

# Annual Report 2016



COLLECTIVE  
LEADERSHIP  
INSTITUTE

Building Competence for Sustainability

...ITY • FUTURE POSSIBILITIES • ENGAGEMENT  
...VE INTELLIGENCE • INNOVATION • WHOLENESS

...people  
...lead collectively  
...enable future



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**Editorial Work**

Heidrun Zoller & Lisa Steck

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## WHO WE ARE



The Collective Leadership Institute (CLI) is an internationally operating non-profit organization based in Germany (Potsdam) and South Africa (Cape Town). It was founded in 2005 and is an independent initiative supporting stakeholders from the private sector, the public sector, and civil society in creating and implementing collaborative change initiatives for innovative and sustainable solutions to global, local, and societal challenges.

### OUR VISION

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***Our vision is to empower future-oriented people to lead collectively towards a sustainable future.***

Sustainability is a truly global issue. How well we meet that challenge, success and failure in moving towards a more sustainable way of living, affects everybody. We believe in the principles of cooperation and collectively created solutions – across sectors, institutions, nations, and cultures.

### OUR MISSION

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With our **Competence Building**, our **Transformation Support**, our **Collaboration Academy Network**, and our **Thought Leadership**, we build competence for sustainability. We empower leaders who anchor their action in the concern for the greater good and the future of humankind on this planet - for responsible business, people-oriented public service, and a strong civil society.

We build a global community for change by activating networks and fostering mutual support among change agents. We empower people globally to use our methodology of dialogic change and collective leadership for sustainability.

### OUR VALUES

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Our work is based on the core capacities for collective leadership:

- **HUMANITY:** Acknowledging diversity in the world and in humanity, and accessing our humanity in ourselves and others
- **FUTURE POSSIBILITIES:** Inspiring others and actively leading future possibilities
- **WHOLENESS:** Opening up to see the world as a whole and acting for the common-good
- **COLLECTIVE-INTELLIGENCE:** Respecting difference and communicating in a way that furthers collective intelligence
- **ENGAGEMENT:** Fostering a dialogic way of change and engaging different stakeholders
- **INNOVATION:** Developing our potential to spot innovative solutions to sustainability challenges

# 1. SUBJECT AND SCOPE OF THE REPORT

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The subject of this report is the Collective Leadership Institute (CLI) and its activities in the year 2016. This report was completed in April 2018 and follows the Social Reporting Standard (SRS). The report provides the reader an insight into Collective Leadership Institute's performances in 2016, the resources allocated and the impact achieved.

2016 was a year of change for the Collective Leadership Institute. After different steps of reorganization, we want to focus more on our work, foreground our collective leadership approach, and work more cost-effectively.

This annual report is different to our former reports - reflecting changes in the Collective Leadership Institute.

We have abridged the content of the annual report to focus more heavily on essential issues. Especially under point 3, we present three central projects implemented in 2016.

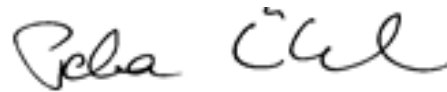
Both the legal structure changed in 2016, from a registered association (e. V.) to a charitable limited liability company (gGmbH), along with the Management Board. Now, as a gGmbH, there's less bureaucratic expense, more efficient structures and more collective leadership. All relevant information is specified under point 5. Furthermore

the new Management Board will be introduced on page 15.

All this would not be possible without dedicated people, within our own organization and beyond. We are grateful to our support partners, our associates, and our alumni, the people on the ground who work with our approach and offer feedback about what works and what needs to be improved. In addition, foundations and international institutions have helped contribute to our vision to bring about change towards a more sustainable world.

We thank all of our staff and partners at the heart of this visionary collaboration. Your support strengthens our determination to continue on our way to a more sustainable world.

Enjoy reading the Collective Leadership Institute's 2016 Annual Report.



**Petra Kuenkel**

Co-Founder and Executive Director of the Collective Leadership Institute,  
Member of the Club of Rome

- responsible for the contents of this report -

## 2. THE SUSTAINABILITY CHALLENGE AND CLI'S APPROACH TO ADDRESSING IT

### 2.1 THE SUSTAINABILITY CHALLENGE

The challenges of social, economic, and environmental sustainability have reached the entire globalised world. Today we live in a highly interconnected world and the provision of food security, inclusion of women, democratic governance, alleviation of poverty, energy reform, climate change, demographic changes, rapid megacity development, and stabilizing economies during financial crises affect all of us.

