#### SECURITY COUNCIL COMMITTEE ESTABLISHED PURSUANT TO RESOLUTION 1540 (2004)

#### Communication dated 30 April 2020 from the Permanent Mission of Switzerland to the United Nations

Dear all,
With reference to the Note Verbale SCA/5/20(03), please find in the enclosure the updated matrice for Switzerland. I would be grateful if you could bring it to the attention of the chair of the 1540 Committee
Kind regards,
Ligutonant-Colonal GS Alexandre Perron

Lieutenant-Colonel GS Alexandre Perren Military Adviser/Counsellor Permanent Mission of Switzerland to the United Nations

#### **DRAFT 1540 COMMITTEE MATRIX**

The information in the matrices originates primarily from national reports and is complemented by official government information, including that made available to inter-governmental organizations. The matrices are prepared under the direction of the 1540 Committee.

The 1540 Committee intends to use the matrices as a reference tool for facilitating technical assistance and to enable the Committee to continue to enhance its dialogue with States on their implementation of Security Council Resolution 1540.

The matrices are not a tool for measuring compliance of States in their non-proliferation obligations but for facilitating the implementation of Security Council Resolutions 1540 (2004), 1673 (2006), 1810 (2008), 1977 (2011), 2055 (2012) and 2325 (2016). They do not reflect or prejudice any ongoing discussions outside of the Committee, in the Security Council or any of its organs, of a State's compliance with its non-proliferation or any other obligations. Information on voluntary commitments is for reporting purpose only and does not constitute in any way a legal obligation arising from resolution 1540 or its successive resolutions.

Matrix entries are only indicators of fact and not indicators of the degree of compliance under resolution 1540 (2004) and its successor resolutions. Thus:

An "X" in any data field signifies only that the 1540 Committee considers that a State has taken the steps required, and/or has provided specific references to the applicable legal basis or executive behaviour as evidence of such steps. An "X" against any data field does not necessarily signify that a State has met in full its 1540 obligations for that data field.

A "?" in any data field signifies that the references to legislative or other measures may not be directly relevant or are incomplete.

A "NA" (Not Applicable) in any data field signifies that the data field is not applicable to that State where through legally binding instruments States specified that they do not possess related materials or facilities.

A blank in any data field signifies that there is insufficient information available to enter an "X" or "?" against a particular data field.

State: Swiss Confederation

Date of Report: 22 October 2004

Dates of Additional Reports: 19 September 2005

**15 December 2007** 

4 December 2013

Last Revised: [Date of publication of final approved Matrix on the Committee website]

#### I. OP 1 and related matters from OP 5, OP 8 (a), (b), (c) and OP10

truments, membership of										
Nuclear Non- Proliferation Treaty (NPT)	Deposit 9 March 1977									
Nuclear Weapons Free Zone/ Protocol(s)										
International Convention for the Suppression of Acts of Nuclear Terrorism	Deposit 15 October 2008									
Convention on Physical Protection of Nuclear Material (CPPNM)	Deposit 9 January 1987									
2005 Amendment to the CPPNM	Deposit 15 October 2008									
Comprehensive Nuclear- Test-Ban Treaty (CTBT) (not in force)	Deposit 1 October 1999									
Chemical Weapons Convention (CWC)	Deposit 10 March 1995									
Biological Weapons Convention (BWC)	Deposit 4 May 1976									
Geneva Protocol of 1925	Deposit 12 July 1932									
1997 International Convention for the Suppression of Terrorist Bombings	Deposit 23 September 2003									
1999 International Convention for the Suppression of the Financing of Terrorism										
5	Nuclear Non- Proliferation Treaty (NPT)  Nuclear Weapons Free Zone/ Protocol(s)  International Convention for the Suppression of Acts of Nuclear Terrorism  Convention on Physical Protection of Nuclear Material (CPPNM)  2005 Amendment to the CPPNM  Comprehensive Nuclear- Test-Ban Treaty (CTBT) (not in force)  Chemical Weapons Convention (CWC)  Biological Weapons Convention (BWC)  Geneva Protocol of 1925  1997 International Convention for the Suppression of Terrorist Bombings  1999 International Convention for the Suppression of the	Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc)  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc.  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc.  Relevant information (i.e. signing, deposit of instrument of accession, ratification, etc.  Relevant information (i.e. signing, deposit of instrument of accession, accession, accession of accession in state of instrument of accession, accession of								

