

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



PUBLIC DOCUMENTS

Volume IV

Background Documents
and
Plenary-related and Other Statements

Compiled by the Wassenaar Arrangement Secretariat

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I. Background Documents

THE WASSENAAR ARRANGEMENT

(Adopted by the Plenary in 1998)

The Wassenaar Arrangement (WA), the first global multilateral arrangement on export controls for conventional weapons and sensitive dual-use goods and technologies, received final approval by 33 co-founding countries in July 1996 and began operations in September 1996.

The WA was designed to promote transparency, exchange of views and information and greater responsibility in transfers of conventional arms and dual-use goods and technologies, thus preventing destabilising accumulations. It complements and reinforces, without duplication, the existing regimes for non-proliferation of weapons of mass destruction and their delivery systems, by focusing on the threats to international and regional peace and security which may arise from transfers of armaments and sensitive dual-use goods and technologies where the risks are judged greatest. This arrangement is also intended to enhance co-operation to prevent the acquisition of armaments and sensitive dual-use items for military end-uses, if the situation in a region or the behaviour of a state is, or becomes, a cause for serious concern to the Participating States.

The Participating States seek through their national policies to ensure that transfers of arms and dual-use goods and technologies do not contribute to the development or enhancement of military capabilities that undermine international and regional security and stability and are not diverted to support such capabilities. The Arrangement does not impede bona fide civil transactions and is not directed against any state or group of states. All measures undertaken with respect to the Arrangement are in accordance with member countries' national legislation and policies and are implemented on the basis of national discretion.

The WA countries maintain effective export controls for the items on the agreed lists, which are reviewed periodically to take into account technological developments and experience gained. Through transparency and exchange of views and information, suppliers of arms and dual-use items can develop common understandings of the risks associated with their transfer and assess the scope for coordinating national control policies to combat these risks.

The Arrangement's specific information exchange requirements involve semi-annual notifications of arms transfers, currently covering seven categories derived from the UN Register of Conventional Arms. Members are also required to report transfers or denials of transfers of certain controlled dual-use items. Denial reporting helps to bring to the attention of members the transfers that may undermine the objectives of the Arrangement.

Information exchanged in the Arrangement can also include any other matters relevant to the WA goals that individual Participating States wish to bring to the attention of other members.

Participating States meet on a regular basis in Vienna, where the Arrangement has established its headquarters and a small Secretariat. Decisions are made by consensus.

The Arrangement is open on a global and non-discriminatory basis to prospective adherents that comply with the agreed criteria. To be admitted, a state must: be a producer/exporter of arms or industrial equipment respectively; maintain non-proliferation policies and appropriate national policies, including adherence to relevant non-proliferation regimes and treaties; and maintain fully effective export controls. Although the Arrangement does not have an observer category, a diverse outreach policy is envisaged in order to inform non-member countries about the WA objectives and activities and to encourage non-members to adopt national policies consistent with the objectives of greater transparency and responsibility in transfers of conventional arms and dual-use goods and technologies, maintain fully effective export controls and adhere to relevant non-proliferation treaties and regimes.

Genesis of the Wassenaar Arrangement

(Adopted by the Plenary in 1998 and amended in 2005)

In light of the end of the Cold War, members of the former COCOM export control regime recognised that COCOM's East-West focus was no longer the appropriate basis for export controls. There was a need to establish a new arrangement to deal with risks to regional and international security and stability related to the spread of conventional weapons and dual-use goods and technologies. Accordingly, on the 16th of November 1993, in The Hague, at a High Level Meeting (HLM), representatives of the 17 COCOM member states agreed to terminate COCOM, and establish a new multilateral arrangement, temporarily known as the "New Forum".

This decision was confirmed at a further HLM in Wassenaar, Netherlands on 29-30 March 1994. COCOM ceased to exist March 31, 1994. Participating States also agreed to continue the use of the COCOM control lists as a basis for global export controls on a national level until the new arrangement could be established. At this time the former COCOM cooperating countries, namely, Austria, Finland, Ireland, New Zealand, Sweden and Switzerland, were included as participating states in the "New Forum". With the objective of starting a new arrangement as soon as possible, three Working Groups were established. Working Group 1 was mandated to develop goals, rules and procedures for the new arrangement. Working Group 2 was tasked with developing the lists of goods and technologies that would be controlled, while the third Working Group was tasked to deal with administrative matters.

The Russian Federation, Czech Republic, Hungary, Poland, and the Slovak Republic were welcomed as participating states at the High Level Meeting held on 11-12 September 1995 in Wassenaar. With this major milestone accomplished, the Working Groups were urged to expedite their work.

Agreement to establish the "Wassenaar Arrangement" was reached at the HLM held on 19 December 1995, again in Wassenaar and this was announced with a declaration issued at the Peace Palace in The Hague. At this time there was also agreement to locate the Secretariat in Vienna and establish a Preparatory Committee of the Whole to prepare for the first plenary meeting.

The inaugural Plenary Meeting of the Wassenaar Arrangement was held 2-3 April 1996 in Vienna, Austria. Argentina, the Republic of Korea and Romania were welcomed as additional founding members. Consensus could not be reached on all issues, so the meeting was suspended to provide time to resolve the outstanding issues.

On 11-12 July 1996, the Plenary Meeting resumed, with Bulgaria and Ukraine participating, to make a total of 33 founding members. Final consensus on the "Initial Elements", the basic document of the WA, was reached and it was established that the new Control Lists and Information Exchange would be implemented from 1 November 1996. The first Plenary Meeting of the now operational Wassenaar Arrangement was held on 12-13 December 1996 in Vienna.

II. Plenary-related Statements

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

PRESS STATEMENT

Representatives of 33 States met in Vienna, Austria on 11 and 12 July 1996 and decided to implement the Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies.

Bulgaria and Ukraine were welcomed as new participants and co-founders by Argentina, Australia, Austria, Belgium, Canada, the Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovakia, Spain, Sweden, Switzerland, Turkey, the United Kingdom and the United States.

The purpose of the Arrangement reflected in the Initial Elements agreed to at the meeting, is to contribute to regional and international security by:

- promoting transparency and greater responsibility with regard to transfers of conventional arms and dual-use goods and technologies, thus preventing destabilizing accumulations;
- seeking through national policies, to ensure that transfers of these items do not contribute to the development or enhancement of military capabilities which undermine these goals, and are not diverted to support such capabilities;
- complementing and reinforcing, without duplication, the existing control regimes for weapons of mass destruction and their delivery systems, as well as other internationally recognized measures designed to promote transparency and greater responsibility, by focusing on the threats to international and regional peace and security which may arise from transfers of armaments and sensitive dual-use goods and technologies where risks are judged greatest; and,
- enhancing cooperation to prevent the acquisition of armaments and sensitive dual-use items for military end-uses, if the situation in a region or the behaviour of a state is, or becomes, a cause for serious concern to the Participating States.

This arrangement will not be directed against any state or group of states and will not impede bona fide civil transactions. Nor will it interfere with the rights of states to acquire legitimate means with which to defend themselves pursuant to Article 51 of the Charter of the United Nations.

Participating States will control all items set forth in the List of Dual-Use Goods and Technologies and the Munitions List with the objective of preventing unauthorised transfers or re-transfers of these items.

The decision to transfer or to deny a transfer of any item will be the sole responsibility of each Participating State. All measures undertaken with respect to the arrangement will be in accordance with national legislation and policies and will be implemented on the basis of national discretion.

The participants agreed detailed arrangements for the creation of a Secretariat in Vienna to facilitate the future work of the Arrangement and agreed to a work program that will expand and enhance the Arrangement in ways that will further its central purposes.

The next Plenary of the Arrangement is scheduled for December, 1996 in Vienna.

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

PRESS STATEMENT

Representatives of the 33 Participating States of the Wassenaar Arrangement* held their second Plenary Meeting in Vienna, Austria on 12 and 13 December 1996.

They noted with satisfaction that all Participating States have now started work on the basis of the Arrangement's Initial Elements.

They reiterated that the central purpose of the Arrangement is to contribute to regional and international security and stability by promoting transparency and greater responsibility in transfers of conventional arms and dual-use goods and technologies, thus preventing destabilising accumulations. They recalled that all measures undertaken with respect to the Arrangement will be in accordance with national legislation and policies and will be implemented on the basis of national discretion.

Pursuing this purpose, the Participating States of the Wassenaar Arrangement exchanged information and views on the transfer of arms and dual-use goods and technologies to several regions of the world.

They took note of the recent United Nations Security Council Resolution 1076 (1996) which calls upon all states immediately to end the supply of arms and ammunition to all parties to the conflict in Afghanistan. In the course of the information exchange, it was established that, as a matter of national policy, none of the Participating States transfers arms or ammunition to those parties.

At the Plenary, Participants also discussed the need to promote world-wide adherence to responsible policies regarding transfers of conventional arms and dual-use goods and technologies through outreach to non-members.

The Participants of the Arrangement agreed on the programme of work and budget for 1997, adopted guidelines on confidentiality and provided for the Secretariat in Vienna to support the Arrangement's activities. They welcomed the completion in the nearest future of the premises of the Secretariat as well as the granting of legal status to the Secretariat by the Austrian authorities.

* The Participating States of the Wassenaar Arrangement are:

Argentina, Australia, Austria, Belgium, Bulgaria, Canada, the Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovakia, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom and the United States.

**Wassenaar Arrangement
On
Export Controls for Conventional Arms and
Dual-Use Goods and Technology**

December 10, 1997

Public Statement

1. The Wassenaar Arrangement on Export Control for Conventional Arms and Dual-Use Goods and Technologies (WA) was established in July 1996 by 33 Participating States.* Several meetings have been held since then in Vienna, Austria, where the Arrangement is based.
2. During the third Plenary Meeting, which was convened on December 9-10, 1997 under the chairmanship of Ambassador Sohlman (Sweden), the member countries reviewed progress with regard to the implementation of the Arrangement's tasks as defined in the *Initial Elements*. They noted with satisfaction that the Arrangement became fully operational in 1997 and began to play an important role in combating the risks associated with the destabilising accumulation of armaments and sensitive dual-use items, which may undermine international and regional security.
3. The Participating States considered global arms flows and heard information that in 1995 and 1996 non-Wassenaar States imported annually around US \$ 15 billion worth of military equipment. They looked forward to exchanging further information of this nature.
4. The Participating States reaffirmed their commitment to contribute to regional and international security and stability by promoting transparency and greater responsibility in transfers of conventional arms and dual-use goods and technologies, thus preventing destabilising accumulations. They acknowledged the usefulness of sharing information as is done in the non-proliferation regimes. On the basis of views and information exchanged on international arms transfers, they noted potentially destabilising acquisitions of armaments in certain regions.
5. Participating States agreed to conduct a study on criteria for assessing destabilising weapons accumulations. The study will in particular consider what scope there is for increasing the relevant categories for reporting pursuant to paragraph II.5. of the Initial Elements and its goals. The results of the study will be reported to the next Plenary.

Participating States agreed to establish a voluntary process for notifications that go beyond the current 7 categories of arms.

6. The Arrangement agreed to amendments to its Lists to take into account technological developments since the establishment of the Arrangement in 1996. It was further agreed to develop criteria for the selection of sensitive dual-use goods and technologies. The List Review will start in 1998.

* The Participating States of the Wassenaar Arrangement are:

Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, Russian Federation, Slovak Republic, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom and United States.

7. The Participants reiterated the need to exercise maximum restraint when considering licences for the export of sensitive items to all destinations where the risks are judged greatest.
8. They welcomed the interest demonstrated by the international community in WA activities and noted with satisfaction that the Arrangement is now being widely recognised. In particular, the Participating States acknowledged the support for the Arrangement expressed by the Summit of the Eight in Denver (June 1997).
9. They further noted with appreciation the efforts being undertaken by other multilateral export control arrangements and international organisations to contribute to international security and stability through promoting greater responsibility in the transfer of arms and sensitive technologies. In particular, they welcomed the initiatives of the Organisation of American States regarding the convention on firearms and regional arms transparency, the EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms and other similar encouraging international efforts. In this respect they welcomed and encouraged the initiative of the West African countries in establishing a moratorium on import, export and manufacture of light weapons.
10. Participants exchanged views on means to promote world-wide adherence to responsible policies regarding transfers of conventional arms and dual-use goods and technologies through outreach contacts with non-members. They further appeal to all non-members to support the goals of the Arrangement and agreed to provide more transparency with respect to the activities of the Arrangement through establishing dialogue with these countries as well as with relevant international organisations.
11. Recognising the important role of the Arrangement in contributing to international security and stability, the Participants agreed on the 1998 work programme and budget that provide the necessary organisational basis to further strengthen the functioning of the WA.

