Guidance Notes for Applicants

Introduction

This document is designed to give applicants an overview of the process of applying for a grant from Battersea, along with defining some key terms used within our proposal documents.

Each Grants Programme is different, and so this document is more of a general overview. Our application process can also vary depending on whether you have previously been awarded a grant from us and how you heard about our Grants and Programmes. For example, you may have been asked to complete a proposal form after a discussion with a Grants Manager rather than submitting an Expression of Interest form.

Our aim is to make our application process as transparent and accessible as possible, along with developing relationships with organisations, so please let us know how we can assist you in applying.

We are always open to questions, so please contact us on grants@battersea.org.uk or contact your Grants Manager for any queries.

If you require this document in a different format and/or language, then please get in touch by emailing grants@battersea.org.uk .

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Frequently Asked Questions

What can I apply for?

There are several Grants Programmes you can apply for. The best way to keep up to date with our Grants and Programmes, including our criteria and if they are open to receiving applications, is via our website: [Battersea Grants | Battersea Dogs & Cats Home](#)

How do I apply for a grant?

Applications are made via our Grant Management System (GMS), Blackbaud. In order to make an application you have to register, which you can do via our [website](#).

How you apply can vary depending on which Grant Programme you are applying for. Our [website](#) will give you information on how to apply for each Programme.

Is there any specific documentation you require?

Yes – please see the section 'What documents we may request'

What happens after a grant is awarded?

This is outlined in the section 'Our Grants Process'

I have a question which isn't covered in this document

If you have any questions which aren't covered in this document, please email us at grants@battersea.org.uk

What we fund

- Battersea offers project, programme, and/or core support to potential grantees, depending on the specific need of the organisation, what it plans to achieve, and the specific Grant Programmes being applied for.
- Core support (costs critical for the organisations functioning) can be built into a proposal, up to a maximum of 15% cost recovery.
- Battersea also supports research, according to the requirements set out in the description.
- A budget line for monitoring and evaluation and/or improving safeguarding practice may also be included in consultation with the Grants Manager.
- Reasonable costs for translation of the proposal and reporting into English can be included. The estimated cost should be shared with the Grants Manager in advance. In cases where the proposal translated into English is unsuccessful, Battersea will reimburse the applicant the costs they incurred based on the pre-agreed cost.
- Battersea gives both single-year and multi-year grants. Each multi-year grant period can run up to three years, based on yearly results agreed in advance (this can be renewed beyond the initial 5-year agreement). Our preference is to provide multi-year grants, recognising that it usually takes more than 1 year to see outcomes.
- Battersea avoids providing more than one grant to an organisation at a time, to reduce the administrative burden for all involved. Our grant making process seeks to encourage forward looking and honest conversations about costs and activities, and budgets should have already worked in potential price increases.

- For an organisation or individual we have not provided a grant to before, Battersea may start with a single-year grant.
- Battersea is open to supporting informal, unregistered organisations, networks, or coalitions of organisations, provided the work is strategically aligned with Battersea, there is a re-grantor/fiscal agent active, there is some form of governance/oversight, we are confident in the ability of the organisation/group to conduct the work and manage a grant despite its informal structure and we can conduct appropriate due diligence.

In addition to our grant funding, where appropriate Battersea offers support to grantee partners: To reflect on their areas of strength and weakness as part of our organisational assessment process.
- Connect them with relevant Battersea staff expertise, to provide feedback on policies and practices, and utilise the offerings of the Academy.
- To support them to think through their strategy to increase their influence, impact, and the scale of their work.

What we do not fund

- work where there is statutory responsibility to provide funding, although support to government authorities may be necessary where need is demonstrated and funding not available
- organisations seeking funding to top up on under-priced contracts or retroactive activity
- work where there is significant public funding available or where reserves could be utilised
- work where job creation is the primary purpose, rather than the impact on animals
- scholarships or tuition assistance for undergraduate or postgraduate studies
- religious organisations for religious purposes
- party political organisations or election activity, even where animal welfare is a priority of a campaign

Grantee Reserves: We do not apply rigid criteria on what constitutes a reasonable level of unrestricted reserves. Applicants must justify their level of free unrestricted reserves in relation to their stated reserves policy and their obligations as set out in accordance with guidance issued by the Charity Commission or other regulatory body. A grant may not be successful if the Grants Manager has determined the level is not justified within the broader context of the organisation and its reserves policy. Applicants should also specify the use of any designated funds.