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12	2005 Protocol to the Convention for the suppression of unlawful acts against the safety of maritime navigation	Deposit 15 October 2008	
13	2005 Protocol to the Protocol for the suppression of unlawful acts against the safety of fixed platforms located on the continental shelf	Deposit 15 October 2008	
14	2010 Convention on the Suppression of Unlawful Acts Relating to International Civil Aviation	Deposit 11 December 2014	
15	Other relevant regional legally binding instruments	Customs Treaty between Switzerland and Liechtenstein. The Swiss export control authority acts on behalf of the Government of Liechtenstein as licensing authority for the export of dual-use goods.	
16	International Atomic Energy Agency (IAEA)	Deposit 5 April 1957	
17	Directly relevant Arrangements	Nuclear Suppliers Group (NSG) Zangger Committee (ZC) Australia Group (AG) Missile Technology Control Regime (MTCR) Wassenaar Arrangement (WA) Proliferation Security Initiative (PSI) Global Initiative to Combat Nuclear Terrorism (GICNT) Hague Code of Conduct (HCoC)	
18	Statement on non- provision of WMD and related materials to non-State actors	Switzerland does not provide any form of support to non-State actors that attempt to develop, acquire, manufacture, possess, transport, transfer or use nuclear, chemical or biological weapons and their means of delivery. Such support would be in violation of Swiss legislation, the international obligations of Switzerland and the principles of Swiss foreign and security policy in general.	
19	Membership in relevant international, regional or sub-regional organisations	United Nations (UN) International Atomic Energy Agency (IAEA) Organization for the Prohibition of Chemical Weapons (OPCW) Comprehensive Nuclear-Test-Ban Treaty Organization (CTBTO) Organization for Security and Co-operation in Europe (OSCE) Financial Action Task Force (FATF) INTERPOL World Customs Organization (WCO)	

World Health Organization (WHO)
World Organisation for Animal Health (OIE)
International Maritime Organisation (IMO)
Inter-Parliamentary Union (IPU)
International Monetary Fund (IMF)
International Criminal Court (ICC)
World Bank
Global Partnership Against the Spread of Weapons and Materials of Mass Destruction
Nuclear Forensics International Technical Working Group (ITWG)
Nuclear Security Summit (NSS)
Nuclear Security Contact Group (NSCG)
International Partnership for Nuclear Disarmament Verification (IPNDV)
Creating an Environment for Nuclear Disarmament (CEND)
International Partnership against Impunity for the Use of Chemical Weapons
Secretary-General's Mechanism for Investigation of Alleged Use of Chemical and Biological Weapons (UNSGM)

### II. OP 2 - Nuclear Weapons (NW), Chemical Weapons (CW) and Biological Weapons (BW)

	ational legislation which ohibits persons or entities				<u>N</u> ational legal framework			<u>E</u> n	forcement and civil/criminal penalties	
-	to engage in one of the ollowing activities and its	_	X /?	_	Source document of national implementation	_	x /?	_	Course do sum out	Remarks
	enforcement		C W	B W	law	N W		B W	Source document	
1	manufacture	х	х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7	Х	х	х	<b>NW/CW/BW:</b> Federal Act on War Material of 13 December 1996, as amended, Article 34	
2	acquire	х	Х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7	х	Х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34	
3	possess	х	Х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7	х	Х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34	
4	develop	х	Х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7	х	Х	х	<b>NW/CW/BW:</b> Federal Act on War Material of 13 December 1996, as amended, Article 34	
5	transport	х	Х	х	NW/CW/BW: Federal Act on War Materials of 13 December 1996, as amended, Article 7	х	Х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34	
6	transfer	х	Х	х	NW/CW/BW: Federal Act on War Materials of 13 December 1996, as amended, Article 7	х	Х	х	<b>NW/CW/BW:</b> Federal Act on War Material of 13 December 1996, as amended, Article 34	
7	use	x	x	x	NW/CW/BW: Federal Act on War Materials of 13 December 1996, as amended, Article 7	x	x	x	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34  Swiss Criminal Code of 21 December 1937, as amended, Articles 226bis (causing danger by means of nuclear energy, radioactivity or ionising radiation), 264h (employing a chemical or biological weapon)	

8	attempt to engage in abovementioned activities	х	х	х	NW/BW/CW: Federal Act on War Materials of 13 December 1996, as amended, Article 7	х	х	x	NW/BW/CW: Federal Act on War Material of 13 December 1996, as amended, Article 34  Swiss Criminal Code of 21 December 1937, as amended, Articles 22-23
9	participate as an accomplice in abovementioned activities	х	х	х	NW/CW/BW: Federal Act on War Materials of 13 December 1996, as amended, Article 7	х	х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34  Swiss Criminal Code of 21 December 1937, as amended, Article 25 (Complicity)
10	assist in abovementioned activities	х	х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7	х	х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34  Swiss Criminal Code of 21 December 1937, as amended, Article 25 (Complicity)
11	finance abovementioned activities	x	x	x	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7, 8b, 8c (prohibition of direct and indirect financing of the development, manufacture or acquisition of prohibited war material which includes NBC weapons)  Federal Act on Combating Money Laundering and Terrorist Financing of 10 October 1997, as amended, in particular, Articles 6 (special due diligence in cases of indication of terrorist financing), 9 and 16 (duty to report), 23 (Money Laundering Reporting Office), 27 (exchange of information and duty to notify)  Swiss Criminal Code of 21 December 1937, as amended, Article 260quinquies (Financing terrorism, implementing the Convention for the Suppression of the Financing of Terrorism)	х	x	x	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34, 35b  Federal Act on Combating Money Laundering and Terrorist Financing of 10 October 1997, as amended, Article 23 (Money Laundering Reporting Office), 29a (notification of proceedings by prosecution authorities)  Ordinance on the Money Laundering Reporting Office of 25 August 2004, as amended (The Money Laundering Reporting Office Switzerland (MROS) at the Federal Office of Police (fedpol) is Switzerland's Financial Intelligence Unit or FIU)  Swiss Criminal Code of 21 December 1937, as amended, Article 260quinquies

12 a	abovementioned activities related to means of delivery <sup>1</sup>	х	Х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7	х	х	Х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34	
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<sup>1.</sup> Means of delivery: missiles, rockets and other unmanned systems capable of delivering nuclear, chemical, or biological weapons that are specially designed for such use.

