

# Monitoring Adherence to the EU Code of Conduct on Arms Exports by Means of an Online Database and Web-GIS

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The German discussion on arms exports often suffers from a lack of information regarding the correspondence of recipient states to the specific criteria set out in the 1998 European Union Code of Conduct on Arms Exports. While country data on, for example, economic performance is relatively easy to find, the gathering of systematic information on political topics and human rights becomes more difficult. Above all, data on the military sector can only be found in technical journals, which are not readily accessible. In order to ease access to relevant information, BICC has developed an online database, which examines the correlation of all together 170 countries to seven criteria, which are based on those in the EU Code of Conduct. By using a 'traffic light' system, every country is classified as either 'green', 'yellow' or red for each criterion, the colour thereby indicating the respective degree of the country's correspondence. It is hoped that by making solid information more accessible to the general public, the critical debate on European – and particularly German – arms exports can be improved and facilitated.

On 8th June 1998 the European Union adopted a Code of Conduct on Arms Exports.<sup>1</sup> Whereas the provisions of the Code are not legally binding, they do reflect the political commitment of EU member states to agree upon a set of common guidelines when approving or denying the export of military equipment from EU territory. For this purpose the Code specifies all together eight criteria on which such decisions ought to be based:

The first criterion refers the international obligations of EU member states to enforce possible sanctions, particularly arms embargoes, of the United Nations (UN), the Organization for Security and Cooperation in Europe (OSCE) and the EU against the recipient of arms exports, be it a state or non-state actor. Furthermore, member states are urged to respect their commitments under formal agreements on arms export control, such as the Nuclear-Non-Proliferation Treaty, the Biological and Toxin Weapons Convention and the Chemical Weapons Convention, as well as informal arrangements, such as the Missile Technology Control Regime, the Nuclear Suppliers Group and the Wassenaar Arrangement.

The second criterion requires member states to consider whether the military equipment to be exported might be used for human rights violations, for example the internal repression of popular opposition. The 2007 *User's Guide to the EU Code of Conduct on Arms Exports* spells out a list of indicators, which should "be taken into account when assessing a country's respect for, and observance of all human rights and fundamental freedoms". These include, amongst others, the recipient's ratification and "implementation record of relevant international and regional human rights instruments through national policy and practice" as well as "the political will to discuss domestic human rights abuses in a transparent manner".<sup>2</sup>

The third criterion urges member states to restrict the export of military equipment if there is a danger that such material might provoke, prolong, aggravate or even escalate internal dynamics of violent conflict within the recipient country. The *User's Guide* encourages a rather broad understanding of 'armed conflict', since it is defined as the use of arms between any two or more groups of individuals "based either on race, colour, sex, language, religion,

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<sup>1</sup> Council of the European Union, European Union Code of Conduct on Arms Exports, document 8675/2/98 Rev 2, Brussels, 5 June 1998.

<sup>2</sup> User's Guide

political or other opinion, national or social origin, interpretation of historic events, differences in economic well-being or ownership of property, sexual orientation or other factors.”<sup>3</sup>

Whereas the third criterion refers to the possible use of exported military equipment in internal violent conflict, the fourth criterion seeks to restrict arms transfers “if there is a clear risk that the intended recipient would use the proposed export aggressively against another country”.<sup>4</sup> Importantly, however, this criterion does not intend to deny the export of arms for the purpose of self-defense on behalf of the recipient. It thus demands a careful assessment as to “whether the equipment would be likely to be used other than for the legitimate national security and defense of the recipient” country.

