INTERNATIONAL SMALL ARMS CONTROL STANDARD

ISACS 05.10

Conducting small arms and light weapons surveys

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www.smallarmsstandards.org

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Foreword

The United Nations (UN) Coordinating Action on Small Arms (CASA) mechanism strives to improve the UN's ability to work as one in delivering effective policy, programming and advice to Member States on curbing the illicit trade, uncontrolled proliferation and misuse of small arms and light weapons. Established by the Secretary-General in 1998 with the task of coordinating the small arms work of the United Nations, CASA today unites more than 20 UN bodies active in policy development and/or programming related to small arms and light weapons. [1]

Building on previous UN initiatives to develop international standards in the areas of mine action (International Mine Action Standards)[2] and disarmament, demobilization and reintegration of ex-combatants (Integrated Disarmament, Demobilization and Reintegration Standards),[3] the United Nations has developed a series of International Small Arms Control Standards (ISACS) with the aim of providing clear and comprehensive guidance to practitioners and policymakers on fundamental aspects of small arms and light weapons control. The present document constitutes one of more than 20 ISACS modules that provide practical guidance on instituting effective controls over the full life cycle of small arms and light weapons (all ISACS modules can be found at www.smallarmsstandards.org).

ISACS are framed by existing global agreements related to small arms and light weapons control, in particular the

- *UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons In All Its Aspects* (UN PoA);

- *International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons* (International Tracing Instrument); and

- *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* (UN Firearms Protocol).

Within this global framework, ISACS build upon standards, best practice guidelines, model regulations, etc. that have been elaborated at the regional and sub-regional levels. ISACS seek to cover the fundamental areas of small arms and light weapons control on which the United Nations may be called upon to provide advice, guidance and support.

ISACS were developed, and continue to be improved and supplemented, by a broad coalition of small arms control specialists drawn from the United Nations, governments, international and regional organizations, civil society and the private sector (a full list of contributors to ISACS is available at www.smallarmsstandards.org).

ISACS modules were drafted in accordance with the rules set out in ISO/IEC Directives, Part 2, *Rules for the structure and drafting of International Standards*, under the oversight of the CASA Working Group on ISACS, co-chaired by the United Nations Office for Disarmament Affairs (UNODA) and the United Nations Development Programme (UNDP).

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[1] For a full listing of CASA partners, see www.poa-iss.org/CASA/CASA.aspx
[2] www.mineactionstandards.org
[3] www.unddr.org

Introduction

A problem cannot be addressed effectively until it is understood sufficiently.

A small arms and light weapons survey collects and analyzes comprehensive quantitative and qualitative information on small arms and light weapons within a specific geographical area (e.g. region, country or community) with a view to determining the need for and nature of safe, effective and efficient interventions by appropriate stakeholders to address problems associated with the illicit trade, uncontrolled proliferation and/or misuse of small arms and light weapons.

A small arms and light weapons survey seeks to determine

a)   the nature and extent of the distribution and impact of small arms and light weapons;

b)   public and stakeholder perceptions regarding small arms and light weapons, armed violence and related issues; and

c)   the capacity to respond to the challenges posed by small arms and light weapons.

A small arms and light weapons survey report is the document that presents the findings and recommendations of a small arms and light weapons survey.

Small arms and light weapons surveys provide an evidence base upon which to consider which initiatives, policies and laws are needed to address any problems that may be associated with small arms and light weapons proliferation and misuse in a given context. Having such an evidence base is essential to avoiding situations in which small arms and light weapons control efforts are carried out based on assumptions that later turn out to be incorrect – wasting money, failing to deal with problems effectively and preventatively, and leaving serious security and development challenges unaddressed.

This document provides guidance on conducting small arms and light weapons surveys, drawing on existing guidance and accumulated experience. It focuses on how small arms and light weapons surveys can complement and support not only armed violence reduction efforts, but also research and planning in other fields related to small arms and light weapons control. To serve this purpose, this document places particular stress on the need for flexibility in adapting small arms and light weapons surveys to the political, economic, social, cultural, environmental and security context in which they are conducted, and on making appropriate links to other disciplines and sectors.

Conducting small arms and light weapons surveys

1 Scope

This document provides guidance on developing, implementing and reporting small arms and light weapons surveys. It covers the purpose and scope of such surveys; their components, structure, ownership and follow-up; as well as the methodology for conducting them and for presenting and disseminating their findings.

The guidance provided in this document is applicable to any actor – UN agency, government or national authority, international or regional organization, civil society, research organization or individual researcher – involved in developing, implementing or reporting small arms and light weapons surveys.

In addition to small arms and light weapons, the guidance provided in this document may be extended, as appropriate, to encompass other portable lethal weapons that are of particular concern in the area being surveyed (e.g. improvised explosive devices, hand grenades, bladed weapons, etc.).

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

UNICEF Ethical Guidelines for Child Research, United Nations Children's Fund

Children Participating in Research, Monitoring and Evaluation (M&E) – Ethics and Your Responsibilities as a Manager, UNICEF Evaluation Office, Evaluation Technical Notes, No. 1

Informed Consent Template for Research Involving Children (Qualitative Studies), World Health Organization, Research Ethics Review Committee.

WHO Ethical and safety recommendations for researching, documenting and monitoring sexual violence in emergencies, World Health Organization

WHO Ethical and safety recommendations for interviewing trafficked women, World Health Organization

Putting women first: Ethical and safety recommendations for research on domestic violence against women, World Health Organization

Researching Violence Against Women: A Practical Guide for Researchers and Activists, World Health Organization and Program for Appropriate Technology in Health (PATH)

Recordkeeping Toolkit for Peacekeeping Operations – Section 6, Managing Sensitive Information, United Nations Archives and Records Management Section.

3   Terms and definitions

For the purposes of this document, the terms and definitions given in ISACS 01.20, *Glossary of terms, definitions and abbreviations*, and the following apply.

In all ISACS modules, the words 'shall', 'should', 'may' and 'can' are used to express provisions in accordance with their usage in International Organization for Standardization (ISO) standards.

a)   **"shall" indicates a requirement:** It is used to indicate requirements strictly to be followed in order to conform to the document and from which no deviation is permitted.

b)   **"should" indicates a recommendation:** It is used to indicate that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required, or that (in the negative form, 'should not') a certain possibility or course of action is deprecated but not prohibited.

c)   **"may" indicates permission:** It is used to indicate a course of action permissible within the limits of the document.

d)   **"can" indicates possibility and capability:** It is used for statements of possibility and capability, whether material, physical or casual.

4   United Nations framework

This document provides practical guidance on the implementation of commitments related to small arms and light weapons surveys contained in United Nations multilateral instruments related to small arms and light weapons control.

4.1   UN Programme of Action

The United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, provides that

> "States, regional and subregional and international organizations, research centres, health and medical institutions, the United Nations system, international financial institutions and civil society are urged, as appropriate, to develop and support action-oriented research aimed at facilitating greater awareness and better understanding of the nature and scope of the problems associated with the illicit trade in small arms and light weapons in all its aspects" (section III, paragraph 18).

5   Purpose and scope of small arms and light weapon surveys

5.1   General

A small arms and light weapons survey collects and analyzes comprehensive quantitative and qualitative information on small arms and light weapons within a specific geographical area (e.g. region, country or community) with a view to determining the need for and nature of safe, effective and efficient interventions by appropriate stakeholders to address problems associated with the illicit trade, uncontrolled proliferation and/or misuse of small arms and light weapons.

5.2   Core components of a survey

The core components of small arms and light weapons surveys are

a)   contextual analysis (covering conflict/security, political, economic, social, environmental and cultural factors);

b)   distribution assessment (covering the type, quantity, possession, distribution and movement of small arms and light weapons within the geographical area being surveyed);

c)   impact survey (covering the impact of small arms and light weapons on communities, including differential impacts on men, boys, women, girls, marginalized and vulnerable groups, etc. and on overall social and economic development, as well as the causes of these impacts);

d)   perception survey (covering the differential attitudes of men, boys, women, girls, marginalized and vulnerable groups, etc. towards small arms and light weapons, armed violence and related issues (such as security, development and governance) and possible interventions to address them); and

e)   capacity assessment (covering community, local, national and/or regional resources, capacities and positive coping mechanisms available to respond to problems associated with small arms and light weapons, as well as identifying relevant challenges).

Additional components considered relevant to the local, regional or national context of a survey may be included alongside these core components.

5.3   Surveys as a step towards action

A small arms and light weapons survey should not be undertaken if the likelihood is low that it will result in follow-up actions; i.e. surveys should not be undertaken for the sole purpose of generating data or information.

The purpose of, and follow-up actions expected from a survey should be communicated with communities being surveyed in order to manage their expectations and avoid raising unrealistic hopes.

5.4   Strategies and programmes that surveys can support

5.4.1   General

Small arms and light weapons control cannot succeed in isolation, but only within a holistic framework that addresses relevant social, environmental, cultural, political, economic and conflict/security factors linked to small arms and light weapons-related challenges.

EXAMPLE   In order to address issues related to the demand for small arms and light weapons in communities, broader conflict prevention, post-conflict recovery and development needs may need to be addressed.

Small arms and light weapons surveys may, where they are justified, support the development not only of small arms and light weapons and/or armed violence prevention and reduction programmes; but also of

a)   national policies and action plans related to small arms and light weapons control;[4]

b)   disarmament, demobilization and reintegration (DDR) programmes;[5]

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[4] See ISACS 02.10, Small arms and light weapons control in the context of preventing armed violence, and ISACS 04.10, Designing and implementing National Action Plans.

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c)   security sector reform (SSR) programmes;[6]

d)   mine action programmes;

e)   post-conflict recovery and security provision strategies;

f)   poverty reduction strategies;

g)   country strategies of UN agencies and other relevant actors;

h)   peacebuilding, peace education and conflict resolution programmes;

i)   rule of law and justice programmes, including for children; and

j)   community-based child and adolescent protection programmes.

In other contexts, small arms and light weapons surveys may support the development of controls in countries where the supply of illicit weapons to other countries is of primary concern. Although crime and violence within such contexts should not be overlooked, analysis of national and regional frameworks for the control of manufacture, marking, storage, export licensing and other aspects of transfer control may be the primary thematic focus of the survey. In such cases, surveys should, for example, aim to inform (and be completed in time to contribute to) relevant legislative review or security strategy development processes.

For this reason, small arms and light weapons surveys should, as far as is possible, fit the timeframes and meet the information needs of broader related strategies and programmes. Relevant linkages, sources of information and information needs should be identified quickly, however, and coordination should not be allowed to become an obstacle to the completion of a survey.

5.4.2   Functional areas that surveys can support

A small arms and light weapons survey is often the first step to be undertaken before specific initiatives on small arms and light weapons control are implemented. When planning a survey, all of the issues that need to be understood and addressed, in order for progress on small arms and light weapons control to be possible, should be identified; and there should be flexibility as to what additional issues are included within the scope of the survey (see Table 1).

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[5] See ISACS 02.20, Small arms and light weapons control in the context of Disarmament, Demobilization and Reintegration.
[6] See ISACS 02.30, Small arms and light weapons control in the context of Security Sector Reform.

