

Guidelines for Annex 2: UNSCAR Logical/Results Framework

Why is a Logical/Results Framework needed?

A logical/results framework (also known as log frame or log frame matrix) is a tool to support results-oriented project planning and management. It is a core tool for project cycle management and improves project planning and evaluation by clearly defining objectives to monitor and evaluate the success of the project.

Logical/results frameworks are used by most multilateral and bilateral agencies involved in project funding and/or management, and often constitute an essential component in planning and programming, including the funding application process.

The United Nations Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR) requests all applicants to fill in logical/results frameworks as part of their project proposal.

A logical/results framework allows implementing partners to analyse and organise information in a structured way, which in return provides UNSCAR with an understanding of the project rationale, its intended objectives, and the means, by which objectives will be achieved and the extent to which they have been achieved.

The logical/results framework also helps:

- Analyse an existing situation (**baseline**), including the identification of stakeholders' needs and the definition of related objectives;
- Establish a link between *activities and products, outputs, outcomes* and the *overall goal*;
- Define the *assumptions* on which the project logic builds;
- Identify the *potential risks* for achieving the objectives;
- Establish a system for *monitoring and evaluating* project performance;
- Present a summary of the project in a standard format;
- Provide an overview of return on investment: what return is delivered from resources and costs invested in each activity;
- Define the project structure; test its internal logic and risks; and formulate measurable indicators of success (*target*);
- Schedule activities including their sequencing, estimation of duration and assigning responsibilities;
- Act as a resource for budgeting, and
- Create a basis for communication between UNSCAR and implementing partners.

How to develop a Logical/results Framework for UNSCAR:

The UNSCAR log frame is divided into rows, which reflect the long- to short-term objectives ranging from top to bottom:

- Goal (overall objective);
- Outcome (**what** will be achieved, **who** will benefit, and **by when**);
- Outputs (specific results/products the project will deliver);
- Activities (what tasks need to be done in order for the output to be delivered).

These are achieved and measured by the headings from left to right:

- Objectives (summary);
- Indicators (how you’ll measure the achievements);
- Means of verification (how you’ll collect the information for the indicators);
- Risks/assumptions (external conditions needed to get results).

In addition, the log frame requires that the actual necessary tasks produce the desired outputs to be listed under activities, including inputs/resources and the costs involved.

Applicants are required to fill in the logical/results framework in a clear and detailed style.

The **recommended sequence to completing** the logical/result framework is:

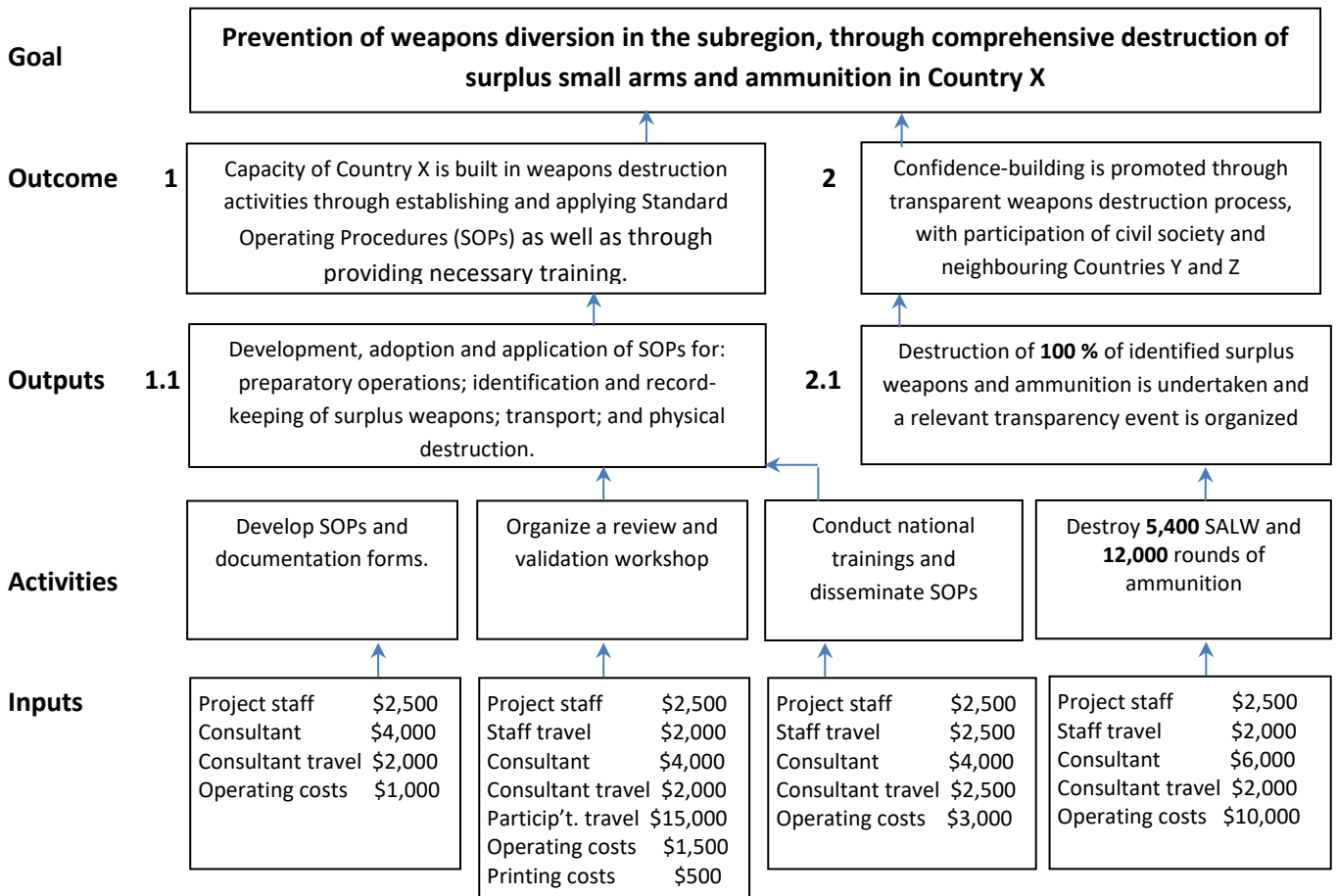
1. **Define objectives and hierarchy** — Start with the overall goal, followed by the outcomes, outputs and the activities (top down);
2. **List the Risks/Assumptions** (bottom-up), and
3. Finish with **Developing Indicators and means of verification**, including available baseline and attainable targets (working across) and the activity input/resources and costs

