

**Совет Безопасности**

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**Комитет Совета Безопасности,  
учрежденный резолюцией 1540 (2004)**

**Вербальная нота Постоянного представительства Словакии  
при Организации Объединенных Наций от 14 декабря  
2016 года на имя Председателя Комитета**

Постоянное представительство Словакии при Организации Объединенных Наций свидетельствует свое уважение Председателю Комитета Совета Безопасности, учрежденного резолюцией 1540 (2004), и имеет честь настоящим препроводить обновленный национальный доклад Словакии за 2016 год, представляемый во исполнение пункта 4 резолюции 1540 (2004) (см. приложение I) и подробную обновленную таблицу\* для размещения на веб-сайте Комитета (см. приложение II).

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\* В соответствии с решением Комитета таблица, представленная Словакией, будет опубликована только на английском языке (языке оригинала).



**Приложение I к вербальной ноте Постоянного представительства Словакии при Организации Объединенных Наций от 14 декабря 2016 года на имя Председателя Комитета**

**Обновленный доклад Словакии об осуществлении резолюции 1540 (2004) за 2016 год**

Резолюция Совета Безопасности 1540 (2004 год) является важным инструментом для борьбы с распространением оружия массового уничтожения и предотвращения его распространения среди негосударственных субъектов. Словакия приветствует единогласное принятие резолюции и безоговорочно ее поддерживает, поскольку ее положения соответствуют политике борьбы с распространением оружия массового уничтожения и средств его доставки, которой уже давно придерживается страна. В практическом плане эта политика постоянно находит себе выражение в национальном законодательстве, а также на уровне исполнительных и правоприменительных мер.

Настоящий доклад представляет собой обновленный вариант национального доклада Словакии, который был представлен в 2004 году в соответствии с пунктом 4 резолюции 1540 (2004). В нем представлена общая информация о нынешнем положении дел в том, что касается законодательных, исполнительных, правоприменительных и других мер, связанных с конкретными положениями резолюции. Неотъемлемой частью доклада является обновленная таблица, в которой говорится об осуществлении этой резолюции более подробно.

Словакия твердо привержена осуществлению резолюции 1540 (2004) и готова в полной мере сотрудничать с Комитетом.

**Приверженность осуществлению международных документов**

Как государство-правопреемник Чехословацкой Федеративной Республики Словакия со времени своего создания 1 января 1993 года была или стала стороной следующих международных документов, касающихся запрета на применение или нераспространение оружия массового уничтожения:

- a) Договора о нераспространении ядерного оружия;
- b) Конвенции о физической защите ядерного материала и Поправки 2005 года к ней;
- c) Договора об Антарктике;
- d) Договора о принципах деятельности государств по исследованию и использованию космического пространства, включая Луну и другие небесные тела;
- e) Договора о запрещении размещения на дне морей и океанов и в его недрах ядерного оружия и других видов оружия массового уничтожения;
- f) Договора о запрещении испытаний ядерного оружия в атмосфере, в космическом пространстве и под водой;

- g) Договора о всеобъемлющем запрещении ядерных испытаний;
- h) Конвенции о запрещении разработки, производства, накопления и применения химического оружия и о его уничтожении (Конвенции по химическому оружию);
- i) Конвенции о запрещении разработки, производства и накопления запасов бактериологического (биологического) и токсинного оружия и об их уничтожении;
- j) Протокола о запрещении применения на войне удушливых, ядовитых или других подобных газов и бактериологических средств.

Соглашение между Чехословакией и Международным агентством по атомной энергии (МАГАТЭ) о применении гарантий в связи с Договором о нераспространении ядерного оружия было подписано в 1972 году в целях предотвращения отклонения от мирного использования ядерной энергии и перехода к ее использованию в ядерном оружии или в других ядерных взрывных установках (см. INFCIRC/173). В 2005 году после присоединения Словакии к Соглашению между Бельгией, Данией, Германией, Ирландией, Италией, Люксембургом, Нидерландами, Европейским сообществом по атомной энергии и МАГАТЭ об осуществлении статьи III (1) и (4) Договора (и Протокола к нему) (см. INFCIRC/193), Соглашение о гарантиях МАГАТЭ и Дополнительный протокол к нему вступили в силу для Словакии.