### Criteria of the EU Code of Conduct on Arms Exports (1998)

#### Criterion One

**Respect for the international commitments of EU member states, in particular the sanctions decreed by the UN Security Council and those decreed by the Community agreements on non-proliferation and other subjects, as well as other international obligations.**

#### Criterion Two

**The respect of human rights in the country of final destination.**

#### Criterion Three

**The internal situation in the country of final destination, as a function of the existence of tensions or armed conflicts.**

#### Criterion Four

**Preservation of regional peace, security and stability.**

#### Criterion Five

**The national security of the member states and of territories whose external relations are the responsibility of a Member State, as well as that of friendly and allied countries.**

#### Criterion Six

**The behavior of the buyer country with regard to the international community, as regards in particular to its attitude to terrorism, the nature of its alliances and respect for international law.**

#### Criterion Seven

**The existence of a risk that the equipment will be diverted within the buyer country or re-exported under undesirable conditions.**

#### Criterion Eight

**The compatibility of the arms exports with the technical and economic capacity of the recipient country, taking into account the desirability that states should achieve their legitimate needs of security and defense with the least diversion for armaments of human and economic resources.**

The fifth criterion aims at preventing an arms export from adversely affecting the national security of any EU Member State, ally or friendly country. For example, it needs to be asked whether there is a risk that the arms export under consideration will be “diverted to a force or body which is hostile to the interests or forces of a Member State, friend or ally”.

Criterion Six differs from criteria 2, 3, 4 and 5 to the extent that it does not so much focus on the specific nature of either the end-user or the equipment to be exported. Instead, it

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<sup>3</sup>

<sup>4</sup> User’s Guide

considers the more general attitude of the buyer country with regard to certain issues of international concern. As the *User's Guide* points out: "In assessing whether an arms export license should be granted or not, Member States should consider the current and past record of the recipient country with regard to its attitude to terrorism and international organized crime, the nature of its alliances, its respect for international commitments and law, concerning in particular the non-use of force, International Humanitarian Law and WMD non-proliferation, arms control and disarmament."

The seventh criterion seeks to restrict arms exports if there is a considerable risk that the equipment might be diverted to a third-party recipient, either within or without the buyer country. In order to assess such risks it is, for example, necessary to review the capability of the recipient country to exert effective export controls, as well as its active membership in regional and international control regimes.

Criterion Eight refers to the risk of the proposed arms export negatively affecting sustainable development in the recipient country. It thus particularly applies to arms purchases of governments in developing countries. The *User's Manual* specifies a number of questions, which might be posed in this regard. For example: is the military expenditure in the buyer country in line with its Poverty Reduction Strategy? Has military expenditure been increasing? How transparent is it? What is the recipient country's level of military expenditure relative to its expenditure on health and education?

## The BICC Database

An evaluation of the direct correspondence between the criteria in the EU Code of Conduct and individual countries is not possible, since most of the criteria outlined above are meant to be applied to the specific conditions and circumstances of a particular arms export rather than to the recipient state as a whole. That is: with the exception of criterion six, decisions on either approving or denying an export application would not so much focus on the country of destination *per se* but take into account the individual nature of the arms transfer in question. Depending, for example, on the kind of end-user, the type of equipment and its overall value, possible export restrictions would be considered and re-considered on a case by case basis. The BICC database cannot and does not want to substitute for this important and essentially political decision-making process, which needs to carefully examine every export application in its own light. Its aims are thus rather modest. Within and across the EU criteria, it identifies seven general dimensions, which may be applied to the country of destination as a whole and thereby serve as reference points for evaluating its relative performance vis-à-vis some important aspects contained in the Code of Conduct. Importantly, however, these seven criteria are not synonymous to those spelled out by the EU. Although we have derived them from the Code of Conduct, our classifications should not be misunderstood as a definite recommendation as to whether a particular arms export license should be granted or not – as it was pointed out, this still needs to be decided from case to case and by taking into account a host of additional factors not considered by the database.

That said, however, the BICC project does collect and comprise a variety of country-based datasets, which serve as a valuable information source for decision-makers and the general public. Above all, it gives a rough indication of how individual countries correspond to areas important to issues of arms export control policy as identified in the EU Code of Conduct. In each area, every country is classified in accordance to a 'traffic light' system – 'red', 'yellow' or 'green' – with 'red' pointing to a high probability of severe deficits with regard to the EU criteria.

