



Table 1.27 Small Arms Trade Transparency Barometer 2009, covering major exporters\*

	Total (25 max.)	Export report (year covered)**/ EU Report***	UN Comtrade**	UN Register**	Timeliness (1.5 max.)	Access and consistency (2 max.)	Clarity (5 max.)	Comprehen- siveness (6-5 max.)	Deliveries (4 max.)	Licences granted (4 max.)	Licences refused (2 max.)
Switzerland	21.00	X (07)	X	X	1.50	1.50	4.50	5.25	3.00	3.50	1.75
United Kingdom	18.50	X (07)/EU Report	X	X	1.50	2.00	4.00	4.75	3.00	2.50	0.75
Germany <sup>1</sup>	18.00	X (06)/EU Report	X	X	1.50	1.50	3.50	4.00	3.00	3.50	1.00
Norway	16.75	X (07)	X	X	1.50	1.50	4.25	3.25	3.00	2.50	0.75
Netherlands	16.50	X (07)/EU Report	X	X	1.50	2.00	3.00	3.75	3.00	2.00	1.25
Serbia <sup>2</sup>	16.50	X (05-06)	X	X	1.50	0.50	3.25	3.75	3.50	2.50	1.50
United States <sup>3</sup>	16.50	X (07)	X	X	1.50	1.50	3.00	4.50	3.00	3.00	0.00
Denmark	15.75	X (06)/EU Report	X	X	1.50	1.50	3.75	4.00	2.00	2.00	1.00
Romania	15.75	X (07)/EU Report	X	X	1.50	0.50	2.50	4.25	3.00	3.00	1.00
Slovakia	15.50	X (07)/EU Report	X	X	1.50	1.50	3.00	3.00	3.00	2.00	1.50
Sweden	15.50	X (07)/EU Report	X	X	1.50	1.50	3.50	3.75	3.00	2.00	0.25
Italy	15.00	X (07)/EU Report	X	X	1.50	1.50	3.50	3.75	3.00	1.50	0.25
France <sup>4</sup>	14.75	X (07)/EU Report	X	X	1.50	1.50	3.75	3.25	3.00	1.50	0.25
Finland	14.50	X (06)/EU Report	X	X	1.50	1.50	2.75	3.50	3.00	2.00	0.25
Spain <sup>5</sup>	14.25	X (07)/EU Report	X	X	1.50	1.50	2.25	3.25	3.50	2.00	0.25
Belgium	13.25	X (07)/EU Report	X	X	1.50	2.00	2.50	2.50	3.00	1.50	0.25
Bosnia & Herzegovina <sup>6</sup>	13.00	X (06)	X	X	1.50	1.00	2.50	2.50	3.00	1.50	1.00
Poland <sup>7</sup>	13.00	EU Report	X	X	1.50	1.00	2.00	3.75	3.00	1.50	0.25
Czech Republic	12.75	X (07)/EU Report	X	X	1.50	1.00	2.25	3.25	3.00	1.50	0.25
Portugal <sup>8</sup>	12.75	X (06)/EU Report	X	X	1.50	1.50	2.75	2.25	3.00	1.50	0.25



\* Major exporters are those countries that export—or are believed to export—at least USD 10 million worth of small arms, light weapons, their ammunition, and associated components annually. The 2009 Barometer includes all countries that were among the major exporters at least once in their reporting covering the years 2001-07. For major exporters in 2005, see Annexe 4.1 of Small Arms Survey (2008), <[http://www.smallarmssurvey.org/files/sas/publications/year\\_b\\_pdf/2008/CH4%20Transfer%20diversion%20annexes.pdf](http://www.smallarmssurvey.org/files/sas/publications/year_b_pdf/2008/CH4%20Transfer%20diversion%20annexes.pdf)>; for those in 2004, see Annexe 3.1 of Small Arms Survey (2007), <[http://www.smallarmssurvey.org/files/sas/publications/year\\_b\\_pdf/2007/CH3-Transfers\\_Annexe\\_3.pdf](http://www.smallarmssurvey.org/files/sas/publications/year_b_pdf/2007/CH3-Transfers_Annexe_3.pdf)>; for those in 2003, see Small Arms Survey (2006, pp. 68-74); for those in 2002, see Small Arms Survey (2005, pp. 102-5); and for those in 2001, see Small Arms Survey (2004, pp. 103-6).

