

## Positive Action Funding Guidance Notes and FAQs

### Guidance Notes

Please read this document carefully. It provides guidance on the ViiV Healthcare Positive Action application process and what you should include in your application.

Please check that your application clearly reflects this guidance.

#### General

1. **Language** – the Project Summary form and application form are in English, and should also be completed in English
2. **Address the criteria** – please ensure your entry addresses the criteria laid out in the guidance notes. Applications that do not meet the criteria and objective(s) will not be progressed.
3. **Technical language or jargon** – where technical or specialist language is required, please be sure to define your terms up front. Do not assume the reader possesses the same level of technical knowledge/understanding as you, especially with regards to technological concepts/solutions.
4. **Acronyms** – if you do use acronyms or short-forms, please be sure to spell-out your terminology to establish the meaning as per point 3. For example: "Positive Action Challenges (PAC) has presented a new funding opportunity".
5. **State the obvious** – while you are extremely familiar with your entry, we are not! Do not overlook the basics of your application, including what your innovation is, how and where it will be implemented and why it solves the problem in question.
6. **Be concise** – the application form fields have a limit of 4,000 characters per response (unless otherwise indicated) so please be clear and succinct in your submission. The application questions are designed to extract the key information we require to assess entries.
7. **Check before submitting** – we recommend you proof-read your application before submitting to avoid mistakes and omissions.

#### Positive Action Funding Round Types and Application Windows

##### Innovator Grants – Community Based Harm Reduction for People who Inject Drugs

- Applications – 15<sup>th</sup> January 2021 (23:59 GMT) to 12 February 2021 (23:59 GMT).
- Grants of up to £50,000 per year over two years (approximately £100,000 in total over the two-year period).
- Applications will be reviewed by a technical review committee following closure of the application window.

## Momentum Grants – Two Rounds in 2021

- Round 1 Applications – 26<sup>th</sup> March 2021 (00:01 BST) to 23<sup>rd</sup> April 2021 (23:59 BST) 2021.
- Round 2 Applications – 02<sup>nd</sup> July 2021 (00:01 BST) to 23<sup>rd</sup> July 2021 (23:59 BST)
- Grants of up to £ 100,000 per year over three years (approximately £300,000 in total over the three-year period).
- Applications will be reviewed by a technical review committee following closure of the application window.

All applications **must** be received by the closing dates outlined above to be considered for funding.

Specific application deadlines for all funding rounds are available on the ViiV [website](#).

## Geography

The Community Based Harm Reduction Innovator grant is only open to specific countries as highlighted in the Guidance note.

The Momentum grants geographic coverage will be updated in due course.

## Funding criteria

Who can apply?

Non-governmental and community-based organisations that can deliver change at a community level through their links with or representation of the communities affected especially adolescents, young people, gay men and other men who have sex with men, people who inject drugs, sex workers and transgender men and women.

## New vs. Existing Projects

**For Innovator Funding**, your project must consist of new work. It can include projects transferred to a new location (s) and/or include the expansion of a recently evaluated model or pilot. It may not be a continuation of a previously funded activity/service.

**For Momentum funding**, your project should consist of scaling up a model that has shown to be effective in meeting the needs of adolescent mothers living with HIV and their children.

## Community Focus

Positive Action believes that engaging local communities is critical to addressing the drivers of health and life inequalities, it therefore seeks to promote community responses that work at the level of changing beliefs, attitudes and behaviours to improve health and rights at the community level.



Community engagement, participation and/or leadership are mandatory requirements for all Positive Action grants: your proposal must demonstrate how your work will engage, involve empower and benefit affected communities.

## **Topic Areas**

Your application should be specific in describing how the interventions that you want to implement is going to contribute to addressing the Challenge or thematic area. Full details are available on the website and on the CyberGrants platform.

## **Positive Action Online Application and Grant Management System**

Please submit your application via our CyberGrants online application system.

Please do not email applications to ViiV Healthcare or Positive Action staff members or Positive Action mailboxes. We will only accept applications via the CyberGrants online application system. If you have any problems accessing the online system please review the FAQs in this document and/or contact the Positive Action mailbox i.e.

