

*HUMANITY • FUTURE POSSIBILITIES • ENGAGEMENT  
COLLECTIVE INTELLIGENCE • INNOVATION • WHOLENESS*

# ***ANNUAL REPORT 2013***

We empower people to lead collectively  
towards a sustainable future.





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## WHO WE ARE

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The Collective Leadership Institute (CLI) is an internationally operating non-profit organisation based in Germany (Potsdam) and South Africa (Cape Town). It was founded 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

***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 principle of cooperation and collectively created solutions – across sectors, institutions, nations, and cultures.

### OUR MISSION

With our **Executive Education**, our **Integrated Capacity Development**, our **Community Building**, and our **Research**, 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

Our work is based on the six dimensions of 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



*NEVER DOUBT THAT A SMALL GROUP OF THOUGHTFUL,  
COMMITTED CITIZENS CAN CHANGE THE WORLD. INDEED,  
IT'S THE ONLY THING THAT EVER HAS.*

MARGARET MEAD

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Change is happening fast and the challenges ahead are complex and manifold. Global warming, water shortages, extreme poverty, human rights and international security – just to mention a few – require a drastic rethinking on our part.

It is clear that there is a need for a significant shift towards sustainable and effective concepts and ideas. We need to adapt a different way of dealing with these challenges to make life and work more liveable and achieve a constructive and value-based collaboration. This includes developing our human capacity for outcome-oriented dialogue, effective collaboration, and future-oriented collective action. These skills enable us to lead change processes that harness collective intelligence, engage different stakeholders, and deliver tangible results that move sustainability forward.

In 2013, we have brought people from around the world together, from the private sector, the public sector, and civil society. We equipped them with a methodology to bring forward their essential work in sustainable development, helped them to build committed teams within and across organisational boundaries, to integrate different organisational cultures into joint initiatives, and foster collaboration between diverse stakeholders. The Collective Leadership Institute also offered a space for exchanging ideas, experiences, and knowledge. Our alumni inspired us as much as we would like to inspire them in order to find solutions to global and local challenges.

May 2013, a milestone was achieved with the launch of the online community [www.Stakeholderdialogues.net](http://www.Stakeholderdialogues.net) that gives actors from around the world a way to exchange with us and with each other, and allows access to knowledge and tools that support them in the successful implementation of their stakeholder collaboration initiatives.

Our work in the field through process consultancy and advisory services, our courses and programmes, our research, and our network and community of leaders and change agents in Europe, Asia, Africa, and Latin America, show that collaboration makes a difference and is a key driver for change initiatives for innovative and sustainable solutions to global, societal and local challenges. Seeing our alumni succeed in bringing sustainability issues forward fills us with gratitude.

We are happy look back on a successful year 2013. We were able to empower 227 people over the past year alone. It is a great success for the Collective Leadership Institute that a growing number of people is using our approach to make a difference in the world and take very practical steps towards a more sustainable future. Enjoy reading the Collective Leadership Institute's annual report 2013.

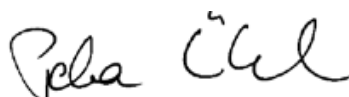
This annual report is published in accordance with the Social Reporting Standard (SRS).

All this would not be possible without dedicated people, within our own organisation and beyond – we are grateful to our support partners, our associates and our Alumnis – the people on the ground who work with our approach and feedback what works and what

needs to be improved. In addition to this foundations and international institutions have helped contribute to our vision to bring about change towards a more sustainable world.

We thank all our partners at the heart of this trust and the visionary collaboration that we could find. Your support strengthen our determination to continue on our way to a more sustainable world in 2014.

**Petra Kuenkel**



**Kristiane Schaefer**



## 1. SUBJECT AND SCOPE OF THE REPORT

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The subject of this report is the Collective Leadership Institute (CLI) e.V. and its activities in the year 2013. This report was completed on 31 July 2014 and follows the Social Reporting Standard (SRS). The report provides the reader an insight into Collective Leadership Institute's performances in 2013, the resources allocated, and the achieved impact.

The Collective Leadership Institute was founded in September 2005. Petra Kuenkel and Kristiane Schaefer are responsible for contents of this report.

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## 2. THE SOCIAL PROBLEM AND COLLECTIVE LEADERSHIP INSTITUTE'S APPROACH TO SOLVING IT

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### 2.1 SUBJECT AREA

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According to the statute, the purpose of the Collective Leadership Institute (CLI) e.V is the selfless support of education and research for sustainable development. We support and promote the building of collaboration competence through Executive Education and Integrated Capacity Development. 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 a positive societal change.

### 2.2 THE SOCIAL PROBLEM

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#### 2.2.1 DESCRIPTION OF THE PROBLEM AND SCALE OF THE PROBLEM

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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 us all. Success and failure in moving

towards a more sustainable way of living on this planet thus concerns everybody. In order to move towards sustainable development professional competence, stakeholder perspectives, political negotiation, and result-oriented implementation need to be brought together for responsible business, people-oriented public services and a strong civil society.

#### 2.2.2 PREVIOUS APPROACHES TO SOLVING THE PROBLEM

---

While the world faces more and bigger challenges, there still is lack of collaborative leadership skills, an absence of collective responsibility for a globally sustainable future, and an inability to create and implement solution jointly, beyond sectors, institutions, societies, and cultures. There is still too little awareness of this interdependence and the need for joint action towards sustainability. Previous approaches concentrate on the individual or on one system and thus missing 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 COLLECTIVE LEADERSHIP INSTITUTE'S APPROACH TO SOLVING THE PROBLEM

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The Collective Leadership Institute stands for sustainable and **acting, thinking, communicating and leading together**. Hence, process competence and building capacity for sustainability is the principal focus of our work. Central to our approach is empowering people to more effectively and efficiently implement projects and change initiatives for sustainability by creating a climate of collective leadership. This is an important premise for implementing profound and complex change initiatives. It enables a group of committed leaders to share responsibility and collectively contribute to sustainable development, by respecting difference and diversity and cultivating the individual and collective identification with sustainability.



### 2.3.1 COLLECTIVE LEADERSHIP INSTITUTE'S STRATEGIC APPROACH

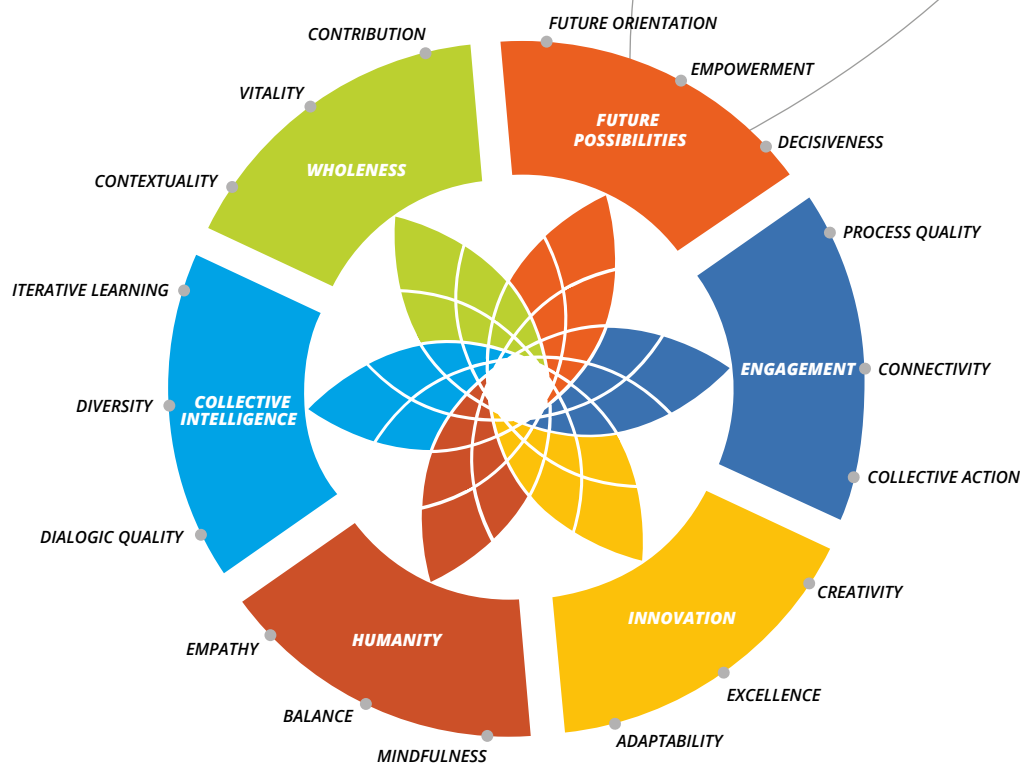
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Our vision is to empower future-oriented people to lead collectively towards a sustainable future. We believe in the principle of co-operation and collectively created solutions – across sectors, institutions, nations, and cultures. With our Executive Education, our Integrated Capacity Development, our Community Building, and our Research, we build competence for sustainability - for responsible business, people-oriented public service, and a strong civil society.

