



PARTNERSHIP FOR TRANSPARENCY FUND
supporting citizens against corruption



Supporting Citizens to Fight Corruption

PTF e.V. Annual Report 2016

24 March 2017

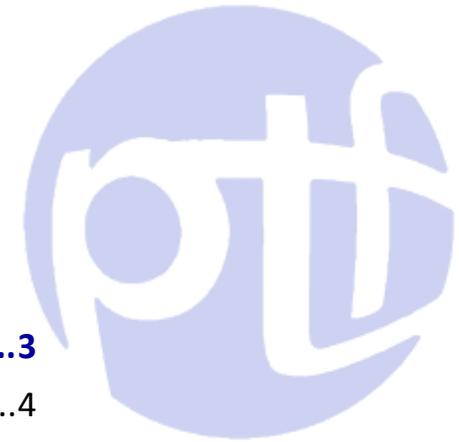


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Message from the PTF e.V. Chairperson

I am pleased to present the third annual report of PTF e.V.

2016 was a very active year for PTF e.V., building up on its achievements during its first two years of existence. Once again, we benefitted from the generous financial as well as advisory support from its PTF parent association in Washington DC.

Under the leadership of HELVETAS, a leading Swiss CSO, PTF e.V. was awarded an EU contract for a program in Myanmar “Promoting Equitable and Accountable Civic Engagement” (PEACE). Also, PTF e.V. continued to provide support to CSOs in some of the Eastern Partnership countries in the context of an EU funded “Partners in Empowerment (PiE)” program.

Throughout the year, we made further efforts to present ourselves and our agenda to partner as well as potential funding institutions such as the European Union, the European Investment Bank, and the European Bank for Reconstruction and Development.

Since our start, PTF e.V. has gradually increased its membership – including former senior World Bank advisors, CSO representatives, and young professionals who focus their career on governance and anti-corruption issues. The members are the “heart” of PTF e.V. They assist PTF e.V. to further promote its mission statement, provide advice to partners as well as introducing innovative citizen-led approaches to fight corruption.

We are confident that we can foster the PTF agenda even more in 2017.

Franz Kaps
PTF e.V. Chairperson





Message from the PTF President in Washington DC

The Partnership Fund for Transparency (PTF), PTF e.V.'s Washington DC based partner association, has followed with great interest the evolution of PTF e.V. during 2016, both in terms of further diversifying its membership and establishing partnerships with like minded CSOs. To this end, PTF was happy to provide grant support to PTF e.V. to cover its outreach efforts and administrative cost.

PTF was particularly pleased to see PTF e.V. join hands with HELVETAS and the Myanmar Local Resource Center (LRC) on a major EU funded initiative in Myanmar, designed to promote effective and accountable civil engagement in the implementation of government development program. PTF is proud to be working closely with PTF e.V. and to provide the needed technical support to ensure the success of this exciting program.

The Myanmar project is also reflective of the major progress PTF e.V. has made in building relationships with key European development institutions such as the European Commission (EC), EIB, EBRD and GIZ. Not only are these alliances helping to build PTF e.V.'s global presence, but they are critical to the long term success of the PTF family, as we seek to expand to embark on other new initiatives in Eastern Europe as well as in Africa and Asia.

Over the next year we look forward to the continued success of PTF e.V. and the further deepening of our mutual support in promoting, designing and implementing our respective operations.

Richard Stern
President and CEO of PTF





Why we joined PTF e.V.

Janina Berg | PTF e.V. Advisor



Upon Franz Kaps' invitation, I was delighted to join the European affiliate of the Partnership for Transparency Fund (PTF e.V.) as a member and EU advisor in August 2017 - a natural match considering PTF's mission and my many years of professional anti-corruption, good governance and rule of law experience at the EU-level.

PTF e.V. carries a great potential to expand its presence and activities in the EU capital mobilizing its excellent network of experts in support of CSOs in and beyond the EU. Strengthening its cooperation and partnership with the EU hub through strategic advocacy and a reinforced, locally present and more permanent outreach team will help profile the overall organization and its visibility in the EU capital even further.

