

Questions and answers – Addressing Root Causes Fund – second batch, 12 February 2016

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D.1

Question	Answer
93. We are still busy with setting up a consortium and therefore we were wondering whether there is another possibility to apply for your donation. We understand that the donation runs from 2016-2021. Could we also submit our application in 2017?	No, grant applications for the ARC fund must be submitted no later than Friday 4 March 2016 at 12:00 PM Dutch time. Any application submitted after this deadline will not be eligible for funding.
94. It is stated in the Guidelines that if an organization is submitting more than one proposal, for different countries, it is only required to submit the D1-D6 section only once. How will this look in practice? Do you recommend splitting the Threshold Criteria document into a single D1-D6 document and then multiple other ones?	Yes, that assumption is correct. If an applicant/lead party submits more than one application, the applicant/lead party submits the general information (part I of the application form) + threshold criteria D.1 till D.6 only once. However, please include a reference to the D.1 D.6 document submitted at the start of each proposal.
95. What level of detail is needed in the	Please see question 2 of the first batch of

<p>partnership agreement for consortium applicants? Do all activities need to be split out per party?</p>	<p>published questions.</p> <p>Please refer to threshold criterion D.1 (page 22-23 of the policy framework): 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.</p> <p>In reference to (i), we expect to receive a general overview of activities. In phase I a specific division of tasks/activities per party is not yet required.</p>
<p>96. If our registered office is in South-Africa, are we eligible to submit an application regarding implementation of a program in the DRC?</p>	<p>Please see question 27 of the first batch of published questions.</p>
<p>97. Are we eligible to apply for the fund as a social enterprise?</p>	<p>As there is no commonly accepted legal definition for the term 'social enterprise', please refer to threshold criterion 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.</p> <p>'NGO' means: a not-for-profit organization 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.</p> <p>Also please refer to question 1 of the first batch Of published questions. For private sector entities it should be demonstrated that the organisation qualifies as a not-for-profit NGO.</p>
<p>98. Are UN agencies and/or inter-governmental organizations eligible for funding?</p>	<p>Please see question 1 of the first batch of published questions.</p>
<p>99. Are research centers at academic institutions</p>	<p>It should be demonstrated that the organisation</p>

<p>eligible to apply for the grant?</p> <p>100. As a UK registered University, would we come within your definition of an NGO and would we be able to be the lead applicant?</p>	<p>qualifies as an NGO according to threshold criterion D.1 (page 22-23 of the policy framework).</p> <p>For an international NGO this 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.</p> <p>As a Dutch NGO, the organization must be established in the Netherlands, is subject to Dutch law and has its registered office in the Netherlands.</p>
<p>101. Do organizations with a legal status of a 'Foundation' fall under your definition of an NGO?</p>	<p>Please refer to threshold criterion D.1 (page 22-23 of the policy framework), according to which an '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.</p>
<p>102. Is it possible to work together with Universities regarding program implementation? If so, can this be done via consultancies without having to go through a public tender?</p>	<p>In case the consultancies are participating as co-applicants, they must meet the requirements formulated in threshold criterion D.1 (page 22-23 of the policy framework). In case consultancies are not co-applicants, it is up to the lead party to decide whether or not to include their services.</p> <p>The ARC policy rule does not specify obligations for sub-contracting. Possible obligations may follow from the Dutch Public Procurement Law 2012 (see for example article 2.8). It is the responsibility of the applicant to abide by the rules of public procurement.</p>
<p>103. As an international NGO, are we eligible to present a proposal for a target country other than the country we are officially registered in, if in a consortium with 2 organizations, which <i>are</i> registered in the target country and <i>have</i> relevant experience there?</p>	<p>Please see question 27 of the first batch of published questions.</p> <p>Also please refer to threshold criterion D.1 (page 22 of the policy framework): 'International NGO' means: an NGO that has its registered office outside the Netherlands and the</p>

	<p>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.</p> <p>In reference to threshold criterion D.2 (page 22 of the policy framework): 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:</p> <ul style="list-style-type: none"> • 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. <p>In case an organization lacks the relevant experience, that organization may not apply as lead party of a consortium.</p>
<p>104. Would our consortium of researchers and practitioners, based in the Netherlands, but with an international focus on conflict-related refugees, be eligible to apply for the ARC Fund?</p>	<p>Please refer to threshold criterion D.1 (page 22-23 of the policy framework): 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.</p> <ul style="list-style-type: none"> • '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. <p>Please also refer to threshold criterion D.2: A Dutch or international NGO must also demonstrate three years of experience in the target country with a budget threshold of at least €500,000 per year.</p> <p>Also, please refer to threshold criterion D.12. (page 24 of the policy framework):</p>

