SECTION 1: POINTS OF CONTACT

1. Has your country established a National Coordination Agency or other body responsible for policy guidance, research and monitoring of efforts to prevent, combat and eradicate the illicit trade in SALW in all its aspects?
   - Yes
   a) Name of agency: Department of Foreign Affairs and Trade
   b) Address: RG Casey Building, John McEwen Cr, Barton ACT, 0221, Australia
   c) Contact details:
      i) Contact person: Director, Conventional Weapons Section
      ii) Telephone number(s): +61 2 6261 3838
      iv) Email: Anne.Giles@dfat.gov.au

2. Does your country have a National Point of Contact designated to act as a liaison on matters relating to the implementation of the UN Programme of Action on Small Arms (PoA)?
   - Yes
   2.1. Details:
      a) Name: Director, Conventional Weapons Section
      b) Organization or agency: Department of Foreign Affairs and Trade
      c) Address: RG Casey Building, John McEwen Cr, Barton ACT, 0221, Australia
      d) Telephone number(s): +61 2 6261 3838
      f) Email: Anne.Giles@dfat.gov.au

   ITI 25
   2.2 Is the National Point of Contact identified above also responsible for exchanging information and liaising on matters relating to the International Tracing Instrument (ITI)?
   - No

   ITI 25
   2.3 If the answer to Question 2.2 is ’no’, does your country have a National Point of Contact for purposes of exchanging information and liaising on all matters relating to the ITI?
   - Yes
   2.3.1 Details:
      a) Name: Stephen Kiley
      b) Organization or agency: Attorney-General’s Department
      c) Address: Firearms Team, Criminal Casework Branch, Attorney-General’s Department, 3-5 National Circuit, BARTON ACT 2600, Australia
      d) Telephone number(s): +61 62 6141 2874
      f) Email: stephen.kiley@ag.gov.au; firearms@ag.gov.au

SECTION 2: MANUFACTURE

3. Are there any SALW manufactured in your country?
   - Yes
   3.1. Does your country have laws, regulations and/or administrative procedures to exercise effective control over the manufacture of SALW?
      - Yes
      3.1.1 List laws, regulations and/or administrative procedures regulating the manufacture of SALW in your country
      Firearms Acts and Regulations in each state and territory

   PoA II.3
   3.1.2. Does your country license the manufacture of SALW?
   - Yes
   3.1.3. Is illegal manufacture of SALW considered a criminal offence in your country?
   - Yes

3.2. Does your country require that SALW be marked at the time of manufacture?
   - Yes
   3.2.1. What information is included in the marking (check relevant boxes)?
      a) Name of the manufacturer
      b) Country of manufacture
      c) Serial number
      d) Year of manufacture
      e) Weapon type/model
      f) Caliber
      g) Other

   Marking at manufacture is a state based prerogative, but all states, territories and the federal government work in unison through the Firearm and Weapons Policy Working Group (FWPWG) to coordinate uniform minimum standards on firearm markings.
3.2.2. What part of the SALW is marked?

It is generally the receiver of the firearm that is marked. Australian Defence Force (ADF) weapons are marked in accordance with ADF requirements against the Weapons Specification.

3.2.3. Are there exceptions to the requirement to mark SALW at the time of manufacture?

No

(ITI 10a)

PoA II.9; ITI 11

3.3. Does your country require that manufacturers keep records of their activities?

Yes

(ITI 12a)

3.3.1. What information must be recorded (check relevant boxes)?

- Quantity of SALW manufactured
- Type or model of SALW manufactured
- Markings applied to manufactured SALW
- Transactions (e.g. sales of manufactured and marked SALW)
- Other

All firearms are registered in Australia and all persons in possession of a firearm (other than government agencies) must be licensed to have that firearm in their possession.

(ITI 12a)

3.3.2. How long must manufacturing records be kept? Varies from State to State, but usually for as long as the dealer is in business, but as Australia has complete registration of all firearms, then government records will be maintained indefinitely.

