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BECOMING A CEO: AN EXPLORATION OF THE THEORY AND PRACTICE OF EFFECTIVE ORGANISATIONAL LEADERSHIP

BY

NIALL O'KEEFFE M.B.A.

A PORTFOLIO OF EXPLORATION SUBMITTED IN FULFILLMENT OF THE REQUIREMENTS OF THE EXAMINATION FOR THE:

DBA (BUSINESS ECONOMICS) DEGREE OF THE NATIONAL UNIVERSITY OF IRELAND

UNIVERSITY COLLEGE CORK

SCHOOL OF ECONOMICS

HEAD OF SCHOOL: PROFESSOR CONNELL FANNING

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OCTOBER 2012

DECLARATION:

I certify that the work presented in this thesis is, to the best of my knowledge and belief, original, except as acknowledged in the text, and that the material has not been submitted, either in whole or in part, for a degree at this or any other University.

ABSTRACT:

This Thesis is an exploration of potential enhancement in effectiveness, personally, professionally and organisationally through the use of Theory as an Apparatus of Thought. Enhanced effectiveness was sought by the practitioner (Subject), while in transition to becoming Chief Executive of his organization.

The introduction outlines the content and the structure of the University College Cork DBA.

Essay One outlines what Theory is, what Adult Mental Development is and an exploration of Theories held in the Authors past professional practice. Immunity to change is also reflected on.

Essay Two looks at the construct of the key Theories used in the Thesis. Prof. Robert Kegan's Theory of Adult Mental Development was used to aid the generation of insight. The other key Theories used were The Theory of The Business, Theory of the Co-operative and a Theory of Organisational Leadership.

Essay Three explores the application of the key Theories in a professional setting.

The findings of the Thesis were that the subject was capable of managing increased environmental complexity and uncertainty by using Theory as an Apparatus of Thought, which in turn enhanced personal, professional and organisational effectiveness. This was achieved by becoming more aware of the Theories held by the practitioner, the experiences from the application of those Theories, which then led to greater insight.

The author also found that a detailed understanding of the Theory of the Business and a Theory of Leadership would support any new CEO in the challenging early part of their tenure.

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My participation in the DBA programme would not be possible without the support, advice and ingenuity of many people. Without the dedication of Dr. Eleanor Doyle, Professor Connell Fanning and Dr. Jim Walsh the DBA in University College Cork would not exist.

Professor Robert Kegan, whose Theory of Adult Mental Development has been at the heart of this exploration into enhancing effectiveness has inspired us all through his insight, dedication and desire to educate. Prof. Kegan by participating in workshops with us has shared his ideas in a supportive, kind, patient and humourous manner.

Barbara Rappaport through timely and experienced practitioner based interventions has brought added clarity to the process.

Without the openness, honesty and trust of my learning community I would not have had the opportunity to err and learn, in particular, Richie Heffernan, Mark Nolan, Brian O'Mahony, Philip Hennessy, Assumpta O'Kane, Pearse O'Donovan, Tom McCarthy and Vincent Hunt.

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I am inspired by the hard work and successes of my sister Maria, her entrepreneurial husband Vincent and their extremely talented and successful children Jack (600 point scholar) and Grace, talented and qualified well beyond her 18 years.

Finally, I would like to extend my gratitude to my colleagues in NABCO, I won't name all 52 but I would like to acknowledge the learning and support they have given me. The Board of NABCO has been hugely supportive in this developmental process, including financially. President, Declan Hudson and

Vice-President Sean Dyas have gone very much beyond their voluntary call of duty to ensure that I have had the resources required to participate in this programme and had the best possible support personally, professionally and organisationally.

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INTRODUCTION

The aim of this introduction is to give, you the reader, an understanding of:

- Why I have participated in the Doctorate in Business Administration (Business Economics) programme,
- How the Portfolio Of Explorations (PoE) is structured,
  And
- An outline of the content contained in each element of the PoE and how together, the contents deliver on my goals in undertaking the programme.

For many years I have been involved in the arts, music and film in particular and would loved to have made a living in that sector. This Portfolio of Explorations started out with the title: *The Economics of Digital Arts,* which I intended to use to develop expertise I hoped would lead to a dramatic career shift. A dramatic career change did happen, but not in a way that I would have envisaged, by being appointed Chief Executive of my organization. One year into the DBA programme while some of the core questions remained the same, the title changed. This PoE has been written during my transition from Executive Director to Chief Executive Officer (CEO) and I believe it will be of particular benefit to anyone who is making a similar career change regardless of the industry. The true uniqueness of this PoE is the awareness of the author, while becoming a CEO, of the use of theory as an apparatus of thought. This document will provide a unique insight of transition into the ultimate organisational role whilst using theory.

On Friday, March 27th, 2009, I graduated from University College Cork (UCC) with an MBA. On the following Monday, March 30th, I attended my first workshop of the DBA at UCC, the first programme of its kind in Ireland. This Portfolio of Explorations (PoE) contains my observations, reflections and learning on my personal, professional and organisational journey prior to the DBA and, more importantly, during the 3 years that followed.

The title I have chosen and the themes/topics incorporated in this Portfolio of Explorations relate to three core questions of tremendous importance to me:

1) Can I develop my awareness in the use of theory as an apparatus of thought?
2) How, assuming it is possible, can I enhance my Adult Mental Development?

and,

3) In doing 1) and 2), what do I do to become more effective in my professional practice?

All three questions, while seeking different outcomes are interdependent. This Portfolio of Explorations catalogues my reasons, approach, experimentation and outcomes while seeking answers to these questions.

This PoE Introduction provides an outline of:

- Why I participated in the DBA,
- The changes that have come about for me in my Personal, Professional and Organisational life since beginning the DBA.
- What a PoE is and how it is structured.
- How the PoE addresses my three core questions.

BEFORE THE BEGINNING! (A CONCISE VERSION OF MY JOURNEY TO THE DBA)

Some days stand out in our lives for particular reasons. I have vivid memories as a 15 year old of one September day in 1984. It was a meeting where my parents had been called to the school for my refusal to change a subject choice for my Leaving Certificate, the Irish State examinations. I always had an interest in creating and making gadgets and had chosen engineering as one of my subjects along with business. My career guidance teacher believed this was a poor combination and recommended I select engineering combined with a science subject instead. My parents understandably took the advice of the teacher and my beloved business subject was 'taken' from me. The goal remained to study business. I continued to be innovative but lacked confidence without formal business training, which I believed was the key or missing

ingredient for commercial success. At that time I believed that academic exposure to business tools would answer my questions.

In September 2006, Dr. Jim Walsh, informed me that I had been successful in my application to participate in the University College Cork, Executive MBA programme. The tools I learned during that two-year programme have been of enormous benefit personally and professionally. However, the real exciting breakthrough during the MBA, for me, was the introduction of the concept of Adult Mental Development and the specific theory of adult mental development developed by Prof. Robert Kegan (Kegans Theory of Adult Mental Development - KTAMD), which could potentially change how we actually think!

On the last day of my MBA Economics class, it was outlined by Prof. Fanning, how our exposure to the models of adult mental development had brought us symbolically to the edge of a cliff and it was up us if we wanted to 'jump' or not. I knew I needed to 'jump', and on the day before my 40th birthday I met with the course director of the DBA and began the process of my application to the programme.

The importance of my core portfolio questions were brought into sharp focus, midway through the DBA programme, when I was appointed to succeed my organisation's Chief Executive Officer (CEO) of 35 years.

My appointment brought about much uncertainty with intense levels of change personally, professionally and organisationally. Personally I was to move away from my wife and four children in Cork to live in Dublin, each Monday to Friday, until we decided what to do for the family. Professionally I was presented with an incredible opportunity but one in which I had no previous experience and organisationally I was to be only the second leader in nearly four decades of its existence while facing into arguably our most challenging period as 100% government funding to the sector had been recently removed.

Participation in the DBA programme has been logistically difficult due not only to my new geographic location but also the sheer volume and complexity of the challenges posed by my new role and the associated duties. Friends and colleagues asked why I needed to continue with the programme at the time.

According to some I had nothing to prove, I had achieved the 'top job', others suggested I place the process on hold until I had more time. The truth is my capacity to undertake all of these challenges effectively and make progress has, I believe, only been possible as a result of my continued participation in the DBA programme.

HOW CAN I ENHANCE MY ADULT MENTAL DEVELOPMENT?

Following my Leaving Certificate in 1986 I enrolled in Cork Institute of Technology (CIT), as it is now known, to participate in a course on Instrument Physics (Instrumentation). That summer I was fortunate to have some exposure to the instrumentation systems in Pfizer Pharmaceuticals. I enjoyed the technology and the science however when I attended College I found the syllabus and systems archaic and unreflective of industry. I disengaged from the course and failed to make it to second year. The whole episode was very unsettling and even humiliating. I enrolled in a Vocational School and studied computer programming. Then I studied electronics, computer maintenance and several other computer-related courses. I was employed by FÁS, Ireland's State Training Agency, as a Computer Instructor/Supervisor. I loved the role and particularly the exposure it gave me to the benefits of community and adult development.

My hunger for knowledge and courses continued. During the following 15 years I became almost a permanent fixture in University College Cork (UCC) completing two certificate courses, two diplomas and a Masters degree. I also completed courses in other colleges during this period and numerous technical courses. Each course has generally led to professional development, promotion and more highly paid employment and a continually expanding professional network. I strongly believed that further education was the key to professional success. With each course came more confidence and a constant feeling of being on the cusp of something great yet something still didn't feel right.

My sense was there had to be something more to personal and professional development beyond a constant stream of information download. My wife, Áine,

and I began exploring a range of speakers and thinkers in the area of personal development, some were good, all were interesting.

Following a favourable review in one of the national broadsheets I bought my first 'Self Help' book *The Success Principles* (2005). The author Jack Canfield, was creator of the *Chicken Soup for the Soul* series and a participant in the worldwide phenomenon The Secret. Mr. Canfield, a Harvard Graduate, has sold more than 112 million books in 40 different languages.

I followed the tools provided in "The Success Principles" and set targets for hitting '40'. One of the targets I set for myself was to complete a business Degree. As it happened, a number of weeks later I became aware the UCC Executive MBA. Business had always been of huge interest to me and since being diverted away from it during my school years I continued to harbour an ambition of leading or starting a business at some point but lacked the confidence without formal business education.

I had the opportunity to attend a workshop with Jack Canfield in Dublin in May 2008, which further fuelled my interest in exploring other writers in this genre of awareness creation and self help. Another speaker I went to hear is Dr. John De Martini, also a participant in The Secret. Dr. DeMartini speaks on many topics. The particular event I attended was on the issue of values. The lecture was both inspiring and challenging. The key message was, "when you live to your highest values you awaken your genius and find your purpose in life." My difficulty for a long time has been, not knowing what my purpose or ultimate goal is.

A number of other speakers of interest I have seen are Tony Buzan[1] and Eckhart Tolle.[2] Both had particular interest for me and I believe held views that were generally congruous with the DBA programme. Tony Buzan (12/10/2011) reflected through his mind-mapping tool the enhanced clarity and effectiveness through organised thought and using an apparatus of thought.

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[1] Author of *The Mind Map Book* (1993)

[2] Author of *The Power of Now* (2004) and *A New Earth* (2008)

Eckhart Tolle (20/10/2010) advised to "go beyond the self you've created, that little box, transcend yourself because the self we have created is extremely limited, it is a narrow path" which I believe reflects the goal of Prof. Kegans Theory of Adult Mental Development. Tolle also said "we have two purposes:

Primary: Conscious in what you do. Awakened.

Secondary: Become good at your career etc." Again I believe these views reflect the evolution from awareness to effectiveness.

Dr. Edward DeBono creator of the term 'lateral thinking' and author of *Six Thinking Hats* was a fascinating speaker on innovation. I was very fortunate to have dinner with Dr. DeBono and discuss the concept. DeBono an eminent academic raised the topic about purpose in life and aligned purpose with effectiveness. His self-coined term, operacy, is defined as effective thinking leading to effective action.

The DBA in UCC is the first academic programme, that I am aware of, aiming to support achievement of higher levels of effectiveness for the business practitioner through the process of Adult Mental Development.

The foundational theory used in the programme is the Theory of Adult Mental Development by Prof. Robert Kegan (KTAMD is used to denote Kegan's theory of adult mental development throughout the Portfolio). In my view, the best contemporary analogy for developmental change was provided by Kegan when he wrote, "True development is about transforming the operating system itself, not just increasing your fund of knowledge or your behavioral repertoire" (2009: 6). This describes the journey I wished to experience on the DBA programme. I have, through various means, developed my repertoire of tools to aid in the success of projects but I don't believe I have yet arrived at the right position for me. Over the three years of the DBA, I hoped to use adult mental development to enhance my effectiveness so that I can "grow into…future possibilities" (2009: 11).

HOW DO I BECOME MORE EFFECTIVE IN MY PROFESSIONAL PRACTICE?

"I think of six impossible things before breakfast", Alice, "That is an excellent practice", the mad hatter[3]" Lewis Carroll (1865). I have much in common with Alice! I have many entrepreneurial ideas, the most recent idea is always the best yet, and receives all my resources and attention while the previous best idea is 'parked'. In the end little gets completed satisfactorily in terms of the expected or potential rewards. Christopher Nolan in his 2010 movie 'Inception', focusing on the line between the creation and perception of our reality, describes the idea as "the most infectious virus of all". Once an idea has been sown, nothing can stop it from spreading and becoming all-consuming. In my experience, unless practical and objective appraisal is engaged, the idea while potentially positive can well be a liability as resources may be wasted in pursuing it.

During my MBA I received a matching fund grant from South & East Cork Area Development (SECAD) to launch a multi-media production company. While holding on to my day job my new company began to expand. I employed a number of people casually on contract and faced the very real prospect of my wife and I changing roles to work full-time in our business. My hope for my participation in the DBA was that my developmental goal along with research would lead to a major career shift. I have wanted to move from being an entrepreneurial spirit to a successful entrepreneur but as Drucker has said "Entrepreneurship is neither a science nor an art. It is a practice" (1985:10). So, why not just do it?

I have had concerns about my effectiveness and my hope has been that the DBA would uncover where the ineffectiveness lies. Effectiveness is critical to the success or failure of any professional endeavour. "Effectiveness reveals itself as crucial to:

- a man's self development; to
- organisation development; and to
- the fullfilment and viability of modern society" (Drucker 1966:138).

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[3] http://www.youtube.com/watch?v=YhzLsBpIj84&feature=player_embedded (June 2010)

While I have belief in my creative and innovative ability I have lacked the confidence and experience to just stop one professional career and move into another completely different sector. This may be perceived as simply being cautious but I do believe that when the conditions are right and the risk has been managed I will make the transition. I have begun the change process by endeavouring to equip myself with the skills and tools to be able to effectively manage and grow a business. "Entrepreneurship is 'risky' mainly because so few of the so-called entrepreneurs know what they are doing. They lack the methodology. They violate elementary and well-known rules" (Drucker 1985:44). I believe this quote highlights the reality that while many aspiring entrepreneurs have many strong skills they may also fail to use basic theory required to be effective in business management.