Кроме того, Словакия участвует практически во всех режимах экспортного контроля — Австралийской группе, Вассенаарских договоренностях по экспортному контролю за обычными вооружениями, товарами и технологиями двойного назначения, Группе ядерных поставщиков и Комитете Цангера — и активно стремится стать участником Режима контроля за ракетными технологиями, руководящие принципы которого Словакия применяет в рамках своих национальных механизмов экспортного контроля. Помимо этого, Словакия подписала Гаагский кодекс поведения по предотвращению распространения баллистических ракет. Эти международные структуры и документы вносят важный вклад в дело контроля за экспортом материалов и технологий, пригодных для использования в оружии массового уничтожения и средств его доставки, в целях укрепления режима нераспространения и предотвращения приобретения террористами таких чувствительных материалов.

Словакия также присоединилась к более широкой группе государств-партнеров, которые поддерживают Инициативу по безопасности в борьбе с распространением и ее принципы. Эта инициатива направлена на то, чтобы остановить незаконный оборот оружия массового уничтожения, систем его доставки и связанных с ним материалов с передачей их тем государствам и тем государствами, а также тем негосударственным субъектам и тем негосударственными субъектами, которые вызывают обеспокоенность в плане распространения. Кроме того, Словакия является участником Глобальной инициативы по борьбе с актами ядерного терроризма, нацеленной на укрепление глобального потенциала в области предотвращения и выявления актов ядерного терроризма и принятия ответных мер в связи с ними. Словакия привержена осуществлению заявления о принципах, сделанного в рамках Глобальной инициативы, что соответствует резолюции [1540 \(2004\)](#).

### **Законодательные меры**

Словакия включила в национальное законодательство целый ряд мер, направленных на предотвращение распространения оружия массового уничтожения, включая его распространение со стороны негосударственных субъектов.

Основными национальными законодательными актами, имеющими отношение к резолюции [1540 \(2004\)](#), являются следующие: Закон № 541/2004 об использовании ядерной энергии в мирных целях (Закон об атомной энергии), Закон № 129/1998 о запрещении химического оружия (Закон о запрещении химического оружия) и Закон № 218/2007 о запрещении биологического оружия с внесенными в него поправками (Закон о запрещении биологического оружия). Эти законы дополняют Закон № 39/2011 о товарах двойного назначения и Закон № 392/2011 о торговле продукцией оборонной промышленности. В упомянутых выше законах, как и в других законах, а также в Уголовном кодексе (Закон № 300/2005) предусматривается наказание за нарушения их положений.

Самые последние события в области биологии привели к принятию Закона № 263/2015, которым регулируются условия предоставления доступа к генетическим ресурсам и получение выгод от их использования.

### **Исполнительные меры**

На уровне исполнительной власти выполнение обязательств и мер по нераспространению координируют различные учреждения, включая Министерство экономики, Министерство здравоохранения, Министерство охраны окружающей среды и Управление по ядерному регулированию.

Министерство иностранных дел и европейских дел является контактным центром по вопросам осуществления и помощи в связи с резолюцией [1540 \(2004\)](#) и координирует подготовку национального доклада Комитету.

Министерство экономики выполняет функции национального органа по смыслу Конвенции по химическому оружию и отвечает за координацию решения задач, касающихся контроля за экспортом оборонной промышленности товаров и товаров двойного назначения. Что касается режима экспортного контроля, то Министерство иностранных дел и европейских дел и Словацкая информационная служба обладают решающим влиянием (правом вето), и их позиция имеет определяющее значение при принятии решений о выдаче разрешений на экспорт.