[WW.PositiveAction@viivhealthcare.com](mailto:WW.PositiveAction@viivhealthcare.com)

## **Completing Your Application**

The application form requires you to outline the intervention that your organisation is trying to implement, how you will address the issue, what it is that you are trying to understand and your capabilities to respond. It will also require completion of a detailed budget and selection of indicators. Please ensure you complete the application on the CyberGrants online platform in full and ensure that it meets the detailed application criteria.

Applications that are not well aligned to our criteria will not be taken further. We request that applicants maintain the confidentiality of the application, their credentials and do not disseminate them to any other person outside of their organisation.

Should your application be successful, the content will be shared with our partner the Charities Aid Foundation, who will carry out the due diligence verification and eventual payment. As part of their due diligence verification, they may require additional information. You will be contacted if this is required. As part of this you will be asked to sign up to CAF's terms and conditions.

Charities Aid Foundation undertakes due diligence verification on all the grants made through the ViiV Healthcare Positive Action Fund and will need to contact you regarding your application. The data collected in the Application Form will be provided to them.

Please remember to upload all required attachments for CAF, including the completed letter of declaration, contact details of your trustees, proof of your organisation's



registered status and a copy of your last set of audited accounts. Details are provided in the application form.

## **The Positive Action Application Process**

The Positive Action application, review and grant/award process can take up to three months to complete. The following outlines the review process for Positive Action calls for proposals for Challenges and Innovator Funding:

1. Positive Action Funding Rounds and themes announced via website
2. Funding Round opens (week 1)
3. Funding Round closes (end of week 4/6)
4. Judging Panel and Technical Review Committee meets (week 6/8)
5. Recommended applications passed to CAF for verification (week 7/9)
6. Additional information and documentation may be requested
7. Final decision and contracting (week 12+)

Timings are indicative.

## **Multiple Proposals**

As a rule, Non-Governmental Organisations (NGOs) and/or Community Based Organisations (CBOs) should not apply for more than one grant in a call for proposals. However, we may consider applications from the same organisation wanting to implement in different countries or locations.

### **1. Financial Eligibility Requirements**

The online application system will require you to enter a detailed budget. This should show spending for each year of the project against lines including any capital costs, staffing, travel, training, monitoring and evaluation, and communications.

Please download, complete and attach the budget template provided in the application form.

We do not provide grants of more than 50% of an organisation's total annual revenue (income) in low- and middle-income countries and 25% of an organisation's total annual revenue (income) in high income countries<sup>1</sup> (or 10% over a 12-month period for US-based organisations). You will need to provide your current annual income, in GBP, for the last 12 months and the most recent 12-month accounting period

You will be required to provide a list of any existing secured funding your organisation has received or will receive from ViiV Healthcare for any project/work in this last 12 months. Please do not include this application in this list.

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<sup>1</sup> [World Bank Country and Lending Groups – World Bank Data Help Desk](#)

**Please note the following:**

The total grant amount cannot account for more than 50% of an organisation's overall income for countries in LICs/MICS.

85% of project budgets must be spent in country; and

Overheads over 15% of the total project budget will not be accepted.

Budgets will be strictly adhered to – do not request more than the allowable amount as you will not be able to submit your application.

We request that all budgets are submitted in Pound Sterling (at the prevailing rate of exchange). You must include an annual and total budget for your project in Pound Sterling to be considered for funding.

**Monitoring and Evaluation**

Please review the Positive Action results framework to ensure that your indicators are aligned and ensure that you review all displayed mandatory indicators plus appropriate optional indicators prior to submission. Please note that mandatory indicators are pre-selected for all funding rounds. Indicators will be finalised with your grant manager if your application is successful.

You will be required to complete reporting templates (narrative, financial and indicator reporting) on a six and 12 monthly basis as detailed in the application.

**AMPLIFY IMPACT**

Positive Action's strategy will be achieved through grant making augmented by the AMPLIFY IMPACT approach which is a series of support measures designed to facilitate joined up impact, ongoing learning and improvement in the achievement of our new strategy.

