Form for the submission of proposals to the 2021 Call for India, Mozambique and Peru
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1. Introduction

In line with the 2030 Agenda and in particular with Sustainable Development Goal number 8 (Decent Work), the objective of the “la Caixa” Foundation Work 4 Progress programme is to encourage innovation and quality employment among vulnerable women and young people through the creation of innovation networks or platforms formed by civil society organisations, universities and public stakeholders.

Work 4 Progress is currently implementing three innovation platforms to create employment:

- Work 4 Progress India,
- Work 4 Progress Mozambique and
- Work 4 Progress Peru.

**Work 4 Progress makes the most advanced social innovation tools available to international cooperation programmes.**

The main innovations of this programme are:

- New **listening** tools to identify problems and needs
- New **co-creation, prototyping** and **scaling** methodologies
- Developmental and impact **evaluation** systems.
- New **financing** strategies.

- **Generation and systematization of knowledge** through publications, events and other dissemination activities (think tank).
The crisis caused by the COVID-19 pandemic makes it even more necessary to encourage opportunities and to create employment for young people and women from vulnerable communities.

2. Objectives of the call

The Work4Progress 2021 call for India, Mozambique and Peru has the following objectives:

Main objective:

- **Acceleration and scaling of inclusive businesses** that promote local and sustainable economic growth, while encouraging innovation and, particularly, technological innovation and digitization.

- Proposals should implement **innovative solutions that have already been successfully developed and tested** in pilot trials, with a view to replicating them on a large scale in the following areas:

  - **Acceleration and scaling** of business and service prototypes already designed by the Work4Progress programme.

  - Design of new **medium and large-scale prototypes**.

  - **Development of technological innovations**, including digitization of businesses with priority for those that complement the activities implemented by the Work4Progress programme.

Complementary objectives:

- Promotion of **access to markets**, with priority for the participation of the business sector.

- Improving **access to micro-finance** for the beneficiary population, especially women and young people.

- Strengthening collaboration among sectors (government, social sector, academia and companies) and networking.

- Access to **sources of co-financing** (calls, local philanthropy, impact investment).

- **Raising awareness of the impact potential** and systematization of best practices and lessons learned.
3. Geographical areas of action

India, Mozambique and Peru and, preferably, the regions where the Work4Progress programme is currently being implemented, or other regions in which it is possible to make connections and create synergies with Work4Progress programme activities. For further information, see Annexes I, II and III.

4. Eligibility requirements

Any network of 2-3 institutions that submit a project for strengthening any of the existing platforms in accordance with the general and complementary objectives described in section 2 may take part in this call.

To be eligible, applicant networks must comply with the following requirements:

- They must include at least two of the following types of institutions:
  - Not-for-profit institutions;
  - Academic and research institutions;
  - Incubators and accelerators of social enterprises with a presence in the target countries;
  - Social economy companies and business associations, provided that the costs incurred by these associations and organizations are direct, and roles and responsibilities are clearly defined in the proposal and reflected in the budget.
  - They must have the support of local partners and coordinate with the local authorities.
- They must have sufficient capacity and structure.
- They must have proven experience of joint work and flexibility to belong to a social innovation platform.

The networks must be represented by a leading institution, which must necessarily:

- Be a not-for-profit organization.
- Have an audit report.
- Have at least 5 years’ experience in fighting poverty, generating employment, international cooperation and/or innovation, especially technological.
- Have at least 3 years’ experience in the target country if a Spanish or international institution.
- Have experience of collaboration with Spanish organizations, if not a Spanish institution, and/or with multilateral bodies (UNDP, etc.).
The following will likewise be viewed very positively:

- Possession by the institutions of each network of quality certifications.
- Membership of bodies, networks and platforms of coordination and collaboration.

At the time of signing, the institutions must:

- Be up-to-date with their obligations to CaixaBank, where applicable. To these ends, the institution authorizes CaixaBank and “la Caixa” Foundation to perform the checks that they should deem necessary.
- Be up-to-date with their tax and employment obligations (certificate from the Tax Authorities and from the Social Security or equivalent official documents issued by the competent authorities of their countries of origin).
- Have sufficient capacity and structure to guarantee the programme’s objectives.
- Have successfully met the requirements of the compliance procedure of “la Caixa” Foundation.

Restrictions

- Public authorities, international or multilateral organizations and bodies are excluded.
- Entities may apply as leaders of a single network or consortium in this call.
- Institutions that have a currently effective collaboration agreement with the International Department of “la Caixa” Foundation may not enter.

