



Security Council

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Letter dated 18 December 2020 from the Chair of the Security Council Committee established pursuant to resolution 1718 (2006) addressed to the President of the Security Council

I have the honour to transmit herewith the report of the Security Council Committee established pursuant to resolution 1718 (2006), containing an account of the Committee's activities from 1 January to 31 December 2020. The report, which was approved by the Committee, is being submitted in accordance with the note by the President of the Security Council of 29 March 1995 (S/1995/234).

I should be grateful if the present letter and the report were brought to the attention of the members of the Security Council and issued as a document of the Council.

(Signed) Christoph Heusgen
Chair
Security Council Committee established
pursuant to resolution 1718 (2006)



Report of the Security Council Committee established pursuant to resolution 1718 (2006)

I. Introduction

1. The present report of the Security Council Committee established pursuant to resolution 1718 (2006) covers the period from 1 January to 31 December 2020.
2. The Bureau of the Committee consisted of Christoph Heusgen (Germany) as Chair and representatives of Estonia and Tunisia as Vice-Chairs.

II. Background

3. The Committee is mandated to oversee the implementation, examine and take appropriate action regarding alleged sanctions violations and make recommendations to strengthen the effectiveness of the measures adopted by the Security Council in its resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013), 2270 (2016), 2321 (2016), 2356 (2017), 2371 (2017), 2375 (2017) and 2397 (2017). The measures include an arms embargo, an embargo relating to nuclear, ballistic missile and other weapons of mass destruction programmes, sectoral bans on coal, minerals and fuel, a ban on the export of luxury goods, a travel ban and/or asset freeze on designated individuals and entities, a ban on the provision of financial services, a ban on specialized teaching and training in disciplines that could contribute to prohibited activities and programmes, and cargo inspection and maritime procedures. The measures should not impede the activities of diplomatic or consular missions in the Democratic People's Republic of Korea pursuant to the Vienna Convention on Diplomatic Relations and the Vienna Convention on Consular Relations. The Committee is further mandated to examine and take appropriate action regarding requests for exemptions relating to the sanctions measures, taking into account that they are not intended, inter alia, to have adverse humanitarian consequences for the civilian population of the Democratic People's Republic of Korea. Similarly, the Committee is to determine additional items, materials, equipment, goods and technology to be specified for the purpose of paragraphs 8 (a) (i) and (ii) of resolution 1718 (2006).
4. A panel of experts, established pursuant to resolution 1874 (2009), acts under the direction of and assists the Committee in implementing its mandate to monitor, promote and facilitate the implementation of the measures imposed in the resolutions.
5. The membership of the Panel of Experts initially consisted of seven experts, but was increased to eight experts under resolution 2094 (2013). The mandate of the Panel was extended most recently by the Security Council in its resolution 2515 (2020).
6. Further background information on the Democratic People's Republic of Korea sanctions regime can be found in the previous annual reports of the Committee.

III. Summary of the activities of the Committee

7. The Committee met once in informal consultations, on 19 February, in addition to conducting its work through written procedures.
8. In the light of the challenges posed to the Committee's procedures by the coronavirus disease (COVID-19) pandemic, including the limitations on holding in-person meetings, and in order to ensure the continuity of its work, the members of the

Committee agreed, on an exceptional basis, to hold virtual meetings in the form of closed videoconferences, on 18 May, 25 August, 7, 15 and 26 October and 20 November.

9. The Committee also convened briefings for Member States through closed videoconferences on 22 June and 9 November.

10. During the informal consultations held on 19 February, the Committee heard a presentation by the Panel of Experts on its final report (S/2020/151), submitted pursuant to paragraph 2 of resolution 2464 (2019), and held a general discussion on the report.

11. During the closed videoconference held on 18 May, the Committee discussed the Panel's recommendations as contained in its final report (S/2020/151).

12. During the closed videoconference held on 25 August, the Committee heard a presentation by the Panel of Experts on its midterm report (S/2020/840 and S/2020/840/Corr.1), submitted pursuant to paragraph 2 of resolution 2515 (2020), and held a general discussion on the report.

13. During the closed videoconference held on 7 October, the Committee held technical discussions on the conversion rate in relation to paragraph 5 of Security Council resolution 2397 (2017) concerning the supply, sale or transfer from Member States to the Democratic People's Republic of Korea of all refined petroleum products. The Committee continued technical discussions on the same topic during the closed videoconference held on 15 October.

14. During the closed videoconference held on 26 October, the Committee discussed the Panel's recommendations as contained in its midterm report (S/2020/840 and S/2020/840/Corr.1).

15. During the closed videoconference held on 20 November, the Committee heard a briefing by the Office for the Coordination of Humanitarian Affairs.

16. On 27 February, 29 May, 27 August and 30 November, the Chair gave a briefing to the Security Council during closed consultations on the activities of the Committee, pursuant to paragraph 12 (g) of resolution 1718 (2006).

