as a go-to program to strengthen all arrangements that seek to protect WMD-related items and technology while facilitating safe and secure trade

INECP Today

- **Widespread international interest in INECP's technical and training resources has been fueled over the past decade by a growing international resolve to combat WMD procurement networks.**
- **Interest in INECP's expertise has also grown alongside international concerns that criminal networks might assist terrorist organizations in procuring WMD.**
- **INECP collaborates with over 70 domestic and international partners.**
 - Many of these partnerships are made possible through the coordination and, in some instances, financial support of the Department of State's Export Control and Related Border Security (EXBS) program

Between FY09 and FY12, INECP conducted an average of 86 trainings for representatives from 48 countries per year.