# Application form and threshold check for the ARC Fund

# I. General information

General information of the applicant and the application

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| 1. Name of applying organisation/lead party |  |
| 1. Address |  |
| 1. Telephone number |  |
| 1. Email address |  |
| 1. Name(s) of director(s) (please provide title, i.e. Ms/Mr) |  |
| 1. Name and email address of contact person for the application (please provide title, i.e. Ms/Mr) and telephone number on which the contact person can be reached. |  |
| 1. Country in which the applicant/lead party has its registered office. |  |
| 1. Would you like the Ministry of Foreign Affairs to communicate with you via email, including formal documentation like grant agreements? If yes, then provide the correct email address that can be used for this. |  |
| 1. If you are the lead party of a consortium, indicate which other organisations participate as co-applicants in this application. |  |
| 1. Name of the bank and bank account number of the applicant/lead party[[1]](#footnote-2) |  |
| 1. Applicant’s income (total amount of annual organisational budget), and in the case of a consortium also the income of each co-applicant (total amount of annual organisational budget per organisation). | 2012:  2013:  2014: |
| 1. Country for which the applicant/consortium requests a grant? (Afghanistan, Pakistan, Jordan, Lebanon, Syria, Ethiopia, Somalia, Sudan, South Sudan, Mali, Burundi or the Democratic Republic of the Congo).   **Please note:** For each country for which the applicant/lead party applies for a grant, a separate application needs to be submitted. Applications that cover multiple countries will be rejected. |  |
| 1. Please indicate whether your organisation receives any other grant(s) from the Ministry of Foreign Affairs. If so, please indicate which grant(s), what amount, what is the duration of the grant(s) and for which activities the funding is received (activity number). You may provide this information in a separately numbered appendix. |  |

# II. Threshold criteria

*If an application does not meet one or more criteria the application will be rejected and will not be further assessed. These criteria are listed below and clarified where necessary.*

*The applicant/consortium[[2]](#footnote-3) needs to submit the first part only once (D.1. to D.6.), irrespective of the number of proposals that are being submitted by the applicant/lead party and co-applicants. The second part (D.7. to D.12.) needs to be submitted for each application.*