Министерство здравоохранения вместе с его ответственным за осуществление подразделением, Региональным управлением здравоохранения в Банска-Быстрице, является национальным органом по смыслу Конвенции о запрещении разработки, производства и накопления запасов бактериологического (биологического) и токсинного оружия и об их уничтожении.

В соответствии с Законом № 263/2015 Министерство окружающей среды является национальным регулирующим органом по вопросам использования генетических ресурсов.

Управление по ядерному регулированию осуществляет государственный надзор в области ядерной безопасности ядерных установок, включая надзор за удалением радиоактивных отходов, утилизацией отработанного ядерного топлива и другими этапами топливного цикла, в области ядерных материалов, включая их инспекцию и регистрацию, а также в области физической защиты ядерных установок и ядерных материалов. Оно также является главным органом, ответственным за обеспечение выполнения обязанностей и обязательств в области ядерной и радиационной защиты и безопасности, вытекающих из международных договоров, соглашений и документов.

В порядке выполнения обязанностей национального регулирующего органа по вопросам использования генетических ресурсов Министерство окружающей среды сотрудничает с Министерством экономики и другими учреждениями, Центральным институтом контроля и испытаний в сельском хозяйстве (Министерство сельского хозяйства и развития сельских районов), Государственным институтом контроля над наркотиками (Министерство здравоохранения), Институтом государственного контроля ветеринарных и лекарственных препаратов, а также Управлением здравоохранения Словацкой Республики (Министерство здравоохранения).

### **Правоприменительные меры**

Правоприменительные меры относятся главным образом к компетенции Министерства экономики, Управления по ядерному регулированию, Министерства внутренних дел, Министерства финансов и иных правоохранительных органов.

Министерство экономики осуществляет контроль над торговлей, затрагивающей чувствительные товары. Управление по ядерному регулированию осуществляет надзор за любым перемещением ядерных материалов и связанных с ними материалов. Бюро уголовной полиции Президиума полиции, входящее в состав Министерства внутренних дел, отвечает за расследование преступлений, связанных с опасными веществами. Следственное управление, входящее в состав Министерства финансов, отвечает за практическое исполнение принципов, касающихся экспорта или транзитной перевозки подлежащих контролю товаров. В распоряжении вышеупомянутых подразделений находится соответствующая информация, представленная Словацкой информационной службой.

### **Меры, направленные на поощрение соблюдения**

Поощрение соблюдения представляет собой значительную часть выполняемой правительством информационно-разъяснительной работы с соответствующими отраслевыми предприятиями. Основная направленность осуществляемой деятельности постепенно выходит за рамки базовых форм взаимодействия между соответствующими министерствами и ведомствами, ответственными по закону за политику нераспространения и экспортный контроль, с одной стороны, и отраслевыми предприятиями, с другой, и приобретает более практический характер.

К правительственным мероприятиям, направленным на поощрение соблюдения, относятся мероприятия, проводимые на основе сотрудничества со Словацкой торгово-промышленной палатой (например, семинар по правилам и процедурам выдачи лицензий для экспортеров, организованный Министерством иностранных дел и европейских дел на основе сотрудничества с Министерством экономики в 2015 году) и специальные консультации с экспортерами по конкретным вопросам экспорта.

#### **Деятельность в рамках Европейского союза**

Со времени вступления в Европейский союз Словакия активно участвует в борьбе с распространением оружия массового уничтожения и средств его доставки, а также осуществлению стратегии Европейского союза по борьбе с распространением оружия массового уничтожения.

Словакия регулярно поддерживает принятие документов Европейского союза, касающихся осуществления этой стратегии в различных областях (ядерной, химической и биологической), включая решения Совета Европейского союза в поддержку резолюции [1540 \(2004\)](#).

