

**UNDERSTANDING COLLABORATIVE GOVERNANCE AND LEADERSHIP
EFFECTIVENESS IN THE UK THIRD SECTOR: A NEW CONCEPTUAL
GRID**

by

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Abstract

Purpose: to critically examine the strategic role of ‘*collaboration*’ in enabling good governance and effective leadership in the UK third sector. In order to achieve this research aim/purpose, the following research question was constructed: *RQ – What are the essential characteristics of collaborative governance and leadership effectiveness for UK third sector organisations?* As this research progressed, the RQ became supported by two interconnected propositions, notably: **Proposition 1** – *collaborative thinking is now essential for (intra-and-inter) organisational governance within the UK third sector, and;* **Proposition 2** – *third sector leaders should recognise the need to cooperate further for improved governance and shared leadership effectiveness.*

Design/methodology/approach: the research question was investigated using an interpretive-qualitative research design and methodology. The research design involved three interlinked field-work stages. **Stage 1** consisted of a three-hour exploratory focus group discussion, involving eight leading UK third sector organisations, hosted at Canterbury Christ Church University (CCCU). **Stage 2** followed-up via eleven separate (face-to-face) semi-structured interviews, involving senior third sector leader-managers in the (UK) South East. These interviews helped to develop key thesis ideas, linking collaborative governance and leadership approaches with the two supporting propositions (outlined above). **Stage 3** finished off by comparing two organisational case studies, thus helping to triangulate initial interpretations and propositional ideas within different third sector research settings. The first third sector organisational case study involved four semi-structured interviews with social enterprise stakeholders (i.e. both senior leaders and employees from the same social enterprise); the second included five telephone interviews with trustees from the same volunteer run charity.

Findings/Discussion: a new conceptual grid/framework was developed, depicting the complexities involved in realising collaborative governance and shared leadership strategies in the UK third sector. Specifically, the grid conceptualises 4 different types/categories of third sector organisation, relative to their governance circumstances and leadership style, ranging from: (a) *new entrants (novices)*; (b) *founders syndrome (individualised identity)*; (c) *hybridised (multi-agency)*, and; (d) *quasi-autonomous*

(reformed public sector/traditional). A critique of each quadrant was developed, along with analyses of emerging collaborative governance and leadership themes. Whilst there is an abundance of standalone governance and leadership research pertaining the third sector, this PhD study contributes by investigating their theoretical interdependence.

Originality/Value: this PhD thesis contributes to the existing body of third sector leadership and management knowledge by contributing fresh insight into the complexities of (intra-and-inter) organisational governance and leadership effectiveness. In particular, the relatively unexplored, yet combined terrains of good governance, collaborative governance and shared leadership offers interesting lenses for theoretical discussion(s) among UK third sector scholars, policy-makers and practitioners.

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Most of all thanks go to the research participants who have taken part in this study. Thank you for giving up your valuable time to contribute to this exciting research at a time when the third sector in the UK is under immense pressure and scrutiny.

Finally, thank you to my amazing friends and family. Thank you for providing me with the hope and belief that I can achieve whatever I set out to do at this stage in life. Special mention to my parents; my sister and her family; husband Craig and my lovely in-laws; and wonderful friends who have kept me going with their encouraging words and sense of humour especially Andy, Claire, Jim, Jane, Judith, Chrissie, Val and Hilary. Thank you all.

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Chapter 1

Introduction to the Thesis

1.1. Chapter Introduction

This chapter aims to provide a clear rationale for this PhD study. It will outline a strong reason for the undertaking of this exciting research as well as providing an outline of the research question and related propositions, the research aim and objectives. A ‘*research map*’ is also provided which offers an overview of the iterative research journey.

This will provide the basis of Chapter 2 that will explore in more detail the historical and contemporary perspectives of the third sector which will outline the current state of play, its rich history, and difficulties of defining what the third sector is. It will also begin to explore the regulatory and governance requirements which impact how third sector organisations are governed today. This provides the foundations to my thesis.

Figure 1: Overview of Chapter 1



1.2 Rationale for the Study

The third sector in the United Kingdom (UK) is extremely complex and multi-faceted, whilst being constantly under scrutiny (Morgan and Morris, 2017), under pressure and under change (Chapman, 2017: Buckingham, 2011: Stone *et al*, 2010). Perhaps compounded by little agreement on how the sector (both in the UK and beyond) is defined, named and articulated across the existing research literature (Wagner, 2012: Alcock, 2010).

Wagner (2012) suggests that economic, political, philosophical and social theories have all contributed in some way to this sectoral research paradigm confusion. Whether this is from the early political considerations of Aristotle; Rousseau and Kant’s work during the period of enlightenment (Pennock and Chapman, 1969); as well as the 19th century

works of Alexis de Tocqueville with his conception of ‘*governance*’ or the ‘*principal issue*’ (*la principale affaire*) for democratic societies (de Tocqueville, 1991, pp. 1119) (Wagner, 2012, pp. 299-300). Since this time Wagner (2012) argues that research has followed two distinct paths. The first has continued to focus on ‘*political pluralism*’ and the role that third sector organisations play within the ‘*governing system of a democratic society*’ (Wagner, 2012, p. 300). The second pathway which emerged in the last century now sees a concentration on the decentralisation of administrative systems. Arguably, as Wagner (2012) suggests this is as a result of Olson’s economic theory of the ‘*Logic of Collective Action*’ (Wagner, 2012, p. 301: Olson, 1971).

This philosophical confusion and ambiguity provides a very clear opportunity for undertaking a PhD level qualitative social science study, one which aims to uniquely add to the existing literature and bring a deeper and richer understanding of (intra-and inter-) organisational collaborative governance and leadership effectiveness in the UK third sector, via experiences of senior personnel who face these complexities head on in their working lives. A qualitative interpretivist-social constructionist approach is undertaken (as outlined in Chapter 5) that will bring together best practice drawn from research in the sector alongside an awareness of an increased attention to the value of qualitative studies in governance and leadership research (Cresswell, 2014: Bryman, 2004: Bryman *et al*, 1996). This approach will, for the first time, enable comparisons of collaborative governance and leadership effectiveness to be made across the charitable, voluntary, community and social enterprise footprint in the UK.

To successfully navigate the numerous paradigmatic perspectives and networks that interweave their way through the third sector in the UK I argue that a new form of understanding the characteristics of collaborative governance and leadership effectiveness for third sector organisations is required. First, we need to understand the mechanisms and tools for good governance of third sector organisations in the UK. What are the legal and regulatory frameworks for ensuring good governance? What does collaborative governance in the UK third sector look like? In terms of the importance of collaboration, the structure of organisations, its networks and the perceptions or qualities of social relationships within and across business boundaries are considered to be essential to effectiveness (Li, 2013: Burt 2004: Burt, 1997:). Secondly, what are the characteristics and forms of leadership required to ensure good

governance? What does collaborative leadership look like? This is very important as there is still a perceived lack of research into the role leadership plays to help maintain a competitive advantage in the third sector (McMurray *et al*, 2013).

Later, by conceptualising a collaborative governance and leadership model we can begin to unravel the dynamics of how and what the governance arrangements and leadership characteristics for these types of organisations might look like as the 21st century moves forward. It might also help to address what makes some organisations more successful than others. Indeed, some of the failures are now well documented e.g. the collapse of the Kids Company in 2015 (Civil Society, 2017: Great Britain. Parliament. House of Commons, 2016: BBC News, 2016) and the Oxfam Haiti allegations in 2018 (Gulland, 2019: BBC News, 2018: Charity Commission, 2018). Yet, many organisations also await the same fate if failure to address governance and leadership concerns remain avoided.

Although understanding that:

‘...conceptual frameworks can never exhaustively picture the observed complexity of empirical reality and that such frameworks are limited with respect to how exactly they represent the world.’ (Wagner, 2012, p. 302)

1.3 Research Aim and Question

To consider all aspects of governance and leadership would be too broad for this study. Therefore, the ultimate research aim **is to critically examine the strategic role of ‘collaboration’ in enabling good governance and effective leadership in the UK third sector.**

In order to achieve this research aim the following research question has been identified to help frame this exploration:

RQ – What are the essential characteristics of collaborative governance and leadership effectiveness for UK third sector organisations?

Within the second and third literature review chapters (Chapters 3 and 4) I identify two propositions which help interpret this research question in more detail.

Proposition 1: Collaborative thinking is now essential for (intra- and inter-) organisational governance within the UK third sector.

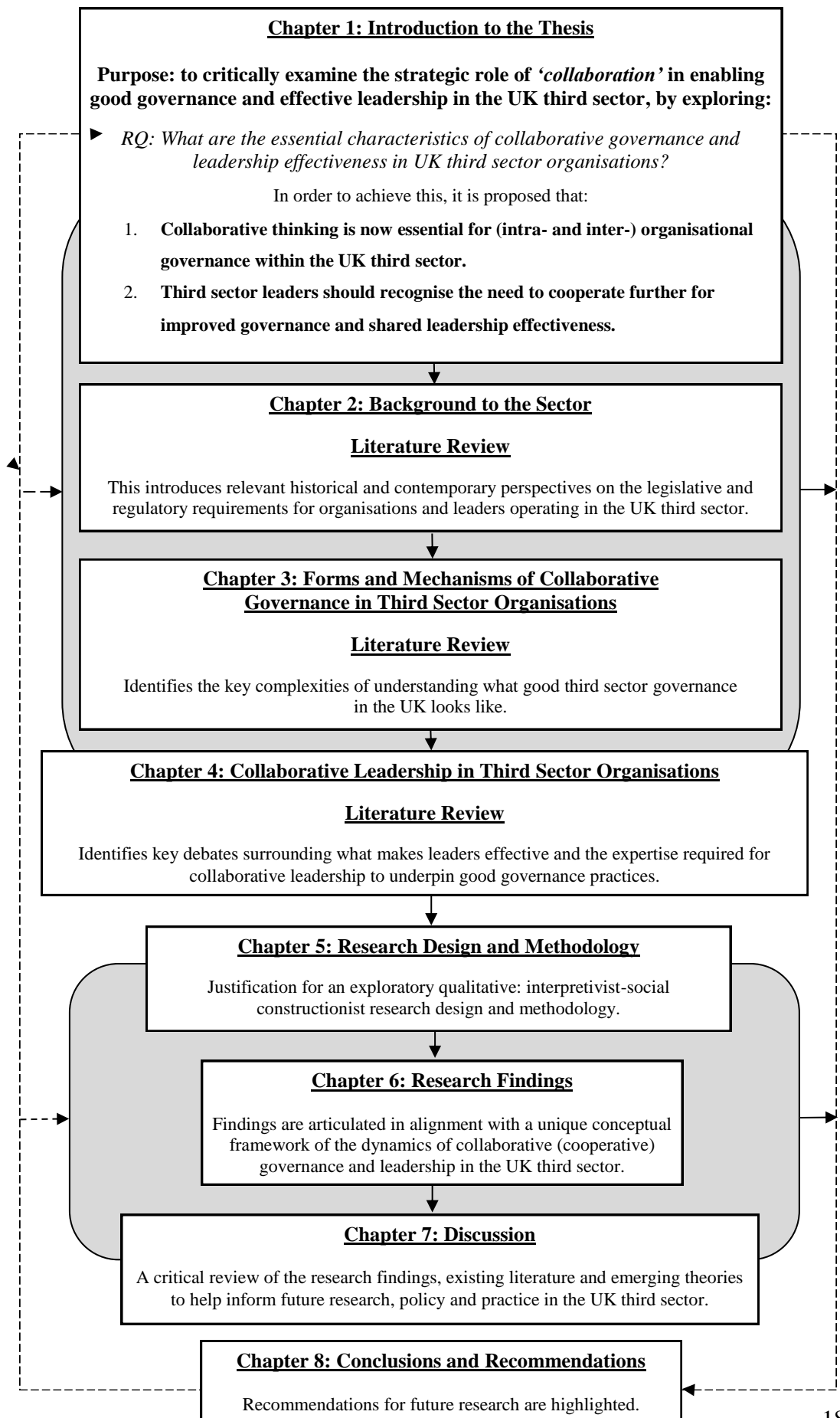
Proposition 2: Third sector leaders should recognise the need to cooperate further for improved governance and shared leadership effectiveness.

1.4 Research Objectives

Based on this aim there are 4 research objectives:

1. To extensively examine the literature on collaborative governance and leadership effectiveness of relevance to the third sector in the UK. This will include specific reference to the forms and mechanisms of governance and the shared leadership required of today's third sector leaders.
2. To develop an exploratory/conceptual framework for depicting the characteristics of good governance and leadership effectiveness in the UK third sector.
3. To develop implications for collaborative governance and leadership effectiveness theories, and recommendations for leadership policy and practice in the third sector in the UK.
4. To identify future research opportunities that develops the initial exploratory study.

1.5 Research Map: An Iterative Development Process



1.6 Research Map: An Iterative Development Process – An Explanation

This section articulates the iterative development process undertaken for this PhD study. It recognises the interactions and connections between each stage of the research process to allow for the synthesis of the literature and the research findings, recommendations and conclusions.

a) Chapter 1: Introduction to the Thesis

Chapter 1 outlines a clear and exciting rationale for this PhD study as well as providing an outline of the research question and related propositions, the research aim and objectives. A ‘*research map*’ is also provided which provides an overview of the iterative research journey.

b) Chapter 2: Background to the Third Sector

The literature review for this study is presented across 3 chapters. This chapter draws on historical and contemporary perspectives of the third sector. It outlines the current state of play, its rich history, and difficulties of defining what the third sector is. It will also begin to explore the regulatory and governance requirements which impact how third sector organisations are governed today. This provides the foundations to my thesis.

c) Chapter 3: Forms and Mechanisms of Collaborative Governance in Third Sector Organisations

This chapter explores the complexities of understanding collaborative governance in third sector contexts. It articulates what good governance is, drawing out relevant themes from the literature and existing research. What collaborative governance in United Kingdom (UK) third sector organisations looks like is also explored.

d) Chapter 4: Collaborative Leadership in Third Sector Organisations

This chapter focuses on the collaborative leadership arrangements required to facilitate good governance and leadership effectiveness in the third sector. Focusing on how this is built through mutual reciprocity and trust. Leadership challenges of collaborative working are also addressed.

e) Chapter 5: Research Design and Methodology

Chapter 5 offers a clear justification for the chosen research design and methodology for the study from an exploratory qualitative: interpretivist research paradigm. It explains how the research question was investigated using an interpretive-qualitative research design and methodology. The research design involved three interlinked field-work stages. *Stage 1* consisted of a three-hour exploratory focus group discussion, involving eight leading UK third sector organisations, hosted at Canterbury Christ Church University (CCCU). *Stage 2* followed-up via eleven separate (face-to-face) semi-structured interviews, involving senior third sector leader-managers in the (UK) South East. These interviews helped to develop key thesis ideas, linking collaborative governance and leadership approaches with the two supporting propositions (outlined above). *Stage 3* finished off by comparing two organisational case studies, thus helping to triangulate initial interpretations and propositional ideas within different third sector research settings. The first third sector organisational case study involved four semi-structured interviews with social enterprise stakeholders (i.e. both senior leaders and employees from the same social enterprise); the second included five telephone interviews with trustees from the same volunteer run charity.

f) Chapter 6: Research Findings

This chapter sets out the findings and analysis from the qualitative research stage of my research. Aspects of the initial conceptual framework are explored, demonstrating and articulating how it works in practice. The key aim of the chapter being to interpret the key dialogue and themes emerging from the research and the conceptual framework based on a combination of the literature and the research to date.

g) Chapter 7: Discussion

In this chapter I discuss the implications of the key findings of the research in relation to relevant literature, emerging theories, and areas of policy and practice. Areas of interest for further exploration are highlighted which provide the basis for recommendations for future research, policy and practice.

h) Chapter 8: Conclusions and Recommendations

This final chapter highlights key areas of importance from my thesis and makes a range of helpful recommendations for future research, policy and practice.

1.7 Chapter Summary

This introduction has provided a clear rationale for this PhD study. It has outlined a strong reason for the undertaking of this exciting research as well as providing an outline of the research question and related propositions, the research aim and objectives. A '*research map*' is also provided which provides an overview of the iterative research journey (see section 1.5).

The next chapter (Chapter 2) will explore in more detail the historical and contemporary perspectives of the third sector. This will cover the current state of play, its rich history, and difficulties of defining what the third sector is. It will also begin to explore the regulatory and governance requirements which impact how third sector organisations are governed today. This provides the foundations to my thesis.

Chapter 2

Background to the Third Sector

2.1. Chapter Introduction

Understanding the intricacies and the need for collaborative governance and leadership in UK third sector organisations is decidedly complex. Across the next three chapters I aim to outline what the third sector is, and how the sector and its regulatory and governance requirements have developed over time. I will also explore what constitutes board effectiveness, collaborative governance and the leadership requirements which underpin and enable good governance to take place.

This literature review chapter (Chapter 2) will draw on historical and contemporary perspectives of the third sector. I will first outline the current state of play, its rich history, and difficulties of defining what the third sector is. It will also begin to explore the regulatory and governance requirements which impact how third sector organisations are governed today. This provides the foundations to my thesis.

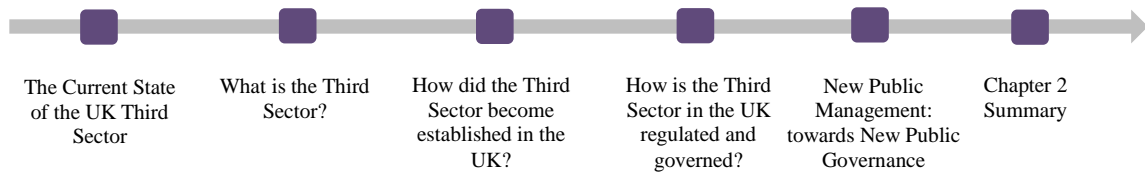
Chapter 3 aims to explore the complexities of understanding collaborative governance in third sector contexts. It will articulate what board effectiveness is and what collaborative governance in United Kingdom (UK) third sector organisations looks like. This will draw on prior research, and experts in governance of third sector organisations in the United Kingdom (UK) and on a global scale.

In the next chapter (Chapter 4), I then focus on the collaborative leadership arrangements required to facilitate good governance and leadership effectiveness in the third sector. Focusing on how this is built through mutual reciprocity and trust. Leadership challenges of collaborative working will also be addressed.

Ultimately, Chapters 3 and 4 will provide recommendations and relevant propositions looking ahead to the research stage.

These chapters are essential to underpin my explorations with regard to the RQ.

Figure 2: Overview of Chapter 2



2.2 What is the Current State of Play in the UK Third Sector?

The UK third sector continues to attract interest from scholars and non-academic researchers alike as debates surround what exactly it is, how distinctive and effective it is and how it should be supported and nurtured through its interweaving relationships with government and local communities (Macmillan, 2010; Smerdon, 2009; Kelly, 2007).

However, it is perhaps the economic downturn and a shift into austerity which followed the financial crisis in the UK in 2007-2008 that has had its most profound effect on the sector to date. Both Rees *et al* (2012) and Macmillan (2010) suggesting that evidence of the effectiveness and ultimate impact of the third sector since this time remains scarce (Rees *et al*, 2012, p. 1; Macmillan, 2010, pp. 2-3). Furthermore, there is a growing evidence base that organisations are doing more with less, particularly small to medium sized third sector organisations (The Charity Commission, 2010). This coincides with fluctuating patterns of public service delivery and statutory funding for third sector organisations as reported in the National Council for Voluntary Organisation (NCVO) annual Almanac publication (NCVO, 2019).

From an economic perspective, income in the sector has increased by £17.7 billion from £32.9bn in 2000-2001 to £50.6 billion in 2016-2017 (NCVO, 2019). Government funding has varied during this period with the largest decline from 2009-2010 to 2012-2013 (of minus £1.9 billion). Recent years have seen a steady decline in government funding from £16bn during 2014-2015 to £15.8bn in 2016-2017 (NCVO, 2019). As a result, organisations in the sector have had to become more ‘*business-like*’ and drive income from new sources. This has accounted for a substantial percentage increase in earned income from investments, lotteries, private sector trading, rent on properties and

philanthropic giving by individuals (including legacies) which saw an increase of 7% between 2001-2002 and 2015-2016 (NCVO, 2019). (Although, interestingly, the total percentage of government funding in relation to other income streams is comparable between 2000-2001 (32%) and 2016-2017 (31%)). At the same time, Chapman (2017) argues that small to medium sized third sector organisations have had to adapt and do more with less. With many having to draw down funding from reserves, cut outward investment, cut inward investment in activities such as training alongside an increase in self-sacrificial activities to ensure the needs of beneficiaries are met (Chapman, 2017, p. 4; NCVO, 2015, pp. 7-10).

A shift to more '*business-like*' activity is not new with many third sector organisations changing their operations to better serve the needs of beneficiaries. They are also facing constraints and requirements placed upon them by funders, grant makers and regulatory bodies. Dart (2004), in particular, recognises the use of the term '*business-like*' is ambiguous and multidimensional. It could refer to many aspects and constructs of a third sector organisation's remit including, but not exclusively: goals; practices; planning; and/or behaviours (Dart, 2004, p. 293).

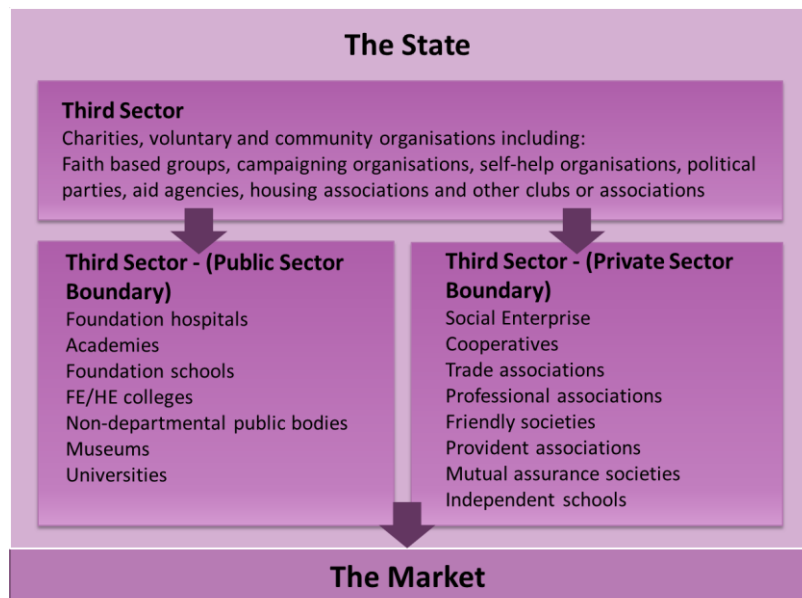
Running a third sector organisation in this part of the 21st century thus poses a number of challenges to political leaders and those responsible for their governance.

2.3 What is the Third Sector?

Anheier (2014) suggests that this social footprint is often referred to in the literature as '*not-for-profit*' or '*non-profit*' which tries to set boundaries between the public and for-profit sector, but this in itself is challenging and problematic as '*such sector distinctions are in reality quite blurred and fluid*' (Anheier, 2014, p. 4). Alcock (2012) had earlier critiqued that '*defining the third sector is intrinsically problematic,*' and notes that this could be because the organisations themselves do not see themselves as '*part of a single entity*' (Alcock, 2012, p. 221). A nod provided even earlier by Giddens (1998) who argued that '*there are no boundaries between government and civil society*' (Giddens, 1998, pp. 79-80). As such, The National Audit Office (2013) suggested a better term may be '*not-for-personal-profit*' (Great Britain. Parliament. National Audit Office, 2013).

Others, for example Billis (2010) have proposed that it is now time to consider the third sector as an entity made up of a set of ‘mixed’ hybrid organisations (Billis, 2010, p12). Hudson (2011) suggests this is perhaps to recognise the ever-changing political and economic landscape, and the interplay between state, markets and welfare (see Figure 3 – an adapted model of the Third Sector (Hudson, 2011, p10). As Brandsen *et al* (2005) suggest ‘Boundary problems, fuzziness and changeability may in fact be a defining characteristic of the third sector’ (Brandsen *et al*, 2005, p. 750).

Figure 3: Boundaries and the Third Sector (Source: Adapted from Hudson, 2011, p. 10)



In this study I do not attempt to provide any new definition for the sector. However, I do attempt to recognise the changing nature and hybridity of the organisations that sit within it, and the social values (*‘the additional benefit to the community from a commissioning/procurement process over and above the direct purchasing of goods, services and outcomes’* (Social Enterprise UK, 2012b, p. 11)) in relation to the Public Services (Social Value) Act 2012) and drivers that lie at the heart of their existence.

Whatever the category, be it third sector, not-for-profit, nonprofit or businesses with social values (such as cooperatives and mutuals), in the UK they are more commonly

recognised and categorised as community groups, voluntary organisations or social enterprises (the VCSE sector) (VCSE Review, 2019: Great Britain. Parliament. Department for Culture, Media and Sport, 2019; Great Britain. Parliament. Cabinet Office, 2013). Pearce (2003) and Dunn and Riley (2004) in Low (2006) argue that Social Enterprise businesses tend to demonstrate a variety of non-profit and well as profit making activities. They are categorised as part of the third sector but are hybrid in nature (Low, 2006, p. 379).

Throughout the rest of this thesis the holistic viewpoint of this '*fuzzy boundaried*' social footprint will be referred to as the '*third sector*' (a nod to Brandsen's (2005) and Hudson's (2011, p. 9) sectoral viewpoints). This is to aid consistency and recognition of the sector in the UK (to distinguish it from not-for-profit and nonprofit terminology frequently used in US perspectives) and its connections across borders with private and public sector agencies.

Yet, how did the third sector in the UK even come into existence? What were the needs in society to encourage early philanthropic ventures?

2.4 How did the Third Sector Become Established in the UK?

Third sector organisations have always seemed to have had a significant impact and have added value to society. Indeed, Anheier (2014) suggests that its social global history can be attributed as far back as ancient Greece through the beginnings of philanthropic adventure and ancient Rome (Anheier, 2014, p. 157). However, how have third sector organisations emerged and developed in the UK over time?

The earliest records of third sector activities in the UK can be traced back to the '*pre-modern era*' (House of Lords, 2017, p. 5: Atkinson. 2017, p. 13). Although, both Hudson (2011) and Savage and Pratt (2013) argue that early forms of third sector organisations started to appear in the UK in the middle ages, where religious institutions often stepped in to provide '*hospital services*' outside of state provision (Hudson, 2011, pp. 3-8). This period is often referred to as '*the golden age of small associations of piety*' (Savage and Pratt, 2013, p. 3). This quickly developed to include more secular philanthropic ventures throughout the sixteenth century where charitable trusts began to

emerge. This included almshouses which were set up to organise charity finances and address societal challenges (Savage and Pratt, 2013, p. 3)

Anheier (2014) identifies that during the 18th and 19th century, discussions about how state moneys should be spent to address social challenges were decidedly complex. Many charitable organisations frowned upon state engagement in welfare services (proposed in the main by political economist of the time, the Reverend Thomas Malthus (Malthus, 1798)). Fueled by rapid increases and density of populations in towns and cities brought about by the industrial revolution many individuals found themselves unable to access charitable or state provisions for their needs. Thus, many voluntary associations, trade unions, and mutual aid organisations began to emerge throughout the mid-19th century to address this shortfall. This third sector activity grew rapidly in large cities, including London, Liverpool and Manchester through the philanthropic demeanors of the middle and upper classes in helping those less fortunate get access to education, healthcare and social services (Anheier, 2014, p. 36).

Hudson (2011) acknowledges that a number of charitable organisations emerged at this time include Barnados (1866) and the NSPCC (as it is known today) in 1884 (Hudson, 2011, p. 4-5). Up until this point third sector activity had been very much co-existing with the state to provide essential care and services to those most in need in society. As such, third sector organisations were not competing with state services or providing them on their behalf. They were predominantly providing advocacy and platforms for lost voices in society to be heard (*Workers or Shirkers*, 2016). Smith *et al* (1995) details that many charitable endeavours received state funding in order to meet the needs of their beneficiaries (Smith *et al*, 1995, p. 20). Indeed, Prochaska (1980) estimates funding was provided to 200 organisations responsible for poor families and children. This funding was not widespread which lead to perceived shortcomings in access and coverage of services (Prochaska, 1980, p. 153). Anheier (2014) continues to outline that it was during this time that the Labour party began to gain strength in opposition. Charitable endeavours regularly came under scrutiny as being '*inefficient*' with the poor having no voice in their treatment or their rights (Anheier, 2014, p. 36).

Anheier (2014) advises that it was not until the early 20th century that the traditional role that third sector organisations had played over many years changed. Following the

Great Depression and two world wars, the face of the third sector altered significantly with the state becoming the '*primary agent[s] of social service provision*' for education and healthcare, although it did not include social care (Anheier, 2014, pp. 36-37). Mohan and Breeze (2016) highlight that it was the creation of the welfare state in the 1940s following the Beveridge Report (1942) which meant many third sector organisations disappeared with others now performing more of a supporting role to the State (Mohan and Breeze, 2016, p. 5). Anheier (2014) continues to express that this significant revolution to both funding and provision was not implemented successfully with increasing failures of the State to provide effective solutions to the social problems of the day. The third sector, particularly voluntary organisations duly responded, '*filling the void*' left by the State (Anheier, 2014, p. 37).

The limitations of state provision and third sector operations had not gone unnoticed. However, it was not until the findings of the Wolfenden Committee report of 1978 about the '*Future of Voluntary Organisations*' (Great Britain. Parliament, House of Lords, 1978) that advocated the need for partnership between the third sector (voluntary organisations) and the State. Savage and Pratt (2013) emphasise that this was particularly needed at a time of increasing racial tensions in some towns and cities (as a result of immigration, employment and housing policies) and other issues such as urban decay and homelessness. It could be argued that it was at this time that the State finally recognised the important role that third sector organisations contributed to society and the potential the sector had in delivering public services (Savage and Pratt, 2013, p. 7). Kendall (2003) highlights that this '*mixed economy*' of welfare era also saw areas of community development reemerge to address social issues, with new charities being founded or gaining traction (such as Shelter which was established in 1966) to help those marginalised and on the fringes of society (Kendall, 2003, pp. 135-138).

Savage and Pratt (2013) continue to outline that in the early 1980s the newly elected Conservative government once again brought a shift change to the third sector. Once nationalised industries became privatised, and with it grant funding shifted to competitive tendering and contracts (Savage and Pratt, 2013, p. 7). Plowden (2001) highlights that '*Compact*' agreements were also introduced which aimed to reconcile relationships between the State and the third sector (which emerged from recommendations of the Deakin Commission on the future of the voluntary sector in

1996 (Plowden, 2001, p. 6). These continued to be implemented throughout the Labour administration of the late 1990s and early 21st century.

Within the last decade the third sector has seen various political attempts to outline the importance of collective action to bring about community and societal cohesion. Kisby (2010) outlines that the coalition government in 2010 focused on fixing '*Broken Britain*' and building a '*Big Society*' which aimed at increasing volunteerism and charitable giving (Kisby, 2010, pp. 484-485). It also aimed to reduce the bureaucracy of charity registration, regulation and improving relationships between the state and the third sector (Savage and Pratt, 2013, p. 9). Although broadly welcomed at the time, there were concerns that this would cause increased fragmentation (Civil Exchange, 2012) and favouritism towards more affluent individuals and organisations (Ellison, 2011, p. 55).

Since the Conservatives again took the political reins in 2015 the future of the vision of the '*Big Society*' has remained unclear with a number of concerns raised by academics and third sector leaders over the actions taken by the government thus far (Civil Exchange, 2015, p. 7). During an age of austerity where budgets were being cut and local partnerships were being disbanded, critically this vision was likely to '*handicap rather than liberate community activism and self-help*' (Lowndes and Pratchett, 2012, p. 32). Even David Cameron himself admitted that '*voluntary organisations and social enterprises needed more financial and technical support than had been envisioned under the big society agenda*' (Cooney, 2017).

Most recently, a major UK wide consultation exercise was undertaken by the Conservative led government in 2018 to address and recognise the contribution that organisations working in the wider social system make to the UK economy. It recognised the complexity of networks and ways in which public and private sector programmes (and projects) are managed across an interconnected and changing landscape with organisations that make up, as it coins, '*the social sector*' (Great Britain. Parliament. Department for Culture, Media and Sport, 2018, p. 69). . It also recognised the importance of appropriate collaborative practice (Great Britain. Parliament. Department for Culture, Media and Sport, 2018, p. 13). However, once again the country has yet to see any real change as a result of this report due to frequent changes

of leadership of the Conservative party and political and economic focus remaining on the repercussions of leaving the European Union in 2020.

Table 1: Timeline of Key Developments in UK Third Sector Origins

Title	Year(s)	Overview
'Golden Age of Small Associations of Piety' (Le Bras, 1964)	1100-1299	<ul style="list-style-type: none"> - church responsible for care of elderly and frail (Savage and Pratt, 2013, p. 3). - creation of the first hospitals. (Smith <i>et al</i>, 1995, p. 11; Rubin, 1988, p.251)
Late Medieval Era, Piety and Charity	1480-1660	<ul style="list-style-type: none"> - rapid expansion of secular philanthropic venture and emergence of charitable trusts (Smith <i>et al</i>, 1995, p. 11-12). - <i>"In the medieval period...it is often impossible to separate pious gifts from charitable ones, because no such differentiation existed in the mind of the donor"</i> (Thomson, 2011, p. 180)
'Philanthropy of Piety' (Owen, 1964)	1700-1799	<ul style="list-style-type: none"> - Three key phases of development for this time period (Andrew, 1989) - Towards the end of this period there was a shift towards maternity, child welfare and education charitable giving rather than donations to poverty good causes (Savage and Pratt, 2013, pp. 3-4)
First Charity Founded	1741	<ul style="list-style-type: none"> - Captain Thomas Coram establishes Foundling Hospital in London (the first recognised charity) (Coramstory.org, 2019).
First Seafarers Charity Founded	1772	<ul style="list-style-type: none"> - Jonas Hanway establishes The Marine Society (the first voluntary association) (Marine-society.org, 2019).
Slave Trade Reforms	1780 +	<ul style="list-style-type: none"> - Campaigns calling for the abolition of the slave trade commence via The Quakers (Oldfield, 2011).
Anti-Slavery Society established	1823	<ul style="list-style-type: none"> - Seen as the world's oldest human rights organisation in existence (Oldfield, 2011).
Beveridge Report	1942	<ul style="list-style-type: none"> - Lead to laws regarding employment, family allowance, education, national insurance and national health between 1944-1948 (Savage

		and Pratt, 2013, p. 6).
Wolfenden Committee Report	1978	- Potential for third sector engagement in public service delivery recognised (Great Britain. Parliament. House of Lords, 1978).
Deakin Commission Report	1996	- Makes 61 recommendations to improve the relationship between the third sector and the state (Shilfrin, 2003; Lewis, 1999, p. 256).
National Council for Voluntary Organisations (NCVO) established	1996	- Body established to represent voluntary organisations (previously known as the National Council of Social Service that was established in 1919 (NCVO, 2019b).
The Compact Era	1998-2011	- Compacts initiated to help improve relationships between third sector and the state. These included codes of practice and standards for partnership working (Civil Exchange, 2015).
Big Society Initiative	2010	- Coalition government vision for collective action, increased volunteerism and philanthropic venture (Civil Exchange, 2015).
Social Sector Review	2018	- Conservative led review of the social sector (Great Britain. Department for Culture, Media and Sport, 2018).
United Kingdom to Leave the European Union	2020	- Following an EU referendum in 2016 the UK voted to leave the EU. 2020 has been set as the year this will take place.

Note:

This table presents a brief overview of the key developments in the history of the third sector in the UK only.

2.5 How is the Third Sector in the UK Regulated and Governed?

Cornforth (2012) helpfully acknowledges that for third sector organisations in the UK, organisational governance is seen to refer to all the systems and processes undertaken by an ‘*organisation’s board or governing body,*’ including all the reporting, legal, and financial accountabilities as well as agents responsible for stakeholder relations (Cornforth, 2012, p. 1122).

‘Organisational governance is defined as ‘the systems and processes concerned with ensuring the overall direction, control and accountability of an organisation’ (Cornforth, 2012, p. 1121).

Hudson (1995) in Plummer (1996) also highlight five key points about the role of governance in the sector:

‘...governance is the boards’ responsibility. It is about ensuring that the organisation has a clear mission and strategy, but not necessarily about developing it. It is about ensuring that the organisation is well managed but not managing it. It is about giving guidance on the overall allocation of resources but is less concerned with the precise numbers. Governance is about taking responsibility for the organisations performance, but not about meddling with the detail of the performance measurement. Governance is ultimately concerned with providing insight, wisdom and good judgement.’ Hudson (1995) in Plummer (1996, p. 4).

Globally, a number of definitions are used to align governance practices with democratic responsibilities. The Organisation for Economic Co-operation and Development (OECD) defines good governance as being *‘characterised by participation, transparency, accountability, rule of law, effectiveness, equity etc.’* (OECD, 2006) However, when it comes to defining *‘good’* governance in third sector organisations an impasse is reached. This perspective is supported by leading academics Cornforth (2004) and Stone and Ostrower (2007) who both highlight that the term of *‘governance’* in the third sector is rarely defined across the research literature. Low (2006) argues that perhaps a corporate governance perspective can be adapted to embrace all sectors (Low, 2006, p. 376):

‘governance is the relationship among various participants in determining the direction and performance of corporations’ (Monks and Minow, 1995, p. 1).

Cornforth (2012) argues that there is a consensus it is about the direction and control *‘of the enterprise and ensuring reasonable levels of external accountability’* (Cornforth, 2012, p. 1121) but that seems to be where the similarity ends. Therefore, understanding

what is happening within third sector organisational governance arrangements remains an intriguing and critical area of research. Indeed, Cornforth (2012) argues that most research to date has focused on the '*composition of boards, the relationship between boards and managers or staff, board roles and board effectiveness*' (Cornforth, 2012, p. 1117). Stressing that existing research has not successfully kept up to speed with the complexity of third sector operations and the governance arrangements required. In particular: governance processes; the sectors' '*heterogeneous nature*'; and how practices and structures evolve and are influenced by '*historical and contextual factors*' (Cornforth, 2012, p. 1119).

From a historical perspective, over the centuries there have been varying relationships between the State and third sector when it comes to the provision of services. In terms of regulation and governance we have seen these relationships shift from formal contractual arrangements to less formal – relational, collaborative or '*partnership-based*' built on mutual trust (Morris, 2011, p. 37). Throughout these shifts the legal frameworks required to support them have been varied and extensive.

However, how has the law helped support and protect third sector organisations and their beneficiaries over time?

2.5.1 Legislative Regulation or Self-Governance?

Smith *et al* (1995) attest that the first early forms of charitable regulation (particularly over aspects of financial irregularities and fraud) came to be recognised as early as the 16th century in the UK through the Charitable Uses Act (1597). This continued throughout Elizabethan times (The Elizabethan Poor Law, 1601); right through to the poor laws of the early Victorian era (1834) (Smith, 1995, p. 12-20; Slack, 1988).

Throughout the 19th century, an overwhelming increase in charitable organisations brought about The Brougham Commission Review which identified a greater need for regulation and governance in the sector (Smith, 1995, p. 19). This resulted in the 1835 Municipal Corporations Act (also known as the Municipal Reform Act). The Charitable

Trusts Act followed in 1853 and led to the foundations of the Charity Commission in 1860 (Fishman, 2005, p. 750).

The Charity Organisation Society (COS) (founded in 1869) was set up to develop ‘*standards and best practice*’ in the sector (Savage and Pratt, 2013, p. 5). The Society was founded by ‘*a group of social reformers including Octavia Hill, William Gladstone and John Ruskin... to increase effectiveness amongst charities and to organise charitable giving*’ (Family Action, 2016) but owes much to Henry Solly its first General Secretary.

However, regulatory control was only formalised through the registration of charities in England and Wales, as we know it today, in 1961.

Today, most organisations working in the sector will be governed by The Localism Act (2011), The Charities Act (2011) and the Charities (Protection and Social Investment) Act 2016 which set out the legal definitions for the sector. ‘*A charity means an institution that is established for charitable purposes only*’ (Great Britain. Parliament. The Charity Commission, 2013). In total there are 13 purposes that a charity can fall into as long as it is also for the public benefit (The Charity Commission, 2013). (For ‘*Any Other Charitable Purposes*’ this has been included to future-proof the charitable needs of local communities such as recreation and leisure activities as defined by the Recreational Charities Act, 1958. Mohan and Breeze (2016) identify that this list of 13 purposes effectively replaced the ‘*four heads of charity – poverty, education, religion and ‘other’’*’ as articulated in the 1601 Statute of Charitable Uses (Mohan and Breeze, 2016, p. 7-8.)

Although legislation sets out the parameters and boundaries of third sector operations it does not suggest or outline how organisations can successfully work together. Over the last fifteen years the sector has placed a greater emphasis on developing ways to self-govern activities undertaken by third sector organisations. Morris (2005) proposes that ‘*Codes of Practice*’ or ‘*Standards*’ are commonplace across a number of industries as it enables some form of self-regulation without the need for legislative enforcement. Following extensive consultation and agreement with leading representative organisations, the first Code of Governance for the sector was launched by the National

Council for Voluntary Organisations (NCVO) in 2005 (Morris, 2005, pp. 782-783). The code was developed for all those involved in governing activities within the sector, particularly chief executives and trustees, no matter the size of the organisation (Morris, 2011, p. 49). This was followed by a suite of National Occupational Standards in 2006 and a Charity Commission publication on the ‘Hallmarks of an Effective Charity’ in 2008 (Great Britain. Parliament. The Charity Commission, 2008). Morris (2011) concedes that the rapid launch of various initiatives left some feeling confused and unclear about the purpose of each of the publications, and whether some aspects would be seen as mandatory by default (Morris, 2011, p. 50: Third Sector, 2006). The Code of Governance was subsequently updated by the code steering group and published by NCVO in 2010, and again in 2017 after full and extensive consultations taking into account good practice across the sector (NCVO, 2017: Atkinson, 2017).

At the same as these guidance documents emerged, work was also underway to improve public service efficiency and effectiveness. The Good Governance Standard for Public Services was launched in response to this by the Chartered Institute of Public Finance and Accountancy (CIPFA) in 2005 (Morris, 2011, p. 50).

The third sector now not only had its own guidance but as Liddle (2018) and Hemmings (2017) acknowledge, those who were engaged in delivering public services were now under increasing pressures from beyond their own boundaries. In most cases this was driven by new administrative and governance arrangements brought about by New Public Management and New Public Governance mechanisms (Liddle, 2018, p. 661: Hemmings, 2017, pp. 43-44: Rochester 2013).

Table 2: Timeline of Key Developments in the Regulation and Governance of UK Third Sector Organisations

Title	Year(s)	Overview
Charter of Liberties	1100	- Written to help alleviate ill treatment of people and highlight their rights.
Magna Carta	1215	- Outline of civil liberties and rule of law.
First record of state regulating charitable activities	1500-1599	- Early discussions on defining the sector - Laws and statutes introduced specifically

		around fraudulent giving in 1597 (The Charitable Uses Act).
Statute of Charitable Uses	1601	- The legal basis for current charity laws and regulations (Mohan and Breeze, 2016, p. 7).
Elizabethan Poor Law	1601	- Established to alleviate issues over land use in church parishes by those in poverty (Anheier, 2014, p35).
Sir George Rose's Act	1793	- The formation of friendly societies.
Poor Law Reforms	1834	
Municipal Corporations Act	1835	
Charitable Trusts Act	1853	
Charity Commission Established	1860	- Regulator for all charities and related organisations as defined by the relevant Charities Acts.
The Charity Organisation Society Established	1869	- Worked to develop standards and ways of working in the sector
Recreational Charities Act	1958	- Covers leisure and recreation activities and facilities
Charities Act	1960	- Formal regulations for all charitable organisations and others across the third sector
Register of Charities in England and Wales Established	1961	- Regulatory control of charities formalized
Charities Act	1992	- Formal regulations for all charitable organisations and others across the third sector
Charities Act	1993	- Formal regulations for all charitable organisations and others across the third sector
Good Governance Standard for Public Services Launched	2005	- Aimed at all those working in the public service sector. This includes third sector organisations in receipt of monies for delivering public services.
Code of Governance Launched	2005	- NCVO launches first Code of Governance for the sector.
Charities Act	2006	- Formal regulations for all charitable organisations and others across the third sector. - First time charity has a statutory definition. - Charitable Incorporated Organisation

		introduced to avoid dual regulation between charity and company law (Morris, 2011, p. 45).
National Occupational Standards for trustees and management committee members finalised	2006	- Competency requirements for those volunteering in third sector organisations.
Hallmarks of an Effective Charity Published	2008	- Charity Commission publishes information about the principles of good governance.
Code of Governance updated	2010	
Charities Act	2011	- Formal regulations for all charitable organisations and others across the third sector now including social enterprise.
Localism Act	2011	- Designed to give greater powers to councils, communities and individuals.
Public Services (Social Value) Act	2012	- Public bodies must ensure they consider the economic, social and environmental impact and benefits of any commissioning or procurement activity.
The Lobbying Act	2014	- Outlines the rules and regulations around campaigning and lobbying for charities and other social organisations.
Charities (Protection and Social Investment) Act	2016	- Update to Charities Act (2011) to include social finance and investments.
Code of Governance updated	2017	

Note

The full details of all the primary and secondary legislation listed here is available on the UK Government website (Great Britain. Parliament. Legislation, 2019).

