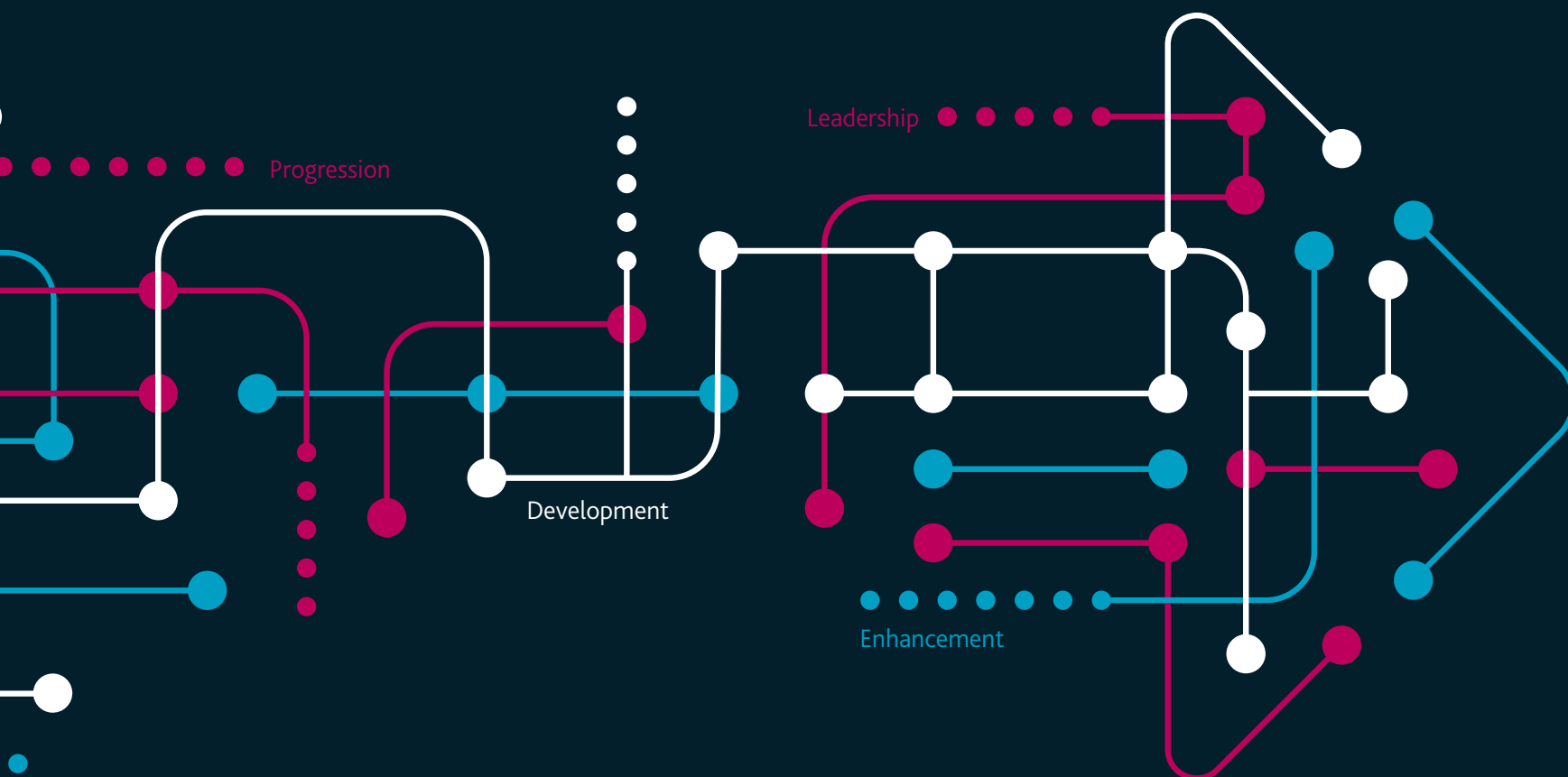


EXCELLING AS CHIEF OFFICERS

A Framework for Leadership
Excellence in the 3rd Sector





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1. ABOUT CO3

CO3 is the leading representative body for the leaders of the Community & Voluntary sector all over Northern Ireland. We work to increase skills, capacity and the visibility of the third sector through a collaborative model that creates a space for information sharing, training, development and support.

CO3 has 760 members comprising chief executives, senior managers, chairs and trustees of community and voluntary organisations. We connect and convene members and decision makers together to learn and share from one another through a range of forums, events and networking opportunities.

Established in 1985, CO3 has a long history of supporting, developing and representing the leaders of Northern Ireland' charities, community organisations and social enterprises.

What do we mean by Third Sector?

The Third Sector in Northern Ireland includes community and voluntary groups, charities, foundations and social enterprises, each operating as not-for profit organisations.

What we mean by a Chief Officer?

We use the term Chief Officer throughout the Framework. A Chief Officer is a Chief Executive, National Director, or Regional Director of a Third Sector organisation.

OUR VISION

...what success looks like

'a fair and connected society with a vibrant, valued third sector, led by influential leaders, delivering outstanding impact.'

OUR MISSION

...we will achieve our vision by

'Developing inspirational, innovative and highly skilled third sector leaders.'

OUR VALUES



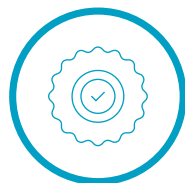
Courage



Empowering Leadership



Unity



Quality



Social Justice



Integrity

2. INTRODUCTION

What does a high performing Chief Officer in the Third Sector need to know, do and be for their organisation to achieve its purpose now and into the future?

In 2011, CO3 published 'Excelling as Chief Officers – A Framework for Leadership Excellence in the Third Sector'. The framework was developed through a process of research, questionnaires, and focus groups with Chief Officers from a wide range of third sector organisations. It was intended as a resource to be used for role clarification, role specification, leadership development and career succession. As Chief Officers lead their organisations post-pandemic and through a new decade with new challenges, it is timely to take stock and ask again, 'What are the leadership competences that are core to delivering excellent results as a Third Sector leader?'

In 2023, the Framework has been revisited and refreshed with the assistance of a small group of Chief Officers. Those involved have confirmed the ongoing usefulness of the Framework subject to some changes in emphasis that recognise new strategic challenges and opportunities.

The refreshed framework describes a set of competences for inspirational leadership in the Third Sector. It is about excelling and not just getting by. It has taken account of a range of other national and international frameworks, whilst ensuring that the competences identified are specific to the current and anticipated challenges of third sector Chief Officer roles in Northern Ireland. The framework sets the standard for excellent leadership in the sector and is underpinned by third sector values.

The roles of Chief Officers can vary in emphasis dependent on the scope, scale and particular context of their organisation. This Framework serves as a standard for excellence: standards for leadership to which any Chief Officer in the Third Sector should be aspiring. It is not intended as a template for a superhuman Chief Officer who can do it all.

The emphasis given to competences within the framework will vary by organisation, its context and specific priorities for change. Development priorities will also depend on an individual's experience and length of time in a post. That is, the development of a newly appointed Chief Officer will differ from someone who has longer experience in the role. The framework can in all situations be a useful starting point.

The framework is informed by underpinning principles; namely, it is built on the values of the third sector and is focussed on delivering impact. That impact is in pursuit of the CO3 vision for

'a fair and connected society with a vibrant, valued third sector, led by influential leaders, delivering outstanding impact'¹.

