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لجنة مجلس الأمن المنشأة عملاً
بالقرار ١٥٤٠ (٢٠٠٤)

مذكرة شفوية مؤرخة ١٤ كانون الأول/ديسمبر ٢٠١٦ وموجهة إلى رئيس
اللجنة من البعثة الدائمة لسلوفاكيا لدى الأمم المتحدة

تهدي البعثة الدائمة لسلوفاكيا لدى الأمم المتحدة تحياتها إلى رئيس لجنة مجلس الأمن
المنشأة عملاً بالقرار ١٥٤٠ (٢٠٠٤) وتتشرف بأن تحيل طيه التقرير الوطني المستكمل المقدم
من سلوفاكيا لعام ٢٠١٦ عملاً بالفقرة ٤ من القرار ١٥٤٠ (٢٠٠٤) (انظر المرفق الأول).
وستنشر المصفوفة التفصيلية المستكملة على الموقع الشبكي للجنة* (انظر المرفق الثاني).

* ستظهر المصفوفة كما قدمتها سلوفاكيا بالإنكليزية فقط، وهي اللغة الأصلية التي وضعت بها، على نحو
ما وافقت عليه اللجنة.



الرجاء إعادة استعمال الورق

040117 281216 16-22342 (A)



مرفق المذكرة الشفوية المؤرخة ١٤ كانون الأول/ديسمبر ٢٠١٦ والموجهة
إلى رئيس اللجنة من البعثة الدائمة لسلوفاكيا لدى الأمم المتحدة
التقرير المستكمل لسلوفاكيا لعام ٢٠١٦ عن تنفيذ قرار مجلس الأمن
١٥٤٠ (٢٠٠٤)

يعد قرار مجلس الأمن ١٥٤٠ (٢٠٠٤) أداة هامة في التعامل مع التحدي المتمثل في انتشار أسلحة الدمار الشامل ومنع هذا الانتشار إلى الجهات الفاعلة من غير الدول. وقد رحبت سلوفاكيا باتخاذ القرار بالإجماع وأعربت عن دعمها القاطع لسياستها الطويلة الأمد لمكافحة انتشار أسلحة الدمار الشامل ووسائل إيصالها. ومن الناحية العملية، فقد ترجمت هذه السياسة إلى تشريعات وطنية وتنفيذية وتدابير للإنفاذ.

وهذا التقرير هو نسخة محدثة من التقرير الوطني المقدم من سلوفاكيا في عام ٢٠٠٤ عملاً بالفقرة ٤ من القرار ١٥٤٠ (٢٠٠٤). وهو يعكس الحالة الراهنة للتدابير التشريعية والتنفيذية وتدابير الإنفاذ وغيرها من التدابير المتعلقة بأحكام محددة أوردها القرار بعبارات عامة. وتشكل المصفوفة المستكملة جزءاً لا يتجزأ من التقرير، وهي تحدد بمزيد من التفصيل كيفية تنفيذ القرار.

وتلتزم سلوفاكيا التزاماً راسخاً بتنفيذ القرار ١٥٤٠ (٢٠٠٤)، وهي على استعداد للتعاون الكامل مع اللجنة.

الالتزام بالصكوك الدولية

على اعتبار أن سلوفاكيا هي الدولة الخلف للجمهورية الاتحادية التشيكية والسلوفاكية، فقد أصبحت، منذ إنشائها في أول كانون الثاني/يناير ١٩٩٣، طرفاً في الصكوك الدولية التالية المتصلة بحظر استخدام أو عدم انتشار أسلحة الدمار الشامل:

(أ) معاهدة عدم انتشار الأسلحة النووية؛

(ب) اتفاقية الحماية المادية للمواد النووية (فيينا، ١٩٧٩) والتعديل المدخل عليها (فيينا، ٢٠٠٥)؛

(ج) معاهدة أنتاركتيكا؛

(د) معاهدة المبادئ المنظمة لأنشطة الدول في ميدان استكشاف واستخدام الفضاء الخارجي، بما في ذلك القمر والأجرام السماوية الأخرى؛

- (هـ) معاهدة حظر وضع الأسلحة النووية وغيرها من أسلحة التدمير الشامل على قاع البحار والمحيطات وفي باطن أرضها؛
- (و) معاهدة حظر تجارب الأسلحة النووية في الجو وفي الفضاء الخارجي وتحت سطح الماء؛
- (ز) معاهدة الحظر الشامل للتجارب النووية؛
- (ح) اتفاقية حظر استحداث وإنتاج وتكديس واستخدام الأسلحة الكيميائية وتدمير تلك الأسلحة (اتفاقية الأسلحة الكيميائية)؛
- (ط) اتفاقية حظر استحداث وإنتاج وتخزين الأسلحة البكتريولوجية (البيولوجية) والتكسينية، وتدمير تلك الأسلحة؛
- (ي) بروتوكول حظر الاستعمال الحربي للغازات الخانقة أو السامة أو ما شابهها ووسائل الحرب البكتريولوجية.

وقد وقع الاتفاق المبرم بين تشيكوسلوفاكيا والوكالة الدولية للطاقة الذرية بغرض تطبيق الضمانات في إطار معاهدة عدم انتشار الأسلحة النووية الموقع في عام ١٩٧٢ بغرض منع تحويل الطاقة النووية من الاستخدام السلمي للاستخدام في الأسلحة النووية أو المرافق المتفجرة النووية الأخرى (انظر INFCIRC/173). وفي عام ٢٠٠٥، كان لانضمام سلوفاكيا للاتفاق المبرم بين ألمانيا، وأيرلند وإيطاليا وبلجيكا والدانمرك ولكسمبرغ وهولندا والجماعة الأوروبية للطاقة الذرية والوكالة الدولية للطاقة الذرية وبعد انضمام سلوفاكيا إلى الاتفاق المبرم بين بلجيكا والدانمرك وألمانيا وأيرلندا وإيطاليا ولكسمبرغ وهولندا والجماعة الأوروبية للطاقة الذرية والوكالة الدولية للطاقة الذرية في تنفيذ المادة الثالثة (١) و (٤) من المعاهدة (والبروتوكول الملحق بها) (انظر INFCIRC/193)، دخل اتفاق ضمانات الوكالة الدولية للطاقة الذرية والبروتوكول الإضافي الملحق به حيز النفاذ بالنسبة لسلوفاكيا.

