

Guidelines for Scoring the Barometer for YB11

The Barometer for YB10 takes into account information submitted between 1 January 2009 and 31 December 2010.

Information from three sources are evaluated:

- **National arms export reports**
- **UN Register of Conventional Arms (as applicable to small arms and light weapons)**
- **UN Commodity Trade Statistics Database (UN Comtrade)**

The Barometer for YB11 is principally designed to assess countries' transparency in their SALW/ammunition export activity for 2009 based on their reporting in 2010.

Data issued, for the first time, in 2009 (and perhaps scored in YB10) will, however, still be evaluated and scored in YB11. In this case, the issuing country will lose 1.0 point under "Timeliness" and 1.5 or 2.0 points under "Access & Consistency". Scoring in the other 5 categories would not be reduced. This translates as a 10-12% deduction in points awarded.

Data issued, for the first time, in 2010, but covering activities prior to 2009, will also be evaluated and scored, but in this case the issuing country will lose 0.5 points under "Timeliness" and 1.0 point under "Access and Consistency".

If a country issues data, for the first time, in both 2010 and 2009, then only the 2010 data is evaluated/scored. Data issued before 1 January 2009 will not be evaluated or scored.

Note that data that is re-issued in 2010 or 2009 is not scored. Data is scored only if issued, "for the first time", in 2010 or 2009.

Notes on Scoring

1) National reporting includes both annual and interim reporting by the state, as well as additional information publicly accessible on a government's website, but not included in the national report, provided the national report indicates that additional information is or will be made available on the government's website.

2) National reporting includes the information provided by states to the European Union and appearing in the EU's *Annual report according to operative provision 8 of the European Union Code of Conduct on Arms Exports* ("EU Consolidated Report"). When and if other regional organizations make information on the international arms transfers of their members publicly available, it would also be evaluated and scored for the Barometer.

- 3) Reporting by the three Belgian regions (Brussels, Flanders, Wallonia) is taken into account in determining the national score for Belgium.
- 4) The Barometer also evaluates the transparency of Taiwan. Although not a UN Member, it can issue a national report on its international small arms transfers.
- 5) Reports by individual government departments or agencies in the United States area assessed together to provide a composite picture of US government transparency.
- 6) Since governments can update information they have previously submitted to Comtrade, their scores may improve in an evaluation of past reporting (for example, in the context of Barometer backdating).
- 7) Submissions to the UN Register are evaluated and scored from 2003 onwards (expansion of reporting in that year to include MANPADS and mortars equal to or greater than 75mm, as well as voluntary reporting on all military SALW (“background information”).
- 8) New states or non-UN states will not be able to earn all 25 points (see “Timeliness”, also “Access and Consistency”). In such cases, a note should be used to indicate that the country is being evaluated on a 24, 24.5, ... point scale. No new state will be given a score of zero on the Barometer until sufficient time has elapsed so as to allow them to provide information within Barometer timelines.
- 9) A country that exceeds the USD 10 million threshold in any year from 2001 onwards will be included in the Barometer retrospective (backdating).
- 10) Where governments indicate that they do not export or have not exported a particular type or types of small arms or light weapons during the applicable reporting period (“nil reporting”), this can be considered complete information for purposes of attributing points under relevant categories of the Barometer.

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

- 1.1) Did the country submit data, for the first time, in 2009 or 2010?
 - If yes, then award 0.5
 - If no, then award 0.0
- 1.2) Did the country submit data, for the first time, in 2010?
 - If yes, then award 0.5
 - If no, then award 0.0
- 1.3) Did the country submit data, for the first time, in 2010 that concerned activities in 2009 or 2010?
 - If yes, then award 0.5
 - If no, then award 0.0

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2. Access and Consistency (2.0 Points)

