

Project Management *Handbook*



1. Introduction – Setting Our Sights



As a tool kit used to implement the vision and mission behind the grantmaking of the UBS Optimus Foundation (UBSOF), the project management handbook elaborates the processes and tools for identifying, selecting, monitoring and evaluating projects.

The handbook, which is essentially an internal guide for day-to-day decision-making and project management, elaborates principles and protocols for UBSOF's grantmaking team and for all staff, associated experts and partners.

In its grantmaking approach, UBSOF looks for unconventional, promising ideas that can be further developed, validated, promoted and disseminated. These decisions are fundamentally driven by an open mind and profound expertise in topics relevant to UBSOF – in short, by the highly skilled analysis of UBSOF experts at management and board levels

The balance between creativity and accountability requires a systematic approach to project management. In other words, it requires a **practical tool** that helps UBSOF deliver on its mission of transforming the best ideas into action.

Chapter two introduces UBSOF's values and beliefs behind grantmaking and contains the topic areas entitled "Education and Child Protection" and "Global Health Research". This chapter also describes the types of projects UBSOF typically funds.

Chapter three provides detailed insight into the UBSOF grantmaking value chain, which refers to the different phases of project funding. Successful identification and development of the most promising projects requires informed decisions at every stage of the value chain. Grantmaking decisions must rely on transparent evaluation and impact-measurement criteria.

“When simplicity is broken up, it is made into instruments. Evolved individuals who employ them are made into leaders. In this way, the great system is united.”

Lao Tzu (6th century BC)

Validating and disseminating ideas relies on different expertise at different times. It is critical that UBSOF carefully considers what and how to evaluate in order to gain a comprehensive picture of an idea's state and promise.

Chapter four addresses a project's lifecycle and explains processes and expectations for potential and current partners. This section highlights the frequent exchange and strong collaboration necessary for projects to succeed.

Chapter five establishes essential guidelines and criteria for UBSOF and potential grantees when the consideration of possible funding begins. Chapter six contains critical tools for selection, monitoring and evaluation.

In essence, this handbook translates the mind, body and soul behind UBSOF grantmaking into a practical tool. However, it is important to note that this is a living (dynamic) document that will evolve over time, not just in process but also in strategy, and that takes cues from the joint experience of UBSOF and its partners.

That said, target readers are not only internal staff. This handbook will be valuable to philanthropists, grantmakers, project applicants, evaluators or anyone interested in monitoring project development and measuring impact.

With the above factors in place, UBSOF is well equipped to account for transparency in the grantmaking decision process and to track and show progress and achievement. This helps UBSOF build and maintain its most precious commodity: credibility.

*The UBS Optimus Foundation Team
November 2010*

2. Our Grantmaking Vision and Mission



UBSOF is dedicated to improving the well-being of children across the world. All children deserve the chance to lead healthy, productive lives, which means they should have access to education and be safe from disease and abuse. It's a simple vision, but there is no simple solution.

As a grantmaking foundation, UBSOF does not seek to solve these problems on its own. Rather, the foundation seeks to catalyze effective and sustainable change via grantmaking.

“If you think you’re too small to have an impact, try going to bed with a mosquito.”

Anita Roddick

2.1 Our Grant Areas

UBSOF focuses on two core areas: education and child protection, and global health research. In order to achieve positive change for future generations, UBSOF pursues a needs-based approach. Sustainable and long-term inclusion of the communities and children that benefit from the project is always integrated into this approach.

Because of the vicious cycle linking poor health, lack of education, child abuse and long-term poverty, UBSOF identifies projects that address issues in these grantmaking areas, and that aim to generate long-lasting, positive changes in education, child protection and health.

| Children | |
|---|-----------------------------|
| Education and Child Protection | Global Health Research |
| Education and Upbringing | Child Health |
| Protection from Violence and Sexual Abuse | Neglected Tropical Diseases |
| Optimus Study | Stop Bruruli |

2.1.1 Education and Child Protection

As the title suggests, there are two focal areas in education and child protection:

Education is inextricably linked to upbringing. As such, UBSOF supports projects that enable more children to attend school and that improve educational opportunities for girls. It is important to UBSOF that fewer children leave school prematurely, that the quality of schools increases and that schools create safe and healthy learning environments. UBSOF particularly encourages projects in the field of early childhood care and development, as scientific evidence proves children are more likely to complete school if they receive support in the early years of life.

UBSOF also aims to significantly reduce the likelihood of violence and sexual abuse. Therefore, the foundation supports targeted prevention projects that sensitize society to the topic and protect children from becoming victims. These projects may include important components, such as research, intervention, awareness raising, advocacy and strengthening law enforcement. An initiative led by UBSOF is the Optimus Study, a cross-national project on child sexual abuse, with the goal of informing policy and interventions. The existence of reliable, evidence-based data on child sexual abuse will help galvanize political action on the issue.

2.1.2 Global Health Research

The topic of global health research also has two focal areas in neglected tropical diseases and in child health:

UBSOF funds projects to combat neglected tropical diseases, which are a range of diseases afflicting over 1 billion people worldwide, yet for which there is little financial or political prioritization because the most affected are the poorest populations, often living in remote, rural areas, urban slums or in conflict zones. For these diseases that typically lack safe, efficacious, affordable, or easy-to-use treatment or control, the foundation finances projects which seek to speed up the investigation of risk factors, new treatment methods, and vaccine development for these diseases.

One research initiative coordinated by the foundation is Stop Buruli, which is a transdisciplinary research effort that gives face to one of the world's most neglected diseases. Left undiagnosed and untreated, Buruli ulcer causes lifelong disability, serious disfigurement and social exclusion. An international research consortium consisting of eight high-calibre research teams from four continents works along four main axes: new tools for diagnosis, transmission studies, antibiotic treatment and socio-cultural aspects.

For the purposes of promoting child health, UBSOF supports research projects in health systems and hygiene-related diseases. Research in health systems facilitates quality of care and access to care, as well as the development, application and implementation of effective disease prevention and control strategies. For example, integrated nutrition and disease control programs drive exactly the kind of effective, community-wide health improvements UBSOF seeks to achieve. The foundation also invests in research to combat hygiene-related diseases such as diarrhea, diseases caused by Salmonella bacteria and worms, and other diseases resulting from unclean water, the use of wastewater in agriculture, and poor and unsanitary living conditions.



2.2 Putting Children's Welfare First

UBSOF is committed to the welfare of children around the world. The policy's overall goal is to protect them from abuse of all kinds.

In the area of education and child protection, UBSOF requires all of its partners to fully comply with a zero-tolerance policy for child abuse, exploitation and child pornography. UBSOF promotes and respects the standards set out by the 1989 Convention on the Rights of the Child, which outlines the fundamental rights of children within its sphere of influence.

UBSOF expects its partners to adhere to those standards, undertaking everything possible to prevent child maltreatment and to respond to and report maltreatment should it occur. UBSOF will not fund projects or organizations without appropriate mechanisms in place to protect children from abuse.

Within the area of global health research, all projects must adhere to international ethical standards and procedures for research when human beings, particularly children, are involved. All clinical investigations must be conducted according to the principles expressed in the Declaration of Helsinki. All grantees must submit a statement from their ethics committee or institutional review board indicating research approval.

2.3 Monitoring and Evaluation

Grantmaking at UBSOF is an iterative process between grantmaker and grantee. In this partnership, UBSOF utilizes a system of monitoring and evaluation that allows both sides of the grant to learn from the experience. This process allows UBSOF to evolve from experiences, such that the foundation can apply lessons to future decisions related to funding needs and priorities.

2.4 Knowledge Management

In the 21st century, knowledge has become the key factor in production and is indispensable for an organization's survival. However, knowledge by itself is insufficient: its management is just as important as its acquisition. The creation, advancement and dissemination of knowledge is the most valuable impact a grantmaker can have.

UBSOF is working to create, share, translate and apply knowledge as a strategic asset. Not only is UBSOF using its knowledge management to improve organizational capacity and to achieve its organizational goals more effectively, UBSOF also manages its dissemination to partners and a larger global community (such as with the initiatives that distribute the Optimus Study and Buruli newsletters).

“Where is the wisdom we have lost in knowledge? Where is the knowledge we have lost in information?”

TS Eliot

3. The UBSOF Value Chain: Harnessing Innovation



As UBSOF enters its second decade, the foundation has adopted a systematic, four-phase value-chain approach to grantmaking. In the effort to streamline processes and harness innovation, this methodology promotes the development, validation, and dissemination of innovation.

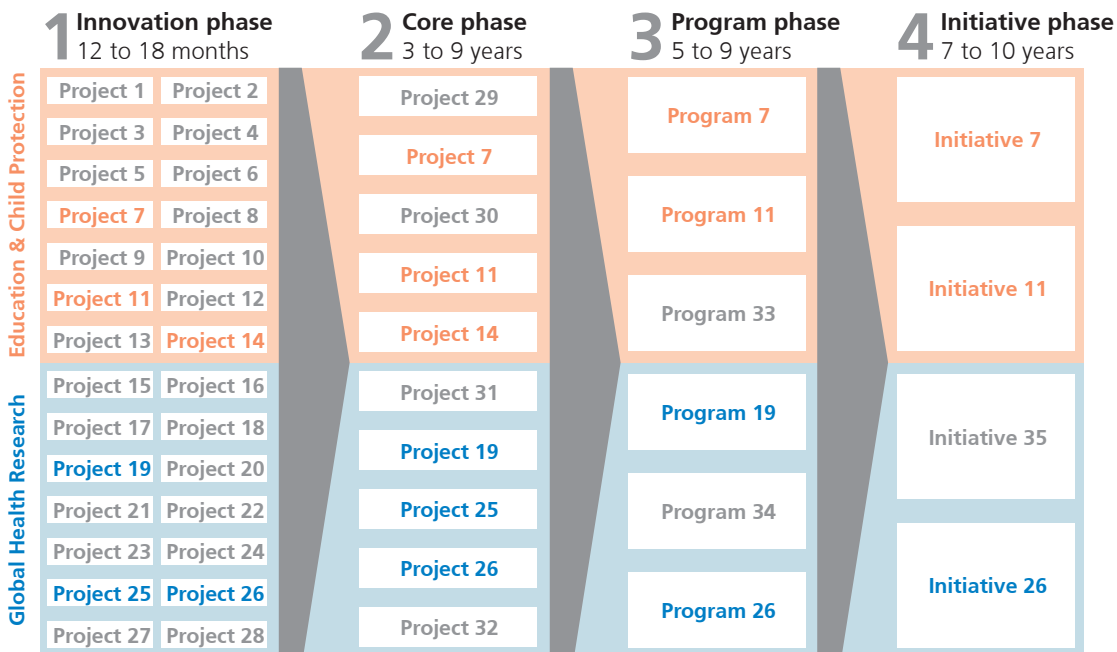
At UBSOF, innovation is not rigidly defined. Rather, the foundation uses the term to refer broadly to new and unconventional ideas, processes or tools developed by organizations or practitioners who undertake activities outside their usual practice and for which they previously may not have had the time or money to explore.

“To raise new questions, new possibilities, to regard old problems from a new angle, requires creative imagination and marks real advance.”

Albert Einstein

UBSOF aims to serve as a driver of innovation niches. As such, funding of most projects will end within the original funding phase of 12 to 18 months. However, UBSOF invites projects of exceptional maturation and scalability to be “bridged” into the next phase of funding. At each bridge, UBSOF refines its selection criteria to identify those projects that best fit the foundation’s long-term strategic vision.

The phases of the value chain



3.1 Innovation Phase

Innovation is the introduction of something new or unorthodox. Projects funded in this phase are meant to demonstrate proof of concept: the unconventional, even risky approaches that have a promising potential for realization.

Important project features include reaching across disciplines, generating knowledge, building and/or strengthening capacity, and influencing and engaging the targeted communities. The type of project can be either a pilot, where the focus is on providing tangible results, or a model, where the focus is on harvesting good practices, methodologies or approaches.

Some examples of innovation-phase projects include the following:

- **Development of new tools**, or inventions, such as a new cost-effectiveness calculation to enroll girls in secondary education or a new medicine or diagnostic test that is safe, cost-effective, field-adapted and easy to use
- **New approaches, methods and models for solving problems**, such as new ideas to encourage minority communities to educate their children, or to engage researchers to leverage existing knowledge in a new manner (rediscovering or repositioning an old tool in a new way)
- **New combinations of players and stakeholders**, such as new education or research consortia that link communities, researchers, implementers and/or countries such that there is dialog among the various players
- **Transdisciplinary approaches**, such as holistic approaches that transcend the narrow scopes of traditional disciplinary views and engage researchers, implementers, community members and other stakeholders to work with each other in a way outside of their usual practice. Examples include the two UBSOF-funded initiatives, "Optimus Study" and "Stop Buruli"

As UBSOF focuses on helping society's most vulnerable, the interests of children and other populations should be of foremost importance in the design and execution of projects. Therefore, projects should have an appropriate exit strategy.

