

# Preparatory Committee for the 2020 Review Conference of the Parties to the Treaty on the Non-Proliferation of Nuclear Weapons

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**First session**

Vienna, 2-12 May 2017

## Transparency by all States parties to the Treaty on the Non-Proliferation of Nuclear Weapons

### Joint working paper submitted by the members of the Non-Proliferation and Disarmament Initiative (Australia, Canada, Chile, Germany, Japan, Mexico, Nigeria, Netherlands, Philippines, Poland, Turkey and United Arab Emirates)

1. As recognized in the 13 practical steps for systematic and progressive efforts to implement article VI of the Treaty on the Non-Proliferation of Nuclear Weapons agreed at the 2000 Review Conference of the Parties to the Treaty on the Non-Proliferation of Nuclear Weapons, as well as in the action plan agreed at the 2010 Review Conference, increased transparency is essential to further progress in nuclear disarmament.
2. With regard to the action plan of the 2010 Review Conference, action 5 states that:

The nuclear-weapon States commit to accelerate concrete progress on the steps leading to nuclear disarmament, contained in the Final Document of the 2000 Review Conference, in a way that promotes international stability, peace and undiminished and increased security. To that end, they are called upon to promptly engage with a view to, inter alia...further enhance transparency and increase mutual confidence.
3. Action 20 states that:

States parties should submit regular reports, within the framework of the strengthened review process for the Treaty, on the implementation of the present action plan, as well as of article VI, paragraph 4 (c), of the 1995 decision entitled 'Principles and objectives for nuclear non-proliferation and disarmament', and the practical steps agreed to in the Final Document of the 2000 Review Conference, and recalling the advisory opinion of the International Court of Justice of 8 July 1996.
4. In addition, action 21 notes that:

As a confidence-building measure, all the nuclear-weapon States are encouraged to agree as soon as possible on a standard reporting form and to



determine appropriate reporting intervals for the purpose of voluntarily providing standard information without prejudice to national security. The Secretary-General of the United Nations is invited to establish a publicly accessible repository, which shall include the information provided by the nuclear-weapon States.

5. As a part of its efforts to promote the implementation of the action plan of the 2010 Review Conference, the Non-Proliferation and Disarmament Initiative submitted working papers on the subject of transparency to the 2012 and 2014 Preparatory Committee meetings and to the 2015 Review Conference.

6. The Non-Proliferation and Disarmament Initiative's working paper of 2012 ([NPT/CONF.2015/PC.I/WP.12](#)) included a draft standard nuclear disarmament reporting form with specific items on which the Non-Proliferation Treaty nuclear-weapon States could provide information, including: the quantity, types and status of nuclear warheads and their delivery systems; the quantity of fissile material produced for military purposes in the past, as well as in the present; and the measures taken to diminish the role and significance of nuclear weapons in military and security concepts, doctrines and policies. The aim of this proposal was to provide the nuclear-weapon States with a template to use in implementing actions 5 and 21.

7. The Non-Proliferation and Disarmament Initiative's working paper of 2014 ([NPT/CONF.2015/PC.III/WP.10](#)) made a number of recommendations to the 2015 Review Conference, including the reiteration of the three principles of disarmament-transparency, verification and irreversibility; calling on the nuclear-weapon States to fulfil their commitments under actions 5 and 21 by agreeing on a standard reporting form; calling on the nuclear-weapon States to submit annual reports using an agreed standard reporting form; and calling on all non-nuclear-weapon States to also submit regular reports on the fulfilment of their Treaty commitments and obligations.

8. Following up on the latter recommendation in its joint working paper of 2014, the Non-Proliferation and Disarmament Initiative submitted to the 2015 Review Conference a reporting template for non-nuclear-weapon States parties to the Treaty with its working paper on transparency ([NPT/CONF.2015/WP.17](#)). This reporting template aimed to provide a concise and user-friendly model which non-nuclear-weapon States parties to the Treaty could use to fulfil their action 20 commitment to report on their implementation of the action plan of 2010. The reporting template includes a number of suggested elements under each action plan item, if applicable.