وسلوفاكيا أيضا عضو في جميع أنظمة مراقبة الصادرات تقريبا - مجموعة أستراليا، وترتيب فاسنار بشأن ضوابط تصدير الأسلحة التقليدية والبضائع والتكنولوجيات ذات الاستخدام المزدوج، ومجموعة الموردين النوويين ولجنة زانغر - وهي تسعى بنشاط لأن تكون عضوا في نظام مراقبة تكنولوجيا القذائف، الذي تطبق سلوفاكيا المبادئ التوجيهية الخاصة به كجزء من ضوابط التصدير الوطنية الخاصة بها. وبالإضافة إلى ذلك، انضمت سلوفاكيا إلى مدونة لاهاي لقواعد السلوك لمنع انتشار القذائف التسيارية. وتسهم هذه الهياكل الدولية إسهاما مهما في ميدان مراقبة الصادرات من المواد والتكنولوجيات التي يمكن

استخدامها في أسلحة الدمار الشامل ووسائل إيصالها بهدف تعزيز نظام عدم الانتشار ومنع الإرهابيين من الحصول على هذه المواد الحساسة.

وانضمت سلوفاكيا أيضا إلى مجموعة أوسع نطاقا من الدول الشريكة التي تدعم المبادرة الأمنية لمكافحة الانتشار ومبادئها. وتهدف هذه المبادرة إلى وقف الاتجار بأسلحة الدمار الشامل ومنظومات إيصالها والمواد المتصلة بها مع الدول والجهات الفاعلة من غير الدول التي تثير شواغل تتعلق بالانتشار. وسلوفاكيا عضو في المبادرة العالمية لمكافحة الإرهاب النووي، التي أنشئت في عام ٢٠٠٦، بهدف تعزيز القدرة على منع الإرهاب النووي وكشفه والتصدي له. وهي ملتزمة بتنفيذ إعلان المبادئ في إطار المبادرة العالمية، التي تتمشى مع أحكام القرار ١٥٤٠ (٢٠٠٤).

التدابير التشريعية

استحدثت سلوفاكيا في تشريعاتها الوطنية طائفة واسعة من التدابير الرامية إلى منع انتشار أسلحة الدمار الشامل، بما في ذلك انتشارها من قبل الجهات الفاعلة من غير الدول.

والوثائق التشريعية الوطنية الرئيسية ذات الصلة بالقرار ١٥٤٠ (٢٠٠٤) هي كالتالي: القانون رقم ٢٠٠٤/٥٤١ بشأن الاستخدام السلمي للطاقة النووية (قانون الطاقة الذرية)، والقانون رقم ١٩٩٨/١٢٩ بشأن حظر الأسلحة الكيميائية (قانون حظر الأسلحة الكيميائية)، والقانون رقم ٢٠٠٧/٢١٨ بشأن حظر الأسلحة البيولوجية، بصيغته المعدلة (قانون حظر الأسلحة البيولوجية). ويكمل هذه التشريعات القانون رقم ٢٠١١/٣٩ بشأن المواد ذات الاستخدام المزدوج، والقانون رقم ٢٠١١/٣٩٢ بشأن الاتجار بمنتجات الصناعات الدفاعية. وتفرض القوانين المذكورة أعلاه، وقوانين أخرى، علاوة على القانون الجنائي (القانون رقم ٢٠٠٥/٣٠٠)، عقوبات في حالة انتهاك أحكامها.

ولقد أدت أحدث التطورات في مجال علم الأحياء إلى اعتماد القانون رقم ٢٠١٥/٢٦٣، الذي يتعلق بأحكام وشروط التعامل مع المواد الجينية والاستفادة من المزايا الناجمة عن استخدامها.

التدابير التنفيذية

على المستوى التنفيذي، تقوم على تنفيذ الالتزامات والتدابير المتعلقة بعدم الانتشار مؤسسات شتى، بما في ذلك وزارة الاقتصاد، ووزارة الصحة، ووزارة البيئة، والهيئة التنظيمية النووية.

ووزارة الخارجية والشؤون الأوروبية هي جهة الاتصال فيما يتعلق بالتنفيذ وتقديم المساعدة بشأن تنفيذ القرار ١٥٤٠ (٢٠٠٤) وتقوم بدور المنسق من أجل إعداد التقرير الوطني الذي يقدم إلى اللجنة.

وتقوم وزارة الاقتصاد بدور الهيئة الوطنية لاتفاقية الأسلحة الكيميائية، وهي مسؤولة عن تنسيق المهام المتصلة بضوابط تصدير المنتجات الصناعية الدفاعية والمواد ذات الاستخدام المزدوج. وفيما يتعلق بنظام الرقابة على الصادرات، فإن وزارة الخارجية والشؤون الأوروبية وهيئة المعلومات السلوفاكية تحظيان بتأثير حاسم (حيث تتمتعان بسلطة النقض) كما أن موافقتهما ملزمة فيما يتعلق بالقرارات بشأن تراخيص التصدير.

وتقوم وزارة الصحة، بالاشتراك مع هيئتها الفرعية المنفذة، وهي الهيئة الإقليمية للصحة العامة في بانسكا بيسترىكا، بدور السلطة الوطنية لاتفاقية حظر استحداث وإنتاج وتكديس الأسلحة البكتريولوجية (البيولوجية) والتكسينية وتدمير تلك الأسلحة.

وعملاً بالقانون رقم ٢٦٣/٢٠١٥، فإن وزارة البيئة هي الهيئة التنظيمية الوطنية المتعلقة باستخدام الموارد الجينية.

وتمارس الهيئة التنظيمية النووية الإشراف الحكومي على الأمان النووي للمنشآت النووية، بما في ذلك إدارة النفايات المشعة، وإدارة الوقود المستنفد والمراحل الأخرى من دورة الوقود، فيما يتعلق بالمواد النووية، بما في ذلك التفتيش والتسجيل، وبالحماية المادية للمنشآت النووية والمواد النووية. وهي الهيئة الرئيسية المسؤولة عن ضمان تنفيذ الالتزامات في مجال السلامة النووية والأمن الناجمة عن التزامات واتفاقات وتعهدات دولية.

