

**Reporting Template for the Implementation of
the OSCE Document on Small Arms and Light Weapons
and Supplementary Decisions**

Reporting country: ROMANIA

Reporting date: 2017

SECTION 1: POINTS OF CONTACT

<i>Sources</i>	<i>Question</i>	<i>YES</i>	<i>NO</i>	<i>DEV ELOP ING</i>
National Coordination Agency				
PoA II.4	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?	X		
	a) Name of agency: Ministry of Foreign Affairs of Romania OSCE, Asymmetrical Risks and Nonproliferation Directorate b) Address: Aleea Alexandru nr. 31, Sector 1, 011822 Bucharest c) Contact details: i) Contact person: Mihaela Ștefănescu , Director ii) Telephone number(s): +40.21.431.13.73 iii) Fax number: +40.21.431.18.04 iv) Email: mihaela.stefanescu@mae.ro , don@mae.ro			
National Point of Contact				
PoA II.5, 24	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 <i>Programme of Action on Small Arms</i> (PoA)?	X		
	2.1 Details: a) Name: Mihaela Ștefănescu , Director b) Organization or agency: Ministry of Foreign Affairs of Romania OSCE, Asymmetrical Risks and Nonproliferation Directorate c) Address: Aleea Alexandru nr. 31, Sector 1, 011822 Bucharest d) Telephone number(s): +40.21.431.13.73 e) Fax number: +40.21. 431.18.04 f) Email: mihaela.stefanescu@mae.ro , don@mae.ro			
ITI 25	2.2 Is the National Point of Contact identified above also responsible for exchanging information and liaising on matters relating to the <i>International Tracing Instrument</i> (ITI)?		X	
ITI 25	2.3 If the answer to Question 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?	X		
	2.3.1. Details: a) Name: Eugen Mihuț, general director b) Organization or agency: Ministry of Foreign Affairs of Romania/ Department for Export Controls - ANCEX c) Address: Bucharest, 8 Polona Street, District 1 d) Telephone number(s): +40 21 311 20 83 e) Fax number: +4021 311 12 65 f) Email: dancex@mae.ro			
GGE Report para 63(ix)	3. Is the National Point of Contact identified above in either Q. 2 or 2.3 also responsible for exchanging information and liaising on matters relating to brokering in SALW?	X		
	3.1 If not, does your country have a focal point for purposes of exchanging information and liaising on matters relating to brokering in SALW?			
	3.1.1 Details a) Name: b) Organization or agency: c) Address: d) Telephone number(s): e) Fax number: f) Email:			

SALW Doc, Section IV, 1.	4. Is the National Point of Contact identified above in either Q. 2, 2.3 or 3.1.1 also responsible for exchanging information and liaising on matters relating to the OSCE Document on SALW and its supplementary decisions?	X		
	4.1 If not, does your country have a focal point for purposes of exchanging information and liaising on matters relating to the OSCE Document on SALW and its supplementary decisions?			
	4.1.1 Details a) Name: b) Organization or agency: c) Address: d) Telephone number(s): e) Fax number: f) Email:			
FSC.DE C/4/08	5. Is the National Point of Contact identified above in either Q. 2, 2.3, 3.1.1 or 4.1.1 also responsible for exchanging information and liaising on matters relating to OSCE projects on SALW and stockpiles of conventional ammunition?	X		
	5.1 If not, does your country have a focal point for purposes of exchanging information and liaising on matters relating to OSCE projects on SALW and stockpiles of conventional ammunition?			
	5.1.1 Details a) Name: b) Organization or agency: c) Address: d) Telephone number(s): e) Fax number: f) Email:			

SECTION 2: MANUFACTURE

Sources	Question	YES	NO
Laws, regulations and administrative procedures			
	6. Are there any SALW manufactured in your country?	X	
PoA II.2	6.1. Does your country have laws, regulations and/or administrative procedures to exercise effective control over the manufacture of SALW?	X	
	6.1.1 List laws, regulations and/or administrative procedures regulating the manufacture of SALW in your country. <ul style="list-style-type: none"> • Law no 295 / 2004 on the Regime of Arms and Ammunition • Government Decision no. 130 / 2005 on the approval of the Methodological Norms for the Implementation of the Law on the Regime of Arms and Ammunition • Law no 31 / 1996 on the Regime of the State Monopoly stipulates that the manufacture of and the commerce with armament, ammunition and explosives is a state monopoly • Law no 122 / 2011 on the Regime of Military Arms, Devices and Ammunition of the MoD establishes that the MoD has the right to repair, modify, transform, test or dispose arms. 		
	6.1.2 Does your country licence the manufacture of SALW?	X	
BPG, Manufac turing, IV (3) SALW Doc, Section II(A).	If yes,		
	6.1.2.1 Are licenses specific to location and non-transferrable?	X	
	6.1.2.2 Are the licenses limited in the period of validity?	X	
	6.1.2.3 Is approval of storage facilities a prerequisite for obtaining a manufacturing license?	X	
	6.1.2.4 Are there exceptions when licensing is not mandatory for SALW manufacturers?		X