Table 1 – Examples of how surveys can support small arms and light weapons control, armed violence reduction, development, and security planning

SECTOR/ PLANNING PROCESS	EXAMPLES OF HOW SURVEYS CAN SUPPORT
Monitoring, evaluating and reporting	• Establish baseline indicators against which the results of subsequent work can be measured.
SMALL ARMS AND LIGHT WEAPONS CONTROL & ARMED VIOLENCE REDUCTION	
Border controls and law enforcement co-operation	Identify • patterns in cross-border trafficking in small arms and light weapons; and • capacity to control borders in co-operation with neighbouring States.
Legislative and regulatory controls	Identify • legislation and administrative procedures for controlling small arms and light weapons; • areas of legislation and administrative procedures that require further strengthening; • gaps in legislation and administrative procedures; • strengths and weaknesses in the criminal justice framework, for example on controlling small arms and light weapons manufacture, storage, transfer, brokering, trafficking, licit and illicit possession and armed crime; as well as • recommendations on how to overcome such weaknesses.
Information management	Identify • how information related to small arms and light weapons is gathered and managed; and • capacity needs for ensuring that relevant information is available to support planning, implementation, monitoring and evaluation of small arms and light weapons control and armed violence reduction efforts.
Public awareness and risk reduction	Identify • relevant knowledge, attitudes, practices, beliefs, social norms and customs related to small arms and light weapons; • group profiles of those most at risk from / affected by armed violence and misuse of small arms; • public awareness objectives, means of communication and target groups; and • key messages and practices to reduce the risk to civilians, especially the most vulnerable, posed by the availability and misuse of small arms and light weapons.
Weapons collection or registration	Identify • which groups hold small arms and/or light weapons that could fall under the scope of a weapons collection or registration programme; • whether the recovery or registration of small arms and/or light weapons is desirable and feasible in a given context; and • an appropriate weapons collection or registration strategy.
Destruction	Identify • surplus stocks requiring destruction; and • capacity for destruction, including required improvements to equipment and procedures.
Stockpile management	Identify • weaknesses in existing physical security and stockpile management practices and procedures; and • capacity to overcome any such weaknesses.
Marking and recordkeeping	• Identify gaps in legislation and capacity for marking small arms and light weapons and keeping accurate and easily retrievable records of them.

SECTOR/ PLANNING PROCESS	EXAMPLES OF HOW SURVEYS CAN SUPPORT
Tracing	Identify • capacity to conduct domestic tracing operations on illicit small arms and light weapons; and • capacity to initiate and respond to international tracing requests.
Community safety programming	Identify • key areas requiring community safety initiatives; and • age- and gender-specific socio-economic and security priorities, needs and potentials of the public, civil society and government agencies in areas affected by small arms and light weapons misuse.
Peace education & life-skills	Identify • group profiles and relevant knowledge, attitudes, practices, beliefs, social norms and coping mechanisms – including primary risk taking and risk-mitigating behaviors – of those most at risk of participation in armed violence, and those who can promote non-violent conflict resolution; • existing community and individual positive coping mechanisms and risk mitigating life-skills and behaviours that can be harnessed, strengthened and built upon to prevent violence; and • peace education / non-violent conflict resolution skills and life-skills partners, target groups, objectives, strategies, activities and means of delivery.
SECURITY SECTOR REFORM	
Democratic oversight and accountability	Identify • any use of small arms or light weapons by state actors that is either illegal or that may be cause for concern under international humanitarian or human rights law; • ways to address such misuse and any gaps in controls to prevent it; • weaknesses in regulatory mechanisms such as checks, balances and oversight mechanisms for ensuring that transfers and procurement of small arms and light weapons are regulated in accordance with legislation and applicable international agreements.
Defence reform	• Identify public perceptions of State security agencies and public views on who should provide security and how they should do it.
Intelligence and security services reform	• Identify any public concerns regarding the activities of the intelligence and security services, especially with regard to their use of force and firearms.
Border management	Identify • patterns in cross-border trafficking in small arms and light weapons; and • capacity to control borders in co-operation with neighbouring States.
Policing **Justice reform**	Identify • strengths and weaknesses in the criminal justice framework for tackling armed crime; and • recommended courses of action to overcome any weaknesses.
Justice for children	Identify • strengths and weaknesses in justice for children frameworks (for child perpetrators, victims and witnesses) for tackling armed crime; • the capacity of justice mechanisms and institutions to support the diversion and rehabilitation of child perpetrators of armed crime; and • recommended courses of action to overcome any weaknesses.
Prison reform	Examine • detention conditions for those on remand or convicted for small arms and light weapons-related offences; and • the capacity of prisons to hold, and support the rehabilitation of, offenders.

SECTOR/ PLANNING PROCESS	EXAMPLES OF HOW SURVEYS CAN SUPPORT
Private security and military companies	• Examine legislation regulating the availability of small arms and light weapons to private security and military companies.
Civil society	Identify the capacity and engagement of civil society and communities in key areas of • security sector reform (including justice for children) and small arms and light weapons control, including in the areas of policy advocacy, research, monitoring, community security, community-based child protection and awareness-raising; and • community self-protection, including community based monitoring of protection risks, community-based child and adolescent protection, community-based non-violence conflict resolution, etc.
DISARMAMENT, DEMOBILISATION AND REINTEGRATION	
Disarmament	Identify, where possible, • groups holding small arms and/or light weapons and their age/gender profiles • the types and numbers of weapons held, • factors leading such groups to hold weapons, and • alternatives, in terms of security and/or livelihoods, that could be offered to holders of weapons, as basis for planning, negotiating, implementing and evaluating disarmament.
Demobilization	• Identify the potential for insecurity (including age- and gender-specific risks) at demobilization sites, both among armed groups to be demobilized and between such groups and the surrounding civilian population.
Reinsertion **Reintegration**	Identify • the age- and gender-specific security concerns and livelihood needs of ex-combatants, their families and receiving communities; • the potential for continued small arms and light weapons proliferation and armed violence that could disrupt reintegration, including age and gender differentials; and • strategies to overcome this.
Prevention of child and adolescent recruitment into armed groups	Identify • the security, justice, livelihood, and other relevant age- and gender-specific profiles, concerns and needs of those most at risk of recruitment, their families and communities; • the potential for continued small arms and light weapons proliferation and armed violence that could promote and facilitate recruitment, including age and gender differentials; and • strategies to overcome this.
OTHER	
Health	Identify • relevant systems and capacities for the continuous gathering and analysis of data (surveillance) on incidents, impacts and responses to armed violence, and gaps in them; • profiles of groups most affected by small arms violence, in order to inform and strengthen age- and gender-appropriate health interventions for victims; • opportunities for public health initiatives to contribute to reduced violence and safer storage and handling of small arms; and • the impact of small arms and light weapons control programmes on the delivery of public health services (e.g. as a result of freed-up capacity resulting from a decline in firearms injuries).
Mine action survey/planning processes	Identify • the types and numbers of mines, unexploded ordnance and other explosive remnants of war in particular locations; and

SECTOR/ PLANNING PROCESS	EXAMPLES OF HOW SURVEYS CAN SUPPORT
	• awareness and/or behavioural change objectives, means of communication, messages, target groups and relevant knowledge, attitudes and practices of the public.
Post-conflict needs assessments	Identify • the relative priority of small arms and light weapons and armed violence reduction alongside other key post-conflict recovery issues; and • ways to integrate and co-ordinate small arms and light weapons control within the broader strategy for post-conflict recovery.
UN Common Country Assessment (CCA)	Identify • the relative priority of small arms and light weapons and armed violence reduction alongside other key socio economic development needs; and • any linkages between small arms and light weapons control and development that should be addressed in national strategies and international assistance frameworks.
UN Development Assistance Framework (UNDAF)	
UN Poverty Reduction Strategy Paper (PRSP)	

5.4.3   Focusing on key contextual issues

Survey planners should focus on the most relevant issues in the context in which the survey is to be undertaken, and should use a methodology that allows for information on those issues to be uncovered. Survey planners should identify what is appropriate to emphasize in a given context.

EXAMPLE   in some instances, export controls and/or stockpile management may require detailed scrutiny but, in others, the possession, demand for and/or misuse of small arms or light weapons may demand more emphasis and analysis.

Outside actors not familiar with the context in which a survey is to be undertaken may not be capable of identifying key contextual issues. In such cases,

a)   a desk review (see Clause 9.4) should be undertaken to determine what information already exists that can help to identify key contextual issues, bearing in mind that such information may be skewed by particular vested interests and may not be neutral; and

b)   consultation should be held with relevant regional, national and/or community stakeholders (e.g. community leaders, relevant government ministries, etc.).

5.5   Surveys as a baseline for monitoring and evaluation

5.5.1   General

Small arms and light weapons surveys are opportunities to build support and capacity for continuous data gathering and analysis (see Clause 10.6 of this document and also ISACS 04.40, *Monitoring, evaluation and reporting*).

It may be appropriate to update surveys periodically in order to monitor whether legislation, policies, programmes and activities are having the intended impacts, as measured against the baselines or indicators established in a previous survey.

For this reason, surveys should be designed in such a way that their results will provide a baseline against which the monitoring and evaluation of follow-up actions can be conducted. Questions used in surveys should, when possible, be designed so as to be reusable in subsequent surveys.

5.5.2   Injury surveillance

Where they exist, national injury surveillance systems should be used to complement and inform surveys. A survey can also be used to stimulate the creation of such a surveillance system.

A national injury surveillance system that systematically and continuously processes data on incidents of armed violence should be established and integrated into a broader national injury surveillance system.

Such a system can provide ongoing evidence of the magnitude and nature of the physical impact of small arms and light weapons misuse, including changes over time that a one-off survey could not detect. Specifically, injury surveillance can provide comprehensive, ongoing, up-to-date, and disaggregated data on

a)   the physical location of incidents of armed violence (i.e. geographical areas that should be prioritized for small arms and light weapons control activities);

b)   the timing of incidents of armed violence (i.e. temporal dynamics – daily, weekly, monthly and seasonally – that can inform the design of risk reduction campaigns);

c)   the number of deaths, as well as the number and types of injuries, resulting from armed violence (which can inform victim and survivor assistance activities and facilitate monitoring of the impact of small arms and light weapons control activities);

d)   the profile of victims or armed violence (i.e. the most vulnerable individuals and groups, disaggregated by age and gender, that should be targeted by awareness raising and risk reduction activities);

e)   the profile of perpetrators of armed violence;

        NOTE 1   Information on the profile of perpetrators of armed violence shall not be collected if doing so would pose an unacceptable risk to those collecting or providing the information or to those matching the profile.

        NOTE 2   The profiles of perpetrators and victims of armed violence can be similar or even the same.

f)   the circumstances surrounding incidents of armed violence (i.e. the proximate causes and risk-taking behaviours that should be targeted by risk education messaging); and

g)   the types of small arms and light weapons being used to carry out armed violence (which can inform risk education messaging and the design of appropriate small arms and light weapons control interventions, e.g. collection programmes).

5.6   Coordinating research efforts

Assessment fatigue and frustration can be generated in communities that are asked to participate in multiple, uncoordinated surveys within a relatively short period of time. This should be avoided.

When planning a small arms and light weapons survey, care should be taken to avoid duplicating research already being carried out, or recently carried out by others working on related development or security initiatives. Where time and funding permits, this should be done by

a)   identifying related planning processes, assessments and surveillance systems, including injury surveillance systems; and

b)   developing research methodologies that complement, rather than duplicate, these.

Planners of small arms and light weapons surveys should encourage the inclusion of questions related to small arms and light weapons in surveys carried out by other groups.

Likewise, linking small arms and light weapons surveys to ongoing assessments or planning processes in related areas can save resources and allow connections to be made to issue-areas with which co-ordination is needed.

EXAMPLE   Youth risk behaviour surveys conducted by public health officials could include questions that probe gun-related issues and risk-taking behaviour with firearms.

5.7   Geographic scope

It is not always possible for a survey to cover the full territory of a country or region. Centralized states may also produce data that does not reflect the situation with regard to small arms and light weapons in remote, peripheral or border areas. When such areas are included in a survey, alternative means should be found of generating qualitative and/or quantitative data on them.

A national small arms and light weapons survey may also need to take account of factors that transcend national borders in order to be able to produce a comprehensive analysis of the national situation.

EXAMPLE 1   An ethnic group linked to an armed movement lives on the other side of a border but freely migrates across it between two countries.

EXAMPLE 2   Trafficking in small arms and light weapons is occurring due to socio-economic conditions in an area across the border from the country being analyzed.

Survey planners should identify in advance any relevant trans-border movements or issues and should include all pertinent geographic areas in the survey.

Small arms and light weapons surveys may make use of purposive sampling to generate data on specific, unrepresentative sub-sets of the population being surveyed (e.g. borderland communities, adolescent male gang members, etc.). The findings of surveys conducted using purposive sampling shall not be presented as being representative of the population as a whole (see Clause 9.7.2).

5.8   Working towards practical outcomes with the time and resources available

Small arms and light weapons surveys should provide clear information and recommendations in time for them to be acted upon by relevant stakeholders. They should be as comprehensive as possible, but should be completed in a timely manner, within the resources available, without sacrificing clarity to excessive detail.

