

## 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.

<b>State:</b>	<b>United States of America</b>
<b>Date of Report:</b>	<b>12 October 2004</b>
<b>Dates of Additional Reports:</b>	<b>13 September 2005</b>
	<b>21 December 2007</b>
	<b>11 October 2013</b>
	<b>29 September 2014 (national submission)</b>
	<b>23 March 2016</b>
	<b>1 July 2020 (national submission)</b>
<b>Date of Approval:</b>	<b>9 December 2020</b>

## 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 5 March 1970	
2	Nuclear Weapons Free Zone/ Protocol(s) Treaty of Tlatelolco: Additional Protocol I deposit 23 November 1981, Additional Protocol II deposit 12 May 1971 Treaty of Rarotonga: Protocols signed 25 March 1996 Treaty of Pelindaba: Additional Protocols I and II signed 11 April 1996	
3	International Convention for the Suppression of Acts of Nuclear Terrorism Deposit 30 September 2005	
4	Convention on Physical Protection of Nuclear Material (CPPNM) Deposit 13 December 1982	
5	2005 Amendment to the CPPNM Deposit 31 July 2015	
6	Comprehensive Nuclear-Test-Ban Treaty (CTBT) (not in force) Signed 24 September 1996	<a href="https://media.defense.gov/2018/Feb/02/2001872886/-1/-1/1/2018-NUCLEAR-POSTURE-REVIEW-FINAL-REPORT.PDF">https://media.defense.gov/2018/Feb/02/2001872886/-1/-1/1/2018-NUCLEAR-POSTURE-REVIEW-FINAL-REPORT.PDF</a> (page 72)
7	Chemical Weapons Convention (CWC) Deposit 25 April 1997	

8	Biological Weapons Convention (BWC)	Deposit 26 March 1975	
9	Geneva Protocol of 1925	Deposit 10 April 1975	
10	1997 International Convention for the Suppression of Terrorist Bombings	Deposit 26 June 2002	
11	1999 International Convention for the Suppression of the Financing of Terrorism	Deposit 26 June 2002	
12	2005 Protocol to the Convention for the suppression of unlawful acts against the safety of maritime navigation	Deposit 28 August 2015	
13	2005 Protocol to the Protocol for the suppression of unlawful acts against the safety of fixed platforms located on the continental shelf	Deposit 28 August 2015	
14	2010 Convention on the Suppression of Unlawful Acts Relating to International Civil Aviation	Signed 10 September 2010	
15	Other relevant regional legally binding instruments	Inter-American Convention Against Terrorism: deposit 15 November 2005	
16	International Atomic Energy Agency (IAEA)	Deposit 29 July 1957	
17	Directly relevant Arrangements	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 (GICNT) Hague Code of Conduct (HCoC)	

		<p>G7 Global Partnership Against the Spread of Weapons of Mass Destruction</p> <p>Container Security Initiative</p> <p>Global Health Security Initiative</p>	
18	<p>Statement on non-provision of WMD and related materials to non-State actors</p>	<p>State reports that US policy aims to prevent any form of support to non-State actors that attempt the activities listed in operative paragraph 1 of the Resolution.</p> <p>National Strategy for Countering Weapons of Mass Destruction Terrorism (2018)</p> <p>National Security Strategy (2017)</p> <p>National Strategy for Counterterrorism (2018)</p> <p>National Strategy to Combat Transnational Organized Crime (2011)</p> <p>National Strategy for Countering Biological Threats (2009)</p> <p>2011 US-EU Joint Declaration in support of UNSCRs 1540 and 1977</p> <p>National Strategy for Biosurveillance (2012)</p> <p>The 2019 Global Health Security Strategy (GHSS) underscores the United States commitment to strengthen global biosafety and biosecurity systems and oversight frameworks that identify, secure, and safely monitor and store dangerous pathogens; to provide essential training to and share best practices with professionals to advance the safe and responsible handling and management of dangerous pathogens. It underscores how these efforts will reduce the threat of terrorist acquisition and use of biological weapons.</p> <p>National Biodefense Strategy (2018) and accompanying National Security Presidential Memorandum on the Support of Biodefense (NSPM-14) outline a national vision to prevent accidental, naturally occurring, and deliberate biological threats and incidents and to minimize the impact of those events while facilitating innovation and legitimate uses of the life sciences and biotechnology. A main objective of the Strategy is to prevent hostile actors from obtaining or using biological material, equipment, and expertise for nefarious purposes consistent with United States Governments approach to countering WMD terrorism.</p> <p>The 2019-2022 <i>National Health Security Strategy</i> (NHSS) establishes a strategic approach to enhance the security of the nation's health in times of crisis and, among others, aims to ensure that the benefits of scientific research are effectively realized, while the potential for misuse is minimized, by strengthening biosafety and biosecurity, supporting responsible conduct in the life sciences, and by working with national and international stakeholders to implement and strengthen biosafety and biosecurity risk management frameworks.</p>	
19	<p>Membership in relevant international, regional or sub-regional organisations</p>	<p>Egmont Group</p> <p>World Customs Organization (WCO)</p> <p>INTERPOL</p> <p>World Health Organization (WHO)</p> <p>Financial Action Task Force (FATF)</p>	

		World Organisation for Animal Health (OIE) Organization of American States (OAS) Organization for Security and Co-operation in Europe (OSCE) North Atlantic Treaty Organization (NATO) International Maritime Organization (IMO)	
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## 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	<p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p><b>CW:</b> Chemical Weapons Convention Implementation Act of 1998, as amended, Title 18 USC Section 229</p> <p><b>BW:</b> Biological Weapon Anti-Terrorism Act of 1989, as amended, Title 18 USC Sections 175, 175c</p>	X	X	X	<p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>Crimes and Criminal Procedure, Title 18 USC Sections 831 and 832</p> <p><b>CW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 229 and 229A</p> <p>Chemical Weapons Convention Regulations, Title 15 CFR Part 720</p> <p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175, 175a, 175c, 176, 177</p>			
2	acquire	X	X	X	<p><b>NW/CW/BW:</b> Title 18 USC Section 832</p> <p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p><b>CW:</b> Chemical Weapons Convention</p>	X	X	X	<p><b>NW/CW/BW:</b> Title 18 USC Section 832</p> <p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>Crimes and Criminal Procedure, Title 18 USC Sections 831, 2332h</p> <p><b>CW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 229 and 229A</p>			

				<p>Implementation Act of 1998, as amended, Title 18 USC Section 229</p> <p><b>BW:</b> Biological Weapon Anti-Terrorism Act of 1989, as amended, Title 18 USC Sections 175, 175b, 175c</p>			<p>Chemical Weapons Convention Regulations, Title 15 CFR Part 720</p> <p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175, 175a, 175c, 176, 177</p>			
3	possess	X	X	X	<p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p><b>CW:</b> Chemical Weapons Convention Implementation Act of 1998, as amended, Title 18 USC Section 229</p> <p><b>BW:</b> Biological Weapon Anti-Terrorism Act of 1989, as amended, Title 18 USC Sections 175, 175b, 175c</p>	X	X	X	<p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>Crimes and Criminal Procedure, Title 18 USC Sections 831, 832, 2332h, 2332i</p> <p><b>CW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 229 and 229A</p> <p>Chemical Weapons Convention Regulations, Title 15 CFR Part 720</p> <p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175, 175a, 175b, 175c, 176, 177</p>	
4	develop	X	X	X	<p><b>NW/CW/BW:</b> Title 18 USC Section 832</p> <p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p><b>CW:</b> Chemical Weapons Convention Implementation Act of 1998, as amended, Title 18 USC Section 229</p>	X	X	X	<p><b>NW/CW/BW:</b> Title 18 USC Section 832</p> <p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p><b>CW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 229 and 229A</p> <p>Export Administration Act (EAA) and Export Administration Regulations (EAR), through the International Emergency Economic Powers Act</p>	