BPG, Manufacturing, IV (1)	If so, describe 6.1.2.5 How does your country monitor SALW manufacturers? The General Inspectorate of the Romanian Police is the responsible body according to the Law on Arms and Ammunition to exercise the control on arms on the national territory, including the observance of the provisions on manufacturing.		
PoA II.3	6.1.3 Is illegal manufacture of SALW considered a criminal offence in your country?	X	
Marking at manufacture			
PoA II.7; ITI 8a	6.2. Does your country require that SALW be marked at the time of manufacture?	X	
ITI 8a	6.2.1. What information is included in the marking (check relevant boxes)?		
	a) Name of the manufacturer	X	
	b) Country of manufacture	X	
	c) Serial number	X	
	d) Year of manufacture	X	
	e) Weapon type/model	X	
	f) Caliber	X	
	g) Proofing	X	
	h) Other	X	
ITI 10	6.2.2. What part of the SALW is marked? According to the national Law on Arms and Ammunition all arms should have a clear and visible marking for the assembly as well as markings on their individual parts.		
	6.2.3 Are there exceptions to the requirement to mark SALW at the time of manufacture?		X
	6.2.3.1 If so, describe		
OSCE SALW Doc, Section II (B), 1	6.2.4 Is it necessary for small arms manufacturers under your authority outside your country's territory to apply markings to the same standard as in your country? No		X
Record-keeping by manufacturers			
PoA II.9; ITI 11	6.3. Does your country require that manufacturers keep records of their activities?	X	
ITI 12a	6.3.1. What information must be recorded (check relevant boxes)?		
	a) Quantity of SALW manufactured	X	
	b) Type or model of SALW manufactured	X	
	c) Markings applied to manufactured SALW	X	
	d) Transactions (e.g. sales of manufactured and marked SALW)	X	
	e) Other	X	
	6.3.2. How long must manufacturing records be kept?		
	a) Indefinitely		
	b) 30 years	X	
	c) Other		
Actions taken during the reporting period			
PoA II.6	6.4. During the reporting period, was action taken against groups or individuals engaged in illegal manufacturing of SALW (e.g. prosecution)?		X
	4.4.1. Details.		
International assistance			
PoA III.6	7. Does your country wish to request assistance in developing laws, regulations and/or administrative procedures?		X
	7.1 What kind of assistance do you require?		
	7.2 Has your country developed a project proposal for assistance?		

SECTION 3: INTERNATIONAL TRANSFERS

Sources	Question	YES	NO
	Laws, regulations and administrative procedures		

PoA II.2, 12	8. Does your country have laws, regulations and/or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW?	X	
	<p>8.1. List laws, regulations and/or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW.</p> <p><u>Primary legislation</u></p> <ul style="list-style-type: none"> ➤ Government Ordinance no. 158/1999 regarding the control regime of exports, imports and other transfers of military goods, republished in the Romanian Official Journal, Part I, no. 601, from 26 September 2013 ➤ Minister of Foreign Affairs Order no. 826/2017 setting up the List of military goods subject to control regime of export, import and other transfers of military goods (published in Romanian Official Journal, Part I, no. 427 from 9th of June 2017) <p><u>Secondary legislation</u></p> <ul style="list-style-type: none"> ➤ Order No. 849/2013 of the Minister of Foreign Affairs for the implementation of Government Ordinance no. 158/1999 on the control regime of exports, imports and other transfers of military goods, republished (published in the Official Journal of Romania, Part I, No. 409 from 8 July 2013). ➤ Other ministerial orders for different administrative procedures 		
Licensing and authorization			
PoA II.11	8.2. Does a person or an entity who transfers SALW require a licence or other form of authorization to transfer SALW from/into your country?	X	
PoA II.3	8.3. Is it a criminal offence to trade SALW without a licence or authorization, or to do so in a manner that is in contradiction to the terms of a licence or authorization, in your country?	X	
OSCE SALW Doc	8.4 What penalties does your country apply for trading SALW in violation of United Nations Security Council Resolutions?		
	<ul style="list-style-type: none"> 1) Administrative sanctions 2) Criminal penalty 3) Other 	X	
PoA II.11	<p>8.5. Name the relevant international commitments that your Government applies or considers when assessing an application for export authorization.</p> <p>All licence applications are assessed on case-by case basis. The control regime for export, import, brokering, re-export, transit and transshipment with military goods, including SALW are, <i>inter alia</i>, in compliance with:</p> <ul style="list-style-type: none"> a) The EU Common Position 2008/944/CFSP; b) the obligations deriving from the implementation of arms embargoes established by the United Nations Security Council, by the European Union, by the Organisation for Security and Co-operation in Europe, or established by EU or NATO member states; c) the objectives of non-proliferation of weapons of mass destruction, of vectors carrying such weapons, and of other military goods used for the purpose of destabilizing accumulations; d) the international conventions, treaties and agreements, the non-proliferation mechanisms Romania is a party to, and other international undertakings assumed by Romania as a participating state in the international non-proliferation and export controls regimes; e) the principle of co-operation with the states promoting non-proliferation policies similar to Romania's policies in this field. 		
OSCE SALW Doc, Section III (A)	<p>8.6 What other criteria does your country take into account when considering exports of SALW and technology related to their design, production, testing and upgrading (i.e. respect for human rights and fundamental freedoms)?</p> <p>In the assessment process of an export licence application it is taken into account the risk of the conventional arms being used to commit or facilitate serious acts of gender-based violence or serious acts of violence against women and children.</p>		
BPG, Export, IV.1	<p>8.7 Do exporters in your country require government's consent to enter into negotiations with a potential importer?</p> <p>MFA/ANCEX has a strong Government Outreach to Industry. The MFA/ANCEX does not provide to Romanian exporters a formal consent to enter into negotiations with potential partners (importers or brokers). However, in sensitive cases, the exporters consults MFA/ANCEX regarding the opportunity of export, before negotiation of a contract (i.e. exemptions to an arms embargo, listed entities, country of final destination). Nevertheless, all companies involved with military goods are registered by MFA/ANCEX.</p>		
	8.8. What kind of documentation does your country require prior to authorizing an export of SALW to another		

