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6 November 2013

Sir/Madam,

On behalf of the Security Council Committee established pursuant to resolution 1540 (2004), I have the honour to call your attention to the following provisions of resolution 1977 (2011).

Operative paragraph 10 of resolution 1977 (2011) urges the 1540 Committee to continue to engage actively with States and relevant international, regional and subregional organizations to promote the sharing of experience, lessons learned and effective practices, in the areas covered by resolution 1540 (2004) drawing, in particular, on information provided by States as well as examples of successful assistance, and to liaise on the availability of programmes which might facilitate the implementation of resolution 1540 (2004).

Operative paragraph 12 of resolution 1977 (2011) requests the 1540 Committee, with the support of the group of experts, to identify effective practices, templates and guidance, with a view to develop a compilation, as well as to consider preparing a technical reference guide about resolution 1540 (2004) to be used by States on a voluntary basis in implementing resolution 1540 (2004).

In this context, I would appreciate it if your Organization would inform the 1540 Committee of its relevant experience, lessons learned and effective practice, in the areas covered by resolution 1540 (2004) or any form of supporting or guidance material that your organization has developed in this regard.

Such information will be used by the 1540 Committee in accordance with operative paragraph 12 of resolution 1977 (2011) to develop a compilation that will be posted on the 1540 Committee's website.

..... The enclosed explanatory note contains background information, as well as, an indicative list of areas in which your Organization might consider sharing experiences, lessons learned and effective practices.

[Title]  
[Organization]  
[Capital]  
[Country]

The Committee and its group of experts (e-mail: [1540experts@un.org](mailto:1540experts@un.org)) are available to assist with any further information. More information on resolution 1540 (2004) and the work of the 1540 Committee is available at: [www.un.org/sc/1540](http://www.un.org/sc/1540).

Any submission can be addressed to:

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Please accept, Sir/Madam, the assurances of my highest consideration.



Oh Joon  
Chair  
Security Council Committee established  
pursuant to resolution 1540 (2004)

## Explanatory note

### I. Background

Operative paragraph 12 of resolution 1977 (2011) requests the 1540 Committee, with the support of its Group of experts, to identify effective practices, templates and guidance, with a view to develop a compilation, as well as to consider preparing a technical reference guide about resolution 1540 (2004), to be used by States on a voluntary basis in implementing the resolution.

The notion of “effective practices” is also mentioned in operative paragraphs 7 and 10 of resolution 1977 (2011). Other follow-up resolutions to resolution 1540 (2004) have also referred to “experiences” and “lessons learned”. The Committee is tasked to engage with States and relevant international, regional and subregional organisations. In this regard:

- Op.5 b) of Res. 1673 (2006) invites the 1540 Committee to explore with States and international, regional and subregional organizations experience-sharing and lessons learned in the areas covered by resolution 1540 (2004), and the availability of programmes which might facilitate the implementation of resolution 1540 (2004);
- Op. 11 d) of Res. 1810 (2008) encourages the 1540 Committee to engage actively with States and relevant international, regional and subregional organisations to promote the sharing of experience and lessons learned in the areas covered by Res. 1540 (2004) [...]
- Op. 10 of Res. 1977 (2011) urges the 1540 Committee to continue to engage actively with States and relevant international, regional and subregional organizations to promote the sharing of experience, lessons learned and effective practices, in the areas covered by resolution 1540 (2004), drawing in particular on information provided by States as well as examples of successful assistance, and to liaise on the availability of programmes which might facilitate the implementation of resolution 1540 (2004), while bearing in mind that customized assistance is useful for the effective implementation of resolution 1540 (2004) at national levels.
- Op. 7 of Res. 1977 encourages States to provide additional information on their implementation of Res. 1540, including, voluntary on State’s effective practices.

The 1540 Committee initiated the identification of “experiences shared and lessons learnt”, as called for in resolution 1673 (2006) and 1810 (2008) and published first compilations in the reports of the Committee on the compliance with resolution 1540 (2004) through the achievement of the implementation of its requirements which were submitted to the Security Council in 2008 and 2011<sup>1</sup>. The Committee clarified in this regard that the 1540 Committee does not endorse any of these materials but that they were provided as illustrative examples for Member States to consider. It was also mentioned that the compiled information would not comprise an exhaustive list and that the Committee would welcome suggestions from Member States or international bodies for additions, modifications or deletions to these examples.