# III. OP 3 (a) and (b) - Account for/Secure/Physically protect NW, CW and BW, including Related Materials <sup>2</sup>

do	Measures to establish mestic controls to prevent			<u>N</u> at	ional legal and/or regulatory framework			<u>E</u>	nforcement and civil/criminal penalties	
	e proliferation of NW, CW,		X /?				X /?			Remarks
	BW, and their means of delivery; controls over related materials	N W	c W	B W *	Source document	N W	c W	B W	Source document	
1		x		X X	NW: Ordinance on Safeguards of 21 March 2012, Sections 2-7  IAEA Safeguards Agreement (INFCIRC/264)  Nuclear Energy Act of 21 March 2003, as amended, Article 6 (licensing for handling nuclear materials, handling is defined to include production, research, storage and transport)  CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Chapter 5, Section 1  Chemicals Act of 15 December 2000, Art. 19  BW: Law on Epidemics of 28 December 2012, as amended, Article 26 (authorisation for confined use of pathogenic agents which includes production, use, storage and transport)  Ordinance on Handling Organisms in Contained	×		x	NW: Ordinance on Safeguards of 21 March 2012, Section 8 (penal measures)  CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Article 41  Chemicals Act of 15 December 2000, Chap. 7  BW: Law on Epidemics of 28 December 2012, as amended, Article 82(a) (penal provision)  Ordinance on Handling Organisms in Contained Systems of 9 May 2012, Article 11 (Federal Coordination Centre for Biotechnology)	
					Systems of 9 May 2012, Articles 8-11 (requirements for handling (includes use, processing, storage, transport) genetically modified or pathogenic organisms or alien organisms subject to a containment obligation)				Chemicals Act of 15 December 2000, Chap. 7	

2	Measures to account for use	x	x	x	Chemicals Act of 15 December 2000, Art. 19 (also applies to microorganisms)  NW: Ordinance on Safeguards of 21 March 2012, Sections 2-7  IAEA Safeguards Agreement (INFCIRC/264)  Nuclear Energy Act of 21 March 2003, as amended, Article 6  CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Chapter 5, Section 1  BW: Law on Epidemics of 28 December 2012, as amended, Article 26  Ordinance on Handling Organisms in Contained Systems of 9 May 2012, Articles 8-11  Chemicals Act of 15 December 2000, as amended, Articles 10 (authorisation for use of a biocidal product which is defined as an active substance which in turn is defined as substances and microorganisms), 11 (authorisation for use of a plant protection products which is defined as an active substance which is in turn defined as substances and microorganisms)	x	x	x	NW: Ordinance on Safeguards of 21 March 2012, Section 8  CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Article 41  BW: Law on Epidemics of 28 December 2012, as amended, Article 82(a)  Ordinance on Handling Organisms in Contained Systems of 9 May 2012, Article 11  Chemicals Act of 15 December 2000, Chapter 7 (criminal provisions)	
3	Measures to account for storage	x	x	x	NW: Ordinance on Safeguards of 21 March 2012, Sections 2–7  IAEA Safeguards Agreement (INFCIRC/264)  Nuclear Energy Act of 21 March 2003, as amended, Article 6  CW:	x	x	x	NW: Ordinance on Safeguards of 21 March 2012, Section 8  CW:	

	1				Ordinance on the Control of Chemicals Usable				Ordinance on the Control of Chemicals Usable	
					for Civil and Military Applications of 21 August 2013, as amended, Chapter 5, Section 1				for Civil and Military Applications of 21 August 2013, as amended, Article 41	
					2013, as amended, Chapter 5, Section 1				2013, as amended, Article 41	
					Chemicals Act of 15 December 2000, Art. 19				Chemicals Act of 15 December 2000, Chap. 7	
					BW:				BW:	
					Law on Epidemics of 28 December 2012, as				Law on Epidemics of 28 December 2012, as	
					amended, Article 26				amended, Article 82(a)	
					amended, Article 20				amended, Article 62(a)	
					Ordinance on Handling Organisms in Contained Systems of 9 May 2012, Articles 8-11				Ordinance on Handling Organisms in Contained Systems of 9 May 2012, Article 11	
					Chemicals Act of 15 December 2000, Art. 19				Chemicals Act of 15 December 2000, Chap. 7	
				1	NW:				NW:	
					Ordinance on Safeguards of 21 March 2012,				Ordinance on Safeguards of 21 March 2012,	
					Section 5				Section 8	
					IAEA Safeguards Agreement (INFCIRC/264)					
					Nuclear Energy Act of 21 March 2003, as amended, Article 6					
					CW:				cw:	
					Ordinance on the transportation of dangerous				Ordinance on the transportation of dangerous	
					goods by road of 29 November 2002, as				goods by road of 29 November 2002, as	
					amended				amended, Section 3	
	Measures to account for				amended				amended, Section 3	
4	transport	Х	X	Х	Ordinance on the transportation of dangerous	Х	Х	Х	Ordinance on the transportation of dangerous	
	Cransport				goods by railways and cableways of 31 October				goods by railways and cableways of 31 October	
					2012, as amended				2012, as amended	
									1011, 00 0	
					Inland Navigation Ordinance of 8 November				Inland Navigation Ordinance of 8 November	
					1978, as amended				1978, as amended	
					,					
					Chemicals Act of 15 December 2000, Art 19				Para 1f of the Chemicals Act of 15 December	
					allows for measures for specific substances				2000, Chap. 7	
					Ordinance on Protection against Major					
					Accidents of 27 February 1991, Art. 10, 18, 19					
					BW:				BW:	