This list does not include or indicate where subsequent legislation has been brought in for other sectors or business areas (for example business taxation) and/or where aspects of acts have been subsumed or repealed. It also does not cover individual statutes for countries formed as part of the devolved governments for Wales, Scotland or Northern Ireland.

2.6 New Public Management: Towards New Public Governance

One of the biggest contributions third sector organisations have made to society over many years has been in terms of public service delivery. Whether this has been through

the development of: the welfare state (Harris, 2010: Glasby, 2007: Finlayson, 1994); health, social housing and care provision (Hopkins, 2007: Bode, 2006: Le Grand and Bartlett, 1993); employability services (Lindsay *et al*, 2014: Davies, 2008: Hopkins, 2007: Davies, 2006); part of local strategic partnerships and the framework of local enterprise partnerships in the UK (Liddle, 2018).

It could be argued that as part of these developments third sector organisations have had to become more *'business-like'* in their operations to culturally fit alongside their public sector counterparts. (Although, being more *'business-like'* is an ambiguous term (Dart, 2004, p. 293) as indicated in Chapter 2). Throughout the last century political parties have used various forms of administrative management tools and techniques to monitor and track the performance and effectiveness of public services provision (Liddle, 2018, pp. 660-661). The most notable within the last forty years, termed New Public Management (NPM), introduced varying levels of market driven incentives to help improve accountability and productiveness within and across services provided by the UK government (Kettle, 2000: Hood, 1991). Which has lead, it pertained, to better problem-solving (Ammons and Rivenbark, 2008), integration of systems (Hatry, 2010: Moynihan and Pandey, 2005: Hatry, 2002: Wholey, 1999); policy making and better use of public funds. NPM has not been without its critics, with academics and policy makers arguing that it had so far been unsuccessful in *'confronting the myriad of complex problems facing both public officials and citizens'* (Liddle, 2018, p. 661) leading to issues of trust, legitimacy and *'collaborative capacity'* (Rees *et al*, 2012, p. 1).

An increasingly skeptical position on NPM emerged in the early part of the 21st century that it did not truly enable effective monitoring and reporting of public service delivery. Plus, these relationships *'tend to be cloaked in ambiguities'* (Schwartz, 2001, p1180). There was also concern about an inability in some parts of the public sector to work in true partnership with third sector organisations (The Charity Commission, 2007, p. 23). As such, there was a need to shift the focus of performance management to take account of the *'fragmented and inter-organisational context of public services'* (Lindsay *et al*, 2014, p. 193). Those administrative techniques and tools of NPM needed to be intertwined with *'broader paradigms'* that included the governance of cross-sectoral relationships (Lindsay *et al*, p. 193). Indeed, Osborne (2010) critiques that these

mechanisms are likely to *'co-exist'* in the realm of public service delivery (Osborne, 2010, p. 2).

Therefore, New Public Governance (NPG) emerged at a time when there needed to be a greater focus on the *'inter-organisational'* and *'interactive'* nature of public services (Lindsay et al, 2014, p. 193). Predominantly, the benefits that third sector organisations bring as part of these arrangements like flexibility, independence, being innovative, specialist skills and a *'lack of institutional baggage'* (Lindsay et al, 2014, p. 195: Osborne and McLaughlin, 2004, p. 577).

With the focus shifting away from intra-organisational and systemic processes akin to NPM, this opened up a number of opportunities for third sector organisations. Although, engagement with public sector organisations in project delivery was not new, with ways of working already in place via the 1998 'Compact' and other measures such as the 'ChangeUp' and 'Futurebuilders' programmes (Alcock, 2010: Great Britain. Parliament. Cabinet Office, 2006). Smith and Smyth in Osborne (2010) relay that policy-makers saw it timely to launch new specialist provision shaped more to the needs of beneficiaries alongside greater opportunities for competition/co-opetition between providers operating in quasi-markets (such as the introduction of hybrid organisations and social enterprises) (Lindsay et al, 2014: Painter, 2013: Billis, 2010: Kelly, 2007) as well as broader engagement and collaboration with end-users.

In terms of what NPG is, Bao et al (2012), stress that NPG is *'value-centred'* rather than performance related (Bao et al, 2012, pp. 446-447). It focuses on the characteristics of good governance that are central to building legitimacy and trust as well as the processes required in its facilitation. It places emphasis on aggregative collaborative processes that lead to *'implementable agreements'* (Bao et al, 2012, p. 447) and courses of action that will create the best public value (Bao et al, 2012: Sanger, 2008: Yang and Holzer, 2006). Even if some stakeholders do not agree with the outcomes, the strength of NPG is that it involves a wide range of cross-sectoral stakeholders, and the role of government is as a *'catalyst agent'* to enable *'shared ownership'* of end results (Bao et al, 2012, p. 447).

NPG also brought with it a number of challenges that third sector organisations would need to address in terms of: their independence; advocacy roles; being over-reliant on public funding; increased competitive behaviours and potential '*mission drift*' (Macmillan, 2010, p. 5).

Yet, with the shift to NPG, academics started to conceptualise third sector governance as a form of '*relational governance*' (Philips and Smith, 2011, p. 7) to reflect the inter-organisational collaborative nature of day-to-day business in the sector. Concepts surrounding co-governance or '*Collaborative Governance*', I argue (in this thesis) thus began to emerge, and are essential to understanding the workings of the UK third sector in the 21st century.

2.7 Chapter Summary

Overall in this chapter I have established that the third sector has a rich and varied history. Still, there remains a wide debate about what should be included in the sector footprint. I have recognised that the sector in the UK is itself complex and difficult to define due to its '*fuzzy boundaries*'. I have also begun to explore the regulatory and governance requirements which impact how third sector organisations are governed today. In particular the need for the sector to adjust and become more '*business-like*' particularly with regard to the third sectors necessary integration with public service delivery, and the administrative and governance mechanisms imposed to make this happen. With this in mind, my thesis contributes to existing third sector governance literatures (for example Morris, 2011: Cairns and Harris, 2011: Anheier, 2014) by calling for more collaborative forms of governance (and leadership); thus, helping to take UK third sector organisations and their leaders well into the 2020s and beyond.

In the next chapter, I will begin to explore the forms, mechanisms and complexities surrounding collaborative governance third sector organisations in the UK in more detail. This will draw on prior research, and experts in governance of third sector organisations in the United Kingdom (UK) and on a global scale.

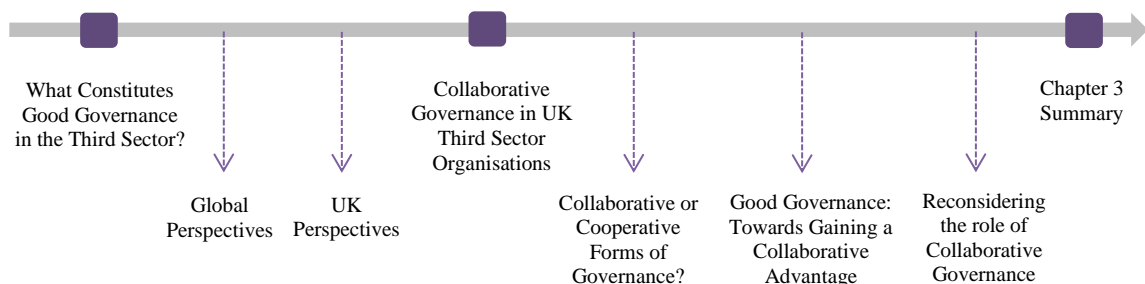
Chapter 3

Forms and Mechanisms of Collaborative Governance in UK Third Sector Organisations

3.1. Chapter Introduction

In this chapter I aim to explore the complexities of understanding collaborative governance in third sector contexts. First of all I will attempt to define what good governance is and looks like from a global and UK perspective. I will then articulate what this means for collaborative governance in the third sector and how and why this is needed to enable organisational effectiveness. This will draw on prior research, and experts in governance of third sector organisations in the United Kingdom (UK) and on a global scale.

Figure 4: Overview of Chapter 3



3.2 What Constitutes Good Governance in the Third Sector? A Global Perspective

Discussions about what constitutes overall good governance practices in the third sector have enlightened the global intra- and inter-organisational effectiveness literature for nearly sixty years. From a synopsis of the key literature, a number of themes have emerged which enable different perspectives to be considered when trying to understand what makes governing arrangements successful (See Table 3 for an overview of the key themes). These themes converge around aspects of power, control and influence; board composition skills and experience; and board performance and organisational effectiveness.

3.2.1 Board Power, Control and Influence

The challenges of power, control and influence surrounding governing boards in the third sector are well documented in the literature. Tannenbaum's 1961 study into control and effectiveness in a voluntary women's league organisation in the US was perhaps the first to recognise these challenges. Findings indicated that leaders tended to '*exercise more control*' than members whilst understanding that directing the women's league is complex which could lead to '*oligarchic*' or '*laissez-faire*' patterns of leader behaviour (Tannenbaum, 1961, pp. 44-45). These types of behaviours are also identified in Zald's 1967 study into board composition and organisational effectiveness of Chicago based YMCAs. Characteristics of board members were explored and related to organisational outcomes including financial contribution, programme participation, meeting attendance and reputational measures (Zald, 1967, p. 267). It is perhaps the first study (within the limits of the data) to indicate a relationship between board characteristics and effectiveness (Zald, 1967, p. 271), whilst introducing theoretical propositions about board powers over resource management and funding. Zald (1967) outlines that the effectiveness of these boards was also linked to how many connections board members had with other organisations or '*centers [sic] of power*' as this was perceived to enable greater '*command of resources*' and '*financial aid*' to the organisation. As for board members, their involvement at this time was more about the importance of '*social status*' or '*community prestige*' which perhaps they thought outweighed the need to attend meetings and participate less in the activities of the organisation (Zald, 1967, p. 272).

Agency of board members is also highlighted by Provan (1980) who addressed research questions surrounding relationships between board power and organisational effectiveness as well as impacts of power on funding acquisition. Findings indicated a strong support for the notion that '*a powerful board is important for agency effectiveness*' (Provan, 1980, p. 229). Similar to Zald (1967), predictors of funding were correlated to the number of connections of board members and board size (Zald, 1967, p. 230), although board power was not shown to relate to measures of funding.

‘Agencies that have been able to attract and co-opt important and influential members of the community and its power structure to serve on their boards have the potential to influence fund sources’ (Provan, 1980, p. 234)

Aspects of the influence of board members have also been articulated and critiqued by Herman and Tulipana (1985). They investigated what constituted a ‘good board’ in nonprofit organisations. Specifically, that board composition has consequences for external effectiveness (Herman and Tulipana, 1985, p. 48). In their study they explored whether board-staff relations can be measured and conceptualised; and if any differences between relationships lead to differences in organisational effectiveness (Herman and Tulipana, 1985, p. 49). Findings indicated that members of third sector organisations are not as influential as they might wish; the influence of board members is positively related to board meeting frequency (unlike the earlier work of Tannenbaum, 1961); and at the organisational level, effectiveness is related to the total influence an organisation has (although this seems to reflect the strength of an executive director’s influence rather than board influence) (Herman and Tulipana, 1985, pp. 56-57).

At this point it can perhaps be noted that between the 1960s and 1980s there seems to be a step-change in terms of the level of power, control and influence that is being exerted by third sector board members. There seems to be a particular decline in the effectiveness of their influence and the ability to use their connections to foster financial gain for their organisations. This is corroborated by Miller *et al* (1988) who indicated in its findings that board engagement in long-term planning was related to declining rates of state and private donor funding. Political influence was also related to specific funding routes with Miller *et al* suggesting that more influence and persuasion is needed during times of austerity (Miller *et al*, 1988, pp. 87-88).

Good third sector governance can also be related to the engagement and influence between board members, staff and volunteers. Kushner and Poole (1996) focused on finding out if there are any configurations of labour and influence associated with effectiveness. Results indicated the categorisation of four types of influencers. These were identified as grass roots – where influence is a combination of volunteer decision making and diffused control; the co-ordinating organisation – where staff need to

facilitate decision making with volunteers; directorial – where the board has limited influence as staff control strategy and programmes of work; and finally, institutional – this is where trustees are in control of strategy, management and results of the organisation (Kushner and Poole, 1996, p. 127). The least effective organisation was identified as a ‘*grass roots*’ organisation due to ‘*structural deficiencies*’. It is reported that the board micro-managed activities with only one volunteer assuming responsibility for a range of administrative and programming requirements. The organisation had since ceased trading (Kushner and Poole, 1996, p. 130). The most effective organisation was a ‘*directorial*’ organisation where there was a shared ownership of fundraising and administrative functions. When financial performance of all these organisations was considered alongside organisation type those most effective was seen to combine ‘*institutional, directorial and coordinating characteristics*’ (Kushner and Poole, 1996, p. 130). In this circumstance, the most effective organisation was deemed to have sound administrative procedures and practices, financial surpluses were regularly reported and management control was diffused throughout the organisation (Kushner and Poole, 1996, p. 131).

However, what skills and experience do board members require to enable good governance?

3.2.2 Organisational Composition, Skills and Experience

As well as the power, control and influence of board members, studies have frequently shown that the educational levels, skills and experiences of third sector leaders are equally as important to consider when it comes to organisational effectiveness. (Aspects of leadership effectiveness will be explored in the next chapter.) With Herman and Tulipana’s (1985) study perhaps being the first to recognise that organisational effectiveness is related to educational levels of staff, and board members being sufficiently informed about their areas of work (Herman and Tulipana, 1985, p. 56). This perspective was later captured by Miller *et al* (1988) who aimed to examine the relationships between board composition and its activities, as well as these activities and agency outcomes (Miller *et al*, 1988, p. 82). Findings indicated a number of ‘*surprising*’ results. Legal expertise did not mean board members increased legal advice; fundraising expertise of members did not predict engagement in fund-raising for

the agencies; human relations (HR) expertise was not significantly related to personnel issues; and financial expertise did not relate to significant involvement in planning budgets or accounting (Miller *et al*, 1988, p. 84). Although board size was seen as significant this was not seen to relate to any of the activities mentioned. However, it was recognised that larger boards tend to be more dynamic, but it is not the numbers that matter but their background expertise (Miller *et al*, 1988, p. 86).

In terms of board structures and composition, a few years later, Bradshaw *et al* (1992) researched the contribution of board structures and processes to organisational and board effectiveness. Findings from the study indicated various sizes of boards were in operation in third sector organisations, which ranged in size from 3 to 65 people (although the median was 15). Age-ranges were also noted of boards, with at least 21% of those that responded made up of members aged 41-50 years old (Bradshaw *et al*, 1992, p. 235). In contrast, Callen *et al* (2003) however found no significant relationship between organisational efficiency and board composition (Callen *et al*, 2003, p. 517). In its study they reviewed the types of people included on third sector boards, whether these were employees, donors, ‘celebrities’, those with professional skills, retired or ex-officio members. The majority of boards consisted of those with semi-professional skills (37%), major donors (26%) and ‘celebrities’ (18%) (Callen *et al*, 2003, p503).

In terms of the skills required Puyvelde *et al* (2018) suggest using job descriptions to outline role requirements, particularly for chairpersons (Puyvelde *et al*, 2018, p. 1307). Chairs, they argue, should have good interpersonal skills and be a team leader (Harrison *et al*, 2014, p. 76). Conflict skill building and those which enable the building of trust were also identified alongside the ability to build relationships with the CEO (Puyvelde *et al*, 2018, p. 1307).

However, perhaps organisational effectiveness is not just about the composition, numbers, age, skills and experiences of third sector leaders. Perhaps organisational effectiveness is now about how positive relationships can be nurtured within organisations and the skills and experience to foster this between chief executives, board chairs and members. Hodge and Piccolo (2005) begin to explore and identify trends in downsizing boards to aid the efficiency and effectiveness of third sector

organisations, particularly around funding and fundraising. They recommend that board members should be more involved in day to day activities:

‘...engaging the organisation’s board...in a way that encourages member participation in strategic planning, committee involvement and resource development will likely reduce the organization’s vulnerability’ (Hodge and Piccolo, 2005, p. 184)

The different levels at which employees and board members are engaged with what is happening within the wider organisation will ultimately have an impact on the performance of it. A number of studies have begun to investigate this relationship in terms of board performance and its connection with organisational effectiveness.

3.2.3 Board Performance, Board Effectiveness and Organisational Effectiveness

A focus on third sector board performance and effectiveness as part of successful governing arrangements has appeared regularly in the literature since the 1990s. Coexisting at a time when changes were also underway to improve mechanisms and raise standards of corporate governance (The Cadbury Report, 1992). Ways in which boards record and self-assess their performance and find ways to improve their operations is fundamental to ensuring board and organisational effectiveness (Jackson and Holland, 1998; Slesinger, 1991; Taylor *et al*, 1991).

Relationships between board performance, board effectiveness and organisational effectiveness were first outlined by Green and Griesinger (1996). Key results from its study with chief executives and board members indicated that they highly rated the effectiveness of services provided by their organisations, but they were unable to provide comparisons with other organisations (Green and Griesinger, 1996, p. 389). Findings also indicated differences between views of board members and chief executives when it came to board responsibilities. With chief executives preferring time limited appointments and boards having a greater emphasis on legal accountabilities as well as personal financial commitments. Board members would also prefer more time with staff than chief executives thought necessary with particular regard to administrative improvements (Green and Griesinger, 1996, p. 391).

In the following year, Siciliano (1997) investigated how boards were involved in strategic planning and how this impacted organisational effectiveness. Recommendations were outlined that the board is responsible for monitoring external conditions and trends to help inform the strategic planning process. Board members are also encouraged to monitor action plan development alongside monitoring of results. However, it is recognised that in some circumstances sub-committees that report to the board may be required to fulfill some of these activities. Other human resources, including external consultants may be required to fulfil duties where the skills of existing staff or board members cannot be utilised (Siciliano, 1997, p. 399).

If boards are more engaged and involved in the monitoring and auditing of activities, does this make organisations more effective? Herman and Renz (1997) focused on trying to ascertain whether there are any meaningful indicators of non-profit organisational effectiveness and if these differ depending on the stakeholder and the organisation concerned (Herman and Renz, 1997, pp. 195-196). Their findings give a strong indication that organisations with effective boards are also likely to be considered as effective organisations, although Herman and Renz recognise that the differing views of stakeholder judgements about board and organisational effectiveness need exploring further (Herman and Renz, 1997, p. 198). The same year Herman *et al* (1997) explored these different viewpoints in more detail. They discovered from a social constructionist perspective that different stakeholders have different perspectives and opinions on what makes boards and organisations effective. They recognised that advice and guidance to aid effective board performance are readily available but are not often used by some boards identified in the study (Herman *et al*, 1997, p. 378). Those that did use information about '*board practices*' were '*...on average, judged by CEOs as more effective*' (Herman *et al*, 1997, p. 362).

These perspectives are echoed in Herman and Renz's (2004) study which looked at best practice and board effectiveness. They suggest that in order to be effective, boards need to take account of good practices (they argue that best practices need to be reviewed critically (Herman and Renz, 2004, p. 701: Keehley *et al*, 1997)) However, doing things the right way may not guarantee board effectiveness either. Good

communication alongside implementing good practices is perhaps the key to ensure boards are performing to the best of their abilities.

Puyvelde *et al* (2018) echo this perspective. They recognise that interactions and relationships between board members are very important and recommend ways in which good practices can be implemented. For example: good meeting practice which encompasses board members getting the right information to make informed decisions; as well as meetings that focus on strategy and organisational policy (Puyvelde, 2018, p. 1307). Other elements of good practice include that it's important for board members to actually have time to spend together. This can involve: coaching; '*helping develop others strengths*'; leading board meetings and '*contributing unique perspectives*'. By doing these things, Puyvelde *et al* (2018) argue that boards will see their overall performance improve (Puyvelde, 2018, p. 1308). .

In summary this section has outlined a progression in the global literature on what constitutes good governance in the third sector from perspectives of power, control and influence; through a focus on the skills and experiences of third sector leaders including board members; to a more detailed look at board performance and the tools and mechanisms that can be used by governing boards today to ensure their effectiveness and to reduce their vulnerability to external issues for example periods of austerity. The next section will address how good governance is perceived in UK third sector organisations.

Table 3: Key Developments Surrounding Good Governance in Third Sector Organisations – a Global Perspective

Theme	Author and Country of Origin	Key Findings and/or Activities
Power, Control and Influence	Tannenbaum, (1961) – United States	<ul style="list-style-type: none"> Challenges surround control and influence leading to ‘<i>oligarchic</i>’ or ‘<i>laissez-faire</i>’ patterns of leader behaviour (Tannenbaum, 1961, pp. 44-45).
	Zald (1967) – United States	<ul style="list-style-type: none"> First study to identify relationships between board characteristics and effectiveness. In particular the link of board power to control over finance, resource management and organisational reputation.
	Provan (1980) – United States	<ul style="list-style-type: none"> Strong support for the notion that ‘<i>a powerful board is important for agency effectiveness</i>’ (Provan, 1980, p. 229). Board power is not related to measures of funding effectiveness, but predictors of funding are correlated to board size and the number of connections of board members (Provan, 1980, p.230).
	Herman and Tulipana (1985) – United States	<ul style="list-style-type: none"> Members of third sector organisations are not as influential as they might wish although the influence of board members is positively related to board meeting frequency (Herman and Tulipana, 1985, pp. 56-57).
	Miller <i>et al</i> (1988) – United States	<ul style="list-style-type: none"> Political influence is related to specific funding routes with suggestions that more influence and persuasion is needed during times of austerity (Miller <i>et al</i>, 1988, pp. 87-88). External public relations and political influence was also less likely to take place by boards if more insiders were engaged at board level.
	Kushner and Poole (1996) – United States	<ul style="list-style-type: none"> Four types of influencers identified: <ol style="list-style-type: none"> grass roots – where influence is a combination of volunteer decision making and diffused control; the co-ordinating organisation – where staff need to facilitate decision making with volunteers; directorial – where the board has limited influence as staff control strategy and programmes of

		<p>work; and</p> <p>4. institutional – this is where trustees are in control of strategy, management and results of the organisation (Kushner and Poole, 1996, p. 127).</p>
Board Composition, Skills and Experience	Herman and Tulipana (1985) – United States	<ul style="list-style-type: none"> • Organisation and board composition has consequences for external effectiveness (Herman and Tulipana, 1985, p. 48).
	Miller <i>et al</i> (1988) – United States	<ul style="list-style-type: none"> • Even though third sector leaders will have certain skillsets this does not mean that these skills are put to use for the benefits of the organisation (Miller <i>et al</i>, 1988, p. 84). • Larger boards tend to be more dynamic but it is not the numbers that matter but their background expertise (Miller <i>et al</i>, 1988, p. 86).
	Bradshaw <i>et al</i> (1992) – Canada	<ul style="list-style-type: none"> • A strong correlation is noted between the amount of strategic planning of boards and the extent that board members share the vision for the organisation (Bradshaw <i>et al</i>, 1992, p. 235). • Effective boards were seen to experience little conflict or challenges between staff and the board (Bradshaw <i>et al</i>, 1992, p. 237).
	Callen and Falk (2003) – United States	<ul style="list-style-type: none"> • No significant relationship found between efficiency and board composition.
	Hodge and Piccolo (2005) – United States	<ul style="list-style-type: none"> • Although there is a trend in downsizing the numbers of people on nonprofit boards a positive relationship was uncovered between board size and board involvement techniques deployed by CEOs (Hodge and Piccolo, 2005, pp. 180-181).
Board Performance,	Slesinger (1991) – United States	<ul style="list-style-type: none"> • First mechanism for the self-assessment of nonprofit governing boards published.
Board Effectiveness and Organisational Effectiveness	Taylor <i>et al</i> (1991) – United States	<ul style="list-style-type: none"> • Recommends better orientation and development programmes for trustees. This is important as a ‘board composed of trustees who feel more connected... will perform more effectively’ (Taylor <i>et al</i>, 1991, p. 222)
	Green and Griesinger (1996) –	<ul style="list-style-type: none"> • Differences between views of board members and chief executives when it came to board

United States	<p>responsibilities.</p> <ul style="list-style-type: none"> • Board members would prefer more time with staff than chief executives thought necessary with particular regard to administrative improvements (Green and Griesinger, 1996, p. 391).
Siciliano (1997) – United States and Canada	<ul style="list-style-type: none"> • Implications raised for the involvement of board members in strategic planning and how this impacts board and organisational effectiveness (Siciliano, 1997, p. 399). Engagement in providing feedback on external environmental conditions was particularly noted.
Herman and Renz (1997) – United States	<ul style="list-style-type: none"> • A strong indication that organisations with effective boards are also likely to be considered effective organisations (Herman and Renz, 1997, p. 197).
Herman <i>et al</i> (1997) – United States	<ul style="list-style-type: none"> • Different stakeholders have different perspectives and opinions on what makes boards and organisations effective (Herman <i>et al</i>, 1997, p. 375). • Although a number of prescriptive practices are available for boards to use these were often not used by some boards included in this study (Herman <i>et al</i>, 1997, p. 378). Those boards that did use advice and guidance available were ‘<i>on average, judged by CEOs as more effective</i>’ (Herman <i>et al</i>, 1997, p. 382).
Jackson and Holland (1998) – United States	<ul style="list-style-type: none"> • Tool developed and tested to assess board performance and effectiveness.
Herman and Renz (1999) – United States	<ul style="list-style-type: none"> • First authors to provide an overview of existing literature on board effectiveness and its connections with organisational effectiveness. • Recognises the limitations of existing research and that how boards make a difference is not clear (Herman and Renz, 1999, p. 113). Indeed, the ‘<i>specific behaviors and/or characteristics of boards that make for greater board effectiveness are not well understood</i>’ (Herman and Renz, 1999, p. 115).
Herman and Renz (2000) – United States	<ul style="list-style-type: none"> • Organisational effectiveness of nonprofits is strongly related to board effectiveness. It is also ‘<i>plausible that organisational effectiveness is a predictor of board effectiveness</i>’ (Herman and Renz, 2000, p. 158).
Herman and Renz (2004) –	<ul style="list-style-type: none"> • Suggestions that always following the rules may not be a guarantee of board effectiveness (Herman and

	United States	<p>Renz, 2004, p. 701).</p> <ul style="list-style-type: none"> • Best practice does not exist. If it does it surrounds regular communications with stakeholders (Herman and Renz, 2004, p. 701). • However, third sector leaders and boards that keep up to date with good practices are likely to increase chances of receiving funding (Herman and Renz, 2004, p. 701).
	Gill <i>et al</i> (2005) - Canada	<ul style="list-style-type: none"> • Outlines a validity assessment of a governance tool used in Canada to assess board performance and effectiveness (the Governance Self-Assessment Checklist).
	Hodge and Piccolo (2011) – United States	<ul style="list-style-type: none"> • Board effectiveness is a ‘<i>significant predictor</i>’ of the financial health of an organisation (Hodge and Piccolo, 2011, p. 520).
	Puyvelde <i>et al</i> (2018) – United States	<ul style="list-style-type: none"> • Interactions between board members are very important as they are ‘<i>positively associated</i>’ with chair and CEO perceptions of board and organisation effectiveness (Puyvelde <i>et al</i>, 2018, p. 1304).

3.3 What Constitutes Good Governance in UK Third Sector Organisations?

The governance of UK third sector organisations has continued to face increased scrutiny over the last decade with high profile governance failures of charities and social enterprises reaching the headlines (for example, Kids Company in 2015 (Civil Society, 2017: Great Britain. Parliament. House of Commons, 2016), and Oxfam in 2018 (Gulland, 2019: Charity Commission, 2018: BBC News, 2018)). However, challenges impacting the effectiveness of third sector organisations in the UK are not new. A recognition that the governance of third sector organisations was in need of greater attention had already been recognised by the Charity Commission thirty years ago. This followed contentious government reports published in the late 1980s (Great Britain. Parliament. National Audit Office, 1987: Woodfield, 1987) which found the sector to be '*largely unsupervised*' (Harrow and Palmer, 1998, p. 172: Holden, 1996). This led to new regulatory requirements as laid out in the Charities Acts of 1992 and 1993 (an outline of legislative developments is provided in Chapter 2).

At about the same time, research and discussions about what constitutes good effective governance of UK third sector organisations first started to emerge in the academic literature (Harris, 1999: Cornforth and Edwards, 1998). These early, but limited, studies recognised the complexities of working relationships between employees, management and board members. Cornforth (2001a) argues that until this time much of the practical advice provided to UK third sector organisations regarding governance had been prescriptive and built on US experiences (Cornforth, 2001a, p. 218: Adirondack, 1999: Nunan, 1999: Kirkland, 1994: Carver, 1990). Yet, Cornforth (1996) had earlier critiqued that these practical perspectives were often unrealistic, subjective and lacked credible research to underpin some of their recommendations (Cornforth, 1996, p. 2.: Herman, 1989, p. 194).

Similar to the global perspectives, for third sector organisations in the UK the very limited research literature that has appeared has converged around the themes of power, control and influence; organisational composition, skills and experience; and board performance, board effectiveness and organisational effectiveness. (Table 4 provides an overview of these key themes and relevant observations.) Additionally, unlike previous

global perspectives it is the first time that good governance and the complexities for social enterprises in the UK have been considered and unveiled.

3.3.1 Power, Control and Influence in UK Third Sector Organisations

In the literature, the focus on power, control and influence in corporate governance arrangements in the UK has historically been shaped by the dichotomy in institutional theory between stakeholder and stewardship perspectives. Yet, it was perhaps Cornforth and Edward's (1998) comprehensive study that first began to explore the critical factors that impact specifically on governance arrangements in UK third sector organisations. In their research they investigated how board members were perceived and what constraints they faced, and crucially the relationships between board members and senior management teams. In terms of power, control and influence they discovered that staff are often not clear about the roles that boards have in governing third sector organisations (Cornforth and Edwards, 1998, p. 1). Therefore, it was not clear what influence (if any) staff could have in the running of their organisations (Cornforth and Edwards, 1998, p. 1). Cornforth and Edwards (1998) suggest a way in which this understanding could be reached is for power to be shared between third sector boards and those responsible for operational activities (Cornforth and Edwards, 1998, p. 2). Thus, it is clear that governance should be used to focus on key challenges the organisation faces rather than operational matters (Cornforth and Edwards, 1998, p. 44).

The complexities of putting into place appropriate governance structures is later noted in three studies (Spear *et al*, 2009: Cornforth and Simpson, 2002: Cornforth, 2001a:), particularly, the use and role of subcommittees. These were reported to be increasing in popularity in larger third sector organisations (with an income of more than £10m) (Cornforth and Simpson, 2002, p. 462). How to structure governance arrangements with appropriate mechanisms and stakeholders is also a consideration for UK social enterprises. As Spear *et al* (2009) argue, for social enterprises the loci of governance control depends very much on the nature of the enterprise, as the use of trading or charitable subsidiaries '*can lead to more complex multi-level governance structures*' (Spear *et al*, 2009, p. 262). (Although some charities will also have set up trading arms to '*contain risks from commercial activities*' (Sladden, 2008)). The needs and interests

of multi-stakeholders need to be balanced in amidst this complexity, but difficulties may arise in seeking consensus in decision making (Spear *et al*, 2009, p. 256). With an increasing involvement of '*professional managers*' there are concerns that their personal interests will outweigh those of stakeholders. Boards will potentially just become a mechanism for '*rubber stamping*' management interests (Spear *et al*, 2009, p. 257), though Miller (2002) suggests there is little evidence to say that this is happening (Miller, 2002, pp. 447-448). This causes issues for strategic planning especially when it comes to goal setting with external market pressures meaning that '*social goals [may] get squeezed out*' (Spear *et al*, 2009, p. 259).

3.3.2 Organisational Composition, Skills and Experience in UK Third Sector Organisations

Following on from their considerations about governance structures, Cornforth and Edwards (1998) also considered aspects of board composition and board appointment processes. Their findings indicated there is a balance to be found between stakeholder representation on governing boards and those with the relevant business skills and experience (Cornforth and Edwards, 1998, p. 1). Although, recognising (similar to broader global perspectives) that board members (trustees) can often lack the skills, time and information needed to engage in matters of strategic importance to the organisation (Cornforth and Edwards, 1998, p. 2). There are also challenges when it comes to board appointments with the lack of transparency being reported, particularly, with the use of informal networks (Cornforth and Edwards, 1998, p. 2).

Later, Cornforth (2001a) focused on the skills and experiences third sector leaders (in particular board members) required. He identified that it is very important that boards have clearly identified roles and responsibilities with the right level and mix of skills, experience and time to do a good job (Cornforth, 2001a, p. 225). Although he recognised in this study that board size was not related to board and organisational effectiveness, a study the following year (Cornforth and Simpson, 2002) identified (from a national survey of charities) that the average size of a board was between 9-10 people (Cornforth and Simpson, 2002, p. 458). Although Cornforth and Simpson (2002) recognised that steps were underway by some organisations to reduce the

numbers on their boards, this was only apparent for the larger organisations included in the study (Cornforth and Simpson, 2002, p. 462). (A call for governing boards for sports organisations in particular to become smaller was also made a few years later by Taylor and O’Sullivan (2009)).

Recruitment of trustees is seen to be an issue particular for smaller organisations (Cornforth and Simpson, 2002, p. 461). Spear *et al* (2009) also identify that it is increasingly difficult to recruit suitable volunteers to board positions (Spear *et al*, 2009, p. 256) with the right skills and experience (Spear *et al*, 2009, p. 257), particularly business, financial, and strategic skills (Spear *et al*, 2009, p. 261). This is especially the case for small to medium sized organisations (Cornforth, 2001b, p. 9: Baker Tilly, 2007). Although, Hodgkinson (2008) indicated that third sector organisations are becoming more professional in the ways they recruit board members. Cornforth (2001) had earlier suggested that the use of job descriptions, induction and other training is not significantly linked to improving board performance (Cornforth, 2011, p. 225). Although, he also identifies that larger organisations are more likely to provide job descriptions for board members, and the availability of training for board members is likely to increase with the size of the organisation (Cornforth and Simpson, 2002, p. 459).

However, Low (2006) considering an earlier study by Abzug and Galaskiewicz (2001) suggests that *‘the performance of a non-profit will be judged in part on the basis of who is on their board rather than what they achieve...’* (Low, 2006, p. 379). (Thus, noting trends of third sector organisations trying to attract celebrities and high profile business characters of influence into board positions).

3.3.3 Board Performance, Board Effectiveness and Organisational Effectiveness of UK Third Sector Organisations

A governing board *‘bears the ultimate responsibility for the integrity of the corporate [and] general compliance with the law’* (Low, 2006, p. 376: OECD, 1998, p. 49).

With the rapid growth and expansion of third sector organisations, especially those considered hybrid organisations including social enterprise, challenges will surround the accountability and quality of their governance arrangements (Spear *et al*, 2009, p. 248). In their earlier deliberations, Cornforth and Edwards (1998) had already identified challenges in identifying appropriate mechanisms for capturing and auditing the performance of third sector boards. With weak boards being seen to lack ‘*stewardship*’ and ‘*accountability*’ (Cornforth and Edwards, 1998, p. 49), as tools and mechanisms of assessing financial performance are often deficient (Cornforth and Edwards, 1998, pp. 77-78). To counteract this they suggest including regular board reviews and audits as these are seen as an important contribution to board effectiveness (Cornforth and Edwards, 1998, p. 3). Cornforth (2001) suggests that it is these board reviews and decisions regarding the strategic direction of the organisation that have the most impact when reviewing board performance (Cornforth, 2001, p. 225). This is echoed by Connolly and Hyndman (2004) who express the need for third sector organisations to keep justifying their existence with performance measures necessary to counteract ‘*criticisms of poor management and ineffectiveness*’ (Connolly and Hyndman, 2004, p. 131). Mason (2010) also notes that perceptions of organisational and board effectiveness in social enterprise organisations may differ depending if you are a board member or not (Mason, 2010, p. 14). From his research he discovered differences in the way managers and board members perceive effectiveness. In particular, board members are less likely to have a negative opinion about their own board compared to non-board members (Mason, 2010, p. 14). Performance measures need to take account of both these perspectives.

In today’s third sector organisations there are a number of challenges in establishing performance measures. Arvidson and Lyon (2014), Arvidson *et al*, (2013) and Lyon and Arvidson, 2011 highlight that for areas such as social impact and the Social Return on Investment (SROI) third sector organisations may lack the expertise required to deliver the information required, and as organisations often work collaboratively it is challenging to ‘*attribute performance*’ to a specific organisation (Arvidson *et al*, 2013, p. 10). Harlock (2013) outlines that there has also been an increased emphasis by UK third sector organisations on measures related to performance and demonstrating social value in the sector as a result of pressures from government outsourcing (Harlock, 2013, p. 3). Although there are still inconsistencies in ‘*levels of practice and understanding*’

about what it is being measured with concerns that the focus is too weighted towards financial outcomes in a '*competitive funding environment*' (Harlock, 2013, p. 3). These types of measurement activities are also more likely to be seen in larger rather than small third sector organisations as there are perceived '*inequitable*' access issues to training, advice and guidance on good practice (Harlock, 2013, pp. 20-21). Although, Metcalf (2013) identifies there is a plethora of tools available (130 different types were identified as part of her research) to assist in the measurement of '*social value and impact*' but choosing the right approach and mechanisms is a time consuming process and relies on access to a myriad of resources and expertise (Metcalf, 2013, p. 13).

Despite the availability of resources for performance measures of third sector organisations, Arvidson and Lyon (2014) state that concerns still exist about what exactly is being measured in terms of social values and impact (Arvidson and Lyon, 2014, p. 884). Third sector organisations are also becoming increasingly resistant to '*power and control*' demands from external funders about what should be reported. Instead there is a focus on the perspectives of social values and impact for their own organisational requirements (Arvidson and Lyon, 2014, p. 884).

In summary this section has outlined some coherence with the global literature about what constitutes good governance in the third sector. In contrast, there has not been as much focus on the power and control exerted in the sector. The focus has predominantly been on the skills and experiences of third sector leaders, the size of boards, and how board and organisational performance and effectiveness can be measured through the use of relevant tools and reporting mechanisms. However, recognising the choice of tools for organisations to choose as part of their reporting arrangements is extensive.

Arguably, it seems the research on good governance to date in the third sector concentrates on what good governance looks like for individual organisations operating in the sector. It perhaps fails to adequately address what good governance looks like for those that are involved in formal co-operative or informal collaborative experiences. The next section will outline ways in which third sector organisations must now consider ways in which to govern their collaboration arrangements to ensure inter-organisational effectiveness.

Table 4: Key Developments Surrounding Good Governance in Third Sector Organisations – a UK Perspective

Theme	Author	Key Observations
Power, Control and Influence	Cornforth and Edwards (1998)	<ul style="list-style-type: none"> • Shared power between boards and those responsible for operational activities is encouraged (Cornforth and Edwards, 1998, p. 2). • Governance should be used to focus on key challenges not operational matters (Cornforth and Edwards, 1998, p. 44). • Staff are often not clear about the role the board has in governing third sector organisations (Cornforth and Edwards, 1998, p. 1).
	Cornforth (2001a)	<ul style="list-style-type: none"> • Level of attendance and attending meetings is linked to board and organisational effectiveness (Cornforth, 2001a, p. 225).
	Cornforth and Simpson (2002)	<ul style="list-style-type: none"> • The use of subcommittees to support governance structures is increasing and greater in organisations with income greater than £10m (93%) (Cornforth and Simpson, 2002, p. 462).
	Spear <i>et al</i> (2009)	<ul style="list-style-type: none"> • Strategic planning in social enterprises must encompass business and social goals, but external market pressures may mean that ‘<i>social goals get squeezed out</i>’ (Spear <i>et al</i>, 2009, p. 259).
Organisational Composition, Skills and Experience	Kirkland and Sargant (1995)	<ul style="list-style-type: none"> • Composition of board and board size varies according to the size of the organisation.
	Cornforth and Edwards (1998)	<ul style="list-style-type: none"> • Tensions identified between stakeholder representation on boards and those with relevant skills and experience (Cornforth and Edwards, 1998, p. 1). • Informal networks are used to find trustees leading to issues of transparency in board appointment processes (Cornforth and Edwards, 1998, p. 2). • Recognition that board members often lack the skills, time and information to engage in matters of strategic importance (Cornforth and Edwards, 1998, p. 2).
	Cornforth (2001a)	<ul style="list-style-type: none"> • Board size is not linked to effectiveness (Cornforth, 2001a, p. 225). • Areas linked to board and organisational effectiveness include that: the board has clearly

		outlined roles and responsibilities; the board has the right combination of skills, experience and time to do a good job; there is a shared vision of what the organisation needs to achieve; and the board and management team review working arrangements periodically (Cornforth, 2001a, p. 225).
	Cornforth and Simpson (2002)	<ul style="list-style-type: none"> • The average size of boards increases with organisational size (Cornforth and Simpson, 2002, p. 458). • The average size of board is identified as between 9-10 people (Cornforth and Simpson, 2002, p. 458). However, the small to medium sized charities in question were more likely to have increased numbers on their boards rather than decreased. <i>‘The converse is true for the boards of the largest charities’</i> (Cornforth and Simpson, 2002, p. 462) • Smaller organisations find it harder to recruit suitable board members compared to larger organisations (Cornforth and Simpson, 2002, p. 461). • Larger organisations are more likely to provide job descriptions for board members (Cornforth and Simpson, 2002, p. 459) • The availability of training opportunities for board members increases with the size of the organisation (Cornforth and Simpson, 2002, p. 459).
	Low (2006)	<ul style="list-style-type: none"> • <i>‘The performance of a non-profit will be judged in part on the basis of who is on their board rather than what they achieve...’</i> (Abzug and Galaskiewicz, 2001 in Low, 2006, p. 379) • Social enterprises are unlikely to demonstrate typical structures of governance normally associated with third sector organisations (Low, 2006, p. 383)
	Taylor and O’Sullivan (2009)	<ul style="list-style-type: none"> • There is a call for boards to become smaller, more business-like and structured in a more focused corporate way (Taylor and O’Sullivan, 2009, pp. 690-691). • Board member appointments should focus on members with relevant business skills (Taylor and O’Sullivan, 2009, p. 690). This should include non-executive directors (Taylor and O’Sullivan, 2009, p. 691).

	Spear <i>et al</i> (2009)	<ul style="list-style-type: none"> • The needs and interests of multi-stakeholders on the board need to be balanced, but difficulties may arise in seeking consensus (Spear <i>et al</i>, 2009, p. 256). • The use of trading or charitable subsidiaries ‘<i>can lead to more complex multi-level governance structures</i>’ (Spear <i>et al</i>, 2009, p. 262). Care needs to be taken to ensure the right composition of boards and governance structures (Spear <i>et al</i>, 2009, p. 268). • Social enterprise boards need skills in financial and entrepreneurial risk taking and risk management (Spear <i>et al</i>, 2009, p. 265)
Board Performance, Board Effectiveness and Organisational Effectiveness	Cornforth and Edwards (1998)	<ul style="list-style-type: none"> • Regular board reviews and audits are seen as an important contribution to board effectiveness (Cornforth and Edwards, 1998, p. 3). • Weak boards are seen to lack ‘<i>stewardship</i>’ and ‘<i>accountability</i>’ (Cornforth and Edwards, 1998, p. 49). • Financial performance and mechanisms for assessing this are often lacking (Cornforth and Edwards, 1998, pp. 77-78). • Training of board members is linked to legal responsibilities rather than ‘<i>skills for governance</i>’ (Cornforth and Edwards, 1998, p. 3).
	Cornforth (2001a)	<ul style="list-style-type: none"> • Board reviews and decisions regarding the strategic direction of the organisation have the most impact when reviewing board performance and board effectiveness. Others include: setting values and organisational mission; fundraising; and overseeing the finances (Cornforth, 2001a, p. 225). • The use of job descriptions, induction and other training is not significantly linked to improving board performance and effectiveness (Cornforth, 2001a, p. 225).
	Connolly and Hyndman (2004)	<ul style="list-style-type: none"> • Charities need to justify their existence and performance measures are necessary to counteract ‘<i>criticisms of poor management and ineffectiveness</i>’. Performance measures can also be used to attract future funding opportunities (Connolly and Hyndman, 2004, p. 131). • However, caution is urged especially if there is no verification of performance measurements.

