

D&CP - ARMS CONTROL, VERIFICATION AND COMPLIANCE

Resource Summary

(\$ in thousands)

Appropriations	FY 2010 Actual	FY 2011 CR	FY 2012 Request
American Positions	124	154	154
Funds	27,575	36,170	35,861

Program Description

The course for U.S. nuclear weapons policy that the President set out in his April 5, 2009, Prague address significantly realigned the top priorities for the United States, the Department, and the bureau of Arms Control, Verification, and Compliance (AVC). In his speech, the President's commitment to take concrete steps towards a world without nuclear weapons is the key mission of the AVC and places it at the center of the President's efforts.

During FY 2010, the Bureau of Verification, Compliance, and Implementation (VCI) was reorganized and reconstituted as AVC. This reorganization was directed by the Secretary of State with the goals of better leveraging support for key national security objectives and creating dedicated organizational advocates for arms control, verification, compliance, and nonproliferation. To that end, arms control functions were transferred from the Bureau of International Security and Nonproliferation (ISN) to the new AVC. This includes arms control functions associated with the UN General Assembly, UN First Committee, Conference on Disarmament, UN Disarmament Committee, Comprehensive Nuclear Test-Ban Treaty Organization, Fissile Material Cutoff Treaty, Chemical Weapons Convention, and NATO nuclear weapons issues. Sanctions, interdiction, bio-chemical security, and counter-terrorism functions were transferred from VCI to ISN. Finally, missile defense and space policy functions were shifted from ISN to AVC, with ISN retaining missile nonproliferation and export control functions.

As a result of the reorganization, AVC now leads U.S. efforts to develop arms control policies for existing agreements and the negotiation of new accords. Further, AVC continues to exercise overall supervision (including oversight of policy and resources) within the Department on all matters relating to verification and compliance with international arms control, nonproliferation, and disarmament agreements or commitments. Since the President's historic Prague speech, with the direct participation of AVC, the United States already has achieved two of the President's major objectives. Under the direction of the Assistant Secretary, who served as the head of delegation, a new Strategic Arms Reduction Treaty (START) was concluded with Russia on April 8, 2010. In addition, AVC heads the Department's participation in an interagency review led by the Department of Defense of U.S. nuclear weapons policy and on April 6, 2010, the White House released the legislatively-mandated Nuclear Posture Review (NPR).

AVC directly supports the President's efforts to obtain Senate advice and consent for ratification of the Comprehensive Nuclear-Test-Ban Treaty (CTBT), secures international entry into force for the CTBT, and promotes universal compliance with international treaties that the United States has ratified. AVC is playing a central role in developing and implementing the strategy to secure international support for negotiation of a Fissile Material Cutoff Treaty, and in developing the procedures and provisions necessary to ensure that such a treaty would be effectively verifiable and contribute to the long-term goal of establishing the conditions for a safe, secure world without nuclear weapons.

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The President underscored the high priority the Administration attaches to compliance with arms control, nonproliferation, and disarmament agreements and commitments as a critical foundation for achieving a world without nuclear weapons when he stated: "Rules must be binding. Violations must be punished. Words must mean something." This Presidential priority is fundamental to AVC's mission. AVC must ensure that appropriate verification requirements and capabilities are fully considered and properly integrated throughout the development, negotiation, and implementation of arms control, nonproliferation, and disarmament agreements and commitments, and that the United States has the capability to monitor other countries compliance, and rigorously assess, appropriately report , and resolutely enforce it.

AVC's Key Verification Assets Fund (V Fund), mandated by Congress to enable the Department to encourage the preservation of critical verification assets and the development of new verification technologies and approaches to address the most difficult arms control and nonproliferation verification challenges, will be used to provide seed money for the development of the verification technologies, transparency measures, and forensic capabilities necessary to achieve these requirements and make further progress toward a world without nuclear weapons.

