



Bullets hang from a machine gun on display at the Defence Systems and Equipment International Exhibition, London, September 2005. © Kirsty Wigglesworth/AP Photo

Point by Point

TRENDS IN TRANSPARENCY

INTRODUCTION

In a 1991 study intended to encourage the development of the nascent UN Register of Conventional Arms, UN Secretary-General Boutros Boutros-Ghali reasons that ‘transparency can contribute to the building of confidence and security, the reduction of suspicions, mistrust and fear, and the timely identification of trends in arms transfers’ (UNGA, 1991, p. 3). Since that study was published, the commitment to transparency in small arms and light weapons transfers has only grown. In 2008, transparency was recognized as ‘a core element in preventing conflict and securing peace and stability’ (UNSC, 2008, para. 37). In late 2012 the Group of Governmental Experts working on the scope of the UN Register of Conventional Arms will convene to conduct its triennial review of the instrument. At that meeting, experts will—among other things—take stock of states’ reporting practices over time.

The Small Arms Trade Transparency Barometer, published annually by the Small Arms Survey since 2004, uses a standardized set of guidelines to analyse the transparency of small arms exporters. Applying criteria drawn from actual state reporting practices, the Barometer assesses changes in states’ transparency over time.¹ This chapter presents the 2012 edition of the Barometer, which covers reports on export activities conducted in 2010 by the 52 countries the Survey has classified as ‘major exporters’—those exporting at least USD 10 million in small arms, light weapons, their parts, accessories, and ammunition in at least one calendar year since 2001.

This chapter also reviews ten years of reporting on the small arms trade by those same exporting states. Without assessing the accuracy of the data states provide, the chapter examines changes in reporting practices—as evidenced in national arms export reports and submissions to instruments such as UN Comtrade and the UN Register—with respect to the Barometer’s seven parameters and 43 criteria. It unpacks reporting and identifies areas where transparency has improved—and where it has not.²

The main findings of the chapter include:

- The 2012 edition of the Small Arms Trade Transparency Barometer identifies Switzerland, the United Kingdom, and Romania as the most transparent of the major small arms and light weapons exporters.
- The 2012 Barometer identifies Iran, North Korea, and the United Arab Emirates as the least transparent major exporters. They all score zero points.
- State transparency on small arms and light weapons transfers improved by more than 40 per cent between 2001 and 2010, but the average score for all states combined remains below half of all available points.
- Switzerland achieved the highest Transparency Barometer score over the ten-year period, gaining 21.00 out of 25.00 points for reporting on 2007–10 activities. It is the only country to have produced a dedicated national report on small arms and light weapons exports.

- States have made significant improvements under the parameters of *comprehensiveness* and *clarity* since 2001. Reporting on *licences granted* and *licences refused* remains the weakest among the seven parameters.
- The single most important way states can improve their transparency on small arms and light weapons transfers is through the timely publication of comprehensive national arms export reports.

The first section of the chapter is divided into two parts: a scene-setter, which describes the methodology used in the chapter and notes trends in reporting, and the 2012 edition of the Small Arms Trade Transparency Barometer, which analyses the level of transparency for reporting on the 2010 activities of 52 states.

The chapter's second section examines multi-year changes in national reporting practices in relation to the Transparency Barometer's seven parameters. In addition to highlighting which country has achieved top scores and why, the section also asks why states fail to earn full points. Most importantly, the chapter identifies how states can improve the level of transparency in their reporting.

THE TRANSPARENCY BAROMETER

Setting the scene

The Transparency Barometer evaluates 52 major small arms exporters.

The Small Arms Trade Transparency Barometer was introduced in the 2004 edition of the *Small Arms Survey* (Khakee, 2004, pp. 115–18). This volume presents the 9th edition of the Barometer. In the 2009 edition, the Small Arms Survey revised the Barometer to provide a clearer and more comprehensive assessment of reporting. The scoring guidelines were redesigned to reflect national best practices and encourage the use of important reporting instruments such as the UN Register. The overall points distribution was maintained, but greater emphasis was placed on consistent, timely, and more frequent reporting.³ All the countries rated were retroactively scored to better establish comparisons and observe trends in transparency for the past ten years. Results of the retroactive scoring are found in this chapter as well as in Lazarevic (2010). This chapter examines a longer time span—data for 2001–10 rather than 2001–08—and includes the analysis for more states (52 instead of 48) than Lazarevic (2010). It focuses on the seven parameters and individual criteria, whereas the previous publication provides a country-specific analysis.

The Barometer evaluates all reporting states that have exported⁴—or are believed to have exported—at least USD 10 million⁵ worth of small arms, light weapons, their parts, accessories, and ammunition in at least one calendar year since 2001.⁶ This edition of the Barometer evaluates 52 countries, of which 9 reached the USD 10 million threshold once since 2001,⁷ 4 reached it twice,⁸ and 21 reached it every year. They include 19 'top exporters'—countries that have exported at least USD 100 million worth of materiel in a calendar year. The number of states under review has increased with every edition; Greece, Lithuania, and Luxembourg joined this year, and the total number of countries evaluated might increase further in future editions.

The Barometer encompasses seven parameters: *timeliness*, *access and consistency*, *clarity*, *comprehensiveness*, *deliveries*, *licences granted*, and *licences refused*. Each parameter has a set of criteria that states must fulfil in order to receive points. The more overall points a state receives, the higher its ranking in the Barometer. Table 9.1 lists the seven parameters and the distribution of the 43 associated criteria and sub-criteria used to evaluate transparency. Scores are awarded based on a 25.00-point scale. A country is accorded full, partial, or zero points on each criterion.⁹ All 43 criteria correspond to actual reporting practices.

Table 9.1 Number of Transparency Barometer criteria for each of the seven parameters

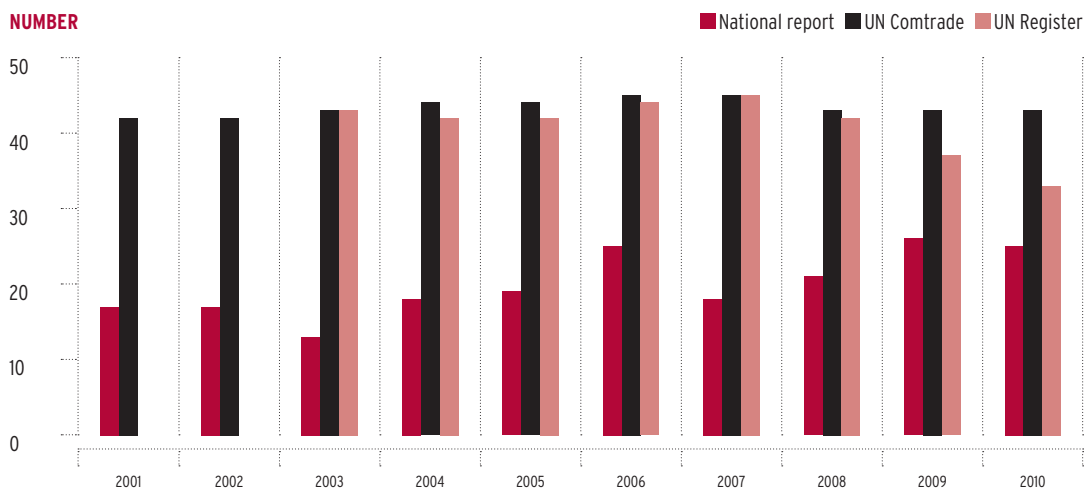
Parameters		Number of criteria	Maximum points
I	Timeliness	3	1.50
II	Access and consistency	4	2.00
III	Clarity	11*	5.00
IV	Comprehensiveness	13	6.50
V	Deliveries	4	4.00
VI	Licences granted	4	4.00
VII	Licences refused	4	2.00
Total		43	25.00

Note: * One of the eight clarity criteria is composed of four sub-criteria.

Transparency in reporting exports is assessed using a series of publicly available reporting instruments that provide official information on small arms transfers (see Figure 9.1).¹⁰ These include the United Nations Commodity Trade Statistics Database (UN Comtrade), the UN Register of Conventional Arms (UN Register), and national arms export reports, including the EU Report for EU member states.

UN Comtrade

UN Comtrade provides important insight into the value of the arms trade, including in small arms and light weapons. States usually submit their customs data in the 12 months following the year of the transfer activities. Over the ten-year period under review, at least 42 of the 52 surveyed countries reported to UN Comtrade, and 38 countries submitted data for every year,¹¹ making it the most widely used reporting instrument¹² (see Figure 9.3). Bulgaria, North Korea, South Africa, and Ukraine are the only countries under review that did not submit any customs data to UN Comtrade during this period.

Figure 9.1 Number of national submissions, 2001-10

A closer look at the UN Comtrade categories reveals progress regarding national reporting in some of the small arms and light weapons categories. In reporting on 2010 activities, more than three-quarters of the 52 countries provided data on sporting and hunting guns and rifles (11 per cent more than for 2008 activities), on ammunition that is smaller than 12.7 mm, and on parts and accessories for small arms (8 per cent more than for 2008 activities). Likewise, slightly more than half provided data on pistols and revolvers (4 per cent more than for 2008 activities). One-third of the states provided information on military firearms (21 per cent more than for 2008 activities) and guided and unguided light weapons (6 per cent more than for 2008 activities).

The UN Register

Participation in the UN Register's¹³ conventional arms categories is slightly lower than contributions to UN Comtrade. Of the 52 major exporters, 22 have submitted data for transfers in each year since 2003. Iran, North Korea, Saudi Arabia, and the United Arab Emirates have never submitted a report to the UN Register.¹⁴ Reporting under the 'voluntary background information' category for international small arms and light weapons transfers peaked in 2007, with 26 countries providing information on small arms exports (see Box 9.1). In 2010, the number of countries reporting dropped to 23.