As a result of my educational and professional experience to date I have certain skills and experience but have believed I was not yet expert enough to achieve my goals. This deficit could potentially be overcome by increasing capacity, by developing the right team or a combination of both, only practice will tell. Drucker cites Edison as an example of someone with great ability "His real ambition, however, was to be a business builder and to become a tycoon. Yet he so totally mismanaged the business he started that he had to be removed from every one of them to save it" (1985:26).

The key for me is this, whichever decision in relation to my career I make in practice, (whether personally, professionally or organisationally) needs to be built on sound theory. I do not have an expectation of a solution to all questions from theory as it is "a method of thinking or form of logic, economic theory is not to be thought of as being descriptive" Fanning & O'Mahony (1998:21). I do, however, expect that the application of theory will lead to the right questions being asked and clarity in my decision-making process. Correctly used theory will bring a framework to how I view the world - my meaning making system. As Penrose says the "problem of entrepreneurial judgment involves more than a combination of 'imagination', 'good sense', 'self-confidence', and other personal qualities. It is closely related to the organization of information-gathering and consulting facilities within a firm, and it leads to the whole

question of the effects of risk and uncertainty on, and of the role of the expectations in, the growth of the firms" (1995 [1959]: 41). This extract, in my view, equates to the organisation of thought through the framework of theory. Managing uncertainty, as we all seek to do, may be more effectively achieved through viewing our world through the 'structure' or lens of theory.

Kegan cites William Perry's statement about the two most important things you want to know about people, "What do they really want? and what will they do to keep from getting it?" (2009:35), the latter is what is described in the adult mental development process as the 'competing commitment'. The challenge for me, as I see it, is to establish the precise competing commitment and assumptions evident in this portfolio, "until we understand the commitments that make obstructive behaviours at the same time brilliantly effective, we haven't correctly formulated the problem" Kegan (2009:39). The analogy frequently used in these developmental situations is that of someone with their foot on the accelerator whilst having another foot on the brake. They knew what they want and which direction they wish to head but they undermine the process, by having a competing commitment.

In order to eliminate my competing commitments and counteracting assumptions I wish to become expert in the practice of theory and to have the ability to see competing perspectives. I believe choosing between theories and in turn judgments would be more effective through the use of a comparative framework. A by-product of this would lead to becoming more skilled and precise in my vocabulary and clearer and more concise in my questioning of myself and others. However, "The evolution of human consciousness requires long preparation" Kegan (1994:352) and awaiting adult mental development to occur is not a cause to delay the transition I require, as Napolean Hill (1937) said, "start where you stand". In order to make the transition successful, I believe I need the following:

- Explicit clarity in my Professional and Organisational purposes
- The ability to choose and apply theory in a structured way.

WHAT IS A PORTFOLIO OF EXPLORATIONS (POE)?

"There are known knowns. These are things we know that we know. There are known unknowns. That is to say, there are things that we know we don't know. But there are also unknown unknowns. There are things we don't know we don't know" (Donald Rumsfeld, United States Secretary of Defense, 12th February, 2002). I believe Rumsfeld's quote captures the variables within the Portfolio of Explorations (PoE) very well. This PoE is a record of the DBA journey consisting of three stand alone Essays sandwiched between this Introduction and a Conclusion. Its purpose is to record and convey the developmental and incremental learning process in this DBA programme. There are things we 'know' about how we operate currently, there are things we know we don't know about how we operate as business practitioners that we can, and hope to surface during the process, and there are things we don't know we don't know.

The beginning of the DBA journey asks participants to look at how we have thought about things to date, the next step is to identify alternative views (theories) and the final step is to look at the exploration of the use of those new theories in a professional setting. The Portfolio of Explorations (PoE) Conclusion highlights the key learning in the process. Much learning however is to be gained long after the academic process has ended.

The DBA process tests the impact on my thinking as a result of using theory as an apparatus of thought, theory as a framework for looking at the world by surfacing and increasing awareness and through reflection. The aim of this PoE is to catalogue the development and testing of an enhanced capacity to cope with the increasing uncertainty and complexity in my life.

The structure of the remainder of this PoE is:

1. Essay 1. Personal Development Memoir (Known Knowns)
2. Essay 2. Building An Apparatus of Thought – Reading for Change (Known Unknowns)
3. Essay 3. Using Theory as an Apparatus of Thought in a Professional setting – Testing Phase (Unknown Unknowns)

4. Conclusion

1. Essay 1. Personal Development Review (PDR)

Our view of the world is guided by the way we think about it, our Meaning Making System (MMS). Through Kegan's theory, the goal is to achieve incremental adult mental development through increasing awareness of how we select and use theory, which should lead to greater capacity of dealing with uncertainty and enhance effectiveness in business world. In order to demonstrate some movement or change by the end of the programme, my previous and current meaning making needs to be reflected on. This is captured in the Professional Development Review (PDR) by using Kegan's Theory of Adult Mental Development (KTAMD) as a lens to identify existing or previously held theories. The method is required to study the self from experiences in order to be able to reflect on them as indicative of the MMS in action.

The employment of KTAMD and its associated tool, the four-column Immunity to Change Map (Kegan and Lahey, 2009) potentially creates the scope to highlight a developmental goal that, if achieved would have substantial benefit for professional practice.

The four-column map "helps us all to see not just how things are at the moment, but why they are this way, and what will actually need to change in order for us to help bring about any significant new results" Kegan & Lahey (2009: 32). The four-column map uses four key headings:

1. Commitment – my improvement goal, what do I want to achieve?
2. Doing or not doing - what behaviour/s do I have that work against my goals?
3. Hidden competing commitments – why do I persist with these negative behaviour/s?
4. Big assumptions – "(tenets in our mental models) that sustain the whole immune system?" (1994:58). They may be true or may not, but they must be questioned.

Rereading my professional development review submission in June, 2010, it became apparent that alignment of the 'head and the heart' was a key theme for me within my PDR. This is in keeping with Kegan's view that "Changing mindsets needs to involve the head and the heart" Kegan (1994:318).

Whilst I had set goals, I had yet to explicitly define personal, professional and organisational purpose, or as Drucker put it in his 1994 *Theory of the Business*, "what to do?"

Through the process of an on-going learning log used to inform my professional memoir it became apparent that I require to explicitly test my thinking in written and verbal form to untangle confusion and surface clarity. Many ideas appear great until written down and tested but even more importantly for me I have realised through the process that although an idea may be sound it does not mean that I should carry it forward to implementation.

Writing the Professional Development Review (PDR) was a very challenging process, as it required me to surface episodes from the past and to identify how I thought, to get at my meaning making system. Exclusive of the personal content within the process it was also challenging to engage in an exercise using unfamiliar techniques, namely using theory as an apparatus of thought.

As a result of the 'turmoil' generated through the process of the PDR I was probably at the 'passion' stage in the Keynes statement, "what I am primarily interested, in supplying is a sound and scientific way of thinking about our (my) essential problems. Before this way of thinking can be translated into practice it has to be mixed with politics and passion just like any other way of thinking" (Fanning & O'Mahony 1998:22).

In my view all of the above could be summarized by the Browne *et al* (2006) definition of critical thinking:

"1. awareness of a critical set of interrelated critical questions;

2. ability to ask and answer critical questions at appropriate times; and the

3. desire to actively use the critical questions" (2006: 2).

On this programme I am seeking to create awareness of an interrelated set of critical questions but must ask the right questions in the right order but this is unlikely to be effective without the questions being of significant importance to want to implement change.

2. Essay Two – Building An Apparatus of Thought (Reading for Change)

Having identified theories I use in my professional practice as elements of my Meaning Making System (MMS), in the Reading for Change Essay I explore how to expand my MMS with enhanced awareness of how theories are constructed.

During the first year in my new role I logged daily the type and frequency of issues where decision-making was required and the theories that I was using. I concluded that the vast majority of these decisions could be categorised under three general theories, namely:

a) Theory of the Co-operative,

b) Theory of the Business (Drucker 1994)

and,

c) Theory of Leadership.

In Essay Two, I explore the conceptual frameworks relating to these theories and develop my interpretation of the theories most influential in my professional practice.

3. Essay Three – Using Theory as an Apparatus of Thought in a Professional Setting (Testing Phase)

In Essay Three the general theories explored in Essay Two are used as an apparatus of thought and applied to various scenarios as a practitioner but also an observer of my professional life. This is once again possible using the framework of KTAMD.

This Essay demonstrates that my use of theory as an apparatus of thought not only impacted on my professional and organisational environment but also had an impact on how policy makers, Government Ministers, Government Departments, external organisations nationally and internationally viewed their effectiveness.

The structure of this essay follows the same format as Essay Two by providing examples of the use of theory as an apparatus of thought through focusing on the previously identified critical theories of, the Co-operative, the Business and Leadership.

4. Conclusion

I contend that the documentation of my transformational learning as a new CEO during this three year process is unique and potentially of value to any senior executive/CEO taking up post in any sector. The dramatic increase in the level of complexity and uncertainty in my professional life is a collection of variables that would challenge most. There are vast quantities of literature on Leadership, on being a CEO but relatively very little on being a new CEO.

The conclusion expands on my findings and reflection of using theory as an apparatus of thought in my practice. I outline my developmental goals and discuss immunities to change[4] that surfaced during the DBA programme. I outline my current developmental goals beyond the timeframe of the DBA and how I intend to continue this developmental process in future.

The conclusion also outlines my research findings in relation to the Theory and Practice of Effective Organisational Leadership as a new CEO.

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[4] "At the simplest level, any particular expression of the immunity change provides us with a picture of how we are systematically working against the very goal we genuinely want to achieve. But this dynamic equilibrium is preventing much more than progress on a single goal. It is maintaining a given place on the continuum of mental complexity. The immunity to change provides both an "outside" and "inside" perspective on what it means to say that the adult mind is a still developing organism" (Kegan and Lahey 2009: 47).

The DBA has been a challenging but hugely rewarding period for me. Rather than another set of tools I now have an understanding that will be capable of supporting me through the ever-increasing complexity and change in my personal, professional and organisational life. These pages are filled with an honest endeavour to be more effective through a process of adult mental development and I hope my Portfolio of Explorations will be helpful to others on their journey of becoming a CEO.

ESSAY ONE - PROFESSIONAL DEVELOPMENT REVIEW

June, 2010

"An Horizon and just the limit of our sight,

Lift us up, …that we may see further,"

Bishop Charles Brent[5]

INTRODUCTION:

The purpose of this Essay is to give the reader an understanding of the main concepts and tools used in this Portfolio of Explorations (POE) to enhance effectiveness through the use of Kegan's Theory of Adult Mental Development as an apparatus of thought.

This Essay has two main sections:

Section One provides:

a) An explanation of what theory is,

b) An explanation of how Theory can enhance effectiveness,

And,

c) An explanation of Kegan's Theory of Adult Mental Development outlining its main concepts i.e. Orders of Consciousness and Immunity to Change. A workshop, by Prof. Kegan, which I attended, on overcoming immunity to change is also outlined.

Section Two consists of my Professional Development Review (PDR). The PDR contains:

1. Reflections of my Professional Career to Date

[5] Bishop Brent, (1862-1929), was an Episcopal Bishop who spent most of his working life in the Philippines. The quote is from one of his poems known as *The Ship* or alternatively *In Memory*.

A series of events in my professional career are reflected on and are examined by me using KTAMD as an Apparatus of Thought, with the intention of identifying, my meaning making system at that time.

2. The four-column map – Immunity to Change Map

I use the four-column map, created by Kegan & Lahey to help surface development goals and identify theories and behaviour that provide potential immunity to change.

3. Developmental Goal

The purpose of this section is to look at the commitment surfaced through the four-column map, as being the one goal if achieved would have the greatest impact on my effectiveness.

4. Conclusion

This was my conclusion at the time of writing the PDR in June 2010.

5. Post PDR Reflection (30th June, 2010)

This reflection document was written approximately two weeks after the PDR was undertaken. The PDR generated certain insights that were unexpected and challenging for my meaning making system and these are examined here.

1: THEORY AND KEGAN'S THEORY OF ADULT MENTAL DEVELOPMENT (KTAMD)

Use of theory, the basis of this Doctorate in Business Administration (DBA) programme, reflects Drucker's statement that 'every practice is based on theory, even if the practitioners themselves are unaware of it' (1985:40)

Since the purpose of this programme is to become more effective in increasingly complex professional practice through the use of theory as an apparatus of thought then we must first ask:

a) What is Theory?

b) How can Theory be used to enhance effectiveness?

c) What is Prof. Kegan's Theory of Adult Mental Development (KTAMD)?

The answers to these questions provide the foundation to the DBA and indeed this Portfolio of Explorations (POE).

A) WHAT IS THEORY?

Theory is defined as; a supposition or a system of ideas intended to explain something, especially one based on general principles independent of the thing to be explained.[6]

Theory is used in the DBA and my POE as an apparatus of thought, " a technique of thinking, which helps its possessor to draw correct conclusions" Fanning & O'Mahony (1998:19) Theory provides the framework of inquiry, an often-used quote during this DBA journey has been that of Collingwood, "…knowledge comes only by answering questions, and…must be the right questions and asked in the right order" (1939:22)

A Theory is a general answer to a question. A strategy of enquiry, a way of thinking out problems - theory is a process, not the content. Effectively applied a theory provides clarity, or as Drucker puts it, "Indeed, a valid theory that is clear, consistent and focused is extraordinarily powerful" (1994:3)

A working definition of Theory chosen for this paper is, "The purpose of Theory is to help us think in an orderly way but not to do our thinking for us…" Fanning & O'Mahony (1998:20) This definition echoes Machlup's (1952:440) statement that, "The question how two or more separately observed facts hang together, whether some may be causes or effects of others is tentatively answered by a mental scheme of interrelationships which we call theory".

I believe the sheer volume and complexity of the changes I have experienced personally, professionally and organisationally can only be disentangled and looked at clearly by using theory. The importance of this point is borne out by Zaccaro & Klimonski (2001: 7) "the complexity of the senior leader's operating environment requires considerable cognitive resources to build the frame of reference that provides the rationale for organizational strategy."

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[6] http://oxforddictionaries.com/definition/english/theory (23/10/2012)

According to Kegan, "The benefit of Theory, so long as it remains open to its own development, is that it keeps us honest in a way an uncritical eclecticism never can." Kegan (1982:295)

During the DBA, this portfolio and in professional practice I use a framework to examine each theory. This method provides clarity and consistency of process. I use a framework I was first made aware of during my MBA in 2007. Originally presented by Prof. C Fanning and Dr. E Doyle[7] to demonstrate Michael Porters Apparatus of Thought, a revised version of the framework was presented by the authors at a lecture series on Drucker in 2011. In this document I use a condensed version of the same framework to illustrate the components of the theories I wish to apply.

The framework assists my learning and understanding of Theory by using a series of questions to extrapolate the core concepts of each Theory. The framework is used on a number of occasions throughout the PoE to separate out the various concepts of my key theories, as I understand them, namely:

1. Kegan's Theory of Immunity to Change (p28)
2. A Theory of the Co-operative (p68)
3. The Theory of the Business (Drucker 1994) (p72)
4. A Theory of Leadership (p83)

Below is my interpretation of the Theory construct framework, which is used throughout this POE.

