



60 Years

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Communication dated 21 December 2016 to the Agency sent on behalf of High Representative Mogherini in her capacity as Coordinator of the Joint Commission established under the Joint Comprehensive Plan of Action

1. The Director General has received a communication dated 21 December 2016 from the European External Action Service sent on behalf of High Representative Mogherini in her capacity as Coordinator of the Joint Commission established under the Joint Comprehensive Plan of Action attaching eight documents.
2. As requested, the communication and the attached documents are herewith circulated for the information of all Member States.

Brussels, 21 December 2016

Dear Director General,

On behalf of High Representative Mogherini in her capacity as Coordinator of the Joint Commission established under the Joint Comprehensive Plan of Action (JCPOA), I am herewith transmitting the attached eight documents, which have been endorsed by all participants of the Joint Commission.

Without prejudice to Iran's rights and obligations under its Comprehensive Safeguards Agreement and its Additional Protocol, and without prejudice to the prerogatives of the IAEA in carrying out its tasks foreseen by the JCPOA, these documents are merely providing clarifications, developed by the Joint Commission, for the implementation of Iran's nuclear-related measures as set out in the JCPOA for its duration. The Joint Commission will continue to rely on IAEA reporting on the implementation by Iran of its nuclear related measures specified in the JCPOA.

I would kindly ask you to share these documents with the IAEA Member States for information. In parallel, these documents will be published on the website of the European External Action Service (EEAS).

Yours sincerely,



Helga Maria Schmid

H.E. Mr Yukiya Amano
Director General
International Atomic Energy Agency

Enclosed: Eight Joint Commission Documents

**Decision of the Joint Commission
Established by the Joint Comprehensive Plan of Action**

Iran briefed the Joint Commission on its plan regarding certain enriched uranium materials, in accordance with the Joint Comprehensive Plan of Action (JCPOA). The Joint Commission has considered and approved the plan in accordance with the parameters below, under its authority in consulting and providing guidance on implementation matters. This decision of the Joint Commission represents a common understanding of the scope of the relevant commitments of the JCPOA.

1. All current low-level solid waste contaminated with low-enriched uranium (LEU) and future equivalent solid waste, which is deemed unrecoverable, is not part of Iran's enriched uranium stockpile as specified in the JCPOA provided that Iran does not build or operate any facility or part of a facility capable of recovering LEU from solid waste for 15 years. Iran will store under International Atomic Energy Agency (IAEA) safeguards such low-level solid waste contaminated with LEU.
2. All current low-level liquid and sludge waste contaminated with LEU up to 3.67 percent and future equivalent liquid and sludge waste, which is deemed unrecoverable, is not part of Iran's enriched uranium stockpile as specified in the JCPOA provided that Iran does not build or operate any facility or part of a facility capable of recovering LEU from liquid and sludge waste for 15 years. Iran will store under IAEA safeguards low-level liquid and sludge waste containing uranium enriched up to 3.67 percent and may stabilize these wastes for long-term storage as a solid using a stabilization process that does not separate uranium from the waste.
3. The near-20-percent enriched uranium of laboratory contamination, which is at facilities that have been previously declared to the IAEA for processing of near-20 percent enriched uranium, is deemed unrecoverable and therefore is not part of Iran's enriched uranium stockpile as specified in the JCPOA.
4. Prior to Implementation Day, Iran will process an amount of depleted uranium through the process equipment—which was used to convert near-20-percent enriched uranium hexafluoride to uranium oxide—to dilute the enriched uranium held up within the process equipment, such amount calculated to result in an enrichment level of 3.67 percent or less. The resulting hold up is deemed unrecoverable.

5. Iran will retain laboratory standards, check sources, and samples collected for use in connection with IAEA safeguards activities, including device calibration, that contain no more than six kilograms of uranium enriched up to 5 percent. Iran will also retain laboratory standards, check sources, and samples collected for use in connection with IAEA safeguards activities, including device calibration, that contain no more than one kilogram of near-20-percent enriched uranium. These standards, check sources, and samples do not count against Iran's enriched uranium stockpile as specified in the JCPOA.

**Decision of the Joint Commission
Established by the Joint Comprehensive Plan of Action**

Iran raised with the Joint Commission its request to continue to operate after Implementation day the hot cells with dimensions beyond 6 cubic meters in volume and specifications set out in the JCPOA. The Joint Commission considered and approved the operation of the following hot cells, subject to ongoing IAEA verification of the uses set forth below:

1. Two hot cells, each 2.41 by 1.84 by 3.63 meters, with no interconnection, collocated with the Tehran Research Reactor facility (TRR), which have been operated under the IAEA monitoring and declared to the IAEA under IRA DIQ (Design information questionnaire), used exclusively for the separation and processing of industrial or medical isotopes and non-destructive Post Irradiation Examination (PIE).
2. Three interconnected hot cells, each 3.40 by 2.74 by 5.0 meters, collocated with the Tehran radio-medicine production complex, which have been operated under IAEA monitoring and declared to the IAEA under IRJ DIQ, used exclusively for the separation and processing of industrial or medical isotopes and non-destructive PIE.
3. Six interconnected shielded cells, each 1.92 by 2.4 by 2.5 meters, collocated with the Tehran radio-medicine production complex, used exclusively for the separation and processing of industrial or medical isotopes.
4. Eight interconnected shielded cells, each 1.7 by 2.0 by 2.7 meters, collocated with the Karaj radio-medicine production complex, used exclusively for the separation and processing of industrial or medical isotopes.

**Decision of the Joint Commission
Established by the Joint Comprehensive Plan of Action**

In furtherance of implementation of its commitments under the JCPOA, Iran has developed a plan to transfer its Tehran Research Reactor (TRR) partially fabricated fuel plates and enriched targets out of Iran as well as provide for their return for future use. Iran shared this plan with the Joint Commission, and the Joint Commission considered and approved the plan in accordance with the parameters below, under its authority in consulting and providing guidance on implementation matters. This decision of the Joint Commission represents a common understanding of the scope of the relevant commitments of the JCPOA.

1. Iran will transfer out of Iran prior to Implementation Day all partially fabricated TRR fuel plates containing near-20% enriched uranium oxide mixed with aluminum and all near-20% enriched uranium oxide in the form of “mini-plates” for enriched targets, based on a commercial transaction in exchange for an agreed amount of natural uranium. Iran will repay the value of the natural uranium on a pro-rata basis. Such partially fabricated TRR fuel plates and “mini-plates” for enriched targets will be returned to Iran for future use, in increments no greater than 5 kg U₃O₈, to be used exclusively for fabrication of finished fuel elements for the TRR and enriched uranium targets for the TRR, beginning when Iran informs the IAEA of its readiness to receive these materials and thereafter upon IAEA verification that Iran has fabricated the previous increment into finished fuel elements or targets for the TRR and that finished fuel elements and targets in Iran have been tested as provided in paragraph 2 below. The IAEA is requested to undertake such verification and to notify the Joint Commission of the JCPOA and in parallel state parties involved in such return transactions when the conditions described in this paragraph and paragraph 2 have been met. Iran may request the return of the first 5kg increment of partially fabricated fuel plates and enriched targets to Iran immediately following Implementation Day.
2. Iran will conduct testing on all fabricated fresh TRR fuel elements by irradiating such elements prior to Implementation Day to achieve a level of at least 1 rem/hour (at one meter in air). Thereafter, Iran will conduct testing by irradiation as necessary such that all TRR fuel elements in Iran will measure no less than 1 rem/hour (at one meter in air) at all times until fifteen years after Implementation Day. Any enriched uranium targets imported by Iran or fabricated by Iran will be fully irradiated. Such irradiation of fuel elements and targets, and the transfer outside of Iran of any new scrap not in

fuel plates, is to be completed prior to or simultaneous to the provision of an additional 5 kg increment of near-20% enriched uranium in any form.

3. Iran's commitment not to build or operate facilities for converting fuel plates or scrap back to UF₆ includes the construction or operation of any component of a recovery line.

