

# 1540 COMMITTEE MATRIX OF UNITED STATES OF AMERICA

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) and 1977 (2011). 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.

## OP 1 and related matters from OP 5, OP 6, OP 8 (a), (b), (c) and OP 10

<b>State:</b>	<b>UNITED STATES OF AMERICA</b>
<b>Date of Report</b>	<b>24 October 2004</b>
<b>Date of First Addendum:</b>	<b>13 September 2005</b>
<b>Date of Second Addendum:</b>	<b>21 December 2007</b>
<b>Date of Third Addendum:</b>	<b>8 January 2008</b>
<b>Date of Fourth Addendum:</b>	<b>11 October 2013</b>
<b>Date of Committee Approval:</b>	

Legally binding instruments, organizations, codes of conduct, arrangements, statements and other issues.		YES	if YES, relevant information (i.e. signing, accession, ratification, etc)	Remarks (information refers to the page of the English version of the national report or an official web site)
1	Nuclear Non-Proliferation Treaty (NPT)	X	Deposit 5 March 1970	
2	Nuclear Weapons Free Zone/ Protocol(s)	X	Treaty of Tlatelolco, Protocols signed 12 May 1971 Treaty of Rarotonga, Protocols signed 25 March 1996 Treaty of Pelindaba, Protocols signed 11 April 1996	
3	Convention for the Suppression of Acts of	X	Deposit 14 September 2005	

	Nuclear Terrorism			
4	Convention on Physical Protection of Nuclear Material (CPPNM)	X	Ratified 1982	
5	2005 Amendment to the CPPNM			
6	Comprehensive Nuclear-Test-Ban Treaty (CTBT) (not in force)	?	Signed 24 September 1996	
7	Chemical Weapons Convention (CWC)	X	Deposit 25 April 1997	
8	Biological Weapons Convention (BWC)	X	Deposit 26 March 1975	
9	Geneva Protocol of 1925	X	Deposit 10 April 1975	
10	Other Conventions/Treaties	X	State party to 12 of the 19 universal legal instruments against terrorism, including the following relevant to resolution 1540 (2004): 1997 International Convention for the Suppression of Terrorist Bombings (ratified 26 June 2002) 1999 International Convention for the Suppression of the Financing of Terrorism (ratified 26 June 2002)  Ratified the Convention on the prohibition of military or any hostile use of environmental modification techniques (deposited January 17, 1980)	
11	International Atomic Energy Agency (IAEA)	X	Since 1957	
12	Hague Code of Conduct (HCOC)	X	Signed 25 November 2002	
13	Other Arrangements	X	Proliferation Security Initiative (PSI) Wassenaar Arrangement (WA) Australia Group (AG) Zangger Committee (ZC) Nuclear Suppliers Group (NSG) Missile Technology Control Regime (MTCR) Global Initiative to Combat Nuclear Terrorism	
14	General statement on non-possession of WMD			
15	General statement on commitment to disarmament and non-proliferation	X	National Security Strategy May (2010) National Strategy for Countering Biological Threats (2009) National Health Security Strategy (2009) National Strategy to Combat Weapons of Mass Destruction (2002)	

16	General statement on non-provision of WMD and related materials to non-State actors	X	<p>National Security Strategy (2010)</p> <p>National Strategy for Biosurveillance (2012)</p> <p>National Strategy for Counterterrorism lists preventing terrorists from developing, acquiring and using WMD as one of the overarching goals of US counterterrorism strategy (2011)</p> <p>National Strategy to Combat Transnational Organized Crime (2011)</p> <p>National Strategy for Countering Biological Threats (2009)</p> <p>2011 U.S.-EU Joint Declaration in support of UNSCRs 1540 and 1977</p>	
17	Other <sup>1</sup>	X	<p>WMD-related ship boarding agreements with eleven key flag or transshipment states</p> <p>Container Security Initiative (CSI) is now operational at 58 ports in North America, Europe, Asia, Africa, the Middle East, and Latin and Central America. CBP's 58 operational CSI ports now prescreen over 80 percent of all maritime containerized cargo imported into the United States.</p> <p>67 Customs Mutual Assistance Agreements (CMAA) have been concluded for the exchange of Customs information</p> <p>More than 60 changes Mutual Legal Assistance (MLA) Agreements to assist in prosecution of cases</p> <p>Member of most international organizations associated with UNSCR 1540 implementation That the United States is eligible for membership, including the: Egmont Group; World Customs Organization; INTERPOL; World Health Organization; Financial Action Task Force (FATF); G8 Global Partnership Against the Spread of Weapons of Mass Destruction; OIE, as well as regional and subregional organizations that have adopted resolutions supporting implementation of UNSCR 1540 among them the OAS, OSCE, and NATO</p> <p>2010 National Space Policy of the United States of America</p> <p>Antarctic Treaty, signed August 18, 1960</p>	

1. Including, as appropriate, information with regard to membership in relevant international, regional or sub-regional organizations.

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

Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			if YES, source document of national implementation law	YES			if YES, source document	
		N W	C W	B W		N W	C W	B W		
1	manufacture/produce	X	X	X	<b>NW:</b> Atomic Energy Act, as amended, 42 USC 2011 et seq  <b>CW:</b> Chemical Weapons Convention Act of 1998, 18 USC 229  <b>BW:</b> Biological Weapon Anti-Terrorism Act of 1989, as amended, 18 USC 175 Antiterrorism and Effective Death Penalty Act of 1996, Section 511 Enhanced Penalties and Controls of Biological Agents and Section 702 Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (USA PATRIOT Act) Public Health Security and Bioterrorism Preparedness and Response Act of 2002 Agricultural Bioterrorism Protection Act of 2002 Intelligence Reform and Terrorism Prevention Act of 2004, specific prohibition against Variola virus-based biological weapons, 18 USC 175c, produce, engineer, synthesize, acquire, transfer directly or indirectly, receive,	X	X	X	<b>NW:</b> Atomic Energy Act, as amended, 42 USC 2011 et seq Crimes and Criminal Procedure, 18 USC 831 and 832  <b>CW:</b> Crimes and Criminal Procedure, 18 USC 229, 18 USC 229A Export Administration Act (EAA) and Export Administration Regulations (EAR), through the International Emergency Economic Powers Act (IEEPA), 15 CFR Parts 730-799  <b>BW:</b> Crimes and Criminal Procedure, 18 USC 175, 175a, 175c, 176, and 177 Civil Asset Forfeiture Reform Act (CAFRA)	

					possess, import, export, or use					
2	acquire	X	X	X	<p><b>NW:</b> Atomic Energy Act, as amended, 42 USC 2011 et seq</p> <p><b>CW:</b> Chemical Weapons Convention Act of 1998, 18 USC 229</p> <p><b>BW:</b> Biological Weapon Anti-Terrorism Act of 1989, as amended, 18 USC 175 Antiterrorism and Effective Death Penalty Act of 1996, Section 511 Enhanced Penalties and Controls of Biological Agents and Section 702 Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (USA PATRIOT Act) Public Health Security and Bioterrorism Preparedness and Response Act of 2002 Agricultural Bioterrorism Protection Act of 2002 Intelligence Reform and Terrorism Prevention Act of 2004, specific prohibition against Variola virus-based biological weapons, 18 USC 175c, produce, engineer, synthesize, acquire, transfer directly or indirectly, receive, possess, import, export, or use</p>	X	X	X	<p><b>NW:</b> Atomic Energy Act, as amended, 42 USC 2011 et seq Crimes and Criminal Procedure, 18 USC 831</p> <p><b>CW:</b> Crimes and Criminal Procedure, 18 USC 229, 18 USC 229A Export Administration Act (EAA) and Export Administration Regulations (EAR), through the International Emergency Economic Powers Act (IEEPA), 15 CFR Parts 730-799</p> <p><b>BW:</b> Crimes and Criminal Procedure, 18 USC 175, 175a, 175c, 176, and 177 Civil Asset Forfeiture Reform Act (CAFRA)</p>	
3	possess	X	X	X	<p><b>NW:</b> Atomic Energy Act, as amended, 42 USC 2011 et seq</p> <p><b>CW:</b></p>	X	X	X	<p><b>NW:</b> Atomic Energy Act, as amended, 42 USC 2011 et seq Crimes and Criminal Procedure, 18 USC 831 and 832</p> <p><b>CW:</b></p>	

				<p>Chemical Weapons Convention Act of 1998, 18 USC 229</p> <p><b>BW:</b>          Biological Weapon Anti-Terrorism Act of 1989, as amended, 18 USC 175          Antiterrorism and Effective Death Penalty Act of 1996, Section 511 Enhanced Penalties and Controls of Biological Agents and Section 702          Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (USA PATRIOT Act)          Public Health Security and Bioterrorism Preparedness and Response Act of 2002          Agricultural Bioterrorism Protection Act of 2002          Intelligence Reform and Terrorism Prevention Act of 2004, specific prohibition against Variola virus-based biological weapons, 18 USC 175c, produce, engineer, synthesize, acquire, transfer directly or indirectly, receive, possess, import, export, or use</p>			<p>Crimes and Criminal Procedure, 18 USC 229, 18 USC 229A          Export Administration Act (EAA) and Export Administration Regulations (EAR), through the International Emergency Economic Powers Act (IEEPA), 15 CFR Parts 730-799</p> <p><b>BW:</b>          Crimes and Criminal Procedure, 18 USC 175, 175a, 175b, 175c, 176, and 177</p>	
4	stockpile/store		X X	<p><b>CW:</b>          Chemical Weapons Convention Act of 1998, 18 USC 229</p> <p><b>BW:</b>          Biological Weapon Anti-Terrorism Act of 1989, as amended, 18 USC 175          Antiterrorism and Effective Death Penalty Act of 1996, Section 511 Enhanced Penalties and Controls of Biological Agents and Section 702          Uniting and Strengthening America by Providing Appropriate Tools Required to</p>	X	X	<p><b>CW:</b>          Crimes and Criminal Procedure, 18 USC 229, 18 USC 229A          Export Administration Act (EAA) and Export Administration Regulations (EAR), through the International Emergency Economic Powers Act (IEEPA), 15 CFR Parts 730-799</p> <p><b>BW:</b>          Crimes and Criminal Procedure, 18 USC 175, 175a, 175c, 176, and 177          CAFRA</p>	

				Intercept and Obstruct Terrorism Act of 2001 (USA PATRIOT Act) Public Health Security and Bioterrorism Preparedness and Response Act of 2002 Agricultural Bioterrorism Protection Act of 2002 Intelligence Reform and Terrorism Prevention Act of 2004, specific prohibition against Variola virus-based biological weapons, 18 USC 175c, produce, engineer, synthesize, acquire, transfer directly or indirectly, receive, possess, import, export, or use						
5	develop	X	X	X	<b>NW:</b> Atomic Energy Act, as amended, 42 USC §2011 et seq.  <b>CW:</b> Chemical Weapons Convention Act of 1998, 18 USC 229  <b>BW:</b> Biological Weapon Anti-Terrorism Act of 1989, as amended, 18 USC 175 Antiterrorism and Effective Death Penalty Act of 1996, Section 511 Enhanced Penalties and Controls of Biological Agents and Section 702 Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (USA PATRIOT Act) Public Health Security and Bioterrorism Preparedness and Response Act of 2002 Agricultural Bioterrorism Protection Act of 2002 Intelligence Reform and Terrorism Prevention Act of 2004, specific prohibition against Variola virus-based biological weapons, 18 USC 175c, produce, engineer, synthesize,	X	X	X	<b>NW:</b> Atomic Energy Act, as amended, 42 USC §2011 et seq. Crimes and Criminal Procedure, 18 USC 831  <b>CW:</b> Crimes and Criminal Procedure, 18 USC 229, 18 USC 229A Export Administration Act (EAA) and Export Administration Regulations (EAR), through the International Emergency Economic Powers Act (IEEPA), 15 CFR Parts 730-799  <b>BW:</b> Crimes and Criminal Procedure, 18 USC 175, 175a, 175c, 176, and 177 CAFRA	

				acquire, transfer directly or indirectly, receive, possess, import, export, or use						
6	transport	X	X	X	<b>NW/CW/BW:</b> Public Health Security and Bioterrorism Preparedness and Response Act of 2002  <b>CW:</b> National Defense Authorization Act for Fiscal Year 1995, Section 143  <b>BW:</b> USA Patriot Act of 2001, as amended, prohibits "restricted persons" from transporting biological agents and toxins, amending 18 USC 175 Agricultural Bioterrorism Protection Act of 2002 (incorporated in Public Health Security and Bioterrorism Preparedness and Response Act of 2002)	X	X	X	<b>NW/CW:</b> 18 USC Section 2283  <b>BW:</b> USA Patriot Act, 18 USC 175b 18 USC 2283 International Emergency Economic Powers Act (IEEPA), 15 CFR Parts 730-799	
7	transfer	X	X	X	<b>NW:</b> Atomic Energy Act, as amended, 42 USC § 2011 et seq  <b>CW:</b> Chemical Weapons Convention Act of 1998, 18 USC 229  <b>BW:</b> Biological Weapon Anti-Terrorism Act of 1989, as amended, 18 USC 175 Public Health Security and Bioterrorism Preparedness and Response Act of 2002 Agricultural Bioterrorism Protection Act of 2002 (incorporated in 2 above) - B Intelligence Reform and Terrorism Prevention Act of 2004, specific prohibition against	X	X	X	<b>NW:</b> Atomic Energy Act, as amended, 42 USC §2011 et seq Crimes and Criminal Procedure, 18 USC 831  <b>CW:</b> Crimes and Criminal Procedure, 18 USC 229 Export Administration Act (EAA) and Export Administration Regulations (EAR), through the International Emergency Economic Powers Act (IEEPA), 15 CFR Parts 730-799  <b>BW:</b> Crimes and Criminal Procedure, 18 USC 175, 175a, 175c, 176, and 177 CAFRA International Emergency Economic Powers Act (IEEPA), 15 CFR Parts 730-799	



