

SIEMENS

Siemens Integrity Initiative

Creating fair market conditions

Fighting corruption and fraud through Collective Action, education & training

Expression of Interest – second funding round June 27, 2013

1. Summary

Project Name:	
Name of Applicant*:	
Country of main office (Applicant):	
Project Partner Organization(s)**:	
Category of application: <i>(please mark the appropriate with 'X')</i>	<input type="checkbox"/> <i>Collective Action</i> <input type="checkbox"/> <i>Education & Training</i> <input type="checkbox"/> <i>Both categories</i>
Total amount of funding required: <i>(in USD)</i>	
Intended launch and end of project: <i>(month/year)</i>	
Planned project duration: <i>(number of months)</i>	
Country covered***:	
Industrial/Commercial sectors covered****:	
Main contact for this application: <i>Name, title, phone, e-mail</i>	

* In case of joint applications, specify here the organization assuming the leading position; see Annex 1 for supporting information regarding all organizations participating in the project.

** see Annex 1 for supporting information regarding all organizations participating in the project. For EACH organization participating in the project fill out an Annex 1 - form and submit it with this Expression of Interest form together with the required supporting documentation to Siemens (application.integrityinitiative@siemens.com).

*** One proposal can only cover one country.

**** For example, Healthcare, Energy, Industry, or others.

- 5. Expected impact on business environment during implementation period of project:**
(describe how activities will have a positive impact on the private sector and the business environment)
(maximum 300 characters)
- 6. Innovation:** *(describe how the project represents a new and innovative way of countering corruption and fraud in the area/country)*
(maximum 300 characters)
- 7. Sustainability:** *(describe how the project will achieve financial and organizational sustainability on a longer-term basis)*
(maximum 300 characters)
- 8. Growth potential:** *(describe how the project could be scaled up and replicated)*
(maximum 300 characters)
- 9. Project Partner Organization(s) and role:**
Joint applications: *Where several organizations plan to implement the project jointly, an outline of the (planned) split of responsibilities/ work share must be given here:*

3. Further Information on Applicant and Project Partner Organization(s)

Please fill in Annex 1 – Further Information on Applicant and Project Partner Organization(s) for the Applicant and in case of **joint applications** also for each Project Partner Organization.

4. Project Budget:

Please fill in Annex 3 – Project Budget (Excel Sheet) in accordance with the rules as set forth in Annex 2 – Budgeting Rules. The Excel-Sheet can be downloaded from the website of the Siemens Integrity Initiative.

5. Project Core Team Members:

Specify all individuals forming part of the core project team including name, title, function in the project. For each individual listed, submit with this application the key biographical references summarizing experiences / individual competences relevant for the project.

Project leader <i>(first name, last name, function, organization, role in project)</i>	
Team members: <i>(List all relevant team members; organization, first name, last name, function, role in project)</i>	

V. Confirmation by the Applicant

*We are aware of the fact that **no** Expression of Interest form will be reviewed unless the application has been submitted in full, including the filled in and signed Annex 1 with the supporting documentation with respect to the Applicant and each Project Partner Organization, if any, and the filled in Annex 3 (Project Budget) within the relevant deadline and via the e-mail address mentioned below.*

We hereby confirm that the information contained in, and attached to this Expression of Interest form including its Annexes 1 and 3 is complete, accurate and true. We understand that any material changes during the selection process must be communicated to Siemens immediately via the following e-mail address (application.integrityinitiative@siemens.com).

We also confirm that we are aware that Siemens may eliminate the application from the selection process for the ongoing, as well as any future funding rounds of the Siemens Integrity Initiative if any material piece of information or documentation provided in or related to this Expression of Interest (EOI) form, is found to be inaccurate or untrue, or where any material changes during the selection process are not correspondingly communicated to Siemens.

We understand that the decision to award any funds, including the decision to disregard any application fully, or award funds only partially, takes place at any stage of the selection process solely and exclusively at the discretion of Siemens. Siemens will not be obliged to provide a justification for its decisions in the selection process. Participation in the selection process and/or selection for the Full Proposal stage of the selection process may result in, but does not entitle an applicant to be selected for the award of any funds.