#### **Оказание помощи другим государствам**

В рамках своих возможностей Словакия занимает активную позицию в отношении оказания международной помощи в области нераспространения. Основной объем деятельности и ресурсов в целях оказания помощи приходится главным образом на соответствующие международные учреждения, включая Европейский союз, МАГАТЭ (через посредство Управления по ядерному регулированию) и Организацию по запрещению химического оружия (Министерство экономики/национальное управление по осуществлению Конвенции по химическому оружию).

Словакия разделяет точку зрения Совета Безопасности, что некоторым государствам может потребоваться содействие в осуществлении положений резолюции [1540 \(2004\)](#), и готова рассмотреть любые конкретные просьбы об оказании помощи.

**Приложение II к вербальной ноте Постоянного представительства Словакии при Организации Объединенных Наций от 14 декабря 2016 года на имя Председателя Комитета**

**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	

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)
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	<p>1. EURATOM Treaty</p> <p>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</p> <p>3. Antarctic Treaty — Succession 1 January 1993</p> <p>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</p> <p>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)</p>	



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"> <li>1. Australia Group (AG)</li> <li>2. Nuclear Suppliers Group (NSG)</li> <li>3. Wassenaar Arrangement (WA)</li> <li>4. Zangger Committee (ZC)</li> <li>5. Proliferation Security Initiative (PSI)</li> <li>6. Global Initiative to Combat Nuclear Terrorism (GICNT)</li> </ol>	
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 <sup>1</sup>	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)	

<sup>1</sup> 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	<b>NW:</b>  1. NPT Succession  2. <b>Act 541/2004 on the Peaceful Use of Nuclear Energy</b> as amended (further referred as <b><u>Atomic Act</u></b> )  <b>CW:</b>  <b>Act 129/1998 on Prohibition of Chemical Weapons</b> (further referred as <b><u>CW Prohibition Act</u></b> )  <b>BW:</b>  1. BWC Succession  2. <b>Act 218/2007 on Prohibition of Biological Weapons</b> (further referred as <b><u>BW Prohibition Act</u></b> )	X	X	X	<b>NW/CW/BW:</b>  <b>Act 300/2005 Penal Code</b> as amended (further referred as <b><u>Penal Code</u></b> ), § 298, 299, 419  <b>NW:</b> Atomic Act, § 3  <b>CW:</b> CW Prohibition Act, § 41  <b>BW:</b> 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	<b>NW:</b> 1. NPT Succession 2. Atomic Act <b>CW:</b> CW Prohibition Act <b>BW:</b> 1. BWC Succession 2. BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b> Penal Code, § 298, 299, 419 <b>NW:</b> Atomic Act, § 3 <b>CW:</b> CW Prohibition Act, § 41 <b>BW:</b> BW Prohibition Act, § 23, 24	
3	Possess	X	X	X	<b>NW:</b> 1. NPT Succession 2. Atomic Act <b>CW:</b> CW Prohibition Act <b>BW:</b> 1. BWC Succession 2. BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b> Penal Code, § 298, 299, 419 <b>NW:</b> Atomic Act, § 3 <b>CW:</b> CW Prohibition Act, § 41 <b>BW:</b> BW Prohibition Act, § 23, 24	
4	Stockpile/store	X	X	X	<b>NW:</b> 1. NPT Succession 2. Atomic Act <b>CW:</b> CW Prohibition Act <b>BW:</b> 1. BWC Succession 2. BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b> Penal Code, § 298, 299, 419 <b>NW:</b> Atomic Act, § 3 <b>CW:</b> CW Prohibition Act, § 41 <b>BW:</b> 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	<b>NW:</b>  1. NPT Succession  2. Atomic Act <b>CW:</b> CW Prohibition Act <b>BW:</b>  1. BWC Succession  2. BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b>  Penal Code, § 298, 299, 419 <b>NW:</b> Atomic Act, § 3 <b>CW:</b> CW Prohibition Act, § 41 <b>BW:</b> BW Prohibition Act, § 23, 24	
6	Transport	X	X	X	<b>NW:</b>  1. NPT Succession  2. Atomic Act <b>CW:</b> CW Prohibition Act <b>BW:</b>  1. BWC Succession  2. BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b>  Penal Code, § 298, 299, 419 <b>NW:</b> Atomic Act, § 3 <b>CW:</b> CW Prohibition Act, § 41 <b>BW:</b> BW Prohibition Act, § 23, 24	
7	Transfer	X	X	X	<b>NW:</b>  1. NPT Succession  2. Atomic Act <b>CW:</b> CW Prohibition Act <b>BW:</b>  1. BWC Succession  2. BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b>  Penal Code, § 298, 299, 419 <b>NW:</b> Atomic Act, § 3 <b>CW:</b> CW Prohibition Act, § 41 <b>BW:</b> 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	<b>NW:</b> 1. NPT Succession 2. Atomic Act <b>CW:</b> CW Prohibition Act <b>BW:</b> BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b> Penal Code, § 298, 299, 419 <b>NW:</b> Atomic Act, § 3 <b>CW:</b> CW Prohibition Act, § 41 <b>BW:</b> BW Prohibition Act, § 23, 24	
9	Participate as an accomplice in above-mentioned activities	X	X	X	<b>NW/CW/BW:</b> Penal Code	X	X	X	<b>NW/CW/BW:</b> Penal Code, § 298, 299, 419	
10	Assist in above-mentioned activities	X	X	X	<b>NW/CW/BW:</b> Penal Code	X	X	X	<b>NW/CW/BW:</b> Penal Code, § 298, 299, 419	
11	Finance above-mentioned activities	X	X	X	<b>NW/CW/BW:</b> 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	<b>NW/CW/BW:</b> 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 <sup>2</sup>	X	X	X	<b>BW:</b> BW Prohibition Act, § 3 <b>Means of delivery NW, BW, CW:</b>  1. Council Regulation (EC) n. 428/2009  2. Act 39/2011 on Dual Use Items	X	X	X	<b>BW:</b> BW Prohibition Act, § 23, 24 <b>Means of delivery NW, BW, CW:</b>  Act 39/2011 on Dual Use Items, § 32, 33	
13	Involvement of non-State actors in above-mentioned activities	X	X	X	<b>NW/CW/BW:</b> Penal Code	X	X	X	<b>NW/CW/BW:</b>  Penal Code, §§ 298, 299 and 419	
14	Other									