	<p>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.</p> <p>When a consortium of researchers and practitioners does not meet all the threshold criteria the applicant(s) will not be eligible for funding.</p>
<p>105. It is allowed now for local Syrian organizations to be registered in a country outside Syria. However, the condition is that they should implement activities only in Syria. Most Syrian organizations in fact do implement, at limited scale, some activities with Syrian refugees in countries outside Syria. Does this mean that they do not comply any more with the criteria for 'local organization'? It would mean that they can only be co-applicant as international ngo, thus having to evidentiare that they have spent a minimum of 500.000 euro per year in the past three years in at least two countries, is this correct?</p>	<p>This is correct.</p> <p>Please refer to our revised policy framework, section D.1. (page 22). The following definition applies for 'local Syrian NGOs': an organization having its registered office in Syria, Jordan, Lebanon or Turkey and only carrying out activities inside Syria.</p> <p>An organization that carries out activities in at least two countries falls under the definition of an international NGO, and must meet the related requirements (including financial thresholds).</p>

D.2

Question	Answer
<p>106. Our organization has much experience with implementing programs in Africa. However, we do not have at least three years of experience in our target country. Are we obligated to have such experience in the target country we apply for, or is experience in African countries in general sufficient?</p>	<p>See question 21 of the first batch of published questions.</p> <p>In case of a consortium, an organization that <i>lacks</i> the required amount of experience in the target country cannot apply as the lead party of a consortium.</p>
<p>107. Can you confirm the three year experience applies for the whole of the consortium?</p>	<p>See question 21 of the first batch of published questions.</p> <p>When an application does not meet all the threshold criteria, it only qualifies for a grant when it submits a proposal in a consortium with a lead applicant that does meet all the threshold criteria.</p>

<p>108. If the lead agency /or a co-applicant does fulfil the criterion of spending at least 500.000 € per year since 2013, but has only registered in the course of 2013, is the criterion fulfilled?</p>	<p>See question 21 of the first batch of published questions.</p>
<p>109. The application criteria suggests that the applicant or lead party must have had at least 3 years' experience with implementing programs in target country, during 2011-2015. If the organization is new (its team was assembled in Q4 2015), but has a wealth of implementation expertise through its board, management team and staff, could the organization apply? Or will be it be disqualified?</p>	<p>See question 21 of the first batch of published questions.</p> <p>When an application does not meet all the threshold criteria, regardless of expertise currently available to them, the applicant is not eligible for funding.</p>
<p>110. Does the amount of €500,000 per year still apply if the lead party is a local NGO?</p>	<p>See question 21 of the first batch of published questions.</p> <p>Also please refer to Please refer to threshold criterion D.1 (page 22-23 of the policy framework).</p>
<p>111. Should the applicant/lead party have had implemented programs for €200,000 per year for the last five years (2011 to 2015) or just for the last three years (2013 to 2015)?</p>	<p>Please see question 18 of the first batch of published questions.</p> <p>Also, refer to threshold criterion D.2 (page 23 of the policy framework):</p> <p>In the 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:</p> <ul style="list-style-type: none"> • 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. <p>The specific sequence of the program implementation is not stipulated, as long the experience in the target country refers to the period 2011-2015, with a budget of at least €200,000 per year for local NGOs and €500,000 per year for Dutch or international NGOs.</p>
<p>112. As evidence for threshold criterion D.2, it is required to send in annual narrative reports</p>	<p>Please refer to the clarification section of threshold criterion D.2: a draft of the 2015</p>

that confirm our activities in the target country: is this also required for the year 2015 or is it sufficient to send in the concept annual accounts? If it is required to send in the narrative report, can this be a first draft of the annual report for 2015?	annual report is accepted. 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

Question	Answer
113. In regards to threshold criterion D.3: Does the term "embassies" only relate to the Dutch Embassies or does it also include other foreign embassies who working in our country?	Threshold criterion D.3 states: 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. The above statement refers to Dutch embassies only.
114. Is our proposal eligible for funding, although we have received funding from the Netherlands Embassy?	Please see questions 33 and 34 of the first batch of published questions.
115. With respect to criterion D.3. to provide: "Income per 1 January 2015 excluding MFA contributions: €.....", are we expected to provide accounts of our annual income over 2015 excl. MFA contributions?	No, for D.3. applicants are not expected to provide accounts of the annual income over 2015 excl. MFA contributions. Applicants are, however, reuired to provide annual accounts for the years 2012, 2013 and 2014. Please refer to criterion D.3. (page 22-23 of the policy framework): 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

	<p>the whole consortium.</p> <p>Annual accounts must clearly demonstrated what percentage of annual income is derived from MFA contributions.</p>
<p>116. Annual audited accounts will not be available for the period from 1 April 2015 to January 2016. What should be provided to demonstrate this?</p>	<p>Please see question 114 (above).</p> <p>In case annual accounts for the period 2015-2016 are not yet available, please demonstrate compliance with criterion D.3 on the basis of financial reports over the 2012-2014 period.</p>
<p>117. Is an applicant still eligible if, only upon securing a grant under the ARC Fund, their total annual income from <i>Dutch sources</i> does exceed 75% in the period of the grant(s) from the ARC Fund?</p>	<p>Threshold criterion D.3 does not include stipulations regarding sources from Dutch origin <i>other than</i> the Ministry of Foreign Affairs (including embassies).</p> <p>As long as the applicant can 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.</p> <ul style="list-style-type: none"> • 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.