					Variola virus-based biological weapons, 18 USC 175c					
8	use	X	X	X	<b>NW:</b> Crimes and Criminal Procedure, 18 USC 2332a and 832c Atomic Energy Act, as amended, 42 USC §2011 et seq  <b>CW:</b> Violent Crime and Law Enforcement Act of 1994, as amended, 18 USC 2332a (although it may only do so by implementing the provisions of the Convention on Terrorist Bombing) Chemical Weapons Convention Implementation Act, 18 USC 229 and 22 USC 6771  <b>BW:</b> Violent Crime Control and Law Enforcement Act of 1994, as amended, 18 USC 2332a Intelligence Reform and Terrorism Prevention Act of 2004, as amended, 18 USC 175c Chemical Weapons Convention Act also prohibits some testing of biological agents and toxins, 22 USC 6771	X	X	X	<b>NW:</b> Crimes and Criminal Procedure, 18 USC 831 and 2332a Atomic Energy Act, as amended, 42 USC § 2011 et seq  <b>CW:</b> Crimes and Criminal Procedure, 18 USC 229 Implementation enforcement, 22 USC 6761-6762  <b>BW:</b> Crimes and Criminal Procedure, 18 USC 175, 175a, 175c, 176, and 177 CAFRA Crimes and Criminal Procedure, 18 USC 2332, 2332e and 2333	
9	participate as an accomplice in abovementioned activities	X	X	X	<b>NW:</b> Crimes and Criminal Procedure, 18 USC 2332a Crimes and Criminal Procedure, 18 USC 2, 39, and 831  <b>CW:</b> Violent Crime and Law Enforcement Act of 1994, as amended, 18 USC 2332a (although it may only do so by implementing the	X	X	X	<b>NW/CW/BW:</b> Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended ) 31 CFR Part 544 includes accomplice, assisting or abetting and added penalties  <b>NW:</b> Crimes and Criminal Procedure, 18 USC 2332, 2333, 2339 Crimes and Criminal Procedure, 18 USC 2, 39, and 831  <b>CW:</b> Crimes and Criminal Procedure, 18 USC 229 Export Administration Act (EAA) and Export Administration Regulations (EAR), through the	

					provisions of the Convention on Terrorist Bombing) Chemical Weapons Convention Implementation Act, 18 USC 229 and 22 USC 6771  <b>BW:</b> Violent Crime Control and Law Enforcement Act of 1994, as amended, 18 USC 2332a Anti-Terrorism and Effective Death Penalty Act of 1996, Section 511 amended 18 USC 175c to include conspiracy				International Emergency Economic Powers Act (IEEPA), 15 CFR Parts 730-799	
10	assist in abovementioned activities	X	X	X	<b>NW:</b> Crimes and Criminal Procedure, 18 USC 2339  <b>CW:</b> Violent Crime and Law Enforcement Act of 1994, as amended, 18 USC 2332a (although it may only do so by implementing the provisions of the Convention on Terrorist Bombing) Chemical Weapons Convention Implementation Act, 18 USC 229 and 22 USC 6771  <b>BW:</b> Violent Crime Control and Law Enforcement Act of 1994, as amended, 18 USC 2332a Anti-Terrorism and Effective Death Penalty Act of 1996, Section 511 amended 18 USC 175c to include conspiracy	X	X	X	<b>NW/CW/BW:</b> Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended 31 CFR Part 544 includes accomplice, assisting or abetting and added penalties  <b>NW:</b> Crimes and Criminal Procedure, 18 USC 2332, 2333, 2339 Crimes and Criminal Procedure, 18 USC 2, 39, and 831  <b>CW:</b> Crimes and Criminal Procedure, 18 USC 229 Export Administration Act (EAA) and Export Administration Regulations (EAR), through the International Emergency Economic Powers Act (IEEPA), 15 CFR Parts 730-799  <b>BW:</b> Crimes and Criminal Procedure, 18 USC 175, 175c, 176, and 177 Crimes and Criminal Procedure, 18 USC 2339A, 2339B	

11	finance abovementioned activities	X	X	X	<p><b>NW/CW/BW:</b> USA Patriot Act also makes violations of its provisions money laundering crimes Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended, 31 CFR Part 544 to distinguish persons blocked for proliferation purposes (from activities that parallel resolution 1540 plus imports) from persons blocked for other purposes</p> <p><b>NW:</b> Prohibition on assisting nuclear proliferation through financing, 22 USC 6303 Crimes and Criminal Procedure, 18 USC 2339</p> <p><b>CW/BW:</b> Crimes and Criminal Procedure, 18 USC 2339A, 2339B</p>	X	X	X	<p><b>NW/CW/BW:</b> Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended 31 CFR part 544 added penalties 314(a) program on information sharing, 31 CFR 1010.520 FinCEN advisory on trade-based money laundering Federal Financial Institutions Examination Council (FFIEC) Bank Secrecy Act/Anti Money Laundering Examination Manual ("Manual")</p> <p><b>NW:</b> Crimes and Criminal Procedure, 18 USC 2332, 2333, and 2339 Prohibition on assisting nuclear proliferation through financing, 22 USC 6303</p> <p><b>CW/BW:</b> Crimes and Criminal Procedure, 18 USC 2339A, 2339B</p> <p><b>BW:</b> Crimes and Criminal Procedure, 18 USC 175, 175c, 176, and 177</p>	
12	abovementioned activities related to means of delivery <sup>2</sup>	X	X	X	<p><b>NW/CW/BW:</b> Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended 13 CFR Part 544 to distinguish persons blocked for proliferation purposes from activities that parallel resolution 1540, including means of delivery</p>	X	X	X	<p><b>NW/CW:</b> Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended 31 CFR Part 544 added penalties</p> <p><b>NW:</b> Crimes and Criminal Procedure 18 USC 921 et seq Internal Revenue Code 26 USC 5841 et seq.</p>	

					<b>BW:</b> Biological Weapons Anti-Terrorism Act of 1989, 18 USC 175				<b>BW:</b> Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended 31 CFR Part 544 to include assisting or abetting and added penalties Crimes and Criminal Procedure, 18 USC 175, 175c, 176, and 177	
13	involvement of non-State actors in abovementioned activities	X	X	X	<b>NW/BW:</b> Crimes and Criminal Procedure, 18 USC 2332a and b  <b>NW:</b> Atomic Energy Act, as amended, 42 USC §2011 et seq Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended 31 CFR Part 544, includes non-State actors  <b>CW:</b> Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended 13 CFR Part 544 to distinguish persons blocked for proliferation purposes from activities that parallel resolution 1540, including means of delivery by the Office of Foreign Assets Control Violent Crime and Law Enforcement Act of 1994, as amended, 18 USC 2332a (although it may only do so by implementing the provisions of the Convention on Terrorist Bombing) Chemical Weapons Convention Implementation Act, 22 USC 229	X	X	X	<b>NW/CW/BW:</b> Executive Order 13382 of 29 June 2005  <b>NW:</b> Atomic Energy Act, as amended, 42 USC §2011 et seq Crimes and Criminal Procedure, 18 USC 831 Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended 31 CFR Part 544 includes added penalties  <b>CW:</b> Weapons of Mass Destruction Proliferators Sanctions Regulations, as amended 31 CFR Part 544 includes added penalties Crimes and Criminal Procedure, 18 USC 229A  <b>BW:</b> Crimes and Criminal Procedure, 18 USC 175, 175c, 176, and 177 Crimes and Criminal Procedure, 18 USC 2339A, 2339B	



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

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW/CW/ BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			if YES, source document	YES			if YES, source document	
		N W	C W	B W*		N W	C W	B W		
1	Measures to account for production	X	X	X	<b>NW:</b> Atomic Energy Act, as amended, 42 USC § 2011 et seq NRC Material Control and Accounting, and Safeguards 10 CFR Parts 74-75, with Regulatory Improvements 10 CFR Parts 40, 72, 73, 74 and 150 in force 1 January 2009 Safeguards Agreement (INFCIRC/288) U.S. Additional Protocol Implementation Act of 2006 and Executive Order 12458 of 2008 Additional Protocol Regulation (APR) of 31 October 2008 Department of Energy (DoE) issues Orders , Directives Department of Defense Directive( DoDD) 3150.02 "Nuclear Weapon Surety Program" of April 24, 2013 International Traffic in Arms Regulations (ITAR), 22 CFR Parts 121, 122 and 124  <b>CW:</b> CWC Regulations, 15 CFR Parts 710-729 Chemical Agent Security, U.S. Department of Defense Directive 5210.65 (DoDD) Chemical Surety, Army Regulation AR 50-6 Toxic Substances Control 15 USC 2605 and 2614 International Traffic in Arms Regulations (ITAR), 22 CFR Parts 121, 122 and 124 CWC Implementation Act Inspection and Reports 22 USC 75 Section 550 of the DHS Appropriations Act of	X	X	X	<b>NW:</b> Subpart B of 10 CFR Part 2 (NRC) Department of Energy (DoE) Order 474.2, Change 2 (Final Version) "Nuclear Material Control and Accountability," of November 19, 2012 Atomic Energy Act, as amended, 42 USC §2011 et seq Department of Energy, 10 CFR Chapter Parts 71-75 Department of Energy 10 CFR Part 820 International Traffic in Arms Regulations (ITAR), 22 CFR Part 127 (account for production and disposition) Joint DoE/NRC Nuclear Materials Management and Safeguards System (NMMSS) NRC Integrated Source Management Portfolio (ISMP)  <b>CW:</b> CWC Regulations, 15 CFR Parts 719-721 Department of Commerce (DoC) enforces the industry compliance with the Act Toxic Substances Control 15 USC 2615-2616 International Traffic in Arms Regulations (ITAR), 22 CFR Part 127 CWC Implementation 22 USC 75 Sub-chapter IV Enforcement CFATS Standards, 6 CFR Part 27, Subpart C - Orders and Adjudications for CFATS compliance inspections	

				<p>2007; Chemical Facility Anti-Terrorism Standards (CFATS) Interim Final Rule, 6 CFR Part 27 including the Chemicals of Interest (COI) Appendix A</p> <p><b>BW:</b> Bioterrorism Protection Act of 2002 Public Health and Bioterrorism Preparedness and Response Act , 42 USC 262a The Antiterrorism and Effective Death Penalty Act of 1996, Section 511 December 2012, “Possession, Use, and Transfer of Select Agents and Toxins,” 7 CFR Part 331, USDA Animal and Health Inspection Service (APHIS) regulations December 2012 “Possession, Use, and Transfer of Select Agents and Toxins,” 9 CFR Part 121, USDA APHIS regulations December 2012 “Select Agents and Toxins,” 42 CFR Part 73, DHS Public Health Service regulations International Traffic in Arms Regulations (ITAR), 22 CFR Parts, 121, 122 and 124 (registration of producers)</p>				<p><b>BW:</b> Crimes and Criminal Procedure, 18 USC 175-176 USDA Animal and Health Inspection Service (APHIS) regulations Possession, Use, and Transfer of Biological Select Agent Regulations, 7 CFR Parts 330-331 and 9 CFR Parts 92-96, 98, and 121-122, including its 2010 Biennial Review and Republication of the Select Agent and Toxin List Animal and Animal Product APHIS regulations, 9 CFR Parts 102, 116, and 121 HHS CDC Select Agent and Toxins Regulations, 42 CFR Parts 71-73 International Traffic in Arms Regulations (ITAR), 22 CFR Part 127 The Antiterrorism and Effective Death Penalty Act of 1996, Section 511, Enhanced Penalties and Controls</p>		
2	Measures to account for use	X	X	X	<p><b>NW:</b> The Atomic Energy Act, as amended, 42 USC § 2011 et seq DoDD 3150.02 "Nuclear Weapon System Surety Program" Safeguards Agreement (INFCIRC/288) U.S. Additional Protocol Implementation Act of 2006 and Executive Order 12458 of 2008 NRC Material Control and Accounting, Storage, 10 CFR Parts 72, 74-75, with Regulatory Improvements 10 CFR Parts 40, 72, 73, 74 and 150 in force 1 January 2009 DoE directives</p> <p><b>CW:</b> CWC Regulations, 15 CFR Parts 710-729</p>	X	X	X	<p><b>NW:</b> Subpart B of 10 CFR Part 2 (NRC) DoE Order 474.2, Change 2 (Final Version) "Nuclear Material Control and Accountability," of November 19, 2012 Atomic Energy Act, as amended, 42 USC § 2011 et seq Department of Energy, 10 CFR Chapter Parts 71-75 Department of Energy 10 CFR Part 820 ITAR, 22 CFR Part 127 (account for production and disposition) Joint DOE/NRC Nuclear Materials Management and Safeguards System (NMMSS) NRC Integrated Source Management Portfolio (ISMP)</p> <p><b>CW:</b> Chemical Weapons Convention</p>	

