

## CONDUCTING A COMPREHENSIVE STUDY ON FIREARMS TRAFFICKING, ITS TRANSNATIONAL NATURE, ROUTES AND MODUS OPERANDI (UNODC-SFT)

### INTRODUCTION

The Conference of the Parties to the United Nations Convention Against Transnational Organized Crime (COP-UNTOC), adopted at its 5<sup>th</sup> Session resolution 5/4 entitled “Illicit manufacturing of and trafficking in firearms, their parts and components and ammunition.” In paragraph 7 of this resolution the Conference requested the United Nations Office on Drugs and Crime (UNODC) “*to conduct a study of the transnational nature of and routes used in trafficking in firearms, based on the analysis of information provided by States on confiscated weapons and ammunition.*”

The Secretariat prepared a Note on the work of the UNODC on conducting a study of the transnational nature of and routes used in trafficking in firearms, which was presented to the COP. The Note contained an analysis of the responses provided by 16 Member States, and reached the following conclusions: A *comprehensive study on the transnational nature of firearms trafficking and the routes used* needs to be global in scope in order to obtain useful data, which will allow for comparative analysis. It also requires a critical mass of participating countries, in order to be sufficiently representative and allow for identification of routes and patterns. A common, reliable and transparent methodology needs to be identified and agreed upon for the collection of the data. Such methodology should allow for standardized approaches, in terms of content, quality and duration. Only comparable and compatible data can be related to each other and superimposed on a global or regional scale. Therefore, a standardized approach using common templates and, where necessary, with adequate technical support from UNODC, would facilitate the necessary common understanding and contribute to the collection and analysis of data. The repetition of this exercise, using the same methodology and scope, would allow UNODC to produce more solid and measurable data on the transnational dimension of firearms trafficking and to identify trends and patterns over time.

At its 6<sup>th</sup> Session, the COP adopted resolution 6/2 promoting accession to and implementation of the UN Firearms Protocol. In paragraph 7 of this resolution, the COP took note of the information gathered so far by the UNODC in carrying out the study asked for by the Conference in its resolution 5/4 of 22 October 2010, and requested the UNODC “*to improve methodology, in close consultation with Member States, and to complete the study in accordance with the given mandate, for consideration by the Conference at its seventh session*”. Paragraph 7 of the resolution 5/4, and the Note prepared by the Secretariat thus identify the scope of the study (global study with regional components), the substantive aspects to be investigated (trafficking in firearms, their transnational nature, routes and modus operandi), and the challenges (the need to ensure comparable and compatible data on trafficked firearms based on the seized and confiscated weapons and ammunition.). Paragraph 7 of the resolution 6/2 provides room for adjustments in order to ensure meaningful outcomes. In order to achieve the mandate provided by the COP, the present Concept Note has been elaborated to facilitate the conduct of the same.

## Why a comprehensive study on firearms trafficking?

Understanding the dimension of firearms trafficking at national and regional levels has an important impact both at policy and operational level, for Member States and for the international community. Understanding the broader perspective of the firearms trafficking phenomenon can greatly contribute to the establishment of global trafficking patterns, and this, in return, can be exceptionally valuable information for law enforcement and judicial operators.

A comprehensive study on firearms trafficking can help shedding light and cross referencing data on source/origin countries, trafficking routes and methods, as well as on the actors involved in such activities. Practitioners can establish the extent of the involvement of organized criminal groups in such business, and replace anecdotic evidence with concrete, empirically founded, verifiable data. This is not only important for international tracing and successful criminal investigations, but also essential for both states and international organizations, to understand the dimensions, trends and patterns of the firearms trafficking problematic. This will assist in identifying and anticipating risks and threats, as well as to take informed decisions and focused preventive and control measures.