D.4

Question	Answer
<p>118. In reference to threshold criterion D.4, please specify "senior staff": Does the income ceiling mentioned in sections refer to the overall salary that the senior management has been receiving as their</p>	<p>Please refer to threshold criterion D.4 (page 23 of the policy framework): the maximum remuneration established in threshold criterion D.4 refers to the remuneration of all individual members of management and board of the applicant/lead</p>

<p>regular pay prior to the request for funds? Or does it refer to a remuneration cap on payment to senior management once ARC Funds have been awarded to the particular organization?</p>	<p>party and co-applicants as from the start of the period for which the grant is being requested. I.e. the overall remuneration paid for the post they occupy in these legal entities as of the start of the period the grant is requested for. This will in most cases probably be substantiated through information regarding the previous period, but if any relevant change in remuneration has taken or will take place concerning the remuneration to be paid in the period for which the grant is requested, this should be shown otherwise.</p> <p>The remuneration criteria (i.e. income ceilings) indicated in section D.4 apply to the senior staff employed in the country where the organization (applicant/lead-applicant/co-applicant) has its registered office. In case an international NGO has its registered office in the USA, the remuneration criteria apply to the senior staff in the US office. In case the registered office is in the target country (do check criteria D.1. and the answers to the questions regarding D.1.), the organization can apply as a local NGO and the criteria apply to the senior staff of that particular organization.</p>
<p>119. Does the limitation apply if the board members are not remunerated by the organization?</p>	<p>Yes, the limitations stated in threshold criterion D.4 also apply if the board members are not remunerated by the organization itself.</p>
<p>120. In relation to the threshold criteria D.4 b: Given that the UK does not use the Euro is there a higher remuneration threshold for organizations based in the UK based on the different purchasing power?</p>	<p>Please refer to threshold criterion D.4 (page 23 of the policy framework): 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.</p>
<p>121. Could you confirm whether we should include income tax and social charges within the overall calculation of "remuneration".</p>	<p>Please refer to threshold criterion D.4 (page 23 of the policy framework): 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 gross 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</p>

	<p>employer's share of pension contributions.</p>
<p>122. If a salary for an Executive based in one of the countries indicated in section B (pasted below) exceeds the amount listed for that country in section B, does this automatically disqualify us for an award or is there an opportunity to justify the salary as reasonable and proportional (as listed in C)?</p>	<p>Yes, this disqualifies the applicant. No, an executive based in one of the countries indicated in section D.4-B does not have the opportunity for further justification.</p> <p>Please refer to threshold criterion D.4 (page 23 of the policy framework): organisations based in any of the countries indicated in section A or B, which exceed the identified income ceilings, are not eligible for funding. Opportunity for justification is reserved exclusively for other countries (i.e. outside the EU, Norway, Switzerland, Japan, USA and Canada).</p> <p>The remuneration criteria (i.e. income ceilings) indicated in section D.4 apply to the senior staff employed in the country where the organization has its registered office.</p>
<p>123. It is not clear what is meant in section D.4-C. "reasonable proportion to the seniority of one's position and the organizations geographical location, size and complexity". Can you please clarify?</p>	<p>Because of the variety of countries and society-specific circumstances worldwide, unfortunately it is not possible to give maximum levels of remuneration for other countries than EU Member States , Norway, Switzerland, Japan, USA and Canada. Organizations established in these other countries should provide the remunerations paid to their management and board members and explain why these remunerations are reasonable in view of the seniority of these person's positions and the organizations geographical location, size and complexity. This substantiation will be used to assess whether the remunerations can be considered reasonable.</p>
<p>124. At the moment, the salary of our senior staff exceeds the maximum remuneration amount as stipulated in the Standards of Remuneration Act (WNT). However, we have agreed to adapt the salary accordingly, in the course of the next four years. Are we then still eligible for funding?</p>	<p>The maximum remuneration established in threshold criterion D.4 refers to the remuneration of all individual members of management and board of the applicant/lead party and co-applicants as from the start of the period for which the grant is being requested. I.e. the overall remuneration paid for the post they occupy in these legal entities as of the start of the period the grant is requested for. This will in most cases probably be substantiated through information regarding the previous period, but if any relevant change in remuneration has taken or will take place concerning the remuneration to be paid in the period for which the grant is requested, this should be shown otherwise.</p>

