



Security Council

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Letter dated 31 December 2021 from the Chair of the Security Council Committee established pursuant to resolution **1540 (2004)** addressed to the President of the Security Council

On behalf of the Security Council Committee established pursuant to resolution **1540 (2004)**, I have the honour to refer to paragraph 9 of Security Council resolution **1977 (2011)** and to transmit herewith the 2021 review of the implementation of resolution **1540 (2004)** (see annex).

I should be grateful if the present letter and its annex were brought to the attention of the members of the Security Council and issued as a document of the Council.

(Signed) Juan Ramón **de la Fuente**
Chair
Security Council Committee established
pursuant to resolution **1540 (2004)**



Annex

[Original: English]

Review of the implementation of resolution 1540 (2004) for 2021**I. Introduction**

1. In its resolution 1540 (2004), the Security Council expressed its intention to monitor closely the implementation of the resolution and, at the appropriate level, to take further decisions that might be required. On 20 April 2011, the Council unanimously adopted resolution 1977 (2011). Under paragraph 9 of that resolution, the Security Council Committee established pursuant to resolution 1540 (2004) is mandated to prepare a review of the implementation of resolution 1540 (2004) before the end of December each year, addressing in particular all aspects of paragraphs 1 to 3 of the resolution, including developing and maintaining efforts to implement the resolution in accordance with national legal authorities and legislation, and consistent with international law. In its resolution 2325 (2016), adopted on 15 December 2016, the Council welcomed the continuous submission of the annual review of the implementation of resolution 1540 (2004), prepared with the assistance of the Committee's Group of Experts, in December each year.

2. The present review is focused on the work conducted by the Committee during the period from 1 February 2021 to 31 January 2022.¹

3. The work of the Committee during that time period was carried out against the background of the 2021 comprehensive review of the status of implementation of resolution 1540 (2004).

4. The Committee continued to take precautionary measures in conducting its business to mitigate the risks posed by the coronavirus disease (COVID-19) pandemic, including by holding virtual meetings as necessary. However, the Committee conducted three formal meetings in person.

II. Progress and outcomes

5. In 2021, the Committee, chaired by Juan Ramón de la Fuente Ramírez (Mexico), continued to facilitate and monitor the implementation by States of resolution 1540 (2004). The Committee held three formal and several informal sessions in the course of the year.

6. The Committee's work was facilitated by the working group on monitoring and national implementation; the working group on assistance, coordinated by Romain Le Floc'h (France); the working group on cooperation with international organizations; and the working group on transparency and media outreach, coordinated by Stephen Knight (United States of America).

7. On 22 April, the Security Council unanimously adopted resolution 2572 (2021), extending the mandate of the Committee, with the continued assistance of its Group of Experts, until 28 February 2022. The Security Council also reaffirmed its resolutions 1540 (2004), 1673 (2006), 1810 (2008), 1977 (2011), 2055 (2012), and 2325 (2016), endorsed the work already carried out by the Committee in accordance with its programmes of work, and reaffirmed its continued support. While noting that

¹ The 2021 annual review contains data and information received as at 31 December 2021. Data and information received after that date will be reflected in the 2022 annual review.

the comprehensive review of the status of implementation of resolution 1540 (2004) had to be postponed owing to the pandemic, the Security Council decided that the Committee, while continuing its current work pursuant to its mandate, was to conduct and complete the comprehensive review and submit to the Security Council a report on the conclusion of the review.

A. Monitoring and national implementation

8. The Security Council, in paragraph 12 of its resolution 2325 (2016), decided that the Committee should continue to intensify its efforts to promote the full implementation by all States of resolution 1540 (2004) through its programme of work. The Committee and its Group of Experts, acting on the instructions of the Committee and within its mandate, continued the compilation and general examination of information on the status of States' implementation of resolution 1540 (2004), in addition to their efforts at outreach, dialogue, assistance and cooperation.

9. In its resolution 2325 (2016), the Security Council called upon all States that had not yet done so to submit a first report on measures to implement resolution 1540 (2004) to the Committee without delay. During the reporting period, Mozambique submitted its initial national report. A total of 185 out of the 193 States Members of the United Nations have now submitted initial reports, while eight States have yet to do so.