5. Financing

“la Caixa” Foundation may finance up to a maximum of 800,000 euros, which it will distribute among members of the network/s of selected institutions, tax included where applicable.

Under no circumstances may the amount of subsidy awarded exceed 90 per cent of the total cost of the project. The provision of other funds amounting to a minimum of 10 percent of the total amount is necessary and a higher contribution will be viewed favourably. This contribution may come from the own equity of the network’s institutions or from other financial backers. In both events, these contributions must be monetary and allocated in full to financing direct costs.
For organizations from India, all costs arising from the new Foreign Contribution Regulation Amendment Act (FCRA) must be assumed by the applicant institutions and under no circumstances may funds from the call be allocated for this item.

6. Contents of applications

The applications submitted for this call must include:

**Plan of action**

- Proposed acceleration of the portfolio of prototypes for inclusive businesses and existing services.
- Proposed design of new larger-scale prototypes.
- Proposed technological solutions that contribute to technological modernization and digitization.

The plan of action must also include:

- Proposal for interconnection among existing prototypes and any new prototypes that may be developed.
- Proposed financial sustainability strategy (connection with investors, local philanthropy, etc.).
- Proposed listening methodologies for connecting prototypes with challenges and opportunities perceived on a community level.
- Proposed methodologies for processes of co-creation to convert needs and potentials identified into specific ideas and action.

The strategy must be designed with consideration for “la Caixa” Foundation and the partners of the current Work4Progress platforms as active agents of the stakeholders’ network.

**Timeline**

The applications submitted in this call must refer to projects with a maximum duration of 24 months.

A timeline or plan of action with details of the duration of the different phases of the proposal and of its specific activities must be submitted.
Budget

The budget should be presented using the Excel model to be found in the online platform for calls of “la Caixa” Foundation, bearing in mind the instructions associated with expenditure eligible for funding (see section 5 and Annex IV).

Work4Progress programme systemization

The proposals must adapt at the monitoring, evaluation and communication system of the W4P programme, and reserve funds to this end. A maximum of 10% of the total budget may be allocated to the processes of monitoring, evaluation, auditing and communication as a whole.

Monitoring:
The design and management of initiatives must be clearly **results-oriented**.

The Work4Progress programme therefore has **specific KPIs** that the institutions should bear in mind and update each quarter (Annex V).

In addition, the proposals must feature details of other specific quantitative and qualitative indicators that the institutions deem necessary to measure the progress of the project over time and the degree of achievement of the results proposed.

Hence, the development of specific qualitative and quantitative indicators for measuring the degree of innovation in the design of products, services and processes, and new indicators that offer information about the impact of the programme on **the quality of life of people** from the communities (aspects associated with education, health, etc.) involved will therefore be viewed favourably.

Evaluation, auditing and communication plan.
The evaluation, auditing and communication processes are considered essential to ensure the implementation and success of the Work4Progress programme.

The proposals must reserve budget items for incorporation in the Work4Progress programme’s process of evaluation, which includes:

- A **developmental evaluation** system for introducing modifications during the project. To ensure proper implementation of these processes, in each country Work4Progress has a figure external to the network of institutions that coordinates the monitoring and ongoing or developmental evaluation processes, and a series of specific tools that the institutions must use (Annex VI).
• An **impact evaluation** system that must be implemented by an external institution or person, hired by the leading institution by mutual agreement with “la Caixa” Foundation.

• An **annual audit**, to be performed by an external auditor and contracted by the leading institution by mutual agreement with “la Caixa” Foundation.

• A **plan of communication and systematization of knowledge**. The proposals must also offer details of the strategy and budget for communication and dissemination of the results for guaranteeing awareness of the programme, which includes the organization of annual contrast and dissemination events, participation at third-party organized events and the production of dissemination materials (a final audio-visual, a six-monthly newsletter, etc.). All the information generated by the network, including diagnoses, business plans, communication materials, etc., must also be shared on the W4P Virtual Lab online platform.

**Participation of the CooperantesCaixa corporate volunteering programme**

A proposal for possible online and/or onsite volunteering activities to be undertaken by CooperantesCaixa programme volunteers must be included.

This is a technical assistance programme in which the professional profiles of “la Caixa” Foundation are made available to the initiatives and their promoting institutions for undertaking specific actions, as well as actions in line with their competences.

