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Working Group on Firearms

Vienna, 2 to 3 May 2018

Item 3 of the provisional agenda*

Practical measures under the Firearms Protocol that contribute to preventing criminal organizations and terrorist groups from acquiring weapons through illicit trafficking, and to monitoring the achievement of target 16.4 of the Sustainable Development Goals**Questionnaire on illicit arms flows****Note by the Secretariat****I. Introduction**

1. In 2015, pursuant to the mandate given by the Conference of the Parties to the United Nations Convention against Transnational Organized Crime, the United Nations Office on Drugs and Crime (UNODC) published its first firearms study,¹ based on quantitative and qualitative data on seized firearms, their parts and components and ammunition, as well as information related to firearms trafficking from 48 Member States. Since then, the Conference further stressed the importance of continuing global efforts to enhance the knowledge and understanding on firearms trafficking, its trends and modus operandi, with a view to enhance information exchange and cooperation and develop effective, evidence based responses to significantly reduce these flows and combat related forms of crime, and monitoring the progressive achievement of these goals. The importance of understanding illicit arms flows and of combating related forms of organized crime was also acknowledged in the 2030 Agenda for Sustainable Development.² Target 16.4 of the Sustainable Development Goals explicitly calls on Member States to, by 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime. In 2017, Member States agreed on an indicator to monitor and measure, at global level, the progress in the achievement of this goal and UNODC was designated co-custodian for the global monitoring of this target goal, together with the United Nations Office for Disarmament Affairs.³

* CTOC/COP/WG.6/2018/1.

¹ The study and the accompanying country fact sheet are available at <https://www.unodc.org/unodc/en/firearms-protocol/publications.html>.

² General Assembly resolution 70/1 of 25 September 2015. The 2030 Agenda came into effect on 1 January 2016.

³ The refined indicator focuses on the proportion of seized, found and surrendered arms, whose illicit origin was traced or otherwise established by a competent authority, in line with international instruments (see General Assembly resolution 71/313).



2. At its eight session in 2016, the Conference, in its resolution 8/3, requested UNODC to continue to collect and analyse, on a regular basis, quantitative and qualitative information and suitably disaggregated data on trafficking in firearms, their parts and components and ammunition, taking into consideration the usefulness of the UNODC Study on Firearms 2015 as a starting point for further analysis and taking into account target 16.4 of the Sustainable Development Goals, as well as to continue to share and disseminate its findings on best practices, the dimensions and characteristics of such trafficking, and lessons learned.

3. Pursuant to this mandate, the Global Firearms Programme, with the support of the Research and Trend Analysis Branch, revised and updated the data collection methodology in close cooperation with Member States, and with firearms and statistical experts who were consulted at several stages of the review process. During an informal expert group meeting organized by UNODC in September 2016 with almost 40 participants, the overall scope, extent and periodicity, along with specific methodological aspects of this process, were discussed.⁴ A second round of informal consultations with more than 10 experts took place in March 2017. Based on these findings, UNODC prepared a draft questionnaire and launched a pilot exercise involving 40 direct participants to test the draft questionnaire and provide tailored feedback to UNODC. The pilot was carried out between October 2017 and January 2018. Moreover, the Global Firearms Programme conducted a series of regional meetings for Africa, Latin America and Member States of the European Union on firearms data collection, with the aim to raise awareness and obtain additional feedback on the data collection tool.

II. Scope and content of the questionnaire

4. The present questionnaire is the result of this comprehensive revision exercise. The data collection tools serves the dual purpose of collecting and analysing firearms data and information in line with the mandate provided by the Conference to UNODC, as well as to support the global monitoring the achievement of target 16.4 of the Sustainable Development Goals and its indicator 16.4.2 by UNODC. Member States are requested to provide on an annual basis data to UNODC using the questionnaire data file, which comprises two sets of Excel files: the statistical data file, which collects core information on seized, found and surrendered arms;⁵ parts, components and ammunition; tracing results; significant seizures; criminal justice response to illicit firearms trafficking; as well as information on the trafficking context; as well as a metadata file, which collects information on the scope and nature of the data provided in the data file and is crucial for correctly understanding, interpreting and contextualizing the data provided by Member States.

5. In March 2018, Member States were invited by Note Verbal to designate a national focal point for the collection, harmonization and submission of the data to UNODC. At the time of drafting this background paper, the launch of the official data collection exercise is planned for April 2018. Member States are expected to respond to UNODC before July 31, 2018. Based on the collected information, UNODC will develop and disseminate periodic findings and analysis as requested by the Conference.⁶ The data file and the metadata questionnaire are reproduced in annex I and II of the present document.

⁴ The findings of the expert group meeting can be downloaded from the following link: <http://www.unodc.org/unodc/en/firearms-protocol/news/informal-expert-group-meeting-on-data-collection-and-analysis-on-illicit-trafficking-in-firearms.html>.

⁵ In order to ensure that data collected through the questionnaire can serve to monitor achievement towards target 16.4 of the Sustainable Development Goals, the questionnaire speaks of “arms” which, for the purpose of the questionnaire, comprise all firearms, as well as other small arms and light weapons.

⁶ Member States requiring assistance with the completion of the questionnaires, as well as with assessing and, where appropriate, improving the national data collection and registration system, may contact the Global Firearms Programme and the Research and Trend Analysis Branch on this initiative (Email: gfp@un.org, iafq@un.org).