Logical Framework		UNSCAR Regulate weaponry – develop community		
Title of Project:				
Organization (short form):				
Date:				
	Objectives	Indicators	Means of Verification	Risk/Assumptions
GOAL				
OUTCOME 1				
Output 1.1				
Activities	Description of Activity	Input/Resources (incl. breakdown of costs)	Costs (USD)	Risk/Assumptions
1.1.1				
Output 1.2 (if applicable)				
Activities	Description of Activity	Input/Resources (incl. breakdown of costs)	Costs (USD)	Risk/Assumptions
1.2.1				
1.2.2				
1.2.3				
Output 1.3 (if applicable)				
Activities	Description of Activity	Input/Resources (incl. breakdown of costs)	Costs (USD)	Risk/Assumptions
1.3.1				

1. Define objectives and hierarchy

This step includes the strategy of what the project intends to do. It shows the causal relationship between the different levels. You may find it helpful to draft a visual overview of objectives before filling in the details of the logical/results framework.

Example of a simple visual project hierarchy (part of project down to Outputs 2.1)



Projects can have one or several outcomes. Each outcome requires a separate section of the UNSCAR logical/results framework to be filled in.

Each outcome can have up to three outputs, under which up to three activities can be listed.

Breakdown of required inputs and resources, including costs for each activity should be explained.

2. List Risks/Assumptions

Define what conditions need to be given so that your objectives can succeed. This includes possible conditions which could affect the progress of the project, but which may not be under direct control of the project management. (The separate UNSCAR risk assessment [to be submitted when selected] derives from these assumptions. It specifies some of the risks identified here and outlines how the implementing partner will mitigate them).

3. Develop Indicators and Means of Verification

Indicators are measures which determine whether the objectives on each level have been achieved and if so, to what level. Listing indicators and means of verifications should be done horizontally. Indicators should be specific, measurable, achievable, realistic, time bound, and independent (SMARTI). In order to meet these criteria, indicators *should*, where possible, include:

- **Baseline** – Quantitative projection of current status
- **Quality** - The kind (or nature) of the impact, (how well);
- **Quantity** - The scope/extent of the impact, (how much, how many, how often);
- **Timing** - When the change should have taken place. (by when);
- **Target group** - (for whom);
- **Place** - Location (where).

Examples of good indicators:

- 10,000 (quantity) state-owned weapons (target group) in Country X (place) marked by 2020 (timing).
- More than 50% (quantity) of participants (target group) from Region X (place) take actions in line with training modules (quality) as a result of the workshop within 3 months of the workshop (timing).
- Tracing database developed by the end of the project (timing), validated by relevant authorities (quality), and used monthly (quantity) by national ITI focal point (target group).
- Independent (quality) risk assessments completed for at least 2 more facilities (quantity) where state-owned SALW are stockpiled (target group) in 2019 (timing).

Means of verification pertain to where and in what form information on the achievements can be made available.

