

SIEMENS

Siemens Integrity Initiative

Creating fair market conditions

Fighting corruption and fraud through Collective Action, education & training

Frequently Asked Questions (FAQs) – Second funding round June 27, 2013

Status: June 27, 2013

Key information on the second funding round:

Q: Who is eligible to apply for funding under the Siemens Integrity Initiative?

A: The Siemens Integrity Initiative is open to applications from all legal entities which fulfill the following eligibility criteria:

- (a) recognized non-profit organizations, such as but not limited to the following: non governmental organizations (NGOs); international, in particular inter-governmental organizations; business associations; and academic institutions,
- (b) ability and willingness to sign the Standard Funding Agreement,
- (c) experience in the field of anti-corruption and fraud and
- (d) capacity to implement projects of similar size.

For further information, please visit the web page ['Eligibility and Selection Criteria'](#).

Q: Can a government apply for funding?

A: No. Governments are not eligible to apply for funding from the Siemens Integrity Initiative.

Q: My initiative is not registered as a legal entity, can I apply for funding?

A: No. All applications must be in the name of a legal entity, private or public.

Q: I have never worked in the area of anti-corruption before, can I apply for funding?

A: No. Applicants will be asked to demonstrate experience in the field of anti-corruption and fraud and to confirm their capacity to implement projects of similar size; start-up organizations are eligible for funding if the individuals acting on behalf of such organizations can demonstrate that they have the relevant experience.

Q: Can several organizations submit a joint proposal?

A: Yes. Applicants may hand in joint applications with other organizations that also fulfill the eligibility criteria. A precondition is that one of the jointly applying organizations assumes a leading position, and in case the respective Project is chosen, signs the Standard Funding Agreement. The leading organization shall assume responsibility for administering the distribution of funds between those organizations participating in this joint application/project and enters into respective agreements with the other organizations participating in the project in order to guarantee the orderly implementation of the terms of the Standard Funding Agreement. In case of joint applications, Siemens retains the right to make any pay out of funds conditional on the fact that all partners to the project meet the relevant milestones.

Q: Can organizations submit a project proposal with implementation in more than one country?

A: No. One project proposal can only cover one country. If several countries are targeted with concrete activities on the ground, the organization should hand in a separate proposal for each country. In addition, we will accept proposals with activities carried out on the global or regional level, as long as there are no specific country modules with multi-country partnerships and complex contractual requirements.

Q: Which type of projects will be funded?

A: In general, the Siemens Integrity Initiative will fund projects that demonstrate a clear fit with the objective of the Initiative, have a direct impact on the business environment, can demonstrate objective and measurable results, have the potential to be scaled up and replicated, and have an impact on the business sectors and countries in which Siemens is active. Project proposals can be submitted for the sub-themes “Collective Action” and “Education and Training” and must demonstrate a clear link to the fight against corruption and fraud. At least two thirds of the funds will be allocated to the sub-theme “Collective Action”. For further details, please visit the web page [‘Eligibility and Selection Criteria’](#).

Q: For which countries can I apply for funding?

A: The Siemens Integrity Initiative aims to support a mix of global, regional and country-specific projects of various sizes and to achieve a geographically balanced portfolio of projects, in the second funding round, preference will be given to projects with activities in Brazil, China, Colombia, Egypt, Ghana, India, Indonesia, Iraq, Italy, Japan, Libya, Morocco, Mozambique, Russia, South Africa, Spain, Thailand, Turkey, Ukraine, and Vietnam. For more information please visit the web page [‘Eligibility and Selection Criteria’](#).

Q: Can I still submit a proposal that is not targeting one of the focus countries?

A: All organizations are welcome to submit proposals for projects around the globe. However, in general, the Siemens Integrity Initiative aims to support a mix of global, regional and country-specific projects and projects of various sizes which might influence the final selection.

Q: How many projects will be funded in the second funding round?

A: The second funding round will fund up to 25 projects for up to USD 30 million.

Q: Where can I find detailed information on the first funding round of the Siemens Integrity Initiative?

A: Information on the first funding round (2009) including an overview of the funded projects of the first funding round are available on the web page [‘Status of funded projects/first funding round’](#).

Q: Can an organization that was awarded funding in this second funding round conduct further grant-giving activities with these funds?

A: No. The Siemens Integrity Initiative does not support indirect funding. Organizations that are interested in applying for funding must apply directly under the Siemens Integrity Initiative or can hand in a joint proposal with another organization. All project partners must be named in the Expression of Interest (please see question ‘Can

several organizations submit a joint proposal?').

Q: Will Siemens accept proposals where it is asked to fund only part of the project budget?

A: Yes. Siemens welcomes proposals where two or more funders or organizations contribute to the success of the project in question. The project proposal must clearly outline the proposed project structure and the overall budget, and deduct the contributions of other funders to arrive at the portion to be funded by the Siemens Integrity Initiative.

Q: What is the maximum amount of funding per project or organization?

A: The maximum funding per project proposal is up to US\$ 5 million. Applications from projects for amounts below this maximum are welcome as long as funding is above a minimum of US\$ 200,000. Applicants may submit several projects; Siemens may however introduce a funding limit per organization in the course of the selection process.

Q: In which currency are the funds disbursed?

A: Siemens shall pay any and all Funds exclusively in USD to the organization that has been awarded funding. In the event that local rules and regulations do not allow direct money transfers in USD from countries other than the United States of America, an intermediary bank in the United States of America can be used by the beneficiary to receive the funds from Siemens.