By using information from countries from different regions, it is hoped that the study will contribute to:

- Determine different trafficking methods, and provide a list of examples of various trafficking types and *modus operandi*, which can be useful for law enforcement and prosecution services;
- Detect new and emerging forms of trafficking, by combining and relating the information from individual countries to each other, as well as to detect complex trafficking patterns, such as the transfer of parts and components from various sources to be fabricated in one country, or complex multi-nation importation schemes (so-called triangulations, re-exportations etc). In doing so, the study may assist countries who are not always aware of the impact of their exports to third countries, and moreover to highlight how discrepancies in national legislation may contribute to these patterns.
- Map and visualise the illicit trafficking flows and their connections to other serious crimes and illicit trafficking flows, at national, regional and global levels, by superposing comparable data in a geographic information system.
- Demonstrate the advantages of comprehensive legal frameworks and of practical investigative tools and techniques, such as tracing and expanded intelligence led investigations on firearms, as well as to encourage States to enact and make use of these tools, and to promote good investigative practices including tracing and effective international cooperation.

## Existing Challenges

Reliable data on the extent, patterns, routes and *modus operandi* of firearms trafficking are scarce and difficult to obtain. Many countries do not collect and analyze data on a regular basis which is related to firearms trafficking, or lack also the technical and operational skills and resources to do so. Others use different classifications and methods to collect statistical data, which makes it difficult to exchange information and to extrapolate findings relevant for a regional or global study.

Existing reports and studies are often based on partial and scattered information, secondary evidence and / or on other open source data, which are not always empirically verifiable or which only allow to acquiring a partial view of the problematic. This is not sufficient to determine ongoing dynamics and trends, or to establish connections and links to the broader context in which such situations are produced. Often, such studies are also (a) time bound and limited in scope; (b) based on different methods, not all of which

compatible and comparable with each other; (c) based on very theoretical approaches and therefore of limited value to practitioners on the ground; (d) developed in isolation, without a major involvement of the interested countries and institutions and without taking the needs of practitioners into account. As a result, their level of ownerships can be reduced and their value, as a for decision making, limited; (e) does not leave any sustainable capacity behind that would enable the country to continue the data collection and analyse exercise and to produce domestic or regional data in periodic intervals.

### **Importance of strengthening national monitoring and analysis capacities**

It is important to note that a study on firearms trafficking, even if comprehensive and global in scope, as a stand alone solution is inadequate to improve the lack of knowledge and provide the required needed empiric evidence on the trafficking phenomenon and its links to crime. Given the dynamic nature of illicit trafficking, there is a need for a continuous flow of data, in order to keep track of the mutating trends and patterns in this field. For that, is indispensable that States develop and establish their own national capacities to collect and analyse firearms trafficking data, and to exchange and relate them with each other at the regional and international level.

National firearms information systems are of strategic importance for States. Strengthening the national capacity of States to produce their *own* data and to undertake such monitoring and analysis activity within their own institutions also creates greater awareness of the problematic, as countries would not have to rely on external actors to understand and address their domestic and regional problems. UNODC supports countries in putting mechanisms and structures in place to ensure regular collection of standardized firearms data. In particular, UNODC collects data on seizures and confiscations, to make use of them in successful investigations, for enhanced exchange of information and international cooperation, and for informed decision making at the policy level.

### **Guiding principles for the study**

- The study should be based on an agreed, transparent and simple methodology, using empirical data provided by States;
- Information should be verifiable and data should be collected in a standardized and compatible way, so that the findings can be compared and related to each other;
- The information provided by States should be easily retrieved from existing reports on firearms seizures, in order to reduce the burden on States (reduced number of institutions involved in providing the data);
- The study should be of use for both policy & decision makers and practitioners, by providing added value to information already available at the country level;
- The study should also trigger a long term benefit for participating States, by contributing to strengthening their monitoring and analysis capacity. This will also enable them to produce, analyze and exchange relevant data and information on firearms trafficking and related crimes, in line with article 12 of the Firearms Protocol.

### **Purpose & scope**

The purpose is to produce a comprehensive study on illicit firearms trafficking, its transnational nature, routes and modus operandi.

The study is potentially global in scope, and includes official data on seized firearms, their parts and components, and ammunition, which is provided by the participating Member States.

