



# SALW Survey Protocol 1

2<sup>nd</sup> Edition

---

---

## General research guide

---

---

---

Team Leader,  
SEESAC,  
Hadži Milentijeva 30,  
11000 Belgrade,  
Serbia

E-mail: [info@seesac.org](mailto:info@seesac.org)  
Telephone: (+381) (11) 344 63 53; 383 69 72; 383 69 74  
Fax: (+381) (11) 344 63 56

### **Copyright notice**

This document is a South Eastern and Eastern Europe Regional Micro-Disarmament Standard/Guideline (RMDS/G) and is copyright protected by UNDP. Neither this document, nor any extract from it, may be reproduced, stored or transmitted in any form, or by any means, for any other purpose without prior written permission from SEESAC, acting on behalf of UNDP.

This document is not to be sold.

**Team Leader,  
SEESAC,  
UNDP Belgrade,  
Hadži Milentijeva 30,  
11000 Belgrade,  
Serbia**

**E-mail: [info@seesac.org](mailto:info@seesac.org)  
Telephone: (+381) (11) 344 6353; 383 69 72; 383 69 74  
Fax: (+381) (11) 344 6356**

## Contents

Contents	ii
Foreword	iii
SALW Survey Protocol 1 - General research guide	1
1 Scope	1
2 Terms and definitions	1
3 Introduction	1
4 Data requirements for SALW survey and recommended layout	2
4.1 Introduction .....	2
4.2 Small Arms Distribution Survey (SADS).....	2
4.3 Small Arms Impact Survey (SAIS) .....	3
4.4 Small Arms Perception Survey (SAPS).....	4
4.5 Small Arms Capacity Survey (SACS).....	4
4.6 Conclusions .....	5
4.7 Sources (primary and secondary) .....	5
4.8 Appendices.....	5
4.9 Examples of Tables and Figures (to be placed within the text of the report).....	5
4.10 Boxes.....	5
Annex A (Informative) References	7
Annex B (Informative) Terms and definitions	8

## Foreword

On 08 May 2003 the development of regional micro-disarmament<sup>1</sup> standards/guidelines (RMDS/G) was discussed during the RACVIAC sponsored seminar on '**SALW - A year after Implementation of the Stability Pact Plan**'. The consensus was that such standards were desirable, and SEESAC agreed to develop a framework and take subsequent responsibility for the future development of regional standards. It was agreed that RMDS/G would be designed to support work at the operational level, and would go further than the more generic 'best practice' documents currently available. The RMDS/G<sup>2</sup> reflect the development of operational procedures, practices and norms, which have occurred over the past three years in the area of Small Arms and Light Weapons (SALW)<sup>3</sup> control.

As part of the RMDS/G development, a standard on SALW Survey was developed (RMDS/G 05.80). The subsequent Survey Protocols comply with RMDS/G 05.80 and provide further operational guidance for the conduct of SALW Surveys in support of SALW interventions.

A SALW Survey is defined by RMDS/G as: '**a systematic and logical process to determine the nature and extent of SALW proliferation and impact within a region, nation or community in order to provide accurate data and information for a safe, effective and efficient intervention by an appropriate organisation**'.

The work of preparing, reviewing and revising these Survey Protocols is conducted by SEESAC, with the support of international, governmental and non-governmental organizations and consultants. The latest version of each protocol, together with background information on the development work, can be found at [www.seesac.org](http://www.seesac.org). The Survey Protocols will be reviewed at least every three years to reflect developing SALW control norms and practices, and to incorporate changes to international regulations and requirements.

---

<sup>1</sup> Defined as: "The monitoring, collection, control and final disposal of small arms, related ammunition and explosives and light weapons of combatants and often also of the civilian population. It includes the development of responsible weapons and ammunition management programmes". Often used interchangeably with SALW control.

<sup>2</sup> The layout and format of RMDS/G are based on the highly successful International Mine Action Standards (IMAS). The cooperation of the UN Mine Action Service (UNMAS) is acknowledged by SEESAC during the development of RMDS/G and the related Survey Protocols.

