TRADE UPDATE 2016

Transfers and Transparency

by Irene Pavesi
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# Contents

## SECTION 1: OVERVIEW AND BACKGROUND

About the Small Arms Survey ................................................................. 8  
About the Author .................................................................................. 10  
Acknowledgements ............................................................................... 11  
Introduction .......................................................................................... 12

## SECTION 2: TRANSFERS

Authorized Transfers ............................................................................. 20

## SECTION 3: TRANSPARENCY

The Small Arms Trade Transparency Barometer ..................................... 32

## SECTION 4: APPENDICES

List of Abbreviations ............................................................................. 48  
Bibliography .......................................................................................... 49  
Endnotes ................................................................................................. 52  
Online Resources ................................................................................... 54  
Publications ........................................................................................... 56
SECTION 1
Overview and Background
About the Small Arms Survey

The Small Arms Survey is a global centre of excellence whose mandate is to generate impartial, evidence-based, and policy-relevant knowledge on all aspects of small arms and armed violence. It is the principal international source of expertise, information, and analysis on small arms and armed violence issues, and acts as a resource for governments, policy-makers, researchers, and civil society. It is located in Geneva, Switzerland, at the Graduate Institute of International and Development Studies.

Established in 1999, the Survey is supported by the Swiss Federal Department of Foreign Affairs and current or recent contributions from the Governments of Australia, Belgium, Denmark, Finland, France, Germany, the Netherlands, New Zealand, Norway, Sweden, the United Kingdom, and the United States, as well as from the European Union. The centre is grateful for past support received from the Governments of Canada and Spain, as well as from foundations and many bodies within the UN system.
The Survey has an international staff with expertise in security studies, political science, law, economics, development studies, sociology, and criminology, and collaborates with a network of researchers, partner institutions, non-governmental organizations, and governments in more than 50 countries.
Irene Pavesi is a researcher at the Small Arms Survey. Her research focuses on transparency in the small arms trade and on the measuring and monitoring of violence at the international level.

Since 2012, she has coordinated the production of the Small Arms Trade Transparency Barometer. She co-authored the Trade Update chapters in the 2013 and 2014 editions of the *Small Arms Survey*.

She holds a PhD in criminology and a master’s degree in applied social sciences from the Catholic University of the Sacred Heart, Milan.
Acknowledgements

The author would like to express her gratitude to Glenn McDonald for his consistent support and guidance throughout the process; Paul Holtom for his attentive review of this publication and invaluable insights into reporting on small arms and light weapons; Olivia Denonville for her kind assistance with scoring national reports, validation, and fact-checking; and Christelle Rigual for her collaboration on the Transparency Barometer over the past few years and her contribution to the initial stages of this publication. The author also extends thanks to Nic Marsh for providing clarification on UN customs data and to Ingeborg Mork-Knutsen, Juliana Sokolova, Marco Centurione, Michelle Gyeney, Tsvetelina Miteva, Sven Richters, and Vanya Tsutsui for their assistance in translating and scoring national reports.

*This report is based on research conducted by the author and the Small Arms Survey. The views and statements expressed in the publication are the sole responsibility of the Small Arms Survey.*
Introduction

This Update provides an overview of the international trade in small arms and light weapons in 2013.

The first section of the Update reports on the total values and main categories of small arms transferred by top and major exporters and importers. This section also assesses changes in trade patterns from 2012 to 2013.

The second section presents the 2016 edition of the Small Arms Trade Transparency Barometer, whose methodology and sourcing have been revised. As explained below, the Barometer now includes a new source—the Regional Report on Arms Exports, prepared by of the South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms (SEESAC).
This Update answers the following questions:

Who were the top and major exporters and importers of small arms and light weapons in 2013?

Which top and major exporters are the most and least transparent?

Are there significant changes in the values and categories of small arms transferred in 2013 in comparison with 2012?

What were the main changes in small arms trade reporting practices between 2012 and 2013?
The main findings include the following:

- Data reported to UN Comtrade reveals international transfers of small arms by top and major actors worth an estimated USD 5.8 billion in 2013, a 17 per cent increase compared to 2012.

- In 2013, the top exporters of small arms and light weapons (those with annual exports of at least USD 100 million) were (in descending order) the United States, Italy, Germany, Brazil, Austria, South Korea, Turkey, the Russian Federation, the Czech Republic, Israel, Belgium, Croatia, China, Switzerland, Japan, and Spain.

