

This is our standard grant agreement and for information only. It is not pre-empting approval of any proposal/grant request. It may be subject to changes as agreed with Laudes Foundation and the respective partner as may be the case, and Laudes Foundation reserves the right to make changes to this template at any time.

Example NGO
Ms Miller
Example street
1234 Example City
Switzerland

Zug, 1 July 2020

Example NGO - Grant Reference No. GR-011111

Dear Ms Miller,

We are pleased to inform you that Laudes Foundation (**Laudes**) has agreed to provide your institution, Example NGO, (the **Partner**, and together with Laudes, the **Parties**) with a grant of EUR 150,000.00 to support the initiative **Labour Rights Advocacy**.

The grant agreement (the **Agreement**) consists of this letter, as well as the documents in the annexes. Please read these carefully.

ANNEX A: GRANT SUMMARY

ANNEX B: TERMS AND CONDITIONS

ANNEX C: DETAILED BUDGET

ANNEX D: RUBRICS FRAMEWORK

ANNEX E: PARTNER PROPOSAL

ANNEX F: LAUDES FOUNDATION REPORTING GUIDELINES

[Only for India based initiatives/partners: ANNEX G: FCRA COMPLIANCE GUIDELINES]

We ask that you sign this Agreement using DocuSign Advanced Signature to confirm your agreement with its terms and conditions, and guidelines.

We look forward to working with you and wish you every success with this initiative.

Yours sincerely,

[Name]
[Title]
Laudes Foundation

[Name]
[Title]
Laudes Foundation

[Name]
[Title]
Example NGO

ANNEX A: GRANT SUMMARY

PARTNER: Example NGO

GRANT REFERENCE NO.: GR-011111

PURPOSE OF GRANT: To implement labour rights advocacy tools (the **Initiative**).

AMOUNT: EUR 150,000.00 to be paid as outlined in the disbursement schedule below, subject to satisfactory completion of agreed deliverables (the **Funds**).

DURATION: The grant is to be used for initiative and reporting activities undertaken from 1 July 2021 to 31 January 2023.

CORRESPONDENCE: Any communication or notice between the Parties regarding the Agreement shall be sent by mail or electronic mail to be addressed as follows:

Laudes:

[First Name Last Name]
Grant Administration
Laudes Foundation
Grafenauweg 10, 6300 Zug
Switzerland
grants@laudesfoundation.org

Partner:

[First Name Last Name]
[Title]
Example street
1234 Example City
Switzerland
name@example-ngo.org

DISBURSEMENT: The first disbursement of Funds will be made within thirty (30) business days after this Agreement is signed by the Partner, subject to Laudes receiving complete banking information from the Partner as set out below and if applicable, Laudes' approval of deliverables as specified in the disbursement and reporting schedule. Subsequent disbursements will be made within thirty (30) business days of Laudes' approval of the Partner's reports and/or deliverables in accordance with the disbursement and reporting schedule below, and subject to the Partner's achievements and learning based on the rubrics framework as detailed in [Annex D](#).

Banking information Partner:

| | |
|--|---|
| Name of the bank: | [name] |
| Town and country: | [town and country] |
| SWIFT/BIC Code (<i>always 8 or 11 digits</i>): | [code] |
| IBAN code: | [code] |
| Account No.: | [number] |
| Currency: | [currency] |
| Exact name of account holder: | [name] |
| Additional information: | [additional information if relevant/applicable] |

REPORTING: The Partner will submit to Laudes monitoring report(s), an end-of-initiative learning report and deliverables as set out in the disbursement and reporting schedule below, each in accordance with the reporting guidelines set out in [Annex E](#).

| Disbursement and reporting schedule | | |
|-------------------------------------|---|---------------------------------|
| Submission Date | Requirement | Disbursement (if applicable) |
| 1 July 2021 | Signature of Agreement | EUR 50,000.00 |
| 31 July 2022 | <i>End-of-year monitoring report for the period 1 July 2021 to 30 June 2022</i> | EUR 75,000.00 |
| 31 January 2023 | <i>End-of-initiative learning report for the period 1 July 2021 to 31 December 2022</i> | EUR 25,000.00 |
| | Total | EUR 150,000.00 |

ANNEX B: TERMS AND CONDITIONS

FUNDING

1. **Leverage / Co-funding:** The Partner commits to use the Funds to leverage additional resources for the Initiative. The Partner agrees to provide Laudes with detailed information on co-funding (source and amount), leveraged resources (monetary value) and revenues generated (amount) in annual monitoring reports and the end-of-initiative learning report.
2. **Unused funds:** Laudes may request, and the Partner will then be obliged to the extent permissible under applicable law, to return or reallocate any unexpended grant funds remaining at the time of termination of this Agreement or at the end of the Initiative period.

DATA AND EVALUATION

3. **Intellectual property and licensing:** The Partner shall own all intellectual property rights in and to all materials conceived or developed by it under this Agreement. The Partner hereby grants Laudes an irrevocable, worldwide, royalty-free and unlimited license to use, reproduce, edit and publish all materials provided by the Partner to Laudes for the purpose of Laudes' internal and external activities (the **Materials**).