					Chemical Agent Security, U.S. Department of Defense Directive 5210.65 (DoDD) Chemical Surety, Army Regulation 50-6 (AR) International Traffic in Arms Regulations (ITAR), 22 CFR Parts 121, 122 and 124 CWC Implementation Act Inspection and Reports 22 USC 75  <b>BW:</b> Bioterrorism Protection Act of 2002 Public Health and Bioterrorism Preparedness and Response Act , 42 USC 262a The Antiterrorism and Effective Death Penalty Act of 1996, Section 511 December 2012, “Possession, Use, and Transfer of Select Agents and Toxins,” 7 CFR Part 331, USDA Animal and Health Inspection Service (APHIS) regulations December 2012 “Possession, Use, and Transfer of Select Agents and Toxins,” 9 CFR Part 121, USDA APHIS regulations December 2012 “Select Agents and Toxins,” 42 CFR Part 73, DHS Public Health Service regulations Note: Amendments 4-6 removed certain pathogens and toxins from the Biological Select Agents and Toxins (BSAT) and create a "Tier 1" list of the pathogens and toxins with the potential to cause the greatest harm. International Traffic in Arms Regulations (ITAR), 22 CFR Parts, 121, 122 and 124 (registration of producers)				Implementation Act of 1998, US CWC Regulations, 15 CFR parts 719-721 DoC enforces the industry compliance with the Act ITAR, 22 CFR parts 121, 122 and 124  <b>BW:</b> Crimes and Criminal Procedure, 18 USC 175-176 USDA APHIS regulations Possession, Use, and Transfer of Biological Select Agent Regulations, 7 CFR Parts 330-331 and 9 CFR Parts 92-96, 98, and 121-122, including its 2010 Biennial Review and Republication of the Select Agent and Toxin List Animal and Animal Product APHIS regulations, 9 CFR Parts 102, 116, and 121 HHS CDC Select Agent and Toxins Regulations, 42 CFR Parts 71-73 ITAR, 22 CFR Part 127 The Antiterrorism and Effective Death Penalty Act of 1996, Section 511, Enhanced Penalties and Controls	
3	Measures to account for storage	X	X	X	<b>NW:</b> DoDD 3150.02 "Nuclear Weapon System Surety Program" The Atomic Energy Act, as amended, 42 USC § 2011 Nuclear Regulatory Commission (NRC) Material Control and Accounting, Storage, 10 CFR Parts 72, 74-75, with Regulatory Improvements 10 CFR Parts 40, 72, 73, 74 and 150 in force 1 January 2009 Safeguards Agreement (INFCIRC/288)	X	X	X	<b>NW:</b> Subpart B of 10 CFR Part 2 (NRC) DoE Order 474.2, Change 2 (Final Version) "Nuclear Material Control and Accountability," of November 19, 2012 Atomic Energy Act, as amended, 42 USC § 2011 et seq Department of Energy, 10 CFR Chapter Parts 71-75 Department of Energy 10 CFR Part 820 ITAR, 22 CFR Part 127 (account for production	



					<p>U.S. Additional Protocol Implementation Act of 2006 and Executive Order 12458 of 2008 DoE directives</p> <p><b>CW:</b> Regulations, 15 CFR Parts 710-729 Chemical Agent Security, U.S. Department of Defense Directive 5210.65 (DoDD) Chemical Surety, Army Regulation 50-6 (AR) International Traffic in Arms Regulations (ITAR), 22 CFR Parts 121, 122 and 124 Implementation Act Inspection and Reports 22 USC 75</p> <p><b>BW:</b> Bioterrorism Protection Act of 2002 Public Health and Bioterrorism Preparedness and Response Act , 42 USC 262a The Antiterrorism and Effective Death Penalty Act of 1996, Section 511 December 2012, "Possession, Use, and Transfer of Select Agents and Toxins," 7 CFR Part 331, USDA Animal and Health Inspection Service (APHIS) regulations December 2012 "Possession, Use, and Transfer of Select Agents and Toxins," 9 CFR Part 121, USDA APHIS regulations December 2012 "Select Agents and Toxins," 42 CFR Part 73, DHS Public Health Service regulations International Traffic in Arms Regulations (ITAR), 22 CFR Parts, 121, 122 and 124 (registration of producers)</p>				<p>and disposition) Joint DOE/NRC Nuclear Materials Management and Safeguards System (NMMSS) NRC Integrated Source Management Portfolio (ISMP) The NRC has begun a process for updating all of its regulatory guides March 2011 IAEA Integrated Regulatory Review Service (IRRS) report</p> <p><b>CW:</b> Chemical Weapons Convention Implementation Act of 1998, US CWC Regulations, 15 CFR parts 719-721 DoC enforces the industry compliance with the Act ITAR, 22 CFR parts 121, 122 and 124</p> <p><b>BW:</b> Crimes and Criminal Procedure, 18 USC 175-176 USDA APHIS regulations Possession, Use, and Transfer of Biological Select Agent Regulations, 7 CFR Parts 330-331 and 9 CFR Parts 92-96, 98, and 121-122, including its 2010 Biennial Review and Republication of the Select Agent and Toxin List Animal and Animal Product APHIS regulations, 9 CFR Parts 102, 116, and 121 HHS CDC Select Agent and Toxins Regulations, 42 CFR Parts 71-73 ITAR, 22 CFR Part 127 The Antiterrorism and Effective Death Penalty Act of 1996, Section 511, Enhanced Penalties and Controls</p>	
4	Measures to account for transport	X	X	X	<p><b>NW:</b> DoDD 3150.02 DoDD 4540.05 "DoD Transportation of U.S. Nuclear Weapons," June 23, 2011 reissues</p>	X	X	X	<p><b>NW:</b> DoE directives for the Transportation Safeguard System NRC 10 CFR Parts 71-75</p>	

				<p>(cancels) DoDD 4540.5 "Logistic Transportation of Nuclear Weapons" of 1998 Atomic Energy Act as amended 42 USC § 2011 et seq  NRC Nuclear Transport Regulations, 10 CFR Parts 71-74  Hazardous Substances, 15 USC 1264 (interstate shipments)  Toxic Substances Control, 15 USC 2605, 2612, and 2614  Pipeline and Hazardous Materials Safety Administration, DOT 49 CFR Parts 171-177</p> <p><b>CW:</b>  Hazardous Substances 15 USC 1271 (interstate shipments)  Toxic Substances Control, 15 USC 2605, 2612, and 2614  Chemical Agent Security, DoDD 5210.65  Chemical Surety, AR 50-6</p> <p><b>BW:</b>  Interstate shipment of Etiologic Agents, 42 CFR Part 72  Agriculture APHIS regulations  Animal APHIS regulations  HHS Select Agent regulations  December 2012, "Possession, Use, and Transfer of Select Agents and Toxins," 7 CFR Part 331, USDA Animal and Health Inspection Service regulations  December 2012 "Possession, Use, and Transfer of Select Agents and Toxins," 9 CFR Part 121, USDA Animal and Plant Health Inspection Service regulations  December 2012 "Select Agents and Toxins," 42 CFR Part 73, DHS Public Health Service regulations</p>			<p>Department of Energy 10 CFR Part 820  Hazardous Substances 15 USC 1264  Toxic Substances Control, 15 USC 2615-2616  U.S. DOT "Guidelines for Selecting Preferred Highway Routes for Highway Route Controlled Quantities of Radioactive Materials"</p> <p><b>CW:</b>  Hazardous Substances 15 USC 1264  Toxic Substances Control, 15 USC 2615-2516  DHS/Transportation Security Administration rule on transportation of hazardous chemical by rail, including inspections and audits, 49 CFR Part 1580 (26 November 2008)  Pipeline and Hazardous Materials Security Administration, Department of Transportation Rule Enhancing Rail Transportation Safety and Security for Hazardous Materials Shipments (26 November 2008)</p> <p><b>BW:</b>  USDA APHIS Regulations, 7 CFR Part 330-331 and 9 CFR Parts 92-96, 98, and 121-122, including its 2012 Biennial Review and Republication of the Select Agent and Toxin List  Animal and Animal Product APHIS regulations, 9 CFR Parts 102, 116, and 121  HHS CDC Select Agent and Toxins Regulations, 42 CFR Parts 71-73  ITAR, 22 CFR Part 127</p>	
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5	Other measures for accounting	X	X	<p><b>NW:</b> Joint DoE/NRC Nuclear Materials and Management Safeguard System</p> <p><b>BW:</b> "Government Policy for Oversight of Life Sciences Dual Use Research of Concern" (DURC), March 29, 2012 The Select Agent Program issued 19 guidance documents in 2012</p>	X	X	<p><b>NW:</b> Joint DoE/NRC Nuclear Materials and Management Safeguard System</p> <p><b>CW:</b> CFATS self-assessment tool helped more than 2,000 facilities to eliminate or modify their use of COI to screen out of the CFATS requirements</p> <p><b>BW:</b> "Government Policy for Oversight of Life Sciences Dual Use Research of Concern" (DURC), March 29, 2012 "Enhancing Responsible Science - Considerations for the Development and Dissemination of Codes of Conduct for Dual Use Research" issued by the National Science Advisory Board for Biosecurity (NSABB) in February 2012, includes tools for developing a code of conduct. The Select Agent Program issued 19 guidance documents in 2012</p>	
6	Measures to secure production	X	X	<p><b>NW:</b> DoDD 5210.41, "Security Policy for Protecting Nuclear Weapons," November 1, 2004. AR 190-54 "Security of Nuclear Reactors and Special Nuclear Materials," June 19, 2006. The Atomic Energy Act as amended, 42 USC § 2201 et seq Physical Protection and Safeguards, 10 CFR Parts 26, 71-74, 95 Power Reactor Security Requirement Regulations amending 10 CFR Parts 50, 52, 72, and 73 of 27 March 2009 NASA security regulations and authority, 14 CFR Parts 1203-1204</p> <p><b>CW:</b> Chemical Facility Anti-Terrorism Standards, 6 CFR Part 27. Note: CFATS regulate the</p>	X	X	<p><b>NW:</b> Subpart B of 10 CFR Part 2 DoE oversight NRC Regulations, 10 CFR Parts 71-75, as amended by the Power Reactor Security Requirements 2009 Department of Energy Regulations, 10 CFR Part 820 DOE Order 452.8 on Safeguarding and Security of Restricted Data or Formerly Restricted Data, including revised civil penalties, replacing DOE Order 5610.2 "Control of Nuclear Weapons Data" GTRI security enhancements at more than 500 buildings GTRI Off-Site Recovery Program and reactor conversion projects</p> <p><b>CW:</b> Chemical Facility Anti-Terrorism Standards, 6 CFR Part 27, Subpart C - Orders and</p>	

					security practices of facilities that produce relevant chemicals				Adjudications	
					<b>BW:</b> Executive Order 13546 of 2 July 2010 Optimizing the Security of Biological Select Agents and Toxins in the United States Bioterrorism Protection Act of 2002 Public Health and Bioterrorism Preparedness and Response Act, , 42 USC 262a AR 190-17 Biological Select Agents and Toxins Security Program AFI 10-3901 Minimum Security Standards for Safeguarding Biological Agents and Toxins AR 525-13 Antiterrorism OPNAV 5530.16 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins (BSAT) DoD 5210.89 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins				<b>BW:</b> Crimes and Criminal Procedure, 18 USC 175b-176 Biocontainment, security, and incident response plans, 7 CFR Part 331 Biosafety, security, and incident response plans, 9 CFR Part 121 Safety, Security and Emergency Response Plans, 42 CFR Part 73 DoE directives Agriculture APHIS regulations, 7 CFR Parts 331 and 356 Animal and Animal Product APHIS regulations, 9 CFR Part 121 HHS Select Agent and Toxins Regulations, 42 CFR Part 73 Executive Order 13546 of 2 July 2010 requires interagency coordination and the establishment of a Federal Executive Experts Security Advisory Panel on Biological Select Agents and Toxins (BSAT). Security Guidance for Select Agent or Toxin Facilities, 2012	
7	Measures to secure use	X	X	X	<b>NW:</b> DoDD 5210.41, "Security Policy for Protecting Nuclear Weapons," November 1, 2004. AR 190-54 "Security of Nuclear Reactors and Special Nuclear Materials," June 19, 2006. The Atomic Energy Act as amended, 42 USC 2201 et seq Physical Protection and Safeguards, 10 CFR Parts 26, 71-74, 95 Power Reactor Security Requirement Regulations amending 10 CFR Parts 50, 52, 72, and 73 of 27 March 2009 NASA security regulations and authority, 14 CFR Parts 1203-1204  <b>CW:</b>	X	X	X	<b>NW:</b> Subpart B of 10 CFR Part 2 DoE oversight NRC Regulations, 10 CFR Parts 71-75, as amended by the Power Reactor Security Requirements 2009 Department of Energy Regulations, 10 CFR Part 820 DOE Order 452.8 on Safeguarding and Security of Restricted Data or Formerly Restricted Data, including revised civil penalties GTRI security enhancements at more than 500 buildings GTRI Off-Site Recovery Program and reactor conversion projects  <b>CW:</b>	

