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SALW Survey

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Foreword

On 08 May 2003 the development of regional micro-disarmament[1] standards and guidelines was discussed during the RACVIAC sponsored seminar on '***SALW - A year after Implementation of the Stability Pact Plan*** '. The consensus was that such standards and guidelines were desirable, and SEESAC agreed to develop a framework and then take responsibility for the future development of regional standards. It was agreed RMDS/G would be designed to support the work at the operational level, and would go further than the more generic 'best practice' documents currently available. After a wide-ranging discussion between stakeholders as to the status of RMDS/G it has been agreed that the term 'standards' will refer to the technical issues, whilst 'guidelines' will apply to 'programme' issues.

This RMDS/G [2] reflects the development of operational procedures, practices and norms, which have occurred over the past four years in the area of Small Arms and Light Weapons (SALW)[3] Control. Best operational practices have been identified and reviewed from within the region and beyond, and included as appropriate within this RMDS/G.

SEESAC has a mandate under the Stability Pact Regional Implementation Plan to fulfil, among others, operational objectives of 1) sharing information on and enhancing co-operation in the establishment and implementation of SALW Control and reduction programmes and approaches among regional actors; and 2) providing linkage and co-ordination with the other relevant regional initiatives. The development of RMDS/G is one means of fulfilling that mandate.

The work of preparing, reviewing and revising these standards and guidelines is conducted by SEESAC, with the support of international, governmental and non-governmental organisations and consultants. The latest version of each standard, together with background information on the development work, can be found at www.seesac.org. RMDS/G are reviewed at least every three years to reflect developing SALW Control norms and practices, and to incorporate changes to international regulations and requirements. The latest review was conducted on 01 March 2006, which has reflected the development of the UN Integrated Disarmament, Demobilization and Reintegration Standards (IDDRS) www.unddr.org, which include RMDS/G as a normative reference in the Disarmament and the SALW Control modules, and further incorporates a new SALW Demand Survey Protocol.

[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 in the past, but SALW Control is now the recognised terminology. The term Micro-Disarmament has only been used here to ensure consistency of the RMDS/G concept, rather than renaming the standards.

[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 during the development of RMDS/G.

[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***"

Introduction

Small arms, light weapons and ammunition (SALW) are inherently dangerous. In the wrong hands, and in sufficient quantities, they can be politically destabilising, and lead to and exacerbate conflict. As such, they can present grave dangers, both to national governments and to international and regional peace-building efforts. The only way they can be kept in check is by programmes for SALW Control. It is of paramount importance that a comprehensive Survey be the first stage of any SALW related intervention by the national authority and/or the international community. The functional analysis of SALW programmes has identified that initial data collection has a major influence on programme design and future success; yet this has been rarely done in any SALW programme to date.

The contents of this RMDS/G are based on innovative approaches to SALW data collection made by the Small Arms Survey through the UNDP projects in Kosovo and Macedonia, as well as the Saferworld and ISS research in Tanzania.[4] They have been further developed according to lessons learned from SALW Surveys conducted in Albania, Bosnia-Herzegovina, Bulgaria, Croatia, Kosovo, Moldova, Montenegro and Serbia between 2003 and 2006.

It is important to note that Survey, in the context of RMDS/G and SALW Control programme planning, is a distinct operation task that should be conducted as part of the preparatory assistance phase of a SALW Control intervention.

This RMDS/G concentrates on the requirements for Surveys and recommends appropriate Survey protocols for use on future SALW Surveys.

[4] The Impact of Small Arms in Tanzania, Country Survey, ISS Monograph 70, March 2002, and *Resolving Small Arms Proliferation: the Development and Implementation of National Action Plans on Arms Management and Disarmament* by Jakkie Potgieter and Angus Urquhart, SaferAfrica and Saferworld, Pretoria, 2003.

SALW Survey

1 Scope

This RMDS/G establishes the guiding principles and protocols for the 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.

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 standard 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 RMDS/G series of standards, 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 Advantages of Survey

The lack of detailed information during past SALW Control programmes has, arguably, been a barrier to safe, effective and efficient national and international initiatives in this area. An integrated and comprehensive approach during programme planning is essential for programme success, and therefore the development and conduct of a comprehensive Survey is crucial. A SALW Survey will enable:

a) the “need” for weapons and ammunition to be identified;

b) the development of appropriate interventions or solutions based on Survey results, thereby contributing to the efficiency of other components of the planned intervention; and

c) the monitoring and evaluation of the impact of interventions based on pre-selected and agreed performance indicators.