9. Building upon its previous working papers, the Non-Proliferation and Disarmament Initiative submits with the present working paper a new reporting template that can be used by all States parties to provide information about how they have implemented their Treaty commitments, particularly the action plan of 2010 (see annex).

10. We encourage all States parties to make use of this reporting template throughout the 2020 Treaty review cycle, with a view to increasing the quality, quantity and consistency of transparency by all States parties. We also encourage the United Nations Office for Disarmament Affairs to establish a publicly accessible repository for annual reports.

11. We also remind the nuclear-weapon States of their commitments contained in the action plan of 2010, and further encourage the regular submission of transparency reports by these States during the 2020 review cycle.

## Annex

### **Report by [country] on the implementation of the action plan agreed at the 2010 Review Conference of the Treaty on the Non-Proliferation of Nuclear Weapons**

Action 20 of the action plan contained in the Final Document of the 2010 Review Conference of the Parties to the Treaty on the Non-Proliferation of Nuclear Weapons calls on States parties to submit regular reports on their implementation of the plan, as well as of the 13 practical steps towards disarmament contained in the Final Document of the 2000 Review Conference, and of article VI, paragraph 4 (c), of the 1995 Review and Extension Conference decision entitled “Principles and objectives for nuclear non-proliferation and disarmament”. Action 21 of the action plan states that, as a confidence-building measure, all nuclear-weapon States are encouraged to agree as soon as possible on a standard reporting form and to determine appropriate reporting intervals for the purpose of voluntarily providing standard information without prejudice to national security. [country] submits this report in accordance with these commitments.

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*Action number    Examples of information to include (if applicable)*

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#### **Nuclear disarmament**

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|-------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1     | <p>Summary of national policy on nuclear disarmament, including any relevant initiatives and actions which serve to illustrate the policy.</p> <p>Membership in regional/multilateral groups that promote nuclear disarmament.</p>                                                                                                                                                                                                                                                                                          |
| 2     | <p>National policy on irreversibility, verifiability and transparency, including any relevant initiatives and actions which serve to illustrate the policy.</p> <p>Support for relevant General Assembly resolutions that support irreversibility, verifiability and transparency.</p>                                                                                                                                                                                                                                      |
| 3     | <p>(Applicable only to nuclear-weapon States)</p> <p>Summary of unilateral, bilateral, regional and multilateral measures to reduce national stockpiles of nuclear weapons.</p>                                                                                                                                                                                                                                                                                                                                             |
| 4     | <p>(Applicable only to nuclear-weapon States)</p> <p>Current information on aggregate numbers of deployed nuclear warheads and delivery vehicles in accordance with the most recent reporting through the new Strategic Arms Reduction Treaty (New START).</p> <p>Summary of recent inspections of facilities through New START.</p> <p>Summary of any meetings of the Bilateral Consultative Commission established by New START.</p> <p>Summary of bilateral meetings to discuss future nuclear reduction agreements.</p> |
| 5 (a) | <p>(Applicable only to nuclear-weapon States)</p> <p>Information on the overall reductions in the national stockpile of all types of nuclear weapons during the five review cycles since the Non-Proliferation Treaty was indefinitely extended: 1995-2000, 2000-2005, 2005-2010, 2010-2015 and 2015-present.</p>                                                                                                                                                                                                           |

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*Action number*    *Examples of information to include (if applicable)*

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5 (b)            (Applicable only to nuclear-weapon States)

Information on the current stockpile of all types of nuclear warheads and their delivery vehicles, including deployed and non-deployed, strategic and non-strategic, and those awaiting dismantlement, as well as their locations.

Information should be provided in the following categories for both nuclear warheads and their delivery vehicles: (i) total number, including those awaiting dismantlement; and (ii) number in stockpile (deployed strategic and non-strategic, non-deployed strategic and non-strategic), excluding those awaiting dismantlement. In addition, for delivery vehicles of nuclear warheads: number of delivery vehicles by type (missiles, aircraft, submarines, artillery, others) for item (ii) above.

Information on current stockpiles of fissile material for nuclear weapons.