FURTHERMORE, WE CONFIRM THAT AS OF THE DAY OF SIGNING THIS DOCUMENT NO INFORMATION HAS COME TO OUR ATTENTION THAT RAISES CONCERNS REGARDING THE INTEGRITY OF OUR ORGANIZATION, OR ANY ORGANIZATION INCLUDED IN THIS APPLICATION WITH REGARD TO CORRUPTION, BRIBERY, FRAUD, MONEY LAUNDERING OR SIMILAR INFRINGEMENTS AGAINST LEGISLATION.

Sign and print name of Applicant:

Date, name, function, organization

Please provide a Power of Attorney that the person signing this EOI is authorized by the applicant organization to do so.

Annex 1: Information on Applicant and Project Partner Organization(s)

A pdf-copy of the following Annex 1 must be filled in, duly signed, attached to and submitted together with the Expression of Interest form as well as the required supporting documentation (see 4., below) to the following e-mail address (application.integrityinitiative@siemens.com). Specify the project name for reference purposes.

IMPORTANT NOTE! In case of **joint applications**, this Annex must be completed and signed separately by **EACH** organization participating in the project, this means the Applicant and each Project Partner Organization, if any. No Expression of Interest form will be reviewed unless Annex 1 and the supporting documentation have been submitted in full, within the relevant deadline and via the above e-mail.

Project name	
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1. Key information on the organization / legal entity:

Name of organization	
Legal form	
Main office address (street, city, post code, country)	
Date and place of establishment/ creation/ incorporation/ foundation	
Registration date and number; Name and location of registration authority (name, street, city, postal code, country)	
Prior names of organization if the name has changed during previous 3 years	
Name of all current legal representatives/ directors (first name, last name, title, function)	
Name of owner(s)/ shareholder(s) including percentage of ownership/ shares/ or, in case of organizations established under public law, the public entity to which the organization belongs (e.g. Ministry, etc.)	
Annual turnover/ budget (USD)	
No. of employees/ staff	
Is your organization or are your organization's financial statements subject to external financial audits? If so pls. state the name of the auditor (including street, city, post code, country)	<input type="checkbox"/> Yes <input type="checkbox"/> No Name of auditor:
Indicate whether the organization is considered a non-national in the country where the project will be performed, or a tax-exempt national?	<input type="checkbox"/> Non-national
	<input type="checkbox"/> Tax-exempt national
	<input type="checkbox"/> Other, please specify:
Specify any branch offices/ subsidiaries used for the project	
Specify third parties/ consultants used for the project	

2. Main activities and references of the organization/ legal entity

- main (business or other) purpose: *(1 line)*

- brief description of main activities: *(3 lines)*

- reference projects relevant to the proposal submitted (3 projects):
(name of project, one line summary, total budget)

- Name of three referees (persons or organizations) Siemens may contact to inquire into the good reputation and standing of the organization (name, organization, address, e-mail, phone number)

Name of referee	Contact details
1.	
2.	
3.	

3. Additional questions:

Is the organization applying for funding for this particular project:	
<ul style="list-style-type: none"> • authorized to perform the planned project activities in the country mentioned in the project proposal? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>Please explain briefly which forms of authorization are lacking, if the answer to the question above is 'NO':</i>	
<ul style="list-style-type: none"> • part of a political party or any organization close to any specific political party? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> • part of a religious community/church or any organization close to any specific religious community/church? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> • part of the World Bank Group or Siemens group of companies? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> • currently involved in any relevant litigation or investigation? (relevant litigation or investigation is such litigation or public investigation that by the nature of the scope, circumstances or subject matter of the case may arouse suspicion against the organization/ legal entity with respect to its integrity and adherence to those fundamental principles contained in the UN Global Compact's ten principles). 	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the organization, or any of the legal representatives during the last 3 years	
<ul style="list-style-type: none"> • been the subject of an investigation/ been accused of or been convicted of corruption, bribery or fraud charges? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> • received administrative or other sanctions due to corruption, bribery or fraud charges or allegations? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> • been barred from participation in any tendering activities for projects for public or international institutions? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>If so, pls. provide details:</i>	
Are any of the legal representatives/ directors of the applying organization/ legal entity or any of the core project team involved related to or closely associated on a personal or business basis with	
<ul style="list-style-type: none"> • government officials in the country where the project will be carried out? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> • Siemens? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> • the World Bank? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>If so, pls. provide details:</i>	

4. Supporting documentation:

The following supporting documentation must be submitted together with the Expression of Interest form. The documentation must be up to date (not older than 2 months), accurate and readable.

