

7 JUNE 2004



Operations Support

**IMPLEMENTATION OF, AND COMPLIANCE
WITH, ARMS CONTROL AGREEMENTS**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

NOTICE: This publication is available digitally on the AFDPO WWW site at:
<http://www.e-publishing.af.mil>

OPR: AF/XONP (Mr. Michael Connors)
Supersedes AFI 16-601, 1 March 1996

Certified by: AF/XON (Maj Gen Robert L. Smolen)
Pages: 11
Distribution: F

This instruction implements AFD 16-6, *Arms Control Agreements*, and Department of Defense (DoD) Directive 2060.1, *Implementation of, and Compliance with, Arms Control Agreements*. It gives the directive requirements for implementing and complying with arms control agreements. It applies to all organizations involved in the acquisition, operation, and support of weapon systems or items that are affected by arms control and related agreements. Additional related publications include AFMAN 16-602, *The Strategic Arms Reduction Treaty (START) Tracking and Reporting System (STARS) User Manual*, AFD 10-6, *Mission Needs and Operational Requirements*, AFI 10-601, *Mission Needs and Operational Requirements Guidance and Procedures* and AFI 51-402, *Weapons Review*. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with AFD 37-1, *Information Management* and AFMAN 37-123, *Management of Records* and disposed of in accordance with the *Air Force Records Disposition Schedule (RDS)* located at <https://webrims.amc.af.mil>.

SUMMARY OF REVISIONS

This revision adds references to AFMAN 16-602, AFI 51-402, AFD 37-1, and AFMAN 37-123 in the introductory paragraph; adds SAF/USA to references to SAF/AQ due to the former's space acquisition function; adds a clause that AF/XONP will coordinate with applicable HQ USAF offices (paragraph 1.1.1.); expands the requirement for coordination to all of SAF/AQ, SAF/USA and the Program Executive Offices, along with AF/XPP and AF/XPX (paragraph 1.1.5.); adds the requirement to follow appropriate guidance from the Chairman of the Joint Chiefs of Staff (paragraph 1.1.6.); adds AF/XONP representation on DoD implementation working groups (paragraph 1.1.7.); adds requirement to provide resource information to several Under Secretary of Defense offices (paragraph 1.1.8.); adds AF/XONP oversight of arms control reporting systems (paragraph 1.1.11.); clarifies arms control implementation role of major commands (paragraph 1.2.3.); clarifies requirements for acquisition organizations to seek AF/XONP guidance, when appropriate, if a program raises arms control compliance issues (paragraph 1.3.2.); transfers from AFD 16-6, SAF/AQ responsibilities for monitoring arms control funding in its programs and for complying with certification report requests (paragraphs 1.3.3. and 1.3.4.); adds a paragraph on the role of SAF/GC in providing legal advice (paragraph 1.4.); adds SAF/AAZ as an office to

contact if an arms control-related issue arises, if appropriate (paragraph 1.5.1.); clarifies requirement for Air Force organizations to seek guidance on matters that could raise compliance issues, prior to taking action, with AF/XONP or a DoD CRG and adds that AF/XONP will coordinate compliance matters with a DoD CRG (paragraph 1.5.2.); adds requirement to ensure Air Force organizations avoid the compromise of classified information while complying with treaties and agreements (paragraph 1.5.3.); adds a requirement that major commands produce implementation plans for future treaties, as directed (paragraph 2.); deletes **Attachment 2**, Format for Certification of Compliance, and assigns **Attachment 2** to the Arms Control Agreements attachment (formerly **Attachment 1**); adds a URL to the note in **Attachment 2** for additional information on treaty summaries; adds the Moscow Treaty, the Pre- and Post-Launch Notification System Agreement, updates the Chemical Weapons Convention and the Open Skies Treaty, and deletes the ABM Treaty, the Bilateral Destruction Agreement, the Presidential Nuclear Initiatives, START II, US-Russian BMD Talks, the Comprehensive Test Ban Treaty, and the Korean Initiative. (**Table A2.1.**); and adds a new **Attachment 1**, Glossary of References and Supporting Information. A bar (|) indicates revisions from the previous edition.

1. Responsibilities:

1.1. The Deputy Chief of Staff for Air and Space Operations, National Security Policy Division (AF/XONP) manages all aspects of the Air Force arms control process and:

1.1.1. Coordinates with major commands and applicable Headquarters Air Force offices to develop Air Force positions on US arms control proposals and negotiating positions. Provides Air Force input into developing joint staff negotiating positions.

1.1.2. Informs and advises senior Air Force leadership on arms control issues.

1.1.3. Answers congressional requests about treaty impacts on Air Force operations.

1.1.4. Provides guidance on interpreting arms control agreements and establishes plans and procedures for implementing and ensuring compliance with arms control agreements.

