



安全理事会

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2011年9月12日安全理事会第1540(2004)号决议所设委员会主席给安  
全理事会主席的信

我代表安全理事会第1540(2004)号决议所设委员会并根据第1810(2008)号决议第8段, 谨此向安全理事会提交委员会关于通过落实第1540(2004)号决议各项规定遵守该决议的情况的报告。

请将本信连同该报告及其各附件提请安全理事会成员注意, 并作为安理会的文件分发为荷。

安全理事会第1540(2004)号决议  
所设委员会主席

巴索·桑库(签名)



## 安全理事会第 1540(2004)号决议所设委员会的报告

### 摘要

自 2008 年 7 月向联合国安全理事会提交报告以来，安全理事会第 1540(2004)号决议所设委员会协助各国采取措施防止非国家行为者获取核武器、化学武器和生物武器及其运载工具，并记录了这方面的积极趋势。委员会的上述工作为加强全球不扩散和反恐怖主义制度，也为各国更好地准备防止这些武器向非国家行为者扩散做出了贡献。例如，至少有 140 个国家采取了禁止核生化武器扩散的立法措施，而 2006 年则为 65 个。报告有关核材料制造和生产的国家法律框架的国家数目从 2006 年的 32 个增加到 2009 年的 71 个，到 2011 年已超过 120 个。自 2008 年以来，已有禁止制造、获取、储存、开发、转让或使用生物武器的法律框架的国家数目也大大增加。此外，也有更多国家报告说，它们的法律框架中包括禁止非国家行为者从事非法化学武器相关活动的规定。

委员会已成为国际不扩散领域的重要角色。委员会通过与会员国的广泛接触和对话(其中更多的是应国家邀请在国内开展的工作)，并通过与相关国际、区域和次区域组织以及其他联合国机构的合作，继续提高对第 1540(2004)号决议重要性的认识，并提高了委员会面向整个国际社会的透明度。委员会还继续与很多国家政府以及国际原子能机构、禁止化学武器组织和生物武器公约履约支助股等其他组织合作，以鼓励更广泛地执行决议。此外，自上次报告以来，为发挥其支持委员会工作的作用，裁军事务厅组织了七次区域合作讲习班，以提高认识并改善边境和出口管制、技术援助及区域合作。

自 2004 年以来，决议的执行情况持续改善，但委员会认识到，还需要开展很多工作，还存在相当严重的威胁。全面执行决议需要各国做出长期努力，采取适合本国情况的适当和有效措施，达到决议的所有要求，执行决议的所有建议。为此，安全理事会将委员会的任务期限延长了十年，并鼓励各国继续给予积极支持。此外，委员会还建议，委员会、各国以及国际、区域和次区域组织应酌情与学术界、业界和民间社会合作，采取长期办法促进各国执行决议。

很多国家继续表示，它们履行第 1540(2004)号决议规定的义务需要援助。委员会为执行第 1540(2004)号决议所需的技术援助提供协调和便利，并建议在委员会专家支持下，通过援助模板、自愿行动计划、向委员会提交其他资料以及应国家邀请进行访问等途径，继续积极开展工作，使提供的援助与申请的援助相匹配。委员会认为，酌情将这些援助努力与相关的国家能力建设和发展方案相协调，可以更有效、更高效地利用目前有限的可用资源来执行决议。为此，委员会同区域

和次区域组织(例如欧盟)以及国际组织(例如 8 国集团)勾通,鼓励更多参与援助那些需要援助的国家。此外,为了加强委员会作为技术援助协调机构的作用,委员会还鼓励通过联合国全球和区域裁军信托基金给予财政捐助,以支持 1540 委员会的相关活动。

然而,从长远角度看,委员会认为,各国仍然迫切需要采取适当和有效措施,防止核生化武器及其运载工具向非国家行为者扩散。在这方面,委员会认为需要加强自身能力,以便协助和促进各国和整个国际社会分享经验教训和有效做法,使各国能够根据本国情况以最佳方式利用有限的资源。委员会也深知,恐怖分子、犯罪组织及其他非国家行为者会调整他们的战略和战术,设法逃避按照第 1540(2004)号决议的要求禁止和管制有关活动的法律和执法,因此,各国以及包括委员会在内的协助这项工作的各机构必须保持警惕,灵活应对新出现的扩散威胁或非国家行为者采用的新战术。为此,委员会建议,委员会应继续定期审查决议的执行情况,并继续通过以对话和分享信息为特点的透明与合作方式同各国及国际、区域和次区域组织合作;委员会还应经常提供机会,让非委员会成员国家和其他实体应委员会的要求向其表达意见。例如,为此目的,委员会将继续考虑金融行动工作组框架所提供的指导。

自 2004 年通过该决议以来,代表几乎所有联合国会员国(和非联合国会员国)的相关国际、区域和次区域组织均支持其成员国全面执行决议,并已开始将执行决议的实际步骤纳入其工作方案。委员会虽然建议继续开展外联活动,以促进对决议的理解,但也看到,委员会的工作应该日益侧重于通过实际方法和手段帮助会员国采取步骤执行决议。

## 1540 委员会 2011 年 4 月的报告草稿

### 一. 引言

1. 2008 年 4 月 25 日，安全理事会一致通过第 1810(2008)号决议，其中重申安理会第 1540(2004)和第 1673(2006)号决议，认可第 1540(2004)号决议所设委员会(下称“委员会”)已开展的工作，并将委员会的任务期限延长三年，至 2011 年 4 月 25 日。2011 年 4 月 20 日，安全理事会一致通过第 1977(2011)号决议，将委员会的任务期限延长十年。

2. 第 1810(2008)号决议第 10 段指出，1540 委员会应加紧努力，推动所有国家全面执行第 1540(2004)号决议；第 14 段指出，委员会应向安全理事会提交报告，说明以落实第 1540(2004)号决议各项规定的方式遵守该决议的情况。

3. 本报告是根据上述要求提交的，涵盖期为 2008 年 4 月 25 日至 2011 年 4 月 24 日。

### 二. 工作安排

4. 在决定延长委员会的任务期限之后，安全理事会 2008 年 1 月 3 日选举的哥斯达黎加大使豪尔赫·乌尔维纳继续担任委员会主席，副主席职务 2008 年由克罗地亚、印度尼西亚和大不列颠及北爱尔兰联合王国代表履行，2009 年由克罗地亚、墨西哥和联合王国代表履行。2010 年 1 月 31 日，安全理事会选举墨西哥大使克劳德·埃列尔担任委员会主席。联合王国继续担任副主席，黎巴嫩和土耳其取代克罗地亚和墨西哥担任副主席。

5. 2011 年 1 月 4 日，安全理事会选举南非大使巴索·桑库担任委员会主席，联合王国和黎巴嫩继续担任副主席，葡萄牙取代土耳其担任副主席。

6. 根据第 1673(2006)号决议第 4 段，委员会继续由专家予以协助。2008 年 12 月 18 日，秘书长通知安全理事会主席说，已任命三名专家填补八人专家组中的现有空缺。专家组目前的组成情况见附件一。

7. 联合国政治事务部一名高级政治事务干事在该部其他干事协助下，继续担任委员会秘书。联合国裁军事务厅(裁军厅)继续为委员会提供实务和后勤支持。

8. 自 2008 年 4 月延长任务期限以来，委员会举行了 21 次正式会议和 36 次非正式会议及若干次非正式协商。根据关于 2009 年全面审查安全理事会第 1540(2004)号决议实施情况的最后文件中提出的建议，委员会自 2010 年以来定期举行月会，包括委员会各工作组协调员关于各自工作领域的定期通报会，这些会议形成了更有序的工作方法，提高了总体成效和效率。定期召开会议已证明对于保持委员会工作的活跃性和有序性非常有效。

9. 自 2009 年 2 月 1 日启动第八个工作方案之后，委员会设立了四个工作组，分别负责：(a) 监察和国家执行；(b) 援助；(c) 与国际组织，包括与安全理事会 1267 委员会和 1373 委员会的合作；(d) 透明度和媒体宣传。各工作组举行了 36 次定期会议，审议有关各项决议执行情况、援助、合作和透明度的各种问题。各工作组在促进委员会的各项活动方面发挥了作用。

10. 2008 年 11 月 12 日、2009 年 5 月 26 日、2009 年 11 月 13 日、2010 年 5 月 11 日和 2010 年 11 月 15 日，委员会主席同安全理事会第 1373(2001)号决议所设委员会主席和安全理事会第 1267(1999)号决议所设委员会主席一道，继续在公开会议上向安全理事会通报了各委员会在履行任务方面取得的进展以及这些机构之间正在开展的合作情况。2009 年 12 月 14 日，即将离任的委员会主席豪尔赫·乌尔维纳大使向安全理事会通报了委员会在其任职期间的活动。2010 年 11 月 15 日，即将离任的委员会主席克劳德·埃列尔大使在联合通报会上报告情况后，向安全理事会通报了委员会在其任职期间的活动。

11. 根据第 1810(2008)号决议第 9 段，委员会通过了涵盖 2010 年 2 月 1 日至 2011 年 1 月 31 日期间的第九个工作方案，随委员会主席 2010 年 2 月 26 日的信函转交安全理事会。2011 年 1 月 26 日，委员会主席告知，第九个工作方案的涵盖期获准延长，包括 2011 年 2 月 1 日至 4 月 25 日期间。

12. 相关文件列于附件二。

### 三. 对执行情况的全面审查

13. 安全理事会第 1810(2008)号决议将委员会的任务期限延长至 2011 年 4 月 25 日，并请委员会考虑对第 1540(2004)号决议的执行情况进行一次全面审查(下称“全面审查”)。

14. 委员会主席在给安全理事会主席的一封信中报告说，委员会已同意进行全面审查，包括定于 2009 年 9 月 30 日至 10 月 2 日举行委员会公开会议，邀请所有联合国会员国以及相关的国际、区域和次区域组织出席。

15. 通过这一活动，委员会第一次为所有联合国会员国及国际、区域和次区域组织提供了一个就决议执行情况分享经验和表达观点的论坛。

16. 根据委员会提出的关于依照安全理事会第 1810(2008)号决议第 8 段考虑对决议执行情况进行全面审查的方式的报告，审查将涉及三个领域：评估各种风险和威胁的变化情况；解决具体的关键问题；找出执行决议的新的可能办法。

17. 审查采取专题办法，举行了关于各项具体要素的互动式会议，这些要素包括：

(a) 评估第 1540(2004)号决议的影响，包括通过该决议之后所采取措施的影响；

(b) 评估各国是否已采取从第 1540(2004) 号决议衍生的措施,包括针对违反出口管制法律规章的行为订立和执行适当的刑事或民事处罚;

(c) 对执行情况进行区域分析,列举一些国家和区域做法的实例并进行经验交流;

(d) 开发新的工具,例如处理援助请求的准则,并制定切实可行的办法来消除最常见的实施“差距”;

(e) 酌情评价国家执行措施对个人和适当程序标准的影响;

(f) 分析委员会的工作并找出提高其活动效力的可能办法;

(g) 根据 2006 年和 2008 年报告中收集的资料评估现有模板,特别是委员会的信息总库;

(h) 采取各种方法,提高与单个国家、国际、区域和次区域组织、出口管制多边安排以及联合国系统内相关实体开展合作的效力,并评估 1540 委员会与第 1267(1999) 号决议所设委员会和第 1373(2001) 号决议所设委员会的合作程度。

为筹备全面审查公开会议,委员会请其专家编写了有关上述各项要素的实质性背景文件。

18. 在全面审查过程中,各国表明,自通过第 1540(2004) 号决议以来,已作出重大努力执行第 1540(2004) 号决议,而且还会继续这样做。各国确认委员会的工作很有价值,指出必须作出长期执行规划,并讨论了执行工作依然面临的挑战。

19. 全面审查重点提出了一系列建议,供委员会在今后的工作和任务中考虑。这些建议主要涉及委员会在以下各方面的能力:收集关于决议执行情况的资料;加强委员会作为协调援助供求的信息交流中心的作用;与相关的国际、区域和次区域组织以及多边机构订立正式和非正式合作安排;促进分享有关良好做法和经验教训的信息,并协助制定和执行各项标准。全面审查建议,委员会在开展这些活动时,可以加强自身工作的规划性和经常性,酌情请一流专家参与;继续组织和参与外联活动,提高对决议各项要求的认识并促进各国执行决议;加大努力,解决未提交报告国家的问题,包括酌情向这些国家提供优先援助。

20. 各国欢迎委员会的合作和透明办法,确认这种办法是提高对话与合作程度的关键因素。各国建议委员会继续用这种办法开展工作,组织各种外联活动并加强委员会与所有联合国会员国的互动,包括适当举行公开会议。

21. 全面审查所产生的详尽建议载于全面审查的最后文件。<sup>1</sup>

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

#### 四. 提交报告与汇编资料

22. 2008年4月25日,安全理事会通过第1810(2008)号决议,重申其关于第1540(2004)号决议各项决定的要求,再次呼吁尚未就本国为执行该决议所采取或打算采取的步骤提交第一次报告的国家,不再拖延地向委员会提交此报告。委员会主席和委员会确认各国和国际或政府间团体或论坛,例如非洲联盟、欧洲联盟和八国集团为促进和协助未提交报告的国家提交第一次报告而作出的努力。

23. 第1810(2008)号决议鼓励各国自愿编拟行动计划概要,订立其执行第1540(2004)号决议各项重要规定的优先重点和计划,并向委员会提交这些计划。到目前为止,阿根廷、加拿大和美国已提交行动计划。

24. 2010年4月14日,委员会主席召集非正式协商,邀请当时尚未提交报告的所有28个国家参加,出席的国家有12个。主席鼓励未提交报告的国家提交第一次报告并告知委员会迟交的原因。他还提到,委员会可为编写第一次报告提供援助。

25. 值得注意的是,经委员会核准,已由专家编制所有未提交报告国家的汇总表,并送交这些国家审阅,以便利它们提交第一次报告。

26. 还鼓励各国提交详细资料,说明本国为全面执行第1540(2004)号决议已采取或打算采取的步骤,其中应酌情说明与其他会员国的合作行动以及为此制定的国家做法和其他措施。

