



# **EXPORT CONTROL SEMINAR**

## **FOR THE COUNTRIES**

### **OF SOUTH EASTERN EUROPE**

**JUNE 17-18, 2003**

**SZEGED**

**HUNGARY**





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# HUNGARIAN EXPERIENCE WITH THE **Tracker**

- **What is it?**
- **Its Story in Hungary**
- **Our Tracker configuration**
- **Benefits of Tracker**
- **Problems**

# What is the 'Tracker'?

- The Tracker is a powerful 'electronic' tool that is intended to help the work of the national export control authorities.
- It's based on the newest software and hardware products and standards e.g.:
  - XML, Java, Versant DBMS, Windows 2K, Sun Solaris, Adobe, etc.
- It can be used for storing finding and displaying several particulars and relationships of export-import cases, and the affected firms, persons, items and locations.
- Can be used for doing and logging the licensing procedures from entering the data of an Application till the decision making and printing Licenses
- Developed by FGM Inc; sponsored by USG

# Current Community of Interest



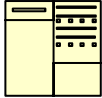




# The Tracker Story in Hungary

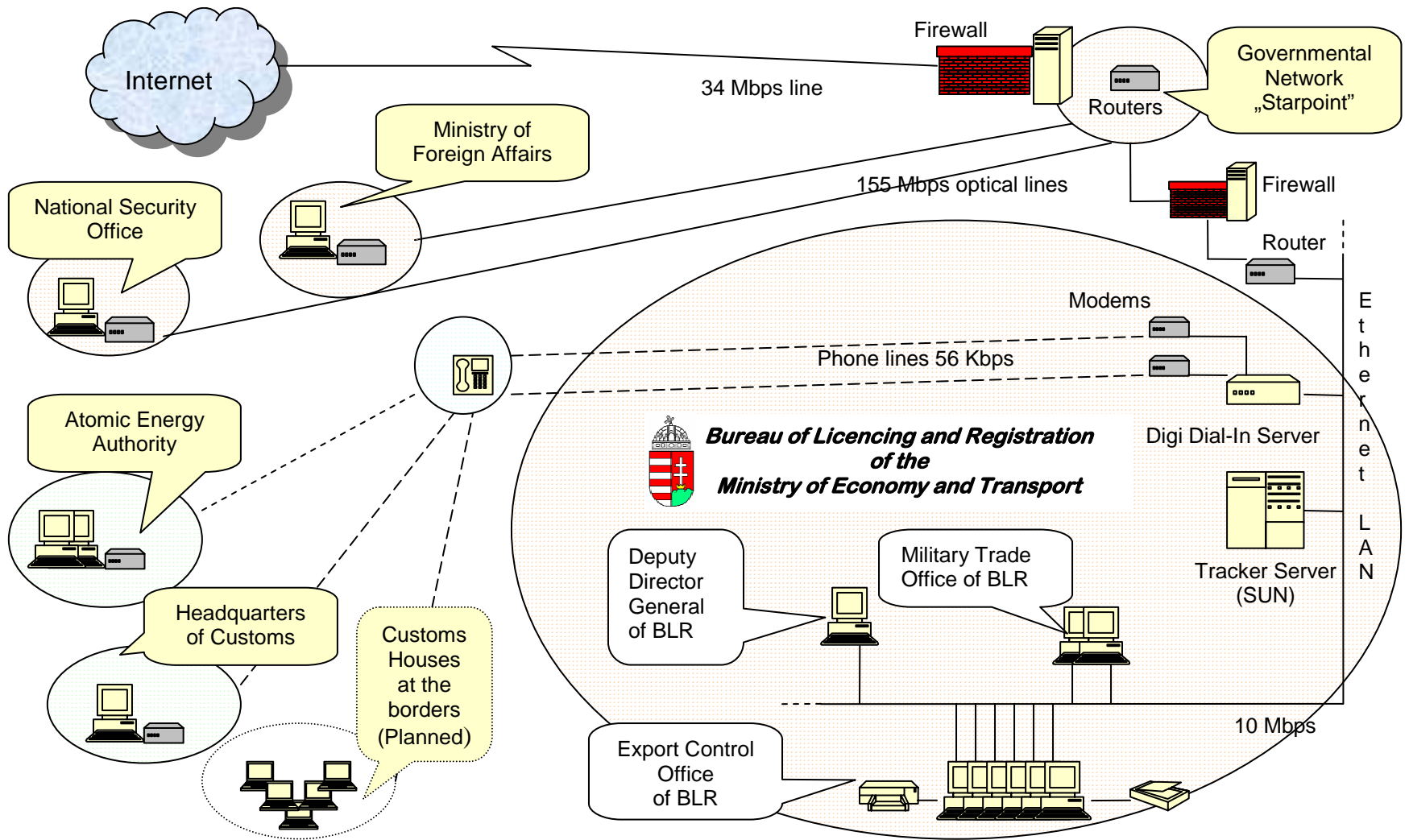


## The relevant events:

- 1996: Offering the Tracker to Hungarian Export Control Authority by the U.S. Department of Commerce
- 1997-98 : Examining into the features of Tracker, convincing the leadership of the Ministry of accepting this offer
- Autumn of 1998: The positive decision was born
- 1999: Deploying the first system, a Tracker'99 1.1.b version in Hungary
- March 2000: Upgrading the Tracker'99 to 1.5.1 version with database migration
- February 2002: Deploying the Tracker 2.0.2 with database migration
- March 2002: Training for Tracker users in Hungary
- September 2002 Upgrading Tracker to 2.0.3 ver. 1.1
- May 2003 Upgrading Tracker from version 2.0.3 to 2.2 with database migration

# Tracker HW/SW configuration in Hungary

- Tracker Server 
  - Sun Enterprise 250 server:
    - SunOs rel. 5.7 (Solaris) / Versant 6.0.1 DBMS / Tracker 2.2 Server
- Dial-in Server 
  - Digi PortServer II
- Multitech modems 
- Tracker Client machines: 
  - Dell Dimension 4300
    - Windows 2000 Prof. / MS Office XP / Adobe 5 CE/ Tracker 2.2 Client
  - Dell Dimension R400
    - Windows NT4 WS / MS Office '97/ Adobe 4/ Tracker 2.2 Client
- Communication lines: 