Innovation projects are provided a one-time funding, which ranges from 100,000 to 150,000 Swiss francs and for a project period of 12 to 18 months. Projects are primarily identified through periodic calls for proposals, which typically occur in the fourth quarter of every year. Each call bases its topics on identified needs within the core funding area. Proposals are judged on feasibility, topic relevance and responsiveness, and innovation in approach. Typically, one out of every 10 to 15 project proposals is selected for the innovation phase.

Exceptional funding is available outside the regular calls, however these applicants have a considerably lower chance of receiving funding.

At the end of the project period, UBSOF reconciles the achievements and outlook of each project with UBSOF's long-term vision and typically will invite one of every five projects to apply for core-phase funding. At the current time, UBSOF aims to fund 30 projects per year at the innovation phase.

One currently funded innovation-phase project in the topic area of "Education and child protection" is in Liberia. This pilot project represents a new component within an already existing project. The project partner seeks to verify that the unconventional methodology that they are using to increase girls' enrollment in primary school actually works. They seek to demonstrate tangible results and provide evidence that their idea can have a long-lasting impact.

The innovation phase offers a certain amount of latitude for testing unconventional ideas in the topic of "Global health research" because even the simplest of measures can significantly improve the health of communities. For example, the type of accommodation and its ventilation could have a significant impact on disease transmission such as with malaria and tuberculosis. To date, this knowledge has only been used to a limited extent in disease prevention. And that is why innovation-phase funding has been provided to two projects in Haiti and Thailand so that simple and inexpensive modifications to existing settlements can be investigated as to how they best prevent common diseases within their respective communities. If shown to be promising, such innovations have the potential to be implemented on a larger scale.

Bridging innovation projects into the core phase

UBSOF invites particularly promising innovation projects to submit detailed applications for the core phase. A panel of internal and external experts then evaluates the applications to determine:

- whether the proof of concept has been demonstrated
- whether project maturation is feasible in the field/respective local context
- the project's potential impact

3.2 Core Phase

Core-phase projects, which have been UBSOF's traditional approach over the past decade, remain a key element within the value chain. This phase of project funding is meant to give UBSOF the opportunity to extend promising innovation projects across a larger framework.

Key considerations for core projects are partners' competence and strength in their respective fields. Not only must the project approach be cutting-edge and needs-driven, partners must demonstrate expertise via the ability to manage risk and resources and the capacity to not just engage critical partners who can pave the way to project sustainability but who can also apply the project on a wider scale in its local setting.

In particular, UBSOF's goals for core project support consist of the following criteria:

- Providing **a stable structural and organizational framework** for the cutting-edge idea
- **Identifying and including stakeholders** who are important for continuity
- Developing and applying the required **management and control tools**
- Preparing and disseminating **appropriate tools and activities for outreach and buy-in**

Core projects are funded at a level of 100,000 to 300,000 Swiss francs per year and for an initial project period of three years. Funding is provided on an annual basis. Projects can be renewed up to two times, such that a full project cycle could last a maximum of nine years. At the end of each project period, UBSOF reviews the achievements and outlook of each project within UBSOF's long-term vision.

The initial project period typically consists of a 'phase-in' in which the partner builds upon their achievements during the innovation phase and provides further evidence of the feasibility of the project. The second core project period is about consolidation and making the project truly solid, including a stakeholder analysis with a focus on sustainability. In the third project period, the partner has to prepare the phasing-out and the potential handing-over of the project and the gained knowledge to other stakeholders (e.g. local communities, governments like ministries of education and health).

Typically, one of every five projects will be invited to apply for renewed core-phase funding. A very select few will be invited to apply for program-phase funding. UBSOF aims to provide funding for 30 core projects at various stages of the project life cycle. At the current time, UBSOF funds approximately 45 projects at core-phase funding, and two examples are highlighted below.

In the topic area of "Education and child protection", the Yinthway Foundation is now in its second cycle of funding within the core phase for an early childhood care and development (ECCD) project in Myanmar. The project, which has already benefitted 100,000 young children since 1999, is aiming to sustain its early results by enhancing and strengthening local capacity through the improvement and establishment of ECCD programs in 2,200 disadvantaged communities across Myanmar. Training is given across all ethnic groups and includes community leaders, teachers and parents, with the long-term goal to document, expand and institutionalize the ECCD approach in Myanmar.

In the area of "Global health research", a core-phase project has provided a groundbreaking collaborative research model for sustainably addressing the fatal disease of rabies, which disproportionately affects children in underprivileged communities and which kills a child every 10 minutes around the world. On the Philippine island of Bohol, partners of the Alliance for Rabies Control have taken an integrated approach that empowers communities to take responsibility; provides adequate tools to diagnose, treat and prevent rabies; and engages government and global experts to collaborate with each other. Such an approach has led to zero cases of human rabies being reported in 2009 among a population of 1.14 million Boholians – of which there are 400,000 children – and could serve as a model for rabies elimination, should the results be sustained and documented.

Bridging core projects into the program phase

UBSOF invites particularly promising core projects to submit detailed project applications for the program phase. A panel of internal and external experts then evaluates the projects based on their potential for:

- replicability in another location or setting
- scalability
- actual impact, influence and leverage

3.3 Program Phase

Projects progressing into the program phase have demonstrated success in their local context and have the best potential for scaling up and/or adaptation to additional communities within a country or region, or to other regions. In considering whether a project can be effectively adapted to a different location, close cooperation between UBSOF and the project partners is critical. While scaling up/adaptation is mainly driven by project partners, UBSOF can assist in identifying and creating new partnerships.

In particular, for UBSOF to consider program-phase funding, sustainability must have been successfully shown within a project, and project partners must be institutionally strong, able to act innovatively, committed to ensuring the buy-in and active participation of community and government representatives in a new location. Additionally, the context-specific feasibility of a large-scale implementation must be demonstrated. Collaboration between private and public partners is also desirable wherever possible so as to build on existing strengths and accomplishments.

UBSOF funds these projects at a level of 500,000 to 900,000 Swiss francs per year for a project period of five to nine years. Funding is provided on an annual basis. At the end of the period, UBSOF reviews the achievements and outlook of each project to determine if further replication or scale-up is warranted and to determine if the project has the potential to be bridged into the initiative phase.

Over the next few years, the foundation aims to fund five or six projects with program-phase funding. At the current time, UBSOF has two projects in the program phase:

- **Camfed: the campaign for female education**

Educating girls and promoting educational gender equality have been shown to be key factors for development. Since 2006, UBSOF has supported CAMFED in Zambia, which has enabled 1,000 girls in the country's northern and western provinces to complete a three-year secondary education. The program also has empowered 500 young women to receive business and leadership training.

During the evaluation process in 2009, UBSOF and CAMFED identified two opportunities to replicate and scale up the project: UBSOF has supplemented the original CAMFED project with a child-protection element throughout the education system in Malawi, where CAMFED has already established a strong relationship with government ministries. UBSOF has therefore begun funding a four-year project to synergize education and child-protection efforts, utilizing CAMFED's ongoing experience in Zambia with the goal of reaching 246,000 of Malawi's children.

- **The "green roads" or "camino verde" approach to dengue control**

With dengue fever on the rise in Nicaragua and worldwide, UBSOF, since 2003, has supported a community-based intervention project run by the University of California, Berkeley and local Nicaraguan partners. This project, which has taken an innovative, environmentally-friendly, community-based approach, has shown very promising results for sustainable dengue control – in contrast with the top-down, pesticide-dependent approaches that have so far failed to curb the spread of dengue in most countries. More than 17,000 people benefitted from the initial project in Nicaragua.

An external expert evaluation of this project, facilitated by UBSOF, considers Berkeley's approach to be a potentially universal model for dengue control. Based on the long-standing relationship between Berkeley and the Centro de Investigación de Enfermedades Tropicales (CIET), the project is scaling up and consolidating the sustainable community mobilization efforts in Managua. The spill-over effects from dengue control will be measured for longer-term economic implications. Replication of this approach is currently taking place in Mexico, where cases of dengue fever are on the rise and where there is a high risk of the disease spreading to the US. With the aim to sustainably control dengue without reliance on pesticides, the same approach of community mobilization has been adapted to the Mexican context.

Bridging into the initiative phase

In areas that are particularly under-financed and in great need of coordinated action across disciplines, UBSOF invites promising projects for initiative-phase funding. Chosen parties submit detailed applications for evaluation by a panel of internal and external experts. The panel measures each project's required UBSOF commitment level with regard to:

- networking
- leadership
- coordination

3.4 Initiative Phase

With the initiative phase, UBSOF aims to bring certain topics to a wider audience and to have a long-lasting impact and leverage. It is about finding a 'niche' and having the best possible impact with the least amount of resources. Initiatives focus on neglected areas that are under-financed and where there is both an urgent need for action and significant potential for sustained impact.

For initiative-phase projects, UBSOF takes on a greater leadership role than in other phases earlier in the value chain. The foundation sits in the "driver seat" in order to build momentum by bundling knowledge and catalyzing collaboration among those who work effectively in their own discipline but who have not had either the resources or the incentive to engage others who are not immediately relevant to their efforts.

With initiatives, UBSOF brings together experts across disciplines and communities to pool and generate knowledge on various levels; to establish new, meaningful networks; and to find integrated and lasting solutions that may include long-term financing and policy influence.

Initiatives are funded at a level up to 2 million Swiss francs per year and for a project period of seven to 10 years. At the end of the project period, UBSOF reviews the achievements and outlook of each initiative to determine if the foundation should play a further role.

Over the next few years, the foundation aims to fund three or four initiatives. At the current time, UBSOF funds two:

- **Optimus Study** – www.optimusstudy.org

In the area of child protection, there is a dearth of scientific data on the incidence of child sexual abuse (CSA). The Optimus Study is a cross-national CSA project with the aim to inform policy and intervention.

The existence of reliable, evidence-based data on CSA will help galvanize political action on the issue. Agencies will be empowered to develop and implement evidence-based intervention and prevention measures and will have more solid footing on which to base their arguments and raise funds. Over the long-term, this will dramatically improve the lives of millions of affected children.

- **Stop Buruli** – www.stopburuli.org

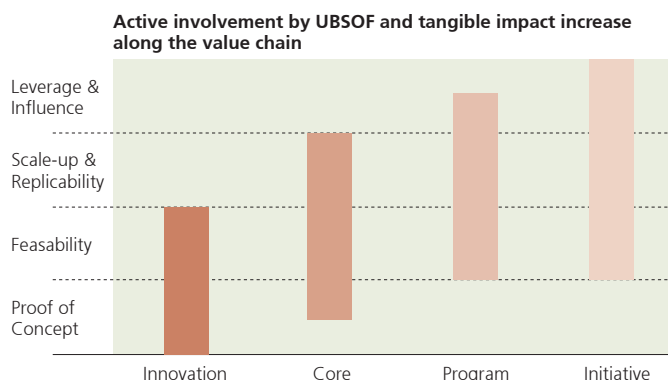
Known as one of the most neglected tropical diseases, Buruli ulcer is a difficult-to-cure, infectious disease which afflicts thousands of people, primarily children, in tropical and subtropical climate zones every year. In 2007, UBSOF identified Buruli ulcer as a disease where a relatively small investment had the potential to make a big difference.

This project marks the first time researchers across such a broad spectrum of disciplines have united to address the needs of patients afflicted by Buruli. However, the approach has worked successfully with diseases like cancer and HIV/AIDS. Eight teams carry out research along four main axes: new tools for diagnosis, transmission studies, antibiotic treatment and socio-cultural aspects. The ultimate goal is to substantially improve access to and the quality of treatment options for patients and communities threatened by this mysterious disease.

3.5 Conclusion: An Opportunity for Sustained Social Change

By utilizing the value chain approach in its grantmaking, UBSOF seeks to generate impact at different levels – not just directly upon beneficiaries, but through systemic and indirect methods that help to evolve underlying policies and practices by communities, practitioners and governments. Such an approach ensures benefits not just for today's children, but for their children and grandchildren as well.

In addition, rather than limiting results to direct beneficiaries, UBSOF seeks to fund projects that engage entire communities in being a part of the solution. UBSOF makes evidence-informed decisions at every stage of the value chain so that proven innovation provides maximal impact.



4. Project Life Cycle



The project life cycle is characterized by an active exchange with UBSOF, no matter the phase of the project, in terms of planning, monitoring and evaluation.

Typically a project begins life in the innovation phase. The foundation identifies projects through calls for proposals, which UBSOF actively disseminates through its extensive network and, at least once per year, via its website.

UBSOF encourages potential partners to apply through “calls for proposal” in the innovation phase because the chances of being funded are much higher than when a partner sends an unsolicited proposal. UBSOF will provide an invitation to partners whom it has identified as having promising projects which may be suitable for later phases of funding.