The final selection of volunteers and the definition of their specific tasks will be established alongside “la Caixa” Foundation while the proposal is being implemented.

**7. Evaluation criteria**

The guiding principles for orienting action and the criteria that proposals must fulfil to be eligible for financing are listed below:

• Promotion of coordination and complementarity with stakeholders and activities of the current Work4Progress programme platforms in India, Mozambique and Peru.

• Promotion of the participation and empowerment of the most vulnerable and excluded sectors and particularly women and young people.
• Encouragement of innovation in processes, services and products.
• Having the potential economic viability to generate economic growth with a broad social base and to encourage the creation of employment (self-employment and/or salaried employment).
• Membership of sectoral and/or territorial production and value chains.
• Having the potential to enter markets (local, regional, national and/or even international).
• Increasing the quantity and quality of opportunities for collaboration among public and private stakeholders.
• Generation of a positive impact on community perceptions in the zone.

Under no circumstances will programmes involving a high level of welfare assistance receive backing. Given the nature of the call, backing for initiatives of a strictly social kind, i.e. projects exclusively in the areas of health, education, etc., is not envisaged either.

8. Application presentation method

The Work4Progress programme call will run from 20 April to 31 May 2021 at 5 pm (CET).

Applications must be submitted using the following link:
http://www.convocatoriaslacaixa.org/Convocatorias/

Applicants must follow the process detailed below and:

• Accredit each institution in the network by submitting the required administrative and curricular documentation (see Annex VIII).
• Complete and attach the application form, which may be downloaded from the link above.
• Attach the other necessary documents.

The entire proposal submission dossier must be presented online using the “la Caixa” Foundation calls application. Upon submitting the dossier, a reference number will be issued.

Applications submitted using other means (e.g., by fax, post or email) will not be accepted.

Applicants must check to ensure that their dossiers are complete by using the checklist that appears in these terms and conditions (see Annex IV). Incomplete applications will not be accepted.
Applications outside the deadline will not be accepted.

All documentation submitted to “la Caixa” Foundation will be filed and remain in its possession.

9. Selection and results of the call

“la Caixa” Foundation may select more than one network of institutions per country.

All proposals will be analysed, evaluated and prioritized by an external evaluation committee.

“la Caixa” Foundation may call the applicant institutions and their local partners to an onsite or online interview during the evaluation process. “la Caixa” Foundation may also make on-the-spot visits to the shortlisted applicants whenever possible.

The proposals selected by the external evaluation committee will be presented to the governing body of “la Caixa” Foundation for their definitive approval.

The decision to grant or deny funds will be communicated directly to the lead entity of the network.

If no proposals should meet the criteria established in these terms and conditions, the call will be declared null and void.

The final decision of the call may not be appealed.

10. Formalization of collaboration

“la Caixa” Foundation and the leading institution of the selected network/s will enter into a collaboration agreement in which the rights and obligations of both parties will be specified and the period of execution, the amount to be contributed by “la Caixa” Foundation, the method of payment and the submission of the monitoring, evaluation and audit reports, among other items, will be determined.

The institution that signs the agreement will be responsible for proper management of the funds for the project. The agreement will be subject to applicable legislation.
Should the institution not comply with the terms and conditions of the agreement, “la Caixa” Foundation may totally or partially suspend or cancel payments. In the event of negligent action by the cooperation institution, “la Caixa” Foundation may demand a total or partial refund of the amounts paid out.

The economic contribution of “la Caixa” Foundation will be paid into an account specifically for this initiative, which will be opened by the leading institution. If the leading institution is Spanish, this account must be opened with CaixaBank.

This account must be used solely and exclusively for the execution of the program (including the interest that this amount may generate in the account) for the entire duration of the program. The leading institution undertakes not to order transfers from this current account to current accounts held by the leading institution in other financial institutions.

Generally, as established in the agreement, “la Caixa” Foundation will pay the amount corresponding to the first year within a maximum of two months from the signing of the agreement. The following payments will only be made upon the request of the institution, subsequent to the presentation thereby of the corresponding monitoring reports and after their approval by “la Caixa” Foundation.

11. Monitoring and attestation

Monitoring reports
To maintain fluent communication and ensure good supervision and monitoring, the leading institution of the selected network must regularly issue “la Caixa” Foundation with reports on the technical and financial components specified below.

The parties will likewise remain in contact throughout the process and coordinate with the respective Work4Progress platform with a view to guaranteeing a constantly fluid exchange of information.