	country?		
PoA II.12	a) An end-user certificate (EUC) from the importing country	X	
	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	X	
	2) Contract number or order reference and date	X	
	3) Final destination country	X	
	4) Description of the end-use of the SALW	X	
	5) Exporter's details (name, address and business name)	X	
	6) End-user information (name, position, full address and original signature)	X	
	7) Information on other parties involved in the transaction	X	
	8) Certification by the relevant government authorities of the authenticity of the end-user	X	
	9) Date of issue and register number and the duration of the EUC	X	
FSC.DE C/5/04	10) Assurances of use only by end-user and for the stated end-use	X	
	11) Other		
	b) Other types of end-user documentation: International Import Certificates		
FSC.DE C/12/08	8.9. Has your country provided a sample end user certificate to the OSCE? Romanian end-user certificate called <i>Non-transfer and End-User Certificate</i> is used in the licensing procedures and promoted amongst the Romanian companies authorized to carry out activities with military equipment, including SALW and their ammunition. A sample of this document was provided to the OSCE in 2014 and no additional changes of the form have been made since then. 6.9.1 If not, have you attached a copy of the end-user certificate to this report?	X	
	8.10. What types of licences does your country issue? a) Individual licences (only individual licences are granted for SALW transfers) b) General licences	X	
BPG, Export, IV.5	8.11. What is the period of validity for licences? The validity for all individual licences issued by MFA/ANCEX is up to 1 year. The validity of a licence could be extended for another year.		
	8.12. When exporting, does your country places any restriction on re-export of SALW?	X	
	If so, what are the restrictions placed on re-export? a) Re-export permitted only when there is prior notification b) Re-export permitted only when there is prior approval c) Other	X	
PoA II.12	8.13. Does your country verify or seek to authenticate EUCs or other types of end-user documentation provided? 8.13.1 Details: According to the Romanian legislation the applicant must present as support documentation for an export licence application all relevant documents related to the transaction, including an End-User Certificate. Failure to submit the End-User Certificate will result in the returning of licence application without action. The End-User Certificate must be original and authentic. In some cases, the End-User Certificate could be graphological verified by a Specialized Unit from the Romanian Ministry of Internal Affaires. Usually, MFA/ANCEX verifies through diplomatic channels the authenticity of the end-user documentation (End-User Certificates, International Import Certificates issued by the importer's authority) provided by the foreign importer to the Romanian exporter.	X	
	8.14. Does your country have measures in place aimed at preventing the forgery and misuse of	X	

