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# The Programme of Action Implementation Monitor (Phase 1) Assessing Reported Progress

*by Sarah Parker with Katherine Green*



An Occasional Paper of the Small Arms Survey

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# Abbreviations and acronyms

ATF	United States Bureau of Alcohol, Tobacco, Firearms and Explosives
BMS <sub>4</sub>	Fourth Biennial Meeting of States to Consider Implementation of the Programme of Action
DDR	Disarmament, demobilization, and reintegration
EUC	End-user certificate
IFRT	Interpol Firearms Reference Table
INTERPOL	International Criminal Police Organization
ITI	International Tracing Instrument
IWETS	International Weapons and Explosives Tracking System
NCA	National coordination agency
NPC	National point of contact
PoA	UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects
PoAIM	Programme of Action Implementation Monitor
PoA-ISS	Programme of Action Implementation Support System
UNDP	United Nations Development Programme
UNIDIR	United Nations Institute for Disarmament Research
UNODA	United Nations Office for Disarmament Affairs




# Introduction

The UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA) celebrated its tenth anniversary in July 2011. UN Member States will hold a second two-week conference in August–September 2012 to review progress made in implementation of the PoA and the International Tracing Instrument (ITI).<sup>1</sup> More than a decade after the PoA's adoption, many stakeholders are now asking: (1) has the PoA been implemented; (2) has such implementation had an impact on the illicit small arms trade, or what difference has it made? Many states called for an assessment of PoA implementation in their 2010 national reports and statements to the Fourth Biennial Meeting of States to Consider Implementation of the PoA (BMS<sub>4</sub>). Indeed the BMS<sub>4</sub> outcome document records that '[S]tates also recognized the need for a comprehensive assessment of progress in the implementation of the Programme of Action, 10 years following its adoption, as an input for the 2012 Review Conference' (UNGA, 2010).

The Small Arms Survey launched the PoA Implementation Project in March 2011 in response to that call. This is a multi-year project designed to assess the implementation and impact of the PoA and the ITI through several phases:

1. Phase 1: an assessment of the extent to which states have implemented the PoA and the ITI using national reports (relying exclusively on the information states provide on their PoA/ITI implementation);
2. Phase 2: an assessment of whether states have implemented the PoA and the ITI based on an objective evaluation and verification of implementation efforts (through an analysis of national legislation, independent country studies, and other sources); and
3. Phase 3: an assessment of whether implementation efforts (assessed in Phases 1 and 2) have had an impact on the illicit trade in small arms, specifically with reference to the PoA objectives.

For the first phase, the Survey created a tool, known as the PoA Implementation Monitor (PoAIM), designed to evaluate states' PoA and ITI implementation. The PoAIM consists of a scoring system that uses indicators derived from the PoA and International Tracing Instrument commitments to assign points based on national implementation efforts and rank states according to their *reported* implementation efforts. Details of the methodology used to 'score' states' implementation performance are outlined below and in Annexe A.

This report contains the first set of findings obtained through the PoAIM 'scoring' system based on a review of all 652 national reports submitted by states between 2002 and 11 June 2012.<sup>2</sup> The report is divided into three parts. The first part provides an overview of the methodology used to score states' reported implementation efforts; the second part provides details of the PoAIM findings; and the third part comprises recommendations and conclusions arising from the analysis. 

# Methodology

The aim of this study is to provide an overview of states' efforts to implement the PoA and the ITI, based on an analysis of national reports submitted between 2002 and 11 June 2012.<sup>3</sup> The assessment included development of a template (score-sheet) that facilitated the capture, classification, and scoring of information in national reports on states' PoA and ITI implementation. A description of how implementation commitments were classified, how the score-sheet was developed, and how information was captured and scored, follows.

## Classifying and 'unpacking' the commitments

National level commitments related to the PoA (UNGA, 2001) and the ITI (UNGA, 2005)<sup>4</sup> were classified under the following thematic headings:

1. National coordination agencies (PoA, para. II.4);
2. National points of contact (PoA, para. II.5; ITI, paras. 25, 31(a));
3. Manufacture (PoA, paras. II.2, 3, 6);
4. Marking (ITI, paras. 7–10, 31(b));
5. Record-keeping (PoA, para. II.9; ITI, paras. 12, 13);
6. Cooperation in tracing (PoA, para. II.37; ITI, paras. 33, 35)
7. International transfer (PoA, paras. II.2, 3, 6, 11–13, 15);
8. Brokering (PoA, paras. II.6, 14);
9. Stockpile management (PoA, para. II.17);
10. Surplus identification and/or disposal (PoA, paras. II.18, 19);
11. Public awareness (PoA, para. II.20); and
12. Other (illegal possession, stockpiling, and trade) (PoA, paras. II.3, 6).<sup>5</sup>

The paragraphs in the ITI and part II of the PoA were then broken down into their constituent commitments, providing a complete list of every specific national level commitment. So, for example, the commitment in paragraph II.2

of the PoA to ‘put in place [...] adequate laws, regulations and administrative procedures to exercise effective control [...] over the export, import, transit or retransfer of such weapons’ was divided into three discrete commitments to establish: (1) laws, regulations, and administrative procedures to control the *export* (and *retransfer*) of small arms; (2) laws, regulations, and administrative procedures to control the *import* of small arms; and (3) laws, regulations, and administrative procedures to control the *transit* of small arms.

Commitments were further divided into **primary** and **subsidiary** commitments. For example, the commitment in paragraph II.17 of the PoA<sup>6</sup> regarding stockpile management was divided into one primary commitment,<sup>7</sup> and seven subsidiary commitments.<sup>8</sup>

Finally, commitments were classified as **firm**, for example, where states ‘will require’<sup>9</sup> or ‘will ensure’<sup>10</sup> certain action; **conditional**, for example, where states are required to take action ‘where possible’<sup>11</sup> or ‘where appropriate’<sup>12</sup>; or **encouraged practice**, for example, where states ‘are encouraged’<sup>13</sup> to take certain action.

## Point allocation system

Points were awarded when states indicated that they had fulfilled one or more of these commitments in their national reports. Points were allocated to identified commitments as follows:

- a full point (1 point) was allocated to each firm, primary commitment;
- a half point (1/2 point) was allocated to each conditional, primary commitment;
- a half point (1/2 point) was allocated to each encouraged, primary commitment;
- a half point (1/2 point) was allocated to each firm, subsidiary commitment;
- a quarter point (1/4 point) was allocated to each conditional, subsidiary commitment; and
- a quarter point (1/4 point) was allocated to each encouraged, subsidiary commitment.

A breakdown of how points were allocated to each commitment is included in Table 1 below.

Table 1 **Point allocation**

	<b>Firm</b>	<b>Conditional</b>	<b>Encouraged practice</b>
Primary	1 point	1/2 point	1/2 point
Subsidiary	1/2 point	1/4 point	1/4 point

The total maximum available score where *all* commitments were included was 56.75 points. A detailed breakdown of the points available for each theme is included in Table 2.

Table 2 **Available points**

<b>Theme</b>	<b>Maximum available points</b>
National coordination agencies	1
National point of contact	2
Manufacture	3
Marking	14.25
Record-keeping	4
Cooperation in tracing	1.5
International transfer	12
Brokering	3.5
Stockpile management	4.5
Surplus identification and/or disposal	4
Public awareness	1
Other	6
Total maximum available score	56.75

## Eligibility and applicability

States were considered ‘eligible’ for every commitment. Therefore, each element of every commitment and the associated points were considered ‘applicable’ to a state unless it provided information in one or more of its national reports that indicated a particular thematic area or specific issue was not relevant or applicable to it. There were exceptions, however.

For example, even if a state indicated that it neither manufactures small arms nor has small arms manufacturers on its territory, the commitment to

have manufacturing controls in place and to criminalize illegal manufacture (PoA, paras. II.2, 3) was still considered ‘applicable’ since illicit manufacture can potentially occur anywhere. In some cases, this might consist of a ban on the manufacture of small arms. In contrast, the obligation to mark firearms at manufacture (ITI, para. 8(a)), however, was considered ‘not applicable’ to such a state, as was the commitment to keep manufacturing records (ITI, para. 12(a)). Consequently, the associated points were deducted from its maximum eligible score.

Accordingly, a maximum eligible score was calculated for each state, representing all the points it could potentially be awarded under the scoring system.

## Reviewing and scoring states’ national reports

The following method was used to determine national scores and rankings:

1. A separate score-sheet was created for each reporting state.
2. All national reports from all reporting states were reviewed in reverse chronological order.
3. Information given in each report that was relevant to each of the PoA and ITI commitments and the related question in the score-sheet template was recorded in the relevant section of the state’s score-sheet.
4. A determination was made as to whether any commitments were ‘not applicable’ to the state based on information in its report(s).
5. A determination was made as to whether the information provided by the state was sufficient to ascertain whether the reporting state had fulfilled the applicable commitment and could thus be awarded a corresponding associated point score.
6. A maximum eligible score and an actual total score (the number of points actually earned by the state) were determined for each reporting state. These figures were used to generate a percentage score (actual points divided by the total eligible points). Table 3 in the second part of this report presents the percentage score (PoAIM score) for each reporting state from highest to the lowest score.

In this, first phase of the PoA Implementation Project involving (exclusively) a review of states' national reports, information provided was taken at face value. In other words, no attempt was made to verify (or clarify) the information in the reports. Nor was an assessment made of the adequacy of the measures and implementation efforts states reported on. If, for example, a state reported it has export controls in place but gave no further details on their nature, on the identity of the export licensing authority, or on its criteria for assessing export licence applications, it was still awarded the points.

- *Contradictory information*: as noted above, national reports were reviewed in reverse chronological order. In some instances, information in the most recent reports contradicted earlier reports. This sometimes reflected 'progress' in a state's implementation efforts. For example, a state might have reported in 2004 that it had no brokering legislation in place, whereas in 2008 it reported that such legislation existed. Conversely, there were instances where a state indicated in an earlier report that, for example, it had a National Coordinating Agency (in the form of an inter-ministerial coordinating body), but stated unequivocally that this was not the case in a later report. Where a state provided contradictory information that was not the consequence of 'progress', the information provided in the most recent report was relied on.
- *Ambiguous information*: at times the information in national reports was unclear, preventing a reader from ascertaining with absolute certainty that the state was reporting that it had carried out a certain activity or fulfilled a specific commitment. In such instances, scorers were directed to give states 'the benefit of the doubt' in their interpretation of the information. For example, if a state reported that the loss of a firearm incurs a penalty, but did not specify whether this applied to arms held by civilians or military personnel, states were awarded the applicable half point in the context of the subsidiary commitment under stockpile management to have procedures and sanctions in place in the event of theft or loss of small arms (PoA, para. II.17).
- *Irrelevant and inaccurate information*: in some instances, states provided information under subject headings or in response to the reporting template that was not relevant to the subject heading or question being posed. For

example, many states provided information on controls governing fire-arms dealers and retailers in the context of brokering. Unless the state clearly indicated that these controls covered brokering activities (for example, 'dealers, including brokers, must have a licence to trade'), it was not awarded the applicable points. 🇺🇸



## Findings

The results of the PoAIM scoring of states' national reports from 2002 to mid-2012 are reflected in Table 3 (which lists states according to their PoAIM score from highest to lowest). As noted above, the scores are presented as percentages of the maximum eligible score for each reporting state. Annexe B provides an overview of states' PoAIM scores by sub-region, and gives a detailed breakdown of their scores for each thematic section of the PoAIM score-sheet.

Table 3 **Reporting states by rank and score (as a % of maximum eligible score)**

	Country	Final score (%)		Country	Final score (%)
1.	Portugal	93.36	20.	Canada	81.41
2.	Mexico	91.96	21.	Philippines	80.57
3.	Croatia	91.10	22.	Australia	80.19
4.	Switzerland	89.77	23.	India	80.09
5.	Germany	89.57	24.	The former Yugoslav Republic of Macedonia	79.90
6.	Hungary	88.84	25.	Tanzania	78.87
7.	Czech Republic	87.91	26.	Algeria	78.48
8.	Norway	87.77	27.	Bulgaria	78.33
9.	Finland	87.68	28.	United States	78.26
10.	Estonia	87.20	29.	Latvia	78.00
11.	South Korea	87.19	30.	Russian Federation	76.23
12.	Lithuania	86.27	31.	Burkina Faso	76.12
13.	Nicaragua	85.33	32.	Panama	76.00
14.	Albania	82.98	33.	Botswana	75.00
15.	Ecuador	82.94	33.	Trinidad and Tobago	75.00
15.	Poland	82.94	35.	United Kingdom	73.95
17.	Mali	82.89	36.	Colombia	73.66
18.	Bosnia and Herzegovina	81.99	37.	Argentina	73.37
19.	Romania	81.77			

	Country	Final score (%)		Country	Final score (%)
38.	Austria	72.56	68.	Spain	58.45
39.	Liechtenstein	70.44	69.	Luxembourg	58.15
40.	Burundi	70.21	70.	Pakistan	57.97
41.	Japan	69.60	71.	Uruguay	57.79
42.	China	69.46	72.	Belgium	57.14
43.	Mozambique	69.41	73.	Iceland	56.00
44.	Kazakhstan	68.95	74.	Sri Lanka	55.79
45.	Moldova	68.75	75.	Italy	55.67
46.	Niger	68.02	76.	Ukraine	55.32
47.	Peru	67.35	77.	Morocco	55.32
48.	Denmark	67.00	78.	Greece	55.17
49.	Sierra Leone	66.84	78.	Malaysia	55.17
50.	Sweden	66.67	80.	Zimbabwe	54.65
50.	Slovenia	66.67	81.	Papua New Guinea	54.55
52.	Benin	66.50	82.	Turkey	53.93
53.	Belarus	66.18	83.	New Zealand	53.20
54.	Netherlands	65.96	84.	Guatemala	52.17
55.	Ireland	65.31	85.	Honduras	52.05
56.	Namibia	63.83	86.	Togo	51.90
57.	France	63.77	87.	Uganda	51.32
58.	Fiji	63.54	88.	Maldives	50.54
59.	Paraguay	63.46	89.	Thailand	50.25
60.	Senegal	63.07	90.	El Salvador	50.00
61.	Serbia	63.03	90.	Eritrea	50.00
62.	Brazil	62.33	92.	Indonesia	49.75
63.	Democratic Republic of the Congo	61.70	93.	Zambia	49.42
			94.	Cyprus	48.91
64.	Antigua and Barbuda	61.62	95.	South Africa	48.77
65.	Venezuela	61.05	96.	Côte d'Ivoire	48.68
66.	Slovakia	59.61	97.	Solomon Islands	48.31
67.	Israel	59.02	98.	Lesotho	47.13

	Country	Final score (%)		Country	Final score (%)
99.	Ethiopia	46.91	130.	Oman	25.29
100.	Chile	45.81	131.	Gambia	25.12
101.	Kenya	45.35	132.	Republic of the Congo	25.00
102.	Rwanda	44.71	133.	Djibouti	24.63
103.	Iran	44.33	134.	Monaco	24.44
103.	Jordan	44.33	135.	Turkmenistan	22.66
105.	Malta	44.19	136.	Haiti	20.69
106.	Georgia	43.90	137.	Mauritius	20.00
107.	Azerbaijan	43.35	138.	Sudan	19.32
108.	Armenia	42.51	139.	Malawi	18.48
109.	Marshall Islands	41.21	140.	Angola	16.59
110.	Egypt	40.89	141.	São Tomé and Príncipe	15.76
111.	Cambodia	40.24	142.	Libya	15.22
112.	Cuba	39.75	143.	Bahrain	14.13
113.	Guyana	39.53	144.	Grenada	13.04
114.	Ghana	38.95	144.	Qatar	13.04
115.	Costa Rica	38.10	146.	Swaziland	11.96
115.	Vietnam	38.10	146.	United Arab Emirates	11.96
117.	Kyrgyzstan	36.96	148.	Yemen	11.82
118.	Bangladesh	36.71	149.	Nigeria	10.84
119.	Syria	35.90	150.	Gabon	9.66
120.	Saudi Arabia	34.48	151.	Chad	7.88
121.	Liberia	34.12	151.	Guinea-Bissau	7.88
122.	Jamaica	32.61	153.	Madagascar	7.45
123.	Iraq	31.94	154.	Lebanon	5.95
124.	Guinea	30.59	155.	Central African Republic	5.91
125.	Tunisia	28.92	156.	Cameroon	3.94
126.	Tajikistan	28.57	157.	Barbados	3.86
127.	Dominican Republic	27.37	158.	Equatorial Guinea	2.17
128.	Bolivia	26.63	159.	Mauritania	1.97
129.	Andorra	25.56			

## What do the PoAIM scores represent? How should the PoAIM scores be interpreted?

The PoAIM score for each state reflects how well the state has implemented its PoA and ITI commitments overall *according to its national reports*. The separate PoAIM score for each theme reflected in Annexe B tells us how well a state has implemented its PoA and ITI commitments within each thematic area according to its national reports.

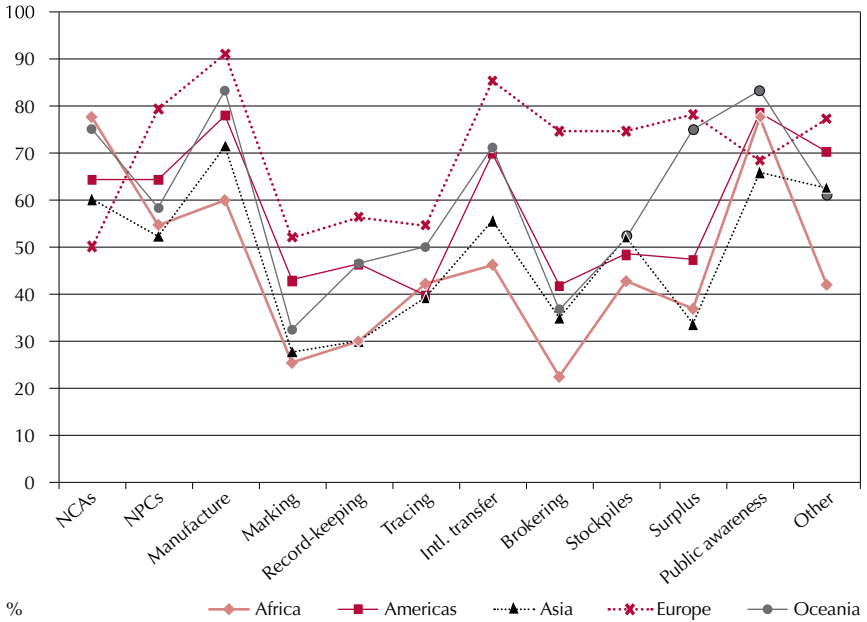
States that achieved a high PoAIM score provided sufficiently detailed information in their national reports to indicate that they have implemented a high number of PoA and ITI commitments, both primary and subsidiary. States that received a low score did not provide enough—or sufficiently detailed—information in their national reports to determine whether they are implementing or have implemented their national level PoA and ITI commitments. This could indicate that they had *not* fulfilled the PoA and ITI commitments, but it could also indicate that they had not provided sufficient information on their implementation efforts in their national reports.

## What do the PoAIM scores tell us about implementation?

The outcomes of the PoAIM scoring mechanism allow us to make a number of observations regarding reported implementation of the PoA and the ITI. A breakdown of scores by region, for example, enables us to make some assumptions about thematic priorities in the various regions.

Figure 1 illustrates the average PoAIM scores per theme, by region. Each average is expressed as a percentage of the maximum possible points for that theme. We can see clearly from the chart that reporting states in Africa scored well (relative to other states and to other themes) with respect to the PoA commitment to establish National coordination agencies (NCAs) as well as the PoA commitment to develop and implement public awareness and confidence building programmes (PoA, para. II.20). In contrast, they scored poorly in relation to PoA and ITI commitments with respect to marking and brokering commitments.