- 2.1) Did the country place its national report on the web for free?
- If yes, then award 0.5
 - If no, then award 0.0
- 2.2) Did the country provide interim information (e.g. biannual or quarterly reports, in addition to a consolidated annual report)?
- If yes, then award 0.5
 - If no, then award 0.0
- 2.3) Did the country use the same tool to report on activities in 2007, 2008, and 2009?
- If yes, then award 0.5
 - If no, then award 0.0 [no partial points]
- 2.4) Did the country use a single additional tool to report on activities in 2007, 2008, and 2009?
- If yes, then award 0.5
 - If no, then award 0.0 [no partial points]

3. Clarity (5.0 Points)

- 3.1) Did the country distinguish between government- and private industry-supplied transactions? Note that a “nil report” (no private sales exist/are permitted) would receive 1 point.
- If comprehensively/consistently, then award 1.0
 - If partially/occasionally, then award 0.5
 - If never, then award 0.0
- 3.2) Did the country distinguish small arms and light weapons from conventional arms?
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 3.3) Did the country distinguish SALW ammunition from conventional arms ammunition?
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 3.4) Did the country provide information on temporary exports? (Examples would include transfers to trade shows that must be returned, transfers to troops in peace operations, or materiel sent to be repaired and returned.) Note that a “nil report” (no temporary exports) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0

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- 3.5) Did the country provide information on its small arms laws, regulations, and administrative procedures, as well as its multilateral commitments? (1.0 point maximum)
- Did the country provide a reference to a webpage offering free, full-text access to its transfer controls legislation (covering SALW export, transit, and/or import) AND explain how such legislation is implemented? If yes, then award 0.25 point.
 - Did the country provide a reference to a webpage offering free, full-text access to its brokering control legislation AND explain how such legislation is implemented? If yes, then award 0.25 point. ALTERNATIVELY, did the country explain how its transfer control legislation covers brokering activities (with free, full-text, online access to such legislation)? If yes, then award 0.25 point.
 - Did the country provide a reference to a webpage offering free, full-text access to information on the measures it uses to prevent and detect the diversion of international SALW transfers OR provide such information in its national export report? If yes, then award 0.25 point. (Relevant information includes practices relating to end-user documentation and verification, delivery verification, and/or end-use monitoring. Note that such procedures often are not based in legislation.)
 - Did the country provide information on its sub-regional, regional, and international commitments relating to the control of international SALW transfers, including brokering? If yes, then award 0.25 point.
- 3.6) Did the country provide information on aggregated totals of deliveries?
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If no, then award 0.0
- 3.7) Did the country provide information on aggregated totals of licenses granted/refused?
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If no, then award 0.0
- 3.8) Did the country provide information on authorized (small) arms brokers? Note that a “nil report” (no authorized brokers) would receive 0.5 point.
- If yes, then award 0.5
 - If no, then award 0.0

4. Comprehensiveness (6.5 Points)

- 4.1) Did the country provide information on its exports of guided light weapons (i.e. MANPADS and anti-tank guided weapons [ATGWs])? Note that a “nil report” (no guided LW exports) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0

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- 4.2) Did the country provide information on its exports of unguided light weapons apart from heavy machine guns and anti-materiel rifles (i.e. rocket launchers [e.g. “RPGs”, anti-tank weapons], grenade launchers, mortars, and recoilless rifles/guns)? Note that a “nil report” (no unguided LW exports) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 4.3) Did the country provide information on exports of sporting/hunting guns/rifles? Note that a “nil report” (no sporting/hunting gun/rifle exports) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 4.4) Did the country provide information on exports of pistols and revolvers? Note that a “nil report” (no pistol/revolver exports) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 4.5) Did the country provide information on exports of military firearms (automatic rifles, light/medium/heavy machine guns, sub-machine guns, anti-material rifles, and military shotguns) apart from pistols and revolvers? Note that a “nil report” (no military firearm exports) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 4.6) Did the country provide information on exports of ammunition 12.7 mm calibre and below, as well as shotgun shells? Note that a “nil report” (no small arms ammunition exports) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 4.7) Did the country provide information on exports of ammunition larger than 12.7 mm calibre that is used in light weapons? (Single-use light weapons systems that contain both the launcher and the projectile are treated as light weapons in 4.1 or 4.2 above, and are not considered as “ammunition” here.) Note that a “nil report” (no ammunition exports) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0