7	use	X	X	X	<p><b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Section 2332a</p> <p><b>NW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 831, 832(c), 2332h, 2332i</p> <p>Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p><b>CW:</b> Chemical Weapons Convention Implementation Act, Title 18 USC Section 229</p> <p><b>BW:</b> Title 18 USC Sections 175 and 175c</p>	X	X	X	<p><b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Section 2332a</p> <p><b>NW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 831, 832(c), 2332h, 2332i</p> <p>Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p><b>CW:</b> Crimes and Criminal Procedure, Title 18 USC Section 229A</p> <p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175, 175a, 175c, 176, 177</p>
8	attempt to engage in abovementioned activities	X	X	X	<p><b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 832, 2332a</p> <p><b>NW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 831, 2332h, 2332i</p> <p><b>CW:</b> Crimes and Criminal Procedure, Title 18 USC Section 229</p> <p><b>BW:</b> Title 18 USC Sections 175, 175c</p>	X	X	X	<p><b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 832, 2332a</p> <p><b>NW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 831, 2332h, 2332i</p> <p><b>CW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 229 and 229A</p> <p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175, 175a, 175c, 176, 177</p>
9	participate as an accomplice in abovementioned activities	X	X	X	<p><b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 2, 832 and 2332a</p> <p><b>NW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 831, 2332h and 2332i</p>	X	X	X	<p><b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 2, 832, 2332a, 2333 and 2339</p> <p><b>NW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 831, 2332h, 2332i</p>

				<p><b>CW:</b> Chemical Weapons Convention Implementation Act, Title 18 USC Section 229</p> <p><b>BW:</b> Title 18 USC Sections 175 and 175c</p>			<p><b>CW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 229, 229A</p> <p>Export Control Reform Act (ECRA) and Export Administration Regulations (EAR), Title 15 CFR Part 764.2(d)</p> <p>Chemical Weapons Convention Regulations, Title 15 CFR Part 720</p> <p><b>BW:</b> Title 18 USC Sections 175 and 175c</p>			
10	assist in abovementioned activities	X	X	X	<p><b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 2, 832, 2339</p> <p><b>CW:</b> Chemical Weapons Convention Implementation Act, Title 18 USC Section 229</p> <p><b>BW:</b> Title 18 USC Sections 175 and 175c</p>	X	X	X	<p><b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 2, 832, 2333, 2339, 2339B</p> <p><b>CW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 229, 229A</p> <p>Export Control Reform Act (ECRA) and Export Administration Regulations (EAR), Title 15 CFR Part 764.2(b)</p> <p>Chemical Weapons Convention Regulations, Title 15 CFR Part 720</p> <p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175, 175c, 176 and 177</p>	
11	finance abovementioned activities	X	X	X	<p><b>NW/CW/BW:</b> Title 18 USC Sections 2339A (providing material support to terrorists), 2339B (providing material support or resources to designated foreign terrorist organizations) and 2339C (prohibition against the financing of terrorism)</p> <p>USA Patriot Act (Title III)</p>	X	X	X	<p><b>NW/CW/BW:</b> Title 18 USC Sections 2339A, 2339B and 2339C</p>	

					<b>NW:</b> Prohibition on assisting nuclear proliferation through financing, Title 22 USC Section 6303				<b>NW:</b> Prohibition on assisting nuclear proliferation through financing, Title 22 USC Section 6303	
12	abovementioned activities related to means of delivery <sup>1</sup>	X	X	X	<b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 921, 922 and 923  <b>NW:</b> Title 18 USC Section 832  <b>CW:</b> Title 18 USC Section 229  <b>BW:</b> Biological Weapons Anti-Terrorism Act of 1989, Title 18 USC Sections 175, 178	X	X	X	<b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Section 924  <b>NW:</b> Title 18 USC Section 832  <b>CW:</b> Title 18 USC Sections 229, 229A  <b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175, 176, 177 and 178	

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 <sup>2</sup>**

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 / ?			X / ?						
	N W	C W	B W *	N W	C W	B W				
1	Measures to account for production	X	X	X	<p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>NRC Material Control and Accounting, and Safeguards Title 10 CFR Parts 40, 74-75, 150</p> <p>Safeguards Agreement (INFCIRC/288)</p> <p>US Additional Protocol Implementation Act of 2006, Executive Order 13458 of 2008, and Title 15 CFR Parts 781 to 786</p> <p><b>CW:</b> CWC Regulations, Title 15 CFR Parts 712-715</p> <p>Chemical Agent Security, US Department of Defense Directive (DoDD) 5210.65, as amended</p> <p>Chemical Surety, Army Regulation AR 50-6, as amended</p> <p>Toxic Substances Control, Title 15 USC Sections 2605 and 2614</p>	X	X	X	<p><b>NW:</b> Subpart B of Title 10 CFR Part 2 (NRC)</p> <p>Department of Energy (DoE) Order 474.2, Change 4 “Nuclear Material Control and Accountability,” of 13 September 2016</p> <p>Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>Department of Energy, Title 10 CFR Parts 74, 75, 820</p> <p>Joint DoE/NRC Nuclear Materials Management and Safeguards System (NMMSS)</p> <p>NRC Integrated Source Management Portfolio (ISMP)</p> <p><b>CW:</b> CWC Regulations, Title 15 CFR Parts 719, 721</p> <p>Department of Commerce (DoC) enforces the industry compliance with the Chemical Weapons Convention Implementation Act</p> <p>Toxic Substances Control, Title 15 USC Sections 2615-2616</p> <p>CWC Implementation Act, Title 22 USC Sections 6745, 6761-6763</p>	

				<p>CWC Implementation Act, Title 22 USC Section 6741</p> <p><b>BW:</b> Title 42 USC Section 262a</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 7 CFR Part 331, USDA Animal and Health Inspection Service (APHIS) regulations</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 9 CFR Parts 102, 116, 121, USDA APHIS regulations</p> <p>“Select Agents and Toxins,” Title 42 CFR Part 73, as amended, DHHS Public Health Service regulations</p> <p>NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines)</p>				<p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175-176</p> <p>Title 42 USC Section 262a</p> <p>USDA Animal and Health Inspection Service (APHIS) Regulations “Possession, Use, and Transfer of Select Agents and Toxins,” Title 7 CFR Part 331 and Title 9 CFR Part 121</p> <p>Animal and Animal Product APHIS Regulations, Title 9 CFR Parts 102, 116 and 121</p> <p>DHHS CDC Select Agent and Toxins Regulations, Title 42 CFR Part 73</p>		
2	Measures to account for use	X	X	X	<p><b>NW:</b> The Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>Safeguards Agreement (INFCIRC/288)</p> <p>US Additional Protocol Implementation Act of 2006 and Executive Order 13458 of 2008, and Title 15 CFR Parts 781 to 786</p> <p>NRC Material Control and Accounting, Storage, Title 10 CFR Parts 40, 74-75, 150</p>	X	X	X	<p><b>NW:</b> Subpart B of Title 10 CFR Part 2 (NRC)</p> <p>DoE Order 474.2, Change 4 “Nuclear Material Control and Accountability,” of 13 September 2016</p> <p>Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>Department of Energy, Title 10 CFR Parts 74, 75, 820</p> <p>Joint DOE/NRC Nuclear Materials Management and Safeguards System (NMMSS)</p> <p>NRC Integrated Source Management Portfolio (ISMP)</p>	

