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**Intergovernmental expert group
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Conference resolution 9/1**

Vienna, 13–15 July 2020

Item 2 of the provisional agenda*

**Finalization and harmonization of the
self-assessment questionnaires for the review of the
implementation of the United Nations Convention
against Transnational Organized Crime and the
Protocols thereto**

**Draft harmonized self-assessment questionnaire for the
Protocol against the Illicit Manufacturing of and Trafficking
in Firearms, Their Parts and Components and Ammunition,
supplementing the United Nations Convention against
Transnational Organized Crime**

* CTOC/COP/WG.10/2020/1.



General guidance for replying to the questionnaire

- States will be reviewed on the basis of the information that they have provided to the reviewing States parties, in accordance with section V of the procedures and rules for the functioning of the Mechanism for the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto. If they have not yet provided the relevant documents to the Secretariat, States are called upon to upload either any laws, regulations, cases and other documents or brief descriptions of them that are of relevance for responding to the questionnaire to the knowledge management portal known as Sharing Electronic Resources and Laws on Crime (SHERLOC).
- Links to the information uploaded to SHERLOC can be then provided as part of the replies to each question.
- In addition to providing links to the information uploaded to SHERLOC, States are called upon to specify the applicable legislation and relevant provisions under each question to which the answer is “Yes” and, where appropriate, under any other questions.
- States are requested to refrain from attaching any annexes, including hard copies of documentation, to the completed questionnaires.
- When responding to the self-assessment questionnaires, States parties may also refer to information provided in the context of other relevant review mechanisms of instruments to which they are parties. States parties shall bear in mind that any update since previous submissions of information under other review mechanisms should be appropriately reflected in the responses. In particular, when reviewing the same legislation for obligations that are identical or similar to those under the United Nations Convention against Corruption, a State party under review may refer to responses and additional documentation that it has submitted under the Mechanism for the Review of Implementation of the United Nations Convention against Corruption.
- The provisions of the Organized Crime Convention and the Protocols thereto contain various degrees of requirements. In accordance with the procedures and rules, the Mechanism for the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto shall progressively address all articles of the Convention and the Protocols thereto. The different nature of each provision should therefore be taken into account in formulating the responses to the related questions and when reviewing them in the following phases of the country review.
- Article 1, paragraph 2, of each of the Protocols states that the provisions of the Convention shall apply *mutatis mutandis* to the Protocols unless otherwise provided therein. Paragraph 19 of the procedures and rules for the functioning of the Mechanism states that provisions of the Convention that apply to the Protocols, *mutatis mutandis*, will be reviewed under the Convention only. In answering the questions related to the implementation of the Convention, States are requested to take into account the application of the relevant provisions of the Convention, as appropriate, to the subject matter of each Protocol to which they are a party. National experts are therefore reminded to include in their answers reference to the application of such provisions of the Convention to the Protocols to which their country is a party. For example, in answering the questions on the scope of application of article 10 on the liability of legal persons, national experts should take into account the applicability of article 10 to the offences covered by the three Protocols and answer accordingly.
- [In the questionnaire, some questions are introduced by the words “States are invited”. In such cases national experts may provide information on a voluntary basis.] [National experts are invited to use their best judgment and discretion when answering those questions.]

One delegation expressed the need to further distinguish in their formulation questions covering non-mandatory provisions from questions that are beyond the scope of application of the instruments.

One delegation expressed the opinion that there was no need to reopen this issue.

Cluster I: criminalization and jurisdiction (arts. 3, 5 and 8 of the Protocol)

General information

1. ¹[If your country is a party to other multilateral, regional or bilateral international firearms control regimes, please list them, on a voluntary basis.]

Article 3. Use of terms

[OPTION 1:]

2. [Does your country's legal framework include the definitions set forth in article 3 of the Firearms Protocol?

Yes Yes, in part No

(a) Please explain.²

[69. Does your country's legal framework permit your country to implement the Firearms Protocol without adopting the specific definitions set forth in article 3 of the Firearms Protocol?

Yes Yes, in part No

(a) Please explain.]

¹ The draft self-assessment questionnaires for the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto organised by cluster (CTOC/COP/WG.10/2020/2, CTOC/COP/WG.10/2020/3, CTOC/COP/WG.10/2020/4, CTOC/COP/WG.10/2020/5) have a consistent consecutive numbering. The numbering of this draft self-assessment questionnaire and the others which are organised per instrument (CTOC/COP/WG.10/CRP.2, CTOC/COP/WG.10/CRP.3, CTOC/COP/WG.10/CRP.4, CTOC/COP/WG.10/CRP.5) corresponds to the numbering per cluster and thus is not consecutive.

² [In particular, please cite the relevant laws or regulations and the definitions for the terms "firearms", "parts and components" and "ammunition", defined as followed in article 3, paragraphs (a) to (c), of the Firearms Protocol:

- "Firearm" shall mean any portable barrelled weapon that expels, is designed to expel or may be readily converted to expel a shot, bullet or projectile by the action of an explosive, excluding antique firearms or their replicas. Antique firearms and their replicas shall be defined in accordance with domestic law. In no case, however, shall antique firearms include firearms manufactured after 1899.
- "Parts and components" shall mean 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.
- "Ammunition" shall mean the complete round or its components, including cartridge cases, primers, propellant powder, bullets or projectiles, that are used in a firearm, provided that those components are themselves subject to authorization in the respective State party.]

[OPTION 2: (if States decide to adopt option 2, only the subparagraphs in square brackets are still pending, and not the entire question.)]

[68. Does your country’s legal framework permit your country to implement the Firearms Protocol without adopting the specific definitions set forth in article 3 of the Firearms Protocol?

Yes Yes, in part No

(a) Please explain.

3. Does your country’s legal framework include definitions for the following terms?

(a) Firearms (art. 3, para. (a))

Yes Yes, in part No

(i) If the answer is “Yes” or “Yes, in part”, please cite the relevant laws or regulations and definitions.

(ii) If the answer is “Yes”, please specify whether the definition of firearm used in your country’s legal system is based on:

– Physical or forensic characteristics associated with firearms (e.g., size, portability, type of rifling, type of action or shooting mechanism, etc.)

Yes No

– [Categories (e.g., prohibited or restricted arms, categories based on the particular legal regime of the weapons, etc.)]

Yes No

– [Qualifying terms indicating the intended application for which the firearms were designed (e.g., military, sporting or recreational firearms)]

Yes No

– Please explain.

(iii) If the answer to question 69 (a) is “Yes” or “Yes, in part”, are antique firearms and their replicas excluded from the definition of firearms?

Yes No

– Please indicate any threshold used to exclude antique firearms and describe any criterion used to exclude replicas from the scope of application of your country’s national laws on firearms.

