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Transparency Counts: Assessing State Reporting on Small Arms Transfers, 2001–08

By Jasna Lazarevic



An Occasional Paper of the Small Arms Survey

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Abbreviations and acronyms

EU	European Union
EU Report	<i>Annual Report According to Operative Provision 8 of the European Union Code of Conduct on Arms Exports.</i>
MANPADS	man-portable air defence system/s
NCACC	National Conventional Arms Control Committee
OSCE	Organization for Security and Co-operation in Europe
UAE	United Arab Emirates
UN	United Nations
UN Comtrade	United Nations Commodity Trade Statistics Database
UN Register	United Nations Register of Conventional Arms
USD	US dollar
YB	Yearbook

Preface

Information sharing and transparency with regard to international small arms transfers are gaining more interest in times when a significant number of deaths and injuries around the world are directly enabled by small arms and light weapons proliferation.

Sources of supply of small arms and light weapons are not only states that are traditional producers of such weapons. The list of major exporters of small arms presented in this Occasional Paper underscores an implicit finding: many important exporters have little or no domestic production capabilities. Any discussion of responsible arms transfers also needs to focus, therefore, on the policies of countries with surplus stockpiles. Documenting surpluses and examining how they are generated and managed takes on significant importance in the process of informing states and the public on small arms transfers.

Seen in this light, a meaningful and straightforward initiative to increase security and enhance confidence building among neighbours is to promote individual, regional, and universal transparency mechanisms. The Small Arms Survey is therefore pleased to offer this Occasional Paper as a contribution to the debate on transparency in international small arms and light weapons transfers.

This Occasional Paper helps inform the international community about state reporting on small arms transfers over the eight years from 2001 to 2008. Transparency is analysed using a 25-point scoring system developed by the Small Arms Survey. States are required to report on seven categories (*timeliness, access and consistency, clarity, comprehensiveness, deliveries, licences granted, and licences refused*). Individual government practices have demonstrated that the seven categories assessed by the Barometer, and each set of requirements contained in these categories, have been fulfilled by at least one state in the sample. Moreover, the study highlights the challenges and opportunities of

making each state's international trade in small arms more transparent and adds to the Survey's efforts to measure countries' openness about their small arms exports.

Eric G. Berman
Managing Director, Small Arms Survey
March 2010

I. Introduction

Considerable importance is placed on the transparency of national reporting on international small arms and light weapons transfers (UNSG, 2008). Developed transparency measures can make a sustained contribution to security among neighbours, since they serve as confidence-building measures. Countries' limited transparency and reporting practices also restrain insight into the flow of small arms and light weapons. Greater openness would therefore build regional and international confidence among states by reducing the risk of misperceptions and miscalculations about the intention of governments. In this respect, transparency can be seen as an early warning system for determining excessive or destabilizing accumulations of arms. The promotion of responsible arms transfers strengthens global and particularly regional security. This is achieved through intergovernmental transparency. Public transparency helps in identifying potentially destabilizing accumulations of small arms and light weapons, which in turn means that parliamentarians and civil society can question governments about decisions to continue supplying small arms and light weapons to countries and regions experiencing tensions. As a result, the assessment of international obligations and the implementation of national export controls are key to states' accountability regarding their small arms transfers.

In 2004 the Small Arms Survey introduced the Transparency Barometer in order to assess countries' transparency in reporting on small arms and light weapons exports. The Barometer does not focus only on producers, but rather on both producers and countries selling or donating significant surplus of small arms and light weapons and their parts, accessories, and ammunition. In that respect, the Barometer examines countries claiming—or believed—to have exported¹ USD 10 million or more of small arms and light weapons, including their parts, accessories, and ammunition, during at least one calendar year between 2001 and 2008.

Map: Countries reviewed by the Transparency Barometer





The basic question around which the Small Arms Trade Transparency Barometer is constructed is: how useful is publicly available information on small arms and light weapons transfers for understanding states' activities? The Transparency Barometer is a contribution to enhancing and improving transparency in small arms transfers by comparing existing practices of reporting in order to demonstrate what some states are doing in this regard and where they could do more.

During the last six years, the Transparency Barometer has undergone several revisions, making a comparison among the different scorings difficult. In the most recent revision of the Barometer, therefore, it was agreed to retroactively rescore all previous Barometers against the new criteria to allow for comparability and establish trends.

Section II of this Occasional Paper begins with a discussion of the relevance of transparency in international small arms transfers and the meaning of transparency. The section finds that increased transparency contributes to confidence building among states and enables a better understanding of the international small arms trade.

Section III presents the Transparency Barometer and the new scoring system introduced in *Small Arms Survey 2009*, highlighting both general and more specific changes.

Section IV displays the reporting tools or mechanisms and gives preliminary results on the frequency of reporting to all three reporting mechanisms. It finds that more information has been made available on international small arms and light weapons transfers in recent years. In particular, the reporting of background information on international small arms transfers to the UN Register of Conventional Arms (UN Register) has increased significantly since 2006.

Section V discusses the analysis of the 48 countries' retroactive scoring for activities from 2001 to 2008. It starts with a global overview and finishes with country-specific analyses. Scoring of the most and the least transparent countries is illustrated, together with an in-depth discussion about the scoring of the top small arms exporters and the level of transparency by region.

The paper closes with a section that draws an overall conclusion about the findings of the retroactive scoring and the merits of a transparency agenda. The aim, it should be stressed, is not to evaluate the truthfulness of the data

analysed, but to evaluate the reporting of states and to promote transparency. The increased availability of more detailed and comprehensive information on international small arms and light weapons transfers makes for a better understanding of the world's small arms trade. This helps to enhance international security and diminish destabilizing arms build-ups.

The main findings include the following:

- The average score increased from 7.95 points for reporting on small arms transfers in 2001 to 11.47 points for reporting on 2008 transfer activities.²
- The average score of the ten least transparent countries increased by almost 300 per cent from reporting on 2001 transfer activities (1.32 points) to reporting on those for 2008 (5.20 points).
- Twenty-six countries (54 per cent) scored 12.50 points or below between 2001 and 2008.
- Countries scoring zero points decreased from eight in 2001 to two in 2008: Iran and North Korea.
- Europe is the most transparent region, while Asia and the Pacific and the Middle East are the least transparent.
- Germany, the United Kingdom, and the United States are the most transparent top small arms exporters³ over time.
- Denmark, Germany, and the Netherlands are most often among the ten most transparent countries.
- North Korea, the Russian Federation, South Africa, and Ukraine are most often among the least transparent countries.
- Romania, Serbia, Switzerland, and the United Arab Emirates (UAE) have most significantly improved their reporting over time.
- Switzerland's 21 points score for its 2007 and 2008 transfer activities is the only result over 20 points out of a possible score of 25. 📌

II. The relevance of transparency in international small arms and light weapons transfers

In order to assess the relevance of transparency in international small arms and light weapons transfers, this section discusses what we understand by transparency in this area. Further, it illustrates key opposition points to transparency and inter-agency coordination. Finally, the section illustrates the benefits the international community can gain from increased transparency.

The meaning of transparency in small arms and light weapons transfers

Being transparent about small arms and light weapons transfers implies that states produce complete, full, accurate, comprehensive, and timely reports on the small arms and light weapons export licences they have issued and actual weapons they have delivered. It relates to making official information available to other governments, and to the exporting country's parliament, civil society organizations, and citizens.

Generally, there are two aspects of transparent reporting on small arms and light weapons transfers: intergovernmental transparency and public transparency. *Intergovernmental transparency* refers to the exchange of information on small arms and light weapons transfers among governments, often in the framework of regional organizations such as the annual intergovernmental exchange of information on small arms and light weapons transfers among member states of the Organization for Security and Co-operation in Europe (OSCE).⁴ The aim is to build confidence among states and identify destabilizing accumulations of small arms and light weapons (OSCE, 2007). Data submitted to regional instruments is shared among member states, but otherwise may not be made public. *Public transparency*, on the other hand, is the provision of publicly available official information. It implies that the information on international small arms and light weapons transfers is made publicly available to

the states' citizens, parliaments, and civil society organizations. Some authors argue that public transparency might be a catalyzer for even greater transparency and a motivating factor also to report on imminent decisions about licensing agreements before they are fulfilled. Others argue that some states might only give the impression of being transparent, but in fact submit little useful information in their reporting when they are not entirely committed to transparency.⁵

Transparency can be seen as a consequence of embracing wider international norms rather than a cause of more responsible behaviour. Nevertheless, it is widely believed that states making information on their small arms and light weapons shipments publicly available are more likely to act with greater responsibility vis-à-vis the international community than those that do not report on their small arms and light weapons export activities at all. However, it should be mentioned that this is not true for all states. Examples illustrating a limited level of responsibility can be found in the cases of Belgium and Ukraine. As will be illustrated later, both countries report on their small arms transfers in a national arms export report, but seem to report only partially on their activities. Other states censor their reports. The United States, for example, classifies specific transfers in its *Foreign Military Sales* report. Such behaviour is not fully transparent and it can be argued that the level of transparency manifested by these governments is no higher than that of countries not reporting on their international small arms transfers. But an understanding of such partial or censored reporting is an important starting point for assessing state activity and behaviour, which can be built on later. As indicated earlier in this paper, the Transparency Barometer does not assess the veracity of the information submitted by states, but evaluates the nature and extent of information submitted.

Opposition to small arms and light weapons transparency

Secrecy around matters of national security and legitimate commercial interests in most countries undermines and 'obstructs inter-agency co-ordination' (Greene and Batchelor, 2001, p. 6). Equally, many governments are not entirely transparent about their international small arms transfers. The constant contradiction between, on the one hand, being transparent and developing information

management and distribution arrangements to disseminate and exchange relevant information on small arms and light weapons, and, on the other hand, not compromising national security, commercial secrecy, and law enforcement inclines states to be partially transparent. As a consequence, the implementation of meaningful systems of accountability and appropriate international cooperation in small arms and light weapons transfers are often delayed.

The argument that small arms and light weapons are more difficult to trace, count, and register than major conventional weapons is often put forward as a reason for lack of transparency in small arms transfers (Holtom, 2008, p. 13). The oversight of the latter seems to be easier, given their size and volume. The categorization and classification of small arms and light weapons is also used as an excuse for not reporting on small arms transfers. Since a universally accepted definition is absent, most states have their own categorization and classification system (such as for the distinction between military-style weapons and firearms for civilian end use), making comparisons difficult. Nevertheless, small arms and light weapons should not be excluded from the discussion of transparency in arms transfers.

Benefits of transparency

The security of certain regions and states that are seriously affected by large influxes of small arms and light weapons is threatened by uncontrolled small arms flows (Frey, 2003; UNDP, 2005). Particularly the size and ease of transport of small arms and light weapons permit uncontrolled transfers over states borders. Increased transparency can diminish this. It can contribute to confidence building among governments by reducing the risk of misperceptions and miscalculations about the intention of other states. An important aim of transparency is therefore to foster regional and international confidence building.

The availability of more detailed and comprehensive information on international small arms and light weapons transfers could better inform states on increased influx of arms and ammunition into regions, giving reason to assume that there is an imminent risk of an escalation of tensions, possibly resulting in conflict. In this respect, transparency can be seen as an early warning system

for determining excessive or destabilizing accumulations of arms if information on flows is provided before or immediately after a transfer takes place. Receiving information over a year after the concluded licensing agreement or the delivery itself is not an effective early warning mechanism.

One of the most important challenges of managing international small arms and light weapons transfers is to prevent diversion. Many weapons used in criminal acts by organized crime groups, gangs, or non-state actors are in the first instance legally manufactured and exported. If shipped to countries with little regulation and weak control of the legal and political spheres by the central authorities, these weapons can easily find their way into conflict zones and onto black markets (Bevan, 2008). A high standard of transparency in authorized small arms and light weapons exports would make it easier to distinguish between licit and illicit arms transfers. Although diversion cannot be prevented completely, greater transparency would allow weapons to be more easily tracked and diversion to be reduced.

The provision of full unilateral public transparency on small arms and light weapons transfers by each state would be the most meaningful and straightforward way to:

- strengthen early warning systems by providing not only full and accurate reporting on past arms exports, but promoting regular monthly or quarterly reporting on prior parliamentary scrutiny of licence approvals;
- reinforce regional and international confidence building;
- enable a better understanding of the international small arms and light weapons trade by facilitating the wide dissemination of relevant information so that all interested agencies and groups can use it rather than the narrow set of groups specified in confidential exchanges;
- subject government export policies to parliamentary scrutiny and accountability to the population to facilitate a debate and engender more government responsibility;
- enhance responsibility and restraint regarding the manufacture and transfer of small arms and light weapons and contribute to preventive diplomacy;
- create and strengthen international norms. Even if a country does not export enough to be considered a major exporter, its contribution to the European

Union (EU) reporting mechanism, for example, strengthens the EU-wide norm of transparency. An analysis of the arms trade feeds into the development of multilateral and unilateral initiatives to control the trade such as the UN Programme of Action, export laws, and a possible global Arms Trade Treaty;

- reduce the transfer of arms into regions afflicted by armed conflict and violations of human rights, allowing civil society, the media, and parliament to lobby against such exports;⁶
- decrease the diversion of state exports to the black market; and
- lower corruption and increase accountability. 📄

III. The Transparency Barometer

The Transparency Barometer is intended to encourage individual states to make information about their transfers of small arms and light weapons,⁷ including their parts, accessories, and ammunition, open to the world community. This section describes the general aim and features of the Barometer. It then focuses on the recently revised scoring system and illustrates the changes in more detail.

The Transparency Barometer: aim and features

The Transparency Barometer assesses countries' transparency in reporting on small arms and light weapons exports. The Small Arms Survey introduced the Transparency Barometer for the first time in its 2004 yearbook (Small Arms Survey, 2004). It examines countries claiming—or believed—to have exported USD 10 million⁸ or more of small arms and light weapons, including their parts, accessories, and ammunition, during at least one calendar year between 2001 and 2008.⁹ For the most recent version of the Barometer, 48 countries were evaluated.¹⁰ It must therefore be highlighted that the Barometer cannot be used as a tool to generally measure transparency in small arms and light weapons exports. Some transparent and non-transparent countries might not be included in the analysis because their exports do not reach the USD 10 million threshold.¹¹ This means that the Barometer is measuring a sample of countries, rather than the total extent of transparency in global small arms transfers. Equally, the threshold excludes countries such as Slovenia and the Former Yugoslav Republic of Macedonia that produce national arms export reports and report to other instruments and therefore participate in transparency, but whose exports are below the threshold.

Discussions of transparency also need to focus on the policies of countries that have little or no domestic production, but possess important surplus stockpiles. Examples include Albania (Herron et al., 2010, p. 14) and, arguably, Angola. Documenting surpluses and examining how they are managed and

disposed of are also important to broader considerations of responsible arms transfer practices. Therefore, additional countries may feature in future Barometers, when and if more information about their international small arms transfers becomes available.

The purpose of the Barometer is to identify which states are the most and least transparent in their small arms transfers. The ranking might be seen as putting 'peer pressure' on states to improve their reporting. It aims to encourage states to report as much relevant information as possible on their international small arms and light weapons transfers with a view to informing public discussions and thus ensure accountability. The intention of the Barometer is to encourage those states that already provide some information on their international small arms transfers to provide the full range of information relevant for assessing transfers and to stimulate those with low levels of transparency to further improve and develop their reporting.

As has been stressed earlier, the Transparency Barometer evaluates the reporting of states and not the truthfulness of the data made publicly available. In other words, it assesses the quantity, detail, and usefulness of the available data and not its veracity. Nevertheless, an analysis of national arms export reports, UN Comtrade, and the UN Register (see Section IV) does determine if the data is low in quality and allows the identification of weapon types on which governments do not provide data.

Since its introduction in 2004, the Small Arms Survey's Transparency Barometer has undergone several changes. It has been adapted and expanded to allow a more accurate and comprehensive assessment of states' reporting on small arms and light weapons transfers. These changes have been made to take account of information provided by some states on aspects of transfers such as transits/transshipments, which were not awarded points in earlier editions.

The revised scoring system for the 2009 edition

The Survey decided to revise the Transparency Barometer for the 2009 edition of the Small Arms Survey yearbook (Small Arms Survey, 2009). The significant revision process that should strengthen the analysis and make the Transparency Barometer a more coherent and consistent instrument for analysing transpar-

ency in small arms exports started in August 2007. Several internal and external Survey staff members contributed to the revision to make the Barometer a more transparent, coherent, and objective tool. The 2009 scoring system contains several additional changes to reflect best practices and encourage the use of important reporting tools. The revised Barometer was published in *Small Arms Survey 2009*, analysing states' reporting of their 2007 activities. As no further changes to the scoring system are envisaged for the foreseeable future, it was decided retroactively to rescore all previous editions of the Barometer against the new criteria to allow comparability.¹² The results of this extensive revision and rescoring process are illustrated in this Occasional Paper.

The expanded scope of the Transparency Barometer requires countries to provide more detailed reporting than previously requested. The overall parameters (*timeliness, access and consistency*,¹³ *clarity, comprehensiveness, deliveries, licences granted, and licences refused*) were maintained, however, and the 25-point scale distribution system has not been changed.¹⁴

This section illustrates general and detailed changes to the new Barometer scoring system. Further information on the history of the Barometer and changes to versions included in the Small Arms Survey yearbooks prior to 2009 can be found in Annexe 1.

General changes

In the new scoring system, the Transparency Barometer has expanded the sources it evaluates. Along with examining states' **national arms export reports** and submissions to **UN Comtrade**, the Barometer now takes into account information provided to the **UN Register**.¹⁵

Further, it has been decided to include national reporting to regional organizations that is made publicly available, such as the information that EU member states provide on their exports of military goods under the EU's *Annual Report According to Operative Provision 8 of the European Union Code of Conduct on Arms Exports* (EU Report). When and if other regional organizations make information on the international arms transfers of their members publicly available, it will also be evaluated and scored.¹⁶

With the revised scoring system, countries can gain full points if they indicate that they did not export particular types of small arms and light weapons

during the applicable reporting period (thus providing a so-called ‘nil report’). The Survey has decided that nil reports can be considered complete and transparent information, and can therefore be attributed full points under relevant categories of the Barometer.

As a matter of practice, the Transparency Barometer is conceptualized to analyse data from the same year for all reporting instruments. In previous versions of the Barometer, data analysed from reporting to UN Comtrade was older than the year of reporting in national reports. For instance, the first edition of the Barometer published in the Survey’s 2004 yearbook used UN Comtrade data for 2001, but analysed national arms export reports for states’ reporting of their activities in 2002 (or older activities in case no national report was published in time). The new scoring guidelines generally analyse data for the same year. For the Survey’s 2009 yearbook, this meant that reports to the UN Register, UN Comtrade, and national arms export reports for activities in 2007 were evaluated. However, if a state does not publish data for one of the reporting tools in time to be included in the Barometer, data from the previous year or earlier years (if available and published within a set timeframe¹⁷) will be evaluated again. The dates of information used for assessing a particular country in a specific edition of the Barometer are given in Annexes 6–13.

Detailed changes to the seven parameters

Besides the general changes highlighted in the previous sections, the new Transparency Barometer scoring system reflects specific changes applied to the seven parameters.

1. Greater emphasis is now placed on more recent and actual reporting. Under the parameter *timeliness*, points for the promptness of reports and the provision of up-to-date data are awarded. This parameter should encourage states to report in a timely manner, which is particularly important for the early warning/recognition of problematic transfers into regions at risk.
2. The second parameter, *access and consistency*, reviews the accessibility of the information that states provide, the frequency of reporting (e.g. monthly, quarterly, or biannually), and the use of multiple reporting instruments.

3. The main purpose of the parameter *clarity* is to analyse the extent to which information on small arms and light weapons transfers, including their ammunition, can be distinguished from conventional arms transfers. Changes are as follows. Firstly, points are awarded if private industry- and government-supplied transactions are distinguished. Secondly, points are given if information on temporary exports is supplied. Thirdly, information provided on relevant legislation, including its implementation (measures to prevent diversion; and international, regional, and sub-regional commitments relating to the control of small arms and light weapons transfers) is rewarded. Fourthly, points are given for aggregated totals of deliveries as well as information about *licences granted* and *licences refused*. Finally, points are given for information on authorized small arms brokers.
4. The fourth parameter, *comprehensiveness*, examines the level of detail provided by weapons types (e.g. (un)guided light weapons, sporting and hunting guns/rifles, pistols and revolvers, military firearms, small arms ammunition, and ammunition larger than 12.7 mm). It also evaluates reporting on transfers of small arms and light weapons parts and accessories and intangible transfers. The revised Transparency Barometer examines information in further detail such as reporting on permanent re-exports and the transit/transshipment of small arms, light weapons, and/or their ammunition.
5. Under *deliveries*, points are awarded for sharing information on actual delivery recipients; end users; and types, values, and quantities of delivered weapons.
6. Parameter six, *licences granted*, awards points for information shared on licence recipients; end users; and types, values, and quantities of approved transactions.
7. Under *licences refused*, points are awarded if a country identifies countries that were refused licences; gives an explanation of such refusals; and provides information on the types, values, and quantities of weapons for which licences were refused.

The complete scoring guidelines, including a full list of questions for all seven parameters, is given in Annexe 3, which indicates all aspects that need to be covered in order to enhance optimal information required for intergovernmental and public transparency on international small arms and light weapons transfers according to the Small Arms Survey. The point distribution for each parameter and each question is also shown in Annexe 3. 📄

IV. The three reporting tools

For the purposes of the Transparency Barometer, reporting tools are analysed that provide publicly available official information. As indicated previously, the scope of the reporting tools was expanded with the last revision of the Barometer.

This section focuses on the three different reporting tools (customs data as published by UN Comtrade; the UN Register; and national arms export reports, including EU Reports) and provides some preliminary findings of the retroactive scoring process. States can receive only a limited number of points for full reporting to UN Comtrade and the UN Register, because neither instrument includes information on certain parameters such as *licences refused*. Many states do not report fully to these tools and leave out important information.

UN customs data (UN Comtrade)

Although international customs data is not necessarily thought of as a transparency device, it provides important insights into the value of the small arms trade and is therefore included in the analysis of transparency. In many instances, UN Comtrade customs data is regarded as one of the ‘most important sources of information on small arms exports’ (Small Arms Survey, 2004, p. 101). Using UN customs data to assess states’ transparency has both advantages and disadvantages, however.¹⁸ The most important criteria that help to fulfil the aim of the Transparency Barometer are that UN customs data is publicly available and that the Harmonized System classification used by UN Comtrade classifies data for small arms; light weapons; and their ammunition, parts, and accessories. The Harmonized System is a common system used by all UN member states, thus making exports directly comparable.

The Transparency Barometer awards points for reporting to 17 UN Comtrade categories. Several UN Comtrade categories are too broad to be helpful when analysing small arms and light weapons exports. Reporting on UN Comtrade

codes that include larger conventional weapons or explosives is partially rewarded, such as reporting to categories 930120 or 930690. Annexe 4 illustrates the point distribution for each UN Comtrade category and gives a short description of these categories. Complete reporting to UN Comtrade means that a country can receive a maximum of 10.75 points, representing 43 per cent of the Transparency Barometer's 25-point scale. A limited number of points are awarded for full reporting to UN Comtrade because information on *licences granted* and *licences refused* and national legislation, for example, is not required in reporting to UN Comtrade. Furthermore, most countries provide incomplete reports and the value zero might indicate that a country did not export anything in a category or that it did not report on the category. This is one reason why measuring states' transparency through customs data is not as effective as using other tools. Also, fully understanding UN Comtrade datasets is difficult and requires a great deal of background reading and additional knowledge.

Despite the fact that the level and detail of reporting varies significantly from state to state, customs data is available for many countries not publishing a national report on their arms transfers, thus providing official data on small arms and light weapons transfers. Customs data covering the period 2001–08 was analysed for the retroactive scoring of the Transparency Barometer. Of the 48¹⁹ countries analysed, 38 reported to UN Comtrade for 2001 and 2002, 39 reported for 2003, 40 reported for 2004 and 2005, 41 reported for 2006 and 2007, and 39 reported for 2008 (see Figure 1). Countries included in the Barometer that did not report to UN Comtrade in this period are Bulgaria, Montenegro, North Korea, South Africa, and Ukraine.

When UN customs data gives the financial values of weapons transferred, the quantities²⁰ shipped are less evident, but these financial values do not have the same meaning as information on quantities shipped. Furthermore, under UN Comtrade, states tend to report on tons exported rather than units shipped, which can also be problematic. Reporting to the UN Register helps to fill this gap, since states are requested to report on quantities transferred.

UN Register

The main aim of the UN Register is to form the basis for regional and international confidence-building measures through transparent behaviour by all

states. It attempts to discourage the excessive and destabilizing accumulation of arms by making the quantities and types of arms transferred by states more transparent (UNODA, 2009a, p. iv). For this reason, the Register is seen as the 'key international mechanism of official transparency on arms transfers' (Bromley and Kelly, 2009, p. 336). The UN Register became operational in 1992 after it was established by UN General Assembly Resolution 46/36 L in December 1991 (UNGA, 1991a; 1991b). Since then, UN member states have been *requested* (i.e. not obliged) to report on imports and exports of seven categories of major conventional arms.²¹

In 2003 the UN General Assembly adopted the Group of Governmental Experts' recommendations to *request* reports on transfers of some light weapons to categories III and VIII of the UN Register and to *invite* submissions on transfers of small arms and light weapons as part of additional background information to the Register.²² As a result, it was agreed to reduce the reporting threshold for large-calibre artillery systems from 100 mm to 75 mm and above, thus including some mortars within category III of the Register. Further, it was decided to include reporting on man-portable air defence systems (MANPADS)—which pose particular dangers in the hands of non-state actors—under category VII. Moreover, an optional standardized format for reporting on small arms and light weapons transfers was adopted in 2006 after an Expert Group reviewed the UN Register.²³ The standardized format provided six categories for small arms and six categories for light weapons, representing a clearer breakdown than UN Comtrade codes (see Annexe 5). With these changes, the UN Register became more relevant as a reporting instrument on international small arms and light weapons transfers and the Transparency Barometer awards points for reporting to the Register from 2003 onwards.²⁴ It awards full and detailed reporting to the UN Register with a maximum 12.5 points, representing 50 per cent of the 25-point scale. The limited number of points for full reporting to the UN Register is awarded because information on *licences granted* and *licences refused*, for example, is not submitted to the UN Register.

An additional strength of the UN Register is the provision of 'nil reports'. States are not only invited to provide information on imports and exports, but they can also submit a nil report if they exported or imported no weapons in

any weapons category. The Transparency Barometer awards points for nil reports if they are indicated for a specific category or weapons type under the UN Register, e.g. pistols and revolvers. Clearly, by providing nil reports for particular categories, governments demonstrate the same level of transparency as they do when they report on actual small arms and light weapons shipments.

Reporting on international small arms transfers under the UN Register remains optional to date (UNODA, 2009a). Incomplete submissions or no reporting at all on small arms and light weapons transfers by certain states such as China, the Russian Federation, and the United States limits the utility of the UN Register. Discrepancies between states' reports (i.e. the exporter and importer may report different figures for the same shipment) and the limited coverage of certain categories do not allow the compilation of a complete picture of the international small arms and light weapons trade. Nevertheless it must be said that over the last five years, increased reporting to the UN Register, and particularly the provision of background information on international small arms and light weapons transfers, has contributed to greater public transparency.²⁵

An interesting development is that the trend in reporting to the UN Register is declining, but reporting on small arms and light weapons transfers has been increasing overall and as a share of reports to the Register, although universal participation is still a long way off. Of particular concern are the low number of responses from Africa and the Middle East. For these regions, information in the UN Register has limited relevance without additional information on small arms transfers. Of over 100 UN member states that reported to the UN Register in 2003, 2004, and 2005, five countries provided background information on international small arms and light weapons transfers. In 2006 and 2007, 36 and 37 countries, respectively, did so; while in 2008, 48 countries provided background information to the Register (UNODA, 2009a, p. 22). Table 1 shows how many of the 48 countries under review in the Transparency Barometer provided background information to the UN Register between 2003 and 2008. The introduction of the standardized form for reporting to the Register was a key factor in the increased reporting of background information on small arms and light weapons transfers as of 2006 (Holtom, 2008, p. 21). Whereas only a handful of the 48 countries under review provided the voluntary background information on their international small arms and light weapons transfers in

Table 1 Background information on small arms and light weapons exports submitted to the UN Register, 2003–08*

Country	2003	2004	2005	2006	2007	2008
Argentina					General nil report	General nil report
Australia					X	
Bosnia and Herzegovina				X	X	
Bulgaria						X
Canada				X	X	X
Croatia					X	X
Cyprus				X	General nil report	General nil report
Czech Republic				X	X	X
Denmark				X	X	X
Finland		X				
France		X	X	X	X	X
Germany			X	X	X	X
Hungary				X	X	X
Italy					X	X
Mexico				X		
Montenegro					X	
Netherlands	X	X	X	X	X	X
Norway					X	X
Poland	X	X	X	X	X	X
Portugal		X		X	X	
Romania					X	X
Slovakia				X	X	X
South Korea				X	X	X
Sweden	X				X	X
Switzerland						X
Turkey				X	X	X
UK	X	X	X	X	X	X
Ukraine					X	X
Total	4	6	5	16	23	22

* X indicates that background information was submitted and is scored accordingly, while no points are granted in the Transparency Barometer for a general nil report (as opposed to a nil report reflecting particular categories where exports did not take place, which would get points).

the period 2003–05, 16 states did so for 2006, and 23 and 22 reported on their 2007 and 2008 activities, respectively, representing 46 per cent of the countries evaluated by the Barometer (see Table 1).

National arms export reports and the EU Report

National arms export reports include information on the international arms transfers of UN member states that are made publicly available. The purpose of national arms export reports is to share information on arms transfers with domestic audiences and show accountability to parliaments. Often such reports are issued to comply with national legislation, or simply because of a tradition of reporting to parliament. The information provided by states to the EU and appearing in the EU Report is to date the only example where a regional organization makes such information publicly available. The EU Reports are an intergovernmental information exchange exercise, like the UN Register. This reporting is considered to be part of national reporting and is therefore included in the analysis of national arms export reports for the Barometer.

National arms export reports

For the purposes of the Transparency Barometer, national arms export reports are considered as written information that a government makes publicly available in a single document or a series of clearly cross-referenced documents. National reports are distinguished from reporting to UN Comtrade and the UN Register in the sense that there is no standardized format for reporting, given that such reports are a regime of unilateral transparency tailored to each country's individual arms export activities. Additionally, states have different types of controls on licensing for exports, brokers, transit, etc. and different methods of data collection, reporting, and categorizing small arms and light weapons that might not fit neatly into standardized classifications. Nevertheless, national arms export reports provide an opportunity for states to outline their export controls, positions vis-à-vis international regimes, and processes relating to international arms transfers, etc., as well as provide data on orders/licences issued and deliveries.

National reports vary in many different ways. Some are only a few pages long, including mainly graphs and very little text; others can be several hundred pages long giving very detailed descriptions and information. Some national reports include only information on exports, while others also report on imports. In general, national reports include all major conventional weapons, small arms and light weapons, and dual-use goods, while others are mainly focused on small arms and light weapons and some hardly illustrate the different types of weapons transferred. The provision of irrelevant data over many pages does not facilitate a search for important and relevant information. This variability hinders comparability and makes it difficult to assess national reporting.

Since 1998, 31 states from the international community have produced annual national arms export reports, representing just over 16 per cent of all UN member states. Only four of these (Australia, Canada, South Africa, and the United States) are not European countries. The pioneer position of Europe and Northern America has primarily to do with the tradition of providing reports to parliament on arms exports in these regions. Since 2008 the EU Code of Conduct obliges EU member states to produce a national arms export report (CoEU, 2008b). Of all the EU member states under review in the Transparency Barometer, only Cyprus, Hungary, and Poland did not publish a national report apart from reporting to the EU Report. After the provision requiring EU countries to submit a report entered into force, many European countries aspiring to EU membership, such as Bosnia and Herzegovina, Montenegro, and Serbia, published a national report on arms transfers in order to fulfil EU requirements. Generally, these reports contain detailed information with regard to weapons descriptions, data on the financial value of countries' export licence approvals and actual exports, information on denials of arms export licences, etc.

For the retroactive scoring of the Transparency Barometer, national reports published by 17 states were used for the analysis of 2001 exports and reports of 18 states for their 2002 activities. The number of national reports for the subsequent years were 12 for 2003, 18 for 2004, 19 for 2005, 25 for 2006, 21 for 2007, and 20 for 2008 activities (see Figure 1).

EU Report

Under the EU Code of Conduct on Arms Exports, EU member states exchange data on the financial value of their export licence approvals and actual exports, together with information on denials of arms export licences, in the publicly available EU Report. Reporting to the EU Report is seen as a complementary submission to national arms export reports and is therefore taken into account in the Transparency Barometer to assess countries' transparency. The decisive factor is that the EU Report is made publicly available. The OSCE, the Organisation of American States, the Economic Community of West African States, and the Wassenaar Arrangement also have tools for the intergovernmental exchange of information on international arms transfers among their members, but these are confidential and for this reason are not included in the analysis for the Barometer. But should these regional organizations decide to make their reports publicly available, they will be analysed as well.

Since the first EU Report was published in 1999, the level of detail on export licences and actual exports has increased significantly. Initially, states were asked to provide the total value of export licences granted and not values of actual exports. When reporting on 2003 activities, states began submitting data on the financial value of both arms export licences and actual arms exports, broken down by destination and EU Common Military List²⁶ categories.

For the purposes of this analysis, the sixth, seventh, eighth, ninth, tenth, and eleventh EU Reports are analysed (CoEU, 2004; 2005; 2006; 2007; 2008a; 2009). For reporting on 2003 activities in the sixth EU Report, 15 of the countries under review submitted data, while 17 countries reported on activities for 2004–06 and 19 reported on activities for 2007–08. Some countries gave only totals for the number of *licences issued* and their value, such as Cyprus for 2004, 2005, and 2006. Others only reported on the numbers of *licences refused*, including reasons for refusals, such as Belgium for 2004. Information on complete datasets was provided by several governments, such as those of Austria, Bulgaria, the Czech Republic, Finland, Hungary, the Netherlands, Portugal, Romania, and Slovakia. As far as their Barometer scores were concerned, Cyprus, Hungary, and Poland particularly benefitted from reporting to this regional instrument because they did not publish a national arms export report. Nevertheless, only Hungary for reporting on its activities in 2004 and 2005 and Poland for

reporting on its activities in 2005 received the maximum points that can be granted under the EU Report, namely 5.75. This represents 23 per cent of total Barometer points.

There are structural limitations to how transparent states can be if they follow the main multilateral regimes and do not publish a national arms export report (i.e. getting 25 out of 25 points). The most important means of attaining future improvements in transparency are likely to be achieved by relatively minor changes in the UN Register, UN Comtrade, and the EU Report. This could be accomplished, for example, by adapting the UN Register template to include information on licences granted and refused, or by disaggregating some of the EU Military list codes (such as ML1 and ML3), which might require changes to the Wassenaar Arrangement²⁷ and UN Comtrade codes (e.g. code 930690), such as the inclusion of major conventional weapons. For the time being, the best way of overcoming these structural limitations is by producing and publishing national arms export reports that, as this paper demonstrates, add additional value to transparency if they contain relevant information on small arms transfers.

The following section will provide a broader global comparison of the three reporting tools before providing a more in-depth analysis of the retroactive scoring of the Transparency Barometer. 📄

V. Findings of the retroactive scoring process

This section illustrates the findings of the retroactive scoring of the Transparency Barometer. It starts with a global overview of reporting to the three tools and gives average scores for the eight years under review. It then shows some comparative results for selected parameters before providing a deeper analysis of the most and least transparent countries, including sections on the transparency of top arms exporters and regional differences. Finally, it presents a country-specific analysis of all countries under review.