Thirty-three countries reported to the UN Register on their transfer activities in 2010, four fewer than for the previous year (see Figure 9.3). However, efforts to improve the Register's online interface have led to delays in access to reporting, with the consequence

Box 9.1 The UN Register's virtual eighth category: background information

States may report 'background information' on international small arms and light weapons transfers under the UN Register (UNODA, 2009). While this reporting is optional, states are increasingly utilizing this heading (see Table 9.2). States are unrestricted in the type of information that they can provide on their international small arms and light weapons transfers, and they have used it to document weapon categories transferred, detailed information on quantities and destination countries, and individual accounts of transfers, re-exports, brokers, and end users, among other details.

With the introduction of the standardized reporting form in 2006,¹⁵ the number of states submitting background information on their small arms exports or nil reports increased from 5 to 18 and rose to at least 23 for the four subsequent years. Between 2003 and 2010, 42 countries provided information on exports of small arms and light weapons at least once, while 21 countries submitted a nil report, which signals that they did not import or export any materials. As Table 9.2 indicates, the Netherlands and the United Kingdom submitted background information for every year. The following 13 countries submitted information on exports only once: Andorra, Austria, Belgium, Cyprus, Finland, Latvia, Lithuania, Luxembourg, Mexico, Montenegro, the Philippines, Spain, and Trinidad and Tobago. In total, 37 of the 52 countries under review have submitted information on small arms exports under the virtual eighth UN Register category. The highlighted cells in Table 9.2 indicate which states are included in the 2012 Barometer.

In December 2009 the UN General Assembly passed a resolution asking states to submit their views on 'whether the absence of small arms and light weapons as a main category in the Register has limited its relevance and directly affected decisions on participation' (UNGA, 2009, para. 6). By September 2011, Colombia, Israel, Japan, Mauritius, Mexico, the Netherlands, Singapore, and Switzerland had submitted their views. Most of these states explicitly expressed their support for the inclusion of a proper small arms and light weapons category in the UN Register. Singapore was the sole country to urge that the category remain optional, arguing that a new mandatory category might decrease states' participation (UNGA, 2010a; 2010b; 2011a).

These views, along with data on the frequency and universality of reporting, will be considered at upcoming meetings of the Group of Governmental Experts on the continuing operations and further development of the UN Register. The next meeting is scheduled for November 2012 (UNGA, 2011b).

Table 9.2 States submitting information on exports or nil reports to the UN Register as background information on international small arms and light weapons transfers carried out in 2003-10

Country	2003	2004	2005	2006	2007	2008	2009	2010
Albania				X			X	
Andorra								X
Antigua and Barbuda					Nil		Nil	
Argentina					Nil	Nil	Nil	Nil
Australia					X		X	X
Austria								X
Bangladesh				Nil				Nil
Belgium						X		
Bosnia and Herzegovina				X	X		X	X
Bulgaria						X	X	X
Canada				X	X	X	X	X
Colombia					X		X	
Croatia					X	X		X
Cyprus				X	Nil	Nil		
Czech Republic				X	X	X		X
Denmark				X	X	X	X	
El Salvador					Nil			
Finland		X						
France		X	X	X	X	X		
Fiji					Nil			
Germany			X	X	X	X	X	X
Georgia				Nil				
Ghana					Nil			
Greece				X	X			X
Guyana								Nil
Haiti				Nil				
Hungary				X	X	X	X	X
Italy					X	X	X	
Jamaica				Nil				
Japan				Nil				
Latvia	X			Nil				
Lebanon						Nil	Nil	Nil

Country	2003	2004	2005	2006	2007	2008	2009	2010
Liechtenstein				Nil			X	X
Lithuania				Nil		X		
Luxembourg					X			
Mali				Nil				
Malta					Nil	Nil	Nil	Nil
Mexico				Nil				X
Moldova				Nil	Nil			
Mongolia								Nil
Montenegro					X			
Netherlands	X	X	X	Nil	X	X	X	X
New Zealand				X	X	X		
Norway					X	X	X	
Panama				Nil				
Philippines				Nil		X		
Poland	X	X	X	X	X	X	X	
Portugal				X	X		Nil	
Romania					X	X	X	X
Saint Lucia				Nil				
Senegal				Nil				
Serbia							X	X
Slovakia				X	X	X	X	X
South Korea				X	X	X	X	X
Spain							X	
Swaziland				Nil	Nil	Nil		
Sweden	X			X	X	X	X	
Switzerland						X	X	X
Togo				Nil	Nil			
Trinidad and Tobago				Nil				X
Turkey				X	X	X		X
Ukraine					X	X	X	X
United Kingdom	X	X	X	X	X	X	X	X
Total on exports	5	5	5	18	26	24	23	23
TOTAL including Nil	5	5	5	37	36	29	28	29

Note: Highlighting indicates that states are included in the 2012 Transparency Barometer.

that some states' contributions for 2010 activities have not been made available for analysis. The 2012 Barometer therefore relies on data provided in the UN Secretary-General's 2011 report on the UN Register (UNGA, 2011a). While the Secretary-General's report is typically followed by the publication of addenda that contain additional states' reports, as of 22 February 2012 no addenda had been published. This explains why the level of reporting for 2010 activities is lower than expected.

National arms export reports

National arms export reports vary significantly across countries. While certain states do not publish their reports on time,¹⁶ some fail to report altogether. In the past ten years, 29 countries (more than half of all reviewed) published a national arms export report at least once. Some states also publish reports that cover activities for multiple years. Eight countries published an 'up-to-date' (current) report each year.¹⁷ Of the 31 European countries under review, Cyprus, Greece, Lithuania, Luxembourg, the Russian Federation, and Turkey have not published a national arms export report.¹⁸ This stands in contrast to reporting practices in other regions. Of the 21 non-European countries reviewed, only Australia, Canada, South Africa, and the United States have published national arms export reports.

Such reports are an important tool for assessing transparency, as they can contain more detailed information on small arms transfers than the UN instruments. For this reason, not publishing a national arms export report limits the number of points a state can receive in the Barometer even if it reports to both UN Comtrade and the UN Register. A total of 10.00 of the possible 25.00 points (that is, 40 per cent) can only be achieved if the relevant data is made available in a national arms export report; even complete reports to UN Comtrade and the UN Register do not provide this information.

Switzerland, the United Kingdom, and Romania are the three most transparent small arms exporters.

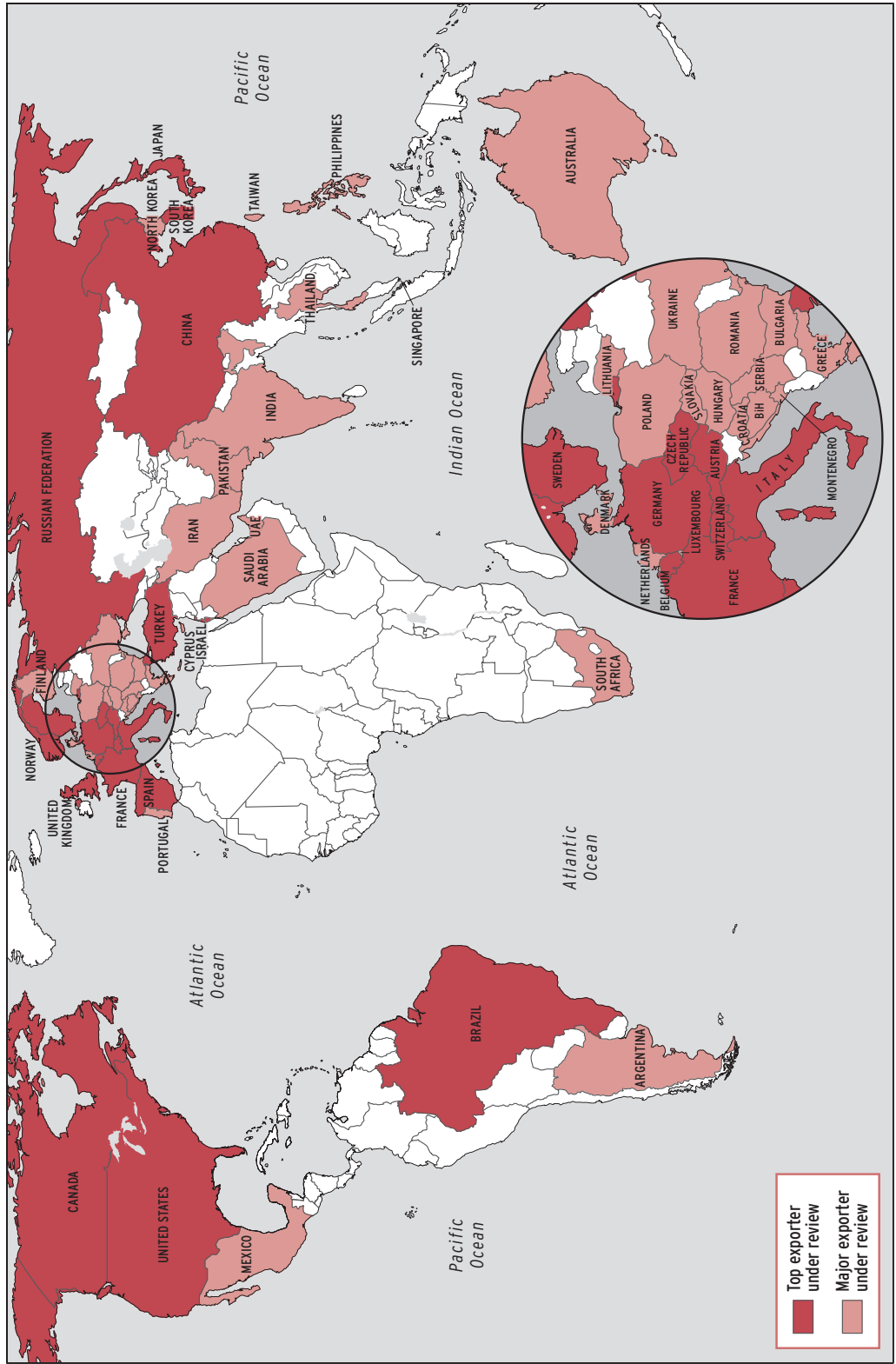
The 2012 Transparency Barometer

The 2012 edition of the Transparency Barometer assesses the reporting practices of the 49 countries covered in the 2011 Barometer, plus three countries that are appearing for the first time: Greece, Lithuania, and Luxembourg (see Map 9.1). These three states appear to have exported USD 22 million, USD 11 million, and USD 16.7 million worth of relevant materiel in 2010, respectively.