There is a strong link with other pieces of CO3 work:

- Valuing Our Sector, The Report, September 2022
- CO3 Guide to Great Governance, Roger Courtney, 2nd edition, 2022

¹CO3 Strategic Plan, 2022 - 2025



3.

PURPOSES



The framework can be used for a range of purposes including:

IDENTIFYING THE BEST PERSON FOR THE CHIEF OFFICER ROLE

Assisting Boards in specifying the role, assessing potential candidates, and recruiting the best possible person for a Chief Officer position.

UNDERSTANDING THE ROLE

A basis for role clarification, refreshing emphasis and building a common understanding of the role.

APPRAISING PERFORMANCE

An aid to review of individual capability and performance, as well as a resource for 360 appraisals.

DEVELOPING AS A LEADER

A framework for identifying ongoing areas for individual leadership development, as well as a basis for the design and delivery of third sector leadership programmes. A useful resource for those mentoring third sector leaders.

BOARD DEVELOPMENT

A resource for the personal and group development of Board members, an aid to Board member succession planning and in the clarification of roles between Board members and senior officers.

ENABLING LEADERS OF THE FUTURE

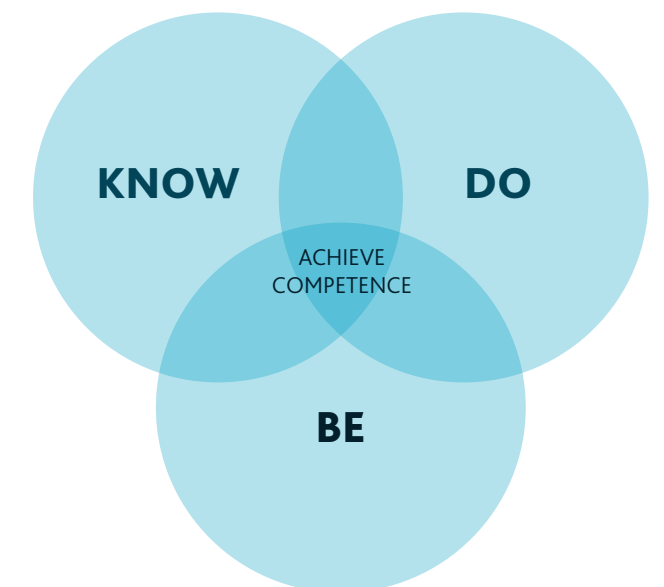
A development framework for succession planning within an organisation or across third sector organisations.

4.

COMPETENCE AND COMPETENCY

So what do we mean by competence within this framework? In recent years there has been much confusion over the definition and use of the terms competence, competency, competencies and competences. This results from the different origins and uses of the terms. In 1982 Boyatzis² wrote a book which significantly influenced thinking about Competency: 'The Competent Manager' described nine competencies (see Appendix One). In the book competency and competencies are behaviours which underpin effective performance in a role. However with the move towards the development of National Occupational Standards in the UK and elsewhere, a broader definition came to be used. This considered not just the behaviours, but the underpinning knowledge and skills required, the attitudes accompanying behaviour and importantly the outcomes to be expected. In this Framework for Leadership Excellence in the Third sector we use the broader definition of the terms, and consequently refer to competence and competences. How an individual behaves reflects their values. This framework is underpinned by the values of the third sector. Those values are embedded in our various organisations and include a strong commitment to purpose, a belief in collective action, empowering people and making a positive difference in people's lives. The behaviours described are those values in action.

WHAT SHOULD CHIEF OFFICERS...



Competence is a combination of knowledge, skills and behaviour which together enable an individual to perform a job well, achieving the best outcomes.

Competence combines inputs, process and outcome; that is, how the person applies their knowledge, skill, attitude and motivation to achieve an outcome.

5. CHALLENGES FACED BY CHIEF OFFICERS



In using the framework it is equally important to consider the context in which the Chief Officer operates. Given the complexities of the leadership environment, an individual may be competent in some situations, and not fully able to operate in others. Leaders have always faced challenges and will continue to lead their organisations through complex environments.

Our current context is one in which the cost-of-living crisis is driving up demand for services, while at the same time inflation is relatively high and the running costs of organisations are increasing. Public funding is severely constrained and other income is under threat. Smaller charities appear most vulnerable. Financial and organisational sustainability is high on the agendas of Chief Officers. The surge in demand for services driven by the Pandemic has not reduced, and the legacy of long waiting lists for health and social care, combined with staff vacancies in the public sector have had a knock on for many of our organisations.

Third sector organisations face a combination of people challenges. Organisations that retracted during the Pandemic are now competing to fill vacancies in a reduced labour market. There is also a shortage of volunteers, as those who left during the pandemic have not returned. Organisations are now seeking to design sustainable ways of working for the future including hybrid working arrangements that can meet organisation needs. Staff wellbeing, capacity and capability are all crucial to success.

The instability of devolved government has frustrated longer-term decision making³, with delays in policy decisions and in budgetary commitments.

Governance and regulation requirements have grown. Boards and Trustees must

ensure proper accountability for funds through appropriate structures, and assurance of optimum use of third sector monies. Growing requirements around fundraising, marketing, data, and communication bring increased pressures for the Chief Officer.

Within the Focus Groups, participants emphasised the need for innovation as well as efficiency and effectiveness. Whilst the pandemic brought great uncertainty and different pressures, Chief Officers reported that the lived experience of families, the impact of their services on recipients, the difference their organisation made across a whole spectrum of areas provided motivation to lead through. Entrepreneurial skills continue to be valued, as do political astuteness and strategic thinking. Whilst organisations have embraced the concept of public outcomes, leading for impact was preferred as the overall cluster definition.

In refreshing the Framework, we have also taken account of the National Occupational Standards for Management and Leadership, the Professional Skills for Government, the NHS Leadership Qualities Framework and the Association for Chief Officers of Voluntary Organisations (ACEVO) Leadership Competencies. Each of these have been developed for specific purposes.

This framework is specific to Chief Officers in the third sector in Northern Ireland. It has grown out of the context in which Chief Officers here operate and has been developed with them and for them. The framework recognises the many directions in which a leader must operate. It is a 360 perspective on the role. This perspective was prompted by reference to an article by Mintzberg⁴ written primarily around strategic thinking where he looked at the role of a leader as 'seeing' in various directions.

³ At the time of writing, the NI Assembly has been suspended since February 2022. This is the sixth period of suspension since 1998.

⁴ Strategic Thinking as Seeing, Mintzberg, H. (1991).

6. LEADERS, LEADERSHIP AND MANAGEMENT



Having considered the challenges and complexity of the environment in which third sector leaders are operating, it is clear that the nature of leadership and management also requires consideration.

The idea of a single leader at the top of an organisation structure is a limited view of leadership. The heroic leader providing direction, protection and order in all situations is an untenable view of the leader required today. This framework recognises that today's leaders operate in a shared power world and that leadership is required at all levels of an organisation. Leadership research provides a rich source for reflection and development. Situational leadership, adaptive leadership and collaborative leadership provide useful insights for development. Situational leadership⁵ notes that there is no one right leadership style – a leader's approach must match the task in question and the maturity of their staff. Placing this idea within the current context we can also say that the leader's style must take account of the context in which they are operating. Adaptive leadership⁶ provides further food for thought, emphasising the importance of the leader's ability to understand the nature of the challenges they face and the appropriateness of their approach. Collaborative leadership⁷, that is, leadership across organisation boundaries is a further area of importance for the third sector leader.