			<p><b>CW:</b> CWC Regulations, Title 15 CFR Part 712</p> <p>Chemical Agent Security, US Department of Defense Directive (DoDD) 5210.65, as amended</p> <p>Chemical Surety, Army Regulation 50-6 (AR), as amended</p> <p>CWC Implementation Act, Title 22 USC Section 6741</p> <p><b>BW:</b> Title 42 USC Section 262a</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 7 CFR Part 331, USDA Animal and Health Inspection Service (APHIS) regulations</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 9 CFR Part 121, USDA APHIS regulations</p> <p>“Select Agents and Toxins,” Title 42 CFR Part 73, as amended, DHHS Public Health Service regulations</p> <p>NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines)</p> <p>US Government Guiding Principles for Biosafety Governance: Ensuring Institutional Compliance with Biosafety, Biocontainment, and Laboratory Biosecurity Regulations and Guidelines</p> <p>The Federal Security Advisory Panel (FESAP) Best Practices Checklist for Assessment of</p>			<p><b>CW:</b> Chemical Weapons Convention Implementation Act of 1998, Title 22 USC Sections 6745, 6761-6763</p> <p>CWC Regulations, Title 15 CFR Parts 719, 721</p> <p>DoC enforces the industry compliance with the Chemical Weapons Convention Implementation Act.</p> <p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175-177</p> <p>USDA APHIS regulations, “Possession, Use, and Transfer of Select Agents and Toxins,” Title 7 CFR Part 331 and Title 9 CFR Part 121</p> <p>Animal and Animal Product APHIS regulations, Title 9 CFR Part 121</p> <p>DHHS CDC Select Agent and Toxins Regulations, Title 42 CFR Part 73</p>	
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				Current and Projected Needs for High or Maximum Containment Laboratory Space					
3	Measures to account for storage	X	X	X	<p><b>NW:</b> The Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>Nuclear Regulatory Commission (NRC) Material Control and Accounting, Storage, Title 10 CFR Parts 72, 74-75 and 150</p> <p>Safeguards Agreement (INFCIRC/288)</p> <p>US Additional Protocol Implementation Act of 2006, Executive Order 13458 of 2008, and Title 15 CFR Parts 781 to 786</p> <p><b>CW:</b> Regulations, Title 15 CFR Part 712 (storage of Schedule 1 chemicals)</p> <p>Chemical Agent Security, US Department of Defense Directive (DoDD) 5210.65, as amended</p> <p>Chemical Surety, Army Regulation 50-6 (AR), as amended</p> <p>CWC Implementation Act, Title 22 USC Section 6741</p> <p><b>BW:</b> Title 42 USC Section 262a</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 7 CFR Part 331, USDA Animal</p>	X	X	X	<p><b>NW:</b> Subpart B of Title 10 CFR Part 2 (NRC)</p> <p>DoE Order 474.2, Change 4 “Nuclear Material Control and Accountability,” of 13 September 2016</p> <p>Atomic Energy Act, as amended, Title 42 USC Section 2073</p> <p>Department of Energy, Title 10 CFR Parts 74, 75, 820</p> <p>Joint DOE/NRC Nuclear Materials Management and Safeguards System (NMMSS)</p> <p>NRC Integrated Source Management Portfolio (ISMP)</p> <p><b>CW:</b> Chemical Weapons Convention Implementation Act of 1998, Title 22 USC Sections 6745, 6761-6763</p> <p>CWC Regulations, Title 15 CFR Parts 719, 721</p> <p>DoC enforces the industry compliance with the CWC Implementation Act.</p> <p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175-177</p> <p>USDA APHIS regulations, “Possession, Use, and</p>

				<p>and Health Inspection Service (APHIS) regulations</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 9 CFR Part 121, USDA APHIS regulations</p> <p>“Select Agents and Toxins,” Title 42 CFR Part 73, as amended, DHHS Public Health Service regulations</p>			<p>Transfer of Select Agent and Toxins,” Title 7 CFR Part 331 and Title 9 CFR Part 121</p> <p>Animal and Animal Product APHIS regulations, Title 9 CFR Part 121</p> <p>DHHS CDC Select Agent and Toxins Regulations, Title 42 CFR Part 73</p>			
4	Measures to account for transport	X	X	X	<p><b>NW/CW/BW:</b> Pipeline and Hazardous Materials Safety Administration, Department of Transportation (DOT) Title 49 CFR Parts 171-177</p> <p>United States Postal Service (USPS) Title 39 CFR Part 20, International Postal Service (International Mail Manual), and Part 111, General Information on Postal Service (Domestic Mail Manual) (Regulations on transporting infectious substances through the USPS are codified in Section 601.8.2 of the Domestic Mail Manual and Section 135 of the International Mail Manual)</p> <p><b>NW:</b> DoDD 4540.05 “DoD Transportation of U.S. Nuclear Weapons,” 23 June 2011</p> <p>Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>NRC Nuclear Transport Regulations, Title 10 CFR Parts 71, 74-75</p> <p><b>CW:</b> Hazardous Substances, Title 15 USC Section 1271</p>	X	X	X	<p><b>NW/CW/BW:</b> Pipeline and Hazardous Materials Safety Administration, Department of Transportation (DOT) Title 49 CFR Parts 171-177</p> <p><b>NW:</b> DoE directives for the Transportation Safeguard System</p> <p>NRC, Title 10 CFR Parts 71, 74</p> <p>Department of Energy, Title 10 CFR Part 820</p> <p>US DOT “Guidelines for Selecting Preferred Highway Routes for Highway Route Controlled Quantities of Radioactive Materials”</p> <p><b>CW:</b> Hazardous Substances, Title 15 USC Section 1264</p> <p>DHS/Transportation Security Administration rule</p>	

				<p>Chemical Agent Security, DoDD 5210.65, as amended</p> <p>Chemical Surety, AR 50-6, as amended</p> <p><b>BW:</b>  “Possession, Use, and Transfer of Select Agents and Toxins,” Title 7 CFR Part 331, USDA Animal and Health Inspection Service regulations</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 9 CFR Part 121, USDA Animal and Plant Health Inspection Service regulations</p> <p>“Select Agents and Toxins,” Title 42 CFR Part 73, DHHS Public Health Service regulations</p>			<p>on transportation of hazardous chemical by rail, including inspections and audits, Title 49 CFR Part 1580 (26 November 2008)</p> <p><b>BW:</b>  USDA APHIS Regulations, Title 7 CFR Part 331 and Title 9 CFR Parts 121-122</p> <p>DHHS CDC Select Agent and Toxins Regulations, Title 42 CFR Part 73</p>			
5	Measures to secure production	X	X	X	<p><b>NW:</b>  DoDD 5210.41, “Security Policy for Protecting Nuclear Weapons,” 1 November 2004, as updated</p> <p>DoDD 3150.02, Nuclear Weapons Surety Programme, 31 August 2018</p> <p>AR 190-54 “Security of Nuclear Reactors and Special Nuclear Materials,” 19 June 2006</p> <p>The Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>Physical Protection and Safeguards, Title 10 CFR Parts 26, 73, 74, 95</p> <p>Power Reactor Security Requirement Regulations amending Title 10 CFR Parts 50, 52, 72, and 73 of 27 March 2009</p> <p><b>CW:</b>  Chemical Facility Anti-Terrorism Standards, Title 6 CFR Part 27 (Note: CFATS regulate the security practices of facilities that produce</p>	X	X	X	<p><b>NW:</b>  Subpart B of Title 10 CFR Part 2</p> <p>DoE oversight: Order 474.2, Change 4 “Nuclear Material Control and Accountability,” of 13 September 2016</p> <p>NRC Regulations, Title 10 CFR Parts 73, 74</p> <p>Department of Energy Regulations, Title 10 CFR Part 820</p> <p>DOE Order 452.8 on Safeguarding and Security of Restricted Data or Formerly Restricted Data, including revised civil penalties</p> <p><b>CW:</b>  Chemical Facility Anti-Terrorism Standards, Title 6 CFR Part 27, Subpart C – Orders and Adjudications</p>	