		This can lead to ' <i>exaggerating good performance</i> ' (Connolly and Hyndman, 2004, p. 148).
	Harlock (2013)	<ul style="list-style-type: none"> • Inconsistencies in 'levels of practice and understanding' about impact measurement activities (Harlock, 2013, p. 20). • Measurement activities are concentrated in larger rather than smaller organisations. There is a noted issue regarding accessibility to training, advice and guidance particularly for small organisations (Harlock, 2013, p. 21).
	Metcalf (2013)	<ul style="list-style-type: none"> • Complex range of options for tools to measure social value and impact depending on available organisational resources and expertise (Metcalf, 2013, p. 13).
	Arvidson and Lyon (2014)	<ul style="list-style-type: none"> • Concerns still exist about what exactly is being measured in terms of social values and impact (Arvidson and Lyon, 2014, p. 884). • Third sector organisations are becoming increasingly resistant to '<i>power and control</i>' demands from external funders about what should be reported. Instead there is a focus on the perspectives of social values and impact for their own organisational requirements (Arvidson and Lyon, 2014, p. 884).

3.4 Collaborative Governance in UK Third Sector Organisations

Over the last thirty years a new form of governance has emerged in the literature which takes into account the complexities of governance beyond that of network (NPM/NPG) and organisational governance. That is a form of governance that focuses on inter-organisational settings. With its foundations in public administration and policy development a number of researchers have attempted to articulate the intricacies of governance arrangements required in collaborative settings to enable social change. This includes, Kingdon and his seminal work that was originally published in 1984 and again in 2012 (Kooiman, 2003; Takahashi and Smutny, 2002; Lober, 1997). Provan and Kenis (2007), in particular, conceptualised three forms of governance that impacted on what it coined ‘*network effectiveness*’ (Provan and Kenis, 2007, p. 229), which included: participant-governed networks; lead organisation-governed networks; and network administrative organisation (NAO) (Provan and Kenis, 2007, pp. 233-236). This seminal work is perhaps the first to start recognising the importance of the right mechanisms to support governing collaborations.

Collaborative governance, although not a new phenomenon, remains elusive and difficult to define (Vangen *et al*, 2015; Stone *et al*, 2010; Ansell and Gash, 2008; Renz, 2006). This is especially the case for the third sector (Stone and Sandfort, 2009). To avoid confusion and acknowledging its vast application in the literature Ansell and Gash (2008) try and restrict its definition to:

‘A governing arrangement where one or more public agencies directly engage non-state stakeholders in a collective decision-making process that is formal, consensus orientated, and deliberative and that aims to make or implement public policy or manage public programs [sic] or assets’ (Ansell and Gash, 2008, p. 544)

3.4.1 Collaborative or Cooperative Forms of Governance?

Both Ansell and Gash (2008) and Hibbert *et al* (2010) suggest that terms associated with collaborative governance can often lead to conceptual confusion. For example,

public-private partnerships (PPP) enable collaboration but *'their goal is often to achieve co-ordination rather than... consensus per se'* (Ansell and Gash, 2008, p. 548). Difficulties with Ansell and Gash's definition also arise as it assumes there will always be a hierarchical collaborative relationship between government and non-state agents in the engagement and delivery of public services. From my perspective, the definition does not include the ability for third sector organisations to be directly collaborating with private sector businesses (for example: Al-Tabaa *et al*, 2014; Schiller *et al*, 2013; Pelozo and Falkenberg, 2009; Reichel and Rudnicka, 2009; Selsky and Parker, 2005). Nor does it offer the recognition of opportunities to collaborate with other non-profit organisations (Proulx *et al*, 2014). Neither does it take account of the governance of informal collaborative arrangements that may require some structural organisational changes (Guo and Acar, 2006), or those of small voluntary led organisations (Numan, 2010), grant-making foundations (Bethmann *et al*, 2014), or trusts and social enterprises which are subject to different or less restrictive and regulated governance arrangements. I would suggest that this definition also does not take account of the internal and external conditions (such as political, technological, legal and socio-economic) and other environmental contexts in which collaborations take place, which in turn will impact the effectiveness of the governance arrangements (Provan and Kenis, 2007).

Conceptual confusion also exists between the frequent interchange of the terms *'cooperation'* and *'collaboration'* in the literature. Kooiman (2003, p. 97) expresses the importance of differentiating the two terms. The term *'cooperation'* is frequently used to express the formalisation of working arrangements between organisations. However, with increasing demands and competition, alongside declining access to funding routes, there is a growing need for third sector organisations to collaborate with others whilst also forming *'authentic'* cooperative relationships (Soliman and Antheaume, 2017, p. 24). Yet, agreed definitions as to what inter-organisational cooperation means and what form this takes remains ambiguous (Tubin and Levin-Rozalis, 2008; Thatcher, 2004; Lawrence *et al*, 2002). Albani and Dietz (2009) define it as:

'...enterprises work[ing] together to achieve a common goal. In such relationships, neither party can compete effectively without the continuous contribution of its partners' (Albani and Dietz, 2009, p. 277).

For the purposes of this study cooperation will refer to the formal structures, systems and processes (including governance) which enable organisations to work effectively together to achieve a collaborative advantage. Examples of structures of inter-organisational cooperation may include mergers, acquisitions and joint ventures (Soliman and Antheume, 2017, p. 24); enterprise networks including strategic alliances, webs, virtual or dynamic networks (Albani and Dietz, 2009); or partnerships (Tubin and Levin-Rozalis, 2008). Collaborative advantage is seen as a key factor in determining organisational effectiveness.

3.4.2 Good Governance: Towards Gaining a Collaborative Advantage

With increased demand and competition but with declining access to funding routes there is increasing need for third sector organisations to collaborate with others and form ‘*authentic*’ cooperative relationships (Soliman and Antheume, 2017, pp. 24-26).

Collaborative advantage is a term which emerged in the early 1990s developed by Huxham and Macdonald (1992) and Kanter (1994) who refer to collaborative advantage as:

‘...being concerned with developing synergy between organisations towards the achievement of common goals.’ (Huxham and Macdonald, 2002, p. 50)

It emerged following a study with a range of Scottish public sector organisations as they recognised ways that inter-organisational relationships needed to change to accommodate new ways of working that crossed sectoral boundaries, with the focus in the nature of inter-organisational relationships and ‘*ways in which people actually handle situations in practice*’ (Huxham and Macdonald, 1992, p. 50).

As part of their study they suggest that collaborative advantage is:

‘...a form of competitive advantage which stems not from natural or historical endowment but simply from the various elements of the local economic system working together more effectively than their counterparts in competitor cities.’ (Huxham and Macdonald, 1992, p. 51)

(They suggest that the term '*cooperative advantage*' is also used in the private sector with similar linkages.) For those organisations that sit within the boundaries of the third sector and the public sector where charitable aims and public values in society have a role to play Huxham and Macdonald (1992) suggest that collaborating organisations can go beyond their organisational vision and mission to develop what they describe as '*meta-objectives*' (Huxham and Macdonald, 1992, p. 51). In taking forward any collaborative situation Huxham and Macdonald (1992) suggest organisations need to weigh up the pros and cons of going it alone (individualism) or working collaboratively. For example there may be duplication of effort as collaborating organisations both may have a legal duty to provide similar products and services. They articulate the need for collaborators to manage pitfalls of individualism. Likewise, when it comes to managing the collaborative activity itself they suggest some disadvantages to the collaborative process including: loss of control; loss of flexibility; loss of glory; and direct resource costs (Huxham and Macdonald, 1992, pp. 51-52). These, they outline may act as barriers to collaboration but, in reality, a fine-balance is to be had between individualism and collaboration. To this end, any collaborative activity must consider sensitivities of all participating organisations (Huxham and Macdonald, 1992, p. 53). They emphasise the focus is on trust:

'It is very important to pay attention to the development of trust between collaborators; trust in the commitment; trust in the understanding and ability of the other organisations; trust that their autonomous actions will be in the spirit of the collaboration...' (Huxham and Macdonald, 1992, p. 53)

Using the public sector context Huxham and Macdonald (1992) recognise the sensitivity of collaboration and acknowledge that it takes place in a number of different parts and levels of an organisation (intra- and inter-organisational). Finally, to emphasise the importance of a successful collaboration they also consider the need for collaborating organisations to develop a shared '*meta-strategy*' which outlines and makes clear '*the distinction between what can be the responsibility of individual organisations and what must be done through collaboration*' (Huxham and Macdonald, 1992, p. 53).

3.4.3 Reconsidering the Role of Collaborative Governance

These conceptual ambiguities surrounding collaboration and cooperation provide opportunities to consider the role that third sector organisations truly play in the recognition of good governance, particularly within ever changing contexts (Stone *et al*, 2013). Chapman *et al* (2010) following its research into public and third sector partnerships state that more research is needed that focuses in on the way that the third sector interacts to help reveal and ‘*explore the ‘unrecognised’, ‘unsaid’ and ‘unknown’ aspects of inter-sector relationships.*’ (Chapman *et al*, 2010, p. 625)

Stone *et al* (2010) recognise the intricacies of the networks that third sector organisations and the public sector have within collaborative governance arrangements. They suggest it’s time to reconceptualise (collaborative) governance to take account of the complexities of collective decision making and accountability. In particular, the role of politics, the external environment and leadership (Stone *et al*, 2010, p. 310):

‘...it is essential to view collaboration governance as an emergent and dynamic phenomenon that is likely to change over time...and further research is needed on governance processes that build leadership.’ (Stone *et al*, 2010, p. 328.)

Archer and Cameron (2013) state that to ensure good governance in collaborations there needs to be the highest command of leadership behaviours, perhaps underpinned by codes of governance and avoiding use of language commonplace in commerce (Archer and Cameron, 2013, p. 161). Good boards, they argue, ‘*operate by following clear principles and not detailed rules*’ (Archer and Cameron, 2013, p. 173). However, there is perhaps a danger to third sector organisations of over-governance (Archer and Cameron, 2013, p. 170) in particular where more formal arrangements have replaced external control measures that have now disappeared (for example those third sector organisations that have spun out of the public sector).

Cornforth *et al* (2015) agree that research into collaborative governance has yet to be dealt with satisfactorily. They argue that collaborative governance arrangements are often chaotic and have fluid structures which drift according to tensions, plus internal and external forces (Cornforth *et al*, 2015, p. 3). Their longitudinal research which

builds on the earlier work of Takahashi and Smutny (2002) suggests that governance arrangements need to be flexible in response to changing agendas of key agents in collaborative settings. Although, they dismiss some of Takahashi and Smutny's findings as being '*overly pessimistic*' particularly the ability of leaders (or '*collaborative entrepreneurs*') to adapt governance arrangements to prevent collaborations from collapsing (Cornforth *et al*, 2015, p. 27). Importantly, their findings highlight some of the internal and external tensions that may be apparent in collaborative governance arrangements. This includes issues such as '*efficiency and inclusiveness*' and '*goals and ways of working*' (Cornforth *et al*, 2015, p. 28). All of which need to be managed effectively if collaborations are to succeed (Cornforth *et al*, 2015; Saz-Carranza and Ospina, 2011; Stone *et al*, 2010; Provan and Kennis, 2007; Huxham and Vangen, 2005).

Overall, the existing research calls for collaborations to have formal governance structures, rules and regulations in place, but on the other hand not to allow collaborative settings to be bound by the constraint of procedures and policies that are commonplace in commerce. At the same time there is a need for third sector leaders to recognise and manage the internal and external tensions that will arise in collaborative governance arrangements. Context of the collaboration is also important which takes account of the varying political, technological, legal and social-economic conditions of the collaborative arrangement. Plus, collaborations may not just be between public agencies and third sector organisations which again will bring about their own complexities and challenges. It seems there is arguably space in the literature for further investigation and exploration into what constitutes good governance which considers how organisations operate and function in the third sector (which is not restricted to public agency engagement and delivery).

With all these pressures and expectations surrounding good governance and ways of working across the sector, it would therefore seem appropriate to consider:

Proposition 1: Collaborative thinking is now essential for (intra- and inter-) organisational good governance within the UK third sector.

3.5 Chapter Summary

In this chapter I have explored the complexities of understanding collaborative governance in third sector contexts. I attempted to define what good governance is and looks like from a global and UK perspective. I then articulated what this means for collaborative governance in the third sector and how and why this is needed to enable organisational effectiveness.

The next chapter aims to explore the complexities of understanding leadership effectiveness in today's third sector organisations and how this underpins good governance. It will explore how third sector leaders today need to work within and across organisations, focusing predominantly on aspects of collaborative leadership and how this is built through mutual reciprocity and trust. Leadership challenges of collaborative working will also be addressed. This will be followed by investigating ways in which leadership effectiveness is enabled in third sector organisations in the UK. Discussions about how leadership effectiveness can perhaps be assessed and measured will also be included as I head towards the research stage of this thesis.

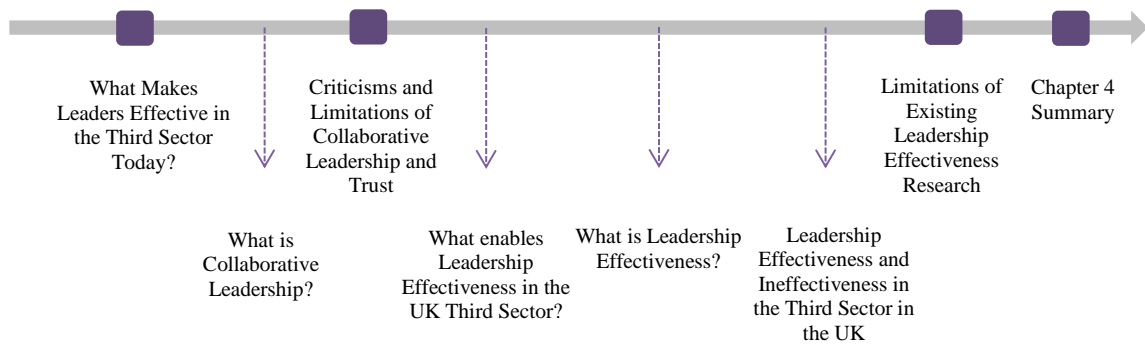
Chapter 4

Collaborative Leadership and Effectiveness in the UK Third Sector

4.1. Chapter Introduction

This chapter aims to explore the complexities of understanding leadership effectiveness in today's third sector organisations and how this underpins good governance. It will explore how third sector leaders today need to work within and across organisations, focusing predominantly on aspects of collaborative leadership and how this is built through mutual reciprocity and trust. Leadership challenges of collaborative working will also be addressed. This will be followed by investigating ways in which leadership effectiveness is enabled in third sector organisations in the UK. Discussions about how leadership effectiveness can perhaps be assessed and measured will also be included as I head towards the research stage of this thesis.

Figure 5: Overview of Chapter 4



4.2 What Makes Leaders Effective in the Third Sector Today?

In 2003, Kooiman envisaged that leaders responsible for governance in third sector organisations can have a big impact. However, what specific characteristics enable leaders to have this impact in the UK third sector? When investigating what good governance looks like in the third sector it is essential to address how leaders in the sector are operating today both in and across organisations (intra- and inter-organisationally), and what makes their leadership effective. In the previous chapter it

was highlighted that governance arrangements need to be flexible in response to changing agendas of key agents in collaborative settings (Cornforth *et al*, 2015) and this requires collaborative leadership. Crevani (2007) also expresses the importance of collaborative leadership in enhancing leadership effectiveness (Crevani, 2007, p. 46). Yet, what does collaborative leadership in the third sector look like? I will explore some key seminal ideas (from the literature) in the rest of the chapter.

4.2.1 What is Collaborative Leadership? An Overview

‘[Collaborative] leadership is realised by affecting structures, processes and participants, but also through controlling and managing the agenda, by mobilising member organisations and by enthusing and empowering those who contribute to collaborative aims.’ (Kooiman, 2003, p. 67)

Leadership scholars have continuously debated and recognised that in order for leaders to be effective there needs to be a sense of ‘*shared leadership*’ where there is a sense of ‘*collaboration*’ in the decision making process (Pearce and Conger, 2003, pp. 1-2). Collaborative leadership is not a new phenomenon. It can be argued that leaders of non-profit making organisations have always had to collaborate in some form or another since the first cooperative movements were set up in the 19th century.

‘*Collaborative leadership*’ is seen to challenge traditional concepts of didactic and dyadic forms of leadership yet the literature continues to be underdeveloped in this area (Reynolds *et al*, 2017, p. 90). However, the term ‘*collaborative leadership*’ only began to emerge in the literature from the late 1990s, coinciding with similar, or arguably conflicting, leadership theories (as illustrated in Table 5).

Table 5: Collaborative Leadership and Similar Leadership Theories

Leadership Theory	Definition(s)/Overview	Authors (Not Exclusive)
Collective	Strategic leadership is seen as a collective phenomenon which is explicitly formalised within organisational structures (Denis	Raelin, 2018; Friedrich <i>et al</i> (2016; 2009): Contractor <i>et al</i> , 2015; Gallagher, 2014: Kania and Kramer, 2011: Denis <i>et al</i> , 2001.

	<i>et al</i> , 2001, p. 810).	
Co-Leadership	<i>'Co-leadership is an activity that a number of leaders can share...[it can be defined] in terms of two leaders equally positioned, sharing the responsibilities of leadership.'</i> (Klinga <i>et al</i> , 2016. pp. 2)	Donnelly and Graham, 2018: Klinga <i>et al</i> , 2016: Heenan and Bennis,1999.
Diffused	Leadership is ideally diffused through an organisation rather than it being centrally located (Blair <i>et al</i> , 2012, p. 127).	Blair <i>et al</i> , 2012: Barnes and Kriger, 1986.
Dispersed	Leadership power is shared between leaders and followers with leadership skills and responsibilities shared throughout the organisation (Gordon, 2010, p. 262)	Gordon, 2010.
Distributed/Distributive	Leadership is shared between subordinates and superiors (Brown and Gioia, 2002, p. 410)	Bolden, 2011: Brown and Gioia, 2002: Gronn, 2000: Senge, 1999.
Emergent	Over time, leaders are most likely to emerge from or within groups (Charlier <i>et al</i> , 2016, p. 746)	Charlier <i>et al</i> , 2016: Carte <i>et al</i> , 2006: Yoo and Alavi, 2004: Kickul and Neuman, 2000.
Plural/Pluralised	Organisations have many leaders who exert influence through both formal and informal networks. Pluralised leadership is <i>'a collective product of actors' interactions that emerge in social relations'</i> (White <i>et al</i> , 2016, p. 280)	White <i>et al</i> (2014; 2016): Denis <i>et al</i> , 2001: Kezar, 2000.
Network	Network leadership refers to behaviours that <i>'facilitate productive interaction and move the participants in the network toward effective resolution of a problem'</i>	McGuire and Silvia, 2009: Agranoff and McGuire, 2001.

	(McGuire and Silvia, 2009, p. 35)	
Shared	'Leadership is practiced as a shared task and constructed collectively' (Crevani et al, 2007, p. 52)	Crevani et al, 2007: Pearce and Conger, 2003.

Howieson and Hodges (2017) are keen to point out that within the public and third sectors there has been a notable shift from leadership roles which conform to traditional trait or behaviour based philosophies to those that are more collaborative and engaging with stakeholders and employees (Howieson and Hodges, 2017, p. 204). Third sector leaders need the ability to recognise the interpersonal skills and capabilities required of the new age of collaboration. It needs leaders who can work together from different organisations to form and build alliances with limited resources. It also requires leaders to provide direction both within and across organisations. However, very little is known as to how relationships in inter-organisational arrangements are '*established, nurtured, and used for mutual benefit*' in and across the third sector (Tsisis, 2009, p. 6).

Archer and Cameron (2013) describe collaborative leadership in the third sector as '*the leadership required to get results across organisational boundaries...*' (Archer and Cameron, 2013, p. 10). They stress that this does not include: disregarding your own views for the good of others; leadership skills required to building cultures of collaboration within organisations themselves; or about bringing communities together to work on projects (Archer and Cameron, 2013, p. 12). With a focus on establishing strong collaborative arrangements they suggest three different types of relationships leaders need to build on a '*collaboration spectrum*'. This includes symbiotic, mutual and transactional (Archer and Cameron, 2013, p. 25).

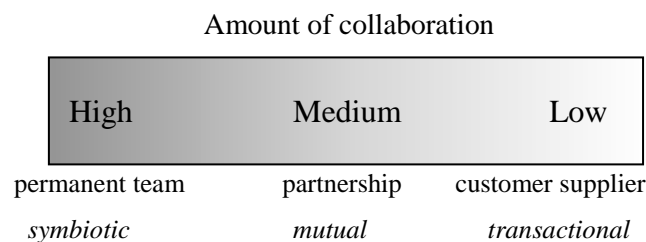


Figure 6: The Collaboration Spectrum (Source: Archer and Cameron, 2013, p. 25)

Archer and Cameron (2013) recognise that collaborations often outlast leadership appointments so leaders also need to consider succession planning and ‘*long-term capability development*’ (Archer and Cameron, 2013, p. 75). This needs to be achieved whilst ‘*avoiding the lure of community*’ in making leadership appointments of people with similar perspectives and opinions. They stress true collaborative leadership is about ‘*bringing together different organisations with distinct and different cultures - and getting results and generating value across that divide*’ (Archer and Cameron, 2013, p. 100). They go on to stress that collaborative leaders require patience (Archer and Cameron, 2013, p. 135), courage (Archer and Cameron, 2013, p. 137) and empathy (Archer and Cameron, 2013, p. 138) and the ability to leave behind previous leadership styles that may once have been successful (Archer and Cameron, 2013, p. 157).

Sir Don Curry, former chair of NFU mutual, quoted in Archer and Cameron (2013) states:

‘...collaborative leaders also need to be great motivators. They need to be able to motivate people to achieve shared goals – goals that people might not have named in the first instance but goals they come to feel they have shared ownership over time.’ (Archer and Cameron, 2013, p. 133)

Archer and Cameron (2013) strongly emphasise that maintaining trust when resources are squeezed is particularly important for collaborative leaders (Archer and Cameron, 2013, p. 17). Leaders must also learn to let go of some control and develop more transparent and trusting relationships with others (Archer and Cameron, 2013, p. 176). In addition, O’Leary *et al* (2012) stress that leaders themselves must also be trustworthy (O’Leary *et al*, 2012, p. 79). Ultimately, collaborative leadership requires the establishment and authentication of mutual reciprocity and trust in order to achieve successful collaborations (Proulx *et al*, 2014, p. 751).

In the next section the role of collaborative leadership and trust (along with the implications for reciprocity) will be explored further.

4.2.2 Collaborative Leadership and Trust

A key aspect of collaborative leadership is the ability to gain and nurture trust. Mutual trust and reciprocity is also seen as instrumental in underpinning good governance. Trust is seen as a multi-dimensional construct and '*despite the outpouring of interest in trust, there does not yet appear to be a consensus on the role of trust in organisation theory*' (Creed and Miles, 1996, p. 17). Child (2001) also highlights that '*trust remains an under-theorised, under-researched, and, therefore poorly understood phenomenon*' (Child, 2001, p. 274.) Although, it is a key consideration across the leadership literature and is seen as a key indicator of leadership effectiveness, crucial to cooperative activities and a significant contributor to the '*nurturing of collaborative processes*' (Vangen and Huxham, 2003, p. 6: Blomquist and Stahle, 2000: Ford *et al*, 1988: Axelrod, 1984). On building trust, Bryson *et al* (2006) outline trust as crucial to collaboration and describe it as both the '*lubricant and the glue*' in holding collaborations together (Bryson *et al*, 2006, p. 47).

In the organisational behaviour and public administration literature two perspectives on trust can be found. First, those that are '*transaction cost economics centred*' that focus on three core areas of trust in business relationships including contractual, goodwill and competence (Seppänen *et al*, 2007, p. 254: Ring and Van de Ven, 1994, p. 93: Sako, 1990). Bunker (2013) highlights that trust can help offset business risks including: communication; culture; strategic mission and goals; reputation; accountability, power and control; inequality of resources; and relationship dominance (Bunker, 2013, p. 1155: Vangen and Huxham, 2003: Snavely and Tracy, 2002). Lambright *et al* (2010) also suggest that trust is more likely to occur when participants are from similar organisational structures, contexts (or backgrounds), '*interact frequently*' and have held previous successful collaborative arrangements (Lambright *et al*, 2010, p. 77).).

The other centres on '*socio-psychology*' and the interactions of individuals (Seppänen *et al*, 2007, p. 254: Ring and Van de Ven, 1994, p. 93). Trust is not just at the business level but also at the interpersonal level and this may be a conditioned '*by-product of past interactions*' or one constrained by legal and organisational responsibilities (Ring and Van de Ven, 1994, p. 93: Shapiro, 1987). This perspective should not be confused

with aspects of public trust in charities, which reflects external attitudes and perceptions of the sector (for example, Milbourne and Cushman, 2013).

To consolidate these differing and often competing views on trust, Kramer (1999), suggests it may be helpful to avoid thinking about the conflicts and ‘*conceptual impasse*’ between the multi-paradigmatic perspectives (Kramer, 1999, p. 574). Instead, consider developing accounts that acknowledge the contextual ‘*social and situational*’ factors involved in analysing and calculating trust (Kramer, 1999, p. 574). Getha-Taylor *et al* (2019) agree that there are many perspectives in the literature on trust, these are often confusing and a clear definition of trust in the collaboration literature is still lacking (Getha-Taylor *et al*, 2019, p. 52). They offer a definition on collaborative trust which encompasses a broad range of perspectives:

‘Collaborative trust is an individual perception that is the product of one’s assessments, experiences, and dispositions, in which one believes, and is willing to act on , the words, actions, and decisions of others. This can include a reliance on principles, rules, norms, and decision-making procedures that articulate collective expectations’ (Getha-Taylor *et al*, 2019, pp. 60-61).

4.2.3 Nurturing Trust in Third Sector Collaborations

Research into developing and nurturing trust among leaders, particularly collaborative trust in third sector organisations seems relatively scarce when compared to other sectors and contexts explored in the UK and Europe for example: universities and business (Bstelier *et al*, 2017); business to business including supply chain relationships (Ashnai *et al*, 2016); public sector - health care (Li *et al*, 2018) and construction (Swärd, 2016); project management (Kalkman and de Waard, 2017) and networking (Newell and Swan, 2000).

Yet, interest and research into third sector collaborative relationships is growing. This includes: trust in Non-Governmental Organisations (NGOs) (Saab, 2013); trust between board chairs and executive directors (Hiland, 2006), as well as anecdotal snapshots of what constitutes trust in the sector (Howieson and Hodges, 2016; Donaldson and Warwick, 2015). Plus, UK Government reports into trust and the effectiveness and

awareness of charity trustees (Great Britain. Parliament. The Charity Commission, 2017) (although this focuses on England and Wales only). However, it is perhaps the work of Tubin and Levin-Rozallis (2008) that starts to discuss how collaborative (inter-organisational) trust can be specifically recognised and realised in third sector organisations.

Tubin and Levin-Rozalis's (2008) research with a child care centre in Israel highlights challenges of building trust across third sector collaborations particularly where organisations focus on protecting their own interests (Cousins, 2002). They focus on the tensions of personal relationships between individuals and ways these support the emergence, or not, of trust (Tubin and Levin-Rozalis, 2008, pp. 706-707). For organisations, they highlight that trust is not the primary focus of collaborative relationships but is a '*necessary trait and desired quality*' (Tubin and Levin-Rozalis, 2008, p. 717) and structures should be put in place to nurture trusting relationships. Leaders should be appointed who have the essential capabilities to act as ambassadors and mediators and are able to share information across the collaborative arrangement. Finally, they suggest that representatives in collaborations should have '*professional backgrounds*' and '*hold high positions*' if representing their organisation, although recognising the voluntary nature of their contribution (Tubin and Levin-Rozalis, 2008, p. 718).

4.3 Criticisms and Limitations of Collaborative Leadership and Trust

Collaborative leadership is a fairly new concept that has only appeared in the literature in the last thirty years. Arguably, leadership in the third sector has switched from traditional behaviours and traits to activities which promote community building and engagement (Howieson and Hodges, 2017, p. 204). However, the majority of the literature fails to take account of the disadvantages and downsides of collaborative leadership instead focusing on how to make it work, what is needed to make it work (mutual reciprocity and trust), and the advantages that can be gained when it is done well. With high failure rates reported of co-operative activities (notably strategic alliances and partnerships amongst others (Dyer *et al*, 2001, p. 37)) there seems to still be a challenge of leaders actually being able to understand and implement collaborative working principles. Are some third sector leaders able to shift mindsets from the issues

of running a single organisation to working across boundaries? Gazley (2010) suggests that successful third sector collaborative experiences need to rely on more than compliance with statutory requirements and '*passive compliance*' (Gazley, 2010, p. 52). Archer and Cameron (2013) iterate that leaders who are required to lead collaborative arrangements in the third sector need to be prepared to change their leadership styles. Leaders who try to use what they have learned in leading organisations can often become hindrances in collaborative processes leading to burnout, chaos and a '*stressful experience*' for those engaged in the collaboration (Archer and Cameron, 2013, p. 142). When it comes to building trust, Vangen and Huxham (2003) recognise the limitations of existing literature on trust in collaborative arrangements. They conceptualise a '*practice-orientated theory of collaboration*' and how trust can be built within these perimeters (Vangen and Huxham, 2003, p. 7). In particular, they suggest that building trust is a '*cyclical process*' and '*builds over time*' through an iteration of reinforcing trusting attitudes (Vangen and Huxham, 2003, p. 12), taking into account expectations, risks and vulnerabilities within collaborative relationships. From a practitioner perspective they emphasise issues of distrust, or lack of trust in collaborative relationships which suggest wider challenges of '*unequal power relations*' (Vangen and Huxham, 2003, p. 13). Indeed, in some cases there may be insufficient trust which contrasts with previous literature that argues that trust is an antecedent of business success (Vangen and Huxham, 2003, p. 26), and without it leads to failure (Cullen *et al*, 2000; Creed and Miles, 1996)). Thus recognising that trust building can be problematic and needs to be addressed to ensure third sector organisations and their leaders are able to address challenges as and when they arise.

4.3.1 What Enables Leadership Effectiveness in the UK Third Sector?

As has been outlined in this chapter, collaborative leadership which includes mutual reciprocity and trust is a requirement for leadership effectiveness and collaborative governance. Leaders without the right attitudes, skills, competences and abilities to work in this manner will struggle to adapt to the pressures of leading and governing a third sector organisation in the UK in the 21st century. As Freiwirth (2014), in Cornforth and Brown (2014), when discussing shared facilitative leadership suggests, '*leaders without these skills tend to revert to more traditional governance practices*' (Freiwirth, 2014, p. 204). This final part of the chapter will start to address the

attitudes, skills, competences and abilities required of today's third sector leaders and ways in which leadership effectiveness has and can be measured.

4.3.2 What is Leadership Effectiveness?

When it comes to highlighting existing research and establishing ideas of leader or leadership effectiveness in the third sector, published examples are scarce. (Table 6 outlines where researchers have examined leadership effectiveness from a global perspective).

Table 6: Leadership Effectiveness – Global Perspectives

Area of Interest	Authors
Prototypicality of leader groups	Pierro <i>et al</i> , 2005: Kuehl, 1977
Age and Perception of Followers	Gilbert <i>et al</i> , 1990
Self-perception accuracy, self-awareness and gender	Van Velsor <i>et al</i> , 1993
Path goal theory	Evans, 1996
The role of self/other assessments	Fleenor <i>et al</i> , 1996
Ethical reasoning	Jurkiewicz and Massey, 1998
Self-sacrifice	Van Knippenberg and Van Knippenberg, 2005
Transactional, transformational and charismatic attitudes and behaviours	Jung <i>et al</i> , 2009
The impact of organisational characteristics	Hooijberg and Choi, 2001
Positivity and transparency	Norman <i>et al</i> , 2011
Empowering leadership	Hassan <i>et al</i> , 2013

Although, there are studies that have sought to differentiate the skills, abilities and behaviours required between sectors, based on perceived differences in how organisations are run (Baldwin, 1987), there is little consensus in the global literature regarding a definition for leadership effectiveness. In order to be effective, Yukl (1989) argues that leaders need to be good at:

‘...influencing task objectives and strategies, influencing commitment and compliance in task behavior [sic] to achieve... objectives, influencing group maintenance and identification, and influencing the culture of an organisation’ (Yukl, 1989, p. 253).

For today’s third sector organisations in the UK I would argue that leadership effectiveness now goes beyond traditional task orientated functions. Leaders of these organisations are under increasing internal and external pressures to demonstrate their own and their organisations’ *‘beyond profit’* contribution to society (Campbell, 2012, p. 11). As has been mentioned in the previous chapter (Chapter 3) there is a focus in the literature on board performance measurement techniques, and a vast array of tools and guidance documents have been created to aid reporting mechanisms in third sector organisations which includes *‘Triple Bottom Line’* (TBL) reporting (including financial, social and environmental factors (Elkington, 1994). TBL reporting is used widely in the business environment, yet for the third sector in the UK, this has perhaps evolved to become a *‘Quadruple Bottom Line’* (QBL) approach to also measure leadership effectiveness (Lawler, 2014). Taking into account the attitudes, skills and behaviours required of third sector leaders to ensure effective and true collaborative working, positive relationships within and across organisations, and that third sector organisations continue to provide public benefit as well as additional social value to society.

Yet, what do these attitudes, behaviours and skills for effective leadership look like? The next section will address existing leadership effectiveness research that has taken place within the UK third sector.

4.3.3 Leadership Effectiveness in the Third Sector in the UK

When it comes to highlighting existing research and establishing ideas of leader or leadership effectiveness in the UK third sector published examples are scarce with examples only appearing in the last 30 years.

Hamlin was perhaps the first to take a specific interest in the public and not-for-profit sectors when it comes to manager and leadership effectiveness. Starting with the study into secondary schools in 1988, the National Health Service in 2002, and 2004 when

Hamlin started to look at developing effective leadership behaviours and developed a generalised taxonomy of management and leadership effectiveness. This is summarised as follows:

Indication of Leadership and Managerial Effectiveness	Contraindication of Leadership and Managerial Effectiveness
Effective organisation and planning/proactive management.	Shows lack of consideration of concern for staff/ineffective or dictatorial style of management.
Participative and supportive leadership/proactive team leadership.	Uncaring, self-serving management/undermining, depriving and intimidating behaviour.
Empowerment and delegation.	Tolerance of poor performance and low standards/ignoring and avoidance.
Genuine concern for people/looks after the interests and development needs of staff.	Abdicating roles and responsibilities.
Open and personal management approach/inclusive decision making.	Resistant to new ideas and change/negative approach.
Communicates and consults widely/keeps people informed.	

Figure 7: Hamlin’s Generic Model of Managerial and Leadership Effectiveness (Source: Hamlin, 2004, pp. 204-206)

In April 2011, Hamlin *et al* published research which investigated perceived managerial and leadership effectiveness in an anonymous UK based not for profit registered housing and support charity for older people. It explored what people working in the organisation as senior and middle-level managers perceived as effective and ineffective managerial behaviour and the extent to which ‘*perceptions are similar or different*’ to those previously identified (Hamlin *et al*, 2011, p. 221). There were 40 participants with the mapping results indicating a whole list of effective and least effective/ineffective manager and managerial leader behaviours displayed in the organisation. Interestingly, they discovered that:

'the perceptions, judgements and descriptions of 'good' (effective) and 'bad' (least effective/ineffective) senior management/managerial leadership in a UK third (non-profit) sector-registered charity are much the same as have been found at all levels of management in a diverse range of the UK public and private sector organisations.' (Hamlin *et al*, 2011, pp. 227-228)

Hamlin *et al* (2011) argue that this substantially challenges beliefs that third sector organisations significantly differentiate from the private sector in terms of what makes leaders/managers effective and that different approaches are required (Hamlin *et al*, 2011, p. 228). Indeed, its research suggests there are great similarities, and that leaders are perceived as effective if they:

'plan ahead', 'organise efficiently', and proactively control performance', 'actively support their staff', 'recognise and acknowledge achievement, delegate well and empower their staff, show care and concern for other people, fight for the interests of and address the training and development needs of their staff, adopt an open and personal approach, involve employees in decision making, communicate and consult with staff on a regular basis and keep them informed of matters that affect [sic]them.' (Hamlin *et al*, 2011, pp. 228-229)

In July 2011, Hamlin and Barnett (2011) published results from another replication study with the purpose of updating the taxonomy of perceived managerial and leadership effectiveness based on respondents within the non-profit independent schools sector in the United Kingdom. Data was obtained from 33 managers at three independent girls high schools using the Critical Incident Technique (CIT) (as developed by Flanagan, 1954) with the aims of identifying what people working in schools *'perceive as effective and ineffective managerial behaviour'* and the extent to which *'perceptions are similar or different'* to those previously identified in earlier studies (Hamlin and Barnett, 2011, pp. 1-2). Results were then compared to Hamlin's general taxonomy. A mapping indicated that there was a high degree of commonality in the findings to Hamlin's earlier taxonomy. The only exception was related to *'abdication from management and managerial leadership'* (Hamlin and Barnett, 2011, p. 5).

Two years later, Hamlin and Hatton (2013) further developed these previous theories to develop a ‘*British Taxonomy of perceived managerial and leadership effectiveness*’ (Hamlin and Hatton, 2013). Continuing with its pragmatic and constructionist perspective they compared existing empirical data to Hamlin’s taxonomy to derive a cross-sector British taxonomy (as described in Figure 8) from previous replication studies; and compare findings to those in the United States. They argue that the most significant finding (and coincides with previous study discoveries) is that:

‘managers and nonmanagerial [sic] employees within public-, private-, and third sector organisations in the United Kingdom perceive and judge managerial and leadership effectiveness in much the same way, and define it in similar terms’ (Hamlin and Hatton, 2013, p. 386).

Positive Generic Behavioural Criteria	Negative Generic Behavioural Criteria
Effective planning and organizing and proactive execution and control	Inappropriate autocratic and nonconsultative management style
Active supportive management and managerial leadership	Unfair, inconsiderate, selfish and self-serving behavior
Delegation and empowerment	Manipulative, undermining and/or intimidating behavior
Care and concern for staff and other people	Slack management and abdicating, ignorance or avoidance behavior
Fights in the interests of their staff and actively attends to their learning and development needs	Depriving and withholding behavior
Open, personal and trusting managerial approach	Closed mind and negative approach
Involves and includes staff in planning, decision making and problem solving	
Communicates well with staff and keeps them informed	

Figure 8: Hamlin and Hatton's British Taxonomy of Perceived Managerial and Leadership Effectiveness (Source: Hamlin and Hatton, 2013, p. 382)

A cross-comparison of what makes leaders effective continued later the same year when Harrison *et al* (2013) carried out a study of leader effectiveness of third sector board chairs in the US, Canada and the UK. Seeking to address what makes some chairs more effective than others they discovered that chairs with the highest levels of emotional intelligence were perceived to have the highest levels of impact in their role (Harrison *et al*, 2013, p. 709). Good chairs were also seen to have a positive impact on the performance of the wider organisation. Positive perceptions of board chairs were also likely to be reported when they spend time and interact with 'key actors' (employees) (Harrison *et al*, 2013, p. 710).

Overall, these studies predominantly attempt to explain the behaviours that enable leadership effectiveness in UK third sector organisations. Hamlin (and others) attempt to extrapolate contraindications to effective performance of leaders but this does not adequately explain what can make leaders ineffective. This is an under-researched area of interest for third sector organisations. The next section will attempt to highlight challenges that the third sector faces from leaders who are not seen to be effective.

4.3.4 Leadership Ineffectiveness in the Third Sector

I would argue that the leadership literature which identifies leadership effectiveness as a fundamental measurement for today's third sector leaders seems to overlook issues of individualised leadership (Yammarino and Dansereau, 2002) and the dark side of leadership (Tourish, 2013), and the specific challenges that this may cause for today's organisations. This seems of particular importance for new or emerging organisations as motivations for establishing charities and other social organisations may not always be altruistic or for public benefit as Professor Pat Thane (2009) describes:

'Society cannot be wholly 'broken' if organisations continually emerge, as they do, to try to remedy its 'broken', dysfunctional features. There are selfish, individualist strands in modern society, and they too create voluntary

organisations to promote their sectional interests, protecting their own backyards. Voluntary action is not always altruistic.' (Thane, 2009, p. 8)

A term that has become synonymous with a style of individualised leadership that fits this description is '*Founder Syndrome*'. Block and Rosenberg (2002) suggest that '*Founder Syndrome*' is a term not usually found in the business and the third sector literature but it is often referred to as an organisation facing challenging times where an individual is asserting inconsistent influence and power and '*indispensable to the business*' (Boustani, 2017, p. 518). This could be across the organisation as a whole or on favourite projects. (. It is defined in the literature as '*the influential powers and privileges that the founder exercises or that of others attribute to the founder*' (Block and Rosenberg, 2002, p. 354). Block and Rosenberg (2002) continue to state that it is the word '*syndrome*' that suggests this is an unhealthy perspective to have within an organisation. Findings from their study indicated that founders may have a tendency to hold back the potential growth of organisations. They note that '*founders are not necessarily skilled managers; they are primarily entrepreneurs, people with ideas and vision*' (Block and Rosenberg, 2002, p. 364). Indeed, if founders '*have their own agenda then they may not be interested in the ideas and directional advice of others*' (Block and Rosenberg, 2002, p. 364).

Similarly, Carman and Nesbit (2012) suggest that although founders are often '*ideologically motivated and have a passion surrounding the mission they seek to create*' (Carman and Nesbit, 2012, p. 604) challenges may occur because they are too close to the problem they are trying to solve, and the need or demand from the community may not be there in the first place (Carman and Nesbit, 2012, p. 612). This does nothing to allay fears regarding the duplication and multiplicity of third sector activity (Carman and Nesbit, 2012, p. 614: Salamon and Anheier, 1998: Salamon, 1995). New founders (new leaders) are also seen to operate in isolation without collaborating with others and show little interest in connecting with other larger organisations (Yankey and Willen (2010) in Renz *et al* (2010)). Engagement is seen as opportunistic rather than planned, with many founders lacking experience in setting up these types of organisations and networking across boundaries (Carmen and Nesbit, 2012, p. 614). This causes issues of leadership ineffectiveness as these new leaders are seen to be unable to '*...utilize technology, professionalized [sic] marketing and*

fundraising to gain access to corporate, government and nonprofit partners' (Carmen and Nesbit, 2012, p. 614).

Although these latest studies provide some indication about the perceived impact of effective or ineffective leadership in the sector they do not enable an insight into the relationships which underpin effective leadership. In these complex times, and the need for third sector organisations to do more with less, it is imperative that relationships between leaders and others in their own organisations and across boundaries work well to achieve successful outcomes for public funders, donors and individual beneficiaries. The next section will consider how leadership effectiveness can perhaps be assessed and measured via a Leader Member Exchange (LMX) approach.

4.3.5 Understanding Leadership Effectiveness through Leader Member Exchange (LMX).

In order to assess and measure leadership effectiveness via LMX we need to understand how this can be applied in third sector contexts. LMX has traditionally seen positivist approaches to data collection and analysis predominantly with private businesses based in the US (for example the LMX studies of Scandura and Pellegrini, 2008; Sherony and Green, 2002; Schriesham *et al*, 1998; Graen and Uhlbien, 1995; Zalesny and Graen, 1987; Graen and Scandura, 1987: and Dansereau, 1975). Arguably, this does not enable researchers to truly explore what is happening in leader-member relations and the nuances of these relationships which are so important to the success of third sector organisations in the UK today.

We can best perhaps understand the mechanisms and characteristics of third sector leaders and senior personnel by the relationships that they form not only with their employees (sub-ordinates) but also with their boards of governance (trustees) both within and across operational boundaries. In earlier works by Huxham and Vangen (2001) they had started to unpack the role that leaders play in the shaping and implementation of collaboration agenda setting. They recognise that previous research into the role that leaders play in collaborative environments is limited but seem to dismiss the importance of relationship building and those between leader and follower (subordinate) in their deliberations. However, they argue that '*...there is a problem*

with a formal leader who either influences or transforms members of a group or organisation' (Huxham and Vangen, 2001, p. 1160). From their perspective it is assumed that in collaborative settings that there is no formal leader and *'hierarchical relationships with followers does not apply in collaborations because the individuals involved come from different organisations or groups'* (Huxham and Vangen, 2001, p. 1160). This perhaps gives a narrow view of what happens in the leadership of setting up and running a third sector organisation and what it takes for leaders to be effective. LMX can perhaps aid this understanding in terms of relationship building.