- The Survey’s analysis of trade data going back to 2001 reveals that 2013 witnessed the largest number of top exporters. Croatia surpassed the USD 100 million mark for the first time.

- In 2013, the eight top importers of small arms and light weapons (those with annual imports of at least USD 100 million) were (in descending order) the United States, Canada, Germany, the United Arab Emirates, Saudi Arabia, Australia, France, and Norway.

- The United States imported more than USD 2.4 billion of small arms, maintaining its record high since 2001.
• The 2016 edition of the Transparency Barometer identifies Germany, the United Kingdom, and the Netherlands as the most transparent top and major small arms exporters. Iran, North Korea, Saudi Arabia, and the United Arab Emirates are the least transparent exporters.

• The average score in the 2016 Barometer is 11.16 out of 25 available points. This represents less than 50 per cent of a perfect score, suggesting much room for improvement still exists. As demonstrated again in this year’s Barometer, information on export licences granted and refused remains especially scarce; of the countries under review, about one-half provided no information on approved licences, while almost two-thirds did not report on the ones they denied.

• More than one-third of the countries under review improved their scores since the last edition of the Barometer. Among these, South Africa experienced the largest increase (+7.75 points), followed by Bosnia and Herzegovina with an increase of 4.25 points.
Note to the reader

The figures on the international small arms trade provided are based on an analysis of custom data that states provide voluntarily to UN Comtrade. UN Comtrade captures considerable levels of activity and contributes to important policy-relevant questions. This mechanism does not capture all activities as many states do not report on small arms transfers to UN Comtrade, or to do so only partially. If both an exporter and an importer of a specific transaction do not share any details of the transfer to UN Comtrade, the activity will not be picked up in this report. Moreover, some light weapons, light weapons ammunition, and accessories for small arms and light weapons are not discernible from the non-small arms trade that UN Comtrade tracks, and therefore are not covered in our analysis. Thus, the analysis is skewed toward documenting more transparent countries and underestimates the total value and extent of the global trade in small arms.
Map 1
Small Arms Trade Transparency Barometer 2016, based on 2013 trade

Notes:
1. The 2016 Barometer includes any country that qualified as a major exporter at least once during the 2001–13 calendar years.
2. This map identifies top and major exporters in 2013. Top exporters are countries that are believed to have exported at least USD 100 million worth of small arms, light weapons, their parts, accessories, and ammunition in a calendar year; major exporters had annual exports worth at least USD 10 million.
The analysis of authorized transfers is based on the financial value of small arms import and export activities registered at customs and reported by states to the United Nations Commodity Trade Statistics Database (UN Comtrade), as compiled by the Norwegian Initiative on Small Arms Transfers (NISAT, n.d.). Based on this data, top and major exporters (countries exporting at least USD 10 million in small arms annually) accounted for USD 5.8 billion worth of small arms exports in 2013. This figure represents a 17 per cent increase over the 2012 value, when USD 5 billion worth of small arms was traded.

Top and major exporters in 2013

Between 2012 and 2013, the number of top and major exporters increased slightly, from 38 to 40. The number of top exporters (exporting at least USD 100 million worth of small arms annually) rose to 16, compared to 13 in 2012. The top exporters in 2013 were, in descending order, the United States, Italy, Germany, Brazil, Austria,
TOP EXPORTERS

SMALL ARMS and LIGHT WEAPONS 2013

United States • Italy • Germany
Brazil • Austria • South Korea
Turkey • Russian Federation
Czech Republic • Israel
Belgium • Croatia • China
Switzerland • Japan • Spain
Authorized transfers

The exports of the United States, Italy, and Germany alone represented almost 40 per cent of all 2013 exports.

The exports of the United States, Italy, and Germany alone represented almost 40 per cent of all 2013 exports.

South Korea, Turkey, the Russian Federation, the Czech Republic, Israel, Belgium, Croatia, China, Switzerland, Japan, and Spain (see Table 1).

In particular, Germany increased its exports by 18 per cent, from USD 472 million to USD 557 million, and thus joined the United States and Italy in the upper tier of exporters. The financial value of the small arms exports of states in this tier increased by 55 per cent from 2012 to 2013.