**You must clearly stipulate on the application form whether you will require Amplify Impact. Please check for further details in the relevant guidance notes.**

AMPLIFY IMPACT will be achieved by

- Identifying partners with a national and/or regional presence to accompany nascent grantees by offering institutional strengthening, programme strengthening and grant management
- Facilitating access to tailored technical support for more established organisations
- Providing specialised technical input and short-term coaching by connecting skilled and knowledgeable personnel within ViiV/GSK to grantees
- Convening and facilitating linking-and-learning platforms and events to support cross-pollination, collect problem solving and learning for impact



- Making conscious connections between people, programmes and organisations to spread the key ideas and insights, develop creative strategies and encourage effective collaboration towards our shared goals.

## **Attachments**

Your application should be submitted with the indicated attachments, including any requested by CAF as part of the application or verification process. These are clearly indicated in the CyberGrants application platform.

## **CAF requirements**

Positive Action is targeted at helping communities living with and affected by HIV and AIDS. Any properly registered not-for-profit organisation that represents, or is working with or for, affected communities is eligible to submit a proposal. Your application should demonstrate why your organisation is qualified to do the project proposed.

In addition, you may be required to submit:

- A letter of declaration, printed on your official headed paper and signed by a legal representative of your organisation
- A list of your trustees with contact details (full name, personal address and date of birth of trustees)
- Proof of your organisation's registration as a not for profit or charitable organisation
- A copy of your latest audited accounts
- A copy of your governing document
- Proof of bank account
- Annual accounts

If a partnership or consortium is deemed as sub-granting in terms of use of granted funds, CAF will also need to verify these organisations (depending on relationship or set-up).

## **References and Verification**

References are required. References should have knowledge of your organisation's work and should include a named contact with phone number and email.

If your funding is approved, verification of your organisation's charitable status is required before funding is made available. Verification will be undertaken by the Charities Aid Foundation (CAF). Please see the FAQs for more details on verification.

## FAQs

### Eligibility:

Q: What are the funding opportunities under the new Positive Action Strategy?

A: The new Positive Action strategy has two funding streams which are called Community Strategic Initiatives (CSI) and Breakthrough.

Q: What are the different types of grants?

A: There are two types of grants under the CSI which are Innovator and Momentum. Innovator grants are up to £ 50K per year, over a two- year period and Momentum grants are up to £100k per year over a three-year period.

Q: How do I know if I am eligible for a grant?

A: Eligibility criteria is defined at the start of each funding round, which is announced on the Positive Action Website.

Q: Can I submit a proposal that is not aligned to the funding round?

A: No, you will not be able to submit a proposal that is not aligned to the funding round.

Q: Am I able to submit more than one application per funding round?

A: We request that you submit only one application per organisation per funding round. It is possible to submit more than one if you are submitting for more than one location or geography.

Q: Am I able to submit more than one application per funding year?

A: If you meet the eligibility criteria for the different themes, you are permitted to submit more than one application per funding year.

Q: I already have a grant from Positive Action in 2018 or 2019, do I need to use the CyberGrants system to Report on my project?

A: No, you are not required to use the CyberGrants system. Please continue to use the Salesforce system to report on the progress of your project.

### Review:

Q: What happens once my application is submitted?

A: Your application will go through an internal review to ensure that you meet the eligibility criteria and then it will be shared with an independent external review committee called the Technical Review Committee (TRC) for CSI.

Q: How long does the review process take?

A: The review process takes between 4 - 6 weeks after closure of the funding window.

Q: What happens during the review process?

A: The Positive Action team reviews your proposal for eligibility after which the external review board reviews it for technical merit. The highest scoring applications are discussed and the TRC makes a decision to recommend or not recommend for funding. These



recommended applications are then reviewed by the Positive Action Grants and Donations Committee who recommend or do not recommend for CAF verification.

Q. Do I receive comments or feedback TRC?

A. The TRC is not able to provide detailed comments on your application but does provide general feedback for consideration.