This year's Barometer identifies Switzerland, the United Kingdom, and Romania as the three most transparent countries. Italy and Denmark broke into the top ten, replacing Norway and the United States, which now rank 11th and 12th, respectively. The least transparent countries are Iran, North Korea, and the United Arab Emirates, all scoring zero points (see Table 9.3). Of a maximum of 25.00 possible points, the average score is 11.22, a drop of almost 2 per cent (0.18 points) since 2011.¹⁹ The average score of the ten most transparent countries remains the same as last year (18.00 points). Just over half of the countries reviewed received fewer than 12.50 points, suggesting that, despite some progress among some states, there remains much scope for improved reporting.

The countries that slipped the most were the United Arab Emirates, Poland, and the United States, whose scores declined by 8.50 points (100 per cent), 2.25 points (15 per cent), and 1.25 point (8 per cent), respectively. The United Arab Emirates score dropped to zero because it did not use any of the instruments to report on its small arms transfer activities for two consecutive years. Although Poland provided information on military holdings and procurement through national production, it failed to report on its transfers to the UN Register. Poland also omitted information on end users for its deliveries and its reports on quantities exported were less comprehensive than in the previous year (Small Arms Survey, 2012, para. 9.6). The United States did provide more detailed information on exports of larger-

Map 9.1 Countries reviewed by the Transparency Barometer





Guns are displayed at a stall during a defence exhibition in Karachi, 2006. © Zahid Hussein/Reuters

calibre ammunition, but it did not report on ‘intangible transfers’ and was less comprehensive regarding quantities and values for licences granted. Its information on quantities exported was also less comprehensive than last year. The United States, the world’s largest exporter of small arms and light weapons in dollar value, now ranks 12th of the 52 countries in overall transparency.

Several countries improved their scores this year, led by Greece²⁰ and Croatia. Greece’s score increased by almost 30 per cent due to better reporting to the UN Register on different weapon types, such as man-portable air defence systems, rifles, and pistols and revolvers. Its reporting on re-exports and transits, as well as licence denials and types of end users, to the UN Register and the EU Report also improved. Croatia increased its score by 20 per cent because it provided new information on licences granted and also reported on light weapons and larger ammunition under UN Comtrade (it also lost a point for no longer providing information on re-exports under the UN Register).

Another positive development captured by this year’s Barometer is that Austria and Mexico, in reporting to the UN Register on activities carried out in 2010, provided background information on their international small arms and light weapons exports for the first time. Croatia, Hungary, and Poland continued to publish a national arms exports report after having produced their first reports the previous year.

Table 9.3 Small Arms Trade Transparency Barometer 2012, covering major exporters*

	Total (25.00 max)	Export report**/ EU Annual Report***	UN Comtrade**	UN Register***	Timeliness (1.50 max)	Access and consistency (2.00 max)	Clarity (5.00 max)	Comprehensiveness (6.50 max)	Deliveries (4.00 max)	Licences granted (4.00 max)	Licences refused (2.00 max)
Switzerland	21.00	X	X	X	1.50	1.50	4.00	5.25	3.00	4.00	1.75
United Kingdom	19.75	X / EU Report	X	X	1.50	2.00	3.75	5.25	3.50	2.50	1.25
Romania	19.00	X / EU Report	-	X	1.50	2.00	2.50	4.50	3.00	3.50	2.00
Serbia	18.75	X (09)	X	X	1.50	1.00	3.25	5.00	3.50	2.50	2.00
Germany	18.50	X / EU Report	X	X	1.50	1.50	3.75	4.25	2.50	3.50	1.50
Netherlands	18.50	X / EU Report	X	X	1.50	2.00	4.25	4.75	2.50	2.50	1.00
Belgium	17.00	X / EU Report	X	X	1.50	2.00	3.00	3.00	3.00	2.50	2.00
Denmark	16.50	X / EU Report	X	X (09)	1.50	1.50	4.75	3.25	2.50	2.00	1.00
Italy	16.00	X / EU Report	X	X (09)	1.50	1.50	3.25	5.00	2.50	2.00	0.25
Spain	15.75	X / EU Report	X	X (09)	1.50	2.00	2.25	4.00	3.50	1.50	1.00
Slovakia	15.50	X / EU Report	X	X	1.50	1.50	2.50	3.50	2.50	2.00	2.00
Norway	15.25	X	X	X	1.50	1.50	3.75	3.00	3.00	2.50	0.00
Sweden	15.25	X / EU Report	X	X (09)	1.50	2.00	3.50	4.00	2.50	1.50	0.25
United States	15.00	X	X	X	1.50	1.50	2.75	4.25	3.00	2.00	0.00
Croatia	14.75	X	X	X	1.50	1.00	3.00	3.25	3.00	3.00	0.00
Montenegro	14.50	X (09)	X	-	1.50	0.50	3.00	5.00	2.50	2.00	0.00
Finland	14.25	X / EU Report	X	X	1.50	1.50	3.25	3.25	2.50	2.00	0.25
Czech Republic	14.00	X / EU Report	X	X	1.50	1.50	2.50	3.25	3.00	1.50	0.75
France	14.00	X / EU Report	X	-	1.50	1.50	4.00	2.75	2.50	1.50	0.25
Austria	13.75	X (09) / EU Report	X	X	1.50	1.50	2.25	3.75	3.00	1.50	0.25
Poland	12.75	X / EU Report	X	-	1.50	1.00	2.00	3.75	3.00	1.50	0.00
Hungary	12.50	X / EU Report	X	X	1.50	1.00	3.00	2.75	2.50	1.50	0.25
Canada	12.25	X (07-09)	X	X	1.50	1.00	2.75	4.00	3.00	0.00	0.00
Greece	12.00	EU Report	X	X	1.50	0.50	2.00	3.25	3.00	1.50	0.25
Portugal	11.75	X (08) / EU Report	X	X	1.50	1.50	2.00	2.25	2.50	2.00	0.00

Bulgaria	11.25	X / EU Report	-	X	1.50	1.50	2.00	2.25	2.50	1.50	0.00
Luxembourg	10.75	EU Report	X	-	1.50	0.50	1.75	3.00	2.50	1.50	0.00
Australia	10.00	-	X	X	1.50	1.00	1.50	3.00	3.00	0.00	0.00
Lithuania	10.00	EU Report	X	X	1.50	1.00	1.75	1.75	2.50	1.50	0.00
Israel	9.75	-	X	X (09)	1.50	0.50	1.75	3.50	2.50	0.00	0.00
South Korea	9.75	-	X	X	1.50	1.00	1.50	3.25	2.50	0.00	0.00
Thailand	9.75	-	X	X (09)	1.50	0.50	1.50	3.25	3.00	0.00	0.00
Pakistan	9.50	-	X	X	1.50	0.50	1.50	3.50	2.50	0.00	0.00
Mexico	9.00	-	X	X	1.50	1.00	1.50	2.50	2.50	0.00	0.00
Bosnia and Herzegovina	8.75	X (09)	-	X	1.50	0.50	1.50	1.00	1.50	1.50	1.25
Turkey	8.75	-	X	X	1.50	0.50	1.50	2.75	2.50	0.00	0.00
Argentina	8.50	-	X	X	1.50	1.00	1.50	2.00	2.50	0.00	0.00
Japan	8.50	-	X	X	1.50	1.00	1.00	2.00	3.00	0.00	0.00
India	8.25	-	X	X	1.50	1.00	1.50	1.75	2.50	0.00	0.00
Philippines	8.25	-	X	-	1.50	0.50	1.50	2.25	2.50	0.00	0.00
Ukraine	8.00	X	-	X	1.50	1.50	1.00	2.00	2.00	0.00	0.00
Brazil	7.50	-	X	X	1.50	1.00	1.00	1.50	2.50	0.00	0.00
Cyprus ⁺	7.50	-	X	X	1.50	0.50	1.00	2.00	2.50	0.00	0.00
Taiwan	7.50	-	X	-	1.50	0.50	1.50	1.50	2.50	0.00	0.00
China	7.00	-	X	X (09)	1.50	0.50	1.00	1.50	2.50	0.00	0.00
Singapore	6.50	-	X	X (09)	1.50	0.50	1.00	1.50	2.00	0.00	0.00
Russian Federation	5.50	-	X	X	1.50	1.00	0.50	0.50	2.00	0.00	0.00
Saudi Arabia	2.75	-	X (09)	-	1.00	0.00	0.50	0.75	0.50	0.00	0.00
South Africa	2.00	X	-	X (09)	1.50	0.50	0.00	0.00	0.00	0.00	0.00
Iran	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
North Korea	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00
United Arab Emirates	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The online version of the Transparency Barometer incorporates updates and corrections, and fills in reporting gaps, all of which affect states' scores as well as their rankings for current and previous years. For these reasons, the online editions—rather than the printed versions—should be considered definitive.²¹

Notes:

* Major exporters are countries that export—or are believed to export—at least USD 10 million worth of small arms, light weapons, their parts, accessories, or ammunition in a given calendar year. The 2012 Barometer includes all countries that qualified as a major exporter at least once during the 2001-10 period.

** X indicates that a state submitted a report on activities in 2010. Reports provided for earlier years are indicated in parentheses.

*** The Barometer assesses information provided in the EU's 13th Annual Report (CoEU, 2011b), reflecting military exports by EU member states in 2010.

Scoring system

The scoring system for the 2012 Barometer is identical to that used in 2011, providing comprehensive, nuanced, and consistent thresholds for the various categories. The Barometer's seven categories assess: timeliness as well as access and consistency in reporting (categories i-ii), clarity and comprehensiveness (iii-iv), and the level of detail provided on actual deliveries, licences granted, and licences refused (v-vii). For more detailed information on the scoring guidelines, see Small Arms Survey (2012, para. 17.9).