Information should be provided in the following categories: (i) aggregate amount of plutonium produced for national security purposes/nuclear weapons purposes (in metric tons); (ii) aggregate amount of highly enriched uranium produced for national security purposes/nuclear weapons purposes (in metric tons); and (iii) amount of fissile material declared excess for national security purposes/nuclear weapons (in metric tons).

*Note:* Nuclear weapons purposes are a subcategory of national security purposes, which includes military purposes other than nuclear weapons, such as for naval fuel.

5 (c)            (Applicable only to nuclear-weapon States)

Measures taken, or in the process of being taken, to diminish the role and significance of nuclear weapons in military and security concepts, doctrines and policies.

Information on the scope and focus of policy reviews, either scheduled, under way or completed, relating to nuclear weapon stockpiles, nuclear doctrine or nuclear posture.

5 (d)            (Applicable only to nuclear-weapon States)

Summary of discussions on policies that could prevent the use of nuclear weapons and eventually lead to their elimination, lessen the danger of nuclear war and contribute to the non-proliferation and disarmament of nuclear weapons.

5 (e)            (Applicable only to nuclear-weapon States)

Measures taken, or in the process of being taken, to reduce the operational readiness of the reporting State's nuclear arsenal.

Summary of efforts to engage non-nuclear-weapon States parties to the Treaty on reducing the operational status of nuclear weapons.

5 (f)            (Applicable only to nuclear-weapon States)

Measures taken, or in the process of being taken, to reduce the risk of accidental use of nuclear weapons.

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*Action number*    *Examples of information to include (if applicable)*

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- 5 (g)            (Applicable only to nuclear-weapon States)
- Summary of any unilateral, bilateral, regional or multilateral confidence- and security-building measures to enhance transparency and increase mutual confidence, as well as those measures put in place with regard to nuclear weapons.
- 6                Support for the establishment of a subsidiary body in the Conference on Disarmament to deal with nuclear disarmament, including through support for relevant draft programmes of work of the Conference, Non-Proliferation Treaty working papers and/or General Assembly resolutions.
- Participation in any working groups on nuclear disarmament.
- 7                Support for the establishment of a subsidiary body in the Conference on Disarmament to discuss effective international arrangements to assure non-nuclear-weapon States against the use or threat of use of nuclear weapons, including through support for relevant draft programmes of work of the Conference, Non-Proliferation Treaty working papers and/or General Assembly resolutions.
- 8                (Applicable only to nuclear-weapon States)
- Description of unilateral, bilateral, regional and multilateral security assurances provided to non-nuclear-weapon States parties to the Treaty against the use or threat of use of nuclear weapons.
- 9                (For all States)
- National efforts to support the establishment of nuclear-weapon-free zone treaties.
- Support for relevant General Assembly resolutions and/or Non-Proliferation Treaty working papers that support the establishment of nuclear-weapon-free zones.
- Name of nuclear-weapon-free zone treaty to which your country is party.
- (For nuclear-weapon States)
- Summary of efforts (including current status and future prospects) to ratify the relevant protocols of nuclear-weapon-free zone treaties or to review any related reservations on the ratification of such protocols.
- Current status of consultations and cooperation on entry into force of the relevant protocols of nuclear-weapon-free zones.
- 10              (Applicable only to nuclear-weapon States)
- Current status of signature and ratification (including dates of signature and ratification) of the Comprehensive Nuclear-Test-Ban Treaty and summary of efforts to complete the ratification of that Treaty (if applicable).
- Summary of efforts to encourage Annex 2 States to sign and ratify the Comprehensive Nuclear-Test-Ban Treaty.
- 11              Date of signature and ratification of the Comprehensive Nuclear-Test-Ban Treaty.
- Current status of the reporting State's policy on the moratorium on nuclear weapon test explosions.