27. 委员会自2008年提交其上一次报告以来,已收到以下13个国家的第一次报告:阿富汗、不丹、喀麦隆、科特迪瓦、多米尼加共和国、埃塞俄比亚、加蓬、马尔代夫、卢旺达、圣卢西亚、圣文森特和格林纳丁斯、苏丹、多哥。孟加拉国、加拿大、古巴、德国、印度、爱尔兰、芬兰、法国、巴基斯坦(两份增编)、葡萄牙、卡塔尔、罗马尼亚、沙特阿拉伯、塔吉克斯坦、乌干达和乌克兰向委员会提交了补充资料。

28. 共有168个国家提交了报告,其中105个国家提交了补充资料。有24个国家尚未向委员会提交第一次报告。2004年,欧洲联盟提交了一次报告,该报告将与欧盟成员国提交的国家报告一并审阅(见附件三)。<sup>2</sup>经委员会批准和各国同意后,这些报告将张贴在委员会的网站上。

#### 五. 第1540(2004)号决议规定的执行情况

29. 总体而言,委员会注意到2011年各国所采取措施的数量比2008年有所增加。例如,附件四以图形显示2011年与2008年在有多少联合国会员国在委员会汇总

<sup>2</sup> 委员会在审查第1540(2004)号决议执行情况时,考虑到了会员国的报告和汇总表。

表的多少个数据字段采取措施方面的比较情况。<sup>3</sup> 如图所示，已采取措施的数据字段不超过 30 个的国家数目从 63 个降至 21 个，其中 42 个国家目前已采取措施的数据字段多于 30 个。各国在这些数据字段采取措施的平均数从 2008 年的 93 项增至 2011 年的 128 项。下文说明第 1540(2004) 号决议各段所定义务履行情况的调查结果。

#### A. 第 1 段及相关事项

30. 在第 1540(2004) 号决议第 1 段中，安全理事会决定：“各国应不向企图发展、获取、制造、拥有、运输、转移或使用核生化武器及其运载工具的非国家行为者提供任何形式的支持”。根据委员会汇总表的数据，129 个国家已承诺不向非国家行为者的此类活动提供支持，2008 年有 105 个国家这样做。

31. 此外，安全理事会在第 1540(2004) 号决议第 8 段中，还呼吁各国促进普遍批准和全面执行其为缔约方的各项旨在防止核生化武器扩散的多边条约。

32. 安全理事会还决定，第 1540(2004) 号决议所定任何义务均不得解释为与《不扩散核武器条约》（《核不扩散条约》）、《禁止发展、生产、储备和使用化学武器及销毁此种武器的公约》（《化学武器公约》）以及《关于禁止发展、生产和储存细菌(生物)及毒素武器和销毁此种武器的公约》（《生物武器公约》）缔约国的权利和义务相抵触或对其加以改变，或改变国际原子能机构(原子能机构)或禁止化学武器组织的责任。

33. 截至 2011 年 4 月 1 日，联合国所有会员国均已成为至少一项与第 1540(2004) 号决议特别相关的国际或多边文书的缔约方(见附件十六)。

#### B. 第 2 段

34. 然而，决议第 2 段关于禁止核生化武器及其运载工具的各项规定并不一定均已载入现行的具体立法条文。即使一个国家承诺不拥有此类武器，所有国家仍有义务防止非国家行为者获取此类武器及其运载工具，而这可能需要进一步采取立法措施。一些国家的宪法包含一般性条款，将有关的国际不扩散条约义务设为自行生效的法律。这些国际文书主要针对国与国义务。第 1540(2004) 号决议的规定针对非国家行为者，通常需要采取具体的补充立法措施，尤其是处罚此类行为者参与被禁止活动的行为。许多国家的刑法注重处罚恐怖活动，或仅处罚第 1540(2004) 号决议规定各国禁止的某些活动。此外，此类刑法规定这些行为仅在具备恐怖意图的情况下才视为犯罪，而第 1540(2004) 号决议则不以恐怖意图为限。

<sup>3</sup> 图表所依据的是 1540 委员会汇编的资料，其中涉及 1540 委员会汇总表 382 个数据字段中与执行措施最直接相关的 313 个。这 313 个数据字段不包括所有标为“其他”的数据字段、涉及一般表述和条约状况的数据字段以及关于援助的数据字段。



35. 委员会通过执行第 1810(2008)号决议第 10 段，提高了各国在履行第 1540(2004)号决议第 2 和第 3 段所定各项义务“所有方面”过程中对上述要素的认识。2008 年，63 个国家报告其至少采取一项措施处罚非国家行为者参与被禁止活动的行为。相比之下，现在的数据显示 166 个国家采取了此类措施。在这方面，原子能机构、禁止化学武器组织和联合国毒品和犯罪问题办公室(禁毒办)等相关国际专门机构应其各自成员国请求提供有针对性的立法援助，是此类组织在促进执行第 1540(2004)号决议方面所作的重大贡献。相关国际专门组织设立的报告和透明度机制也是有意义的。

36. 2009 年全面审查确认各国为履行第 1540(2004)号决议的义务采取了许多措施，但指出了各国采取措施较少的一些领域，例如生物武器、运载工具、国家管制清单、获取相关材料以及资助被禁止的或非法的扩散活动。

37. 以下按核生化武器类型比较已采取措施履行第 1540(2004)号决议第 2 段前八项义务的联合国会员国数目(第 2 段其余义务的比较情况稍后提供)。显然，采取措施禁止化学武器的国家多于采取措施禁止核武器或化学武器的国家，针对与化学武器相关各类行为采取措施的国家数目均较多，仅运输一项例外。

表 1

就第 2 段义务采取(法律/执法)措施的国家数目比较情况<sup>4</sup>

义务	核武器	化学武器	生物武器
制造/生产	115/92	135/123	112/95
获取	112/88	138/121	112/95
拥有	80/95	101/116	72/87
储备/保存	52/57	134/103	103/70
发展	45/47	129/95	98/65
运输	59/84	50/76	52/69
转移	75/83	140/122	104/99
使用	105/112	150/140	115/121
运载工具	39/36	54/48	90/43
共犯	98/101	116/118	106/110
协助	102/101	140/125	115/110
资助	125/119	128/121	121/113

38. 以下各节介绍在三类武器及其运载工具和相关材料方面国家执行立法情况与 2008 年的差异。

<sup>4</sup> 各列数字显示已建立国家法律框架和采取执法措施的联合国会员国数目，数据来源为 1540 委员会核可的汇总表。

## 1. 核武器

39. 与 2008 年调查结果相比, 委员会的数据显示, 就第 1540(2004) 号决议关于核武器及其运载工具的规定实施国家立法的国家数目有所增加。例如, 现有 115 个国家设立禁止非国家行为者制造/生产核武器的国家法律框架, 2008 年此国家数为 97 个。现有 92 个国家规定处罚非国家行为者制造/生产核武器的行为, 2008 年这一数字为 76 个。在各类被禁止活动中, 处罚程度最高的仍然是非国家行为者使用、制造/生产及获取核武器。

40. 此外, 委员会还注意到, 许多国家仍有必要进一步努力执行在核武器方面对非国家行为者的禁止规定。

41. 附件六详列了各国执行与核武器相关禁止规定的情况。

## 2. 化学武器

42. 委员会发现, 135 个国家已通过禁止非国家行为者制造/生产化学武器的国家立法, 2008 年这一数字为 105 个。123 个国家已规定处罚非国家行为者制造/生产化学武器的行为, 2008 年这一数字为 96 个。

43. 在运输化学武器方面, 报告已采取适当措施的国家较少(50 个), 尽管仍多于 2008 年报告提到的 31 个国家, 但这方面仍需作出更大努力。

44. 此外, 委员会还注意到, 仍需进一步努力执行对非国家行为者的化学武器禁止规定。尽管如此, 委员会仍指出有 147 个国家在八项主要禁止规定方面至少采取了一项执法措施, 2008 年则为 96 个。

45. 附件七详列了各国执行与化学武器相关禁止规定的情况。

## 3. 生物武器

46. 根据 2011 年的数据, 委员会注意到, 112 个国家已建立禁止制造/生产生物武器的国家法律框架, 2008 年此国家数为 86 个。截至 2011 年 4 月 1 日, 95 个国家已针对制造/生产行为采取执法措施, 2008 年为 83 个。

47. 委员会注意到, 仍需进一步努力执行对非国家行为者的生物武器禁止规定。截至 2011 年 4 月 1 日, 133 个国家已针对制造、获取、拥有、储备、发展、转移、运输或使用行为采取执法措施, 2008 年报告中这一数字为 76 个。

48. 附件八详列了各国执行与生物武器相关禁止规定的情况。

## 4. 核生化武器运载工具

49. 委员会注意到, 仍需进一步努力执行对非国家行为者的核生化武器运载工具禁止规定。自 2008 年以来, 报告已采取措施执行第 1540(2004) 号决议关于运载工具规定的国家数目有所增加。就三个武器类别而言, 在执行核武器运载工具规

定方面有 39 个国家制定了框架立法，比 2008 年多 9 个国家；在化学武器方面有 54 个国家，比 2008 年多 8 个；在生物武器方面有 90 个国家，比 2008 年多 13 个。

50. 如附件九所示，执法措施的进展落后于基本立法禁令的进展；在生物武器运载工具方面，已采取执法措施国家从 2008 年的 45 个减至 43 个。在核武器运载工具方面，已采取措施国家数增至 37 个，即增加两个；在化学武器运载工具方面，此国家数增至 48 个，即增加三个。

#### 5. 作为共犯参与、协助或资助与核生化武器有关的违禁活动

51. 委员会注意到，分别有 99 和 103 个国家已采取措施，禁止作为共犯参与和协助与核武器有关的违禁活动，2008 年分别有 58 和 67 个国家(有 102 个国家已针对作为共犯参与此类行为采取执法措施，102 个国家已针对协助此类行为采取执法措施，2008 年分别有 72 和 74 个国家)。同样，分别有 116 和 140 个国家已采取立法措施，禁止作为共犯参与同化学武器相关的非法活动，2008 年分别有 69 和 97 个国家(目前分别有 119 和 125 个国家采取了相关的执法措施，2008 年分别有 84 和 88 个国家)。此外，还分别有 106 和 115 个国家已采取立法措施，禁止作为共犯参与同生物武器相关的此类非法活动(有 110 个国家制定了针对作为共犯参与违禁活动的处罚条例，110 个国家制定了针对协助违禁活动的处罚条例)，2008 年分别有 64 和 75 个国家采取了立法措施(并分别有 78 和 79 个国家针对作为共犯参与或协助违禁活动采取措施)。

52. 委员会发现，已对所有三类武器采取措施的国家数目于 2008 年报告的数字。许多国家利用现有的反恐立法处罚参与或协助从事核生化武器相关违禁活动的行为，特别是生物武器和核武器相关活动，还有一些国家则根据其作为《化学武器公约》缔约国承担的义务实行新的立法规定，包括禁止协助非国家行为者。许多国家通过宪法中的自行生效条款和批准程序，将《制止恐怖主义爆炸的国际公约》和《制止核恐怖主义行为公约》的禁止规定纳入其国内法律。

53. 委员会注意到，仍需进一步努力禁止资助扩散活动。委员会注意到，分别有 125、128 和 121 个国家已采取立法措施，禁止资助与核生化武器及其运载工具相关的违禁活动，2008 年分别有 66、71 和 64 个国家。在执法措施方面，截至 2010 年 12 月分别有 120、122 和 114 个国家采取此类措施，2008 年报告中此数字为 78、87 和 75 个。这证明了 2008 年注意到的采取此类措施国家快速增加的趋势。许多国家采用现行反恐怖主义和反洗钱执法立法，将资助与核生化武器及其运载工具相关的非法活动定为犯罪行为。许多国家通过宪法中的自行生效条款和批准程序，将《制止向恐怖主义提供资助的国际公约》的禁止规定纳入其国内法律。许多国家告知委员会，其已通过自愿参与金融行动工作队(反洗钱工作队)及其资助扩散分类项目，或通过参与反洗钱工作队类型的区域机构而采取措施。

### C. 第 3 段 (a) 和 (b)

54. 委员会注意到，自 2008 年报告提交以来，采取步骤制定和保持适当而有效的措施，以对核生化武器相关材料进行衡算、安全保障和实物保护的国家数目有所增多，如以下表 2 所示。

表 2

采取措施履行第 3 段 (a) 和 (b) 所定核生化武器相关材料衡算、安全保障和实物保护义务 (法律/执法) 的国家数目比较情况<sup>5</sup>

义务	核武器	化学武器	生物武器
<b>衡算</b>			
生产	164/73	97/89	61/62
使用	165/73	96/86	62/63
保存	165/71	97/92	61/61
运输	78/72	78/73	60/57
<b>安全保障</b>			
生产	81/72	74/69	60/62
使用	90/81	73/72	64/67
保存	89/80	81/78	68/72
运输	101/100	80/81	73/78
<b>实物保护</b>			
保护	74/61	53/45	46/35

以下各节介绍各国在三类武器相关材料的执行立法情况与 2008 年的差异。

#### 1. 核武器相关材料

55. 委员会注意到，自 2008 年报告提交以来，在对核武器相关材料进行衡算和安全保障方面据报采取的措施有所增加。委员会还注意到，在立法框架方面采取的措施多于执法措施。在核武器相关材料方面，至少有 164 个国家已就在生产、使用和/或储存过程中进行衡算采取法律框架措施，2008 年则有 154 个国家。截至 2011 年 4 月 1 日，至少有 71 个国家已在这些领域采取执法措施，2008 年有 49 个国家。关于在运输核武器相关材料过程中进行衡算，据报也有 78 个国家采取了措施，2008 年则有 58 个国家。

56. 据报已采取立法措施在核武器相关材料的生产、使用、储存和/或运输过程中保障安全的国家数分别为 81、90、89 和 101 个，2008 年为 62、72、73 和 91

<sup>5</sup> 各列数字显示已建立国家法律框架和采取执法措施的联合国会员国数，数据来源为 1540 委员会核可的汇总表。

个。截至 2011 年 4 月 1 日，已采取执法措施在生产、使用、保存和/或运输核武器相关材料过程中保障安全的国家数分别为 72、81、80 和 100 个，2008 年为 56、64、65 和 82 个。