### 2.2 PREVIOUS APPROACHES TO ADDRESSING THE CHALLENGE

While the world faces more and bigger challenges, there still is a lack of collaborative leadership skills. Previous approaches have concentrated on the individual or on one system, and thus miss the great potential of dialogue, cooperation, and thinking together. Too few leaders anchor their action in the concern for the greater good. However, finding long term and sustainable solutions to the challenges of humankind can only be found collectively.

### 2.3 CLI'S APPROACH

The Collective Leadership Institute stands for sustainability and **acting, thinking, communicating, and leading together**. Our methodology focuses on

the implementation of Collective Leadership, Stakeholder Collaboration & Dialogues, and cross-sector cooperation between private sector, public sector, and civil society in order to overcome today's social and global challenges. Our aim is to strengthen such cooperation and partnerships for sustainable development on a national and international level, and in achieving this, to promote positive societal change.

Based on 20 years of experience helping people to collaborate successfully, the Collective Leadership Institute has developed a practice-oriented approach to leading change in complex multi-stakeholder settings. The Collective Leadership Compass empowers leaders to navigate collaboration successfully by attending to a pattern of human competencies in the six dimensions: *Future Possibilities, Engagement, Innovation, Humanity, Collective Intelligence, and Wholeness*. The Compass is a guiding tool that empowers leaders and change agents to navigate complex settings collaboratively around the values of sustainability and responsibility. It helps to implement more outcome oriented and constructive co-creation. The Compass can be used to strengthen our individual leadership skills, to enhance the leadership capacity of a group of actors, and to shift systems of collaborating actors towards better co-creation.