It is recognised that the specific needs and situation of each country are different, but the methodology recommended in this RMDS/G provides a framework for the development of an effective Survey. What is essential is that the Survey identifies and promotes the linkages between SALW Control and wider development and security sector issues.

5 Aim of Survey

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

6 Survey phases

6.1 Preparatory phase

Ideally a national commission, or focal point, will have been established at programme conception. This national authority should identify the objectives of the SALW programme (see RMDS/G 01.10); these objectives will then dictate Survey priorities.

6.2 Data collection phase

There are four major components of a comprehensive SALW Survey:

a) **Small Arms Distribution Survey (SADS)**. This collects data on the type, quantity, ownership, distribution and movement of SALW within the country or region;

b) **Small Arms Impact Survey (SAIS)**. This collects data on the impact of SALW on different members of the community and social and economic development; and

c) **Small Arms Perception Survey (SAPS)**. This collects qualitative information on the attitudes of diverse actors (female and male, old and young) in the local community to SALW ownership, effects and usage and possible interventions.

- **Small Arms Demand Survey (SADS)**: Building on the SAPS, the SADS more specifically focuses on the motivations and means for SALW acquisition and ownership, providing more detailed information on SALW demand allowing for future SALW Control and Safer Community initiatives to target SALW reduction in a more comprehensive manner than previously possible.

d) **Small Arms Capacity Survey (SACS)**. This collects information on the indigenous capacity to conduct an appropriate, safe, efficient and effective SALW intervention.

Further details on the information and data collection requirements for each of these follow later.

6.3 Data analysis phase

The information and data collected should then be analysed with regard to the national SALW programme objectives. This analysis will identify the nature and extent of the SALW problem, the resources available, resources required to make an effective intervention and an indication of the type of SALW collection programme with the highest possibility of success.

6.4 Confirmatory phase

Should unexpected, or what appears to be unrealistic data, be identified during the analysis phase, the SALW Survey organisation may wish to redo that particular component of the SALW Survey to ensure that the data is an accurate reflection of the real SALW situation.

7 SALW Survey components

7.1 Small Arms Distribution Survey (SADS)

The following information should be included as part of the SADA:

a) quantity of illegal SALW;

b) quantity of legal SALW (government owned);

c) quantity of legal SALW (civilian registered);

d) SALW locations and distribution;

e) illicit trafficking routes;

f) SALW production facilities;

g) the amount of legal trade, (the level of imports and exports of SALW and the use of the country as a transit route for legal trade);

h) SALW storage facilities;

i) demand for gun licences and approval/rejection details; and

j) demographics of legal and illegal SALW holdings.

7.2 Small Arms Impact Survey (SAIS) [5]

Survey results shall clearly show aggregated results, and when appropriate, shall be disaggregated to give an accurate picture of differences in impact according to the age, sex, location (rural/peri-urban/urban) and where relevant, ethnicity and religion of communities surveyed. The following information should be included as part of the SAIS:.

a) impact of SALW on criminal activities;

b) impact of SALW on casualties and health facilities;

c) economic impact of SALW on trade, direct and indirect investment, unemployment and exports/imports;

d) impact of SALW on humanitarian operations;

e) impact of SALW on development activities; and

f) impact of SALW on tourism.

7.3 Small Arms Perception Survey (SAPS)

The following information, again disaggregated, should be included as part of the SAPS:

a) perceptions of SALW availability and ownership;

b) perceptions of SALW use;

c) perceptions of SALW on conflict resolution at individual, group and state level;

d) perceptions of ‘gun culture’;

e) perceptions towards SALW acquisition;

f) individual and community views towards human security;

g) individual and community views towards security providers;

h) individual and community perceptions of the impact of SALW on society;

[5] Information here should be obtained on a qualitative basis. A wider perspective of “impact” can also be gained by looking at the results from the SAPS.

i) individual, community and state perceptions towards SALW Control;

j) individual perceptions towards intervention strategy options;

k) capacity of civil society organisations to raise awareness about SALW.