10. In its resolution 2325 (2016), the Security Council encouraged States to provide additional information on their implementation of resolution 1540 (2004), including, on a voluntary basis, on their laws and regulations and effective practices in implementing the resolution. During the reporting period, four States, namely Ecuador, Kyrgyzstan, Norway and Panama submitted additional reports. As at 31 December 2021, a total of 532 initial and additional national reports have been submitted by Member States on steps taken to implement resolution 1540 (2004).

11. In its resolution 2325 (2016), the Security Council encouraged States to prepare, on a voluntary basis, national implementation action plans mapping out their priorities and plans for implementing the key provisions of resolution 1540 (2004). The number of States that have submitted such plans to the Committee since 2007 stands at 35. No voluntary national implementation action plans were submitted during 2021.

12. The Security Council, in its resolution 2325 (2016), recognized that it was important that the Committee continue to engage actively in dialogue with States on their implementation of resolution 1540 (2004), including through visits to States at their invitation. In 2021, owing to travel and other restrictions imposed in order to manage the pandemic, the Committee was unable to undertake in-person visits to States. However, during the reporting period, virtual national workshops on strengthening the implementation of resolution 1540 (2004) were hosted by Botswana and Mongolia. These workshops involved a range of governmental representatives responsible for the implementation of that resolution.

13. States are encouraged to inform the Committee of their points of contact for resolution 1540 (2004), both in their capitals and in their permanent missions to the United Nations in New York. In 2021, altogether 32 States named or provided updates regarding their points of contact. Among them, eight Member States provided point of contact information for the first time, namely Benin, Bulgaria, Côte d'Ivoire, El Salvador, Eswatini, Latvia, Nicaragua and Seychelles. As at 31 December 2021, a total of 136 Member States, compared with 128 by the same date in 2020, have informed the Committee of their points of contact.

14. In its resolution [2325 \(2016\)](#), the Security Council urged the Committee to continue to undertake initiatives to strengthen the capacity of national points of contact to assist in the implementation of resolution [1540 \(2004\)](#) upon the request of States and the continuation of training courses conducted at the regional level for points of contact. No regional points of contact training courses were conducted in 2021 owing to restrictions related to the pandemic.

15. The Committee continued to engage with States and with relevant international, regional and subregional organizations, to promote the sharing of experience, lessons learned and effective practices in the areas covered by resolution [1540 \(2004\)](#). Likewise, the Committee continued to raise awareness of the multilateral treaties and conventions aimed at preventing the proliferation of, or eliminating, nuclear, chemical and biological weapons, and encouraged States to promote their universal adoption and full implementation and, where applicable, to promote their implementation. The list of activities can be found in the enclosure and in the corresponding information notes on the Committee's website.

B. Assistance

16. In 2021, four States, namely Botswana, Saint Vincent and the Grenadines, Sierra Leone and Tajikistan, submitted requests for assistance to the Committee, compared with five in 2020.

17. In carrying out its clearing house function in a transparent manner, the Committee continued to post on its website summaries of requests for assistance from Member States, as well as offers of assistance from Member States and international, regional and subregional organizations or other entities. As at 31 December 2021, a total of 19 requests for assistance from Member States are published on the Committee's website.

18. The Committee also continued to maintain a consolidated list of assistance requests, indicating where offers and requests for assistance have been matched according to available information, to be used as required in response to requests for information and, as appropriate, at outreach events, and to monitor the functioning of the assistance mechanism.

19. As mandated by the Security Council in paragraph 5 of resolution [1977 \(2011\)](#), the Group of Experts continued consultations with officials from States during various outreach activities, including during virtual events and discussions with States on the implementation of obligations under resolution [1540 \(2004\)](#), and regularly provided information about and illustrated methods of assistance that could help States to strengthen their legislative and regulatory frameworks related to resolution [1540 \(2004\)](#). They also explained the clearing house role of the Committee, which is designed to facilitate the flow of information between States requesting assistance and providers of assistance and promoted, where appropriate, the use of the assistance template for resolution [1540 \(2004\)](#) by States when drafting assistance requests.

20. In response to the assistance requests submitted by Mongolia (in 2020) and Botswana (in 2021), the Committee approved the participation by members of its Group of Experts in virtual national workshops that were held in May and August, respectively, and were focused on strengthening the implementation of the obligations under resolution [1540 \(2004\)](#).