Q: What happens if my application is not recommended for verification?

A. We have limited funding available and difficult decisions need to be made. Unfortunately, if you are not recommended for due diligence verification it means that your application will not be considered further.

Q. If my application is not recommended for due diligence verification, can I resubmit the application?

A. Unfortunately you are not able to resubmit the application.

### **Grant Size:**

Q. What are the sizes of the different grants?

A. Typically, the Innovator grants are up to £50 000 per year over a two-year period, and the Momentum grants are up to £100 000 per year over a three-year period.

Q. Can I apply for larger amounts?

A. No, your application will only be considered if it falls within the different ranges defined on the website.

Q. Can I apply for smaller amounts?

A. Yes, you can apply for grants that are below the amounts stated.

Q. Why are Breakthrough grants only by invitation?

A. Breakthrough investments build on strategic partnerships that have been built over a period of time and focus on workstreams that may have already started or been initiated.

### **Reporting:**

Q. How often do I need to report?

A. The reporting requirements are the same for Community Strategic Initiatives and Breakthrough. You are required to submit a 6 monthly narrative report as per the provided template on CyberGrants and a 12 monthly narrative and financial report.

Q. When do I have to define or select my indicators?

A. You will have an opportunity to select the relevant indicators when you develop your project proposal. Indicators will be finalised in your first meeting with your grant manager.

Q. Will I have a grant manager?

A. Yes, all grant recipients will be allocated a grant manager who will be assigned to you as soon as your contract has been signed.

Q. How will I get in touch with my grant manager?

A. Your manager will contact you to set up your first call.





Q. How often do I need to engage with my grant manager?

A. We suggest a minimum of three times per year, any more than this will be up to you and your grant manager to decide.

Q. What happens if I don't hear from my grant manager?

A. Please contact the respective Positive Action Manager, information which can be found on the Positive Action website.

### **Amplify Impact - Technical assistance (for CSI grants only):**

Q. How much funding is available for technical assistance?

A. An amount of up to 10% of your total grant budget can be added onto your grant once approved.

Q. How do I access technical assistance?

A. You will need to agree the type of technical assistance with your grant manager and once agreed you will be able to access technical assistance from agreed TA providers.

Q. Who is responsible for paying and contracting the TA provider?

A. This is your responsibility and you will be required to report on TA provided during your 6 monthly reports.

Q. Do I have to use the TA allocation?

A. There are no requirements for you to use the allocation. This allocation is only for technical assistance so it cannot be used for anything else.

Q. Are there other forms of capacity building or technical assistance available?

A. Yes, there are opportunities related to linking and learning events, regional capacity building events and utilising the skills connector. This will be identified within each of the funding rounds and appropriate budget allocation made. PLEASE NOTE that budget allocation for technical assistance can only be used for relevant opportunities.

### **Charities Aid Foundation:**

Q. Who are Charities Aid Foundation (CAF)?

A. CAF are a non-profit organisation working with corporate and private clients in the UK to deliver philanthropic advice and financial services and products to enable giving. You can read more about CAF [here](#).

Q. What is the nature of the relationship between ViiV Healthcare and CAF?

A. CAF are a separate organisation to ViiV Healthcare, however ViiV Healthcare partner with CAF in order to make payments to Positive Action Programme grantees. Project proposals are initially reviewed by both the Positive Action team and an external, independent Advisory Board. ViiV Healthcare then request that CAF conduct due diligence checks on the groups selected – a process referred to as "verification", then disburse payment once verification is completed successfully. All donations are subject to ViiV Healthcare's instruction and CAF's subsequent approval.

Q. Why do CAF need to carry out this process?

A. CAF needs to ensure that all ViiV Healthcare's grants are used for charitable purposes as defined under the UK Charities Act. This includes ensuring that beneficiaries have charitable aims and objectives and that those funds will be used charitably even if the organisation ceases to exist. Whilst the global definitions and requirements of "charitable" differ from one country to another, CAF must review each organisation in accordance with UK Tax and Charity Laws.