وفي إطار ممارسة وزارة البيئة لمسؤولياتها بوصفها الهيئة التنظيمية المتعلقة باستخدام الموارد الجينية، فإنها تتعاون مع وزارة الاقتصاد ووكالات أخرى، ومع المعهد المركزي للمراقبة والاختبار في مجال الزراعة (التابع لوزارة الزراعة والتنمية الريفية)، والمعهد الحكومي لمراقبة المواد الحيوية والأدوية البيطرية، وهيئة الصحة العامة للجمهورية السلوفاكية (وزارة الصحة).

تدابير الإنفاذ

تقع تدابير الإنفاذ في المقام الأول ضمن اختصاص وزارة الاقتصاد، والهيئة التنظيمية النووية، ووزارة الداخلية، ووزارة المالية، ووكالات إنفاذ القانون الأخرى.

وتقوم وزارة الاقتصاد بوضع الضوابط المتعلقة بالتجارة في السلع الحساسة. وتقوم الهيئة التنظيمية النووية بالإشراف على أي نقل للأسلحة النووية والمواد ذات الصلة. وفي إطار وزارة الداخلية، يتولى مكتب الشرطة الجنائية التابع لرئاسة الشرطة مسؤولية التحقيق في الأنشطة الإجرامية المتصلة بالمواد الخطرة. وفي إطار وزارة المالية، يتولى مكتب التحقيقات الجنائية مسؤولية الإنفاذ العملي للمبادئ المتعلقة بتصدير أو نقل السلع الخاضعة للمراقبة. وتحت تصرف الإدارات المذكورة أعلاه المعلومات ذات الصلة التي توفرها هيئة المعلومات السلوكية.

تدابير لدعم التشجيع على الامتثال

تشكل أنشطة تشجيع الامتثال جزءا كبيرا من أنشطة التوعية الحكومية الموجهة إلى الصناعة. ويجري تدريجيا توسيع نطاق محط التركيز الرئيسي للأنشطة بحيث يتعدى الأشكال الأساسية للتفاعل بين الوزارات والوكالات ذات الصلة، والمسؤولة قانونا عن سياسة عدم الانتشار، وضوابط التصدير، والصناعة، إلى التدابير التي تتوخى الأخذ بنهج أكثر اتساما بالطابع العملي.

وضمن الأنشطة الحكومية الرامية إلى تشجيع الامتثال تلك الأنشطة المتعلقة بالتعاون مع غرفة التجارة والصناعة في سلوفاكيا (من قبيل تنظيم حلقة دراسية بشأن سياسة وإجراءات الترخيص للمصدرين نظمها وزارة الشؤون الخارجية والأوروبية بالتعاون مع وزارة الاقتصاد في عام ٢٠١٥) وإجراء مشاورات مخصصة مع المصدرين في مسائل خاصة بالتصدير.

الأنشطة المضطلع بها في إطار الاتحاد الأوروبي

منذ انضمام سلوفاكيا إلى الاتحاد الأوروبي، عملت على الإسهام بنشاط في أنشطة مكافحة انتشار أسلحة الدمار الشامل ووسائل إيصالها وعلى تنفيذ استراتيجية الاتحاد الأوروبي لمكافحة انتشار أسلحة الدمار الشامل.

وأيدت سلوفاكيا على نحو منتظم وثائق الاتحاد الأوروبي المتعلقة بتنفيذ الاستراتيجية في مختلف المجالات المختلفة (النووية والكيميائية والبيولوجية)، بما في ذلك مقررات مجلس الاتحاد الأوروبي دعما للقرار ١٥٤٠ (٢٠٠٤).

تقديم المساعدة إلى الدول الأعضاء

اعتمدت سلوفاكيا، في حدود قدراتها، موقفا فاعلا بشأن مسألة المساعدة الدولية في مجال عدم الانتشار. وتم الاضطلاع بالجزء الأكبر من أنشطة المساعدة وتوفير معظم مواردها عن طريق المؤسسات الدولية ذات الصلة، بما في ذلك الاتحاد الأوروبي والوكالة الدولية للطاقة الذرية (من خلال الهيئة التنظيمية النووية) ومنظمة حظر الأسلحة الكيميائية (وزارة الاقتصاد/الهيئة الوطنية لاتفاقية الأسلحة الكيميائية).

وتقر سلوفاكيا بما ارتآه مجلس الأمن من أن بعض الدول قد تحتاج إلى المساعدة في تنفيذ أحكام القرار ١٥٤٠ (٢٠٠٤)، وهي على استعداد للنظر في أي طلب محدد للحصول على هذه المساعدة.

Annex II to the note verbale dated 14 December 2016 from the Permanent Mission of Slovakia to the United Nations addressed to the Chair of the Committee

Matrix of Slovakia, as updated in December 2016

The information in the matrices originates primarily from national reports and is complemented by official government information, including that made available to intergovernmental 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 \(2008\)](#) and [1977 \(2011\)](#). 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.

OP 1 and related matters from OP 5, OP 6, OP 8 (a), (b), (c) and OP 10

State:

Slovakia

Date:

14 December 2016

<i>Legally binding instruments, organizations, codes of conduct, arrangements, statements and other issues.</i>		<i>YES</i>	<i>If YES, relevant information (i.e. signing, accession, ratification, etc.)</i>	<i>Remarks (information refers to the page of the English version of the national report or an official website)</i>
1	Nuclear Non-Proliferation Treaty (NPT)	X	Succession 1 January 1993 (further referred as "NPT Succession")	
2	Nuclear Weapons Free Zone/ Protocol(s)			
3	Convention for the Suppression of Acts of Nuclear Terrorism	X	Ratified 28 March 2006; Deposited 28 March 2006	
4	Convention on Physical Protection of Nuclear Material (CPPNM)	X	Succession 1 January 1993	