### 2.3.1 THE COLLECTIVE LEADERSHIP COMPASS

*navigating complex change and multi-actor collaboration*

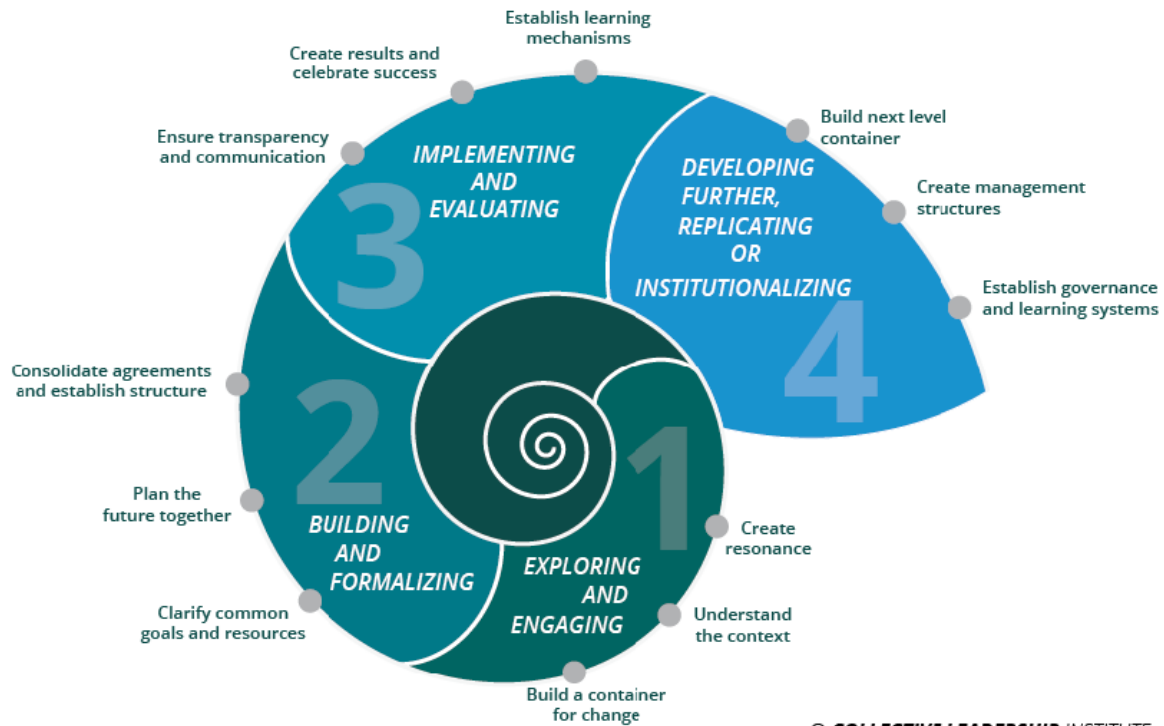


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<i>FUTURE POSSIBILITIES</i>	Inspiring others and actively leading future possibilities
<i>HUMANITY</i>	Acknowledging diversity in the world and in humanity, and accessing our humanity in ourselves and others
<i>ENGAGEMENT</i>	Fostering a dialogic way of change and engaging different stakeholders
<i>COLLECTIVE INTELLIGENCE</i>	Respecting difference and communicating in a way that furthers collective intelligence
<i>INNOVATION</i>	Developing our potential to spot innovative solutions to sustainability challenges
<i>WHOLENESS</i>	Opening up to see the world as a whole and acting for the common good

### 2.3.2 THE DIALOGIC CHANGE MODEL

#### *implementing Stakeholder Dialogues in a result-oriented way*



Working towards a more sustainable world requires bringing together differing world-views and balancing conflicts of interests for responsible business, people-oriented public services, and a strong civil society. Solving the complex challenges arising from globally linked problems, conflicts, economic disparities, and the effects of climate change increasingly calls for result-oriented collaboration between the public sector, private sector, and civil society. **Stakeholder Dialogues are a methodology for designing and implementing consultation and cooperation** in complex change processes that require different interest groups to be included and integrated.

Well-structured Stakeholder Dialogues can create and cultivate ownership of change towards sustainability. This requires a certain methodological knowledge consisting of process and change management experience, the dialogical approach, and self-reflection methods. Bringing together actors with different backgrounds and various interests in a Stakeholder Dialogue requires developing one's affinity for dealing with diversity, as well as one's communication and management skills.



### 3. SUSTAINABILITY IMPACT IN 2016

In this chapter we present a selection of our activities. The whole overview of our projects you can find on our website. Following the three main projects of the year 2016:

#### 3.1 WATER FORUM IN TUNISIA'S AGRARIAN HEARTLAND



With water scarcity being one of the main problems in the Tunisian heartland, sustainable water management is an important step to securing the region's future. In the pilot region Sbikha, the Collective Leadership Institute supported the project AGIRE (Appui à la Gestion Intégrée des Ressources en Eau) realised by the German Development Cooperation (GIZ) in Kairouan, with the aim to establish an enduring dialogue between all stakeholders affected by this situation. In the form of a Water Forum, this would allow the diverse stakeholders to develop a more sustainable and integrated water management approach for the region together. As a result the first formal Water Forum was held in Sbikha in the province of Kairouan in May 2016. The results of these successful talks were presented to 300 participants from all stakeholder groups and to the broader public: **Measures for more integrated water management**, both in the short and

medium term were presented. These included the reduction of irrigated water areas; a commitment to crops that are low in water consumption; and financial incentives for farmers who use water saving irrigation techniques. **The Water Forum Coordination Committee**, a structure for sustainable and continued dialogue, was formally announced. Made up of representatives from both the water users stakeholder group and from the administration, this committee was mandated by the Forum to monitor the implementation of agreed upon water management measures. **A Water Charter** with guiding principles for all further activity was publicly signed by representatives from both parties and thus constitutes a moral contract for administration and water users to continue along their collaborative path together for a better and sustainable water management in the region.

The application of CLI's Dialogic Change Model brought two groups of people together whose mutual distrust made a constructive exchange around a common table initially seem impossible. It also supported both groups in co-developing and committing to a local governance structure of an extent hitherto unheard of in Tunisia. The water user and administration representatives have become a thriving team of change agents, a container that has helped to turn a once dysfunctional and fragmented system of water management into a vital and viable vision for a better, sustainable future in Tunisia's heartland.