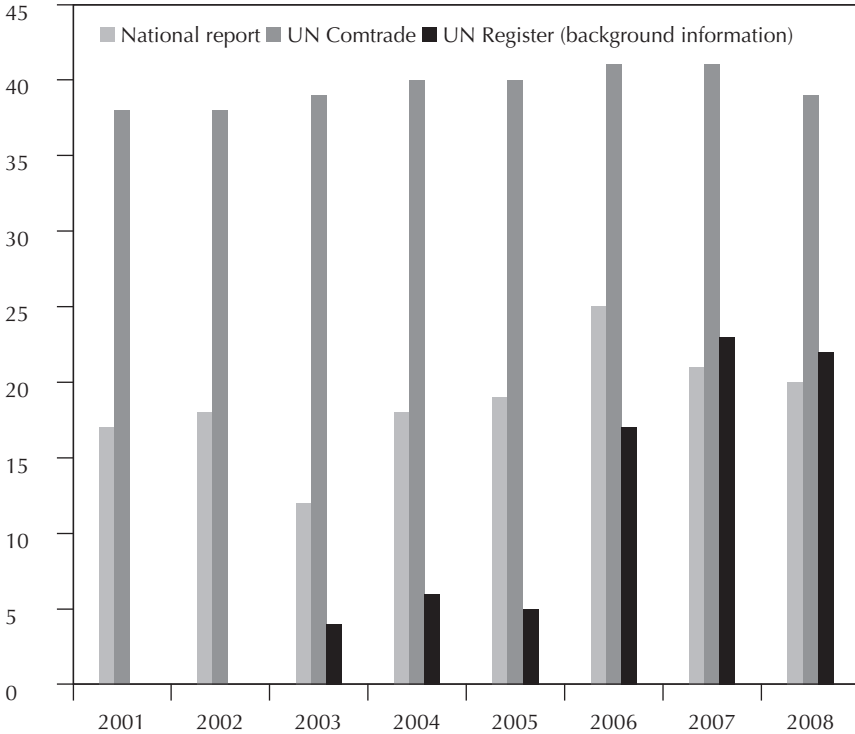
Global overview

None of the previously mentioned reporting tools has ever achieved universal participation by all UN member states. For the 48 countries under review for the Transparency Barometer, the universal reporting of background information on small arms and light weapons transfers to the UN Register and the production of a national arms export report are not in sight. Only reporting to UN Comtrade comes close to total participation from all the countries under review.

Nevertheless, more information has been made available on international small arms and light weapons transfers in recent years. Figure 1 illustrates the number of countries under review reporting to the three reporting instruments that are analysed by the Transparency Barometer.²⁸ While reporting to UN Comtrade is relatively stable, reporting to the UN Register increased significantly after 2006. As previously mentioned, the increase can be linked to the standardized reporting system on international small arms and light weapons transfers introduced in 2006. The number of states publishing a national report increased significantly after 2003, but then decreased after 2005.

Although not complete, reporting to UN Comtrade is stable, with only five countries under review not submitting customs data examined by the Transparency Barometer to this reporting instrument (which represents 10.5 per cent of all the states under review), making customs data the largest reporting tool

Figure 1 Countries under review reporting to the UN Register and UN Comtrade, and publishing national arms export reports, 2001–08*



* Reports to the UN Register and national arms export reports were considered if they were published before 31 December of the year following the year for which data was produced. For example, for international transfers of small arms and light weapons occurring in 2004, reports to the UN Register and national arms export reports appearing before 31 December 2005 were taken into account. The UN Comtrade online database does not allow one to identify the date of a country's submission for a particular year. Therefore data from the period 2001–07 was downloaded on 20 January 2009, while data for 2008 was downloaded on 12 January 2010. For the scoring, this means that under *timeliness*, states reporting to UN Comtrade were awarded total points without the exact date when they submitted data being available.

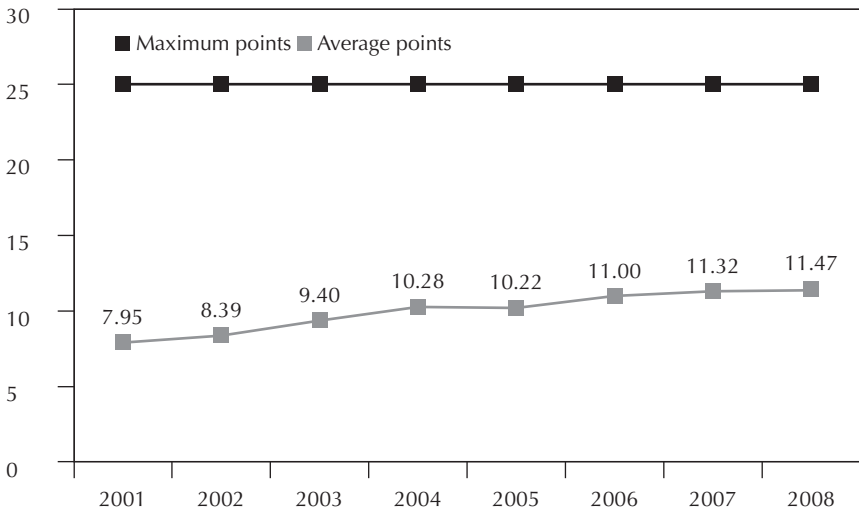
providing information on small arms and light weapons transfers. It would be welcome if more governments reported to the UN Register and published national arms export reports. Over half (54 per cent) of the countries under review did not submit background information on their international small arms and light weapons transfers to the UN Register and just 42 per cent of all countries published a national report on their arms transfers in 2008. The picture of global small arms and light weapons transfers would be much more

complete if only a few more countries produced a national arms export report or supplied background information to the UN Register, particularly significant exporters like Brazil, China, Iran, Israel, and the Russian Federation.

The increased reporting to the different reporting tools reflected in Figure 1 suggests a better, although not complete, understanding of the small arms and light weapons trade from 2001 to 2008. This is also reflected in the total average points for transparency awarded in the Transparency Barometer for the same reporting period. Figure 2 illustrates a steady increase in the average total points from 7.95 points for 2001 transfer activities to 11.47 points for 2008 activities. This means a general increase in transparency of 44 per cent (3.52 points) over the period in question. This improvement is due to several reasons that will be illustrated further in the analysis. For the time being, two major points can be raised. Firstly, the number of countries scoring zero decreased for the period of analysis. This resulted in an increase in the score of the ten least transparent countries by over 290 per cent from 2001 to 2008. Secondly, some of the countries that had a low score in the first few years, such as Romania and Serbia, significantly increased their transparency over the period.

Figure 2 **Average points for all 48 countries, 2001–08**

Transparency Barometer score



Although this increase is welcome, the fact remains that the average score for reporting on 2008 activities still lies below half of the Barometer's 25-point scale, suggesting that the overall level of transparency of all 48 countries under review is weak. Nevertheless, it should be mentioned that the average masks significant differences between the least and most transparent countries. The average score would be increased far more significantly through better reporting by the least transparent countries under review than if the states that provide good and comprehensive information to all three reporting tools improved their reporting.

Comparative results for selected parameters

Ideally, countries will eventually have such a good level of reporting on their small arms transfers that the Transparency Barometer will become obsolete. To date, the fact is that none of the 48 countries under review achieved the maximum total of 25 points. Nevertheless, it is possible for countries to report on all the criteria in the seven categories assessed by the Barometer and each set of requirements contained in these categories is fulfilled by at least one state in the sample, so in practice states can and do fulfil the Barometer criteria. Reporting by individual countries for 2006 and 2008 in particular show that all the criteria used to analyse transparency in small arms and light weapons exports can be fulfilled, and none of the questions in Annexe 3 remained unanswered by all countries. The ideal would be for states to compile and present data so as to fulfil all the criteria. However, states' export controls and therefore reporting practices differ and it may be difficult for some of them to change reporting practices in order to fulfil all the criteria.

The retroactive scoring illustrates that the seven parameters—*timeliness, access and consistency, clarity, comprehensiveness, deliveries, licences granted, and licences refused*—have been unequally reported (see Table 2). Some countries get top marks in individual parameters, but none leads across all seven categories. Countries tend rather to pick and choose separate areas in which to provide fuller information rather than being very good reporters in general. *Timeliness* is the parameter where countries most often achieve the total points possible—between 38 and 46 countries achieved full points over the period. The parameter

Table 2 Countries achieving maximum points for one or more of the seven parameters

	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	39 countries	–	–	–	–	–	Denmark
2002	39 countries	–	–	–	–	–	–
2003	45 countries	Netherlands, Sweden, UK	–	–	Poland	–	–
2004	45 countries	Belgium, Netherlands, Sweden, UK	–	–	–	France	–
2005	45 countries	Belgium, Netherlands, Sweden, UK	–	–	Canada, Poland	–	–
2006	45 countries	Belgium, Netherlands, Sweden, UK	–	–	Poland	–	Romania
2007	46 countries	Belgium, Netherlands, Sweden, UK	–	–	Spain	Switzerland	–
2008	45 countries	Belgium, Netherlands, Sweden, UK	–	–	Poland, Spain	Switzerland	Germany, Romania, Serbia

access and consistency is fairly well reported too, and many states would need very little effort to increase their scores for this parameter. Belgium, the Netherlands, Sweden, and the United Kingdom managed to get full points for this parameter. Reporting to the four parameters *clarity*, *comprehensiveness*, *deliveries*, and *licences granted* is relatively weak compared to the many countries that achieved maximum points for *timeliness*. No country reported well enough to receive the maximum points under the parameters *clarity* and *comprehensiveness*. For *clarity*, Norway achieved the best result for reporting on its 2007 activities with 4.25 points out of a possible 5. Incomplete information on its transfers and brokering control legislation and on arms brokers lost Norway 0.75 points. The highest result for the parameter *comprehensiveness* was achieved by Switzerland (in 2007 and 2008) and the United Kingdom (in 2006). Both countries failed to provide the information on permanent re-exports needed to get full points. Additionally, Switzerland did not get full points for reporting on ammunition larger than 12.75 mm and the United Kingdom received partial points for its information on transit/transshipment of small arms and light weapons. Poland received full points for *deliveries* for reporting on activities for 2003, 2005, 2006 (together with Canada), and 2008.²⁹ Spain did so for reporting on its 2007 and 2008 activities in this area. France and Switzerland received maximum points for reporting on *licences granted* in 2004 and 2007–08, respectively. Full points were granted to Denmark and Romania for reporting on *licences refused* in 2001, 2006, and 2008. Germany and Serbia also received full points for reporting on *licences refused* in 2008.

Reporting on all the criteria in the seven categories assessed by the Barometer varies according to each set of requirements. Information that states are particularly unwilling to share under the parameter *clarity* is that on: whether deliveries were government- or private industry-supplied transactions; temporary exports; registered small arms and light weapons brokers; laws and regulations; and aggregated totals of licences granted and/or refused. Under the parameter *comprehensiveness*, the least reported aspects are information on transfers of guided light weapons; share of intangible transfers; permanent re-exports, including the destination and origin of these shipments; and transit and transshipments, including their origin and destination. Certainly, most of this information is not required by multilateral regimes such as the EU Report,

UN Register, or UN Comtrade, but states can provide information on the above-mentioned aspects in a national arms export report.

The most transparent countries

Analysis of the reporting of the ten most transparent countries during the period under review revealed that many countries' scores do not fluctuate a great deal. As Table 3 illustrates, three countries—Denmark, Germany, and the Netherlands—were among the most transparent countries every year for reporting on activities between 2001 and 2008. This might result from a strong tradition of parliamentary scrutiny. Most of the top ten countries have produced national reports since the late 1990s. Sweden, the United Kingdom, and the United States³⁰ did not make it into the top ten only for 2006, 2008, and 2004, respectively. Multiple appearances in the top ten were achieved by Belgium, the Czech Republic, France, Italy, Norway, Romania, Serbia, and Switzerland. Four countries have only made it into the top ten once: Canada, Poland, Slovakia, and Spain.

Despite the consistent reporting of the ten most transparent countries, it must be highlighted that many 'top' scores are still relatively low. None of the most transparent countries achieved the 25-point maximum score. Switzerland came closest with 21 points for reporting its 2007 and 2008 activities, and it is the only country that has achieved a score above 20 points. The lowest result among the top ten went to Canada with 11.5 points for reporting its 2002 activities.

In 25 cases out of 80 the score remained below 15 points (i.e. 60 per cent of the points that can be achieved) and in four instances the result remained below 12.50 points (50 per cent), namely for Belgium's and Sweden's reporting of their 2001 activities and for Canada's and Sweden's reporting of their 2002 activities (see Table 3). This suggests that transparency even among some of the most transparent countries can be further increased. One could wish for those at the higher end of the top ten grouping to cross the crucial 20-points line and for those at the lower end of the grouping to aim to reach at least 15 points.

The average score of the ten most transparent countries steadily increased from 2001 to 2008, except for a small decrease of 0.20 points for reporting on

Table 3 **The ten most transparent countries each year, 2001–08***

Rank	2001	2002	2003	2004	2005	2006	2007	2008
Points on the Barometer								
Belgium	9th			Joint 8th	10th			
	12.00			14.00	14.50			
Canada		10th						
		11.50						
Czech Republic			8th	7th				
			14.25	14.25				
Denmark	1st	7th	9th	Joint 8th	7th	4th	8th	Joint 6th
	16.00	13.75	14.00	14.00	15.50	16.75	16.25	16.50
Finland	Joint 5th	4th	5th	5th	9th	10th		
	14.00	14.75	15.50	15.00	14.75	15.00		
France	Joint 5th	Joint 5th		1st				
	14.00	14.25		17.25				
Germany	3rd	1st	2nd	Joint 2nd	1st	2nd	3rd	3rd
	15.00	17.00	17.25	16.75	17.25	17.25	18.00	17.75
Italy	4th	Joint 5th	7th	Joint 8th	8th			
	14.25	14.25	14.50	14.00	15.25			
Netherlands	8th	8th	1st	4th	Joint 3rd	3rd	Joint 6th	Joint 4th
	13.00	13.00	17.75	16.25	16.50	17.00	16.50	17.00
Norway					2nd	Joint 7th	Joint 4th	Joint 6th
					17.00	15.50	16.75	16.50

Poland			10th					
			13.75					
Romania						9th	Joint 4th	Joint 6th
						15.25	16.75	16.50
Serbia						Joint 5th	Joint 6th	Joint 4th
						16.50	16.50	17.00
Slovakia						Joint 7th		
						15.50		
Spain								Joint 6th
								16.50
Sweden	10th	9th	6th	6th	Joint 5th		10th	Joint 6th
	11.75	11.75	15.25	14.75	16.00		16.00	16.50
Switzerland							1st	1st
							21.00	21.00
UK	Joint 5th	3rd	3rd		Joint 5th	1st	2nd	2nd
	14.00	15.00	16.50		16.00	18.75	18.50	18.50
US	2nd	2nd	4th	Joint 2nd	Joint 3rd	Joint 5th	9th	
	15.75	16.50	16.25	16.75	16.50	16.50	16.25	
Average	13.98	14.18	15.50	15.30	15.93	16.40	17.25	17.38

* The 19 countries listed in this table achieved a top ten position at least once in the period analysed.

2004 activities. (Note that the countries in the top ten grouping changed slightly each year according to their individual scores, as indicated in Table 3, but it is with the top ten for each year that the present discussion is concerned.) This resulted in an increase of 24 per cent (3.40 points). Comparing the average total

of the ten most transparent countries with the average total of all 48 countries under review (Figure 2), we can observe that the lowest average score from the most transparent countries (13.98 points for reporting on 2001 activities) is still 2.51 points higher than the highest average score of all 48 countries (11.47 for reporting on activities in 2008). This suggests that although the level of transparency increased mainly for reporting on 2006, 2007, and 2008 activities, the average level of transparency is still lower than the level of the lowest 'most transparent' country average for activities in 2001. In this respect, many of the 48 major small arms exporters can do much more to improve their reporting.

Of the 19 most transparent countries listed in Table 3, all report to UN Comtrade and the UN Register,³¹ and all, except for Poland, publish a national arms export report. The most significant increase of the average points is observed from reporting on 2003 activities onwards. This might partially be explained by states being able to report on small arms and light weapons export activities to the UN Register. Indeed, four of the most transparent countries (the Netherlands, Poland, Sweden, and the United Kingdom) did report to the UN Register for 2003.

Transparency of the top small arms and light weapons exporters

The top small arms and light weapons exporters³² for the years 2001–08 were Austria, Belgium, Brazil, Canada, China, Germany, Italy, the Russian Federation, Switzerland, Turkey, the United Kingdom, and the United States (see Box 1). Their average score has been steadily increasing, despite the large variations among some countries, resulting in an increase of 26 per cent (from 10.60 to 13.38 points).

Despite the increase in their average score, the level of transparency among the top 12 exporters varies significantly. Five of the top exporters (Germany, Italy, Switzerland, the United Kingdom, and the United States) are among the most transparent countries. While Switzerland has greatly increased its level of transparency since reporting on its 2007 activities, Germany, Italy, the United Kingdom, and the United States have consistently achieved a higher level of transparency.

Box 1 Top small arms and light weapons exporters in decreasing order for each year, 2001–08

2001: US, Italy, Belgium, Germany, Russian Federation, Brazil, China

2002: US, Italy, Brazil, Germany, Belgium, Russian Federation, China

2003: Russian Federation, US, Italy, Germany, Brazil, China

2004: US, Italy, Germany, Brazil, Austria, Belgium, China

2005: US, Italy, Germany, Belgium, Austria, Brazil, Russian Federation, China

2006: US, Italy, Germany, Brazil, Austria, Belgium

2007: US, Italy, Germany, Brazil, Austria, Belgium, UK, China, Switzerland, Canada, Turkey, Russian Federation

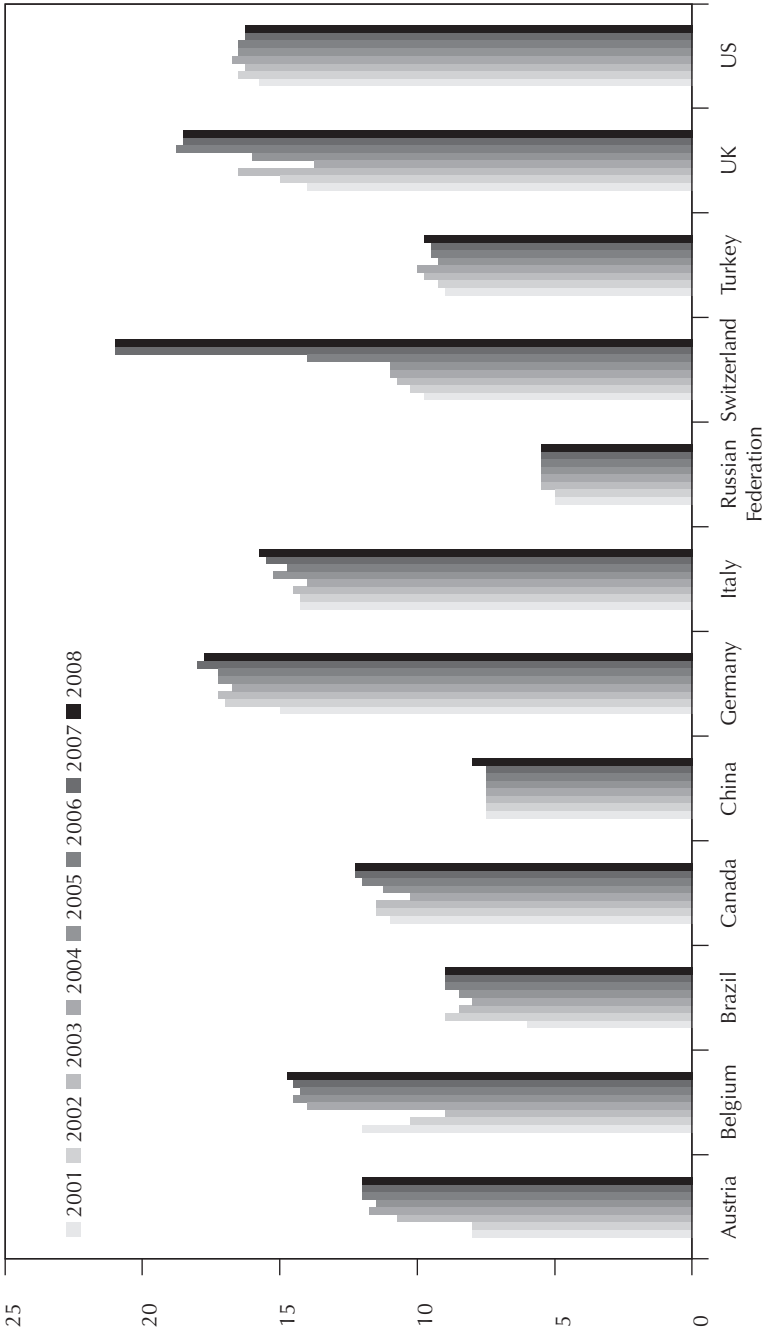
Source: Small Arms Survey (2004, p. 100; 2005, p. 97; 2006, p. 65; 2007, p. 74; 2008, p. 114; 2009, p. 8; 2010, p. 8)

The total points of the three most transparent top small arms exporters (Germany, the United Kingdom and the United States) are twice as much as the total points achieved by Brazil, China, and the Russian Federation. The latter do not publish a national arms export report and their reporting to the UN Register does not include background information on international small arms and light weapons transfers. Their scoring therefore relies only on reporting to UN Comtrade. The Russian Federation has the lowest score, because it reports only on transfers of sporting and hunting shotguns and rifles.³³

The transparency of Austria, Belgium, Canada, and Turkey is average. Despite its position as the fifth largest exporter of small arms and light weapons since 2004 and as a member of the EU, Austria's level of transparency is rather low. Although it publishes a national report on arms exports and reports to the EU Report, UN Comtrade, and the UN Register (without submitting background information on its international small arms and light weapons transfers to the latter), Austria's total points are low. Its national report does not give any useful information beyond that reported to the EU Report. After starting to report to the EU Report from 2003 onwards, Austria's score has increased slightly, especially in recent years, but still remains below 50 per cent of the maximum possible.

Figure 3 Level of transparency of top small arms and light weapons exporters, 2001–08

Transparency Barometer score



The least transparent countries

While the analysis of the most transparent countries provides valuable insights into the international small arms transfers of these countries, a closer look at the least transparent countries allows us to estimate how much we do not know about transfers of small arms and light weapons.

This section looks at those countries scoring zero points for non-reporting on their small arms and light weapons transfer activities and finds that the number of those scoring zero has decreased. It then assesses the ten least transparent countries.

Countries scoring zero

Countries that score zero for their reporting on arms transfers are those that provide no information at all for any given year. As much as this is disappointing and a setback for transparency, significant progress can nonetheless be observed.

The number of countries scoring zero has decreased. While in 2001 eight countries did not report in any form on their small arms and light weapons transfers, this number decreased to six for 2002; and as of 2003 onwards, only two countries per year have regularly scored zero: North Korea and the UAE for their 2003 and 2004 activities, and Iran and North Korea for their 2005–08 activities (see Box 2). Some of the countries previously scoring zero have started publishing national arms export reports, such as Bosnia and Herzegovina,

Box 2 Countries scoring zero, 2001–08

2001: Bosnia and Herzegovina, Bulgaria, Iran, North Korea, Pakistan, South Africa, Ukraine, UAE

2002: Bosnia and Herzegovina, Bulgaria, North Korea, Pakistan, Ukraine, UAE

2003: North Korea, UAE

2004: North Korea, UAE

2005: Iran, North Korea

2006: Iran, North Korea

2007: Iran, North Korea

2008: Iran, North Korea

Bulgaria, South Africa, and Ukraine, in addition to reporting to UN Comtrade and/or the UN Register. Pakistan and the UAE have started reporting to UN Comtrade and the UN Register, while Iran reported to UN Comtrade for a short period.

The ten least transparent countries

Although very low, the average total of the ten least transparent countries has been steadily increasing during the period under analysis, from 1.32 points in 2001 to 5.20 points in 2008, representing 5.25 per cent and 20.80 per cent, respectively, of the maximum points. The increase in the average score by 294 per cent from 2001 to 2008 is the most significant increase observed in this paper. While the average score of the ten most transparent countries increased by 34 per cent, the top small arms exporters improved reporting by 26 per cent. Both are below the increase of 44 per cent in the average score of all 48 countries under review in the same time period. This suggests that improved reporting on small arms and light weapons exports among the least transparent countries has more impact on the average score than improvements in reporting by the most transparent countries, which already have a relative good level of transparency.

Of the 17 least transparent countries, four countries were consistently among the least transparent (see Table 4): North Korea, the Russian Federation, South Africa, and Ukraine. Bosnia and Herzegovina, Hungary, and Serbia and Montenegro were only once among the least transparent countries, and particularly Serbia has managed to significantly increase its score since then (i.e. for its 2003 activities). While the maximum score among the least transparent countries is 8.5 points, in 25 instances countries scored zero (see Table 4).

It has already been observed that the Russian Federation is among the least transparent top small arms exporters worldwide. Now we can additionally state that the Russian Federation has also been among the least transparent countries for the years under review. As long as such an important arms exporter as the Russian Federation does not make its data on small arms and light weapons transfers publicly available, an important part of the information needed to analyse the international small arms and light weapons trade will be missing.

Table 4 The ten least transparent countries, 2001–08

Rank	2001	2002	2003	2004	2005	2006	2007	2008
Points on the Barometer								
Bosnia and Herzegovina	Joint 48th							
	0.00							
Bulgaria	Joint 48th	Joint 48th	Joint 43rd	44th	Joint 46th	42nd	Joint 41st	
	0.00	0.00	4.25	4.25	2.00	6.25	7.5	
China					Joint 39th	Joint 39th	Joint 41st	Joint 41st
					7.50	7.50	7.50	8.00
Hungary		Joint 40th						
		5.50						
Iran	Joint 48th		Joint 43rd		Joint 48th	Joint 48th	Joint 48th	Joint 48th
	0.00		4.25		0.00	0.00	0.00	0.00
Israel	40th	Joint 43rd	Joint 43rd	43rd	Joint 43rd	44th	44th	
	4.50	3.50	4.25	5.00	6.00	5.75	6.00	
North Korea	Joint 48th	Joint 48th	Joint 48th	Joint 48th	Joint 48th	Joint 48th	Joint 48th	Joint 48th
	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Pakistan	Joint 48th	Joint 48th						39th
	0.00	0.00						8.50
Romania	Joint 39th	41st	45th	Joint 39th	40th			
	5.00	4.00	2.00	6.25	6.75			
Russian Federation	Joint 39th	Joint 40th	Joint 39th	Joint 42nd	44th	45th	45th	45th
	5.00	5.00	5.50	5.50	5.50	5.50	5.50	5.50

Saudi Arabia			Joint 39th	Joint 42nd	Joint 39th	40th		42nd
			5.50	5.50	7.50	7.25		7.25
Serbia and Montenegro			46th					
			1.50					
Singapore				40th	Joint 43rd	41st	42nd	43rd
				6.00	6.00	6.50	6.50	6.50
South Africa	Joint 48th	Joint 43rd	44th	45th	Joint 46th	46th	46th	46th
	0.00	3.50	4.00	2.25	2.00	2.00	2.00	2.00
Taiwan				Joint 39th	Joint 43rd	43rd	43rd	44th
				6.25	6.00	6.00	6.25	6.25
Ukraine	Joint 48th	Joint 48th	Joint 43rd	46th	Joint 39th	Joint 39th	39th	Joint 41st
	0.00	0.00	4.25	2.00	7.50	7.50	8.00	8.00
UAE	Joint 48th	Joint 48th	Joint 48th	Joint 48th				
	0.00	0.00	0.00	0.00				
Average	1.32	1.91	3.23	3.91	4.73	4.93	4.93	5.20

Bulgaria, one of the three EU member states with a low score, published a national arms export report for the first time in February 2007. It also for the first time submitted information on its 2007 activities to the EU Report. These two datasets allowed Bulgaria to increase its score as of 2006, because it does not report at all to UN Comtrade. While Bulgaria was able to increase its score, it still has a long way to go, just as Hungary does. Romania, the third EU member state in this grouping, which was among the least transparent countries between 2001 and 2005, managed to increase its scoring to the point that it figures among the ten most transparent countries for reporting on its 2006, 2007, and 2008 activities. Many of the countries mentioned do not have a tradition of reporting and can therefore easily adapt their reporting to cover

relevant information. A dynamic and committed individual usually drives the process in such circumstances. Furthermore, newly acquired EU membership helps to increase reporting on small arms transfers. Motivating factors such as EU membership resulted in varied levels of transparency at the regional level.

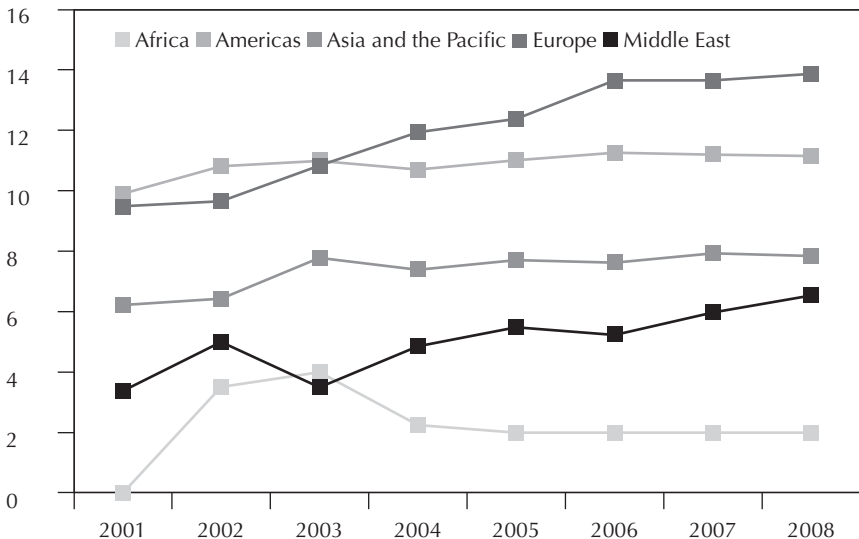
Transparency by region

Comparing the level of transparency across regions is challenging in the sense that not all regions are represented by the same number of states in the Transparency Barometer.³⁴ Nevertheless, Figure 4 illustrates trends in the level of transparency among five regions.

Europe contains the most major small arms exporters and is the most transparent region. Many EU member states and some countries from the Balkans, such as Serbia, contribute to this region’s higher level of transparency. As illustrated elsewhere, this is related to the common practice in European states of parliamentary scrutiny and the obligation on EU member states to exchange

Figure 4 **Level of transparency among five regions, 2001–08**

Transparency Barometer score



data on the financial value of their export licence approvals and actual exports, together with information on denials of arms export licences, in the EU Report. Prospects for EU membership are powerful incentives to provide better and more detailed reporting on small arms and light weapons exports, as illustrated by Serbia. Additionally, no states from the European region scored zero points after 2003 and only a handful of countries scored below 10 points during the eight years under review. All this contributes to an increased level of regional transparency. Nevertheless, the average score of the 28 European countries does not exceed 14 points out of the 25 point-scale.

The second most transparent regions are North and South America. The average score of the five countries from the Americas is between 10 and 11 points, below the 50 per cent mark. The Americas are divided into two camps, with the United States and Canada increasing the average and others such as Argentina, Brazil, and Mexico scoring between 8 and 10 points out of a possible 25. It is the only region that has never had a country score zero points. The lowest score was achieved by Brazil for reporting in 2001.

Some of the least transparent countries during the period under review, such as Iran and North Korea, are included in the analysis of the Asia-Pacific region and the Middle East. In these two regions, no country has a higher level of transparency than 11.25 points, suggesting that these are the least transparent regions³⁵ with Asia and the Pacific having a slightly higher level of transparency than the Middle East.

Country-specific analyses

This section provides country-specific analysis for all 48 countries under review. It aims to point out strengths and weaknesses of countries' reporting, while illustrating progress or regression over the eight-year reporting period, as well as areas with potential for improvement. Detailed scoring results for the seven parameters by year and country in decreasing order are presented in Annexes 6–13.

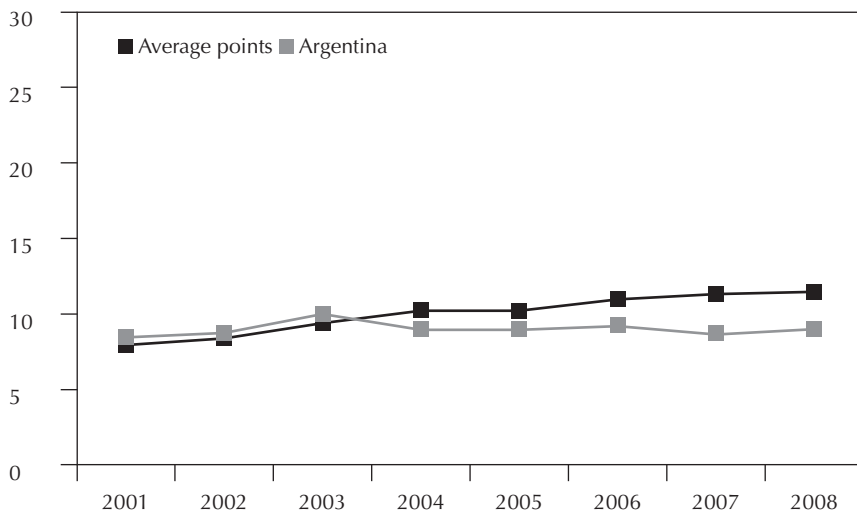
In the tables giving each country's reporting record, X indicates that a report was submitted to a particular instrument.

Argentina

Argentina's score is situated at around 10 points or slightly below. It gets its points mainly through reporting to UN Comtrade, because it does not publish a national arms export report and its reporting to the UN Register is always (except for 2007) a nil report on exports generally (as opposed to a nil report reflecting particular categories where exports did not take place, which would be rewarded with points—see above), while it does not include background information on international small arms and light weapons transfers. Argentina did not report to the UN Register for its 2006 activities, and for 2007 and 2008 it submitted a general nil report on international small arms and light weapons transfers.

Through reporting to UN Comtrade, Argentina provides a good, but relatively incomplete, picture of its deliveries. It does not report on re-exports under UN Comtrade, while its customs data does not provide information about *licences granted* and *licences refused*, which are two categories where Argentina loses 6 points, representing almost a quarter of all the points that can be achieved. A national arms export report might give more information

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	8.50	-	X	n/a	1.50	0.50	1.50	2.00	3.00	0.00	0.00
2002	8.75	-	X	n/a	1.50	0.50	1.50	2.25	3.00	0.00	0.00
2003	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
2004	9.00	-	X	X	1.50	1.00	1.50	2.00	3.00	0.00	0.00
2005	9.00	-	X	X	1.50	1.00	1.50	2.00	3.00	0.00	0.00
2006	9.25	-	X	X (05)	1.50	0.50	1.50	2.75	3.00	0.00	0.00
2007	8.75	-	X	X	1.50	0.50	1.50	2.25	3.00	0.00	0.00
2008	9.00	-	X	X	1.50	0.50	1.50	2.50	3.00	0.00	0.00

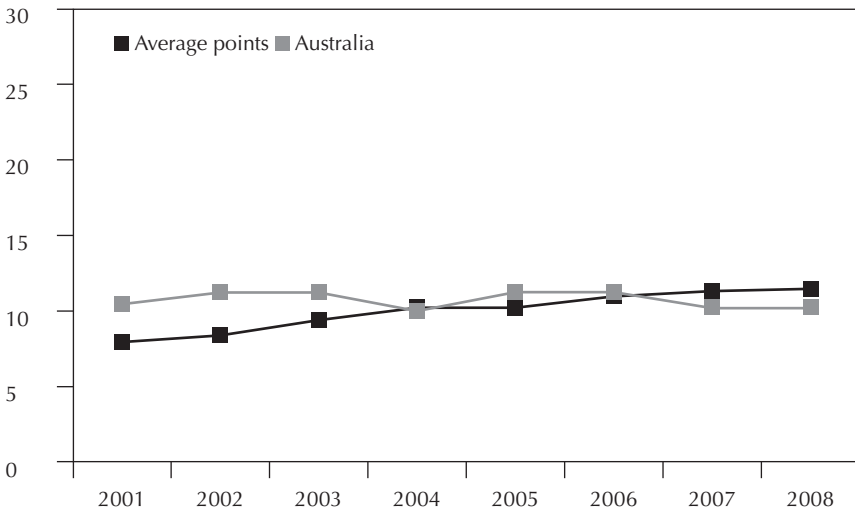
in this regard and shed light on other aspects such as legislation, brokering activities, transshipments, and re-exports. It might also allow Argentina to be clearer about the types of small arms, light weapons, and their parts, accessories, and ammunitions that it does not export. This would improve public scrutiny of arms exports policies and practices, and also improve Argentina's reputation as a more transparent and therefore more responsible arms exporter, which would be reflected in a higher ranking in the Transparency Barometer.