LMX itself emerged from Vertical Dyad Theory in the early 1970s (Dansereau *et al*, 1975). This emergent theory led researchers to consider that leaders develop differing relationships with people they supervise and this ultimately impacts a leaders' effectiveness when dealing with each subordinate (Graen and Scandura, 1987). Although, Huxham and Vangen (2001) are dismissive of Leader Member Exchange (LMX) when considering collaborative advantage they perhaps misunderstand the broader focus of LMX. It is a theory that focuses its attention on the quality of the leader (supervisor) - member (subordinate) relationship rather than behaviours or traits (Graen and Uhlbien, 1995). As leaders are not *'seen to be able'* to have the same relationship with each of their subordinates it is deemed that they fall into the *'in-group or the out-group'*. Members of the *'in-group'* enjoy the benefits of a high quality relationship. These benefits include *'loyalty, support, mutual trust, respect, and reciprocal liking with their supervisors'* (Schriesheim *et al*, 2000, p. 659). Whereas, for *'out-groups'*, any relationships developed will primarily relate to their job descriptions and employment contracts (Graen and Uhlbien, 1995).

However, Yukl *et al* (2008) emphasised in their research that LMX relationships also develop over time. In their research they examined how LMX is related to specific leadership behaviours positively required for effective leadership. These include: supporting, recognising, developing, consulting, delegating, clarifying short-term planning, monitoring operations, leading by example and envisioning change (Yukl *et al*, 2008, p. 292). Results highlighted that LMX is impacted by various leadership behaviours and that the exchange relationship is influenced by these rather than those considered transformational (Yukl *et al*, 2008, pp. 296-297). However, it is the qualities and characteristics of these relationships that are essential to recognise if

cooperative and collaborative activities are to be successful in and across the third sector.

LMX has gained considerable research traction since it first appeared in the literature. Yet, when considering the shift towards collaborative leadership and a greater emphasis on what makes leaders effective in the third sector, this traditional viewpoint of LMX can potentially be considered out of date. For post-modern leaders of 21st century third sector organisations a step-change is required. Leaders will not only be building relationships with those in their organisations but across boundaries with others where there is no formal contractual relationship. Graen and Schiemann (2013) and Graen (2012a) suggest we have perhaps moved towards a new era of *'Leader(ship)-Motivated Excellence'*, which includes informal arrangements such as tactical or strategic alliances and partnerships. Relationships will not be confined to leader-subordinate pairings, but others outside of traditional managerial relationships. Graen and Schiemann (2013) and Graen (2012a) argue that the new LMX recognises that leadership can take place anywhere in a *'dynamic modern organisation, including within teams'* (Campbell, 2012, p. 16). This new perspective of LMX (also referred to as LMX – T Theory) assumes that the responsibility of leading people *'is a privilege and not a right'* and that leadership encompasses management responsibilities as well as technical and administrative functions (Graen and Schiemann, 2013, p. 458; Graen, 2012b).

Whether LMX is an appropriate mechanism for the measurement and articulation of leadership effectiveness within a qualitative: interpretivist paradigm is unknown at this stage but the conceptual framework should provide a useful mechanism for its use in this explorational study.

The next section will consider the limitations of existing leadership effectiveness research in relation to the third sector.

4.4 Limitations of Existing Leadership Effectiveness Research in relation to the Third Sector

Research into leadership effectiveness is extremely diverse which makes providing any definition of what it is in third sector contexts very difficult. Terms are used

interchangeably throughout journal articles, with leadership effectiveness combined and alternated with leader effectiveness, managerial effectiveness and manager effectiveness. Therefore, it is difficult to establish whether research is focused on the leaders/managers themselves being effective (traits, attitudes, values and/or behaviours), or if effectiveness is a result of their actions (individual/team/group performance). Evidence as to how leadership effectiveness is perceived in UK third sector organisations is extremely limited with only the work of Harrison *et al* (2014); Hamlin and Hatton (2013); Hamlin and Bartlett (2011); and Hamlin (2004: 2002: 1988); starting to address this phenomenon.

Although the taxonomy of Hamlin (2002) started to address what leadership effectiveness means for third sector organisations I would question whether this is still focusing on organisational performance outcomes rather than the quality and consequences of leader(ship) actions. It is perhaps LMX that could potentially be used to unpack what is happening in the relationships third sector leaders have with both their employees and counterparts in other organisations. However, LMX theory (particularly post-modern perspectives) has not been applied in third sector contexts in the UK, neither have attempts been made to address this from an interpretivist perspective.

Therefore it is very important that:

Proposition 2: Third sector leaders should recognise the need to cooperate further for improved governance and shared leadership effectiveness.

4.5 Chapter Summary

This chapter has explored the complexities of understanding leadership effectiveness in today's third sector organisations and how this underpins good governance. It has explored how third sector leaders today need to work within and across organisations, focusing predominantly on aspects of collaborative leadership and how this is built through mutual reciprocity and trust. Leadership challenges of collaborative working have also been addressed. The chapter has also reflected on leadership effectiveness and what this means for third sector organisations in the UK. Particularly, how it can

potentially be measured and assessed via a qualitative: interpretivist paradigm perspective on Leader-Member Exchange Theory (LMX) which considers the changing role of leaders in contemporary organisations.

The next chapter will outline the research design and methodology for my study.

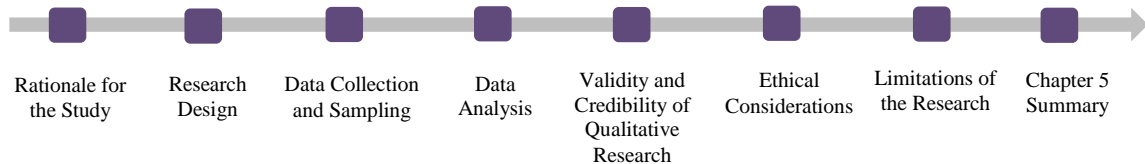
Chapter 5

Research Design and Methodology

5.1. Chapter Introduction

The purpose of this chapter is to outline the rationale, research design and methodology for this research study. I will first provide a rationale for using an exploratory qualitative-interpretivist research paradigm for the RQ that will detail why it is a suitable mechanism for this particular study. I shall then explain the design taken for the study which included a combination of focus group, semi structured interviews and two case studies. I then articulate how: the data was collected; the sampling strategy; the interview schedule; and how the data was analysed in relation to the conceptual framework (detailed in Chapter 6). This is followed by a discussion surrounding the validity and credibility of qualitative-interpretivist research. Finally, I discuss the ethical considerations and limitations of the chosen research design and methodology.

Figure 9: Overview of Chapter 5



5.2 Rationale for the Study

‘...we know much less about how leaders make organisations effective than how leaders are perceived...’ (Dinh *et al*, 2013, p. 37: Kaiser *et al*, 2008, p. 99)

From the literature review, it can be recognised that there is very limited existing research that makes connections between collaborative governance and leadership effectiveness within UK based third sector organisations. The majority of governance and leadership effectiveness research being predominantly published in North America and Canada. As well as exploring where the research has been taking place it is important to recognise and take account of the research methodologies and designs

employed by existing studies. This section aims to explore the rationale for an exploratory qualitative-interpretivist research design. It will outline the chosen research design and methodology before exploring some of the trends and criticisms of existing qualitative studies.

5.2.1 An Exploratory Qualitative-Interpretivist Research Design

Contemporary studies have tended towards exploring and evaluating organisations, governance and leadership in terms of two dominant approaches, both functional and interpretative (Alvesson and Spicer, 2012, p. 367). There is a school of thought that the existing social science literature and research is dominated by Burrell and Morgans' (1979) objective functional - '*positivist*' paradigm, with the emergence of more subjective '*interpretivist*' research only starting to break through in the leadership literature (Fairhurst and Grant, 2010, p. 174).

Criticisms of qualitative-interpretivist studies are not new and continue to pervade the literature after more than fifty years. (Appendix A outlines some of the limitations of positivist and interpretivist research.) As Morgan and Smircich (1980) suggest these fractions in the social sciences could be:

'...because the choice and adequacy of a method embodies a variety of assumptions regarding the nature of knowledge and the methods through which that knowledge can be obtained, as well as a set of root assumptions about the nature of the phenomena to be investigated' (Morgan and Smircich, 1980, p. 491).

Hassard and Cox (2013) argue that for organisational analysis it is time to move beyond traditional paradigmatic thinking (Hassard and Cox, 2013, p. 1702). They suggest that over the last 30 years, organisational studies have taken different philosophical routes including '*post-structuralism*' and '*post-modernism*', and the emergence of narrative as indicated by the early works of Foucault (although Foucault dismissed the use of these terms in describing his works (Burrell, 1998, p. 14)). The emergence of this '*third order*', Hassard and Cox (2013) argue, has led to a decline in paradigm thinking as part of organisational theory, and has resulted in a decline in the understanding of

'philosophical principles on which social science perspectives are based' (Hassard and Cox, 2013, p. 1702).

Despite these criticisms and progress in the research literature, for this study it seems arguably appropriate to undertake a qualitative-interpretivist insight in order to answer the RQ. It is particularly helpful to use this approach when little is known about the area under investigation, particularly in areas like governance and leadership where *'multiple levels of phenomena'* cannot adequately be investigated by quantitative-positivist methods (Conger, 1998, pp. 108-109).

5.2.2 Interpretivist Perspectives – Hermeneutics, Phenomenology and Social Constructionism

Interpretivism is a widely used term that has been applied to a variety of research methodologies which seek to interpret human nature to *'develop knowledge about the social world'* we live in (Prasad, 2005, p. 13). Perspectives used within this paradigm include hermeneutics (and the hermeneutic cycle), phenomenology and social constructionism.

In the social sciences today, Scholz (2015) summarises that hermeneutics is essentially a methodology for interpretation derived from the Greek *'herméneutike'* and later the work of Plato which sought to extend its definition (Scholz, 2015, p. 778). Scholz (2015), highlights that it became encompassed in the social science literature following work into biblical texts by the German theologian and philosopher Johann Conrad Dannhauer in the early 17th century. Since this time, Scholtz (2015) suggests that work has taken place to extend its meaning to a range of fields and disciplines. Scholz (2015) continues to stress that for general hermeneutics there are *'two leading concepts – understanding and interpretation'* which requires two key considerations: conceptions of understanding, or a theory; and a *'methodology of interpretation'* (Scholz, 2015, p. 778). This methodology should include: the aims of interpretation; and the principles of how this interpretation will be tested.

Another aspect of interpretivism is phenomenology. Gill (2014) is keen to point out that variations in interpretations of phenomenology appear scattered across the philosophical

literature. Although, most draw on the original philosophical works of Husserl (translated: 2012; 2001; and 1973) who is seen as the *'putative founder'* of phenomenology (Gill, 2014, p. 119). Husserl's work defined descriptive methodologies via an analytical process of reduction: the first being *'phenomenological transcendental'* that needs researchers to *'suspend...assumptions and presuppositions'* about *'everyday life'* often referred to as *'phenomenological epoché or bracketing'* (Gill, 2014, p. 120). Secondly, *'eidetic'* that seeks out *'essences or eidos'* which refers to the subjective, yet intuitive, imagining of different ways of seeing the phenomenon in question (Husserl, 1973, p. 341). It is these essences that Husserl sees as the cornerstone for all other work using phenomenological methodologies (Gill, 2014, p. 120).

However, Symon and Cassell (2012), argue that within interpretivist research there is a need to understand and unpack the *'meanings and interpretations'* participants use to describe everyday behaviours and experiences. From an ontological viewpoint, some researchers will prefer a realist/relativist perspective *'that there is a real world with real phenomena to explore'* (Symon and Cassell, 2012, p. 21), alongside a social constructionist epistemological position. Thus, each person has *'a socially constructed reality'*, which leaves researchers wondering whether what they observe as real is actually happening at all (Symon and Cassell, 2012, p. 17).

Conversely, Collis and Hussey (2014) explain interpretivism as that it is about understanding that social reality is subjective, shaped by perceptions, and researchers cannot extrapolate *'what exists in the social world from what is in [their] mind'* (Collis and Hussey, 2014, p. 45). Social constructionist perspectives essentially allow researchers to understand epistemologically how participants generate meanings from their social environments and interactions (Berger and Luekmann, 1967). These meanings may be in abundance and varied but they allow the researcher to *'look for the complexity of views rather than narrowing meanings into a few categories or ideas'* (Cresswell, 2014, p. 8).

This is echoed in a number of studies in the last thirty years that have taken a social constructionist approach for understanding governance and effectiveness in third sector organisations (Herman and Renz, 2004; Herman *et al*, 1999; Herman and Heimovics, 1993, 1994; Kanter and Summers, 1987). All of which express that there can only be

perceptions and judgements of effectiveness and it cannot be assumed that everyone has the same held view, and that these views are shaped by their own history, knowledge, beliefs and actions (Herman and Renz, 2004, p. 695; Herman *et al*, 1999, p. 375). Therefore, there is a strong justification for this study to also follow in these footsteps with a social constructionist perspective into the judgements and perspectives on collaborative governance and leadership effectiveness.

For the purposes of this study it would seem arguably appropriate that an interpretivist-social constructionist perspective is taken in order to understand the perspectives and judgements that third sector leaders make when working in third sector contexts. Not only this, but this epistemological position will enable a unique insight and interpretation about the meanings third sector leaders in the UK attach to working in the sector.

As interpretivist studies seek to capture deep, rich and meaningful data the focus needs to be on the quality of the qualitative data. In order to achieve the collection of suitable data, this study involved three interlinked field-work stages. **Stage 1** consisted of a three-hour exploratory focus group discussion, involving eight leading UK third sector organisations, hosted at Canterbury Christ Church University (CCCU). **Stage 2** followed-up via eleven separate (face-to-face) semi-structured interviews, involving senior third sector leader-managers in the (UK) South East. **Stage 3** finished off by comparing two organisational case studies, thus helping to triangulate initial interpretations and propositional ideas within different third sector research settings. The first third sector organisational case study involved four semi-structured interviews with social enterprise stakeholders (i.e. both senior leaders and employees from the same social enterprise); the second included five telephone interviews with trustees from the same volunteer run charity.

The next section will address how the research activities were carried out with regard to data collection and sampling. Tools used within the process will also be explained.

5.3 Data Collection and Sampling

This section will address aspects of the data collection and sampling strategies employed for this study in order to address the RQ.

5.3.1 Focus Group

A small focus group (lasting three hours) took place with 8 representatives from social enterprise organisations and leading charities across Kent on the university premises in November 2014. They were invited to participate as they had already been engaged in a similar project within the university. As such an invitation to participate was sent via email from a university coordinator. Convenience sampling was deployed as contacts were established via university personnel who were already engaged in another project. Convenience sampling is *‘a sample that is selected because of its availability to the researcher. It is a form of non-probability sample’* (Bryman, 2012, p. 710). Participants were asked collectively to agree to the participation information form which was distributed on the day of the event (Appendix B). On the day participants were asked to discuss *‘What does leadership in the third sector look like and what future challenges does the sector face?’* Key aspects including governance and collaboration were probed as necessary.

5.3.2 Semi-Structured Interviews

The second stage of the research was to employ a series of face-to-face interviews with senior managers/leaders of third sector organisations based in London and Kent. Eight of these interviews took place in 2014-2016, with 3 further interviews taking place (including a follow up interview for one organisation) in 2019.

During, the initial contact phase in 2014, 6 leaders agreed to participate. Another 3 were identified and contacted as part of a snowballing effect once the first interview had taken place. Snowballing is referred to when existing contacts are used to make connections with others (Bryman, 2012, p. 716). This included those who may be serving as members of boards rather than the central administration of an organisation such as a Chief Executive Officer. After investigating relevant charities and organisations via the Charity Commission website personalised email invitations were

initially sent to leaders of 20 organisations in late 2014 (an example of an email can be found in Appendix C). Initial response rate was low, and those that did respond explained that they just did not have the time to participate.

Once participants had agreed to take part in the study they were sent a participation consent and information form (see Appendix B) and an outline of expectations of the research. Informants were also told that participation was voluntary and they could withdraw support at any time. Understanding that these were busy people, trying to manage the scheduling of the interviews around work arrangements became quite complex. (A summary of all participants and organisations is provided below. A detailed overview of all the participants and organisations can be found at Appendix D)

Figure 10: Summary of Participant Information

Organisation Type	Participant Number	Position and Experience (where applicable)
Social Enterprise - Community Interest Company (CIC)	Four	Director – has experience of working for voluntary organisations and being a trustee.
	Eleven	Associate Director – more than twenty years’ experience of working in the healthcare sector.
	Twelve	Associate Director – many years experience of working in the healthcare sector.
	Thirteen	Associate Director (Interim) – long service in healthcare sector.
Charity	One	Chief Executive – more than twenty years service of leading charitable organisations.
	Six	Deputy Chief Executive – wide experience of working in the voluntary sector.
Charity	Nine	Chief Executive – More than twenty years experience in the third sector.
Charity	Three	Chief Executive – first senior

		leadership role in the third sector.
Charity Incorporated Organisation (CIO)	Eight	Trustee – no previous experience of being a trustee.
Charity and Registered Company	Two	Chief Executive – first senior leadership role in the third sector.
Charity	Ten	Chief Executive – vast leadership experience including other senior leadership roles in the sector.
Charity	Five	Collaborative Entrepreneur/Trustee – background in overseas voluntary work and former Chief Executive of a national charity.
Charity Incorporated Organisation (CIO)	Fourteen	Senior leader/trustee – broad experience of working in public and third sectors.
	Twenty-one	Trustee – vast experience in voluntary sector work over many years.
Charity	Fifteen	Trustee – volunteer with many years of service to the organisation.
	Sixteen	Trustee – volunteer with many years of service to the organisation.
	Seventeen	Trustee – volunteer but new to a trustee position in the sector.
	Eighteen	Trustee – five years experience as a trustee.
	Nineteen	Trustee – six years experience as a trustee.
Charity	Focus Group – One	Interim Chief Executive
Social Enterprise – Community Interest Company (CIC)	Focus Group – Two	Chief Executive
Charity	Focus Group – Three	Manager
Social Enterprise – Community Interest Company (CIC)	Focus Group – Four	Chief Executive
Social Enterprise and Registered Company	Focus Group – Five	Director
Social Enterprise – Community	Focus Group – Six	Manager

Interest Company (CIC)		
Social Enterprise – Community Interest Company (CIC)	Focus Group – Seven	Chief Executive
Charity	Focus Group – Eight	Manager

An interview schedule was developed (as outlined in section 5.3.2.1) to aid discussions. Recorded conversations based on this schedule tended to last between 30 minutes and 1 hour. Time was taken before the interview to ensure the designated room/area for interviews was suitable, and to ask some background questions (as no questionnaire was disseminated) to support triangulation activities later in the process.

Notes were also taken throughout the interview process. This ‘*research diary*’ was designed not just to capture the essence of the interviews but also any nuances about body language or other aspects that could not be captured by audio recording. Following the interviews a thank you message was relayed to participants and a transcription made available to them.

In terms of the sampling, purposive sampling was deployed as it enables the researcher to make a strategic judgement on whom to include in the study (Bryman, 2012, p. 714). Participants were chosen directly by the researcher. Taking this approach makes it impossible to generalise the findings as it cannot be ascertained that it is a representative sample of senior managers/leaders in the third sector. As it is an exploratory stage of the research this is not considered by the researcher to be problematic. It also enables, through the resulting analysis, to see if there are any similarities or ambiguities in relation to the conceptual framework that could apply across different types of third sector organisations and the senior managers/leaders that work in them.

5.3.2.1 The Interview Schedule

A semi-structured interview schedule (Appendix E) was prepared which enabled the participants to explore what it meant to be a leader in a 21st century organisation. As this was a semi-structured interview it enabled other questions surrounding governance and projects and programmes they were involved in to be asked when it was appropriate to do so.

It was decided that due to the time pressures and constraints placed on third sector leaders that a background questionnaire (which are usual for qualitative research method studies) would be inappropriate to request. Instead informal discussion took place before the interview and the first section of the interview was used to extract useful data such as strategic documentation and insight. If the study was to be repeated an early expectation could be established that further information beyond the interview would be required. This would ensure that relevant information beyond the interview could be readily available to the researcher. Closed and open-ended questions could be prepared and used to capture this information (Bryman, 2012).

The interview schedule consisted of three key sections: '*About You*'; '*Leading Teams*'; and '*Leading the Organisation*'. The '*About You*' section sought an insight into the experience of the third sector leader, in their current and previous organisations. It also focused on their own leadership style and gave them an opportunity to reflect on how others (direct and other reports) may view their leadership style. The '*Leading Teams*' section enabled the third sector leaders to reflect on how they engage with members of their team and/or volunteers in their organisations and specifically their relationships with any direct reports. Finally, the '*Leading the Organisation*' section enabled third sector leaders first to consider the values of their organisation and any reward programmes it may offer. This was followed up with questions surrounding the intra and inter-organisational governance arrangements the leaders were leading and managing. This included: whether the third sector leaders were involved in any externally funded projects; if there were any differences how these were managed compared to internal operations; a reflection on their relationship with any governing boards; and their leadership effectiveness in supporting these activities. The last question then asked the third sector leaders to identify any future challenges the sector may face.

As interviews were taking place outside of university premises, personal safety also had to be considered. Interviews therefore only took place on the participant work premises and permission was sought from the relevant personnel to achieve this requirement.

5.3.3 Case Studies

The final stage of the research involved 2 case studies. The first involved 4 individual semi-structured interviews with senior leaders from within a social enterprise. These interviews lasted between 30 minutes and 1 hour and used the same interview schedule as had been agreed for the previous semi-structured interviews. This would enable a cross-comparison to be made between the individual third sector leaders and participants in this and the second case study. Due to work arrangements and their availability these interviews took place in private meeting rooms on the social enterprise premises between late 2014 and early 2016. Due to changes in business location there was a lengthy pause in access to the premises.

Prior to the research taking place an extensive ethical procedure took place within the National Health Service so access could be gained to the relevant organisation (see ethical considerations). This process was lengthy and required intervention to ensure permission was granted prior to the interviews commencing. Once permission was granted by formal letter I was able to contact the organisation and make contact with a key leader who was responsible for providing the contact details for relevant senior personnel. I was then able to invite these leaders to take part in the interview process. 4 out of 5 of those who volunteered to be available via this process took part in the subsequent interviews.

The second case study involved 5 individual semi-structured interviews with trustees from within a volunteer run registered charity. These audio-recorded telephone interviews took place in late 2019 and lasted between 15 minutes and 30 minutes and used part of the same interview schedule as had been agreed for the previous semi-structured interviews. However, based on what had previously emerged from earlier interviews I was able to focus and probe in more detail aspects of good governance, collaboration and trust as these were areas that needed greater exploration than had previously been considered in the earlier case study and semi-structured interviews.

Participants in the second case study were already known to the researcher. Convenience sampling was therefore deployed for this aspect of the research.

The next section will address the data analysis process employed for this study.

5.4 Data analysis

All aspects of the research were recorded using a digital recorder and then fully transcribed by the researcher. The audio was captured from the digital recording device. No digital software was used for this voice transcribing activity as this can often lead to misinterpretation and misunderstanding of the findings particularly where more than one voice is involved (Alcock and Iphofen, 2007). Heritage and Atkinson (1984) suggest that there are a number of advantages to recording interviews and case study discussions as it may allow others to scrutinise the findings of the research, and it can also allow the data to be used for other reasons that were not the original intentions of the initial research (Heritage and Atkinson, 1984, p. 12).

Once the transcribed data is available, there are a number of ways in which qualitative data can be analysed. Morse (1994) suggests this varies depending on the research methodologies employed but invariably will include some form of: comprehending the background to the research topic (Morse, 1994, p. 25). Although, it is also recognised there are debates about how much knowledge it is helpful for the researcher to have prior to the research taking place; and synthesising of information, themes and patterns to discover what is actually happening (Morse, 1994, p. 25-26).

5.4.1 Thematic Data Analysis

Analysing qualitative data presents a number of challenges with some authors criticising the way existing literature fails to articulate how this takes place (Morse, 1994, p. 23; Bryman, 1988, p. 77). Thematic analysis has been used in qualitative research but is rarely described (King and Horrocks, 2010; Braun and Clarke, 2006). Template analysis is one mechanism for articulating themes particularly in interpretivist studies (Symon and Cassell, 2012, p. 428).

A thematic analysis approach was taken to all three aspects of the research study. Once the interviews and focus group had started to take place the data was transcribed and initial thematic coding took place. Themes in qualitative analysis are often described as '*...the recurrent and distinctive features of participants' accounts...that*

characterise perceptions and/or experiences...' as relevant to the area of study (Symon and Cassell, 2012, p. 430.) This helped to establish whether there were any similarities or patterns in the findings across senior managers and leaders in the third sector in London and Kent. The interview transcripts were coded and patterns identified to help articulate any relevant findings using a template. Findings were then mapped onto the conceptual framework.

The 'Thematic Analysis Protocol' for the study can be found at Appendix F.

5.4.2 Mapping onto the Conceptual Framework.

Once the transcription was complete and the triangulated thematic analysis accomplished, the findings were then mapped onto the conceptual framework. This was achieved by analysing and interpreting the perspectives provided by the participants in the transcripts, my field notes and other documentation. First of all, this included analysing the organisational background information. This may have been provided via document or web-based information, as well as the introductory questions as part of the semi-structured interviews. This was an important undertaking as it enabled the researcher to unpack and understand the type of third sector organisation it was and how this potentially aligned with the conceptual grid/framework descriptors (Chapter 6 provides an overview of how the conceptual grid/framework works in practice). Secondly, the triangulated thematic analysis was then used to map perspectives from the participants alongside the organisational information in each of the quadrants. This primarily focused on aspects of collaborative governance and leadership effectiveness. Existing and emerging literature and research (identified in Chapters 3 and 4) were then interspersed with the findings to demonstrate similarities or differences in perspectives from within and across the third sector.

The next section will provide an overview of the validity and credibility of a qualitative research methodology.

5.4.3 Validity and Credibility of a Qualitative Research Methodology

Validity and credibility are still viewed as essential criteria for establishing the quality of qualitative research outcomes (Symon and Cassell, 2012; Spencer *et al*, 2003; Morse *et al*, 2002). I would argue that for 21st century research there needs to be a shift change over what is traditionally seen as acceptable forms of measuring and assessing qualitative research. Although a number of key authors have attempted to define quality criteria (Spencer, 2003; Yardley, 2000; Mason, 1996; Leininger, 1994; Kirk and Miller, 1986; LeCompte and Goetz, 1982) that will enable a rigorous evaluation to be made of qualitative research findings, there is still an ongoing battle of acceptability in the research community (especially within journal publications), as to what is perceived as a rigorous alternative to quantitative mechanisms (Cassell and Symon, 2011; Pratt, 2008; Easterby-Smith *et al*, 2008; Seale, 1999; Denzin, 1988; Morgan, 1983).

Mason (1996) in Bryman (2012) suggests that validity refers to whether as a researcher ‘*you are observing, identifying, or ‘measuring’ what you say you are*’ (Bryman, 2012, p. 390; Mason, 1996, p. 24). Bryman (2012) also considers other validity measures previously explored by Kirk and Miller (1986) and LeCompte and Goetz (1982). As a result, Bryman (2012) summarises that issues of validity are to do with:

- a) ‘*external reliability*’ - in other words, can the study be replicated? Although understanding that it is impossible to recreate very similar social settings from original research which makes it difficult to compare results (Bryman, 2012, p. 390).
- b) ‘*internal reliability*’ - can what the researcher observes be corroborated by others? Who can agree with what the researcher has seen and heard? (Bryman, 2012, p. 390)
- c) ‘*internal validity*’ - is there a good match between what the researcher has seen and how this connects with theories that are developed to support any observations? LeCompte and Goetz (1982) argue that ‘*this is a strength of qualitative research*’ (Bryman, 2012, p. 390; Le Compte and Goetz, 1982, p. 43).
- d) ‘*external validity*’ - this refers to the ability to generalise findings to other contexts. For qualitative studies this is seen to be challenging due to the

tendency of these studies using small samples, for example case studies (Bryman, 2012, p. 390).

In addition to these perspectives, Guba and Lincoln (1994) propose that an alternative to reliability and validity is a focus on trustworthiness and authenticity in qualitative research (Guba and Lincoln, 1994: Lincoln and Guba, 1985). They argue that it is impossible to have one view of '*social reality*' as proposed by '*realists*' and it is up to social researchers to unpack these different viewpoints (Bryman, 2012, p. 390). In order to achieve trustworthiness in qualitative research Lincoln and Guba (1985) had previously suggested a focus on:

- a) '*credibility*' - that assures that the researcher has followed best/good practice (this can be validated for example via triangulation) (Lincoln and Guba, 1985, p. 219). Cresswell (2014) outlines that triangulation uses different sources of information to build a '*coherent justification*' for chosen themes (Cresswell, 2014, p. 201) and Bryman (2012) defines triangulation as '*the use of more than one method or source of data in the study of a social phenomenon so that findings may be cross-checked*' (Bryman, 2012, p. 717);
- b) '*transferability*' – whether results found in one context can be found in another is typically an empirical issue (Lincoln and Guba, 1985, p. 219). However, for qualitative research the emphasis should be on capturing rich data or '*thick description*' (Geertz, 1973) that provides the ability for the possibility of the transferability of findings (Bryman, 2012, p. 392);
- c) '*dependability*' – to enable trustworthiness researchers are encouraged to keep records throughout the research process. This form of auditing will enable easy access to confirmatory records for those that require it (Lincoln and Guba, 1985, p. 219: p. 323). Bryman (2012) recognises that in some cases this is not an appropriate action particularly where raw datasets are large and cumbersome (Bryman, 2012, p. 392).
- d) '*confirmability*' – with regard to objectivity Lincoln and Guba (1985) recognise that it is important that '*personal values*' and existing theories do not inhibit qualitative research and therefore the research findings (Lincoln and Guba, 1985, p. 219: p. 323). It is the role of an '*auditor*' or '*examiner*' to ensure that researchers have '*acted in good faith*' (Bryman, 2012, p. 392).

For authenticity, Bryman (2012) considers Lincoln and Guba's (1986) five criteria for assessment. Although, they have not been widely implemented in qualitative research mechanisms with its focus on practical outcomes (Bryman, 2012, p 393):

- a) '*fairness*' – are different views taken into account from the context being explored? (Lincoln and Guba, 1986, p. 78)
- b) '*ontological authenticity*' – do findings lead to a better understanding of the context/social setting being explored? (Lincoln and Guba, 1986, p. 81)
- c) '*educative authenticity*' – will the research contribute to a better understanding of the context/social setting being investigated? (Lincoln and Guba, 1986, p. 81)
- d) '*catalytic authenticity*' – has the research enabled some form of action to change existing circumstances? (Lincoln and Guba, 1986, p. 82)
- e) '*tactical authenticity*' – does the research empower others to take action? (Lincoln and Guba, 1986, p. 82-83)

In addition to these criteria Leininger (1994) added '*saturation*' with the researcher encouraged to be fully immersive in the research experience (although, Collis and Hussey (2014) recognise this is similar to Lincoln and Guba's interpretation of '*credibility*' (Collis and Hussey, 2014, p. 172)). '*Meaning in context*' was also identified by Leininger (1994) that refers to collecting data which relates to and creates meanings for the participants involved in the research. Finally, '*recurrent patterning*' which is about identifying repeated '*behaviours, expressions and events*' over time Leininger (1994, p. 106). Yardley (2000) also suggests researchers need to consider: sensitivity to context; commitment and rigour; transparency and coherence – with a focus on reflexivity; and impact and importance (Yardley, 2000, p. 219).

Overall, although qualitative studies have garnered criticisms in terms of justifying its validity and credibility amongst the academic and publishing community a qualitative research design does allow researchers to explore dynamics of social situations that cannot be uncovered or measured by quantitative means.

The next section will review the ethical considerations for this study.

5.5 Ethical Considerations

There were a number of ethical considerations to take into account when undertaking this research. Research ethics are an integral part of each stage of the research process. This helps underpin its overall authenticity, validity and credibility. In order to successfully implement the procedures required for a successful study, the university's '*Ethics Policy for Research Involving Human Participation*' was followed. Ethics checklists were complete for each stage of the process in line with requirements as laid out in the '*University Research Governance Handbook*'.

5.5.1 Participant Consent

It is not intended that any aspect of this study should bring about any situations or questions that participants may find alarming or sensitive. The participant information forms highlight that research involvement is voluntary and that they can withdraw at any time during the data collection process. The university ethics clearance process allows the researcher to consider these wider perspectives and to acknowledge any perceived difficulties the researcher or participant may experience and for this to be officially recorded.

For the purposes of the case study ethical clearance was needed to be achieved beyond that of the university as it involved the engagement of a social enterprise working in the healthcare sector. Appropriate National Health Service (NHS) research clearance for the local area needed to be gathered prior to commencement of any activities. If the study is to be published at a future date then the NHS research team will need to be informed. Permission will be needed for this data collection to be used for alternative publications.

5.5.2 Data Protection

All data protection requirements were observed and adhered to by the researcher as all the data must be treated fairly and with integrity to ensure the results are trustworthy. Once transcribed the raw audio was stored on the university's secure IT systems. During the course of this study new general data protection laws were introduced (commonly referred to as GDPR (2018)) (Great Britain. Parliament. Information

Commissioner's Office, 2018). Any research following this date would now be bound by this new legislation, particularly with the use of personal information which may apply to participants.

5.6 Limitations of the Research Methodology

A number of limitations have been noted during this study and have been taken into account before, during and after the research process. These will be outlined and addressed in the following sub-sections.

5.6.1 Limitations of Researcher Reflection and Reflexivity

It is becoming increasingly common for researchers to be self-aware of their role during periods of data collection. In particular, how the researcher can affect the way research is carried out and its outcomes in organisations (Alvesson *et al*, 2008: Alvesson and Sköldbberg, 2000). Hibbert *et al* (2010) make it clear there are differences in reflection and reflexivity, with the latter being more complex as it involves '*thinking about our own experiences*' and how these frame our thoughts and interactions. Reflexivity is a useful tool for researchers to evaluate their own unintended bias, assumptions and truths (Cunliffe, 2003; 2004). Throughout the study it was important to understand the role I played when carrying out the data collection and how my previously held viewpoints, assumptions and assertions may influence the outcomes. Despite these considerations it is possible in interpreting the data that my life and work experiences have shaped and molded the themes and patterns identified in the data analysis. Acknowledgements of my own student reflections with regard to my research are detailed in Chapter 8.

5.6.2 Limitations of the Focus Group

It is well known that focus groups allow for multiple perspectives to be ascertained and collected but there are challenges that need to be overcome to ensure they are successful. Besides challenges such as being difficult to organise and whether the researcher can truly be in charge (Bryman, 2012, p. 516), it is less likely for rapport to develop between the researcher and individual participants (Smith *et al*, 2009, p. 57). For example, time needs to be taken to allow all participants to express their individual experiences and perspectives whilst trying to avoid '*group think*' (Palmer *et al*, 2010, p. 117). Challenges can also arise in the transcription process as the researcher tries to

distinguish individual contributions to the questions being discussed. This may also be exacerbated by background noise or clarity in participant's dialect, tone and volume (Bryman, 2012, pp. 516-518). To counteract this it is prudent for the researcher to seek confirmation and reiteration of key points as well as taking notes to limit problems that may emerge during transcription.

5.6.3 Limitations of the Semi-Structured Interviews

Bryman (2012) outlines that semi-structured interviews provide a very useful primary source of data collection for qualitative-interpretivist studies as they allow greater flexibility than structured processes (Bryman, 2012, p. 471). However, during the data collection questions may likely deviate from the agreed and ethically approved interview schedule as the researcher focuses in on issues/comments highlighted by participants. However, it is more structured than non-structured interviews and provides some thought and consideration of the underpinning literature of the research question.

Semi-structured interviews are also useful when the exploration has a clear purpose and is focused (Bryman, 2008, p. 439). Questions within the interview schedule need to be written in a way that participants understand them reducing the need for the researcher to prompt or clarify aspects of the interview schedule during data collection. Care also needs to be taken during the interviews not to lead participants into responding in particular ways.

It can be acknowledged that interviews usually take place in socially constructed settings rather than in naturally created environments. As the researcher I was not able to visit the locations where the interviews were taking place prior to them taking place. I was therefore not able to assess the location suitability in terms of privacy and space. A few of the rooms chosen were not adequately sound proofed or with enough space to allow the participant to relax. As the interviews were on their work premises there were also issues about being interrupted. For one particular instance the recording of the interview had to be stopped on at least 3 occasions due to unintended interruptions. This potentially disrupted their flow and thought patterns which could have meant interesting perspectives being lost. Relying on participants to arrange all this may have

put additional pressures on them. For any future studies it would be advisable to explain in more detail the expectations and suitability of interview locations when arranging meetings.

Although the digital recording of interviews is to be welcomed as it allows '*repeated examination of the interviewee's answers*' (Bryman, 2012, p. 482), within the digital audio recording of semi-structured interviews it is difficult to determine any '*social cues*' such as body language and eye contact as these can express viewpoints and engagement in the process. To counteract this, notes were kept as part of a '*research diary*' which could be referred to during the data analysis phase. However, for future studies, and if participants give their permission, digital moving image recording may be beneficial so these nuances can be reviewed over time and assessed in more detail as part of the analysis process.

5.6.4 Limitations of the Case Studies

By using case studies it allows researchers to explore whether findings in one organisation can also be found in another (Yin, 2009). Hodkinson and Hodkinson (2001) outline a number of limitations to using case studies. In summary, they argue that this could mean researchers have too much data to analyse; it is time-consuming and expensive to collect if attempted on a large scale (Hodkinson and Hodkinson, 2001, p. 8); complexity is difficult to explain, this can make the findings hard to summarise and findings are not generalisable (Hodkinson and Hodkinson, 2001, p. 9).

5.7 Chapter Summary

The purpose of this chapter was to outline the rationale, research design and methodology for this research study. I have provided a clear rationale for using an exploratory qualitative-interpretivist research paradigm for the RQ and detailed why it is a suitable mechanism for this particular study. I have explained the design and methodology taken for the study which included a combination of focus group, semi structured interviews and a case study. This was followed by explaining: how the data was collected; the sampling strategy; the interview schedule; and how the data was analysed in relation to the conceptual framework (detailed in Chapter 6). Finally, I discuss the ethical considerations and limitations of the chosen research design and

methodology. The next chapter will highlight the findings from the initial exploratory stage to address the research question.

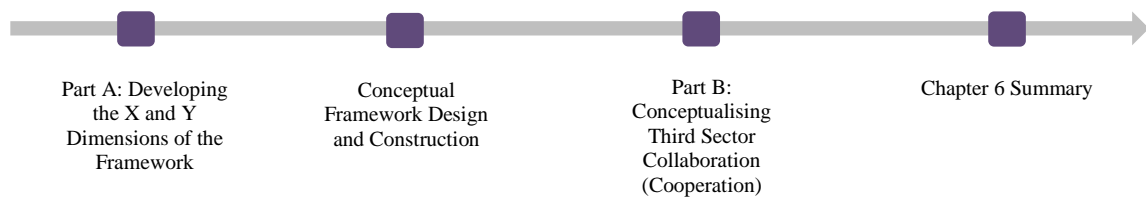
Chapter 6

Research Findings

6.1. Chapter Introduction

This chapter aims to set out the findings and analysis from the qualitative research stage of my study. This follows outcomes from: a small focus group of leaders of social enterprise organisations and charities based in Kent; semi-structured interviews with leaders of nine charitable organisations based in London and Kent; and two case studies with a social enterprise and volunteer run charity based in Kent. Further discussion based on these findings, including the research propositions and other overarching themes, will continue in the next chapter (Chapter 7).

Figure 11: Overview of Chapter 6



6.2 PART A – Developing the X and Y Dimensional Logic of the Framework

I would argue strongly that one of the key aspects of governing and leading a 21st century third sector organisation is the desire to create and drive change and make a difference to the communities they are set up to serve. As head of the Association of Chief Executives of Voluntary Associations (ACEVO) personally comments:

‘Charities exist to create change. They are set up to respond to an identified need in society, eg [sic] social injustice, health problem, enhancing lives etc...’
(Browning, 2018)

In an increasingly competitive market place these organisations, their leaders and boards need to be able to collaborate (*and cooperate*) across inter and intra-organisational

networks and boundaries, perhaps discovering new and undiscovered territories. Collaboration (*and used interchangeably across the literature, cooperation*) and understanding the essential characteristics of governance and leadership is therefore fundamental. First of all, we need to understand how organisations in the third sector operate: how are they governed; what constitutes good governance; and how effective leadership underpins good governance (via mutual reciprocity and trust). This forms the basis of the research question and the following propositions:

RQ – What are the essential characteristics of collaborative governance and leadership effectiveness for UK third sector organisations?

Proposition 1: Collaborative thinking is now essential for (intra- and inter-) organisational good governance within the UK third sector.

Proposition 2: Third sector leaders should recognise the need to cooperate further for improved governance and shared leadership effectiveness.

In order to address the research question and propositions, the primary aim of the chapter is to interpret the key dialogue and themes emerging from the research and the conceptual framework based on a combination of the literature and the research to date. In particular, through the alignment of intra- and inter-organisational collaborative governance and leadership effectiveness (via LMX) in the third sector in the UK.

When designing the framework, Whetten (1981) helpfully provides a typology of four major linkages that could work to bring together the various dimensions of the framework. These are in the form of those connections that are dyadic, organisational, action set and/or network in nature. In terms of the dyadic linkage Whetten in Conteh (2013) perhaps is '*alluding to collaboration between two otherwise independent organisations, with limited resource commitment*' (Conteh, 2013, p. 503; Singh and Prakash, 2010). A network he and they continue to prescribe is '*a sort of policy sub-system comprising various combinations of inter-organisational linkages*' (Conteh, 2013, p. 503).

In this instance, the conceptual framework itself has four dimensions which articulate four potential types of (intra-and-inter) collaborative (*cooperative*) governance and leadership approaches within a 21st century third sector organisation. These dimensions are called New Entrants (Novices), Founder Syndrome (Individualised Leadership), Hybridised (Multi-Agency) and Quasi-autonomous (Reformed Public Sector/Traditional), and will be detailed in the following sub-sections.

6.2.1 Conceptual Framework Design and Construction

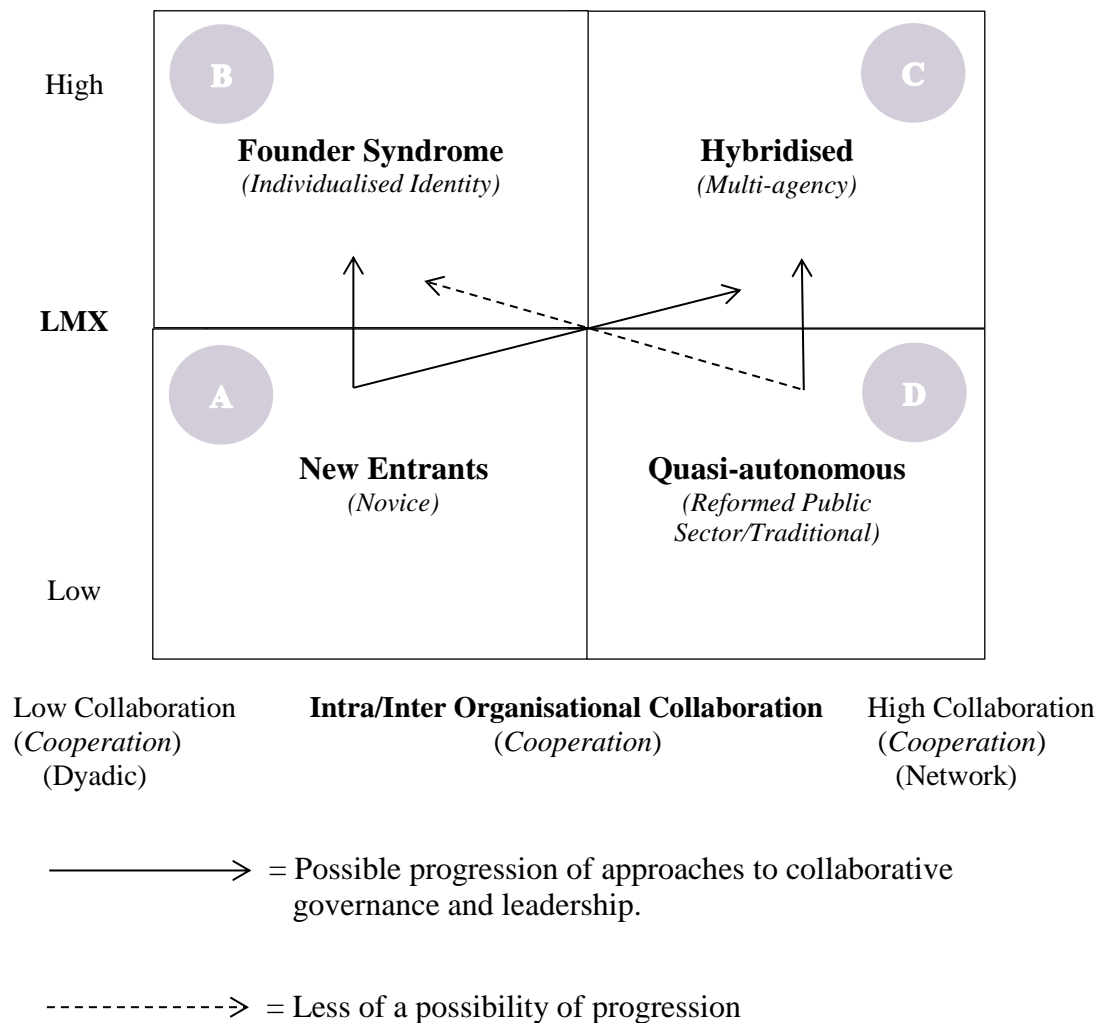


Figure 12: Conceptual Grid – The Dynamics of Collaborative (*Cooperative*) Governance and Leadership in the Third Sector

The next section will introduce the findings from the qualitative analysis.