  - Ethernet LAN 10/100 Mbps
  - Fiber optic WAN 155 Mbps
  - Dial-in phone line max 56 Kbps



The Outline of the Network of the Hungarian Export Control Authority



# Benefits of Tracker

## Platform independent

- Unix, Windows, MacIntosh, Linux or mixed platforms. The Hungarian authority runs its Tracker Server and one Client Interface on Unix (Sun Solaris) op.system and the all other Client interfaces are runned on different Windows op.s. (W98, WNT, W2K)

## • Nearly zero investment costs and low maintenance costs

- US Government provides not only the 'Tracker' SWR and its accessories, but the licenses of newest commercial office SWR-s and the significant part of the required HWR environment. The Hungarian authority has to give only its networks and phone lines and the basic needs for daily working.
- Running and maintaining the Tracker system doesn't need a big staff
- Continuous development, systematic new updates by FGM

## • Advanced user support

- „Hot-line” phone and e-mail connection with NDF and FGM representatives.
- Downloadable current Tracker information from web-site 'www.trackernet.org'
- Technical assistance even on the site of deploying if it is necessary.
- User training if it is needed.
- Annual Tracker Workshop: a direct connection between developers and users. Possibility for getting knowledge of new developments, giving feedback and new ideas for developers. (Oxford Conference)



# Benefits of Tracker (cont. 1)

- **Helps the licensing officers' work on any level of licensing procedure**
  - Matches with our manual method
  - Has a nice and user-friendly Client interface
  - Easy to use for everyone; doesn't require special computer knowledge
  - Provides direct and reliable contact among the competent officers and co-authorities as well
  - Helps finding the „bad boys” among the parties and persons (due to the „relationship” and „red-flag” options)
  - Provides native language user environment, or multilingual if it's needed (Rosetta)
  - Scanned documents can be attached to cases
  - Manuals and other necessary documents can be stored in Library
  - The filled License forms can be printed directly from the Tracker program (Adobe)
- **Helps to observe the decision procedure**
  - Traces and logs the whole workflow of licensing processes from the first data entry till decide making