Template for Describing Centrifuge Types: Explanatory Note

I General

1. This attachment defines the template to be used for describing the different centrifuge types addressed in the Joint Comprehensive Plan of Action (JCPOA), as per Paragraph 54 of Annex I.
2. Iran will provide the numerical values and other information required to complete this template to the International Atomic Energy Agency (IAEA) and the Joint Commission by Implementation Day.

II Template, definitions, and tolerances

1. The attached table defines the numerical values and information required for the template, subject to the following definitions and tolerances.
2. As a fully developed and mature centrifuge design, and recognising that centrifuges are manufactured to precise specifications, the numerical information in the template for the IR-1 centrifuge is not subject to any further tolerance.
3. The following information provides further definition for selected design parameters listed in the template.
 - a) Rotor assembly length is the length of the assembled rotor from the top of the top rotor tube to the bottom of the bottom rotor tube.
 - b) Overall casing height is the height of the centrifuge machine from the top of the mounting block to the top of the casing upper flange, but exclusive of antennae or upper flange ports for instrument connection.
 - c) Casing outer diameter is the diameter of the centrifuge casing that is present over the majority of the centrifuge length.
 - d) Rotor tube length is the length of each rotor tube in the rotor assembly.
 - e) For rotor tube material of construction, Iran will provide the technical specifications (for composite material, ultimate tensile strength and specific modulus) or commercial manufacturer's product designator of the materials used for production of rotor tubes for each type of centrifuge.

- i. Iran will establish new locations at rotor tube manufacturing facilities solely for monitored storage of materials to be used for the manufacture of centrifuge rotors, for as long as paragraph 61 of Annex I of the JCPOA remains in effect, which will contain solely materials supplied in accordance with the procurement channel for as long as that procurement channel remains in effect.
- ii. The IAEA would maintain containment and surveillance at these storage locations.
- iii. For the materials to be used for centrifuge rotor manufacturing, the IAEA would verify the technical specifications of the materials prior to entering the monitored storage locations. When such materials are supplied in accordance with the procurement channel, such verification will be conducted outside Iran and the IAEA would maintain continuity of knowledge of these materials (e.g., through seals) until they enter the monitored storage locations. After the procurement channel is no longer in effect, for as long as paragraph 61 of Annex I of the JCPOA remains in effect, if such materials are received from an external supplier such verification will be conducted outside Iran and the IAEA would maintain continuity of knowledge of these materials (e.g., through seals) until they enter the monitored storage locations.¹ Iran will arrange for such IAEA verification.
- iv. No materials would enter the monitored storage locations unless the IAEA has conducted verification of the technical specifications of the materials and maintained continuity of knowledge.
- v. The IAEA would verify that Iran only engages in manufacturing of centrifuge rotor tubes using the materials that are drawn from the above referenced dedicated monitored storage locations for as long as Paragraph 61 of Annex I of the JCPOA remains in effect, subject to the exception specified below.

¹ This is without prejudice to the exemptions specified in paragraph 2 of Annex B of the UNSCR 2231 of 20 July 2015.

- vi. Despite the readiness of supply, Iran may decide, consistent with the JCPOA, to manufacture centrifuge rotor tubes using its own materials of construction, provided that the IAEA has verified the technical specifications of these materials through sampling and maintained them under monitoring until their use in the manufacture of rotor tubes.
 - vii. The IAEA will report to the Joint Commission in case of any inconsistency of the materials used for the production of each type of centrifuge.
- f) Estimated kg (U) SWU/y per centrifuge is an estimated range for the separative capacity of the centrifuge type when fully developed, in kilogram (uranium) separative work units per year per centrifuge.
 - g) For bellows material of construction, Iran will provide the material (metal or composite).
4. Numerical values in the template for all centrifuge types other than the IR-1 are subject to the following tolerances.
- a) For rotor assembly length, plus/minus 5 per cent of the specified value.
 - b) For rotor tube inner diameter, plus/minus 2 per cent of the specified value.
 - c) For overall casing height, plus/minus 10 per cent of the specified value.
 - d) For casing outer diameter, plus/minus 5 per cent of the specified value.

III Changes to Template Information

For any deviation from the information for a centrifuge type in the completed template, a full presentation by Iran to, and approval by, the Joint Commission is needed.

Template Describing Centrifuge Types

	Design parameter	IR-1	IR-2m	IR-4	IR-5	IR-6	IR-6s	IR-7	IR-8
1	Rotor assembly length (mm)	X	X	X	X	X	X	X	X
2	Rotor tube inner diameter (mm)	X	X	X	X	X	X	X	X
3	Overall casing height (mm)	X	X	X	X	X	X	X	X
4	Casing outer diameter (mm)	X	X	X	X	X	X	X	X
5	Rotor tube material of construction	X	X	X	X	X	X	X	X
6	Number of bellows	X	X	X	X	X	X	X	X
7	Estimated kg (U) SWU/y per centrifuge	X	X	X	X	X	X	X	X
8	Rotor tube length (mm)	X	O	O	O	O	O	O	O
9	Bellows material of construction	X	X	X	X	X	X	X	X

Explanation: X to be part of the template; O not to be part of the template.

Procedure to determine the SWU attribution to the IR-1, IR-2m and IR-4 centrifuge types

I. General

- 1) This attachment outlines the procedure to determine the SWU attribution to the IR-1, IR-2m and IR-4 centrifuge types, as per Paragraph 55 of Annex I of the JCPOA.
- 2) The SWU per centrifuge in single cascade operation will be used to determine the installed enrichment capacity during years 11, 12 and 13 in accordance with Iran's enrichment and enrichment R&D plan.
- 3) Measurements of the SWU will be performed for the IR-2m and IR-4:
 - a. Within 6 months before year ten for a small cascade of IR-4 centrifuges with no results to be communicated to the IAEA and Joint Commission.
 - b. In the beginning of year 11, once an IR-2m and/or IR-4 cascade has been installed, for cascade operation mode. The number of additional cascades will be based on this measurement.
 - c. During years 11, 12 and 13 every eight months cascade operation mode.
- 4) The SWU of the IR-1 is being assessed to be 1.0 kg U SWU per year per centrifuge based on historic experience.

II. Sets of measurements

- 1) Cascade measurements to obtain the SWU of IR-2m and IR-4 cascades will include two sets of measurements on the same cascade selected at random by the IAEA. Each set will consist of measurements at the declared nominal feed flow and at feed flow 15 per cent higher and 15 per cent lower than the nominal feed flow.
- 2) The final figure to be taken into account will be the arithmetic mean of the two cascade measurements at the declared nominal feed flow. This procedure to determine the SWU will be repeated if the IAEA deems this appropriate in order to resolve inconsistencies due to abnormal data.

III. Measurement procedure

Under full IAEA monitoring (as described in Section V):

- 1) Iran will operate all centrifuges at the nominal spinning frequency, feed, product and tails flow, temperature and internal settings as specified by Iran.
- 2) Iran will feed the cascade with UF₆ with the natural isotope abundance.
- 3) Each cascade measurement will begin after a lead time of 9 hours. During the lead time, the gas flow will be constant.
- 4) For a measurement time of 3 hours for cascade measurement, Iran will collect product and tail in appropriately sized containers with established tare weights and that are verified to be empty prior to use. All product and tails withdrawn from the cascade during the measurement period will be collected.
- 5) After the measurement time has elapsed, the collected product and tail samples will be weighed by Iran and the Agency.
- 6) Iran will homogenize the product and tail samples.
- 7) Iran will use half of the collected product and tail samples to determine the isotopic composition.
- 8) The Agency will use the other half of the collected product and tail samples to determine the isotopic composition at its laboratory.
- 9) The Agency will report back to Iran the results of the above measurements.

IV. Provision of information by Iran

- 1) Iran will provide to the Agency, before beginning of measurement, the nominal spinning frequency, the nominal feed, product and tail flows, temperature and the cascade configuration. The specified cascade configuration needs to be the cascade configuration used for production of enriched material.
- 2) Iran will provide the weight and isotopic concentration of the collected product and tail material within the DIQ to the Agency and the final averaged result for the IR-2m and IR-4 to the Joint Commission.