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<sup>1</sup> These compilations can be found in Annex XVII of the 2008 Report (S/2008/493) and in Annex XVI of the 2011 Report (S/2011/579)

## **II. Guidance**

For the purpose of the objectives set in operative paragraph 12 of resolution 1977 (2011), States and international, regional and subregional organisations are invited to share with the 1540 Committee any relevant experiences, lessons learnt and effective practices, in the areas of resolution 1540 (2004).

States and international, regional and subregional organisations can consider sharing experiences, lessons learnt and effective practices including in, or related to, the following areas:

- measures taken to ensure that no support is provided to non-State actors that attempt to develop, acquire, manufacture, possess, transport, transfer or use nuclear, chemical or biological weapon and their means of delivery, in accordance with operative paragraph 1 of resolution 1540 (2004);
- adaptation of the legal framework to prohibit proliferation activities in accordance with operative paragraph 2 of resolution 1540 (2004);
- accounting and securing measures in accordance with operative paragraph 3 (a) of resolution 1540 (2004);
- physical protection measures in accordance with operative paragraph 3 (b) of resolution 1540 (2004);
- border control and law enforcement measures in accordance with operative paragraph 3 (c) of resolution 1540 (2004);
- export and related control measures in accordance with operative paragraph 3 (d) of resolution 1540 (2004);
- national coordination mechanisms;
- initiatives, programmes and tools to work with and inform the private sector, in accordance with operative paragraph 8 (d) of resolution 1540 (2004);
- mechanisms to adopt and review national control lists;
- measures to prevent proliferation financing;
- assistance and capacity-building;
- awareness-raising;
- initiatives and mechanisms to review the implementation of resolution 1540 (2004) and decide appropriate actions;
- initiatives, programs and tools to foster the implementation of resolution 1540 (2004) in an international, regional or subregional context.

Possible contributions by relevant international, regional and subregional organisations may also include any supporting or guidance material such as model laws, legislative or implementation guides and compendiums of practices which have a direct relevance to the implementation of resolution 1540 (2004) by States.

The information can be submitted to the 1540 Committee in a narrative form or in any format desired.

On the basis of the submissions received and in accordance with operative paragraph 12 of resolution 1977 (2011), the Committee, with the support of its group of experts, will develop a compilation that will be posted on the 1540 Committee's website ([www.un.org/sc/1540](http://www.un.org/sc/1540)). This compilation will be updated and amended on a regular basis.

# List of International, Regional and Sub-regional Organizations

## **International Organizations and UN Agencies**

*International Atomic Energy Agency (IAEA)*  
*Organization for the Prohibition of Chemical Weapons (OPCW)*  
*United Nations Office on Drugs and Crime (UNODC)*  
*World Health Organization (WHO)*  
*International Civil Aviation Organization (ICAO)*  
*International Criminal Police Organization (Interpol)*  
*International Maritime Organization (IMO)*  
*World Customs Organization (WCO)*

## **Regional and Sub-regional Organizations**

*African Union (AU)*  
*Arab Maghreb Union*  
*Association of Southeast Asian Nations (ASEAN)*  
*ASEAN Regional Forum*  
*Caribbean Community (CARICOM)*  
*Collective Security Treaty Organization (CSTO)*  
*Commonwealth of Independent States (CIS)*  
*East African Community*  
*Economic Community of West African States (ECOWAS)*  
*Eurasian Economic Community (EurAsEC)*  
*European Union (EU)*  
*Financial Action Task Force (FATF)*  
*Inter-Governmental Authority for Development (IGAD)*  
*League of Arab States*  
*North Atlantic Treaty Organization (NATO)*  
*Oceania Customs Organization (OCO)*  
*Organization for Security and Cooperation in Europe (OSCE)*  
*Organization of American States (OAS)*  
*Pacific Islands Forum (PIF)*  
*Shanghai Cooperation Organization (SCO)-Executive Secretariat*

## **Other Entities**

*Nuclear Suppliers Group*  
*Zangger Committee*  
*Wassenaar Arrangement*  
*Organisation internationale de la Francophonie*