1. What question is author trying to answer (Issue Question)?

Depending on the Theory the author will have a general question.

2. What answer does author give?

As above, there may be singular or multiple responses dependent on the needs of the reader.

[7] A Contemporary Theory of Economic Development: Porter's Apparatus of Thought, April 2007.

3. Orienting Generalization:

This is where the author indicates a sense of their starting point in the reasoning through the theory.

4. Dynamic Principle:

The dynamic principle is the component of the theory, which drives or instigates the change process.

5. Model (Setting/Abstraction/Material for Theorising):

This is the area/field we are working in. It creates the abstract context for working in.

6. Given Variables:

These are the components, which are present during the application of the theory but not the focus of observation or central to the potential outcomes.

7. Dependent Variables:

These are the variable components that are the object of concern within the theory. What we are explaining. They are dependent on change in other components for an outcome.

8. Independent Variables:

These are the variables, which are classified as doing the explaining.

9. Main Concepts: (Concepts are tools for thinking with)

Theory is seen as a set of concepts, which are central to the explanation and the relationships between these concepts.

B) HOW CAN THEORY BE USED TO ENHANCE EFFECTIVENESS?

Kurt Lewin said, "…there is nothing so practical as a good theory" (1945). I hope to answer the questions I have in relation to effectiveness in my professional practice through the use of theory as an apparatus of thought. "Thinking requires that you use the appropriate tools", Boyer (1995:169) and the tools I

wish to use are theories. The use of Theory as an apparatus of thought provides a framework for how we think, our meaning making system (MMS). Being aware of the Theories we use and the component parts of a theory provides an awareness and insight that enhances effectiveness. Even if we do believe we know the theories we use, unless we understand the various components within them we are less likely to have the awareness required to use them effectively. I believe this is what Ryle meant when he said "Many people can talk sense with concepts but cannot talk sense about them; they know by practice how to operate with concepts, anyhow inside familiar fields but they cannot state the logical regulation governing their use. They are like people who know their way around their own parish, but cannot construct or read a map of it, much less a map of the region or continent in which their parish lies" (1949:9).

C) WHAT IS KEGAN'S THEORY OF ADULT MENTAL DEVELOPMENT?

Prof. Robert Kegan through his Theory of Adult Mental Development (KTAMD) has developed the theory and method used in this Portfolio of Explorations (POE) which supports the goal of enhanced effectiveness through the increased complexity of the meaning making system (MMS).

The aim of using KTAMD as part of the DBA process is to create the opportunity for the practitioner to observe their meaning making system (MMS), to see their 'self' with new eyes. This is achieved through the process of Subject-Object separation, whereby, "our way of knowing becomes more complex when it is able to look at what before it could only look through.., our way of knowing becomes more complex when we create a bigger system that incorporates and expands on our previous system. This means that if we want to increase mental complexity, we need to move aspects our meaning-making from subject to object" (2009:51). In other words to increase our mental complexity we use the subject-object process to move from what once had us to something we now have.

Kegan defines his Theory of Adult Mental Development (KTAMD) as "…a constructive developmental theory because it is concerned both with the construction, of an individual's understanding of reality and with the

development of that construction to more complex levels over time" Berger, Hasegawa, Hammerman & Kegan (2007: 1).

Kegan's goal is for people to develop "a new meaning making system that can transcend the limitations of the existing one". (2009:xii) An expanded or enhanced meaning making system is vital to facilitate the management of a more complex environment. "…the suggestion that a given individual may over time come to organize her experience according to a higher order principle suggests that we take as subject and what we take as object are not necessarily fixed for us. They are not permanent. They can change. In fact, transforming our epistemologies, liberating ourselves from that in which we are embedded, making what was subject into object so that we can 'have it' rather than 'be had' by it – this is the most powerful way I know to conceptualise the growth of the mind" Kegan (1994:34).

Kegan (Kegan interview Bachkirova 2009:14) describes the KTAMD as "…the development of the ability to take perspective on something which you were formally fused with, to make the invisible visible" and Erikson (2006:299) notes that Kegan's theory is "…after all, about the ways in which people construct their experience." But this is and will be a slow process that, if engaged with fully and correctly, will still take time and patience. As Kegan said, "We are not speaking of flipping a light switch. We are speaking of the evolution of mental complexity, of the gradual process of mental differentiation and reintegration, of *looking at* a way of making meaning we used to only *look through*, of shifting *subject to object*. (2009:317)"

Machlup, whilst not discussing AMD, but Economic Fact and Theory promotes the use of a ""conceptual framework" appropriate for the description, analysis and appraisal" in "pursuit of our problems" (1952: 439)

Adult Mental Development, to be achieved in this programme, using a constructive developmental process, is informed by theory. The complexity of the challenge can be aided by using conceptual frameworks. Again Machlup, "Can the subject perhaps be treated without any conceptual framework at all? Of course not." (1952:440) This point I believe links to Sowell when he says

that, "Reality is far too complex to be comprehended by any given mind" (1987: 13), we need to use an apparatus of thought to examine our meaning making system.

We need to increase our complexity to develop or as Kegan put it "The majority of us do not construct the world in the self-authoring way that is required to thrive in a modern world" (Kegan interview Bachkirova 2009:13).

Similar to the Drucker axiom[8] Srikumar says that "We all construct our own realities" (2006:53) but to apply an actual theory of the self to examine our meaning making system is a learned and learnable process, which the KTAMD can guide us through. Sowell (1987:14) explained that "Visions are the foundations on which theories are built" and these visions will be surfaced in our identification and examination of our meaning making systems. Sowell (1987:14) argues that "Well constructed theories have clear implications and can be tested and facts can contest their objective validity". Throughout the POE I intend to use conceptual framework, theories, to breakdown the complexity in each of the challenges the DBA provides, namely increased effectiveness in personal, professional and organizational life through adult mental development. This is an ongoing and challenging process requiring patience and persistence which Kegan acknowledges, "Like a person, a theory too will have blind spots, which it needs to overcome if it is going to develop, and not simply end in its first incarnation" (Kegan cited in Bachkirova 2009:12).

My first experience with Prof. Kegan was as participant in a workshop (Appendix 1.1) he delivered in 2008 during my MBA at UCC. I have had the good fortune to have twice participated in Prof. Kegan's workshop setting where he outlined his Theory of Adult Mental Development and discussed Immunity to Change (Kegan, *Immunity to Change*, 2009).

My understanding from the experience of the workshops and from reading Prof. Kegan's work is that mental development, the process of moving through

[8] Drucker wrote, "Every practice rests on theory, even if the practitioners themselves are unaware of it" (Drucker 1985:40)

mental orders of consciousness, is a developmental one achieved through 'Subject-Object' separation (Described above). The increasing insights that constitute more complex meaning making arise from increased awareness and reflection on our life experiences. Therefore, the outcome to be expected from the DBA will be governed by the quality of reflection. In Kegan's words, "Reflective thinking requires a mental "place" to stand apart from, or outside of, a durably created idea, thought, fact, or description" (1994:27) and as he says, requires a willingness to change: "To start and stay the course of doing genuinely developmental work, a person must really, really want to accomplish his or her … goal. It is almost never enough to have a goal that just "Makes sense", not even one with compelling, logical reasons behind it. Reasons can help fuel our motivation to change, but they aren't enough to help us cross the critical thresholds. Reasons tap into the "ought" and "should" realm of inner talk. We must experience sufficient need or desire, visceral feelings – which is why we say they come from the gut" Kegan (2009:210).

Kegan points out that insight, i.e. higher order consciousness/mental complexity, cannot be taught. However, the consciousness/awareness that leads to insight can be developed (Kegan, 1994:128) through developmental reflection on experiences. The DBA programme is designed as a framework for a series of developmental activities, including this memoir, to provide experience to building on awareness. The output of this series of development activities constitutes the Portfolio of Explorations.

In KTAMD the concept of Constructivism is described as making sense of and putting things together. In the context of the DBA it's about how we put things together and how this changes over time. Prof. Kegan defines developmentalism as making meaning, based on underlying principles.

Research[9] now shows how previously held assumptions regarding adult development were incorrect. It was thought that mental capacity was linked

[9] We discovered the possibility of life after adolescence! Despite the popular-and, at that time, even scientific-belief that our minds, like our bodies, don't get any "taller" after adolescence, we

with physical development and peaked in the mid 20's to 30's. Kegan's research shows that the Mental Complexity Pattern is shown to be age irrelevant. One cannot generalize on the relationship between physical advancement/development and mental complexity.

Kegan describes his research into human development and its classifications as epistemology, the study of the nature and limits of knowledge. The subject-object relationship is described as the "crux" of the matter. In an interview with Debold[10], Kegan says that the Subject-Object relationship "is a fundamental distinction in the way we make sense of our experience – a distinction that shapes our thinking, our feeling, our social relating, and our ways of relating to internal aspects of ourselves."

ORDERS OF CONSCIOUSNESS

The transformation from subject to object according to Kegan can be divided into five stages or orders of consciousness. The first two stages are pre-adolescent. The later three, which tend to be post adolescent, are described here. Under the heading of Mental Complexity and Performance, Kegan poins out that each successive level of mental complexity "is formally higher than the preceding one because it can perform the mental functions of the prior level as well as additional functions" (2009:21)

THE SOCIALISED MIND (THIRD ORDER)

If this is how we view the world, Kegan believes that "what I think to send will be strongly influenced by what I believe others want to hear" (2009:17). The socialized Third Order is where people "can coordinate several points of view within a sense of their own role within a social structure" Kegan (1994:PN).

Kegan says the socialised mind send frameworks, are aligned to teams/silos and are hierarchal. They receive, are subservient, accept the documented and are literal. Kegan also says, however, in relation to communication that the

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found that some of our adult research subjects were able to evolve whole patterns of increasingly complex and agile ways of apprehending the world" Kegan (2009: x)

[10] http://www.enlightennext.org/magazine/j22/kegan.asp?page=1 (23/10/2012)

socialised mind may often pick up "imagined subtext that may have more impact on the receiver than the intended message. This is often astonishing and dismaying to leaders who cannot understand how subordinates could possibly have, "made *that* sense out of *this*" communication" (2009:18)

THE SELF-AUTHORING MIND (FOURTH ORDER)

Those with the "self-authoring" mind can identify different internal emotions and conflicting roles and the expectation others have placed on them. Individuals at the self-authoring stage are described as having more passion, being more engaging and more objective.

THE SELF-TRANSFORMING MIND (FIFTH ORDER)

This order, if reached, tends to be in mid-life. This order is where contradiction and paradox can be embraced. Kegan (2009) has described Fifth Order people as "self-transforming" and stated that this order of consciousness is not commonly achieved. The self-transforming mind accepts no system, as being complete, is non-defensive and not subject to its own map or framework.

IMMUNITY TO CHANGE

"The purpose is to understand why people behave in a way that undermines their own success" Kegan (1994: 88). When Prof. Kegan wrote of 'Meaning Making Systems' and 'Mental operating Systems' he warned of the dangers of "Blind Spots" (1994:137). Kegan believes we can only develop a more complex self by overcoming a kind of "blind spot by getting some distance, or perspective, on a way of making meaning to which he have been captive" (1994:167).

Kegan also supports his theory with practical professional anecdotes (Kegan, 2009) and reference to other studies. One such study was by Keith Eigel in 1998. Eigel studied 21 CEOs of corporations with an average turnover of $5.1bn, which revealed that the CEOs were operating at higher Orders of Consciousness, when compared to middle managers, within their own corporations and who were similar in age to the CEOs.

The areas analysed included:

- Assessment for Leadership effectiveness
- Challenging existing processes
- Inspiring a shared vision
- Managing conflict
- Delegating
- Problem solving
- Relationship building.

The implications I take from this research is that for me to maximise the benefit of KTAMD I must engage in *persistent* awareness of the subject/object process in making judgments and decisions and apply this awareness to my experiences organized according to the above headings.

Kegan & Lahey describe how our perspective of ourselves greatly affects our ability to change, "We place faults and failings at the feet of others. Many people are unwittingly applying productive energy toward a hidden *competing commitment*" (1994:85)

According to the Carver and Schieir (2001) model of self-regulation, people monitor their present activities and states by comparing them to a reference value that is synonymous with a goal or standard. If the person perceives a discrepancy between the present behaviour and the reference value a behavioral change is made. This is how the DBA uses Kegan's TAMD to achieve professional and organizational goals.

During his 2008 workshop in Cork, Prof. Kegan highlighted a key mistake on the part of managers. In general we seek to maximize the productivity of workers yet fail to look at the tools for developing greater capacity in the worker.

Prof. Kegan's workshop included an, 'Immunity to Change' exercise. Part of the process was to become aware of elements of our current meaning making system on the basis that; if we are unaware we cannot change.

To begin with Prof. Kegan asked, in terms of our management and self-development role how can we effectively manage if:

1. We do not understand the change process?

2. We do not understand the challenges brought on by change?
3. We lack an understanding of assumptions and commitments, competing or otherwise?
4. We fail to see ourselves as a manager of the change process?
5. We fail to understand which feelings we have or feelings have us?
6. We cannot manage ourselves?
7. We are not aware of the difference between informational and transformational learning?

Below is the outcome from my first effort at the four-column process.

Commitment	**Doing/Not Doing**	**Competing Commitment**	**Big Assumption**
To be effective as a CEO I must focus on the priority tasks (theory required). To achieve this I must build a team to **delegate** tasks to.	Getting involved in all areas of the business and all levels of tasks.	I need to be involved at all levels and feel the need to be in control	Work not done right will reflect badly on me and the organisation.
Communicate more effectively	Not giving clear enough instruction.	If I am responsible for the outcome I have to have control and input into everything.	If everyone can do the work, I will not be seen to add value. A talker and not a doer.
Creating a developmental environment for ALL staff	Expecting to input at all levels of tasks	My way is the best way	

	Not trusting the tasks will be done to "MY" standard	Others do not share the same level of interest as me	
	Put my attention in the new idea/challenge	Others do not work as hard as I do	
		Others accept a lower standard than I do	
		I want to be seen as the ideas/innovation driver	
		Sometimes it's quicker to just do it myself.	

To aid me in overcoming my immunity to change I have constructed my interpretation of Kegan's Theory of Immunity to Change, again using the model developed by Fanning & Doyle.

IMMUNITY TO CHANGE (MY INTERPRETATION)

1) What is the issue question?

How can we (I) be more effective in our (my) dealings with the world?

I believe this is backed up by the following quote from Kegan when he describes overcoming an immunity to change, "...does it also promote advances in mental complexity, the kind of change that will permit a whole *range* of new abilities, not just meeting the single improvement goal?" (2009: xi,).

"- how to close the gap between what people genuinely *intend* to do and what they are actually *able* to bring about." (2009: ix,)

2) What Answer does the Author give?

We can cope with a more complex world if we can develop a more complex meaning making system.

"… it was apparent through longitudinal research (carefully assessing and reassessing the same people over many years) that when people *did* evolve it was always in the same sequence. Each new mental plateau gradually overcame the systematic limitations of the prior one. Further research eventually demonstrated that each qualitative leap forward enhances not only people's ability to see (into themselves and their world) but to *act* more effectively as well." (2009: x)

3) Orientating Generalisation?