<i>Legally binding instruments, organizations, codes of conduct, arrangements, statements and other issues.</i>		<i>YES</i>	<i>If YES, relevant information (i.e. signing, accession, ratification, etc.)</i>	<i>Remarks (information refers to the page of the English version of the national report or an official website)</i>
5	2005 Amendment to the CPPNM	X	Ratified 19 October 2007; deposited 7 March 2013	
6	Comprehensive Nuclear-Test-Ban Treaty (CTBT)	X	Ratified 3 March 1998	
7	Chemical Weapons Convention (CWC)	X	Signed 14.01.1993, ratified 17. 10.1995, deposited 27.10.1995, in force 29.4.1997	
8	Biological Weapons Convention (BWC)	X	Succession 1 January 1993 (further referred as “BWC Succession”)	
9	Geneva Protocol of 1925	X	Succession 1 January 1993	
10	Other Conventions/Treaties	X	<ol style="list-style-type: none"> 1. EURATOM Treaty 2. Treaty on the Prohibition of the Emplacement of Nuclear Weapons and Other Weapons of Mass Destruction on the Seabed and the Ocean Floor and in the Subsoil Thereof (Seabed Treaty) — Succession 1 January 1993 3. Antarctic Treaty — Succession 1 January 1993 4. Treaty on Principles Governing the Activities of States in the Exploration and Use of Outer Space, including the Moon and Other Celestial Bodies (Outer Space Treaty) — Succession 1 January 1993 5. Slovakia ratified 14 UN conventions and Protocols on Terrorism (including 1999 International Convention for the Suppression of the Financing of Terrorism, 1997 International Convention for the Suppression of Terrorist Bombings, 1988 Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation and 1988 Protocol for the Suppression of Unlawful Acts against the Safety of Fixed Platforms Located on the Continental Shelf) 	

Legally binding instruments, organizations, codes of conduct, arrangements, statements and other issues.		YES	If YES, relevant information (i.e. signing, accession, ratification, etc.)	Remarks (information refers to the page of the English version of the national report or an official website)
11	International Atomic Energy Agency (IAEA)	X	Member since 1993	
12	Hague Code of Conduct (HCOC)	X	Subscribed 25 November 2002	
13	Other Arrangements	X	<ol style="list-style-type: none"> 1. Australia Group (AG) 2. Nuclear Suppliers Group (NSG) 3. Wassenaar Arrangement (WA) 4. Zangger Committee (ZC) 5. Proliferation Security Initiative (PSI) 6. Global Initiative to Combat Nuclear Terrorism (GICNT) 	
14	General statement on non-possession of WMD	X	Slovakia does not possess any WMD	
15	General statement on commitment to disarmament and non-proliferation	X	European Union Strategy against Proliferation of WMD. WMD clause in European Union-Third countries Agreements.	
16	General statement on non-provision of WMD and related materials to non-State actors	X	Slovakia does not provide WMD and related materials to non-State actors.	
17	Other ¹	X	Member of EU, IMO, INTERPOL, CoE, OIE, OSCE, WHO, WCO/signed WCO Declaration on implementation of Framework of Standards to secure and facilitate global trade (SAFE Framework of Standards), Council of Europe Committee of Experts on the Evaluation of Anti-Money Laundering Measures and the Financing of Terrorism (MONEYVAL), Egmont Group, Revised Cotonou Partnership Agreement (CPA II)	

¹ Including, as appropriate, information with regard to membership in relevant international, regional or subregional organizations.

OP 2 — Nuclear Weapons (NW), Chemical Weapons (CW) and Biological Weapons (BW)**State:** Slovakia**Date:** 14 December 2016

Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document of national implementation law	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
1	Manufacture/produce	X	X	X	NW: 1. NPT Succession 2. Act 541/2004 on the Peaceful Use of Nuclear Energy as amended (further referred as <u>Atomic Act</u>) CW: Act 129/1998 on Prohibition of Chemical Weapons (further referred as <u>CW Prohibition Act</u>) BW: 1. BWC Succession 2. Act 218/2007 on Prohibition of Biological Weapons (further referred as <u>BW Prohibition Act</u>)	X	X	X	NW/CW/BW: Act 300/2005 Penal Code as amended (further referred as <u>Penal Code</u>), § 298, 299, 419 NW: Atomic Act, § 3 CW: CW Prohibition Act, § 41 BW: BW Prohibition Act, § 23, 24	

Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document of national implementation law	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
2	Acquire	X	X	X	NW: 1. NPT Succession 2. Atomic Act CW: CW Prohibition Act BW: 1. BWC Succession 2. BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419 NW: Atomic Act, § 3 CW: CW Prohibition Act, § 41 BW: BW Prohibition Act, § 23, 24	
3	Possess	X	X	X	NW: 1. NPT Succession 2. Atomic Act CW: CW Prohibition Act BW: 1. BWC Succession 2. BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419 NW: Atomic Act, § 3 CW: CW Prohibition Act, § 41 BW: BW Prohibition Act, § 23, 24	
4	Stockpile/store	X	X	X	NW: 1. NPT Succession 2. Atomic Act CW: CW Prohibition Act BW: 1. BWC Succession 2. BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419 NW: Atomic Act, § 3 CW: CW Prohibition Act, § 41 BW: BW Prohibition Act, § 23, 24	

Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document of national implementation law	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
5	Develop	X	X	X	NW: 1. NPT Succession 2. Atomic Act CW: CW Prohibition Act BW: 1. BWC Succession 2. BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419 NW: Atomic Act, § 3 CW: CW Prohibition Act, § 41 BW: BW Prohibition Act, § 23, 24	
6	Transport	X	X	X	NW: 1. NPT Succession 2. Atomic Act CW: CW Prohibition Act BW: 1. BWC Succession 2. BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419 NW: Atomic Act, § 3 CW: CW Prohibition Act, § 41 BW: BW Prohibition Act, § 23, 24	
7	Transfer	X	X	X	NW: 1. NPT Succession 2. Atomic Act CW: CW Prohibition Act BW: 1. BWC Succession 2. BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419 NW: Atomic Act, § 3 CW: CW Prohibition Act, § 41 BW: BW Prohibition Act, § 23, 24	

Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document of national implementation law	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
8	Use	X	X	X	NW: 1. NPT Succession 2. Atomic Act CW: CW Prohibition Act BW: BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419 NW: Atomic Act, § 3 CW: CW Prohibition Act, § 41 BW: BW Prohibition Act, § 23, 24	
9	Participate as an accomplice in above-mentioned activities	X	X	X	NW/CW/BW: Penal Code	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419	
10	Assist in above-mentioned activities	X	X	X	NW/CW/BW: Penal Code	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419	
11	Finance above-mentioned activities	X	X	X	NW/CW/BW: 1. Penal Code 2. Banking Act n. 483 of 2001 amending with the introduction of § 56a the Foreign Economic Relations Act n. 42 of 1980 3. Act No 297/2008 on the prevention of money laundering and terrorist financing	X	X	X	NW/CW/BW: 1. Penal Code, § 21 in connection to § 232, 233, 298, 299 and 419 2. Act No 297/2008 on the prevention of money laundering and terrorist financing, §32, 33	

Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document of national implementation law	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
12	Above-mentioned activities related to means of delivery ²	X	X	X	BW: BW Prohibition Act, § 3 Means of delivery NW, BW, CW: 1. Council Regulation (EC) n. 428/2009 2. Act 39/2011 on Dual Use Items	X	X	X	BW: BW Prohibition Act, § 23, 24 Means of delivery NW, BW, CW: Act 39/2011 on Dual Use Items, § 32, 33	
13	Involvement of non-State actors in above-mentioned activities	X	X	X	NW/CW/BW: Penal Code	X	X	X	NW/CW/BW: Penal Code, §§ 298, 299 and 419	
14	Other									

² Means of delivery: missiles, rockets and other unmanned systems capable of delivering nuclear, chemical, or biological weapons, that are specially designed for such use.