<sup>3</sup> There is no agreed international definition of SALW, although the UN has developed a list of SALW types. For the purposes of RMDS/G the following definition will apply: "**All lethal conventional munitions that can be carried by an individual combatant or a light vehicle, that also do not require a substantial logistic and maintenance capability.**"

## **SALW Survey Protocol 1 - General research guide**

### **1 Scope**

This survey protocol establishes some guiding principles for the SALW survey component of an integrated SALW programme.

To be most effective, it is important that the survey component is included during the strategic, operational and detailed mission planning phases of programme development. The financial costs of a survey are low when compared to total programme costs, yet they have the potential for high impact on programme success.

A list of normative references is given in Annex A. Normative references are important documents to which reference is made in this standard and which form part of the provisions of this standard.

### **2 Terms and definitions**

A list of terms and definitions used in this Survey Protocol is given in Annex B. A complete glossary of all the terms and definitions used in the RMDS/G series is given in RMDS/G 02.10.

In the Survey Protocols, the words 'shall', 'should' and 'may' are used to indicate the intended degree of compliance. This use is consistent with the language used in ISO standards and guidelines.

- a) 'shall' is used to indicate requirements, methods or specifications, which are to be adopted in order to satisfy the standard in full.
- b) 'should' is used to indicate the preferred requirements, methods or specifications.
- c) 'may' is used to indicate a possible method or course of action.

The term 'national SALW authority' refers to the government department(s), organisation(s) or institution(s) in each SALW country charged with the regulation, management and co-ordination of SALW activities.

### **3 Introduction**

The following outline is meant to serve as a general guide for in-country research to survey SALW distribution, impact, perceptions and control. Any research activity in the Southeast European region, or elsewhere, should begin with consideration of the importance of understanding the nature of the SALW problem in different countries or areas. Moreover, any SALW research project should start with the awareness that each study will vary, given country-specific circumstances, and that the guide should always be adapted accordingly.

Although research guides and protocols are useful for developing a general research programme, and for comparing and generalizing results, no subject should be studied in a "template" manner. Common approaches are of tremendous value, but good, reliable knowledge and information is best generated when specific and perhaps unique circumstances are taken into consideration. With this in mind, the outline below provides a "check-list" of sorts that should guide in-country research programmes on SALW. It should be considered a dynamic rather than a static outline in that the importance of listed categories and headings should be flexible depending on specific country situations.

This Protocol should be implemented in conjunction with SEESAC SALW Protocol 2 – Survey goals and objectives (which highlights general research objectives, required data, and data sources), Survey Protocol 3 – Guidelines for research work with the general public, Survey Protocol 4 – Assessing demand for SALW, and Survey Protocol 5 – "Question Bank". Additional discussions should be undertaken to consider the various data analysis techniques that are

available to SALW researchers; these techniques will vary depending on specific country needs and intervention objectives.

## 4 Data requirements for SALW survey and recommended layout

The following information provides a suggested systematic and logical data requirement and layout for a full SALW Survey, although, where appropriate, individual components may be used to support SALW interventions or research. Data should be disaggregated according to gender, age, geographical location, ethnicity and other parameters to the greatest extent possible in order to allow for the most accurate assessment of the SALW situation in a given country or area.

### 4.1 Introduction

- a) Introduction to the SALW problem in the country/territory/region;
- b) Introduction to the research project/procedures; and
- c) Country/territory in context – past, present and future:
  - Political, economic, social, military and security history;
  - Tensions/conflict;
  - Current political, economic, social, military and security environment:
    - Political system, strengths, weaknesses, corruption, etc.;
    - Economic development and prospects;
    - Foreign relations;
    - Stability and security: aftermath of conflict, tension, crime, guns;
    - Cultural issues; and
    - Security perceptions (in brief).