WASSENAAR ARRANGEMENT
ON
EXPORT CONTROLS FOR CONVENTIONAL ARMS AND
DUAL-USE GOODS AND TECHNOLOGIES

VIENNA, DECEMBER 3, 1998

PUBLIC STATEMENT

1. The fourth Plenary meeting of the Wassenaar Arrangement (WA) was held December 2-3, 1998 under the chairmanship of Ambassador Staffan Sohlman (Sweden).
2. The Plenary took note of the work carried out in 1998. Participating States considered a number of issues relevant to the WA's purposes, including information on: arms and sensitive technology flows to regions in conflict or otherwise of concern; issues related to specific projects, programmes and end-users of concern; and on diversions and unauthorised transshipments. Participating States also examined global arms import trends and sensitive emerging technologies.
3. Participating States noted with satisfaction the increasing amount of information being exchanged in the WA, allowing them more effectively to develop common understandings of the risks associated with the transfer of arms or sensitive dual-use goods and technologies. The information exchange process is designed to help Participating States achieve the purposes of the WA, *inter alia*, to promote transparency and greater responsibility in transfers of conventional arms and dual-use goods and technologies, thus preventing destabilising accumulations. On the basis of information exchanged, Participating States assess the scope for coordinating national control policies to combat the risks associated with transfers. The WA will seek in 1999 to enhance further the value and effectiveness of its information exchange.
4. The WA in 1999 will undertake its first assessment of the overall functioning of the Arrangement, as specified in the Initial Elements. Participating States approved the basic scope and procedures for the assessment.
5. Participating States discussed arms flows to a number of regions where conflict is occurring. Participating States are committed to exercising, as a matter of national policy, maximum restraint when considering licences for the export of arms and sensitive dual-use items to all destinations where the risks are judged greatest, in particular to regions in conflict, and to maintaining national policies consistent with the purposes and objectives of the WA and with relevant decisions adopted by United Nations Security Council and/or other international organisations to which the Participating States may belong.

The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established in July 1996 by 33 Participating States. Meetings are held in Vienna, Austria, where the Arrangement is based. The Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, the Republic of Korea, Portugal, Romania, Russian Federation, Slovak Republic, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom, and the United States.

6. Participating States approved a study paper on criteria for assessing destabilising weapons accumulations entitled, "Elements for Objective Analysis and Advice Concerning Potentially Destabilising Accumulations of Conventional Weapons." This document, with an explanatory note, is attached.
7. The Plenary authorised further work in the Wassenaar Arrangement on arms transparency, building on the work already undertaken, recognizing the requirement to assess in 1999 the overall functioning of the WA based upon the relevant provisions of the Initial Elements, including paragraph II.5, and the goals of the WA.
8. The WA agreed control list amendments to take into account recent technological developments. The amendments to the lists included elimination of coverage of commonly available civil telecommunications equipment as well as the modernisation of encryption controls to keep pace with developing technology and electronic commerce, while also being mindful of security interests. Participating States also discussed the potential need for the WA and national export control authorities to respond quickly and effectively to the emergence of new technologies.
9. Participating States acknowledged initiatives undertaken in other fora that could be relevant to the WA's objectives. The WA will seek to maintain or establish appropriate contacts with such fora, in order to advance mutual goals and interests and to avoid duplication of effort.
10. The Wassenaar Arrangement welcomed the October 31 Declaration of a Moratorium on the Importation, Exportation and Manufacture of Light Weapons by ECOWAS (Economic Community of West African States) member states. Participating States will undertake an appropriate collaborative role with ECOWAS member states to respect the provisions of the Moratorium and will be open to providing advisory and/or technical assistance in the implementation of the Moratorium.
11. In view of the significant negative impact that excessive accumulations of small arms and light weapons have had in recent, largely sub-national conflicts, and the relevance this has to the WA's objectives, Participating States recognised the importance of implementing responsible export policies and maintaining effective export controls with respect to small arms and light weapons. In particular, they affirmed the importance of exercising vigilance over any transfers of small arms and light weapons to areas of conflict and to prevent their diversion to such areas.

Participating States recognized the utility of exchanging information on issues such as diversionary routes and end-users as a means of helping national enforcement authorities to reduce illicit arms trafficking.

Participating States have taken note of the efforts of a number of international fora that are seeking to contribute to the prevention of excessive accumulations of small arms and light weapons. To increase mutual understanding and to avoid duplication of effort, the WA will be active in communicating to other relevant fora Participating States' commitment to responsible transfer policies and effective export controls on small arms and light weapons. The WA invites other fora to provide relevant information on their activities to the WA.

12. The Participating States confirm that they share the concerns regarding the threat to civil aviation posed by the illicit possession of Man Portable Air Defense Systems (MANPADS) and recognize the need for appropriate measures to prevent such possession. In this connection, the Participating States have agreed to continue the discussion of this issue. In particular, they will consider their national practices and possibly develop guidelines and will report the results of this work to the 1999 Plenary. The Participating States call on all the non-participating end-user States to strengthen their national controls on MANPADS in order to avoid their unauthorised possession and use.
13. Participating States examined technical aspects of their export controls, such as controls on the most sensitive dual-use items, end-use assurances and disposal of surplus military equipment. These discussions are designed to assist Participating States to bring their export controls on arms and sensitive dual-use items to the most effective levels possible.
14. Participating States exchanged views on means to promote, through their outreach contacts with non-Participating States, global adherence to responsible policies and effective controls with respect to international non-proliferation objectives and arms and dual-use transfers. The Plenary reaffirmed that the Wassenaar Arrangement is open, on a global and non-discriminatory basis, to prospective adherents that comply with the agreed criteria.
15. In 1998, the WA completed its secretariat structure by appointing Ambassador Luigi Lauriola (Italy) as the Head of the Secretariat of the Wassenaar Arrangement.

PUBLIC STATEMENT FOR 1999 PLENARY

The fifth Plenary meeting of the Wassenaar Arrangement (WA) was held December 1-3, 1999 under the chairmanship of Ambassador Staffan Sohlman (Sweden).

The Plenary discussed the work carried out in 1999 on a number of issues relevant to the WA's purposes, including: information sharing on arms and sensitive technology flows to regions in conflict or otherwise of concern; issues related to specific projects, programmes and end-users of concern; and on diversions and unauthorised transshipments. Participating States also examined global arms import trends and sensitive emerging technologies.

Participating States reaffirmed their commitment to maintain responsible national policies consistent with the purposes and objectives of the Wassenaar Arrangement; and to maximum restraint as a matter of national policy when considering licensing for the export of arms and sensitive dual-use items to all destinations, where the risks are judged greatest, in particular to regions where conflict is occurring. They noted with concern continuing illicit arms flows to zones of conflict, including to states and parties subject to mandatory UNSC arms embargoes. They also noted with concern licit transfers to zones of conflict from states not participating in the Wassenaar Arrangement. They decided to continue, on the basis of information exchanged, their discussion of regions where the risks are judged greatest with a view to enhancing the effectiveness of the Wassenaar Arrangement, taking into account the right to self defence of legitimate governments.

The Plenary reiterated its encouragement that Participating States undertake an appropriate collaborative role with ECOWAS Member States to respect the provisions of the ECOWAS Moratorium, and consider providing advisory and/or technical assistance in the implementation of the Moratorium.

Participating States confirmed that they share the concerns regarding the threat to civil aviation, peace-keeping, crisis management, and anti-terrorist operations posed by the illicit possession of Man Portable Air-Defence Systems (MANPADS) and recognised the need for appropriate measures to prevent such possession. In this connection, Participating States agreed to continue discussion of this issue, in particular, with a view to possible development of guidelines.

In addition to its regular annual review, the Plenary concluded the first overall Assessment of the functioning of the Arrangement, which was carried out over the past year in accordance with the 1996 decision by Participating States. The Plenary drew a number of conclusions from this assessment.

Participating States agreed that Wassenaar Arrangement objectives remain valid as laid down in the Initial Elements. It was also agreed that, in line with these goals, the WA should continue to contribute to preventing circumvention of export controls, *inter alia*, by terrorist or organised criminal groups that seek to acquire armaments and dual-use items.

The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established in July 1996 by 33 Participating States on the basis of the Initial Elements (see web site: www.wassenaar.org). Meetings are held in Vienna, Austria, where the Arrangement is based. The Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, the Republic of Korea, Portugal, Romania, Russian Federation, Slovakia, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom, and the United States.

Participating States agreed to improve the efficiency and effectiveness of the General Information Exchange.

Participating States, while deciding not to revise the WA Initial Elements at this point, reaffirmed again the evolutionary nature of the WA, noting the provisions in the Initial Elements for review of particular issues outside an overall assessment.

Participating States, having analysed the agreed criteria for assessing destabilising accumulations of weapons and proposals to improve arms transparency, agreed to elaborate reporting requirements for the exchange of information on arms deliveries. (An amended version of Appendix 3 to the Initial Elements is attached).

Participating States continued to consider and discuss the question of small arms and light weapons transfers, and their illicit trafficking. They reaffirmed the importance of implementing responsible export policies and maintaining effective export controls with respect to small arms and light weapons, and decided to study the issue further as a matter of urgency.

Whilst acknowledging the current practice of voluntary reporting on arms transfer denials on an individual basis and undercuts of such denials, Participating States agreed to study the value of reporting such transfers and denials.

Recognising that the level of transparency in the dual-use pillar is already advanced, Participating States decided to study the possible inclusion of end-user data in denial notifications of Tier One items on the list of dual-use goods and technologies, and of items on Tier Two and its subset of Very Sensitive items.

Participating States agreed to certain control list amendments. They also agreed that the lists should continue to be updated in a timely manner and in accordance with Wassenaar procedures to keep them relevant to security, technological and commercial developments.

Participating States recognised it is important to have comprehensive controls of listed “software” and “technology”, including controls on intangible transfers. Participating States also recognised that it is important to continue deepening WA understanding of how and how much to control those transfers. In this context, Participating States agreed that the possibility of taking national measures should be considered.

Participating States affirmed that there should be strong, effective, transparent and national law-based enforcement of export controls. The elements of export control enforcement include a preventive programme, an investigatory process, penalties for violations and international cooperation.

Participating States reaffirmed that the Wassenaar Arrangement is open, on a global and non-discriminatory basis, to prospective adherents that comply with the agreed criteria for participation.

Participating States agreed to work actively with non-Participating States with a view to contributing to the ability of non-participants to implement responsible national export control policies in line with WA purposes, to establish and enforce effective national export control systems, and to provide support, as appropriate, in meeting criteria for membership by non-Participating States.

It was also agreed that an information exchange at the political/institutional level with other international fora dealing with issues similar to the WA's may be developed not only concerning the areas and nature of each other's activities to avoid duplication of work, or to facilitate complementarity, but also concerning parallel or even joint actions, after comprehensive coordination and preparation.

Members of the Plenary expressed their sincere thanks to Ambassador Staffan Sohlman for his major contributions to the work of the Wassenaar Arrangement during his term in office as Chairman.

The next WA Plenary regular meeting is to be held in Bratislava in November/December 2000. Ambassador Alojz Némethy (Slovakia) will assume the chairmanship as of 1 January 2000.

Vienna, December 3rd, 1999

Public Statement

THE SIXTH PLENARY OF THE WASSENAAR ARRANGEMENT

The sixth Plenary meeting of the Wassenaar Arrangement (WA) was held in Bratislava, 30 November – 1 December, 2000, under the chairmanship of Ambassador Alojz Nemethy (Slovak Republic).

The Foreign Minister of Slovakia, Mr. Eduard Kukan, as host of the Plenary meeting, welcomed participants to Bratislava. He stressed the importance that Slovakia attached to the Wassenaar Arrangement. He also emphasised that the gradual building of mutual trust and broader transparency, which was crucial in today's world, would ensure achieving the common objectives of the Wassenaar Arrangement Initial Elements.

Participating States took note of work done over the year by the General Working Group to improve the efficiency of the General Information Exchange in accordance with the conclusions reached at the 1999 Plenary.

Participating States reaffirmed their commitment to maintain responsible national policies in the licensing of exports of arms and sensitive dual-use items. They noted with concern illicit arms flows to zones of conflict and areas covered by UNSC embargoes, as well as licit transfers to zones of conflict from states not participating in the Wassenaar Arrangement.

Participating States agreed to continue consideration of practical arms control measures, including of an appropriate collaborative role with ECOWAS member states to respect the provisions of the ECOWAS Moratorium, and of providing advisory and/or technical assistance in the implementation of the Moratorium. They expressed support for the UNSC's efforts to prevent illegal arms transfers to the UNITA forces in Angola.

Participating States reaffirmed their concern about the threat posed by the illicit possession and use of Man Portable Air-Defence Systems (MANPADS) and agreed on elements of export controls* on such weapons.

The Plenary reaffirmed the importance of responsible export policies towards, and effective export controls over, small arms and light weapons to prevent destabilising accumulations. Participating States would continue to share information and explore practical measures. The Plenary took note positively of other international efforts including the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in all its Aspects to be held in July 2001, and the work of the OSCE, including its adoption of a document on small arms and light weapons.

The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established in July 1996 by 33 Participating States on the basis of the Initial Elements (see web site: www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. The Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, Republic of Korea, Portugal, Romania, Russian Federation, Slovakia, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom and the United States.