(ITI 12a)

SECTION 3: INTERNATIONAL TRANSFERS

3.4. During the reporting period, was action taken against groups or individuals engaged in illegal manufacturing of SALW (e.g. prosecution)?

Yes

3.4.1. Details.

Prosecution of individuals for the manufacture of illicit firearms.

(PoA II.6)

3.5. Does your country have laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW?

Yes

(PoA II.11)

5.1. List laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW.

Customs (Prohibited Imports) Regulations 1956, Customs (Prohibited Exports) Regulations 1958, Customs Act 1901 and Defence Trade Controls Act 2012. Defence Export Controls (DEC) within the Department of Defence administers Australia's export control legislation relating to defence and dual-use goods and technology. DEC provides policy on export control, and is responsible for assessing applications to export defence and strategic goods and technology. DEC issues export permissions, denials, import certificates and end-user documentation. Australia's export control policies reflect the Government's commitment to ensure the export of defence and dual-use goods is consistent with Australia's national interests, international obligations and commitments. Australia is a member of the following international export control regimes; Nuclear Suppliers Group, Australia Group, Missile Technology Control Regime, Wassenaar Arrangement and Arms Trade Treaty.

(PoA II.12)

5.2. Does a person or an entity who transfers SALW require a licence or other form of authorisation to transfer SALW from/into your country?

Yes

5.3. Is it a criminal offence to trade SALW without a licence or authorisation, or to do so in a manner that is in contradiction to the terms of a licence or authorisation, in your country?

Yes

5.4. What kind of documentation does your country require prior to authorising an export of SALW to another country?

a) An end-user certificate (EUC) from the importing country
   i) What elements does an end-user certificate in your country contain (check relevant boxes)?
      1) Detailed description (type, quantity, characteristics) of the SALW or technology
      2) Contract number or order reference and date
      3) Final destination country
   ii) Description of the end-use of the SALW
   iii) Exporter's details (name, address and business name)
   iv) End-user information (name, position, full address and original signature)
   v) Information on other parties involved in the transaction
   vi) Certification by the relevant government authorities of the authenticity of the end-user
9) Date of issue
10) Other

b) Other types of end-user documentation
A simplified permit may be issued to an individual for the export of lower risk firearms, where there is no transfer of ownership, for the purposes of taking part in overseas sporting shooters events, hunting or for protection in International waters. Exemptions exist for: SALW owned by certain listed defence forces when those goods are imported by the defence force (or a member of the defence force) and then exported by the defence force (or a member of the defence force); Air security officers (in certain circumstances); SALW exported under the Defence Trade Cooperation Treaty between the United States and Australia.

5.5. Does your country verify or seek to authenticate EUCs or other types of end-user documentation provided?
5.5.1 Details:
Australia provides third party transfer undertakings to requesting parties endorsing our commitment of not authorising re-exports without appropriate export control consideration.

5.6. Does your country have measures in place aimed at preventing the forgery and misuse of EUCs or other types of end-user documentation?
5.6.1 Details:
The Commonwealth and some states and territories have provisions relating to forgery/misuse of records/documents; others have administrative processes to reduce the likelihood of forged or misused documents being accepted.

Sources
Post-delivery controls
5.7. When exporting, does your country require a Delivery Verification Certificate (DVC) to confirm that SALW have reached their intended end-user or intended importer in the importing State?
No

5.8. After exporting, does your country verify or seek to authenticate DVCs provided?
No

5.9. When importing, does your country grant the right to the exporting State to conduct a physical check at the point of delivery?
No

Sources
Marking at import
5.10. Does your country require that SALW imported into your country be marked at the time of import?
Yes
5.10.1. Who is required to mark the SALW?
The importer.
5.10.2. What information is included in the marking on import (check relevant boxes)?
   a) Country of import
   b) Year of import
   c) Other

5.10.3. Are there exceptions to the requirement to mark imported SALW?
No

5.10.4. If marked SALW imported into your country do not bear a unique marking when they arrive, does your country require that they be given such a marking?
Yes
5.10.4.1 Details:
A unique serial number shall be applied to the firearm if the firearm does not have one.

