

SIEMENS

Siemens Integrity Initiative

Creating fair market conditions

Fighting corruption and fraud through collective action, education & training

Expression of Interest – funding round December 9, 2009

1. Summary

Project name:	
Name of applicant*:	
Category of application:	<input checked="" type="radio"/> <i>Collective Action</i> <input type="radio"/> <i>Education & Training</i>
Total amount of funding required: (in USD)	
Intended start of project: (month/year)	
Planned project duration: (number of months)	
Countries covered:	
Business Sectors covered**:	
Main contact for this application: <i>Name, title, phone, e-mail</i>	

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

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

2. Organizations participating in the project:

List the names of all organizations that will participate in the implementation of the project and their respective role:

<i>Name of organization</i>	<i>Role in project</i>
1.	
2.	
3.	
4.	
5.	

IMPORTANT! For EACH organization participating in the project, fill out Annex 1 and submit it with the Expression of Interest form together with the required supporting documentation.

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:

- 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)

V. Confirmation by the applicant organization

We hereby confirm that the information contained in, and attached to 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.

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

Annex 1: Information for organizations participating in the project

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. No Expression of Interest form will be reviewed unless the supporting documentation has 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="radio"/> Yes <input type="radio"/> 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="radio"/> Non-national
	<input type="radio"/> Tax-exempt national
	<input type="radio"/> 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 countries mentioned in the project proposal 	<input type="radio"/> Yes <input type="radio"/> 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="radio"/> Yes <input type="radio"/> 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="radio"/> Yes <input type="radio"/> No
<ul style="list-style-type: none"> part of the World Bank Group or Siemens group of companies? 	<input type="radio"/> Yes <input type="radio"/> 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 Siemens Business Conduct Guidelines) 	<input type="radio"/> Yes <input type="radio"/> 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="radio"/> Yes <input type="radio"/> No
<ul style="list-style-type: none"> received administrative or other sanctions due to corruption, bribery or fraud charges or allegations? 	<input type="radio"/> Yes <input type="radio"/> No
<ul style="list-style-type: none"> been barred from participation in any tendering activities for projects for public or international institutions? 	<input type="radio"/> Yes <input type="radio"/> 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="radio"/> Yes <input type="radio"/> No
<ul style="list-style-type: none"> Siemens? 	<input type="radio"/> Yes <input type="radio"/> No
<ul style="list-style-type: none"> the World Bank? 	<input type="radio"/> Yes <input type="radio"/> 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; where documents are in a language other than German or English, the document PLUS an official translation must be handed in stating the institute, name and full postal address including country of the translator.

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.

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

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Sign and print name of applicant:

Date, name, function, organization