The Partner guarantees that:

- a. it has obtained all rights, licenses and consents to license all Materials to Laudes and the agreed use thereof does not infringe upon any intellectual property rights, personality and privacy rights, secrecy rights or any other third party rights;
- b. any personal data within the meaning of applicable data protection law submitted or incorporated in any report is collected and processed in compliance with applicable data protection and privacy laws; and
- c. the persons concerned are informed and give their consent to the processing of their personal data. Personal data should be anonymised / pseudonymised where possible. Except for pictures and subject to the aforementioned requirements, sensitive personal data must not be included in any report.

[OPTIONAL]: Some portion of the Materials might contain data that is distributed or made available as

“open source software” or “free software” or is otherwise publicly distributed or made generally available in source code or equivalent form under terms that permit modification and redistribution of such data (**Open Source Material**). Such Open Source Material is not subject to the terms of this Agreement to the extent the terms of this Agreement are in conflict with the Open Source Material's applicable terms or license that complies with the “open source” definition specified at www.opensource.org or any other comparable open source license.

4. **Confidentiality:** Both during this Agreement and after its termination, each Party shall observe strict confidentiality in relation to all information that is marked as confidential, that it receives and/or obtains from the other Party (**Confidential Information**). For the avoidance of doubt, Confidential Information does not include information that has entered the public domain, other than as a result of unauthorised disclosure by a Party or any other person. This Agreement is considered Confidential Information.

The Parties shall use the Confidential Information solely for the Initiative. A Party shall not without the prior written consent of the other Party disclose, communicate or otherwise make available the Confidential Information to any third party, unless such disclosure is required under applicable laws and regulations. This confidentiality provision does not prohibit the Partner from publishing, disseminating or otherwise disclosing the Materials unless the Materials contain Confidential Information.

A Party shall, whenever the other Party so requests, reasonably destroy or return to the other Party all Confidential Information and shall not be required to return or destroy any electronic copy of Confidential Information created pursuant to its standard electronic backup and archival procedures.

5. **Acknowledgment of support:** Subject to the Confidentiality provisions, both Parties may in their annual reports, websites, newsletters or their own social media channels acknowledge the support by Laudes to the Partner, the other Party's name, the grant amount, and the title, purpose, and duration of the Initiative without prior authorisation¹. The Partner must obtain written approval from Laudes

¹ Alignment with the Laudes Foundation Brand & Communications team is strongly recommended to ensure

mutually beneficial communications and appropriate use of branding.

prior to any mention of Laudes in the press or other external publications.

6. **Evaluation & audit:** Laudes may request that the Partner partakes in an independent evaluation of performance and achievement of results. In case an evaluation is required, Laudes funds and manages the independent evaluation and approves its scope, design and timing. The Partner further agrees to participate in ongoing developmental evaluations which Laudes conducts. The Partner shall keep proper record of all files related to the grant or the Initiative and will provide promptly such additional information as Laudes may request and will allow Laudes and its representatives to have reasonable access during regular business hours to files or personnel that are associated with this Initiative, for the purpose of making such financial reviews, verifications or programme evaluations as may be deemed necessary by Laudes. The Partner will further ensure to have the right to forward audit and other reports it has obtained from its subcontractors engaged for this Initiative to Laudes at any time and at the sole request of Laudes. All independent evaluations funded by Laudes will be published and are open-access. They can include a management response by the Partner if appropriate and necessary.
7. **[Option for research grants: Dissemination of results:** Subject to the conditions of this Agreement (including confidentiality), in case of a research grant, the Partner shall make the outcomes of the initiative, including the methodology, scholarly results or research findings, publicly available in line with the Laudes Foundation Research Procedures for the purpose of advancing knowledge and research to the benefit of the public. The research must state that it was funded (or co-funded) by Laudes, and conducted by the Partner's research team and that views expressed are those of the Partner's and not the view of Laudes.]

PERFORMANCE

8. **Key person clause:** This Initiative will be managed by the Partner's contact person: [insert name key person] (**Key Person**). The Parties agree that, although Laudes shall have no control over any of the Partner's hiring processes, Parties must mutually agree on any substitution of the Key Person.
9. **Subcontractors and regranting:** To the extent permitted under applicable law and to the extent the Partner will be engaging in subcontracting or regranting in the content of this Initiative, the Partner shall:
 - a. establish adequate procedures to assure the professionalism and reliability of its contractual partners;
 - b. conduct a proper due diligence review of each contractual partner prior to signing any contract;

- c. maintain records of all activities for which it hires a subcontractor or regrants the Funds; and
- d. sign a written contract with a subcontractor or sub-partner in relation to the Initiative that requires that:
 - i. the funds are used for the intended charitable purposes;
 - ii. the subcontractor or sub-partner provides regular progress reports of activities and spending, which can also be made available to Laudes upon its written request;
 - iii. termination by the Partner is possible with immediate effect in case of material non-performance, misrepresentation, illegal activity or negative publicity impacting Laudes; and
 - iv. the subcontractor or sub-partner complies with laws and policies, and principles of privacy, non-discrimination and safeguarding similar to those the Partner complies with as set out in the Compliance section of this Agreement.