Figure 1 PoAIM scores by theme (regional average)



By contrast, reporting states in Europe scored poorly (relative to other states and other themes) with respect to the PoA commitment on NCAs, but achieved the best average scores with respect to PoA commitments relating to manufacture and international transfer (import, export, and transit controls). Part of the reason for this is that 73% of reporting states in Africa (67% of the total number of states in the region) report that they have established an NCA or National Commission on Small Arms, dedicated to policy guidance, research, and monitoring of efforts to address the illicit trade in small arms, in accordance with the commitment in paragraph II.4 of the PoA. Yet, only 34% of reporting states in Europe (33% of the total number of states in the region) report they have established such a body. Another 15% of reporting states in Europe indicate that, although they do not have a separate or distinct body responsible for policy guidance and small arms oversight, a certain level of inter-agency coordination exists on the issue among various ministries.

Figure 1 also illustrates clearly that all regions scored poorly (relative to their average scores for other themes) on marking and brokering (and to a lesser extent on record-keeping). The adoption of the ITI in 2005 expanded states' commitments with respect to marking, record-keeping, and tracing of small arms considerably compared to those included in the PoA. Consequently, the marking section of the PoAIM scoring template is considerably longer than most other thematic areas (with the exception being international transfers) since it breaks down each of the separate commitments in paragraphs 8 and 9 of the ITI.<sup>14</sup> States are therefore expected to provide more information on their marking practices than in other areas. (See Annexe A for a detailed overview of each of the commitments listed in paragraphs 8 and 9 of the ITI and an explanation of how information in national reports on these issue areas was reviewed and assessed.)

Part of the reason why reporting states scored poorly (with a few exceptions) under this theme is that, in the PoAIM scoring template, the marking section has the highest maximum number of available points (14.25 points) due to the large number of commitments related to marking in the ITI.

States also scored poorly with respect to marking because they rarely provided information that was sufficiently clear or detailed to allow for an unambiguous determination of ITI implementation. This was particularly the case with respect to import marking. Under paragraph 8(b) of the ITI, states will

*require to the extent possible appropriate simple marking on each imported small arm or light weapon, permitting identification of the country of import and, where possible, the year of import [...]; and require a unique marking, if the small arm or light weapon does not already bear such a marking<sup>15</sup> (with temporary imports excluded from the requirement).*

States provided a range of information relating to this commitment. Certain states reported that they *do* mark weapons imported into their territories after they arrive with the year of import and/or the country of import; some indicated that they require the manufacturer in the country of origin to mark the firearms with import markings (such as the country of import and/or year of import) prior to exporting them; some reported that they ensure that importers mark weapons with information on the *importer* once they are imported;

some expressly noted that they import *only* weapons that are already marked by the manufacturer in the country of origin with manufacture markings or that they do not import 'unmarked' small arms; some reported that imported weapons are marked with manufacture markings (which presumably means they are marked by the manufacturer before import); and some replied 'yes' to question 6.13 in the revised UNODA (United Nations Office for Disarmament Affairs) reporting template, which asks: 'Does your country require that [small arms and light weapons] imported into your country be marked at the time of import?', and then described the manufacture markings in response to the request for details of the information on import markings (PoA-ISS, n.d.b., question 6.13.1).

In short, it is difficult to say, unequivocally, just how many states *are* implementing the commitment contained in paragraph 8(b) of the ITI to mark imported small arms. Our findings suggest that some 43 (27%) reporting states give a clear indication that they require imported small arms to be marked with import markings as distinct from manufacture markings, with 29 (18%) confirming this marking must indicate the country of import and 21 (13%) specifying it must include the year of import. A further 31 (19.5%) reporting states indicate that they require a unique marking to be applied to an imported arm if it does not already bear one in accordance with the ITI provision on import marking. Reporting on this issue strongly reflected that this commitment is not well understood by reporting states or, at a minimum, that they do not share the same understanding of its meaning and what is required to fulfil its terms.

It is also apparent that other marking commitments are similarly not well understood or that clarity is lacking on what is required in order to fulfil them. For example, paragraph 8(d) of the ITI stipulates that states must ensure that all small arms held by government armed and security forces are 'duly' marked, and notes that such markings do not necessarily have to meet the requirements relating to manufacture markings referred to in subparagraph 8(a). States appear to interpret the phrase 'duly' marked in several ways, with some reporting they require state-held weapons to bear markings equivalent to those applied at the time of manufacture; others indicating they apply specific, unique markings to state-held weapons (such as a coat

of arms or other national emblem); and others simply stating they require such arms to be marked. Are any or all of these measures sufficient to determine that a state is fulfilling this commitment? Without further elaboration or guidance on what is meant or intended by 'duly' marked, the answer must be 'yes'.

Another marking commitment (in fact, encouraged practice) that is poorly reported on is paragraph 8(e) of the ITI, under which states agree to encourage small arms manufacturers 'to develop measures against the removal or alteration of markings'. Under a relevant heading, or in response to question 19 of the revised UNODA reporting template: 'Does your country encourage manufacturers of [small arms and light weapons] to develop measures against the removal or alteration of markings?', some 10 per cent of states reported it is a criminal offence to remove, alter, or obliterate the markings on a weapon in their countries in the context of this commitment. While criminalization of tampering with markings constitutes *a* measure against their removal or alteration, it does not amount to encouraging *manufacturers* to develop measures against removal or alteration. At the same time, it should be noted however, that many states *did* provide details of measures taken by manufacturers to make the removal or alteration of markings difficult or impossible, as well as information concerning technological developments aimed at ensuring the permanency or recoverability of markings.

Brokering appears to be another area where not all reporting states have a clear understanding of what 'brokering' is or what types of activities it covers. In many instances states provided information on 'dealers' in the context of 'brokering' (under a heading marked 'brokering' or in response to the previous UNODA reporting template under section 8 on 'Brokering'); others gave information on import and export agents and even customs brokers.

When scoring states on their reported implementation of the brokering commitments in paragraph II.14 of the PoA, scorers had to be mindful of the fact that many states consider that if they have regulations governing 'dealers', then they *do* have controls in place governing brokers. Without more information on the nature of these controls and what activities they cover it is unclear whether 'brokering' *is* regulated. This begs the question: how well



understood is the issue of brokering among states? Are they aware of what the commitment to control brokering implies or requires?

These are just examples of some of the ways in which the results of the PoAIM scoring can be used and interpreted, and what they tell us about reported implementation.

## What do the PoAIM scores tell us about reporting?

One of the aims of the PoAIM project is to generate a clearer picture of the extent to which states have implemented their PoA and ITI commitments. In part, it was anticipated that this would help identify those countries and regions where implementation is relatively weak, so that cooperation and assistance efforts could be geared to target them. It was nonetheless also understood that a review of implementation efforts based on national reports can only permit an assessment of *reported* implementation. In this regard, the PoAIM scores, and the scoring exercise generally, tell us much about the quality of national reports and reporting practices.

In some reports, states expressly indicated they have *not* fulfilled certain commitments by answering either ‘no’ to a direct question in the previous reporting template such as ‘Does your country use authenticated end-user certificates?’ (UNIDIR, n.d., question 7(iii)), or ‘none’ to a question such as ‘What national measures exist to safeguard [surplus] stocks prior to their disposal?’ (UNIDIR, n.d., question 6(iii)). Generally, however, states scored poorly on all or certain commitments because they did not provide relevant or sufficient information to indicate whether they had implemented a commitment. In other words, poor reporting—not necessarily weak implementation—accounted predominantly for the low PoAIM scores of some countries.

This is well illustrated by the change in scores attributed to those states that used the revised UNODA reporting template (PoA-ISS, n.d.a.)<sup>16</sup> for their 2012 national reports (see Table 4). Most of the questions in the revised UNODA reporting template are structured so that states must answer ‘yes’ or ‘no’ and/or select one or more relevant responses from a drop-down menu. By way of contrast, the previous UNODA reporting template contained more

‘open’ and fewer questions overall. Consequently, many states that used the revised UNODA reporting template provided information—or responded to specific questions—that were more closely aligned to the wording of relevant PoA and ITI commitments.

Of the 55 states that submitted national reports for 2012 by 11 June 2012, 40 used the revised UNODA reporting template. Table 4 compares the PoAIM scores of 23 states before and after submission of their 2012 report (before and after their use of the revised UNODA reporting template).<sup>17</sup>

**Table 4 Comparison of states’ scores before and after submission of their 2012 reports (before and after their use of the revised UNODA reporting template)**

	Country	Score before 2012 report (%)	Score after 2012 report (%)	Increase in score (as a % of original score)
1.	Albania	55.67%	82.98%	49.05%
2.	Benin	37.65%	66.50%	76.65%
3.	Botswana	49.29%	75.00%	52.16%
4.	Burkina Faso	34.86%	76.12%	118.34%
5.	Burundi	41.82%	70.21%	67.90%
6.	Croatia	66.03%	91.10%	37.97%
7.	Cyprus	30.21%	48.91%	61.92%
8.	Ecuador	28.08%	82.94%	195.38%
9.	Estonia	55.50%	87.20%	57.12%
10.	Guatemala	37.63%	52.17%	38.63%
11.	India	50.19%	80.09%	59.58%
12.	Liechtenstein	34.45%	70.44%	104.48%
13.	Luxembourg	30.57%	58.15%	90.23%
14.	Mali	26.60%	82.89%	211.66%
15.	Mexico	66.03%	91.96%	39.27%
16.	Morocco	25.00%	55.32%	121.28%
17.	Namibia	30.61%	63.83%	108.51%
18.	Nicaragua	54.55%	85.33%	56.43%
19.	Portugal	67.46%	93.36%	38.39%
20.	Sierra Leone	33.47%	66.84%	99.70%
21.	Tanzania	42.93%	78.87%	83.70%
22.	Trinidad and Tobago	39.18%	75.00%	91.45%
23.	United Kingdom	56.81%	73.95%	30.18%

As Table 4 illustrates, PoAIM scores increased by 30% or more as a consequence of states using the revised UNODA reporting template. In some cases, the improvement was quite dramatic. For example, the scores of Ecuador and Liechtenstein increased by 195% and 104%, respectively.

The revised UNODA reporting template benefits states that wish to report on their implementation as well as researchers and others who wish to review national reports, since it is ‘user-friendly’ and relatively easy for states to complete and generates more detailed, readily comparable information than national reports using the previous reporting template or using no template at all. As foreseen at BMS<sub>4</sub>, ‘the development of a standardized reporting template [has enhanced] the comparability of reports’ (UNGA, 2010, para. 35).

The analysis of the first national reports using the new template nevertheless reveals several dangers inherent in its use. For instance, there is a risk that states may reply ‘yes to all’ since they will generally want to be seen to be implementing their PoA and ITI commitments, and the template forces them to answer ‘yes’ or ‘no’ or make no selection, but this could imply that their answer is ‘no’. In the previous version of the reporting template, however—and if states do not use either template—they are free to omit information that indicates they have not fulfilled certain commitments.


Additionally, while the revised UNODA reporting template invites states to give details of measures or controls they have in place, in some instances there is no opportunity for them to elaborate on their implementation measures. For example, in section 5 on ‘Stockpile Management’, the report asks whether the state has standards and procedures relating to stockpile management and, if so, invites it to ‘check relevant boxes’, that list the subsidiary commitments in PoA II.17 (appropriate locations for stockpiles, physical security measures, and so on). There is no provision for the reporting state to give details of any of its existing standards and procedures, even if it ticks one or more boxes. Such information would be useful because it provides examples of good and best practice that other states could use to inform their own standards and procedures. That obviously weakens the information exchange function of national reporting. 📌

## Conclusion

One of the aims of this study was to determine the extent to which states are fulfilling their commitments under the PoA and the ITI. It turns out that the Phase 1 findings of the PoA Implementation Monitor often tell us more about national reporting practices than they do about PoA and ITI implementation. More fundamentally, the study illustrates some of the limitations associated with using national reports as the basis for assessing implementation—above all the fact that states frequently do not provide clear or complete information on implementation in their reports.

Despite such constraints, the PoAIM findings do serve to highlight those areas where reporting and reported implementation are weak, suggesting a need for enhanced international cooperation and assistance in these areas. The study also reveals that reporting states often have different interpretations of what certain PoA and ITI provisions require of them—for example, in the areas of brokering and import marking—highlighting the need for the further elaboration of these commitments.

The Phase 1 findings can assist UN Member States in identifying themes for future meetings. It remains to be seen whether they will also encourage states to provide clear, detailed accounts of their implementation efforts. While good reporting requires states to make a significant investment of time and resources, the revised UNODA reporting template, coupled with the shift to a biennial reporting schedule for both the PoA and ITI, should ease the reporting burden. Widespread use of the template will also make the comparison of national reports easier.

Currently, national reporting is the only means of assessing implementation of the PoA and ITI by the UN membership as a whole. If states do not use this mechanism to indicate, with some precision, what they are doing to fulfil their commitments, it is difficult to say much about ‘progress made in the implementation of the Programme of Action’ (PoA, para. IV.1.a) absent new mechanisms. 

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## Annexe A. PoAIM scoring guidelines and criteria

- ✓ Indicates the nature of the information and circumstances where reporting states were awarded an applicable point.
- ✗ Indicates the nature of the information and circumstances where reporting states were *not* awarded an applicable point.
- N/A Indicates the nature of the information and circumstances where the commitment was considered *not applicable* to a reporting state.

	PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
<b>1</b>	<b>National coordination agencies</b>				
1.1	PoA II.4	To establish, or designate as appropriate, national coordination agencies or bodies and institutional infrastructure responsible for policy guidance, research and monitoring of efforts to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects. This should include aspects of the illicit manufacture, control, trafficking, circulation, brokering and trade, as well as tracing, finance, collection and destruction of small arms and light weapons.	Does the state have a National coordination agency (NCA) (sometimes called National commission)? If the answer is <b>yes</b> , a full point was awarded.	<ul style="list-style-type: none"> <li>✓ If a state expressly indicated it had established an NCA or a National commission on small arms (e.g. answered 'yes' to question 1 in the revised UNODA reporting template), it received a full point. This included instances where a particular ministry—e.g. the Ministry of Defence (e.g. Uruguay) or the Ministry for European and International Affairs (e.g. Austria)—reportedly serves as the NCA, or where the National point of contact (NPC) was the NCA (e.g. Botswana and Kenya).</li> <li>✗ If a state replied 'no' to question 1 in the revised UNODA reporting template, or expressly stated it does <b>not</b> have an NCA or National Commission, it received zero points.</li> </ul>	1
			If the state indicates it has a system of inter-agency coordination, but has not established a separate NCA, it received a half point.	<ul style="list-style-type: none"> <li>✓ If a state did not specify whether it has an NCA or a National Commission on small arms, but did report that:               <ul style="list-style-type: none"> <li>• it has some form of institutional, inter-agency cooperation or coordination mechanism, or inter-agency group dealing with small arms issues;</li> <li>• it is in the process of establishing a National Commission (e.g. Serbia and Yemen);</li> <li>• it has established a commission responsible for a specific aspect of small arms control such as export control coordination (e.g. Moldova); or</li> <li>• it does not have an NCA per se, but that a specific agency or ministry is responsible for coordinating efforts to address the illicit trade in small arms (e.g. Denmark),</li> </ul> </li> </ul>	
				a half point was awarded.	1
				<b>Subtotal of section 1</b>	<b>1</b>

2 National point of contact		
2.1	<p>PoA III.5</p> <p>To establish or designate, as appropriate, a national point of contact to act as a liaison between States on matters relating to the implementation of the Programme of Action.</p> <p>Does the state have a national point of contact (NPC) (sometimes called national focal point) on PoA implementation?</p>	<p>0.5</p> <p>✓ States that clearly indicated they have an NPC or a national 'liaison' officer (e.g. Tajikistan) on PoA implementation were awarded a half point. Where it was not clear whether an NPC was designated for the PoA or the ITI, it was assumed it was for the former.</p> <p>✗ States that simply listed the contact details of a person/ministry, without indicating whether the latter was the designated NPC on PoA or ITI implementation, were not awarded the half point. States that reported they are in the process of establishing an NPC (e.g. Cyprus) were not awarded the available point.</p>
2.2	<p>ITI para. 25</p> <p>States will designate one or more national points of contact to exchange information and act as a liaison on all matters relating to the implementation of this instrument.</p> <p>Does the state have an NPC for ITI implementation?</p>	<p>0.5</p> <p>✓ States were awarded a half point for any details they provided on the NPC (e.g. the person/ministry involved and/or contact details).</p> <p>✗ States were not awarded a half point if they provided contact details of persons without indicating whether they were the designated NPCs (e.g. United Arab Emirates).</p>
	<p>ITI para. 31(a)</p> <p>States will, as soon as possible after the adoption of this instrument, provide the Secretary-General, through the Department for Disarmament Affairs of the Secretariat, with the following information, updating it when necessary: (a) Name and contact information for the national point(s) of contact.</p> <p>If the answer is yes, has the state provided the name and contact information for the NPC(s) to UNODA (e.g. ministries involved, name(s) of the person(s) designated and contact details)?</p>	<p>0.5</p> <p>✓ States were awarded a half point if they clearly indicated they have an NPC for ITI implementation or 'tracing cooperation'. Where it was unclear whether the NPC was designated for the PoA or the ITI, it was assumed it was for the former. If a state indicated that the NPC for the PoA and the ITI was the same entity/person, points were awarded under both sections.</p> <p>✓ States were awarded a half point for any details they provided on the NPC such as the person/ministry involved and/or contact details.</p>
<b>Subtotal of section 2</b>		<b>2</b>

	PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
<b>3</b>	<b>Manufacture</b>				
3.1	PoA II.2	To put in place, where they do not exist, adequate laws, regulations and administrative procedures to exercise effective control over the production of small arms and light weapons within their areas of jurisdiction [...], in order to prevent illegal manufacture of and illicit trafficking in small arms and light weapons, or their diversion to unauthorized recipients.	Does the state have laws, regulations, and administrative procedures governing the manufacture or production of small arms? a) If the answer is <b>yes</b> , a full point was awarded.	<p>✓ States were awarded a full point if they indicated: they had laws, regulations, or administrative procedures on the manufacture of small arms; that manufacturers must be licensed or otherwise authorized to manufacture small arms.</p> <p>✓ States were also awarded a full point if they did not expressly state they had such laws, or did not identify the relevant laws, but <i>did</i> provide details of established legislation or regulations on the requirement to mark weapons at the time of manufacture, or for manufacturers to keep records.</p> <p>✗ States were not awarded the available point for having laws, regulations, and/or administrative procedures governing the manufacture/production of small arms if they simply listed the relevant legislation without specifying what aspects of small arms control it covered. E.g., if a state reported it had a <i>Firearms Act</i> without indicating what aspects of firearms control it regulated, no point was awarded. If, however, the title of the Act clearly indicated its purpose (e.g. <i>Firearms Manufacturing Act</i>) a point was awarded. States that reported they had criminalized illegal manufacture but that gave no information on the relevant controls in place received zero points.</p>	1
			b) States that indicate such laws are <b>under development</b> (e.g. are being drafted or reviewed by parliament) received a half point.	<p>✓ States that reported they were in the process of strengthening manufacturing controls (e.g. Morocco), or that manufacturing laws were ‘under development’, or that draft laws were under consideration, were awarded a half point.</p>	
			c) States that indicate they have no laws on manufacture because they <b>require assistance</b> to develop them <i>and</i> have <b>requested it</b> , received a half point.	<p>✓ States that (1) reported they have no manufacturing laws or lacked capacity to establish or develop them, and (2) reported they have requested assistance specifically for that purpose, <i>and/or</i> (3) included a request for assistance in their national reports, were awarded a half point.</p> <p>✗ No points were awarded for mere expressions of willingness (e.g. ‘we would like to have laws on manufacturing, but we don’t have capacity’).</p>	
			d) States that indicate they have <b>no laws</b> on manufacture, or that give no information on whether they have such laws, received zero points.	<p>✗ States that reported they do <i>not</i> have laws on small arms manufacture or production received zero points, but the information they gave was recorded.</p>	