			<p>relevant chemicals)</p> <p>Chemical Agent Security: US DoDD 5210.65</p> <p>Chemical Surety: Army Regulation 50-6</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</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 7 CFR Part 331, USDA Animal and Health Inspection Service regulations</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 9 CFR Part 121, USDA Animal and Plant Health Inspection Service regulations</p> <p>“Select Agents and Toxins,” Title 42 CFR Part 73, DHHS Public Health Service regulations</p> <p>Public Health and Bioterrorism Preparedness and Response Act, Title 42 USC Section 262a</p> <p>Army: AR 190-17 Biological Select Agents and Toxins Security Program</p> <p>Air Force: AFI 10-3901 Minimum Security Standards for Safeguarding Biological Agents and Toxins</p> <p>Army: AR 525-13 Antiterrorism</p> <p>Navy: OPNAV 5530.16 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins (BSAT)</p> <p>DoD 5210.89 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins</p>			<p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175b-177</p> <p>Biocontainment, security, and incident response plans, Title 7 CFR Part 331</p> <p>Biosafety, security, and incident response plans, Title 9 CFR Part 121</p> <p>Safety, Security and Emergency Response Plans, Title 42 CFR Part 73</p> <p>Executive Order 13546 of 2 July 2010 requires interagency coordination and the establishment of a Federal Experts Security Advisory Panel on Biological Select Agents and Toxins (BSAT).</p>	
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6	Measures to secure use	X	X	X	<p><b>NW:</b> DoDD 5210.41, "Security Policy for Protecting Nuclear Weapons," 1 November 2004</p> <p>DoDD 3150.02, Nuclear Weapons Surety Programme, 31 August 2018</p> <p>AR 190-54 "Security of Nuclear Reactors and Special Nuclear Materials," 19 June 2006</p> <p>The Atomic Energy Act, as amended, Title 42 USC Section 2156a</p> <p>Physical Protection and Safeguards, Title 10 CFR Parts 26, 73, 74, 95</p> <p>Power Reactor Security Requirement Regulations amending Title 10 CFR Parts 50, 52, 72, and 73 of 27 March 2009</p> <p><b>CW:</b> Chemical Agent Security: US DoDD 5210.65</p> <p>Chemical Surety: Army Regulation 50-6</p> <p>Chemical Facility Anti-Terrorism Standards (CFATS), Title 6 CFR Part 27 including the Chemicals of Interest (COI) Appendix A</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</p> <p>"Possession, Use, and Transfer of Select Agents and Toxins," Title 7 CFR Part 331, USDA Animal and Health Inspection Service regulations</p> <p>"Possession, Use, and Transfer of Select Agents and Toxins," Title 9 CFR Part 121, USDA Animal and Plant Health Inspection Service regulations</p>	X	X	X	<p><b>NW:</b> Subpart B of Title 10 CFR Part 2</p> <p>DoE oversight: Order 474.2, Change 4 "Nuclear Material Control and Accountability," of 13 September 2016</p> <p>NRC Regulations, Title 10 CFR Parts 73, 74</p> <p>Department of Energy Regulations, Title 10 CFR Part 820</p> <p>DOE Order 452.8 on Safeguarding and Security of Restricted Data or Formerly Restricted Data, including revised civil penalties</p> <p><b>CW:</b> Chemical Facility Anti-Terrorism Standards, Title 6 CFR Part 27, Subpart C – Orders and Adjudications</p> <p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175b-177</p> <p>Biocontainment, security, and incident response plans, Title 7 CFR Part 331</p> <p>Biosafety, security, and incident response plans, Title 9 CFR Part 121</p> <p>Safety, Security and Emergency Response Plans, Title 42 CFR Part 73</p>	
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				<p>“Select Agents and Toxins,” Title 42 CFR Part 73, DHHS Public Health Service regulations</p> <p>Public Health and Bioterrorism Preparedness and Response Act, Title 42 USC Section 262a</p> <p>Army: AR 190-17 Biological Select Agents and Toxins Security Program</p> <p>Air Force: AFI 10-3901 Minimum Security Standards for Safeguarding Biological Agents and Toxins</p> <p>Army: AR 525-13 Antiterrorism</p> <p>Navy: OPNAV 5530.16 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins (BSAT)</p> <p>DoD 5210.89 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins</p>			<p>Executive Order 13546 of 2 July 2010 requires interagency coordination and the establishment of a Federal Experts Security Advisory Panel on Biological Select Agents and Toxins (BSAT).</p>			
7	Measures to secure storage	X	X	X	<p><b>NW:</b> DoDD 5210.41, “Security Policy for Protecting Nuclear Weapons,” 1 November 2004</p> <p>DoDD 3150.02, Nuclear Weapons Surety Programme, 31 August 2018</p> <p>AR 190-54 “Security of Nuclear Reactors and Special Nuclear Materials,” 19 June 2006</p> <p>The Atomic Energy Act as amended, Title 42 USC Section 2156a</p> <p>Physical Protection and Safeguards, Title 10 CFR Parts 26, 73, 74, 95</p> <p>Power Reactor Security Requirement Regulations amending Title 10 CFR Parts 50, 52, 72 and 73 of 27 March 2009</p>	X	X	X	<p><b>NW:</b> Subpart B of Title 10 CFR Part 2</p> <p>DoE oversight: Order 474.2, Change 4 “Nuclear Material Control and Accountability,” of 13 September 2016</p> <p>NRC Regulations, Title 10 CFR Parts 73, 74</p> <p>Department of Energy Regulations, Title 10 CFR Part 820</p> <p>DOE Order 452.8 on Safeguarding and Security of Restricted Data or Formerly Restricted Data, including revised civil penalties</p>	