57. 委员会注意到，在对核武器相关材料采取实物保护措施方面，有 74 个国家已采取立法措施，2008 年有 61 个国家；有 61 个国家已采取执法措施，2008 年有 48 个国家。

58. 委员会还注意到，据报有 53 个国家已在调查人员的可靠性方面采取立法或执法措施，2008 年有 36 个国家。

59. 执行部分第 3 段 (a) 和 (b) 中有关核武器相关材料的规定的国家执行情况，详见附件十。

## 2. 化学武器相关材料

60. 委员会发现，关于在生产、使用和/或保存化学武器相关材料过程中进行衡算，至少有 96 个国家已采取立法框架措施，2008 年有 64 个国家。截至 2011 年 4 月 1 日，至少有 86 个国家已在这些方面采取执法措施，2008 年有 52 个国家。关于在运输化学武器相关材料过程中进行衡算，据报也有 78 个国家已采取立法框架措施，有 73 个国家已采取执法措施，2008 年分别有 49 和 38 个国家。关于在生产、使用、保存、运输化学武器相关材料过程中保障安全，据报已采取立法框架措施的国家数分别为 74、73、81 和 80 个，2008 年为 60、62、69 和 69 个。关于在生产、使用、保存、运输化学武器相关材料过程中保障安全，已采取执法措施的国家数目分别为 69、72、78 和 81 个，2008 年为 45、49、56 和 65 个。

61. 委员会注意到，在对化学武器相关材料采取实物保护措施方面，有 53 个国家已建立法律框架，2008 年有 37 个国家。委员会注意到，截至 2011 年 4 月 1 日，有 45 个国家已采取执法措施，2008 年有 27 个国家。

62. 执行部分第 3 段 (a) 和 (b) 中有关化学武器相关材料的规定的国家执行情况，详见附件十一。

## 3. 生物武器相关材料

63. 委员会发现，关于在生产、使用和/或保存生物武器相关材料过程中进行衡算，至少有 61 个国家已采取立法框架措施，2008 年有 38 个国家。截至 2011 年 4 月 1 日，至少有 61 个国家已在这些方面采取执法措施，2008 年有 36 个国家。关于在运输生物武器相关材料过程中进行衡算，据报也有 60 个国家已采取立法框架措施，有 57 个国家已采取执法措施，2008 年分别有 39 和 35 个国家。关于在生物武器相关材料的生产、使用、储存、运输过程中保障安全，据报已采取立法框架措施的国家数目分别为 60、64、68 和 73 个，2008 年为 53、55、60 和 68 个。关于在生产、使用、储存、运输生物武器相关材料过程中保障安全，已采取

执法措施的国家数目分别为 62、67、72 和 78 个，2008 年为 44、43、50 和 69 个。

64. 委员会注意到，在向涉及学术、商业、工业或公共卫生允许的活动发给生物武器相关材料的使用、设施和实体许可证方面，有 75 个国家已采取立法措施，2008 年有 66 个国家；有 57 个国家已采取执法措施，2008 年有 46 个国家。此外，还有 47 个国家通过立法框架对涉及生物武器相关材料的遗传工程活动实行管制，2008 年报告提交时有 37 个国家。

65. 委员会注意到，采取措施对生物武器相关材料的运输进行实物保护的国家继续增加，有 46 个国家已采取立法措施，2008 年有 39 个国家；有 35 个国家已采取执法措施，2008 年有 25 个国家。虽然这可能表明各国对生物武器相关材料意外流出的潜在风险有了更深刻的认识，但委员会注意到，32 个国家已采取立法措施对从事感应材料工作的人员进行可靠性调查，2008 年有 25 个国家。

66. 自 2008 年报告提交以来，其汇总表显示为执行生物武器相关材料的衡算和安全保障措施制定刑事或行政处罚条例的国家的比例有所增加，但却仍然为数不多。

67. 执行部分第 3 段 (a) 和 (b) 中有关生物武器相关材料的规定的国家执行情况，详见附件十二。

#### D. 第 3 段 (c) 和 (d)

##### 1. 为防止核生化武器扩散而实行的边境管制

68. 由于第 1540 (2004) 号决议第 3 段 (c) 中规定的边境管制义务提出了有关边境和执法部门作用的重要问题，一些国家报告说，这些部门目前协助落实重要的国家政策，例如应对核生化武器扩散的威胁，包括向非国家行为者扩散的威胁。自 2008 年报告提交以来，各国日益采纳一体化边境管理政策，包括采纳应对现金运送人的程序。

69. 许多国家已通过以下步骤应对非国家行为者非法贩运核生化武器及其运载工具和相关材料的威胁：在装运物品前获取准确信息；建立风险评估系统，尤其是涉及终端用户管制的系统；与企业建立自愿安排，鼓励其遵守法规，并在必要时辅以立法和管制措施 (另见第 89 和 90 段)。委员会编制的汇总表列出了各国通过适当管制措施防止核生化武器相关物品跨境流动的立法和执法能力数据。委员会指出，分别有 163、166 和 167 个国家在核生化武器及其运载工具和相关材料的有关边境和/或海关管制方面建立了立法框架，2008 年则有 114、118 和 120 个国家。

70. 向边境当局提供技术支持对管制核生化武器相关材料的国际转移具有重要意义。根据汇总表的数据，委员会发现向边境当局提供检查设备、国家实验室和

国际数据库使用权、相关计算机软件等技术支持的国家数大幅度增加，即从 2008 年的 86 个国家增至 132 个国家。

**(a) 对中间商交易的管制**

71. 尽管执行部分第 3 段(c)特别提及“非法中间商交易”，但第 1540(2004)号决议让会员国自行确定“中间商交易”的定义。委员会发现，在核生化武器相关材料方面，分别有 74、78 和 76 个国家采取了立法措施，2008 年有 59、61 和 58 个国家。在执法措施方面，分别有 68、73 和 71 个国家采取了此类措施，2008 年有 50、48 和 47 个国家。

**(b) 对为贸易交易提供运输和金融服务的管制**

72. 委员会发现，自 2008 年以来，已采取措施禁止资助核生化武器及其运载工具和相关材料非法贸易交易的国家数从 29 个增至 49 个。各国对资助此类活动行使某种管制，主要是在反恐怖主义立法方面。在制止为此类非法交易提供运输服务方面，已采取措施的国家数多于 2008 年，但总体上仍不多。在运输服务方面，有 43 个国家建立了管控制度，2008 年则有 23 个国家。

**2. 出口管制**

73. 为执行第 1540(2004)号决议的规定，各国已更新了其立法框架和执法体系，以加强能力，防止非法贩运核生化武器及其运载工具和相关材料。对两用物项贸易的有效出口管制措施可以最大限度地降低这些物项被非国家行为者转用和非法购置的风险。

74. 在有些情况下，包括海关在内的不同行为体通过既定机构间协调机制参与了出口管制相关立法的实施和执行。此外，各国已作出努力，就违反出口管制法规的行为规定了适当和有效的制裁措施。就核生化这三类材料而言，已有 124、130 和 121 个国家分别通过了立法措施或强制执行措施，而在 2008 年报告中，这些数字分别为 76、77 和 71 个。有些国家报告了它们采用一种风险管理制度的情况，认为该制度是对相关材料进行管制的一种有效办法。

**(a) 许可证发放**

75. 两用货物和技术的管制还需要许可证发放部门与边境管理部门之间的密切合作，以对拟议的出口、过境、转运和转口作出一致和及时的风险评估，或是对商业交易进行监测。

76. 关于许可证发放程序的实施进程，一些国家正面临着创建“通信互操作性”的挑战，具备这种能力可通过许可证发放机构和海关部门所拥有的不同计算机信息系统追踪出口申报的情况。

77. 委员会注意到，自 2008 年以来，许多国家为落实核生化武器相关材料出口、过境、转运、转口和进口的许可证发放程序已采取了大量措施，包括设立了发放许可证的国家主管部门和政府内部的许可证审查流程。

78. 此外，委员会注意到，现有 90 个国家(2008 年为 76 个)报告说已对核武器相关材料实行了许可证规定，91 个国家(2008 年为 77 个)报告说已对化学武器相关材料实行了许可证规定，还有 87 个国家(2008 年为 71 个)报告说已对生物武器相关材料实行了许可证规定(附件十三至十五)。

**(b) 出口许可证之外与贸易交易其他方面有关的管制**

79. 作为许可证发放流程的一个重要方面，许多国家针对各种虽未专门规定、但却对核生化武器及其运载工具计划具有实质性帮助的物项实行了全面管制，依据是对这些货物、服务或技术的最终用户或可能的最终用途的关切。

80. 对这些国家而言，在不需要出口许可证、但出口商意识到申报出口的未列入清单的两用物项旨在被用于扩散时，出口商就必须通知许可证发放部门。如果当局通知出口商说有关物项将会或可能打算用于扩散目的，也适用一个类似的程序。委员会发现，有 73 个国家已采取步骤实行最终用户程序，有 61 个国家还有某种全面管制措施(详见附件十三至十五)，而 2008 年分别是 61 和 54 个国家。

**(c) 与运载工具有关的管制**

81. 决议第 3 段(c)项和(d)项论及的对运载工具和相关材料实行边境及出口管制的国家执行措施载于上文提及的附件九。对这三类武器实行了此种管制措施的国家数目如下：66 个国家设有框架立法(2008 年为 59 个)，51 个国家有民事或刑事处罚(2008 年为 40 个)。这些数字表明，这一义务的履行状况有所改善。

**E. 第 3 段(d)项和第 6 段**

**1. 管制清单**

82. 安全理事会在决议第 3 段(d)项和第 6 段中，都确认了在实施边境和出口管制方面使用国家管制清单的重要性。2008 年，分别有 69、80 和 67 个国家报告说就有关的核武器、化学武器或生物武器及相关材料制订了管制清单。相比之下，现有数据表明，制订了这种管制清单的国家现在分别为 79、85 和 72 个。

83. 各国报告说，它们认为，管制商品清单一旦制订，就必须不断定期更新。根据汇总表中的数据，委员会看到，有 63 个国家已更新其国家管制清单，而 2008 年是 51 个。

**2. 与技术有关的管制**

84. 目前越来越容易获得可用于扩散活动的技术，这对各国传统上以物项实际跨越国境流动为基础的出口管制制度构成了重大挑战。一些国家已相应调整了



它们早先的制度，实行了特殊政策和做法，以有效管理和执行对技术流动的管制。

85. 委员会遵循至少三项指标判断各国如何作出这种适应性调整：列入管制物项清单中的技术以及货物；它们管制制度所覆盖的技术无形转让的范围；对本国境内信息向外国国民流动(即视同出口)的管制。属于上述所有类别范畴的一种信息传输类型的一个例子是提供“制造”或“使用”核生化武器及其运载工具的培训或指导，包括以电子方式提供。委员会发现，有 73 个国家(2008 年为 62 个)在管制物项清单中列入了技术；有 66 个国家(2008 年报告中为 46 个)的管制制度中含有覆盖技术无形转让的措施；还有 47 个国家(2008 年为 18 个)流向外国国民的信息实行了管制措施。

86. 附件十三至十五提出了与执行部分第 3 段(c)项和(d)项有关的核生化相关材料方面的各国执行情况。

### 三. 面向工业界和公众的外联

87. 有效的外联方案有助于提高公司、商业业者、大学和研发中心对其自身责任的认知，包括在国家出口管制制度和处罚违反行为的法规下所承担的责任。不少国家在其报告中提到，外联也应该致力于推动内部合规的做法，其中包括对令人关切的最终用户和最终用途的业界检查。此外，一些国家还提到了有效内部出口管制制度的其他相关要素。

88. 与工业界的紧密关系可提高工业界对“了解你的客户”之必要性和对可疑采购行为的认识。这可能会使工业界代表把这方面的关切通知执法人员。一些国家表示，这种信息以及边境管制机构和海关机构应用的风险管理制度，已证明对于有效执行边境和出口管制至关重要，而且对于边境管制机构或海关机构应用的风险管理体系也是如此。

89. 委员会确认，与民间社会的互动，包括面向学术界和工业界的外联活动，有助于各国执行决议。关于各国已通过的与第 1540(2004)号决议有关的法律所产生的义务，委员会为开展宣传和制订适当办法与工业界及公众合作并向其传递信息提供了协助。委员会还鼓励各国推动与民间社会、学术界和工业界的对话及合作，以化解非法贩运核生化武器及其运载工具和相关材料所构成的威胁。

90. 委员会监测与民间社会、学术界和工业界互动的进展，并将这种进展反映在 1540 汇总表中。有 83 个国家(2008 年为 74 个)据报已作出了一些努力开展面向工业界的外联，还有 74 个国家(2008 年为 60 个)据报作出了同样的努力，告诉公众如何协助政府开展工作，防止核生化武器及其运载工具的扩散，并防止非国家行为者与相关材料有关的非法行动。

## 六. 信息交流和经验共享

91. 为分享经验而确定有实效和有效率的做法可以促进第 1540(2004)号决议的执行,提高各国所采取措施的质量,节省它们的资源,并能防止不必要的重复劳动。更有效的政策将吸引更大的国际支持,这对于大多数国家所需要的能力建设至关重要,而且更可能吸引到国内支持,而决议的执行有赖于这些支持。

92. 为便于交流经验,委员会已拟订了一份各国在执行第 1540(2004)号决议时可参考的相关实例清单。这套用作经验交流的做法载于附件十六。

93. 鉴于执行取决于各国在制订适当有效政策方面的国家酌处权,经验交流的作用会受到缺乏能力或资源等因素的限制。全面审查的结果充分表明,决议的执行仍在国家、区域和国际各级的不同条件下进行。在审查决议执行进程时据观察,一些国家在执行决议方面的条件比其他一些国家更为有利。

94. 自 2008 年报告以来,有若干相关公约或议定书获得通过或生效(见附件十六)。此外,一些国际机构还推出了至少 23 项与第 1540(2004)号决议有关的新标准、准则、导则或类似做法,也载于附件十六中。

95. 委员会强调,它并非认可附件十六所载资料,而是作为一种服务提供这些资料,以方便各国努力执行第 1540(2004)号决议。此外,该附件并不构成一套详尽的例子,委员会期待任何国家或政府间机构提出补充、修改或删除的建议。