In this regard, I am glad to support PTF's goals by assisting in the partnership-brokering, communications and advocacy vis-à-vis the EU institutions (and other relevant European stakeholders), while simultaneously developing and disseminating 'knowledge' that assists CSOs, research and EU public policy in anti-corruption, good governance and the rule of law.



Our Foundation

In 2013, the Washington DC based Partnership for Transparency Fund (PTF) decided to support the establishment of an affiliate organization in Europe in order to

- attract new members across Europe,
- engage in European anti-corruption networks,
- develop new partnerships with like-minded civil society organizations, and
- attract grants by participating in calls for proposal, especially from European Union institutions.

The Partnership for Transparency Fund “eingetragener Verein” (PTF e.V.) constituted itself in October 2013 in Munich, Germany. It registered as not-for-profit association under German corporate law in January 2014 with the Munich registry court.

PTF e.V. relies for the time being essentially upon the support of its “parent organization”, the Partnership for Transparency Fund in Washington DC. As a result of an amendment of the by-laws in December 2015, PTF e.V. introduced an annual membership fee of € 25.

PTF and PTF e.V. understand themselves as pioneering and innovative associations mobilizing expertise and resources to

- help improve governance, increase transparency and reduce corruption in developing as well as emerging countries.
- provide advice and join likeminded CSOs in respective proposals for funding in support of programs.



PTF, the Parent Organization

The Partnership for Transparency Fund (PTF) is a Washington DC-based CSO that was founded in 2000. PTF founders included some of the original founders of Transparency International (TI). Besides PTF e.V., additional affiliates exist in the Philippines and India and another is about to be set up in Africa.

Over the last 17 years, PTF has been active in 66 countries, and provided over USD 5.5 million through more than 260 small grants to projects developed and implemented by 162 partner CSOs across the world. Over 70 skilled advisors assist in the implementation of PTF supported projects all over the world. A number of these grants have been to countries in Eastern and Southeast Europe.

The goal of PTF is to pilot and scale-up innovative approaches and tools that are designed to reduce corruption and improve governance as well as contribute to the rule of law. Throughout the project cycle PTF draws lessons from these experiences and shares the resulting knowledge widely to advance a culture of transparency around the world.

In 2016, PTF was engaged in the following major initiatives:

- Promoting Equitable, Accountable, Civic Engagement in Myanmar (PEACE)
- **The Barry Metzger Rule-of-Law Initiative in the Balkans**
- **Global Partnership for Social Accountability (GPSA) Program Knowledge & Learning in the Philippines and Mongolia**
- **Supporting CSOs to Monitor e-Procurement in Ukraine**
- **Operationalizing Multilateral Development Bank (MBD) Engagement with Civil Society**
- **Monitoring Health Service Delivery through the Citizen Action Platform (CAP) in Uganda**

For further information on PTF, see: ptfund.org



Our Vision, Mission and Approach

Our Vision | PTF e.V. envisions societies where citizens succeed in making their government free of corruption and where good governance and rule of law are practiced by public authorities.

Our Mission | PTF e.V. aims at advancing innovative citizen-led approaches to improve governance, increase transparency, promote the rule of law and reduce corruption in developing and emerging countries.

