



SALW Survey Protocol 2

2nd Edition

SALW Survey goals and objectives

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Foreword

On 08 May 2003 the development of regional micro-disarmament¹ 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/G² 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)³ 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 standard, together with background information on the development work, can be found at 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.

¹ 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.

² 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 and the Small Arms Survey during the development of RMDS/G and the related Survey Protocols.

³ There is no agreed international definition of SALW. 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 2 - Goals and objectives

1 Scope

This Survey Protocol establishes goals and objectives for the SALW survey component of an integrated SALW programme, and complements SALW Survey Protocols 1, 3, 4 and 5.

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.

2 References

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.

3 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 of standards 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.

4 Research Goal

To analyse and understand the extent of the SALW problem in affected countries, focusing on weapons acquisition, distribution, circulation, impact and control. 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.

5 Research Objectives

Specific research objectives could include:

- a) Highlighting the political, economic, historical, social and cultural context relevant for understanding the SALW situation;
- b) Assessing the geographic and demographic distribution, availability, possession and use of SALW;
- c) Highlighting SALW circulation, trafficking, and proliferation;
- d) Showing the impact of SALW on society, both direct and indirect;

- e) Outlining measures established and needed to control, solve and otherwise manage the SALW situation; and
- f) Sketching the implications of SALW problems based on the data gathered and analyzed.

Research Objectives	Data Required	Data Sources
1. Highlight the political, economic, historical, social and cultural context relevant for understanding SALW situation.	<ul style="list-style-type: none"> <input type="checkbox"/> Levels of development and stability; <input type="checkbox"/> Causes of any violence or conflict; and <input type="checkbox"/> Historical and cultural interpretations of weapons' possession and use. 	<ul style="list-style-type: none"> <input type="checkbox"/> Primary (government documents and statistics, interviews) and secondary sources (historical accounts, expert interpretations); and <input type="checkbox"/> Workshops/discussions with expert analysts with anthropological, sociological, psychological, historical, and political perspectives.
2. Assess the geographic and demographic distribution, availability, possession, storage and use of SALW.	<ul style="list-style-type: none"> <input type="checkbox"/> SALW acquisition, possession, distribution, storage and use among authorities (police and military forces), paramilitary forces, private security firms, ex-combatants, civilians, and any other relevant parties; <input type="checkbox"/> Types of SALW that have been acquired, are possessed and distributed throughout the country/territory; <input type="checkbox"/> SALW production – sales and distribution as appropriate; and <input type="checkbox"/> Capacities for weapons collection and destruction. 	<ul style="list-style-type: none"> <input type="checkbox"/> Primary (government documents and statistics, interviews with relevant authorities, officials, and experts, invoices, end-user certificates, focus groups) and secondary sources (international and local media, expert analyses, and relevant databases); <input type="checkbox"/> Upper and lower thresholds are to be established and adjusted for loss, collection, and destruction; <input type="checkbox"/> Past and present collection programme data and information; and <input type="checkbox"/> Surveys of paramilitary forces and ex-combatants if feasible.
3. Highlight the SALW circulation, trafficking and proliferation into, out of and throughout country/territory.	<ul style="list-style-type: none"> <input type="checkbox"/> Trafficking sources; in-country and trans-border movements; <input type="checkbox"/> Key transit points; and <input type="checkbox"/> SALW prices, sources, buyers, and values. 	<ul style="list-style-type: none"> <input type="checkbox"/> Primary (government official and expert interviews, documents, border site inspections) and secondary sources (international and local media, expert analyses, international organization authorities, and relevant databases); <input type="checkbox"/> Community focus groups; and <input type="checkbox"/> Review of weapons collection data.

Research Objectives	Data Required	Data Sources
<p>4. Show the impact of SALW on society – direct and indirect</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Impact on health and welfare (fatalities and injuries) of population; <input type="checkbox"/> Impact on political and economic development and stability; <input type="checkbox"/> Impact on criminal activity; and <input type="checkbox"/> Impact on community perceptions of security and insecurity, security providers, gun impact and control initiatives. 	<ul style="list-style-type: none"> <input type="checkbox"/> Review of patient records at area hospitals to establish fatal and non-fatal injuries attributed to SALW, as well as the demographics of the injuries; <input type="checkbox"/> Statistics, documents and interviews with officials and experts relevant for political and economic development; <input type="checkbox"/> Crime statistics obtained from police forces; and <input type="checkbox"/> Focus groups conducted in sample towns/areas where citizen participants address questions on definitions of security and insecurity, identification of key security providers, key users of weapons, types of weapons in the area and types of actions in which they are used, weapons possession and use among youth and in schools, and potential support for collection efforts (focus group leader facilitates participant preparation of lists, maps and comparisons).
<p>5. Outline and evaluate the measures established and needed to control, solve and otherwise manage the SALW situation.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Legal bases (laws, regulations, and decrees); <input type="checkbox"/> Customs authorities and border controls; <input type="checkbox"/> Licensing of SALW exports, imports, transits, trans-shipments and civilian possession; <input type="checkbox"/> Government cooperation (interagency processes and oversight); <input type="checkbox"/> Use of export and possession criteria; <input type="checkbox"/> Acceptance of and adherence to norms of non-proliferation; <input type="checkbox"/> Involvement in regional and international regimes and cooperative efforts; <input type="checkbox"/> Domestic and international transparency – sharing of information, standardized and regular reporting; and <input type="checkbox"/> NGO, civil society participation and efforts. 	<ul style="list-style-type: none"> <input type="checkbox"/> Primary (government documents, reports, laws, regulations, decrees; interviews with officials, authorities and experts; budgetary commitments; personnel figures; observation of procedures and on-site/border inspections/visits) and secondary sources (international and local media; expert analysis; relevant databases); <input type="checkbox"/> Interviews with NGO and civil society actors and consideration of NGO and civil society programmes.

Research Objectives	Data Required	Data Sources
<p>6. Sketch the implications of SALW problems based on the data gathered and analyzed.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> SALW problem in general; <input type="checkbox"/> Specific SALW problems; and <input type="checkbox"/> General and specific findings and their significance. 	<ul style="list-style-type: none"> <input type="checkbox"/> Analysis based on ideas of causation and/or correlation; <input type="checkbox"/> The process of SALW acquisition, distribution, availability, proliferation traced and connected to various direct and indirect impacts; and <input type="checkbox"/> Measures evaluated based on effectiveness (level of and capacity for development and implementation of control measures)

Annex A (Normative) References

The following normative 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; and
- b) Survey Protocol 1 - General research guide.
- 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 SEESAC and can be found on their website: 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 RMDS/G the above definition will be used.

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 Survey (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.

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.