### 3.2 PLATFORM FOR MULTI-STAKEHOLDER PARTNERSHIPS



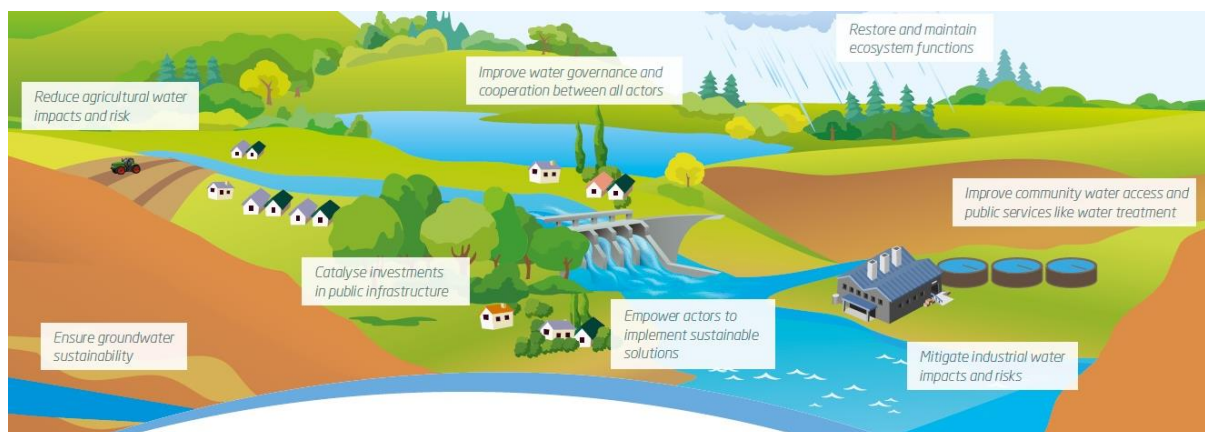
In 2015, the United Nations agreed to the **Sustainable Development Goals** (SDGs), naming Partnerships as the last of the 17 goals. This global agreement recognized that partnerships across institutional or national boundaries are the best way to master the complexity of solving sustainability challenges. Partnerships are a response to these complex problems, but are also complex themselves. The understanding of how to build trust, to generate common objectives, to create meaningful and functioning structures, roles, and agreements, to cooperate optimally in the implementation process, and jointly evaluate results, is not natural or self-evident. In response to the need for capacities in collaboration, the field of partnering to support the implementation of multi-stakeholder partnerships is growing, especially in response to the challenge of meeting the Sustainable Development Goals.

In November 2014, the Federal Ministry for Economic Cooperation and Development (BMZ) initiated the Zukunftscharta (**Charter for the Future**) to define common perspectives and objectives for necessary changes as part of the German national sustainable development strategy. Further steps resulted in a **national platform**, “Partnerships 2030 – Platform for Multi-

Stakeholder Partnerships“, that empowers global post-2015 partnerships (called MAPs). The initiative is a collaboration among four partners: BMZ; the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH; Engagement Global (bengo) gGmbH; and the Collective Leadership Institute (CLI). The Platform for Agenda 2030 Partnerships contributes to the SDGs in sharing experiences and best practices in order to strengthen existing Multi-Stakeholder-Partnerships and to offer guidance for new initiatives. Through having access to guidance and capacity development, both online and offline, the stakeholders of MAPs can engage in dialogue more easily and develop innovative partnership concepts. The online platform was launched June 30th, 2016 and offers an opportunity to learn, exchange, and connect with all other platform members. Further information on the platform can be found on [www.partnerschaften2030.de](http://www.partnerschaften2030.de)

Multi Stakeholder Partnerships represent a significant and important opportunity to foment transformative impact through collaborative initiatives for sustainable development. They offer the unique potential to become "institutions that learn". Success in collaboration leads to a multiplication of the positive impact and can accelerate systemic change for sustainable development and touch many lives.

### 3.3 INTERNATIONAL WATER STEWARDSHIP PROGRAMME (IWaSP) - ZAMBIA



IWaSP is an international water security programme that combines global best practices in water stewardship with local know-how.

The innovative six-year programme facilitates partnerships between the public sector, the private sector, and civil society. It addresses shared water risks on a catchment scale, while improving stakeholders' use and management of water and building their capacity to develop their own solutions. IWaSP enables partners to adopt a comprehensive and cost-effective approach to managing water risks for people, businesses, and ecosystems.

Typical results include pollution reduction, improved access to water, increased water storage, improved water infrastructure, rehabilitated ecosystems, strengthened water governance, improved catchment specific relationships of key actors, and enhanced collaborative action. At the heart of a system like that, there is a jointly developed, shared vision - in this case: water security in Lusaka.

