

# ARMS CONTROL, VERIFICATION AND COMPLIANCE

## *Resource Summary*

(\$ in thousands)

Appropriations	FY 2012 Actual	FY 2013 CR <sup>(1)</sup>	FY 2014 Request	Increase/Decrease From FY2012
Positions - Enduring	141	141	140	(1)
Enduring Funds	32,062	31,270	31,518	(544)

(1) The FY 2013 CR is based on the annualized continuing resolution calculation for FY 2013 (P.L. 112-175).

### *Program Description*

The Bureau of Arms Control, Verification and Compliance (AVC) is tasked with increasing American security and prosperity through the negotiation and implementation of arms control, disarmament and verification agreements around the world. AVC's efforts are focused on implementing the national security guidance in the President's April 2009 Prague Speech, the National Security Strategy of 2010, the Nuclear Posture Review of 2010, the Quadrennial Diplomacy and Development Review of 2010 and the FY 2012-2013 Joint State-USAID Strategic Goals and Priorities. Goal Number 1 of the Joint Strategic Goals focuses on countering threats to the United States and the international order, and states, "We will continue to support and promote arms control and nonproliferation agreements that protect America and our allies."

AVC's focus is to develop, secure agreement to, and lead the implementation of weapons of mass destruction (WMD) arms control, disarmament, transparency, and cooperative agreements and arrangements that protect the United States, its allies and friends, prevent or thwart proliferation of nuclear and other WMD and their delivery systems, and move the international community closer toward the President's vision of a stable and secure world without nuclear weapons and other WMD.

In FY 2014, AVC's highest priority will continue to be to develop, secure agreement to, and lead the implementation of arms control, transparency, and disarmament agreements and cooperative arrangements, including for European security and missile defense, that protect the United States, allies and friends, and reduce, prevent or thwart the spread of nuclear and other WMD and their delivery systems.

**Nuclear Arms Reduction and Transparency Measures:** AVC will continue to focus on effective implementation of the New Strategic Arms Reduction Treaty, and on identifying a framework for deeper bilateral nuclear reductions (that include strategic, non-strategic, deployed and non-deployed nuclear weapons) as well as consideration of measures to enhance transparency into non-deployed nuclear weapon inventories. AVC will closely engage with NATO allies to develop a framework for arms control negotiations that ensures allied security while addressing the disparity between the nonstrategic nuclear weapons stockpiles of Russia and the United States. A second priority is to intensify and regularize multilateral engagement with the Permanent 5 Members of the UN Security Council (P-5). AVC's objectives are to strengthen mutual confidence and transparency regarding respective nuclear capabilities, to develop a common lexicon that explains nuclear terminologies, and to identify pathways to resolve verification challenges attendant to next steps in nuclear disarmament. AVC anticipates a period of intensive diplomatic negotiations and policy development to build confidence that a more robust framework for collaboration has the potential to strengthen and enhance global strategic stability. AVC will also deepen its engagement with countries beyond the P-5 to reassure them of deterrence and to elicit their support.

## ARMS CONTROL, VERIFICATION AND COMPLIANCE

**Global Arms Control Benchmarks:** AVC will continue its efforts to establish global benchmarks toward a world without nuclear weapons and ensure that the expansion of nuclear weapons capabilities is halted and reversed through international arms control agreements. Specific long-term outcomes include: 1) entry into force of the Comprehensive Nuclear-Test-Ban Treaty; and 2) negotiation, ratification and entry into force of an effectively verifiable Fissile Material Cutoff Treaty.

**Strengthening European Security:** AVC will continue efforts to resolve the differences that have weakened the arms control framework in Europe and will work with Russia and other partners to strengthen the existing architecture to be responsive to the 21st Century threats confronting Europe. These activities will require continuing intensive engagement to identify possible compromises that take into account the differing security perspectives of those involved. AVC will work closely with its European allies and partners to respond to security challenges outside of Europe.

**Expanding Missile Defense Cooperation:** AVC will build on the successful efforts to implement missile defense cooperation among NATO countries and will continue to work on missile defense cooperation with Russia. AVC will also continue to encourage the placement of operational capabilities in Asia and the Middle East and deepen its outreach to increase understanding of relevant national and strategic issues and set realistic expectations for missile defense capabilities.

**Other Transparency Efforts:** In order to further the security of the United States, AVC allies and partners will seek to develop other transparency and/or disarmament efforts. AVC will seek practical measures to strengthen implementation of the Biological Weapons Convention, such as the Bio-Transparency Initiatives announced by former Secretary Clinton at the December 2011 Biological Weapons Convention Review Conference. The Chemical Weapons Convention's (CWC) Third Review Conference in April 2013 will provide an opportunity to strengthen the implementation of the CWC, including improved verification capabilities and the evolution of its mission toward enhanced nonproliferation. AVC will also seek to develop and implement bilateral and multilateral pragmatic Transparency and Confidence Building Measures that encourage responsible actions in, and the peaceful use of space.