6.3 PART B: Conceptualising Third Sector Collaboration (Cooperation): A Quadrant Based Analysis

6.3.1 New Entrants (Novices): Low Collaboration (Cooperation) and Low LMX (Lower Left Quadrant)



Starting a new third organisation in the UK is decidedly complex and compounded by a wide range of legislative and regulatory requirements (Chapter 2 provides an overview of these necessities). This quadrant considers approaches by those organisations that are new to market in the third sector in the UK, may not yet be fully functioning, or even if they have been in existence for some time are still performing as ‘*novices*’. They are most likely to be small-micro operations, with low overheads and a low payroll (Miller, 1998). Carmen and Nesbit (2012) researched the reasons why people establish new non-profit organisations. They suggest that there is usually some form of ideological motivation and that they are usually ‘*close to the problem*’ that they are trying to solve (Carmen and Nesbit, 2012, p. 604). Miller (1998) in Carmen and Nesbit (2012) suggests that:

‘...this closeness to the problem can lead to new insights and innovative solutions that might be missed by larger, more established organisations whose leaders have lost touch with the grass roots’. (Carmen and Nesbit, 2012, p. 604: Miller, 1998, p. 95)

The need for establishment may have arisen from a perceived social or community need, from broader market or government failure, or no suitable identified need at all. Reasons, Carmen and Nesbit (2012) identify motivations range from underfunding and budget shortfalls; meeting unmet needs in the community (some targeted provision); and some being wary of profit driven enterprises; to those feeling they had a ‘*personal calling*’ or personal interests and experiences which drove them to create the organisation (Carmen and Nesbit, 2012, pp. 608-609).

In terms of the governance arrangements board sizes may tend to be small. This is compounded by a lack of knowledge about the systems and processes in order to achieve good governance practices (Carman and Nesbit, 2012), and by a lack of experienced staff (possibly no employees) and/or access to suitably skilled volunteers

(Waikayi *et al*, 2012: Miller, 1998). This lack of experience could mean that leader effectiveness is compromised as although new starter leaders are seen as visionary and charismatic they could lack wider entrepreneurial flair and spirit. Due to the complexities of working in the sector leaders may also see themselves as performing more managerial tasks and engaged too much in the detail of day to day activities. Where there are employees, in these new organisations relationships are also predominantly likely to be organic and dyadic in nature, but lack mutual reciprocity and trust as there has not been enough time for these relationships to sufficiently develop and coalesce (as per the cyclical nature of trust developed by Vangen and Huxham (2003) is detailed in Chapter 4).

Finally, although leaders in this quadrant are likely to have good campaigning skills, behaviours demonstrated will tend to be transactional and passive which causes challenges particularly surrounding fundraising activities (Miller, 1998).

Overall, for the conceptual framework I would argue that this suggests that these new entrants (novices) best fit the ‘Low Collaboration (Cooperation)’ and ‘Low LMX’ category to represent the governance and leadership arrangements found in these types of organisations in the third sector in the UK.

6.3.1.1 Findings for New Entrants (Novices)

Organisation 3 aligns well with this quadrant. This registered charity was established in 2006-2007 by a number of churches with aims of supporting those living and needing assistance in a Kent town. Although not a new organisation, organisation 3’s ideological motivation was primarily driven by its Christian values to meet the needs of this particular community.

Organisation 3’s calling was specifically related to the changing needs of the local community as the Chief Executive stated:

‘...you don’t want to have, I feel a fixed idea about what we are here for and what we are going to do, because we need to be able to respond to what local needs are... We started in 2007, I was the first employee...so that was myself and

about eight volunteers from a local church and that's how we got started....it is an initiative of three churches. Each of whom wanted to be more involved in addressing the needs of people locally and they were advised to work together.'

Participant 9 (Chief Executive)

It offers a wealth of advice on things from finance to housing. Additional activities include the running of a foodbank and a local network of charity shops.

Carmen and Nesbit (2012) noted that on the topic of collaboration, only 32% of those organisations questioned '*reported they did not collaborate or partner with other organisations*' (Carmen and Nesbit, 2012, p. 611). Again, this aligns with the limited funding and collaboration activities of organisation 3. It received most funding through a mixture of local authority grants, start-up funds (SEEDA), contracts, its shops and other fundraising initiatives such as community fun days. Its board consists of 5 members, 3 of which are the leaders of the local churches who established the charity over ten years ago. The other two have background experience in accountancy (company secretarial work) and project management.

In terms of governance, organisation 3 is a micro organisation with a small and localised board make-up. Similarly, there is a limited dependence on paid employees. They rely on, or have an over reliance on volunteers or contractors to support day to day activities (Waikayi *et al*, 2012). Relationships in this quadrant are based on contractual rules and procedures and are transactional in nature reflecting the small scale nature of operations.

Within these micro-organisations it is likely that leaders will also have varying degrees of managerial responsibilities whether this is functional (e.g. human resources, IT, legal, finance etc.) or contractual (programme, project, risk management etc.).

Another organisation that may align well with this quadrant is Organisation 10. This case study organisation is a volunteer run charity which exists to provide activities and support to a network of youth and children's groups. Although a charity in its own right it also forms part of a complex governance arrangement for its umbrella organisation, although its finances are managed and ring-fenced for use at the local level. It currently

has no employees, but has 6 trustees that are responsible for the day-to-day running of the charity, including managing properties and monies set aside to support local activities. Most of its income is driven from membership fees, events, the hiring of facilities, and training.

However, despite it having sufficient ring-fenced reserves its long-term viability is not assured due to the complexities surrounding the overarching governance of the umbrella organisation which is undergoing a transformation process. This is also exacerbated by challenges in the appointment of suitable trustees as part of its governance arrangements at the local level. Trustees who have been appointed in the last few years have reported a lack of training, advice and guidance with regard to the legal responsibilities of their role, and expectations surrounding time commitment and feeling able to challenge trustees who have a breadth of experience as trustees and experience within the wider organisation. This, for some, has impacted their leadership effectiveness as part of the charity, with a question mark hanging over their continued involvement.

6.3.2 Founder Syndrome (Individualised Identity): High LMX and Low Collaboration (Cooperation) (Upper Left Quadrant)

B

There are some similarities between this quadrant and new entrants in terms of the role of the founder and the challenges and issues that emerge from founding an organisation. Although, understanding that the views and ideas of founders can often linger within future leaders of organisations (Block and Rosenberg, 2002). However, unlike new entrants this quadrant also includes founders that may have held the same position in *'their'* organisation for some considerable time or they have moved into a trustee position after pre- or post-retirement as they still wish to have a stake in the future of the organisation. An outline of Founder Syndrome is articulated in Chapter 4 but why include this in the conceptual framework? As has already been suggested this is an under-researched area of interest in the UK particularly when it comes to focusing in on good governance and what leadership is required to underpin it. In terms of governance arrangements, founder syndrome is seen to lead to externally more than internally focused systems and processes. Any that may be in place are more than likely to be considered disorganised and unclear (Block and Rosenberg, 2002). Although, founders

are seen to be ‘*hardworking, creative and innovative*’ (Santora and Sarros, 2008, p. 12) and able to build and nurture relationships easily, their motivations may be so focused on their own social values and morals that they lose sight of what public benefit the organisation needs to achieve and the boundaries in which it has to operate. They are also seen to be able to persuade and overly influence board members (Block and Rosenberg, 2002, p. 353). Even though it seems they are able to build reputable, arguably trusting relationships with others, leadership characteristics of ‘*founder syndrome*’ can also be aligned to those of individualised leadership (Wallis *et al*, 2011; Dansereau *et al*, 1995) and the dark side of transformational leadership, specifically narcissism and megalomania (Tourish, 2013).

Overall, for the conceptual framework I would argue that this suggests that ‘*Founder Syndrome*’ best fits the ‘Low Collaboration (cooperation)’ and ‘High LMX’ category to represent the governance and leadership arrangements found in these types of organisations in the third sector in the UK.

6.3.2.1 Findings for Founders Syndrome

Numerous charitable and socially orientated organisations are established each year for specific causes or to raise funds for people facing particular circumstances. Although the establishment of these organisations is heartfelt and genuine, leaders in these types of organisations could perhaps be seen to be more focused on the funding mechanisms and beneficiaries rather than the systems and governance processes to maintain appropriate functionality of the organisation.

I would argue that those organisations likely to appear to in this quadrant could also be those run by highly successful social entrepreneurs, or charities set up by individuals or keen enthusiasts and/or leading personalities who just don’t have an understanding of the wider governance requirements of running a charity or social business and are perhaps more interested in fundraising through building and maintaining external relationships rather than internal networks.

In the UK, there has been at least one high profile case where ‘*founder syndrome*’ has led to an unmitigated ‘*disaster*’ for both beneficiaries and charity trustees. The

collapse of 'Keeping Kids Company' (or better known as the 'Kids Company') in August 2015 following a police investigation into allegations of sexual abuse, and government concerns over financial irregularities is perhaps the most widely publicised.

This charity was established in 1996 by Camilla Batmanghelidjh with the aim of providing a range of emotional and other support services to young people in Greater London, then eventually Liverpool and Bristol. Through her leadership and wide array of networks, fundraising was exceptional and the organisation seemed to be thriving. Indeed, it was also subject to millions of pounds in government funding. Although she did not see herself as a founder but a driver of an ambitious vision:

'Often the strength of a founder's determination is seen as a symptom of founderitis or founders syndrome...I did not perceive myself as the founder of Kids Company. Instead I was the catalyst who facilitated the collective creativity of staff, children and supporters to generate a sanctuary for the most vulnerable.' (Batmanghelidjh and Rayment, 2017, p. 266)

Yet, during government investigations it emerged that there were a number of financial irregularities that had not been dealt with by the charity trustees (even after advice by its auditors and wider research into its longer term sustainability). She admits herself that she perhaps lacked the business acumen to run a charity:

'I had no business or management training...I learnt how to run Kids Company by trial and error, supported by trustees and advisers, while listening to the kids.' (Batmanghelidjh and Rayment, 2017, p. 117)

It was not clear how the funds had been appropriated and trustees were called to account. Camilla herself even admits that:

'As a result, every year we would start with no more than a third of our funding confirmed. We never made false promises and the staff new the risks.' (Batmanghelidjh and Rayment, 2017, p. 266)

During a widely publicised documentary (*Camilla's Kids Company: The Inside Story*, 2016) it was alleged that decisions were taken on an individual basis and some beneficiaries were perhaps singled out over others.

It is this '*individualised*' leadership style that can be hugely influential in the success or failure of an organisation. (The leadership literature is dotted intermittently with this phrase although it has yet to find a distinct place in research. '*Individualised*' leadership in the literature to date considers leadership as a process between two '*active participants*' in a '*unique, dyadic relationship*' (Wallis *et al*, 2011, p. 183). It combines both transformational leadership and LMX which makes its consideration in this framework interesting.)

Following the closure of 'The Kids Company' it was announced that the board had insufficient expertise to tackle CEO decision making. Indeed it seems that things were kept from them.

'They gave their time, and accepted the risk to their reputations if Kids Company ran into any sort of trouble...that is why I tried to keep the burden on them light.' (Batmanghelidjh and Rayment, 2017, p. 295)

Subsequently, a number of government reports have been published to help provide further guidance to charity trustees and professionals about how to avoid such leadership and governance disasters in the future (Great Britain. Parliament. House of Commons, 2016).

In terms of the data collection for this study there are no organisations that are as extreme as that of 'Kids Company'. However, there are two organisations which have perhaps had to deal with some of the symptoms of founder syndrome. An example of an organisation that may reflect the symptoms of founder syndrome is organisation 5.

This small community interest faith based organisation was founded to support underprivileged children and young people in one of the most disadvantaged communities in a Kent town. With 6 trustees drawn from local churches it was funded predominantly through fundraising and grants from agencies and organisations such as

the National Lottery and Children in Need. There were 3 employees, one of which could be considered the founder of the organisation, who acted as the project manager ensuring contractual obligations were met to grant funders. It also relied heavily on the role of volunteers to help at its main location. Originally a registered charity the governance arrangements changed to a Charitable Incorporated Organisation (CIO) in 2015. Its objectives were predominantly to advance the Christian faith and promote social inclusion by providing recreational and leisure activities enabling young people to develop their skills, capacities and capabilities. Since being established more than ten years ago the organisation had also replicated its services in another Kent town. Due to changes in government funding, removal of some external funding and a change of direction by one of the site providers, trustees were forced to seek liquidation in late 2016. Unfortunately, this meant some employees of the organisation, including its founder were made redundant as at 31 March 2017. However, challenges regarding pension allocations and other administrative requirements for the closure of the organisation are still on-going two years later (2019).

But what factors could have attributed to its downfall besides a drop in funding? Could it have been its heritage, the scalability of the organisation, the inexperience of the board chair and trustees, shifts in policy, the unavailability of wider network support? To put all the blame on funding for the demise of the organisation may be a little short-sighted.

To investigate the liquidation and closure process in more detail I re-interviewed one of the key trustees involved in this process in late 2019. They explained that the board of trustees should have been more challenging and aware of what was happening within the organisation and not just rely on reports from the project manager. As many of the trustees joined the organisation as they had personal knowledge or were friends with the founder many were perhaps '*more trusting*' than if this had been the case. They perhaps took what the project manager was saying at '*face value*' rather than what was truly happening behind the scenes. In hindsight, the trustee questioned suggested that the project manager should not have been present at board meetings so issues pertinent to their employment status and key activities could have been more critically scrutinised and discussed.

'I think we should probably have had more meetings without X there. I would say 95% of our meetings were with X as the main worker but I think looking back at it now I think we should have just had reports from X and then had discussions without X being there.' Participant 8 (2nd Interview - Chair of Trustees)

'...we didn't know how X was working with the other staff enough and I think we could have pulled in the other people working there and the other volunteers and/or employees and sort of said 'how is this working?' 'How is X working?' 'How is your team working together?' and 'Is there anything we can do?' 'Is there anything we should do?' and I don't think we asked those questions enough.' Participant 8 (2nd Interview – Chair of Trustees)

Issues were also reported about the difficulties and complexities of the closure process. That it has been very difficult to understand the requirements of both the charity sector legal and regulatory processes and potential conflicts with employment law. This is in terms of the amount of funds being held in reserve for pensions, as well as the bureaucracy and form filling involved in communicating to funders, the return of ring-fenced funding, the Charity Commission, solicitors and banks.

'I'm not that impressed with The Charity Commission. Apparently we are still open...even though we have written to them on a number of occasions and asked them to ensure that the charity is not listed anymore. Not impressed with the bank, the bank actually wrote to...the treasurer but was using somebody who had finished being our treasurer 11 years ago and quoting their name and other trustees that hadn't been on the trustees (board) for at least 5 years. And we know they had the right information because when we went in to say here's all the paperwork, they took it and said (the right details) and then that's why the solicitors have been saying they've been having loads of problems with the bank. They just don't want to let the money go.' Participant 8 (Interview 2 – Chair of Trustees)

Another organisation that could also have been impacted by its heritage is organisation 7. This registered charity was founded in 1940 and was based in London. Until its

closure in March 2017 it provided international development support to underdeveloped countries as well as a number of voluntary opportunities for young people overseas. Its closure, like organisation 5 was brought about by its inability to remedy a shortfall in funding, with major government funded contracts coming to an end towards the end of December 2016. Prior to its closure there were 4 senior members of staff in the management team, in addition to 10 trustees with a variety of faith based, public and private sector experiences. This included: law; accountancy; advocacy; social research; programme management; marketing; medicine; economic development and gender equality.

6.3.3 Hybridised (Multi-agency): High Collaboration (Cooperation) and High LMX (Upper right quadrant)



As third sector organisations come under increasing pressure to compete for funding and to become more ‘*business-like*’ (Dart, 2004), they are arguably being faced with a dilemma – innovate or fail. Hybridised organisations lie on the boundaries of the third, public and private sectors with many of these multi-agency operations having commercial as well as charitable objectives (for example, social enterprises). They do not conform to traditional systems or processes normally associated with a charitable, public or private sector organisation. They will be multi-functional and could well have commercial as well as a charitable focus, through, for example, the establishment of various profit making subsidiaries. Or it could be a social enterprise with a charitable subsidiary. At present there is still a lack of research into what makes a successfully governed hybrid organisation in the UK and on a global scale (Schmitz, 2015: Billis, 2010: Diochon, 2010: Cornforth and Spear, 2010).

There are a number of well-established charitable organisations within the UK that have past and current experience and success of hybridised/multi-agency working and partnership collaboration (*cooperation*). Their strength lies in the ability to employ tactics and strategies usually employed by large corporations. This includes economies of scale, the ability to horizon scan and understand the funding landscape in which it operates and to deploy its resources effectively and consistently to achieve results.

However, when it comes to organisational governance it is their ability to overcome the complexities within the sector to drive forward progress and still meet the needs of their beneficiaries which stands out.

In terms of good governance arrangements hybrid organisation boards are seen to share decision making powers, engage successfully with stakeholders and have a '*high degree of autonomy*' (Defourny and Nyssens, 2010, p. 240). Board arrangements are clear, often multi-level, and unambiguous. With tried and tested governance procedures and policies in place which are constantly reviewed and adapted to meet business needs over time (Cornforth and Spear, in Billis, 2010, pp. 87-88). Leadership characteristics are more aligned to those considered transformational, with leaders seeing themselves as part of the '*team*' which perhaps leads to the ability for executives to have more time and ability to take more risks (Schmitz, 2015). Overall, leaders have a full understanding of the needs of the organisation, its beneficiaries and implications of the wider business environment and the constraints and parameters it needs to work within.

Assumptions can be made that organisations in this quadrant are likely to be large scale and well known organisations in the UK and beyond (for example organisations including Oxfam, Unicef, and Comic Relief). They may also be smaller scale organisations that are well known to operate in a particular sector/niche or location (e.g. Age UK) but have access to the resources and funding available to meet the needs of their communities and beneficiaries.

Overall, for the conceptual framework I would argue that this suggests that 'Hybridised' best fits the 'High Collaboration (cooperation)' and 'High LMX' category to represent the governance and leadership arrangements found in these types of organisations in the third sector in the UK.

6.3.3.1 Findings for Hybridised (Multi-Agency)

One company that could feature in this quadrant is organisation 6. This registered charity (also a registered company) is responsible for a wide range of care and support services in and across a number of towns in Kent. Its current form emerged through the amalgamation of a number of different organisations in 2010, before becoming a partner

to the umbrella organisation in 2012. Currently, the board is served by 6 trustees who serve for a period of three years before they are up for re-election. Funding for its services comes from a range of grants, local authority or NHS contracts, or fundraising through donations or its charity shop. Over recent years the charity has prioritised the restructuring of its senior management team and has relocated its main office to a central location to aid efficiencies within the organisation. By 2014 they had a turnover of more than £1million with 105 employees as well as volunteers supporting the aims of the organisation.

Although it has a small board of governance compared to others across the framework it is currently looking to change and become more flexible and provide a greater influence to staff engaged in its processes.

As its Chief Executive explains:

'We are just in the middle of a consultation with staff about creating a staff committee that sits within the governance arrangements as a sub-committee to the board...and again the terms of reference have gone to staff to say is this something you would find valuable...' Participant 1 (Chief Executive)

Unlike those organisations in the other quadrants this organisation is facing increased competition from the private sector for similar services, particularly from private care settings so it is needing to become more adaptable and flexible in its niche sector.

Surprisingly, another organisation that may fall into this category is organisation 9. This Kent based registered CIO has been established since the late Victorian era and focuses on faith and community based activities. Income is generated from membership giving alongside the hiring of facilities to external parties and other agencies. It has recently recognised the need to become more '*business-like*' and has undertaken a major redevelopment which meant having to increase financial commitments via loans, legacy arrangements and selling core assets. It also received a number of both public and private sector funding (grants) to make significant changes and adaptations to its facilities.

Currently, the CIO has 1 full time and 7 part-time employees. Its membership recognises the commitment required of trustees within the organisation. As such, it is endeavouring to appoint up to 12 trustee positions to fulfil the needs of the organisation moving forward. Unfortunately, only 7 of those positions are currently filled. Trustees are appointed for various time periods, but trying to appoint suitable people with the time, and relevant skills and experience has become challenging in recent times.

6.3.4 Quasi-Autonomous (Reformed Public Sector/Traditional): High Collaboration (Cooperation) and Low LMX (Lower Right Quadrant)

D

These could be approaches that have ‘*spin-out*’ of the public sector in response to government contracts or changes in funding mechanisms. To provide some context, as has already been detailed in earlier chapters, the third sector has a rich history of providing services and products as part of the wider social system in operation in the UK. Miller and Lyon in Rees and Mullins (2017) explain that the impetus behind ‘*spin-outs*’ is an assumption that the public sector is too bureaucratic and this causes challenges and organisational ‘*restraint*’ to provide suitable provision in all areas of welfare (Miller and Lyon in Rees and Mullins (2017, p. 94): Rainey and Steinbauer, 1999). Other contextual issues include: a perceived a lack of market competition in some areas of the public sector so ‘*spin-outs*’ may help increase provider diversity and choice for the general public; and the third sector is perceived as being more visionary than the public sector and are preferable that the private sector due to profit driven practices. Overall, there is a sense that ‘*spin-outs*’ are more innovative and add additional social values to the community beyond that which can be achieved by the public sector alone (Miller and Lyon in Rees and Mullins, 2017, p. 95).

However, because of its past and current connections to the public sector, governance arrangements are seen to be reactive rather than pro-active, with a focus on contractual performance rather than people (Milbourne and Cushman, 2012, p. 487). There are also tensions between autonomy and accountability in how these organisations are structured and governed (for example efforts to duplicate or imitate public sector organisational structures via ‘*matrix*’ systems as detailed by Sy and Côté, 2004). Although collaboration is seen as extensive, there are concerns regarding a lack of trust and mutual reciprocity between partners leading to a lack of risk taking and more formalised

relationships, as well as implications and complications arising from external policy developments (Milbourne and Cushman, 2012, pp. 487-490). In terms of the leadership effectiveness of these types of organisations in the UK, Millar *et al* (2013) and Hall *et al* (2012) both describe motivations for leaders wishing to lead these new practices as being partially driven by personal needs in wanting to bolster their management and leadership skills (unconstrained by public sector control and influence) and do something different and positive before retirement. Although, there is a recognition that these types of leaders were also team players in part, in order to achieve a successful ‘*spin-out*’ from public sector power, control and influence (Hall *et al*, 2012, p. 59).

Overall, for the conceptual framework I would argue that this suggests that these quasi-autonomous ‘*spin-outs*’ best fit the ‘High Collaboration (cooperation)’ but ‘Low LMX’ category to represent the governance and leadership arrangements found in these types of organisations in the third sector in the UK.

6.3.4.1 Findings for Quasi-Autonomous (Reformed Public Sector/Traditional)

A number of not-for-profit organisations as part of their charitable objectives provide a range of different services and products for beneficiaries traditionally served by public sector organisations (Milbourne and Cushman, 2012, p. 2). With changes to funding mechanisms (for example, grants to service delivery contracts) and cutbacks to front-line services an increasing number of independent organisations (both private and non-profit) now bid for and attract funding to step-in to provide equivalent expertise and insight. This has a history of being particularly prevalent in health and social care settings (Dickinson *et al*, 2012). One organisation that fits well within this quadrant has achieved substantial success in running a number of contracted healthcare services in Kent.

Established in 2011, organisation 1 (case study) could be considered a macro-organisation operating in this quadrant with a large remit for delivering services that have now ‘*spun-out*’ of local health authority control. It is a multi-million pound community interest company and social enterprise with more than 1300 staff and more than 250 volunteers. Its board is responsible for providing a ‘*strategic overview and assurance to the organisation*’ and is made up of both executive (5) and non-executive

(5) members. Other key members of staff who head up various departments also attend board meetings.

Funding is a key issue for this social enterprise. As Kerlin (2013) readily warns:

'Although social enterprise ideas may develop in the civil society sphere to provide a unique service, once proven they can become captured in state welfare policy and dependent on state funding for their activities...' (Kerlin, 2013, pp. 94-95)

The funding process is complex and uncertain as a Director describes:

'...basically we are funded by contracts, mostly three year or five year contracts...and most of those are coming to an end in the next year. Some they've rolled over because they are not yet ready to recommission, some eventually will be put out to tender, we will win some, we'll win some other ones, we'll inevitably lose some I guess, so that does get some uncertainty...but part of our strategy is to survive and grow.' Participant 4 (Director)

This also brings with it a number of challenges to those organisations and its leaders who may have no prior expertise in working in collaboration with external organisations like the NHS. In terms of governance, public sector organisations have a history and tendency of being bureaucratic. Indeed, in 1999, Rainey and Steinbauer (1999) published a theory of effective government organisations in the US. With public and academic debates about the public sector being unnecessarily bureaucratic and unproductive they sought to highlight examples of excellent performance and to develop a theory to explain their effectiveness. They were keen to emphasise that despite the negative perceptions these agencies are often sensitive and responsive to client needs (Rainey and Steinbauer, 1999, p. 2).

In terms of governance organisation 1 could be said to be addressing concerns surrounding bureaucracy by addressing its organisational hierarchy.

As a Director and Associate Director emphasise:

'...our policy is very much about devolving things as far as possible and we're working through that over the next year or so, service line reporting, giving budgets to the lower level possible...it's more effective, it's more cost efficient usually as well, so we've cut out a layer, if not two layers of bureaucracy already...' Participant 4 (Director)

'...there's not so much bureaucracy relating to the board it actually frees you up to do things that you really do need to do so you can make a difference'
Participant 12 (Associate Director)

It is also sensitive and responsive to client needs. Since its inception being a social organisation means that any yearly surpluses that are made are reinvested back into the community. This is echoed in its published values that lie at the heart of everything it does. Unlike some other social enterprises, staff can also become co-owners as shareholders, with more than 75% of staff already taking up this opportunity. Both staff and clients are closely involved in designing the services it provides too.

As another Associate Director emphasises:

'it is an organisation that cares about the people it works to provide services for and the people it employs and the wider community...and I know that it's easily said, but actually when you go out and talk to people...the passion that the staff have, the way they go above and beyond what they do, for me that shows the values are not just the things we've got...actually there are people out there living and breathing them every day and that's really humbling as a leader within this organisation...' Participant 11 (Associate Director)

By concentrating on the relationships taking place in public sector organisations, Rainey and Steinbauer (1999) define effectiveness as that: *'the agency performs well in discharging the administrative and operational functions pursuant to the mission. It achieves the mission as conceived by the organization and its stakeholders, or pursues achievement of it in an evidently successful way'* (Rainey and Steinbauer, 1999, p. 13).

In other words, it does what it sets out to do well, and that the people, procedures and actions of the agency are set up appropriately to achieve the overall mission.

For organisation 1, success is part of the culture and its mission with local and national recognition schemes in place. It holds an annual awards celebration and it also enters a number of other national (UK) award schemes. This includes being shortlisted for a Social Enterprise UK Award. In terms of appropriate people, those appointed to the board also have a diverse range of skills, interests and experiences in public sector (NHS), private business and health-care settings as well as experience of other boards such as that of school governor. However, Rainey and Steinbauer (1999) are also keen to point out that effectiveness does not necessarily reflect the policies and environment in which the organisation operates (Rainey and Steinbauer, 1999, p. 13), just the aspects of administration and operations.

In 2012, Milbourne and Cushman published research which looked at policies affecting public and third sector relationships. In particular, the shifting sands between '*old and new values*' and the '*displacement of trust*' (Milbourne and Cushman, 2012, p. 2). Drawing on changes in the political landscape from New Labour to the latter day Conservative push for the '*Big Society*' they carried out two studies. The first study covered three case studies with community organisations that provided education for '*disengaged young people*' (Milbourne and Cushman, 2012, p. 16). The second study was commissioned by a local authority which included 50 interviews with different third sector organisations that provided services for children and young people (Milbourne and Cushman, 2012, p. 16). Service managers from the local government organisation were also interviewed. Both studies investigated what the participant's views of communications and relationships were like with local government officers. This included a focus on '*experiences of service commissioning, contracting and monitoring relationships; the effects of changes on service activities; and changes in role related to user groups*' (Milbourne and Cushman, 2012, p. 17).

In terms of the findings, it raises important issues for consideration for the governance of any public and third sector contract or arrangement. Most notably, during the transition to new service delivery contractual arrangements there were changes in terms of: conditions of employment; redundancies - key staff with significant background

experience and expertise left; a shift of importance of local knowledge and achievements to compliance with new contractual obligations; parallel communication channels being in operation; and breakdowns of personal relationships with local government officers. All of this led to a lack of shared goals and understanding leading to mistrust amongst concerned parties (Milbourne and Cushman, 2012, pp. 18-19). As Milbourne and Cushman (2012) argue, a *'better exploration of differences might have helped to build mutual understanding'* (Milbourne and Cushman, 2012, p. 22).

What opportunities are available to help better explore these differences? In organisation 1 the focus is on using both professional and personal connections to seek the best outcomes.

As one Associate Director inputs:

'...for me it's almost about how I can use my networks these days and the resources and networks I've got available or that I know are out there to try and support those external projects.' Participant 11 (Associate Director)

However, what does this mean for the leadership of these reformed traditional approaches to collaborative governance? Leaders may well be faced with a myriad of governance requirements that are more reactive than proactive in nature. Individual contracts will require their own governance requirements with leaders often reporting to more than one project owner. Different programme and project management systems and processes may need to be implemented or adapted to accommodate the funder's requirements (e.g. Prince 2 or Agile).

This brings about other challenges including appropriate resources, employee skills and recruitment practices. Leaders may therefore be more reactive than proactive as they feel obliged to meet contractual requirements rather than being able to adapt and suggest continual improvements based on lessons learned (as indicated by the earlier research of Milbourne and Cushman, 2012).

This is echoed by organisation 4 which shares similar characteristics for the quasi-autonomous quadrant (in terms of carrying out activities that were once covered by

statutory provision). Its mission like most voluntary service organisations is to develop, support, represent and empower a thriving and diverse voluntary and community sector so that communities can realise and maximise their potential. This registered charity was established in 1989 and provides a range of services such as training and office space for the voluntary and community sector in Kent. It also provides a hub of expertise by bringing together leaders of most voluntary and community organisations in the area. As part of a local authority contract it is obliged to work in partnership with other organisations, something it has not been required to do as part of a grant funded system.

The organisation's recently appointed Chief Executive (at the time of the interview) outlines that collaboration is a contractual requirement:

'...prior to April this year the organisation was grant funded by the council, of course all of that changed with the commissioning agenda...we are now working in partnership, whereas we worked on our own primarily, we are now working in partnership with two volunteer centres...simply because part of the tender did require us to deliver opportunities for volunteering as well and what wasn't something that was part of [organisation 4's] role, hence our joining together with the two partners/three partners to deliver that.' Participant 3 (Chief Executive)

Another organisation that potentially fits in this quadrant is organisation 2. This registered charity was established in 2008 and provides a range of youth participation and employment services in the South of England. With more than 40 members of staff its work is predominantly contracted by local or national agencies and includes education, training and social action projects.

Its Chief Executive has been in place since the organisation's inauguration, with the new position of Deputy Chief Executive appointed from within the ranks in the last couple of years.

Its board consists of 5 trustees who have a mix of different backgrounds and interests whether this be from a related public sector organisation (local police force or NHS

organisation) or private sector organisation. Surprisingly, those that make up the board do not have a local government youth service background, although one does have experience of working within a county council education department, and another was a teacher. Most interesting is that they do have a young trustee position that appoints a new trustee every 15 months. This is to give a young person experience of governance and an insight into the inner workings of the organisation.

With '98%' of externally funded projects underway in the organisation, organisation 2 has noticed significant differences in how they now manage these projects compared to previous arrangements.

As the Chief Executive highlights:

'...we've really really strengthened in the last twelve to eighteen months our performance management and accountability for individual performance...so it's much, much more around accountability, and performance.' Participant 1 (Chief Executive)

As a result, due to the complexity of contracts and projects underway, organisations working with public sector organisations may need to implement a matrix structure. A matrix organization can be considered as *'an organizational structure in which employees report to multiple managers, such as a functional manager and a project manager'* (Sy and Côté, 2004, p. 439).

As the Services Director (now Deputy Chief Executive) at organisation 2 explains some of the differences and complexities of project management:

'...one of the key things is the relationship with your stakeholders, the external stakeholders because they are very different... A lot of our contracts are 'payment by results' so our team, all of us are under much more pressure to ensure that we meet those targets...we do as an organisation invest a lot of time with our stakeholders because we know it will pay off when we go further down the line...' Participant 6 (Deputy Chief Executive)

6.4 Chapter Summary

This chapter has articulated the findings and analysis from the qualitative research stage of my research. The research design involved three interlinked field-work stages. *Stage 1* consisted of a three-hour exploratory focus group discussion, involving eight leading UK third sector organisations, hosted at Canterbury Christ Church University (CCCU). *Stage 2* followed-up via eleven separate (face-to-face) semi-structured interviews, involving senior third sector leader-managers in the (UK) South East. These interviews helped to develop key thesis ideas, linking collaborative governance and leadership approaches with the two supporting propositions. *Stage 3* finished off by comparing two organisational case studies, thus helping to triangulate initial interpretations and propositional ideas within different third sector research settings. The first third sector organisational case study involved four semi-structured interviews with social enterprise stakeholders (i.e. both senior leaders and employees from the same social enterprise); the second included five telephone interviews with trustees from the same volunteer run registered charity.

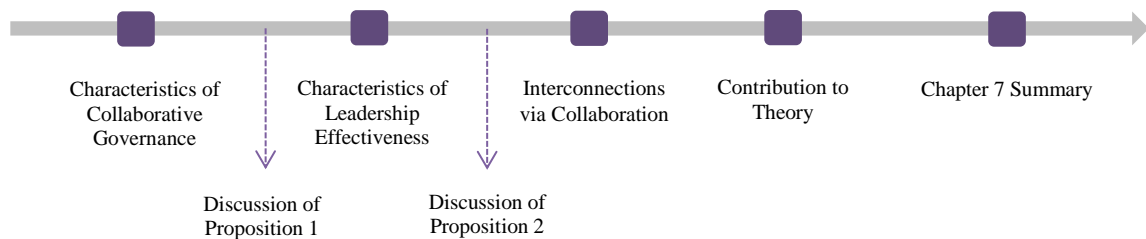
Chapter 7

Discussion

7.1 Chapter Introduction

This discussion aims to build on the findings from Chapter 6 and provide a response to the research question *what are the essential characteristics of collaborative governance and leadership effectiveness for UK third sector organisations?* In doing so it will firstly address: (a) what are the essential characteristics of collaborative governance in the UK third sector? Secondly, (b) what are the essential characteristics of third sector leader effectiveness? Finally, (c) How are they both inter-connected via 'collaboration'? As part of this discussion, the propositions which underpin the research question will be revisited alongside current developments in collaborative working. The chapter will conclude with a discussion about the contribution of my study to the existing literature and research in the field of collaborative governance and leadership.

Figure 13: Overview of Chapter 7



7.2 What are the Essential Characteristics of Collaborative Governance in the Third Sector?

This first section outlines five essential characteristics of collaborative governance highlighted in the literature and the findings of my research articulated in Chapter 6. As indicated in Chapter 3 there are a number of elements I argue that constitute good governance and what makes these arrangements successful. Based on the literature to date, these include aspects of power, control and influence; board composition skills

and experience; and board performance and organisational effectiveness. (These key developments are outlined in Table 4.)

In line with the literature the key characteristics uncovered from developing the conceptual grid and further research findings focus on: a shared understanding of the legal and regulatory responsibilities of trustees (as earlier indicated in section 2.5.1); why there is a need to work together to balance social and ‘*business-like*’ goals (as reported in section 2.2); the powerful role of influence in collaborative settings; the composition of boards; and finally, ways of improving board performance in UK third sector organisations (as indicated in section 3.2.1). The section then concludes with a reflection on the theoretical implications of the first research proposition.

7.2.1 A Shared Understanding of Legal and Regulatory Responsibilities

Within intra- and inter-organisational governance arrangements there needs to be a shared understanding of the issues that impact on third sector organisation activities (Rogers and Weber, 2010; Huxham and Vangen, 2000). One of these issues is about understanding the myriad of compliance requirements which impact on how third sector organisational activities must be governed. I strongly argue that today’s third sector leaders must be able to work together to understand these requirements in order to fulfil their legal obligations.

Table 2 in Chapter 2 outlines a range of key legal and regulatory responsibilities that board members and third sector organisations must adhere to in the UK. These apply to both intra- and inter-organisational settings. To recap, most third sector organisations will be governed by The Localism Act (2011), The Charities Act (2011) and the Charities (Protection and Social Investment) Act 2016 which set out the legal definitions for the sector. The sector also relies on forms of self-regulation through a ‘*Code of Governance*’, developed by the National Council of Voluntary Organisations in 2005, which was updated again in 2017.

However, in addition to the legal requirements and responsibilities of charity governance, the limited evidence from my findings suggest that third sector organisations and their leaders are facing increasing pressure to understand and

implement an escalating range of regulatory and statutory requirements, including (but not exclusively): finance and taxation; employment; safeguarding; and data protection (especially through the introduction of new general data protection regulations in May 2018). Misunderstanding of statutory requirements has consequences for board members, other third sector leaders and wider stakeholders such as funders (including the State). The insolvency of well-known and highly publicly funded charities such as ‘The Kids Company’ in 2015 highlights the need for greater attention on the implications of external regulatory controls required to ensure good governance (Hind, 2017). As Elmagrhi *et al* (2018) specify:

‘...governance structures in the charity sector are often overlooked, leading to poor accountability...weak financial management controls and lack of adequate transparency’ (Elmagrhi *et al*, 2018, p. 479; Newton, 2015)

Ensuring a shared understanding of a multiplicity of legal and regulatory responsibilities is therefore fundamental to collaborative governance.

The limited findings from my research indicate that from an intra-organisational perspective understanding the complexities of existing, new and emerging statutory responsibilities is putting increasing pressures on board members, particularly volunteers who may not have business experience. In the future, trustees will be challenged and scrutinised even further, as this former Chief Executive, and now collaborative entrepreneur and trustee emphasised:

‘I think that people coming into the sector are going to be slightly more demanding and challenging of trustees, and I also think that...trustees are worried sometimes about the responsibilities that they have to have, and charities are getting so complex. You can’t really have the great and the good if they don’t really know about the subject.’ Participant 5 (Former Chief Executive)

Therefore it is fundamental that new trustees are appointed who have an understanding of business and their legal duties, as another charity Chief Executive (from organisation 6) acknowledged:

'I think whilst charities are led by volunteers in effect which trustees generally are there's a real challenge inherent in the leadership of third sector organisations to make absolutely sure they get some really good dynamic business people on their boards. You can't run a modern third sector charity with old style trustees' Participant 2 (Chief Executive)

Evidence from my research findings also indicate that even for the smaller organisations there is a spirit of *'good citizenship'* and wanting to work together and *'collaborate'* for a social cause. Yet, some trustees are taking up appointments as a *'favour'* to friends or because they want to contribute in some way to a cause close to their heart without understanding the broader legal duties they are expected to perform. This raises questions about the business acumen, skills and expertise of board members. This includes the availability of training, advice and guidance for those wishing to become trustees, or those who are new to their roles.

Two members of the voluntary run case study (organisation 10) state that they did not understand what leading a charity would mean to them with regard to their legal responsibilities in a trustee role:

'There's been very little information fed to me around that we are even a charity. There were a couple of things sent to me in the first instance by the [organisation], from the Charity Commission...' Participant 17 (Trustee)

'I knew what position I'd be going into...but my knowledge [about the organisation] was very limited...I did go into it quite blindly really...'

Participant 19 (Trustee)

In terms of what this means for intra- and inter-organisational collaborative governance in UK third sector organisations, arguably, there is a case for acknowledging the impact that any introduction of new legislation will have. This legislation is not restricted to areas of charity governance (as highlighted in Chapter 2, section 2.5). In particular, impact assessments (and templates) would be very useful to help assess the ability of the sector to adapt quickly to any changes in legislation. Secondly, further information

is also needed to guide third sector organisations (particularly those that are run by volunteers) on the appointment and training of trustees on their legal and regulatory responsibilities. Thirdly, timely and easily accessible information, advice and guidance are needed to ensure potential trustees can make informed decisions about whether to become trustees or not. Although, in Chapter 3 (section 3.2.5) I recognise that even if these documents are made available they may not be utilised (Herman *et al*, 1997).

7.2.2 Working Together to Balance Social and ‘Business-like’ Goals

Chapter 3 (section 3.3.1) infers that there are increasing pressures on third sector organisations to balance the social aspects of their charitable or social aims with drivers to become more commercial in their operations and outlook (Spear *et al*, 2009; Dart, 2004). Collaborative governance thus requires the ability of boards and third sector leaders to work together; think innovatively and creatively; and be financially astute whilst attempting to maintain the core social *raison d’être* of their organisations.

This is particularly the case within the current economic climate, with a decade and more of austerity, and uncertainty surrounding the UK leaving the European Union in 2020. In Chapter 2 (section 2.2), an economic summary was provided which outlined a decline in UK government funding for third sector organisations in recent years (£16bn during 2014-2015 to £15.8bn in 2016-2017 (NCVO, 2019)). Therefore, organisations wishing to survive these turbulent times have had to become more ‘*business-like*’ and drive income from new sources. This has accounted for a substantial percentage increase in earned income from investments, lotteries, private sector trading, rent on properties and philanthropic giving by individuals (including legacies) (NCVO, 2019). However, it is also argued that a third of charities are still ‘*over-reliant on one source of funding*’ (Kay, 2019).

Chapter 2 (section 2.6) also outlines that drivers for more commercially orientated activities have in some way spun out of the need to align and ‘*culturally fit*’ with organisational requirements for public service delivery (as part of New Public Management (NPM) and New Public Governance (NPG) arrangements). In turn, the funding terrain has shifted from a predominantly grants based system to contract and commission based activities. However, the balance of social aims and ‘*business-like*’

goal setting seems to be of particular concern to social enterprise and hybrid organisations. Spear *et al* (2009) (as highlighted in Chapter 3) when reflecting on social enterprise board arrangements argue, that when it comes to goal setting, external market pressures could mean that ‘*social goals [may] get squeezed out*’ (Spear *et al*, 2009, p. 259). Although, Dart (2004), in particular, recognises the use of the term ‘*business-like*’ is ambiguous and multidimensional. It could refer to many aspects and constructs of a third sector organisation’s remit including, but not exclusively: goals; practices; planning; and/or behaviours (Dart, 2004, p. 293).

The analysis of my research findings indicates that for some organisations they have already recognised the need to work with other organisations and become more ‘*business-like*’ in their ambitions, goal-setting and outlook. However, this may be challenging for others, as one charity Chief Executive (from organisation 6) highlights:

‘I think the biggest challenge for the third sector as a whole is that... all third sector organisations need to transform themselves into more commercial entities. There needs to be a more business-like approach to management and governance of third sector organisations. Organisations that rely on what they’ve always done will disappear.’ Participant 2 (Chief Executive)

Indeed, some have already had to innovate and take risk with their limited income to assure a financially secure future for their organisation (Hood, 2017: The Economist, 2017: Harbert, 2016). However, there are also concerns that some organisations will strive to fill gaps left by predecessor organisations or public service providers. This might be to the detriment of their core social purpose (as highlighted by Spear *et al*, 2009), as an Associate Director at the social enterprise case study (organisation 1) explains:

‘...my bigger concern for the sector is almost the expectation that it will fill the gap in public service without the money to do it and actually a number of these organisations will actually try because they are really committed to what they are doing for the people that they are doing it for, that really does scare me.’ Participant 11 (Associate Director)

In terms of balancing social and '*business-like*' goals it seems the focus of third sector organisations is on survival by any means, particularly for small charities. The House of Lords Select Committee on Charities Report (2016-2017), and subsequent NCVO almanacs (as identified in Chapter 2) had already identified that smaller organisations are facing difficulties in managing their finances, with many facing cash flow issues without the required reserves should they need to draw on them (Great Britain. Parliament. House of Lords, 2017, p. 50).

Greater transparency and visibility is therefore needed in the awarding and commissioning of both public and private sector contracts. There also needs to be a step change in how third sector organisations are able to deliver outcomes within the regulatory and legislative restrictions placed upon them when it comes to building up surplus funds year to year.