*The organisation meets all of the following criteria:*

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| **D.1.** The applicant (or in the case of a consortium: the lead party), together with any co-applicants, must be a Dutch, international or local not-for-profit non-governmental organisation (NGO), which possesses legal personality.   * ‘NGO’ means: a not-for-profit organisation neither established by a public authority nor connected to a public authority either de facto or under its constitution, which possesses legal personality under civil law in the country where it has its registered office. * ‘Dutch NGO’ means: an NGO established in the Netherlands, subject to Dutch law and having its registered office in the Netherlands. * ‘Local NGO’ means: an NGO that has its registered office in the country where the intended activities will be carried out (target country). Due to the conflict in Syria it has proven to be difficult for local NGOs to register themselves inside Syria. Therefore, the following definiton applies for local Syrian NGOs: an organization having its registered office in Syria, Jordan, Lebanon or Turkey and only carrying out activities inside Syria.[[3]](#footnote-4)   **For the abovementioned bullets the following clarification applies:**  The applicant/lead party must demonstrate this by adding a copy of the organisation’s constitution. In the case of a consortium the constitutions of the co-applicants must be added.   * ‘International NGO’ means: an NGO that has its registered office outside the Netherlands and the chosen target country, carries out activities in at least two countries, and has spent at least €500,000 per year outside the country of establishment in the 2013-2015 period, or in case the (draft) annual report and/or annual account of 2015 is not yet available, in the 2012-2014 period.   **Clarification:**  The applicant/lead party demonstrates this by adding a copy of the organisation’s constitution. In the case of a consortium the constitutions of the co-applicants must be added. In addition, the applicant/lead party demonstrates that it has spent at least €500,000 per year outside the country of establishment in the 2013-2015 period by its expenditures in the 2013-2015 period as reflected in the annual accounts of those years. In case the (draft) annual account of the applicant/lead party of 2015 is not available, the applicant/lead party demonstrates this by its annual accounts in the 2012-2014 period. Add the accounts of your organisation for the respective years as annexe to the application and refer to the relevant pages (for 2015 it is allowed to submit the concept annual account). Furthermore, add the annual reports, indicating the experience with implementing programs in the 2013-2015 period outside the country in which you have your registered office, as annexe to the application and refer to the relevant pages. In case the (draft) annual report of the applicant/lead party of 2015 is not available, the applicant/lead party demonstrates this by its annual reports in the 2012-2014 period. If the fiscal year is not parallel to the calendar year, it is allowed to use the last three fiscal years for the calculation.   * Applications by a consortium must include a partnership agreement signed by all consortium members, specifying: (i) how each party will contribute to the activities of the consortium; (ii) how the consortium will make decisions; (iii) how the costs and risks are shared among the parties; and (iv) how the fulfilment of grant-related obligations towards the minister in respect of the grant is guaranteed, including responsibility for joint aggregated reports.   **Clarification:**  In the case of a consortium a copy of a partnership agreement signed by all members of the consortium, which covers the four components as mentioned in D.1. must be submitted as annexe. |
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| **D.2.** In 2011-2015 period, or in case the (draft) annual report and/or annual account of the year 2015 is not yet available, in the 2010-2014 period, the applicant or the lead party must have had at least three years’ experience with implementing programmes in the target country with a budget of:   * in the case of a Dutch or international NGO: at least €500,000 per year; * in the case of a local NGO: at least €200,000 per year.   **Clarification:** The applicant/lead party demonstrates and substantiates this by adding the expenditures of the 2011-2015 period as reflected in the annual accounts of those years as annexe to the application and refers to relevant pages (for the year 2015 you may include a concept annual account). In case the (draft) annual account of the applicant/lead party of 2015 is not available, the applicant/lead party demonstrates this through adding the annual accounts of the 2010-2014 period. In addition, the applicant/lead party adds its annual reports for the 2011-2015 period, indicating the experience of the organisation with implementing programs in the target country. In case the (draft) annual report of 2015 is not available, the applicant/lead party demonstrates this by adding the annual reports for the 2010-2014 period. If the fiscal year is not parallel to the calendar year, it is allowed to use the last five fiscal years for the calculation. |