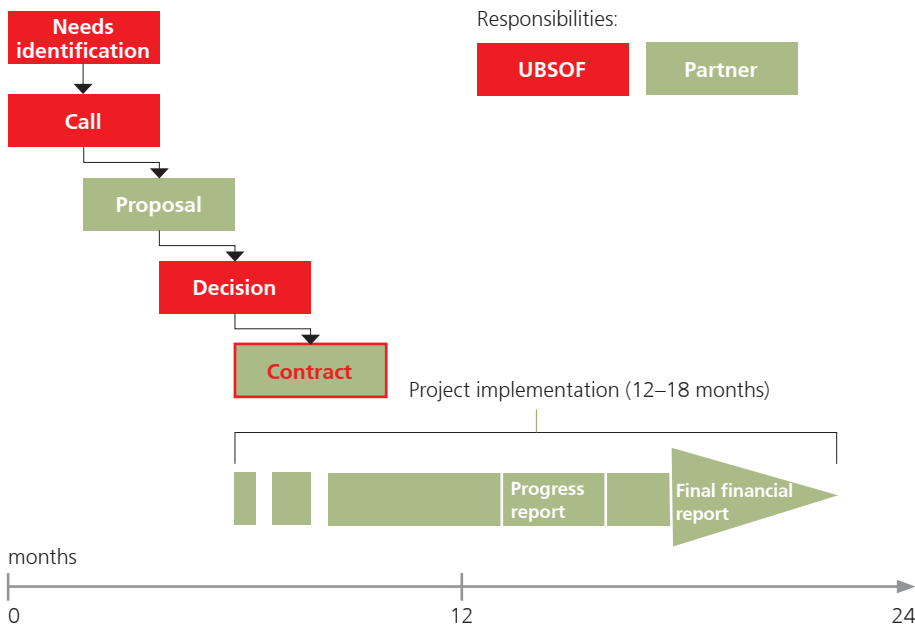
“If you want to go fast, you go alone. If you want to go far, you go together.”

African proverb

As part of the selection process, UBSOF follows standardized bank procedures for due diligence. Such a procedure ensures thorough investigation of all potential risks associated with an organization.

4.1 Innovation Phase

Proposals (letters of intent) received in response to calls undergo thorough evaluation and selection, which incorporates a two-step process. UBSOF’s grantmaking team makes the first “triage”. Surviving applications then undergo full evaluation by a review panel, which includes a minimum of two grantmaking team specialists and one external expert. At this stage of the evaluation process, the main focus is a project’s innovative aspects and its potential for impact.



Once approved, project activities can commence with the signing of the contract. UBSOF follows a leave-alone strategy during this phase of funding and does not serve as an active facilitator or monitor. However, depending on the context and content of a project, UBSOF may stay in close communication with the partner.

Approximately three months before the official end of project activities, the project partner is required to send in a progress report. Therein, the partner must show milestones achieved, whether the project is feasible and whether it shows potential for impact.

The grantmaking team then evaluates the progress report and decides whether to invite the partner for the core phase, which is next along the value chain. In some cases, UBSOF will make a project visit in order to better understand the situation in the field.

At the end of the project phase, the project partner is required to send in a closing financial report.

4.2 Core Phase

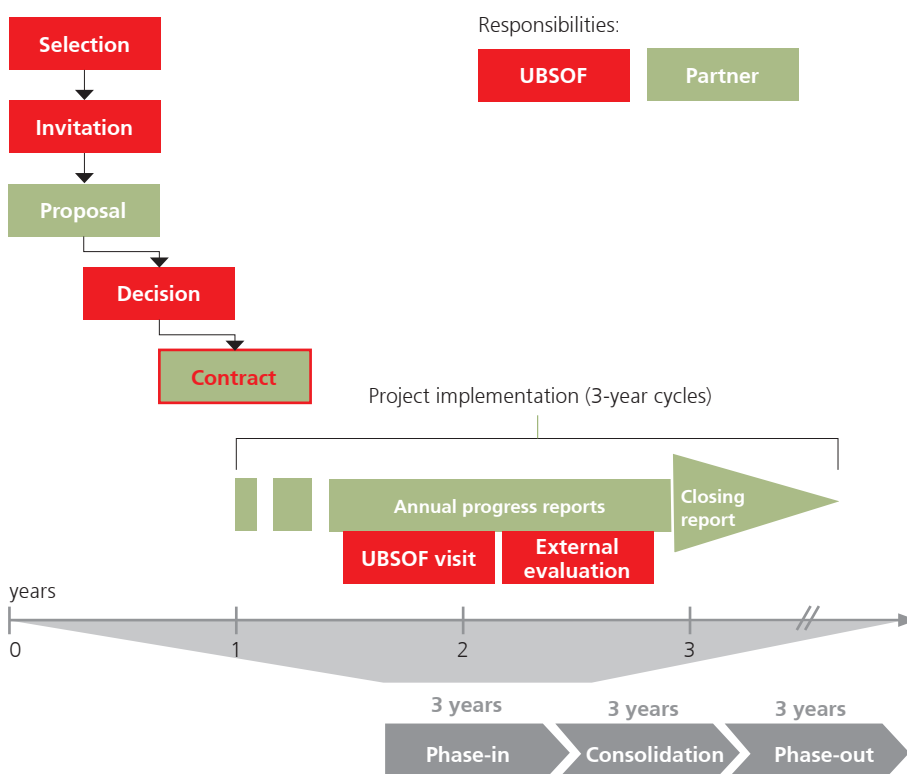
Identified toward the end of the innovation phase, core-phase projects have significant potential impact and feasibility with respect to approach or model. The project must also fit UBSOF's strategic priorities. The foundation invites selected partners to submit new, more detailed proposals.

All invited proposals undergo a thorough evaluation and selection process by a review panel composed of grantmaking team specialists and external experts. Once approved, project activities can commence with the signing of the contract. The initial funding term for a core project is three years.

Within the core phase of funding, UBSOF supplies a comprehensive package of monitoring and evaluation tools. These include annual monitoring of project activities, annual monitoring of the budget, a field visit by a member of UBSOF and an external evaluation by an independent expert identified by UBSOF and agreed upon by the project partner.

Based on the multi-year core-phase funding commitment, monitoring and evaluation are meant to inform both UBSOF and its partner of any changes to context or project strategy, problems encountered and milestones achieved.

Approximately 12 months after the start of project activities, UBSOF visits core projects in order to mutually identify pressing issues for the external evaluation. A project visit usually lasts two to five days and involves meetings with all relevant stakeholders.



Within 18 to 24 months after project start, UBSOF and the project partner arrange an external evaluation. Both parties agree on the evaluator based on demonstrated expertise in the specific field. The scope of an external evaluation depends on the project content but usually entails three to six days in the field, two to four days for preparation and writing of the report, and discussion among all parties over findings. The costs of the external evaluation are equally shared by the project partners and UBSOF.

At the beginning of the third year of a project cycle, the grantmaking team reconciles a project’s achievements with the greater funding landscape and assesses what further role UBSOF funding can play. If further funding is warranted, UBSOF will invite the project partner to submit a proposal for an additional funding cycle, with a maximum of three cycles for any project. UBSOF invites particularly promising projects that also fit within the foundation’s long-term strategic priorities to submit an application for the program phase.

4.3 Program Phase

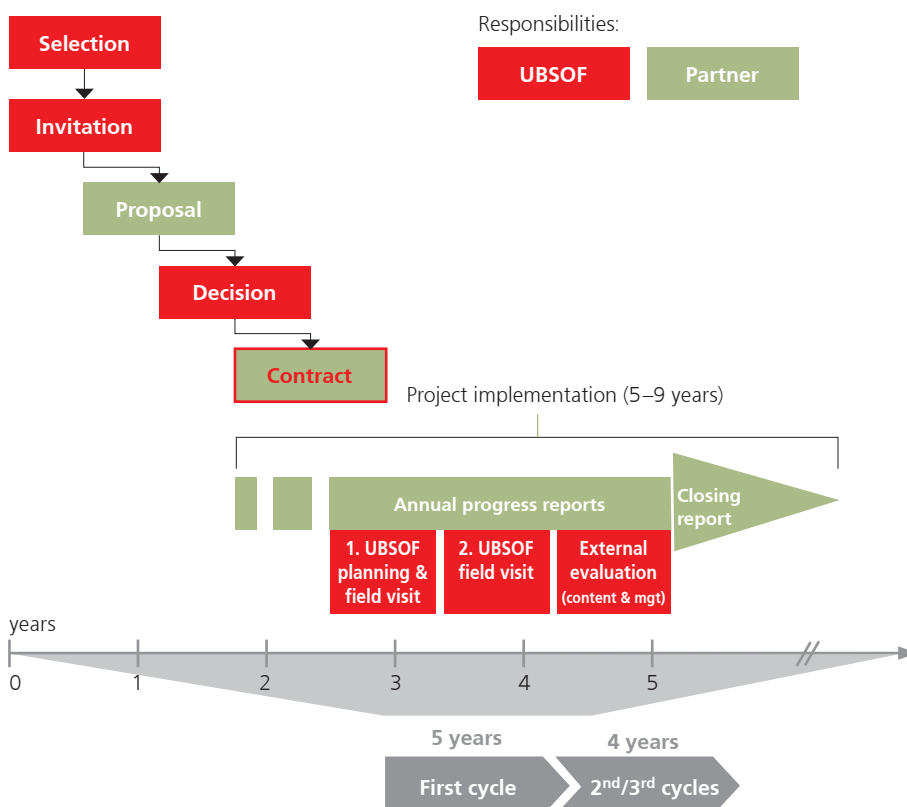
Programs are composed of several similar projects identified during the core project phase as having high potential for replication and scalability and showing promise in terms of influence and leverage. UBSOF actively invites the identified projects to coalesce around a leading partner, who will develop a joint application over a period of several months.

The proposal undergoes thorough evaluation and selection processes by a review panel composed of grantmaking specialists and external experts. Once a program has been approved, activities can commence with the signing of the contract for an initial funding term of five years. Possible extensions can consist either of one cycle of four years or one-to-two cycles of two years.

Within the program phase of funding, UBSOF supplies a comprehensive package of monitoring and evaluation tools, which include annual monitoring of project, budgetary and networking activities, field visits to each project by a member of UBSOF and an external evaluation by an independent expert agreed upon by both the project partner and UBSOF.

Within the first five-year cycle, UBSOF makes two on-site visits to program-phase projects. Visits typically last four-to-eight days and place emphasis on evaluating program management. Typically the first visit involves participation at a strategic planning meeting, and the second visit focuses on field activities.

Typically, at the end of the third year of implementation, UBSOF organizes an external evaluation of the different project sites. The evaluation focuses particularly on demonstrating the added value of the multi-site approach and is conducted by a renowned specialist with demonstrated content and consortium expertise.



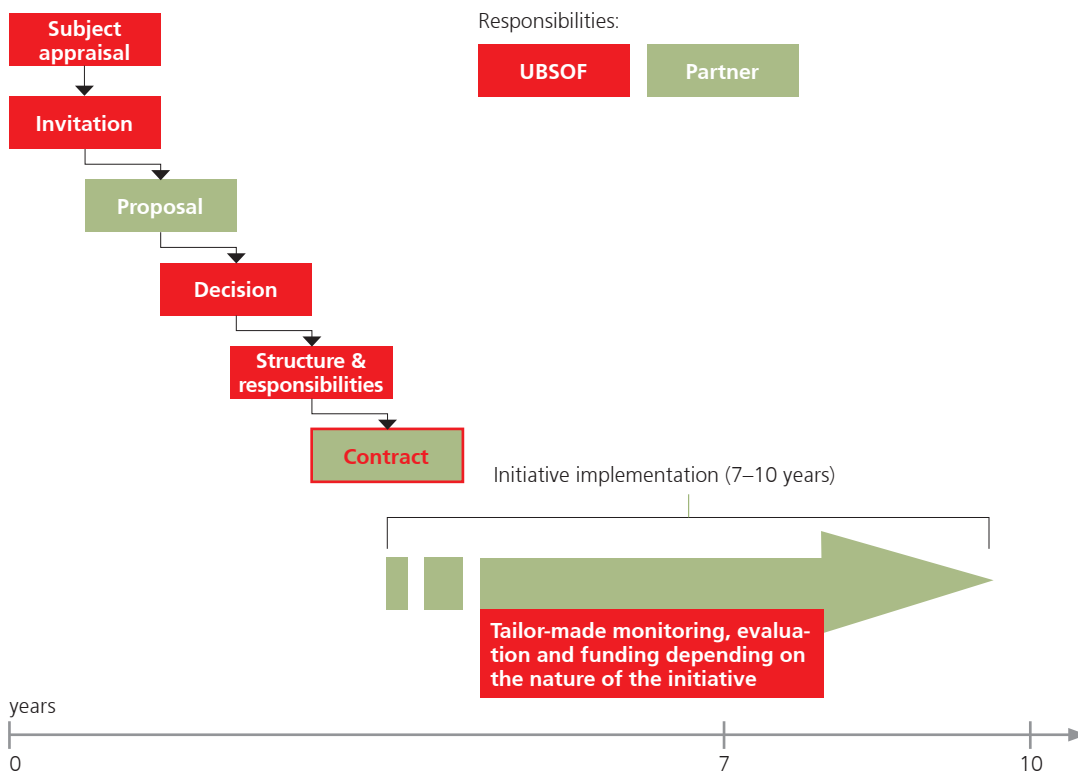
The scope of an external evaluation usually entails six-to-eight days in the field and two-to-four days for preparation and writing of the report. The costs of the external evaluation are equally shared by the project partners and UBSOF.