\*\* X indicates that a report was issued.

\*\*\* The Barometer analysed the tenth annual EU Report (CoEU, 2008), reporting on EU member states' activities in 2007.

## Scoring system

The scoring system for the 2009 Barometer has changed from 2008. The new system provides more comprehensive, nuanced, and consistent thresholds for the various categories. The Barometer's seven categories assess timeliness, access, and consistency in reporting (categories i-ii, discussed below); its clarity and comprehensiveness (iii-iv); and the level of detail provided on actual deliveries, licences granted, and licences refused (v-vii).

**(i) Timeliness (1.5 points max.):** The first category awards points for the timeliness (promptness) of reports and of the data they contain.

**(ii) Access and consistency (2.0 points max.):** This second category reviews the accessibility of the information that states provide, its frequency, and the use of multiple reporting instruments.

**(iii) Clarity (5 points max.):** The main purpose of this third category is to analyse the extent to which information on small arms and light weapons transfers, including their ammunition, can be distinguished from conventional arms transfers. It also evaluates the information that countries provide on relevant legislation, including its implementation; measures to prevent diversion; and international, regional, and sub-regional commitments relating to the control of small arms transfers. Finally, it grants points for data on aggregated totals of deliveries and licences granted/refused, as well as information on brokers.

**(iv) Comprehensiveness (6.5 points max.):** The fourth category examines the level of detail provided on weapons types (e.g. (un-)guided light weapons, sporting and hunting guns, pistols and revolvers, military firearms, small arms ammunition, and ammunition larger than 12.7 mm). It also evaluates reporting of different types of transfers (e.g. permanent re-exports and transit/trans-shipment activities).

**(v) Deliveries (4 points max.):** The fifth category awards points for information shared on actual deliveries; end users; and the types, values, and quantities of delivered weapons.

**(vi) Licences granted (4 points max.):** The sixth category awards points for information shared on licence recipients; end users; and the types, values, and quantities of approved transactions.

**(vii) Licences refused (2 points max.):** The seventh category considers whether or not the country identified countries that were refused licences; gave an explanation of such refusals; and provided information on the types, value, and quantity of weapons for which licences were refused.

For more detailed information on the scoring guidelines, visit the Small Arms Survey Web page:

<<http://www.smallarmssurvey.org/files/portal/issueareas/transfers/baro.html>>.

## Explanatory notes

Note A: The Barometer is based on each country's most recent arms exports report made publicly available from 1 January 2007 to 31 December 2008.

Note B: The Barometer takes into account country reporting to the UN Register from 1 January 2007 to 20 January 2009. Reporting to UN Comtrade for 2007 is considered up to 23 January 2009.

Note C: The fact that the Barometer is based on three sources—national arms export reports, customs data made available to the UN, and reporting to the UN Register—works to the advantage of states that publish data in all three outlets. Points awarded from each of the three sources are added up. There is, however, no double counting. If countries provide the same information to two or more different sources, they are awarded the same number of points that they would have received had they provided the information to a single source.

Note D: Where governments indicate that they do not export, or have not exported, a particular type or particular types of small arms or light weapons during the applicable reporting period ('nil reporting'), this can be considered complete information for the purpose of attributing points under relevant categories of the Barometer.

## Country-specific notes

<sup>1</sup> Germany published a national arms export report in 2007 that was limited to data from 2006. It did issue a national report for its arms exports activities in 2007. This report was published in January 2009 (after the cut-off date of 31 December 2008) and could therefore not be evaluated for the 2009 scoring. Germany is therefore evaluated with data from 2006 for its national report and 2007 data for the EU Report. Germany's reporting to the UN Register does not contain actual deliveries, but licences issued. This information was scored accordingly.

<sup>2</sup> Serbia published a national arms export report in 2007 that was limited to data from 2005-06. The country, separated from Montenegro as of 3 June 2006, is evaluated on a 24.5 points scale because it cannot get all the points rewarded under 'Access and consistency'.

<sup>3</sup> The US report is divided into several documents. For the purposes of the Barometer, the US annual report refers to the State Department report pursuant to section 655 on direct commercial sales and the report on foreign military sales, which is prepared by the US Department of Defense (US, 2008a).

<sup>4</sup> France's 2007 report has changed in format, resulting in it being much less detailed than the previous national report. France therefore loses several points.