					Law on Epidemics of 28 December 2012, as amended, Article 26  Ordinance on Protection against Major Accidents of 27 February 1991, Art. 10, 18, 19;  Containment Ordinance of 9 May 2012  Chemicals Act of 15 December 2000, Art. 19				Law on Epidemics of 28 December 2012, as amended, Article 82(a) (penal provision)  Para 1f of the Chemicals Act of 15 December 2000, Chap. 7	
5	Measures to secure production	x	X	x	NW:  Nuclear Energy Act of 21 March 2003, as amended, Article 7 (licensing to handle nuclear materials conditioned on guarantees of nuclear safety and security)  Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 9, Annex 2 (Principles for the security of nuclear installations, nuclear materials and radioactive waste)  Ordinance on the Threat Assumptions and Security Measures for Nuclear Installations and Nuclear Materials of 16 April 2008 (issued further to Article 9 of the Ordinance on Nuclear Energy of 10 December 2004)  CW:  Ordinance on Protection against Major Accidents of 27 February 1991  Chemicals Act of 15 December 2000, e.g. Art. 19 which allows for measures for specific substances  BW:  Law on Epidemics of 28 December 2012, as amended  Ordinance on Handling Organisms in Contained Systems of 9 May 2012	x	X	X	NW: Nuclear Energy Act of 21 March 2003, as amended, Chapter 9  Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 78  CW: Chemicals Act of 15 December 2000, Chap. 7  BW: Law on Epidemics of 28 December 2012, as amended Chemicals Act of 15 December 2000, Chap. 7  Ordinance on Handling Organisms in Contained Systems of 9 May 2012	

					Ordinance on Protection against Major Accidents of 27 February 1991, Annex 2.2, 3.2 and 4.2				
					Chemicals Act of 15 December 2000, e.g. Art. 19				
					NW: Nuclear Energy Act of 21 March 2003, as amended, Article 7				NW: Nuclear Energy Act of 21 March 2003, as amended, Chapter 9
					Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 9, Annex 2				Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 78
					Ordinance on the Threat Assumptions and Security Measures for Nuclear Installations and Nuclear Materials of 16 April 2008				
					<b>CW:</b> Chemicals Act of 15 December 2000, e.g. Art. 19				CW: Chemicals Act of 15 December 2000, Chap. 7
6	Measures to secure use	х	х	х	Ordinance on Protection against Major Accidents of 27 February 1991, Annex 2.1, 3.1 and 4.1	х	х	х	
					BW: Law on Epidemics of 28 December 2012, as amended				BW: Law on Epidemics of 28 December 2012, as amended
					Chemicals Act of 15 December 2000, e.g. Art. 19				Chemicals Act of 15 December 2000, e.g. Art. 19
					Ordinance on Handling Organisms in Contained Systems of 9 May 2012				Ordinance on Handling Organisms in Contained Systems of 9 May 2012
					Ordinance on Protection against Major Accidents of 27 February 1991, Annex 2.2, 3.2 and 4.2				
7	Measures to secure storage	х	х	х	NW: Nuclear Energy Act of 21 March 2003, as amended, Article 7	Х	X	X	NW: Nuclear Energy Act of 21 March 2003, as amended, Chapter 9

					Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 9, Annex 2  Ordinance on the Threat Assumptions and Security Measures for Nuclear Installations and Nuclear Materials of 16 April 2008  CW: Ordinance on Protection against Major Accidents of 27 February 1991  Chemicals Act of 15 December 2000, as amended, Article 21  BW: Law on Epidemics of 28 December 2012, as amended  Ordinance on Handling Organisms in Contained Systems of 9 May 2012  Ordinance on Protection against Major Accidents of 27 February 1991  Chemicals Act of 15 December 2000, as amended, Article 21 (storage of dangerous substances)				CW: Chemicals Act of 15 December 2000, as amended, Chapter 7  BW: Law on Epidemics of 28 December 2012, as amended Chemicals Act of 15 December 2000, as amended Chemicals Act of 15 December 2012, as amended	
8	Measures to secure transport	х	х	x	NW/CW/BW: Ordinance on the Transport of Dangerous Goods by Road (SDR) of 29 November 2002, as amended, in connection with the Agreement concerning the international carriage of dangerous goods by road (ADR) (covers security of road transport of toxic, infectious and radioactive substances)  Ordinance on the Transport of Dangerous Goods by Rail and Cableway Installations (RSD) of 31 October 2012, as amended, in connection with the Regulations concerning the international carriage of dangerous goods by rail (RID) (covers security of rail transport of toxic, infectious and radioactive substances)	х	х	X	NW/CW/BW: Ordinance on the Transport of Dangerous Goods by Road of 29 November 2002, as amended, Section 3 (penal provisions) Ordinance on the Transport of Dangerous Goods by Rail and Cableway Installations of 31 October 2012, as amended, Articles 8, 9, 10 (penal provisions)	

					Air Transport Ordinance, Article 16					
					<b>cw/bw:</b> Ordinance on Protection against Major Accidents of 27 February 1991					
					NW: Nuclear Energy Act of 21 March 2003, as amended, Article 7  Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 9, Annex 2  Ordinance on the Threat Assumptions and Security Measures for Nuclear Installations and Nuclear Materials of 16 April 2008  BW: Law on Epidemics of 28 December 2012, as amended, Article 45  Ordinance on the Handling of Organisms in the Environment of 10 September 2008  Ordinance on Handling Organisms in Contained Systems of 9 May 2012, Articles 4, 15 and 25				NW: Nuclear Energy Act of 21 March 2003, as amended, Chapter 9  Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 78  BW: Law on Epidemics of 28 December 2012, as amended, Article 83(m)	
9	Physical protection measures	х	X	x	NW: Nuclear Energy Act of 21 March 2003, as amended, Articles 5 (protective measures), 23 (security guards for nuclear installations)  Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 9, Annex 2  Ordinance on the Threat Assumptions and Security Measures for Nuclear Installations and Nuclear Materials of 16 April 2008  Ordinance on Security Guards for Nuclear Installations of 9 June 2006	х	X	х	NW: Nuclear Energy Act of 21 March 2003, as amended, Chapter 9	

					CW: Chemicals Act of 15 December 2000, as amended, Article 21 (secure storage of dangerous substances)  Ordinance on Protection against Major Accidents of 27 February 1991, Annex 2.1.				CW: Chemicals Act of 15 December 2000, as amended, Chapter 7
					BW: Law on Epidemics of 28 December 2012, as amended  Ordinance on Handling Organisms in Contained Systems of 9 May 2012				BW: Law on Epidemics of 28 December 2012, as amended  Ordinance on Handling Organisms in Contained Systems of 9 May 2012
10	Personnel Reliability	x	х	х	NW/CW/BW: Ordinance on Security Checks of Persons of 4 March 2011 (PSPV/OCSP)  NW: Nuclear Energy Act of 21 March 2003, as amended, Article 24 (reliability assessments)  Ordinance on Security Background Checks in the Area of Nuclear Installations of 9 June 2006, as amended (PSPVK/OCSPN)  CW/BW: Chemicals Act of 15 December 2000, Art. 24 authorises to introduce personal and professional criteria, which need to be fulfilled in order for a person to work with certain substances.  CW: The Chemical Risk Reduction Ordinance of 18 May 2005, as well as other specialized ordinances, also demand stringent controls of the professional qualification of employees dealing with dangerous goods.	x	X	X	NW: Nuclear Energy Act of 21 March 2003, as amended, Article 24 (Federal Council)

<sup>2.</sup> Related materials: materials, equipment and technology covered by relevant multilateral treaties and arrangements, or included on national control lists, which could be used for the design, development, production or use of nuclear, chemical and biological weapons and their means of delivery.



### IV. OP 3 (a) and (b) - Account for/Secure/Physically protect NW including Related Materials (NW specific)

dor the	Measures to establish nestic controls to prevent proliferation of NW, and heir means of delivery; controls over related materials									
1	National regulatory authority	Nuclear Energy Act of 21 March 2003, as amended, Article 70 (Swiss Federal Nuclear Safety Inspectorate (ENSI) (for safety and security) and others as nominated by the federal council)  Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 6: ENSI for safety and security, Swiss Federal Office of Energy (SFOE) all other aspects of the Nuclear Energy Act  Ordinance on Safeguards of 21 March 2012 as amended, Article 4: SFOE as State System for Accounting for and Control of nuclear material (SSAC)								
2	Licensing of nuclear installations/entities/ use of materials	Nuclear Energy Act of 21 March 2003, as amended, Chapter 3 (nuclear goods), Chapter 4 (nuclear installations)  Ordinance on Nuclear Energy of 10 December 2004, as amended, Chapter 3 (nuclear goods), Chapter 4 (nuclear installations)								
3	IAEA Safeguards Agreements	Safeguards Agreement (INFCIRC 264), in force 6 September 1978 Additional Protocol, in force 1 February 2005 Ordinance on Safeguards of 21 March 2012								
4	IAEA Code of Conduct on Safety and Security of Radioactive Sources	Notification pursuant to GC (47)/RES/7.B  On requirements for handling and transport of radioactive sources, see: Radiological Protection Act, as amended, of 22 March 1991 Radiological Protection Ordinance of 26 April 2017								
5	Supplementary Guidance on the Import and Export of Radioactive Sources of the Code of Conduct on the Safety and Security of Radioactive Sources	Radiological Protection Ordinance of 26 April 2017  Notification pursuant to GC (48)/RES/10.D; contact point designated; response to questionnaire Also relevant: Supplementary Guidance on the Management of Disused Radioactive Sources: Notification pursuant to GC (61)/RES/8.2								

