

# Voluntary guidelines for compiling national reports on SALW exports from/imports to other participating States during the previous calendar year

Organization for Security and Co-operation in Europe

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Federal Foreign Office  
Germany

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Vienna, 2014



# Introduction

Under the OSCE Document on Small Arms and Light Weapons (SALW), OSCE participating States have agreed to share a range of information. Under Section III (F) participating States have agreed to share details of SALW exports and imports to and from other OSCE participating States. Using a standardized reporting form, States are requested to provide information on exports and imports of five subcategories of small arms and nine subcategories of light weapons for the preceding calendar year. Requested information includes the exporting or importing State, the number of items, the State of origin, the intermediate location (if any), the end user certificate number or reference (in the case of imports) and any comments on the transfer.

The exchange of information on exports and imports of SALW contributes to the broader aims and objectives of the OSCE Document on SALW, including those of “[building] confidence, security and transparency through appropriate measures on small arms” and “[exercising] due restraint to ensure that small arms are produced, transferred and held only in accordance with legitimate defence and security needs”.<sup>1</sup>

Internal analysis by the Conflict Prevention Centre (CPC) has indicated that the information contained in participating States’ submissions did not seem to correlate. In particular, one participating State’s report on exports to – or imports from – another participating State often do not correlate with the information contained in the corresponding participating State’s submission. In 2012, the CPC, with the help of a consultant, produced a study that identified the exact rate of discrepancies between participating States’ submissions (See Appendix). The study highlighted possible reasons for discrepancies between participating States’ submissions and made recommendations to remedy the situation, including the development of best practices.

The purpose of this document is to provide guidance to participating States while compiling their annual submissions on exports and imports of SALW. The purpose of this guidance is to encourage – on a voluntary basis – more transparency with regards to the methodologies used by participating States’ to compile their submissions on exports and imports of SALW and – in the longer term – a reduction in the rate of discrepancies between participating States’ submissions.

These recommendations are focused on measures that can be taken by desk officers that are responsible for the compilation and submission of reports to the OSCE Document on SALW. These measures are aimed at encouraging – on a voluntary basis – more transparency with regards to the methodologies used by participating States’ to compile their submissions on exports and imports of SALW and – in the longer term – a reduction in the rate of discrepancies between participating States’ submissions.

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1 OSCE Document on SALW FSC.DOC/1/00/Rev.1, 20 June 2012

# 1. Provide descriptions of SALW being transferred

Discrepancies between participating States' submissions are partly due to States classifying the same transfer of arms in different ways. In several cases it is clear that States use a different category of SALW to report on the same transfer. If an exporting and importing participating State have categorized the same transfer of SALW in different ways – e.g. an exporting State has classified it as a transfer of “submachine guns” while the corresponding importing State has classified it as a transfer of “assault rifles” – it makes it hard to identify correlations and discrepancies between the two reports. More detailed descriptions of the arms being transferred would allow for easier identification of cases where arms are being categorized differently. Such information could include the type of arms, the make and/or the model. The OSCE SALW reporting template includes a column for “comments on the transfer”, which can be used to provide more detailed descriptions of the arms being transferred. Some States already use this column to provide descriptions of the arms transferred in their submissions (see Figure 1).

## Recommendation:

- Provide descriptions of the arms being transferred using the column for “comments on the transfer” in the OSCE SALW reporting template. Such descriptions may include information on the type of arms transferred as well as the make and/or the model.

### Information on SALW Imports

Reporting Country: [REDACTED]  
Original language: English

Report on Calendar Year: 2010  
Date of submission: 29 July 2011

Category and Subcategory	Exporter State	Number of Items	State of origin	Intermediate location (if any)	End user certificate numbers or reference	Comment on the transfer
<b>A. Small arms</b>						
1) Revolvers and self-loading pistols	[REDACTED]	3 3				Sig Sauer CZ 9 mm parabellum
2) Rifles and carbines	[REDACTED]	19				Accuracy 0.338 LAPMAG
3) Sub-machine guns	[REDACTED]	Nil				
4) Assault rifles	[REDACTED]	7 34				Mossberg 500 Shotgun Barret AM cal 12,7x99
5) Light machine guns	[REDACTED]	718 45 43 600 26 24				H&K – 416, barrel 14,5 H&K – 416, barrel 10 H&K – 417 MINIMI cal 5,56x45 MAG QCB

Figure 1: 2011 submission with descriptions of arms transferred



## 2. Wider use of the OSCE SALW reporting template

Discrepancies between participating States' submissions are partly due to the use of different reporting templates by States. Some participating States use the OSCE SALW reporting template when making submissions to the OSCE Document on SALW, while others use the UN Register SALW reporting template and others use their own national reporting templates. If an exporting and importing participating State are using different reporting templates – e.g. one is reporting on exports using the OSCE SALW reporting template and one is reporting on imports using a national reporting template – it makes it harder to identify correlations and discrepancies.