#### 2.3.2 VISION

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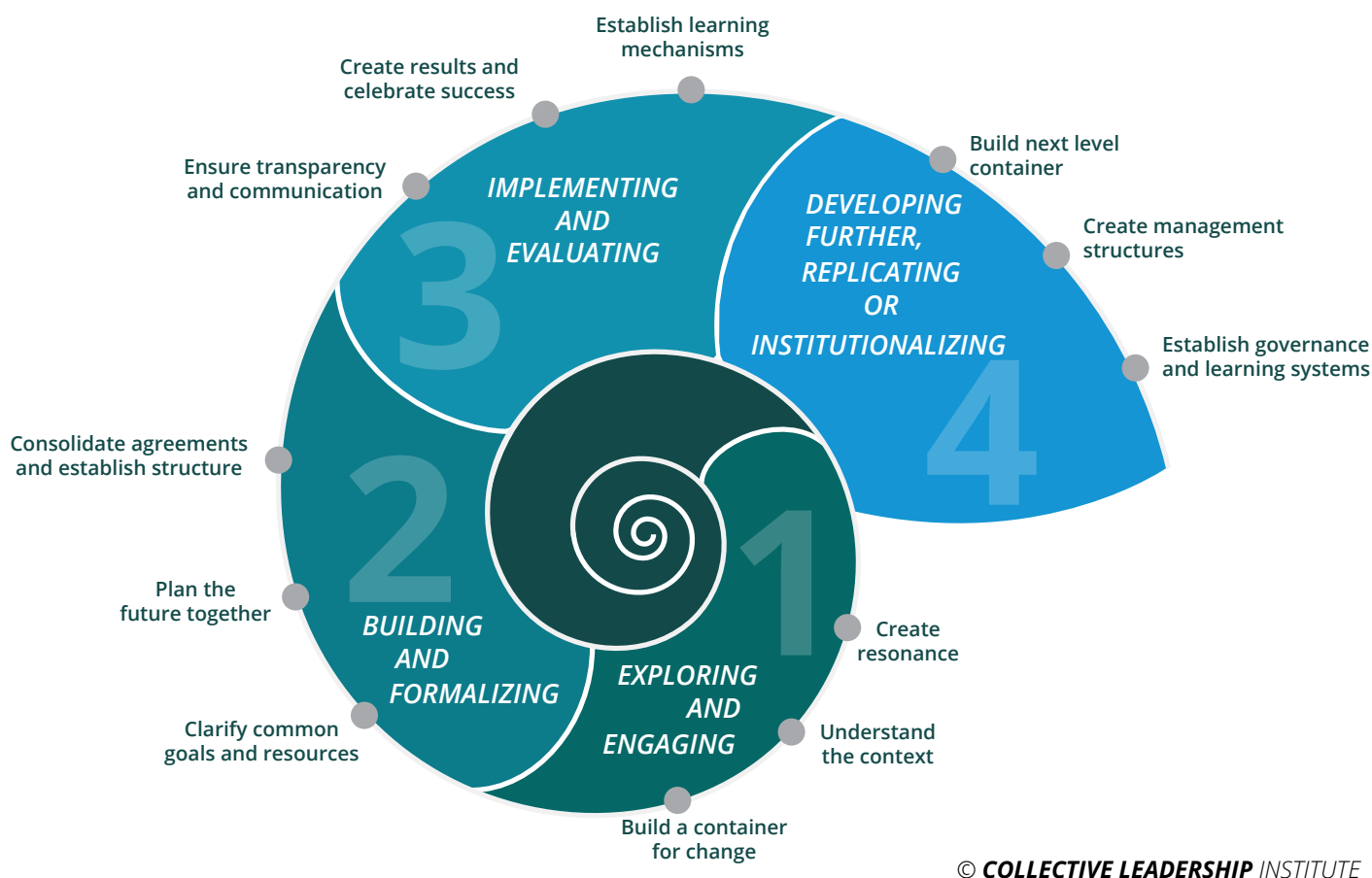
Turning sustainability challenges of complexity, interdependency, and urgency into opportunities requires more than passion, intuition, or excellent plans. We need to shift the way we co-create – learn faster together, collaborate more efficiently, and enhance collective action for more sustainable human behaviour. We therefore base our work on the Collective Leadership approach, a methodology for successfully leading joint sustainability initiatives and the Dialogic Change Model, a step by step approach to implementing stakeholder consultation and cooperation. Both methodologies are guiding structures that help navigate complex settings collaboratively and implement more outcome-oriented and constructive co-creation on a day-to-day basis – for individuals, teams, an entire organisation, and cross-sector cooperation initiatives.



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THE **COLLECTIVE LEADERSHIP COMPASS** - CREATING SOLUTIONS TO THE CHALLENGES OF SUSTAINABLE DEVELOPMENT

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



### THE **DIALOGIC CHANGE** MODEL - IMPLEMENTING STAKEHOLDER DIALOGUES IN A RESULT-ORIENTED WAY

The challenges of sustainability have reached the entire globalised world. These challenges are far too complex to be solved by the corporate community, the public sector or civil society acting alone. 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. The Dialogic Change Model allows for the result-oriented, structured planning and implementation of a successful Stakeholder Dialogue. The Dialogic Change Model that has been developed by the Collective Leadership Institute and proven over time, is an innovative methodology that combines process and change management experience, a dialogical approach, and self-reflection methods.



### **2.3.3 WHO WE SUPPORT - COLLECTIVE LEADERSHIP INSTITUTE'S TARGET GROUPS**

In Europe, Asia, Africa and Latin America, we work with leaders, project managers and change agents from corporations, small and medium sized companies, development agencies, the public sector and civil society organisations. We support change agents from these different sectors in creating and implementing collaborative change initiatives for innovative and sustainable solutions to global, societal and local challenges.

### 2.3.4 OVERVIEW: ACTIVITIES AND EXPECTED OUTCOME

TARGET GROUP	ACTIVITY/ PROGRAMME/ PRODUCT	SHORT DESCRIPTION
Leaders, project managers and change agents from all sectors	Executive Education Programs – Open Courses	Courses offered: Stakeholder Dialogues (4 days) Stakeholder Engagement (2 days) Process Designs for Stakeholder Engagement (4 days) Dialogic Facilitation (4 days) Collective Leadership (3 days)
Organisations, corporations and institutions from all sectors	Executive Education Programs – Tailor-made courses	Courses offered: Stakeholder Dialogues (4 days) Stakeholder Engagement (2 days) Process Designs for Stakeholder Engagement (4 days) Dialogic Facilitation (4 days) Collective Leadership (3 days)
Young professionals from all sectors	Young Leaders for Sustainability	Leadership program for young professionals (over the period of one year; 5 modules á 5 days each)
Organisations, corporations and institutions from all sectors	Process Support	Strategic process coaching, systemic process advisory, monitoring and evaluation with integrated capacity development
Organisations, corporations and institutions from all sectors	Research	Thematic studies, empirical research, case studies and evaluations
All change agents	Publications	German Book “Stakeholder Dialoge erfolgreich umsetzen”  Collective Leadership Studies. Volume 1. Shifting the way we co-create.

FEES CHARGED	EXPECTED IMPACT OF ACTIVITIES
580 € - 1.580 € (depending on course type) Incl. material	Participants learn essential tools for successful implementation of result-oriented stakeholder dialogues. They understand both the individual and the collective leadership contribution to sustainability initiatives and complex projects.
22.000 € (for 16 participants, 500 € for every participant above 16)	Participants learn essential tools for successful implementation of result-oriented stakeholder dialogues. They understand both the individual and the collective leadership contribution to sustainability initiatives and complex projects.
3.000 € - 6.000 € (depending on sector) Incl. material	Participants go through different levels of development: Personal development Process skills Practical experience
Depending on the extent and type of process	Key actors are strengthened in the successful implementation of result-oriented stakeholder dialogue and cooperation processes. They are equipped with methodologies for large-scale system changes
Depending on the extent and type of research	Process-oriented research results enabling actors involved to become part of the learning process
35 €	Change agents implement Collective Leadership Institute's methodology in their daily work
Free of charge	The study explores the factors and patterns that help engender a collective way of leading for sustainability and how leaders from different sectors manages to integrate different organisational cultures into joint initiatives and foster collaboration between diverse stakeholders.

## 2.4 SPREADING COLLECTIVE LEADERSHIP INSTITUTE'S APPROACH

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### 2.4.1 WHAT ARE WE SPREADING?

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With the focus on competence building for sustainability our aim is to:

**Empower people globally to use our methodology of collective leadership for sustainability and dialogic change.** We strive for excellence, constantly improve the usability of our approach, disseminate our knowledge and focus on scaling-up the application of our methodology for successful cooperation and consultation.

**Foster communities for dialogic change towards sustainability.** We build or activate networks and foster mutual support among change agents.

**Develop into a centre of gravity for Collective Leadership globally.** We inspire people to spread our methodology and focus on quality and impact.

### 2.4.2 HOW DO WE SPREAD OUR SOLUTION?

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Our **Executive Education** programmes in stakeholder dialogues and collective leadership integrate knowledge building, personal mastery and the actual work reality of participants. We offer open seminars and tailor-made courses.