If the program is successful and responds to the strategic priorities of UBSOF, the foundation invites the partner for an extension.

4.4 Initiative Phase

UBSOF identifies initiative-phase projects in relevant areas that are underfinanced and neglected. It is important to note that initiatives are not necessarily bridged over from the value chain and can develop out of an urgent field need or from UBSOF's strategic priorities.

Within initiatives, UBSOF serves as a convener, coordinator and networker. Depending on the nature and scope of the initiative, UBSOF customizes monitoring and evaluation processes in order to assure quality management.



5. Guidelines and Criteria



A timely “no” beats a hasty “yes.”

Brazilian proverb

With the aim of being accountable and transparent, UBSOF uses clearly defined criteria that remain consistent across all phases of the value chain.

What UBSOF funds:

- fits into one of our focal areas
- addresses a key need for targeted communities
- under-resourced areas
- innovation: state-of-the-art approaches and/or out-of-the box thinking
- unique, clearly defined projects that are not simply add-ons or elements of ongoing projects
- feasible within the limited time frame
- shows potential for impact, influence and leverage
- shows potential for scalability
- well-defined, comprehensive stakeholder analysis
- targets the most vulnerable communities, particularly in the majority world
- long-term community engagement
- complements states’ responsibilities and capacities
- transdisciplinary, holistic and integrated approaches
- capacity strengthening/building
- tangible and applicable results

What UBSOF does not fund:

- charitable work done by individuals
- co-funding: filling gaps in financing and/or overheads
- traditional, market-driven projects
- projects promoting religions and/or political views
- replacing states’ responsibilities and capacities
- stand-alone scholarships, tuition or stipends
- congresses, events, exhibitions or sponsoring
- publications, documentaries, films, photos
- religious or political initiatives
- UN or multinational organizations that are the primary partner
- projects solely focusing on HIV/AIDS

Education and child protection:

- development of parallel structures
- pure service delivery approach
- financing of running costs
- construction and maintenance of infrastructure

Global health research:

- health implementation without a solid research component
- research solely in the North
- basic research projects
- stand-alone infrastructure and laboratory equipment

6. Tools



“Never underestimate the power of a simple tool.”

(Craig Bruce)

UBSOF has designed the following tools to ensure a professional grantmaking process. With them, UBSOF’s grantmaking team carries out a range of activities:

- The application form and the criteria grid ensure that UBSOF has the relevant information for evaluating and potentially selecting a new project and partner according to the principles of the value chain.
- The reporting forms allow UBSOF to monitor the project’s field and budgetary activities, outputs, outcomes, impact and leverage.
- The project visit report is an internal evaluation tool that serves to identify potentially pressing issues, which can then be addressed in the external evaluation.
- The external evaluation form is used by UBSOF’s external experts to systematize their assessment of the project with regard to impact, influence and leverage and to provide recommendations for possible future funding.

“If you cannot measure it, you cannot improve it.”

Lord Kelvin (1824–1907)

The following pages show basic tool sets for the innovation and core phases. Subsequent phases use a greater number of reporting, monitoring and evaluation tools, and are not shown here due to space considerations.

1. Innovation Phase: Call, Application, Reporting and Evaluation Package

- 1.1 Call for Innovation Proposals (Global Health Research)
- 1.2 Innovation Application (Global Health Research)
 - a. Gantt chart
 - b. Organigram
 - c. Budget
- 1.3 Criteria Grid
- 1.4 Innovation Progress Report

2. Core Project Phase: Application, Reporting and Evaluation Package

- 2.1 Core Application
- 2.2 Logframe
- 2.3 Budget
- 2.4 Criteria Grid
- 2.5 Annual Report
- 2.6 Project Visit Report
- 2.7 External Evaluation
- 2.8 Closing Report

6.1 Innovation Phase

6.1.1 Call for Proposal (Example – 2009 Call in Global Health Research)



UBS Optimus Foundation

Augustinerhof 1
P.O. Box
CH-8098 Zürich
Tel. +41-44-237 2787

www.ubs.com/optimus

Call for Proposals

Innovation Projects - Global Health Research

12 October 2009

1. Guidelines for call

Research topic areas – with a special emphasis on transdisciplinary approaches:

- **Ecosystems and health** – possible topics include controlling the spread of communicable diseases (with special attention to neglected tropical diseases [including zoonoses]), improving health and well-being by transformative architecture or agriculture, health in the urban environment, etc.
- **Maternal and newborn health** – possible topics include improving prenatal, perinatal, and postnatal outcomes, care, and nutrition through activities such as community-based interventions, novel ways to increase vaccination coverage, and more equitable access to health services, etc.
- **Access to care /services** – possible topics include achieving high and equitable access to adequate care and services within rural communities, slum dwellers, and the poorest of the poor etc., via improved community engagement, novel cooperation and partnerships between public and private partners

Excluded from this call are projects which exclusively focus on malaria or HIV/AIDS.

Priority geographic regions are Asia, the Caribbean, and Latin America.

So long as the project proposal addresses one of the abovementioned thematic areas, project proposals can focus on one of the following approaches:

- Development of new tools or technologies (inventions) for low-resource settings
- New approaches, methods, models for problem solving
- New combination/bundling of researchers and/or stakeholders within communities or across regions
- Transdisciplinary approaches featuring North-South or South-South global health partnering/core curricula, academic competencies and models of partnered research and service

Project details:

- Short application of no more than 2 pages using the UBSOF application form 1
- Novel, unconventional ideas
- Term of 12 - 18 months
- Funding of CHF 100,000 – CHF 150,000

¹ Applicants are strongly encouraged to electronically fill out the PDF forms provided as this will greatly aid the UBSOF review process. You can download the latest version of Adobe reader at no cost by visiting www.adobe.com. Otherwise, if you have difficulty using Adobe, applications may be submitted in Word format, but they must be no longer than 2 pages, using Arial 11 Point.



UBS Optimus Foundation

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www.ubs.com/optimus

2. Who can apply and how

Who can apply?

Any organization or institution is welcome to apply. We would particularly like to encourage organizations who are investing in South-South or South-North research collaboration (with an emphasis on capacity strengthening of southern partners) or those who are engaging researchers from outside traditional global health disciplines.

How to apply?

Proposals must be submitted in English and must use the standard **innovation project proposal form** which can be downloaded from our website (www.ubs.com/optimus). Proposals must be emailed electronically to sh-optimus-research@ubs.com no later than 1200, noon, CEST (1800, PHT; 1000, GMT; 0300, PDT), 30 November 2009.

Receipt of all project proposals will be acknowledged within 5 days of submission. Projects will then undergo a thorough, multi-step, expert review managed by the UBS Optimus Foundation management team.

3. Selection process and criteria

Selection process:

- Applications will be assessed, according to the specified criteria below, by a panel of experts (office, external Foundation board, external experts if needed)
- Recommendations will be provided to the Foundation board who will ultimately approve funding in early March 2010
- Notifications of acceptance will be sent by end of March 2010

Selection criteria:

- Topic relevance and responsiveness – how well does the proposal address a key need within the topics
- Innovative, state-of-the art approach – how well does the proposal provide 'out-of-the-box' thinking to overcome a current global health hurdle
- Feasibility – are goals and milestones clearly defined and achievable, is there a clear organization structure on the part of the applicant, and is there scale-up potential that provides a clear path for further support?

What happens afterwards?

All funded "Innovation" projects will provide a report within 1 year of the start of project funding. The funding of most projects will naturally end at this point, however, after assessing each project's further potential within the global long-term funding strategy of UBSOF, we will invite particularly interesting projects to submit a more detailed project application for the "Core Projects" phase.

A project is considered promising for UBSOF longer term funding consideration if:

- the project idea has potential for success
- the achievement of milestones can be presented
- the organization has sufficient competencies to execute the project
- local partners are included and motivated for the continuation
- project outlook fits into long-term strategic vision of UBSOF

4. For further information

All applicants are encouraged to consult the UBS Optimus Foundation webpage (www.ubs.com/optimus) prior to proposal submission.



UBS Optimus Foundation
www.ubs.com/optimus

Innovation LOI – Application Form

For internal use only
GIFTS ID
Grant area GHR

Part A – Administrative information – organization & project

Name of organization _____

Street address _____

Postal code _____

City _____

Country of applicant _____

Name and title of responsible person (incl. salutory title like Dr., Mr., Mrs.) _____

Telephone (incl. country code) _____

Email _____

Website _____

Title of project (for communication purposes – max. of 50 characters) _____

Key project partners (incl. name and country of organizations): _____

Project duration (in months): _____ Funding requested (in Swiss francs): _____

Countries in which project will take place _____

Part B – Project concept – Describe your idea with clearly defined methodologies and measures

1. Key message of your project (in a nutshell, i.e. 1-2 sentences)

2. Project objective

3. What is the justification for your project idea?

4. Why is your project an unconventional or new approach?

Part C – Project plan - How will you demonstrate the project achievements?

5. Describe your project approach (research plan if applicable).

6. Explain how your plan is feasible within the context and proposed timeline.

7. What clear and relevant milestones (provide 3-5) will you achieve during the project period?

8. What is the project's outlook? If successful in this first period, explain what the next steps will be - include how the project will continue without the UBS Optimus Foundation's initial funding.

9. Narrative budget

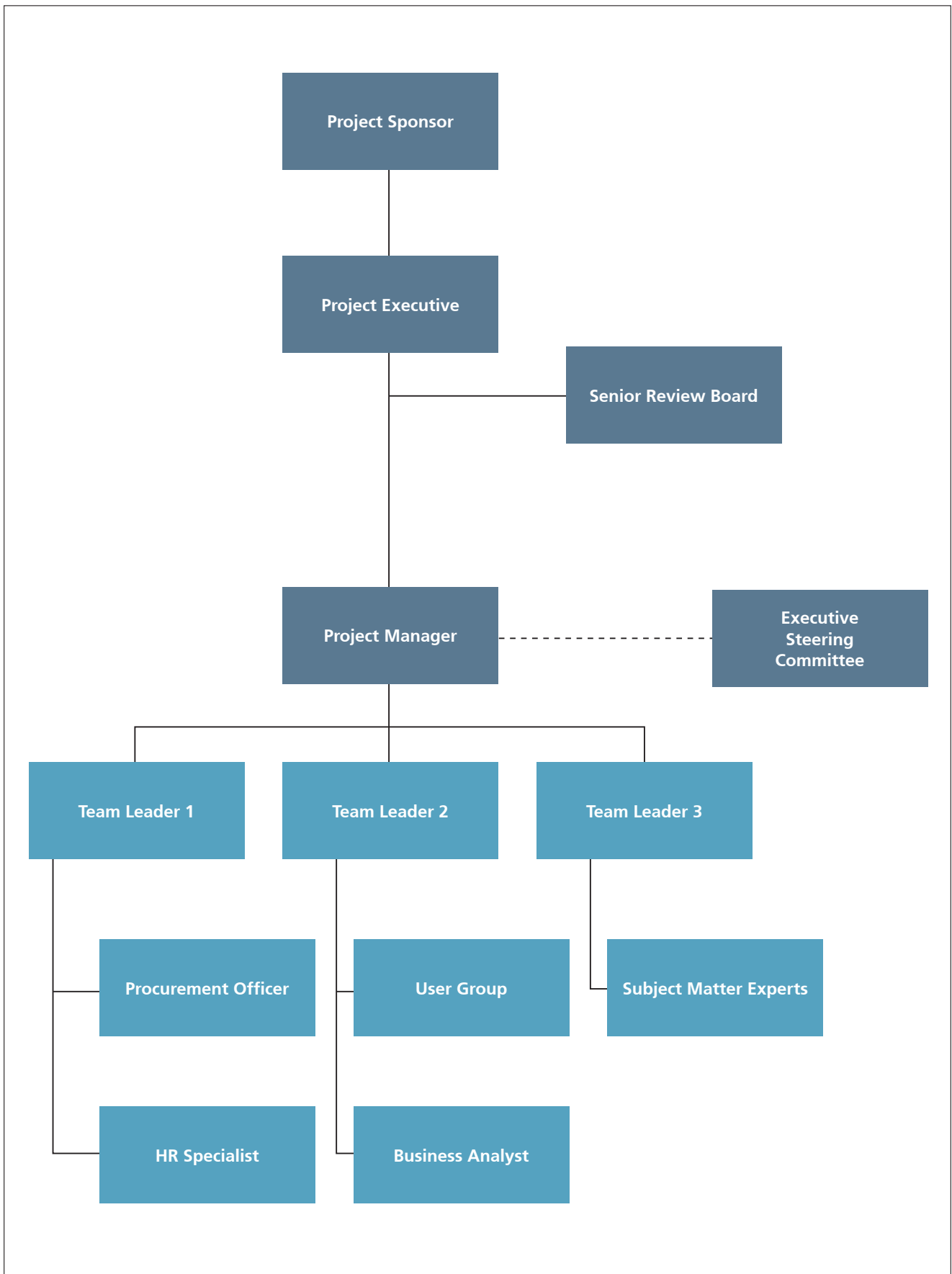
Appendices (to be sent as attachments in the application)

- A. Project and organizational organigrams
- B. Budget (use form on website)
- C. Gantt chart with milestones and timelines
- D. CV of project responsible to document competence

Sample appendices to be used with application for innovation phase funding

6.1.2.a Organigram

Note: An organigram should provide a graphical representation of the structure of a project or an organization by showing groups and/or departments and their interconnections and inter-responsibilities.