Australia

Australia's scores for the period are situated at 10 points or slightly above. It gets its points mainly through reporting to UN Comtrade. Its reporting to the UN Register is either a general nil report on exports, or it does not contain relevant information for the Transparency Barometer's analysis, except for its 2007 activities, where its report to the UN Register included background information on international transfers of small arms and light weapons. It did publish national arms export reports covering its activities until 2004, although they were not always up to date. After reporting on its 2002/2003/2004 activities, Australia did not publish a national report for the following years.

On a regional level,³⁶ Australia is the most transparent country, but nevertheless can contribute much more to transparency. Its reporting to UN Comtrade, for example, is not complete, as it does not report on re-exports. Australia scored its best results in the years when a national report was made available. However, the report could be more focused on small arms. It does not report on *licences granted* and *licences refused*. Under *comprehensiveness*, Australia can improve its score by reporting on permanent re-exports, transits/transhipments,

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	10.50	X (00/01)	X	n/a	1.50	1.50	1.75	2.75	3.00	0.00	0.00
2002	11.25	X (01/02)	X	n/a	1.50	1.50	2.00	3.25	3.00	0.00	0.00
2003	11.25	X (01/02)	X	X	1.50	1.50	2.00	3.25	3.00	0.00	0.00
2004	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
2005	11.25	X (02-04)	X	X	1.50	1.50	2.00	3.25	3.00	0.00	0.00
2006	11.25	X (02-04)	X	X	1.50	1.50	2.00	3.25	3.00	0.00	0.00
2007	10.25	-	X	X	1.50	1.00	1.50	3.25	3.00	0.00	0.00
2008	10.25	-	X	X	1.50	1.00	1.50	3.25	3.00	0.00	0.00

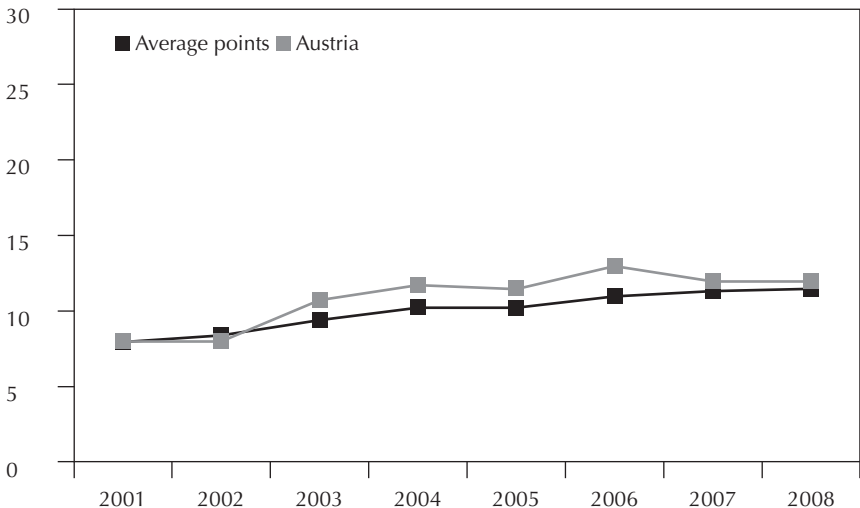
and intangible transfers, for example. This would improve public scrutiny of arms exports policies and practices, and also result in improving Australia's reputation as a more transparent and therefore responsible arms exporter, which would be reflected in a higher ranking in the Barometer.

Austria

Austria publishes a national report on arms exports and reports to the EU Report, as well as to UN Comtrade and the UN Register, although it does not submit background information on its international small arms and light weapons transfers and is one of the few EU states that does not report in this area. Austria's national report does not give any additional information than that already reported to the EU Report. Reporting to the latter has allowed Austria to increase its score above 10 points since 2003, but it still remains below 50 per cent on the total 25-point scale.

By investing more effort in its national arms export report, Austria could increase its scoring. Especially under the parameter *comprehensiveness*, transfers for particular weapons types beyond the EU Military List would provide many additional points. Since Austria is a top exporter, more information on aspects such as legislation, brokering activities, transshipment, and re-exports would improve public scrutiny of arms export policies and practices. Under UN Comtrade, Austria should report values and units for UN Comtrade codes 930120, 930190, and 930200, for example,³⁷ and could improve its report-

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	8.00	-	X	n/a	1.50	0.50	1.50	1.50	3.00	0.00	0.00
2002	8.00	-	X	n/a	1.50	0.50	1.50	1.50	3.00	0.00	0.00
2003	10.75	EU Report	X	X	1.50	1.00	2.00	1.50	3.00	1.50	0.25
2004	11.75	X (04)/EU Report	X	X	1.50	1.50	2.50	1.50	3.00	1.50	0.25
2005	11.50	X (05)/EU Report	X	X	1.50	1.50	2.25	1.50	3.00	1.50	0.25
2006	12.00	X (06)/EU Report	X	X	1.50	1.50	2.25	1.50	3.00	2.00	0.25
2007	12.00	X (07)/EU Report	X	X	1.50	1.50	2.25	1.50	3.00	2.00	0.25
2008	12.00	X (07)/EU Report	X	X	1.50	1.50	2.25	1.50	3.00	2.00	0.25

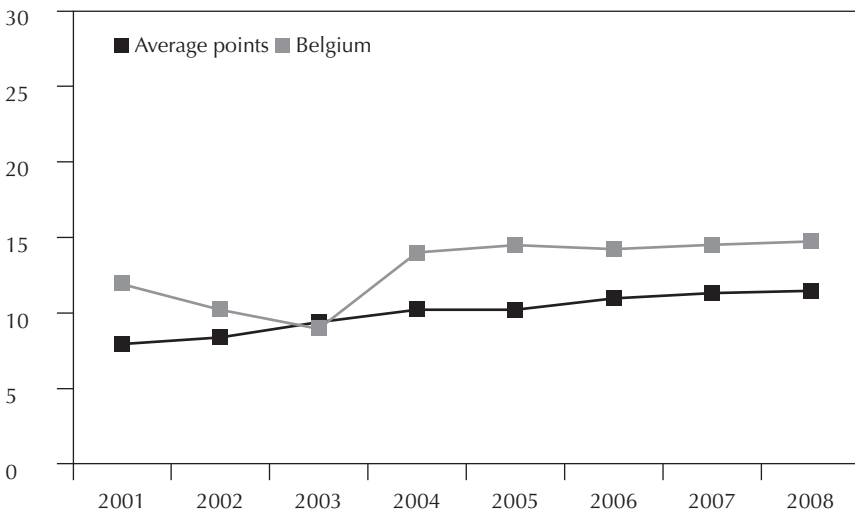
ing on re-exports in all UN Comtrade categories. This would improve Austria's reputation as a more transparent and therefore responsible arms exporter, which would be reflected in a higher ranking in the Barometer. To date, Austria is the fourth least transparent country among all EU member states, following Bulgaria, Cyprus, and Hungary.

Belgium

For its reporting on its 2001, 2004, and 2005 activities, Belgium ranked among the ten most transparent countries. Except for 2003 and 2008,³⁸ it published national arms export reports on its arms transfers in time to be evaluated for the Barometers for those years. When reporting on its 2008 activities, Belgium provided background information on international small arms and light weapons transfers in its UN Register submission, although of a very limited nature.

At this stage, it seems most important for Belgium to increase its reporting on *licences refused* and to provide more information on end users and permanent re-exports in its national report. In its report to UN Comtrade, Belgium might improve its reporting by providing data on values and units transferred for UN Comtrade codes 930120, 930190, and 930200, and, as already mentioned, the country's reporting to the UN Register is very limited. There is potential to further improve its reporting on small arms and light weapons transfers. If this were done, Belgium would improve its reputation as a more transparent top small arms exporter.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)*	UN Comtrade	UN Register (year covered)	Timeliness (1,5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6,5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	12.00	X (01)	X	n/a	1.50	1.00	2.25	2.75	3.00	1.50	0.00
2002	10.25	X (02)	X	n/a	1.50	1.00	2.00	2.75	3.00	0.00	0.00
2003	9.00	EU Report	X	X	1.50	1.00	1.50	1.75	3.00	0.00	0.25
2004	14.00	X (04)/EU Report	X	X	1.50	2.00	2.75	2.50	3.00	2.00	0.25
2005	14.50	X (05)/EU Report	X	X	1.50	2.00	2.75	3.00	3.00	2.00	0.25
2006	14.25	X (06)/EU Report	X	X	1.50	2.00	2.50	3.00	3.00	2.00	0.25
2007	14.50	X (07)/EU Report	X	X	1.50	2.00	2.50	3.25	3.00	2.00	0.25
2008	14.75	X (07)/EU Report	X	X	1.50	2.00	2.50	3.50	3.00	2.00	0.25

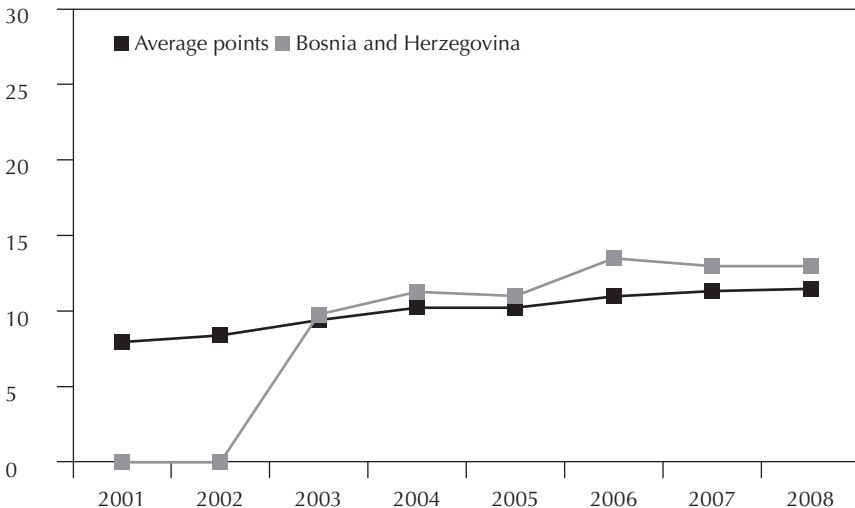
* Belgium's export control system was regionalized in September 2003. This means that each Belgian region reports separately on its arms exports. On the basis of these diverging reporting practices, the reports of all three regional parliaments need to be provided for Belgium to be assessed in the Transparency Barometer.

Bosnia and Herzegovina

Bosnia and Herzegovina managed to increase its score from 0 points for 2001 and 2002 to 13 points for 2008. For its 2004 activities onwards, Bosnia and Herzegovina was the first country from the former Yugoslavia to publish a national arms export report. Since then, it has also submitted data to UN Comtrade and the UN Register, including reporting on background information on international small arms and light weapons transfers for its 2007 activities.

Bosnia and Herzegovina's national arms export reporting on deliveries is very informative. Its reporting on *licences granted* for its 2008 activities is among the best, and only Germany, Romania, Serbia, and Switzerland achieved more points for this category. Additional information on end users and detailed weapon descriptions instead of referring to the EU Military List might improve its national report and allow it to increase its points under *comprehensiveness* and contribute to its reputation as a more transparent major arms exporter.

Transparency Barometer score



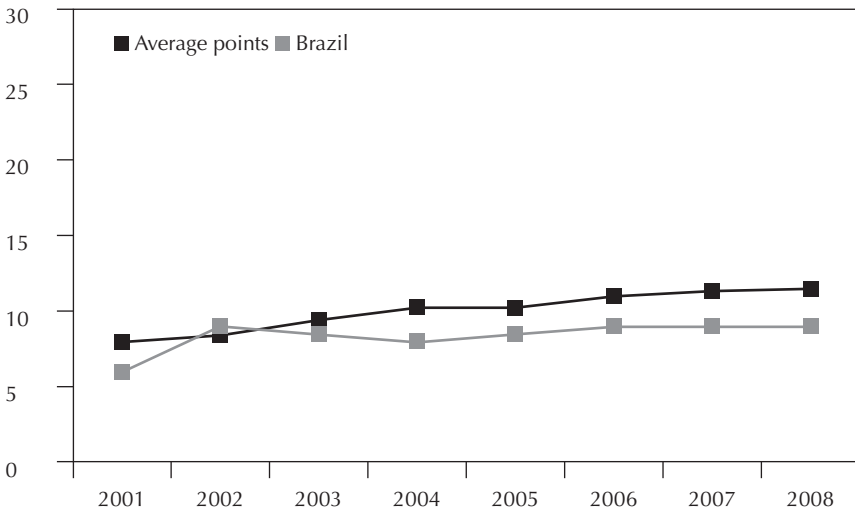
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2002	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2003	9.75	-	X	-	1.50	0.50	1.50	3.25	3.00	0.00	0.00
2004	11.25	X (04)	X	X	1.50	0.00	2.25	3.50	3.00	1.00	0.00
2005	11.00	X (05)	X	X	1.50	0.50	2.25	2.75	3.00	1.00	0.00
2006	13.50	X (06)	X	X	1.50	1.00	3.00	2.50	3.00	1.50	1.00
2007	13.00	X (06)	X	X	1.50	1.00	2.50	2.50	3.00	1.50	1.00
2008	13.00	X (07)	X (07)	X	1.50	0.50	2.50	2.50	3.00	1.50	1.50

Brazil

Brazils' score is situated slightly below 10 points. It gets its points mainly through reporting to UN Comtrade, because it does not publish a national arms export report, while its reporting to the UN Register is always (except for 2006) a general nil report on exports and does not include background information on international small arms and light weapons transfers.

Through its reporting to UN Comtrade, Brazil provides a good, but incomplete, picture of its deliveries. It could consider reporting on categories such as 930200, 930630, and re-exports in all UN Comtrade categories. Also, its customs data does not inform about *licences granted* and *licences refused*—two categories where Brazil loses 6 points, representing almost a quarter of all the points that can be achieved. On a regional level, Brazil is the least transparent country. Considering that it is a top small arms exporter, a national arms export report might shed light on aspects such as legislation, brokering activities, transshipments, and re-exports and enhance Brazil's reputation as a transparent top small arms exporter.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	6.00	-	X	n/a	1.50	0.50	0.50	1.50	2.00	0.00	0.00
2002	9.00	-	X	n/a	1.50	1.00	1.00	2.50	3.00	0.00	0.00
2003	8.50	-	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
2004	8.00	-	X	X	1.50	1.00	1.00	2.00	2.50	0.00	0.00
2005	8.50	-	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
2006	9.00	-	X	X	1.50	1.00	1.00	2.50	3.00	0.00	0.00
2007	9.00	-	X	X	1.50	1.00	1.00	2.50	3.00	0.00	0.00
2008	9.00	-	X	X	1.50	1.00	1.00	2.50	3.00	0.00	0.00

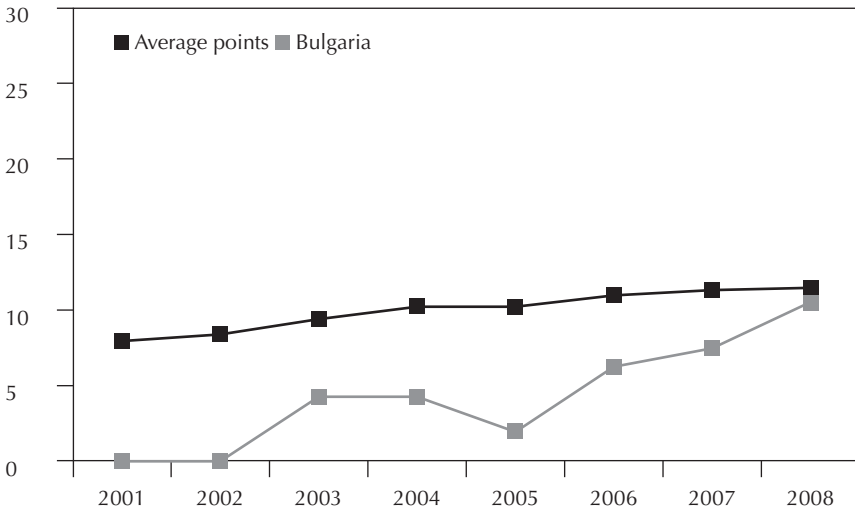
Bulgaria

Bulgaria shows a positive trend since 2005. Nevertheless, it is the least transparent EU member state over the review period. For reporting on their 2008 activities, only Cyprus and Hungary have a lower score and all the countries from the Balkans have a higher level of transparency than Bulgaria.

Bulgaria did publish a national arms export report for the first time in February 2007 (covering its 2005 and 2006 activities) and also for the first time submitted information on its 2007 activities. These two datasets allowed Bulgaria to increase its score from 0.00 points in 2001 and 2002 to 6.25 points in 2006. Bulgaria's score of 10.50 points for its 2008 activities is due to its submission of background information on international small arms and light weapons transfers to the UN Register.

If Bulgaria were to improve its national reporting while specifically reporting in greater depth on small arms transfers it could increase its score for all seven parameters, but particularly for *comprehensiveness* and *licences refused*. Improved reporting to UN Comtrade on values, units, and re-exports in all UN Comtrade categories and continued reporting of background information on

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2002	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2003	4.25	-	-	X	1.50	0.50	0.25	0.50	1.50	0.00	0.00
2004	4.25	-	-	X	1.50	0.50	0.25	0.50	1.50	0.00	0.00
2005	2.00	-	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
2006	6.25	X (05/06)	-	X	1.50	1.00	1.50	0.00	0.00	1.50	0.75
2007	7.50	X (07)/EU Report	-	X	1.50	1.50	1.50	0.00	1.50	1.50	0.00
2008	10.50	X (07)/EU Report	-	X	1.50	1.00	1.75	1.75	3.00	1.50	0.00

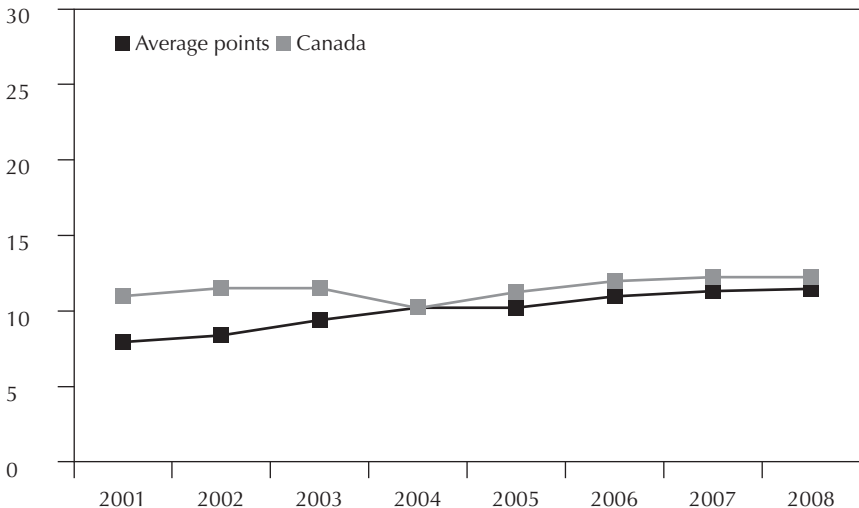
its international small arms and light weapons transfers to the UN Register would result in increased transparency and a higher ranking in the Transparency Barometer.

Canada

Canada's transparency is evaluated on the basis of its national report and its reporting to UN Comtrade and the UN Register. After 2003 Canada did not publish a national report on arms transfers for two years and then published two reports, one for its activities from 2003 to 2005 and one for its 2006 activities. For the latter year and beyond it also published background information on international small arms and light weapons transfers that increased its points to 12.50, representing 50 per cent of the total 25-point scale. For its reporting on its 2002 activities, Canada figures among the 10 most transparent countries for that year, although with the lowest score ever observed for a country in this grouping.

Canada's national report does not include any information on *licences granted* and *licences refused*, and here it loses 6 points. It was granted full points under *deliveries* for reporting on its 2005 activities, because it submitted information about end users to the UN Register. In its reporting to UN Comtrade, Canada reports on all relevant categories, including re-exports.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	11.00	X (01)	X	n/a	1.50	1.00	2.25	3.25	3.00	0.00	0.00
2002	11.50	X (02)	X	n/a	1.50	1.50	2.25	3.25	3.00	0.00	0.00
2003	11.50	X (02)	X	X	1.50	1.50	2.25	3.25	3.00	0.00	0.00
2004	10.25	-	X	X	1.50	1.00	1.50	3.25	3.00	0.00	0.00
2005	11.25	-	X	X	1.50	1.00	1.50	3.25	4.00	0.00	0.00
2006	12.00	X (03-05)	X	X	1.50	1.50	2.25	3.75	3.00	0.00	0.00
2007	12.25	X (03-05)	X	X	1.50	1.50	2.25	4.00	3.00	0.00	0.00
2008	12.25	X (06)	X	X	1.50	1.50	2.25	4.00	3.00	0.00	0.00

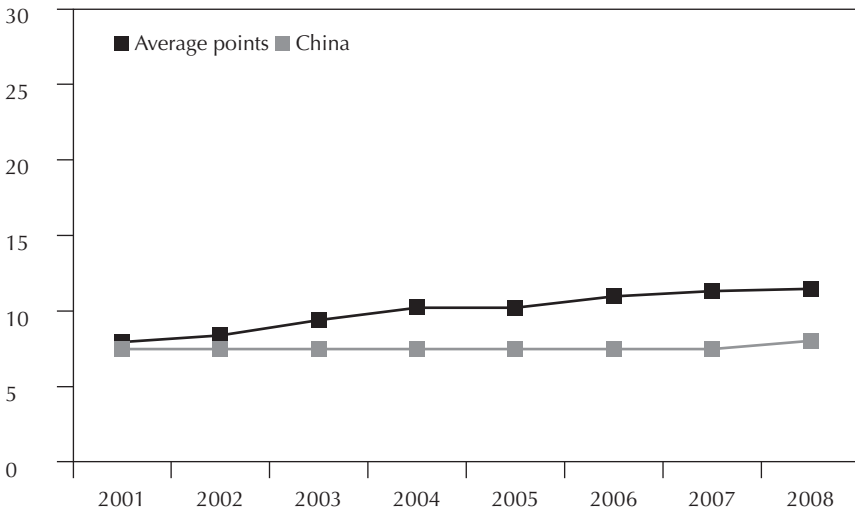
Considering that Canada is a top small arms exporter, it could contribute to transparency by providing information on temporary exports, brokers, whether its transactions are private industry or government sourced, and *licences granted* and *licences refused*. This would improve public scrutiny of arms exports policies and practices and also enhance Canada's reputation as a more transparent and therefore responsible top arms exporter.

China

China is one of the second least transparent major exporters and is among the least transparent countries in general for reporting on its 2005, 2006, 2007, and 2008 activities. The points it gets are awarded for its reporting to UN Comtrade. Although China reported to the UN Register for its 2006, 2007, and 2008 activities, it does not provide background information or information on mortars under category III and MANPADS under category VII.

China's scores represent less than one-third of the possible points available. More detailed reporting on its exports of small arms and light weapons is needed and would allow observers to understand China's share of the global small arms and light weapons market. China has the potential to further improve its reporting on small arms exports. Its reporting to UN Comtrade, for example, is incomplete. Providing values and units on categories 930120, 930190, 930200, and 930630, as well as reporting on re-exports for all UN Comtrade categories, would result in a higher ranking and improve China's reputation as a top small arms exporter.

Transparency Barometer score



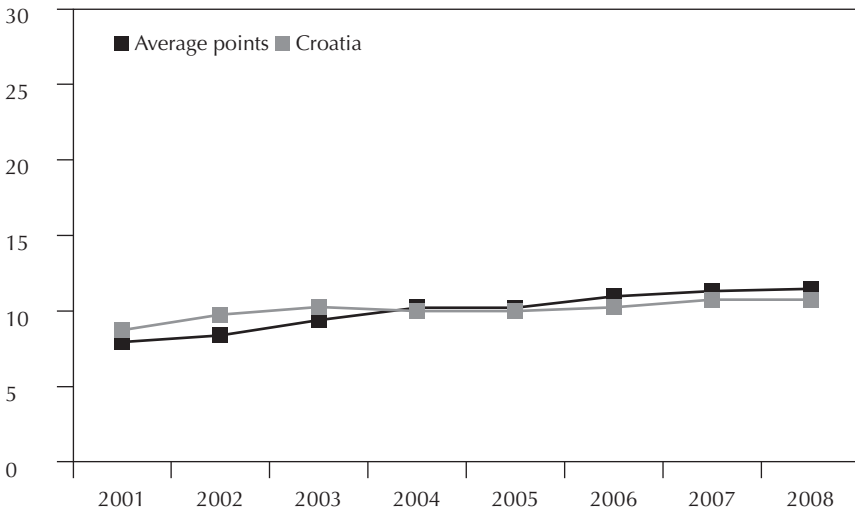
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	7.50	-	X	n/a	1.50	0.50	1.00	1.50	3.00	0.00	0.00
2002	7.50	-	X	n/a	1.50	0.50	1.00	1.50	3.00	0.00	0.00
2003	7.50	-	X	-	1.50	0.50	1.00	1.50	3.00	0.00	0.00
2004	7.50	-	X	-	1.50	0.50	1.00	1.50	3.00	0.00	0.00
2005	7.50	-	X	-	1.50	0.50	1.00	1.50	3.00	0.00	0.00
2006	7.50	-	X	X	1.50	0.50	1.00	1.50	3.00	0.00	0.00
2007	7.50	-	X	X	1.50	0.50	1.00	1.50	3.00	0.00	0.00
2008	8.00	-	X	X	1.50	1.00	1.00	1.50	3.00	0.00	0.00

Croatia

Croatia's score is situated at around 10 points. It gets its points mainly through reporting to UN Comtrade, because it does not publish a national arms export report and its reporting to the UN Register was a general nil report until 2006. For its 2007 and 2008 activities Croatia provided background information on international transfers of small arms and light weapons to the UN Register, which has resulted in a slight increase in its score.

To further increase its transparency, Croatia could provide more detailed information to the UN Register and particularly give background information on its international small arms and light weapons transfers. Considering that Croatia is a major exporter, it would contribute to improved scrutiny of arms export policies and practices by producing a national report on arms transfers—a practice already well established in all the former Yugoslav republics. Especially in terms of reporting on the parameters *licences granted* and *licences refused*, a national arms export report would improve Croatia's reputation as a more transparent and responsible arms exporter, which would be reflected in a higher ranking in the Transparency Barometer.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	8.75	-	X	n/a	1.50	0.50	1.50	2.25	3.00	0.00	0.00
2002	9.75	-	X	n/a	1.50	0.50	1.50	3.25	3.00	0.00	0.00
2003	10.25	-	X	X	1.50	1.00	1.50	3.25	3.00	0.00	0.00
2004	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
2005	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
2006	10.25	-	X	X	1.50	1.00	1.50	3.25	3.00	0.00	0.00
2007	10.75	-	X	X	1.50	1.00	1.50	3.25	3.50	0.00	0.00
2008	10.75	-	X	X	1.50	1.00	1.75	3.50	3.00	0.00	0.00

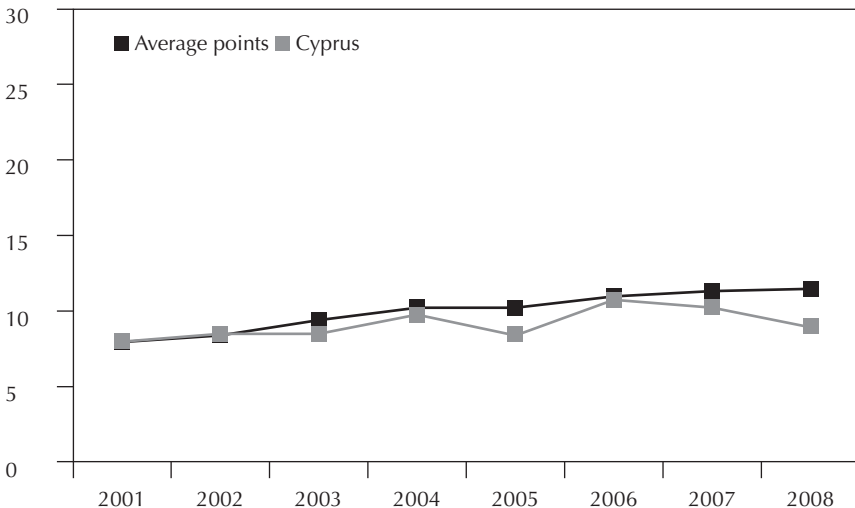
Cyprus

Cyprus was included in the Transparency Barometer in 2007 and is one of the few EU member states that, besides reporting to the EU Report, does not make a national arms export report publicly available. Its reporting to UN Comtrade and the background information it provided on international small arms and light weapons transfers to the UN Register for 2006 activities were indicated to cover only re-exports.

Since 2006, Cyprus's score has decreased, while the average score of the 48 countries under review has increased steadily. Cyprus's submissions to UN Comtrade are not complete. It might consider reporting on values and quantities to UN Comtrade categories 930190, 930200, and 930630. Instead of giving a general nil report for international transfers of small arms under the UN Register, Cyprus might consider submitting a nil report for all small arms and light weapons categories individually. This would increase its points under *comprehensiveness*.

Considering that Cyprus is a national small arms exporter, it could help shed more light on transfers and re-exports by producing a national arms

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	8.00	-	X	n/a	1.50	0.50	1.00	2.00	3.00	0.00	0.00
2002	8.50	-	X	n/a	1.50	0.50	1.25	2.25	3.00	0.00	0.00
2003	8.50	-	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
2004	9.75	EU Report	X	X	1.50	1.00	1.25	2.50	3.00	0.50	0.00
2005	8.50	EU Report	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
2006	10.75	EU Report	X	X	1.50	1.00	1.25	3.00	3.00	1.00	0.00
2007	10.25	EU Report	X	X	1.50	1.00	1.50	2.25	3.00	1.00	0.00
2008	9.00	EU Report	X	X	1.50	1.00	1.25	2.25	3.00	0.00	0.00

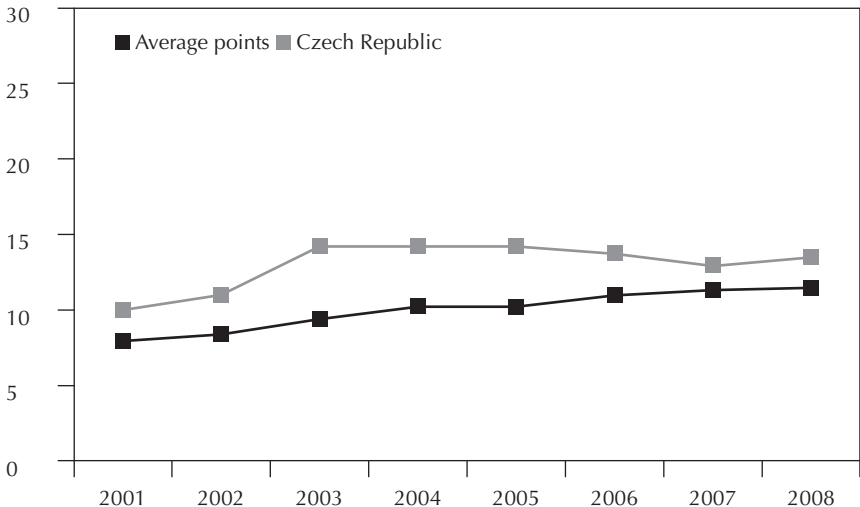
export report. This would improve public scrutiny of the country's arms export policies and practices, and also result in improving Cyprus's reputation as a more transparent and therefore responsible arms exporter, which would be reflected in a higher degree of transparency.

Czech Republic

Since 2003 the Czech Republic's score has been situated above half the points possible. Its reports to UN Comtrade and the UN Register included background information on international small arms and light weapons transfers from 2006 onwards. It also publishes a national arms export report and contributes to the EU Report. Nevertheless, it can improve the data it shares with the international community.

Considering that the Czech Republic is a major exporter, it could contribute to transparency by, for example, providing information about end users. This would allow it to get the maximum points available under the parameter *deliveries* and would increase its points under *licences granted*. It could also increase its points under *comprehensiveness* and *clarity* if it gave a full, comprehensive list of exports (sales) instead of selected examples. The Czech Republic reports on aggregate totals of exports of small arms and light weapons by category, but not by destination, and information about the latter would be very useful. These changes would improve public scrutiny of small arms export policies and practices and also enhance the Czech Republic's reputation as a more transparent small arms exporter.

Transparency Barometer score



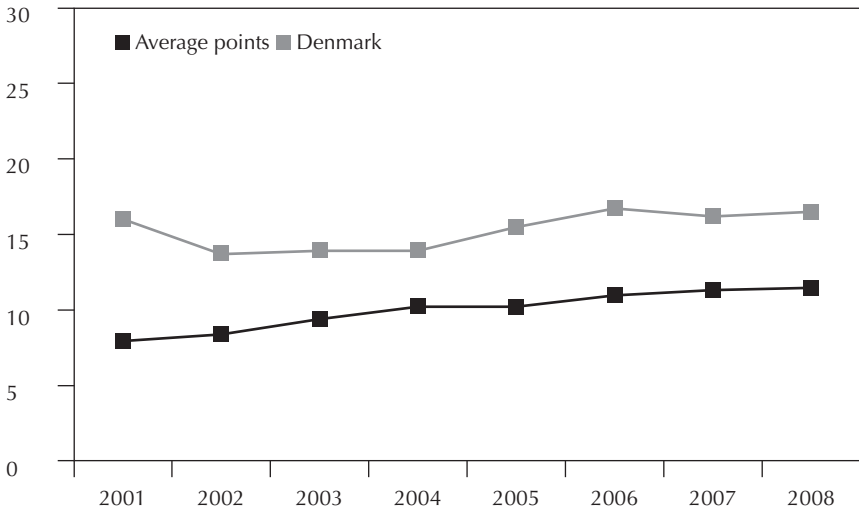
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	10.00	X (01)	X	n/a	1.50	1.00	1.75	2.75	3.00	0.00	0.00
2002	11.00	X (02)	X	n/a	1.50	1.00	2.75	2.75	3.00	0.00	0.00
2003	14.25	X (03)/EU Report	X	X	1.50	1.50	2.75	2.75	3.00	2.00	0.75
2004	14.25	X (04)/EU Report	X	X	1.50	1.50	2.25	3.75	3.00	2.00	0.25
2005	14.25	X (05)/EU Report	X	X	1.50	1.50	2.25	3.75	3.00	2.00	0.25
2006	13.75	X (06)/EU Report	X	X	1.50	1.50	2.25	3.50	3.00	1.50	0.50
2007	13.00	X (07)/EU Report	X	X	1.50	1.00	2.25	3.50	3.00	1.50	0.25
2008	13.50	X (08)/EU Report	X	X	1.50	1.50	2.25	3.50	3.00	1.50	0.25

Denmark

Denmark is one of the three countries that rank among the ten most transparent countries throughout the period 2001–08. It reports to all three instruments, including the EU Report. Since 2006 it has also published background information on international small arms and light weapons transfers.