Based on key conceptual content our Executive Education programmes incorporate the actual work reality of participants. We strive to deliver

knowledge that can be implemented in day to day business. Participant's feedback helps us to continuously improve.

Our **Integrated Capacity Development** for cross-sector collaboration projects combines advisory and capacity building: this way we enable people to develop their own competence according to their specific challenges.

Our **Leadership Development** for sustainability fosters change in thinking and practical implementation through knowledge building, reflection and exposure.

Our **Research** is designed as a learning process for sustainability helping people move quicker towards new action.

Our **Community Building** and network connects people from different sectors in order to help bridge gaps and create new opportunities for sustainability engagement.

Our **Collaboration Projects** are piloting new approaches to cross-sector learning and engagement for sustainability.

### 2.4.3 STATUS OF COLLECTIVE LEADERSHIP INSTITUTE'S SPREADING EFFORTS

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In the past 8 years we have achieved to train 1394 people in our methodology in open programs and tailor-made courses. We have also supported more than 25 projects through integrated capacity building helping them to achieve better results in their change initiatives.

### ALUMNI STATISTICS 2013

#### OPEN COURSES:

10 COURSES

165 PARTICIPANTS

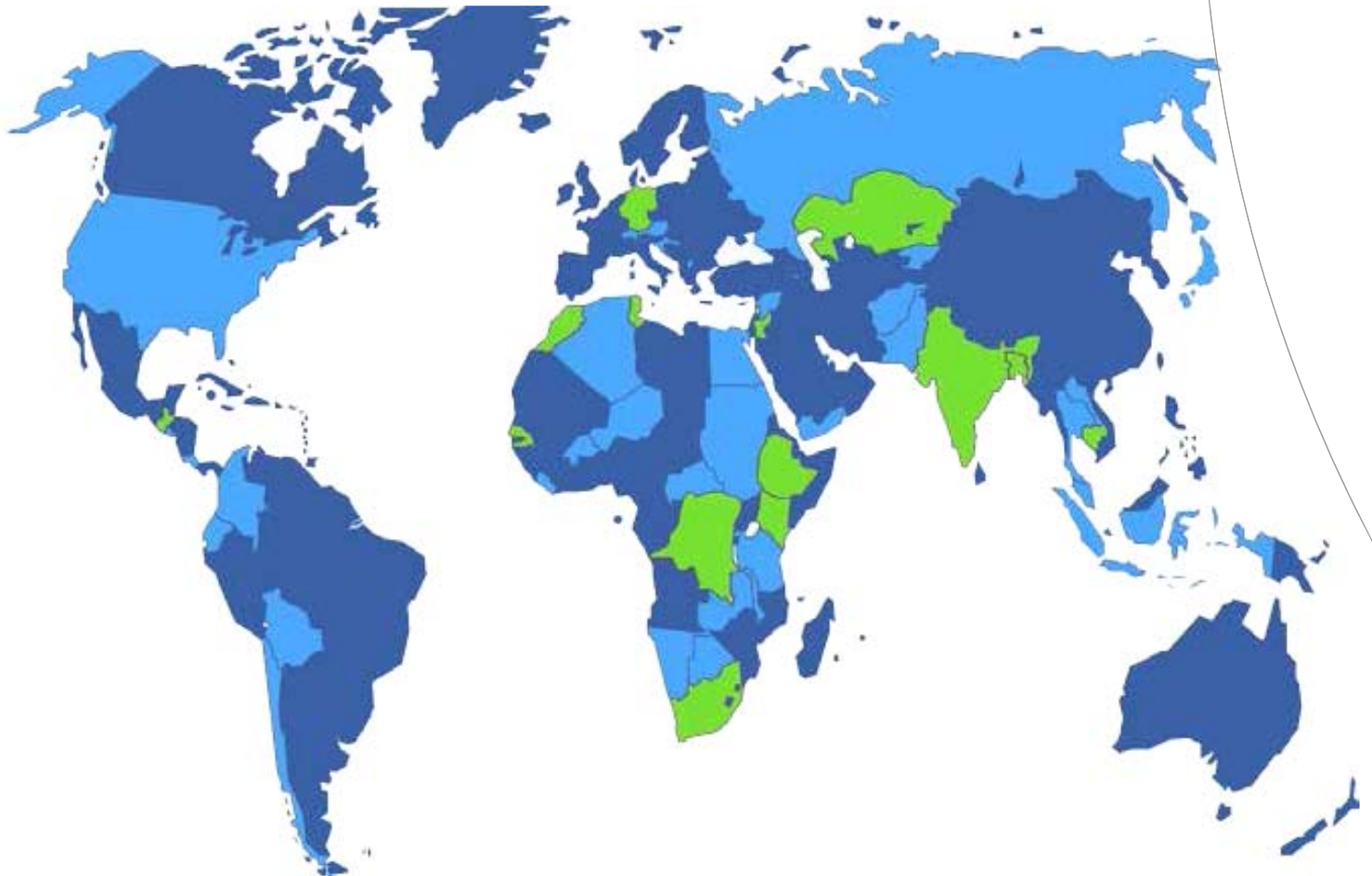
#### TAILOR-MADE COURSES:

2 COURSES

46 PARTICIPANTS

#### YOUNG LEADERS FOR SUSTAINABILITY:

16 PARTICIPANTS



### 3. SOCIAL IMPACT

#### 3.1 RESOURCES USED (INPUT)

The following resources were used in 2013:

<b>Personnel costs</b>	614.388,21 €
<b>Material costs</b>	379.177,94 €

#### 3.2 WORK PERFORMED (OUTPUT)

##### EDUCATIONAL PROGRAMMES: OPEN COURSES

Our Executive Education programmes in stakeholder dialogues and collective leadership integrate knowledge building, personal mastery and the actual work reality of participants. We offer open courses and tailor-made courses.

Based on key conceptual content our Executive Education programmes incorporate the actual work reality of participants. We strive to deliver knowledge that can be implemented in day to day business. Participant's feedback helps us to continuously improve.

In 2013 the Collective Leadership Institute offered the following open programs:

**"Stakeholder Dialogues"**

**"Process Designs for Stakeholder Engagement"**

**"Dialogic Facilitation"**

**"Stakeholder Engagement"**

**"Collective Leadership"**

In 2013, ten open courses took place in five different countries, four different continents and in four different languages (German, English, French, Spanish). The Collective Leadership Institute's flagship course "Stakeholder

Dialogues" has been facilitated seven times – 2 in Germany; 1 in Senegal; 2 in South Africa; 1 in Cambodia; and 1 in Peru.

For the first time the Collective Leadership Institute offered a "Stakeholder Dialogues" course in Spanish. Moreover, 2 "Stakeholder Dialogues" courses in Potsdam were run in parallel with two groups due to a high number of participants. All participants working on water projects were clustered thematically in the one group, which allowed to have a special focus on related issues and a better exchange between experts from the water sector.

In 2013 the Collective leadership Institute implemented 12 open and tailor-made courses with 221 participants. While the Collective Leadership Institute implemented a higher number of tailor-made courses in 2012, it offered a higher number of integrated capacity development programmes in 2013. The Young Leaders for Sustainability programme trained 16 participants in 5 modules.

##### EDUCATIONAL PROGRAMMES: TAILOR-MADE COURSES

Collective Leadership Institute's tailor-made trainings are highly oriented towards achieving concrete results. Bringing team members and partners into intense exchange and project focused work can help bring strategic issues forward and produce concrete results. In 2013 the Collective Leadership Institute ran 3 tailor-made trainings: 1 in Rwanda, 1 in South Africa, and 1 in Germany.



### TAILOR-MADE COURSE IN SOUTH AFRICA

#### **Violence prevention in South Africa**

At the beginning of October 2013, the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) South Africa asked the Collective Leadership Institute to implement a tailor-made training on "Stakeholder Dialogues". Through the Violence and Crime Prevention (VCP) program the GIZ supports the South African Public sector, civil society and community based organisations to collaborate more effectively to promote the safety of particularly vulnerable population groups in disadvantaged communities.

During the course, several working groups identified common issues which needed to be addressed jointly. The Dialogic Change Model laid out the groundwork for their collaboration and aided them to structure a step-by-step approach. The methodology helped participants to create a solid process framework and identify any gaps that existed in the way they were currently interacting with different stakeholders in their complex environment. Participants worked on their real life cases using the methodology and were able to develop practical outputs together, which could be implemented after the training. After the workshop was over, the participants noticed an immediate improvement in overall engagement of their partners meaning a better foundation for long term collaboration.

*TAILOR-MADE COURSE IN GERMANY*

In November 2013, the Collective Leadership Institute organised a three-day tailor-made training with two GIZ water sector experts from the Democratic Republic of the Congo (DRC). They benefited from the CLI's expertise for their project RESE, which deals with reforms in the water sector in the DRC. The challenge they are facing is to bring the relevant actors together, find common ground, and engage all of them for an increased ownership of the reform process.