## Objectives

The objective of the study is to increase the knowledge of the firearms trafficking problematic, uncovering existing or emerging illicit firearms import-export patterns and identifying new or emerging trends. Additionally, contributing towards the understanding of the inter-connectedness and the transnational dimension of this phenomenon.

## Design and development of the study

The UNODC Study on Firearms Trafficking (UNODC-SFT) is developed and conducted by UNODC in cooperation with participating States and, where possible, relevant regional and international organizations. UNODC will draw upon its internal expertise and capacity from across the various thematic branches of UNODC (Division for Treaty Affairs/Global Firearms Programme, and the Policy and Research Branch).

The methodology was developed by UNODC in consultation with States: UNODC has on several occasions discussed and shared with Member States views on the study and its possible methodology<sup>1</sup>. A meeting of experts<sup>2</sup>, which took place in July 2013, in Vienna, allowed UNODC to obtain additional expert advice, and thus ensure that major technological expertise, systems and needs were adequately taken into account in the study.

## Data collection & analysis

The study shall be based on “*information provided by States on confiscated arms and ammunition*”. This excludes, a priori, a research based solely on open source data, press articles, partial research findings etc. **UNODC will therefore apply the following principles to the United Nations Firearms Trafficking Study (UN-FTS):**

- The Study will be based on solid statistical data and evidence, and transparent methods of analysis.
- Data will be collected from official sources within Member States through an online questionnaire.
- The questionnaire will consist of a combination of:
  - (a) A Consolidated Annual Firearms Seizure Report (CAFSR), presenting information about the total numbers of seized firearms, their parts and components and ammunition, and related questions;
  - (b) Significant Individual Firearms Seizures Reports (SIFSR), where States will have the opportunity to provide detailed information on “significant seizures” in regular intervals.
- All provided data will be assessed to ascertain their accuracy and consistency with international crime data collection standards and definitions.

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<sup>1</sup> Discussions with member States were held in the margins of the Crime Commission, in April 2013, at a dedicated side event organized for that purpose in cooperation with INTERPOL; the theme was also debated in regional for a, such as a joint OSCE-UNODA-UNODC-INTERPOL conference on firearms tracing, held in Vienna in May 2013, during the XXIIth meeting of the Working group on firearms of MERCOSUR member and Associated States, in Montevideo, in June 2014 and at several meetings organized by the EU Firearms Task Force in Brussels on 26 and on 27-28 June 2014.

<sup>2</sup> The meeting of experts was held from 16-19 July 2013 and had a two-folded task: to discuss in depth a training curriculum on firearms, and to revise and comment on the methodology and time frame of the study.

- Data will be subject to statistical analysis, and conclusions drawn from the available information. Additionally, scientific research will be drawn upon to explain some of the phenomena described by the data and analysis.
- Member States will be given the opportunity to review and send comments on all collected data provided by them and on the draft study outcome.
- Intermediate and final drafts will be peer reviewed by internal UNODC experts.

## Sampling of data

### - Consolidated vs. individual seizure reports

Unlike for drugs, there is no agreed threshold for “significant seizures” of firearms, their parts and components and ammunition. Depending on the national context, even minor quantities can be considered significant in some countries. Therefore, UNODC proposes a threshold definition that combines quantitative and qualitative indicators, such as the number of items seized, the number of traffickers involved, the presence of transnational elements and the context and circumstances of the seizures.

Quantity: Firearms:  $\geq 5$  units

Parts and components:  $\geq 10$  units

Any seizure of essential parts and components

Ammunition:  $\geq 50$  rounds

Qualitative: Any seizure involving an organized crime group

Any seizure presenting a transnational element:

- Seizures related to international transfers;
- Seizures made at the borders;
- Seizures involving one or more foreign actors;

Any seizure of firearms that are not registered or with altered or tampered marking;

All cases of seizures combined with other illicit commodity eg. drugs, counterfeit or contraband goods, precious metals etc.

Quantities falling below the quantitative threshold or not within the qualitative criteria do not need to be reported. However, States are encouraged to report also on low quantities of seizures, whenever one or more of the qualitative criteria apply.