V. Verification measure of the Agency

- 1) Iran will provide access to the Agency to equipment and local measurement devices, as requested by the Agency, to enable the Agency to verify that Iran implements the agreed measurement procedure (as described in section III). In particular, the Agency will verify that:
 - a. Centrifuges are operated at nominal frequency, gas flow, temperature, the specified cascade configuration, and that all centrifuges are operating,

- b. All valves, the cascade configuration and operating status of all centrifuges, as declared, are set correctly,
- c. The feed material is UF₆ with the natural isotope abundance,
- d. The lead time is 9 hours and the measurement time is 3 hours for cascade measurements, and
- e. The feed flow does not vary during the lead time and the measurement time.

VI. Communication of results

- 1) The Agency will confirm to the Joint Commission that the weight and isotopic concentration of the collected product and tail provided by Iran in the DIQ is consistent with its own measurements.
- 2) If the Agency deems that the measurements provided by Iran are not consistent with its own measurements, it will raise the issue with Iran in order to resolve the inconsistency. In case this cannot be solved, the Agency will refer the issue to the Joint Commission.

VII. Calculation of the SWU

- 1) Based on the measurements, the SWU dU in Kg uranium per centrifuge and per year would be calculated according to the formula

$$dU = (31557600/tn)[PV(x_p) + TV(x_t) - FV(x_f)],$$

where $V(x) = (1 - 2x)\ln((1 - x)/x)$ and P is the mass of uranium in kg in the collected product, x_p is the isotopic concentration of the product (mole fraction), T is the mass of uranium in kg in the collected waste, x_t is the isotopic concentration of the waste, $F = P + T$ and x_f is the natural isotopic concentration, t is the measurement time in seconds and n is the number of centrifuges in a cascade.

**Decision of the Joint Commission
Established by the Joint Comprehensive Plan of Action**

Iran briefed the Joint Commission on its plan, for irradiating low enriched uranium (LEU) at the Tehran Research Reactor (TRR) as specified below. The Joint Commission has considered and approved the plan in accordance with the parameters below, under its authority in consulting and providing guidance on implementation matters. This decision of the Joint Commission represents a common understanding of the scope of the relevant commitments of the Joint Comprehensive Plan of Action (JCPOA).

All LEU at an enrichment level of 3.67% or less in any form, such as fuel pellets, fuel pins, fuel elements, fuel assemblies, and targets or mini-plates, tested or irradiated at the TRR, does not count against Iran's enriched uranium stockpile as specified in the JCPOA, provided that such items have after irradiation a dose rate confirmed by the IAEA, through verification, of no less than 1.0 rem/hour (at one meter in air) at all times for 15 years from Implementation Day.

**Decision of the Joint Commission
Established by the Joint Comprehensive Plan of Action**

The Joint Commission has considered procedures to govern its activities with respect to the Procurement Channel, and under its authority in consulting and providing guidance on implementation of the Joint Comprehensive Plan of Action (JCPOA), has approved the following attached documents with the understanding that these documents may be reviewed, if the need arises:

- Practical arrangements for the Procurement Working Group of the Joint Commission for matters relating to the Procurement Channel
- Optional Application Form
- Explanatory Note: Optional Application Form
- Optional End-Use Certification
- Explanatory Note: Optional End-Use Certification
- Information on the Procurement Channel

The Joint Commission requests the Coordinator to make the following documents publically available, including through forwarding these to the United Nations for publication on the UN website.

- Optional Application Form
- Explanatory Note: Optional Application Form
- Optional End-Use Certification
- Explanatory Note: Optional End-Use Certification
- Information on the Procurement Channel
- Statement on Confidentiality in the Procurement Working Group and the Joint Commission for matters relating to the Procurement Channel

Practical arrangements for the Procurement Working Group and the Joint Commission for matters relating to the Procurement Channel

A. General

1. The Procurement Working Group will provide a forum for discussion among the E3/EU+3 and Iran to address and make decisions with regard to questions and issues regarding the implementation of the procurement channel.
2. Except as decided otherwise, meetings of the Procurement Working Group will be held in Vienna.
3. Except as decided otherwise, the Procurement Working Group will meet every three weeks. The date and time of meetings will be determined by the Coordinator in consultation with the participants of the Procurement Working Group.
4. The working language of the Procurement Working Group and of the Joint Commission when dealing with matters relating to the procurement channel as set out in Section 6 of Annex IV of the JCPOA will be English.
5. The meetings of the Procurement Working Group may include a part to which the IAEA will be invited to participate as an observer.
6. For procurements for Iran's nuclear programme, the AEOI will sign the end-use certification. For procurements for a non-nuclear civilian end-use, the appropriate authority as specified and duly made known to the Working Group by Iran will sign the end-use certification.

B. Review of proposals by the Procurement Working Group and the Joint Commission

1. Upon receipt of a proposal from the Security Council the Coordinator of the Procurement Working Group will forward the proposal without delay (within one working day) to the participants of the Procurement Working Group and if the proposal relates to items, materials, equipment, goods and technology intended to be used in nuclear activities authorized by the JCPOA also to the IAEA. At this point in time the period for consideration of the proposal begins.
2. When circulating proposals to the Procurement Working Group participants, the Coordinator will indicate the end-date and time of the 20 working day consideration period. Each participant of the

Procurement Working Group will communicate to the Coordinator within this 20 working day period whether it approves or rejects a proposal or whether it requests an extension of the consideration period.

3. If at the end of the 20 working day period or before, the Coordinator has received approvals from all participants of the Procurement Working Group, the Coordinator will notify the Security Council of a positive recommendation of the Joint Commission without delay (within one working day). If the Coordinator has received at least one request for extension, the timeline for consideration will be extended by additional ten working days unless the Coordinator has received one or more disapprovals from participants of the Procurement Working Group. In this case the Coordinator will notify all Procurement Working Group participants of the new end-date and time of the consideration period. The Coordinator will also notify the Security Council of an extension of the timeline for consideration.
4. If at the end of the 30 working day period, the Coordinator has received no disapprovals, the Coordinator will notify the Security Council of a positive recommendation of the Joint Commission without delay (within one working day).
5. If at least one disapproval has been received at the end of the review period (20 or 30 working days if extended), the proposal may, at the request of at least two participants of the Procurement Working Group, be referred within 5 working days to the Joint Commission for review. The Coordinator will inform the working group participants until which date and time participants need to request a review. If at least two requests are received by this date and time, the Joint Commission review will take place within 10 working days and the proposal will be decided by consensus. The disapproving JCPOA participant(s) should provide relevant information regarding the disapproval to the Joint Commission as appropriate, taking into account the need to protect confidential information.
6. Approvals and disapprovals in the Procurement Working Group will be communicated by the participants of the Procurement Working Group to the Coordinator to be forwarded to the other participants of the Procurement Working Group.
7. The recommendation of approval or disapproval of the Joint

Commission will be communicated by the Coordinator to the Security Council and in parallel to the JCPOA participants.

8. Participants of the Procurement Working Group may provide relevant information regarding a disapproval of a proposal, including questions relevant for a resubmission of a proposal, as appropriate, to the Coordinator. The Coordinator will compile all information and questions provided by the participants and forward them together with a negative recommendation of the Joint Commission to the Security Council to be forwarded to the proposing state.
9. The Joint Commission will only provide a recommendation of approval or disapproval to the Security Council. In cases where the E3+3 and Iran decide that the proposal does not relate to transfers and activities referenced in Section 6.1 of Annex IV of the JCPOA, the Coordinator could return the proposal to the Security Council without action.

C. Reporting

1. The Joint Commission will report to the Security Council every six months on the status of the Procurement Working Group's decisions and on any further implementation issues.
2. The Coordinator will compile the report to the Security Council, containing a list of all proposals which have been submitted to the Joint Commission during this period as well as any proposals from previous periods which are still pending. This list should state whether proposals have been recommended for approval or disapproval by the Joint Commission and whether they have been reviewed by the Joint Commission. For proposals which are still pending, the list should state the status of consideration.
3. Any further issues may be included in the report by consensus of the participants of the procurement working group.

