



Capacity-building and the option of a voluntary National Implementation Action Plan

*Nicolas Kasprzyk
1540 Committee expert*

Workshop on UN Security Council Resolution 1540

Riyadh, Kingdom of Saudi Arabia, 14-15 January 2013

Outline



- Implementation of resolution 1540 and capacity-building
- Resolution 1540 and technical assistance
- Voluntary national action plans

Implementation and capacity-building



- Each State to decide, in accordance with its own national procedures, how to implement the obligations stemming from resolution 1540
- Resolution 1540 leaves it to States themselves to decide what are “appropriate effective laws” and measures to be adopted and enforced

United Nations

S/RES/1540 (2004)



Security Council

Distr.: General
28 April 2004

Resolution 1540 (2004)

Adopted by the Security Council at its 4956th meeting,
on 28 April 2004

The Security Council,

Affirming that proliferation of nuclear, chemical and biological weapons, as well as their means of delivery,* constitutes a threat to international peace and security,

Reaffirming, in this context, the Statement of its President adopted at the Council's meeting at the level of Heads of State and Government on 31 January 1992 (S/23500), including the need for all Member States to fulfil their obligations in relation to arms control and disarmament and to prevent proliferation in all its aspects of all weapons of mass destruction,

United Nations

S/RES/1977 (2011)*



Security Council

Distr.: General
20 April 2011

Resolution 1977 (2011)

Adopted by the Security Council at its 6518th meeting, on
20 April 2011

The Security Council,

Reaffirming its resolutions 1540 (2004) of 28 April 2004, 1673 (2006) of 27 April 2006 and 1810 (2008) of 25 April 2008,

Reaffirming that the proliferation of nuclear, chemical and biological weapons, as well as their means of delivery, constitutes a threat to international peace and security,

Reaffirming the need for all Member States to comply fully with their obligations and fulfil their commitments in relation to arms control, disarmament and non-proliferation in all its aspects of all weapons of mass destruction and their means of delivery,

Reaffirming that prevention of proliferation of nuclear, chemical and biological weapons should not hamper international cooperation in materials, equipment and technology for peaceful purposes while goals of peaceful utilization should not be misused for proliferation purposes,

Implementation and capacity-building



- The full implementation of resolution 1540 by a State requires continuous efforts and a long-term commitment at the national level
- Resolution 1540 addresses a broad range of matters and calls for action in many interlinked areas



“Seminars and workshops such as the one held in Riyadh two years ago, are providing useful lessons”
– UN Secretary General His Excellency M. Ban Ki Moon at the occasion of the High Level Event on resolution 1540 convened by the Kingdom of Saudi Arabia on 10 December 2012

Implementation and capacity-building



Soft capacity-building: adapting the legal and regulatory framework, considering the adoption of control lists, coordinating efforts, developing new working methods, training relevant stakeholders, developing mechanisms to involve the industry and the private sector...

Hard capacity-building: deployment and use of detection and analysis equipments, physical protection measures, enhancement of enforcement capabilities...

Implementation and capacity-building



The involvement of all relevant national stakeholders is key to a successful implementation

- Coordination
- Information-sharing
- Joint planning

Some States decide to establish an interagency coordination mechanism for 1540-related matters

United Nations

S/2011/579



Security Council

Distr.: General
14 September 2011

Original: English

76. Different actors, including customs, in some cases through established inter-agency coordination mechanisms, are involved in the implementation and enforcement of legislation relating to export control. In addition, States have addressed their efforts to providing appropriate and effective sanctions for violations



Resolution 1540 and technical assistance



The Security Council “recognizes that some States may require assistance in implementing the provisions of this resolution within their territories and invites States in a position to do so to offer assistance as appropriate in response to specific requests” (OP 7, resolution 1540)

The Security Council stresses “the need of enhanced assistance and collaboration among States, between the 1540 Committee and States, and between the 1540 Committee, and relevant international, regional and subregional organizations in assisting States to implement resolution 1540” (PP 19, resolution 1977)

Resolution 1540 and technical assistance



The Security Council urges “the 1540 Committee to continue strengthening the Committee’s role in facilitating technical assistance for implementation of resolution 1540 (2004), in particular by engaging actively, with the support of the group of experts, in matching offers and requests for assistance” (OP 14, resolution 1977)

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1540 Committee

Security Council Committee established pursuant to resolution 1540 (2004)

National Implementation **Assistance** **Cooperation** **Transparency & Outreach**

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General Information

UNSC Resolution 1540 recognizes that some States may require assistance in seeking full implementation of the resolution. In its [Operative Paragraph \(OP\) 7](#), the Security Council encourages States to convey such requests to the Committee.