### 4.2 Small Arms Distribution Survey (SADS)

- a) Weapons possession in country/territory/region:
  - Various gun holders (who has guns and how many; acquisition and supply; various estimates of numbers):
    - Law enforcement agencies;
    - Military;
    - Civilians;
    - Militia(s);
    - Paramilitary groups;
    - Private security providers;
    - Licensed dealers; and
    - Any other group holding weapons.
  - Geographic and ethnic distribution;
  - Sources and circulation of weapons;
  - Types and makes of SALW in circulation; and
  - Weapons collection and destruction (past and future).
- b) Gun production – weapons industry:
  - Production capacity;
  - Actual production;

- Volume and value;
  - Number of persons employed;
  - Profitability;
  - Ownership; and
  - Importance of SALW industry for the domestic economy.
- c) Smuggling/trafficking:
- Borders;
  - Smuggling routes;
  - Magnitude of gun traffic;
  - Prices (according to weapon type and make, including variations over time and in different regions of a country);
  - Resources with which people acquire weapons;
  - Links to other forms of trafficking;
  - Traffickers, brokers, trading companies, financial arrangements;
  - National, regional and global impact of smuggling into, out of, through country in question; and
  - Other illicit transfers such as the loaning of State-held weapons to other countries.
- d) Legal trade:
- Extent of legal trade, volume, value, both import and export;
  - Main SALW trade partners;
  - Main exporting companies (among producers);
  - Trading companies/brokers;
  - Shipping companies; and
  - Types of SALW traded.

### **4.3 Small Arms Impact Survey (SAIS)**

- a) Direct and indirect effects of SALW:
- Fatal and non-fatal firearm injuries, disabilities (medical data), costs of these;
  - Crime attributed to SALW;
  - Human rights considerations (violations by police or other state forces, or organized insurgent forces);
  - Political, economic and social development (impact of conflict/SALW/general instability on tourism, investment, etc.); and

- ❑ Other effects specific to the country/region under study (e.g. numerous accidents involving children, child/youth use of guns, vendettas, guns in politically motivated intimidation, etc.).

#### **4.4 Small Arms Perception Survey (SAPS)**

- a) Gun culture - perceptions of gun availability and ownership:
  - ❑ Sociological, anthropological, psychological, political points of view:
    - History;
    - Attitudes;
    - 'Customary controls' or 'social norms' associated with demand and control of weapons;
    - Forces behind possession; and
    - Impact on laws/controls.
  - ❑ Perceptions of security (is SALW a major cause of perceptions of insecurity?);
  - ❑ Perceptions of SALW use;
  - ❑ Perceptions of SALW on conflict resolution at individual, group and state level;
  - ❑ Individual and community views towards security providers;
  - ❑ Individual and community perceptions of the impact of SALW on society;
  - ❑ Individual perceptions towards SALW control; and
  - ❑ Individual perceptions towards weapons collection and other possible intervention strategies.

#### **4.5 Small Arms Capacity Survey (SACS)**

- a) Control Measures:
  - ❑ Legal basis;
  - ❑ Customs authorities and border controls;
  - ❑ Stockpile security and management;
  - ❑ Licensing of exports, imports, transits, transshipments, and civilian possession;
  - ❑ Interagency oversight and cooperation;
  - ❑ Export and possession criteria;
  - ❑ Penalties and enforcement;
  - ❑ Regional and international cooperative efforts;
  - ❑ Domestic and international transparency;
  - ❑ Civil society capacity and involvement;
  - ❑ Capacity of appropriate security agencies to conduct safe collection;
  - ❑ SALW destruction capacities for weapons and ammunition; and
  - ❑ Role of the private sector.

#### **4.6 Conclusions**

- a) Overall findings.
- b) Numbers of guns; distribution; availability; problems and prospects for control.
- c) Impact on society and region.
- d) Control efforts: effectiveness and prospects.
- e) Attitudes and perceptions of SALW in country/territory.
- f) Final conclusions about SALW in country/territory.

#### **4.7 Sources (primary and secondary)**

- a) Published sources.
- b) Interviews.

#### **4.8 Appendices**

- a) Research matrix.
- b) Specific data from focus groups.
- c) Specific data from household surveys.
- d) Specific data from medical research.

#### **4.9 Examples of Tables and Figures (to be placed within the text of the report)**

- a) Gun holdings in country/territory/region.
- b) Results of gun collections/weapons amnesties.
- c) Weapons seizures.
- d) Weapons found and recovered.
- e) Crime rates.
- f) Percentage of crimes committed with SALW.
- g) SALW types seized by police.
- h) Weapons distribution – geographic, demographic, etc.
- i) Firearm injuries.