<i>Action number</i>	<i>Examples of information to include (if applicable)</i>
12	<p>Confirmation that commitment was met to report at the Conference on Facilitating the Entry into Force of the Comprehensive Nuclear-Test-Ban Treaty (Article XIV Conference) held in 2011 on progress made towards the urgent entry into force of that Treaty.</p> <p>Summary of reports made at the subsequent Article XIV Conferences on progress made towards the entry into force of that Treaty.</p>
13	<p>Activities to promote the early entry into force of the Comprehensive Nuclear-Test-Ban Treaty at the national, regional and global levels, in particular a summary of efforts to encourage all States that have yet to do so to sign and ratify the Treaty (e.g., positions on General Assembly resolutions; participation in Article XIV Conferences or Comprehensive Nuclear-Test-Ban Treaty ministerial meetings; participation in Non-Proliferation Treaty working papers and/or national, regional, multilateral activities).</p> <p>Summary of national efforts to fully implement the Comprehensive Nuclear-Test-Ban Treaty (e.g., national legislation or policies).</p> <p>List any nationals who participate in the Comprehensive Nuclear-Test-Ban Treaty Group of Eminent Persons.</p>
14	<p>Summary of national efforts to construct, complete and/or certify International Monitoring System stations.</p> <p>Summary of national efforts to help the Comprehensive Nuclear-Test-Ban Treaty Organization strengthen its verification regime (e.g., workshops, seminars, training, exercises, voluntary funding contributions and/or in-kind contributions).</p> <p>Summary of national efforts to help develop the Comprehensive Nuclear-Test-Ban Treaty Organization's on-site inspection capabilities.</p>
15	<p>Support for launching negotiations on a treaty to ban the production of fissile materials for nuclear weapons or other nuclear explosive devices, including through support for relevant draft programmes of work of the Conference on Disarmament, General Assembly resolutions and/or Non-Proliferation Treaty working papers.</p> <p>Summary of contributions to the Group of Governmental Experts on the subject.</p> <p>Summary of contributions to the High-level Fissile Material Cut-Off Treaty Expert Preparatory Group.</p>
16	<p>(Applicable only to nuclear-weapon States)</p> <p>Information on any current status and future plans, such as amount and time frame to: (i) declare to the International Atomic Energy Agency (IAEA) any fissile material designated as no longer required for military purposes; (ii) place such material under IAEA or other relevant international verification; and/or (iii) arrange for the disposition of such material.</p>
17	<p>(Applicable only to nuclear-weapon States)</p> <p>Information on the status of the development of appropriate legally binding verification arrangements to ensure the irreversible removal of excess fissile material.</p>

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*Action number*    *Examples of information to include (if applicable)*

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- Proposals and/or statements made in support of the development of appropriate legally binding verification arrangements to ensure the irreversible removal of excess fissile material from military stockpiles by nuclear-weapon States.
- 18            (Applicable only to nuclear-weapon States)
- Information on any current or future plans to dismantle, or convert to peaceful uses, facilities that produce fissile material for nuclear weapons purposes.
- Confirmation that domestic nuclear facilities do not produce fissile material for use in nuclear weapons or other nuclear explosive devices.
- 19            Any cooperation among governments, the United Nations and civil society aimed at increasing confidence, improving transparency and developing efficient verification capabilities related to nuclear disarmament.
- Summary of national, regional and international efforts to promote greater transparency, confidence and efficiency in the verification of nuclear disarmament.
- 20            Year and official document symbol of all regular reports on the implementation of article VI, paragraph 4 (c), of the 1995 decision entitled “Principles and objectives for nuclear non-proliferation and disarmament” and the practical steps agreed to in the Final Document of the 2000 Review Conference.
- 21            (For nuclear-weapon States)
- Any agreed standard reporting form and determined reporting intervals.
- Summary of efforts to agree on a standard reporting form and to determine appropriate reporting intervals for the purpose of voluntarily providing standard information without prejudice to national security.
- (For non-nuclear-weapon States)
- Summary of efforts to encourage the nuclear-weapon States to agree on a standard reporting form and to determine an appropriate reporting interval.
- 22            Summary of efforts to promote nuclear disarmament and non-proliferation education (e.g., contributions to the report of the Secretary-General, adding the subject to school curriculums, seminars, conferences, exhibitions, partnerships with civil society, public events, social media events, contests).
- Nuclear non-proliferation**
- 23            Summary of efforts to promote universal adherence to the Non-Proliferation Treaty.
- 24            Summary of safeguards agreements concluded with IAEA, such as a comprehensive safeguards agreement, Additional Protocol and/or Modified Small Quantities Protocol.
- 25            Summary of efforts to conclude a comprehensive safeguards agreement, or to facilitate and encourage others to do so.
- 26            Summary of national efforts to comply with non-proliferation obligations.
- Examples of initiatives, including through Non-Proliferation Treaty working papers, that promote high international standards of compliance.

