

Report

June 2018

IMPLEMENTING THE PROGRAMME OF ACTION AND INTERNATIONAL TRACING INSTRUMENT

An Assessment of National Reports, 2012–17

Paul Holtom and Moshe Ben Hamo Yeger



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A Small Arms Survey publication with support from the
European Union (Council Decision CFSP 2017/633)



Credits

Published in Switzerland by the Small Arms Survey

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First published in June 2018

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Small Arms Survey
Graduate Institute of International and Development Studies
Maison de la Paix, Chemin Eugène-Rigot 2E
1202 Geneva, Switzerland

Content edited by Glenn McDonald
Copy-edited by Hannah Austin (hannahaustineditor@gmail.com)
Proofread by Stephanie Huitson (readstephanie@ymail.com)
Typeset in Meta by Frank Benno Junghanns (fbj@raumfisch.de)

ISBN 978-2-940548-52-1

Cover photo: Magazines and newly made cartridges at a manufacturing company in Florida, April 2009. Source: Joe Raedle/Getty Images

About the authors

Paul Holtom is a senior researcher for the Small Arms Survey. Paul's research focuses on efforts to strengthen regulation and increase transparency in the international arms trade, as well as measures to address arms trafficking and diversion. He was the director of the Stockholm International Peace Research Institute's Arms Transfers Programme (2009–13) and served as adviser to the Group of Governmental Experts on the UN Register of Conventional Arms in 2013 and 2016.

Moshe Ben Hamo Yeger is a research assistant at the Small Arms Survey. Before joining the Survey, he worked as a policy adviser for the Mexican government's Ministry of Social Development. He has also worked in Mexico researching issues related to education, human rights, and international law. He holds bachelor's degrees in international relations and business management from the Autonomous Institute of Technology (Mexico) and a master's degree in international relations and political science from the Graduate Institute of International and Development Studies (Geneva).

Acknowledgements

The authors would like to thank the Council of the European Union and the United Nations Office for Disarmament Affairs (UNODA) for their generous financial support of this publication, and the staff of the Conventional Arms Branch of the UNODA for their comments on an earlier version.

Mathieu Morelato and Brittany Wilshire at the Survey provided valuable research support. Other colleagues at the Survey contributed useful inputs for the publication. The authors would like to thank the production team, especially Hannah Austin and Francisco Rodrigo Trejo Campos.

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List of abbreviations and acronyms

BMS	Biennial Meeting of States (PoA)
DDR	Disarmament, demobilization, and reintegration
DVC	Delivery verification certificate
EUC	End-user certificate
ITI	International Tracing Instrument
LDC	Least developed countries
NCA	National coordination agency
NPC	National point of contact
OSCE	Organization for Security and Co-operation in Europe
PoA	Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects
PoA-ISS	PoA Implementation Support System
RECISA	Regional Centre on Small Arms in the Great Lakes Region, the Horn of Africa and Bordering States
RevCon	Review Conference (PoA)
SALW	Small arms and light weapons
SDG	Sustainable Development Goal
SIDS	Small island developing states
UNDP	United Nations Development Programme
UNIDIR	United Nations Institute for Disarmament Research
UNODA	United Nations Office for Disarmament Affairs
UNODC	United Nations Office for Drugs and Crime
UNSCAR	United Nations Trust Facility Supporting Cooperation on Arms Regulation

Executive summary

In preparation for the Third Review Conference (RevCon3) to review progress made in the implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA) and the International Tracing Instrument (ITI), this study presents a comprehensive analysis of national reports on PoA and ITI implementation submitted during 2012–17. It identifies the current state of play, progress in implementation, and assistance opportunities.

The level of reporting on implementation of the PoA and ITI declined between 2008 and 2014. Although the trend was reversed in 2016, fewer than half of UN member states reported. This report reviews implementation of the PoA and ITI during 2012–17 for 110 states that provided reports that can be assessed using the Small Arms Survey's methodology. To determine the current state of PoA and ITI implementation, the Survey research team analysed responses to the 63 closed questions, 21 multiple-choice questions, and 41 open questions contained in the 2014 PoA reporting template for 108 states that utilized the template in their latest report and 2 additional states that answered most of these 125 questions. Progress was assessed by comparing information provided by 77 states that submitted at least two reports during 2012–17 and addressed most of the 125 questions used for analysis. However, the analysis presented in the report on the state of implementation and progress is subject to several caveats.

First, information contained in the national reports is not verified. Second, different responses between two reports could be due to a new NPC lacking the necessary knowledge to complete the report, or interpreting a question differently to their predecessor. Third, closed questions do not enable respondents to adequately reflect whether a national measure is partial or applies only in certain circumstances. Fourth, it was not possible to measure progress in implementation during 2012–17 if a state only submitted one report during this period. Fifth, it was difficult to track progress for issues that were removed from the PoA reporting template during 2012–17. Finally, the fact that states do not respond to questions in the reporting template in one year, but do in another year, hampers analysis.

States have repeatedly made the point that national reports should be used to communicate assistance needs and opportunities. Unfortunately, many of the states that could benefit most from indicating implementation challenges and explicitly requesting assistance either did not report during 2012–17 or did not share such information in their national reports. Each section in the PoA reporting template provides an opportunity for states to request assistance but does not encourage states to indicate whether assistance has been received, or could be provided, in these areas. Therefore, if there is a desire for national reports to be used to request assistance, and also to highlight assistance received from or potentially on offer for other states, then the PoA reporting template should be revised to serve such purposes.

Key findings

The main findings include the following:

- During the period 2002–17, 166 UN member states submitted a total of 859 national reports on measures to implement the PoA and ITI. Sixteen of the 27 states (14 per cent of the total) that have never reported are Small Island Developing States (SIDS) and a further 5 are least developed countries (LDC).
- The highest level of reporting occurred in 2008, the year of BMS3, when 111 UN member states submitted a national report. The lowest level of reporting for a year in which a BMS or RevCon took place was 2006 when only 62 states reported, followed by 76 reports submitted in 2014, 84 in 2012, and 89 in 2016. Of these reports, 177 were in English, 36 in Spanish, 30 in French, 10 in Arabic, 7 in Russian, and 2 in Chinese.
- During 2012–17, 119 states reported on implementation of the PoA and ITI, 8 of which did so for the first time (Belize, the Maldives, Montenegro, Samoa, Singapore, Somalia, South Sudan, and Vanuatu). Of the 262 national reports submitted during 2012–17, 83 per cent used the PoA reporting template. Very few states explicitly indicated implementation challenges in their national reports on implementation of the PoA and ITI.
- Almost all of the 110 states analysed reported having laws, regulations, and/or administrative procedures to exercise effective control over international transfers (108 states), an NPC for the PoA (107 states), and standards and procedures for the management and security of small arms and light weapons (104 states).
- The overwhelming majority of the 110 states mark small arms in the possession of government armed and security forces (98 states) and have an NPC for the ITI (94 states), procedures in place for tracing (83 states), and laws, regulations, and/or administrative procedures governing brokering of small arms (82 states). Overall, reporting states provided evidence of progress in all of these areas during 2012–17.
- The national reports submitted during 2012–17 are of limited utility for measuring progress towards Sustainable Development Goal (SDG) target 16.4 using indicator 16.4.2. Recent changes to the PoA reporting template could increase the utility of national reports in this regard, but further additions are necessary before PoA national reports can serve as an effective SDG monitoring mechanism.
- States in Africa and the Americas accounted for the largest share of requests for assistance to implement the PoA and ITI. During 2012–17, the largest number of states requested assistance to build capacity for record-keeping (40 states), followed by assistance to develop tracing procedures (37 states), and then to build capacity for confiscation and seizure of illicit small arms (36 states).

“The PoA encourages UN member states to voluntarily provide information via national reports on PoA implementation to the UN Secretary General.”

Introduction

UN member states will convene at the UN headquarters in New York from 18 to 29 June 2018 for the Third Review Conference (RevCon3) to review progress made in the implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA) and the International Tracing Instrument (ITI) (UNGA, 2001a; 2005a). The PoA and the ITI are politically binding instruments that provide a wide range of small arms control measures for UN member states to implement to address the illicit trade in small arms. At RevCon3, states are expected to undertake a comprehensive review of progress made in implementing the PoA and ITI during 2012–17. In preparation for this stocktaking exercise, the Sixth Biennial Meeting of States (BMS6), held in June 2016, requested:

the Secretariat, to examine, within existing resources, implementation trends, challenges and opportunities relating to the Programme of Action and the International Tracing Instrument, based on available information, including information submitted and/or provided by Member States, for presentation at the third review conference for its consideration and appropriate follow-up (UNGA, 2016a, para. 42).

This study is intended to complement the Secretariat’s presentation at RevCon3.

The PoA encourages UN member states to voluntarily provide information via national reports on PoA implementation to the UN Secretary General (UNGA, 2001a, para. 33), while the ITI requires a national report on implementation every two years, which can form part of the PoA national report (UNGA, 2005a, para. 36). Every UN General Assembly resolution on the illicit trade in small arms in all its aspects since 2006 encourages UN member states to submit a national report on PoA implementation and reminds states of their political commitment to report biennially on ITI implementation.¹ The outcome document of BMS3 in 2008 called for a biennial reporting cycle, which created a link between the submission of a national report and the year in which a BMS was convened, to reduce the burden of reporting and address reporting fatigue (UNGA, 2008a, para. 29(a)). Although a reporting template was not attached to the PoA, guidance has been provided to assist states in preparing national reports on PoA and ITI implementation (see Box 1.1). The combination of biennial reporting and the provision of such guidance is intended to increase the number of submissions and utility of reports (UNGA, 2012b).

BMS1 concluded that national reports are an important means of promoting implementation of the PoA (UNGA, 2003a, para. 39). Subsequent meetings have emphasized the utility of national reports for measuring progress in implementation, identifying implementation challenges, and providing information on international assistance and cooperation needs and opportunities.² Since 2007, every UN General Assembly resolution on the illicit trade in small arms encourages states to use their

national reports to communicate assistance needs (for example, UNGA, 2007; 2008b). The outcome document for BMS6 also encourages states to examine synergies in reporting on implementation of the PoA and other instruments in order to ‘minimize administrative reporting burdens’, making particular reference to using PoA national reports to ‘highlight progress made in implementing the relevant goals and targets of the 2030 Agenda’ (UNGA, 2016a, paras. 40–41).

This assessment is the first comprehensive analysis of national reports on implementation of the PoA and ITI submitted during 2012–17. As such, it covers the period in which states have used UNODA’s standardized online PoA reporting template to provide information on PoA and ITI implementation and assistance needs (see Box 1.1). It assesses the national reports submitted during 2012–17 to:

- determine global and regional implementation of the PoA and ITI;
- measure progress towards PoA and ITI implementation;
- assess the utility of national reports for monitoring implementation of Sustainable Development Goal (SDG) 16; and
- identify assistance needs and opportunities.

The study builds on earlier analyses of national reports on implementation of the PoA and ITI carried out by the Small Arms Survey and the United Nations Institute for Disarmament Research (UNIDIR).³ The report consists of four chapters. Chapter 1 gives a brief overview of global and regional reporting trends during 2002–17, including the use of the PoA reporting template. Chapter 2 outlines the state of play with regards to implementation for states that reported during 2012–17, including progress, challenges, and opportunities where possible. Chapter 3 provides an analysis of the utility of national reports for identifying assistance needs and cooperation opportunities. Finally, Chapter 4 offers concluding observations on the utility of national reports for measuring implementation of the PoA and ITI, identifies challenges and emerging practices for effective implementation, and determines assistance needs and cooperation opportunities.

Methodology

To quantitatively analyse PoA and ITI implementation for this study, the research team assessed the 262 national implementation reports that 119 states submitted to the UNODA between 1 January 2012 and 31 December 2017.⁴ All reports were accessed via the PoA–ISS website (see Annexe for the full list of UN member states that submitted during this period and the years in which reports were submitted). As of 2018, official UN translations were not available for 85 national reports submitted in languages other than English—10 reports in Arabic, 2 in Chinese, 30 in French, 7 in

Box 1.1 The Programme of Action reporting template

The 2001 UN Conference on the Illicit Trade in Small Arms and Light Weapons in All its Aspects did not develop a standardized template for reporting on implementation of the PoA, and meetings of states have not deliberated on a format for a national report. This is perhaps because the UN Development Programme (UNDP), the UNIDIR, the UNODA, and the Small Arms Survey jointly developed guidance in 2003 to support states to prepare their national report on PoA implementation (Parker and Cattaneo, 2008, p. 3). This was followed by the provision of separate guidance for reporting on implementation of the ITI (Parker and Rigual, 2015, p. 3). In 2011 the UNODA gave states the option of completing and submitting a national report using a standardized reporting template via the UNODA PoA Implementation Support System (PoA-ISS) website. Each state was given log-in information to create and upload its national report, which is then made publicly available (UNODA, n.d.). This reporting template is hereafter referred to as the '2011 reporting template'. This template was revised in 2014 and several questions removed (see Figure 1.1), hereafter referred to as the '2014 reporting template'. UNODA provided states with a third revised version for reporting in advance of the 2018 RevCon3, hereafter referred to as the '2018 reporting template'. The section on 'collection' in the 2018 reporting template has been slightly revised to assist in monitoring progress towards SDG indicator 16.4.2; additional questions on 'gender considerations' have also been added.

The 2011 and 2014 PoA reporting templates consist of nine 'thematic' sections, for which questions are asked regarding measures to implement operative provisions of the PoA and ITI (see Figure 1.1). The 2011 reporting template contains 28 numbered questions, compared to 23 in the 2014 reporting template. These questions have sub-questions and requests for additional information on national practice. Figure 1.1 presents a breakdown of all questions or requests for additional information, broken down by section. It reveals that the 2011 reporting template consists of 78 closed questions, 28 multiple-choice questions, and 60 open questions requesting additional information. The breakdown for the 2014 reporting template is 63, 21, and 41 questions respectively.

The PoA reporting template indicates the specific PoA and ITI paragraph for each question in the reporting template. States are also given an opportunity to provide 'further comments on PoA and ITI, including implementation challenges and opportunities'. Paragraph II.22 on the 'special needs of children affected by armed conflict' is the only paragraph in section II of the PoA for which there is not a corresponding question in the PoA reporting template—although the section on assistance and cooperation does ask if assistance has been requested, received, or provided in relation to this issue. A similar approach is taken with regards to 'public awareness and confidence-building programmes on the problems and consequences of the illicit trade in small arms and light

weapons in all its aspects’ (UNGA, 2001a, para. II.20). The PoA reporting template, however, does not explicitly ask for information on the ability to retrieve information from records, measures to control transit, or appropriate measures ‘against any activity that violates’ a UN arms embargo.

Several questions that were included in the 2011 reporting template were removed from the 2014 template (see Figure 1.1). As a result, the 2014 reporting template does not address several PoA operative provisions, including:

- paragraph II.13 on re-export notification procedures;
- paragraph II.16 on the confiscation or seizure of small arms (the 2014 reporting template only asks about collection); and
- paragraph II.18 on the ‘regular review’ of government small arms stocks to determine surplus.

The only request for information on disarmament, demobilization, and reintegration (DDR) now relates to assistance requested, received, or provided (UNGA, 2001a, para. II.21). The removal of several questions in the section on tracing means that the 2014 reporting template does not cover several ITI paragraphs; for example, paragraph 15 on respecting restrictions on the use of information received in response to a tracing request, including confidentiality.

The 2018 PoA reporting template, the use of which is not assessed in this study, has been amended to support the collection of data for measuring progress against SDG indicator 16.4.2 (UNODA, 2018; see Box 2.3). First, the section on ‘collection’ explicitly asks for information to be disaggregated by the first reporting year (2016) and the second reporting year (2017). Data on the small arms collected and the action taken after collection has also been disaggregated to account for small arms that have been ‘seized’, ‘surrendered’, or ‘found’, and information is provided on subsequent action taken by national authorities. Second, the 2018 PoA reporting template contains a new section on ‘gender considerations’, which consists of two questions. The first question seeks information on the ‘promotion of the meaningful participation and representation of women, in policymaking, planning and implementation processes related to the Programme of Action’. This is connected with the agenda promoted by UN Security Council Resolution 1325 of 31 October 2000 and subsequent resolutions, reports, and meetings that address the theme of Women, Peace, and Security (UNSC, 2000). The second question asks if data on the illicit trade is disaggregated in a way that enables understanding of the gender dynamics of weapons collection, ownership, and impacts. This question is clearly connected with measuring progress towards SDG5, which seeks to ‘achieve gender equality and empower all women and girls’. UNODA had not publicly shared any national reports using the new reporting template before 31 December 2017; as a result, this study does not analyse states’ responses to these new requests for information.

Continued on next page with Figure 1.1.

Figure 1.1 Comparison of questions in the 2011 and 2014 Programme of Action reporting templates

PoA reporting template section heading	Relevant paragraphs in the PoA and ITI in the 2014 reporting template		No. of questions in each template (question numbers)		No. of questions in each template		Closed questions		Multiple choice questions		Open questions		
	PoA	ITI	2011	2014	2011	2014	2011	2014	2011	2014	2011	2014	
1. Points of contact	II.4		3 (1-3)	2 (1-2)	10	7	6	4	0	0	4	3	
	II.5												
2. Manufacture	II.2	8a											
	II.3	10											
	II.6	11	2 (4-5)	2 (3-4)	18	18	10	10	3	3	5	5	
	II.7	12a											
	II.8 II.9												
3. International transfers	II.2												
	II.3												
	II.6												
	II.8		2 (6-7)	2 (5-6)	36	31	18	17	6	4	12	10	
	II.9												
	II.11												
	II.12												
	II.3		2 (8-9)	2 (7-8)	21	13	13	9	1	1	7	3	
	II.6												
	II.14												
	4. Brokering	II.9		3 (10-12)	3 (9-11)	17	13	8	6	4	3	5	4
		II.17											
II.18													
II.19													

6. Collection [2011: Confiscation, seizure, and collection]	II.21		4 (13–16)	2 (12–13)	11	6	4	3	3	1	4	2
7. Marking and record-keeping	II.8 II.9	8c 8d 8e 9 12a 13	5 (17–21)	4 (14–17)	14	12	8	7	1	1	5	4
8. International tracing	II.10	14 17 24 25 27 28	4 (22–25)	4 (18–21)	17	9	9	5	3	1	5	3
9. International cooperation and assistance			1 (26)	1 (22)	31	31	11	11	10	10	10	10
Any further comments on PoA and ITI, including implementation challenges and opportunities			1	1	1	1	0	0	0	0	1	1
Views and information to be submitted			2 (27–28)	1 (23)	4	1	0	0	0	0	4	1
Total questions			28	23	165	124	78	63	28	21	60	41

Russian, and 36 in Spanish—and the research team and external consultants therefore analysed these reports.

