

APPROVED 1540 COMMITTEE MATRIX

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

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

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

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

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

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

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

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

State:	Republic of Kazakhstan
Date of Report:	3 November 2004
Dates of Additional Reports:	1 December 2005
	18 January 2008
	13 January 2012
	27 December 2019
Date of Approval:	9 December 2020

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

Adherence to legally binding instruments, membership of organisations, participation in arrangements and statements made.	Relevant information (i.e., signing, deposit of instrument of 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)	Deposit 14 February 1994	
2	Nuclear Weapons Free Zone/ Protocol(s)	Treaty on a Nuclear Weapon-Free Zone in Central Asia (CANWFZ): Deposit 14 February 2009	
3	International Convention for the Suppression of Acts of Nuclear Terrorism	Deposit 31 July 2008	
4	Convention on Physical Protection of Nuclear Material (CPPNM)	Deposit 2 September 2005	
5	2005 Amendment to the CPPNM	Deposit 26 April 2011	
6	Comprehensive Nuclear-Test-Ban Treaty (CTBT) (not in force)	Deposit 14 May 2002	
7	Chemical Weapons Convention (CWC)	Deposit 23 March 2000	
8	Biological Weapons Convention (BWC)	Deposit 15 June 2007	
9	Geneva Protocol of 1925		
10	1997 International Convention for the Suppression of Terrorist Bombings	Deposit 26 March 2002	
11	1999 International Convention for the Suppression of the Financing of Terrorism	Deposit 6 December 2002	

12	2005 Protocol to the Convention for the suppression of unlawful acts against the safety of maritime navigation		
13	2005 Protocol to the Protocol for the suppression of unlawful acts against the safety of fixed platforms located on the continental shelf		
14	2010 Convention on the Suppression of Unlawful Acts Relating to International Civil Aviation	Deposit 2 January 2019	
15	Other relevant regional legally binding instruments		
16	International Atomic Energy Agency (IAEA)	Since 14 February 1994	
17	Directly relevant Arrangements	<ol style="list-style-type: none"> 1. Nuclear Supplies Group (NSG) 2. Zangger Committee (ZC) 3. Proliferation Security Initiative (PSI) 4. Global Initiative to Combat Nuclear Terrorism (GICNT) 5. G-7 Global Partnership against the Spread of Weapons and Materials of Mass Destruction 6. Agreement on a Single System for Export Control by the Member States of the Eurasian Economic Community 7. Agreement on the coordination of work on the export control of raw materials, materiel, equipment, technologies and services which may be used for the production of WMD and missiles for their delivery, concluded by the CIS Member States 6. Treaty on Cooperation among the States Members of the CIS in Combating Terrorism 7. Shanghai Convention on Combating Terrorism, Separatism and Extremism 	
18	Statement on non-provision of WMD and related materials to non-State actors		
19	Membership in relevant international, regional or sub-regional organisations	<p>Organization for Security and Co-operation in Europe (OSCE) Eurasian Group on Combating Money Laundering and Financing of Terrorism (EAG) World Customs Organization (WCO) International Criminal Police Organization (INTERPOL) World Health Organization (WHO)</p>	

		World Organisation for Animal Health (OIE) The Shanghai Cooperation Organisation (SCO) Euro-Atlantic Partnership Council (EAPC) Collective Security Treaty Organization (CSTO) Commonwealth of Independent States (CIS) Eurasian Economic Union (EAEU)	
--	--	---	--

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

National legislation which prohibits persons or entities to engage in one of the following activities and its enforcement		National legal framework					Enforcement and civil/criminal penalties			Remarks
		X/?			Source document of national implementation law	X/?			Source document	
		N W	C W	B W		N W	C W	B W		
1	manufacture	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997 NW: Decision of the Supreme Council 2593 on accession to NPT, 1993 Act On nuclear energy use of 14 April 1997, Article 3	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Article 158 (Production, purchase or sale of WMD)	
2	acquire	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997 NW: Decision of the Supreme Council 2593 on accession to NPT, 1993	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Articles 158 and 255	
3	possess					?	?	?	NW/CW/BW: Criminal Code of 16 July 1997, Articles 158 and 255	
4	develop	X	X	X	NW/CW/BW: Criminal Code 16 of July 1997 NW: Act On nuclear energy use of 14 April 1997, Article 3	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Article 158	
5	transport	?	?	?	NW/CW/BW: Act On combating terrorism of 13 July 1999, Article 7 NW: Act On nuclear energy use of 14 April 1997 Article 3	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Article 158	