Sources
Record-keeping
5.11. Does your country require that exporters and importers of SALW keep records of their activities?
Yes
5.11.1. What information must be recorded (check relevant boxes)?
   a) Quantity of SALW traded
   b) Type or model of SALW traded
   c) Markings appearing on transferred SALW
   d) Transactions
      i) Identity of buyer/seller
      ii) Country SALW are to be delivered to or purchased from
      iii) Date of delivery
   e) Other

5.11.2. How long must records of transfers be kept?
For as long as the dealer/agent is in business, however, Australia has registration of all firearms so Government records will exist indefinitely.

Sources
Actions taken during the reporting period
5.12. During the reporting period, was action taken against groups or individuals engaged in transferring SALW illegally (e.g. prosecution)?

Yes

5.12.1 Details.
Investigations were undertaken on persons illegally importing firearms into Australia and charges laid.

6. Does your country wish to request assistance in developing laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW?

No

SECTION 4: BROKERING

7. Does your country have laws, regulations and/or administrative procedures governing brokering of SALW?

Yes

7.1. List laws and/or administrative procedures regulating SALW brokering in your country.
Under the Defence Trade Controls Act 2012, persons intending to conduct brokering activities need to be registered as brokers with the Department of Defence, and are required to apply for permits to conduct brokering activities, which will be assessed on a case-by-case basis. Yes - these laws and procedures are part of the national arms export control system.

8.1.1 Are those laws and procedures part of the national arms export control system?
--- Select ---

7.2. Does your country require registration of SALW brokers?
Yes

7.3. Does your country require a licence, permit or other authorisation for each brokering transaction?
Yes

7.4. Does your country regulate activities that are closely associated with the brokering of SALW?
No

8.1.1 Yes - these laws and procedures are part of the national arms export control system.

SECTION 5: STOCKPILE MANAGEMENT

9. Does your country have standards and procedures relating to the management and security of SALW held by the armed forces, police or any other entity authorised to hold SALW?

Yes

9.1. If so, which of the following provisions are included in these standards and procedures (check relevant boxes)?

- a) Appropriate locations for stockpiles
- b) Physical security measures
- c) Control of access to stocks
- d) Inventory management and accounting control
- e) Staff training
f) Security, accounting and control of SALW held or transported by operational units or authorised personnel

g) Procedures and sanctions in the event of theft or loss

h) Other

Sources

Surplus

PoA II.18 9.2. When stocks are identified as surplus, what actions does your country take with regard to the surplus (check relevant boxes)?

a) Officially declare as surplus
b) Take out of service
c) Record by type, lot, batch, and serial number
d) Store separately
e) Other

PoA II.19

9.4. During the reporting period, has your country destroyed surplus stocks?  

Yes

9.4.1. How many SALW were destroyed?

17,081 weapons destroyed

9.4.2. Any further comments regarding destruction?

The Australian Defence Force and other national and State and Territory agencies closely monitor their firearms requirements and stocks. If a particular ADF weapon is declared out of service, disposal action will be commenced. Weapons are destroyed (usually by smelting), or occasionally they may be on-sold. The same process occurs for weapons declared surplus to requirement. However, surplus weapons may be held in long-term storage. In the event of a sale, the transfer of the weapon is affected according to the procedures governing weapons exports. This ensures that the sale complies with relevant Australian Government policy, and arms or weapons are sold only to approved purchasers, using the mechanism of end-user certification when necessary. In both the case of disposal by sale and/or destruction, official stocks are strictly controlled by the Defence Disposal Agency in consultation with the Department of Defence's Capability Acquisition and Sustainment Group using extant procedural requirements, including the recording of all serial numbers.