	<p>If from the start of the period for which the grant is being requested the senior staff salary adheres to the indicated maximum (WNT norm) <i>and</i> the applicant meets all other application requirements, the applicant is eligible for funding.</p> <p>The remuneration criteria (i.e. income ceilings) indicated in section D.4 apply to the senior staff employed in the country where the organization has its registered office.</p>
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D.5

Question	Answer
125. How would you like us/consortium partners to demonstrate field presence? Is it enough to provide the address?	Official documentation demonstrating field presence by means of address will suffice.

D.6

Question	Answer
126. For applications from a consortium, could an organization besides the lead party receive project funds directly from the Dutch Ministry and handle subsequent disbursements to the various implementing parties within the consortium?	No, please refer to threshold criterion D.6 (page 23 of the policy framework): 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.
127. Regarding D.6, (for point B), it says we can use "the policy framework and the submitted application, if the application is rejected on other grounds than the organizational capacity". This is applicable to us, therefore, do we simply write the name of the policy framework and a reference number of an application we submitted that was rejected on grounds other than the organizational capacity?	Please refer to the rejected application by including the <u>name of the Fund</u> , the <u>name of the application</u> and the <u>name/title of the decree/disposition</u> , including date and reference number.
128. Does your reaction also apply to organizations which are recently selected as Strategic Partner for Lobby and Advocacy of the Dutch MoFA (and which have done so on	Please refer to the clarification section of criterion D.6, points d-f (page 5-6 of the revised general application form and threshold check) :

<p>basis of a then still valid COCA)? Does the fact that they have been selected as Strategic Partner not automatically qualify them as having passed the COCA and therefore also exempts them from filling in Annex 4 ?</p>	<p>d) 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.</p> <p>e) 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.</p> <p>f) 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.</p>
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D.7

Question	Answer
<p>129. Is it possible to lower the financial threshold of EURO 1 million for a consortium to be financed on a yearly basis?</p>	<p>No, please refer to threshold criterion D.7 (page 23 of the policy framework): the average minimum grant amount applied for is €1,000,000 per year in the case of a consortium.</p> <p>When an applicant or consortium does not meet all the threshold criteria the applicant/consortium is not eligible for funding.</p>
<p>130. Page 15 of the Policy Framework and the Application Form indicate that it is not necessary to submit a budget, only a minimum and a maximum requested grant</p>	<p>Whereas the ceiling for the grant amount is fixed, a budget need not be submitted in phase I. Therefore, the allocation per outcome and co-applicant can still be adjusted in Phase II.</p>

amount, presented per outcome and per co-applicant: Can the allocation per outcome and per co-applicant still be adjusted in Phase II, or is the allocation fixed at the end of Phase I, as is the ceiling for the grant?	
131. Is there a minimum and maximum amount we can request per country? What is the budget ceiling for each applying organization?	Please see question 30-31 of the first batch of published questions.
132. Secondly, what is the timeframe for the project duration? Can we apply for a multi-year program, or only one year?	

D.10

Question	Answer
133. Can you confirm that we can choose between the country specific goals to address?	<p>Yes, you may choose which of the country-specific goals (stated in Annex 1 of the policy framework) to address.</p> <p>Where both priority goals and secondary goals have been formulated for a target country (see annexe 1), applications focusing on one or more priority goals for the target country will be given priority over applications focusing on secondary country-specific goals.</p> <p>Where annexe 1 identifies priority and secondary goals and priority regions in a particular target country, applications focusing on secondary goals in a priority region will take priority over applications focusing on one or more priority goals in other regions.</p> <p>This also applies if the quality of applications focusing on secondary country-specific goals in non-priority regions is higher than the quality of the applications focusing on priority country-specific goals and regions (provided that they are at least of sufficient quality).</p>
134. If the applicant chooses country-specific goal 5 in the case of Jordan, does the applicant have to focus on both sub-parts (5.1 and 5.2) or can the applicant just	Please see question 62 of the first batch of published questions.

focus on one of the sub-parts?	
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D.11

Question	Answer
135. According to criterion D.11: the <i>application must not relate to: 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.</i> Please clarify what you mean by "core funding"?	The term 'core funding' refers to a grant covering the full costs of an organization's activities (not necessarily for 100%).
136. We currently receive funding from the Dutch Ministry of Foreign Affairs earmarked for specific activities in a number of countries. This includes a small amount for overhead costs. Can you please confirm if we are eligible to apply for the ARC fund?	Yes, in case the application concerns a different project than the one currently being funded, we can confirm you are eligible for funding in reference to threshold criterion D.11 (page 24 of the policy framework).
137. Would the MFA consider our proposal as an international organization A, in relation to a consortium application with international organization B, in addition to the renewal of funding of a different project?	Please refer to question 34 of the first batch of published questions.