Explanatory notes

Note A: The Barometer is based on each country's most recent arms export report, made publicly available between 1 January 2010 and 31 December 2011.

Note B: The Barometer takes into account information that states have submitted to UN Comtrade for their 2010 exports through 17 January 2012, and national reporting to the UN Register through 31 December 2011. However, efforts to improve the Register's online interface have led to delays in access to reporting, with the consequence that some states' contributions for 2010 activities have not been made available for analysis. The 2012 Barometer therefore relies on data provided in the UN Secretary-General's 2011 report on the UN Register (UNGA, 2011a). While the Secretary-General's report is typically followed by the publication of addenda that contain additional states' reports, as of 22 February 2012 no addenda had been published. This explains why the level of reporting for 2010 activities is lower than expected.

Note C: The fact that the Transparency Barometer is based on three sources—national arms export reports (including reporting to the EU Report), reporting to the UN Register, and UN customs data—works to the advantage of states that publish data in all three outlets. All information provided to the three sources is reflected in the scoring. The same information is not credited twice, however.

Country-specific notes

+ Cyprus declared no exports of defence equipment to the 13th EU Report.

Source: Small Arms Survey (2012)

UNPACKING THE SEVEN PARAMETERS: NATIONAL PRACTICES

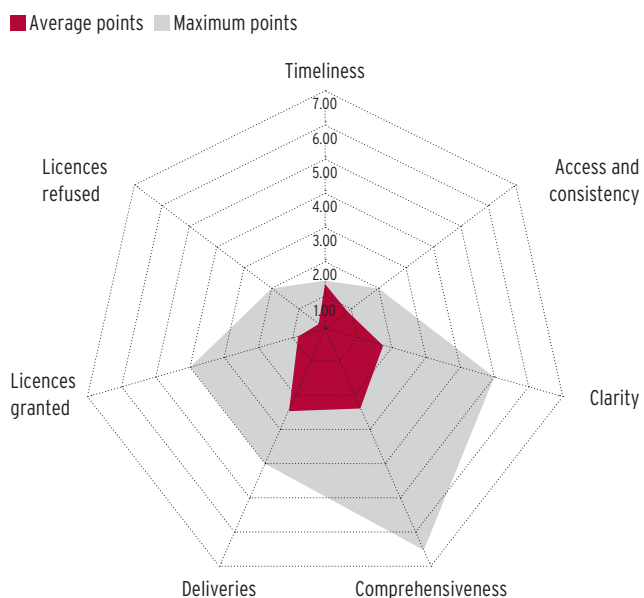
Transparency in reporting on small arms transfers has increased over the past ten years. Figure 9.2 illustrates the average points received by all covered states each year. States received an average of 7.98 points for their reports on 2001 activities; the average peaked at 11.40 for 2009 activities, declining slightly to 11.22 for 2010 activities. This represents an increase of 40 per cent over the period, but the average points earned by states still remains below half the total available points (that is, below 12.50 out of 25.00).

Figure 9.2 **Average total points received by all 52 countries for reports on 2001-10 activities**



Note: The average for reporting on 2001-05 activities is based on 51 states because Serbia and Montenegro were not separate independent states. For 2006-10 activities the average is calculated for 52 states.

Figure 9.3 Average level of transparency of 52 states for reports on 2001–10 activities



The progress is not generally uniform across all the countries under review and for all the Barometer's parameters. To reveal where progress has been made and where it has lagged, this section unpacks reporting by parameter, criterion, and sub-criterion. Figure 9.3 shows the average points earned by states for each of the seven main parameters. The grey area illustrates the maximum point allotment for each parameter, and the red area illustrates the average points received for all states for their reports on activities in 2001–10. It shows that states came close to full transparency for *timeliness* but fell far shorter with respect to the *licences refused* and *licences granted* parameters.

The following sections offer more details on both high and low scores as regards highlighted parameters and criteria.

Timeliness

The timely release of information allows for public scrutiny of recent exports and export licensing decisions as well as early warning about developments that could threaten peace and security. Timeliness is also a valuable confidence-building measure among states. This parameter awards a maximum of 1.5 points for the prompt reporting of export

Table 9.4 Countries scoring zero points for reports on 2001–10 activities

Year of activities	Countries scoring zero points
2001	Bosnia and Herzegovina, Bulgaria, Iran, North Korea, Pakistan, South Africa, Ukraine, United Arab Emirates
2002	Bosnia and Herzegovina, Bulgaria, North Korea, Pakistan, Ukraine, United Arab Emirates
2003	North Korea, United Arab Emirates
2004	North Korea, United Arab Emirates
2005	North Korea
2006	Iran, North Korea
2007	Iran, North Korea
2008	Iran, North Korea
2009	Iran, North Korea
2010	Iran, North Korea, United Arab Emirates



information through any one of three means: by publishing an up-to-date national arms export report (or, for European countries, contributing to the EU Report), by reporting to UN Comtrade, or by submitting a report to the UN Register. Submissions are considered 'on time' if they are published by 31 December of the year following the reported activities.²² This parameter does not consider the content or the quality of the information.

In contrast to the other parameters, the average state score for *timeliness* is quite high; over the past ten years, the states under review scored an average of 1.40 (93 per cent) of the 1.50 available points. This is primarily because the number of states that did not provide any information on their arms transfers range from eight to one over the period (see Table 9.4). In most other cases, states received the total maximum points available for *timeliness* (see Table 9.5).

Access and consistency

Regular and accessible small arms and light weapons transfers data is critical for evaluating transparency. The parameter *access and consistency* (maximum 2.00 points) encourages states to report regularly to all reporting instruments and to make their reports available to a wide audience. It is divided into four criteria that assess the accessibility of the information states provide, the frequency and regularity of submissions, and the use of multiple reporting instruments.

A container of ammunition is loaded onto a US navy ship, Naval Magazine Indian Island, June 2011.

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Over the past ten years, states have received an average of 0.98 points, or about half the available points for this parameter. The number of states earning the maximum available points gradually increased from zero to six over the period (see Table 9.5). The number of states receiving zero points under the *access and consistency* parameter varied from nine (for 2002 reporting) to three for reporting on 2004, 2006, and 2007 activities.

Table 9.5 Countries achieving maximum points under any of the seven parameters for reporting on 2001-10 activities

Year of activity	Timeliness (1.50 max)	Access and consistency (2.00 max)	Clarity (5.00 max)	Comprehensiveness (6.50 max)	Deliveries (4.00 max)	Licences granted (4.00 max)	Licences refused (2.00 max)
2001	43 countries	–	–	–	–	–	Denmark
2002	43 countries	–	–	–	–	–	–
2003	49 countries	Netherlands, Sweden, UK	–	–	Poland	–	–
2004	49 countries	Belgium, Netherlands, Sweden, UK	–	–	–	France	–
2005	49 countries	Belgium, Netherlands, Sweden, UK	–	–	Canada, Poland	–	–
2006	49 countries	Belgium, Netherlands, Sweden, UK	–	–	Poland	–	Montenegro, Romania
2007	50 countries	Belgium, Netherlands, Sweden, UK	–	–	Spain	Switzerland	–
2008	49 countries	Belgium, Netherlands, Sweden, UK	–	–	Poland, Spain	Switzerland	Germany, Romania, Serbia
2009	49 countries	Belgium, Netherlands, Romania, Sweden, UK	–	–	Poland, Spain	Switzerland	Romania, Serbia
2010	48 countries	Belgium, Netherlands, Romania, Spain, Sweden, UK	–	–	–	Switzerland	Belgium, Romania, Serbia, Slovakia

A state can earn half the available points under this parameter by publishing a national arms export report online. The national arms export report fulfils the criterion of ‘availability of interim information on transfer activities’ and publishing online fulfils the ‘online accessibility’ criterion. With the exception of Bosnia and Herzegovina and South Africa, all the countries that publish a national arms export report make it available on their government websites and receive the full points for this criterion.

Interim reports help hold governments accountable for their export licensing procedures and help civil society react to licensing decisions. Of the 29 countries that have published a national arms export report, six produce additional interim reports.²³ The Netherlands and Sweden publish monthly reports, Romania and the United Kingdom produce quarterly reports, and Spain and Belgium’s Flanders and Brussels regions produce biannual reports. These interim reports can contain more detailed information than the annual arms export reports. States accrue points if they publish interim information; they earn further points if these reports provide additional relevant information that is required by the Barometer criteria.

The criterion on the regular use of a reporting tool can be fulfilled if a state reports annually to UN Comtrade or the UN Register or if it publishes a yearly national arms export report for three consecutive years. Should a country fail to publish a report or submit data to one of the other two instruments, it will not be awarded points for this criterion for three consecutive years, unless it reports regularly to another tool. For example, Saudi Arabia does not publish a national arms export report, nor does it report to the UN Register; it is thus scored on its reporting to UN Comtrade. Saudi Arabia did not submit data on its 2008 activities to UN Comtrade. It was therefore scored with its reporting on 2007 activities, and has, as a result, lost one half point under *access and consistency*. This half point loss will remain for three consecutive years, even if Saudi Arabia were to resume reporting to UN Comtrade in the meantime. This example illustrates that irregular reporting has an impact on a country’s score across multiple years.

Six states produce monthly, quarterly, or biannual national arms export reports.

