

# **Export Control Culture: Approaches and Solutions**

by

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# Export Control Culture Definition

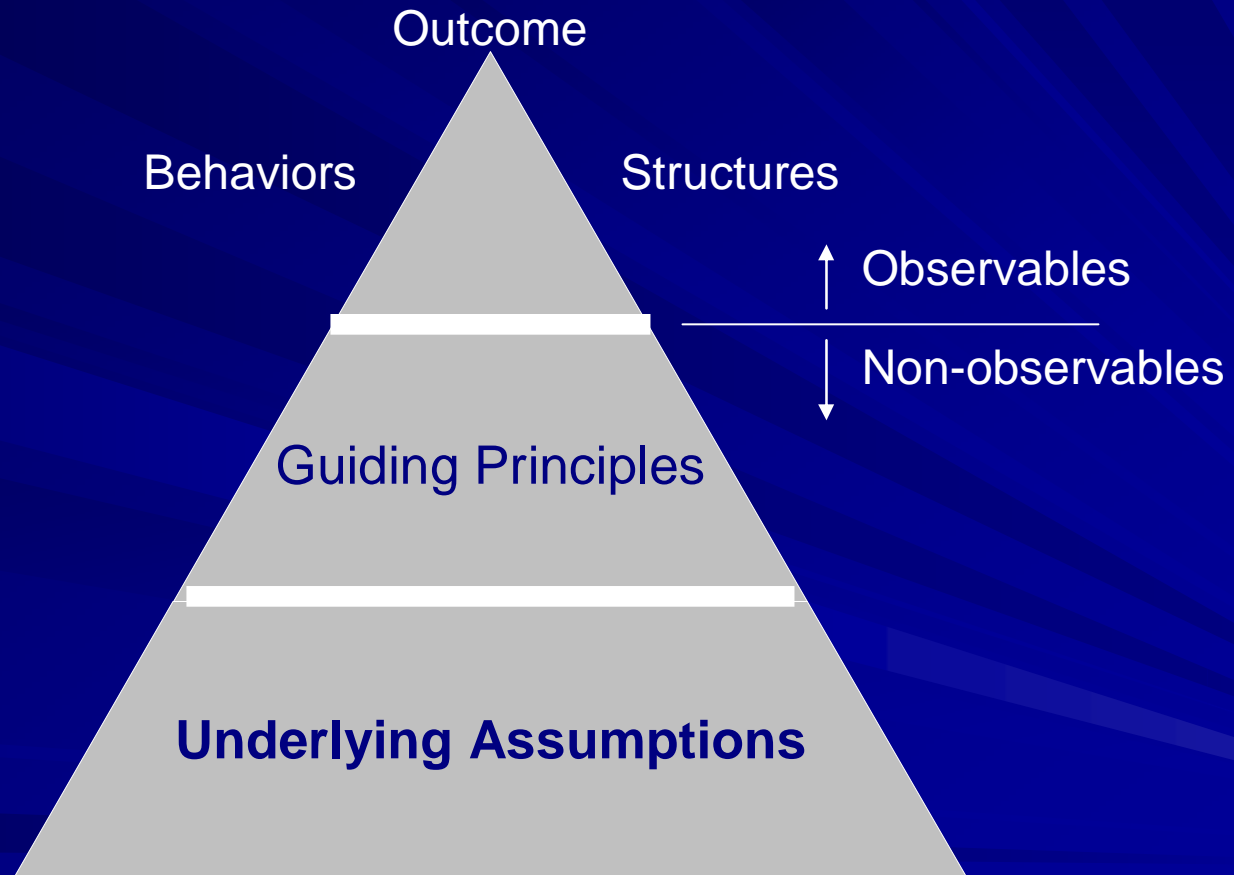
- Culture can be defined as not only acquired skills to follow relevant norms, standards and requirements but also a motivation to promote them.

# Export Control Culture

- The export control function can not be accomplished through the development and implementation of procedures and regulations alone
- All such procedures and regulations are developed, strengthened, broken, or eroded by the action or inaction of individuals
- The staff acts as the integrator of processes and procedures and operating together they comprise what is known as export control culture.