Dealing with a more complex world is possible if we can develop a more complex meaning making system.

4) Dynamic principle? (Outlining the process of development, if it occurs)

Subject/object separation

5) Model (Setting/Abstraction/Material for Theorising): (Material in which we are working)

Ongoing Adult mental development

6) Given Variables:

Change is difficult

Support is required

Change takes place over time and is incremental (not evenly paced)

7) Dependent Variables (What we are explaining and what we would like to change)

Conscious awareness

Meaning making systems

8) Independent Variables: (What we are not explaining but which have an impact or are impacted, what the dependent variable depends on)

Experience

Reflection

9) Main Concepts: (Concepts are tools for thinking with)

Mental Complexity

2: PROFESSIONAL DEVELOPMENT REVIEW 2010

With the ultimate goal of the DBA seen as enhanced effectiveness in business practice, the PDR is critical to successful participation in the DBA. Its purpose is to use KTAMD to promote subject-object separation to surface the theories and concepts that have been held and used prior to the DBA journey. The PDR process is designed to surface how I view the world and in turn how I think about the world - my meaning making system (MMS). This represents, therefore, the awareness-raising phase. The PDR provides the practitioner, and the reader, with a clear understanding of the starting point of the research focus of the programme – the concepts and theories that underlie the researcher's meaning making system.

It is critical, in order to establish if any developmental movement has taken place during the DBA process that the current MMS is brought to the fore. In order to look forward in development terms we must first look back. Successful engagement with the PDR is required in order to set goals for the other core elements of the Portfolio of Explorations (POE) and deciding on a programme for development. This would be in keeping with Kegan's suspicion that success could be achieved by developing a learning platform that moved participants from "*diagnosing* immunities to *overcoming* them" (2009:xii). In the DBA programme our desire is to enhance ones ability to deal with the increasing

complexities of the business world by developing our meaning making system. This occurs by bringing insight through experience, once awareness has been raised.

This review is an inquiry into my professional career to date (up to the summer of 2010) in order to surface the role of theory in my Meaning Making System (MMS). I added to this review over time in the hope of developing an understanding of how I operate through the lens of Kegan's Theory of Adult Mental Development (KTAMD). Sowell (1987:8) says, "We will do almost anything for our visions except think about them". I believe this is because of the complexity of thought particularly when the heart and head are involved.

The review describes what I view to be significant events in my professional life as the data required to help surface my MMS, the means to creep up on the present from the past. The Professional Review "Data" is presented chronologically.

While the review is always retrospective it is hoped that the insight derived assists in creating awareness for future decision-making.

My professional life in visual form (Appendix 1.2) displays 'parallel universes', that of an employee and alternatively of a creative self-employed individual.

I have selected a small number of what I perceive to be important events, which have affected my decision-making later in life and issues I am currently facing in my professional life. These events, with hindsight and through the development of my MMS, may not hold the same value in the future.

What this review is:

1. A tool, for raising awareness
2. A snapshot of my 'current' meaning making system

What this memoir is not:

1. A CV
2. A validation of judgment or judgmental
3. Complete, as this is an ongoing process

PROFESSIONAL DEVELOPMENT REVIEW

At the beginning of this DBA journey it is necessary to take a snapshot of my "known knowns" and "known unknowns" before I begin to record, acknowledge and learn from any changes. In the conclusion of this Essay, I also log "unknown unknowns" revealed through my ongoing personal and professional development journey to uncover what Prof. describes as the dangers of "Blind Spots" (Kegan & Lahey, 1994:137).

To surface these unknowns we use the process of reflection. "A little reflection will show us that every belief, even the simplest and most fundamental, goes beyond experience when regarded as a guide to our actions… Even the fundamental "I am," which cannot be doubted, is no guide to action until it takes to itself "I shall be," which goes beyond experience" for this is involved in the very nature of belief; but "How far and in what manner may we add to our experience in forming our beliefs?" Clifford (1877:10).

While the focus throughout this memoir and the DBA is professional development there is an awareness of the overlap between personal, professional and organisational development. The writing of this memoir review has highlighted that overlap for me. Kegan wrote, "whether CEOs, unit heads, or team leaders all shared one thing in common long before they met us: A deep and abiding recognition that their people bring their humanity to work with them every single day; that the absolute division between the work realm and the personal realm is naïve and unhelpful;" Kegan (2009: xiv).

As can be seen from the "visual" memoir (Appendix 1.2) I have included elements from the pre-adult period in my life. This is because of the development of what I know, on reflection to be significant assumptions at that time.

As someone who has attended a number of personal and professional development seminars and also read extensively on personal/professional development I can easily be counted amongst those Kegan refers to when he says "…even people who would describe themselves as being comfortable with the reflective as well as the "doing" mode – have never engaged in focused,

structured, persistent, and active reflection" (Kegan 2009:320). The key relevant term for me is "persistent".

The purpose of the following professional recollections is to give me 'the researcher' an opportunity to reflect on me 'the subject' of research. The outcome at the end of the process is to surface my meaning making system and, by using Kegan's four column map, to highlight a developmental goal for the remainder of the DBA programme.

This is not an exercise in rewriting my professional history; it is an aid to future personal, professional and organizational development.

Early 'Professional Life'

I believe that many of the viewpoints I have held about work were formed at an early age; my hope is that the POE will challenge my thinking. As Clifford said, "If a man, holding a belief which he was taught in childhood or persuaded afterwards, keeps down and pushes away any doubts which arise about his mind, purposely avoids the reading of books and the company of men that call into question or discuss it, and regards as impious those questions which cannot easily be asked without disturbing it – the life of that man is one long sin against mankind." Clifford (1877: 4)

CONTEXT:

Growing up in Wilton in the suburb of Cork City was a great experience. It was still semi-rural with Orchards and grazing livestock where large-scale supermarkets, housing and industrial premises now stand. In the summer we lived for three months at our summer home in the small fishing village of Ballycotton in East Cork.

I was fortunate to have grown up in an era of freedom, freedom of movement and time to play, sadly a freedom that I certainly cannot give to my children. I was blessed with very supportive parents who allowed me that freedom, once I stayed out of trouble. Whether in Wilton or in Ballycotton, there were always opportunities for teenagers to pick up casual summer work.

While the theory we are concerned with is the Theory of Adult Mental Development, I believe that certain events when I was younger greatly influenced and impacted on my professional choices. Below is a brief but indicative description of "Professional" activities in my youth.

DETAILS:

In 1978, as a ten year old, I used to walk home from school taking a short cut through a local cemetery. Some of the older workers were very superstitious and would pay me to dig the first shovel of earth from a grave, remove wreaths, wash their shovels etc. This was the first time I was given money by non-family members for work. I felt important and independent with my 'income'. With money I received for making my Confirmation in 1981 I purchased a lawnmower and made money by cutting grass for my neighbours. In 1982 I received my first 'Pay Packet' from Ballymaloe House (a well known restaurant and Hotel in East Cork) as a fruit and potato picker.

In 1984, at age 15, I built my first extension at home in my parent's house under the guidance of my father. I calculated materials, purchasing, ordering and physically I carried out much of the construction from foundation to roof. Later that summer in Ballycotton I worked on boats and helped build a clinker-built boat under the guidance of a local boat builder. I bought some lobster pots and a turbot net and using the boat I had helped build fished when the weather was right. Too young to drive, I hauled my pots and nets at six am and walked the 4 miles to Cloyne selling the fish along the way and on the street corner.

The summer of 1984 was also one of the hottest and driest on record in Ireland, even grass had become scarce. It was also the first big year of imported Dutch potatoes in the large multiples. I made money, picking potatoes and then commission from farmers for linking local producers with small shops in Cork who wanted to sell the famous Ballycotton potato.

In the autumn of 1984, my career guidance teacher and Principal called my parents in to the school to say my Leaving Certificate subject choice was flawed. I was forced to drop business and accounting for science and engineering where I was naturally "strong". This single issue had a greater impact on my

'Professional' thinking and practice than any other, on reflection my thinking at the time held that I could not succeed in my goals without business training.

In 1986, the year of my leaving certificate I worked part-time in Quinnsworth (now Tesco). I was offered a position as a Trainee Manager. I turned it down. During that summer I built my first house, a new summer home for my parents. I didn't want to go to college after that, I wanted to start a construction/renovation business. My father advised that I was too young for that responsibility.

In the summer of 1987 I worked on the farms all-day and fished all night.

IMPACT:

From a very early age I associated long hours and physically hard work with achievement, independence and monetary reward. I became aware of the value of networking and contacts.

Unemployment in Cork was very high in 1984, at almost 20,000. Dunlop closed with the loss of 850 jobs, Ford closed their manufacturing plant with the loss of a further 1,000 and Verolme Dockyard lost a further 350 jobs. All three companies closed in the space of a year.

Many men I knew and admired who were made redundant never worked again. From then on I had a desire and a belief that I could grow a business that would employ many and in the best possible working conditions. That was my vision. Not being allowed to continue studying business and accounting had a huge impact on my confidence. I lost the conviction that I could run a 'proper' business because of the lack of education in commerce. I know many have developed great businesses without formal education but without it or appropriate contacts to raise funding in Cork was virtually impossible. This was compounded by the tightening of expenditure by the banks due to the economic downturn.

At the time I thought that my teachers and parents didn't understand my obvious grand plan but I see now that my activities were not the norm for people of my age and indeed my advisors behaved in a way that most in their

situation would. As a parent I'm certain I will have the same impact on my children, positively and negatively. As Kegan wrote, "Although we don't realise it, we have some shared expectations of what the mind of a teenager should be like. Whatever the definitions of "adolescence" we might cull from a textbook, the one that is operating most powerfully on the human being who happens to be going through adolescence is the hidden definition derived from the culture's claims or expectations about how an adolescent should know" (1994:19).

In Kegan terms as an adolescent I would most likely fall under his "Third Principle". Kegan (1994:30) highlights that the teenager cannot:

"Systematically produce all the possible combinations; systematically isolate variables to test hypotheses"

"Construct a generalised system regulative of interpersonal relationships and relationships between relationships"

Or

"organise its own states or internal parts of self into systematic whole; distinguish self into systematic whole; distinguish self from one's relationship; see the self as the author (rather than merely the theatre) of one's inner psychological life"

The issue for me now is that a residue of the decisions made at that time remain with me a quarter of a century later. This is examined over the course of the DBA and the continued expansion of my PDR.

In the past it has been all too convenient to find excuses and blame others for any situations I have been unhappy about. I am increasingly taking responsibility for all circumstances, which I find myself in regardless of how I got there.

THE VENUE

CONTEXT

As a music lover I have attended concerts all over the world. On December 30th, 1989 I attended a U2 concert in the Point Depot Theatre, Dublin, which had been opened the previous year. The capacity at the time was 6,500 people but it felt that night like half the population of Cork had travelled to Dublin for the event. It got me thinking that an appropriately scaled venue would do well in Cork and indeed Munster. The only venue of scale had a maximum seating capacity of 1,000.

DETAIL

I was introduced at a social event to an event manager, Peter Crowley, who held the franchise for the Ideal Homes Exhibitions in Ireland. At that time it was a very lucrative business to run these events throughout Ireland. I put it to Peter that he should have his own venue in Cork that could be used for other events including concerts and tourism. I prepared a business plan and he was very keen.

It was my role to do the groundwork and he would organize the finance. I selected a site, which was being vacated by CIE next door to Cork City Hall. The site I chose, part of which now houses Ireland's tallest building, was available for £200,000, a substantial sum at the time. The location was ideal in the heart of the city and a few minutes direct drive from the airport. Peter organized the finance with Allied Irish Bank and preliminary plans were drawn up which provided for a genealogy and tourist centre along with an event and concert venue.

The planners in City Hall told our Architect that there would be no appetite for such a venture. The local authority subsequently purchased the site, and nearly a quarter of a century later Cork still does not have a permanent concert venue.

IMPACT

At 21, I thought I had made it. This project had all the elements that I loved, music, business, politics, architecture construction and Cork. I was working with people who had access to money and who believed in my ideas. This

project dragged out for months and its collapse deflated all involved and left little appetite for a further examination of opportunities. Another setback and dent in my confidence as to this day I feel responsible for not being able to get the project over the line.

MUSIC

CONTEXT:

In 1996 I wrote and performed two number one songs on the 2TV Charts (2FM and RTE2 TV). My music was played all over the country, SONIC ICONS performed live on numerous radio shows and my band was selected as the best, unplugged (acoustic) band in Munster and in the top four in the country by Hot Press Magazine, the Irish Music industry Bible. I founded an independent record label for self-release and to help other bands as chart success could not be achieved without registration and membership to the Irish Recorded Music Association (IRMA).

DETAIL:

The Artist & Repertoire executive with Sony Records called and sent a letter expressing an interest in signing us. We performed for them in Whelan's in Dublin at a major European Festival in 1996, but we weren't great on the night. With disastrous effect strings broke on two of our guitars on one song and it rattled our confidence. We were asked to contact the A&R man the next time we played Dublin and he would take another look. To my regret we never contacted him again as we felt our opportunity had been lost.

IMPACT:

Both personally and professionally many of the highlights I have experienced have revolved around music. Chart success was great, touring with the Human League and playing large venues all gave a 'high' and nothing compared to driving along the road and hearing something you have created playing on the radio alongside some of your favorite artists.

When things were beginning to happen for SONIC ICONS my first child was born, and while that was a factor in our decision I sometimes regret not

pursuing the opportunity further. Once more, I was involved in an out of the ordinary vision, and maybe it was time to grow up or, as Kegan wrote: "The problem is the inability to close the gap between what we genuinely, even passionately, want and what we are actually able to do" (Kegan 2009:2)

REST EASY

CONTEXT

From an early age I have been able to create, design and develop solution devices. This is as a result of the exposure I had to my Dad's workbench. He loved to take things apart, create and experiment. He developed a number of concepts and devices including electronic when that field was in its infancy. He never patented anything but a few of his developments went into production in the auto-industry, plastic molding and heating systems.

DETAILS

With the birth of my first child in 1996 I found myself to be a nervous parent at night wondering if she was breathing, too hot, too cold etc. I designed a bracelet monitor to detect breathing, temperature and pulse etc.

In 1997 I received a feasibility grant from South Cork Enterprise Board for the Rest Easy concept. Through R&D in the University of Limerick and an R&D facility in Galway feasibility was proven. Patenting was researched and an agent secured expressions of interest from Argos and Mothercare.

The next stage of development required an investment of £350,000 for miniaturization and tooling. I had invested £5000 at this stage (which would have bought a site for a house at that time). I didn't know where to raise finance and became nervous. I read many stories of failed inventors who went broke pushing an idea. I decided to park the concept for a few years and let miniaturization catch up with the concept.

In 2008 a UCC R&D project received an investment of €10m for a similar concept.

IMPACT

I put a lot of work into this concept. Based on the anticipated market and the interest in the device I believed it would make me wealthy and put me in a position whereby I could spend my time being creative. This was the first project where I developed a team of two to help me to help me succeed. For me there was great learning in the project particularly in trying to move a team along. One was from an electronic background and the other medical.