(iv) If the answer to question 69 (a) is “Yes” or “Yes, in part”, do weapons that may be readily converted to expel a shot, bullet or projectile by the action of

an explosive³ fall under the definition of firearms in your country's legal framework (art. 3, para. (a))?

Yes No

- If the answer is “Yes”, please explain and cite the relevant laws or regulations and definitions.

(b) Parts and components of firearms (art. 3, para. (b))

Yes No

- (i) If the answer is “Yes”, please cite the relevant laws or regulations and definitions.

(c) Ammunition [used in a firearm] (art. 3, para. (c))

Yes No

- (i) If the answer is “Yes”, please explain and cite the relevant laws or regulations and definitions. Please also indicate whether the components of ammunition referred to in article 3, paragraph (c), are themselves subject to authorization in your country.

(d) Tracing (art. 3, para. (f))

Yes No

- (i) If the answer is “Yes”, please cite the relevant laws or regulations and definitions.

(e) [Broker or brokering activity]

Yes No

- (i) If the answer is “Yes”, please cite the relevant laws or regulations and definitions.

(f) Other definitions relevant to the implementation of the Firearms Protocol (please cite them).]

Article 5. Criminalization

4. Is the illicit manufacturing or assembly of firearms, their parts and components, and ammunition, when committed intentionally, a criminal offence under your country's legal framework, according to article 5, paragraph 1 (a), in conjunction with article 3, paragraph (d)?

³ A convertible weapon is a device capable of being converted to expel a shot, bullet or projectile which has the appearance of a firearm, and, as a result of its construction or the material from which it is made, it can be so converted. Explanation: these weapons primarily include short-barrelled weapons (firearms such as pistols and revolvers) built to fire irritant gas ammunition and blank-firing weapons variously referred to as signal, starting and alarm guns, as well as some partially deactivated firearms used as props, for example in film production. Another example is air guns, which can be converted to fire cartridges.

Yes Yes, in part No

(a) If the answer is “Yes, in part” or “No”, please explain, if needed.

(b) If the answer is “Yes” or “Yes, in part”, are the following conducts, when committed intentionally, included in the criminal offence of the illicit manufacturing or assembly of firearms, their parts and components, and ammunition?

(i) The manufacturing or assembly of firearms from illicitly trafficked parts and components (art. 5, para. 1 (a), in conjunction with art. 3, para. (d) (i))

Yes Yes, in part No

(ii) The manufacturing or assembly of firearms, their parts and components and ammunition without a licence or authorization from a competent national authority (art. 5, para. 1 (a), in conjunction with art. 3, para. (d) (ii))

Yes Yes, in part No

(iii) The reactivation of deactivated firearms or essential parts thereof without a licence or authorization from a competent national authority (art. 5, para. 1 (a), and art. 3, para. (d) (ii), in conjunction with art. 9 (1))

Yes Yes, in part No

(iv) The conversion of weapons into a firearm without a licence or authorization from a competent national authority (art. 5, para. 1 (a), in conjunction with art. 3, para. (d) (ii))

Yes Yes, in part No

(v) The manufacturing or assembly of firearms, without marking them at the time of manufacture or with markings that do not meet the requirements of article 8 of the Firearms Protocol (art. 5, para. 1 (a), in conjunction with art. 3, para. (d) (iii))

Yes Yes, in part No

(c) If the answer to any of these questions is “Yes” or “Yes, in part”, please cite for each of these modalities the applicable laws and regulations and/or other measures, including the applicable sanctions.

(d) If the answer to any of these questions is “Yes, in part” or “No”, please explain how the modalities of the illicit manufacturing or assembly of firearms, their parts and components and ammunition are treated under your country’s legal framework.

5. [Does your country’s legal framework require manufacturers to hold a licence or other authorization to manufacture firearms, their parts and components and ammunition (art. 5, para. 1 (a), and art. 3, para. (d))?

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please cite the relevant laws and regulations and/or other measures. Please provide details on conditions, legal requirements and process established for obtaining such licences or authorizations, as well as the duration and conditions for suspension or revocation of the licence.

(b) If the answer is “Yes, in part” or “No”, please explain how the manufacturing or assembling of firearms, parts and components and ammunition are regulated in your country’s legal framework.]

[COMMENT: in accordance with the clusters of articles appended to the procedures and rules, articles 3 and 5 will be reviewed under cluster I.

However, as the licensing and authorization regime for the licit manufacturing of firearms is a prerequisite for the criminal provision of illicit manufacturing, in accordance with articles 3 and 5, but is not expressively regulated under the Firearms Protocol, member States may decide to move questions 71 and 72 to cluster II, under an independent section entitled “Manufacturing of firearms”. Otherwise, criminal justice experts responding to cluster I (criminalization and jurisdiction) might encounter difficulties in reviewing the administrative licensing and authorization requirements for the manufacturing of firearms.]

6. [States are invited to indicate, on a voluntary basis, whether their legal framework allows for new and emerging forms of illicit manufacturing, such as additive manufacturing or similar, to be addressed.

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please provide details, cite the applicable laws and regulations and provide examples of their implementation.

(b) If the answer is “Yes, in part” or “No”, please explain how these forms of illicit manufacturing are treated under your country’s legal framework.]

7. Is the offence of illicit trafficking in firearms, their parts and components and ammunition, when committed intentionally, criminalized under your country’s legal framework, in accordance with article 5, paragraph 1 (b), in conjunction with article 3, paragraph (e), of the Firearms Protocol?

Yes Yes, in part No

(a) If the answer is “Yes, in part” or “No”, please explain, if needed.

(b) If the answer is “Yes” or “Yes, in part”, are the following conducts, when committed intentionally, included in the criminal offence of illicit trafficking in firearms, their parts and components and ammunition?

(i) The import, export, acquisition, sale, delivery, movement or transfer of firearms, their parts and components or ammunition from or across the territory of one State to that of another State without authorization of any of the countries concerned (art. 5, para. 1 (b), in conjunction with art. 3, para. (e), and art. 10)

Yes Yes, in part No

(ii) The import, export, acquisition, sale, delivery, movement or transfer of firearms from or across the territory of one State to that of another State without appropriate marking, in accordance with article 8 of the Firearms Protocol (art. 5, para. 1 (b), in conjunction with art. 3, para. (e), and art. 8)

Yes Yes, in part No

(c) If the answer to any of the questions above is “Yes” or “Yes, in part”, please cite for each of the modalities the applicable laws and regulations and/or other measures, including the applicable sanctions.

(d) If the answer to any of the questions above is “Yes, in part” or “No”, please explain how these modalities of the illicit transfer of firearms, their parts and components and ammunition are treated under your country’s legal framework.

8. If the answer to question 73 is “Yes” or “Yes, in part”, are any of the following actions included in the offence(s) of illicit trafficking established under your country’s legal framework (art. 5, para. 1 (b), in conjunction with art. 3, para. (e))?