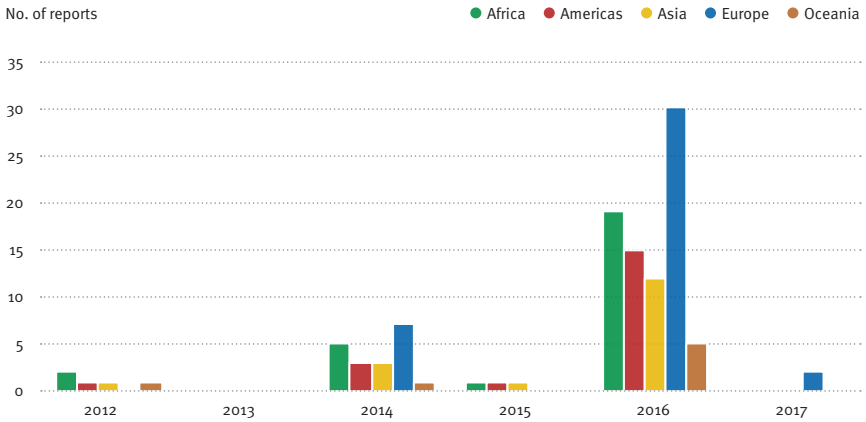
All 262 submitted reports were examined to prepare 119 ‘country profiles’ on PoA and ITI implementation. Each country profile consists of two Microsoft Excel worksheets. The first worksheet contains the data to be used for quantitative analysis: responses to the 63 closed questions and 21 multiple-choice questions within the 2014 reporting template for the 108 states that utilized either the 2011 or 2014 PoA reporting template in their latest report. Eleven states did not use the PoA reporting template; of these, the authors were able to extract sufficient information from the national reports of two states to answer most of the questions in the PoA reporting template on their behalf. The national reports of the remaining nine states (Argentina, Cuba, Egypt, Iraq, Lebanon, Mali, Pakistan, Paraguay, and Qatar) yielded too little information that directly addressed the questions in the PoA reporting template; these states are therefore excluded from the analysis in chapters 2 and 3. This study presents an analysis of implementation for the 110 remaining states, using the information contained in their last national reports submitted during 2012–17. Using this approach, 74 per cent of the reports assessed were submitted in 2016; 17 per cent in 2014; 5 per cent in 2012; 3 per cent in 2015, and 1 per cent in 2017 (see Figure 1.2). The second worksheet consists of information provided in response to the 41 open questions and requests for additional information.

Although this study seeks to provide a quantitative analysis of PoA national reports, reference is made where relevant to national measures and practices shared in these reports; for example, where a state did not answer a closed question but provided relevant information in response to an open question or a request for additional information.

To attempt to chart the progress of implementation during 2012–17, this study analysed information contained in 77 country profiles of UN member states that submitted at least two reports during 2012–17 that can be analysed using the framework in the 2014 PoA reporting template. This study recognizes that states can amend existing legislation, draft new laws, and put in place new measures and practices during a six-year period. It was therefore assumed that it would be possible to identify positive changes regarding implementation of the PoA and ITI by comparing national reports submitted over time. Unfortunately, it has not been possible to conclusively determine progress in implementation for the 77 states assessed.

There are several challenges in seeking to use the information provided in the national reports submitted during 2012–17 to analyse the status of implementation and progress, as well as cooperation and assistance needs and opportunities. First, previous studies highlight the challenge of verifying information contained in national reports (Parker and Rigual, 2015, p. 3). As with previous studies, the research team has not sought to independently verify the information states provided in their na-

Figure 1.2 Year in which assessed reports were submitted, broken down by region, 2002–17



tional reports. For example, states might answer ‘yes’ to questions because the person compiling the report might think that a ‘no’ response could cast the state in a negative light. This has implications for determining the overall level of implementation and objectively measuring progress. A similar challenge is posed by states’ ability to provide ‘no response’ in the reporting template and the impossibility of determining if the correct answer should be ‘yes’ or ‘no’. The 77 states that reported more than once sometimes provided different responses to the same question over the years. It is not always possible to determine if this is because of changes in legislation, changes in implementation measures, or simply a change in the point of contact—with the new contact understanding the question posed differently to the previous contact (see Box 2.1).

Second, closed questions do not enable respondents to adequately reflect whether a national measure is partial or applies only in certain circumstances (Parker and Rigual, 2015, p. 3). Some states make use of the ‘details’ boxes to provide relevant information, clarifications, or explanations for their answers to closed questions, but states do not uniformly use this option. For example, if a draft bill to regulate arms brokers is currently before parliament but not currently in force, how should a state respond to a closed question about whether it has such legislation—‘no’ (because the legislation is not in place) or ‘yes’ (because the legislation is expected to be in place during the calendar year in which the report is being submitted)? States used both options in their PoA national reports.

Third, it was not possible to measure progress in implementation during 2012–17 if a state only submitted one report during this period. The research team decided it

would be misleading to compare aggregated responses for national reports submitted in 2012 with those submitted in 2016 to demonstrate progress. This is because 22 states submitted a report in 2012 but not in 2016, and 21 submitted in 2016 but not in 2012. Therefore, only comparing aggregated totals for implementation of states that reported in 2012 with those that reported in 2016 does not constitute charting progress for these 43 states.

Fourth, as noted in the earlier discussion on PoA reporting templates, changes were made to the template during 2012–17. This makes it difficult to track progress in areas addressed in reports submitted during 2012–2014 but not included in the 2016 national report (because the 2014 reporting template was used). This report therefore uses the 2014 UNODA reporting template as the basis for analysis.

Fifth, the fact that states do not respond to questions in the reporting template in one year but do in another year hampers analysis. This report indicates that there is progress in cases where, for example, a state did not answer a question in its 2014 report but answered ‘yes’ in its 2016 report. At the same time, a negative tendency is noted if a state answered ‘yes’ in its 2014 report but provided ‘no response’ in its 2016 report.

Note on regional groupings used in this study

This study seeks to provide not only an overview of the global status of implementation and progress but also regional snapshots for Africa, the Americas, Asia, Europe, and Oceania. It uses the United Nations Statistical Division Classification, in which there are 54 states in Africa; 35 in the Americas; 47 in Asia; 43 in Europe, and 14 in Oceania. Therefore, for the purposes of this assessment, 50 per cent of states in Africa are assessed; 57 per cent of states in the Americas; 36 per cent of states in Asia; 91 per cent of states in Europe; and 50 per cent of states in Oceania. ●



During the period 2002–17, 166 UN member states submitted a total of 859 national reports on measures to implement the PoA and ITI.”

1. Trends in reporting on Programme of Action and International Tracing Instrument implementation, 2002–17

At least one UN member state submitted a report on implementation of the PoA and ITI for every year during 2002–17. If assessing reporting only in years in which a BMS or RevCon took place, the overall trend in the level of voluntary reporting on implementation of the PoA and ITI shows an increase up to BMS3, followed by decline towards BMS5, and an uptick up to BMS6. This chapter analyses this trend at the global and regional levels during 2002–17, with a particular focus on the period 2012–17. It notes levels of non-reporting, frequency of reporting, and trends in the use of the PoA reporting template.

1.1. Global trends in reporting, 2002–17

During the period 2002–17, 166 UN member states submitted a total of 859 national reports on measures to implement the PoA and ITI. Twenty-seven UN member states have never reported (see Annexe); of these, 16 are SIDS and a further 5 are LDC.⁵ Therefore, 85 per cent of UN member states have reported on implementation of the PoA and ITI at least once. Overall, 15 per cent of UN member states have never reported; 12 per cent submitted one report during 2002–17; 36 per cent submitted 2–5 reports; 28 per cent submitted 6–9 reports; and 9 per cent submitted at least 10 reports.

Figure 1.3 shows that the request to report biennially in advance of a BMS or RevCon has resulted in a strong correlation between the level of reporting and years in which a BMS or RevCon are held. The average level of reporting during 2002–17 for years in which there was a BMS or RevCon is 92 states (48 per cent of UN member states). The average for the years 2006–11 is 94 states (49 per cent), compared to 83 states (43 per cent) during 2012–17. The highest level of reporting occurred in 2008, the year of BMS3, when 111 UN member states submitted a national report. The lowest level of reporting for a year in which a BMS or RevCon took place is 2006, the year of RevCon1, when 62 states reported. It should be noted that RevCon1 took place the year after BMS2, for which 103 states submitted a report. The second-to-fourth-lowest levels of reporting for a year in which a BMS or RevCon took place all occurred during 2012–17: 76 national reports were submitted in 2014, 84 in 2012, and 89 in 2016. Therefore, the uptick in 2016 is a positive development, but the number is well below the 100-state mark recorded for the years in which BMS2, BMS3, and BMS4 were convened.

Although this chapter analyses 859 reports submitted during 2002–17, Morocco submitted one report in Arabic and one in French in 2009, giving 860 reports to count for language used. Of these 860 reports, 63 per cent are in English (546 reports); 13 per cent in Spanish (115); 13 per cent in French (113); 5 per cent in Arabic (43); 4 per cent in Russian (36); and 1 per cent in Chinese (8). One report (Guinea-Bissau) was submitted in Portuguese.

Eight of the 119 states that reported during 2012–17 did so for the first time, including 3 SIDS and 2 LDC (the Maldives, Montenegro, and South Sudan in 2012; Singapore

Figure 1.3 National reports submitted by year, 2002–17

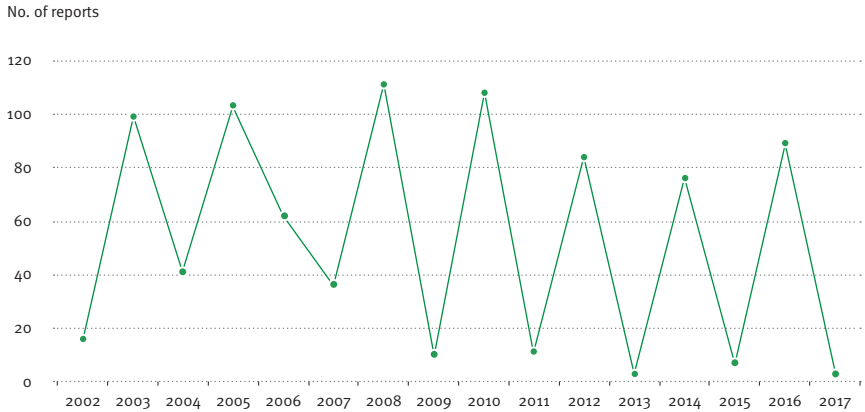
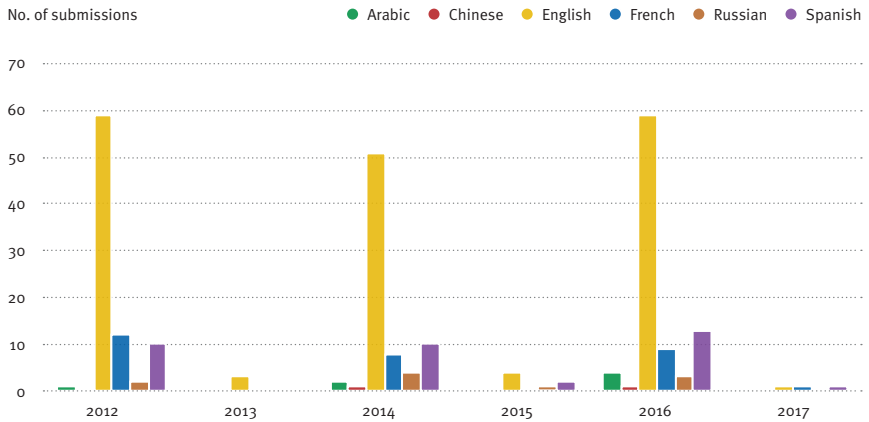


Figure 1.4 Submissions by language, by year, 2012–17



and Somalia in 2014; Belize, Samoa, and Vanuatu in 2016); as such, the two newest UN member states (Montenegro and South Sudan) reported during this period. Of the states that reported at least once during 2002–11, 47 did not report during 2012–17, including 18 LDC.

Of the 262 reports submitted during 2012–17, 68 per cent are in English; 14 per cent in Spanish; 11 per cent in French; 4 per cent in Arabic; 3 per cent in Russian; and 1 per

cent in Chinese (see Figure 1.4). Three states submitted at least one report in English and a second report in another language during 2012–17. Iraq’s 2012 report was submitted in English and its 2014 report in Arabic, Moldova switched from English for its 2012 report to Russian for 2014, and Andorra from English in 2014 to Spanish in 2016.

1.2. Regional trends in reporting, 2002–17

For all but the Americas, the size of the region does not correlate with the overall share of reports submitted during 2002–17. Of the 859 national reports UNODA received during 2002–17, states in Europe submitted 320, followed by states in Africa (203 reports); states in the Americas (154); states in Asia (151); and states in Oceania (31). Figure 1.5 presents the regional breakdown for reporting during 2002–17.

The 43 states of the European region represent 22 per cent of total UN membership but accounted for 37 per cent of reports submitted during 2002–17. San Marino is the only European state that has not submitted a report. European states also reported most frequently; only 1 European state submitted just one report during 2002–17, compared to 47 per cent that reported between 6 and 9 times. The region also has the highest absolute number of states (12) that reported ten times or more (see Figure 1.6). In 2008 (the year of BMS₃) 86 per cent of European states submitted a report. The lowest level of reporting in a year in which a PoA meeting took place occurred in 2006 (the year of RevCon₁), when only 53 per cent of European states reported. The average for years in which a BMS or RevCon meeting took place is 32 states (75 per cent of European states).

The 54 African states account for 28 per cent of UN member states and recorded the second-highest share of reports for 2002–17 (24 per cent of all reports submitted). Three African states have never submitted a report (Cape Verde, Comoros, and the Seychelles), all of which are SIDS. Ninety-four per cent of African states reported at least once, 24 per cent only once, and 38 per cent between 2 and 5 times. Sixty-two per cent of African states submitted a report in 2010 for BMS₄, compared to 21 per cent in 2006. The average for years in which a BMS or RevCon meeting took place is 23 states (44 per cent of African states).

The 35 states located in the Americas account for 18 per cent of UN member states and 18 per cent of reports submitted during 2002–17. Six of the seven states that have not submitted a report in this region are SIDS (Bahamas, Dominica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, and Suriname). Fourteen per cent of states have reported once and 34 per cent submitted between 2 and 5 reports. The highest levels of reporting for the Americas took place in 2003 (BMS₁) and 2008 (BMS₃); 51 per cent of states reported in both years. The lowest levels of reporting for a PoA meeting year took place in 2006 (RevCon₁) and 2014 (BMS₅); 37 per cent of states reported in both years. The average for years in which a BMS or RevCon meeting took place is 16 states (45 per cent of states in the Americas).

The 47 Asian states account for 24 per cent of UN member states and 18 per cent of reports submitted during 2002–17. The Asian region accounts for the highest number of states that have never submitted a report: 11 states (Afghanistan, Bhutan, Brunei, Kuwait, Laos, Mongolia, Myanmar, Nepal, North Korea, Timor-Leste, and Uzbekistan), or 23 per cent of the Asian region. Seven per cent of Asian states have reported only once, while 49 per cent submitted between 2 and 5 reports. Asia is the only region for which no state has reported ten times or more. During 2002–17, the number of Asian states reporting on PoA implementation did not surpass 50 per cent. The highest

Figure 1.5 National reports by year, broken down by region, 2002–17

Region	PoA meeting	Africa*	Americas	Asia	Europe	Oceania	Total
No. of states per region		54 (28% of UN member states)	35 (18%)	47 (24%)	43 (22%)	14 (7%)	193
2002		6%	9%	4%	16%	7%	8%
2003	BMS1	42%	51%	45%	81%	21%	52%
2004		4%	31%	13%	42%	29%	21%
2005	BMS2	53%	46%	45%	79%	29%	54%
2006	RevCon1	21%	37%	30%	53%	7%	32%
2007		8%	17%	9%	47%	14%	19%
2008	BMS3	60%	51%	45%	86%	21%	58%
2009		6%	0%	2%	14%	7%	6%
2010	BMS4	62%	49%	43%	84%	14%	56%
2011	MGE1	6%	6%	2%	14%	0%	6%
2012	RevCon2	41%	43%	28%	72%	21%	44%
2013		0%	0%	0%	7%	0%	2%
2014	BMS5	35%	37%	21%	74%	14%	39%
2015	MGE2	2%	11%	4%	0%	0%	4%
2016	BMS6	39%	49%	32%	72%	36%	46%
2017		0%	3%	0%	0%	0%	2%
Average for years in which there is a PoA BMS or RevCon meeting (MGE excluded)		44%	45%	36%	75%	21%	48%

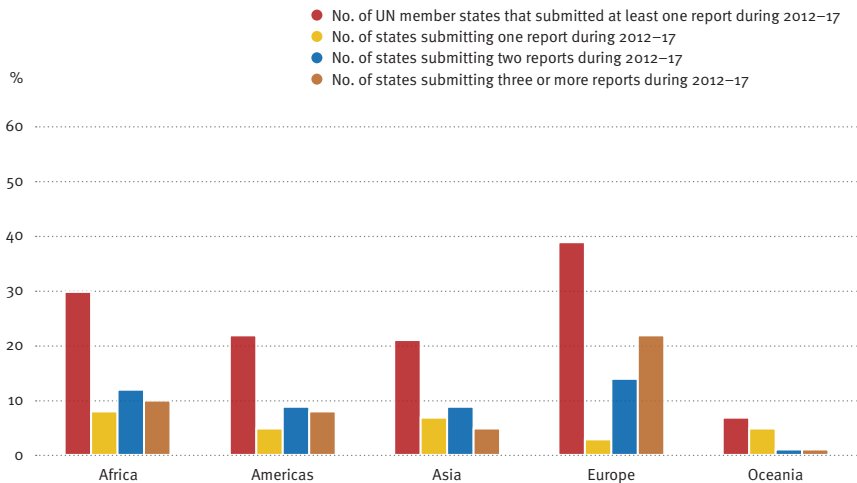
* South Sudan became a UN member state on 14 July 2011. Therefore, the number of African countries for the period 2002–11 is 53, but for the period 2012–17 it is 54.

level of reporting occurred in 2005 (BMS₂) and 2008 (BMS₃), when 45 per cent of states reported. The lowest level of reporting during a PoA meeting year took place in 2014 (BMS₅), when 21 per cent of states reported. The average for years in which a BMS or RevCon meeting took place is 17 states (36 per cent of Asian states).

Figure 1.6 Frequency of reporting, broken down by region, 2002–17

Region	Africa	Americas	Asia	Europe	Oceania	Global
No. of states per region	54	35	47	43	14	193
% Never reported	7%	17%	26%	2%	43%	14%
% Submitted at least 1 report	93%	83%	74%	98%	57%	86%
% Submitted only 1 report	24%	14%	6%	2%	14%	12%
% Submitted between 2 and 5 reports	39%	34%	49%	21%	29%	36%
% Submitted between 6 and 9 reports	30%	23%	21%	47%	7%	28%
% Submitted at least 10 reports	2%	11%	0%	28%	7%	9%

Figure 1.7 Percentage of states reporting in each region, 2012–17



The region with the lowest number of states and lowest level of reporting is Oceania; its 14 states account for 4 per cent of total reports submitted during 2002–17. All six states in the region that have never reported (Kiribati, Micronesia, Nauru, Palau, Tonga, and Tuvalu) are SIDS. These six states account for 43 per cent of the region; Oceania therefore has the highest share of non-reporting states. Two states in the region have reported only once and 4 have reported between 2 and 5 times. The highest level of reporting took place in 2016 (BMS6), when 36 per cent of the region reported. The lowest level of reporting during a PoA meeting year took place in 2006 (RevCon1), when only one state reported. The average for years in which a BMS or RevCon meeting took place is three states (21 per cent of states in Oceania).

Ninety-one per cent of European states submitted at least one PoA report during 2012–17, followed by 63 per cent of states in the Americas; 54 per cent of states in Africa; 50 per cent of states in Oceania; and 45 per cent of states in Asia (see Figure 1.7). There are several notable points when comparing the trends in reporting for 2012–17 with those for 2006–11. The level of reporting by states in Africa, the Americas, Asia, and Europe was lower during 2012–17 compared to 2002–11. The decline in reporting by states in Africa is the most dramatic, which helps to explain the overall lower levels of reporting during 2012–17 compared to 2006–11. The decline in reporting by states in Asia and Europe also made an important contribution to this overall drop. Oceania runs counter to the declining trend; 2016 representing the region’s highest level of reporting.