17. On 30 November, the Committee approved updates to Implementation Assistance Notice No. 7: Guidelines for Obtaining Exemptions to Deliver Humanitarian Assistance to the Democratic People's Republic of Korea, and issued two optional template documents to be used for exemption applications.

18. To date, the Committee has received 115 reports from Member States on the implementation of resolution 2270 (2016), 107 reports on the implementation of resolution 2321 (2016), 90 reports on the implementation of resolution 2371 (2017) and 95 reports on the implementation of resolution 2375 (2017), as well as 81 reports on the implementation of resolution 2397 (2017) as a whole and 63 reports on the implementation of paragraph 8 of the same resolution.

19. The Committee continued to assist Member States and international organizations in implementing their obligations under the relevant Security Council resolutions. Through closed videoconferences, the Committee held briefings for Member States on 22 June and 9 November on the implementation of sanctions measures and Member States' obligations under the relevant resolutions.

20. The Committee received letters from several United Nations entities, as well as non-United Nations organizations, requesting confirmation that their engagement with the Democratic People's Republic of Korea, including proposals to provide technical assistance to the country, did not contravene the sanctions regime. The Committee responded to some of those requests, recalling the obligations under the relevant Security Council resolutions.

21. The Committee sent 251 communications to 72 Member States and other stakeholders with reference to the implementation of the sanctions measures.

IV. Exemptions

22. Exemptions to the arms embargo are contained in paragraph 10 of resolution 1874 (2009) and paragraph 8 of resolution 2270 (2016).

23. Exemptions to the asset freeze are contained in paragraph 9 of resolution 1718 (2006), paragraph 32 of resolution 2270 (2016) and paragraph 26 of resolution 2371 (2017).

24. Exemptions to the travel ban are contained in paragraph 10 of resolution 1718 (2006) and paragraph 10 of resolution 2094 (2013).

25. Exemptions relating to the provision of bunkering services are contained in paragraph 17 of resolution 1874 (2009).

26. Exemptions relating to proliferation networks are contained in paragraphs 13 and 14 of resolution 2270 (2016).

27. Exemptions relating to interdiction and transportation measures are contained in paragraph 21 of resolution 2270 (2016), paragraphs 8, 9 and 22 of resolution 2321 (2016), paragraphs 6 and 12 of resolution 2375 (2017) and paragraph 9 of resolution 2397 (2017).

28. Exemptions relating to the supply, sale or transfer of new or used vessels are contained in paragraph 14 of resolution 2397 (2017). Exemptions relating to the ban on providing insurance or reinsurance services to vessels are contained in paragraph 11 of the resolution. Exemptions relating to deregistering vessels are contained in paragraph 12 of resolution 2397 (2017).

29. Exemptions relating to the coal, iron and iron ore ban are contained in paragraph 8 of resolution 2371 (2017) and paragraph 16 of resolution 2397 (2017), and exemptions relating to the fuel ban (aviation, rocket and jet fuel) are contained in paragraph 31 of resolution 2270 (2016).

30. Exemptions relating to scientific and technical cooperation are contained in paragraph 11 of resolution 2321 (2016).

31. Exemptions relating to financial measures are contained in paragraph 19 of resolution 1874 (2009), paragraph 33 of resolution 2270 (2016), paragraphs 31 to 33 of resolution 2321 (2016) and paragraph 18 of resolution 2375 (2017).

32. Exemptions relating to statues and new helicopters and vessels are contained in paragraphs 29 and 30 of resolution 2321 (2016).

33. Exemptions relating to the ban on all refined petroleum products are contained in paragraph 14 of resolution 2375 (2017) and paragraph 5 of resolution 2397 (2017). Exemptions relating to the supply, sale or transfer of an excess amount of crude oil are contained in paragraph 15 of resolution 2375 (2017) and paragraph 4 of resolution 2397 (2017).

34. Exemptions relating to the ban on the supply, sale or transfer of all industrial machinery (Harmonized System codes 84 and 85), transportation vehicles (Harmonized System codes 86 to 89) and iron, steel and other metals (Harmonized System codes 72 to 83) are contained in paragraph 7 of resolution 2397 (2017).

35. Exemptions relating to the ban on seafood are contained in paragraph 9 of resolution 2371 (2017).

36. Exemptions relating to the ban on the supply, sale or transfer of textiles are contained in paragraph 16 of resolution [2375 \(2017\)](#).
37. Exemptions relating to the ban on workers of the Democratic People's Republic of Korea abroad are contained in paragraph 17 of resolution [2375 \(2017\)](#) and exemptions relating to the repatriation of workers are contained in paragraph 8 of resolution [2397 \(2017\)](#).
38. Exemptions relating to assistance and relief activities are contained in paragraph 25 of resolution [2397 \(2017\)](#).
39. The Committee received 21 notifications pursuant to paragraphs 4 and 5 of resolution [2397 \(2017\)](#) concerning transfers of crude oil and refined petroleum products.
40. The Committee approved 30 requests from Member States, United Nations entities and other international organizations for humanitarian exemptions in accordance with paragraph 25 of resolution [2397 \(2017\)](#).
41. In view of the COVID-19 pandemic, the Committee developed a practice of considering pandemic-related humanitarian exemption requests, as well as requests for time extensions to exemption periods, under expedited no-objection procedures.