OP 3 (a) and (b) — Account for/Secure/Physically protect NW, CW and BW, including Related Materials³
State: Slovakia

Date: 14 December 2016

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW*		NW	CW	BW		
1	Measures to account for production	X	X	X	NW: 1. Atomic Act and relevant regulations of the Nuclear Regulatory Authority of the Slovak Republic (further referred as <u>NRA SR</u>) 2. Commission Regulation (EURATOM) 302/2005 on the application of EURATOM safeguards (Commission Regul. 302/2005/EURATOM) 3. INFCIRC/193 (accession 2005) CW: CW Prohibition Act BW: BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419 NW: Atomic Act and relevant regulations of the Nuclear Regulatory Authority of the Slovak Republic (further referred as <u>NRA SR</u>), including the State System of Accounting for and Control of Nuclear Materials (SSAC) based on the IAEA Safeguards Agreement and the Additional Protocol CW: 1. CW Prohibition Act and relevant regulations of Ministry of Economy as the National Authority for prohibition of CW 2. Act 67/2010 on chemical substances and preparations (further referred as <u>Chemical Act</u>) BW: BW Prohibition Act and relevant regulations of Ministry of Health as the National Authority for prohibition of BW	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW*		NW	CW	BW		
2	Measures to account for use	X	X	X	NW: 1. Atomic Act + relevant NRA SR regulations 2. Commission Regul. 302/2005/EURATOM 3. INFCIRC/193 (accession 2005) CW: CW Prohibition Act BW: BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419 NW: Atomic Act and relevant regulations of the NRA SR, including the SSAC CW: 1. CW Prohibition Act and relevant regulations of Ministry of Economy 2. Chemical Act BW: BW Prohibition Act and relevant regulations of Ministry of Health	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW*		NW	CW	BW		
3	Measures to account for storage	X	X	X	NW: 1. Atomic Act + relevant NRA SR regulations 2. Commission Regulation 302/2005/EURATOM 3. INFCIRC/193 (accession 2005) CW: CW Prohibition Act BW: BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298, 299, 419 NW: Atomic Act + relevant NRA SR regulations concerning the storage of nuclear material, including the SSAC CW: 1. CW Prohibition Act and relevant regulations of Ministry of Economy 2. Chemical Act BW: BW Prohibition Act and relevant regulations of Ministry of Health	
4	Measures to account for transport	X	X	X	NW: Atomic Act + relevant NRA SR regulations CW: 1. Council Directive 2008/68/EC 2. CW Prohibition Act BW: Council Directive 2008/68/EC	X	X	X	NW: Atomic Act + relevant NRA SR regulations, including the SSAC CW: 1. CW Prohibition Act and regulations of Ministry of Economy 2. Chemical Act BW: BW Prohibition Act and relevant regulations of Ministry of Health	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW*		NW	CW	BW		
5	Other measures for accounting	X			NW: 1. Council Directive 2003/122/ EURATOM 2. Directive 96/29/EURATOM	X			NW: The State System of Accounting for and Control of Nuclear Materials (SSAC) based on the Safeguards Agreement between the IAEA and the Slovak Government. The regulatory activity in the field of the accounting for and control of nuclear materials also includes review and processing of the reports of any nuclear material inventory change sent to the NRA SR by nuclear material users, elaboration and submission of advance notifications, special and accountancy reports for the IAEA	
6	Measures to secure production	X	X		NW: Atomic Act + relevant NRA SR regulations CW: 1. Directive 98/24/EC 2. CW Prohibition Act 3. Chemical Act	X	X	X	NW: 1. Atomic Act + relevant NRA SR regulations, including the SSAC and control of high activity sealed radioactive sources (HASS) 2. Penal Code, § 298 CW: 1. Penal Code, § 298 2. Chemical Act BW: Penal Code, § 298	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW*		NW	CW	BW		
7	Measures to secure use	X	X	X	NW: Atomic Act + relevant NRA SR regulations CW: 1. Directive 98/24/EC 2. CW Prohibition Act 3. Chemical Act BW: 1. Directive 2000/54/EC 2. Regulation (EC) of the European Parliament and the Council n. 851/2004 3. BW Prohibition Act	X	X	X	NW: 1. Atomic Act + relevant NRA SR regulations, including the SSAC and control of HASS 2. Penal Code, § 298 CW: 1. Penal Code, § 298 2. Chemical Act BW: Penal Code, § 298	
8	Measures to secure storage	X	X	X	NW: Atomic Act + relevant NRA SR regulations CW: 1. Directive 98/24/EC 2. CW Prohibition Act 3. Chemical Act BW: 1. Directive 2000/54/EC 2. BW Prohibition Act	X	X	X	NW: 1. Atomic Act + relevant NRA SR regulations, including the SSAC and control of HASS 2. Penal Code, § 298 CW: 1. Penal Code, § 298 2. Chemical Act BW: Penal Code, § 298	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES				YES				
		NW	CW	BW*		NW	CW	BW		
					If YES, source document				If YES, source document	
9	Measures to secure transport	X	X	X	NW: Council Directive 2008/68/EC CW: 1. Council Directive 2008/68/EC 2. Regulation (EC) No 1272/2008 of the European Parliament and of the Council of 16 December 2008 on classification, labelling and packaging of substances and mixtures 3. CW Prohibition Act BW: Council Directive 2008/68/EC	X	X	X	NW: 1. Directive 92/3 EURATOM: prior notification of shipments 2. Route charting by NRA SR CW: 1. Party to ADR and RID agreements 2. Penal Code, § 298 BW: 1. Party to ADR and RID agreements 2. Penal Code, § 298	
10	Other measures for securing	X	X	X	NW/CW/BW: Act 355/2007 on Public Health Protection	X	X	X	NW/CW/BW: Act 355/2007 on Public Health Protection	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES				YES				
		NW	CW	BW*		NW	CW	BW		
					If YES, source document				If YES, source document	
11	Regulations for physical protection of facilities/ materials/ transports	X	X	X	NW: Atomic Act CW: Act 67/2010 (Chemical Act) BW: BW Prohibition Act	X	X	X	NW: Protection system and a set of technical tools and organizational measures to prevent unauthorized use of facilities, materials, etc. CW: Act 67/2010 (Chemical Act), §38 BW: BW Prohibition Act, §23, §24	
12	Licensing/ registration of installations/ facilities/ persons/entities/ use/handling of materials	X	X	X	NW: Atomic Act CW: 1. CW Prohibition Act 2. Chemical Act BW: 1. Directive 2000/54/EC 2. BW Prohibition Act	X	X	X	NW/CW/BW: Penal Code, § 298 NW: Atomic Act CW: 1. CW Prohibition Act, § 41 2. Chemical Act, §38 BW: BW Prohibition Act, §23, §24	
13	Reliability check of personnel	X	X	X	NW: Atomic Act CW: CW Prohibition Act BW: BW Prohibition Act	X	X	X	NW: Atomic Act CW: CW Prohibition Act, §§ 11, 12: A responsible person shall be deemed to have a clean criminal record for the purposes hereof if such person, who: a) was not convicted for an offence whose merits are connected with the activity to be licensed, b) was not convicted for deliberate offence.) BW: BW Prohibition Act, §12	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW*		NW	CW	BW		
14	Measures to account for/secure/physically protect means of delivery									