# Benefits of Tracker (cont. 2)

- **Flexible set of access rights for different users .**
  - One or more „Roles” (from Data Entry Person up to Supervisory Officer) can be assigned to the user accounts and the various access rights are granted to the „Roles”.
- **Provides the possibility of an entirely electronic public administration from submitting applications till issuing licenses (paperless office)**
  - Electronic data exchange between the firms and the export control authority
    - Trax from FGM
    - Implementing of the Hungarian „e-Government” project is in progress
- **Provides a possibility of making direct connection with partner authorities not only inside a country, everywhere on the world**
  - This feature can be very useful for the export control authorities of EU-member countries. (E.g.: The exporter resides in other EU-member country than its dual-use goods. In this case one country’s authority issues the license but must notify the other country’s authority)

# Unfavourable experiences



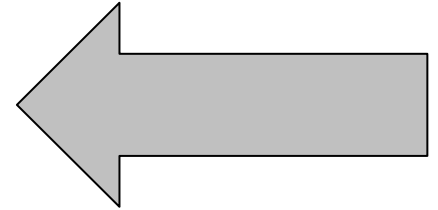
- **Relevant modifying of the database structure and the user interface sometimes causes errors and inconvenience**
  - Moving the old database content into the new database structure sometimes caused unexpected issues.
  - Some good useable old solution of Client Interface became more inconvenient in newer version.
- **There are a huge amount of input data but not enough output possibility.**
  - We'd like to suggest the developers' paying more attention to increasing the output side.
  - Any „export data” option is lacking. Even if a simple Excel acceptable text file.
- **The needless data are not removable from database.**
  - It is reasonable that nobody can delete cases from the database, avoiding the abuse. But what about the unneeded wrong or test entries? It's useless storing processing or archiving these day to day. A filter flag and a safety discarding process are needed.

# Unfavourable experienses (cont.)

- **Maintaining of the Unix version of Tracker server is inconvenient enough.**
  - There is only command line mode for maintaining the Tracker by the System Administrator. Particularly the managing user rights task can be carried with extremely long and complicated commands. Collecting the proper collection of rights from the countless possibility and granting these for the users requires a lot of inconvenient typing and the looking over the granted access rights is difficult task for the Database Administrators. Our former Windows NT version of Tracker Server provided a much easier way due to its grafic interface.