96. 虽然附件十六列有与执行第 1540(2004)号决议有关的许多用于分享经验的相关例子,但它们并未涵盖见诸决议的每一项义务。不过,委员会可以报告说,若干国际、区域和次区域组织或机构已进一步参与了消除传统不扩散基础设施中所存在差距的努力。例如,禁止化学武器组织对化学设施的安全显示了越来越大的兴趣,而欧洲联盟和八国集团则越来越有兴趣考虑援助。委员会将继续协助这类工作,并帮助找出差距,促进新的努力。

## 七. 外联和对话

97. 安全理事会在第 1810(2008)号决议中决定,委员会应加紧努力,推动各国全面执行第 1540(2004)号决议,包括通过外联和对话的方式。下文所述外联活动涵盖了 2008 报告以来的时期。

98. 委员会致力于在各区域及联合国总部开展 4 大类外联活动:

(a) 裁军厅举办的关于执行第 1540(2004)号决议的区域和次区域研讨会和讲习班;

(b) 一些会员国赞助与委员会和裁军厅合作举办的专题讲习班,重点是第 1540(2004)号决议一些特定执行段落的落实;

(c) 由禁毒办赞助、与负责协助委员会、反恐怖主义委员会执行局和(关于基地组织和塔利班的)1267 委员会监察组的专家们联合举办的共同战略讲习班;

(d) 以第 1540(2004) 号决议的执行各方面情况为重点的国际、区域和次区域组织、国家和非政府组织的会议、研讨会和讲习班。

99. 附件十七载有委员会或其专家参加的外联活动的清单。

100. 应当强调指出,对话,尤其是同参加国的对话,是这些讲习班和其他外联活动的一个组成部分,使各方可以直接互动,促进第 1540(2004)号决议的执行。此外,委员会的主席、委员会成员和委员会的专家们还经常与会员国的常驻代表团进行对话,特别是为了鼓励那些尚未提交第一份报告的国家提交该报告、促进各国提交更多资料以及讨论执行和援助的进程。

101. 正如本报告另一部分所述,在执行工作中,尤其是在加强委员会的外联方案方面,与国际和区域组织的关系十分重要。委员会被邀请参加数量最多的讲习班是由联合国机构和其他政府间组织主办的,其中包括区域一级的组织。这些组织也经常被邀请参加由裁军厅举办的执行第 1540(2004)号决议的讲习班。除了互派代表参加会议和讲习班之外,委员会还一直致力于扩大与国际和区域组织合作的范围和性质。

102. 自 2006 年以来外联活动的全面清单公布在委员会的网站上: [www.un.org/sc/1540](http://www.un.org/sc/1540)。

## 八. 援助和能力建设

103. 安全理事会通过第 1810(2008)号决议要求委员会扩大和加强努力,促进各种方式的援助,包括在援助请求方和提供方之间牵线搭桥。委员会于 2010 年 10 月通过了经修订的程序,以精简和加快援助进程。

104. 委员会核准的经修订程序摘要如下:

- (a) 鉴定一项请求;
- (b) 委员会主席确认收到请求;
- (c) 秘书处在两周内向潜在的援助提供方分发请求;
- (d) 经请求国同意,在委员会网站上公布请求摘要;
- (e) 委员会专家根据请求国的意见进行非正式“牵线搭桥”;
- (f) 委员会主席就一项具体援助请求向委员会成员分发承担提供援助的表态;
- (g) 委员会主席确认这些表态,并发函将这些表态通知请求方。

就援助的提供作出报告、以及进而作为衡量执行成功的一个尺度发挥作用的一个重要方面，在于委员会专家每两个月向委员会通报“牵线搭桥”的工作情况，以及委员会主席委员会一年后向请求方发函查询其请求是否已得到满足。

105. 委员会继续鼓励各国在编写请求援助和承担援助的文件时酌情利用委员会的汇总表和援助模板。委员会还提醒请求国注意它们可能有资格享受的各种援助方案，例如推动援助提供方参与外联活动的办法。委员会还继续在征得有关国家同意的情况下在网站上发布关于这些国家请求援助的简明摘要，这与委员会就承担提供援助所采取的做法相同，从而使这些请求能更广泛地为潜在合作伙伴所获知。为了便于牵线搭桥，还可根据需要提供更详细的资料。

106. 2011年3月10日，委员会向联合国所有会员国发出一份普通照会，以提高对它最近强化的援助请求处理程序的认识，并鼓励各国就先前提交的任何援助请求或援助承担提供任何更新的信息以及任何更新的详细联系方式。类似的普通照会也发给了相关国际组织。

107. 与为编写2008年报告而收到的援助资料相比，委员会确认请求援助和承担援助的数量都略有增加，而内容则比以前更具实质性。向委员会提交了正式请求的有亚美尼亚、阿塞拜疆、哥伦比亚、科特迪瓦、刚果共和国、刚果民主共和国、危地马拉、伊拉克、马达加斯加、墨西哥、蒙古、卡塔尔、塞尔维亚和乌干达。此外，也向委员会提出了正式请求的区域组织有加勒比共同体和中美洲一体化体系。这些请求由委员会分发给了超过了45个潜在的援助伙伴（既有国家也有国际组织），并为此收到了约20份承担提供援助的表态。有4个国家正式或非正式表示有兴趣进行一次可能的国家访问。

108. 2010年11月，委员会编写了一份39项援助请求的综合清单，并附有每项请求的情况摘要，以方便牵线搭桥。这一援助请求综合清单还列有通过国家报告或通过联合国其他实体或国际组织的转介提出的请求。委员会主席已将该综合清单送交八国集团、欧洲联盟和其他援助提供方。

109. 在委员会2010年11月分发的综合清单所列39项援助请求中，有20项涉及培训项目，18项请求提供专门知识，15项请求提供设备，8项请求提供一般援助项目，4项请求提供资金（有些国家请求提供多类援助，所以项目总数超过请求数目）。一些国家向委员会报告说，它们通过双边或多边方案或由国际机构配合，已收到或直接提供了与这39项请求中37项有关的援助，还有2个国家间接获得了它们所请求的援助。委员会将继续就新的请求和援助意向提供信息。

110. 若干相关国际组织已将第1540(2004)号决议的目标纳入其援助工作。委员会特别注意到，国际原子能机构、禁止化学武器组织、生物武器公约履约支助股、世界海关组织、欧洲联盟、联合国毒品和犯罪问题办公室的援助方案都为第1540(2004)号决议的总体框架或目标作出了贡献或补充。

111. 第 1810(2008)号决议第 13 段请委员会考虑改进和更有效利用现有供资机制的备选办法。根据这一要求，委员会于 2008 年 12 月 26 日和 2009 年 3 月 27 日向安全理事会提交了报告。<sup>6</sup> 在本报告所述期间，裁军厅管理的全球和区域裁军活动普通信托基金已收到数笔捐款和赠款，这些款项被指定用于支助为推动和促进执行第 1540(2004)号决议而开展的活动。

112. 在外联活动期间一些国家经常明确表示有兴趣并且仍有必要追加财政资源的若干援助领域包括：

(a) 协助各国确定在执行第 1540(2004)号决议方面优先援助领域，其中包括在编写或拟订决议执行情况报告方面有困难的国家，但也包括在特定领域需要援助的其他国家；

(b) 协助各国编写国家报告、补充资料、自愿行动计划和有助于全面执行第 1540(2004)号决议的援助请求。这项活动十分重要，有助于总结与已实施的多边或双边援助方案有关的经验，并有利于在援助请求方和承担方之间牵线搭桥，以处理各国确定的重点领域问题。

113. 委员会的援助工作组讨论了在援助方面今后可能采取的更多步骤，并将五个方面确定为可能取得进展的主要领域(见下文建议)。

## 九. 合作

### A. 与国际、区域和次区域组织的合作

114. 委员会及其合作问题工作组已对各种国际、区域和次区域组织开展了外联工作，并邀请其代表向委员会介绍工作中与第 1540(2004)号决议有关的方面。委员会听取了欧洲联盟和反洗钱金融行动任务组的介绍，委员会的合作问题工作组则听取了禁毒办预防恐怖主义处、联合国区域间犯罪和司法研究所(犯罪司法所)、欧洲联盟、防止弹道导弹扩散海牙行为准则(海牙行为准则)主席和欧洲安全与合作组织(欧安组织)的介绍。

115. 委员会主席以及一些成员参加了 25 个国际、区域和次区域组织于 2010 年 12 月 15 日至 16 日在维也纳举行的一次关于合作推动执行安理会第 1540(2004)号决议的会议，会议由奥地利政府主办，由裁军厅组织。<sup>7</sup> 裁军厅将继续维持该次会议的网站，以便通过相关信息的交流等办法立即采取后续行动。

<sup>6</sup> 见 S/2008/821 号和 S/2009/171 号文件，可查阅：[www.un.org/sc/1540/other\\_submissions.shtml](http://www.un.org/sc/1540/other_submissions.shtml)。

<sup>7</sup> 与会组织有：东南亚国家联盟、非洲联盟、加勒比共同体、1267 监察组、反恐执行工作队、《全面禁止试验条约》筹备委员会、反恐执行局、欧洲联盟、反洗钱金融行动任务组、原子能机构、国际民用航空组织、国际海事组织、生物武器公约履约支助股、阿拉伯国家联盟、北约、美洲组织、世界动物卫生组织、禁止化学武器组织、欧安组织、太平洋岛屿论坛、中美洲一体化体系、犯罪司法所、禁毒办、世界海关组织和世卫组织。

## B. 与安全理事会第 1267(1999) 号决议所设委员会和安全理事会第 1373(2001) 号决议所设委员会的合作

116. 委员会依照第 1810(2008) 号决议执行部分第 12 段的规定采取了措施，强化与 1267 委员会和 1373 委员会正在进行的合作，例如加强信息交流、协调对各国的考察、参加讲习班和外联活动、提供技术援助和处理与所有三个委员会都有关的其他问题。

117. 三个委员会(1267、1373 和 1540)的主席就这三个委员会之间正在进行的合作向安全理事会提交的联合说明是以透明方式向联合国所有会员国通报分别努力执行安全理事会第 1805(2008)号、第 1810(2008)号和第 1904(2009)号决议关于合作问题各段落的情况的一件重要工具。这些联合说明可到委员会网站查阅。在 2010 年 11 月 15 日公开举行的联合情况通报会上，分发了一份说明 1267 监察组、反恐怖主义委员会执行局(反恐执行局)专家和 1540 委员会专家之间合作领域的示意表，供安全理事会参考。

118. 这些委员会之间合作的一个要素是专家们参加对会员国的考察和与各自任务规定有关的各种相关会议和讲习班。

119. 三个委员会注意到了一份关于以协调和互补方式与国际、区域和次区域组织互动协作的共同战略联合文件，并在继续参加一个关于未提交报告国家的共同战略。三个委员会的专家小组目前正在拟订这一共同战略的模式。委员会还进一步探讨了其他可行共同战略，例如关于援助问题或联合进行国家考察的共同战略。

120. 委员会专家在《联合国全球反恐战略》的框架中与反恐执行工作队开展合作，包括参加其某些活动。

121. 委员会还加强了与其他委员会的合作，办法是定期举办专家会议，以讨论共同感兴趣的领域。在 2010 年，这种专家间会议于 4 月和 11 月举行。

122. 2010 年 11 月，三个委员会的主席致函联合国秘书长强调指出，根据安全理事会第 1904(2009)号决议第 43 段所提并由 2010 年 9 月 27 日 S/PRST/2010/19 号主席声明所重申的要求，三个专家小组需要合用办公地点。联合国秘书处已作出回复。

## 十. 透明度

123. 作为其工作的一个固有因素，委员会继续保持透明度，故而这一点已纳入其第七、第八和第九个工作方案。此外，在全面审查期间，委员会被敦促加强为实现透明度和包容性已作出的有益努力。这种办法已经确认将促进更大的合作，有利于委员会今后的工作和决议的执行。

124. 委员会继续酌情采取若干透明度措施，其中包括：

(a) 自 2008 年以来，委员会向安全理事会进行了 6 次公开的正式情况通报；

(b) 2009 年 9 月 29 日，委员会主席就当时即将进行的全面审查举行了新闻发布会；

(c) 酌情与有关的学术界、工业界和相关政策组织进行了互动。

125. 委员会继续维持 1540 网站，作为保持透明度的一个重要媒介，并努力经常更新和充实其内容，以使之成为一个可靠的信息来源。委员会增添了新的栏目，例如常见问题网页，即将和以往开展的外联活动，包括关于参加情况的资料说明，以及网站上的新信息。经委员会核准和当事国同意，委员会公布了大部分汇总表，截至 2011 年 4 月 1 日为 179 份。

126. 此外，委员会还开展了宣传第 1540(2004)号决议的外联活动，并为作为加强国际安全重要工具的这项决议争取到了更有力的全球支持。

127. 委员会通过其透明度和媒体宣传工作组继续完善媒体外联战略，以合理有效地利用联合国和委员会资源，向更多的特定受众传递信息。委员会还探索了并在继续探索各种机会，以更好地宣传第 1540(2004)号决议所产生的义务，并酌情与各国决策者、议员、工业界、学术界和公众分享相关信息。

## 十一. 结论和建议

### A. 一般性结论和建议

128. 自 2004 年以来，委员会推动各国为防止非国家行为者获取核生化武器及其运载工具而采取各项措施方面的进展，并记录了发展的上升趋势。委员会通过上述工作，推动加强了全球防扩散和反恐机制，并有助于各国更好作出准备，防止大规模毁灭性武器的扩散到非国家行为者。

129. 委员会认为，事实证明，2009 年初按照第八工作计划成立的工作组是有益的，加上每月定期举行的委员正式会议，提高了委员会的工作效率、效益和结构。目前各工作组的结构应该继续反映出委员会的工作重点。

130. **建议：**

(a) 大规模毁灭性武器及其运载工具的扩散继续对国际和平与安全构成威胁，委员会应继续促进所有国家全面执行第 1540(2004)号决议；

(b) 委员会应继续强调报告、援助和宣传等领域的工作，应该加倍努力推动执行，并重申委员会 2008 年在其提交给安理会的报告中所载各项建议，同时应考虑关于全面审查的建议；