#### Highlights in Zambia:

- Partnerships have benefitted more than 30,000 people indirectly and more than 15,000 people directly from January 2013 to December 2015.
- Nearing the completion of the Itawa Springs Protection Project, with a \$ 850,000 total private sector commitment.
- Establishment and rapid growth in membership of the Lusaka Water Security Initiative, a city-wide multi-stakeholder approach to improving water security for Lusaka's residents and businesses through improved water management, land use, and urban planning.
- A new partnership between the Water Resources Management Authority (WARMA), OLAM, and other partners, with contributions already topping \$2m, was launched in April 2016. The partnership will help WARMA to implement the Water Resources Management Act.

3.4 EVALUATION AND QUALITY CONTROL

Different tools and instruments help us to evaluate our work and to get measurable results that allow us to improve our quality in a targeted manner.

On the one hand, reflection meetings take place within the capacity building programme team in order to follow-up on relevant issues and react accordingly to maintain and improve the internal quality standards. Furthermore, every project is reviewed by an official audit and its target achievement is evaluated in a project report.

On the other hand, qualitative and quantitative feedback is collected through questionnaires from the participants immediately following the visited course. Following three aspects are the base for the quality control of our open courses in 2016:

The Art of Leading Collectively

- 94% of the participants assess the relevance of the course for their daily work as high or very high
- 100% Of the participants assess the level of professional expertise of CLI facilitators excellent or good
- 100% Would recommend the training to colleagues or professional partners

The Art of Stakeholder Collaboration

- 91% of the participants assess the relevance of the course for their daily work as high or very high
- 87% Of the participants assess the level of professional expertise of CLI facilitators excellent or good
- 96% Would recommend the training to colleagues or professional partners

All figures are based on the anonymous participants' course assessment for our courses in 2016.

## 4. PLANNING AND OUTLOOK

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### 4.1 STRATEGY

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CLI delivers its Mission through four Strategic Pillars. Each Pillar describes objectives and activities to be conducted through 2021.

***Collaboration Academies Network: Empower individuals, teams, and organizations to apply and teach our core approach of collective leadership and dialogic change to transformation towards the SDGs and beyond.***

CLI will continue to offer its signature set of open and onsite courses on Stakeholder Collaboration, Collective Leadership, and Dialogue, as well as its Young Leaders for Sustainability program for diverse change agents and teams working on the SDGs. These activities focus on CLI's core Collaboration Academies in Germany, South Africa, and Cambodia. The development of further Collaboration Academies (CAs) will be pursued by accrediting individuals and small teams to establish CAs in a specific region, country, or city to support stakeholder collaboration in that geography and to integrate CAs in non-profit organizations, universities, or public agencies to support stakeholder collaboration in a thematic system or network. Approaches to accreditation include (1) inviting individuals and teams to complete a series of open CLI courses and coaching, (2) inviting individuals and teams to complete a series of onsite CLI courses and coaching, (3) integrating CA development into project grant proposals, and (4) approaching larger donors to sponsor the development of multiple CAs.

***Thought Leadership: Deliver thought-provoking, praxis-based research, writing, and speaking engagements that drive the paradigm shift towards systems transformation based on our core approach of collective leadership***

Activities focus on promoting existing CLI publications; speaking at strategic events; publishing further books, articles, and blogs; and collaborating with other organizations and institutions on relevant research.

***Transformation Support: Strategically implement projects, working directly with systems of actors to drive collaborative implementation of the SDGs***

Activities focus on CLI being a strategic partner and coach (1) to organizations and teams working to realize the SDGs and (2) to companies wanting to improve their CSR practices and/or engaged in sustainability initiatives. Case studies will be regularly integrated into CLI CA courses, above.

***Change Networks: Establish, invigorate, and contribute to learning and action communities with the collective leadership approach for large systems transformation***

CLI seeks to build a movement for collective leadership by launching a regular Collective Leadership Conference, launching a Collective Leadership Compass App that is widely used by collaboration practitioners around the world, and supporting a community of practice around collective leadership.