<i>Action number</i>	<i>Examples of information to include (if applicable)</i>
	Summary of IAEA conclusions about the non-diversion of declared nuclear material from peaceful nuclear activities and the absence of undeclared nuclear material and activities.
27	Summary of national steps taken to address cases of non-compliance with Non-Proliferation Treaty non-proliferation obligations, including the implementation of sanctions regimes imposed by the Security Council or statements in relevant international forums, such as the IAEA General Conference or Board of Governors.
28	Date of signature and entry into force of an Additional Protocol agreement with IAEA.  Summary of efforts to implement the Additional Protocol or to encourage and facilitate others to do so.
29	Summary of national, regional and/or multilateral efforts to promote or assist other States in concluding or implementing a comprehensive safeguards agreement
30	Summary of support for efforts to apply safeguards more widely in nuclear-weapon States (e.g., Non-Proliferation Treaty working papers)
31	Efforts to amend or rescind an existing Small Quantities Protocol.
32	Summary of efforts to review and evaluate IAEA safeguards, including efforts to support decisions to increase the effectiveness and efficiency of IAEA safeguards.
33	Summary of status of payment of assessed contributions to IAEA.  Summary of extrabudgetary, voluntary and/or in-kind contributions to IAEA.
34	Summary of contributions to the development of an international technology base to help improve IAEA safeguards.
35	Summary of efforts in export control regimes (e.g., the Nuclear Suppliers Group, the Zangger Committee, the Wassenaar Arrangement), Security Council resolution <a href="#">1540 (2004)</a> and its reporting mechanism and other arrangements (e.g., domestic legislation or bilateral agreements) that help to ensure nuclear-related exports do not lead to proliferation.
36	Summary of the implementation of nuclear export control lists in domestic export control legislation and/or regulations.
37	Summary of efforts to show that the safeguards and compliance record of a recipient State is taken into account in making nuclear export decisions.
38	Support for the legitimate right of States to peaceful uses of nuclear energy, such as by providing a list of States with which nuclear cooperation agreements have been completed.
39	Summary of key policy criteria considered when determining whether or not to engage in nuclear cooperation with a State.
40	Summary of efforts to strengthen the physical protection of nuclear facilities, particularly by the national regulatory agency  Summary of efforts undertaken to implement commitments made in the Nuclear Security Summit process.



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*Action number*    *Examples of information to include (if applicable)*

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- 41            Summary of efforts to apply the IAEA INFCIRC/225/Rev.4 (Corrected).  
 Timeline for any planned national reviews of physical protection policies and practices or any reviews that have been accomplished.
- 42            Summary of progress in signing, ratifying and implementing the Convention on the Physical Protection of Nuclear Material and its 2005 Amendment.  
 Summary of efforts to promote the ratification and implementation of the Convention and its 2005 Amendment
- 43            Summary of steps taken to implement the principles of the revised IAEA Code of Conduct on the Safety and Security of Radioactive Sources.  
 Summary of steps taken to implement the Guidance on the Import and Export of Radioactive Sources.
- 44            Summary of efforts to strengthen national capabilities against the illicit trafficking of nuclear material.  
 Summary of efforts to provide assistance to other States to strengthen national capabilities against the illicit trafficking of nuclear material (e.g., commitments made in the context of the Nuclear Security Summit process, the Global Partnership against the Spread of Weapons and Materials of Mass Destruction).  
 Information about participation in the Proliferation Security Initiative.  
 Information about participation in the Global Initiative to Combat Nuclear Terrorism.  
 Summary of any reports provided in accordance with Security Council resolution [1540 \(2004\)](#).  
 Status of participation in the IAEA Illicit Trafficking Database.  
 Status of participation in the nuclear security activities of the International Criminal Police Organization (INTERPOL).
- 45            Summary of progress in signing, ratifying and implementing the International Convention on the Suppression of Acts of Nuclear Terrorism.
- 46            Summary of activities to strengthen national regulatory controls of nuclear material, including establishing and maintaining a State System of Accounting for and Control of Nuclear Material, as well as any regional-level systems.  
 Summary of cooperation with IAEA on accounting and control of nuclear materials.  
 Summary of support for IAEA programmes relevant to these actions, including the nuclear security relevant work of the IAEA nuclear safety and security programme.
- Peaceful uses of nuclear energy**
- 47            Summary of the types of peaceful uses of nuclear energy being pursued nationally (e.g., power generation, mining, medical, agricultural).
- 48            Summary of national policy on nuclear cooperation, including legislation on export controls.