(c) 认识到现任和前任委员会成员为促进第 1540(2004) 号决议所作有价值贡献，并按照 2009 年全面审查“最后文件”的结论和建议，委员会鼓励各会员国利用并继续借助于这些贡献；

(d) 委员会应继续定期按计划举行会议。

## B. 执行情况

131. 委员会注意到，正如本报告附件四至附件十五以及表 1 和表 2 所示，各国的执行情况有待改进。委员会还注意到，包括通过国家法律措施在内的全面实施，是一项长期的任务，需要在国家、区域和国际各级的进一步努力。

132. 新的报告和自上次报告以来提交的其他信息充分表明，国家继续采取更全面的措施，以履行决议规定的义务。然而，第 1540(2004) 号决议的全面实施是一个长期过程，为推动就此制定计划，可以延长委员会的任务期限并定期进行审查。安理会于 2011 年 4 月 20 日一致通过 1977 号决议，将委员会的任务期限延长十年时间，并进行一次五年期审查。

### 133. 建议：

(a) 委员会应继续加紧努力，推动各国借助其工作方案全面实施第 1540(2004) 号决议，其工作方案包括就第 1540(2004) 号决议的所有方面的执行情况、外联、对话、援助与合作制作汇编；

(b) 应进一步鼓励尚未就本国为执行第 1540(2004) 号决议而已采取或打算采取的步骤提交第一次报告的国家，毫不拖延地向委员会提交这一报告。为此，委员会应继续根据会员国的要求，利用其专长促进这项工作；

(c) 应当鼓励已经提交报告的国家，每当他们认为适当的时候或根据委员会的要求，提供关于其执行第 1540(2004) 号决议的补充信息；

(d) 委员会应继续鼓励各国在委员会的适当协助之下，自愿制定简要行动计划，提出其执行第 1540(2004) 号决议关键条款的优先事项和计划，并将这些计划提交给委员会；

(e) 经全面审查提出建议之后，委员会应考虑是否可能在 2012 年 12 月 31 日之前制定一个新的汇总表模板或将现有模板升级。也可以考虑增加新条目，以更好反映出执行决议方面的进展，即在援助和合作方面或经验教训方面的进展；

(f) 委员会应继续积极与各国和有关国际、区域、次区域组织沟通，在第 1540(2004) 号决议所涵盖的领域，促进交流经验、教训和有效做法，特别是借鉴各国提供的信息，以及有效援助的实例，并就可能有助于执行第 1540(2004) 号决议的方案进行联络，同时考虑到有针对性的援助对于在国家一级有效执行第 1540(2004) 号决议是帮助的；



(g) 委员会应鼓励各国考虑建立控制系统，包括国家管制清单，以加强国家立法，并充分履行第 1540(2004) 号决议规定的各项义务；

(h) 汇集来自不同部门或实体的专业知识，是一种交换意见的方式，进一步了解第 1540(2004) 号决议的各项要求，克服困难并找出解决办法。

### C. 外联

134. 在本报告所述期间，在非洲、亚洲、独立国家联合体、加勒比海地区、欧洲、拉丁美洲、中东和太平洋就第 1540(2004) 号决议举行了涉及大多数联合国成员国的重大会议。连同其他宣传活动，这些事件提高了人们对于第 1540(2004) 号决议，以及第 1673(2006) 号和第 1810(2008) 号决议重要性的认识，并推动了更有效的国家执行措施和国际合作。

135. 委员会认为，通过与民间社会的互动，包括对学术界和产业界的宣传活动，可以协助各国执行第 1540(2004) 号决议。委员会就各国根据已通过决议所制定的法律，推动提高了人们的认识，提出了适当工作方式，并向业界及公众人士通报了所涉法律规定的义务。委员会还鼓励各国促进与民间社会、学术界和产业界的对话与合作，以解决非法贩运核生化武器及其运载工具和相关材料所构成的威胁。

#### 136. 建议：

(a) 在通过参与可以切实推进委员会议程的时候，委员会应继续举办和参与区域、次区域和适当的国家一级的外联活动，以推动各国实施第 1540(2004) 号决议；

(b) 委员会应提供和利用各种机会，与有关国家和相关国际、区域和次区域组织交流，推动执行第 1540(2004) 号决议；

(c) 委员会应继续与联合国有关机构合作，同时继续注重非扩散问题；

(d) 委员会应加强与根据第 1267(1999) 号决议设立的安全理事会委员会，根据第 1373(2001) 号决议设立的安全理事会委员会以及反恐执行工作队正在进行的合作，同时继续注重防扩散问题和就联合国家访问或其他共同关心的领域为三个委员会寻求安理会的指导，以更为有效地协调其工作；

(e) 委员会可能会考虑为工业界和媒体宣传寻找机会，以在国家赞同下，补充和支持各国与相关产业和行业团体以及学术界和民间社会的工作。

### D. 与相关国际、区域和次区域组织的合作

137. 根据全面审查的建议，委员会扩大了与国际、区域和次区域组织的合作，努力推动他们更积极地参与决议的实际执行，同时考虑到他们自己提供附加值的能力，以及各国际、区域和次区域组织为促进这种实施而专门通过的决定。

138. **建议：**

(a) 委员会应与相关国际、区域和次区域组织合作，探索在执行第 1540(2004) 号决议和执行其他不扩散制度之间的协同作用。

(b) 委员会应继续加紧努力，促进其与国际、区域和次区域组织的合作，并欢迎他们在促进推动各会员国执行第 1540(2004) 号决议方面发挥的重要作用 and 所作出宝贵贡献。为了加强与国际、区域和次区域组织的协调，委员会应考虑，除其他外，交流信息并鼓励国际、区域和次区域组织任命 1540 专门职(联络人)和协调员。

**D. 透明度**

139. 为提高委员会各项活动的知名度和透明度，已经做出各种努力。信息则由各国提供和(或)由 1540 委员会专家组以汇总表形式收集。经委员会批准和国家同意之后，委员会通过网站发布报告。

140. 透明度工作的本质是需要向各国和在适当时向民间社会提供与 1540 号决议相关的信息；并经各国同意，在适当的时候向有关各方广泛提供有关执行情况和援助的信息。做到这一点的最佳方式是经常定期更新委员会的网页，诸如最近批准更新的汇总表，并继续发展现代化通讯渠道，以促进信息共享。

141. 委员会认为，一个全面和前瞻性的媒体宣传策略对于一般受众和具体受众的有效参与非常重要，而且应当继续利用联合国现有资源。

142. **建议：**

(a) 委员会应作出努力，尤其通过以下方式加强透明度：

(一) 由主席在专家小组的帮助下，召开对所有联合国会员国开放的简报会；

(二) 在委员会的网页上发布有关委员会及其专家的信息；

(三) 继续补充和支持各国在行业和媒体宣传方面的工作；

(四) 利用现有技术，酌情通过网页和其他媒体，与民间社会建立有效的沟通渠道，以使委员会成为关于第 1540(2004) 号决议和其后续决议以及委员会活动和工作的全面信息资源。

**E. 援助**

143. 援助方面的各项问题依然是委员会活动中的重点。委员会必须在专家支持下，继续积极协助将请求援助与提供援助统一起来。

144. 委员会讨论了以下有可能取得进展的主要领域：继续改进援助程序；提出和分析援助需求；与有关国际、区域、次区域组织以及适当的非政府组织就

援助问题开展对话；加强委员会及其专家推动援助的能力，并提高对援助问题的认识。

145. **建议：**

(a) 委员会应继续加强其在促进执行第 1540(2004)号决议的技术援助方面的协调作用，包括在专家支持之下，通过援助模板、自愿行动计划、向委员会提交其他资料以及应国家邀请进行访问等方式，使所提供援助与所要求援助协调起来。

(b) 为此，应当鼓励需要援助的国家向委员会转达其要求和利用委员会的援助模板。应鼓励各国以及国际、区域和次区域组织向委员会通报他们能够提供援助的领域，而且，如果他们以前没有这样做，则应向委员会提出援助问题联络人；

(c) 委员会与各国应就其为充分执行第 1540(2004)号和第 1810(2008)号决议的进一步行动以及所需要和所提供的技术援助，继续正在进行的对话。

(d) 1540 委员会专家组应继续每两个月详细报告向委员会所提要求的匹配工作情况。

(e) 委员会应继续改进其援助程序，特别是通过制订关于援助的政策指导，这将补充委员会现有的正式程序，并提出处理援助请求所需采取的具体步骤。

(f) 委员会应加强关于如何最有效地应对援助要求的一般性审查和审议。关于援助问题的这种定期审查将有助于各国和有关国际、区域和次区域组织确定援助的需求、趋势和所面临的困难，并制定有效对策。同时应鼓励委员会在专家协助下，提出并介绍行之有效的做法，以编制经验汇编、经验教训和有效做法。应当鼓励各国和国际、区域和次区域组织与委员会交流经验教训以及有效做法。委员会也应鼓励在各国邀请之下，对其进行访问，以作为与各有关机构就第 1540(2004)号决议的执行情况，尤其是协助各国他们更好地界定其可能需要技术援助的性质和水平，进行详细直接讨论的有效手段。

(g) 委员会应继续与相关国际、区域和次区域组织就援助问题开展对话。建立援助问题联络人网络，这将有助于为此保持定期对话。与具有专门知识的有关非政府组织在援助问题进行适当对话也得到发展，同时要考虑到执行第 1540(2004)号决议和援助工作仍然是各会员国的责任。

(h) 委员会和专家小组的能力应该得到加强。委员会应当继续鼓励和充分利用自愿捐款，以协助各国查明并解决他们在执行第 1540(2004)号决议和第 1810(2008)号决议方面的需求。在这方面，召开有委员会参加的关于援助问题国际会议将是一个重要贡献。委员会也应鼓励捐助者举行技术层面的定期会议，并在必要时由委员会参加会议。委员会还可以初步探索借鉴其他个人和组织(包括

本集团前专家)所掌握知识的可能性, 制定一个专门知识专家名册, 以协助委员会和专家小组促进援助。

(i) 委员会及其专家应继续提高人们对援助问题的认识, 包括由主席召开定期举行的公开会议, 和定期更新网页。

## 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 undocs.org/s/2010/52
<b>Substantive background papers prepared by the group of experts</b>		
<a href="http://www.un.org/sc/1540/ComprehensiveReview-OpenMeeting.shtml">www.un.org/sc/1540/ComprehensiveReview-OpenMeeting.shtml</a>		
<b>Summary records of the open meetings of the Committee for the comprehensive review</b>		
<a href="http://www.un.org/sc/1540/summaryrecords.shtml">www.un.org/sc/1540/summaryrecords.shtml</a>		
<b>Programmes of work of the Committee</b>		
<a href="http://www.un.org/sc/1540/programofwork.shtml">www.un.org/sc/1540/programofwork.shtml</a>		
<b>Briefings to the Security Council by the Chair of the Committee</b>		
<a href="http://www.un.org/sc/1540/chairpersonsbriefings.shtml">www.un.org/sc/1540/chairpersonsbriefings.shtml</a>		
<b>Statements by the Chair of the Committee at outreach events</b>		
<a href="http://www.un.org/sc/1540/chairpersonsstatements.shtml">www.un.org/sc/1540/chairpersonsstatements.shtml</a>		
<b>List of matrices as approved by the Committee</b>		
<a href="http://www.un.org/sc/1540/1540matrix.shtml">www.un.org/sc/1540/1540matrix.shtml</a>		

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

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

## **Annex III.B**

### **Member States that have yet to submit a report as at 30 April 2011**

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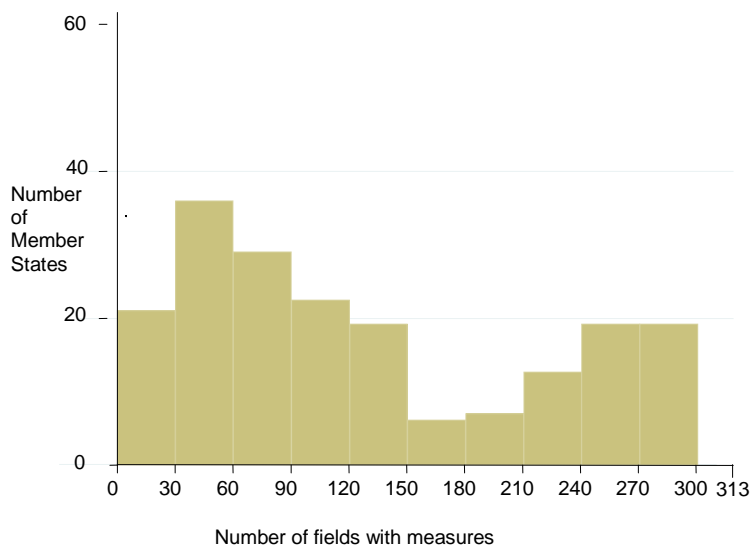
*Non-submitting States*

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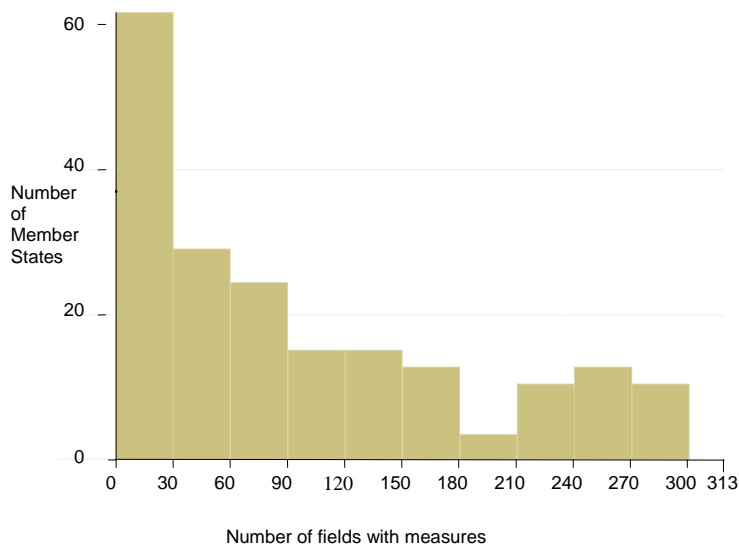
1. Cape Verde
  2. Central African Republic
  3. Chad
  4. Comoros
  5. Congo
  6. Democratic People's Republic of Korea
  7. Equatorial Guinea
  8. Gambia
  9. Guinea
  10. Guinea-Bissau
  11. Haiti
  12. Lesotho
  13. Liberia
  14. Malawi
  15. Mali
  16. Mauritania
  17. Mozambique
  18. Sao Tome 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\*