### - Which firearms?

- **Seized arms:** In its first Resolution 5/4, the COP referred only to “*confiscated*” arms, however, in its subsequent resolution 6/2, the COP requested UNODC to improve the methodology in consultation with Member States. Consequently, it was decided to focus primarily on seizure data. Most countries keep records of seizures conducted by the relevant law enforcement agencies (police, customs etc.), while it appears sometimes more difficult to access data on judicial confiscation or forfeiture orders, not only due to the lack of systematized records, but also due to the unpredictable length of a judicial proceeding. Therefore, in order to facilitate the data gathering exercise and ensure a reasonable and standardized format, the study will focus on seizures, and provide, where available, complementary information on final disposal of the seized items, including confiscation.
- **All seizures vs selected seizures:** Differences in national legislation impose challenges on having a common denominator, which defines whether a firearm was seized on the grounds of a criminal offence or administrative irregularity. Therefore, first, UNODC will request States to provide data on all seizures within a pre-defined time period and then will use follow up questions to define the context of the seizure for the relevant State.

#### **- Which classification?**

- One of the major regional and global drawbacks, when it comes to studies, statistics, international warrants, transfers and cooperation, is the technical terminology used and its variations in different languages for identifying firearms and ammunition. Translation problems and lack of harmonization even within the same language group are some of the factors that have slowed the cooperation and information exchange among States.
- Cognizant of the fact that States use different categories and classifications, UNODC will use simple classification criteria for firearms and ammunition, so as to allow States to meaningfully contribute to the data collection exercise without extreme burden.
- Existing international classification systems, such as the classification used by INTERPOL amongst others, will be taken into account, where feasible and appropriate, with a view to identify the simplest common denominator and thus facilitate the reporting effort by States.

#### **- Who will provide the data?**

- **All national institutions with powers to seize firearms** (eg. police, customs), and/or the **national registry** will be requested to contribute to the study.
- The designated entity will vary depending on the institutional framework and the legal system in place. In some cases, the data will require the collaboration of more than one entity, while in other countries they will be provided by one centralized body.
- Ideally, such data would be collected and gathered centrally by a competent authority in charge of this exercise.

#### **Emphasis on tracing results**

- The study will allow to assess the dimension and the transnational nature of the illicit firearms trafficking problematic, and to determine trafficking methods and modus operandi, using in particular the results of domestic and international tracing.
- The study will highlight the advantages of tracing, both domestic and international, and their usefulness for analytical purposes and for criminal investigations.
- Based on the tracing results, it will be possible to establish different categories of seized firearms:
  - Seized firearms with no tracing information available (neither national nor international)
  - Seized firearms with a clear tracing history
    - Lawful and unlawfully left the country
    - Lawful and lawfully left the country
    - Lawful and lawfully left the country to a third country which is not the same country where it was recovered / seized)
  - Seized firearms with a large break in the time of crime. This will help assessing the level of complexity and the transnational dimension of the illicit trafficking pattern present in a country / region, and will also facilitate the task of investigators to conduct secondary investigations which will aid in disclosing links to organized crime.
- The study will promote and encourage States to trace both domestically and internationally and to provide the tracing results. UNODC will also support the establishment of a monitoring mechanism in the form of focal points or inter-institutional units, to establish a national capacity to collect and analyze the data.

## **Mapping and multi-temporal analysis of firearms trafficking**

- The data on firearms seizures will be collected in a standardized and comparable manner and stored in a common database, where it will be possible for UNODC to conduct combined or cross queries and to superpose the available data on a geographical information system, and so map the illicit trafficking flows.
- Such data can be crossed with relevant drugs data (drugs and precursors seizures, illicit crops monitoring), and other illicit trafficking flows, with a view to establish possible correlations, as well as with other relevant firearms related data, such as major manufacturing countries, licit transfer flows, etc.
- Moreover, by collecting such data on a regular basis and in periodic intervals (eg. on an annual basis), it will be possible to establish trends and patterns of the illicit trafficking flow. This will significantly enhance the analytical capacity of both Member States and the international community, and contribute to visualize and to enrich the overall understanding of the illicit firearms trafficking problematic.