	EUCs or other types of end-user documentation?		
	8.14.1 Details: The International Import Certificates, Delivery Verification Certificates and licenses issued by MFA/ANCEX have security elements and holograms to ensure that this documentation cannot be reproduced. There are also security features related to the identification number of the up-mentioned documentation.		
	8.15. Does your country permit the export of SALW without a licence or under simplified procedure under certain circumstances?		X
	8.15.1 If so, under what circumstances?		
	a) Peacekeeping		
	b) Temporary exports		
	c) Equipment needed for training exercises		
	d) Equipment needed for repair		
	e) Delivery of spare parts		
	f) Other		
Post delivery controls			
	9.16. 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?	X	
	9.17. After exporting, does your country verify or seek to authenticate DVCs provided?	X	
	9.17.1. Details Under special circumstances, MFA/ANCEX verifies through diplomatic channels the DVCs. Moreover, MFA/ANCEX could conduct physical (on-site) verification at the end-user of the military items (including SALW and their ammunition). There are cases when the Romanian exporter is required to accompany the export up to the end-user, in order to prevent diversion of the exported goods.		
	9.18. When importing, does your country grant the right to exporting State to conduct physical check at point of delivery?	X	
Marking at import			
ITI 8b	9.19. Does your country require that SALW imported into your country be marked at the time of import?		
ITI 8b	9.19.1. Who is required to mark the SALW?		
ITI 8b	9.19.2. What information is included in the marking on import (check relevant boxes)?		
	a) Country of import		
	b) Year of import		
	c) Other		
ITI 8b	9.19.3. Are there exceptions to the requirement to mark imported SALW?		
ITI 8b	9.19.3.1. If so, describe.		
ITI 8b	9.19.4. If 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?		
	9.19.4.1 Details:		
OSCE SALW Doc, Section III (B), 7	9.20. Under what circumstances does your country permit transfer or re-transfer of unmarked SALW? Under any circumstances MFA/ANCEX doesn't approve a transfer of unmarked or inadequately marked SALW.		
Record Keeping			
PoA II.9; ITI 12	9.21. Does your country require that exporters and importers of SALW keep records of their activities?	X	
	9.21.1. What information must be recorded (check relevant boxes)?		
	a) Quantity of SALW traded	X	
	b) Type or model of SALW traded	X	
	c) Markings appearing on transferred SALW	X	
	d) Transactions	X	
	i) Identity of buyer/seller	X	
	ii) Country SALW are to be delivered to or purchased from	X	
	iii) Date of delivery	X	

ITI 12b	e) Other	X	
	9.21.2. How long must records of transfers be kept?		
	a) Indefinitely		
	b) 20 years	X	
	c) Other		
Actions taken during the reporting period			
PoA II.6	9.22. During the reporting period, was action taken against groups or individuals engaged in transferring SALW illegally (e.g. prosecution)?		X
	9.22.1 Details.		
International assistance			
PoA III.6	10. Does your country wish to request assistance in developing laws, regulations and/or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW?		X
	10.1. What kind of assistance do you require?		
	10.2 Has your country developed a project proposal for assistance?		

SECTION 4: BROKERING (in accordance with FSC Decision 17/10)

Sources	Question	YES	NO
Laws, regulations and administrative procedures			
PoA II.14	11. Does your country have laws, regulations and/or administrative procedures governing brokering of SALW?	X	
	11.1. List laws and/or administrative procedures regulating SALW brokering in your country. <ul style="list-style-type: none"> ➤ Government Ordinance no. 158/1999 regarding the control regime of exports, imports and other transfers of military goods, republished in the Romanian Official Journal, Part I, no. 601, from 26 September 2013 		
	11.1.1 Are those laws and procedures part of the national export control system?	X	
FSC.DE C/8/04	11.2. Does your country have a definition of brokering activities of persons and entities?	X	
	11.2.1 If yes, provide the definition. <ul style="list-style-type: none"> ➤ The main legislation defines brokering activities as activities carried out by a person regarding: <ul style="list-style-type: none"> • negotiation or arranging transactions that may involve the export, import or transfer of military goods from a third country to any other third country; • buy, sale, export or transfer of military goods that are in their ownership from a third country to any other third country; • negotiation or arranging transactions that involve taking outside from or bringing into the Romanian territory the military goods; <p>Additionally, according to the internal procedures for Romanian exports and imports through foreign brokers, the national authority requests the authorization or registration of the brokering activities.</p> <ul style="list-style-type: none"> ➤ The main legislation defines persons that could carry out brokering activities as: <ul style="list-style-type: none"> • any natural (Romanian or foreign citizen) or legal entity residing in Romania, including public authorities; • Romanian natural entities outside the Romanian territory, in accordance with the international law. 		
	11.3. Does your country require brokers to register before they can apply for brokering licences?	X	
	11.4. Does your country make a background check on past involvement in illicit activities before registering a broker or issuing a brokering licence?	X	
	11.5. Does your country require registration of SALW brokers?	X	
FSC.DE C/8/04	11.6. Does your country require a licence for SALW brokering activities on the territory of your country regardless of the nationality of the broker? <ul style="list-style-type: none"> ➤ Yes, only for foreign citizens residing in Romania 	X	
	11.7. Does your country control brokering activities outside your territory carried out by brokers of your country's nationality?	X	