**Verification R&D Investments:** AVC will continue to expand understanding and support for the requirement to identify new technologies and approaches and new ways of using existing technologies and approaches to advance arms control, verification and compliance efforts. In FY 2014 AVC will use funding to: 1) leverage AVC's Key Verification Assets Fund (V-Fund) to ensure that Department verification and transparency requirements are fully reflected in the R&D programs of other departments and agencies; and 2) support the establishment of R&D programs by other agencies to close the detection and verification gaps identified in the Bureau's Verification Technology Research and Development Needs Document, and, to the extent that program results are available, their incorporation into relevant policies, agreements, and commitments.

**Assessments of Compliance:** The compliance of other countries with agreements and commitments fundamentally affects the degree to which those agreements meet U.S. security needs, in addition to U.S. allies. AVC will focus on rigorous implementation of existing vehicles for holding countries accountable for their actions. Consistent with the high priority placed on compliance with arms control, nonproliferation, and disarmament agreements, AVC will 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 other countries' compliance is carefully monitored, rigorously assessed, appropriately reported, and resolutely enforced. As the President stated in 2009, "Rules must be binding. Violations must be punished. Words must mean something." AVC will seek to close known gaps in U.S. detection and monitoring capabilities. AVC will also work with other countries to enhance confidence

## ARMS CONTROL, VERIFICATION AND COMPLIANCE

that win-win solutions are feasible and to identify pathways to overcome longstanding disparities and geostrategic differences.

Enhanced Notification Regimes: AVC will continue to support the capabilities of the Nuclear Risk Reduction Center (NRRC) to provide timely notifications. AVC will continue to expand the uses of the NRRC to implement novel arms control, verification, transparency, and confidence-building efforts, such as cyber-security notifications. To ensure ongoing mission success, the information technology systems supporting the NRRC must remain secure and reliable.

### *Performance*

The Department's priority goal in the nuclear arena is implementation of concrete steps toward a world without nuclear weapons. Part of the foundation required to achieve that end is enhanced confidence and transparency among the Permanent 5 Members of the UN Security Council (P-5) and other states. U.S. engagement with Russia and the other P-5 states (UK, France, and China) involves finding common ground and agreeing on the scope and type of follow-on steps to pursue. The indicator below and the identified target for 2014 are in direct support of this priority.

<b>Strategic Goal 1: Counter threats to the United States and the international order, and advance civilian security around the world</b>					
<b>Strategic Priority</b>	Weapons of Mass Destruction and Destabilizing Conventional Weapons				
<b>Active Performance Indicator</b>	Deeper nuclear reductions and transparency measures among Non-Proliferation Treaty (NPT) nuclear weapons states to increase implementation and strengthen the NPT				
<b>PRIOR YEAR RATINGS TREND</b>					
<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
N/A	New Indicator, No Rating	◀▶ On Target	◀▶ On Target	◀▶ On Target	◀▶ On Target
<b>TARGETS AND RESULTS</b>					
FY 2014 Target	<ul style="list-style-type: none"> <li>• New START implementation continues to be effective and efficient.</li> <li>• Continue to lead international efforts to develop proposals for negotiations on further nuclear reductions, transparency, and other disarmament steps, including identifying a framework for deeper bilateral nuclear reductions (that include strategic, non-strategic, deployed and non-deployed nuclear weapons) as well as consideration of measures to enhance transparency into non-deployed nuclear weapon inventories.</li> <li>• P-5 continue to expand on previous work developing a common nuclear lexicon and identify pathways to resolve verification challenges attendant to next steps in nuclear disarmament.</li> <li>• P-5 completes work on one verification or transparency project agreed to in the P-5 forum.</li> </ul>				
FY 2013 Target	<ul style="list-style-type: none"> <li>• New START implementation is effective and efficient.</li> <li>• Continue efforts to seek deeper nuclear weapons reductions.</li> <li>• P-5 complete work on a shared nuclear weapons glossary.</li> <li>• P-5 completes work on one verification or transparency project agreed to in the P-5 forum.</li> </ul>				