# Export Control Culture

## Conceptual Model of Culture



(Edgar H. Schien, "Organizational Culture and Leadership", Second Edition, Jossey-Bass, 1997)

# Export Control Culture

## Properties of Culture

- Cultures are not good or bad in themselves, but are good or bad at achieving certain results
- There is always a culture in an organization but the questions are whether it is what management needs it to be and whether it is improving or degrading
- Cultures are a product of social learning, therefore they can not be shifted without a learning orientation and explanation

# Export Control Culture

## Properties of Culture (continued)

- In organizational cultures management has a particularly strong influence over assumptions and ideas because it is easier to change the patterns of thinking than the patterns of behavior
- Cultures reduce anxiety for their members by establishing shared patterns of thinking, speaking and acting
- Changing the culture will always increase anxiety until the new patterns are learned

# Export Control Culture

## Model of Export Control Culture



# Export Control Culture

## Model of Export Control Culture

(continued)

**Outcome:**

**Effective Export Control**

**Leadership:**

- Understanding and awareness of nonproliferation goals
- Prevalence of nonproliferation requirements over commercial interests
- Use of authority and open lines of communication

**Structures:**

- Clearly defined roles and responsibilities
- Control lists
- Procedures
- Interagency process
- Regulatory framework
- Information sharing
- Good work environment

**Export Control Personnel:**

- Understanding proliferation threats globally
- Personnel responsibility
- Interagency teamwork and collaboration
- Familiarity with export control updates
- Following procedures
- Questioning and reporting
- Professional conduct

**Characteristics**



# Export Control Culture Country Requirements

- Export control culture and its standards are understood in much the same way across countries while approaches toward attaining them are mostly nation-specific, depending on prevailing socio-economic and political environment, tradition and history.

# Export Control Culture

## Country Requirements (continued)

More emphasis on developing export control culture in:

- Transitional societies
- Countries with over-militarized economies and large weapons export
- Countries with a significant shift of property status
- Countries with a high incidence of crime and corruption combined with weak enforcement
- Countries with inadequate law-abiding standards

# Export Control Culture

## Contributing Factors in Russia's Export Control Culture

### 1. Positive

- Russian security concerns resulting from the possible spread of WMDs and terrorism
- Soviet record of nonproliferation with regard to WMDs
- Inherited governmental institutions and personnel with export control and experience
- Desire to be recognized as part of the Western civilization and to create a favorable trade and investment climate
- Western export control assistance, encouragement and pressure.

# Export Control Culture

## Contributing Factors in Russia's Export Control Culture (continued)

### 2. Negative

- Over-militarized economy and industrial/economic pressures for military exports
- Porous borders and inadequate enforcement
- Growth of organized crime and corruption
- Inadequate law-abiding traditions
- Insufficient export control coordination and cooperation with other NIS countries

# Export Control Culture

## Contributing Factors in Russia's Export Control Culture

### 2. **Negative** (continued)

- Tradition of economic and technological cooperation with problem countries
- Shortage of funding for export control personnel and policy implementation
- Russian nationalism critical of submission to Western interests

# Export Control Culture

## Modular Training Course

1. ***The treat of Proliferation for Russian and International Security.*** This course will explain the current proliferation threat and its impact on the national and international security, lay out the mechanism by which rogue states or terrorist organizations could theoretically obtain technologies and components for weapons of mass destruction through various means, and emphasize role and vigilance of export control officials in preventing this threat from materializing.
2. ***The Role of Export Controls in Nonproliferation.*** The course will put export controls in the framework of overall nonproliferation efforts, explaining their strengths and limitations, laying out types of export controls (national, multilateral), their structure (elements), and current challenges (intangible transfers, secondary proliferation, regime performance). The course will include the presentation of both positive and negative cases of proliferation involving export controls. A description of Russia's export control system is provided.

# Export Control Culture

## Modular Training Course

3. ***Export Controls in the United States, the EU and other Russia's trading partners.*** This course will briefly describe the other countries' export control systems, and then concentrate on the structure and functions of export control departments at U.S. exporting facilities, internal compliance programs, their best practices, positive and negative cases, management and culture, dealing with new challenges (intangibles, encryption, catch-all, etc.), and operating in a privatized enterprise.
4. ***Personnel Management for Export Control Officers.*** The course will cover the use of positive and negative incentives, recruitment, performance evaluation, open communications, use of authority, supervision, non-monetary incentives and other forms of motivation, and combine U.S. and European theories and practices of personnel management with the realities of the Russian corporate and industrial culture and work ethics.

# Export Control Culture Modular Training Course

5. ***Organizational Culture.*** This course will present both theoretical and practical approaches to forming an organizational culture conducive to forming a higher sense of responsibility among the personnel at facilities. Instructors will present and the best Russian and U.S. practices and approaches in private and public industries.
6. ***Export Controls and Safe Business Practices.*** Keeping in mind the “export control dilemma” for revenue-driven enterprises, this course will involve presentations of case studies of best business practices at both Western and Russian facilities.
7. ***Export Control Enforcement Regulations and Practices.*** This module will explain the mechanism of export control enforcement in Russia and other countries. It will focus on Russia’s interagency cooperation and investigation as well as analysis of Russia’s criminal and administrative codes.



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