	11.8. Does your country control brokering activities outside your territory carried out by non-citizen residents who are established on your country's territory?	X	
BPG, Brokering, V.1	11.9. What is the policy for deciding on the competent State to consider licence application and control? ➤ The broker's country of residence.		
FSC.DE C/8/04	11.10. Does your country have a requirement for end-use documentation before authorizing each brokering activity?	X	
	11.10.1 If so, describe ➤ The original of the End-User Certificate should be presented for prior verifications to the national export control authority. This verification is a relevant part of the brokering licencing process.		
	11.11. Does your country require a licence, permit or other authorization for each brokering transaction?	X	
GGE Report para 44	11.11.1 Are such applications for a licence, permit or other authorization considered for approval on a case-by-case basis? 11.11.2 Are there exceptions to the requirement to hold a licence or authorization for a brokering transaction? 11.11.2.1 Details (e.g. if the transaction is on behalf of the police or armed forces or other government officials) 11.11.3 What are the criteria for granting a licence, permit or other authorization? The license applications for brokering activities are assessed in accordance with the legal provisions on a case-by-case basis and only individual licenses are granted for brokering activities with military goods, including SALW. The national export controls standards for assessing and granting a brokering licence are the same as those used for an export licence.	X	X
BPG, Brokering, V.3	11.11.4 Is ex post facto licencing possible? 11.11.4.1 If yes, under which conditions?		X
	11.12. Does your country have measures to validate the authenticity of documentation submitted by the broker?	X	
	11.12.1 Describe those measures. The authenticity of the EUC is verified via diplomatic channels		
FSC.DE C/8/04	11.13. Does your country keep records of all issued licences or written authorizations?	X	
	11.13.1 If yes, how long are the records kept for? a) Indefinitely b) 10 years c) Other – 20 years		
BPG, Brokering, V.4 (ii)	11.14. Does your country require brokers to report regularly on their activities? 11.14.1 If so, describe Yes. The brokers should notify by request of the national authority, according to the law. Furthermore, quarterly and annual reports of their activities are submitted to MFA/ANCEX.	X	
	11.15. Is it a criminal offence to engage in a SALW brokering transaction without a licence or authorization, or to do so in a manner that is in contradiction to the terms of a licence or authorization, in your country?	X	
	11.16. Does your country share with other States such information as the disbarment of brokers and revocation of registration?		X
	11.17. Does your country regulate activities that are closely associated with the brokering of SALW?	X	
	11.17.1. If so which of the following activities are regulated (check relevant boxes)? a) acting as dealers or agents in SALW b) Providing technical assistance c) Training d) Transport e) Freight forwarding f) Storage g) Finance	X X X	

	h) Insurance		
	i) Maintenance		
	j) Security		
	k) Other services		
	11.18. What penalties or sanctions does your country impose for illegal brokering activities? ➤ The illegal brokering activities are subject to imprisonment according to the Romanian Criminal Code.		
	Actions taken during the reporting period		
	11.19. During the reporting period, was action taken against groups or individuals engaged in illegal brokering (e.g. prosecution)? ➤ During the reporting period there were no cases of illegal brokering activities.		
	11.19.1 Details.		
	International Assistance		
PoA III.6	12. Does your country wish to request assistance in developing laws, regulations and/or administrative procedures to regulate SALW brokering?		X
	12.1. What kind of assistance do you require?		
	12.2. Has your country developed a project proposal for assistance?		
	12.3. Does your country require training on controlling brokering activities in SALW?		X

SECTION 5: STOCKPILE MANAGEMENT

Sources	Question	YES	NO
	Laws, regulations and administrative procedures		
PoA II.17	13. Does your country have standards and procedures relating to the management and security of SALW held by the armed forces, police or any other body authorized to hold SALW?	X	
PoA II.17	13.1. If so, which of the following provisions are included in these standards and procedures (check relevant boxes)?		
	a) Appropriate locations for stockpiles	X	
	b) Physical security measures	X	
	c) Control of access to stocks	X	
	d) Inventory management and accounting control	X	
	e) Staff training	X	
	f) Security, accounting and control of SALW held or transported by operational units or authorized personnel	X	
	g) Procedures and sanctions in the event of theft or loss	X	
	h) Measures needed to provide adequate protection in emergency situations	X	
	i) Other		
	Characteristics of stockpile management and security of military stocks		
OSCE SALW Doc, Section IV (B)	14. Stockpile location: 14.1. How is a formal assessment of surroundings made when choosing a location for stockpiles? Elements considered when deciding on national stockpiles locations: <ul style="list-style-type: none"> the needs of an opportune supply for troops and the needs of providing a good own security as well as of economical and social objectives in the neighbourhood; to provide conditions for permanently keeping a good maintenance of the equipment; to prevent fire and to provide fire fighting and, if necessary, the possibility of quickly distribution; to provide a surface according to the destination and to offer possibilities of enlarging it; to provide conditions for organizing the guard and security system; to provide conditions for simultaneously loading/unloading of 4-6 railroad carriages; to allow construction of roads with two ways of traffic; not to be a floodable area, having an average relative humidity of 30-80%; to offer possibilities for aerial and ground concealment; to offer possibilities for water supplying in case of fire and for domestic needs; 		