Sicherheit, Rüstung und Entwicklung in Empfängerländern deutscher Rüstungsexporte

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Back to database main page previous country next country **Egypt**

Arms export evaluation profile: **Egypt**


**1. International or Regional Arms Embargoes**

 [show details](#)

**2. Adherence to Human Rights**

 [show details](#)

**3. "Good Governance"**

 [show details](#)

Value of approved arms export licenses from Germany (Genehmigte Rüstungsexporte) to Egypt in €	
1999	16 514 728
2000	9 491 651
2001	15 587 924
2002	12 583 495
2003	41 148 948
2004	22 499 343
2005	8 394 884
<b>Total</b>	<b>126 220 973</b>

German exports of military weapons to Egypt in €	
1999	

Next, the seven dimensions or criteria of the BICC database will be briefly explained and related to those of the EU Code of Conduct.

### 1. International or Regional Arms Embargoes

The first criterion checks whether the country is subject to either a UN or EU arms embargo, thereby differentiating between sanctions against entire states and sanctions against non-state actors within a particular state. This information is, of course, relevant to the first criterion of the EU Code of Conduct. Depending on the kind of embargo in place, the country is then classified as either 'red' (arms embargo against entire state) or 'yellow' (arms embargo against non-state actor). If there is no arms embargo in place, the country is classified as 'green'. It needs to be pointed out that this classification does not in itself constitute a concise recommendation as whether an export license should be granted or not. Since many arms embargoes do not apply to *all* military equipment but usually only to *specific kinds* of weaponry, the relevant UN or EU Resolutions still need to be carefully considered when deciding on an individual transfer.

#### Indicators

A-1	United Nations Arms Embargo	0 = No 1 = Yes
AA-1	UN Embargo Addressee	0 = State 1 = Non-State
A-2	European Union Arms Embargo	0 = No 1 = Yes
AB-1	EU Embargo Addressee	0 = State 1 = Non-State

#### Formula

**RED** IF [A-1 OR A-2 = 1] AND [AA-2 OR AB-2 = 0]

ELSE

**YELLOW** IF [A-1 OR A-2 = 1]

ELSE  
**GREEN**

## 2. Adherence to Human Rights

This corresponds more or less directly with the second criterion of the EU Code of Conduct as it evaluates a country's overall adherence to internationally recognized human rights standards. For this purpose, the project first considers its ratification record of international human rights conventions, for example the Covenant on Economic, Social and Cultural Rights from 1966, the Convention on the Elimination of All Forms of Discrimination against Women from 1979, the Convention on the Rights of the Child from 1989 and the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment from 1984. Second, it takes into account a selection of aggregated human rights indices as they are annually published by international organizations, non-governmental organizations and university institutes. These include the Voice and Accountability Index and the Rule of Law Index of the World Bank, the Freedom House Index on Political Rights and Civil Liberties as well as the Cingranelli-Richards (CIRI) Dataset on Physical Integrity Rights and Empowerment. Depending on both its membership in important human rights conventions as well as its overall rating in different human rights-related indices, every country is classified as either 'red', 'yellow' or 'green'. Here, 'red' indicates that there are, in all likelihood, serious human rights problems in the country, whereas 'yellow' points to at least some concern with human rights issues.

### Indicators

B-1	International Convention on the Elimination of All Forms of Racial Discrimination, 1966	1 = Yes 0 = No
B-2	International Covenant on Economic, Social and Cultural Rights, 1966	
B-3	International Covenant on Civil and Political Rights, 1966	
B-4	Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), 1979	
B-5	Optional Protocol to the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), 1999	
B-6	Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment, 1984	
B-7	Convention on the Rights of the Child, 1989	
B-8	Optional Protocol to the Convention on the Rights of the Child on the sale of children, child prostitution and child pornography, 2000	
B-9	Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict, 2000	
B-10	Freedom House 2006: Political Rights	1 – 7
B-11	Freedom House 2006: Civil Liberties	
B-12	Freedom House 2006	1 = Free 2 = Partly Free 3 = Not Free