Unless otherwise stated explicitly below, a simple copy of the required documents is sufficient (pdf-format). All documents and information must be in either German or English. Documents and extracts from local public registers, licenses, permits and other official documents that cannot be obtained in either language, must be accompanied by a professional translation into either German or English stating the institute, name and address (street, city and country) of the translator.

Required Documents:

1. If the organization is under obligation to register with any local authorities: an up-to-date **extract from the relevant public register**, or copy of any pending application for registration in such register;
2. **Financial statements/ balance sheets/ financial plan** of the organization (including, where applicable the balance sheet, profit and loss account/income statement and all notes and proofs as well as the internal cost accounting) together with the management report and audit report of the auditors for the last completed fiscal year of the organization;
3. To the extent not visible from 2, description **of the essential methods for preparing the financial statements/ balance sheets/ financial plans** and valuation and changes in the aforementioned fiscal year;
4. Provide any documents which describe the **policy of the organization** with regard to corruption and bribery, fraud, money-laundering, and generally compliance.

5. Confirmation

We hereby confirm that the information contained in, and attached to the Annex 1 of this Expression of Interest form is complete, accurate and true. We understand that any material changes during the selection process must be communicated to Siemens immediately via the following e-mail address (application.integrityinitiative@siemens.com).

We also confirm that we are aware that Siemens may eliminate the application from the selection process for the ongoing, as well as any future funding rounds of the Siemens Integrity Initiative if any material piece of information or documentation provided in or related to this Expression of Interest (EOI) form, is found to be inaccurate or untrue, or where any material changes during the selection process are not correspondingly communicated to Siemens.

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Sign and print name of Applicant /Project Partner Organization:

Date, name, function, organization

Please provide a Power of Attorney that the person signing this EOI is authorized by the applicant organization to do so.

Annex 2: Budgeting and Funding Rules

The Project Budget must comply with the following rules and, if the Applicant is selected for Funding, it shall become part of the Funding Agreement as Annex to it:

1.1 General Rules:

- (a) The Project Budget covers the term from Project Launch to Project End (“Funding Period”) and shows budgeted costs on a yearly basis. The basis will be the Siemens fiscal year: 01 October – 30 September.
- (b) All budgeting and reporting has to be done in USD.
- (c) Each Project activity must be budgeted and accounted for separately (except for personnel costs, which are summarized in one Project activity).
- (d) Budgeted and actual costs must be split between the Applicant and any Project Partner Organization involved, if any.
- (e) Budgeted and actual costs must be reasonable and economic.
- (f) Local sourcing shall be preferred over non-local sourcing.

1.2 Personnel Costs:

- (a) All Project Core Team Members must be budgeted and accounted for under this category of costs. Project Core Team Members are e.g. full-time personnel of the Integrity Partner and/or the Project Partner Organization, if any, that are fully or partially delegated to work on the Project, or consultants specifically hired for the Project as well as administrative support by team assistants, listed in the Expression of Interest form (section 5).
- (b) The calculation of budgets for personnel costs must be based on direct personnel costs excluding overhead contributions and profit margins. Direct personnel costs means all costs directly attributable to Project Core Team Members e.g. monthly gross salaries, payroll taxes, additional payments to the employee such as performance related yearly bonuses, company born costs for contributions to social welfare, (e.g. social insurance) pension plans and other benefits and expenses for staff competency development.
- (c) Salaries for personnel must be in line with standard local rates. Salaries for local / regional personnel and international personnel must be shown per job category (e.g. Project Director, Project Manager, Project Assistant).