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- 4.8) Did the country provide information on exports of small arms and light weapons parts and accessories? Note that a “nil report” (no exports of parts and accessories) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 4.9) Did the country provide information on “intangible transfers” concerning small arms, light weapons, their ammunition, and/or their parts and accessories? Intangible transfers include (but are not limited to) the provision of technical plants, blueprints, know-how, schematics, and software. Note that a “nil report” (no intangible transfers) would receive 0.5 point.
- If yes, then award 0.5
 - If no, then award 0.0
- 4.10) Did the country provide information on permanent re-exports of small arms, light weapons, and/or their ammunition (i.e. not including temporary exports covered in 3.4)? Note that a “nil report” (no re-exports) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 4.11) Did the country consistently identify the origin and destination of re-exports of small arms, light weapons, and/or their ammunition? Note that a “nil report” (no re-exports) would receive 0.5 point.
- If origin and destination, then award 0.5
 - If either origin or destination, then award 0.25
 - If neither, then award 0.0
- 4.12) Did the country provide information on transit/transshipment of small arms and light weapons, and/or their ammunition? Note that a “nil report” (no transit/transshipment) would receive 0.5 point.
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 4.13) Did the country consistently identify the origin and destination of the transit/transshipment of small arms, light weapons, and their ammunition? Note that a “nil report” (no transit/transshipment) would receive 0.5 point.
- If origin and destination, then award 0.5
 - If either origin or destination, then award 0.25
 - If neither, then award 0.0

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5. Deliveries (4.0 Points)

- 5.1) Did the country provide information on delivery recipients?
- If comprehensively/consistently, then award 1.0
 - If partially/occasionally, then award 0.50
 - If never, then award 0.0
- 5.2) Did the country provide information on the country of import AND specific end-user (e.g. riot control police, air force, museum, private dealer)?
- If comprehensively/consistently, then award 1.0
 - If partially/occasionally, then award 0.50
 - If never, then award 0.0
- 5.3) Did the country provide information on the country of import AND the types and quantities of weapons and/or ammunition delivered?
- If comprehensive/consistently, then award 1.0
 - If partially/occasionally, then award 0.50
 - If never, then award 0.0
- 5.4) Did the country provide information on the country of import AND the types and value of weapons and/or ammunition delivered?
- If comprehensive/consistently, then award 1.0
 - If partially/occasionally, then award 0.50
 - If never, then award 0.0

6. Licenses Granted (4.0 Points)

- 6.1) Did the country provide information on licence recipients?
- If comprehensively/consistently, then award 1.0
 - If partially/occasionally, then award 0.50
 - If never, then award 0.0
- 6.2) Did the country provide information on the intended country of import AND intended end-user (e.g. riot control police, air force, navy, museum)?
- If comprehensively/consistently, then award 1.0
 - If partially/occasionally, then award 0.50
 - If never, then award 0.0
- 6.3) Did the country provide information on the intended country of import and types and quantities of weapons and/or ammunition for export?
- If comprehensively/consistently, then award 1.0
 - If partially/occasionally, then award 0.50
 - If never, then award 0.0

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- 6.4) Did the country provide information on the intended country of import and types and value of weapons and/or ammunition for export?
- If comprehensively/consistently, then award 1.0
 - If partially/occasionally, then award 0.50
 - If never, then award 0.0

7. Licenses Refused (2.0 Points) [only National Reports] Note that a “nil report” (no licenses rejected) would receive 2 points.

- 7.1) Did the country identify the applicants/countries of prospective import that were refused licenses?
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 7.2) Did the country provide a reason/explanation for its refusal to grant a license to the applicant/country of prospective import?
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 7.3) Did the country provide information on the types and quantities of weapons/ammunition that were the subject of a license refusal?
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0
- 7.4) Did the country provide information on the types and value of weapons/ammunition that were the subject of a license refusal?
- If comprehensively/consistently, then award 0.5
 - If partially/occasionally, then award 0.25
 - If never, then award 0.0

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