#### 4.2 DEVELOPMENT POTENTIAL AND OPPORTUNITIES

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**Integrated across all four of these pillars is the important need to communicate the value of our approach and work** via, for example, our website, social media, newsletter, and webinars. Such communication includes documented case studies from CA faculty, trainers, and alumni, among others; promotion of our publications and recorded talks, documented case studies of systems and business transformation toward sustainability, livestreaming of our Collective Leadership Conference, and offering open source resources and an online platform for our community of practice.

#### 4.3 RISKS

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The risks identified in 2016 are:

**Composition of the CLI Team**

It's indispensable that the changing requirements of our work matching with the competence of our staff. Having a dedicated team with different but specific professional expertise enables us to meet the challenges of our time.

This risk could be addressed by looking ahead and building a team with relevant qualifications.

**Finance structure**

The work of the Collective Leadership Institute relies especially on project-based aid money of German government. CLI is focussed to extend the number of donors/finance partners.

## 5. ORGANISATIONAL STRUCTURE AND TEAM

### 5.1 ORGANISATIONAL CHANGE

On July 20<sup>th</sup>, 2016, the Collective Leadership e.V. (registered association) changed its legal form from a registered association into the form of a gGmbH – backdated on January 1<sup>st</sup>, 2016. In the German taxation system, a gGmbH is a limited liability company, whose earnings are used for a charitable purpose. It is exempted from corporation tax and occupational tax. Now, as a gGmbH, the CLI is able to work more efficient than a registered association with lots of associates. .

### 5.2 SHAREHOLDER STRUCTURE

The Collective Leadership Institute gGmbH consists of four shareholders: Petra Kuenkel as the executive director as well as Douglas F. Williamson, Heidrun Zoller, and Dominic Stucker as Managing Partners. Each of them owns a corporate share of 25%.

At least once a year, all shareholders are required to convene in order to discuss principal decisions and strategic planning.

The nominal capital of the Collective Leadership Institute amounts to 25.000 €. It was assigned from the former Collective Leadership e. V. to the Collective Leadership gGmbH.

According to § 6 III of the CLI statute, the increase of nominal capital can only be decided on with 75% agreement of the Managing Partners.

Every shareholder can resign for a good reason. The company is not dissolved by

the retirement of a partner. His or her corporate share will be assigned to the other shareholders or another person.

The severance pay, which is due on resignation of one of the shareholders, is equivalent to this shareholder's corporate share. However, since the complete collective corporate share was assigned from the former registered association, it is not to be divided into single shares. Therefore no severance will be paid.

Further information:

Statute of the Collective Leadership Institute (German only)

[http://wiki.collectiveleadership.com/images/e/e7/Umwandlungsbeschluss\\_mit\\_Gesellschaftsvertrag.pdf](http://wiki.collectiveleadership.com/images/e/e7/Umwandlungsbeschluss_mit_Gesellschaftsvertrag.pdf)

### 5.3 KEY PERSONNEL

Our dedicated team establishes a basis for the work and the success of the Collective Leadership Institute.

Collective Intelligence arises in this case from a diverse skill set, knowledge of different languages, and deep intercultural experiences.



## 5.4 MANAGING PARTNERS

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**Dr. Petra Kuenkel:** Founder Managing Partner and Executive Director

Dr. Petra Kuenkel is a leading visionary thinker and full member of the Club of Rome. She has advanced a systemic world-view of enlivenment and a re-orientation towards human reverence for humanity's participation as a conscious actor in an interconnected self-regulating natural system that is called the world. This approach has been belittled 15 years ago, as it suggests a new way of seeing the nature of reality and humankind's role on the planet. Petra has consistently advanced this view conceptually in a number of publications, while simultaneously advancing the practical implementation of such life-enhancing approaches in the strategic management of multi-stakeholder change initiatives that address complex sustainability challenges such as the 17 Sustainable Development Goals.

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**Douglas F. Williamson:** Managing Partner and Senior Project Manager

Douglas Williamson is an education, facilitation, and sustainability communications expert and a high-energy, multi-skilled leader and team player with more than 15 years' experience in the areas of partner relationship management, strategic planning, project management, natural resources management and international affairs. Having worked with several international environmental NGOs, the United Nations University and the US Environmental Protection Agency's Climate Change Division, Mr. Williamson has a history of success in conceptualizing, planning, co-organizing and implementing a broad variety of projects and initiatives.