Sources

Actions taken during the reporting period

PoA II.19

9.4. During the reporting period, has your country destroyed surplus stocks?  

Yes

PoA II.20

9.4.1. How many SALW were destroyed?

17,081 weapons destroyed

9.4.2. Any further comments regarding destruction?

The Australian Defence Force and other national and State and Territory agencies closely monitor their firearms requirements and stocks. If a particular ADF weapon is declared out of service, disposal action will be commenced. Weapons are destroyed (usually by smelting), or occasionally they may be on-sold. The same process occurs for weapons declared surplus to requirement. However, surplus weapons may be held in long-term storage. In the event of a sale, the transfer of the weapon is affected according to the procedures governing weapons exports. This ensures that the sale complies with relevant Australian Government policy, and arms or weapons are sold only to approved purchasers, using the mechanism of end-user certification when necessary. In both the case of disposal by sale and/or destruction, official stocks are strictly controlled by the Defence Disposal Agency in consultation with the Department of Defence's Capability Acquisition and Sustainment Group using extant procedural requirements, including the recording of all serial numbers.

Sources

International assistance

PoA II.29; III.6

10. Does your country wish to request assistance in developing standards and procedures on stockpile management?

No

PoA III.6; 14

11. Does your country wish to request assistance in developing capacity for the destruction of weapons?

No

SECTION 6: COLLECTION

Sources

Collection

PoA II.21

12. During the reporting period, did your country collect any SALW?  

Yes

12.1. How many SALW were collected?

Some 3,000 firearms were collected by two law enforcement agencies within jurisdictions and destroyed. These firearms would have consisted of those legally owned and surrendered voluntarily, those surrendered during amnesties and illegal firearms located associated with a criminal offence. It is observed that although there can be a large number of firearms reportedly 'confiscated' by police, the Australian Crime Commission (ACC) through their Firearm Trace program (FTP) has
identified that a very large number of those firearms are returned to the original owner, transferred to a licenced firearm dealer or transferred to a friend or close relative. ACC analysis indicates that media reports of firearm seizures by law enforcement do not reflect the reality of any reduction of firearm numbers within the community.

12.2. What action was taken with respect to the SALW collected (check relevant boxes)?

- a) Stored securely pending further action
- b) Marked
- c) Registered or recorded
- d) Destroyed
- e) Other

Some seized/located firearms are returned to the lawful owner while others that are unregistered are destroyed or given to police ballistics libraries for future reference. Firearms in Australian law enforcement possession are recorded as property items under the care and control of the appropriate law enforcement authority.

13. Does your country wish to request assistance in building capacity for confiscation and seizure of the illicit SALW? No

14. Does your country take measures to ensure that all SALW in the possession of government armed and security forces for their own use are duly marked? Yes

14.1. Describe the markings that are applied to government-held stocks.

In addition to serial number markings, strict control measures apply to military weapons, munitions and explosives. Each weapon is individually numbered. In 2015, the Australian Army directed the marking of all weapons with unique identification (UID) tags. This electronic tagging system is currently being trialled. Royal Australian Air Force and Royal Australian Navy are involved in a related project on upgrades of Inventory Management technology and may follow suit with UID for weapons in the coming years.

14.2. When government stocks are transferred to civilians or private companies in your territory, are such stocks marked to indicate that your government transferred the stocks? No

15. Does your country encourage manufacturers of SALW to develop measures against the removal or alteration of markings? Yes

15.1 Details

16. Does your country have standards and procedures related to keeping of records for all marked SALW in its territory? Yes