Recalling the essential elements of the course "Stakeholder Dialogues" and following the structure of the Dialogic Change Model, the participants first of all analyzed the current situation in the water sector in the DRC. For example, they identified the main stakeholders involved in the most important policy reform processes currently being backed by RESE. This permitted the team to determine which next steps needed to be taken with regard to the dialogue processes on different levels.

Not every process was at the same stage, and therefore, requiring attention be paid to different elements. In several working sessions the participants and trainers combined their expertise in a collaborative effort to clearly define the roles and responsibilities of these different actors at both the national and provincial level.

A monitoring tool developed by Collective Leadership Institute was used to keep track of the quality the different Stakeholder Dialogue processes by focusing on 8 key factors essential to the success of any dialogue. This helped gain a clearer overview about where more attention needed to be paid with regard to specific engagement processes and what is required to move the reform forward.

In a second phase two additional water experts from Egypt and Jordan joined the workshop, who visited the Collective Leadership Institute at its headquarters in Potsdam in the context of the EU project ENTIRE, a project led by the Collective Leadership Institute in the Southern Mediterranean Region.





Young Leaders  
for Sustainability

### EDUCATIONAL PROGRAMME: YOUNG LEADERS FOR SUSTAINABILITY (YLS)

The YLS program is a qualification program for young leaders who want to make a difference. It aims at building a network of young change makers from business, government and civil society. During a period of 9 months the young professionals implement a sustainability project within their company or organisation. The YLS program is based on the Collective Leadership Institute's „Collective Leadership Compass“. In a series of four training modules, the six dimensions of the compass are taught and developed alongside additional expertise on sustainability issues.

In 2013, the YLS program was successfully run in Germany for the 4th time. It was launched in May 2013 with 16 participants from different projects and backgrounds. The young professionals worked for organisations such as: BALVI GmbH, World Wide Fund for Nature (WWF), AiF - Arbeitsgemeinschaft Industrieller Forschungsvereinigungen, ORACLE Deutschland B.V. & Co. KG, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, Hochschule Heilbronn, Bayerisches Landesamt für Umwelt, PHINEO gemeinnützige AG, Ernst & Young GmbH (EY), Carbon Disclosure Project (CDP), and Citizens for Europe e.V..

The Collective Leadership Institute aims at scaling-up the network and the qualification program through other countries. In 2013 it started the dialogue with potential partners from Rwanda, South Africa, Kenya and Tunisia.

A high-level advisory board has been established and ten renowned leaders from public sector, civil society and private sector support the Young Leaders for Sustainability program in the promotion of the concept of collective leadership: Günther Bachmann, general secretary of the Council of Sustainable Development (RNE); Prof. Dr. Matthias S. Fifka, Cologne Business School; Monika Griefahn, director of the department of environment and social responsibility at AIDA Cruises, founder of Greenpeace Germany; Oda Heister, director Ashoka Germany gGmbH; Dr. Anke Martiny, member of the board of Transparency International Germany e.V.; Norbert Kunz, director of iq consult; Cornelia Richter, member of the board of the German Society for International Cooperation (GIZ) GmbH; Jürgen Schmidt, founder and chairman of the board of the memo AG; Kristina Steenbock, director of the Smart Energy for Europe Platform (SEFEP); Dr. Dr. Mario Tobias, general secretary of the Institute for Advanced Sustainability Studies (IASS) e.V.

One highlight of the program was the YLS dialogue event „Leadership neu denken. Innovation - Nachhaltigkeit - Zukunft“. It took place in November 2013 at the Gesellschaft für Internationale Entwicklungszusammenarbeit (GIZ) representation in Berlin and attracted more than 120 guests.

The YLS supporters and partners are – amongst others – the Deutsche Gesellschaft für internationale Zusammenarbeit (GIZ) GmbH, the BMW Foundation Herbert Quandt, the Robert Bosch Foundation, the Institute for Advanced Sustainability Studies (IASS), the German Council for Sustainable Development.

## RESEARCH &amp; PUBLICATIONS

The practical guide for change agents “Stakeholder Dialogues - Key Concepts and Competencies for Achieving Common Goals” is now also available in German. In 2013 the German version “**Stakeholder Dialoge Erfolgreich Umsetzen** – Kernkompetenzen für erfolgreiche Konsultations- und Kooperationsprozesse” was published and can be considered as another milestone as it makes the Collective Leadership’s methodology available in yet another language besides English and French. This practitioner’s guide is an important contribution to sustainability in German speaking countries and is made available to the Collective Leadership Institute’s alumni from the public sector, the private sector, and civil society organisations who take part in the educational programmes in German.

The Collective Leadership Institute decided to start publishing a “**Collective Leadership Studies**” semiannual series. The first volume “Shifting the Way We Co-create - How we can turn challenges of sustainability into opportunities” was published in November 2013, based on a research project to explore the factors and patterns that help engender a collective way of leading for sustainability. For this purpose, practitioners from the private sector, the public sector, and civil society who brought forward essential steps in sustainable development were interviewed. This first study analyses how these leaders built committed teams both within and across organisational boundaries and how they managed to integrate different organisational cultures into joint initiatives and foster collaboration between diverse stakeholders.



The Collective Leadership Institute’s director, Petra Kuenkel, nominated by The Guardian to write a monthly **online column** for the Guardian Sustainable Business Hub, shares news and insights about the Collective Leadership Institute’s research process on Collective Leadership for Sustainability in her column.



### SELECTION OF INTEGRATED CAPACITY DEVELOPMENT ACTIVITIES IN 2013

#### **Empowering the Water Wise Women in Jordan**

The Collective Leadership Institute worked with 120 people from the water sector in Jordan on a participatory research (multi-stakeholder dialogue) where the ideas of all involved were counted in with the purpose of establishing a network. The Water Wise Women Initiative were empowered to actively engage, interact, and gain trust with their partners in their communities and at the national level. They learned how to base their work on the dialogic approach and adapt it to the needs of a community of 50 countrywide development centres.

The WWWI has subsequently established a national network institution that also ensures local women participation in public life. The results are an increased water use efficiency of households and communities and a direct impact on gender relations in Jordan.

### CONTRACTED INTEGRATED CAPACITY DEVELOPMENT

The Collective Leadership Institute's process support combines advisory, strategic process coaching, monitoring and evaluation with integrated capacity development for initiators and managers of stakeholder dialogues. Through our combination of capacity development programmes and comprehensive process support services we assist you in the creation of local, national and international collaboration and consultation processes in the form of stakeholder dialogues that can be owned by all stakeholders and accomplish tangible outcomes with measurable and sustainable impact.

#### **Co-creating a sustainable land policy in Cambodia**

Political stability, economic growth and social development in Cambodia depend highly on the existence of legally secure and socially-balanced access to land. By 2015, a "White Paper on Land Policy" shall define the political guidelines for a sustainable land policy. This requires the coordination with other land-related sector ministries and the consultation of additional stakeholders. This Green Paper however found limited acceptance in the various sector ministries: The paper fell short of a joint vision and, authored mainly by the lead

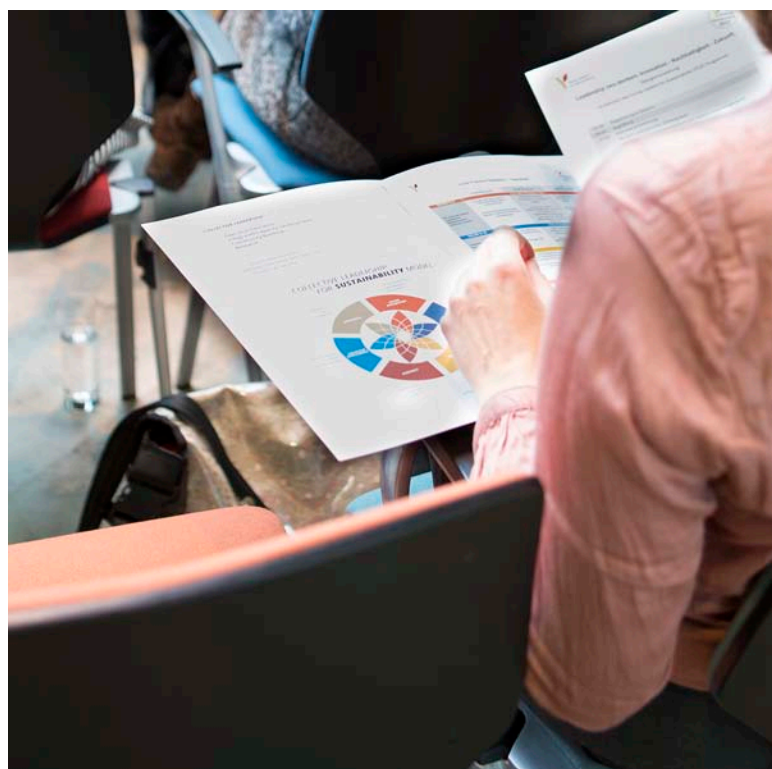
ministry and external experts, lacked important other perspectives and expertise of other ministries, civil society and private sector. With the CLI's help and training, members of the core group were able to design the initiative's process architecture following the dialogic change approach. The Stakeholder Dialogue approach to developing the "Declaration of Land Policy" succeeded in creating a stable basis for elaborating the White Paper jointly.