The speed with which survey data can be collected, compiled, analyzed and reported is inversely related to the volume of data gathered. Gathering too much data is a common mistake of surveys. Surveys should focus on only gathering information that can be acted upon and that is necessary to inform response programmes and activities (see Clause 5.3).

Surveys that are not completed and published quickly enough, or that do not clearly indicate relevant follow-up strategies and actions, are of little use.

5.9   Indicative timeframe

When planning the timing and duration of the research phase, survey planners and coordinators should take into account

a)   the accessibility of areas surveyed;

   NOTE   Accessibility may be affected by factors such as seasonal weather patterns, road infrastructure; availability of transport/vehicles; risks of violence; presence of mines, unexploded ordnance and other explosive remnants of war; etc.)

b)   the timing of events known to affect the security environment and to alter public perceptions of relevant issues (e.g. elections or seasonal migration); and

c)   political considerations regarding access to information and reaching agreement on a final text, both of which may delay research, writing and final publication of survey results.

Table 2 sets out an indicative timeframe for conducting a small arms and light weapons survey, which may be used as a general guide.

Table 2 – Indicative Timeframe

SURVEY PHASE	INDICATIVE TIMEFRAME
Mobilizing resources	3-12 months
Developing Terms of Reference for the SALW survey coordinator	1 month
Advertising tenders, calls for proposal, and vacancy announcements; selecting and signing contracts with the survey co-coordinator	2-3 months
Developing the methodology and sub-partnerships for the survey	1-2 months
Researching and writing a the survey	3-8 months
Validation with stakeholders and finalization	1-2 months
Publication of a the survey, including translation, copy-editing, graphic design, and printing	2-3 months

6   Ownership and follow-up

6.1   National ownership

The primary responsibility for exercising effective control over small arms and light weapons rests with the government. A small arms and light weapons survey should be linked to and endorsed by the National Coordinating Mechanism and the National Authority on small arms and light weapons control (see ISACS 03.40, *National coordinating mechanisms on small arms and light weapons control*).

NOTE   Having a survey endorsed by relevant government agencies can facilitate access to official government data, which can greatly increase the quality of the survey.

6.2   Political commitment

Before embarking on a survey, every effort should be made to maximize the political commitment at the national level to the scope of the survey and to how its findings will be used. All stakeholders involved in the survey, especially the government stakeholders, should be clear about the proposed process and its follow-up.

The findings of small arms and light weapons surveys can be sensitive and have the potential to be politicized. The participation of a range of national and other relevant stakeholders in the analysis and interpretation of survey data and in the drafting of the survey report, can increase the chances that stakeholders will buy-into and exert ownership over survey findings and recommendations.

NOTE   If political commitment to completing a survey objectively or to pursuing follow-up actions is limited, finalizing and publishing them can be a very lengthy process.

6.3   Access to relevant data

Information gathered by small arms and light weapons surveys is often considered sensitive; e.g. information related to national stockpiles, export control procedures, etc.). In advance of a survey

being launched, agreement should be reached with bodies holding relevant data, on the information requirements of the survey and on the range of data that will be made available to the survey.

Data collected during surveys (especially information regarding the impacts of weapons) can be of great value to a variety of actors – from those undertaking research and analysis to those developing prevention and response programmes. Data, including raw data, generated by surveys should be made available to relevant stakeholders whose work could benefit from it, while ensuring the protection of confidential information.

6.4   Protection of confidential information

Small arms and light weapons surveys should be as transparent as possible. However, confidential information shall be afforded appropriate protection. When required by one or more stakeholders, confidentiality shall be maintained in accordance with the United Nations "Recordkeeping Toolkit for Peacekeeping Operations" – Section 6, *Managing Sensitive Information.*

Contracts and terms of reference for partner organizations and individuals involved in carrying out a survey shall include a requirement to protect confidential information. When presenting findings and recommendations, more than one version of a survey report may be produced in order to ensure that confidential information is shared only with appropriate recipients.

6.5   Independence and impartiality of the research team

Effective small arms and light weapons control often requires a political commitment to examine sensitive subjects openly and objectively. The research teams that conduct surveys should be impartial and independent. In order to offer balanced and constructive criticism and identify appropriate recommendations, the research team should have the freedom to examine, as part of the full range of issues under its consideration, issues related to poor governance, corruption, failure to uphold human rights, etc., that may contribute to the uncontrolled proliferation and misuse of small arms and light weapons.

6.6   Options for ensuring follow-up at the national level

Small arms and light weapons surveys should be situated from the earliest point possible within broader interventions that provide clear frameworks for follow up, in order to maximize the likelihood that follow-up will take place at the national level. To achieve this, survey planners may

a)   consult relevant stakeholders, from the outset, on appropriate methodology and research questions;

NOTE Such stakeholders may include, for example, relevant government departments (e.g. defence, foreign affairs, interior, police, armed forces, border and customs, immigration, etc.), representatives of the national coordinating mechanism on small arms and light weapons control, community leaders, civil society organizations, local government, the legislative branch of government and the local population, including firearms owners.

b)   build validation workshops with relevant stakeholders into the process of survey finalization;

c)   actively disseminate findings, which have been approved for public circulation, among policy makers, government officials, other stakeholders and the public;

d)   organize trainings in areas where a survey has identified low capacity; and

e)   undertake surveys to support the development of national policies or a National Action Plan on small arms and light weapons control.

7 Security, sensitivity and ethics

7.1 Security considerations

There are risks inherent in conducting small arms and light weapons surveys. Survey staff (researchers) and survey subjects (interviewees) can be exposed to danger while conducting, or as a consequence of participating in, surveys. Respondents can also feel afraid when asked questions on sensitive subjects and can provide inaccurate information as a result.

Survey planners shall take action to reduce such risks to an acceptable level. Where this is not possible, a survey shall not be conducted.

Those responsible for conducting small arms and light weapons surveys shall

a) ensure that survey staff are issued with identity cards and written documentation from relevant authorities so that they do not face undue problems in the field;

b) notify authorities and obtain permissions for survey staff to enter restricted locations (e.g. stockpile facilities, police and army facilities, etc.);

c) ensure that survey staff are adequately covered by insurance, in light of the risks they face;

d) ensure that adequate security procedures are in place to manage and respond to the risks of conducting research in the field;

e) prevent harm to, or negative repercussions for, survey staff and subjects both during the survey itself and following its completion (e.g. during publication and dissemination);

f) be impartial or, where full impartiality is not possible, be explicit about any partiality or conflict of interest that may exist;

g) conduct surveys in compliance with relevant local laws and regulations;

h) take account of the survey's potential negative and positive effects on conflict dynamics, with a view to ameliorating the former and enhancing the latter.

7.2 Sensitivity

Where women or children are included in focus groups (see Clause 9.9) or individual person-to-person interviews, care shall be taken to ensure that the identity and sex of the interviewer(s) are compatible with local customs and norms and are conducive to putting the interviewee(s) at ease and eliciting from them open and honest responses.

Those responsible for conducting small arms and light weapons surveys shall

a) fully inform survey staff and subjects about the purpose, methods and intended possible uses of the research, as well as what their participation in the research entails and what risks, if any, are involved;

b) ensure that research data and its sources remain confidential unless participants have consented to their disclosure;

c) establish and follow protocols to safeguard sensitive information in accordance with the United Nations Archives and Records Management Section's "Recordkeeping Toolkit for Peacekeeping Operations" – Section 6, *Managing Sensitive Information;*

d) inform subjects of their right to refuse to participate in the survey and to withdraw from it whenever they wish and without having to provide reasons;

e)   consider the sensitivity of the subject-matter when developing questionnaires and interview questions and when training research staff in their use, avoid terms that may appear controversial, and structure questionnaires and interview guides so that more sensitive subjects are covered at the end; and

f)   develop a standard introduction for questionnaires and interviews that addresses points (a)-(e) above.

7.3   Ethical considerations

Where women or children are included in research conducted for a survey, the following guidelines, as appropriate, shall be followed:

a)   *UNICEF Ethical Guidelines for Child Research*, United Nations Children's Fund

b)   *Children Participating in Research, Monitoring and Evaluation (M&E) – Ethics and Your Responsibilities as a Manager*. UNICEF Evaluation Office, Evaluation Technical Notes, No. 1;

c)   *Informed Consent Template for Research Involving Children (Qualitative Studies),* World Health Organization, Research Ethics Review Committee;

d)   *WHO Ethical and safety recommendations for researching, documenting and monitoring sexual violence in emergencies;*

e)   *WHO Ethical and safety recommendations for interviewing trafficked women;*

f)   *Putting women first: Ethical and safety recommendations for research on domestic violence against women*, World Health Organization; and

g)   *Researching Violence Against Women: A Practical Guide for Researchers and Activists,* World Health Organization and Program for Appropriate Technology in Health (PATH).

8   Partnerships

8.1   Technical expertise required

Small arms and light weapons surveys shall be designed and coordinated by a suitably qualified research coordinator with technical expertise on survey methodology and information management; i.e. an individual or organization that understands

a)   the range of themes and questions to be considered;

b)   the range of methodologies that may be employed to gather the required information; and

c)   the most effective means of presenting survey findings to specific target audiences.

8.2   External expertise

A small arms and light weapons survey should enjoy national ownership (see Clause 6.1) and shall be objective, impartial and independent (see Clause 6.5).

A survey may be conducted by a relevant government body such as the National Authority on small arms and light weapons control (see ISACS 03.40, *National coordinating mechanisms on small arms and light weapons control*).

A survey may also be outsourced to a qualified entity external to the government. Such an entity may have its base either inside or outside the country or region to be surveyed. The conduct of a survey should be outsourced if

a)   the specialized skills and experience required to carry out the survey are not readily accessible within the government;

b)   the government does not have available the spare capacity required to complete the survey in a timely manner; or

c)   the conduct of the survey by the government would

   1)   discourage a significant portion of survey respondents from providing accurate information (or any information at all), or

   2)   undermine the survey's perceived objectivity or impartiality.

If outsourced, the external coordinator or the survey should have experience of the relevant regional/national/local context in which the survey will take place and shall at all times coordinate and collaborate with local experts and organizations.

A multi-disciplinary steering committee comprising key stakeholders, members of the National Authority on small arms and relevant experts may be established to provide guidance and oversight to the external survey coordinator and to assure the quality of the survey.

8.3   Sub-contracting

Survey work may be sub-contracted to partners in order to meet the practical need for

a)   information gathering and analysis in local languages that are sensitive to the local context;

b)   pre-existing capacity to develop research/questionnaire questions, and to follow a sampling frame for gathering quantitative information;

c)   pre-existing capacity to employ qualitative social research techniques in accordance with the chosen methodology;

d)   staff from a range of social groups (according to gender, ethnicity, religion, etc.) who are able to access areas and engage with social groups covered by the survey;

e)   knowledge of and access to relevant key informants for the purpose of conducting interviews; and

f)   access to and capacity to search and analyze archived media materials.

Commitment to socio-economic development, including armed violence reduction, should be considered when selecting survey partners, as organizations with a commitment to these goals are more likely to invest effort in ensuring high quality research.

In practice, it is unlikely that a single organization will be able to meet all of the above capacity requirements and, therefore, linkages may be developed with multiple research partners. It is usual for three or more research partners to be involved in producing a single small arms and light weapons survey.

Transparent and competitive selection processes shall be used to determine which individuals and/or organizations are sub-contracted to conduct part or all of a survey.

8.4 Capacity-building

In post-conflict settings or resource-poor environments, appropriately qualified local research partners may not exist. In such situations, sufficient time should be built into the survey plan to translate research tools and train local partners in their use.

Where possible, strengthening the research capacity of local partners should be considered a central goal of the survey process.

The capacity to control small arms and light weapons should be assessed not simply by compiling information on existing laws, past control initiatives, and resources available, but also by fully analyzing this information; e.g. by identifying the reasons behind past success or failure and the factors affecting levels of political will that may enable or hinder progress in controlling small arms and light weapons in the local, national or regional context.