<sup>2</sup> 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 Materials<sup>3</sup>**
**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	<b>NW:</b>  1. Atomic Act and relevant regulations of the <b>Nuclear Regulatory Authority of the Slovak Republic</b> (further referred as <b><u>NRA SR</u></b> )  2. Commission Regulation (EURATOM) 302/2005 on the application of EURATOM safeguards (Commission Regul. 302/2005/EURATOM)  3. INFCIRC/193 (accession 2005)  <b>CW:</b> CW Prohibition Act  <b>BW:</b> BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b>  Penal Code, § 298, 299, 419  <b>NW:</b>  Atomic Act and relevant regulations of the <b>Nuclear Regulatory Authority of the Slovak Republic</b> (further referred as <b><u>NRA SR</u></b> ), including the State System of Accounting for and Control of Nuclear Materials (SSAC) based on the IAEA Safeguards Agreement and the Additional Protocol  <b>CW:</b>  1. CW Prohibition Act and relevant regulations of Ministry of Economy as the National Authority for prohibition of CW  2. <b>Act 67/2010 on chemical substances and preparations</b> (further referred as <b><u>Chemical Act</u></b> )  <b>BW:</b>  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				YES				
		NW	CW	BW*		NW	CW	BW		
					If YES, source document				If YES, source document	
2	Measures to account for use	X	X	X	<b>NW:</b>  1. Atomic Act + relevant NRA SR regulations  2. Commission Regul. 302/2005/EURATOM  3. INFCIRC/193 (accession 2005)  <b>CW:</b> CW Prohibition Act  <b>BW:</b> BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b>  Penal Code, § 298, 299, 419  <b>NW:</b>  Atomic Act and relevant regulations of the NRA SR, including the SSAC  <b>CW:</b>  1. CW Prohibition Act and relevant regulations of Ministry of Economy  2. Chemical Act  <b>BW:</b>  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	<b>NW:</b>  1. Atomic Act + relevant NRA SR regulations  2. Commission Regulation 302/2005/EURATOM  3. INFCIRC/193 (accession 2005)  <b>CW:</b> CW Prohibition Act  <b>BW:</b> BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b>  Penal Code, § 298, 299, 419  <b>NW:</b>  Atomic Act + relevant NRA SR regulations concerning the storage of nuclear material, including the SSAC  <b>CW:</b>  1. CW Prohibition Act and relevant regulations of Ministry of Economy  2. Chemical Act  <b>BW:</b>  BW Prohibition Act and relevant regulations of Ministry of Health	
4	Measures to account for transport	X	X	X	<b>NW:</b>  Atomic Act + relevant NRA SR regulations  <b>CW:</b>  1. Council Directive 2008/68/EC  2. CW Prohibition Act  <b>BW:</b>  Council Directive 2008/68/EC	X	X	X	<b>NW:</b>  Atomic Act + relevant NRA SR regulations, including the SSAC  <b>CW:</b>  1. CW Prohibition Act and regulations of Ministry of Economy  2. Chemical Act  <b>BW:</b>  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			<b>NW:</b>  1. Council Directive 2003/122/ EURATOM  2. Directive 96/29/EURATOM	X			<b>NW:</b>  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		<b>NW:</b>  Atomic Act + relevant NRA SR regulations  <b>CW:</b>  1. Directive 98/24/EC 