1.1.5. Reviews requirements documentation and program management directives for potential compliance problems and coordinates changes with the Assistant Secretary of the Air Force for Acquisition (SAF/AQ), the Director of Air Force Space Acquisition (SAF/USA), Air Force Program Executive Offices and with the Director of Operational Requirements (AF/XOR). Additionally, reviews force structure planning with the Director of Programs (AF/XPP) and the Director of Strategic Planning (AF/XPX) to ensure arms control compliance while maintaining flexibility in force structure employment.

1.1.6. Ensures consistency with the general procedures and guidance issued by the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) and, as appropriate, with coordinated military guidance provided by the Chairman of the Joint Chiefs of Staff.

1.1.7. Represents the Air Force, as required, on appropriate Department of Defense Compliance Review Groups (CRGs) and DoD implementation working groups. Provides reports on arms control compliance to USD(AT&L), as required.

1.1.8. Manages overall Air Force arms control funding requirements. Assists SAF/FM with arms control guidance for carrying out its arms control-related financial management responsibilities. Provides resource information on arms control implementation and compliance to USD(AT&L),

the Under Secretary of Defense (Comptroller), the Under Secretary of Defense for Policy, and as required, the Under Secretary of Defense for Personnel and Readiness. Designates an overall Arms Control Program Element Monitor. Also provides major commands funding to support their directed arms control activities.

1.1.9. Assists the USD(AT&L), SAF/AQ, and SAF/USA with their arms control-related acquisition responsibilities. Supports Defense Threat Reduction Agency, Department of Energy, OSD, and Air Force organizations in the research, development, test and evaluation (RDT&E) of new arms control and verification technologies. Additionally, AF/XONP represents the Air Force on the USD(AT&L) Treaty Managers' Group and Forum for Arms Control Technology (FACT), whenever they are formed.

1.1.10. Is responsible for overall education and training for arms control-related activities within the Air Force.

1.1.11. Ensures continuity and effective implementation of arms control reporting systems as well as respective Air Force reporting nodes at designated organizations (i.e., major command, unit, etc.).

1.2. Major commands will:

1.2.1. Establish an arms control office or point of contact to deal specifically with treaties/agreements applicable to each major command.

1.2.2. Ensure that the major command arms control office, in concert with AF/XONP, educates and trains those personnel directly involved with arms control activities and raises awareness of arms control throughout the command.

1.2.3. Conduct overall arms control implementation in their command.

1.3. SAF/AQ, SAF/USA, other acquisition organizations, and those engaged in the RDT&E process (including existing program modifications) will:

1.3.1. Review their programs at appropriate milestones (or program reviews) to ensure compliance with existing agreements or designated potential agreements.

1.3.2. Request AF/XONP guidance, as appropriate, when any arms control compliance concerns arise with programs under their purview.

1.3.3. Monitor the funding for Air Force acquisition programs that is allocated through the arms control program element for treaty-driven requirements.

1.3.4. Complete compliance certification reports as requested by AF/XONP.

1.4. The Office of the General Counsel (SAF/GC) shall be responsible, within the Department of the Air Force, for legal interpretation of arms control agreements and shall provide advice and assistance on arms control policy and compliance review matters.

1.5. All Air Force organizations will:

1.5.1. Refer any arms control-related questions or issues (from planned activity to on-site inspection discrepancies) to the relevant major command arms control office, AF/XONP, or if appropriate, SAF/AAZ. This requirement is in addition to the requirement to obtain legal review from AF/JAO of the acquisition of new or modified weapons, in accordance with AFI 51-402, *Weapons Review*.

1.5.2. Seek clearance or certification from either AF/XONP or the applicable DoD CRG before testing, deploying, or accomplishing programs or activities with the potential for raising compliance issues. **When there is doubt whether clearance is necessary, it shall be sought.** AF/XONP will facilitate, with assistance from applicable Air Force organizations, the coordination (as required) of compliance issues with the appropriate DoD CRG.

1.5.3. Ensure that the implementation of, and compliance with, arms control agreements shall be carried out so as to avoid the compromise of classified information.

2. Implementation/Compliance Plans: Each major command will prepare and forward to AF/XONP treaty implementation plans for those agreements listed in **Attachment 2** that affect the major command, and any future treaties, as directed by AF/XONP.

2.1. Implementation plans must include:

2.1.1. An office of primary responsibility and point of contact.

2.1.2. A summary of organizational assets and activities that are covered by the subject agreement.

2.1.3. A detailed listing of specific agreement provisions and the methods for carrying out the provisions.

2.1.4. An explanation of how the major command carries out the agreements' or higher headquarters' reporting requirements.

2.2. Field units will develop treaty compliance plans as directed by their parent major command. These unit plans will be included as annexes to the major command implementation plan.