9 Survey methodology

9.1 General

Small arms and light weapons surveys should use a variety of research methodologies and should combine and compare information from a variety of sources in order to build up reliable information in areas where information is otherwise scarce, unreliable or hard to access; e.g. for reasons of national security, limited research or institutional capacity, etc.

Consultations should be held with survey stakeholders in order to present, invite comments on and validate the methodology to be used.

Examples of research methodologies that may be combined in a small arms and light weapons survey are outlined below.

9.2 Focusing on key social groups

9.2.1 General

The survey should examine the different experiences, behaviours, needs and potentials of different social groups, (e.g. children, adolescents, youth and adults of both sexes, as well as different ethnic, religious, geographical, political, caste and/or class/income groups).

Data gathering should be designed to enable this; e.g. by building disaggregation into quantitative information gathering tools and by conducting qualitative research with different social groups separately in order to gain insight into the specific perceptions of each group.

Likewise, analysis should be conducted in such a way as to ensure adequate attention to social groups that can play a key role in the development of small arms and light weapons control policies and strategies, and/or that have the potential to contribute to improved small arms and light weapons control and violence reduction.

9.2.2 Sex and age disaggregation

Data should be disaggregated by sex (male/female) but should go beyond simple age disaggregation (e.g. under or over 18) in order to enable a more sophisticated analysis of impacts on men, women, boys and girls of different ages. Age disaggregation should, at a minimum, encompass the following categories:

a)   young child (0-9 years);

b)   adolescent minor (10-17 years);

c)   young adult (18-24 years); and

d)   adult (25 years and older).

The term "young person" may be used to refer collectively to adolescent minors and young adults (i.e. people aged 10-24 years).

9.3   Quantitative and Qualitative methods

Surveys should collect both quantitative and qualitative information. Alongside quantitative or statistical information, qualitative methods should be used to explore key research questions and ambiguities in depth.

EXAMPLE 1   Puzzling or unexpected findings from questionnaires may be explored by conducting interviews or focus group discussions.

The ability to probe into unexpected areas using a series of questions that follow the lead of the quantitative data can be important for analyzing complicated issues. Likewise, conducting qualitative research (e.g. desk reviews) before a questionnaire is designed can help to identify the best way to frame questions and response options in a questionnaire (see Clause 9.4).

Although qualitative information enables a depth of understanding of complex phenomena, as well as insight into personal narratives and perspectives, it does not lend itself to generalizable conclusions because it derives from smaller numbers of informants. Thus, a combination of qualitative and quantitative information-gathering techniques should be used in order to create an assessment that has both analytical depth and broad application.

Qualitative methods include in-depth interviews with key informants, focus group discussions with different interest groups and other participatory research tools.

Those conducting interviews and facilitating discussions should be familiar with the local environment and able to establish trust with the interviewees or participants.

EXAMPLE 2   Focus groups comprising only female participants may respond more readily to a female researcher. Similarly, researchers familiar with the context are better equipped to identify the nuances in the information they receive, such as idiomatic meanings, or instances where a superficial or disingenuous response is given.

9.4   Desk review of existing information

Surveys should benefit from, and not duplicate, relevant research that has already been carried out, especially since primary research is costly and time-consuming to conduct.

In considering the relevance of existing research, the survey planner should take into account its subject matter, scope, methodology and date of publication; as well as the impartiality, qualifications and expertise of the individuals or entities that produced it.

Bearing in mind the survey's scope, relevant existing research papers, reports, statistics, etc. shall be compiled and analyzed through a thorough desk review.

Desk reviews should take place before the overall survey methodology is finalized and before other research activities begin.

The desk review should cover the entire context of the survey, including all available information related to small arms and light weapons, armed conflict, violence and crime. This should include as much as possible the data listed in Clause 9.6 as well as other quantitative and qualitative information and analysis.

The desk review should also cover the overarching security, political, economic, social, environmental and cultural context in which the survey will take place.

9.5 Research questions

Examples of research themes and related questions that may be included in survey designs are presented in Annex C.

Only themes and questions that serve the objectives of the survey should be selected. These should be modified where necessary – taking into account the local language(s), local (security) conditions and the cultural context – and should, in the case of questionnaires, be carefully tested before they are used (see Clause 9.7.7).

9.6 Data to be collected

9.6.1 General

Within their overall scope, surveys should gather and analyze all available quantitative and qualitative data related to small arms and light weapons, armed violence and related issues. The desk review (see Clause 9.4) should identify as much of this as possible from open sources in order to reduce the time, cost and workload required to complete the survey.

Information should, where appropriate, be formally requested from local, national or regional authorities by the survey team. Contact should also be made with institutions and researchers who may have independently gathered data that could be of relevance to the survey. This will be particularly necessary where official local or national data does not exist or is incomplete, out of date or otherwise unreliable,

The quality of data supplied to a survey by relevant institutions and researchers can vary. For this reason, it should be cross-referenced with data generated by other means in order to build up as accurate a picture as possible.

Data should be

a)   disaggregated by year,

b)   cover as many years as possible and

c)   include the most recent data available.

A small arms and light weapons survey should gather quantitative and qualitative data on the following issues.

9.6.2 Small arms and light weapons data

9.6.2.1 State agencies

Information should be collected on the

a)   number and names of State agencies that use small arms or light weapons (e.g. military; police; customs; border guards; wildlife, park and forestry officials; militias; civil security or home guards units; etc.);

b)   the quantity and types of small arms and light weapons, and their ammunition (in active use and in reserve) in the possession of each such State agency; and

c)   the number of personnel (both overall and with access to small arms or light weapons) serving in each such State agency.

9.6.2.2 Civilians

Information should be collected on the

a) legislative and regulatory framework governing the access of civilians to small arms and light weapons, including the different types and categories of licences that regulate the possession of small arms and light weapons by

   1) private individuals,

   2) private shooting clubs and ranges,

   3) private security companies, and

   4) other private companies (e.g. banks, corporations, etc.);

b) number of licences that are in force (i.e. valid), disaggregated by licence type;

c) number of applications for new licences each year, disaggregated by licence type;

d) number of licences expiring each year, disaggregated by licence type;

e) quantity and types of small arms and light weapons

   1) legally held by civilians; and

   2) illicitly held by civilians (estimate);

f) number of private security companies in operation; and

g) number of personnel of private security companies who are authorized to carry small arms or light weapons during the course of their work.

9.6.2.3 Manufacture

For both large-scale (industrial) manufacture and small-scale (craft) manufacture of small arms, light weapons, their parts, components and ammunition, information should be collected on the

a) legislative and regulatory framework governing domestic manufacture, including the types and categories of licences and authorizations required for manufacture;

b) number of authorized manufacturers and their respective production capacity;

c) number of unauthorized manufacturers and their respective production capacity (estimate);

d) quantities and types of weapons and ammunition manufactured

   1) legally, and

   2) illicitly (estimate).

9.6.2.4 Domestic trade

Information should be collected on the wholesale and retail domestic trade in small arms, light weapons, their parts, components or ammunition, including the

a) legislative and regulatory framework governing domestic trade, including the types and categories of licences and authorizations required to engage in domestic trade;

b) number of authorized traders (wholesale and retail);

c) volume of domestic trade; and

d)   types of weapons traded.

9.6.2.5   International transfers

Regarding the international transfer of small arms, light weapons, their parts, components or ammunition, information should be collected on the

a)   legislative and regulatory framework governing transfers, including the different types and categories of licences and authorizations required for the import, export, transit, transshipment and brokering of small arms, light weapons, their parts components and ammunition;

b)   number of registered small arms and light weapons brokers;

c)   quantities and types of small arms and light weapons imported, exported, transited and transshipped, including information on the source of imports and on the destination of exports, transits and transshipments; and

d)   number of import and export authorizations granted.

9.6.2.6   Diversion

Information should be collected on the quantities and types of small arms, light weapons and ammunition lost by or stolen from

a)   State agencies;

b)   private security companies;

c)   private businesses (e.g. manufacturers, private security companies, etc.); and

d)   private individuals.

9.6.2.7   Collection and disposal

Information should be collected on the numbers and types of small arms, light weapons and ammunition

a)   relinquished by civilians (e.g. during organized collection programmes or handed in at other times);

b)   seized or confiscated, including information on where, from whom and, in the case of weapons in transit, from which origin to which end user;

c)   designated as surplus to national requirements in the context of State stockpile management; and

d)   the means of disposal of weapons covered by (a)-(c) above.

9.6.3   Health data

9.6.3.1   Health data to be collected

A small arms and light weapons survey should seek to collect the following quantitative and qualitative data related to the health impacts of small arms and light weapons:

a)   overall levels of

1)   injuries,

  2)   accidental death,

  3)   suicide and

  4)   homicide;

b)   number of small arms and light weapons-related

  1)   injuries,

  2)   accidental deaths,

  3)   suicides and

  4)   homicides;

  disaggregated by those

  5)   inflicted intentionally as opposed to unintentionally;

  6)   inflicted lawfully as opposed to unlawfully;

  7)   inflicted by State actors (e.g. police, military, etc.) as opposed to private actors (e.g. private security companies, private individuals, etc.);

  8)   related to criminal activity (specifying whether organized crime or petty crime);

  9)   related to intimate partner- or family-related violence; and

  10)   related to substance abuse (e.g. drugs, alcohol, etc.)

c)   estimated total cost of treating injuries inflicted using small arms or light weapons;

d)   for both victims and perpetrators of small arms and light weapons-related violence, their

  1)   sex,

  2)   age group (see Clause 9.2.2),

  3)   income-level,

  4)   ethnic group, and

  5)   other defining characteristics (e.g. refugee status);

e)   the types of small arms and light weapons that are being used to inflict most deaths and injuries;

f)   the types of incidents that lead to small arms and light weapons-related deaths and injuries (e.g. disputes, theft, suicide, intimate partner- or family-related violence, accidental discharge, legal intervention, civil disturbance, etc.);

g)   the geographical areas where most small arms and light weapons-related deaths and injuries take place;

h)   the types of locations in which most small arms and light weapons-related deaths and injuries take place (e.g. in the home, at sports events, in city centres, in rural areas, at celebrations etc);

i)   the times of day, week, month, and year during which small arms and light weapons-related deaths and injuries are most likely to occur; and

j)   variations in the types of injuries that occur in different areas (in terms of severity and the types of weapons involved).

9.6.3.2   Sources of heath data

Heath data may be collected from a variety of sources, including

a)   injury surveillance systems (where they exist);

b)   Ministries of Health;

c)   hospitals and other health facilities;

d)   community health workers;

e)   coroners; and

f)   mortuaries.

9.6.3.3   Limitations of health data

Health data can be an important source of information on deaths and injuries inflicted using small arms and light weapons.

It should be borne in mind, however, that health data on their own may not paint an accurate picture of a given situation, particularly if a significant proportion of deaths and injuries go unreported, if an area is poorly covered by health services, or if a significant proportion of the population is unable to access, or chooses not to use, health services. For these reasons, health data should be supplemented with data drawn from other sources.

9.6.4   Crime data

9.6.4.1   Crime data to be collected

A small arms and light weapons survey should collect crime data on those points set out in Clause 9.6.3.1 that are relevant to law enforcement.

9.6.4.2   Sources of crime data

Crime data can be collected from police and judicial records.

9.6.4.3   Limitations of crime data

Crime data can provide important contextual information about the causes of crime, the relationship between victims and perpetrators and the types of weapons used.

It should be borne in mind, however, that crime data on its own may not paint an accurate picture of a given situation, particularly if a significant proportion of crime goes unreported, if an area is poorly covered by law enforcement agencies, if there are weaknesses in their processes for recording relevant data, and/or if a significant proportion of the population is unable to access, or chooses not to use, law enforcement services. For these reasons, crime data should be supplemented with data drawn from other sources.

9.6.5 Additional data sources

In addition to the data sources listed in Clauses 9.6.3.2 and 9.6.4.2 above, quantitative and qualitative data can be obtained from a variety of other sources, including

a)   government bodies;

b)   United Nations bodies;

c)   international organizations;

d)   regional and sub-regional organizations;

e)   civil society (including NGOs, community groups, women's organizations, universities, research institutes, etc.);

f)   journalists and the media;

g)   small arms and light weapons manufacturers, wholesalers and retailers; and

h)   foreign governments.