2. CW Prohibition Act 3. Chemical Act	X	X	X	<b>NW:</b>  1. Atomic Act + relevant NRA SR regulations, including the SSAC and control of high activity sealed radioactive sources (HASS)  2. Penal Code, § 298  <b>CW:</b>  1. Penal Code, § 298 2. Chemical Act  <b>BW:</b>  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	<b>NW:</b> Atomic Act + relevant NRA SR regulations <b>CW:</b> 1. Directive 98/24/EC 2. CW Prohibition Act 3. Chemical Act <b>BW:</b> 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	<b>NW:</b> 1. Atomic Act + relevant NRA SR regulations, including the SSAC and control of HASS 2. Penal Code, § 298 <b>CW:</b> 1. Penal Code, § 298 2. Chemical Act <b>BW:</b> Penal Code, § 298	
8	Measures to secure storage	X	X	X	<b>NW:</b> Atomic Act + relevant NRA SR regulations <b>CW:</b> 1. Directive 98/24/EC 2. CW Prohibition Act 3. Chemical Act <b>BW:</b> 1. Directive 2000/54/EC 2. BW Prohibition Act	X	X	X	<b>NW:</b> 1. Atomic Act + relevant NRA SR regulations, including the SSAC and control of HASS 2. Penal Code, § 298 <b>CW:</b> 1. Penal Code, § 298 2. Chemical Act <b>BW:</b> 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	<b>NW:</b>  Council Directive 2008/68/EC  <b>CW:</b>  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  <b>BW:</b>  Council Directive 2008/68/EC	X	X	X	<b>NW:</b>  1. Directive 92/3 EURATOM: prior notification of shipments  2. Route charting by NRA SR  <b>CW:</b>  1. Party to ADR and RID agreements  2. Penal Code, § 298  <b>BW:</b>  1. Party to ADR and RID agreements  2. Penal Code, § 298	
10	Other measures for securing	X	X	X	<b>NW/CW/BW:</b>  Act 355/2007 on Public Health Protection	X	X	X	<b>NW/CW/BW:</b>  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			If YES, source document	YES			If YES, source document	
		NW	CW	BW*		NW	CW	BW		
11	Regulations for physical protection of facilities/ materials/ transports	X	X	X	<b>NW:</b> Atomic Act <b>CW:</b> Act 67/2010 (Chemical Act) <b>BW:</b> BW Prohibition Act	X	X	X	<b>NW:</b> Protection system and a set of technical tools and organizational measures to prevent unauthorized use of facilities, materials, etc. <b>CW:</b> Act 67/2010 (Chemical Act), §38 <b>BW:</b> BW Prohibition Act, §23, §24	
12	Licensing/ registration of installations/ facilities/ persons/entities/use/handling of materials	X	X	X	<b>NW:</b> Atomic Act <b>CW:</b> 1. CW Prohibition Act 2. Chemical Act <b>BW:</b> 1. Directive 2000/54/EC 2. BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b> Penal Code, § 298 <b>NW:</b> Atomic Act <b>CW:</b> 1. CW Prohibition Act, § 41 2. Chemical Act, §38 <b>BW:</b> BW Prohibition Act, §23, §24	
13	Reliability check of personnel	X	X	X	<b>NW:</b> Atomic Act <b>CW:</b> CW Prohibition Act <b>BW:</b> BW Prohibition Act	X	X	X	<b>NW:</b> Atomic Act <b>CW:</b> 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.) <b>BW:</b> 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				YES				
		NW	CW	BW*		NW	CW	BW		
		If YES, source document				If YES, source document				
14	Measures to account for/ secure/ physically protect means of delivery									

