

**Security Council**

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**Letter dated 12 September 2011 from the Chair of the  
Security Council Committee established pursuant to resolution  
1540 (2004) addressed to the President of the Security Council**

On behalf of the Security Council Committee established pursuant to resolution 1540 (2004) and in accordance with paragraph 14 of resolution 1810 (2008), I have the honour to submit to the Security Council the report of the Committee on compliance with resolution 1540 (2004) through the achievement of the implementation of its requirements.

The Committee would appreciate it if the present letter, together with the report and its annexes, could be brought to the attention of the members of the Security Council and issued as a document of the Council.

*(Signed)* Baso **Sangqu**  
Chairman  
Security Council Committee established  
pursuant to resolution 1540 (2004)



## **Report of the Committee established pursuant to Security Council resolution 1540 (2004)**

### *Summary*

Since its report to the United Nations Security Council in July 2008, the Committee established pursuant to Security Council resolution 1540 (2004) has facilitated and documented an upward trend in the progress made by States in implementing measures to prevent non-State actors from acquiring nuclear, chemical and biological weapons and their means of delivery. The aforementioned work of the Committee has contributed to strengthened global non-proliferation and counter-terrorism regimes and has contributed to better preparing States to prevent proliferation of such weapons to non-State actors. For example, at least 140 States have now adopted legislative measures to prohibit proliferation of nuclear, chemical and biological weapons, as compared to 65 States in 2006. The number of countries reporting national legal frameworks regarding the manufacture and production of nuclear materials has risen from 32 in 2006 to 71 in 2009 and to more than 120 in 2011. The number of countries with legal frameworks prohibiting the manufacture, acquisition, stockpiling, development, transfer or use of biological weapons has also increased significantly since 2008. Additionally, more countries report provisions in their legal frameworks prohibiting the involvement of non-State actors in illicit activities related to chemical weapons.

The Committee has established itself as an important player in the international non-proliferation landscape. It has continued to raise awareness of the importance of resolution 1540 (2004) through its extensive outreach and dialogue with Member States (including, where States issue invitations, undertaking more work in country), its cooperation with relevant international, regional and subregional organizations and other United Nations bodies and its transparency with relation to the international community as a whole. The Committee has also continued to engage with many governmental and other organizations, such as the International Atomic Energy Agency, the Organization for the Prohibition of Chemical Weapons and the Implementation Support Unit of the Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on Their Destruction, in order to encourage more widespread implementation of resolution 1540 (2004). Additionally, since the last report the Office for Disarmament Affairs, in its role of supporting the Committee, has organized seven regional workshops to promote awareness-raising, improve border and export controls, technical assistance and regional cooperation.

While the status of implementation of the resolution has continued to improve since 2004, the Committee recognizes that much work remains to be done and that the gravity of the threat remains considerable. To fully implement the resolution requires a long-term effort by States to meet all the requirements and recommendations of the resolution through measures appropriate and effective to their national circumstances. To that end, the Security Council has extended the mandate of the Committee for 10 years and encourages continued and active support from States. Additionally, the Committee recommends that it, States and international, regional and subregional organizations in cooperation, where appropriate, with academia, industry and civil society should take a long-term approach that can contribute to national implementation of resolution 1540 (2004).

Many States continue to express their need for assistance to meet their obligations under resolution 1540 (2004). The Committee coordinates and facilitates technical assistance for implementation of the resolution and it recommends continued active engagement, with the support of its experts, in matching offers of and requests for assistance through such means as assistance templates, voluntary action plans, other information submitted to the Committee and country visits at the invitation of States. The Committee believes that coordinating these assistance efforts, where appropriate, with relevant national capacity-building and development programmes may make more efficient and effective use of the limited resources currently available to implement the resolution. To this end, the Committee has engaged with regional and subregional organizations and international organizations, such as the European Union, as well as with intergovernmental mechanisms, such as the Group of Eight, to encourage greater involvement in providing assistance to those States that require it. In addition, to more solidly establish the Committee in its role as a facilitator of technical assistance, the Committee supports financial contributions through the United Nations Trust Fund for Global and Regional Disarmament Activities to support its related activities.

Taking a long-term outlook, however, does not diminish the urgency that the Committee perceives in the need for States to take appropriate effective measures to combat the proliferation of nuclear, chemical and biological weapons and their means of delivery to non-State actors. In this regard, the Committee sees the need to increase its ability to enable and expedite the sharing of lessons learned and effective practices among States and the international community as a whole, so that States can put limited resources to the best use in their specific circumstances. It also understands that terrorists, criminal organizations and other non-State actors will adapt their strategies and tactics to evade legal and enforcement efforts to prohibit or control activities as required under resolution 1540 (2004), which requires constant vigilance by States and those bodies facilitating this work, including the Committee, to allow the flexibility to meet emerging proliferation threats or new tactics by non-State actors. To this end the Committee recommends that it continue to review regularly the status of implementation of the resolution, work with States and international, regional and subregional organizations in a transparent and cooperative manner characterized by dialogue and information sharing and offer regular opportunities for States which are not members of the Committee and other entities to express their views to the Committee, upon its request. To that end, for example, the Committee continues to take into consideration the guidance provided by the framework of the Financial Action Task Force.

Since the adoption of resolution 1540 in 2004, relevant international, regional and subregional organizations representing virtually all States have endorsed full implementation of the resolution by their members and have begun to incorporate practical steps towards implementation of the resolution into their work programmes. While the Committee recommends that continued outreach take place to promote understanding of the resolution, it also believes that its efforts should focus increasingly on practical ways and means of helping Member States to take steps to implement resolution 1540 (2004).

## I. Introduction

1. On 25 April 2008 the Security Council unanimously adopted resolution 1810 (2008), which reaffirmed its resolutions 1540 (2004) and 1673 (2006), endorsed the work already carried out by its Committee established pursuant to resolution 1540 (2004) (the Committee) and extended the mandate of the Committee for a period of three years until 25 April 2011. On 20 April 2011 the Security Council unanimously adopted resolution 1977 (2011), which extends the mandate of the Committee for a period of 10 years.
2. Paragraph 10 of resolution 1810 (2008) states that the Committee should continue to intensify its efforts to promote the full implementation by all States of resolution 1540 (2004) and paragraph 14 states that the Committee will submit to the Security Council a report on compliance with resolution 1540 (2004) through the achievement of its requirements.
3. The present report is submitted accordingly and covers the period from 25 April 2008 to 24 April 2011.

## II. Organization of work

4. Following the decision to extend the mandate of the Committee, Ambassador Jorge Urbina of Costa Rica, elected by the Security Council on 3 January 2008, continued to serve as Chair of the Committee, with representatives of Croatia, Indonesia and the United Kingdom of Great Britain and Northern Ireland undertaking the tasks of Vice-Chair in 2008 and Croatia, Mexico and the United Kingdom in 2009. On 31 January 2010, the Security Council elected Ambassador Claude Heller of Mexico as Chair of the Committee. The United Kingdom remained as Vice-Chair, while Lebanon and Turkey replaced Croatia and Mexico as Vice-Chairs.
5. On 4 January 2011, the Security Council elected Ambassador Baso Sangqu of South Africa as Chair of the Committee. The United Kingdom and Lebanon remained as Vice-Chairs, while Portugal replaced Turkey as Vice-Chair.
6. In accordance with paragraph 4 of resolution 1673 (2006), the Committee continued to be assisted by experts. On 18 December 2008, the Secretary-General informed the President of the Security Council of the appointment of three experts to fill the existing vacancies in the group of eight experts. The current composition of the group of experts appears in annex I.
7. A senior Political Officer of the Department of Political Affairs, assisted by other officers of that Department, continued to serve as Secretary of the Committee while the Office for Disarmament Affairs continued to provide substantive and logistical support to the Committee.
8. Since the extension of its mandate in April 2008, the Committee has held 21 formal and 36 informal meetings, as well as a number of informal consultations. Following the recommendations in the final document on the 2009 comprehensive review of the status of implementation of Security Council resolution 1540 (2004), since 2010 the Committee has held regular monthly meetings that allow a more structured approach towards its work, including regular briefings by the coordinators of the Committee working groups on their respective areas of work,

raising its overall productivity and efficiency. The regular convening of meetings proved to be very useful in keeping the work of the Committee active and organized.

9. Beginning with its eighth programme of work starting as of 1 February 2009, the Committee established four working groups dealing with: (a) monitoring and national implementation; (b) assistance; (c) cooperation with international organizations, including the Security Council Committee established pursuant to resolution 1267 concerning Al-Qaida and the Taliban and associated individuals and entities and the Security Council Committee established pursuant to resolution 1373 concerning counter-terrorism; and (d) transparency and media outreach. The working groups have held 36 regular meetings to consider different issues related to implementation of the resolutions, assistance, cooperation and transparency. The working groups have been useful in advancing the various activities of the Committee.

10. On 12 November 2008, 26 May and 13 November 2009 and 11 May and 15 November 2010, the Chair of the Committee, together with the Chairs of the Security Council Committees established pursuant to resolutions 1373 (2001) and 1267 (1999), continued to brief the Security Council at open meetings on the progress made by the respective Committees in fulfilling their mandates, as well as on ongoing cooperation between these bodies. On 14 December 2009, the outgoing Chair of the Committee, Ambassador Jorge Urbina, briefed the Security Council on the activities of the Committee during his tenure. On 15 November 2010, the outgoing Chair of the Committee, Ambassador Claude Heller, briefed the Security Council on the activities of the Committee during his tenure, following his report at the joint briefing.

11. In accordance with paragraph 9 of resolution 1810 (2008), the Committee adopted its ninth programme of work covering the period from 1 February 2010 to 31 January 2011, which was forwarded to the Security Council with a letter, dated 26 February 2010, from the Chair of the Committee. On 26 January 2011, the Chair of the Committee communicated the approval of the extension of its ninth programme of work to cover the period from 1 February to 25 April 2011.

12. Documents relevant to the work of the Committee are listed in annex II.

### **III. Comprehensive review of the status of implementation**

13. In resolution 1810 (2008), which extended the mandate of the Committee until 25 April 2011, the Security Council requested the Committee to consider a comprehensive review of the status of implementation of resolution 1540 (2004) (the comprehensive review).

14. In a letter addressed to the President of the Security Council, the Chair of the Committee reported that the Committee had agreed to hold a comprehensive review of the status of implementation, including an open meeting of the Committee to be held from 30 September to 2 October 2009, to which all Member States and relevant international, regional and subregional organizations were invited.

15. Through this event the Committee offered, for the first time, a forum to all Member States and international, regional and subregional organizations to share

experiences and express their views on the implementation of resolution 1540 (2004).

16. According to the report of the Committee on modalities for considering a comprehensive review, in accordance with paragraph 8 of Security Council resolution 1810 (2008), the review was intended to address three areas: to assess the evolution of risks and threats, to address specific critical issues and to identify possible new approaches for the implementation of the resolution.

17. The review adopted a thematic approach, with an interactive session on specific elements, which included:

(a) Assessment of the impact of resolution 1540 (2004), including through measures taken after its adoption;

(b) Assessment of whether States have undertaken measures derived from resolution 1540 (2004), including through the establishment and enforcement of appropriate criminal or civil penalties for violations of export control laws and regulations;

(c) Conduct of regional analyses of implementation, with some examples of national and regional practices and experience sharing;

(d) Generation of new tools, such as guidelines on handling assistance requests and development of practical means to address the most commonly found “gaps” in implementation;

(e) Evaluation, as appropriate, of the impact of national implementation measures on individuals and due process standards;

(f) Analysis of the work of the Committee and identification of possible ways of increasing the effectiveness of its activities;

(g) Assessment of the existing templates, particularly the Committee matrix, in light of the information gathered for the 2006 and 2008 reports (S/2006/257 and S/2008/493);

(h) Development of methodologies to improve the effectiveness of cooperation with individual States and international, regional and subregional organizations, multilateral arrangements dealing with export controls and relevant entities within the United Nations system, and assessment of the level of cooperation between the Committee and the Committees established pursuant to resolutions 1267 (1999) and 1373 (2001).

18. In preparation for the open meeting of the comprehensive review, the Committee requested its experts to prepare substantive background papers dealing with the above elements.

19. During the comprehensive review, States made clear that they have undertaken noteworthy efforts to implement resolution 1540 (2004) since its adoption and will continue to do so. States recognized the value of the work of the Committee and the need for planning long-term implementation and discussed challenges still faced in implementation of the resolution.

20. In the comprehensive review a set of recommendations for the Committee to consider in its future work and mandate was highlighted. These recommendations deal mainly with the capacity of the Committee to gather information on the status

of implementation of the resolution; consolidate its clearing house role in matching requests for assistance with offers; develop formal and informal cooperative arrangements with relevant international, regional and subregional organizations and multilateral institutions; and facilitate the sharing of information on good practices and lessons learned and the development and implementation of standards. In conducting these activities it was recommended that the Committee strengthen the planned and regular basis of its work, with the possible participation of national experts based in their respective countries, if appropriate; continue to organize and participate in outreach activities for raising awareness of the requirements of the resolution and promoting its implementation by States; and enhance its efforts to solve the issue of non-reporting States including, if appropriate, through the provision of prioritized assistance to them.

21. States welcomed the cooperative and transparent approach of the Committee, recognizing it as a key factor in raising the level of dialogue and cooperation. It was recommended that it continue working in this manner, including through the practice of organizing outreach activities and increasing its interaction with the entire membership of the United Nations, including, where appropriate, through open meetings.

22. The complete spectrum of the recommendations from the comprehensive review is contained in the final document.<sup>1</sup>

#### **IV. Reporting and compilation of information**

23. With the adoption of resolution 1810 (2008) on 25 April 2008, the Security Council reaffirmed its decisions on the requirements of resolution 1540 (2004) and called once again upon States that have not yet presented a first report on the steps they have taken, or intend to take, to submit such a report to the Committee without further delay. The Chair of the Committee and its members acknowledge efforts by States and international or intergovernmental groups or forums, such as the African Union, the European Union and the Group of Eight (G-8), to promote and facilitate the presentation of a first report from States which have not yet done so.

24. Resolution 1810 (2008) also encourages States to prepare on a voluntary basis summary action plans to map out their priorities and plans for implementing the key provisions of resolution 1540 (2004) and to submit such plans to the Committee. So far, Argentina, Canada and the United States of America have presented their action plans.

25. On 14 April 2010, the Chair of the Committee convened informal consultations to which all of the then 28 non-reporting Member States were invited and of which 12 attended. The Chair encouraged non-reporting States to submit their first report and to inform the Committee about the causes for their delay. He also mentioned that the Committee could provide assistance in preparing a first report.

26. It is noted that, with the approval of the Committee, matrices for all non-reporting States have been prepared by the experts and forwarded to them for their review in an effort to facilitate the submission of their first reports.

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<sup>1</sup> Available at [www.un.org/sc/1540/comprehensive\\_review.shtml](http://www.un.org/sc/1540/comprehensive_review.shtml).

27. States were also encouraged to submit details on steps they have taken or intended to take for the full implementation of resolution 1540 (2004) and to include, as appropriate, information on cooperative actions with other Member States and on national practices and any other measures that may have been developed for such purposes.

28. Since its last report in 2008, the Committee has received 13 first reports from Afghanistan, Bhutan, Cameroon, Côte d'Ivoire, the Dominican Republic, Ethiopia, Gabon, Maldives, Rwanda, Saint Lucia, Saint Vincent and the Grenadines, the Sudan and Togo. Bangladesh, Canada, Cuba, Germany, India, Ireland, Finland, France, Pakistan (two addenda), Portugal, Qatar, Romania, Saudi Arabia, Tajikistan, Uganda and Ukraine have also presented additional information to the Committee.

29. The total number of reporting States is 168. Of those, 105 States have submitted additional information. Twenty-four States have not yet submitted their first report to the Committee. In 2004 the European Union submitted a report, which is to be read in conjunction with the national reports of its member States (see annex III (a)).<sup>2</sup> Upon approval by the Committee and with the consent of States, the reports were posted on the website of the Committee.

## **V. Implementation of the requirements of resolution 1540 (2004)**

30. Overall, the Committee notes that the number of measures taken by States by 2011 has increased compared to its findings in 2008. Annex IV presents, for example, a graphic view of the number of Member States by the number of Committee matrix data fields in which those States had measures in place in 2011 compared to 2008.<sup>3</sup> As the charts show, the number of States that had measures in 30 fields or fewer decreased from 63 to 21 and 42 of these States have measures now applicable to more than 30 data fields. The average number of measures per State in these data fields rose to 128 in 2011 from 93 in 2008. The text below examines the findings for the obligations by paragraph of resolution 1540 (2004).

### **A. Paragraph 1 and related matters**

31. By paragraph 1 of resolution 1540 (2004), the Security Council decided that “all States shall refrain from providing any form of support to non-State actors that attempt to develop, acquire, manufacture, possess, transport, transfer or use nuclear, chemical or biological weapons and their means of delivery”. Based on the data from the Committee matrices, 129 States have now expressed their commitment on non-provision of support to non-State actors for such activities, compared to 105 States in 2008.

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<sup>2</sup> While reviewing the status of implementation of resolution 1540 (2004), the Committee takes into account reports and matrices of Member States.

<sup>3</sup> The charts are based on information compiled by the Committee for 313 of the 382 data fields in the Committee matrix that pertain most directly to implementation measures. The 313 fields exclude all the fields identified as “other”, fields covering general statements and treaty status and the fields relating to assistance.



32. In addition, in paragraph 8 of resolution 1540 (2004), the Security Council called upon States to promote the universal adoption and full implementation of multilateral treaties to which they are parties, whose aim is to prevent the proliferation of nuclear, biological or chemical weapons.

33. The Security Council also decided that none of the obligations set forth in resolution 1540 (2004) should be interpreted so as to conflict with or alter the rights and obligations of States parties to the Treaty on the Non-Proliferation of Nuclear Weapons, the Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on Their Destruction (Chemical Weapons Convention) and the Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on Their Destruction (Biological Weapons Convention), or alter the responsibilities of the International Atomic Energy Agency (IAEA) or the Organization for the Prohibition of Chemical Weapons (OPCW).

34. As of 1 April 2011, all Member States have become parties to at least one international or multilateral instrument of particular relevance to resolution 1540 (2004) (see annex XVI).

## **B. Paragraph 2**

35. However, not all the prohibitions concerning nuclear, chemical and biological weapons and their means of delivery outlined in paragraph 2 of the resolution are necessarily reflected in specific existing legislation. Even if a State is committed not to having those weapons, preventing non-State actors from acquiring such weapons and their means of delivery is an obligation for all States that may require additional legislation. Some constitutions have general clauses that make relevant international non-proliferation treaty obligations self-executing laws. These international instruments deal primarily with State-to-State obligations. The requirements of resolution 1540 (2004) focus on non-State actors and typically need specific supplementary legislation, especially penalizing the involvement of such actors in the prohibited activities. The criminal codes of many States focus on penalizing terrorist activities or otherwise penalize only some activities that resolution 1540 (2004) requires States to proscribe. Moreover, they require a terrorist intent for the criminalization of these acts, whereas resolution 1540 (2004) is not limited to terrorist intent.

36. Through its implementation of paragraph 10 of resolution 1810 (2008), the Committee has promoted greater awareness of the above-mentioned factors by States in meeting “all aspects” of their obligations under paragraphs 2 and 3 of resolution 1540 (2004). In 2008, 63 States reported having at least one measure in place to penalize the involvement of non-State actors in the prohibited activities. By comparison, the data now indicates that 166 States have such measures in place. In this regard the expertise of relevant specialized international organizations, such as IAEA, OPCW and the United Nations Office on Drugs and Crime, in providing tailor-made legislative assistance to their respective member States upon the request of the latter, is an important contribution by these organizations to facilitating implementation of resolution 1540 (2004). Reporting and transparency mechanisms that are put in place by relevant specialized international organizations are also important.

37. The comprehensive review of 2009 acknowledged the significant number of measures that States have taken to implement obligations under resolution 1540 (2004), but identified some areas in which States have adopted fewer measures, such as biological weapons, means of delivery, national control lists, access to related materials and financing of prohibited or illicit proliferation activities.

38. Currently, a comparison of the number of Member States that have taken measures to meet the first eight obligations of paragraph 2 of resolution 1540 (2004) across nuclear, chemical and biological weapons types appears in table 1 below (the comparison of the remaining obligations of paragraph 2 appear later in the text). Clearly, more States have measures in place for prohibiting chemical weapons than nuclear or biological weapons, with higher numbers in every chemical category except transport.

Table 1  
**Comparing the number of States with measures in place by obligations of paragraph 2 (legal/enforcement)<sup>4</sup>**

<i>Obligation</i>	<i>Nuclear weapons</i>	<i>Chemical weapons</i>	<i>Biological weapons</i>
Manufacture/produce	115/92	135/123	112/95
Acquire	112/88	138/121	112/95
Possess	80/95	101/116	72/87
Stockpile/store	52/57	134/103	103/70
Develop	45/47	129/95	98/65
Transport	60/84	50/76	52/69
Transfer	75/83	140/122	104/89
Use	105/112	150/140	115/121
Means of delivery	39/37	54/48	90/43
Accomplice	98/102	116/119	106/110
Assist	103/102	140/125	115/110
Financing	125/120	128/122	121/114

39. The differences in the status of national implementation legislation in the three weapons categories, their means of delivery and related materials compared to 2008 are addressed in the following subsections.

### 1. Nuclear weapons

40. Compared to its 2008 findings, the Committee's data indicates an increase in the number of States that have enacted national legislation covering the requirements of resolution 1540 (2004) regarding nuclear weapons and their means of delivery. For example, 115 States now have in place a national legal framework prohibiting the manufacture/production of nuclear weapons by non-State actors, compared to 97 in 2008. Ninety-two States have in place provisions to penalize the manufacture/production of nuclear weapons by non-State actors, compared to 76 in 2008. The use of nuclear weapons, their manufacture/production and acquisition by

<sup>4</sup> The figures in the columns reflect the number of Member States with national legal frameworks and enforcement measures in place, using data from the matrices approved by the Committee.

non-State actors continue to be among the activities whose prohibitions have the highest degree of penalization.

41. In addition, the Committee notes that further efforts by a large number of States remain necessary to enforce prohibitions in the area of nuclear weapons with respect to non-State actors.