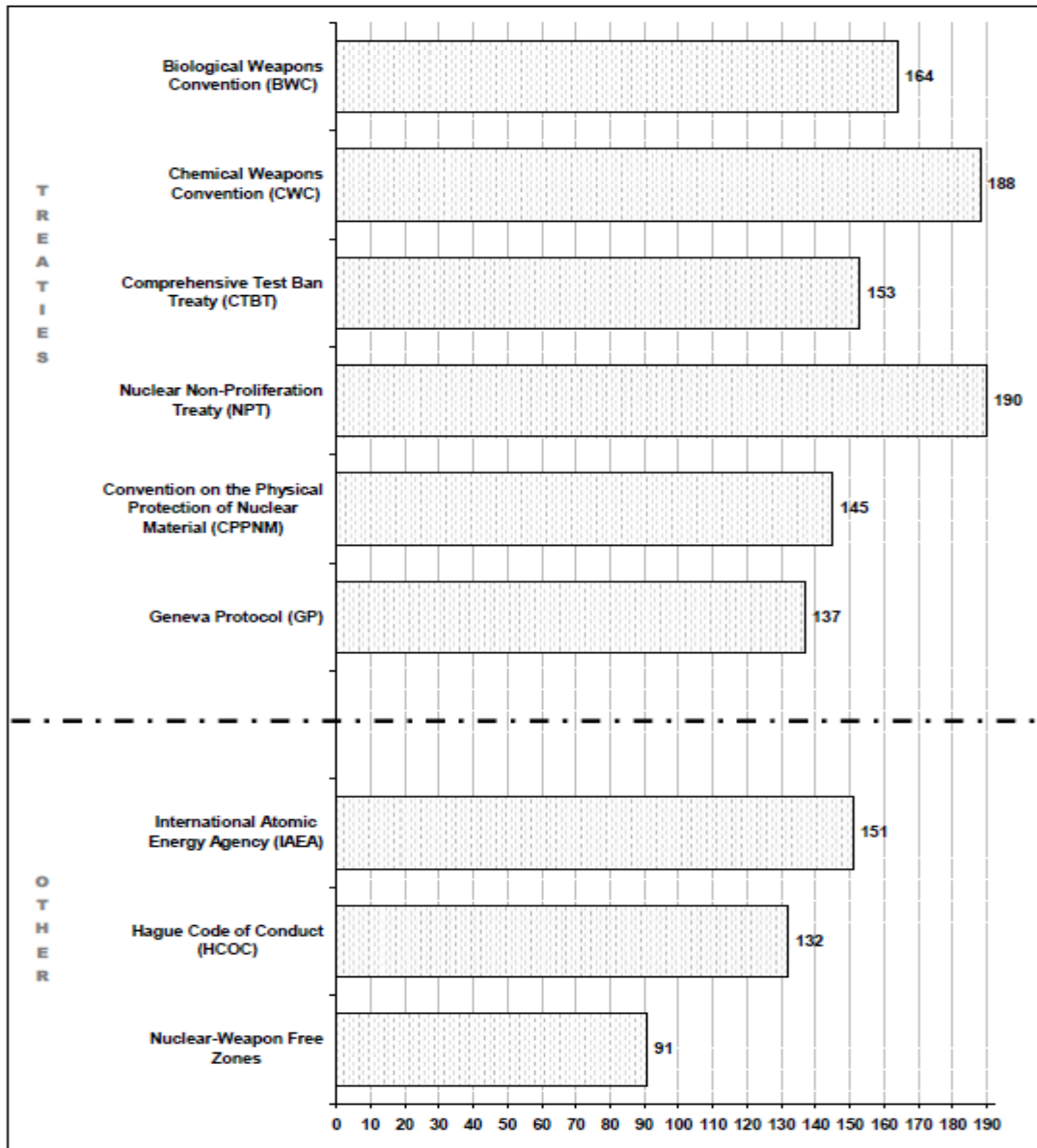


\* The charts above are based on information compiled by the Committee for 313 of the 382 matrix fields that pertain most directly to implementation measures. The 313 fields exclude all the fields identified as "other", fields covering general statements and treaty status and the fields on assistance. 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>8</sup> to non-proliferation treaties, conventions, protocols and other instruments relevant to Security Council resolution 1540 (2004)**

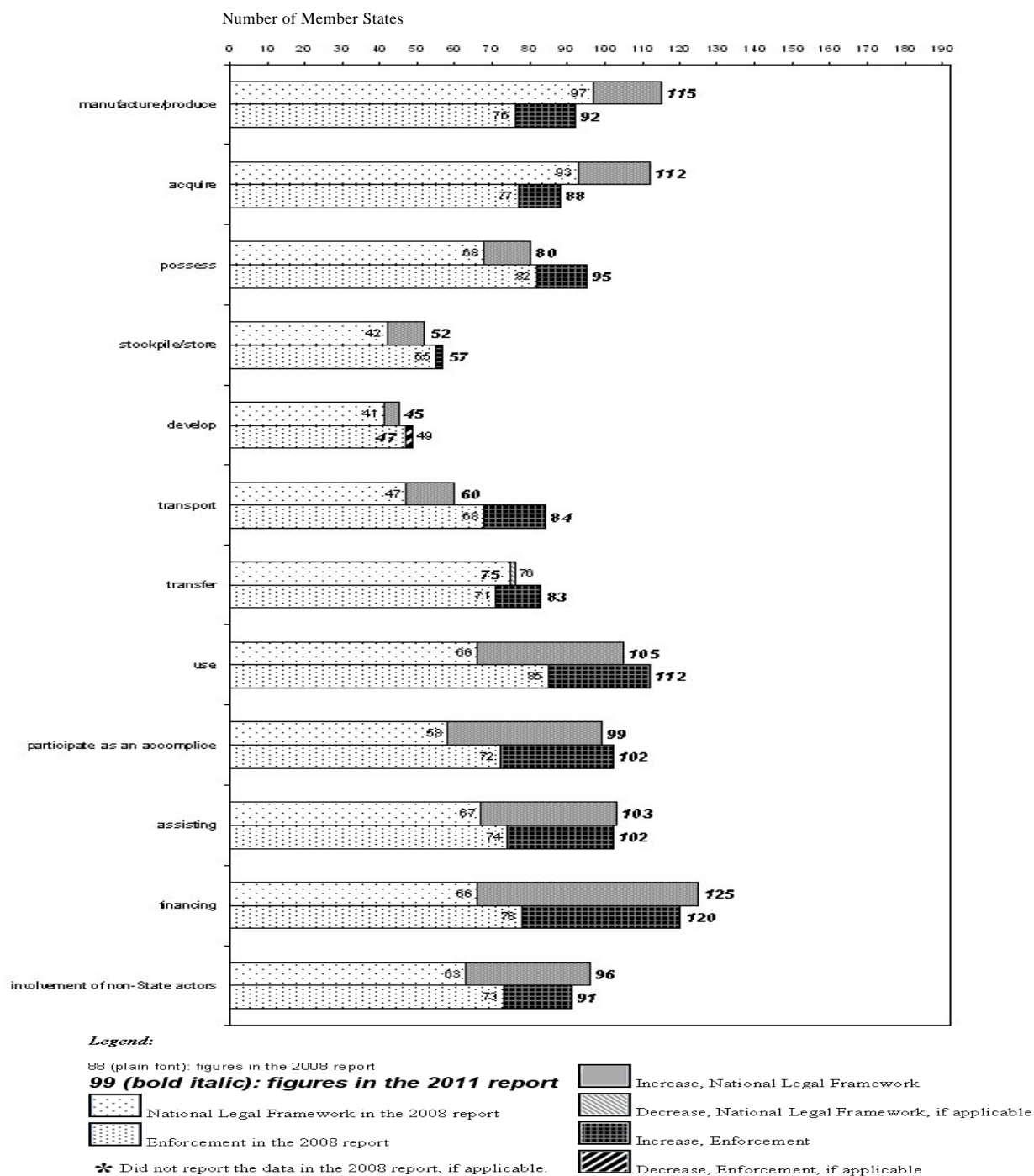
Number of States



<sup>8</sup> Statistics include States parties that are not Member States of the United Nations.

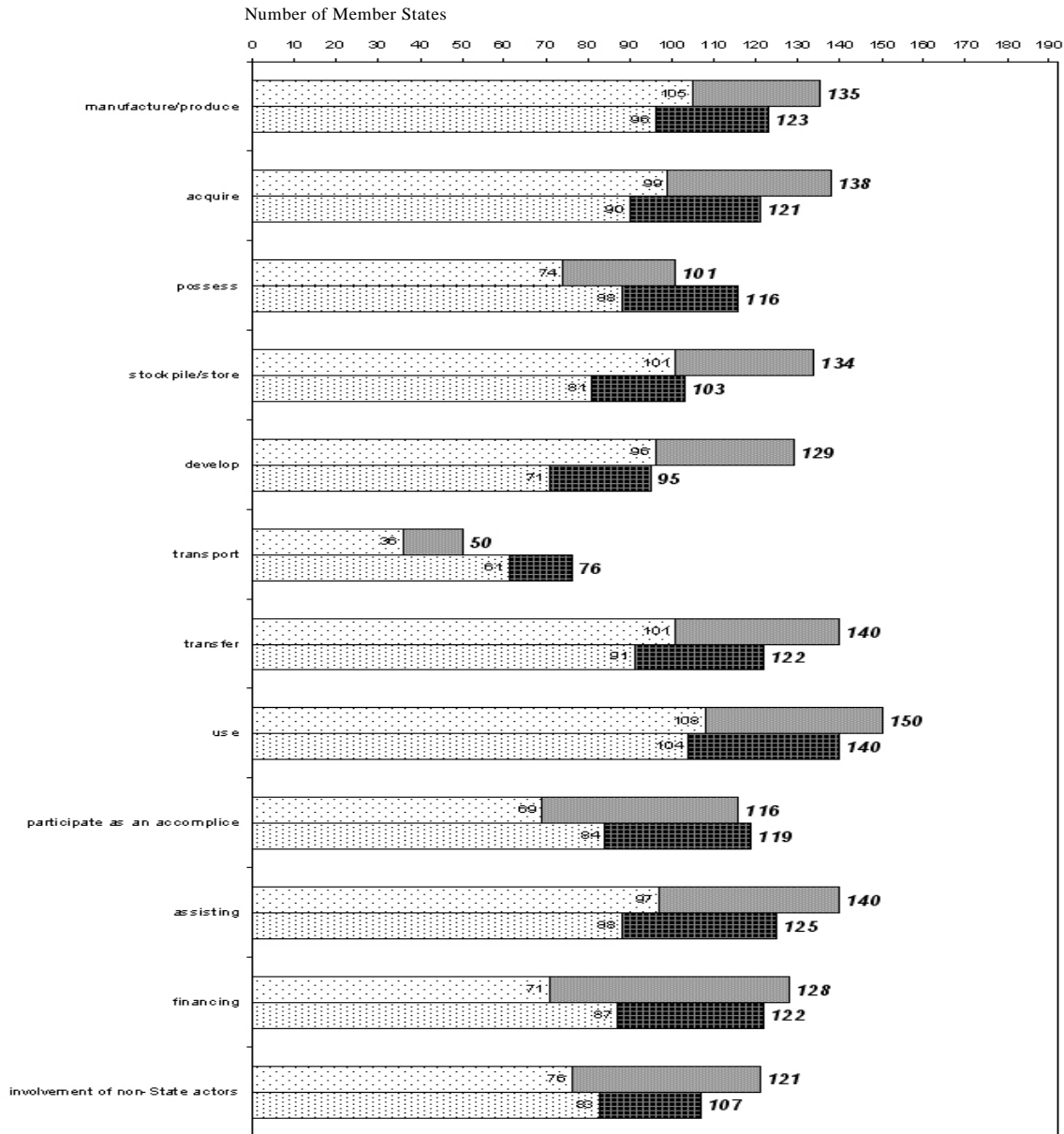
## Annex VI

## 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



**Legend:**

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

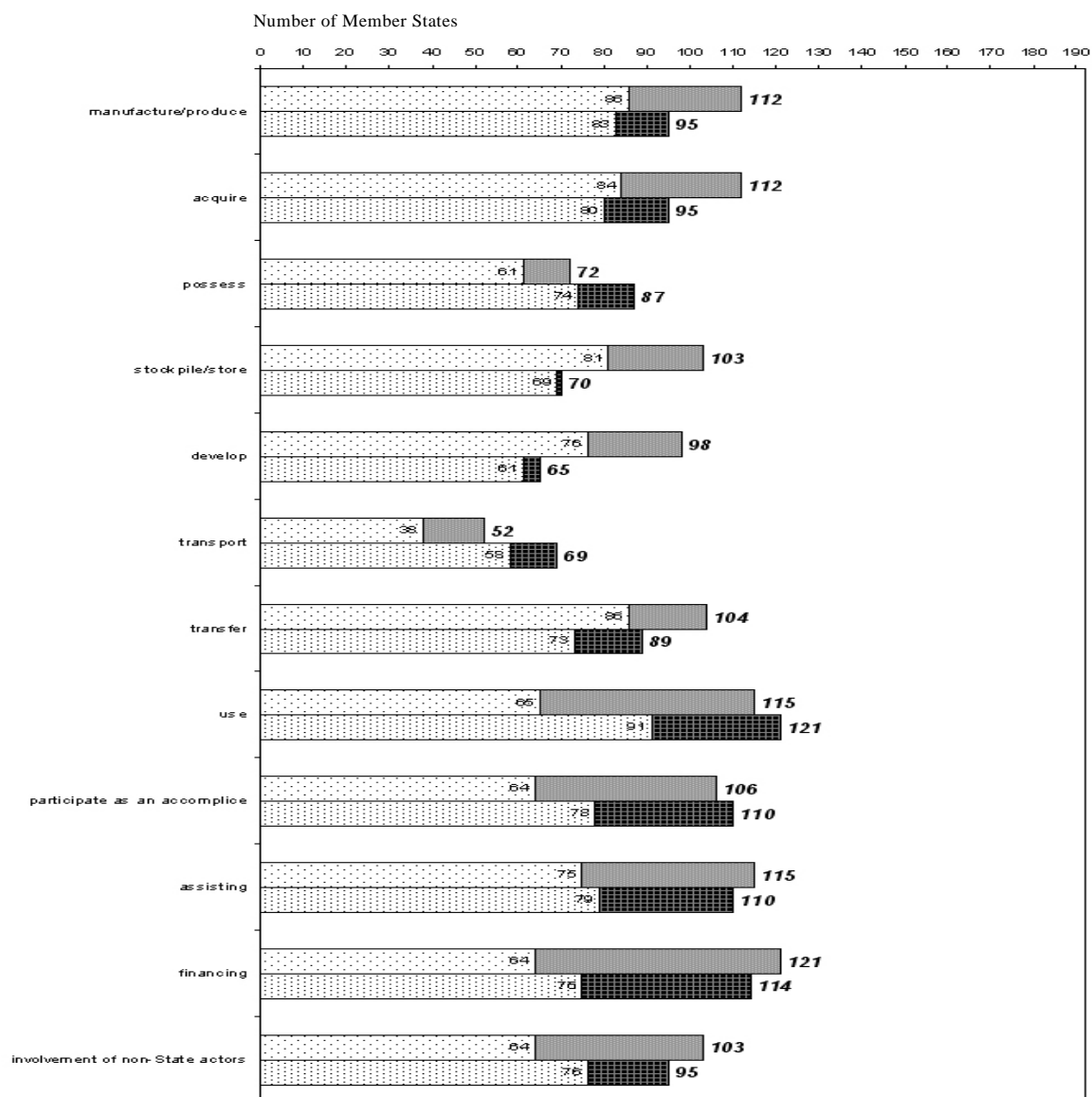
Decrease, National Legal Framework, if applicable