6.1.2.b Budget

Note: The maximum amount of overheads accepted by UBSOF is 10%. Please adjust your budget accordingly.

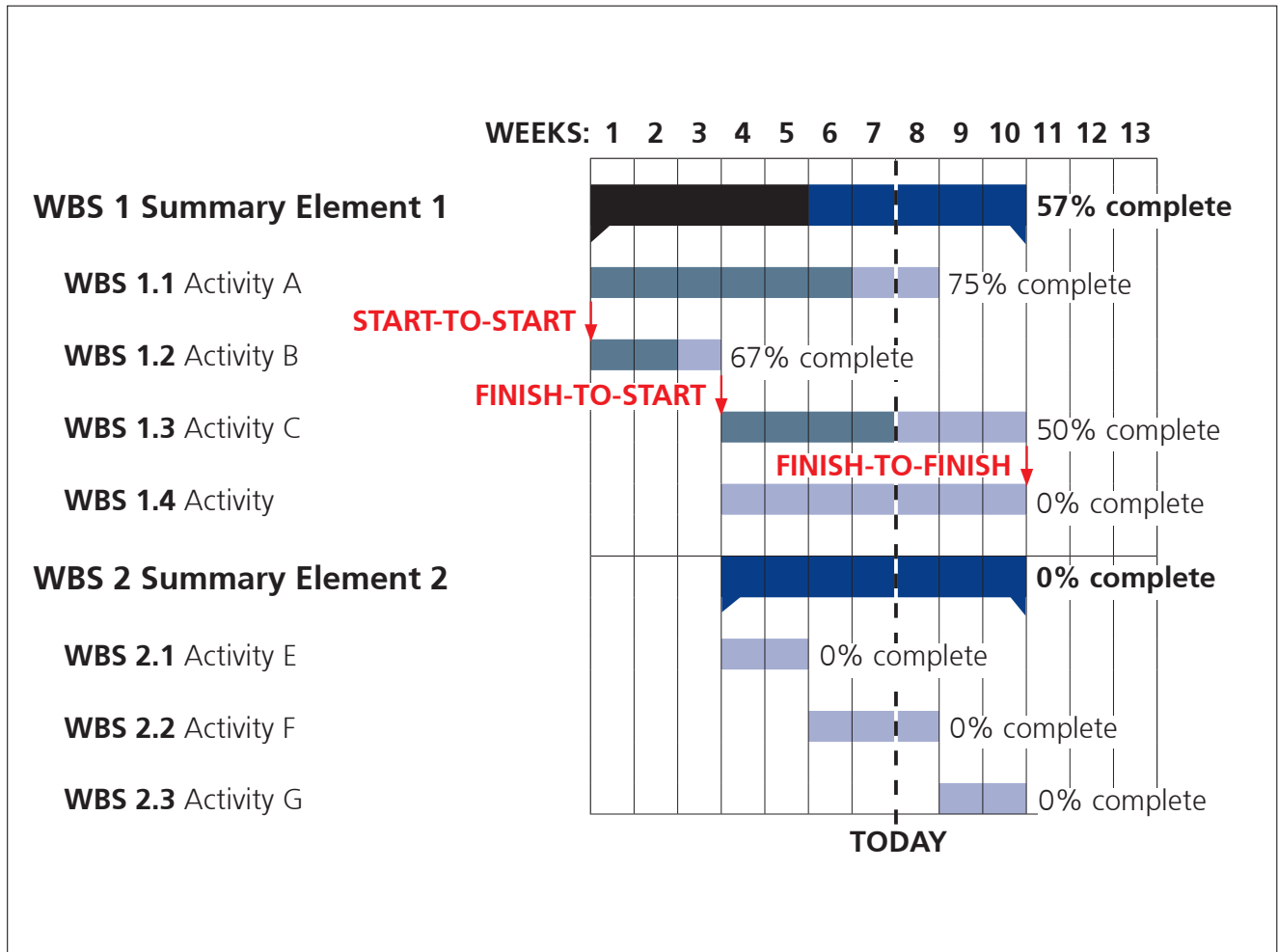
| | |
|-----------------------|--|
| Partner: | |
| Project Title: | |
| Currency: CHF | |

| | Description | Budget | Expenditures | Remaining Budget |
|----------|--|----------------|--------------|------------------|
| 1 | Human resources | | | |
| 1.1. | Salaries | 0 | 0 | 0 |
| 1.2. | Staff training | 0 | 0 | 0 |
| | Subtotal Human resources | 0 | 0 | 0 |
| 2 | Project management costs | | | |
| 2.1. | Office supplies | 0 | 0 | 0 |
| 2.2. | Telecommunication/Internet | 0 | 0 | 0 |
| 2.4. | Photocopies & publishing | 0 | 0 | 0 |
| 2.5. | Bank fees | 0 | 0 | 0 |
| 2.6. | Audit | 0 | 0 | 0 |
| 2.7. | Other admin costs | 0 | 0 | 0 |
| | Subtotal Administrative costs | 0 | 0 | 0 |
| 3 | Material & equipment | | | |
| 3.1. | Furniture | 0 | 0 | 0 |
| 3.2. | Computer & IT material | 0 | 0 | 0 |
| 3.3. | Rent | 0 | 0 | 0 |
| 3.4. | Electricity, water, gas | 0 | 0 | 0 |
| 3.5. | Maintenance, repairs | 0 | 0 | 0 |
| 3.6. | Laboratory materials | 0 | 0 | 0 |
| | Subtotal Project Office costs | 0 | 0 | 0 |
| 4 | Transportation costs | | | |
| 4.1. | Vehicle rent | 0 | 0 | 0 |
| 4.2. | Vehicle repair, maintenance, insurance | 0 | 0 | 0 |
| 4.3. | Vehicle fuel | 0 | 0 | 0 |
| 4.4. | Staff travel | 0 | 0 | 0 |
| 4.5. | Material transportation | 0 | 0 | 0 |
| 4.6. | Air travel | 0 | 0 | 0 |
| | Subtotal Transportation costs | 0 | 0 | 0 |
| 5 | Beneficiaries | | | |
| 5.1. | Education materials | 0 | 0 | 0 |
| 5.2. | Games & training materials | 0 | 0 | 0 |
| 5.3. | Training costs | 0 | 0 | 0 |
| 5.4. | Assistance to community | 0 | 0 | 0 |
| | Subtotal Beneficiaries | 0 | 0 | 0 |
| 6 | Total costs in the field | 0 | 0 | 0 |
| 7 | % Overheads | 0.00% | | |
| 8 | Total budget | 0.00 | | |
| 9 | Expenditure calculation % | #DIV/0! | | |

Instructions for use:
 1 Human resources includes project staff costs only (admin staff, coordination, project manager etc.)
 2 Project management costs mean all costs for the project office only
 3 Material and equipment used for the project office only
 4 Transport costs include all transport related costs for the project office only
 5 Beneficiaries means all the funding for beneficiaries like:
 - Education materials: books and other materials for children,
 - Games and training materials can include toys, and any other training materials
 - Training costs could include venue, training fees etc for educators, teachers and others, transport etc.
 - Assistance to community can include salaries for educators, teachers, researchers, nurses, health workers etc; can also include items like school uniform, stationary for schildren and/or schools, excursions with children, medicines and equipment.

6.1.2.c Gantt Chart

Note: A Gantt chart should be used to illustrate the planned project schedule within an application. All project activities should begin at a zero timeline. Below is an example – the applicant may use a different format but should be sure to show major milestones and their dependency on each other (i.e. if activity C is delayed, what will be impacted?)





Comprehensive LOI Evaluation

Submitting organization

| |
|------------------|
| GIFTS ID |
| Evaluator |
| Core area |
| Phase |
| Country |

Project title:

| Scoring guidelines | | | | | | |
|-----------------------|-----------------------|----------------------------|---------------------|---------------|--------------------|--------------------|
| 0 not to judge | 1 insufficient | 2 barely sufficient | 3 sufficient | 4 good | 5 very good | 6 excellent |

| Criteria | Score (0-6) | Comment |
|----------------------|-------------|---------|
| Concept | Element 1 | |
| | Element 2 | |
| | Element 3 | |
| | Element 4 | |
| | Element 5 | |
| Plan | Element 1 | |
| | Element 2 | |
| | Element 3 | |
| | Element 4 | |
| | Element 5 | |
| Appendices | Appx 1 | |
| | Appx 2 | |
| | Appx 3 | |
| | Appx 4 | |
| Organization | Element 1 | |
| | Element 2 | |
| AVERAGE SCORE | | |

| | |
|---|--|
| Conflict of interest: No: <input type="checkbox"/> If yes, please explain. | |
| Global issues (including political sensitivities and global trends) | |
| Recommendation for funding | |



UBS Optimus Foundation
www.ubs.com/optimus

Progress Report - Innovation Projects

For internal use only

GIFTS ID

Grant area ...

Part A – Administrative information – organization & project

Name of organization

Street address

Postal code

City

Country of applicant

Name and title of responsible person (incl. salutory title like Dr., Mr., Mrs.)

Telephone (incl. country code)

Email

Website

Type of organization [Select one below]

Organization competencies

Title of project (for communication purposes – max. of 50 characters)

Key project partners (incl. name, country, and project role of organizations):

Funding received from UBSOF so far (in Swiss francs):

Project support has been going on since:

TOTAL funding from UBSOF:

Countries in which project takes place (specify country, region, district or towns as appropriate):

Funding received from other donors so far (please

specify amount and donor):

Part B – Project summary (in a nutshell)

1) Project objectives

a) Key message of your project (as per application part B1, i.e. 1-2 sentences)

b) Please detail the objectives listed in your original project proposal, including who you involved in your project (i.e. community partners, government, etc.) and what was your target population/sample. (as per application part D)

2) Project progress in a nutshell – What were the 5 main highlights during the reporting period?

3) Milestones and achievements.

Please detail the status of the milestones listed in your original project proposal and whether they have been achieved. Optional: rather than fill out this table, you can include this information in Appendix C.

| Milestone | Due date | Achievement | Comment if not achieved |
|-----------|----------|-------------|-------------------------|
| | | | |

4) SWOT analysis

Please provide a brief analysis of 2-4 bulletpoints for each of the categories related to your innovation project.

| Strengths | Weaknesses | Opportunities | Threats |
|-----------|------------|---------------|---------|
| | | | |

Conclusions to be made from the SWOT analysis (maximum: 2-3 sentences)

5) Lessons learned and outlook

(a) What lessons have you learned from the project implementation, what best practices have you developed, have new cooperations/synergies between different institutions been established during the project duration, and what would you do differently next time?

(b) Have you encountered unexpected problems since the project implementation? If yes, how have they influenced the project's results?

(c) What are the next steps in terms of replication or scaling up?

6) Comments in support of your project

Please include how the main stakeholders view the project (i.e. was it a success, did it provide important information, etc.), how you would assess the overall cooperation/coordination with the various stakeholders, and what potential implications your project has for the following:

(a) current body of knowledge

(b) Policy

(c) Community outreach

(d) Additional donors

7) Information dissemination

What knowledge have you shared with others in the same field? How do you plan to further disseminate the information – please list any publications, presentations, or dissemination activities completed or planned.

8) Relationship with UBSOF

Please provide us other UBSOF-related comments such as how this grant may have assisted your professional development (i. e. as a health researcher, project manager, etc.) and how the funding process was with UBSOF (were instructions & guidelines clear, was more feedback desired, etc.?)

Appendices

- A. Organizational set-up (business plan including risk management)
- B. Financial report
- C. Gantt chart with milestones and timelines

Thank you for submitting this report – by submitting this report, you are consenting to the use of this information in UBS Optimus Foundation communication efforts and for the sake of program improvement. We wish you the best in all future project endeavors!

FOR INTERNAL USE BY UBS OPTIMUS FOUNDATION (please leave empty)

Lessons learned

Recommendation based on comprehensive evaluation (attach evaluation on top of report)



Core Project – Application Form

For internal use only

GIFTS ID _____

Grant area ...

Project cycle ...

Part A – Administrative information – organization & project

Name of organization

Street address

Postal code

City

Country of applicant

Name and title of responsible person (incl. salutatory title like Dr., Mr., Mrs.)