Denmark reports on most of the UN Comtrade categories, except on re-exports. Its report to the UN Register giving background information on international small arms and light weapons transfers includes information on temporary exports and goods in transit through Denmark. This information is scored accordingly. Areas where Denmark could improve its reporting include, for instance, information on whether the transfers are private- or government-sourced transactions; details on intangible transfers of small arms and light weapons; and information on re-exports and end users. Addressing these points would increase public scrutiny of small arms export policies and practices and also improve Denmark's Barometer ranking.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	16.00	X (00/01)	X	n/a	1.50	1.50	2.75	2.75	3.00	2.50	2.00
2002	13.75	X (02)	X	n/a	1.50	1.50	3.00	2.75	3.00	2.00	0.00
2003	14.00	X (03)/EU Report	X	X	1.50	1.50	2.75	3.25	3.00	2.00	0.00
2004	14.00	X (04)/EU Report	X	X	1.50	1.50	2.75	3.25	3.00	2.00	0.00
2005	15.50	X (05)/EU Report	X	X	1.50	1.50	3.25	3.25	3.00	2.00	1.00
2006	16.75	X (06)/EU Report	X	X	1.50	1.50	3.50	4.25	3.00	2.00	1.00
2007	16.25	X (06)/EU Report	X	X	1.50	1.50	3.25	4.00	3.00	2.00	1.00
2008	16.50	X (07/08)/ EU Report	X	X	1.50	1.50	3.25	4.25	3.00	2.00	1.00

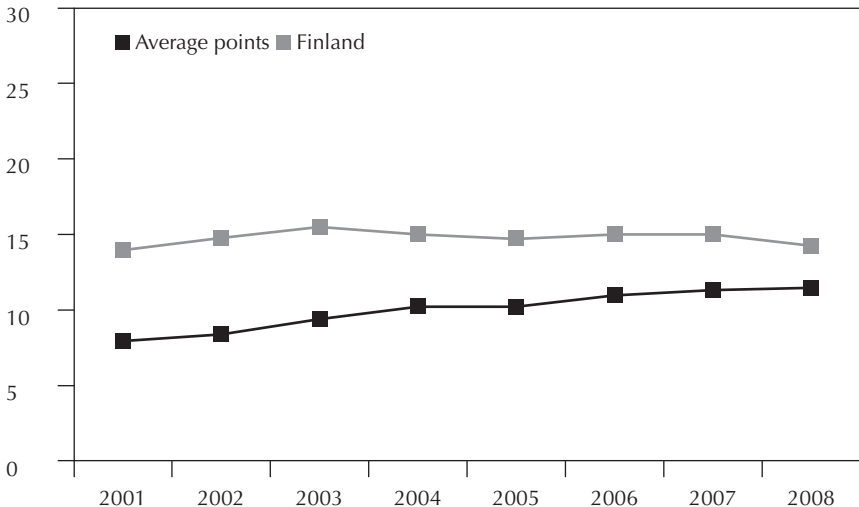
Finland

In reporting on its activities from 2001 to 2006 Finland was among the ten most transparent countries. It reports to all three reporting tools, including the EU Report. But it did not provide background information on international small arms and light weapons transfers to the UN Register, except on its 2004 activities.

Finland's national arms export report is very short, but contains valuable information. Finland is one of the rare countries receiving full points for the information it provides on the source of transactions (i.e. if they are privately or government sourced). Its reports could improve the information it provides on national legislation and small arms brokers,³⁹ re-exports, transits/transhipments, and end users.

Finnish reporting to UN Comtrade is relatively complete; however, it may want to submit information on re-exports to this instrument. Addressing this and the abovementioned aspects would contribute to an improved ranking for Finland in the Transparency Barometer.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	14.00	X (01)	X	n/a	1.50	1.50	2.75	2.75	3.00	2.50	0.00
2002	14.75	X (02)	X	n/a	1.50	1.50	3.25	3.00	3.00	2.50	0.00
2003	15.50	X (03)/EU Report	X	X	1.50	1.50	3.50	3.25	3.00	2.50	0.25
2004	15.00	X (04)/EU Report	X	X	1.50	1.50	3.25	3.00	3.00	2.50	0.25
2005	14.75	X (05)/EU Report	X	X	1.50	1.50	3.25	2.75	3.00	2.50	0.25
2006	15.00	X (06)/EU Report	X	X	1.50	1.50	3.25	3.00	3.00	2.50	0.25
2007	15.00	X (06)/EU Report	X	X	1.50	1.50	3.25	3.50	3.00	2.00	0.25
2008	14.25	X (08)/EU Report	X	X	1.50	1.50	3.00	3.25	3.00	2.00	0.00

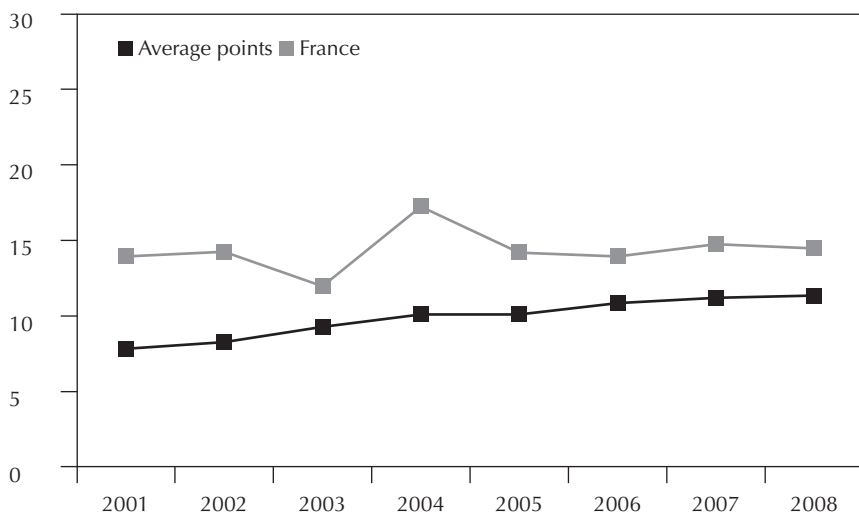
France

In 2001, 2002, and 2004 France figures among the most transparent countries. It reports to UN Comtrade and the UN Register and publishes a national arms export report, while also reporting to the EU Report. France has provided background information on international small arms transfers to the UN Register since 2004.

Reporting on parameters such as *timeliness*, *access and consistency*, and *deliveries* is strong. In its reporting on its 2004 activities France published a particularly detailed national arms export report providing valuable data on *licences granted*, and was therefore the only country that received full points for this parameter in that year. Since then, its reporting practice has changed, resulting in lower total points compared to the reports on its 2004 activities.

Considering that France is a major small arms exporter, it would contribute to more transparency if it were to provide increased complete information to UN Comtrade, e.g. by reporting on values and quantities for categories 930190 and 930200 and re-exports in all UN Comtrade categories. Going back to the same level of detail as in the national arms export report for its 2004 activities

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	14.00	X (00)	X	n/a	1.50	1.50	2.25	3.25	3.00	2.50	0.00
2002	14.25	X (01)	X	n/a	1.50	1.50	2.50	3.25	3.00	2.50	0.00
2003	12.00	X (01)/EU Report	X	X	1.50	1.50	2.00	2.25	3.00	1.50	0.25
2004	17.25	X (02/03)/EU Report	X	X	1.50	1.50	2.75	3.75	3.50	4.00	0.25
2005	13.75	X (05)/EU Report	X	X	1.50	1.00	2.75	3.25	3.00	2.00	0.25
2006	14.00	X (06)/EU Report	X	X	1.50	1.50	3.00	3.75	3.00	1.00	0.25
2007	14.75	X (07)/EU Report	X	X	1.50	1.50	3.75	3.25	3.00	1.50	0.25
2008	14.50	X (08)/EU Report	X	X	1.50	1.50	4.00	2.75	3.00	1.50	0.25

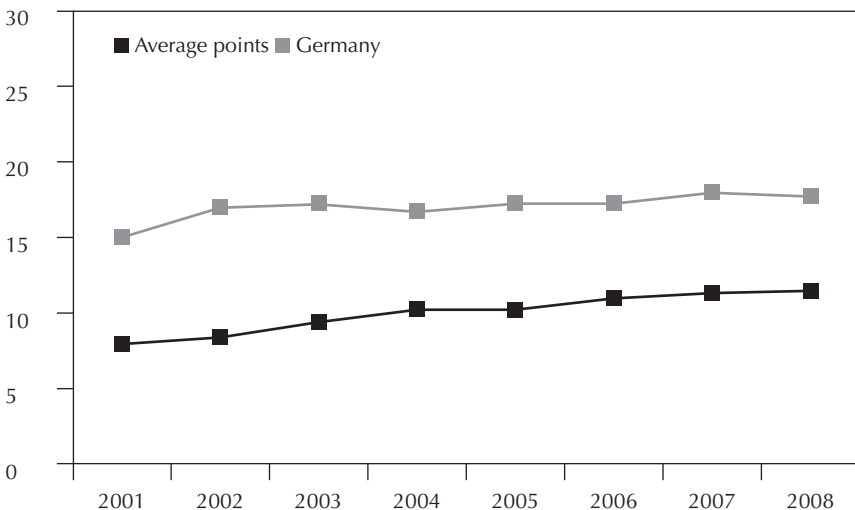
would improve France's reputation as a more transparent and responsible small arms exporter, which would be reflected in a higher ranking in the Transparency Barometer.

Germany

Germany is one of the five most transparent countries every year and has the highest average score over the eight-year span. From reporting on its 2005 activities onwards, Germany provided background information on its international small arms and light weapons transfers. While regularly reporting to all three reporting tools, including the EU Report, the information that Germany has provided has increased in quality, particularly for reporting on *licences granted* and *licences refused*. More detailed reporting to the UN Register allowed Germany to increase its score for its 2007 activities compared to the previous year.

Providing more detailed information on permanent re-export and transits/transhipments, as well as information on the end users for *licences granted*, would allow Germany to pass the 20-point mark. Also, Germany's submissions to UN Comtrade do not cover re-exports and the 930190 category. Covering these areas would further increase Germany's reputation as a transparent major small arms exporter.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register*	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	15.00	X (00)	X	n/a	1.50	1.50	3.50	3.25	3.00	1.50	0.75
2002	17.00	X (02)	X	n/a	1.50	1.50	3.50	3.50	3.00	3.00	1.00
2003	17.25	X (03)/EU Report	X	X	1.50	1.50	3.50	3.75	3.00	3.00	1.00
2004	16.75	X (04)/EU Report	X	X	1.50	1.50	3.50	3.25	3.00	3.00	1.00
2005	17.25	X (05)/EU Report	X	X	1.50	1.50	3.00	3.75	3.50	3.00	1.00
2006	17.25	X (06)/EU Report	X	X	1.50	1.50	3.00	3.75	3.00	3.50	1.00
2007	18.00	X (06)/EU Report	X	X	1.50	1.50	3.50	4.00	3.00	3.50	1.00
2008	17.75	X (07)/EU Report	X	X	1.50	1.50	3.25	3.50	3.00	3.00	2.00

* Germany's reporting to the UN Register does not report actual *deliveries*, but *licences issued*. This information was scored accordingly.

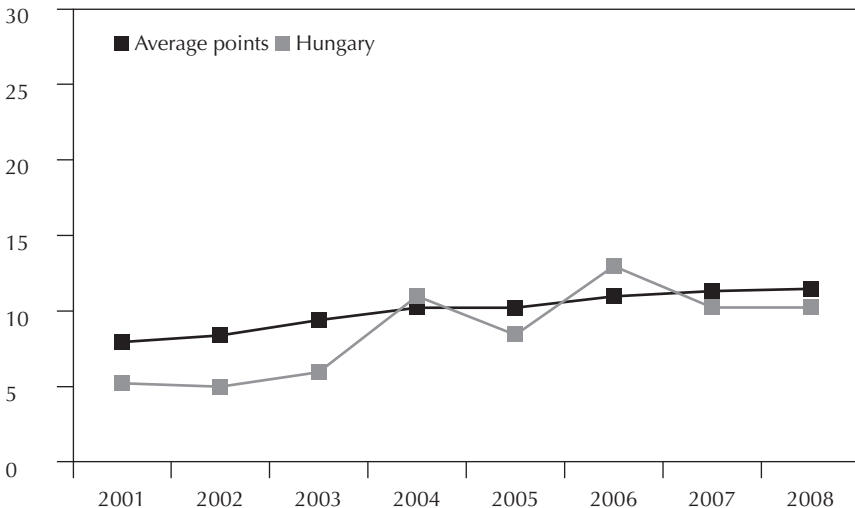
Hungary

Hungary is one of the three EU member states that does not make its national report publicly available, other than reporting to the EU Report. Hungary reports to UN Comtrade and the UN Register, and from 2006 it provided background information on international small arms and light weapons transfers.

Hungary uses the option to comment on transfers under the UN Register. It indicates for what purposes a transfer is made, such as return to manufacturer or export of second-hand items, and it also indicates whether rifles are for hunting purposes, for example. These types of information are rewarded accordingly.

Considering that Hungary is a major exporter, it would contribute to parameters such as *licences granted* and *licences refused* by producing a national arms export report. Increased reporting on values and quantities for categories 930190 and 930200 as well as re-exports under UN Comtrade would further enable public scrutiny and enhance Hungary's reputation as a transparent major small arms exporter.

Transparency Barometer score



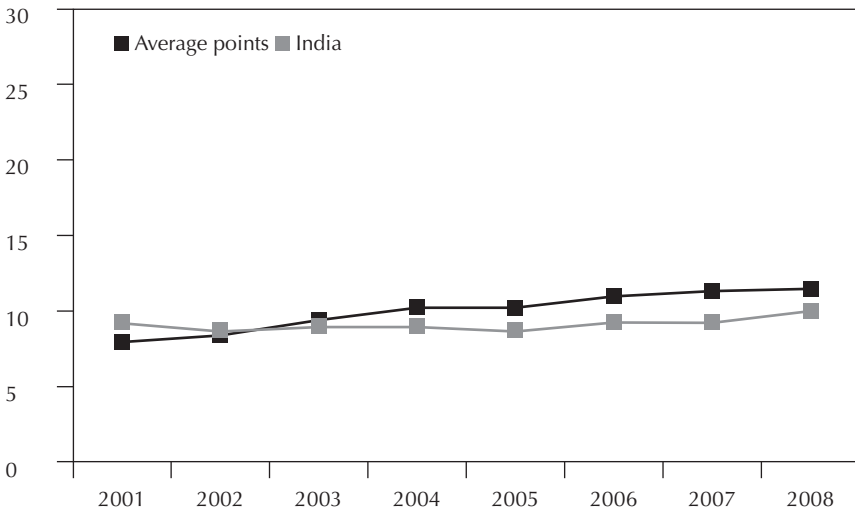
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	5.25	-	X	n/a	1.50	0.50	0.50	0.75	2.00	0.00	0.00
2002	5.00	-	X	n/a	1.50	0.50	0.50	0.50	2.00	0.00	0.00
2003	6.00	-	X	X	1.50	1.00	0.50	1.00	2.00	0.00	0.00
2004	11.00	EU Report	X	X	1.50	1.00	1.75	2.00	3.00	1.50	0.25
2005	8.50	EU Report	X	X	1.50	1.00	1.25	1.00	2.00	1.50	0.25
2006	13.00	EU Report	X	X	1.50	1.00	2.75	3.75	2.50	1.50	0.00
2007	10.25	EU Report	X	X	1.50	1.50	1.75	1.75	2.00	1.50	0.25
2008	10.25	EU Report	X	X	1.50	1.00	1.00	2.75	2.00	2.00	0.00

India

India's score is situated around 10 points. It gets its points mainly through reporting to UN Comtrade, because it does not publish a national arms export report and its reporting to the UN Register is a general nil report, except for its 2005 activities. India does not submit background information on international transfers of small arms and light weapons to the UN Register.

To further increase its transparency, India could provide more detailed information to the UN Register and report on re-exports in all UN Comtrade categories. Considering that India is a major small arms exporter, a national arms export report could improve the country's score for parameters such as *licences granted* and *licences refused*. Although India is among the most transparent countries at the regional level, at the global level much more can be done to gain for itself a reputation as a transparent small arms exporter.

Transparency Barometer score

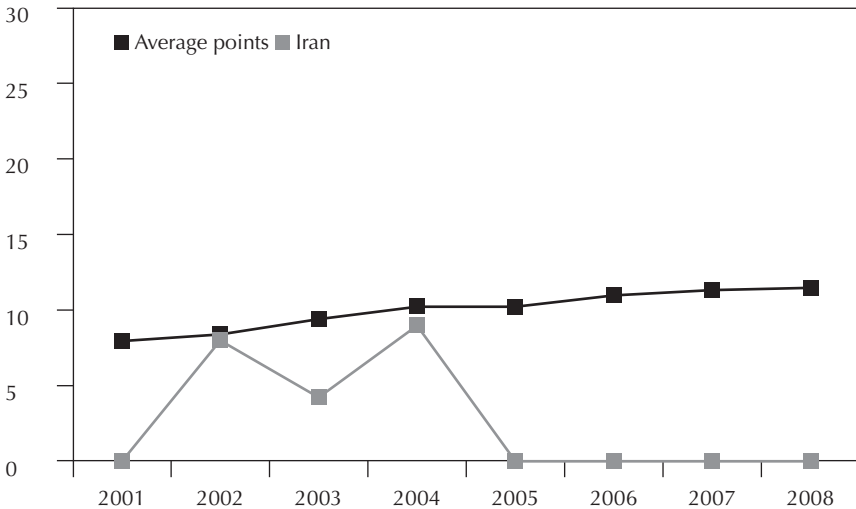


Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	9.25	-	X	n/a	1.50	0.50	1.50	2.75	3.00	0.00	0.00
2002	8.75	-	X	n/a	1.50	0.50	1.50	2.25	3.00	0.00	0.00
2003	9.00	-	X	-	1.50	0.50	1.50	2.50	3.00	0.00	0.00
2004	9.00	-	X	X (03)	1.50	0.50	1.50	3.00	2.50	0.00	0.00
2005	8.75	-	X	X	1.50	1.00	1.50	2.25	2.50	0.00	0.00
2006	9.25	-	X	X	1.50	1.00	1.50	2.75	2.50	0.00	0.00
2007	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2008	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00

Iran

Iran figures among the least transparent countries under review. While it provided no data whatsoever on its 2001, 2005, 2006, 2007, and 2008 activities, it did report to UN Comtrade on its 2002–04 activities and scored almost 10 points in 2004. After that, little is known about Iran’s arms export activities and the country has scored zero in the Transparency Barometer for four consecutive years.

Transparency Barometer score



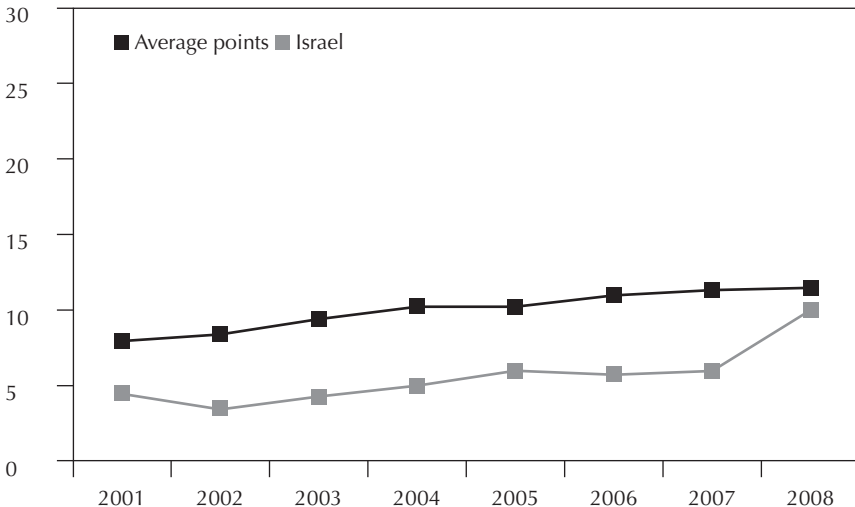
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2002	8.00	-	X	n/a	1.50	0.00	1.50	2.00	3.00	0.00	0.00
2003	4.25	-	X	-	1.50	0.00	0.50	0.25	2.00	0.00	0.00
2004	9.00	-	X	-	1.50	0.50	1.50	2.50	3.00	0.00	0.00
2005	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2006	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2007	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2008	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Israel

Israel's score increased to 10 points for reporting on its 2008 activities. In this year Israel did not figure among the least transparent countries for the first time.

Israel gets its points mainly through reporting to UN Comtrade, because it does not publish a national arms export report and its reporting to the UN Register does not include background information on international transfers of small arms and light weapons. However, it reports on exports of mortars under the UN Register. Israel's submission to UN Comtrade improved for its 2008 activities and resulted in a 4-point increase compared to its 2007 activities. Despite this improvement, some progress is still possible such as reporting on re-exports in all UN Comtrade categories and reporting on values and quantities in categories 930320 and 930330.

Transparency Barometer score



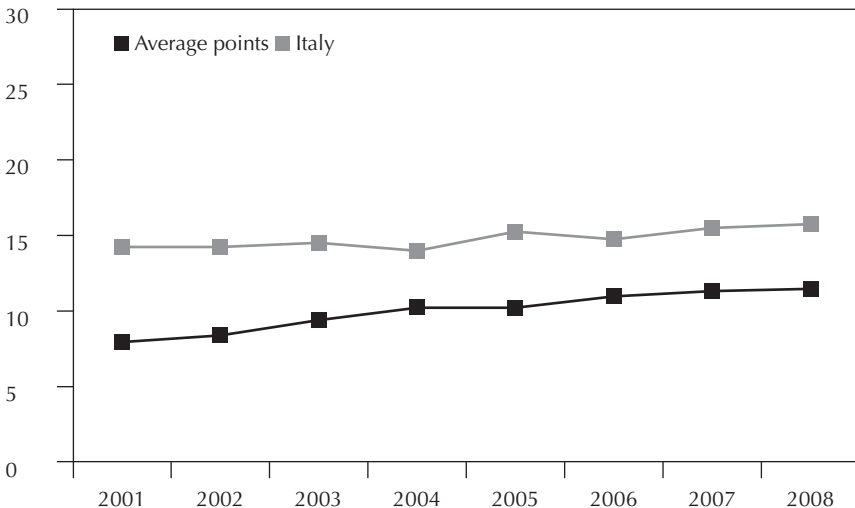
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	4.50	-	X	n/a	1.50	0.50	0.50	0.50	1.50	0.00	0.00
2002	3.50	-	X (01)	n/a	1.00	0.00	0.50	0.50	1.50	0.00	0.00
2003	4.25	-	-	X	1.50	0.50	0.25	0.50	1.50	0.00	0.00
2004	5.00	-	X	X	1.50	0.50	0.50	1.00	1.50	0.00	0.00
2005	6.00	-	X	X	1.50	0.50	0.50	1.50	2.00	0.00	0.00
2006	5.75	-	X	X	1.50	1.00	0.50	0.75	2.00	0.00	0.00
2007	6.00	-	X	X	1.50	0.50	0.50	1.50	2.00	0.00	0.00
2008	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00

Italy

Italy was among the ten most transparent countries for reporting on its activities from 2001 to 2005. It reports to UN Comtrade and the UN Register and publishes a national arms export report, while also reporting to the EU Report. It has submitted background information on international small arms and light weapons transfers to the UN Register since 2007.

Italy's scores are situated around 15 points for the eight years under review. It has significantly improved its score for the parameter *clarity* since 2005. Nevertheless, it can still improve its transparency. Considering that Italy is a top small arms exporter, additional information on *licences granted* and *licences refused* would contribute to an increased understanding of Italy's small arms transfer activities. Additionally, although Italy's report to UN Comtrade is substantive, it is still not complete and could be improved. It might want to add information on re-exports in all relevant UN Comtrade categories and data on values and quantities in category 930190. This would increase Italy's reputation as a more transparent top small arms exporter.

Transparency Barometer score



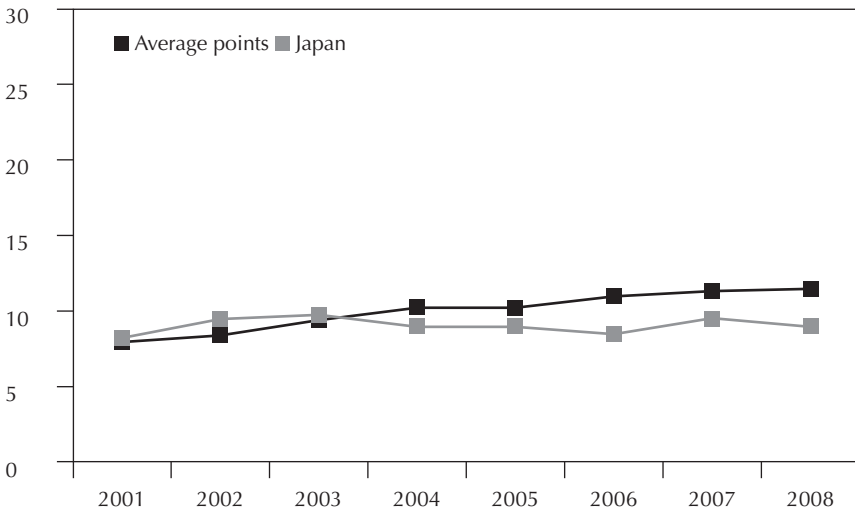
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	14.25	X (00)	X	n/a	1.50	1.50	2.50	4.75	3.00	1.00	0.00
2002	14.25	X (01)	X	n/a	1.50	1.50	2.50	4.75	3.00	1.00	0.00
2003	14.50	X (03)/EU Report	X	X	1.50	1.50	2.75	4.50	3.00	1.00	0.25
2004	14.00	X (04)/EU Report	X	X	1.50	1.50	2.75	4.00	3.00	1.00	0.25
2005	15.25	X (05)/EU Report	X	X	1.50	1.50	3.00	5.00	3.00	1.00	0.25
2006	14.75	X (06)/EU Report	X	X	1.50	1.50	3.00	4.50	3.00	1.00	0.25
2007	15.50	X (07)/EU Report	X	X	1.50	1.50	3.50	4.25	3.00	1.50	0.25
2008	15.75	X (08)/EU Report	X	X	1.50	1.50	3.50	4.50	3.00	1.50	0.25

Japan

Japan's score is situated just below 10 points. It gets its points mainly through reporting to UN Comtrade, because it does not publish a national arms export report and its reporting to the UN Register is a general nil report on exports, while it does not include background information on international small arms and light weapons transfers.⁴⁰

To further increase its transparency, Japan could provide more detailed information to the UN Register, particularly in terms of providing nil reports in the individual small arms and light weapons categories. Producing a national arms export report, especially in terms of reporting on the parameters *licences granted* and *licences refused*, which at the moment causes Japan to lose 6 points, could further increase Japan's level of transparency.

Transparency Barometer score



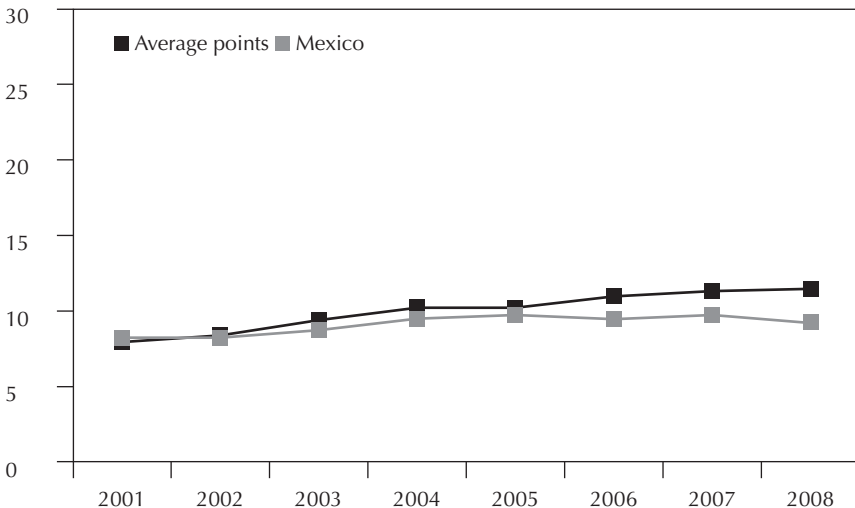
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	8.25	-	X	n/a	1.50	0.50	1.50	1.75	3.00	0.00	0.00
2002	9.50	-	X	n/a	1.50	0.50	1.50	3.00	3.00	0.00	0.00
2003	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2004	9.00	-	X	X	1.50	1.00	1.25	2.25	3.00	0.00	0.00
2005	9.00	-	X	X	1.50	1.00	1.25	2.25	3.00	0.00	0.00
2006	8.50	-	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
2007	9.50	-	X	X	1.50	1.00	1.25	2.75	3.00	0.00	0.00
2008	9.00	-	X	X	1.50	1.00	1.25	2.25	3.00	0.00	0.00

Mexico

Mexico's score is situated below 10 points. It gets its points mainly through reporting to UN Comtrade, because it does not publish a national arms export report and its reporting to the UN Register is a general nil report on exports for all the years under review. Mexico's reporting to the UN Register does not include background information on international small arms and light weapons transfers, except for 2008, when it published background information only for imports.

Considering that Mexico is a major exporter, it would contribute to increased global transparency through providing more detailed information to the UN Register. Particularly, nil reports for specific small arms and light weapons categories would allow Mexico to increase its score under *comprehensiveness*. A national arms export report would give it points for the parameters *licences granted* and *licences refused*, and this would be reflected in a higher ranking in the Transparency Barometer.

Transparency Barometer score



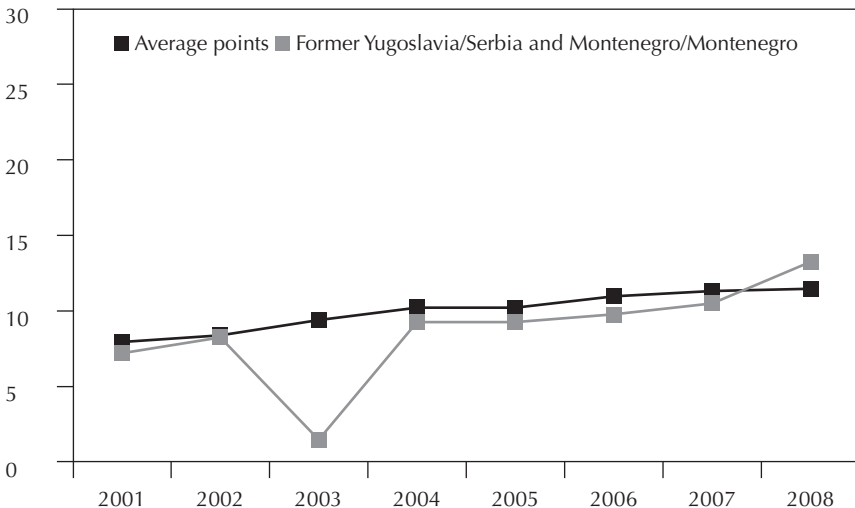
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	8.25	-	X	n/a	1.50	0.50	1.50	1.75	3.00	0.00	0.00
2002	8.25	-	X	n/a	1.50	0.50	1.50	1.75	3.00	0.00	0.00
2003	8.75	-	X	X	1.50	1.00	1.50	1.75	3.00	0.00	0.00
2004	9.50	-	X	X	1.50	1.00	1.50	2.50	3.00	0.00	0.00
2005	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2006	9.50	-	X	X	1.50	1.00	1.50	2.50	3.00	0.00	0.00
2007	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2008	9.25	-	X	X	1.50	1.00	1.50	2.25	3.00	0.00	0.00

Montenegro

The analysis of Montenegro's scoring over the past eight years is challenging in the sense that Montenegro split from Serbia and Montenegro on 3 June 2006 and its previous reporting was included in that of Serbia and Montenegro and the former Yugoslavia (see column 1 in the table above). It is therefore evaluated on a 24-point scale as it cannot earn all the points potentially available under *access and consistency*, which includes two criteria that are based on three consecutive years of reporting. Montenegro will be analysed on a 25-point scale as of reporting on its 2009 activities.

The analysis of Montenegro's transparency should therefore mainly focus on the period from 2006 onwards. Montenegro increased its 2007 score compared to that of 2006 because, together with its national report, it reported to the UN Register for the first time, including reporting on background information on international small arms and light weapons transfers. When reporting on its 2008 activities, Montenegro improved its national arms export report and gained an additional 2.75 points, particularly for better and more detailed reporting on different weapons types. That same year, Montenegro's score was higher than the average country score for the first time.

Transparency Barometer score



Year*	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	7.25	-	X	n/a	1.50	0.50	1.50	1.75	2.00	0.00	0.00
2002	8.25	-	X	n/a	1.50	0.50	1.50	1.75	3.00	0.00	0.00
2003	1.50	-	-	X	1.50	0.00	0.00	0.00	0.00	0.00	0.00
2004	9.25	-	-	X	1.50	0.50	1.50	2.75	3.00	0.00	0.00
2005	9.25	-	X	-	1.50	0.00	1.50	3.25	3.00	0.00	0.00
2006	9.75	X (06)	-	-	1.50	0.50	1.25	1.50	0.00	3.00	2.00
2007	10.50	X (07)	-	X	1.50	0.50	2.00	2.00	1.50	3.00	0.00
2008	13.25	X (08)	-	X	1.50	1.00	2.75	3.50	1.50	3.00	0.00

* 2001–02: Former Yugoslavia; 2003–05: Serbia and Montenegro; 2006–08: Montenegro

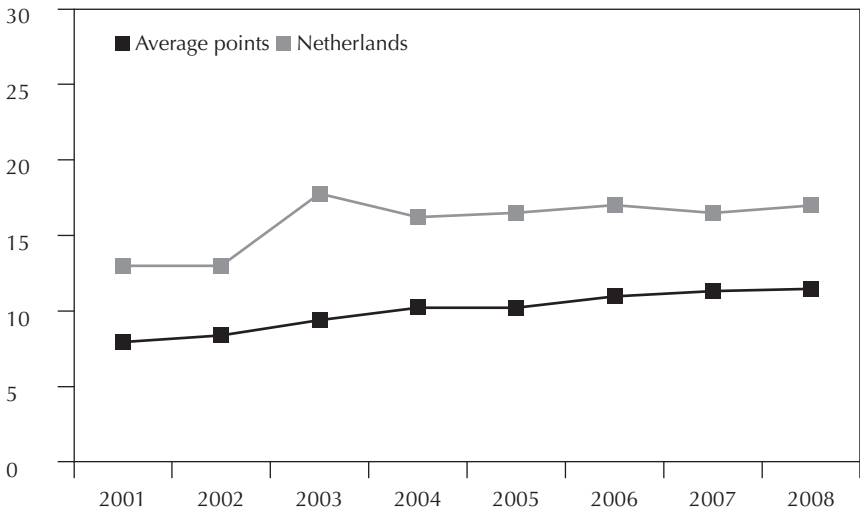
Considering that Montenegro is a major small arms exporter, it would contribute to increased global transparency by reporting on all UN Comtrade categories and further increasing its reporting of background information on international small arms and light weapons to the UN Register. Areas where Montenegro's national report fails to provide relevant information are temporary exports, legislations on arms control and brokering, intangible transfers, and transits/transhipments, for example. Additionally, Montenegro could provide the same level of detail on *licences granted* as it did in its 2006 national arms export report, for which it received full points. This would improve public scrutiny of arms export policies and practices, and also enhance Montenegro's reputation as a more transparent and therefore more responsible small arms exporter, which would be reflected in a higher ranking in the Barometer.

Netherlands

The Netherlands figures among the most transparent countries for all the years under review. While reporting to all three reporting tools, including the EU Report, the Netherlands was one of the first countries to report a complete nil report dataset on individual types of weapons in its international small arms and light weapons transfers to the UN Register for its 2003, 2004, and 2005 activities. This and a better national arms export report explain the increase in its scores after 2003.

While being informative on transit/transshipment activities, not much is available on re-exports and guided and unguided light weapons in the Netherlands' arms export report. By improving its reporting on end users and the number of *licences granted* and *licences refused*, it should be able to reach the 20-points threshold.