Annex I

Questionnaire on illicit arms flows Data file

Report of the Government of:	
Reporting year:	2016 and 2017
Completed on (date):	(dd/mm/year)

The completed questionnaire on illicit arms flows is due on:

For technical support related to the completion of the questionnaire, please contact:

	<i>Telephone</i>	<i>Fax</i>	<i>Email</i>
Questionnaire on illicit arms flows			iafq@un.org

Introduction

The lack of an international system for standardized reporting on the scale, technologies, routes and methods of illicit trafficking in firearms, their parts and components and ammunition is a major barrier to more effective international cooperation and the identification of global trafficking trends and patterns. With a view to addressing this barrier, UNODC has been mandated by the Conference of the Parties to the United Nations Convention against Transnational Organized Crime and its supplementing Protocols at its seventh and eighth sessions, to collect and analyse, on a regular basis, quantitative and qualitative information and suitably disaggregated data on trafficking in firearms, their parts and components and ammunition. The present data collection questionnaire was developed pursuant to this mandate by UNODC, in close consultation and cooperation with Member States and relevant United Nations offices and research institutes, to be distributed annually to all Member States to gather firearms related data in a uniform and standardized manner. This annual data collection will help follow the illicit trafficking flows through the years, enhance information exchange and cooperation, and guide Member States actions to reduce illicit arms flows on their territories and regions. By aligning the questionnaire with target 16.4 of the Sustainable Development Goals and its indicator 16.4.2 (“Proportion of seized, found or surrendered arms whose illicit origin or context has been traced or established by a competent authority in line with international instruments.”), the present questionnaire also fulfils the function of measuring and monitoring the achievement of this target goal.

Instructions

The questionnaire on illicit arms flows consists of two documents:

(a) **Data file (the present file)**

The data used to build the relevant indicators is collected through this file. It is divided into seven thematic parts, each represented with a different colour in the tabs/sheets of this document. Parts one, three, four, five and seven belong to the core of the questionnaire and are requested every year. Parts two and six are part of the rotating structure of the questionnaire, and alternate in a two-year collection cycle. Each part encompasses the following thematic areas:

Part 1: Arms seizures

This part is divided into three sections (each on a separate tab): (1) Arms seized; (2) Criminal context; and (3) Geographical information on seized arms.

Part 2: Found and surrendered (requested during the first year of the collection cycle)

This part collects information regarding found and surrendered arms in tab 4: Found and surrendered.

Part 3: Tracing results for seized, found and surrendered arms

This section collects the information necessary to calculate and monitor indicator 16.4.2 of the Sustainable Development Goals in tab 5: Tracing results.

Part 4: Significant seizures

In this part, information on significant arms seizures is collected. Only significant seizure cases should be reported in this section. While whether a seizure is significant or not depends on the national context, the following criteria could be used as a general rule:

Quantitative criteria: — More than five arms

Qualitative criteria: — Seizures involving organized crime groups

— Seizures involving the trans-national trafficking of arms

Part 5: Seizures of parts and components, and ammunition

This part focuses on information related to the seizure of parts and components of arms and ammunition, in tab 7: Parts and components, and ammunition.

Part 6: Criminal justice system (requested during the second year of the collection cycle)

Information on the response by the criminal justice system to illicit trafficking of arms in the country is collected in this part, in tab 8: Criminal justice system.

Part 7: Trafficking context

In this part, additional qualitative and quantitative information on the context of illicit trafficking in arms is collected, in tab 9: Trafficking context.

(b) Metadata file (other Excel file)

The metadata file collects information necessary to understanding the data provided in the questionnaire. The file is divided in four main parts:

Part A: Definitions

This section collects information on the definitions used by the country when providing the requested data.

Part B: National framework

Information on the national legal framework of the country is collected in this section.

Part C: Tracing and international cooperation

This part collects information on the tracing procedures in place in the country and the international cooperation efforts in arms tracing.

Part D: Data sources and coverage

This section collects information on the sources used to respond to the data file and the coverage of the information provided.

Important: Please note that as of the second reporting year, the metadata file will be provided with the previous year 's reported responses (unless this is the first time your country is submitting its metadata file). Only changes in the responses should be reported every year.

Before completion of the data file, please read the following instructions:

1. Comments to aid the completion of the questionnaire are embedded in cells marked with a red triangle in the top right corner. Please note that these comments are not available when printing the document.
2. This questionnaire aims at collecting information on seizures that occurred in relation to criminal offences (or in unknown circumstances), excluding those seizures in relation to administrative offences. Therefore, questions a. and b. in tab 1 “arms seized” aim at making this differentiation. If possible, subsequent responses should exclude seizures in relation to administrative offences.
3. Definitions of key terms can be accessed directly by clicking on the term itself, which will automatically link to the definition in the “glossary” tab. If it is not possible to provide data using the recommended counting units and rules, please provide available data according to the national definitions and specify the details in the metadata file.
4. Where information is unavailable, please leave the cell blank and do not enter “n/a” or any other response. Notes can be entered in the “remarks” fields if necessary.
5. The calendar year should be used as the reporting period. Where some other annual period is used, such as a fiscal year, this should be noted in the “remarks” field.

6. A column marked “validation” is provided on the right of some of the tables. Please verify whether the totals reported coincide with the totals that appear in the Validation column, and make the necessary adjustments as needed.

Respondents

Please provide details of the focal point for reporting on this questionnaire in your country. Where technical contacts have been identified and contributed to the questionnaire, please list them under “additional technical contacts”, indicating, if possible, which responses they have contributed to.

National focal point for the questionnaire on illicit arms flows

Name	Position	Agency	Address	Telephone	Fax	Email

Additional technical contacts (please add lines as necessary)

Name	Position	Agency	Telephone	Fax	Email	Questions contributed to ⁷

Part 1: Arms seizures

A. Arms seized

<i>a. Do the competent authorities in your country seize arms purely based on administrative offences?</i>	Yes/no
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If the answer to question a. above is no, then please go to table 1.2 below. If the answer is yes, please continue with question b. below.

<i>b. Do the data available in your country allow to differentiate those seizures in relation with criminal offences from those related to administrative offences?</i>	Yes/no
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If the answer to question b. above is yes, please provide information in relation to administrative offences in question 1.1 below. Otherwise, please go to table 1.2 after reading the important instruction below.

1.1. Please report the total amounts of arms seized in relation to <u>administrative offences</u>:	2017:	
	2016:	

⁷ Please specify which questions the person contributed to. For example: 1, 3–5.

IMPORTANT INSTRUCTION

If the answer to the question b. above is yes, please report from this point onwards only the amounts of arms seized/individual seizures in relation with *criminal offences* or unknown circumstances (excluding seizures in relation to administrative offences), unless otherwise specified. Otherwise, please report the *total* amount of arms seized/individual seizures.