D. Guidance

1. The Procurement Working Group will formulate and update as required guidelines on the procurement channel, which will be provided to the Security Council for publication on the UN website.
2. The guidelines for proposing states will include among others, an outline of the procedure and timelines, an application form and end-use-certification together with explanatory notes and advice on practical considerations in the form of questions and answers.
3. The Procurement Working Group will endeavour to respond to

requests for guidance from third parties, as communicated by the Coordinator, within 9 working days. Such communication will be shared with the Security Council. The Procurement Working Group could advise states, by consensus whether a proposal relates to transfers and activities referenced in Section 6.1 of Annex IV of the JCPOA. It could also advise on the completeness of proposals. The Procurement Working Group will not give preliminary decisions on the approval or disapproval of proposals.

E. End-use verification

1. Under the JCPOA, Iran will permit the exporting state to verify the end-use of all items, materials, equipment, goods and technology set out in INFCIRC/254/Rev.9/Part 2 imported following the procedure under Section 6 of Annex IV of the JCPOA. Under UNSC Resolution 2231, the exporting state must have obtained and be in a position to exercise effectively a right to verify the end-use. How end-use verification is implemented needs to be agreed between the exporting state and Iran.
2. The modalities for end-use verification may be described in the application.
3. Upon request of the exporting state, or if the Joint Commission deems necessary when approving a proposal for transfer, the Joint Commission will provide expertise to the exporting state, including experts, as needed, to participate in the end-use verification.

Optional Application Form¹

(For activities falling under paragraph 2 of Annex B of UNSC Res. 2231 (2015))

1 **State submitting the proposal:** _____

2 **Proposed activity** (according to paragraph 2 of Annex B of UNSC Res. 2231)

2 (a) supply, sale, or transfer directly, or indirectly from their territories, or by their nationals or using their flag vessels or aircraft to or for the use or benefit of, Iran, and whether or not originating in its territory, of:

Specify type of the above activity (if applicable):

items, material, equipment, goods and technology set out in INFCIRC/254/Rev.12. Part 1

items, material, equipment, goods and technology set out in INFCIRC/254/Rev.9 Part 2

further items if the State determines that they could contribute to reprocessing or enrichment-related or heavy water-related activities inconsistent with the JCPOA

2 (b) the provision to Iran of:

technical assistance or training

financial assistance, investment, brokering

or other services

Specify type of the above activity (if applicable):

and the transfer of financial resources or services related to the:

supply, sale, or transfer

manufacture

use

Specify type of the above activity (if applicable):

¹ Proposals submitted by States to engage in certain activities with Iran in accordance with UNSC Res. 2231 (2015) and the Joint Comprehensive Plan of Action (JCPOA) are protected under the confidentiality procedure of the UN, per paragraph 3.4 of Annex IV of the JCPOA.

of the items, material, equipment, goods and technology described in subparagraph (a) above

- 2 (c) acquisition by Iran of an interest in a commercial activity involving uranium mining or production or use of nuclear materials or technology as listed in INFCIRC/254/Rev.12/Part 1, and such investment in territories under its jurisdiction by Iran, its nationals, and entities incorporated in Iran or subject to its jurisdiction, or by individuals or entities acting on their behalf or at their direction, or by entities owned or controlled by them

3 **Supporting information**

(*: The asterisk denotes necessary supporting information according to Annex IV of the JCPOA and requirements for the proposing State according to paragraph 2 of Annex B of UNSC Res. 2231. The provision of the other information is optional.)

- 3 (a) Description of the item*

Description*:

(For items, material, equipment, goods and technology set out in INFCIRC/254/ Rev.12. Part 1 or INFCIRC/254/Rev.9/Part 2) Control list number:

(For items, material, equipment, goods and technology other than those set out in INFCIRC/254/ Rev.12. Part 1 or INFCIRC/254/Rev.9/Part 2) Reason for submission:

Technical documentation (supporting document)

Quantity/weight (if applicable): _____

Currency and total value in the exporting State (if applicable): _____

Additional items (separate sheet):

3 (b) Name, address, telephone number, and email address of the exporting entity (or entity providing related service)*

Name*	
Address*	
Telephone number*	
Email address*	
Website (if applicable)	

Name, address, telephone number, and email address of other entities involved provided on a separate sheet (if applicable):

3 (c) Name, address, telephone number, and email address of the importing entity*

Name*	
Address*	
Telephone number*	
Email address*	
Website (if applicable)	

3 (d) Statement of proposed end-use and end-use location*

End-use for Iran's nuclear programme authorized by the JCPOA
Non-nuclear civilian end-use

Description of end-use:

End-use location of the item (or the item in which the item will be incorporated):
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End-use certification signed by the AEOI or the Ministry of Industry, Mine and Trade of Iran attesting the stated end-use*

The proposing State will ensure that the requirements, as appropriate, of the Guidelines as set out in INFCIRC/254/Rev.12/ Part 1 or INFCIRC/254/Rev.9/Part 2 have been met.*

Name, address, telephone number, and email address of the end-user (if different from the importing entity)*:

Name*	
Address*	
Telephone number*	
Email address*	
Website (if applicable)	

3 (e) Export license number*

(if not available when the application is submitted, such information must be provided by the proposing State to the Security Council as soon as possible and in any event as condition of approval prior to shipment of the item).

3 (f) Contract date*

(if not available when the application is submitted, such information must be provided by the proposing State to the Security Council as soon as possible and in any event as condition of approval prior to shipment of the item).

3 (g) Details on transportation* (if not available when the application is submitted, such information must be provided by the proposing State to the Security Council as soon as possible and in any event as condition of approval prior to shipment of the item).

State of origin (if different from State submitting the proposal):

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State of consignment from which goods are sent to Iran (if different from State submitting the proposal):

Other State(s) involved in the transaction (specify function):

Type of conveyance (e.g. ship, air, if applicable)

3 (h) End-use verification (in accordance with Section 6.8 of Annex IV of the JCPOA)

The proposing State has obtained and is in a position to exercise effectively a right to verify the end-use and end-use location of all items to be supplied to Iran*

Details on end-use verification (if appropriate)

3 (i) Additional information (if applicable):

--

Additional information in separate document:

4 Point of Contact

Name	
Address	
Telephone number	
Email address	

5 Date of Submission

--

Information on additional items involved in the transfer
(in addition to those listed under 3 above)

Description:

(For items, material, equipment, goods and technology set out in INFCIRC/254/ Rev.12. Part 1 or INFCIRC/254/Rev.9/Part 2) Control list number:

(For items, material, equipment, goods and technology other than those set out in INFCIRC/254/ Rev.12. Part 1 or INFCIRC/254/Rev.9/Part 2) Reason for submission:

Technical documentation (supporting document)

Quantity/weight (if applicable):

Currency and total value (in the exporting State):

Information on other entities involved (if applicable):

Name, address, telephone number, and email address of this entity

Name	
Address	
Telephone number	
Email address	
Website (if applicable)	
Function	

Name, address, telephone number, and email address of this entity

Name	
Address	
Telephone number	
Email address	
Website (if applicable)	
Function	

Name, address, telephone number, and email address of this entity

Name	
Address	
Telephone number	
Email address	
Website (if applicable)	
Function	

Explanatory Note: Optional Application Form
(For activities falling under paragraph 2 of Annex B of UNSC Res. 2231 (2015))

This form can be used by States to apply for permission for all activities falling under paragraph 2 of Annex B of UNSC Res. 2231 (2015). It is intended to help States to submit proposals which include all necessary supporting information as specified in Annex IV of the JCPOA.

1 State submitting the proposal

Name of the State submitting the proposal in order to allow proper attribution.

The first State seeking to engage in a transfer requiring approval by the Security Council should submit the proposal. If the Security Council approves the proposed transfer, activities, such as financial, transportation, and insurance transactions directly related to the approved transfer that are consistent with UNSC Res. 2231 and the JCPOA may also be considered approved for that transfer. Information on these activities must be provided by the State to the Security Council as soon as possible and in any event as a condition of approval before the activity taking place. States would need to submit a new proposal for any additional items not identified in the original proposal.

For an activity involving several States, there are optional fields (later in the form) for the State submitting the proposal to identify other entities involved in the transaction. In such circumstances, approval of the proposal identifying such other entities is sufficient to provide approval for the participation of such other entities (and there need not be a separate proposal).