The following monitoring reports must be submitted:

- A narrative and economic monitoring report six months from the starting date, to be submitted within a period not exceeding two months.
- An annual narrative and economic monitoring report on programme execution, which must be submitted in a period of no more than two months after the end of each year.
- A narrative and economic monitoring report six months after the starting date of the second year of programme execution, to be submitted within a period not exceeding two months.
• A final narrative and economic report on the project, in a period of no more than two months after completion of the project.
• An annual audit report, which must be submitted within a period of no more than two months after the end of each year. The annual audit must be performed by external and, whenever possible, local personnel. The report from this audit will be issued to “la Caixa” Foundation in a period of no more than three months after the end of each year.

“la Caixa” Foundation will provide models for the narrative, economic and audit monitoring reports.

“la Caixa” Foundation may at any time ask for information it deems necessary to verify or to control the project.

The original receipts of all invoices and/or certificates of expenses must be made available to “la Caixa” Foundation when it so requests.

The performance and management of the project may be examined and audited by “la Caixa” Foundation or by a third party contracted by the Foundation to this end.

**Monitoring Committee**

A Monitoring Committee must be established. It should comprise an equal number of representatives from each party as well as an external coordinator. Representatives of the associated institutions in the network may also be invited to take part.

Unless otherwise agreed, regular onsite or online meetings (by telephone, Skype, vide conferenece, etc.) must be held to monitor the implementation of the Agreement and, when justified or required, technical meetings and contacts will be arranged upon request by either party.

The tasks of the Monitoring Committee include:

- Supervision of the programme’s development, implementation and progress.
- Provision of advice and/or recommendations about matters or needs that may arise regarding the programme’s implementation.
- Provision of advice and decision-making about the results of the programme evaluation processes.
- Provision of advice and decision-making about the incorporation or withdrawal of partners associated with the programme.
- Provision of advice and decision-making about the allocation of the programme’s funds.
- Conveying decisions or recommendations by the committee to the parties concerned in their respective organizations.
Agreeing and guaranteeing the implementation of a joint communication plan regarding the programme and all the associated activities, as deemed necessary.

12. Data processing and confidentiality

The corporate contact data of the persons acting on behalf of the participating institutions that are provided in the application for this call will be processed in accordance with current data protection legislation.

“la Caixa” Foundation is the institution responsible for processing the corporate contact details of the interested parties who act on behalf of the institutions answering the above-mentioned call.

The corporate contact data of the interested parties will be processed to allow for the development, fulfilment and control of this call, to which the institution has submitted an application, and to be able to maintain the commercial, contractual or collaborative relationships of “la Caixa” Foundation.

Interested parties may exercise their rights of access, rectification, erasure and portability, limitation and/or opposition to processing, by writing to “la Caixa” Foundation at the email address dpd@fundacionlacaixa.org or at its postal address (Avenida Diagonal, 621-629, 08028, Barcelona – Spain).

13. Resolution of queries and enquiries

For any questions or queries related to the submission process and the online platform, please contact:

The “la Caixa” Foundation Information Service
+34 902 223 040
Email: info@fundacionlacaixa.org

For specific questions about the contents, please contact:
Work4Progress Program of “la Caixa” Foundation
work4progress@fundacionlacaixa.org

We also inform that there will be three information and Q&A webinars about each of the countries of action:
India: May 10th, 2021 at 10h CET / Peru: May 14th, 2021 at 14:30h CET.
Mozambique: May 13th, 2021 at 10:00 am CET.
Click here to access:
https://zoom.us/j/93289349957?pwd=Q1AzTnpTdUVvK2pTQ0lubzIweig3UT09
Annexes:

I. Information about Work4Progress India
II. Information about Work4Progress Mozambique
III. Information about Work4Progress Peru
IV. Financing and eligible expenditure
V. Key performance indicators (KPIs)
VI. Developmental evaluation matrices
VII. Checklist of information for inclusion in the application dossier

I. Information about Work4Progress India

REGIONS:
Bundelkhand and Eastern Uttar Pradesh (State of Uttar Pradesh).

ORGANISATIONS INVOLVED:

Network 2: Alianza por la Solidaridad, Action Aid India, Gramonnati Sansthan, PAHCHAN Farmers Producer Company, Sai Jyoti Gramodayog Samaj Sewa Samiti.