As the funds will come from CAF, they need to ensure that all grants meet agreed guidance from the UK Government's Her Majesty's Revenue and Customs (HMRC). HMRC require CAF to obtain confirmation on how donations are used and as a result CAF will ask for a combined receipt and report for each donation made. Where larger levels of support are made CAF will ask grantees to provide independently audited financial reports detailing how the funds were used charitably.

CAF's due diligence verification process is undertaken to:

- Minimise risk
- Comply with UK law
- Prevent money laundering
- Prevent terrorist financing and other criminal activity (i.e., anti-bribery and corruption)
- Ensure funds are being used charitably as intended
- Ensure residual assets will be used for charitable purposes if the organisation is dissolved

Q. How will CAF carry out this process?

A. Your submitted application will initially be reviewed by the Positive Action team and an external, independent review Board. If successful, your application will then be shared with CAF to carry out their due diligence.

Q. What information will CAF need?

A. CAF will review your application and may then request you to submit an additional, due diligence focused application form through the online portal. This form will ask you to upload copies of the following documents that have been translated into **English**:

- A copy of your organisation's governing document e.g. Statutes, Trust Deed, Constitution, Memorandum and Articles of Association, Articles of Incorporation or By-laws etc.
- A governing document' is simply an official document which states the aims of your organisation and how it operates. In every case CAF would expect to see the aims/ objectives of the organisation and a dissolution clause in this (i.e. what happens to assets if the organisation is closed down). Depending on the organisation, the governing document also usually includes details about how many trustees/ board members they have, the powers of the organisation and states that they are not for profit.

- All organisations should have a governing document and they are usually referred to as: Statutes, Trust Deed, Constitution, Memorandum and Articles of Association, Articles of Incorporation or By-laws.
- A copy of your organisation's most recent annual report and audited accounts.
- Proof of your organisation's tax exemption and/or proof of registration as a charity or not for profit.
- If the funds are destined for a specific project, details of the project are required, a list of Trustees including names, date of birth and home addresses.

Once you've submitted the additional questions and documents, CAF's experts will review the documentation and provide a decision. Occasionally it may be necessary for CAF to ask for further clarification from your organisation before a decision is made – they will contact you via the email address quoted in your application so please monitor your emails closely to ensure that you can respond promptly to any requests and we can make payment to you as soon as possible.

CAF verifies an organisation based on all information presented. Key elements of the process focused on the size of the donation, the country in which your organisation / project is located, and the purpose of the donation.

Q. Why does CAF need information about Trustees, including dates of birth?

A. CAF's due diligence verification checks may include requesting the full details of trustees and persons controlling the operations of the organisation. In the UK as a financial services provider, CAF are required to follow 'know your customer' legislation and guidance. This means that they need full names and date of births to effectively demonstrate that they have carried out the required due diligence verification on them. Dates of birth are required in order to clarify an individual's identity. All information supplied to CAF is treated as strictly confidential and is not shared or passed on to any other parties. For more information on CAF's data privacy policy please see here: <https://www.cafonline.org/privacy>.

Q. How long will the verification process take?

A. CAF allows a maximum of 12 weeks for the recipient organisation to complete and return the information needed. Once CAF has been sent this, they can normally make a decision within a couple of days.

Q. I've received funds through CAF before, will the process be different?

A. CAF need to undertake the same levels of due diligence verification for every donation requested but if you've been paid by them before, they can often do this without further contact with your organisation. However, periodically CAF will be required to request updated information on your organisation. In this instance they will ask you to re-submit some details through the online portal.

Where you have received previous funding from CAF, you will also need to ensure that your organisation has returned the receipt from the previous payment and any other accompanying reports requested.

Q. What is meant by re-granting?

A. 'Re granting' is where your organisation is not controlling the entirety of the funds provided, and are passing a portion of those funds on to another organisation.

The reasons CAF needs to understand and verify everyone who may control the use of the funds is detailed in the guidance here which is prepared by the Charity Commission of England and Wales, one of CAF's regulators.

Paying for a service (e.g. building works or consultancy services) is not considered as re-granting as your organisation remains in control of the funds.