				<p><b>CW:</b>  Chemical Agent Security: DoDD 5210.65</p> <p>Chemical Surety: Army Regulation AR 50-6</p> <p>Chemical Facility Anti-Terrorism Standards (CFATS) Title 6 CFR Part 27 including the Chemicals of Interest (COI) Appendix A</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</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 7 CFR Part 331, USDA Animal and Health Inspection Service regulations</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 9 CFR Part 121, USDA Animal and Plant Health Inspection Service regulations</p> <p>“Select Agents and Toxins,” Title 42 CFR Part 73, DHHS Public Health Service regulations</p> <p>Public Health and Bioterrorism Preparedness and Response Act, Title 42 USC Section 262a</p> <p>Army: AR 190-17 Biological Select Agents and Toxins Security Program</p> <p>Air Force: AFI 10-3901 Minimum Security Standards for Safeguarding Biological Agents and Toxins</p> <p>Army: AR 525-13 Antiterrorism</p> <p>Navy: OPNAV 5530.16 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins (BSAT)</p>			<p><b>CW:</b>  Chemical Facility Anti-Terrorism Standards, Title 6 CFR Part 27 Subpart C – Orders and Adjudications</p> <p><b>BW:</b>  Crimes and Criminal Procedure, Title 18 USC Sections 175b-177</p> <p>Biocontainment, security, and incident response plans, Title 7 CFR Part 331</p> <p>Biosafety, security, and incident response plans, Title 9 CFR Part 121</p> <p>Safety, Security and Emergency Response Plans, Title 42 CFR Part 73</p> <p>Executive Order 13546 of 2 July 2010 requires interagency coordination and the establishment of a Federal Experts Security Advisory Panel on Biological Select Agents and Toxins (BSAT).</p>	
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				<p>DoD 5210.89 Minimum Security Standards for Safeguarding Biological Select Agents and Toxins</p> <p>In the summer of 2014, lapses in biosafety practices in Federal laboratories served as a reminder of the importance of constant vigilance over the implementation of biosafety standards. As a result of these biosafety lapses, on 18 August 2014, Assistant to the President for Homeland Security and Counterterrorism Lisa Monaco and Assistant to the President for Science and Technology John Holdren issued a memorandum, titled, “Enhancing Biosafety and Biosecurity in the United States,” which urged all United States Government departments and agencies that work with infectious agents to take immediate and long-term steps to enhance safety and security of research to minimize the potential for future incidents. All United States Government departments and agencies that possess, use, or transfer human, animal, or plant infectious agents or toxins were urged to perform a Safety Stand-Down, to include an immediate sweep of their facilities to verify that all Biological Select Agents and Toxins (BSAT) in their possession were appropriately registered, stored, and disposed of in accordance with applicable regulations. Departments and agencies provided written documentation of activities, including facility sweeps, comprehensive safety, security and inventory activities, and captured best practices and plans for systemic strengthening of biosafety oversight. Going forward, the United States Government will support and reinforce this strong culture of biosafety, biosecurity, and responsible conduct. A summary of these efforts is at: <a href="https://www.nih.gov/sites/default/files/research-training/usg-safety-factsheet-2014.pdf">https://www.nih.gov/sites/default/files/research-training/usg-safety-factsheet-2014.pdf</a></p>					
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8	Measures to secure transport	X	X	X	<p><b>NW/CW/BW:</b> Department of Transportation, Pipeline and Hazardous Materials Safety Administration regulations, Title 49 CFR Parts 171-177</p> <p><b>NW:</b> DoDD 4540.05 "DoD Transportation of US Nuclear Weapons," 23 June 2011</p> <p>The Atomic Energy Act, as amended, Title 42 USC Section 2156a</p> <p>Title 10 CFR Part 71</p> <p>NRC, Title 10 CFR Part 74, as amended by NRC "Physical Protection of Irradiated Reactor Fuel in Transit," Title 10 CFR Part 73.37, of 19 August 2013</p> <p>Security of Nuclear Reactors and Special Nuclear Material, AR 190-54</p> <p><b>CW:</b> Chemical Agent Security, DoDD 5210.65, as amended</p> <p>Chemical Surety, AR 50-6, as amended</p> <p><b>BW:</b> "Possession, Use, and Transfer of Select Agents and Toxins," Title 7 CFR Part 331, USDA Animal and Health Inspection Service regulations</p> <p>"Possession, Use, and Transfer of Select Agents and Toxins," Title 9 CFR Part 121, USDA Animal and Plant Health Inspection Service regulations</p> <p>"Select Agents and Toxins," Title 42 CFR Part 73, DHHS Public Health Service regulations</p> <p>DoD 4500-9R Defense Transportation</p>	X	X	X	<p><b>NW:</b> NRC Regulations, Subpart B of Title 10 CFR Part 2</p> <p>DoE directives for the Transportation Safeguard System (Office of Secure Transportation (OST))</p> <p>NRC, Title 10 CFR Parts 71-74, as amended by the Power Reactor Security Requirements 2009</p> <p>Department of Energy Regulations, Title 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, Title 49 CFR Part 1580 (26 November 2008)</p> <p><b>BW:</b> USDA APHIS regulations, Title 7 CFR Part 331 and Title 9 CFR Parts 121</p> <p>DHHS CDC Regulations, Title 42 CFR Part 73</p>	
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				Regulation, Chapter 205					
9	Physical protection measures	X	X	X	<p><b>NW:</b> DoDD 5210.41, Security Policy for Protecting Nuclear Weapons</p> <p>DOD S-5210-92-M “Physical Security Requirements for Nuclear Command and Control (NC2) Facilities (Unclassified)”</p> <p>DoDI 5210.63, “DoD Procedures for Security of Nuclear Reactors and Special Nuclear Materials (SNM),” 21 November 2006</p> <p>NRC Regulations, Title 10 CFR Part 73, as amended, including August 2013 amendment “Physical Protection of Irradiated Reactor Fuel in Transit”</p> <p>Power Reactor Security Requirement Regulations amending Title 10 CFR Parts 50, 52, 72 and 73 of 27 March 2009</p> <p><b>CW:</b> Chemical Agent Security, DoDD 5210.65</p> <p>Chemical Surety: Army Regulation AR 50-6</p> <p>Chemical Facility Anti-Terrorism Standards (CFATS) Interim Final Rule, Title 6 CFR Part 27 including the Chemicals of Interest (COI) Appendix A</p> <p><b>BW:</b> “Possession, Use, and Transfer of Select Agents and Toxins,” Title 7 CFR Part 331, USDA Animal and Health Inspection Service (APHIS) regulations</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 9 CFR Part 121, USDA APHIS regulations</p>	X	X	X	<p><b>NW:</b> DoE Site Safeguard and Security Plans, Safeguards and Security Program, DOE Order 470.4B, 21 July 2011, as amended</p> <p>NRC Regulations, Title 10 CFR Part 73, as amended by the Power Reactor Security Requirements 2009</p> <p>Department of Energy Regulations, Title 10 CFR Part 820</p> <p>“Policy Statement of the US Nuclear Regulatory Commission on the Protection of Cesium-137 Chloride Sources,” NRC-2010-0209, Federal Register, Vol. 76, No. 142, 25 July 2011</p> <p><b>CW:</b> Chemical Facility Anti-Terrorism Standards, Title 6 CFR Part 27 Subchapter C - Orders and Adjudications</p> <p><b>BW:</b> USDA APHIS regulations, Title 7 CFR Part 331 and Title 9 CFR Parts 121</p> <p>DHHS CDC Regulations, Title 42 CFR Part 73</p>

					<p>“Select Agents and Toxins,” Title 42 CFR Part 73, as amended, DHHS Public Health Service regulations</p> <p>AR 190-13: Army Physical Security Program</p>				
10	Personnel Reliability	X	X	X	<p><b>NW:</b> DoDD 5210.42 Nuclear Weapon Personnel Reliability Program, 13 January 2015, as amended</p> <p>The Atomic Energy Act, as amended, Title 42 USC Section 2011 et seq</p> <p>NRC Regulations, Title 10 CFR Part 73</p> <p><b>CW:</b> Chemical Facility Anti-Terrorism Standards, Title 6 CFR Part 27.230(a)(12) (personnel surety)</p> <p>Chemical Surety, AR 50-6, Chapter 5</p> <p><b>BW:</b> “Possession, Use, and Transfer of Select Agents and Toxins,” Title 7 CFR Part 331.10 (individual security risk assessments)</p> <p>“Possession, Use, and Transfer of Select Agents and Toxins,” Title 9 CFR Part 121.10 (individual security risk assessments)</p> <p>“Select Agents and Toxins,” Title 42 CFR Part 73.10 (individual security risk assessments)</p> <p>Title 42 USC Section 262a</p>	X	X	X	<p><b>NW:</b> DoE Site Safeguard and Security Plan and Transportation Safeguards System, Safeguards and Security Program, DOE Order 470.4B, 21 July 2011, as amended</p> <p>NRC Regulations, Title 10 CFR Part 73, as amended by the Power Reactor Security Requirements 2009</p> <p><b>CW:</b> Chemical Facility Anti-Terrorism Standards, Title 6 CFR Part 27 Subchapter C - Orders and Adjudications</p> <p><b>BW:</b> Crimes and Criminal Procedure, Title 18 USC Sections 175b-177</p> <p>Agriculture APHIS regulations, Title 7 CFR Part 331.10</p> <p>Animal and Animal Product APHIS regulations, Title 9 CFR Part 121.10</p> <p>DHHS Select Agent and Toxins Regulations, Title 42 CFR Part 73.10</p>