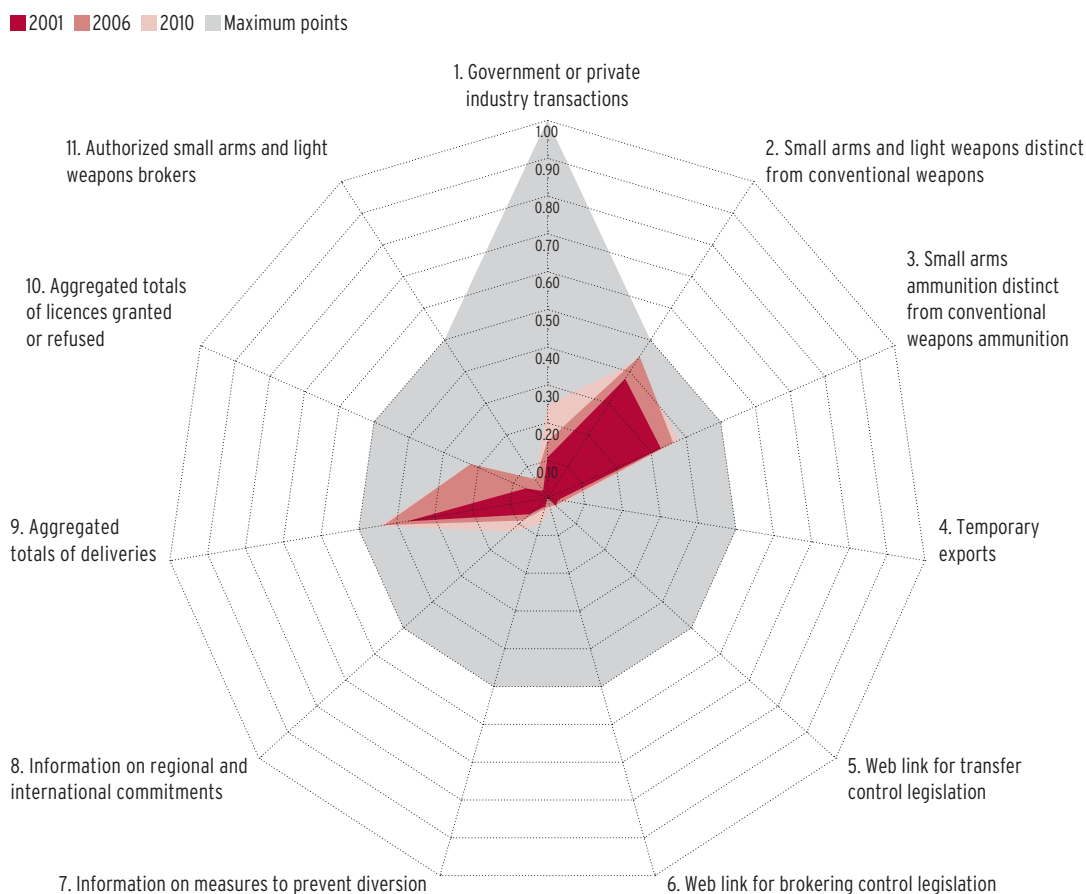
Clarity

Transparency on small arms transfers can make an important contribution to regional and international confidence building, but only if small arms transfers data is reported in a clear and understandable way. The parameter *clarity* is divided into 11 criteria, one of which is divided into four sub-criteria. Its main purpose is to reflect the extent to which information on small arms and light weapons transfers, including their ammunition, can be distinguished from transfers of other conventional arms transfers. It asks whether information on temporary exports is provided and whether the transfers are supplied by private industry or by the government. It also evaluates the information that countries provide on relevant legislation, such as measures to prevent diversion and international, regional, and sub-regional commitments to small arms transfers and brokering controls (see Box 9.2). Finally, it grants points for data on aggregated totals of deliveries, licences granted and refused, and brokers. A maximum of 5.00 points can be awarded.

Over the past ten years, states received an average of 1.81 points for *clarity*, slightly more than one-third of the available points. No state received the maximum available points. Denmark received the highest score for this parameter (4.75 points) once, for reporting on 2010 activities.

The *clarity* parameter provides a quantifiable measure of the extent to which state reporting distinguishes transfers of small arms and light weapons from those of other conventional weapons; it also assesses reporting on aggregate totals of deliveries (see Figure 9.4). Almost all states satisfy both aspects of the parameter. The exceptions are Iran and North Korea, which have not provided any information on their transfer activities since 2006 and since 2001, respectively. South Africa publishes a national arms export report using a classification for exported goods that is

Figure 9.4 **Average points earned under 11 criteria of the clarity parameter, based on reporting on 2001, 2006, and 2010 activities**



not defined in the national report. For this reason, South Africa has also failed to receive points for the classification of small arms and light weapons since reporting on its 2002 activities (Small Arms Survey, 2012, paras. 12.1–12.3).

Of the 52 countries under review, 14 fully reported whether their transfers were government or private industry transactions.²⁴ The national arms export reports of Finland, the United Kingdom, and the United States provide this information for all ten years of reporting.²⁵ The US Department of State, for example, provides a direct commercial sales report on US industry transactions. Meanwhile, the US Department of Defense prepares a foreign military sales report that lists its own transactions (Small Arms Survey, 2012, paras. 16.1a–b, 16.9 a–b). Other states have started providing this kind of information recently; for example, Norway began with its report on 2005 activities and Switzerland with its report on 2007 activities. While some states made the information available in the past ten years, they did not do so consistently. These include France, the Netherlands, Portugal, and Romania. Since reporting on 2005 activities, Germany²⁶ and Sweden ceased to provide full information on both government and private industry transactions and therefore only receive partial points. Many other countries under review received partial points as well because they mention either private or government transactions but do not provide further details. Similarly, Serbia, in its report on 2009 activities, states that 85 per cent of its arms industry was privately owned and the remainder was mixed or state-owned;

however, it does not indicate the proportion of small arms exports that were sourced from private, rather than public, manufacturers. Serbia therefore received partial points for acknowledging private and government-owned industries (Small Arms Survey, 2012, para. 11.3).

Reporting on temporary exports is not widespread. Denmark and the United Kingdom²⁷ reported in such a way as to receive full points for all ten years. Denmark indicates if the goods have been exported temporarily in the 'Comments on the transfer' column in the UN Register background information category (Small Arms Survey, 2012, paras. 4.2–4.6). It provides details on weapons type, quantity, and destination country. Bosnia and Herzegovina, Croatia, Germany, Hungary, Italy, the Netherlands, and Norway have received full points for individual years. The Czech Republic indicates that licences for 2009 activities were given for temporary transactions but does not provide further details, and so has received partial points (para. 3.1).

Comprehensiveness

A thorough understanding of the global and regional small arms trade requires complete and consistent reporting from states. Distinguishing small arms transfers from other conventional arms transfers is also important for monitoring excessive and destabilizing transfers and accumulations of small arms in regions at risk of conflict. The parameter *comprehensiveness* examines the level of detail provided on small arms and light weapons types.²⁸ It also evaluates reporting of different types of transfers, such

Box 9.2 Reporting on brokering activities

Brokers and their activities are an element in the chain of legal arms transfers, but they also play an important role in the illicit small arms trade. Several global and regional initiatives have been launched for the control of brokering activities in recent years. A UN Group of Governmental Experts, for example, recommended in August 2007 that states dedicate a specific section to brokering in their reporting under the UN Programme of Action on small arms and light weapons; they also urged states to consider reporting on the prevention of illicit brokering at the Biennial Meetings of States (UNGA, 2007, paras. xx, xxii).²⁹

EU member states have been invited to exchange information on brokering licences granted and refused under the EU Report since reporting on 2008 activities (that is, since the 11th EU Annual Report). So far, 15 EU member states have reported on brokering transactions in the EU Report (CoEU, 2009; 2011a; 2011b). South-east European states, in cooperation with the South Eastern and Eastern European Clearinghouse for the Control of Small Arms and Light Weapons, developed a regional database on registered brokers in order to improve information sharing and control over arms brokering activities—the first such database in the world (Bromley, 2011, p. 39).

The Transparency Barometer has two criteria relating to brokering activities. First, the Barometer assesses whether a country provides a reference to a website that offers free, full-text access to its brokering control legislation and whether the country explains how this legislation is implemented. Second, it determines whether the country provides information on authorized small arms brokers. The former criteria can be fulfilled in a national arms export report and the latter either in a national arms export report or through reporting to the UN Register.

Few countries provide information on their brokering control legislation in their national arms export reports. France, Finland,³⁰ and Norway are three countries that started to provide this information while reporting on 2001 and 2002 activities. Denmark, Germany, Spain, and Switzerland began to provide the required information on their brokering control legislation later. In its report on 2005 activities, Norway notes a web page for its export control legislation; it also outlines the responsibilities of a broker and how the country implements its brokering control legislation. Relevant guidelines were attached in the annexe (Small Arms Survey, 2012, para. 8.1). Sweden has managed to receive full points for its reporting on brokers. In its reports documenting 2005–10 activities, it provides a full list of registered brokers (para. 13.1).

The sensitivity of the issue and commercial confidentiality are the main reasons why most states do not provide information on registered small arms brokers. If they provide any sort of information, they generally list the names of companies that received a licence to trade in military materiel. These lists rarely distinguish which companies were licensed as brokers. Croatia is the only country that has received partial points for this criterion, since it reported to the UN Register on its 2008 activities. Under the column 'Comments on the transfer', Croatia provides the name of the company that has undertaken the export (Small Arms Survey, 2012, para. 2.1).