42. Details of the national implementation of prohibitions regarding nuclear weapons are given in annex VI.

## **2. Chemical weapons**

43. The Committee observes that 135 States have now adopted national legislation to prohibit non-State actors from manufacturing or producing chemical weapons, compared to 105 States in 2008. One hundred and twenty-three States now have in place provisions to penalize the manufacture or production of chemical weapons by non-State actors, compared to 96 in 2008.

44. Regarding the transport of chemical weapons, additional efforts are needed, in light of the fewer number of States (50) reported as having taken appropriate measures, which nonetheless represents an increase over the 31 States noted in the 2008 report.

45. Furthermore, the Committee notes that additional efforts remain necessary to enforce prohibitions in the area of chemical weapons, with respect to non-State actors. However, the Committee identified 147 States that had at least one measure on enforcement in place for the eight main prohibitions, compared to 96 in 2008.

46. Details of the national implementation of prohibitions regarding chemical weapons are given in annex VII.

## **3. Biological weapons**

47. From the data of 2011, the Committee notes that 112 States have a national legal framework prohibiting the manufacture or production of biological weapons, compared to 86 in 2008. By 1 April 2011, 95 States had adopted enforcement measures related to the manufacture or production of biological weapons, compared to 83 in 2008.

48. The Committee notes that additional efforts remain necessary to enforce prohibitions in the area of biological weapons with respect to non-State actors. By 1 April 2011, 133 States had adopted enforcement measures related to the manufacture, acquisition, possession, stockpiling, development, transfer, transport or use of such weapons, compared to 76 in the 2008 report.

49. Details of the national implementation of prohibitions regarding biological weapons are given in annex VIII.

## **4. Means of delivery of nuclear, chemical and biological weapons**

50. The Committee notes that additional efforts remain necessary to enforce prohibitions in the area of means of delivery of nuclear, chemical and biological weapons with respect to non-State actors. Since 2008, there has been an increase in the number of States reporting measures they have taken to implement the requirements of resolution 1540 (2004) with respect to means of delivery. As for the

three weapons categories, 39 States have framework legislation in place for the means of delivery requirements for nuclear weapons, 9 more States than in 2008; 54 have framework legislation in place for chemical weapons, 8 more than in 2008; and 90 have framework legislation in place for biological weapons, an increase of 13 States over 2008.

51. As shown in annex IX, the enforcement measures show less improvement than for the basic legislative prohibitions and in the case of means of delivery of biological weapons, a decrease from 45 States in 2008 to 43. For means of delivery of nuclear weapons, the number of States with measures in place increased by 2 to 37; for means of delivery for chemical weapons the number increased by 3 to 48.

**5. Acting as accomplice to, assisting or financing prohibited activities relating to nuclear, chemical and biological weapons**

52. The Committee notes that measures to prohibit participation as an accomplice to and in providing assistance to prohibited activities relating to nuclear weapons have been adopted by 99 and 103 States respectively, compared to 58 and 67 in 2008 (with 102 States having enforcement measures in place for being an accomplice and for assisting such behaviour, compared to 72 and 74 respectively in 2008). Similarly, 116 and 140 States respectively have adopted legislative measures prohibiting acting as an accomplice or assisting prohibited activities relating to chemical weapons, compared to 69 and 97 in 2008 (with 119 and 125 States with associated enforcement measures in place now, compared to 84 and 88 States in 2008). Furthermore, 106 and 115 States respectively have legislative measures in place prohibiting acting as an accomplice or assisting prohibited activities relating to biological weapons, compared to 64 and 75 States with legislative measures in 2008 (with 110 States having penalties in place both for acting as an accomplice and for assisting in prohibited activities), compared to 78 and 79 States respectively.

53. The Committee found more States with such measures in place for all three types of weapons in comparison to the data available for its 2008 report. Many States use existing anti-terrorism legislation to penalize participating in or assisting prohibited activities relating to nuclear, chemical and biological weapons, in particular for biological and nuclear weapons, while others have adopted new legislative provisions in accordance with the obligations they have as parties to the Chemical Weapons Convention, which includes a prohibition on assisting non-State actors. Many States have incorporated into their domestic law the prohibitions of the International Conventions for the Suppression of Terrorist Bombings and for the Suppression of Acts of Nuclear Terrorism through a self-executing clause in their constitutions, as well as through the ratification process.

54. The Committee notes that additional efforts remain necessary to prohibit the financing of proliferation activities. The Committee notes that 125, 128 and 121 States have taken legislative measures to prohibit the financing of prohibited activities relating to nuclear, chemical or biological weapons respectively and their means of delivery, compared to 66, 71 and 64 respectively in 2008. Regarding enforcement measures, 120, 122 and 114 States respectively, had adopted such measures by December 2010, compared to 78, 87 and 75 States respectively at the time of the 2008 report. This confirms the trend noted in 2008 of a rapid increase in the number of States that have taken such steps. In many instances, States have used existing anti-terrorism and anti-money-laundering enforcement legislation to

criminalize the financing of illicit activities relating to nuclear, chemical and biological weapons and their means of delivery. Many States have incorporated into their domestic law the prohibitions of the International Convention for the Suppression of the Financing of Terrorism, through a self-executing clause in their constitutions, as well as through the ratification process. Many States have informed the Committee that they have taken steps through participation, on a voluntary basis, in the Financial Action Task Force and its Proliferation Financing Typology Project, or in regional bodies similar to the Task Force.

### C. Paragraph 3 (a) and (b)

55. Since its 2008 report, the Committee has noted an increase in the number of States that have taken steps to develop and maintain appropriate and effective measures to account for, secure and physically protect materials related to nuclear, chemical and biological weapons, as can be seen in table 2 below.

Table 2

**Comparing the number of States with measures in place for obligations of paragraph 3 (a) and (b) relating to accounting for, securing and physically protecting materials related to nuclear, chemical and biological weapons (legal/enforcement)<sup>a</sup>**

<i>Obligation</i>	<i>Nuclear</i>	<i>Chemical</i>	<i>Biological</i>
Accounting			
Production	164/73	97/89	61/62
Use	165/73	96/86	62/63
Storage	165/71	97/92	61/61
Transport	78/72	78/73	60/57
Securing			
Production	81/72	74/69	60/62
Use	90/81	73/72	64/67
Storage	89/80	81/78	68/72
Transport	101/100	80/81	73/78
Physical protection			
Protect	74/61	53/45	46/35

<sup>a</sup> The figures in the columns reflect the number of Member States with national legal frameworks and enforcement measures in place, using data from the matrices approved by the Committee.

56. The differences in the status of national implementation legislation in the three weapons categories of related materials compared to 2008 are addressed in the following subsections.

#### 1. Materials related to nuclear weapons

57. The Committee notes an increase since the 2008 report in measures identified regarding accounting for and securing materials related to nuclear weapons. The

Committee also notes that States have adopted more measures in the legislative framework than in the enforcement area. For materials related to nuclear weapons, at least 164 States have adopted legal framework measures covering accounting for, production, use and/or storage, compared to 154 States in 2008. By 1 April 2011, at least 71 States had adopted enforcement measures in these areas, compared to 49 States in 2008. Regarding accounting for transport of materials related to nuclear weapons, 78 States have also been identified as having adopted measures, compared to 58 States in 2008.

58. The number of States identified as having taken measures to secure the production, use, storage and/or transport of materials related to nuclear weapons is 81, 90, 89 and 101 respectively, compared to 62, 72, 73 and 91 in 2008. By 1 April 2011, the number of States that had adopted enforcement measures to secure the production, use, storage and/or transport of such materials was 72, 81, 80 and 100 respectively, compared to 56, 64, 65 and 82 States in 2008.

59. In the field of physical protection measures for materials related to nuclear weapons, the Committee notes that 74 States have adopted legislative measures, compared to 61 States in 2008, and 61 States have enforcement measures in place, compared to 48 States in 2008.

60. The Committee notes also that 53 States are identified as having taken measures, either legislation or enforcement, regarding checking the reliability of personnel, compared to 36 States in 2008.

61. Details of national implementation for materials related to nuclear weapons regarding paragraph 3 (a) and (b) of resolution 1540 (2004) are given in annex X.

## **2. Materials related to chemical weapons**

62. The Committee observes that in regard to accounting for materials related to chemical weapons, at least 96 States have adopted legal framework measures covering production, use and/or storage, compared to 64 States in 2008. By 1 April 2011, at least 86 States had adopted enforcement measures in these areas, compared to 52 States in 2008. In regard to accounting for the transport of materials related to chemical weapons, 78 States have also been identified as having adopted legal framework measures and 73 States have adopted enforcement measures, compared to 49 and 38 States respectively in 2008. The number of States identified as having taken legal framework measures to secure the production, use, storage and transport of materials related to chemical weapons is 74, 73, 81 and 80 respectively, compared to 60, 62, 69 and 69 in 2008. The number of States identified as having taken enforcement measures to secure the production, use, storage and transport of materials related to chemical weapons is 69, 72, 78 and 81 respectively, compared to 45, 49, 56 and 65 in 2008.

63. In the field of physical protection measures for materials related to chemical weapons, the Committee notes that 53 States have legal frameworks in place, compared to 37 States in 2008. By 1 April 2011, the Committee notes that 45 States had enforcement measures in place, compared to 27 States in 2008.

64. Details of the national implementation for materials related to chemical weapons regarding paragraph 3 (a) and (b) of resolution 1540 (2004) are given in annex XI.

### **3. Materials related to biological weapons**

65. The Committee observes that in regard to accounting for materials related to biological weapons, at least 61 States have adopted legal framework measures covering production, use and/or storage, compared to 38 States in 2008. By 1 April 2011, at least 61 States had adopted enforcement measures in these areas, compared to 36 States in 2008. In regard to accounting for transport of materials related to biological weapons, 60 States have also been identified as having adopted legal framework measures and 57 States have adopted enforcement measures, compared to 39 and 35 States respectively in 2008. The number of States identified as having taken legal framework measures to secure the production, use, storage and transport of materials related to biological weapons is 60, 64, 68 and 73 States respectively, compared to 53, 55, 60 and 68 States in 2008. The number of States identified as having taken enforcement measures to secure the production, use, storage and transport of materials related to biological weapons is 62, 67, 72 and 78 States respectively, compared to 44, 43, 50 and 69 States in 2008.

66. The Committee notes that 75 States have adopted legislation, compared to 66 States in 2008 and 57 States have enforcement measures for licensing the use, installations and entities for materials related to biological weapons as permitted activities for academic, commercial, industrial or public health purposes, compared to 46 States in 2008. In addition, 47 States regulate genetic engineering activities relating to materials related to biological weapons in their legislative framework, as opposed to 37 States at the time of the 2008 report.

67. The Committee sees continued growth in the number of States that have measures in place to physically protect materials related to biological weapons, with 46 States having taken legislative measures compared to 39 States in 2008 and 35 States having taken enforcement measures compared to 25 States in 2008. This may indicate an increased awareness by States of the potential risk from the accidental release of materials related to biological weapons and the Committee notes that 32 States have legislative measures in place to undertake reliability checks of personnel working with sensitive materials, compared to 25 States in 2008.

68. Although the number of States whose matrices show provisions for criminal or administrative penalties to enforce measures for the accounting and securing of materials related to biological weapons has increased since the 2008 report, this is still a minority of States.

69. Details of national implementation for materials related to biological weapons regarding paragraph 3 (a) and (b) of resolution 1540 (2004) are given in annex XII.

### **D. Paragraph 3 (c) and (d)**

#### **1. Border controls against the proliferation of nuclear, chemical and biological weapons**

70. As border control obligations set out in paragraph 3 (c) of resolution 1540 (2004) raise important issues concerning the role of border and law enforcement authorities, a number of States have reported that these authorities now contribute to the achievement of important national policies, such as responding to the threat of proliferation of nuclear, chemical and biological weapons, including to non-State

actors. Since the 2008 report, States have increasingly adopted integrated border management policies, including processes to deal with cash couriers.

71. Many States have responded to the threat of illicit trafficking in nuclear, chemical and biological weapons, their means of delivery and related materials posed by non-State actors by lodging accurate information prior to loading items for shipment; by establishing a risk assessment system, notably related to end-user controls; by using non-invasive technology or physical inspection of cargoes; and through voluntary arrangements with business to encourage compliance backed by legislation and regulation as necessary (see also paragraphs 89 and 90 below). The matrices the Committee has prepared include information on measures for the legislative and enforcement capacity of States to prevent, through adequate controls, the flow across their borders of items related to nuclear, chemical and biological weapons. The Committee has identified 163, 166 and 167 States which have a legislative framework with relevant border and/or customs controls for nuclear, chemical and biological weapons respectively, their means of delivery and related materials, compared to 114, 118 and 120 States, respectively, in 2008.

72. The provision of technical support to border authorities is important to control international transfers of materials related to nuclear, chemical and biological weapons. From the data in the matrices, the Committee has found a significant increase in the number of States that have provided technical support to their border authorities, such as detection equipment, access to national laboratories and international databases and relevant computer software, up from 86 in 2008 to 132 at the time of the present report.

**(a) Controls related to brokering**

73. Although paragraph 3 (c) of resolution 1540 (2004) makes special reference to “illicit brokering”, the definition of brokering is left to Member States. The Committee finds that with regard to brokering of materials related to nuclear, chemical or biological weapons, 74, 78 and 76 States respectively have adopted legislative measures compared to 59, 61 and 58 States in 2008. With regard to enforcement measures, 68, 73 and 71 States respectively have such measures in place, compared to 50, 48 and 47 States respectively in 2008.

**(b) Controls relating to transport and financial services for trade transactions**

74. The Committee finds that the number of States with measures in place against the financing of illicit trade transactions related to nuclear, chemical and biological weapons, their means of delivery and related materials has increased since 2008 from 29 to 49 States. States exercise some control over the financing of these activities, mainly related to their legislation on counter-terrorism. The number of States that have measures against providing transport services for such illicit transactions has increased compared to the 2008 findings, but remains low overall. For transport services, 43 States have controls in place, compared to 23 States in 2008.



## 2. Export controls

75. To implement the requirements of resolution 1540 (2004), States have updated their legislative frameworks and enforcement systems in order to strengthen their capability to prevent illicit trafficking in nuclear, chemical and biological weapons, their means of delivery and related materials. Effective export control measures on trade in dual-use items minimize the risk of diversion and illicit acquisition by non-State actors of such items.

76. Different actors, including customs, in some cases through established inter-agency coordination mechanisms, are involved in the implementation and enforcement of legislation relating to export control. In addition, States have addressed their efforts to providing appropriate and effective sanctions for violations of export control regulations. For nuclear, chemical and biological materials, 124, 130 and 121 States respectively have adopted legislative or enforcement measures, compared to 76, 77 and 71 States in the 2008 report. Some States have reported on the adoption of a risk management system which they consider to be a valid approach to conducting controls on related materials.

### (a) Licensing

77. Controls on dual-use goods and technologies also require close cooperation between licensing and border management authorities for a consistent and timely risk assessment of proposed exports, transit, trans-shipment and re-exports, or for monitoring commercial transactions.

78. Regarding the process for implementing licensing procedures, some States are facing the challenge of creating an “interoperability of communication”, i.e. the ability to track export declarations through the different computer information systems held by the licensing authorities and customs administrations.

79. The Committee notes that since 2008 many States have taken considerable steps towards implementing licensing procedures for the export, transit, trans-shipment, re-export and import of materials related to nuclear, chemical and biological weapons, including the establishment of national licensing authorities and intragovernmental licence review processes.

80. In addition, the Committee notes that 90 States reported having licensing provisions for materials related to nuclear weapons, as opposed to 76 States in 2008; 91 States reported having licensing provisions for materials related to chemical weapons, as opposed to 77 States in 2008, while 87 States reported having licensing provisions for materials related to biological weapons, as opposed to 71 States in 2008 (see annexes XIII-XV).

### (b) Controls relating to aspects of trade transactions beyond export licensing

81. As an essential aspect of their licensing process, many States have introduced catch-all controls on items not otherwise specified, but which can still make substantial contributions to nuclear, chemical and biological weapons and means of delivery programmes, based on concerns regarding the end-user or potential end use of those goods, services or technologies.

82. For those States, when a licence is not required but the exporter is aware that the dual-use items that are not listed and are declared for export are intended for

proliferation, the exporter must notify the licensing authorities. A similar process applies if the exporter has been informed by the authorities that the items are, or may be intended for proliferation purposes. The Committee has found that 73 States have now taken steps to implement end-user processes and that 61 States also have some catch-all controls, as detailed in annexes XIII-XV, compared to 61 and 54 States respectively in 2008.

**(c) Controls relating to means of delivery**

83. The national implementation measures addressed in paragraph 3 (c) and (d) of the resolution with regard to border and export control of means of delivery and related materials are contained in annex IX. The number of States having such control measures in the three weapons categories is as follows: framework legislation is in place in 66 States, compared to 59 States in 2008 and civil or criminal penalties are in place in 51 States, compared to 40 States in 2008. These figures indicate an improvement in the status of implementation of this obligation.

**E. Paragraphs 3 (d) and 6**

**1. Control lists**

84. In both paragraphs 3 (d) and 6 of resolution 1540 (2004), the Security Council recognized the importance of using national control lists in implementing border and export controls. In 2008, 69, 80 and 67 States reported having lists of relevant materials related to nuclear, chemical or biological weapons respectively, subject to control. By comparison, the data available now indicates that 79, 85 and 72 States respectively have such control lists.

85. States report that they see the need to continue to update their lists of controlled commodities, once established, on a regular basis. From the data in the matrices, the Committee finds that 63 States have now updated their national control lists, compared to 51 States in 2008.

**2. Controls relating to technologies**

86. Greater accessibility to technologies that could be used for proliferation activities presents significant challenges to current export control systems, which States have traditionally based on flows of items across physical national boundaries. Several States have adapted their earlier systems to implement unique policies and practices for effective administration and enforcement of controls on the flow of technologies.

87. The Committee follows at least three indicators of how States have made such adaptations: the inclusion of technologies as well as goods in lists of controlled items; the coverage of intangible transfers of technology in their control systems; and controls on the flow of information to foreign nationals within the boundaries of a State (i.e. deemed exports). One example of a type of information transfer that falls within all of the above categories is providing training or instructions, including in electronic form, to “make” or “use” nuclear, chemical or biological weapons and their means of delivery. The Committee has found that 73 States have now included technologies in lists of controlled items compared to 62 States in 2008; 66 States had measures within their control systems to cover the intangible

transfers of technology compared to 46 States in the 2008 report; and 47 States had measures in place to control the flow of information to foreign nationals compared to 18 States in 2008.

88. The status of national implementation for materials related to nuclear, chemical and biological weapons regarding paragraph 3 (c) and (d) of resolution 1540 (2004) are given in annexes XIII-XV.

## **VI. Outreach to industry and public**

89. Effective outreach programmes help raise the awareness of companies and commercial individuals, universities and centres of research and development concerning their responsibilities, including under a national export control system and penalties for violations. In their reports, a number of States mentioned that outreach should also seek to promote internal compliance practices that incorporate checks by industry on end-users and end uses of concern. In addition, some States referred to other elements relevant for an effective internal export control system.

90. A strong relationship with industry raises industry awareness of the need to “know your customer” and of suspicious procurement behaviour. This may lead industry representatives to notify law enforcement officials of such concerns. Some States indicated that such information and the risk management systems applied by border control and customs agencies has proved to be critical to the effective enforcement of border and export controls and to the risk management systems applied by border control or customs agencies.

91. The Committee recognizes that interaction with civil society, including through outreach to academia and industry, could assist States in implementing resolution 1540 (2004). The Committee has contributed to awareness-raising and developing appropriate ways to work with and inform industry and the public regarding the obligations derived from laws related to resolution 1540 (2004) that have been adopted by States. The Committee has also encouraged States to promote dialogue and cooperation with civil society, academia and industry to address the threat posed by illicit trafficking in nuclear, chemical or biological weapons, their means of delivery and related materials.

92. The Committee monitors progress on interactions with civil society, academia and industry and reflects such progress in the 1540 matrix. Eighty-three States are reported to have made some effort to reach out to industry compared to 74 States in 2008, while 74 States are reported to have made similar efforts to inform the general public about contributing to the work of Governments to prevent the proliferation of nuclear, chemical and biological weapons and their means of delivery and to prevent illicit activities with related materials by non-State actors, compared to 60 States in 2008.

## **VII. Exchange of information and sharing experience**

93. The identification of effective and efficient practices for sharing experience promotes the implementation of resolution 1540 (2004), improves the quality of measures taken by States, conserves their resources and can prevent unnecessary duplication of effort. More effective policies will attract greater international

support, essential to the capacity-building required by most States and, more likely, also domestic support, upon which the implementation of the resolution depends.

94. To facilitate the sharing of experience, the Committee has prepared a list of relevant examples to which States may wish to refer in implementing resolution 1540 (2004). The set of practices for sharing experience appears in annex XVI.

95. Bearing in mind that implementation depends on national discretion in what States devise as appropriate and effective policies, the usefulness of sharing experience is limited, *inter alia*, by a lack of capacity or resources. The results of the comprehensive review amply demonstrated that the implementation of resolution 1540 (2004) continues to take place under different conditions at the national, regional and international levels. When reviewing the process of implementation of the resolution, it was observed that some States face more favourable conditions for implementation of the resolution than others.

96. Several relevant conventions or protocols have been adopted or come into force since the 2008 report (see annex XVI). In addition, some international bodies have introduced at least 23 new standards, codes, guidelines or similar practices of relevance to resolution 1540 (2004) since 2008, which also appear in annex XVI.

97. The Committee emphasizes that it does not endorse the information set out in annex XVI, but provides this information as a service to States to facilitate their efforts to implement resolution 1540 (2004). In addition, the annex does not constitute an exhaustive set of examples and the Committee looks forward to suggested additions, modifications or deletions from any State or intergovernmental body.

98. While annex XVI includes many examples relevant to sharing experience relating to the implementation of resolution 1540 (2004), they do not cover every obligation found in the resolution. However, the Committee can report that several international, regional and subregional organizations or bodies have become more engaged in addressing these gaps in the traditional non-proliferation infrastructure, for example, the increasing interest shown by OPCW in security for chemical facilities, or the European Union and G-8 in considering assistance. The Committee will continue to contribute to such work and promote new efforts by helping to identify gaps.

## **VIII. Outreach and dialogue**

99. The Security Council, in resolution 1810 (2008), decided that the Committee should intensify its efforts to promote the full implementation by all States of resolution 1540 (2004), including by outreach and dialogue. The outreach activities described below cover the period since the last report in 2008.