* All these documents will be available on the WA web site: www.wassenaar.org.

The Plenary agreed on non-binding best practices* regarding: the effective enforcement of national export controls; the disposal of surplus military equipment; and the control of exports of items designated as very sensitive.

The Plenary agreed to a number of control list amendments which will be published shortly. Participating States affirmed the importance they attach to timely updating of the lists to keep pace with technology advances while maintaining security interests. The Plenary took note of an indepth study conducted in 2000 on controls of computers and microprocessors.

The Plenary identified other areas for further consideration, including:

- Arms transparency: Participating States agreed to continue study of this topic;
- Arms brokering: Participating States recognised the importance of this issue and agreed to continue to exchange information on national legislation and practices, and discuss possible enforcement measures;
- Intangible transfers: Participating States recognised that it is important to continue deepening Wassenaar Arrangement understanding of how and how much to control such transfers;
- Review of computer and microprocessor controls with a view to further liberalisation, taking into account technology advances and security concerns of Participating States.

On outreach, Participating States again confirmed that the Wassenaar Arrangement is open, on a global and non-discriminatory basis, to prospective adherents that comply with agreed criteria for participation. Participating States agreed to study the possibility of further contacts with other non-proliferation regimes to avoid duplication of work and to facilitate complementarity.

Members of the Plenary thanked Ambassador Alojz Nemethy for his major contributions as Plenary Chairman to the work of the Wassenaar Arrangement.

The next WA Plenary regular meeting is to be held in Vienna in December 2001. Ambassador H. Aydin Sahinbas (Turkey) will assume the Plenary Chairmanship on 1 January 2001.

Bratislava, December 1st, 2000

* All these documents will be available on the WA web site: www.wassenaar.org.

PUBLIC STATEMENT

2001 PLENARY
OF
THE WASSENAAR ARRANGEMENT
ON EXPORT CONTROLS FOR CONVENTIONAL ARMS AND
DUAL-USE GOODS AND TECHNOLOGIES

The seventh Plenary meeting of the Wassenaar Arrangement (WA)* was held in Vienna, 6-7 December, 2001, under the chairmanship of Ambassador Aydin Sahinbas (Turkey).

In the light of recent international developments, Participating States underlined the importance of strengthening export controls and reaffirmed their commitment to maintain responsible national policies in the licensing of exports of arms and sensitive dual-use items. Recalling UNSC Resolution 1373 (2001), the Plenary agreed that Participating States will continue to prevent the acquisition of conventional arms and dual-use goods and technologies by terrorist groups and organisations as well as by individual terrorists, and that such efforts are an integral part of the global fight against terrorism. To make this commitment explicit, they decided to add an appropriate paragraph (paragraph 5 of Part I, "Purposes") to the Initial Elements¹. The Plenary agreed to take concrete steps to give effect to this decision.

Participating States took positive note of the work done during the year to make the General Information Exchange more efficient.

Participating States noted with concern illicit arms flows to zones of conflict and areas covered by UNSC embargoes, as well as licit transfers to zones of conflict from states not participating in the Wassenaar Arrangement. They stressed their commitment to support the UNSC's efforts to prevent arms transfers to the UNITA forces in Angola and to terrorist groups operating from and in Afghanistan. Participating States also agreed to continue consideration of practical measures to support regional arms control initiatives, including the ECOWAS Moratorium.

The Plenary reaffirmed the importance of responsible export policies towards, and effective export controls over, small arms and light weapons (SALW) to prevent destabilising accumulations and diversion. In this connection, Participating States agreed they would continue to share relevant information and explore practical measures.

* The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established in July 1996 by 33 Participating States on the basis of the Initial Elements (see web site: www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. The Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, Republic of Korea, Portugal, Romania, Russian Federation, Slovakia, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom and the United States.

¹ This document will be available on the WA web site: www.wassenaar.org.

Participating States recognised the importance of controlling arms brokering and agreed to continue discussion with a view to elaborating and refining the criteria for effective legislation on arms brokering, and to continue discussion of enforcement measures.

The Plenary agreed to include two additional sub-categories of military items in mandatory reporting of transfers/licenses granted under Appendix 3 of the Initial Elements: armoured bridge-launching vehicles (under Category 2, sub-Category 2.3)¹ and gun-carriers specifically designed for towing artillery (under Category 3, sub-Category 3.4)¹.

The Plenary also agreed to a number of control list amendments which will be published in due course. Participating States affirmed the importance they attach to timely updating of the lists to keep pace with technology advances while maintaining security interests.

Participating States approved a revised Statement of Understanding on Intangible Transfers of Software and Technology, (which will appear on page 187 of the revised Control List¹).

The Plenary decided to consider ways to develop contacts with non-Wassenaar members, including major arms producers. Participating States again confirmed that the Wassenaar Arrangement is open, on a global and non-discriminatory basis, to prospective adherents that comply with established criteria for participation, and agreed to develop further contacts with other non-proliferation regimes to avoid duplication of work and to facilitate complementarity.

With a view to the work to be undertaken in 2002, the Plenary identified further options for consideration, aiming at increasing the efficiency of export controls.

Members of the Plenary thanked Ambassador Aydin Sahinbas (Turkey) for his major contributions as Plenary Chairman to the work of the Wassenaar Arrangement.

The next regular WA Plenary meeting is to be held in Vienna in December 2002. Ambassador Volodymyr Ohrysko (Ukraine) will assume the Plenary Chairmanship on 1 January 2002.

Vienna, 7 December 2001

PUBLIC STATEMENT

2002 PLENARY OF THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES

The eighth Plenary meeting of the Wassenaar Arrangement (WA)* was held in Vienna, 11-12 December 2002, under the chairmanship of Ambassador Volodymyr Ohryzko (Ukraine).

Participating States agreed on several significant initiatives to combat terrorism, building on the counter-terrorism commitments agreed at the 2001 Plenary. They intensified their ongoing co-operation to prevent the acquisition of conventional arms and dual-use goods and technologies by terrorist groups and organisations, as well as by individual terrorists. To this end, they developed new means for sharing information and for implementing concrete actions to strengthen export controls over these items. In their review of the lists of items subject to export controls, Participating States paid particular attention to the terrorism threat, introducing new controls for this purpose. A number of additional proposals aimed at strengthening export controls as part of the fight against terrorism and against illicit transfers were made. In this context, Participating States also agreed to review existing WA guidelines regarding Man-Portable Air Defence Systems (MANPADS) to assess the adequacy of these guidelines in preventing terrorist use of such systems.

Participating States agreed on a major new initiative on small arms and light weapons (SALW) – weapons of choice for terrorists. They adopted a document setting out detailed "best practice" guidelines and criteria for exports of SALW (annexed and will be available on the WA website: www.wassenaar.org). They also agreed to study the adoption of the sub-categories of SALW used in the Organisation for Security and Co-operation in Europe as a basis for reporting of SALW within the Wassenaar Arrangement. The Plenary reaffirmed the importance of responsible export policies towards, and effective export controls over, small arms and light weapons (SALW) in order to prevent uncontrolled proliferation, destabilising accumulations and diversion.

Participating States recognised the positive work done during the year to make the Information Exchange more efficient. They expressed concern about illicit arms flows to zones of conflict and areas covered by UN Security Council embargoes, as well as licit transfers to zones of conflict from states not participating in the Wassenaar Arrangement. They stressed their commitment to support, by all appropriate means, the efforts of the Security Council to prevent illegal arms transfers to terrorist groups and to all governments and groups under Security Council embargoes.

* The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established in July 1996 by 33 Participating States on the basis of the Initial Elements (see web site: www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. The Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal, Republic of Korea, Romania, Russian Federation, Slovakia, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom and the United States.

Recognising the importance of controlling arms brokering, Participating States adopted a Statement of Understanding on this subject (also annexed and will be available on the WA website: www.wassenaar.org). They agreed to continue elaborating and refining the criteria for effective legislation on arms brokering, and to continue discussion of enforcement measures, for the purpose of developing a Wassenaar policy on arms brokering.

Participating States considered measures on possible implementation of a catch-all* provision and a denial consultation mechanism. They agreed to include an additional sub-category of military items in mandatory reporting of transfers/licenses granted under Appendix 3 of the Initial Elements.

In order to keep pace with advances in technology and developments in the international security situation, the Plenary emphasised the importance of the timely updating of the control lists and agreed a number of amendments, including strengthened controls on radiation hardened integrated circuits, which will be published shortly.

At the same time, Participating States, in their review of the control lists, sought to take into account other developments, including wide availability and diversity of suppliers. A significant degree of relaxation of export control was introduced for digital computers, for example, along with the decontrol of general-purpose microprocessors. Participating States also worked to make the existing control text more easily understood and more 'user friendly' for commercial exporters and licensing authorities.

Participating States agreed to develop contacts with non-Wassenaar members, including major arms producing countries. Participating States again confirmed that the Wassenaar Arrangement is open, on a global and non-discriminatory basis, to prospective adherents that comply with established criteria for participation, and agreed to develop further contacts with the UN and other relevant international organisations and other non-proliferation regimes to avoid duplication of work and to facilitate complementarity.

Participating States will carry out next year the scheduled wide-ranging review ("Assessment") of the functioning of the Arrangement. This will be the second such review in Wassenaar's history.

Members of the Plenary thanked Ambassador Ohryzko for his major contribution as Plenary Chairman to the work of the Wassenaar Arrangement. They also welcomed the new Head of Secretariat, Ambassador Sune Danielsson, to his first Plenary.

The next regular WA Plenary meeting is to be held in Vienna in December 2003. Ambassador Kenneth C. Brill (United States) will assume the Plenary Chairmanship on 1 January 2003.

Vienna, 12 December 2002

* under which Participating States, as a matter of national policy, would require licensing/authorisation for transfers of non-listed items, under nationally or multilaterally specified circumstances, to certain destinations when the items are intended for a military end use.

PUBLIC STATEMENT

2003 PLENARY MEETING
OF
THE WASSENAAR ARRANGEMENT
ON EXPORT CONTROLS FOR CONVENTIONAL ARMS AND
DUAL-USE GOODS AND TECHNOLOGIES

The ninth Plenary meeting of the Wassenaar Arrangement (WA)* was held in Vienna, 10-12 December 2003, chaired by Ambassador Kenneth C. Brill (United States).

This year Participating States carried out a wide-ranging review or "Assessment" of the functioning of the Wassenaar Arrangement. Important steps were taken to enhance export controls on conventional arms and dual-use goods and technologies, with special emphasis on strengthening the capabilities of member governments to combat the threat of terrorism. Building on the results of the Assessment Plenary a Ministerial Statement was adopted emphasising that continued collaboration between Participating States in the Wassenaar Arrangement will make a significant contribution to global security.

The 2003 Plenary approved a number of major initiatives, which break important new ground for the Wassenaar Arrangement and make significant contributions to the fight against terrorism by means of WA export controls. These included tightening controls over Man Portable Air Defence Systems (MANPADS), agreeing to enhance transparency of small arms and light weapons (SALW) transfers, establishing elements for national legislation on arms brokering, and adopting end-use oriented controls encouraging member governments to impose export controls on certain unlisted items when necessary to support United Nations arms embargoes.

Recognising the continuing threat posed to civil aviation by unauthorised proliferation of MANPADS, Participating States adopted a more comprehensive agreement that includes provision for long-term measures to tighten security over these weapons.** In particular, the measures are aimed at preventing acquisition by and diversion of these weapons to terrorists. Participating States agreed to encourage other states to apply the same strict safeguards to control MANPADS.

The agreement on small arms and light weapons (SALW) reflected concerns that these items can exacerbate regional conflicts and are among the weapons of choice for terrorists. Participating States agreed to expand the scope of mandatory reporting of arms transfers by adding a new category on SALW to Appendix 3 of the Initial Elements.** They also agreed to lower the reporting threshold for transfers of artillery systems.

Participating States agreed to impose strict controls on the activities of those who engage in the brokering of conventional arms by introducing and implementing adequate laws and regulations based on agreed "Elements for Effective Legislation on Arms Brokering."**

* The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established in July 1996 by 33 Participating States on the basis of the Initial Elements (see web site: www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. The Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal, Republic of Korea, Romania, Russian Federation, Slovakia, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom and the United States.

** This document will be available on the Wassenaar Arrangement website www.wassenaar.org

Concerning end-use oriented controls, Participating States agreed that they should require governmental authorisation for the transfer of non-listed dual-use items to destinations subject to a binding United Nations Security Council (UNSC) arms embargo, any relevant regional arms embargo either binding on Participating States or to which a Participating State has voluntarily adhered, when the items are intended for a military end-use. (See "Statement of Understanding on Control of Non-Listed Dual-Use Items."**)

Participating States agreed to support, by all appropriate means, the efforts of the UNSC to prevent illegal arms transfers to terrorist groups and to all governments and groups under UNSC arms embargoes.