	<ul style="list-style-type: none"> to allow connection to the main power supply; to have draining slopes; to be located near a town, but not a main economical center or railroad junction. 		
OSCE SALW Doc, Section IV (B)	<u>15. Physical security measures:</u>		
	15.1. Is security assessment conducted for each stockpile?		
	15.2. Is SALW and ammunition always stored separately in your country?		
	15.2.1 If no, in what cases is SALW and ammunition can be stored together?		
OSCE SALW Doc, Section IV (B)	<u>16. Access control measures:</u>		
	16.1. Describe your country's policies regarding access controls at storage sites.		
	16.2. Does your country require full records of access to be maintained?		
OSCE SALW Doc, Section IV (B)	<u>17. Inventory management:</u>		
	17.1. Is there a system in place in your country to manage inventory of SALW?		
	17.1.1 If yes,		
	a) Is the system computerized?		
	b) How long are the records of access to be maintained?		
	i) Indefinitely		
	ii) Other		
	<u>18. Security Plan:</u>		
	18.1. Does each SALW storage site have a security plan?		
OSCE SALW Doc, Section IV (B)	<u>19. Emergency situations and training:</u>		
	19.1. Has your country developed measures to provide protection in emergency situations?		
	19.2. Are there regular sessions provided to personnel at storage sites on regulations behaviour and procedures related to security?		
	Surplus		
PoA II.18	20. Are there systems in place to conduct reviews stocks of SALW held by armed forces, police and other authorized bodies to identify surplus or obsolete SALW?		
	21. How often/frequently are these reviews conducted?		
	22. Do you include inoperable/unrepairable weapons in 'surplus' for the purposes of this questionnaire?		
	23. Do you include obsolete weapons (weapons that no longer meet operational standards) in 'surplus' for the purposes of this questionnaire? 23.1. If no, describe your policy with regard to obsolete weapons, if any.		
	24. Are inoperable/unrepairable weapons categorized as "surplus weapons" in your country?		

PoA II.18	25. 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.18	26. In disposing of the surplus stocks, which of the following methods may be used (check relevant boxes)?		
	a) Destruction b) Sale to another State c) Donation to another State d) Transfer to another state agency e) Sale to civilians f) Sale or transfer to legal entities (e.g. museums, private security companies, etc.) g) Other		
PoA II.19	26.1. If (a) Destruction is checked for Q.26.a, which of the following methods are used (check relevant boxes)?		
	i) Burning or melting		
	ii) Open-pit detonation		
	iii) Cutting/shredding		
	iv) Bending/crushing		
	v) Dumping at sea		
	vi) Burial on land		
	vii) Disassembly		
	viii) Other		
	27. Describe the SALW destruction process(es) applied in your country.		
Actions taken during the reporting period			
PoA II.19	28. During the reporting period, has your country destroyed surplus stocks?		
PoA II.20	28.1. How many SALW were destroyed? Include details on destruction.		
	28.2. Were any of these destruction activities carried out in public?		
	28.3. Any further comments regarding destruction?		
International Assistance			
PoA II.29; III.6	29. Does your country wish to request assistance in developing standards and procedures?		
	29.1. What kind of assistance do you require?		
	29.2. Has your country developed a project proposal for assistance?		
PoA III.6; 14	30. Does your country wish to request assistance in developing capacity for destruction of weapons?		
	30.1. What kind of assistance do you require?		
	30.2. Has your country developed a project proposal for assistance?		
	31. Does your country wish to request assistance in building capacity for storage of weapons?		
	31.1. What kind of assistance do you require?		
	31.2. Has your country developed a project proposal for assistance?		
	32. Does your country wish to receive training in stockpile management and security and/or destruction of weapons?		

SECTION 6: CONFISCATION, SEIZURE & COLLECTION

Sources	Question	YES	NO
Confiscation and seizure			
PoA II.23a	33. During the reporting period, has your country found, seized or confiscated any SALW under its jurisdiction?		