1.2. Total instances/cases of seizures. Please report the total amount of instances in line with the IMPORTANT INSTRUCTION above.				
	2016	2017	Remarks	
	Total instances	Total instances		
<i>Total instances/cases of seizures</i>				
1.3. Total arms seized by type of weapon				
Category	2016	2017	Remarks	Validation
	Total arms seized	Total arms seized		
<i>1. Total</i>			Please enter the total number of arms seized, in line with the IMPORTANT INSTRUCTION above, in the adjacent cells marked “total” to the left	
2. Revolver				
3. Pistol				
4. Rifle				
5. Shotgun (including short shotgun)				
6. Machine gun				
7. Submachine gun				
8. Other arms; please specify ⁸				
9. Unknown				
1.4. Total arms seized by condition of the arms				
1. Industrially manufactured arms with no signs of alteration or deactivation				Validation table: line 1 of table 1.3:
2. Converted arms ⁹				
3. Assembled arms				
4. Reactivated arms				
5. Modified arms				

⁸ Please specify the other types of seized arms in the “remarks” field and indicate the corresponding figures.

⁹ Please specify the type of conversions in the “remarks” field.

6. Arms otherwise illicitly manufactured, including artisanal production					
7. Unknown					2016 2017
8. Total					
1.5. Total arms seized by marking of the arms					
1. Uniquely marked					
2. No marking					
3. Altered marking ¹⁰					
4. Unknown					2016 2017
5. Total					
1.6. Total arms seized by country of manufacture. Please report the five main countries. Please feel free to add more lines by using the “add line” button.					
2016		2017		Remarks	
Country of manufacture	Total arms seized	Country of Manufacture	Total arms seized		
Other countries		Other countries			
Unknown		Unknown			2016 2017
Total		Total			

B. Criminal context

2.1. Total arms seized, by legal justification of seizure. In case of multiple offences, please use the most severe when reporting.				
Legal justification	2016	2017	Remarks	Validation
	Total arms seized	Total arms seized		
1. Illicit possession				Validation table: line 1 of table 1.3:
2. Illicit use				
3. Illicit trafficking				

¹⁰ This category refers to items that are not uniquely identifiable because the marking was altered and cannot be recovered. If the marking was altered, but could be recovered, thereby allowing the weapon to be traced, it should be counted under “uniquely marked”.

4. Illicit manufacture				
5. Altered markings				
6. Unknown				
7. Other; please specify				2016 2017
8. Total				
2.2. Total arms seized in connection with other suspected offences. The values reported may add up to more than the total arms seized reported above, as one weapon may be seized in connection with multiple suspected offences.				
		2016	2017	
Other suspected offences		Total arms seized	Total arms seized	Remarks
Arms offences	1. Illicit trafficking			
	2. Other arms offences ¹¹			
Forms of trafficking	3. Drugs			
	4. Other type of trafficking ¹²			
6. Other forms of organized crime ¹³				
7. Acts of terrorism				
8. Violent Crime				
9. Other; please specify in remarks				

C. Geographical information

3.1. Total arms seized, by type of location				
	2016	2017		
Type of location of seizure	Total arms seized	Total arms seized	Remarks	Validation
1. Planes and airports				Validation table: line 1 of table 1.3:
2. Vessels and harbours				
3. Land borders				
4. National/within national territory				
5. Other; please specify				
6. Unknown location of seizures				2016 2017
7. Total				

¹¹ Please specify in the "remarks" field.

¹² Please specify in the "remarks" field.

¹³ Please specify in the "remarks" field.

3.2. Please provide the geographical areas (State, region, department or province) in your country where <u>most</u> arms were seized, and the corresponding amounts of arms seized. Please feel free to add more lines by using the “add line” button.					
2016		2017		Remarks	
State, region, department or province	Total arms seized	State, region, department or province	Total arms seized		
Other regions		Other regions			
Unknown location		Unknown location			
<i>Total</i>		<i>Total</i>			

Validation
table: line 1 of
table 1.3:

2016 2017

3.3. Please indicate the five <u>most frequent</u> routes that have been observed in seizures related to illicit trafficking of arms in your country. Please rank them from most to least commonly observed. <u>If possible</u> , provide the total amount of arms seized in each route. Please feel free to add more routes by using the “add line” button.							
Ranking	Country of departure	Transit countries			Intended country of destination ¹⁴	Total arms seized along this route	Remarks
		Transit country 1	Transit country 2	Transit country 3			
1. Most common							
2. Second most common							
3. Third most common							
4. Fourth most common							
5. Fifth most common							
...							

¹⁴ Please select from drop down menu: your country; other country, specify in “remarks”; unknown.

Part 2: Information on found and surrendered arms (only requested during the first year of the collection cycle)

4.1. Total arms found and surrendered by type of arms						
Category	Total arms FOUND		Total arms SURRENDERED		Remarks	Validation
	2016	2017	2016	2017		
1. Revolver						
2. Pistol						
3. Rifle						
4. Shotgun (including short shotgun)						
5. Machine gun						
6. Submachine gun						
7. Other arms; please specify ¹⁵						
8. Unknown						
9. Total						
4.2. Total arms found and surrendered by type of marking of the weapons						
1. Uniquely marked						
2. No marking						
3. Altered marking ¹⁶						
4. Unknown						
5. Total						
4.3. Total arms found and surrendered by country of manufacture. Please report the five main countries. Please feel free to add more lines by using the “add line” button.						
Type of weapon	2016		2017		Remarks	Validation
	Country of manufacture	Total arms	Country of manufacture	Total arms		
FOUND arms						table: line 9 of table 4.1:

¹⁵ Please specify the other types of arms found and surrendered in the “remarks” field and indicate the corresponding figures.

¹⁶ This category refers to items that are not uniquely identifiable because the marking was altered and cannot be recovered. If the marking was altered, but could be recovered, thereby allowing the weapon to be traced, it should be counted under “uniquely marked”.