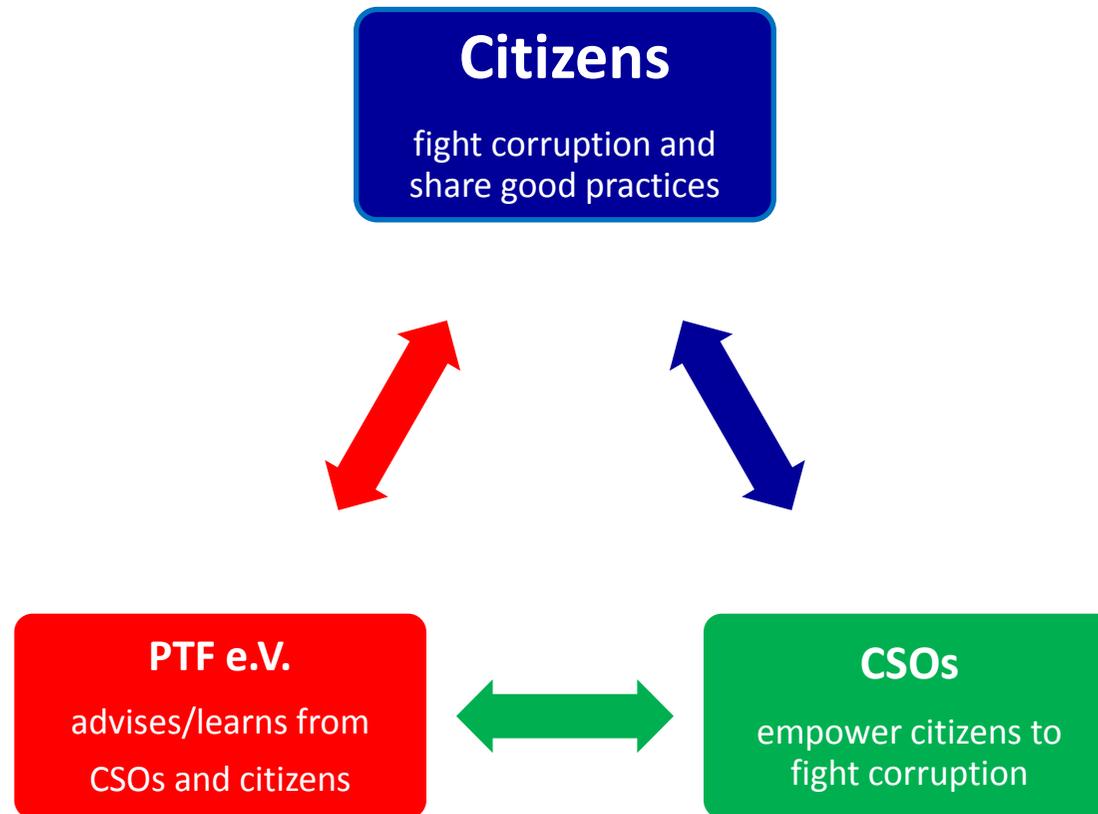
Our Approach | Our approach focuses on incubating innovative good governance initiatives of civil society organizations. We validate selected ideas, scale-up successful approaches for wide-spread replication, and disseminate results and lessons learned from our experience. In addition to general program oversight, we support civil society organizations to successfully implement grants- and donor-funded programs and related technical assistance in the design, implementation and monitoring of respective anti-corruption, rule of law and good governance programs and projects.



Membership meeting in December 2015



Our Theory of Change





Our Input

What resources we put into our activities

Financial input | In 2016, PTF e.V. continued to receive small grants from its PTF parent organization in a total amount of € 11,000. This seed money allowed PTF e.V. to “get into business”, to establish partnerships with like-minded CSOs and to prepare itself to respond to respective international calls for proposal.

Human resources input |

Strategical Input | PTF e.V. members advise in which direction PTF e.V. could go; design a strategy and establish respective contacts with European Commission and other European Union institutions representatives to identify potential EU funding opportunities; translate successful PTF projects, such as CARTA, for application in other regions.

Professional Input | PTF e.V. members provide professional input on operational issues (e.g. screening for funding opportunities, drafting calls for support), on ongoing programs (supporting the “Partners in Empowerment” as well as the “Promoting Equitable and Accountable Civil Society in Myanmar” Programs) and on thematic matters (e.g. by developing a concept note on PTF support to provide CSO capacity building in monitoring public procurement).

Technical Input | PTF maintained the PTF e.V. sub-website ptfund.org/ev and communication plan.



Our Output

What we achieved through our activities in 2016

Networking/liaising with anti-corruption actors | We successfully maintained relations with the following organizations:

- Transparency International Secretariat (TI-S)
- Policy Organization for an Open Society (PASOS)
- European Citizen Action Service (ECAS)
- Eastern Partnership Civil Society Forum (EAP-CSF)
- Gesellschaft für Internationale Zusammenarbeit (giz) Offices
- The Serbian Lawyers' Committee for Human Rights (YUCOM)

Reaching out for grants | In 2016, PTF e.V. collaborated with the following organizations in order to seek funding for mutually supported programs:

- with YUCOM, the Serbian Lawyers Committee for Human Rights, and the European Citizen Action Service (ECAS), for a Western Balkans Rule of Law (REG ReVIEW 23) network, aimed to address corruption issues at the judiciary level, which have been identified by the European Commission in the context of EU accession negotiations
- with TI-S and a number of national TI chapters in the context of a DGRegio funded “Integrity Pact” (IP) Pilot Program, designed to assist CSOs in a number of EU member countries to monitor public tendering processes for major projects funded under EU structural funds



Our Output

What we achieved through our activities in 2016

Winning grants | We were successful in winning a second EU-grant:

Promoting Equitable, Accountable Civic Engagement in Myanmar (PEACE) | Together with HELVETAS/Myanmar (the lead partner) and Myanmar Local Resource Center (LRC) PTF e.V. won a grant to implement the Program “Promoting Equitable, Accountable Civic Engagement in Myanmar (PEACE)”.

The program aims at increasing local Civil Society Organizations’ participation and influence in the planning, implementation and review of development projects, in services delivery and in policies at national and sub-national levels for more inclusive and equitable development in Myanmar.

Continuing implementing grants | In 2016, PTF e.V. continued the following program:

Partners in Empowerment | In 2015, PASOS together with PTF e.V. and five local CSOs as co-applicants and partners was awarded a EU-funded project, entitled, "Partners in Empowerment" (PiE), focusing on Armenia, Azerbaijan, Belarus, Moldova, and Ukraine.

The objective of the program is to support the development of stronger, interconnected CSOs, and to draw on peer and international expertise to hold governments accountable by monitoring public service delivery and government decisions.

In 2016, PTF e.V. assisted in the selection of grants; PASOS had received 119 applications; 13 won sub-grants. PTF e.V. played a decisive role in the further development of the projects, by providing advice on good practices in budget and procurement monitoring. PTF e.V. commented on interim reports of the grantees, and provided input to a webinar on procurement monitoring in Moldova.



Our Outcomes

The changes and benefits that result from our activities in 2016

Strategic plan elaborated | The members of PTF e.V. have jointly worked on current projects and developed new ones. One membership meeting took place in Munich in May 2016 that also aimed at consolidating current goals and planning projects for 2016 and beyond.

Continued to build up track record | Experience gained under the Partners in Empowerment and the PEACE Programs are laying the foundation for establishing PTF e.V.'s track record which is constantly expanded through PTF e.V. engagement in additional activities and programs.

Integrated in an outstanding anticorruption network | PTF and PTF e.V. are increasingly presenting themselves as being part of the “one PTF family” which is guided by the PTF/PTF e.V. mission statement and the Memorandum of Understanding between them. Also, in May 2014, PTF e.V./PTF and Transparency International (TI-S) concluded a Memorandum of Understanding, considering themselves as complementary actors in the anti-corruption field.



Our Outcomes

The changes and benefits that result from our activities in 2016

New members recruited | We pro-actively recruited several outstanding anticorruption experts for PTF e.V., resulting in our growth from 30 to 40 members by the end of 2016.

Visibility increased | PTF e.V., with the permanent support of its parent organization PTF, has begun to establish its reputation as credible CSO engaged in anti-corruption, good governance and rule of law programs in the wider EU region.

The PTF e.V. chairperson and advisors participated in conferences and meetings with various representatives of the European Commission (EC), and European Investment Bank (EIB). PTF e.V. has also established new links with likeminded CSO networks such as the Serbian Lawyers' Committee for Human Rights (YUCOM).

PTF e.V. has produced an image film that gives impressions of the March 2015 annual meeting including extended interviews, which are also relevant for PTF e.V.'s current and future activities. The film can be watched on YouTube (www.youtube.com/watch?v=V1W_rFN2NfM).



Our Plans for 2017 and beyond

Subcontracts and grants won | PTF e.V., with the support of PTF, aims at winning (sub)-contracts and grants from the EU and other European donors, and actively participate in anti-corruption projects.

Membership qualified and increased | PTF e.V. intends to maintain a stable core team while recruiting new and diverse members with skills relevant to our agenda.

Networks deepened | PTF e.V. continues to promote cooperation with existing anti-corruption network partners and identify further such partnerships. It hopes to further the PTF “Barry Metzger Rule of Law” program that aims at establishing a network of like-minded NGOs in the Balkans. The key focus of the program will be the Western Balkan countries’ compliance with chapter 23 – Judiciary and Fundamental Rights – during the EU accession negotiations.