The new top exporters in 2013 were Croatia (whose exports increased from USD 88 million to USD 139 million), Israel (USD 89 million to 145 million), Spain (USD 89 million to USD 103 million), and Switzerland (USD 76 million to USD 107 million). In contrast, Norway became a major exporter, rather than a top exporter, as its exports dropped by 76 per cent, from USD 129 million to USD 31 million.

In 2013, four countries newly qualified as major exporters, with at least USD 10 million in annual exports, in comparison with 2012: Bosnia and Herzegovina (whose exports increased from USD 9 million to USD 10 million), Peru (USD 7 million to USD 11 million), Slovakia (USD 4 million to USD 12 million), and South Africa (USD 7 million to USD 21 million). This marks Peru’s first appearance among major exporters, as revealed by the Small Arms Survey’s analysis of NISAT’s annual trade figures, which currently cover 2001–13.
In contrast, Denmark and Singapore dropped below the USD 10 million export threshold, as Danish exports declined from USD 11 million to USD 9 million between 2013 and 2012, while Singapore saw a decrease from USD 25 million to USD 4 million during the same period.

### Table 1
Exporters of small arms based on UN Comtrade, 2013, with transparency indicators

<table>
<thead>
<tr>
<th>Category</th>
<th>Value (USD)</th>
<th>Exporters (listed in descending order of value exported)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Top exporters</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tier 1</td>
<td>≥500 million</td>
<td>United States, Italy, Germany</td>
</tr>
<tr>
<td>Tier 2</td>
<td>100–499 million</td>
<td>Brazil, Austria, South Korea, Turkey, Russian Federation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Czech Republic, Israel, Belgium, Croatia, China</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Switzerland, Japan, Spain</td>
</tr>
<tr>
<td><strong>Major exporters</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tier 3</td>
<td>50–99 million</td>
<td>Finland, France, Canada, United Kingdom, Mexico</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Serbia, India, Sweden</td>
</tr>
<tr>
<td>Tier 4</td>
<td>10–49 million</td>
<td>Portugal, Bulgaria, Philippines, Norway, Ukraine</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Hungary, Poland, Taiwan, Australia, South Africa</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Romania, Argentina, Slovakia, Cyprus, Peru</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Bosnia and Herzegovina</td>
</tr>
</tbody>
</table>

**LEVEL 1** (20.25–25.00)  | **LEVEL 2** (15.25–20.00)  | **LEVEL 3** (10.25–15.00)  | **LEVEL 4** (5.25–10.00)  | **LEVEL 5** (0.00–5.00)  |

Sources: NISAT (n.d.); Small Arms Survey (2016b).

**Note:** Transparency indicators are based on Small Arms Trade Transparency Barometer 2016 scores.
Overall, top and major exporters accounted for 82 per cent and 17 per cent of all international small arms transfers, respectively. The exports of the United States (USD 1.1 billion), Italy (USD 644 million), and Germany (USD 557 million) alone represented almost 40 per cent of all 2013 exports. The financial value of exports by top exporters increased by 24 per cent, from USD 3.9 billion to USD 4.8 billion, between 2012 and 2013, while the exports of major exporters decreased by 9 per cent, from USD 1.1 billion to USD 1 billion.

In terms of items traded, exports of sporting and hunting firearms saw the largest value increase from 2012 to 2013 (an increase of USD 208 million or 19 per cent), followed by small arms parts and components (an increase of USD 193 million or 30 per cent) and ammunition (an increase of USD 192 million or 10 per cent) (see Figure 1).

**Top and major importers in 2013**

In 2013, 57 countries qualified as top or major importers, with at least USD 10 million worth of imports annually (see Table 2). Compared to 2012, the number of countries increased by one.

The top importers, importing at least USD 100 million worth of small arms annually, were, in descending order, the United States, Canada, Germany, the United Arab...
Figure 1
Financial values of global small arms exports by category, 2012–13

Source: NISAT (n.d.)
TOP IMPORTERS

SMALL ARMS and LIGHT WEAPONS 2013

United States • Canada
Germany • United Arab Emirates • Saudi Arabia
Australia • France • Norway
Emirates, Saudi Arabia, Australia, France, and Norway. Altogether, the value of small arms imported by the top importers increased by 23 per cent compared to 2012, from USD 3.0 billion to USD 3.8 billion. This increase is largely due to imports by the United States, which rose to USD 2.5 billion from USD 1.9 billion.