### ***Building a container for change - Gender equality in Georgia***

In Georgia topics such as 'gender equality', 'women rights' and 'empowerment of women', currently lack both public and political awareness. The implementation of international recommendations and national policies regarding gender equality and women rights is slow. One step to change this is the creation of an efficient governmental institutional mechanism in the executive branch. Using the Stakeholder Dialogues approach, especially Phase 1 of the Dialogic Change Model (DCM) "Exploring and Engaging", UN Women managed to create a container for change. The success worth celebrating thus far is the appointment of advisory positions for gender equality and women rights by the Georgian Prime Minister. Members of the core group were trained and supported by the CLI in the design of the initiative's process architecture following the dialogic change approach.

### ***FUNDED CAPACITY PROJECTS***

In 2012 the Collective Leadership Institute submitted a grant proposal for strengthening civil society networks in the water sector at the



European Commission jointly with the following partners: ACWUA (Arab Countries Water Utilities Association), RAED (Arab Network for Environment & Development), and the German Water Partnership. Through capacity building, stakeholder dialogues, and best practice exchange, the methodological competence to lead result-driven engagement processes with different stakeholders started being embedded in the regular procedures of ACWUA and RAED. Moreover, both institutions are being equipped with monitoring and evaluation tools to measure the success of stakeholder engagement.

In August 2013, the Collective Leadership Institute was informed by the European Commission about the grant approval. Thus, empowering regional civil society organisation networks to take an active role in Integrated Water Resources Management (IWRM) in the Southern Mediterranean Region started in autumn 2013.



## ONLINE CAPACITY DEVELOPMENT

***www.StakeholderDialogues.net***

Inspired by the vision to empower as many people as possible and to build capacity to implement sustainability in the field, the Collective Leadership Institute decided in 2012 to build up an online platform that makes the renowned methodology on Stakeholder Dialogues available to a wide audience.

StakeholderDialogues.net is a learning space and a community directed towards practitioners from the private sector, the public sector, and civil society organisations. With StakeholderDialogues.net the Collective Leadership Institute aims to build a global network for change by activating networks and fostering mutual support among change agents in order to empower people to use our dialogic change methodology and collective leadership for sustainability. This online platform was launched in May 2013 and gathered around 400 users from all over the world.

Thanks to seed funding from the German Federal Ministry for Economic Cooperation and Development (BMZ) and the German Society for International Cooperation (GIZ) the Collective Leadership Institute was finalise and further develop the project until the end of 2013.

**3.3 IMPACT (INCLUDING OUTCOME)**

Solving complex challenges arising from globally linked problems, conflict, economic disparities and the effects of climate change increasingly calls for result-oriented collaboration between the public sector, private sector and civil society. Therefore Stakeholder Dialogues are a key tool for sustainability.

Through our basic training “**Stakeholder Dialogues**” almost 500 participants from all over the world had the opportunity to exchange experience, gain insights, knowledge and facilitation skills to prepare and conduct Stakeholder Dialogues. Each one could analyze his/her own case and define the cornerstones for the success of the initiative. The feedback provided by peers and facilitators enriched the discussion and helped them to identify the elements that could be improved to achieve better results.

The growing interest in Stakeholder Dialogues and the Collective Leadership Institute’s dialogic approach reflects in the increasing demand for our capacity building programs. This statement is supported by our more than 1,400 alumni, who attended at least one of our courses and used our tools to identify key factors to move their change processes forward.

**Environment and climate change, social development, health, cross-sectoral themes (PPP), rural development, gender equality, governance** – these are some of the sectors that benefited most from using the Dialogic Change Model in their stakeholder dialogue processes. Most of the initiatives are being implemented between public and private sector

organisations, supported by development organisations.

The many success stories of our alumni, clients, and partners are the best proof of concept how Collective Leadership Institute's approach and methodology has a positive and valuable social impact. Based on the following practical examples you can learn more about change makers using Collective Leadership Institute's Stakeholder Dialogue approach and thus bringing forward initiatives for sustainability in dialogue with many different actors.

### ***Creating a public-private german arab water sector network***

Many countries in the Middle East suffer from inadequate water supply, a serious situation which can be greatly improved by including the knowledge and technology of German private-sector companies. The immediate need for awareness building was recognised and a Stakeholder Dialogue has been put in place in order to foster cooperation. The process was started and immediately gained support from prospective participants including German and Arab industry and trade associations, leading to the creation of the German Arab Water Sector Network.

One very concrete success of the networking activities over the last years is the approval of a European Union funded project focussing on strengthening the water sector network in the MENA region that started to be implemented by the network members from September 2013.

### ***Towards gender equality in Georgia***

Establishing effective government structures for cross-cutting issues such as gender equality and women empowerment is inherently complex. The challenge in Georgia is augmented by low public awareness and political initiative.

The personal contact and the way the dialogue was initiated conveyed an atmosphere of respect and awareness towards the differing perspectives. During the process, a next-level container for change was established and the dialogue between the different actors working on 'gender equality' was strengthened. Thus, it was possible to discuss a common strategy and deal with the current situation. The joint capacities helped to mobilise the 'Gender Equality Council' to stress the importance of 'gender equality' from inside the governmental institutions and also to underline the need for the establishment of the position in the executive branch. As a result of this success, the decision was made to establish yet another position: an assistant to the prime minister exclusively dealing gender equality and women's rights issues. The open dialogue helped rule out any scepticism towards interdepartmental collaboration. Stakeholder Dialogues contributed to fresh dynamics and effective relationship building cumulating in the creation of formal structures and alliances with the goal of improving gender equality in Georgia.

*THE CHANGE OUT THERE IN THE WORLD CANNNOT BE  
SEPARATED FROM THE CHANGE INSIDE YOU.*

*PETRA KUENKEL*



### ***Good governance and economic growth in Africa***

In order to improve good governance processes between different thematic areas during the implementation of regional policies in Africa, the Collective Leadership institute capacitated a group of public sector, private sector, and civil society organisations experts from Ethiopia, Jordan, Germany, Palestine, Denmark, Egypt and Senegal. In the open course Stakeholder Dialogues the participants learned the foundations of the dialogic approach, how to make cross-sector collaboration easier, how to engage their partners & stakeholders constructively through dialogue, focus on results and thus overcome their challenges. The results is a stronger network of contributors, experts, and organisations that will jointly reinforce the drive towards better governance, and will address the economic and sustainable growth issues in Africa.

### ***Sustainable use of water resources in Latin America***

A variety of experts in water supply, environment, education or citizen participation, joined the open course Stakeholder Dialogues in Lima, Perú to share their experiences and learn how to engage their partners. The Collective Leadership Institute capacitated 22 participants from Bolivia, Perú, Ecuador, Guatemala, México in the principles of dialogic change to improve access to clean water and the proper disposal of waste water aiming at providing a better quality of life for poor people in Latin America. Learning a new approach and working on the challenges in their daily practice enables them to foster a constructive dialogue between communities and authorities at the



local and national levels and to find common ground for the conservation and sustainable use of water resources.

### ***Cross-sector collaboration and economic growth in Rwanda***

In the context of the Rwandan Public-Private Dialogue (RPPD) Mechanism, established by the Rwandan government, the Collective Leadership Institute trained the core container of actors in effective stakeholder engagement, internal and external communication, monitoring, and regular reviews. The goal is to facilitate on-going dialogue between the public and private sectors at local and national level to identify barriers to private sector cooperation. The result: The RPPD mechanism now operates throughout the 30 districts of Rwanda. Public and private sectors stakeholders hold regular dialogues to address administrative and policy issues experienced by local business people and to resolve them at local level. In this way gaps retarding business growth are identified and addressed.



### 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. Qualitative and quantitative feedback is collected through questionnaires from the participants immediately following the visited course. Further, weekly reflection meetings take place within the capacity building program team in order to follow-up on relevant issues and react accordingly to maintain and improve the internal quality standards.

The overall assessment of the "Stakeholder Dialogues" courses in 2013 was highly positive, since most of our participants indicated that the content, methodology, learning materials and atmosphere were very good or excellent. Besides, more than 85% of them agree that the knowledge and skills gained definitely make a difference in their work with stakeholders and most of them already recommended the

course to other colleagues or professional partners. Almost 90% of our alumni expressed interest in taking their Stakeholder Dialogues to the next level of impact, joining in advanced courses for practitioners.

One participant commented: „All the tools were very relevant for me! The content was very helpful as I conduct meetings and facilitate workshops regularly: a number of solutions to the challenges I face came out clearly. All our managers should be exposed to these tools!"

As a result, our portfolio was further improved and expanded to meet their demands. It allowed us to offer a more specialised course on "**Process Designs for Stakeholder Engagement**", "**Success Factors in Stakeholder Dialogues**", and "**Collective Leadership**". The release of the first edition was a special highlight and received a very positive feedback.

The Collective Leadership Institute is considering the future development of further impact evaluation measures. In autumn of 2013 we are developing a customised Balanced Scorecard system that was used by all departments to track performance, work efficiency and effectiveness.