C. Cooperation with international, regional and subregional organizations

21. The Committee is encouraged, under resolutions [1810 \(2008\)](#) and [1977 \(2011\)](#), to engage actively with relevant international, regional and subregional organizations to promote the sharing of experience and lessons learned in the areas covered by resolution [1540 \(2004\)](#). In paragraph 22 of resolution [2325 \(2016\)](#), the Security Council encourages the Committee, in collaboration with international, regional and subregional organizations, to develop assistance projects to support States in implementing resolution [1540 \(2004\)](#). In response, the Committee continued to enhance its cooperation with international, regional and subregional organizations and other relevant United Nations bodies.

22. The Committee and its Group of Experts, within its mandate, continued to discuss and, as appropriate, develop collaborative projects with relevant international and regional organizations, including the following:

(a) Informal virtual exchanges with the Biological Weapons Convention Implementation Support Unit, the International Criminal Police Organization (INTERPOL), the Organization for Security and Cooperation in Europe (OSCE) and the World Customs Organization;

(b) The Committee approved the participation by members of its Group of Experts in virtual nuclear security information exchange meetings, held in April and October by the Division of Nuclear Security of the International Atomic Energy Agency (IAEA). Nuclear security information exchange meetings serve as a platform for participating organizations and initiatives to share information on their nuclear security-related activities and priorities, including those relevant to the mandate of the Committee. They also presents an opportunity to strengthen coordination between assistance providers so as to reduce duplication and ensure that effective support is provided to States requesting assistance.

23. The Committee continued to improve the coordination of the planning of specific activities with regional and subregional organizations in order to develop their active role in supporting the implementation of resolution [1540 \(2004\)](#). In that context, the Group of Experts participated in conference calls with OSCE, the Organization of American States (OAS) and the United Nations Office for Disarmament Affairs to discuss activities and plans.

24. The Committee also continued to improve the coordination of the planning of specific activities with international organizations. In that context, as noted above, in paragraph 22, subparagraph b, the Committee approved participation by the Group of Experts in the information exchange meetings held by the IAEA Division of Nuclear Security in April and October.

25. In accordance with paragraph 9 of resolution [2325 \(2016\)](#), the Committee continued to explore opportunities to enhance ongoing cooperation between the Committee, the Security Council Committee pursuant to resolutions [1267 \(1999\)](#), [1989 \(2011\)](#) and [2253 \(2015\)](#) concerning Islamic State in Iraq and the Levant (Da'esh), Al-Qaida and associated individuals, groups, undertakings and entities, and the Security Council Committee established pursuant to resolution [1373 \(2001\)](#) concerning counter-terrorism, including, as appropriate, through enhanced information sharing, coordination with regard to visits to States, within their respective mandates, technical assistance and other issues of relevance to all three Committees:

(a) The Chair gave a briefing to the Security Council on 2 December, together with the Chair of the Counter-Terrorism Committee and the Chair of the Security

Council Committee pursuant to resolutions [1267 \(1999\)](#), [1989 \(2011\)](#) and [2253 \(2015\)](#) concerning Islamic State in Iraq and the Levant (Da'esh), Al-Qaida and associated individuals, groups, undertakings and entities.

(b) The Group of Experts attended quarterly briefings to Counter-Terrorism Committee Executive Directorate by the Analytical Support and Sanctions Monitoring Team in order to share relevant information and to discuss common issues.

26. As an entity of the United Nations Global Counter-Terrorism Coordination Compact, the Group of Experts, acting on the instructions of the Committee and within its mandate, continued to participate in relevant working group meetings. Those meetings provided an opportunity to describe the requirements of resolution [1540 \(2004\)](#) and the work of the Committee to the members of the Working Group, and to learn of any activities conducted by the members of the Working Group that may be of relevance to the work of the Committee.

D. Transparency and outreach

27. Transparency and outreach activities are important contributions to fostering greater cooperation and raising awareness among States, parliamentarians, relevant international, regional and subregional organizations and civil society, including industry, regarding the obligations set out in resolution [1540 \(2004\)](#) and the resolution's implementation.

28. In 2021, the Chair, Vice-Chair and experts, acting on the instructions of the Committee and within its mandate, participated in 23 outreach events (see enclosure).