Arguably, there are broader financial challenges of balancing social and '*business-like*' goals (not addressed in this thesis) that would be worth exploring in the future, predominantly around financial accountability and governance (as indicated by Hyndman and McKillop (2018). This should include the level of borrowing that third sector organisations are requiring to cover '*working capital*' when undertaking public or private sector contracts (of most interest to '*hybrid*' and '*quasi-autonomous*' organisations that may have a larger proportion of statutory and non-statutory funding). Shifts to '*full cost recovery*' models (these cover sufficiently more than direct and indirect costs) would allow third sector organisations to ring-fence and build up sufficient surplus funds to aid working cash flow. I argue, it would also allow organisations to innovate and take risks without financial penalty.

Funding diversification strategies implemented following the introduction of the Public Services (Social Value) Act (2012) would also be worthy of investigation. In particular, the issues and challenges surrounding access to social investment and other new investment schemes. This is of importance specifically to the boards and leaders of organisations considered '*hybrid*' and potentially '*new entrants*' as financial borrowing may not be suitable for all types of organisation (James *et al*, 2016).

7.2.3 Recognising the Powerful Role of Influence in Collaborative Settings

Chapter 3 highlights that when it comes to influence board members are often not as influential as they think or wish (Herman and Tulipana, 1985). However, Miller *et al* (1988) argue that collaborative governance, particularly in times of austerity and political upheaval, requires board members and third sector leaders to recognise the powerful role of influence both within and external to their organisation (Miller *et al*, 1988, pp. 87-88). This could, perhaps, be related to business idea generation, funding, lobbying, campaigning or just helping to raise the profile of their organisation.

But what type of influence is required in collaborative settings? In Chapter 3 (section 3.2.1), I outlined that Kushner and Poole (1996) categorised four types of influencers in third sector organisations. These were identified as grass roots – where influence is a combination of volunteer decision making and diffused control; the co-ordinating organisation – where staff need to facilitate decision making with volunteers; directorial – where the board has limited influence as staff control strategy and programmes of work; and finally, institutional – this is where trustees are in control of strategy, management and results of the organisation (Kushner and Poole, 1996, p. 127). When financial performance of all these organisations was considered alongside organisation type those most effective was seen to combine ‘*institutional, directorial and coordinating characteristics*’ (Kushner and Poole, 1996, p. 130).

In the analysis of my research, influential characteristics of co-ordination are commonplace. One Chief Executive (from organisation 2) highlighted that it is very important, as part of the way the organisation is run, for employees to have a say:

‘We place a high premium, or I do here, on staff having a influence and a voice in ways in which the organisation manages and is led and that isn’t necessarily like through an annual consultation exercise.’ Participant 1 (Chief Executive)

Another Associate Director from the social enterprise case study (organisation 1) also recognises the importance of staff engagement in the way their organisation does business:

'I suppose there is the opportunity to influence things that the business does ... we've got things such as the 'My ideas!' scheme where people could just put in anything that they think is a good idea and we'll see what we can do with it.'

Participant 11 (Chief Executive)

Recognising the powerful role of influence is essential for collaborative governance in 21st century third sector organisations. It is interesting to see that at least two organisations have recognised the role that staff have in effective governance processes, although there is little evidence in my data analysis for other internal and external influential activities taking place in the participant organisations. Future research could explore these activities in relation to the earlier work of Kushner and Poole (1996), in particular the impact that austerity and new legislation like the 'Lobbying Act 2014' has had on third sector organisations.

As a result of this Act, some charities are now choosing to reduce the amount of campaigning and lobbying activities that they do (Francis, 2018). However, the 'Lobbying Act 2014' should not hinder one of the main activities that third sector organisations undertake. It is recommended that information, advice and guidance for trustees are continually updated by the Charity Commission and other agencies (for example the Campaign Collective social enterprise) to aid appropriate decision making around campaigning and lobbying activities.

7.2.4 Enabling Effective Intra- and Inter-Organisational Collaborative Governance Practices Through Appropriate Board Composition(s)

Chapter 3 (section 3.3.2) discusses that the size, scope and experience of third sector boards have come under increasing scrutiny in the last twenty years (Taylor and Sullivan, 2009; Cornforth and Simpson, 2002; Cornforth: 2001). Although it is recommended that the focus of trustee appointments should be on the skills and experiences of participants alongside the need for board members to work together for the benefit of the organisation (KnowHow, 2019). In terms of appropriate board composition and the characteristics of collaborative governance, third sector organisations must now consider: board size; the skills and experiences of board

members; alongside a push for boards to become more diverse (considering those from under-represented groups) as a key to unlocking good governance practices.

7.2.4.1 Skills and Experience of Board Members: Towards a ‘Collective’ Approach

Chapter 3 (section 3.2.2) captures some of the challenges and issues of appropriate board composition required for collaborative governance practices. First of all, for board skills and experiences Miller *et al*'s (1988) study found that: legal expertise did not mean board members increased legal advice; fundraising expertise of members did not predict engagement in fund-raising for the agencies; human relations (HR) expertise was not significantly related to personnel issues; and financial expertise did not relate to significant involvement in planning budgets or accounting (Miller *et al*, 1988, p. 84). This raises interesting questions surrounding the appointment of future trustees and whether it is relevant for board members to have particular skills or experiences. Whether the focus within truly collaborative governance arrangements should be about the skills and experiences the ‘collective’ group of individuals has and how they can work together to achieve successful outcomes.

Perhaps, volunteering as a trustee in the UK is more about an understanding of personal motivations, the role and what this entails (including legal and regulatory responsibilities, as outlined at 7.2.1). In particular, the time required to undertake certain activities. However, although ‘Volunteerism’ is not addressed in this thesis, aspects of the ‘collaborative’ volunteer experience in the UK would be worthy of further exploration (perhaps building on the earlier analysis of ‘Volunteerism Research’ by Wilson (2012)).

As highlighted in Chapter 3 (section 3.2.2), Puyvelde *et al* (2018) suggest using job descriptions to outline role requirements, particularly for chairpersons (Puyvelde *et al*, 2018 p. 1307). Chairs, they argue, should have good interpersonal skills and be a team leader (Harrison *et al*, 2014). Conflict skill building and those which enable the nurturing of trust were also identified alongside the ability to develop relationships with the CEO (Puyvelde *et al*, 2018, p. 1307).

My data analysis indicates that for one Chief Executive (from organisation 7) having clear lines of responsibility between Chair and Chief Executive is essential for effective decision making in their organisation:

'... it is the Chairs responsibilities to lead his team just as it's my responsibility to lead the leadership team and through the whole organisation, and there's a recognition that the board have very clear responsibilities for vision, mission, values, strategy and policies, and for safeguarding the reputation and brand of the organisation, and for complying with all the statutory obligations and best practice guidance in our particular sector.' Participant 10 (Chief Executive)

Another Deputy Chief Executive (from organisation 2) recognised the types of skills required to lead and govern a 21st century third sector organisation:

'We need leaders that have a facet of skills. So we need leaders that are able to understand the importance of external scanning... Leaders, that have a real good political awareness because within the charity sector we are heavily impacted by what is happening within the political arena. We need to have leaders that can manage change and are confident with change and embrace change...' Participant 6 (Deputy Chief Executive)

Although the findings from my data analysis are very limited and did not uncover the precise skills and expertise required of 21st century third sector organisation board members, there is a recognition that there needs to be an understanding of the different roles that Chairs and Chief Executives perform at board level (similar to the findings of Harrison *et al* (2014) in Cornforth and Brown (2014) and Harrison *et al*, 2013). Secondly, there needs to be a shift change towards trustees and leaders with a broader range of skills (rather than specific areas of interest). This includes leaders with experience in horizon (environmental) scanning, being politically astute and having the ability to embrace change. As Puyvelde *et al* (2018) suggest perhaps job and role descriptions would be beneficial for third sector organisations to develop and put in place to help attract the right candidates for existing and future trustee positions (Puyvelde *et al*, 2018, p. 1307; Cornforth, 2001).

7.2.4.2 Board Size: Sharing and Promoting the Role of Trusteeship

In terms of intra-organisational board size, the Charity Governance Code (NCVO, 2017a) recommends a minimum of five and a maximum of twelve trustees for the effective governance of UK third sector organisations. This compares to Bradshaw *et al's* (1992) study which discovered that various sizes of boards are in operation in third sector organisations. These ranged in size from 3 to 65 people (although the median was 15) (Bradshaw *et al*, 1992, p. 235). Chapter 3 (section 3.3.2) also outlines Cornforth and Simpson's 2002 study which made connections between the size of an organisation (in terms of income) and board size, with smaller organisations tending to have '*simpler governance structures*' (Stone and Wood (1997) in Cornforth and Simpson, 2002, p. 456).

To recap, the Cornforth and Simpson (2002) study attempted to correlate size of the organisation and size of the board and proposed that '*larger organisations have larger boards*' (Cornforth and Simpson, 2002, p. 457). Findings indicated from its study of UK charities that the average size was 8.7 for the smallest organisation and 21 for the largest, with an average of 9.5. This compares against an average of 7 from a previous survey in 1994. The size of the board also increased in line with income (Cornforth and Simpson, 2002, p. 458). However, since then The Charity Commission (2017) '*Taken on Trust*' report indicates a significant decline in the size of boards in the last 15 years. A '*typical board size*' is now 3-5 trustees for smaller organisations and 6-10 members for larger organisations, with an average of 5.9 trustees across the third sector (figures do not include corporate trustees or those where no trustees are listed) (Great Britain. Parliament. The Charity Commission. 2017, p. 22).

My data analysis indicates that although there may be ideal or recommended sizes of boards there are wider issues and challenges about getting people to volunteer as trustees to fill board member vacancies. As one charity Chief Executive outlined (from organisation 3), people are not always willing to make full commitments as trustees:

'... we have three other people who we call observers who are keen to be involved and contribute but they don't want to, for whatever reason, make that

commitment to being a trustee, and we value their input. But obviously in decisions they don't have a vote.' Participant 9 (Chief Executive)

Difficulties in filling trustee vacancies are widely reported, with recruitment practices already under the spotlight. It is estimated that less than ten percent of vacancies are advertised (Begg, 2014), with many third sector organisations choosing to use their existing networks to appoint to vacant positions (Getting on Board, 2017, p. 2). One characteristic of collaborative governance for board size suggests that effective third sector organisations will be putting into practice good trustee recruitment exercises, utilising existing and emerging good practice from across the sector (for example through membership of ICSA – the Chartered Governance Institute) and from other regulatory and umbrella organisations. They will also be encouraging engagement across their organisations in promoting the role of trusteeship and ensuring all employees have an understanding of the remit of board members. Further research would be useful to help identify best practice in trustee recruitment particularly for smaller organisations that may not have budgets for advertising vacancies and may be struggling in establishing appropriate governance structures (Begg, 2014).

7.2.4.3 Board Diversity: The Collective and Collaborative Benefits

'Diversity refers to the range of activities reflecting issues of heterogeneity/composition, representation and inclusivity' (Weisinger *et al*, 2016, p. 11S).

In the last decade there has been a push for greater visibility of under-represented groups on trustee boards, particularly young people (Fleming, 2012: Great Britain. Parliament. The Charity Commission, 2010). This has been advocated especially through the work of the recently launched Young Trustees Movement. Remembering that Bradshaw *et al*'s (1992) study identified that age-ranges of board members varies considerably (Bradshaw *et al*, 2012, p. 237). The Charity Commission (2017) '*Taken on Trust*' report also outlines that the average age of a trustee is 61 with only 0.5 percent being aged 16-24 (Great Britain. Parliament. The Charity Commission, 2017, p. 18). Table 7 outlines the current reported average age of trustees on trustee boards in line with organisational income in the sector.

Table 7: The Average Age of Trustees on Trustee Boards

Average age	£0-£10k	£10k-£100k	£100k-£500k	£500k-£5m	£5m+
16-24	88	70	7	5	0
25-34	797	914	261	80	26
35-44	6,490	7,870	2,226	457	45
45-54	12,134	13,147	5,815	2,504	522
55-64	18,873	17,560	8,657	4,195	1,329
65-74	20,958	14,559	4,626	1,513	214
75+	5706	2196	366	88	10
Total	65,046	56,317	21,958	8,842	2,146

(Source: Great Britain. Parliament. The Charity Commission, 2017, p. 18)

Although the analysis of my research does not indicate specifically where young people are engaged in board activities, one former Chief Executive now Collaborative Entrepreneur (who is a former young trustee) explains it enabled them to build their connections and find out more about how charities are run:

‘...it gave me the opportunity to meet with and network with other people in the sector and basically I like to be nosy and, or curious, so I like to find out what’s going on.’ Participant 5 (Collaborative Entrepreneur)

A trustee from the volunteer run case study (organisation 10), states that sometimes you need a younger person to provide a different viewpoint on what you are discussing at board meetings:

‘I think that maybe we need some younger people there because we all tend to be on the older side and although age gives you experience... sometimes I think you need a younger person’s perspective on things... I think they would see things in a different way. I think we tend to be more old school if you like because this is the way things have always been done, and young people have a different outlook on life that we may not see.’ Participant 18 (Trustee)

Another Chief Executive (from organisation 2) says that engaging young people is essential to the effective running of their organisation:

'I'm very very eager to ensure that young people have a voice in the organisation' Participant 1 (Chief Executive)

There has also been an emphasis across the sector to appoint other under-represented groups to third sector boards, this includes women and those from ethnic minority backgrounds (Elmagrhi *et al*, 2018; Buse *et al*, 2016; Gyapong *et al*, 2016; Ntim, 2015). This is not surprising as The Charity Commission (2017) '*Taken on Trust*' report also indicates that 64 percent of trustees are male (Great Britain. Parliament. The Charity Commission, 2017, p. 18). By including a much more diverse board membership Elmagrhi *et al* (2018) suggests this:

'...can enhance managerial monitoring and board independence by bringing diverse ideas, perspectives and knowledge into board decision making.'
(Elmagrhi *et al*, 2018, p. 479)

The analysis of my research does not indicate any substantial work being undertaken by the third sector organisations engaged in this study to specifically appoint more diverse boards. However, there is a small recognition that some understand the complexities of attracting any suitable trustees, as one charity trustee noticed:

'People we are talking to are often struggling to run commitments [outside of the organisation]...[a challenge] is work/life balance in our culture these days. We do have a strong commitment to work...this unfortunately has become the norm.' Participant 14 (Trustee)

Ideally, a characteristic of collaborative governance would be to have more diverse boards which attract under-represented groups in terms of young people, women and those from ethnic backgrounds. An area that would be worthy of future research is to discover whether there are other under-represented groups on UK boards such as those who identify as disabled and/or LGBTQIA+ (Weisinger *et al*, 2016). However, it seems more work is needed by policy makers, regulatory bodies and umbrella

organisations to overcome barriers to engagement, particularly for smaller charities. A greater understanding of time commitment, trustee remuneration of expenses, and more publicised opportunities of trustee positions would go some way to addressing this shortfall (Getting on Board, 2017).

7.2.5 Improving Board Performance and Accountability

Chapter 3 (section 3.3.3), outlines that third sector organisations in the UK are facing increasing calls to improve board performance and for boards to be more ‘*accountable*’ for their actions. However, boards are also faced with a myriad of options when it comes to actually reporting their progress. To recap, Cornforth and Edwards (1998) had already identified challenges in identifying appropriate mechanisms for capturing and auditing the performance of third sector boards. With weak boards being seen to lack ‘*stewardship*’ and ‘*accountability*’ (Cornforth and Edwards, 1998, p. 49), as tools and mechanisms of assessing financial performance are often lacking (Cornforth and Edwards, 1998, pp. 77-78). Cornforth (2001a) suggests that it is board reviews and decisions regarding the strategic direction of the organisation that have the most impact when reviewing board performance (Cornforth, 2001a, p. 225). This is echoed by Connolly and Hyndman (2004) who express the need for third sector organisations to keep justifying their existence with performance measures necessary to counteract ‘*criticisms of poor management and ineffectiveness*’ (Connolly and Hyndman, 2004, p. 131). As third sector organisations are becoming increasingly responsive and accountable to a wider range of stakeholders, appropriate mechanisms for reporting board performance are crucial to collaborative governance practices.

The results from my analysis indicate that reporting requirements are often linked to changes in government priorities and funding arrangements and this is having an impact on levels of bureaucracy and form filling, as one Chief Executive (from organisation 7) explains:

‘... Government is seeking to spend its diminishing budgets against increasing need through fewer larger, grants or contracts with higher accountability demands. [There is also] higher delegation [and] the bureaucracy that goes with managing that down through voluntary organisations’ Participant 10 (Chief Executive).

Another Chief Executive (from organisation 1) has also noticed a significant change in the way third sector organisations need to be responsible for their actions. Reporting measures have now filtered throughout the organisation as aspects of their operations have become increasingly under scrutiny from external stakeholders:

‘...it’s much more, much more around accountability, and performance and recognising that actually emphasis over here and we slip over here. So we have introduced things like performance scorecards and staff have access to those, we grade them red, amber, green against any particular of those one hundred and sixty plus KPIs.’ Participant 1 (Chief Executive)

Ultimately, third sector boards in the UK are under increasing pressure to be more open and transparent to an increasing range of stakeholders about how they are governed and how they spend both public and private income (Great Britain. Parliament. House of Commons: 2007: Jump, 2007: Carvel, 2005). However, boards should continue to seek improvements in how they track and report progress. Thus, further research would be beneficial on the impact an increased level of bureaucracy is having on the third sector in the UK, in particular the impact on trustee-only organisations.

The next section will look at the first of the propositions in light of the findings from my research.

7.3 Proposition 1 (P1) - Collaborative Thinking is now Essential for (Intra- and Inter-) Organisational Governance Within the UK Third Sector

My first proposition (P1) suggests that collaborative thinking is a necessity for collaborative governance across and within UK third sector organisations. Two core themes emerge from theory that supports this notion. Firstly, Chapter 3 (section 3.4) outlines that collaborations emerge and are particularly useful during times of crises and complexity to solve social challenges (Stone *et al*, 2010: Lober, 1997: Gray, 1996; 1989; 1985). Thus, third sector leaders need to think in new ways, with others, to address societal issues and this will have an impact on intra- and inter-organisational governance arrangements. Secondly, that in order to succeed, collaborations should

have formal governance structures, rules and regulations in place, but care needs to be taken to ensure the work that needs to be achieved is not inhibited by internal or external constraints such as legal and regulatory requirements (Cornforth *et al*, 2015: Stone *et al*, 2010: Provan and Kenis, 2007: Huxham and Vangen, 2005: Takahashi and Smutny, 2002). As a result, third sector leaders must think collaboratively to ensure the most appropriate board composition is put in place to ensure any intra- and inter-organisational activities are appropriately governed.

This section will address these two themes in relation to the findings of my research. This will be followed by a discussion surrounding the implications for collaborative governance theory.

7.3.1 Collaborative Thinking as a Mechanism for Solving Social Challenges

Lober (1997) suggests that opportunities or ‘*windows*’ for collaborative working and thinking emerge when a number of process streams converge. These streams include ‘*problem, policy, organizational, and social/political/economic*’ (Lober, 1997, p. 1). Gray (1996: 1989: 1985) articulates a number of reasons for collaborative action, and that it is particularly useful in times of perceived crises, and where problems are seen as too complex to be solved by individuals alone. Lober (1997) argues that this is particularly the case where there is instability in the technological, political, social and economic environment. It is at these times, where organisations and their leaders will need to think collaboratively to reduce uncertainty and build stability (Lober, 1997, p. 3), although it is recognised that not all significant stakeholders need to be involved for collaborations to form (Lober, 1997, p. 19). Stone *et al* (2010) also recognise that the use of collaborations to ‘*solve public problems and implement public policy*’ has vastly increased in prominence on a global scale (Stone *et al*, 2010, p. 309). Yet the impact on intra- and inter-organisational governance arrangements ‘*remains elusive*’ as very little focus has been given to the impact of [collaborative] governance arrangements in existing research (Stone *et al*, 2010, p. 311).

As articulated in Chapter 1 (section 1.2), the third sector in the UK is already seen to be operating in a complex environment (Chapman, 2017). Its activities have also been profoundly impacted by the financial crisis and economic downturn since 2007/2008

which has led to years of austerity measures being implemented across the sector (as outlined in Chapter 2, section 2.2). The analysis of my data indicates that third sector leaders are fully aware of the difficult and complex environment in which they are operating. As this Chief Executive (from organisation 1) recognises:

'...when objectives change and all of those skew on a fairly constant fluid basis that sense of public service can be really stretched and challenged and try to position the organisation in a way that actually recognises that as a strength but also as a weakness in the environment.' Participant 1 (Chief Executive)

Another Chair of Trustees (from organisation 4) states that planning year to year is extremely challenging:

'...the local authorities seem to think that they can come to you in January and say we're going to cut your funding from 1 April by twenty-five percent, and that happens a lot. It really does across the board, but what then they don't seem to realise is you've probably got to lay people off and that doesn't give you enough time to do it. So you are into increased expenditure in the next financial year, because you've got to keep people on, and how do you plan?'

Participant 7 (Chair of Trustees)

The importance of thinking collaboratively and needing to work together with others in their own organisations as well as across boundaries (particularly with funding agencies) is therefore vital to ensure third sector organisations are able to plan effectively (Sowa, 2009). This supports the earlier theoretical assumptions that collaborative thinking and working will emerge in times of crises and complexity (Stone *et al*, 2010: Lober, 1997: Gray, 1996: 1989: 1985). These turbulent times also mean that third sector organisations have to think differently in order to survive. As this former Chief Executive now Collaborative Entrepreneur suggests:

'I think that charities that have become lean and mean during the more difficult economic times are going to come out of those times and really be amazing and do some amazing things because they know how to survive without spending loads of money on the problem.' Participant 5 (Collaborative Entrepreneur)

The need to think collaboratively is not only useful in times of crises and complexity in order for third sector organisations to survive but it also strengthens their ability to manage risk, and increase creativity and innovation to solve social challenges (Great Britain. Parliament. The Charity Commission, 2009). Reductions in funding and an increasingly turbulent socio-political environment means that third sector leaders must now think collaboratively and work together more closely than ever before if they are to survive and continue to provide essential services to those most in need in society.

The next sub-section will address collaborative thinking as an aid to good governance.

7.3.2 Collaborative Thinking as an aid to Good Governance

As indicated in Chapter 3 (section 3.4), Provan and Kenis (2007) suggest that the governance arrangements for collaborations can be simple or complex, but there is a need for them to be flexible and adaptable as well as formal or ‘*stable to promote legitimacy and efficiency*’ (Stone et al, 2010, p. 313). Provan and Kenis (2007) outline that governance structures will range from those which: have no formal entity (as all coordination is performed through ‘*formal and informal interactions*’); are governed by one overarching core organisation that organises and coordinates all pivotal decision making; or by a separate structure or organisation specifically established to manage and govern any collaborative activities (a separate board may or may not be in place) (Provan and Kenis, 2007, p. 234). Having a choice of the type of governance required echoes a perspective from Takahashi and Smutny (2002). They indicate that collaborations may form part of short term rather than longer term arrangements (Takahashi and Smutny, 2002, p. 166). Nevertheless, as outlined in Chapter 3, whatever type of governance is put in place to enable intra- and inter-organisational collaborative activities there is a need to ensure appropriate accountability. There is also a need to ensure that this is not inhibited by internal or external constraints such as legal and regulatory requirements (Cornforth *et al*, 2015; Stone *et al*, 2010; Provan and Kenis, 2007; Huxham and Vangen, 2005).

As articulated in the data analysis of my research an understanding of legal and regulatory requirements is now a necessity for those engaged in intra- and inter-organisational governance activities. There is limited evidence that an increasing range

of new legislative requirements is having an impact on the skills, knowledge and experiences of leaders and board members in third sector organisations. Statutory requirements are not restricted to charity legislation but also include areas of finance and taxation, safeguarding and data protection (as identified in Chapter 3). Leaders are now needing to work together to understand these new requirements to ensure that the composition of boards is appropriate and has the appropriate mix of skills and experience.

This Chief Executive (from organisation 7) highlights that collaborative thinking is part of good intra-organisational governance practices:

'...the leadership team can sometimes be [like] we are ready to get on with this, why do we need to wait for the board? And when the board doesn't agree, which also on occasions, quite rightly it brings its wisdom and expertise, and takes the organisation in a different direction...then that can be a frustrating experience, but it's an important part of a healthy organisation.'

Participant 10 (Chief Executive)

The data analysis also identifies that finding and appointing trustees with the relevant skills and experiences for 21st century third sector organisations is challenging for some. Part of the role of good trusteeship is also nurturing and building talent within the organisation. The same Chief Executive highlights sees this firmly as part of their role:

'I see a big part of my job as, kind of, fostering and encouraging the skills and talents of the rest of the organisation' Participant 10 (Chief Executive)

Therefore, it is essential that third sector leaders continue to think collaboratively to aid good governance. This can be achieved by ensuring that all board members work together to ensure a shared understanding of their overall responsibilities. Employees and other stakeholders should also feel empowered to be part of the '*collaborative thinking*' within and across organisations and feel able to challenge the status quo as part of good governance practices. There also needs to be flexibility in how third sector organisations are governed and the type of structures chosen to ensure they are nimble and able to react to changes in regulatory requirements (amongst other challenges).

The next section will address what the essential characteristics of third sector leader effectiveness look like.

7.4 What are the Essential Characteristics of Third Sector Leader Effectiveness?

This section outlines the key characteristics of third sector leader effectiveness required to underpin collaborative governance highlighted in the literature and the findings. In particular, it focuses on: the ability of leaders to gain and nurture trust; community stakeholder engagement; empowering staff and volunteers; and recognising the need for appropriate succession planning. The section concludes with a reflection on the second proposition.

7.4.1 Ability to Gain and Nurture Trust

'...it is very important to pay attention to the development of trust between collaborators: trust in the commitment, understanding and ability of the other organisations...trust in the willingness to share credit; and trust in the benefits of working together.' (Huxham and Macdonald, 1992, p. 53; Himmelman, 1991)

Chapter 4 (section 4.2.2.) highlights the importance of the ability of leaders to gain and nurture trust and recognises that it is vital for underpinning collaborative governance. Bunger (2013) in particular, recognises that trusting relationships can help offset business risks faced by third sector organisations. Despite such an importance placed on trust in relationship building and in decision-making processes the literature on trust has often been criticised for being multi-dimensional and lacks consideration of the contextual factors associated in building and nurturing trusting relationships (Getha-Taylor *et al*, 2019; Kramer, 1999).

Today's third sector leaders must have the ability to develop trust both at the transactional level (which includes: contractual; goodwill; and competence (Sako, 1990)) and inter-personally (Ring and Van de Ven, 1994). As such, the analysis of my data indicates that building and nurturing trusting relationships with colleagues and

partners is critical for third sector leaders today. As these senior leaders from the social enterprise case study (organisation 1) identify:

'I like to think that they trust me, they feel that they can come to me and talk to me and that I'd support them and support their development because that's what I think is most important...' Participant 11 (Associate Director)

'I fully trust the team I've got...they are a very good team. They are a good group of people that I know can do the job really well and have been developed really well. So I think that trust is something that we need to keep building up.'
Participant 13 (Interim Associate Director)

Another Chief Executive (organisation 14) from the initial focus group says that trust needs time to evolve:

'...if you both understand that you are both trying to achieve the same objectives you can work together and get over those hiccups when they come up I think, but it does take time to build those relationships and to trust each other.' Focus Group – Participant 2 (Chief Executive)

For the third sector, leaders today must be able to build and nurture trusting relationships with each other including other organisations across boundaries (as intimated by Huxham and Macdonald (1992) and Himmelman (1991)). However, alongside high levels of trust there also need to be checks and balances in place to ensure third sector leaders are responsible for their actions. Although there are legal and regulatory requirements and guidance around who can be appointed to charity leadership positions, the sector still has some way to go to address shortfalls in both leader and trustee recruitment (Meade, 2014). This is very important to ensure the sector does not see further reported misdemeanours like those seen by Oxfam, Save the Children and The Kids Company. Further research into how third sector leaders develop and nurture trust should be embraced to help underpin trust in not only their leadership but also external attitudes and perceptions about the third sector as a whole (for example, Milbourne and Cushman, 2013).

7.4.2 Community Stakeholder Engagement

‘There is an emerging call for the inclusion of intensive stakeholder participation in decision-making processes as a critical dimension of organizational [sic] accountability.’ (Saxton and Guo, 2011, p. 272)

As highlighted by Saxton and Guo (2011) third sector organisations are coming under increasing pressure to engage with all relevant communities to ensure good governance practices. In terms of intra-organisational perspectives, Hamlin and Hatton’s generic model of managerial and leadership effectiveness (Hamlin and Hatton, 2013; Hamlin, 2004) outlined in Chapter 4 (section 4.3.3) highlights that communicating well with staff is essential for leaders of today’s third sector organisations. However, I would argue that third sector leaders also need to be good at managing all stakeholder relationships (internally as well as externally to the organisation) as these are critical to leadership and organisational effectiveness (Balsler and McClusky, 2005, p. 296).

Herman and Renz (1998) argue in their research that it is stakeholders that ultimately hold third sector organisations to account, as to whether their expectations have been met or concerns addressed (Herman and Renz, 1998, p. 24). Yet, although community stakeholder engagement in third sector organisations is not new, pressures remain on leaders to include relevant audiences in effective decision making within organisations, in particular, from volunteers and *‘fringe stakeholders’* (Saxton, 2005, p. 37).

According to the National Council for Voluntary Organisations’ Charity Governance Code (NCVO, 2017a) board members (including trustees) are encouraged to strategise and identify all those with an interest in the organisation’s work and to ensure there is *‘regular and effective’* communication about the organisations values, work and achievements. Most importantly, to ensure that relevant stakeholders are consulted on any key changes to the organisation and that they can hold boards to *‘account through agreed processes and routes’* (NCVO, 2017a).

An analysis of my research findings indicates that community stakeholder engagement is a fundamental role of third sector leaders, but the values of the organisation must come first, as this Chief Executive (from organisation 7) announces:

'So your strategy is built on first and foremost on the needs of the beneficiaries and secondly taking account of the different stakeholder groups which can be quite complex in the charity setting.' Participant 10 (Chief Executive)

Understanding the needs and requirements of various stakeholder groups is most certainly challenging in the third sector. Yet, despite various calls for wider societal engagement the issue of leadership effectiveness and stakeholder management in third sector organisations remains relatively unexplored in the literature (Rossi, 2015: Ferkins and Shilbury, 2015: Cornforth, 2012: Freiwirth, 2007: Balser and McClusky, 2005: Brown, 2002). Although there are some studies which endeavour to explore relationships between community stakeholders and boards of governance (Wellens and Jegers, 2014: Anheier, 2014: Young, 2011). This is perhaps because the involvement of stakeholders is related closely to '*mechanisms of governance*' in third sector organisations (Lovejoy *et al*, 2012: Saxton and Guo, 2011: Saxton, 2005: Brown, 2002). Indeed, leaders (including board members) may also be finding it increasingly difficult to define who forms part of their '*community*' and identify relevant people to engage with. Studies which investigate stakeholder representation in the non-profit literature are limited, particularly in the UK and Europe (Rossi, 2015). Communities in the literature tend to be focused on geographical location (Dunham *et al*, 2006: Lee and Newby, 1983) rather than consideration of the wider scope of a third sector organisation's mission, aims and objectives. In particular, for example, a charities beneficiaries may not all be located in one region; a social enterprise's product or service may be available on a global scale.

The notion of '*community*' engagement and stakeholder management is very complex and therefore requires a deeper understanding within the context of leadership effectiveness and third sector organisations. How leaders engage communities and how stakeholders interact with third sector organisations in an age of austerity but also in a time of rapidly expanding technological developments would be worthy of investigation. Some policy-makers have also questioned the sector's true ability to innovate and engage with stakeholders that traditional public sector agencies may find hard-to-reach (Pestoff and Brandsen, 2010). Balser and McClusky highlight that stakeholder engagement is ultimately about:

'...interpreting the nature of stakeholders' expectations and weighing the appropriateness of the expectations against the values and mission of the organisation' (Balsler and McClusky, 2005, pp. 295-296).

Therefore, further advice and guidance from policy-makers would be beneficial to ensure third sector leaders are able to include all their stakeholders to help inform their strategies and collective decision making. In particular, how advancing technologies can aid good stakeholder management and reporting measures (as emphasised by Taylor and Taylor, 2014).

7.4.3 Empowering Staff and Volunteers to Collaborate

'Delegation and empowerment' of staff and volunteers as well as their engagement in *'planning, decision making and problem solving'* is a key element of Hamlin and Hatton's (2013) taxonomy of perceived managerial and leadership effectiveness as outlined in Figure 8 in Chapter 4 (section 4.3.3). Harrison *et al's* (2013) study also highlighted that positive perceptions of leaders (board chairs) were likely to be reported as and when they interacted with *'key actors'* (employees) (Harrison *et al*, 2013, p. 710).

Results from my data analysis indicate that empowering staff and volunteers to collaborate and work together to develop and create their own success in the sector is vital, as this Deputy Chief Executive (from organisation 2) describes:

'I very much prefer to be someone that motivates and encourages individuals and empower individuals to make decisions, but my major part in that is to ensure that people also... understand their strengths and skills, and they are equipped with those skills.' Participant 6 (Deputy Chief Executive)

They also emphasise the importance of staff engagement and interaction, but this has to be balanced with the demands of a leadership role:

'I do a lot of floor walking. I do talk to all the staff here and I will then ask as well around their support and their management as obviously I need to monitor my managers and ensure that staff are getting what they should off their managers.' Participant 6 (Deputy Chief Executive)

An Associate Director from the social enterprise case study (organisation 1) emphasises that being available to staff is vital:

'I pretty much, I suppose, have an open door policy particularly with my heads of service, with other staff I'll walk round, I'll do the walk, chat with people, I will attend some of their team meetings although I can't attend all of them.'

Participant 12 (Associate Director)

In some instances, staff and volunteer efforts and achievements are also recognised through reward schemes, as another Associate Director from the same organisation outlines:

'We've got a range of reward programmes...staff have got PDRs, the increments, the access to training... We've got the salary sacrifice and all that kind of thing. I don't know if they are rewards or not, but I suppose there is the opportunity to influence things that the business does.' Participant 11 (Associate Director)

A key characteristic of leaders in the third sector today must be to recognise the need to engage and empower their staff. This should include opportunities to be part of problem solving and decision making processes. Ways in which this can best be achieved include providing appropriate opportunities to share their ideas, whether this is through ad-hoc conversations with managers, team meetings or through learning and development opportunities. At the same time leaders should consider establishing mechanisms for rewarding effort and achievement. Finding innovative ways to celebrate success is fundamental to the third sector, particularly when pay levels remain below that of the public and private sectors (Smith, 2015: Phillips and Hebb, 2010). This is especially important if the sector is going to retain skilled staff and attract new entrants.

7.4.4 Appropriate Succession Planning: Finding the Future Collaborative Talent

With an increasing array of intra- and inter-organisational activities taking place in the third sector in the UK, it is vital for third sector leaders to ensure the successful continuation of collaborative and cooperative relationships beyond that of individual leadership or trustee appointments.

Alongside concerns about an aging workforce (Hall, 2019: Great Britain. Parliament. The Charity Commission, 2017), and pressures on the sector (Third Sector, 2007) it is becoming increasingly crucial for leaders to consider succession planning in their roles. As identified in Chapter 4 (section 4.2.1), Archer and Cameron (2013) recognise the vulnerability of leadership positions and that leadership roles specifically in collaborative arrangements often outlast appointments. Therefore, third sector leaders also need to consider succession planning and ‘*long-term capability development*’. As suggested earlier, this needs to be achieved whilst ‘*avoiding the lure of community*’ in making leadership appointments of people with similar perspectives and opinions (Archer and Cameron, 2013, p. 75).

My data analysis indicates that some organisations may find it daunting to consider future appointments, but succession planning is vital for leaders in today’s dynamic third sector organisations. As these senior leaders (from organisation 2 and the social enterprise case study (organisation 1)) point out:

‘I always work on the assumption that I’m very loyal but on my first day that I’m not going to be here at some point and what’s that going to look like for the organisation. Have I left it in a better place than I’ve got it?’ Participant 1 (Chief Executive)

‘...leadership should be inclusive...things like succession planning trying to identify who you are mentoring and bringing people on. Some of us are much better at it than others...’ Participant 4 (Director)

With this in mind, what does succession planning look like in the sector? Succession planning for third sector leaders often means training, nurturing and managing talent

within organisations and identifying appropriate development opportunities to enable individuals to grow and develop in their roles. It also means thinking about the types of activities they will be engaged in in the future. Often looking beyond the boundaries of the organisation to identify the types of people required to lead tomorrow's third sector organisations. Brady (2018) highlights four areas in which third sector leaders can embrace succession planning successfully. These range from taking a strategic approach – do not leave it until a leader moves on; embrace loyalty – many of those wanting to move on tend to shift to other roles in the sector; build learning and development costs into budgets and bid costs; finally, support and develop a learning organisation – give staff and volunteers opportunities to develop, learn and apply new knowledge (Brady, 2018).

Ultimately, it seems wise for all third sector leaders to embrace succession planning by developing existing staff (a nod to Hamlin and Hatton's taxonomy (2013)) to enable appropriate future leadership appointments to be made. Third sector leaders should also be working with others to identify talent that may exist beyond the boundaries of their organisations (Santora *et al*, 2015). Policy makers should consider updating their guidance to third sector leaders to ensure appropriate succession planning forms part of the mechanisms of collaborative governance and effective leadership.

The next section will address my findings in relation to the second proposition.

7.5 Proposition 2 (P2) - Third Sector Leaders Should Recognise the Need to Cooperate Further for Improved Governance and Shared Leadership Effectiveness.

My second proposition (P2) suggests that third sector leaders need to be increasingly engaging and coordinating with others, in and beyond the boundaries of the third sector, as this will help support collaborative governance and leadership effectiveness. This is theoretically underpinned by Pearce and Conger's (2003) perspective that in order for leaders to be effective there needs to be a sense of '*shared leadership*' in collective decision making. Archer and Cameron (2013) support this position and suggest that this style of leadership helps organisations get the required results across organisational boundaries (Archer and Cameron, 2013, p. 10). From a governance perspective,

Cornforth *et al* (2015) and Crevani (2007) also stress the importance of ‘*collaborative leadership*’ in enhancing leadership effectiveness. As highlighted in Chapter 4 (section 4.2.1), shared or ‘*collaborative leadership*’ is seen to challenge traditional concepts of didactic and dyadic forms of leadership, but theories relating to this style and form of collective leadership are currently underdeveloped (Reynolds *et al*, 2017, p. 90).

This section aims to address theoretical perspectives on ‘*collaborative leadership*’ in relation to the findings of my research. First it will address the importance of ‘*collaborative leadership*’ in underpinning good governance. This will be followed by a discussion surrounding the implications for ‘*collaborative leadership*’ and leadership effectiveness theories.

7.5.1 The importance of ‘Collaborative Leadership’ in Underpinning Good Governance

I would argue that the most important aspect of ‘*collaborative leadership*’ is its role in collective decision making as part of third sector governance arrangements. This is because it brings multi-stakeholders together to bring about forms of consensus (Ansell and Gash, 2008, p. 543; Connick and Innes, 2003; Seidenfeld, 2000). Ansell and Gash (2008) stress that within collective decision making this switches ownership of any decisions made away from the organisation to ‘*the stakeholders acting collectively*’ (Ansell and Gash, 2008, p. 559).

This perspective of Ansell and Gash (2008) on collective decision making is echoed by a trustee within the voluntary organisation case study (organisation 10):

‘I think all of the main decisions need to be made as a collective because we are all collectively responsible. If you get people going off on a tangent and just making decisions without consulting the other trustees then it’s a slippery slope really, because we are all responsible for the decisions that we make.’

Participant 16 (Trustee)

The interpretation of my research also indicates that a ‘*collaborative leadership*’ style is more prevalent in the third sector compared to others. As one Associate Director at the social enterprise case study (organisation 1) outlines:

‘I do think some leaders sometimes, not in this sector, but in the wider sector, public sector, control and power is quite important to them and it sometimes drives their decision making whereas I’m not seeing that certainly in the third sector, or much less.’ Participant 12 (Associate Director)

Another Associate Director in the same case study organisation suggests that there needs to be more challenge in the collective decision making process:

‘...sometimes I don’t question the decisions the board makes but I question whether they have challenged enough to make the decision that they have to be comfortable and assured with the decisions that they have made’

Participant 11 (Associate Director)

Overall, in order for collaborative governance, leaders must now cooperate further and embrace new collaborative opportunities through enhancing their ‘*collaborative leadership*’ capabilities. In turn, by sharing leadership, the responsibility and accountability of collective decision making ensures that all relevant stakeholders are engaged in ensuring the beneficiaries and clients of third sector organisations and their partners receive the best possible outcomes.

The next section will address the implications for collaborative governance, ‘*collaborative leadership*’ and leadership effectiveness theories.

7.6 Theoretical Implications for Collaborative Governance, ‘Collaborative Leadership’ and Leadership Effectiveness

7.6.1 Implications for Collaborative Governance Theory

As emphasised by Stone *et al* (2010), collaborative governance is a relatively unexplored area within the existing research terrain for the third sector especially in the UK (as highlighted in Chapter 3). Although, there have been studies which have looked

to conceptualise inter-organisational governance structures (Provan and Kenis, 2007; Huxham and Vangen, 2005) as well as forms of inter-organisational ‘*cooperation*’ including mergers, acquisitions, joint ventures and partnerships (Soliman and Antheume, 2017). There is a gap in the existing literature which explores how collaborative governance is working in practice in UK based third sector organisations, and the role that collaborative thinking has when considering the requirements of good intra- and inter-organisational governance.

This study has highlighted five essential characteristics that should be considered by third sector organisations when considering collaborative governance practices. This is based on a unique insight into the operations of third sector organisations based in London and the South-East of England via a qualitative-interpretivist approach. Although, it is also important to note that the findings from my research cannot be generalised to other third sector organisations in the UK due to the small sample included in this study. The experiences and approaches may well be different in other third sector organisations throughout the UK and beyond.

7.6.2 Implications for ‘Collaborative Leadership’ and Leadership Effectiveness Theories

Collaborative leadership theory is ‘*considered the most popular and dynamic leadership theory because of its connections to collaborative and network governance studies*’ (Hsieh and Liou, 2018, p. 84). This is not surprising considering an increased focus in both the public, private and third sectors on ways of becoming more resilient and surviving tough economic conditions (Hodges and Howieson, 2017, p. 69).

As identified in Chapter 4 ‘*collaborative leadership*’ is a relatively new field of research interest which sits alongside similar and perhaps conflicting leadership theories such as shared, co-leadership, and emergent leadership (amongst others). The terms ‘*collaborative governance*’ and ‘*collaborative leadership*’ are often used interchangeably which adds to the theoretical confusion.

Challenges with applying appropriate theoretical groundings for leadership in the third sector are not new. Hodges and Howieson (2017) express difficulties in pinpointing

appropriate leadership theories which are '*grounded in a 'European' context and from within the sector*' (Hodges and Howieson, 2017, p. 70) and express a need to further develop leadership theory from within third sector contexts. Although, Hodges and Howieson (2017) also stress the importance of leadership in the sector, and that it must be given special attention and reconceptualised (Macmillan and McClaren, 2012; Kirchner, 2006). This PhD research study has highlighted new insights into both collaborative leadership and leadership effectiveness and their role in underpinning collaborative governance.

The next section will address how governance and leadership are inter-connected via '*collaboration*'.

7.7 How are Collaborative Governance and Leadership Effectiveness both Inter-Connected?

In understanding the characteristics of collaborative governance and leadership effectiveness we must recognise that they are not mutually exclusive. The governance of today's third sector organisations requires good leadership. This is becoming even more apparent as organisations are required to work together as part of funding agreements, or in the mutual sharing of expertise and resources in order to meet the diverse needs of an increasing number of beneficiaries. As such, harnessing the power of governance and leadership towards a '*collaborative advantage*' is paramount. This section addresses ways in which third sector organisations need to use the potential of collaborative working to aid their survival in a post-austerity, post-Brexit era in the UK.

7.7.1 Requirements of Collaborative Governance and Leadership

When considering the requirements of collaborative governance and leadership and the interconnectivity between them, Archer and Cameron (2013) perhaps provide the best description. They highlight this phenomenon as a '*three legged stool*' (as outlined at Figure 14) (Archer and Cameron, 2013, p. 40). In order for collaborations to be successful they argue that it is the three characteristics of '*governance, operations and behaviours*' that are essential and must be addressed by leaders at all levels in and across organisations engaged in collaborative activities. Without one or more of these, collaborations become unstable or not '*resilient*' and are likely to fail (Archer and

Cameron, 2013, pp. 40-41). Although, they recognise that it is impossible for leaders to concentrate on all three of these factors at the same time. This could be influenced by the different priorities of the participating organisations as well as considering the type of collaborative activity being undertaken (an outline of the ‘*collaboration spectrum*’ is provided in Chapter 4 (section 4.2.1)).