Performance

The United States is committed to seeking nuclear force reductions and other concrete steps toward a world without nuclear weapons, goals articulated in the President's nuclear agenda, the Nuclear Posture Review (NPR), and the Department's High Priority Performance Goal (HPPG) related to nuclear nonproliferation. To mitigate the security risks along this trajectory, the USG must, as called for in the NPR, develop new detection and verification technologies and approaches and new ways of using existing technologies and approaches and continue to deploy planned and operational systems to detect and verify clandestine nuclear weapons programs, foreign materials, and weapons production facilities and processes. The indicator below and the identified targets for 2010-2012 directly support this Presidential priority.

STRATEGIC GOAL: ACHIEVING PEACE AND SECURITY			
Strategic Priority	Combating Weapons of Mass Destruction and Destabilizing Conventional Weapons		
Indicator	NEW APP INDICATOR: Verification R&D programs focus on closing key detection and verification capability gaps identified in AVC's arms control R&D verification requirements document regarding nuclear weapons programs, foreign materials, and weapons production facilities and processes.		
RATINGS TREND			
FY 2007	FY 2008	FY 2009	FY 2010
New Indicator, No Rating	New Indicator, No Rating	New Indicator, No Rating	◀▶ On Target
TARGETS AND RESULTS			

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FY 2012 Target	<ul style="list-style-type: none"> • V Fund initiates up to three projects to investigate cutting edge technologies, methodologies or approaches identified in AVC R&D verification requirements document. • Other agencies (DOD, DOE, IC) initiate R&D projects to address AVC-identified detection and verification capability gaps. • Program results that become available in FY 2012 inform the development and implementation of relevant arms control, verification, and compliance policies, agreements and commitments. • DOE, DOD, and IC agencies seek AVC input and/or invite AVC participation on their R&D investment decision-making panels. • Promising R&D programs, initially funded with AVC moneys, are subsequently pursued in greater depth by other agencies. • All planned critical intelligence collection programs key to verification, compliance and implementation are funded fully.
FY 2011 Target	<ul style="list-style-type: none"> • V Fund allocation and leveraging results in Department verification and transparency requirements, particularly for verifying New START and follow-on agreements and identifying illicit nuclear weapons testing, being substantially reflected in the R&D programs undertaken by other departments and agencies in support of the Nuclear Posture Review. • Verification R&D programs of other agencies focus on closing the detection and verification gaps identified in the Bureau's Verification Technology Research and Development Needs document. • All planned critical collection programs that support verification, compliance, and implementation are funded fully for the year. • Radionuclide Collection Analysis of Alternatives (AOA) study is completed.
FY 2010 Target	<ul style="list-style-type: none"> • V Fund allocation enables AVC to influence other agencies' decisions on development of new verification technology assets and methodologies and to encourage research to close gaps critical to verified nuclear warhead elimination and other nuclear arms reduction priorities. • R&D coordination with DOE and NNSA initiated to address technical issues associated with nuclear testing and test site monitoring. • Candidate verification and monitoring projects are identified for funding through the Administration's CTBT-related FY 2011 \$10 million extra budgetary request. • Critical collection programs already in development are funded fully by parent agencies; planned improvements are implemented, including for the USNDS program, DOD MASINT programs, and sensors that provide data on nuclear testing and foreign ballistic missile tests.
FY 2010 Rating and Result	<p>Rating: On Target FY 2010 targets have been met or exceeded.</p> <ul style="list-style-type: none"> • Seed monies provided through the V Fund have been allocated to over a dozen technical projects with community partners. • AVC, DOE and NNSA jointly-sponsored calls for research and development projects, working groups and verification technology demonstration projects relating to nuclear testing and nuclear-related monitoring issues. • Agencies provided candidate projects to the Verification and Monitoring Task Force. No further action is anticipated until the budget request is funded. • Critical collection programs were fully funded
Impact	<p>Closing identified detection and verification gaps will strengthen verification of New START and CTBT and provide capabilities to detect, manage and mitigate potential security risks from cheating on follow-on bilateral and multilateral arms control agreements. Progress will depend on two external factors -- (1) adequate funding of programs by other agencies and (2) the results of the R&D.</p>
FY 2009 Rating and Result	<p>Rating: New Indicator, No Rating</p>
FY 2008 Rating and Result	<p>Rating: New Indicator, No Rating</p>
FY 2007 Rating and Result	<p>Rating: New Indicator, No Rating</p>
VERIFICATION AND VALIDATION	
Methodology	<p>Progress will be measured by examination of quantitative and qualitative outcomes -- e.g., were V Fund projects funded, did other agencies undertake research to investigate solutions to AVC-identified gaps, did the R&D meet contract -established benchmarks and outcomes?</p>