This leads us to the concept of system leadership, which recognises the skills and capacities that are required to enable, influence and support change in complex systems. This has relevance for those working with challenging societal problems requiring commitment and action from multiple stakeholders⁸. Finally, there is no leader without followers, and research into followers is a further area for reflection. Excellent leaders will prioritise their own and others development.

There is also a distinction to be made between leadership and management. Kotter⁹ sees management as about planning and budgeting, organising and staffing, controlling and problem solving. Leadership on the other hand is described as establishing direction, aligning people, motivating and inspiring others. Management produces a degree of predictability, order and shorter-term results. However, effective leadership has the potential to produce meaningful change. In the third sector, leaders need to exercise effective management of their organisations.

However, without effective leadership their organisations will not thrive and may not survive.

Excellent leaders will not get it right on every occasion. Regardless of the individual, the context makes perfect achievement impossible. Consequently, personal resilience, learning and adaptability are essential and feature within the framework.

⁵ The Situational Leader, Dr P Hersey, 1985, Warner Books

⁶ The Practice of Adaptive Leadership, Heifetz R, Grashow A, & Linsky M, 2009 Harvard Business Review Press

⁷ Collaborative Advantage, Rosabeth Moss Kanter, 1994 Harvard Business Review article

⁸ Systems Leadership for Sustainable Development: Strategies for achieving systemic change, Harvard Kennedy school

⁹ A Force for Change: How Leadership Differs from Management, John P Kotter, 1990, Free Press

7. THE FRAMEWORK

SO HOW IS THE FRAMEWORK STRUCTURED?

The framework identifies six areas/clusters. Each is a group of competences/qualities that fit together and support performance in the area. Each area supports the vision, values, and purpose of the Chief Officer's organisation. The values of the third sector underpin the whole framework.

- Leading from Within
- Leading Others
- Leading for Impact
- Leading Upwards
- Leading Outwards
- Leading Forward.

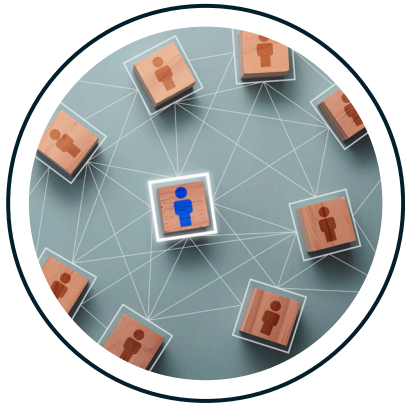
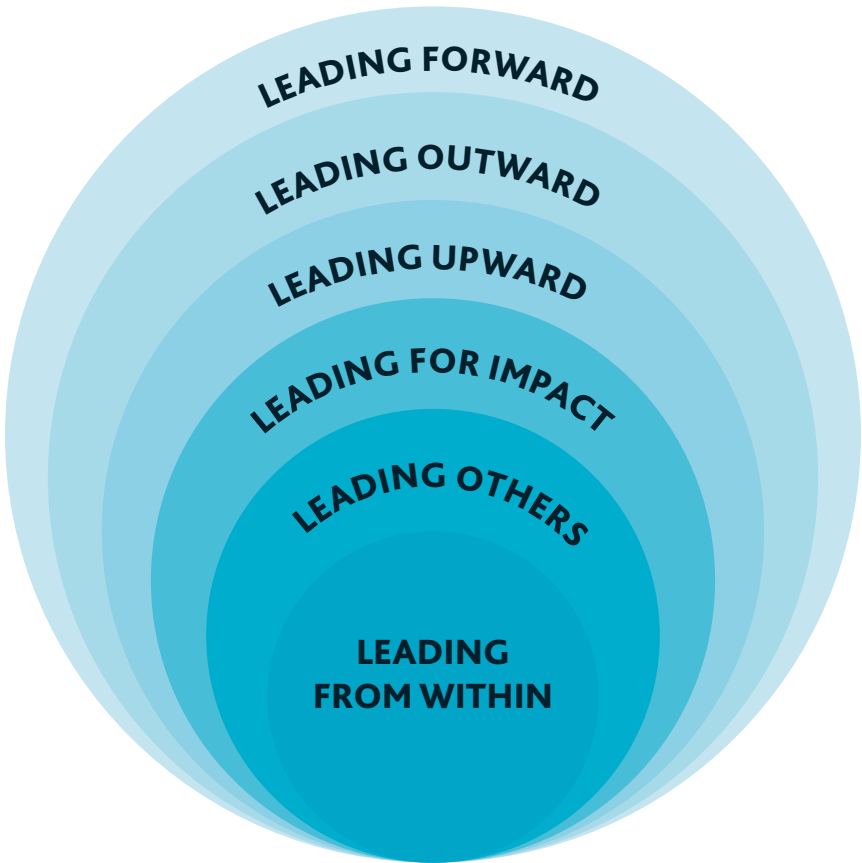


FIGURE ONE:
FRAMEWORK MODEL - LEADERSHIP EXCELLENCE IN THE THIRD SECTOR



'Leading from Within' is at the heart of the model. This is a deliberate positioning; indicating that leadership is underpinned by a core set of personal competences and values.

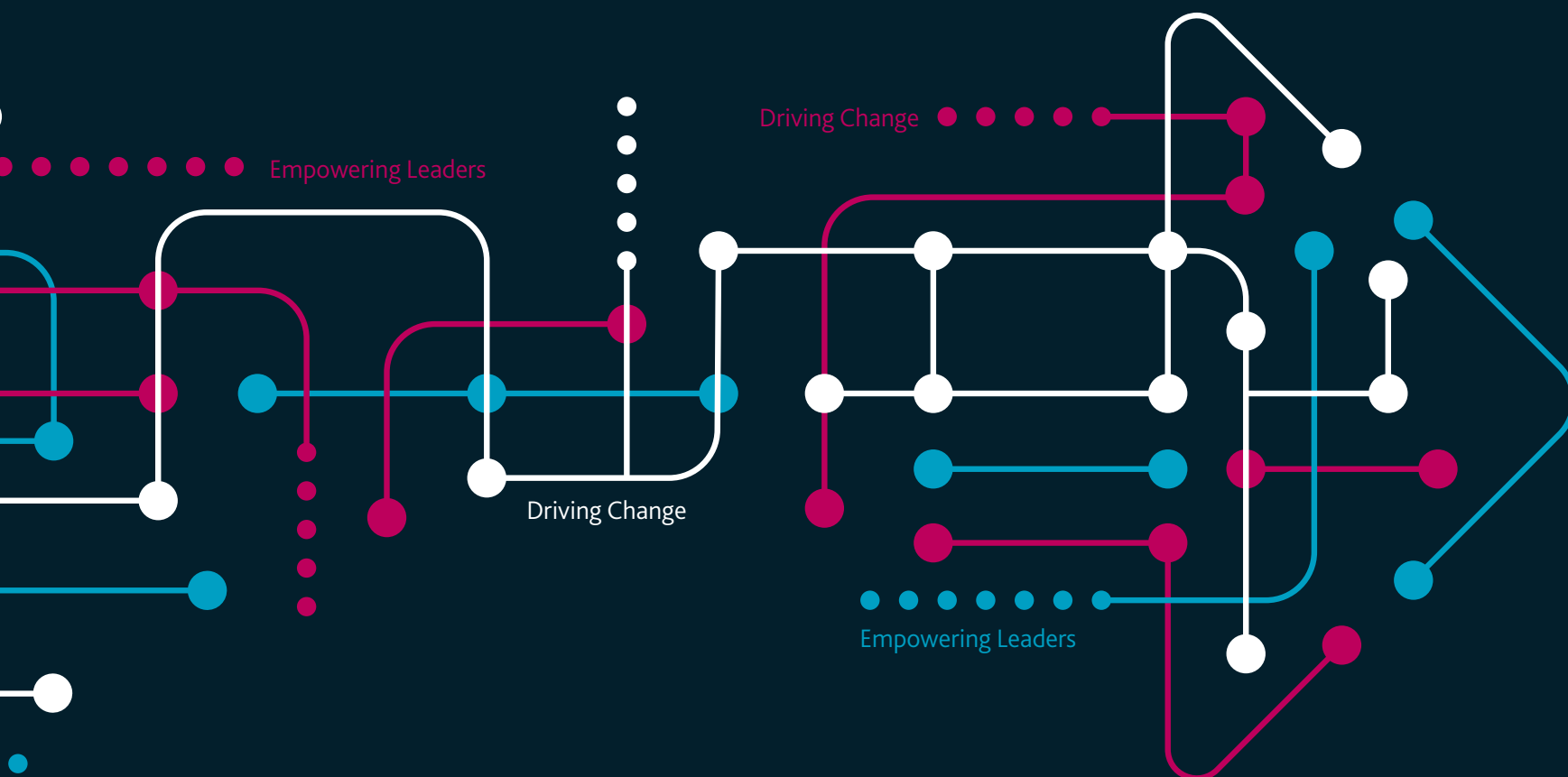
All clusters are further broken down into competences/qualities critical to success in the area.