Telephone (incl. country code)

Email

Website

Type of organization [Select one below]

Organization competencies

Title of project (for communication purposes – max. of 50 characters)

Key project partners (incl. name, country, and project role of organizations):

Requested funding from UBSOF (in Swiss francs):

Project duration (in years):

TOTAL funding requested from UBSOF:

Countries in which project will take place (specify country, region, district or towns as appropriate):

Requested funding

from other donors

(please specify amount and donor):

Part B – Project summary (in a nutshell)

1. Executive summary (maximum 150 words)

2. Key message of your project (in a nutshell, i.e. 1-2 sentences)

Part C – Context analysis

1. Provide a needs-based assessment of the situation in the country using facts and figures.

2. Define your project hypothesis or how the activities of your project can lead to desired social changes.

3. Provide a stakeholder analysis (including those of local and global relevance) and how your project is incorporated in these structures.

4. Who else is active in the same field, and what are their activities?

5. Explain the uniqueness of your approach and how it also complements current activities in this field.

Part D – Project plan – How will you demonstrate the project achievements?

1. Define your project objective.

2. Project history – Explain what has happened up until now in terms of project-related activities.

3. Target population (including direct and indirect beneficiaries)

4. Risks and assumptions (including response to potential risks)

5. Methodology (methods, how to achieve the objective)

6. Provide the expected results (project outputs).

7. How can you demonstrate that objectives have been accomplished (measurable indicators)?

8. Gender aspects, gender equality, reducing gender disparities

9. Contribution to capacity strengthening of implementing partner

10. Resources to realize the project (including material, human and finance – can include a reference to appendices C and D).

11. What concrete actions do you plan to ensure that results are sustainable beyond the phase funded by UBSOF (i.e. what is your exit strategy)?

12. Describe how your project idea may be replicable elsewhere and/or can be "scaled up" from a local to a regional/national/global level (i.e. multiplier effect).

Part E – Monitoring and Dissemination

1. Indicate how the project will be internally monitored.

2. Describe how your project will be financially audited – when and by whom (it must be an independent audit firm)?

3. How do you plan to disseminate the information? Please provide a plan related to publications, presentations, and other dissemination activities.

Part F – Implementing partner(s)

1. Please provide a brief biographical sketch of the project responsible (100-150 words each).

2. If the applicant organization is applying with a local partner organization, briefly describe the respective roles that you and your implementing partner will have during the project period (you can refer to Appendix D). Then describe how you are networked and mention other donors.

3. Please provide 3 endorsements references, their affiliation and their contact information (email/telephone).

Appendices (to be sent as attachments in the application)

- A. Logframe (mandatory for all Education & Child Protection applicants)
- B. Gantt chart with milestones and timelines
- C. Budget (use form on website)
- D. Project & organizational organigrams
- E. Annual report (electronic link or hard copy)
- F. Describe where and with whom your organization is registered or accredited and provide a copy (ZEWO, DZI, etc.).

6.2.2 Logframe Guidelines

| Logical Framework Approach Guidelines | | | |
|---|--|---|---|
| Intervention logic <i>Hierarchy of objectives</i> Use one-sentence statements, in the form of a status achieved or an infinitive e.g. to do something | Key Performance Indicators Indicators measure whether the objectives on each level are achieved (see glossary) | Means of Verification <i>Data Source</i> | Assumptions <i>External Factors (assumptions/risks)</i> |
| Goal Goal (overall objective) means the higher level objective that the project is expected to contribute to. The addition of the word "contribute" implies that this project alone is not expected to achieve the goal (overall objective). The objectives and/or factors of other projects are also expected to contribute. It explains why it is important to society in terms of longer-term benefits to final beneficiaries and the wider benefits to other groups. | Impact Indicators Impact indicators mean features which can be measured or at least described precisely in terms of quantity and quality respectively and which show a change in situation. They therefore measure the long-term consequences of the outcome. | Means of Verification Means of verification are specific sources from which the status of each of the indicators can be ascertained, e.g. reports of ministries, project reports, laws, statistics, assessments, etc. | Assumptions Assumptions (external factors) describe conditions which could affect the progress of the project but which are not under direct control of project management. An assumption is therefore a positive statement of a condition that must be met in order to achieve the project's objectives. A risk is a negative or critical statement of a condition that might prevent the project's objectives from being achieved. |
| Outcome Outcome (project objective) means the immediate effect on the project area or target group that the project hopes to generate by producing several project outputs (expected results). The project should have only one clearly stated project objective, which is not a reformulation of the outputs. It is important to specify in the project objective who the intended project beneficiaries are. | Outcome Indicators Outcome indicators describe conditions at the end of the project indicating that the project objective has been achieved. They therefore measure the short-term results at the level of beneficiaries, like school enrolment, percentage of girls among the children entering in first year of primary school etc. | Means of Verification Means of verification are specific sources from which the status of each of the indicators can be ascertained, e.g. reports of ministries, project reports, laws, statistics, assessments, etc. | Assumptions To ensure a proper vertical logic, it is essential to attribute assumptions and/or risks to the corresponding level of intervention (in this box assumptions at outcome level which are relevant for achieving the goal (overall objectives) need to be stated). |
| Outputs Outputs (expected results) are the "deliverables" – the tangible results that the project management team should be able to guarantee delivering. For clarity of logic, one output statement for each corresponding project component is recommended. | Output Indicators Output indicators measure the quantity and quality of outputs, like the immediate and concrete consequences of the measures taken and resources used: e.g. number of schools built, number of teachers trained. | Means of Verification Means of verification are specific sources from which the status of each of the indicators can be ascertained, e.g. reports of ministries, project reports, laws, statistics, assessments, etc. | Assumptions Formulate assumptions and/or risks at output level, which are relevant for achieving the outcome (project's objective). |

| Activities | Inputs |
|---|--|
| Activities within a logical framework matrix are the activities that have to be undertaken by the project to produce the outputs. The activities take time to perform. Critical factors for carrying out activities are professional skills, the availability of sufficient financial resources and the absorption capacity of the local partners as well as of the target groups and beneficiaries. | Inputs are all financial, human and material resources for carrying out the planned activities and managing the project. These are typically human resources, money, materials, equipment and time. A distinction should be drawn between human resources and material resources. |

Logframe to be filled out by ECP applicant

| Logical Framework Approach | | | |
|--------------------------------|-----------------------------|------------------------------|---|
| Name of the project: | | | |
| Region: | Duration of project: | Applicant: | Applicant contact details: |
| Target population: | Beneficiaries: | Amount: | Implementing partner organization: |
| Goal | Impact Indicators | Means of Verification | |
| Goal | | | |
| Outcome | Outcome Indicators | Means of Verification | Assumptions |
| Outcome | | | |
| Outputs | Output Indicators | Means of Verification | Assumptions |
| Output 1 | | | |
| Output 2 | | | |
| Output 3 | | | |
| Output 4 | | | |
| Activities | Inputs | | |
| Activities related to Output 1 | | | |
| Activities related to Output 2 | | | |
| Activities related to Output 3 | | | |
| Activities related to Output 4 | | | |



Budget Template: Core Project

| | |
|---------------|--|
| Project: | |
| Currency: CHF | |

| Description | Budget | | | Expenditures | | | Remaining Budget | | | Total |
|---|----------------|--------------|--------------|--------------|----------|----------|------------------|----------|----------|-----------|
| | Year 1 | Year 2 | Year 3 | Year 1 | Year 2 | Year 3 | Year 1 | Year 2 | Year 3 | Remaining |
| 1 Human resources | | | | | | | | | | |
| 1.1. Salaries | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 1.2. Staff training | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Subtotal Human resources | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2 Project management costs | | | | | | | | | | |
| 2.1. Office supplies | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2.2. Telecommunication/Internet | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2.4. Photocopies & publishing | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2.5. Bank fees | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2.6. Audit | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2.7. Other admin costs | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Subtotal Project management costs | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 3 Material & equipment | | | | | | | | | | |
| 3.1. Furniture | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 3.2. Computer & IT material | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 3.3. Rent | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 3.4. Electricity, water, gas | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 3.5. Maintenance, repairs | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 3.6. Laboratory materials | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Subtotal Material & equipment | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 4 Transportation costs | | | | | | | | | | |
| 4.1. Vehicle rent | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 4.2. Vehicle repair, maintenance, insurance | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 4.3. Vehicle fuel | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 4.4. Staff traveling | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 4.5. Material Transportation | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 4.6. Air travel | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Subtotal Transportation costs | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 5 Beneficiaries | | | | | | | | | | |
| 5.1. Education materials | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 5.2. Games & training materials | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 5.3. Training costs | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 5.4. Assistance to community | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Subtotal beneficiaries | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 6 Total in the field | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 7 % Overheads | 0.00% | 0.00% | 0.00% | | | | | | | |
| 8 Total budget/year | 0.00 | 0.00 | 0.00 | | | | | | | |
| 9 Total Project Budget | 0.00 | | | | | | | | | |
| 10 Expenditure calculation in % | #DIV/0! | | | | | | | | | |

Instructions for use:

1 **Human resources** includes project staff costs only (admin staff, coordination, project manager etc.)

2 **Project management costs** mean all costs for the project office only

3 **Material and equipment** used for the project office only

4 **Transportation costs** include all transportation-related costs for the project office only

5 **Beneficiaries** means all the funding for beneficiaries, such as:

- *Education materials*: books and other materials for children,

- *Games and training materials* can include toys, and any other training materials

- *Training costs* could include venue, training fees etc for educators, teachers and others, transportation etc.

- *Assistance to community* can include salaries for educators, teachers, researchers, nurses, health workers etc; can also include items like school uniform, stationary for children and/or schools, excursions with children, medicines and equipment.



Click to reset form

Core Comprehensive Evaluation

 GIFTS ID
 Evaluator ***
 Core area ***
 Country

Submitting organization:

Project title:

| Scoring guidelines | | | | | | | | | | | | | |
|--------------------|--------------|---|--------------|---|-------------------|---|------------|---|------|---|-----------|---|-----------|
| 0 | not to judge | 1 | insufficient | 2 | barely sufficient | 3 | sufficient | 4 | good | 5 | very good | 6 | excellent |

| Criteria | Score (0-6) | Comment | |
|---|-------------|---------|-----|
| Project description and plan (Application parts B&D) | Element 1 | 0 | ... |
| | Element 2 | 0 | |
| | Element 3 | 0 | |
| | Element 4 | 0 | |
| | Element 5 | 0 | |
| | Element 6 | 0 | |
| | Element 7 | 0 | |
| | Element 8 | 0 | |
| | Element 9 | 0 | |
| | Element 10 | 0 | |
| | Element 11 | 0 | |
| | Element 12 | 0 | |
| | Element 13 | 0 | |
| Context analysis (App Part C) | Element 1 | 0 | ... |
| | Element 2 | 0 | |
| | Element 3 | 0 | |
| | Element 4 | 0 | |
| | Element 5 | 0 | |

| | | | |
|--|------------|------------|-----|
| Monitoring and dissemination (App. Part E) | Element 1 | 0 | ... |
| | Element 2 | 0 | |
| | Element 3 | 0 | |
| Organizational analysis - Implementing partners (App. Part F) | Element 1 | 0 | ... |
| | Element 2 | 0 | |
| | Element 3 | 0 | |
| | Element 4 | 0 | |
| | Element 5 | 0 | |
| | Element 6 | 0 | |
| Appendices | Appendix 1 | 0 | ... |
| | Appendix 2 | 0 | |
| | Appendix 3 | 0 | |
| | Appendix 4 | 0 | |
| | Appendix 5 | 0 | |
| Average score | | 0.0 | |

| | |
|---|--|
| Conflict of interest: No: <input type="checkbox"/> If yes, please explain. | |
| Global issues (including political sensitivities and global trends) | |
| Recommendation for funding | |



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Progress Report Core Projects

For internal use only
GIFTS ID
Grant area ...
Project cycle ...

Part A – Administrative information – organization & project

Name of organization

Street address

Postal code

City

Country of applicant

Name and title of responsible person (incl. salutory title like Dr., Mr., Mrs.)

Telephone (incl. country code)

Email

Website

Type of organization [Select one below]

Organization competencies

Title of project (for communication purposes – max. of 50 characters)

Key project partners (incl. name, country, and project role of organizations):

Funding received from UBSOF so far (in Swiss francs):

Project support has been going on since:

TOTAL funding from UBSOF:

Countries in which project takes place (specify country, region, district or towns as appropriate):

Funding received from other donors so far (please specify amount and donor):

Part B – Project summary (in a nutshell)

1) Project objectives

a) Key message of your project (as per application part B2, i.e. 1-2 sentences)

b) Please detail the objectives listed in your original project proposal, including who you involved in your project (i.e. community partners, government, etc.) and what was your target population/sample. (as per application part D)

- 4) Please include how the main stakeholders (internal and external) view the project (i.e. was it a success, did it provide important information, etc), how you would assess the overall cooperation/coordination with the various stakeholders, and what potential implications your project has for the following: (1) current body of knowledge, (2) policy, (3) community practice?

Part D – Project details

1) Strategy & methodology

- a) Have there been any changes to the target population (including direct and indirect beneficiaries)? If yes, please explain.

- b) Have there been any changes to the project strategy? If yes, please explain.