- Import
- Export
- Acquisition
- Sale
- Delivery
- Movement
- Transfer
- Other, if any

(a) Please provide further details, if needed.

9. If the answer to question 73 is “Yes” or “Yes, in part”, does the offence of illicit trafficking established under your country’s legal framework require a transnational transfer of the items between at least two States to qualify as illicit trafficking under your country’s legal framework (art. 5, para. 1 (b), in conjunction with art. 3, para. (e))?

- Yes Yes, in part No

(a) If your answer is “Yes, in part” or “No”, please explain, on a voluntary basis, and cite the applicable laws and regulations and/or other measures.

10. Is the act of falsifying or illicitly obliterating, removing or altering the marking(s) on firearms, when committed intentionally, criminalized under your country’s legal framework according to article 5, paragraph 1 (c), in conjunction with article 8 of the Firearms Protocol?⁴

- Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please cite the applicable laws and regulations and/or other measures, including the applicable sanctions for this offence(s).

(b) If the answer is “Yes, in part” or “No”, please explain how the falsifying, obliterating, removing or altering of required marking(s) on firearms is treated under your country’s legal framework.

⁴ The answers to question 76 should be prepared in conjunction with the answers to the relevant questions on the marking of firearms in cluster I.

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11. Subject to the basic concepts of its legal system, does your country's legal framework criminalize the following ancillary offences:

– Attempting to commit any of the offences covered by article 5, paragraph 1 (art. 5, para. 2 (a))?

Yes Yes, in part No

– Participating as an accomplice in any of the offences covered by article 5, paragraph 1 (art. 5, para. 2 (a))?

Yes Yes, in part No

– Organizing, directing, aiding, abetting, facilitating or counselling the commission of any of the offences covered by article 5, paragraph 1 (art. 5, para. 2 (b))?

Yes Yes, in part No

(a) If the answer to any of the questions above is “Yes” or “Yes, in part”, please cite for each of these offences the applicable laws and regulations and/or other measures, including the applicable sanctions.

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(b) If the answer to any of the questions above is “Yes, in part” or “No”, please explain how these conducts are treated under your country's legal framework.

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12. [States are invited to provide[, on a voluntary basis,] any information on any additional criminal offences that may be established under their country's legal framework to enforce the provisions of the Firearms Protocol (art. 34, para. 3, of the Convention, in conjunction with art. 1, para. 2, of the Firearms Protocol):

- Acts related to the failure to keep records of firearms and, where appropriate and feasible, their parts and components and ammunition, and the falsification and destruction of such records, when committed intentionally (art. 7 of the Firearms Protocol)
- Criminalization of acts of intentionally giving false or misleading information likely to unduly influence the issuance of the required licence or authorization for either the manufacture or assembly of firearms, their parts and components or ammunition or for actions referred to under article 3, paragraph (e), of the Firearms Protocol, including, when requested by law, end use or end user certificates
- Criminalization of acts related to the intentional falsification or misuse of documents for the purpose of achieving the issuance of the required licence or authorization for either the manufacture or assembly of firearms, their parts and components or ammunition or for actions referred to under article 3, paragraph (e), of the Firearms Protocol, including, when requested by law, end use or end user certificates
- Criminalization of acts related to the intentional possession or use of fraudulent licences or authorizations in relation to the manufacture or assembly of firearms, their parts and components or ammunition or for actions referred to under article 3, paragraph (e), of the Firearms Protocol, including, when requested by law, fraudulent end use or end user certificates
- Criminalization of intentional acts related to the illicit reactivation of deactivated firearms, consistent with article 9, paragraphs (a) to (c), of the Firearms Protocol

Criminalization of the illicit brokering of firearms, their parts and components or ammunition and failure to provide required information about brokering activities (see also art. 15)

Other(s) (please specify)

(a) Please explain and cite the applicable laws and regulations and/or other measures, including the applicable sanctions.]

Criminalization: cases and judgments

13. If possible, provide examples, relevant cases or judgments of successful implementation and enforcement for each of the criminal offences reviewed above.

Article 8. Marking of firearms

[COMMENT: in accordance with the clusters of articles appended to the procedures and rules, article 8 will be reviewed under cluster I. However, for ease of reference, member States may decide to move questions 80 to 85 referring to article 8 and the marking of firearms to cluster II (prevention, technical assistance, protection measures and other measures). Otherwise, criminal justice experts responding to cluster I (criminalization and jurisdiction) might encounter difficulties in reviewing the complex administrative marking requirements under article 8.]

14. Does your country’s legal framework require the unique marking of firearms at the time of manufacturing, in accordance with article 8, paragraph 1 (a), of the Firearms Protocol?

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please specify whether the marking applied in your country provide for the following information:

- Name of manufacturer
- Country or place of manufacture
- Serial number
- Simple geometric symbols in combination with numeric or alphanumeric codes
- Other, such as model and calibre (please specify)

(b) If the answer to question 80 is “Yes” or “Yes, in part”, please cite the applicable, laws and regulations and/or other measures.

(c) If the answer to question 80 is “Yes, in part” or “No”, please explain how the marking of firearms is treated under your country’s legal framework.

(d) States are invited to describe, on a voluntary basis, the method(s) and criteria applied for marking and which parts of the firearms have to be marked, and to provide examples and pictures of such marking(s).

(e) States are invited to describe, on a voluntary basis, their experience, lessons learned and examples of implementation of this provision.

15. Does your country's legal framework require a simple marking on each imported firearm in order to enable competent authorities to identify and trace the firearm (art. 8, para. 1 (b))?

Yes Yes, in part No

(a) If the answer is "Yes" or "Yes, in part", please specify whether the import markings applied in your country provide for the following information:

- Country of import
- Year of import, where possible
- Unique marking (if the firearm does not already bear such marking)
- Other (please specify)

(b) If the answer to question 81 is "Yes" or "Yes, in part", please cite the applicable laws and regulations and/or other measures.

(c) If the answer to question 81 is "Yes, in part" or "No", please explain.

(d) States are invited to describe, on a voluntary basis, their experience, lessons learned and examples of implementation of this provision and, where possible, provide pictures of such import marking(s).

16. Recognizing that the requirements of import marking need not be applied to temporary imports of firearms for verifiable lawful purposes, States are invited to indicate whether import marking is also required for temporarily imported firearms (art. 8, para. 1 (b), in conjunction with art. 10, para. 6).

Yes Yes, in part No

(a) If the answer is "Yes" or "Yes, in part", please cite the applicable laws and regulations and/or other measures and provide details of the marking applied for such temporarily imported firearms.

(b) If the answer is "Yes, in part" or "No", please explain how the temporary imports of firearms are treated under your country's legal framework.

17. Does your country's legal framework require the marking of firearms that are transferred from government stocks to permanent civilian use (art. 8, para. 1 (c))?