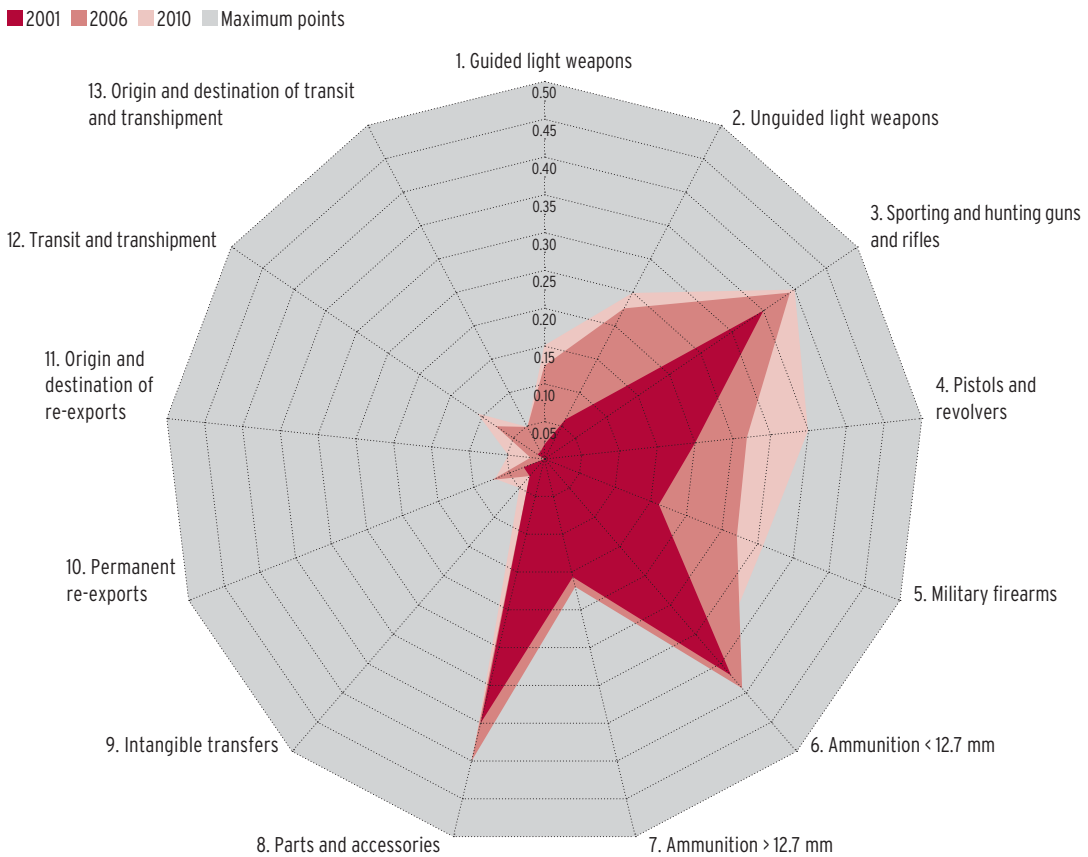
as permanent re-exports and transit or transshipment activities. States can earn one half point for each of the parameter's 13 criteria, for a maximum of 6.50 points.

States have received an average of 2.45 points (38 per cent) for *comprehensiveness* over the past ten years. No state received the maximum available points. Two countries managed to achieve 5.25 points—the United Kingdom twice, for reporting on 2006 and 2010 activities, and Switzerland four times, for reporting on 2007–10 activities.

To provide a sense of the changes in reporting on this parameter since 2001, Figure 9.5 illustrates the average score of all the countries under review for each of the 13 criteria of *comprehensiveness* for reporting on 2001, 2006, and 2010 activities. Data for 2006 is included because of improvements to state reporting following the introduction of the voluntary background information on small arms and light weapons transfers under the UN Register.

A general improvement in reporting standards can be observed for many of the criteria. In particular, reporting on guided light weapons (such as man-portable air defence systems and anti-tank guided weapons), unguided light weapons (such as mortars, rocket-propelled grenades, and grenade launchers), pistols and revolvers, and military firearms has improved over the period. Since reporting on 2001 activities, states have increasingly provided information on small arms exports in their national arms export reports and given data on different weapon types. The

Figure 9.5 Average points earned under 13 comprehensiveness criteria, based on reporting on 2001, 2006, and 2010 activities



introduction of voluntary background information on small arms and light weapons transfers in the UN Register has unquestionably contributed to enhanced reporting in this area.

Figure 9.5 also shows where reporting is weaker, such as for sharing information on ‘intangible transfers’. Intangible transfers include the provision of technical plans, blueprints, know-how, schematics, and software related to small arms and light weapons, their ammunition, and their parts and accessories. Seven countries received maximum points for reporting on intangible transfers.³¹ In its 2007 national arms export report, the United Kingdom notes the transfer of technology and technical assistance licences; the report’s annexe specifies that licences were issued for technology for sniper rifles and other small arms (Small Arms Survey, 2012, para. 15.1, p. 26, annexes). In its 2009 national arms report, Montenegro states that no licences were granted for technical assistance, whether for transfer of know-how, development, or production (para. 6.2, p. 28). Austria, Belgium, Germany, Greece, and Serbia received partial points for reporting on intangible transfers, primarily because the reporting was not consistent and included examples and mixed categories of arms and equipment. In Belgium’s case, one of the country’s regional reports highlights intangible transfers, but the other regions failed to provide such information (paras. 1.1a–b, 1.5 a–d).³²

Overall reporting remains poor on permanent re-exports and transit and transshipment activities.

Despite improvement among some states in recent years, overall reporting remains poor on permanent re-exports and transit and transshipment activities, including information sharing on countries of origin and destination for re-exports and materiel in transit. Most states do not share any information on permanent re-exports and transit and transshipment activities.

Deliveries

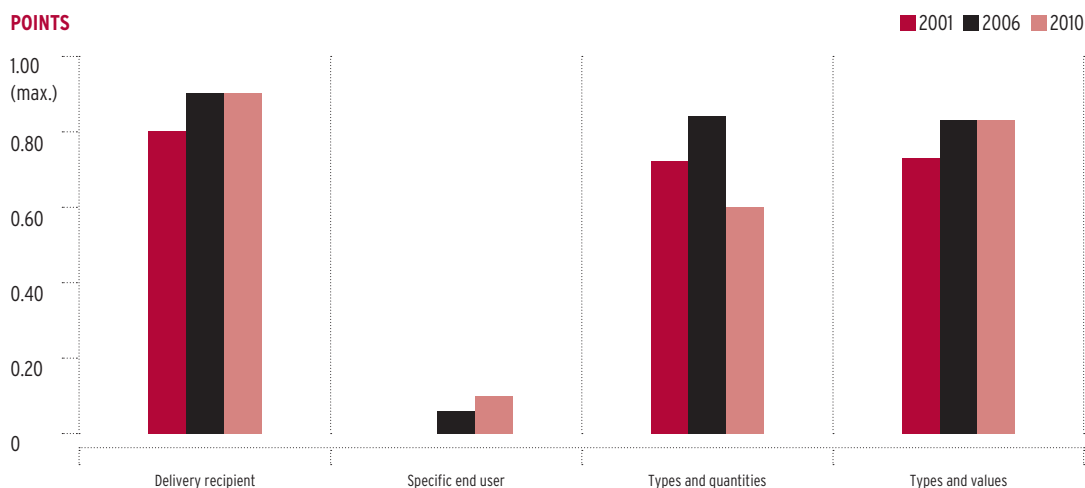
Providing information on actual deliveries can build confidence among states and help identify and potentially monitor destabilizing accumulations of arms in countries and regions at risk of conflict. It also facilitates verification of transfers between exporter and importer states (Bromley and Holtom, 2011, p. 34). The parameter *deliveries* is divided into four criteria, each worth 1.00 point for a total of 4.00 points (see Figure 9.6). It awards points for information shared on actual deliveries and the destination countries; end users; and the types, values, and quantities of delivered weapons.

Over the past ten years, states have received an average of 2.56 points on this parameter, or almost two-thirds of the possible points. Poland received the total points available for reporting on 2003, 2005, 2006, 2008, and 2009 activities and Canada and Spain received full points for reporting on 2005 and 2007–09 activities, respectively. The number of states that received zero points varied from nine (for 2001 reporting) to three for reporting on 2005 and 2007–09 activities.

States steadily increased the quality of reporting for deliveries, with the exception of reporting on quantities in 2010 (see Figure 9.6). All criteria can be fully or partially fulfilled via reporting to UN Comtrade or the UN Register,³³ or via publication of a national arms export report or submission to the EU Report. The exception is information on specific end users, which cannot be captured in reporting to UN Comtrade.

Details on end users are useful for informing the licensing officials of other states and the public on the specifics of small arms transfers. Every importing state issues end-user certificates; exporting states are supposed to review the original end-user certificate before granting an authorization to export small arms or light weapons. This means that both parties should know the purported end users for each transaction. Nevertheless, few countries provide information on the end user in their reporting. For reporting on 2001, 2002, and 2003 activities, for example, no country received points for the end-user criterion. Since then, 17 countries have received partial points and three countries—Canada, Poland, and Spain—earned full points for providing information on end users. Poland received

Figure 9.6 Average points earned under the four deliveries criteria, based on reporting on 2001, 2006, and 2010 activities



full points for detailed information provided under the UN Register in the column ‘Comments on the transfer’. It provided information on end users of small arms and light weapons, such as the Ministry of Defence of recipient countries, collectors, museums, NATO (including in Afghanistan), and other international forces (Small Arms Survey, 2012, paras. 9.1–9.5).

Under the EU Report, countries can also provide information on end users (that is, exports to UN-mandated or other international missions). While some EU countries identify end users, they do not necessarily do so systematically, or they provide only selected examples. A case in point is the Czech Republic’s report on 2009 activities, which includes a footnote indicating that small arms exported to Cambodia went to police forces and the United Nations Assistance to the Khmer Rouge Trials Mission. Because the information was not provided systematically for all small arms exports, the country earned partial points for this disclosure (Small Arms Survey, 2012, para. 3.1).

Licences granted

Information on licences granted sheds light on how national export criteria are interpreted. It also affords civil society and the media the opportunity to alert stakeholders to sensitive and potentially excessive and destabilizing transfers before actual exports occur. The parameter *licences granted* is divided into four criteria, each of which has a value of 1.00 point, for a total of 4.00 points. It awards points for information shared on licence recipients; end users; and the types, values, and quantities of weapons for which licences were granted.

Over the past ten years states received an average of 0.81 points, or one-fifth of the total points available. No country received the maximum points for reporting on 2001–03 and 2005–06 activities. France received the full points for reporting on 2004 activities and Switzerland for reporting on 2007–10 activities.

The very low average of points received and the high number of states receiving zero points (an average of 30 countries over the past decade) under the parameter is linked to the fact that points cannot be earned by reporting to UN Comtrade or the UN Register.³⁴ If a country reports only to the EU Report, it cannot earn full points.³⁵ States must thus publish a national arms export report to be able to earn full points.