Information should be sought both from open sources (public records, published reports, internet, etc.) and from officials in a position to provide information that is not yet in the public domain.

All data collected should be analyzed bearing in mind that

i)   its quality and reliability depend on the impartiality and research capacity of the system that produced it;

j)   anecdotal evidence may not be an accurate reflection of reality; and

k)   public perceptions of levels and trends of armed violence (e.g. informed by reporting in the media) may not correspond to actual levels of armed violence.

9.7   Questionnaires

9.7.1   Purpose

Questionnaires are an important tool for gauging public perceptions of small arms and light weapons and related issues. They provide a reference point from which to interpret official data on armed crime and violence, and can generate new data about a society. Questionnaires may be used not only with respondents among the general public, but also with serving officers in State armed and security forces and other government agencies.

9.7.2   Sampling

Collecting information from an entire population is neither practicable nor affordable. For this reason, questionnaires should be used with a representative sample of the population being studied in order to learn more about the entire population through statistical inference.

A sampling technique and sample size should be used that enables reliable conclusions to be drawn regarding overall public opinion and the differences in perceptions of sub-groups of the population that are considered to be relevant.

Since sampling is a complex process, research partners with relevant social science research expertise and experience should be used to select the sample and conduct the questionnaire research, in order to ensure that data gleaned from questionnaires are accurate and representative of the entire population.

9.7.3   Disaggregation

Small arms and light weapons survey questionnaires shall be designed so as to allow for the disaggregation of findings. This is important in order to understand differences in perceptions between all of the social sub-groups identified as relevant in the area surveyed (see Clause 9.2.2).

Questionnaires should be designed in order to make it possible to formulate clear and useful statements based on their results.

EXAMPLE   If a survey is to make statements about levels of insecurity among young males in a particular social group in a specific area, then demographic information about the age, sex, ethnicity and location of respondents must be gathered alongside responses to the other questions included in the survey, and the data must be analyzed by institutions able to 'cross tabulate' responses for each question in order to give results for the groups and sub-groups that are of interest.

9.7.4   Accuracy and cross-referencing

Conducting small arms and light weapons surveys involves studying, among other things, criminal, violent and dangerous activity. It should be borne in mind that questionnaire respondents might not give truthful responses to some questions if they are concerned about incriminating themselves or others.

It should also be borne in mind that violence or human rights abuses might be over-reported in some instances (e.g. in contexts where this adds legitimacy to a particular political cause), while it may be under-reported in others (e.g. where such reporting by individuals carries security risks).

Cultural and linguistic specificities sometimes also make it difficult to generate reliable findings from questionnaires.

Questionnaires should include response fields that enable interviewers to record when respondents appear reluctant to respond openly to the questions asked.

For all of these reasons, data generated from questionnaires should be cross-referenced with information from other sources in order to test their reliability.

9.7.5   Sequencing

The questions contained in questionnaires should be sequenced so that

a)   questions on the general context and relative importance of different issues appear before questions focusing on small arms and light weapons, in order to reduce the likelihood that respondents will exaggerate the relative importance of small arms and light weapons; and

- EXAMPLE   If several questions about small arms and light weapons are asked before asking respondents "What are the three most important issues for local people at present?" this is likely to distort responses and thereby exaggerate the significance of small arms and light weapons-related issues.

b)   questions that could be perceived as sensitive appear later in the questionnaire.

9.7.6   Time limit for completion

Questionnaires should take less than 30 minutes to complete, since the reliability of responses can diminish if the respondent becomes bored or wishes to finish the questionnaire quickly.

9.7.7   Testing

Before they are used with a full sample of respondents, questionnaires should be tested on a small sample group of respondents in order to identify and remove ambiguities and revise questions that prove to be overly sensitive.

NOTE   The testing of questionnaires is an exercise in which the survey team experiments with questions in order to identify any that are confusing, unclear or that, for any other reason, do not elicit useful responses. Testing may also suggest additional questions to include in the questionnaire, identify multiple-choice responses that were not originally anticipated and/or identify issues to be explored through other research methods.

Testing should be carried out by

a)   conducting a draft questionnaire with a small, sample group of respondents and recording any problems encountered;

b)   interviewing a small, sample group of respondents about their views on a draft questionnaire; or

c)   both of the above methods.

If testing suggests that a questionnaire should be revised, the necessary revisions shall be carried out and the questionnaire should be re-tested in its new form. The same group of respondents may be used to re-test the questionnaire.

A questionnaire should not be used on the full sample of respondents until it has passed its test on a small, sample group of respondents.

9.7.8   Spatial data

The location of respondents to questionnaires should be recorded so that these can be charted and presented on maps and so that differences between responses in different geographic areas can be registered.

9.7.9   Drawbacks

Since questionnaires have to be carefully designed, implemented and their findings analyzed by experienced and trained staff, they are a relatively expensive method of data collection. This may make it difficult or impossible to repeat the use of questionnaires at regular intervals. If resources are limited, therefore, the use of questionnaires is not the best way of monitoring a problem over time.

9.8   Key informant interviews

In-depth interviews with key informants should also be conducted as part of a small arms and light weapons survey since these provide an important opportunity to understand the perceptions of those who have a role in, or important information related to, small arms and light weapons control. Interviews may be semi-structured; i.e. a list of questions is developed that interviewers aim to cover during the course of each interview, according to the interviewee's specific areas of knowledge. Key informants may include

a)   officials from government ministries involved in small arms and light weapons control, armed violence reduction and related issues;

EXAMPLE   Government ministries responsible for defence, home affairs / interior, justice (including the Attorney General's Office), health, foreign affairs, development, peace and reconstruction, labour, human rights, gender and women's affairs, youth affairs, and key local government officials.

b)   politicians;

c)   doctors (in particular, emergency and forensic doctors);

d)   religious and community leaders;

e)   security force officers;

f)   court officials;

g)   ballistics experts;

h)   police officers (local, headquarters and training institutes);

i)   civil security officers;

j)   representatives of donors and international agencies;

k)   leaders and members of non-state armed groups;

l)   members of the business community;

m)   civil society (including NGOs, academics and journalists, as well as those representing specific interest groups such as women, youth, class, caste, religious or ethnic groups, and shooting clubs and associations);

n)   victims of armed violence;

o)   owners of small arms or light weapons; and

p)   perpetrators of armed violence such as paramilitary groups and convicts.

9.9   Focus group discussions

Focus groups may be used to identify the perceptions, needs, suggestions and potentials of different social, cultural, religious or economic groups. A focus group is a group of 10-15 members of one specific demographic or social group. It should be convened in an environment in which participants feel comfortable in expressing their views freely.

A focus group discussion is shaped by its participants but should be carefully facilitated in order to ensure that the group considers key, predetermined issue areas and questions. The role of the facilitator is to focus the discussion on the predetermined issue areas and questions, to allow all participants an equal opportunity to share and explain their views, and to encourage them to do so honestly.

Focus group discussions should be recorded in audio form or, where audio recording is not possible, in the form of detailed notes. Since they produce a large amount of raw information, analytical skill is required to distil the key perceptions, needs, suggestions and potentials of different groups and to represent the views of the group accurately. For this reason, experienced social science researchers should be used to conduct focus group discussions and to analyze their findings.

Following focus group discussions, facilitators should provide an independent analysis based on their professional interpretation of the group's discussion.

9.10   Participatory research methods

Indigenous and local communities are rich in knowledge, information and practical solutions to problems, peculiar to the local context, related to small arms and light weapons.

In some cases, it may be essential for survey implementers to be imaginative in finding ways to access community perspectives, bearing in mind context-specific factors such as: who owns information, how information is shared in the community, the cultural and social undertones of the local language, and local methods of documenting information.

In order to better understand community perspectives, a variety of participatory research tools may be used in small arms and light weapons surveys. Participatory methods help communities to visualize or make sense of complex questions, or to reach consensus on policy recommendations. Participatory research methods that may be useful elements of a small arms and light weapons survey include, but are not limited to:

a) Security maps: An exercise in which members of the community draw a map of their locality in order to identify insecure locations (e.g. where violence has occurred or where weapons are stored or visible), safe locations (e.g. security and justice providers, community resources for combating insecurity, etc.) and any other features the researcher considers relevant.

b) Security timelines: An exercise in which members of the community chart their perceived levels of security over time with an explanation of why the level rose or fell.

c) Problem tree exercise: An exercise that is useful for probing the causes and impacts of a complex phenomenon and identifying a group's proposed solutions. Discussion participants are asked to analyze a problem – such as the misuse of small arms and light weapons – identifying its causes as 'roots' and its consequences as 'branches'. When the problem tree is completed, each cause can be replaced by the participants' proposed solution and the consequences of the problem replaced by the anticipated effects of the proposed solutions.

d) Actor mapping: An exercise that can be used to identify a list of stakeholders in a given field (e.g. small arms and light weapons control, armed violence reduction, security and justice provision, socio-economic development, local conflict dynamics, etc.), their relative importance and degree of influence over one another, and the relationships between them.

e) Participant observation: A technique in which the researcher may gain a close and intimate familiarity with a given group of individuals and their practices through intensive involvement with them in their own environment, usually over an extended period of time. The time needed for participant observation may be greater than the time available for the survey, but the technique can be valuable where an in-depth understanding of social and cultural behaviours is sought.

9.11 Media analysis

Media analysis is partly quantitative and partly qualitative. It can be an important reference point for validating or questioning official statistics, an alternative to statistics where these do not exist, as well as an indicator of the level of media and public understanding of small arms and light weapons problems, impacts and control options. Pre-selection of newsworthy stories by editors, as well as biased and inaccurate reporting, are important factors limiting the reliability of information gathered from the media.

Media analysis usually involves searching national or local newspapers for reports on subjects relating to small arms and light weapons. Articles may be identified by searching for a list of key words (see Annex A). Articles may then be used to generate statistics on the number of reported incidents of a certain type and may also be subjected to qualitative analysis.

10 Presenting and disseminating findings

10.1 Structure of a survey report

Although survey reports may be structured according to the core components set out in Clause 5.2, survey planners should be flexible in how they categorize and present the information they collect. The presentation of information in a survey report should reflect the needs of its main target audience; e.g. the government agencies or other actors that will use the survey's results. The structure of a survey report may be different for different target audiences.

A survey report should begin with an executive summary of its key findings and recommendations. It should include a section providing details of the survey methodology used, as well as the implications of the survey methodology for the representativeness of the survey's overall findings.

Survey reports should be divided into sections and sub-sections that group information that is relevant to a particular stakeholder, and should use headings and terminology that are understood and used by the target audience.

Survey reports should identify clear and practical recommendations for addressing the challenges they identify, in such a way that makes them easy for decision-makers to incorporate into planning processes.

The structure of a survey report should enable the survey's findings to be understood and used by busy decision-makers who may not have academic training.

EXAMPLE   It may be confusing and impractical to present information on public and stakeholder perceptions in a separate section of a survey report under the heading "small arms and light weapons perceptions survey." Such a heading would reflect the source of the information presented but not necessarily the interest of the stakeholder(s) to whom it is directed. Stakeholders may be more able to access the information they need, and understand its relevance, if it is presented under headings such as "small arms, light weapons and law enforcement" (in the case of information relevant to the police and the Ministry of Interior/Home Affairs). Therefore, information on public perceptions may be best integrated into other sections of the survey report, so that its relevance to a specific thematic issue or stakeholder is made as clear as possible.

10.2 Confidentiality

Presentation and dissemination of survey findings shall be conducted in accordance with Clause 6.4 regarding the confidentiality of information and every effort shall be made to prevent any possible negative repercussions for those who were involved in, or provided information to the survey.

10.3 Validation

All relevant stakeholders in a small arms and light weapons survey should be provided with access to appropriate sections of the survey report before it is finalized. Stakeholders should be invited to identify for correction any factual errors or material omissions in the survey's findings and to comment on the survey report's analysis, conclusions, lessons, and recommendations.