I had great difficulty 'parking' this project when I did. Despite wholehearted support from my wife I was frightened by the sums of money involved and by the high-level of risk. I lacked the academic and professional confidence and experience to bring this project along. It was an era where small firm R&D support was limited and the level of expertise in venture capital, product design and the sourcing of overseas manufacturers was nowhere nearly as advanced and developed as it is now in Ireland.

The energy and time I placed in this project without a tangible result left me wary of following innovative ideas to conclusion. I have since designed a number of devices and concepts for a number of applications but none of these have progressed. In 2008, I brought together a group of five very able classmates from my MBA, all with different skills and experience, but after two years of appraising concepts we have yet to actively pursue anything.

Reading the detail above brings to mind what Kegan describes as the, "most important-and least understood-private emotion in public life" (2009: 48), anxiety. Anxiety is evident in this and probably all of my professional examples.

Kegan said, "to run these systems-even highly successful anxiety-management systems-at a cost. Inevitably, they create blind spots, prevent new learning, and constantly constrain action in some aspects of our living. These costs show up when we are unable to deliver on some genuinely desired change, the realization of which would bring us to new, higher level of functioning in ways we truly want to attain" (Kegan 2009: 48).

Kegan goes on further to say if "you import only the "challenge" without tending to the anxieties it arouses, we promise you are going to be disappointed with

the results" (2009: 321). "Challenge and support the two must go hand in hand" (2009:322).

The above quotes highlight for me the critical importance of the DBA process and in particular, the study of meaning making systems. KTAMD presents an opportunity to explore and identify adaptive change that may be required or an immunity to change that needs to be overcome to achieve my goals.

FOR PROFIT VS. NOT-FOR-PROFIT (HEAD VERSUS HEART)

CONTEXT

In 1999 I worked for a not-for-profit organisation. I enjoyed it, I achieved a great deal with and for people and it felt great.

DETAILS

I was asked by a friend to leave my existing position and to manage a section of a retail business where he was the Managing Director. In the new post my salary was £10,000 a year more with a percentage of profits, a car and fuel allowance. With our second child due I took the position.

I enjoyed the first six months, while there was a steep learning curve and more money. Turnover increased by an average of 15% a month but the position soon consumed all of my time. Seven or eight months in to the post I felt I had made a mistake, but found it hard to justify dissatisfaction when I was being treated well and earning more. My heart wasn't in it. While I enjoyed implementing systems and processes and seeing margins and turnover increase I was frustrated to be involved in a business that was just about sales. There was no impact or benefit to community, the services and products we provided didn't change lives and if we weren't doing it someone else would simply take our market share. After 11 months I handed in my notice before I had even lined up a new position.

IMPACT

When I left the post the friendship ended but more importantly I was very confused about where I should be going professionally. I always enjoyed working with people and I had studied social sciences so I went back to work in

the social and community sectors. This was the first time I really questioned my decision-making, the head versus the heart and money versus happiness. This effectively was the start of my developmental journey and while I am still not closer to answering the question or even asking the right question I am certainly much closer to a mechanism to assist that process. "A question rightly asked is already half answered, said Jacobi, we may add that the method of solution is the other half of the answer" Clifford, (1877)

For me the best contemporary analogy for developmental change was provided by Kegan when he wrote, "True development is about transforming the operating system itself, not just increasing your fund of knowledge or your behavioral repertoire" (2009: 6). This describes the journey I am on; I must establish my meaning making system and "upgrade" it so that I can "grow into future possibilities" (2009:11).

The DBA and the theories it is built upon have the capacity to help me filter my meaning making system (mms), surface the theories at play and de-clutter the confusion and conflict that have impacted upon my professional life.

LADDER AGAINST THE WRONG WALL?

"It's incredibly easy to get caught up in an activity trap, in the busy-ness of life, to work harder and harder at climbing the ladder of success only to discover it's leaning against the wrong wall." Covey (1989:98)

CONTEXT:

In 2010 I was appointed as an executive director of my organisation. The National Association of Building Co-operatives (NABCO) is the national federation for co-operative housing in Ireland. The Association promotes, represents and develops co-operative housing in Ireland. My new appointment brought with it added responsibility including greater involvement in policy and strategy implementation and appointment to working committees with Government Departments. The net effect has been increased time in Dublin away from my family.

Since 2007 I have owned and managed a TV & Film production house following a relatively substantial capital investment funded in part by South East Cork Area Development. I have written, directed, produced and written the music for a number of films selected for festivals worldwide, a TV cookery show, documentaries and a number of corporate promotional pieces.

DETAILS:

In recent weeks my organisation's Chief Executive (CEO) of 35 years has announced his retirement. The post has been advertised.

IMPACT:

This scenario has had a very unnerving effect on me. When I was first informed about the CEO position I flatly rejected the idea of applying because of potentially having to move to Dublin even if only for a few nights a week. This would greatly impact on the potential growth of my own business. Then I became concerned that if someone external took over the CEO role, my work life could become difficult for me in my current role.

I subsequently made the decision to apply for the position of CEO and was invited to interview on July 8th, 2010. If I am successful, I do not know what I will decide.

For the purposes of clarification, I would be very proud to hold this position and would work very hard in the role; however, this has turned into a head versus heart decision. I have created a perfectly balanced personal and professional life. The work I do is rewarding and has a positive impact on families and on communities. I have a lot of flexibility in my role as a result of working primarily from home, which allows me to be available for my family. The question I am facing is if I am to undertake substantial change in my personal and professional life, am I focusing on the correct professional life?

In reality I am questioning leaving the comfort zone of my current career and family life by moving to Dublin, however, if I were asked to work in the Arts in California, I wouldn't hesitate. This scenario brings to mind that, "One of the hallmarks of constrained vision is that it deals in trade-offs rather than

solutions" Sowell (1987:22). I must develop the skills required to use theory as an apparatus of thought to support me in making decisions of this magnitude.

Whether or not I am offered the position of CEO I must set about expanding my meaning making system to assist me in deciding on my professional direction. As Kegan put it "Since most systemic improvements are adaptive challenges, they require more than structural or operational redesign: they require transformation in talent to sustain the redesign" (2009: 314). Kegan also refers to Block's 'The Empowered Manager', where he says, "If we are focused on seeking others' approval…then we run the risk of sacrificing our integrity for the sake of finding the most popular path." (1994:163). The challenge for me, as I see it, is to establish the precise competing commitment and assumptions evident in my vignettes, "until we understand the commitments that make the obstructive behaviours at the same time brilliantly effective, we haven't correctly formulated the problem" Kegan (2009:39).

One issue is apparent - any developmental change will need to be holistic, "Changing mindsets needs to involve the head and the heart" Kegan (1994:318)

(Following a second interview for the post of CEO of NABCO in August 2010, I was offered the post on September 3rd, 2010 to commence on November 1st, 2010.)

CONCLUSION: MY IMMUNITY TO CHANGE

This Essay One, including my PDR is a snapshot of how my meaning making system operated prior to and including the summer of 2010. Care has been taken not to rewrite, 'polish' or upgrade the content with enhanced insight developed since then. The Essay acts as a benchmark of where my meaning making system was at that point in time. The aim is to use this record to demonstrate development of my MMS using theory as an apparatus of thought in the remaining Essays. A critical element of the process is to also identify my immunity to change.

On rereading Kegan's (2009) *Immunity to Change* I related strongly to the challenges faced by David in Chapter 5. As Kegan describes, it is generally

known by managers that being "an effective delegator is crucial to using everyone's time, skills, and knowledge appropriately" Kegan (2009:125).

The three behaviours described by David act almost as a summary of my PDR:

> " I let opportunities distract me, adding to my list.
>
> I accept more tasks and sacrifice non-work related things. (sleep, family, hobbies).
>
> I don't consistently balance time commitment regarding urgent and important rankings" Kegan (2009:127).

Working with Barbara Rappaport, an associate of Prof. Kegan, I worked on a number of versions of the four-column map in an attempt to surface my immunity to change. Although it would most likely appear obvious to the independent observer (and now me in hindsight), I have identified delegation, as the single area of my work, if changed would have the greatest impact on my effectiveness.

My big assumption was that projects benefited from my input but I tended to focus on the micro and lose sight of the macro. My Theory of Contribution was that I had to participate at all levels of a project for it to fulfill my vision for it, particularly if the project was instigated by me. On reflection of the four column outcomes and my PDR reflections, I didn't have an issue asking people to carry out tasks but I didn't give them ownership of the potential outcome.

And while some may say that delegation is a technical change rather than adaptive, I would argue that when embedded through a belief that you really need to be involved in all aspects of a particular project it is a very difficult trait to change. Kegan clearly supports this view and believes it is only possible through immense dedication to the goal. "To start and stay the course of doing genuinely developmental work, a person must really, really want to accomplish his or her … goal. It is almost never enough to have a goal that just "Makes sense", not even one with compelling, logical reasons behind it. Reasons can help fuel our motivation to change, but they aren't enough to help us cross the

critical thresholds. Reasons tap into the "ought" and "should" realm of inner talk. We must experience sufficient need or desire, visceral feelings – which is why we say they come from the gut" Kegan (2009:210).

REFLECTION (30/06/2010)

While writing my professional development review seeking to identify a meaning making system I noticed a professional pattern of striking similarity with that of my father. We both achieved success in our professional fields, had pride in what we did but we both harboured a vision of an alternative career. The difficulty with the alternative is that it is not perceived as the social norm. Any professional deviation, which increases risk to financial and family structure, cannot be taken lightly. I recall many years ago having a conversation with my father in relation to this and he expressed the view that one may be very successful or that one may happy but it was rare to have both together, I remember disagreeing with him but I never forgot it. Maybe this assumption above all has compounded my immunity to change?

I have never, and never will point to my family as a barrier to my ambition. I have always been supported in all that I do, but this developmental process has highlighted to me the value I place on my family.

In terms of my MMS, there has been limited change during the last twenty years, maybe this is because the 'head and the heart' have not been aligned. I hope to achieve that alignment through my developmental research during the course of the DBA. Technically I have developed skills but adaptive developmental changes I believed I had made may simply be attributable to life experience.

I would contend that I have always had a level of understanding about bias and assumptions in decision-making but only where I am not emotionally invested. Many seek my advice and are satisfied with my counsel, to date however I have not been able to apply that awareness to myself. During the course of the DBA and beyond I will earnestly log and evaluate my decision-making process through my MMS and Theories to establish which commitments I have and which commitments may have me.

I believe Kegan highlights the gravity of change and non-change when he says that when he finished '*In over our heads*' he "concluded that a great deal of individual suffering and collective suffering arises from the mismatch between the complexity of the worlds demands and the complexity of our mindsets" (Kegan interview Bachkirova 2009:17). And that "the only way to support development is to begin by fully accepting and acknowledging the way the other person is making meaning right now; by recognising what is at stake in changing how he makes meaning right now; by understanding that the way he is making meaning right now is the way he is saving his life. That is exactly what the 'immunity to change' phenomenon is all about" (Kegan interview Bachkirova 2009:17).

On a personal note, frustration can be compounded when one knows that change must happen but one can't effect that change quickly enough despite sustained focus. Collingwood (1939:26) does offer some hope; "…You cannot find out what a man means by simply studying his spoken or written statement, even though he has spoken or written perfect command of language and perfectly truthful intention. In order to find out his meaning you must also know what the question was…to which the thing he has said or written was meant to answer." I do take some comfort from the fact that I now see change even from the four-column exercise I completed with Barbara Rappaport in February 2010.

In my first (2008) and second (2009/2010) four column maps I was essentially looking at the same issues of technical capacity, of being able to manage my time to keep parallel careers. My next step is to create a four-column exercise to look at a process to facilitate the adaptive change required for professional focus and strategic decision-making.

Kegan also offers light at the end of the tunnel, "... there is no expiration date on your ability to grow. No matter how old you are, the story of your own development – and the stories of those around you – can continue to unfold" (2009: 323).

ESSAY TWO - BUILDING AN APPARATUS OF THOUGHT

INTRODUCTION:

As explained in the introduction, each Essay within the Portfolio of Explorations (PoE) has a specific purpose in its contribution to my learning.

In Essay One, my Professional Development Reflection (PDR), I identified the role played by theory in my Meaning Making Systems (MMS) by examining my professional experiences, as I saw them, in various instances up to the summer of 2010. In particular delegation was identified as a priority developmental goal for the remainder of this Portfolio of Explorations (PoE).

In Essay Two with my new understanding, I explore the use of theory as an apparatus of thought and seek to establish the key theories relevant to my professional practice and aim to develop a clearer understanding of those theories. Critical in this Essay is to develop new habits around my awareness of how I look at and select theories for use as an apparatus of thought. Up to this point in time, as evidenced in Essay One, my theories were not observed or challenged - they were selected sub-consciously. Prof. Kegan's Theory of Adult Mental Development (KTAMD) is used to surface (make object) theories to which I was subject.

Later in Essay Two I wish to develop my interpretation of theories, I believe that if I understand the individual concepts that make up each theory I will have a greater understanding of the process.

As with the entire Portfolio of Explorations this document is chronological and refers to the period of August 2010 to February 2012.

This reading for change period was entered into with the knowledge surfaced in Essay One that I needed to overcome an immunity to change to which I was subject, namely, my resistance to delegating. This I believed was the singular greatest change that I could make that would positively impact on my personal and professional effectiveness.

This was also a period in which I was looking to make a dramatic career change. As it turns out I did make such a change but not the one I was expecting. I had commenced trading with my own multi-media business which was beginning to get traction in the market when on September 3rd, 2010 I was informed that I had been successful in my application to become Chief Executive Officer (CEO) of NABCO (The National Association of Building Co-operatives), the National Representative and Promotion body for Co-operative Housing in Ireland. A registered charity and a not-for-profit organisation, NABCO was founded in 1973 and has been led by the previous CEO for almost 35 years and the organization I had worked with for the previous seven.

I believe the timing and circumstances of these changes on a personal, professional and organizational basis provide the perfect opportunity to use Prof. Kegan's Theory of Adult Mental Development (KTAMD) to observe my own approach and capacity to manage the increased levels of complexity required to perform in my new role. The levels of responsibility in my new role were far greater than I previously held, the breadth of issues covered involved far wider than previously encountered and technically, the knowledge required to perform my role was far more extensive. My concerns were reinforced by Farkas & Wetlaufer statement that, "The CEO's job is like no other in the organization. It is infinite" (1996:117).

The new role would also, I believe, fall into the category that Keynes would describe as "dealing with uncertainty". Uncertainty was the one factor I was guaranteed, as I had never been in a position of ultimate executive responsibility previously and both the internal and external environment underwent a tremendous period of change and challenge.

I was fortunate that a planned handover from my predecessor was to take place for the month of October. My emotions during that period were very confused; I was excited about the prospect and opportunity of the new post but also very nervous. Ciampa sums up the anxiety for all concerned very well (1999: x), "the stakes in top management transitions are very high for everyone concerned. For the new leader, failure could seriously derail a career. For the current CEO, failure could not only waste valuable time but also irreversibly damage his

legacy; there is no greater satisfaction for a leader than to see the organization he has shaped and nurtured thrive after he leaves, and no more painful experience than to see it decline. For employees whose hopes and expectations are raised and whose livelihood and security hang in the balance, the effects of failure can be disastrous". During the handover period I realized that despite seven years of working in NABCO I had much to learn about the organisation and about how I operate within it.