2 Type of proposed activity

In this section, the proposing State should specify the activity or activities, as set out in paragraph 2 of Annex B of UNSC Res. 2231 (multiple entries possible).

- 2 (a) This section covers the activities set out in paragraph 2 (a) of Annex B of UNSC Res. 2231, that are **the supply, sale, or transfer** of items to Iran.

If applicable the type of the activity can be specified in the box below.

Tick box: type of item, material, equipment and technology. Multiple entries are possible for proposals relating to items set out in INFCIRC/254/Rev.12. Part 1, INFCIRC/254/Rev.9. Part 2, or any further items (not covered by the INFCIRCS) if the State determines that they could contribute to reprocessing or enrichment-related or heavy-water related activities inconsistent with the JCPOA.

- 2 (b) This section covers the activities set out in paragraph 2 (b) of Annex B of UNSC Res. 2231, that are **services and assistance related** to the supply, sale, or transfer of items to Iran or the manufacture or use of such items in Iran.

Tick box: type of related services. Multiple entries are possible. If applicable the type of the activity can be specified in the box below (in particular if the box other services has been ticked).

Tick box: type of activity to which proposed service or assistance is related to. Multiple entries are possible.

- 2 (c) This section covers the activities set out in paragraph 2 (a) of Annex B of UNSC Res. 2231, that is the **acquisition by Iran of an interest in a nuclear-related commercial activity**. The application form is primarily designed for activities falling under 2 (a) and 2 (b). For activities falling under 2 (c) some of the following supporting information may not be applicable. The proposing States should attach further information.

3 Supporting information

3 (a) Description of the goods/description of the related service

This entry should contain a clear description of the items to be exported. A description is part of the necessary supporting information.

The entry should allow for an understanding of the relevance of the item or the service for the procurement channel. The entry should neither be too general (e.g. "tools") nor be limited to product names. A detailed description could help to clarify why goods fall under the criteria of the respective entry on the control lists and verify whether the transaction is in line with the JCPOA.

For **proposals covering several items**, only the first item should be described in the section. A description of additional items needs to be provided on a separate sheet.

For items, material, equipment, goods and technology set out in INFCIRC/254/ Rev.12. Part 1 or INFCIRC/254/Rev.9/Part 2, the NSG **control list number** should be provided. It is also useful, for NSG States, to use the NSG control parameters to describe the characteristics of the items.

If the proposal relates to **further items** which are not set out in INFCIRC/254/ Rev.12. Part 1 or INFCIRC/254/Rev.9/Part 2, the proposing State could specify its reasons for submission to the procurement channel.

Technical documentation may be provided by proposing States. This will be useful for the assessment of the proposal.

Quantity/Weight (if applicable): Indication of quantity of items; the type of unit applicable should also be indicated (e.g. units, kilograms, etc.)

Currency and total value (if applicable): Information on the value of goods to be exported or value of services provided, together with the currency. This information is useful for the assessment of the proposal and can be provided in approximate form. The value should be given in the currency of the exporting State.

3 (b) Exporting entity/entity providing related service

Name and details of the entity exporting the items or providing the related services. This is part of the necessary supporting information.

Other involved entities (if different from exporting and importing entity, if applicable) should be provided on a separate sheet: entries should identify other parties involved in a transaction and specify their role, e.g. agents, brokers, first consignees, freight forwarders etc. In order to avoid duplications and in order to get an immediate understanding of the proposal, it will be helpful to have explanations on the key entities involved in the transaction.

3 (c) Importing entity in Iran / Iranian entity to which related services are provided to

Name and details of the entity in Iran importing the items or benefiting from related services. This is part of the necessary supporting information. In many cases this will be the end-user of the items in question. If not, the name and details of the end-user need to be provided under 3 (d).

3 (d) Statement of the proposed end-use and end-use location

A statement of the proposed end-use and end-use location is part of the necessary supporting information.

The **tick-box** (End-use for Iran's **nuclear** programme authorized by the JCPOA/**Non-nuclear** civilian end-use): If the end-use is for a nuclear purpose as certified by the Atomic Energy Organisation of Iran (AEOI), the Coordinator of the Procurement Working Group will send the application to the International Atomic Energy Agency (IAEA) (in addition to the Procurement Working Group).

The **description of the proposed end-use** should clarify the purpose for which the item(s) will be used by the end-user. The description should allow an assessment of the proposal without being overly technical. The description should correspond with the description in the end-use document.

End-use location: The entry should contain information on where the item in question will be used (details of location). If the good is being exported for incorporation into another product by the end user, information on that product should be provided instead.

End-use certification signed by the Atomic Energy Organisation of Iran (AEOI) or the Ministry of Industry, Mine and Trade of Iran attesting to stated end-use to be attached to proposal.

Guidelines in the INFCIRCs: With this tick box the proposing State confirms that the requirements, as appropriate, of the Guidelines as set out in INFCIRC/254/ Rev.12/ Part 1 or INFCIRC/254/Rev.9/Part 2 have been met. This relates in particular to guidelines on re-sale, re-transfer, and re-export.

If different from the importing entity, name and details of the **end-user** need to be provided.

3 (e) National export licence or reference number (if applicable):

National export licence or reference number linked with the Country Code in order to allow proper attribution for State submitting the proposal.

If not available as of the time of submittal of the proposal, such information must be provided by the proposing State to the Security Council as soon as possible and in any event as condition of approval prior to shipment of the item. If the national reference number was provided in the original application and if the proposing State notifies the Security Council that the national processing number is identical with the final export licence number, this information does not need to be submitted again. If the proposal is approved prior to receipt of this information, the Security Council should note in its letter to the exporting State, that this information is required to be submitted prior to shipment, as specified in Annex IV, section 6.4.2 of the JCPOA.

3 (f) Contract date

Date when the contract was concluded (if applicable).

If not available as of the time of submittal of the proposal, such information must be provided by the proposing State to the Security Council as soon as possible and in any event as condition of approval prior to shipment of the item. If the proposal is approved prior to receipt of this information, the Security Council should note in its letter to the exporting State, that this information is required to be submitted prior to shipment, as specified in Annex IV, section 6.4.2 of the JCPOA.

3 (g) Details on transportation

Details on transportation will in many cases not be available when a proposal is submitted to the Security Council. If not available as of the time of submittal of the proposal, such information must be provided by the proposing State to the Security Council as soon as possible and in any event as condition of approval prior to shipment of the item. If the proposal is approved prior to receipt of this information, the Security Council should note in its letter to the exporting State, that this information is required to be submitted prior to shipment, as specified in Annex IV, section 6.4.2 of the JCPOA.

The following fields are meant to provide more guidance on the kind of information needed for the Procurement Working Group to understand the movement of the items. The information can also help to identify possible duplications of proposals. In the case of a technology or software transfer, transportation details may not be relevant.

State of origin (if different from state submitting the proposal): State from which the items are originating.

State of consignment from which goods are sent to Iran (if different from State submitting the proposal): State from which the items will be shipped to Iran.

Other States involved in the transaction (please provide explanation/function): Possibility to provide more information on the transportation route if deemed necessary.

Type of conveyance (e. g. ship, air, rail, truck).

As indicated in the explanations under 3(c), the name of the freight forwarder or shipping agent should be provided on a separate sheet.

3 (h) End-use verification

Tick box end-use verification: With this tick box the proposing State confirms to have obtained and be in a position to exercise effectively a right to verify the end-use and end-use location of all items to be supplied to Iran.

It will be helpful if the proposing State provides further information on the measures agreed to with Iran and the recipient company to verify the end-use.

3 (i) Additional information

The proposing State may provide additional information to support the consideration of the proposal.

4 Date of Submission

Date of submission of the proposal.

5 Point of contact

Important for the administration of the proposal, including – if appropriate – for obtaining further information on the proposal. This should be the appropriate authority of the proposing State, which has submitted the proposal.