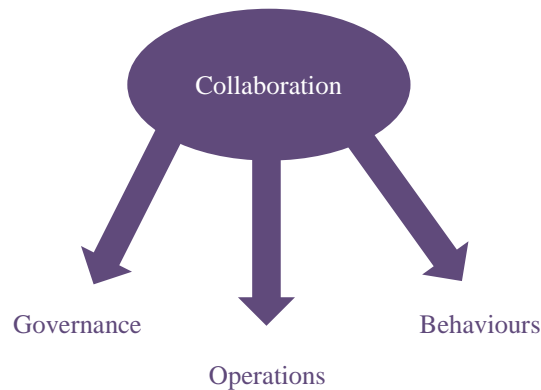


Figure 14: Archer and Cameron’s three-legged stool – governance, operations and behaviours (Source: Archer and Cameron, 2013, p. 41)

‘*Governance*’ is seen to provide the ‘*skeleton of a collaborative relationship – the supporting frame that holds everything together*’ (Archer and Cameron, 2013, p. 45). ‘*Operations*’ refers to the whole system and processes required to ensure the sustainability of collaborative working. Archer and Cameron (2013), describe these as ‘*jigsaw pieces*’ that must fit in order for things to run properly (Archer and Cameron, 2013, p. 49). ‘*Behaviours*’ then refers to how leaders need to interact with each other, being sensitive to cross-cultural values and modelling ‘*the kind of behaviour that they know will be needed to see through a relationship*’ (Archer and Cameron, 2013, p. 55). Archer and Cameron (2013) acknowledge that collaborative leadership means assessing the type of collaboration required, for example in highly collaborative settings they suggest that more emphasis is needed on ‘*behaviours*’, whereas in more transactional relationships the focus should be more on the ‘*governance*’ requirements. Those relationships that are situated in the middle of the ‘*collaboration spectrum*’ should see a balanced focus on all three legs of the stool (Archer and Cameron, 2013, p. 61).

Alongside these important considerations for today’s third sector leaders and their organisations I would argue that collaborative thinking and working has shifted beyond

the practical elements of managing, facilitating and leading successful collaborative arrangements. Discovering a ‘*collaborative advantage*’ (as articulated in Chapter 3 (section 3.4.2) is vital where new ways of thinking and working are required to bring about successfully governed inter-organisational relationships. This is especially important in an increasingly competitive funding landscape, and with new legislative mechanisms facilitating innovative organisational structures (such as the introduction of Charity Incorporated Organisations in 2013) in the third sector. To recap, Huxham and Macdonald (1992) consider ‘*collaborative advantage*’ to be:

‘...a form of competitive advantage which stems not from natural or historical endowment but simply from the various elements of the local economic system working together more effectively than their counterparts in competitor cities’
(Huxham and Macdonald, 1992, p. 51)

The data analysis of my research indicates that a shift towards collaborative thinking and working is already happening, although it is not always straightforward, as a Chief Executive (from organisation 4) outlines:

‘...I’m also a great believer in working in collaboration. I think there’s a lot to be gained, obviously it’s not always easy working in partnership because it can throw up its own problems. Nevertheless there’s more to be gained from it than lost.’ Participant 3 (Chief Executive)

As part of a ‘*collaborative advantage*’ Huxham and Macdonald (1992) also specify the importance of trust in any collaborative activity (Huxham and Macdonald, 1992, p. 53). My findings indicate that it takes time to build relationships and trust in collaborative arrangements as one Chief Executive (organisation 12) from the focus group highlights:

‘...if you both understand that you are both trying to achieve the same objectives you can work together and get over those hiccups when they come up I think, but it does take time to build those relationships and to trust each other.’

Focus Group – Participant 2 (Chief Executive)

Although the results of my data analysis are very limited when it comes to evidence of specific examples of collaborative working, there is some evidence to suggest that leaders operating in the sector are very aware of the need to cooperate and collaborate not just within their organisations but also with organisations that they would not normally associate with. One Chief Executive of a social enterprise (organisation 17) recognised that having a shared vision on a project but also running your own organisation is sometimes problematic especially when people are not sure what your organisation is trying to achieve:

'I think if there was more of that kind of, combined leadership, on the public face of it, if there was more of that, that's where we could all collaborate, but then you could still do your leadership role for your own organisation...it's trying to handover a vision of social enterprise at the same time as running an organisation.' Focus Group - Participant 7 (Chief Executive)

This section has aimed to outline and understand ways in which governance and leadership are interconnected through 'collaboration'. I have articulated that to date the emphasis in the literature has perhaps been on the practicalities of managing, facilitating and leading collaborative working from the perspectives of both governance and leadership rather than focusing on the 'collaborative advantage' that can be gained from undertaking collaborative activities. Further research is encouraged which looks beyond how third sector organisations 'do' collaboration to how the mechanisms of good governance and leadership can be improved to aid an effective 'collaborative advantage' for third sector organisations operating in a competitive funding environment. This is especially important in an ever-changing and complex environment in which the sector operates now and in the future.

The next section will address how my research contributes to collaborative governance and leadership theories.

7.8 Contribution to Collaborative Governance and Leadership Effectiveness Theories

As my discussion chapter outlines, it can be argued that overall my qualitative-interpretivist research contributes to existing studies in the areas of collaborative governance, collaborative leadership and leadership effectiveness. It achieves this by reflecting on traditional and emerging mechanisms and forms of collaborative governance and the leadership that is required to ensure third sector organisations can be successful in the 21st century and beyond. This section addresses how my research adds to these fields of study.

7.8.1 Contribution to Collaborative Governance Theory

For collaborative governance, my qualitative research uniquely reflects on the key characteristics which underpin collaborative governance practices, with specific reference to UK third sector organisations based in London and Kent. As highlighted in Chapter 3, most of the research on good governance has been prescriptive and built on US experiences (Cornforth, 2001, p. 218). My research gives a glimpse as to how third sector organisations are lead and run in a specific area of the UK. As Elmagrahi *et al* (2018) also specify, areas of governance in the third sector are often overlooked and this has led to poor accountability and transparency of trustee boards. By taking a qualitative approach, my research has been able to lift the lid and ‘*open up the black box of governance processes*’ (Leblanc and Schwartz, 2007, p. 846: Daily *et al*, 2003) and gather deep and meaningful reflections and perspectives on the need for trustees to collectively share and understand what it means to run a third sector organisation today and in the future. It does this by specifically identifying a range of key characteristics which help underpin good intra- and inter-organisational collaborative governance.

First of all, my research findings demonstrate that third sector leaders must work together to understand a range of regulatory and legislative requirements. It has uncovered that this is not just restricted to charity law compliance, but a complexity of interweaving cross-sectoral legislative requirements. The impact of legislation on charitable and other organisations seems to date to be an unexplored area within the collaborative governance literature. This may be because the emergent of more stringent legislative requirements, and the modern systems and processes required to ensure third sector organisations are accountable for their actions have only emerged

since the introduction of new charity laws in 2006 (Great Britain. Parliament. House of Lords, 2017, p. 10).

Secondly, In terms of the skills and experiences of board members, my research supports Spear *et al's* (2009) perspective (even a decade later) that it is difficult to recruit to trustee positions. It also supports Cornforth and Edward's (1998) and Cornforth's (2001) perspectives that there is a lack of transparency in how people are recruited to board positions. My research has uncovered that aspects of informal collaboration are taking place even before people take up trustee positions. Good citizenship is driving some to take up trustee positions as a '*favour*' to friends which also raises questions about trustee recruitment practices as well as the appropriate skills and experiences required for trustee positions.

Thirdly, my research reveals the pressures that boards of third sector organisations are facing to balance social and '*business like*' goals. This is of particular interest as these organisations have faced more than a decade of austerity measures in the UK following the economic downturn in 2007/2008. There is evidence that some of those involved in my research are already working collaboratively and adapting their governance and management activities to align with more commercial driven goals. This supports verdicts by The Economist (2017), Hood (2017) and Harbert (2016) that third sector boards are overseeing increasing levels of innovation and risk-taking with limited incomes. My research also recognises that the existing public sector grant-making and alternative funding models are potentially unfit for purpose and further research would be beneficial to explore the impact of new funding and social investment schemes, and how third sector organisations can innovate and take risks without financial penalty.

Fourthly, my research has uncovered the importance of the powerful role that influence has in collaborative governance practices. Two organisations within my findings have recognised the role that employees have in effective governance processes, although there is little evidence for other internal and external influential activities. This partially supports Miller *et al's* (1988) perspective that third sector leaders should take advantage of their influence during times of austerity and political upheaval. However, a lack of influential type activities noted in my study may also be as a result of the introduction

of 'The Lobbying Act' in the UK in 2014 which Francis (2018) suggests is curtailing campaigning and lobbying activities, although this cannot be verified.

Finally, ideally from the literature and existing research it seems that good intra- and inter-organisational collaborative governance requires boards (or joint mechanisms of governance) to be flexible, adaptable and nimble. Boards need to be of an appropriate size for the tasks they are required to perform and have members who can work together, are from diverse backgrounds, plus have an appropriate mix of business and life skills and experiences. Boards also need to be open and transparent in their reporting mechanisms to ensure they are accountable for all their actions.

In terms of overall board composition, my findings recognise that third sector leaders need a plethora of skills to drive appropriate collaborative governance arrangements. This includes the ability to horizon scan, being politically astute and having the ability to embrace change. This perhaps embraces Stone *et al's* (2010) perspectives of the need to understand the ever-changing landscape in which the third sector operates in the UK. For board diversity, my findings recognise the value of engagement from under-represented groups in governance activities, particularly from young people. This supports views from Fleming (2013) that engagement of young people in decision making is essential and has become '*mainstream*'. Indeed, it is '*widely accepted, supported by statute and enhanced by specific practice guidance*' (Fleming, 2013, p. 484; Gunn, 2008, p. 253).

Lastly, my findings acknowledge the pressures that third sector boards are under to be more open and transparent than ever before. In particular, they recognise the complexities of being increasingly under scrutiny from a wide range of external stakeholders and the reporting requirements that are now needed. This supports assertions by both Connolly and Hyndman (2004) and Cornforth (2001) that appropriate performance measures are necessary to ensure visibility and accountability of decision making at board level.

The next section will address the contribution of my research to collaborative leadership and effectiveness theories.

7.8.2 Contribution to Collaborative Leadership and Effectiveness Theories

For collaborative leadership and effectiveness, a number of key characteristics have been identified in the data analysis of my research which support and underpin forms and mechanisms of collaborative governance. First of all, my analysis indicates that building and nurturing trusting relationships is essential for third sector leaders today. Although studies into trust are often seen to lack consideration of the contextual factors associated with it (Getha-Taylor *et al*, 2019; Kramer, 1999) this study has helped develop new accounts for the third sector in the UK. It also pinpoints that building trust is a continuous process and is being developed both at the business and interpersonal level. This supports the earlier '*socio-psychological*' work of Ring and Van de Ven (1994) and Shapiro (1987) which looked at trust and how it is informed through the past and present interactions of individuals.

Secondly, an analysis of the findings indicates that community stakeholder engagement is a fundamental role of third sector leaders and it is a vital feature of good governance practices. My research contributes to Hamlin's and Hatton's (2013) and Hamlin's earlier (2004) taxonomy of managerial and leadership effectiveness by considering the dynamic nature of collaborative activities taking place in the third sector. In particular, a nod to include external stakeholder relationships within the Hamlin generic model as well as those developed by staff within organisational settings.

Thirdly, my findings outline that empowering staff and volunteers to collaborate and create their own success in the sector is vital. This supports the notion that staff and volunteer engagement in decision making processes is key to perceptions of managerial and leadership effectiveness as highlighted by Hamlin and Hatton's (2013) model. However, my study goes a step further and also considers that '*delegation and empowerment*' of staff (as mentioned in Hamlin's model) may also include pay and reward. This is especially important if the third sector is going to retain skilled staff and attract new entrants.

Finally, the last characteristic identified suggests that it is important for third sector leaders to ensure appropriate succession planning to help identify future collaborative talent. This is primarily because of wider socio-economic factors such as an aging

workforce (Hall, 2019: Great Britain, Parliament. The Charity Commission, 2017). The data analysis for my research shows that some thinking is underway to identify future talent, but that this does not seem to be widespread across all the organisations engaged in this study. This perspective adds to the work of collaborative leadership by Archer and Cameron (2013) who suggested that leadership positions are vulnerable and appointments in collaborative settings often outlast appointments.

7.9 Chapter Summary

In this discussion chapter I have provided a detailed response to the research question *what are the essential characteristics of collaborative governance and leadership effectiveness for UK third sector organisations?* In doing so it has addressed nine essential characteristics of collaborative governance and leadership effectiveness.

For collaborative governance, this included: (1) a shared understanding of legal and regulatory responsibilities; (2) working together to balance social and *'business-like'* goals; (3) recognising the powerful role of influence in collaborative settings; (4) enabling effective intra- and inter-organisational collaborative governance practices through appropriate board compositions; and (5) board diversity: the collective and collaborative benefits.

For leadership effectiveness this included: (6) the ability to gain and nurture trust; (7) community stakeholder engagement; (8) empowering staff and volunteers to collaborate and (9) appropriate succession planning – finding the future collaborative talent.

The propositions (P1) and (P2) were also discussed in more detail in terms of their necessity for collaborative governance and leadership effectiveness in the UK third sector. For proposition 1 (P1), I reflected on collaborative thinking as an aid to good governance and as a mechanism for solving social challenges. For proposition 2 (P2) I reflected on the importance of *'collaborative leadership'* in underpinning good governance.

This was followed by a discussion on how collaborative governance and leadership effectiveness are both inter-connected. The chapter then articulated the implications to

existing collaborative governance and leadership effectiveness theories before outlining the contribution of my study to the existing and growing literature and research in the field of collaborative governance and leadership.

The next chapter will provide a final overview of each chapter and a reflection on the implications for future research, policy and practice. It will then conclude with an outline of recommendations for future researchers and policy makers to consider in relation to the conceptual grid (Chapter 6) and further research findings (Chapter 7).

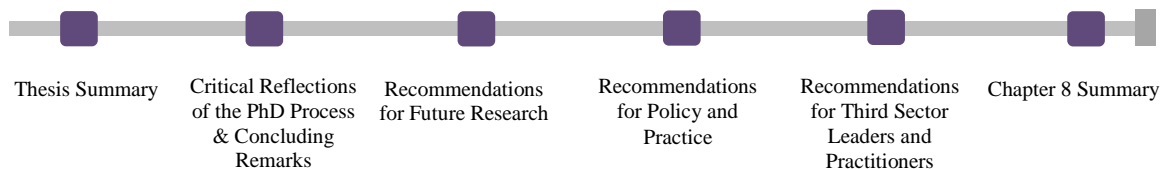
Chapter 8

Conclusion and Recommendations

8.1 Chapter Introduction

In my final chapter, I conclude by reflecting on the rationale and motivation for my study. This includes a summary of the research question and two interconnected research propositions. It will also address how these have been clearly woven and signposted through each preceding chapter. A critical reflection of the PhD process is also included alongside concluding remarks about the contribution to knowledge and whether the research question has been answered. In light of the findings in Chapters 6 and 7, clear and focused recommendations are made for future research as well as those responsible for UK policy developments which impact on the sector. Recommendations for those leading UK third sector organisations now and in the future are also specified.

Figure 15: Overview of Chapter 8



8.2 Thesis Summary

The rationale, purpose and motivation for this study was identified and clarified in Chapter 1. Most notably that the third sector in the United Kingdom (UK) faces numerous challenges. It is extremely complex and multi-faceted, whilst being constantly under scrutiny (Morgan and Morris, 2017), under pressure and under change (Chapman, 2017; Buckingham, 2011; Stone et al, 2010). This is compounded also by challenges in defining what constitutes the third sector in the UK and on a global scale (Wagner, 2012; Alcock, 2010). My rationale also reflects that the contribution and development of various economic, political, philosophical and social theories have all contributed in some way to this sectoral research paradigm confusion.

In considering this philosophical confusion and ambiguity, I felt it provided a very clear opportunity to develop this study which aimed to add to the existing literature and bring about a deeper and richer understanding of good (intra- and inter-) organisational collaborative governance and leadership effectiveness. Firstly, understanding the mechanisms and tools for collaborative governance and secondly what leadership characteristics are needed to underpin those governance arrangements. Currently, there is a lack of research literature which seeks to address notions of collaborative governance and leadership to help maintain a competitive advantage in the UK third sector (McMurray *et al* 2013).

Therefore, the aim of my PhD thesis was *to critically examine the strategic role of 'collaboration' in enabling good governance and effective leadership in the UK third sector*. In order to achieve this research aim the following research question was developed to frame this exploration: *RQ - What are the essential characteristics of collaborative governance and leadership effectiveness for UK third sector organisations?* This research question is then underpinned by two inter-connected propositions (P1) and (P2).

Proposition 1 (P1) suggests that: *Collaborative thinking is now essential for (intra- and inter-) organisational governance within the UK third sector*. Whereas, Proposition 2 (P2) suggests that: *Third sector leaders should recognise the need to cooperate further for improved governance and shared leadership effectiveness*. These propositions are investigated through a new conceptual grid, a tool developed to align both intra- and inter-organisational collaboration and leadership effectiveness. My interpretive analysis is realised through the development of four quadrants which articulate potential types of (intra- and inter-) collaborative (cooperative) governance approaches within a 21st century third sector organisation. The dimensions within the framework are called New Entrants (Novices); Founder Syndrome (Individualised Leadership); Hybridised (Multi-Agency); and Quasi-autonomous (Reformed Public Sector/Traditional). Using the new grid enables a deep systemic evaluation of the different types of third sector organisations working in a specific area of the UK. Likewise, the interpretive evaluation considers the complexities and intricacies of operating in the sector through a time of austerity and socio-economic uncertainty brought about by the financial and economic downturn in 2007/2008 (Chapman, 2017:

Buckingham, 2011; Stone *et al*, 2010). My research question investigations also suggest, that in order to gain a '*collaborative advantage*' (Huxham and Macdonald, 2002; Kanter, 1994) organisations are doing '*more with less*' and having to become more '*business-like*' (Howieson and Hodges, 2016; Dart, 2004). Third sector organisations and their leaders are now required to work together with others across organisational boundaries, think collaboratively, and be more commercially driven.

Reductions in grant funding and a switch to contracts and commissioned services have lead third sector organisations to seek alternative funding mechanisms including social investments, legacy donations, selling property and assets as well as increasing their fundraising activities (NCVO, 2019). All of this also needs to be achieved at a time when levels of regulatory and legislative requirements are increasing, and the numbers of those volunteering for trustee and leadership positions in the sector is diminishing (Great Britain. Parliament. House of Lords, 2017).

8.2.1 A Summary of the Historical, Governance and Leadership Literature

My literature review has been arranged in three parts in order to develop a thorough understanding of relevant historical information, theories and concepts which are deeply connected to the research question and associated propositions.

For Chapter 2, I drew upon historical and contemporary perspectives of the third sector in the UK. Complexities surrounding defining the sector are examined. This is important as there is confusion surrounding various terms used throughout the literature such as '*not-for-profit*' or '*non-profit*' (see Anheier, 2014). No new attempts are made to define the sector in my thesis as Alcock (2012, p. 221) had already critiqued that '*defining the third sector is intrinsically problematic*', although alternative perspectives from Hudson (2011), Billis (2010) and Brandsen *et al* (2005) are considered. This is followed by an acknowledgement that the third sector is referred to as the '*Voluntary, Community and Social Enterprise*' (VCSE) sector in the UK by practitioners and policy makers alike.

Chapter 2 goes on to explore and examine the regulatory and governance requirements which impact how third sector organisations are governed today. In particular, the chapter outlines the effect of the economic downturn and shift into austerity in the UK more than thirteen years ago, understanding that any evidence and impact on the third sector from this time remains scarce (Macmillan, 2010; Rees *et al*, 2012, p. 1.) Specifically, I explore how third sector organisations are finding themselves doing more with less, and are requiring new ways to fund their social missions. Becoming more '*business like*' is recognised as one way in which third sector organisations are managing to survive (see Dart, 2004).

How the third sector emerged in the UK was also explored in Chapter 2 which identified a shift from a focus on the deserving and un-deserving poor through to a 21st century state funded welfare state. Whilst recognising the challenges third sector organisations have faced with changes in the way public services are regulated and governed. I have acknowledged the complexities in defining governance but note that organisational governance could perhaps be defined in terms of '*the systems and processes concerned with ensuring the overall direction, control and accountability of an organisation*' (Cornforth, 2012, p. 1121). I also appreciate the '*autopoietic*' (Kooiman, 2013) nature of self-governance in the sector through the role of the Charity Governance Code (which was last updated in 2017). This is important as this guidance emerged at a time when there was also work underway to improve the effectiveness and efficiency within the public sector. This coincided with the emergence of New Public Management, and New Public Governance regimes which changed the way in which the third sector has had to operate with others across organisational boundaries.

Unveiling the challenges and state of the third sector in the UK stressed to me the importance of exploring the complexities of understanding collaborative governance in third sector contexts. Thus, for Chapter 3 I felt it vital to unpack and understand what collaborative governance looks like from both global and United Kingdom (UK) perspectives. Important themes of: board power, control and influence; organisational composition, skills and experience; and board performance, board effectiveness and organisational effectiveness were addressed. Key authors and tables summarising findings for each of these key themes were then highlighted. The existing research revealed that inter-organisational collaborations need formal governance structures,

rules and regulations, but care needs to be taken by leaders to ensure these are not constrained by business practices. It also recognised that although the literature is dominated with examples of public sector collaborations, third sector organisations are increasingly collaborating with other third sector agencies and private companies. With this in mind, it is very important to not only understanding the ways in which third sector organisations are governed, but there is also a need to reveal what form of leadership is required to enable collaborative governance (Kooiman, 2003: Pearce and Conger, 2003: Huxham and Vangen, 2000).

Within Chapter 4, I attempted to unpack what shared or '*collaborative leadership*' arrangements are required to facilitate good governance and leadership effectiveness in the third sector in the UK. It explained that the literature is rich in detailing different forms of shared leadership (see Pearce and Conger, 2003: Reynolds, 2017). This is of specific relevance to third sector organisations in the UK as they are increasingly finding themselves engaging with a wide and diverse network of stakeholders (see recent case study examples as outlined by Howieson and Hodges, 2017). To this end, different types of collaborations are often needed (see Archer and Cameron's (2013) '*Collaboration Spectrum*'). Considering these different types of collaborations, I also recognised the importance of building mutual reciprocity and trust in underpinning collaborative governance (see Getha-Taylor *et al*, 2019). Other aspects of leadership effectiveness were then explored before looking at ways in which it could be assessed and measured in today's third sector organisations. Leader Member Exchange (LMX) was suggested as a potential mechanism for this exploration. Studies by Yukl *et al* (2008), Graen (2012), and Graen and Schiemann (2013) helpfully identify how LMX can be used to identify characteristics required for effective leadership. This would be later used as part of the conceptual grid within Chapter 6.

8.2.2 A Review of the Research Design and Chosen Methodology

Considering the research question and propositions, within Chapter 5 I offered a clear justification for the chosen research design and methodology for the study from a qualitative: interpretivist research paradigm. Chapter 5 explained each stage of the research which included a combination of focus group, semi structured interviews and

two case studies. The chapter also outlined how: the data was collected; the sampling strategy; the interview schedule; and how the data was analysed in relation to the conceptual framework (detailed in Chapter 6). Finally, the key issues surrounding validity and credibility of the research, the ethical considerations and limitations of the chosen research design and methodology were discussed. I have argued that a qualitative-interpretivist approach has enabled a detailed, deep and meaningful exploration of the research question and associated propositions (as articulated in more detail in Chapter 7). My qualitative approach has proved particularly useful in unpacking and exploring the complexities of the characteristics of good governance and leadership effectiveness in the UK third sector as it intentionally focused on the lived experiences of senior leaders in the sector.

Finally, the limitations of my research design and methodology are provided. The advantages and disadvantages to these are discussed, alongside a response to questions of validity and credibility. My own limitations and reflexive implications of being a researcher with a background in charity work are also deliberated.

8.2.3 Thematic Data Analysis and Discussion of the Findings

Following the research activity, Chapter 6 started to analyse the RQ and propositions in relation to the characteristics of collaborative governance and leadership. In order to achieve this, the findings and analysis from the qualitative research stage of my research was mapped onto the conceptual grid/framework (detailed at the start of Chapter 6). This helped to identify and build up a picture of the different types of third sector organisations and the different styles of leadership and governance arrangements being exhibited by third sector leaders. In particular, I was able to thematically interpret the types of relationships these leaders were building with peers and colleagues within and across organisational boundaries. (The thematic analysis protocol used for this study can be found at Appendix F.)

A number of implications arise from using the conceptual grid/framework, notably that it can help identify the types of relationships third sector leaders may encounter and experience depending on the age, activities, and remit of their organisations. It

achieves this by focusing on the '*collaborative advantage*' arising from perspectives of intra- and inter-organisational collaboration (cooperation) and Leader Member Exchange (LMX). In addition, the grid helps to conceptualise where there may be areas of overlap and theorises how organisations may progress depending on the nature of the leadership and governance practices exhibited by third sector leaders in their day to day operations. The grid also enables the assessment of the degree to which organisations are similar, or are different to each other; this is not restricted to organisational type such as social enterprise or registered charity (as examples). The use of the grid is also important as it seeks to address relatively unexplored territory in the literature from a UK perspective, such as '*Founders Syndrome*' (Block and Rosenberg, 2002).

Within Chapter 7 I continued to review the findings of my research in relation to my RQ, specifically the characteristics of collaborative governance and leadership effectiveness. In articulating my findings, I also considered the implications of these characteristics for wider research and policy developments, with recommendations appearing later in this chapter (Chapter 8). Overall, five key characteristics of collaborative governance were identified which included: a shared understanding of legal and regulatory responsibilities; working together to balance social and '*business-like*' goals; recognising the powerful role of influence in collaborative settings; enabling effective intra- and inter-organisational collaborative governance practices through appropriate board composition; and improving board performance and accountability.

For the characteristics of third sector leader effectiveness I identified four key characteristics which included: the ability to gain and nurture trust; community stakeholder engagement; empowering staff and volunteers to collaborate; and appropriate succession planning – finding the future collaborative talent. Implications for collaborative governance, '*collaborative leadership*' and leadership effectiveness theories were also articulated before I revealed the requirements of collaborative governance and leadership. The chapter concluded with a clear expression of the contribution of my research to collaborative governance and leadership effectiveness theories.

Finally, this Chapter 8 helps to summarise key areas of importance from my thesis. It considers emerging literature and policy development plus areas where new research

would be beneficial. I then provide a critical reflection of my research development, a selection of concluding remarks before a range of helpful recommendations for future research, policy and practice based on my research findings and discussion (Chapters 6 and 7) are outlined.

The next section in this chapter provides a critical reflection on my role as a researcher during this PhD study.

8.3 Critical Reflections of the PhD Process: Understanding Assumptions

As outlined in Chapter 5, as part of any PhD, qualitative research students are encouraged to reflect throughout the development cycle about their experiences and ways in which their research has been shaped and formed as a basis of this learning (Maxwell, 2013: Service, 2012: Haynes, 2012: Schwandt, 2007: Glesne, 2006). In particular, how research evolves over time, how decisions are made and how areas beyond the scope of study may shape and influence thinking and writing processes. This useful exercise allows a researcher to consider both practical and academic skills that have been developed as well as helping to put things into perspective when the PhD experience (for some) may seem overwhelming, complex and unnavigable at times.

This ability to constantly reflect on researcher positionality is vital. (Positionality can include personal characteristics such as gender, race, age, beliefs as well as political and ideological motivations (Berger, 2015, p220).) Critically thinking about how researchers interact with peers, colleagues and academics from other educational settings as well as research participants is essential as part of this reflective exercise. This is because it aids the discovery of new and differing viewpoints and enables the researcher to question and unpack assumptions. In addition to understanding the reasons whys and ways about how researchers collect, interpret and analyse data. Indeed, even how life and work experiences may influence and shape opinions and biases when conducting and writing up research outcomes.

However, what exactly is reflexivity and reflection in PhD research?

During the writing about my own critical reflections of my PhD journey it is important to recognise complexities in how even the terms reflexivity and reflection are dealt with in the literature. Firstly on reflexivity, Hibbert (2013) helpfully acknowledges that reflexivity can be understood from a number of perspectives, such as being subjective about one's own thought processes (Hibbert, 2013, p. 804-805) to '*personal introspection*' (Hibbert, 2013, p. 805: Doane, 2003) and/or '*dialogical exploration*' (Hibbert, 2013, p. 805: Arvey, 2003: Cunliffe, 2002). Reflexivity is about thinking about why we do things the way we do (Hibbert et al, 2010, p. 48). However, it is qualitatively linked to reflection but it is not the same thing (Hibbert *et al*, 2010, p. 48).

Whereas for reflection, Hibbert *et al* (2010) suggest that reflection enables us to observe or examine (like looking in the mirror) the way we do things so we can become '*observers of our own practice*' (Hibbert et al, 2010, p. 48). On the other hand, Brookfield (2009) importantly suggests that reflectivity is essentially about uncovering assumptions and that this '*is the conceptual glue that holds our perspectives, meaning schemes and habits of mind in place*' (Brookfield, 2009, p. 294).

This section of my conclusion chapter will reflect on the development of this thesis and will highlight where judgements and statements have their warrant and where they may be the expression of framing assumptions and prior expectations. In particular, it will discuss how my PhD journey has been influenced and shaped by my own life and work experiences and how these may have unconsciously been expressed in any assumptions in my writing and interpretation of results and findings.

8.3.1 Why are things the way they are? Recognising assumptions in academic writing

Brookfield (2009) suggests that in critical reflective practice that researchers should hunt out assumptions that '*involves us recognising and researching the assumptions that undergird our thoughts and actions*' (Brookfield, 2009, p. 294). Brookfield (2009) goes on to suggest that our every-day actions are swayed by the way we think and feel the world should work based on our own moral actions developed before and through our adult lives. Often shaped by a '*person, institution or authority*' we are often not

aware of them and may tend to put them down to ‘*common sense*’ or ‘*conventional wisdoms*’ rather than truly thinking about why things are the way they are (Brookfield, 2009, p. 295). In reflecting on the judgements and statements included in this thesis it is important as a researcher to recognise those assumptions in my writing where some of my thinking has led me to how I have framed and made certain decisions in the course of my research.

8.3.2 Assessing Assumptions in the Thesis Development

8.3.2.1 Work Experience and Researcher Development

First of all, as mentioned in Chapter 5 my work experience background has been predominated with working in both the public sector and the third sector, as a full-time paid employee as well as a volunteer for more than twenty years working for a voluntary organisation. This included senior management and leadership positions engaged in policy making as well as governance mechanisms. In working in these environments and seeing how governance and leaders can shape and influence decision making I already had some limited knowledge and understanding about how organisations in the public and third sector operate. Some of which I had already explored as part of my MSc studies and published in 2013 (Davey *et al*, 2013).

As I have experience of working in both the public and third sectors at a senior level, in reflecting on my writing within this PhD thesis I need to acknowledge that this can give rise to different judgements than a researcher who may not have similar life or work experience (Sayer, 2011: 2005). With this in mind, during the interviews I was perhaps better equipped with insights into the third sector (and public sector) and able to understand aspects of participant-researcher interactions that were inferred and indirect. Like Berger (2015) I was ‘*able to hear the unsaid, probe more efficiently and ferret out hints that others might miss,*’ (Berger, 2015, p. 223). As a researcher I also needed to recognise that the participants in my study may have been more willing to open up and share their insights as they recognised I may have ‘*shared similar experiences*’ as them and I may have some sympathy for their situations (Berger, 2015, p. 220: De Tona, 2006). Critically reflecting on these presumptions and assumptions I needed to recognise that my work background will have affected the way I view the world, the

language I will have used throughout the interview process including the interview questions (perhaps using terms and terminology that only those working in the sector would be able to interpret and understand). Indeed, some thoughts and ideas shared by participants may have been blocked by the sound of my own inner-voice and discussions during the research phase (Berger, 2015, p. 224; Cloke *et al*, 2000). This in turn will have impacted how I subsequently analysed and filtered the dataset and the information and meanings I chose to reflect in the findings and discussion (Berger, 2015, p. 220; Kacen and Chaitin, 2006). For future studies the impact of ‘*insider knowledge*’ could be reduced by introducing peer support and peer review into the early stages of researcher development, interview schedule development and data interrogation (Berger, 2015, p. 222).

8.3.2.2 Acknowledge the Depth and Breadth of the Research Question

‘Sometimes we go through an extended period of being troubled by something without being able to articulate quite why’ (Sayer, 2011, p. 77).

Secondly, one of the first assumptions I made was at the beginning of my PhD journey in developing the research question and subsequent propositions. From my work experiences I recognised that there was a potential mismatch between what leaders and boards operating in the third sector saw as effective leadership. My thoughts and my mind already made up with preconceptions that this was a problem that needed a solution. This originally led to a focus on leader-member relations (LMX) as a focus of my PhD study as my eye was drawn to the link between relationships between leaders and employees rather than actually what was driving leadership effectiveness in and between third sector organisations. In these early stages as a part time researcher I had become blind-sided to other opinions and perspectives on leadership effectiveness after becoming so deep rooted in the LMX literature. Being a part-time student often meant large period of time lapses in the thesis development too which exacerbated this issue. It was not until I was half way through my PhD study when I started to look at wider literature on what makes leaders effective that I realised new and more interesting perspectives needed to be taken into account. I had assumed that the issue was in the relationships between leaders and subordinates (employees) but actually the empirical

and other research evidence pointed towards how collaborative and shared leadership approaches can bridge the gap between governance and leadership practices to enable efficiency of (and in) third sector organisations. My previous experience of working life in a third sector organisation and my previous public sector working arrangements had already influenced my choice of lens in which to view my PhD development and had already predicated the issue I needed to explore was between leaders and employers when it may actually be something entirely different. Thus, acknowledging Brown and Taylor's (1973) perspective that researchers (people) tend to interpret the world based on their own '*isolated aspects of that world...i.e. from their own individual frames of reference*' (Brown and Taylor, 1973, p. 33). Future researchers should consider at the start of the PhD process their frames of reference as to how they see the world based on their life and work experiences and consider whether these are unduly influencing their research topic to the detriment of other alternatives.

8.3.2.3 Avoiding Right or Wrong Statements

Thirdly, Sanghera (2012) suggests that individuals will tend to:

'...interpret the social world in relation to things that matter to them, deliberating and prioritising a multiplicity of moral concerns and commitments, such as the family, career, political and social causes and religion' (Sanghera, 2012 :Sayer, 2011; Taylor, 1989).

In my discussions of the conceptual grid, in particular aspects of '*Founder's Syndrome*', my judgements and statements about how this may impact those working in the sector may come across as though '*Founder's Syndrome*' overly negatively impacts the viability of a third sector organisation. My considerations perhaps fail to take account as to whether the steps leaders at organisations like the 'Kids Company' took were in the best interests of its beneficiaries irrespective of the governance implications. As Taylor (1989) outlines, every day we are faced with moral decisions and having to prioritise some activities over others and we continue to debate what is the right thing to do, what is important and what is not (Taylor, 1989, p. 28).

8.3.2.4 Writing styles and influences

Fourthly, throughout my working life I have had to develop and write papers for numerous audiences – both technical papers and those used to influence policy makers and politicians. How I write and choose to frame certain aspects of this thesis will undoubtedly have been built on years of learned behaviours after conforming to various requirements of managerial report writing. Writing persuasively to influence decision makers is remarkably different to writing to an academic audience and conforming to the requirements of university regulatory criteria for higher level PhD study. Some of the ways in which I frame statements included within my findings and analysis will have been influenced by these learned linguistic (and semantic) behaviours whilst at the same time addressing the requirements of PhD level study.

I also recognise my approach to thesis writing will have been influenced and shaped by the working relationship with my supervisor and supervisory panel employed for this research. Bui (2014) outlines that a good student-supervisory relationship is the key to successful doctoral researcher development (Bui, 2014, p. 12). Throughout the development of this thesis I received feedback and developed various iterations of my chapters based on perspectives of both my supervisor and panel as part of the formal quality assurance processes of the university. I also participated in the university's researcher development programme which I recognise will have influenced the shape and form of how the thesis developed over time. These training opportunities in turn will have been influenced by approaches to teaching, pedagogy and interpreting assessment criteria (Kilburn *et al*, 2014). From this process I learned that developing a thesis is a very personal journey but it is also constrained by time (what can realistically be achieved over the course of 5 years part time study) and the regulatory requirements that surround the quality assurance processes and ultimately the viva examination itself.

8.3.2.5 Assumptions and the Conceptual Grid

Finally, in terms of analysing my findings, when allocating organisations to the conceptual grid I need to acknowledge that I have had to make some assumptions when placing the organisations involved in my research into the grid. A full understanding of the complexities of these organisational histories, structures and people cannot be

obtained from just interviewing the senior leaders of these organisations. For future research background questionnaires would be beneficial so further personal details about the participants can be formally obtained. Where individual contributions have been used it would be helpful to perhaps expand these into more in-depth case study examples. This would help extrapolate new ideas and perspectives on those organisations in question and whether all participant viewpoints change where I would have placed their respective organisation in the conceptual grid.

The next section summarises the thesis development as part of my concluding remarks. This will include a summation of the contribution of my thesis to the literature and wider knowledge as well as a revisit of the research aim, question and propositions.

8.4 Concluding Remarks

8.4.1 Contribution: Addressing the Gap in Existing Leadership and Governance Research

Over the last two decades I have had various roles working across both the public and third sector, which included a number of governance and leadership positions. Throughout these periods of employment (as well as volunteering) I perceived a gap or disconnection between the leadership being employed in these organisations that I worked or volunteered for and the leadership required to underpin effective board governance - most specifically within the third sector in the UK. Therefore, I was interested in exploring whether this was actually a wider challenge for the third sector in the UK, and if any existing business and management or wider literature and research had started to address this perceived gap.

As my thesis has uncovered there is very little published on both concepts of leadership effectiveness and governance specifically in relation to the UK third sector. Therefore, this research is timely as a number of scandals have emerged since 2015 which raises questions about both the governance and leadership arrangements of third sector organisations. Most notably, The Kids Company and Oxfam (Great Britain. Parliament. The Charity Commission, 2018) and criticisms of 'Kick it Out' (racism in football) for

issues surrounding its governance practices (Great Britain. Parliament. The Charity Commission, 2019).

My thesis thus reflects on traditional and emerging forms of collaborative governance and the leadership that is required to ensure third sector organisations can be successful in the 21st century and beyond. With a specific focus on the South-East of England (London and Kent) my study is able to offer a unique insight into the issues and challenges of collaborative activities specific to the region. In particular, it offers a new and exclusive conceptual grid in which to view how organisations are aligned within the third sector in the UK and the factors that influence and shape collaborative leadership and governance practices. This new knowledge and insight will be invaluable to local third sector leaders, particularly those seeking to govern and work collaboratively with others to help solve social issues and challenges now and in the future.

8.4.2 Addressing the Research Aim, Question and Propositions

In light of this perceived gap and recent developments surrounding governance challenges in the third sector in the UK, the construction of my research aim, question and aligned propositions for this study offer a significant contribution to existing studies and literature. This section will reflect on the research aim, research question and related propositions and how the objectives for this research have been met.

The aim of my PhD thesis was *to critically examine the strategic role of ‘collaboration’ in enabling good governance and effective leadership in the UK third sector*. In order to achieve this research aim the following research question was developed: *RQ – What are the essential characteristics of collaborative governance and leadership effectiveness for UK third sector organisations?* This research question was then underpinned by two inter-connected propositions (P1) and (P2).

Proposition 1 (P1) suggested that: *Collaborative thinking is now essential for (intra- and inter-) organisational governance within the UK third sector*. Whereas, Proposition 2 (P2) suggests that: *Third sector leaders should recognise the need to cooperate further for improved governance and shared leadership effectiveness*.

Four research objectives helped shape the direction and consideration of the research aim and related research question and propositions:

1. To extensively examine the literature on collaborative governance and leadership effectiveness of relevance to the third sector in the UK. This will include specific reference to the forms and mechanisms of governance and the shared leadership required of today's third sector leaders.

This objective has been achieved through the broad development of the literature review in Chapters 2-4. In Chapter 2, this includes the current state of play in the sector (both historical and contemporary perspectives) as well as exploring the regulatory and governance requirements which impact how third sector organisations are governed today. Chapter 3 reveals the complexities of understanding collaborative governance in the third sector as well as articulating what good governance looks like. Chapter 4 then sets out what shared or collaborative leadership is required to facilitate good governance and leadership effectiveness in the third sector. In particular, aspects of mutual trust and reciprocity and challenges of collaborative working are detailed.

2. To develop an exploratory/conceptual framework for depicting the characteristics of good governance and leadership effectiveness in the UK third sector.

This objective has been achieved through the development and articulation of a new conceptual grid in Chapter 6. This includes an explanation as to how the X and Y dimensions of the framework work together to align intra- and inter-organisational collaborative governance and leadership effectiveness (via LMX) in the third sector in the UK. The grid identifies four dimensions which typify four potential types of approaches to these aspects of leadership and governance within the UK third sector, notably: New Entrants (Novices); Founder Syndrome (Individualised Leadership); Hybridised (Multi-Agency); and Quasi-autonomous (Reformed Public Sector/Traditional). Findings from the research were then mapped against the framework and a detailed explanation provided to help unpack the key

characteristics of good governance and leadership effectiveness. These were explored in more detail in Chapter 7.

3. To develop implications for collaborative governance and leadership effectiveness theories, and recommendations for leadership policy and practice in the third sector in the UK.

This objective has been achieved through the findings outlined in Chapter 6 and resulting discussion in Chapter 7. The list of recommendations based on the findings and discussion is provided towards the end of this Chapter.

As a result of my research the main implication for collaborative governance theory is that there is a gap in the existing literature which explores how collaborative governance is working in practice in today's UK based third sector organisations. Especially, the role that collaborative thinking has when considering the requirements of good intra- and inter-organisational governance (7.6.1).

However, even though there is a gap in the literature my study has helped identify five essential characteristics for collaborative governance which includes: a shared understanding of the legal and regulatory responsibilities of trustees (7.2.1); working together to balance social and '*business-like*' goals (7.2.2); recognising the powerful role of influence in collaborative settings (7.2.3); enabling effective intra- and inter-organisational collaborative governance practices through appropriate board composition(s) (including: skills and experience of board members; board size; and board diversity) (7.2.4); and finally, improving board performance and accountability (7.2.5).

As a result of my research the main implication for leadership effectiveness theories is that '*collaborative leadership*' is a relatively new field of interest in the research literature (Hsieh and Liou, 2018). Hodges and Howieson (2017) had already identified that for studies of this type it is difficult and complex in pinpointing appropriate leadership theories for the third sector. This study now adds to leadership research that explores these complexities in more detail and helps unpack

the most suitable leadership theories to draw upon when investigating UK third sector perspectives on leadership effectiveness.

However, even though the leadership literature is complex and wide-ranging my study has helped identify four key characteristics of third sector leadership effectiveness from the research and the literature. Outlined in Chapter 7, these include: the ability to gain and nurture trust (7.4.1); community stakeholder engagement (7.4.2); empowering staff and volunteers to collaborate (7.4.3); and appropriate succession planning – finding the future collaborative talent (7.4.4).

Following the findings from Chapter 6 and the discussions in Chapter 7, recommendations for UK government policy makers include: (a) ensuring third sector organisations in the UK have timely access to policy impact assessments; (b) emerging financial issues and challenges as a result of social investment or new investment schemes are addressed; (c) encouraging the sharing of best practice; and (d) considering the professionalisation of volunteerism in the UK third sector.

Finally, recommendations for third sector leaders as identified in Chapter 7 include: (a) building capacity in the UK for successful collaborations and (b) seeking new ways to remunerate and reward staff and volunteers.

4. To identify future research opportunities that develops the initial exploratory study.

This objective has been achieved as a result of the development of the conceptual grid in Chapter 6 and the research discussions in Chapter 7. Future research recommendations include: (a) further qualitative-interpretivist research that revisits the conceptual grid for a broader range of third sector organisations in other regional areas in the UK; (b) exploring whether other third sector organisations in the UK have experienced ‘Founder’s Syndrome’; (c) increasing the visibility of ‘*below the radar*’ organisations to improve our understanding of start up (novice) third sector organisations in the UK; (d) investigating whether public sector bureaucracy is having an impact on the ability for quasi-autonomous organisations to achieve successful collaborative governance arrangements; and (e) expanding this study into a longitudinal, mixed methods and multi-paradigm study.

The next section will highlight the specific recommendations for future research based on the findings in Chapter 6 and discussions of the research in Chapter 7.