On November 1st 2010, I took up the position of CEO; obviously the change from an executive to Chief Executive carries with it a sense of apprehension. It is an opportunity that many wish for but relatively few achieve. You want to succeed not only for yourself but also for those reliant on the success of the organization particularly the board, members of staff and service users. You are aware that all words and actions are scrutinized. People are apprehensive about the changes you will bring and how they will be impacted.
At my predecessor's retirement party before I took up my post I was asked on more than one occasion about the changes I would make, would there be redundancies? what organizational changes would there be? I was asked specifically if my changes would be a "short, sharp shock or gradual?"

Drucker states "The new leader of a non-profit doesn't have much time to establish himself of herself. Maybe a year." (1990:13) Ron Thomas (TINT.com: 2010) wrote that 40% of all CEO's survive less than two years. The timeframe is short in which to have an impact in the role much less a positive contribution. In order to maximize my effectiveness I intended to approach my role in a systematic way. It is not clear from his statistics which sector these CEO's are in, but in *The Way Chief Executive Officers Lead* –Farkas and Wetlaufer (1996:117) say that "Not surprisingly, research shows that between 35% and 50% of all CEO's are replaced within five years."

Bennis (1999:5) wrote that most leaders coming into a new position are given time and resources however, "these assets will dissipate if leaders do not get results. And of course we deliver results only by taking action."

To establish what action I should take I considered the following questions:

1. What is a CEO?
2. What does he/she do?
3. What theories do they choose?

It was my intention to approach the critical first year by applying general theories to specific practice or as Keynes put it, "a sound and scientific way of thinking about our (my) essential problems" (CW, XXI: 348) cited in (Fanning, O'Mahony 1998:22).

It is safe to assume that anyone in my position would strive to be successful in the role, but when you have not previously led an organisation all you have are your theories of how it should be done. The critical question for me has been; what do I do to provide effective organizational leadership?

My companion on the journey has been Drucker's Theory of *The Effective Executive* and I believe he sums up the focus and thought required in the role when he says "There is no job that needs to be organized as carefully and systematically as that of the chief executive…Only the most systematic assignments of priorities can prevent the chief executive from frittering away his time and energy on the less than important activities to the neglect of vital matters" (1966:162).

WHAT IS A CEO AND WHAT DOES HE/SHE DO?

Almost all of the definitions of a CEO and explanations of the role of a CEO emphasise Leadership as they key component for effectiveness in the role.

Drucker provides great insight with his definition of a CEO:

> "The chief executive thinks through the business the company is in. He develops and sets over-all objectives. He makes the basic decisions needed to reach these objectives. He communicates the objectives and the decisions to his management people. He educates these managers in seeing the business as a whole and

> helps them to develop their own objectives from those of the business. He measures performance and results against objectives. He reviews and revises objectives as conditions demand.
>
> The chief executive makes the decisions on senior management personnel. He also makes sure that future managers are being developed down the line. He makes the basic decisions on company organization. It is his job to know what questions to ask of his managers and to make sure they understand what the questions mean. He co-ordinates the product businesses within the company and the various functional managers. He arbitrates conflict within the group and either prevents or settles personality clashes. Like the captain of a ship, he takes personal command in an emergency" (1966:159).

Although, yet another nautical cliché, it is apt and relevant, it has been a consensus that the CEO leads the organisation like a captain steers a ship.

Drucker's definition is not too dissimilar to a statement Bennis attributes to Jack Welch, "the renowned CEO of General electric said he had only three jobs, selecting the right people, allocating capital resources, and spreading ideas quickly" (Bennis 1999).

My job description outlines the tasks and duties in the post with the key objective being the implementation of the 2010-2015 Strategic Plan,

NABCO - Chief Executive Officer - Job Description

1/ The Chief Executive Officer is also the secretary of the National Association of Building Co-operatives (NABCo) Society Ltd and reports to the management committee (board of directors). The twelve members of the management committee consist mainly of representatives of affiliated co-operative housing societies. They have collective responsibility for the conduct of the business affairs and good governance of the Association.

2/ The Chief Executive Officer is responsible for the day-to-day management and administration of the Association's representative, promotion and development roles and activities as the national federation serving and uniting the co-operative housing movement.

3/ The Chief Executive Officer prepares policies and strategies to fulfil the Association's stated objects/aims for the management committee and co-ordinates the implementation and performance of the related work programmes and plans with the assistance of executive and other staff.

4/ The Chief Executive Officer as secretary of the Association, is also responsible for notices of meetings, minutes, reports, legal and corporate business, financial accounts, insurance, audits, records, files and the safeguarding of its property and other assets (including office premises, housing and apartment buildings, related communal welfare facilities and sites held in the name of the Association).

5/ The Chief Executive Officer maintains regular liaison with the Chairperson (President) with regard to agendas and notices of management committee and general meetings of the Association's members, conduct of the business affairs and proposals/decisions requiring the attention and/or approval of the management committee.

6/ The Chief Executive Officer etc. must have regard to the Rules (the legal constitution) of the Association as a registered, not-for-profit, federated co-operative industrial and provident society[11]

[11] In Ireland, co-operatives usually register as "industrial and provident societies" under the Industrial and Provident Societies Acts (IPS Acts). Registration under the IPS Acts confers incorporated status and limited liability on the registered body in the same way that the Companies Acts confer these on registered companies. The industrial and provident society, however, is a quite separate type of legal entity or person from that of the company. It is not a requirement for a co-operative to be registered under the IPS Acts. A co-operative could register as a company and some do so. Some larger co-operatives in the agricultural sector now use both legal forms in their group structures. The IPS Acts are administered by the Registrar of

7/ The chief executive is responsible for the leadership, organisation, structure and management of the Association's executive and staff team, including recruitment and work programme assignments, grading, salaries and working conditions based on good employment practices and value for money budget resources allocations.

8/ The chief executive has responsibility for the Association's national representative role and public profile on behalf of the co-operative housing sector in Ireland, including relations with government departments, other state or statutory agencies and local authorities and the public perception of the role and potential of co-operative housing as a means to solve housing needs for members and their communities.

9/ The chief executive implements the Association's representative strategy as the national federation for the co-operative housing sector, with the assistance of the executive and staff team, in meetings, working groups, committees and Social Partnership and in such other activities and engagements as are necessary to further the common interests, concerns and the future balanced regional development of co-operative housing.

10/ The chief executive conducts and co-ordinates, with the assistance of the executive and other staff, relations with other national organisations and such representation of the common interests of national co-operative housing sectors as may be necessary at the European Union and international levels, including the exchange of information and data, within the application of limited budget resources and value for money requirements.

11/ The chief executive implements the Association's strategy and co-ordinates the performance of the work programme and support services for the organisation, management and good governance of affiliated co-operative

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Friendly Societies. The main primary legislation applying to industrial and provident societies spans the period 1893 to 2005 (Dept. of Enterprise, Trade and Employment, 2009: 6) http://www.djei.ie/commerce/cooplaw/IPS%20Consultation%20Paper%20(Final%202)%2020.4.09.pdf (23/10/2012)

housing societies, together with information and training programmes for co-operative members, management board member/director development, co-operative managers and staff.

12/ The chief executive conducts and co-ordinates, with the assistance of the executive and other staff, the Association's shared services with affiliated co-operative housing societies, including computerised rent collection, insurances, housing management and maintenance performance guidelines and data measurement, to achieve quality housing services for co-operative member/user/residents on a consistent basis.

13/ The chief executive implements the Association's strategy, with the assistance of the executive and other staff, as a development agency for the expansion of co-operative housing, including the provision of both social and affordable rental and ownership housing, by way of construction or acquisition contracts, working with affiliated co-operative housing societies or promoting new societies as appropriate. This includes the promotion of member/user housing co-operatives to manage and maintain apartment buildings.

14/ The chief executive ensures that initiatives by the Association to expand co-operative housing are based on realistic responses to housing needs, careful advance business planning, prudent financing, including workable public funding and independent borrowing as appropriate, within effective risk control.

15/ The chief executive prepares an annual budget, within the financial resources available to the Association, for income and expenditure and provides regular financial management accounts/reports compared with the budget plan.

16/ The chief executive carries on the day-today business, administration and other activities in such a way as to comply with the policies and procedures adopted for good governance standards, avoidance of conflicts of interest involving contractual or related matters, compliance with legislative and

regulatory requirements and the co-operative organisational values and principles.

17/ The chief executive supports and contributes to the regular review and evaluation by the management committee of the Association's policies, strategies, governance procedures, work programme objectives and performance levels.

Stepping up as it were from a Manager to a Chief Executive was daunting. While there was certainly confidence in some areas of the business and a belief you got the post for a reason there was also a fear of being caught out or found out in some way. I read through my job description and assigned what I considered relevant theories alongside each task to see where the strengths and weaknesses lay, which could also be written as where I had confidence or where I was unsure.

Importantly for me, I did not want to be restricted by my job description in terms of being a CEO, the job description being a list or a boundary of the limits of the role. Some of the definitions I read of being a CEO give a broader scope than a 'task list'. Some of the definitions of a CEO I could relate to include, "The CEO holds the vision of the entire organization: everything from its business environment to its customers to its vulnerabilities and strengths to its cash position to its strategy, and beyond" in Johnson (1998: 11) and "In the simplest of terms it could be said the CEO's job is basically to put the right people in the right job at the right time, and to lead those people from where they are to where they ought to be – setting a direction to the business" In Benton (1999: 341)

In my post, the job description and the 2015 Organisational Strategy provide some direction and a list of the tasks that the board wishes to see executed, but there are a vast number of variables within that context, not least prioritisation. There are other issues to consider in terms of the needs of the organisation. Galbraith (1972:163) refers to the needs of the members of society by stating "What an organization will seek from society will be a reflection of what its members seek from the organization". This for me is a very apt definition for

my organization as its legal entity is a 'Society' and our assumptions of our business are that the beneficiaries of the organisation are not just the shareholders but society in general.

NOT-FOR-PROFIT

While this paper is based on my role as CEO of a Not-For-Profit organization I must declare my dislike of the term. In my view, all organizations, profit making or non-profit must adhere to the goal of professional systems and service delivery. I also believe that the management and leadership of a not-for-profit can often be more complex than another organizational type because its bottom line includes not alone financial accountability but also often intangible qualitative output. Not-for-profits generally and co-operative bodies, as outlined in greater detail later, are guided by a principle of supporting and developing others, whether members or not.

Obviously there are distinctions: non-profit organisations tend to provide social services to society but do so independent of government. Some receive government support and have to work within the relevant regulatory framework. Drucker describes the product of the Not-For-Profit as "*a changed human being*" (1990: x, emphasis in original)

APPROACH

Da Vinci said, "Those who are in love with practice without knowledge are like the sailor who gets into a ship without rudder or compass and who never can be certain where he is going. Practice must always be founded on sound theory, and to this perspective is the guide and the gateway; and without this nothing can be done well…" The same point, was made more succinctly by Whitehead (1917:105) with his view that "Organized thought is the basis of organized action." Whitehead described science as a river of two streams, theory and practice.

In advance of taking up my role and during the handover period I tried to align what I knew about the role with the business theories I knew. I also sought out

readings and theories, which could aid me for areas of the business/role, that I had neither experience of nor existing theories.

I began the process by going through my job description looking to see what theories I thought I needed. The list appeared to be extensive at first but further reading of some of the world's most famous organizational leaders challenged my thinking that volume was required.

An interesting observation was made by Jack Welch "I would never tell anyone how to become CEO of GE because I do not know how it happens. But I would say the things I talk about when I teach the Crotonville Leadership course. All about energy, energize and edge-E cubed, I call it. You've got to have incredible energy to lead any organisation. You've got to be on fire if you will. It's part of it. You've got to be able to energize people. You've got to care about them; they have to believe you care about them. You can have all the energy in the world, but if you don't get other people energized nothing happens. The ability to energize, excite, bring in, share it is the most exciting thing" Lowe (1998:204) The quote from Welch reflects my experience to date. In the beginning there is an adrenaline rush in the role, nervous energy in abundance. But to sustain effectiveness the pace and energy must also be sustained. People want your, time, focus and energy.

An examination of my job description highlighted a number of obvious areas of professional practice where clear theories would be required, namely:

The Theory of Co-operatives

The Theory of the Business (Drucker)

Managing Change

Human Resources

Organisational Theory

Leadership

Organisational Culture

Communication

Motivation

For the purposes of clarity these themes have been condensed into three main theoretical headings for this Essay:

1. Theory of the Co-operative
2. Theory of the Business
3. Theory of Organisational Leadership

I have identified these three critical Theories have been identified as having most relevance for my explorations in Essay Three. The Theory of Organisational Leadership incorporates not only Leadership but also Managing Change, Human Resources, Organisational Theory, Organisational Culture, Communication, Motivation and the Leadership required to implement those.

THEORY OF THE CO-OPERATIVE

In advance of defining my interpretation of the Theory of Co-operatives I believe it is vital to outline the origin and principles[12] of Co-operatives. Co-operatives as you will see are far more than the bottom line on a balance sheet, they aim to impact society in a constructive way, for the good of many rather than the good of some, a people-centred enterprise.

WHAT IS A CO-OPERATIVE?

The definition of a co-operative according to the International Co-operative Alliance (ICA), of which NABCO is a member, is, "a Co-operative is an autonomous association of persons united voluntarily to meet their common economic, social, and cultural needs and aspirations through a jointly-owned

[12] A fundamental truth or proposition that serves as the foundation for a system of belief or behaviour or for a chain of reasoning http://oxforddictionaries.com/definition/english/principle (23/10/2012)

and democratically-controlled enterprise." [13]

THE HISTORY OF CO-OPERATIVES

The idea and various forms of Co-operation have been in existence for centuries, "In the Bible itself, we find evidence of collective organizations with economic content" (Berberini 2009:21) The goal of early co-operators according to Tucker (1982) was to change society through social and economic transformation. There are numerous examples of the co-operative form throughout history with the model closest to the modern co-operative becoming more prevalent in the 18th Century. The first form of Co-operative in America is said to have been a mutual fire insurance company set up by Benjamin Franklin in 1752.

Berberini credits Adam Smith with inspiring Robert Owen, "a Scottish industrialist who was keenly attuned to the great problems of his time and eager to find new paths to solve those problems. In some ways, Smith encouraged him to seek, in the development of forms of co-operation, the answer to the problem of how to ensure the respect of human dignity, acceptable living conditions, and ultimately social justice and civil coexistence" (2009:19). Owen began experimenting with various forms of co-operative communities.

Below is an extract from an appearance by Owen before Robert Peel's House of Commons Committee on April 26th, 1816. The purpose of the text in this document is to demonstrate how the balanced capital and social benefit of the co-operative idea has and continues to strive for great social change throughout the world.

ROBERT OWEN BEFORE ROBERT PEEL'S HOUSE OF COMMONS COMMITTEE:

Question: At what age to take children into your mills?

Robert Owen: At ten and upwards

Question: Why do you not employ children at an earlier age?

Robert Owen: Because I consider it to be injurious to the children, and not

[13] http://2012.coop/en/what-co-op/co-operative-identity-values-principles (23/10/2012)

beneficial to the proprietors.