3. Compliance Reporting: If USD(AT&L) directs AF/XON to submit compliance reports, AF/XON will request applicable organizations review their activities and respond on their compliance status within 45 calendar days from the AF/XON request.

RONALD E. KEYS, Lt Gen, USAF
DCS/Air & Space Operations

Attachment 1**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

DoDD 2060.1, *Implementation of, and Compliance with, Arms Control Agreements*, January 9, 2001

AFPD 10-6, *Mission Needs and Operational Requirements*

AFPD 16-6, *Arms Control Agreements*

AFPD 37-1, *Information Management*

AFI 10-601, *Mission Needs and Operational Requirements Guidance and Procedures*

AFI 51-402, *Weapons Review*

AFMAN 16-602, *The Strategic Arms Reduction Treaty (START) Tracking and Reporting System (STARS) User Manual*

AFMAN 37-123, *Management of Records*

Abbreviations and Acronyms

AF—Air Force

AFB—Air Force Base

AFI—Air Force Instruction

AFMAN—Air Force Manual

AFPD—Air Force Policy Directive

ALCM—Air-Launched Cruise Missile

BMD—Ballistic Missile Defense

BW—biological weapon

BWC—Biological Weapons Convention

CFE—Conventional Armed Forces in Europe

CRG—Compliance Review Group

CW—Chemical Weapon

CWC—Chemical Weapons Convention

DoD—Department of Defense

DOE—Department of Energy

ENMOD—Environmental Modification

FACT—Forum for Arms Control Technology

FSU—Former Soviet Union

GLCM—Ground-Launched Cruise Missile

HQ USAF—Headquarters United States Air Force

ICBM—Intercontinental Ballistic Missile

INF—Intermediate Nuclear Forces

KG—kilogram

KM—kilometer

KT—kiloton

LTBT—Limited Test Ban Treaty

MT—Megaton

MTCR—Missile Technology Control Regime

NATO—North Atlantic Treaty Organization

NPT—Non-Proliferation Treaty

OPR—Office of Primary Responsibility

OSD—Office of the Secretary of Defense

PDO—Publishing Distribution Office

PLNS—Pre- and Post-Launch Notification System

PNET—Peaceful Nuclear Explosions Treaty

RDT&E—Research, Development, Testing, and Evaluation

RSLP—Rocket System Launch Program

RV—Re-entry Vehicle

SAF—Secretary of the Air Force

SLV—Space Launch Vehicle

SORT—Strategic Offensive Reductions Treaty

STARS—START Tracking and Reporting System

START—Strategic Arms Reduction Treaty

TTBT—Threshold Test Ban Treaty

UK—United Kingdom

UN—United Nations

URL—Uniform Resource Locator

US—United States

USAF—United States Air Force

USD (AT&L)—Under Secretary of Defense for Acquisition, Technology, and Logistics

WWW—World Wide Web

Attachment 2

ARMS CONTROL AGREEMENTS

NOTE: This table is a summary only and does not include all treaties and agreements, nor does it reflect the full scope of applicable restrictions and obligations. Refer to the appropriate treaty/agreement text for more detail. Summaries of the treaties are available at the AF/XONP WWW site:

https://www.xo.hq.af.mil/xon/xonp/treaties/profile_summary/index.shtml

Table A2.1. Summary of Arms Control Agreements.

TREATY/AGREEMENT	DESCRIPTION	AF WEAPONS/PROGRAMS AFFECTED
Strategic Arms Reduction Talks (START) Treaty	Mandates numerical, qualitative and locational restrictions on strategic offensive arms (launchers and warheads), including deployed and non-deployed, existing and new types of weapons.	All ICBMs, ballistic missiles, RVs, heavy bombers, and long-range ALCMs (greater than 600 km). May also impact RSLP. All facilities where these are based, stored, maintained, tested or modified, and ballistic missile production facilities, are inspectable.
Moscow Treaty (Strategic Offensive Reductions Treaty -SORT)	Mandates deployed strategic nuclear warheads be reduced to the level of 1700-2200.	Operationally deployed strategic nuclear warheads (e.g., RVs physically deployed on ICBMs and those nuclear armaments stored in weapon storage areas located at heavy bomber bases).
Ballistic Missile Launch Notification Agreement	Requires notification of launches of strategic ballistic missiles (by the US or Former Soviet Union (FSU)) no less than 24 hours in advance. Incorporated into START treaty but signed as a separate agreement.	Impacts ICBM/SLV launches at both Vandenberg and Patrick AFBs. Notifications specified in Notification Protocol of the START Treaty.
Major Strategic Exercise Notification Agreement	Requires notification of one major strategic exercise by the US and FSU, provided one was conducted during that calendar year. This annual notification must be made at least 14 days in advance. Incorporated into START treaty but signed as a separate agreement.	Impacts heavy bomber exercises. Notifications specified in Notification Protocol of the START Treaty.