					CWC Implementation, 15 CFR Parts 710-729 Chemical Agent Security U.S. DoDD 5210.65 Chemical Surety 50-6 Section 550 of the DHS Appropriations Act of 2007; Chemical Facility Anti-Terrorism Standards (CFATS) Interim Final Rule, 6 CFR Part 27 including the Chemicals of Interest (COI) Appendix A  <b>BW:</b> Executive Order 13546 of 2 July 2010 Optimizing the Security of Biological Select Agents and Toxins in the United States Bioterrorism Protection Act of 2002 Public Health and Bioterrorism Preparedness and Response Act, , 42 USC 262a AR 190-17 Biological Select Agents and Toxins Security Program AFI 10-3901 Minimum Security Standards for Safeguarding Biological Agents and Toxins AR 525-13 Antiterrorism OPNAV 5530.16 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins (BSAT) DoD 5210.89 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins				CWC Regulations 15 CFR Parts 719-721 Chemical Facility Anti-Terrorism Standards, 6 CFR Part 27, Subpart C - Orders and Adjudications  <b>BW:</b> Crimes and Criminal Procedure, 18 USC 175b-176 Biocontainment, security, and incident response plans, 7 CFR Part 331 Biosafety, security, and incident response plans, 9 CFR Part 121 Safety, Security and Emergency Response Plans, 42 CFR Part 73 DoE directives Agriculture APHIS regulations, 7 CFR Parts 331 and 356 Animal and Animal Product APHIS regulations, 9 CFR Part 121 HHS Select Agent and Toxins Regulations, 42 CFR Part 73 Executive Order 13546 of 2 July 2010 requires interagency coordination and the establishment of a Federal Executive Experts Security Advisory Panel on Biological Select Agents and Toxins (BSAT). Security Guidance for Select Agent or Toxin Facilities, 2012	
8	Measures to secure storage	X	X	X	<b>NW:</b> DoDD 5210.41, "Security Policy for Protecting Nuclear Weapons," November 1, 2004. AR 190-54 "Security of Nuclear Reactors and Special Nuclear Materials," June 19, 2006. The Atomic Energy Act as amended, 42 USC 2201 et seq Physical Protection and Safeguards, 10 CFR Parts 26, 71-74, 95 Power Reactor Security Requirement Regulations amending 10 CFR Parts 50, 52, 72,	X	X	X	<b>NW:</b> Subpart B of 10 CFR Part 2 DoE oversight NRC Regulations, 10 CFR Parts 71-75, as amended by the Power Reactor Security Requirements 2009 Department of Energy Regulations, 10 CFR Part 820 DOE Order 452.8 on Safeguarding and Security of Restricted Data or Formerly Restricted Data, including revised civil penalties, replacing DOE	

					<p>and 73 of 27 March 2009 NASA security regulations and authority, 14 CFR Parts 1203-1204</p> <p><b>CW:</b> Chemical Agent Security, DoDD 5210.65 Chemical Surety, AR 50-6 Section 550 of the DHS Appropriations Act of 2007; Chemical Facility Anti-Terrorism Standards (CFATS) Interim Final Rule, 6 CFR Part 27 including the Chemicals of Interest (COI) Appendix A NASA security regulations and authority, 14 CFR Parts 1203-1204</p> <p><b>BW:</b> Executive Order 13546 of 2 July 2010 Optimizing the Security of Biological Select Agents and Toxins in the United States Bioterrorism Protection Act of 2002 Public Health and Bioterrorism Preparedness and Response Act, , 42 USC 262a AR 190-17 Biological Select Agents and Toxins Security Program AFI 10-3901 Minimum Security Standards for Safeguarding Biological Agents and Toxins AR 525-13 Antiterrorism OPNAV 5530.16 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins (BSAT) DoD 5210.89 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins NASA security regulations and authority, 14 CFR Parts 1203-1204</p>				<p>Order 5610.2 "Control of Nuclear Weapons Data" GTRI security enhancements at more than 500 buildings GTRI Off-Site Recovery Program and reactor conversion projects</p> <p><b>CW:</b> Chemical Facility Anti-Terrorism Standards, 6 CFR Part 27 Subpart C - Orders and Adjudications</p> <p><b>BW:</b> Crimes and Criminal Procedure, 18 USC 175b-176 Biocontainment, security, and incident response plans, 7 CFR Part 331 Biosafety, security, and incident response plans, 9 CFR Part 121 Safety, Security and Emergency Response Plans, 42 CFR Part 73 DoE directives Agriculture APHIS regulations, 7 CFR Parts 331 and 356 Animal and Animal Product APHIS regulations, 9 CFR Part 121 HHS Select Agent and Toxins Regulations, 42 CFR Part 73 Executive Order 13546 of 2 July 2010, requires interagency coordination and the establishment of a Federal Executive Experts Security Advisory Panel on Biological Select Agents and Toxins (BSAT). Security Guidance for Select Agent or Toxin Facilities, 2012</p>	
9	Measures to secure transport	X	X	X	<b>NW/CW/BW:</b> Department of Transportation regulations ,	X	X	X		

					<p>DOT 49 CFR Parts 171-177, specifically authorize shippers to use the ICAO Technical Instructions on Safe Transport of Dangerous Cargo, the IMDG Code, Transport Canada TDG Regulations, and the IAEA Regulations for the Safe Transport of Radioactive Material as effective practices, Pipeline and Hazardous Materials Safety Admin</p> <p><b>NW:</b> DoDD 5210.41 Security Policy for Protecting Nuclear Weapons The Atomic Energy Act, as amended, 42 USC 2201 et seq NRC 10 CFR Part 74, as amended by NRC "Physical Protection of Irradiated Reactor Fuel in Transit," 10 CFR Part 73.37, of August 19, 2013 Security of Nuclear Reactors and Special Nuclear Material, AR 190-59</p> <p><b>CW:</b> Chemical Agent Security, DoDD 5210.65 Chemical Surety, AR 50-6</p> <p><b>BW:</b> Interstate shipment of Etiologic Agents, 42 CFR Part 72 Agriculture APHIS regulations Animal APHIS regulations HHS Select Agent regulations DoD 4500-9R Defense Transportation Regulation</p>				<p><b>NW:</b> NRC Regulations, Subpart B of 10 CFR Part 2 DoE directives for the Transportation Safeguard System NRC, 10 CFR Parts 71-75, as amended by the Power Reactor Security Requirements 2009 Department of Energy Regulations, 10 CFR Part 820</p> <p><b>CW:</b> Pipeline and Hazardous Materials Security Administration, Department of Transportation Rule Enhancing Rail Transportation Safety and Security for Hazardous Materials Shipments (26 November 2008)</p> <p><b>BW:</b> USDA APHIS regulations, 7 CFR Parts 330 and 331 and 9 CFR Parts 92-96, 98, 121 and 122 HHS CDC Regulations, 42 CFR Parts 71-73</p>	
10	Other measures for securing	X	X	X	<p><b>NW:</b> NRC "Enhancements to Emergency Preparedness Regulations," November 23, 2011 that codifies certain formerly voluntary protective security measures in NRC Bulletin 2005-02</p>	X		X	<p><b>NW:</b> NRC license recipients use the Emergency Notification System (DoE uses its Emergency Operations Center) for reporting incidents of theft or diversion within an hour</p>	

				<b>CW:</b> DoE owned and operated facilities Coast Guard Maritime Security Regulations, 33 CFR Part 105  <b>BW:</b> "Government Policy for Oversight of Life Sciences Dual Use Research of Concern" (DURC), March 29, 2012 “Enhancing Responsible Science - Considerations for the Development and Dissemination of Codes of Conduct for Dual Use Research” issued by the National Science Advisory Board for Biosecurity (NSABB) in February 2012, includes tools for developing a code of conduct. The Select Agent Program issued 19 guidance documents in 2012				<b>BW:</b> "Government Policy for Oversight of Life Sciences Dual Use Research of Concern" (DURC), March 29, 2012 “Enhancing Responsible Science - Considerations for the Development and Dissemination of Codes of Conduct for Dual Use Research” issued by the National Science Advisory Board for Biosecurity (NSABB) in February 2012, includes tools for developing a code of conduct. The Select Agent Program issued 19 guidance documents in 2012		
11	Regulations for physical protection of facilities/ materials/ transports	X	X	X	<b>NW:</b> DoDD 5210.41, Security Policy for Protecting Nuclear Weapons DOD S-5210-92-M "Physical Security Requirements for Nuclear Command and Control (NC2) Facilities (Unclassified) DoDI 5210.63, "DoD Procedures for Security of Nuclear Reactors and Special Nuclear Materials (SNM)," November 21, 2006 DoE Order 473.3 of June 27, 2011 on Protection Program Operations including physical protection requirements NRC Regulations, 10 CFR Part 73, as amended, including August 2013 amendment "Physical Protection of Irradiated Reactor Fuel in Transit" Physical security measures, 42 USC 2153 Power Reactor Security Requirement Regulations amending 10 CFR Parts 50, 52, 72, and 73 of 27 March 2009  <b>CW:</b> Chemical Agent Security, DoDD 5210.65 Chemical Surety AR 50-6 ITAR, 22 CFR Parts I, 121, 122 and 124	X	X	X	<b>NW:</b> DoE Site Safeguard and Security Plans NRC Regulations, 10 CFR Part 73, as amended by the Power Reactor Security Requirements 2009 Department of Energy Regulations, 10 CFR Part 820 "Policy Statement of the U.S. Nuclear Regulatory Commission on the protection of Cesium-137 Chloride Sources," NRC-2010-0209, Federal Register, Vol. 76, No. 142, 25 July 2011  <b>CW:</b> Chemical Facility Anti-Terrorism Standards, 6 CFR Part 27 Subchapter C - Orders and Adjudications	