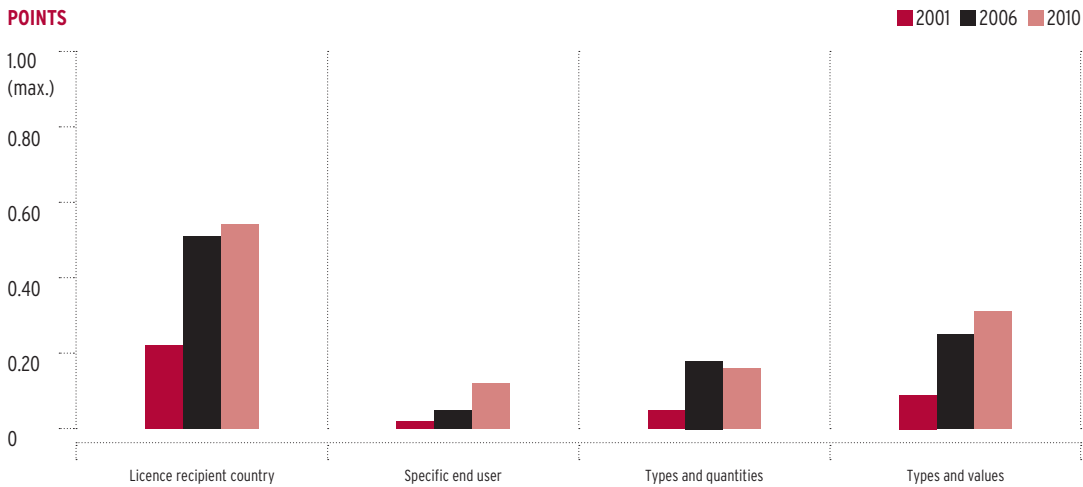
Figure 9.7 illustrates what type of information states provide about the recipient country. Information on quantities and values of weapon types for which licences were granted are not provided often; information on the end user is rarely shared.

Switzerland published its first national arms export report specifically dedicated to small arms and light weapons transfers activities in 2008. To date, no other government has published a separate small arms export report. This practice has contributed to Switzerland being the most transparent country since reporting for 2007 activities. In its reports, Switzerland consistently provides detailed data on licenses granted, identifying delivery recipients of granted licenses as well as weapons types, quantities, and values. A separate table provides a list with all destination countries and the quantity of weapons delivered. The table identifies the percentage of licences granted for various end users, such as brokers, armouries, private persons, the police, armed forces, and other government agencies (Small Arms Survey, 2012, paras. 14.1–14.3).

Licences refused

Information on licence denials provides insight on how national export criteria are interpreted and helps neighbouring states and entire regions form a common position on their export policies. By sharing information on licence denials, states can be warned, for example, about exporting to a country in close proximity to a conflict zone or where the risk of diversion is high. The parameter

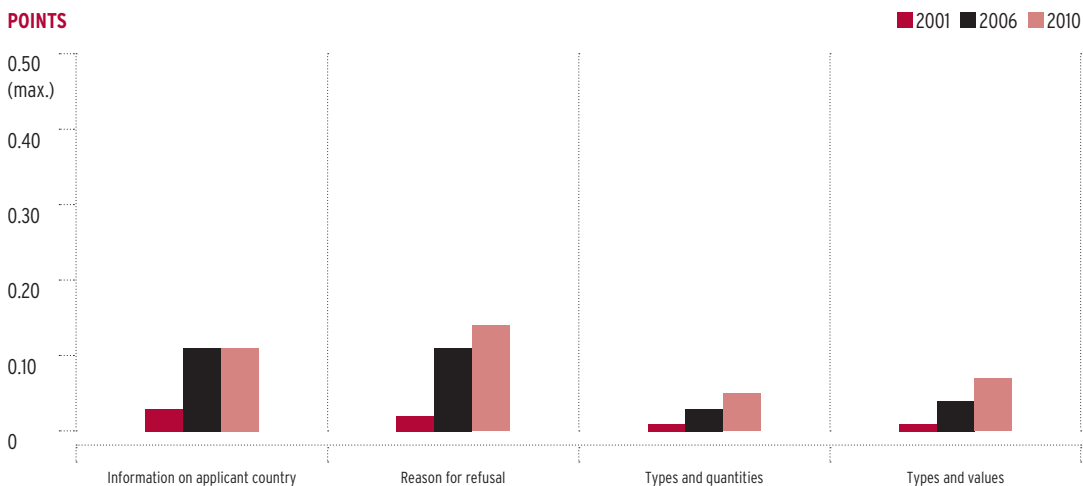
Figure 9.7 Average points earned under the four criteria of licences granted, based on reporting on 2001, 2006, and 2010 activities



licences refused is divided into four criteria, each of which entails one half point, for a total of 2.00 points. It considers whether the country identifies destination countries that were refused licences; provides an explanation for such refusals; and offers information on the types, values, and quantity of weapons for which licences were refused.

Over the past ten years states received an average of less than ten per cent of the possible points (0.20 points) (see Figure 9.8). No country received the maximum points for reporting on 2002–05 and 2007 activities. Denmark received full points for reporting on 2001 activities. Montenegro and Romania received the full points for reporting on 2006 activities. Germany, Romania, and Serbia received full points for reporting on 2008 activities; for reporting on 2009 activities, Serbia and Romania received full points (see Box 9.3). They were joined by Belgium and Slovakia for reporting on 2010 activities (see Table 9.5). Since they submitted nil reports, Belgium, Denmark, Montenegro,

Figure 9.8 Average points earned under the four criteria of licenses refused, based on reporting on 2001, 2006, and 2010 activities



Romania, and Slovakia received the full points for reporting on licence refusals; these submissions indicate that these five countries did not reject any licences (Small Arms Survey, 2012, paras. 1.7a–d; 4.1; 6.1; 10.1; 18.1). Serbia provided complete information on its licence denials—including export destination and the end-user country—in the national arms export reports for 2007 and 2008 activities. It states that the licences were denied due to incomplete documentation and provides details on the type, value, and quantity of the materiel for which a licence was refused (paras. 11.1, 11.2).

Box 9.3 Efforts to increase transparency in South-east Europe: Serbia and Romania

Since the early 1990s a growing number of European states have produced national arms export reports. The common practice of parliamentary scrutiny and the obligation of EU member states to exchange data on their export licence approvals, actual exports, and denials for licences have encouraged non-EU states to publish national arms export reports as well. Prospective EU candidacy or EU membership are powerful incentives to provide better and more detailed documentation of small arms and light weapons transfers. These factors are driving South-east Europe's increasing transparency in their arms export activities.

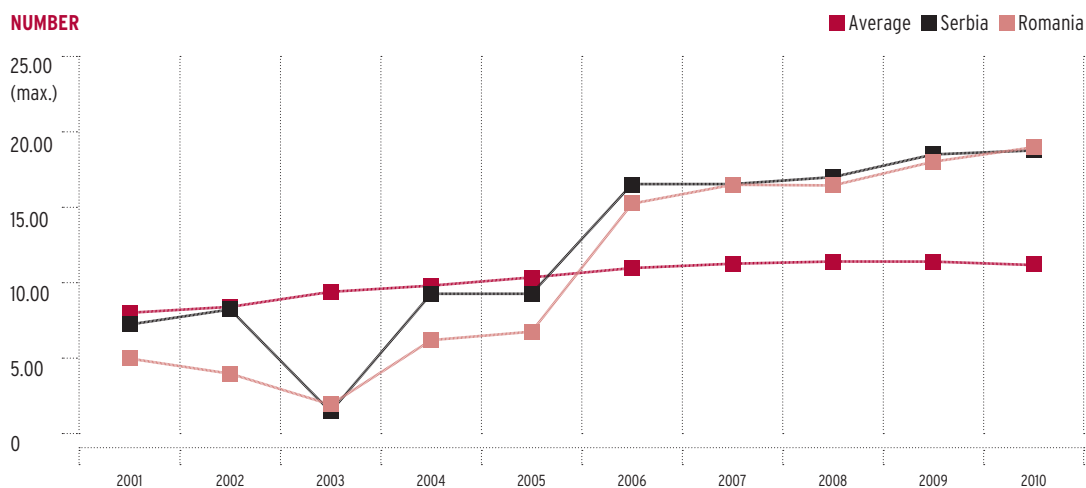
In 2009, Albania, Bosnia and Herzegovina, Macedonia, Montenegro, and Serbia launched the initiative to publish a regional report on arms exports for South-eastern Europe. The report, modelled on the EU Report, was published for three consecutive years; the contents are also available in an online database (Bromley, 2010; SEESAC, n.d.). The data for the regional report is based on the participating countries' national arms export reports; however, those reports include more detailed information than the recently established regional report.³⁶ Some national reports, such as those of Romania and Serbia, also tend to be more detailed than many of the national reports produced by EU member states. Both states have steadily increased their level of transparency since reporting on 2006 transfers (see Figure 9.9); they are among the most transparent countries with respect to reporting on 2006–10 activities.

Since its independence in 2006, Serbia has achieved its highest scoring results, ranking among the most transparent countries for reporting on 2006–10 activities. Serbia produced its first annual report on arms exports in 2007 (Small Arms Survey, 2012, para. 11.4); furthermore, the country started to provide background information on its international small arms and light weapons transfers to the UN Register in 2010. Serbia's first national arms export report includes extensive information on arms export licences granted, actual arms exports, end users, and licences denied. The information is broken down by destination country and control list category, with additional descriptions of the goods and weapon types. By posting its national arms export report on the government website, Serbia increased its score for reporting on 2008 activities by one half point. The following year the country provided more details on ammunition larger than 12.7 mm and permanent re-exports and transit and transshipment. These improvements resulted in an increase of 1.5 points, raising Serbia to fourth most transparent country for reporting on 2009 and 2010 activities.