- c) Have there been any changes to the project methodology? If yes, please explain.

d) What problems have you encountered during this reporting period, and what were the measures taken to address these problems?

e) What other potential risks threaten the success of the project?

2) **Milestones and achievements**
 please detail the status of the milestones listed in your original project proposal and if they have been achieved. Optional: rather than fill out this table, you can put this information into Appendix C.

| Milestone | Due date | Achievement | Comment if not achieved |
|-----------|----------|-------------|-------------------------|
| | | | |

3) **Impact and outcome measures (for Education & Child Protection partners, please use Appendix D "Logframe" instead of filling out this section)**

a) What has been achieved regarding outputs/measurable indicators during the reporting period? Please compare with your initial planning

b) What has not been achieved regarding outputs/measurable indicators?

c) What are the reasons for not achieving

d) What has been the impact of these achievements?

e) What conclusions do you draw from the current status for the future of the project?

4) Provide an update on activities/achievements related to gender aspects (i.e. reducing gender disparity in workplace or at school for instance

5) Capacity strengthening

a) Please describe what the project's contribution to capacity strengthening has been during this reporting period?

b) How does the North-South partnership work, and how could it be improved?

6) Human and physical resources

- a) Provide an update on the resources needed for the project. If there are discrepancies from the original plan, please explain.

7) Sustainability

- a) What steps have you undertaken in regard to replication and scaling up of the project?

- b) How advanced is your plan for financial sustainability beyond the phase funded by UBSOF (i.e. what is your exit strategy)?

8) Scale-up

- a) Provide an update on how your project idea could be replicated elsewhere and/or could be "scaled up" from a local to a regional/national/global level (i.e. multiplier effect).

Part F – Outlook and Analysis

1) What lessons have you learned during project implementation, and how is this impacting future project planning? in the different project phases: planning, implementation, phasing out?

2) SWOT Analysis: Please provide a brief analysis of 2-4 bulletpoints for each of the categories related to your core project

| Strengths | Weaknesses | Opportunities | Threats |
|-----------|------------|---------------|---------|
| | | | |

Conclusions to be made from SWOT (maximum 2-3 sentences)

Appendices

- A. Organizational set-up (business plan including risk management)
- B. Financial report
- C. Gantt chart with milestones and timelines
- D. Logframe showing the progress of the project

FOR INTERNAL USE (please leave empty)

Lessons learned

Recommendation

Thank you for submitting this report – by submitting this report, you are consenting to the use of this information in UBS Optimus Foundation communication efforts and for the sake of program improvement. We wish you the best in all future endeavors!



Project Visit Report

For internal use only

GIFTS ID ...

Grant area ...

Project manager ...

Project cycle ...

Part A – Background information

1. Organization and project

Name of project organization ...

Name and title of responsible person

Website **http://**

Title of project (for communication purposes – max. of 50 characters) ...

Key project partners (incl. name, country, and project role of organizations): ...

Date when contract signed with UBSOF ...

Date when project activities began ...

Countries in which project is taking place ...

2. UBSOF evaluator

Name(s) ...

UBSOF function of evaluator(s) ...

Date and duration of project visit ...

Estimated total cost of trip (travel, accommodations, meals, etc.) ...

Terms of reference (TOR)

purpose and objectives of the evaluation

- ⇒ To get to know the project partner and to familiarize with the project
- ⇒ To inform partner about reporting/monitoring (Reports, external evaluation) and general aspects of UBSOF
- ⇒ To evaluate the current status of the project in terms of planned activities, achievement of milestones
- ⇒ To assess the involvement of different stakeholders (community including children, parents; local & national authorities)
- ⇒ To assess the potential for scaling up of the project to other communities or regions
- ⇒ For all ECP projects, to review CPP checklist with partner

Program & activities of evaluation (overview of people & places). Attach a more detailed program if available.

Part B – Executive summary

1. Provide a brief project description, e.g. overlying objectives, activities and targeted beneficiaries.

2. Highlights ...

- Of the project in general
- Of the emerging impact & outcome
- Of the collaboration among partners
- Of the feedback from beneficiaries

3. Key findings ...

- With regard to project relevance
- With regard to topic relevance
- With regard to effectiveness
- With regard to efficiency
- With regard to capacity strengthening
- With regard to miscellaneous criteria
- With regard to project management and financial administration

4. Burning issues ...

- With regard to project activities
- With regard to project outlook
- With regard to miscellaneous issues

5. Global assessment ...

- By evaluation team
- By project beneficiaries
- By project-related staff
- By other stakeholders

6. Project outlook – next steps ...

- What next steps are critical for future project-related activities to ensure successful project completion?

Part C – Context analysis

1. Provide an assessment of the project activities & project partner's relationship with others who are active in the field.

- Define areas of cooperation and coordination. ...
- Describe any problems and if there are plans to improve this situation?

2. How you would assess the overall cooperation/coordination with the various stakeholders (internal and external) seen during the project visit?

- Define areas of cooperation and coordination. ...
- What potential implications does the project have for the following: (1) current body of knowledge, (2) policy, (3) community practice?

Part D – Project plan & activities

1. Activities, milestones and achievements ...

- Have the milestones so far been achieved and are on track? If not, please assess why.

2. Impact and outcome measures ...

- What outputs/measurable indicators have been achieved so far over the project's lifetime?
- Has any impact been seen with the achievements so far?

3. Reducing global inequities ...

- What have been the project's activities and achievements in reducing gender disparities, either in terms of education of girls or advancement of women?
- What have been the project's activities and achievements in strengthening local capacity? How has the North-South relationship worked in practice, and how could it be improved?
- What impact has the project had on improving the situation for the most disadvantaged in society?

4. Resource management ...

- In terms of human resources, are clear roles and responsibilities defined and utilized for staff? Have any changes been made during the project?
- In terms of infrastructure, has project equipment been appropriately allocated and adapted for the context? Are there any discrepancies from the original plan?

5. Sustainability & scale-up ...

- How likely is this project to be sustained? Have activities already been or are being carried out with regards to replication or scale up?
- Are there plans in place to allow the project to either phase out or continue to be financially sustained beyond the phase funded by UBSOF? Are these plans feasible?

6. Monitoring and dissemination

- What monitoring tools are being used ... and who is in charge of these?
- In terms of finances, how has management been handled? Have periodic audits (internal and/or external) been conducted of the project or the project's implementing partner?
- What activities are being undertaken to disseminate knowledge gained by the project?

Part E – Additional comments

- 1. Please provide additional comments you feel relevant to the project evaluation such as global trends and relevance for UBSOF to consider further funding.**

...



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External Evaluation

For internal use only
GIFTS ID
Grant area
Project mgr
Project cycle

Part A – Background information

1. Organization and project

Name of project organization

Name and title of responsible person

Website

Title of project (for communication purposes – max. of 50 characters)

Key project partners (incl. name, country, and project role of organizations):

Date contract signed with UBSOF:

Date of field activities beginning:

2. Evaluator

Name of evaluator(s)

Affiliation of evaluator(s)

Contact information (email and telephone) of evaluator(s)

Name and affiliation of co-evaluators or local translators (if any)

Terms of reference (TOR)

purpose and objectives of the evaluation

Approach and methodology

- What approach was used for the evaluation (desk review, site visit, etc.)?
 - At what project stage the evaluation was conducted?
 - Who among the project partners and beneficiaries was contacted for the review?
 - What instruments were used to conduct the evaluation (questionnaires, interviews, discussions)?
- Please provide a schedule.

Countries in which evaluation has taken place (specify country, region, district or towns as appropriate):

Part B – Executive summary (maximum: 2 pages)

1. Provide a brief description of the project, its overlying objectives and targeted beneficiaries.

2. Highlights

- Of the project in general
- Of the policy implications
- Of the North-South collaboration
- Of the feedback from beneficiaries

3. Key findings

- With regard to project relevance
- With regard to topic relevance
- With regard to capacity building
- With regard to miscellaneous criteria
- With regard to project management and financial administration

4. Lessons learned

- What are the most important lessons learned (not more than 5) for future activities?

5. Global assessment

- By evaluation team
- By project beneficiaries
- By other resource persons

6. Project outlook – specific recommendations

- What recommendations would you make for the project (not more than 5) to optimize future activities?

Part C – Context analysis

1. Has the situation in the country changed since the project's inception (particularly: new risks)?

- Were certain issues either over- or under-estimated?
- Were initial project assumptions correctly assessed by project team?

2. Has there been new evidence for the project hypothesis/primary objective during the project's lifetime?

- Include if new policies have been established or if new studies have been published.

3. Lessons learned

- What are the most important lessons learned (not more than 5) for future activities?

4. Provide an assessment of the project activities & project partner's relationship with others who are active in the field.

- Define areas of cooperation and coordination.
- Describe any problems and if there are plans to improve this situation?

5. How you would assess the overall cooperation/coordination with the various stakeholders (internal and external)?

- Define areas of cooperation and coordination.
- What potential implications does the project have for the following: (1) current body of knowledge, (2) policy, (3) community practice?

Part D – Project plan & activities

1. In the project proposal, was the strategy clearly defined and appropriate?

- Was the appropriate target population identified?
- Was the strategy appropriately defined at the time of project inception?
- If not, what changes would you have suggested? If changes have been made since then, are they appropriate?

2. In the project proposal, were the strategy and methodology clearly defined and appropriate?

- Was the methodology appropriately defined at the time of project inception in terms of timing, responsibilities, etc.?
- If not, what changes would you have suggested? If changes have been made since then, are they appropriate?
- What problems have been encountered, and have the appropriate measures been taken to deal with them?
- What potential risks threaten the project and have they been managed appropriately?

3. Milestones and achievements

- Have the milestones so far been achieved and are on track? If not, please assess why.

4. Impact and outcome measures

- What outputs/measurable indicators have been achieved over the project's lifetime?
- What expected outputs have not been achieved, and is it reasonable that they have not been?
- What impact has been seen with the achievements so far?

5. Reducing global inequities

- What have been the project's activities and achievements in reducing gender disparities, either in terms of education of girls or advancement of women?
- What have been the project's activities and achievements in strengthening local capacity? How has the North-South relationship worked in practice, and how could it be improved?
- What impact has the project had on improving the situation for the most disadvantaged in society?

6. Resource management

- In terms of human resources, were clear roles and responsibilities defined and utilized for project staff? Have any changes been made throughout the project?
- In terms of infrastructure, has the project equipment been appropriately allocated and adapted for the context? Are there any discrepancies from the original plan?

7. Sustainability & scale-up

- How likely is this project to be sustained? Have activities already been or are currently being carried out with regards to replication or scale up?
- Are there plans in place to allow the project to either phase out or continue to be financially sustained beyond the phase funded by UBSOF? Are these plans feasible?

8. Monitoring and dissemination

- What monitoring tools are being used and who is in charge of these? Were they appropriate?
- In terms of finances, how has management been handled? Have periodic audits (internal and/or external) been conducted of the project or the project's implementing partner? Do expenditures appear to be reasonable and justified by project activities?
- What activities have been undertaken to disseminate knowledge gained by the project – please provide a quantitative and qualitative report on publications, presentations or other dissemination activities/tools.

9. Relationship with UBSOF

- Is the project coherent with the UBS Optimus Foundation strategy? How has reporting to UBSOF been judged by the project partners and has it been adhered to in a timely manner?

Part E – Project outlook and analysis

1. Please provide an overall assessment of the project to date and its outlook, drawing on important aspects of the project which may not yet have been addressed.

Part F – Additional comments

1. Please provide additional comments you feel relevant to the project evaluation such as global trends and relevance for UBSOF to consider further funding.



Closing Report Core Projects

For internal use only

GIFTS ID

Grant area ...

Project cycle ...

Part A – Administrative information – organization & project

Name of organization

Street address

Postal code

City

Country of applicant

Name and title of responsible person (incl. salutory title like Dr., Mr., Mrs.)

Telephone (incl. country code)

Email

Website

Type of organization [Select one below]

Organization competencies

Title of project (for communication purposes – max. of 50 characters)

Key project partners (incl. name, country, and project role of organizations):

Total funding received from UBSOF (in Swiss francs):

Duration of project support:

Countries in which project has taken place (specify country, region, district or towns as appropriate):

Total funding received from other donors (please specify amount and donor):

Part B – Project summary (in a nutshell)

1) Project objectives

a) Key message of your project (as per application part B2, i.e. 1-2 sentences)

b) Please detail the objectives listed in your original project proposal, including who you involved in your project (i.e. community partners, government, etc.) and what was your target population/sample. (as per application part D)

2) Milestones and achievements

Please detail the status of the milestones listed in your original project proposal and if they have been achieved. Optional: rather than fill out this table, you can put this information in Appendix C.

| Milestone | Due date | Achievement | Comment if not achieved |
|-----------|----------|-------------|-------------------------|
| | | | |

3) Impact and outcome measures (for Education & Child Protection partners, please use Appendix D "Logframe" instead of filling out this section)

a) What has been achieved regarding outputs/measurable indicators over the duration of the project funding? Please compare with your initial planning

b) What has not been achieved regarding outputs/measurable indicators?

c) What are the reasons for not achieving

d) What has been the impact of these achievements?