Seventy-six per cent of states that reported during 2012–17 submitted at least two reports. Ninety-two per cent of states in Europe that reported at least once during this period fall into this category, followed by 77 per cent of states in the Americas; 76 per cent of states in Africa; 67 per cent of states in Asia; and 29 per cent of states in Oceania. Therefore, most of the states that reported during 2012–17 can be classed as ‘regular reporters’. For the purpose of increasing overall reporting, it would be useful for states that face challenges in reporting to understand the processes and procedures that enable these states to regularly report. It is worth noting that assistance in preparing a national report on implementation of the PoA and ITI is not an explicit category of assistance requests—perhaps it should be.

1.3. Use of the Programme of Action reporting template, 2012–17

Analyses of the level of reporting after the introduction of the PoA reporting template note that it has not led to an increase in the number of states that submitted a national report on PoA and ITI implementation, but rather correlated with a decline in the level of reporting (Parker and Rigual, 2015, p. 3). There is no evidence, however,

to point to a causal link between this decline in reporting and the introduction of the PoA reporting template; the increase in the number of reports on conventional arms control and a lack of national capacity for collecting and presenting information have influenced the decline in reporting on conventional arms control measures in general since 2010 (Holtom and Bromley, 2011, pp. 20–25).

At the same time, 83 per cent of the 262 national reports on implementation of the PoA and ITI submitted during 2012–17 used either the 2011 or 2014 PoA reporting template (see Figure 1.8). The share of states using this template dropped from 69 per cent of reporting states in 2012 to 61 per cent in 2014, but increased to 88 per cent in 2016. Three of the reports that used another format addressed many of the questions posed in the PoA reporting template. For example, two states submitted their national report on implementation of the *OSCE [Organization for Security and Co-operation in Europe] Document on Small Arms and Light Weapons*, which contains many of the same questions the PoA reporting template addresses, and Sudan used several questions from the PoA template to structure its 2016 national report.

Ninety-one states reported at least twice during 2012–17. Twenty-six of these used the 2011 PoA reporting template for all their reports during this period; 7 always used a national format; 44 switched from the 2011 PoA reporting template to the 2014 PoA reporting template; 9 changed from a national format to the PoA reporting template (either 2011 or 2014); 3 changed from the PoA reporting template to a national format; and 2 used a different format for each report during this period—that is, changing from a national format to the 2011 PoA reporting format, and then to the 2014 PoA reporting format. As such, states that submitted national reports during 2012–17 widely used the PoA reporting format. The next section reviews the content of these reports, indicating the advantages and limitations of the template for analysing the current state of PoA and ITI implementation and progress. ●

Figure 1.8 Use of the Programme of Action reporting template, 2012–17

	2012	2013	2014	2015	2016	2017	Total
No. of states that used the 2011 reporting template	69	2	61	4	20	1	156
No. of states that used the 2014 reporting template	0	0	0	2	58	0	61
No. of states that used another format	15	1	15	1	11	2	45
Total submitted	84	3	76	7	89	3	262
Total no. of PoA reporting template	69	2	61	6	78	1	217
Share of PoA reporting template	82%	67%	80%	86%	88%	33%	83%



The analysis of national reports reveals a relatively strong correlation between a change in the individual named as the NPC and variations in the responses in the reports.”

2. Assessment of Programme of Action and International Tracing Instrument implementation, 2012–17

This chapter is split into eight sections that analyse responses to questions posed in the first eight sections of the PoA reporting template. The analysis for each sub-section has two goals. First, in line with analyses conducted for previous reporting periods, each sub-section presents the results of a quantitative analysis of the latest report submitted by 110 states. Specifically, each sub-section uses national report data to give a figure for the overall number of states that indicate measures are in place to implement particular PoA provisions. This is intended to show the current ‘state of play’ of PoA and ITI implementation. Second, there is an attempt to highlight changes over time in response to the questions posed in the 2014 PoA reporting template. This analysis focuses on progress since 2012 for the 77 states that submitted at least two reports during this period that can be compared using the framework in the 2014 PoA reporting template. A change in response from ‘no’ or ‘no response’ to ‘yes’ for closed questions, or the provision of information for an open question, is regarded as progress in PoA and ITI implementation.

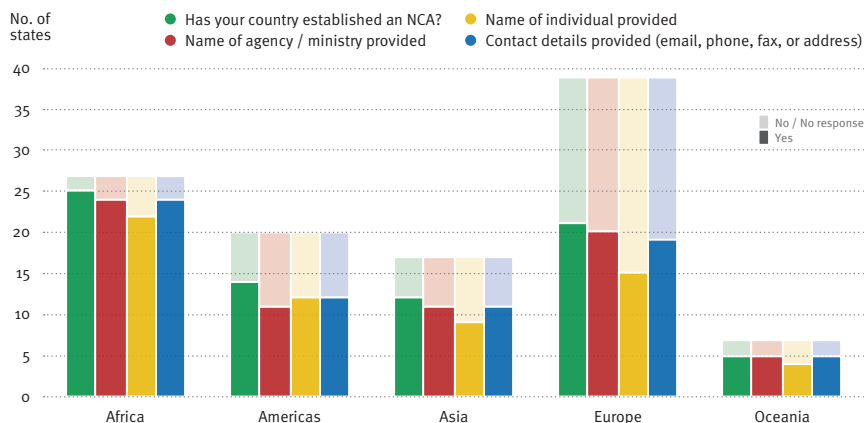
2.1. National coordination agency and national point of contact

The first section of the PoA reporting template requests information regarding the national coordination agency (NCA) and national point of contact (NPC) for exchanging information on implementation of the PoA and ITI.

2.1.1. National coordination agency

The first question in the PoA reporting template asks if the state has ‘established a national coordination agency (NCA) for policy guidance, research and monitoring of efforts to prevent the illicit trade in SALW’. This question relates to the call in paragraph II.4 of the PoA for states to ‘establish or designate’ such agencies or bodies ‘as appropriate’ (UNGA, 2001a, para. II.4). Seventy-seven states report that there is an NCA in their state (see Figure 2.1). There are significant regional differences: 93 per cent of reporting states in Africa indicate there is an NCA in their country, followed by 71 per cent of states in Oceania, 70 per cent of states in the Americas and Asia, and 54 per cent of states in Europe. Overall, 80 per cent of these reporting states provide the name of an individual contact person within the NCA, while 65 per cent provide information on the name of the agency or ministry responsible for coordination and some form of contact details (email, phone, fax, or address). Only 2 reporting states in Africa and 1 in Oceania do not provide this information, compared to 6 of the 21 states in Europe that have reportedly established an NCA.

Figure 2.1 Number of states providing information on national coordination agency in each region, 2012–17



Four states that indicate in their latest report that their state has established an NCA answered ‘no’, or did not answer this question, in their previous report. Three states that indicate their state has established an NCA provide no response, or indicate ‘no’, in their latest report. None of the reports provide a reason for establishing (or possibly disbanding) an NCA. Five reports exhibit clear positive changes regarding the name of the individual to contact for information on the NCA. The picture for the name of the agency or ministry in which the NCA is located is negative: two states, which had not provided such information before, do provide it in their latest reports; four states that had provided such information before, however, do not provide it in their latest report.

2.1.2. National point of contact

One hundred and seven states indicate in their latest national report that an NPC exists in their state (97 per cent of 110 assessed states) (see Figure 2.2), implementing paragraph II.5 of the PoA. Of these 107 states, 93 per cent provide either an email address, phone or fax number, or address; 89 per cent provide the name of the agency or ministry in which the NPC is located; and 73 per cent provide the name of an individual. All states in Africa, Europe, and Oceania that reported during 2012–17 indicate their state has an NPC. One of the 20 assessed states in the Americas and three in Asia indicate their state does not have an NPC. All 15 states in Asia that report the establishment of an NPC provide information on the agency or ministry in which

Figure 2.2 Number of states providing information on national point of contact on implementation of the Programme of Action in each region, 2012–17

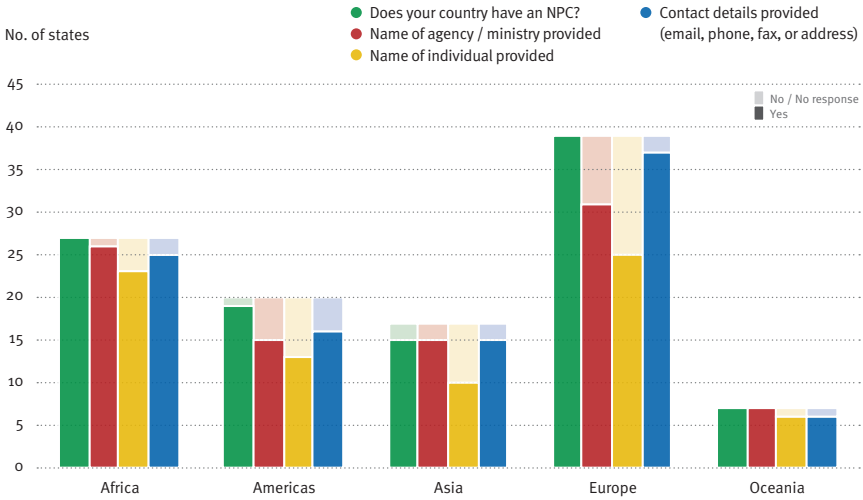
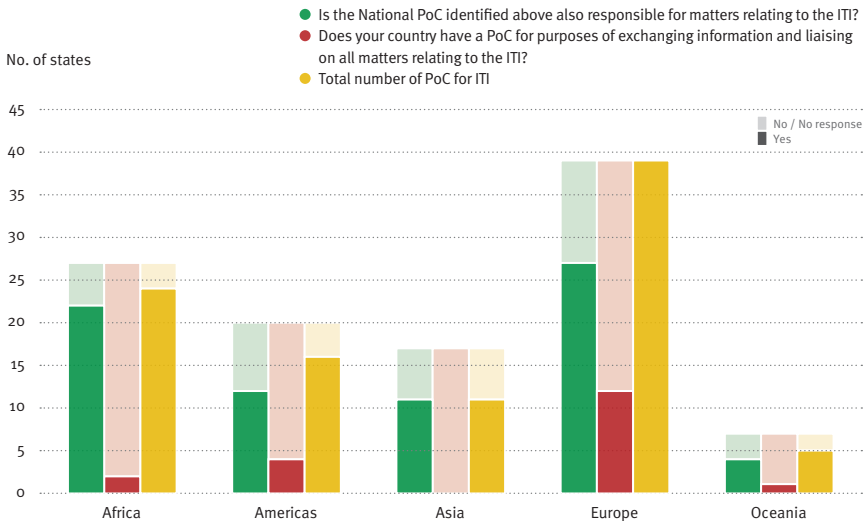


Figure 2.3 Number of states providing information on national point of contact on implementation of the International Tracing Instrument in each region, 2012–17



it is located and some form of contact details, ten of which give the name of an individual contact person. All states in Oceania provide information on the agency or ministry in which the NPC is located, while one state provides neither the name of an individual nor contact details for the NPC. Of the states in the Americas and Europe that have established an NPC, just under two-thirds provide the name of the individual contact person, and around 80 per cent indicate the agency or ministry in which the NPC is located. States in both regions have a much higher response level with regards to contact details. Previous research indicates that NPC contact details do not always lead to the NPC for PoA or ITI issues and can quickly become outdated (Parker, 2011, pp. 24–26). The research team did not investigate whether the contact details provided can be used to directly contact the NPC, but this is an area in which an active Secretariat should be keen to ensure information is regularly updated.

Only one state that indicates the establishment of an NPC in its latest report does not provide this information in its preceding report. Of the states that do not provide this information in an earlier report, five provide the name of an individual and two the name of an agency or ministry in their latest reports during 2012–17. Three states that previously name an individual contact person do not do so in their latest report, however, and two no longer provide the name of the agency or ministry in which the NPC is located. Two states that previously provide contact details do so in their latest reports, but one state that previously provides this information does not do so in its latest report.

The PoA reporting template asks states if their PoA NPC is also responsible for ITI matters or if another NPC should be contacted in this regard. Ninety-five of the 110

Box 2.1 Does a change in the national point of contact have an impact on information provided in the national report?

The analysis of national reports on implementation of the PoA and ITI reveals a relatively strong correlation between a change in the individual named as the NPC and variations in the responses in the reports. In general, there tend to be fewer changes in responses for states that reported at least twice and indicate the same NPC during the period 2012–17 compared to states where the NPC changed. In a sample of 60 states that submitted at least 2 reports during 2012–17, states that changed their NPC exhibited an average of 30 changes—compared to fewer than 20 for states that indicate the same NPC for 2 reports. This suggests that a change in NPC, even after only a short time in post, can significantly influence how reports are completed, seemingly regardless of changes in policies or legislation. These changes could be because a new NPC may lack the necessary knowledge to complete the report or may interpret a question differently than their predecessor.

assessed states have established an NPC for ITI matters, of which 76 state their PoA NPC is also responsible for ITI matters and 19 provide contact information for another NPC (see Figure 2.3). Although 85 per cent of the 110 assessed states indicate an NPC for ITI matters, there are regional differences: all European respondents have an NPC for ITI matters, followed by 89 per cent of respondents from states in Africa; 80 per cent from the Americas; 71 per cent from Asia; and 71 per cent from Oceania.

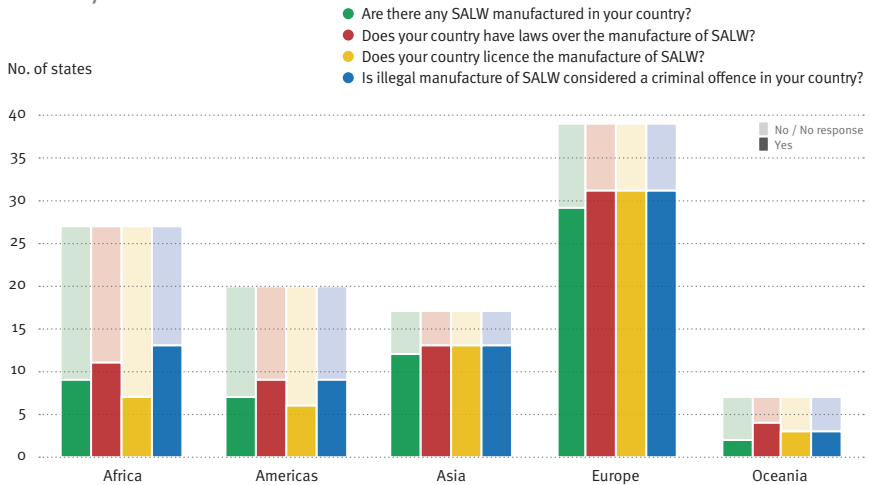
2.2. Manufacture

The first question in the ‘manufacture’ section of the PoA reporting template asks states if any small arms are manufactured in their country. If the respondent uses the online PoA reporting tool and answers ‘no’ or does not select a response (‘no response’), no further questions are asked regarding measures to regulate manufacture. If the respondent answers ‘yes’ or prints out the entire reporting template, questions are asked regarding: ‘laws, regulations, and/or administrative procedures to exercise effective control’, including licensing and criminalization of illegal manufacture (UNGA, 2001a, para. 11.2–3); marking at manufacture (UNGA, 2001a, para. 11.7; 2005a, paras. 8a, 10a); manufacturers’ record-keeping (UNGA, 2001a, para. 11.9; 2005a, paras. 11, 12a); and action taken ‘during the reporting period’ against groups or individuals involved in illegal manufacture (UNGA, 2001a, para. 11.6). The last of these issues is discussed in Box 2.2.

Fifty-nine states report that their state manufactures SALW, of which 29 are in Europe; 12 in Asia; 9 in Africa; 7 in the Americas; and 2 in Oceania (see Figure 2.4). The responses for three of these states changed from ‘no response’ or ‘no’ to ‘yes’ during the period 2012–17. Part of the problem for analysing small arms manufacture using the reporting template is that no additional information is sought regarding the types of small arms manufactured and whether state-owned or commercial enterprises manufacture them. Very few states provide information on small arms manufacturing in their state. An exception to this rule is Nigeria, which provides some information in its 2016 report on its national small arms producer, the Defence Industries Corporation of Nigeria, and mentions the existence of craft production in Nigeria (Nigeria, 2016).

More states report that laws, regulations, and/or administrative procedures exist to ‘exercise effective control’ over the manufacture of small arms in their territory than the number of states that report small arms are manufactured in their state—68 states compared to 59, respectively (see Figure 2.4). Nine states that do not report manufacturing SALW have measures in place to control manufacture. Five of these 68 states either answer ‘no’ or do not provide a response in their previous report during 2012–17. Three states that answer ‘yes’ in a previous report either answer ‘no’ or provide no response in their latest report and therefore do not list their laws, regulations, or administrative procedures. Therefore, five states self-report on potential

Figure 2.4 Number of states providing information on manufacturing controls, 2012–17



progress with regards to the control of manufacturing. Sixty-five states list their laws and regulations in their latest report, six of which do not provide such information in their previous report. The number of states that have laws, regulations, or administrative procedures to ‘exercise effective control’ over the manufacture of small arms could be higher for this sample of 110 states. This is because there could be other states that indicate their state does not manufacture small arms, and that are therefore not provided with the opportunity to address manufacturing controls in the online reporting template.

Sixty states indicate that small arms manufacturing is licensed in their state, meaning there is not a perfect correlation between those states that manufacture, or report having laws, regulations, and administrative procedures to effectively control small arms manufacture, and those that use a licensing system to control manufacture. All states in Asia, Europe, and Oceania that indicate small arms are manufactured in their state also license the manufacture of small arms; two African states and one state in the Americas report the manufacture of small arms in their state but no licensing of manufacture. One state in Asia, two in Europe, and one in Oceania that license the manufacture of small arms indicate that small arms are not manufactured in their state. Six states that do not report on licensing for manufacture in an earlier report indicate that such measures are now in place, while three states that report on licensing for manufacture in a previous report do not provide this information in their latest report. Therefore, of those states that provide information on measures to con-

trol the manufacture of small arms, licensing manufacturers is a common control measure.

Sixty-nine states indicate that illegal manufacture is a criminal offence in their country. Two African states that report that illegal manufacture is a criminal offence do not indicate the existence of laws, regulations, or administrative procedures to ‘exercise effective control’ over such manufacture in their territory. One state in Oceania indicates the reverse: that laws, regulations, or administrative procedures are in place but illegal manufacture is not a criminal offence. Although 5 of the 69 states do not provide such information in their previous report, 3 states that provide such information in a previous report do not do so in their latest report.

The ‘manufacture’ section of the reporting template seeks information on marking at manufacture; specifically, the content of the markings and the part of the arms to be marked. According to the latest national reports, 61 states require marking at manufacture; 6 of these states do not provide a positive answer on this issue in their previous report (see Figure 2.5), while 2 states that previously indicate the requirement for marking at manufacture do not do so in their latest report. Therefore, the number of states that provide such information corresponds with neither the number of states that report the manufacture of small arms (59 states) nor the number of states that report having laws, regulations, and administrative procedures in place to effectively control small arms manufacture (68 states). Nevertheless, a positive tendency in marking at manufacture can be detected among regular reporters.