The Plenary agreed to a number of amendments to WA control lists, including strengthened controls on certain types of microwave electronic devices, semiconductor lasers, navigation equipment, etc., which will be published shortly. Participating States, in their review of lists, also took account of advances in technology and market availability. A rationalisation of WA export controls was introduced in areas such as electronic components and telecommunications equipment. Participating States also worked to make the existing control text easier for commercial exporters and licensing authorities to understand and apply. They recognised that greater transparency would be achieved if the "most sensitive" items on WA control lists were more clearly identified.

Participating States agreed to enhance co-operation with a view to better harmonising their export control policies.

Participating States reiterated that the Wassenaar Arrangement is open, on a global and non-discriminatory basis, to prospective adherents that comply with the agreed criteria, which were updated at the Plenary ** (See revised Appendix 4 of the Initial Elements). Participating States actively discussed and agreed to further study in the course of 2004 pending membership applications with a view to examining the possibility of their acceptance on a case by case basis.

The Plenary took steps to broaden the Arrangement's outreach to non-Wassenaar members and to relevant international institutions, e.g. the other export control regimes. Representing Participating States, the Plenary Chairman began meetings in 2003 with some non-Wassenaar members to explain the goals of the Arrangement and to encourage them to apply similar measures.

Members of the Plenary thanked Ambassador Kenneth C. Brill (U.S.) for his major contribution as Plenary Chairman to the work of the Wassenaar Arrangement in 2003, Ambassador Claudio Moreno (Italy) for his leadership during this year's Assessment, and Mr. Ioannis Anastasakis (Greece) for a successful list review. They also thanked the Head of Secretariat, Ambassador Sune Danielsson, and his staff for their support.

Participating States agreed to hold the next assessment of the overall functioning of the WA in 2007. The next regular WA Plenary meeting will take place in Vienna in December 2004. Ambassador Elsa Kelly (Argentina) will assume the Chair of the Plenary on 1 January 2004.

Vienna, 12 December 2003

** This document will be available on the Wassenaar Arrangement website www.wassenaar.org

PUBLIC STATEMENT
2004 PLENARY MEETING
OF
THE WASSENAAR ARRANGEMENT
ON EXPORT CONTROLS FOR CONVENTIONAL ARMS AND
DUAL-USE GOODS AND TECHNOLOGIES

The tenth Plenary meeting of the Wassenaar Arrangement (WA)* was held in Vienna, 8-9 December 2004, chaired by Ambassador Elsa Kelly (Argentina). The meeting reviewed the accomplishments of the year and considered further export control measures.

In the course of 2004, Participating States worked diligently to implement and expand upon the progress achieved during the 2003 Assessment Year. At this plenary, they committed themselves to further develop and undertake, as a matter of high priority, measures to implement initiatives e.g. work conducted against terrorism.

The Plenary welcomed the adoption of the UNSCR 1540 by the Security Council on 28 April, 2004.

Participating States noted that the resolution decides that all states shall establish, develop and maintain appropriate and effective export and trans-shipment controls, which is also a primary objective of the Wassenaar Arrangement.

The Wassenaar Arrangement stands ready to respond to any approach from the Chair of the UNSCR 1540 Committee, and Participating States in a position to do so expressed their willingness to provide assistance on the development of effective export controls to those States that request it.

Participating States reaffirmed their intention to intensify efforts to prevent the acquisition of conventional arms and dual-use goods and technologies by terrorist groups and organisations, as well as viewing them as an integral part of the global fight against terrorism. In this context they also exchanged information on national measures taken in accordance with the 2003 decision to tighten controls on the exports of Man-Portable Air Defence Systems (MANPADS) and called again on other countries to apply similar principles in order to prevent proliferation of these dangerous weapons.

In order to keep pace with advances in technology, market availability and developments in the international security situation, the Plenary agreed to a number of amendments to the control lists, which will be published shortly. Particular attention has been given to items that might be used for terrorism purposes. Participating States also worked actively to make the existing control text more easily understood and 'user friendly' for commercial exporters and licensing authorities.

* The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established in July 1996 by 33 Participating States on the basis of the Initial Elements (see web site: www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. The Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, the Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovakia, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom and the United States.

The Plenary welcomed Slovenia as a new Participating State to the Wassenaar Arrangement. Participating States reiterated that the Arrangement is open, on a global and non-discriminatory basis, to prospective adherents that comply with the agreed criteria and that pending membership applications will continue to be examined with a view of determining the possibility of their acceptance on a case by case basis.

The Plenary reiterated its intention to broaden the Arrangement's outreach to countries not participating in the Arrangement, other export control regimes and international and regional organizations. Outreach activities in 2004 have also included engagement with industry. Further meetings were held by the Plenary Chair to explain the goals of the Arrangement and to encourage them to apply similar measures. The Plenary agreed to endorse a continuation of these important activities in 2005.

For the first time in WA's history, a major outreach initiative was undertaken in the form of the Outreach Seminar. This successful seminar took place in Vienna on 19 October 2004. Participants represented more than 50 organizations covering a number of non-participating states, non-governmental organizations, academic institutes, the media and industry. The seminar raised awareness of the positive contribution that the WA makes to responsible transfers of conventional arms and dual-use goods and technologies. Participants recognised the importance of the event in increasing the transparency of WA. An important lesson that was taken away by Participating States was the need for greater engagement with industry representatives. Participating States welcomed the Outreach Seminar's success and agreed to another event to be held next autumn in Vienna.

The Plenary thanked Ambassador Elsa Kelly (Argentina) for her major contributions as Plenary Chair to the work of the Wassenaar Arrangement in 2004, Ambassador Seiji Morimoto (Japan) for his leadership of the General Working Group, and Mr. Ioannis Anastasakis (Greece) for a successful Experts Group list-review process in 2003-2004.

The next regular WA Plenary meeting will take place in Vienna in December 2005. Ambassador Dorothea Auer (Austria) will assume the Chair of the Plenary on 1st January 2005. In support of outreach activities the Austrian Chair envisages the launch of a WA publication containing contributions pertaining to various topics of importance to the WA.

Vienna, 9 December 2004

PUBLIC STATEMENT

2005 PLENARY MEETING OF THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES

The eleventh Plenary meeting of the Wassenaar Arrangement (WA)¹ was held in Vienna, 13-14 December 2005, and was chaired by Ambassador Dorothea Auer (Austria). The meeting reviewed the accomplishments of the year and considered further export control measures.

The Plenary welcomed the participation of Croatia, Estonia, Latvia, Lithuania, Malta and Slovenia in the Plenary for the first time, and admitted South Africa as the first African state to join the Arrangement. The Plenary reiterated that the WA is open, on a global and non-discriminatory basis, to prospective adherents that comply with the agreed criteria, and noted that membership applications would continue to be examined on a case-by-case basis.

The WA continues to keep pace with advances in technology, market trends and international security developments, such as the threat of terrorist acquisition of military and dual-use goods. The Plenary agreed to a number of amendments to the control lists, including in relation to items of potential interest to terrorists such as jamming equipment and unmanned aerial vehicles. The Plenary agreed to keep under review other items that could pose a threat if acquired by terrorists.

The WA considered growing international concerns about unregulated “intangible” transfers, such as by oral or electronic means, of software and technology related to conventional weapons and dual-use items.

In view of the threat posed by terrorist acquisition of man-portable air defence systems (MANPADS), the Plenary welcomed practical steps by a number of Participating States in implementing Wassenaar Elements for Export Controls of MANPADS, for example through the destruction of stockpiles of such weapons. The Plenary especially encouraged Participating States to promote the Wassenaar Elements on MANPADS to non-WA States.

Following a survey conducted over the past year, the Plenary approved an indicative list of end-use assurances that Participating States commonly require as a condition for export of controlled items. The Plenary agreed to make the list public via the WA website: www.wassenaar.org

¹ The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established in July 1996 by 33 Participating States on the basis of the Initial Elements (see web site: www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. The Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom and the United States.

The WA continues to place a high priority on transparency and outreach to non-Participating States and international organisations, with the aim of promoting the objectives of the Arrangement. Over the past year, the WA conducted outreach to South Africa and China, and further built upon last year's Outreach Seminar by focusing on outreach to industry in WA Participating States, where participants recognized the need for greater engagement with industry. Participating States undertook outreach to other countries in their national capacities.

The Plenary thanked the Chair, Ambassador Dorothea Auer (Austria), for her valuable contributions to the work of the Wassenaar Arrangement in 2005. The Plenary also thanked Minister Suh Chung-Ha (Republic of Korea) for his chairmanship of the General Working Group, Lt. Col. Lászlò Szatmàri (Hungary) for his leadership of the Experts Group list-review process in 2005, and Ms Lisa Wenger (United States) for her leadership of the Licensing and Enforcement Officers' Meeting (LEOM) in 2005. The Plenary extended the appointment of Ambassador Sune Danielsson (Sweden) as Head of the WA Secretariat for a further four years, with the deep gratitude of Participating States for the work of the Ambassador and his staff.

The next regular WA Plenary meeting will take place in Vienna in December 2006. Ambassador Deborah Stokes (Australia) will assume the Chair of the Plenary on 1 January 2006.

Vienna, 14 December 2005

**PUBLIC STATEMENT
2006 PLENARY MEETING
OF
THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES**

The twelfth Plenary meeting of the Wassenaar Arrangement (WA)*, chaired by Ambassador Peter Shannon of Australia, was held in Vienna on the 5th and 6th of December 2006. This meeting marked the tenth anniversary of the WA, which was established in order to contribute to regional and international security and stability through the promotion of transparency and greater responsibility for transfers of conventional arms and dual-use goods and technologies.

The Plenary brought together the forty Participating States of the WA. With the added participation of South Africa at this year's meeting, the Arrangement now enjoys representation from all continents. The Plenary reiterated that the WA is open, on a global and non-discriminatory basis, to prospective adherents that comply with the agreed criteria.

The WA continues to keep pace with advances in technology, market trends and international security developments, such as the threat of terrorist acquisition of military and dual-use goods and technologies. In this regard, the Plenary was able to reach agreement on a number of amendments to the control lists, including some in technically complex and challenging areas. The Plenary also agreed to initiate a dialogue between the WA Experts Group and its counterpart from the Missile Technology Control Regime with a view to discussing the control of specific items.

Apart from work on the control lists, and in consideration of growing international concerns about unregulated "intangible" transfers, such as by oral or electronic means, of software and technology related to conventional arms and dual-use items, the Plenary adopted a best practices document. This document, which the Plenary decided to make public on the WA website (www.wassenaar.org), will assist both Participating and non-Participating States alike in responding to the challenges associated with these transfers.

The Plenary also approved a document of *Best Practice Guidelines for the Licensing of Items on the Basic List and Sensitive List of Dual-Use Goods and Technologies*. This document, which will also be made public on the WA website, is intended to assist States in their implementation of effective export controls through guidance on the use of general licences and licence exceptions.

The WA continues to place a high priority on transparency and outreach to non-Participating States and international organisations, with the aim of promoting robust export controls. Over the past year, the WA conducted outreach to a number of non-Participating States and Participating States also undertook outreach in their national capacities.

* The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the Initial Elements adopted in July 1996 (see web site: www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom and the United States.

In view of concerns about the acquisition of man-portable air defence systems (MANPADS) by unauthorised users, the Plenary encouraged Participating States to promote the Wassenaar Elements on Export Controls of MANPADS to non-Participating States and expressed appreciation for the Plenary Chair's outreach activities to this end.

As 2007 will be an assessment year, the Plenary established a framework for evaluating the overall functioning of the WA. This framework will guide the Arrangement in weighing its response to existing challenges to the export controls regime, as well as its preparedness for emerging challenges. In addition, the Plenary established several task forces to assist in its review process.

The Plenary reaffirmed the commitment of Participating States to take all appropriate measures to ensure effective implementation of all UNSCR provisions relevant to the purposes of the Wassenaar Arrangement.

The Plenary thanked the Chair, Ambassador Peter Shannon, and his predecessor Ambassador Deborah Stokes, both of Australia, for their valuable contributions to the work of the WA in 2006. The Plenary also thanked Ambassador Rytis Paulauskas (Lithuania) for his chairmanship of the General Working Group, Lt. Col. Lászlò Szatmàri (Hungary) for his leadership of the Experts Group list-review process over the past two years, and Mr. Egon Svensson (Sweden) for his leadership of the Licensing and Enforcement Officers' Meeting (LEOM) over the past year. Finally, the Plenary expressed its appreciation and gratitude to Ambassador Sune Danielsson (Sweden) as Head of the WA Secretariat and his staff for ongoing support.

The next regular Wassenaar Arrangement Plenary meeting will take place in Vienna in December 2007. Ambassador Philippe Nieuwenhuys of Belgium will assume the Chair of the Plenary from the 1st of January 2007.

Vienna, 6 December 2006

PUBLIC STATEMENT
2007 PLENARY MEETING
OF
THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES

The thirteenth Plenary meeting of the Wassenaar Arrangement^{*}, chaired by Ambassador Cristina Funes-Noppen of Belgium, was held in Vienna on the 4th, 5th and 6th of December 2007. This meeting concluded the third assessment, which is undertaken by the Arrangement every four years to carry out a wide-ranging review and evaluation of its overall functioning and its contribution to regional and international security and stability by preventing destabilising accumulations of conventional arms.