PoA II.23a PoA II.16	33.1 How many SALW were found, seized or confiscated? 33.2. What action was taken with respect to the SALW found, seize or confiscated (check relevant boxes)? a) Stored securely pending further action b) Marked c) Registered or recorded d) Destroyed e) Other	<input type="checkbox"/>	<input type="checkbox"/>
Collection			
	34. During the reporting period, did your country collect any SALW?	<input type="checkbox"/>	<input type="checkbox"/>
PoA II.21	34.1. What was the nature of the collection exercise? a) Buyback programme for civilian-held SALW b) Weapons amnesty for civilian-held SALW c) Disarmament, Demobilization & Reintegration (DDR) d) Weapons for Development (WfD) programme	<input type="checkbox"/>	<input type="checkbox"/>
PoA II.16	34.2 How many SALW were collected? 34.3. 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	<input type="checkbox"/>	<input type="checkbox"/>
PoA II.23a	35. How many of the SALW found, seized, confiscated or collected, as reported in Questions 33.1 and 34.2 were destroyed?	<input type="checkbox"/>	<input type="checkbox"/>
International Assistance			
PoA III.6	36. Does your country wish to request assistance in building capacity for confiscation and seizure of the illicit SALW?	<input type="checkbox"/>	<input type="checkbox"/>
	36.1. What kind of assistance do you require? 36.2. Has your country developed a project proposal for assistance?	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 7: MARKING AND RECORD KEEPING

<i>Sources</i>	<i>Question</i>	<i>YES</i>	<i>NO</i>
Marking			
PoA II.8	37. Does your country enforce measures to prevent the manufacture, stockpiling, transfer and possession of any unmarked or inadequately marked SALW?	<input type="checkbox"/>	<input type="checkbox"/>
	37.1. Details		
	38. Has your country developed a national system for marking government-owned SALW?	<input type="checkbox"/>	<input type="checkbox"/>
ITI 8d	39. 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?	<input type="checkbox"/>	<input type="checkbox"/>
OSCE SALW Doc II (B)	39.1. Describe the markings that are applied to government-held stocks. 39.1.1. Describe common marking techniques applied to SALW in your country. 39.1.2. 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) Proofing (testing) h) Other	<input type="checkbox"/>	<input type="checkbox"/>
ITI 8c	39.2. When government stocks are transferred to civilians or private companies in your territory, are such stocks marked to indicate that your country transferred the stocks?	<input type="checkbox"/>	<input type="checkbox"/>

ITI 8e	40. Does your country encourage manufacturers of SALW to develop measures against the removal or alteration of markings?		
	40.1. Details		
	41. Does your country have a policy on marking unmarked weapons?		
OSCE SALW Doc, Section II (B), 1	41.1. If yes, what is your country's policy on marking unmarked weapons?		
	A) <u>Seized unmarked weapons:</u>		
	i) Such weapons are destroyed		
	ii) Such weapons are marked by [enter name of responsible agency]		
	iii) No formal policy		
	iv) Additional information		
	B) <u>Unmarked SALW found in stocks of armed forces, policie or other state security forces:</u>		
	i) Such weapons are destroyed		
ii) Such weapons are marked by [enter name of responsible agency]			
iii) No formal policy			
iv) Additional information			
Record-keeping			
PoA II.9	42. Does your country have standards and procedures related to keeping of records for all marked SALW in its territory?	X	
	42.1. 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)? The MFA/ANCEX created in 2006 the "Register of SALW Transfers" for exports and imports, tool that includes data regarding the type, model, calibre, serial number and other relevant information facilitating the international tracing cooperation. The Register encompasses also information about ammunition transfers.		
ITI 12a, b	42.2. How long does the State/government keep such records? MFA/ANCEX keeps the Register of SALW Transfers for 30 years.		
	42.3 Does your country maintain a central register of state-owned SALW?		
ITI 13	42.4. 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? The internal procedures of the national authority for export controls requires the companies engaged in military activities (includind SALW) in the event that they go out of business to submit all records held by them to MFA/ANCEX.		
International Assistance			
PoA III.6; ITI 27	43. Does your country wish to request assistance in building capacity for record-keeping?		
	43.1. What kind of assistance do you require?		
	43.2. Has your country developed a project proposal for assistance?		

SECTION 8: INTERNATIONAL TRACING

Sources	Question	YES	NO
Laws, regulations and administrative procedures			
PoA II.10; ITI 14, 24	44. Does your country have procedures in place to trace SALW? The MFA/ANCEX does not approve any transfer of unmarked or inadequately marked SALW. In certain cases, some exports of SALW are subject to a monitoring process. In this regard, it is mandatory for the exporters to notify the MFA/ANCEX, five days before the export will take place, all elements of transfers, including <i>inter alia</i> the serial number of SALW, route and transporter. According to the primary legislation, the exporters and importers have to keep detailed records of SALW and ammunition and also, they have to send to MFA/ANCEX, on quarterly basis, reports regarding the deliveries/transfers. The MFA/ANCEX created in 2006 the "Register of SALW Transfers" for exports and imports, tool that includes data regarding the type, model, calibre, serial number and other	X	