					Section 550 of the DHS Appropriations Act of 2007; Chemical Facility Anti-Terrorism Standards (CFATS) Interim Final Rule, 6 CFR Part 27 including the Chemicals of Interest (COI) Appendix A  <b>BW:</b> Interstate shipment of Etiologic Agents, 42 CFR Part 72 Agriculture APHIS regulations Animal APHIS regulations HHS Select Agent regulations AR 190-13 Army Physical Security Program				ITAR, 22 CFR Part 127  <b>BW:</b> USDA APHIS regulations, 7 CFR Parts 330 and 331 and 9 CFR Parts 92-96, 98, 121 and 122 HHS CDC Regulations, 42 CFR Parts 71-73 Security Guidance for Select Agent or Toxin Facilities, 2012	
12	Licensing/registration of installations/facilities/persons/entities/use/handling of materials	X	X	X	<b>NW:</b> NRC’s licensing requirements apply to commercial nuclear power activities 42 USC Chapter 23 NRC Regulations, 10 CFR Parts 11, 30-31, 33-36, 39-40, 50, 55, 70, and 72 ITAR, 22 CFR Parts 121-122, and 124  <b>CW:</b> ITAR, 22 CFR Parts 121, 122 and 124: defense materials  <b>BW:</b> Bioterrorism Protection Act of 2002 requires USDA APHIS to regulate "Select Agents and Toxins" that are a threat to plants and animals Public Health and Bioterrorism Preparedness and Response Act requires HHS CDC to regulate "Select Agents and Toxins" that threaten humans, 42 USC 262a International Traffic in Arms Regulations (ITAR), 22 CFR Parts 122 and 124	X	X	X	<b>NW:</b> NRC controls civil nuclear power activities DoE oversight of contractors Crimes and Criminal Procedure, 18 USC 831 NRC Regulations, 10 CFR Parts 11, 30-31, 33-36, 39-40, 50, 55, 70, and 72 Department of Energy Regulations, 10 CFR Part 820 ITAR, 22 CFR Part 127  <b>CW:</b> ITAR, 22 CFR Part 127 CFATS, 6 CFR Part 27 Subchapter C - Orders and Adjudications  <b>BW:</b> Crimes and Criminal Procedure 18 USC 175-176 DoE directives Agriculture APHIS regulations on inspections, denial, revocation or suspension of registration, and forfeiture, 7 CFR Parts, 331 and 356 Animal and Animal Product APHIS regulations, 9 CFR Part 121 HHS Select Agent and Toxins Regulations, 42 CFR Part 73 ITAR, 22 CFR Part 127 "Government Policy for Oversight of Life Sciences Dual Use Research of Concern" (DURC) issued on March 29, 2012 Security Guidance for Select Agent or Toxin	

								Facilities, 2012		
13	Reliability check of personnel	X	X	X	<b>NW:</b> DoDD 5210.42 Nuclear Weapon Personnel Reliability Program The Atomic Energy Act, as amended, 42 USC 2201 et seq NRC Regulations, 10 CFR Part 73 Power Reactor Security Requirement Regulations amending 10 CFR Parts 50, 52, 72, and 73 of 27 March 2009  <b>CW:</b> Chemical Facility Anti-Terrorism Standards, 6 CFR 27.230(a)(12) Chemical Surety, AR 50-6: personnel reliability: defense materials  <b>BW:</b> Bioterrorism Protection Act of 2002 requires USDA APHIS to regulate "Select Agents and Toxins" that are a threat to animals and plants Public Health and Bioterrorism Preparedness and Response Act requires HHS CDC to regulate "Select Agents and Toxins" that threaten humans, 42 USC 262a BSAT regulations as amended AR 50-1 Biological Surety	X	X	X	<b>NW:</b> DoE Site Safeguard and Security Plan and Transportation Safeguards System NRC Regulations, 10 CFR Part 73, as amended by the Power Reactor Security Requirements 2009  <b>CW:</b> Chemical Facility Anti-Terrorism Standards, 6 CFR Part 27 Subchapter C - Orders and Adjudications  <b>BW:</b> Crimes and Criminal Procedure, 18 USC 175b-176 DoE directives Agriculture APHIS regulations, 7 CFR Parts 331 and 356 Animal and Animal Product APHIS regulations, 9 CFR Part 121 HHS Select Agent and Toxins Regulations, 42 CFR Part 731 Anti-Terrorism and Effective Death Penalty Act, Section 511, Enhanced Penalties and Controls of Biological Agents	
14	Measures to account for/secure/ physically protect means of delivery	X	X	X	<b>NW/CW/BW:</b> NASA security regulations and authority, 14 CFR Parts 1203-1204 FAA hazardous operations regulations for rockets, 14 CFR Part 101, amended in November 2012 updating requirements on storing and handling propellants FAA Commercial Space Transportation regulations, 14 CFR Part 404 ITAR, 22 CFR Parts 122 and 124 DoD 5100.76 Physical Security	X	X	X	<b>NW/CW/BW:</b> NASA security regulations and authority, 14 CFR Parts 1203-1204 FAA Commercial Space Transportation regulations, 14 CFR Parts 405-406 ITAR, 22 CFR Part 127 DoD 5100.76-M Physical Security of Sensitive Conventional Arms DOD 5220.22-C Carrier supplement	

				6. 1984 Commercial Space Launch Act as amended  <b>NW:</b> DoD Directives, including DoDD 5210.41, Security Policy for Protecting Nuclear Weapons NRC regulations, 10 CFR Part 74 DoE Directives require MPC&A programs			<b>NW:</b> DoDI 5100.76-M "Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives (AA&E)," April 17, 2012 reissues (cancels) DoDI 5100.76 "Safeguarding Conventional Arms, Ammunition, and Explosives (AA&E) and the AA&E Physical Security Review Board," of October 8, 2005 DoD 3150.2-M, Nuclear Weapons System Safety Manual NRC regulations 10 CFR Part 74	
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3. 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.

\* Information required in this section may also be available in the State's Confidence Building Measures report, if submitted to the BWC Implementation Support Unit (online at: [http://www.unog.ch/80256EE600585943/\(httpPages\)/4FA4DA37A55C7966C12575780055D9E8?OpenDocument](http://www.unog.ch/80256EE600585943/(httpPages)/4FA4DA37A55C7966C12575780055D9E8?OpenDocument) )

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

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized?		National legal framework		Enforcement: civil/criminal penalties and others		Remarks
		YES	if YES, source document	YES	if YES, source document	
1	National regulatory authority	X	Civilian: NRC (AEA of 1954 and ERA of 1974 as amended) Other: NNSA (AEA of 1954, ERA of 1974, and NNSA Act, PL No. 106-65, 50 USC 2401, et seq., as amended)	X	Civilian: NRC (AEA of 1954 and ERA of 1974 as amended) Other: NNSA (AEA of 1954, ERA of 1974, and NNSA Act, PL No. 106-65, 50 USC 2401, et seq., as amended)	
2	IAEA Safeguards Agreements	X	Safeguards Agreement, in force 09 December 1980 Additional Protocol went into force 6 January 2009 after the U.S. Additional Protocol Implementation Act of 2006 Executive Order 13458 Department of Commerce Regulations, 15 CFR Parts 781-786	X	Department of Energy, 10 CFR Part 810 implements the IAEA Safeguards Agreement IAEA Safeguards, 42 USC 2153 Department of Commerce Regulations, 15 CFR Parts 781-786.	
3	IAEA Code of Conduct on Safety and Security of Radioactive Sources	X	Codified in the Atomic Energy Act, as amended in 2005, 42 USC 2210h	X	Notification pursuant to GC(47)/RES/7.B	
4	Supplementary Guidance on the Import and Export of Radioactive Sources of the Code of Conduct on the Safety and Security of Radioactive Sources	X	Notification pursuant to GC(48)/RES/10.D	X	Contact Point Designated, Response to S.A.Q	
5	IAEA Incident and Trafficking Database	X	Participates in Database Programme	X	In 2012, the NRC reported to the IAEA that it had suffered no losses or thefts of IAEA Category I radioactive sources, and that it had accounted for or recovered the small number of losses or thefts of Categories II and III radioactive sources	

6	Other Agreements related to IAEA					
7	Additional national legislation/regulations related to nuclear materials including CPPNM	X	Can suspend international cooperation if recipient has not ratified CPPNM 42 USC 2156a			
8	Other	?	<p>May 16, 2013, NRC proposes "Revisions to Transportation Safety Requirements and Harmonization with International Atomic Energy Agency Transportation Requirements."</p> <p>April 2013 DOE Notice of Intent to Review DOE Guide 413.3-3 Safeguards and Security for Program and Project Management.</p> <p>February 2013 DOE Notice of Intent to Review DOE Order on Nuclear Counterterrorism of 2006 and the cancellation of the 2006 Manual on Control of Improvised Nuclear Device Information.</p> <p>The NRC proposed a rule on the physical protection of nuclear byproduct materials in 2010 (including amending criminal penalties)</p> <p>The NRC regulatory initiative will incorporate NRC Security Orders for fuel cycle facilities directly into the CFR</p>	X	<p>DoE has 10 best practices for Safeguards and Security at nuclear weapons production and materials sites</p> <p>Bureau of Industry and Security (BIS)</p> <p>Additional Protocol Report Handbooks for Locations and for Sites</p> <p>The NRC conducts roughly 1,500 inspections of its licensees annually, including 24 force-on-force inspections and 193 security inspections in 2011</p> <p>The NRC hosted an IAEA IPPAS mission in October 2013 to fulfill a commitment under the Nuclear Security Summit process</p>	

**OP 3 (a) and (b) - Account for/Secure/Physically protect CW: including Related Materials (CW: specific)**

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect CW: and Related Materials? Can violators be penalized?		National legal framework		Enforcement: civil/criminal penalties and others		Remarks
		YES	if YES, source document	YES	if YES, source document	
1	National CWC authority	X	Chemical Weapons Convention Implementation Act 22 USC 6711	X	Department of State Department of Commerce is the lead agency for routine and challenge inspections conducted at declared U.S. facilities not owned or leased by the Department of Defense (DoD) or Department of Energy DoD Directive 5210.65 established the U.S. Army as the lead agency that accounts for chemical weapons munitions.	
2	Reporting Schedule I, II and III chemicals to OPCW:	X	Chemical Weapons Convention Implementation, 22 USC Chapter 75 Subchapter III CWC Regulations, 15 CFR Parts 710-729 impose annual declaration requirements	X	Chemical Weapons Convention Implementation, 22 USC 75 , Sub-chapter IV on enforcement CWC Regulations, 15 CFR Parts 719-721. USA reported 11 times, most recently in 2012 In 2012 Bureau of Industry and Security (BIS) collected declarations and reports from 561 facilities and companies in the United States and submitted them to the OPCW. State reported that BIS also provided advice and support to 19 chemical plant sites in the United States that were selected for inspection by the OPCW, hosted the inspections, and protected the sites' confidential business information while demonstrating their compliance	
3	Account for, secure or physically protect "old chemical weapons"	X	Chemical Agent Security, DoDD 5210.65	X	DoDD 5210.65 AR 50-6 State reported that U.S. Army Chemical Materials Activity (CMA) eliminated three stockpile sites since December 2010 and	

					secured storage at the two remaining sites pending elimination CMA Non-Stockpile Chemical Materiel Project for recovered materiel for compliance with the CWC	
4	Other legislation/ regulations controlling chemical materials	X	Chemical Facility Anti-Terrorism Standards, 6 CFR Part 27, high-risk facilities must submit a Site Security Plan or Alternative Security Program to DHS for approval			
5	Other			X	By late 2009, 67.6% of U.S. Category 1 chemical weapons, including 85.3% of chemical rockets, the destruction of 96.6% of nerve agent, destruction of all binary chemical weapons, destroyed all Category 3 chemical weapons, and all former CW: production facilities, among other tasks, at the cost of \$20.5 billion. State reported that on April 14, 2013, the CMC's Non-Stockpile Chemical Material Project (NSCMP) completed the destruction of all non-stockpile materiel declared upon the U.S. entry-into-force of the CWC	

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

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect BW and Related Materials? Can violators be penalized?		National legal framework		Enforcement: civil/criminal penalties and others		Remarks
		YES	if YES, source document	YES	if YES, source document	
1	Regulations for genetic engineering work	X	Bioterrorism Protection Act of 2002 Public Health and Bioterrorism Preparedness and Response Act , 42 USC 262a Plant Protection Act of 2000, 7 USC 72 USDA APHIS	X	HHS NIH has issued guidelines for recombinant DNA research, 59 CFR Part 34496 HHS Screening Framework Guidance for Providers of Synthetic Double-Stranded DNA Revision of the BSAT regulations included an expansion of the definition of "restricted experiments" to those which attempt to naturally induce antibiotic resistance, not just those effects of introducing a resistance gene on a plasmid.	
2	Other legislation/ regulations related to safety and security of biological materials	X	Executive Order 13546 of 2 July 2010, on Biological Select Agents and Toxins (BSAT)the revised 2012 USDA APHIS and HHS CDC Select Agent Programs			
3	Other	X	New National Strategy for Countering Biological Threats in December 2009 "Enhancing Responsible Science - Considerations for the Development and Dissemination of Codes of Conduct for Dual Use Research" issued by the National Science Advisory Board for Biosecurity (NSABB) in February 2012 The CDC/NIH publication, "Biosafety in Microbiological and Biomedical Laboratories" (BMBL)	X	Federal Executive Experts Security Advisory Panel recommendations The Select Agent Program has produced over 12 guidance documents to assist in achieving compliance with the regulations. HHS Framework for Guiding Funding Decisions about Research Proposals with the Potential for Generating Highly Pathogenic Avian Influenza H5N1 Viruses that are Transmissible among Mammals by Respiratory Droplets, February 21, 2012 Laboratory Response Network with Canada, Mexico and Australia as an early warning system for identifying potential BW outbreaks;	