Table 2
Importers of small arms based on UN Comtrade, 2013

<table>
<thead>
<tr>
<th>Category</th>
<th>Value (USD)</th>
<th>Importers (listed in descending order of value exported)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Top importers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tier 1</td>
<td>≥500 million</td>
<td>1 United States</td>
</tr>
<tr>
<td>Tier 2</td>
<td>100–499 million</td>
<td>7 Canada, Germany, United Arab Emirates, Saudi Arabia, Australia, Norway</td>
</tr>
<tr>
<td><strong>Major importers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tier 3</td>
<td>50–99 million</td>
<td>13 United Kingdom, Thailand, Russian Federation, Indonesia, Italy</td>
</tr>
<tr>
<td>Tier 4</td>
<td>10–49 million</td>
<td>36 Austria, Lebanon, Denmark, Colombia, Switzerland, South Africa</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Czech Republic, South Korea, Egypt, Poland, Slovakia, South Korea</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Finland, New Zealand, Japan, Singapore, Ukraine, Qatar</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Estonia, Kuwait, Kazakhstan, Chile, Qatar, Argentina</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Guatemala, Brazil, Paraguay, Peru, Argentina</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Dominican Republic</td>
</tr>
</tbody>
</table>

Source: NISAT (n.d.)
The new top importers are Norway (whose imports increased from USD 64 million to USD 105 million between 2012 and 2013), Saudi Arabia (USD 54 million to USD 161 million), and the United Arab Emirates (USD 71 million to 168 million).

In contrast, the value of imports to Indonesia, the United Kingdom, and Thailand decreased by approximately 25 per cent, such that these countries moved from the top to the major importer category. From 2012 to 2013, imports fell from USD 111 million to USD 81 million in Indonesia, from USD 121 million to USD 91 million in the UK, and from USD 116 million to USD 88 million in Thailand.

Among new major importers, with at least USD 10 million worth of small arms imports in 2013, Qatar stands out with a dramatic increase, from USD 2 million to USD 16 million between 2012 and 2013. This rise follows a regional pattern. In 2013 the small arms imports of top and major importers in Western Asia were worth 84 per cent more than in 2012: the value rose from USD 342 million to USD 630 million.4

Top and major importers accounted for 95 per cent of the global trade in 2013: 63 per cent and 32 per cent, respectively. In 2013, the imports of the United States alone represented 42 per cent of all small arms imports.
GLOBAL TRADE

TOP AND MAJOR IMPORTERS ACCOUNTED FOR 95 PER CENT OF THE GLOBAL TRADE IN 2013
SECTION 3

Transparency
The Small Arms Trade Transparency Barometer

This section presents the 2016 edition of the Small Arms Trade Transparency Barometer. The Barometer assesses the transparency of top and major exporters—states that are believed to have exported at least USD 10 million worth of small arms and light weapons, including their parts, accessories, and ammunition, for at least one calendar year since 2001.

The assessment is based on information gathered from the following sources:

- national arms export reports;\(^5\)
- the UN Register of Conventional Arms (UN Register);
- and UN Comtrade (NISAT, n.d.).

The Barometer measures the provision of arms export information, but it does not verify the accuracy of that information.
Introducing the revised Barometer

This edition institutes two changes in the Barometer. The first concerns the lag time for publishing the Barometer, while the second involves the inclusion of a new, subregional source of information, SEESAC’s Regional Report on Arms Exports for South-east Europe.

The Small Arms Survey published previous editions of the Barometer approximately 18 months following the end of the year under review—the year in which licences were issued or denied, and in which deliveries or actual transfers took place. In part to accommodate production requirements for the Barometer, which appeared in the Small Arms Survey from 2004 to 2014, covering trade activities undertaken from 2002 to 2012, the methodology was designed to give states 12 months to release arms export information, in particular their annual export reports. While most states issued their reports within this time frame, the time lag for multilateral reporting instruments, such as the UN Register and the EU Annual Report, tended to be longer, posing the risk that Barometer scores might reflect incomplete data (Holtom, Pavesi, and Rigual, 2014, p. 131; Pavesi and Rigual, 2013, p. 181).
MOST TRANSPARENT

TOP and MAJOR SMALL ARMS EXPORTERS

Germany
United Kingdom
Netherlands
The 2016 Barometer reviews information on trade activities that states carried out in 2013 and made public during the course of the following calendar year (2014). In contrast to its predecessors, it also takes account of any global or regional report covering 2013 trade activities that was released within Barometer publication deadlines. In this way, the new Barometer offers a more complete picture of small arms trade reporting practices, especially those documented in multilateral instruments.