PROTOTYPES:
- The India platform has designed and launched 63 prototypes of micro-enterprises led by an entrepreneur:
  - Network of entrepreneur guidance and advice kiosks.
  - Electric rickshaw companies run by women and offering services to women and girls.
  - Services such as beauty salons, dry cleaners, tailors’ shops, electrical appliance repair, mobile phone repair, vehicle repair, marquee rental, sound systems, printing, photography and video, formwork, welding, etc.
  - Retailing of feed for livestock, fertilizers, fruit, flowers, groceries, footwear, clothing, cosmetics, jewellery, devotional offerings, books, electronics, mobiles, construction materials, hardware, etc.
  - Roadside food stalls and cafés.
  - Bamboo craftwork, carpet weaving and pottery.
- Processing and manufacturing of flour, ice cream, dairy products, spices, furniture, paper products, plastic boxes, organic compost, etc.
- Wholesale of eggs.
- Poultry and goat farms.
- Vegetable farming.
- Water filtration and supply.

- Ecosystem support prototypes have also been designed such as the Regional Entrepreneurship Support Boards and microcredit instruments.
- A virtual co-working space has also been launched to promote entrepreneurship among women in rural areas.

**II. Information about Work4Progress Mozambique**

**REGIONS:**
Cabo Delgado and Maputo.

**ORGANISATIONS INVOLVED:**
Network 1: Ayuda en Acción, Mundukide, Adel, ESSOR, El-J, Technoserve, Universidade Politecnica, Grupo de Saneamiento de Bilibiza.

Network 2: Cesal, IPEME, Unilurio.

**PROTOTYPES:**

- Support for agricultural production in Cabo Delgado and Matutuíne (Maputo):
  - Production of grains and horticultural products.
  - Fruit seedlings.
  - Agroforestry.
  - Processing, packaging and drying of agricultural products.

- Guarantee fund for microcredits to small producers.

- Development of low-cost technologies for agriculture:
  - Pedal-powered machines for ploughing the land and distributing biopesticides.
  - Portable solar-powered water pumps.

- Associative rural enterprises for honey production, fruit drying and renewable energies (charcoal, solar lamps, improved cookers).
• Social enterprise for marketing products from Cabo Delgado.

• Occupational integration:
  - Vocational and human training for the occupational integration of young people in collaboration with Cabo Delgado companies.
  - Social enterprise for occupational integration.

• Network of women distributors of eggs in Pemba, in collaboration with a local egg producer.

III. Information about Work4progress Peru

REGIONS:
Condorcanqui (Amazonas) and Quispicanchi (Cusco).

ORGANISATIONS INVOLVED:
Network 1: Entreculturas, Fe y Alegría Perú, CCAIJO, AVSI, SAIPE, Universidad Antonio Ruiz de Montoya, Practical Action, Mainel, Grade

Network 2: Codespa, Sic4Change, Bridge for Billions, Universidad Nacional Mayor de San Marcos-Centro investigaciones Tecnológicas, biomédicas y Medioambientales (CITBM).

PROTOTYPES:

• Business Development Centres of Quispicanchi and Condorcanqui (incubator providing support to companies and seedbed for new companies led by young people).

• Family businesses that work with chickens, guinea pigs, alpaca fibre, bananas, community tourism, etc.

• Dairy product processing plant.

• Solidarity social enterprise for the marketing of products from the Cusco area.

• Denomination of origin for cheese from Ocongate and the cuisine of Quispicanchi.

• FREES Fund to provide loans to producer cooperatives in Cusco and the Amazonia.
• Development of low-cost technologies for:
  - Improved water management in Andean zones (Solid Rain and smart irrigation systems).
  - Banana flake drying.

• Job vacancies for young people.

• Vocational training of young people for entrepreneurship.

IV. Financing and eligible expenditure

The amount of the grant will be established in accordance with the budget and documentation submitted by the applicant institution and with the budget availability of the call. “la Caixa” Foundation may request clarification and, where applicable, reductions.

• Only the eligible expenses broken down in the attached table may be considered for the grant. To be considered eligible for the call, expenses must meet the following requirements:
  - They must be necessary to implement the project, be contemplated in the budget, clearly associated with the activities and adhere to the principles of sound financial management and, in particular, the principles of profitability and efficiency.
  - They must be paid by the applicant institutions while the project is being implemented. This does not affect costs associated with raising the baseline.
  - They must be entered into the accounts or tax documents of the applicant institutions, be identifiable and verifiable through the provision of original supporting documents.