In the context of the assessment, Participating States believed that the Wassenaar Arrangement has kept abreast of the main security challenges and was well-placed, within the realm of its competence, to address the risks posed by conventional arms. Participating States felt that the Arrangement was measuring up well to its purposes as set forth in its Initial Elements. In the framework of the assessment process, the focus was on the following main areas: Best Practices of Export Control Regulations, Re-export Control of Conventional Weapons Systems, Transparency, and Outreach. Participating States agreed that the Arrangement's active operation has allowed them to detect and deny exports incompatible with the Arrangement's goals and promoted effective export controls.

The Arrangement continues to keep pace with advances in technology, market trends and international security developments, such as the threat of terrorist acquisition of military and dual-use goods and technologies. The Plenary agreed to a significant number of amendments to the control lists, including some in technically complex and challenging areas such as on low-light level and infrared sensors. Particular attention has been given to items of potential interest to terrorists such as devices used to initiate explosions and specialized equipment for the disposal of improvised explosive devices as well as equipment that could help protect civil aircraft from Man-Portable Air Defence Systems (MANPADS) attacks. Participating States also worked actively to make the existing control text more easily understood and "user-friendly" for commercial exporters and licensing authorities. Some 2,500 editorial changes were made to the Lists. The Plenary welcomed the first dialogue at the technical level between the Wassenaar Arrangement Experts Group and its counterpart from the Missile Technology Control Regime which took place in 2007. This dialogue was aimed at developing a common understanding of terminology and technical parameters on controls of certain navigation equipment.

In view of continuing international concerns about the acquisition of MANPADS by unauthorised users, the Plenary approved amendments to the *2003 Elements for Export Controls of MANPADS* to ensure its more effective implementation.

^{*} The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the Initial Elements adopted in July 1996 (see web site: www.wassenaar.org/). Meetings are normally held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom and the United States.

Recognising the importance of Section I, paragraph 1 of the Initial Elements and specifically that the WA has been established in order to contribute to regional and international security and stability by, *inter alia*, promoting greater responsibility in transfers of conventional arms thus preventing destabilising accumulations, the Plenary adopted *Best Practices to Prevent Destabilising Transfers of Small Arms and Light Weapons through Air Transport* containing a series of specific measures that may be taken at national level regarding non-governmental air transport of small arms and light weapons. The Plenary agreed to update the 2002 *Best Practices for Exports of Small Arms & Light Weapons* to bring them in line with language adopted by the UN in 2005 on marking and tracing of small arms and light weapons.

The Plenary agreed to continue to undertake outreach through dialogue with non-Participating States and international organisations relevant to the purpose and objectives of the Arrangement with the aim to also promote, through the sharing of, the Arrangement's best practices related to export controls.

The Plenary approved a *Statement of Understanding on End-Use Controls for Dual-Use Items* which recommends the application of flexible risk management principles to all three phases of end-use controls – pre-licence, application procedure and post-licence – in order to subject sensitive cases to a greater degree of scrutiny.

At its meeting, the Plenary reiterated that the Wassenaar Arrangement is open, on a global and non-discriminatory basis, to prospective adherents that comply with the agreed criteria.

The Plenary thanked the Chair, Ambassador Cristina Funes-Noppen, and her predecessor Ambassador Philippe Nieuwenhuys, both of Belgium, for their valuable contributions to the work of the Arrangement in 2007. The Plenary also thanked Ambassador Christian Braun (Luxembourg) for his chairmanship of the General Working Group, Ms. Martina Feeney (Ireland) for her leadership of the Experts Group list-review process, and Mr. Steven Goodinson (Canada) for his leadership of the Licensing and Enforcement Officers' Meeting (LEOM) over the past year. Finally, the Plenary expressed its appreciation and gratitude to Ambassador Sune Danielsson (Sweden) as Head of the Wassenaar Arrangement Secretariat and his staff for ongoing support.

The next regular Wassenaar Arrangement Plenary meeting will take place in Vienna in December 2008. Bulgaria will assume the Chair of the Plenary from the 1st of January 2008. Bulgaria has nominated its Permanent Representative to Vienna.

Vienna, 6 December 2007

PUBLIC STATEMENT
2008 PLENARY MEETING
OF
THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES

The fourteenth Plenary meeting of the Wassenaar Arrangement^{*}, chaired by Ambassador Chavdar Zhechev of Bulgaria, was held in Vienna on the 2nd and 3rd of December 2008.

In 2008 efforts of the Arrangement focused on implementation of the 2007 Assessment conclusions, a wide-ranging review of the Arrangement's overall function and its contribution to regional and international security and stability.

The Plenary noted the substantive and useful contributions made by Participating States through information sharing on regional issues of concern. The Plenary recognised the importance of further focusing the Regional Views exercise. In order most effectively to address current and future challenges to regional and international security and stability, and underlining the importance of the effective functioning of the WA, the Plenary agreed to conduct a focused effort on, and to include, the issue of destabilising accumulations of conventional arms as an agenda item for future meetings.

In view of the concerns about the acquisition of man-portable air defence systems (MANPADS) by unauthorised users, the Plenary stressed the importance of effective implementation of the WA Elements, the need to continue to monitor the situation closely, and to continue discussion in order to strengthen export controls on MANPADS. The Plenary also encouraged Participating States to continue to promote the Wassenaar Elements on Export controls of MANPADS to non-Participating States.

The Arrangement continues to keep pace with advances in technology, market trends and international security developments, such as the threat of terrorist acquisition of military and dual-use goods and technologies. The Plenary agreed to a significant number of amendments to the control lists, including some in technically complex and challenging areas such as on low-light level and infrared sensors. Particular attention has been given to items of potential interest to terrorists such as charges and devices containing certain explosives. Participating States also worked actively to make the existing control text more easily understood and "user-friendly" for commercial exporters and licensing authorities.

The Wassenaar Arrangement continues to undertake outreach dialogue with non-Participating States and international organisations aimed at promoting and sharing the Arrangement's best practices related to export controls, and raising awareness of the Wassenaar Arrangement and its work. In 2008, outreach activities have included post-Plenary briefings, interaction with industry and bilateral outreach to China, Israel and Belarus.

^{*} The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the Initial Elements adopted in July 1996 (see web site: www.wassenaar.org/). Meetings are normally held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom and the United States.

At its meeting, the Plenary reiterated that the Wassenaar Arrangement is open, on a global and non-discriminatory basis, to those states who comply with the agreed criteria.

The Plenary thanked the Chair, Ambassador Chavdar Zhechev of Bulgaria for his valuable contribution to the work of the Arrangement in 2008. The Plenary also thanked Ambassador Nils Jansons (Latvia) for his chairmanship of the General Working Group, Ms. Martina Feeney (Ireland) for her leadership of the Experts Group list-review process over the past two years, and Mr. Steven Goodinson (Canada) for his leadership of the Licensing and Enforcement Officers' Meeting (LEOM) over the past two years. Finally, the Plenary expressed its appreciation and gratitude to Ambassador Sune Danielsson (Sweden) as Head of the Wassenaar Arrangement Secretariat and his staff for ongoing support.

The next regular Wassenaar Arrangement Plenary meeting will take place in Vienna in December 2009. Canada will assume the Chair of the Plenary from the 1st of January 2009. Canada has designated Ambassador Marie Gervais-Vidricaire, its Permanent Representative to the International Organisations in Vienna, as the Plenary Chair.

Vienna, 3 December 2008

PUBLIC STATEMENT

2009 PLENARY MEETING

OF

THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR

CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES

The fifteenth Plenary meeting of the Wassenaar Arrangement¹, chaired by Ambassador John Barrett of Canada, was held in Vienna on 2 and 3 December 2009.

In 2009 efforts of the Arrangement continued to focus on the Arrangement's overall functioning and its contribution to regional and international security and stability. The Plenary reaffirmed the importance of a focused Regional Views exercise based on substantive and useful information sharing among Participating States.

Further discussions took place on the issue of destabilising accumulations of conventional arms in order to address current and future challenges to regional and international security and stability. The Plenary decided to continue discussions on this issue. Work on developing Best Practices Guidelines continued.

The Arrangement continues to keep pace with advances in technology, market trends and international security developments involving the spread of military and dual-use goods and technologies. The Plenary agreed to a significant number of amendments to the control lists, including some in technically complex and challenging areas such as Security of Information (encryption) and reception equipment for Global Navigation Satellite Systems. Participating States also worked actively to make the existing control text more easily understood and "user-friendly" for exporters and licensing authorities.

The Wassenaar Arrangement continues to undertake outreach dialogue with non-Participating States and international organisations aimed at promoting and sharing the Arrangement's best practices related to export controls, and raising awareness of the Wassenaar Arrangement and its work. In 2009, outreach activities have included post-Plenary briefings, interaction with industry and bilateral outreach to a number of non-Participating States. The Plenary decided to conduct a technical briefing on changes to the Wassenaar Arrangement Control Lists for several non-Participating States in 2010.

At its meeting, the Plenary reiterated that the Wassenaar Arrangement is open to membership to all states who comply with the agreed criteria.

¹ The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the Initial Elements adopted in July 1996 (see web site: www.wassenaar.org/). Meetings are normally held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom and the United States.

The Plenary thanked the Chair, Ambassador John Barrett (Canada) for his valuable contribution to the work of the Arrangement in 2009. The Plenary also thanked Ambassador Alphons Hamer (Netherlands) for his chairmanship of the General Working Group, Mr. Diego Martini (Italy) for his leadership of the Experts Group List Review process and Mr. Jürgen Böhler (Switzerland) for his leadership of the Licensing and Enforcement Officers' Meeting (LEOM). Finally, the Plenary expressed its appreciation and gratitude to Ambassador Sune Danielsson (Sweden) as Head of the Wassenaar Arrangement Secretariat and his staff for ongoing support.

The next regular Wassenaar Arrangement Plenary meeting will take place in Vienna in December 2010. Switzerland will assume the Chair of the Plenary from 1 January 2010 and has designated Ambassador Bernhard Marfurt, its Permanent Representative to the International Organisations in Vienna, as the Plenary Chair.

Vienna, 3 December 2009

PUBLIC STATEMENT
2010 PLENARY MEETING
OF
THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES

The sixteenth Plenary meeting of the Wassenaar Arrangement¹¹, chaired by Ambassador Thomas Greminger of Switzerland, was held in Vienna on 9 and 10 December 2010.

In 2010, the Arrangement continued its work in supporting international and regional security and stability. Further discussion took place during 2010 on the issue of destabilising accumulations of conventional arms. The Plenary confirmed that 2011 will be an Assessment year, a wide-ranging exercise undertaken by the Arrangement every four years to review and evaluate its overall functioning.

The Arrangement continues to keep pace with advances in technology, market trends and international security developments. The Plenary agreed to a substantial number of amendments to the control lists addressing technically complex and challenging issues. Attention was also given to new commercial developments related to counter-terrorism. Participating States also worked to make the existing control text more easily understood and “user-friendly” for exporters and licensing authorities.

The Wassenaar Arrangement continues to undertake outreach in support of its aims and objectives, in particular through post-Plenary briefings, interaction with industry and bilateral dialogue with non-Participating States. The Plenary decided to offer another technical briefing on recent changes to the Wassenaar Arrangement control lists for a number of non-Participating States in 2011.

The Plenary reiterated that the Wassenaar Arrangement is open to membership to all states who comply with the agreed criteria.

The Plenary thanked the Chair, Ambassador Thomas Greminger (Switzerland), and his predecessor, Ambassador Bernhard Marfurt, for their valuable contribution to the work of the Arrangement. The Plenary also thanked Ambassador Jan Petersen (Norway) for his Chairmanship of the General Working Group, Mr Diego Martini (Italy) for his leadership of the Experts Group list-review process over the last two years and Mr Jürgen Böhler (Switzerland) for his leadership of the Licensing and Enforcement Officers’ Meeting (LEOM) over the last two years. The Plenary also expressed its appreciation and gratitude to Ambassador Sune Danielsson (Sweden) as Head of the Wassenaar Arrangement Secretariat and his staff for their ongoing support.

¹¹ The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the Initial Elements adopted in July 1996 (see website: www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom, and the United States.

The next regular Wassenaar Arrangement Plenary meeting will take place in Vienna in December 2011. The Czech Republic will assume the Chair of the Plenary from 1 January 2011, and has designated Ambassador Veronika Kuchyňová Šmigolová, its Permanent Representative to the International Organisations in Vienna, as the Plenary Chair. In addition, from 1 January 2011, New Zealand will assume the Chairmanship of the General Working Group, Japan will assume the Chairmanship of the Experts' Group and the Netherlands will assume the Chairmanship of the LEOM.