				<p>e) States that indicate they <b>prohibit</b> manufacture received a full point.</p>	<p>✓ Several states reported that small arms manufacture is prohibited on their territory (e.g. Eritrea and Trinidad &amp; Tobago). In most instances, they reported that this is reflected in national legislation (suggesting they had laws and regulations prohibiting manufacture). If a state indicated it prohibits small arms manufacture or production but did not specify the applicable national legislation, it was presumed that the ban had been passed into law or had been communicated publicly in some other way.</p>
3.2	PoA II.3	To adopt and implement, in the States that have not already done so, the necessary legislative or other measures to establish as criminal offences under their domestic law the illegal manufacture, [...] of small arms and light weapons within their areas of jurisdiction, in order to ensure that those engaged in such activities can be prosecuted under appropriate national penal codes.		<p>f) Zero points are given to states that merely indicate they <b>do not manufacture</b> small arms and light weapons.</p>	<p>✗ States that indicated they do not manufacture small arms or that there are no manufacturers operating on their territories were not awarded a point (unless they also indicated that manufacture is prohibited and/or indicated that laws, regulations and administrative procedures are in place, even though there is currently no small arms production taking place or no companies are currently authorized to manufacture small arms).</p> <p>N/A However, where states indicated that they do not manufacture small arms, the marking and record-keeping commitments with respect to manufacturers were considered 'not applicable' (see below).</p> <p>States were deemed not to manufacture small arms if they expressly indicated that they do not manufacture small arms, as well as where they report that only craft manufacture takes place (or that they do not manufacture 'sophisticated' firearms (e.g. Benin)); or if they indicated that only 'local', non-industrial manufacture takes place, or if they indicated there is no 'significant' production (e.g. Kenya—which we assumed means only craft).</p>
3.3	PoA II.6	To identify, where applicable, groups and individuals engaged in the <b>illegal manufacture</b> , trade, stockpiling, transfer, possession, as well as financing for acquisition, of illicit small arms and light weapons, and take action under appropriate national law against such groups and individuals.		<p>Has the state established illegal manufacturing of small arms as a criminal offence?</p>	<p>✓ States were awarded a full point if they: reported they have criminalized the illegal manufacture of small arms; or gave details of criminal penalties applicable to illegal manufacture; or indicated that small arms legislation included manufacturing controls, and that criminal penalties exist for breaches of the legislation.</p> <p>✗ States received no points if they merely indicated they have taken action against illicit manufacturers. The reason for this is twofold: (1) they received a point for such information under the next question (3.3); and (2) such information was not considered sufficient to indicate whether they had instituted <i>criminal</i> proceedings against perpetrators.</p>
				<p>Has the state taken action against any group or individual(s) engaged in illegal manufacturing of small arms (e.g. through prosecution)?</p>	<p>✓ States were awarded a full point if they reported they have identified and/or taken action against groups or individuals engaged in illegal manufacturing of small arms (e.g. through 'investigations', 'arrests', 'prosecutions', or the provision of statistics on the number of persons arrested or caught in the context of illegal manufacture).</p> <p>N/A If a state reported that no illegal manufacture has taken place on its territory, or <i>did not mention</i> whether groups or individuals have been prosecuted, this question was marked as 'not applicable'.</p>
				<b>Subtotal of section 3</b>	<b>3</b>

PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
<b>4</b>	<b>Marking</b>			
	<b>Nature of the markings</b>			
4.1	<p>ITl para. 7 &amp; 8</p> <p>The choice of methods for marking small arms and light weapons is a national prerogative. States <b>will ensure</b> that, whatever method is used, all marks required under this instrument are on an exposed surface, conspicuous without technical aids or tools, easily recognizable, readable, durable and, as far as technically possible, recoverable.</p>	<p>(Primary commitment): Does the state require that marks made on a small arm at the time of manufacture, at the time of transfer from government stockpiles to civilian use, in the possession of government armed and security forces, or marks made on illicit small arms found on its territory are 'on an exposed surface, conspicuous without technical aids or tools, easily recognizable, readable, durable and, as far as technically possible, recoverable'?</p>	<p>States were awarded a full point if they used any of the phrases or words contained in paragraph 7 of the ITI (e.g. 'durable', 'recoverable'), or if they indicated marks are <i>permanent</i> or made in such a way as to make them recoverable. E.g., 'unique, reliable, visible, distinct and easily recognizable' (e.g. Pakistan).</p> <p>States that <b>provided information on the method of marking</b> (e.g. <b>stamping, engraving or laser</b>) only received a point if they also indicated that they <b>ensured marks are durable, permanent etc.</b> (e.g. India).</p>	1
	<b>Location of the markings</b>			
4.2 & 4.3	<p>ITl para. 10</p> <p>States <b>will ensure</b> that every small arm or light weapon always receives the unique markings prescribed in subparagraph 8(a) above. A unique marking should be applied to an essential or structural component of the weapon where the component's destruction would render the weapon permanently inoperable and incapable of reactivation, such as the frame and/or receiver, in compliance with paragraph 7 above. States <b>are encouraged</b>, where appropriate to the type of weapon, also to apply the marking prescribed in subparagraph 8(a) above or other markings to other parts of the weapon such as the barrel and/or slide or cylinder of the weapon, in order to aid in the accurate identification of these parts or of a given weapon.</p>	<p>(Primary commitment): Does the state require unique markings to be applied to an essential or structural component of the weapon (e.g. the frame or the receiver)?</p> <p>(Encouraged practice): Does the state require markings to be made on the barrel and/or slide or cylinder of the weapon?</p>	<p>States were awarded a full point if they indicated that markings are applied to an 'essential' or 'structural' component of a weapon, or if they specifically mentioned that they mark the 'frame' or 'receiver', (the body, chamber, cylinder, breech block, and barrel—e.g. India), or 'housing' (e.g. Iceland).</p> <p>States that indicated markings are applied to the barrel and/or slide or cylinder of the weapon, as per the encouraged practice outlined in the second sentence to paragraph 10 of the ITI, were awarded a full point. In this context, it was deemed sufficient if the state indicated it marks 'accessories' as well as essential parts or substantial components (e.g. Liechtenstein and Switzerland), or reported that 'various parts' are marked (New Zealand).<sup>18</sup></p>	1

Marking at manufacture	
4.4	<p>IT1 para. 8(a)</p> <p><b>States will:</b> (a) At the time of manufacture of each small arm or light weapon under their jurisdiction or control, <i>either require unique marking, providing the name of the manufacturer, the country of manufacture and the serial number, or maintain any alternative unique user-friendly marking with simple geometric symbols in combination with a numeric and/or alphanumeric code, permitting ready identification by all States of the country of manufacture; and encourage the marking of such additional information as the year of manufacture, weapon type/model and calibre.</i></p>
4.5	<p>(Applicability question): Does the state <i>not</i> manufacture or produce small arms (i.e. there is no process for marking arms at manufacture because the state does not manufacture small arms)?</p> <p>(Primary commitment): Does the state require small arms to be marked at the time of manufacture?</p> <p>a) If the answer is <b>yes</b>, a full point was awarded.</p> <p>b) If the report indicates that the state is willing to mark small arms and light weapons at manufacture but <b>does not have the capacity</b> to do so (e.g. it has no marking machines), <b>and</b> that it has <b>requested assistance</b> in this regard, a half point was awarded.</p>
	<p>N/A If a state indicated it does not manufacture arms or that small arms manufacture was prohibited, the requirement to mark small arms at the time of manufacture was considered 'not applicable'. Accordingly, the points applicable to the section in the score-sheet on marking at manufacture (4.5-4.11) were deducted from the state's maximum eligible score <b>unless</b> it reported that, even though it does not manufacture small arms, it has legislation or regulations requiring manufacturers to apply all the markings required under the IT1 at the time of manufacture, <b>and</b> provided sufficient information to earn it all the available points under the marking commitments relating to manufacture (e.g. Uruguay).</p> <p>The requirement to mark at the time of manufacture was also considered 'not applicable' to states that claimed no formal small arms production activity takes place on their territories, and/or that they only accommodated craft, 'local', or artisanal production.<sup>9</sup></p> <p>✓ States were awarded a full point if they indicated that firearms are marked at the time of manufacture, even if there are no regulations requiring this (e.g. France; legislation is under development in New Zealand).</p> <p>✘ States were <i>not</i> awarded points with respect to marking commitments if they simply indicated that they mark weapons in accordance with regional or international obligations generally, without being more specific (e.g. Sudan). Additionally, the comment that marking 'should be the responsibility of the manufacturers' (e.g. Thailand) was <i>not</i> considered compatible with the requirement to ensure that manufacturers mark small arms at the time of manufacture.</p> <p>✓ If a state: (1) indicated that it is not able to mark weapons at the time of manufacture, or (2) indicated that it does not have the capacity to do so <i>and</i> has requested assistance in this regard, <i>and/or</i> (3) included such a request in its national report, it received a half point.</p>
	<p>1</p>

PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
<b>Content of marking</b>				
<i>Mandatory markings</i> <sup>20</sup>				
4.6	ITI para. 8(a)	(Subsidiary commitment): Does the state require that markings made at the time of manufacture include the <i>name of the manufacturer</i> ?	<ul style="list-style-type: none"> <li>States were awarded a half point if they reported that manufacturers must mark small arms with the name or 'identity' of the manufacturer, or the manufacturer's 'trademark' at the time of manufacture.</li> </ul>	0.5
4.7	ITI para. 8(a)	(Subsidiary commitment): Does the state require that markings made at the time of manufacture include the <i>country of manufacture</i> ?	<ul style="list-style-type: none"> <li>States were awarded a half point if they specifically reported they ensured weapons were marked at the time of manufacture with information including the <i>country of manufacture</i> or place of manufacture.</li> <li>Although in some instances if a weapon is marked with the name of the manufacturer this will indicate the country of manufacture, states were not awarded the applicable half point here if they reported that weapons must be marked with the name of the manufacturer unless they expressly report that the country of manufacture must be indicated. As noted by Peru, a manufacturer can have factories in more than one country (licensed production), and so a mark indicating the name of the manufacturer is not sufficient to indicate the country of manufacture (and fulfil the ITI commitment).</li> </ul>	0.5
4.8	ITI para. 8(a)	(Subsidiary commitment): Does the state require that markings made at the time of manufacture include a <i>serial number</i> ?	<ul style="list-style-type: none"> <li>States were awarded a half point if they reported that manufacturers must mark small arms with a serial number or numerical 'code' at the time of manufacture.</li> </ul>	0.5
<b>Additional markings</b>				
4.9	ITI para. 8(a)	(Encouraged practice—Additional markings): Does the state require that markings made at the time of manufacture include the <i>year of manufacture</i> ?	<ul style="list-style-type: none"> <li>States were awarded a quarter point if they reported that they require that markings made at the time of manufacture include the year of manufacture.</li> <li>States were also awarded a quarter point if they indicated that small arms manufactured on their territories must be proof-marked (since proof marks indicate the year of proofing) (e.g. Austria).</li> </ul>	0.25
4.10	ITI para. 8(a)	(Encouraged practice—Additional markings): Does the state require that markings made at the time of manufacture include the <i>weapon type or model</i> ?	<ul style="list-style-type: none"> <li>States were awarded a quarter point if they reported that they require that markings made at the time of manufacture include information on the weapons type or model.</li> </ul>	0.25

4.11	ITI para. 8(a)		<p><u>Encouraged practice</u>— Additional markings: Does the state require that markings made at the time of manufacture include the calibre?</p>	<p>✓ States received a quarter point if they reported that they require markings made at the time of manufacture to include (information on) the calibre.</p>	0.25
<b>Marking at import</b>					
4.12	ITI para. 8(b)	<p>States will: (b) <b>require to the extent possible</b> appropriate simple marking on each imported small arm or light weapon, permitting identification of the country of import and, where possible, the year of import and enabling the competent authorities of that country to trace the small arm or light weapon; and require a unique marking, if the small arm or light weapon does not already bear such a marking. The requirements of this subparagraph need not be applied to temporary imports of small arms and light weapons for verifiable, lawful purposes, nor for the permanent import of museum artefacts.</p>	<p><u>(Applicability question):</u> Does the state indicate it does not import small arms (i.e. there is no process for marking arms at import because the state does not import small arms)?</p>	<p>N/A If a state indicated it (1) does not mark arms at the time of import; (2) does not import arms and therefore the provisions regarding marking at import were not applicable; or (3) does not import small arms unless they are already marked with a unique marking, questions 4.13 to 4.16 were considered 'not applicable'.</p>	
4.13			<p><u>(Primary commitment):</u> Does the state require that small arms be marked at the time of (upon) import? a) If the answer is <b>yes</b>, a full point was awarded.</p>	<p>✓ States were awarded a full point if: (1) they reported that imported small arms are marked at the time of import with the country of import and/or the year of import; (2) they answered 'yes' to question 6.13 of the revised UNIDIR reporting template and included information on the import markings applied; (3) they indicated they have a marking system for imported weapons (e.g. Thailand reported it had its 'own system of gun marking for imported guns'); (4) they indicated imported arms must be marked by the importer (e.g. Germany) or the distributor (e.g. Austria); (5) they indicated that imported weapons must be marked by the manufacturer with import markings (e.g. Colombia—'import year'; Brazil—name of the importer).</p> <p>✓ States were awarded a half point if they indicated that weapons are not imported <i>unless</i> they bear manufacture markings.</p> <p>✗ States received zero points if they merely reported that 'imported arms are marked', as this was considered too ambiguous and could imply that the state ensured imported arms bear manufacture markings or that they apply import markings to imported arms.</p>	1

	PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
			b) If the report indicates that the state is willing to mark small arms and light weapons at manufacture but <b>does not have the capacity</b> to do so (e.g. it has no marking machines) <i>and</i> that it has <b>requested assistance</b> with marking, it received a half point.	<ul style="list-style-type: none"> <li>✓ States that indicated they lack capacity to mark imported arms, <i>and/or</i> that they have requested assistance in this regard, were awarded a half point.</li> <li>✗ States received zero points if they simply indicated they require assistance with marking generally.</li> </ul>	
		<b>Content of marking</b>			
4.14	ITI para. 8(b)		(Subsidiary commitment): Does the state require that markings made at the time of import include the <i>country of import</i> ?	<ul style="list-style-type: none"> <li>✓ States were awarded a half point if they specifically reported that: (1) they ensure weapons are marked at the time of import with the name of the country of import; (2) they ensure weapons are marked at the time of import with letters or initials indicating the country of import; 3) they ensure weapons are marked at the time of import with the address of the importer, and that this includes sufficient information to indicate the country of import (e.g. the United States requires that the 'city and state of the importer' be marked. This would provide sufficient information to identify the country of import).</li> </ul>	0.5
4.15	ITI para. 8(b)		(Subsidiary commitment): Does the state require that markings made at the time of import include the <i>year of import</i> ?	<ul style="list-style-type: none"> <li>✓ States were awarded a half point if they specifically reported that they ensure weapons are marked at the time of import with the year of import.</li> </ul>	0.5
4.16	ITI para. 8(b)		(Subsidiary commitment): Does the state ensure that if an imported small arm does <i>not</i> bear a unique marking (i.e. marking providing the name of the manufacturer, the country of manufacture, and the serial number, or an alternative unique user-friendly marking with simple geometric symbols in combination with a numeric and/or alphanumeric code, permitting ready identification by all states of the country of manufacture), it requires a unique marking to be applied to the imported arm?	<ul style="list-style-type: none"> <li>✓ States were awarded a half point if they specifically reported they ensure that unmarked imported weapons are marked at some stage after they were imported.</li> <li>✗ States received zero points if they simply reported that 'unmarked weapons' are destroyed or that all small arms in the country must be marked (although this information was considered sufficient to indicate that the state ensures that arms held by the armed forces are marked).</li> </ul>	0.5
		<b>Marking of arms transferred from state stockpiles to civilian use</b>			
4.17	ITI para. 8(c)	States <b>will</b> : (c) <b>Ensure</b> , at the time of transfer from government stocks to permanent civilian use of a small arm	(Applicability question): Does the state indicate that arms from state stockpiles are <i>not</i> transferred to civilian use?	<p>N/A If a state explicitly indicated it does not transfer arms from state stockpiles to civilians, or that arms are never transferred from government stockpiles to civilian use, or that such transfers are prohibited, this question was considered 'not applicable' (e.g. Canada).</p>	

		<p>or light weapon that is not marked in a manner that allows tracing, the appropriate marking permitting identification of the country from whose stocks the transfer of the small arm or light weapon is made.</p>		<p>Does the state ensure that small arms transferred from state stockpiles to civilian use are marked? a) If the answer is <b>yes</b>, a half point was awarded.</p> <p>b) If a state reports it is willing to mark small arms and light weapons transferred from state stockpiles but <b>does not have the capacity</b> to do so (e.g. it has no marking machines) <i>and</i> that it has <b>requested assistance</b> with marking, it received a quarter point.</p>	<p>✓ States were awarded a full point if they indicated that they mark small arms transferred from government stockpiles to permanent civilian use (regardless of whether they specified that the markings must indicate the country transferring the stocks),<sup>1</sup> or if they replied 'yes' to question 18.2 of the revised UNODA reporting template.</p> <p>✓ If a state indicated it is not able to mark small arms transferred from state stockpiles, or that it does not have the capacity to do so, <i>and</i> that it has requested assistance with marking, <i>or</i> it included a request in this regard in its national report, a half point was awarded.</p>	1
4.18 & 4.19						1
4.20	<p>IT1 para. 8(d)</p> <p>States <b>will</b>: (d) Take all necessary measures to <b>ensure</b> that all small arms and light weapons in the possession of government, armed and security forces for their own use at the time of adoption of this instrument are duly marked.</p>	<p>Does the state ensure that small arms in the possession of the <b>armed forces</b> are marked? a) If the answer is <b>yes</b>, a full point was awarded.</p>		<p>✓ States were awarded a full point if they reported that: (1) weapons held by 'the state', 'the armed forces', the army, or 'state-owned' firearms (e.g. Democratic Republic of the Congo) are marked or 'duly marked' (e.g. Israel and Japan); or (2) 'all' state weapons are marked; or (3) 'military' weapons are marked (e.g. Argentina). States were also awarded a full point if they indicated that 'all weapons procured' are properly marked (the inference being that the weapons are procured for the state). Where a state said all government-held weapons are marked, or that government and security forces' weapons are marked, but did not specify whether these arms are held by the armed forces or police, they were considered to include weapons held by the army and police or governmental agencies (e.g. Former Yugoslav Republic of Macedonia and Guatemala); if states reported they record the markings on armed services weapons (e.g. Kenya), this was considered sufficient to indicate that state-held weapons are marked. Where states reported that <i>all</i> weapons in the country must be marked this was considered sufficient to indicate that armed forces' weapons are marked. The corresponding full point was not, however, awarded for the marking of police weapons (see below), as it was not considered 'fair' to award points to both the armed forces and police based on such vague information</p> <p>✗ <i>if, for example, a state reported that all unmarked weapons in the country are considered illegal, or that holders of unmarked weapons are subject to criminal sanctions, this information was not considered sufficient to indicate that all state-held weapons must be marked (e.g. Fiji).</i></p>	1	

PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
4.21		<p>b) If a state reports it is willing to mark small arms and light weapons held by the armed forces but <b>does not have the capacity</b> to do so (e.g. it has no marking machines), <i>and</i> that it has <b>requested assistance</b> with marking, a half point was awarded.</p> <p>Does the state require or ensure that small arms held by or in the possession of the <b>police</b> are marked?</p> <p>a) If the answer is <b>yes</b>, a full point was awarded.</p>	<p>✓ If a state indicated it is not able to mark small arms held by the armed forces, or does not have the capacity to do so, <i>and</i> that it has requested assistance with marking, or included a request in this regard in its national report, it was awarded a half point.</p> <p>✓ States were awarded a full point if they reported that weapons held by: 'the state', 'the police', or 'state security forces', are marked, or that 'all' state weapons are marked.</p> <p>✓ States were also awarded a point if they indicated that 'all weapons procured' are properly marked (the inference being that the weapons are procured for the state), or if they reported that all 'government' firearms are marked (e.g. Japan).</p> <p>Where a state used the revised PoA reporting template and replied 'yes' to question 18: '<i>Does your country take measures to ensure that all [small arms and light weapons] in the possession of government armed and security forces for their own use are duly marked?</i>' (emphasis added), it was awarded a full point for both armed forces and police.</p>	1
		<p>b) If a state indicates that it is willing to mark small arms held by the police but <b>does not have the capacity</b> to do so (e.g. it has no marking machines), <i>and</i> that it has <b>requested assistance</b> with marking, it received a half point.</p>	<p>✓ If a state indicated it is not able to mark small arms held by the police, or does not have the capacity to do so, <i>and</i> that it has requested assistance with marking, or included a request in this regard in its national report, it was awarded a half point.</p>	
<b>Measures to prevent the removal or alteration of markings</b>				
		<p>(Applicability question): Does the state indicate that it does not manufacture small arms?</p> <p>(Encouraged practice): Does the state encourage manufacturers to develop measures against the removal or alteration of markings?</p>	<p>N/A Where a state expressly indicated it does not manufacture small arms, this question was considered 'not applicable'.</p>	
ITI para. 8(e)	States will: (e) <b>Encourage</b> manufacturers of small arms and light weapons to develop measures against the removal or alteration of markings.		<p>✓ States were awarded a half point if: (1) they used the UNODA reporting template and replied 'yes' to question 19: '<i>Does your country encourage manufacturers of [small arms and light weapons] to develop measures against the removal or alteration of markings?</i>' (regardless of whether they provided details of the measures introduced);</p>	0.5



			<p>(2) they provided details of marking methods or technology developed to prevent tampering (e.g. Japan reported that it uses laser technology against tampering with markings; the United States reported that manufacturers are required by law to ensure that all markings are made to a specific standard height and depth so as to be resistant to alteration, obliteration, or sanitization; and that the US Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) cooperates with the firearms industry to update and expand these measures as appropriate, in accordance with the ITI and as new technology and methods become available).</p> <p>✘ States received zero points if they indicated in their response to the UNODA question that they have criminalized the removal or alteration of markings. While criminalization might deter or prevent the removal of markings, it is not commensurate with encouraging manufacturers to develop measures against the removal of markings, as required under paragraph 8(e) of the ITI.</p>	
<b>Marking and recording, or destruction, of illicit weapons</b>				
4.23		(Applicability question): Does the state indicate that it has not/never found illicit arms on its territory?	N/A If a state reported it has not found illicit small arms on its territory, this question was considered 'not applicable'.	
4.24	ITI para. 9; PoA II.16	Does the state ensure that illicit small arms found on its territory (or small arms that are confiscated, seized, or collected) are uniquely marked and recorded (or registered), or destroyed?	<p>✓ A state was awarded a full point if it indicated that illicit small arms found on its territory are (1) marked and recorded; (2) destroyed; or (3) marked and recorded and/or destroyed; or (4) provided information about weapons seized or confiscated and destroyed.</p> <p>✓ A state was awarded a half point if it indicated that illicit small arms found on its territory are marked or recorded.</p> <p>✘ States were not awarded a point for destruction if they indicated the latter was pending and had not yet occurred (e.g. Benin, Guinea).</p>	1
4.25	ITI para. 9	Pending such marking, and recording in accordance with section IV of this instrument, or destruction, these small arms and light weapons will be securely stored	<p>✓ States were awarded a full point if they gave information indicating that seized, collected, and confiscated arms are stored pending further action (destruction or disposal), and that included details on who stores the weapons (e.g. police, military, or courts' (e.g. Benin), or on how the weapons are stored (e.g., in France, arms seized as part of judicial procedures are sealed as evidence and kept in the custody of the court); if they indicated confiscated arms are 'supervised' (e.g. Kenya); or if in response to question 13.2 of the UNODA reporting template: 'What action was taken with respect to the [small arms and light weapons] found, seized/d] or confiscated?' they checked the box labelled 'Store securely pending further action'.</p>	1

PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
<b>Information exchange</b>				
4.26	<p>ITI para. 31(b), PoA III.12</p> <p><b>Submit information on national marking practices to UNODA</b></p> <p>(ITI para. 31(b)) States will, as soon as possible after the adoption of this instrument, provide the Secretary-General, through the Department for Disarmament Affairs of the Secretariat, with the following information, updating it when necessary: [..] (b) National marking practices relating to markings used to indicate country of manufacture and/or country of import as applicable.</p> <p><b>Exchange information on national marking systems</b></p> <p>(PoA III.12) States are encouraged to exchange information on a voluntary basis on their national marking systems on small arms and light weapons.</p>	<p>Has the state submitted information to UNODA on its national marking practices related to markings used to indicate country of manufacture and/or country of import, as applicable? Or has the state shared information specifically with other countries or organizations?</p>	<p>✓ States that reported they have submitted information to UNODA on the markings they use to identify the country of manufacture, or on how they indicate the country of manufacture (e.g., Romania stamps the letters 'RO' on weapons to indicate Romania is the country of manufacture), were awarded a full point.</p> <p>✓ States that reported they share information specifically on their national marking systems with other countries or organizations also received a full point.</p>	1
			<b>Subtotal of section 4</b>	<b>14.25</b>
<b>5 Record-keeping</b>				
<b>Records of manufacture/manufacturing records</b>				
5.1	<p>PoA II.9, ITI para. 12(a)</p> <p>(PoA II.9) To ensure that comprehensive and accurate records are kept for as long as possible on the <b>manufacture</b>, holding and transfer of small arms and light weapons under their jurisdiction. These records should be organized and maintained in such a way as to ensure that accurate information can be promptly retrieved and collated by competent national authorities.</p> <p>(ITI para. 12(a)) From the time of the adoption of this instrument, records pertaining to marked small arms and light weapons will, to the extent possible, be kept indefinitely, but in any case a State will ensure the maintenance of:</p> <p>(a) Manufacturing records for at least 30 years.</p>	<p>(Applicability question): Does the state manufacture small arms or are small arms manufactured in the state?</p>	<p>N/A As noted above, if a state reported it does not manufacture small arms (or that only craft manufacture exists on its territory), score-sheet questions 5.2 and 5.3 were considered 'not applicable'. If a state does not mention whether it manufactures such weapons, questions 5.2 and 5.3 were considered 'applicable'.</p>	

5.2	PoA II.9, ITI para. 12(a)		Does the state ensure that (comprehensive and accurate) records of manufactured small arms under their jurisdiction are kept?		0.5	<ul style="list-style-type: none"> <li>✓ States were awarded a half point if they reported that: (1) records of manufacture are kept; or (2) they keep records of manufactured small arms; or (3) manufacturers and licence holders are required to keep records of their transactions.</li> </ul>
<b>Duration</b>						
5.3	ITI para. 12(a)		Does the state mention for how long records of manufactured small arms must be kept? <ul style="list-style-type: none"> <li>a) States indicating that records of manufactured small arms must be kept <b>indefinitely</b> received a half point.</li> </ul>		0.5	<ul style="list-style-type: none"> <li>✓ If a state indicated that manufacturers must keep records or that records of manufactured small arms must be kept 'indefinitely' (or 'permanently'), it was awarded a half point.</li> <li>✗ States that simply reported they keep records for 'as long as necessary' (e.g. Philippines) did <i>not</i> qualify to receive the point allocated for keeping records 'indefinitely'.</li> <li>✗ No points were awarded to states that reported manufacturers must keep records for 10 years and then transfer them to the relevant authorities, but did not indicate for how long the authorities were required to keep the records (e.g. Switzerland).</li> <li>✗ Similarly, states that indicated their records were 'computerized' or stored 'electronically' were only awarded a half point if they confirmed that records stored in such ways were kept indefinitely or permanently.</li> </ul>
<b>Records of transfers</b>						
5.4	PoA II.9	To ensure that comprehensive and accurate records are kept for as long as possible on the manufacture, holding and transfer of small arms and light weapons under their jurisdiction. These records should be organized and maintained in such a way as to ensure that accurate information can be promptly retrieved and collected by competent national authorities.	Does the state ensure that (comprehensive and accurate) records of small arms transfers (e.g. imports or exports, or transfers from state stockpiles to permanent civilian use, or transfers from dealers to civilians) are kept?		0.5	<ul style="list-style-type: none"> <li>✓ Points were awarded to states that provided information on, inter alia: records they keep of export, import, or transit licences, or authorizations issued; requirements that dealers (and manufacturers) must keep records of sales and other transactions. Information on who keeps the records, and on what records are kept was also noted.</li> </ul>

PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
<b>Duration</b>				
5.5	PoA II.9, ITI para. 12(b) From the time of the adoption of this instrument, records pertaining to marked small arms and light weapons will, to the extent possible, be kept indefinitely, but in any case a State will ensure the maintenance of: [...] (b) All other records, including records of import and export, for at least 20 years.	Does the state mention for how long records of small arms transfers must be kept? a) If the state reports that records of small arms transfers must be kept ' <b>indefinitely</b> ', it received a half point. b) If the state indicates that records of small arms transfers must be kept for at least <b>20 years</b> , it received a half point.	<ul style="list-style-type: none"> <li>✓ If a state indicated that importers and exporters must keep records or that records of small arms transfers must be kept 'indefinitely' (or 'permanently'), it received a half point.</li> <li>✳ If a state reported that importers and exporters must keep records for a certain period of time and then hand them over to the relevant authorities, but did not indicate for how long the authorities are required to keep the records, no point was awarded. Similarly, states that indicated their records are 'computerized' or stored 'electronically' received zero points, unless they confirmed that records stored in such ways are kept indefinitely or permanently.</li> <li>✓ If a state indicated that importers and exporters must keep records or that records of small arms transfers must be kept for at least 20 years, it received a half point.</li> <li>✳ If a state indicated that records of transfers must be kept for a period less than 20 years, it was not awarded a half point, but the information was recorded.</li> </ul>	0.5
<b>Records of holdings or GENERAL</b>				
5.6	PoA II.9 To ensure that comprehensive and accurate records are kept for as long as possible on the manufacture, holding and transfer of small arms and light weapons under their jurisdiction. These records should be organized and maintained in such a way as to ensure that accurate information can be promptly retrieved and collated by competent national authorities.	Does the state ensure that [comprehensive and accurate] records of small arms holdings (e.g. small arms held by armed forces) are kept?	<ul style="list-style-type: none"> <li>✓ States were awarded a half point if they indicated that records of state holdings are kept (e.g. inventories of armed forces weapons), and/or if they indicated that records of civilian holdings are kept (e.g. a register of licensed individuals). Information on who keeps the records, and on what records are kept was also noted.</li> <li>A half point was also awarded in situations where the state <b>does not specify whether the records to be kept relate to 'manufacture', 'transfer', or 'holdings'</b>, but simply indicates that it keeps records of 'marked small arms' generally.</li> </ul>	0.5
<b>Duration</b>				
5.7	PoA II.9, ITI para. 12(b) From the time of the adoption of this instrument, records pertaining to marked small arms and light weapons will, to the extent possible, be kept indefinitely, but in any case a State will ensure the maintenance of: [...] (b) All other records, including records of import and export, for at least 20 years.	Does the state mention for how long records of small arms holdings must be kept? a) If the state indicates that records of small arms holdings must be kept ' <b>indefinitely</b> ', it received a half point.	<ul style="list-style-type: none"> <li>✓ States were considered to keep records of holdings 'indefinitely' and awarded a half point if they indicated that records (e.g. a register of civilian-held weapons and/or an inventory of state-held weapons) are kept 'indefinitely' or 'permanently'.</li> <li>✳ States were <b>not</b> considered to keep records of holdings 'indefinitely' if they reported they keep them 'for as long as possible' (e.g. Mexico, Paraguay); for 'as long as necessary' (e.g. Philippines); for 'as long as needed'; for 'as long as the law requires them' (e.g. Japan); or there was 'no time limit' (e.g. Austria, Iceland, Thailand); or 'the information</li> </ul>	0.5

				in the records does not expire' (e.g. Dominican Republic); or if states simply indicated that records are kept electronically or in computerized form (without specifying whether they were stored indefinitely); or that they keep records of state weapons for as long as they possess them and for one year after their disposal (e.g. Japan).	
			b) If the state indicates that records of small arms holdings must be kept for at least 20 years, it received a half point.	<ul style="list-style-type: none"> <li>✓ States were awarded a half point if they specified that records of holdings (e.g. a register of civilian-held weapons and/or an inventory of state-held weapons) are kept for at least 20 years.</li> <li>✗ If a state indicated that records of holdings must be kept for a period less than 20 years, it was not awarded a half point, but the information was recorded.</li> </ul>	
<b>Records kept by companies going out of business forwarded to state</b>					
5.8	ITI para. 13	States will require that records pertaining to small arms and light weapons held by companies that go out of business be forwarded to the State in accordance with its national legislation.	Does the state have national legislation requiring that records pertaining to small arms held by companies that go out of business be forwarded to the state?	<ul style="list-style-type: none"> <li>✓ If a state reported that companies that go out of business or cease trading are required to forward their records to the state; or that company records must be forwarded to the state as a matter of course, regardless of whether the company had ceased trading (e.g. Switzerland reports that manufacturers must keep records for 10 years and then hand them over to cantonal authorities); or answered 'yes' to question 20.3 of the revised UNODA reporting template, it was awarded a half point (regardless of whether it stipulated that the requirement for companies that cease trading to forward their records to the state is included in laws or regulations or 'in accordance with its national legislation', as required under paragraph 13 of the ITI).<sup>22</sup></li> </ul>	1
<b>Subtotal of section 5</b>					
<b>4</b>					
<b>6 Cooperation in tracing<sup>23</sup></b>					
6.1	PoA II.37, ITI para. 33	To encourage States and the World Customs Organization, as well as other relevant organizations, to enhance cooperation with the International Criminal Police Organization (Interpol) to identify those groups and individuals engaged in the illicit trade in small arms and light weapons in all its aspects in order to allow national authorities to proceed against them in accordance with their national laws. (ITI para. 33) States, where appropriate, will cooperate with the International Criminal Police Organization (Interpol) to support the effective implementation of this instrument.	Has the state cooperated with INTERPOL in the tracing of small arms?	<ul style="list-style-type: none"> <li>✓ States were awarded a full point if they mentioned INTERPOL in their report (regardless of whether they explicitly indicated they cooperate with INTERPOL in the tracing of small arms). States were also awarded a full point if they expressed willingness to cooperate with INTERPOL (e.g. Saudi Arabia) even if they have not yet done so because, e.g., they have not engaged in tracing or received tracing requests.</li> </ul>	1

PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
6.2	States, where appropriate, in accordance with Interpol's statutory rules, are encouraged to make full use of Interpol's mechanisms and facilities in implementing this instrument.	(Encouraged practice): Has the state used any INTERPOL mechanisms and facilities for tracing purposes (e.g., International Weapons and Explosives Tracking System database—IWETS, <sup>24</sup> INTERPOL Firearms Reference Table—IFRT, INTERPOL Firearms Trace Request).	✓ States were awarded a half point if they reported they have used IWETS and/or IFRT.	0.5
			Subtotal of section 6	1.5
<b>7 International Transfer</b>				
<b>Export (and re-export)</b>				
7.1	(PoA II.2) To put in place, where they do not exist, adequate laws, regulations and administrative procedures to exercise effective control over the production of small arms and light weapons within their areas of jurisdiction and over the export, import, transit or retransfer of such weapons, in order to prevent illegal manufacture of and illicit trafficking in small arms and light weapons, or their diversion to unauthorized recipients.  (PoA II.12) To put in place and implement adequate laws, regulations and administrative procedures to ensure the effective control over the export and transit of small arms and light weapons, including the use of authenticated end-user certificates and effective legal and enforcement measures.	Does the state have laws, regulations and administrative procedures governing the export (or re-export) of small arms?  a) If the answer is <b>yes</b> , a full point was awarded.	✓ States were awarded a full point if they reported they have laws, regulations, and/or administrative procedures governing the export of small arms. To receive the point, it was also sufficient for a state to indicate it has a 'law on trading in international goods' (e.g. Vietnam).	1
		b) If the state indicates such laws are <b>under development</b> (e.g. are being drafted or are under consideration by parliament), it received a half point.	✓ If a state reported it was in the process of considering, strengthening, or developing laws, regulations, and/or procedures to control the export, 're-export', or retransfer of small arms, or that such laws are 'under development', or that draft laws are under consideration, it received a half point.	

		<p>c) If the state indicates it does not have laws on export (or re-export) because it <b>requires assistance</b> to develop them and has <b>requested</b> it, a half point was awarded.</p>	<p>✓ If a state: (1) indicated that it does not have laws on the export or re-export of small arms or lacks capacity to establish or develop such laws, and that it requested assistance specifically for that purpose; and/or (2) includes a reference to that request in its national report(s), it received a half point.</p> <p>✘ <b>Zero points were awarded for mere expressions of willingness (e.g. 'we would like to have laws on export, but we don't have capacity').</b></p>		
		<p>d) If the state indicates it <b>prohibits</b> the export (or re-export) of small arms from its territory, it received a full point.</p>	<p>✓ If a state indicated that the export (or re-export) of small arms is prohibited under its national legislation, it was awarded a full point for having export controls in place.</p> <p>✘ This section was considered 'not applicable' to states that reported they prohibit the export of arms, but have procedures for re-export (e.g. Vietnam).</p>		
		<p>e) If the state indicates it <b>does not have laws</b> on export or re-export, or does not give information on whether it has such laws, it received zero points.</p>	<p>✘ If a state indicated it does not have laws on the export or re-export of small arms, no points were allocated, but the information was recorded.</p>		
7.2		<p>(Applicability question): Does the state indicate it does not export small arms?</p>	<p>N/A This section was considered 'not applicable' to states that expressly indicated they do not manufacture arms and therefore did not export (e.g. Togo); or reported that they prohibit the export or re-export of small arms.</p>		
7.3	PoA II.11	<p>Likewise, to establish or maintain an effective national system of export and import licensing or authorization, as well as measures on international transit, for the transfer of all small arms and light weapons, with a view to combating the illicit trade in small arms and light weapons.</p>	<p>Does the state require exports (or re-export) of small arms to be licensed or otherwise authorized by the state?</p>	<p>✓ States were awarded a full point if they reported that their export control system includes a requirement that the export of small arms be licensed or authorized by a competent authority.</p>	1
7.4	PoA II.11	<p>To assess applications for export authorizations according to strict national regulations and procedures that cover all small arms and light weapons and are consistent with the existing responsibilities of States under relevant international law, taking into account in particular the risk of diversion of these weapons into the illegal trade.</p>	<p>Does the state assess applications for export (or re-export) authorizations according to national regulations and procedures that are consistent with its responsibilities under international law?</p>	<p>✓ States were awarded a full point if they reported that: (1) they apply certain criteria to licensing decisions that take into account risks such as the diversion of arms into illegal trade or the use of arms to violate human rights in the destination country; or (2) they apply the criteria or standards agreed as part of a regional or multilateral framework such as the Wassenaar Arrangement or the EU Common Position when making a decision to authorize an export or grant an export licence; or (3) they assess or make licensing decisions in accordance with their existing international obligations (including the PoA).</p>	1

	PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
7.5	PoA II.12	To put in place and implement adequate laws, regulations and administrative procedures to ensure the effective control over the export and transit of small arms and light weapons, including the use of authenticated end-user certificates and effective legal and enforcement measures.	Does the state require authenticated end-user certificates (EUCs) as part of its export (or re-export) control/licensing system? a) If the state requires end-user certificates (EUCs) as part of its export (or re-export) control/licensing system, it received a quarter point.	✓ States were awarded a quarter point if they reported they require an EUC as part of their export control systems, or if they indicated that end-user documentation is used.	0.5
7.6			b) If the state requires and authenticates EUCs or only uses <i>authenticated</i> EUCs, it received a half point.	✓ If a state reported that EUCs are required as part of the export licensing process and that such EUCs were authenticated, 'verified', or 'certified' (Argentina) by its consular officials or representatives in the importing state, or that it ensures such EUCs are not forged or falsified, it was awarded a half point.  ✗ States received zero points if they simply reported that EUCs must be 'original'.	
7.7	PoA II.13	To make every effort, in accordance with national laws and practices, without prejudice to the right of States to re-export small arms and light weapons that they have previously imported, to notify the original exporting State in accordance with their bilateral agreements before the retransfer of those weapons.	Does the state notify the state that originally sold it the weapons (in accordance with their bilateral agreements) before it re-exports those weapons to another country?	✓ If a state indicated that it <i>always</i> , or <i>sometimes</i> (e.g. Denmark) notifies the original exporting state before re-exporting or retransferring small arms, or does so <i>if required</i> under the terms of or as a condition of the contract, or 'when necessary', it was awarded a full point.  ✗ States received zero points if they reported they require 'non-re-export' clauses in EUCs when exporting small arms, or that recipient states must notify them prior to re-exporting or retransferring the arms.	1
	<b>Import</b>				
7.8	PoA II.2	To put in place, where they do not exist, adequate laws, regulations and administrative procedures to exercise effective control over the production of small arms and light weapons within their areas of jurisdiction and over the export, import, transit or retransfer of such weapons, in order to prevent illegal manufacture of and illicit trafficking in small arms and light weapons, or their diversion to unauthorized recipients.	Does the state have laws, regulations, and administrative procedures governing the import of small arms into its territory? a) If the answer is <b>yes</b> , a full point was awarded.	✓ States were awarded a full point if they reported they have laws, regulations, and/or administrative procedures in place governing the import of small arms. To receive the point, it was also sufficient for a state to indicate it has a 'law on trading in international goods' (e.g. Vietnam).	1



			<p>b) If the state indicates such laws are <b>under development</b> (e.g. are being drafted or are under consideration by parliament), it received a half point.</p> <p>c) If the state indicates it does not have laws on import because it <b>requires assistance</b> to develop them <i>and</i> has requested it, a quarter point was awarded.</p> <p>d) If the state indicates it <b>prohibits</b> the import of small arms and light weapons into its territory, it received a full point.</p> <p>e) If the report indicates the state <b>does not have laws</b> on import (or does not give information on whether it has such laws), zero points were awarded.</p>	<p>✓ If a state reported it is in the process of considering, developing, or strengthening laws, regulations, and/or procedures to control the import of small arms, or that such laws are 'under development', or that draft laws are under consideration, it was awarded a half point.</p> <p>✓ If a state: (1) indicated that it does not have manufacturing laws or lacks capacity to establish or develop laws on import, <i>and</i> (2) indicated that it has requested assistance specifically for that purpose, <i>and/or</i> (3) includes a reference to that request in its national report(s), it was awarded a half point.</p> <p>✗ Points were not awarded for mere expressions of willingness (e.g. 'we would like to have laws on import, but we don't have capacity').</p> <p>✓ If a state indicated that the import of small arms is prohibited under its national law, it was awarded a full point for having import controls in place.</p> <p>✗ If a state indicated it does <i>not</i> have laws on the import of small arms, no points were allocated, but the information was recorded.</p>	
7.9			(Applicability question): Does the state indicate it does not import small arms?	N/A This section was considered 'not applicable' to states that indicated they do not import small arms or that the import of small arms is prohibited.	
7:10	PoA II.11	Likewise, to establish or maintain an effective national system of export and import licensing or authorization, as well as measures on international transit, for the transfer of all small arms and light weapons, with a view to combating the illicit trade in small arms and light weapons.	Does the state require imports of small arms to be licensed or otherwise authorized by the state?	<p>✓ States were awarded a full point if they reported that their import controls include a requirement that the import of small arms be licensed or authorized by a competent authority.</p>	1



	PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
	<b>Transit</b>				
7:11	PoA II.2 & 12	(PoA II.2) To put in place, where they do not exist, adequate laws, regulations and administrative procedures to exercise effective control over the production of small arms and light weapons within their areas of jurisdiction and over the export, import, transit or retransfer of such weapons, in order to prevent illegal manufacture of and illicit trafficking in small arms and light weapons, or their diversion to unauthorized recipients.  (PoA II.12) To put in place and implement adequate laws, regulations and administrative procedures to ensure the effective control over the export and transit of small arms and light weapons, including the use of authenticated end-user certificates and effective legal and enforcement measures.	Does the state have laws governing the transit of small arms across its territory? a) If the answer is <b>yes</b> , a full point was awarded.	<p>✓ States were awarded a full point if they reported they have laws, regulations, and/or administrative procedures governing the transit of small arms. States that indicated they define 'export' to include transit, and have export controls in place, were also awarded a full point (e.g. Canada).</p> <p>✗ Information indicating that all 'transfers' are subject to authorization was <b>not</b> considered sufficient to confirm that transit must be authorized (e.g. South Korea).</p>	1
			b) If the state indicates such laws are <b>under development</b> (e.g. are being drafted or are under consideration by parliament), a half point was awarded.	<p>✓ If a state reported it is in the process of considering, developing, or strengthening laws, regulations, and/or procedures to control the transit of small arms, or that such laws are 'under development', or that draft laws are under consideration, it was awarded a half point.</p>	
			c) If the state indicates it does not have laws on transit because it <b>requires assistance</b> to develop them <i>and</i> has <b>requested it</b> , a quarter point was awarded.	<p>✓ If a state: (1) indicated that it does not have laws on transit or it lacked capacity to establish or develop such laws, <i>and</i> (2) indicated that it has requested assistance specifically for that purpose, <i>and/or</i> (3) includes a reference to that request for assistance in its national report(s), it received a quarter point.</p> <p>✗ Points were not awarded for mere expressions of willingness (e.g. 'we would like to have laws on manufacturing, but we don't have capacity').</p>	
			d) If the state indicates it <b>prohibits</b> the transit of small arms and light weapons across its territory, a full point was awarded.	<p>✓ If a state indicated that the transit of small arms across its territory is prohibited under its national law, it received a full point for having transit controls in place, and the remainder of the transit commitments were considered 'not applicable' (e.g. Papua New Guinea reported that the import of weapons was prohibited, and that transit was therefore 'illegal').</p>	

7:12			e) If the state indicates it <b>does not have laws</b> on transit (or does not give information on whether it has such laws), it received zero points.	(Applicability question): Does the state indicate it prohibits or does not permit the transit of small arms across its territory?	✘ If a state indicated it <b>does not have laws on the transit of small arms across its territory, no points were allocated, but the information was recorded.</b>	
7:13	PoA II:11	Likewise, to establish or maintain an effective national system of export and import licensing or authorization, as well as measures on international transit, for the transfer of all small arms and light weapons, with a view to combating the illicit trade in small arms and light weapons.	Does the state require the transit of small arms to be licensed or otherwise authorized by the state?	Does the state require authenticated end-user certificates (EUCs) as part of its transit control/licensing system? a) If the state simply indicates it requires end-user certificates (EUCs) as part of its transit control/licensing system, a quarter point was awarded.	N/A This section was considered 'not applicable' to states that indicated they do not permit the transit of arms across their territories, or that prohibit the transit of arms.	1
7:14	PoA II:12	To put in place and implement adequate laws, regulations and administrative procedures to ensure the effective control over the export and transit of small arms and light weapons, including the use of authenticated end-user certificates and effective legal and enforcement measures.	Does the state require authenticated end-user certificates (EUCs) as part of its transit control/licensing system, a quarter point was awarded.	Does the state require authenticated end-user certificates (EUCs) as part of its transit control/licensing system? a) If the state simply indicates it requires end-user certificates (EUCs) as part of its transit control/licensing system, a quarter point was awarded.	✓ States were awarded a full point if they reported that the transit of small arms across their territories must be licensed or authorized by a competent authority.	0.5
7:15			b) If the state requires and authenticates EUCs or only uses authenticated EUCs, it received a half point.	b) If the state requires and authenticates EUCs or only uses authenticated EUCs, it received a half point.	✓ If a state reported that EUCs are required as part of the transit control system <i>and</i> that EUCs are authenticated, 'verified', or 'certified' by its consular officials or representatives in the importing state, or that it ensures EUCs are not forged or falsified, it was awarded a half point. ✘ States were not awarded a half point if they simply reported that EUCs must be 'original'.	

	PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
	<b>Other</b>				
7:16	PoA II.3	To adopt and implement, in the States that have not already done so, the necessary legislative or other measures to establish as criminal offences under their domestic law the illegal manufacture, possession, stockpiling and trade of small arms and light weapons within their areas of jurisdiction, in order to ensure that those engaged in such activities can be prosecuted under appropriate national penal codes.	Has the state established the illegal <i>international</i> trade in small arms as a criminal offence?	<p>✓ States were awarded a full point if they: (1) reported they have criminalized the illegal trade in small arms at the international level (i.e. ensuring it is a criminal offence for any person under its jurisdiction to trade or sell small arms to overseas buyers without a licence); or (2) gave details of criminal penalties applicable to illegal manufacture; or (3) reported that their small arms legislation includes manufacturing controls, and that criminal penalties are in place for breaches of the relevant legislation.</p> <p>Note: A distinction was made between this commitment and the commitment reflected in question 12.5 of the scoring guidelines (below). A full point was awarded here for information on the criminalization of trade at the <i>international level</i> or on international transfers and smuggling across borders, while a full point was awarded under question 12.5 for information regarding the criminalization of trade at the <i>national or domestic</i> level. If the report did not specify, and simply responded 'trade', the full point was awarded here (7:16).</p> <p>✘ States were not awarded a point if they merely indicated that they have taken action against illicit manufacturers. The reason for this is twofold: (1) they received a point for such information under the next question (7:17); and (2) this information was not considered sufficient to indicate whether they have instituted <i>criminal proceedings against perpetrators</i>.</p>	1
7:17	PoA II.6	To identify, where applicable, groups and individuals engaged in the illegal [...] transfer, [...] of illicit small arms and light weapons, and take action under appropriate national law against such groups and individuals.	Has the state taken action against any group or individual(s) engaged in the illegal transfer of small arms (e.g. through prosecution)?	<p>✓ States were awarded a full point if they reported they have identified and/or taken action against any groups or individuals engaged in illegal (international) transfers of small arms, illicit trafficking, or smuggling (e.g. through 'investigations', 'arrests', 'prosecutions', or through the provision of statistics on the number of persons arrested or caught in the context of illegal transfers or illicit trafficking).</p> <p>✓ States were also awarded a half point here if they gave details of the agencies engaged in identifying and taking action against groups or individuals involved in illegal (international) transfers of small arms, and/or they indicated that these agencies are working to identify persons engaged in this illegal trade.</p> <p>N/A If a state reported there has been no illegal manufacture on its territory, or <i>did not mention</i> whether groups or individuals have been prosecuted, this question was marked 'not applicable'.</p>	1

7:18	PoA II:15	To take appropriate measures, including all legal or administrative means, against any activity that violates a United Nations Security Council arms embargo in accordance with the Charter of the United Nations.	Has the state adopted laws or taken other measures against activities that violate arms embargoes? a) If the answer is <b>yes</b> , a full point was awarded. b) If the state indicates such laws are <b>under development</b> (e.g. are being drafted or are under consideration by parliament), it received a half point. c) If the state indicates it does not have laws penalizing embargo violations because it <b>requires assistance</b> to develop them <i>and</i> has <b>requested it</b> , a quarter point was awarded.	<p>✓ If a state reported it was in the process of considering, developing, or strengthening legal and administrative measures against activities that violate arms embargoes, or indicated that such laws are 'under development', or that draft laws are under consideration, it was awarded a half point.</p> <p>✓ If a state: (1) indicated that it does not have laws or administrative measures against activities that violate arms embargoes, or lacks capacity to establish or develop such laws or measures, <i>and</i> (2) indicated that it has requested assistance specifically for that purpose, <i>and</i>/or (3) includes a reference to that request for assistance in any of its national report(s), a quarter point was awarded.</p> <p>✗ Points were not awarded for mere expressions of willingness (e.g. 'we would like to implement arms embargoes, but we don't have capacity').</p>	<p>✓ States were awarded a full point here if they: (1) provided details of legislation in place to implement UN or regional arms embargoes at the national level; or (2) reported that it is a criminal offence under its national laws to transfer arms in violation of an embargo; or (3) gave details of penalties associated with activities involving arms embargo violations; or (4) indicated they respect and/or implemented arms embargoes in some other way.</p>	1
				<p>✓ If a state indicated that it prohibits or bans the transfer of small arms in violation of an arms embargo, it was awarded a full point.</p> <p>✗ If a state indicated it does <i>not</i> have laws or other measures to implement arms embargoes, no points were allocated, but the information was recorded.</p>		12
				Subtotal of section 7		12



	PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
<b>8</b>	<b>Brokering</b>				
8.1	PoA II.14	To develop adequate national legislation or administrative procedures regulating the activities of those who engage in small arms and light weapons brokering. This legislation or procedures should include measures such as registration of brokers, licensing or authorization of brokering transactions as well as the appropriate penalties for all illicit brokering activities performed within the State's jurisdiction and control.	(Primary commitment): Does the state have laws or procedures regulating brokering activities performed within its jurisdiction and control? a) If the answer is <b>yes</b> , a full point was awarded.  b) If the state indicates such laws are <b>under development</b> (e.g., are being drafted or are under consideration by parliament), it received a half point.  c) If the state indicates it does not have laws on brokering because it <b>requires assistance</b> to develop them <i>and</i> has <b>requested</b> it, a half point was awarded.  d) If the state indicates it <b>prohibits</b> brokering, it received a full point.  e) If the state indicates that brokering is <b>covered by other laws</b> , it received a full point.	<p>✓ States were awarded a full point if they indicated they have specific legislation governing brokering in place; that 'intermediaries' must be authorized (e.g. Monaco).</p> <p>✗ States were not given points if they simply reported e.g. that <i>dealers</i> must be licensed, unless they provided more information indicating that brokering activities are covered. Similarly, states were not awarded the point if they merely indicated that <i>customs brokers</i> are regulated (e.g. Moldova).</p> <p>✓ States were awarded a half point if they indicated that brokering controls are 'under development', or are being drafted or considered; or if they indicated they <i>will</i> develop brokering laws at some future date (e.g. as part of an exercise to harmonize or update their legislation in the future) (e.g. Burkina Faso), or that they will be addressed in a review of legislation (e.g. Ghana), or are being considered as part of a legislative review (e.g. Senegal).</p> <p>✗ States were not awarded points if they simply indicated that <b>authorities had 'discussed' brokering legislation</b> (e.g. Thailand).</p> <p>✓ If a state indicated that (1) it has no laws on brokering or lacks capacity to establish or develop them, <i>and</i> (2) it has requested assistance specifically for that purpose, <i>and/or</i> (3) a request for assistance was included in its national report(s), a half point was awarded.</p> <p>✗ Points were not awarded for mere expressions of willingness (e.g. 'we would like to have laws on brokering but we do not have capacity').</p> <p>✓ If a state indicated that brokering is prohibited under its national law, it was awarded a full point, and the question as to whether the state requires the registration of brokers and the licensing of brokering activities was thus labelled 'not applicable' (e.g. Eritrea, Ethiopia, and Mauritius).</p> <p>✓ States were awarded a full point if they indicated that, although they have no specific legislation on brokering, the latter is covered under other existing legislation such as export controls (e.g. Canada and New Zealand). In such instances, they were <i>not</i> awarded the points allocated under the subsidiary commitments to register brokers and licence each brokering transaction (even if they indicated that brokers conducting exports required export licences or authorization).</p>	1

			<p>f) If the state indicates it <b>does not have laws</b> on brokering (or does not give information on whether it has such laws), it received zero points.</p> <p>g) If the state indicates that there are <b>no brokers</b> on its territory or that <b>no brokering activities</b> are carried out, it received zero points.</p> <p>(Subsidiary commitment): <i>Registration of brokers</i> Does the state have a system of registering brokers (i.e. keeping records of the identity of persons engaged in brokering activities within its jurisdiction and control)?</p>	<p>✘ If a state indicated it does <i>not</i> have laws on brokering, no points were allocated, but the information was recorded.</p> <p>✘ States that reported there are no brokers or brokering activities on their territories were <i>not</i> awarded any points, nor were any provisions made 'not applicable' (even if states expressly indicated they did not need brokering laws since brokering did not exist on their territories). Such information was nonetheless recorded.</p> <p>✔ States were awarded a half point if they reported that brokers must be registered; or if they keep a record of authorized brokers, or a 'directory of suppliers' in the context of brokering (e.g. Colombia (our translation)).</p> <p>✘ States were <i>not</i> awarded the applicable point if they <i>merely</i> indicated that <i>dealers</i> must be registered (e.g. Uruguay).</p>	0.5
8.2	PoA II.14		<p>(Subsidiary commitment): <i>Licensing or authorization of brokering transactions</i> Does the state require brokering transactions involving small arms to be licensed or otherwise authorized by the state?</p>	<p>✔ States were awarded a half point if they reported that brokers require a licence or permit for each brokering activity; or if they indicated in general terms that brokers must obtain a licence or authorization (without specifying whether this applied to each brokering transaction).</p>	0.5
8.3	PoA II.14		<p>(Subsidiary commitment): <i>Appropriate penalties for illicit brokering activities</i> Has the state established penalties for illicit brokering activities?</p>	<p>✔ States were awarded a half point if they indicated they have criminalized illicit or unlawful brokering, or that these offences are covered under laws against illicit trafficking or smuggling (e.g. Papua New Guinea), or if they included penalties for illicit dealings under the heading of 'brokering' (e.g. New Zealand). Details of the applicable penalties were also recorded (but no additional points were awarded; states were not penalized for omitting this information).</p>	0.5
8.4	PoA II.14		<p>Has the state taken legal action against any group or individual(s) engaged in illegal financing for acquisition of small arms (e.g. through prosecution)?</p>	<p>✔ States were awarded a full point if they reported they have identified and/or taken action against any groups or individuals engaged in illicit brokering or illegal financing for acquisition (e.g. through 'investigations', 'arrests', 'prosecutions', or through the provision of statistics on the number of persons arrested or caught in the context of illicit brokering or financing for acquisition).</p>	1
8.5	PoA II.6	<p>To identify, where applicable, groups and individuals engaged in [...] financing for acquisition of illicit small arms and light weapons, and take action under appropriate national law against such groups and individuals.</p>	<p>N/A If a state reported that no illicit brokering or illegal financing for acquisition has taken place on its territory, or <i>does not mention</i> whether groups or individuals have been prosecuted in this regard, this question was marked as 'not applicable'.</p>		
				<b>Subtotal of section 8</b>	<b>3.5</b>

9	PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
<b>Stockpile management and security</b>					
9.1	PoA II.17	To ensure, subject to the respective constitutional and legal systems of States, that the armed forces, police or any other body authorized to hold small arms and light weapons establish adequate and detailed standards and procedures relating to the management and security of their stocks of these weapons. These standards and procedures should, inter alia, relate to: appropriate locations for stockpiles; physical security measures; control of access to stocks; inventory management and accounting control; staff training; security, accounting and control of small arms and light weapons held or transported by operational units or authorized personnel; and procedures and sanctions in the event of thefts or loss.	(Primary commitment): Has the state established standards and procedures for managing and ensuring the security of state stockpiles? a) If the answer is <b>yes</b> , a full point was awarded.	<ul style="list-style-type: none"> <li>✓ If a state reported it has stockpile management standards and procedures in place, or provided information on any one of the subsidiary commitments below, it received a full point.</li> <li>✗ If a state reported it has no stockpiles (e.g. Grenada), the assumption was made that it has no armed forces' stockpiles (possibly because it has no army), but that it does have stockpiles belonging to the police force or another law enforcement body.</li> </ul>	1
			b) If the state indicates it <b>does not have the capacity</b> to manage its stockpiles <i>and</i> that it has <b>requested assistance</b> in this regard, it received a half point.	<ul style="list-style-type: none"> <li>✓ If a state indicated that: (1) it did not have stockpile management procedures or lacked capacity to establish or develop them, <i>and</i> (2) it has requested assistance specifically for that purpose, <i>and/or</i> (3) a request for assistance was included in its national report(s), it received a half point.</li> <li>✗ Points were not awarded for mere expressions of willingness (e.g. 'we would like to have stockpile management procedures but we do not have capacity').</li> </ul>	
9.2	PoA II.17		(Subsidiary commitment): <i>Appropriate locations for stockpiles</i> Does the state ensure that stockpiles are located in appropriate places?	<ul style="list-style-type: none"> <li>✓ States were awarded a half point if they provided details of criteria they apply when assessing the location of stockpiles, such as ensuring they were away from the national boundaries and a safe distance from populated areas (e.g. Bulgaria); or are in a 'sound location' for stockpiles (e.g. DRC). States were also awarded a half point if they replied 'yes' to question 10 of the revised UNODA reporting template: 'Does your country have standards and procedures relating to the management and security of small arms and light weapons held by the armed forces, police or any other entity authorized to hold weapons?'; and ticked the box 'a) Appropriate locations for stockpiles' in question 10.1 regarding the provisions included in these standards and procedures.</li> </ul>	0.5