10. Discontinuance: Each Party has the right to terminate this Agreement if the other Party (i) has materially failed to comply with this Agreement, or (ii) is the subject of any action or proceeding that threatens the ability of the other Party to continue its normal operation. This Agreement may be terminated by Laudes at any time with immediate effect, in whole or in part, at the sole discretion of Laudes, if:

- a. the Partner has made any material misrepresentation of any nature with respect to any information or statements furnished to Laudes in connection with this Agreement;
- b. the Partner, the Initiative, or any of the Partner's affiliated or related entities, officers or employees are involved in any activity that does not or may not conform to Laudes' charitable purpose or can lead to negative publicity for Laudes;
- c. the Partner or any of its affiliated or related entities, officers or employees becomes subject to a criminal investigation into, or is found guilty of, bribery, corruption, misappropriation, embezzlement, fraud, forgery or any other criminal offence;
- d. the Partner becomes subject to a change of control that exposes Laudes to reputational risks or materially threatens the execution of the Initiative; or
- e. (i) the performance of the Partner materially deviates from the rubrics framework as outlined in [Annex D](#); or (ii) there is material deviation of spend against budget as outlined in [Annex C](#); and/or (c) the Partner is not able to provide proof of co-financing as outlined in [Annex C](#) and Laudes acting reasonably considers the Initiative's implementation to be unsuccessful.

In addition, Laudes may, at its sole discretion, suspend performance of the Agreement for the above grounds a. to e. and request the Partner to take any action to remedy the Partner's default. Any suspension under the preceding sentence will be without prejudice to termination and Laudes will be entitled to terminate the Agreement on the above grounds a. to e. at any time during such suspension.

11. [Only applicable for US based initiatives/partners: No agency relationship:

This Agreement shall not be interpreted or construed to create an association, joint venture, agency relationship or partnership between the parties or to impose any partnership or agency obligation or liability upon either party. No Party shall have any right, power or authority to enter into any agreement or undertaking for, or to act on behalf of, or to act as or be an agent or representative of, or to otherwise bind, the other Party.

12. Independency: Parties acknowledge and agree that the Partner has developed and chosen to undertake the Initiative independently from Laudes and that it is not undertaken at Laudes' direction or request. Subject to the provisions of this Agreement, the Partner shall act entirely independently, at its own discretion and without guidance by Laudes in performing the Initiative. Laudes may give directions and/or instructions regarding the monitoring and evaluation of the grant in accordance with this Agreement, if such does not affect the manner in which the Initiative is performed (the **Instructions**). The Partner undertakes to act in accordance with the Instructions and not to undertake any activities that are contrary to applicable law and/or regulations.]

Unless otherwise agreed upon in this Agreement, Parties agree that nothing shall impact or restrict the editorial independence and authority of the Partner in its own activities. The partner will maintain an ethical wall between its reporting activities under this Agreement and the development or publication of content as part of its usual business activities.

COMPLIANCE

13. Laws and policies: The Partner shall comply, and shall ensure that its affiliated and related entities, officers and employees comply, with all present and future applicable laws and regulations, including, but not limited to, laws and regulations concerning (1) child protection and the protection of vulnerable adults; (2) bribery and corruption; (3) conflicts of

interest; (4) antitrust and fair dealing; (5) labour and labour conditions, including anti-modern slavery regulations; (6) discrimination and harassment; (7) local financial and tax, and (8) anti-terrorism. In particular, the Partner shall not, and shall ensure that its affiliated and related entities, officers and employees do not: (i) do anything in the delivery of the initiative which may put children or vulnerable adults at risk of harm or exploitation; (ii) use any grant moneys or funding received from Laudes directly or indirectly in support of any activities (a) prohibited by any laws combatting terrorism; (b) with or related to parties on any applicable International Sanctions List²; or (c) with or related to countries against which there are comprehensive embargos; and (iii) pursue any business, professional, personal, private or other interest that would in any manner conflict with the performance of the Partner's obligations under the Agreement or with the execution of the initiative.

14. Privacy: The Partner shall inform its employees and any other persons involved with the performance of this Agreement that their personal data, if and to the extent provided to Laudes, may be (i) processed by Laudes in connection with the performance of this Agreement; (ii) transferred to countries that do not provide an adequate level of protection; and (iii) shared with third parties affiliated with Laudes, each in accordance with the Privacy Statement as set out on Laudes' website: <https://www.laudesfoundation.org/partner-privacy>.

15. Non-discrimination: The Parties do not and shall not discriminate on the basis of race, colour, national origin, religion, gender, age, disability, sexual orientation, and/or other inappropriate criteria, in any of its activities or operations. These activities include, but are not limited to, employment, termination, promotion and demotion of staff as well as the selection of beneficiaries, recipients of (re)grants, subcontractors and other contractual partners.