CSOs supported | PTF e.V. continues building up the capacities and competences of partner CSOs as it does within the “Partners in Empowerment” program for a number of Eastern Partnership countries and the PEACE Program in Myanmar.

Good practices promoted | PTF e.V. aims to build upon the experience gained under the “Partners in Empowerment” and PEACE programs to further improve its performance in future programs under consideration.



Our Members

40 experts from different backgrounds





Our Organizational Structure

Governing Structure | PTF e.V. has a volunteer board of five board members under the chairmanship of Franz Kaps, a former World Bank official residing in Munich.

Membership | By the end of 2016, it had a membership of about 40, mixing former World Bank staff, CSO representatives and younger members with substantial background in governance, compliance and anti-corruption matters around the world.





Our Core Team

Franz Kaps | PTF e.V. Chairperson

Franz retired from the World Bank in May 2007 as a Special Representative for Southeast Europe, co-manager of Joint European Commission-World Bank Office for Southeast Europe, and the Europe and Central Asia Region Senior Partnership Adviser. Prior his posts in European divisions, Franz held several senior assignments in the World Bank's Africa Region, including serving as Resident Representative in Dakar Senegal, as well as operational assignments in Central America, Egypt and Yugoslavia.

Lars Jeurling | PTF e.V. Deputy Chairperson

Lars Jeurling has been an adviser to the Partnership for Transparency Fund since 2004 working mostly on Eastern Europe and the Former Soviet Union. Lars worked for nearly 30 years at the World Bank in different positions and in different parts of the world, such as Latin America Indonesia and, since 1991, in the former Soviet Union. After retiring from the World Bank in year 2000 Lars has been a private equity investor and entrepreneur and established a small fund in 2014 to match individual contributions to PTF. Lars holds an MBA from the Stockholm School of Economics and a MA in Development Economics from the Fletcher School of Law and Economics.

Matthias Einmahl | PTF e.V. Treasurer

Matthias Einmahl is currently teaching as a Professor for public procurement and civil law at the University for Public Administration for the state of North Rhine-Westphalia in Cologne. Before that he worked as a Judge at the Court for the city and county of Halle/Saale. Matthias studied Law at the Universities of Freiburg and Konstanz in Germany and holds a PhD awarded from the University of Hamburg.



Our Core Team

Hady Fink | PTF e.V. Advisor

Hady is a German national, currently working as Manager of Research and Programs for the Anti- Corruption Authority of the State of Qatar. He has over 10 years of experience in corruption related matters. Hady holds a PhD (Dr. phil.) in Intercultural Studies and Masters degrees in Economics (Diplom-Volkswirt) and Intercultural Studies (Diplom-Kulturwirt), all from University of Passau.

Mariette VanBeek | PTF e.V. Advisor

After law studies in the Netherlands, England and the USA, Mariette van Beek has worked as a lawyer, later as a procurement advisor in numerous countries. She has over thirty years of experience in laws of countries in transition, program design, procurement systems operation, project implementation and contract audit. Mariette joined PTF e.V. in 2014, among other, as a procurement specialist.

Marie-Carin von Gumpfenberg | PTF e.V. Advisor

Marie-Carin is a Council of Europe expert on elections. She holds a PhD in political sciences and is a certified compliance officer. For 10 years she worked for the Organization for Security and Co-operation in Europe (OSCE) with duty stations in Kyrgyzstan, Uzbekistan, Georgia and the Former Yugoslav Republic of Macedonia. Marie-Carin has published several books on Central Asia and the Caucasus.



Our Finances

Overview

Revenues | In 2016, PFT e.V. received the bulk of its revenues from a PTF grant as well as € 575 from the PTF e.V. membership fee. These funds are administered under the PTF e.V. “basic account”. Under “separate accounts”, PTF e.V. received instalments from the leaders of consortia who successfully bid for EU funded programs, namely for the “Partners in Empowerment” and the PEACE programs. These funds are administered separately for book keeping and audit reasons.

Expenditures | Roughly 2/3 of 2016 expenditures were dedicated to project and project developed activities and roughly 1/3 to administrative cost, including for book keeping and tax advisory services. For the year 2017, this ratio is expected to change with most of the money spent for project activities.