9.3	PoA II.17	<p><b>(Subsidiary commitment):</b> <i>Physical security measures</i></p> <p>Does the state have standards and procedures in place relating to the physical security measures it takes to ensure the security of its stockpiles (e.g. are the stockpiles guarded? Are they kept in locked warehouses? etc.)?</p>	<p>✓ States were awarded a half point if they provided details of physical security measures taken with respect to state stockpiles, including: guarding of stocks, locked warehouses, alarm systems, surveillance etc.; or if they simply indicated they ensure 'secure storage' of state weapons (e.g. Rwanda).</p> <p>✓ States were also awarded a half point if they replied 'yes' to question 10 of the revised UNODA reporting template: '<i>Does your country have standards and procedures relating to the management and security of small arms and light weapons held by the armed forces, police or any other entity authorized to hold weapons?</i>', and ticked the box 'b) Physical security measures' in question 10.1 regarding the provisions included in these standards and procedures.</p>	0.5
9.4	PoA III.17	<p><b>(Subsidiary commitment):</b> <i>Control of access to stocks</i></p> <p>Does the state have any restrictions in place on access to its stockpiles?</p>	<p>✓ States were awarded a half point if they reported that: (1) only authorized personnel had access to stockpiles; or (2) only one or a limited number of people had keys to the stocks; or (3) that persons who access stocks must be accompanied by an authorized person (e.g. Argentina).</p> <p>✓ States were also awarded a half point if they replied 'yes' to question 10 of the revised UNODA reporting template: '<i>Does your country have standards and procedures relating to the management and security of small arms and light weapons held by the armed forces, police or any other entity authorized to hold weapons?</i>', and ticked the box 'c) Control of access to stocks' in question 10.1 regarding the provisions included in these standards and procedures.</p>	0.5
9.5	PoA II.17	<p><b>(Subsidiary commitment):</b> <i>Inventory management and accounting control</i></p> <p>Does the state have standards and procedures in place for inventory management or accounting control of its stockpiles (e.g., through monthly stock-taking)?</p>	<p>✓ States were awarded a half point if they provided information on how often stocks are counted (daily, weekly, monthly, quarterly) and by whom; or if they indicated that stocks are 'monitored regularly' (Djibouti) or 'reviewed', or that 'spot checks' are conducted (e.g. Benin).<sup>55</sup></p> <p>✓ States were also awarded a half point if they replied 'yes' to question 10 of the revised UNODA reporting template: '<i>Does your country have standards and procedures relating to the management and security of small arms and light weapons held by the armed forces, police or any other entity authorized to hold weapons?</i>', and ticked the box 'd) Inventory management and accounting control' in question 10.1 regarding the provisions included in these standards and procedures.</p>	0.5
9.6	PoA II.17	<p><b>(Subsidiary commitment):</b> <i>Staff training</i></p> <p>Does the state have standards and procedures for staff training in stockpile management?</p>	<p>✓ States were awarded a half point if they provided details of specific training provided to staff—e.g. training on safe storage (e.g. Cambodia) or on stockpile management (e.g. Benin).</p> <p>✓ States were also awarded a half point if they replied 'yes' to question 10 of the revised UNODA reporting template: '<i>Does your country have standards and procedures relating to the management and security of small arms and light weapons held by the armed forces, police or any other entity authorized to hold weapons?</i>', and ticked the box 'e) Staff training' in question 10.1 regarding the provisions included in these standards and procedures.</p>	0.5

	PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
9.7	PoA II.17		(Subsidiary commitment): <i>Security, accounting and control of small arms and light weapons held or transported</i>  Does the state have standards and procedures in place to ensure that state stockpiles are kept secure during transport?	<ul style="list-style-type: none"> <li>States were awarded a half point if they gave information indicating they have standards and procedures in place to ensure that stocks are kept secure during transport—e.g. police escorts accompany trucks carrying stocks (e.g. Philippines).</li> <li>States were also awarded a half point if they replied ‘yes’ to question 10 of the revised UNODA reporting template: <i>‘Does your country have standards and procedures relating to the management and security of [small arms and light weapons] held by the armed forces, police or any other entity authorized to hold weapons?’</i>, and ticked the box ‘f) Security, accounting and control of small arms and light weapons held or transported by operational units or authorized personnel’ in question 10.1 regarding the provisions included in these standards and procedures.</li> </ul>	0.5
9.8	PoA II.17		(Subsidiary commitment): <i>Procedures and sanctions in the event of theft or loss</i>  Does the state have procedures and sanctions or penalties that are applied in the event of theft or loss from state stockpiles?	<ul style="list-style-type: none"> <li>States were awarded a half point if they indicated that: (1) thefts and losses from state stockpiles must be reported, e.g. to a superior or commanding officer; or (2) disciplinary action was taken with respect to losses or theft from stockpiles; or (3) sanctions existed for any breach of security procedures or instructions (e.g. New Zealand), or for non-compliance with safe storage requirements (e.g. Indonesia).</li> <li>States were also awarded a half point if they replied ‘yes’ to question 10 of the revised UNODA reporting template: <i>‘Does your country have standards and procedures relating to the management and security of [small arms and light weapons] held by the armed forces, police or any other entity authorized to hold weapons?’</i>, and ticked the box ‘g) Procedures in the event of theft or loss’ in question 10.1 regarding the provisions included in these standards and procedures.</li> </ul>	0.5
<b>Subtotal of section 9</b>					<b>4.5</b>
<b>10</b>	<b>Surplus<sup>26</sup>: identification and disposal</b>				
10.1	PoA II.18	To regularly review, as appropriate, subject to the respective constitutional and legal systems of States, the stocks of small arms and light weapons held by armed forces, police and other authorized bodies and to ensure that such stocks declared by competent national authorities to be surplus to requirements are clearly identified, that programmes for the responsible disposal, preferably through destruction, of such stocks are established and implemented and that such stocks are adequately safeguarded until disposal.	Does the state (regularly) review state-held stockpiles to identify weapons that are surplus to requirements?	<ul style="list-style-type: none"> <li>States were awarded a full point if they reported that they regularly review stocks to identify surplus, including ‘regular checks on serviceability’ (Lesotho); or if they provided details of how they determine whether they have surplus small arms.</li> </ul>	1

10.2	PoA II.18	To regularly review, as appropriate, subject to the respective constitutional and legal systems of States, the stocks of small arms and light weapons held by armed forces, police and other authorized bodies and to ensure that such stocks declared by competent national authorities to be surplus to requirements are clearly identified, that programmes for the responsible disposal, preferably through destruction, of such stocks are established and implemented and that such stocks are adequately safeguarded until disposal.	(Applicability question): Does the state indicate it does not have surplus?  How does the state dispose of surplus small arms?	<p>N/A If a state indicated it has 'no surplus' and has never had one, questions 10.2 to 10.4 were marked 'not applicable'.</p> <p>✖ If a state reported it has no surplus at present or during the reporting period, but included information that indicates it has systems in place for the disposal of surplus small arms, or gave details on the methods of destruction of past surpluses, it was <i>not</i> marked as 'not applicable' (e.g. Japan and Niger).</p> <p>✔ States that reported they destroy some or all small arms identified as 'surplus' or that gave details of surplus destruction activities in their national reports, were awarded a full point. If the state indicated it destroys 'stockpiles', it was assumed this related to surplus or obsolete weapons within stockpiles (e.g. Indonesia).</p> <p>If a state reported it disposes of surplus by means other than destruction, a record was kept of the disposal methods used (e.g. sale to another state; donation to another state; transfer to another state agency; sale to civilians; sale or transfer to legal entities (e.g. museums, private security companies, etc.)).</p>	1
10.3	PoA II.19	To destroy surplus small arms and light weapons designated for destruction, taking into account, inter alia, the report of the Secretary-General of the United Nations on methods of destruction of small arms, light weapons, ammunition and explosives (S/2000/1092) of 15 November 2000.	if the state destroys surplus weapons, does it use any of the destruction methods listed in the report of the Secretary-General on methods of destruction (S/2000/1092) of 15 November 2000?	<p>✔ If a state included information on the method of destruction used to destroy small arms (whether they be surplus or seized, confiscated, or collected weapons), and the method identified matched one of the methods listed in the report of the Secretary-General (burning or melting; open-pit detonation; cutting/shredding; bending/crushing; dumping at sea; burial on land), a full point was awarded.</p> <p>Information included in reports on quantities or estimates of surplus and surplus destruction was recorded, but no additional points were awarded.</p> <p>N/A If the state reported it does <i>not</i> destroy surplus, and disposes of it in some other way, this question was marked 'not applicable'.</p>	1
10.4	PoA II.18	To regularly review, as appropriate, subject to the respective constitutional and legal systems of States, the stocks of small arms and light weapons held by armed forces and police and other authorized bodies and to ensure that such stocks declared by competent national authorities to be surplus to requirements are clearly identified, that programmes for the responsible disposal, preferably through destruction, of such stocks are established and implemented and that such stocks are adequately safeguarded until disposal.	Does the state ensure that surplus stockpiles are safeguarded until their destruction or disposal?	<p>✔ States that reported that surplus stocks are placed in secure storage (e.g. Russian Federation), or are stored in the same way as other armaments (e.g. Romania), were awarded a full point.</p> <p>✔ States were also awarded a full point if they marked the option 'd) Store separately' in response to question 10.4 of the revised UNODA reporting template: '<i>When stocks are identified as surplus, what actions does your country take with regard to the surplus?</i>'</p>	1
				<b>Subtotal of section 10</b>	<b>4</b>

	PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
<b>11</b>	<b>Public awareness</b>				
11.1	PoA II.20	To develop and implement, including in conflict and post-conflict situations, public awareness and confidence-building programmes on the problems and consequences of the illicit trade in small arms and light weapons in all its aspects, including, where appropriate, the public destruction of surplus weapons and the voluntary surrender of small arms and light weapons, if possible, in cooperation with civil society and non-governmental organizations, with a view to eradicating the illicit trade in small arms and light weapons.	Has the state carried out any public awareness and confidence building programmes on the problems and consequences of the illicit trade in small arms and light weapons (e.g., public destruction of surplus weapons and the voluntary surrender of small arms)?	<ul style="list-style-type: none"> <li>✓ States were awarded a full point if they provided information on any awareness-raising activity that has taken place on their territory including: gun buybacks or collection programmes, public destruction ceremonies, civilian disarmament campaigns, and amnesties; campaigns to warn the public about the presence of illicit guns in their communities, or the misuses of weapons in the home.</li> <li>✓ States were also awarded a full point if they reported that they ensure all legislation and regulations governing small arms were made public; or if they have organized seminars to inform the public about their export control regimes.</li> <li>✗ States were not awarded a point for awareness-raising activities they may have participated in or contributed to in other countries.</li> </ul>	1
11.2	PoA II.20		Has the state conducted a campaign for the voluntary surrender of small arms (i.e. weapons are collected from civilians or ex-combatants, who hand them in voluntarily or in exchange for payment)?	<ul style="list-style-type: none"> <li>✗ Information in reports relating to the collection of small arms was recorded, but no additional points were awarded.</li> </ul>	
11.3	PoA II.20		Has the state held public ceremonies involving the destruction of surplus small arms?	<ul style="list-style-type: none"> <li>✗ Information in reports relating to public destruction ceremonies was recorded, but no additional points were awarded.</li> </ul>	
<b>12</b>	<b>Other</b>			<b>Subtotal of section 11</b>	<b>1</b>
<b>12.1</b>	PoA II.3	To adopt and implement, in the States that have not already done so, the necessary legislative or other measures to establish as criminal offences under their domestic law the illegal manufacture, possession, stockpiling and trade of small arms and light weapons within their areas of jurisdiction, in order to ensure that those engaged in such activities can be prosecuted under appropriate national penal codes.	Has the state established illegal possession of small arms as a criminal offence?	<ul style="list-style-type: none"> <li>✓ States were awarded a full point if they reported they have criminalized the illegal stockpiling of small arms at the national level; or they gave details of criminal penalties applicable to illegal stockpiling; or they indicated that their small arms legislation includes restrictions on stockpiling (or controls governing weapons storage), and that criminal penalties exist for breaches of the applicable legislation.</li> <li>✗ States received zero points if they merely indicated they have taken action against persons in unlawful possession of small arms. The reason for this is twofold: (1) they received a point for such information under the next question (12.2); and (2) this information was not considered sufficient to indicate whether they have instituted criminal proceedings against perpetrators.</li> </ul>	1

12.2	PoA II.6	To identify, where applicable, groups and individuals engaged in the illegal manufacture, trade, stockpiling, transfer, possession, as well as financing for acquisition, of illicit small arms and light weapons, and take action under appropriate national law against such groups and individuals.	Has the state taken action under appropriate national law against any group or individual(s) for illegal possession of small arms (e.g. through prosecution)?	<p>✓ States were awarded a full point if they reported they have identified and/or taken action against groups or individuals for illegal possession, 'acquisition', 'use', or 'carrying' of small arms (e.g. through 'investigations', 'arrests', 'prosecutions', or through the provision of statistics on the number of persons arrested or caught in the context of illegal possession).</p> <p>✓ States were also awarded the point if they indicated that 'few' persons or 'virtually no group or individual' has engaged in such activities, indicating they have taken some level of action against them (e.g. Fiji).</p> <p>N/A If a state reported that no incidents involving illegal possession have occurred on its territory, or <i>did not mention</i> whether groups or individuals have been prosecuted, this question was marked 'not applicable'.</p>	1
<b>Stockpiling</b>					
12.3	PoA II.3	To adopt and implement, in the States that have not already done so, the necessary legislative or other measures to establish as criminal offences under their domestic law the illegal manufacture, possession, <b>stockpiling</b> and trade of small arms and light weapons within their areas of jurisdiction, in order to ensure that those engaged in such activities can be prosecuted under appropriate national penal codes.	Has the state established illegal or illicit stockpiling of small arms as a criminal offence?	<p>✓ States were awarded a full point if they reported they have criminalized the illegal stockpiling of small arms at the national level; or gave details of criminal penalties applicable to illegal stockpiling; or indicated that their small arms legislation includes restrictions on stockpiling (or controls governing weapon storage), and that criminal penalties exist for breaches of the applicable legislation.</p> <p>✓ States were also awarded a full point if they indicated illegal stockpiling is covered under other laws (e.g. Germany—covered by legislation on illegal possession of small arms).</p>	1
12.4	PoA II.6	To identify, where applicable, groups and individuals engaged in the illegal manufacture, trade, <b>stockpiling</b> , transfer, possession, as well as financing for acquisition, of illicit small arms and light weapons, and take action under appropriate national law against such groups and individuals.	Has the state taken action under appropriate national law against any group or individual(s) engaged in illegal stockpiling of small arms (e.g. through prosecution)?	<p>✓ States were awarded a full point if they reported they have identified and/or taken action against any groups or individuals engaged in illegal stockpiling, 'storing' (or 'storage<sup>62</sup>') (e.g. through 'investigations', 'arrests', 'prosecutions', or through the provision of statistics on the number of persons arrested or caught in the context of illegal possession).</p> <p>N/A If a state reported that no incidents of illegal stockpiling have occurred on its territory, or <i>did not mention</i> whether groups or individuals have been prosecuted, this question was marked 'not applicable'.</p>	1

PoA/ITI source	PoA or ITI provision	Score-sheet question	Scoring criteria	Max. score
	<b>Trade</b>			
12.5	To adopt and implement, in the States that have not already done so, the necessary legislative or other measures to establish as criminal offences under their domestic law the illegal manufacture, possession, stockpiling and <b>trade</b> of small arms and light weapons within their areas of jurisdiction, in order to ensure that those engaged in such activities can be prosecuted under appropriate national penal codes.	Has the state established the illegal trade in small arms as a criminal offence?	<p>✓ States were awarded a full point if: (1) they reported they have criminalized the illegal trade in small arms at the national level (i.e. making it a criminal offence for any person to trade, deal in, or sell small arms without a licence); or (2) they gave details of criminal penalties applicable to illegal trade; or (3) they indicated that their small arms legislation includes controls governing gun dealers and retailers, and that criminal penalties exist for breaches of the applicable legislation.</p> <p>Note: A distinction was made between this commitment and the commitment reflected in question 7.16 of the scoring guidelines (above). A full point was awarded here for information on the criminalization of trade at the <i>national/or domestic</i> level, while a point was given under question 7.16 for information regarding the criminalization of trade at the <i>international level</i> or on international transfers and smuggling across borders. If the report did not specify the distinction, and simply said 'trade', the point was awarded under question 7.16.</p> <p>✗ States were not awarded a point if they merely indicated they have taken action against illicit traders. The reason for this is twofold: (1) they received a point for such information under the next question (12.7); and (2) this information was not considered sufficient to indicate whether they have instituted <i>criminal proceedings</i> against perpetrators.</p>	1
12.6	To identify, where applicable, groups and individuals engaged in the illegal manufacture, <b>trade</b> , stockpiling, transfer, possession, as well as financing for acquisition, of illicit small arms and light weapons, and take action under appropriate national law against such groups and individuals.	Has the state taken action against any group or individual(s) engaged in the illegal trade in small arms (e.g. through prosecution)?	<p>✓ States were awarded a point if they reported they have identified and/or taken action against any groups or individuals engaged in the illegal trade, 'distribution', 'sale', or 'dealing' of small arms (e.g. through 'investigations', 'arrests', 'prosecutions', or through the provision of statistics on the number of persons arrested or caught in the context of illegal trading).</p> <p>N/A If a state reported no incident of illegal trade have occurred on its territory, or <i>did not mention</i> whether groups or individuals have been prosecuted, this question was marked as 'not applicable'.</p>	1
			<b>Subtotal of section 12</b>	<b>6</b>

## Annexe B. PoAIM scores by theme and subregion

Theme	NCA	NPC	Manufacture	Marking	Record-keeping	Cooperation in tracing	International transfer	Brokering	Stockpiles	Surplus	Public awareness	Other	TOTAL SCORE
<b>AFRICA</b>													
<b>Eastern Africa</b>													
Burundi	100%	100%	100%	57%	50%	100%	68%	100%	89%	75%	100%	25%	70.21%
Comoros													
Djibouti	100%	50%	0%	7%	13%	67%	36%	0%	44%	0%	100%	33%	24.63%
Eritrea	100%	100%	100%	38%	17%	0%	31%	67%	56%	100%	100%	0%	50.00%
Ethiopia	100%	50%	83%	13%	0%	0%	60%	100%	44%	75%	100%	50%	46.91%
Kenya	100%	50%	100%	29%	17%	0%	64%	20%	56%	0%	100%	33%	45.35%
Madagascar	0%	0%	0%	0%	17%	67%	18%	0%	0%	0%	0%	0%	7.45%
Malawi	0%	50%	0%	29%	17%	0%	18%	0%	0%	50%	0%	0%	18.48%
Mauritius	0%	50%	0%	10%	17%	0%	36%	67%	11%	0%	0%	33%	20.00%
Mozambique	100%	100%	100%	57%	33%	67%	93%	0%	56%	75%	100%	100%	69.41%
Rwanda	100%	50%	50%	29%	17%	0%	67%	40%	33%	50%	100%	67%	44.71%
Seychelles													
Somalia													
Tanzania	100%	100%	100%	86%	100%	100%	73%	100%	33%	25%	100%	100%	78.87%