## ARMS CONTROL, VERIFICATION AND COMPLIANCE

FY 2012 Target	<ul style="list-style-type: none"> <li>• New START implementation is effective and efficient.</li> <li>• Based on NATO input, the U.S. develops and proposes to Russia a negotiations framework and policy proposals for deeper reductions that include strategic, non-strategic and non-deployed nuclear weapons.</li> <li>• Negotiations begin among the P5 regarding transparency and confidence building measures.</li> <li>• P5 continue to work on a shared nuclear weapons glossary and agree to establish a working group on verification challenges associated with nuclear disarmament.</li> </ul>
FY 2012 Rating and Result	<p><b>Rating: On Target</b></p> <ul style="list-style-type: none"> <li>• New START Treaty implementation continued to be effective and efficient.</li> <li>• NATO completed the Deterrence and Defense Posture Review (DDPR) and consultations continued on U.S. forward-deployed non-strategic nuclear weapons.</li> <li>• Bilaterally raised with Russia via the Tauscher-Ryabkov channel the idea of follow-on nuclear reductions.</li> <li>• The P5 held two conferences on nuclear disarmament and nonproliferation, confidence-building measures, and verification and monitoring, including one hosted in Washington, DC in June 2012.</li> <li>• The P5 approved continuing work on an agreed glossary of definitions for key nuclear terms and established a dedicated working group, which China will lead.</li> <li>• A fourth P5 conference will be held in the context of the 2013 NPT Preparatory Committee meeting.</li> </ul>
Impact	<p>These activities have advanced the Department's efforts to increase implementation of and to strengthen the Nuclear Nonproliferation Treaty: countries with nuclear weapons will move toward nuclear disarmament, countries without nuclear weapons will not acquire them, and all members in compliance with their nonproliferation obligations can have access to peaceful nuclear energy.</p>
FY 2011 Rating and Result	<p><b>Rating: On Target</b></p> <ul style="list-style-type: none"> <li>• New START Treaty entry into force. Initial Data Exchanges and inspections began.</li> <li>• Consultations began on whether and under what conditions NATO would be willing to support deeper reductions of U.S. forward-deployed non-strategic nuclear weapons.</li> <li>• Bilaterally raised with Russia via the Tauscher-Ryabkov channel the idea of follow-on nuclear reductions.</li> <li>• The P5 held the first follow-up NPT RevCon meeting as well as a follow up to the transparency and mutual confidence discussion held in the London Conference on Confidence Building Measures towards Nuclear Disarmament in September 2009.</li> <li>• The P5 approved continuing work on an agreed glossary of definitions for key nuclear terms and established a dedicated working group.</li> <li>• The P5 agreed, as part of a U.S. initiative, to renew efforts before the 2011 UN General Assembly to start FMCT negotiations.</li> </ul>
FY 2010 Rating and Result	<p><b>Rating: On Target</b></p> <ul style="list-style-type: none"> <li>• Russia and China provided more information regarding their forces and doctrines at a P-5 meeting and at the NPT Review Conference.</li> <li>• 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 although Chinese force levels continued to increase.</li> <li>• UK and France indicated that they are modernizing but not increasing force levels.</li> </ul>

## ARMS CONTROL, VERIFICATION AND COMPLIANCE

FY 2009 Rating and Result	<p><b>Rating: On Target</b></p> <ul style="list-style-type: none"> <li>• Substantial progress toward a bilateral treaty achieved.</li> <li>• P-5 Conference provided useful insights into Russian and Chinese nuclear force structures and doctrine.</li> <li>• Critical verification technology programs used to obtain data on nuclear weapons and the means of their delivery were largely funded: Cobra Judy Replacement (CJR) slipped due to manufacturing and procedural delays and cost overruns; key DOD Measurement and Signature Intelligence (MASINT) programs were protected from funding cuts; key MASINT sensor programs were deployed to assist verification.</li> <li>• Department MASINT R&amp;D requirements to support verification were articulated to the interagency</li> </ul>
FY 2008 Rating and Result	<p><b>Rating: New Indicator, No Rating</b></p> <p>Review of procedures for the possible closure of the U.S. on site monitoring facility at Russia's Votkinsk missile factory was completed.</p> <p>A team was assembled and trained for START follow-on negotiations with Russia. CJR proceeded on schedule.</p> <p>Key DOD MASINT programs were protected from funding cuts.</p> <p>MASINT sensor programs were deployed to support critical verification needs.</p> <p>MASINT R&amp;D requirements were articulated at appropriate interagency forums.</p>
FY 2007 Rating and Result	<p><b>Rating: N/A</b></p> <p>Indicator and baseline established in FY 2008.</p>
<b>VERIFICATION AND VALIDATION</b>	
Methodology	<p>AVC participates directly and/or leads the activities in support of the target goals. AVC also undertakes a rigorous review of all reporting and activities related to the target goals. Lastly, AVC 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.</p>
Data Source and Quality	<p>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.</p>

### *Justification of Request*

The FY 2014 Request for AVC is \$31.5 million, a decrease of \$544,000 from FY 2012 Actuals due to the elimination of one position, reduction in contract support, and funding for V-fund activities. The FY 2014 Request reflects current services and administrative adjustments.