B-13	Voice and Accountability Index (World Bank Governance Indicators)	-2,5 – 2,5
B-14	Rule of Law Index (World Bank Governance Indicators)	
B-15	Physical Integrity Rights Index (CIRI)	0 – 8
B-16	Empowerment Rights Index (CIRI)	
B-17	Political Terror Scale	1 – 5

#### Formula

**RED** IF

$[(B-1 + B-2 + B-3 + B-4 + B-5 + B-6 + B-7 + B-8 + B-9) < (3)]$  OR  $[B-12 = (3)]$  OR  $[B-13$  AND  $B-14 < (-1)]$  OR  $[B-15 < (3)$  AND  $B-16 < (6)]$  OR  $[B-17 > (3)]$

ELSE

**YELLOW** IF

$[(B-1 + B-2 + B-3 + B-4 + B-5 + B-6 + B-7 + B-8 + B-9) < (5)]$  OR  $[B-12 = (2)]$  OR  $[B-13$  OR  $B-14 < (0)]$  OR  $[B-15 < (7)$  AND  $B-16 < (8)]$  OR  $[B-17 > (2)]$

ELSE

**GREEN**

### 3. Good Governance

This third dimension is not directly related to any single EU criteria. As a cross-cutting issue, however, it is highly relevant for every criterion mentioned in the Code of Conduct, for it rates the overall degree of public participation within the political culture of the recipient state as well as the effectiveness of its governance instruments. It is thus hypothesized that principles of democratic governance will tend to have a positive impact on, for example, the human rights situation, the preservation of internal as well as regional stability, arms export control policy and the balance of military and non-military capacities. The sources consulted rely exclusively on aggregated datasets and include the Democracy and Autocracy Scores of the Polity IV Index, the Bertelsmann Political Transformation Index, the Government Effectiveness Index of the World Bank, the Corruption Perception Index of Transparency International and the Index on relative Military Interference in Political Processes, which is published in the annual report of the Fraser Institute ('Economic Freedom in the World'). Here, a classification of 'red' would indicate serious shortcomings in questions of democracy and governance. On the other hand, 'green' would suggest an overall compliance with principles of 'good governance', which will in all likelihood exert a positive impact on its relation to all of the EU criteria.

#### Indicators

C-1	Polity Score: Poliy IV Index 2003	-10 – 10
C-2	Democracy Score 2003	0 – 10
C-3	Autocracy Score 2003	0 – 10
C-4	Political Transformation: Bertelsmann Transformation Index 2006	1 – 10
C-5	Government Effectiveness 2004 (World Bank Governance Indicators)	-2,5 – 2,5

C-6	Military interference in political processes 2003 (EFW)	0 – 10
C-7	Corruption Perception Index 2004 (Transparency International)	1 – 10

#### Formula

##### RED IF

If at least 4 of the following conditions are met in the case of 7 available figures OR  
 If at least 3 of the following conditions are met in the case of 5-6 available figures OR  
 If at least 2 of the following conditions are met in the case of 4 available figures OR  
 If at least 1 of the following conditions is met in the case of 1-3 available figures:

[C-1 < (0)]

[C-4 < (5)]

[C-5 < (-1)]

[B-13 < (-1)]

[B-14 < (-1)]

[C-6 < (6)]

[C-7 < (3)]

ELSE

##### YELLOW IF

[C-1 < (0)] OR [C-4 < (5)] OR [C-5 OR B-13 OR B-14 < 0] OR [C-6 < (8)] OR [C-7 < (6)]