For each competence we give examples of excellent performance. We also include some examples of poorer performance to illustrate the journey of development.

There is an assumption in the model that competence builds and develops over time. Consequently an individual who has learned and applied learning from a range of career and life experience will be able to apply their competence in a complex environment, making sense of and adapting to changing situations. This could have been captured in a cluster called 'leading backwards or from behind' – whilst at one level this sounds wrong for leadership, it does suggest that good leaders understand where they and their organisation have come from, and have learned from and applied that experience. This meaning is captured within the Framework.

Dreyfus and Dreyfus identified five levels of competence from Novice, Experienced Beginner, Practitioner, Knowledgeable Practitioner through to Expert; where expert 'has an intuitive understanding of the situation and zooms in on the central aspects'. The excellent leader in the role of a Chief Officer would have this capacity. This framework is pitched at the expert level (See Appendix Three).

Cluster	Competences/Qualities
Leading from Within	- Committed to purpose and values - Self-aware - Manages self - Self-confident - Outstanding communicator
Leading Others	- Focuses on service users - Enhances staff potential - Builds teams that deliver - Unleashes volunteer talent
Leading for Impact	- Drives for results - Focuses on quality - Acquires resources - Maximises resources - Utilises information and knowledge
Leading Upwards	- Works productively with the Board - Enables the work of the Board - Ensures accountability - Fulfils regulatory requirements
Leading Outwards	- Represents the organisation - Influences strategically - Builds strong stakeholder relationships - Politically astute
Leading Forward	- Thinks strategically - Provides direction - Creates an enabling culture - Leads change



7 CLUSTERS AND COMPETENCES

The following pages contain a summary of each cluster followed by a breakdown and explanation of the competences making up the cluster.

- 7.1 Leading from Within
- 7.2 Leading Others
- 7.3 Leading for Impact
- 7.4 Leading Upwards
- 7.5 Leading Outwards
- 7.6 Leading Forward

7.1

LEADING FROM WITHIN (THE PERSONAL QUALITIES)

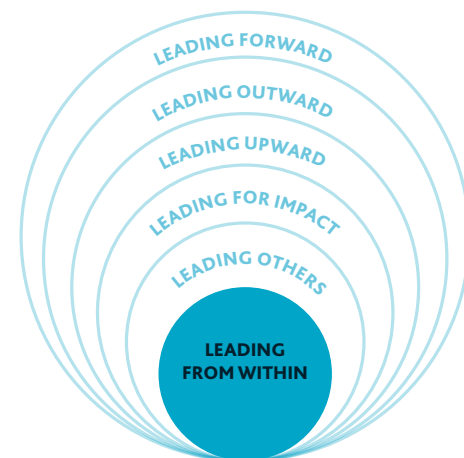
IN SUMMARY

Excellent Chief Officers demonstrate personal leadership qualities and values that allow them to both hold steady and move forward through a wide range of demanding situations. These personal qualities and values underpin leadership achievement across all the areas and activities in which a Chief Officer leads.

The best Chief Officers demonstrate their commitment to the purpose and values of their organisation, are aware of the impact of their behaviour on others, exercise self-control and are confident and resilient in their leadership. Effective communication enables the leader to translate these qualities into meaningful actions that involve others.

Outstanding communication is essential for each of the leadership areas in the model. There is a wide range of situations in which the Chief Officer must be a highly effective communicator. Communication could have been repeated and tailored under each leadership role, however, for simplicity we have included here as an underpinning area for all.

THE COMPETENCES/QUALITIES



Quality/Competence	Evidence of Excellence	Competences/Qualities
Committed to purpose and values <i>Lives the cause</i> <i>Walks the talk.</i>	- Passion for the cause; belief in and commitment to organisation purpose, values and vision. - Personal values align with organisation values and are backed up by example. - Holds to high personal and professional standards, including fairness, openness and honesty (integrity). - A personal drive for results, motivated and energetic in pursuit of outcomes. - Acts as an outstanding role model for the organisation. - Authentic in communication and behaviour.	- Fails to convey a depth of commitment to and understanding of purpose. - Does not demonstrate or cannot evidence the high personal and professional standards required by the organisation. - The 'walk' does not match up to the 'talk'. Behaviour is not consistent with stated values/beliefs. - Driven by need for personal recognition alone.
Self-aware <i>Knows self, develops self and understands impact on others.</i>	- Understands the impact of their behaviour on others, adapting approach to the situation. - Builds productive and sustainable working relationships. - Aware of personal strengths and limitations; employs strategies to manage the weaker areas/ blind spots. - Welcomes feedback, distinguishing what is important, and responding appropriately. - Committed to personal learning and development.	- Does not recognise or pause to consider the impact of their behaviour on others. - Does not demonstrate empathy with others. - Is inconsistent in their treatment of others. - Does not seek feedback, and does not respond well to others views. - Sticks with their comfort areas, and fails to pursue and apply learning.
Manages self <i>Resilient and in control of self.</i>	- Controls and adapts own behaviour, managing through the extremes e.g. frustration, anger. - Resilient and determined in pressured situations, employing a range of strategies to maintain motivation and energy. - Able to manage own time, delegating appropriately, and pacing self to the situation and task. - Sets personal wellbeing goals. - Clear about personal and organisational priorities	- Loses control in difficult situations, behaving unreasonably e.g. aggressive, indecisive, hasty or avoiding behaviours, losing calm in the crisis - Fails to employ coping strategies in stressful situations; - Fails to delegate work. - Unable to balance the difficult demands of the Chief Officer role. - Does not understand importance of selfcare in leadership. - Fails to prioritise; unable to distinguish the important from the urgent.
Self-confident <i>Confident in own judgement based on knowledge, skills and experience.</i>	- Confident in decision making and problem solving, making conscious choices even under difficult situations. - Recognises and seizes new opportunities for the benefit of the organisation, professional in approach to achieve better outcomes; i.e. an entrepreneur. - Believes that own ideas and abilities are of value; based on a breadth and depth of experience and expertise.	- Reluctant to take on new challenges. - Overly confident or arrogant - Fails to take into account others ideas, experience and expertise. - Insufficient breadth of experience evident from approach to problems and decision making. - Doubts own ability when faced with difficult situations. - Is pessimistic when the going gets tough.
Outstanding communicator <i>Seek first to understand, then to be understood</i>	- Brings vision, values and purpose to life by tailoring the message to the audience. - Communicates effectively across a wide range of situations (internal and external; personal and public speaking). - An active listener; listens to understand and able to distil key messages from information. - Communicates effectively through required media, including radio, television and social media. - Produces high quality papers (e.g., Board Reports, Business Cases, Corporate strategy).	- Fails to connect with the range of audiences required. - Unable to give information in a concise manner; has difficulty in focussing on the message (either interpersonally or in a public situation) - Ineffective presenter. - Talks over others and fails to listen to understand other viewpoints. - Lacks ability in the media spotlight. - Poor writing skills.