Fifty-nine of the 61 states that report on the requirement for marking at manufacture provide information on markings (see Figure 2.5). All 59 of these states require the serial number to be marked on the weapons; most also require the name of the manufacturer (see Figure 2.6). Seven of the 43 states that provide information on the part of the small arms to be marked to not do so in a previous report. Thirteen of these states indicate a ‘main’, ‘major’, or ‘important’ part of the small arms shall be marked and 18 name a specific part or parts—receiver, barrel, breech, body, and so on. Croatia and Japan indicate that marking varies by weapons type, while Malaysia also provides information on marking for ammunition (batch number, manufacturer’s monogram, and month–year markings in the base marking) (Croatia, 2016; Japan, 2016; Malaysia, 2016). It is thus possible to discern some common approaches in marking, even where there are differences in terminology.

Of the 63 states that require manufacturers to keep records of their activities, 60 indicate the information to be recorded. All 60 states require information to be kept in records on transactions and the type or model of small arms, 59 on the quantity of small arms manufactured, and 55 on markings (see Figure 2.7). Fifty-nine states provide information on how long the records should be kept, of which 29 indicate ‘indefinitely’; among the remaining 30 states, responses range from 3 to 50 years. It is difficult to definitively declare progress on marking and record-keeping for manu-

Figure 2.5 Number of states providing information on marking at manufacture, 2012–17

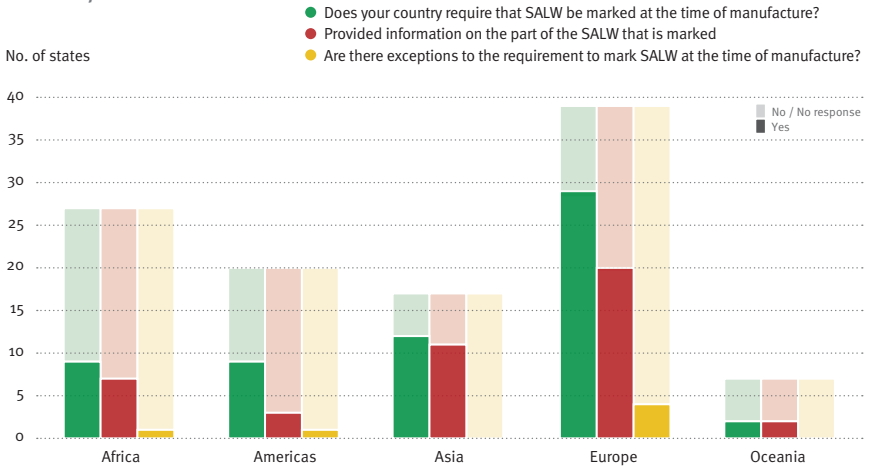
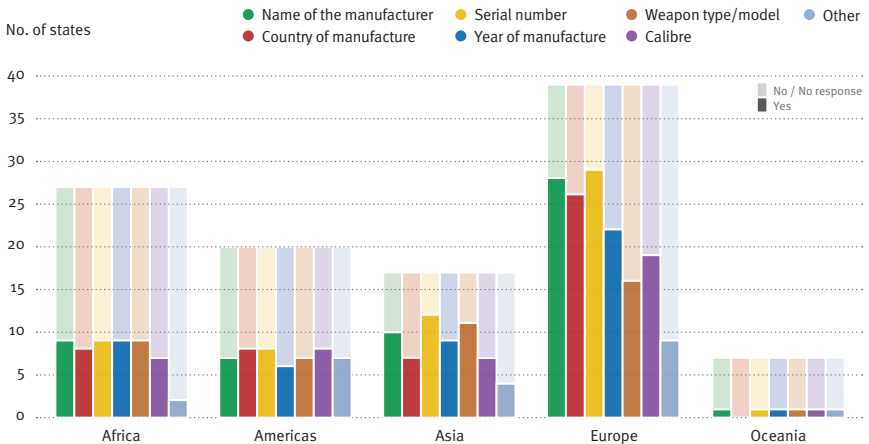
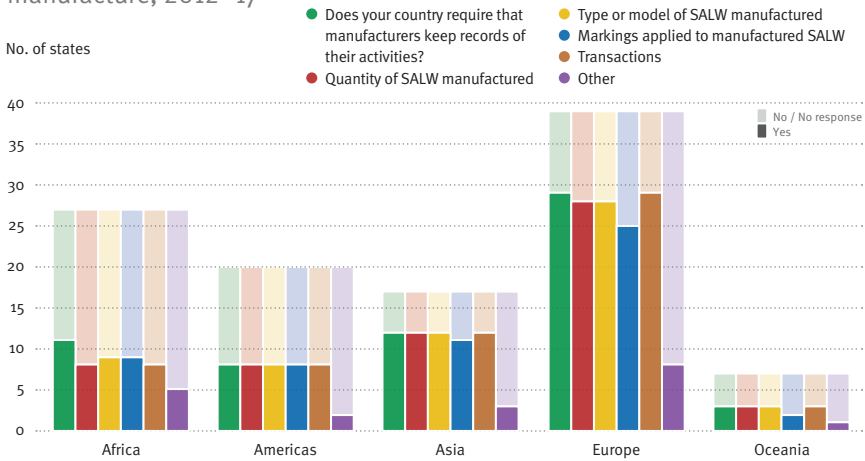


Figure 2.6 What information is included in the marking?



facture; although six states that do not provide information on requirements for marking at manufacture in their previous reports do so in their latest reports, the reverse is true for four states. A similar situation exists for record-keeping; six states provide information in their latest reports that do not in their previous reports, while the reverse is true for four states.

Figure 2.7 Number of states providing information on record-keeping for manufacture, 2012–17



Box 2.2 Action taken during the reporting period against groups and individuals engaged in illegal manufacturing, international transfers, or brokering of small arms and light weapons

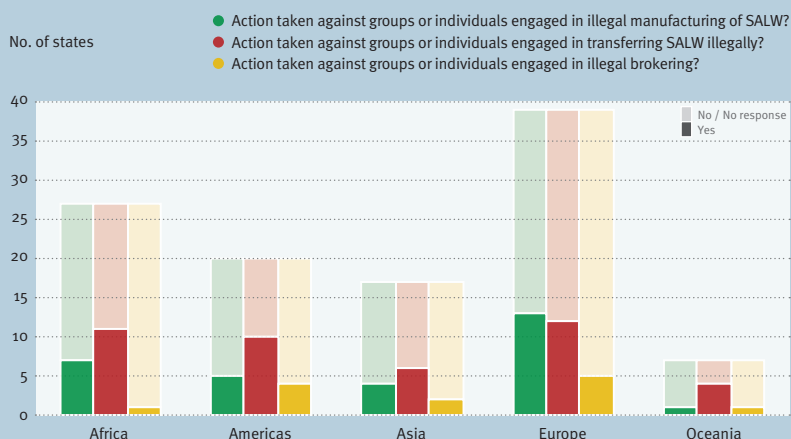
Paragraph II.6 of the PoA indicates that a measure to prevent, combat, and eradicate the illicit small arms trade includes identifying and taking action against ‘groups and individuals engaged in illegal manufacture, trade, stockpiling, transfers, possession, as well as financing for acquisition, of illicit small arms and light weapons’ (UNGA, 2001a, para. II.6). The PoA reporting template asks for information on such actions undertaken during the reporting period regarding illegal manufacture, transfer, or brokering of small arms. There are no questions on illegal stockpiling, possession, or financing in the template. States are also invited to provide ‘details’ on the actions taken.

Thirty states report that action has been taken against groups or individuals involved in illegal manufacturing during the reporting period, with only one Asian state not providing details (see Figure 2.8). Forty-three states report that action has been taken against groups or individuals involved in illegal international transfers during the reporting period, of which 35 respond to the request to provide additional details. Thirteen states indicate that action has been taken against groups or individuals involved in illegal brokering during the reporting period, of which 12 provide details. In addition, two African states—which are not among the 13 states that tick the box to indicate action taken during the reporting period—provide information. For example, South Africa indicates that no action has been taken during the reporting period, but provides addi-

tional text stating: ‘Such actions have in the past been taken against individuals and groups that engage in illegal brokering. However, none in 2013’ (South Africa, 2014). The South African report also contains contact details for those seeking additional information on action taken against groups and individuals engaged in illegal international transfers. This practice is to be commended as particularly useful for information exchange on this issue.

Only a small number of the states that answer ‘yes’ to questions on action taken against groups and individuals involved in illegal manufacture, international transfers, and brokering provide details relating to specific cases. No responses include information that could usefully inform other states on methods of illegal manufacture, international transfer, or brokering. Some states indicate that information is not yet available (for example, Portugal), while others provide an overview of the relevant legislation (for example, India). The former Yugoslav Republic of Macedonia (Macedonia) and Germany provide aggregated data on the number of individuals prosecuted or investigated for criminal offences, citing relevant legislation (Germany, 2016; Macedonia, 2016). For example, Macedonia reports 196 criminal offences of illegal manufacture, possession, and trade in weapons and explosive materials, for which 226 persons were charged during the reporting period (Macedonia, 2016). Slovakia and Sweden provide information on the types of weapons involved in cases—the reactivation of arms in the case of Slovakia, and the manufacture of submachine guns and small arms parts in Sweden (Slovakia, 2016; Sweden, 2016). These questions could potentially help to elicit information from states on progress towards SDG target 16.4.2, but as of 2018 their potential in this regard is not being realized.

Figure 2.8 Number of states providing information on action taken against groups and individuals engaged in illegal manufacturing, international transfers, or brokering, 2012–17



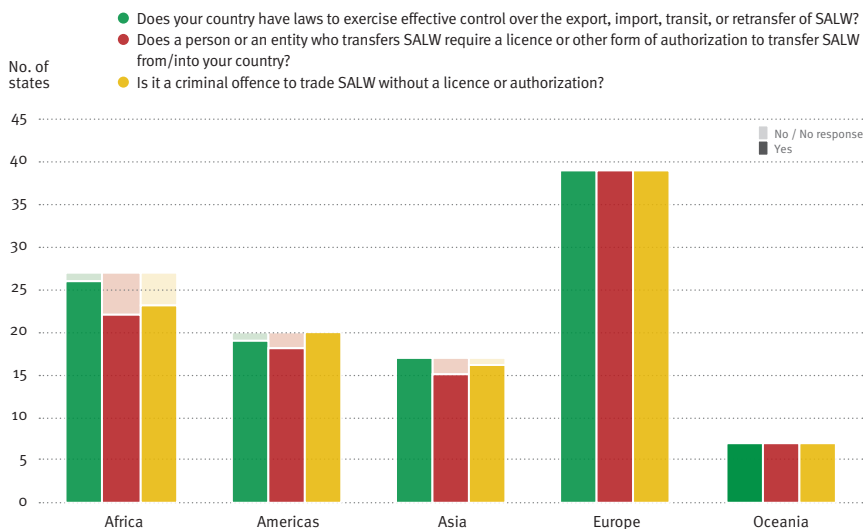
2.3. International transfers

The PoA reporting template section on international transfers contains the most data points for analysis. There are similar sub-sections and questions in the template for ‘manufacture’ and ‘international transfers’: laws, regulations, and/or administrative procedures (UNGA, 2001a, paras. 11.11–12); licensing and authorization, including criminalization of illegal transfers, assessment criteria, and processes for checking documentation supplied in support of an application for a licence, permit, or authorization to export small arms, and exemptions or simplified procedures (UNGA, 2001a, paras. 11.3, 11.11–12); post-delivery controls, in particular the use of a delivery verification certificate or physical check at the point of delivery (no PoA reference given); marking at import (UNGA, 2005a, para. 8b); and record-keeping (UNGA, 2001a, para. 11.9; 2005a, ITI 12). Several questions were removed from the ‘licensing and authorization’ sub-section of the 2011 reporting template and therefore are not included in the 2014 version, including on states’ international commitments when assessing an export licence application, re-export conditions, and exemptions or simplified licensing procedures. Unlike the manufacture section, there is no opening question on whether the state has imported, exported, or recorded the transit or transshipment of small arms during the reporting period. Further, the questions asked in the PoA reporting template do not seek to understand the different methods for effectively controlling export, import, or transit and transshipment.

One hundred and eight assessed states report they have laws, regulations, and/or administrative procedures to exercise effective control over international transfers (see Figure 2.9). This is the highest number of ‘yes’ answers recorded in response to a question in the PoA reporting template. Of these 108 states, 103 provide a list of laws, regulations, and/or administrative procedures, while Nicaragua does not respond to the initial question on whether it has laws, regulations, and/or administrative procedures, but does provide information on a law to control transfers (Nicaragua, 2012). Two of the 108 states either answer ‘no’ or provide no response in their previous report, and three do not provide additional information in their previous report. Therefore, almost all of the assessed states indicate that measures—laws, regulations, and/or administrative procedures—are in place to control international transfers, and provide information on these.

One hundred and one states report that a licence or authorization is required before a transfer can take place; it is a criminal offence to trade without a licence or authorization in 105 of the assessed states. Figure 2.9 shows the regional breakdown for responses to this question, for which 100 per cent of assessed states in the Americas, Europe, and Oceania provide ‘yes’ answers on both issues, compared to 85 per cent of African and 88 per cent of Asian states. Four states that do not previously provide information on licensing, or that previously indicate a licence is not required, answer in the affirmative in their latest report. Five states that either do not provide an answer

Figure 2.9 Number of states providing information on effective control over international transfers, 2012–17

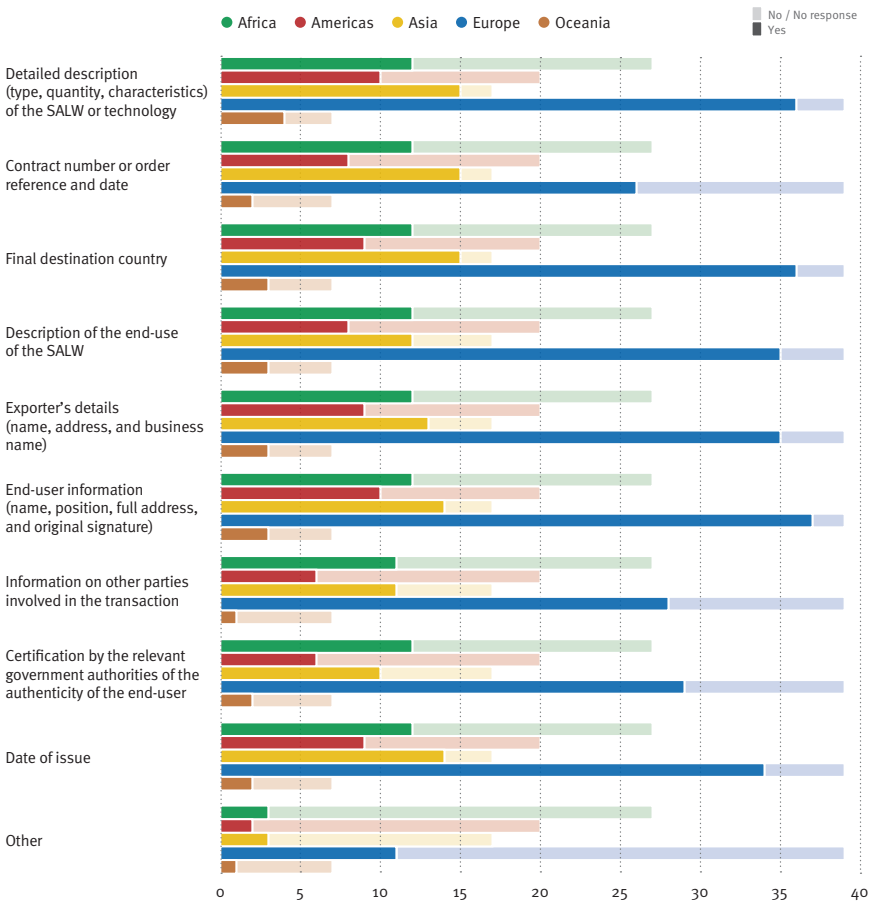


or answer ‘no’ in their previous reports indicate that it is a criminal offence to trade without a licence or authorization in their latest reports. Ghana reports that a licence or authorization is required before a transfer can take place, but that it is not a criminal offence to trade without a licence or authorization (Ghana, 2016). Neither Somalia nor Uganda indicate that a licence or authorization is required before a transfer can take place, but it is reportedly a criminal offence in both states to trade without a licence or authorization (Somalia, 2016; Uganda, 2014).

The reporting template seeks to gather information on the content of end-user certificates (EUCs) and other forms of related documentation, as well as on the process for authentication, verification, and preventing misuse. Seventy-six states report that an EUC is required prior to authorizing an export of small arms—41 per cent of reporting states in Africa; 40 per cent of those in the Americas; 94 per cent in Asia; 95 per cent in Europe; and 57 per cent in Oceania (see Figure 2.10). Overall, 77 states provide information on the elements contained in EUC documents. Most of these states require a detailed description of the items and end-user information as well as information on the final destination country, the exporter’s details, the date of issue, and the end use (see Figure 2.10). Although the questions on measures to control small arms re-exports were dropped from the 2014 PoA reporting template, six states that provide ‘other’ information on the contents of their EUCs note the requirement for a commit-

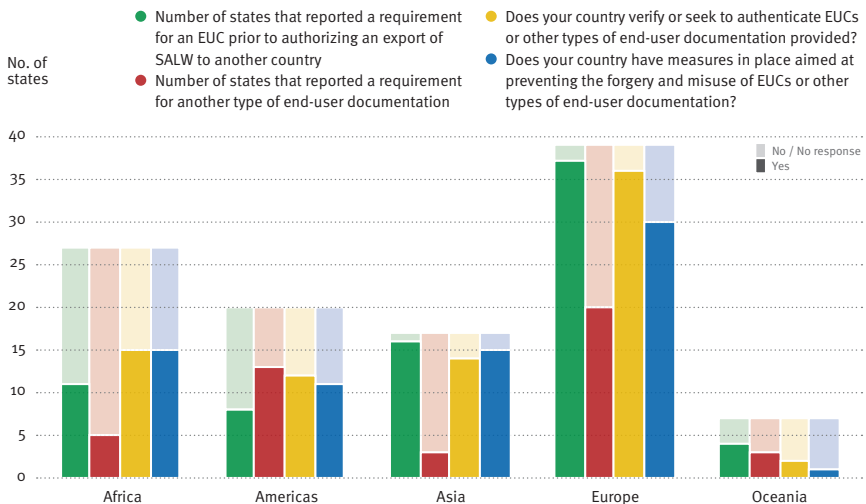
ment not to re-export small arms without notification or permission from the original exporting state in their EUCs or related documentation. Although three states that previously report on the use of EUCs and their contents do not provide such information in their latest report, six states that do not report on the use of EUCs in their previous report do so in their latest report. Nine states provide information on the contents of their EUCs that had not provided such information previously. Therefore, this is an area in which the quality of information that regular reporters provide has improved during the period between RevCon2 and RevCon3.