Increase, Enforcement

Decrease, Enforcement, if applicable

## Annex 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**

**Legend:**

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 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))

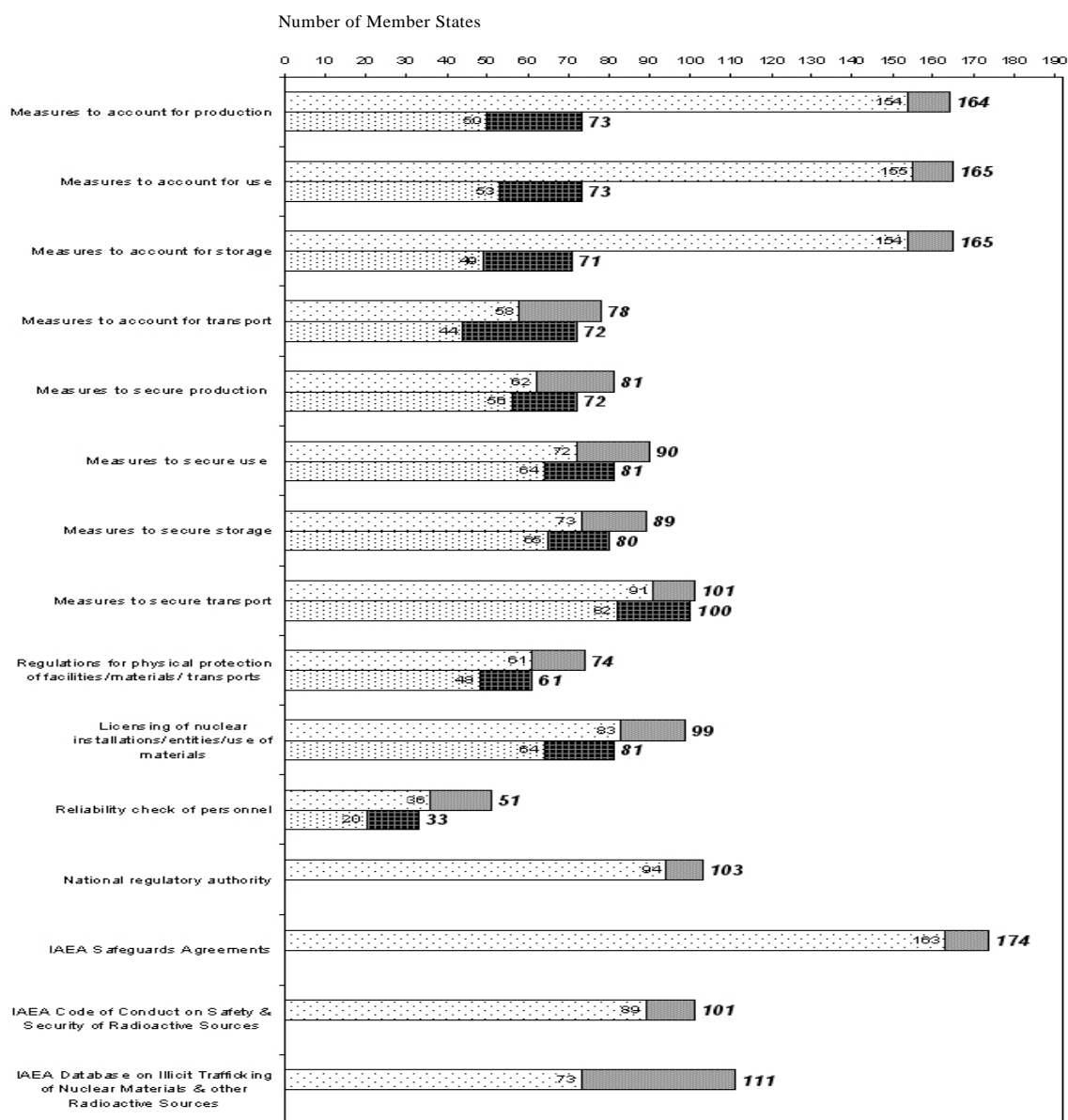
(Number of United Nations Member States)