100. The Committee has been engaged in four main categories of outreach activities in the various regions, as well as at United Nations Headquarters:

(a) Regional and subregional seminars and workshops organized by the Office for Disarmament Affairs on the implementation of resolution 1540 (2004);

(b) Thematic workshops sponsored by Member States and organized in cooperation with the Committee and the Office for Disarmament Affairs, focusing on the implementation of selected operative paragraphs of resolution 1540;

(c) Common strategy workshops on reporting, sponsored by the United Nations Office on Drugs and Crime and organized jointly with the experts assisting the Committee, the Executive Directorate of the Counter-Terrorism Committee and the monitoring team of the Committee established pursuant to resolution 1267 (1999);

(d) Conferences, seminars and workshops organized by international, regional and subregional organizations, States and non-governmental organizations focusing on various aspects of the implementation of resolution 1540 (2004).

101. A list of the outreach events in which the Committee or its experts have participated is at annex XVII.

102. It should be stressed that dialogue, in particular with participating States, is an integral part of the workshops and other outreach activities, enabling direct interactions to facilitate implementation of resolution 1540 (2004). In addition, the Chair of the Committee, the members of the Committee and the Committee experts have regularly engaged in dialogues with the Permanent Missions of Member States, in particular to encourage submission of first reports by States that have not yet done so, facilitate the submission of additional information and discuss processes for implementation and assistance.

103. As explained in section X.A below, the relationship with international and regional organizations is important in the implementation effort, not least in strengthening the outreach programme of the Committee. The largest number of workshops to which the Committee was invited were sponsored by United Nations bodies and other intergovernmental organizations, including at the regional level. Those organizations are also regularly invited to participate in workshops organized by the Office for Disarmament Affairs. Over and above reciprocal representation at meetings and workshops, the Committee has worked to expand the scope and nature of its cooperation with international and regional organizations.

104. A comprehensive list of the outreach events in which the Committee has been involved since 2006 is posted on the website of the Committee ([www.un.org/sc/1540](http://www.un.org/sc/1540)).

## **IX. Assistance and capacity-building**

105. The Security Council, through resolution 1810 (2008), called for the Committee to expand and intensify its efforts to facilitate assistance in different ways, including through facilitating matchmaking between requests and offers of assistance. The Committee adopted revised procedures in October 2010 to streamline and accelerate the assistance process.

106. The revised procedures approved by the Committee are summarized as follows:

- (a) Authenticating a request;
- (b) The Chair of the Committee acknowledging receipt of the request;
- (c) The secretariat distributing the request to potential assistance providers within two weeks;

(d) Posting a summary of the request on the Committee website, with the consent of the requesting State;

(e) The Committee experts conducting informal matchmaking on the advice of the requesting State;

(f) The Chair of the Committee circulating to the Committee members offers of assistance regarding a specific request;

(g) The Chair of the Committee acknowledging such offers and sending a letter to the requesting State informing it of such offers.

107. An important aspect of the reporting on the provision of assistance and thus contributing as a measure of success in implementation, lies in follow-up action whereby the Committee experts brief the Committee on matchmaking efforts every two months and after a year the Chair of the Committee sends the requesting State a letter enquiring as to whether the request has been met.

108. The Committee has continued to encourage States to use the Committee matrix in preparing requests and offers and to use the assistance template as appropriate. It has also brought to the attention of requesting States various assistance programmes for which they might be eligible, such as through facilitating the participation of assistance providers in outreach events. In addition, it has continued to post a brief summary of requests for assistance on its website with the consent of the States concerned, as it has similarly done with offers of assistance. This makes the requests known to a wider audience of potential partners, with more detailed information available as needed for matchmaking.

109. On 10 March 2011, the Committee sent a note verbale to all Member States to raise awareness of its recently enhanced procedures for processing assistance requests and to encourage States to provide updated information regarding any previously submitted requests for or offers of assistance, as well as any updated contact details. A similar note verbale was sent to relevant international organizations.

110. Compared with the assistance information it received for its 2008 report, the Committee has identified a slight increase in the numbers of assistance requests and offers, although these were more substantive than previously. Formal requests were submitted to the Committee by Armenia, Azerbaijan, Colombia, Côte d'Ivoire, Congo, the Democratic Republic of the Congo, Guatemala, Iraq, Madagascar, Mexico, Mongolia, Qatar, Serbia and Uganda. Additionally, formal requests were also submitted to the Committee by two regional organizations, the Caribbean Community (CARICOM) and the Central American Integration System (SICA). These requests were circulated by the Committee to more than 45 potential assistance partners — both States and international organizations — for which some 20 offers were received. Four States have indicated their interest formally or informally for a possible country visit.

111. The Committee prepared a consolidated list of 39 assistance requests in November 2010 with a summary of the status of each request, to facilitate matchmaking. This consolidated list of assistance requests also includes requests channelled through national reports or through referrals from other United Nations entities or international organizations. The consolidated list was communicated by

the Chair of the Committee to the G-8, the European Union and other providers of assistance.

112. Of the 39 requests for assistance on the consolidated list distributed by the Committee in November 2010, 20 involved training projects, 18 asked for expertise, 15 for equipment, 8 for generic assistance projects and 4 for funding (some States requested multiple types of assistance, which is why the total number of projects exceeds the number of requests). States have reported to the Committee that they have received or provided assistance directly relevant to 37 of these 39 requests either through bilateral or multilateral programmes, or in conjunction with international bodies, with two additional States obtaining assistance indirectly for their requests. The Committee continues to distribute information on new requests and offers.

113. Several relevant international organizations have integrated the objectives of resolution 1540 (2004) into their assistance efforts. The Committee notes in particular that the assistance programmes of IAEA, OPCW, the implementation support unit of the Biological Weapons Convention, the World Customs Organization (WCO), the European Union and the United Nations Office on Drugs and Crime contribute to or complement the overarching framework or objectives of resolution 1540 (2004).

114. Pursuant to paragraph 13 of resolution 1810 (2008), which requested the Committee to consider options for developing and making more effective existing funding mechanisms, the Committee provided its reports to the Security Council on 26 December 2008 and 27 March 2009.<sup>5</sup> During the reporting period, several contributions and grants earmarked for support of activities to promote and facilitate the implementation of resolution 1540 (2004) have been made to the General Trust for Global and Regional Disarmament Activities managed by the Office for Disarmament Affairs.

115. A number of areas of assistance for which States have recurrently expressed a clear interest during outreach events and for which additional financial resources continue to be necessary include:

(a) Assistance to States in identifying their priority areas for assistance in implementing resolution 1540 (2004), including those States having difficulty in preparing or elaborating reports on implementation of the resolution, but also other States that express a need for assistance in specific areas;

(b) Assistance to States in preparing national reports, additional information, voluntary action plans and assistance requests for implementing all aspects of resolution 1540 (2004). This activity is important to facilitate stocktaking with regard to relevant multilateral or bilateral assistance programmes already in place and in facilitating the matching of assistance requests and offers to address priority areas identified by States.

116. The Committee's working group on assistance discussed possible next steps with regard to assistance and identified five main areas as areas of potential progress (see recommendations below).

<sup>5</sup> See documents S/2008/821 and S/2009/171 available at [www.un.org/sc/1540/other\\_submissions.shtml](http://www.un.org/sc/1540/other_submissions.shtml).

## **X. Cooperation**

### **A. Cooperation with international, regional and subregional organizations**

117. The Committee and its working group on cooperation have reached out to various international, regional and subregional organizations and invited their representatives to brief the Committee on the aspects of their work relevant to resolution 1540 (2004). The Committee heard briefings by the European Union and the Financial Action Task Force; the Committee's working group on cooperation heard briefings by the Terrorism Prevention Branch of the United Nations Office on Drugs and Crime, the United Nations Interregional Crime and Justice Institute (UNICRI), the European Union, the Presidency of the Hague Code of Conduct and the Organization for Security and Cooperation in Europe (OSCE).

118. The Chair of the Committee and some of its members participated in a meeting of 25 international, regional and subregional organizations on cooperation in promoting the implementation of resolution 1540 (2004) in Vienna on 15 and 16 December 2010, hosted by the Government of Austria and organized with the Office for Disarmament Affairs.<sup>6</sup> The Office will continue to maintain the website of the conference in order to facilitate immediate follow-up through, inter alia, exchange of relevant information.

### **B. Cooperation with the Security Council Committee established pursuant to resolution 1267 (1999) concerning Al-Qaida and the Taliban and associated individuals and entities and the Security Council Committee established pursuant to resolution 1373 (2001) concerning Counter-Terrorism**

119. The Committee undertook measures in accordance with paragraph 12 of resolution 1810 (2008) to enhance ongoing cooperation with the Committees established pursuant to resolution 1267 (1999) and resolution 1373 (2001), such as enhanced information sharing, coordination on visits to countries, participation in workshops and outreach activities, technical assistance and other issues of relevance to all three Committees.

120. The joint statements made to the Security Council by the Chairs of the three Committees on the ongoing cooperation between the Committees are an important tool for informing all Member States, in a transparent way, about efforts to

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<sup>6</sup> The participating organizations were: Association of Southeast Asian Nations, African Union, Caribbean Community, monitoring team of the Committee established pursuant to resolution 1267 (1999), Counter-Terrorism Implementation Task Force, Preparatory Commission for the Comprehensive Nuclear-Test-Ban Treaty Organization, the Executive Directorate of the Counter-Terrorism Committee, European Union, Financial Action Task Force, International Atomic Energy Agency, International Civil Aviation Organization, International Maritime Organization, implementation support unit of the Biological Weapons Convention, League of Arab States, North Atlantic Treaty Organization, Organization of American States, World Organisation for Animal Health, OPCW, OSCE, Pacific Islands Forum, Central American Integration System, UNICRI, United Nations Office on Drugs and Crime, WCO and World Health Organization.



implement the respective paragraphs on cooperation of Security Council resolutions 1805 (2008), 1810 (2008) and 1904 (2009). These joint statements are available on the Committee website. At the open joint briefing on 15 November 2010, a table showing the areas of cooperation between the monitoring team of the Committee established pursuant to resolution 1267 (1999), the Counter-Terrorism Committee Executive Directorate experts and the Committee experts was distributed for information to the Security Council.

121. An important element of cooperation among the Committees is reflected in the participation of experts in visits to Member States and in conferences and workshops that are relevant to their respective mandates.

122. The three Committees have taken note of a joint paper on a common strategy to engage with international, regional and subregional organizations in a coordinated and complementary way and have continued to participate in a common strategy on non-reporting States. Modalities for this common strategy are currently under preparation by the expert groups of the three Committees. The Committee has explored further possible common strategies, such as on assistance or joint country visits.

123. The Committee experts cooperate with the Counter-Terrorism Implementation Task Force in the framework of the United Nations Global Counter-Terrorism Strategy, including through participation in some of its activities.

124. The Committee has also enhanced its cooperation with the other Committees through holding regular meetings between experts from the three Committees, in order to discuss areas of common interest. In 2010 these meetings took place in April and November.

125. In November 2010, the Chairs of the three Committees wrote a letter to the Secretary-General highlighting the need for co-location of the three groups of experts, as requested by the Security Council in paragraph 43 of its resolution 1904 (2009) and reaffirmed in the presidential statement of 27 September 2010 (S/PRST/2010/19). A response has been provided by the Secretariat.

## **XI. Transparency**

126. The Committee has continued to maintain transparency as an intrinsic part of its work, as reflected by its inclusion in the seventh, eighth and ninth programmes of work. Additionally, during the comprehensive review, the Committee was urged to increase its already useful efforts towards achieving transparency and inclusiveness. It was recognized that such an approach would foster greater cooperation for the future work of the Committee and in the implementation of resolution 1540 (2004).

127. The Committee has continued, as appropriate, to take several transparency measures, including:

- (a) Six formal, open briefings by the Chair of the Committee to the Security Council since 2008;
- (b) A press conference held by the Chair of the Committee on 29 September 2009 on the then upcoming comprehensive review;

(c) Interaction with relevant academic, industry and policy-related organizations, as appropriate.

128. The Committee continues to maintain its website as an important medium for maintaining transparency and strives to frequently update and augment its content, so that it is a reliable source of information. New sections have been added, such as pages on frequently asked questions, upcoming and past outreach events, including information notes on participation, and new information on the website. The Committee posts most matrices on the website (179 as of 1 April 2011), as approved by the Committee and with the consent of States.

129. Additionally, the Committee conducts outreach activities that raise awareness of resolution 1540 (2004) and bolster worldwide support for the resolution as an important tool for strengthening international security.

130. Through its working group on transparency and media outreach, the Committee continues to refine a media outreach strategy to methodologically and efficiently utilize United Nations and Committee resources to reach expanded and targeted audiences. The Committee has explored and continues to explore opportunities to better raise awareness of the obligations derived from resolution 1540 (2004) and to share relevant information among national policymakers, parliamentarians, industry, academia and the public, as appropriate.

## **XII. Conclusions and recommendations**

### **A. General conclusions and recommendations**

131. Since 2004, the Committee has facilitated and documented an upward trend in the progress of States in implementing measures to prevent non-State actors from acquiring nuclear, chemical and biological weapons and their means of delivery. The work of the Committee has contributed to strengthened global non-proliferation and counter-terrorism regimes to better prepare States to prevent proliferation of weapons of mass destruction to non-State actors.

132. The Committee believes that the establishment of working groups, instituted with the eighth programme of work at the start of 2009, has proven useful and, together with the regular monthly formal Committee meetings, has increased the efficiency, effectiveness and structure of the work of the Committee. The current structure of the working groups should continue to reflect the priorities of the work of the Committee.

133. The Committee makes the following recommendations:

(a) The proliferation of weapons of mass destruction and their means of delivery continues to constitute a threat to international peace and security and the Committee should continue to promote the full implementation of resolution 1540 (2004) by all States;

(b) The Committee should continue to emphasize areas of reporting, assistance and outreach, should redouble its efforts to facilitate implementation and should reaffirm the recommendations of the Committee in its report to the Security Council in 2008, bearing in mind the recommendations of the comprehensive review;

(c) Recognizing the value in the contributions of current and former Committee members for the promotion of resolution 1540 (2004) and consistent with the conclusions and recommendations of the final document of the 2009 comprehensive review, the Committee encourages Member States to take advantage of and continue to utilize such contributions;

(d) The Committee should continue to meet regularly and on a planned basis.

## **B. Implementation**

134. The Committee notes that, as shown in annexes IV-XV and as indicated in tables 1 and 2 of this report, the implementation status of States needs to be improved. It also notes that full implementation, including the adoption of national legal measures, is a long-term task that requires additional effort at national, regional and international levels.

135. The new reports and additional information submitted since the previous report amply demonstrate that States continue to take more comprehensive measures to meet their obligations under the resolution. However, given that the full implementation of the resolution will be a long-term process, planning for it can be facilitated by an extension of the mandate of the Committee for a longer period, with periodic reviews. Resolution 1977 (2011), unanimously adopted by the Security Council on 20 April 2011, extended the mandate of the Committee for a period of 10 years with a 5-yearly review.

136. The Committee makes the following recommendations:

(a) The Committee should continue to intensify its efforts to promote the full implementation by all States of resolution 1540 (2004) through its programme of work, which includes the compilation of information on the status of implementation of all aspects of resolution 1540 (2004), outreach, dialogue, assistance and cooperation;

(b) States that have not yet presented a first report on steps they have taken or intend to take to implement resolution 1540 (2004) should be further encouraged to submit such a report to the Committee without delay. To this end, the Committee should continue to make available its expertise to Member States, upon request, to facilitate this task;

(c) States that have submitted such reports should be encouraged to provide, whenever they consider it appropriate or upon the request of the Committee, additional information on their implementation of resolution 1540 (2004);

(d) The Committee should continue to encourage States to prepare on a voluntary basis, with the assistance of the Committee as appropriate, summary action plans mapping out their priorities and plans for implementing the key provisions of resolution 1540 (2004) and to submit those plans to the Committee;

(e) Following the recommendation of the comprehensive review, the Committee should study the possibility of elaborating a new matrix template or upgrading the existing one no later than 31 December 2012. New entries could also be considered to better reflect progress towards implementation of the resolution, i.e., in terms of assistance and cooperation, or lessons learned;

(f) The Committee should continue to engage actively with States and relevant international, regional and subregional organizations to promote the sharing of experience, lessons learned and effective practices in the areas covered by resolution 1540 (2004), drawing in particular on information provided by States, as well as examples of effective assistance; and it should liaise with States and international, regional and subregional organizations on the availability of programmes that might facilitate the implementation of resolution 1540 (2004), while bearing in mind that customized assistance is useful for the effective implementation of the resolution at national levels;

(g) The Committee should encourage States to consider establishing a control system, including national control lists, to enhance national legislation and to fully meet the obligations specified in resolution 1540 (2004);

(h) Expertise from different departments or entities should be brought together as a way to exchange opinions, reach a better understanding of the requirements of resolution 1540 (2004), address difficulties and find solutions.

### **C. Outreach**

137. During the period under review, major conferences on resolution 1540 (2004) were held in Africa, Asia, the Commonwealth of Independent States, the Caribbean, Europe, Latin America, the Middle East and the Pacific region, involving the majority of Member States of the United Nations. Together with other outreach activities, these events contributed to a greater awareness of the importance of resolution 1540 (2004), as well as resolutions 1673 (2006) and 1810 (2008), and towards more effective national implementation and international cooperation.

138. The Committee is of the view that interaction with civil society, including through outreach to academia and industry, could assist States in implementing resolution 1540 (2004). The Committee has contributed to awareness-raising and developing appropriate ways to work with and inform industry and the public regarding the obligations derived from laws related to the resolution that have been adopted by States. The Committee also encourages States to promote dialogue and cooperation with civil society, academia and industry to address the threat posed by illicit trafficking in nuclear, chemical or biological weapons and their means of delivery and related materials.

139. The Committee makes the following recommendations:

(a) The Committee should, where such participation would practically advance its agenda, continue to organize and participate in outreach events at the regional, subregional and, as appropriate, national level to promote the implementation of resolution 1540 (2004) by States;

(b) The Committee should provide and use opportunities for interaction with interested States and relevant international, regional and subregional organizations to promote implementation of resolution 1540 (2004);

(c) The Committee should continue to cooperate with relevant United Nations bodies, while maintaining its non-proliferation focus;

(d) The Committee should enhance ongoing cooperation with the Security Council Committees established pursuant to resolution 1267 (1999) and to

resolution 1373 (2001) as well as with the Counter-Terrorism Implementation Task Force, while maintaining its non-proliferation focus, and should seek the guidance of the Security Council to the three Committees on the coordination of joint country visits or other areas of common interest in order better to coordinate their efforts;

(e) The Committee may consider opportunities for industry and media outreach that would complement and support the work of States with relevant industries and industry groups and academia, as well as with civil society, with, as appropriate, the consent of the States concerned.

#### **D. Cooperation with relevant international, regional and subregional organizations**

140. Following the recommendations of the comprehensive review, the Committee expanded its cooperation with international, regional and subregional organizations, seeking to involve them more actively in practical implementation of the resolution, taking into account their ability to provide added value and decisions adopted by various international, regional and subregional organizations specifically to promote such implementation.

141. The Committee makes the following recommendations:

(a) The Committee should explore, in cooperation with relevant international, regional and subregional organizations, synergies between implementation of resolution 1540 (2004) and that of other non-proliferation regimes;

(b) The Committee should continue to intensify efforts to foster its cooperation with international, regional and subregional organizations and welcomes the important role they play and their valuable contribution in facilitating the promotion of implementation of resolution 1540 (2004) by Member States. With the aim of strengthening coordination with international, regional and subregional organizations, the Committee should envisage, inter alia, the sharing of information and encourage international, regional and subregional organizations to appoint points of contact and coordinators specific to resolution 1540 (2004).

#### **E. Transparency**

142. Various efforts to enhance the visibility and transparency of the activities of the Committee have been undertaken. Information was provided by States and/or collected by the Committee experts in the form of matrices. Upon approval by the Committee and with the consent of States, these reports were posted on the Committee website.

143. Intrinsic to these transparency efforts is the need to make information related to resolution 1540 (2004) available to States and, as appropriate, to civil society; also to make widely available information related to implementation and assistance and, with consent from States, to relevant parties where appropriate. This is best accomplished through frequent and regular updates to the Committee website, such as the recently updated list of approved matrices, and by continuing to develop modern communications channels to facilitate information sharing.

144. The Committee considers a comprehensive and forward-looking media outreach strategy is important for effective engagement with both general and specific audiences and should continue to capitalize on existing United Nations resources.

145. The Committee makes the following recommendation:

The Committee should undertake efforts to enhance transparency through, inter alia:

(a) Convening briefings open to all Member States by the Chair with the help of the group of experts;

(b) Publishing relevant information on the Committee and its experts on its website;

(c) Continuing to complement and support the work of the States in industry and media outreach;

(d) Using current technology to establish effective communications channels with civil society, as appropriate, through the website and other media, in order to make the Committee a comprehensive resource for information about resolution 1540 (2004), its successor resolutions and the activities and work of the Committee.

## **F. Assistance**

146. The issue of assistance continues to be a focus of the activity of the Committee. It is important for the Committee, with the support of its experts, to continue actively facilitating the matchmaking between requests for and offers of assistance.

147. The Committee has discussed the following main areas for potential progress: continuing to improve assistance procedures; identifying and analysing assistance needs; continuing to develop a dialogue with relevant international, regional, subregional and, as appropriate, non-governmental organizations on assistance; strengthening the ability of the Committee and its experts to facilitate assistance; and increasing awareness of assistance issues.