Question: What reasons have you to suppose it is injurious to the children to be employed at an earlier age?

Robert Owen: Seventeen years ago, a number of individuals, with myself, purchased the New Lanark establishment from Mr. Dale. I found that there were 500 children, who had been taken from poorhouses, chiefly in Edinburgh, and those children were generally from the age of five and six, to seven to eight. The hours at that time were thirteen. Although these children were well fed their limbs were very generally deformed, their growth was stunted, and although one of the best schoolmasters was engaged to instruct these children regularly every night, in general they made very slow progress, even in learning the common alphabet. I came to the conclusion that the children were injured by being taken into the mills at this early age, and employed for so many hours; therefore, as soon as I had it in my power, I adopted regulations to put an end to a system, which appeared to me to be so injurious.

Question: Do you give instruction to any part of your population?

Robert Owen: Yes. To the children from three years old upwards, and to every other part of the population that chooses to receive it.

Question: If you do not employ children under ten, what would you do with them?

Robert Owen: Instruct them, and give them exercise.

Question: Would not there be a danger of their acquiring, by that time, vicious habits, for want of regular occupation.

Robert Owen: My own experiences leads me to say, that I found quite the reverse, that their habits have been good in proportion to the extent of their instruction.

As is apparent from the line of questioning above Owen, as with most pioneers, was not short of critics. One of these was a Cork native William Thompson. Thompson, a pioneer in his own right was a wealthy landowner and a Co-operative supporter but questioned Owen's attitude towards the democratic opportunity of the worker. Unusual for his time, Thompson argued against the wealth and privilege of his own class if undistributed. He was one of the first theorists in the Co-operative space. He wrote, "The paramount mischief of the

capitalist system is that it throws into the hands of a few the dwelling of the whole community, the raw materials on which they must labour, the machinery and the tools they must use, and the very soil on which they live and from which their food must be extracted." (Keating 1983:15).

There were various forms of co-operation attempted in the early half of the 19th century but most failed due to various issues with shareholding and the general issue that co-operatives still experience, which is abandonment when economic times are good. Tucker put it very well when he described Co-operatives as children of distress. "They emerged where private enterprise and the State did not cater for the needs of the community" (1983:14).

Various attempts at co-operation were established in 1830 at Rochdale, near Manchester, where Robert Owen was a member. Modern Co-operatives are based on the principles devised by the Rochdale Pioneers in 1844. The Rochdale Pioneers were a group of weavers seeking to purchase goods at a lower cost and higher quality than was available locally in shops generally run by the factory owners. The "pioneers" each agreed to invest a small sum of money to become shareholders in the Co-op, which rented a building to run a small shop.

In 1844 the Rochdale Pioneers devised a number of rules of principle for their Co-operative Enterprise.

- That capital should be of their own providing and bearing a fixed rate of interest.
- That only the purest provisions procurable should be supplied to members.
- That full weight and measure should be given.
- That market prices should be charged and no credit given nor asked.
- That profits should be divided pro rata upon the amount of purchases made by each member.
- That the principle of 'one member one vote' should obtain in government and the equality of the sexes in membership.

- That the management should be in the hands of officers and committee elected periodically.
- That a definite percentage of profits should be allotted to education.
- That frequent statements and balance sheets should be presented to members.

The Rochdale Co-operative was a tremendous success with the model being copied throughout Britain but the legacy of the Rochdale Principles has had an enormous impact on the global economy and social contribution. The site of the original Rochdale Co-operative was recently designated the birthplace of the modern co-operative by the International Co-operative Alliance (ICA). The largest gathering organized for 2012, the UN year of the Co-operative is in Manchester near Rochdale.

THE IMPACT OF CO-OPERATIVES

In 2012 the number of people represented by ICA affiliated members currently stands at just under one billion people.

The impact and benefit of the Co-operative Model was captured in the 2011 Global 300 report which states that the top 300 Co-operative Organisations have a turnover of €1.7 trillion and employ almost 100 million people.

The United Nations (UN) General Assembly designated 2012 the International Year of the Co-operative (IYC 2012). The UN said, in Resolution A/Res/64/136 (Appendix 2.1) Cooperatives in social development, that the year was to celebrate "the contribution of co-operatives to socio-economic development, particularly their impact on poverty reduction, employment generation and social integration."

Briscoe et al (2000:46) say that Co-operative Theory originated with the assumption that the "greatest long term efficiency, security and empowerment" for service users is the control and management of the co-operative and its service provision. This statement is backed up by Levi-Montalcini, outlining her view that "the form of the co-operative enterprise … has proven the best suited

to encourage the growth of human capital and to demonstrate great potential for the economy of its society of origin. (Berberini 2009:9).

A History of Co-operatives in Ireland

Robert Owen also had an impact in Ireland where an early experiment in Co-operatives was carried out by a supporter and acquaintance of his, John Scott Vandeleur a landlord based in Ralahine, County Clare. In 1831 Vandeleur with the aid of E.T. Craig from Manchester developed a set of goals for the Co-operative:

1. The acquisition of common capital
2. The mutual assistance of its members against evils of poverty, sickness, infirmity and old age
3. The attainment of a greater share of the comforts of life than the working class now possess
4. The mental and moral improvement of its adult members
5. The education of their children

Records show that the Ralahine experiment was a resounding success for all participants during the two years of the experiment, which was abruptly ended following the loss of the farm through Vandeleur's gambling.

The first formal Co-operative in Ireland was established in 1889 at Doneraile, Co. Cork with the first Creamery Co-operative opened in Dromcollogher, Co. Limerick. The first agricultural credit society was set up in Cork in 1894.

Horace Plunkett formed the Irish Agricultural Organisation Society Ltd, (later renamed as the Irish Co-operative Organisation Society Limited – ICOS) in the same year.

The Registrar of Friendly Societies, under the Industrial and Provident Societies Acts 1893-1978, registers Co-operative Societies in Ireland. The act provides for a Society to be registered in any, industry, businesses or trade allowed for by its rules. There is no mention of the term Co-operative in the legislation Governing Co-operatives; the term used to describe a co-operative is an Industrial and Provident Society.

The Registrar is based in the Company Registration Office and doesn't have a website.

Registration of a Co-operative (Society) requires a membership of at least seven people.

The Irish Co-operative Development Society (ICOS), NABCO and the Co-operative Development Society provide support for those wishing to form a Co-operative with developed model Rules for various sectors, however, actual registration and rule changes are dependent on the approval of the Registrars Office. Societies must also lodge Annual and Triennial returns with the Registrar. Failure to do so may lead to cancellation of the Society registration.

The cost of Registration of a Society in 2012 is €507.90.

In 2010 there were 1,063 registered Industrial and Provident Societies in Ireland. During that year there were 27 new Societies registered.

Nearly three quarters of the Irish population is a member of a Co-operative through membership of their local credit union.

THE PRINCIPLES OF CO-OPERATION

As the Rochdale Pioneers were involved in retail their general "Principles" have evolved over time to cover a far wider range of Co-operative Enterprises. Co-operatives, in particular members of the ICA, use seven globally agreed principles (below) in carrying out their activities.

1. VOLUNTARY AND OPEN MEMBERSHIP

Co-operatives are voluntary organizations, open to all persons able to use their services and willing to accept the responsibilities of membership, without gender, social, racial, political or religious discrimination.

2. MEMBER CONTROL

Co-operatives are democratic organizations controlled by their members, who actively participate in setting their policies and making decisions on the principle of one member one vote. Men and women serving as elected representatives are accountable to the membership.

3. MEMBER ECONOMIC PARTICIPATION

Members contribute to and democratically control the capital of their co-operative. At least part of that capital is usually the common property of the co-operative. The co-operative's surplus is either distributed to its members in proportion to their transactions with the co-op, or directed to other activities approved by the membership.

4. AUTONOMY AND INDEPENDENCE

Co-operatives are autonomous, self-help organizations controlled by their members. If they enter into agreements with other organizations, including governments, or raise capital from external sources, they do so on terms that ensure democratic control by their members and maintain their co-operative autonomy.

5. EDUCATION, TRAINING AND INFORMATION

Co-operatives provide education and training for their members, elected representatives, managers, and employees so they can contribute effectively to the development of their co-operatives. They also strive to inform the general public - particularly young people and opinion leaders - about the nature and benefits of co-operatives?

6. CO-OPERATION AMONG CO-OPERATIVES

Co-operatives serve their members and strengthen the co-operative movement by working in solidarity with other co-ops and national, regional, and international co-operative organizations.

7. CONCERN FOR COMMUNITY

Co-operatives work for the sustainable development of their communities through policies approved by their members.

In Essay Three, I will demonstrate how I (NABCO), used theory as an apparatus of thought to look at our business through the lens of the theory of the co-operative. Once again, I would like to give my interpretation of a theory using the framework as outlined and described in Essay One (Page 20)

THEORY OF THE CO-OPERATIVE (MY INTERPRETATION)

1. What is the Issue Question?

How can individuals, organization and communities leverage their combined resources to create benefit for all, beyond that of just financial?

2. What answer does the Author give?

"Co-operatives are enterprises that put people at the center of their business and not capital. Co-operatives are business enterprises and thus can be defined in terms of three basic interests: ownership, control and beneficiary" International Co-operative Alliance[14]. Evidence shows (ICA Global 300 Report 2011)[15] and International Labour Organisation (ILO) studies, that co-operatives - if effective - can bring benefit to a greater number and in more ways than the general business through their belief that "Everybody has the right to a fair livelihood, adequate health, educational opportunity and access to water and energy"[16] (ILO: 2004: 2). Co-operatives are concerned with Society.

3. Orienting Generalization:

Working co-operatively and guided by the Principles of the International Co-operative Alliance, common goals, can be achieved more readily.

4. Dynamic Principle:

The coming together of people with common purpose is the dynamic principle, which drives on change in our communities and society. The purpose is dependent on the needs of the group, for NABCO the need is Housing, for Credit Unions the purpose is available finance, for agricultural co-ops the purpose can be collective bargaining or the wholesale of produce. Other examples of common purpose are the provision of childcare, insurance or healthcare. The

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[14] http://2012.coop/en/what-co-op/co-operative-identity-values-principles

[15] http://2012.coop/en/media/library/global-300/global300-report-2011

[16] http://www.ilo.org/wcmsp5/groups/public/---ed_emp/---emp_ent/---coop/documents/instructionalmaterial/wcms_160221.pdf

change as stated earlier can take multiple forms but is generally economic and social.

5. Model (Setting/Abstraction/Material for Theorising):

The model Co-operatives work in, as their legal structure and name tend to suggest, is Society. As stated previously, co-operatives by their nature and values promote benefit to the wider community, society as a whole.

In NABCO, to describe the distinction between Co-operative Housing and Voluntary Housing provision we describe the Cooperative Housing model as locally owned and locally managed.

6. Given Variables:

The following is my non-exhaustive list of given variables:

Legislation

Economic conditions

Environmental Conditions

Government policy – e.g., the Polish Government recently (2011) tried to take and or disperse the assets of that country's Co-operatives.

Individual behaviour

7. Dependent Variables:

In a general theory of Co-operatives I define the 'common goal' of the co-operative as the dependent variable. For NABCO the dependent variable is the provision of 'housing and related services'.

8. Independent Variables:

The improved economic and social circumstances of the co-operators and their communities

Examples generally include producers looking for a better return on investment or consumers looking for better value. In some instances when the common

goal has been achieved the co-operative ceases to operate in other instances Co-operatives seek continued growth in the same sector of through diversification.

9. Main Concepts:

Exploration of alternative means of economic growth

The potential social impact of Co-operative enterprises

THEORY OF THE BUSINESS

In 1994, Peter Drucker published a paper entitled, *The Theory of the Business* (TOB). According to Drucker all organisations whether a business or not have a theory of the business.

Drucker (1994) believed that most executives had many techniques to aid the "How to do" questions within an organization but the real questions that need to be asked in an organization are about "What to do".

Drucker pointed out how good organisations are not achieving the required results because "The assumptions on which the organization has been built and is being run no longer fit reality." He goes on to say that these are assumptions that "shape and organisations behavior, dictate its decisions about what to do", Drucker says that these "assumptions are about what a company gets paid for." This is how Drucker defines the "Theory of the Business" (Drucker 1994:94-96).

Kegan's reference to the power of assumptions is also relevant, "Even small changes in big assumptions can lead to big changes in people's actions and sense of possibility" Kegan (2002:70)[17] Drucker's TOB provides a clear framework for business practitioners to identify their assumptions about their organizations and to test those assumptions. The outcome is a potentially a more focused business model for the organization being more relevant to the

[17] Provided in a handout from Dr. Jim Walsh, the reference was taken from Prof. Kegan, Harvard University, *Journal in Staff Development*

market, staff and management and the capacity for iterative review of the business.

The potential downfall for any organization is when its "reality has changed, but the theory of the business has not changed with it" (1994:98).

According to Drucker, the TOB has three parts:

1. Environment of the organization.

2. Assumptions about the specific mission of the organization

3. Assumptions about the core competencies required.

Drucker (1994:100) also outlined his four elements of a valid theory of the business.

1. The assumptions about environment, mission, and core competencies must fit reality.
2. The assumptions in all three areas have to fit one another.
3. The theory of the business must be known and understood throughout the organization.
4. The theory of the business has to be tested constantly.

Drucker explained that "Eventually every theory of the business becomes obsolete and then invalid" (1994:101).

Preventative care of the organization according Drucker is available in the form of:

(a) Abandonment
And

(b) Early diagnosis.

Abandonment occurs where an organization "should challenge every product, every service, every policy, every distribution channel with the question, If we were not in this business already would we be going into it now?" (1994:102). If preventative care fails, the TOB provides warning signs to look out for in

relation to an invalid theory, unexpected success and unexpected failure of the business - or a competitor.

Drucker (1994:101) warns against maintaining assumptions that no longer fit reality particularly the assumptions in relation to markets and what business the organization engages in to generate an income and sustain itself. These assumptions focus on customers and competiveness, their values and behavior, technology and its dynamics.

Drucker (1994:104) also believes that the CEO is responsible for the establishment, maintenance and restoration of a Theory of the Business, "It is not genius; it is hard work. It is not being clever it is being conscientious. It is what the CEO is paid for"

I have been drawn to this theory because of its simplicity and the clarity it brings by placing the organisation alongside its concepts. It is a concise but extremely clear Theory with the potential to steer any organisation away from assumptions that impact negatively on its potential effectiveness.

THEORY OF THE BUSINESS (MY INTERPRETATION)

1. What is the Issue Question?

What general business should an organization be involved in?

2. What answer does the Author give?

The answer should evolve from a process of re-evaluating the assumptions of the organization. "These assumptions are about identifying customers and competitors, their values and behaviour…about a company's strengths and weaknesses." (1994:96).

3. Orienting Generalization:

Organisations have been more focused on how to do things than on what they should be doing.

4. Dynamic Principle:

A review of the organisation through the lens of Drucker's Theory and its three parts, namely:

1. The environment of the organisation
2. The mission of the organisation
3. The resources required to complete the mission of the organisation

5. Model (Setting/Abstraction/Material for Theorising):

The organization/business

6. Given Variables:

The following is my non-exhaustive list of given variables:

The cyclical or seasonal nature of the business and its customers.