<sup>3</sup> 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

<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>	
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) <a href="http://www.uvzsr.sk/en/">http://www.uvzsr.sk/en/</a>	
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	<ol style="list-style-type: none"> <li>1. Convention on Early Notification of a Nuclear Accident, in force 1993</li> <li>2. Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency, in force 1993</li> <li>3. Convention on Nuclear Safety, in force 1996</li> <li>4. Vienna Convention on Civil Liability for Nuclear Damage, in force 1995</li> <li>5. Revised Supplementary Agreement Concerning the provision of technical Assistance by the IAEA, in force 1995</li> <li>6. Agreement on the Privileges and immunities of the IAEA, in force 1993</li> <li>7. Joint Protocol Relating to the Application of the Vienna Convention and the Paris Convention, in force 1995</li> <li>8. Joint Convention on the safety of Spent Fuel Management and on the Safety of Radioactive Waste Management, 2001</li> </ol>	X	<ol style="list-style-type: none"> <li>1. Convention on Early Notification of a Nuclear Accident, in force 1993</li> <li>2. Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency, in force 1993</li> <li>3. Convention on Nuclear Safety, in force 1996</li> <li>4. Vienna Convention on Civil Liability for Nuclear Damage, in force 1995</li> <li>5. Revised Supplementary Agreement Concerning the provision of technical Assistance by the IAEA, in force 1995</li> <li>6. Agreement on the Privileges and immunities of the IAEA, in force 1993</li> <li>7. Joint Protocol Relating to the Application of the Vienna Convention and the Paris Convention, in force 1995</li> <li>8. Joint Convention on the safety of Spent Fuel Management and on the Safety of Radioactive Waste Management, 2001</li> </ol>	