2. 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))

**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	<p>Civilian: Nuclear Regulatory Commission (Atomic Energy Act of 1954, as amended (Subchapter II: Organization and Subchapter XIII: General authority of Commission) and Energy Reorganization Act of 1974 as amended)</p> <p>Other: National Nuclear Security Administration (AEA of 1954, ERA of 1974, and NNSA Act, PL No. 106-65, Title 50 USC Section 2401 et seq, as amended)</p>	
2 Licensing of nuclear installations/entities/ use of materials	<p>NRC’s licensing requirements apply to commercial nuclear activities, Title 42 USC Sections 2073, 2093, Subchapter IX</p> <p>NRC Regulations, Title 10 CFR Parts 11, 30-31, 33-36, 39-40, 50, 55, 70 and 72</p> <p>ITAR, Title 22 CFR Parts 121-122, 124, 127</p> <p>Department of Energy Regulations, Title 10 CFR Part 820</p>	
3 IAEA Safeguards Agreements	<p>Voluntary Offer Safeguards Agreement (INFCIRC 288), in force 9 December 1980</p> <p>Additional Protocol went into force 6 January 2009 after the US Additional Protocol Implementation Act of 2006.</p> <p>Safeguards agreement in connection with Additional Protocol to the Treaty of Tlatelolco (INFCIRC/366), in force 6 April 1989 and amended 3 July 2018.</p> <p>Executive Order 13458</p> <p>Department of Commerce Regulations, Title 15 CFR Parts 781-786</p> <p>Department of Energy, Title 10 CFR Part 810</p> <p>Relations with other countries with IAEA Safeguards agreements, Title 42 USC Sections 2139, 2153, 2153b, 2155, 2156, 2157, 2158</p>	

4	IAEA Code of Conduct on Safety and Security of Radioactive Sources	Codified in the Atomic Energy Act, as amended in 2005, Title 42 USC Section 2210h Notification pursuant to GC (47)/RES/7.B	
5	Supplementary Guidance on the Import and Export of Radioactive Sources of the Code of Conduct on the Safety and Security of Radioactive Sources	Notification pursuant to GC (48)/RES/10.D Contact Point Designated, Response to Importing and Exporting State Questionnaire	
6	IAEA Incident and Trafficking Database	Participates in Database Programme	
7	Integrated Nuclear Security Support Plan (INSSP) / International Physical Protection Advisory Service (IPPAS)		
8	Applying the physical protection recommendations in INFCIRC/225/Rev.5	State reports that the Nuclear Regulatory Commission has incorporated the current version of the “Nuclear security recommendations on physical protection of nuclear materials and nuclear facilities” (INFCIRC/225/Revision 5) of IAEA.	
9	Other Agreements related to IAEA	Convention on Early Notification of a Nuclear Accident, deposit 19 September 1988 Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency, deposit 19 September 1988 Convention on Nuclear Safety, deposit 11 April 1999 Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management, deposit 15 April 2003 Convention on Supplementary Compensation for Nuclear Damage, deposit 21 May 2008	
10	National legislation and regulations related to nuclear material including CPPNM	Title 18 USC Section 2339C Title 10 CFR Parts 73.73 and 73.74 President can suspend international cooperation if recipient has not ratified CPPNM (Title 42 USC Section 2160b).	

**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	<p>Chemical Weapons Convention Implementation Act, Title 22 USC Section 6711</p> <p>US National Authority, Bureau of Arms Control, Verification &amp; Compliance (AVC/CBW), Department of State</p> <p>Department of Commerce is the lead agency for routine and challenge inspections conducted at declared US facilities not owned or leased by the Department of Defense (DoD) or Department of Energy.</p> <p>DoD Instruction 5210.65 (19 January 2016, as amended) established the US Army as the lead agency that accounts for chemical weapons munitions.</p>	
2	Licensing/registration of installations/facilities/ persons/entities/use/ handling of related materials	<p>ITAR, Title 22 CFR Parts 121, 122, 124, 127</p> <p>CFATS, Title 6 CFR Part 27 Subchapter C – Orders and Adjudications</p>	
3	Old or abandoned chemical weapons	<p>Security Standards for Safeguarding Chemical Agents, DoDI 5210.65</p> <p>Army Regulation on Chemical Surety, AR 50-6</p> <p>US Army Chemical Material Agency’s Non-Stockpile Chemical Materiel Project for recovered materiel for compliance with the CWC</p>	

**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</p> <p>Licensing/registration of installations/facilities/ persons/entities/use/ handling of materials</p>	<p>Title 42 USC Section 262a</p> <p>International Traffic in Arms Regulations (ITAR), Title 22 CFR Parts 121, 122 and 124</p> <p>Crimes and Criminal Procedure, Title 18 USC Sections 175-177</p> <p>Agriculture APHIS regulations on registration, inspections, denial, revocation or suspension of registration, and forfeiture, Title 7 CFR Parts 331 and 356</p> <p>Animal and Animal Product APHIS regulations, Title 9 CFR Part 121 (registration)</p> <p>DHHS Select Agent and Toxins Regulations, Title 42 CFR Part 73 (registration)</p> <p>“United States Government Policy for Oversight of Life Sciences Dual Use Research of Concern” (29 March 2012)</p> <p>United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern (September 2014)</p> <p>US Government Recommended Policy Guidance for Departmental Development of Review Mechanisms for Potential Pandemic Pathogen Care and Oversight (P3CO) (2017)</p> <p>Department of Health and Human Services Framework for Guiding Funding Decisions about Proposed Research Involving Enhanced Potential Pandemic Pathogens</p> <p>US Food and Drug Administration Framework for Biosafety and Biosecurity (2017)</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><b>NW/CW/BW:</b> Title 19 USC Chapter 5</p> <p>Immigration and Nationality Act, as amended, Title 8 USC Sections 1189, 1226a, 1531-1537</p> <p>Aviation and Transportation Security Act (ATSA), Pub. L. 107-71, 115 Stat 597 (19 November 2001) and Title 49 USC Section 114</p> <p>The International Emergency Economic Powers Act (IEEPA), Title 50 USC Sections 1701-1705</p> <p>Customs Duties, Title 19 CFR Parts 4, 122 and 141</p> <p><b>BW:</b> APHIS Quarantine Regulations, Title 42 CFR Part 71.54 (DHHS CDC Import Permit Program (the Public Health Service Act allows for the development and enforcement of regulations to prevent the introduction, transmission or spread of communicable disease from foreign countries into and throughout the US or its possessions. The regulations require that anyone wishing to import infectious biological agents, infectious substances or vectors must first obtain a permit issued by CDC)) and Title 9 CFR Part 121.16</p>	X	X	X	<p><b>NW/CW/BW:</b> Title 19 USC Chapter 5</p> <p>Crimes and Criminal Procedure Title 18 USC Sections 542, 545, 546, 549, 551, 554</p> <p>Customs Duties, Title 19 CFR Parts 161-163, 171</p> <p>Department of Homeland Security: Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), the Coast Guard, and the Transportation Security Administration (TSA)</p> <p><b>BW:</b> CBP deploys more than 2,360 agriculture specialists at 167 ports of entry.</p> <p>APHIS Investigative and Enforcement Services enforces quarantine regulations.</p>					