The second change in the Barometer relates to the inclusion of the Regional Report on Arms Exports, which is coordinated, compiled, and disseminated by SEESAC. Available to the public free of charge, the report gathers information on deliveries as well as licences that have been authorized and denied, as provided by Albania, Bosnia and Herzegovina, Croatia, the Former Yugoslav Republic of Macedonia, Montenegro, and Serbia. Of these countries, only Croatia, as a current EU member, contributes to the EU Annual Report; the others are or have applied to become candidates for EU membership. The SEESAC report reflects the desire of countries in the subregion to strengthen transparency and also to demonstrate their willingness and capacity to comply with the arms transfer obligations of EU Council Common Position 2008/944/CFSP (SEESAC, n.d.).
The 2016 Transparency Barometer

The 2016 Barometer evaluates the reporting practices of 49 countries (see Table 3). It identifies Germany, the United Kingdom, and the Netherlands as the most transparent major small arms exporters. The least transparent are Iran, North Korea, Saudi Arabia, and the United Arab Emirates, each of which scored zero points. The Netherlands is among the top three due to improvements in reporting through its monthly arms export reports, which now include new information on re-exports. For the first time since 2007, Switzerland has relinquished the top spot and is now the fifth most transparent exporter. Its lower score in comparison with previous years reflects less complete reporting to UN Comtrade and a lack of information on licence denials.

Other changes in the Barometer include the entry of Belgium (7th), Portugal (8th), Poland (9th), and Sweden (10th) into the top ten; these countries have replaced Norway (which is now 13th), Italy (16th), and Croatia (18th).
The Small Arms Trade Transparency Barometer

LEAST TRANSPARENT

TOP and MAJOR SMALL ARMS EXPORTERS

- Iran
- North Korea
- Saudi Arabia
- United Arab Emirates
More than one-third of the countries under review improved their scores since the previous edition of the Barometer:

- South Africa saw the largest increase in its score—a jump of 7.75 points—due to its adoption of a new reporting template, which includes the seven UN Register categories and a clearer description of transferred items.

- Bosnia and Herzegovina’s score rose by 4.25 points based on its submission to the SEESAC Regional Report (SEESAC, 2015). This contribution includes new information on Bosnian export licences and actual exports. The country’s score remains low, however, since, in contrast to all of the top scorers, it does not issue a national report.

- Portugal and Poland increased their scores by 4.00 and 2.25 points, respectively, as a result of the provision of basic information on export licences refused and, in the case of Portugal, new information on transit and transhipment.

- Taiwan improved its score by 2.75 points due to new information on exports and re-exports, as provided by its customs administration.

- Japan gained 2.25 points by submitting data on transfers of small arms ammunition to UN Comtrade.

Overall transparency increased slightly, with an average score of 11.01 out of 25 possible points compared to 10.88 for the previous edition of the Barometer.
Countries whose scores dropped significantly in the 2016 Barometer include Croatia (whose score decreased by 4.25 points), Norway (2.00 points), and Denmark (2.00 points). As a new member of the European Union, Croatia contributed to the EU Annual Report on arms exports for the first time; however, it lost points because its national export report for 2013 provided less detailed information on the values and quantities of small arms authorized for export and actually exported than did its previous reports.