Funding Level: Battersea seeks not to fund more than 1/3 of an organisation's annual expenditure. We believe that a strong and sustainable organisation requires diverse funding sources. On occasion, we are open to exceeding this and we will work with you to think through how your organisation plans to increase other funding streams overtime.

Staff Salaries: Battersea is committed to paying the living wage to its own staff and we have committed to paying the Living Wage Foundations rate. We advise grantees to consider paying these rates also. For organisations based outside the UK, we expect you to pay at least the national minimum wage outlined in law, all staff should be officially registered as workers and have access to social protection/social security. Underpaying staff and/or not supporting good working conditions undermines the professionalism we seek to see in the sector.

Our Grants Process

This will vary depending on how much and what Programme you are applying for, but in short, our process works as follows:

1. **Stage 1**: Expression of Interest submitted. This is then reviewed by a Grants Manager, who will decide (in conversation with their team) whether your application will be moved to the next stage.
2. **Stage 2**: If successful at Stage 1, you will work with your Grants Manager to complete and submit the Proposal template document.
3. If successful at Stage 2, your application will go through several different processes in Battersea. This depends on what you are applying for, how much and how long your grant will be. Your Grants Manager will inform you of the process and estimated timeline. We initially assess grants based on the merits of the proposal and the potential to work with you to strengthen your organisation.
4. If your grant is approved after going through our initial processes, the proposal will then go through our due diligence process, called the 'Compliance Review'. This process will be looking at your organisation more in depth rather than the proposal submitted. This will involve conducting internet and sanctions checks along with requesting different types of information about key staff, trustees, and your organisation. More information can be found on this below.
5. Upon successful completion of the due diligence and compliance checks, you will progress to the contracting stage. Please read carefully and discuss with your Battersea Grants Manager anything that doesn't make sense, or you have questions about.
6. You will be provided with an interim and final narrative and financial reporting form to track progress and adapt your activities according to your learning.

Our reporting forms also ask for case studies, as we like to share positive stories about the work you are doing too.

During the life of the grant or following the closure, we may visit you for monitoring purposes, and/or conduct an evaluation. We also welcome you to speak to or visit us and provide your feedback too. We seek to maintain open and trusting relationships, where we collectively overcome challenges and learn from each other.

Our goal is to support you throughout the process and not waste your time. Please tell us if you are being asked for information that you feel is unnecessary or repetitive. We seek to provide clear information to avoid confusion, so please reach out to us if you have a question. We clearly communicate our timeline to make a decision and to process your grant, we seek to do this as fast as we can.

Our Grants and Programmes activity is occasionally audited so that we can improve our work, and your grant may be randomly selected as part of this audit too.

Applying for a grant does not automatically mean that your application will be successful, but we will provide you with feedback.

Deadlines

Some of our Grants Programmes have specific deadlines for submission of applications. Please check the specific Programme you're applying for, for further information.

What documents we may request

Pre-grant due diligence, known to Battersea as the "Compliance Review" is a mandatory process used to assess the appropriateness of potential or intended recipients of a grant (and connected parties where relevant).

Incorporating pre-grant due diligence into grant making processes and organisations is common practice. The Charity Commission for England and Wales promote the importance of due diligence to protect charities like Battersea when making grants or other payments to third parties. The Compliance Review ensures Battersea is funding activity that furthers its charitable purpose and that we are not placing our funds, assets, or reputation at undue risk. Should Battersea identify any issues or weaknesses, we reserve the right not to provide the grant, or to tailor our grant contract.

If your proposal is successful, as part of our Compliance Review, we will conduct several different checks which include searching public records and gathering information about your trustees/governance. We recognise that not all organisations will have the following documents available, and we don't expect you to produce all of them to apply for a grant (only a safeguarding policy is mandatory). We will always seek to locate these documents where they are publicly available, rather than place the burden on you to provide them. Please let your Grants Manager know if you have any questions. Some terms are explained below:

- Organisational strategy/business plan
- Annual activity report
- Safeguarding policy (we expect this for all grantees)
- Animal welfare policies (for example, ethical decision-making policy)
- Financial statements
- Organisation budget
- Bank account details (this needs to be in the name of your organisation. We cannot accept accounts in the name of individuals)
- Project budget
- Theory of Change/Measurement Framework
- Biographies of all current board members/trustees and key staff
- Legal status
- Contact details (emails) of 2-3 collaborators to act as referees

We may also request the following:

- ID documents
- Proof of address
- Proof of banking details (through providing a bank letter or bank statement)
- Registration documents for your organisation, for example, where it is registered with a Charity Commission or business bureau (this will vary depending on how your organisation is set up and where it is based)

These are requested so that we can comply with Anti-Money Laundering regulations. We will let you know of anything we find during this process that results in us not being able to proceed.