<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

S/A.C.44/2016/8

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"> <li>– Central Control and Testing Institute in Agriculture/Ministry of Agriculture</li> <li>– State Institute for Medicament Control/Ministry of Health</li> <li>– Institute for State Control of Veterinary Biologicals and Medicaments</li> <li>– Public Health Authority of the Slovak Republic/Ministry of Health</li> </ul> <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				YES				
		NW	CW	BW		NW	CW	BW		
					If YES, source document				If YES, source document	
1	Border control	X	X	X	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  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			<b>NW:</b>  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			<b>NW:</b> 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	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  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				<b>NW/CW/BW:</b>  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	<b>NW/CW:</b> 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 <b>CW:</b> CW Prohibition Act <b>BW:</b> BW Prohibition Act	X	X	X	<b>NW/CW/BW:</b> 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products <b>CW:</b> 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) <b>BW:</b> 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	<b>NW/CW/BW:</b>  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  <b>CW:</b>  1. CW Prohibition Act  2. Act No. 392/2011 on trade with defence industry products	X	X	X	<b>NW/CW/BW:</b>  1. Act 39/2011 on Dual Use Items  2. Act 392/2011 on Trade with Defence Industry Products  <b>CW:</b>  CW Prohibition Act, §. 21-24	
7	Individual licensing	X	X	X	<b>NW/CW/BW:</b>  1. Council Regulation (EC) n. 428/2009 as amended  2. Act 39/2011 on Dual Use Items  <b>CW:</b>  1. CW Prohibition Act  2. Act No. 392/2011 on trade with defence industry products	X	X	X	<b>NW/CW/BW:</b>  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				YES				
		NW	CW	BW		NW	CW	BW		
					If YES, source document				If YES, source document	
8	General licensing	X	X	X	<b>NW/CW/BW:</b>  1. Council Regulation (EC) n. 428/2009 as amended  2. Act 39/2011 on Dual Use Items  <b>CW:</b>  1. CW Prohibition Act  2. Act 392/2011 on Trade with Defence Industry Products	X	X	X	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  1. Council Regulation (EC) n. 428/2009 as amended  2. Act 39/2011 on Dual Use Items	X	X	X	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  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	<b>NW:</b>  Nuclear Regulatory Authority — ÚJD  <b>CW:</b>  Ministry of Economy, Division of Trade Measures (CWC National Authority, National Authority for Export Control of Military and Dual-Use Goods)  <b>BW:</b>  BWC National Authority/ Ministry of Health	
12	Inter-agency review for licences	X	X	X	<b>NW/CW/BW:</b>  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	<b>NW:</b>  Nuclear Regulatory Authority — ÚJD  <b>CW:</b>  Ministry of Economy, Ministry of Foreign and European Affairs, Ministry of Defence, Ministry of Interior, Financial Administration/Office of Criminal Investigation, Slovak Intelligence Service  <b>BW:</b>  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	<b>NW/CW/BW:</b>  1. Council Regulation (EC) n. 428/2009 as amended  2. Act 39/2011 on Dual Use Items	X	X	X	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  1. Council Regulation (EC) n. 428/2009 as amended  2. Act 39/2011 on Dual Use Items	X	X	X	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  1. Council Regulation (EC) n. 428/2009 as amended  2. Act 39/2011 on Dual Use Items	X	X	X	<b>NW/CW/BW:</b>  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				YES				
		NW	CW	BW		NW	CW	BW		
					If YES, source document	NW	CW	BW	If YES, source document	
16	Inclusion of means of delivery	X	X	X	<b>NW/CW/BW:</b>  1. Council Regulation (EC) n. 428/2009 as amended  2. Act 39/2011 on Dual Use Items	X	X	X	<b>NW/CW/BW:</b>  Council Regulation (EC) n. 428/2009, Art. 24	
17	End-user controls	X	X	X	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  Council Regulation (EC) n. 428/2009	X	X	X	<b>NW/CW/BW:</b>  Council Regulation (EC) n. 428/2009, Art. 4, 24	
19	Intangible transfers	X	X	X	<b>NW/CW/BW:</b>  Council Regulation (EC) n. 428/2009	X	X	X	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  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  <b>CW:</b>  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	<b>NW/BW/CW:</b>  Council Regulation (EC) n. 428/2009, Art. 4, 24  <b>CW:</b> 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	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  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	<b>NW/CW/BW:</b>  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  <b>CW:</b>  1. CW Prohibition Act  2. Decree of the Government of the Slovak Republic No. 390/1997 on custom duties	X	X	X	<b>NW/CW/BW:</b>  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 (bi-lateral/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 <sup>4</sup>			

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