<i>Action number</i>	<i>Examples of information to include (if applicable)</i>
49	Summary of national, bilateral, regional and/or multilateral efforts to further the development and application of nuclear technologies to areas that will help to meet the needs of developing countries.
50	Summary of international efforts to assist developing countries, identifying those activities which are undertaken through the IAEA Technical Cooperation Programme.
51	List of the total number of countries with which nuclear cooperation agreements are in effect (see actions 37 and 38).  List of the total number of nuclear cooperation agreements awaiting implementation.
52	Summary of efforts to enhance the effectiveness and efficiency of the IAEA Technical Cooperation Programme, such as by advocating for accountability and transparency in the operation of the Programme, supporting the implementation of recommendations made by the Agency's Office of Internal Oversight Services, etc.
53	Summary of efforts in the IAEA Board of Governor's Technical Assistance and Cooperation Committee.  Summary of efforts to strengthen the IAEA Technical Cooperation Programme, including through any voluntary financial or in-kind contributions.
54	Rate of attainment on assessed voluntary contributions to the Technical Cooperation Fund.
55	Summary of any voluntary contributions to the IAEA Peaceful Uses Initiative or other extrabudgetary contributions to IAEA.
56	Summary of national, bilateral and international efforts with regard to capacity-building and human resource development on peaceful uses of nuclear energy.
57	Title and date of key national legislation on peaceful uses of nuclear energy.
58	Summary of efforts to develop multilateral approaches to the nuclear fuel cycle.
59	Status vis-à-vis the Convention on Nuclear Safety, the Convention on Early Notification of a Nuclear Accident, the Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency and the Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management.  Status vis-à-vis the International Convention on the Suppression of Acts of Nuclear Terrorism and the Convention on the Physical Protection of Nuclear Material and its 2005 Amendment could be reiterated (see actions 42 and 45).
60	Summarize how international best practices on nuclear safety and security have been implemented nationally.  Summarize any contributions to the IAEA Safety Standards Series, the IAEA Nuclear Security Series and review meetings of the Convention on Nuclear Safety and the Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management.  Summarize any participation in or contributions to workshops to share best practices, including with the nuclear industry, private sector and non-governmental organizations such as the World Institute for Nuclear Security.

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<i>Action number</i>	<i>Examples of information to include (if applicable)</i>
61	<p>Summarize any national efforts to reduce the use of highly enriched uranium in civilian nuclear programmes and/or convert nuclear facilities to low-enriched uranium.</p> <p>Summarize any international assistance provided to other States to reduce the use of highly enriched uranium in civilian nuclear programmes.</p>
62	<p>Summarize national regulations on the transport of radioactive materials, noting in particular the implementation of the IAEA updated standards on transport regulations (No. SSR-6, 2012).</p>
63	<p>List the date of signature and ratification of the Convention on Supplementary Compensation for Nuclear Damage, the Vienna Convention on Civil Liability for Nuclear Damage and/or the Paris Convention on Third-Party Liability in the Field of Nuclear Energy.</p> <p>List the title and date of adoption of any national legislation on nuclear liability.</p>
64	<p>Summarize national position and efforts taken to prohibit [and prevent] armed attacks on or threats against nuclear facilities devoted to peaceful purposes during their operation or while under construction.</p>

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