Theme	NCA's	NPC	Manufacture	Marking	Record-keeping	Cooperation in tracing	International transfer	Brokering	Stockpiles	Surplus	Public awareness	Other	TOTAL SCORE
Uganda	100%	50%	100%	21%	13%	67%	70%	20%	89%	75%	100%	67%	51.32%
Zambia	100%	50%	100%	0%	17%	100%	78%	0%	44%	75%	100%	100%	49.42%
Zimbabwe	100%	50%	50%	29%	67%	100%	73%	40%	44%	100%	100%	33%	54.65%
Average	79%	61%	63%	29%	28%	48%	56%	40%	43%	50%	79%	46%	44.45%
<b>Middle Africa</b>													
Angola	100%	50%	0%	14%	0%	67%	5%	0%	0%	25%	100%	25%	16.59%
Cameroon	0%	0%	50%	0%	0%	0%	9%	0%	0%	0%	0%	0%	3.94%
Central African Republic	0%	0%	50%	7%	0%	0%	0%	0%	0%	0%	100%	0%	5.91%
Chad	100%	50%	0%	0%	0%	0%	9%	0%	0%	0%	100%	0%	7.88%
Republic of the Congo	100%	0%	50%	10%	33%	0%	36%	0%	33%	0%	100%	33%	25.00%
Democratic Republic of the Congo	100%	50%	100%	29%	17%	100%	73%	60%	56%	75%	100%	100%	61.70%
Equatorial Guinea	100%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2.17%
Gabon	0%	50%	50%	0%	0%	0%	18%	0%	0%	0%	0%	25%	9.66%
São Tomé and Príncipe	50%	0%	100%	0%	13%	0%	18%	0%	22%	0%	0%	67%	15.76%
Average	61%	22%	44%	7%	7%	19%	19%	7%	12%	11%	56%	28%	16.51%
<b>Northern Africa</b>													
Algeria	100%	100%	100%	54%	75%	67%	96%	40%	56%	100%	100%	100%	78.48%
Egypt	50%	50%	100%	32%	38%	0%	39%	0%	67%	75%	100%	0%	40.89%
Libya	0%	50%	100%	0%	0%	0%	9%	0%	44%	0%	0%	33%	15.22%



Morocco	100%	100%	50%	38%	100%	100%	100%	50%	0%	100%	50%	0%	33%	55.32%
South Sudan														
Sudan	100%	25%	25%	7%	13%	67%	67%	14%	40%	0%	0%	100%	50%	19.32%
Tunisia	0%	50%	67%	0%	17%	0%	0%	53%	0%	33%	0%	0%	67%	28.92%
Average	58%	63%	74%	22%	40%	39%	43%	13%	32%	50%	38%	50%	47%	39.69%
<b>Southern Africa</b>														
Botswana	100%	100%	100%	52%	100%	100%	100%	68%	100%	100%	100%	100%	0%	75.00%
Lesotho	100%	25%	50%	33%	33%	67%	67%	53%	0%	56%	75%	100%	50%	47.13%
Namibia	100%	100%	25%	48%	67%	100%	100%	75%	20%	100%	75%	100%	0%	63.83%
South Africa	0%	50%	100%	40%	25%	0%	0%	45%	40%	67%	50%	100%	100%	48.77%
Swaziland	100%	0%	0%	10%	17%	0%	0%	18%	0%	0%	0%	100%	0%	11.96%
Average	80%	55%	55%	37%	48%	53%	52%	32%	32%	64%	60%	100%	30%	49.34%
<b>Western Africa</b>														
Benin	100%	100%	100%	68%	63%	100%	100%	71%	0%	56%	0%	100%	50%	66.50%
Burkina Faso	100%	100%	100%	66%	63%	67%	67%	67%	20%	100%	75%	100%	100%	76.12%
Cape Verde														
Côte d'Ivoire	100%	100%	100%	7%	25%	67%	67%	80%	20%	56%	50%	100%	100%	48.68%
Gambia	100%	50%	67%	0%	13%	0%	0%	45%	0%	11%	25%	100%	33%	25.12%
Ghana	100%	50%	100%	10%	33%	67%	67%	55%	20%	0%	0%	100%	100%	38.95%
Guinea	100%	50%	25%	24%	33%	0%	0%	40%	20%	33%	25%	100%	0%	30.59%
Guinea-Bissau	100%	50%	0%	7%	0%	0%	0%	0%	0%	0%	0%	100%	0%	7.88%
Liberia	100%	50%	67%	9%	0%	0%	0%	67%	0%	33%	50%	100%	33%	34.12%
Mali	100%	100%	100%	65%	100%	100%	100%	83%	100%	100%	100%	100%	33%	82.89%
Mauritania	0%	0%	0%	0%	0%	67%	67%	0%	0%	0%	0%	0%	0%	1.97%
Niger	100%	100%	83%	67%	67%	100%	100%	100%	10%	44%	75%	100%	0%	68.02%
Nigeria	100%	25%	0%	7%	0%	0%	0%	0%	0%	44%	0%	100%	0%	10.84%

Theme	NCS	NPC	Manufacture	Marketing	Record-keeping	Cooperation in tracing	International transfer	Brokering	Stockpiles	Surplus	Public awareness	Other	TOTAL SCORE
Senegal	100%	50%	100%	29%	33%	67%	80%	40%	89%	0%	100%	100%	63.07%
Sierra Leone	100%	100%	75%	61%	63%	0%	60%	20%	100%	75%	100%	75%	66.84%
Togo	100%	50%	25%	43%	33%	100%	40%	0%	89%	0%	100%	100%	51.90%
Average	93%	65%	63%	31%	35%	49%	52%	17%	50%	32%	93%	48%	44.90%
<b>AMERICAS</b>													
<b>Caribbean</b>													
Antigua and Barbuda	100%	100%	100%	47%	67%	13%	71%	100%	100%	100%	0%	0%	61.62%
Bahamas													
Barbados	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	50%	3.86%
Cuba	0%	50%	50%	17%	13%	67%	67%	0%	100%	0%	0%	67%	39.75%
Dominica													
Dominican Republic	0%	50%	33%	18%	33%	67%	36%	0%	0%	50%	100%	0%	27.37%
Grenada	0%	0%	50%	0%	0%	0%	36%	0%	0%	0%	0%	33%	13.04%
Haiti	100%	50%	0%	14%	13%	0%	27%	0%	0%	0%	100%	67%	20.69%
Jamaica	0%	50%	0%	29%	33%	67%	55%	40%	0%	0%	100%	33%	32.61%
Saint Kitts and Nevis													
Saint Lucia													
Saint Vincent and the Grenadines													
Trinidad and Tobago	100%	100%	100%	38%	67%	100%	73%	100%	100%	100%	100%	67%	75.00%
Average	38%	50%	42%	20%	28%	39%	46%	30%	38%	31%	50%	40%	34.24%

Central America											
<b>Belize</b>											
<b>Costa Rica</b>	0%	50%	21%	17%	0%	75%	0%	56%	0%	0%	38.10%
<b>El Salvador</b>	50%	50%	10%	17%	67%	67%	29%	56%	25%	100%	50.00%
<b>Guatemala</b>	100%	50%	52%	33%	67%	67%	20%	22%	0%	100%	52.17%
<b>Honduras</b>	100%	50%	10%	33%	0%	200%	60%	56%	50%	100%	52.05%
<b>Mexico</b>	100%	100%	89%	63%	67%	95%	100%	100%	100%	100%	91.96%
<b>Nicaragua</b>	100%	100%	89%	100%	67%	75%	80%	100%	75%	100%	85.33%
<b>Panama</b>	0%	100%	57%	33%	67%	73%	71%	100%	100%	100%	76.00%
<b>Average</b>	<b>64%</b>	<b>71%</b>	<b>47%</b>	<b>42%</b>	<b>48%</b>	<b>93%</b>	<b>51%</b>	<b>70%</b>	<b>50%</b>	<b>86%</b>	<b>63.66%</b>
South America											
<b>Argentina</b>	100%	50%	68%	100%	0%	91%	20%	67%	50%	100%	73.37%
<b>Bolivia</b>	50%	50%	10%	33%	0%	39%	0%	33%	0%	100%	26.63%
<b>Brazil</b>	50%	50%	68%	63%	0%	80%	40%	0%	25%	100%	62.33%
<b>Chile</b>	100%	50%	32%	25%	0%	57%	80%	33%	0%	100%	45.81%
<b>Colombia</b>	100%	100%	75%	75%	100%	89%	60%	33%	0%	100%	73.66%
<b>Ecuador</b>	100%	100%	75%	88%	0%	71%	100%	100%	100%	100%	82.94%
<b>Guyana</b>	50%	50%	38%	33%	0%	50%	0%	33%	50%	100%	39.53%
<b>Paraguay</b>	100%	100%	52%	33%	67%	58%	29%	33%	100%	0%	63.46%
<b>Peru</b>	100%	100%	38%	33%	100%	79%	20%	33%	100%	100%	67.35%
<b>Suriname</b>											
<b>Uruguay</b>	100%	50%	82%	67%	0%	68%	0%	33%	50%	100%	57.79%
<b>Venezuela</b>	50%	50%	18%	75%	0%	95%	80%	22%	75%	100%	61.05%
<b>Average</b>	<b>82%</b>	<b>68%</b>	<b>51%</b>	<b>57%</b>	<b>24%</b>	<b>71%</b>	<b>39%</b>	<b>38%</b>	<b>50%</b>	<b>91%</b>	<b>59.45%</b>

Theme	NCA's	NPC	Manufacture	Marketing	Record-keeping	Cooperation in tracing	International transfer	Brokering	Stockpiles	Surplus	Public awareness	Other	TOTAL SCORE
<b>North America</b>													
<b>Canada</b>	100%	100%	100%	70%	63%	100%	93%	40%	67%	100%	100%	100%	<b>81.41%</b>
<b>United States</b>	50%	50%	100%	81%	88%	100%	68%	100%	78%	75%	100%	67%	<b>78.26%</b>
<b>Average</b>	<b>75%</b>	<b>75%</b>	<b>100%</b>	<b>75%</b>	<b>75%</b>	<b>100%</b>	<b>81%</b>	<b>70%</b>	<b>72%</b>	<b>88%</b>	<b>100%</b>	<b>83%</b>	<b>79.83%</b>
<b>ASIA</b>													
<b>Central Asia</b>													
<b>Kazakhstan</b>	100%	50%	100%	40%	13%	0%	100%	40%	100%	75%	100%	100%	<b>68.95%</b>
<b>Kyrgyzstan</b>	50%	0%	100%	19%	0%	0%	36%	40%	78%	25%	0%	100%	<b>36.96%</b>
<b>Tajikistan</b>	0%	25%	100%	0%	13%	0%	45%	0%	33%	50%	100%	67%	<b>28.57%</b>
<b>Turkmenistan</b>	100%	0%	50%	0%	13%	67%	45%	0%	0%	0%	0%	100%	<b>22.66%</b>
<b>Uzbekistan</b>													
<b>Average</b>	<b>63%</b>	<b>19%</b>	<b>88%</b>	<b>15%</b>	<b>9%</b>	<b>17%</b>	<b>57%</b>	<b>20%</b>	<b>53%</b>	<b>38%</b>	<b>50%</b>	<b>92%</b>	<b>39.28%</b>
<b>Eastern Asia</b>													
<b>China</b>	50%	100%	100%	81%	63%	67%	48%	60%	89%	25%	100%	100%	<b>64.46%</b>
<b>Japan</b>	0%	100%	100%	40%	25%	100%	85%	86%	67%	100%	0%	100%	<b>69.60%</b>
<b>Mongolia</b>													
<b>North Korea</b>													
<b>South Korea</b>	100%	100%	100%	75%	100%	67%	77%	100%	100%	100%	100%	100%	<b>87.19%</b>
<b>Average</b>	<b>50%</b>	<b>100%</b>	<b>100%</b>	<b>65%</b>	<b>63%</b>	<b>78%</b>	<b>70%</b>	<b>82%</b>	<b>85%</b>	<b>75%</b>	<b>67%</b>	<b>100%</b>	<b>75.42%</b>
<b>Southern Asia</b>													
<b>Afghanistan</b>													
<b>Bangladesh</b>	100%	25%	50%	35%	13%	0%	41%	40%	33%	25%	100%	50%	<b>36.71%</b>



Theme	NCS	NPC	Manufacture	Marketing	Record-keeping	Cooperation in tracing	International transfer	Brokering	Stockpiles	Surplus	Public awareness	Other	TOTAL SCORE
Georgia	100%	50%	100%	7%	13%	67%	73%	100%	22%	25%	100%	75%	<b>43.90%</b>
Iraq	100%	50%	100%	12%	13%	0%	45%	60%	33%	0%	100%	0%	<b>31.94%</b>
Israel	0%	100%	50%	35%	63%	67%	69%	80%	63%	75%	100%	67%	<b>59.02%</b>
Jordan	100%	50%	100%	21%	25%	67%	45%	20%	67%	25%	100%	100%	<b>44.33%</b>
Kuwait													
Lebanon	0%	50%	0%	0%	0%	0%	0%	43%	0%	0%	0%	0%	<b>5.95%</b>
Oman	0%	25%	0%	10%	33%	0%	47%	0%	56%	25%	100%	0%	<b>25.29%</b>
Qatar	0%	100%	0%	0%	0%	0%	36%	0%	0%	0%	0%	0%	<b>13.04%</b>
Saudi Arabia	0%	50%	100%	28%	38%	67%	27%	0%	44%	0%	100%	67%	<b>34.48%</b>
Syria	0%	50%	50%	7%	25%	0%	55%	60%	44%	0%	100%	75%	<b>35.90%</b>
Turkey	100%	50%	100%	51%	38%	0%	50%	40%	100%	0%	0%	67%	<b>53.93%</b>
United Arab Emirates	100%	25%	0%	0%	17%	67%	0%	20%	0%	0%	0%	67%	<b>11.96%</b>
Yemen	50%	0%	0%	7%	0%	0%	18%	0%	33%	0%	100%	0%	<b>11.82%</b>
Average	<b>44%</b>	<b>44%</b>	<b>53%</b>	<b>17%</b>	<b>23%</b>	<b>29%</b>	<b>42%</b>	<b>36%</b>	<b>40%</b>	<b>16%</b>	<b>63%</b>	<b>45%</b>	<b>32.53%</b>
<b>EUROPE</b>													
<b>Eastern Europe</b>													
Belarus	0%	100%	100%	47%	25%	0%	86%	80%	89%	50%	100%	100%	<b>66.18%</b>
Bulgaria	0%	50%	100%	72%	63%	0%	91%	100%	78%	100%	100%	100%	<b>78.33%</b>
Czech Republic	50%	100%	100%	86%	100%	67%	79%	100%	100%	75%	100%	100%	<b>87.91%</b>
Hungary	0%	100%	100%	79%	88%	67%	100%	100%	100%	100%	0%	100%	<b>88.84%</b>
Moldova	50%	50%	100%	19%	33%	100%	100%	0%	89%	100%	100%	100%	<b>68.75%</b>

<b>Poland</b>	50%	100%	100%	65%	50%	67%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	67%	<b>82.94%</b>
<b>Romania</b>	100%	100%	100%	42%	100%	67%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	<b>81.77%</b>
<b>Russian Federation</b>	50%	100%	100%	61%	50%	100%	100%	85%	40%	56%	100%	100%	100%	100%	100%	100%	100%	100%	100%	<b>76.23%</b>
<b>Slovakia</b>	100%	100%	100%	39%	38%	0%	75%	80%	44%	50%	100%	100%	100%	100%	100%	100%	100%	100%	100%	<b>59.61%</b>
<b>Ukraine</b>	50%	100%	100%	19%	17%	0%	88%	60%	44%	50%	100%	100%	100%	100%	100%	100%	100%	100%	67%	<b>55.32%</b>
<b>Average</b>	<b>45%</b>	<b>90%</b>	<b>100%</b>	<b>53%</b>	<b>56%</b>	<b>47%</b>	<b>90%</b>	<b>76%</b>	<b>79%</b>	<b>83%</b>	<b>90%</b>	<b>79%</b>	<b>90%</b>	<b>90%</b>	<b>90%</b>	<b>90%</b>	<b>90%</b>	<b>90%</b>	<b>93%</b>	<b>74.59%</b>
<b>Northern Europe</b>																				
<b>Denmark</b>	50%	50%	100%	47%	25%	100%	93%	60%	56%	100%	100%	100%	100%	100%	100%	100%	100%	100%	67%	<b>67.00%</b>
<b>Estonia</b>	0%	100%	100%	88%	75%	0%	96%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	67%	<b>87.20%</b>
<b>Finland</b>	0%	100%	100%	86%	88%	100%	79%	80%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	<b>87.68%</b>
<b>Iceland</b>	0%	50%	100%	35%	33%	33%	71%	29%	44%	75%	0%	83%	56.00%	56.00%	56.00%	56.00%	56.00%	56.00%	83%	<b>56.00%</b>
<b>Ireland</b>	0%	100%	100%	38%	63%	67%	92%	80%	33%	50%	100%	67%	65.31%	65.31%	65.31%	65.31%	65.31%	67%	67%	<b>65.31%</b>
<b>Latvia</b>	0%	100%	100%	43%	83%	67%	92%	100%	100%	75%	100%	80%	78.00%	78.00%	78.00%	78.00%	78.00%	80%	80%	<b>78.00%</b>
<b>Lithuania</b>	0%	100%	67%	62%	100%	67%	96%	100%	100%	100%	100%	100%	86.27%	86.27%	86.27%	86.27%	86.27%	100%	100%	<b>86.27%</b>
<b>Norway</b>	100%	100%	100%	71%	67%	100%	85%	100%	100%	100%	100%	100%	87.77%	87.77%	87.77%	87.77%	87.77%	100%	100%	<b>87.77%</b>
<b>Sweden</b>	50%	50%	67%	35%	63%	67%	95%	60%	78%	100%	100%	100%	66.67%	66.67%	66.67%	66.67%	66.67%	67%	67%	<b>66.67%</b>
<b>United Kingdom</b>	50%	50%	100%	54%	75%	100%	79%	86%	100%	100%	100%	100%	73.95%	73.95%	73.95%	73.95%	73.95%	33%	33%	<b>73.95%</b>
<b>Average</b>	<b>25%</b>	<b>80%</b>	<b>93%</b>	<b>56%</b>	<b>67%</b>	<b>70%</b>	<b>88%</b>	<b>79%</b>	<b>81%</b>	<b>90%</b>	<b>90%</b>	<b>81%</b>	<b>75.58%</b>	<b>75.58%</b>	<b>75.58%</b>	<b>75.58%</b>	<b>75.58%</b>	<b>90%</b>	<b>76%</b>	<b>75.58%</b>
<b>Southern Europe</b>																				
<b>Albania</b>	100%	100%	50%	57%	67%	100%	88%	100%	100%	100%	100%	100%	82.98%	82.98%	82.98%	82.98%	82.98%	100%	100%	<b>82.98%</b>
<b>Andorra</b>	0%	50%	100%	0%	33%	0%	27%	0%	33%	0%	0%	0%	25.56%	25.56%	25.56%	25.56%	25.56%	100%	100%	<b>25.56%</b>
<b>Bosnia and Herzegovina</b>	100%	100%	100%	75%	38%	100%	79%	100%	100%	100%	100%	100%	81.99%	81.99%	81.99%	81.99%	81.99%	67%	67%	<b>81.99%</b>
<b>Croatia</b>	0%	100%	100%	84%	88%	67%	100%	100%	100%	100%	100%	100%	91.10%	91.10%	91.10%	91.10%	91.10%	100%	100%	<b>91.10%</b>