Vienna, 10 December 2010

PUBLIC STATEMENT
2011 PLENARY MEETING
OF
THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES

The seventeenth Plenary meeting of the Wassenaar Arrangement,¹ chaired by Ambassador Veronika Kuchyňová Šmigolová of the Czech Republic, was held in Vienna on 13 to 14 December 2011. This meeting concluded the fourth assessment undertaken by the Arrangement to carry out a wide-ranging review and evaluation of its overall functioning and its contribution to regional and international security and stability.

Since the last assessment in 2007, the Arrangement has kept pace with advances in technology and market trends. It has continued its efforts to contribute to international and regional security and stability, although it was recognized that further work was needed to address new challenges. Participating States have continued to work to make the existing control lists more readily understood and user-friendly for licensing authorities and exporters, and to ensure the detection and denial of undesirable exports. Significant efforts have been undertaken to promote the Arrangement and to encourage voluntary adherence to the Arrangement's standards by non-Participating States.

The Plenary adopted *Best Practices Guidelines on Internal Compliance Programmes for Dual-Use Goods and Technologies*, *Best Practices Guidelines on Subsequent Transfer (Re-Export) Controls for Conventional Weapons Systems*, revised *Elements for Objective Analysis and Advice concerning Potentially Destabilising Accumulations of Conventional Weapons*, and *Elements for Controlling Transport of Conventional Arms between Third Countries*, and introduced a number of amendments to the control lists.

The Wassenaar Arrangement continues to undertake outreach in support of its aims and objectives, in particular through post-Plenary briefings, interaction with industry and bilateral dialogue with non-Participating States. The Plenary decided to offer another technical briefing on recent changes to the Wassenaar Arrangement control lists for a number of non-Participating States in 2012.

The Plenary reiterated that the Wassenaar Arrangement is open for membership to all states in compliance with the agreed criteria.

¹ The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the Initial Elements adopted in July 1996 (see website: www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom, and the United States.

The Plenary thanked the Chair, Ambassador Veronika Kuchyňová Šmigolová (Czech Republic) for her valuable contribution to the work of the Arrangement. The Plenary also thanked Ambassador Philip Griffiths (New Zealand) for his Chairmanship of the General Working Group, Mr Toshiki Wani (Japan) for his leadership of the Experts Group list-review process and Mr Bart van Hezewijk (Netherlands) for his leadership of the Licensing and Enforcement Officers' Meeting (LEOM) over the last year. The Plenary also expressed its appreciation and gratitude to Ambassador Sune Danielsson (Sweden) as Head of the Wassenaar Arrangement Secretariat and his staff for their ongoing support.

The next regular Wassenaar Arrangement Plenary meeting will take place in Vienna in December 2012. Germany will assume the Chair of the Plenary from 1 January 2012, and has designated Ambassador Rüdiger Lüdeking, its Permanent Representative to the International Organisations in Vienna, as the Plenary Chair. In addition, from 1 January 2012, Poland will assume the Chairmanship of the General Working Group, Japan will continue to chair the Experts' Group and The Netherlands will continue to chair the LEOM.

Vienna, 14 December 2011

**PUBLIC STATEMENT
2012 PLENARY MEETING**

OF

**THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES**

The eighteenth Plenary meeting of the Wassenaar Arrangement¹, chaired by Ambassador Konrad Max Scharinger of the Federal Republic of Germany, was held in Vienna on 11 to 12 December 2012.

Following the review and evaluation of the overall functioning of the Arrangement which took place in 2011, the Arrangement has continued to keep pace with advances in technology and market trends. It has continued its efforts to contribute to international and regional security and stability by promoting transparency and greater responsibility in the transfer of conventional arms and dual-use goods and technologies, thus preventing destabilizing accumulations. Participating States have agreed to make further use of the Regional Views exercise, implementing a rotating focus on geographic regions. They have also agreed to conduct further work on addressing new challenges, including emerging technologies of concern.

Participating States have continued to work actively to make the existing control lists more readily understood and user-friendly for licensing authorities and exporters, and to ensure the detection and denial of undesirable exports. Export controls were strengthened in a number of areas including spacecraft and passive counter-surveillance equipment of mobile telecommunications. In addition certain relaxations were introduced for gas turbine engines and machine tools, and the cryptography note was revised. Participating States have also decided to conduct a comprehensive and systematic review of the Wassenaar Lists to ensure their continued relevance.

Significant efforts have also been undertaken to promote the Arrangement and to encourage voluntary adherence to the Arrangement's standards by non-Participating States.

¹ The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the Initial Elements adopted in July 1996 (see website: www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom, and the United States.

The Wassenaar Arrangement continues to undertake outreach in support of its aims and objectives, in particular through post-Plenary briefings, interaction with industry and bilateral dialogue with non-Participating States. The Plenary decided to continue to offer a technical briefing on recent changes to the Wassenaar Arrangement control lists to a number of non-Participating States in 2013.

The Plenary welcomed Mexico as its 41st Participating State and reiterated that the Wassenaar Arrangement is open for membership to all states in compliance with the agreed criteria.

The Plenary thanked the Chair, Ambassador Konrad Max Scharinger (Germany) for his valuable contribution to the work of the Arrangement. The Plenary also thanked Ambassador Przemyslaw Grudzinski (Poland) for his Chairmanship of the General Working Group, Mr. Toshiki Wani (Japan) for his leadership of the Experts Group, Mr. Klaas Leenman (Netherlands) for his leadership of the Licensing and Enforcement Officers' Meeting (LEOM) and Mr. Tim Coyle (Australia) for chairing the ad hoc Group of Security and Intelligence Experts over the last year. The Plenary also expressed its appreciation and gratitude to Ambassador Philip Griffiths (New Zealand) as Head of the Wassenaar Arrangement Secretariat and his staff for their ongoing support.

The next regular Wassenaar Arrangement Plenary meeting will take place in Vienna in December 2013. Denmark will assume the Chair of the Plenary from 1 January 2013, and has designated Ambassador Torben Brylle, its Permanent Representative to the International Organisations in Vienna, as the Plenary Chair. In addition, from 1 January 2013, Portugal will assume the Chairmanship of the General Working Group, the Republic of Korea will chair the Experts' Group and the United States will chair the LEOM.

Vienna, 12 December 2012

PUBLIC STATEMENT
2013 PLENARY MEETING
OF
THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES

The nineteenth Plenary meeting of the Wassenaar Arrangement¹, chaired by Ambassador Liselotte Plesner of Denmark, was held in Vienna on 3 to 4 December 2013.

The Arrangement has continued its efforts to contribute to international and regional security and stability by promoting transparency and greater responsibility in the transfer of conventional arms and dual-use goods and technologies, thus preventing destabilizing accumulations. Participating States regularly conduct a Regional Views exercise to exchange information on risks associated with transfers of arms and dual-use goods focusing on specific geographic regions. They have also agreed to conduct further work on addressing new challenges, including emerging technologies of concern, to keep pace with advances in technology, research and innovation.

Participating States have worked to make the existing control lists more readily understood and user-friendly for licensing authorities and exporters, and to ensure the detection and denial of undesirable exports. This year progress was made on a comprehensive and systematic review of the Wassenaar Lists to ensure their continued relevance.

In 2013, new export controls were agreed in a number of areas including surveillance and law enforcement/intelligence gathering tools and Internet Protocol (IP) network surveillance systems or equipment, which, under certain conditions, may be detrimental to international and regional security and stability. Participating States also further clarified existing controls in respect of inertial measurement equipment or systems and relaxed some controls such as for instrumentation tape recorders and digital computers.

Participating States continued to exchange information and views aimed at strengthening national export control implementation in areas such as prevention of destabilizing accumulations of conventional arms, end-use(r) assurances, controls on transit and trans-shipment, brokering and re-export, as well as catch-all provisions. Information was also exchanged on industry engagement and internal compliance programmes.

¹ The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the Initial Elements adopted in July 1996 (see [website:www.wassenaar.org](http://www.wassenaar.org)). Meetings are normally held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom, and the United States.

The Wassenaar Arrangement has undertaken significant efforts to encourage voluntary adherence to its standards by non-Participating States. The Arrangement continues to conduct outreach in support of its aims and objectives, in particular through post-Plenary briefings, promoting WA best practice documents, bilateral dialogue with non-Participating States, including through outreach visits, and interaction with industry. The Plenary decided to continue to offer an enhanced technical briefing on changes to the Wassenaar Arrangement control lists to a number of non-Participating States in 2014. The WA also maintains contacts with other relevant regional and international organizations engaged in related activities. Informal contacts were maintained with the Nuclear Suppliers Group (NSG) on control list issues.

Participating States this year welcomed the adoption of the Arms Trade Treaty by the United Nations General Assembly on 2 April 2013. The goals of the Arms Trade Treaty align with those of the Wassenaar Arrangement. The Participating States of the Wassenaar Arrangement stand ready to share their export control experience and expertise with other states, as suggested in the ATT. The Plenary asked the Wassenaar Arrangement Secretariat to monitor opportunities for the Arrangement to contribute to international cooperation with regard to the ATT.

Key Wassenaar Arrangement documents, including the Control Lists and Best Practice Guidelines, continue to be freely available on the WA website (www.wassenaar.org).

The Plenary reiterated that the Wassenaar Arrangement is open for membership to all states in compliance with the agreed criteria. In 2013 the Arrangement launched a discussion of strategic issues related to future participation.

The Plenary decided to conduct the next internal Assessment, a wide-ranging exercise to review and evaluate the overall functioning of the Arrangement, and to improve its effectiveness and efficiency, in 2016, five years after the most recent Assessment.

The Plenary thanked the Chairs of all Wassenaar Arrangement bodies for their valuable contributions to the work of the Arrangement. The Plenary also expressed its appreciation to the Wassenaar Arrangement Secretariat.

The next regular Wassenaar Arrangement Plenary meeting will take place in Vienna in December 2014. Estonia will assume the Chair of the Plenary from 1 January 2014, and has designated Ambassador Eve-Küllli Kala to assume this role. In addition, from 1 January 2014, Romania will assume the Chair of the General Working Group, the Republic of Korea will continue to chair the Experts' Group, and the United States will continue to provide the Chair for the Licensing and Enforcement Officers Meeting (LEOM).

Vienna, 4 December 2013

**STATEMENT BY THE PLENARY CHAIR
ON 2014 OUTCOMES OF
THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES**

In 2014 the Wassenaar Arrangement (WA)¹ continued its efforts to contribute to international and regional security and stability by promoting transparency and greater responsibility in the transfer of conventional arms and dual-use goods and technologies, thus preventing destabilizing accumulations. Participating States agreed to conduct further work on addressing new challenges, including emerging technologies of concern, to keep pace with advances in technology, research and innovation.

Participating States agreed to new export controls in a number of areas, including spacecraft equipment (Category 9) and technology for fly-by-wire/flight-by light systems (Cat 7), while texts for the control of machine tools (Cat 2), optical equipment for military utility and fibre laser components (Cat 6) were substantially reviewed. In addition, significant reviews of several categories resulted in the deletion of obsolete controls relating to vessels (Cat 8) and in refined controls on Unmanned Aerial Vehicles - UAVs (Cat 9), specifically taking note of the substantial progress of technology in that area. Further relaxation was introduced in a number of areas, such as equipment for production of electronic devices (Cat 3), and telecommunications equipment having specific information security functionality for the administration, operation or maintenance of networks (Cat 5P2).

The WA will continue to offer an enhanced technical briefing on changes to the control lists to a number of non-Participating States in 2015 and to maintain informal contacts with the Nuclear Suppliers Group (NSG) on control list issues. In light of the forthcoming entry into force of the Arms Trade Treaty (ATT), the WA Secretariat will continue to monitor opportunities for the Arrangement to contribute to international cooperation with regard to the ATT.

In addition to a new guidance document on end-use(r) assurances adopted in July, the Arrangement agreed on a guidelines document for new applicants. These and other key WA documents are available on the WA website (www.wassenaar.org).

The twentieth Plenary meeting of the Wassenaar Arrangement was held in Vienna on 2 to 3 December 2014. The next regular Plenary meeting will take place in Vienna in December 2015. Spain will assume the Chair for 2015 and has designated Ambassador Gonzalo de Salazar Serantes for this role.

Ambassador Eve-Küllli Kala (Estonia)
2014 Wassenaar Arrangement Plenary Chair

Vienna, 3 December 2014

¹ The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the Initial Elements adopted in July 1996 (see website: www.wassenaar.org). Meetings are held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the WA are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovakia, Slovenia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom, and the United States.

**STATEMENT ISSUED BY THE PLENARY CHAIR
ON 2015 OUTCOMES OF
THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES**

In 2015 the Wassenaar Arrangement (WA)¹ continued its efforts to contribute to international and regional security and stability by promoting transparency and greater responsibility in the transfer of conventional arms and dual-use goods and technologies. The twenty-first Plenary meeting of the Wassenaar Arrangement was held in Vienna on 2-3 December 2015.