The 1540 Committee itself does not provide assistance but has a clearinghouse role to facilitate assistance by others for implementation of the resolution. One aspect of a clearinghouse function is to provide information from which assistance partnerships and cooperation projects can be developed to enhance implementation. In this regard, it posts on its website:

- [a summary of assistance requests](#), and
- [a list of States and international organizations offering assistance](#).

The list of potential assistance providers is updated periodically by the 1540 Committee at the recommendation of the Committee’s Working Group on Assistance.

These assistance requests can come in various forms. They can be formally submitted to the 1540 Committee, for example, as a component of national reporting or as separate submissions using or referring to the [template on assistance](#). Requests can also be sent to the Committee by referral, with States’ consent from other UN entities, or international organizations.¹

In 2010, the 1540 Committee adopted revised procedures to rationalize, improve and accelerate response to assistance requests and facilitate match-making. This process includes:

- Authenticating a request;
- The 1540 Committee Chairman acknowledging receipt of the request;
- Distributing the request to potential assistance providers within one week after the request was received by the Committee;
- Posting a summary of the request on the 1540 Committee website, with the consent of the requesting state;
- The 1540 Committee experts conducting informal ‘match-making’ on advice of the requesting State (see list of requests by country);
- The 1540 Committee Chairman circulating to the Committee Members offers of assistance regarding a specific request; and
- The 1540 Committee Chairman acknowledging such offers, and sending a letter to the requestor informing of such offers.

An important aspect of the reporting on assistance provision, and thus contributing as a measure of implementation success, is in follow-up action whereby the 1540 Committee experts are to brief the Committee on ‘match-making’ efforts every two months, and the 1540 Committee Chairman sends the requestor a letter inquiring on whether the request had been met.

Another dimension of a clearinghouse function is a reporting process on what assistance has been delivered to meet assistance needs. Such reporting to date has included submissions to the 1540 Committee by States which have provided or delivered assistance in various areas. States are encouraged to notify the 1540 Committee formally through their UN mission if they have received assistance in response to a request or of other actions and results relevant to the request.

Finally, in United Nations Security Council resolution 1810 (2008), the 1540 Committee was encouraged to engage in ‘matching’ or partnering specific requests from Member States with offers from other States and relevant organizations, which in turn can be reported to the 1540 Committee. This process is underway with various capacity building programs.

¹ Such requests can come from international governmental bodies, including those already listed on this website as among those offering or with relevant assistance programs

Assistance

General Information

Assistance Template

Requests for Assistance

Requests from Member States

Requests from Regional or Subregional Organizations

Offers of Assistance

Offers of Assistance from Member States

Assistance Programmes and Offers from International, Regional and Subregional Organizations and Other Arrangements

Facilitating Assistance

Experience Shared, Lessons Learned and Effective Practices

Points of Contact

Resolution 1540 and technical assistance



Implementation of
resolution 1540 is a
continuous process

All States have something
to learn from others

All States have something
to offer to others



Resolution 1540 and technical assistance



In fulfilling its clearinghouse function, the 1540 Committee actively engages with States that need assistance, and with those that are in a capacity to offer assistance

The group of experts established by the UN Secretary-General supports the Committee in this task

A screenshot of the 1540 Committee website. The header features the UN logo and the text "Welcome to the United Nations. It's your world." Below the header is a search bar and language links for English, Français, Русский, and Español. The main title "1540 Committee" is displayed, along with the subtitle "Security Council Committee established pursuant to resolution 1540 (2004)". A navigation bar at the bottom includes "National Implementation", "Assistance", "Cooperation", and "Transparency & Outreach".