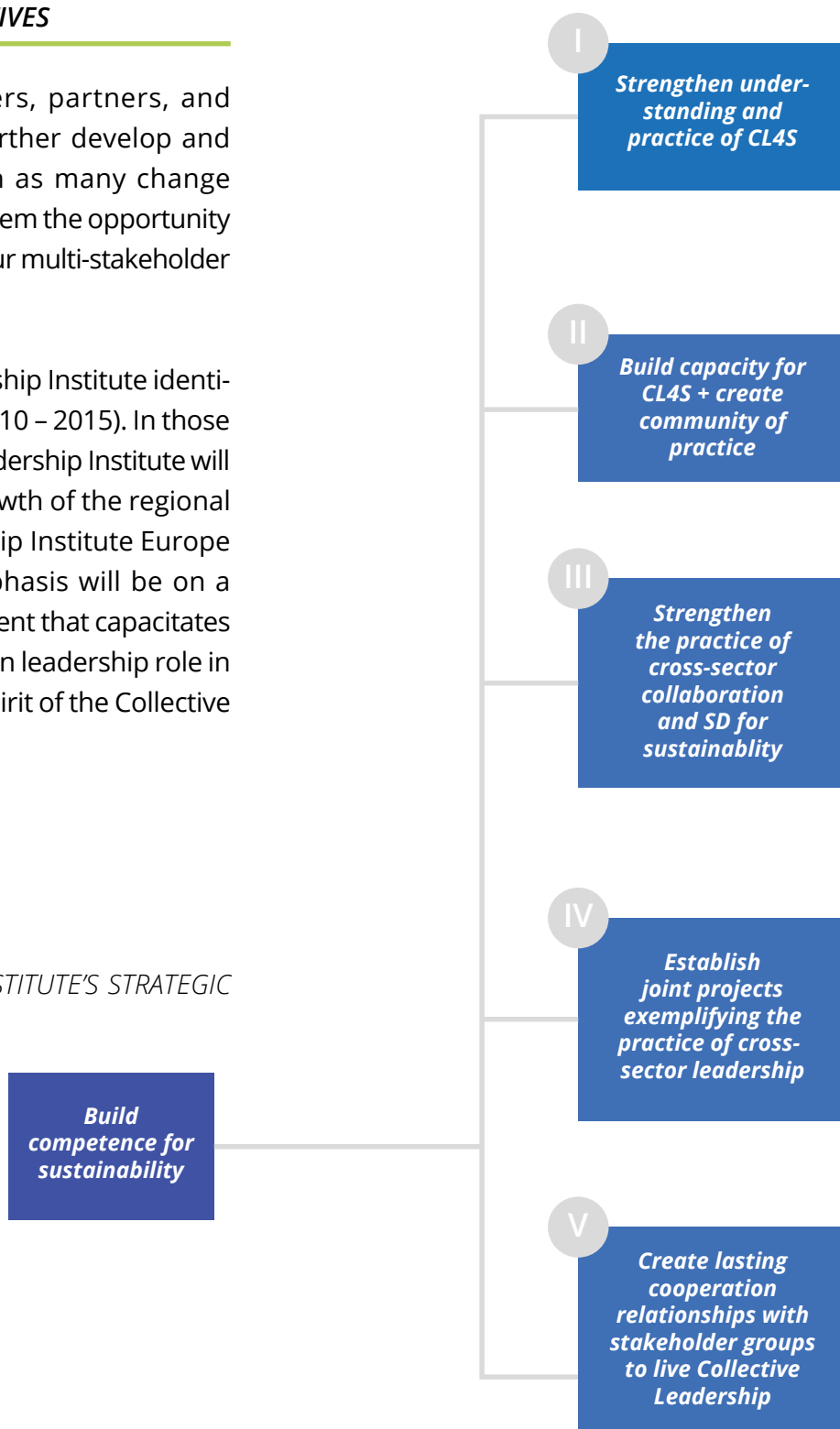
## 4. PLANNING AND OUTLOOK

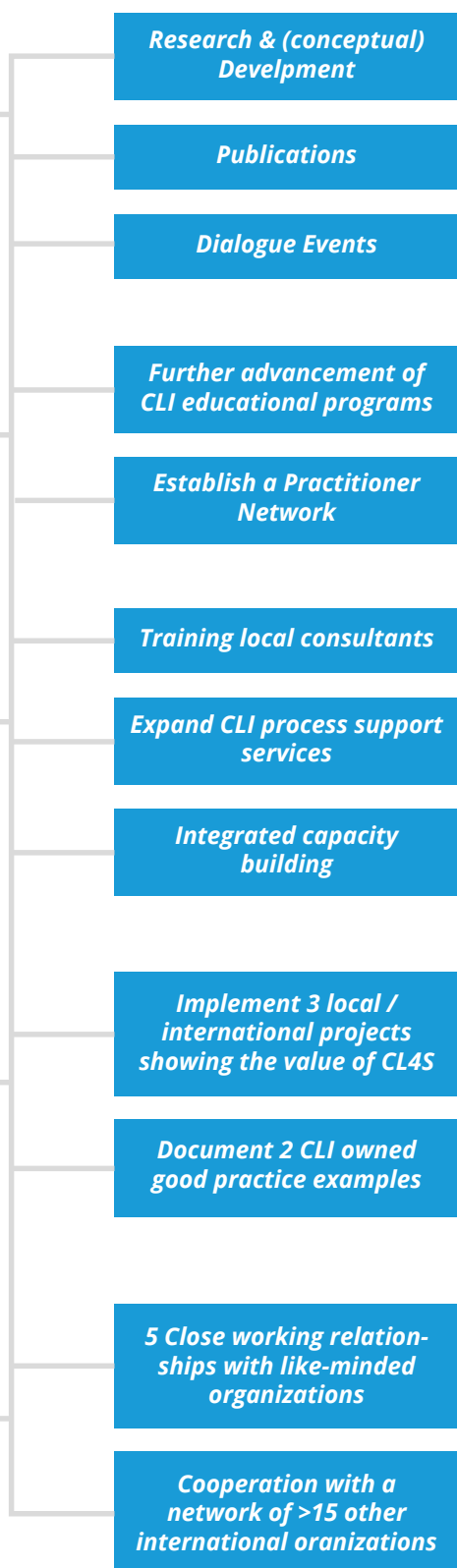
### 4.1 PLANNING AND OBJECTIVES

Together with our funders, partners, and associates, we want to further develop and expand in order to reach as many change agents as possible to give them the opportunity of having a real impact on our multi-stakeholder environment.

Thus, the Collective Leadership Institute identified its 5 year objectives (2010 – 2015). In those five years the Collective Leadership Institute will strengthen the further growth of the regional offices Collective Leadership Institute Europe and Southern Africa. Emphasis will be on a human resource development that capacitates the staff to take on their own leadership role in conveying the vision and spirit of the Collective Leadership Institute.

COLLECTIVE LEADERSHIP INSTITUTE'S STRATEGIC PLAN 2010 - 2015



**Objective I**

Strengthening the understanding and practice of collective leadership for sustainability globally through research, publications and dialogue events.

**Objective II**

Building capacity for collective leadership for sustainability and creating a community of practice through the advancement of the Collective Leadership Institute educational programs and the establishment of an practitioner network.

**Objective III**

Strengthening the practice of cross-sector collaboration and stakeholder dialogues for sustainability through expanding the Collective Leadership Institute services in process support.

**Objective IV**

Establishing pilot projects exemplifying the practice of collective leadership and cross-sector collaboration for sustainability.

**Objective V**

Creating lasting cooperation relationships with different stakeholder groups to actively live collective leadership.

## 4.2 DEVELOPMENT POTENTIAL AND OPPORTUNITIES

### *THE POTENTIAL OF HIGH QUALITY DIALOGUE PROCESSES*

Whether we talk about the difficulties in fair supply chain management, about climate change or about the conflicts between populations and governments: it actually becomes clear that humankind's capacity to dialogue, to find agreements and to find consensual issues is at the core of the future humanity. People must learn how to lead cooperation and dialogue processes and how to overcome the lack of insight into the world view of other people. That actually requires building competence and that is exactly what the Collective Leadership Institute offers. We believe that building competence at a larger scale helps people to master these challenges – to actually overcome conflicts, deepen democracy and make businesses responsible and to generally move humankind into a future that is probably determined more by our mutual understanding on mutual support.



### *THE TRENDS OF A NEW PARADIGM LEADERSHIP APPROACH*

There is a little bit of a shift in terms of realizing that the old paradigm of leadership does not work anymore. That does not mean that the old paradigm does not have its relevance, because leadership development has been around for several decades. However the old leadership paradigm is a paradigm that is looking at the model of individual leaders and followers. There has been a lot of discussion on followership and how to work on the relationship between the leader and the followers. But only recently there has been more discussion on the factors that enable people to lead collectively and to take responsibility collectively. We believe that the Collective Leadership Institute is pioneering an approach with collective leadership that is probably one answer to what is needed in future. This approach means looking beyond the individual, not ignoring the individual, but looking beyond the individual. That is why we developed an approach out of twenty years of experience that is looking at collective action in cross-sectorial settings and at sustainability issues. Developing this approach is our contribution to a new leadership paradigm.