D.12

Question	Answer
138. Would you be open to accepting proposals from NGOs who are addressing the issue from an external root cause of destabilization in countries like Egypt, Libya, Syria, and Afghanistan (the latter two being ARC target countries) ? These NGOs do not necessarily have a local NGO in the country. Therefore, would you be open to proposals that address external root causes and originating events even if it exposes elites external to the target countries?	<p>The ministry cannot advise on the content of the intervention other than that the application must be aimed at one or more country-specific sub goals as provided in annexe 1 of the policy framework and meet all the threshold criteria. Only then will the quality of the track record and concept note be assessed, as long as all other threshold criteria are met as well.</p> <p>Please refer to threshold criterion D.12. (page 24 of the policy framework): 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</p>

	<p>Republic of the Congo.</p> <p>Therefore it is not possible to include (areas of) other countries than ARC target countries in your application – irrespective whether it is as a cross-border area. Applications aimed at activities in countries other than the twelve ARC Fund target countries will be rejected.</p>
139. Can a pilot project for Cameroon be adapted to fit for Ethiopia after implementation?	<p>Please refer to threshold criterion D.12. (page 24 of the policy framework):</p> <p>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.</p>
140. Is cross- border programming eligible?	<p>Please see question 35 of the first batch of published questions.</p>

Track Record

Budget

Question	Answer
141. Is it possible to lower the financial threshold for the track record? Is there a difference between required and desirable criteria? Or are all criteria required/obligatory, and if not provided, an organization will be disqualified?	<p>No, the financial threshold as stated in both the policy framework and track record application format are fixed. All criteria are obligatory.</p> <p>However, please refer to question 18 of the first batch of published questions.</p>
142. For multi-country programmes only the part of the programme implemented in the target country is eligible as track record: Is there a similar limitation for track record of programmes that were implemented as a consortium, or where different themes were addressed?	<p>Please see question 55 of the first batch of published questions.</p>
143. Can the parts of the programme that do not directly relate to the ARC goals and themes still count toward the financial threshold?	<p>Please refer to page 18 of the policy framework.</p> <p>If the applicant/lead party received a grant in 2011-2015 from the Reconstruction Tender 2012-2016 or the Strategic Partnerships Chronic Crises 2014-2016 for a programme in the target</p>

	<p>country, they must use that programme as a case.</p> <p>If the applicant/lead party did not receive a grant from one of the above-mentioned funds in the last five years, they must selected at least one case with a minimum average budget of EUR 500.000 per year (in case of a Dutch or international NGO) or an average of EUR 200.000 per year (in case of a local NGO).</p> <p>The case presented should meet the requirements as indicated on page 17 of the policy framework.</p> <p>Thus parts of a programme that do not relate to the ARC goals/themes cannot be presented as a case and thus do not count towards the financial threshold for the case that needs to meet the financial threshold of a minimum average budget EUR 500.000 per year (in case of a Dutch or international NGO) or a minimum average budget of EUR 200.000 per year (in case of a local NGO).</p>
<p>144. Can only the part of the programme for which the applicant bore financial responsibility be used as track record, or the whole programme? i.e. In case the applicant has implemented a program during which subsidies were given to third parties for the actual implementation of projects and activities, can the applicant submit the program as a case?</p>	<p>Please refer to page 18 of the policy framework, which indicates programmes that may not be used as case: If the applicant/lead party (and any co-applicant) has raised funding for programmes, without taking responsibility for the results, these programmes may not be used as a case.</p>
<p>145. Is it possible to receive the scoring criteria breakdown for the Track Record and Concept Note Annexes?</p>	<p>No, it is not possible to receive the scoring criteria breakdown.</p>
<p>146. Can you confirm that only annual accounts (completed and audited) are allowed as evidence of meeting the threshold requirements. What method should be used to evidence contributions to target countries from multi-country projects where the breakdown is not outlined in annual accounts, or where income in annual accounts is listed by donor rather than country?</p>	<p>Please refer to page 17-18 of the policy framework: If a multi-country programme is presented as a case, this minimum budget refers to the budget for the target country alone. In case the annual accounts available do not sufficiently clarify, it is up to the organization to demonstrate this by other means.</p> <p>In case a completed and audited annual account/report is not available, draft annual reports/accounts are also permitted.</p>