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| **D.3.** The applicant must demonstrate that, as of 1 January 2016, at least 25% of its annual income derives from sources other than grants and/or contributions from the Ministry of Foreign Affairs (including embassies). Grants received from the ARC Fund will not exceed 75% of the organisation’s total annual income. This must be plausibly demonstrated on the basis of financial reports over the 2012-2014 period.  • In the case of a consortium, this criterion applies to the whole consortium. Consequently if one organisation derives less than 25% of its annual income from sources other than the Ministry of Foreign Affairs, this can be offset by another party in the consortium.  • Funds obtained directly or indirectly from the budget of the Ministry of Foreign Affairs (e.g. a grant or contribution from a Dutch embassy) do not count when determining the extent of an organisation’s own income but do count towards its annual income.  **Clarification:** The applicant/lead party makes this plausible and substantiates this using the income of the 2012-2014 period as reflected in the annual accounts of those years. If the fiscal year is not parallel to the calendar year, it is allowed to use the last three fiscal years for the calculation. If the requested amount (on an annual basis) is higher than twice the average own income, the applicant/lead party needs to make plausible that the own income will be higher during the grant period; for example using already pledged amounts. The applicant/lead party adds the annual accounts of its organisation and co-applicants and, if applicable, firm commitments of donors for the grant period as annexes to the application and refers to the relevant pages. |
| Income per 1 January 2015 excluding MFA contributions: €………….  Annual total income in 2014: €……….. Of which non-MFA: €…………….  Annual total income in 2013: €……….. Of which non-MFA: €…………….  Annual total income in 2012: €……….. Of which non-MFA: €……………. |
| **D.4.** **A.** The maximum remuneration of individual managers and board members of the applicant/lead party and co-applicants established in the EU does not exceed €168,000 per calendar year for a 36-hour working week, as from the start of the period for which the grant is being requested. This amount includes not only the total of periodically paid salary and bonuses, but also taxable fixed and variable expense allowances and amounts payable at a future date, such as holiday pay, a 13th month’s salary and the employer’s share of pension contributions. For EU member states that do not use the Euro applies that conversion of local currency to Euro is based on spot rates that are used by the ministry of 1 January 2016. The currency exchange list of these spot rates is added as annexe 2 to the policy framework.   1. With reference to the purchasing power data published by EUROSTAT (GDP PPS),[[4]](#footnote-5) the following income ceilings apply to the senior management of applicants/lead parties and any co-applicants established in the following countries, based on the general income level in the countries concerned:[[5]](#footnote-6) 2. Norway: NOK 2,153,538 - EUR 228,275 3. Switzerland: CHF 227,547 - EUR 207,750 4. Japan: JPY 22,192,867 - EUR 168,000 5. USA/Canada: USD 207,205 - EUR 189,800 6. The maximum remuneration of the individual members of the management and the board of the applicant/lead party and any co-applicants established in other countries (i.e. outside the EU, Norway, Switzerland, Japan, USA and Canada) must be in reasonable proportion to the seniority of their position and to the organisation’s geographical location, size and complexity.   **Clarification:**  The applicant/lead party specifies the level of remuneration (salary, taxable fixed and variable expenses and benefits payable in time) of the individual members of the management and board of the organisation and any co-applicants, and indicate the size of the position to which the salary is connected. Organisations that fall under the scope of the Dutch Law on the ‘Standardisation of the remuneration of leading officials in the public and semi-public sector’ (WNT) can submit a reference to its electronic report of the WNT-data to the Ministry of Interior and Kingdom Relations, unless this information is no longer valid as of 1 January 2016 because of an adjustment in the remuneration. Organisations established in the other countries, listed under ‘C’, must elaborate on the relation between the remuneration and the seniority of their position and the organisation’s geographic location, size and complexity. |
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| **D.5.** The applicant must have access to an office in the country for which the grant is being requested – whether or not via partner organisations. In the case of a consortium, one or more consortium partners must have access to an office.  **Clarification:** The applicant/lead party uses the text box below to demonstrate that it has access to an office in the target country – whether or not via partner organisations. In the case of a consortium, one or more consortium partners must have access to an office. |
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| **D.6.** The applicant/lead party is capable of adequate financial management and must have sufficient experience and expertise to carry out the activities for which the grant is being requested efficiently and effectively.  **Clarification:**   1. If the applicant/lead party is PARTOS ISO-9001 certified, the applicant/lead party is considered to be meeting threshold criterion D.6.; 2. If the applicant/lead party has obtained a valid Framework Partnership Agreement (FPA) signed with the European Commission (DG ECHO), the applicant/lead party is also considered to be meeting threshold criterion D.6. provided that the FPA is valid both at the time of the submission of the application as at the start of the program activities. 3. If the applicant/lead party is not PARTOS ISO-9001 certified nor has obtained a valid FPA signed with DG ECHO, the following applies: 4. Meeting D.6. is apparent from a valid (less than four years old) and positively assessed organisational check or COCA (Checklist Organisational Capacity Assessment) that has been carried out on behalf of the minister in the context of a grant application. The applicant is able to demonstrate this by referring to the activity number of the grant that has been obtained, or the policy framework and the submitted application, if the application is rejected on other grounds than the organisational capacity. 