7.2 LEADING OTHERS

IN SUMMARY

Leading others is crucial to achieving outstanding organisation performance. Chief Officers will first focus on the clients¹⁰ of their organisation, seeking to understand their views and involve them in development of the organisation's purpose, vision, values and approaches. Without staff and teams that excel the Chief Officer will not deliver the results required. New approaches to staff wellbeing and hybrid working practices can enhance employee motivation and performance. Volunteers are a crucial resource to the third sector, bringing passion, knowledge, and skills to benefit the organisation. Excellent leaders will value and work with volunteers to unleash that talent.

THE COMPETENCES/QUALITIES



Focuses on service users



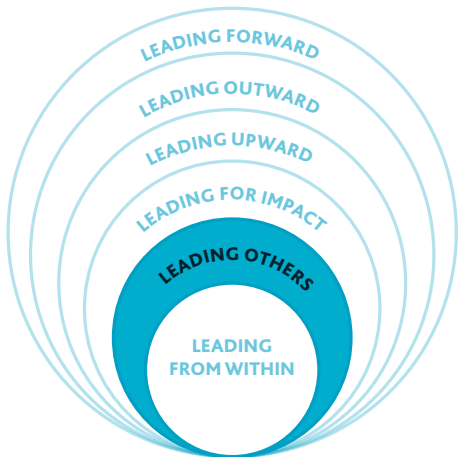
Enhances staff performance



Builds teams that deliver



Unleashes volunteer talent



¹⁰ A client is not an appropriate term for all third sector organisations. Please consider the ultimate beneficiaries of your work, that is, your service-users, members, recipients, sponsors etc.

Quality/Competence	Evidence of Excellence	Development Opportunity
Focuses on service users/clients¹¹	- Leads from a place of understanding service user needs. - Actively seeks the views of those who use the organisation's services and responds with understanding. - Involves service users through co-production in building the organisation vision, in planning and in implementation of ideas. - Secures feedback from service users and takes action to implement ideas and address concern.	- Fails to value the service user viewpoint. - Inconsistent in provision of opportunities to involve service users. - Fails to apply ideas gathered from users, and or to address concerns of users. - Condescending or arrogant in approach to service users and their needs.
Enhances staff performance	- Creates a culture of high performance and high support, organising people to achieve results. - Delegates power with accountability, sharing leadership through the organisation. - Takes steps to maintain and improve staff wellbeing. - Enables flexible working practices that meet both the needs of the organisation and staff (e.g., hybrid working and virtual meetings). - Maintains a fair and effective performance management process, ensuring individuals have clear objectives consistent with role and purpose and are held to account. - Inspires others by involving and communicating appropriately. - Committed to staff development and succession planning. - Varies leadership style taking into account individual position, skill and motivation. - Coaches others, enabling staff to find the answers for themselves.	- Fails to create the conditions for a productive organisation culture. - Poor organisation skills, failing to delegate appropriately. - Displays a disregard for employee wellbeing. - Fails to translate the organisation's objectives through a systematic performance framework. - Avoids difficult conversations. - Dominates others and displays an inability to let go. - Does not formally or informally recognise the work of others. - Takes credit for other's achievements. - Does not support staff in their development.
Builds teams that deliver	- Oversees an organisation structure that is fit for purpose, mobilising teams where appropriate. - Empowers team members to achieve common goals, perform in their roles, and demonstrate healthy team relationships. - Values diversity in the organisation and in team make-up. - Ensures team working runs well throughout the organisation. - Manages and minimises conflict within teams, across teams and across organisations.	- Lack of coherence in how teams are structured and led within the organisation. - Does not understand the principles of effective team working, or the leadership required. - Does not have the support and confidence of senior colleagues in difficult situations. - Fails to address ineffective working between teams.
Unleashes volunteer talent	- Values the contribution of volunteers to the organisation through appropriate recognition and involvement. - Involves volunteers in developing vision and new ideas for action. - Understands the various roles of volunteers (Trustee, fund raising, service provision, lobbying etc.) and supports their development into these roles. - Establishes credibility with volunteers. - Ensure governance processes are understood by volunteers and that systems are in place to ensure adherence. - Communicates a motivational vision and purpose to volunteers.	- Fails to recognise the contribution of volunteers or to involve them appropriately. - Little evidence of developing volunteers to maximise their contribution in various roles. - Poor and unproductive relationship with volunteers. - Poor governance processes in place for volunteers, or failure to bring volunteers on board with necessary policies and processes. - Poor communication with volunteers and inability to describe vision in way that motivates volunteer activity.

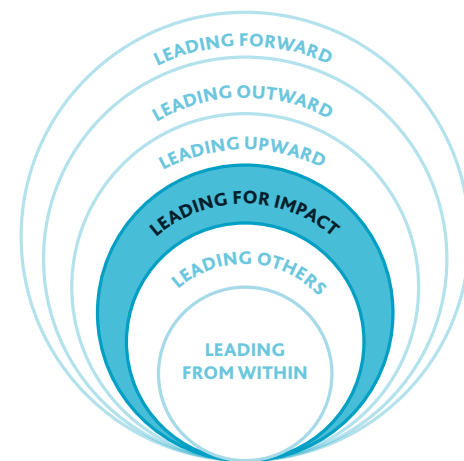
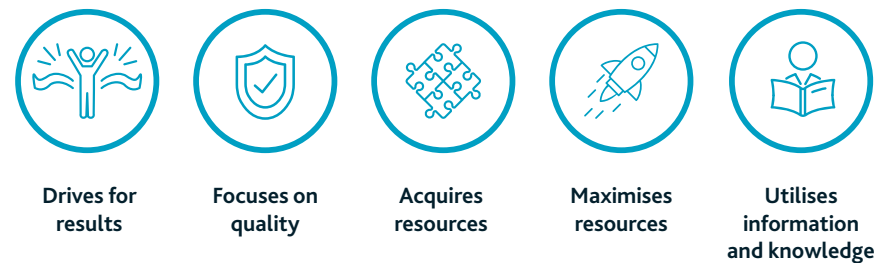
¹¹ A Service user is not an appropriate term for all third sector organisations. You may wish to consider your clients, members, recipients, sponsors or the population who are the ultimate beneficiaries of your work.