Transparency Barometer score

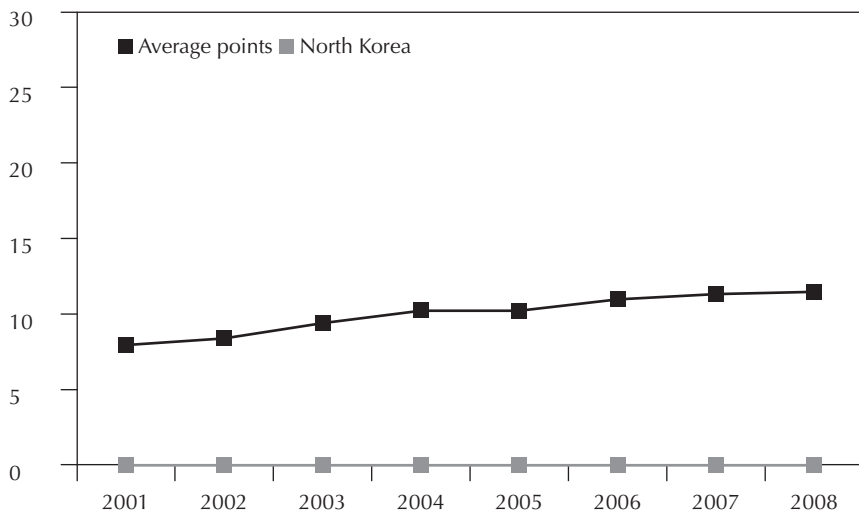


Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	13.00	X (00)	X	n/a	1.50	1.50	3.00	1.50	3.00	1.50	1.00
2002	13.00	X (02)	X	n/a	1.50	1.50	3.00	1.50	3.00	1.50	1.00
2003	17.75	X (03)/EU Report	X	X	1.50	2.00	3.50	4.75	3.50	1.50	1.00
2004	16.25	X (04)/EU Report	X	X	1.50	2.00	3.25	4.50	3.50	1.50	0.00
2005	16.50	X (05)/EU Report	X	X	1.50	2.00	3.25	4.75	3.50	1.50	0.00
2006	17.00	X (06)/EU Report	X	X	1.50	2.00	3.50	4.50	3.00	1.50	1.00
2007	16.50	X (07)/EU Report	X	X	1.50	2.00	3.50	3.75	3.00	1.50	1.25
2008	17.00	X (08)/EU Report	X	X	1.50	2.00	3.00	4.50	3.00	2.00	1.00

North Korea

North Korea is the only country under review that does not provide reporting to any of the three instruments on its small arms and light weapons transfers and is therefore the only country that scores zero points for all eight years under review. Little is known about the country's arms exports.

Transparency Barometer score



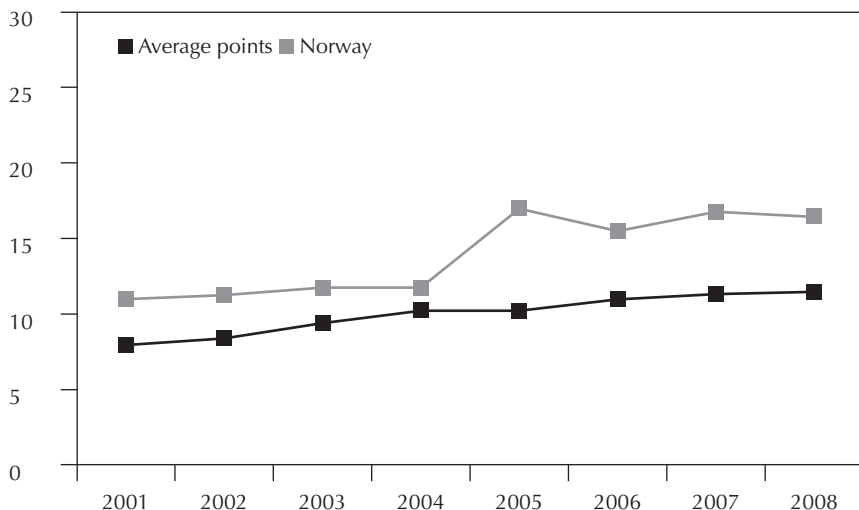
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2002	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2003	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2004	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2005	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2006	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2007	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2008	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Norway

Since reporting on its 2005 activities, Norway has been among the ten most transparent countries for the years under review. Its level of transparency is analysed on the basis of its reporting to UN Comtrade and the UN Register (including reporting on background information regarding international small arms and light weapons transfers for its 2007 and 2008 activities) and the national arms export report that it publishes.

While information on weapons transits and transshipments is available in Norway's national report, it could improve its reporting on end users for *deliveries* and *licences granted* and could provide more information on *licences refused* to reach the 20-points threshold.

Transparency Barometer score



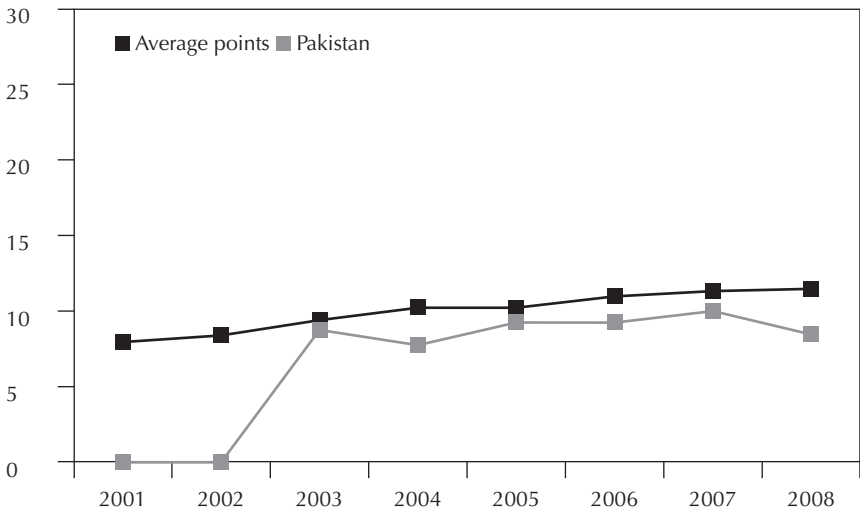
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	11.00	X (01/02)	X	n/a	1.50	1.50	2.25	2.75	3.00	0.00	0.00
2002	11.25	X (02/03)	X	n/a	1.50	1.50	2.25	3.00	3.00	0.00	0.00
2003	11.75	X (03/04)	X	X	1.50	1.50	2.50	3.25	3.00	0.00	0.00
2004	11.75	X (04/05)	X	X	1.50	1.50	2.50	3.25	3.00	0.00	0.00
2005	17.00	X (05/06)	X	X	1.50	1.50	4.00	4.50	3.00	2.50	0.00
2006	15.50	X (06/07)	X	X	1.50	1.50	3.75	3.25	3.00	2.50	0.00
2007	16.75	X (07/08)	X	X	1.50	1.50	4.25	3.25	3.00	2.50	0.75
2008	16.50	X (08/09)	X	X	1.50	1.50	4.00	4.00	3.00	2.50	0.00

Pakistan

Pakistan figured among the least transparent countries for reporting on its 2001 and 2002 activities when it provided no report all on its small arms transfers. Since then, it has started reporting to UN Comtrade and the UN Register, although it does not provide background information on international small arms and light weapons transfers and provides a general nil report on exports in the other UN Register categories.

Pakistan is a major small arms exporter scoring regularly below the average score of the 48 countries under review. More detailed reporting on small arms and light weapons categories to the UN Register beyond a general nil report could improve both the country's results and its reputation as a transparent small arms exporter. Although reporting to UN Comtrade gains Pakistan several points, consistent reporting on values and quantities in all UN Comtrade categories and particularly in category 930190 would be reflected in a higher ranking in the Transparency Barometer.

Transparency Barometer score



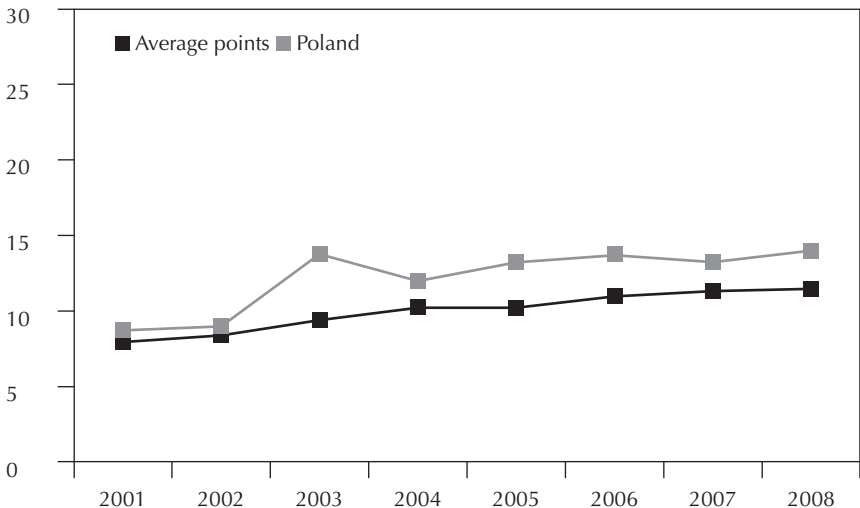
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2002	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2003	8.75	-	X	X	1.50	0.50	1.50	2.75	2.50	0.00	0.00
2004	7.75	-	X	X	1.50	0.50	1.50	1.75	2.50	0.00	0.00
2005	9.25	-	X	X	1.50	1.00	1.50	2.25	3.00	0.00	0.00
2006	9.25	-	X	X	1.50	1.00	1.50	2.25	3.00	0.00	0.00
2007	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
2008	8.50	-	X	X	1.50	1.00	1.25	2.25	2.50	0.00	0.00

Poland

Poland was one of the first countries to submit information on its small arms and light weapons transfers to the UN Register and has maintained this routine ever since. It is one of the three EU member states, and the only country, among the most transparent countries that did not make its national arms export report publicly available, although it did report to the EU Report. With better reporting to UN Comtrade and its reporting to the EU Report, Poland managed to increase its score by 5 points for 2003 and has more or less maintained the same level of transparency since then. For its reporting on its 2003 activities, Poland managed to figure among the top ten most transparent countries even without publishing a national arms export report. It also managed to be the only country to receive the full 4 points awarded for information on *deliveries* in three instances.

Poland's reporting of background information to the UN Register includes useful details about end users. As a future agenda, Poland might consider providing more detailed information on temporary exports, laws and regulations,

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	8.75	-	X	n/a	1.50	0.50	1.25	2.50	3.00	0.00	0.00
2002	9.00	-	X	n/a	1.50	0.50	1.50	2.50	3.00	0.00	0.00
2003	13.75	EU Report	X	X	1.50	1.00	1.75	4.00	4.00	1.50	0.00
2004	12.00	EU Report	X	X	1.50	1.00	1.75	3.25	3.00	1.50	0.00
2005	13.25	EU Report	X	X	1.50	1.00	2.00	3.00	4.00	1.50	0.25
2006	13.75	EU Report	X	X	1.50	1.00	2.00	3.50	4.00	1.50	0.25
2007	13.25	EU Report	X	X	1.50	1.00	2.25	3.75	3.00	1.50	0.25
2008	14.00	EU Report	X	X	1.50	1.00	2.00	3.75	4.00	1.50	0.25

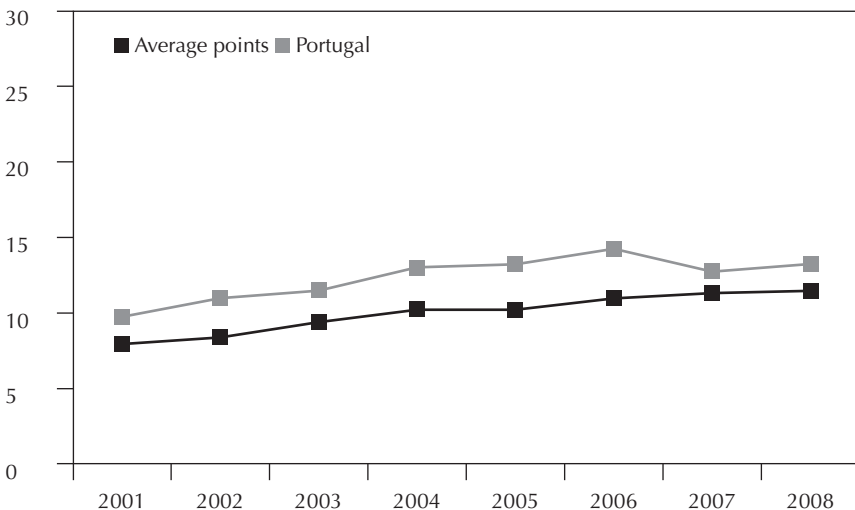
brokers, intangible transfers, and end users, and more comprehensive information on quantities transferred. To cover many of these aspects, a national arms export report is needed. This would improve Poland's reputation as a more transparent major small arms exporter.

Portugal

Portugal reports to UN Comtrade and the UN Register, and included background information on international small arms and light weapons transfers for its 2004, 2006, 2007, and 2008 activities. It used to publish a national arms export report, except for one on its 2002 activities, but since 2007 no national report has been published. Despite this, Portugal gets most points for reporting to UN Comtrade, but if no national report is published in the future, its score might decrease in upcoming editions of the Transparency Barometer. The increase in 0.5 points from 2007 to 2008 is due to better reporting to the EU Report.

Portugal's reporting of background information on international small arms and light weapons transfers to the UN Register includes good information on intended end users. Reporting to UN Comtrade is reasonably complete, except on re-exports in all UN Comtrade categories. Better reporting in a national report, particularly on temporary exports, arms control legislation and brokering, (un)guided light weapons and military firearms, re-exports, and transits/

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	9.75	X (01)	X	n/a	1.50	0.50	2.50	2.25	3.00	0.00	0.00
2002	11.00	X (01)	X	n/a	1.50	1.00	2.75	2.75	3.00	0.00	0.00
2003	11.50	X (02)/EU Report	X	X	1.50	1.00	1.75	2.75	3.00	1.50	0.00
2004	13.00	X (03)/EU Report	X	X	1.50	1.50	3.00	2.50	3.00	1.50	0.00
2005	13.25	X (04)/EU Report	X	X	1.50	1.50	3.25	2.25	3.00	1.50	0.25
2006	14.25	X (05)/EU Report	X	X	1.50	1.50	3.25	3.25	3.00	1.50	0.25
2007	12.75	X (06)/EU Report	X	X	1.50	1.50	2.75	2.25	3.00	1.50	0.25
2008	13.25	X (06)/EU Report	X	X	1.50	1.50	2.75	2.25	3.00	2.00	0.25

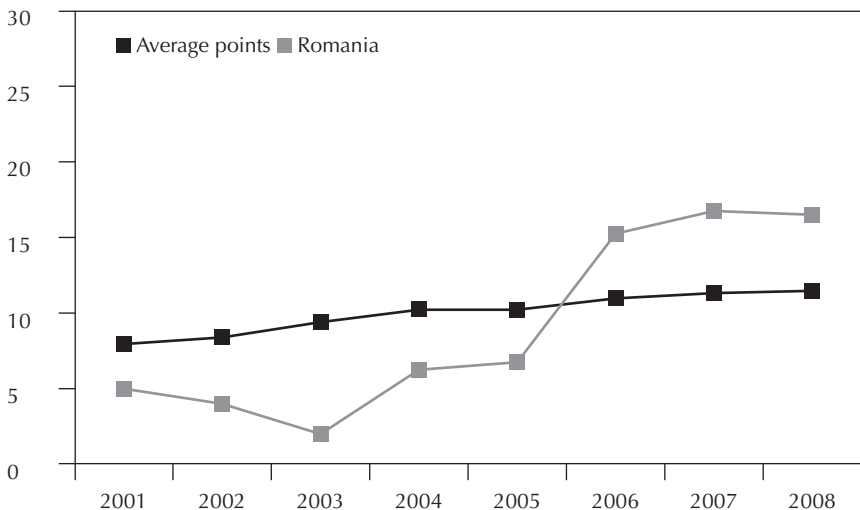
transhipments, would improve its score for the parameters *clarity* and *comprehensiveness*. This would improve public scrutiny of its arms export policies and practices, and also enhance Portugal's reputation as a more transparent major small arms exporter.

Romania

Romania is one of the countries with the most significant increase in their scores. While scoring only 2 points for its 2003 activities and being among the least transparent countries for five consecutive years (2001–05) because it did not publish a national arms export report, did not report to UN Comtrade, and provided no significant reporting to the UN Register, it managed to rank among the most transparent countries for its 2006, 2007, and 2008 activities, increasing its score to 16.50 points for the latest year under review. Romania's improvements in reporting and therefore in transparency can be ascribed to efforts to join the EU.

Romania achieved such a good score because it published very informative national arms export reports on its 2003–05, 2006, and 2007 activities and provided additional background information on small arms and light weapons transfers to the UN Register for the first time about its 2007 and 2008 activities. Additionally, it was one of the countries reporting a complete dataset to the EU Report. Together with Serbia, Romania was the most transparent country in the Balkans in reporting its 2006, 2007, and 2008 activities.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	5.00	X (00/01)	-	n/a	1.50	0.50	2.75	0.25	0.00	0.00	0.00
2002	4.00	X (00/01)	-	n/a	0.50	0.50	2.75	0.25	0.00	0.00	0.00
2003	2.00	-	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
2004	6.25	X (02)	-	X	1.50	1.00	2.75	0.50	0.50	0.00	0.00
2005	6.75	X (02)	-	X	1.50	1.50	2.75	0.50	0.50	0.00	0.00
2006	15.25	X (03-05)	X	X	1.50	1.50	2.25	3.50	3.00	1.50	2.00
2007	16.75	X (06/07)/ EU Report	X (06)	X	1.50	1.00	2.50	4.75	3.00	3.00	1.00
2008	16.50	X (08)/EU Report	-	X	1.50	1.50	2.50	3.00	3.00	3.00	2.00

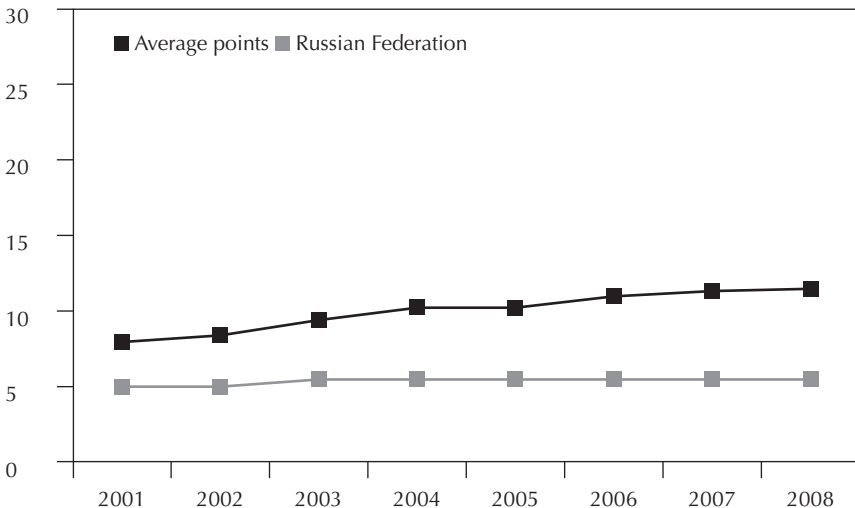
Additional information on quantities and values of *licenses refused*, transits and transshipments, temporary exports, and whether transactions are privately or government supplied would provide a better score and allow Romania to reach the 20-points threshold.

Russian Federation

From the point of view of small arms and light weapons transfers, the analysis of the Russian Federation's score is interesting in three respects. The country is one of the top small arms and light weapons exporters worldwide; it is among the least transparent of this grouping; and it also figures among the least transparent countries in general for all eight years under review, with a score of between 5 and 5.5 points. Its score is assessed through its reporting to UN Comtrade and the UN Register.

As long as the Russian Federation does not make complete data on small arms and light weapons transfers publicly available, an important piece of the puzzle in assessing the international small arms and light weapons trade will be missing. Under UN Comtrade, the Russian Federation reports only on sporting and hunting shotguns and rifles. Considering its position as a top small arms exporter, reporting on values and quantities in all remaining categories, including re-exports, would contribute considerably to greater transparency. Similarly, the Russian Federation's reporting to the UN Register is not particu-

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	5.00	-	X	n/a	1.50	0.50	0.50	0.50	2.00	0.00	0.00
2002	5.00	-	X	n/a	1.50	0.50	0.50	0.50	2.00	0.00	0.00
2003	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
2004	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
2005	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
2006	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
2007	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
2008	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00

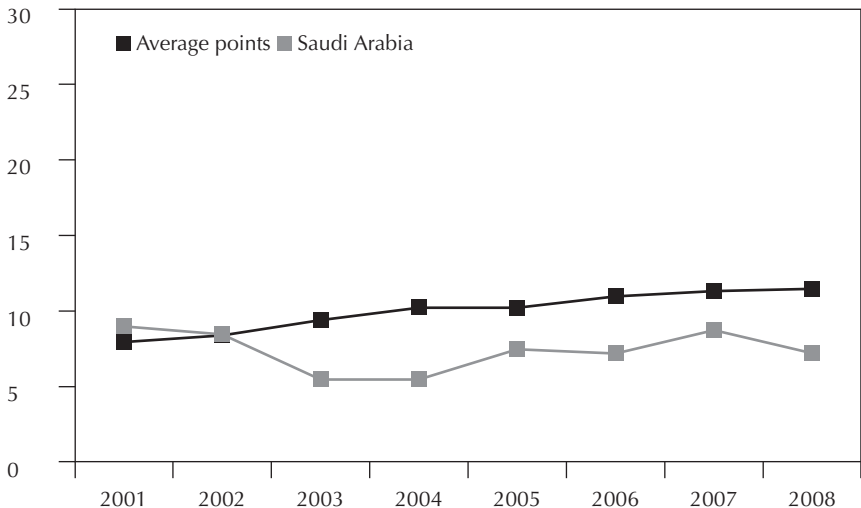
larly relevant to small arms and light weapons, as no reporting on background information or mortars under category III and MANPADS under category VII is available. Complete submissions to the UN Register, including background information, would increase the Russian Federation's ranking in the Barometer.

Saudi Arabia

Saudi Arabia's transparency is evaluated on its reporting to UN Comtrade alone. It did not report to UN Comtrade for its 2008 activities, however, and its score was therefore evaluated on its 2007 submission and fell by 1.50 points because it lost one point under *timeliness* and 0.50 points under *access and consistency*.

Considering that Saudi Arabia is a major small arms exporter, reporting to the UN Register, including the provision of background information, and better reporting to UN Comtrade could contribute significantly to an increased level of transparency. In particular, reporting on UN Comtrade categories 930200 and 930330 would increase Saudi Arabia's ranking in the Barometer.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	9.00	-	X	n/a	1.50	0.50	1.25	2.75	3.00	0.00	0.00
2002	8.50	-	X	n/a	1.50	0.50	1.25	2.25	3.00	0.00	0.00
2003	5.50	-	X	-	1.50	0.50	0.75	0.75	2.00	0.00	0.00
2004	5.50	-	X	-	1.50	0.50	0.50	1.00	2.00	0.00	0.00
2005	7.50	-	X	-	1.50	0.50	1.50	2.00	2.00	0.00	0.00
2006	7.25	-	X	-	1.50	0.50	1.00	1.75	2.50	0.00	0.00
2007	8.75	-	X	-	1.50	0.50	1.25	2.50	3.00	0.00	0.00
2008	7.25	-	X (07)	-	0.50	0.00	1.25	2.50	3.00	0.00	0.00

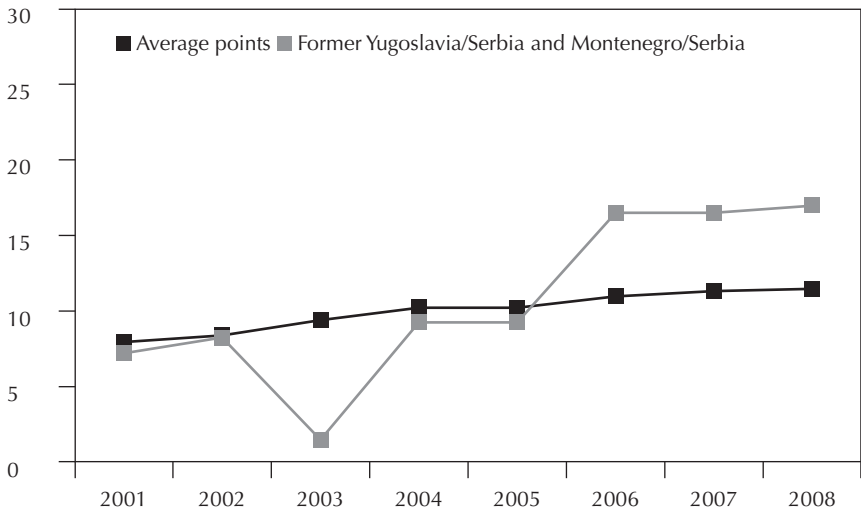
Serbia

The analysis of Serbia's scoring over the past eight years is challenging in the sense that Serbia became a separate country as of 3 June 2006 and its previous reporting was presented as a part of that of Serbia and Montenegro and the former Yugoslavia (see column 1 in the table above). It is therefore evaluated on a 24-point scale, as it cannot earn all the points potentially available under *access and consistency*, which includes two criteria that are based on three consecutive years of reporting. Serbia will be analysed on a 25-point scale as of reporting its 2009 activities.

Since its establishment as a separate country, Serbia has achieved its best scoring results, ranking it among the most transparent countries for reporting on its activities in 2006, 2007, and 2008. The motivation to join the EU results in a powerful influence to improve reporting and transparency.

Serbia does not report background information on its international small arms and light weapons transfers to the UN Register, but it does report to UN Comtrade and it publishes a useful and comprehensive national arms export report providing valuable insights on quantities, values, countries of destina-

Transparency Barometer score



Year*	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	7.25	-	X	n/a	1.50	0.50	1.50	1.75	2.00	0.00	0.00
2002	8.25	-	X	n/a	1.50	0.50	1.50	1.75	3.00	0.00	0.00
2003	1.50	-	-	X	1.50	0.00	0.00	0.00	0.00	0.00	0.00
2004	9.25	-	-	X	1.50	0.50	1.50	2.75	3.00	0.00	0.00
2005	9.25	-	X	-	1.50	0.00	1.50	3.25	3.00	0.00	0.00
2006	16.50	X (05/06)	X	X	1.50	0.50	3.25	3.75	3.50	2.50	1.50
2007	16.50	X (05/06)	X	X	1.50	0.50	3.25	3.75	3.50	2.50	1.50
2008	17.00	X (07)	X	X (07)	1.50	1.00	3.25	3.25	3.50	2.50	2.00

* 2001–02: Former Yugoslavia; 2003–05: Serbia and Montenegro; 2006–08: Serbia

tion, and end users of *licences refused*.⁴¹ Together with Germany and Romania, Serbia achieved the best score for the parameter *licences refused* in 2008.

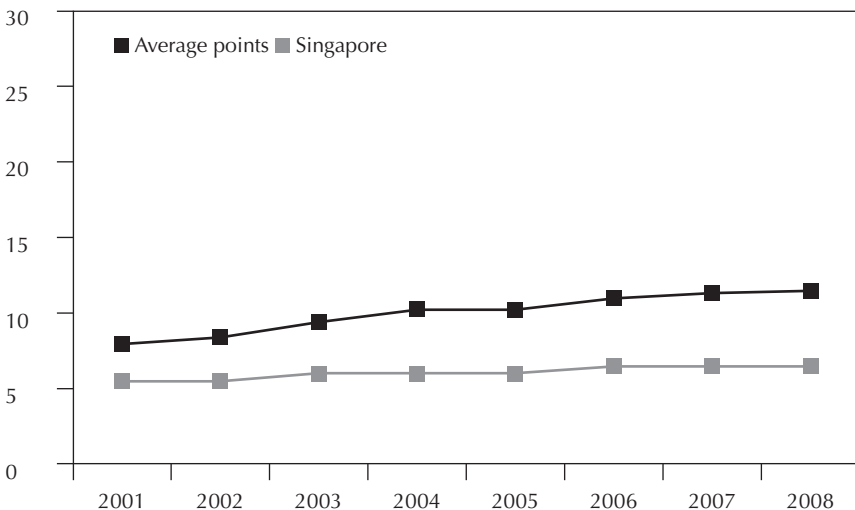
Serbia does not report on permanent and temporary re-exports and transits/transshipment. Improving on these points would contribute to increased points for the parameter *comprehensiveness*, which would make Serbia a more transparent major small arms exporter and give it a higher ranking in the Transparency Barometer.

Singapore

Singapore figures among the least transparent countries with a score between 5.50 and 6.50 points. Its transparency is analysed according to its submissions to UN Comtrade and the UN Register, although it does not report background information on international small arms and light weapons transfers and provides a general nil report on exports in the other UN Register categories, except for reporting on its 2004 activities.

For further increasing its transparency, Singapore should complete its reporting to UN Comtrade, particularly by submitting information on values and quantities in categories 930190, 930200, 930510, 930521, and 930529. Additionally, Singapore would contribute to increased transparency if it were to provide more detailed information to the UN Register. This would improve public scrutiny of international arms export policies and practices and also result in improving Singapore's reputation as a more transparent and therefore responsible small arms exporter. It would also be reflected in a higher ranking in the Transparency Barometer.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	5.50	-	X	n/a	1.50	0.50	0.50	1.00	2.00	0.00	0.00
2002	5.50	-	X	n/a	1.50	0.50	0.50	1.00	2.00	0.00	0.00
2003	6.00	-	X	X	1.50	1.00	0.50	1.00	2.00	0.00	0.00
2004	6.00	-	X	X	1.50	1.00	0.50	1.00	2.00	0.00	0.00
2005	6.00	-	X	X	1.50	1.00	0.50	1.00	2.00	0.00	0.00
2006	6.50	-	X	X	1.50	1.00	1.00	1.00	2.00	0.00	0.00
2007	6.50	-	X	X	1.50	1.00	1.00	1.00	2.00	0.00	0.00
2008	6.50	-	X	X	1.50	1.00	1.00	1.00	2.00	0.00	0.00

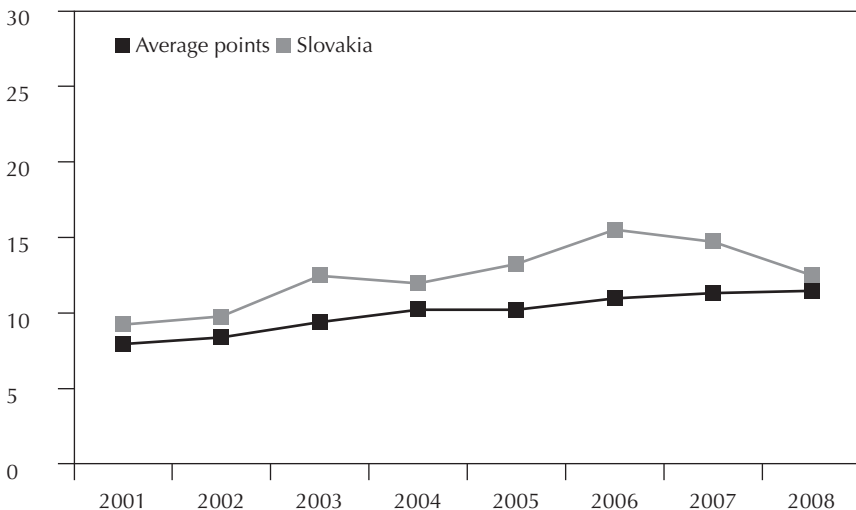
Slovakia

Slovakia's transparency is assessed according to its national arms export report (including reporting to the EU Report), its submissions to UN Comtrade, and its reporting to the UN Register, including providing background information on international small arms and light weapons transfers as of its 2006 activities onwards.

For reporting on its 2006 activities, Slovakia was among the ten most transparent countries. This is the year when Slovakia attained its highest score, namely 15.50 on the 25-point scale.

Slovakia's score has dropped since 2006, because the level of detail of its reporting to UN Comtrade and the UN Register and in its national arms export report decreased. For reporting on its 2007 activities, Slovakia loses points for not reporting on unguided light weapons, and sporting and hunting guns and rifles under UN Comtrade, and for providing no information on transits to the UN Register in its 2006 reports. The score for its 2008 activities dropped more significantly by 15 per cent. For that year, Slovakia's national report and UN Comtrade submission decreased further in quality, making it lose points

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	9.25	-	X	n/a	1.50	0.50	1.50	2.75	3.00	0.00	0.00
2002	9.75	-	X	n/a	1.50	0.50	1.50	3.25	3.00	0.00	0.00
2003	12.50	EU Report	X	X	1.50	1.00	2.00	3.25	3.00	1.50	0.25
2004	12.00	EU Report	X	X	1.50	1.00	1.75	3.25	3.00	1.50	0.00
2005	13.25	X (04/05)/ EU Report	X	X	1.50	1.50	2.25	3.00	3.00	2.00	0.00
2006	15.50	X (06)/EU Report	X	X	1.50	1.50	2.25	4.25	3.00	2.00	1.00
2007	14.75	X (07)/EU Report	X	X	1.50	1.50	2.50	2.75	3.00	2.00	1.50
2008	12.50	X (08)/EU Report	X	X	1.50	1.50	2.00	2.25	2.00	2.00	1.25

mainly for partial reporting on the way in which it distinguished small arms and light weapons and their ammunition, parts, and accessories from conventional arms and ammunition. Slovakia's national report on its 2008 activities included less detail on deliveries, particularly regarding the importing country and the quantity and types of weapons transferred, as well as weapons types and quantities subject to a licence refusal.

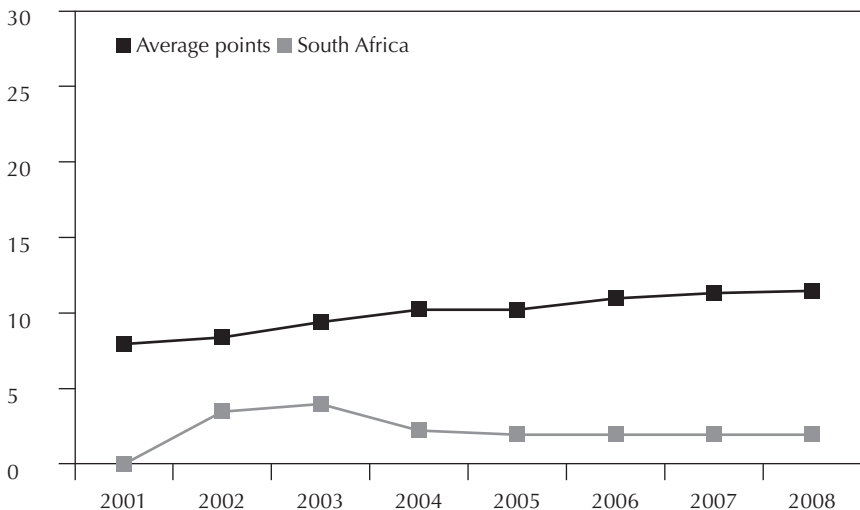
Considering that Slovakia is a major exporter, it could gain more points by providing the same or an increased level of detail in its submissions to UN Comtrade and the UN Register and in its national arms export reports as it did when reporting on its 2006 activities. This would improve public scrutiny of small arms export policies and practices and also enhance Slovakia's reputation as a more transparent small arms exporter.

South Africa

South Africa is the only country from the African continent that is evaluated in the Transparency Barometer. It figures among the least transparent countries for all the years under review. South Africa does not report to UN Comtrade, but does to the UN Register, although it does not publish background information on its international small arms and light weapons transfers. Its national reports on arms exports are of limited use.⁴² They are interesting in that they do identify permanent and temporary exports in categories covering equipment and end use, broken down by destination country. But the abbreviations 'A', 'B', 'C', and 'D' for military categories used in the national report are not defined. Efforts to obtain a definition of them from South African authorities were not successful.

South Africa would contribute to transparency and increase its ranking if it were to report on values and quantities in all relevant UN Comtrade categories, including re-exports, and provide background information on international small arms and light weapons transfers to the UN Register. This would improve South Africa's reputation as a more transparent major small arms exporter.