29. In order to be involved as much as possible in his duties, whenever the Chair of the Committee is unable to attend an appropriate event, he sends a recorded message. In 2021, the Chair addressed participants by video message during the following events:

(a) A livestream Conference on the theme "Bioterrorism: thinking the unthinkable", held by the House of Lords in London and co-hosted by the Biosecurity Research Initiative at St. Catharine's College in Cambridge, United Kingdom of Great Britain and Northern Ireland, and Pool Reinsurance, on 24 and 25 March;

(b) A virtual national workshop hosted by Botswana on the theme "Strengthening the implementation of resolution [1540 \(2004\)](#)", held on 11 and 12 August; and

(c) The twenty-first regular session of the OAS Inter-American Committee Against Terrorism held on 7 and 8 October.

30. With respect to industry, the Committee participated in one event in 2021 that directly engaged industry and provided opportunities to work with and give information to industry regarding its obligations under national law: a national workshop to engage with industry and the private sector of the Dominican Republic on strategic trade and internal compliance programmes under resolution [1540 \(2004\)](#), held by the OAS Inter-American Committee Against Terrorism on 26, 28 and 30 April.

31. In 2021, the Committee continued to maintain its website as a tool to raise public awareness and serve as a key source of information and repository of resources relating to resolution [1540 \(2004\)](#) for use by Member States, Committee members, civil society and industry. With support from the Office for Disarmament Affairs, the site was updated regularly. The updates included:

- (a) A calendar of past outreach events and workshops, and of confirmed upcoming events, including information notes on those activities;
 - (b) Identification by Member States and international and regional organizations of points of contact;
 - (c) Requests for and offers of assistance;
 - (d) National reports and voluntary national implementation action plans;
 - (e) Statements and presentations by the Chair and Committee members.
32. In 2021, the website received 103,244 page views (as at 20 December), which represented an increase of 4 per cent in comparison with the previous year.

E. Administrative matters

33. The Office for Disarmament Affairs and the Department of Political and Peacebuilding Affairs continued to provide, in coordination where appropriate, support to the Committee and its Group of Experts.
34. In 2021, several of the Committee's activities were supported by voluntary contributions to the trust fund for global and regional disarmament activities. In 2021, funds were used from grants provided in earlier years by Canada, Germany, Japan, the Republic of Korea, the United States and the European Union.
35. Following approval by the Committee on 20 December 2020, a new member of the Group of Experts, Irina Albrecht (Germany), assumed her duties in September, bringing the total number of Committee Experts to its full complement of nine.

III. Comprehensive review

36. In paragraph 3 of its resolution [1977 \(2011\)](#), the Security Council decided that the Committee would conduct a comprehensive review of the status of implementation of resolution [1540 \(2004\)](#), both after five years and prior to the renewal of its mandate, including, if necessary, recommendations on adjustments to the mandate, and would submit to the Council a report on the conclusions of those reviews.
37. The Committee approved a modalities paper for the conduct of the comprehensive review on 18 April 2019 and a tentative plan of activities on 15 August 2019. Owing to delays caused by the pandemic, activities related to the review, including open consultations, had to be postponed.
38. On 22 April, the Security Council unanimously adopted resolution [2572 \(2021\)](#), in which it extended the mandate of the Committee until 28 February 2022, noted that the comprehensive review had to be postponed as a result of the pandemic, and decided that the Committee was to conduct and complete the comprehensive review and submit a report to the Council.
39. During 2021, the Committee continued its activities under the comprehensive review, including in three in-person Committee meetings. At those meetings, it considered the following:
- (a) An analysis of the updated Committee matrix data on the status of measures to implement the obligations under resolution [1540 \(2004\)](#);
 - (b) A paper on the Committee's assistance mechanism and ways to improve it;

(c) An analysis of cooperation with international, regional and subregional organizations, United Nations bodies and the Security Council Committee pursuant to resolutions [1267 \(1999\)](#), [1989 \(2011\)](#) and [2253 \(2015\)](#) concerning Islamic State in Iraq and the Levant (Da'esh), Al-Qaida and associated individuals, groups, undertakings and entities, and the Counter-Terrorism Committee, and ways to improve cooperation.