	relevant information facilitating the international cooperation. The Register encompasses also information about ammunition transfers.		
Tracing requests			
	44.1 Has your country ever issued an international tracing request regarding SALW?		X
ITI 25; 31a	44.2. Which government agency is responsible for making a tracing request to another country? The MFA/ANCEX is the national point of contact to exchange information and act as a liaison on all matters relating to the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons (ITI) adopted at New York on 5 December 2005, in the framework of the UN Program of Action to prevent, combat and eradicate the illicit trade with small arms and light weapons, in all its aspects, adopted on 20 July 2001.		
ITI 17	44.3. What information does the designated agency include in a tracing request? (check relevant boxes)		
	a) Circumstances under which the SALW was found	X	
	b) Reasons why the SALW is considered to be illegal or illicit	X	
	c) The intended use of the information being sought	X	
	d) Any markings on the SALW	X	
	e) Type/calibre of SALW	X	
	f) Other	X	
ITI 15	44.4. When receiving information related to SALW as a result of your country's tracing request, does your country have procedures in place to ensure that all restrictions placed on its use are respected, and the confidentiality of such information are guaranteed?	X	
Responses for tracing requests			
	44.5. Which government agency is responsible for responding to a tracing request from another country? The MFA/ ANCEX is the national point of contact to exchange information and act as a liaison on all matters relating to the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons (ITI) adopted at New York on 5 December 2005, in the framework of the UN Program of Action to prevent, combat and eradicate the illicit trade with small arms and light weapons, in all its aspects, adopted on 20 July 2001.		
	44.6. During the reporting period, how many tracing requests did your country receive? During 2016 Romania did not received any tracing request based on ITI. However, MFA/ANCEX received six trace requests from NGOs involved in tracing and identifying SALW and their ammunition in conflict zones and three from UN Panel of Experts established by UN Security Council.		
ITI 22	44.7. During the reporting period, did your country delay, restrict or refuse tracing requests?		
	a) Delayed		X
	b) Restricted		X
	c) Refused		X
ITI22	44.7.1 On what grounds?		
	i) Release of the information would compromise ongoing criminal investigations		
	ii) Violate legislation providing for the protection of confidential information		
	iii) Requesting State cannot guarantee the confidentiality of the information		
	iv) Reasons of national security consistent with the Charter of the United Nations		
Cooperation with INTERPOL			
PoA II.37; ITI 33	45. During the reporting period, has your country cooperated with the International Criminal Police Organization (Interpol)?		
	45.1. If so, in which areas?		
ITI 35a	a) Facilitation of tracing operations conducted within the framework of the ITI.		
ITI 35b	b) Investigations to identify and trace illicit SALW.		
ITI 35c	c) Building national capacity to initiate and respond to tracing requests.		
PoA III.9	45.2. Does your country support/use the the Interpol's Firearms Tracing System (formerly known as IWeTS) for tracing SALW?		
International assistance			
PoA II.36; III.6; ITI 27	46. Does your country wish to request assistance in developing procedures to trace SALW?		X
	46.1. What kind of assistance do you require?		
	46.2. Has your country developed a project proposal for assistance?		

PoA III.10; ITI 28	47. Has your country considered providing assistance to examine technologies to improve the tracing and detection of illicit SALW, and measures to facilitate transfer of such technologies?		
47.1. Details			

SECTION 9: INTERNATIONAL COOPERATION & ASSISTANCE

<i>Sources</i>	<i>Question</i>	<i>REQ UES TED</i>	<i>RE CEI VE D</i>	<i>PRO VIDE D</i>
Assistance requested / received / provided				
PoA III.3, 6	48. During the reporting period, in addition to the assistance requested/received mentioned in the Sections 1-7 above, has your country requested / received / provided assistance to implement the PoA and ITI?	NO	NO	NO
PoA III.16 PoA III.6 PoA III.7 PoA III.7 PoA III.18 PoA III.15	48.1 If so, in what areas (check relevant boxes)? a. Establishing/designating National Coordination Agency/National Point of Contact b. Disarmament, demobilization and reintegration (DDR) c. Capacity-building and training on SALW issues d. Law enforcement e. Customs and borders f. Action-oriented Research g. Children/youth h. Awareness raising i. Organized crime, drug trafficking and terrorism j Other			
48.2. Details of each assistance activity provided/received:				
	a) The nature of the assistance: i) financial ii) technical			
	b) The amount of assistance provided/received (if financial):			
	c) A description of the assistance activity:			
	d) The duration of the assistance provided/received:			
	e) State(s) or organization(s) that provided/received the assistance:			

Any further comments on OSCE Document on SALW, PoA and ITI, including implementation challenges and opportunities?