<sup>5</sup> Spain makes public its report on small arms and light weapons exports to the Organization for Security and Co-operation in Europe (OSCE) as an annex to its arms export report. The report contains information on licences granted and actual deliveries. It covers only OSCE states and a very limited number of transactions. Spain is therefore granted only half of the points for providing information on the intended country of import and types and quantities of weapons or ammunition exported.

<sup>6</sup> Bosnia and Herzegovina published a national arms export report in 2007 that was limited to data from 2006.

<sup>7</sup> Poland is one of the three EU member states under review that do not produce a national report, but the country reports to the EU Report.

<sup>8</sup> Portugal published a national arms export report in 2008 that included data from 2006. The country's data in its national report (2006) does not correspond with the data evaluated in the EU Report (2007).

<sup>9</sup> Austria's national report does not contain information on its small arms exports, but the country appends to the report its reporting to the EU Report.

<sup>10</sup> Canada published a national arms export report in 2007 that was limited to data from 2003-05. Canada has not been granted a point under 'Deliveries', although the Canadian annual report states that the majority of exports are for private end use. For a point to be awarded under this category, more detailed information needs to be provided.

<sup>11</sup> Cyprus is one of the three EU member states under review that do not produce a national report, but the country does report to the EU Report.

<sup>12</sup> Hungary is one of the three EU member states under review that do not produce a national report, but the country does report to the EU Report.

<sup>13</sup> Taiwan's score has been evaluated on the basis of data it submits to UN Comtrade, as published by the International Trade Centre (ITC) in its Trade Map database (ITC, 2008).

<sup>14</sup> South Africa published a national arms export report in 2007 that was limited to data from 2003-04. The country does not define the abbreviations of military categories 'A', 'B', 'C', and 'D' used in its national report. Efforts to obtain a definition from South African authorities were not successful before the printing of the *Small Arms Survey 2009*.

## Sources

Austria (2007); Belgium (2008a; 2008b; 2008c; 2008d); Bosnia and Herzegovina (2007); Bulgaria (2008); Canada (2007); CoEU (2008); Czech Republic (2008); Denmark (2007); Finland (2007); France (2008); Germany (2007); Italy (2008); ITC (2008); Netherlands (2008); Norway (2008); Portugal (2007); Romania (2008); Serbia (2007); Slovakia (2008); South Africa (2007); Spain (2008); Sweden (2008); Switzerland (2008); Ukraine (2008); UN Comtrade (n.d.); UK (2008); US (2008a; 2008b)

## CONCLUSION

As has been demonstrated throughout this chapter, the global trade in small arms and light weapons—and our understanding of this trade—has increased significantly in recent years. After adjusting for inflation, small arms and light weapons transfers reported to UN Comtrade increased by 28 per cent from 2000 to 2006, totalling just under USD 3 billion in 2006. The value of firearms exports alone, as reported to UN Comtrade, was nearly USD 1.44 billion. Our 53-country assessment of other data sources suggests that this data under-represents the actual trade in firearms by at least USD 140 million, which increases the estimated total for the documented trade in firearms to USD 1.58 billion. While the USD 140 million difference between the UN Comtrade total and the Small Arms Survey's revised estimate is relatively minor in dollar value terms, it represents tens of thousands of weapons, including sniper rifles, machine guns, and assault rifles—the weapons of choice for many violent extremist groups and criminals. Our assessment also revealed several persistent data gaps that, if filled, would probably add at least USD 100 million—representing the transfer of thousands of weapons—to the current estimate of approximately USD 1.58 billion.

These data gaps, and the inherent differences among the markets for small arms, light weapons, parts, accessories, and ammunition, preclude a definitive assessment of the broader trade. Nonetheless, some tentative conclusions about the value of small arms and light weapons trade can be drawn from our findings. Assuming that light weapons<sup>49</sup> are under-reported to UN Comtrade to the same extent as military firearms, and given the high unit cost of the guided missiles fired by some light weapons,<sup>50</sup> the total figure for small arms and light weapons transfers would probably increase by hundreds of millions or billions of dollars if these transfers were included.<sup>51</sup> A clearer picture of the entire trade in small arms and light weapons will emerge over the next few years as the Small Arms Survey systematically assesses the trade in ammunition, parts and accessories, and light weapons.