### *THE POTENTIAL FOR A NETWORK COMMUNITY OF PRACTITIONERS AND CHANGE AGENTS*

The key to sustainable development lies in bringing together professional competence, stakeholder perspectives, political negotiation and result-oriented implementation. Innovative approaches and new solutions often derive from people's ability to dialogue and partner for the future. The quality of how we do this,

matters. While a more general theoretical framework of stakeholder dialogues is widespread, there is a lack of practical experience and methodological expertise in this field, especially in developing and emerging countries. Despite the high potential of this kind of approach, not enough stakeholder processes lead to the desired results because the capacity building measures are not adequately accessible on a large scale and with a low threshold. This applies particularly to representatives from developing and emerging countries.

This is where StakeholderDialogues.net (see also 3.2 work performed) fills a gap. As a combination of **comprehensive theory** and **practical e-learning exercises**, the online-platform StakeholderDialogues.net uses the power of **story-telling** and **case-coaching** to enable practitioners and change agents to become a stakeholder dialogue expert. The more people are empowered to use Stakeholder Dialogues as a methodology for profound change, the higher the likelihood that successful stakeholder cooperation becomes the norm.

#### 4.3 RISKS

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The risks identified in 2013 are:

##### **Competence level of personnel**

Matching the competence of staff with the growth process of the Institute and the demand for highly professional quality in the work we do.

This risk has been addressed by developing the staff into a professional faculty for the open and tailored programs.

The risk will be further addressed in 2014 by building a strengthen the network of associates, recruiting more experienced personnel and further strengthening the competence of existing staff.

##### **Dependency on contracted Integrated capacity development**

In 2013 almost all integrated capacity development work has been contracted by one international organisation.

This risk will be addressed by a two-pronged strategy - diversification of collaboration partners in 2014 and applying for funded self-designed project through Public Institutions.

## 5. ORGANISATIONAL STRUCTURE AND TEAM

The Collective Leadership Institute is an independent, registered non-profit organisation.

### 5.1 ORGANISATIONAL STRUCTURE

At the end of 2013, fourteen staff members were employed by the Collective Leadership Institute (CLI) e.V. The work has been supported by nine interns and two working student during 2013.

In 2013 the Collective Leadership Institute worked together with ten associates from five different countries (Ethiopia, Germany, Philippines, Senegal, and South Africa). Collective Leadership Institute's associates are of particular importance to bring in their valuable expertise at our trainings and courses as co-facilitators.

The Collective Leadership Institute as an membership Association currently counts 24 members. The managing directors are supported by a board of six honorary board members. Organigram Collective Leadership Institute (year end 2013)

The team of the Collective Leadership Institute is a committed and motivated group of professionals with diverse backgrounds and expertise.

#### ***The team of the Collective Leadership Institute (year end 2013)***

**Adele Wildchut** Regional Director South Africa

**Alejandra Müller** Project Manager Capacity Building Programmes

**Andrew Aitken** Project Manager Process Support & Course Facilitator

**Bernd Schulz** Office Manager

**Petra Kuenkel** Director and Chairperson

**Jade Buddenber** SD.net project manager

**Kristiane Schaefer** Deputy Director and Co-Chairwoman

**Katharina Rubin** Senior Project Manager Capacity Building Programmes

**Lea Große Vorholt** Project Manager Capacity Building Programmes & Social Media Expert

**Lisa Szeponik** Project Manager "Young Leaders for Sustainability"

**Lulekwa Gqiba** Project Manager South Africa

**Nizar Thabti** Communications manager

**Patricia Scannapieco** Senior Project Manager ENTIRE project

**Regina Eiblmeier** Office Manager

**Susanne Kern** Project Manager Capacity Building Programmes

## 5.2 STATE OF ORGANISATIONAL DEVELOPMENT

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Since its foundation in 2005, the Collective Leadership Institute has matured quickly. Today, the Collective Leadership Institute team consists of 14 staff members. At the General Meeting of the Members in 2011, the honorary advisory board has been elected. Parallel, Petra Kuenkel and Kristiane Schaefer were re-nominated to take over the responsibility as full-time managing directors.

The Collective Leadership Institute has a compact structure and a transparent system of communication. In August 2011, the Collective Leadership Institute joined the **Initiative Civil Society**. Initiated by the international organisation Transparency Germany many actors from civil society and public sector defined 10 specific points that non-profit organisations should allow access to for the public. These include the statute, the names of the main decision makers, source and use of funds and the personnel structure. Under a voluntary declaration of the initiative the organisations agree in publishing all the information easily accessible on the website.

Collective Leadership Institute's capacity building programmes on Stakeholder Dialogues had been developed, evaluated, continuously improved and disseminated since the very beginning. Today they are well established training courses for change agents all over the world. Starting with the first course in 2005 in Potsdam, Germany, the courses are now offered in four different languages and on four continents.

In order to contribute to overcome sustainability challenges the Collective Leadership Institute will expand its open and integrated capacity development programs and design a scaling-up strategy in 2014. Personnel and organisational development will further be a focus in our work in 2014.

## 5.3 KEY PERSONNEL

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**Petra Kuenkel** Managing Director and Chairwoman of the Board

### **Relevant experience and competence**

Petra Kuenkel is an experienced senior consultant for systemic change management and leadership, serving private companies as well as public and development cooperation institutions. She has gained extensive experience in consulting complex change processes internationally (e.g. in Germany, Ethiopia, Malawi, South Africa), in particular cross-sector partnerships, multi-stakeholder dialogues and standard development for value chains. As a faculty member of international leadership programs, she has taught leadership development courses for Multinational Companies in the US and the UK. She teaches the MIT-originating dialogic change approach as well as dialogue programs and courses on cross-sector partnering and multi-stakeholder-dialogues.

### **Management experience**

As the founder of the Collective Leadership Institute, Petra Kuenkel is the central figure for all strategic and operative aspects of the organisation.

**Specialist knowledge / Experience with target groups / Further qualifications**

Petra Kuenkel is an accredited partnership broker under the IBLF/ODI Partnership Brokers Accreditation Scheme. Publications authored by her include the practical guide 'Working with Stakeholder Dialogues' and 'Mind and Heart - Mapping Your Personal Journey Towards Leadership for Sustainability'. She writes for the Guardian Sustainable Business Leadership Hub.

**Kristiane Schaefer** Deputy Managing Director and Co-Chairwoman of the Board

**Relevant experience and competence**

Kristiane Schaefer has a focus on Leadership and Dialogue for Sustainability in cross-sector settings. She has more than 15 years of international work experience in the private sector and international organisations. Her professional expertise is on strategy and concept development, process facilitation, project management, networking and skills development for cooperation with the private sector.

**Management experience**

Kristiane Schaefer, co-founder, was instrumental in the creation and building of the Collective Leadership Institute. She initiated several strategic projects for the Collective Leadership Institute – such as '**Young Leaders for Sustainability**' - a leadership development program building a network of changemakers for a sustainable future and sets a particular focus on expanding Collective Leadership Institute's capacity building work to the West and East African countries.

**Specialist knowledge / Experience with target groups / Further qualifications**

Extensive experience in the public sector as project manager and the integration of the cooperation with the private sector (PPP – public private partnerships).

Advanced training in diverse fields e.g. systemic change consultant (eurosysteam), group dynamic training for trainers and consultants, leadership lessons (debis Academy).



#### 5.4 PARTNERSHIPS, COOPERATIONS AND NETWORKS

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One of the most important principles of sustainability is the partnering principle. It describes the necessity to act together on a basis of mutual respect and transparency. Without reliable partnerships, neither the changes necessary for sustainable development can be initiated nor can they be sustained. Partnerships are one of the three cornerstones of our integrated approach to sustainability at the Collective Leadership Institute – therefore we are making them an integral part of our own work.

It is our objective to facilitate the exchange of the experiences on sustainable development and bring together highly motivated persons in order to build a network and develop our thoughts, concepts and ideas together.

##### ***Our partners and networks are:***

Arab Countries Water Utilities Association (ACWUA)

Arab Network for Environment & Development (RAED)

Ashoka gGmbH

BMW Foundation Herbert Quandt

Cologne Business School

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

Druckerei Steffen

Eberswalde University for Sustainable Development (HNE)

ENGAGEMENT GLOBAL gGmbH  
Federal Ministry for Economic Cooperation and Development (BMZ)

Forum CSR

German Association for Environmental Management (B.A.U.M. e.V.)

German Water Partnership (GWP) e.V.

Institute for Advanced Sustainability Studies (IASS) e.V.  
iq consult

memo AG

Rat für Nachhaltige Entwicklung (RNE)

Simon Vetter Stand Out International Inc.

Smart Energy for Europe Platform (SEFEP)

Think-cell

Transparency International Deutschland e.V.

UN Global Compact

Verbund Entwicklungspolitischer Nichtregierungsorganisationen Brandenburgs (VENROB e.V)

## 6. PROFILES OF THE ORGANISATIONS INVOLVED

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### 6.1 ORGANISATIONAL PROFILE

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Collective Leadership Institute e.V.