148. The Committee makes the following recommendations:

(a) The Committee should continue to strengthen its coordinating role in facilitating technical assistance for implementation of resolution 1540 (2004), including by engaging actively, with the support of its experts, in matching offers and requests for assistance through such means as assistance templates, voluntary action plans, other information submitted to the Committee and country visits at the invitation of States;

(b) To that end, States that need assistance should be encouraged to convey a request to the Committee and to use the Committee's assistance template. States and international, regional and subregional organizations should be encouraged to inform the Committee of areas in which they are able to provide assistance and, if they have not done so previously, provide the Committee with a point of contact for assistance;

(c) The ongoing dialogue between the Committee and States on further actions required to fully implement resolutions 1540 (2004) and 1810 (2008) and on the technical assistance needed and offered should be pursued;

(d) The Committee experts should continue to report in detail every two months on matchmaking efforts on requests conveyed to the Committee;

(e) The Committee should continue to improve its assistance procedures, in particular through elaborating policy guidance on assistance, which would complement the existing formal Committee procedures and identify concrete steps required to deal with assistance requests;

(f) The Committee should strengthen its general examination and consideration of how best to respond to assistance needs. Such regular examination of assistance issues could help States and relevant international, regional and subregional organizations to identify assistance needs, trends and difficulties faced and to develop effective responses. The Committee, with the assistance of its experts, should also be encouraged to identify and share effective practices, with a view to creating a compilation of experience, lessons learned and effective practices. States and international, regional and subregional organizations should be encouraged to share with the Committee lessons learned and effective practices. The Committee should also encourage visits to States at their invitation, as an effective means of engaging in a detailed and direct discussion with relevant agencies on the implementation of resolution 1540 (2004), in particular on assisting States to better define the nature and level of technical assistance they may need in order to implement the resolution;

(g) The Committee should continue to develop a dialogue with relevant international, regional and subregional organizations on assistance. Developing a network of points of contact for assistance issues could help in maintaining a regular dialogue to this end. A dialogue, as appropriate, with relevant non-governmental organizations with specialized expertise in assistance issues could also be developed, bearing in mind that implementation of resolution 1540 (2004) and assistance therewith remain the responsibility of Member States;

(h) The ability of the Committee and its group of experts should be strengthened. The Committee should continue to encourage and take full advantage of voluntary financial contributions to assist States in identifying and addressing their needs for the implementation of resolutions 1540 (2004) and 1810 (2008). In this regard, the convening of an international conference on assistance, with the participation of the Committee, would be an important contribution. The Committee should also encourage regular meetings of donors at the technical level, with the participation of the Committee if necessary. It could also undertake a preliminary exploration of the possibility of drawing on the knowledge of other individuals and organizations (including former experts of the group) and of developing a roster of specialized expertise to assist the Committee and its group of experts in facilitating assistance;

(i) The Committee and its experts should continue to increase awareness of assistance issues, including by convening regular open meetings held by the Chair and by regularly updating the website.

**Annex I**

**Experts appointed to assist the Security Council  
Committee established pursuant to resolution 1540  
during its current mandate**

<i>Name</i>	<i>Country</i>	
Andemicael, Berhanykun*	Eritrea	
Bosch, Olivia*	United Kingdom of Great Britain and Northern Ireland	
Cerini, Ana Maria	Argentina	
Cupitt, Richard*	United States of America	
Howlett, Brad	Australia	Until July 2008
Interlandi, Isabella	Italy	
Kasprzyk, Nicolas	France	From April 2009
Litavrin, Petr	Russian Federation	From April 2009
Muhi, Senan	Iraq	Until April 2011
Siddharta, Venkatasubbiah	India	Until April 2009
Slipchenko, Viktor	Russian Federation	Until April 2009

\* At the date of the submission of the report, Richard Cupitt was serving as coordinator. During the period covered in the report, Berhanykun Andemicael and Olivia Bosch have also served as coordinator. Under the current mandate, the coordinator of the Committee experts is designated by election from among the experts.



## Annex II

### Selected documents relevant to the work of the Committee

<i>Title</i>	<i>Date</i>	<i>Document number or website</i>
<b>Security Council resolutions</b>		
Security Council resolution 1540 (2004)	28 April 2004	S/RES/1540 (2004) undocs.org/s/res/1540 (2004)
Security Council resolution 1673 (2006)	27 April 2006	S/RES/1673 (2006) undocs.org/s/res/1673 (2006)
Security Council resolution 1810 (2008)	25 April 2008	S/RES/1810 (2008) undocs.org/s/res/1810 (2008)
<b>Reports of the Committee established pursuant to resolution 1540 (2004)</b>		
Report of the Committee on compliance with resolution 1540 (2004) through the achievement of the implementation of its requirements	30 July 2008	S/2008/493 undocs.org/s/2008/493
Letter dated 26 December 2008 from the Chair of the Committee addressed to the President of the Security Council stating that the Committee had initiated a discussion on options for developing and making more effective the existing funding mechanisms for the implementation of resolution 1540 (2004)	29 December 2008	S/2008/821 undocs.org/s/2008/821
Letter dated 27 March 2009 from the Chair of the Committee addressed to the President of the Security Council transmitting a paper prepared by the Chair of the Committee on options for developing and making more effective existing funding mechanisms for the implementation of resolution 1540 (2004)	1 April 2009	S/2009/171 undocs.org/s/2009/171
<b>Comprehensive review of the status of implementation of resolution 1540 (2004)</b>		
Letter from the Acting Chair of the Committee addressed to the President of the Security Council informing him/her of the establishment of the working group to consider the possibility of conducting a comprehensive review of the status of implementation of resolution 1540 (2004)	30 January 2009	S/2009/63 undocs.org/s/2009/63
Letter from the Chair of the Committee to the President of the Security Council transmitting a report on modalities for considering a comprehensive review in accordance with paragraph 8 of Security Council resolution 1810 (2008)	27 March 2009	S/2009/170 undocs.org/s/2009/170

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<i>Title</i>	<i>Date</i>	<i>Document number or website</i>
Letter from the Chair of the Committee to the President of the Security Council transmitting the final document on the 2009 comprehensive review of the status of implementation of Security Council resolution 1540 (2004): key findings and recommendations	29 January 2010	S/2010/52 <a href="http://undocs.org/s/2010/52">undocs.org/s/2010/52</a>

**Substantive background papers prepared by the group of experts**

[www.un.org/sc/1540/ComprehensiveReview-OpenMeeting.shtml](http://www.un.org/sc/1540/ComprehensiveReview-OpenMeeting.shtml)

**Summary records of the open meetings of the Committee for the comprehensive review**

[www.un.org/sc/1540/summaryrecords.shtml](http://www.un.org/sc/1540/summaryrecords.shtml)

**Programmes of work of the Committee**

[www.un.org/sc/1540/programofwork.shtml](http://www.un.org/sc/1540/programofwork.shtml)

**Briefings to the Security Council by the Chair of the Committee**

[www.un.org/sc/1540/chairpersonsbriefings.shtml](http://www.un.org/sc/1540/chairpersonsbriefings.shtml)

**Statements by the Chair of the Committee at outreach events**

[www.un.org/sc/1540/chairpersonsstatements.shtml](http://www.un.org/sc/1540/chairpersonsstatements.shtml)

**List of matrices as approved by the Committee**

[www.un.org/sc/1540/1540matrix.shtml](http://www.un.org/sc/1540/1540matrix.shtml)

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## Annex III.A

**Member States that had submitted national reports or  
additional information as at 24 April 2011**

<i>Submitting States</i>	<i>Date of first report</i>	<i>Submitting States</i>	<i>Date of first report</i>
1. Afghanistan	28 Aug 2008	43. Djibouti	17 Mar 2005
2. Albania*	28 Oct 2004	44. Dominica	17 Apr 2008
3. Algeria*	10 Nov 2004	45. Dominican Republic	7 Dec 2009
4. Andorra*	27 Oct 2004	46. Ecuador*	7 Apr 2005
5. Angola	27 Oct 2004	47. Egypt*	28 Oct 2004
6. Antigua and Barbuda	6 Nov 2006	48. El Salvador	28 Sep 2005
7. Argentina*	26 Oct 2004	49. Eritrea	22 Jun 2006
8. Armenia*	9 Nov 2004	50. Estonia*	29 Oct 2004
9. Australia*	28 Oct 2004	51. Ethiopia	7 Mar 2011
10. Austria*	28 Oct 2004	52. Fiji	4 Feb 2008
11. Azerbaijan*	28 Oct 2004	53. Finland*	28 Oct 2004
12. Bahamas	28 Oct 2004	54. France*	28 Oct 2004
13. Bahrain*	22 Dec 2004	55. Gabon	24 Jan 2011
14. Bangladesh*	27 Jun 2006	56. Georgia*	28 Oct 2004
15. Barbados	28 Mar 2008	57. Germany*	26 Oct 2004
16. Belarus*	20 Oct 2004	58. Ghana	5 Nov 2004
17. Belgium*	26 Oct 2004	59. Greece*	22 Oct 2004
18. Belize*	20 Oct 2004	60. Grenada	26 Sep 2005
19. Benin	3 Mar 2005	61. Guatemala*	27 Oct 2004
20. Bhutan	19 Aug 2009	62. Guyana*	11 Nov 2004
21. Bolivia (Plurinational State of)*	8 Mar 2005	63. Honduras*	20 Jun 2006
22. Bosnia and Herzegovina*	22 Nov 2004	64. Hungary*	27 Oct 2004
23. Botswana	18 Apr 2008	65. Iceland*	28 Oct 2004
24. Brazil*	29 Oct 2004	66. India*	1 Nov 2004
25. Brunei Darussalam*	30 Dec 2004	67. Indonesia*	28 Oct 2004
26. Bulgaria*	18 Nov 2004	68. Iran (Islamic Republic of)*	28 Feb 2005
27. Burkina Faso	4 Jan 2005	69. Iraq*	13 Apr 2005
28. Burundi	4 Apr 2008	70. Ireland*	28 Oct 2004
29. Cambodia	21 Mar 2005	71. Israel	22 Nov 2004
30. Cameroon	8 Sep 2008	72. Italy*	27 Oct 2004
31. Canada*	31 Dec 2004	73. Jamaica*	5 Apr 2005
32. Chile*	27 Oct 2004	74. Japan*	28 Oct 2004
33. China*	4 Oct 2004	75. Jordan*	9 Feb 2005
34. Colombia	10 Feb 2005	76. Kazakhstan*	3 Nov 2004
35. Costa Rica*	4 Aug 2004	77. Kenya*	20 Jul 2005
36. Côte d'Ivoire	12 Mar 2010	78. Kiribati	1 May 2006
37. Croatia*	29 Nov 2004	79. Kuwait	31 Mar 2005
38. Cuba*	28 Oct 2004	80. Kyrgyzstan*	14 Dec 2004
39. Cyprus*	24 Nov 2004	81. Lao People's Democratic Republic	3 May 2005
40. Czech Republic*	27 Oct 2004	82. Latvia*	28 Oct 2004
41. Democratic Republic of the Congo	24 Apr 2008	83. Lebanon*	20 Oct 2004
42. Denmark*	27 Oct 2004	84. Libyan Arab Jamahiriya*	12 Apr 2005

<i>Submitting States</i>	<i>Date of first report</i>	<i>Submitting States</i>	<i>Date of first report</i>
85. Liechtenstein*	29 Nov 2004	130. San Marino	13 Dec 2007
86. Lithuania*	27 Oct 2004	131. Saudi Arabia*	1 Nov 2004
87. Luxembourg*	29 Oct 2004	132. Senegal	31 Mar 2005
88. Madagascar	27 Feb 2008	133. Serbia*	5 Jan 2005
89. Malaysia	26 Oct 2004	134. Seychelles	7 Apr 2008
90. Maldives	4 Nov 2008	135. Sierra Leone	17 Dec 2007
91. Malta*	20 Oct 2004	136. Singapore*	21 Oct 2004
92. Marshall Islands	23 Nov 2004	137. Slovakia*	2 Nov 2004
93. Mauritius	30 Apr 2007	138. Slovenia*	28 Oct 2005
94. Mexico*	7 Dec 2004	139. South Africa*	31 Jan 2005
95. Micronesia (Federated States of)	27 Jun 2008	140. Spain*	26 Oct 2004
96. Monaco*	29 Oct 2004	141. Sri Lanka*	11 May 2005
97. Mongolia	31 May 2005	142. Sudan	20 Mar 2009
98. Montenegro*	5 Jan 2005	143. Suriname	23 Jan 2008
99. Morocco*	28 Oct 2004	144. Sweden*	28 Oct 2004
100. Myanmar	6 Apr 2005	145. Switzerland*	22 Oct 2004
101. Namibia*	26 Oct 2004	146. Syrian Arab Republic*	14 Oct 2004
102. Nauru	4 Apr 2008	147. Tajikistan*	11 Jan 2005
103. Nepal	17 Mar 2006	148. Thailand*	5 Nov 2004
104. Netherlands*	28 Oct 2004	149. The former Yugoslav Republic of Macedonia*	22 Nov 2004
105. New Zealand*	28 Oct 2004	150. Togo	8 Jul 2010
106. Nicaragua	26 Jan 2007	151. Tonga	5 Apr 2006
107. Niger	11 Jan 2008	152. Trinidad and Tobago	7 Apr 2006
108. Nigeria	28 Oct 2004	153. Tunisia*	10 Nov 2004
109. Norway*	28 Oct 2004	154. Turkey*	1 Nov 2004
110. Oman*	17 Dec 2004	155. Turkmenistan	10 Sep 2004
111. Pakistan*	27 Oct 2004	156. Tuvalu	13 Mar 2007
112. Palau	10 Apr 2008	157. Uganda*	14 Sep 2005
113. Panama*	12 Jul 2005	158. Ukraine*	25 Oct 2004
114. Papua New Guinea	24 Apr 2008	159. United Arab Emirates	9 Dec 2004
115. Paraguay*	3 Nov 2004	160. United Kingdom of Great Britain and Northern Ireland*	29 Sep 2004
116. Peru*	1 Nov 2004	161. United Republic of Tanzania	29 Aug 2005
117. Philippines*	28 Oct 2004	162. United States of America*	12 Oct 2004
118. Poland*	27 Oct 2004	163. Uruguay*	22 Dec 2004
119. Portugal*	28 Oct 2004	164. Uzbekistan*	15 Nov 2004
120. Qatar*	5 Nov 2004	165. Vanuatu	22 Feb 2007
121. Republic of Korea*	27 Oct 2004	166. Venezuela (Bolivarian Republic of)*	16 Nov 2004
122. Republic of Moldova*	17 Dec 2004	167. Viet Nam*	26 Oct 2004
123. Romania*	27 Oct 2004	168. Yemen	29 Dec 2004
124. Russian Federation*	26 Oct 2004	Other submission: European Union	28 Oct 2004
125. Rwanda	30 Mar 2011		
126. Saint Kitts and Nevis	30 Jun 2008		
127. Saint Lucia	3 Dec 2009		
128. Saint Vincent and the Grenadines	17 Sep 2008		
129. Samoa	13 Apr 2006		

\* States that have provided additional information one or more times on measures taken or planned to be taken to implement resolution 1540 (2004)

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**Annex III.B****Member States that have yet to submit a report as at  
30 April 2011**

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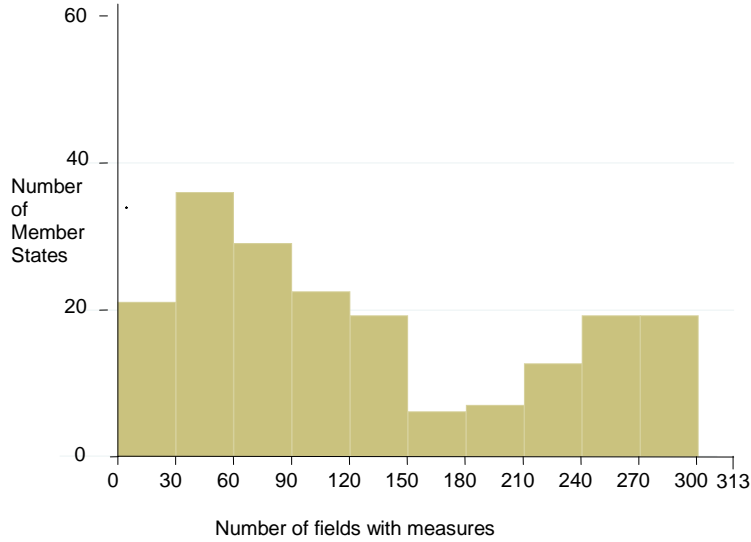
*Non-submitting States*

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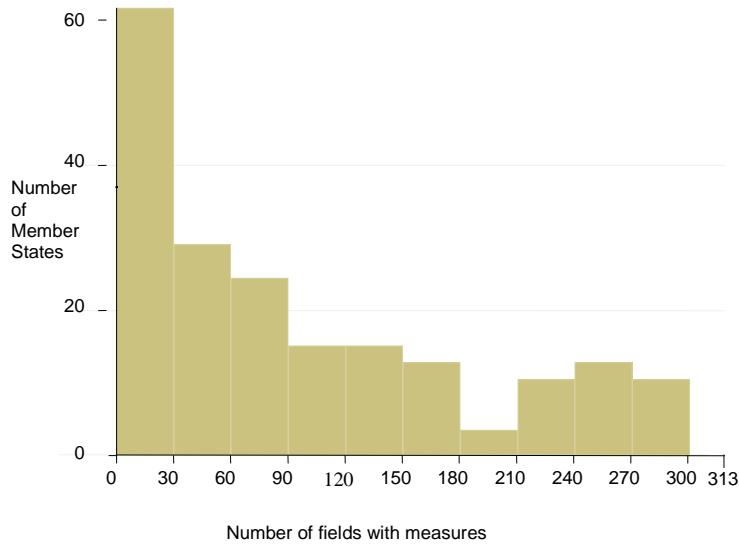
1. Cape Verde
  2. Central African Republic
  3. Chad
  4. Comoros
  5. Congo
  6. Democratic People's Republic of Korea
  7. Equatorial Guinea
  8. Gambia
  9. Guinea
  10. Guinea-Bissau
  11. Haiti
  12. Lesotho
  13. Liberia
  14. Malawi
  15. Mali
  16. Mauritania
  17. Mozambique
  18. Sao Tome and Principe
  19. Solomon Islands
  20. Somalia
  21. Swaziland
  22. Timor-Leste
  23. Zambia
  24. Zimbabwe
-

## Annex IV

### Total number of matrix data fields with measures in place by Member States 2011\*



### Total number of matrix data fields with measures in place by Member States 2008\*

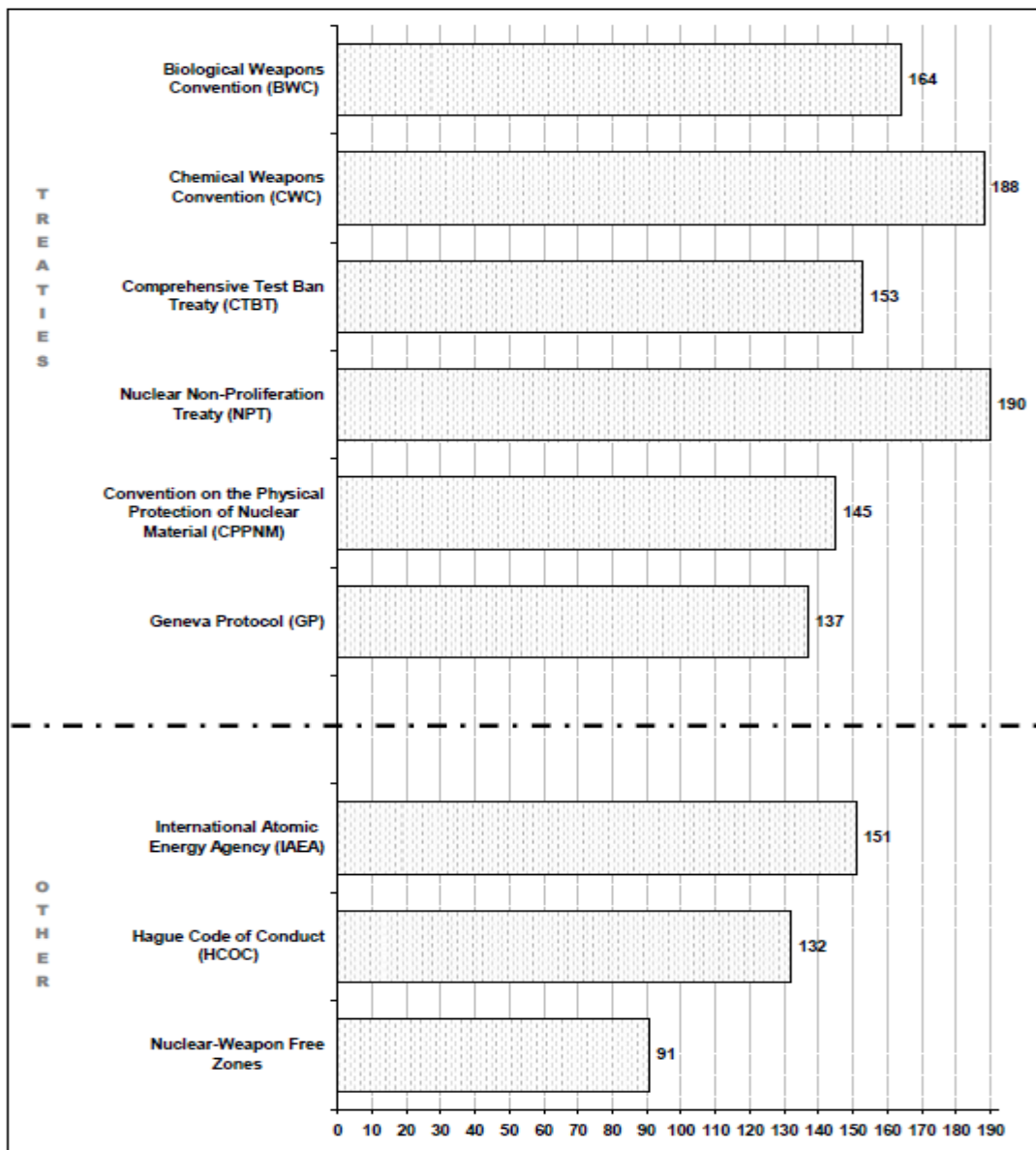


\* The charts above are based on information compiled by the Committee for 313 of the 382 matrix fields that pertain most directly to implementation measures. The 313 fields exclude all the fields identified as “other”, fields covering general statements and treaty status and the fields on assistance. To assist readers in understanding the charts, for example, in 2008 63 Member States had measures in up to 30 fields, 29 States had measures in from 30 to 60 fields, 23 States had measures in from 60 to 90 fields, etc.