					FBI and CDC conduct joint criminal and epidemiological investigation training courses	
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# OP 3 (c) and (d) and related matters from OP 6 and OP 10 - Controls of NW/CW: and BW, including Related Materials

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW/CW/BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc				Remarks
		YES			if YES, source document	YES			if YES, source document	
		N W	C W	B W		N W	C W	B W		
1	Border control	X	X	X	<b>NW/CW/BW:</b> Tariff Act of 1930, as amended, and its antecedents 19 USC 1202 - 1677f Immigration and Nationality Act, as amended (contained in many USC titles) Aviation and Transportation Security Act (ATSA, Pub. L. 107-71, 115 Stat 597 (November 19, 2001) and 49 USC 114(D) The International Emergency Economic Powers Act (IEEPA), 50 USC 1701 et seq Trading with the Enemy Act (TWEA), 50 USC App. 1, et seq "Seizure and forfeiture of vessels" (used to defraud the revenue or for smuggling), 19 USC 1703 Customs Duties 19 CFR Parts 4, 115, 122, 141, 181, and 192  <b>BW:</b> APHIS Quarantine Regulations, 42 CFR Part 71 and 9 CFR Parts 101-123 CDC Regulations as amended on 3 February, 2013 Virus Serum Toxin Act	X	X	X	<b>NW/CW/BW:</b> Tariff Act of 1930 as amended 19 USC 1202 - 1667f Crimes and Criminal Procedure 18 USC 541-554 Customs Duties 19 USC 1501 et seq "Seizure and forfeiture of vessels" (used to defraud the revenue or for smuggling), 19 USC 1703 Customs Duties 19 CFR Parts 161-163, 171 Department of Homeland Security: Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), the Coast Guard, and the Transportation Security Administration (TSA)  <b>BW:</b> CBP deploys more than 2,360 agriculture specialists at 167 ports of entry APHIS Investigative and Enforcement Services enforces quarantine regulations	
2	Technical support of border control measures	X	X	X	<b>NW/CW/BW:</b> Collection Districts 19 USC 69 Customs Duties Automated Export System (AES), 19 CFR Part 192 EAR, Mandatory Electronic Filing	X	X	X	<b>NW/CW/BW:</b> Container Security Initiative in 58 on-U.S. ports in 2013 Secure Freight Initiative in six non-U.S. ports in 2013 Air Cargo Advance Screening (ACAS)	

									CBP uses an extensive array of technical means to support its border control mission, including radiation isotope identification devices (RIID); vehicle and cargo inspection systems (VACIS); and Z Backscatter X-ray vehicles Census (Filing Export Information) 13 USC 302-305  <b>BW:</b> APHIS has stations or works with laboratories in other countries on risk profiles and pest pathways	
3	Control of brokering, trading in, negotiating, otherwise assisting in sale of goods and technology	X	X	X	<b>NW/CW/BW:</b> Export Administration Act (EAA) and Export Administration Regulations (EAR), through IEEPA, 15 CFR Parts 730-799 International Traffic in Arms Regulations (ITAR), 22 CFR Part 129	X	X	X	<b>NW/CW/BW:</b> EAR Administrative sanctions, through IEEPA, 15 CFR Part 764.3(a)(2) Civil penalty under the IEEPA 50 USC 1701 et seq. heightened by the IEEPA Enhancement Act amendment in October 2007 Crimes and Criminal Procedure 18 USC 1001 ITAR, 22 CFR Parts 127-8	
4	Enforcement agencies/authorities	X	X	X	<b>NW/CW/BW:</b> Homeland Security Act Customs Service, 19 USC 2071 Tariff Act of 1930, as amended 19 USC Chapter 1202 - 1677f Immigration and Nationality Act ATSA ITAR, 22 CFR Parts 120-129 EAA, through IEEPA, 50 USC app. Sections 2401-2420 Export Administration Regulations (EAR), 15 CFR Parts 730-774, through IEEPA as extended TWEA 50 USC App. 1, et seq Illegal Export of War Materials, 22 USC 401  <b>NW/CW:</b> AECA, 22 USC 2778 and 2797  <b>BW:</b> AECA 22 USC 2778	X	X	X	<b>NW/CW/BW:</b> DHS Customs and Border Protection (CBP) and Immigration and Customs Enforcement (ICE), including Export Enforcement Coordination Centre (E2C2) Commerce Department/Office of Export Enforcement (DoC/BIS/EE) Federal Bureau of Investigation (FBI) Land and Naval forces	

					Trade Act, as amended Illegal Export of War Materials 22 USC 408 and 465 ITAR 22 CFR Parts 120-129					
5	Export control legislation in place	X	X	X	<b>NW/CW/BW:</b> AECA, 22 USC 2778 and 2797 EAA, 50 USC App.1, 2401-2420 “Notice – Continuation of the National Emergency with Respect to Export Control Regulations” on August 8, 2013 TWEA, 50 USC App. 1, et seq ITAR, 22 CFR Parts 120-129 Illegal Export of War Materials, 22 USC 401  <b>NW:</b> Atomic Energy Act, as amended, 42 USC § 2011 et seq NRC regulations, 10 CFR Part DoE regulations, 10 CFR Part 810 42 USC 2122 EAR, 15 CFR Parts 730-774 Sanctions for Nuclear Proliferation, 22 USC 6301  <b>CW:</b> Chemical Weapons Convention Regulations, 15 CFR Parts 710-721 Toxic Substances Control, 15 USC 2611 and 2614 Export Administration Regulations (EAR), through IEEPA, 15 CFR Parts 730-774  <b>BW:</b>	X	X	X	<b>NW/CW/BW:</b> AECA, 22 USC 2798 Illegal Export of War Materials, 22 USC 408, 464-465 ITAR, 22 CFR Parts 127-128  <b>NW/BW:</b> Census (Filing Export Information), 13 USC 302-305 EAR, through IEEPA, 15 CFR Parts 730-799  <b>NW:</b> IEEPA, with heightened penalties adopted in October 2007 Public Health and Welfare, 42 USC 23, XVII Sanctions for Nuclear Proliferation, 22 USC 6301 NRC Regulations, 10 CFR Part 110, as amended 2010 Atomic Energy Act, as amended, 42 USC § 2011 et seq  <b>CW:</b> IEEPA Enhancement Act as amended CWC Regulations, 15 CFR Part 719 Toxic Substances Control, 15 USC 2615-2616 In FY 2012, DoC reviewed 4,467 license applications for Australia Group items, denying 10 and returning 308 without action. BIS implemented the Simplified Network Application Processing (SNAP) System State Department reviewed 86,000 licenses in FY 2012  <b>BW:</b>	

					Export Administration Regulations (EAR), through IEEPA, 15 CFR Parts 730-774 International Animal Export Regulations International Animal Products Export Regulations Intelligence Reform and Terrorism Prevention Act of 2004, specific prohibition against Variola virus-based biological weapons exports, 18 USC 175c				IEEPA Enhancement Act as amended	
6	Licensing provisions	X	X	X	<b>NW/CW/BW:</b> ITAR, 22 CFR Parts 120-129  <b>NW/CW:</b> AECA, 22 USC 2778  <b>NW:</b> Atomic Energy Act, as amended, 42 USC § 2011 et seq DoE Regulations, 10 CFR Part 810 EAR, through IEEPA, 15 Parts 732, 748, and various provisions in Part 744, including 744.2-5 and 744.12-14 AECA, 22 USC 2778 NRC Regulations, 10 CFR Part 110, as updated  <b>CW:</b> EAR, through IEEPA, 15 CFR Parts 732, 748, 744.2-5 and other provisions in Part 744 AECA, 22 USC 2778  <b>BW:</b>	X	X	X	<b>NW/CW/BW:</b> AECA, 22 USC 2798 ITAR, 22 CFR Parts 127-128  <b>NW:</b> IEEPA, with heightened penalties adopted in October 2007 EAR, through IEEPA, 15 CFR Parts 730-799 Atomic Energy Act, as amended, 42 USC § 2011 et seq NRC Regulations, 10 CFR Part 110, as updated DoE Regulations, 10 CFR Part 810  <b>CW/BW:</b> In FY 2012, DoC reviewed 4,467 license applications for Australia Group items, denying 10 and returning 308 without action BIS implemented the Simplified Network Application Processing (SNAP) System State Department reviewed 86,000 licenses in FY 2012  <b>CW:</b> IEEPA Enhancement Act as amended CWC Regulations, 15 CFR Part 719 Toxic Substances Control, 15 USC 2615-2616 Illegal Export of War Materials, 22 USC 408, 464-465  <b>BW:</b>	

					EAR, through IEEPA, 15 CFR Parts 730-774 generally, (see732, Part 748)				IEEPA 50 USC 1701-1706, with heightened penalties adopted in October 2007 Crimes and Criminal Procedure 18 USC 541-554	
7	Individual licensing	X	X	X	<p><b>NW/CW/BW:</b> ITAR, 22 CFR Parts 120-129</p> <p><b>NW:</b> NRC Regulations, 10 CFR Part 110, as updated EAR 15 CFR Parts 732, 748, various provisions in Part 744, including 744.2-5 and 744.12-14 DoE authorizations 10 CFR Part 810 AECA, 22 USC 2778</p> <p><b>CW:</b> EAR, through IEEPA, 15 CFR Parts 732, 748, 744.2-5 and other provisions in Part 744 AECA, 22 USC 2778</p> <p><b>BW:</b> EAR, through IEEPA, 15 CFR Parts 730-774 generally, (see732, Part 748)</p> <p>.</p>	X	X	X	<p><b>NW/CW/BW:</b> AECA, 22 USC 2798 ITAR, 22 CFR Parts 127-128 BIS implemented the Simplified Network Application Processing (SNAP) System State Department reviewed 86,000 licenses in FY 2012</p> <p><b>NW:</b> IEEPA with heightened penalties adopted in October 2007 EAR, through IEEPA, 15 CFR Parts 730-799 Atomic Energy Act, as amended, 42 USC § 2011 et seq NRC Regulations, 10 CFR Part 110 5. DoE Regulations, 10 CFR Part 810 In FY 2012, DoC reviewed 2,227 license applications for nuclear nonproliferation reasons, denying 11 and returning 119 without action.</p> <p><b>CW:</b> IEEPA Enhancement Act as amended CWC Regulations, 15 CFR Part 719 Toxic Substances Control, 15 USC 2615-2616 Illegal Export of War Materials, 22 USC 408, 464-465 In FY 2012, DoC reviewed 4,467 license applications for Australia Group items, denying 10 and returning 308 without action.</p> <p><b>BW:</b> IEEPA 50 USC 1701-1706, with heightened penalties adopted in October 2007 Crimes and Criminal Procedure 18 USC 541-554</p>	

8	General licensing	X	X	X	<p><b>NW/CW/BW:</b> EAR, through IEEPA, 15 CFR Parts 730-774 , including Part 748</p> <p><b>NW:</b> NRC Regulations, 10 CFR Part 110, as updated EAA, through IEEPA, 50 USC app. 2401-2420 DoE general authorizations 10 CFR Part 810</p> <p><b>CW:</b> EAA, through IEEPA, 50 USC App. 1, 2401-2420, and 2424</p> <p><b>BW:</b> EAA, through IEEPA, 50 USC app. 1, 2401-2420</p>	X	X	X	<p><b>NW:</b> IEEPA, with heightened penalties adopted in October 2007 EAR, through IEEPA, 15 CFR Parts 730-799 Atomic Energy Act, as amended, 42 USC § 2011 et seq NRC Regulations, 10 CFR Part 110, as updated DoE Regulations, 10 CFR Part 810</p> <p><b>CW/BW:</b> BIS implemented the Simplified Network Application Processing (SNAP) System State Department reviewed 86,000 licenses in FY 2012</p> <p><b>CW:</b> AECA, 22 USC 2798 IEEPA Enhancement Act as amended CWC Regulations, 15 CFR Part 719 Toxic Substances Control, 15 USC 2615-2616 5. Illegal Export of War Materials, 22 USC 408, 464-465 6. ITAR, 22 CFR Parts 127-128</p> <p><b>BW:</b> AECA, 22 USC 2798 IEEPA 50 USC 1701-1706, with heightened penalties adopted in October 2007 Crimes and Criminal Procedure 18 USC 541-554 ITAR 22 CFR Parts 127-128</p>	
9	Exceptions from licensing	X	X	X	<p><b>NW/CW/BW:</b> “Export Control Reform Initiative: Strategic Trade Authorization License Exception” of June 16, 2011 (76 FR 35276)</p> <p><b>NW:</b> Atomic Energy Act, as amended, 42 USC § 2011 et seq</p>	X	X	X	<p><b>NW/CW/BW:</b> AECA, 22 USC 2798 ITAR, 22 CFR Parts 127-128</p> <p><b>NW:</b> EAR, through IEEPA, 15 CFR Parts 730-799 Atomic Energy Act, as amended, 42 USC §</p>	