6	IAEA Incident and Trafficking Database	Participates in the ITDB	
7	Integrated Nuclear Security Support Plan (INSSP) / International Physical Protection Advisory Service (IPPAS)	IPPAS mission (2 <sup>nd</sup> ) 28 May 2018	
8	Applying the physical protection recommendations in INFCIRC/225/Rev.5	NSS13 (Rev. 0)	
9	Other Agreements related to IAEA	Convention on Early Notification of a Nuclear Accident (deposit 31 May 1988)  Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency (deposit 31 May 1988)  Joint Protocol Relating to the Application of the Vienna Convention and the Paris Convention (signature 21 September 1988)  Convention on Nuclear Safety (deposit 12 September 1996)  Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management (deposit 5 April 2000)	
10	National legislation and regulations related to nuclear material including CPPNM	Nuclear Energy Act of 21 March 2003, as amended  Ordinance on Nuclear Energy of 10 December 2004, as amended  Ordinance on Safeguards of 21 March 2012, as amended  Ordinance on the Threat Assumptions and Security Measures for Nuclear Installations and Nuclear Materials of 16 April 2008	

## V. OP 3 (a) and (b) - Account for/Secure/Physically protect CW including Related Materials (CW specific)

	Measures to establish omestic controls to prevent he proliferation of CW, and their means of delivery; controls over related materials								
1	National CWC authority	Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Article 6: The Swiss "National Authority CWC", chaired by the Security Policy Division within the Federal Department for Foreign Affairs (FDFA) and complemented by the State Secretariat for Economic Affairs (SECO) within the Federal Department of Economic Affairs, Education and Research (DEAER); International Relations Defence (IR D) and Spiez Laboratory within the Federal Department of Defence, Civil Protection and Sport (DDPS)							
2	Licensing/registration of installations/facilities/ persons/entities/use/ handling of related materials	ons/facilities/ centities/use/ of related  Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Chapters 4  (permits), 5 (declarations), Article 41 (penal provision)							
3	Old or abandoned chemical weapons	Duty of the Explosive Ordnance Disposal of the Armed Forces under the obligations stipulated in the CWC							

### VI. OP 3 (a) and (b) - Account for/Secure/Physically protect BW including Related Materials (BW specific)

the m	Measures to establish mestic controls to prevent proliferation of BW, their eans of delivery; controls over related materials							
1	Licensing/registration of installations/facilities/persons/entities/use/handling of materials	Ordinance on Handling Organisms in Contained Systems of 9 May 2012, Articles 10 and 11  Law on Epidemics of 28 December 2012, as amended, Article 26 (authorisation for confined use of pathogenic agents which includes production, use, storage and transport)  Chemicals Act of 15 December 2000, as amended, Articles 10 (authorisation for use of a biocidal product which is defined as an active substance which in turn is defined as substances and microorganisms), 11 (authorisation for use of a plant protection products which is defined as an active substance which is in turn defined as substances and microorganisms)						

#### VII. OP 3 (c) and (d) and related matters from OP 6 - Controls of NW, CW and BW, including Related Materials

and	Border controls and export and trans-shipment controls to prevent the proliferation				<u>N</u> ational legal framework			En		
of r bio me	orevent the proliferation nuclear, chemical and logical weapons and their ans of delivery including ated materials	N W			Source document	N W	x /? c w	B W	Source document	Remarks
1	Border control to detect, deter, prevent and combat illicit trafficking	х	х	x	NW/CW/BW: Law on Customs of 18 March 2005, as amended, Chapter 1 (oversight of circulation of goods)  Goods Control Act of 13 December 1996, as amended, Article 11 (border control responsibility of customs authorities)  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Article 26 (border control responsibility of customs authorities)	х	х	X	NW/CW/BW: Law on Customs of 18 March 2005, as amended, Articles 117, 120 (penalties for prohibited traffic), Title 5 (customs administration)  Customs Ordinance of 1 November 2006, as amended, Title 4 (Federal Customs Administration)  Customs Ordinance of the Swiss Customs Administration of 4 April 2007, as amended  Goods Control Act of 13 December 1996, as amended, Article 11, Section 5 (criminal provisions)  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Article 26	
2	Law enforcement to detect, deter, prevent and combat illicit trafficking	x	x	x	NW/CW/BW: Law on Customs of 18 March 2005, as amended, Chapter 1 (oversight of circulation of goods)	x	x	x	NW/CW/BW: Law on Customs of 18 March 2005, as amended, Title 5 (customs administration)  Customs Ordinance of 1 November 2006, as amended, Title 4 (Federal Customs Administration)  Customs Ordinance of the Swiss Customs Administration of 4 April 2007, as amended	