Official headed paper of the authority of Iran

OPTIONAL END-USE CERTIFICATION²
for presentation to the export control authorities
of [EXPORTING STATE] and the United Nations Security Council in accordance with the JCPOA

Section A – Parties

Consignee (name, address website and contact details)
End-user (name, address, website and contact details), if different from consignee
Exporting entity/supplier (name, address and contact details)

Section B – Items (goods, software or technology)

Description of the items (goods, software or technology)
Quantity/Weight (in case of technology not applicable)

Section C – End-use/Purpose of the items

Purpose of the items (goods, software or technology). Please specify:
a. Goods will be used in the form received and will not be re-exported, re-transferred, or further distributed without prior consent from the exporting State <input type="checkbox"/> .
b. Goods will be incorporated into the following products: _____ and will not be re-exported, re-transferred, or further distributed without prior consent from the exporting State <input type="checkbox"/> .
c. Goods or incorporated goods are to be re-sold, re-exported, or further distributed to the following end users _____ for the following end products _____ <input type="checkbox"/> .
d. goods are for temporary export to Iran for the purpose of a trade fair or demonstration sponsored by: _____ to be held on date: _____, without any Iranian entity taking permanent possession of the goods <input type="checkbox"/> .
- if the items (goods, software or technology) are to be incorporated into or used for the development, production, use or repair of another item please describe that item, its purpose and end-user:

Section D – End-use location

Specification of the end-use location

² Proposals submitted by States to engage in certain activities with Iran in accordance with UNSC Res. 2231 (2015) and the Joint Comprehensive Plan of Action (JCPOA) are protected under the confidentiality procedure of the UN, per paragraph 3.4 of Annex IV of the JCPOA.

Section E – Certification of the end-user undertaking by the end-user

The stated end-use (Section C) and end-use location (Section D) is hereby attested.

The end-user will not use the above-mentioned items and any replica thereof (or, in the case of technology any derived items) in the storing, processing, producing and developing of, or in any other way related to, weapons of mass destruction and their delivery systems or any use other than we declared above.

The end-user will permit the exporting state to verify the end-use of the above-mentioned items, materials, equipment, goods and technology set out in INFCIRC/254/Rev.9/Part2.

Place, Date

Original signature

Official seal (if applicable)

Name and title of signer in block letters

Section F – Certification of the end-user undertaking by the appropriate authority of Iran

This is to certify that the above-mentioned items and any replica thereof (in case of technology also derived goods) will be used for:

- Iran's nuclear programme as set out in the JCPOA
- a non-nuclear civil end-use consistent with the JCPOA

The stated end-use (Section C) by the importing entity and end-use location (Section D) is hereby attested.

Iran will not use the above-mentioned items and any replica thereof (or, in the case of technology any derived items) in the storing, processing, producing and developing of, or in any other way related to, weapons of mass destruction and their delivery systems or any use other than we declared above.

Iran will not retransfer the above-mentioned items within Iran without prior consent from the exporting State. Iran will meet the requirements of the guidelines as set out in INFCIRC/254/Rev.12/Part 1 and INFCIRC/254/Rev.9/Part 2.

Iran will permit the exporting State to verify the end-use of the above-mentioned items, materials, equipment, goods and technology set out in INFCIRC/254/Rev.9/Part2.

Iran will provide to the IAEA access to the locations of intended use of all items, materials, equipment, goods, and technology set out in INFCIRC/254/Rev.12/Part 1.

Place, Date

Original signature

Official seal

Name and title of signer in block letters

Explanatory Note: Optional End-Use Certification (EUC)
(For activities falling under paragraph 2 of Annex B of UNSC Res. 2231 (2015))

This form can be used by States to assess and obtain certification of the end-use for all activities falling under paragraph 2 of Annex B of UNSC Res. 2231 (2015). An end use certificate is among the necessary supporting information that is to be included with a proposal.

I. General Information

To facilitate timely consideration of the proposal, it is important that the proposing State provide a correct and complete EUC. An incorrect or incomplete EUC might lead to an incomplete proposal, which is likely to result in the proposal being delayed or denied.

The EUC needs to be signed and dated by the Atomic Energy Organisation of Iran (AEOI) for procurements for Iran's nuclear programme and the Ministry of Industry, Mine and Trade of Iran for procurements for a non-nuclear civilian end-use. 'Digital' signatures are not acceptable. All sections of the EUC should be completed legibly.

Be mindful of references to any unfamiliar abbreviations or acronyms particularly those referring to Consignees or End-Users. To avoid a delay or denial of your proposal, acronyms should be spelled out in full.

II. Guidance regarding the EUC

This sample EUC form encompasses 6 sections (A to F). The following headings deal with each section individually and offer a detailed explanation regarding all elements of each section.

Please be aware: the EUC form must be printed on an official headed paper of the Iranian authority, as noted in the upper left side of the EUC form.

1. Section A – Parties

- **Consignee:** The Consignee is the first recipient of the items, who can wield direct or indirect influence on the items. In certain cases, there might also be several Consignees. **In this case all Consignees must be named in the EUC.** A Consignee can also be the final End-User. Please note that a person/company, who/which only acts as a broker is not a Consignee.
- **End-User:** The final End-User is the entity, which consumes, uses, incorporates etc. the item. **The Consignee and the End-User can be identical.** In cases of identicalness please use the box Consignee solely.
- **Exporting entity/supplier:** The exporting entity/supplier is the contracting partner of the Consignee.

2. Section B – Items (Goods, software or technology)

a. General terms

- **Item:** The term item includes goods, software and technology. Software can be exported electronically (e.g. via email) or physically on a (mobile) data storage device (e.g. USB-stick).
- **Technology:** Technology encompasses documents, data, records etc. which can be used for the production of goods or production of parts of these goods or any developments or use of the aforementioned. Goods which will be produced with the assistance of the technology are referred to as derived goods.

b. Boxes of the section

- *Description of the item(s):* Please describe each item in as much detail as possible to enable a comprehensive technical evaluation.
- *Quantity/Weight:* These boxes must only be completed in cases of goods and software.

3. Section C – End-Use/Purpose of the item(s)

- *Purpose of the item(s):* Please describe the purpose of each item in as much detail as possible to enable a comprehensive technical evaluation especially regarding the intended end-use of the item.

Please be aware that this box is a vital element for the overall evaluation of the export. If the purpose is not clearly stated, this might lead to a denial of the proposal.

- *Tick-boxes re-transfer, incorporation of goods:* One (and only one) of the following four options for the purpose of the item should be selected: (a) Goods will be used in the form received and will not be re-exported, re-transferred or further distributed without prior consent of the exporting State, (b) Goods will be incorporated into specific products (to be specified) and will not be re-exported, re-transferred, or further distributed without prior consent of the exporting State, (c) Goods are to be re-sold, re-exported, or further distributed to specific end-users (to be specified) for specific end-products (to be specified), (d) Goods will be temporarily exported to Iran. These tick-boxes complement the above description on the purpose of the item(s).
- *In cases of incorporation of the item(s) or usage for the development, production, usage or repair of another item,* this item must be described in detail as well as the purpose and the respective End-User. Please note that this box is only to be completed, if the exported item(s) is (are) further used in the above specified way.

4. Section D – End-Use location

Please specify the exact *End-Use location* of the exported items. This location might differ from the address of the End-User (if different from the Consignee).

For example: Company X, with its central procurement office in city Y, buys the item but uses it in its production facility in city Z. In this case there is only one End-User (company X), but the End-Use location (city Z) differs from the order address (city Y).

Therefore please note: The End-Use location is the place where the item is actually used, consumed etc.

5. Section E – Certification of the end-user undertaking by the end-user

In this section the end-user attests the end-use/purpose of the item declared under section C and the end-use location declared under section D and permits the exporting State to verify the end-use of items set out in INFCIRC/254/Rev.9/Part 2 which are to be imported following the procedure under Section 6 of Annex IV of the JCPOA.

All these statements and information must be signed by the end-user. This includes the mentioning of (1.) the place and date, (2.) the official seal (if applicable), (3.) the signature itself and (4.) the name and title of the signer in block letters.

6. Section F – Certification of the end-user undertaking by the appropriate authority of Iran

In this section the appropriate authority of Iran explicitly declares what the exported goods are going to be used for by checking one of the tick boxes. **Please be aware** that only one box can be ticked to have a valid EUC as these options are alternatives and cannot be present at the same time.