16. Whistleblowing: The Parties are committed to treating all people with respect, dignity, fairness, equality, courtesy and open-mindedness. In its activities under this Agreement, the Partner will hold itself and Laudes to the highest standards of integrity and ethical behaviour and pledges to read and accordingly use Laudes' Whistle-blower Policy.

17. Safeguarding: In so far as the Partner's work involves work with children and/or adults³ at risk (**Vulnerable Persons**), the Partner will take all

² ² International Sanctions List means (1) the Specially Designated Nationals and Blocked Persons List (SDN List) of the U.S. Department of Treasury Office of Foreign Asset Control (OFAC); (2) the Consolidated List of Persons, Groups and Entities Subject to EU Financial Sanctions (CFSP List) of the European Union (EU); (3) the

³ Persons over the age of 18 who, for any reason (for example their age, gender, ethnicity, religion, physical, mental or other Consolidated United Nations Security Council Sanction List of the United Nations (**UN**); and (4) the List of Subjects of Sanctions of the State Secretariat for Economic Affairs (**SECO**) of Switzerland (any person listed on any such list, a **Prohibited Person**).

reasonable steps to ensure their safety. The Partner will have and comply with an appropriate written policy and set of procedures to safeguard Vulnerable Persons. Such policy and procedures shall as a minimum comply with the standards required by Laudes which are outlined in the 'Minimum Safeguarding Standards for Partners' on Laudes' website:

<https://www.laudesfoundation.org/safeguarding-partner-standards>.

Laudes reserves the right to review, recommend or require amendments to the Partner's safeguarding policy and procedures to ensure it meets the required standards. The Partner shall notify Laudes of all serious incidents in which a Vulnerable Person is harmed or placed at risk of harm and shall provide such details, ensuring privacy and not disclosing personal data, as Laudes shall require. Laudes shall, on giving reasonable notice, be entitled to request and receive information on the Partner's safeguarding practices and to visit the Initiative.

18. Representations: The Partner represents to Laudes that:

- a. the persons entering into the Agreement have full power, authority and legal capacity to execute and deliver the Agreement;
- b. there are no claims, investigations or proceedings in progress, pending or (to its knowledge) threatened against the Partner, officials or individuals working on the Initiative which could have a material adverse impact on the Initiative;
- c. all information that the Partner provided to Laudes under this Agreement is accurate and correct as of the date of the provision of such information; and
- d. no actual or suspected breach of obligations by the Partner under the Agreement has occurred and is continuing.

The representations by the Partner set out above shall be deemed to be repeated on the date of any disbursement of Funds under the Agreement by reference to the facts and circumstances then existing.

19. Exclusion of liability: To the extent permitted under applicable law, Laudes, its board members, officers, employees and affiliates cannot be held liable in connection with this Agreement, except in case of gross negligence, wilful misconduct or default and fraud. In particular, Laudes will not be liable to the Partner for any damages, costs, losses, liabilities or other detriments caused by the lawful suspension or termination of this Agreement.

MISCELLANEOUS:

20. Charitable funds: Laudes has qualified the Funds under this Agreement as charitable donation. The Partner guarantees that it is qualified to receive the

charitable funds in accordance with the laws that apply to it. The Parties acknowledge and agree that any gift tax payable or chargeable in connection with this Agreement shall be for the account of the Partner.

21. Counterparts: The Agreement may be executed in counterparts, which will constitute an original and taken together will constitute the same Agreement. Parties agree that electronic signatures through DocuSign Advanced Signature are equivalent to written signatures.

22. Amendment: Unless otherwise agreed by both Parties, any amendment to or waiver of any term of this Agreement will not be valid unless agreed upon in writing and duly signed by both Parties to this Agreement.

23. Severability: If any portion of this Agreement is found to be unlawful, the remaining parts of this Agreement shall remain in force and Parties agree to negotiate in good faith to replace the unlawful part with a similar, enforceable provision.

24. Assignment: The Partner must obtain Laudes' prior written consent to assign, transfer or pledge the Agreement or any rights or obligations thereunder.

25. No third party rights: No part of the Agreement shall create any rights in favour of any third party that is not a Party to the Agreement which shall impose any obligation on, or be enforceable against Parties.

26. No waiver: No delay or omission by a Party in the exercise of any power or right under the Agreement shall be construed as a waiver thereof or shall affect the right to enforce such power or right.

27. Survival: The Parties' rights and obligations under the provisions of the Agreement which by their nature are meant to remain applicable, shall survive termination of this Agreement. This includes, but is not limited to, Parties' rights and obligations under the clauses Confidentiality, Intellectual Property and Licensing, Discontinuance, Exclusion of Liability, and Miscellaneous.

28. Governing law and jurisdiction: This Agreement shall be governed by and construed in accordance with Swiss law. The U.N. Convention on the International Sale of Goods of 11 April 1980 shall not apply to the Agreement. Any dispute, controversy or claim arising in connection with the Agreement, shall be resolved by arbitration in accordance with the Swiss Rules of International Arbitration of the Swiss Chambers' Arbitration Institution in force on the date on which the Notice of Arbitration is submitted in accordance with these Rules. The seat of arbitration shall be Zurich, Switzerland. The arbitral proceedings shall be conducted in the English language.