6	transfer	X	?	?	NW/CW/BW: Act On nuclear energy use of 14 April 1997, Article 3	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Articles 158 and 250 (transfer across the customs border of WMD)
7	use	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997 NW: Act On nuclear energy use of 14 April 1997	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Articles 159 and 233.3 (use or threat to use WMD)
8	attempt to engage in abovementioned activities	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Article 24	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Article 24
9	participate as an accomplice in abovementioned activities	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Article 158 in conjunction with Articles 233-2 and 28 Act On combating terrorism of 13 July 1999, Article 1	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Article 158 in conjunction with Articles 233-2 and 28
10	assist in abovementioned activities	X	X	X	NW/CW/BW: Criminal Code, Article 233-2 Act On combating terrorism of 13 July 1999, Article 1	X	X	X	NW/CW/BW: Criminal Code, Article 233-2
11	finance abovementioned activities	X	X	X	NW/CW/BW: Act On combating terrorism of 13 July 1999, Article 1 Criminal Code, Article 233-3	X	X	X	NW/CW/BW: Act On combating terrorism of 13 July 1999, Article 1 Criminal Code, Article 233-3 NW: Act On nuclear energy use of 14 April 1997
12	abovementioned activities related to means of delivery ¹	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Article 243	X	X	X	NW/CW/BW: Criminal Code of 16 July 1997, Article 243

1. Means of delivery: missiles, rockets and other unmanned systems capable of delivering nuclear, chemical, or biological weapons that are specially designed for such use.

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

Measures to establish domestic controls to prevent the proliferation of NW, CW, BW, and their means of delivery; controls over related materials		National legal and/or regulatory framework					Enforcement and civil/criminal penalties					Remarks
		X/?			Source document	X/?			Source document			
		N W	C W	B W		N W	C W	B W				
1	Measures to account for production	X	?	?	<p>NW: 1. INFCIRC/504 (Additional Protocol and SQP) 2. Act on nuclear energy use of 14 April 1997, Article 15 3. Government Decision 769 On the organization of State accounting and control system for nuclear materials and sources of ionizing radiation of 22 July 2005</p> <p>CW/BW: Environmental Code of Kazakhstan of 2007</p>	X			<p>NW: Criminal Code, Article 249 (violation of rules of storage, use, accounting, transportation of radioactive materials) Code of Administrative Offences, Articles 414 (Violation of the requirements of the nuclear non-proliferation regime) and 297</p>			
2	Measures to account for use	X	?	?	<p>NW: 1. INFCIRC/504 (Additional Protocol and SQP) 2. Act on nuclear energy use of 14 April 1997, Art 15 3. Government Decision 769 On the organization of State accounting and control system for nuclear materials and sources of ionizing radiation of 22 July 2005</p> <p>CW/BW: Environmental Code of Kazakhstan of 2007</p>	X			<p>NW: Criminal Code, Article 249 (violation of rules of storage, use, accounting, transportation of radioactive materials) Code of Administrative Offences, Articles 414 (Violation of the requirements of the nuclear non-proliferation regime) and 297</p>			
3	Measures to account for storage	X			<p>NW: 1. INFCIRC/504 (Additional Protocol and SQP) 2. Act on nuclear energy use of 14 April 1997, Article 15 3. Government Decision 769 On the organization of State accounting and control</p>	X			<p>NW: Criminal Code, Article 249 Code of Administrative Offences, Articles 414 (Violation of the requirements of the nuclear non-proliferation regime) and 297</p>			

				<p>system for nuclear materials and sources of ionizing radiation of 22 July 2005</p> <p>CW/BW: Environmental Code of Kazakhstan of 2007</p>				
4	Measures to account for transport	X		<p>NW: 1. Act On nuclear energy use of 14 April 1997 Article 5 2. Government Decision 769 "On the organization of State accounting and control systems for nuclear materials and sources of ionizing radiation" of 22 July 2005</p>	X		<p>NW: Criminal Code, Article 249</p>	
5	Measures to secure production	X		<p>NW: Government Decision 769 On the organization of State accounting and control system for nuclear materials and sources of ionizing radiation of 22 July 2005</p>	X		<p>NW: Government Decision 769 On the organization of State accounting and control system for nuclear materials and sources of ionizing radiation of 22 July 2005</p>	
6	Measures to secure use	X		<p>NW: Government Decision 769 On the organization of State accounting and control system for nuclear materials and sources of ionizing radiation of 22 July 2005</p>	X		<p>NW: Criminal Code, Articles 247, 248 and 249</p>	
7	Measures to secure storage	X		<p>NW: Government Decision 769 On the organization of State accounting and control system for nuclear materials and sources of ionizing radiation of 22 July 2005</p>	X		<p>NW: Criminal Code, Articles 247, 248 and 249</p>	
8	Measures to secure transport	X		<p>NW: Government Decision 769 On the organization of State accounting and control system for nuclear materials and sources of ionizing radiation of 22 July 2005</p>	X		<p>NW: Criminal Code, Articles 247, 248 and 249</p>	
9	Physical protection measures	X		<p>NW: Act On nuclear energy use of 14 April 1997, Article 14</p>	X		<p>NW: Act on nuclear energy use of 14 April 1997, Article 14</p>	