### **Roll out**

- Each participating country will be requested to nominate a focal point who will liaise with the relevant national authorities for the purpose of collecting data.
- Where possible, UNODC will seek to cooperate and coordinate with relevant regional bodies involved in similar data collection exercises at the sub-regional level, with a view to maximize resources, agree on common criteria for the data collection and analysis exercise, and identify opportunities for joint activities.
- UNODC will send out a note verbal to Member States, inviting them to participate in the data collection exercise.

### **Duration:**

- Data on the seizures will be collected on annual basis (see drug seizure reports). In order to be able to identify possible trends and patterns, the study will collect data on past seizures for the period 2010-2012, in order to have not less than three comparable sets of data, and encourage States, where possible, to provide also data for 2013.
- UNODC's current mandate is to produce "a study". Through its Global Firearms Programme, UNODC will assist States to continue on a regular basis collecting and producing firearms trafficking related data. Should the Conference of the Parties decide so, such exercise could become a periodic exercise (on quarterly and annual basis) with annual or bi-annual reporting cycles.

### **Data collection period:**

- 31 March 2014 deadline for submission of the questionnaires for seizures in 2010 – 2012;
- 30 April 2014 deadline for submission of the questionnaires for seizures in 2013;
- As of 2014, States can submit the significant individual seizures reports on quarterly basis (April: for seizures in January – March 2013; 31 July: for seizures in April – June 2013; 31 October, for seizures in July – September 2013; 31 January for seizures in October – December 2013).

### **Quality criteria for the Study**

- Improved availability and quality of firearms trafficking and related data, in particular with respect to the pilot regions / countries

- Full transparency on collected data (indication of source and definitions used)
- Produced analyses that are relevant to current international debate on firearms trafficking / crime/security and development
- Data suitable to conduct national, regional and global studies on illicit firearms trafficking and related offences
- Demonstrate the value of comprehensive statistical evidence on arms seizures and related analysis, to take informed decisions with regard to effective crime prevention policies at national and international levels and to reinforce the criminal justice response to illicit firearms trafficking.

### **Accompanying support through the Global Firearms Programme**

- UNODC's Global Firearms Programme will endeavor to provide technical advice and support to Member States (primarily countries from West Africa and South America) participating in the study to facilitate their data collection and analysis capacity throughout the duration of the study.
- UNODC will encourage and support the establishment of a specialized firearms monitoring and analysis mechanism, placed in a relevant institution, in charge of providing technical support to other law enforcement units and judicial services in the country. Depending on the institutional framework, these units can be inter-institutional, to ensure the centralization of the data collection.
- The data provided by Member States will be collected and stored by UNODC in a GIS database, with a view to map the illicit trafficking flows and to conduct multi-temporal analysis to identify trends and patterns of such flows.
- Through the data collection exercise, participating countries will further develop their capacity to collect and analyze national data on arms trafficking, and to contribute actively to the development of a comprehensive study.

### **Cooperation with regional and international organizations**

- The study will be conducted, where possible, in close consultation and coordination with other international and regional organization with a data collection mandate (INTERPOL, EUROPOL, WCO, EU). This will allow for the production of specialized regional side-products.
- Aware of the fact that currently there is no uniform classification of firearms at a global level, UNODC will adopt for the purpose of the study, a simple classification for firearms that is compatible with other classification systems such as the one used by INTERPOL's iArms initiative, by Europol, and by other regional organizations inter alia. This will ensure synergy between the conduct of the study and the implementation of the iArms initiative at the national level during the process of data collection.
- Other regional organizations are encouraged to support the development of the study and to cooperate with UNODC with a view to facilitate the exchange of information on the study findings at regional level.

### **Outcome**

- Established capacity in the country for ongoing collection and analysis of firearms trafficking data and their links to other serious crimes.
- A database of global data on firearms seizures provided by Member States, collected and analyzed by UNODC using a transparent, standardized and validated methodology.
- Established capacity to collect and analyze data at national, regional and global level.
- In some regions, enhanced information sharing and exchange of findings at the sub-regional level.
- In selected regions, sub-regional reports developed and shared with Member States.
- A global study to be presented to the Conference of the Parties at its seventh session.