### Recommendation:

- Wherever possible, use the OSCE SALW reporting template when making submissions to the OSCE Document on SALW.

## 3. Provide information on sources used for collecting data

Discrepancies between participating States' submissions are partly due to States using different sources of information for collecting data. Participating States use five main sources to collect data on imports and exports of SALW: export or import licences issued; export or import licences used; customs data; reports from industry and – in the case of SALW imports – Ministry of Defence procurement data. If an exporting and importing participating State are using different sources of data for their submissions – e.g. one is using export licences/permits issued and one is using customs data – this may lead to discrepancies between the two States' submissions.<sup>2</sup> More detailed information about the sources of information used for compiling submissions would provide greater clarity on the reasons for discrepancies in participating States' submissions. Currently, the OSCE SALW reporting template does not require participating States to provide information on the sources of information used to collect data on imports and exports of SALW. Nonetheless, some States provide descriptions of the sources used when compiling their submissions (see Figure 2). However, the information is provided on an ad hoc and non-systematized basis. Far greater clarity would be provided by the provision of standardized information using a reporting form.

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<sup>2</sup> In particular, it may result in participating States reporting on the same transfer in different years, since the export licence may be issued in one year and the importer may record delivery in a later year. It may also result in differences in the number of units reported, since the number of units delivered is frequently less than the number of units licenced for export or import.

## Recommendation:

- Provide information detailing the source of information used when compiling submissions on SALW export and import via a standardized cover sheet attached to each submission (see Appendix).

2011 Report [REDACTED]

Information exchange on Conventional Arms Transfers [FSC.DEC/08/08]  
Export licences granted

A	B	C	D	E	Observations	
Categories (I à VII)	État(s) importateur(s)	Nombre de pièces	État d'origine (autre que l'exportateur)	Lieu intermédiaire (le cas échéant)	Description de la pièce	Remarques concernant le transfert
I. Chars de bataille	[REDACTED]	16	[REDACTED]		16 chars AML 90/ Eland	Néant
II. Véhicules blindés de combat	[REDACTED]	02 02 02 08	[REDACTED]		M113 RECOV M113 MAINT M113 CRANE YPR 765 (25mm)	
III. Systèmes d'artillerie de gros calibre	[REDACTED]	02 02 02 08	[REDACTED]		M113 RECOV M113 MAINT M113 CRANE YPR 765 (25mm)	
IV. Avions de combat	[REDACTED]		[REDACTED]			
V. Hélicoptères d'attaque	[REDACTED]		[REDACTED]			
VI. Navires de guerre	[REDACTED]		[REDACTED]			
VII. Missiles et lanceurs a) de missiles b) Manpads	[REDACTED]	25	[REDACTED]		MISTRAL	

2011 Report [REDACTED]

**Figure 2:** 2011 submission with descriptions of the sources used

## 4. Provide information on types of transfers and end users covered

Discrepancies between participating States' submissions are partly due to differences in both the types of transfers and types of end users that are included in participating States' submissions. The SALW Document states that "small arms and light weapons are man portable weapons made or modified to military specifications for use as lethal instruments of war". No additional guidance is provided and States are free to include or exclude particular types of SALW transfers and types of end users as they deem appropriate and/or necessary.<sup>3</sup>

<sup>3</sup> For example, some States include exports of decommissioned SALW while others exclude imports of decommissioned SALW. Similarly, some States include exports to private civilians while others exclude imports to private civilians.

If an exporting and importing participating State have differences in either the types of transfers or types of end users that are included in their submissions – e.g. one is including exports to private civilians and one excluding imports to private civilians – this may lead to discrepancies between the two States’ submissions. More detailed information about the coverage of States’ submissions would provide greater clarity on the reasons for discrepancies in participating States’ submissions. This information could be provided on a general level – i.e. information could be provided about the types of transfer and types of end users that are included in a participating States’ submission – or on a case-by-case basis – i.e. information could be provided about the type of transfer and type of end user for individual imports and exports of SALW included a participating States’ submission. Currently, the OSCE SALW reporting template does not require States to provide information on the coverage of participating States’ submissions. Nonetheless, some participating States provide information on the types of transfers and/or the types of end users that are included in their submission. (see Figure 3).

**Recommendations:**

- Provide general information about the types of transfer and types of end users that are included in a participating States’ submission via a standardized cover sheet attached to each submission (see Appendix);
- Provide case-by-case information about the types of transfer and types of end users that are included in a participating States’ submission via the “comments on the transfer” column in the OSCE SALW reporting template.