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**Heidrun Zoller:** Managing Partner and Chief Financial Officer

Heidrun Zoller is Chief Financial Officer and Managing Partner of the Collective Leadership Institute. She has worked in high-level positions in the German banking system as a risk manager and in an international building material group as the CFO of a German subsidiary. She was responsible for different due diligence processes and group integrations of companies after takeovers. She also has many years of experience as a consultant in process optimisation.

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**Dominic Stucker:** Managing Partner and Associate

Dominic Stucker is an action-oriented collaborator who convenes diverse teams to address pressing sustainability challenges. With 15 years combined experience as a programs manager, consultant and researcher, he specializes in water, climate change, livelihoods, and the Central Asia region. Mr. Stucker has published with Earthscan/Routledge, MIT Press, and the Mountain Research and Development Journal. He is a lead faculty member for educational programs on cross-sector co-operation and facilitates stakeholder dialogues.



## 6. PROFILES OF THE ORGANISATIONS INVOLVED

### 6.1 ORGANISATIONAL PROFILE

#### **Location**

Headquarter: Potsdam, Germany

Regional Office: Cape Town, South Africa

#### **Contact details**

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#### **Foundation**

The Collective Leadership Institute was founded in 2005 by Petra Kuenkel and Kristiane Schaefer. With changing the legal form in 2016, the Management Board changed as well.

#### **Legal form**

2005-2015:

e. V. (registered association)

Since 01.01.2016:

gGmbH

#### **Succession policy**

None

#### **Link to articles**

<http://www.collectiveleadership.de/article/transparency/>

#### **Commercial register**

Handelsregister Potsdam, HRB 29182 P from 16th August 2016

#### **Non-profit organisation**

The Collective Leadership Institute gGmbH, with its purpose of education and training, is exempted from corporate taxation in accordance with the last received Notice of Exemption by the Potsdam Tax Office, Tax No. 046/142/12298, from 04th January 2012 according to § 5 clause 1 No. 9 of the German Corporate Income Tax Act and is recognized as a nonprofit organisation. The corporation Collective Leadership Institute gGmbH pursues objectives that are exclusively and immediately for the public benefit within the meaning of the clause "Tax privileged objectives" of the German Fiscal Code § 52 clause 2 No. 7.

The corporation is authorized to issue receipts confirming donations according to the officially prescribed form (§ 50 clause 1 EStDV) for donations which are made towards the purposes mentioned above.

#### **Employee representatives**

None

<i>NO. OF EMPLOYEES</i>	<i>2012</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	<i>2016</i>
Permanent employees (year end)	11	14	10	10	8
Number of full time employees	9	13	10	8	6
Number of part time employees	2	1	0	2	2
Freelancers / Associates	7	10	16	10	2
Total	18	22	26	20	10
Intern	0	0	0	0	2

## *6.2 CORPORATE GOVERNANCE*

### *6.2.1 MANAGEMENT BOARD*

Petra Kuenkel is executive director of the Collective Leadership Institute (CLI) gGmbH. Further Management Partners are Douglas F. Williamson, Heidrun Zoller, and Dominic Stucker. The essential tasks and functions of the management board are governed in the management regulations.

### *SHAREHOLDER STRUCTURE*

The shareholder structure is specified under point 5.2.

### *6.2.2 FINANCIAL REPORTING*

The annual financial statements are prepared internally with the cooperation of an external tax consultant. The finance manager is obliged to present the partners the financial reporting including bank statements at the end of each month.

## *6.3 ENVIRONMENTAL AND SOCIAL PROFILE*

In its operational and employee manuals, the Collective Leadership Institute strives to be a responsible organisation from an environmental and social point of view. The Collective

Leadership Institute ensures that employment policy and practices are fair and equitable in regard to the individual and the employment laws of Germany. The Collective Leadership Institute is an equal opportunity employer. We offer our employees flexible working hours and the possibility of home office when appropriate and when the tasks are suitable. Private matters can be dealt with over the course of the day when necessary and in accordance with supervisors. With regard to its environmental policy, the Collective Leadership Institute aims to minimize its use of natural resources, and seeks to lessen any undesirable impact on the environment.

## 7. FINANCES

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### 7.1 BOOKKEEPING AND ACCOUNTING

#### 7.1.1 BOOKKEEPING

CLI currently uses the double-entry bookkeeping method.