• The following costs will not be eligible:
  - Debts and provisions for possible losses.
  - Interest owed, supplement charges or administrative and criminal penalties.
  - Expenditure already financed in another context.
  - Acquisition of real estate, unless it is essential for the direct execution of the project and is expressly authorized by “la Caixa” Foundation, in which case the property must be transferred to the final beneficiaries or to the local partners by the end of the project at the latest.
- Losses from currency exchange.
- Direct taxes (real estate, inheritance, etc.). Indirect taxes (VAT) are, however, eligible.
- Loans with third parties.

- Financial return yielded by funds from “la Caixa” Foundation to the applicant institutions must be accredited through certification and will be applied exclusively to defray the direct costs associated with the project. Applicant institutions must inform “la Caixa” Foundation of the headings under which these yields have been entered in the respective monitoring report or evaluation.

- As local contributions, valuations will be accepted, provided they are sufficiently accredited and intrinsically linked, either exclusively or proportionally, to the project in question. These valuations, like the other contributions, will be checked.

### TABLE OF ELIGIBLE EXPENSES:

<table>
<thead>
<tr>
<th>DIRECT COSTS</th>
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<tbody>
<tr>
<td>Identification and formulation</td>
<td>Costs arising from on-the-spot identification.</td>
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<tr>
<td>Lands and property</td>
<td>Funds necessary for the acquisition or lease of land and properties and their legal registration in the local land registers (taxes, fees, notary fees, legal licences, etc.). For acquisition or lease, once the grant has been awarded, written authorization from “la Caixa” Foundation International Department will be required, and jointly determined documentation must be provided.</td>
</tr>
<tr>
<td>Construction and refurbishment</td>
<td>Costs directly associated with construction and refurbishment work envisaged in the project (labour and transport of workers, materials and their transport, removal of debris, mandatory technical reports, licences, fees, mandatory insurance, site management, etc.). Constructions built during the subsidized programme will not be subject to the applicable depreciation. Documentation required:</td>
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<td></td>
<td>- For the execution of works valued at over 30,000 euros, a minimum of 3 different offers must have previously been requested for the purpose of comparison. A copy of the contract and certified copies of the invoices relating to any work that exceeds these amounts must be submitted with the final report.</td>
</tr>
<tr>
<td></td>
<td>- Building project endorsed by the respective professional association.</td>
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<td></td>
<td>- Building certifications issued by the construction company.</td>
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</tbody>
</table>
- An undertaking to assign the property or construction to the end for which it was awarded the grant and for a period of no less than 10 years.
- Evidential documentation in accordance with the legislation of the country in which the form of ownership of the construction is specified.
- If refurbishing leased properties, the owner's consent and the relevant permits must be included.

### Equipment and supplies

Acquisition, repair and maintenance of machinery, equipment, furniture, fixtures, transport items, computer equipment and material (hardware and software), as well as the supplies associated therewith that are directly linked to achieving the project's objectives. Costs arising from the shipment, installation and commissioning of the equipment will be included.

For supplies of capital goods for amounts of over 12,000 euros, a minimum of 3 offers from different providers must have previously been requested for the purpose of comparison.

### Local staff

Local staff are defined as personnel of the Spanish NGO or of its local partners or of another organization of the beneficiary group subject to the employment legislation of the country where the project is being implemented and in which it provides the services, in accordance with the corresponding employment regime, whose functions and work are directly associated with the programme.

Expenses for real wages, social contributions, insurance and other costs included in remuneration will be entered under this heading. Salaries and costs may not exceed those normally incurred by the applicant institutions and must be in line with the national salary scale. The necessary corroborative information must also be provided.

The allocation may be partial or total, depending on the level of commitment to the eligible project. Only the expenses of those personnel who form part of the operational plan, and without whom the project could not be implemented, will be accepted.

Neither penalties nor compensation for breach of contract attributable to the NGO, its partners or counterpart, nor supplementary charges for non-payment or delays in withheld taxes or social security may be entered.

Expenditure on technical advice may be entered under this heading, provided that the advice is given by local personnel or companies.

"la Caixa" Foundation reserves the right to ask the NGO, directly or through specially designated third parties, for the respective employment contracts which must bear record of the type of contract, professional category, salary and tasks to be performed, as well as the payslips signed by workers, Social Security contribution slips, invoices certifying the payment of insurance policies, income tax withholding forms, etc. It may also hold interviews with employees.