Cases

Question	Answer
<p>147. For the track record cases we have to name the 'implementing partners' of the programme. Could you explain what is meant by implementing partners: does it refer to all partners in the field that implement a part of the programme?</p>	<p>Please refer to page 19 of the policy framework. <i>Involvement of partner organisations:</i> the applicant/lead party must describe the extent to which the partners were involved in programme design, implementation, monitoring and accountability to the target group, and the extent to which their capacities were thereby strengthened. In cases where working through partner organisations was not possible or not in the interests of the programme/target group, explain why.</p> <p>The above statement thus refers to all partners involved in program programme design, implementation, monitoring and accountability to the target group.</p>
<p>148. Under section 1A of the track record we are requested to specify for two cases "the outcomes of the programme". In the case of an ongoing programme, are we expected here to provide the planned outcomes according to the log frame, or are we expected to report on outcomes actually achieved so far?</p>	<p>In case of an ongoing programme for which final outcomes are not yet available, indication of both the expected outcomes and outcomes achieved so far will suffice.</p>
<p>149. "The track record must (visibly) include (...) Duration and intensity of experience relevant to the ARC Fund: The applicant/lead party must specify the experience of the applicant/lead party (1) in the chosen target country and (2) on the chosen country-specific goal(s)."</p> <p>Does the duration and intensity refer to the two cases, or (in the case applicants have several programmes in a country on a goal) are applicants expected to provide a information on the duration and intensity of its wider country programme relevant to the ARC fund?</p>	<p>Information on duration and intensity must be provided for the programmes presented as cases.</p>

Co-applicant

Question	Answer
<p>150. Please provide clarification around the</p>	<p>A consortium refers to both the lead party and</p>

<p>difference between co-applicants and a consortium?</p>	<p>all co-applicants as a whole.</p>
<p>151. Regardless of the co-applicant not meeting the criteria for D.2., must the lead party still submit D1-D6 for the co-applicants also?</p>	<p>Please see question 9 of the first batch of published questions. In the case of co-applicants, also please refer to threshold criterion D.1, D.3, D.4 and D.5 of the policy framework.</p> <p>Applicants that act as lead party in multiple consortium applications are responsible for providing the requested information, regarding criteria D.1 till D.6, of all co-applicants of all the consortia in which the applicant acts a lead party.</p>
<p>152. Regarding D3.; for filling in the financial information for the annual total income, is this information solely for the applicant/lead party or must you write the full figure for the whole consortium? E.g. total annual income for a three-party consortium?</p>	<p>Please refer to threshold criterion D. 3 (page 22 of the policy framework):</p> <p>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. The applicant/lead party adds the annual accounts of its organisation and co-applicants separately and, if applicable, firm commitments of donors for the grant period as Annexes to the application and refers to the relevant pages.</p>

Evaluation

Question	Answer
<p>153. If the applicant/lead party is the parent organisation, the programmes carried out by the entire own organisation may be used as case. If the applicant provides the programme carried out by the entire own organization as a case, does the evaluation need to cover all the programmes carried out by the applicant and/or with other INGOs or can it be for a part of the applicants country programme. For example if the applicant was one of the implementing organizations and was evaluated, but this is one component of the country-wide</p>	<p>The evaluation must refer to the programme that is presented as a case. In case the evaluation encompasses a broader framework (i.e. multiple programmes), please submit only the section referring to the program that is presented as a case.</p>

programme of the applicant.	
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Concept Note

Question	Answer
154. The context analysis for Democratic Republic of the Congo (DRC) refers to the International Security and Stabilisation Support Strategy (I4S) and the analysis generally has a strong human security (Goal 1) focus, but the ARC Fund will only be open for proposal addressing Goal 4 (Legitimate and capable governments) and Goal 5 (Employment and basic services). Will the ARC Fund consider funding human security as a goal, given the intention to support the I4S?	The ministry cannot advise on the content of the intervention other than that the application must be aimed at one or more country-specific goals as provided for the DRC on pages 4-5 of annexe 1 of the policy framework.
155. The guidance mentions that you will support the selected I4S stabilisation priority zones in DRC: 1) Masisi-Rubaya-Katoyi-Luke and 2) Hauts Plateaux de Kalehe (northern Kalehe), but I was wondering if applications from other priority axes in DRC would also be considered.	Please refer to question 61 of the first batch of published questions.
156. For the DRC, two priority regions have been identified in the policy framework. Will applications that target both areas be prioritised above applications that focus on one priority region?	Please refer to question 61 of the first batch of published questions.
157. Does the ARC grant cover infrastructure and construction activities that are directly related to and addressing your application call's purpose.	The ministry cannot advise on the content of the intervention other than that the application must be aimed at one or more country-specific goals as provided in the annexe 1 of the policy framework.
158. Regarding priority regions in the ARC-countries of Ethiopia and South-Sudan: In Annex 1 of the policy framework in Ethiopia and South-Sudan there are NO priority regions mentioned. However, does the ARC team and/or within both countries still have certain priority areas in mind?	No, as stated in the annexe 1 of the policy framework: there are no priority regions identified for Ethiopia and South-Sudan.
159. The format for the concept note contains a flow-chart for presenting the Theory of	No, please refer to footnote 29 on page 18 of the policy framework (Track Record): Outcomes are