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Data Source and Quality	Data sources will be both internal and external, including from other agencies and contracts.. The Data Quality Assessment revealed no significant limitations. Final assessment can be made only at the end of the final year, as results are not yet fully available.
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The President's priority goal in the nuclear arena is implementation of concrete steps toward a world without nuclear weapons. Toward that end, he directed that the U.S. Government seek a new Strategic Arms Reduction Treaty (START) with Russia and subsequently seek agreement by all nuclear weapons states to measures that increase transparency and reduce the global stockpile of nuclear weapons. The U.S. Senate provided its advice and consent to ratification of the new START, approving the resolution of ratification by a 71-26 vote on December 22, 2010. U.S. engagement with Russia and the other P-5 states (UK, France, and China) is to find common ground on the scope and type of deep nuclear reductions and enhanced transparency. The indicator below and the identified targets for 2010-2012 are in direct support of this Presidential priority.

STRATEGIC GOAL: ACHIEVING PEACE AND SECURITY			
Strategic Priority	Combating Weapons of Mass Destruction and Destabilizing Conventional Weapons		
Indicator	Key milestones to achieve agreement on a framework for deep bilateral reductions with the Russian Federation and P-5 confidence building, including scope and supporting measures.		
RATINGS TREND			
FY 2007	FY 2008	FY 2009	FY 2010
New Indicator, No Rating	New Indicator, No Rating	◀▶ On Target	◀▶ On Target
TARGETS AND RESULTS			
FY 2012 Target	Negotiations on additional U.S.-Russian reductions continue and interim agreement reached. Negotiations begin among the P-5 regarding reductions of P-5 arsenals and transparency measures.		
FY 2011 Target	New START Treaty enters into force and is implemented. Negotiations begin on additional U.S.-Russian reductions, including on non-strategic and non-deployed nuclear weapons. Discussions begin among the P-5 regarding reductions of P-5 arsenals and/or transparency measures.		
FY 2010 Target	New, legally-binding START follow-on treaty and process for further reductions agreed. Briefings, hearings, etc. in support of New START ratification are effective. New START treaty measures are provisionally implemented, pending ratification. Preparations begin for negotiations to lead to additional U.S.-Russian reductions. Russia and China increase transparency regarding their nuclear forces and doctrines. U.S. encourages China to halt nuclear force expansion. U.S. encourages the UK and France to modernize but not increase their nuclear forces.		
FY 2010 Rating and Result	<p>Rating: On Target</p> <p>Milestones are on or above target:</p> <ul style="list-style-type: none"> • New START completed and awaiting Senate advice and consent to ratification. U.S. and Russia will discuss further reductions bilaterally once the treaty enters into force. • Hearings completed; over 900 questions answered. Full Senate consideration of new START expected later in 2010. • New START Treaty site diagrams exchanged in May 2010. • Russia and China provided more information regarding their forces and doctrines at a P-5 meeting and at the NPT Review Conference. • U.S. pressed China on its nuclear force levels and transparency during bilateral consultations on the NPR, at the Conference on Disarmament, and at the NPT Review Conference. • UK and France indicated that they are modernizing but not increasing force levels. 		