Figure 2.10 Number of states providing information on the contents of end-user certificates, 2012–17



In total, 79 states report that they ‘verify or seek to authenticate’ EUC or other documents (see Figure 2.11), 67 of which comment on how this is undertaken. Seven states explicitly note that their embassy in the recipient state can verify or authenticate received documentation, although this is not used in the risk assessment before every export licence or authorization (for example, Canada, China, Estonia, Germany, India, Ireland, and Nigeria). Seventy-two states indicate they have measures in place aiming to prevent the forgery or misuse of EUC or other types of documents (see Figure 2.11), 61 of which provide details on what this entails. This is an area in which there has been notable progress. Eleven states that previously either did not respond, or answered ‘no’, say in their latest report that they ‘verify or seek to authenticate’ EUC or other documents. Five states that previously answered this question in the affirmative do not answer in their latest report. Most notably, 18 states that did not do so in their previous report provide some information on measures utilized for verification and authentication, compared to two states that previously provided such information but do not in their latest report. There was a comparable increase in the number of states that report on measures to prevent forgery or misuse, which also provide examples of such measures. Again, 11 states that had not previously responded, or answered ‘no’ on this issue, indicate in their latest report that they have measures in place to prevent forgery or misuse. Only two states do not indicate their situation in their latest report after previously reporting on measures to prevent forgery and misuse. Fifteen states that had not provided information on measures in their previous report do so in

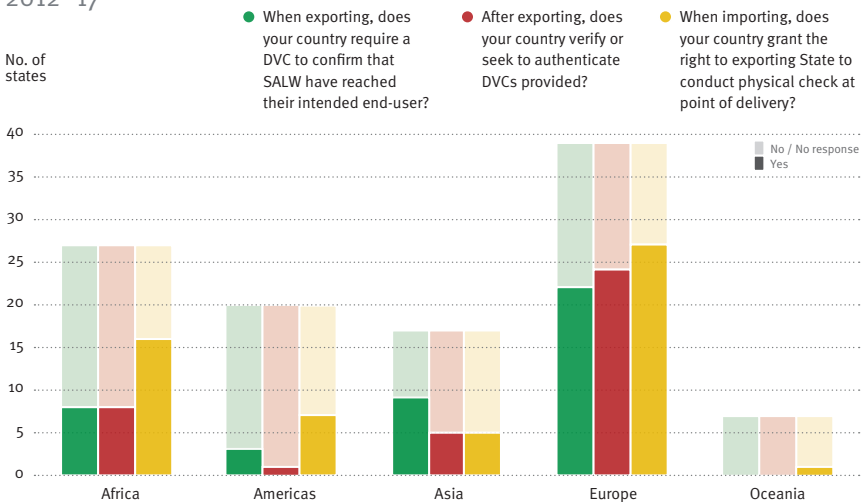
Figure 2.11 Number of states providing information on measures to check end-user certificates or other documentation, 2012–17



their latest report, with only one state moving in the opposite direction. It is for this reason that the issue of end-use(r) controls has been highlighted as potentially ripe for harmonization of standards at the international level (UNIDIR, 2016; 2017).

Overall, national reports indicate that the number of states utilizing post-delivery controls is significantly lower than those using measures to assess the risk of diversion or misuse before authorization or issuing a licence. For example, 42 states report that when exporting they require a delivery verification certificate (DVC) to confirm small arms have reached their intended end user, and 38 states verify or seek to authenticate a DVC—38 per cent and 35 per cent of assessed states respectively (see Figure 2.12). Fifty-six states are willing to grant the exporting state permission to conduct a physical check at the point of delivery. Nevertheless, there is a positive trend for post-delivery controls. For example, seven states that had previously not answered or provided a ‘no’ answer on the use of a DVC answer positively in their latest report, with a similar positive trend for six states regarding verification or authentication. Two states that previously report on DVC use do not do so in their last report, and one state that had indicated verifying or authenticating DVC does not provide this information in its latest report. With regards to permission to conduct a physical check at the point of delivery, 12 states answer in the affirmative in their latest report that had previously not provided such information, or stated ‘no’, while four states moved in the other direction. This represents a notable shift for the regular reporters and potential for enhanced cooperation between exporting and importing states to prevent diversion after delivery.

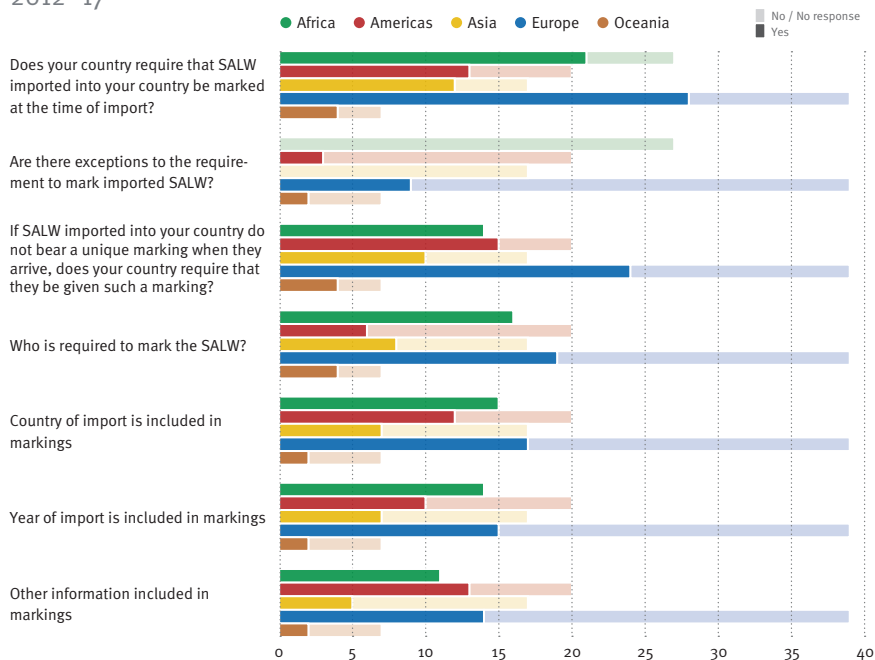
Figure 2.12 Number of states providing information on post-delivery controls, 2012–17



Seventy-eight states require imported small arms to be marked at the time of import, while 14 states either note or describe exemptions to this requirement (See Figure 2.13). Fifty-three states indicate who is responsible for marking at import, specifying the manufacturer, the importer, and/or a government or a responsible ministry or agency. Several states note that unmarked small arms cannot be imported, although exceptions are made for temporary imports. Fifty-three states provide information on the required markings for imported small arms. One hundred per cent of these states require the country of import to be marked on the weapons and 91 per cent the year of import. Sixty-seven states require the marking of imported arms if they do not bear a unique marking, and 55 states provide details on the marking—including Mozambique, which does not indicate that small arms need to be marked on import but provides information on the contents of marking (Mozambique, 2016). Therefore, 12 states that require marking of small arms do not provide information on their marking requirements.

Nine of the states that indicate small arms need to be marked at import did not do so in previous reports. Two states do not provide this information in their latest reports

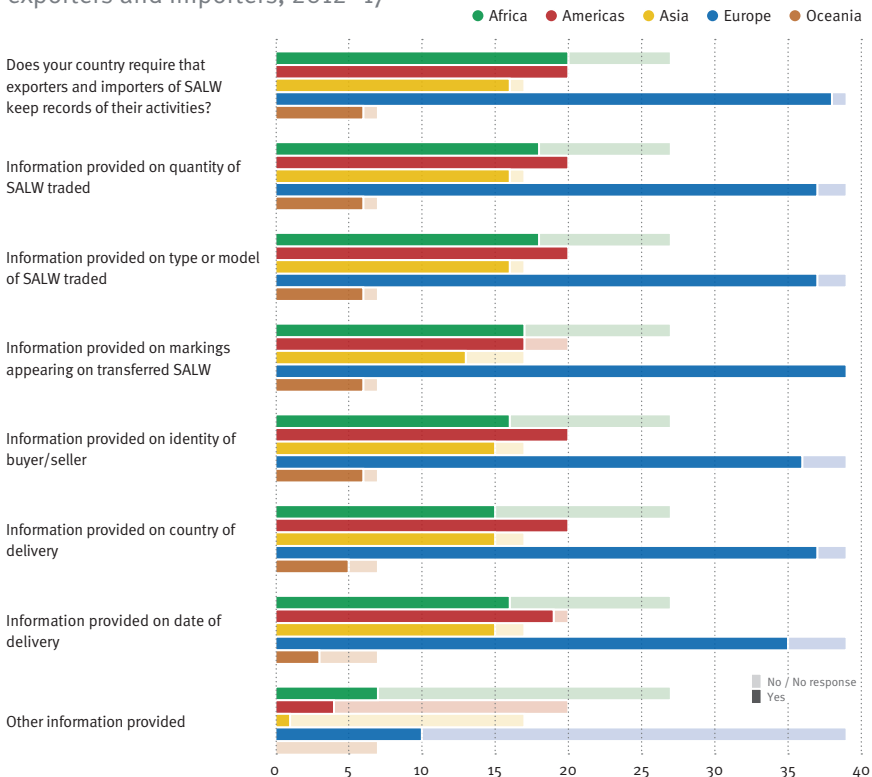
Figure 2.13 Number of states providing information on marking at import, 2012–17



but did so previously. Seven states provide information on who is required to mark but did not do so previously. Eleven states that had not responded positively or at all on this issue in their previous report indicate a need to mark on import if the small arms do not bear a unique marking, while 12 states provide details on the marking that did not do so in a previous report. Therefore, it appears that there is a positive tendency on import marking among states that reported during 2012–17.

One hundred states indicate they require exporters and importers to keep records of their activities. Most of the 97 states that provide information on the contents of their records require record-keeping on the quantity and type of small arms traded, the identity of buyer or seller, and the country of delivery (see Figure 2.14). Overall, ten of these 100 states do not indicate that exporters and importers are required to keep records of activities in their previous report. Ninety-two states provide information on how long records must be kept, of which 37 require records to be kept indefinitely;

Figure 2.14 Number of states providing information on record-keeping by exporters and importers, 2012–17



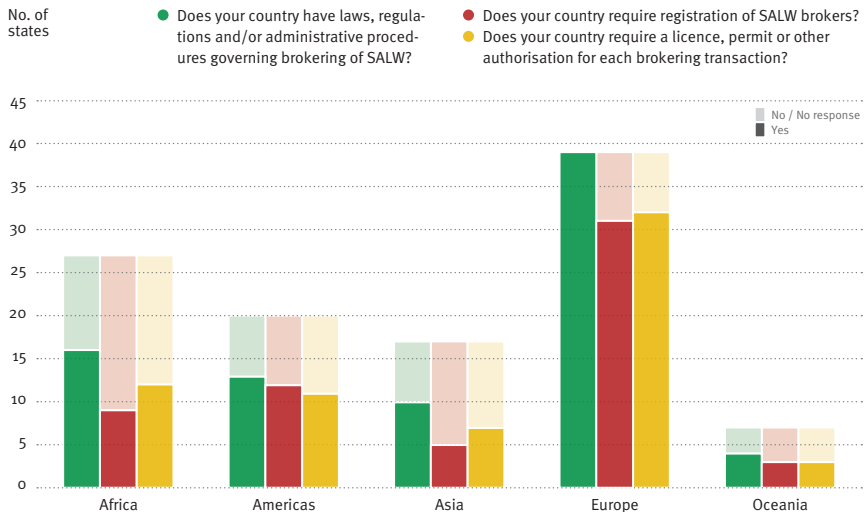
the remaining 55 states required records to be kept for between 5 and 30 years. Some respondents indicate different record-keeping requirements for state authorities compared to those engaged in the international arms trade. For example, Liechtenstein requires a broker to keep records for ten years and the government for 20 years (Liechtenstein, 2016). Therefore, record-keeping standards vary from state to state.

2.4. Brokering

The ‘brokering’ section of the PoA reporting template was subject to the most significant revisions of all sections between the 2011 and 2014 versions, with eight sub-questions dropped. The sub-section on ‘laws, regulations and administrative procedures’ covers ‘licensing’ and ‘criminalization’ and seeks information on the regulation of ‘related activities’, without offering a definition or guidance on what constitutes brokering (UNGA, 2001a, para. II.14).

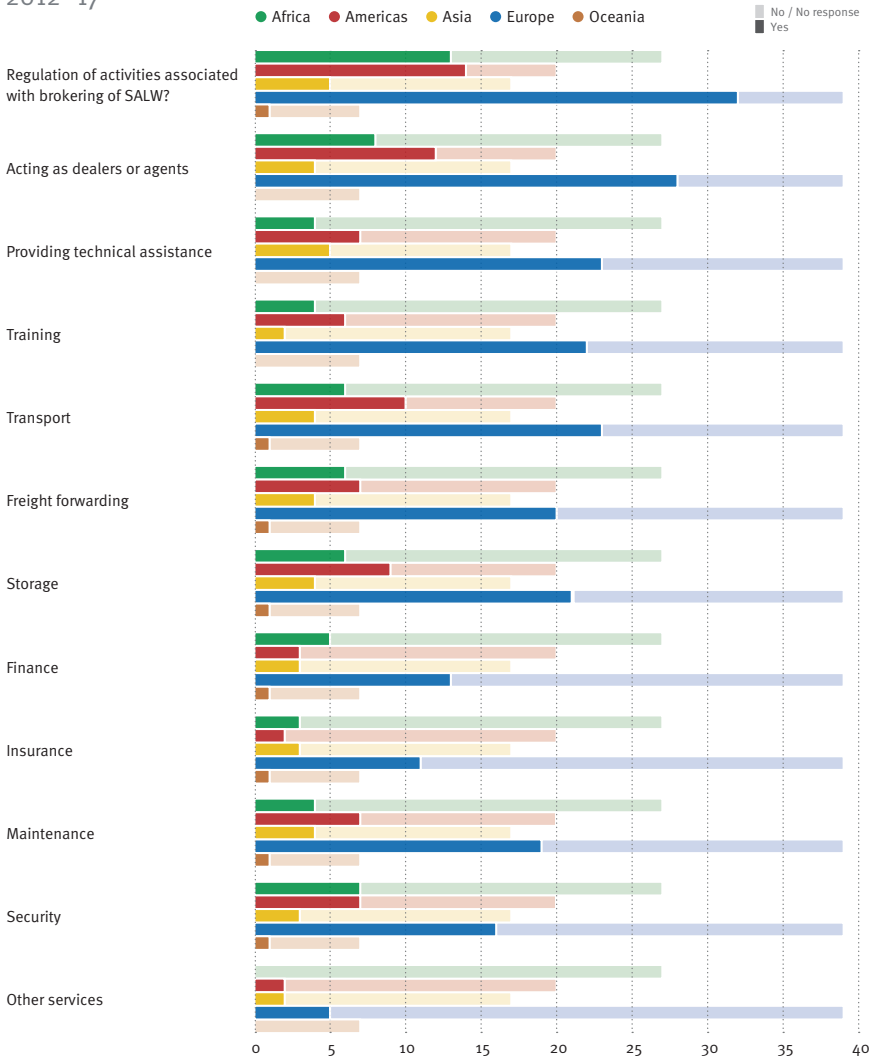
Eighty-two states report having laws, regulations, and/or administrative procedures governing brokering of small arms, and 77 list these (see Figure 2.15). Brokering controls are regarded as part of the export control system in only 45 per cent of these 82 states. Ten states that indicate brokering controls are in place in their latest report either do not provide a response or answer ‘no’ in their previous report. Several

Figure 2.15 Number of states providing information on measures to govern brokering of small arms and light weapons, 2012–17



states indicate that brokering regulations are contained in a draft bill (for example, South Sudan and Tanzania), or that brokering regulations only apply in very limited cases—for example, with regards to destinations subject to UN arms embargoes in the case of Canada (Canada, 2016). Therefore, while the closed questions are not so

Figure 2.16 Number of states providing information on the regulation of activities closely associated with brokering of small arms and light weapons, 2012–17



helpful for states to indicate measures undertaken to regulate brokers and brokering, the requests for additional information provide states with the opportunity to explain national systems. Unfortunately, not all states use this opportunity.

The current structure of the reporting template provides only a partial understanding of the measures states utilize to govern brokering. Seventy states report on the method used for regulating brokers. Sixty-five report requiring a licence or permit for each brokering transaction, 60 require registration, and 55 require registration to be a broker in addition to a permit or licence for each brokering transaction. Eleven states require a licence or permit for each brokering transaction but do not require registration. Four states require registration but do not require a licence or permit for each brokering transaction; all of these states are in Europe. Six states which do not provide this information in a previous report indicate in their latest report that brokers need to register. Eight states which do not report on this in their previous report report on the requirement to acquire a licence before undertaking brokering activities. Sixty-five states regulate activities closely associated with brokering (see Figure 2.16). Therefore, it would appear that a two-step process for regulating brokers is utilized in the majority of states that report on their national brokering control system. It is not possible, however, to discern how this is carried out. Are brokers screened before registration? What criteria are utilized to assess licence or authorization applications?

2.5. Stockpile management and disposal

The ‘stockpile management’ section of the reporting template seeks information on not only the safety and security of the stockpile—under the sub-heading ‘Laws, regulations and/or administrative procedures for management and security’ (UNGA, 2001a, para. II.17)—but also the designation of surplus and methods for disposal of surplus stocks, in line with PoA paragraphs II.18, 19, and 20.

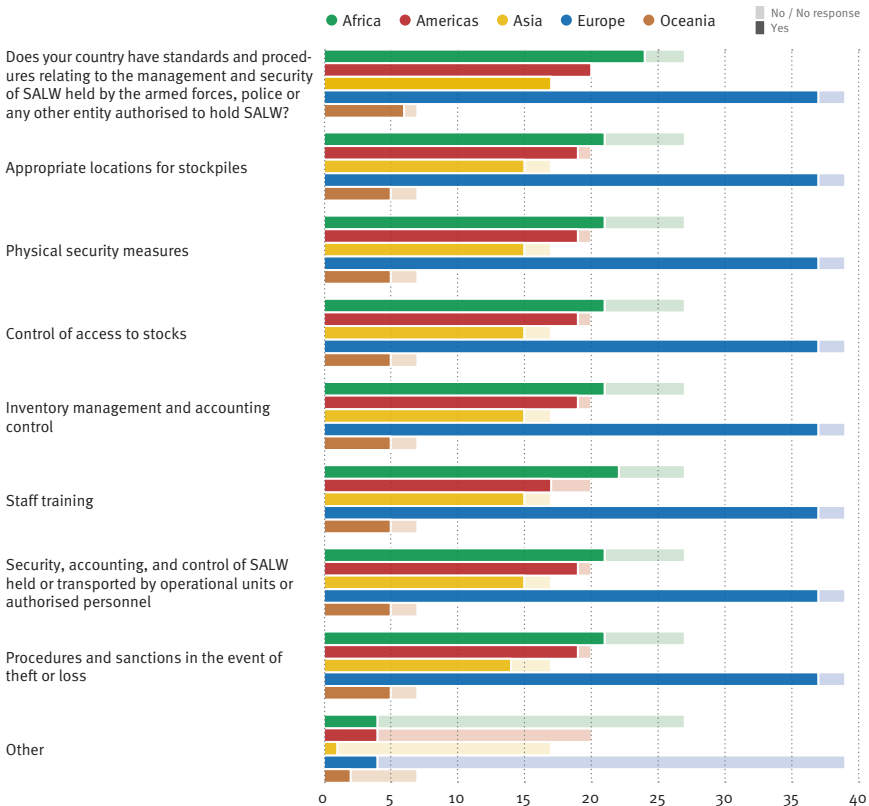
One hundred and four states report they have ‘standards and procedures relating to the management and security of [small arms] held by the armed forces, police or any other entity authorised to hold [small arms]’ (see Figure 2.17). Four of these states do not indicate having such standards and procedures in place in their previous report, while two states that do so in their previous report do not provide information in their latest report. Ninety-nine of these states provide information on the provisions included in the standards and procedures. Almost all of these states undertake the following measures: ‘appropriate locations for stockpiles’; ‘physical security measures’; ‘control of access to stocks’; ‘inventory management and accounting control, and security’; and ‘accounting and control of SALW held or transported by operational units or authorised personnel’ (see Figure 2.17). The United States does not tick boxes to indicate if it has such provisions, but includes a note that:

Federal law enforcement and the armed forces maintain strict standards on stockpile security. State and local law enforcement, including prison officials, impose regulations on proper maintenance and care of stockpiles, including in many cases regular vault inventories (United States, 2014).