## Annex V

### Adherence by States<sup>7</sup> to non-proliferation treaties, conventions, protocols and other instruments relevant to Security Council resolution 1540 (2004)

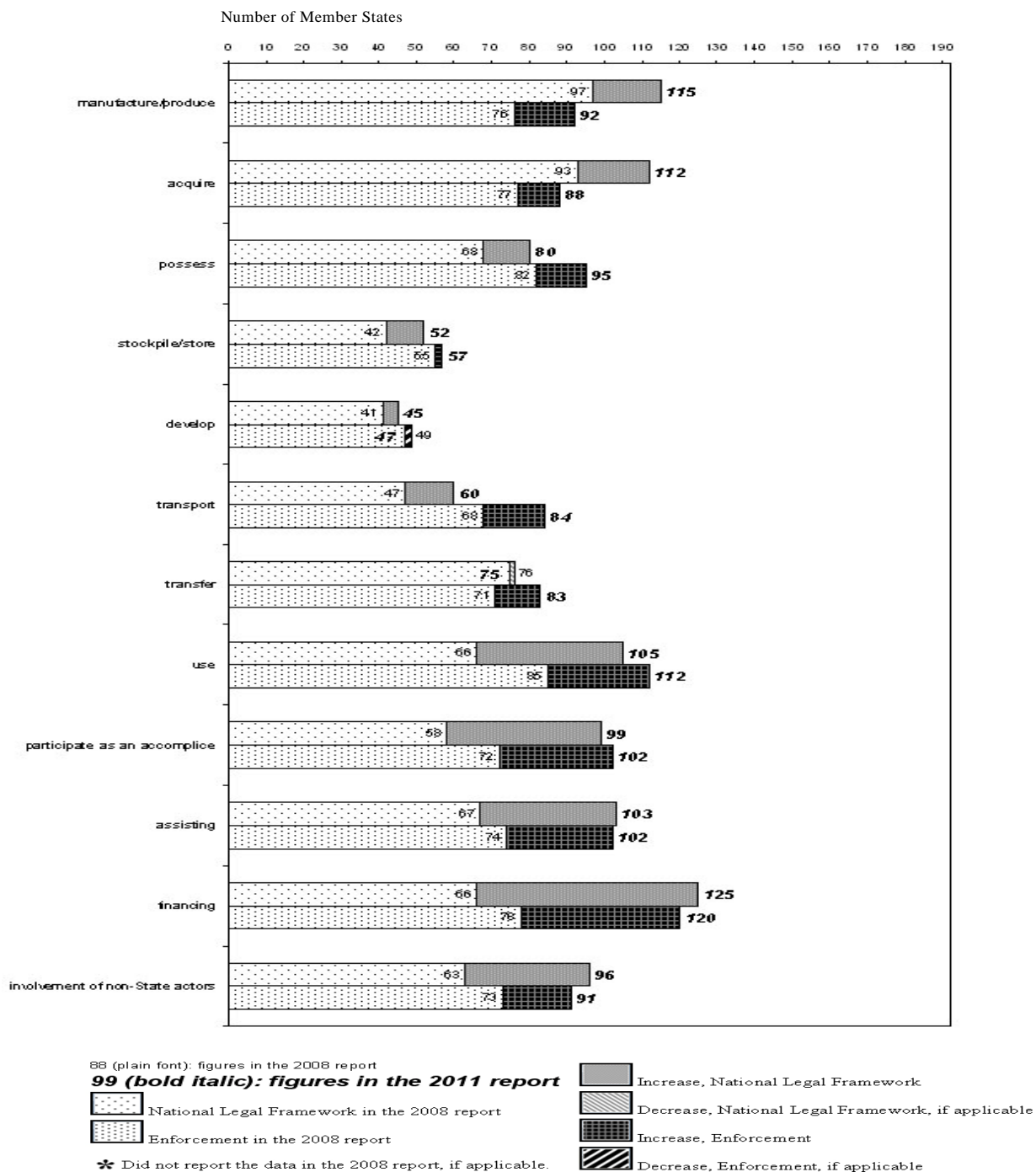
Number of States



<sup>7</sup> Statistics include States parties that are not Member States of the United Nations.

## Annex VI

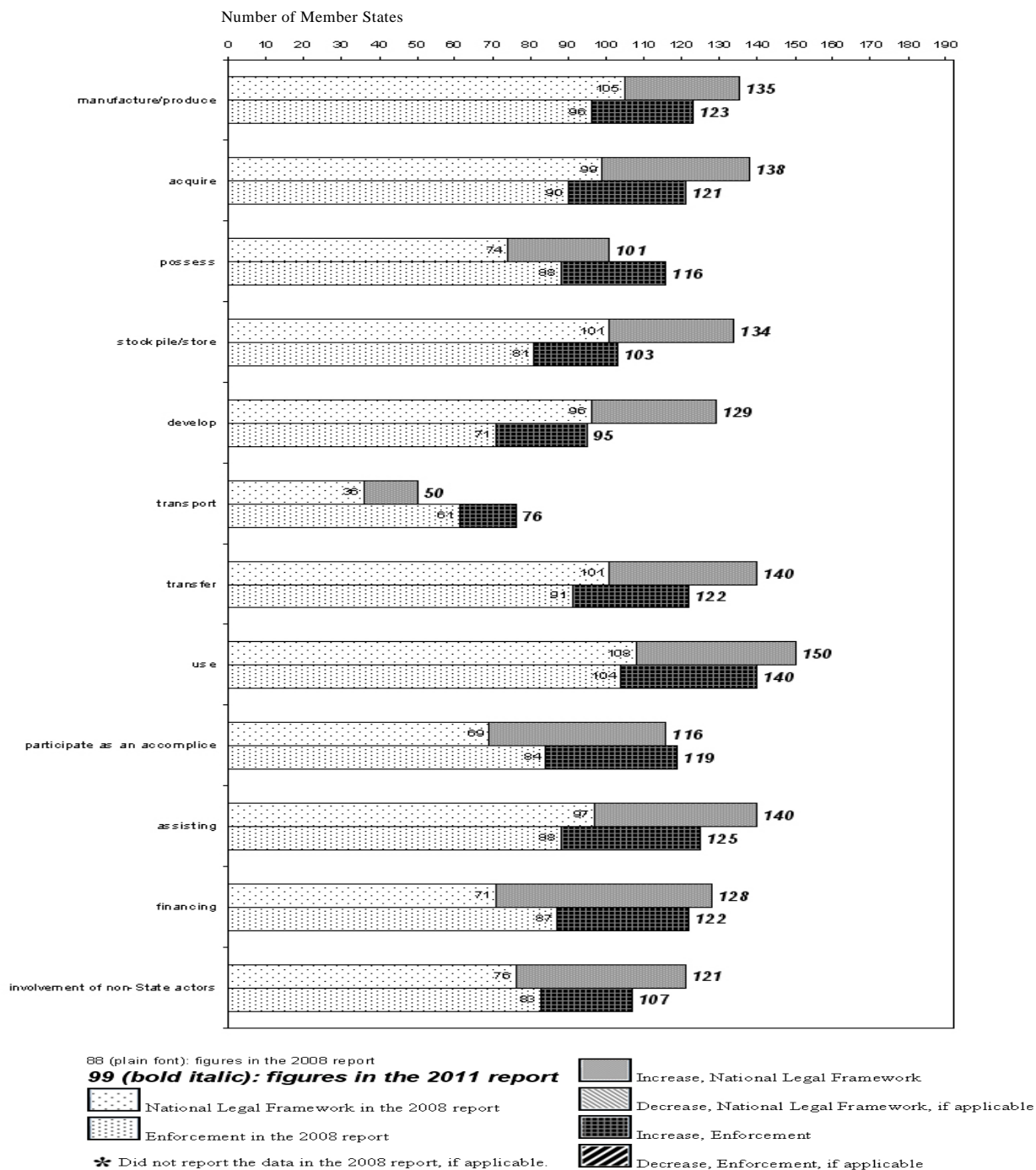
### Status of implementation of resolution 1540 (2004) based on the Committee matrices: comparative information for 2008 and 2011 for 192 Member States — paragraph 2 nuclear weapons





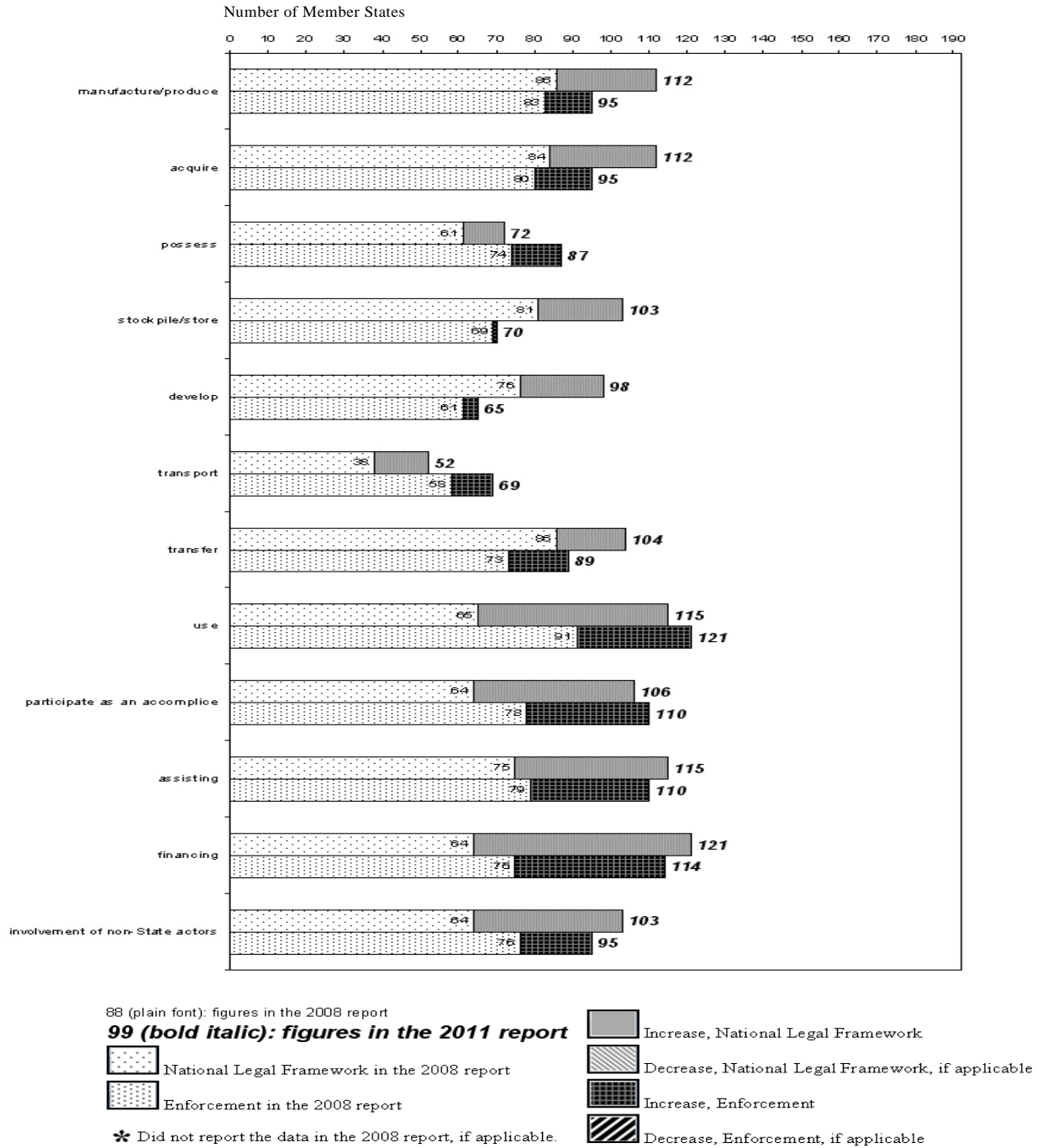
## Annex VII

**Status of implementation of resolution 1540 (2004) based on the Committee matrices: comparative information for 2008 and 2011 for 192 Member States — paragraph 2 chemical weapons**



## Annex VIII

### Status of implementation of resolution 1540 (2004) based on the Committee matrices: comparative information for 2008 and 2011 for 192 Member States — paragraph 2 biological weapons



## Annex IX

### Status of implementation of resolution 1540 (2004) based on the Committee matrices: comparative information for 2008 and 2011 for 192 Member States — paragraphs 2 and 3 means of delivery

#### A. Prohibitions (para. 2)

(Number of United Nations Member States)

<i>Weapons category</i>	<i>Legislative framework</i>		<i>Enforcement measures</i>	
	<i>2008</i>	<i>2011</i>	<i>2008</i>	<i>2011</i>
Nuclear	30	39	35	37
Chemical	46	54	45	48
Biological	77	90	45	43

#### B. Account for/secure/physically protect (para. 3 (a) and (b))

(Number of United Nations Member States)

<i>Weapons category</i>	<i>Legislative framework</i>		<i>Enforcement measures</i>	
	<i>2008</i>	<i>2011</i>	<i>2008</i>	<i>2011</i>
Nuclear	20	27	11	14
Chemical	22	23	15	16
Biological	14	14	12	14

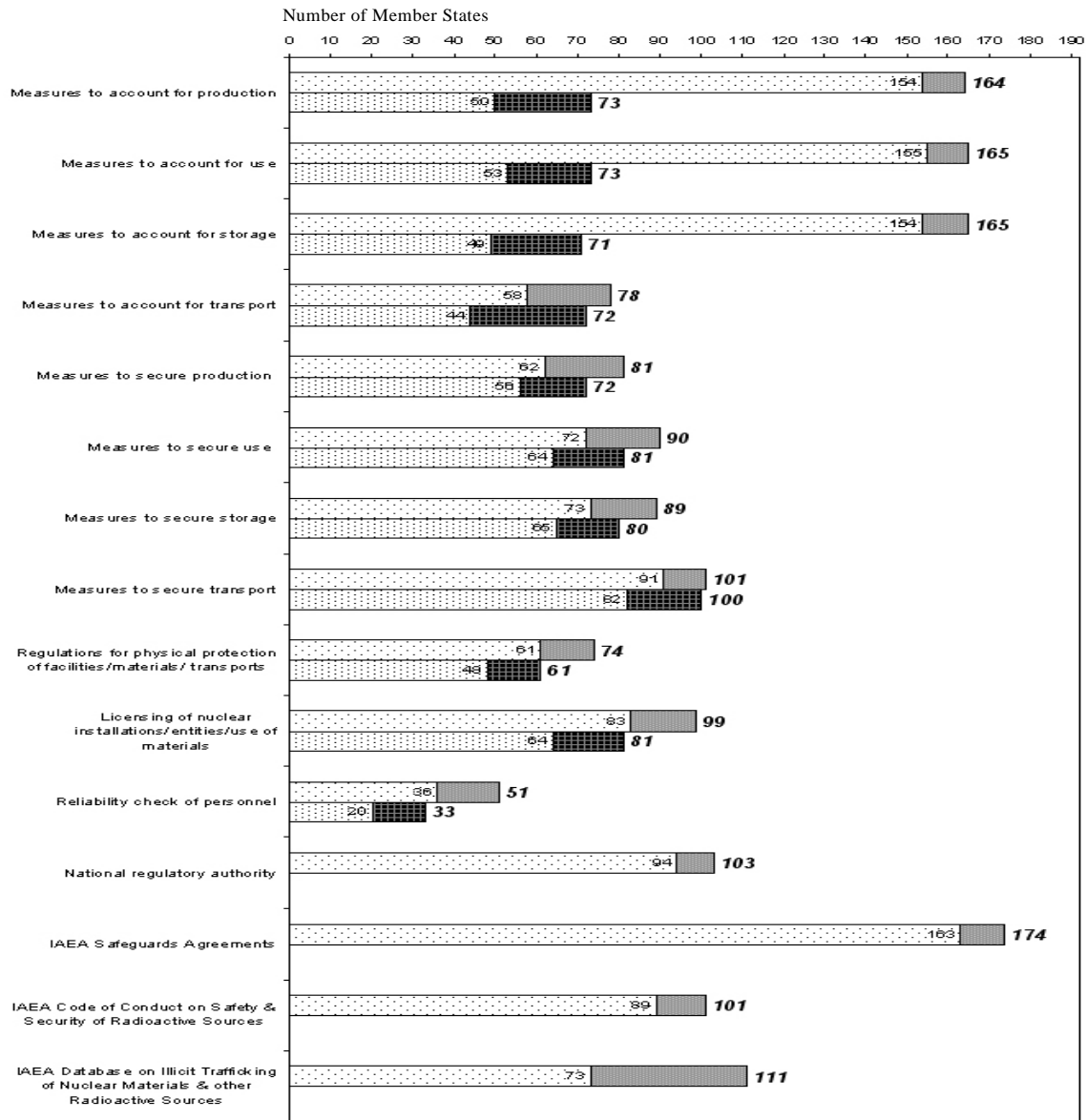
#### C. Border and export controls (para. 3 (c) and (d))

(Number of United Nations Member States)

<i>Weapons category</i>	<i>Legislative framework</i>		<i>Enforcement measures</i>	
	<i>2008</i>	<i>2011</i>	<i>2008</i>	<i>2011</i>
Nuclear	59	65	31	48
Chemical	60	64	40	48
Biological	60	64	32	49

# Annex X

## Status of implementation of resolution 1540 (2004) based on the Committee matrices: comparative information for 2008 and 2011 for 192 Member States — paragraph 3 (a) and (b) materials related to nuclear weapons



68 (plain font): figures in the 2008 report

**99 (bold italic): figures in the 2011 report**

National Legal Framework in the 2008 report

Enforcement in the 2008 report

\* Did not report the data in the 2008 report, if applicable.

Increase, National Legal Framework

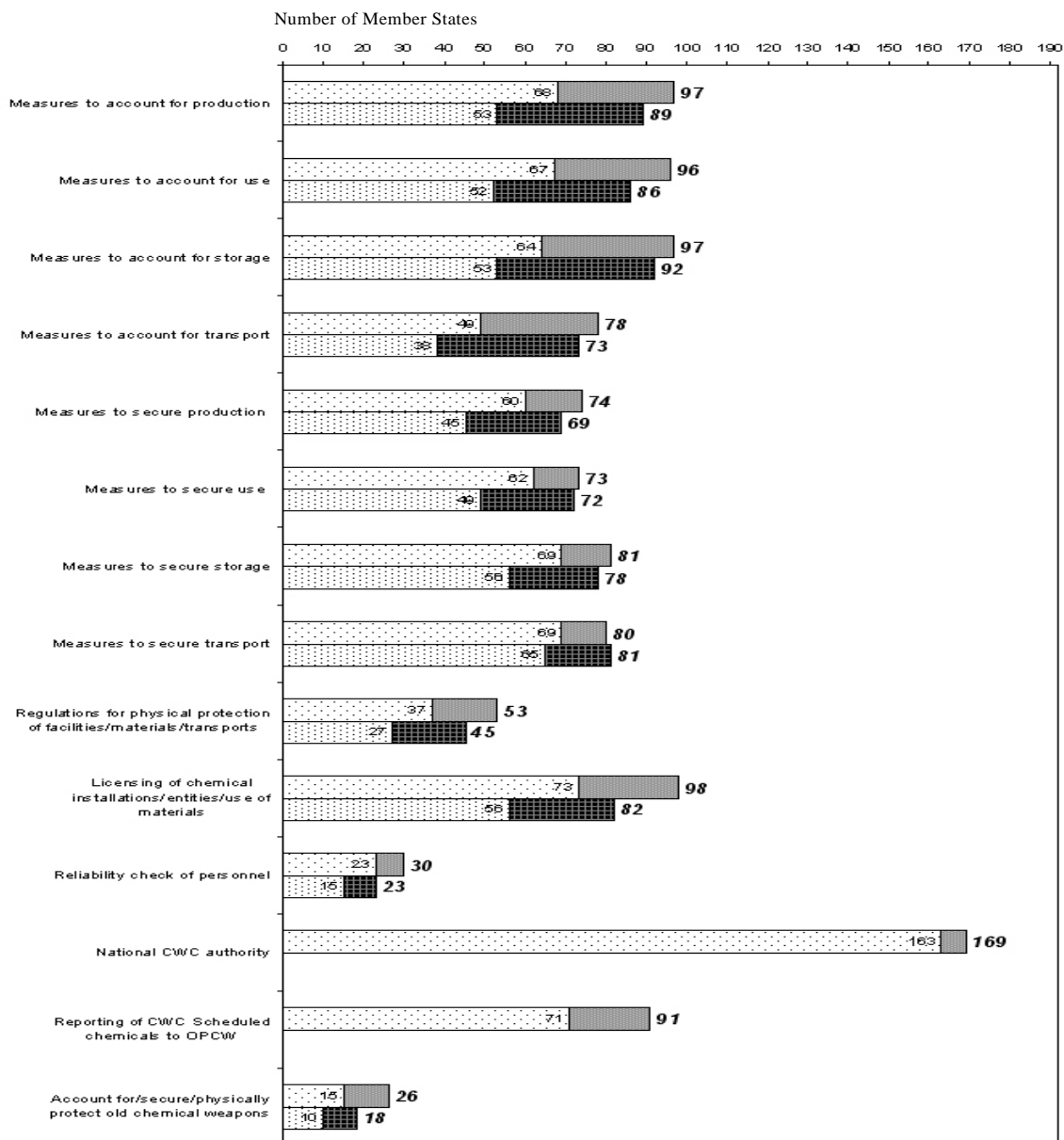
Decrease, National Legal Framework, if applicable

Increase, Enforcement

Decrease, Enforcement, if applicable

## Annex XI

**Status of implementation of resolution 1540 (2004) based on the Committee matrices: comparative information for 2008 and 2011 for 192 Member States — paragraph 3 (a) and (b) materials related to chemical weapons**



88 (plain font): figures in the 2008 report

**99 (bold italic): figures in the 2011 report**

National Legal Framework in the 2008 report

Enforcement in the 2008 report

\* Did not report the data in the 2008 report, if applicable.