1. Counter-Terrorism Implementation Task Force (CTITF) Retreat, organized by CTITF, 16-17 December 2012, Greentree, New York, United States, attended by a 1540 expert.
2. "Workshop on Chemical, Biological, Radiological, Nuclear (CBRN) and Maritime Terrorism" for ASEAN countries, organized by the Terrorism Prevention Branch of the UN Office on Drugs and Crime (UNODC) with the financial support of the Government of Japan, 6-7 December 2012, Bangkok, Thailand, attended by a 1540 expert.
3. Dinner reception in support of the UNSC Resolution 1540 (2004) offered by the Permanent Representative of Saudi Arabia to the United Nations, 10 December 2012, New York, United States, attended by the 1540 Committee Chairman and 1540 experts. [Statement by Secretary-General Ban Ki-moon](#) [Statement by 1540 Committee Chairman Baso Sangozi](#) [Statement by High Representative for Disarmament Affairs Angela Kane](#)
4. 1540 Workshop on Building New Synergies on Nuclear Security, organized by the Government of India in cooperation with the UN Office for Disarmament Affairs (UNODA), 30 November - 1 December 2012, New Delhi, India, attended by the 1540 Committee Chairman and a 1540 expert. [Summary Report by the Chair of the Workshop](#) [List of Participants](#)
5. Workshop on the implementation of UNSC resolution 1540 (2004) for African States, hosted by the Government of South Africa in collaboration with the African Union (AU), supported by the UN Office for Disarmament Affairs (UNODA) and with the facilitation of the Institute for Security Studies (ISS), 21-22 November 2012, Pretoria, South Africa, attended the 1540 Committee Chairman, two 1540 Committee members and two 1540 experts. [Summary Report by the Chair of the Workshop](#)
6. Conference on Strategic Trade Controls Enforcement, organized by the World Customs Organization (WCO), 14-16 November 2012, Brussels, Belgium, attended by a 1540 expert.
7. International meeting on chemical safety and security, organized by the Government of Poland and the Organisation for the Prohibition of Chemical Weapons (OPCW), in cooperation with the G8 Global Partnership and the international partners, 8-9 November 2012, Tarnów, Poland, attended by a 1540 expert.

Resolution 1540 and technical assistance



As at 11 January 2013, 39 States have submitted an assistance request to the 1540 Committee, including 5 from the League of Arab States

Some members of the League of Arab States might be in a position to offer assistance

البحث في موقع الأمم المتحدة

العربية مرحباً بكم في الأمم المتحدة، إنها عالمكم

العربية English Français Русский Español

اللجنة ١٥٤٠

لجنة مجلس الأمن المنشأة عملاً بالقرار ١٥٤٠ (٢٠٠٤)

معلومات عامة

يسّلم القرار 1540 (2004) لمجلس الأمن التابع للأمم المتحدة بأن بعض الدول قد تلزمها المساعدة في سعيها إلى استئناف الاتصالات، وفي الفقرة 7 من متن القرار، يسّع مجلس الأمن الدول على احاطة طلبات المساعدة إلى اللجنة المنشأة عملاً بهذا القرار.

واللجنة تيسّر قيام جهات أخرى بتقديم المساعدة غير أنها تضطّل بدور مركز تبادل المعلومات في توفير المعلومات التي يمكن من خلالها إقامة شراكات لتقديم المساعدة ومتّشاريع للتعاون من أجل تغيير التقدّم. وفي هذا الصدد، تنشر اللجنة على موقعها الإلكتروني:

موجزاً لطلبات المساعدة

قائمة بالدول والمظاهرات الدولية التي تفرض تقديم المساعدة

وتسكّن اللجنة المنشأة عملاً بالقرار 1540 قائمة مقدمي المساعدة المحتملين دورياً بناء على توصية من الفريق العامل المعني بالمساعدة التابع للجنة.

ويمكن أن تزداد طلبات المساعدة هذه في أشكال مختلفة، فيمكن أن تقدم رسمياً إلى اللجنة المنشأة عملاً بالقرار 1540 على سبيل المثال، وبصفتها أحد مكونات التفايز الوطنية أو في شكل تعاون مفتوحه باستخدام تمويل طلب المساعدة أو الإشارة إليه، ويمكن أيضاً أن ترسل الطلبات إلى اللجنة عن طريق الإحالات، بموافقة الدول، من كيانات الأمم المتحدة الأخرى أو المظاهرات الدولية.