Yes Yes, in part No

(a) If the answer is "Yes" or "Yes, in part", please cite the applicable laws and regulations and/or other measures.

(b) If the answer is “Yes, in part” or “No”, please explain how transfers of firearms from government stock to permanent civilian use are treated under your country’s legal framework.

(c) If the answer is “Yes” or “Yes, in part”, States are invited to provide, on a voluntary basis, details on the marking applied for firearms that are transferred from government stock to permanent civilian use and to describe their experience, lessons learned and examples of successful implementation of this provision.

18. How has your country encouraged the manufacturing industry to develop measures against the removal or alteration of firearm marking (art. 8, para. 2)?

(a) Please describe the steps taken by your country and provide examples of their implementation, on a voluntary basis.

19. States are invited to indicate, on a voluntary basis, whether their legal framework stipulates more strict or severe measures with regard to marking (in accordance with art. 1, para. 2, of the Firearms Protocol and art. 34, para. 3, of the Organized Crime Convention), such as:

- Requirement to apply additional markings (e.g., security markings or proof marks)
- Requirement to mark parts and components
- Requirement to mark ammunition

(a) If yes, please specify whether the offences referred to in questions 70 (b) (v), 73 (b) (ii) and 82 also apply to the cases mentioned above (art. 34, para. 3, of the Convention, and art. 1, para. 2, of the Firearms Protocol).

Yes Yes, in part No

(i) If the answer is “Yes” or “Yes, in part”, please cite the applicable laws and regulations and/or other measures, including the applicable sanctions for those offences.

Difficulties encountered

20. Does your country encounter difficulties in implementing the provisions of the Firearms Protocol?

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please explain.

21. Has your country assessed the effectiveness of its measures against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition?

Yes No

(a) If the answer is “Yes”, please explain and cite any relevant document(s) (e.g., assessments, gap analysis, reports of other international and regional review mechanisms, policy studies, etc.).

22. Does your country have a national strategy or action plan to counter the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition or to implement relevant regional or international instruments in this field?

Yes No

(a) If the answer is “Yes”, please cite the relevant strategy or action plan, providing a short explanation of their scope, and/or other measure(s).

23. If your country’s domestic legal framework has not been adapted to the Protocol requirements, please specify what steps remain to be taken.

(a) Are there any difficulties with regard to the adoption of new national legislation or the implementation of national legislation?

Yes No

(i) If the answer is “Yes”, does any of the below apply?

- Problems with the formulation of legislation
- Need for institutional reforms or the establishment of new institutions
- Need for further implementing legislation (laws, regulations, decrees, etc.)
- Difficulties encountered by practitioners in using legislation
- Lack of awareness
- Lack of inter-agency coordination
- Specificities of the legal framework
- Lack of technical knowledge and skills
- Limited or no cooperation from other States
- Limited resources for implementation
- Other issues (please specify)

Need for technical assistance

24. Does your country require technical assistance to overcome difficulties in implementing the Protocol?

Yes No

(a) If the answer is “Yes”, please indicate the type of assistance required:

- Assessment of criminal justice response to the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition and its links to other serious crimes
- Legal advice or legislative reforms and regulations
- Model legislation, regulations or agreements
- Establishment of competent authorities, national focal points or points of contacts on firearms
- Institution-building or the strengthening of existing institutions

- Development of strategies, policies or action plans
- Dissemination of good practices or lessons learned
- Capacity-building through the training of criminal justice practitioners and/or the training of trainers
- Prevention and awareness-raising
- On-site assistance by a mentor or relevant expert
- Border control and risk assessment
- Standard operating procedures
- Detection of illicit trafficking flows at border crossings, by postal services or by means of the Internet
- Information exchange
- Investigation and prosecution
- Measures to enhance regional and international cooperation
- Establishment or development of information technology infrastructure, such as record-keeping systems, digital templates and tools, databases or communication tools
- Collection and analysis of firearms trafficking data
- Other areas (please specify). Please prioritize the technical assistance needs and refer to the specific provisions of the Protocol when providing information.

(b) Technological assistance and equipment:

- Marking
- Record-keeping systems
- Identification and tracing of firearms
- Transfer controls
- Collection campaigns
- Deactivation and destruction
- Stockpile management

(c) Is your country already receiving technical assistance in those areas?

Yes No

(i) If the answer is “Yes”, please specify the area of assistance and who is providing it.

(d) Please describe practices in your country that you consider to be good practices in relation to the control of firearms and to prevent and combat the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, which might be of interest to other States in their efforts to implement the Firearms Protocol.

(e) Please provide any other information that you believe is important to consider regarding aspects of, or difficulties in, the implementation of the Protocol other than those mentioned above.

Cluster II: prevention, technical assistance, protection measures and other measures (arts. 7, 9, 10, 11, 14 and 15 of the Protocol)

Article 7. Record-keeping

1. Has your country's legal framework established measures requiring the recording and maintenance of information in relation to firearms and, where appropriate and feasible, their parts and components and ammunition for the purpose of tracing and identifying those items, in accordance with article 7 of the Firearms Protocol?

Yes Yes, in part No

(a) If the answer is "Yes" or "Yes, in part", does your country's record-keeping requirements relate to:

- Firearms
 Parts and components
 Ammunition
 Other (please specify)

(b) If the answer to question 68 is "Yes" or "Yes, in part", please cite the applicable laws and regulations and/or other measures in place.

(c) If the answer to question 68 is "Yes, in part" or "No", please explain how information and records related to firearms, their parts and components and ammunition are treated under your country's legal framework.

(d) If the answer to question 68 is "Yes" or "Yes, in part", please specify if your country's legal framework establishes any minimum duration for this information to be kept (art. 7):

- Less than 10 years
 At least 10 years
 Other

(i) Please explain, if needed.

(e) If the answer to question 68 is "Yes" or "Yes, in part", does the recorded information allow for the identification and tracing of firearms and, where appropriate and feasible, their parts and components and ammunition that are illicitly manufactured or trafficked, and the prevention and detection of such activities (art. 7)?

Yes Yes, in part No

(i) Please provide details.

(f) Please specify whether the required records also provide for the following information (art. 7, paras. (a)–(b), and art. 15, para. 1 (c)):

- (i) Marking of firearms, as required under article 8 of the Firearms Protocol
 Yes Yes, in part No
- (ii) Information related to the transfer of these items, including the issuance and expiration date of the transfer licence or authorization
 Yes Yes, in part No
- (iii) Countries, where appropriate, involved in a transfer (export, import and transit countries)
 Yes Yes, in part No
- (iv) Final recipient of the transferred items
 Yes Yes, in part No
- (v) Name and location of brokers involved in the transaction (art. 15)
 Yes Yes, in part No
- (vi) Description and quantity of transferred items
 Yes Yes, in part No
- (vii) Other relevant information, please specify below.