If goods and services are for Iran's nuclear programme as set out by the JCPOA, the end-use certification needs to be signed by the Atomic Energy Organisation of Iran (AEOI). For non-nuclear civilian end-use, the end-use certification needs to be signed by the Ministry of Industry, Mine and Trade of Iran.

The appropriate authority of Iran confirms that the above mentioned items will not be retransferred in Iran without prior consent from the exporting State and that Iran will meet the requirements of the guidelines as set out in INFCIRC/254/Rev.12/Part 1 and INFCIRC/254/Rev.9/Part 2.

Furthermore, the appropriate authority of Iran attests the End-Use/Purpose of the item declared under Section C and the end-use location declared under Section D and permits the exporting State to verify the End-Use of items set out in INFCIRC/254/Rev.9/Part 2 which are to be imported following the procedure under Section 6 of Annex IV of the JCPOA.

Iran will provide to the International Atomic Energy Agency (IAEA) access to the locations of intended use of all items, materials, equipment, goods, or technology set out in INFCIRC/254/Rev. 12/Part 1.

All these statements and information must be signed and verified by the appropriate authority of Iran. This includes the mentioning of (1.) the place and date, (2.) the official seal, (3.) the signature itself and (4.) the name and title of the signer in block letters.

Information on the Procurement Channel

The Procurement Working Group of the Joint Commission has provided this document to give practical information to States on the Procurement Channel. Further details can be found in UN Security Council resolution 2231 (2015) and Annex IV of the JCPOA.

The Procurement Channel reviews proposals by States seeking to participate in or permit certain transfers of nuclear or dual-use goods, technology, and/ or related services to Iran. States submit proposals to the United Nations Security Council. The Joint Commission will then assess the application and provide a recommendation to the Security Council. The Security Council will decide on the basis of this recommendation and inform the State about its decision. States may wish to use this form to provide all relevant information and will need end-use certification by the appropriate Iranian authority (see model end-use certification).

Contact information for enquiries:

Security Council: SC-Resolution2231@un.org

Joint Commission/Procurement Working Group: PWG-enquire@eeas.europa.eu

A. General outline of the Procurement Channel

1. What is the Procurement Channel?

United Nations Security Council resolution 2231 (2015) requires States to obtain prior approval from the Council for certain specified activities with Iran. The Procurement Channel was established by the Joint Comprehensive Plan of Action (JCPOA) and endorsed by the resolution as the mechanism to review proposals by States seeking to engage in these activities with Iran for nuclear and non-nuclear civilian end-uses.

Proposals should be submitted to the UN Security Council. The Security Council will forward proposals to the Procurement Working Group of the Joint Commission, which is comprised of China, France, Germany, Iran, the Russian Federation, the United Kingdom, the United States, with the High Representative of the Union for Foreign Affairs and Security Policy. The Procurement Working Group will review proposals within a specified timeline and submit a recommendation on behalf of the Joint Commission to the Security Council for its final review and decision. The Security Council will then notify the proposing State whether its request has been approved or disapproved.

2. What does the Procurement Channel cover?

The procurement channel generally covers:

(1) The supply, sale or transfer of nuclear and dual-use items, materials, equipment, goods, and technology (set out in INFCIRC/254/Rev.12/Part 1 and INFCIRC/254/Rev.9/Part 2 respectively for nuclear and non-nuclear civilian end-uses, as well as any further items if the relevant State determines that they could contribute to activities inconsistent with the JCPOA).

(2) The provision to Iran of assistance or services related to the supply, sale, transfer, manufacture, or use of nuclear and dual-use goods (e.g. technical assistance or training, financial assistance, investment, brokering).

(3) The acquisition by Iran of an interest in certain commercial nuclear-related activity in another State and related investments.

See Annex B of Security Council resolution 2231 (2015) and paragraph 6.1 of Annex IV of the JCPOA for more detail, including certain exemptions as set out therein.

3. How do States submit a proposal under the Procurement Channel?

States are encouraged to send proposals by email to SC-Resolution2231@un.org. States may use the model application form that includes all necessary supporting information as specified by United Nations Security Council resolution 2231 (2015) and Annex IV of the JCPOA. Additional information on how to fill out this form is available [here](#). It is helpful to submit the proposals in a machine readable format as this is likely to speed up the review process.

4. Can private entities, such as exporters or providers of technical assistance, submit a proposal or engage directly with the Security Council or Joint Commission?

The Procurement Working Group will endeavour to respond to requests for guidance from third parties. Private entities are encouraged to contact their national authorities first. Private entities cannot directly submit proposals or engage with the Security Council. Exporters and providers of technical assistance will need to apply to the competent national authority for the relevant authorisation, in accordance with their national legislation. The Security Council will not respond to inquiries received directly from companies or individuals.

5. What information is required in a proposal?

The necessary supporting information for a proposal is defined in paragraph 6.4.2 of Annex IV of the JCPOA. It includes:

- (a) a description of the item;*
- (b) the name, address, telephone number, and email address of the exporting entity;*
- (c) the name address, telephone number, and email address of the importing entity;*
- (d) a statement of the proposed end-use and end-use location, along with an end-use certification signed by the Atomic Energy Organisation of Iran (AEOI) or the Ministry of Industry, Mine and Trade of Iran attesting to the stated end-use;*
- (e) export license number, if available;*
- (f) contract date, if available; and*
- (g) details on transportation, if available.*

If the information (e), (f) and (g) is not available when a proposal is submitted to the Security Council, it must be provided by the proposing State as soon as possible and in any event as condition of approval prior to shipment of the item.

Using the application form will help States to provide all necessary information. In addition, States may provide as much information and technical detail as possible. Particular attention should be given to the description of the item, which should allow for a proper understanding of the item in question (see question 18 below).

6. What happens if the proposal is incomplete?

Incomplete proposals will likely be denied due to the lack of sufficient information.

7. In what language can proposals be submitted?

Proposals should be submitted to the Security Council in any of the six official languages of the United Nations. If needed, documents will then be translated by the United Nations Secretariat. This will be done before the beginning of the review period in the Joint Commission.

8. How are proposals decided? How long will the review process take?

After receiving a proposal, the Security Council will consult the Joint Commission. The Procurement Working Group has 20 working days (extendable to 30 working days) to make a recommendation. Approvals will be based on consensus. At least two members of the Procurement Working Group may refer recommendations to disapprove to the Joint Commission for review within five working days. The Joint Commission would make a decision whether to approve of the proposal by consensus within 10 working days.

Based on the Joint Commission's recommendation the Security Council will either approve or disapprove a proposal submitted by a State within five working days. The Security Council will notify the proposing State of the outcome of the review.

9. Can disapproved proposals be resubmitted?

Yes - if States resubmit disapproved proposals, they should include the original reference number assigned by the United Nations. It would be helpful to provide an explanation of the changes and amendments made.

The Procurement Working Group may provide information regarding a disapproval that would help any future submissions.

10. What if there are changes to the proposed activity during the review process?

States may need to resubmit the proposal if there are changes concerning any of the necessary supporting information as defined in Paragraph 6.4.2 of Annex IV of the JCPOA, in particular (a) description of the item (including changes of the quantity); (b) the name, address, telephone number, and email address of the exporting entity; (c) the name address, telephone number, and email address of the importing entity; or (d) a statement of the proposed end-use and end-use location, along with an end-use certification signed by the Atomic Energy Organisation of Iran (AEOI) or the Ministry of Industry, Mine and Trade of Iran attesting the stated end-use.

If the change concerns (e) export license number; (f) contract date; or (g) details on transportation, States do not need to resubmit the proposal. The change should be provided by the proposing State.

11. What happens after approval by the Security Council?

When notifying a proposing State of an approval, the Security Council will provide a letter of approval for the activity in question and assign the reference number. This certification can be used by the entities involved in the transaction as an accompanying document for the shipment of the items in question and be presented to national authorities.

12. How will the confidentiality of proposals be treated?

The operation of the procurement channel will be subject to the confidentiality of the UN. In addition to the confidentiality of the UN, the Procurement Working Group will abide by the "Statement on Confidentiality in the Procurement Working Group and the Joint Commission for matters relating to the Procurement Channel".