Basic account 00

Revenues	Expenditures	Balance
€ 11,600.00	€ 9.700,00	€ 1.900,00



Our Finances

Separate Accounts

- (i) The “Partners in Empowerment” Program |** In 2016, PTF e.V., as a co-applicant of a EU funded program, received revenues from the lead agency PASOS within the scope of the “Partners in Empowerment” Program. Of those revenues 97.7% were spent for advisory services by a PTF e.V. advisor who, on the basis of agreed upon terms of reference, concluded a consultant contract with PTF e.V.

Account 01

Revenues	Expenditures	Balance
6,987.00€	3,477.90 €	3,509.10 €

- (ii) The “Promoting Equitable, Accountable Civic Engagement in Myanmar (PEACE)” Program |** In 2016, PTF e.V., as a co-applicant of the EU funded PEACE program, received a first instalment from the lead agency HELVETAS. Except, for minor bank charges, the entire amount had been used to cover advisory services by PTF e.V. advisors in accordance with the terms of reference and on the basis of individual consultant contracts concluded with PTF e.V.

Account 02

Revenues	Expenditures	Balance
27,282.75 €	22,850.66 €	4,432.09€



Our Finances

(iii) The “Promoting Equitable, Accountable Civic Engagement in Myanmar (PEACE)” Program | Given that PTF e.V. is committed to provide substantial counterpart funding under PEACE, PTF headquarters transferred a first installment of € 9,928.90 to PTF e.V. to cover these counterpart funds. Here, too, except for minor bank charges, the entire amount had been used to cover advisory services by PTF e.V. advisors in accordance with the terms of reference and on the basis of individual consultant contracts concluded with PTF e.V.

Account 03

Revenues	Expenditures	Balance
9,928.90 €	6,131.35 €	3,797.55 €

Advisors’ Donations

Most PTF e.V. advisors have committed themselves to donate their fees to PTF as part of the annual World Bank supported Community Connection Campaign. Under said program, the World Bank matches such donations dollar for dollar. Other PTF advisors donate fees under programs funded by other donors. Together with direct donations to PTF by members and friends, PTF managed to generate about USD 250,000 in early 2017. This makes it possible for PTF to provide, among other, the annual grants to PTF e.V. as well as to come up with the required co-funding needs for PEACE and other EU funded programs.



Our Partnerships



**TRANSPARENCY
INTERNATIONAL**

Transparency International-Secretariat (TI-S) | In 2014, PTF and PTF e.V. signed a Memorandum of Understanding with Transparency International-Secretariat outlining the areas of collaboration (technical assistance for projects, project evaluations, policy advice and the joint preparation of grant proposals to development partners).



Policy Association for an Open Society

Policy Association for an Open Society (PASOS) | PASOS aims to promote and protect democracy, human rights and open society values – including the rule of law, good governance, and economic and social development – by supporting CSOs that individually and jointly foster public participation in public policy issues. In 2015, PTF e.V. won an EU-grant with PASOS as leading applicant.



HELVETAS

MYANMAR

HELVETAS | is one of the leading Swiss CSOs which was founded in 1955; it has over 60 years of experience in international cooperation. In 2013, it started working in Myanmar, focusing mainly on the livelihoods sector, addressing challenges related to improving on and off farm productivity, skills development, employment, and income options for rural people, with special attention given to disadvantaged, at risk and vulnerable groups. In 2016, PTF e.V. won an EU-grant with Helvetas as leading applicant.



Support Us

Donate your time | Are you interested in contributing to PTF e.V. as a member? Are you looking for ways how to contribute to transparency, improved governance and reduced corruption? Do you want to join an innovative, growing, member-driven organization? Then donate your time to PTF e.V.! We are looking for support in one of the following areas:

- Anti-corruption
- Networking
- Fund raising activities
- Project design, implementation and monitoring
- Project/program evaluation

Donate funding | Your contribution for PTF e.V. can be a first step of your commitment against corruption. You may make a single or a regular donation or by topics/countries. Donations can be set off against tax liability.

Any questions on PTF e.V.'s activities? | Feel free contact our chairperson Franz Kaps at +49-171-1403184 or fkaps@ptfund.org



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