ANNEX C: DETAILED BUDGET

[Insert most updated detailed budget]

ANNEX D: RUBRICS FRAMEWORK

| Relevant Laudes Rubric | Rubric Translation | Baseline | Evidence of the changes related to the Rubric | | |
|---|--|------------------------------|--|---|---|
| Number and Title of Laudes Rubric | Initiative outcome(s) related to this Laudes rubric | How the current situation is | Specific changes expected (and by when) within each outcome | Criteria (qualitative and quantitative) to assess how substantial and valuable | Initiative's contribution (outputs) to the expected change |
| Example B1. Building the right processes to create strong, stakeholder-informed policy reforms | Example Policymakers propose reforms to eliminate or reduce tax expenditures (TEs) that exacerbate inequality and those that harm the environment and lead to losses of biodiversity. | Using Laudes Ratings | Example List of the reforms that have been proposed (and, ideally, enacted) that will help eliminate or reduce tax expenditures that exacerbate inequality or damage the environment/ biodiversity. List of any important reforms needed but not yet proposed. | Example Assessment of robustness and comprehensiveness of the new reforms: <ul style="list-style-type: none"> Consistency across jurisdictions. Coverage of all important tax expenditures relating to inequality, environmental damage and biodiversity. Inclusion of substantial and proportionate incentives and disincentives to compel change, as well as reparations/remedies. | Example Description of what exactly the initiative will do (strategies and tactics) to help bring about the new reform(s) (e.g., how will the initiative's activities influence certain policymakers?) |

ANNEX E: PARTNER PROPOSAL

| | |
|--|---|
| Organisation legal name and registered office address | |
| Name: | |
| Address: | Country: |
| Main contact name, title and email | |
| Name: | |
| Title: | Email: |
| Authorised signatory/ies name/s, title/s, email/s and mobile phone number/s | |
| Name: | Mobile phone: + |
| Title: | Email: |
| Initiative title | |
| | |
| Geography/ies covered | |
| | |
| Duration | |
| Start date: | End date: |
| Funding type/s requested | <input type="checkbox"/> Programmatic Funding <input type="checkbox"/> General Operating Support ⁴ <input type="checkbox"/> Organisational Development Support ⁵ |
| Total cost⁶ | Total estimated cost and currency. ⁷ |
| Funding request | Amount that you are requesting from Laudes Foundation (cash), currency |
| Co- funding (in Euro)⁸ | Any additional resources that you or others are providing in addition to Laudes Foundation support (currency, amount and source) |

⁴ General Operating Support (GOS): Unrestricted funds aiming to support an organisation in executing its mission, and providing flexibility for use where needed, including on projects or programmes.

⁵ Organisational Development (OD): Funds intended to support an organisation in building its capacity. Often, OD funds are blended either with a project or a GOS grant.

⁶ For General Operating Support proposals please use total organisation budget for the years of the duration of the grant.

⁷ We accept funding requests in EUR, USD, GBP, CHF.

⁸ Co-financing is defined as financial or in-kind resources that are additional to the foundation grant and directly support the implementation of the initiative and achievement of results committed at approval. Types of co-finance are: grants, loans, equity investments, committed in-kind support.

1. CASE FOR PROPOSAL

1.1. Case for proposal (max 150 words)

| |
|---|
| <p>Why? <u>Why</u> should this initiative or organisation or, for GOS, the organisation be funded? Max two sentences.</p> <p>Why Laudes? Laudes' 2030 goal is an inclusive economy, where mindsets, rules and power have shifted to ensure that business and markets mitigate climate change and eliminate inequality. Please explain why this initiative or, for GOS, the organisation should be funded considering this ambition.</p> <p>Consequences if not funded: Please describe the consequences if support for this initiative or organisation was not provided by Laudes.</p> |
|---|

1.2. Context (max 150 words)

| |
|---|
| <p>Please describe the problem this initiative or, for GOS, the organisation seeks to address.</p> <p>If this is a continuation of a grant previously funded by Laudes, please answer if the problem changed since the initiative or, for GOS, the organisation received funding, and if so, how.</p> |
|---|

2. DETAILED PROPOSAL

2.1. Initiative summary

| |
|---|
| <p>What? What do you want to achieve? High level objectives.</p> <p>How? How do you do it? Brief description of initiative or, for GOS, the organisation How will your initiative or, for GOS, the organisation address the central problem? In particular, please describe your activities and how you believe they will contribute to the expected changes, and any assumptions on which your strategy depends. How will your initiative or, for GOS, the organisation factor in the voices and concerns of those that are being served by the effort? In particular, please also describe how the initiative or, for GOS, the organisation will affect women (or gender equity) and marginalized communities or individuals. How will your initiative or, for GOS, the organisation build on what has been tried before?</p> |
|---|