TREATY/AGREEMENT	DESCRIPTION	AF WEAPONS/PROGRAMS AFFECTED
Intermediate-Range and Shorter-Range Nuclear Forces (INF) Treaty	Requires permanent elimination of all US and FSU intermediate-range (1,000 - 5,500 km) and shorter-range (500 - 1,000 km) ballistic and ground-launched cruise missiles.	Eliminated BGM-109G (GLCM). Requires notification of some research and development launches that meet specified criteria.
Pre- and Post-Launch Notification System (PLNS) Agreement	US/Russian agreement to create a system of notification for launches of ballistic missiles and space launch vehicles. Planned to be opened to other nations.	Ballistic missile launches greater than 500 km and space launches require notification. Voluntary notification for satellites forced from orbit and geophysical experiments that could affect operation of early-warning radars.
Conventional Armed Forces in Europe (CFE) Treaty	Reduces conventional forces of 30 NATO and former Warsaw Pact countries; limits FSU forces to approximately one-third of total armaments permitted for all countries in Europe.	Numerical limits on Europe-located aircraft (fighter, attack fixed-wing and helicopters) and many armored vehicles. Air bases, units and equipment will be inspected.
CFE 1A Agreement	Agreement on reductions in manpower levels in Europe. Numerical limits on military manpower in Europe.	Numerical limits on military manpower in Europe.
Open Skies Treaty	NATO and former Warsaw Pact countries agreed to conduct and submit to aerial observation flights over their territory on the basis of annual quotas meant to provide for equitable coverage.	Requirement to modify two C-135 aircraft and equip them with treaty-specified sensors. Support aircraft operations during active mission Open Skies overflights of foreign states parties, and globally during training missions. Provide media processing capability.

TREATY/AGREEMENT	DESCRIPTION	AF WEAPONS/PROGRAMS AFFECTED
Chemical Weapons Convention (CWC)	Multilateral convention that bans the production, development, possession, transfer and use of chemical weapons by the signatories. Parties must also destroy all chemical stockpiles and CW production facilities.	Facilities inspections (including those for precursors, dual purpose, and other super-toxic lethal chemicals).
Biological Weapons Convention (BWC)	Multilateral convention that prohibits development, stockpiling, acquisition, or retaining of: (1) microbial or other biological agents or toxins that have no justification for prophylactic, protective or other peaceful purposes and, (2) weapons, equipment or means to deliver such agents or toxins for hostile purposes or in armed conflict.	Facilities, if visitation protocols are developed and implemented.
BW Trilateral Agreement	US/UK/Russian joint statement designed to alleviate US/UK concerns on Russian noncompliance with the BWC.	Facility inspections of sites identified in UN BWC confidence building declarations.
Threshold Test Ban Treaty (TTBT)	Prohibits US/FSU from underground testing of nuclear weapons with a yield greater than 150 KT.	Inspections at Nevada Test Site (with DOE).
Limited Test Ban Treaty (LTBT)	Prohibits nuclear explosions in the atmosphere, outer space or underwater.	N/A

TREATY/AGREEMENT	DESCRIPTION	AF WEAPONS/PROGRAMS AFFECTED
Peaceful Nuclear Explosions Treaty (PNET)	Prohibits any explosion by the US or FSU exceeding a yield of 150 KT, any group explosion exceeding a yield of 150 KT that will not permit the identification and determination of the yield of each individual explosion in the group, or any group explosion with an aggregate yield of more than 1.5 MT.	N/A
Non-Proliferation Treaty (NPT)	Obligates nuclear weapons states parties not to transfer nuclear weapons or assist any non-nuclear weapon state to manufacture or otherwise acquire nuclear weapons. Each non-nuclear weapon state agrees not to receive nuclear weapons or take control over them from any transferor. Non-nuclear weapon states also agree to accept safeguards to prevent the diversion of nuclear energy from peaceful purposes to nuclear weapons.	N/A
Missile Technology Control Regime (MTCR)	Provides export policy guidelines meant to limit the spread of missiles and unmanned delivery systems capable of carrying at least a 500 kg payload traveling at least 300 kms.	Sales of AF missiles and unmanned delivery systems captured under treaty are restricted.
Outer Space Treaty	Prohibits signatories from placing nuclear or other weapons of mass destruction in outer space and limits use of the moon and other celestial bodies to peaceful purposes.	N/A

TREATY/AGREEMENT	DESCRIPTION	AF WEAPONS/PROGRAMS AFFECTED
Environmental Modification (ENMOD) Convention	Prohibits use of environmental modification techniques having widespread, long-lasting or severe effects as the means of destruction, damage, or injury to any other party, for military purposes.	N/A