The accuracy of a survey may be improved by organizing workshops in a variety of relevant locations during which stakeholders are given a preview of provisional survey findings and asked to comment on their accuracy and implications. Such 'validation workshops' are useful since they help to

a)   improve survey accuracy;

b)   raise awareness of issues covered by the survey;

c)   focus on analysis and the implications of the information gathered; and

d)   gain the support of stakeholders for the survey recommendations and follow-up actions.

10.4 Dissemination

Government officials are often concerned about the security or political implications of placing information on small arms and light weapons in the public domain. There may also be concerns about the conflict sensitivity of disseminating information about small arms and light weapons given the particular conflict dynamics of the local area, country or region in which the survey is being conducted.

Bearing in mind these concerns, the maximum possible amount of information from surveys should be made available to the public, media, civil society actors, relevant state actors, other governments and international agencies so that it can stimulate debate among the public and between all key stakeholders regarding appropriate responses.

Survey planners should agree in advance on how a survey's findings will be disseminated and should include in the survey plan activities to publish, launch and disseminate survey findings.

10.5 Accessibility

When presenting information, survey teams should consider the audience(s) that will need to access it. Information in survey reports should be organized into chapters and under headings that group information relevant to particular audiences (e.g. stakeholders in the surveyed locality, country or region) and should use terminology that is understood, in use and relevant to the target audience.

10.6 Building capacity for data gathering and analysis

Small arms and light weapons surveys collect, compile, analyze and present information on particular areas at a given point in time in order to guide follow-on actions. However, contexts of small arms and light weapons proliferation, armed violence, conflict and insecurity change rapidly.

For this reason, following a survey, national authorities, small arms and light weapons programme managers and other stakeholders should continue to monitor relevant information and build capacity for continuous national data gathering and analysis.

A small arms and light weapons survey is in itself a process that may raise awareness about the need to collect and analyze certain data that has not previously been of interest. Sometimes this leads to new initiatives (such as changes in epidemiological surveillance practices, creation of new databases and information centres, etc.) that do not fit into the timeline of the survey, but which should be encouraged as long-term contributions to the development of evidence-based public policy.

As well as taking opportunities to encourage longer-term initiatives, the small arms and light weapons survey should identify important information to be monitored, as well as existing capacity for and challenges to setting up a knowledge management system for updating and sharing relevant information.

Annex A
(informative)

Media analysis search keywords

The following are examples of keywords that can be used in media analyses conducted as part of a small arms and light weapons survey:

Accidental injury
Armed attack
Armed group
Armed robbery
Armed threat
Arrest
Attack on police
Controlled explosion
Counterfeit
Counterfeit banknotes
Criminal group
Criminal gang
Damage to religious building
Drugs seizure
Drugs capture
Escape prison, court
Explosion
False alarms for explosions
Firearm
Firearm accidents
Firearm confiscation
Firearm shops
Firearms amnesty
Firearms declared
Firearms found
Firearms licensed
Firearms shootings
Firearms surrendered
Firearms trafficking
Foray for firearms
Gang
Gang violence
Gun
Gun control
Gun violence
Hostage
Human trafficking – prostitution
Hunting (activities, incidents)
Hurt with firearm
Injured with firearm
Interferences in official duty
Kidnapping
Kidnapping attempt
Mines found
Missing persons

Murder
Murder - attempt
Murder - attempt with firearm
Murder - with firearm
Peacekeepers at risk
Persons detained at the border
Physical attack
Pistol
Police incriminated in acts
Prison escape
Racketeering
Rape
Rape - with firearm
Revolver
Rifle
Robbery
Self defence
Self defense
Self injury
Sentenced for criminal acts
Sentences for illegal weapons
Shooting
Shootings on a target
Shotgun
Suicide
Suicide – attempt
Suicide - attempt with firearm
Suicide - with firearm
Suspended police officers
Theft
Theft of firearm
Threats
Threats with political motives
Trials for incrimination
Unexploded explosives
Violence in family

Annex B
(informative)

Questionnaires & interview / focus group guidelines

1.   HALEY, N. *PNG Armed Violence Assessment: Final Report for the UNDP*, 2005.

2.   SEESAC. *SASP Test in North East Serbia: Evaluation Report*. Belgrade: South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons, 2005.

3.   SEESAC. *Public Perceptions of Small Arms and Security in South Serbia*. Belgrade: South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons, 2004.

4.   INTERDISCIPLINARY ANALYSTS & SAFERWORLD. *On Track for Improved Security? A survey tracking changing perceptions of public safety, security and justice provision in Nepal*. Interdisciplinary Analysts and Saferworld, 2009.

5.   SEESAC. *Strategic Overview of Armed Violence Data Collection and Analysis Mechanisms (South Eastern Europe)*. Belgrade: South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons, 2006.

6.   SEESAC. *SALW Survey Protocol 5: Question Bank*. Second Edition. Belgrade: South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons.

Annex C
(informative)

Small arms and light weapons survey research questions

This annex lists questions related to small arms and light weapons survey themes and objectives that may be adapted to context and used in survey concept notes, project documents, terms of reference, key informant interviews, focus group discussions, questionnaires and other forms of participatory research.

QUESTION	SECTOR/PLANNING PROCESS																										
	SALW CONTROL/AVR										SSR									DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA /UNDAF	PRSPs
CONTEXT																											
What are the main conflict/security and political, economic, social, environmental and cultural factors defining the context for intervention?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
Where, when and between which groups have past conflicts/armed incidents taken place?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
What are the causes of or factors perpetuating conflict, violence or insecurity in the context for intervention? What is their relative importance?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
What behaviours are causing, related to or a consequence of conflict?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
What social, governance, institutional, economic and contextual dynamics are causing, related to or a consequence of conflict?	×	×									×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
What beliefs, ideologies, perceptions and principles are causing, related to or a consequence of conflict?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×

QUESTION	SECTOR/PLANNING PROCESS																										
	SALW CONTROL/AVR										SSR									DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/planning	Post-conflict needs assessments	CCA/UNDAF	PRSPs
What factors are/have the potential to contribute to peace, human security and social harmony?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
What risks and opportunities does the context suggest for a planned intervention?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
Who are the key stakeholders in SALW control/ armed violence reduction/ security and justice provision/ socio-economic development/ local/national/regional/global conflict dynamics?	×		×	×	×	×		×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
What are their overt goals? What are their real interests?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
What is the relative importance of these key stakeholders?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
What influence do these stakeholders have over one another?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
What resources and services are available (jobs, land, water, energy, credit etc)? Who has/controls resources and services? Who does not have resources? How are resources protected? Are there any conflicts over such matters?	×	×	×	×				×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	
What are the key characteristics of relations between these stakeholders? (What divides them? What connects them?)	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
How could any planned SALW control/related intervention avoid doing harm to/contribute to improved relations between these stakeholders?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×
What are the capacities of these stakeholders for supporting peace/conflict or security/insecurity?	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×	×

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SECTOR/PLANNING PROCESS

QUESTION	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA /UNDAF	PRSPs
					SALW CONTROL/AVR									SSR							DDR				OTHER		
SALW CONTROL LEGISLATION, REGULATION & INITIATIVES																											
What legislative and regulatory framework exists for all aspects of SALW Control? (production and marking of arms; record-keeping and tracing; Stockpile management, security; carriage and use of weapons by security and justice actors; licensing (exports, imports, transport, transits, transshipments, civilian acquisition, possession and carriage); control of SALW-related crime; customs authorities and border controls; brokering activities; verification and inspection (of weapon use and storage) responsible authorities		X			X		X		X		X	X		X	X	X											
What authorities are responsible for upholding the legislative and regulatory framework? Are responsibilities clearly designated for all aspects? What gaps should be addressed?		X			X		X		X		X	X		X	X	X											
Do the responsible authorities have the capacity to fulfil their responsibilities? What gaps should be addressed?		X			X		X		X		X	X		X	X	X											
Have any weaknesses in regulations and legislation governing SALW Control in [*insert country*] been identified?	X	X			X		X		X		X	X		X	X	X											
Is there any difference in how legislation and regulations are enforced in different parts of the country (e.g. conflict and non-conflict zones)?	X	X			X		X		X		X	X		X	X	X											
What penalties and enforcement mechanisms exist for SALW Control measures?		X																									
What transparency and accountability mechanisms are in place?		X	X								X								X								

QUESTION	SALW CONTROL/AVR										SSR									DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA/ UNDAF	PRSPs
What regional and international cooperation exists on SALW Control measures? To what SALW related agreements/treaties is the country party?	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X							X		
With which countries and agencies (if any) does [location] exchange information regarding SALW? How should this be improved?	X	X	X	X	X	X	X	X	X																		
What assistance has been provided to the community / country / region to assist with the various aspects of SALW control and related issues? How effective has the assistance been?	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X							X	X	
Who are the legal weapons holders and how many SALW are registered to them?		X		X	X													X		X							
What are the holdings and stockpiles of the police and military?							X	X				X			X		X										
What is the level of weapons production in the country?		X																									
Are there any illegal weapons production activities?					X	X	X	X	X						X					X							
What legal arms trading activities exist (import, transfers and exports)? What is the total value of this trade?	X	X	X				X	X	X			X		X													
What actors and agencies are involved in this trade (direct exporters/importers, shipping firms, brokers, state entities etc?)	X	X	X				X	X	X			X		X													
How many licences are granted for manufacture, import and export of SALW and ammunition? To which companies/agencies? For SALW from/to which origins/destinations?	X	X	X				X				X	X		X													
What leakage of SALW from conflict zones, smuggling, trafficking and/or other illicit transfers of arms have occurred?	X	X					X							X													

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QUESTION	SALW CONTROL/AVR — Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	SSR — Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	DDR — Disarmament	Demobilization	Reinsertion	Reintegration	OTHER — Mine action survey/planning	Post-conflict needs assessments	CCA/UNDAF	PRSPs
By what route/means did any leakage of SALW from conflict zones, smuggling, trafficking and/or illicit transfers take place?	×	×					×				×			×													
What legislative, regulatory, customs and/or border controls are in place to prevent any leakage of SALW from conflict zones, smuggling, trafficking and/or illicit transfers to take place? [What gaps in these enabled it to take place? How should these be addressed?]	×	×					×				×			×													
Does domestic law require the government to abide by international restrictions on arms exports arising from embargoes or treaties?	×	×					×				×			×													
Are laws, regulations and procedures on arms transfers upheld in practice? Are penalties imposed / licences revoked when they are violated?	×	×					×				×			×													
Are the country's arms transfers licensed on the basis of a set of criteria by which each case is judged? What are these criteria? By what process are they considered? Does the process function in practice?	×	×					×				×			×													
Is there a list of controlled goods and a list of prohibited transfer destinations maintained? If so by whom, according to what standards and how/when is it updated? Is the list abided by?	×	×									×			×													
What mechanisms are in place to allow government officials to meaningfully implement the law (e.g. inter-department commissions), and what are the exact competencies, membership, decision-making procedures and capacities of such bodies?	×	×					×				×			×													

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR — Border controls & law enforcement co-operation	Legislative & Regulatory	Management information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	SSR — Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	DDR — Disarmament	Demobilization	Reinsertion	Reintegration	OTHER — Mine action survey/ planning	Post-conflict needs assessments	CCA / UNDAF	PRSPs
What are the agencies responsible for checking shipments? What are their staffing and resource levels? Where are they/should they be deployed? Do they have adequate capacity and how could this be improved?	X	X									X			X													
What information on trafficking do agencies responsible collect, maintain and share, domestically and internationally?	X	X									X			X													
What proportion of all arms shipments are inspected, by which agencies and for what reasons?	X	X									X			X													
How are end-use agreements and certificates checked before and after a transfer?	X	X									X			X													
Does the government produce an arms export-import report summarising information on all officially authorised arms transfers to and from the country? If so, what are the contents? If not, what are the impediments (political, technical) to doing so?	X	X									X			X													
What is the capacity of the State to conduct safe weapons collections and how many weapons have been collected in the last [*insert time period*]?		X	X		X	X		X																			
What are the State's destruction capacities for weapons and ammunition and how many weapons / ammunition have been destroyed in the last [*insert time period*]?		X	X		X	X		X																X			
What weapon collections or destruction activities have taken place? How successful have they been? Were there any positive / negative aspects? Do you think they should continue?				X	X	X		X																X			

