

Point by Point

TRENDS IN TRANSPARENCY

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. 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.

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. Scores are awarded based on a 25.00-point scale. The level of transparency is assessed using a series of publicly available reporting instruments that provide official information on small arms transfers. 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.

The 2012 Transparency Barometer evaluates 52 major small arms exporters.

The 2012 edition of the Transparency Barometer assesses the reporting practices of 52 countries. It identifies Switzerland, the United Kingdom, and Romania as the three most transparent countries. The least transparent countries are Iran, North Korea, and the United Arab Emirates, all scoring zero points. 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. 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 progress among some states, there remains much scope for improved reporting.

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.

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 increased by at least 40 per cent over the period. The trend towards greater transparency spans the entire sample, including high-scoring and low-scoring countries. However, the progress is not uniform across all the countries under review or for all the Barometer's parameters.

This chapter shows that states came close to full transparency for *timeliness* but fell far shorter with respect to the *licences*



Bullets hang from a machine gun on display at the Defence Systems and Equipment International Exhibition, London, September 2005.

© Kirsty Wigglesworth/AP Photo

refused and *licences granted* parameters. There is no mechanism for reporting on the latter two parameters other than through a national arms export report. In the past ten years, 29 countries published a national arms export report at least once; 25 of them are European states. Of the non-European states reviewed by the Transparency Barometer, only Australia, Canada, South Africa, and the United States have published national arms export reports.

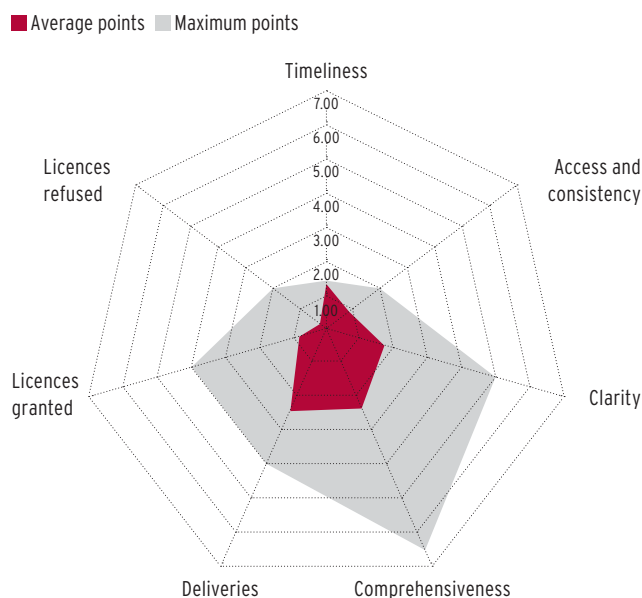
Switzerland, the United Kingdom, and Romania are the three most transparent small arms exporters.

Likewise, reporting practices remain generally poor with reference to *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-exporter, transit, and transshipment activities would increase comprehensiveness.

Over the past ten years, states have steadily increased the quality of reporting for the parameter *deliveries*, with the exception of reporting on quantities in 2010. All criteria for this parameter can be full or partially fulfilled via reporting to UN Comtrade or the UN Register, or via publication of a national arms export report or submission to the EU Report.

This ten-year review of transparency reveals that there is major room for improvement among most states, and that the best way to achieve it is through national arms export reports. In fact, all of the top 25 most transparent states in the 2012 Barometer issued national arms export reports in addition to using the other reporting instruments. ■

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



The 2012 Transparency Barometer

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.

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