7.3.1. Small Arms Demand Survey (SADS)

The following information should be gathered for this Survey:

a) individual and group motivations for/against SALW possession;

b) socio-economic and cultural preferences for SALW possession;

c) human, social, and capital resources available for SALW possession relative to the real and relative price of SALW; and

d) socially-mediated constraints on SALW possession.

7.4 Small Arms Capacity Survey (SACS) [6]

The following information should be included as part of the SACS:

a) national SALW legislative issues;

b) national SALW storage capabilities;

c) national SALW accounting system;

d) national SALW registration system;

e) capacity of appropriate security agencies to conduct safe, efficient and effective collection;

f) SALW destruction capacities for weapons and ammunition;

g) EOD capability of appropriate security agencies;

h) national SALW information gathering capabilities; and

i) civil society organisations (CSO) / NGO capacities to support SALW interventions.

8 Design and conduct of Survey operations

8.1 Survey design

A wide range of research methods should be used to Survey SALW distribution, impact, perceptions and demand. This will contribute to the reliability of the overall Survey and could compensate for possible implementer or respondent bias.

[6] This may also include an assessment of what has already been done or is being done, and how effective this is. Other areas of interest would be what resources are available (governmental and non-governmental), how these are being used (this should include things such as the delivery of security services such as policing approaches), and from this how the resources can be more effectively used and what additional resources are needed – this kind of resource assessment needs to look at “hard facts” like budgets and also “softer” issues of skills, institutional organisation, communication structures etc.

In general, various data-collection methods should be employed to confirm, reject, and otherwise analyse the data in an effort to enhance its accuracy and the research team's ability to generalise the results. Moreover, some data collection techniques may involve removal of questions that could indicate illegal activities by the respondents, although gun ownership and movement issues shall be included.

Sensitive or security related questions should be placed among other socio-economic questions to ensure that they are not too obvious. Special attention should be paid to utilising methods that encourage the participation of marginalised or vulnerable groups (women, children, ethnic minorities). The following approaches should be considered:

a) household questionnaires, in which women and men are interviewed separately if necessary;

b) key informant interviews;

c) focus groups, which should be age and gender segregated when possible;

d) national and academic databases; and

e) other related surveys or reports.

8.2 SALW Survey protocols [7]

The Geneva based Small Arms Survey (www.smallarmssurvey.org) has developed a set of logical and structure Survey protocols in partnership with SEESAC. Organisations conducting SALW Surveys should, where appropriate, use these protocols to ensure that the most comprehensive Survey possible is conducted within available resources.

8.3 Quantitative versus qualitative methodologies [8]

There is an assumption that programme managers, communities and donors prefer quantitative data and there are a range of methodologies available for the collection of data. Often those more interactive and qualitative methodologies, such as participatory research, the use of focus groups and observation, provide more textured information. Quantitative Surveys could be criticised for 'boxing' respondents into predetermined categories, for not allowing nuances and for lending themselves to 'blueprint' planning. Therefore a balance between both approaches should be aimed for.

8.4 Error margins

For each Survey activity, an acceptable margin of error should be identified and agreed by those conducting, implementing, interpreting, and presenting the Survey research in order to establish a sufficiently accurate and representative picture of the SALW situation and to understand the extent to which the Survey results are representative of all aspects of the SALW situation in the Survey area.

8.5 Survey personnel

Independent, neutral and impartial personnel should be identified, by sex, age and ethnic balance, to collect the Survey data and information. The following factors should be considered during personnel selection:

a) the selected personnel must, by their integrity and diversity, contribute to the community's willingness to 'buy-in' to the disarmament process;

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[7] Other organisations, such as Saferworld and SaferAfrica, have developed Survey methodologies that may also be considered for use, so long as they are consistent with this RMDS/G and the ethos of the Small Arms Survey protocols.

[8] Source: The Impact of Small Arms in Tanzania, Country Survey, ISS Monograph 70, March 2002.

b) the selected personnel must, by their actions, contribute to the wider confidence and security building process between civil society and law enforcement agencies; and

c) the extent to which a national capacity building element can be introduced.