	Other countries		Other countries			2016	2017
	Unknown		Unknown				
	<i>Total</i>		<i>Total</i>				
SURRENDERED arms						Validation table: line 9 of table 4.1:	
	Other countries		Other countries				
	Unknown		Unknown			2016	2017
	<i>Total</i>		<i>Total</i>				
4.4. Please provide information on the context of the surrenders, such as whether you have regular voluntary arms collection campaigns.							
Did you have regular voluntary arms collection campaigns during the reporting year?					Yes/no		
Did you have a disarmament, demobilization and reintegration process in place during the reporting year?					Yes/no		
Please provide details as to how are the surrendered arms disposed of by authorities, and any other information regarding the context of the surrenders you may deem relevant:							

Part 3: Information on tracing results of arms seized, found and surrendered

IMPORTANT: Answers to questions in tables 5.1–5.3 are relevant for reporting under indicator 16.4.2 of the Sustainable Development Goals.

5.1. Total number of arms <u>seized</u>, disaggregated by outcome of tracing and other follow-up activities.					
Type of weapon	Outcome of tracing/follow-up activities	2016	2017	Remarks	Validation
		Total arms seized	Total arms seized		
1. Uniquely identifiable through marking	1.1. Weapon seized from its <u>legitimate</u> owner and found in <u>national</u> registry				Validation table: table 1.5:
	1.2. Weapon seized from <u>illegitimate</u> owner and found in <u>national</u> registry (e.g., lost or stolen) (national tracing)				
	1.3. Point of diversion of the weapon (last legal record) identified through				

	tracing and weapon found in foreign registry (international tracing)					
	1.4. Point of diversion otherwise established by a competent authority; please specify					
	1.5. Tracing attempted, but not enough information to identify point of diversion					
	1.6. Tracing procedure still <u>pending</u>					
	1.7. No tracing procedure initiated ¹⁷				2016	2017
	1.8. Total					
2. Not uniquely identifiable	2.1. Illicitly manufactured					
	2.2. Erased or altered marking					
	2.3. No information available about the item				2016	2017
	2.4. Total					
3. Unknown status with respect to marking						
4. Total (lines 1.8. + 2.4. + 3.)						
5.2. Total number of arms found, disaggregated by outcome of tracing and other follow-up activities.						
Type of weapon	Outcome of tracing/follow-up activities	2016	2017	Remarks		
		Total arms found	Total arms found			
1. Uniquely identifiable through marking	1.1. Weapon recorded in <u>national</u> registry as associated with legitimate owner					
	1.2. Weapon recorded in <u>national registry</u> as lost, stolen, deactivated, destroyed or otherwise not held by a legitimate owner ¹⁸ (national tracing)					
	1.3. Point of diversion (last legal record) of the weapon <u>identified</u> through tracing and weapon found in <u>foreign</u> registry (international tracing)					
	1.4. Point of diversion/illicit origin otherwise established by a competent authority; please specify					Validation table: table 1.5:

¹⁷ Please specify in the “remarks” field why no tracing procedure was initiated.

¹⁸ Please provide details and, if available, disaggregated amounts in the remarks column.

	1.5. Tracing attempted, but not enough information to identify point of diversion					
	1.6. Tracing procedure still <u>pending</u>					
	1.7. No tracing procedure initiated ¹⁹				2016	2017
	1.8. Total					
2. Not uniquely identifiable	2.1. Illicitly manufactured					
	2.2. Erased or altered marking					
	2.3. No information available about the item				2016	2017
	2.4. Total					
3. Unknown status with respect to marking						
4. Total (lines 1.8. + 2.4. + 3.)						
5.3. Total number of arms <u>surrendered</u>, disaggregated by outcome of tracing and other follow-up activities.						
Type of weapon	Outcome of tracing/follow-up activities	2016	2017	Remarks		
		Total arms surrendered	Total arms surrendered		2016	2017
1. Uniquely identifiable through marking	1.1. Weapon recorded in <u>national</u> registry as associated with legitimate owner					
	1.2. Weapon recorded in <u>national registry</u> as lost, stolen, deactivated, destroyed or otherwise not held by a legitimate owner ²⁰ (national tracing)					
	1.3. Point of diversion (last legal record) <u>of the weapon identified</u> through tracing and weapon found in <u>foreign</u> registry (international tracing)					
	1.4. Point of diversion/illicit origin otherwise established by a competent authority; please specify					
	1.5. Tracing attempted, but not enough information to identify point of diversion					Validation table:
	1.6. Tracing procedure still <u>pending</u>					table 1.5:
	1.7. No tracing procedure initiated ²¹					2016

¹⁹ Please specify in the “remarks” field why no tracing procedure was initiated.

²⁰ Please provide details and, if available, disaggregated amounts in the “remarks” column.

²¹ Please specify in the “remarks” field why no tracing procedure was initiated.

	1.8. Total								
2. Not uniquely identifiable	2.1. Illicitly manufactured								
	2.2. Erased or altered marking								
	2.3. No information available about the item						2016	2017	
	2.4. Total								
3. Unknown status with respect to marking									
4. Total (lines 1.8. + 2.4. + 3.)									
5.4. Tracing requests sent by your country to other countries or regional/international organizations during the most recent reporting year, and answers received to those requests. Please add lines as necessary. If applicable, please indicate whether you also trace through other channels in the “remarks” field.									
Requested country/ organization	Requests sent ²²			Answers received		Remarks			
	Number of requests sent	Total number of arms involved		Number of answers received	Total number of arms involved				
²³									
Total									
5.5. Tracing requests received by your country from other countries or regional/international organizations during the most recent reporting year, and answers provided to those requests. Please add lines as necessary. If applicable, please indicate whether you also trace through other channels in the “remarks” field.									
Requesting country/ organization	Requests received ²⁴			Answers provided		Remarks			
	Number of requests received	Total number of arms involved		Number of answers provided	Total number of arms involved				
Total									

²² Reminders should not be counted as separate requests.

²³ List of country names in dropdown menu.

²⁴ Reminders should not be counted as separate requests.

Part 4: Significant individual arms seizures

6.1. Please list the cases of significant seizures in your country during the reference period, as defined in the instructions. For every case, assign a case number (1,2,3,...) and use as many lines as necessary to specify the arms seized and the other requested details.				
Case No.		1.	2.	3. ...
Location of seizure (city/municipality)				
Arms	Type of weapon ²⁵			
	Country of manufacture ²⁶			
	Make			
	Total arms			
Other items seized with arms	Other items seized with arms ²⁷			
	Quantity			
	Unit of measurement			
Individuals involved	Number of individuals brought into formal contact with the police (suspected/arrested) in relation to seizure			
Is this a case of illicit trafficking of arms?		Yes/no/unknown		
Trafficking route, if applicable	Country from which seized arms entered national territory ²⁸			
	Type of routing ²⁹			
	Location of seizure ³⁰			
Remarks				
6.2. Please provide further details on the cases above, including the criminal context and whether organized criminal groups were involved.				