					<p>DoE Regulations, 10 CFR Part 810 AECA, 22 USC 2778 ITAR, 22 CFR Parts 120-129 NRC Regulations, 10 CFR Part 110.10, 110.11 and 110.111, as updated EAR, 15 CFR Part 740</p> <p><b>CW:</b> ITAR, 22 CFR Parts 120-129 EAA, 50 USC App. 1, 2401-2420 and 2424, 15 CFR Part 740</p> <p><b>BW:</b> ITAR, 22 CFR Parts 120-129 EAA, 50 USC App. 1, 2401-2420 and 2424, EAR 15 CFR Part 740</p>				<p>2011 et seq NRC Regulations, 10 CFR Part 110, as updated DoE Regulations, 10 CFR Part 810</p> <p><b>CW/BW:</b> BIS implemented the Simplified Network Application Processing (SNAP) System</p> <p><b>CW:</b> IEEPA Enhancement Act as amended CWC Regulations, 15 CFR Part 719 Toxic Substances Control, 15 USC 2615-2616 Illegal Export of War Materials, 22 USC 408, 464-465</p> <p><b>BW:</b> IEEPA 50 USC 1701-1706, with heightened penalties adopted in October 2007 Crimes and Criminal Procedure 18 USC 541-554 In FY 2012, Department of Commerce reviewed 4,467 license applications for Australia Group items, denying 10 and returning 308 without action.</p>	
10	Licensing of deemed export/visa	X	X	X	<p><b>NW:</b> DoE requires U.S. nuclear vendors to obtain advance approval for hiring foreign nationals DoC administers export licensing of dual-use technology transfers to foreign nationals in the United States, EAR, 15 CFR Part 748 Section 734.2(b)(6)(2)(ii)</p> <p><b>CW/BW:</b></p>	X	X	X	<p><b>NW/CW/BW:</b> IEEPA, with heightened penalties adopted in October 2007 Crimes and Criminal Procedure 18 USC 541-554 DoC also reviews visa applications</p>	



					EAR, through IEEPA, 15 CFR Parts 730-774 ("Deemed" export license may be required for a foreign national, 15 CFR Section 734.2(b)(2)(ii))					
11	National licensing authority	X	X	X	<b>NW:</b> AECA, 22 USC Chapter 39  <b>CW/BW:</b> AEAC (Department of State)  <b>CW:</b> EAA (Department of Commerce)  <b>BW:</b> EAA , 50 USC app Sections 2401-2420, and EAR, 15 CFR Parts 730-774, (Department of Commerce) HHS CDC through 42 CFR Part 71.54 and 9 CFR Part 122.2 AECA, 22 USC 2798 IEEPA, with heightened penalties adopted October 2007	X	X	X	<b>NW:</b> U.S. Nuclear Regulatory Commission (NRC) IEEPA, NRC reviewed 100 import or export licenses and 27 Part 810 approvals DoE licenses the export of nuclear technology and services under 10 CFR Part 810 DoC licenses the export of dual-use nuclear items, including technology, 15 CFR Parts 730-774  <b>CW:</b> IEEPA Illustrative data on licensing  <b>BW:</b> USDA through 7 CFR Part 330 DOI through 50 CFR Part 23	
12	Interagency review for licenses	X	X	X	<b>NW/CW/BW:</b> The AECA process includes Department of Defense.  <b>NW:</b> The AEA and EAA processes include the Departments of Commerce, Defense, Energy, and State, the Nuclear Regulatory	X	X	X	<b>NW/BW:</b> Illustrative data in the 2013 report	

					Commission and others as needed DoC licenses the export of dual-use nuclear items, including technology, 15 CFR Parts 730-774  <b>CW:</b> The AEA and EAA processes include the Departments of Commerce, Defense, Energy, and State, and others as needed  <b>BW:</b> EAR, through IEEPA, 15 CFR Parts 730-799 process includes the Departments of Commerce, Defense, Energy, and State, and then others agencies as needed				<b>CW:</b> Regulatory time limits on Commerce licensing, Executive Order 12981 of 5 December 1994 Illustrative data on licensing	
13	Control lists	X	X	X	<b>NW:</b> The Commerce Control List (CCL), 15 CFR Part 774 The United State Munitions List (USML), 22 CFR Parts 120-130 April 16, 2013 “Amendment to the International Traffic in Arms Regulations: Initial Implementation of Export Control Reform” (78 FR 22740) amended the ITAR to revise four USML categories and provided policies and procedures regarding the licensing of items moving from the export jurisdiction to the CCL April 16, 2013, “Revisions to the Export Administration Regulations: Initial Implementation of Export Control Reform” (78 FR 22660) added a structure and related provisions to the CCL to control items formerly on the USML NRC Regulations, 10 CFR Part 110.8-110.9a	X	X	X	<b>NW/CW/BW:</b> Commodity Jurisdiction process, 22 CFR Part 120  <b>NW/CW:</b> DoC license determination process	

					<b>BW:</b> HHS and USDA Select Agents and Toxins List, 7 CFR Part 331, 9 CFR Part 121, and 42 CFR Part 73					
14	Updating of lists	X	X	X	<b>NW/CW/BW:</b> The CCL, 15 CFR Part 774, as amended by Revisions to the Export Administration Regulations Based Upon a Systematic Review of the Commerce Control List, on-going review cycle  <b>BW:</b> Executive Order 13546 of July 2, 2010, Optimizing the Security of Biological Select Agents and Toxins in the United States	X	X	X	<b>NW/CW/BW:</b> "Wassenaar Arrangement 2011 Plenary Agreements Implementation: Commerce Control List, Definitions, New Participating State (Mexico) and Reports," in July 2012 (77 FR 39353) U.S. interagency working groups  <b>NW:</b> Revised ITAR Category XVI (nuclear weapons related articles) on January 30, 2013  <b>CW/BW:</b> "Implementation of the Understandings Reached at the 2011 Australia Group (AG) Plenary Meeting and Other AG-Related Clarifications to the EAR" in July 2012  <b>BW:</b> October 2012 Revision to the Select Agent Regulations- updated list of regulated agents and toxins and created a Tier 1 list of those pathogens with the greatest potential to cause harm if misused.	
15	Inclusion of technologies	X	X	X	<b>CW/BW/NW:</b> The USML, 22 CFR Parts 120-130	X	X	X	<b>NW/CW/BW:</b> Revised ITAR Category IV (launch vehicles, guided missiles, ballistic missiles, etc) on January 31, 2013, including a new means of denoting items on the MTCR Annex Revised ITAR Category XV (Spacecraft Systems and Related Articles) on May 24, 2013, including a definition of defense services In FY 2012, Department of Commerce reviewed 1,064 license applications for missile items, denying 11 and returning 51 without action.	

					<b>NW:</b> DoE controls nuclear technology exports The CCL, 15 CFR Part 774, Part 772  <b>CW/BW:</b> The CCL, 15 CFR Part 774			<b>NW:</b> AECA, 22 Chapter 39 DoE regulations, 10 CFR Part 810  <b>CW/BW:</b> AECA, 22 USC 2798 ITAR, 22 CFR Parts 127-128		
16	Inclusion of means of delivery	X	X	X	<b>NW/BW:</b> The AECA includes the MTCR Annexes, 22 USC Chapter 39 The CCL is consistent with the MTCR control list 15 CFR Parts 730-774 The USML ITAR 22 CFR Part 120  <b>CW:</b> The CCL, 15 CFR Part 774 The USML ITAR, 22 CFR Parts 120-130 The AECA includes the MTCR Annexes, 22 USC Chapter 39	X	X	X	<b>NW/CW/BW:</b> AECA, 22 USC 2798 IEEPA, with heightened penalties adopted in October 2007 ITAR, 22 CFR Parts 127-128 Revised ITAR Category IV (launch vehicles, guided missiles, ballistic missiles, etc) on January 31, 2013, including a new means of denoting items on the MTCR Annex Revised ITAR Category XV (Spacecraft Systems and Related Articles) on May 24, 2013, including a definition of defense services In FY 2012, DoC reviewed 1,064 license applications for missile items, denying 11 and returning 51 without action. State Department reviewed 86,000 licenses in FY 2012	

17	End-user controls	X	X	X	<p><b>NW/CW/BW:</b>  EAR, Validated End-User List  Entity List, EAR Part 744, Supplement 4  State Department Nonproliferation Sanctions List  Office of Foreign Assets Control, Specially Designated Nationals and Blocked Persons List</p> <p><b>NW:</b>  DoE may require end-use assurances, 10 CFR Part 810  EAR, 15 CFR Parts 732 and 744  Physical Protection measures and other criteria, 42 USC 2153b, 2156-8, and 2160  NRC regulations on criteria on end-users, 10 CFR Part 110  ITAR, Debarred Parties List</p> <p><b>CW:</b>  EAR, through IEEPA,, Parts 732, 744.12, 744.13, 744.14, and Part 744 generally  AECA, 22 USC 2785  ITAR, Debarred Parties List</p> <p><b>BW:</b>  EAR, through IEEPA, Parts 732, 744.12, 744.13, 744.14, among other Part 744 provisions  AECA, 22 USC 2785  ITAR, Debarred Parties List</p>	X	X	X	<p><b>NW/CW/BW:</b>  DoC unofficial Denied Parties List  DoC, State and Treasury make regular changes to the different lists of end-users  IEEPA  AECA, 22 USC 2798  ITAR, 22 CFR Parts 127-128  In FY 2012, BIS completed 994 end-use checks in over 50 countries, including 136 Pre-License Checks (PLC) and 858 Post-Shipment Verifications (PSV)  In FY 2012, the Blue Lantern program of the State Department conducted 820 end-use checks in 103 countries.</p> <p><b>NW:</b>  NRC Regulations, 10 CFR Part 110.60-110.67  DoE regulations, 10 CFR Part 810  The NRC Participates in inter-agency physical protection visits to support nuclear licensing</p>	
18	Catch all clause	X	X	X	<p><b>NW:</b>  EAR, 15 CFR Part 744</p>	X	X	X	<p><b>NW:</b>  AECA, 22 USC 2798  IEEPA, with heightened penalties adopted in October 2007  ITAR, 22 CFR Parts 127-128  Sanctions for Nuclear Proliferation, 22 USC</p>	

					<b>CW/BW:</b> EAR, through IEEPA, 15 CFR Part 744			6303  <b>CW:</b> AECA, 22 USC 2798 IEEPA, with heightened penalties adopted in October 2007 ITAR, 22 CFR Parts 127-128  <b>BW:</b> AECA, 22 USC 2798 IEEPA, with heightened penalties October 2007 Crimes and Criminal Procedure 18 USC 541-554 ITAR 22 CFR Parts 127-128 BIS "Best Practices" for Industry to Guard Against Unlawful Diversion through Transshipment Trade, 31 August 2011 Guidance on the Commerce Department's Re-export Controls	
19	Intangible transfers	X	X	X	<b>NW:</b> ITAR, 22 CFR Parts 120-129 EAR, 15 CFR Parts 730-774 DoE regulations, 10 CFR Part 810  <b>CW:</b> ITAR, 22 CFR Parts 120-129	X	X	X <b>NW/CW/BW:</b> AECA, 22 USC 2798 IEEPA, with heightened penalties adopted in October 2007 Crimes and Criminal Procedure 18 USC 541-554 ITAR, 22 CFR Parts 127-128 BIS "Best Practices" for Industry to Guard Against Unlawful Diversion through Transshipment Trade, 31 August 2011  <b>NW:</b> NRC Regulations, 10 CFR Part 110.60-110.67 DoE Regulations, 10 CFR Part 810 BIS "Best Practices" for Industry to Guard Against Unlawful Diversion through Transshipment Trade, 31 August 2011	