ELSE

##### GREEN

#### 4. Internal and External Conflict

This fourth area considered in the BICC database corresponds to the third and fourth criterion in the EU Code of Conduct. In order to rate the degree of violent conflict in the recipient state, it combines both qualitative data, such as that published by the Heidelberg Institute for International Conflict Research (HIK), the Arbeitsgruppe Kriegsursachenforschung at the University of Hamburg and the Political Stability and Absence of Violence Index of the World Bank, with quantitative data, for example the number annual victims of physical violence, which is regularly collected by the Conflict Database project at Uppsala University. Whereas a country classification of 'red' would point to the frequent and organized use of force, either within the recipient state itself or between the recipient state and a third country, 'yellow' could also indicate a state of internal or regional political instability and/or sporadic violence. It is important to note, however, that, similar to the data on human rights violation, this information merely provides data on the background situation in the country of destination. Whether there is a real risk of a proposed arms export actually contributing to an intensification of internal conflict or human rights violations still needs to be individually established with regard to the stated end-user and the kinds of weapons to be exported. In any case, it may yet be hypothesized that this risk will generally increase in proportion to the 'larger' picture of overall violence and human rights violations in the recipient state.

#### Indicators

D-1	Political Stability and Absence of Violence 2004 (World Bank Governance Indicators)	-2,5 – 2,5
D-2	Total number of internal violent conflicts in 2005 (HIK)	Figure
D-3	Highest level of internal conflict intensity	1-3

D-4	Number of internal violent conflicts 2004 (AKUF)	Figure
D-5	Number of internal wars 2004 (AKUF)	

<p><b>Formula</b></p> <p><b>RED</b> IF  [D-1 &lt; (-1)] OR [B-14 &lt; (-1,5)] OR [B-17 &gt; (4)] OR [D-3 &gt; (1)] OR [D-5 &gt; (0)]</p> <p>ELSE  <b>YELLOW</b> IF  [D-1 &lt; (0)] OR [B-14 &lt; (1)] OR [B-17 &gt; (3)] OR [D-3 &gt; (0)] OR [D-4 &gt; (0)]</p> <p>ELSE  <b>GREEN</b></p>
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### 5. Membership in Human Rights and Arms Control Conventions

This dimension is of direct relevance to criterion six in the EU Code of Conduct. It checks the degree to which a country has ratified a number of selected international conventions concerning human rights issues, arms control, terrorism and trans-national organized crime. For every one of the 170 countries examines, the website provides continually updated information on whether all together 34 international conventions have been ratified or not. It a country is classified as 'red' sufficient ratification of international treaties is clearly lacking.

#### Indicators

E-1	Convention for the Suppression of Unlawful Seizure of Aircraft, 1970	1 = Yes 0 = No
E-3	Convention on the Prevention and Punishment of Crimes against Internationally Protected Persons, including Diplomatic Agents, 1973	
E-4	International Convention Against the Taking of Hostages, 1979	
E-5	Convention on the Physical Protection of Nuclear Material, 1980	
E-6	Convention on the Marking of Plastic Explosives for the Purpose of Detection, 1991	
E-7	International Convention for the Suppression of Terrorist Bombings, 1997	
E-8	International Convention for the Suppression of the Financing of Terrorism, 1999	
E-9	United Nations Convention against Transnational Organized Crime, 2000	
E-10	(A) Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime, 2000	
	(B) Protocol against the Smuggling of Migrants by Land, Sea and Air, supplementing the United Nations Convention against Transnational Organized Crime, 2000	
	(C) 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, 2001	
E-11	Protocol for the Prohibition of the Use in War of Asphyxiating, Poisonous or Other Gases, and of Bacteriological Methods of Warfare (Geneva Protocol), 1925	