4) Lessons learned and best practices

a) What lessons have you learned from the project? What would you do differently next time in the different project phases: planning, implementation, phasing out?

b) What best practices have you developed?

c) Have new cooperations/synergies between different institutions (NGO, government, etc.) been established during the project duration? What knowledge have you shared with communities or with other institutions in the same field?

d) Have you encountered unexpected problems in outcomes from the project implementation? If yes, how have they influenced the project's results?

5) **SWOT Analysis:** Please provide a brief analysis of 2-4 bulletpoints for each of the categories related to your core project

| Strengths | Weaknesses | Opportunities | Threats |
|-----------|------------|---------------|---------|
| | | | |

Conclusions to be made from SWOT (maximum 2-3 sentences)

6) **Sustainability**

a) **What have you achieved regarding replication and scaling up of the project?**

b) **Has financial sustainability been achieved? Please explain.**

Appendices

- A. Summary list of presentations, publications, and/or deliverables provided about the project
- B. Financial report
- C. Gantt chart with milestones and timelines
- D. Logframe

FOR INTERNAL USE (please leave empty)

Lessons learned

Global Recommendation for UBSOF Strategy (pre Project approach and area)

Thank you for submitting this report – by submitting this report, you are consenting to the use of this information in UBS Optimus Foundation communication efforts and for the sake of program improvement. We wish you the best in all future endeavors!

Appendix 1: Glossary

| | |
|--------------------------------|--|
| Activities: | Work performed to convert input into output. Within a logical framework matrix, activities take time to perform and have to be undertaken to produce outputs. Critical factors for carrying out activities are professional skills, the availability of sufficient financial resources and the absorption capacity of the local partners, target groups and beneficiaries. |
| Assumptions: | Statements that are presumed to be true. Within a logical framework matrix, assumptions describe conditions that could affect project progress, but are not under direct control of project management. An assumption is therefore a positive statement of a condition that must be met in order to achieve the project's objectives. |
| Audit: | Detailed examination of an organization's financial statements and records for the purpose of determining whether or not they are sufficiently accurate and properly representative. |
| Beneficiaries: | Individuals, groups or organizations, whether targeted or not, that ultimately benefit, directly or indirectly, from a project. |
| Bridging: | Internal process taken on by the UBSOF grantmaking team to advance a promising project from one phase of funding to a more mature phase of funding. |
| Budget narrative: | Explanation of a budget. Explanations can include the derivation of amounts, the itemization of totals, the purpose of purchased supplies and services, and the justification of the size of salaries, fringe benefits and indirect costs. Parameters and requirements for the budget narrative are usually included in the application package. |
| Capacity strengthening: | Building of capacities of partner organizations, civil society and/or governments by strengthening their knowledge, skills and attitudes. Capacity building can take the form of substantive, direct project design and implementation with a partner government or, in other circumstances, facilitating a bilateral or multilateral agenda for dialogue development put in place by concerned authorities. In all cases, capacity building aims to augment the benchmarks of management practices. |
| Closing report: | Reflects the whole implementation period, taking a review perspective and critically analyzing project success. In addition, lessons learned should be formulated in a way that they may guide future projects and programming. |
| Co-financing: | Joint and coordinated financing of programs or projects together with other philanthropic foundations or agencies. |
| Co-funding: | Project financially supported by a third party, other than UBSOF and the applicant alone. |
| Consolidation: | Bringing together various actors or processes. |
| Core projects: | Projects funded after a highly successful innovation project phase. Core projects are funded at a level of 100,000 to 300,000 Swiss francs per year and for an initial project period of three years. Core projects can be renewed as many as two times, such that a full project cycle could last up to a maximum of nine years. |
| Direct costs: | Total costs directly attributable to carrying out a grant project, including salaries, fringe benefits, travel, equipment, supplies, services, etc. |
| Dissemination: | Organised and coordinated sharing of project results on a large scale for a wide audience. |
| Due Diligence: | Process of investigating all risks associated with an organization or beneficiary. |
| Effectiveness: | Extent to which the program's or project's objectives are achieved, taking into account their relative importance. Effectiveness is therefore a measure of the ability of a program, project or task to produce a specific, desired effect or result that can be qualitatively measured. Effectiveness is to be distinguished from efficiency, which is measured by the volume of output achieved for the input used, as well as efficacy, which measures the ability to produce a desired amount of the desired effect. In plain terms: doing "right" things, i.e. setting right targets to achieve an overall goal (the effect). |

| | |
|--------------------------|---|
| Efficacy: | Capacity or power to produce a desired result. In plain terms: getting things done, i.e. meeting targets. |
| Efficiency: | Extent to which the costs of a project's objectives can be justified by its results, taking alternatives into account. Efficiency describes the ratio of the output to the input of any system and skilfulness in avoiding wasted time and effort. In plain terms: doing things in the most economical way (good input-to-output ratio). |
| Evaluation: | Systematic and objective comparison of an ongoing or completed project or program and results achieved, typically in terms of before/after a project intervention. The aim is to determine the relevance and fulfilment of objectives, efficiency, effectiveness, impact and sustainability. On the basis of this comparison, USBOF can determine possible future adjustments. |
| Feasibility: | Issue of whether the project objectives can really be achieved. |
| Financial report: | Accounting statement detailing financial data, including income for all sources, expenses, assets and liabilities. A financial report may also be itemized accounting that shows how funds were used by a partner organization. |
| Gantt chart: | Work plan, presented in the form of a chart, showing the major activities planned in their chronological sequence as well as the week or month in which they will be conducted. |
| Goal: | Overall objective or purpose to which an endeavor is directed. Within a logical framework matrix, the higher-level objective to which the project is expected to contribute. The term "contribute" implies that this project <i>alone</i> is not expected to achieve the development objective. The immediate objectives of other projects are also expected to contribute. This explains the importance to society in terms of longer-term benefits for final beneficiaries and the wider benefits for other groups. |
| Grantmaking: | Awarding funds to organizations that undertake activities for positive societal impact. |
| Guidelines: | Funding agency's requirements pertaining to the process of, and content in, proposals submitted for funding: general principles to be followed in evaluating proposals. Guidelines vary by funding agency. |
| Impact: | Changes caused by the implementation of a project, as a process or state, intended or unintended, occurred or pending: these changes may be either favorable or adverse. Within a logical framework matrix, project impact is also dependent on the project environment, given that a project is one element in a system of relationships with mutual interactions. |
| Indicator: | Quantitative and qualitative verifiable factor or variable that provides a simple and reliable means to measure achievement and results, and to reflect processes and changes in the context: quantity-quality-time-place. Indicators must be valid, reliable, precise, cost-effective and stated independently from other levels. Within the logical framework matrix, indicators should show how beneficiaries would benefit from the realization of the outputs. |
| Indirect costs: | Costs that are not directly linked to specific project activities or costs for common or joint objectives that cannot be identified readily and specifically with a particular sponsored project, instructional activity or any other institutional activity. |
| Influence: | The power to affect, control or manipulate something or someone. It is the action exerted by a project to cause change in a community or public opinion, when people accept a belief or behavior and agree both publicly and privately. |
| Initiatives: | USBOF funding phase of neglected areas that are under-financed and where there is both an urgent need for action and significant potential for sustained impact. Initiatives are funded at a level up to 2 million Swiss francs per year and for a project period of seven to ten years. |
| Innovation: | A new way of doing something, with new ideas successfully applied. In many fields, something new must be substantially different to be innovative. The aim of innovation is positive change, to improve someone's situation. Individuals or organizations directly responsible for the application of innovation are often called pioneers. |

| | |
|-------------------------------|---|
| Innovation projects: | USBOF funding phase at a level of 100,000 to 150,000 Swiss francs and for a project period of 12 to 18 months. Proposals are judged on topic relevance and responsiveness, an innovative approach and feasibility. |
| Inputs: | Entity of all financial, human and material resources to carry out the planned activities and manage the project. These are typically human resources, human resources, money, materials, equipment and time. Within a logical framework matrix, a distinction should be drawn between human resources and material resources. |
| Key message: | Words that describe how a project is unique. Key messages must be easy to say, understand and remember. In writing, they should leap off the page with authenticity and integrity. They can be used internally or externally and should describe how a project is special instead of how it is a “me too” project. |
| Leave alone: | Strategy of USBOF that involves close monitoring of innovation project partners, but excludes any intervention or capacity-building efforts during the project period. |
| Lessons learned: | Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome and impact. |
| Leverage: | The ability to call upon powerful actors to affect a situation where weaker members of a community or group or society are unlikely to have influence. |
| Logframe: | Management tool that assists in project design by clearly stating the key components: goal, including overall objective; outcome, including purpose or specific objective; planned outputs, including planned activities and inputs; how the project is expected to work and how success will be measured. The logframe may facilitate planning, implementation and evaluation of the program or project in a participatory and transparent manner. |
| Means of verification: | Specific sources within the logical framework matrix from which the status of each of the indicators can be ascertained, e.g. reports of ministries, project reports, laws, statistics, assessments, etc. |
| Milestones: | Explanation of how a project is faring: thresholds indicating whether a project is on track to finish as expected, planned and required. Together with milestones, USBOF develops an operational plan to describe short-term ways of achieving the established milestones. |
| Monitoring: | Continued observation that uses systematic collection of relevant and selected data to provide management and the main stakeholders of a project with indications of progress, achievement of objectives, process, and impact. |
| Needs-based approach: | A focus on what people need or are in short supply of and, therefore, on what they should be given. |
| Non-eligible costs: | Costs that are not considered eligible: return on capital, debt and debt service charges, provision for losses or potential future liabilities, other interest owed, doubtful debts, exchange losses, VAT, costs declared by the partner in connection with another activity or work program, excessive or reckless expenditure, contributions in kind, gifts and presents, and recreational and touristic side programs. |
| Outcome: | Immediate impact on the project area or target group, which the project hopes to generate by producing several project outputs or expected results. Within a logical framework matrix, there should be only one clearly-stated outcome, which is not a reformulation of the outputs. It is important to specify in the outcome who the intended project beneficiaries are. |
| Outputs: | Expected results: deliverables, or tangible results that the project management team should be able to guarantee delivering. Outputs are usually delivered on a certain date or dates. Within a logical framework matrix, one output statement for each corresponding project component is recommended. |
| Overhead costs: | Management and support costs of an agency’s headquarters that are not directly linked to the project. USBOF considers overhead costs of up to 10 percent of the overall budget. |

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| Partner: | Organization, institution, INGO, NGO or community-based organization that collaborates to achieve mutually-agreed objectives and shares responsibility, accountability, benefits, risks and endeavors. |
| Phasing out: | Plan that allows for a donor to disengage from a project or program while leaving the project or program in a position to continue sustainable operations without further inputs from the donor. Phasing-out strategies must be defined for each situation. Its purpose is not to hasten the exit, but to improve the chance of sustainable outcomes for the program or project. |
| Program: | USBOF funding phase that combines a set of projects that have demonstrated success in their local context and that have the best potential to be adapted to additional communities within a country or region. Programs are funded at a level of 500,000 to 900,000 Swiss francs per year and for a project period of five to nine years. |
| Proposal: | Written request for a grant or contribution. Proposals usually outline why the grant is needed, the purpose it will serve, the plan for meeting the need, the amount of money needed and background about the applicant. |
| Replication: | Duplication of a successful project from a particular location to one or more different locations. Replications are not necessarily exactly the same as the original, in order to incorporate local variations in opportunities and problems. However, replications make use of the knowledge developed during the original program and avoid reinventing the wheel. |
| Reporting: | Demonstration of a project's detailed activities in an agreed format, using quantitative and qualitative information. |
| Risk: | Possible, usually negative outcome or likelihood of a danger or failure. Within the logical framework matrix, risks are external conditions that are outside the project's control. A risk is a negative statement of a condition that might prevent the project's objectives from being achieved. |
| Stakeholder analysis: | Identification of all stakeholder groups likely to be affected, either positively or negatively, by the proposed intervention, as well as the identification and analysis of their interests, problems, potentials, etc. The conclusions of this analysis are then integrated into the project design. |
| Sustainability: | Continuation of benefits and effects generated by a program or project after its termination, including institutional, social, economic and environmental factors. Sustainability also includes the ability to meet the needs of today's people and environment without compromising that of subsequent generations. When a program seeks to create sustainability, it aims to create an environment that can renew itself without damage to future stakeholders. |
| SWOT analysis: | Analysis of an organization's S trengths, W eaknesses, O pportunities and T hreats: a tool that can be used during all phases of the project cycle. |
| Target population: | Key stakeholders, persons or groups affected by or who have the power to affect a project's outcome. This includes poor, low-income, vulnerable and excluded social groups as well as local organizations, NGOs and government authorities. |
| Terms of reference: | Description of objectives, key issues, intentions, anticipated results and methodologies for short-term tasks. Usually used to prescribe specific mandates for consultants, e.g. for the purpose of conducting an external evaluation of a project or program. |
| Value chain: | Systematic grantmaking approach that facilitates the development, validation, promotion and dissemination of innovation. |



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