²⁵ Please select from the dropdown menu: revolver; pistol; rifle; shotgun (including short gun); machine gun; submachine gun; other (specify).

²⁶ Please select from the dropdown menu: unknown, list of all Member States.

²⁷ Please select from the drop down menu: parts and components of firearms; ammunition; contraband goods; counterfeit goods; cultural property; drugs; explosives; money; natural resources; precursors; wildlife; other (please specify).

²⁸ Please select from drop down menu: unknown and list of all Member States.

²⁹ Please select from drop down menu: border-inbound; border-outbound; national territory; international waters; other (specify).

³⁰ Please select from the drop down menu: boat; household; train station; post office; seaport; airport; train; vehicle; warehouse other (specify).

Part 5: Information on seizures of parts and components, and ammunition

7.1. Total parts and components and ammunition seized.							
Type of item	2016		2017		Remarks	Validation	
	Total items seized		Total items seized				
1. Parts and components							
2. Rounds of ammunition							
7.2. Total rounds of <u>ammunition</u> seized by country of manufacture. Please report the five main countries. Please feel free to add more lines by using the “add line” button.							
2016		2017			Remarks	Validation	
Country of manufacture	Total items seized	Country of manufacture	Total items seized	Remarks			
						Validation table: line 2 of table 7.1:	
Other countries		Other countries					
Unknown		Unknown					
<i>Total</i>		<i>Total</i>				2016 2017	
7.3. Please indicate the five <u>most frequent</u> routes that have been observed in seizures related to illicit trafficking of <u>ammunition</u> in your country. Please rank them from most to least commonly observed. If possible, provide the total amount of rounds of ammunition seized in each route. Please feel free to add more routes by using the “add line” button.							
Ranking	Country of departure	Transit countries			Intended country of destination ³¹	Total rounds seized along this route	Remarks
		Transit country 1	Transit country 2	Transit country 3			
1. Most common							
2. Second most common							

³¹ Please select from drop down menu: your country; other country, specify under “remarks”; unknown.

3. Third most common							
4. Fourth most common							
5. Fifth most common							
...							

Part 6: Criminal justice system (only requested during the second year of the collection cycle)

8.1. Number of <u>individuals</u> targeted by the criminal justice system <u>due to illicit trafficking in arms</u>, by legal status				
Status	Gender	2016	2017	Remarks
		Total individuals	Total individuals	
1. Individuals brought into formal contact with the police (arrested/suspected)	1.1. Men			
	1.2. Women			
	1.3. Unknown			
	1.4. Total			
2. Individuals prosecuted	2.1. Men			
	2.2. Women			
	2.3. Unknown			
	2.4. Total			
3. Individuals convicted	3.1. Men			
	3.2. Women			
	3.3. Unknown			
	3.4. Total			
4. Total				
8.2. Please report the number of <u>individuals</u> that were <u>brought into formal contact with the police</u> (arrested/suspected) due to <u>illicit trafficking in arms</u>, by whether they were also suspected or arrested of other offences. Please note that the total (line 9) can be lower than the sum of the cells, as one individual can be arrested/suspected of more than one offence.				
Other offences		2016	2017	Remarks
		Total individuals	Total individuals	
1. Only illicit trafficking in arms				
Arms offences	2. Illicit possession or use			
	3. Other arms offences			
4. Drug trafficking				

Forms of trafficking	5. Other forms of trafficking, please specify		
6. Other forms of organized crime			
7. Violent Crime			
8. Acts of terrorism			
9. Other offences			
<i>10. Total individuals brought into formal contact with the police due to illicit trafficking in arms</i>			

Part 7: Additional information on the trafficking context of arms

9.1. Please provide information on the prices of arms in the illicit/black market and in the licit market for the five most popular types of arms during the most recent reporting year in your country.

Type of weapon	Model	Typical price in the LICIT market	Typical price in the ILLICIT/BLACK market	Currency ³²	Remarks

9.2. Please describe and comment on the current situation and latest trends regarding trafficking of arms, their parts and components and ammunition in your country, including:

Situation regarding trafficking trends:

According to your knowledge, what was the trend of trafficking of arms during the reporting year compared to previous years?	³³
According to your knowledge, what was the trend of inbound trafficking of arms during the reporting year compared to previous years; i.e., arms being trafficked into your country?	³⁴
According to your knowledge, what was the trend of outbound trafficking of arms during the reporting year compared to previous years; i.e., arms being trafficked out of your country?	³⁵

Please provide information on the main types of arms, parts and components and ammunition being trafficked in the country, including information on trafficking in modified or converted arms and arms assembled from parts and components.

Please provide information on the modus operandi employed by traffickers, such as the use of parcel deliveries, the internet and the dark web:

³² Both prices should be expressed in the same currency, specified in this column.

³³ Please select from the drop down menu: large increase; small increase; stable; small decrease; large decrease; not known.

³⁴ Please select from the drop down menu: large increase; small increase; stable; small decrease; large decrease; not known.

³⁵ Please select from the drop down menu: large increase; small increase; stable; small decrease; large decrease; not known.

9.3. Please provide any links or information regarding publications or studies on the subject of illicit trafficking of arms in your country that you consider relevant. If necessary, please attach any relevant documents to your submission.

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Annex II

Questionnaire on illicit arms flows

Metadata file

Introduction

The present metadata file supplements the data file of the questionnaire on illicit arms flows. The questionnaire is an annual data collection initiative on quantitative and qualitative information and suitably disaggregated data on trafficking in arms, their parts and components and ammunition carried out by UNODC and based on a mandate by the Conference of the Parties to the United Nations Convention against Transnational Organized Crime and the Protocols thereto. The metadata collected in this file provides information on the scope and nature of the data provided in the data file. It is crucial for correctly understanding, interpreting and contextualizing the data provided by Member States.