³ 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)).

OP 3 (a) and (b) — Account for/Secure/Physically protect NW including Related Materials (NW specific)**State:** Slovakia**Date:** 14 December 2016

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized?		National legal framework		Enforcement: civil/criminal penalties and others		Remarks
		YES	If YES, source document	YES	If YES, source document	
1	National regulatory authority	X	Nuclear Regulatory Authority of the Slovak Republic (NRA SR) Act No. 575/2001 as Amended (Act on Competences) Act 541/2004 on the Peaceful Use of Nuclear Energy as amended (Atomic Act)	X	Nuclear Regulatory Authority of the Slovak Republic (NRA SR)	
2	IAEA Safeguards Agreements	X	INFCIRC/193 (Accession 2005)	X	Nuclear Regulatory Authority of the Slovak Republic, Penal Code	
3	IAEA Code of Conduct on Safety and Security of Radioactive Sources	X	Expressed support	X	Point of contact: Public Health Authority of the Slovak Republic (Ministry of Health) http://www.uvzsr.sk/en/	
4	Supplementary Guidance on the Import and Export of Radioactive Sources of the Code of Conduct on the Safety and Security of Radioactive Sources	X	Expressed support	X	Expressed support	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized?		National legal framework		Enforcement: civil/criminal penalties and others		Remarks
		YES	If YES, source document	YES	If YES, source document	
5	IAEA Database on Illicit Trafficking of Nuclear Materials and other Radioactive Sources	X	Participates	X	Participates	
6	Other Agreements related to IAEA	X	1. Convention on Early Notification of a Nuclear Accident, in force 1993 2. Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency, in force 1993 3. Convention on Nuclear Safety, in force 1996 4. Vienna Convention on Civil Liability for Nuclear Damage, in force 1995 5. Revised Supplementary Agreement Concerning the provision of technical Assistance by the IAEA, in force 1995 6. Agreement on the Privileges and immunities of the IAEA, in force 1993 7. Joint Protocol Relating to the Application of the Vienna Convention and the Paris Convention, in force 1995 8. Joint Convention on the safety of Spent Fuel Management and on the Safety of Radioactive Waste Management, 2001	X	1. Convention on Early Notification of a Nuclear Accident, in force 1993 2. Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency, in force 1993 3. Convention on Nuclear Safety, in force 1996 4. Vienna Convention on Civil Liability for Nuclear Damage, in force 1995 5. Revised Supplementary Agreement Concerning the provision of technical Assistance by the IAEA, in force 1995 6. Agreement on the Privileges and immunities of the IAEA, in force 1993 7. Joint Protocol Relating to the Application of the Vienna Convention and the Paris Convention, in force 1995 8. Joint Convention on the safety of Spent Fuel Management and on the Safety of Radioactive Waste Management, 2001	

<i>Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized?</i>		<i>National legal framework</i>		<i>Enforcement: civil/criminal penalties and others</i>		<i>Remarks</i>
		<i>YES</i>	<i>If YES, source document</i>	<i>YES</i>	<i>If YES, source document</i>	
7	Additional national legislation/ regulations related to nuclear materials including CPPNM					
8	Other					

OP 3 (a) and (b) — Account for/Secure/Physically protect CW including Related Materials (CW specific)
State: Slovakia

Date: 14 December 2016

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect CW and Related Materials? Can violators be penalized?		National legal framework		Enforcement: civil/criminal penalties and others		Remarks
		YES	If YES, source document	YES	If YES, source document	
1	National CWC authority	X	Ministry of Economy (CW Prohibition Act, § 3) Act No. 129/1998 on the Prohibition of Chemical Weapons (CW Prohibition Act)	X	Ministry of Economy (CW Prohibition Act, § 3)	
2	Reporting Schedule I, II and III chemicals to OPCW	X	CW Prohibition Act	X	CW Prohibition Act, §3	
3	Account for, secure or physically protect “old chemical weapons”	X	CW Prohibition Act	X	CW Prohibition Act, §5	
4	Other legislation/ regulations controlling chemical materials	X	Act 67/2010 on chemical substances and preparations (Chemical Act)	X	Chemical Act, §§ 33-38 (administrative offences, fines)	
5	Other					

OP 3 (a) and (b) — Account for/Secure/Physically protect BW including Related Materials (BW specific)**State:** Slovakia**Date:** 14 December 2016