(g) If the answer to any of the questions 68 (f) (i)–(vi) is “Yes, in part” or “No”, please explain.

(h) States are invited to provide, on a voluntary basis, additional details on their domestic record-keeping system, such as (i) on how information is maintained (e.g., manually or digitalized and in a centralized system or divided among different institutions); and (ii) which entity or entities have the legal obligation to ensure that information on firearms and, where possible and feasible, their parts and components and ammunition is maintained.

Article 9. Deactivation of firearms

2. Has your country taken legislative or other measures to prevent the illicit reactivation of deactivated firearms consistent with the general principle of deactivation (art. 9, paras. (a)–(c))?

- Yes Yes, in part No

(a) Does your country’s legal framework recognize deactivated firearms as firearms?

- Yes Yes, in part No

(b) If the answer to question 69 is “Yes”, or “Yes, in part”, please cite the applicable laws and regulations and/or other measures.

(c) If the answer to question 69 is “Yes, in part” or “No”, please explain how deactivated firearms are treated under your country’s legal framework.

3. If the answer to question 69 is “Yes” or “Yes, in part”, does your country’s legal framework require that deactivated firearms be rendered permanently inoperable and incapable of removal, replacement or modification, in a manner that would permit the firearm to be reactivated in any way (art. 9, para. (a))?

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please cite the applicable laws and regulations and/or other measures, and describe the specific criteria adopted by your country to regulate the deactivation of firearms and to prevent their illicit reactivation.

(b) If the answer is “Yes, in part” or “No”, please explain how the deactivation of firearms is treated under your national legal framework.

4. If the answer to question 69 is “Yes” or “Yes, in part”, does your country’s legal framework require a verification of the deactivation process by a competent authority (art. 9, para. (b))?

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please cite the applicable laws and regulations and/or other measures.

(b) Please describe the specific criteria adopted under your country’s legal framework to verify the deactivation process and identify the responsible competent authority. Please provide examples of the successful implementation of this provision and attach an example of a certificate or record issued by the competent authority upon successful verification of the deactivation (art. 9, para. (c)).

(c) If the answer to question 71 is “Yes, in part” or “No”, please explain how non-compliance with the deactivation requirements and illicit reactivation of deactivated firearms are treated under your country’s legal framework.

Article 10. General requirements for export, import and transit licensing or authorization systems

5. Has your country established a system of export and import licensing or authorization and measures on international transit for the transfer of firearms, their parts and components or ammunition (art. 10, para. 1)?

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, States parties are invited to provide copies of their applicable laws and regulations and/or other measures and describe the requirements in place for the issuance of licences or authorizations.

(b) If the answer is “Yes” or “Yes, in part”, do these licensing or authorization requirements apply to:

- Firearms?
- Parts and components?
- Ammunition?

Please explain, if needed.

(c) If the answer is “Yes, in part” or “No”, please explain how the aforementioned conducts are regulated under your country’s legal framework.

(d) If your country is part of any other international regime with common measures for import, export and transit licensing procedures, based on a customs union and an area without internal frontiers in which the free movement of goods is ensured, you are invited to explain how the transfer of firearms, their parts and components and ammunition are regulated within this space by your country’s legal framework.

6. If the answer to question 72 is “Yes” or “Yes, in part”, does the issuance of export licences or authorizations for shipments of firearms, their parts and components and ammunition require the prior verification that:

(a) The importing States have issued import licences or authorizations (art. 10, para. 2 (a))?

Yes No

(b) The transit States have, at a minimum, given notice in writing, prior to shipment, that they have no objection to the transit (art. 10, para. 2 (b))?

Yes No

(c) States parties are invited to provide copies of their applicable laws and regulations and/or other measures and explain, if needed.

7. If the answer to question 72 is “Yes” or “Yes, in part”, does the import or export licence or authorization and accompanying documentation together include [, at a minimum,] the following type of information (art. 10, para. 3)?

- Place and date of issuance
- Date of expiration
- Country of export
- Country of import
- Country of transit (if applicable)
- Final recipient
- Description of the items
- Quantity of firearms, their parts and components and ammunition

- Other (such as export licence authorization, end user certificate and marking data [and name and location of involved brokers]), please specify:

8. What kind of measures and procedures has your country adopted to ensure the security of the licensing or authorization procedures and that the authenticity of the licensing or authorization documents can be verified or validated (art. 10, para. 5)?

- Requirement to provide the information contained in the import licence in advance to the transit country (art. 10, para. 3)
- Requirement for importing countries upon request to inform the exporting country of the receipt of the dispatched shipment (art. 10, para. 4)
- Use of end use and end user certificates or other means of verification to ensure the security of transfers

(a) States may also wish to indicate, on a voluntary basis, any other security measure or procedure in place.

(b) Please cite the applicable, laws and regulations and/or other measures and provide examples of the successful implementation of such measures.

9. Please explain, on a voluntary basis, whether your country's legal framework has adopted simplified procedures for the temporary import and export and the transit of firearms, their parts and components and ammunition for verifiable lawful purposes (art. 10, para. 6).

Yes Yes, in part No

(a) If the answer is "No", please explain how temporary imports, exports and transits are treated under your country's legal framework.

(b) If the answer is "Yes" or "Yes, in part", which of the following are considered under your national legal framework as verifiable lawful purposes?

- Hunting
- Sport shooting
- Repairs
- Evaluation
- Exhibitions
- Other

Please explain, if needed.

(c) Please cite the applicable laws and regulations and/or other measures and provide examples of the implementation of simplified procedures in your country.

Article 11. Security and preventive measures

10. Has your country taken measures to require the security of firearms, their parts and components and ammunition at the following stages (art. 11, para. (a))?

– At the time of manufacture

Yes Yes, in part No

– At the time of import, export or transit through its territory

Yes Yes, in part No

– [At the time of storage in government stocks]

Yes Yes, in part No

– [At the time of storage in private stocks]

Yes Yes, in part No

(a) If the answer to any of the questions above is “Yes” or “Yes, in part”, please describe the most relevant and successful measures. Please also cite the applicable policies, laws and regulations and provide examples of their successful implementation.

(b) If the answer to any of the questions above is “Yes, in part” or “No”, please explain how your country’s competent authorities detect, prevent and eliminate the theft, loss or diversion of firearms, their parts and components and ammunition.

11. Has your country adopted any measures at the national, bilateral, regional or multilateral level to increase the effectiveness of import, export and transit controls, including border control and/or transborder cooperation, to prevent and combat illicit firearms manufacturing and trafficking offences (art. 11, para. (b))?

Yes Yes, in part No

(a) If the answer is “No”, please explain.

(b) If the answer is “Yes” or “Yes, in part”, please explain what measures your country has adopted to increase the effectiveness of import, export and transit controls? Please summarize the measures, cite the relevant laws and regulations or policies and provide examples of their successful implementation.