16.1. What records relating to SALW are kept by the State (e.g. manufacturing, brokering, import and export licences granted, sales to other States, SALW held by State agencies such as the armed forces etc)? Records are maintained of all firearms that are registered in Australia - that includes details of the firearms and their current and previous owners. Records vary considerably according to each State and Territory Police Force. The Australian Defence Force (ADF) maintains strict accountability processes for its weapons. ADF firearms storage and armoury security remain high priorities for the Australian Government. Strict control measures apply to military weapons, munitions and explosives. Weapons are individually numbered and tracked, stored securely, registered and subject to strict accounting procedures, including fortnightly and annual assurance checks conducted by the Capability Acquisition and Sustainment Group (CASG) and ADF. The aim of each assurance check is to account for 100% of weapons. Thorough investigation procedures are in place for the loss, theft or attempted theft of weapons, ammunition and explosives. The Department of Defence operates an inventory management system that details the unit or establishment holding each weapon by weapon type and serial number. To streamline the process and make it more effective, in 2015, the Australian Army directed the marking of all weapons with unique identification (UID) tags. This electronic tagging system is currently being trialled. Royal Australian Air Force and Royal Australian Navy are involved in a related project on upgrades of Inventory Management technology and may follow suit with UID for weapons in the coming years.

16.2. How long does the government keep such records? Records are kept for a minimum of 7 years, but generally kept indefinitely.

SECTION 7: MARKING AND RECORD KEEPING
163. In the event that they go out of business, are companies engaged in SALW activities (e.g., manufacturing, importing, exporting etc) required to submit all records held by them to the government? No

17. Does your country wish to request assistance in building capacity for record-keeping? No

SECTION 8: INTERNATIONAL TRACING

18. Does your country have procedures in place to trace SALW? Yes

a) Circumstances under which the SALW was found
b) Reasons why the SALW is considered to be illegal or illicit
c) The intended use of the information being sought
d) Any markings on the SALW
e) Type/calibre of SALW
f) Other

Full details of the firearm, date of seizure and circumstances of offence when deemed appropriate.

19. During the reporting period, has your country cooperated on the issue of tracing SALW with the International Criminal Police Organization (INTERPOL)? Yes

SECTION 9: INTERNATIONAL COOPERATION & ASSISTANCE

22. Has your country considered providing assistance to examine technologies to improve the tracing and detection of illicit SALW? No

2622. During the reporting period, in addition to the assistance requested/received mentioned in the Sections 2-8 above, has your country requested / received / provided assistance to implement the PoA and ITI? Yes
22.1 If so, in what areas (check relevant boxes)?

a. Establishing/designating National Coordination Agency/National Point of Contact

b. Disarmament, demobilization and reintegration (DDR)

   a) Nature of the assistance:
   
   i) financial
   
   ii) technical

   b) Amount of assistance provided/received (if financial):

   c) Description of the assistance activity:

   During the reporting period Australia was a member of the Combined Maritime Forces and participated in the implementation of UNSCR 2182 (2014), including the interdiction of illicit weapons headed for Somalia on 26 September 2015. The primary goal of the Australian Defence Force (ADF) contribution is to contribute to the US-led Combined Maritime Forces, which is a 31-nation partnership focused on defeating terrorism, preventing piracy, encouraging regional cooperation and promoting a safe maritime environment.

   d) Duration of the assistance provided/received:

   e) State(s) or organization(s) that provided/received the assistance:

   c. Capacity-building and training on SALW issues

   a) Nature of the assistance:

   i) financial

   ii) technical

   b) Amount of assistance provided/received (if financial):

   1. AUD $200,000 - UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR).

   c) Description of the assistance activity:

   1. UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR): to support the preparation for ratification and implementation of the Arms Trade Treaty and to ensure the complementarities of implementation activities of the United Nations Programme of Action on small arms and light weapons (PoA). 2. In the reporting period, the Department of Defence provided weapons training to members of foreign defence forces: - Two Corporals from the Union Defence Force, United Arab Emirates received weapons training prior to attending the Subject 1 Corporal course on the 30 Sep and 1 Oct 15. - Students from Fiji, Malaysia, Pakistan, Papua New Guinea, Thailand, Timor Leste and Tonga received initial weapons training whilst attending the Full Time General Service Officer course at Royal Military College (RMC). This training occurred at periodic times throughout the RMC curriculum. - Students from Federated States of Micronesia, Kiribati, Papua New Guinea, Samoa, Solomon Islands and Tonga underwent small weapons handling training at HMAS Cerberus, as part of the Pacific Patrol Boat Program South Pacific Junior Officers Course.