### Expatriate personnel

Expatriate personnel are understood to be workers of the Spanish entity, subject to Spanish legislation, who provide their services in the country of execution and whose tasks are directly associated with the project.

For those organizations that do not have expatriate personnel, the salaries of the persons from the Spanish institution who perform
tasks directly associated with the project may be entered under this heading. Invoices allocated in both these cases will be governed by the same criteria as required for local personnel or, in other words, the salary level of the employee must be duly justified (and in accordance with the organization’s salary scales).

<table>
<thead>
<tr>
<th>Technical and professional services</th>
<th>Expenditure on technical advice given by companies or consultancies may be entered under this heading.</th>
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</thead>
<tbody>
<tr>
<td>Travel, accommodation and allowances</td>
<td>This heading will include all expenses related to travel, stays and allowances, both for the personnel associated with the project (local and expatriate personnel) and for technicians, trainers and ultimate beneficiaries, directly associated with the planned action.</td>
</tr>
</tbody>
</table>

**INDIRECT COSTS**

| Indirect costs | A lump sum may be subsidized, up to a limit equivalent to 7% of the amount of the total eligible costs of the project requested from “la Caixa” Foundation, by way of indirect costs corresponding to the general administrative costs incurred by the applicant institution and local partners. |
V. Table of the W4P programme’s Key Performance Indicators.

<table>
<thead>
<tr>
<th></th>
<th>Total number of organizations that are part of the network</th>
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<tbody>
<tr>
<td>LISTENING</td>
<td>Number of participants</td>
</tr>
<tr>
<td></td>
<td>% Women</td>
</tr>
<tr>
<td></td>
<td>% Youth</td>
</tr>
<tr>
<td></td>
<td>Number of organizations/stakeholders (W4P + external)</td>
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<tr>
<td></td>
<td>Number of activities (workshops, focus group, in deep</td>
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<td></td>
<td>interviews, etc)</td>
</tr>
<tr>
<td>CO-CREATION</td>
<td>Number of participants</td>
</tr>
<tr>
<td></td>
<td>% Women</td>
</tr>
<tr>
<td></td>
<td>% Youth</td>
</tr>
<tr>
<td></td>
<td>Number of organizations/stakeholders (W4P + external)</td>
</tr>
<tr>
<td></td>
<td>Number of activities (co-creation sessions, etc.)</td>
</tr>
<tr>
<td></td>
<td>Number of prototypes co-created</td>
</tr>
<tr>
<td>PROTOTYPING</td>
<td>Number of prototypes (microenterprises + systemic) put</td>
</tr>
<tr>
<td></td>
<td>into operation</td>
</tr>
<tr>
<td></td>
<td>Number of enterprises started</td>
</tr>
<tr>
<td></td>
<td>Number of jobs generated / supported</td>
</tr>
<tr>
<td></td>
<td>% jobs for women</td>
</tr>
<tr>
<td></td>
<td>% jobs for youth</td>
</tr>
<tr>
<td></td>
<td>Number of people reached (1)</td>
</tr>
</tbody>
</table>
### VI. Developmental evaluation matrices

#### VI.1: Needs and Opportunities Correspondence Matrix

<table>
<thead>
<tr>
<th>Date Discussed as Platform (Please enter the date the discussion occurred)</th>
<th>Phase Identified</th>
<th>Prototypes</th>
<th>Narrative Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Participants in Platform Discussion</strong> (Please list names of all platform members included in this discussion)</td>
<td>Listening</td>
<td>Co-Creation</td>
<td>Prototyping</td>
</tr>
<tr>
<td>Needs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>Example: Income training for small holder producers on financial literacy</em></td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td><em>Example: Microfinance for fish farming</em></td>
<td></td>
<td>x</td>
<td></td>
</tr>
</tbody>
</table>

**Opportunities**
**Example:** Several links of a value chain for mobile banking exist in the region of XXXXX.

<table>
<thead>
<tr>
<th>x</th>
</tr>
</thead>
</table>

The 'Training program for smallholders' uses this opportunity by including a matchmaking module that seeks to connect links in a value chain in this region.