40. During the reporting period, in response to the request by the Chair of the Committee addressed to international and regional organizations in June 2020, written inputs for the 2021 comprehensive review were received from OSCE, IAEA and the World Customs Organization. This brought the number of written contributions received from international and regional organizations to 13.

IV. Final considerations

41. With regard to the comprehensive review, the Committee will continue its consideration of a revised plan for the remaining activities for the conduct of the review process, including open consultations with Member States, international and regional organizations and appropriate sectors of civil society.

42. With regard to national implementation, the Committee will continue to engage with the eight non-reporting States to submit an initial report and encourage reporting States to submit additional information on their implementation of resolution [1540 \(2004\)](#).

43. The training courses for points of contact for resolution [1540 \(2004\)](#) remains a useful tool in building capacity of officials to facilitate the implementation of the resolution, and the Committee will support the organization of such training courses in 2022, as appropriate.

44. The Committee will continue to engage with States, upon request, to assist them in developing voluntary national implementation action plans, including in cooperation with international and regional organizations.

45. The Committee continues to recognize the need for a tailored dialogue with and among States on the implementation of resolution [1540 \(2004\)](#). The Committee will continue its direct engagement with States, upon invitation, to discuss implementation measures, and to use its existing resources to facilitate prompt and effective responses to requests for assistance, where applicable.

46. The Committee will further consider organizing an outreach event for points of contact at Permanent Missions to the United Nations in New York, similar to the training courses for points of contact, and to publicize the Committee's work on assistance, including its matchmaking role, to explain how requests for assistance could be formulated, to present results of assistance provided, and future assistance opportunities.

47. With regard to international cooperation, the Committee will continue to develop collaboration with international and regional organizations at relevant meetings, workshops or other international events, during visits by representatives to New York and through direct interactions at Headquarters. To promote a more active role among regional and subregional organizations in supporting the implementation of resolution [1540 \(2004\)](#), the Committee will further develop outreach to those organizations and continue to improve the coordination of planning for specific activities.

48. The Committee will seek opportunities to hold meetings with relevant specialized international organizations to improve cooperation with regard to

assistance and the exchange of information on technical issues. Regarding regional and subregional organizations, the Committee will continue to develop existing and future activities related to the implementation of resolution 1540 (2004) and related assistance, bearing in mind the regional contexts.

49. The Committee will continue to coordinate and collaborate with the Counter-Terrorism Committee and with the Security Council Committee pursuant to resolutions 1267 (1999), 1989 (2011) and 2253 (2015) concerning Islamic State in Iraq and the Levant (Da'esh), Al-Qaida and associated individuals, groups, undertakings and entities, and their experts, within their respective mandates.

50. The Committee will continue to improve the value of its website as an important element of its awareness-raising activities.

51. The Committee will continue to raise awareness among parliamentarians and other high-level decision makers where appropriate.

52. The Committee will continue to support dialogue between States and industry, where appropriate, on the effective implementation of relevant requirements of resolution 1540 (2004).

Enclosure**Outreach events held in 2021 attended by the Committee**

<i>Date</i>	<i>Description</i>	<i>Organizer/sponsor</i>	<i>Location</i>
1 March and 15 April	Security and Strategic Trade Management Academy virtual training programme	Stimson Center, with live trainings facilitated by CRDF Global and funded under the Export Control and Related Border Security Program of the United States Department of State	Virtual training programme
24 and 25 March	Livestream conference on the theme “Bioterrorism: thinking the unthinkable”	House of Lords in London, co-hosted by the Biosecurity Research Initiative at St. Catharine’s College in Cambridge, United Kingdom, and Pool Reinsurance	Virtual meeting
8 and 9 April	Malaysia Strategic Trade Act of 2010: tenth anniversary celebration and conference	Ministry of Foreign Affairs, Ministry of International Trade and Industry, and Strategic Trade Secretariat of the Government of Malaysia, in collaboration with the Export Control and Related Border Security Program of the United States Department of State, and the National Nuclear Security Administration of the United States Department of Energy	Virtual meeting
19 and 20 April	Twentieth nuclear security information exchange meeting	IAEA	Virtual meeting
26, 28 and 30 April	Dominican Republic: national workshop to engage with industry and the private sector on strategic trade and internal compliance programmes under resolution 1540 (2004)	OAS Inter-American Committee Against Terrorism	Virtual meeting
27 April	OSCE meeting on the theme “Best practice guide for implementation of resolution 1540 (2004) : OSCE compendium of suggested implementation practices”	OSCE	Virtual meeting
5 May	OSCE Forum for Security Co-operation, on-line meeting on the theme “Non-proliferation of weapons of mass destruction”	OSCE	Virtual meeting
18–20 May	Mongolia: national roundtable webinar series to strengthen the implementation of resolution 1540 (2004)	Government of Mongolia Office for Disarmament Affairs through UNRCPD, with the financial support of the European Union and the Government of the United States	Virtual meeting