In the following section ‘Guidance and Questions for the UNSCAR’s Logical/Results Framework’, definitions and guiding questions are outlined for each field of the logical/results framework matrix. **This is intended as guidance only and should not be completed as a questionnaire.**

Guidance and Questions for the UNSCAR’s Logical/Results Framework

	Objectives <i>project description, logic of intervention</i>	Indicators <i>objectively verifiable indicators, performance</i>	Means of Verification <i>sources of verification, monitoring mechanism</i>	Risks/Assumptions <i>preconditions, external factors</i>
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	Includes the strategy of what the project intends to do. Shows causal relationship between the different levels.	Measures whether the objectives on each level have been achieved and if so, to what level. Indicators must be verifiable.	Indicates where and in what form information on the achievements can be found.	Includes conditions which could affect the progress of the project, but which are not under direct control of the project management.
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	Objectives	Indicators	Means of Verification	Risks/Assumptions
Goal <i>Overall objective</i>	What is the project's impact in a wider context, including long-term overall project benefits to society? The goal is the higher-order objective that you are seeking to achieve through this project, often in combination with others. Commonly expressed using the language: "To contribute to...".	Indicates the contribution the project makes to the overall objective.	Includes information on how indicators can be verified.	Assumptions are external factors that have the potential to influence (or even determine) the success of a project but lie outside the direct control of project managers.
	<ul style="list-style-type: none"> - <i>What is the broader objective which the project will help to achieve?</i> - <i>In what context will the project contribute towards a common goal?</i> - <i>What is the overall objective (the general purpose) of the project?</i> - <i>What contribution will the project make to society?</i> 	<ul style="list-style-type: none"> - <i>What indicators are linked to the overall goal?</i> - <i>What indicators show to what extent the project contributed to the goal?</i> 	- <i>What source of information exists or can be provided to allow the goal to be measured?</i>	<ul style="list-style-type: none"> - <i>What factors and conditions, not under direct project control, are necessary to achieve the overall project objective?</i> - <i>What external factors are necessary to sustain the goal in the long run?</i>
Outcome <i>Specific objective of the project</i>	What is the direct benefit to the target group(s) and the essential motivation for the project? The outcome describes the intended situation at the end of the project. Commonly expressed using the language: "Increased/improved/enhanced etc." It often describes the change in behaviour of the project beneficiaries.	Includes conditions at the end of the project which indicate that the goal has been achieved.	See above.	See above.
	<ul style="list-style-type: none"> - <i>What are the intended immediate effects of the project?</i> - <i>What is the specific purpose of the project?</i> - <i>What are the sustainable benefits and to whom?</i> - <i>What improvements and changes will the project bring about?</i> 	- <i>What indicators show to what extent that the outcome has been achieved?</i>	- <i>What source of information exists or can be provided to allow the outcome to be measured?</i>	- <i>What factors and conditions, not under direct project control, are necessary to achieve the outcome?</i>

	Objectives	Indicators	Means of Verification	Risks/Assumptions
Output Results, products	Note the specifically intended results of the activities. The impact of the combined outputs should be sufficient to achieve the immediate outcome. Common language used to describe outputs includes: “delivered/produced/conducted.”	Define the deliverables of the projects. Always include specific numbers, if applicable.	See above.	See above.
	<ul style="list-style-type: none"> - <i>What are the concrete results/products of the activities which will contribute to the specific outcome of the project?</i> - <i>What output will be delivered and in what order to achieve the expected outcome?</i> 	<ul style="list-style-type: none"> - <i>What indicators show whether and to what extent that the output has been achieved?</i> - <i>By when will outputs be produced?</i> 	<ul style="list-style-type: none"> - <i>What source of information exists or can be provided to allow the output to be measured?</i> - <i>What are the sources of information to verify the achievements of the outputs?</i> 	<ul style="list-style-type: none"> - <i>What factors and conditions, not under direct project control, are necessary to achieve the output?</i>
Activities	<i>Description of Activity</i>	<i>Input/Resources (incl. breakdown of costs)</i>	<i>Costs</i>	<i>Risks/Assumptions</i>
	<ul style="list-style-type: none"> - <i>What are the key activities which will take place to deliver the outputs?</i> - <i>In what sequence will they be carried out?</i> 	<ul style="list-style-type: none"> - <i>What are the means required to implement these activities (e.g. personnel, equipment, training, studies, supplies, facilities) and How much do the resources cost?</i> 	<ul style="list-style-type: none"> - <i>What are the total action costs?</i> 	<ul style="list-style-type: none"> - <i>What factors and conditions, not under direct project control, are necessary to implement the activities?</i>

