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Guidelines for Scoring the 2016 Small Arms Trade Transparency Barometer

The 2016 Small Arms Trade Transparency Barometer principally assesses states' transparency on their international small arms trade activities occurring in 2013 and reported between 1 January 2014 and 31 January 2015.

Data availability and Barometer scoring:

Year of trade data publication	Year of trade activity	Barometer Scoring	Points awarded
2012	N/A	No	No points awarded
2013	2013	Yes	Timeliness: 0.5 point under 1.1; 0 points under 1.2 and 1.3
2013 & 2014	2013	Yes (2014)	Timeliness: 1.5 points
2014	Prior to 2013	Yes	Timeliness: 1.0 point under 1.1 and 1.2; 0 points under 1.3
1 Jan. 2014 - 31 Jan. 2015	2013	Yes	Timeliness: 1.5 points

The assessment is based on information from three sources:

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

Source	Start date	End date	Notes
National reports	1 Jan 2013	31 Jan 2015	The exception for regional reports applies to states contributing to the same regional mechanism (see below). The criteria for scoring, cited above, apply.
Regional reports	1 Jan 2014	-	The 2016 Barometer takes account of any regional report covering 2013 trade activities provided it is possible to do so within publication timelines.
UN Register	1 Jan 2014	31 Jan 2015	The date of national submission applies, rather than the date of publication of the report by the UN.
UN Comtrade	1 Jan 2013	24 Nov 2014	The cut-off date is normally 30 November, but can change as a result of technical constraints related to the extraction of the data.

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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 Article 8(2) of Council Common Position 2008/944/CFSP defining common rules governing control of exports of military technology and equipment' ('EU annual reports on arms exports'). It also includes information reported to the SEESAC Regional 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 issues information on its international small arms transfers. Since 2015 information on Taiwan's small arms trade is provided by the Directorate General of the Customs Administration of Taiwan's Ministry of Finance. As necessary, the Survey can also estimate Taiwan's small arms exports using UN Comtrade 'mirror data'—reported imports by destination countries—compiled by the Norwegian Initiative on Small Arms Transfers (NISAT) project at the Peace Research Institute Oslo.

5) Reports by individual government departments or agencies in the United States are 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 have been 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, etc. 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.

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9) A country that equals or 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 is considered complete information for purposes of attributing points under relevant categories of the Barometer.

Small Arms Trade Transparency Scoring Guidelines

1. Timeliness (max. 1.5 Points)

1.1) Did the country submit data, for the first time, in 2013 or 2014?	YES 0.5 point - NO 0.0 point
1.2) Did the country submit data, for the first time, in 2014?	YES 0.5 point - NO 0.0 point
1.3) Did the country submit data, for the first time, in 2014 that concerned activities in 2013 or 2014?	YES 0.5 point - NO 0.0 point

2. Access and Consistency (max. .0 Points)

2.1) Did the country place its national report on the web for free?	YES 0.5 point - NO 0.0 point
2.2) Did the country provide interim information (e.g. biannual or quarterly reports, in addition to a consolidated annual report)?	YES 0.5 point - NO 0.0 point
2.3) Did the country use the same tool to report on activities in 2011, 2012, and 2013?	YES 0.5 point - NO 0.0 point
2.4) Did the country use a single additional tool to report on activities in 2011, 2012, and 2013?	YES 0.5 point - NO 0.0 point

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.	YES, comprehensively/consistently 1.0 point YES, partially/occasionally 0.5 point NO 0.0
3.2) Did the country distinguish small arms and light weapons from conventional arms?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25

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	NO 0.0
3.3) Did the country distinguish SALW ammunition from conventional arms ammunition?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 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.	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0
3.5) Did the country provide information on its small arms laws, regulations, and administrative procedures, as well as its multilateral commitments?	See 3.5.1, 3.5.2, 3.5.3, and 3.5.4
3.5.1) 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?	YES 0.25 point - NO 0.0 point
3.5.2) 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)?	YES 0.25 point - NO 0.0 point
3.5.3) 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?	YES 0.25 point - NO 0.0 point
3.5.4) Did the country provide information on its sub-regional, regional, and international commitments relating to the control of international SALW transfers, including brokering?	YES 0.25 point - NO 0.0 point
3.6) Did the country provide information on aggregated totals of deliveries?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0

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3.7) Did the country provide information on aggregated totals of licenses granted/refused?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 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.	YES 0.5 point - NO 0.0

4. Comprehensiveness (6.5 Points) – Note that a "nil report" for the specific category would grant full point.

4.1) Did the country provide information on its exports of guided light weapons (i.e. MANPADS and anti-tank guided weapons [ATGWs])?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0
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)?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0
4.3) Did the country provide information on exports of sporting/hunting guns/rifles?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0
4.4) Did the country provide information on exports of pistols and revolvers?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 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?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0
4.6) Did the country provide information on exports of ammunition 12.7 mm calibre and below, as well as shotgun shells?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0
4.7) Did the country provide information on exports of ammunition larger than 12.7 mm	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25

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.)	NO 0.0
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	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 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	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 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)?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 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?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0
4.12) Did the country provide information on transit/transhipment of small arms and light weapons, and/or their ammunition?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0
4.13) Did the country consistently identify the origin and destination of the transit/transhipment of small arms, light weapons, and their ammunition?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0

5. Deliveries (4.0 Points)

5.1) Did the country provide information on delivery recipients?	YES, comprehensively/consistently 1 point YES, partially/occasionally 0.5

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	NO 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)?	YES, comprehensively/consistently 1 point YES, partially/occasionally 0.5 NO 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?	YES, comprehensively/consistently 1 point YES, partially/occasionally 0.5 NO 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?	YES, comprehensively/consistently 1 point YES, partially/occasionally 0.5 NO 0.0

6. Licenses Granted (4.0 Points)

6.1) Did the country provide information on licence recipients?	YES, comprehensively/consistently 1 point YES, partially/occasionally 0.5 NO 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)?	YES, comprehensively/consistently 1 point YES, partially/occasionally 0.5 NO 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?	YES, comprehensively/consistently 1 point YES, partially/occasionally 0.5 NO 0.0
6.4) Did the country provide information on the intended country of import and types and value of weapons and/or ammunition for export?	YES, comprehensively/consistently 1 point YES, partially/occasionally 0.5 NO 0.0

7. Licenses Refused (2.0 Points) 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?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0
7.2) Did the country provide a reason/explanation for its refusal to grant a license to the applicant/country of	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25

prospective import?	NO 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?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 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?	YES, comprehensively/consistently 0.5 point YES, partially/occasionally 0.25 NO 0.0