V. Sanctions list

42. The criteria for the designation of individuals and entities as subject to the travel ban and asset freeze are set out in paragraphs 8 (d) and (e) of resolution [1718 \(2006\)](#), paragraph 12 of resolution [2087 \(2013\)](#) and paragraph 27 of resolution [2094 \(2013\)](#). The procedures for requesting listing and delisting are described in the Committee's guidelines for the conduct of its work.
43. No entries were added to or removed from the list. As at the end of the reporting period, there were 80 individuals and 75 entities on the sanctions list of the Committee.

VI. Panel of Experts

44. On 7 February, in accordance with paragraph 2 of resolution [2464 \(2019\)](#), the Panel of Experts provided its final report to the Committee, which was transmitted to the Security Council on 26 February and issued as a document of the Council ([S/2020/151](#)).
45. On 25 April, following the adoption by the Security Council of resolution [2515 \(2020\)](#) on 30 March, the Secretary-General appointed eight individuals to the Panel, with expertise in missile issues and other technologies, non-proliferation and regional security, customs and export controls, finance and economics, nuclear issues, maritime transport, non-proliferation, procurement and trade, and other weapons of mass destruction and conventional arms. The mandate of the Panel expires on 30 April 2021.
46. On 22 May, in accordance with paragraph 3 of resolution [2515 \(2020\)](#), the Panel presented its programme of work to the Committee.
47. On 3 August, in accordance with paragraph 2 of resolution [2515 \(2020\)](#), the Panel provided its midterm report to the Committee, which was transmitted to the Council on 26 August and issued as a document of the Council ([S/2020/840](#) and [S/2020/840/Corr.1](#)).

48. The Panel conducted visits to Japan and the United Kingdom of Great Britain and Northern Ireland. The Panel also held informal consultations with government officials and national experts of Member States and with representatives of several international organizations and entities, including the International Atomic Energy Agency and the International Maritime Organization. It also participated in relevant international meetings, conferences, workshops and seminars. Owing to the pandemic-related travel restrictions and health advisories, the majority of those meetings were held through videoconferences.

49. In pursuance of its mandate, the Panel, through the Secretariat, sent 470 letters to 190 Member States, the Committee and international and national entities.

VII. Secretariat administrative and substantive support

50. The Security Council Affairs Division provided substantive and procedural support to the Chair and the members of the Committee. Advisory support was also provided to Member States to promote understanding of the sanctions regime and facilitate the implementation of the sanctions measures. Induction briefings were also provided to incoming members of the Council to familiarize them with the specific issues relevant to the sanctions regime.

51. The Division worked with the Department for General Assembly and Conference Management and the Office of Information and Communications Technology of the Department of Management Strategy, Policy and Compliance to facilitate the conduct of virtual meetings held by the Committee, through a variety of platforms.

52. To support the Committee in its recruitment of well-qualified experts to serve on sanctions monitoring groups, teams and panels, a note verbale was sent to all Member States on 14 December to request the nomination of qualified candidates for the roster of experts. In addition, a note verbale was sent to all Member States on 8 January notifying them of upcoming vacancies on the Panel of Experts and providing information on recruitment timelines, areas of expertise and pertinent requirements. On 3 January, vacancy announcements were also made available online at careers.un.org.

53. The Division continued to provide support to the Panel of Experts, assisting in the preparation of the Panel's final report, submitted to the Committee in February, and its midterm report, submitted to the Committee in August. While the COVID-19 pandemic restrictions impeded the travel of Panel members for much of 2020, the Secretariat facilitated travel by Panel members to Member States before the implementation of the restrictions in March. The Secretariat also organized a remote workshop on investigative techniques, held from 14 to 16 December, which was focused on investigative methods and tools for experts. In addition, the Secretariat organized training sessions for experts on the use of subscription-based analytical products and programmes, as well as databases and other research tools, to facilitate their monitoring and reporting work.

54. The Secretariat continued to update and maintain the United Nations Security Council Consolidated List and the committee-specific sanctions lists in the six official languages and the three technical formats. Furthermore, the Secretariat implemented improvements concerning the effective utilization of and access to the lists, as well as further developing, in all official languages, the data model approved in 2011 by the Committee pursuant to resolutions [1267 \(1999\)](#), [1989 \(2011\)](#) and [2253 \(2015\)](#) concerning Islamic State in Iraq and the Levant (Da'esh), Al-Qaida and associated individuals, groups, undertakings and entities, as requested by the Council in

paragraph 54 of resolution [2368 \(2017\)](#). Since November 2020, the notes verbales notifying Member States about listings on, delistings from and updates to the Consolidated List and the committee-specific sanctions lists have also been made available in Arabic, Chinese and Russian, in addition to English, French and Spanish, in order to facilitate the timely implementation of changes to the relevant lists.