Transparency Barometer score



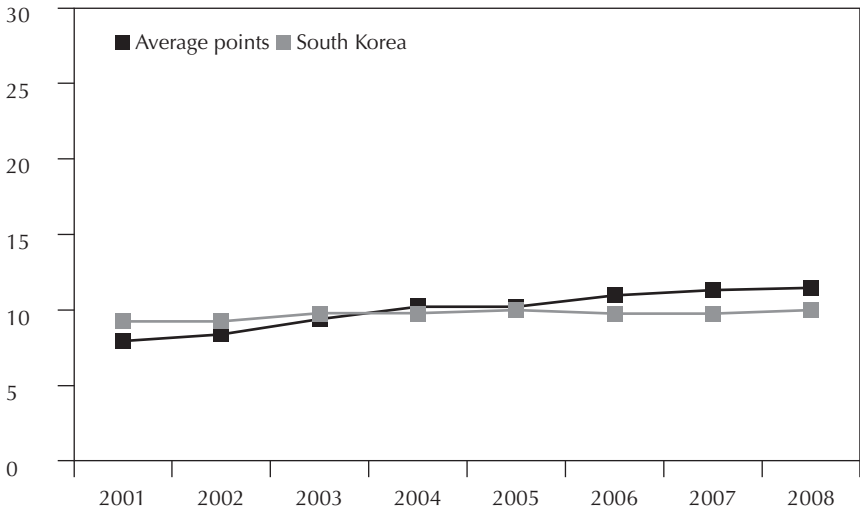
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2002	3.50	X (00-02)	-	n/a	1.50	0.00	0.75	0.25	1.00	0.00	0.00
2003	4.00	-	-	X	1.50	0.50	0.75	0.25	1.00	0.00	0.00
2004	2.25	-	-	X	1.50	0.50	0.25	0.00	0.00	0.00	0.00
2005	2.00	-	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
2006	2.00	X (03-04)	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
2007	2.00	X (03-04)	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
2008	2.00	X (08)	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00

South Korea

South Korea's score is around 10 points for most of the years under review. Its transparency is analysed through its reporting to UN Comtrade and its submissions to the UN Register, including background information on international small arms transfers for the years 2006, 2007, and 2008.

South Korea's submissions to UN Comtrade do not include information on re-exports and its report on background information to the UN Register does not provide information about transfers of all small arms and light weapons types. Improving reporting on these two datasets would contribute to increased points under the parameters *clarity* and *comprehensiveness*. The introduction of a national arms export report could shed light on reporting on the parameters *licences granted* and *licences refused* if the relevant information is included. South Korea currently loses 6 points for failing to report on these two parameters.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	9.25	-	X	n/a	1.50	0.50	1.50	2.75	3.00	0.00	0.00
2002	9.25	-	X	n/a	1.50	0.50	1.50	2.75	3.00	0.00	0.00
2003	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2004	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2005	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
2006	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2007	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2008	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00

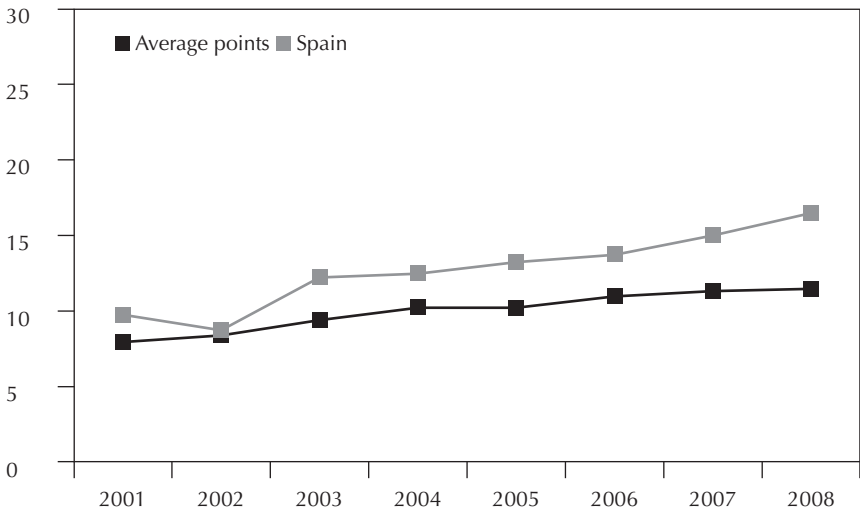
Spain

Spain's transparency is evaluated according to its national arms export report, including reporting to the EU Report, and its submissions to UN Comtrade and the UN Register. It does not report background information on international small arms and light weapons transfers to the UN Register.

Spain provides useful information on *deliveries*, including on end users, and was granted maximum points for this parameter for two years in a row. It makes public its report on small arms and light weapons exports to the OSCE as an annexe to its arms export report. This report contains information both on *licences granted* and on actual *deliveries*, but it covers only exports to OSCE states, so includes only a very limited number of transactions. It is therefore granted only partial points for *licences granted* and *deliveries*.

Spain could improve its reporting on *licences refused* and expand its national report to include information on small arms brokers, intangible transfers, re-exports, and transits/transhipments. With this additional information, it would increase its ranking in the transparency Barometer and improve its reputation as a major small arms exporter.

Transparency Barometer score



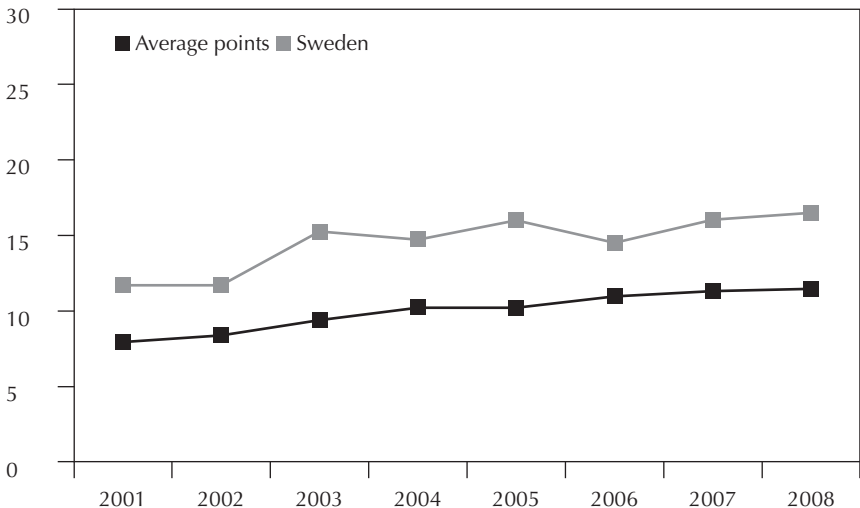
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	9.75	-	X	n/a	1.50	0.50	1.50	2.25	3.00	1.00	0.00
2002	8.75	-	X	n/a	1.50	0.50	1.50	2.25	3.00	0.00	0.00
2003	12.25	X (03)/EU Report	X	X	1.50	1.00	2.00	3.00	3.00	1.50	0.25
2004	12.50	X (04)/EU Report	X	X	1.50	1.50	2.00	2.75	3.00	1.50	0.25
2005	13.25	X (04)/EU Report	X	X	1.50	1.50	2.25	3.25	3.00	1.50	0.25
2006	13.75	X (06)/EU Report	X	X	1.50	1.50	2.25	3.25	3.00	2.00	0.25
2007	15.00	X (07)/EU Report	X	X	1.50	1.50	2.50	3.25	4.00	2.00	0.25
2008	16.50	X (08)/EU Report	X	X	1.50	1.50	2.50	3.75	4.00	2.00	1.25

Sweden

Except for reporting on its 2006 activities, Sweden figures among the ten most transparent countries. Its score is evaluated according to its national arms export report, including reporting to the EU Report, and its submissions to UN Comtrade and the UN Register. For its activities in 2003, 2007, and 2008 Sweden reported background information on international small arms and light weapons transfers.

Sweden's national arms export report contains particularly good information on arms brokers, and it is one of the few countries to receive full points for this information. Sweden could further contribute to increased transparency and improve its ranking by submitting additional information on temporary exports, re-exports and transits/transhipments, end users, and *licences refused* in its national arms export report. Sweden's submissions to UN Comtrade do not include reporting on re-exports or values and quantities in UN Comtrade category 930190, and its reporting on background information on international small arms and light weapons transfers to the UN Register could be

Transparency Barometer score



Year	Total report (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	11.75	X (01/02)	X	n/a	1.50	1.50	2.25	2.00	3.00	1.50	0.00
2002	11.75	X (02/03)	X	n/a	1.50	1.50	2.25	2.00	3.00	1.50	0.00
2003	15.25	X (03/04)/ EU Report	X	X	1.50	2.00	3.75	2.75	3.50	1.50	0.25
2004	14.75	X (04/05)/ EU Report	X	X	1.50	2.00	3.75	2.25	3.50	1.50	0.25
2005	16.00	X (05/06)/ EU Report	X	X	1.50	2.00	4.00	3.00	3.00	1.50	1.00
2006	14.50	X (06/07)/ EU Report	X	X	1.50	2.00	2.75	3.75	3.00	1.50	0.00
2007	16.00	X (07/08)/ EU Report	X	X	1.50	2.00	3.50	3.75	3.00	2.00	0.25
2008	16.50	X (08/09)/ EU Report	X	X	1.50	2.00	3.50	4.25	3.00	2.00	0.25

expanded to cover all small arms and light weapons categories, not only two as at present. This could further enhance Sweden's reputation as a transparent major small arms exporter and contribute to a higher ranking in the Transparency Barometer.

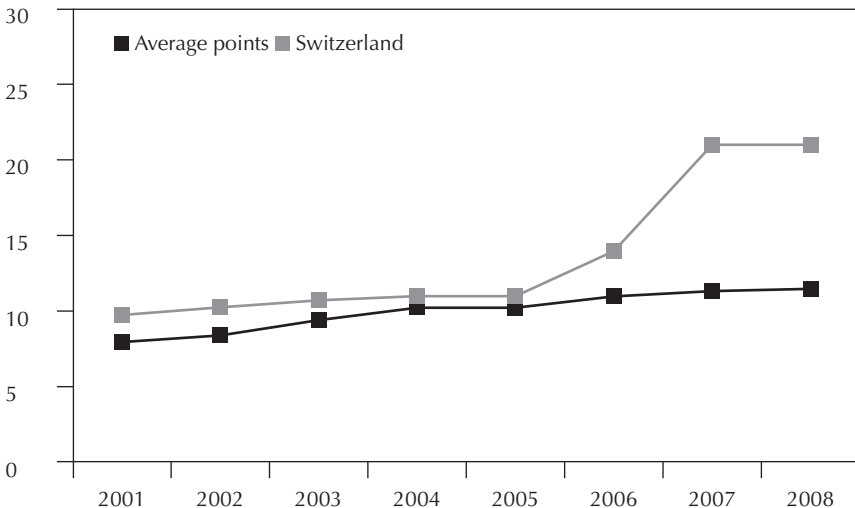
Switzerland

Switzerland's level of transparency is evaluated on the basis of its national arms export report published every year, as well as its reporting to UN Comtrade and the UN Register. For its 2008 activities, Switzerland for the first time submitted background information on international small arms and light weapons transfers.

For several years, Switzerland's transparency was within a range 9.75–11 points. With its reporting on its 2006 activities, its score increased to 14 points, and eventually Switzerland improved its national arms export report to the extent that it scored 21 points for reporting on its 2007 and 2008 activities, thus becoming the only country that scored over 20 points, making it the most transparent country for this period.

The element that helped Switzerland achieve such a high score was the decision by the Swiss State Secretariat of Economic Affairs to publish a national report focusing particularly on small arms and light weapons and including information for most of the criteria required by the seven parameters, such as providing a nil report on transfers of guided and unguided light weapons. The result of this decision was its high score for 2007 and 2008.

Transparency Barometer score



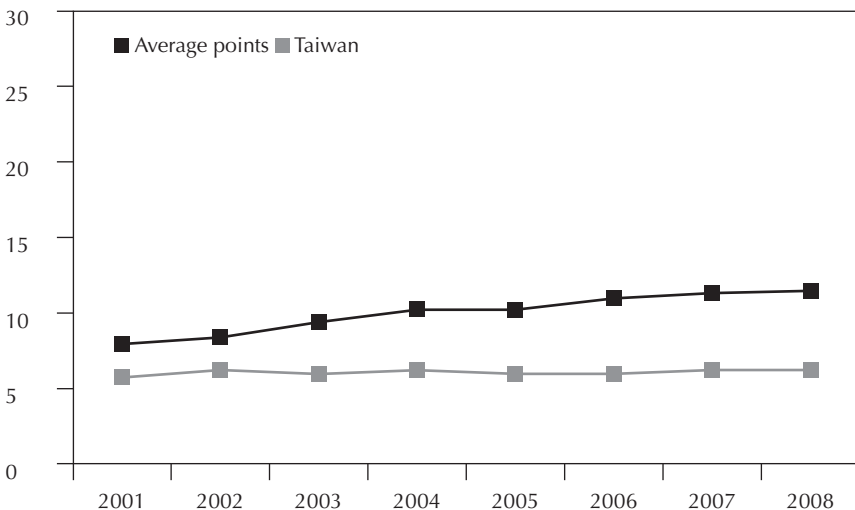
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	9.75	X (01)	X	n/a	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2002	10.25	X (02)	X	n/a	1.50	1.00	1.50	3.25	3.00	0.00	0.00
2003	10.75	X (03)	X	X	1.50	1.50	1.50	3.25	3.00	0.00	0.00
2004	11.00	X (04)	X	X	1.50	1.50	1.75	3.25	3.00	0.00	0.00
2005	11.00	X (05)	X	X	1.50	1.50	1.75	3.25	3.00	0.00	0.00
2006	14.00	X (06)	X	X	1.50	1.50	1.75	3.50	3.00	2.50	0.25
2007	21.00	X (07)	X	X	1.50	1.50	4.00	5.25	3.00	4.00	1.75
2008	21.00	X (08)	X	X	1.50	1.50	4.00	5.25	3.00	4.00	1.75

Taiwan

Taiwan's transparency has been evaluated on the basis of data it submitted to UN Comtrade, as published by the International Trade Centre in its TradeMap database.⁴³ Taiwan's score ranks around 6 points and it is among the ten least transparent countries for reporting on its 2001–08 activities.

As a non-UN member state, Taiwan cannot report to the UN Register, but it can improve its submissions of customs data to UN Comtrade by reporting on values and quantities in important categories such as 930190, 930200, 930320, and 930330. Also, it could consider providing information on re-exports for all relevant categories. This would contribute to Taiwan's level of transparency and increase its ranking in the Transparency Barometer.

Transparency Barometer score



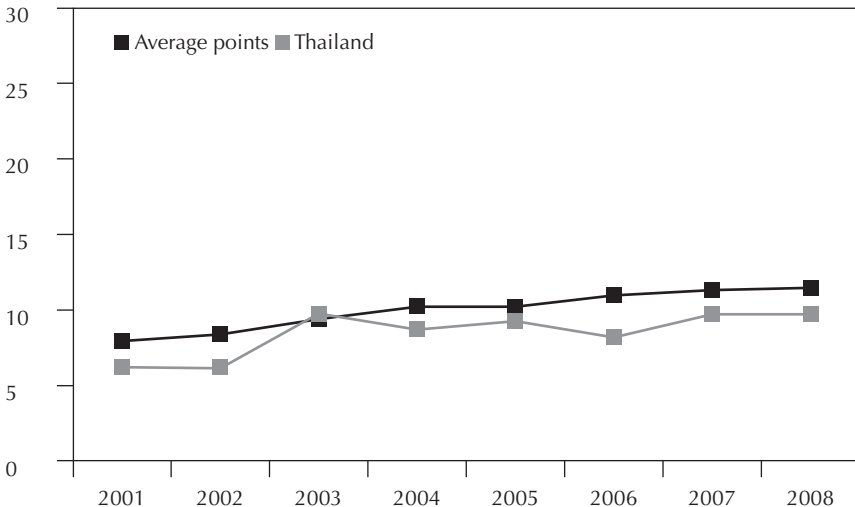
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	5.75	-	X	n/a	1.50	0.50	1.00	0.75	2.00	0.00	0.00
2002	6.25	-	X	n/a	1.50	0.50	1.00	1.25	2.00	0.00	0.00
2003	6.00	-	X	-	1.50	0.50	1.25	0.75	2.00	0.00	0.00
2004	6.25	-	X	-	1.50	0.50	1.00	1.25	2.00	0.00	0.00
2005	6.00	-	X	-	1.50	0.50	1.00	1.00	2.00	0.00	0.00
2006	6.00	-	X	-	1.50	0.50	1.00	1.00	2.00	0.00	0.00
2007	6.25	-	X	-	1.50	0.50	1.00	1.25	2.00	0.00	0.00
2008	6.25	-	X	-	1.50	0.50	1.00	1.25	2.00	0.00	0.00

Thailand

Thailand's score is evaluated according to its submissions to UN Comtrade. It does not produce a national arms export report, its submissions to the UN Register for its 2003 and 2004 activities included a general nil report for exports, and it does not include background information on international small arms and light weapons transfers. Even worse, Thailand did not report to the UN Register after 2004.

Considering that Thailand is a major small arms exporter, there is great potential to further improve its reporting on small arms and light weapons transfers, particularly through reporting consistently on values and quantities in all relevant UN Comtrade categories. To further increase its transparency, Thailand should resume reporting to the UN Register, including reporting background information on international small arms and light weapons transfers. These two measures would improve public scrutiny of arms export policies and practices and also enhance Thailand's reputation as a more transparent major small arms exporter.

Transparency Barometer score



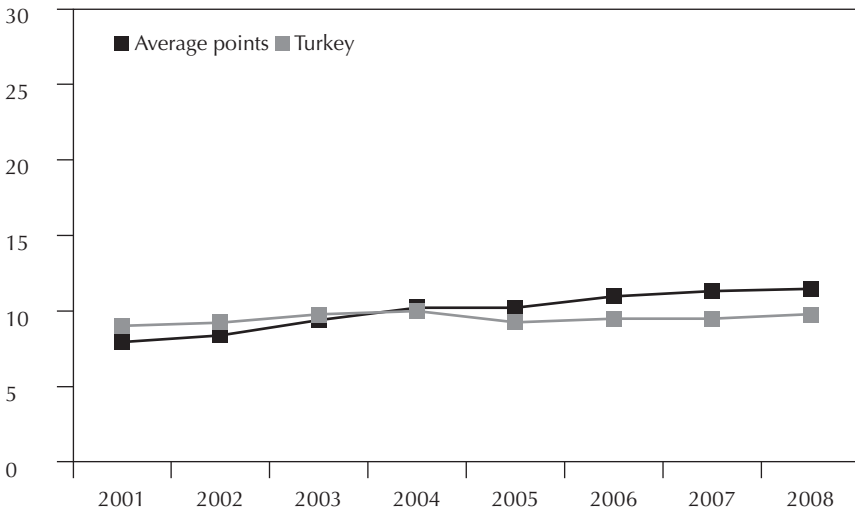
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	6.25	-	X	n/a	1.50	0.50	1.00	1.25	2.00	0.00	0.00
2002	6.25	-	X	n/a	1.50	0.50	1.00	1.25	2.00	0.00	0.00
2003	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2004	8.75	-	X	X	1.50	1.00	1.50	1.75	3.00	0.00	0.00
2005	9.25	-	X	X (04)	1.50	0.50	1.50	2.75	3.00	0.00	0.00
2006	8.25	-	X	-	1.50	0.50	1.50	1.75	3.00	0.00	0.00
2007	9.75	-	X	-	1.50	0.50	1.50	3.25	3.00	0.00	0.00
2008	9.75	-	X	-	1.50	0.50	1.50	3.25	3.00	0.00	0.00

Turkey

Turkey's score is between 9 and 10 points for all eight years under review. Its transparency is evaluated according to its submissions to UN Comtrade and its reporting to the UN Register, which between 2006 and 2008 included background information on international small arms and light weapons transfers. Turkey's 2006 background information to the UN Register included interesting information such as a delivery made free of charge for testing purposes and a transfer to Kyrgyz citizens working for the UN Mission in Kosovo.

Currently, Turkey is among the three least transparent countries in Europe, after the Russian Federation and Ukraine. Since Turkey is a major small arms exporter, consistent reporting on values and quantities in all UN Comtrade categories, including reporting on re-exports, and a comprehensive report to the UN Register would contribute to increased transparency.

Transparency Barometer score



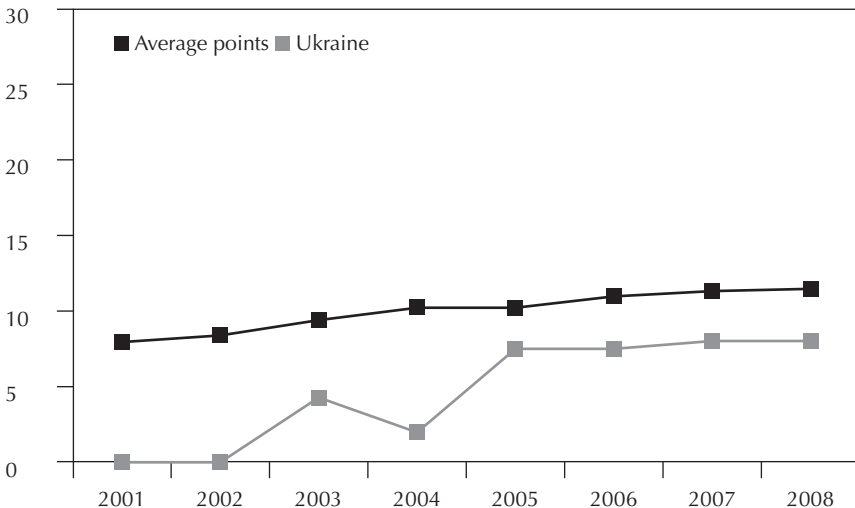
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	9.00	-	X	n/a	1.50	0.50	1.50	2.50	3.00	0.00	0.00
2002	9.25	-	X	n/a	1.50	0.50	1.50	2.75	3.00	0.00	0.00
2003	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
2004	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
2005	9.25	-	X	X	1.50	1.00	1.50	2.25	3.00	0.00	0.00
2006	9.50	-	X	X	1.50	1.00	1.25	2.25	3.50	0.00	0.00
2007	9.50	-	X	X	1.50	1.00	1.25	2.75	3.00	0.00	0.00
2008	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00

Ukraine

Ukraine was one of the least transparent countries for reporting on its activities on international small arms light weapons transfers for the period 2001–08. It does not report to UN Comtrade, but did publish a national arms export report for its 2005 activities onwards. As a result, its score increased from 2 (in 2004) to 7.5 points and it has remained on that level ever since, with a slight increase for reporting on its 2007 and 2008 activities. This increase is also linked to Ukraine’s reporting to the UN Register of background information on international small arms and light weapons transfers for its 2007 and 2008 activities.

To further increase its transparency, Ukraine could provide more detailed information in its national arms export reports, which to date have basically reflected its submissions to the UN Register, although they are slightly more complete than the latter. More details on particular small arms and light weapons types, as well as reporting on re-exports, transhipments, end users, intangible transfers, and *licences granted* and *licences refused*, would help Ukraine to earn additional points and elevate its ranking in the Transparency Barometer.

Transparency Barometer score



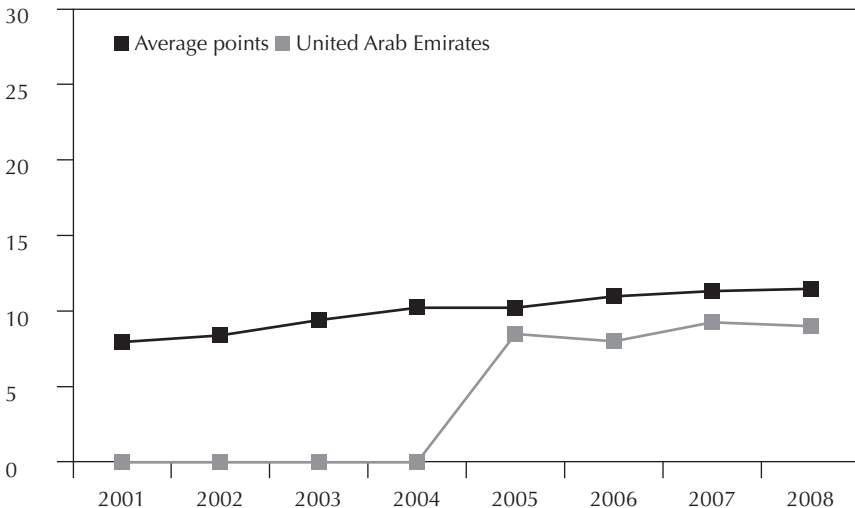
Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2002	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2003	4.25	-	-	X	1.50	0.50	0.25	0.50	1.50	0.00	0.00
2004	2.00	-	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
2005	7.50	X (05)	-	X	1.50	1.00	1.00	2.00	2.00	0.00	0.00
2006	7.50	X (06)	-	X	1.50	1.00	1.00	2.00	2.00	0.00	0.00
2007	8.00	X (07)	-	X	1.50	1.50	1.00	2.00	2.00	0.00	0.00
2008	8.00	X (08)	-	X	1.50	1.50	1.00	2.00	2.00	0.00	0.00

United Arab Emirates

The UAE did not report to any of the three reporting tools until 2005. Its transparency was therefore evaluated at 0.00 points prior to that date. In 2005 the UAE started reporting to UN Comtrade and consequently no longer figures among the ten least transparent countries.

Considering that the UAE is a major small arms exporter, there is potential to further improve its reporting on small arms and light weapons transfers, particularly through reporting consistently on values and quantities in all relevant UN Comtrade categories and producing UN Register submissions, which should include reporting on background information on international small arms and light weapons transfers. These two measures would improve public scrutiny of arms export policies and practices, as well as the UAE's reputation as a more transparent major small arms exporter.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2002	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2003	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2004	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
2005	8.50	-	X	-	1.50	0.00	1.50	2.50	3.00	0.00	0.00
2006	8.00	-	X (05)	-	1.00	0.00	1.50	2.50	3.00	0.00	0.00
2007	9.25	-	X	-	1.50	0.00	1.50	3.25	3.00	0.00	0.00
2008	9.00	-	X	-	1.50	0.00	1.50	3.00	3.00	0.00	0.00

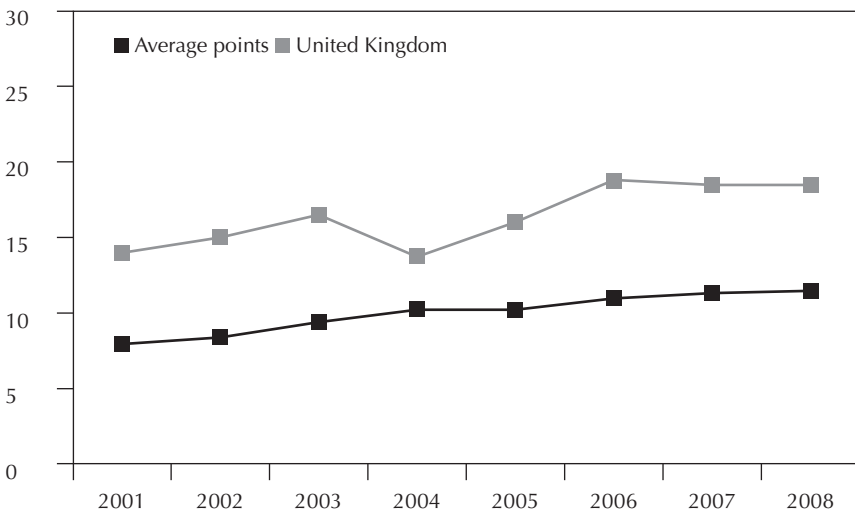
United Kingdom

The United Kingdom figures among the ten most transparent countries, except for reporting on its 2004 activities. The country's level of transparency is assessed through its national arms export report, including its submissions to the EU Report, and to UN Comtrade and the UN Register. Together with Poland and the Netherlands, the United Kingdom has provided background information on its international small arms and light weapons transfers every year since 2003.

The decrease in points for its reporting on its 2004 activities is due to a change in the format of the national arms export report. For activities in that year, the United Kingdom provided less or no information on the following aspects of small arms and light weapons transfers: temporary exports, intangible transfers, transits/transhipments, end users, quantities, and values of *licences granted*.

Nevertheless, the United Kingdom has improved its national report since the 2004 edition and managed to be the most transparent country for reporting on its 2006 activities, while appearing in second place for its reporting on 2007 and 2008 activities.

Transparency Barometer score

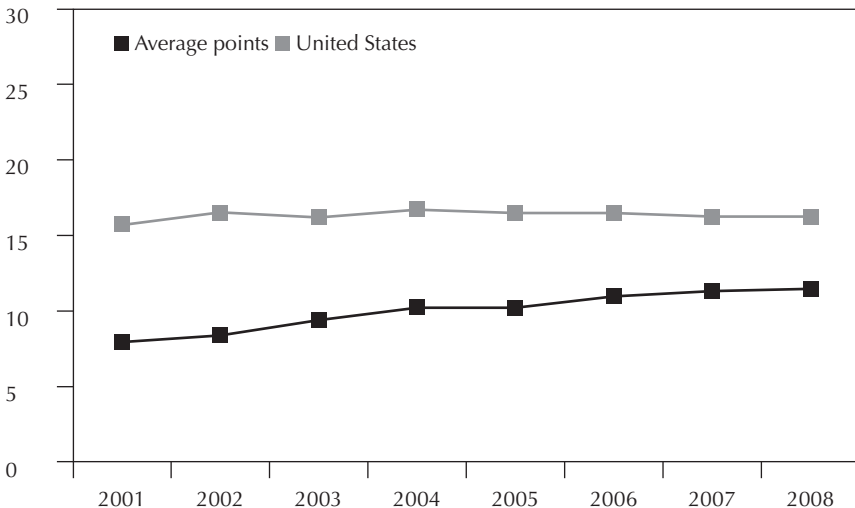


Year	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	14.00	X (01)	X	n/a	1.50	1.50	2.50	4.00	3.00	1.00	0.50
2002	15.00	X (02)	X	n/a	1.50	1.50	3.50	4.00	3.00	1.00	0.50
2003	16.50	X (03)/EU Report	X	X	1.50	2.00	3.75	4.00	3.00	1.50	0.75
2004	13.75	X (04)/EU Report	X	X	1.50	2.00	3.25	2.75	3.00	1.00	0.25
2005	16.00	X (05)/EU Report	X	X	1.50	2.00	3.75	3.50	3.00	1.50	0.75
2006	18.75	X (06)/EU Report	X	X	1.50	2.00	3.75	5.25	3.00	2.50	0.75
2007	18.50	X (07)/EU Report	X	X	1.50	2.00	4.00	4.75	3.00	2.50	0.75
2008	18.50	X (08)/EU Report	X	X	1.50	2.00	4.00	4.75	3.00	2.50	0.75

United States

The United States is the top exporter⁴⁴ of small arms and light weapons and ranks among the ten most transparent countries for all the years under review except for 2008. It has a good and consistent record of reporting on its international arms transfers, although it does not report background information on international small arms and light weapons transfers to the UN Register. Nevertheless, its submissions to UN Comtrade and its national reports provide very detailed information on permanent transfers of small arms, light weapons, associated components, and ammunition, as well as intangible transfers. However, the United States does not give information on temporary exports, brokering agents, end users, or the transit/transshipment of small arms and light weapons. This additional information would improve the transparency of US arms transfers.

Transparency Barometer score



Year	Total (25 max.)	Export report (year covered)*	UN Comtrade	UN Register (year covered)	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehensiveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
2001	15.75	X (00/01)	X	n/a	1.50	1.50	2.75	4.50	3.00	2.50	0.00
2002	16.50	X (01/02)	X	n/a	1.50	1.50	2.75	4.75	3.00	3.00	0.00
2003	16.25	X (02/03)	X	X	1.50	1.50	2.75	4.50	3.00	3.00	0.00
2004	16.75	X (03/04)	X	X	1.50	1.50	2.75	4.50	3.00	3.50	0.00
2005	16.50	X (04/05)	X	X	1.50	1.50	2.75	4.75	3.00	3.00	0.00
2006	16.50	X (05/06)	X	X	1.50	1.50	2.75	4.75	3.00	3.00	0.00
2007	16.25	X (06/07)	X	X	1.50	1.50	2.75	4.50	3.00	3.00	0.00
2008	16.25	X (07/08)	X	X	1.50	1.50	2.75	4.50	3.00	3.00	0.00

* The US national report is divided into several documents. For the purposes of the Barometer, the 'US annual report' refers to the State Department and Department of Defense report pursuant to section 655 on direct commercial sales (see Bibliography) and the report on foreign military sales, which is prepared by the US Department of Defense (given in the Bibliography as being supplied by the Federation of American Scientists).

Sources: Australia (2000; 2001; 2002; 2003; 2006); Austria (2005; 2006a; 2006b; 2007); Belgium (2001; 2002; 2003; 2005a; 2005b; 2005c; 2006a; 2006b; 2006c; 2006d; 2007a; 2007b; 2007c; 2007d; 2008a; 2008b; 2008c); Bosnia and Herzegovina (2005; 2006; 2007; 2008); Bulgaria (2006; 2007; 2008); Canada (2001; 2002; 2003; 2007; 2009); CoEU (2004; 2005; 2006; 2007; 2008a); Czech Republic (2003; 2004; 2005; 2007; 2008; 2009); Denmark (2000; 2002; 2003; 2004; 2005; 2006; 2007; 2009); Finland (2000; 2001; 2002; 2003; 2004; 2005; 2006; 2007; 2009); France (2000; 2001; 2003; 2005a; 2005b; 2006; 2007; 2008; 2009); Germany (2000; 2001; 2002; 2003; 2004; 2005; 2006; 2007; 2009); International Trade Centre (2008); Italy (2002; 2004; 2005; 2006; 2007; 2008; 2009); Montenegro (2007; 2008; 2009); the Netherlands (2000; 2001; 2002; 2003; 2004; 2005; 2006; 2007; 2008; 2009); Norway (2000; 2001; 2002; 2003; 2004; 2005; 2006; 2007; 2008; 2009); Portugal (2001; 2002; 2003; 2004; 2005; 2006); Romania (2002; 2005; 2006; 2008; 2009); Serbia (2007; 2009); Slovakia (2005; 2008; 2009); South Africa (2007); Spain (2000; 2001; 2004; 2005; 2006; 2007; 2008; 2009); Sweden (2000; 2001; 2002; 2003; 2004; 2005; 2006; 2007; 2008; 2009); Switzerland (2002a; 2002b; 2003a; 2003b; 2003c; 2004a; 2004b; 2005a; 2005b; 2005c; 2006a; 2006b; 2007a; 2007b; 2007c; 2008a; 2008b; 2008c; 2008d; 2009); UK (2000; 2001; 2002; 2003; 2004; 2005; 2006; 2007; 2008; 2009); Ukraine (2006; 2007; 2008; 2009); UN Comtrade (n.d.); UNODA (2009b); US (2000a; 2000b; 2001a; 2001b; 2002a; 2002b; 2003a; 2003b; 2004a; 2004b; 2005a; 2005b; 2006a; 2006b; 2007a; 2007b; 2008a; 2008b; 2009a; 2009b)

VI. Conclusion

International, regional, and national reporting mechanisms increase the quality and quantity of publicly available information on international arms transfers. In recent years more information has been made available on international small arms and light weapons transfers. This paper has assessed the level of transparency for 48 countries on their small arms exports from 2001 to 2008 while analysing three reporting mechanisms made publicly available: customs data reported to UN Comtrade, the UN Register, and national arms export reports.

As the retroactive scoring of the Transparency Barometer demonstrates, the most transparent small arms exporters are those states that both publish national arms export reports (including reporting to the EU Report) and submit reports to UN Comtrade and the UN Register. Denmark, Finland, Germany, Italy, the Netherlands, Norway, Sweden, the United Kingdom, and the United States are regularly among the most transparent countries. These nine countries all produce useful and informative national arms export reports and additionally report to UN Comtrade and the UN Register; they are also the countries with the most well-established reporting practices on arms exports.

The analysis shows that no country comes close to full transparency in its reporting on its small arms and light weapons transfers, and even the most transparent countries are not optimally transparent. In the eight years of reporting analysed, only one country (Switzerland) achieved a score of over 20 points and the average score of the most transparent countries in 2008 was 17.38 points, 5.91 points higher than the average of all 48 countries. Although no country managed to respond to all criteria under the seven parameters, individual reporting shows that all the criteria were at least achieved once by a country under review. In other words, full transparency is possible, since it is possible to report on all criteria. The challenge is to overcome national legacies and establish reporting practices that provide a complete and full picture of export activities and thus achieve full transparency.

States at the lower end of the scoring range still have a very long way to go to improve their export reporting. The average score of the least transparent countries for 2001–08 was only 5.20 points, equal to 20.80 per cent of the maximum. The positive side is that the number of countries scoring zero has decreased from eight to two countries between 2001 and 2008, and as a result the average score of the ten least transparent countries increased by 294 per cent from 2001 to 2008. Changes in reporting by states at the lower level of the ranking therefore have a greater impact on the average score than improvements to state reporting made by countries at the higher level.