Before completion of the data file, please read the following instructions:

1. Comments to aid the completion of the questionnaire are embedded in cells marked with a red triangle in the top right corner. Please note that these comments are not available when printing the document.
2. Please note that this file is filled with the previous year's responses provided by your country (unless this is the first time your country is submitting the metadata file). If there are no changes in the responses, there is no need to re-submit the file.
3. Please use the "remarks" field to provide any information you deem relevant, such as details on the methodologies and sources used, information kept on the registries, among others.

Part A: National definitions of key concepts

Please indicate whether your national definitions and your data account for the following components of the questionnaire's standard definitions. Please indicate under "remarks" if definitions are broader than the characteristics below, and include any other information that you would like to provide.

<i>Term: seized item</i>			
<i>See definition in the glossary.</i>			
Does your data reflect the following aspects of the definition for this term?			Remarks
Characteristics	Temporarily physically apprehended arms, their part and/or components, and ammunition	Yes/no	
	In relation to a criminal offence related to these items.		
	In relation to an administrative violation related to these items.		
	Can be permanently confiscated at a later stage by the state, or returned to their legitimate owner.		

Term: found item			
<i>See definition in the glossary.</i>			
Does your data reflect the following aspects of the definition for this term?			Remarks
Characteristics	Any arms, their part and/or components, and ammunition apprehended by authorities that is not linked to an intentional or planned investigation or inspection		
	Not attributable to any apparent holder or owner		
Term: surrendered item			
<i>See definition in the glossary.</i>			
Does your data reflect the following aspects of the definition for this term?			Remarks
Characteristics	Any arms, parts and/or components, and ammunition not linked to a planned investigation or inspection that have been handed to authorities		
	May be the result of a voluntary civilian surrender		
	May occur in the context of a disarmament, demobilization and reintegration processes		
Term: ammunition			
<i>See definition in the glossary.</i>			
Does your data reflect the following aspects of the definition for this term?			Remarks
Characteristic	Includes single parts and components of rounds of ammunition		
	Excludes explosives		
Term: illicit trafficking/smuggling			
<i>See definition in the glossary.</i>			
Does your data reflect the following aspects of the definition for this term?			Remarks
Characteristics	Includes cross-border transfer or movement of items without authorization		
	Includes the transfer or movement of items within national borders		
	Includes the nominal transfer of items (acquisition or sale)		
	Includes the transfer or movement of items without marks that would have permitted unique identification		
Term: illicit manufacturing			
<i>See definition in the glossary.</i>			
Does your data reflect the following aspects of the definition for this term?			Remarks
Characteristic	Covers the manufacturing or assembly of arms, their parts and components, or ammunition		
	Manufacturing from parts and components illicitly trafficked		
	Manufacturing without a license or authorization from a competent authority of the State party where the manufacture or assembly takes place		
	Without marking the arms at the time of manufacture		
Term: tracing			
<i>See definition in the glossary.</i>			

Does your data reflect the following aspects of the definition for this term?			Remarks
Characteristics	Systematic tracking of item at national level		
	Systematic tracking of item at international level		
	Action undertaken with a view to determine last legal record of the item		

Part B: National framework information

		Are these records centralized?	Are these records in an electronic format?	Remarks	
1. Does your country maintain up-to-date records on:	1. Arms?				
	2. Parts and components?				
	3. Ammunition?				
1.1. If your country does not maintain up-to-date records on parts and components, do you consider and record essential parts and components as firearms?					
		Name of institution(s) that keep the records			
2. Do these records include data on:	Military held arms?				
	Police held arms?				
	Civilian owned arms?				
	Seized, found and surrendered arms?				
	Other arms (e.g., peacekeeping related, held by private security companies)?				
3. Which of the institutions below collects data on seized, found and surrendered arms?					
Institution	Seized	Found	Surrendered	Are the registries centralized within the institution?	Remarks
Centralized registry ³⁶					
National police					
Regional/State police					
Armed forces					
Customs					
Firearms authority					
Other ³⁷					
					Remarks

³⁶ Please specify the institution responsible for keeping the centralized registry under “remarks”.

³⁷ Please specify under “remarks”.

4. Which institution has the authority to seize firearms, apprehend found and collect surrendered arms?	National police			
	Regional/State police			
	Armed forces			
	Customs			
	Firearms authority			
	Other ³⁸			
5. Does your country use the same classification and types of arms as used in the questionnaire (see glossary in the data file)? If your answer is no, please provide details below.				
6. Under your country's legal framework, are the following firearms related offences punishable through administrative or judiciary/criminal sanctions?				
Offence	Administrative	Criminal	No sanction	Remarks
Lack of adequate certification for use/possession				
Missing license or paperwork				
Illicit possession				
Altered/erased markings				
Illicit manufacture				
Illicit trafficking				
				Remarks
7. Does your country consider deactivated firearms as firearms?				

Part C: Tracing and international cooperation

1. Does your country have procedures in place to trace arms and, where feasible, their parts and components and ammunition at the national and/or international level?		
		Remarks
Arms		
Parts and components		
Ammunition		
2. Are the following elements considered as successful tracing by the competent authorities in your country?		
The initiation of a process to check the item against national records without considering the result of the procedure, i.e. whether the item is recorded in the national registry or not.		
The initiation of a process to check the item against records of a different State or international records without considering the result of the procedure or whether the counterpart responds or not.		

³⁸ Please specify under "remarks".