5. If the facts and circumstances since the check as mentioned under b) have changed in such a way that the results of the check are fully or partly outdated, then the applicant needs to indicate below on which aspects the changes have occurred and, if necessary, submit additional documents. 6. If the applicant already has a grant relationship with the Ministry of Foreign Affairs, but the positively assessed organisational check or the COCA that has been executed on behalf of the minister in the context of a grant application, is older than four years, the simplified organisational check form can be used (annexe 4). The applicant can indicate the grant relation by referring to the activity number of the grant that has been obtained. 7. If the applicant does not have a positively assessed organisational check or COCA, nor PARTOS ISO-9001 certification, nor a valid FPA with DG ECHO, the applicant fills in the organisational check using the associated COCA format (annexe 3). |
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| **D.7.** The minimum grant period is three years (36 months) and the maximum five years (60 months), and the average minimum grant amount applied for is:   * €500,000 per year in the case of a Dutch or international NGO; * €200,000 per year in the case of a local NGO; * €1,000,000 per year in the case of a consortium.   For all applications, the maximum grant application is €10 million per country for a five-year duration of activities (2016-2021). If the application concerns a shorter period, the maximum grant application is €6 million for a three-year duration and €8 million for a four-year duration.  **Clarification:**  In the concept note (section five), the applicant/consortium indicates a minimum grant amount necessary to achieve the formulated programme outcomes. In addition, the applicant/consortium indicates the maximum requested grant amount. These amounts need to be presented per programme outcome, as formulated by the applicant/consortium, and in the case of a consortium per co-applicant. (N.B. take into account the minimum and maximum grant amounts as mentioned above). The grant amount does not need to be substantiated at this stage. The requested maximum grant amount is the maximum grant amount that the applicant/consortium can be awarded. In addition, the applicant/lead party must state the requested duration of the program in the concept note (section five). |
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| **D.8.** The activities must not start before 1 September 2016 but must start no later than 1 January 2017, and must be completed no later than 31 December 2021. **Clarification:**  In the concept note (section five), the applicant/consortium indicates the requested start and end date. |
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| **D.9.**The applicant may submit only one grant application for the chosen target country. This may be an individual application or an application as part of a consortium, in which case no distinction is made between lead parties and co-applicants. If an applicant submits more than one application for a target country, or participates in several applications for the same target country, either as lead party or co-applicant, all these applications will be rejected. |
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| **D.10.** The grant application must focus on (1) the general goals of the ARC Fund, i.e. addressing the root causes of instability/conflict and/or irregular migration and (2) one or more country-specific goals as laid down in annexe 1 of the policy framework.**Clarification:**  This must be evident from the theory of change as presented in the concept note. |
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| **D.11.** The application must not relate to:   * initiatives aimed entirely or partly at proselytism; * funding of commercial services, investments or commercial activities; * activities that already receive funding directly from the Ministry of Foreign Affairs budget; * activities of local civil society organisations that already receive funding from the Ministry of Foreign Affairs budget; * activities of organisations that already receive core funding from the Ministry of Foreign Affairs budget during the period to which the application for the ARC-fund relates.   **Clarification:** This must be declared in the text box below and must be evident from the theory of change as presented in the concept note. |
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| **D.12.** The grant application must relate to activities that will be carried out in *one* of the following target countries: Afghanistan, Pakistan, Jordan, Lebanon, Syria, Ethiopia, Somalia, Sudan, South Sudan, Mali, Burundi and the Democratic Republic of the Congo.  **Clarification:** This must be evident from the concept note. |
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1. Please provide your full EURO Account number (also known as IBAN) and BIC number. [↑](#footnote-ref-2)
2. Applicants that act as lead party in multiple consortium applications are responsible for providing the requested information of all co-applicants of the consortia in which the organization acts a lead party. [↑](#footnote-ref-3)
3. This exception is made only for Syria, not for any other ARC Fund target countries. [↑](#footnote-ref-4)
4. EUROSTAT, <http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&language=en&pcode=tec00114&plugin=1>. [↑](#footnote-ref-5)
5. Calculated on the basis of the spot rates that are used by the ministry from 1 January 2016. The currency exchange list of these spot rates is added as annexe 2 of the policy framework. [↑](#footnote-ref-6)