**Updates** (please list any changes made to the matrix since the most recent platform discussion)

<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
</table>
VI.2: Most Significant Change Ranking Matrix

<table>
<thead>
<tr>
<th>Most Significant Change Ranking Matrix</th>
<th>Reported significant changes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date of team discussion:</td>
<td></td>
</tr>
<tr>
<td>Team members present:</td>
<td></td>
</tr>
<tr>
<td>Ranking type: (select one). Platform</td>
<td></td>
</tr>
<tr>
<td>Prototype</td>
<td></td>
</tr>
</tbody>
</table>

| Individual / Organizational           |                                  |
| (please list the changes that were    |                                  |
| reported by all participants /        |                                  |
| organizations)                        |                                  |
| Reported by all participants /        |                                  |
| organizations)                        |                                  |
| 1                                     |                                  |
| 2                                     |                                  |
| 3                                     |                                  |
| 4                                     |                                  |
| 5                                     |                                  |
| 6                                     |                                  |

| Community / Platform (please list the |                                  |
| changes that were reported by        |                                  |
| all participants / organizations)     |                                  |
| Reported by all participants /        |                                  |
| organizations)                        |                                  |
| 1                                     |                                  |
| 2                                     |                                  |
| 3                                     |                                  |
| 4                                     |                                  |
| 5                                     |                                  |
| 6                                     |                                  |

| Significance (please describe why this |                                  |
| change should be considered significant)|                                  |
| Responses Required (please list any   |                                  |
| actions or decisions that should be    |                                  |
| taken to respond to the issues         |                                  |
| identified in the reported change)     |                                  |
| Lessons Learned (please record any     |                                  |
| institutional learning or insight       |                                  |
| generated by discussing this change    |                                  |
| report)                                |                                  |
| 1                                     |                                  |
| 2                                     |                                  |
| 3                                     |                                  |
| 4                                     |                                  |
| 5                                     |                                  |
| 6                                     |                                  |

Identify which of the reported changes you would like to share: 

<table>
<thead>
<tr>
<th>Individual / Organizational:</th>
<th>Rationale:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Community / Platform:</th>
<th>Rationale:</th>
</tr>
</thead>
</table>
## VI.3: Barriers and Enablers Matrix

<table>
<thead>
<tr>
<th>Platform Country</th>
<th>Prototype Region</th>
<th>Prototype Identification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Type</td>
<td>Score</td>
</tr>
<tr>
<td><strong>Team Members Present</strong> (Please enter names of Team Members)</td>
<td>Barri er</td>
<td>Enabl er</td>
</tr>
<tr>
<td>Factor</td>
<td>x</td>
<td>3</td>
</tr>
<tr>
<td>Example: Extended rainfall in project area</td>
<td>x</td>
<td>3</td>
</tr>
<tr>
<td>Example: Drop in peanut prices across district</td>
<td>x</td>
<td>3</td>
</tr>
<tr>
<td>Example: Regional government incentive program for value add production</td>
<td>x</td>
<td>2</td>
</tr>
</tbody>
</table>
VII. Checklist of information for inclusion in the application dossier

DOCUMENTATION RELATING TO THE PROPOSAL

- Duly completed application form.
- Timeline
- Budget

DOCUMENTATION RELATING TO THE LEADING INSTITUTION

- Tax ID card or certificate of the institution.
- Copy of registration in the corresponding registry.
- Copy of the bylaws, which must duly state not-for-profit status.
- Photocopy of the National ID Card of the signatory of the application.
- For foreign institutions: certificate of tax residence in the corresponding country.
- Business report for the previous year.
- Organizational chart of the institution.
- Page featuring a summary of the last audit report.
- Balance sheets for the last three years.
- Profit and loss accounts for the last three years.
- Short CV of the project manager at the institution (maximum 1 page).
- Country strategy and/or sectoral strategy document, if available.
- Documentation proving membership of networks, platforms and other coordination bodies.

DOCUMENTATION RELATING TO PARTNER INSTITUTIONS

- Tax ID card or certificate of the institution.
- Copy of the institution’s registration in the corresponding registry.
- Copy of the bylaws.
- National ID document or passport of the institution’s representative.
- For foreign institutions: certificate of tax residence in the corresponding country.
- Business report for the previous year.
- Organizational chart of the institution.
- Page featuring a summary of the last audit report
- Balance sheets for the last three years.
- Profit and loss accounts for the last three years.
- Country strategy and/or sectoral strategy document, if available.
- Documentation proving membership of networks, platforms and other coordination bodies.

COMPLEMENTARY INFORMATION

Any additional information deemed necessary for a better understanding of the proposal should be submitted on a duly separate document.