<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

**Legend:**

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



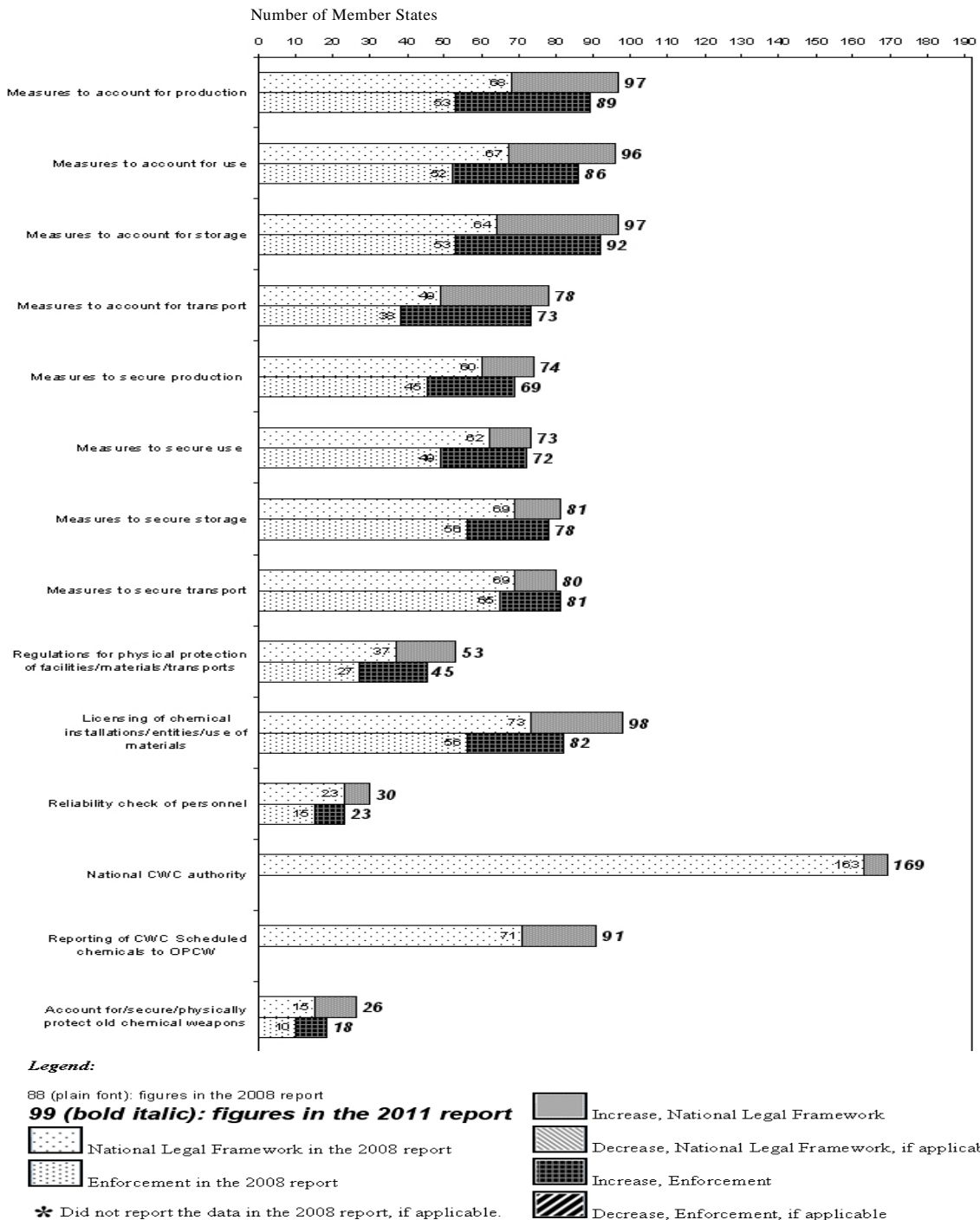
Increase, Enforcement



Decrease, Enforcement, if applicable

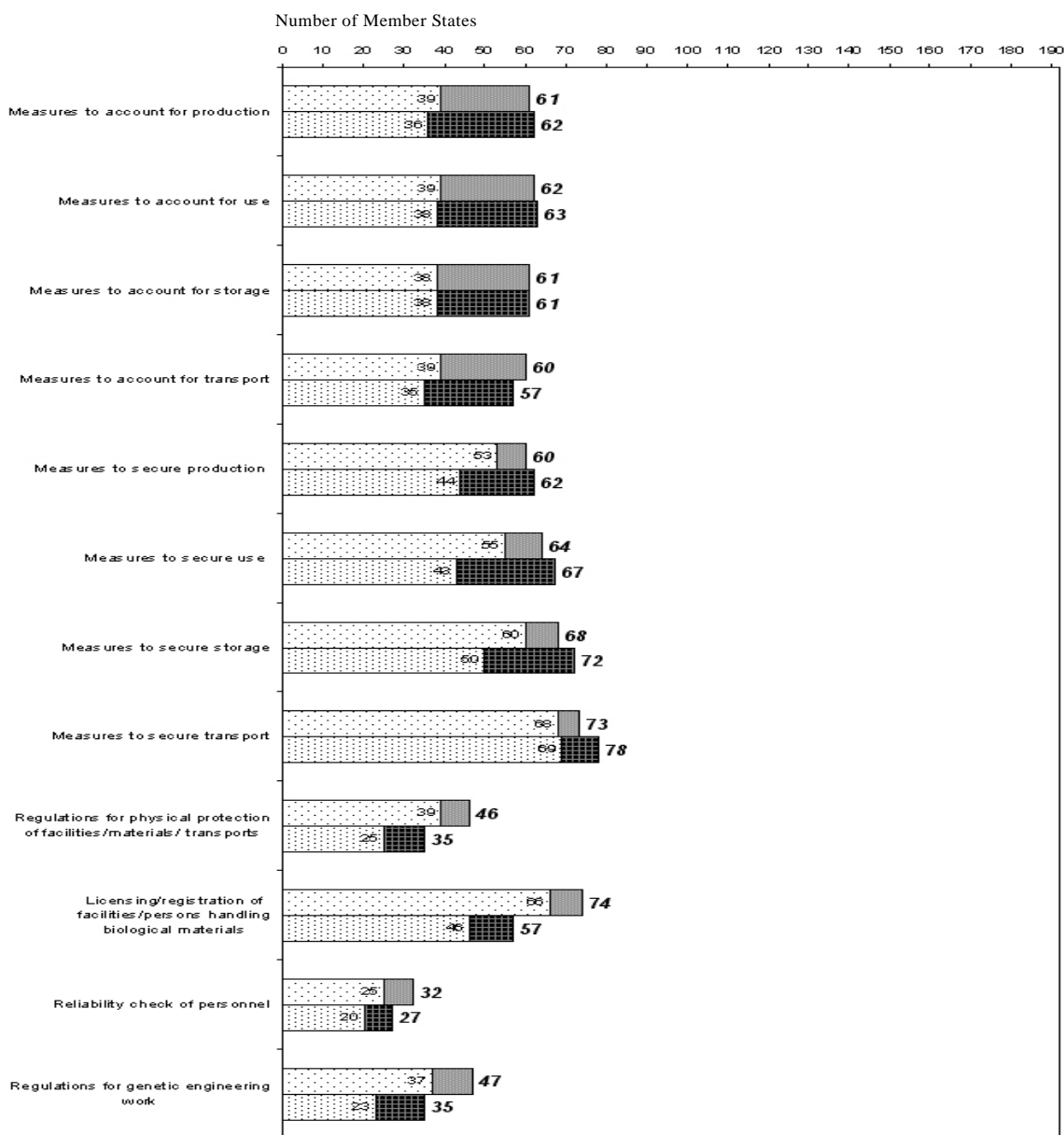
## Annex XI

### 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



## 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**

**Legend:**

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

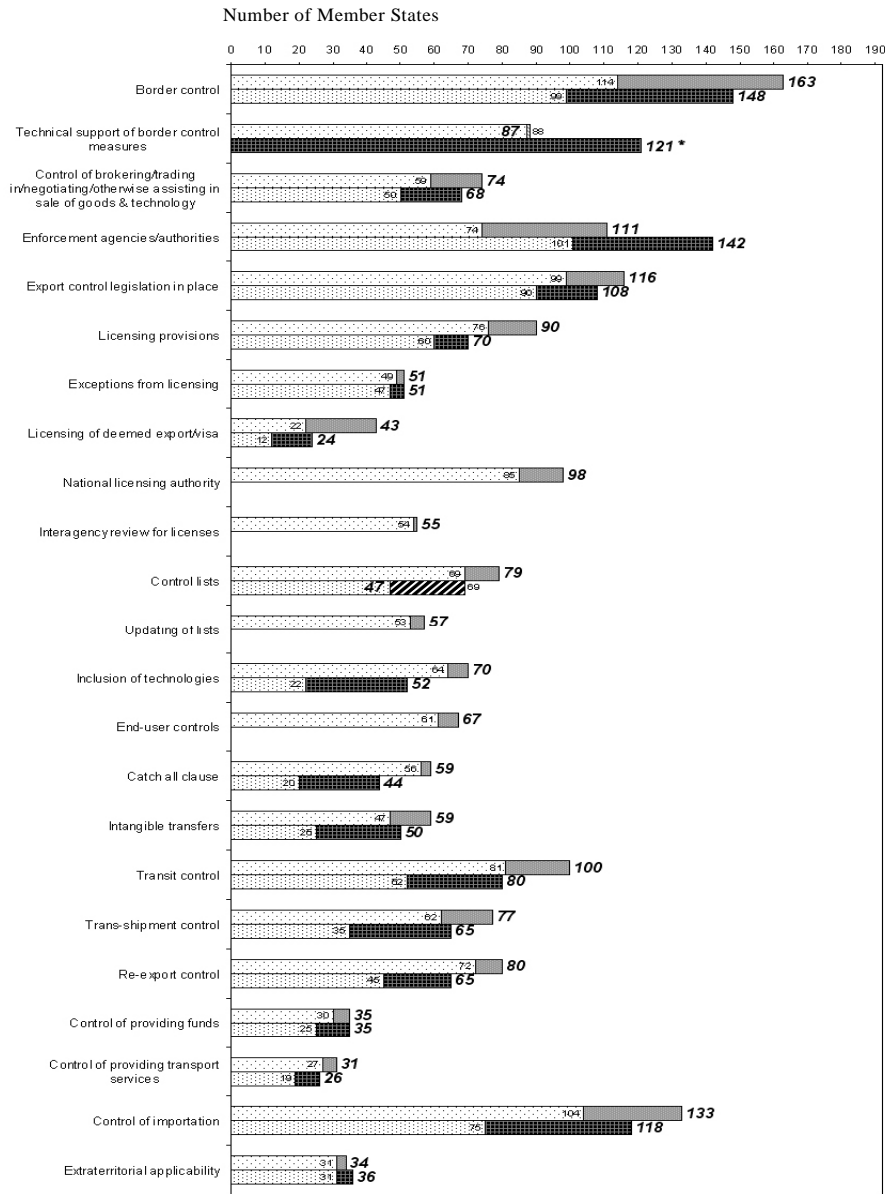
Increase, National Legal Framework  
 Decrease, National Legal Framework, if applicable

Increase, Enforcement  
 Decrease, Enforcement, if applicable

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

### 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



**Legend:**

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

Increase, National Legal Framework

Decrease, National Legal Framework, if applicable

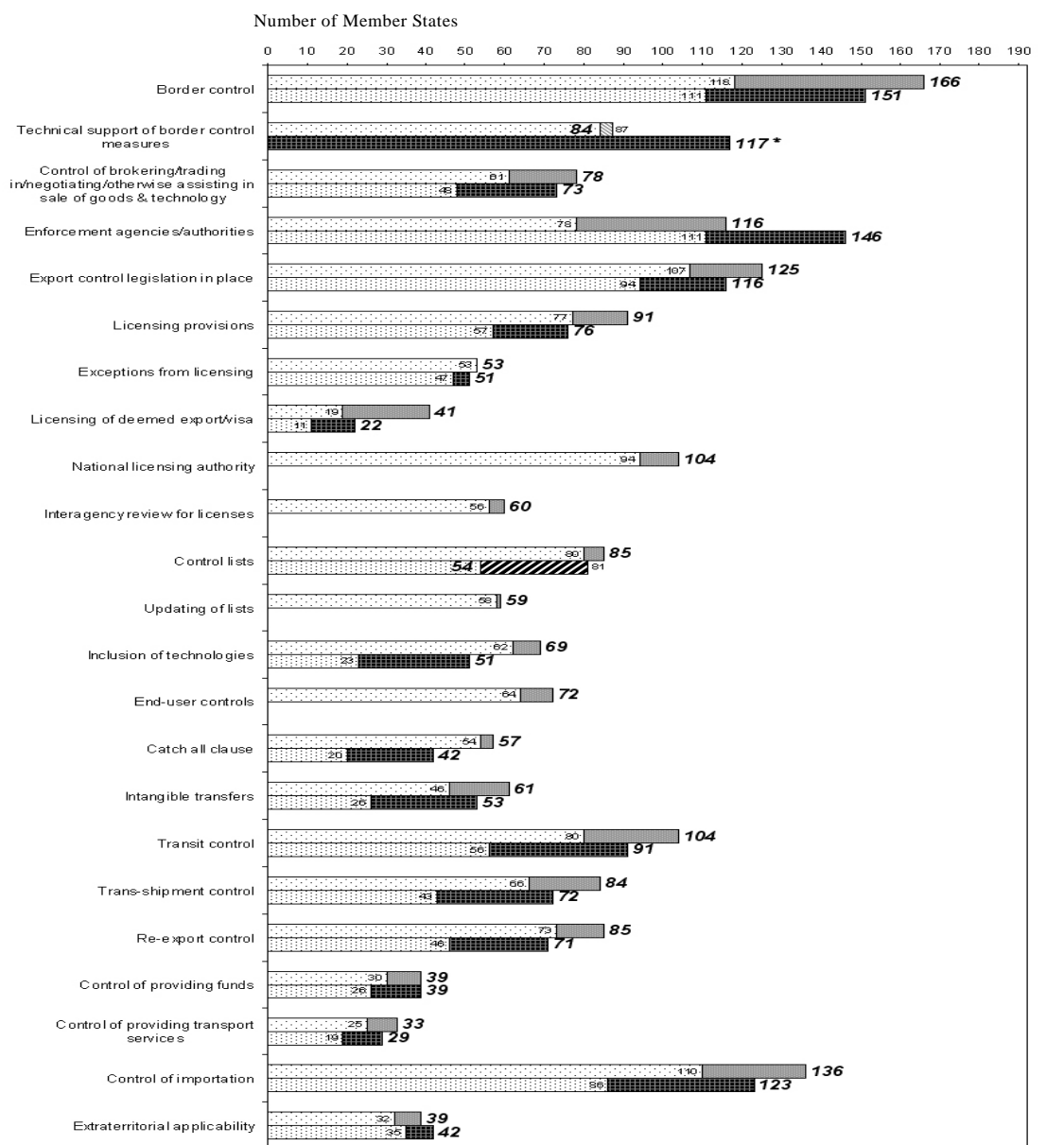
Increase, Enforcement

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

Decrease, Enforcement, if applicable

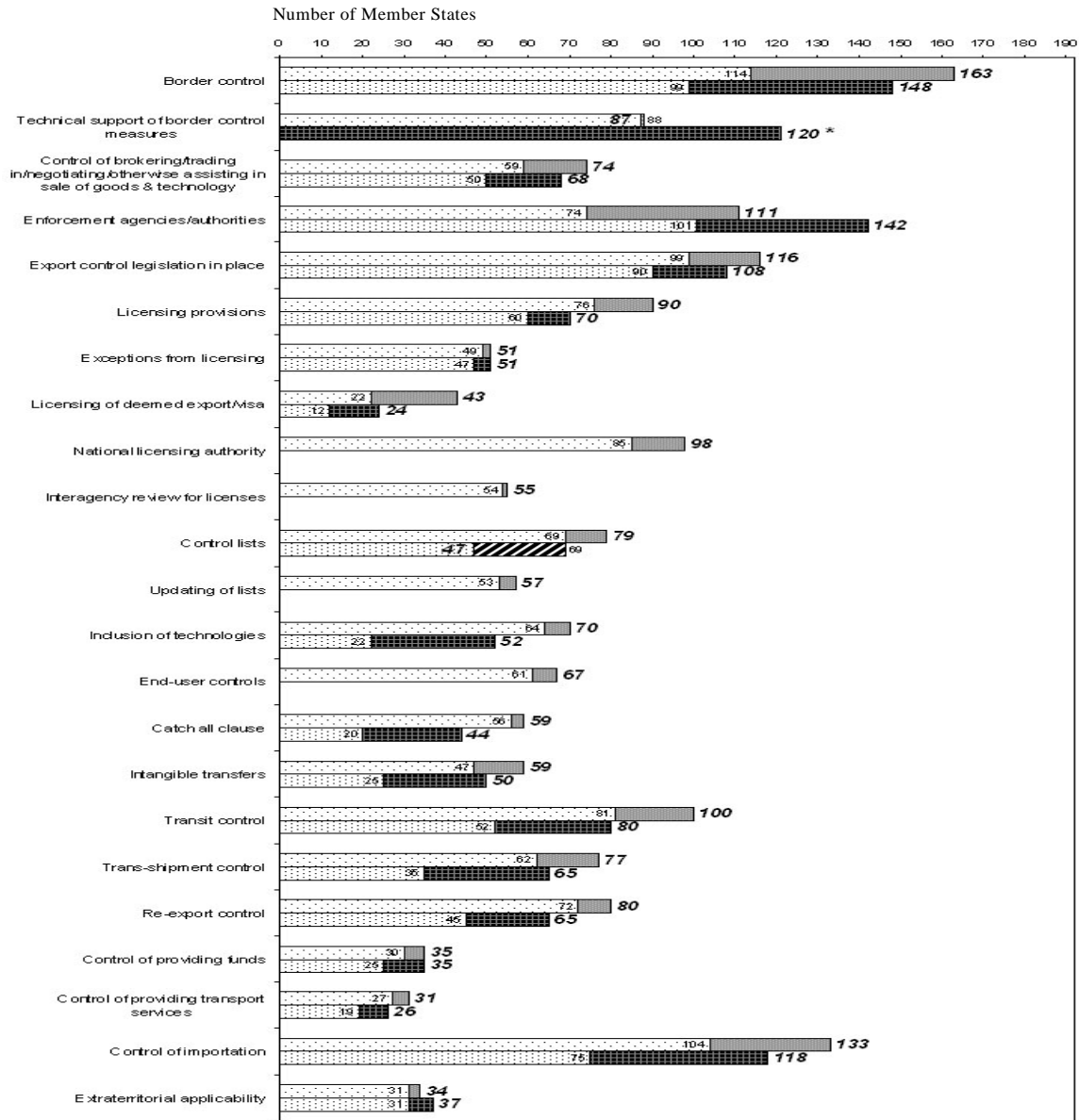
## Annex XIV

## 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



**Legend:**

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>9</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

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<sup>9</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.

Geneva Protocol for the Prohibition of the Use of Asphyxiating, Poisonous or Other Gases 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>10</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>11</sup> a typology study on the

<sup>10</sup> See [www.fatf-gafi.org/dataoecd/32/40/45049911.pdf](http://www.fatf-gafi.org/dataoecd/32/40/45049911.pdf).

<sup>11</sup> See [www.fatf-gafi.org/dataoecd/14/21/41146580.pdf](http://www.fatf-gafi.org/dataoecd/14/21/41146580.pdf).

methods and techniques used to finance proliferation, including specific case examples and measures being taken by countries to combat this activity. This is also 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>12</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>13</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>14</sup> The Office has also developed a set of technical assistance tools on implementing international instruments against nuclear terrorism.<sup>15</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>16</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

<sup>12</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>13</sup> IAEA Nuclear Security Plan 2010-2013 (GOV/2009/54-GC(53)/18).

<sup>14</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>15</sup> See [www.unodc.org/unodc/en/terrorism/technical-assistance-tools.html](http://www.unodc.org/unodc/en/terrorism/technical-assistance-tools.html).

<sup>16</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).

should use a multidisciplinary approach that includes legal, human and technical resources and the procedures and functions to coordinate them; (c) the synergies of 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>17</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>18</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>19</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>20</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

<sup>17</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>18</sup> See, in particular, the IAEA safety standards series.

<sup>19</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>20</sup> See [http://www.abacc.org.br/?page\\_id=142&lang=en](http://www.abacc.org.br/?page_id=142&lang=en).

examples of legislation enacted by States parties to implement the Convention, along with examples of model legislation and explanatory documentation. It has 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>21</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>22</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>23</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

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<sup>21</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>22</sup> OPCW annual report 2010.

<sup>23</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).

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) 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>24</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>25</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

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<sup>24</sup> See [www.unog.ch/80256EE600585943/\(httpPages\)/855B57E1A5D7D60CC12573A6005334F3?OpenDocument](http://www.unog.ch/80256EE600585943/(httpPages)/855B57E1A5D7D60CC12573A6005334F3?OpenDocument).

<sup>25</sup> See [www.who.int/foodsafety/publications/general/en/terrorist.pdf](http://www.who.int/foodsafety/publications/general/en/terrorist.pdf).

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.

**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>26</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>27</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>28</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)

<sup>26</sup> See [www.icao.int/anb/FLS/DangerousGoods](http://www.icao.int/anb/FLS/DangerousGoods).

<sup>27</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>28</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).

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 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>29</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>30</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.

<sup>29</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>30</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).

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 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>31</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.

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<sup>31</sup>See [www.iaea.org/Publications/Documents/Infcircs/2009/infcirc209r2c1.pdf](http://www.iaea.org/Publications/Documents/Infcircs/2009/infcirc209r2c1.pdf).



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;
- (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

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
Workshop on radiological material security and safety in the Pacific	New Zealand	28 April 2009	Port-Vila
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

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
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
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



<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
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
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.

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
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
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

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
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
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

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
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
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

<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
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
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

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<i>Title</i>	<i>Organizer/sponsor</i>	<i>Date</i>	<i>Location</i>
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

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