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

Measures to establish domestic controls to prevent the proliferation of NW, and their means of delivery; controls over related materials		Source document	Remarks
1	National regulatory authority	Government Decision 186 of 26 February 2013 "On questions relating to the Ministry of Industry and New Technologies of Kazakhstan Republic" Ministry of Industry and New Technologies of Kazakhstan Republic	
2	Licensing of nuclear installations/entities/ use of materials	Act on nuclear energy use of 14 April 1997, Article 11 Act 214 "On Licensing" of 11 January 2007, Article 13 Government Decision 769 On the organization of State accounting and control system for nuclear materials and sources of ionizing radiation of 22 July 2005 Criminal Code, Article 190	
3	IAEA Safeguards Agreements	INFCIRC/504 11 August 1995 Additional Protocol in force: since 9 May 2007	
4	IAEA Code of Conduct on Safety and Security of Radioactive Sources	Expressed support	
5	Supplementary Guidance on the Import and Export of Radioactive Sources of the Code of Conduct on the Safety and Security of Radioactive Sources	Expressed support	
6	IAEA Incident and Trafficking Database	Participates	
7	Integrated Nuclear Security Support Plan (INSSP) / International Physical Protection Advisory Service (IPPAS)	Approved	

8	Applying the physical protection recommendations in INFCIRC/225/Rev.5		
9	Other Agreements related to IAEA	<ol style="list-style-type: none"> 1. Convention on Early Notification of a Nuclear Accident, in force 9 April 2010 2. Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency, in force 9 April 2010 3. Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management, in force 8 June 2010 4. Convention on Nuclear Safety, in force 8 June 2010 5. Vienna Convention on Civil Liability for Nuclear Damage, in force 29 June 2011 6. Protocol to Amend the Vienna Convention on Civil Liability for Nuclear Damage, in force 29 June 2011 7. Revised Supplementary Agreement Concerning the provision of technical Assistance by the IAEA (RSA), in force 25 March 1997 8. Agreement on the Privileges and Immunities of the IAEA, in force 9 April 1998 	
10	National legislation and regulations related to nuclear material including CPPNM	Act No. 17-III of the Republic of Kazakhstan of 22 December 2004 on accession entered into force on 2 October 2005	

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

Measures to establish domestic controls to prevent the proliferation of CW, and their means of delivery; controls over related materials		Source document	Remarks
1	National CWC authority	Ministry of Energy and Mineral Resources	
2	Licensing/registration of installations/facilities/ persons/entities/use/ handling of related materials		
3	Old or abandoned chemical weapons		

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

Measures to establish domestic controls to prevent the proliferation of BW, their means of delivery; controls over related materials	Source document	Remarks
<p>1 Licensing/registration of installations/facilities/ persons/entities/use/ handling of materials</p>		

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

Border controls and export and trans-shipment controls to prevent the proliferation of nuclear, chemical and biological weapons and their means of delivery including related materials		National legal framework					Enforcement and civil/criminal penalties					Remarks
		X/?			Source document	X/?			Source document			
		N W	C W	B W		N W	C W	B W				
1	Border control to detect, deter, prevent and combat illicit trafficking	X	X	X	<p>NW/CW/BW: Act on combating terrorism of 13 July 1999, as amended, Article 7</p> <p>Customs Code of 30 June 2010, Articles 205, 242 and 276</p> <p>Act "On export controls" of 21 July 2007 Law of 30 June of 2010 no 298 iv "On implementing customs regulations"</p>	X	X	X	<p>NW/CW/BW: Customs Control Committee of the Ministry of Finance Border Service of National Security Committee</p> <p>NW: Criminal Code, Articles 247, 248 and 250</p> <p>CW/BW: Criminal Code, Article 250</p>			
2	Law enforcement to detect, deter, prevent and combat illicit trafficking	X	X	X	<p>NW/CW/BW: Customs Control Committee of the Ministry of Finance Border Service of National Security Committee</p>	X	X	X	<p>NW/CW/BW: Customs Control Committee of the Ministry of Finance Border Service of National Security Committee</p>			
3	Border control detection measures	X	X	X	<p>NW/CW/BW: Customs Code of 30 June 2010, Article 196</p>	X	X	X	<p>NW/BW: Customs Code of 30 June 2010, Article 196 An automated export control system has been in operation since 2000</p>			
4	Control of brokering											