Example 1: Destroying surplus weapons (SALW) and ammunition

Please see example in Excel log frame template document

	Objectives	Indicators	Means of Verification	Risks/Assumptions
Goal	Prevention of weapons diversion in the subregion, through comprehensive destruction of surplus small arms and ammunition in Country X.	Baseline: No systematic data or information is available regarding weapons diverted from State-owned stockpiles. Target (in number): Risks of diversion are reduced through destroying 100% of weapons and ammunition that are identified as surplus stockpiles; and establishing SOPs for weapons destruction.	(1) Inventory of surplus weapons and ammunition to be destroyed; (2) SOPs and forms established and utilized for physical destruction.	All or part of relevant national authorities refuse to participate in the project.
Outcome 1	Capacity of Country X is built in weapons destruction activities through establishing and applying Standard Operating Procedures (SOPs), as well as through providing necessary training.	Baseline: Country X requested international assistance for capacity-building to implement weapons destruction activities. Target in number: Destruction SOPs, forms and other relevant documents are developed and fully documented in English and French.	Reports/evaluation from invited independent observers and media coverage.	Relevant authorities are not committed to adopting SOPs; or to training relevant staff.
Output 1.1.	Development, adoption and application of SOPs for preparatory operations; identification and record-keeping of surplus weapons; transport; and physical destruction.	Baseline: No SOPs for weapons destruction have been established. Target in number: SOPs are developed in accordance with MOSAIC and IATG guidelines and validated by relevant government authorities and security forces. 20 national workers are trained for weapons destruction.	(1) Delivery of SOPs; (2) Report and feedback from validation workshop; (3) List of national workers trained.	SOPs are not able to provide necessary foundation for weapons destruction due to: late delivery, poor quality, lack of agreement among national authorities or insufficient technical training.
Activities	<i>Description of Activity</i>	<i>Input/Resources (incl. breakdown of costs)</i>	<i>Costs</i>	<i>Risks/Assumptions</i>
1.1.1.	Develop SOPs and standardised documentation forms.	Project staff (0.5 mo) \$2,500 Consultant (0.5 mo) \$4,000 Consultant travel (incl. DSA) \$2,000 Operating costs (conference package) \$1,000	\$9,500	Quality of SOPs is not satisfactory.
1.1.2.	Organize validation workshop to validate draft SOPs with police/defence/security forces and relevant ministries and confirm commitment to its use.	Project staff (0.5 mo) \$2,500 Staff travel (incl. DSA) \$2,000 Consultant (0.5 mo) \$4,000 Consultant travel \$2,000 Participants travel (\$2,000x7+\$1,000x1) \$15,000 Operating costs (conf. package) \$1,500 Printing costs \$500	\$27,500	Relevant national authorities are not able to agree on or adopt SOPs.

1.1.3.	Conduct national trainings and disseminate SOPs and standardised forms among relevant work units with the police/defence/security forces.	Project staff (0.5 mo) Staff travel (incl. DSA) Consultant (0.5 mo.) Consultant travel (incl. DSA) Operating costs (training)	\$2,500 \$2,500 \$4,000 \$2,500 \$3,000	\$14,500	Relevant national authorities are not able to identify the most relevant staff for training; to have them participate in training; or to distribute SOPs to relevant sections.
Outcome 2	Confidence-building is promoted through transparent weapons destruction process, with participation of civil society and neighbouring Countries Y and Z.	Baseline: Country X has identified surplus weapons and ammunition. Target in number: Country X uses new SOPs to successfully destroy 100% of ammunition identified as surplus, in accordance with the guidelines laid out in the SOPs.		Record-keeping of destroyed weapons; media report for the transparency event.	Relevant authorities are not committed to or not technically capable of effectively undertaking destruction duties within the time frame of the project.
Output 2.1	Destruction of all weapons and ammunition that are identified as surplus are destroyed; and a relevant transparency event is organized.	Baseline: No previous transparency event for surplus weapons destruction. Target in number: (1) 5,400 weapons and 12,000 rounds of ammunition identified as surplus in Country X are destroyed per MOSAIC and IATG guidelines during project implementation; (2) a transparency event for the destruction of weapons is held.		Record-keeping of destroyed weapons; media report for the transparency event.	Destruction are not implemented effectively or completed within the time frame of the project.
Activities	Description of Activity	Input/Resources (incl. breakdown of costs)		Costs	Risks/Assumptions
2.1.1	Destroy 54,00 weapons and 12,000 rounds of ammunition.	Project staff Staff travel Consultant Consultant travel Operating costs (transport of weapons)	\$2,500 \$2,000 \$6,000 \$2,000 \$10,000	\$22,500	Relevant authorities of Country X are not willing or competent to perform the destruction duty.
2.1.2	Organize a transparency event.	Project staff Staff travel Consultant Consultant travel Participants travel Operating costs	\$2,500 \$1,000 \$4,000 \$1,000 \$5,000 \$5,000	\$18,500	Civil societies and neighbouring Countries Y and Z are not willing to attend or support the event.

Total Direct Costs**\$92,500.00****Total Indirect Costs (7%)****\$6,475.00****Total Budget****\$98,975.00**