Budgeted and direct costs for personnel may only correspond to the respective salaries as specified in the Expression of Interest form (section 5) – “Project Core Team Members” for such personnel. If a person is only partially delegated to work on the Project, the percentage corresponding to the work time allocated to the project shall apply for budgeting and accounting of direct personnel costs as described in 1.2 (h).

1.3 Costs per activity:

For each Project activity the following cost categories have to be specified:

- (a) Further Consultants or other subcontractors

Further consultants or subcontractors means third parties which are engaged for Project activities, as the case may be, on a short-term basis or for certain parts of the activities, and which are not listed as Project Partners in the Expression of Interest Form and are thus not part of the Project Core Team and are therefore not

listed under "Personnel Costs". When assigning consultants or other subcontractors to the Project, Siemens is to be informed about such assignments and should receive the CV of such consultants and further information on the subcontractors. Third party's costs have to be listed as individual cost item in the respective Project activity;

(b) Travel costs

Travel costs are e.g. costs for flights, accommodation and per diems for food.

Travelling shall generally be made in economy class. Travel costs shall be reasonable.

For travel costs, the Integrity Partner may suggest lump-sums for daily allowances, accommodation and car use (US-Cent per km) related to local travel. For international travel actual costs for flights as well as per diems and accommodation allowances based on local tax regulations are required.

(c) Other costs

Other costs shall include any other costs for Project activities apart from personnel costs and general project costs (see section 1.4) e.g. conference facilities, catering, printing, marketing or design.

Integrity Partners shall explicitly list at least three of the biggest items and all items with a cost share of more than 20% of other costs separately.

1.4 General project costs:

General project costs relate to the entire Project, are not linked to a specific Project activity and include for example the following items:

(a) costs for preparation of the yearly Audit Reports by an external auditor acceptable to Siemens

(b) costs for travelling to a Siemens Integrity Initiative Conference in Europe, if organized,

A budgetary provision for the costs associated with economy travel of one person including two overnight stays is to be made.

(c) costs for End of Project Evaluation

(i) Funding Amount lower or equal to 500,000 USD: 5,000 USD shall be foreseen in the last Year of the Project Budget,

(ii) Funding Amount higher than 500,000 USD: 1% of total Project activity costs shall be foreseen in the last Year of the Project Budget

(d) further general internal costs

e.g. costs for bookkeeping and financial transactions, preparation of bi-annual reports and a final report, office costs (e.g. rent, phone costs, office equipment) which are directly related to or in proportion to the Project activities, other internal transfer costs not explicitly mentioned above.

Such general internal costs shall be budgeted by using a flat amount of 10% of the total Project activity costs. No additional general internal costs will be reimbursed.

1.5 Inflation and Exchange Rate Effects:

Any budgeted costs shall reflect inflation as well as currency exchange rate effects for the Funding Period. A retrospective reimbursement of such cost effects is not subject to Funding.

1.6 Other Sponsors:

Any other financial support (e.g. funding) or free of charge support that the Integrity Partner or any Project Partner Organization receives for the Project or for “similar or identical” Project activities must be listed and named, if already known, in the Project Budget and deducted from the total project costs in order to achieve the total Funding Amount applied for under the Siemens Integrity Initiative.

1.7 Taxes:

All cost items mentioned in this Annex 2 must be shown net (i.e. before any taxes or other costs). Taxes for which the Integrity Partner or as the case may be the Project Partner Organizations are eligible for tax refund may not be included in the Project Budget.

Any other taxes for which the Integrity Partner or as the case may be the Project Partner Organizations are not eligible for tax refund must be shown and explained separately in the Project Budget.

Annex 3: Project Budget

For a complete set of documents the Expression of Interest (EOI) form (word document) needs to be jointly submitted with Annex 3 Project Budget (excel-sheet) and all the required information and supporting documentation listed in Annex 1.

No additional and not explicitly required documents shall be submitted.

Annex 3 Project Budget can be downloaded on our webpage [“Application and selection process”](#).