Change. According to the template of this flow-chart applicants need to present their theory in change in the colored boxes. In the template, there is a direct link between strategies and outcomes. Is it allowed to introduce an in-between level (outputs/intermediate changes) between the strategies and outcomes in order to be able to use the Theory of Change-methodology that our organization uses?"	defined as; medium or long-term effects or consequences of outputs on the programme's beneficiaries. Outputs are not included in the flow chart. Please fill in the flow chart as indicated in the concept note.
160. Is it possible to submit one proposal for all 3 locations in Sudan, as one unified proposal?	Yes, as long as the proposal includes all three locations in the context analysis of the concept note.

General

Financial

Question	Answer
161. Please clarify if a EURO account is required in order to receive funding.	Applicants are not required to have a EURO account in order to receive funding. It is required to indicate budget amounts in EURO, as grants will initially be accorded in EURO. However, after phase II applicants may use the currency of choice regarding grant payments and reporting. The conversion will be managed in accordance with our corporate rate and must be a hard currency.
162. When submitting the application form and track record and concept note, do explanations, clarifications and checklists need to be kept in the documents or should all or some be deleted?	It is up to the applicant to ensure all the required information (according to our application forms) is included in the final application.
163. We would like to cooperate with a company for a specific activity. Can they join the alliance as a sub-contractor? Do sub-contractors have to meet the threshold criteria?	Please refer to question 72 of the first batch of published questions. In case the sub-contractors are participating as co-applicants, they must meet the requirements formulated in threshold criterion D.1 (page 22-23 of the policy framework).
164. Are there limitations on the overhead vs. direct costs applied to the grant? Please	Please see question 75 of the first batch of published questions.

provide guidance on how flexible you are in budget realignment.	No elaborated budget is requested in this phase of the selection process. The Ministry does not have limitations for the daily fee paid to experts. However, fees paid need to be necessary and within reasonable limits. Refer to article 14 of the Ministry of Foreign Affairs grant decree.
165. How does the Dutch Ministry of Foreign Affairs address currency exchange gains/losses? How will payments be made/in what currency?	The impact of currency exchange gains/losses will be assessed in a context-sensitive manner, per application/project. Payments will be made in EUROS.
166. Are there any limits on indirect charges to grants?	Please see question 70.
167. Will the Dutch Ministry of Foreign Affairs allow us to purchase vehicles and other equipment for the implementation of the proposed project? a. What, if any, are the procurement limitations (size, origin requirements)? b. Are there thresholds or limitations on size of sub-grants or contracts to co-applicants or contractors identified during the implementation of the project for specific deliverables?	The ministry cannot advise on the content of the intervention other than that the application must be aimed at the general goal of the ARC Fund and one or more country specific goals as provided in annex 1 of the policy framework. There are no thresholds or limitations in advance on size of sub-grants or contracts to co-applicants or contractors identified during the implementation of the project for specific deliverables. However, according to article 14 of the Ministry of Foreign Affairs Grant Decree grants shall be awarded solely to cover costs of the planned activities that are necessary in the light of the objectives and results envisaged, provided it cannot reasonably be expected that such costs can be funded from the applicant's own resources or other sources.
168. Can a local NGO be an implementing partner in more than one application - as long as they are only applicant or co-applicant in one?	Yes, a local NGO can be an implementing partner in more than one application, as long as the involvement of the local NGO falls under sub-contracting.

Thematic and Country Priorities

Question	Answer
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<p>169. Does Red Sea qualify as a target location for the fund? (Sudan)</p>	<p>For a number of target countries one or several priority regions have been selected. In the case of Sudan, Eastern Sudan and Darfur have been identified as priority regions (page 18 of the policy framework). Proposals focusing on the priority regions will be given priority. This does not mean that proposals are not allowed to choose other regions than the priority regions.</p> <p>Please refer to page 12 of the policy framework: where Annexe 1 identifies priority and secondary goals and priority regions in a particular target country, applications focusing on secondary goals in a priority region will take priority over applications focusing on one or more priority goals in other regions.</p> <p>This also applies if the quality of applications focusing on secondary country-specific goals in non-priority regions is higher than the quality of the applications focusing on priority country-specific goals and regions (provided that they are at least of sufficient quality).</p>
<p>170. In regards to Ethiopia as a target country, does Gambella qualify as a target location?</p> <p>171. For an application made for Ethiopia, would applications targeting refugees in urban settings such as Addis Ababa be considered?</p>	<p>Please refer to question 169 (above).</p> <p>For Ethiopia, no priority regions have been identified (please refer to page 6 of Annexe 1 of the policy framework).</p>
<p>172. Would you recommend a focus on North Mali, even if the Mali specific guidance refers to country wide as well as North Mali? Or is a country wide approach expected?</p> <p>i. With Dutch peacekeepers in Gao, is there a preference for that region?</p> <p>ii. Would Mopti region be considered part of North Mali?</p>	<p>The ministry cannot advise on the content of the intervention other than that the application must be aimed at one or more country-specific goals in annexe 1 of the policy framework. It is up to the applicant/consortium to elaborate the extent to which the formulated programme outcomes contribute to the overarching goals of the ARC Fund and the country-specific goal(s) in the selected target country and target intervention area(s).</p>