8.5 Recommendations for Future Research

In light of the conceptual grid (Figure 12) and findings analysis in Chapter 6 and existing and emerging literature in the field, it is recommended that future research should focus on these key areas:

- 1) **New qualitative-interpretivist research that revisits the conceptual grid from a broader range of third sector organisations in other regional areas in the UK.**

My research has significant limitations as it is focused on a relatively small sample of third sector organisations based in a specific region of the UK. Therefore, the findings cannot be generalised. It would be beneficial for this study to be replicated within other areas to see if there are any regional variations in how each of the dimensions of the framework operates in practice.

- 2) **Exploring whether other third sector organisations in the UK have experienced ‘Founder’s Syndrome’.**

As indicated in Chapter 4 and Chapter 6 ‘Founder’s Syndrome’ is a relatively unexplored topic in the leadership and third sector literature. Examples of individualised leadership in the third sector in the UK are scarce and my study had to draw upon a highly publicised national example in order to demonstrate its place within the conceptual framework when it comes to intra-organisational and inter-organisational collaborative governance and leadership effectiveness. A dedicated piece of research which looks at the prevalence of ‘Founder’s Syndrome’ in UK based third sector organisations would therefore be beneficial. This may strengthen arguments for its position in the conceptual grid (Figure 12) and would help to unpack in more detail the challenges and problems faced with founders of third sector organisations, or how organisations have had to build on founder legacies.

3) **Increasing the visibility of ‘below the radar’ organisations to improve our understanding of start up (novice) third sector organisations in the UK.**

When analysing the data for each of the quadrants for the conceptual grid it became apparent that there were some other types of organisations where there was limited literature and research available. In particular, this included ‘below the radar’ affiliated or non-affiliated clubs and associations where there is no formal legal charitable status and thus no formal rules or structure (McCabe *et al*, 2010; MacGillivray *et al*, 2001). The term ‘below the radar’ is most commonly used to describe small community based organisations in the UK. This may also include refugee and migrant groups. In these instances there may be a lack of clarity about collaborative roles and responsibilities, particularly when it comes for example to financial and safeguarding issues. Further research into the characteristics of governance and leadership effectiveness of ‘below the radar’ should therefore be encouraged.

4) **Investigating whether public sector bureaucracy is having an impact on the ability for quasi-autonomous organisations to achieve successful collaborative governance arrangements.**

As the conceptual grid outlines in Chapter 6, a number of third sector organisations are now providing services and products that have traditionally been provided by public sector organisations (Milbourne and Cushman, 2012, p. 2). With assumptions made that ‘spin-outs’ will be less bureaucratic than their predecessor organisations (Rainey and Steinbauer, 1999). However, concerns remain that these quasi-autonomous organisations are still constrained by formal transactional/contractual relationships and are more likely to be impacted by the macro-economic environment than other more independent third sector organisations (Milbourne and Cushman, 2012, pp. 487-490). Future research would be beneficial that focuses on the impact of bureaucracy on successful collaborative governance arrangements. Especially, where ‘spin-outs’ are required to work in partnership with a number of stakeholders. Stakeholders that may not have experience of collaborative working.

5) **Expanding this study into a longitudinal, mixed methods and multi-paradigm study**

My study has focused on participants and organisations within a specific area of the UK. Therefore, it would be interesting and informative to extend this study to a wider regional and national study. This would help identify any regional differentiation and helpfully lead to a deeper, richer and more meaningful understanding of how the third sector operates on a wider scale. For example, it would be interesting to see if there are different characteristics of collaborative governance and leadership effectiveness in other regions. A mixed methods approach could also see the development and inclusion of a regional and national survey (further details are provided at Appendix G).

The next section will address recommendations for policy and practice emerging out of my research findings.

8.6 Recommendations for Policy and Practice

A number of recommendations for policy and practice can be made based on the findings from this initial exploratory study. As a result, UK Government policy makers should:

1) **Ensure third sector organisations in the UK have timely access to policy impact assessments**

With increasing levels of legislative and regulatory requirements being brought in, the third sector needs to assess its ability to adapt quickly to any changes in relevant charity or other legislation (Chapter 7, section 7.2.1). Making policy impact assessments and templates available would allow third sector organisations and their leaders to determine what changes to working practices and reporting arrangements would be needed as a result of these requirements. (To note: policy impact assessments are formal evidence based documents widely used by UK policy makers in the event of the introduction of any new legislation or Government policy.)

2) **Address any emerging financial issues and challenges in the sector as a result of social investment or other new investment schemes**

The House of Lords Select Committee on Charities Report (2016-2017), and subsequent NCVO almanacs (Chapter 2, section 2.2) have already identified that smaller organisations are facing difficulties in managing their finances, with many facing cash flow issues without the required reserves should they need to draw on them (Great Britain. Parliament. House of Lords, 2017, p. 50). It would be helpful if policy makers could monitor the level of borrowing that third sector organisations are requiring to cover '*working capital*' when undertaking public or private sector contracts. In particular, the issues and challenges surrounding access to social investment and other new investment schemes (Chapter 7, section 7.2.2).

3) **Encourage regulatory bodies, infrastructure and umbrella organisations to work together and share best practice with third sector organisations**

To help overcome barriers to engagement in collaborative governance arrangements, the sharing of existing and emerging good governance practice from across the sector should be encouraged. This could include membership of relevant professional bodies (ICSA – the Chartered Governance Institute is mentioned in Chapter 7, but there are others such as the ILM - Institute of Leadership and Management and the CMI - Chartered Management Institute as well as the CIPD - Chartered Institute of Personnel and Development) as well as input from other regulatory and umbrella organisations (Chapter 7, section 7.2.4).

In addition, advice and guidance on how third sector organisations can improve their community stakeholder engagement should be made available to help inform strategy development and aid collective decision making. Especially, how advancing technological developments (useful digital tools) can aid good stakeholder management (Chapter 7, section 7.4.2). Guidance as to how third sector leaders in the UK can ensure appropriate succession planning is also needed (Chapter 7, section 7.4.4).

4) **Consider the professionalisation of volunteerism in the UK third sector**

The findings from my study have indicated key challenges for leaders of third sector organisations in the UK regarding the professional expertise, skills and experience now required of trustees as part of collaborative governance arrangements. With evidence that some of the organisations are experiencing issues with trustee recruitment to aid collaborative governance arrangements, are there any other ways and mechanisms that may attract those with the relevant skills and experiences to these voluntary positions?

Over the last decade there have been persistent calls and debates within the sector as to whether trustees should now be paid in order to improve charity effectiveness (Kay, 2019). This is to take account of increasing levels of legal and financial accountabilities and responsibilities that they now have, as well as the drive to improve engagement of under-represented and diverse groups. (Noting that trustees can already claim out of pocket expenses (Charity Commission, 2013.)) The call to pay trustees follows the publication of the Lord Hodgson review of the Charities Act (2006) in 2012 which advocated that charities with more than a million pound turnover should be free to pay its trustees (Hodgson, 2012, p. 39). There are already instances where salaried trustee payments have been approved by the Charity Commission (for example, Kevin Carey, former Chair of the RNIB, was paid £24k by the organisation from 2010-2013, which rose to £25k from 2015 until he stepped down from the organisation in 2017 (Weakley, 2017a; Ramrayka, 2012; Jump, 2010)). Although there are '*special cases*' where paid provision has been allowed (Weakley, 2017b), Allcock in McKenzie (2012), argues that there is no evidence that this will change the performance of the third sector or aid recruitment and retention (McKenzie, 2012, p. 2). However, Singh (2017) argues that larger charitable organisations need the flexibility to pay its trustees and that the current charity governance model is ineffective and inefficient:

'The principle that committees of volunteer trustees should run charities has been at their heart for centuries. But now that charities are spending tens of billions of pounds a year holding up key public services, this model is killing them' (Singh, 2017)

With drivers to become more ‘*business-like*’ across the third sector it seems it is time to revisit what the professionalisation of volunteerism means, and its impact on the current governance models in use throughout the UK third sector. Policy makers should revisit the criteria for the payment of trustees and ensure this is transparent and implemented fairly across the sector.

The next section will address practical recommendations for third sector leaders emerging out of my research findings.

8.7 Recommendations for Third Sector Leaders

Outcomes from my research indicate that third sector leaders are facing increasing demands on their time, skills, experiences and resources in order to successfully govern and lead their organisations. Furthermore, shared leadership and collaborative opportunities are increasingly becoming the norm and expected. However, for some new and smaller third sector organisations this remains a challenge. Third sector leaders must therefore consider issues such as:

1) Building Capacity in the UK Third Sector for Successful Collaborations

Although this thesis has propagated the strengths of collaborative governance and leadership effectiveness there may be times where it would not be appropriate for organisations to undertake collaborative events. Successful collaborations (and formal cooperations) depend on the resources, skills and experiences of third sector leaders. However, there is a danger of executive burnout for those who regularly engage in collaborative activity (Cross *et al*, 2018). By-products of good collaboration, Cross *et al* (2018) argue, are less time for ‘*focused individual work, careful reflection, and sound decision making*’ (Cross *et al*, 2018, p. 135). As such there is a danger of ‘*collaborative overload*’ and third sector leaders in the UK would be advised to seriously consider the benefits of collaborative activities and aligning these with both strategic priorities and the impact on individuals. Cross *et al* (2018) stress the importance of understanding self-motivations, ensuring that work aligns with

'professional aspirations and personal values', and that any collaborative activities are as *'productive as possible'* (Cross *et al.*, 2018, p. 135).

Therefore, it seems there is a broader policy issue about building capacity in the third sector to enable effective collaborations. Thus, the sector, and its leaders need to look for innovative ways to encourage appropriate involvement at some level, whether this is through digital tools and mechanisms or training, advice and guidance on how to develop effective collective working practices.

2) **Seeking new ways to remunerate and reward staff and volunteers**

As Hamlin and Hatton (2013) identify, a key characteristic of leaders in the third sector today must be to recognise the need to engage and empower their staff. Chapter 7 outlines that this should include opportunities to be part of problem solving and decision making processes. Ways in which this can best be achieved include providing appropriate opportunities for staff and volunteers to share their ideas, whether this is through ad-hoc conversations with managers, team meetings or through learning and development opportunities. At the same time leaders should consider establishing mechanisms for rewarding effort and achievement. To reiterate, finding innovative ways to celebrate success is fundamental to the third sector, particularly when pay levels remain below that of the public and private sectors (Smith, 2015; Phillips and Hebb, 2010). A number of umbrella and representative organisations run award schemes. This includes national recognition events run by Social Enterprise UK and The UK Charity Awards. This is especially important if the sector is going to retain skilled staff and attract new entrants.

8.8 **Chapter Summary**

Within this final chapter I have provided a clear reflection on the development of the thesis, outlining key aspects from each of the chapters. This was followed by a critical reflection on the thesis development in relation to any expression of assumptions and frames of reference with regard to the findings of my research. Concluding remarks were then provided which provided an overview of my contribution to existing knowledge as well as a summary of the research aim, research question, and objectives and whether these had been achieved by this study.

The chapter then concluded with a range of recommendations as a result of the findings outlined in Chapters 6 and 7. For future research opportunities this included: (a) further qualitative-interpretivist research that revisits the conceptual grid for a broader range of third sector organisations in other regional areas in the UK; (b) exploring whether other third sector organisations in the UK have experienced ‘Founder’s Syndrome’; (c) increasing the visibility of ‘*below the radar*’ organisations to improve our understanding of start up (novice) third sector organisations in the UK; (d) investigating whether public sector bureaucracy is having an impact on the ability for quasi-autonomous organisations to achieve successful collaborative governance arrangements; and (e) expanding this study into a longitudinal, mixed methods and multi-paradigm study.

For recommendations for UK government policy makers I have suggested consideration of: ensuring third sector organisations in the UK have timely access to policy impact assessments; addressing any emerging financial issues and challenges in the sector as a result of social investment or other new investment schemes; encouraging regulatory bodies, infrastructure and umbrella organisations to work together and sharing best practice with third sector organisations; and the professionalisation of volunteerism in the UK third sector.

Finally, for third sector leaders and practitioners I have outlined the need to address challenges of building capacity in the UK third sector for successful collaborations and seeking new ways to remunerate and reward staff and volunteers.

Appendix A

Limitations to Qualitative and Quantitative Research

A number of limitations to qualitative versus quantitative research can be identified in the following table:

Qualitative versus Quantitative research (Interpretivist versus Positivist)	<ul style="list-style-type: none">• There are difficulties in replicating qualitative studies.• In undertaking qualitative studies the researcher needs to be aware of being too <i>'impressionsistic or subjective'</i> (Bryman, 2008, p. 391).• It is difficult to decipher any trends or if findings were by chance in qualitative studies. As outputs do not lend themselves to statistical analysis like quantitative studies.• This poses challenges for future qualitative research. It will be potentially difficult to understand what the researcher actually did and how conclusions were derived.• Qualitative approaches are considered structured, with hard reliable data. However, quantitative studies are considered unstructured but with rich, deep data (Bryman, 2008, p. 393).
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Appendix B

Participation Information Sheet – Focus Group



An exploration of the effects of governance and identity on leader-member exchange (LMX) in the UK not-for-profit sector.

PARTICIPANT INFORMATION SHEET – FOCUS GROUP

A research study is being conducted at Canterbury Christ Church University (CCCU) by Rachel Davey.

Background

This PhD level research project aims to explore relationships between governance, identity and leader-member exchange in the UK not-for-profit sector. It involves exploring the characteristics of governance, leaders, as well as the networks and inter-relationships between leaders and followers. As demonstrated through the theories of leader-member exchange (LMX) and social identity. Ultimately, this research will lead to the development of a unique framework to aid understanding around the complexity of governing and leading third sector organisations in the 21st century.

What will you be required to do?

Participants in this study will be required to participate in one or more focus group discussions with other third sector organisations.

To participate in this research you must:

- Hold or have held a senior position in a not-for-profit organisation (including social enterprise) (within the last five years); and/or
- Be an elected Chair, trustee, or other board official of a not-for-profit organisation (including social enterprise).

Feedback

Participants will be provided with an outline of key findings from the focus group(s) for information.

Confidentiality

All data and personal information will be stored securely within CCCU premises in accordance with the Data Protection Act 1998 and the University's own data protection requirements. Data can only be accessed by Rachel Davey and Dr Colm Fearon (Supervisor). After completion of the study, all data will be made anonymous (i.e. all personal information associated with the data will be removed).

Dissemination of results

The results of the study will form part of the final PhD thesis. The final version of which will be available from Canterbury Christ Church University library or the British Library. Content derived from the study may also be used in whole or in part to form a submission for academic publication(s).

Deciding whether to participate

If you have any questions or concerns about the nature, procedures or requirements for participation do not hesitate to contact me. Should you decide to participate, you will be free to withdraw at any time without having to give a reason.

Any questions?

Please contact XXXXXX. Thank you.

Participation Consent and Information Form – Interviews



PARTICIPANT CONSENT FORM

Title of Project: An exploration of the effects of governance and identity on leader-member exchange in the UK not-for-profit sector: A research proposal

Name of Researcher: Rachel Davey

Contact details:

Address:	Canterbury Christ Church University Business School North Holmes Road Canterbury Kent CT1 1QU
Mob:	XXXXXX
Email:	XXXXXX
Twitter:	XXXXXX

Please initial

box

1. I confirm that I have read and understand the information sheet for the above study and have had the opportunity to ask questions.
2. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving any reason.
3. I agree to the interview being audio recorded.
4. I understand that any personal information that I provide to the researchers will be kept strictly confidential
5. I agree to take part in the above study.

Name of Participant

Date

Signature

Name of Person taking consent
(if different from researcher)

Date

Signature

Researcher

Date

Signature

Copies: 1 for participant
 1 for researcher

An exploration of the effects of governance and identity on leader-member exchange (LMX) in the UK not-for-profit sector.

PARTICIPANT INFORMATION SHEET – INTERVIEWS (RQ1)

A research study is being conducted at Canterbury Christ Church University (CCCU) by Rachel Davey.

Background

This PhD level research project aims to explore relationships between governance, identity and leader-member exchange in the UK not-for-profit sector. It involves exploring the characteristics of governance, leaders, as well as the networks and inter-relationships between leaders and followers. As demonstrated through the theories of leader-member exchange (LMX) and social identity. Ultimately, this research will lead to the development of a unique framework to aid understanding around the complexity of governing and leading third sector organisations in the 21st century.

What will you be required to do?

Participants in this study will be required to participate in semi-structured interviews.

To participate in this research you must:

- Hold or have held a senior position in a not-for-profit organisation (within the last five years); and/or
- Be an elected Chair, trustee, or other board official of a not-for-profit organisation.

Feedback

Participants will be provided with a transcript of the interviews for verification.

Confidentiality

All data and personal information will be stored securely within CCCU premises in accordance with the Data Protection Act 1998 and the University's own data protection requirements. Data can only be accessed by Rachel Davey and Dr Colm Fearon (Supervisor). After completion of the study, all data will be made anonymous (i.e. all personal information associated with the data will be removed).

Dissemination of results

The results of the study will form part of the final PhD thesis. The final version of which will be available from Canterbury Christ Church University library or the British

Library. Content derived from the study may also be used in whole or in part to form a submission for academic publication(s).

Deciding whether to participate

If you have any questions or concerns about the nature, procedures or requirements for participation do not hesitate to contact me. Should you decide to participate, you will be free to withdraw at any time without having to give a reason.

Any questions?

Please contact XXXXX. Thank you.

Appendix C

Email Invitation to Participate

Dear

I hope this email finds you well. I am currently in my second year at Canterbury Christ Church University undertaking research into leadership and governance in the third sector. As such I was wondering whether you would be interested in getting involved?

At this stage it would be great if it were possible to interview you? Our discussions would be audio recorded and last between 30-45 minutes. I know this is a large amount of time to find in a very busy schedule. If this is something you would be happy to do please let me know. This is the only commitment at this stage.

Following this I would be very keen to keep you informed as the research progresses to see if there are any synergies and findings that would be of benefit to you your organisation. Participation is voluntary and you can of course withdraw at any point.

I am very happy to send through further information.

I do hope this will be of interest and I look forward to hearing from you soon.

With warmest regards,

Rachel Davey

PhD Researcher

Appendix D

i) Descriptions of Organisations and Participants – Case Studies and Semi-Structured Interviews

Please note some information has been withheld due to the General Data Protection Regulations (2018).

Organisation Number	Description of Organisation	Organisation Type	Participant Number	Role Descriptions
One (Case Study)	<p>This organisation is a multi-million pound organisation with more than 1300 staff and more than 250 volunteers. Unlike some other social enterprises, staff members have an opportunity to become co-owners as shareholders, with more than 75% of staff already taking up this opportunity. They, alongside patients are also closely involved in designing the services it provides.</p> <p>Since its inception being a social organisation means that any yearly surpluses that are made are reinvested back into the community. Success is part of the culture with local and national recognition schemes in place. It holds an annual awards celebration and it also enters a number of other award schemes.</p> <p>In terms of governance its board is responsible for providing a <i>'strategic overview and assurance to the organisation'</i> and is made up of both executive (5) and non-executive (5) members. Other key members</p>	Social Enterprise: Community Interest Company (CIC)	<p>Four</p> <p>Eleven</p> <p>Twelve</p> <p>Thirteen</p>	<p>Director: Has experience of working for voluntary organisations and being a trustee.</p> <p>Associate Director: Experience of strategic planning and developing relationships with other organisations. More than twenty years' experience of working in the healthcare sector.</p> <p>Associate Director: Many years' service within the healthcare sector. Now responsible for oversight of a division within the organisation.</p> <p>Associate Director (Interim): Previous commercial experience in the private sector before joining the NHS. Moved into management</p>

	of staff who head up various departments also attend board meetings. Those appointed to the board have a diverse range of skills, interests and experiences in public sector (NHS), private business and health-care settings as well as experience of other boards such as that of school governor.			about 10 years ago.
Two	<p>This registered charity has been established for more than twenty years and provides a range of charitable services in the region. With more than 40 members of staff its work is predominantly contracted by local or national agencies.</p> <p>Its CEO has been in place since the organisation's inauguration, with the new position of Deputy CEO appointed from within the ranks in the last couple of years.</p> <p>Its board consists of 5 trustees who have a mix of different backgrounds and interests whether this be from a related public sector organisation (local police force or NHS organisation) or private sector organisation.</p>	Charity	One Six	<p>Chief Executive: Responsible for the day to day running of the organisation, including reporting to the board. More than twenty years' experience of leading charitable organisations.</p> <p>Deputy Chief Executive (previously in a Director role): Responsible for management of senior leadership team and other departments across multiple sites. Experience of working in the third sector as a volunteer.</p>
Three	This registered charity was established more than twenty years ago by a number of churches with aims of supporting those living and needing assistance in a Kent town. Its focus since then has been on upskilling its voluntary workforce whilst delivering	Charity	Nine	Chief Executive: Innovator with more than twenty years' experience of establishing charitable organisations in the UK and overseas. Role is primarily about

	<p>employability skills training or others such as IT skills and first aid. It also provides a wealth of advice on things from finance to housing.</p> <p>Additional activities include the running of a foodbank and a local network of charity shops. Funding for its vision and mission comes through a mixture of local authority grants, contracts, its shops and other fundraising initiatives such as community fun days. Its board consists of 5 members, 3 of which are the leaders of the local churches who established the charity. The other two have background experience in accountancy (company secretarial work) and project management.</p>			identifying local needs and adapting services to provide for community needs.
Four	This registered charity was established more than thirty years ago and provides a range of services such as training and office space for the voluntary and community sector in Kent. It also provides a hub of expertise by bringing together leaders of most voluntary and community organisations in the area.	Charity	Three Seven	<p>Chief Executive: New to the role, but with prior experience in the organisation.</p> <p>Chair of the Board of Trustees: Experience in the position of chair for a number of years, but is also chair for another voluntary organisation in the region.</p>
Five	This small community interest faith based organisation was founded to support underprivileged children and young people in one of the most disadvantaged communities in a Kent town. It was funded predominantly through fundraising and grants	Charity Incorporated Organisation (CIO)	Eight	Chair of the Board of Trustees: No previous experience of being a chair of the board until this role. However, they have been a trustee and volunteered for a few charitable

	<p>from agencies and organisations such as Children in Need. There were 3 employees, who acted as the project managers ensuring contractual obligations were met to grant funders.</p> <p>It also relied heavily on the role of volunteers to help at its main location. Originally a registered charity the governance arrangements changed to a CIO in 2015. However, trustees decided to liquidate the organisation in late 2016. Unfortunately, this meant some employees of the organisation were made redundant as at 31 March 2017.</p>			organisations over the years.
Six	<p>This registered charity (also a registered company) is responsible for a wide range of support services in and across a number of towns in Kent. Its current form emerged through the amalgamation of a number of different organisations in 2010, before becoming a partner to the umbrella organisation in 2012.</p> <p>Currently, the board is served by 6 trustees who serve for a period of three years before they are up for re-election. Funding for its services comes from a range of sources. By 2014 there were 105 employees as well as volunteers supporting the aims of the organisation.</p>	Charity and Registered Company	Two	Chief Executive: First full time role as a Chief Executive. However, they have previous interim chief executive experience working in the charity sector. This is alongside other managerial experience at director level.
Seven	<p>This registered charity was founded eighty years ago and was based in London. Until its closure in March 2017 it provided international development support to</p>	Charity	Ten	Chief Executive: Vast leadership experience including other senior leadership roles in the charity sector.

	<p>underdeveloped countries as well as a number of voluntary opportunities for young people overseas. Its closure was brought about by its inability to remedy a shortfall in funding, with major government funded contracts coming to an end towards the end of December 2016.</p> <p>Prior to its closure there were 4 senior members of staff in the management team, in addition to 10 trustees with a variety of faith based, public and private sector experiences. Whether this was through: a career in law; accountancy; advocacy; social research; programme management; marketing; medicine; economic development; or gender equality.</p>			
Eight	Not Applicable	Charity	Five	Collaborative Entrepreneur/Trustee: Background in overseas voluntary work, as well as working in national government. Previous Chief Executive of a national charitable representative organisation but now acts as an advisor to those wishing to establish charitable organisations.
Nine	<p>This third sector organisation has been established since the late Victorian era. Its focus is on community activities. Income is generated from its members as well as the hiring of facilities to external parties.</p> <p>Currently, the organisation has 1 full time and 3 part-</p>	Charity Incorporated Organisation (CIO)	Fourteen	Senior Leader/Trustee: Has held this senior leadership position for a number of years, but has previously worked in public services, before a call to a change of career direction. Has been a trustee for this

	time employees. Its trustees are appointed by the membership for various time periods, but trying to appoint suitable people has become challenging.		Twenty-One	organisation and a few other charitable organisations over time. Trustee: Has been a senior leader within this organisation for many years, as well as previous experience as being a school governor and voluntary work (trustee positions) in a number of other charitable organisations.
Ten (Case Study)	This organisation is a volunteer run registered charity which exists to provide activities and support to a network of local groups. Although a charity in its own right it also forms part of a complex governance arrangement for its umbrella organisation, although its finances are managed and ring-fenced for use at the local level.	Charity	Fifteen Sixteen Seventeen Eighteen	Trustee: Has been a trustee for the organisation for many years. Now retired after working in various roles across the private and public sectors. Trustee: Has been a trustee for the organisation for many years but has worked in a practical vocational role prior to this. Now retired they continue to volunteer for the organisation. Trustee: New trustee and has only been in position for just over the year. Trustee: Has been a trustee for five years but been involved in the wider organisation for many more years at

			Nineteen	the local level. Trustee: Has been a trustee for six years.
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ii) **Descriptions of Organisations and Participants – Focus Group**

Organisation Number	Description of Organisation	Organisation Type	Participant Number	Position
Eleven	Provides advice, guidance and support to young people across the South of England. This includes employment skills. Has a relatively large trustee board (11 members).	Charity	Focus Group – One	Interim Chief Executive
Twelve	Established more than thirty years ago this organisation based in Kent provides support to those in the county wishing to explore what being a social enterprise is all about. This includes working with partner agencies in providing education and training opportunities.	Social Enterprise – Community Interest Company	Focus Group - Two	Chief Executive
Thirteen	Provides support and funding to a wide variety of community projects in the region. Predominantly, in supporting people back into work or community activities.	Charity	Focus Group – Three	Manager
Fourteen	Works with schools and other training providers on a wide range of community projects with a specific focus on arts and culture in the region. They also provide a consultancy, artistic space and a community	Social Enterprise – Community Interest	Focus Group – Four	Chief Executive

	café.	Company (CIC)		
Fifteen	Production company based in Kent.	Social Enterprise – registered company	Focus Group – Five	Director
Sixteen	A maker and provider of materials in the fabric industry. They also provide education and training facilities, particularly for the unemployed.	Social Enterprise – Community Interest Company (CIC)	Focus Group – Six	Manager
Seventeen	This organisation is a champion of community energy provision. Its aim is to provide access to renewable energy programmes and advice and guidance. This is to ensure vulnerable people get access to appropriate information when it comes to choosing their energy suppliers. Management consultancy is also provided.	Social Enterprise – Community Interest Company	Focus Group – Seven	Chief Executive
Eighteen	Provides support to vulnerable children and adults via assisted living, adoption and fostering services as well as education and training opportunities.	Charity	Focus Group – Eight	Manager

Appendix E

Semi-Structured Interview Schedule

PhD Interviews – CONFIDENTIAL – RESTRICTED CIRCULATION – Notes

Many thanks for agreeing to participate in this important research. Before we start the interview process I need to make sure you are still happy to continue by completing a participant consent form. The interview will be recorded, and you will be able to review the transcript in the coming days to verify that you are happy. The interview should last approximately 45 minutes. There are 13 main questions, if you don't feel able to answer any of them please just say so and I'll move on. If you wish to remain anonymous for any question please also let me know. During the interview I will be taking notes, please don't let this distract you.

Are you ready to start?

Interview Questions

About you

1. Please can you outline your current role?
2. What previous experience do you have in leading others/organisations?
3. How would you describe your leadership style? (*look for characteristics/attributes/identity – who are they?*)
4. How would others describe your leadership style?

Leading teams

5. How do you engage with members of your team (this can include volunteers)? – *probe how they engage...*
6. How would you describe your relationship with any direct reports? Do any stand out?

Leading the organisation

7. Please can you describe the values of your organisation.
8. Does your company offer reward/incentive programmes?
9. Are you involved in leading any externally funded projects?

10. Have you noticed any differences in how you lead/manage these compared to internal operations? – *probe project management requirements, issues about leading networks, cultures and stakeholder engagement.*
11. Describe the relationship between you and your board? *Probe engagement issues/lines of reporting/structure/bureaucracy*
12. Has this impacted on your effectiveness as a leader?

Now onto the last question

13. What does leadership in the third sector look like and what future challenges does the sector face? *Probe as relevant funding, changing regulations/codes, public/private sector partnerships, government policy etc.*

Additional info – organigram for organisation/teams

Many thanks for taking time out of your busy schedule to assist in this research it is much appreciated. As I said previously I will send you the transcript to review in the coming days.

Do you have any questions you would like to ask me?

Appendix F

Thematic Analysis Protocol

This appendix provides further detail regarding the approach to data analysis within this qualitative-interpretivist study. It outlines what thematic analysis is, how themes are identified and understood, as well as the process of interpreting the data set used in my study.

What is Thematic Analysis?

'Thematic analysis is a method for identifying, analysing and reporting (themes) within data' Braun and Clarke (2006, p. 79)

Thematic analysis is a widely used method in the social sciences as it *'offers an accessible and theoretically flexible approach to analysing qualitative data'* (Braun and Clarke, 2006, p. 77; King, 2004). Although, Holloway and Todres (2003) suggest that flexibility can lead to incoherence when developing themes arising from the data set. This is compounded by a lack of specific guidelines for using thematic analysis (see Boyatzis, 1998). Choosing this approach, Braun and Clarke (2006) argue, is appropriate for an [interpretivist-social] constructionist paradigm as it enables complex data to be captured in a meaningful and detailed manner. In addition, it allows the examination of *'the ways in which events, realities, meanings and experiences... are the effects of a range of discourses operating within society'* (Braun and Clarke, 2006, p. 81; Burr, 1995).

Specifying how the data analysis was carried out is essential in qualitative research as this enables others to understand and evaluate and compare it (or synthesise it) to other studies. Without this information it is likely to inhibit future research in similar areas (Braun and Clarke, 2006, p. 80; Attride-Stirling, 2001).

Furthermore, in considering the role of the researcher in thematic analysis, Ely *et al* (1997, p. 205) state that it is important to identify the *'active'* role researchers play in identifying themes and patterns and that researchers will already have some inclination

to these themes before the analysis takes shape. These are based on the researchers own values and theoretical understandings (Braun and Clarke, 2006, p. 80). (My notes on the role of reflection and reflexivity in my research are noted in Chapters 5 and 8.)

The next section addresses the importance of identifying appropriate patterns and themes in the data set. It will also address the phases of thematic data analysis used in this study.

Identifying Themes

When searching across and interpreting the data set, understanding how themes emerge and can be identified is a vital component of thematic data analysis. Likewise, how patterns and themes can be coded is very much based on researcher judgements. However, the most important aspect is whether the theme is able to articulate a response to the research question:

‘A theme captures something important about the data in relation to the research question, and represents some level of patterned response or meaning within the data set’ (Braun and Clarke, 2006, p. 82).

From an interpretivist-social constructionist perspective, the ability to identify themes and patterns in the data set is important as it enables the researcher to theorise the significance of any emerging themes to the wider literature, and provide advice on any implications arising as a result of the findings (Patton, 1990). Indeed, emerging themes within this paradigm will:

‘...not seek to focus on motivation or individual psychologies, but instead seeks to theorize [sic] the socio-cultural contexts, and structural conditions that enable the individual accounts that are provided’ (Braun and Clarke, 2006, p. 85).

Phases of Thematic Analysis

For this study Braun and Clarke's (2006) approach to thematic analysis development was undertaken. This process is detailed in Table 8.

Table 8: Phases of Thematic Analysis (Adapted from Braun and Clarke, 2006, pp. 86-94)

Phase	Process
1) Data Familiarisation	Data is transcribed. Initial ideas are noted following a read through (and re-reads) of the data.
2) Code Generation	Data of interest is coded in a ' <i>systematic fashion</i> '. All data in relation to a 'code' is brought together.
3) Searching for Themes	All relevant codes are collated to align with potential themes.
4) Theme Review	A thematic map is produced which identifies themes in relation to coded extracts (Level 1) and the entire data set (Level 2).
5) Defining and Naming Themes	Themes are revisited and refined. Clearly defined names for each theme are identified.
6) Final Analysis and Reporting	Analysis is completed in relation to relevant research question(s) and literature.

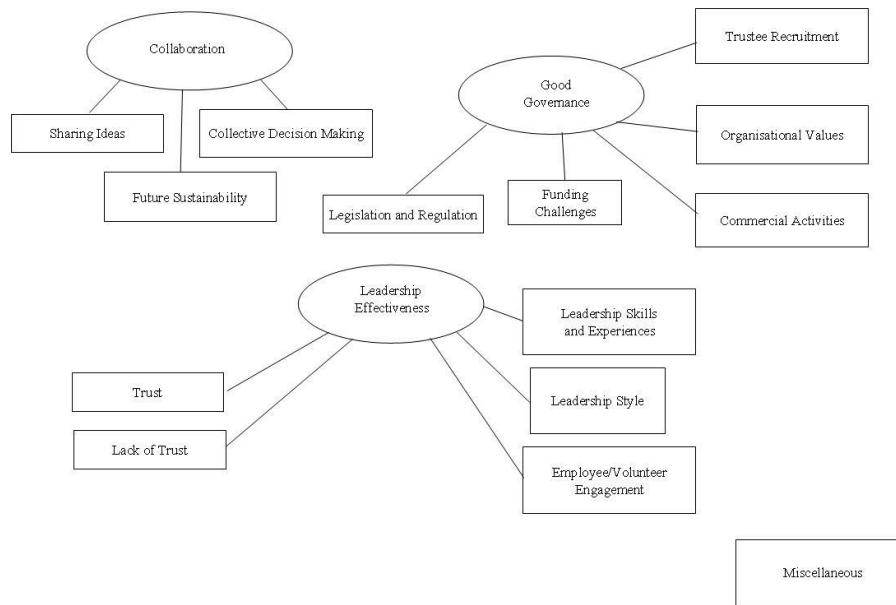
For Phase 1, as I was the researcher who carried out the research I was already familiar with the data from each of the participants. However, during this phase I needed to

become familiar with all the data so spent time becoming immersed in the content of each transcribed interview. This is important as an *'active'* approach to data analysis enables researchers to search for patterns and meanings from what has been said or purveyed by the participants on particular questions (Braun and Clarke, 2006, p. 87). In addition, transcription (as identified in Chapter 5) allows researchers to develop a *'true - verbatim account'* and become more familiar with the data (Riessman, 1993). It is a key part of qualitative-interpretative methodology (Braun and Clarke, 2006, p. 87; Bird, 2005, p. 227).

For Phase 2, an initial list of ideas was developed based on the transcribed data. The most interesting features were then coded. Boyatzis (1998, p. 63) describes a code as an *'...element, of the raw data or information that can be assessed in a meaningful way regarding the phenomenon'*. Nvivo 11 was used initially for the coding, but time-restricted licencing challenges offsite to the university campus meant a switch to a manual approach. Benefits to a manual approach include a more intuitive and unrestricted approach to the thematic data analysis as it is not confined to a particular approach by a software provider. Important features within the transcriptions were highlighted and colour-coded to indicate potential patterns. Although care was taken to ensure that all relevant data was captured for the codes it is possible that some appropriate data may have laid un-coded or unassigned at this stage of the process.

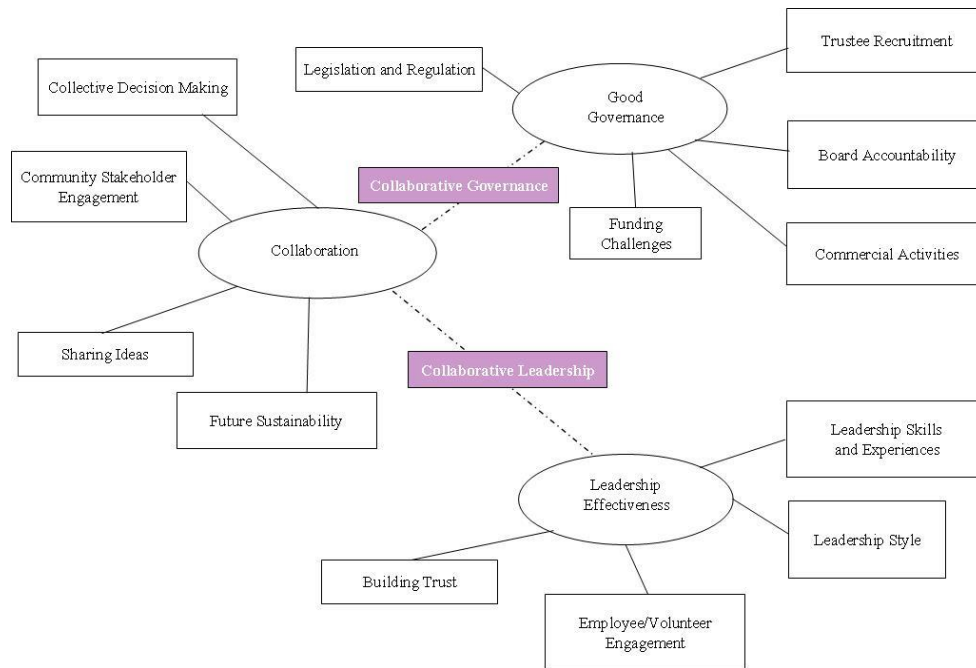
Within Phase 3, a list of all identified codes was produced based on all the transcribed interviews. This list was then reviewed to help identify any potential themes. At this point some of the codes were identified as very similar so were merged together. I achieved this by producing a mind-map which helped to identify relationships between codes (see Figure 16). A set of inter-weaving and inter-connected themes and sub-themes thus began to emerge.

Figure 16: Initial Thematic Map



For Phase 4 it became apparent that a number of the coded data extracts were not relevant to underpinning the research question and related propositions. Other areas I had originally placed under ‘*miscellaneous*’ were revisited and new codes identified. This included ‘*community stakeholder engagement*’ and ‘*board accountability*’. A new mind map was produced which took account of these new codes (see Figure 17). At the same time, it became apparent that inter-connections between the identified themes could also be identified. These ‘*meta-themes*’ could be identified as ‘*collaborative governance*’ and ‘*collaborative leadership*’. At this stage it was important to recognise that coding could be endless and numerous other themes might be able to be identified. Due to time constraints it was decided to stop re-coding once the overarching ‘*meta-themes*’ had been identified.

Figure 17: Updated Thematic Map



Within Phase 5 I identified what needed to be captured for each of the themes in relation to the coded data set. This was to ensure that the theme was not covering too many areas otherwise the data could become too complex and/or too diverse (Braun and Clarke, 2006, p. 92). Descriptions were then provided for each of the themes to aid the reporting process. Finally, for Phase 6 my overall findings from the thematic data analysis were then used to underpin my findings in Chapter 6, the discussion in Chapter 7 and finally the recommendations in Chapter 8.

Appendix G

Quantitative Surveys: Regional and National

In order to test the qualitative findings regarding characteristics of collaborative governance and leadership effectiveness in the third sector in the UK it is recommended that this continues into a Stage 2 – regional survey, and Stage 3 - national survey.

Ideally, for Stage 2 this should involve the adoption of a split level survey with third sector organisations across the South East region of the UK (encompassing Kent, Surrey and Sussex). As the qualitative findings are based on individuals from Kent and London this would enable comparison to be made on a regional basis. Once piloted and completed this could then be rolled out on a national scale (Stage 3). These stages of research should focus on testing the identified propositions from the qualitative research and use these to develop related hypothesis in the form of an empirical model. This will need to be extrapolated from the qualitative research, alongside new and existing theoretical and empirical research.

Within my initial qualitative study a limited perspective of intra- and inter-organisational collaborative governance and leadership effectiveness for the third sector in the UK has been obtained. Any future research should perhaps consider wider determinants and subsets of intra and inter-organisational collaborative governance coverage including elements which underpin good governance including: power, control and influence (stakeholder engagement and management); board composition, skills and experience (strategic management and finance); board performance (board effectiveness, and organisational effectiveness). The importance of mutual reciprocity and trust to collaborative leadership would also be beneficial to investigate in more detail to try and establish if it has any moderating or mediating effects between the elements of good governance.

This would enable this initial exploratory piece of research to eventually form part of a longitudinal, broader multi-dimensional, multi-paradigm, mixed methods study. By

taking a multi-paradigm perspective this, Bower (2011, p. 539) suggests, will allow a researcher to ‘*gain a more comprehensive understanding of the research question(s)...*’

Johnson *et al* in Harrison III (2007, p. 2153) defines this form of research as:

‘The type of research in which a researcher or team of researchers combines elements of qualitative and quantitative research approaches...for the broad purpose of breadth and depth of understanding and corroboration.’

Mixed method studies are also becoming of increasing importance to organisational research (Lee, 1991) particularly those regarding leadership (Stentz *et al*, 2012). Yet it still remains scarce in the study of business (Harrison III, 2013, p. 2153).

In reality, this will mean ensuring and double-checking that the meanings are clear across both the qualitative-interpretivist and positivist research so it can be a ‘*point of comparison*’. A second test will be able to demonstrate that this has been successful. Lee (1991) argues that this will enable a researcher to ‘*cross-check*’ and ‘*strengthen each other*’, counter-balancing the ontological arguments of previous ‘*purist*’ approaches to scientific enquiry and research. ‘*Far from being mutually exclusive and irreconcilable [they] may be utilized [sic] as mutually supportive and reinforcing steps in organizational [sic] research*’ (p. 354). Although, he is eager to point out that a researcher may choose not to utilise all aspects of the framework (p. 355); it just attempts to legitimise the ‘*integration and collaboration between the two paradigms*’.

Future Research: Questionnaire Design and Development

A web based survey instrument should be developed to encapsulate theoretical and empirical assumptions regarding relationships between intra- and inter-organisational effectiveness and leadership effectiveness. Timing of the survey will be important to ensure that it does not coincide with other major surveys into the sector, although recognising it is not always possible to know this in advance. Survey fatigue needs to be considered as key personnel in charitable and social enterprise organisations potentially have limited availability to get involved in peripheral and non-essential activities which could account for any low response rate. Survey fatigue is not a new phenomenon, with

key authors highlighting potential challenges with increasing use of survey based research more than thirty years ago (for example Steeh, 1981; Laurie *et al*, 1999). With a shift from paper-based, panel surveys to web-surveys little research exists on the impact of web survey fatigue on response rates (Porter *et al*, 2004); with below 20% response rate not being uncommon for students (Van Mol, 2017), although Nair *et al* (2008, p. 226) refer to an Australian university suggestion that below 10% can be considered trustworthy if the responses are of good quality. Future web based surveys should be intuitive and have timely reminders that prompt potential respondents to complete surveys within a given time-frame, and seek to gather feedback on the length/duration of the survey to help prevent survey fatigue.

In appropriate circumstances it has been known for web-appropriate incentives to be used to help improve response rates (Goritz, 2006, p. 59). Although, Goritz (2006, p. 60) recognises that this may not appeal to those potential respondents who are more '*intrinsically motivated*' (Deci, 1971) and this may influence the outcome of the study.

In terms of contact details, it is important to recognise the boundaries of General Data Protection Regulations that came into force in the UK in May 2018. Although, there are less restrictions on data use for research purposes it is possible that some contacts may be using personal details for any charitable or voluntary work they are involved in. The Charity Commission has a beta website which publishes all details of UK based charitable organisations with income over £5k. Social Enterprise UK also has a website which lists all member organisations and contact details. Both these websites could be used to collate a database of contacts for Kent, Surrey and Sussex. Although this exercise would be more extensive for the application of a national survey at Stage 3.

A cleansing exercise would need to take place to ensure the organisations were valid and still operational. Once the survey was circulated any bounce-backs received would need to be deducted from the survey circulation totals. Other challenges likely to be encountered include: instances where a number of the contact details provided by the Charity Commission may be generic; emails may be filtered by staff so do not reach their intended recipients; a number of email providers now include sophisticated spam filters so it is possible that emails never reach their intended destination as they were designated as 'spam'; a number of the email addresses may be personal accounts (as

already mentioned) and may not be monitored on a regular basis. It is also possible that the dataset may contain duplicated entries where individuals may be a key contact for more than one charitable or social enterprise organisation. There may be some confusion when completing the survey about what organisation they were representing.

Charitable and social enterprise organisations across the South East UK vary in size, scope and financial acumen. There is not a one size fits all approach to tackling social challenges. As such, the survey may reach potential respondents that do not feel that they are able to respond to the survey based on their current organisational set-up. Some of the questions may not be relevant and they may close the survey. It is not always possible to review where potential respondents left the survey as only full survey responses may be captured.

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