   d) Duration of the assistance provided/received:

   2015

   e) State(s) or organization(s) that provided/received the assistance:

   d. Law enforcement

   e. Customs and borders

   f. Action-oriented research

   a) Nature of the assistance:

   i) financial

   ii) technical

   b) Amount of assistance provided/received (if financial):

   AUD $150,492 Small Arms Survey AUD $249,751 ATT Monitor AUD $181,950 Baseline Survey

   c) Description of the assistance activity:

   Small Arms Survey. Undertaking research on small arms with a focus in the Asia-Pacific. Multi-year Core Funding to Small Arms Survey 2012-15 (Asia-Pacific). ATT Monitor is undertaking research on the implementation of the Arms Trade Treaty. Baseline Survey is a tool created to facilitate the implementation of the Arms Trade Treaty.

   d) Duration of the assistance provided/received:

   2012-2015

   e) State(s) or organization(s) that provided/received the assistance:

   N/A

   g. Children/youth

   h. Awareness-raising

   i. Organized crime, drug trafficking and terrorism

   a) Nature of the assistance:
i) financial --- Select ---
ii) technical Provided

b) Amount of assistance provided/received (if financial):

c) Description of the assistance activity:

1. The ADF contributes to international efforts to promote maritime security, stability and prosperity in the Middle East Region (MER). The primary goal of the ADF contribution is to contribute to the US-led Combined Maritime Forces, which is a 31-nation partnership focused on defeating terrorism, preventing piracy, encouraging regional cooperation and promoting a safe maritime environment. This includes a focus on disrupting the trade of illicit narcotics, which is a key income source that terrorist organisations use to fund their activities. 2. Through its Advise and Assist and Building Partner Capacity missions in Iraq during the reporting period, the ADF has trained, advised and assisted Iraqi Security Forces in support of their operations against Daesh. 3. Through the International Security Assistance Force (up to December 2014) and its successor, the Resolute Support mission, the ADF has trained, advised and assisted the Afghan National Defense and Security Forces in support of their operations against the Taliban-led insurgency.

d) Duration of the assistance provided/received:

e) State(s) or organization(s) that provided/received the assistance:

i) Other Armories Maintenance - Australian Defence Force

a) Nature of the assistance:

i) financial --- Select ---
ii) technical Provided

b) Amount of assistance provided/received (if financial):

c) Description of the assistance activity:

1. Through its Advise and Assist and Building Partner Capacity missions in Iraq during the reporting period, the ADF has trained, advised and assisted Iraqi Security Forces with the appropriate handling and storage of their weapons. 2. Through the International Security Assistance Force (up to December 2014) and its successor, the Resolute Support mission, the ADF has trained, advised and assisted the Afghan National Defense and Security Forces with the appropriate handling and storage of their weapons.

d) Duration of the assistance provided/received:

e) State(s) or organization(s) that provided/received the assistance:

Additional information may be uploaded/attached, if necessary:

### SECTION 10: INFORMATION TO BE SUBMITTED

#### Information on national marking practice

2823. Pursuant to paragraph 31 of the International Tracing Instrument, States will provide the Secretary-General with the following information, updating it when necessary:

a) National marking practices related to marking used to indicate country of manufacture and/or country of import as applicable.

Additional information such as images and illustrations may be uploaded/attached, if necessary:

Note: Relevant information might have been provided in questions 4.2.1, 4.2.2 and 18.1 in this report.