

## Information Note<sup>1</sup>

Event: Wiesbaden IV - Industry Engagement in Strategic Trade Controls

Organizers: Germany in cooperation with the UN Office for Disarmament Affairs (UNODA)

Date: 19-20 November 2015, Wiesbaden, Germany

Participants: States: Germany, India, Mexico, Poland, Republic of Korea, United States of America

*International and Regional Organizations:* Caribbean Community Secretariat CARICOM, 1540 Committee and Experts, UNODA, European External Action Service (EEAS), Organization for Security and Co-operation in Europe (OSCE) Organisation for the Prohibition of Chemical Weapons (OPCW), World Customs Organization (WCO), International Criminal Police Organization (INTERPOL)

*Industry Representatives:* Airbus Defence and Space GmbH, AREVA, DHL, Ericsson AB, European Association of Public Banks, Federation of Indian Chambers of Commerce & Industry (FICCI), International Federation of Freight Forwarders Associations (FIATA), Flextronics International (Poland), General Electric Company, Indian Chemical Council (ICC), GenoTec GmbH, Infineon Technologies AG, Linde Material Handling GmbH, Lufthansa Technik AG, Merck KGaA, Oerlikon Leybold Vacuum, Rolls-Royce, Royal Philips International, Siemens AG, Toshiba Corporation, TradeSecure LLC, United Technologies Corporation, Verband der Chemischen Industrie (VCI).

*Non-Governmental Organizations and Academia:* Centre for Asia Pacific Trade Compliance and Information Security, Pacific Northwest National Laboratory (PNNL), Stimson Center, Stockholm International Peace Research Institute (SIPRI)

### 1. Background

The role of industry in the effective implementation of resolution 1540 (2004) is referred to in Operative Paragraph 8 of resolution 1540 (2004) and Operative Paragraph 12 of resolution 1977 (2011) which, respectively, call upon all States to develop appropriate ways to cooperate, work with and inform industry and the public regarding their obligations under the laws relating to the resolution.

In order to facilitate a dialogue between the 1540 Committee and industry, to acknowledge the importance of information-sharing on 1540 related activities between government and industry, as well as to identify effective practices of 1540 related compliance strategies within companies, the Government of Germany, in cooperation with UNODA, has been hosting industry conferences since 2012 in Germany that became known as the “Wiesbaden Process”.

The 2015 Wiesbaden conference was aimed at further enhancing cooperation between industry and regulators to improve industry dialogue in the framework of resolution 1540 (2004), taking stock of the outcomes of previous conferences, developing ideas for the future of the Wiesbaden Process and to contribute to the ongoing 1540 Comprehensive Review.

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<sup>1</sup> For information - not an official report. The views expressed here do not necessarily represent those of the 1540 Committee or of the organizers or participants in the event.

## **2. Highlights and Discussions**

Speakers emphasized that the Wiesbaden Process has helped in enhancing awareness on issues related to WMD proliferation at the global level. It was underlined during the course of two days discussion that cooperation among all stakeholders involved in the security value chain, such as governmental, regional, sub-regional institutions as well as the private sector is of vital importance. It was emphasized that more education and awareness-raising needs to be done. It was highlighted especially that establishing a culture of compliance within a company is a key factor for success.

During the conference key elements of effective industry compliance practices (ICP) were identified by integrating outcomes of previous conferences. Additionally the discussions focused on the identification of key elements of effective regulatory actions from the perspective of industry. A panel discussion on new trends and challenges in the area of strategic trade controls brought together valuable insights from the perspective of academia and industry. Other presentations focused on the creation of compliance networks that promote information sharing among industry representatives and a public-private partnership between regulators and industry.

Concluding the conference it was agreed that the Wiesbaden process should continue and be replicated. The Republic of Korea announced that it will host a regional event, in the spirit of the “Wiesbaden Process” in Seoul in September 2016. India also indicated that it plans to host a similar event for industry in Asia in 2016.

## **3. Additional Comments**

For further information, please contact the 1540 Committee experts by e-mail at [1540experts@un.org](mailto:1540experts@un.org).