LEADING FOR IMPACT

IN SUMMARY

Excellent leaders in the Third Sector will make the best use of resources available to their organisation, and will secure (or make best effort to secure) the funding required to deliver the activities of the organisation in line with purpose. All resources (financial, facility, equipment, vehicles etc.) will be properly managed and accounted for, and deployed effectively in service of the organisation's purpose. The Chief Officers focus on high quality will pervade the organisation, its people and activities. Achievement of results will be the evidence of excellence in leading delivery.

THE COMPETENCES/QUALITIES



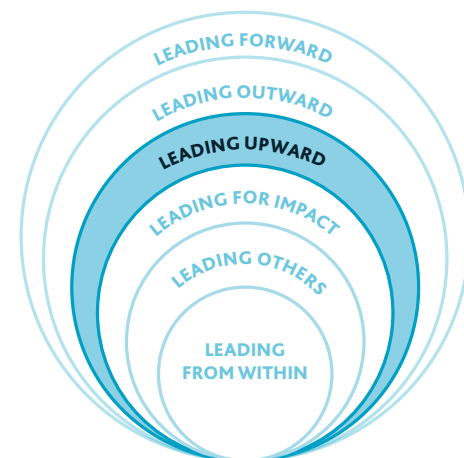
Quality/Competence	Evidence of Excellence	Development Opportunity
Drives for results	- Maintains a focus on organisation impact, working towards agreed output and outcome measures. - Makes decisions that are evidence based, add value and support delivery. - Consistently delivers on organisation objectives in line with vision and longer-term outcomes. - Decisions balance the 'hard nose' business with implications for people. - Maintains a drive for achievement. - Uses project management approaches to manage complex sets of activities.	- Lacks focus in driving the organisation towards outcomes. - Fails to deliver the agreed objectives of the organisation. - Indecisive in times of difficulty. - Decisions demonstrate poor judgement.
Focuses on quality	- Sets high standards for the organisation including standards for service excellence, involving service users in their development. - Strives for continuous improvement based on systematic approaches. - Communicates the key measures of quality and monitors performance against the standards. - Ensures effective systems of governance and control are in place, identifying and acting on problems and providing assurance from the front line to the Board. - Reports on performance against standards to their Board, staff, and stakeholders. - Identifies problems and takes corrective action to achieve standards. - Welcomes, responds to and ensures the organisation learns from complaints.	- Fails to identify key standards for service. - Accepting of and/or fails to take action to correct poor performance against standards. - Does not role model the standards expected of others. - Deals inefficiently or ineffectively with complaints and fails to ensure that the organisation learns from mistakes.
Acquires resources	- Understands the scale of resource (finance, buildings, equipment, information technology etc.) needed for the organisation to operate. - Aware of, and builds relationships with, potential funding providers, understanding the context and conditions for funders. - Creates business plans based on reasonable funding assumptions. - Maintains effective relationships with new and existing funders. - Secures new income streams, taking account of acceptable levels of risk and stakeholders views. - Secures appropriate contracts for service delivery. - Secures and manages specialist expertise to support decision making (e.g., legal, information and information technology, human resource, health and safety advice etc.).	- Inexperienced in pursuit of purpose, failing to secure the funding required. - Contingency plans are not evident. - Insufficient appreciation of the economic environment and potential funders. - Fails to plan.
Maximises resources	- Oversees the finances of the organisation, exercising effective budgetary control, working with financial specialists, including internal audit, as appropriate. - Understands the bottom lines for the organisation, and accounts to the Board for efficient and effective deployment of monies. - Effectively targets resources to achieve organisation goals. - Ensures investments are in line with best practice. - Maintains high standards of probity and accountability for income and expenditure. - Demonstrates good organising ability, ensuring effective systems and processes are in place (e.g. for procurement, maintenance of buildings & equipment, occupancy of buildings etc.) - Ensures best use of organisation resources including buildings, equipment, vehicles etc.	- Fails to maintain budgetary control. - Unable to assure Board of effective deployment of resources. - Failure to comply with proper accounting procedures. - Disorganised in approach to resource management. - Absence of or failure to work with procurement policies, planned maintenance approaches etc.
Utilises information and knowledge	- Identifies the information required to achieve organisation goals. - Able to analyse and make use of information and evidence in decision-making and problem solving. - Ensures organisation complies with legislation and best practice in gathering, storage, security and use of information. - Makes best use of available information systems and ensures plans are in place to maintain and update information technology.	- Decision making fails to take into account available information. - Fails to recognise the meaning behind the detail. - Analysis of information incorrect or incomplete. - Unaware of issues relating to cyber security.

7.4 LEADING UPWARDS

IN SUMMARY

The Third sector benefits from the many volunteer Trustees and Boards. Productive relationships with Boards are critical to the effective performance of the organisation and the role of the Chief Officer in Leading Upwards is critical to those relationships and Board performance. The diversity of membership including Trustees who are funders, Trustees who are beneficiaries of the services and professional trustees make these relationships particularly challenging. In this context excellent Third sector leaders must ensure that good processes are in place for the appointment of Trustees and the corporate governance of the organisation. The Chief Officer will direct members to statutory requirements, principles of best practice and essential priorities if the organisation is to achieve its purpose. The Chief Officer will be a main conduit between the Board and the staff and stakeholders of the organisation.

THE COMPETENCES/QUALITIES



Quality/Competence	Evidence of Excellence	Development Opportunity
Works productively with the Board¹²	- Builds a productive working relationship with the Chair and Board members, valuing volunteer trustee roles and perspectives. - Supports the Chair in shaping a Board appropriate to the organisation vision. - Identifies the best skill mix for the Board and works with the Chair to recruit the required members. - Facilitates Board development, recognising the different needs of members and the requirements of the organisation. - Is open and transparent with Board members, providing the information needed for the Board to excel in its role.	- Fails to build strong relationships with Board members and/or Chair person. - Unable to make a strong case where view differs from that of Board members. - Manipulates rather than works openly with Board members.
Enables the work of the Board	- Works with the Chair to create and support an appropriate governance structure (e.g., sub-committees to undertake particular roles). - Ensures Board is supported by up-to-date governing documents and guidelines for decision making. - Provides intelligence and information for the Board which enables it to fulfil its oversight function. - Contributes to a Board Agenda that focuses on the strategic business of the organisation.	- Does not contribute to the effective performance of the Board, ensuring an appropriate governance structure is in place. - Does not recognise the importance of governing documents and guidelines for effective governance. - Fails to provide the required information and assurance to enable the Board to perform its functions. - Holds onto information which should be openly available. - Unable to influence the business and Agenda of the Board.
Ensures accountability	- Welcomes the challenge function of Board members. - Effectively fulfils the duties of the Chief Officer, accounting for the performance of the organisation. - Ensures probity throughout all processes. - Works within board delegated limits of authority. - Oversees risk management and controls assurance processes, providing assurance to the Board. - Supports transparency in Board decision making.	- Reacts inappropriately to questions, suggestions and challenges by Board members. - Lacks understanding of accountability to the Board, and fails to provide evidence of performance. - Tolerates poor practice in the governance of the organisation.
Fulfills regulatory requirements¹³	- Understands and fulfils the critical duties of the organisation under legislation and regulation (e.g. as an employer, charity or company, health and safety, child protection, professional regulation etc.). - Understands the statutory responsibilities and requirements (under Charity and Company law) of the organisation and translates these for Board members. - Complies with the governing instrument of the organisation (memorandum and articles of association). - Understands the nature of the organisation (e.g. limited company, social enterprise) and the legal requirements upon it. - Understands the constitution of the organisation, challenging appropriately to ensure the organisational form is fit for purpose.	- Fails to appreciate and fulfil the legal requirements on the organisation. - Cannot distinguish statutory responsibilities from other desired objectives. - Does not appreciate different organisation types, or the advantages which these might offer (e.g., unincorporated association, charitable company etc.).