## ANNEX I DATA COLLECTION

The study includes two sets of data: information about the consolidated annual seizures and information about significant individual seizures.

### I) Details from the Consolidated Annual Seizures Reports (SISR)

#### *Amount, make, status and location*

1. Total number of cases of seizures of firearms, their parts and components and ammunition carried out in the reporting period.
2. Total quantity of firearms, their parts and components and ammunition seized in your country in the reporting period. Types of firearms: revolver, pistol, rifle, shotgun, machine gun, submachine gun, craft production (artisanal/rudimentary firearm), Other, please specify (eg. air, gas, antique, light weapons) (if data cannot be disaggregated, please provide only the total)
3. 5 most frequent makes of the seized firearms.

#### *Trafficking Route*

4. 5 most frequent countries of manufacture
5. 5 most frequent source (departure) countries from where the seized firearms, parts and components and ammunition were obtained.
6. 5 most frequent transit countries, from which the firearms, their parts and components and ammunition entered your country.
7. 5 most frequent countries of destination
8. 5 most frequent modes of transportation for the seized firearms, their parts and components and ammunition ( Mode: air, road, rail, sea, mail, other).

#### *Traffickers*

9. 10 most common citizenships of people recorded for or associated with firearms trafficking in your country, from most common to least common.
10. **Open question:** Describe the **current situation with regard to firearms trafficking groups or organizations** operating in your country. For example, what are the nationalities of those involved in firearms trafficking? What is the structure of such groups operating in your country? Specify the types of arms involved. Specify whether the group is mainly dedicated to firearms trafficking or to other criminal activities. If so, to which ones. Describe also **new trends and technologies in illicit trafficking**.

#### *Trafficking trends*

11. **Open question:** Please provide details on the firearms trafficking trends and their trans-national nature. Also include any other information relevant to trafficking in your country. Please always specify the type of firearms involved.

### ***Trafficking routes and modus operandi***

12. **Open question:** Please provide details on the routes and modus operandi of the trafficking in firearms, parts and components, and ammunition in your country during the reporting period.

### ***Related crimes***

13. How many of the seizures were associated with:
- Proceedings on illicit trafficking / contraband / smuggling of firearms;
  - Other criminal offences crimes.
  - Non-criminal law proceedings, such as administrative violations.
14. Specify the 5 most frequent offences that came to the attention of the authorities in connection to the seizures. (Please specify: illicit trafficking, contraband / smuggling, illicit possession, illicit use, carrying without licence, possession for the purpose of illicit trafficking; illicit manufacturing, falsifying or illicitly obliterating, removing or altering the marking(s) on firearms, customs violation, theft, robbery, homicide, drug trafficking, human trafficking, trafficking in counterfeit goods, trafficking with endangered species, piracy, money laundering, illicit trafficking of cultural property, terrorist offences, other)
15. 5 most frequent items seized together with firearms, their parts and components and ammunition (money, drugs, precursors, counterfeit goods, contraband goods, precious metals, cultural property, ivory, endangered species, other)

### ***Tracing***

16. Number of the seized firearms, their parts and components and ammunition, which were:
- registered in your country
  - registered in another country
  - not registered (eg. illicitly manufactured)
  - unknown (not sufficient tracing information available)
17. Please specify the ownership of the seized firearms registered in your country:
- Civilian (individual)
  - State institutions (police, armed forces, etc.)
  - Commercial entity (manufacturer, dealer, broker, private security company, sport-shooting entity, other legal entity)

### ***International cooperation***

18. Please indicate the 5 main countries, which have cooperated with your country in relation to the firearms seizures.
19. Please indicate the 5 main countries, with which your country has cooperated in relation to seizures in foreign countries.