## ARMS CONTROL, VERIFICATION AND COMPLIANCE

### *Resource Summary*

	Positions				Funds (\$ in thousands)			
	American			FSN	Pos	Bureau	American	Funds
	CS	FS Dom	Overseas		Total	Managed	Salaries	Total
FY 2012 Actual	115	11	15	0	141	15,397	16,665	32,062
FY 2013 Estimate	115	11	15	0	141	14,605	16,665	31,270
FY 2014 Built-in Changes								
American COLA	0	0	0	0	0	87	161	248
Domestic Inflation	0	0	0	0	0	157	0	157
Overseas Price Inflation	0	0	0	0	0	133	0	133
Absorption of Domestic Inflation	(1)	0	0	0	(1)	(174)	(116)	(290)
Total Built-in Changes	(1)	0	0	0	(1)	203	45	248
FY 2014 Current Services	114	11	15	0	140	14,808	16,710	31,518
FY 2014 Request	114	11	15	0	140	14,808	16,710	31,518

## ARMS CONTROL, VERIFICATION AND COMPLIANCE

### *Staff and Funds by Domestic Organization Units*

(\$ in thousands)

Arms Control, Verification and Compliance (AVC)	FY 2012			FY 2013			FY 2014			Increase/Decrease		
	Actual			CR			Request			From FY2012		
	Am	FSN	Funds	Am	FSN	Funds	Am	FSN	Funds	Am	FSN	Funds
CTBT Preparatory Commission	2	0	565	2	0	548	2	0	563	0	0	(2)
Deputy Assistant Secretary for Nuclear and Strategic Policy	2	0	274	2	0	272	2	0	276	0	0	2
Deputy Assistant Secretary for Space and Defense Policy	2	0	414	2	0	405	2	0	412	0	0	(2)
Euro-Atlantic Security Affairs	12	0	1,990	12	0	1,961	12	0	1,867	0	0	(123)
Missile Defense and Space Policy	11	0	1,694	11	0	1,668	11	0	1,590	0	0	(104)
Multilateral and Nuclear Affairs	15	0	4,268	15	0	4,140	14	0	4,075	(1)	0	(193)
Nuclear Risk Reduction Center	19	0	4,846	19	0	4,712	19	0	4,783	0	0	(63)
Office of Assistant Secretary	18	0	3,182	18	0	3,128	18	0	3,288	0	0	106
Office of Chemical and Biological Weapons Affairs	15	0	2,145	15	0	2,126	15	0	2,150	0	0	5
Principal Deputy Assistant Secretary for Arms Control Policy and Technology	2	0	272	2	0	271	2	0	275	0	0	3
Strategic Affairs	14	0	2,456	14	0	2,421	14	0	2,452	0	0	(4)
U.S. Chief Delegate CFE, JCG	2	0	697	2	0	673	2	0	694	0	0	(3)
U.S. Rep Conf. on Disarmament	6	0	2,945	6	0	2,830	6	0	2,920	0	0	(25)
U.S. Rep Prohibition Chem Weapons	5	0	1,788	5	0	1,726	5	0	1,777	0	0	(11)
Verification and Transparency Technologies	16	0	4,526	16	0	4,389	16	0	4,396	0	0	(130)
<b>Total</b>	<b>141</b>	<b>0</b>	<b>32,062</b>	<b>141</b>	<b>0</b>	<b>31,270</b>	<b>140</b>	<b>0</b>	<b>31,518</b>	<b>(1)</b>	<b>0</b>	<b>(544)</b>

### *Funds by Object Class*

(\$ in thousands)

Arms Control, Verification and Compliance (AVC)	FY 2012 Actual	FY 2013 CR	FY 2014 Request	Increase/Decrease From FY2012
1100 Personnel Compensation	13,593	13,593	13,630	37
1200 Personnel Benefits	4,001	4,001	4,011	10
2100 Travel & Trans of Persons	1,950	1,843	1,894	(56)
2300 Rents, Comm & Utilities	436	412	423	(13)
2400 Printing & Reproduction	65	61	63	(2)
2500 Other Services	11,945	11,292	11,427	(518)
2600 Supplies and Materials	62	59	60	(2)
3100 Personal Property	10	9	10	0
<b>Total</b>	<b>32,062</b>	<b>31,270</b>	<b>31,518</b>	<b>(544)</b>

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