3	Border control detection measures	X	х	х	NW/CW/BW: Customs Act of 18 March 2005, as amended, Title 6 (data protection and administrative assistance)  Customs Ordinance of 1 November 2006, as amended, Section 11 (passenger and goods lists)  Goods Control Act of 13 December 1996, Art. 19 ("Administrative assistance within Switzerland")	X	X	×	NW/CW/BW: Customs Administration uses an Advanced Cargo Information System for risk assessment, pre-screening and preliminary criminal investigations  Customs Ordinance of the Swiss Customs Administration of 4 April 2007, as amended
4	Control of brokering	X	х	x	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7 (prohibition to broker nuclear, chemical and biological weapons)  Goods Control Act of 13 December 1996, as amended, Articles 3e, 4, 5 (legal basis for additional brokering controls)  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Article 25 (brokering)	X	х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34 (criminal penalty for brokering NBC weapons)  Goods Control Act of 13 December 1996, as amended, Article 14 (criminal penalty in relation to brokering)
5	Export control legislation in place	x	x	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7 (prohibition on export of nuclear, chemical and biological weapons)  Goods Control Act of 13 December 1996, as amended  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Chapter 2 (exports)	х	х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34  Goods Control Act of 13 December 1996, as amended, Section 5

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					Federal Act on the Implementation of International Sanctions of 22 March 2002, as amended, and its Ordinances				Federal Act on the Implementation of International Sanctions of 22 March 2002, as amended, Section 5	
					Federal Act on Private Security Services provided Abroad of 23 September 2013, Article 4 (a) 6				Federal Act on Private Security Services provided Abroad of 23 September 2013, Section 5	
					CW/BW: Chemicals Law of 15 December 2000, as amended, Article 19(d) (special conditions to exports)				CW/BW: Chemicals Act of 15 December 2000, Articles 34(1)(e), 49(1)(d)	
					NW:					
					Nuclear Energy Act of 21 March 2003, as amended, Article 7					
					Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 14					
					CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Chapter 4, Section 2 (import, export and transit); Chapter 5, Section 2 (import and export)				CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Chapter 7 (penal measures)	
	Licensing provisions and				NW/CW/BW: Goods Control Act of 13 December 1996, as amended, Section 2  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Chapters 2 and 3				NW/CW/BW: Goods Control Act of 13 December 1996, as amended, Article 7 (revocation), Section 5 (criminal provisions)  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Article 27	
6	Authority	X	X	X	<b>NW:</b> Nuclear Energy Act of 21 March 2003, as amended, Article 7	X	X	X	, , , , , , , , , , , , , , , , , , ,	
					Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 15					

					CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, Articles 4, 13-15, 17, Section 3 (procedure)				CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, Articles 19 20, 21, 22
7	Control lists of materials, equipment and technology	х	X	x	NW/CW/BW: Goods Control Act of 13 December 1996, as amended, Articles 2 and 3  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Articles 1, 2, Annexes 1, 2 and 3 (items controlled by Australia Group, Wassenaar Arrangement, Nuclear Suppliers Group and Missile Technology Control Regime and Chemical Weapons Convention)  CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Article 1, Annex	x	х	X	NW/CW/BW: Goods Control Act of 13 December 1996, as amended, Articles 2 and 3  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Annexes 1, 2 and 3  CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Annex
8	Intangible technology transfers	×	Х	x	NW/CW/BW: Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Article 3 and Annexes 1, 2 and 3  NW: Nuclear Energy Act of 21 March 2003, as amended, Article 6  Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 14	X	×	×	NW/CW/BW: Goods Control Act of 13 December 1996, as amended, Article 14 (criminal penalty for passing on or brokering technology or software for recipient abroad without required license)
9	Inclusion of means of delivery	х	х	х	NW/CW/BW: Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Articles 1 and 2, Annexes 1, 2 and 3 (Control list contains MTCR controlled items)	х	х	х	NW/CW/BW: Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Annexes 1, 2 and 3

10	End-user controls	x	x	x	NW/CW/BW: Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Articles 6, 8, 18  CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Articles 13-15, 19, 23	×	x	x	NW/CW/BW: Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Articles 6, 8, 18
11	Catch all clause	x	x	х	NW/CW/BW: Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Article 3(4)	x	х	х	NW/CW/BW: Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Article 3(4)  Goods Control Act of 13 December 1996, Art. 15
12	Transit control	х	х	x	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7 (prohibition on, inter alia, transit of nuclear, chemical or biological weapons)  Goods Control Act of 13 December 1996, as amended, Article 4  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Article 24  NW: Nuclear Energy Act of 21 March 2003, as amended, Article 6  Ordinance on Nuclear Energy of 10 December 2004, as amended, Article 15  CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Article 18	х	х	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34  Goods Control Act of 13 December 1996, as amended, Section 5