2.2 Lessons learned

| |
|--|
| <p>How will your initiative or organisation take into account lessons and / or successes of similar efforts? What will you do differently?</p> |
|--|

Laudes — — Foundation

2.3.2 How will you monitor, evaluate and learn during the period of this grant?

2.4. SWOT and Risk analysis / mitigation

(max. three bullet points for each S and O. Max three bullet points in total for W and T)

| | | |
|-----------------|---|--|
| Internal Origin | STRENGTHS Internal factors that make the organisation or initiative's position strong compared to others • • • | WEAKNESSES Areas to be improved 1. 2. 3. |
| External Origin | OPPORTUNITIES External factors that may contribute to the initiative and can build up on its strengths • • • | THREATS Potential problems / risks / unintended consequences 1. 2. 3. |

List on the right your main risks (weaknesses or threats as identified in the above SWOT analysis) and the respective mitigation strategies. Assess the risks' impact and likelihood and place the outcome in the matrix on left.

| Risk Analysis | | Mitigation Strategies |
|---------------|------|-----------------------|
| Impact | High | 1. In bullet points |
| | Low | 2. |
| Likelihood | | 3. |
| | | |

2.5. Strategic fit within the field

How does this proposal fit within the wider ecosystem of other organisations, including Laudes' existing grants?

Laudes — — Foundation

Is the initiative pioneering something new or adding to existing efforts? If new, how will it scale and build support? If adding to existing efforts, how will it add value beyond what is already happening?

3 BUDGET AND ORGANISATION

3.1 Budget summary

| Initiative | EUR | % / Initiative Total | Funder(s) |
|--|-----|----------------------|--------------|
| Initiative funding requested from Laudes | | | |
| Co-funding confirmed | | | Names |
| Co-funding pending | | | TBC or names |
| Initiative total costs ⁹ | | 100% | - |

| Laudes Funding Categories | EUR | % / Laudes Total Funding | Comment |
|---|-----|--------------------------|---------|
| Initiative Activities | | | |
| Top 1 Activity/ Cost driver (pl. specify) | | | |
| Top 1 Activity/ Cost driver (pl. specify) | | | |
| Others | | | |
| General Operating Support | | | |
| Capacity Building / Org Development | | | |
| Safeguarding | | | |
| Initiative funding requested from Laudes | | | |
| External evaluation funding requested from Laudes | | | |
| Total Funding requested from Laudes | | | |

3.2. Organisation

Headquarters/other offices:

Established (year):

Yearly revenues: EUR

What is your organisation's mission? How does your organisation's mission and Laudes mission relate to one another?

⁹ For General Operating Support proposals please use total organisation budget of last year.

Why is your organisation best positioned to implement this initiative? What are your team's strengths and weaknesses?

What are your organisational development needs and are they included in the proposal?

Who are your main implementing partners?¹⁰ How were they involved in developing the proposal, and what are their respective roles and responsibilities in your initiative?

¹⁰ When you submit your proposal, please copy in a representative from each implementing partner whom we can contact.

ANNEX F: LAUDES FOUNDATION REPORTING GUIDELINES

Reporting is only useful if it informs learning, adaptation and ultimately improved results, and in doing so is utilised by the partner and foundation together.

The guidance provides appropriate direction to assist partners in answering three key questions that are critical to their mission(s) and the foundation:

1. How well are we doing?
2. What are we learning?
3. How can we improve?

The guidance operationalises and builds on the M&E Minimum Requirements which detail roles, responsibilities and 'must have's' and 'nice to have's'. The content of the Learning Reports will be used to improve the quality and impact of Laudes Foundation's programming.

Reporting is divided into two stages:

1. Monitoring Reporting is conducted by the partner and is part of the measurement function that provides an assessment of the quality of design and implementation inter alia and progress towards outcomes (early and later changes) using mutually agreed rubrics based on appropriate evidence (qualitative and quantitative), that is where necessary and feasible, disaggregated for gender, sex and socio-economic background.

Monitoring reporting is applicable for all initiative grants above €100K that report using rubrics. Initiative grants less than €100K are not required to submit monitoring reports or use rubrics and only need to submit an end-of-initiative Learning Report.

2. The end-of-initiative Learning Report that is conducted by the partner. The learning report has many benefits for partners, Laudes Foundation and future initiatives:
 - Encourages transparent reporting of results and accompanying explanatory factors;
 - Highlights challenges encountered, including how these were overcome and those which remain to be addressed in the future;
 - Distils lessons learned and recommendations to guide improvement for the partner and future foundation initiatives;
 - Gives partners influential information to report to current or potential funders.

All partners (with any initiative grant size) are required to submit an end-of-initiative Learning Report.

Co-funded initiative grants more than €100K, where the foundation is joining existing funders will submit reports aligned with those funders. However, the reporting will include rubrics.

Monitoring Reporting

It is conducted in accordance with the rubrics selected for grants more than €100K and time schedule outlined and agreed by the partner and Laudes Foundation in the proposal and grant contract. Monitoring reports should be better 3–6 pages in length (excluding annexes) and be discussion and thought-starters between the partner and Programme Manager.