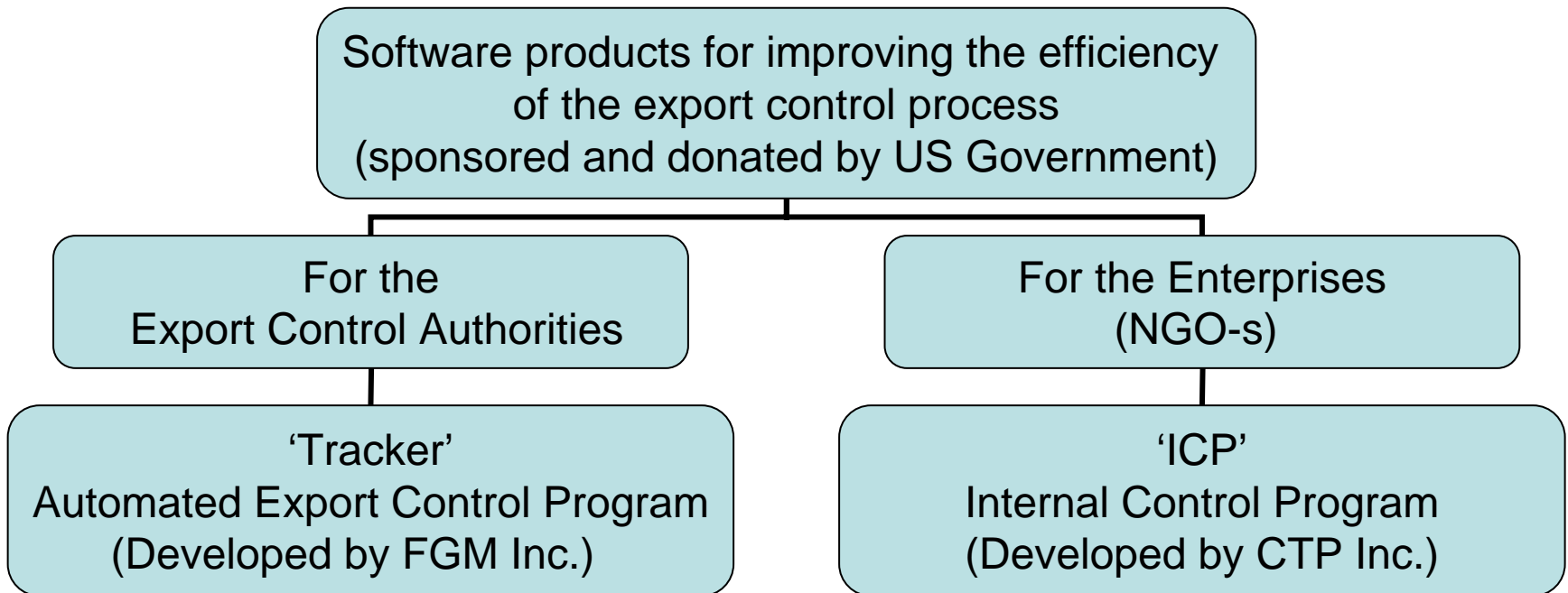
# Summary

(in my humble opinion)



# Some words about ICP

- A government decree obliges the Hungarian enterprises to establish their own *internal* control system if they want to take part on export-import activity of sensitive goods. This decree provides only a skeleton, but not a detailed method. The ICP can be a useful tool for the firms because it able to help them
  - to learn about internal control requirements
  - to establish their own internal control policy
  - to write all necessary documents from procedures manuals till the application for Export License
  - to establish database of reference materials
- Based on Microsoft Windows platform
- Developed by CTP Inc. sponsored by USG
- Hungarian adaptation made by the 'Puskas Tivadar' Foundation
- Implementing at Hungarian firms is in progress
  - A training for trainers has just been finished
  - Implementing and training of ICP at concerned firms has just started



# Internal Control Program Sample 1.

The image shows a screenshot of a software application titled "INTERNAL CONTROL PROGRAM" with a "Main Menu". The menu items are listed on the left, and callout boxes on the right provide descriptions for each item:

- User's Guide**: Explains what are the export control and the internal control and why these are important
- About This Program**: Gives detailed explanations about the ten elements of Internal Control Program
- Introduction to Internal Control Programs**: Gives templates for writing ICP manuals and documents
- The Elements of an Internal Control Program**: Also gives several templates
- Writing Your Internal Control Program**: Contains reference materials e.g. contact info or denied party list etc.
- Implementation Tools**
- Reference**

# Internal Control Program Sample 2.

ICP

## Chapter 1: Company Policy Statement

*This template provides you with the framework for Chapter 1: Company Policy Statement.*

**ICP Manual color key- delete this entire box before printing**

**Red text** Instruction for the person writing the manual and should be deleted when you are ready to print.

**Blue text** Suggested content that should be customized for your company.

**Black text** Part of the basic structure of the manual and should not be modified.

### 1.1 Reason of Importance

The cornerstone for building an effective internal control program is a clear, written statement of [company name here] policy toward export controls that is communicated to all employees who work in export related functions. This statement will outline [company name here] official position on export controls and its intent to implement an Internal Control Program. [Add any additional information here]

### 1.2 Who will Issue the Policy Statement

THANK  
YOU FOR  
YOUR  
ATTENTION