In 2015 WA Participating States:

- Worked to ensure the detection and denial of undesirable exports, and to further refine the existing Control Lists and make them more readily understood and user-friendly for licensing authorities and exporters. This year further progress was made on a comprehensive and systematic review of the Wassenaar Control Lists to ensure their continued relevance.

- Added new export controls in a number of areas, including on an additional explosive material. Existing controls were further clarified regarding biological agent protection and detection equipment, electronic devices for military helmets and equipment that performs analogue-to-digital conversion. Some controls were relaxed, such as for specific types of machine tools and computers, technologies used in consumer industries (e.g. car production, domestic medical devices), optical mirrors for solar power installations, battery cells, underwater still cameras and equipment incorporating information security.

- Adopted new *Best Practice Guidelines for Transit or Trans-shipment*.

- Issued *Elements for the Effective Fulfilment of National Reporting Requirements*, intended to assist all countries in meeting their international reporting obligations related to conventional arms transfers.

- Exchanged information on transfers of arms and dual use goods. They also assessed the risks associated with illicit arms flows to specific geographic regions of concern, including areas of conflict.

- Underlined the importance of continuing to cooperate to prevent destabilizing accumulations of conventional weapons and ammunitions in order to ensure regional and international stability and security.

- Underlined the importance of further strengthening export controls and intensifying cooperation to prevent arms trafficking and the acquisition of conventional arms, including small arms and light weapons, and dual-use goods and technologies by terrorists.

¹ The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the *Initial Elements* adopted in July 1996 (see website:www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom, and the United States.

- Discussed how to strengthen national export control implementation in areas such as arms trade risk assessment, re-export, brokering and controls on intangible transfers of technology, as well as catch-all provisions.

- Exchanged information on industry/academia engagement and internal compliance programmes.

- Maintained informal contacts with the Nuclear Suppliers Group (NSG) on control list issues.

- Established a framework for conducting the fifth internal Assessment of the Arrangement in 2016, a wide-ranging exercise to review and evaluate its overall functioning and improve its effectiveness and efficiency.

The Wassenaar Arrangement will mark its twentieth anniversary next year and a special commemoration will be held at the December 2016 Plenary. A technically-focused Practical Workshop will be held in Vienna in June 2016 to share information with an expanded group of non-member countries.

The Arrangement will continue to conduct outreach to encourage voluntary adherence to its standards by non-Participating States, in particular through collective briefings, promoting WA best practice documents, bilateral dialogue, including through outreach visits, and interaction with industry and academia.

The WA will also maintain contacts with other relevant regional and international organizations engaged in related activities. In 2016 the WA Secretariat will continue to monitor opportunities for the Arrangement, consistent with its purposes, to contribute to international cooperation with regard to the Arms Trade Treaty (ATT).

Key Wassenaar Arrangement documents, including the Control Lists and Best Practice Guidelines, are available on the WA website (www.wassenaar.org), a new upgraded version of which has been launched.

In 2016 the Wassenaar Arrangement will conduct further work on addressing new challenges, including emerging technologies of concern, in order to keep pace with advances in technology, research and innovation, taking into account the evolution of the international scene.

The next regular Plenary meeting will take place in Vienna in December 2016. Finland will assume the Chair of the Plenary for 2016 and has designated Ambassador Anu Laamanen for this role.

Ambassador Gonzalo de Salazar Serantes (Spain)
2015 Wassenaar Arrangement Plenary Chair

Vienna, 3 December 2015

**STATEMENT ISSUED BY THE PLENARY CHAIR
ON 2016 OUTCOMES OF
THE WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES**

The twenty-second Plenary meeting of the Wassenaar Arrangement (WA)¹, chaired by Ambassador Hannu Kyröläinen of Finland, was held in Vienna on 6-8 December 2016. This meeting concluded the fifth wide-ranging assessment undertaken by the Arrangement of its overall functioning. It also marked the Twentieth Anniversary of the Arrangement's coming into operation in 1996.

Since the last assessment in 2011, the Arrangement has continued its efforts to contribute to international and regional security and stability by promoting transparency and greater responsibility in the transfer of conventional arms and dual-use goods and technologies, thus preventing destabilizing accumulations. Participating States have continued to work to ensure the prevention of undesirable exports, as well as to further refine the WA Control Lists and to make them more readily understood and user-friendly for licensing authorities and exporters. Significant attention has been given to keeping pace with international security developments, advances in technology and market trends, although it is recognized that further work is needed to address new challenges. Priority has also been given to outreach activities to non-member countries and to encouraging voluntary adherence to the Arrangement's standards.

A number of special Twentieth Anniversary activities have been undertaken in 2016, including a commemorative event at the Austrian Foreign Ministry on 6 December, a two-day technically focused Practical Workshop for an expanded group of outreach partners in Vienna in June, as well as the issuing of additional outreach materials, such as a stand-alone WA Munitions List and a thematic Compendium of Best Practice Documents, to promote broader use of the WA's work.

In 2016 WA Participating States:

- reaffirmed their strong support for robust export controls around the world as an important tool for ensuring international peace and stability and confirmed the continued relevance of the Arrangement and the importance of adhering to its founding principles in this context;

¹ The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the *Initial Elements* adopted in July 1996 (see website:www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. The current Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom, and the United States.

- continued to exchange information on transfers of arms and dual-use goods and to assess the risks associated with illicit arms flows to specific geographic regions of concern, including areas of conflict;
- further underscored the importance of strengthening export controls and intensifying their cooperation to prevent arms trafficking and the acquisition of conventional arms and dual-use goods and technologies by terrorists, as an integral part of the global fight against terrorism;
- gave further particular attention to proliferation risks related to Small Arms and Light Weapons (SALW);
- adopted new export controls in a number of areas, including a new hydrogen-free high-power explosive, materials used in reactive armour and specific electronic components (non-volatile memories/MRAMs) able to withstand extreme environment conditions. Existing controls were further clarified regarding biological and radioactive agents, information security and the concept and use of "technology". Some controls were relaxed, such as for lasers used in industry, digital computers and voice coding equipment. For those products, performance thresholds were updated taking into account the rapidly evolving performance of civil market products.
- agreed to continue a comprehensive and systematic review of the WA Control Lists to ensure their continued relevance;
- adopted updated Best Practices for Effective Legislation on Arms Brokering and updated Best Practices for Effective Enforcement, first issued in 2003 and 2000 respectively, and agreed on a regular procedure to review and update existing guidance documents;
- discussed how to strengthen national export control implementation in areas such as arms trade risk assessment, end-use and end-user assurances, re-export and controls on intangible transfers of technology, as well as catch-all provisions;
- reviewed their principal outreach objectives and adopted new internal guidelines to steer future outreach activities, including collective post-Plenary and technical briefings and bilateral dialogue (visits/meetings) with interested non-Participating States;
- continued to exchange information on industry/academia engagement and internal compliance programmes;
- confirmed that the Arrangement's existing membership criteria continue to apply, based on a global and non-discriminatory approach; and
- maintained informal contacts with the Nuclear Suppliers Group (NSG) and the Missile Technology Control Regime (MTCR) on control list issues.

Given the alignment of the goals of the Arms Trade Treaty (ATT) with those of the Wassenaar Arrangement, in 2017 the WA Secretariat will continue to monitor opportunities for the Arrangement, consistent with its purposes, to contribute to international cooperation.

Key Wassenaar Arrangement documents, including the Control Lists and Best Practice Guidelines, are available on the WA website (www.wassenaar.org).

The Plenary thanked the Chairs of all Wassenaar Arrangement bodies for their contributions to the work of the Arrangement in 2016.

The next regular Wassenaar Arrangement Plenary meeting will take place in Vienna in December 2017. France will assume the Chair of the Plenary from 1 January 2017, and has designated Ambassador Jean-Louis Falconi for this role. In addition, from 1 January 2017 Slovenia will assume the Chair of the General Working Group, Luxembourg will provide the chair of the Experts Group, and the United Kingdom will provide the Chair of the Licensing and Enforcement Officers Meeting (LEOM).

Ambassador Hannu Kyröläinen (Finland)
2016 Wassenaar Arrangement Plenary Chair

Vienna, 8 December 2016

**STATEMENT ISSUED BY THE PLENARY CHAIR
ON 2017 OUTCOMES OF
THE WASSENAAR ARRANGEMENT¹ ON EXPORT CONTROLS FOR
CONVENTIONAL ARMS AND DUAL-USE GOODS AND TECHNOLOGIES²**

In 2017 the Wassenaar Arrangement (WA) continued its efforts to contribute to international and regional security and stability by promoting transparency and greater responsibility in the transfer of conventional arms and dual-use goods and technologies, thus preventing destabilising accumulations. The twenty-third WA Plenary meeting, chaired by Ambassador Jean-Louis Falconi of France, was held in Vienna on 6-7 December 2017.

In 2017 WA Participating States continued to cooperate to ensure the detection and denial of undesirable exports, as well as to further refine the WA Control Lists and to make them more readily understood and user-friendly for licensing authorities and exporters. Significant attention was again given to keeping pace with international and regional security developments, advances in technology and market trends, although it is recognised that further work is needed to address new challenges. Ongoing priority was given to outreach activities to non-member countries and to encouraging voluntary adherence to the WA's standards.

In 2017 WA Participating States:

- reaffirmed their strong support for robust export controls on a global basis as an important tool for ensuring international peace and stability and confirmed the continued relevance of the WA and the importance of adhering to its founding principles in this context;
- continued to exchange information on transfers of arms and dual-use goods and to assess the risks associated with illicit arms flows to specific geographic regions of concern, including areas of conflict;
- further underscored the importance of strengthening export controls and intensifying their cooperation to prevent arms trafficking and the acquisition of conventional arms and dual-use goods and technologies by terrorists, as an integral part of the global fight against terrorism;
- gave further particular attention to proliferation risks related to Small Arms and Light Weapons (SALW);
- adopted new export controls in a number of areas, including military explosives and specific electronic components. Existing controls were further clarified regarding ground stations for spacecraft, submarine diesel engines, technology related to intrusion software, software for testing gas turbine engines, analogue-to-digital converters, non-volatile memories and information security. Some controls were relaxed, such as for mechanical high-speed cameras and digital computers. For those products, control entries were either deleted, or performance

¹ The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the *Initial Elements* adopted in July 1996 (see website:www.wassenaar.org). Meetings are normally held in Vienna, Austria, where the Arrangement is based. The current Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovenia, Slovakia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom, and the United States.

² This statement reflects the Plenary Chair's view of the outcome of the 2017 Plenary. It is not an agreed WA Plenary Public Statement.

thresholds were updated taking into account the rapidly evolving capabilities of civil market products;

- agreed to continue a comprehensive and systematic review of the WA Control Lists to ensure their ongoing relevance;

- considered a number of proposals for new best practices guidelines and identified other existing guidelines for updating as appropriate in 2018 as part of a regular review cycle;

- introduced further enhancements to their electronic information-sharing tools;

- shared experiences in licensing and enforcement practice and discussed how to strengthen national export control implementation in areas such as arms trade risk assessment, effective end-use and end-user assurances, re-export and controls on intangible transfers of technology, as well as catch-all provisions;

- reviewed their principal outreach objectives and activities, including annual collective post-Plenary and technical briefings as well as bilateral dialogue (visits/meetings) with interested non-Participating States;

- continued to exchange information on industry/academia engagement and internal compliance programmes; and

- maintained informal technical contacts with the Nuclear Suppliers Group (NSG) and the Missile Technology Control Regime (MTCR) on control list issues.

Given the alignment of the goals of the Arms Trade Treaty (ATT) with those of the Wassenaar Arrangement, in 2018 the WA Secretariat will continue to monitor opportunities for the Arrangement, consistent with its purposes, to contribute to international cooperation.

Confirming that the WA's existing membership criteria continue to apply, WA Participating States reviewed the progress of a number of current membership applications and agreed at the Plenary meeting to admit India which will become the Arrangement's 42nd Participating State as soon as the necessary procedural arrangements for joining the WA are completed.³

Key WA documents, including the Control Lists and Best Practice Guidelines, are available on the WA website (www.wassenaar.org).

The 2017 Plenary thanked the Chairs of all the WA bodies for their contributions to the work of the Arrangement in 2017.

The next regular WA Plenary meeting will take place in Vienna in December 2018. The United Kingdom will assume the Chair of the Plenary from 1 January 2018, and has designated Ambassador Leigh Turner for this role. In addition, from 1 January 2018, Slovakia will assume the Chair of the General Working Group, Luxembourg will continue to provide the Chair of the Experts Group, and the United Kingdom will continue to provide the Chair of the Licensing and Enforcement Officers Meeting.

Ambassador Jean- Louis Falconi
Wassenaar Arrangement Plenary Chair
Vienna, 7 December 2017

³ The necessary procedural arrangements were completed on 8 December 2017.

III. Other Statements

**Ministerial Statement
Vienna, Austria
December 12, 2003**

Ministers of the thirty-three Participating States in the Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies are pleased that the quadrennial assessment of the functioning of the Arrangement has concluded with several important agreements to advance further the Wassenaar Arrangement's non-proliferation and international security and stability goals.

