

Security Council Committee established pursuant to resolution 1718 (2006)

Updated on 22 October 2013
(Originally issued on 21 January 2011)

Implementation Assistance Notice No. 2: Guidelines on the Preparation and Submission of National Implementation Reports

The Committee established pursuant to resolution 1718 (2006) believes the information below may assist States in preparing and submitting reports to the Committee on measures they have taken to implement certain provisions in resolutions 1718 (2006), 1874 (2009), 2087 (2013) and 2094 (2013).

1. Paragraph 25 of resolution 2094 (2013) calls upon all States to report to the Security Council within ninety days of the adoption of the resolution, and thereafter upon request by the Committee, on concrete measures they have taken in order to implement effectively the provisions of the resolution. In addition, resolution 2087 (2013) called upon Member States which had not yet done so to report on the measures they had taken to implement the provisions of resolutions 1718 (2006) and 1874 (2009) and encouraged other Member States to submit any additional information on implementing the provisions of resolutions 1718 (2006) and 1874 (2009).
2. The Committee encourages all States to prepare and submit these national implementation reports promptly in accordance with the above resolutions. These reports play an important role in helping the Committee and its Panel of Experts facilitate States' efforts to implement their obligations.
3. Recognizing that preparing these reports may be burdensome for some States, and in accordance with paragraph 25 of resolution 2094 (2013), the Committee and its Panel of Experts stand ready to assist States, upon request, in preparing and submitting such reports in a timely manner.
4. Towards that end, the Committee has prepared an updated optional checklist template (attached). This checklist is cross-referenced for convenience to the [Fact Sheet compiling certain measures imposed by Security Council resolutions 1718 \(2006\), 1874 \(2009\), 2087 \(2013\), and 2094 \(2013\)](#).
5. The Committee encourages States to use this optional checklist template when providing detailed information regarding the concrete steps States have taken (e.g., new procedures, legislation, regulations or policies, etc.) to implement the various measures.

**Optional Checklist Template - Measures Contained in Security Council
Resolutions 1718 (2006), 1874 (2009), 2087 (2013) and 2094 (2013)
Relevant to Member States' National Implementation Reports**

Have concrete measures, procedures, legislation, regulations or policies been adopted in order to	Yes/ No	Indicate measures	Additional information	Remarks
<u>1. Prevent the direct or indirect supply, sale or transfer to DPRK of:</u> <i>(Fact Sheet sections I to IV)</i>				
(a) all arms and related materiel? (except for SALW)				
(b) nuclear, ballistic missile or other WMD-related items or technology¹?				
(c) luxury goods²?				
(d) As called upon and allowed, prevent the direct or indirect supply, sale or transfer to DPRK of any item, upon its determination, that could contribute to prohibited programmes or activities or evasion of sanctions?				
<u>2. Prohibit the procurement from DPRK of:</u> <i>(Fact Sheet sections I, II, and IV)</i>				
(a) all arms and related materiel?				
(b) nuclear, ballistic missile or other WMD-related items or technology?				
(c) As called upon and allowed, prevent the procurement from DPRK of any item, upon its determination, that could contribute to prohibited programmes or activities or evasion of sanctions?				

¹ The lists of prohibited nuclear-, ballistic missile- and other WMD -related items, materials, equipment, goods and technology, as well as luxury goods, are available on the website of the Committee

http://www.un.org/sc/committees/1718/xportimport_list.shtml.

² See above.

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Have concrete measures, procedures, legislation, regulations or policies been adopted in order to	Yes/ No	Indicate measures	Additional information	Remarks
<u>3. Prevent the transfer to or from DPRK of financial transactions, technical training, advice, services (including brokering or other intermediary services) and assistance related to:</u> <i>(Fact Sheet section V)</i>				
(a) all arms and related materiel (except for SALW to DPRK)?				
(b) nuclear, ballistic missile or other WMD-related items or technology?				
(c) any item , upon its determination that could contribute to prohibited programmes or activities or evasion of sanctions?				
<u>4. Prohibit the transfer of any items if a designated individual or entity³ is the originator, intended recipient or facilitator of the item's transfer; in accordance with its national legal processes, freeze funds, other financial assets and economic resources owned or controlled by, and ensure that none are made available to benefit designated individuals or entities, those acting on their behalf or at their direction and entities owned or controlled by them?</u> <i>(Fact Sheet section IV and VI)</i>				
<u>5. Prevent entry or transit of designated individuals and their family members, of any individual working on behalf or at the direction of a designated individual or entity or violating the sanctions or assisting in their evasion, and with certain exceptions stipulated in relevant resolutions, expel such an individual if he or she is a DPRK national consistent with applicable national and international law?</u> <i>(Fact Sheet section VII)</i>				

³ The Consolidated List of Entities and individuals subject to assets freeze and/or travel ban is available on the Committee's website http://www.un.org/sc/committees/1718/pdf/List_Entities_and_Individuals_English.pdf

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Have concrete measures, procedures, legislation, regulations or policies been adopted in order to	Yes/ No	Indicate measures	Additional information	Remarks
<p><u>6. Prevent provision of financial services, or transfer of any financial or other assets or resources, including bulk cash and through cash couriers,</u> which could contribute to DPRK's prohibited programmes or activities, or to the evasion of sanctions, and exercise enhanced vigilance in this regard? <i>(Fact Sheet section VIII(a))</i></p>				
<p><u>7. As called upon, prohibit:</u> <i>(Fact Sheet section VIII(b))</i></p>				
<p>(a) DPRK banks from opening new branches, subsidiaries, or representative offices; establishing new joint ventures; or taking an ownership interest in or establishing or maintaining correspondent relationships with banks in a State's jurisdiction, if State has information that provides reasonable grounds to believe these activities could contribute to DPRK's prohibited programmes or activities, or to the evasion of sanctions?</p>				
<p>(b) Financial institutions from opening representative offices or subsidiaries or banking accounts in the DPRK if State has information that provides reasonable grounds to believe such financial services could contribute to DPRK's prohibited programmes or activities, or to the evasion of sanctions?</p>				
<p><u>8. Not provide public financial support for trade with DPRK</u> that could contribute to its prohibited programmes or activities, or to the evasion of sanctions? <i>(Fact Sheet section VIII(c))</i></p>				
<p><u>9. As called upon, not enter into new commitments for grants, financial assistance or concessional loans to DPRK, except for humanitarian and developmental purposes, or the promotion of denuclearization?</u> <i>(Fact-sheet VIII(d))</i></p>				

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Have concrete measures, procedures, legislation, regulations or policies been adopted in order to	Yes/ No	Indicate measures	Additional information	Remarks
<p><u>10. Inspect in State's territory all cargo to or from the DPRK, or brokered or facilitated by the DPRK or its nationals, or by individuals or entities acting on their behalf</u>, if State concerned has information that provides reasonable grounds to believe the cargo contains prohibited items? <i>(Fact Sheet section IX)</i></p>				
<p><u>11. Under certain conditions and with certain exceptions, inspect vessels on the high sea and prohibit the provision of bunkering services to DPRK vessels</u> if State has information that provides reasonable grounds to believe their cargo contains prohibited items? <i>(Fact Sheet section X and XI)</i></p>				
<p><u>12. Under certain conditions, seize and dispose of prohibited items</u> found during an inspection? <i>(Fact Sheet section XII)</i></p>				
<p><u>13. As called upon, deny permission to any aircraft to take off from, land in or overfly a State's territory</u> if State has information that provides reasonable grounds to believe that the aircraft contains prohibited items, except for emergency landing? <i>(Fact sheet section XIII)</i></p>				