Each monitoring report shall provide information / responses to the following questions:

1. **Cover sheet:** Initiative title; organisation legal name, geographical reach of the initiative total grant value; co-financing.¹¹ expected and realised; grant award date and end date;
2. **Initiative quality snapshot:** Partner self-assesses the initiative performance with a rubric-based rating of (see Annex A):
 - Design
 - Implementation
 - Monitoring
 - Communication and learning
 - Organisational and network capacity

With a short justification, and the change in rating, if applicable since the previous report period.

The periodicity of the rating will be twice per year, based on a six month cycle from the beginning of the initiative.

3. **Outcome situation snapshot:** Partner rates the current situation where they are intervening for each relevant rubric related to early and later changes and outcomes (see Annex B). For example, the following rubrics:
 - B1: Right processes for stronger policy reforms
 - B5: Exposure of harmful practices
 - C1: Policymaker progress on relevant reforms

Each rating is provided with a short justification, including any changes in rating since the previous report and partner contributions to aforementioned changes.

The periodicity of the rating will be once per year, from the beginning of the initiative.

4. **Key Questions and Lessons Learned**
 - What worked and why? What did not work and why? What could be done differently?
 - What internal or external challenges¹² have been encountered during initiative implementation? What changes were made as a result?
 - How can Laudes Foundation staff better support you?
 - What lessons learned emerge for Laudes Foundation and you to consider?

Additional questions can be part of partner-Programme Manager verbal monitoring (check-in) discussions, as needed.

5. **Financial report**

¹¹ Co-financing is defined as financial or in-kind resources that are additional to the foundation grant and directly support the implementation of the initiative and achievement of results committed at approval. Types of co-finance are: grants, loans, equity investments, committed in-kind support.

¹² This should include a discussion of any internal organisational challenges such as change of personnel or financial issues.

- Brief financial report for the calendar year which will include:
 - The original amount of the grant, plus decisions made on remaining balance.
 - Report on co-financing secured– source and amount.

6. Annexes (as appropriate)

- Any case studies related to the initiative's contribution to outcomes.
- List or describe any recent publications, press coverage or external communications relating to the initiative.

End-of-Initiative Learning Report

The end-of-initiative Learning Report will be submitted in accordance with the initiative grant proposal and grant agreement with Laudes Foundation. Learning Reports are required from all initiatives (irrespective of grant size and duration) and are to be submitted at initiative grant closure. Co-funded initiatives will submit reports aligned with other funders along with reporting against the rubrics (for grants above €100K). All initiative grants of less than €100K and / or less than one year of duration only have to submit an end-of-initiative Learning Report (not including rubric reporting and ratings).

For any partners that require follow-on funding, the end-of-initiative learning report must be submitted prior to submission of a new grant proposal. After partners submit a report, foundation staff conduct a review and provide feedback and questions, as appropriate. Learning reports should be brief and no more than 20 pages in length (excluding annexes).

Each end-of-initiative Learning Report shall provide the following information / responses to questions:

1. **Cover sheet:** Initiative title; organisation legal name, geographical reach of the initiative total grant value; co-financing¹³ expected and realised; grant award date and end date;
2. **Objectives and adaptations:** Briefly state the initiative objectives and explain what, if any, adaptations were made during implementation and why?
3. **Results:** What results did the initiative achieve?
 - Provide final ratings for rubrics and brief narrative justifications, with disaggregated evidence by gender, sex and socio-economic background, where appropriate and feasible.
 - Summarise success factors and / or those which challenged performance
 - Summarise and give reasons for any unexpected results
4. **Lessons Learned:** What are the most important lessons learned? What worked well and why? What did not work well and why? What could be done differently?
 - At the project level
 - At the organisational level
 - With other partners
5. **Recommendations:** What are the recommendations for: (a) Partner and (b) to Laudes Foundation?
6. **Financial report:** A detailed financial report for the full duration of the grant, which will include:
 - The original amount of the grant and any decisions made on remaining balance.
 - Expenditures including explanation of under / overspend or reallocation of grant funds (using the same categories provided in the proposal).
 - Report on co-financing (source and amount), including explanations for any failures to secure co-financing
7. **Additional questions** can be part of the report as requested by the Programme Managers

¹³ Co-financing is defined as financial or in-kind resources that are additional to the foundation grant and directly support the implementation of the initiative and achievement of results committed at approval. Types of co-finance are: grants, loans, equity investments, committed in-kind support.

8. Annexes (as appropriate)
 - Any case studies related to the initiative's contribution to outcomes.
 - List of publications, media coverage or external communications relating to the initiative.

Please refer [here](#) for the complete list of available rubrics (A, B & C) and their definitions.