<i>Date</i>	<i>Description</i>	<i>Organizer/sponsor</i>	<i>Location</i>
24–26 May	Panama: national workshop on strategic trade, national control lists and risk analysis techniques under resolution 1540 (2004)	OAS Inter-American Committee Against Terrorism	Virtual meeting
8 July	Summer school on nuclear disarmament and non-proliferation for diplomats from Latin America and the Caribbean	Government of Mexico, in coordination with the James Martin Center for Nonproliferation Studies and the Agency for the Prohibition of Nuclear Weapons in Latin America and the Caribbean	Virtual meeting
13 and 15 July	Dominican Republic: national workshop for academic experts on resolution 1540 (2004) and strategic trade	OAS Inter-American Committee Against Terrorism	Virtual meeting
11 and 12 August	Botswana: national workshop: strengthening the implementation of resolution 1540 (2004)	Government of Botswana, in cooperation with the Committee, supported by the Office for Disarmament Affairs and sponsored by the Government of the United States and the European Union	Virtual meeting
16 and 17 September	Panama: national workshop on strategic trade, national control lists and risk analysis techniques under resolution 1540 (2004)	OAS Inter-American Committee Against Terrorism	Virtual meeting
23 and 24 September	Training of trainers workshop on proliferation financing, annual typologies meetings of the Risk, Trends and Methods Group and the Policy Review Group of GIABA	GIABA	Hybrid meeting
30 September	Forum for South-East Asian countries	Singapore Customs in collaboration with the Bureau of Industry and Security of the Department of Commerce of the United States, the Export Control and Related Border Security Program of Department of State of the United States, the Department of Energy of the United States and the Ministry of Economy, Trade and Industry of Japan	Virtual meeting
7 and 8 October	Twenty-first regular session of the OAS Inter-American Committee Against Terrorism	OAS Inter-American Committee Against Terrorism	Virtual meeting
14–16 October	SynBio Africa inaugural international synthetic biology and biosecurity conference	SynBio Africa	Virtual meeting

<i>Date</i>	<i>Description</i>	<i>Organizer/sponsor</i>	<i>Location</i>
18 and 19 October	IAEA twenty-first nuclear security information exchange meeting	IAEA	Virtual meeting
21 October	Fifth session of the Conference of States Parties to the African Nuclear-Weapon-Free Zone Treaty	African Commission on Nuclear Energy (AFCONE)	Hybrid meeting (Johannesburg, South Africa)
28 November–2 December	Middle East and North Africa region: workshop on dual-use materials awareness for law enforcement and border police	INTERPOL	Amman
30 November–2 December	Technical meeting for points of contact for the integrated nuclear security support plan	IAEA	Hybrid meeting (Vienna)
2 December	Workshop on national implementing legislation under the Biological Weapons Convention for States parties that are members of CARICOM	Biological Weapons Convention Implementation Support Unit	Virtual meeting
15 December	International workshop on dual-use trade controls	EU CBRN CoE, UNICRI	Virtual meeting

Abbreviations: CARICOM, Caribbean Community; EU CBRN CoE, European Union Chemical, Biological, Radiological and Nuclear Risk Mitigation Centres of Excellence Initiative; GIABA, Intergovernmental Action Group against Money Laundering in West Africa; IAEA, International Atomic Energy Agency; INTERPOL: International Criminal Police Organization; OAS, Organization of American States; OSCE, Organization for Security and Cooperation in Europe; UNICRI, United Nations Interregional Crime and Justice Research Institute; UNRCPD, United Nations Regional Centre for Peace and Disarmament in Asia and the Pacific.