(c) If the answer is “Yes” or “Yes, in part”, please explain what measures your country has adopted to increase the effectiveness of border controls and the transborder cooperation between your police and customs agencies and that of other States. Please summarize the measures, cite the relevant laws and regulations or policies and provide examples of their successful implementation.

Article 14. Training and technical assistance

12. Has your country provided to or received from other countries and international organizations training and technical assistance necessary to enhance the ability to prevent, combat and eradicate the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition?

Yes No

(a) If the answer is “Yes”, please describe briefly the type of assistance and to whom it was provided or from whom it was received.

Article 15. Brokers and brokering

13. Has your country established a system for regulating the activities of those who engage in brokering (art. 15, para. 1)?

Yes Yes, in part No

(a) If the answer is “No”, has your country considered establishing such a system? Please explain.

(b) If the answer is “Yes” or “Yes, in part”, States are invited to explain whether such system includes:

(i) The registration of brokers operating within their territory

Yes Yes, in part No

(ii) The licensing or authorization of brokering

Yes Yes, in part No

(iii) The disclosure on import and export licences or authorizations, or accompanying documents, of the names and locations of brokers involved in the transaction (art. 15, para. 1 (c), in conjunction with art. 10)

Yes Yes, in part No

(c) If the answer to any of these questions is “Yes, in part”, or “No”, States parties are invited to explain.

(d) If the answer to any of these questions is “Yes” or “Yes, in part”, States parties are invited to provide copies of their applicable laws and regulations and/or other measures and to provide examples of the successful implementation of measures adopted to comply with this provision and related court or other cases.

(e) States are invited to highlight, on a voluntary basis, one or more practices that they consider to be good practices in the implementation of broker control regimes, and those that might be consistent with the Firearms Protocol.

14. If your country has established a system of authorization of brokers, is the information on brokers and brokering activities included:

(a) As part of the records retained in accordance with article 7 of the Firearms Protocol (art. 15, para. 2)?

Yes Yes, in part No

(b) As part of the exchange of information established under article 12 of the Firearms Protocol⁵ (art. 15, para. 2)?

Yes Yes, in part No

⁵ Article 12 is reviewed under cluster IV.

- (i) If the answer to question 81 (a) or (b) is “Yes, in part”, or “No”, please explain.

- (ii) Please cite the applicable policies, laws and regulations and/or other measures and provide examples of the successful implementation of measures adopted, related court or other cases, including examples of investigations, prosecutions or convictions or acquittals related to the implementation of article 15.

Other measures to prevent the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition

15. States are invited to indicate, on a voluntary basis, whether they have implemented any other measures or programmes to prevent the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, such as:

- Adoption of more strict or severe measures than those provided for by the Firearms Protocol (art. 34, para. 3, of the Organized Crime Convention)
- Evaluation of national projects (art. 31, para. 1, of the Convention)
- Establishment and promotion of best practices and policies (art. 31, para. 1, of the Convention)
- Periodic evaluation of legal instruments and administrative practices, policies, action plans and other measures relating to firearms control, with a view to detecting their vulnerability to misuse by organized criminal groups (art. 31, para. 4, of the Convention)
- Promotion of public awareness regarding the existence, causes and gravity of and the threat posed by illicit manufacturing of and trafficking in firearms (art. 31, para. 5, of the Convention)
- Arms collection or voluntary surrender or buy-back campaigns
- Public destruction of obsolete, collected and/or confiscated weapons
- Conducting firearms surveys
- Collecting, exchanging and analysing data and information on the nature of organized crime and of illicit trafficking flows, their routes and patterns (art. 28 of the Convention)
- Other measure (please specify)

(a) If one or more of the above have been selected, please describe the concrete measures taken and cite the applicable policies or laws and regulations, and provide examples of their successful implementation.

Difficulties encountered

16. Does your country encounter difficulties in implementing the provisions of the Firearms Protocol?

- Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please explain.

17. Has your country assessed the effectiveness of its measures against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition?

Yes No

(a) If the answer is “Yes”, please explain and cite any relevant documents (e.g., assessments, gap analysis, reports of other international and regional review mechanisms, policy studies, etc.).

18. Does your country have a national strategy or action plan to counter the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition or to implement relevant regional or international instruments in this field?

Yes No

(a) If the answer is “Yes”, please cite the relevant strategy or action plan, providing a short explanation of their scope, and/or other measures.

19. If your country’s domestic legal framework has not been adapted to the Protocol requirements, please specify what steps remain to be taken.

(a) Are there any difficulties with regard to the adoption of new national legislation or the implementation of national legislation?

Yes No

(i) If the answer is “Yes”, do any of the issues below apply?

- Problems with the formulation of legislation
- Need for institutional reforms or the establishment of new institutions
- Need for further implementing legislation (laws, regulations, decrees, etc.)
- Difficulties encountered by practitioners in using legislation
- Lack of awareness
- Lack of inter-agency coordination
- Specificities of the legal framework
- Lack of technical knowledge and skills
- Limited or no cooperation from other States
- Limited resources for implementation
- Other issues (please specify)

Need for technical assistance

20. Does your country require technical assistance to overcome difficulties in implementing the Protocol?

Yes No

(a) If the answer is “Yes”, please indicate the type of assistance required:

- Assessment of criminal justice response to the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition and its links to other serious crimes
- Legal advice or legislative reforms and regulations
- Model legislation, regulations or agreements
- Establishment of competent authorities, national focal points or points of contacts on firearms
- Institution-building or the strengthening of existing institutions
- Development of strategies, policies or action plans
- Dissemination of good practices or lessons learned
- Capacity-building through the training of criminal justice practitioners and/or the training of trainers
- Prevention and awareness-raising
- On-site assistance by a mentor or relevant expert
- Border control and risk assessment
- Standard operating procedures
- Detection of illicit trafficking flows at border crossings and by postal services or by means of the Internet
- Information exchange
- Investigation and prosecution
- Measures to enhance regional and international cooperation
- Establishment or development of information technology infrastructure, such as record-keeping systems, digital templates and tools, databases or communication tools
- Collection and analysis of firearms trafficking data
- Other areas (please specify). Please prioritize the technical assistance needs and refer to the specific provisions of the Protocol when providing information.

(b) Technological assistance and equipment:

- Marking
- Record-keeping systems
- Identification and tracing of firearms
- Transfer controls
- Collection campaigns
- Deactivation and destruction
- Stockpile management

(c) Is your country already receiving technical assistance in those areas?

- Yes No

- (i) If the answer is “Yes”, please specify the area of assistance and who is providing it.

- (d) Please describe practices in your country that you consider to be good practices in relation to the control of firearms and to prevent and combat the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, which might be of interest to other States in their efforts to implement the Firearms Protocol.