20. Please indicate the 5 main countries to whom you have sent a tracing request

21. Please indicate the 5 main countries from which you have received a tracing request

## **II) Details from Significant Individual Seizures Reports**

### ***ID of seizure incidents***

1. Most significant seizures of firearms, parts and components and ammunition occurred during the reporting period.
  - Date (exact date of the seizure)
  - Name of the operation (if available)

### ***Location***

2. Where were the firearms, their parts and components and ammunition seized?
  - Country
  - Place of seizure

### ***Identification of all seized items individually by operation / case***

3. **Firearms:**
  - Identification of each seized firearm based on:
    - i. Type (revolver, pistol, rifle, shotgun, short shotgun (pistol) machine gun, submachine gun, combined gun, rudimentary arms, other) ,Action (repeating, fully automatic, semi automatic, single-shot, converted, blank firing, other), Make, Model, Caliber or Gauge, Country of origin / manufacture, Country of legal import (when marked).

4. **Parts and components**
  - Number of parts and components seized in the single operation.
  - Identification of each seized part and component based on:
    - i. Type (drop down menu: barrel, frame or receiver, slide, cylinder, bolt, breech block, magazine, scope, silencer, other, no details available)

5. **Ammunition identification**
  - Identification of the seized ammunition based on:
    - i. Number of rounds seized
    - ii. Type (firearms ammunition and other (for example shells and missiles for cannons, grenade launchers and mortars).

6. **Seizure context**

Offences leading to the seizure of the firearms. Specify the offences that came to the attention of the authorities in connection to the seizures: (drop down menu: illicit trafficking, contraband / smuggling, illicit possession, illicit use, carrying without licence, possession for the purpose of illicit trafficking; illicit manufacturing, falsifying or illicitly obliterating, removing or altering the marking(s) on

firearms, terrorist offences, customs violation, theft, robbery, homicide, drug trafficking, human trafficking, trafficking in counterfeit goods, trafficking with endangered species, piracy, money laundering, illicit trafficking of cultural property, other offence)

### ***Trafficking routes and methods***

#### **7. Trafficking route**

- Country of departure (In which country was the firearm obtained)
- Transit countries
- Destination country

#### **8. Trafficking Method**

- Type of routing: (drop down menu: Border – inbound; Border – outbound; In transit (foreign citizens, foreign means of transport);Other)
- Installation (location) of the seized firearms, their parts and components and ammunition: (drop down menu: airport, boat, household, train station, plane, post office, seaport, train, warehouse, vehicle, other.)
- Hiding place:(drop down menu: baggage, freight, postal package, transport vehicle)
- Mode of transportation: (drop down menu: air, road, rail, sea, mail)

### ***Trafficker(s) details***

#### 9. Information on:

- Number of traffickers
- Nationality of the trafficker(s)
- Gender
- Age

### ***Tracing***

#### 10. Information on the origin of the seized firearms, parts and components and ammunition:

##### a. Registered in your country

- Ownership (i) Civilian possession (individual), ii) State institutions (police, armed forces, etc.) iii) Commercial entity (manufacturer, dealer, broker, private security company, sport-shooting entity, other legal entity)

##### b. Registered in another country,

(Drop down menu for a. and b.)

- Name of the country
- Ownership (a) Civilian possession (individual), b) State institutions (police, armed forces, etc.) c) Commercial entity (manufacturer, dealer, broker, private security company, sport-shooting entity, other legal entity)
- Status
  - i. Exported (Country of export, Intended end-user)
  - ii. Reported as stolen or lost

##### c. Not registered

##### d. Unknown

##### e. Break in crime (period between the last legal record and the recovery of the gun)

- i. < 3 months
- ii. > 3 months

***Items seized in connection with the seizure of firearms, their parts and components and ammunition***

11. Items seized in connection with the firearm, their parts and components and/or ammunition by type and quantity: (drop down menu with respective space for the units and quantities of each, for example: money, drugs, precursors, counterfeit goods, contraband goods, precious metals, cultural property, ivory, endangered species, other (please specify))