¹² The governing body may be called a Board, Council, Trustee Group etc. In this framework we have used the word Board to cover the various descriptions.

¹³ The CO3 Guide to Great Governance, by Roger Courtney, provides a helpful guide for Officers as well as Trustees.

7.5

LEADING OUTWARDS

IN SUMMARY

The Chief Officer is vital to the connections between the organisation and the world in which it operates. Excellence is about Leading Outwards, championing the cause in the external environment, acting as the public face and voice of the organisation. In this role influencing skills are used strategically to maximise the profile of the organisation and promote the purpose. Strong stakeholder relationships underpin a successful and sustainable organisation. An excellent leader in the third sector gets alongside and works through their stakeholder network achieving mutually beneficial outcomes. Finally, political astuteness is an essential quality; influencing within the political arena can achieve public policy change, a major shift in how government views and deals with the issues which the organisation champions.

THE COMPETENCES/QUALITIES



Represents the organisation



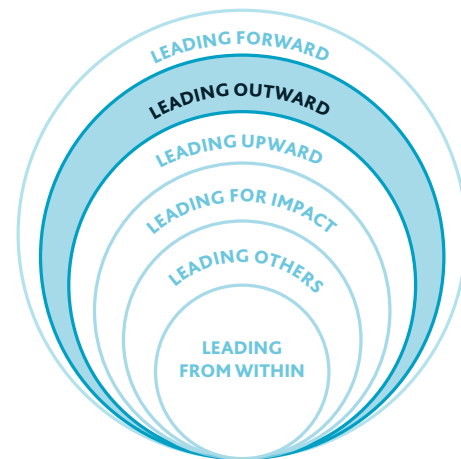
Influences strategically



Builds strong stakeholder relationships



Politically astute



Quality/Competence	Evidence of Excellence	Development Opportunity
Represents the organisation Is the public face and voice of the organisation	- Acts as the public face and voice of the organisation, providing a clear window into the organisation. - Maintains a high level of visibility with stakeholders, influencing and representing appropriately. - Upholds the reputation of the organisation and is a role model for its values. - Maintains a high level of visibility with beneficiaries and/or service users. - Incorporates and champions the Voice of the Service User, giving effect to that voice in influential arenas. - Speaks on behalf of sponsors/ funders in line with agreements. - Represents the organisation cause (both externally and internally).	- Lacks confidence in public arenas. - Lacks visibility with stakeholders. - There is insufficient evidence of outcome, influence or change from representation. - Fails to incorporate service user and/or other stakeholder voices in public statements.
Influences strategically Affects others thinking and actions for the benefit of the organisation	- Uses a wide range of influencing strategies to promote the organisation and deliver results. - Maintains a network of relationships that enable strategic influence. - Raises awareness of the organisation in the public eye and promotes the organisation through planned activities. - Influences the public conversation, identifying and seizing appropriate opportunities for influence. - Leads effective campaigns and lobbies for maximum impact.	- Limited in application of influencing strategies. - Does not recognise, create or seize opportunities to influence and raise the profile of the organisation. - Unfocused or unclear about what they are trying to achieve through influencing.
Builds strong stakeholder relationships Resilient and in control of self.	- Uses a wide range of influencing strategies to promote the organisation and deliver results. - Maintains a network of relationships that enable strategic influence. - Raises awareness of the organisation in the public eye and promotes the organisation through planned activities. - Influences the public conversation, identifying and seizing appropriate opportunities for influence. - Leads effective campaigns and lobbies for maximum impact.	- Limited in application of influencing strategies. - Does not recognise, create or seize opportunities to influence and raise the profile of the organisation. - Unfocused or unclear about what they are trying to achieve through influencing.
Builds strong stakeholder relationships Works collaboratively	- Understands and works strategically in building connections and strong relationships with stakeholders. - A highly effective networker across organisations and sectors. - Identifies strategic partners to progress the objectives of the organisation. - Builds productive partnerships and works collaboratively to deliver common purpose. - Critically evaluates the potential for cooperation, collaboration and merger in the interests of purpose.	- Poor relationships with some stakeholders. - Little evidence of working collaboratively with key stakeholders. - Lacks understanding of the organisation's stakeholders, and fails to influence through the stakeholder network. - Lacks impact as a networker. - Naïve view of potential relationships.
Politically Astute Demonstrates political savvy and effective advocacy	- Influences public policy, being a strong advocate of their cause. - Understands the political context and how to tailor the organisation role and message to the political agenda and political leaders. - Influences political representatives conveying key messages about the organisation and its vision for change. - Identifies and communicates the gaps in policy and/or delivery which the organisation might fill. - Exercises good judgement in the political arena.	- Unable to tailor the message appropriately. - Unaware of how the organisation fits within the public policy arena and potential threats and opportunities. - Fails to build the necessary political network. - Examples of poor political judgement.

LEADING FORWARD

IN SUMMARY

The Chief Officer leads the organisation forward, recognising and taking action to address new opportunities and threats. Thinking strategically is the ability to bring together all of the intelligence from 'seeing' in different directions and making sense for the future of the organisation. Excellence requires direction, creating and communicating the organisation vision and building a culture that enables people to deliver results and achieve the vision. All of this requires a leader of change, someone who can mobilise people and through practical plans deliver a different future.