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR										SSR									DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA/ UNDAF	PRSPs
What numbers and types of SALW and ammunition have been collected from /registered by civilians both in any previous collection initiatives and at other times?		×	×																								
What numbers and types of SALW and ammunition have been destroyed in any previous destruction initiatives?		×		×		×	×													×				×			
What facilities exist for SALW destruction? Who owns and regulates them?		×				×	×													×				×			
What is their capacity? Is there any need to increase capacity?		×				×	×													×				×			
What methods of destruction are used? Is there any need to improve the methods used?		×				×	×													×				×			
What is the preferred method of SALW disposal among the public and officials?		×				×	×													×				×			
In what ways have civil society been involved in SALW Control interventions and how successful have they been?				×	×	×				×									×	×				×			
What capacity does civil society have to engage with SALW control / armed violence reduction interventions and what impediments do they face?				×	×	×				×									×	×				×			
Through what procedure/under what criteria can civilians legally acquire/own SALW?		×		×												×											
Do you think that laws governing civilian possession of guns are strict enough?		×		×												×											
How much do you think registration of, and licensing for legal firearms possession increases security?		×		×	×																						
Do you think that improving the control of firearms in [insert location] would increase security?		×		×	×					×					×	×											

QUESTION	SALW CONTROL/AVR										SSR									DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/planning	Post-conflict needs assessments	CCA /UNDAF	PRSPs
Are there any individuals or groups in your community that oppose arms control (namely regulations governing the possession and use of weapons by civilians)?				X	X															X		X	X				
Have you ever participated in any weapon collection activities?				X	X															X							
Have you ever heard about any weapons destruction events?				X	X															X							
Under what conditions, if any, do you think people in your community would be willing to hand in/register their weapons, during an amnesty?				X	X															X							
Which group, in your opinion, needs to be disarmed as a priority in this [location]?				X	X															X							
There is an announcement for a collection of illegal weapons. In your personal opinion this is likely to be… [very successful / partially successful / partially unsuccessful / very unsuccessful]				X	X															X							
How likely do you think it is that people will hand in their weapons, if they have any, in exchange for community development projects in your municipality?				X	X																						
How likely do you think it is that people will hand in their weapons, if they have any, so that your community can compete against neighbouring communities to win funds for municipal development projects?				X	X															X							
If a lottery were to be held, with winning individuals selected at random, which of these prizes in your opinion would ensure the highest number of participants?				X	X															X							

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR									SSR										DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA /UNDAF	PRSPs
If a voluntary weapons collection initiative were begun in your community, whom would people in your community find most acceptable as weapons collectors?				X	X															X							
Which of the following would be best placed to mobilise members of your community to participate in a programme of action against weapons?				X	X															X							
DISTRIBUTION OF SALW																											
What is the history of armed conflict, SALW proliferation and gun culture in the community / country / region?		X		X	X					X										X			X			X	
Within the community / country / region, in what geographic areas/among what groups is SALW possession concentrated?	X		X	X	X							X		X	X					X			X	X	X	X	X
What factors drive demand for SALW in the community / country / region?	X		X	X	X		X	X				X	X	X	X					X			X	X	X	X	X
What are the number and types of SALW and ammunition in the possession of each respective state agency in possession of SALW and ammunition (in active use and reserve)?						X	X					X	X	X	X		X			X							
What is the number of serving personnel in each respective state security agency including militias, civil security or homeguards units and other state agencies holding SALW?			X			X	X	X				X	X	X	X		X			X							
What controls are in place on the weapons held by militias, civil security or homeguards units and other state agencies holding SALW and/or security force deserters? [including when not on duty]			X			X	X	X				X	X	X	X		X			X							

SECTOR/PLANNING PROCESS

QUESTION	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/planning	Post-conflict needs assessments	CCA /UNDAF	PRSPs
	SALW CONTROL/AVR										**SSR**									**DDR**				**OTHER**			
What are the numbers and types of SALW and ammunition held by civilians and businesses such as licensed dealers, banks and private security firms under each category of licence available?		X	X					X										X									
From what demographic groups do licensees come?		X	X	X	X			X										X									
What is the number of private security companies, and what is the number of personnel licensed to possess weapons on their behalf?		X	X		X			X										X									
Are there any examples of diversion of licit / licensed SALW transfers to/from the country/region?	X	X						X	X		X	X		X						X							
What are the number and types of SALW manufactured domestically and imported and exported to or from specific countries?	X	X					X	X			X	X		X													
Where and by whom are SALW manufactured domestically? How many SALW do they possess at any given time?	X	X					X	X			X	X		X													
How many people are employed in SALW production?	X	X					X	X			X	X		X													
Is there any SALW production under licence?	X	X					X	X			X	X		X													
What requirements are there regarding marking of manufactured weapons? How well are they applied? What gaps exist and how can they be removed?	X	X					X	X			X	X		X													
Is there any illegal SALW production? If so, who is involved, in what locations, how many factories/workshops are there, what are the sources for components, What types of products are there?	X	X					X	X			X	X		X													

QUESTION	SALW CONTROL/AVR										SSR									DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA /UNDAF	PRSPs
What numbers and types of SALW have been lost, stolen or diverted by each state agency in possession of SALW and ammunition, or by civilian/private sector licensees since [date]?	X	X	X								X	X		X	X					X							
What has the response been to these incidents? How could the response be improved? Have there been any (successful) prosecutions in such cases?																											
What are the numbers and types of SALW and ammunition seized, confiscated or found, where, from whom, and in the case of weapons in transit, from what origin to what end user?	X	X												X	X					X							
Are there any non-state / paramilitary / criminal groups / illegal producers holding weapons in [location]?	X	X			X		X								X					X							
What numbers of weapons do they hold?	X	X	X	X	X		X								X					X							
What types of weapons do they hold?	X	X	X	X	X		X								X					X							
From where are illicit weapons entering [location]?	X			X	X		X							X						X							
By what techniques are illicit weapons being trafficked/entering illicit circulation?	X			X	X		X							X						X							
Do you think there are too many guns in your country?			X	X	X					X										X					X	X	X
How would you describe the number of weapons in your community?			X	X	X					X										X					X	X	X
Compared to one year ago, how do you think that the number of weapons in your neighbourhood has changed?			X	X	X					X										X					X	X	X
On average, what types/makes of weapons do you think are the most common in your community?			X	X	X		X			X		X			X					X							
On average, how often do you hear weapon-shots in your neighbourhood?		X		X	X					X					X												

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR										SSR									DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA/ UNDAF	PRSPs
Apart from official security forces how often do you see SALW/firearms in your neighbourhood? What types have you seen [show pictures]?							x			x																	
At which times or places in your community would you say firearms are most visible?										x																	
Who do you think have the most guns (outside of the security forces)?				x	x															x							
Do both men and women own weapons?				x	x															x							
In what age group are weapons most common?				x	x															x							
On average, how many weapons do you think people have in their household?				x	x															x							
Does your household own a gun? If yes, how many?				x	x															x							
Where do the SALW in this community/country/region come from?	x	x					x		x						x				x								
If a person from your neighbourhood, for whatever reason, would need a weapon, where do you think he/she could get one?	x	x					x		x						x				x								
If you or someone in your [location] wanted to obtain a small arm, how easy would this be?	x	x					x		x						x				x								
What is the price of the following types of weapons? (pictures may be used)	x	x		x	x									x	x					x							
Have you ever purchased a SALW? What type? How much did it cost?	x	x		x	x									x	x					x							
Have you ever purchased ammunition? What type? How much did it cost?	x	x		x	x									x	x					x							
Are there any mines or explosives in this area?				x	x					x												x	x	x			
Where? / Why do you think so?				x	x					x												x	x	x			
Has the presence of mines/ explosives in this area caused any deaths / injuries / affected your daily life?				x	x					x												x	x	x			

SECTOR/PLANNING PROCESS

QUESTION	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA /UNDAF	PRSPs
	SALW CONTROL/AVR										**SSR**									**DDR**					**OTHER**		
If yes, does the threat of mines / explosives prevent you or a member of your household from doing any of the daily work, including schoolwork?				X	X					X														X			
ARMED VIOLENCE, CRIME & INSECURITY																											
What is the number of externally caused injuries, premature deaths, suicides and homicides per year since [date]?		X																				X	X		X	X	X
What is the number of SALW-related deaths and injuries per year since [date]?				X											X	X						X	X		X	X	X
What is the estimated cost of treating these injuries per year?																											X
What proportion of SALW related deaths and injuries are intentionally/unintentionally inflicted?					X															X							
What proportions of victims/ perpetrators are male/female?				X	X																						
Which age group is most often victim or perpetrator?				X	X					X					X										X		
Do children and/or adolescents have access to/use SALW?		X		X	X					X					X										X		
Are injuries more common among low-income, ethnic, IDP / refugee or other groups?				X	X		X			X													X		X	X	
What kinds of SALW and other weapons are causing deaths and injuries?		X			X															X			X				
What kind of incidents are leading to injuries (dispute, theft, suicide, domestic violence, legal intervention, civil disturbance)?		X			X					X					X	X				X			X				
In what parts of the locality, country or region surveyed are SALW related injuries taking place?		X			X										X	X				X			X		X		

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR									SSR										DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA/ UNDAF	PRSPs
In what type of location are injuries taking place;	X	X								X				X	X	X							X				
At what time of day/week/month/year injuries are injuries occurring?		X								X					X	X							X				
What are the variations in the type of injuries occurring in different areas?		X								X					X	X							X				
What is incidence of SALW-related death and injury related to the abuse of particular substances (alcohol, narcotics)?	X	X								X				X	X	X							X				
Do you know of incidents when SALW have been used to prevent violence?		X								X					X												
In your opinion, what are the worst problems your community faces at this time?										X									X				X				X
In your opinion, what types of improvements are most needed by people in your [location]?										X									X				X				X
What is the biggest cause of insecurity to you personally?		X								X					X	X	X		X				X		X	X	X
If violence, what kind of violence?		X								X					X	X	X		X				X		X	X	X
Do any inter-/intra-group tensions exist within your community, along racial, ethnic, religious, linguistic or other lines (or between a refugee / IDP population and the local community)?										X					X	X	X						X		X	X	X
Compared to one year ago, how do you think that the levels of security in your community have changed?		X		X	X					X					X	X	X						X		X		
Compared to one year ago, how do you think that the level of your own personal security has changed?										X					X	X	X						X		X	X	
Do you think your town / neighbourhood is safer, similar to, or more dangerous than other areas in [insert local area/region]?				X	X					X					X	X	X						X		X	X	
What would you most like to see done to improve security in your community?				X	X					X					X	X	X						X		X		

Table header groups — **SECTOR/PLANNING PROCESS**: columns 1–10 = **SALW CONTROL/AVR**; columns 11–19 = **SSR**; columns 20–23 = **DDR**; columns 24–27 = **OTHER**.