E-12	Treaty Banning Nuclear Weapon Tests in the Atmosphere, in Outer Space and Under Water (Partial Test Ban Treaty), 1963	Figure
E-13	Treaty on Principles Governing the Activities of States in the Exploration and Use of Outer Space, Including the Moon and Other Celestial Bodies (Outer Space Treaty), 1967	
E-14	Treaty on the Non-proliferation of Nuclear Weapons (Non-Proliferation Treaty), 1970	
E-15	Treaty on the Prohibition of the Emplacement of Nuclear Weapons and other Weapons of Mass Destruction on the Seabed and the Ocean Floor and in the Subsoil thereof (Seabed Treaty), 1972	
E-16	Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on their Destruction (Biological and Toxin Weapons Convention), 1975	
E-17	Convention on the Prohibition of Military or any other Hostile Use of Environmental Modification Techniques, 1978	
E-18	Convention on Prohibitions or Restrictions on the Use of Certain Conventional Weapons which may be deemed to be Excessively Injurious or to have Indiscriminate Effects, 1983	
E-19	Comprehensive Nuclear-Test-Ban Treaty, 1996	
E-20	Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on their Destruction (Chemical Weapons Convention), 1997	
E-21	Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-Personnel Mines and on their Destruction, 1997	
E-22	Convention on the Prevention and Punishment of the Crime of Genocide, 1948	
E-23	Geneva Convention Relative to the Protection of Civilian Persons in Time of War, 1949	
E-24	Protocol I Additional to the 1949 Geneva Conventions, and Relating to the Protection of Victims of International Armed Conflicts, 1977 Protocol II Additional to the 1949 Geneva Conventions, and Relating to the Protection of Victims of Non-International Armed Conflicts, 1977	
E-25	Rome Statute of the International Criminal Court, 1998	
E-26	United Nations Convention against Corruption, 2003	
E-27	B-2 + B-3 + E-9 + E-14 + E-16 + E-20 + E-21 + E-22 + E-23 + E-25	

### Formula

**RED** IF

$[(E-1 + E-2 + E-3 + E-4 + E-5 + E-6 + E-7 + E-8 + E-9 + E-10 + E-11 + E-12 + E-13 + E-14 + E-15 + E-16 + E-17 + E-18 + E-19 + E-20 + E-21 + E-22 + E-23 + E-24 + E-25 + E-26 + B-1 + B-2 + B-3 + B-4 + B-5 + B-6 + B-7 + B-8 + B-9) < 20] \text{ OR } [E-27 < (7)] \text{ OR } [(A-1 \text{ OR } A-2 = 1) \text{ AND } (AA-2 \text{ OR } AB-2 = 0)]$

*ELSE*

**YELLOW** IF

$[(E-1 + E-2 + E-3 + E-4 + E-5 + E-6 + E-7 + E-8 + E-9 + E-10 + E-11 + E-12 + E-13 + E-14 + E-15 + E-16 + E-17 + E-18 + E-19 + E-20 + E-21 + E-22 + E-23 + E-24 + E-25 + E-26 + B-1 + B-2 + B-3 + B-4 + B-5 + B-6 + B-7 + B-8 + B-9) < 26] \text{ OR } [E-27 < (10)]$

*ELSE*

**GREEN**

## 6. Arms Export Controls

Here, the database evaluates the effectiveness of arms export control regimes within the country of destination. It is therefore of particular relevance to criterion seven of the EU Code of Conduct. The information is based on that provided in the *Bite the Bullet* Report of the International Action Network on Small Arms (IANSA). It asks, for example, whether there are laws regulations and administrative procedures on the export and retransfer of arms; whether these procedures include an assessment of the risk of diversion of arms into the illegal trade; whether there are regular reviews of arms export procedures; and whether authenticated end-user certificates are required for the export of arms. Should a country be classified as 'red', this is a strong indication that adequate control mechanisms are lacking.

### Indicators

F-1	Do laws, regulations and administrative procedures on the export and retransfer of arms exist?	1 = Yes 0 = No 2 = n.a.
F-2	Has there been a review of export procedures since 2001?	
F-3	Do these procedures include an assessment of the risk of diversion of arms into the illegal trade?	
F-4	Are authenticated End-Used Certificates required for the export of arms?	
F-5	Do the laws require in cases of retransfer the notification of the original exporting state prior to the delivery?	