5	Export control legislation in place	X	X	X	<p>NW/CW/BW:</p> <p>1. Act "On export controls" of 21 July 2007 2. Government Decision 1917 On improvement of the export control system of December 1999 3. Government Decision 674 "On approval of the Regulations for transit of products subject to export controls" of 14 July 2006 4. Government Decision 1037 On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan of 30 June 1997</p> <p>CW/BW:</p> <p>Government Decision 1282 On approval of the Schedule of products subject to export control in the Republic of Kazakhstan of 18 August 2000</p>	X	X	X	<p>NW/CW/BW:</p> <p>Criminal Code, Article 243</p>
6	Licensing provisions and Authority	X	X	X	<p>NW/CW/BW:</p> <p>1. Government Decision 1037 "On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan" of 30 June 1997 2. Government Decision of 12 June 2008 no 578 "On Licensing" 3. Act "On licensing" of 11 January 2007, Articles 9, 38-39</p>	X	X	X	<p>NW/CW/BW:</p> <p>Criminal Code, Article 243 Act "On licensing" of 11 January 2007, Articles 9 and 38 Code of Administrative Offences Article 357</p> <p>NW:</p> <p>Article 316 (violations of requirements of nuclear non-proliferation regime) Industry Committee of the Ministry of Industry and New Technologies</p>
7	Control lists of materials, equipment and technology	X	X	X	<p>NW/CW/BW:</p> <p>Act "On export control" of 21 July 2007, Articles 1 and 8 Government Decision 1282 On approval of the Schedules of products subject to export control in the Republic of Kazakhstan of August 2000</p>	X	X	X	<p>NW/CW/BW:</p> <p>Government Decision 104 of 5 February 2008 on Approval of the List of Goods Subject to Export Control Criminal Code, Article 243</p>
8	Intangible technology transfers	?	?	?	<p>NW/CW/BW:</p> <p>Act "On export controls" of 21 July 2007</p>	?	?	?	<p>NW/CW:</p> <p>Criminal Code, Article 243</p>

9	Inclusion of means of delivery	X	X	X	NW/CW/BW: Act "On export controls" of 21 July 2000, Article 8	X	X	X	NW/CW/BW: Act "On export controls" of 21 July 2000, Article 8
10	End-user controls	X	X	X	NW/CW/BW: Act "On export controls" of 21 July 2007, Article 6	X	X	X	NW/CW/BW: Act "On export controls" of 21 July 2007, Article 6
11	Catch all clause	X	X	X	NW/CW/BW: Act "On export controls" of 21 July 2007, Article 10.5				
12	Transit control	X	X	X	NW/CW/BW: Act "On export controls" of 21 July 2007, Article 3 Government Decision No. 674 On approval of the Regulations for transit of products subject to export controls of 14 July 2006 NW: Customs Code of 30 June 2010, Articles 205, 242 and 276	X	X	X	NW/CW/BW: Act "On export controls" of 21 July 2007, Article 3 Government Decision No. 674 On approval of the Regulations for transit of products subject to export controls of 14 July 2006 NW: Customs Code of 30 June 2010, Articles 205, 242 and 276
13	Trans-shipment control	X	X	X	NW/CW/BW: Government Decision 674 on approval of the Regulations for transit of products subject to export controls of July 2006	X	X	X	NW/CW/BW: Act "On export controls" of 21 July 2007 Articles 3, 9, para 4 Government Decision 674 "On approval of the Regulations for transit of products subject to export controls" of 14 July 2006 Government Decision 1037 On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan of 30 June 1997
14	Re-export control	X	X	X	NW/CW/BW: Act "On export controls" of 21 July 2007 Articles 3, 9, para 4 Government Decision 674 "On approval of the Regulations for transit of products subject to export controls" of 14 July 2006 Government Decision 1037 On the licensing of the export and import of goods (works,	X	X	X	NW/CW/BW: Act "On export controls" of 21 July 2007 Articles 3, 9, para 4 Government Decision 674 "On approval of the Regulations for transit of products subject to export controls" of 14 July 2006 Government Decision 1037 On the licensing of the export and import of goods (works,

				services) in the Republic of Kazakhstan of 30 June 1997				services) in the Republic of Kazakhstan of 30 June 1997	
15	Control over financing of exports/transhipments that would contribute to proliferation								
16	Control over services related to exports/transhipments that would contribute to proliferation including transportation								

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

1	Assistance offered	
2	Assistance Point of Contact (for assistance providers only)	
3	Assistance requested	
4	Action taken to work with and inform industry	
5	Action taken to work with and inform the public	
6	Point of Contact	
7	Voluntary National Implementation Action Plan (NAP)	
8	1540 Committee visits to States	