B. Further questions and answers

13. Which State is responsible for submitting the proposal? What happens if more than one State is involved in the transaction?

The first State seeking to engage in a transfer requiring approval by the Security Council should submit the proposal. If the Security Council approves the proposed transfer, activities, such as financial, transportation, and insurance transactions directly related to the approved transfer that are consistent with UNSC resolution 2231 (2015) and the JCPOA may also be considered approved for that transfer. Information on these activities must be provided by the State to the Security Council as soon as possible and in any event as a condition of approval before the activity taking place. States would need to submit a new proposal for any additional items not identified in the original proposal. Any State that has questions may contact the Security Council for guidance.

For an activity involving several States, there are optional fields in the application form for the State submitting the proposal to identify other entities involved in the transaction. In such circumstances, approval of the proposal identifying such other entities is sufficient to provide approval for the participation of such other entities (and there need not be a separate proposal).

14. Can a proposal cover multiple activities?

A proposal can cover multiple activities, such as the supply of several goods or the supply of goods together with related services. States are to submit national applications that cover all possible activities and related services (e.g. exports and related maintenance services). If the Security Council approves the proposed transfer, activities, such as financial, transportation, and insurance transactions directly related to the approved transfer that are consistent with UNSC resolution 2231 (2015) and the JCPOA may also be considered approved for that transfer. Information on these activities must be provided by the State to the Security Council as soon as possible and in any event as a condition of approval before the activity taking place. States would need to submit a new proposal for any additional items not identified in the original proposal. Any State that has questions may contact the Security Council for guidance.

15. Can a proposal cover more than one item?

A proposal can cover several items. Separate sheets with a description of the additional items should be attached to the application form. A decision will be taken on the application as a whole.

16. Where can I find more information on the items in question? Where are INFCIRC/254/Rev.12/Part 1 or INFCIRC/254/Rev. 9/Part 2?

The list of nuclear goods and technology (INFCIRC/254/Rev.12/Part 1) can be found here and the list of dual-use goods and technology (INFCIRC/254/Rev.9/Part 2) can be found here. States are encouraged to check the items in question against these lists and provide the accurate control list entry. States should provide relevant information/documentation to support the classification.

17. Can a proposal include items which are set out in S/2015/546 as well as INFCIRC/254/Rev.12/Part 1 or INFCIRC/254/Rev. 9/Part 2?

A proposal may include items which fall both under S/2015/546, as well as one of the INFCIRCS. Such a proposal should be submitted for review as an activity falling under Paragraph 2 of Annex B of Security Council resolution 2231 (2015). The Security Council will decide on such proposals based on a recommendation of the Joint Commission.

18. What technical information about the item is required?

States are encouraged to provide the relevant entry in INFCIRC/254/Rev.12/Part 1 and INFCIRC/254/Rev.9/Part 2, if applicable. States should provide relevant information/documentation, including the relevant technical parameters, to support the classification.

Additional technical specifications, such as a data sheet, product catalogue, diagram or picture may also be presented.

19. Which entities need to be included in the proposal?

Proposals must include the exporting entity, the importing entity and the end-user (if different from the importing entity). The exporting entity is the company or individual that enters into the contract with the Iranian counterpart. The importing entity is the entity in Iran importing the items or benefitting from related assistance or services. In many cases, this will be the end-user of the items or the recipient of the assistance or services in question. Additional entities involved in the transfer (e.g. agents, brokers, first consignees or freight handlers) should be provided on a separate sheet with an explanation of their respective roles in the transaction.

20. What should the statement of the proposed end-use and end-use location include?

The statement of proposed end-use should clarify whether the end-use will be for Iran's nuclear programme authorized by the JCPOA or a civilian non-nuclear end-use. If the end-use is for a nuclear purpose, the proposal will also be shared with the International Atomic Energy Agency (IAEA). It should also clarify the purpose for which the item(s) will be used. The end-use location is the location where the item is

actually used or consumed. Its description should include an address, which may be different from the head office of the end-user.

21. What are the requirements of the guidelines set out in the INFCIRCs?

For transfers of nuclear goods as set out in INFCIRC/254/Rev.12/Part 1 this includes in particular the requirements set out in paragraph 9, controls on retransfers, of the guidelines for nuclear transfers.

For transfers of dual-use goods as set out in INFCIRC/254/Rev.9/Part 2 this includes in particular the requirements set out in paragraph 7, consent rights over retransfers, of the guidelines for transfers of nuclear-related dual-use equipment, materials, software and related technology.

These requirements can be met by including relevant information in the end-user certification.

22. What information should be provided on end-use verification?

Proposing States should confirm that they have obtained and are in a position to exercise effectively a right to verify the end-use and location of end-use as required by paragraph 2 of Annex B of UNSC resolution 2231 (2015).

The proposing State may provide further information on the intended measures to verify the end-use.

23. What end-use certification is required?

If goods and services are for Iran's nuclear programme as set out by the JCPOA, the end-use certification needs to be signed by the Atomic Energy Organisation of Iran (AEOI). For non-nuclear civilian end-use, the end-use certification needs to be signed by the Ministry of Industry, Mine and Trade of Iran.³ The end-use certification should attest the stated end-use.

The end-use certification needs to be issued by the appropriate authority of Iran (see above).

A model end-use certification for the purpose of the procurement channel can be found here and an explanatory note can be found here.

24. What is the procedure regarding proposals for activities pursuant to paragraph 2 of Annex B of resolution 2231 (2015) in cases where the goods in question are intended to remain in Iran only for a certain period of time and subsequently leave Iran?

³ Contact details will be provided by Iran in due course.

Proposals for activities pursuant to paragraph 2 of Annex B of resolution 2231 (2015) in cases where the goods in question are intended to remain in Iran only for a certain period of time and, subsequently, leave Iran, will follow the established procedure within the Procurement Channel, including an end-use certification signed by the designated national authority in Iran.

The Participants of the Procurement Working Group will endeavor to expedite and facilitate the process of providing a recommendation on proposals on temporary exports for demonstration or display in an exhibition. The proposing State may be contacted to provide information on the temporary nature of the export to Iran.

Statement on Confidentiality
in the Procurement Working Group
and the Joint Commission
for matters relating to the Procurement Channel

1. The Joint Comprehensive Plan of Action (JCPOA) provides that the Procurement Working Group (PWG), as laid out in Section 6 of Annex IV of the JCPOA, is “subject to the confidentiality procedure of the UN.”
2. Each JCPOA Participant will take the necessary steps, including physical security arrangements as appropriate, in accordance with this Statement and their respective laws and regulations, to prevent the unauthorised disclosure of PWG information in proposals submitted for transfers and activities, as specified in paragraph 2 of Annex B of UNSC resolution 2231 (2015), including the necessary supporting information and any additional information (collectively, “the above-mentioned information”).
3. JCPOA Participants will not take commercial advantage of and will respect proprietary rights associated with the above-mentioned information.
4. The Coordinator will mark as “PWG in Confidence” the transmission of any information submitted to the Joint Commission that is covered by paragraph 2 prior to further transmitting it to JCPOA Participants.
5. Nothing in these general principles limits the extent to which the above-mentioned information may be protected under a JCPOA Participant’s laws, regulations, or procedures.

¹ Documents have been updated on 12 May 2016 and, subsequently, on 21 September 2016.

**Decision of the Joint Commission
Established by the Joint Comprehensive Plan of Action**

Iran briefed the Joint Commission on its plan regarding excess heavy water, in accordance with the Joint Comprehensive Plan of Action (JCPOA). The Joint Commission has considered and approved the plan in accordance with the parameters below, under its authority in consulting and providing guidance on implementation matters. This decision of the Joint Commission represents a common understanding of the scope of the relevant commitments of the JCPOA.

1. Prior to Implementation Day, Iran will transfer out of Iran any heavy water in excess of 130 metric tonnes of nuclear grade heavy water or the equivalent in different enrichments. This material will remain outside Iran subject to verification by the IAEA and in anticipation of the expeditious sale and delivery to international buyers.