**Annex 3  
Template for the Annual Information on SALW Exports**

Reporting Country: [Redacted] Report on Calendar Year: **2010**  
 Original language: English Date of submission: 30.06.2011

[Redacted]

Category and Subcategory (Names and / or Models)	Final importer State	Number of Items	State of Origin (if not exporter)	Intermediate location (if any)	Comment on the transfer
<b>A. Small arms</b>					
1) Revolvers and self-loading pistols	[Redacted]	5 1			Police Police
2) Rifles and carbines	[Redacted]	2 8 3			Police Ministry of Interior (MOI) Land Forces
3) Sub-machine guns	[Redacted]	2 6 8 / 28			Land Forces Land Forces Land Forces / Polices
4) Assault rifles	[Redacted]	10			MOI
5) Light machine guns	[Redacted]				

**Figure 3:** 2011 submission with information on the types of transfers and/or the types of end users

## 5. Carry out bilateral consultations before making submissions

Consultations between participating States before submissions are made can help to reduce discrepancies between participating States' submissions on exports and imports of SALW. Such consultations can include highlighting imports and exports that the participating State is planning to report with the relevant exporter or importer and asking whether they also intend to include this transfer in their submissions. They may also involve consulting about how a particular transfer will be classified in order to ensure that both reports classify it in the same way. A number of participating States already co-ordinate with partner countries in order to harmonize data supplied and ensure that export and import reports correlate with each other.

### Recommendations:

- Use the OSCE SALW national contact points to co-ordinate the content of national submissions before they are made. Such consultations can involve ensuring that a particular transfer is included in both submissions and ensuring that a particular transfer is classified in the same way.

### Summary of recommendations:

- Provide descriptions of the arms being transferred using the column for “comments on the transfer” in the OSCE SALW reporting template. Such descriptions may include information on the type of arms transferred as well as the make and/or the model;
- Wherever possible, use the OSCE SALW reporting template when making submissions to the OSCE Document on SALW;
- Provide information detailing the source of information used when compiling information on SALW export and import via a standardized cover sheet attached to each submission (see Appendix);
- Provide general information about the types of transfer and types of end users that are included in a participating States' submission via a standardized cover sheet attached to each submission (see Appendix);
- Provide case-by-case information about the types of transfer and types of end users that are included in a participating States' submission via the “comments on the transfer” column in the OSCE SALW reporting template;
- Use the OSCE SALW national contact points to co-ordinate the content of national submissions before they are made. Such consultations can involve ensuring that a particular transfer is included in both submissions and ensuring that a particular transfer is classified in the same way.

# Standardized cover sheet for submissions on SALW exports and imports

*Note: This cover sheet could be submitted together with the annual information exchange on SALW imports from/exports to other OSCE participating States*

## Submission on SALW exports

### Sources of data used

- Arms export licenses issued
- Arms export licenses used
- Customs data
- Report from industry on arms exports
- Other  Please specify \_\_\_\_\_

### Types of transfers

- Temporary exports (e.g. for exhibition purposes):  
Included  Excluded  Not applicable
- Exports for destruction purposes:  
Included  Excluded  Not applicable
- Exports to national military forces stationed abroad:  
Included  Excluded  Not applicable
- Exports of decommissioned SALW:  
Included  Excluded  Not applicable
- Transit or trans-shipments passing through your national territory:  
Included  Excluded  Not applicable
- Other types of exports (Please specify \_\_\_\_\_):  
Included  Excluded  Not applicable

### Types of end users

- Exports to military forces:  
Included  Excluded  Not applicable
- Exports to police forces:  
Included  Excluded  Not applicable
- Exports to private civilians:  
Included  Excluded  Not applicable
- Exports to private companies (e.g. firearms dealers):  
Included  Excluded  Not applicable
- Exports to museums:  
Included  Excluded  Not applicable

## Submission on SALW imports

### Sources of data used

- Arms import licenses issued
- Arms import licenses used
- Customs data
- Ministry of Defence procurement data
- Other  Please specify \_\_\_\_\_

### Types of transfers

Temporary imports (e.g. for exhibition purposes):

Included  Excluded  Not applicable

Imports for destruction purposes:

Included  Excluded  Not applicable

Imports to national military forces stationed abroad:

Included  Excluded  Not applicable

Imports of decommissioned SALW:

Included  Excluded  Not applicable

Transit or trans-shipments passing through your national territory:

Included  Excluded  Not applicable

Other types of imports (Please specify \_\_\_\_\_):

Included  Excluded  Not applicable

### Types of end users

Imports to military forces:

Included  Excluded  Not applicable

Imports to police forces:

Included  Excluded  Not applicable

Imports to private civilians:

Included  Excluded  Not applicable

Imports to private companies (e.g. firearms dealers):

Included  Excluded  Not applicable

Imports to museums:

Included  Excluded  Not applicable

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