The determination of the recorded recipient of a transfer without considering potential subsequent recorded transfers.			
The determination of the last legal record of the traced item, i.e. the identification of the last end-user registered as legal holder of the item (This may require the initiation of several individual tracing requests).			
Other, please specify:			
3. What are the competent authorities for initiating national and international tracing procedures?			
Institution	Is the information on tracing procedures recorded in a registry?	Are these records centralized within the institution?	Remarks
National police			
Regional/State police			
Armed forces			
Customs			
Firearms authority			
Other; please specify under "remarks"			
4. What are the competent authorities for responding to tracing requests received from other States?			
Institution	Is the information on tracing procedures recorded in a registry?	Are these records centralized within the institution?	Remarks
National police			
Regional/State police			
Armed forces			
Customs			
Firearms authority			
Other; please specify under "remarks"			
5. Please describe under what circumstances do the competent authorities initiate a tracing procedure?			
6. Do the competent authorities initiate tracing procedures for found arms?			
If yes, please specify under which circumstances:			
7. Do the competent authorities initiate tracing procedures for surrendered arms?			
If yes, please specify under which circumstances:			
8. Do the competent authorities in your country cooperate with the following regional or international organizations as regards to international tracing requests?			
Organization	Remarks		
INTERPOL/iARMS			
Europol			
ECOWAS			
Other; please specify under "remarks"			

Part D: Data sources and coverage

1. Does the data provided in the data file cover the entire geographical territory of your country?		
If no, please specify what part of the country is included and which is excluded:		
Included		
Excluded		
2. Does the data provided in the data file cover all the relevant authorities in charge of seizing firearms, their parts and components and ammunition, as well as those in charge of processing found and surrendered items?		
If no, please specify data from which authorities are included and which are excluded:		
Included		
Excluded		
3. Please provide the sources (published and unpublished) that were referred to in answering to each of the sheets/tabs in the data file.		
Sheet/tab	Sources	Remarks
1 — Arms seized		
2 — Criminal context		
3 — Trafficking information		
4 — Tracing results		
5 — Significant seizures		
6 — Parts and components and ammunition		
7 — Trafficking context		
4. Does your country collect transactional information on the prices of arms in the illicit market?		
If yes, was this information used to calculate the typical black-market prices reported in table 7.1 of the data file?		
Please provide further details as to how the black-market prices and/or the price ratios provided in table 7.1 of the data file were estimated:		
5. Please explain what criteria was used to consider a seizure as significant when reporting in table 6.1 of the data file.		
6. What are the main challenges your country faces in collecting and recording data relevant to the questionnaire?		

Glossary

Term	Definition
Altered markings	Markings on an weapon that were modified, damaged, or removed in order to make the firearm unidentifiable.
Ammunition	The complete round or its components, including cartridge cases, primers, propellant powder, bullets or projectiles used in firearms.
Arms	All categories of firearms, including other small arms, and light weapons referred to in this questionnaire. The terms “arms” and “weapons” are used interchangeably.
Assembled arms	Any arms illegally put together from multiple industrially manufactured parts and components, without being part of an industrial process.
Case/instance	A single act of seizing arms, their parts and components or ammunition, regardless of how many items are seized collectively. For example, the seizure of a shipment containing 200 arms and 500 rounds of ammunition being trafficked illicitly via sea <i>one</i> case or instance, despite the fact that 700 items are being apprehended.
Converted arms	Any arms such as blank firing, air-soft, paintball or air cartridge that is adapted or modified to enable a shot, bullet or other projectile to be discharged that is capable of lethal injury.
Country of manufacture	The country where the item was manufactured. In the case of assembled arms, the country where the weapon was assembled should be considered.
Departure country	The country from where the traffickers originally departed before entering your national territory, or from where the arms were shipped, in the case of unaccompanied shipments. If such information is not available, please consider the country where the item was last legally recorded or, in cases where such record does not exist, the country of departure established through intelligence.
National/within national territory	Seizures that occur in national territory, but do not take place in airports, seaports or harbours, or in land borders, as defined above.
Found item	Any weapons, parts and components or ammunition apprehended by authorities not linked to an intentional or planned investigation or inspection, neither attributable to any apparent holder or owner, regardless of whether the item was reported lost or stolen.
Illicit manufacture	The manufacturing or assembly of arms, their parts and components, or ammunition: (a) From parts and components illicitly trafficked; (b) Without a licence or authorization from a competent authority of the State party where the manufacture or assembly takes place; or (c) Without marking the weapon at the time of manufacture with a unique marking providing the name of the manufacturer, the country or place of manufacture and the serial number; or maintaining 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. The manufacture of parts and components must be licensed and authorized in accordance with national law. “Illicit manufacturing” also refers to illicitly reactivated arms. For example, reactivating a deactivated weapon, which is not considered to be a weapon anymore, is considered illicit manufacture, as well as manufacturing a weapon at home with parts and components trafficked through the web without licence or authorization.
Illicit possession	The unlawful possession of regulated or prohibited firearms, their parts and components or ammunition. Carrying a handgun without a license is an example of illicit possession.
Illicit trafficking	The import, export, trans-shipment, acquisition, sale, delivery, movement or transfer of arms, their parts and components, and ammunition from or across the territory of one State to that of another State if any one of the States concerned does not authorize it in accordance with national law of one of the

	countries involved or if the arms are not uniquely marked upon manufacture and marked upon import. Arms that were not properly deactivated according to the national legislation of the destination country can also be illicitly trafficked or smuggled.
Illicit use	This is the unlawful use of regulated or prohibited firearms, their parts and components or ammunition. The illegal discharge of arms is an example of illicit use.
Individuals convicted	Persons found guilty by any legal body authorized to pronounce a conviction under national criminal law, whether or not the conviction was later upheld.
Individuals prosecuted	Alleged offenders against whom prosecution commenced in the reporting year(s). Persons may be prosecuted by the public prosecutor or the law enforcement agency responsible for prosecution. All persons for which prosecution starts should be counted, irrespective of the case-ending decision
Intended destination	The country for which the arms, parts and components, and ammunition were destined. Your country may also be considered in this category.
Last legal record	The last officially recorded information available about the item, its status (deactivated, stolen, lost, seized, found, surrendered, sent for destruction, confiscated, in transit, etc.) and its legal end-user. The identification of the last legal record may require the initiation of several individual tracing requests.
Make	The name or brand of the manufacturer of a given weapon. Examples include: Beretta, Colt, Glock, Smith and Wesson, and Taurus.
Modified arms	Any arms modified to increase their efficiency or damage capacities. For example, increased capacity of the magazine, cut barrel, modified from semi-automatic to automatic.
Natural resources	A naturally occurring source of wealth. For example, plants, mineral deposits, water, etc.
Parts and components	Any element or replacement element specifically designed for a firearm and essential to its operation, including a barrel, frame or receiver, slide or cylinder, bolt or breech block, and any device designed or adapted to diminish the sound caused by firing a firearm.
Point of diversion	The point in space and time, and/or circumstances when arms, parts and components, and ammunition left the licit circuit and entered the illicit one. For example, a weapon was manufactured in country A, then exported to country B, where it was stolen, and later trafficked to country C, where it was seized. In this scenario, the point of diversion occurred when the weapon was stolen in country B. Identifying the point of diversion entails tracing the last available legal record of the weapon in country B, either the last legal owner in the country or the record that indicates it was stolen.
Reactivated arms	Any weapon previously deactivated by the competent authority with a view to rendering it permanently inoperable and that has illegally been returned to working condition.
Seized items	Arms, their parts and components and ammunition that have been temporarily physically apprehended by a competent authority in relation to a suspected criminal offence or administrative violation related to these items. Seized items can be permanently confiscated at a later stage by the state, or returned to their legitimate owners.
Seizures related to administrative offences	Items seized in circumstances involving neither any of the offences listed in this questionnaire, nor any action prohibited by a national criminal code. Items seized under administrative circumstances are usually returned to their legitimate owner.
Seizures related to criminal offences	Items seized in circumstances involving an action prohibited by a national criminal code or any offence listed in this questionnaire, including, among others, trafficking and smuggling of arms. The item can be the main commodity, the instrument, or derived from the offence.
Surrendered item	Any arms, their parts and components, and ammunition willingly handed to authorities, that is not linked to a planned investigation or inspection. The surrender may occur as a personal initiative of a citizen, in the context of a

