



Consejo de Seguridad

Distr. general
15 de diciembre de 2016
Español
Original: inglés

Comité del Consejo de Seguridad establecido en virtud de la resolución 1540 (2004)

Nota verbal de fecha 14 de diciembre de 2016 dirigida al Presidente del Comité por la Misión Permanente de Eslovaquia ante las Naciones Unidas

La Misión Permanente de la República Eslovaca ante las Naciones Unidas saluda atentamente al Presidente del Comité del Consejo de Seguridad establecido en virtud de la resolución 1540 (2004) y tiene el honor de transmitirle adjunto el informe de Eslovaquia correspondiente a 2016, que se presenta atendiendo a lo dispuesto en el párrafo 4 de la resolución 1540 (2004) (véase el anexo I), y la matriz detallada actualizada*, que se incluirá en el sitio web del Comité (véase el anexo II).

* La matriz presentada por Eslovaquia se publicará solamente en inglés, el idioma en que se presentó originalmente, según lo acordado por el Comité.



Anexo I de la nota verbal de fecha 14 de diciembre de 2016 dirigida al Presidente del Comité por la Misión Permanente de Eslovaquia ante las Naciones Unidas

Informe actualizado de Eslovaquia correspondiente a 2016 sobre la aplicación de la resolución 1540 (2004)

La resolución 1540 (2004) del Consejo de Seguridad es un instrumento importante para hacer frente al desafío que representa la proliferación de armas de destrucción en masa y para prevenir que vayan a parar a manos de agentes no estatales. Eslovaquia acogió favorablemente que la resolución se aprobara por unanimidad y que se apoyara inequívocamente su política de larga data contra la proliferación de las armas de destrucción en masa y sus sistemas vectores. En la práctica, esta política siempre se ha plasmado en la legislación nacional y se ha traducido en medidas ejecutivas y coercitivas.

El presente informe es una versión actualizada del informe que presentó Eslovaquia en 2004 de conformidad con el párrafo 4 de la resolución 1540 (2004). En él se refleja el estado actual de las medidas legislativas, ejecutivas, coercitivas y de otra índole relativas a las disposiciones de la resolución en términos generales. La matriz actualizada es una parte esencial del informe y en ella se especifica la aplicación de la resolución en forma más detallada.

Eslovaquia mantiene su firme compromiso de aplicar la resolución 1540 (2004) y de cooperar plenamente con el Comité.

Compromiso con los instrumentos internacionales

En su carácter de Estado sucesor de la República Federal Checa y Eslovaca, desde que fue creada, el 1 de enero de 1993, Eslovaquia es parte o se ha hecho parte en los siguientes instrumentos internacionales relativos a la prohibición del uso o a la no proliferación de armas de destrucción en masa:

1. Tratado sobre la No Proliferación de las Armas Nucleares;
2. Convención sobre la Protección Física de los Materiales Nucleares, y su enmienda de 2005;
3. Tratado Antártico;
4. Tratado sobre los Principios que Deben Regir las Actividades de los Estados en la Exploración y Utilización del Espacio Ultraterrestre, incluso la Luna y otros Cuerpos Celestes;
- 5- Tratado sobre Prohibición de Emplazar Armas Nucleares y Otras Armas de Destrucción en Masa en los Fondos Marinos y Oceánicos y su Subsuelo;
6. Tratado por el que se Prohíben los Ensayos con Armas Nucleares en la Atmósfera, el Espacio Ultraterrestre y Debajo del Agua;
7. Tratado de Prohibición Completa de los Ensayos Nucleares;

8. Convención sobre la Prohibición del Desarrollo, la Producción, el Almacenamiento y el Empleo de Armas Químicas y sobre su Destrucción (Convención sobre las Armas Químicas);
9. Convención sobre la Prohibición del Desarrollo, la Producción y el Almacenamiento de Armas Bacteriológicas (Biológicas) y Tóxicas y sobre su Destrucción;
10. Protocolo relativo a la Prohibición del Empleo en la Guerra de Gases Asfixiantes, Tóxicos o Similares y de Medios Bacteriológicos.

Con el fin de prevenir que la energía nuclear se desviara de los usos pacíficos a las armas nucleares u otras instalaciones nucleares explosivas, en 1972 Checoslovaquia y el Organismo Internacional de Energía Atómica (OIEA) firmaron el Acuerdo para la Aplicación de Salvaguardias en relación con el Tratado sobre la No Proliferación de las Armas Nucleares (véase INFCIRC/173). En 2005, tras la adhesión de Eslovaquia al acuerdo entre Alemania, Bélgica, Dinamarca, Irlanda, Italia, Luxemburgo, los Países Bajos, la Comunidad Europea de la Energía Atómica y el OIEA en ejecución de lo dispuesto en los párrafos 1 y 4 del artículo III del Tratado (y su Protocolo) (véase INFCIRC/193), entraron en vigor en Eslovaquia el acuerdo de salvaguardias del OIEA y su protocolo adicional.