Theme	NCA's	NPC	Manufacture	Marking	Record-keeping	Cooperation in tracing	International transfer	Brokering	Stockpiles	Surplus	Public awareness	Other	TOTAL SCORE
The former Yugoslav Republic of Macedonia	100%	50%	100%	62%	75%	0%	94%	20%	100%	100%	100%	100%	<b>79.90%</b>
Greece	100%	50%	50%	39%	25%	67%	86%	20%	56%	50%	100%	67%	<b>55.17%</b>
Italy	100%	100%	50%	58%	38%	0%	68%	20%	100%	50%	0%	0%	<b>55.67%</b>
Malta	0%	50%	100%	10%	0%	0%	95%	40%	33%	0%	0%	67%	<b>44.19%</b>
Montenegro													
Portugal	0%	100%	100%	86%	88%	100%	100%	100%	100%	100%	100%	100%	<b>93.36%</b>
San Marino													
Serbia	50%	50%	50%	37%	25%	67%	83%	100%	44%	100%	100%	100%	<b>63.03%</b>
Slovenia	100%	50%	100%	21%	75%	67%	100%	100%	44%	100%	0%	100%	<b>66.67%</b>
Spain	100%	100%	100%	60%	63%	67%	69%	80%	0%	0%	0%	100%	<b>58.45%</b>
Average	<b>63%</b>	<b>75%</b>	<b>83%</b>	<b>49%</b>	<b>51%</b>	<b>53%</b>	<b>82%</b>	<b>65%</b>	<b>68%</b>	<b>67%</b>	<b>58%</b>	<b>83%</b>	<b>66.51%</b>
<b>Western Europe</b>													
Austria	100%	50%	100%	63%	50%	67%	100%	60%	33%	100%	100%	67%	<b>72.56%</b>
Belgium	100%	100%	100%	35%	63%	67%	77%	80%	22%	75%	0%	33%	<b>57.14%</b>
France	50%	50%	100%	44%	100%	67%	52%	80%	89%	100%	0%	67%	<b>63.77%</b>
Germany	0%	100%	100%	89%	63%	67%	96%	80%	100%	100%	100%	100%	<b>89.57%</b>
Liechtenstein	100%	100%	100%	68%	63%	0%	86%	100%	100%	50%	0%	0%	<b>70.44%</b>
Luxembourg	100%	100%	0%	38%	17%	0%	80%	80%	100%	100%	0%	0%	<b>58.15%</b>
Monaco	0%	0%	100%	0%	0%	0%	45%	80%	0%	0%	0%	67%	<b>24.44%</b>
Netherlands	50%	100%	100%	33%	17%	67%	96%	60%	100%	75%	0%	33%	<b>65.96%</b>
Switzerland	100%	100%	100%	79%	88%	100%	91%	100%	100%	75%	100%	100%	<b>89.77%</b>
Average	<b>67%</b>	<b>78%</b>	<b>89%</b>	<b>50%</b>	<b>51%</b>	<b>48%</b>	<b>80%</b>	<b>80%</b>	<b>72%</b>	<b>75%</b>	<b>33%</b>	<b>52%</b>	<b>65.76%</b>



## OCEANIA

<b>Fiji</b>	100%	50%	100%	14%	33%	67%	85%	80%	33%	100%	100%	100%	100%	100%	100%	<b>63.54%</b>
<b>Papua New Guinea</b>	100%	50%	100%	19%	33%	67%	60%	20%	33%	100%	100%	100%	100%	100%	100%	<b>54.55%</b>
<b>Solomon Islands</b>	0%	50%	100%	30%	13%	0%	64%	0%	56%	100%	100%	100%	100%	100%	100%	<b>48.31%</b>
<b>Marshall Islands</b>	100%	50%	50%	26%	75%	67%	45%	0%	22%	100%	0%	0%	0%	0%	0%	<b>41.21%</b>
<b>Australia</b>	100%	100%	100%	56%	75%	100%	95%	40%	100%	100%	100%	100%	100%	67%	67%	<b>80.19%</b>
<b>New Zealand</b>	50%	50%	50%	49%	50%	0%	77%	80%	67%	25%	100%	100%	100%	0%	0%	<b>53.20%</b>
<b>Average</b>	<b>75%</b>	<b>58%</b>	<b>83%</b>	<b>33%</b>	<b>47%</b>	<b>50%</b>	<b>71%</b>	<b>37%</b>	<b>52%</b>	<b>75%</b>	<b>83%</b>	<b>83%</b>	<b>61%</b>	<b>61%</b>	<b>61%</b>	<b>56.83%</b>

## Endnotes

- 1 Under paragraph 38 of the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons (International Tracing Instrument or ITI), states have agreed to ‘review the implementation and future development of this instrument within the framework of conferences that review the United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects’.
- 2 All national reports submitted by states are available on the website of the UN Office for Disarmament Affairs (UNODA)—the Programme of Action Implementation Support System (PoA-ISS). See PoA-ISS (n.d.a.) for all submitted national reports.
- 3 With the exception of the 2012 reports submitted by Algeria and the Democratic Republic of the Congo, for which translation was not available in time to complete the report (Algeria, 2012; Democratic Republic of the Congo, 2012).
- 4 A note on citations: for ease of reference, this report cites PoA and ITI paragraphs rather than the UN General Assembly documents in which they appear. Example: (PoA, para. II.37).
- 5 Commitments relating to disarmament, demobilization, and reintegration (DDR) were not included in the review and analysis. Points initially allocated for implementation of DDR commitments were removed from the final scoring system because they were only relevant to a handful of post-conflict countries and were ‘not applicable’ in most states. Moreover, those states that had undergone DDR programmes generally did not provide sufficient detail in their national reports to determine whether they had fulfilled the commitment to ‘develop and implement’ an effective DDR programme, as outlined in paragraph II.21 of the PoA (i.e. effective collection, control, storage, and destruction of small arms, or an alternative means of disposal whereby weapons are marked and the alternate form of disposal or use is recorded and specific provisions for these programmes were included in peace agreements).
- 6 ‘To ensure, subject to the respective constitutional and legal systems of States, that the armed forces, police or any other body authorized to hold small arms and light weapons establish adequate and detailed standards and procedures relating to the management and security of their stocks of these weapons. These standards and procedures should, inter alia, relate to: appropriate locations for stockpiles; physical security measures; control of access to stocks; inventory management and accounting control; staff training; security, accounting and control of small arms and light weapons held or transported by operational units or authorized personnel; and procedures and sanctions in the event of thefts or loss’ (PoA, para. II.17).
- 7 A commitment to ensure that the armed forces, police, or any other body authorized to hold small arms and light weapons establish adequate and detailed standards and procedures relating to the management and security of their stocks of these weapons.

- 8 Commitments to include standards on: appropriate locations for stockpiles; physical security measures; control of access to stocks; inventory management and accounting control; staff training; security, accounting, and control of small arms and light weapons held or transported by operational units or authorized personnel; and procedures and sanctions in the event of theft or loss.
- 9 Under the ITI, for example, ‘States **will require** that records pertaining to small arms and light weapons held by companies that go out of business be forwarded to the State’ (ITI, para. 13; emphasis added).
- 10 Under the ITI, for example, ‘States **will ensure** that accurate and comprehensive records are established for all marked small arms’ (ITI, para. 11; emphasis added).
- 11 Under the ITI, for example, ‘States will [...] require to the extent possible appropriate simple marking on each imported small arm or light weapon, permitting identification of the country of import and, **where possible**, the year of import, and enabling the competent authorities of that country to trace the small arm or light weapon’ (ITI, para. 8(b); emphasis added).
- 12 Under the ITI, for example, ‘States, **where appropriate**, in accordance with Interpol’s statutory rules, are encouraged to make full use of Interpol’s mechanisms and facilities in implementing this instrument’ (ITI, para. 35; emphasis added).
- 13 Under the ITI, for example, states will mark weapons at the time of manufacture with certain markings (the name of the manufacturer, the country of manufacture, and the serial number) ‘and **encourage** the marking of such additional information as the year of manufacture, weapon type/model and caliber’ (ITI, para. 8(a); emphasis added).
- 14 For example, marking at the time of manufacture, import marking, marking of small arms transferred from government stockpiles to permanent civilian use, ensuring state-held weapons are duly marked, encouraging small arms manufacturers to develop measures against the removal or alteration of markings, and marking and recording (or destroying) illicit weapons found on states’ territories.
- 15 Temporary imports are excluded from the requirement.
- 16 In the framework of the mechanism for Coordinating Action on Small Arms, the United Nations Development Programme (UNDP), the United Nations Institute for Disarmament Research (UNIDIR), UNODA, and the Small Arms Survey jointly developed an assistance package to help Member States prepare their national reports. This assistance package was first developed in 2003 and revised in 2006, and included reporting guidelines; it can be downloaded at UNIDIR (n.d). Many states used these guidelines as a template for preparing and submitting their national reports. In 2011, UNODA revised the reporting template and made it available to Member States on the PoA-ISS website at: <<http://www.poa-iss.org/reporting/>>
- 17 Thirty-five of the 40 states were scored before their 2012 reports became available. Accordingly, they were re-scored/their score-sheets were supplemented by their 2012 reports, and their PoAIM scores adjusted.
- 18 Originally, an additional or separate half point was awarded if the state reported that it marks the barrel and/or slide or cylinder of the weapon, as per the encouraged practice outlined in the second sentence of paragraph 10 of the ITI. However, the two commitments were merged into one.

- 19 The ITI does not specify the nature and scale of manufacture that must occur for marking at manufacture to be undertaken or required. It could be argued that no exceptions to the requirement to mark small arms at manufacture should be made—i.e. all small arms should be marked at manufacture regardless of the scale of the manufacturer’s operations. For the purposes of this report/analysis, however, we relied on states’ interpretation of whether they consider manufacture to take place on their territories. Accordingly, if a state indicated ‘weapons are not manufactured in our country’ (except for homemade weapons), we excluded them from all manufacture-related commitments, other than the commitment to have manufacturing controls in place.
- 20 Paragraph 8(a) of the ITI permits states to employ one of two marking methods: a unique marking providing the name of the manufacturer, country of manufacture and serial number; or alternatively, a unique user-friendly marking using geometric symbols in combination with a numeric and/or alphanumeric code, permitting identification of country of manufacture. The PoAIM scoring guidelines included provisions to score either form of marking employed by states, with an equivalent number of points awarded to ensure no state was penalized for choosing one method over the other.
- 21 Initially, this commitment was broken down into its two constituent parts: a requirement to ensure government stocks transferred to civilians are marked (in a manner that allows tracing); and a requirement to mark them so as to permit the identification of the country transferring the arms if they are not already marked. States were awarded half a point if they indicated that they ensure that any arms transferred from government stocks to civilians are marked, and an additional half point if they reported that such markings must indicate the country from whose stocks the transfer was made. Ultimately, however, the two parts of the commitment were merged into one and a single point awarded to states that reported they mark small arms at the time of transfer from government stocks to permanent civilian use, regardless of whether they indicated the nature of the markings applied.
- 22 Initially, this commitment was broken down into its two constituent parts: a requirement to ensure records pertaining to small arms held by companies that go out of business are forwarded to the state; and a requirement to ensure this obligation is included in/reflected in national legislation. Ultimately, however, the two parts of the commitment were merged into one and a single point awarded to states that reported they require companies that go out of business to submit or forward all records held by them to the government. Part of the reason for this is that question 20.3 of the revised UNODA reporting template asks: ‘*In the event that they go out of business, are companies engaged in [small arms and light weapons] activities [...] required to submit all records held by them to the government?*’, and does not specify whether this is done in accordance with national legislation. Accordingly, it did not seem fair to penalize reporting states for not providing the additional information.
- 23 Part V of the International Tracing Instrument (paragraphs 14 to 23) contains extensive provisions with respect to cooperation on tracing and undertakings related to the submission of and responses to tracing requests. Originally, the PoAIM scoring guidelines included these commitments and points were allocated to the elements contained in paragraphs 14 to 23. However, while many states mentioned that they cooperate or engage in making or responding to tracing requests, almost no state provided sufficient details of

the process they followed in this respect to earn the points originally allocated. Since these commitments were considered ‘not applicable’ to the vast majority of states because they do *not* report on tracing activities, it did not seem fair to penalize those states that *did* report on them since they provided insufficient information to receive points. Accordingly, the additional commitments—and associated points—were removed from the scoring system.

- 24 The mechanism was formerly known as IWeTS. It is now known as the ‘INTERPOL Firearms Tracing System’, but references to IWeTS appear in the national reports under review because they date back to 2002.
- 25 Some states were awarded a half point here and a half point under record-keeping ‘holdings’ in question 5.6 of the scoring guidelines if they indicated that they keep records of state-held arms.
- 26 States provided different interpretations of the term ‘surplus’, with some indicating they consider ‘surplus’ to be an excess of stock, while treating ‘obsolete’ arms as a separate category; others indicated that ‘surplus’ includes ‘obsolete’ and unserviceable weapons. Accordingly, some states reported that they have no surplus, but that they do have obsolete weapons (e.g. Togo); yet others indicated they have ‘no surplus’, but that they had decommissioned and destroyed some weapons (e.g. Senegal). In reviewing and scoring states, where ‘obsolete’ weapons were described as surplus, they were classified as such. Where states made a distinction by reporting, for example, ‘we don’t have surplus but we do have obsolete weapons’, this section was considered ‘not applicable’ (except in the case of Botswana, which included information in its 2012 report on surplus and obsolete weapons and then claimed that it had never had to deal with surplus weapons—only with obsolete weapons).
- 27 Although the PoA uses the term ‘stockpiling’ as distinct from ‘storage’, points were allocated here if states mentioned they have criminalized illegal storage. The main reason for this is that the Spanish version of the PoA uses the term ‘las existencias’, which can be translated as either ‘stockpiling’ or ‘storage’. Accordingly, although they arguably involve distinct activities (with ‘stockpiling’ relating to the act of keeping a significant number or quantity of small arms, and ‘storage’ relating to how weapons are stored or secured to prevent theft and unauthorized access), information on either activity was deemed relevant for this PoA commitment.

# Publications list

## Occasional Papers

- 1 *Re-Armament in Sierra Leone: One Year After the Lomé Peace Agreement*, by Eric Berman, December 2000
- 2 *Removing Small Arms from Society: A Review of Weapons Collection and Destruction Programmes*, by Sami Faltas, Glenn McDonald, and Camilla Waszink, July 2001
- 3 *Legal Controls on Small Arms and Light Weapons in Southeast Asia*, by Katherine Kramer (with Nonviolence International Southeast Asia), July 2001
- 4 *Shining a Light on Small Arms Exports: The Record of State Transparency*, by Maria Haug, Martin Langvandslien, Lora Lumpe, and Nic Marsh (with NISAT), January 2002
- 5 *Stray Bullets: The Impact of Small Arms Misuse in Central America*, by William Godnick, with Robert Muggah and Camilla Waszink, November 2002
- 6 *Politics from the Barrel of a Gun: Small Arms Proliferation and Conflict in the Republic of Georgia*, by Spyros Demetriou, November 2002
- 7 *Making Global Public Policy: The Case of Small Arms and Light Weapons*, by Edward Laurance and Rachel Stohl, December 2002
- 8 *Small Arms in the Pacific*, by Philip Alpers and Conor Twyford, March 2003
- 9 *Demand, Stockpiles, and Social Controls: Small Arms in Yemen*, by Derek B. Miller, May 2003
- 10 *Beyond the Kalashnikov: Small Arms Production, Exports, and Stockpiles in the Russian Federation*, by Maxim Pyadushkin, with Maria Haug and Anna Matveeva, August 2003
- 11 *In the Shadow of a Cease-fire: The Impacts of Small Arms Availability and Misuse in Sri Lanka*, by Chris Smith, October 2003
- 12 *Small Arms in Kyrgyzstan: Post-revolutionary Proliferation*, by S. Neil MacFarlane and Stina Torjesen, March 2007, ISBN 2-8288-0076-8, also in Kyrgyz and Russian (first printed as *Kyrgyzstan: A Small Arms Anomaly in Central Asia?*, by S. Neil MacFarlane and Stina Torjesen, February 2004)
- 13 *Small Arms and Light Weapons Production in Eastern, Central, and Southeast Europe*, by Yudit Kiss, October 2004, ISBN 2-8288-0057-1
- 14 *Securing Haiti's Transition: Reviewing Human Insecurity and the Prospects for Disarmament, Demobilization, and Reintegration*, by Robert Muggah, October 2005, updated, ISBN 2-8288-0066-0
- 15 *Silencing Guns: Local Perspectives on Small Arms and Armed Violence in Rural South Pacific Islands Communities*, edited by Emile LeBrun and Robert Muggah, June 2005, ISBN 2-8288-0064-4
- 16 *Behind a Veil of Secrecy: Military Small Arms and Light Weapons Production in Western Europe*, by Reinhilde Weidacher, November 2005, ISBN 2-8288-0065-2
- 17 *Tajikistan's Road to Stability: Reduction in Small Arms Proliferation and Remaining Challenges*, by Stina Torjesen, Christina Wille, and S. Neil MacFarlane, November 2005, ISBN 2-8288-0067-9
- 18 *Demanding Attention: Addressing the Dynamics of Small Arms Demand*, by David Atwood, Anne-Kathrin Glatz, and Robert Muggah, January 2006, ISBN 2-8288-0069-5

- 19 *A Guide to the US Small Arms Market, Industry, and Exports, 1998–2004*, by Tamar Gabelnick, Maria Haug, and Lora Lumpe, September 2006, ISBN 2-8288-0071-7
- 20 *Small Arms, Armed Violence, and Insecurity in Nigeria: The Niger Delta in Perspective*, by Jennifer M. Hazen with Jonas Horner, December 2007, ISBN 2-8288-0090-3
- 21 *Crisis in Karamoja: Armed Violence and the Failure of Disarmament in Uganda's Most Deprived Region*, by James Bevan, June 2008, ISBN 2-8288-0094-6
- 22 *Blowback: Kenya's Illicit Ammunition Problem in Turkana North District*, by James Bevan, June 2008, ISBN 2-8288-0098-9
- 23 *Gangs of Central America: Causes, Costs, and Interventions*, by Dennis Rodgers, Robert Muggah, and Chris Stevenson, May 2009, ISBN 978-2-940415-13-7
- 24 *Arms in and around Mauritania: National and Regional Security Implications*, by Stéphanie Pézard with Anne-Kathrin Glatz, June 2010, ISBN 978-2-940415-35-9 (also available in French)
- 25 *Transparency Counts: Assessing State Reporting on Small Arms Transfers, 2001–08*, by Jasna Lazarevic, June 2010, ISBN 978-2-940415-34-2
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- 29 *Blue Skies and Dark Clouds: Kazakhstan and Small Arms*, by Nicolas Florquin, Dauren Aben, and Takhmina Karimova, May 2012, ISBN 978-2-9700771-5-2 (also available in Kazakh and Russian)

## Special Reports

- 1 *Humanitarianism Under Threat: The Humanitarian Impact of Small Arms and Light Weapons*, by Robert Muggah and Eric Berman, commissioned by the Reference Group on Small Arms of the UN Inter-Agency Standing Committee, July 2001
- 2 *Small Arms Availability, Trade, and Impacts in the Republic of Congo*, by Spyros Demetriou, Robert Muggah, and Ian Biddle, commissioned by the International Organisation for Migration and the UN Development Programme, April 2002
- 3 *Kosovo and the Gun: A Baseline Assessment of Small Arms and Light Weapons in Kosovo*, by Anna Khakee and Nicolas Florquin, commissioned by the United Nations Development Programme, June 2003
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- 8 *Quoi de neuf sur le front congolais ? Evaluation de base sur la circulation des armes légères et de petit calibre en République du Congo*, par Robert Muggah et Ryan Nichols, publié avec le Programme des Nations Unies pour le Développement (PNUD)–République du Congo, décembre 2007, 2-8288-0089-X
- 9 *Small Arms in Rio de Janeiro: The Guns, the Buyback, and the Victims*, by Pablo Dreyfus, Luis Eduardo Guedes, Ben Lessing, Antônio Rangel Bandeira, Marcelo de Sousa Nascimento, and Patricia Silveira Rivero, a study by the Small Arms Survey, Viva Rio, and ISER, December 2008, ISBN 2-8288-0102-0
- 10 *Firearms-related Violence in Mozambique*, a joint publication of the Ministry of the Interior of Mozambique, the World Health Organization–Mozambique, and the Small Arms Survey, June 2009, ISBN 978-2-940415-14-4
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