Q: Where can I find information on the Standard Funding Agreement?

A: A term sheet setting out the key terms and conditions of the Standard Funding Agreement is available on the web page '[Application and selection process](#)'. Siemens reserves the right to alter, amend or otherwise modify the term sheet at any time during the selection process, and prior to signature. The entire Standard Funding Agreement will only be sent to applicants that were shortlisted and invited to submit a Full Proposal.

Q: Will costs which were incurred during the preparation of the project proposals be refunded?

A: No. All costs relating to the preparation of a project proposal must be solely borne by the applicants.

Application process:

Q: How do I submit my application and which documents must the application include?

A: All applications must be submitted via e-mail only to the following e-mail address: application.integrityinitiative@siemens.com at the latest by **August 29, 2013, 12 noon CET**. Applications must include

- correctly filled out and signed **Expression of Interest (EOI)** form (word document) in English with all the required information and supporting documentation
- **Information on Applicant and Project Partner Organization(s)**, if any, (Annex 1 of the EOI) and
- **Project Budget** (Annex 3 of the EOI, excel sheet)

*Please note: Annex 1 shall be filled out, signed and handed in by the Applicant as well as **any** Project Partner Organization in case of joint applications.*

No additional and not explicitly required documents shall be submitted and please do not send any original documents via regular mail.

Q: Can we request an extension of deadline for the submission of the Expression of Interest (EOI) form or send supporting documentation after the deadline?

A: No. The Expression of Interest (EOI) forms as well as the required Annexes, information and supporting documentation need to be submitted jointly via the above-mentioned e-mail address at the latest **by August 29, 2013, 12 noon CET**. Later submissions will not be accepted. Incomplete submissions will also not be accepted.

Q: If I did not receive any response, does this mean that I have not advanced through the review and due diligence to the next stage of the process?

A: Siemens automatically confirms the receipt of the Expression of Interest (EOI) form with the required information and supporting documentation by e-mail. Such confirmation is without prejudice to the review and selection process. No EOI-form will be reviewed unless all Annexes and the supporting information and documentation as defined in the EOI-form have been handed in as a complete set of documents via the above-mentioned e-mail address and by the stated deadline. Applicants will be informed by Siemens by e-mail of the outcome of the initial review, and whether they will be invited to the Full Proposal phase of the selection process. Such feedback should not be expected before March 2014.

Please note: Siemens is not obliged to state reasons for any selection decision, including but not limited to the grounds for its decision not to move forward with any particular applicant organization at any stage of the selection process.

Q: When does the World Bank exercise its veto right?

A: The World Bank retains a discretionary right to veto Siemens' approval of any of the organizations that apply for the funding under the terms of the Settlement Agreement between Siemens AG and the World Bank Group. This discretionary veto right is not subject to appeal from either Siemens or the relevant organization. Siemens will neither inform the organization if the Bank exercises its veto right nor provide reasons for the veto.

Q: Will the results of this funding round be published?

A: Once organizations that have been selected for funding have accepted and signed the Standard Funding Agreement, a list of projects and organizations that have been awarded funds from the Siemens Integrity Initiative will be published on the website: [‘Status of funded projects/second funding round’](#).

Q: When will the next funding round take place?

A: Additional funding rounds will be announced separately. The Siemens Integrity Initiative will release its funds over 15 years.

Q: Can an organization that has not been successful in the first funding round apply for funding in the next funding rounds?

A: Yes, organizations are free to apply in following funding rounds, provided they fulfill the respective eligibility criteria.

Q: Can an organization that has been awarded funding apply again for funding in the next funding rounds?

A: Yes. Projects that already submitted an Expression of Interest for the first funding round as well as projects that have already been funded are eligible to submit another project proposal in the second funding round or in any of the next funding rounds. However, successful participation in any funding round and the award of funds to any applicant does not automatically entitle or qualify such applicant to be awarded further funds in any subsequent funding round. Organizations have to apply for each funding round separately and have always to fulfill the respective eligibility criteria.

Q: Can organizations apply for additional funding from other organizations after they have been awarded funding from Siemens?

A: In general, Siemens welcomes funding from other organizations as long as this is clearly communicated and agreed upon before such funding is accepted.

Expression of Interest (EOI) form:

Q: Where can we find the Expression of Interest (EOI) form (word document / excel sheet)?

A: The up-to-date EOI-form for the second funding round is accessible and downloadable on the web page [‘Application and selection process’](#). Please note that the EOI form consists of two parts: a word document and an excel sheet.

Q: Do I have to fill out Annex 1 of the Expression of Interest form (word document) for all organizations that participate in the project?

A: Yes, Annex 1 must be filled out and signed by each organization participating in the application.

Q: How strictly do we have to adhere to the limit of characters/letters that are stated in the Expression of Interest template (word document)?

A: We strongly encourage applicants to be brief and precise with the information

provided in the EOI template and to stay within the word limit. We will not exclude the EOI from further review if the limits stated in the template are only slightly exceeded.

Q: My project includes Collective Action as well as Education & Training aspects, how do I reflect this in the template?

A: If “Education & Training” is part of a Collective Action effort, please choose “Collective Action” to reflect this. If you are submitting two distinct projects, you might want to fill out two EOI templates. Otherwise chose “both categories”.

The information found in the FAQs is for informational purposes only, not legally binding and subject to change. Siemens reserves the right to change, modify, add or remove all or parts of this information at its sole discretion at any point in time and without any notice.

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