## ANNEX II Main Topics of the Study

### UNODC Comprehensive Study on Firearms trafficking (UNODC-CSFT) Proposed outline

The UNODC Comprehensive Study on Firearms Trafficking will assess the “*transnational nature of and routes used in trafficking in firearms, based on the analysis of information provided by States on confiscated weapons and ammunition.*” The study will be based on empiric and verifiable data on seizures and confiscations of firearms, their parts and components and ammunition, collected and provided by Member States. The focus of the study will be on both the dimension of the firearms problematic, and the emerging routes, patterns and modus operandi of firearms trafficking, both at global and regional level, as well as possible links to organized and other serious crimes. By putting particular emphasis on firearms tracing results, the study will also allow to assess the frequency and effectiveness of international cooperation efforts for the purpose of tracing firearms and investigating related criminal conducts. The below enumeration of topics is an indicative list of areas that will be addressed in the study, and does not necessarily reflect the actual distribution of chapters of the study.

#### **PART ONE GLOBAL TRAFFICKING IN FIREARMS PATTERNS AND FLOWS**

##### **INTRODUCTION**

- In the introduction the study will provide the necessary background information on the mandate, scope and extend of the study, as well as its methodology, limitations and possible gaps of the same.

##### **TOPIC 1: Dimension of the firearms problematic - Domestic vs. international seizures**

- Statistical information and analysis of the dimension of the illicit firearms trafficking problematic and the incidence of international trafficking as opposed to domestic seizures. Relevant background information on the problematic and its connections to broader issues.

##### **TOPIC 2: Major seizure results**

- The topic will provide an overview of the major seizures, by type and amount.
- The findings will allow to separate domestic from international seizures, and to assess the dimension and impact of the firearms problematic at national and regional level.
- Maps will allow to visualize the distribution of the seizures. The study will look at a variety of seized items: firearms, parts and components and ammunition; Other arms; eventually or relevant seizures made in the same context. Other items seized in connection with firearms

##### **TOPIC 3: Transnational Dimension of firearms trafficking: International routes used for trafficking in firearms**

The study on this topic will consist of the following:

Global trends and patterns of firearms trafficking

- Major sources countries of origin and of transit)
- Major routes
- Major destination countries
- Mapping of the routes and representation of the data on seized firearms on GIS maps

**TOPIC 4: Trends and patterns. Concealment methods and modus operandi**

- The study will describe major trafficking methods, trends and patterns, and identify the most relevant typologies of trafficking encountered. Such will include major concealment methods used by traffickers, as well as trends and modus operandi. The findings will also allow to establish common diversion techniques and strategies, and identify new and emerging trends.

**TOPIC 5: Tracing of firearms - Effectiveness of International Cooperation**

- Relevance of international cooperation in firearms trafficking cases;
- Various methods of cooperation;
- Major tracing results.
- Number of cases / arms traced.
- Examples of successful investigations, where possible, major obstacles encountered

**TOPIC 6: Trafficker profile**

- By nationality, gender and age

**TOPIC 7: Firearms related criminality and Links to other serious crimes**

- Grounds for seizures: most common firearms offences;
- Other reasons for seizures; Links to other serious crimes

**PART TWO REGIONAL FOCUS: REGIONAL TRAFFICKING PATTERNS AND FLOWS**

Depending on the level of responses received, the study will dedicate a part to the regional analysis of the collected data, with a view to identify region specific features, trends and patterns of the firearms problematic. The study will attempt to provide a regional or sub-regional analysis in particular of the following priority regions, which are currently working with the Global Firearms Programme and have expressed an interest in participating in the study: Depending on the data obtained, other or more detailed regional analysis will be conducted.

- Latin America and the Caribbean
- Africa (West Africa, Sahel region)
- Europe (European Union) and Western Balkans

**PART THREE CRIMINAL JUSTICE RESPONSES TO FIREARMS TRAFFICKING**

- International legal framework on firearms control. Overview of national and regional criminal justice responses.
- The study will address the criminal justice responses of participating countries and discuss relevant policy implications and good practices at national laws, regional and international level.

**CONCLUSIONS**

- Major findings and policy implications for countries and international organizations

**ANNEXES**

- I. National Overviews of Selected / Participating Countries**
- II. Description of the Methodology**
- III. Questionnaire**