8.6 Linkage to mid-term and post intervention evaluation

As one of the major aims of SALW Survey is to provide relevant information as the basis for a SALW intervention then the Survey should be designed to build in components that can be used to evaluate the effectiveness or otherwise of the intervention, and will then allow for the intervention to be adapted accordingly. The Survey questionnaires should be designed in such a way that they can be adapted for evaluation purposes, thereby allowing direct comparisons of the pre and post SALW intervention situation.

9 Areas of responsibility

9.1 United Nations Development Programme (UNDP)

UNDP has a general responsibility for enabling and encouraging the effective management of SALW Control programmes by continuously maintaining an overview of RMDS/G to reflect developing SALW Control norms and practices, and to inform of any changes to international regulations and requirements.

UNDP should apply RMDS/G to its SALW Survey activities and contracts within South Eastern and Eastern Europe unless the local situation precludes their effective application. In such circumstances, when one or more clauses of the RMDS/G is not appropriate, UNDP will provide alternative, specifications, requirements and guidance.

9.2 Regional organizations

In certain areas of the world, regional organizations have been given a mandate by their member states to coordinate and support SALW Control programmes within a state's national boundaries. (For example, EUFOR within Bosnia and Herzegovina).

In these circumstances the regional organization should assume many of the responsibilities and roles of the national SALW authority, and could also act as a conduit for donor resources. The responsibilities and roles of regional organizations for SALW Control, including SALW Survey, will vary from state to state and may be subject to a specific Memorandum of Understanding, or similar agreement.

9.3 SEESAC

SEESAC shall provide operational assistance, technical assistance and management information, within resources and on request, to all SALW Survey programmes within South Eastern and Eastern Europe.

9.4 Small Arms Survey

As the primary research institute focused on the SALW Survey issue, operating with a mandate to study small arms in a scientific manner and generate reliable and accurate data, the Small Arms Survey should be responsible for Survey design and implementation (Survey protocols) in order to produce substantive knowledge of SALW proliferation and its impact.[9]

[9] The physical conduct of SALW Surveys on behalf of UN organizations shall, of course, be tendered for in accordance with UN financial regulations.

9.5 National SALW authority

The national SALW authority should be responsible for ensuring the conditions that enable the effective management of national SALW projects. The national SALW authority is ultimately responsible for developing and managing the SALW intervention programme within its national boundaries.

The national SALW authority should be responsible for establishing and maintaining national regulations and procedures for the management of SALW Survey activities. These national regulations and procedures should be consistent with RMDS/G, and other relevant national and international standards, regulations and requirements.

9.6 SALW Control organizations

NGOs, commercial companies and other organizations involved in SALW Survey activities shall establish Standing Operating Procedures (SOP), instructions and procedures, which enable SALW Survey activities to be conducted effectively, efficiently and safely in accordance with sound quality management principles. These SOPs should be based on the appropriate national regulations, or in their absence RMDS/G.

9.7 National and Regional Communities

It is the responsibility of national and regional communities and factions to assist the national SALW authority, and other regional and international authorities in the establishment and implementation of SALW Control measures, including direct support for Survey operations.

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) Small Arms Survey, SALW Survey Protocol 1, General Research Guide;

b) Small Arms Survey, SALW Survey Protocol 2, Survey Goals and Objectives;

c) Small Arms Survey, SALW Survey Protocol 3, Sample Questionnaires; and

d) Small Arms Survey, SALW Survey Protocol 4, Assessing Demand for SALW.

The latest version/edition of these references should be used. SEESAC hold copies of all references used in this standard. A register of the latest version/edition of the RMDS/G standards, guides and references is maintained by SEESAC, and can be read on the RMDS/G 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
ammunition
See **munition**

B.1.2
explosives
a substance or mixture of substances which, under external influences, is capable of rapidly releasing energy in the form of gases and heat. [AAP-6]

B.1.3
munition
a complete device charged with **explosives**, propellants, pyrotechnics, initiating composition, or nuclear, biological or chemical material for use in military operations, including **demolitions**. [AAP-6].

Note: In common usage, “munitions” (plural) can be military weapons, ammunition and equipment.

B.1.4
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.1.5
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.1.6
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.1.7
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.1.8
Small Arms Demand Survey (SADS)
the component of SALW Survey that builds on the SAPS and collects more specific data on motivations and means for SALW acquisition and ownership.

B.1.9
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.1.10
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.1.11
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.1.12
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 SALW Control 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.1.13
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.