Increase, National Legal Framework

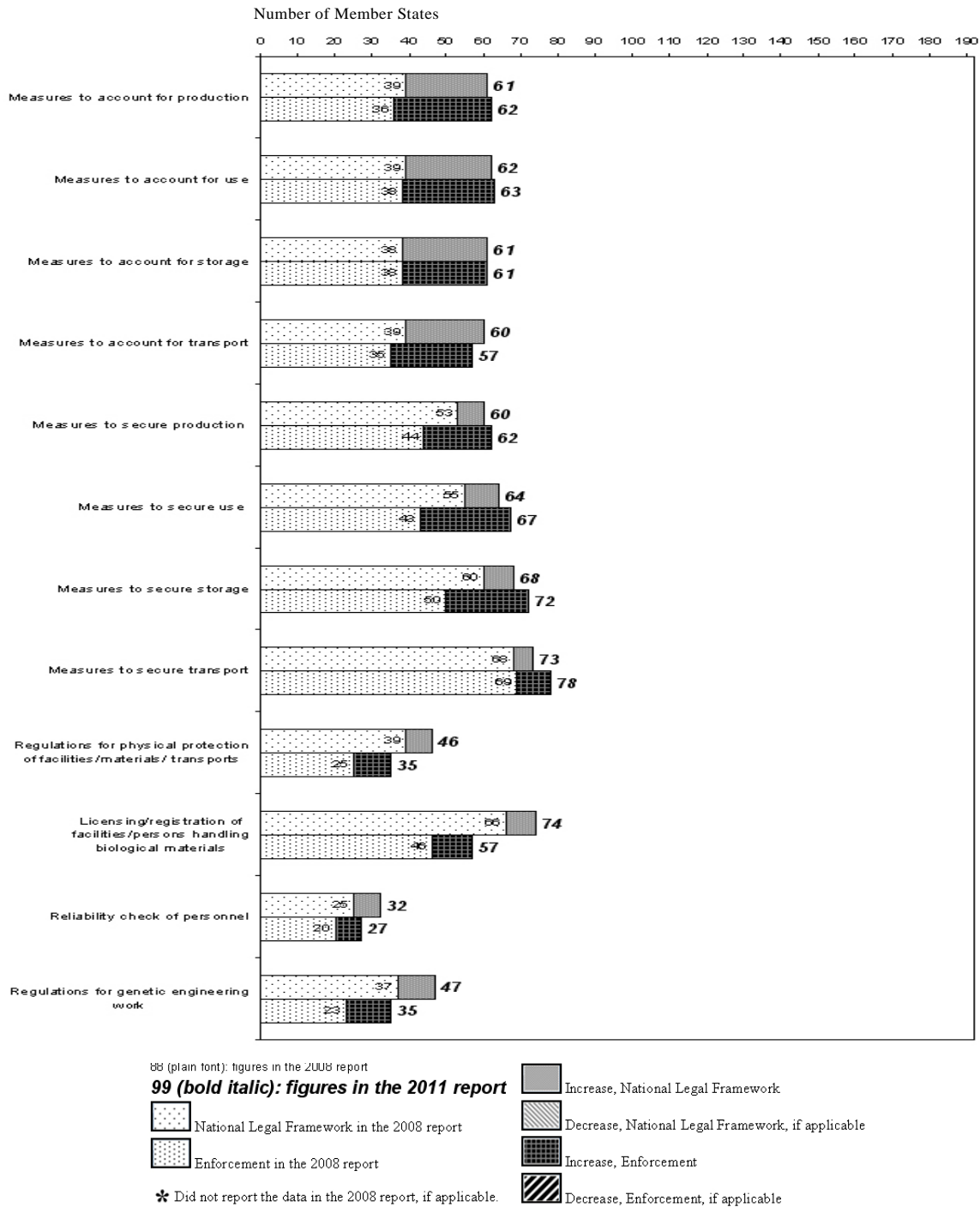
Decrease, National Legal Framework, if applicable

Increase, Enforcement

Decrease, Enforcement, if applicable

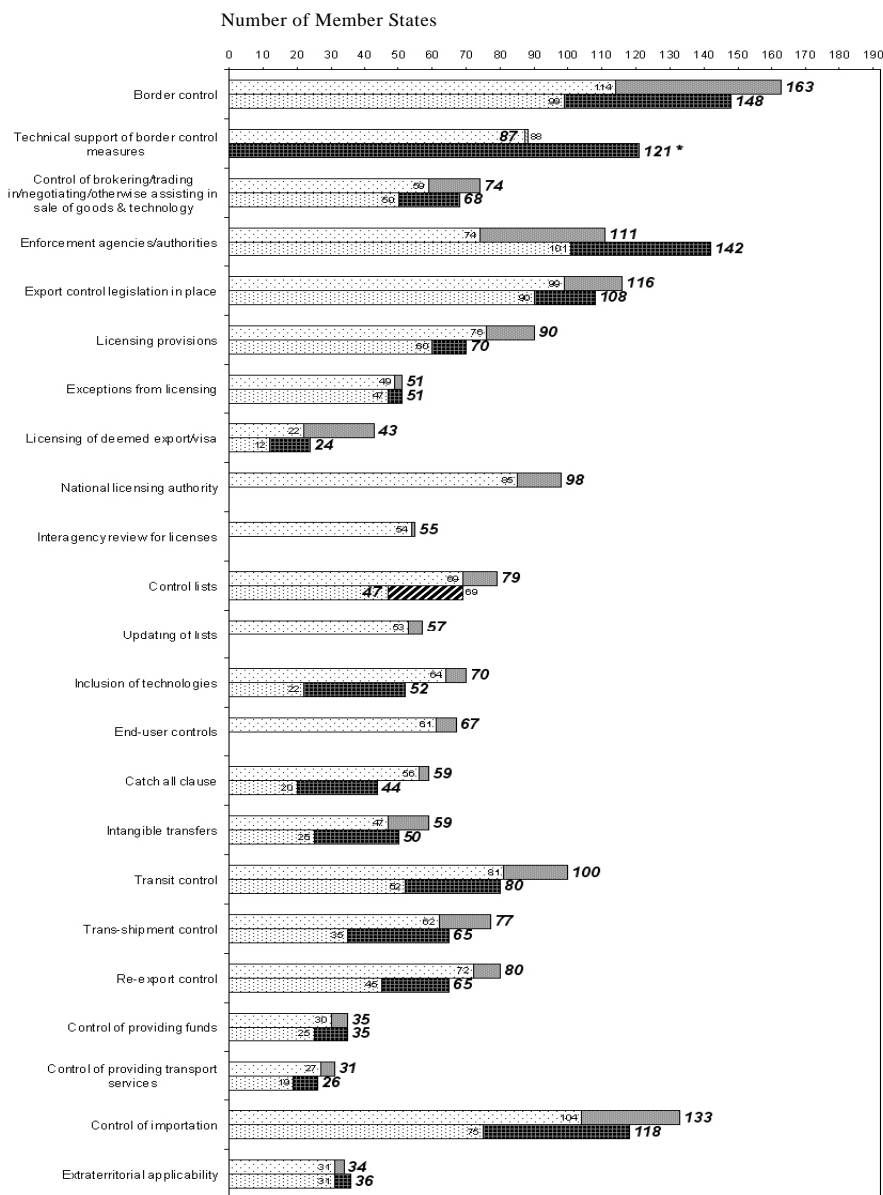
## Annex XII

### Status of implementation of resolution 1540 (2004) based on the Committee matrices: comparative information for 2008 and 2011 for 192 Member States — paragraph 3 (a) and (b) materials related to biological weapons



## Annex XIII

## Status of implementation of resolution 1540 (2004) based on the Committee matrices: comparative information for 2008 and 2011 for 192 Member States — paragraph 3 (c) and (d) materials related to nuclear weapons



88 (plain font): figures in the 2008 report

**99 (bold italic): figures in the 2011 report**

National Legal Framework in the 2008 report

Enforcement in the 2008 report

\* Did not report the data in the 2008 report, if applicable.

Increase, National Legal Framework

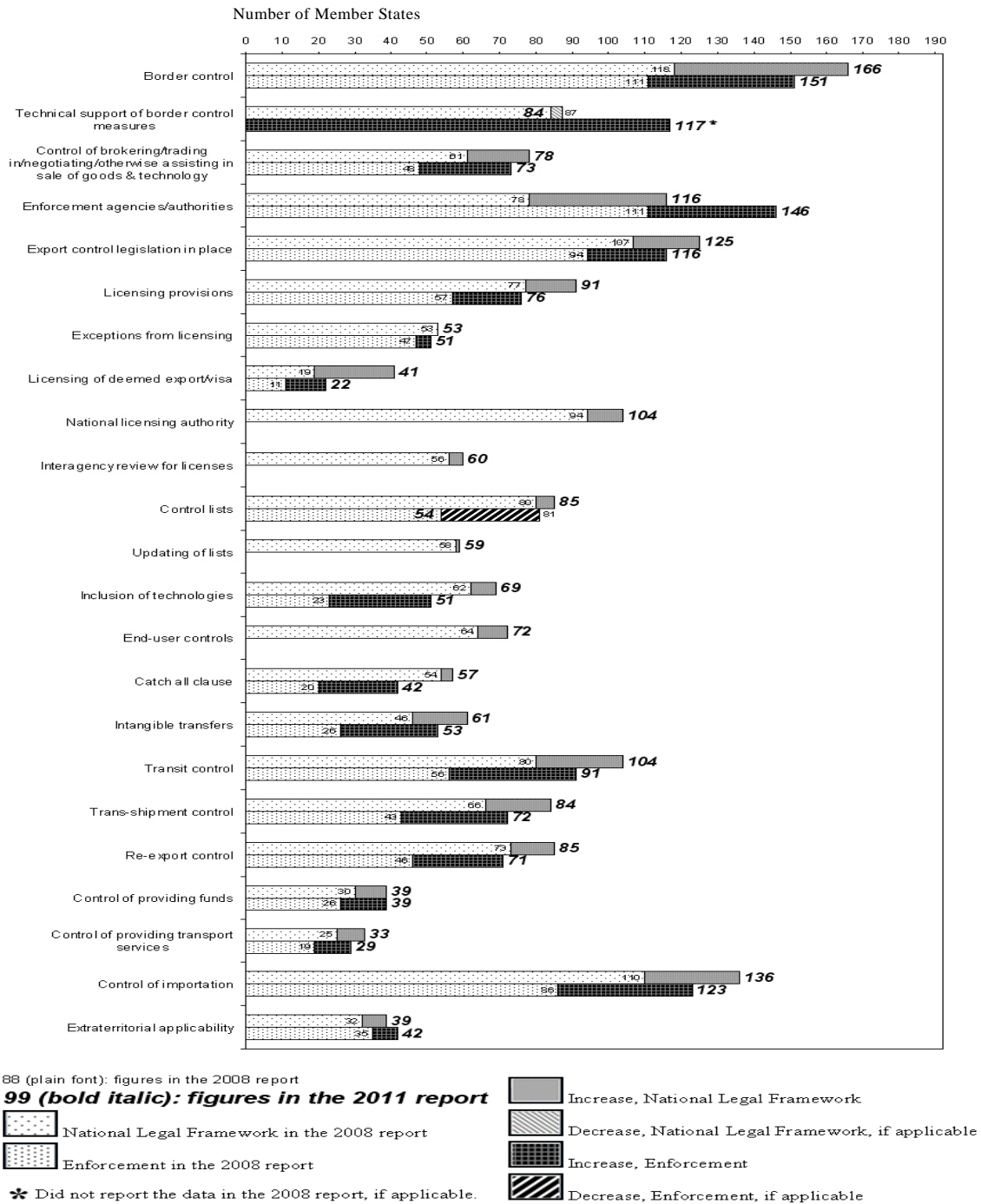
Decrease, National Legal Framework, if applicable

Increase, Enforcement

Decrease, Enforcement, if applicable

## Annex XIV

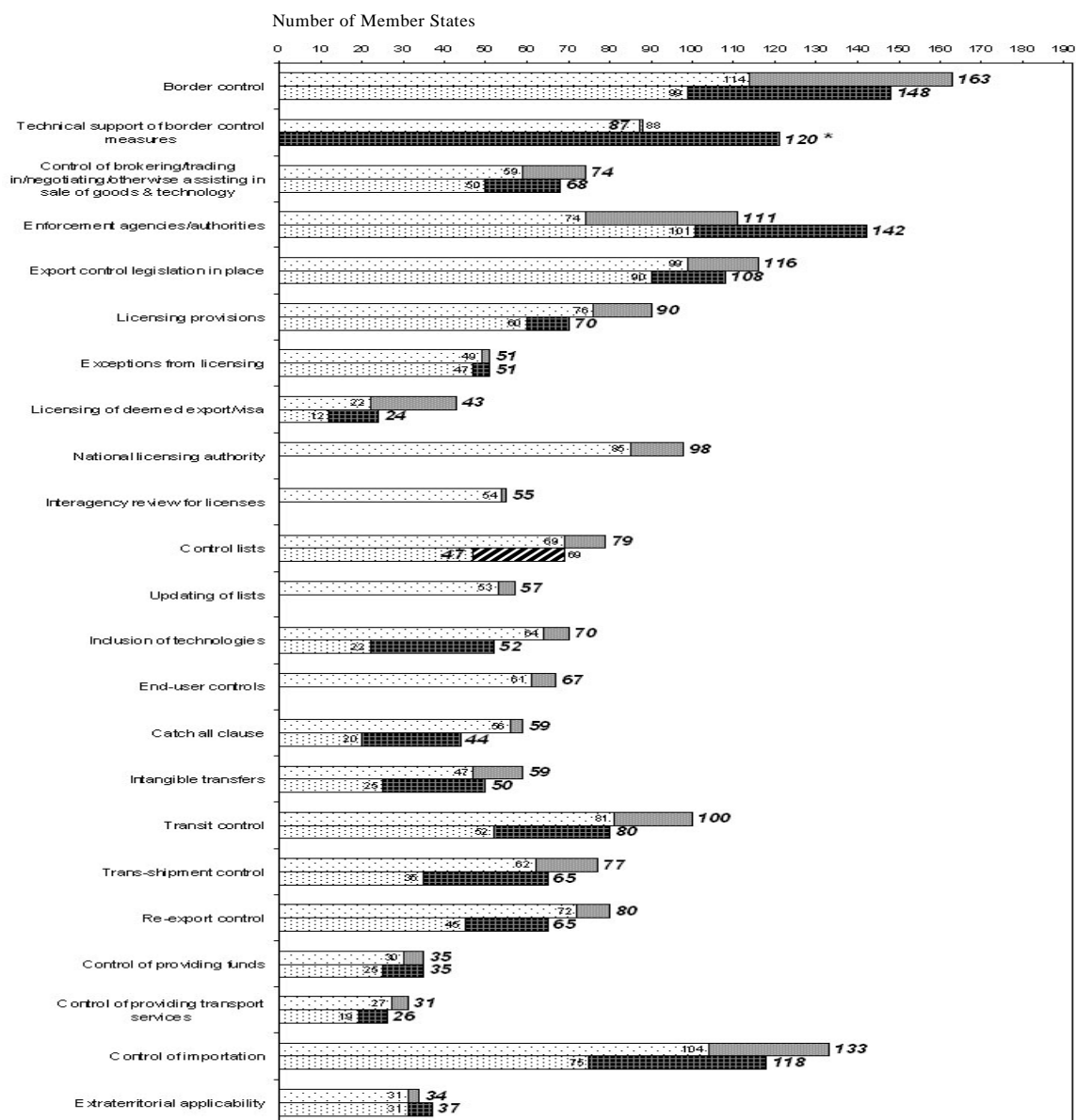
### Status of implementation of resolution 1540 (2004) based on the Committee matrices: comparative information for 2008 and 2011 for 192 Member States — paragraph 3 (c) and (d) materials related to chemical weapons





## Annex XV

## Status of implementation of resolution 1540 (2004) based on the Committee matrices: comparative information for 2008 and 2011 for 192 Member States — paragraph 3 (c) and (d) materials related to biological weapons



88 (plain font): figures in the 2008 report

**99 (bold italic): figures in the 2011 report**

National Legal Framework in the 2008 report

Enforcement in the 2008 report

\* Did not report the data in the 2008 report, if applicable.

Increase, National Legal Framework

Decrease, National Legal Framework, if applicable

Increase, Enforcement

Decrease, Enforcement, if applicable

## Annex XVI

### **Experience shared and related projects for the implementation of Security Council resolution 1540 (2004): update to annex XVII of the previous report of the Committee established pursuant to resolution 1540 (2004) to the Security Council (S/2008/493)**

1. In paragraph 11 (d) of resolution 1810 (2008) and paragraph 3 of the ninth programme of work of the Committee, the Security Council encourages the Committee to explore experiences shared and lessons learned with States and international, regional and subregional organizations. In compiling this list of shared experiences, the Committee has used the same criteria it used in its 2008 report to identify the most relevant and useful experiences in implementing the resolution. The examples should (a) address at least one common problem related to the implementation of one or more obligation under resolution 1540 (2004), (b) be recognized by an authoritative international body to have been shown to be effective or efficient and (c) have been adopted by a significant number of States. In assembling the list, the Committee used three possible sources: first, those international organizations named in resolution 1540 (2004); second, other international bodies mentioned by States in their national reports; and lastly the Committee drew on its own experience in preparing the matrices for all States for additional potential sources of appropriate experience to share. Many of those other bodies have developed model laws, programmes or practices which form the basis of the experience sharing addressed in the present report.

2. The Committee does not endorse any of the following materials, but provides them as illustrative examples for Member States to consider. As such, the following information does not comprise an exhaustive list and the Committee welcomes suggestions from Member States or intergovernmental bodies for additions, modifications or deletions to these examples.

3. For example, specifically for non-proliferation of nuclear weapons, 189 Member States are parties to the Treaty on the Non-Proliferation of Nuclear Weapons, 144 Member States have ratified the Convention on the Physical Protection of Nuclear Material and 45 have ratified the 2005 amendment to the Convention. The universalization of these instruments will strengthen, inter alia, the regime of physical nuclear protection with an enhanced role for IAEA.<sup>8</sup> In addition, 77 Member States are parties to the International Convention for the Suppression of Acts of Nuclear Terrorism, 151 Member States are parties to the Comprehensive Nuclear-Test-Ban Treaty, while 82 Member States are partners in the Global Initiative to Combat Nuclear Terrorism. For chemical and biological weapons, 185 Member States are parties to the Chemical Weapons Convention and 161 Member States have ratified the Biological Weapons Convention. For means of delivery, 129 Member States subscribe to the Hague Code of Conduct against Ballistic Missile Proliferation. Several international instruments apply to more than one weapons type. Some examples include the following: 136 Member States have ratified the 1925 Geneva Protocol for the Prohibition of the Use of Asphyxiating, Poisonous or Other Gases

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<sup>8</sup> These examples count only Member States of the United Nations that are parties to these instruments, rather than all States, as in annex V of the present report.

and of Bacteriological Methods of Warfare; 163 Member States have ratified the International Convention for the Suppression of Terrorist Bombings; 171 are parties to the International Convention for the Suppression of the Financing of Terrorism; 155 to the 1988 Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation and 146 to the 1988 Protocol for the Suppression of Unlawful Acts against the Safety of Fixed Platforms Located on the Continental Shelf; 19 Member States have ratified the 1988 Protocol to the Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation and one or both of the 2005 Protocols to the Convention; and 161 Member States have sent a letter of intent to declare their commitment to the World Customs Organization SAFE Framework of Standards.

4. Notably, the International Conference on Air Law, held in Beijing from 30 August to 10 September 2010, under the auspices of the International Civil Aviation Organization (ICAO), saw the adoption of an updated version of the 1971 Convention for the Suppression of Unlawful Acts against the Safety of Civil Aviation with possible complementarities with resolution 1540 (2004).

5. In addition, States in several regions are parties to instruments to create regional weapons-free zones, such as the Treaty for the Prohibition of Nuclear Weapons in Latin America and the Caribbean (Tlatelolco Treaty) (1967); South Pacific Nuclear-Free Zone Treaty (Rarotonga Treaty) (1985); Southeast Asian Nuclear-Weapon-Free Zone Treaty (Bangkok Treaty) (1995); African Nuclear-Weapon-Free Zone Treaty (Pelindaba Treaty) (1996); and the Treaty on a Nuclear-Weapon-Free Zone in Central Asia (2006).

**Resolution 1540 (2004), paragraphs 1 and 2: experience shared and related projects regarding obligations related to nuclear, chemical and biological weapons and their means of delivery**

6. In their national reports to the Committee, States have mentioned practices of interest with regard to paragraph 1 of resolution 1540 (2004), such as the adoption of a national policy framework to guide non-proliferation efforts.

7. Experience shared in this category mainly includes model laws and other measures that have been prepared or gathered under the auspices of IAEA, OPCW, the implementation support unit of the Biological Weapons Convention and other bodies to implement the obligations derived from international instruments relevant to resolution 1540 (2004). Some of the model laws and provisions described in this section are relevant also to the obligations under paragraph 3 of resolution 1540 (2004).

8. The IAEA Office of Legal Affairs offers a compendium of legal instruments on safeguards and non-proliferation, as well as the 2003 IAEA *Handbook on Nuclear Law*. The handbook includes model annotated legal texts relating to nuclear non-proliferation and the penalization of the illicit use or possession of nuclear materials by non-State actors. In 2010, IAEA issued a second volume of the *Handbook on Nuclear Law — Implementing Legislation* that emphasizes legislative drafting, which according to IAEA, “brings together for the first time, in a consolidated form, model texts of provisions covering all aspects of nuclear law”.

9. OPCW has produced a model decree to establish a national authority for implementing the Chemical Weapons Convention, model penal code provisions and

a national legislation implementation kit that comes with the text and a section-by-section commentary. In cooperation with the United Nations Institute for Training and Research (UNITAR), OPCW and the Organization of Eastern Caribbean States (OECS) have developed a model act to integrate chemical and pesticide safety and environmental controls with the requirements of the Chemical Weapons Convention.

10. At their Sixth Review Conference the States Parties to the Biological Weapons Convention decided on specific and concrete measures to strengthen the implementation of the Convention, including the creation of an implementation support unit. The unit maintains electronic versions of the confidence-building measures in all official languages and has made them available on its website ([www.unog.ch/bwc](http://www.unog.ch/bwc)), which it continues to develop. The website contains a number of online tools maintained by the unit and a database with details of national measures that might be relevant to the Convention, including a summary of the measures and a link to the full text of the measure where possible ([www.unog.ch/bwc/NID](http://www.unog.ch/bwc/NID)). In addition, several other international bodies have produced guides or similar documents relevant to the Convention. The United Nations Office for Disarmament Affairs has prepared a *Guide to Participating in the Confidence-Building Measures of the Biological Weapons Convention* (December 2009) with the support of the European Union.

11. The International Committee of the Red Cross has drafted a model law (the biological and toxin weapons crimes act) for States with a common law legal framework. In 2010, INTERPOL published the second edition of a reference manual, *Bioterrorism Incident Pre-Planning and Response Guide*, to be used in bioterrorism prevention and preparedness efforts, including legislation, securing the agents, biosafety and biosecurity. INTERPOL is also developing a bioincidents database that will have information on detection devices and stolen or missing biological agents or toxins and is accessible through the I-24/7 communications system.