Eslovaquia también es miembro de casi todos los regímenes de control de las exportaciones —el Grupo de Australia, el Acuerdo de Wassenaar de Controles de la Exportación de Armas Convencionales y Mercancías y Tecnologías de Doble Empleo, el Grupo de Suministradores Nucleares y el Comité Zangger—, y está tratando activamente de incorporarse al Régimen de Control de la Tecnología de Misiles, cuyas directrices aplica como parte de sus controles nacionales de las exportaciones. Asimismo, Eslovaquia ha suscrito el Código Internacional de Conducta contra la Proliferación de los Misiles Balísticos. Estas estructuras internacionales hacen una contribución importante al control de las exportaciones de materiales y tecnologías que se puedan emplear en armas de destrucción en masa y sus sistemas vectores, con el objetivo de fortalecer el régimen de no proliferación e impedir que los terroristas adquieran esos materiales sensibles.

Eslovaquia también se ha sumado a un grupo más amplio de Estados asociados que apoyan la Iniciativa de Seguridad contra la Proliferación y sus principios. La Iniciativa tiene por objeto detener el tráfico de armas de destrucción en masa, sus sistemas vectores y los materiales conexos a y desde Estados y agentes no estatales implicados en actividades de proliferación. Eslovaquia participa igualmente en la Iniciativa Mundial de Lucha contra el Terrorismo Nuclear con el fin de fortalecer la capacidad mundial de prevenir y detectar el terrorismo nuclear y responder a él. Asimismo, está resuelta a aplicar la declaración de principios de la Iniciativa Mundial, que es compatible con la resolución 1540 (2004).

Medidas legislativas

Eslovaquia ha introducido en la legislación nacional una amplia gama de medidas destinadas a prevenir la proliferación de armas de destrucción en masa, incluida la proliferación generada por agentes no estatales.

Los principales documentos legislativos nacionales pertinentes para la resolución 1540 (2004) son los siguientes: la Ley 541/2004, relativa al uso pacífico de la energía nuclear (Ley de la Energía Atómica), la Ley 129/1998, relativa a la prohibición de las armas químicas (Ley de Prohibición de las Armas Químicas), y la Ley 218/2007, relativa a la prohibición de las armas biológicas, en su forma enmendada (Ley de Prohibición de las Armas Biológicas). Esta legislación se complementa con la Ley 39/2011, relativa a los artículos de doble uso, y la Ley 392/2011, relativa al comercio de productos de la industria de la defensa. En esas leyes, entre otras, así como en el Código Penal (Ley 300/2005), se establecen sanciones para el incumplimiento de sus disposiciones.

Las novedades más recientes en el ámbito de la biología condujeron a la aprobación de la Ley 263/2015, referente a las condiciones de acceso a los recursos genéticos y la utilización de los beneficios resultantes.

Medidas ejecutivas

A nivel ejecutivo, diversas instituciones coordinan el cumplimiento de los compromisos y la ejecución de las medidas de no proliferación; dichas instituciones incluyen el Ministerio de Economía, el Ministerio de Salud, el Ministerio de Medio Ambiente y el Organismo Regulador de las Actividades Nucleares.

El Ministerio de Relaciones Exteriores y Asuntos Europeos es el punto de contacto respecto de la aplicación y la asistencia relacionadas con la resolución 1540 (2004) y coordina la preparación del informe nacional que se presenta al Comité.

El Ministerio de Economía desempeña la función de organismo nacional encargado de la Convención sobre las Armas Químicas y se ocupa de coordinar las tareas relacionadas con el control de las exportaciones de productos de la industria de la defensa y de doble uso. En lo concerniente al régimen de control de las exportaciones, el Ministerio de Relaciones Exteriores y Asuntos Europeos y el Servicio de Información Eslovaco tienen una influencia decisiva (derecho de veto) y sus posiciones son vinculantes a la hora de adoptar decisiones sobre la concesión de licencias de exportación.

El Ministerio de Salud, junto con su filial, la Dirección Regional de Salud Pública de Banská Bystrica, es la autoridad nacional competente respecto de la Convención sobre la Prohibición del Desarrollo, la Producción y el Almacenamiento de Armas Bacteriológicas (Biológicas) y Toxínicas y sobre su Destrucción.

De conformidad con la Ley 263/2015, el Ministerio de Medio Ambiente es el organismo regulador nacional encargado de la utilización de los recursos genéticos.