Canada includes additional information, which had been included in previous reports submitted in a narrative national report format (Canada, 2016).

Of the 91 states that provide information on the measures taken when stocks are regarded as surplus, 73 report recording such stocks by type, lot, batch, and serial number (see Figure 2.18). Almost all states indicate they dispose of surplus by destruction, followed by sale or transfer to legal entities, transfer to another state

Figure 2.17 Number of states providing information on the standards and procedures to manage the security of small arms and light weapons held by government entities, 2012–17



agency, sale to another state, donation to another state, or sale to civilians (see Figure 2.19). Several states indicate they can utilize more than one method for surplus disposal, but no state provides a ranking of preferred or most common methods for disposal.

Figure 2.18 Number of states providing information on what actions are taken when small arms and light weapons have been identified as surplus, 2012–17

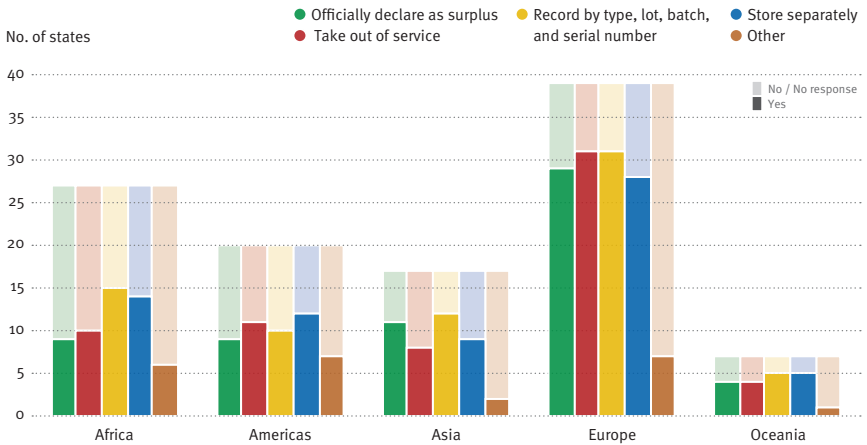


Figure 2.19 Number of states providing information on methods used to dispose of surplus small arms and light weapons, 2012–17

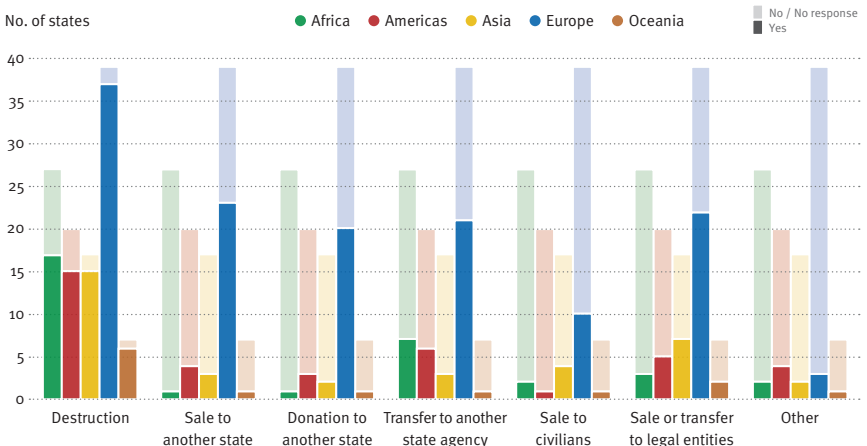
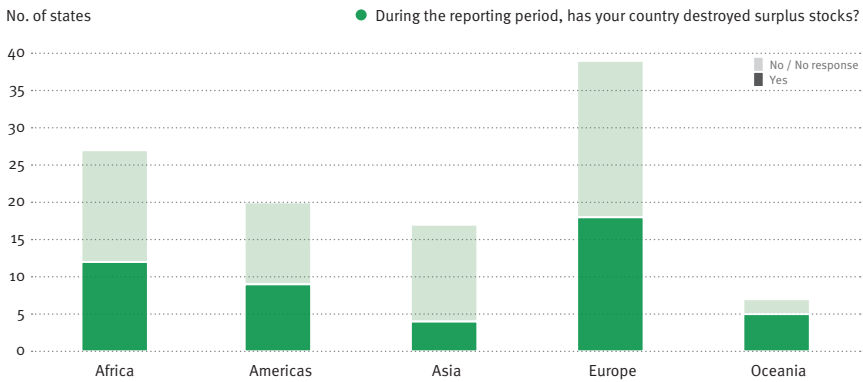


Figure 2.20 Information on destruction of surplus stocks during the reporting period



Forty-eight states indicate they have destroyed surplus stocks during the period covered by their latest report, of which 34 provide information on the number of items, method of destruction, or both (see Figure 2.20). For example, eight states provide a breakdown of number of weapons destroyed by type for the reporting period, and four states provide information on the number of weapons destroyed and the method used for demilitarization during the reporting period. The remaining states provide a single overall figure for the volume of weapons and ammunition destroyed, either for a period longer than the two years covered by the report or without indicating a time period; some of these states provide no information at all on the number of items destroyed or method. Bosnia-Herzegovina, Moldova, and Trinidad and Tobago mention the role played by international assistance in enabling destruction activities to take place during the reporting period (Bosnia-Herzegovina, 2017; Moldova, 2014; Trinidad and Tobago, 2014). These are exceptional examples of where states provide information in their national report on assistance received to implement the PoA or ITI.

2.6. Collection

This is the only section of the PoA reporting template for which the section title changes between the 2011 and 2014 versions—from ‘confiscation, seizure and collection’ to ‘collection’. The number and type of questions asked also changes; the sub-section on ‘confiscation and seizure’ is omitted from the 2014 version of the reporting template (see Box 1.1 for information on the latest round of changes to the PoA reporting template). This section in the 2014 reporting template only addresses collection; namely, the number of small arms collected, methods used for collection,

Figure 2.21 Number of states providing information on small arms and light weapons collected during the reporting period

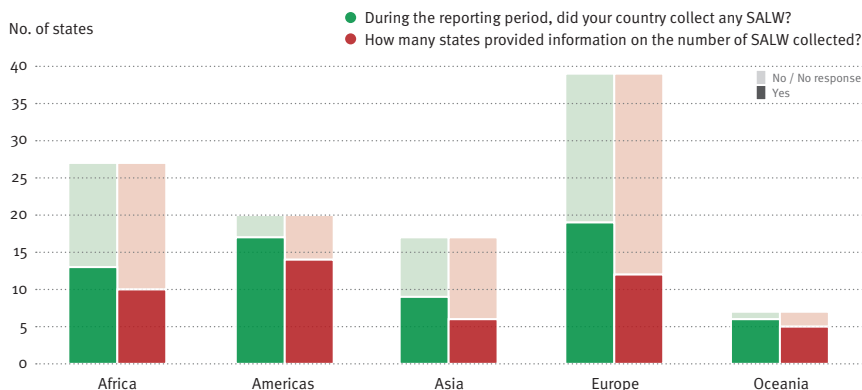
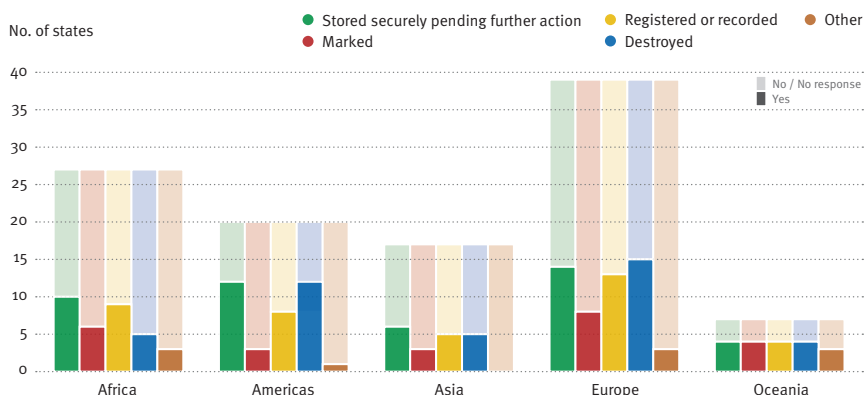


Figure 2.22 Number of states providing information on action taken with respect to the small arms and light weapons collected during the reporting period



and the action taken with regards to the collected items. Box 2.3 considers the way in which PoA national reports, and the collection section in particular, could support monitoring of SDG targets and indicators.

Sixty-four states indicate that small arms had been collected during the period covered by their latest report (see Figure 2.21). In contrast to the previous PoA reporting template, the latest version of the form does not request information on the nature of the collection exercise. Forty-seven states respond to the request for information

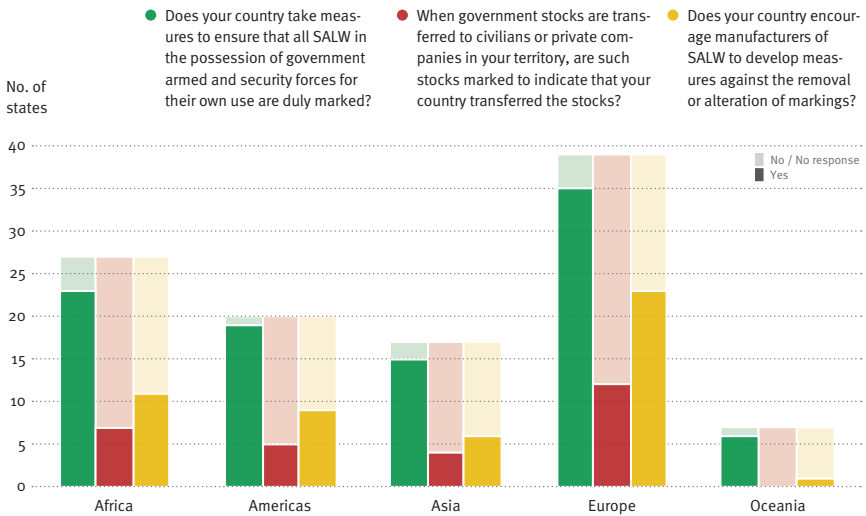
on the small arms collected. Six of these explain that such information is ‘not available’ for the report, and two that this type of information is not collected systematically at the national level. Overall, 16 of the states that indicate collection had taken place during the reporting period covered by their latest report do not provide such a response in their previous report, while 11 states respond to this request for information that do not do so in their previous report. There is evidence of progress here—but also challenges for data collection and aggregation, which will impact on efforts to measure progress towards SDG target 16.4, including using indicator 16.4.2.

2.7. Marking and record-keeping

Previous sections of this study address marking and record-keeping with regards to ‘manufacture’ and ‘international transfers’. The PoA reporting template also has a section that seeks information on marking and record-keeping for small arms in the national stockpile. The sub-section on marking in the 2014 PoA reporting template seeks information on the enforcement of measures to prevent unmarked or inadequately marked small arms being present in the country (UNGA, 2001a, para. 11.8), including the marking of government-held stocks and transfers to civilians (UNGA, 2005a, para. 8). The sub-section on record-keeping seeks information on government-held records for all marked small arms, to some degree repeating questions asked in the sections on ‘manufacture’ and ‘international transfers’ (UNGA, 2001a, para. 11.9; 2005a, paras. 12–13). The section on ‘views and information to be submitted’ also asks for ‘information on national marking practice’.

Eighty-six of the 98 states that report their state takes ‘measures to ensure that all SALW in the possession of government armed and security forces for their own use are duly marked’ provide a description of national marking requirements (see Figure 2.23). In contrast to the questions on the content of marking in the sections on ‘manufacture’ and ‘international transfers’, the sub-section on marking does not provide a multiple-choice list of information to be included in markings. Yet, those states that provide information on markings in this section provide the same information indicated in the previous sections on ‘manufacture’ and ‘international transfers’—that is, serial number, name of manufacturer, country of manufacture, and year of manufacture. Brazil, Liberia, and Thailand provide additional information to be recorded in markings, particularly the requirement to include a mark to designate that the weapons belong to a government institution or agency. Armenia, Germany, Liberia, and Turkey provide information on the depth to which marks are to be made on weapons and the use of lasers or stamping machines to mark weapons. The reports do not particularly help to track progress in marking of government-owned small arms; while the latest reports of four states provide information on marking that is not in a previous report, the reverse is true for four other states. Nevertheless, 12 states provide information in their latest reports that had not previously done so.

Figure 2.23 Number of states providing information on marking of government small arms and light weapons stocks, 2012–17



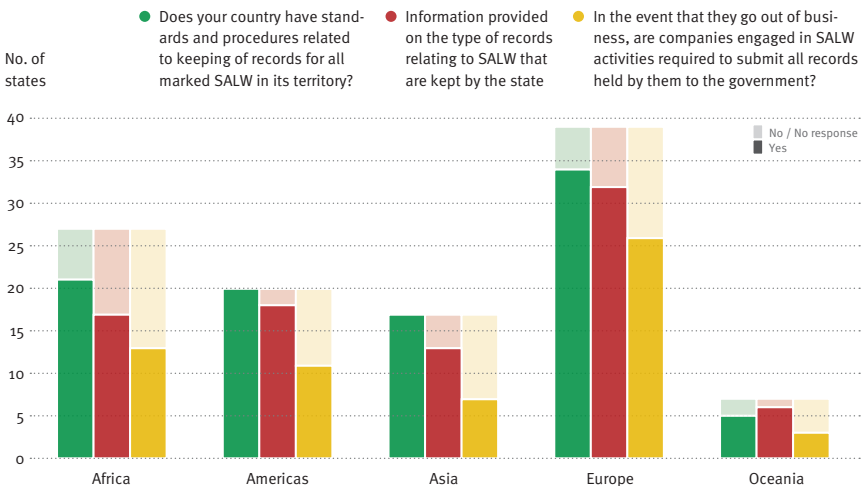
This section of the reporting template contains one of the few explicit examples of a challenge in PoA implementation. Namibia reports that, although it has received a marking machine from the US State Department in coordination with the Institute for Security Studies in South Africa, the marking of military firearms has not started, and the marking of police firearms is ‘slow due to some technical challenges on the utilization of the marking machine software’ (Namibia, 2014). Even in this case, however, the actual challenge that is preventing marking is not explained.

Twenty-eight states indicate that small arms transferred from government stocks to civilians or private companies within the national territory are marked to indicate they were transferred from the government stockpile, compared to 43 states that answer ‘no’. The reporting template does not, however, make it clear whether such transfers take place or if small arms are not marked in such cases. The answer to this question was therefore cross-referenced with the responses to questions on how states dispose of surplus stocks. This cross-checking helped to identify 16 states that report disposing of government surplus stocks via ‘sale to civilians’ or ‘sale or transfer to legal entities (for example, museums, private security companies, etc.)’ and marking surplus government stocks before such transfers. It is not clear whether the other 12 states mark their surplus before the transfer to non-state end users. This is an issue that the reporting template could address.

Fifty states report encouraging manufacturers to ‘develop measures against the removal or alteration of markings’. One would expect that this information could be cross-referenced with the information states provide in the section on manufacture, to determine how many states that host manufacturers encourage them to develop such measures. When cross-referencing the states that indicate such measures are encouraged with the number of states that manufacture small arms, however, it becomes apparent that 11 states from Africa and 9 from the Americas report encouraging manufacturers to develop such measures, compared to only 9 African states and 7 from the Americas that manufacture small arms in their country. This anomaly is not explained via the national reports in question—for example, do these states encourage the manufacturers in their trading partners to develop such measures? Overall, 76 per cent of states that encourage manufacturers to ‘develop measures against the removal or alteration of markings’ provide some information on the measures taken.

Ninety-seven states report having standards and procedures for keeping records for all marked small arms in their territory, of which 86 provide some information on the types of records retained (see Figure 2.24). This information largely repeats responses on record-keeping in the preceding sections on ‘manufacture’ and ‘international transfers’. Nevertheless, ten states that do not report positively on this issue in their previous report indicate in their latest report that they do have standards and procedures for record-keeping. Three states either do not report or answer ‘no’ but give a positive response in a previous report. There was also an overall positive swing with

Figure 2.24 Number of states providing information on the state’s record-keeping, 2012–17



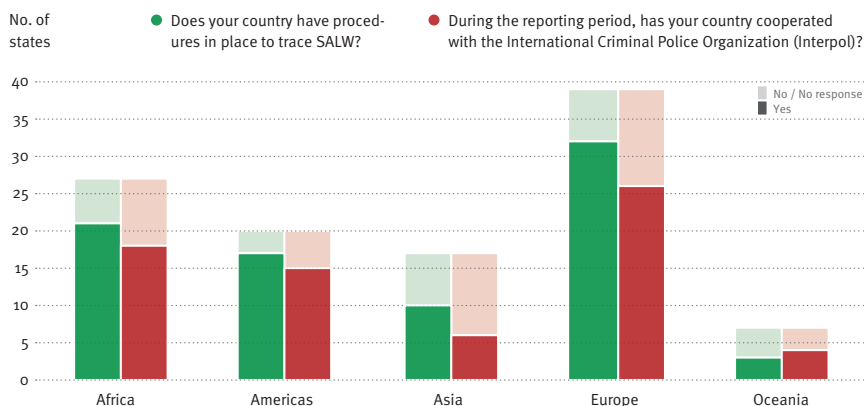
regards to the number of states providing information on the types of records retained. Eighty-six states provide information on the length of time for which these records should be retained. Forty-seven of these states indicate that such records should be retained indefinitely; the remainder, for a period ranging from two to 30 years. The requirement for record-keeping is therefore well-established, but the length of time for which records should be retained varies significantly. Further, as noted, states do not provide information on whether records are accessible for the retrieval of information to assist with tracing requests.

2.8. International tracing

The number of questions in the ‘international tracing’ section of the PoA reporting template drops from 17 in the 2011 PoA reporting template to 9 in the 2014 version. The sub-section entitled ‘Laws, regulations and administrative procedures’ now only seeks information on procedures to trace small arms (UNGA, 2001a, para. II.10; 2005a, paras. 14, 24), while the sub-section on ‘tracing requests’ asks for information on the government agency responsible for making a tracing request, and the type of information contained in a tracing request. One question on cooperation with INTERPOL remains.

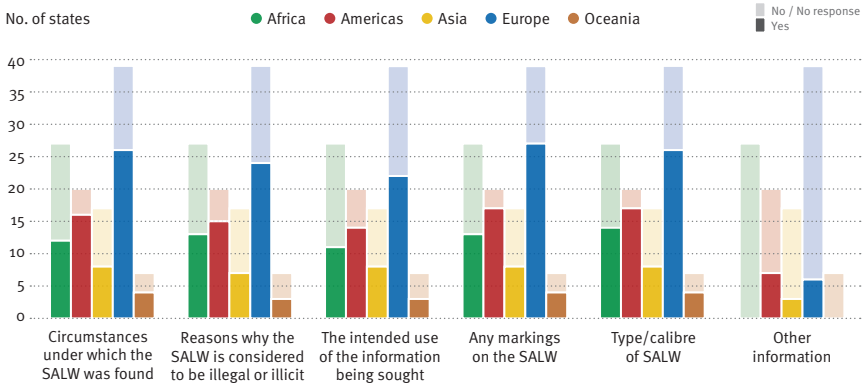
Eighty-three states report having procedures in place for tracing, and 74 indicate the government agency responsible for making a tracing request (see Figure 2.25). Bulgaria and Estonia mention multiple agencies as responsible, while others explicitly reference the INTERPOL liaison desk (Bulgaria, 2014; Estonia, 2014). Sixty-nine states cooperated with INTERPOL during the reporting period but do not report the nature of this cooperation.