13	Trans-shipment control	X	X	x	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Article 24  CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Article 18	X	X	x	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34  Goods Control Act of 13 December 1996, as amended, Section 5
14	Re-export control	x	х	x	NW/CW/BW: Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 3 June 2016, as amended, Article 62 b  CW: Ordinance on the Control of Chemicals Usable for Civil and Military Applications of 21 August 2013, as amended, Article 9	x	x	x	NW/CW/BW: Goods Control Act of 13 December 1996, as amended, Section 5  Ordinance on the Control of Export, Import and Transit of Dual Use Goods and Specific Military Goods of 25 June 1997, Art. 27
15	Control over financing of exports/transhipments that would contribute to proliferation	x	x	x	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 7, 8b and 8c (prohibition of direct and indirect financing of inter alia the acquisition of prohibited war material which includes NBC weapons)  Federal Act on Combating Money Laundering and Terrorist Financing of 10 October 1997, as amended, in particular, Articles 6 (special due diligence in cases of indication of terrorist financing), 9 and 16 (duty to report), 23 (Money Laundering Reporting Office), 27 (exchange of information and duty to notify)  Swiss Criminal Code of 21 December 1937, as amended, Article 260quinquies (Financing terrorism, implementing the Convention for the Suppression of the Financing of Terrorism)	х	x	х	NW/CW/BW: Federal Act on War Material of 13 December 1996, as amended, Article 34, 35b  Federal Act on Combating Money Laundering and Terrorist Financing of 10 October 1997, as amended, Article 23 (Money Laundering Reporting Office), 29 (notification of proceedings by prosecution authorities)  Ordinance on the Money Laundering Reporting Office of 25 August 2004, as amended (The Money Laundering Reporting Office Switzerland (MROS) at the Federal Office of Police (fedpol) is Switzerland's Financial Intelligence Unit or FIU)  Swiss Criminal Code of 21 December 1937, as amended, Article 260quinquies

16	Control over services				Federal Act on War Material of 13 December				Federal Act on War Materials of 13 December	
	related to exports/				1996, as amended, Article 7				1996, Article 34	
	transhipments that	_	Х	_		_	_	v		
	would contribute to	^	^	^		^	^	^		
	proliferation including									
	transportation									

### VIII. OP 7 and 8 (d) - Assistance, Work with and inform Industry and Public, and other Information

1	Assistance offered	Switzerland engages in assistance projects with other states though capacity-building in the area of CBRN protection. Interested states are invited to address requests for specific assistance to the point of contact listed below.
2	Assistance Point of Contact (for assistance providers only)	Section Arms Control, Division for Security Policy, Directorate of Political Affairs, Federal Department of Foreign Affairs (pd-asp-abruestung@eda.admin.ch).  Military Adviser/Counsellor at the Permanent Mission of Switzerland to the United Nations  Permanent Mission of Switzerland to the OSCE, the United Nations and other International Organisations in Vienna  Arms Control and Disarmament Policy Unit, International Relations Defence, Federal Department of Defence, Civil Protection and Sports  The Awareness-raising program by the Federal Intelligence Service (FIS) has a point of contact mailbox for industry and public.
3	Assistance requested	
4	Action taken to work with and inform industry	In Switzerland, all relevant laws and international agreements must be published. The complete texts are available on the Internet. The export control authorities are in close contact with industry associations. Relevant companies are routinely informed about changes in legislation that may affect their business. Targeted awareness-raising campaigns are directed towards selected companies. Awareness-raising is principally directed towards two groups of businesses: companies whose products may be attractive to proliferators, and companies that have been observed to be approached by potential proliferators.  Since 2004, the FIS runs an awareness and prevention programme called Prophylax. Based on a legal mandate (Federal Act of the Intelligence Service, article 6, paragraph 6), the programme raises awareness of the threats posed by espionage and proliferation among companies, universities and research institutions in Switzerland and Liechtenstein. The aim of the programme is to strengthen controls on exports of critical and proliferation-sensitive goods and to raise awareness among companies and institutions about espionage risks. The programme offers also a point of contact for companies or institutions in case of need. Targeted awareness briefings with companies, universities and research centres as well as public presentations at conventions and trade fairs or seminars in the economic or academic sector are important elements of the programme's prevention efforts.
5	Action taken to work with and inform the public	In Switzerland, all relevant laws and international agreements must be published. The complete texts are available on the Internet.  The FIS tries to raise awareness also among the broader public through articles in journals, presentations at conventions and trade fairs or seminars in the economic or academic sector.
6	Point of Contact	Coordinating Government Unit: Section Arms Control, Disarmament and Non-Proliferation, Division for Security Policy, Directorate of Political Affairs, Federal Department of Foreign Affairs (pd-asp-abruestung@eda.admin.ch)
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		Military Adviser/Counsellor at the Permanent Mission of Switzerland to the United Nations
		Permanent Mission of Switzerland to the OSCE, the United Nations and other International Organisations in Vienna
	Voluntary National	
7	Implementation Action	
	Plan (NAP)	
8	1540 Committee visits	
	to States	