#### 7.1.2 ANNUAL FINANCIAL STATEMENT

CLI compiles an annual financial statement that consists of a statement of assets and liabilities and a profit and loss account. The annual financial statement is prepared internally and reviewed and finalized by the auditing and tax consulting firm Dr. Knabe, Jägerallee 37 i, 14469 Potsdam, Germany.

#### 7.1.3 CONTROLLING

CLI's internal controlling and reporting are based on reports compiled on a regular basis and are adapted to meet current demands. The partners and the staff are informed monthly about CLI's financial situation.

### 7.2 MANAGEMENT REPORT

CLI's activities are primarily financed by funded projects. Further income is generated by process consulting and courses offered.

## 7.3 STATEMENT OF ASSETS AND LIABILITIES

ASSETS		2013	2014	2015	2016
		€	€	€	€
<b>A. Fixed assets</b>	I. Intangibles	2.119,32	1.454,00	1.038,00	949,00
	II. Tangibles	12.526,23	8.600,00	4.080,00	4.080,00
<b>B. Current assets</b>	I. Cash and bank balance	453.676,87	462.851,66	336.610,57	220.496,02
	II. Other	9.570,00	48.534,75	36.667,64	38.277,21
<b>TOTAL ASSETS IN €</b>		<b>477.892,42</b>	<b>521.440,41</b>	<b>378.396,21</b>	<b>269.153,23</b>
LIABILITIES		2013	2014	2015	2016
		€	€	€	€
<b>A. Capital stock</b>					25.000,00
<b>B. Retained earnings</b>		569.013,06	477.892,42	519.440,36	352.071,84
<b>C. Annual result</b>		-91.120,64	41.547,94	-141.069,04	-156.258,57
<b>D. Total equity in €</b>		477.892,42	519.440,36	378.371,32	220.813,27
<b>E. Provisions</b>					4.000,00
<b>F. Other liabilities</b>		0	2.000,05	24,89	44339,96
<b>TOTAL LIABILITIES IN €</b>		<b>477.892,42</b>	<b>521.440,41</b>	<b>378.396,21</b>	<b>269.153,23</b>

## 7.4 INCOME AND EXPENSES

<i>INCOME</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	<i>2016</i>
	€	€	€	€
<b>A. Income ideational area</b>	18.865,02	4.017,80	110,00	100,00
<b>B. Interest income</b>	1.548,85	365,55	196,31	0,00
<b>C. Income educational area</b>	674.048,22	786.527,40	637.727,95	639.567,02
<b>D. Income consultancy area</b>	462.571,59	540.066,77	542.578,16	310.330,12
<b>TOTAL INCOME</b>	<b>1.157.033,68</b>	<b>1.330.977,52</b>	<b>1.180.612,42</b>	<b>949.997,14</b>
<i>EXPENSES</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	<i>2016</i>
	€	€	€	€
<b>A. Personnel costs</b>	614.388,21	637.313,26	578.150,89	455.036,84
<b>B. Honorarium</b>	213.268,17	273.529,48	328.708,57	341.528,16
<b>C. Travel costs</b>	115.749,82	114.333,96	144.554,83	152.431,58
<b>D. Seminar and course costs</b>	56.766,63	48.419,02	49.959,65	41.871,72
<b>E. Facility cost</b>	43.785,85	39.295,88	35.900,50	42.664,82
<b>F. Administrative cost</b>	78.296,53	53.586,92	62.575,48	53.829,57
<b>G. Marketing cost</b>	39.248,99	25.116,46	27.732,81	13.772,50
<b>H. Depreciation</b>	6.471,77	5.689,58	6.576,61	3.835,19
<b>I. Tax</b>	78.680,20	90.542,54	85.263,49	0,00
<b>J. Other expenses</b>	67,00	73,05	453,31	0,00
<b>K. Incidental monetary transaction</b>	1.431,15	1.529,46	1.805,32	1.285,33
<b>TOTAL EXPENSES</b>	<b>1.248.154,32</b>	<b>1.289.430,61</b>	<b>1.321.681,46</b>	<b>1.106.255,71</b>
<b>ANNUAL RESULT IN €</b>	<b>-91.120,64</b>	<b>41.547,94</b>	<b>-141.069,04</b>	<b>-156.258,57</b>



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