<i>Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect BW and Related Materials? Can violators be penalized?</i>		<i>National legal framework</i>		<i>Enforcement: civil/criminal penalties and others</i>		<i>Remarks</i>
		<i>YES</i>	<i>If YES, source document</i>	<i>YES</i>	<i>If YES, source document</i>	
1	Regulations for genetic engineering work	X	<p>Directive 2001/18/EC of the European Parliament and of the Council on the deliberate release into the environment</p> <p>Regulation (EC) No 1830/2003 of the European Parliament and of the Council concerning the traceability and labelling of genetically modified organisms and the traceability of food and feed products produced from genetically modified organisms and amending Directive 2001/18/EC</p> <p>Directive 2009/41/EC of the European Parliament and of the Council on the contained use of genetically modified micro-organisms</p> <p>Act 151/2002 on use of genetic technologies and genetically modified organisms, as amended</p> <p>Act 263/2015 on terms and conditions for access to genetic resources and utilizing benefits resulting from their use</p>	X	<p>Act 151/2002 on use of genetic technologies and genetically modified organisms, as amended</p> <p>Act 263/2015 on terms and conditions for access to genetic resources and utilizing benefits resulting from their use; § 10-11 Offences; Ministry of Environment as the National Regulation Authority for use of genetic resources; cooperation with Ministry of Economy and other agencies, e.g.:</p> <ul style="list-style-type: none"> – Central Control and Testing Institute in Agriculture/Ministry of Agriculture – State Institute for Medicament Control/Ministry of Health – Institute for State Control of Veterinary Biologicals and Medicaments – Public Health Authority of the Slovak Republic/Ministry of Health <p>Act No. 300/2005 Penal Code, § 161, §309</p>	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect BW and Related Materials? Can violators be penalized?		National legal framework		Enforcement: civil/criminal penalties and others		Remarks
		YES	If YES, source document	YES	If YES, source document	
2	Other legislation/ regulations related to safety and security of biological materials	X	Regulation of Ministry of Environment No. 399/2005 (as amended by reg. 312/2008 and reg. 86/2013) on implementation of the Act No. 151/2002 on use of genetic technologies and genetically modified organisms, as amended	X	Regulation of Ministry of Environment No. 399/2005 (as amended by reg. 312/2008 and reg. 86/2013) on implementation of the Act No. 151/2002 on use of genetic technologies and genetically modified organisms, as amended	
3	Other					

OP 3 (c) and (d) and related matters from OP 6 and OP 10 — Controls of NW, CW and BW, including Related Materials

State:

Slovakia

Date:

14 December 2016

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
1	Border control	X	X	X	NW/CW/BW: 1. Council Regulation no. 2913/1992 (Community Customs Code) 2. Commission Regulation no. 2454/1993 (Implementing Provisions to the Community Customs Code) 3. EU Regulation no. 648 of 13 April 2005 (Security Amendment) 4. Regulation (EC) No 1889/2005 on controls of cash entering or leaving the Community 5. Customs Act 199/2004 6. Penal Code	X	X	X	NW/CW/BW: 1. Customs Act 199/2004 2. Act No. 333/2011 on Financial Administration (incl. custom offices and Financial Administration/Office of Criminal Investigation) 3. Penal Code, §§ 255-257, 294, 295, 298, 299	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
2	Technical support of border control measures	X			NW: 1. Council Regulation no. 2913/1992 (Community Customs Code) 2. EU Regulation no. 648 of 13 April 2005 (Security Amendment) 3. New Computerised Transit System (NCTS) — Security and Safety Aspects is to be updated in its features as required by Regulation (EC) 648/2005	X			NW: Portable x-ray, pagers for detection of radioactive substances	
3	Control of brokering, trading in, negotiating, otherwise assisting in sale of goods and technology	X	X	X	NW/CW/BW: Council regulation (EC) No 428/2009 — Community regime for the control of exports, transfer, brokering and transit of dual-use items (Council Regulation (EC) n. 428/2009 as amended) Act 39/2011 on Dual Use Items	X	X	X	NW/CW/BW: 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
4	Enforcement agencies/ authorities	X	X	X	1. Customs Act 199/2004 2. Memoranda on co-operation between the customs authorities and technical research institutes in 2004. The memoranda provide for an important tool in identifying, specifying and categorizing of various potential dual-use items				NW/CW/BW: Ministry of Finance/Financial Administration (Custom Offices, Office of Criminal Investigation) Ministry of Interior/Criminal Police Bureau	
5	Export control legislation in place	X	X	X	NW/CW: 1. Council Regulation (EC) n. 428/2009 2. Council Regulation No. 2913/1992 (Community Customs Code) 3. Commission Regulation No. 2454/1993 (Implementing Provisions of the Community Customs Code) 4. Act 39/2011 on Dual Use Items 5. Act No. 392/2011 on trade with defence industry products 6. Customs Act 199/2004 CW: CW Prohibition Act BW: BW Prohibition Act	X	X	X	NW/CW/BW: 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products CW: CW Prohibition Act, § 19 (Highly dangerous chemicals may be exported or imported only if the licence is issued for export and import of highly dangerous chemicals for the research, medical, pharmaceutical or protective purposes) BW: BW Prohibition Act	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
6	Licensing provisions	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 2. Act 39/2011 on Dual Use Items 3. Act 392/2011 on Trade with Defence Industry Products CW: 1. CW Prohibition Act 2. Act No. 392/2011 on trade with defence industry products	X	X	X	NW/CW/BW: 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products CW: CW Prohibition Act, §. 21-24	
7	Individual licensing	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items CW: 1. CW Prohibition Act 2. Act No. 392/2011 on trade with defence industry products	X	X	X	NW/CW/BW: 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products 3. Customs Act No. 199/2004, Art. 73	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
8	General licensing	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items CW: 1. CW Prohibition Act 2. Act 392/2011 on Trade with Defence Industry Products	X	X	X	NW/CW/BW: 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products	
9	Exceptions from licensing	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items	X	X	X	NW/CW/BW: An authorization shall be required for intra-Community transfers of dual-use items listed in Annex IV. Items listed in Part 2 of Annex IV shall not be covered by a general authorization	
10	Licensing of deemed export/visa	X	X	X	NW/CW/BW: Council Joint Action of 22 June 2000 concerning the control of technical assistance related to certain military end-uses					