Overall transparency increased slightly, with an average score of 11.16 out of 25 possible points compared to 10.88 for the previous edition of the Barometer—a 2.6 per cent increase. Improvements in reporting were observed for 17 countries (35 per cent), while 20 (41 per cent) saw their scores decrease. In terms of specific practices, there were improvements in access to and consistency of reporting (+7 per cent), as well as in the clarity of information provided (+4 per cent), the comprehensiveness of data on small arms transfers, including re-exports and transit/transhipment (+11 per cent), and the provision of information on the denial of export licences (+16 per cent).
MOVING UP

MORE THAN ONE-THIRD OF COUNTRIES IMPROVED THEIR SCORES

Belgium • Portugal
Poland • Sweden
ENTERED THE TOP TEN
Nevertheless, export authorizations remain the most opaque dimension of small arms reporting; 49 per cent of exporters provided no information on licences granted, while 61 per cent did not report on those they refused. This poor performance reflects the fact that a limited number of countries—26 of 49—produced a national arms export report on their 2013 trade activities. In contrast to UN Comtrade and UN Register submissions, these reports provide information on licences granted and refused.
## Table 3
Small Arms Trade Transparency Barometer 2016, covering major exporters*

<table>
<thead>
<tr>
<th>Country</th>
<th>Total (25.00 max)</th>
<th>National report**/Regional report***</th>
<th>UN Comtrade**</th>
<th>UN Register**</th>
<th>Timeliness (1.50 max)</th>
<th>Access and consistency (2.00 max)</th>
<th>Clarity (5.00 max)</th>
<th>Comprehensiveness (6.50 max)</th>
<th>Deliveries (4.00 max)</th>
<th>Licences granted (4.00 max)</th>
<th>Licences refused (2.00 max)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Germany</td>
<td>19.75</td>
<td>X/EU</td>
<td>X</td>
<td>X</td>
<td>1.50</td>
<td>1.50</td>
<td>4.25</td>
<td>4.00</td>
<td>3.50</td>
<td>3.50</td>
<td>1.50</td>
</tr>
<tr>
<td>United Kingdom</td>
<td>19.75</td>
<td>X/EU</td>
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<td>X</td>
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<td>2.00</td>
<td>4.50</td>
<td>5.25</td>
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<td>1.50</td>
<td>1.50</td>
</tr>
<tr>
<td>Netherlands</td>
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<td>1.50</td>
<td>4.25</td>
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<td>2.50</td>
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<td>Serbia</td>
<td>18.75</td>
<td>X/SEE</td>
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<tr>
<td>Switzerland</td>
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<td>X</td>
<td>1.50</td>
<td>1.50</td>
<td>3.75</td>
<td>4.75</td>
<td>2.50</td>
<td>4.00</td>
<td>0.75</td>
</tr>
<tr>
<td>Romania</td>
<td>16.75</td>
<td>X/EU</td>
<td>-</td>
<td>X</td>
<td>1.50</td>
<td>2.00</td>
<td>3.00</td>
<td>3.50</td>
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<tr>
<td>Belgium¹</td>
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<td>2.00</td>
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<td>1.50</td>
<td>3.50</td>
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<tr>
<td>Poland</td>
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<td>1.50</td>
<td>3.75</td>
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<td>0.75</td>
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<td>1.50</td>
<td>3.75</td>
<td>4.25</td>
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<td>1.50</td>
<td>0.25</td>
</tr>
<tr>
<td>France</td>
<td>15.75</td>
<td>X/EU</td>
<td>X</td>
<td>-</td>
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<td>1.50</td>
<td>3.75</td>
<td>4.25</td>
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<td>1.50</td>
<td>0.25</td>
</tr>
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<td>Slovakia</td>
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<td>X</td>
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<td>1.50</td>
<td>2.50</td>
<td>3.75</td>
<td>3.00</td>
<td>1.50</td>
<td>2.00</td>
</tr>
<tr>
<td>Norway</td>
<td>15.25</td>
<td>X</td>
<td>X</td>
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The Small Arms Trade Transparency Barometer

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### Scoring system
The scoring system for the 2016 Barometer is based on seven parameters: timeliness; access and consistency in reporting; clarity; comprehensiveness; and the level of detail provided on actual deliveries; licences granted; and licences refused. For more detailed information on the scoring guidelines, see Small Arms Survey (2016a).

### Explanatory notes
- The 2016 Barometer is based on national and regional arms export reports that were made publicly available between 1 January 2013 and 31 January 2015. It also reflects information submitted by states to regional reporting mechanisms that were published after 31 January 2015, although the submission of this data does not receive points for timeliness.
- The 2016 Barometer takes account of national submissions to the UN Register from 1 January 2013 to 31 January 2015, as well as information states submitted to UN Comtrade on their 2013 exports up to and including 24 November 2014.
- The fact that the Barometer is based on multiple reporting mechanisms—international, regional, and national—works to the advantage of states that publish data at all levels. Barometer scores reflect the information provided to each of the reporting mechanisms. The same information is not credited twice, however.