- (e) Please provide any other information that you believe is important to consider regarding aspects of, or difficulties in, the implementation of the Protocol other than those mentioned above.

Cluster IV: international cooperation, mutual legal assistance and confiscation (arts. 6, 12 and 13 of the Protocol)

Article 6. Confiscation, seizure and disposal⁶

9. Without prejudice to article 12 of the Organized Crime Convention, has your country adopted legislative or other administrative measures to enable the seizure of firearms, their parts and components and ammunition suspected of being illicitly manufactured and trafficked (art. 6, para. 2, of the Firearms Protocol in conjunction with art. 2 (f) of the Organized Crime Convention)?

Yes Yes, in part No

- (a) If the answer is “Yes, in part” or “No”, please explain.

- (b) If the answer is “Yes or “Yes, in part”, please cite and attach the applicable laws and regulations and/or other measures.

10. Does your country’s legal framework enable the confiscation of firearms, their parts and components and ammunition that have been illicitly manufactured or trafficked (art. 6, para. 1)?

Yes Yes, in part No

- (a) If the answer is “Yes, in part” or “No”, please explain.

- (b) If the answer is “Yes or “Yes, in part”, please cite and attach the applicable laws and regulations and/or other measures.

⁶ According to article 2 of the Organized Crime Convention, “freezing” or “seizure” means temporarily prohibiting the transfer, conversion, disposition or movement of property or temporarily assuming custody or control of property on the basis of an order issued by a court or other competent authority; and “confiscation”, which includes forfeiture where applicable, means the permanent deprivation of property by order of a court or other competent authority.

11. States are invited to provide, on a voluntary basis, further information as to whether they maintain records of:

– Seized firearms, their parts and components and ammunition

Yes Yes, in part No

– Confiscated firearms, their parts and components and ammunition

Yes Yes, in part No

(a) If any of the above applies, please explain, on a voluntary basis, if these data are kept centrally, by which authority or authorities, and what type of information is kept.

(b) Please provide, if possible, information on the number and type of cases and on the amount and type of material that was seized and confiscated in the past three years. Please provide figures for each year.

12. Has your country’s legal framework adopted policies or measures to enable the disposal of confiscated firearms, their parts and components and ammunition that have been illicitly trafficked and manufactured (art. 6, para. 2)?

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please cite the applicable laws and regulations and/or other measures in place with regard to the disposal of such items, and provide, if possible, examples, including recent cases or judgments, of their concrete application.

(b) If the answer is “Yes, in part” or “No”, please explain how your country’s legal framework treats these confiscated items.

13. If the answer to question 87 is “Yes” or “Yes, in part”, does your country’s legal framework provide for the destruction of confiscated firearms, their parts and components and ammunition that have been illicitly manufactured or trafficked (art. 6, para. 2)?

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, States are invited to provide, on a voluntary basis, additional information on the destruction method(s) that they apply to illicitly manufactured or trafficked firearms, their parts and components and ammunition:

- Burning
- Cementing
- Cutting
- Deep-sea dumping
- Shredding
- Detonating

Smelting and recycling

Other

(b) Does your country keep records of the destroyed firearms, their parts and components and ammunition?

Yes Yes, in part No

(i) If the answer is “Yes” or “Yes, in part”, please provide information on the number and type of firearms, their parts and components and ammunition that have been destroyed in the past three years and by which method. Please provide figures for each year.

(c) If the answer to question 88 is “No” or “Yes, in part”, please explain what other measures your country has taken to prevent confiscated firearms, their parts and components and ammunition from being diverted or falling into the hands of unauthorized persons (art. 6, para. 2).

14. If the answer to question 87 is “Yes” or “Yes, in part”, please specify, on a voluntary basis, what disposal methods, other than destruction, are officially authorized under your country’s legal framework for confiscated firearms, their parts and components and ammunition. Please also explain, if possible, what their respective legal requirements are (art. 6, para. 2):

Assigned to national institution(s) (e.g., police force, customs, military, etc.)

Assigned to public officials that are allowed under national legislation to carry a firearm for their personal security

Sale, donation or transfer to another country

Sale or transfer for permanent civilian use

Other

(i) Please provide details.

(a) If other methods of disposal for confiscated firearms, their parts and components and ammunition are applied, are these subject to any of the requirements below (art. 6, para. 2)?

The method of disposal has been officially authorized.

The confiscated firearms have been marked.

The marking and the method of disposal of those firearms and ammunition have been recorded.

(i) Please provide details and examples of the successful implementation of those measures, including where possible pictures of the marking applied to those firearms.

Article 12. Information

15. Consistent with its legal framework, has your country adopted measures to exchange information with other States or organizations to implement the provisions set forth in article 12?

Yes Yes, in part No

(a) If the answer is “No” or “Yes, in part”, please explain.

(b) If the answer is “Yes” or “Yes, in part”, does this exchange include relevant information on matters such as the ones below?

(i) Case-specific information on authorized producers, dealers, importers, exporters, carriers of firearms, their parts and components and ammunition (art. 12, para. 1)

Yes No

(ii) Organized criminal groups known to take part or suspected of taking part in the illicit manufacturing of or trafficking in firearms, their parts and components and ammunition (art. 12, para. 2 (a))

Yes No

(iii) The means of concealment used in the illicit manufacturing of or trafficking in firearms, their parts and components and ammunition, and ways of detecting them (art. 12, para. 2 (b))

Yes No

(iv) Methods and means, points of dispatch and destination and routes customarily used by organized criminal groups engaged in illicit trafficking in firearms, their parts and components and ammunition (art. 12, para. 2 (c))

Yes No

(v) Legislative experiences and practices and measures to prevent, combat and eradicate the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition (art. 12, para. 2 (d))

Yes No

(c) Please list and describe the most relevant and successful measures and good practices adopted by your country to support the exchange of information with regard to the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition.

(d) Please cite the applicable policies, laws and regulations, arrangements and/or other measures. Please describe your experience, lessons learned and provide some examples of successful implementation of effective information exchange practices.

16. Has your country shared with other parties or organizations relevant scientific and technological information useful to law enforcement authorities for enhancing each other’s abilities to prevent, detect and investigate the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition and to prosecute the persons involved in those illicit activities (art. 12, para. 3)?

Yes Yes, in part No

(a) If the answer is “No”, please explain.

(b) If the answer is “Yes” or “Yes, in part”, please provide details, describe the measures and provide examples and cases of their successful implementation.

17. Does your country conduct checks against national and international records of firearms, their parts and components and ammunition that have been seized, found or recovered and that may have been illicitly manufactured or trafficked?

Yes Yes, in part No

(a) If the answer is “No”, please explain.

(b) If the answer is “Yes” or “Yes, in part”, please indicate the competent authority or authorities and the legal requirements and procedure(s) that apply in your country for domestic and international tracing and give examples of their application.

(c) Does your country maintain records of:

Incoming tracing requests?