The presence of some of the world's most important small arms exporters among the least transparent countries is an unfortunate indicator that an important part of the world's small arms and light weapons transfers are not captured and made public. Among the least transparent countries we find major and top exporters like China, Iran, Israel, and the Russian Federation, not to mention North Korea, which scored zero points for all eight years.

The quality of states' public reporting in terms of specific parameters shows that transparency is lacking with regard to some of these categories even for the most transparent countries. Full points for parameters like *clarity* and *comprehensiveness* were never achieved, while very few countries achieved full points under *deliveries*, *licences granted*, and *licences refused*. Increased reporting on these categories is needed, given that they provide information about the very substance of the international small arms trade.

The scores of the most transparent countries set a reporting standard for countries who have weak or non-existent reporting mechanisms. Nevertheless, the analysis has showed that even the most transparent governments can improve their reporting, and it is hoped that future editions of the Transparency Barometer will record more countries scoring over 20 points.

The increase in the average score among major exporters of small arms and light weapons for reporting between 2001 and 2008 shows evidence that 15 years of conferences and activism have resulted in a general and positive change in governments' behaviour. Thus the discussion and analysis of small arms transfers plays a valuable role in further discussions on the control and regulation of the small arms trade. 📌

Annexe 1.

History of the Transparency Barometer

Scoring system for the 2004 and 2005 editions of the Transparency Barometer

In the Small Arms Survey's 2004 yearbook, *Rights at Risk* (Small Arms Survey, 2004, pp. 115–18), the first edition of the Small Arms Trade Transparency Barometer was published as an integral part of the chapter on transfers. Twenty-seven countries known or believed to be major exporters of small arms and light weapons, their parts, accessories, and ammunition based on 2001 international customs data were evaluated on their transparency in terms of exports of small arms and light weapons.⁴⁵ Transparency was analysed on a 20-point scale on the basis of information published in national arms export reports and states' submissions to UN customs data (UN Comtrade). Each country received a full point for fulfilled criteria. Partially fulfilled criteria received half-points.

The first edition of the Transparency Barometer was divided into two main categories: category (1), covering *access, clarity, and comprehensiveness*, assessed the ease in obtaining and understanding the data provided by states and the comprehensiveness of the data in general, and category (2), covering information on *licences granted, licences refused, and deliveries*, which analysed the details of the data provided, rewarding reporting on values and volumes disaggregated by weapon types and country of delivery. A detailed overview of the parameters used in compiling the Transparency Barometer is given in Table 5.

The second edition of the Transparency Barometer, published in the Small Arms Survey's 2005 yearbook, *Weapons at War*, was based on the same scoring criteria as the 2004 Barometer.

Table 5 **Scoring system for the 2004 and 2005 Transparency Barometers**

Categories	Parameters	Points	Questions	Sub-points	
(1)	Access	2	Is the national report available on the Internet?	0.5	
			Is it available in a UN language?	1.0	
			Is the report free of charge?	0.5	
	Clarity	4	Does the reporting include a methodology?*	1	
			Are small arms and light weapons distinguishable from other types of weapons?	1	
			Is small arms and light weapons ammunition distinguishable from other types of ammunition?	1	
			Does the reporting include information on end-user categories?	1	
	Comprehensiveness	4	Does the report cover government- as well as industry-negotiated transactions?	1	
			Does it report on civilian as well as military small arms and light weapons?	1	
			Does it inform about small arms and light weapons parts?	1	
			Are summaries of export laws and regulation, as well as international commitments available?	1	
	(2)	Information on deliveries	4	Is the information disaggregated by weapon type and the value of weapons shipped?	1
				Is the information disaggregated by weapon type and the quantity of weapons shipped?	1

			Is the information disaggregated by country and weapon type and the value of weapons shipped?	1
			Is the information disaggregated by country and weapon type and the quantity of weapons shipped?	1
	Information on licences granted	4	Is the information disaggregated by weapon type and the value of licences granted?	1
			Is the information disaggregated by weapon type and the quantity of licences granted?	1
			Is the information disaggregated by country and weapon type and the value of licences granted?	1
			Is the information disaggregated by country and weapon type and the quantity of licences granted?	1
	Information on licences refused	2	Is the information disaggregated by weapon type and the value of licences refused?	0.5
			Is the information disaggregated by weapon type and the quantity of licences refused?	0.5
			Is the information disaggregated by country and weapon type and the value of licences refused?	0.5
			Is the information disaggregated by country and weapon type and the quantity of licences refused?	0.5

* The 2005 edition formulated the questions as follows: Does the reporting include source information?

Source: (Khakee, 2004, p. 117; 2005, p. 112)

Scoring system for the 2006 edition of the Transparency Barometer

The 2006 Transparency Barometer published in the Small Arms Survey's 2006 yearbook, *Unfinished Business*, was slightly revised. The aim was to increase the scope of the analysis and to better reward information provided on small arms, light weapons, and their ammunition. Four major changes (illustrated in the sections given in bold in Table 6) were made: (1) a new parameter was added to assess the timeliness of reporting; (2) additional points were granted for differentiations among sub-categories of small arms and light weapons, such as pistols/revolvers, sniper rifles, and shotguns; (3) further points were granted if reporting on small arms and light weapons ammunition was available; and (4) the points for reporting on civilian and military small arms were doubled. As a consequence, the new maximum score increased by 5 points and states were therefore now evaluated on a 25-point scale.

Table 6 Scoring system for the 2006 Transparency Barometer

Categories	Parameters	Points		Sub-points
(1)	Timeliness	2	Was the report published within the last 24 months?	0.5
			Is the information available within 6 months of the end of the year in question?	1.0
			Is the report available within 12 months of the end of the year in question?	0.5
	Access	2	Is the national report available on the Internet?	0.5
			Is it available in a UN language?	1.0
			Is the report free of charge?	0.5
	Clarity	5	Does the reporting include source information?	1
			Are small arms and light weapons distinguishable from other types of weapons?	1
			Is small arms and light weapons ammunition distinguishable from other types of ammunition?	1
			Is a detailed weapon description included?	1
			Does the reporting include information on end-user categories?	1
	Comprehensiveness	6	Does the report cover government- as well as industry-negotiated transactions?	1
			Does it report on civilian as well as military small arms and light weapons?	2
			Does it inform about small arms and light weapons parts?	1
			Does it inform on small arms and light weapons ammunition?	1

			Are summaries of export laws and regulation as well as international commitments available?	1
			<i>Is information on re-exports provided*</i>	0.5
(2)	Information on deliveries	4	Is the information disaggregated by weapon type and the value of weapons shipped?	1
			Is the information disaggregated by weapon type and the quantity of weapons shipped?	1
			Is the information disaggregated by country and weapon type and the value of weapons shipped?	1
			Is the information disaggregated by country and weapon type and the quantity of weapons shipped?	1
	Information on licences granted	4	Is the information disaggregated by weapon type and the value of licences granted?	1
			Is the information disaggregated by weapon type and the quantity of licences granted?	1
			Is the information disaggregated by country and weapon type and the value of licences granted?	1
			Is the information disaggregated by country and weapon type and the quantity of licences granted?	1
	Information on licences refused	2	Is the information disaggregated by weapon type and the value of licences refused?	0.5
			Is the information disaggregated by weapon type and the quantity of licences refused?	0.5
			Is the information disaggregated by country and weapon type and the value of licences refused?	0.5
			Is the information disaggregated by country and weapon type and the quantity of licences refused?	0.5

* This change was introduced for the 2007 and 2008 Transparency Barometer scoring system.

Source: (Dreyfus, Khakee, and Glatz, 2006, p. 82)

Scoring system for the 2007 and 2008 editions of the Transparency Barometer

For the 2007 edition, the Transparency Barometer refined and improved its methodology by making two changes: (1) for compiling the fourth edition of the Barometer, only national reports published within the last 30 months were analysed; and (2) a new sub-category was added under *comprehensiveness* to account for information provided on re-exports (indicated in *italics* in Table 6). In order to keep the 25-point scale, total points under *timeliness* were reduced to 1.5 and points for *comprehensiveness* were increased to 6.5 (not illustrated in Table 6). As a new practice, the 2007 Barometer included all countries that were reported—or believed—to have exported at least once USD 10 million or more worth of small arms and light weapons, including parts, accessories, and their ammunition during a calendar year between 2001 and 2004 (Glatz and Lumpe, 2007, p. 87). The previous editions analysed only exporters for the year being reviewed (see Table 5).

These changes were maintained for the fifth edition of the Transparency Barometer published in the 2008 Small Arms Survey yearbook, *Risk and Resilience*.

Annexe 2.

Countries reviewed by each edition of the Transparency Barometer, 2004–10

YB 2004 (27)	YB 2005 (25)	YB 2006 (32)	YB 2007 (37)	YB 2008 (40)	YB 2009 (45)	YB 2010 (48)
Australia Austria Belgium Brazil Bulgaria Canada China Czech Republic Finland France Germany Israel Italy Japan Mexico Norway Portugal Romania Russian Federation South Africa South Korea Spain Sweden Switzerland Turkey United Kingdom United States	All countries analysed in the 2004 YB, except Bulgaria, Mexico, and Australia; but including <i>Netherlands</i>	All countries analysed in the 2005 YB, except the Netherlands, but including: <i>Croatia Iran North Korea Pakistan Singapore Australia Bulgaria Mexico</i>	All countries analysed in the 2006 YB, and also: <i>Bosnia and Herzegovina Saudi Arabia Serbia and Montenegro Thailand Netherlands</i>	All countries analysed in the 2007 YB, and also: <i>Poland Slovakia Ukraine</i>	All countries analysed in the 2008 YB, and also: <i>Argentina Cyprus Denmark Hungary Taiwan</i>	All countries analysed in the 2009 YB, and also: <i>India Montenegro United Arab Emirates</i>

YB = Small Arms Survey yearbook

Annexe 3.

Guidelines for scoring the Transparency Barometer

1. Timeliness (1.5 Points) [this concerns any of the 3 tools]

1.1) Did the country submit data, for the first time, in Year or Year+1?

- If yes, then award 0.5
- If no, then award 0.0

1.2) Did the country submit data, for the first time, in Year+1?

- If yes, then award 0.5
- If no, then award 0.0

1.3) Did the country submit data, for the first time, in 200n+1 that concerned activities in Year or Year+1?

- If yes, then award 0.5
- If no, then award 0.0

2. Access and Consistency (2.0 Points)

2.1) Did the country place its national report on the web for free?

- If yes, then award 0.5
- If no, then award 0.0

2.2) Did the country provide interim information (e.g. biannual or quarterly reports, in addition to a consolidated annual report)?

- If yes, then award 0.5
- If no, then award 0.0

2.3) Did the country use the same tool to report on activities in Year-2, Year-1, and Year?

- If yes, then award 0.5
- If no, then award 0.0 [no partial points]

2.4) Did the country use a single additional tool to report on activities in Year-2, Year-1, and Year?

- If yes, then award 0.5
- If no, then award 0.0 [no partial points]

3. Clarity (5.0 Points)

3.1) Did the country distinguish between government- and private industry-supplied transactions? Note that a 'nil report' (no private sales exist/are permitted) would receive 1 point.

- If comprehensively/consistently, then award 1.0
- If partially/occasionally, then award 0.5
- If never, then award 0.0

3.2) Did the country distinguish small arms and light weapons from conventional arms?

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

3.3) Did the country distinguish small arms and light weapons ammunition from conventional arms ammunition?

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

3.4) Did the country provide information on temporary exports? (Examples would include transfers to trade shows that must be returned, transfers to troops in peace operations, or materiel sent to be repaired and returned.) Note that a 'nil report' (no temporary exports) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

3.5) Did the country provide information on its small arms laws, regulations, and administrative procedures, as well as its multilateral commitments? (1.0 point maximum)

- Did the country provide a reference to a webpage offering free, full-text access to its transfer controls legislation (covering SMALL ARMS AND LIGHT WEAPONS export, transit, and/or import) AND explain how such legislation is implemented? If yes, then award 0.25.
- Did the country provide a reference to a webpage offering free, full-text access to its brokering control legislation AND explain how such legislation is implemented? If yes, then award 0.25. ALTERNATIVELY, did the country explain how its transfer control legislation covers brokering activities (with free, full-text, online access to such legislation)? If yes, then award 0.25.
- Did the country provide a reference to a webpage offering free, full-text access to information on the measures it uses to prevent and detect the diversion of international SMALL ARMS AND LIGHT WEAPONS transfers OR provide such information in its national export report? If yes, then award 0.25. (Relevant information includes practices relating to end-user documentation and verification, delivery verification, and/or end-use monitoring. Note that such procedures often are not based in legislation.)
- Did the country provide information on its sub-regional, regional, and international commitments relating to the control of international SMALL ARMS AND LIGHT WEAPONS transfers, including brokering? If yes, then award 0.25.

3.6) Did the country provide information on aggregated totals of deliveries?

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If no, then award 0.0

3.7) Did the country provide information on aggregated totals of licences granted/refused?

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If no, then award 0.0

3.8) Did the country provide information on authorized (small) arms brokers? Note that a 'nil report' (no authorized brokers) would receive 0.5 point.

- If yes, then award 0.5
- If no, then award 0.0

4. Comprehensiveness (6.5 Points)

4.1) Did the country provide information on its exports of guided light weapons (i.e. MANPADS and anti-tank guided weapons [ATGWs])? Note that a 'nil report' (no guided LW exports) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

4.2) Did the country provide information on its exports of unguided light weapons apart from heavy machine guns and anti-materiel rifles (i.e. rocket launchers [e.g. 'RPGs', anti-tank weapons], grenade launchers, mortars, and recoilless rifles/guns)? Note that a 'nil report' (no unguided LW exports) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

4.3) Did the country provide information on exports of sporting/hunting guns/rifles? Note that a 'nil report' (no sporting/hunting gun/rifle exports) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

4.4) Did the country provide information on exports of pistols and revolvers? Note that a 'nil report' (no pistol/revolver exports) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

4.5) Did the country provide information on exports of military firearms (automatic rifles, light/medium/heavy machine guns, sub-machine guns, anti-materiel rifles, and military shotguns) apart from pistols and revolvers? Note that a 'nil report' (no military firearm exports) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

4.6) Did the country provide information on exports of ammunition 12.7 mm calibre and below, as well as shotgun shells? Note that a 'nil report' (no small arms ammunition exports) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

4.7) Did the country provide information on exports of ammunition larger than 12.7 mm calibre that is used in light weapons? (Single-use light weapons systems that contain both the launcher and the projectile are treated as light weapons in 4.1 or 4.2 above, and are not considered as 'ammunition' here.) Note that a 'nil report' (no ammunition exports) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

4.8) Did the country provide information on exports of small arms and light weapons parts and accessories? Note that a 'nil report' (no exports of parts and accessories) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

4.9) Did the country provide information on 'intangible transfers' concerning small arms, light weapons, their ammunition, and/or their parts and accessories? Intangible transfers include (but are not limited to) the provision of technical plants, blueprints, know-how, schematics, and software. Note that a 'nil report' (no intangible transfers) would receive 0.5 point.

- If yes, then award 0.5
- If no, then award 0.0

4.10) Did the country provide information on permanent re-exports of small arms, light weapons, and/or their ammunition (i.e. not including temporary exports covered in 3.4)? Note that a 'nil report' (no re-exports) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

4.11) Did the country consistently identify the origin and destination of re-exports of small arms, light weapons, and/or their ammunition? Note that a 'nil report' (no re-exports) would receive 0.5 point.

- If origin and destination, then award 0.5
- If either origin or destination, then award 0.25
- If neither, then award 0.0

4.12) Did the country provide information on transit/transhipment of small arms and light weapons, and/or their ammunition? Note that a 'nil report' (no transit/transhipment) would receive 0.5 point.

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

4.13) Did the country consistently identify the origin and destination of the transit/transhipment of small arms, light weapons, and their ammunition? Note that a 'nil report' (no transit/transhipment) would receive 0.5 point.

- If origin and destination, then award 0.5
- If either origin or destination, then award 0.25
- If neither, then award 0.0

5. Deliveries (4.0 Points)

5.1) Did the country provide information on delivery recipients?

- If comprehensively/consistently, then award 1.0
- If partially/occasionally, then award 0.5
- If never, then award 0.0

5.2) Did the country provide information on the country of import AND specific end user (e.g. riot control police, air force, museum, private dealer)?

- If comprehensively/consistently, then award 1.0
- If partially/occasionally, then award 0.5
- If never, then award 0.0

5.3) Did the country provide information on the country of import AND the types and quantities of weapons and/or ammunition delivered?

- If comprehensive/consistently, then award 1.0
- If partially/occasionally, then award 0.5
- If never, then award 0.0

5.4) Did the country provide information on the country of import AND the types and value of weapons and/or ammunition delivered?

- If comprehensive/consistently, then award 1.0
- If partially/occasionally, then award 0.5
- If never, then award 0.0

6. Licences Granted (4.0 Points)

6.1) Did the country provide information on licence recipients?

- If comprehensively/consistently, then award 1.0
- If partially/occasionally, then award 0.5
- If never, then award 0.0

6.2) Did the country provide information on the intended country of import AND intended end user (e.g. riot control police, air force, navy, museum)?

- If comprehensively/consistently, then award 1.0
- If partially/occasionally, then award 0.5
- If never, then award 0.0

6.3) Did the country provide information on the intended country of import and types and quantities of weapons and/or ammunition for export?

- If comprehensively/consistently, then award 1.0
- If partially/occasionally, then award 0.5
- If never, then award 0.0

6.4) Did the country provide information on the intended country of import and types and value of weapons and/or ammunition for export?

- If comprehensively/consistently, then award 1.0
- If partially/occasionally, then award 0.5
- If never, then award 0.0

7. Licences Refused (2.0 Points) [only National Reports]

Note that a 'nil report' (no licences rejected) would receive 2 points.

7.1) Did the country identify the applicants/countries of prospective import that were refused licences?

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

7.2) Did the country provide a reason/explanation for its refusal to grant a licence to the applicant/country of prospective import?

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

7.3) Did the country provide information on the types and quantities of weapons/ammunition that were the subject of a licence refusal?

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

7.4) Did the country provide information on the types and value of weapons/ammunition that were the subject of a licence refusal?

- If comprehensively/consistently, then award 0.5
- If partially/occasionally, then award 0.25
- If never, then award 0.0

Annexe 4.

UN Comtrade codes used in the analysis for the Transparency Barometer

UN Comtrade code	Harmonized System	Description	Points for scoring
930120	02, 07	Rocket launchers, flame throwers, grenade launchers, torpedo tubes	Partial
930119	02, 07	Artillery weapons	Partial
930320	88, 96, 02, 07	Sporting and hunting shotguns	Full
930330	88, 96, 02, 07	Sporting and hunting rifles	Full
930200	88, 96, 02, 07	Revolvers and pistols	Full
930100*	88, 96	Military weapons	Full
930190*	02, 07	Military weapons	Full

* Points are given for either 930100 or 930190.

930621	88, 96, 02, 07	Shotgun cartridges	Full
930629	88, 96, 02, 07	Air gun pellets, lead shot, and other parts of shotgun cartridges	Full
930630	88, 96, 02, 07	Small arms ammunition	Full
930690	88, 96, 02, 07	Light weapons and larger ammunition	Partial
930510	88, 96, 02, 07	Parts and accessories of revolvers and pistols	Full
930521	88, 96, 02, 07	Shotgun barrels	Full
930529	88, 96, 02, 07	Parts and accessories of shotguns or rifles	Full
930590**	88, 96	Parts and accessories of military weapons	Partial
930591**	02, 07	Parts and accessories of military weapons	Partial
930599**	02, 07	Parts and accessories of military weapons	Partial

** Points are given for 930590, or 930591, or 930599.

Annexe 5.
UN Register additional background information on international small arms and light weapons transfers

Information on international transfers of small arms and light weapons^{a,b} (exports)

Exports

Reporting country:

National point of contact:

(Organization, Division/Section, telephone, fax, e-mail)

(FOR GOVERNMENTAL USE ONLY)

Calendar year:

A	B	C	D	E	REMARKS	
	Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer

SMALL ARMS

1.	Revolvers and self-loading pistols					
2.	Rifles and carbines					
3.	Sub-machine guns					
4.	Assault rifles					
5.	Light machine guns					
6.	Others					

LIGHT WEAPONS

1.	Heavy machine guns					
2.	Hand-held under-barrel and mounted grenade launchers					
3.	Portable anti-tank guns					
4.	Recoilless rifles					
5.	Portable anti-tank missile launchers and rocket systems					
6.	Mortars of calibres less than 75 mm					
7.	Others					

National criteria on transfers:

^a The standardized forms provide options for reporting only aggregate quantities under the generic categories of 'Small arms' and 'Light weapons' and/or under their respective subcategories. See the United Nations Information Booklet 2007 (http://www.un.org/disarmament/convarms/Register/HTML/Register_ReportingForms.shtml) for questions and answers regarding the reporting of small arms and light weapons.

^b The categories provided in the reporting form do not constitute a definition of 'Small arms' and 'Light weapons'.

Note that for Annexes 6–13, if a state does not publish data for one of the reporting tools in time to be included in the Barometer, data from the previous year or earlier years (if available) was evaluated again. If relevant, the year or period covered is given for each reporting tool.

Annexe 6. Small Arms Trade Transparency Barometer, covering 2001 activities

	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
Denmark	16.00	X (00/01)	X	n/a	1.50	1.50	2.75	2.75	3.00	2.50	2.00
United States	15.75	X (00/01)	X	n/a	1.50	1.50	2.75	4.50	3.00	2.50	0.00
Germany	15.00	X (00)	X	n/a	1.50	1.50	3.50	3.25	3.00	1.50	0.75
Italy	14.25	X (00)	X	n/a	1.50	1.50	2.50	4.75	3.00	1.00	0.00
Finland	14.00	X (01)	X	n/a	1.50	1.50	2.75	2.75	3.00	2.50	0.00
France	14.00	X (00)	X	n/a	1.50	1.50	2.25	3.25	3.00	2.50	0.00
United Kingdom	14.00	X (01)	X	n/a	1.50	1.50	2.50	4.00	3.00	1.00	0.50
Netherlands	13.00	X (00)	X	n/a	1.50	1.50	3.00	1.50	3.00	1.50	1.00
Belgium	12.00	X (01)	X	n/a	1.50	1.00	2.25	2.75	3.00	1.50	0.00
Sweden	11.75	X (01/02)	X	n/a	1.50	1.50	2.25	2.00	3.00	1.50	0.00

Canada	11.00	X (01)	X	n/a	1.50	1.00	2.25	3.25	3.00	0.00	0.00
Norway	11.00	X (01/02)	X	n/a	1.50	1.50	2.25	2.75	3.00	0.00	0.00
Australia	10.50	X (00/01)	X	n/a	1.50	1.50	1.75	2.75	3.00	0.00	0.00
Czech Republic	10.00	X (01)	X	n/a	1.50	1.00	1.75	2.75	3.00	0.00	0.00
Portugal	9.75	X (01)	X	n/a	1.50	0.50	2.50	2.25	3.00	0.00	0.00
Spain	9.75	-	X	n/a	1.50	0.50	1.50	2.25	3.00	1.00	0.00
Switzerland	9.75	X (01)	X	n/a	1.50	1.00	1.50	2.75	3.00	0.00	0.00
India	9.25	-	X	n/a	1.50	0.50	1.50	2.75	3.00	0.00	0.00
Slovakia	9.25	-	X	n/a	1.50	0.50	1.50	2.75	3.00	0.00	0.00
South Korea	9.25	-	X	n/a	1.50	0.50	1.50	2.75	3.00	0.00	0.00
Saudi Arabia	9.00	-	X	n/a	1.50	0.50	1.25	2.75	3.00	0.00	0.00
Turkey	9.00	-	X	n/a	1.50	0.50	1.50	2.50	3.00	0.00	0.00
Croatia	8.75	-	X	n/a	1.50	0.50	1.50	2.25	3.00	0.00	0.00
Poland	8.75	-	X	n/a	1.50	0.50	1.25	2.50	3.00	0.00	0.00
Argentina	8.50	-	X	n/a	1.50	0.50	1.50	2.00	3.00	0.00	0.00
Japan	8.25	-	X	n/a	1.50	0.50	1.50	1.75	3.00	0.00	0.00
Mexico	8.25	-	X	n/a	1.50	0.50	1.50	1.75	3.00	0.00	0.00
Austria	8.00	-	X	n/a	1.50	0.50	1.50	1.50	3.00	0.00	0.00
Cyprus	8.00	-	X	n/a	1.50	0.50	1.00	2.00	3.00	0.00	0.00

China	7.50	-	X	n/a	1.50	0.50	1.00	1.50	3.00	0.00	0.00
Former Yugoslavia	7.25	-	X	n/a	1.50	0.50	1.50	1.75	2.00	0.00	0.00
Thailand	6.25	-	X	n/a	1.50	0.50	1.00	1.25	2.00	0.00	0.00
Brazil	6.00	-	X	n/a	1.50	0.50	0.50	1.50	2.00	0.00	0.00
Taiwan	5.75	-	X	n/a	1.50	0.50	1.00	0.75	2.00	0.00	0.00
Singapore	5.50	-	X	n/a	1.50	0.50	0.50	1.00	2.00	0.00	0.00
Hungary	5.25	-	X	n/a	1.50	0.50	0.50	0.75	2.00	0.00	0.00
Romania	5.00	X (00/01)	-	n/a	1.50	0.50	2.75	0.25	0.00	0.00	0.00
Russian Federation	5.00	-	X	n/a	1.50	0.50	0.50	0.50	2.00	0.00	0.00
Israel	4.50	-	X	n/a	1.50	0.50	0.50	0.50	1.50	0.00	0.00
Bosnia and Herzegovina	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Bulgaria	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Iran	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
North Korea	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Pakistan	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
South Africa	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ukraine	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
United Arab Emirates	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Annexe 7. Small Arms Trade Transparency Barometer, covering 2002 activities

	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
Germany	17.00	X (02)	X	n/a	1.50	1.50	3.50	3.50	3.00	3.00	1.00
United States	16.50	X (01/02)	X	n/a	1.50	1.50	2.75	4.75	3.00	3.00	0.00
United Kingdom	15.00	X (02)	X	n/a	1.50	1.50	3.50	4.00	3.00	1.00	0.50
Finland	14.75	X (02)	X	n/a	1.50	1.50	3.25	3.00	3.00	2.50	0.00
France	14.25	X (01)	X	n/a	1.50	1.50	2.50	3.25	3.00	2.50	0.00
Italy	14.25	X (01)	X	n/a	1.50	1.50	2.50	4.75	3.00	1.00	0.00
Denmark	13.75	X (02)	X	n/a	1.50	1.50	3.00	2.75	3.00	2.00	0.00
Netherlands	13.00	X (02)	X	n/a	1.50	1.50	3.00	1.50	3.00	1.50	1.00
Sweden	11.75	X (02/03)	X	n/a	1.50	1.50	2.25	2.00	3.00	1.50	0.00
Canada	11.50	X (02)	X	n/a	1.50	1.50	2.25	3.25	3.00	0.00	0.00

Australia	11.25	X (01/02)	X	n/a	1.50	1.50	1.50	2.00	3.25	3.00	0.00	0.00
Norway	11.25	X (02/03)	X	n/a	1.50	1.50	1.50	2.25	3.00	3.00	0.00	0.00
Czech Republic	11.00	X (02)	X	n/a	1.50	1.00	1.00	2.75	2.75	3.00	0.00	0.00
Portugal	11.00	X (02)	X	n/a	1.50	1.00	1.00	2.75	2.75	3.00	0.00	0.00
Belgium	10.25	X (02)	X	n/a	1.50	1.00	1.00	2.00	2.75	3.00	0.00	0.00
Switzerland	10.25	X (02)	X	n/a	1.50	1.00	1.00	1.50	3.25	3.00	0.00	0.00
Croatia	9.75	-	X	n/a	1.50	0.50	0.50	1.50	3.25	3.00	0.00	0.00
Slovakia	9.75	-	X	n/a	1.50	0.50	0.50	1.50	3.25	3.00	0.00	0.00
Japan	9.50	-	X	n/a	1.50	0.50	0.50	1.50	3.00	3.00	0.00	0.00
South Korea	9.25	-	X	n/a	1.50	0.50	0.50	1.50	2.75	3.00	0.00	0.00
Turkey	9.25	-	X	n/a	1.50	0.50	0.50	1.50	2.75	3.00	0.00	0.00
Brazil	9.00	-	X	n/a	1.50	1.00	1.00	1.00	2.50	3.00	0.00	0.00
Poland	9.00	-	X	n/a	1.50	0.50	0.50	1.50	2.50	3.00	0.00	0.00
Argentina	8.75	-	X	n/a	1.50	0.50	0.50	1.50	2.25	3.00	0.00	0.00
India	8.75	-	X	n/a	1.50	0.50	0.50	1.50	2.25	3.00	0.00	0.00
Spain	8.75	-	X	n/a	1.50	0.50	0.50	1.50	2.25	3.00	0.00	0.00
Cyprus	8.50	-	X	n/a	1.50	0.50	0.50	1.25	2.25	3.00	0.00	0.00
Saudi Arabia	8.50	-	X	n/a	1.50	0.50	0.50	1.25	2.25	3.00	0.00	0.00
Mexico	8.25	-	X	n/a	1.50	0.50	0.50	1.50	1.75	3.00	0.00	0.00

Former Yugoslavia	8.25	-	X	n/a	1.50	0.50	1.50	1.75	3.00	0.00	0.00
Austria	8.00	-	X	n/a	1.50	0.50	1.50	1.50	3.00	0.00	0.00
Iran	8.00	-	X	n/a	1.50	0.00	1.50	2.00	3.00	0.00	0.00
China	7.50	-	X	n/a	1.50	0.50	1.00	1.50	3.00	0.00	0.00
Taiwan	6.25	-	X	n/a	1.50	0.50	1.00	1.25	2.00	0.00	0.00
Thailand	6.25	-	X	n/a	1.50	0.50	1.00	1.25	2.00	0.00	0.00
Singapore	5.50	-	X	n/a	1.50	0.50	0.50	1.00	2.00	0.00	0.00
Hungary	5.00	-	X	n/a	1.50	0.50	0.50	0.50	2.00	0.00	0.00
Russian Federation	5.00	-	X	n/a	1.50	0.50	0.50	0.50	2.00	0.00	0.00
Romania	4.00	X (00/01)	-	n/a	0.50	0.50	2.75	0.25	0.00	0.00	0.00
South Africa	3.50	X (00-02)	-	n/a	1.50	0.00	0.75	0.25	1.00	0.00	0.00
Israel	3.50	-	X (01)	n/a	1.00	0.00	0.50	0.50	1.50	0.00	0.00
Bosnia and Herzegovina	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Bulgaria	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
North Korea	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Pakistan	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ukraine	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00
United Arab Emirates	0.00	-	-	n/a	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Annexe 8. Small Arms Trade Transparency Barometer, covering 2003 activities

	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6,5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
Netherlands	17.75	X (03)/EU Report	X	X	1.50	2.00	3.50	4.75	3.50	1.50	1.00
Germany	17.25	X (03)/EU Report	X	X	1.50	1.50	3.50	3.75	3.00	3.00	1.00
United Kingdom	16.50	X (03)/EU Report	X	X	1.50	2.00	3.75	4.00	3.00	1.50	0.75
United States	16.25	X (02/03)	X	X	1.50	1.50	2.75	4.50	3.00	3.00	0.00
Finland	15.50	X (03)/EU Report	X	X	1.50	1.50	3.50	3.25	3.00	2.50	0.25
Sweden	15.25	X (03/04)/ EU Report	X	X	1.50	2.00	3.75	2.75	3.50	1.50	0.25
Italy	14.50	X (03)/EU Report	X	X	1.50	1.50	2.75	4.50	3.00	1.00	0.25
Czech Republic	14.25	X (03)/EU Report	X	X	1.50	1.50	2.75	2.75	3.00	2.00	0.75

Denmark	14.00	X (03)/EU Report	X		X	1.50	1.50	1.50	1.50	2.75	3.25	3.00	2.00	0.00
Poland	13.75	EU Report	X	X	X	1.50	1.50	1.00	1.75	4.00	4.00	4.00	1.50	0.00
Slovakia	12.50	EU Report	X	X	X	1.50	1.50	1.00	2.00	3.25	3.00	3.00	1.50	0.25
Spain	12.25	X (03)/EU Report	X	X	X	1.50	1.50	1.00	2.00	3.00	3.00	3.00	1.50	0.25
France	12.00	X (01)/EU Report	X	X	X	1.50	1.50	1.50	2.00	2.25	3.00	3.00	1.50	0.25
Norway	11.75	X (03/04)	X	X	X	1.50	1.50	1.50	2.50	3.25	3.00	3.00	0.00	0.00
Canada	11.50	X (02)	X	X	X	1.50	1.50	1.50	2.25	3.25	3.00	3.00	0.00	0.00
Portugal	11.50	X (02)/EU Report	X	X	X	1.50	1.50	1.00	1.75	2.75	3.00	3.00	1.50	0.00
Australia	11.25	X (01/02)	X	X	X	1.50	1.50	1.50	2.00	3.25	3.00	3.00	0.00	0.00
Austria	10.75	EU Report	X	X	X	1.50	1.50	1.00	2.00	1.50	3.00	3.00	1.50	0.25
Switzerland	10.75	X (03)	X	X	X	1.50	1.50	1.50	1.50	3.25	3.00	3.00	0.00	0.00
Croatia	10.25	-	X	X	X	1.50	1.50	1.00	1.50	3.25	3.00	3.00	0.00	0.00
Argentina	10.00	-	X	X	X	1.50	1.50	1.00	1.50	3.00	3.00	3.00	0.00	0.00
Bosnia and Herzegovina	9.75	-	X	-	X	1.50	1.50	0.50	1.50	3.25	3.00	3.00	0.00	0.00
Japan	9.75	-	X	X	X	1.50	1.50	1.00	1.50	2.75	3.00	3.00	0.00	0.00
South Korea	9.75	-	X	X	X	1.50	1.50	1.00	1.50	2.75	3.00	3.00	0.00	0.00
Thailand	9.75	-	X	X	X	1.50	1.50	1.00	1.50	2.75	3.00	3.00	0.00	0.00
Turkey	9.75	-	X	X	X	1.50	1.50	1.00	1.50	2.75	3.00	3.00	0.00	0.00

Belgium	9.00	EU Report	X	X	1.50	1.00	1.50	1.75	3.00	0.00	0.25
India	9.00	-	X	-	1.50	0.50	1.50	2.50	3.00	0.00	0.00
Mexico	8.75	-	X	X	1.50	1.00	1.50	1.75	3.00	0.00	0.00
Pakistan	8.75	-	X	X	1.50	0.50	1.50	2.75	2.50	0.00	0.00
Brazil	8.50	-	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
Cyprus	8.50	-	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
China	7.50	-	X	-	1.50	0.50	1.00	1.50	3.00	0.00	0.00
Hungary	6.00	-	X	X	1.50	1.00	0.50	1.00	2.00	0.00	0.00
Singapore	6.00	-	X	X	1.50	1.00	0.50	1.00	2.00	0.00	0.00
Taiwan	6.00	-	X	-	1.50	0.50	1.25	0.75	2.00	0.00	0.00
Russian Federation	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
Saudi Arabia	5.50	-	X	-	1.50	0.50	0.75	0.75	2.00	0.00	0.00
Bulgaria	4.25	-	X	X	1.50	0.50	0.25	0.50	1.50	0.00	0.00
Iran	4.25	-	X	-	1.50	0.00	0.50	0.25	2.00	0.00	0.00
Israel	4.25	-	-	X	1.50	0.50	0.25	0.50	1.50	0.00	0.00
Ukraine	4.25	-	-	X	1.50	0.50	0.25	0.50	1.50	0.00	0.00
South Africa	4.00	-	-	X	1.50	0.50	0.75	0.25	1.00	0.00	0.00
Romania	2.00	-	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
Serbia and Montenegro	1.50	-	-	X	1.50	0.00	0.00	0.00	0.00	0.00	0.00
North Korea	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
United Arab Emirates	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Annexe 9. Small Arms Trade Transparency Barometer, covering 2004 activities