Romania entered the EU on 1 January 2007. The same year, it took a number of ambitious steps towards transparency with regard to its arms transfers information. First, it retroactively published national reports for 2003–05 activities. These reports already provide detailed information on licence denials. Subsequently, Romania introduced quarterly reports and provided specifics on licences granted, increasing its total score for 2007 and 2008 activities. Romania's 2009 report includes new information on transit and transshipment activities, increasing the score by another half point. It also shares more comprehensive information on end users, distinguishing licences granted for governments, industry, and commercial markets. For 2010 activities, Romania provides more details on quantities in licences granted; in its national arms export report, it reports on ammunition larger than 12.7mm (Small Arms Survey, 2012, para.10.3). With these improvements, Romania increased its total score by one full point. It now ranks third in the 2012 Barometer, after Switzerland and the United Kingdom. Romania's arms export report provides a level of detail on small arms and light weapons ahead of several EU member states' reporting. On a regional level, it is the most transparent country in South-east Europe.

Individual efforts by South-east European countries and the regional reports reflect the willingness and capacity in the region to comply with the EU model of reporting and export controls. The regional efforts to increase transparency serve as a good example of how states can improve the contents of national reports through long-established reporting practices. Many EU and non-EU member states should be encouraged to follow this example.

Figure 9.9 Romania and Serbia's total points compared to the average and maximum points, based on reporting on 2001-10 activities



Note: Serbia's political status over the period was as follows: 2001-02: part of the Federal Republic of Yugoslavia; 2003-05: part of Serbia and Montenegro; and 2006-10: independent state.

An average of 38 countries scored zero points over the past ten years for *licences refused*, yielding a very low average for all states on this parameter. This is primarily because points can only be earned by publishing a national arms export report or reporting to the EU Report. In fact, only European countries managed to receive points for this parameter.

The maximum that EU members can receive is one quarter point for reporting on licence refusals to the EU Report, if they do not provide information on brokering licence refusals.³⁷ Unfortunately, due to format changes in the EU Report for reporting on 2009 activities, many countries did not receive these quarter points as the information on licence refusals was no longer national, but instead aggregated at the EU level (Herron et al., 2011, p. 19). This resulted in a decrease from 19 countries receiving points under *licences refused* for reporting on 2008 activities to ten countries for reporting on 2009 activities. For reporting on 2010 activities, the information on licence refusals was once again provided at the national level.

CONCLUSION

Over the past ten years, major exporting states have become increasingly transparent in reporting on their small arms and light weapons transfers. The average score of all 52 states surveyed has increased by at least 40 per cent over the period. The trend towards greater transparency spans the entire sample, including both high-scoring and low-scoring countries.

Some of this improvement can be traced to specific reporting practices by states. More states are producing national arms export reports and utilizing the UN Register's optional category for small arms and light weapons transfers. These reporting mechanisms provide states with more opportunities to supply comprehensive information. As a result, some states' scores in the Transparency Barometer's *comprehensiveness* parameter have improved.

The importance of national arms export reports can also be seen in some of the parameters in which most states remain opaque, such as reporting on *licences granted* and *licensed refused*. There is no mechanism for reporting on

these parameters other than through a national arms export report. While the number of states producing an export report has increased by nearly 50 per cent over the past decade, fewer than half of all states surveyed in this chapter submitted a report in 2011.

This is one reason why, despite the general increase in transparency over time, the average score of all states remains below 50 per cent of the maximum possible score. Reporting practices remain generally poor with reference to *licences granted and refused* and the *clarity* and *comprehensiveness* parameters. To enhance clarity, many states still have to standardize the process of including information on temporary exports and brokering control legislation, on measures taken to prevent and detect international diversion, and on licensed brokers. The inclusion of information on ammunition larger than 12.7 mm, intangible transfers, and permanent re-export, transit, and transshipment activities would increase comprehensiveness.

One inescapable conclusion from this ten-year review of transparency is that there is major room for improvement among most states, and that the best way to achieve it is through national arms export reports. These are now the norm for European countries—25 of 31 European countries surveyed publish them—but they remain the exception in other regions, where only 4 of 21 states surveyed provide them. In fact, all of the top 25 most transparent states in the 2012 Barometer, 23 of them European, issued national arms export reports in addition to using the other reporting instruments. These countries are leading the way in transparency in the small arms trade. But membership in the ‘club’ is open. ■

LIST OF ABBREVIATIONS

NISAT	Norwegian Initiative on Small Arms Transfers
UN Comtrade	United Nations Commodity Trade Statistics Database
UN Register	United Nations Register of Conventional Arms

ENDNOTES

- 1 For more information on the Transparency Barometer, see Khakee (2004) and Lazarevic (2010).
- 2 The chapter complements a recent country-specific analysis of transparency published by the Small Arms Survey. See Lazarevic (2010).
- 3 For more information on the previous scoring methods, see Lazarevic (2010).
- 4 Exports can refer to the sale of newly produced goods, transfers, temporary exports, re-exports, and the sale of stockpiles or surplus materiel.
- 5 The Small Arms Survey relies on the Norwegian Initiative on Small Arms Transfers (NISAT) Database on Authorized Small Arms Transfers to determine which states meet the minimum export threshold for inclusion. The NISAT database draws exclusively on the United Nations Commodity Trade Statistics Database (UN Comtrade). For more details about the methodology, see Marsh (2005) and Small Arms Survey (2012, paras. 7.1–7.8).
- 6 For a more detailed description of which countries were added to the Transparency Barometer, and when, see Lazarevic (2010, p. 164).
- 7 These states were Denmark, Greece, Lithuania, Luxembourg, the Philippines, Saudi Arabia, Thailand, Ukraine, and the United Arab Emirates.
- 8 These states were Hungary, India, Iran, and Slovakia.
- 9 For more information on the scoring guidelines, see Small Arms Survey (n.d.a).
- 10 For more information on the reporting instruments, see Lazarevic (2010, pp. 16–24).
- 11 The exception is Serbia, which has only reported to UN Comtrade since its independence in 2006.
- 12 This finding may be somewhat biased as reporting to UN Comtrade is the basis for selecting the countries analysed in the Transparency Barometer.
- 13 For more information on the seven UN Register categories, see UN (n.d.).
- 14 Taiwan has not submitted a report to the UN Register either, as it is prevented from doing so.

- 15 The optional standardized format for reporting on small arms and light weapons transfers was adopted in 2006 after an Expert Group reviewed the UN Register. It provides six categories for small arms and six categories for light weapons, representing a clearer breakdown than UN Comtrade codes.
- 16 For the purpose of the Transparency Barometer, national arms export reports are 'on time' if they are published by 31 December of the year following the period analysed. For example, the 2012 Transparency Barometer covers national arms export reports on 2010 data that were published by 31 December 2011.
- 17 These were the Czech Republic, Italy, the Netherlands, Norway, Sweden, Switzerland, the United Kingdom, and the United States.
- 18 EU member states are required under the EU Council's Common Position Article 8(3) to publish an arms export report if they export technology or equipment on the EU Common Military List. Of the EU member states analysed in the Transparency Barometer, Cyprus, Greece, Lithuania, and Luxembourg are the only EU members that have not yet published a national arms export report. Latvia and Malta, which have not produced such a report either, are not included in the Barometer (Weber and Bromley, 2011).
- 19 All previous editions of the Transparency Barometer are available online; see Small Arms Survey (n.d.b).
- 20 Although Greece was included in the Barometer for the first time for 2010 activities, it has been retroactively scored and included in all previous editions, as have all newly included states.
- 21 The online version of the Barometer is available at Small Arms Survey (n.d.b).
- 22 For example, the 2012 Transparency Barometer considers national arms export reports on 2010 data that were published by 31 December 2011. Reports to UN Comtrade and to the UN Register are also considered if they were submitted by 31 December of the year following the period analysed.
- 23 These interim reports are also included in the analysis of transparency.
- 24 These states are the Czech Republic, Denmark, Finland, France, Germany, Hungary, the Netherlands, Norway, Portugal, Romania, Sweden, Switzerland, the United Kingdom, and the United States.
- 25 The UK did not earn full points for reporting on 2001 activities; since Switzerland started producing a national small arms export report in 2007, it has also provided information if the transfer is supplied by the government or private entities.
- 26 For its documentation of 2010 activities, however, Germany improved its reporting and received full points.
- 27 The UK did not earn full points for reporting on 2004 data.
- 28 For example, a detailed report might identify materiel as (un-)guided light weapons, sporting and hunting guns, pistols and revolvers, military firearms, small arms ammunition, ammunition larger than 12.7 mm, or parts and accessories.
- 29 For more information on initiatives to control brokering activities, see, for example, Cattaneo (2004).
- 30 Finland received points under this criterion only for reporting on 2002 and 2003 activities.
- 31 These countries were Austria, Germany, Montenegro, Spain, Switzerland, the United Kingdom, and the United States.
- 32 Belgium's export control system was regionalized in August 2003. This means that each of the three Belgian regions reports separately on its arms exports. Given diverging regional reporting practices, the reports of all three regional parliaments must be provided for Belgium to be assessed in the Transparency Barometer.
- 33 Under the UN Register, states are requested to provide information on deliveries; however, some states provide information on licence approvals rather than actual deliveries. This is because some states do not have established data collection practices that allow them to report on actual deliveries. If, like Germany, the submitting state illustrates in its UN Register report that the data is on licences issued and not on actual deliveries, the information is scored accordingly.
- 34 If, under the UN Register, a country specifies that provided data concerns licences granted and not actual deliveries, then the points are scored under licences granted, but no points are attributed for deliveries. See, for example, Germany's submissions to the UN Register (UNGA, 2011a); Germany does not report on actual deliveries, but rather on licences issued.
- 35 The EU Report does not include quantities for which licences are granted, so countries cannot receive the 2.00 points this information can earn them. The EU Report does allow countries to earn 1.00 point for the recipient country, one half point for the values of the *licences granted*, and one half point for information on end users (that is, exports to UN-mandated or other international missions).
- 36 Croatia was the last South-east European country to publish a national arms export report. It was released at the end of 2010. Now all the Balkan countries publish national arms export reports.
- 37 Detailed information on brokering licence refusals under the EU Report can provide up to 1.25 points for this parameter. None of the EU member states under review received full points for reporting on brokering licence refusals. Only the UK received one half point for reporting on 2009 activities (CoEU, 2011a, p. 406).

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