	voluntary surrender campaign, and disarmament, demobilisation and reintegration processes, inter alia.
Tracing	The systematic tracking of arms and, where possible, their parts and components, and ammunition, at a national and/or international level for the purpose of assisting the competent authorities of States Parties in detecting, investigating and analysing illicit manufacturing and illicit trafficking. Searching the national record for example is considered as tracing.
Transit country	The country through which the arms, their parts and components, and ammunition transited before reaching the destination country. There could be more than one transit country between the departure/source and destination country.
Typical price in the licit market	The typical price paid at a licit firearms specialized business for a specific weapon. This may refer to the median (or alternatively, the average) price derived from several observations obtained through a statistical data collection effort, or it may be obtained from knowledge derived from professional expertise in the field.
Typical price in the street/black market	The typical price paid for a specific weapon in the street or black market. This may refer to the median (or alternatively, the average) price derived from several observations obtained through intelligence operations (e.g., undercover initiatives), or it may be obtained from knowledge derived from professional expertise in the field.
Uniquely marked/uniquely identifiable	A uniquely marked item has a unique marking providing the name of the manufacturer, the country or place 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.
Violent crime	A crime in which the perpetrator uses or threatens to use force upon a victim. Examples include homicide, intended homicide, rape, among others.
Weapons	See “arms”.

Types of items

Types of arms
Machine gun: Firearm that automatically shoots more than once without manual reloading, by a single function of the trigger. A machine gun continues to load and fire ammunition until the trigger, or other activating device, is released, the ammunition is exhausted, or is jammed. Machine guns can have automatic firing systems, but often can be set to fire in semi-automatic mode.
Pistol: Firearm designed for semi-automatic operation. The chamber is part of the barrel. Cartridges are generally loaded into an ammunition magazine which is inserted into the grip. As long as cartridges are present in the ammunition magazine and the firearm is functioning properly, the action of the pistol is responsible for the feeding and chambering of the cartridge and the extraction and ejection of the cartridge case once the cartridge has been fired. The firing systems of pistols can be trigger, repetitive, semi-automatic or automatic. Types of pistols are the single shot pistol, repeating pistol, semi-automatic pistol and automatic pistol.
Revolver: A short or hand-held firearm which has a revolving cylinder with a number of chambers. These chambers are designed to be manually loaded with cartridges of the appropriate calibre; then, as the cylinder rotates into position under the hammer, the trigger can be pulled, releasing the hammer which causes the cartridge to be fired. According to the system of operation of the trigger tail, revolvers can be of double or single action.
Rifle (including carbine): A relatively long-barrelled firearm, fired from the shoulder, with a series of spiral grooves cut inside the barrel (referred to as rifling) imparting spin to the projectile. Some rifles have a detachable magazine similar to the pistols described above, and others have integral magazines. A carbine resembles a rifle but has a shorter barrel. Rifles or carbines have single-shot, repeating, semi-automatic or fully automatic systems.

Short shotgun (pistol): A handgun with one or more smoothbore barrels. Short shotguns have single-shot systems.
Shotgun: A shoulder-fired long gun with one or two unrifled barrels, usually designed to shoot a large number of small projectiles (referred to as shot) rather than a single large projectile (referred to as bullet). The firing systems of shotguns can be single-shot, repeating or semi-automatic.
Sub-machine gun: A hand-held, lightweight, short-barrelled machine gun consisting of relatively low-energy handgun-type cartridges and fired from the hand, hip or shoulder. Submachine guns have semi-automatic firing systems. (Where the firing system is automatic, firearms are classified as automatic pistols or automatic machine guns.)

Types of parts and components
Barrel: A metal tube, through which a projectile (or shot charge) travels under the force of the charge out of its front end. The barrel is fixed to the receiver/frame.
Bolt: A mechanical part of a firearm (mostly semi-automatic pistols) that blocks the rear chamber while firing, but moves aside to allow another cartridge to be inserted.
Breech block: The movable part of the firing system that seals the moment of firing, preventing gases from escaping. Most modern small firearms use a bolt.
Cylinder: A cylindrical, rotating part of a revolver that contains multiple cartridge chambers.
Frame or receiver: The main element of a hand gun to which the barrel and the stock are attached. The receiver holds other parts and components, such as the breech mechanism, trigger and firing mechanism.
Magazine: The ammunition storage and feeding device of a firearm within or attached to a repeating firearm. Magazines can be removable or integral to the firearm.
Silencer: The part designed to reduce the sound and the visible muzzle flash generated by firing, by slowing down the escaping propellant gas or reducing the velocity of the bullet.
Slide: The part that generally houses the firing pin and the extractor, and serves as the bolt for the majority of semi-automatic pistols. It is spring-loaded to chamber a fresh cartridge provided that the magazine is not empty.