### Formula

#### Assessment not possible IF

(F-1 = 2) OR [(F-1 = 1) AND (F-3 AND F-4 AND F-5 = 2)]

ELSE

#### RED IF

(F-1 = 0) OR IF

(F-1 = 1) AND [(F-3 AND F-4 AND F-5 = 0) OR (F-3 AND F-4 = 0) OR (F-3 AND F-5 = 0) OR (F-4 AND F-5 = 0)]

ELSE

#### YELLOW IF

(F-1 = 1) AND [(F-3 = 0) OR (F-4 = 0) OR (F-5 = 0)]

ELSE

#### GREEN IF

(F-1 = 1) AND [(F-3 AND F-4 AND F-5 = 1) OR (F-3 AND F-4 = 1) OR (F-3 AND F-5 = 1) OR (F-4 AND F-5 = 1)]

ELSE

**Assessment not possible**

## 7. Danger of disproportionate military capacities impairing development

The final dimension is most closely related to criterion eight. It examines whether a disproportionately high share of military expenditure, armed forces personnel and arms imports may have a negative effect upon both human and economic development in the recipient country. Countries are rated 'red' or 'yellow' if they are at the same time poor (i.e. there is a low standard of human development according to UNDP criteria) and have relatively high military as compared to non-military capacities. For this purpose, the database compares military expenditure to public expenditure on health and education, the number of armed forces personnel to the number of physicians as well as arms imports to total imports. Data is obtained from various sources, including the Stockholm International Peace Research Institute (SIPRI), the International Institute for Strategic Studies (IISS) in London as well as from the World Health Organization, the International Monetary Fund and the World Bank.

### Indicators

G-1	Military expenditure 2004	USD Million Constant 2003
G-2	Number of personnel in military and paramilitary forces 2004	Total Figure
G-3	Imports of major conventional weapons, 2000 -2004	USD Million Constant
H-1	Total population estimates for 2003 and 2004	Total Figure
H-2	Gross Domestic Product (GDP) 2004	USD Million Constant 2003
H-3	Health expenditure as share of GDP 2002	Percentage
H-4	Total expenditure on health per capita 2002	USD International
H-5	Number of physicians per 10.000 inhabitants	Figure
H-6	Value of imports 2000	USD Billion
H-7	Value of imports 2001	
H-8	Value of imports 2002	
H-9	Value of imports 2003	
H-10	Value of imports 2004	
H-11	Total external debt 2003	USD Million
H-12	Gross Domestic Product (GDP) 2003	USD Million Constant 2003
H-13	Least Developed Country (LDC) ?	1 = Yes / 0 = No
H-14	OECD member country?	1 = Yes / 0 = No
H-15	Bertelsmann Index: Transformation to Market Economy 2006	1 - 5
H-16	Growth Competitive Index 2005	2 - 6
H-17	Human Development Index 2005	0,1 - 1

### Formula

#### **RED** IF

[If at least 2 of the following conditions are met in the case of 3 available figures OR  
If at least 1 of the following conditions is met in the case of 1-2 available figures:

$$\begin{aligned}
 & [((G-1/H-2)*100)/H-3] > 1] \text{ OR } [((G-1*1.000.000)/H-1)/H-4] > 1] \\
 & [((G-2/H-1)*1.000)/[H-5/10] > 50) \\
 & [([G-3]/([H-6 + H-7 + H-8 + H-9 + H-10]/1.000))*100] > 2] ]
 \end{aligned}$$

#### AND IF

(H-13 = 1) OR  
[(H-14 = 0) AND

If at least 3 of the following conditions are met in the case of 5 available figures OR  
If at least 2 of the following conditions are met in the case of 3-4 available figures OR  
If at least 1 of the following conditions is met in the case of 1-2 available figures:

- 1) [H-2 < 10.000]
- 2) [((H-12/H-11)\*100] > 50)

- 3) [H-15 < 5]
- 4) [H-16 < 3,7]
- 5) [H-17 < 0,700]