<p>173. On Goal 1.2 in Mali, there is already some relevant investment in these priorities.</p> <p>i. What security institutions do you recommend a proposal would focus on? Is this mostly FAMA and/or National Police, or should this also include MINUSMA entities?</p> <p>ii. Are "security and justice sector reforms" expected at the national, policy level or focused on delivering "results to people" primarily?</p>	<p>Please see question 172 (above).</p>
<p>174. For Mali in Goal 3.2: What is the Dutch Government's vision of national and international actors "taking responsibility" over peacebuilding and conflict prevention? Who are the key stakeholders and what would be considered a success?</p>	<p>Please see question 172 and 173 (above).</p>
<p>175. In the case of Ethiopia and South-Sudan and regarding the Target group eligible within the ARC-Fund: on which Target groups does the ARC-fund especially focus: are these Refugees + IDP's, or also Host Communities, OR all three categories?</p>	<p>The ministry cannot advise on the content of the intervention other than that the application must be aimed at one or more country-specific goals as provided for in the Annexe 1 of the policy framework.</p>
<p>176. We are interested in applying for ARC grant in a consortium . Our approach would be to look at the natural resource base and the agricultural systems that sustain the population, including those likely to migrate out of Ethiopia. We believe that restoring and strengthening them might remove some of the pressures to migrate, although we recognize that there are multiple root causes of migration. Is this sort of intervention in line with the opportunity presented by ARC?</p>	<p>The ministry cannot advise on the content of the intervention other than that the application must be aimed at one or more country-specific goals as provided for in the Annexe 1 of the policy framework (page 6 for Ethiopia).</p> <p>It is up to the applicant/consortium to elaborate the extent to which the formulated programme outcomes contribute to the overarching goals of the ARC Fund and the country-specific goal(s) in the selected target country and target intervention area(s).</p>
<p>177. Could you please clarify what areas of South Central Somalia are considered liberated?</p> <p>Does this refer to areas liberated in the course of 2014-2015 (also called "newly liberated"), or to areas that were liberated earlier (e.g. 2012, such as Kismayo)?</p>	<p>Please see question 67 of the first batch of published questions.</p>

<p>178. Can goals be addressed through community-based approaches (such as CMDRR) with limited institutional interactions, given the weak governance structure in some locations of South Central Somalia, especially the newly liberated ones?</p>	<p>The ministry cannot advise on the content of the intervention other than that the application must be aimed at one or more country-specific goals in Annexe 1 of the policy framework. It is up to the applicant/consortium to elaborate the extent to which the formulated programme outcomes contribute to the overarching goals of the ARC Fund and the country-specific goal(s) in the selected target country and target intervention area(s).</p>
<p>179. In regards to sub-goal 5.2 for Jordan: Must the project address access to all three i.e. quality education, vocational training, and water and sanitation?</p>	<p>No, it is not required to address all three sectors. The following phrase should have been included in the English translation of the policy framework:</p> <p>In regards to Annexe 1, Jordan's sub-goal 5.2: NGOs, in cooperation with Government institutions and service providers, are enhancing equitable access to quality education and vocational training and/or water and sanitation in a manner that contributes to social cohesion.</p>
<p>180. Considering the focus of the ARC program lies upon fragile countries and contexts, can the program be revised in consultation with the ministry during its implementation?</p>	<p>Yes, this may be possible in deliberation and given that sufficient substantiation is provided.</p>

Language

Question	Answer
<p>181. All attached Annexes must be in English, but does this also apply to an organization's constitution? If it is in French, must it be translated into English?</p> <p>182. In case a translation is needed, how "official" is the translation needed? In case a translation is needed, should it be Annexed alone or altogether with the original French documents?</p>	<p>Please see question 91 of the first batch of published questions.</p> <p>Applications (including all supplements) must be submitted in English (refer to page 15 of the policy framework). This includes evaluations, reports, partnership agreements etc.</p> <p>Only the English translations of required documents should be submitted. It does not have to be an official translation.</p>