#### **4.10 Boxes**

To be placed within the text of the report, should be used for highlighting specific cases or smaller topic that is of particular interest in the country under study; also used for providing more technical/methodological information on topics such as:

- a) Data and sources (general approach);
- b) Focus group research (procedures);
- c) Household survey research (procedures);

- d) Medical research (procedures); and
- e) Estimating weapons possession (method).

## **Annex A**

### **(Informative)**

### **References**

The following informative documents contain provisions, which, through reference in this text, constitute provisions of this part of the standard. For dated references, subsequent amendments to, or revisions of, any of these publications do not apply. However, parties to agreements based on this part of the standard are encouraged to investigate the possibility of applying the most recent editions of the normative documents indicated below. For undated references, the latest edition of the normative document referred to applies. Members of ISO and IEC maintain registers of currently valid ISO or EN:

- a) RMDS/G 05.80 - SALW Survey;
- b) Survey Protocol 2 - Survey goals and objectives;
- c) Survey Protocol 3 - Guidelines for research work with the general public;
- d) Survey protocol 4 - Assessing demand for SALW;
- e) Survey Protocol 5 - "Question bank".

The latest version/edition of these references should be used. SEESAC holds copies of all references used in this standard. A register of the latest version/edition of the survey protocols is maintained by the SEESAC, and can be read on the SEESAC website: [www.seesac.org](http://www.seesac.org). National SALW authorities, employers and other interested bodies and organisations should obtain copies before commencing SALW programmes.

## **Annex B**

### **(Informative)**

## **Terms and definitions**

### **B.1.1**

#### **micro-disarmament**

the collection, control and disposal of small arms, ammunition, explosives, light and heavy weapons of combatants and often also of the civilian population. It includes the development of responsible arms management programmes.

### **B.1.2**

#### **national authority**

the government department(s), organization(s) or institution(s) in a country charged with the regulation, management and coordination of **SALW** activities.

### **B.1.3**

#### **Small Arms and Light Weapons (SALW)**

all lethal conventional munitions that can be carried by an individual combatant or a light vehicle, that also do not require a substantial logistic and maintenance capability.

Note: There are a variety of definitions for SALW circulating and international consensus on a “correct” definition has yet to be agreed. For the purposes of this document the above definition will be used.<sup>4</sup>

### **B.1.4**

#### **Small Arms Capacity Survey (SACS)**

the component of SALW survey that collects data on the indigenous resources available to respond to the SALW problem.

### **B.1.5**

#### **Small Arms Distribution Assessment (SADS)**

the component of SALW survey that collects data on the type, quantity, ownership, distribution and movement of SALW within the country or region.

### **B.1.6**

#### **Small Arms Impact Survey (SAIS)**

the component of SALW survey that collects data on the impact of SALW on the community and social and economic development.

### **B.1.7**

#### **Small Arms Perception Survey (SAPS)**

the component of SALW survey that collects qualitative and quantitative information, via focus groups, interviews, and household surveys, on the attitudes of the local community to SALW and possible interventions.

### **B.1.8**

#### **standard**

a standard is a documented agreement containing technical specifications or other precise criteria to be used consistently as rules, guidelines, or definitions of characteristics to ensure that materials, products, processes and services are fit for their purpose.

Note: RMDS/G aim to improve safety and efficiency in micro-disarmament by promoting the preferred procedures and practices at both headquarters and field level. To be effective, the standards should be definable, measurable, achievable and verifiable.

---

<sup>4</sup> The Small Arms Survey uses the UN ‘definition’ and does not yet formally ‘accept’ this particular definition. SEESAC does not use the UN ‘definition’ as it is a list of certain weapon types and is not technically accurate, in that it does not contain all weapon types that could be classed as SALW.

**B.1.9**

**survey (SALW Survey)**

a systematic and logical process to determine the nature and extent of SALW proliferation and impact within a region, nation or community in order to provide accurate data and information for a safe, effective and efficient intervention by an appropriate organisation.