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Impact	Achieving the outlined targets meets the President's goal of a new START agreement and facilitates further concrete progress toward a world free of nuclear weapons. It also meets the commitment made at the 2010 Review Conference of the Nuclear Non-Proliferation Treaty (NPT) to take further disarmament steps bilaterally with Russia and multilaterally with Russia, China, France and the UK.
FY 2009 Rating and Result	<p>Rating: On Target Substantial progress toward a bilateral treaty achieved. P-5 Conference provided useful insights into Russian and Chinese nuclear force structures and doctrine. Critical verification technology programs used to obtain data on nuclear weapons and the means of their delivery were largely funded:</p> <ul style="list-style-type: none"> o CJR slipped due to manufacturing and procedural delays and cost overruns. o Key DOD MASINT programs were protected from funding cuts. o Key MASINT sensor programs were deployed to assist verification. <p>Department MASINT R&D requirements to support verification were articulated to the interagency</p>
FY 2008 Rating and Result	<p>Rating: New Indicator, No Rating Review of procedures for the possible closure of the U.S. on site monitoring facility at Russia's Votkinsk missile factory was completed. A team was assembled and trained for START follow-on negotiations with Russia. Cobra Judy Replacement (CJR) proceeded on schedule. Key DOD MASINT programs were protected from funding cuts. MASINT sensor programs were deployed to support critical verification needs. MASINT R&D requirements were articulated at appropriate interagency forums.</p>
FY 2007 Rating and Result	<p>Rating: New Indicator, No Rating Indicator and baseline established in FY 2008.</p>
VERIFICATION AND VALIDATION	
Methodology	The Bureau participates directly and/or leads the activities in support of the target goals. Additionally, the Bureau undertakes a rigorous review of all reporting and activities related to the target goals. The Bureau engages other countries and international organizations to further the target goals, and uses the outcomes of such meetings and engagements in its evaluation of performance.
Data Source and Quality	Data source and quality verified by independent and government-sponsored monitoring. Sources include outcomes and reports from bilateral and international organizations and meetings, as well as from Congressional deliberations and hearings. The Data Quality Assessment revealed no significant data limitations. Final assessment can be made only at the end of the fiscal year, as negotiations and meetings have not yet occurred/concluded.

Justification of Request

The Department's FY 2012 request of \$35.861 million and 154 positions for the Bureau of Arms Control, Verification, and Compliance maintains current services and supports key initiatives such as developing arms control policies for existing accords and negotiating new agreements.

The ISN/VCI reorganization was effective October 1, 2010, and entailed the transfer of arms control functions from the ISN Bureau to the new AVC Bureau. More than \$8 million in ISN resources and 30 positions were shifted to AVC from ISN as a result of the reorganization effort.

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Resource Summary

	Positions				Funds (\$ in thousands)			
	American			FSN	Pos Total	Bureau Managed	American Salaries	Funds Total
	CS	FS Dom	Overseas					
FY 2010 Actual	108	14	2	0	124	14,969	12,606	27,575
FY 2011 CR	125	14	15	0	154	20,155	16,015	36,170
FY 2012 Built-in Changes								
Efficiency Savings	0	0	0	0	0	(442)	0	(442)
Domestic Inflation	0	0	0	0	0	133	0	133
Total Built-in Changes	0	0	0	0	0	(309)	0	(309)
FY 2012 Current Services	125	14	15	0	154	19,846	16,015	35,861
FY 2012 Request	125	14	15	0	154	19,846	16,015	35,861

Staff by Program Activity (positions)

Bureau of Political-Military Affairs	FY 2010 Actual	FY 2011 CR	FY 2012 Request
Conduct of Diplomatic Relations	124	154	154
International Security Affairs	110	154	154
Total	124	154	154

Funds by Program Activity (\$ in thousands)

Bureau of Political-Military Affairs	FY 2010 Actual	FY 2011 CR	FY 2012 Request
Conduct of Diplomatic Relations	27,575	36,170	35,861
International Security Affairs	27,575	36,170	35,861
Total	27,575	36,170	35,861

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Program Activities

Department Of State	Positions			Funds (\$ in thousands)			
	American Domestic	Overseas	FSN	Pos Total	Bureau Managed	American Salaries	Funds Total
Conduct of Diplomatic Relations	139	15	0	154	19,846	16,015	35,861
International Security Affairs	139	15	0	154	19,846	16,015	35,861
Total	139	15	0	154	19,846	16,015	35,861

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Staff by Domestic Organization Unit (positions)