#### **Location**

Headquarter: Potsdam, Germany

Regional Office: Cape Town, South Africa

#### **Legal form**

Non-profit organisation / e.V. (eingetragener Verein)

#### **Contact details**

Collective Leadership Institute e.V.

Eisenhartstraße 2

14469 Potsdam

Germany

Phone: + 49 (0) 331 58 16 59 6-0

Fax: +49 (0) 331 58 16 59 6-22

germany@collectiveleadership.com

www.collectiveleadership.com

Collective Leadership Institute (NPC)

Postal: P.O. Box 36250, Glosderry, 7702

Cape Town

Residential: 52/54 Francis Street, Woodstock  
7915

Phone: +27 (0) 21 462 3902

Fax: +27 (0) 21 462 3918

southafrica@collectiveleadership.com

#### **Foundation**

The Collective Leadership was founded in 2005 by Petra Kuenkel and Kristiane Schaefer

#### **Succession policy**

None

#### **Link to articles**

<http://www.collectiveleadership.de/apex/cli/about-us/transparency/>



**Commercial register**

Vereinsregister Potsdam, VR 7404 P from 08th June 2009

**Non-profit organisation**

The Collective Leadership Institute e. V. , with its promotion for the 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 recognised as a nonprofit organisation.

The corporation Collective Leadership Institute e. V. 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 authorised to issue receipts confirming donations according to the officially prescribed form (§ 50 clause 1 EStDV) for donations which are turned towards the purposes mentioned above.

**Tax statement**

Tax statement issued by Potsdam Tax Office on 04th January 2012; Tax no. 046/142/12298

**Employee representatives**

None

NO. OF EMPLOYEES	2010	2011	2012	2013
<b>Permanent employees (year end)</b>	6	10	11	14
<b>Number of full time employees</b>	5	7	9	13
<b>Number of part time employees</b>	1	1	2	1
<b>Paid on 400 EUR basis</b>	0	2	0	0
<b>Freelancers / Associates</b>	4	5	7	10
<b>Volunteers</b>	0	0	0	0
<b>Total employees</b>	10	15	18	22
<b>Number of full time equivalents (FTEs)</b>	5,8	7,95	10,6	13,8

## 6.2 CORPORATE GOVERNANCE

### 6.2.1 MANAGEMENT BOARD

Petra Kuenkel is chairwoman of the board of the Collective Leadership Institute (CLI) e.V. and Kristiane Schaefer is deputy chairwoman. The essential tasks and functions of the management directors are governed in the management regulations.

### 6.2.2 ADVISORY BOARD AND GENERAL MEETING MEMBERS

The association's general meeting of members monitors the management and observes that their tasks are pursuant to statutory procedures. According to Collective Leadership Institute's statute the members meet every three years. The last general meeting of members was held on 13th December 2013.

An advisory board has been elected at the last general meeting.

The board members perform their duties on an honorary basis. The managing directors and the advisory board meet on a quarterly basis.

### HONORARY ADVISORY BOARD MEMBERS



Jürgen Koch



Vera Fricke



Ricardo Ikaka Mata



Frank Appenzeller



Helga Lenz



Gudrun  
Schneider-Farschid

### **6.2.3 CONFLICTS OF INTERESTS**

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

In our courses, events and meetings we strive to provide only organic and regionally produced products.

With regard to its environmental policy, the Collective Leadership Institute aims to minimise its use of natural resources, and seek to lessen its undesirable impact on the environment.

### **6.3 SHAREHOLDER STRUCTURE**

As an association, this point is not relevant.

### **6.4 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 the tasks are suitable. Private matters can be dealt with over the course of the day when necessary and in accordance with the supervisors. Employees are entitled to apply for ten days paid educational leave within a period of two years. Individual staff appraisal interviews with corresponding agreed goals take place on a regular basis. As all employees commute to the office using public transportation they receive a monthly compensation for their travel costs.

## 7. FINANCES

### 7.1 BOOKKEEPING AND ACCOUNTING

#### 7.1.1 BOOKKEEPING

We currently use the single-entry bookkeeping method.

#### 7.1.2 ANNUAL FINANCIAL STATEMENT

We compile an annual financial statement which consists of a statement of assets and liabilities and a profit and loss account. The annual financial statement is prepared internally and reviewed and finalised by the auditing and tax consulting firm ACCO GmbH, Kurfürstendamm 33, 10179 Berlin.

### 7.1.3 CONTROLLING

Collective Leadership Institute's internal controlling and reporting is based on Excel and compiled on a regular basis and is adapted to meet current demands. The board members are informed quarterly about Collective Leadership Institute's financial situation.



**7.2 STATEMENT OF ASSETS AND LIABILITIES**

ASSETS		2013	2012	2011
		€	€	€
<b>A. Fixed assets</b>	<i>I. Intangibles</i>	2.119,32	2.960,32	3.803,00
	<i>II. Tangibles</i>	12.526,23	7.852,55	9.836,00
<b>B. Current assets</b>	<i>I. Cash and bank balance</i>	453.676,87	550.430,19	279.398,39
	<i>II. Other</i>	9.570,00	7.770,00	7.770,00
<b>Total Assets</b>		477.892,42	569.013,06	300.807,39

LIABILITIES		2013	2012	2011
		€	€	€
<b>A. Retained earnings</b>	<i>I. Ideational area</i>	64.119,77	42.556,77	32.197,67
	<i>II. Interest</i>	6.711,35	4.745,27	3.344,83
	<i>III. Educational area</i>	424.587,14	275.842,16	212.041,81
	<i>IV. Consultancy area</i>	73.594,80	22.336,81	10.674,42
<b>B. Annual result</b>		91.120,64	268.205,67	42.548,66
<b>C. Other liabilities</b>		0,00	0,00	0,00
<b>Total Liabilities</b>		477.892,42	569.013,06	300.807,39

## 7.3 INCOME AND EXPENSES

INCOME	2013	2012	2011
	€	€	€
<b>A. Income ideational area</b>	18.865,02	21.563,00	13.029,10
<b>B. Interest income</b>	1.548,85	1.966,08	1.572,42
<b>C. Income educational area</b>	674.048,22	707.581,07	503.235,76
<b>D. Income consultancy area</b>	462.571,59	407.948,25	313.842,57
<b>Total Income</b>	1.157.033,68	1.139.058,40	831.679,85

EXPENSES	2013	2012	2011
	€	€	€
<b>A. Personnel costs</b>	614.388,21	479.175,25	326.688,40
<b>B. Honorarium</b>	213.268,17	81.722,27	152.368,97
<b>C. Travel costs</b>	115.749,82	90.227,64	108.648,12
<b>D. Course costs</b>	56.766,63	53.048,10	36.931,97
<b>E. Facility cost</b>	44.832,30	37.538,06	31.883,20
<b>F. Administrative cost</b>	75.195,33	37.800,34	32.849,87
<b>G. Marketing cost</b>	6.455,51	52.474,51	25.887,23
<b>H. Depreciation</b>	6.471,77	5.808,14	4.629,55

<i>EXPENSES (cont.)</i>	<i>2013</i>	<i>2012</i>	<i>2011</i>
	€	€	€
<b><i>I. Tax</i></b>	78.680,20	32.075,00	65.653,64
<b><i>J. Other expenses</i></b>	67,00	31,99	2.471,41
<b><i>K. Incidental monetary transaction</i></b>	1.431,15	951,43	1.118,83
<b><i>Total Expenses</i></b>	1.248.154,32	870.852,73	789.131,19
<b><i>Annual result</i></b>	<b>- 91.120,64</b>	<b>268.205,67</b>	<b>42.548,66</b>

## 7.4 MANAGEMENT REPORT

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In 2013 the Collective Leadership Institute broke through the one million mark in turnover for the second time.

Our activities are primarily self-financed. Income is mainly generated by means of course fees for our various capacity building programs (open courses, tailor-made courses and YLS – see 2.3.4) and process support services. Only to a minor extent the Collective Leadership Institute was financed through donations, grants and membership fees in 2013.

The Collective Leadership Institute can report a sound financial situation. Direct project costs, personnel and other operational costs are financed through the income streams described above. Funding has been granted by ENGAGEMENT GLOBAL GmbH for our leadership program ***Young Leaders for Sustainability***. Until the end of 2013, the Collective Leadership Institute received initial public financing by the Federal Ministry of Economic Cooperation and Development (BMZ) for the development of the online-platform ***Stakeholderdialogues.net***. Its implementation work spans between 2012 and 2013 and the last funding instalments have been paid in the 3rd and 4th quarter 2013. Funding has been granted from the European Union for the Collective Leadership Institute's ENTIRE project.

It is our goal to increase funding from general government budgets including other public financing sources for other projects in 2014.





**STAKEHOLDER  
DIALOGUES.NET**

[www.stakeholderdialogues.net](http://www.stakeholderdialogues.net)



**Young Leaders  
for Sustainability**

[www.youngleadersforsustainability.de](http://www.youngleadersforsustainability.de)



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