THE COMPETENCES/QUALITIES



Leads change



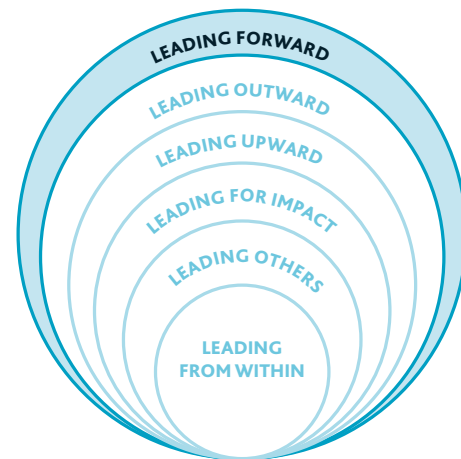
Provides direction



Creates an enabling culture



Thinks strategically



Quality/Competence	Evidence of Excellence	Development Opportunity
Leads Change Transformation through innovation, imagination, motivation and operation.	- Understands the principles of organisational change and the management of change. - Creates ownership and involves Board, staff, and volunteers in developing a vision for change. - Mobilises key groups to deliver sustainable change, managing expectations - Manages diverse and conflicting agendas (external and internal), identifying the givens and benefits of change. - Entrepreneurial and innovative in approach, seizing opportunities for the organisation. - Adaptable to change, open to new ideas and encourages continuous improvement and new ways of working. - Capacity to shift and shape the organisation to ensure fitness for purpose. - Understands the organisation – knows its history, current position and future possibilities.	- Lacks understanding of how to effect change at an organisational and/or system level. - Unable to create a momentum for, or ownership of change. - Examples of change are unsustainable. - Fails to address conflict in a mature way. - Indecisive in difficult situations. - Misses opportunities for the organisation. - Lacks initiative. - Resistant to change personally and/or organisationally. - Ignores the history of the organisation and the various pressures that have established the organisation as it is.
Provides direction Develops vision and strategy.	- Shapes and communicates the vision, mission and values of the organisation, securing ownership through the involvement of staff, stakeholders, the Board. - Translates the vision into a strategic plan that guides the organisation forward - Leads inclusive planning processes. - Motivates others by communicating the vision to different audiences through a compelling narrative – 'Telling the story'. - Identifies and leads on implementing strategic priorities for the organisation. - Drives achievement of strategic objectives through effective operational planning.	- Unable to secure ownership of the vision, mission and values of the organisation internally and/or externally. - Unable to translate the vision into a strategy with action plan to prioritise way forward. - Fails to involve others in developing strategic and operational plans for the organisation. - Does not manage the message effectively – unable to motivate others in the telling.
Creates an enabling culture Resilient and in control of self.	- Inspires, excites and motivates staff to achieve common purpose. - Encourages innovation and initiative in staff and volunteers. - Empowers staff and shares leadership. - Role models the core values of the organisation. - Encourages staff to learn from mistakes - Reinforces key principles of how we do our business. - Ensures that operational processes support the values of the organisation.	- Poor appreciation of what drives individual and organisational behaviour. - Fails to empower staff fearing loss of control. - Does not role model the values of the organisation. - Business processes do not support the stated values.
Thinks Strategically Makes sense of complexity and uncertainty.	- Scans the external horizon, looking for opportunities which could further the organisation purpose and threats which could obstruct. - Able to adapt to and work with different scenarios (political, economic, social etc.). - Has intellectual flexibility, able to recognise and make sense of trends and patterns. - Understands how systems operate and recognises the drivers and obstacles to system change.	- Does not fully understand the strategic environment and fails to recognise opportunities and threats facing the organisation. - Resistant to change, finding it difficult to adapt. - Does not understand the system(s) in which the organisation operates. - Fails to recognise significant drivers for change.

APPENDIX ONE

The following set of competencies was identified by Boyatzis¹⁴ in his book the Competent Manager (1982).

Efficiency orientation

Focusing on objectives, tasks and achievements. Setting challenging goals and supporting appropriate planning. Facilitating overcoming of obstacles. Encouraging people to act in this way.

Concern with impact

Demonstrating a significant interest in power and its symbols. Use of power-oriented behaviour such as using various methods of influence, seeking positions of power, etc.

Proactivity

Showing a strong belief in individual self-control and self-driven action. Acting without waiting for full agreement or authorization. Taking responsibility for actions. Acting to dissuade defensive and risk-averse behaviour.

Self-confidence

Showing belief in self, values and ideas. Able to talk decisively and take confident and decisive action. Communicating this self-confidence to others and hence instilling confidence in them.

Oral presentation skill

Able to speak well, using effective language, modes of speech and body language. Uses effective symbolism and metaphor in words and actions. Appropriate use of visual aids.

Conceptualization

Uses inductive reasoning to identify patterns and relationships. Able to create models and symbols to communicate these concepts. Uses synthetic and creative thinking to develop further ideas and solutions.

Diagnostic use of concepts

Able to use deductive reasoning to convert models and ideas into specific instances and possibilities. Concepts are turned into practical and useful tools.

Use of socialised power

Developing networks and hierarchies of people and mobilising them to achieve specific ends. Acts as a person in the middle to resolve conflicts and bring people together.

Managing group processes

Building the identity of groups and people in them. Building common goals and objectives. Developing group roles. Creating ways of working together and facilitating teamwork.

¹⁴ Boyatzis, R.E. (1982). *The Competent Manager*, NY: Wiley

APPENDIX TWO

Management & Leadership NOS (National Occupational Standards)

These are arranged under six themes:

- Managing Self
- Providing Direction
- Facilitating Innovation & Change
- Working With People
- Using Resources
- Achieving Results

Management & Leadership NOS (National Occupational Standards)

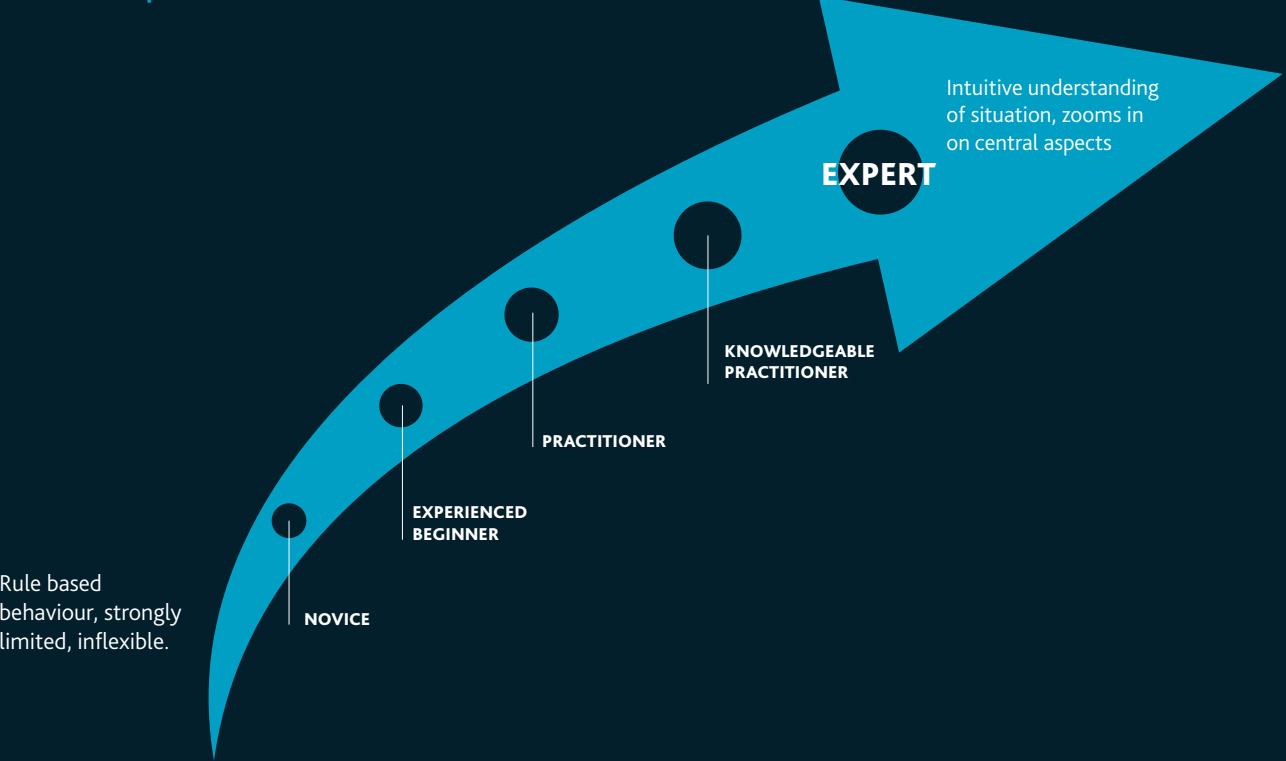
The six skill sets every active leader needs are:

- Action Catalyst
- Collaborating Connector
- Trusted Educator
- Inspiring Influencer
- Visionary Persuader
- Self-aware

<https://www.acevo.org.uk/skills/leadership-competencies/>

APPENDIX THREE

Levels of Competence



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To learn more about us:
www.co3.org.uk