We wish to reaffirm the importance of the Wassenaar Arrangement as one of the pillars of multilateral efforts towards peace and stability. We believe agreements reached in the context of the Wassenaar Arrangement can play a critical role in preventing the diversion of legal arms transfers and in promoting responsible national export control policies for conventional arms and dual-use goods and technologies. In this context, we strongly endorse multilateral efforts to develop strict controls on the transfer of Man-Portable Air Defense Systems (MANPADS) that continue to pose one of the most serious threats to the safety of international civil aviation.

As we look ahead and consider future threats to international security and stability, we are convinced that countries committed to a stable international order must work together closely to prevent conventional weapons and sensitive dual-use technologies from being used to perpetrate terrorist acts. Terrorists must be stopped from diverting weapons from legitimate channels. Building upon the momentum developed during the 2003 Assessment, we believe that continued collaboration between the Participating States of the Wassenaar Arrangement will make a significant contribution to global security.

MINISTERIAL STATEMENT

Wassenaar Arrangement Tenth Anniversary Commemoration

December 7, 2006

Ministers of the Participating States in the Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies are pleased to commemorate the tenth anniversary of the Arrangement's first Plenary meeting in 1996. The Arrangement was established at Wassenaar, The Netherlands in December 1995. During the past decade the Wassenaar Arrangement has made significant contributions toward regional and international security and stability by promoting transparency and greater responsibility in the transfer of conventional arms and dual-use goods and technologies, thus preventing destabilizing accumulations.

The Wassenaar Arrangement now consists of forty Participating States, seven having joined since 1996. The Arrangement has pursued outreach activities with non-participating countries and other international organizations in order to promote effective national export control procedures. The establishment of a Secretariat in Vienna, a centre of international non-proliferation efforts, has contributed to the fulfilment of the Arrangement's overall objectives.

We wish to reaffirm the importance of the Wassenaar Arrangement's role as a multilateral institution that makes an important contribution to regional and international security and stability. It is important to note that Wassenaar's work goes beyond controlling exports of sensitive goods. The Participating States in the Arrangement have also achieved substantial success in ensuring that new technologies with potential military application are not diverted to unauthorized end-users. As technology advances, the countries of the Wassenaar Arrangement will continue this important work.

Another important element of the Arrangement's work is promotion of international transparency and responsibility through such instruments as *Best Practice Guidelines for Exports of Small Arms and Light Weapons*, *Elements for Effective Legislation on Arms Brokering*, and *Elements for Export Controls of Man-Portable Air Defence Systems*. Participating States also resolve to continue working toward effective international compliance with United Nations Security Council arms embargoes and to support UN efforts to prevent the illicit trade in small arms and light weapons in all its aspects.

2007 will be the next Assessment year for the Wassenaar Arrangement. We approach the Assessment determined to build on the progress already achieved. On behalf of all Participating States we reaffirm our commitment to pursue with renewed vigour the ideals upon which the Wassenaar Arrangement was founded a decade ago. Our strong support for robust export controls around the world will ensure the continued relevance of the Wassenaar Arrangement.

Statement by the Wassenaar Arrangement on the Arms Trade Treaty (ATT)

The Participating States of the Wassenaar Arrangement welcome the adoption of the Arms Trade Treaty by the United Nations General Assembly on 2 April 2013. Effective implementation of this Treaty will contribute to international peace, security and stability, saving lives, reducing human suffering, protecting human rights, preventing the diversion of conventional arms to the illicit market and combating terrorism, while upholding the legitimate trade in conventional arms.

The goals of the Arms Trade Treaty align with those of the Wassenaar Arrangement, including promotion of transparency and greater responsibility in transfers of conventional arms, thus preventing destabilizing accumulations.

The Wassenaar Arrangement has developed measures and guidelines to help states effectively implement export controls in conventional arms, including WA control lists and best practices documents, which could be adopted, as appropriate, by any state. The Participating States of the Wassenaar Arrangement stand ready to share their experience and expertise with other states, as suggested in the ATT.

More information about the Wassenaar Arrangement is available at www.wassenaar.org

**OUTREACH SEMINAR
19 October 2004**

Press Statement

On 19 October, more than 130 leading export control specialists and representatives from more than 35 countries were welcomed by Japan's Ambassador Yukio Takasu to a day-long outreach seminar "The Wassenaar Arrangement: Responsibility, Transparency and Security" hosted by the Japanese Permanent Mission to International Organizations in Vienna and the Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies. The Arrangement is designed to promote transparency, exchange of views and information and greater responsibility in transfers of conventional arms and dual-use goods and technologies, thus preventing destabilizing accumulations.

Seminar participants represented more than 50 organizations covering non-governmental organizations, think-tanks, academic institutes, industry and the media, together with representatives from a number of non-Wassenaar countries.

The aim of the seminar was to raise awareness of the positive contribution that the Wassenaar Arrangement makes to responsible transfers of conventional arms and dual-use goods and technologies.

Seminar speakers included Ambassador Elsa Kelly (Argentina), the present Plenary Chair of the Wassenaar Arrangement, and its Head of Secretariat, Ambassador Sune Danielsson, and representatives from Wassenaar Participating States. Presentations covered the Arrangement's history, method of work, conclusions of the 2003 Assessment of its functioning, including its renewed focus on terrorism, current activities and areas of on-going negotiation. Other topics included the export control lists and how the lists are reviewed, arms brokering, work on small arms and light weapons and its ground-breaking work on shoulder-held anti-aircraft missiles or MANPADS. Participants from leading think tanks and NGO's also contributed their perspectives on arms export control issues, and how the Arrangement and civil society might enhance their cooperation.

The Arrangement is considering possible follow-up events.

WASSENAAR ARRANGEMENT OUTREACH SEMINAR

Vienna, October 3, 2005

Press Statement

On October 3, 2005, approximately 150 business representatives and government officials from WA countries participated in the Wassenaar Arrangement's "Outreach to Industry" seminar, hosted by the Permanent Mission of Japan to International Organizations in Vienna. * Seminar participants included representatives of over 50 companies involved in the production of and trade in conventional arms and dual-use goods and technologies, as well as think-tanks, export control authorities of Wassenaar Arrangement member countries, and academic institutions.

The aim of this second Wassenaar Arrangement seminar was to provide for a professional exchange of views and sharing of national experiences with the aim of strengthening the effectiveness of export controls.

After opening remarks by Ambassador Seiji Morimoto of Japan, Ambassador Dorothea Auer of Austria (Wassenaar's 2005 Plenary Chair), and Ambassador Sune Danielsson, Head of the Wassenaar Secretariat, representatives of industry and governments participated in panel discussions focused on key issues relating to sensitive dual-use exports (List Review procedures, Control of Non-Listed Items, End-Use assurances, Emerging Technologies, Intangible Transfers of Technology, Internal Control Programmes) and trade in conventional armaments (Prevention of Destabilizing Accumulation of Arms, Small Arms and Light Weapons, including Man-Portable Air-Defense Systems, Control of Arms Brokering, Extra-Territorial Application of national Laws). The panels were followed by a roundtable discussion on experiences of industries with regard to compliance with export control requirements.

* The Vienna-based Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies (WA) is designed to promote transparency, exchange of views and information and greater responsibility in transfers of conventional arms and dual-use goods and technologies, thus preventing destabilizing accumulations of such items (see www.wassenaar.org for details).

PRESS RELEASE

10th anniversary of Wassenaar Arrangement for arms export controls commemorated today in high-level event

On the occasion of the 10th anniversary of the Wassenaar Arrangement (WA) on Export Controls for Conventional Arms and Dual-Use Goods and Technologies a commemorative act was held today in the Austrian Ministry for Foreign Affairs in Vienna. Over 100 representatives of WA Participating States, States not members to the Arrangement, international organisations and institutions as well as the media attended the high-level event organized by Austria and the Netherlands

In order to underline the role of Vienna as a centre of international non-proliferation efforts Austria's State Secretary for Foreign Affairs Hans Winkler delivered the introductory speech. The Ambassador of the Netherlands to South Africa, Frans Engering, who chaired the negotiations leading to the establishment of the WA and the Mayor of Wassenaar Luigi van Leeuwen represented the Dutch Government. The objective of the event was to make the crucial role of the Wassenaar Arrangement in strengthening international security more visible to the outside world.

The Wassenaar Arrangement was established on 19 December 1995 in Wassenaar, a village near The Hague in the Netherlands. It was agreed to locate a Secretariat in Vienna to provide the necessary operational and logistical support. The inaugural Plenary Meeting was held in Vienna on 2 and 3 April 1996. The first regular Plenary Meeting took place on 12 and 13 December 1996. With this, the first global multilateral arrangement on export controls for conventional weapons and related goods and technologies was born: the Wassenaar Arrangement.

The WA's objective is to contribute to regional and international security and stability, by promoting transparency and greater responsibility in the transfer of conventional arms and dual-use goods and technologies, thus preventing destabilising accumulations. The currently 40 Participating States seek, through their national policies, to ensure that transfers of these items do not contribute to the development or enhancement of military capabilities which undermine these goals, and are not diverted to support such capabilities.

Vienna, 7 December 2006

**WASSENAAR ARRANGEMENT ON EXPORT CONTROLS FOR CONVENTIONAL
ARMS AND DUAL-USE GOODS AND TECHNOLOGIES**

20TH ANNIVERSARY

**PRACTICAL EXPORT CONTROLS WORKSHOP
VIENNA, AUSTRIA**

27-28 June 2016

The Wassenaar Arrangement (WA) was established in 1996 to contribute to regional and international security and stability, by promoting transparency and greater responsibility in transfers of conventional arms and dual-use goods and technologies, thus preventing destabilizing accumulations. The WA also works to prevent the acquisition of these items by terrorists.

Within that context, more than 100 government representatives from 46 countries participated on 27-28 June 2016 in a two-day technically-focused Practical Workshop. Hosted by the WA as part of its 20th Anniversary programme, and held at the Permanent Mission of Japan to the International Organizations in Vienna, the Workshop provided a forum to share information at experts level with invited non-WA countries, and to exchange practical experiences in export control implementation.

Workshop speakers included the 2016 WA Plenary Chair Ambassador Anu Laamanen (Finland), 2016 WA General Working Group Chair Ambassador Paul Beijer (Sweden), 2015-2016 WA Experts Group Chair Robertas Rosinas (Lithuania), 2016 WA Licensing and Enforcement Officers Meeting Chair Jon Erik Strömö (Norway), as well as the Head of the WA Secretariat Ambassador Philip Griffiths. The WA's history and operations, the legal and regulatory bases for export controls, the WA Control Lists, as well as licensing and enforcement issues were covered during the first day. The second day focused on technical and implementation issues, with briefings on recent changes to the WA Control Lists and parallel break-out sessions on specific national licensing and enforcement topics.

The Practical Workshop reflected the commitment of WA member states to share their experience and expertise to assist other countries to establish or strengthen national export control systems, as well as increasing international recognition of the role of export controls in helping to address security risks related to the spread of conventional arms and sensitive dual-use goods and technologies, including for use in terrorist acts.

The WA is considering possible follow-up events to this Practical Workshop.

STATEMENT
BY
THE PLENARY CHAIR OF THE WASSENAAR ARRANGEMENT

At the December 2004 Plenary, in addition to welcoming Slovenia to the Wassenaar Arrangement, Participating States mandated the 2005 Plenary Chair to continue consultations on other pending membership applications.

These consultations resulted in decisions, taken in April-June 2005, to admit also Croatia, Estonia, Latvia, Lithuania and Malta to the Wassenaar Arrangement as new Participating States.

Vienna, 29 June 2005

STATEMENT

BY

THE PLENARY CHAIR OF THE WASSENAAR ARRANGEMENT

Effective 25 January 2012, the necessary procedures for joining the Wassenaar Arrangement having been completed, Mexico became the 41st Participating State in the Arrangement.*

Vienna, 25 January 2012

* The Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies was established on the basis of the Initial Elements adopted in July 1996 (see website: www.wassenaar.org). Meetings are held in Vienna, Austria, where the Arrangement is based. Currently the Participating States of the Wassenaar Arrangement are: Argentina, Australia, Austria, Belgium, Bulgaria, Canada, Croatia, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, Romania, the Russian Federation, Slovakia, Slovenia, South Africa, Spain, Sweden, Switzerland, Turkey, Ukraine, the United Kingdom, and the United States.

PUBLIC STATEMENT

BY

**THE PLENARY CHAIR OF THE WASSENAAR ARRANGEMENT
ON
EXPORT CONTROLS FOR CONVENTIONAL ARMS AND
DUAL-USE GOODS AND TECHNOLOGIES**

Participating States of the Wassenaar Arrangement have agreed to appoint Ambassador Philip Wallace Griffiths (New Zealand) as the next Head of the WA Secretariat effective 2 June 2012. He will replace Ambassador Sune Danielsson (Sweden) whose tenure expires on 1 June 2012.

Vienna,

16 April 2012