2	Law enforcement to detect, deter, prevent and combat illicit trafficking	X	X	X	<p><b>NW/CW/BW:</b>  Homeland Security Act, Title 6, Chapter 1</p> <p>Customs Service, Title 19 USC Section 2071</p> <p>Title 19 USC Chapter 5</p> <p>Immigration and Nationality Act, Title 8 USC Sections 1189, 1226a, 1531-1537</p> <p>ATSA, Title 49 USC Section 114</p> <p>ITAR, Title 22 CFR Parts 127.4, 127.5</p> <p>Export Control Reform Act, Title 50 USC Section 4820</p> <p>Export Administration Regulations (EAR), Title 15 CFR Parts 730.9, 758, 764</p> <p>Illegal Export of War Materials, Title 22 USC Sections 401, 408, 465</p> <p>Arms Export Control Act (AECA), Title 22 USC Sections 2778 and 2797</p>	X	X	X	<p><b>NW/CW/BW:</b>  DHS Customs and Border Protection (CBP) and Immigration and Customs Enforcement (ICE), including Export Enforcement Coordination Centre (E2C2)</p> <p>Commerce Department/Office of Export Enforcement (DoC/BIS/EE)</p> <p>Federal Bureau of Investigation (FBI)</p> <p>Land and Naval forces</p>
3	Border control detection measures	X	X	X	<p><b>NW/CW/BW:</b>  Collection Districts, Title 19 USC Section 69</p> <p>Customs Duties Automated Export System (AES), Title 19 CFR Part 192, EAR, Mandatory Electronic Filing</p>	X	X	X	<p><b>NW/CW/BW:</b>  Container Security Initiative in non-US ports.</p> <p>Secure Freight Initiative in non-US ports.</p> <p>Air Cargo Advance Screening (ACAS)</p> <p>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.</p>



				<p>DoE regulations, Title 10 CFR Part 810</p> <p>Title 42 USC Section 2122</p> <p>Sanctions for Nuclear Proliferation, Title 22 USC Section 6301</p> <p><b>CW:</b> Chemical Weapons Convention Regulations, Title 15 CFR Parts 710-721</p> <p>Toxic Substances Control, Title 15 USC Sections 2611 and 2614</p> <p><b>BW:</b> Crimes and Criminal Procedure Title 18 USC Section 175c</p>			<p>NRC Regulations, Title 10 CFR Parts 110.60-110.67</p> <p><b>CW:</b> IEEPA Enhancement Act as amended, CWC Regulations, Title 15 CFR Part 719</p> <p>Toxic Substances Control, Title 15 USC Sections 2615-2616</p>		
6	Licensing provisions and Authority	X	X	X	X	X	X	<p><b>NW/CW/BW:</b> Title 50 USC Section 4813(d)</p> <p>ITAR, Title 22 CFR Parts 120-129 including Part 121</p> <p>EAR, Title 15 CFR Parts 730-774, including Parts 732, 740, 744.2-744.5, 748 and 750</p> <p>AECA, Title 22 USC Section 2778</p> <p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC</p>	<p><b>NW/CW/BW:</b> Title 50 USC Sections 4813(d), 4819, 4820</p> <p>IEEPA, Title 50 USC Section 1705</p> <p>Export Control Reform Act (ECRA), Title 50 USC Section 4819</p> <p>ITAR, Title 22 CFR Parts 120, 127-128</p> <p>EAR, Title 15 CFR Parts 730-774 especially Parts 736 and 764</p> <p>Illegal Export of War Materials, Title 22 USC Section 408</p> <p>Crimes and Criminal Procedure Title 18 USC Section 554</p> <p><b>CW/BW:</b> AECA, Title 22 USC Section 2798</p> <p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC</p>

				<p>Section 2011 et seq</p> <p>DoE Regulations, Title 10 CFR Part 810</p> <p>NRC Regulations, Title 10 CFR Part 110, as updated</p>			<p>Section 2011 et seq</p> <p>NRC Regulations, Title 10 CFR Parts 110.2 (US Nuclear Regulatory Commission (NRC)) and 110</p> <p>DoE Regulations, Title 10 CFR Parts 810 and 810.15</p> <p><b>CW:</b> IEEPA Enhancement Act as amended, CWC Regulations, Title 15 CFR Parts 710.5, 719</p> <p>Toxic Substances Control, Title 15 USC Sections 2615-2616</p>		
7	Control lists of materials, equipment and technology	X	X	X	X	X	X	<p><b>NW/CW/BW:</b> Title 50 USC Section 4813(d)(2)</p> <p>The US Munitions List (USML), Title 22 CFR Part 121</p> <p>EAR, The Commerce Control List (CCL), Title 15 CFR Part 774</p> <p><b>NW:</b> NRC Regulations, Title 10 CFR Parts 110.8-110.9</p> <p>DoE controls nuclear technology exports, Title 10 CFR Part 810</p>	<p><b>NW/CW/BW:</b> ITAR, Title 22 CFR Parts 127-128</p> <p><b>CW/BW:</b> AECA, Title 22 USC Section 2798</p> <p><b>NW:</b> Atomic Energy Act, as amended, Title 42 USC Section 2273</p> <p>DoE regulations, Title 10 CFR Part 810</p>
8	Intangible technology transfers	X	X	X	X	X	X	<p><b>NW/CW/BW:</b> ITAR, Title 22 CFR Part 121 (the USML) includes technical data and defense services</p> <p>EAR, 15 CFR Parts 734.13(a)(2), 772 and 774</p>	<p><b>NW/CW/BW:</b> IEEPA, Title 50 USC Section 1705</p> <p>Export Control Reform Act (ECRA), Title 50 USC Section 4819</p> <p>ITAR, Title 22 CFR Parts 127-128</p>



					NRC regulations on criteria on end-users, Title 10 CFR Part 110.50(b)(2)				
11	Catch all clause	X	X	X	<p><b>CW/BW:</b> Title 50 USC Section 4813(f)</p> <p>EAR, Title 15 CFR Part 744.4</p> <p><b>NW:</b> EAR, Title 15 CFR Part 744.2</p>	X	X	X	<p><b>NW/CW/BW:</b> Title 50 USC Section 4813(f)</p> <p>EAR, Title 15 CFR Parts 736, 764</p> <p>Export Control Reform Act (ECRA), Title 50 USC Section 4819</p> <p>ITAR, Title 22 CFR Parts 127-128</p> <p>Crimes and Criminal Procedure Title 18 USC Section 554</p>
12	Transit control	X	X	X	<p><b>NW/CW/BW:</b> ITAR, Title 22 CFR Parts 120.18, 123.1 and 123.3</p> <p>EAR, Title 15 CFR Parts 734.3, 734.13 and 734.14</p>	X	X	X	<p><b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Section 554</p> <p>ITAR, Title 22 CFR Parts 127-128</p> <p>EAR, Title 15 CFR Parts 736, 764</p> <p>Export Control Reform Act (ECRA), Title 50 USC Section 4819</p> <p><b>NW:</b> NRC Regulations, Title 10 CFR Parts 110.60-110.67</p>
13	Trans-shipment control	X	X	X	<p><b>NW/CW/BW:</b> ITAR, Title 22 CFR Parts 120-129</p>	X	X	X	<p><b>NW/CW/BW:</b> Crimes and Criminal Procedure, Title 18 USC Section 554</p>