Annex A

Initiative Quality Snapshot (Process Rubrics)

| Rubric | Previous Rating | Current Rating | Current rating justification (evidence & reasoning), including why & how ratings have changed |
|---|-----------------|----------------|--|
| A1. Design | | | <i>How appropriate is the design to the operating context(s)? Has the design of the initiative allowed for appropriate management of risks? How well does the design build on past lessons? Is resourcing as originally designed appropriate for the contextual phasing?</i> |
| A2. Implementation | | | <i>How well is implementation enabling capacity and inclusion? How well have constraints (external or internal) to implementation been addressed?</i> |
| A3. Monitoring and Adaptive Management | | | <i>How well are monitoring and evaluation processes supporting learning? How well is evidence and data used for decision making and adaptation?</i> |
| A4. Communication and Learning | | | <i>How well has communication among implementing partners, actors, Laudes Foundation, and/or in the field facilitated openness and reflection for learning? How well has external communications when appropriate maximised impact, effectiveness and learning?</i> |
| A5. Organisational and Network Capacity | | | <i>Please reflect on elements such as strength and clarity of organisational vision and mission, strength of leadership and governance; staff skills and capacities to achieve the organisational mission; financial stability; organisational culture etc.</i> |

Annex B

Outcome Situation Snapshot (Selected Early / Later Changes and 2025 Outcome rubrics)

| Rubric | Previous Rating | Current Rating | Current rating justification (evidence & reasoning), including why & how ratings have changed |
|--------|-----------------|----------------|---|
| B#. | | | Specific changes |
| | | | How substantial and valuable |
| | | | Contribution |
| B#. | | | Specific changes |
| | | | How substantial and valuable |
| | | | Contribution |
| B#. | | | Specific changes |
| | | | How substantial and valuable |
| | | | Contribution |
| C#. | | | Specific changes |

| | | | |
|--|--|--|------------------------------|
| | | | How substantial and valuable |
| | | | Contribution |

[ANNEX G: FCRA COMPLIANCE GUIDELINES]

FCRA Compliance - Best Practices

1. Foreign contribution (money, materials or securities) received by the Partner should not be passed on to any other person, except as payment for services or goods in ordinary course of business.
2. Administrative expenses as defined in FCRA rules include most of the salaries of programme staff, except in certain cases. These should always be calculated as per rule 5 of Foreign Contribution Regulation Rules 2011 (FCRR 2011).
3. Administrative expenses should be reported correctly in form FC-4.
4. Foreign contribution spent on administrative expenses should be less than 20% of total foreign contribution utilised during the year, unless the Partner has taken prior-approval from FCRA department.
5. Foreign contribution should not be invested in speculative investments as defined in rule 4 of FCRR 2011.
6. The Partner should try and ensure that its Governing Board does not include any foreign citizens, unless they are Persons of Indian Origin.
7. Organisations maintaining a website, should prepare and publish (upload) FCRA audited financial statements (FC Balance Sheet, Income & Expenditure, Receipts & Payments, along with audit report) for the financial year on their website by 31st December each year. This is not necessary if they don't have a website.
8. Organisations that receive any foreign contribution in a quarter should prepare and publish statement of quarterly FC receipts on their website. If they do not have a website then this should be done at <http://fcraonline.nic.in>.
9. The Partner should file form FC-1 online for any foreign contribution received during the year in the form of articles.
10. The Partner should not make any payments related to FCRA Initiatives from non-FCRA bank accounts or vice versa.
11. The Partner should apply for renewal of FCRA registration at least 6-12 months before it expires.
12. The Partner should accept and utilise foreign contribution only for the purpose/s for which it is registered under FCRA (cultural, religious, economic, educational, social).
13. The Partner should keep itself updated on FCRA compliance requirements.

FCRA Undertaking by Partner/Payee

1. Funds shall not be used by the Partner for:
 - i. publishing any printed newspaper or magazine containing public news or comment on public news; or
 - ii. producing or broadcasting audio or video news or any current affairs programmes; or
 - iii. any political activities as defined in rule 4 of Foreign Contribution (Regulation) Rules 2011; or
 - iv. regranting to other organisations.
2. Funds shall also not be used by the Partner for any other activities in contravention of provisions of FCRA, including specifically any activities which might be prejudicial to:
 - i. the sovereignty and integrity of India; or
 - ii. the security, strategic, scientific or economic interests of the State; or
 - iii. the public interest; or
 - iv. freedom or fairness of election to any legislature, including Panchayat elections; or
 - v. friendly relation with any foreign State; or
 - vi. harmony between religious, racial, social, linguistic, regional groups, castes or communities.
3. Funds shall not be used by the Partner:
 - i. for making any slanderous or libelous statements; or
 - ii. in anything which may lead to incitement of an offence; or
 - iii. in anything which may endanger the life or physical safety of any person or property.

The Partner represents to Laudes that at the time of signing this Agreement, it has a legally valid FCRA license which does not expire within the next twelve (12) months and it has received no indication that the license is at risk of being revoked. The Partner shall, to the best of its knowledge, comply with the terms and conditions of the FCRA license during the course of the Initiative, and it shall not knowingly undertake any actions that might threaten the FCRA license in any way. Should the FCRA license expire, be suspended or otherwise revoked during the term of this Agreement, Laudes reserves the right to cancel any outstanding disbursements or payments at its sole discretion.