Bureau of Political-Military Affairs	FY 2010 Actual	FY 2011 CR	FY 2012 Request
Deputy Assistant Secretary for Compliance and Implementation Policy	3	0	0
Deputy Assistant Secretary for Verification and Implementation Policy	1	0	0
Office of Assistant Secretary	19	20	20
Office of Biological Weapons Affairs	9	0	0
Office of Chemical and Conventional Weapons	14	0	0
Office of Nuclear Affairs	11	0	0
Office of Strategic Issues	16	0	0
Office of Technology and Assessments	12	0	0
Principal Deputy Assistant Secretary	2	0	0
Representation and Special Advisors for Verification, Compliance, and Implement	2	0	0
CTBT Preparatory Commission	0	2	2
Deputy Assistant Secretary for Nuclear and Strategic Policy	0	2	2
Deputy Assistant Secretary for Space and Defense Policy	0	2	3
Euro-Atlantic Security Affairs	0	11	10
Missile Defense and Space Policy	0	10	10
Multilateral and Nuclear Affairs	0	15	15
Nuclear Risk Reduction Center	21	19	19
Office of Chemical and Biological Weapons Affairs	0	14	14
Office of Verification Operations	14	13	13
Principal Deputy Assistant Secretary for Arms Control Policy and Technology	0	2	2
Strategic Affairs	0	15	15
U.S. Chief Delegate CFE, JCG	0	2	2
U.S. Commissioner INF, U.S. Rep. Moscow Treaty	0	1	1
U.S. Rep Conf. on Disarmament	0	6	6
U.S. Rep Prohibition Chem Weapons	0	5	5
Verification and Transparency Technologies	0	15	15
Total	124	154	154

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Funds by Domestic Organization Unit (\$ in thousands)

Bureau of Political-Military Affairs	FY 2010 Actual	FY 2011 CR	FY 2012 Request
Deputy Assistant Secretary for Compliance and Implementation Policy	248	0	0
Deputy Assistant Secretary for Verification and Implementation Policy	312	0	0
Office of Assistant Secretary	4,159	4,283	4,250
Office of Biological Weapons Affairs	1,753	0	0
Office of Chemical and Conventional Weapons	2,181	0	0
Office of Nuclear Affairs	1,570	0	0
Office of Strategic Issues	3,037	0	0
Office of Technology and Assessments	3,821	0	0
Principal Deputy Assistant Secretary	336	0	0
Representation and Special Advisors for Verification, Compliance, and Implement	235	0	0
CTBT Preparatory Commission	0	449	446
Deputy Assistant Secretary for Nuclear and Strategic Policy	0	349	347
Deputy Assistant Secretary for Space and Defense Policy	0	325	323
Euro-Atlantic Security Affairs	0	1,830	1,820
Missile Defense and Space Policy	0	1,466	1,460
Multilateral and Nuclear Affairs	0	2,308	2,297
Nuclear Risk Reduction Center	6,541	6,462	6,391
Office of Chemical and Biological Weapons Affairs	0	2,606	2,589
Office of Verification Operations	3,382	3,363	3,332
Principal Deputy Assistant Secretary for Arms Control Policy and Technology	0	262	261
Strategic Affairs	0	2,630	2,614
U.S. Chief Delegate CFE, JCG	0	865	855
U.S. Commissioner INF, U.S. Rep. Moscow Treaty	0	144	143
U.S. Rep Conf. on Disarmament	0	2,916	2,881
U.S. Rep Prohibition Chem Weapons	0	1,627	1,610
Verification and Transparency Technologies	0	4,285	4,242
Total	27,575	36,170	35,861

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Funds by Object Class (\$ in thousands)

Bureau of Political-Military Affairs	FY 2010 Actual	FY 2011 CR	FY 2012 Request
1100 Personnel Compensation	11,029	13,815	13,815
1200 Personnel Benefits	2,710	3,404	3,404
2100 Travel & Trans of Persons	1,765	2,078	1,983
2200 Transportation of Things	0	0	10
2300 Rents, Comm & Utilities	442	498	501
2400 Printing & Reproduction	67	76	77
2500 Other Services	11,288	16,005	15,817
2600 Supplies and Materials	213	234	201
3100 Personal Property	61	60	53
Total	27,575	36,170	35,861