					<p>EAR, through IEEPA, 15 CFR Parts 730-774 , including Part 772 (definitions) and Section 734.2(b)(2)(ii) (deemed exports)</p> <p><b>BW:</b> ITAR, 22 CFR Parts 120-129 EAR, through IEEPA, 15 CFR Parts 730-774</p>				<p><b>BW:</b> Guidance on the Commerce Department's Re-export Controls</p>	
20	Transit control	X	X	X	<p><b>NW/CW/BW:</b> ITAR, 22 CFR Parts 120-129</p> <p><b>NW:</b> EAR, 15 CFR Parts 730-799</p> <p><b>CW:</b> EAR, through IEEPA, 15 CFR Parts 730-774 , including Part 772 (definitions) and Section 734.2(b)(2)(ii) (deemed exports)</p> <p><b>BW:</b> ITAR, 22 CFR Parts 120-129 EAR, through IEEPA, 15 CFR Parts 730-774</p>	X	X	X	<p><b>NW/CW/BW:</b> AECA, 22 USC 2798 IEEPA, with heightened penalties adopted in October 2007 Crimes and Criminal Procedure 18 USC 541-554 ITAR 22 CFR I, 127-128 BIS "Best Practices" for Industry to Guard Against Unlawful Diversion through Transshipment Trade, 31 August 2011</p> <p><b>NW:</b> NRC Regulations, 10 CFR Part 110.60-110.67 DoE Regulations, 10 CFR Part 810</p> <p><b>BW:</b> Guidance on the Commerce Department's Re-export Controls</p>	
21	Trans-shipment control	X	X	X	<p><b>NW/CW/BW:</b> ITAR, 22 CFR Parts 120-129</p> <p><b>NW:</b></p>	X	X	X	<p><b>NW/CW/BW:</b> AECA, 22 USC 2798 IEEPA, with heightened penalties adopted in October 2007 Crimes and Criminal Procedure 18 USC 541-554 ITAR 22 CFR I, 127-128 BIS "Best Practices" for Industry to Guard Against Unlawful Diversion through Transshipment Trade, 31 August 2011</p> <p><b>NW:</b></p>	

					EAR, 15 CFR Parts 730-799  <b>CW:</b> EAR, through IEEPA, 15 CFR Parts 730-774 , including Part 772 (definitions) and Section 734.2(b)(2)(ii) (deemed exports)  <b>BW:</b> ITAR, 22 CFR Parts 120-129 EAR, through IEEPA, 15 CFR Parts 730-774				NRC Regulations, 10 CFR Part 110.60-110.67 DoE Regulations, 10 CFR Part 810  <b>BW:</b> Guidance on the Commerce Department's Re-export Controls	
22	Re-export control	X	X	X	<b>NW:</b> EAA and EAR, 15 CFR Parts 730-774 DOE Regulations, 10 CFR Part 810 ITAR 22 CFR Parts 1, 120-129 NRC Regulations, 10 CFR Part 110  <b>CW:</b> CWC Implementation Act, 18 USC 229 EAA and EAR, through IEEPA, 15 CFR Parts 730-774 AECA, 22 USC Chapter 39  <b>BW:</b> ITAR, 22 CFR Parts 120-129 EAR, through IEEPA, 15 CFR Parts 730-774 ,	X	X	X	<b>NW/CW/BW:</b> AECA, 22 USC 2798 IEEPA, with heightened penalties adopted in October 2007 Guidance on the DoC Re-export Controls  <b>NW:</b> NRC enforces its Regulations, 10 CFR Part 110.60-110.67 ITAR, 22 CFR Parts 127-128  <b>BW:</b> Crimes and Criminal Procedure 18 USC 541-554 ITAR 22 CFR Parts 127-128 BIS "Best Practices" for Industry to Guard Against Unlawful Diversion through Transshipment Trade, 31 August 2011	
23	Control of providing funds	X	X	X	<b>NW/CW/BW:</b> Terrorist Financing, Executive Order 13224 EAR, through IEEPA, 15 CFR Parts 730-774 Bank Secrecy Act	X	X	X	<b>NW/CW/BW:</b> Financial Crimes Enforcement Network (FinCEN) Office of Foreign Assets Control (OFAC) licenses financial transactions with several countries, including some for non-	



					<b>NW:</b> EAR, 15 CFR Parts 730-774 (generally as an aider/abettor, see Section 764.2 (violations) Sanctions for Nuclear Proliferation, 22 USC 6303				proliferation reasons  <b>NW:</b> Sanctions for Nuclear Proliferation, 22 USC 6303 IEEPA, with heightened penalties adopted in October 2007  <b>CW:</b> EAR, through IEEPA, 15 CFR Parts 730-774  <b>BW:</b> IEEPA, with heightened penalties adopted in October 2007	
24	Control of providing transport services	X	X	X	<b>NW:</b> NRC Regulations, 10 CFR Chapter Part 110 EAR, 15 CFR Part 744.6 (applies only to U.S. persons); also see Section 764.2(violations)  <b>CW:</b> EAR, through IEEPA, 15 CFR Part 744.6 (only covers U.S. persons' activities)  <b>BW:</b> EAR, through IEEPA, 15 CFR Part 744.6 (this provision only applies to U.S. persons' activities, not necessarily exports-related)	X	X	X	<b>NW/CW/BW:</b> IEEPA, with heightened penalties adopted in October 2007  <b>NW:</b> NRC Regulations, 10 CFR Part 110.60-110.67  <b>CW/BW:</b> Crimes and Criminal Procedure 18 USC 541-554 ITAR 22 CFR Parts 127-128  <b>BW:</b> AECA, 22 USC 2798	
25	Control of importation	X	X	X	<b>NW/CW/BW:</b> Trade Act Customs Duties, 19 USC Chapter 12 AECA, 22 USC 2778	X	X	X	<b>NW/CW:</b> Container Security Initiative (CSI)	

				<p><b>NW:</b>  Tariff Act of 1930, as amended, 19 USC 1202 - 1677f  Hazardous Substances, 15 USC 1273  ITAR, 22 CFR Parts 120-130  NRC Regulations, 10 CFR Part 110, as updated  BIS/DOC, 15 CFR Parts 781-786 Additional  Protocol Regulations of 31 October 2008</p> <p><b>CW:</b>  Tariff Act of 1930, as amended, and its  antecedents 19 USC 1202 - 1677f  Hazardous Substances 15 USC 1273  ITAR 22 CFR Parts 120-130  Toxic Substances Control 15 USC 2605, 2612  and 2614  CWC Implementation 22 USC 6711</p> <p><b>BW:</b>  Tariff Act of 1930, as amended, and its  antecedents 19 USC 1202 - 1677f  Agriculture APHIS regulations 7 CFR Part 351  Animal and Animal Product APHIS regulations  9 CFR Parts 93-94, 121-122  The Bioterrorism Act, Select Agent regulations  The Agricultural Bioterrorism Protection Act,  Select Agent Regulations  HHS CDC Foreign Quarantine (import permits)  42 CFR Part 71.54 and 9 CFR Part 122.2  HHS CDC through 42 CFR 71.54 and 9 CFR  122.2  USDA through 7 CFR 330 et. seq.  Intelligence Reform and Terrorism Prevention  Act of 2004, specific prohibition against  Variola virus-based biological weapons  imports, 18 USC 175c</p>		<p>Hazardous Substances, 15 USC 1264  ITAR, 22 CFR Parts 127-128</p> <p><b>NW:</b>  NRC regulations, 10 CFR Part 110, as updated  Tariff Act of 1930 as amended 19 USC 1202 - 1667f  Crimes and Criminal Procedure 18 USC 541-554  Customs Duties 19 USC 5  "Seizure and forfeiture of vessels" (used to defraud the revenue or for smuggling), 19 USC 1703  NRC Regulations, 10 CFR Part 110.60-110.67  BIS/DOC, 15 CFR Parts 783 on the list and 785 on enforcement  Megaport's Initiative</p> <p><b>CW:</b>  Toxic Substances Control 15 USC 2615-2616  CWC Regulations, 15 CFR Part 719</p> <p><b>BW:</b>  The Container Security Initiative (CSI)  Crimes and Criminal Procedure, 18 USC 541-554  AECA, 22 USC 27981. Container Security Initiative in 58 non-U.S. ports in 2013  Secure Freight Initiative in six non-U.S. ports in 2013</p>	
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## OP 6, 7 and 8 (d) - Control lists, Assistance, Information

Can information be provided on the following issues?		YES		Remarks
1	Control lists - items (goods/ equipment/ materials/ technologies)	X	The Commerce Control List (CCL) is consistent with control lists agreed to in the multilateral context, such as the Wassenaar Arrangement, Nuclear Suppliers Group, Australia Group, and Missile Technology Control Regime; Munitions List (USML) consists of twenty-one broad categories of defense articles and services that are subject to the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120-130. PPQ and VS select agents and toxins lists that an interagency body reviews and coordinates Supplement No. 3 to Part 783 List of Specified Equipment and Non-Nuclear Material for the Reporting of Imports	
2	Control lists - other	X	Commerce, State, and Treasury Departments maintain six end-user lists designed to help ensure that items do not go to proliferators, terrorists, other criminals, or other non-State actors for illicit purposes. In addition to its lists of individuals, entities or organizations, the United States also maintains several lists of countries for which the United States has embargoes, targeted sanctions, or other prohibitions (particularly under the ITAR), Department of Homeland Security has developed a “chemicals of interest” list in its appendix to its Chemical Facility Anti-Terrorism Standards (CFAT) for chemicals that present one or more security issues. The National Institute of Allergy and Infectious Disease (NIAID) also lists “Category A, B, and C Priority Pathogens” that closely follows the CDC list of Category A, B and C Biological Diseases/Agents, highlights specific pathogens identified as priorities for additional research efforts as part of the NIAID biodefense research agenda. NIAID reviews the list periodically, in conjunction with DHS and other federal agencies.	
3	Assistance offered	X	The United States continues to employ several programs through which it offers assistance to States in implementing aspects of UNSCR 1540, including \$4.5 million to the United Nations Trust Fund for Global and Regional Disarmament Activities through 2013. For Fiscal Year 2014, the projected budget for cooperative threat reduction programs for the Departments of Defense, Energy, Homeland Security, and State alone - most of which assist in implementing obligations of the resolution - came to \$1.65 billion. The programs include: NNSA Global Threat Reduction Initiative (GTRI); the NNSA Second Line of Defense (SLD) Program, including its Megaports Initiative; NNSA International Export Control Program (INECP); State Export Control and Related Border Security (EXBS) Program; Justice Office of Overseas Prosecutorial Development, Assistance (ODPAT) Program; State Cooperative Threat Reduction Programs; State Nonproliferation and Disarmament Fund; Justice International Criminal Investigative Training Assistance Program (ICITAP); Defense Chemical Weapons Destruction Program; Defense Global Initiatives for Proliferation Prevention and Science Partnerships Program; Defense Proliferation Prevention Program; Defense International Counter-Proliferation Program; the Defense Threat Reduction Engagement Program; and Defense Cooperative Biological Engagement Program. The United States also funds related work, including assistance activities, of the IAEA, OPCW, WCO and WHO, among other international	

			bodies. See the 2013 report for additional information.	
4	Assistance requested			
5	Point of Contact for assistance	X	Point of Contact at State Department (U.S. 1540 Coordinator) and at the United States Mission to the United Nations	
6	Assistance in place (bilateral/multilateral)			
7	Work with and inform industry	X	<p>The NRC has extensive deliberations with "stakeholders" and a dedicated system for electronic communication with authorized licensees and other officials;</p> <p>DoE/NNSA regularly participate in meetings with industry and the national nuclear laboratories;</p> <p>FinCEN works closely with the financial services industry;</p> <p>DoC has a comprehensive outreach program of meetings, seminars, and workshops for all industry sectors, has special preventive enforcement outreach programs with industry, and provides one-on-one counselling and other services. In Fiscal Year 2012, BIS reached over 4,500 people through 25 domestic export control outreach seminars conducted in 13 states and the District of Columbia, and conducted preventive enforcement outreaches.</p> <p>Department of Commerce has seven Technical Advisory Committees (TACs) and the PECSEA for regular consultation for industry</p> <p>BIS works with the NRC to provide outreach and assistance to the industry affected by the Additional Protocol</p> <p>The Customs Trade Partnership against Terrorism (CT-PAT) has 8,166 companies enrolled worldwide</p> <p>The FBI "Business Alliance" and "Academic Alliance" programs</p> <p>HHS issued the Screening Framework Guidance for Providers of Synthetic Double-Stranded DNA. This voluntary Guidance, recognizing the efforts taken proactively by industry to address the potential biosecurity risks, establishes a screening framework for use by providers of synthetic nucleic acids to minimize the risk that unauthorized individuals will gain access to sequences and organisms of concern through the use of nucleic acid synthesis technology.</p>	
8	Work with and inform the public	X	Every U.S. Department and Agency shares information with the public.	
9	Point of Contact	X	Point of Contact at State Department (U.S. 1540 Coordinator) and at the United States Mission to the United Nations	
10	Other <sup>4</sup>	X	Submitted National Implementation Action Plan in 2007; 1540 Committee visit conducted in 2011	

Information may include references to voluntary implementation national action plan and visits to States, at their invitation, by the 1540 Committee.