Figure 2.25 Number of states providing information on international tracing, 2012–17



Almost all of the 71 states that provide information included in the tracing request, using the multiple-choice options in the PoA template, include information on marking, type, or calibre of small arms and the circumstances under which the small arms were found (see Figure 2.26). ●

Figure 2.26 Number of states providing information included in a tracing request, 2012–17



Box 2.3 Using national reports on Programme of Action and International Tracing Instrument implementation to monitor progress towards Sustainable Development Goal target 16.4

The SDGs of the 2030 Agenda for Sustainable Development came into force on 1 January 2016. The SDGs call on all states to end poverty, fight inequality, tackle climate change, and explicitly recognize the link between security and development. To achieve SDG 16, which aims to promote ‘peaceful and inclusive societies for sustainable development’, the issue of illicit arms needs to be tackled; this, in turn, will contribute towards achieving other SDGs (McDonald, del Frate, and Yeger, 2017, p. 4). To this end, target 16.4 calls for the significant reduction of illicit arms flows by 2030. Indicator 16.4.2, which is intended to monitor progress towards target 16.4, measures the ‘proportion of seized, found or surrendered arms whose illicit origin or context has been traced or established by a competent authority in line with international agreements’ (UNGA, 2017a, p. 18). The outcome document of BMS6 emphasizes that implementing the PoA and ITI contributes towards realizing SDG 16 and target 16.4, and it is expected that national reports on this implementation could support efforts to measure such progress (McDonald, 2017, p. 9; McDonald, del Frate, and Yeger, 2017, pp. 7–8).

The analysis of national reports submitted during 2012–17 indicates that states that utilize the 2014 PoA reporting template to compile their national reports do not provide the necessary data to measure progress made on indicator 16.4.2. This is because during 2012–17 only three reporting states voluntarily disaggregated data on the number of illicit small arms into separate categories for found, seized, or confiscated. It is not evident, therefore, that states are in a position (as of 2018) to provide a breakdown of illicit arms in these three categories; neither did the PoA reporting template ask how many of these arms had been traced or had their origin or context determined by another means.

As noted in Box 1.1, the PoA reporting template has been amended a third time to enable states to provide data that could be used to measure progress towards SDG target 16.4 (UNODA, 2018). To a large degree, this entailed reinserting a question from the 2011 PoA reporting template that was removed for the 2014 version, namely: ‘What action has been taken with respect to the SALW found, seized or confiscated?’ The 2018 version of the PoA reporting template also provides a table to be completed, which disaggregates the options dependent on whether the illicit small arms were seized, surrendered, or found (see Figure 2.27). Although one of the options for action taken includes ‘trace request issued’, neither the table nor any other question in the template asks for information on whether the origin or context of the seized, found, or surrendered small arms has been established. Therefore, the 2018 version of the PoA reporting template does not request information that can be used to determine the ‘proportion of seized, found or surrendered arms who illicit origin or context has been traced or established by a competent authority in line with international agreements’. This means it will not deliver disaggregated data that can be used to measure progress towards achieving SDG 16.4 against indicator 16.4.2.

Figure 2.27 New question in Programme of Action reporting template to gather data relevant to Sustainable Development Goal target 16.4

Question 12.1.3. What action was taken with respect to the SALW seized, surrendered, or found?
Specify and provide numbers.

Year	SALW seized		SALW surrendered		SALW found	
	i) First reporting year (2016)	ii) Second reporting year (2017)	i) First reporting year (2016)	ii) Second reporting year (2017)	i) First reporting year (2016)	ii) Second reporting year (2017)
12.1.2 seized / surrendered / found						
12.1.3 Action taken						
a) Marked						
b) Recorded						
c) Destroyed						
d) Trace request issued						
e) Other action: [specify]						
f) No action taken (only stored)						





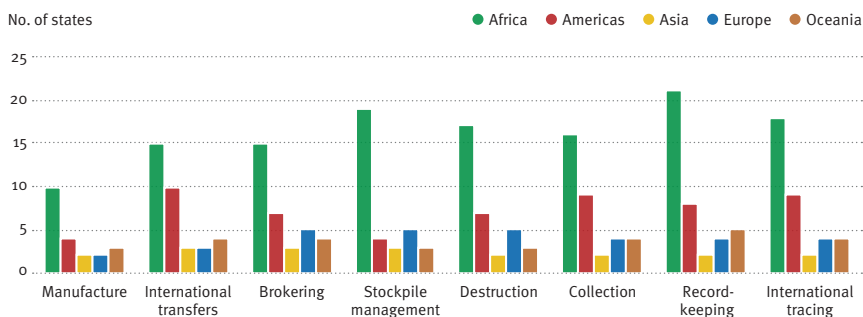
States in Africa and the Americas accounted for the largest share of requests for assistance to implement the PoA and ITI.”

3. Opportunities for international cooperation and assistance

This chapter provides an overview of assistance requests, as recorded in the thematic sections of the PoA reporting template, in terms of both the type of request made and whether a proposal has been developed. Figure 3.1 provides information on the type of assistance states request in their latest national report, broken down by region. Box 3.1 summarizes the responses of six states to the request at BMS5 for national views on ensuring the adequacy, effectiveness, and sustainability of international assistance. This chapter also provides an overview of assistance requested, received, and/or provided during the reporting period for the ten areas within the PoA reporting template section on ‘international cooperation and assistance’. Several states also utilize the ‘additional comments’ section to request assistance (for example, Botswana, Moldova, Namibia, Somalia, and South Sudan) or provide information on assistance received (for example, Liberia).

States are asked to request assistance within the main thematic issues in the reporting template, but information is not sought on assistance received or provided in these areas. As noted above, some states reveal this information when discussing implementation measures (for example, in the section on stockpile management), but it is very difficult to use the national reports to track whether assistance requests have been met, or whether states are willing to provide assistance in these areas. As a proxy indicator, requests for assistance from states that submitted more than one report were compared. This comparison reveals that states in Africa and the Americas frequently request the same type of assistance in more than one report. It is not possible to determine if this text has merely been copied and pasted from one report to the next, or if it is due to assistance not being provided in response to an earlier request.

Figure 3.1 Reporting on assistance requested, results from latest reports submitted during 2012–17



Box 3.1 Views on assistance, submitted in 2016

Six states responded to the BMS₅ request for views on assistance: Belarus, Botswana, Peru, South Sudan, Sweden, and Switzerland.⁶ The submissions from Belarus, Botswana, and Peru focus on assistance received or requests not yet met or fully realized. For example, Belarus provides information on the OSCE's assistance to improve the country's armoury safety and security and inventory controls, but also notes that the project financing is insufficient to realize all its objectives (Republic of Belarus, n.d.). Botswana notes that, while the US State Department had provided marking machines, it also requested assistance to computerize the central arms registry via PoA–ISS and 'still awaits assistance' (Republic of Botswana, n.d.).

Sweden and Switzerland give their views from the perspective of states that provide assistance to other states to implement the PoA. Sweden provides information on 'the adequacy, effectiveness and sustainability' of PoA-related projects in which its armed forces have been involved since 2001, focusing on the provision of knowledge and capacity building for safer management and stockpiling of small arms and ammunition in Bosnia and Herzegovina, Kenya, and Moldova. The Swedish intervention stresses that most of its assistance has related to ammunition (Swedish Armed Forces, 2015). The Swedish contribution provides information on project risks, inception, planning, and delivery, emphasizing the importance of 'local ownership' by the partner country for an assistance project to be adequate, effective, and sustainable. Switzerland explains that the criteria it uses to assess whether to provide assistance take into account: 'the local needs and capabilities (adequacy), [if the project] is target-oriented (effectiveness) and [if it will become] an integral part of the recipient states' national procedure for life-cycle management in accordance with international standards (sustainability)' (Permanent Mission of Switzerland to the United Nations, 2015). In many respects, the Swedish and Swiss views are complementary, echoing the same principle of adequate, effective, and sustainable assistance.

3.1. Manufacture

During the reporting period 2012–17, 48 of the 262 reports contain a request for assistance in developing laws, regulations, and/or administrative procedures regarding small arms manufacture, of which 42 provide some information on the type of assistance required. A project proposal had been prepared in 15 of these cases.

When assessing the latest reports, 22 states request such assistance, of which 19 provide some indication of the type of assistance required, and 9 had prepared proposals (see Figure 3.1). States in Africa made 10 of these requests; states in the Americas made 4; states in Oceania made 3; states in Asia made 2; and states in

Europe made 2. The information states provide varies significantly. For example, Armenia requests ‘all kinds of possible assistance’ (Armenia, 2012), while Ghana and Tanzania request assistance to review or finalize legislation, and Ecuador requests marking equipment. The national reports assessed do not contain information on assistance received or provided in relation to these requests.

3.2. International transfers

Sixty-three requests were made during 2012–17 for assistance to develop laws, regulations, and/or administrative procedures to exercise effective control over export, import, and transit of small arms. Of these requests, 57 indicate the kind of assistance required, of which 19 had developed a proposal.

In their latest reports, thirty-five states request assistance in developing laws, regulations, and/or administrative procedures to regulate international transfers, of which 30 provide some indication of the kind of assistance required, and 11 had prepared proposals (see Figure 3.1). Fifteen states in Africa requested such assistance; 10 states in the Americas; 4 in Oceania; 3 in Asia; and 3 in Europe. States in the Americas make the highest number of requests for this type of assistance. Several states ask for the same kind of assistance for ‘international transfers’ as for ‘manufacture’ and ‘brokering’—for example, legal reviews and capacity building. Jamaica provides a detailed request for assistance to strengthen its 1967 Firearms Act (Jamaica, 2014). Yet, as with requests for assistance on manufacturing, it is not possible to rely on the national reports to determine whether assistance was received or provided by states in relation to these requests.

3.3. Brokering

Sixty-five requests made during 2012–17 seek assistance to develop laws, regulations, and/or administrative procedures to regulate brokering. Of the 65 requests, 61 provide information on the kind of assistance requested, but only 12 proposals had been developed.

In their latest reports, 34 states request assistance in developing laws, regulations, and/or administrative procedures to regulate brokering, of which 32 provide some indication of the type of assistance required and 5 had prepared proposals (see Figure 3.1). Fifteen states in Africa request such assistance; 7 states in the Americas; 5 states in Europe; 4 states in Oceania; and 3 states in Asia. As noted above, the types of request made for ‘international transfers’ are also made for ‘brokering’; that is, legal reviews and capacity building. For example, Papua New Guinea requests a ‘gap analysis to determine the extent to which PNG [Papua New Guinea] is compat-

ible to international best practices’, Zambia requests the ‘provision of a basic law model on brokering’, and Samoa provides lists of requests for each issue (Papua New Guinea, 2012; Samoa, 2016; Zambia, 2016). The same challenges noted regarding other thematic issues in the template also apply to determining whether requests for assistance to implement brokering regulations have been met.

3.4. Stockpile management and disposal

During the reporting period 2012–17, 65 requests were made for assistance to develop standards and procedures on stockpile management, of which 59 provide information on the kind of assistance required. Twenty-five proposals for assistance had been developed in this regard.

Thirty-three states request assistance in developing standards and procedures on stockpile management in their latest report, of which 30 provide some indication of the kind of assistance required, and 15 had prepared proposals (see Figure 3.1). Nineteen states in Africa request assistance (the second-highest number of African states’ requests); 5 states in Europe; 4 states in the Americas; 3 states in Oceania; and 2 states in Asia. States request funding, technical, and legal assistance. Côte d’Ivoire, Sierra Leone, and Somalia provide detailed information on requested assistance—ranging from building or renovating storage sites to developing standard operating procedures and staff training (Côte d’Ivoire, 2012; Sierra Leone, 2014; Somalia, 2016). Namibia reports that it submitted a ‘formal project proposal’ to UNODA in 2012 ‘for an accurate, verifiable and reliable national database of civilian and state-owned stocks in order to facilitate information exchange, identification and tracing’, but has not received an answer to its request (Namibia, 2014). Therefore, this is an area in which at least one state indicates that a request for assistance, submitted via its national report and the PoA–ISS, has not been met.

There were 71 requests for assistance to develop capacity to destroy weapons during 2012–17, of which 64 provide information on the kind of assistance required. Twenty-seven proposals had been developed for this type of assistance.

In their latest reports, thirty-four states request assistance to develop capacity to destroy weapons, of which 31 provide some indication of the kind of assistance required and 15 had prepared proposals (see Figure 3.1). Seventeen states in Africa request assistance to develop capacity to destroy small arms, compared to 7 in the Americas; 5 in Europe; 3 in Oceania; and 2 in Asia. As noted above, three states indicate they had received assistance to destroy weapons when reporting on destruction activities during the reporting period. While states also provide general requests for technical assistance and funding in this area, several states give detailed and precise descriptions of their needs. These states also indicate they have developed

project proposals. For example, Jamaica requests the ‘installation of a smelter to completely destroy deactivated firearms’ and South Sudan ‘[c]apacity building and provision of destruction equipment’ (Jamaica, 2014; South Sudan, 2012). Furthermore, several states request assistance beyond destruction in this section of the report. For example, Mozambique asks for ‘transport (4x4 vehicles), helicopters, destruction machines, GPS equipment and training of staff’ to enable it to conduct operations (Mozambique, 2014). It remains to be seen whether the next round of these states’ national reports will provide information on responses to these requests.

3.5. Collection

The joint second-highest number of requests for assistance during 2012–17 relates to assistance for capacity building to confiscate and seize illicit small arms (joint second with tracing). Seventy-three reports contain requests for such assistance, of which 62 indicate the kind of assistance required. Seventeen proposals had been prepared in this regard.

In their latest reports, 36 states request assistance in building capacity to confiscate and seize illicit small arms, of which 31 provide some indication of the kind of assistance required, and 10 had prepared proposals (see Figure 3.1). Sixteen states in Africa request such assistance, followed by 9 states in the Americas; 5 in Europe; 4 in Oceania; and 2 in Asia. Most of the states that provide information on the type of assistance required for confiscation and seizure request training and capacity building. Kenya requests assistance here for ‘national sensitization and public awareness’ and ‘resources for implementing socio-economic activities’ (Kenya, 2016). The lack of information provided on the number of small arms collected during the reporting period indicates that a number of states would benefit from capacity building and assistance in the collection realm; this would support efforts to monitor progress towards reducing illicit arms flows, in line with SDG indicator 16.4.2.

3.6. Marking and record-keeping

The 76 requests for assistance to build capacity for record-keeping represent the highest number of assistance requests during 2012–17. Sixty-two of these identify the kind of assistance required. Seventeen proposals had been developed for assistance in this area. The reporting template does not include an explicit request for states to indicate whether they require assistance for marking.

Forty states request assistance in building capacity for record-keeping in their latest reports, of which 37 provide some indication of the kind of assistance required, and 9 had prepared proposals (see Figure 3.1). Twenty-one states in Africa request assist-

ance in this area (the highest number of African states' requests for assistance); 8 states in the Americas; 5 states in Oceania; 4 in Europe; and 2 in Asia. Several states request support to establish databases for record-keeping in this section. Costa Rica requests support for marking and registration (Costa Rica, 2016); Sudan reports that it has requested 'more' marking machines and was expecting a third machine from the Regional Centre on Small Arms in the Great Lakes Region, the Horn of Africa and Bordering States (RECSA) at the time of the report (Sudan, 2012). This is one of the few reports in which information is provided on assistance received for a thematic issue. It is worth noting that Sudan does not use the PoA reporting template when providing this information. Several states provide information on assistance rendered for marking and record-keeping.

3.7. International tracing

Seventy-three requests are made for assistance in developing procedures to trace small arms, of which 60 indicate the kind of assistance required. A proposal had been developed for 16 of these requests.

Thirty-seven states request assistance in developing procedures to trace small arms in their latest report, of which 32 provide some indication of the type of assistance required, and five had prepared proposals (see Figure 3.1). Eighteen states in Africa request assistance; 9 states in the Americas; 4 states in Europe; 4 in Oceania; and 2 in Asia. Several states use the 'international tracing' section to request marking machines, as well as training and technical assistance. Ghana, Namibia, and Papua New Guinea request assistance to connect their police forces to the iARMS database.

Seventeen states have considered providing assistance to examine technologies to improve the tracing and detection of illicit small arms, and measures to facilitate transfer of such technologies, according to their latest reports. Eight of these 17 states provide details of the assistance that could be provided. Five states each from Africa, the Americas, and Europe, as well as two Asian states, considered providing assistance.

3.8. Assistance requested, received, and provided

In addition to the section-by-section requests for assistance, the reporting form contains a section entitled 'International cooperation and assistance', which provides a series of multiple-choice questions on assistance requested, received, or provided during the reporting period in ten areas:

- establishing or designating a national coordination agency or national point of contact;

- disarmament, demobilization, and reintegration;
- capacity building and training on small arms and light weapons issues;
- law enforcement;
- customs and borders;
- action-oriented research;
- children and youth;
- awareness-raising;
- organized crime, drug trafficking, and terrorism; and
- other.

This sub-section reviews information on assistance that states requested, received, or provided, as revealed in their latest national reports. It is the only section in the reporting template that seeks information on assistance received or provided. It is evident that states that provide and receive assistance in relation in these areas are not reporting fully, if at all, on assistance rendered or received in these areas in their national reports. Japan, Sweden, and the United States include extensive information on small arms-related assistance in national reports submitted before the 2011 reporting template, and as annexes in 2012, 2014, or both. In their latest reports, Australia, Austria, Brazil, Canada, Germany, Ghana, Japan, Liechtenstein, Sweden, Switzerland, and the United States indicate that assistance has been provided in these areas. In addition, a number of states indicate that assistance had been provided by RECSA; UN regional centres in Latin America and the Caribbean and Asia and the Pacific; UNDP and the UN Office on Drugs and Crime (UNODC); Hungary; the Netherlands; New Zealand; and the UK. Several states note funding provided to the UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR), or receiving assistance from UNSCAR. Several states provide information on assistance to address ammunition stockpile security and safety (for example, Austria, Cyprus, and Liechtenstein), as well as forensics ballistics work in the Caribbean (for example, Canada and Jamaica).

3.8.1. Establishing or designating a national coordination agency or national point of contact

Five African states and two from the Americas request assistance in their latest reports to establish or designate an NCA or NPC. Four African states and one Oceanian state indicated that assistance had been received on this issue and one African and two European states reported that assistance had been provided. Most states indicate that assistance in this area consisted of training, although Kenya reports that the assistance of RECSA and UNDP helped to establish, equip, and staff the NCA (Kenya, 2016).

3.8.2. Disarmament, demobilization, and reintegration

Two African states request DDR assistance in their latest reports, and one African state and one state in the Americas received such assistance. Nine states provided assistance with regards to DDR (three states each from the Americas and Europe; one state each from Africa, Asia, and Oceania). Canada provides information on the construction of DDR camps in northern Mali and programming in Colombia, while Ghana reports on assistance that its military and police provided for DDR programmes in Liberia, Sierra Leone, and Côte d'Ivoire (Canada, 2015; Ghana, 2016).