12. The United Nations Office on Drugs and Crime *Legislative Guide to the Universal Anti-Terrorism Conventions and Protocols* offers commentary and annotated models of legislation to implement all the anti-terrorism conventions. The Office has also published its *Guide for Legislative Incorporation of the Provisions of the Universal Legal Instruments against Terrorism* and has drafted *The Emerging Legal Framework for Combating Nuclear Terrorism*. It also maintains a database ([www.unodc.org/tldb](http://www.unodc.org/tldb)) of pertinent legislation.

13. The Financial Action Task Force (FATF) is reviewing how it may incorporate proliferation financing into its *FATF Recommendations* (which function as de facto standards for FATF jurisdictions and the jurisdictions of the FATF-style regional bodies). The most recent set of 23 policy options under consideration appear in *Combating Proliferation Financing: A Status Report on Policy Development and Consultation* (February 2010).<sup>9</sup> Several of the options address broad legal measures against proliferation financing, including the criminalization of proliferation financing activity and its relationship to mutual legal assistance. In addition, FATF published its June 2008 *Proliferation Financing Report*,<sup>10</sup> a typology study on the methods and techniques used to finance proliferation, including specific case examples and measures being taken by countries to combat this activity. This is also

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<sup>9</sup> See [www.fatf-gafi.org/dataoecd/32/40/45049911.pdf](http://www.fatf-gafi.org/dataoecd/32/40/45049911.pdf).

<sup>10</sup> See [www.fatf-gafi.org/dataoecd/14/21/41146580.pdf](http://www.fatf-gafi.org/dataoecd/14/21/41146580.pdf).

relevant to the obligations on financing and services for illicit trafficking found in paragraph 3 (d) of resolution 1540 (2004).

**Paragraph 3 (a) and (b): experience shared and related projects regarding accounting, securing and physical protection of nuclear, chemical and biological weapons, their means of delivery and related materials**

14. The practices in these areas involve peaceful use of materials related to weapons of mass destruction as defined in the footnote to resolution 1540 (2004). Resolution 1540 (2004) specifically refers to legal instruments and guidelines regarding accounting for, securing and physical protection of nuclear, chemical and biological items.

15. On accounting for, securing and physical protection of nuclear items, IAEA has an established role in sharing experience. It recognizes a large number of international instruments relevant to nuclear accounting and security, such as the Comprehensive Safeguards Agreements (INFCIRC/153); the *Model Protocol Additional to the Agreement between States and the IAEA for the Application of Safeguards* (INFCIRC/540); the Convention on the Physical Protection of Nuclear Material and its 2005 Amendment; IAEA guidance (INFCIRC/225/Rev.4 (Corr.)) on the Convention; the *Code of Conduct on the Safety and Security of Radioactive Sources*; and the International Convention for the Suppression of Acts of Nuclear Terrorism (*Nuclear Security — Measures to Protect against Nuclear Terrorism*, GOV/2006/46-GC(50)/13), which also obliges States to take measures to protect nuclear and radioactive material.<sup>11</sup> Furthermore, IAEA specifically recognizes resolution 1540 (2004) as an integral part of the international legal framework on nuclear security that guides its work.<sup>12</sup> IAEA, jointly with the Terrorism Prevention Branch of the United Nations Office on Drugs and Crime, has developed model legal provisions to help States criminalize provisions of the Convention on the Physical Protection of Nuclear Material and its 2005 Amendment and the International Convention for the Suppression of Acts of Nuclear Terrorism. The United Nations Office on Drugs and Crime has compiled the official documents on the Convention, together with the background materials for the many practices in the Convention, in its *International Law Series No. 2*.<sup>13</sup> The Office has also developed a set of technical assistance tools on implementing international instruments against nuclear terrorism.<sup>14</sup>

16. In 2009, IAEA also adopted its third Nuclear Security Plan covering the years 2010-2013 (GOV/2009/54-GC(53)/18). The Nuclear Security Plan 2010-2013<sup>15</sup> itself offers lessons learned on national security for the national, regional and international levels. Among the most pertinent are that: (a) all States need an appropriate and effective nuclear security infrastructure; (b) such an infrastructure should use a multidisciplinary approach that includes legal, human and technical resources and the procedures and functions to coordinate them; (c) the synergies of

<sup>11</sup> See [www.iaea.org/Publications/Documents/Infcircs](http://www.iaea.org/Publications/Documents/Infcircs). The IAEA also conducts regional training programmes on physical protection.

<sup>12</sup> IAEA Nuclear Security Plan 2010-2013 (GOV/2009/54-GC(53)/18).

<sup>13</sup> The Committee on the Safety of Nuclear Installations of the Nuclear Energy Agency has developed practices of interest on nuclear safety issues (see <http://www.oecd-nea.org/pub/policypapers/>).

<sup>14</sup> See [www.unodc.org/unodc/en/terrorism/technical-assistance-tools.html](http://www.unodc.org/unodc/en/terrorism/technical-assistance-tools.html).

<sup>15</sup> See [www-ns.iaea.org/downloads/security/nuclear-security-plan2010-2013.pdf](http://www-ns.iaea.org/downloads/security/nuclear-security-plan2010-2013.pdf).

nuclear security and a nuclear security culture with that of nuclear safety and safeguards can enable the broader use of nuclear energy; and (d) agreements at the regional level and subregional interaction at border points can produce additional options for States for their nuclear security initiatives. For IAEA, the Plan emphasizes the global nature of the threat, the long-term effort and perspective needed to achieve nuclear security and that the production of nuclear security guidance to assist States is a priority. IAEA has already made considerable progress towards this. Since 2008, publications include *Combating Illicit Trafficking in Nuclear and other Radioactive Material*; *Nuclear Security Culture*; *Preventive and Protective Measures against Insider Threats*; *Security in the Transport of Radioactive Material*; *Security of Radioactive Sources*; and *Educational Programme in Nuclear Security*.<sup>16</sup> IAEA is preparing other documents in this series, including *Fundamentals of a State's Nuclear Security Regime: Objective and Essential Elements*.

17. IAEA produces standards on nuclear safety, which it considers as being interlinked with security issues.<sup>17</sup> Consequently, the Agency recommends that security, safety and safeguards be jointly considered in national legislative systems to avoid gaps, inconsistencies and overlaps. Thus it includes, inter alia, the following instruments in its legal framework for nuclear security: the Convention on Nuclear Safety and the Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management.

18. In addition, States have promulgated a number of supranational, regional and bilateral cooperation agreements or guidelines for nuclear-related materials. For example, Commission Regulation (European Atomic Energy Community (Euratom)) No. 3227/76 (as amended most recently by Commission regulation (Euratom) No. 302/2005) implements the safeguards system established in the Euratom Treaty, which includes many practices of interest in nuclear accountancy and transfers between States.<sup>18</sup> Similarly, the Brazilian-Argentine Agency for Accounting and Control of Nuclear Materials (ABACC) implements and enforces the Common System for Accounting and Control of Nuclear Materials, the set of safeguard procedures for all the nuclear materials in Argentina and Brazil. The Quadripartite Agreement between ABACC, IAEA and the two national nuclear authorities, along with ABACC bilateral agreements with IAEA, Euratom, the Republic of Korea Institute of Nuclear Non-proliferation and Control and the Agency for the Prohibition of Nuclear Weapons in Latin America and the Caribbean (OPANAL) and their associated documents, provide useful examples of information-sharing and cooperation and for accounting for and control of nuclear materials.<sup>19</sup>

19. The Chemical Weapons Convention is the basic international legal framework for accounting for, securing and physical protection of materials related to chemical weapons. OPCW has established on its website a legislation database that provides examples of legislation enacted by States parties to implement the Convention, along with examples of model legislation and explanatory documentation. It has

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<sup>16</sup> Earlier IAEA documents include: *Technical and Functional Specifications for Border Monitoring Equipment* (available on request only), *Nuclear Forensics Support*, *Monitoring for Radioactive Material in International Mail Transported by Public Postal Operators*, *Engineering Safety Aspects of the Protection of Nuclear Power Plants against Sabotage* and *Identification of Radioactive Sources and Devices*.

<sup>17</sup> See, in particular, the IAEA safety standards series.

<sup>18</sup> See [http://europa.eu/legislation\\_summaries/energy/nuclear\\_energy/index\\_en.htm](http://europa.eu/legislation_summaries/energy/nuclear_energy/index_en.htm).

<sup>19</sup> See [http://www.abacc.org.br/?page\\_id=142&lang=en](http://www.abacc.org.br/?page_id=142&lang=en).

also elaborated an implementation kit, the provisions of which could serve as illustration of how legal mechanisms on the national level can implement requirements derived from the Convention. In addition, it has developed a *Handbook on Chemicals* to facilitate the efforts of national authorities, customs authorities and industry to identify individual chemicals covered by the Convention. It incorporates information on all 1,329 scheduled chemicals and riot control agents declared to the Technical Secretariat from 1997 until February 2009. OPCW also works closely with the global chemical industry on safety and security issues, which extends to the Responsible Care® Initiative of the International Council of Chemical Associations.<sup>20</sup>

20. Since 2008, OPCW has focused more on chemical plant security. It has received funding for a project to study safety and security at chemical plants, especially in relation to OPCW efforts to function as a platform for sharing experience and promoting awareness of best practices in chemical safety and security.<sup>21</sup>

21. Some materials produced under the auspices of the United Nations Environment Programme (UNEP) programme on awareness and preparedness for emergencies on a local level (APELL) apply to the security of chemical facilities, which relates to the implementation of resolution 1540 (2004). Some of its publications have a direct relationship with the obligations of the resolution, such as *Storage of Hazardous Materials: A Technical Guide for Safe Warehousing of Hazardous Materials* (Technical Report Series No. 3). The Food and Agriculture Organization of the United Nations (FAO) also addresses some issues concerning chemicals, primarily pesticides, such as in its *International Code of Conduct on the Distribution and Use of Pesticides* (revised version).

22. The World Health Organization (WHO) also has a role in developing standards related to the safety and security of chemical weapons-related materials. The WHO *Manual for the Public Health Management of Chemical Incidents* (2009) indicates that the revised International Health Regulations (2005), which came into force in 2007, create a framework for strengthening the capacity of States to detect, assess, notify and respond to public health threats, including those involving chemicals.<sup>22</sup> The manual specifically covers terrorist attacks using chemical (and biological) weapons. WHO recognizes that the prevention and mitigation of such attacks will require a multidisciplinary approach.

23. Other conventions, such as the International Labour Organization (ILO) Convention No. 174 (1993) on the Prevention of Major Industrial Accidents, the United Nations *Recommendations on the Transport of Dangerous Goods and the Globally Harmonized System for Classification and Labelling of Chemicals (GHS)*, also relate, if less directly, to the implementation of the resolution. The UNEP *Flexible Framework for addressing Chemical Accident Prevention and Preparedness* and the *Guiding Principles for Chemical Accident Prevention, Preparedness and Response* of the Organization for Economic Cooperation and Development (OECD)

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<sup>20</sup> See <http://www.icca-chem.org/en/Home/Responsible-care/>. This programme requires national councils in the participating countries to produce codes and guidance to industry, share information and verify compliance, all of which appear relevant to the implementation of resolution 1540 (2004).

<sup>21</sup> OPCW annual report 2010.

<sup>22</sup> Section 2 on prevention concerning security and physical protection of facilities, available at [www.who.int/environmental\\_health\\_emergencies/publications/Manual\\_Chemical\\_Incidents/en/index.html](http://www.who.int/environmental_health_emergencies/publications/Manual_Chemical_Incidents/en/index.html).

also offer useful guidance. For example, the Guiding Principles indicate that restricted access to hazardous chemicals and the drawing up of contingency plans with local security forces be considered general rules to help prevent a deliberate chemical release.

24. States have tabled papers on improving the standards for biological accountancy, security and physical protection in the context of implementing the Biological Weapons Convention. Several key international organizations have begun to develop guidance on topics relevant to the implementation of paragraph 3 (a) and (b) of resolution 1540 (2004). The implementation support unit of the Biological Weapons Convention has contributed to the identification of possible practices of interest by posting on its website laws, decrees and regulations.<sup>23</sup>

25. WHO also has a role in developing standards related to the safety and security of biological materials. It has released the third edition of its *Laboratory Biosafety Manual*, which includes guidance on laboratory biosecurity and regulations for the transport of infectious substances. A chemical and biological weapons working group was established at WHO to better share information, activities and experience. The objective of the working group is to promote a coherent approach and to foster collaboration and coordination among the various sections of WHO which are implementing activities in response to resolution WHA55.16 of 18 May 2002 on the global public health response to natural occurrence, accidental release or deliberate use of biological and chemical agents or radio-nuclear materials that affect health. The second edition of the working group publication, *Health Response to Biological and Chemical Weapons: WHO Guidance* (2004), includes information designed to guide preparedness for and response to the deliberate use of biological and chemical agents that affect health. Furthermore, after 2008 WHO issued an update to the 2002 original guidelines *Terrorist Threats to Food — Guidelines for Establishing and Strengthening Prevention and Response Systems*.<sup>24</sup>

26. The World Organization for Animal Health (OIE) produces a number of codes, guides and manuals to help States detect and prevent the spread of aquatic and terrestrial animal diseases, including many related to biological weapons. OIE assesses gaps in legislation and the capacity of its member States to adhere to these codes and provides assistance in developing appropriate legislation. With its 187 reference laboratories that cover 100 animal and aquatic diseases and alert systems, it can reach all its members and the public rapidly with appropriate information.

27. The diverse organizations in this field usually build on partnerships between WHO, FAO and OIE. In 2006, for example, this organizational troika established the Global Early Warning and Response System for Major Animal Diseases including Zoonoses (GLEWS), to complement the WHO Global Outreach Alert Response Network (GOARN). The GLEWS Disease Priority List includes many biological weapons-related diseases, such as anthrax, ebola, Marburg virus, Japanese encephalitis, Crimean-Congo hemorrhagic fever, Rift Valley fever, Q fever and tularaemia, among others. GLEWS includes detection and tracking of the deliberate use of such agents and breaches of biocontainment as within its mandate, making it pertinent to implementation of the resolution.

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<sup>23</sup> See [www.unog.ch/80256EE600585943/\(httpPages\)/855B57E1A5D7D60CC12573A6005334F3?OpenDocument](http://www.unog.ch/80256EE600585943/(httpPages)/855B57E1A5D7D60CC12573A6005334F3?OpenDocument).

<sup>24</sup> See [www.who.int/foodsafety/publications/general/en/terrorist.pdf](http://www.who.int/foodsafety/publications/general/en/terrorist.pdf).



**Paragraph 3 (a) and (b): transportation**

28. The International Maritime Organization (IMO) plays an important role in establishing practices that are of interest to securing transportation of items related to nuclear, chemical and biological weapons. In 2006, the Maritime Safety Committee of IMO issued its *Revised Recommendations on the Safe Transport of Dangerous Cargoes and Related Activities in Port Areas* to match its security provisions with amendments to the International Maritime Dangerous Goods (IMDG) Code and the International Ship and Port Facility Security (ISPS) Code. Part A of the ISPS Code became mandatory in 2004.

29. The two 2005 Protocols to the Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation and the 1988 Protocol to the Convention for the Suppression of Unlawful Acts against the Safety of Fixed Platforms Located on the Continental Shelf, which came into force in July 2010, consider the transport of weapons of mass destruction or related materials to support illicit activities as an offence. IMO has begun work on developing standards and guidance for its members in implementing the protocols.

30. Annex 18 to the Convention on International Civil Aviation covers the safe transport of dangerous goods by air and includes a requirement that such transport follow the *Technical Instructions for the Safe Transport of Dangerous Goods by Air*. The Technical Instructions incorporate a classification system and a list of dangerous goods and procedures for packaging, handling, inspection, notifications relating to such goods, and enforcement and other measures that reflect the recommendations of the Dangerous Goods Panel of ICAO.<sup>25</sup> The International Air Transport Association (IATA) participates in the development of the ICAO Technical Instructions and has its own task force for training personnel on transporting dangerous goods.<sup>26</sup>

31. As with maritime transport, the fundamental international legal framework has changed since 2008 to address the issues of non-proliferation. In September 2010, ICAO adopted the Convention on the Suppression of Unlawful Acts Relating to International Civil Aviation (Beijing Convention) to update the 1971 Convention for the Suppression of Unlawful Acts against the Safety of Civil Aviation. Among other things, this Convention uses some of the same provisions as the protocols to the Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation to oblige States to cooperate in prosecution of those who contribute to proliferation through illegal transport of nuclear, chemical, biological and radiological material and equipment, provided that the transports are unlawful. As of 24 April 2011, the Convention had 21 signatures.<sup>27</sup>

32. Supranational, regional and subregional bodies also continue to prepare important documents related to implementation of resolution 1540 (2004). In 2009, the European Union adopted a chemical, biological, radiological or nuclear (CBRN) action plan, which aims to develop an all-hazard approach to reduce the threat of and damage from CBRN incidents of accidental, natural or intentional origin, including acts of terrorism. The implementation of this action plan started in 2010 and will be supported by a CBRN advisory group consisting of experts from Member

<sup>25</sup> See [www.icao.int/anb/FLS/DangerousGoods](http://www.icao.int/anb/FLS/DangerousGoods).

<sup>26</sup> IATA also has its own annual *Dangerous Goods Regulations Manual* and a *Dangerous Goods Regulations e-List*, [www.iata.org/workgroups/dgb.htm](http://www.iata.org/workgroups/dgb.htm).

<sup>27</sup> See [www2.icao.int/en/leb/List%20of%20Parties/Beijing\\_Conv\\_EN.pdf](http://www2.icao.int/en/leb/List%20of%20Parties/Beijing_Conv_EN.pdf).

States. At the regional level, the United Nations Economic Commission for Europe (ECE) continues to produce important standards widely recognized at a global level. In 2009, for example, it issued the sixteenth edition of its *Recommendations on the Transport of Dangerous Goods: Model Regulations* with many of these recommendations covering dangerous goods of concern in the implementation of resolution 1540 (2004).<sup>28</sup> Similarly, ECE prompted the development of the European Agreement concerning the International Carriage of Dangerous Goods by Road (ADR), recently consolidated in document ECE/TRANS/185, volumes I and II, and the European Agreement concerning the International Carriage of Dangerous Goods by Inland Waterways (ADN), which came into force in February 2008.<sup>29</sup> ECE is working with the Intergovernmental Organization for International Carriage by Rail (OTIF) to harmonize ADR and ADN with the OTIF *Regulations Concerning the International Carriage of Dangerous Goods by Rail*.

**Paragraph 3 (c) and (d): experience shared and related projects regarding border and export controls for nuclear, chemical and biological weapons, their means of delivery and related materials**

33. In 2005, the Council of the World Customs Organization (WCO) adopted its Framework of Standards to Secure and Facilitate Global Trade (the WCO SAFE Framework of Standards) as a new and consolidated platform to enhance world trade, ensure better security and increase the contribution of customs and trade partners to the economic and social development of States. With its two pillars (customs-to-customs and customs-to-business) the SAFE Framework improves the ability of customs to detect and deal with high-risk consignments, including dual-use items, through controls along the international trade supply chain and facilitates international trade, inter alia, expediting the clearance and release of goods and other benefits to the authorized economic operator. Recognizing that effective capacity-building is an important element in ensuring adoption and implementation of the SAFE Framework, WCO has initiated the Columbus Programme to assist States in implementing the Framework effectively.

34. WCO intends to continue its development of best practices and guidelines and use its database on global seizures and analysis related to trade in advanced technology. Since 2003, the United Nations Office on Drugs and Crime and WCO have been working on the container control programme with the aim of enhancing port surveillance in developing countries to minimize the risk of maritime containers being exploited and used for transnational organized crime and other forms of fraudulent activity. WCO also hosted the first meeting of the Counter-Terrorism Implementation Task Force working group on border management in 2011, which intends to share best practices and which includes a focus on weapons of mass destruction.

35. Many States have reported the use of national control lists for items relating to weapons of mass destruction and their means of delivery, as well as control lists established under multilateral arrangements. States have also reported implementing aspects of resolution 1540 (2004) through measures adopted in the framework of the Zangger Committee (such as its multilateral nuclear supply principles and the

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<sup>28</sup> See [http://www.unece.org/trans/danger/publi/unrec/rev16/16files\\_e.html](http://www.unece.org/trans/danger/publi/unrec/rev16/16files_e.html).

<sup>29</sup> See [www.unece.org/trans/danger/publi/adr/adr\\_e.html](http://www.unece.org/trans/danger/publi/adr/adr_e.html) and [http://www.unece.org/trans/danger/publi/adn/adn\\_e.html](http://www.unece.org/trans/danger/publi/adn/adn_e.html).

trigger list of nuclear items of proliferation concern) and the Nuclear Suppliers Group (such as the guidelines for nuclear transfers and the guidelines for transfers of nuclear-related dual-use equipment, materials, software and related technology). These lists continue to be revised to meet the threat of proliferation more effectively, such as through the communication in June 2009 from the Chair of the Zangger Committee to the Director General of IAEA.<sup>30</sup> While not recognized by the Committee established pursuant to resolution 1540 (2004), many States also report their adherence to the lists and guidance produced by other multilateral entities. However, identifying the items on these lists remains a challenging task for most border officials and many States have requested a means of correlating tariff classifications — the domain of customs authorities — with that of dual-use items, which many licensing agencies use. Partially in response to this apparent need and these requests, the WCO secretariat has begun assisting the WCO Harmonized System Committee in considering the development of a correlation table that links the export control classification number (ECCN) of dual-use items to specific harmonized system (HS) codes.

36. Several regional bodies have also promoted sharing of experience related to export controls. In 2004, the Asia-Pacific Economic Cooperation (APEC) forum developed its “APEC key elements for effective export control systems” and followed up this document with its report of a survey on current practices related to the key elements in a 2006 meeting of its Counter-Terrorism Task Force. In 2007, members of the Eurasian Economic Community agreed on a mechanism to harmonize their export control systems and implement the agreement on a common order of export control. In addition, OSCE member States have started to prepare a best practices guide, including a chapter on border and export controls, for implementing resolution 1540 (2004).