### Country-specific notes
1. In addition to the national report issued by the Belgian federal government, each Belgian region (Brussels, Flanders, and Wallonia) reports separately on its arms exports.

2. For the purposes of the Barometer, the US national report refers to the State Department report, issued pursuant to Section 655 of the Foreign Assistance Act on direct commercial sales, as well as the report on foreign military sales, which is prepared by the US Department of Defense.

3. In the evaluation of South Africa’s national report, the term ‘conveyance’ was interpreted to mean ‘transit’.

4. Data on Taiwan is provided by the Directorate-General of the Customs Administration of Taiwan’s Ministry of Finance (Taiwan, n.d.).

Source: Small Arms Survey (2016b)

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**Note:** The online version of the Transparency Barometer incorporates corrections that may affect states’ scores and rankings. For this reason, the online version—rather than the printed one—should be considered definitive. See Small Arms Survey (n.d.).

* 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, and ammunition in a given year. The 2016 Barometer includes any country that qualified as a major exporter at least once during the 2001–13 calendar years.

** X indicates that a report was issued or submitted by the cut-off date; X(year) indicates that, as a report was not issued or submitted by the cut off-date, the country was evaluated on the basis of its most recent submission, covering activities for the year reported in brackets.

*** The Barometer assesses information provided in the following regional reporting instruments: 1) the EU’s Sixteenth Annual Report (CoEU, 2015), which reflects military exports carried out by EU member states in 2013 and appears as ‘EU’ in the Barometer; and 2) the SEESAC Regional Report (SEESAC, 2015), which compiles data on the 2013 trade of South-eastern and Eastern European exporters and appears as ‘SEE’ in the Barometer.
SECTION 4

Appendices
### List of Abbreviations

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<td>NISAT</td>
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<td>SEESAC</td>
<td>South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons</td>
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<td>UN Comtrade</td>
<td>United Nations Commodity Trade Statistics Database</td>
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<td>UN Register</td>
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Bibliography


INTERACTIVE MAP

ACCESS THE SMALL ARMS TRADE TRANSPARENCY BAROMETER 2016 ONLINE

www.smallarmssurvey.org/transparency-barometer.html
Endnotes

1. The term ‘small arms’ is used to refer to small arms, light weapons, and their ammunition (as in ‘the small arms trade’) unless the context indicates otherwise, whereas the terms ‘light weapons’ and ‘ammunition’ refer specifically to those items.

2. The UN Comtrade commodity categories used in the analysis of the small arms trade are the following: 930100, 930120, 930190, 930200, 930320, 930330, 930510, 930520, 930521, 930529, 930621, and 930630. This list includes categories that were replaced by newer ones in the latest Harmonized Classification System, but that are still being used by some states in their reports to customs.

3. NISAT considers countries’ self-reported exports as well as mirror data—imports reported by destination countries—to generate a single value by transaction; see Marsh (2005).

4. The top and major importers of small arms in this region are Iraq, Israel, Jordan, Kuwait, Lebanon, Oman, Qatar, Saudi Arabia, Turkey, and the United Arab Emirates. The financial value of imports for all these countries—except for Iraq and Oman—increased between 2012 and 2013.

5. These sources feature information that EU member states provided for inclusion in the EU Annual Report on military exports (CoEU, 2015) as well as contributions to the SEESAC Regional Report (SEESAC, 2015).
6. The new cut-off date for annual national reports is 13 months following the year of trade activities under review (that is, 31 January). An exception is made for regional reporting mechanisms. For more information, see Small Arms Survey (2016a).

7. Unlike previous editions, the 2016 Barometer uses only UN Comtrade data for pure small arms categories to determine if a country reached the USD 10 million threshold in any year since 2001. The exclusion of mixed—small arms/non-small arms—Comtrade categories from the assessment has caused the number of countries under review to drop from 55 (as in the 2013 and 2014 Barometers) to 49. The countries excluded were Colombia, Egypt, Greece, Lithuania, Luxembourg, Malawi, and Montenegro.
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