QUESTION	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA/ UNDAF	PRSPs
What types of crime occur most often in this area nowadays?		X		X	X					X					X	X	X						X		X		
What types of crime have occurred / involved the use of SALW in [location] in the last [*insert time period*]: including robbery, assault, grievous assault, murder, intimidation and discharge of a firearm?		X	X	X	X					X					X	X	X		X				X		X		
Whom do you think is responsible for these crimes?		X	X	X	X					X					X	X	X		X				X		X		
What do you think is the motive for these crimes?		X	X	X	X					X					X	X	X		X				X		X		
How many SALW-related injuries (non-fatal and fatal) have been sustained over [*insert time*] including: accidental injury, suicide / attempted suicide, and inter-personal violence involving firearms?				X	X					X					X	X	X		X				X		X		
Do you think that the availability or use of SALW is an issue of concern to your community?				X	X					X					X	X	X		X				X		X		
How safe do you feel from firearm / armed / SALW-related violence?				X	X					X					X	X	X		X				X		X		
How safe do you think your children are (or feel they are) from firearm / armed / SALW-related violence?				X	X					X					X	X	X		X				X		X		
How safe do you feel walking alone in your area during the day / night?				X	X					X					X	X	X		X				X		X		
Where in the [location] do you consider safe/unsafe from firearm / armed / SALW-related violence?				X	X					X					X	X	X		X				X		X		
Are there any daily activities you are afraid of doing because of firearm / armed / SALW-related violence?				X	X					X					X	X	X		X				X		X		

QUESTION	SECTOR/PLANNING PROCESS																										
	SALW CONTROL/AVR										SSR									DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA/ UNDAF	PRSPs
Have you ever been present in a situation where a firearm / SALW was used?				X						X					X	X	X										
Do you ever think of the possibility that either you or someone close to you might fall victim to crime / be injured by SALW / be attacked?				X						X					X	X	X			X			X				
Is there any conflict between your group and any other group? How often? Which group? / Who are you afraid of being attacked by?				X						X					X	X	X			X			X				
What kinds of thing happen when there is conflict between groups here?				X						X					X	X	X			X			X				
What causes conflict between groups here?				X						X					X	X	X			X			X				
What brings your group and other groups together peacefully? What could be done to strengthen this?				X						X					X	X	X			X			X				
What dialogue exists between groups? What could be done to strengthen this?				X						X					X	X	X			X			X				
Do you think it is ever acceptable to use violence against a person who…? If yes, when is it acceptable?				X						X					X	X	X			X			X				
Do you think that raiding other groups is acceptable and normal?				X						X					X	X	X			X			X				
Is permission needed from leaders before an attack can be made on another group? Who provides this permission?				X						X					X	X	X			X			X				
Have you or a member of your household been the victim of a crime / armed crime/incident [in the past year / other time period]? If yes, what type of crime?										X					X	X	X			X			X				
Do you know of an incident where someone was injured by weapons or explosives? If so please specify circumstances (age, gender, events).				X	X		X			X					X												
In what situation was the gun fired?		X								X					X	X											

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	SSR Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	DDR Disarmament	Demobilization	Reinsertion	Reintegration	OTHER Mine action survey/planning	Post-conflict needs assessments	CCA/UNDAF	PRSPs
What type of gun was used?	X						X							X						X							
What has been the political, economic and social impact of conflict / SALW / general instability on tourism, investment, etc.?																							X		X	X	X
What has been the impact of SALW on governance and the rule of law?				X	X										X	X							X		X	X	X
What effect do you think that the presence of guns in your community has had on economic development and the standard of living?				X	X					X													X		X	X	X
What effect would you say that weapons possession has on different areas and aspects of the community?																							X				
What impact do SALW have on youth and children? What are the particular insecurities / security needs of youth and children?				X	X					X									X				X				
Are children being recruited / kidnapped to join armed forces? Why and how? How could it be prevented?										X									X	X			X		X	X	
What impact do SALW have on women / girls?				X	X					X									X				X				
What are the particular insecurities / security needs of women / girls? Do they involve SALW?				X	X					X									X				X				
What types of crimes are perpetrated against women / girls? Do they involve SALW?				X	X					X									X				X				
Is any trafficking of women / girls taking place? Does this involve SALW?				X	X					X									X				X				
Are there any women / girls / boys / men in [location] who are forced into having sex against their will? Does this involve SALW?				X	X					X									X				X				
When and where does sexual violence occur? Does this involve SALW?				X	X					X									X				X				

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR									SSR										DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA /UNDAF	PRSPs
Do you think SALW availability / armed violence / insecurity have any effect on the economy / business / tourism of the community / country / region? If yes, what are these?		X		X																					X	X	X
Do you think SALW availability / armed violence / insecurity have any effect on democracy / politics / elections in this community / country / region?		X		X																					X	X	X
Do you think SALW availability / armed violence / insecurity have any effect on government services / infrastructure in this community / country / region?		X		X																					X	X	X
For each of the following areas, do you think that they have any influence on people's attitudes (especially the youth) towards guns?				X																							
SECURITY & JUSTICE PROVISION																											
Ideally, who do you think should be responsible for security?		X			X					X	X	X	X		X	X			X				X				
How trustworthy / efficient do you judge the [police / armed forces / other security agency / courts] to be [in solving crime, protecting people and/or providing justice]?		X			X					X					X	X	X						X		X		
Who would you contact first if you became a victim of crime / were threatened with violence? If no one, why?		X			X					X					X	X	X						X		X		
Do you always report criminal activities to the police? If not, why?		X			X					X					X	X	X						X		X		
If you / a member of your family were / was a victim of crime, from whom if anyone did you seek help?		X			X					X					X	X	X						X		X		

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR										SSR									DDR				OTHER			
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If you / a member of your family were / was a victim of crime, what is the status of the case? [unreported/reported but no action taken/ reported but unsolved/ reported and solved etc]		×			×					×					×	×	×						×		×		
If you / a member of your family were / was a victim of crime, and reported it, were you satisfied with the response? Why / why not?		×			×					×					×	×	×						×		×		
Do you think that the police has/lacks adequate resources and manpower to carry out their duties? If they lack resources, what do they need?		×			×					×					×	×	×						×		×		
Is there a police station in your community / vicinity / municipality? / How long would it take you to reach the nearest police station?		×			×					×					×	×	×						×		×		
Does this make you feel [much safer / safer / it makes no difference / less safe / much less safe]?																											
Do you think that the [police / other security agency / courts] differ in their treatment of certain groups? If yes, which groups? Why do you think so?		×			×					×					×	×	×						×		×		
Do the police / armed forces / other responsible agency / court treat women and men equally?		×			×					×					×	×							×		×		
Would you feel confident to report violence that takes place in the home / sexual violence to the police? If no, why?		×			×					×					×	×							×		×		
Do women's support networks / social help / legal services exist to help victims of (sexual) violence?		×			×					×					×	×							×		×		
Have there been any human rights violations by police (or other state forces, or non-state groups) involving the misuse of their SALW, either to threaten or to assault?		×			×					×					×	×	×						×		×	×	

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR									SSR										DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA /UNDAF	PRSPs
What mechanisms are in place to deal with such human rights violations involving SALW? How effective are they?		×								×					×	×	×						×		×	×	
In your opinion, do people who commit violent crimes receive adequate punishment?		×			×					×					×	×	×						×		×		
How fair do you consider the Judiciary to be?		×			×					×						×	×						×		×		
Do you know of any public initiatives / civil society groups that have tried to improve safety / justice in your community? If yes, have they been effective? Do you trust them?										×									×								
What do you think could be done to improve the security situation?	×	×								×				×	×	×	×						×		×	×	×
How much would you pay for more safety from firearm violence?		×								×					×	×	×										
How much do you think each of the following will increase security in [insert location]?	×	×		×	×	×				×				×	×	×	×			×	×	×	×		×		
How concerned are you about the following? [SALW proliferation / armed crime / armed violence / unemployment / infrastructure / corruption etc]	×	×		×	×	×				×				×	×	×	×			×	×	×	×		×	×	×
How would you describe the level of effort by the Government in tackling the following? [SALW proliferation / armed crime / armed violence / unemployment / infrastructure / corruption etc]	×	×		×	×	×				×	×	×		×	×	×	×			×	×	×	×		×	×	×
What numbers of accidental and intentional (lawful and unlawful) deaths and injuries have been caused by SALW and ammunition held by state agencies? What were the causes for these deaths/injuries?	×	×								×			×	×	×	×	×		×				×		×	×	

QUESTION	SALW CONTROL/AVR									SSR										DDR				OTHER			
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Do community members, security forces and/or government actors meet to discuss cross-border peace/SALW control issues? How often? Who initiates such meetings?	X	X								X				X	X					X							
What cross border co-operation is there? Have any agreements/action plans been developed? How have they been implemented? Is such cross border co-operation useful? Could it be improved?	X	X								X				X	X					X							
SALW AWARENESS																											
What do you think is an appropriate age to start handling weapons?				X	X																						
How positive/negative do you consider SALW availability to be in your community/country/region?	X	X		X	X					X				X						X					X	X	
Do you believe that possessing weapons makes you safer or less safe as a family?				X	X										X	X	X										
Do you think disputes can sometimes only be resolved with the use of a weapon?		X		X	X					X					X	X	X										
Under what circumstances is it acceptable to own a gun? / Who should be allowed to possess / carry SALW?				X	X																						
Do you feel it is less legitimate to possess military style weapons, ammunition and explosives (as opposed to pistols etc.)?				X	X																						
Why do you think people keep firearms (excluding those working for state security forces or private security companies)?				X	X					X																	
Why do you think people might NOT register their guns?				X	X																						
If your household could own a gun legally, would you choose to do so, and why?		X		X	X																						

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR									SSR										DDR				OTHER			
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Why would your household choose NOT to own a weapon?		X		X																							
How much would you pay for a firearm if it were available?				X	X																						
Do you know who is legally allowed to keep weapons at home under the current law?		X		X	X																						
Are you aware of the procedure for obtaining a licence to own a firearm?		X		X																							
Is there a weapon amnesty currently in place? If not, what do individuals do with guns (legal and illegal) that they don't want?				X	X																						
Why do you think the SALW collection in [location] succeeded/failed?				X	X					X					X	X				X			X	X			
Are you aware that there are ways of reducing risks in SALW handling and storage?				X	X																						
How would you describe the levels of understanding within your community of the importance of safe behaviour when storing or handling weapons and explosives?				X	X																			X			
Can you recall any of the necessary safety measures to take when surrendering weapons?				X	X															X				X			
Compared to one year ago, do you believe that weapon owners are adopting safe behaviours?				X	X																						
Do believe that, overall, levels of risky behaviour are increasing or decreasing?				X	X																						
Do you believe that national / local authorities are taking the issue of SALW more seriously compared to one year ago?		X		X											X												
What elements of SALW awareness/peace education are included in the school curriculum?				X																							

SECTOR/PLANNING PROCESS

QUESTION	SALW CONTROL/AVR										SSR									DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/planning	Post-conflict needs assessments	CCA/UNDAF	PRSPs
What is the quality, accuracy and sensitivity of media reports on security and SALW issues (including gun crime and SALW Control measures)?				X																							
Which of the following is your main source for / do you trust as a source of local news?				X	X					X									X	X			X				
Which organisations / people do you consider to have most influence in your community?				X	X					X									X	X			X				
SOCIO-ECONOMIC REINTEGRATION OF EX-COMBATANTS OR OTHER HIGH-RISK GROUPS																											
What is the geographic/demographic map of the community/department?										X												X	X		X		
What are the people doing already?										X												X	X		X		
What are the opportunities for employment?										X												X	X		X		
What are the demands for goods and services?										X												X	X		X		
What are the real opportunities (imbalances between demand and supply)?										X												X	X		X		
Which skills are in demand in relation to these opportunities?										X												X	X		X		
What should training courses offer, on the basis of the demand for skills identified?										X												X	X		X		
Which accompanying measures are needed to boost the opportunities identified (infrastructure, credit, labour laws, awareness campaigns, community safety initiatives etc)?										X												X	X		X		
What mechanisms of socio-economic exclusion can be observed?										X												X	X		X		
What services (responding to trauma, health issues, obstacles to reconciliation and economic reintegration needs) will be needed to encourage the socio-economic reintegration of the groups assessed in the context analysed?										X												X	X		X		

QUESTION	SALW CONTROL/AVR										SSR									DDR				OTHER			
	Border controls & law enforcement co-operation	Legislative & Regulatory	Management Information	Public awareness campaigns	Collection	Destruction	Stockpile Management	Marking & record-keeping	Tracing	Safer Community Plans	Democratic oversight & accountability	Defence reform	Intelligence & security services reform	Border management	Policing	Justice reform	Prison reform	Private security & military companies	Civil society	Disarmament	Demobilization	Reinsertion	Reintegration	Mine action survey/ planning	Post-conflict needs assessments	CCA/ UNDAF	PRSPs
What are the profiles (demographic information, vulnerabilities, potentials and aspirations of youth/ex-combatants)?										X												X	X		X		
What, therefore, are short, medium and long-term needs in terms of capacity development of reintegration partners/service providers?										X												X	X		X		
What opportunities could there be within existing or planned recovery and economic development initiatives to provide sustainable reintegration opportunities for programme participants?										X												X	X		X		
How can reintegration activities help to eradicate embedded social injustices and root causes of recruitment into armed forces and groups?										X												X	X		X		

SECTOR/PLANNING PROCESS

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