ELSE

**YELLOW** IF

$(((G-1/H-2)*100)/H-3) > 0,7$ ] OR  $(((G-1*1.000.000)/H-1)/H-4) > 0,7$ ] OR  
 $(((G-2/H-1)*1.000)/[H-5/10]) > 30$ ] OR  
 $(((G-3)/([H-6 + H-7 + H-8 + H-9 + H-10]/1.000))*100) > 1$ ] AND IF  
 $(H-13 = 1)$  OR  $(H-14 = 0)$  AND

If at least 3 of the following conditions are met in the case of 5 available figures OR  
 If at least 2 of the following conditions are met in the case of 3-4 available figures OR  
 If at least 1 of the following conditions is met in the case of 1-2 available figures:

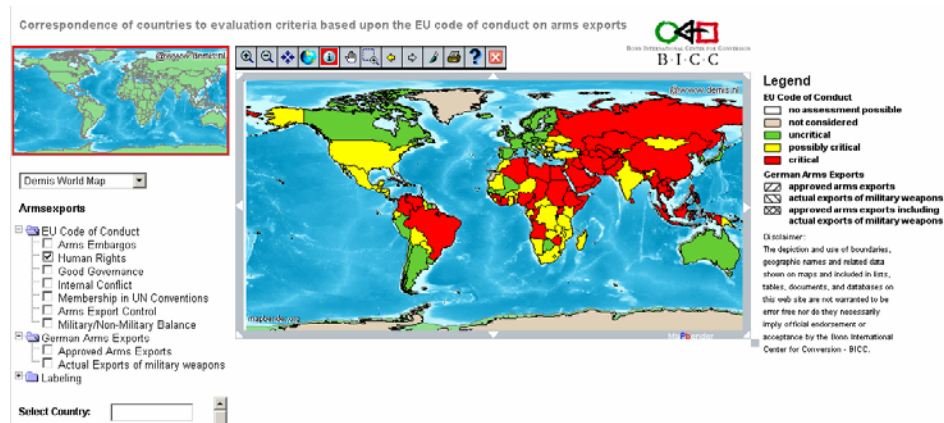
- 1) [H-2 < 10.000]
- 2)  $(((H-12/H-11)*100) > 50)$
- 3) [H-15 < 5]
- 4) [H-16 < 3,7]
- 5) [H-17 < 0,700]

ELSE

**GREEN**

All in all, the BICC databank provides valuable background information for decision-makers and the general public with regard to seven of the eight criteria of the EU Code of Conduct. The fifth criteria of the Code, the extent to which a recipient country poses a real or potential threat to EU Member States and their allies, is not considered, since this remains a highly sensitive and essentially political decision, which cannot be easily coded in a databank in any straightforward way.

## Adding WebGIS



The interactive map presents an additional option for accessing the content of the database. At a single glance, it provides the user with a global overview as to how countries correspond to the seven criteria, each of which may be selected and overlaid with information concerning approved German arms exports (see Fig. 2). By clicking on a country, further information may be accessed.

A so-called Arms Export Tree with three sub-folders is located on the left-hand side of the interactive map (next to the map frame). By opening the folder EU Code of Conduct and activating the respective layer, the user can select an evaluation criterion to be displayed on

the map. Furthermore, by opening the folder German Arms Exports and selecting the layers, each of the seven criteria can be overlaid with information concerning approved German arms exports.

Country specific information can also be accessed through the map. Having selected one of the criteria, a query for every country is possible by, first, activating the Query Button in the menu bar above the map and, second, clicking on a country of interest. It might be necessary to zoom into the map beforehand. This can be done by activating either the Zoom by Re-Tangle Button or the Zoom-In-Button.

Finally, the user may also print out the current view of the map, which is shown within the map frame (i.e. the whole world or only a specific region of interest). Clicking the Print Button in the menu bar opens a new window with a print dialog for the creation of a pdf-document.