	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
France	17.25	X (02/03)/ EU Report	X	X	1.50	1.50	2.75	3.75	3.50	4.00	0.25
Germany	16.75	X (04)/EU Report	X	X	1.50	1.50	3.50	3.25	3.00	3.00	1.00
United States	16.75	X (03/04)	X	X	1.50	1.50	2.75	4.50	3.00	3.50	0.00
Netherlands	16.25	X (04)/EU Report	X	X	1.50	2.00	3.25	4.50	3.50	1.50	0.00
Finland	15.00	X (04)/EU Report	X	X	1.50	1.50	3.25	3.00	3.00	2.50	0.25
Sweden	14.75	X (04/05)/ EU Report	X	X	1.50	2.00	3.75	2.25	3.50	1.50	0.25
Czech Republic	14.25	X (04)/EU Report	X	X	1.50	1.50	2.25	3.75	3.00	2.00	0.25
Belgium	14.00	X (04)/EU Report	X	X	1.50	2.00	2.75	2.50	3.00	2.00	0.25

Denmark	14.00	X (04)/EU Report	X		1.50	1.50	1.50	2.75	3.25	3.00	2.00	0.00
Italy	14.00	X (04)/EU Report	X	X	1.50	1.50	2.75	4.00	3.00	3.00	1.00	0.25
United Kingdom	13.75	X (04)/EU Report	X	X	1.50	2.00	3.25	2.75	3.00	3.00	1.00	0.25
Portugal	13.00	X (03)/EU Report	X	X	1.50	1.50	3.00	2.50	3.00	3.00	1.50	0.00
Spain	12.50	X (04)/EU Report	X	X	1.50	1.50	2.00	2.75	3.00	3.00	1.50	0.25
Poland	12.00	EU Report	X	X	1.50	1.00	1.75	3.25	3.00	3.00	1.50	0.00
Slovakia	12.00	EU Report	X	X	1.50	1.00	1.75	3.25	3.00	3.00	1.50	0.00
Austria	11.75	X (04)/EU Report	X	X	1.50	1.50	2.50	1.50	3.00	3.00	1.50	0.25
Norway	11.75	X (04/05)	X	X	1.50	1.50	2.50	3.25	3.00	3.00	0.00	0.00
Bosnia and Herzegovina	11.25	X (04)	X	X	1.50	0.00	2.25	3.50	3.00	3.00	1.00	0.00
Hungary	11.00	EU Report	X	X	1.50	1.00	1.75	2.00	3.00	3.00	1.50	0.25
Switzerland	11.00	X (04)	X	X	1.50	1.50	1.75	3.25	3.00	3.00	0.00	0.00
Canada	10.25	-	X	X	1.50	1.00	1.50	3.25	3.00	3.00	0.00	0.00
Australia	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	3.00	0.00	0.00
Croatia	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	3.00	0.00	0.00
Turkey	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	3.00	0.00	0.00
Cyprus	9.75	EU Report	X	X	1.50	1.00	1.25	2.50	3.00	3.00	0.50	0.00

South Korea	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
Mexico	9.50	-	X	X	1.50	1.00	1.50	2.50	3.00	0.00	0.00
Serbia and Montenegro	9.25	-	-	X	1.50	0.50	1.50	2.75	3.00	0.00	0.00
Argentina	9.00	-	X	X	1.50	1.00	1.50	2.00	3.00	0.00	0.00
India	9.00	-	X	X (03)	1.50	0.50	1.50	3.00	2.50	0.00	0.00
Iran	9.00	-	X	-	1.50	0.50	1.50	2.50	3.00	0.00	0.00
Japan	9.00	-	X	X	1.50	1.00	1.25	2.25	3.00	0.00	0.00
Thailand	8.75	-	X	X	1.50	1.00	1.50	1.75	3.00	0.00	0.00
Brazil	8.00	-	X	X	1.50	1.00	1.00	2.00	2.50	0.00	0.00
Pakistan	7.75	-	X	X	1.50	0.50	1.50	1.75	2.50	0.00	0.00
China	7.50	-	X	-	1.50	0.50	1.00	1.50	3.00	0.00	0.00
Romania	6.25	X (02)	-	X	1.50	1.00	2.75	0.50	0.50	0.00	0.00
Taiwan	6.25	-	X	-	1.50	0.50	1.00	1.25	2.00	0.00	0.00
Singapore	6.00	-	X	X	1.50	1.00	0.50	1.00	2.00	0.00	0.00
Russian Federation	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
Saudi Arabia	5.50	-	X	-	1.50	0.50	0.50	1.00	2.00	0.00	0.00
Israel	5.00	-	X	X	1.50	0.50	0.50	1.00	1.50	0.00	0.00
Bulgaria	4.25	-	-	X	1.50	0.50	0.25	0.50	1.50	0.00	0.00
South Africa	2.25	-	-	X	1.50	0.50	0.25	0.00	0.00	0.00	0.00
Ukraine	2.00	-	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
North Korea	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
United Arab Emirates	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Annexe 10. Small Arms Trade Transparency Barometer, covering 2005 activities

	Total (25 max.)	Export report (year covered)	UN Com- trade	UN Register	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
Germany	17.25	X (05)/EU Report	X	X	1.50	1.50	3.00	3.75	3.50	3.00	1.00
Norway	17.00	X (05/06)	X	X	1.50	1.50	4.00	4.50	3.00	2.50	0.00
Netherlands	16.50	X (05)/EU Report	X	X	1.50	2.00	3.25	4.75	3.50	1.50	0.00
United States	16.50	X (04/05)	X	X	1.50	1.50	2.75	4.75	3.00	3.00	0.00
Sweden	16.00	X (05/06/ EU Report	X	X	1.50	2.00	4.00	3.00	3.00	1.50	1.00
United Kingdom	16.00	X (05)/EU Report	X	X	1.50	2.00	3.75	3.50	3.00	1.50	0.75
Denmark	15.50	X (05)/EU Report	X	X	1.50	1.50	3.25	3.25	3.00	2.00	1.00
Italy	15.25	X (05)/EU Report	X	X	1.50	1.50	3.00	5.00	3.00	1.00	0.25

Finland	14.75	X (05)/EU Report	X		X	1.50	1.50	1.50	3.25	2.75	3.00	2.50	0.25
Belgium	14.50	X (05)/EU Report	X		X	1.50	2.00	2.75	2.75	3.00	3.00	2.00	0.25
Czech Republic	14.25	X (05)/EU Report	X		X	1.50	1.50	2.25	2.25	3.75	3.00	2.00	0.25
France	13.75	X (05)/EU Report	X		X	1.50	1.00	2.75	2.75	3.25	3.00	2.00	0.25
Poland	13.25	EU Report	X		X	1.50	1.00	2.00	2.00	3.00	4.00	1.50	0.25
Portugal	13.25	X (04)/EU Report	X		X	1.50	1.50	3.25	3.25	2.25	3.00	1.50	0.25
Slovakia	13.25	X (04/05) EU Report	X		X	1.50	1.50	2.25	2.25	3.00	3.00	2.00	0.00
Spain	13.25	X (04)/EU Report	X		X	1.50	1.50	2.25	2.25	3.25	3.00	1.50	0.25
Austria	11.50	X (05)/EU Report	X		X	1.50	1.50	2.25	2.25	1.50	3.00	1.50	0.25
Australia	11.25	X (02-04)	X		X	1.50	1.50	2.00	2.00	3.25	3.00	0.00	0.00
Canada	11.25	-	X		X	1.50	1.00	1.50	1.50	3.25	4.00	0.00	0.00
Bosnia and Herzegovina	11.00	X (05)	X		X	1.50	0.50	2.25	2.25	2.75	3.00	1.00	0.00
Switzerland	11.00	X (05)	X		X	1.50	1.50	1.75	1.75	3.25	3.00	0.00	0.00
Croatia	10.00	-	X		X	1.50	1.00	1.50	1.50	3.00	3.00	0.00	0.00
South Korea	10.00	-	X		X	1.50	1.00	1.50	1.50	3.00	3.00	0.00	0.00
Mexico	9.75	-	X		X	1.50	1.00	1.50	1.50	2.75	3.00	0.00	0.00
Pakistan	9.25	-	X		X	1.50	1.00	1.50	1.50	2.25	3.00	0.00	0.00

Serbia	9.25	-	X	-	1.50	0.00	1.50	3.25	3.00	0.00	0.00
Thailand	9.25	-	X	X (04)	1.50	0.50	1.50	2.75	3.00	0.00	0.00
Turkey	9.25	-	X	X	1.50	1.00	1.50	2.25	3.00	0.00	0.00
Argentina	9.00	-	X	X	1.50	1.00	1.50	2.00	3.00	0.00	0.00
Japan	9.00	-	X	X	1.50	1.00	1.25	2.25	3.00	0.00	0.00
India	8.75	-	X	X	1.50	1.00	1.50	2.25	2.50	0.00	0.00
Brazil	8.50	-	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
Cyprus	8.50	EU Report	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
Hungary	8.50	EU Report	X	X	1.50	1.00	1.25	1.00	2.00	1.50	0.25
United Arab Emirates	8.50	-	-	-	1.50	0.00	1.50	2.50	3.00	0.00	0.00
China	7.50	-	X	-	1.50	0.50	1.00	1.50	3.00	0.00	0.00
Saudi Arabia	7.50	-	X	-	1.50	0.50	1.50	2.00	2.00	0.00	0.00
Ukraine	7.50	X (05)	-	X	1.50	1.00	1.00	2.00	2.00	0.00	0.00
Romania	6.75	X (02)	-	X	1.50	1.50	2.75	0.50	0.50	0.00	0.00
Israel	6.00	-	X	X	1.50	0.50	0.50	1.50	2.00	0.00	0.00
Singapore	6.00	-	X	X	1.50	1.00	0.50	1.00	2.00	0.00	0.00
Taiwan	6.00	-	X	-	1.50	0.50	1.00	1.00	2.00	0.00	0.00
Russian Federation	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
Bulgaria	2.00	-	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
South Africa	2.00	-	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
Iran	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
North Korea	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Annexe 11. Small Arms Trade Transparency Barometer, covering 2006 activities

	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
United Kingdom	18.75	X (06)/EU Report	X	X	1.50	2.00	3.75	5.25	3.00	2.50	0.75
Germany	17.25	X (06)/EU Report	X	X	1.50	1.50	3.00	3.75	3.00	3.50	1.00
Netherlands	17.00	X (06)/EU Report	X	X	1.50	2.00	3.50	4.50	3.00	1.50	1.00
Denmark	16.75	X (06)/EU Report	X	X	1.50	1.50	3.50	4.25	3.00	2.00	1.00
Serbia	16.50	X (05/06)	X	X	1.50	0.50	3.25	3.75	3.50	2.50	1.50
United States	16.50	X (05/06)	X	X	1.50	1.50	2.75	4.75	3.00	3.00	0.00
Norway	15.50	X (06/07)	X	X	1.50	1.50	3.75	3.25	3.00	2.50	0.00
Slovakia	15.50	X (06)/EU Report	X	X	1.50	1.50	2.25	4.25	3.00	2.00	1.00
Romania	15.25	X (03-05)	X	X	1.50	1.50	2.25	3.50	3.00	1.50	2.00

Finland	15.00	X (06)/EU Report	X		1.50	1.50	3.00	3.00	3.00	2.50	0.25
Italy	14.75	X (06)/EU Report	X		1.50	1.50	3.00	4.50	3.00	1.00	0.25
Sweden	14.50	X (06/07)/EU Report	X		1.50	2.00	2.75	3.75	3.00	1.50	0.00
Belgium	14.25	X (06)/EU Report	X		1.50	2.00	2.50	3.00	3.00	2.00	0.25
Portugal	14.25	X (05)/EU Report	X		1.50	1.50	3.25	3.25	3.00	1.50	0.25
France	14.00	X (06)/EU Report	X		1.50	1.50	3.00	3.75	3.00	1.00	0.25
Switzerland	14.00	X (06)	X		1.50	1.50	1.75	3.50	3.00	2.50	0.25
Czech Republic	13.75	X (06)/EU Report	X		1.50	1.50	2.25	3.50	3.00	1.50	0.50
Poland	13.75	EU Report	X		1.50	1.00	2.00	3.50	4.00	1.50	0.25
Spain	13.75	X (06)/EU Report	X		1.50	1.50	2.25	3.25	3.00	2.00	0.25
Bosnia and Herzegovina	13.50	X (06)	X		1.50	1.00	3.00	2.50	3.00	1.50	1.00
Hungary	13.00	EU Report	X		1.50	1.00	2.75	3.75	2.50	1.50	0.00
Austria	12.00	X (06)/EU Report	X		1.50	1.50	2.25	1.50	3.00	2.00	0.25
Canada	12.00	X (03-05)	X		1.50	1.50	2.25	3.75	3.00	0.00	0.00
Australia	11.25	X (02-04)	X		1.50	1.50	2.00	3.25	3.00	0.00	0.00
Cyprus	10.75	EU Report	X		1.50	1.00	1.25	3.00	3.00	1.00	0.00
Croatia	10.25	-	X		1.50	1.00	1.50	3.25	3.00	0.00	0.00

Montenegro	9.75	X (06)	-	-	1.50	0.50	1.25	1.50	0.00	3.00	2.00
South Korea	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
Mexico	9.50	-	X	X	1.50	1.00	1.50	2.50	3.00	0.00	0.00
Turkey	9.50	-	X	X	1.50	1.00	1.25	2.25	3.50	0.00	0.00
Argentina	9.25	-	X	X (05)	1.50	0.50	1.50	2.75	3.00	0.00	0.00
India	9.25	-	X	X	1.50	1.00	1.50	2.75	2.50	0.00	0.00
Pakistan	9.25	-	X	X	1.50	1.00	1.50	2.25	3.00	0.00	0.00
Brazil	9.00	-	X	X	1.50	1.00	1.00	2.50	3.00	0.00	0.00
Japan	8.50	-	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
Thailand	8.25	-	X	-	1.50	0.50	1.50	1.75	3.00	0.00	0.00
United Arab Emirates	8.00	-	-	-	1.00	0.00	1.50	2.50	3.00	0.00	0.00
China	7.50	-	X	X	1.50	0.50	1.00	1.50	3.00	0.00	0.00
Ukraine	7.50	X (06)	-	X	1.50	1.00	1.00	2.00	2.00	0.00	0.00
Saudi Arabia	7.25	-	X	-	1.50	0.50	1.00	1.75	2.50	0.00	0.00
Singapore	6.50	-	X	X	1.50	1.00	1.00	1.00	2.00	0.00	0.00
Bulgaria	6.25	X (05/06)	-	X	1.50	1.00	1.50	0.00	0.00	1.50	0.75
Taiwan	6.00	-	X	-	1.50	0.50	1.00	1.00	2.00	0.00	0.00
Israel	5.75	-	X	X	1.50	1.00	0.50	0.75	2.00	0.00	0.00
Russian Federation	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
South Africa	2.00	X (03-04)	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
Iran	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
North Korea	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Annexe 12. Small Arms Trade Transparency Barometer, covering 2007 activities

During the process of the retroactive scoring, it was realized that the Transparency Barometer 2009, published in *Small Arms Survey 2009: Shadows of War*, needed to be adjusted in some cases. This was done to ensure consistency and coherence with the scoring over the past seven years, as it was realized that some country-specific issues were not correctly addressed.

Overall, the changes were generally positive. Many countries improved their total scores, and Denmark and Sweden made it into the top ten countries. As a result, the average scores of the Transparency Barometer 2009 increased by 0.03 points from 11.29 to 11.32. Nevertheless, most of the countries reviewed received less than half the maximum number of points.

	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
Switzerland	21.00	X (07)	X	X	1.50	1.50	4.00	5.25	3.00	4.00	1.75
United Kingdom	18.50	X (07)/EU Report	X	X	1.50	2.00	4.00	4.75	3.00	2.50	0.75
Germany	18.00	X (06)/EU Report	X	X	1.50	1.50	3.50	4.00	3.00	3.50	1.00
Norway	16.75	X (07/08)	X	X	1.50	1.50	4.25	3.25	3.00	2.50	0.75

Romania ^a	16.75	X (06/07)/ EU Report	X (06)	X	1.50	1.00	2.50	4.75	3.00	3.00	1.00
Netherlands	16.50	X (07)/EU Report	X	X	1.50	2.00	3.50	3.75	3.00	1.50	1.25
Serbia	16.50	X (05/06)	X	X	1.50	0.50	3.25	3.75	3.50	2.50	1.50
Denmark ^b	16.25	X (06)/EU Report	X	X	1.50	1.50	3.25	4.00	3.00	2.00	1.00
United States ^c	16.25	X (06/07)	X	X	1.50	1.50	2.75	4.50	3.00	3.00	0.00
Sweden ^d	16.00	X (07/08)/ EU Report	X	X	1.50	2.00	3.50	3.75	3.00	2.00	0.25
Italy ^e	15.50	X (07)/EU Report	X	X	1.50	1.50	3.50	4.25	3.00	1.50	0.25
Finland ^f	15.00	X (06)/EU Report	X	X	1.50	1.50	3.25	3.50	3.00	2.00	0.25
Spain ^g	15.00	X (07)/EU Report	X	X	1.50	1.50	2.50	3.25	4.00	2.00	0.25
France	14.75	X (07)/EU Report	X	X	1.50	1.50	3.75	3.25	3.00	1.50	0.25
Slovakia ^h	14.75	X (07)/EU Report	X	X	1.50	1.50	2.50	2.75	3.00	2.00	1.50
Belgium ⁱ	14.50	X (07)/EU Report	X	X	1.50	2.00	2.50	3.25	3.00	2.00	0.25
Poland ^j	13.25	EU Report	X	X	1.50	1.00	2.25	3.75	3.00	1.50	0.25
Bosnia and Herzegovina	13.00	X (06)	X	X	1.50	1.00	2.50	2.50	3.00	1.50	1.00
Czech Republic ^k	13.00	X (07)/EU Report	X	X	1.50	1.00	2.25	3.50	3.00	1.50	0.25
Portugal	12.75	X (06)/EU Report	X	X	1.50	1.50	2.75	2.25	3.00	1.50	0.25

Canada ¹	12.25	X (03–05)	X		1.50	1.50	1.50	2.25	4.00	3.00	0.00	0.00
Austria	12.00	X (07)/EU Report	X		1.50	1.50	1.50	2.25	1.50	3.00	2.00	0.25
Croatia ^m	10.75	-	X		1.50	1.50	1.00	1.50	3.25	3.50	0.00	0.00
Montenegro	10.50	X (07)	-		1.50	1.50	0.50	2.00	2.00	1.50	3.00	0.00
Australia	10.25	-	X		1.50	1.50	1.00	1.50	3.25	3.00	0.00	0.00
Cyprus	10.25	EU Report	X		1.50	1.50	1.00	1.50	2.25	3.00	1.00	0.00
Hungary	10.25	EU Report	X		1.50	1.50	1.50	1.75	1.75	2.00	1.50	0.25
Pakistan	10.00	-	X		1.50	1.50	1.00	1.50	3.00	3.00	0.00	0.00
India	9.75	-	X		1.50	1.50	1.00	1.50	2.75	3.00	0.00	0.00
Mexico ^o	9.75	-	X		1.50	1.50	1.00	1.50	2.75	3.00	0.00	0.00
South Korea	9.75	-	X		1.50	1.50	1.00	1.50	2.75	3.00	0.00	0.00
Thailand ^o	9.75	-	X		1.50	1.50	0.50	1.50	3.25	3.00	0.00	0.00
Japan	9.50	-	X		1.50	1.50	1.00	1.25	2.75	3.00	0.00	0.00
Turkey	9.50	-	X		1.50	1.50	1.00	1.25	2.75	3.00	0.00	0.00
United Arab Emirates	9.25	-	X		1.50	1.50	0.00	1.50	3.25	3.00	0.00	0.00
Brazil	9.00	-	X		1.50	1.50	1.00	1.00	2.50	3.00	0.00	0.00
Argentina	8.75	-	X		1.50	1.50	0.50	1.50	2.25	3.00	0.00	0.00
Saudi Arabia	8.75	-	X		1.50	1.50	0.50	1.25	2.50	3.00	0.00	0.00
Ukraine	8.00	X (07)	-		1.50	1.50	1.50	1.00	2.00	2.00	0.00	0.00
Bulgaria	7.50	X (07)/EU Report	-		1.50	1.50	1.50	1.50	0.00	1.50	1.50	0.00
China	7.50	-	X		1.50	1.50	0.50	1.00	1.50	3.00	0.00	0.00
Singapore	6.50	-	X		1.50	1.50	1.00	1.00	1.00	2.00	0.00	0.00
Taiwan	6.25	-	X		1.50	1.50	0.50	1.00	1.25	2.00	0.00	0.00

Israel	6.00	-	X	X	1.50	0.50	0.50	1.50	2.00	0.00	0.00
Russian Federation	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
South Africa	2.00	X (03-04)	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
Iran	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
North Korea	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00

^a Romania was not initially granted 0.5 points for quarterly reporting (question 2.4) and 0.25 each for questions 4.1 and 4.2. Its score increases therefore by 1.0 point and it now ranks fourth, together with Norway.

^b Points were not attributed for question 5.4, while scores were accidentally awarded for question 3.1. Denmark's total score therefore increases by 0.5 points, ranking it together with the United States at a total of 16.25 points.

^c The United States was originally awarded 0.5 points for information on aggregated *licences granted and licences refused*. It should have received 0.25 points, however, because it did not report on *licences refused*. Its total score therefore decreases by 0.25 points and is now 16.25.

^d The English translation of the Swedish national report does not mention monthly reporting of its arms exports; however, the Swedish-language report does. Sweden therefore received an additional half point for reporting under criterion 2.2. Its total points are therefore 16.00, making it one of the ten most transparent countries.

^e The initial scoring omitted 0.5 points to Italy for question 4.13, after a nil report was given for question 4.12. Italy's score is now 15.50 points.

^f Initially only partial points were awarded for Finland's information on the source of transactions for question 3.1. Finland should have received full points and therefore now scores 15.00 points, together with Spain.

^g Spain was not awarded 0.25 points under *clarity* and the summing up of the parameter *comprehensiveness* was incorrect. Spain's new score is therefore 15.00 points.

^h Slovakia was accidentally awarded 0.5 points for question 3.1 on the source of transactions and for question 4.11 on the origin and destination of re-exports, which in reality it did not clearly identify. Therefore, it should only get partial points and its new score is 14.75.

ⁱ All three regions of Belgium (Brussels, Flanders, and Wallonia) and the Belgian police and military transfers reports are published on a national basis. Although this generally is an advantage for the country per se, the scoring is very challenging as a result. For questions 4.9, 4.12, and 4.13, Brussels gave a nil report, although Flanders reported partially on this criterion, while Wallonia did not report on it at all. This led to some confusion in Belgium's scoring and not all points were awarded that should have been. Belgium now scores 1.25 points higher than in the edition published in the yearbook and ranks 14th with 14.50 points.

^j Poland gives information under the UN Register that its reports are drawn up by the Ministry of Defence. Therefore it should be granted an additional quarter point, increasing its score to 13.25 points.

^k For reporting to the UN Register in category 4.1, the Czech Republic was not originally awarded 0.25 points. Its score therefore increases from 12.75 to 13.00.

^l The analysis of Canada's UN Comtrade reporting did not capture reports on transfers submitted to UN Comtrade. Canada therefore receives an additional half point, increasing its score to 12.25 points.

^m For reporting on category 930690 to UN Comtrade, Croatia was awarded 0.5 points instead of the current scoring of 0.25. Its new score is therefore 10.75 instead of 11.00 points.

ⁿ Mexico was not originally granted points in category 2.4 for reporting to an additional tool and the initial scoring failed to award points for its reporting on categories 930630 and 930690. Mexico therefore received one additional point and increases its score to 9.75 points, and it is now ranked 29th instead of 34th.

^o Thailand was originally granted 0.5 points instead of the current 0.25 for reporting on category 930690 under UN Comtrade. Its score therefore decreases and is now 9.75 points.

Annexe 13. Small Arms Trade Transparency Barometer, covering 2008 activities

	Total (25 max.)	Export report (year covered)	UN Comtrade	UN Register	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6.5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
Switzerland	21.00	X (08)	X	X	1.50	1.50	4.00	5.25	3.00	4.00	1.75
United Kingdom	18.50	X (08)/EU Report	X	X	1.50	2.00	4.00	4.75	3.00	2.50	0.75
Germany	17.75	X (07)/EU Report	X	X	1.50	1.50	3.25	3.50	3.00	3.00	2.00
Netherlands	17.00	X (08)/EU Report	X	X	1.50	2.00	3.00	4.50	3.00	2.00	1.00
Serbia	17.00	X (07)	X	X (07)	1.50	1.00	3.25	3.25	3.50	2.50	2.00
Denmark	16.50	X (07/08)/ EU Report	X	X	1.50	1.50	3.25	4.25	3.00	2.00	1.00
Norway	16.50	X (08/09)	X	X	1.50	1.50	4.00	4.00	3.00	2.50	0.00
Romania	16.50	X (08)/EU Report	-	X	1.50	1.50	2.50	3.00	3.00	3.00	2.00
Spain	16.50	X (08)/EU Report	X	X	1.50	1.50	2.50	3.75	4.00	2.00	1.25

Sweden	16.50	X (08/09)/ EU Report	X			1.50	2.00	3.50	4.25	3.00	2.00	0.25
United States	16.25	X (07/08)	X			1.50	1.50	2.75	4.50	3.00	3.00	0.00
Italy	15.75	X (08)/EU Report	X			1.50	1.50	3.50	4.50	3.00	1.50	0.25
Belgium	14.75	X (07)/EU Report	X			1.50	2.00	2.50	3.50	3.00	2.00	0.25
France	14.50	X (08)/EU Report	X			1.50	1.50	4.00	2.75	3.00	1.50	0.25
Finland	14.25	X (08)/EU Report	X			1.50	1.50	3.00	3.25	3.00	2.00	0.00
Poland	14.00	EU Report	X			1.50	1.00	2.00	3.75	4.00	1.50	0.25
Czech Republic	13.50	X (08)/EU Report	X			1.50	1.50	2.25	3.50	3.00	1.50	0.25
Montenegro	13.25	X (08)	-			1.50	1.00	2.75	3.50	1.50	3.00	0.00
Portugal	13.25	X (06)/EU Report	X			1.50	1.50	2.75	2.25	3.00	2.00	0.25
Bosnia and Herzegovina	13.00	X (07)	X (07)			1.50	0.50	2.50	2.50	3.00	1.50	1.50
Slovakia	12.50	X (08)/EU Report	X			1.50	1.50	2.00	2.25	2.00	2.00	1.25
Canada	12.25	X (06)	X			1.50	1.50	2.25	4.00	3.00	0.00	0.00
Austria	12.00	X (07)/EU Report	X			1.50	1.50	2.25	1.50	3.00	2.00	0.25
Croatia	10.75	-	X			1.50	1.00	1.75	3.50	3.00	0.00	0.00
Bulgaria	10.50	X (07)/EU Report	-			1.50	1.00	1.75	1.75	3.00	1.50	0.00

Australia	10.25	-	X	X	1.50	1.00	1.50	3.25	3.00	0.00	0.00
Hungary	10.25	EU Report	X	X	1.50	1.00	1.00	2.75	2.00	2.00	0.00
India	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
Israel	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
South Korea	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
Thailand	9.75	-	X	-	1.50	0.50	1.50	3.25	3.00	0.00	0.00
Turkey	9.75	-	X	X	1.50	1.00	1.50	2.75	3.00	0.00	0.00
Mexico	9.25	-	X	X	1.50	1.00	1.50	2.25	3.00	0.00	0.00
Argentina	9.00	-	X	X	1.50	0.50	1.50	2.50	3.00	0.00	0.00
Brazil	9.00	-	X	X	1.50	1.00	1.00	2.50	3.00	0.00	0.00
Cyprus	9.00	EU Report	X	X	1.50	1.00	1.25	2.25	3.00	0.00	0.00
Japan	9.00	-	X	X	1.50	1.00	1.25	2.25	3.00	0.00	0.00
United Arab Emirates	9.00	-	X	-	1.50	0.00	1.50	3.00	3.00	0.00	0.00
Pakistan	8.50	-	X	X	1.50	1.00	1.25	2.25	2.50	0.00	0.00
China	8.00	-	X	X	1.50	1.00	1.00	1.50	3.00	0.00	0.00
Ukraine	8.00	X (08)	-	X	1.50	1.50	1.00	2.00	2.00	0.00	0.00
Saudi Arabia	7.25	-	X (07)	-	0.50	0.00	1.25	2.50	3.00	0.00	0.00
Singapore	6.50	-	X	X	1.50	1.00	1.00	1.00	2.00	0.00	0.00
Taiwan	6.25	-	X	-	1.50	0.50	1.00	1.25	2.00	0.00	0.00
Russian Federation	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
South Africa	2.00	X (08)	-	X	1.50	0.50	0.00	0.00	0.00	0.00	0.00
Iran	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
North Korea	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Endnotes

- 1 This can include exports of newly produced goods, transfers, temporary exports, re-exports, and selling of stock/surplus.
- 2 If countries did not report on their transfer activities in time to be included in a particular edition of the Transparency Barometer, then information from earlier reports was used. The period covered by the reports of individual countries is given in Annexes 6–13.
- 3 Of the 12 countries claiming, or believed, to have exported USD 100 million or more of small arms and light weapons, including their parts, accessories and ammunition, during at least one calendar year between 2001 and 2008.
- 4 For more information, see <http://www.osce.org/documents/fsc/2000/11/1873_en.pdf>.
- 5 For an in-depth discussion, see Holtom (2008) and Haug et al. (2002).
- 6 Some authors argue that not much change in export behaviour is observed with increased transparency; see, for example, Holm (2006).
- 7 The definition of small arms and light weapons used in this Occasional Paper covers both military-style weapons and commercial firearms. It follows the guidelines set out in the 1997 *Report of the Panel of Governmental Experts on Small Arms* (UN, 1997). *Small arms* include revolvers and self-loading pistols, rifles and carbines, assault rifles, sub-machine guns, and light machine guns; *light weapons* include heavy machine guns, hand-held under-barrel and mounted grenade launchers, portable anti-tank and anti-aircraft guns, recoilless rifles, portable launchers of anti-tank and anti-aircraft missile systems, and mortars of 120 mm calibre or below (Batchelor, 2001, p. 8; Berman and Leff, 2008, p. 10).
- 8 This amount has not been adjusted for inflation over the years.
- 9 The sample of the countries used in the Transparency Barometer is influenced by UN customs data. It is established through calculations from the NISAT Database on Authorized Small Arms Transfers (NISAT 2005; 2006; 2007; 2008; 2009). For the 2010 edition of the Transparency Barometer, in addition to the NISAT Database, national arms export reports were consulted to identify countries reaching the USD 10 million threshold. This threshold concerns only authorized transfers.
- 10 Annex 2 gives the countries analysed in each edition of the Transparency Barometer from 2004 to 2010.
- 11 The selection of countries included in the Barometer is constantly reviewed. Data gathering for some countries is particularly difficult. If an accurate assessment of all countries' exports of small arms and light weapons, their parts, accessories and ammunition could be made, several more non- or less-transparent countries might be included in the Transparency Barometer. Examples might include Angola, Belarus, or Syria. Such additional countries would decrease the average score for transparency identified in this paper.
- 12 Work on the retroactive scoring for each country back to its 2001 activities began in the spring of 2009.
- 13 The parameter *access* was renamed and is now called *access and consistency*.

- 14 For more information on the seven parameters, see Annexes 1 and 3.
- 15 See <http://disarmament.un.org/UN_REGISTER.NSF>.
- 16 This might be an example of future changes to the Transparency Barometer.
- 17 The 2007 Transparency Barometer, for example, reviews the most recent country report published between 1 January 2007 and 31 December 2008. Additionally, the same report can be evaluated for a maximum of two consecutive years.
- 18 For an in-depth discussion, see Haug et al. (2002, pp. 22–24).
- 19 When reporting on 2001–05 data, Serbia and Montenegro is analysed as one country, therefore 47 countries are looked at, while for 2006–08 data, Serbia and Montenegro had split into two separate countries and the number of countries analysed is therefore 48.
- 20 Under UN Comtrade, states can report on quantities in units and by weight.
- 21 The categories are (1) battle tanks, (2) armoured combat vehicles, (3) large-calibre artillery systems, (4) combat aircraft, (5) attack helicopters, (6) warships, and (7) missiles or missile launchers.
- 22 States are also invited to submit information on their national holdings and procurements from domestic production of major conventional weapons.
- 23 To access the standardized format, see <<http://disarmament.un.org/cab/register.html#item1>>.
- 24 Some states reported even earlier on small arms transfers, such as Jamaica on its imports for 1992, 1993, and 1994.
- 25 Points for reporting to the UN Register were awarded from 2003 onwards. For question 2.3, ‘Did the country use the same tool to report on activities in Year-2, Year-1, and Year?’, we awarded full points for the analysis of 2003 and 2004 data.
- 26 The EU Common Military List categorizes the equipment covered by the EU Code of Conduct; see <<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2009:065:0001:0034:EN:PDF>>.
- 27 See <<http://www.wassenaar.org/index.html>>.
- 28 Reporting to the EU Report was omitted in Figure 1 because it is a regional reporting mechanism and cannot achieve universality, although all EU member states submitted data on their activities.
- 29 Poland’s detailed reporting on end users to the UN Register allowed it to get full points.
- 30 The United States dropped out of the top ten after being second for reporting on its 2001, 2002, and 2004 activities. Its score has remained fairly static, while those of some other countries have improved considerably.
- 31 As of 2003 onwards, except for Romania for its 2007 activities to UN Comtrade and Serbia for its 2008 activities to the UN Register.
- 32 Top exporters are those countries with annual exports of at least USD 100 million worth of small arms, light weapons, parts, accessories, and ammunition for at least one calendar year between 2001 and 2008.
- 33 There is evidence that Russian Federation small arms and light weapons producers are not allowed to reveal information relating to the production or export of military small arms as it is classified as a ‘state secret’ (Holtom, 2007).
- 34 **Africa:** South Africa; **Americas:** Argentina, Brazil, Canada, Mexico, United States; **Asia and the Pacific:** Australia, China, India, Japan, North Korea, Pakistan, Singapore, South Korea, Taiwan, Thailand; **Europe:** Austria, Belgium, Bosnia and Herzegovina, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Finland, France, Germany, Hungary, Italy, Montenegro, Netherlands, Norway, Poland, Portugal, Romania, Russian Federation, Serbia, Slovakia,

Spain, Sweden, Switzerland, Turkey, Ukraine, United Kingdom; **Middle East:** Iran, Israel, Saudi Arabia, UAE.

- 35 Not including Africa, which is only represented by one state, South Africa.
- 36 The Asia-Pacific region includes countries such as China, India, Japan, North Korea, Pakistan, Singapore, South Korea, Taiwan, and Thailand.
- 37 UN Comtrade codes are given in Annexe 4.
- 38 Not all of the three Belgian regional parliaments published a national report in time for their 2003 and 2008 activities. Therefore, the report by the Wallonian parliament was not evaluated for its 2003 activities. For the Transparency Barometer that evaluated 2008 activities, the report by the regional government in Wallonia was outstanding. Belgium was therefore evaluated from its 2007 report.
- 39 Although the report does not provide information on small arms brokers, a Finnish law contains a provision that states that requests to view brokering licences can address the Ministry of Foreign Affairs; see, for example, Finland (2009, p. 2).
- 40 Except for domestic procurement, but this is not relevant to this analysis.
- 41 Reporting on end users could be improved to allow the reader to identify which items were intended for each end user.
- 42 The National Conventional Arms Control Committee (NCACC), South Africa's government body that oversees the country's arms trade, is supposed to provide annual reports to parliament and make these reports public. According to several newspaper articles, the NCACC has ceased to function; see Malnick (2009) and Newmarch (2009).
- 43 Taiwan's customs data cannot be published in UN Comtrade as the latter is only allowed to publish the data of UN member states.
- 44 For more information on the US market and US exports, see Gabelnick, Haug, and Lumpe (2006).
- 45 Annexe 2 gives the countries analysed in each edition of the Transparency Barometer, 2004–10.

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