					EAR, Title 15 CFR Parts 730-774				ITAR, Title 22 CFR Parts 127-128 EAR, Title 15 CFR Parts 736, 764 Export Control Reform Act (ECRA), Title 50 USC Section 4819 <b>NW:</b> NRC Regulations, Title 10 CFR Parts 110.60-110.67	
14	Re-export control	X	X	X	<b>NW/CW/BW:</b> Title 50 USC Section 4813(d) EAR, Title 15 CFR Part 734.14 ITAR, Title 22 CFR Part 120.19  <b>NW:</b> NRC Regulations, Title 10 CFR Part 110.6	X	X	X	<b>NW/CW/BW:</b> Title 50 USC Sections 4813(d), 4819, 4820 ITAR, Title 22 CFR Parts 127-128 EAR, Title 15 CFR Parts 736, 764 Export Control Reform Act (ECRA), Title 50 USC Section 4819 Crimes and Criminal Procedure, Title 18 USC Section 554  <b>NW:</b> NRC enforces its Regulations, Title 10 CFR Parts 110.60-110.67	
15	Control over financing of exports/transshipments that would contribute to proliferation	X	X	X	<b>NW/CW/BW:</b> EAR, Title 15 CFR Parts 736.2 and 744 ITAR, Title 22 CFR Part 127.1	X	X	X	<b>NW/CW/BW:</b> IEEPA, Title 50 USC Section 1705 EAR, Title 15 CFR Part 764 Export Control Reform Act (ECRA), Title 50 USC Section 4819 ITAR, Title 22 CFR Part 127.1 Bank Secrecy Act, Title 31 USC Subchapter II Office of Foreign Assets Control (OFAC) licenses	

					<p><b>NW:</b> Sanctions for Nuclear Proliferation, Title 22 USC Section 6303</p>				<p>financial transactions with several countries, including some for non-proliferation reasons.</p> <p><b>NW:</b> Sanctions for Nuclear Proliferation, Title 22 USC Section 6303</p>	
16	Control over services related to exports/transshipments that would contribute to proliferation including transportation	X	X	X	<p><b>NW/CW/BW:</b> Title 50 USC Section 4813(d)-(e)</p> <p>EAR, Title 15 CFR Part 744.6</p> <p>ITAR, Title 22 CFR Part 127.1</p> <p><b>NW:</b> NRC Regulations, Title 10 CFR Part 110.1</p>	X	X	X	<p><b>NW/CW/BW:</b> Title 50 USC Section 4813(e)</p> <p>Crimes and Criminal Procedure, Title 18 USC Section 554</p> <p>ITAR, Title 22 CFR Parts 127-128</p> <p>EAR, Title 15 CFR Part 764.2</p> <p>Export Control Reform Act (ECRA), Title 50 USC Section 4819</p> <p><b>NW:</b> NRC Regulations, Title 10 CFR Parts 110.60-110.67</p>	

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

1	Assistance offered	<p>State has offered assistance in the following areas:</p> <ul style="list-style-type: none"> <li>• Financial Crimes &amp; Money Laundering</li> <li>• WMD Materials Security and Control</li> <li>• Nuclear</li> <li>• Biological</li> <li>• Chemical</li> <li>• Means of Delivery</li> <li>• Export Control and Border Security</li> </ul>
2	Assistance Point of Contact (for assistance providers only)	<p>Mr Todd Perry US Special Coordinator for UNSCR 1540, Point of Contact at the US Department of State Tel: 202-736-4275 Email: <a href="mailto:PerryTE@state.gov">PerryTE@state.gov</a></p> <p>Mr Stephen Knight Political Advisor for Nonproliferation at the United States Mission to the United Nations, US Point of Contact for UNSCR 1540 in New York Tel: 212-415-4052 Email: <a href="mailto:KnightSB3@state.gov">KnightSB3@state.gov</a></p>
3	Assistance requested	
4	Action taken to work with and inform industry	<p>State reports that the United States government entities that work on the nuclear security elements of Security Council resolution 1540 (2004) continue to make regular outreach efforts to work with and inform industry and the public. The Nuclear Regulatory Commission, for example, conducts periodic meetings with the nuclear industry's security working group, has a robust public meeting process and maintains a dedicated system for electronic communications with authorized licensees and other officials. The United States Department of Energy, National Nuclear Security Administration, regularly participates in meetings with industry and the national nuclear laboratories. The United States Department of Commerce has an extensive outreach programme on export controls with industry through its Office of Exporter Services, its Office of Export Enforcement and its system of technical advisory committees, including the President's Export Council Subcommittee on Export Administration. In recent years, all these institutions, along with the Bureau of International Security and Nonproliferation of the United States Department of State, have increasingly used new social media tools to supplement more traditional public affairs programmes.</p>

		<p>The US Government issued 2010 Screening Framework Guidance for Providers of Synthetic Double-Stranded DNA to reduce the risk that individuals with ill intent may exploit the application of nucleic acid synthesis technology to obtain genetic material of especially dangerous pathogens.</p>
5	Action taken to work with and inform the public	<p>Every US Department and Agency shares information with the public. State also reports that United States government entities that work on the nuclear security elements of Security Council resolution 1540 (2004) continue to make regular outreach efforts to work with and inform industry and the public. The Nuclear Regulatory Commission, for example, conducts periodic meetings with the nuclear industry's security working group, has a robust public meeting process and maintains a dedicated system for electronic communications with authorized licensees and other officials. The United States Department of Energy, National Nuclear Security Administration, regularly participates in meetings with industry and the national nuclear laboratories. The United States Department of Commerce has an extensive outreach programme on export controls with industry through its Office of Exporter Services, its Office of Export Enforcement and its system of technical advisory committees, including the President's Export Council Subcommittee on Export Administration. In recent years, all these institutions, along with the Bureau of International Security and Nonproliferation of the United States Department of State, have increasingly used new social media tools to supplement more traditional public affairs programmes.</p> <p>A Biodefense Summit held on 17 April 2019 in Washington, DC aimed to engage the biodefense stakeholder community and provide information on national biodefense enterprise efforts to counter biological threats, reduce risk, prevent, prepare for, respond to, and recover from biological incidents. The Summit informed stakeholders of the implementation of the National Biodefense Strategy. Agenda and transcripts are available at: <a href="https://www.phe.gov/Preparedness/biodefense-strategy/Pages/about-summit.aspx">https://www.phe.gov/Preparedness/biodefense-strategy/Pages/about-summit.aspx</a>.</p> <p>A new US Government website has been created in 2019 to share information with the public on implementation of National Biodefense Strategy, at: <a href="https://www.phe.gov/Preparedness/biodefense-strategy/">https://www.phe.gov/Preparedness/biodefense-strategy/</a>.</p> <p>The S3: Science, Safety, and Security Program allows the US Government to share policies and best practices relating to biological risk management in an effort to develop collaborative relationships with the life science community and other stakeholders to raise awareness about efforts to promote progress in the life sciences while preventing and deterring its misuse. The S3 Program website (<a href="http://www.phe.gov/s3">http://www.phe.gov/s3</a>) had been established to provide a single, coordinated portal for scientists, laboratory staff, policy makers, and the public to locate and link to existing Federal and Non-Federal resources on biosafety and biosecurity.</p> <p>Pandemic and All-Hazards Preparedness and Advancing Innovation Act of 2019 (PAHPAI) /Title VI - Advancing Technologies for Medical Countermeasures / Section 605: Review of the Benefits of Genomic Engineering Technologies and Their Potential Role in National Security, creates a high-level meeting of people and organizations that help the Federal government, along with private companies, to talk about potential ways that "genomic engineering technologies" could help improve national security and requires DHHS/ASPR to create a public report about the results of the meeting.</p>
6	Point of Contact	<p>Mr Todd Perry  US Special Coordinator for UNSCR 1540, Point of Contact at the US Department of State  Tel: 202-736-4275  Email: <a href="mailto:PerryTE@state.gov">PerryTE@state.gov</a></p> <p>Mr Stephen Knight  Political Advisor for Nonproliferation at the United States Mission to the United Nations, US Point of Contact for UNSCR 1540 in New York  Tel: 212-415-4052</p>

		Email: <a href="mailto:KnightSB3@state.gov">KnightSB3@state.gov</a>
7	Voluntary National Implementation Action Plan (NAP)	Submitted National Implementation Action Plan in 2007.
8	1540 Committee visits to States	1540 Committee visit conducted in 2011.