3.8.3. Capacity building and training on small arms and light weapons issues

The largest number of states provides information on assistance requested, provided, or received under the broad heading of 'capacity building and training on [SALW] issues'. Four African states, one from the Americas, and one from Europe request assistance in this area. Fourteen states report on assistance received: 6 states from Africa; 2 from the Americas; 3 from Asia; 2 from Oceania; and 1 from Europe. Twelve states report providing assistance; of these, 7 are in Europe, 3 in the Americas, and 1 each in Asia and Oceania. Based on states' descriptions of activities conducted here, the 'capacity building' heading serves as a catch-all for assistance activities on small arms issues. Most of the activities in this category are in the form of training seminars or workshops.

3.8.4. Law enforcement

According to the assessed reports, 2 states in the Americas and 1 in Africa request 'law enforcement assistance', and 3 states in Africa and 1 in Oceania receive such assistance. One state each from Africa, the Americas, and Asia reports on assistance provided. Ghana reports on UNODC training on firearms trafficking and investigation techniques (Ghana, 2016). Jamaica reports on an assistance package, which the UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC) provided, to combat firearms trafficking under the 'capacity building' heading; the assistance provided, however, was intended solely for law enforcement (Jamaica, 2016).

3.8.5. Customs and borders

Three African states request assistance for 'customs and borders' and three note having received such assistance in their latest reports. One state each from Africa, the

Americas, and Europe reports providing assistance. The states that indicate having requested or received assistance under this heading do not provide details of the type of assistance received—with the exception of Uganda, which reports receiving six pick-up vehicles for border security from Japan (Uganda, 2016).

3.8.6. Action-oriented research

Five states in Africa and 1 in the Americas request assistance for ‘action-oriented research’ and 6 states report providing such assistance (3 states in Europe and 1 each in Africa, the Americas, and Oceania). No states report on assistance received. Australia and Sweden include support for the Small Arms Survey under this heading (Australia, 2014; 2016; Sweden, 2016).

3.8.7. Children and youth

Four African states and one from the Americas request assistance on ‘children and youth’ matters. Three European and one African state report providing assistance on this issue. No states report on assistance received. Sweden indicates supporting, via the Swedish International Development Cooperation Agency, the work of UNICEF on preventing violence against children, as well as on ‘the vulnerability of women in areas troubled by SALW issues [and] norms of masculinity and its relation to SALW’ (Sweden, 2016).

3.8.8. Awareness-raising

Three African states request ‘awareness-raising’ assistance in their latest national reports. Four African states and two from the Americas report on assistance received. Four European states and one each from Africa and the Americas report providing assistance. Ghana reports here on the work of its national small arms commission during the election period to raise awareness of ‘the dangers associated with the proliferation of SALW’ (Ghana, 2016).

3.8.9. Organized crime, drug trafficking, and terrorism

Three African states request assistance on issues related to ‘organized crime, drug trafficking, and terrorism’ in their latest reports, and two states from the Americas report receiving assistance. Three states in Europe and one each in Africa, the Americas, and Oceania report providing assistance. Australia refers to its defence forces’ contribution to ‘international efforts to promote maritime security, stability and prosperity in the Middle East Region’ under this heading (Australia, 2016). ●



The level of reporting on implementation of the PoA and ITI declined between 2008 and 2014. Although this trend reversed in 2016, fewer than half of UN member states reported then.”

4. Concluding remarks

States will review progress on the implementation of the PoA and ITI at RevCon3. National reports represent a primary source of information for understanding national implementation measures. This study used 262 national reports submitted during 2012–17 to determine the state of play with regards to PoA and ITI implementation and, where possible, to identify implementation ‘progress’ and assistance and cooperation opportunities.

The level of reporting on implementation of the PoA and ITI declined between 2008 and 2014. Although this trend reversed in 2016, fewer than half of UN member states reported then. Therefore, the analysis contained in this report provides only a partial overview of global implementation of the PoA and ITI during 2012–17 (110 states, or 57 per cent of UN member states). While this study was able to review implementation in almost all European states and just under two-thirds of states in the Americas, it could only do this for around half of states in Africa, Asia, and Oceania. Of the 74 states that did not report during 2012–17, 24 are SIDS (33 per cent of non-reporting states) and 19 are LDC (26 per cent). As such, many of the states that could most benefit from indicating implementation challenges and explicitly requesting assistance have not shared such information via national reports.

Most national reports submitted during 2012–17 use the PoA reporting template. This assisted in efforts to aggregate national data to compare the state of implementation on global and regional levels, as well as to try to assess progress. On average, 151 out of 185 assessed questions did not reveal changes during 2012–17. In contrast, 25 questions gave a positive or negative change. Malaysia recorded the most changes, with 94 different responses between its 2012 and 2016 PoA reports. Conversely, South Korea and the Russian Federation did not record any changes in responses in their 2014 and 2016 reports. Nevertheless, one of the tentative conclusions of this study is that analysing progress in PoA and ITI implementation using national reports is challenging because there is a high correlation between changes in responses to questions between reports when there is a change in the individual NPC responsible for compiling the report between one reporting year and another. Therefore, rather than demonstrating positive changes in legislation or measures to implement the PoA, different responses between two reports could be due to a new NPC lacking the necessary knowledge to complete the report, or interpreting a question differently from their predecessor. Box 4.1 summarizes the key findings of the analysis.

The 2014 PoA reporting template includes limited prompts for states to provide information that could be utilized to assess progress towards SDG target 16.4 to ‘significantly reduce illicit financial and arms flows’ by 2030. The section on ‘collection’ only asks for information on collection efforts during the ‘reporting period’. Unfortunately, not all states that indicate collection took place provide information on the number of small arms collected or action taken with regards to collected small arms. Several states indicate challenges for data collection at the national level on

Box 4.1 Key findings

National coordination agency and national point of contact

The analysis shows significant regional differences in the establishment of an NCA. Twenty-five of the 27 states in Africa report establishing an NCA, compared to 21 of 39 European states.

In contrast, almost all states indicate that an NPC has been established for PoA—although this study did not replicate the efforts of previous studies to investigate whether the contact information provided in the national report is accurate, is up to date, and can therefore actually be used to contact the NPC (Parker, 2011).

All reporting states in Europe indicate having an NPC for ITI matters, compared to 71 per cent of states in Asia and Oceania.

Manufacture

Just over half of reporting states indicate that they manufacture small arms.

Several states that do not manufacture small arms report on laws, regulations, and/or administrative procedures to regulate manufacture, with positive changes for three states in this regard.

States do not report on challenges in regulating manufacture, and the lowest number of states requests assistance on this issue.

International transfers

Almost all reporting states have laws, regulations, and/or administrative procedures to exercise effective control over international transfers, two of which had previously not provided such information.

Most of these states indicate that licences are required before exporting small arms and that illegal transfers are subject to criminal sanctions, with positive changes among a handful of states for both issues during 2012–17.

Almost all Asian and European states indicate that EUCs are required prior to export, compared to around 40 per cent of states in Africa and the Americas. Several African states note they do not export small arms and therefore do not address this issue in their national report.

If the reporting template had a question on whether the state exported small arms during the reporting period, this could help to determine whether states that export small arms have measures to inform their risk assessment, such as EUCs. Therefore, a question for the international transfer section that serves as a counterpoint to the question in the manufacture section on whether the state manufactures small arms could be helpful.

Overall, more states report on measures to verify and authenticate information contained in EUCs.

While a small number of states indicate that post-delivery controls are in place, the number of states that use such measures increased during 2012–17.

Even though most states report having laws, regulations, and/or administrative procedures to exercise effective control over international transfers, almost one-third of states request assistance in this regard, indicating that they consider the current legal framework to be in need of strengthening.

Brokering

During the period 2012–17, ten states that indicate having brokering controls in place in their latest report did not respond, or answered ‘no’, in their previous report.

All European states indicate that laws, regulations, and/or administrative procedures are in place to govern brokering; the picture is more mixed in other regions.

Not all of the 82 states that have laws, regulations, and/or administrative procedures provide information on their measures to regulate brokering. Of the states that do provide such information, the majority appears to use a two-stage system of registration and licensing.

All states, both those that report having measures to govern brokering and those that do not, request assistance in this regard.

Stockpile management and disposal

Ninety-five per cent of reporting states have ‘standards and procedures relating to the management and security of SALW held by the armed forces, police or any other entity authorised to hold SALW’.

Most of these states provide information on these standards and procedures and indicate ‘yes’ to the multiple-choice options in the PoA reporting template.

The most common option for the disposal of surplus is ‘destruction’, but several states indicate they do not have surplus.

Stockpile management and destruction are the two issues on which most states request assistance. Therefore, one can assume that these are areas in which many states face challenges.

Collection

Of the 64 states that indicated that small arms had been collected during the period covered by their latest report, 16 did not report on collection in their previous report.

Forty-one states provided some information in their report on the small arms collected. Eight states declared that such information is not available or not collected systematically at the national level.

Marking and record-keeping

Information on marking and record-keeping requirements and procedures is contained in the sections on ‘manufacture’, ‘international transfers’, and ‘marking and record-keeping’.

Most of the states that manufacture small arms require marking and record-keeping. The majority requires serial numbers and the name of the manufacturer to be marked on the small arms. Eighty-nine states report taking ‘measures to ensure that all small arms in the possession of government armed and security forces for their own use are duly marked’, while 71 per cent require marking at the time of import.

Markings include country of import, year of import, and/or the agency that uses the small arms.

On the whole, states did not use the reporting template to provide information on challenges for marking or record-keeping, but 40 states request assistance on this issue.

International tracing

Eighty-three states reported that they have procedures in place for tracing and 74 indicated the government agency responsible for making a tracing request

Sixty-nine states cooperated with INTERPOL during the reporting period, although the nature of the cooperation is not reported.

the number of small arms collected and 36 states request assistance to ‘build capacity for confiscation and seizure of illicit SALW’—two of the issues contained in the 2011 reporting template, but removed from the 2014 reporting template. It therefore remains to be seen how many states will be able to provide the disaggregated levels of data requested in the 2018 version of the PoA reporting template. This is an area in which assistance could be sought and provided, alongside meeting requests for assistance to implement tracing procedures.

States have repeatedly made the point, during PoA BMS and RevCon meetings, that national reports should be used to communicate assistance needs and opportunities. Each section in the PoA reporting template provides an opportunity for states to request assistance, with states from Africa and the Americas providing the most requests. It does not, however, provide the opportunity for states to indicate whether assistance has been received, or could be provided, in these areas. It is therefore difficult to use just the national reports to assess the matching of assistance needs. The lowest number of responses recorded for the PoA reporting template relates to the section on ‘international cooperation and assistance’. A significant number of states that seek assistance, and are known to provide it, do not provide information in this section. Not only is the format not particularly user-friendly but also the issues

addressed are very broad. As such, it is challenging to use national reports to assess assistance requests and determine whether assistance has been received. If there is a desire for national reports to perform this function, the PoA reporting template should be revised to incorporate information on assistance received and provided for all thematic issues. ●

**Annexe. National reports on Programme
of Action and International Tracing
Instrument implementation, 2012–17**

State	Region	2012	2013	2014	2015	2016	2017	Total
Albania	Europe	x	o	x	o	o	o	2
Algeria	Africa	x	o	x	o	x	o	3
Andorra	Europe	o	o	x	o	x	o	2
Angola	Africa	x	o	x	o	o	o	2
Argentina	Americas	x	o	x	o	x	o	3
Armenia	Asia	x	o	o	o	o	o	1
Australia	Oceania	x	o	x	o	x	o	3
Austria	Europe	o	x	x	o	o	o	2
Belarus	Europe	o	o	x	o	o	o	1
Belgium	Europe	o	o	x	o	o	x	2
Belize	Americas	o	o	o	o	x	o	1
Benin	Africa	x	o	o	o	x	o	2
Bosnia and Herzegovina	Europe	x	o	o	o	x	x	3
Botswana	Africa	x	o	x	o	x	o	3
Brazil	Americas	x	o	x	o	x	o	3
Bulgaria	Europe	x	o	x	o	x	o	3
Burkina Faso	Africa	x	o	x	o	x	o	3
Burundi	Africa	x	o	x	x	o	o	3
Canada	Americas	x	o	o	x	o	o	2
Chile	Americas	o	o	x	o	o	o	1
China	Asia	o	o	x	o	x	o	2
Colombia	Americas	x	o	x	o	x	o	3
Costa Rica	Americas	o	o	o	x	x	o	2
Côte d'Ivoire	Africa	x	o	x	o	x	o	3
Croatia	Europe	x	o	x	o	x	o	3
Cuba	Americas	x	o	x	x	x	x	5
Cyprus	Asia	x	o	x	o	o	o	2

State	Region	2012	2013	2014	2015	2016	2017	Total
Czech Republic	Europe	x	o	x	o	x	o	3
Dem. Rep. of the Congo	Africa	x	o	o	o	x	o	2
Denmark	Europe	x	o	x	o	o	o	2
Dominican Republic	Americas	x	o	x	o	x	o	3
Ecuador	Americas	x	o	o	o	x	o	2
Egypt	Africa	x	o	o	o	x	o	2
El Salvador	Americas	o	o	o	o	x	o	1
Eritrea	Africa	o	o	x	o	o	o	1
Estonia	Europe	x	o	x	o	o	o	2
Fiji	Oceania	o	o	o	o	x	o	1
Finland	Europe	x	o	o	o	x	o	2
France	Europe	x	o	x	o	x	o	3
Georgia	Asia	o	o	o	o	x	o	1
Germany	Europe	x	o	x	o	x	o	3
Ghana	Africa	o	o	o	o	x	o	1
Greece	Europe	o	o	o	o	x	o	1
Grenada	Americas	x	o	o	o	x	o	2
Guatemala	Americas	x	o	x	o	x	o	3
Hungary	Europe	x	o	x	o	x	o	3
India	Asia	x	o	x	o	x	o	3
Iran (Islamic Republic of)	Asia	x	o	x	o	x	o	3
Iraq	Asia	x	o	x	o	o	o	2
Ireland	Europe	x	o	x	o	x	o	3
Italy	Europe	x	o	x	o	x	o	3
Jamaica	Americas	o	o	x	o	x	o	2
Japan	Asia	x	o	x	o	x	o	3

State	Region	2012	2013	2014	2015	2016	2017	Total
Kazakhstan	Asia	0	0	0	x	0	0	1
Kenya	Africa	x	0	x	0	x	0	3
Latvia	Europe	x	0	x	0	x	0	3
Lebanon	Asia	0	0	0	0	x	0	1
Liberia	Africa	x	0	x	0	0	0	2
Liechtenstein	Europe	x	0	0	0	x	0	2
Lithuania	Europe	x	0	x	0	x	0	3
Luxembourg	Europe	x	0	x	0	0	0	2
Malaysia	Asia	x	0	0	0	x	0	2
Maldives	Asia	x	0	0	0	x	0	2
Mali	Africa	x	0	x	0	x	0	3
Marshall Islands	Oceania	0	0	x	0	0	0	1
Mexico	Americas	x	0	x	0	0	0	2
Montenegro	Europe	x	x	x	0	x	0	4
Morocco	Africa	x	0	0	0	0	0	1
Mozambique	Africa	x	0	x	0	x	0	3
Namibia	Africa	x	0	x	0	x	0	3
Netherlands	Europe	0	0	0	0	x	0	1
New Zealand	Oceania	x	0	0	0	x	0	2
Nicaragua	Americas	x	0	0	0	0	0	1
Niger	Africa	x	0	0	0	0	0	1
Nigeria	Africa	0	0	0	0	x	0	1
Norway	Europe	x	0	x	0	x	0	3
Pakistan	Asia	x	0	x	0	x	0	3
Panama	Americas	x	0	x	0	0	0	2
Papua New Guinea	Oceania	x	0	0	0	0	0	1
Paraguay	Americas	0	0	x	0	x	0	2

State	Region	2012	2013	2014	2015	2016	2017	Total
Peru	Americas	x	o	o	o	x	o	2
Philippines	Asia	x	o	o	o	x	o	2
Poland	Europe	x	o	x	o	x	o	3
Portugal	Europe	x	o	x	o	x	o	3
Qatar	Asia	o	o	x	o	o	o	1
Republic of Korea	Asia	x	o	x	o	o	o	2
Republic of Moldova	Europe	x	o	x	o	o	o	2
Romania	Europe	x	o	x	o	x	o	3
Russian Federation	Europe	x	o	x	o	x	o	3
Samoa	Oceania	o	o	o	o	x	o	1
Saudi Arabia	Asia	o	o	o	o	x	o	1
Senegal	Africa	x	o	o	o	x	o	2
Serbia	Europe	o	o	x	o	x	o	2
Sierra Leone	Africa	x	o	x	o	x	o	3
Singapore	Asia	o	o	x	o	x	o	2
Slovakia	Europe	x	o	o	o	x	o	2
Slovenia	Europe	x	o	o	o	x	o	2
Somalia	Africa	o	o	x	o	x	o	2
South Africa	Africa	o	o	x	o	o	o	1
South Sudan	Africa	x	o	x	o	o	o	2
Spain	Europe	o	o	x	o	x	o	2
Sudan	Africa	x	o	o	o	x	o	2
Swaziland	Africa	o	o	o	o	x	o	1
Sweden	Europe	x	o	x	o	x	o	3
Switzerland	Europe	x	o	x	o	x	o	3
Thailand	Asia	x	o	o	x	x	o	3
Macedonia	Europe	x	x	x	o	x	o	4

State	Region	2012	2013	2014	2015	2016	2017	Total
Togo	Africa	x	o	x	o	x	o	3
Trinidad and Tobago	Americas	x	o	x	x	x	o	4
Turkey	Asia	x	o	o	o	x	o	2
Turkmenistan	Asia	o	o	o	o	x	o	1
Uganda	Africa	o	o	x	o	x	o	2
Ukraine	Europe	x	o	x	o	x	o	3
United Kingdom	Europe	x	o	x	o	x	o	3
United Republic of Tanzania	Africa	x	o	x	o	o	o	2
United States	Americas	x	o	x	o	x	o	3
Uruguay	Americas	o	o	o	o	x	o	1
Vanuatu	Oceania	o	o	o	o	x	o	1
Zambia	Africa	o	o	o	o	x	o	1
		84	3	76	7	89	3	262

Source: UNODA (n.d.)

Endnotes

- 1 This resolution has been tabled at the General Assembly annually since 2001. See UNGA (2001b; 2002; 2003b; 2004; 2005b; 2006; 2007; 2008b; 2009; 2010b; 2011; 2012b; 2013; 2014b; 2015; 2016b; 2017a; 2017b).
- 2 UNGA (2008a, para. 3; 2010a, paras. 23, 32, 36, 38; 2012a, para. III.38; 2016a, paras. 19, 96).
- 3 Kytomaki and Yankey-Wayne (2004; 2006); Parker (2011); Parker and Cattaneo (2008); Parker and Green (2012); Parker and Rigual (2015).
- 4 This report does not provide an analysis of national reports submitted since 1 January 2018.
- 5 Thirty-seven UN member states are classed as SIDS (UNDESA, n.d.) and 47 as LDC (UNCTAD, n.d.).
- 6 The views of these six states were downloaded from the UNODA (n.d.) website. Belarus's submission is in Russian, Peru's submission is in Spanish, South Sudan's in Arabic, and the remaining reports in English.

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Small Arms Survey

Maison de la Paix
Chemin Eugène-Rigot 2E
1202 Geneva
Switzerland

t +41 22 908 5777

f +41 22 732 2738

e info@smallarmssurvey.org

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A Small Arms Survey publication with support from the European Union (Council Decision CFSP 2017/633)