وفي عام 2010، أعتمدت اللجنة إجراءات منفتحة لتسهيل وتحسين وتنزيل الاستجابة لطلبات المساعدة وتنبيه المواجهة بـ، الطلبات والغير، وتنبيهـ، هذه العمليةـ

الشuttle و التوعية

التعاون

تقديم المساعدة

التعهد الوطني

صفحة الاستفتاء

الصفحة الرئيسية

- القرارات والبيانات الرئيسية
- اللجنة وعملها
- تقارير اللجنة.
- احتياطات
- والمقدمات الأخرى لمجلس
- الأمن
- مراجعة شاملة
- الجهاز المتبادلة،
- الدروس المستفادة
- والممارسات الفعالة
- أسئلة شائعة
- 1540 في وسائل الإعلام

UNSCR 1540 Committee

REQUEST FOR ASSISTANCE TEMPLATE
(as at 19 November 2007)

Purpose of the Template

This template is intended to serve as a useful tool for States seeking assistance to implement their obligations under UN Security Council Resolution 1540 (April 2004). This template may also be used to prepare for a meeting between a requesting country, the 1540 Committee and interested assistance providers.

How to request assistance

Requests for assistance may be submitted to the 1540 Committee by using this template or by sending a written request through your country's UN Mission to forward to the Committee.

If you have any questions about the information below, please contact the 1540 Committee Experts via e-mail at 1540experts@un.org

Categories of assistance that Governments may consider

For information, Governments may request various forms of assistance, including from the following categories:

1. Drafting of national reports, legislation or regulations.
2. Implementation of regulations, administrative and/or technical measures consistent with national governmental structures.
3. Training, e.g., for administrators, regulatory and enforcement officials, *inter alia*, on the use of equipment, commodity identification, outreach.
4. Equipment, e.g., detection equipment, licensing software.

National implementation action plans



The Security Council
“encourages all States to
prepare on a voluntary basis
national implementation action
plans, with the assistance of the
1540 Committee as appropriate,
mapping out their priorities and
plans for implementing the key
provisions of resolution 1540
(2004), and to submit those
plans to the 1540 Committee”
(OP 8, resolution 1977)

As at 11 January 2013, 6 States have submitted a national implementation action plan to the 1540 Committee, of which 5 have been posted on the Committee's website with the consent of the concerned State

<http://www.un.org/ar/sc/1540/national-implementation/national-action-plans.shtml>

What is a national implementation action plan?



A national implementation action plan identifies priorities and plans to implement key provisions of resolution 1540 (2004)

It benefits from inter-ministerial coordination of priorities leading to necessary legislative and enforcement measures

The concerned State is responsible for deciding to prepare a national implementation action plan, on a voluntary basis

The scope and content of the national implementation action plan can vary from a State to another, and over time

What is a national implementation action plan?



A national implementation action plan can help foster the dialogue with the 1540 Committee, and raise awareness of national implementation efforts

A national implementation action plan is a useful tool to enhance coordination at the national level, by developing a common understanding of the strategic goals and objectives that are being pursued

A national action implementation action plan can be prepared with the assistance of the 1540 Committee, including through a visit to the State at its invitation. Such a visit would gather all relevant national stakeholders, offering an opportunity for in-depth and cross-cutting discussions

What is a national implementation action plan?



In the preparation of a national implementation action plan, an important first step is to identify gaps in the implementation of resolution 1540. The 1540 Committee Matrix can play an useful role in this regard

Based on the gap analysis, the national implementation action plan can selectively focus on one or some of the areas where further efforts are needed. It can also cover all areas, in a comprehensive and integrated way

There is no model national implementation action plan. A good national implementation action plan fits to the national specificities and priorities

Contact information:



Presenter:

Nicolas Kasprzyk

1540 Committee expert

United Nations

300 E 42nd St., Suite IN-03071

Tel: +1 (917) 367 9344 (office)

E-mail: kasprzyk@un.org

1540 Committee Group of experts:

Email: 1540experts@un.org

Website: <http://www.un.org/ar/sc/1540/>

Chairman of the 1540 Committee:

Secretariat of the 1540 Committee

Attention: S.E. Kim Sook, Chairman, 1540 Committee

Secretariat Building, Room S-3055-I

United Nations, New York, NY 10017

Fax: +1 212 963-1300; Email: sc-1540-Committee@un.org

1540 Committee website: <http://www.un.org/sc/1540>