Outgoing tracing requests?

(i) Please provide details.

(d) States are invited to provide examples of successful tracing, describe lessons learned, including challenges and difficulties encountered in tracing, and assess the effectiveness of their domestic and international tracing practices.

(e) States are invited to provide, on a voluntary basis, additional information on the number and type of traced firearms, their parts and components and ammunition in their own territory, and in other countries, in the past three years. If available, please provide figures for each year.

18. Has your country adopted measures and arrangements to enable it to receive and send requests for international cooperation for the purpose of tracing firearms, their parts and components and ammunition that may have been illicitly manufactured or trafficked (art. 18, para. 3 (g), of the Organized Crime Convention and art. 12, para. 4, of the Firearms Protocol)?

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please cite the applicable policies, laws and regulations and/or other measures adopted to provide for such cooperation and provide examples of its successful implementation.

(b) Has your country adopted measures to ensure the provision of prompt responses to requests for assistance in tracing firearms, their parts and components and ammunition that may have been illicitly manufactured or trafficked? (art. 12, para. 4)?

Yes Yes, in part No

(i) If the answer is “Yes” or “Yes, in part”, please cite the applicable policies, laws and regulations and/or other measures and provide examples of their successful implementation.

(c) Has your country taken measures to guarantee the confidentiality of the information received from another State party, or to comply with any restrictions on the use of such information, when requested to do so by the State that provided this information, in accordance with article 12, paragraph 5?

Yes Yes, in part No

(i) If the answer is “Yes” or “Yes, in part”, please cite the relevant policies, laws and regulations and/or measures.

(ii) If the answer is “No”, please explain.

(iii) States are invited to provide, on a voluntary basis, additional information on how many requests for assistance for the purpose of tracing of firearms, parts and components and ammunition they have received in the past three years, and how many requests they have submitted to other countries in the past three years.

(iv) If possible, please also provide information about the countries with which your country had the most active or passive tracing cooperation over the past five years. Please also describe the channels of cooperation used.

Article 13. Cooperation

19. Has your country designated a national body or a single point of contact pursuant to article 13, paragraph 2, of the Firearms Protocol, to act as liaison with other States parties on matters relating to the Protocol?

Yes No

(a) If the answer is “No”, please explain.

(b) If the answer is “Yes”, please provide any available information related to the name, function and address of such designated national body or point of contact.

20. Has your country adopted measures or entered into any bilateral, regional and international arrangement for cooperation to prevent, combat and eradicate the illicit

manufacturing of and trafficking in firearms, their parts and components and ammunition (art. 13, para. 1)?

Yes Yes, in part No

(a) If the answer is “No”, please explain.

(b) If the answer is “Yes” or “Yes, in part”, please describe those measures and arrangements and cite the applicable policies, laws and regulations and/or other measures. Please mention whether your country is part of a regional organization with common measures for import export and transit licensing procedures, based on a customs union and an area without internal frontiers in which the free movement of goods is ensured.

21. In addition to the measures developed against the removal of firearms marking envisaged in article 8, paragraph 2, of the Firearms Protocol, has your country established mechanisms or other measures to seek and benefit from the support and the cooperation of manufacturers, dealers, importers, exporters, brokers and commercial carriers of firearms, their parts and components and ammunition, to prevent, combat and eradicate illicit manufacturing and trafficking (art. 13, paras. 1 and 3)?

Yes No

(a) If the answer is “No”, please explain.

(b) If the answer is “Yes”, please describe the type of cooperation that your country has established with any of the actors mentioned above and cite the applicable policies, laws and regulations and/or other measures.

Difficulties encountered

22. Does your country encounter difficulties in implementing the provisions of the Firearms Protocol?

Yes Yes, in part No

(a) If the answer is “Yes” or “Yes, in part”, please explain.

23. Has your country assessed the effectiveness of its measures against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition?

Yes No

(a) If the answer is “Yes”, please explain and cite any relevant document(s) (e.g., assessments, gap analysis, reports of other international and regional review mechanisms, policy studies, etc.).

24. Does your country have a national strategy or action plan to counter the illicit manufacturing of and trafficking in firearms, their parts and components and

ammunition or to implement relevant regional or international instruments in this field?

Yes No

(a) If the answer is “Yes”, please cite the relevant strategy or action plan, providing a short explanation of their scope, and/or other measures.

25. If your country’s domestic legal framework has not been adapted to the Protocol requirements, please specify what steps remain to be taken.

(a) Are there any difficulties with regard to the adoption of new national legislation or the implementation of national legislation?

Yes No

(i) If the answer is “Yes”, does any of the below apply?

- Problems with the formulation of legislation
- Need for institutional reforms or the establishment of new institutions
- Need for further implementing legislation (laws, regulations, decrees, etc.)
- Difficulties encountered by practitioners in using legislation
- Lack of awareness
- Lack of inter-agency coordination
- Specificities of the legal framework
- Lack of technical knowledge and skills
- Limited or no cooperation from other States
- Limited resources for implementation
- Other issues (please specify)

Need for technical assistance

26. Does your country require technical assistance to overcome difficulties in implementing the Protocol?

Yes No

(a) If the answer is “Yes”, please indicate the type of assistance required:

- Assessment of criminal justice response to the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition and its links to other serious crimes
- Legal advice or legislative reforms and regulations
- Model legislation, regulations or agreements
- Establishment of competent authorities, national focal points or points of contacts on firearms
- Institution-building or the strengthening of existing institutions
- Development of strategies, policies or action plans
- Dissemination of good practices or lessons learned

- Capacity-building through the training of criminal justice practitioners and/or the training of trainers
- Prevention and awareness-raising
- On-site assistance by a mentor or relevant expert
- Border control and risk assessment
- Standard operating procedures
- Detection of illicit trafficking flows at border crossings, by postal services or by means of the Internet
- Information exchange
- Investigation and prosecution
- Measures to enhance regional and international cooperation
- Establishment or development of information technology infrastructure, such as record-keeping systems, digital templates and tools, databases or communication tools
- Collection and analysis of firearms trafficking data
- Other areas (please specify). Please prioritize the technical assistance needs and refer to the specific provisions of the Protocol when providing information.

(b) Technological assistance and equipment:

- Marking and record-keeping
- Identification and tracing of firearms
- Transfer controls
- Collection campaigns
- Deactivation and destruction
- Stockpile management

(c) Is your country already receiving technical assistance in those areas?

Yes No

(i) If the answer is "Yes", please specify the area of assistance and who is providing it.

(d) Please describe practices in your country that you consider to be good practices in relation to the control of firearms and to prevent and combat the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, which might be of interest to other States in their efforts to implement the Firearms Protocol.

(e) Please provide any other information that you believe is important to consider regarding aspects of, or difficulties in, the implementation of the Protocol other than those mentioned above.