Definitions for key terms

Each section is in alphabetical order.

Financial Terms

Budget: this is how much you expect to spend on certain activities related to your specific grant request **only**. This should not include how much your organisation spends and makes overall.

Deficit: when your organisation spends more than what it receives during a certain period, usually a year.

Expenditure: how much your organisation spends, and/or how much the project will spend

Income: how much money your organisation makes per financial year, this can be through donations, grants, other sources of funding, etc.

Organisation budget: this is your organisation's budget for the financial year (also known as fiscal year – the money your organisation spends over this year).

Reserves: These are the funds that your charity has which can be freely spent on any of its charitable purposes. Reserves are unrestricted and are usually built-up overtime and used to cover unexpected costs.

For example:

Jiji's Cat Rescue applied to Battersea for a grant to help map and monitor the stray cat population of Neko Island. The **budget** for this project was £20,000 and included funds to pay a worker to survey the population, a worker to trap the cats and a vet to neuter and assess the cats which they found.

For 2022, Jiji's Cat Rescue had an **organisation budget** of £500,000. Their **income** for 2022 was £350,000 through donations, £100,000 through legacies (where donors leave money to organisations in their will) and £50,000 through a charity shop they owned. Their **expenditure** for 2022 was £550,000 meaning they spent £50,000 more than their income (known as a deficit).

Legal and governance terms

Conflict of interest: sometimes people within organisations can work or volunteer for several different organisations which can sometimes conflict with the proposed work they aim to do. For example, someone in your senior team could be the owner of a business who could benefit from the work you will be doing. Please be as open and transparent as possible as this helps us to be able to work with you effectively. We would like to know about any conflict of interest so that we can help you manage this should your application be successful.

Governance structure: we award grants to organisations where there is oversight of the day-to-day work by a separate group of external people, such as a board or trustees. In the UK, the minimum number of trustees for an organisation is 3[1], but you may wish to check any legal requirements in the country in which you are based. Governance is important for organisations as it helps them comply with relevant laws and regulations and keeps your organisations' purpose on track, for example by providing strategic leadership, applying values and ethics, effective risk management, and leads the organisation to be transparent and accountable.

Legal/tax status: this refers to how your organisation is registered, for example, a charity, limited company business, not-for-profit enterprise. This can vary according to which country you operate and/or are registered in. For example, in the UK a charity is registered with the Charity Commission

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[1] Trustee board: people and skills - GOV.UK (www.gov.uk)

but can also be registered with Companies House if it has a profit-making section. During our compliance process, we check registrations with the relevant authorities' websites whether in the UK or abroad.

Safeguarding: we require a safeguarding policy to be in place for all our successful applicants. Safeguarding may be known by a different name and can vary according to the country in which you operate. In some places it might be referred to as child protection or protection of vulnerable adults. If you are unsure or have any questions, then please do talk to your Grant Manager, or contact us below. We have produced a Safeguarding Framework to act as guidance which can be found on our website.

Signatory: the person who has legal authority to sign off any financial or governance related documentation. This can sometimes be a treasurer or director of an organisation or someone who has official clearance from a bank/legal authority to make financial decisions.

Grant request specific terms

Core Support: is a type of funding used to cover overhead costs that are generally defined to be those costs that are not easily attributable to one particular project or programme area. This can include rent, utilities, operating systems, and staff salaries. Whether funding a project, or a programme, it is important to keep in mind the "true" costs of the activities being proposed.

Project Support: is a type of grant where funds are restricted or earmarked to support a specific activity or set of activities that is part of the organisations wider work. This type of grant may be used when we lack confidence in an organisation to conduct a large programme of work, or there has not yet been time to develop sufficient knowledge of/trust in the organisation.

Programme Support: is a type of grant used to fund a particular thematic area (e.g. a dog or cat population management programme), usually consisting of multiple initiatives, or to fund a particular geographic area of work (e.g. we support a country programme of an international organisation).

Hybrid Support: is a type of grant used to fund core costs associated with the organisation and specific project or programme related costs.