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
11	National licensing authority	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009, Art. 9: for all other exports for which an authorisation is required under the Regulation, leaves to the national authorities the final decision as to whether to grant a national, global or individual export licence 2. Act 39/2011 on Dual Use Items 3. Act 392/2011 on Trade with Defence Industry Products	X	X	X	NW: Nuclear Regulatory Authority — ÚJD CW: Ministry of Economy, Division of Trade Measures (CWC National Authority, National Authority for Export Control of Military and Dual-Use Goods) BW: BWC National Authority/ Ministry of Health	
12	Inter-agency review for licences	X	X	X	NW/CW/BW: 1. Council regulation (EC) No 428/2009 Community regime for the control of exports, transfer, brokering and transit of dual-use items sets up a Coordination Group (Article 23) chaired by the Commission, at which each Member State is represented 2. Act 39/2011 on Dual Use Items 3. Act 392/2011 on Trade with Defence Industry Products	X	X	X	NW: Nuclear Regulatory Authority — ÚJD CW: Ministry of Economy, Ministry of Foreign and European Affairs, Ministry of Defence, Ministry of Interior, Financial Administration/Office of Criminal Investigation, Slovak Intelligence Service BW: BWC National Authority/ Ministry of Health	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
13	Control lists	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items	X	X	X	NW/CW/BW: 1. Council regulation (EC) n. 428/2009, Annex 1 2. Common Military List of the European Union as amended 3. Regulation of Ministry of Economy as periodically amended: List of Defence Industry Products	
14	Updating of lists	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items	X	X	X	NW/CW/BW: Council Regulation (EC) n. 428/2009, Art. 15; The lists of dual-use items set out in Annex I and Annex IV shall be updated in conformity with the relevant obligations and commitments, and any modification thereof, that each Member State has accepted as a member of the international non-proliferation regimes and export control arrangements, or by ratification of the relevant international treaties	
15	Inclusion of technologies	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items	X	X	X	NW/CW/BW: Council Regulation (EC) n. 428/2009, Art. 24	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
16	Inclusion of means of delivery	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items	X	X	X	NW/CW/BW: Council Regulation (EC) n. 428/2009, Art. 24	
17	End-user controls	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 2. EU Regulation n. 648/2005 (Security Amendment) 3. Act 39/2011 on Dual Use Items 4. Act 392/2011 on Trade with Defence Industry Products	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009, Art. 24 2. EU Regulation n. 648/2005 (Security Amendment), Article 1.14 3. Act 39/2011 on Dual Use Items	
18	Catch all clause	X	X	X	NW/CW/BW: Council Regulation (EC) n. 428/2009	X	X	X	NW/CW/BW: Council Regulation (EC) n. 428/2009, Art. 4, 24	
19	Intangible transfers	X	X	X	NW/CW/BW: Council Regulation (EC) n. 428/2009	X	X	X	NW/CW/BW: Act 39/2011 on Dual Use Items, §28	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
20	Transit control	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 2. EU Regulation no. 648/2005 (Security Amendment) 3. Act 39/2011 on Dual Use Items 4. Act 392/2011 on Trade with Defence Industry Products 5. Customs Act No. 199/2004 §§ 15-16 CW: CW Prohibition Act, § 25 (Transit of highly dangerous chemical through the Slovak Republic shall take place only with certificate provided by the Ministry to the transport contractor)	X	X	X	NW/BW/CW: Council Regulation (EC) n. 428/2009, Art. 4, 24 CW: Act 129/1998, § 41	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
21	Trans-shipment control	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 2. EU Regulation no. 648/2005 (Security Amendment) 3. Act 39/2011 on Dual Use Items 4. Act 392/2011 on Trade with Defence Industry Products 5. Customs Act No. 199/2004 §§ 15-16	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 2. Customs Act No. 199/2004 §§ 15-16	
23	Control of providing funds				Council Regulation (EC) No. 2580 of 27 December 2001 on specific restrictive measures directed against certain persons and entities with a view to combating terrorism					

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
24	Control of providing transport services	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 2. EU Regulation no. 648/2005 (Security Amendment) 3. Act 39/2011 on Dual Use Items 4. Act 392/2011 on Trade with Defence Industry Products 5. Customs Act No. 199/2004 §§ 15-16	X	X	X	NW/CW/BW: 1. Council Regulation (EC) n. 428/2009 2. Customs Act No. 199/2004 §§ 15-16	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties, and measures of implementation, etc.				Remarks
		YES			If YES, source document	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
25	Control of importation	X	X	X	NW/CW/BW: 1. EU Regulation no. 648/2005 (Security Amendment), Article 1.14 2. Council Regulation No. 2913/1992 (Community Customs Code) 3. Commission Regulation No. 2454/1993 (Implementing Provisions of the Community Customs Code) 4. Customs Act 199/2004 5. Act 39/2011 on Dual Use Items CW: 1. CW Prohibition Act 2. Decree of the Government of the Slovak Republic No. 390/1997 on custom duties	X	X	X	NW/CW/BW: Customs Act No. 199/2004 § 73	
26	Extraterritorial applicability				N/A				N/A	
27	Other				N/A				N/A	

OP 6, 7 and 8 (d) — Control lists, Assistance, Information**State:****Slovakia****Date:****14 December 2016**

<i>Can information be provided on the following issues?</i>		<i>YES</i>		<i>Remarks</i>
1	Control lists — items (goods/equipment/materials/technologies)	X	COUNCIL REGULATION (EC) No 428/2009 as amended — Community regime for the control of exports, transfer, brokering and transit of dual-use items Relevant regulations of Ministry of Economy	
2	Control lists — other			
3	Assistance offered	X	Prepared to consider any specific request from States lacking the legal and regulatory infrastructure or implementation experience	
4	Assistance requested		N/A	
5	Point of Contact for assistance	X	Ministry of Foreign and European Affairs of the Slovak Republic, Department of Disarmament and Counter-Terrorism, tel.: +421 2 5978 3621, fax: +421 2 5978 3629	
6	Assistance in place (bilateral/multilateral)			
7	Work with and inform industry	X	Seminars and individual consultations with industry on export controls	
8	Work with and inform the public	X	Information dissemination via Government websites	
9	Point of Contact	X	Ministry of Foreign and European Affairs of the Slovak Republic, Department of Disarmament and Counter-Terrorism, tel.: +421 2 5978 3621, fax: +421 2 5978 3629	
10	Other ⁴			

⁴ Information may include references to voluntary implementation national action plan and visits to States, at their invitation, by the 1540 Committee.