El Organismo Regulador de las Actividades Nucleares ejerce la supervisión estatal sobre la seguridad de las instalaciones nucleares, incluida la gestión de los desechos radiactivos, la gestión del combustible gastado y otras etapas del ciclo del combustible, sobre los materiales nucleares, incluida su inspección y registro, y sobre la protección física de las instalaciones y los materiales nucleares. Es el principal órgano encargado de asegurar el cumplimiento de los deberes relacionados con la seguridad nuclear que se derivan de obligaciones, acuerdos y compromisos internacionales.

En el ejercicio de las responsabilidades que le incumben como organismo regulador nacional en el ámbito de la utilización de los recursos genéticos, el Ministerio de Medio Ambiente colabora con el Ministerio de Economía y otros organismos, el Instituto de Control Central y Pruebas en la Agricultura (Ministerio de Agricultura y Desarrollo Rural), el Instituto Estatal de Control de Drogas (Ministerio de Salud), el Instituto de Control Estatal de los Productos Biológicos y Medicamentos Veterinarios, y el Organismo de Salud Pública de la República Eslovaca (Ministerio de Salud).

Medidas coercitivas

Las medidas coercitivas son principalmente competencia del Ministerio de Economía, el Organismo Regulador de las Actividades Nucleares, el Ministerio del Interior, el Ministerio de Finanzas y otros organismos encargados de hacer cumplir la ley.

El Ministerio de Economía controla el comercio de mercancías sensibles. El Organismo Regulador de las Actividades Nucleares supervisa la circulación de materiales nucleares y artículos conexos. En el Ministerio del Interior, la Oficina de Policía Criminal del Presídium de Policía se encarga de investigar las actividades delictivas relacionadas con las sustancias peligrosas. En el Ministerio de Finanzas, la Oficina de Investigación Penal se ocupa de la aplicación práctica de los principios relativos a la exportación o el tránsito de bienes controlados. Esos departamentos tienen a su disposición la información pertinente proporcionada por el Servicio de Información Eslovaco.

Medidas de promoción del cumplimiento

Una gran parte de las actividades gubernamentales de divulgación para el sector va destinada a promover el cumplimiento. El principal objetivo de esas actividades se está ampliando gradualmente para ir más allá de las formas básicas de interacción entre los ministerios y organismos legalmente responsables de la política de no proliferación y control de las exportaciones y el sector para abarcar medidas que responden a un enfoque más orientado a la acción.

Entre las actividades emprendidas por el Gobierno con el fin de alentar el cumplimiento figuran las de cooperación con la Cámara de Comercio e Industria de Eslovaquia (por ejemplo, un seminario sobre políticas y procedimientos de concesión de licencias para los exportadores, organizado por el Ministerio de Relaciones Exteriores y Asuntos Europeos en cooperación con el Ministerio de Economía en 2015) y las consultas especiales con los exportadores sobre determinadas cuestiones de su interés.

Actividades en el marco de la Unión Europea

Desde que ingresó en la Unión Europea, Eslovaquia trabaja para contribuir activamente a la labor contra la proliferación de armas de destrucción en masa y sus sistemas vectores y a la aplicación de la estrategia de la Unión Europea contra la proliferación de armas de destrucción en masa.

Eslovaquia ha apoyado sistemáticamente los documentos de la Unión Europea relativos a la aplicación de esa estrategia en diversas esferas (nuclear, química y biológica), incluidas las decisiones del Consejo de la Unión Europea en apoyo de la resolución 1540 (2004).

Asistencia a otros Estados

En la medida de sus posibilidades, Eslovaquia ha adoptado una posición activa respecto de la cuestión de la asistencia internacional en la esfera de la no proliferación. La mayor parte de las actividades y recursos de asistencia se ha canalizado a través de las instituciones internacionales pertinentes, entre ellas la Unión Europea, el OIEA (por conducto del Organismo Regulador de las Actividades Nucleares) y la Organización para la Prohibición de las Armas Químicas (el Ministerio de Economía/organismo nacional encargado de la Convención sobre las Armas Químicas).

Eslovaquia comparte la opinión del Consejo de Seguridad en el sentido de que algunos Estados pueden necesitar asistencia para aplicar las disposiciones de la resolución 1540 (2004) y está dispuesta a examinar toda solicitud concreta de asistencia.

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

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)
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	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	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			If YES, source document	YES			If YES, source document	
		NW	CW	BW*		NW	CW	BW		
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			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	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				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									

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	

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	
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

<i>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?</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 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	Directive 2001/18/EC of the European Parliament and of the Council on the deliberate release into the environment 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 Directive 2009/41/EC of the European Parliament and of the Council on the contained use of genetically modified micro-organisms Act 151/2002 on use of genetic technologies and genetically modified organisms, as amended Act 263/2015 on terms and conditions for access to genetic resources and utilizing benefits resulting from their use	X	Act 151/2002 on use of genetic technologies and genetically modified organisms, as amended 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.: – 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 Act No. 300/2005 Penal Code, § 161, §309	

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.