Problem statement/contextual analysis: what problem are you looking to solve and what context is this in? For example:

> **Problem:** increase in stray/unowned dogs in the local area

> **Context:** how the local community views the street animal population, how they feel generally about pet ownership, how the local/regional/national government deals with this issue

Sustainability: we ask questions about sustainability from both an environmental and organisational perspective. This is so we can gain an understanding of how your organisation responds to and is considering changes such as the climate crisis. It is also so we can better understand how your organisation will be able to develop, grow and support itself in the future, and shape what advice we may be able to provide.

Theory of Change: Battersea requests that as part of their proposal, all applicants include a Theory of Change (TOC) articulating how a project's activities will lead to identified outcomes and impact. The TOC should contain an impact statement, outcomes, results/outputs, and the project activities that will lead to them. It can be included in the text of the narrative proposal or separated out into an appendix at the applicant's discretion. If the applicant does not have a TOC or would like help refining

it, Battersea has an experienced team that is able to help and requests for assistance will not adversely affect grant-making decisions.

Providing us with a Theory of Change helps us understand how your organisation sees change happening throughout the lifetime of the proposed grant funding. Battersea has a specialist within the Grants Team who works with organisations to develop their Theories of Change, and if this is something that you would find useful ahead of submitting a proposal then we are able to provide support with this.

<u>Other terms used:</u>

Diversity, Equity, and Inclusion (D&I/DEI/EDI): As with other terms mentioned in this document, we appreciate that this will vary according to both organisation and area where you are based. As grant makers, we seek to approach our grant making through a DEI lens to ensure that we are awarding grants to organisations who reflect the communities they are working in as well as centring the lived experience of those living and working within the communities they serve. As a grant maker, we are working towards improving the diversity and inclusivity of the Animal Welfare Sector and would like to work with organisations that consider this.

Reporting: this will be something you will discuss with your Grants Manager, should your application be successful. Once a grant is awarded, you would be expected to provide agreed reports about the activities you are undertaking with the grant. The nature and frequency of reports will vary depending on the size and length of your grant, but most will include a narrative and financial summary. Future payments will be determined by you submitting these reports. Where possible, formal written reporting will be replaced with virtual or in-person conversations.

Risks: this refers to risks which may impact the work you do, for example, inflation, theft of vehicles, or money laundering. Risks can also be related to external factors such as government and public attitudes and approaches to companion animal welfare/stray or unowned dogs and cats. Battersea's risk assessment and management covers areas such as the context in which your organisation operates (social and political, along with environmental such as flood risk), criminal risk, financial risk (sustainability, undue pressure), cybersecurity, and data protection. These risks won't necessarily be a barrier to you being awarded a grant as we work closely with colleagues who specialise in risk management and we will always seek to support the challenges you are facing.

Monitoring, evaluation, and learning

We recognise organisations are at different stages of their development and we seek to work with grantees to measure the impact of our grants, both for ours and your benefit. We want to enable organisations to be sustainable for the future and developing this framework can help with long-term planning and applying for future funding, not just from Battersea. It can help bring focus to what you want to achieve and how you would like to go about it. We have a dedicated team member who will work with you to develop a monitoring, learning and evaluation framework specifically related to your grant proposal, should you wish to utilise them.

Blackbaud

When submitting an application, you will be asked to complete a form online through Blackbaud. This is our Grants Management System (GMS) and is where we hold information about all applications to our Grants Programmes.

If you have any problems using the system, then please contact us in the first instance for technical support.

Any questions?

We aim to be open and transparent in our grant making, and so welcome any feedback and questions. We recognise that organisations are at different stages in their development and aim to provide as much support and guidance as possible.

If you have any questions, then do please either contact your Grant Manager or email grants@batteresea.org.uk

Any feedback?

At Battersea, we openly welcome feedback and complaints. We encourage you to contact us with your feedback, whether positive or not. Complaints are especially important to us as they may help us to see where our processes might be improved. We keep a record of all complaints we receive to help us learn for the future. You can email our Supporter Services team on feedback@battersea.org.uk

Whistleblowing

If you believe you have witnessed wrongdoing by a member of the Grants Team, please raise a concern by emailing whistleblowing@battersea.org.uk This email should only be used if you believe you have witnessed wrongdoing. This is defined as a criminal offence, for example fraud, someone's health and safety is in danger, there is a risk or actual damage to the environment, a miscarriage of justice, the organisation is breaking the law, for example does not have the right insurance or you believe someone is covering up wrongdoing. This email should not be used to make a complaint about your experience, or the customer service you receive or to give general feedback. If you do use this email for this purpose, it will not be answered. Please follow the feedback guidance above.

Privacy policy

Further information about how we protect and use personal data is set out in our Privacy Policy.