37. The European Union has a community regime, adopted through Council regulation 428/2009, which entered into force in August 2009, setting up controls on exports, transfer, brokering and transit of dual-use items. EU guidelines for the implementation of the new regulation have been developed, a programme of peer visits has been launched in order to improve the exchange of good practices, an EU dual-use training programme has been created and a secure e-system is being finalized for the sharing of information among EU member States, including denials. For goods leaving the customs territory of the European Union or for goods in transit, the European Commission Taxation and Customs Union (DG TAXUD) guidelines for export procedures and exit formalities, which include safety and security data to be lodged electronically in advance with the export customs declaration systems of member States, became mandatory on 1 January 2011. The provision of this pre-declaration data contributes to risk assessments that could be used to combat illicit trafficking in materials related to nuclear, chemical and biological weapons.

38. In addition to the sharing of experience, the comprehensive review of the status of implementation of resolution 1540 (2004) has generated some lessons learned, such as the added value of:

- (a) Export control lists;
- (b) Regional workshops in facilitating regional experience sharing;

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<sup>30</sup> See [www.iaea.org/Publications/Documents/Infcircs/2009/infcirc209r2c1.pdf](http://www.iaea.org/Publications/Documents/Infcircs/2009/infcirc209r2c1.pdf).

(c) Assistance requests made through regional organizations, or jointly by States that are members of customs unions or free-trade zones;

(d) Integrating the implementation of the obligations of resolution 1540 (2004) with the pursuit of broader national objectives convergent with the resolution;

(e) Conducting regular general examinations of the existing requests for and offers of assistance that could lead to the development of more effective matching strategies, especially where it could promote the submission of first reports;

(f) State interaction with civil society, including through outreach to academia and industry, in implementing the resolution;

(g) Raising awareness among parliamentarians and other high-level decision makers of the obligations derived from the resolution;

(h) Creating more formal and informal cooperative arrangements with international, regional and subregional organizations and multilateral institutions to facilitate the sharing of information on good practices and lessons learned, especially in developing and implementing standards and assistance activity.

39. Regarding the last point, Austria, as coordinator of the Committee working group on cooperation convened a meeting in December 2010 of international, regional and subregional organizations and other bodies on cooperation in implementation of the resolution. This event also generated lessons learned, such as the following:

(a) More clearly connecting with the wider issues of development can facilitate States meeting the obligations of resolution 1540 (2004);

(b) Resolution 1540 (2004) exists within the context of many conventions, treaties, laws, regulations, standards and practices that were in place prior to its adoption. States might take into account how pre-existing or new instruments, for example the protocols to the Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation and the Beijing Convention, could contribute to a more coherent network to combat the threats identified in the resolution;

(c) The Committee sees that, although the structures may vary according to national conditions, most States recognize that implementing resolution 1540 (2004) requires a multidisciplinary approach. States have reported on the value of creating new, or adapting existing, intragovernmental processes for its implementation, especially where different dimensions of the resolution intersect;

(d) The diversity of relevant organizations means that several networks for sharing experiences, both formal and informal, exist. States and the Committee could use them, including a network of networks, to facilitate implementation. Even where sharing information poses difficulties, current mechanisms could be used for enhancing the sharing of experience;

(e) Engaging civil society in implementation of resolution 1540 (2004) remains an important yet difficult task for States. States seem willing to share experience in implementing their efforts, but often on an ad hoc basis. In this regard, the Committee is in a good position to facilitate sharing of experience by States in outreach to industry and the public, given its systematic collection of data in these areas;

(f) Although States are requesting assistance in implementing resolution 1540 (2004) and States and relevant international organizations or bodies are offering such assistance, considerable scope remains for sharing experiences on delivering and absorbing such assistance. The Committee has made progress in collating relevant offers of and requests for assistance, but in regard to resolution 1540 (2004), the sharing of lessons learned on how best to deliver or absorb assistance in implementing it is much less developed than in wider development assistance programmes.

## Annex XVII

### List of outreach activities as at 25 April 2011

**Seminars, workshops and conferences in which the Chair, members and/or experts of the Committee have participated with respect to resolution 1540 (2004)\***

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
<b>Organized by the Office for Disarmament Affairs</b>			
Workshop on implementing Security Council resolution 1540 (2004) for MERCOSUR States	Hosted by Brazil; funding from the European Union, Norway and the United States	24-28 November 2008	São Paulo
Workshop on implementing Security Council resolution 1540 (2004) for Arab States	Hosted by Qatar; funding from the European Union, Norway, the United Kingdom and the United States	8-11 March 2009	Doha
Workshop on implementing Security Council resolution 1540 (2004) for Pacific Island States	Hosted by Vanuatu; funding from the European Union, New Zealand and Norway	29 April-1 May 2009	Port-Vila
Workshop on implementing Security Council resolution 1540 (2004) for Central American States	Hosted by Costa Rica; funding from the European Union, Norway and the United States	8-10 September 2009	San José
Special session of civil society representatives: "Resolution 1540 (2004): at the crossroads" in conjunction with the meetings of the comprehensive review of the status of implementation of resolution 1540 (2004)	Sponsored by the Office for Disarmament Affairs and co-organized by the Stanley Foundation with a number of NGOs	1 October 2009	New York
Workshop on implementing Security Council resolution 1540 (2004) for African States	Hosted by Egypt; funding from the European Union, Norway and the United States	7-10 December 2009	Cairo
Workshop on implementing Security Council resolution 1540 (2004) for South-East European States and consultations with Croatian authorities on implementation of resolution 1540 (2004)	Hosted by Croatia; funding from the European Union, Norway and the United States	14-17, 18 June 2010	Split

\* For further information, see [www.un.org/sc/1540/outreachevents.shtml](http://www.un.org/sc/1540/outreachevents.shtml).

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
Workshop on implementing Security Council resolution 1540 (2004) for South-East Asian States	Hosted by Viet Nam; funding from the European Union, New Zealand, Norway and the United States	28 September-1 October 2010	Hanoi
<b>Different organizers</b>			
Legal workshop for small island developing States on the criminal law aspects of countering maritime terrorism in the light of relevant universal instruments	United Nations Office on Drugs and Crime/Terrorism Prevention Branch	12-17 July 2008	Vienna
Workshop on “appropriate effective” material control and accounting and physical protection	Global Initiative to Combat Nuclear Terrorism and National Nuclear Security Administration	17-19 July 2008	Nashville, United States
Biological Weapons Convention meeting of experts and meetings of States parties	Implementation support unit of the Biological Weapons Convention	18-22 August 2008	Geneva
Dialogue meetings of the United States National Academy of Science Committee on International Security and Arms Control (CISAC) and the National Institute of Advanced Studies (NIAS)	CISAC and NIAS	6-8 October 2008	Washington, D.C.
Counter-Terrorism Implementation Task Force (CTITF) retreat	CTITF	13 October 2008	New York
Meeting of the working group on terrorism financing and money-laundering	Financial Action Task Force secretariat	13-14 October 2008	Rio de Janeiro, Brazil
9th International Export Control Conference	Croatia and the United States	20-22 October 2008	Cavtat, Croatia
Joint committee meeting on amending the model counter-terrorism legislation of the Commonwealth of Independent States (CIS)	CIS Inter-Parliamentary Assembly	22-23 October 2008	St. Petersburg, Russian Federation
Conference on coordinating global and regional efforts to combat weapons of mass destruction terrorism	Ministry of Foreign Affairs of Italy with the Istituto Affari Internazionali	24 October 2008	Rome

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
Subregional workshop on the preparation of responses by the East and North African countries	United Nations Office on Drugs and Crime/Terrorism Prevention Branch, jointly with the 1540 Committee experts, the 1267 Committee monitoring team and the Counter-Terrorism Committee Executive Directorate (CTED)	11-13 November 2008	Nairobi
Regional workshop on the new international instruments against terrorism	United Nations Office on Drugs and Crime/Terrorism Prevention Branch, in cooperation with League of Arab States	18-20 November 2008	Cairo
7th United Nations — Republic of Korea joint conference on disarmament and non-proliferation	Republic of Korea and the Office for Disarmament Affairs	24-26 November 2008	Jeju, Republic of Korea
National workshop on criminal law aspects of countering nuclear, chemical and biological terrorism in the light of relevant universal instruments	Turkmenistan and United Nations Office on Drugs and Crime/Terrorism Prevention Branch	25-26 November 2008	Ashgabat
Workshop on capacity-building for national authorities established under the Chemical Weapons Convention	French Presidency of the European Union, in cooperation with the Technical Secretariat of OPCW	1 December 2008	The Hague
Resolution 1540 (2004) planning workshop	United States and Sandia National Laboratories, in cooperation with the United States resolution 1540 (2004) coordinator	2 December 2008	Albuquerque, United States
Meeting on support for implementation at the hemispheric level of resolution 1540 (2004)	Committee on Hemispheric Security of the Organization of American States (OAS)	4 December 2008	Washington, D.C.
OSCE meeting of the Forum for Security Cooperation	OSCE	10 December 2008	Vienna
Conference on nuclear non-proliferation at the crossroads	Wilton Park Conference	15-19 December 2008	Sussex, United Kingdom
National workshop on implementation of Security Council resolution 1540 (2004)	United States Department of State and James Martin Center for Nonproliferation Studies	10-11 February 2009	Tashkent



<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
Ministerial conference on security, drug trafficking, transnational organized crime and terrorism as challenges to development in the Caribbean	Dominican Republic and United Nations Office on Drugs and Crime/Terrorism Prevention Branch	17-20 February 2009	Santo Domingo
International workshop on implementation of resolution 1540 (2004) at the national level: promotion of best practices and policy and technical coordination and cooperation	The Netherlands Institute of International Relations "Clingendael" and the Verification Research, Training and Information Centre	26-27 March 2009	The Hague
International symposium on nuclear security	IAEA	30 March-3 April 2009	Vienna
Combined Joint Operations from the Sea Centre of Excellence (CJOS COE) maritime security conference preceded by maritime security operations concept workshop	CJOS COE	30 March-2 April 2009	Sorrento, Italy
Subregional workshop on the domestic legal implications of Security Council resolutions and financial sanctions against terrorism for Central and South-Eastern Europe	United Nations Office on Drugs and Crime with the support of OSCE	1-2 April 2009	Bucharest
Seminar entitled "Weapons of mass destruction: can the UN build momentum for disarmament and non-proliferation?"	International Peace Institute	3 April 2009	Rye Brook, United States
Workshop on the Chemical Weapons Convention and the Biological Weapons Convention and their contribution to the non-proliferation of weapons of mass destruction	Croatia and OPCW	4-5 April 2009	Cavtat, Croatia
Financial Action Task Force (FATF) proliferation financing meeting	FATF	15-16 April 2009	London
Workshop on the universality of the Chemical Weapons Convention in the Mediterranean Basin and the Middle East region	Turkey and OPCW	16-17 April 2009	Istanbul
Workshop on radiological material security and safety in the Pacific	New Zealand	28 April 2009	Port-Vila

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
11th Oceania Customs Organisation annual conference of customs heads	Oceania Customs Organisation	4-8 May 2009	Port-Vila
Discussion events on resolution 1540 (2004) and current policy direction	Stanley Foundation in collaboration with the Henry L. Stimson Center	7 May 2009	Washington, D.C.
Subregional workshop on counter-terrorism, legislative initiatives and international cooperation and meeting of the Pacific working group on counter-terrorism	Pacific Islands Forum secretariat (PIFS) in coordination with United Nations Office on Drugs and Crime/Terrorism Prevention Branch and co-chaired by PIFS and the Government of New Zealand	1-2, 3 June 2009	Suva
Regional workshop on nuclear terrorism	Argentina and United Nations Office on Drugs and Crime/Terrorism Prevention Branch	2-4 June 2009	Buenos Aires
Conference entitled "Making the difference: strengthening capacities to respond to crises and security threats"	European Commission	3-4 June 2009	Brussels
Domestic export controls and maritime security workshop in support of the implementation of resolution 1540 (2004)	Henry L. Stimson Center, hosted by OAS and the Caribbean Community (CARICOM) and sponsored by Canada and the United States	15-17 June 2009	Kingston
8th meeting of heads of special services, security agencies and law enforcement organizations	Russian Federation Federal Security Service	23-25 June 2009	Irkutsk, Russian Federation
Regional workshop on the implementation of resolution 1540 (2004) in South Asia	Sri Lanka and the United States in cooperation with the Office for Disarmament Affairs	23-25 June 2009	Colombo
10th International Export Control Conference	Turkey and the United States	25-27 June 2009	Istanbul
Subregional workshop on the preparation of responses by the Middle Eastern countries to the Security Council Committees dealing with counter-terrorism	United Nations Office on Drugs and Crime/Terrorism Prevention Branch	28-30 June 2009	Abu Dhabi
ASEAN Regional Forum intersessional meeting on non-proliferation and disarmament	China, Singapore and the United States	1-3 July 2009	Beijing

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
Subregional workshop on the preparation of responses to the Committees	United Nations Office on Drugs and Crime/Terrorism Prevention Branch in cooperation with the Committee experts, the 1267 Committee monitoring team and CTED	7-9 July 2009	Basseterre, Saint Kitts and Nevis
FATF proliferation financing project team meeting	FATF	10-11 September 2009	Geneva
Legal-regulatory seminar on international trade and global security	Chile and the Center for International Trade and Security at the University of Georgia (CITS/UGA), sponsored by the United States Department of State Export Control and Related Border Security (EXBS) Program	23-25 September 2009	Santiago and Valparaiso
Workshop on a comprehensive approach to combating illicit trafficking	Institute for Foreign Policy Analysis and the Geneva Centre for Security Policy, in cooperation with the Swiss Federal Department of Foreign Affairs and NATO	28-29 September 2009	Geneva
Seminar on resolution 1540 (2004) in the Gulf region: challenges for the future	Fondation pour la recherche strategique and the Emirates Center for Strategic Studies and Research, with the support of France	5-6 October 2009	Abu Dhabi
International workshop of national counter-terrorism focal points focused on better linking national and global counter-terrorism efforts	Austria, Norway, Switzerland, Turkey and the United Nations Office on Drugs and Crime, co-sponsored by Costa Rica, Japan and Slovakia, in cooperation with CTITF and CTED	12-13 October 2009	Vienna
CTITF retreat	CTITF	13-15 October 2009	Vienna
Arab regional workshop on "Measures to prevent terrorists from acquiring weapons of mass destruction"	League of Arab States	20-21 October 2009	Cairo

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
Exercise “161 Fahrenheit”, a discussion-based table-top exercise, simulated scenario of a biological attack	OAS Inter-American Committee against Terrorism secretariat, in collaboration with Mexico	12-14 November 2009	Cancun
Workshop for Central Asian States on non-proliferation and international legal cooperation against biological, chemical and nuclear terrorism	United Nations Office on Drugs and Crime/Terrorism Prevention Branch and OSCE, jointly with the United Nations Centre for Preventive Diplomacy for Central Asia	1-3 December 2009	Ashgabat
Round-table dialogue on controlling and securing nuclear materials: multilateral approach	Stanley Foundation	2 December 2009	Washington, D.C.
Policy dialogue on building global capacity for preventing transnational proliferation of weapons of mass destruction: ongoing efforts under the mandate of resolution 1540 (2004)	Stanley Foundation	9 December 2009	Washington, D.C.
Thematic meeting of CIS experts on implementation of resolution 1540 (2004)	Ministry of Foreign Affairs of the Russian Federation and the Executive Council of CIS	15-16 December 2009	Moscow
Workshop on strategic trade control for Algerian Government officials	United States Department of State EXBS Program and CITS/UGA	25-29 January 2010	Washington, D.C.
Workshop on legal framework for strengthening nuclear security and combating nuclear terrorism	CITS/UGA and the Institute of World Economy and International Relations of the Russian Academy of Sciences with the NATO Science for Peace and Security Program, Swedish Radiation Safety Authority and the Nuclear Threat Initiative	28-29 January 2010	Vienna
Fourth annual workshop on reducing the risk from nuclear and radioactive materials	Institute of Nuclear Materials Management and the United States National Nuclear Security Administration, Office of Nonproliferation and International Security	2-3 February 2010	Arlington, United States

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
Africa regional workshop for biosafety and biosecurity	Kenya and the United States, in cooperation with the 1540 Committee and the Office for Disarmament Affairs	2-5 February 2010	Nairobi
Meeting on preparations for the Nuclear Security Summit	United States National Security Council	9-11 February 2010	The Hague
Meeting on support for implementation at the hemispheric level of resolution 1540 (2004)	OAS Committee on Hemispheric Security	18 February 2010	Washington, D.C.
CTITF Retreat	CTITF	24-26 February 2010	Long Island, United States
29th Session of the Enforcement Committee of WCO	WCO secretariat	2-5 March 2010	Brussels
Conference on nuclear energy, disarmament and non-proliferation	Centre for Energy and Security Studies, Moscow with 10 co-sponsors	4-6 March 2010	Moscow
Crisis management exercise "bioshield" for Caribbean States	Trinidad and Tobago and OAS Inter-American Committee against Terrorism	10-12 March 2010	Port of Spain
10th Export Control Academy	United States Department of State EXBS Program and CITS/UGA	16 March 2010	Athens, Georgia, United States
Workshop on nuclear detection architecture	United States Department of Homeland Security, Domestic Nuclear Detection Office	23-25 March 2010	Garmisch-Partenkirchen, Germany
Workshop on international response and mitigation of a terrorist attack using nuclear and radiological weapons or materials	CTITF working group on weapons of mass destruction and IAEA	29-31 March 2010	Vienna
Workshop on responding to resolution 1540 (2004) with development and capacity-building assistance in Central America	Stanley Foundation and the Stimson Center with the secretariat of the Central American Integration System and OAS	5 May 2010	Panama City

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
Regional workshop on legal responses to fight against international terrorism	United Nations Office on Drugs and Crime/Terrorism Prevention Branch, in coordination with the Regional Office for the Middle East and North Africa, in cooperation with the Organization of Islamic Cooperation (OIC)	25-26 May 2010	Jeddah, Saudi Arabia
Subregional workshop on the implementation of Security Council resolution 1373 (2001) and other related counter-terrorism measures for representatives of the Democratic People's Republic of Korea, Lao People's Democratic Republic, Mongolia and Myanmar	CTED in cooperation with United Nations Office on Drugs and Crime/Terrorism Prevention Branch	26-28 May 2010	Ulan Bator
Meetings of the Pacific working group on counter-terrorism and Forum Regional Security Committee	Co-chaired by PIFS and New Zealand	2-4 June 2010	Suva
Seminar on OPCW contribution to the international security dimension: achievements and challenges	Germany and OPCW, with the European Union	7-8 June 2010	Berlin
11th International Export Conference	United States, Ukraine and the European Union	8-10 June 2010	Kiev
Briefing to Moroccan Justice Ministry officials attending a training programme on legal aspects of combating terrorism	United States Defense Institute of International Legal Studies	30 June 2010	New York
CTITF retreat	CTITF	7-9 July 2010	Long Island, United States
United Nations Institute for Disarmament Research (UNIDIR) seminar on the theme of illicit brokering of weapons of mass destruction and related materials	UNIDIR	5 October 2010	New York
Regional workshop on nuclear law relevant to nuclear security for African countries	IAEA	11-13 October 2010	Vienna

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
G-8 Global Partnership working group meeting and G-8 1540 experts group meeting	G-8 Presidency — Canada	19-20 October 2010	Vancouver
G-8 Non-proliferation Directors Group meeting	G-8 Presidency — Canada	20-21 October 2010	Vancouver
Regional workshop on national implementation of the Biological Weapons Convention for West and Central Africa and consultations with Nigerian authorities on implementation of resolution 1540 (2004)	European Union and Nigeria (National Authority on the Chemical Weapons Convention and Biological Weapons Convention)	25-27 October 2010	Abuja
Panel discussion “Resolution 1540 implementation in the Americas: a model for success”	Permanent Mission of Finland to the United Nations in collaboration with the Stimson Center and the Stanley Foundation	28 October 2010	New York
Facilitation event for resolution 1540 (2004)	United States in cooperation with Peru	9-11 November 2010	Lima
Workshop on the OPCW table-top exercise on the preparedness of States parties to prevent terrorist attacks involving chemicals	Poland and OPCW	22-23 November 2010	Warsaw
Conference on disarmament and non-proliferation issues	Republic of Korea and the Office of Disarmament Affairs	2-3 December 2010	Jeju
Regional workshop on resolution 1540 (2004): preventing terrorists from gaining access to weapons of mass destruction	Saudi Arabia	11-12 December 2010	Riyadh
Nuclear security coordination meeting	IAEA	14 December 2010	Vienna
Meeting of international, regional and subregional organizations on cooperation in promoting the implementation of resolution 1540 (2004)	Austria, in cooperation with the Office for Disarmament Affairs	15-16 December 2010	Vienna
First meeting of CTITF working group on border management	CTITF and WCO	11-12 January 2011	Brussels

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
Special event on building global capacity to prevent the proliferation of weapons of mass destruction	United States Department of State, Bureau of International Security and Nonproliferation, in cooperation with the Bureau of Public Affairs	12 January 2011	Washington, D.C.
OSCE workshop on facilitation of implementation of resolution 1540	OSCE in cooperation with the Office for Disarmament Affairs	27-28 January 2011	Vienna
Seminar on the international aspects of Arms Trade Treaty implementation: exploring key issues	Ministry of Foreign Affairs of Finland and Saferworld	8-9 February 2011	Helsinki
18th Asian export control seminar	Center for Information on Security Trade Control (CISTEC) and Japan	15-17 February 2011	Tokyo
Meeting on support for implementation at the hemispheric level of resolution 1540 (2004)	OAS Committee on Hemispheric Security	17 February 2011	Washington, D.C.
Meeting of FATF working group on terrorism financing and money-laundering	FATF	21-22 February 2011	Paris
Global transshipment seminar	United States Department of State EXBS Program and the United Arab Emirates	7-9 March 2011	Dubai
9th CICTE national points of contact meeting	OAS/CICTE	18 March 2011	Washington, D.C.
Expert meeting on implementing the United Nations Global Counter-Terrorism Strategy in Central Asia	CTITF, European Union and the United Nations Regional Centre for Preventive Diplomacy for Central Asia	29-30 March 2011	Dushanbe
Seminar on combating weapons of mass destruction and terrorism	George C. Marshall European Center for Security Studies	11 April 2011	Garmisch-Partenkirchen, Germany
Seminar on OPCW contribution to the security and non-proliferation of chemical weapons	OPCW	11-12 April 2011	The Hague
Workshop on the implementation of resolution 1540 (2004)	Azerbaijan and NATO (Euro-Atlantic Partnership Council)	12-13 April 2011	Baku