The experience of management

7. Dependent Variables: (What we are explaining and what we would like to change)

The assumptions about the business the organization engages in.

The continuous testing of the organizations assumptions

8. Independent Variables: (What we are not explaining but which have an impact on the Dependent Variable)

The resources of the organisation.

9. Main Concepts:

Profit and loss

Organisational effectiveness

THEORY OF ORGANISATIONAL LEADERSHIP

Leadership is probably one of the most thought about and examined aspects of society, and particularly in business. Bennis (1999) wrote, "For all the ink it gets in scholarly, business, and popular journals, leadership remains an elusive concept." Stodgill had similar views, "there almost as many definitions on leadership as there are persons who have attempted to define the concept" (1974:259). My personal experience is that when asked about Leaders most people tend to think of political figures like Nelson Mandela, John F Kennedy, Barrack Obama, or Winston Churchill. In the business world they tend to think of people like Steve Jobs, Bill Gates, Warren Buffett, Michael O'Leary or Richard Branson. There are wide-ranging perceptions of what a leader is, what a leader does, views on whether leaders are born or made, whether they all share some common traits etc.

Definitions of Leadership vary widely but according to Rost (1991:5), "it should be no surprise that scholars and practitioners have not been able to clarify what leadership is, because most of what has been written has to do with the peripheral elements and content rather than with the essential nature of leadership. If scholars and practitioners have not focused on the nature of leadership, it should not surprise any of us who are interested in the subject that we do not know what leadership is".

For me the process of becoming a leader has created even more questions. Much is written on leadership and how it relates to the Chief Executive (CEO) role but by contrast there is very little information available for newly appointed CEO's.

Rost in his extensive review of leadership literature written prior to 1990 believed that the "problem with the industrial paradigm is that it increasingly serves the needs of a world rapidly being transformed by a paradigm shift in societal values" (1991:181). If that is the case then the required traits, attributes and skills of new leaders will also need to continually evolve.

Kegan and Lahey whose work on adult mental development is central to this DBA programme define leadership "as the exercise of authority" (1984:199).

WHAT DOES A LEADER DO?

Theorists working in this area have tended to write about the technical/functional aspects of Leadership or about the nature of Leadership. Either approach has produced commonalities across the relevant literature. I believe both the function and the nature of leadership have value and my reading for change – Essay Two - reflects that.

FUNCTION AND NATURE OF LEADERSHIP

Reviewed by Bass & Stodgill (1990), Roby (1961) defines, in almost a co-operative way, "the functions of leadership are to (1) bring about a congruence of goals among the members, (2) balance the group's resources and capabilities with environmental demands, (3) provide a structure that is necessary to focus information effectively on solving the problem, and (4) make certain that all needed information is available at a decision center when required" (1990:383).

Bennis[18] (1997:2) found that "in effective companies, CEO's do not simply adopt the leadership approach that suits their personalities but instead adopt an approach that will best meet the needs of the organization and the business situation at hand." He believes the leaders of great groups, without exception, shared four behavioral traits, "They:

- *Provide direction and meaning.* They remind people of what's important and why their work makes a difference.
- *Generate and sustain trust.* The group's trust in itself -- and its leadership -- allows members to accept dissent and ride through the turbulence of the group process.
- *Display a bias toward action, risk taking, and curiosity.* A sense of urgency -- and a willingness to risk failure to achieve results - is at the heart of every Great Group.
- *Are purveyors of hope.* Effective team leaders find both tangible and symbolic

[18] Warren Bennis, The Secret of Great Groups, Leader to Leader, 1997. http://www.consultpivotal.com/great_groups.htm (23/10/2012)

ways to demonstrate that the group can overcome the odds".

Zaleznik, author of *The Managerial Mystique* in an interview with the New York Times[19] (July 02, 1989) said "Leaders bring their imaginations to real-world situations. They are able to focus on their imagination to create new concepts and ideas for an organization and for getting people excited about doing their best. The products of a leader's imagination and vision stand up to the test of the marketplace".

Bennis wrote (1997: 1) "the more I look at the history of business, government, the arts, and the sciences, the clearer it is that few great accomplishments are ever the work of a single individual". This view was similar to that of Watkins, "Leadership is ultimately about leverage. Effective leaders leverage themselves-their ideas, energy, relationships and influence-to create new patterns in organizations. The leader is just one person, and one person can accomplish very little on their own". (2003:273)

Relating the above to my theory of leadership, when I began my role I believed strongly that any organisational successes would only be possible with buy in, support and delivery by all staff in the organization. For that reason the change management process I introduced was underpinned throughout with consultative processes. The critical variable for success of the processes is the stage at which consultation takes place. Should the CEO develop a completed proposal? A series of proposals? Should the work programme be developed from scratch with all stakeholders? A difficulty with any change process is fear of the unknown and any information related to change becomes a currency in an organisation. There is also an issue with the logistics of participation. As an organization with more than 50 staff bringing everyone together on a regular basis is not very practical. The solution tends to be the use of committees and working groups. I have always been wary of the scope and workings of committees and how they can often hold up progress, particularly if their mandate is not clear to all. As Brendan Behan famously once quipped, the first item on the agenda of every Irish committee is the split!

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[19] New York Times, July 02, 1989

The expediency required to achieve buy-in from staff was highlighted by Watkins's list of ten factors he identified as critical to success in the first 90 days of being a leader. Number eight on the list is to Create Coalitions, "Your success will depend on your ability to influence people outside of your direct line of control. Supportive alliances, both internal and external, will be necessary to achieve your goals. You should therefore start right away to identify those who support is essential for success, and to figure out how to line them up on your side" (2003:14). It is difficult to do this when many of those are in different geographic locations and the dynamics of the daily workplace are not visible.

Described by Kouze & Pozner (1995) as five fundamental practices of exemplary leadership, I view the following list as a mix of the function and nature of leadership:

1. Challenge the process,

2. Inspire a shared vision,

3. Enable others to act,

4. Model the way,

5. Encourage the heart.

Bennis also crosses the divide of Function and Nature by incorporating technical competence into his framework of effective leadership, "research points to seven attributes essential to leadership. Taken together they provide a framework for leading knowledge workers:

Technical competence: business literacy and grasp of one's field

Conceptual skill: a facility for abstract or strategic thinking

Track record: a history of achieving results

People skills: an ability to identify and cultivate talent

Judgment: making difficult decisions in a short time frame with imperfect data

Character: the qualities that define who we are" (1999: 2)

Right Management, a consulting firm, in their 2007 publication describe their interpretation of Organisational Effectiveness, "The challenge for businesses seems simple: align and engage your workforce to a clearly articulated strategy. However, this can be difficult to achieve. It requires a holistic, coordinated effort to put a number of key elements of building blocks in place" (2007: 7) They go on to outline an integrated framework incorporating:

Strategy,

Structure, Capacity and Capability,

Leadership

People Systems and Processes

Culture and Values

Employee Engagement

And

Customer experience (2007: 8)

The findings of a detailed survey undertaken by the group found that less than half of all employees believed their organisation was not being led by someone capable and without the systems that drive the right behaviours.

Staff engagement is highlighted in the survey as a driver of success in organizational effectiveness. The survey found that the key engagement drivers were:

- "Senior leaders effectively implement the organization's strategy
- Customers think highly of products and services
- Senior leaders have the capability to make the organization successful
- The organization invests in people's learning and development
- Pay is competitive with similar jobs in other organizations" (Right Management 2007:11).

Zaccaro & Klimonski (2001) explained "One reason for the lack of progress in developing an integrated understanding of organizational leadership is that theorists of all stripes have sought to offer generic leadership theories and models that use many of the same constructs to explain leadership across different organizational levels" (2001:4) The writers addressed the question of what the CEO needs to manage or address in order for their organization to be successful. The authors reviewed the works of a number of other authors and came to the conclusion that there are seven fundamental work imperatives for organizational leaders: cognitive, social, personal, political, technological, financial and staffing demands.

MANAGING CHANGE

I have included this section on managing change, as I believe it is the one area of the business that all new CEO's are guaranteed to face. Whilst under the heading/theory of Leadership I wanted to have a clear understanding of how I thought about change and how to manage it.

In preparation for a presentation, which was required for my second interview for the role of CEO, one of the areas I focused on was managing change. It was inevitable for a number of reasons that managing change was going to be central to the success or failure of my tenure.

1. A new organizational strategy had been developed for 2010-2015, which proposed changes in a number of areas.
2. The external climate for the organization had changed radically overnight as a result of the economic crash, Government funding had been cut from 100% (€1.79Bn in 2010)[20] to 0%[21].
3. The largest development ever undertaken by the organization was due to be completed after 13 years of work.

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[20] http://www.environ.ie/en/Publications/StatisticsandRegularPublications/AnnualReports-Departmental/FileDownLoad,27364,en.pdf (23/10/2012:56)

[21] There is a pre-budget proposal by the Government of €700m towards housing in 2013. Much of this funding is to pay existing commitments under Part V agreements and current expenditure.

4. A founder and 35 year leader of the organization was no longer going to be involved in its management.

This, in fact, turned out to be the area of activity, which took most of my thought and time and is detailed in Essay Three.

The dominant theories for managing change in an organizational setting as presented on my MBA and in business literature are those of Kotter (1996) and Lewin (1947).

Kotter, when asked[22] about Leadership and change being the central themes of his work and to what extent they were both synonymous he replied that, "They are tightly interconnected. Great leaders mobilise people to do something that creates a new state of affairs. They take a situation that was going off the cliff and bring it all the way back, or they take a situation that seemed fine and make it better" (2009)

Kotter's, most well know work, his Theory of Leading Change (1996:21) outlines his eight proposed steps of change:

1) Establishing a Sense of Urgency

Examine market and competitive realities, and identify and discuss crises, potential crises, or major opportunities

2) Creating the Guiding Coalition

Assemble a group with enough power to lead the change effort, and encourage the group to work as a team

3) **Developing a Change Vision**

Create a vision to help direct the change effort, and develop strategies for achieving that vision

4) **Communicating the Vision for Buy-in**

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[22] John Kotter was interviewed by Des Dearlove, http://www.management-issues.com/2009/8/3/mentors/john-p-kotter-on-leadership-and-change.asp (23/10/12)

Use every vehicle possible to communicate the new vision and strategies, and teach new behaviors by the example of the Guiding Coalition

5) **Empowering Broad-based Action**

Remove obstacles to change, change systems or structures that seriously undermine the vision, and encourage risk-taking and nontraditional ideas, activities, and actions

6) **Generating Short-term Wins**

Plan for visible performance improvements, create those improvements, recognize and reward employees involved in the improvements

7) Never Letting Up

Use increased credibility to change systems, structures, and policies that don't fit the vision, also hire, promote, and develop employees who can implement the vision, and finally reinvigorate the process with new projects, themes, and change agents

8) **Incorporating Changes into the Culture**

Articulate the connections between the new behaviors and organizational success, and develop the means to ensure leadership development and succession

The above points are supported by what Kotter describes as common errors in leading change, which he outlines as:

- Allowing too much complacency
- Failing to create a sufficiently powerful guiding coalition
- Underestimating the power of the vision
- Under communicating the power of the vision by a factor of 10 (or 100 or even 1000)
- Permitting obstacles to block the new vision
- Failing to create short-term wins

- Declaring victory too soon
- Neglecting to anchor changes firmly in the corporate culture (1996:16).

The net effect of the above errors according to Kotter is the failure of strategies, acquisitions, downsizing and quality programs. What the theory explains is why organizations resist needed change and how leadership is required to drive that change. Kotter defines leadership as a "set of processes that creates organizations in the first place or adapts them to significantly changing circumstances. Leadership defines what the future should look like, aligns people with that vision, and inspires them to make it happen (1996:25).

Lewin (1947) described effective change management as a three-stage process, Unfreeze – Change – Freezing.

Stage 1 – Unfreeze

This, the most difficult stage, is where the staff and the organization are made 'change ready'. The dynamic principle in this process is to demonstrate to those concerned that this way of being cannot continue.

Stage 2 – Change

Lewin describes time and communication as being the two critical factors during the change stage where people look to resolve anxiety and find new ways to do things.

Stage 3 – Freezing (Also known as Refreezing)

This period is described as being underway when the volume of change begins to diminish. When the organizational chart and job descriptions begin to stabilize it is a sign of a return to stability.

But change, as we know from this DBA programme is not straightforward. In fact it is extremely challenging for most of us. "Adaptive work is required when our deeply held beliefs are challenged, when the values that made us successful become less relevant, and when competing perspectives emerge … Mobilizing and organization to adapt its behaviours in order to thrive in new business environments is critical. Without such change, any company today would falter.

Indeed, getting people to do adaptive work is the mark of leadership in a competitive world" Heifetz and Laurie (2001:172). The authors identify why most senior executives have great difficulty in leading adaptive change, namely they must firstly overcome their natural tendency of leading through providing the solutions and secondly executives avoid asking the tough questions of employees but protect them from what the authors describe as the "pinch of reality" in order to invoke adaptive change. In *The Work of Leadership*, Heifetz and Laurie identify six principles for leading adaptive work: identifying the adaptive challenge, regulating distress, maintaining disciplined attention, giving work back to the people, and protecting voices of leadership from below.

On exploration of my interpretation of a Theory of Managing Change I believe the concepts are identical to that of a Theory of Effective Leadership.

THEORY OF ORGANISATIONAL LEADERSHIP/MANAGING CHANGE (MY INTERPRETATION)

1. What is the Issue Question?

How can one effectively lead an organisation?

2. What answer does the Author give?

Ongoing review and clarity needs to be brought to the organisations mission, vision, goals and strategy. The relevant stakeholders should participate at all stages of the process. The outcomes should be clearly, effectively and regularly be disseminated to the relevant stakeholders.

3. Orienting Generalisation:

Effective leadership implies the organisation remains relevant to its stakeholders

4. Dynamic Principle:

Effective communication of the key organisational messages to the relevant stakeholders

5. Model (Setting/Abstraction/Material for Theorising):

The organisation/business

6. Given Variables:

The following is my non-exhaustive list of given variables:

The experience of management

Competing needs of stakeholders

7. Dependent Variables: (What we are explaining and what we would like to change)

That all the contributors to the organisation are working to a clear vision collectively.

8. Independent Variables: (What we are not explaining but which have an impact or are impacted)

The resources of the organisation

9. Main Concepts: (Concepts are tools for thinking with)

Organisational effectiveness

Staff engagement at all levels of the organisation (communication).

ESSAY TWO CONCLUSION:

My purpose in this Essay Two has been to create a greater understanding of how I see the Theories I predominantly use in my professional practice. The three theories as outlined in detail in Essay Two are used as an exploration of the use of Theory as an apparatus of thought for my professional practice in Essay Three. The goal is to be able to use this technique to observe my adult mental development, my effectiveness and any enhanced effectiveness for the organisation. I will also use the Theories as outlined to explore how I can manage the increased complexity in my professional life.

This process of closely examining relevant theories has been challenging, primarily because it is new to me, but I have found it extremely beneficial in creating a greater understanding for me of the various components of a theory.

The previously identified development goal of delegation will also be monitored.

Essay Three is a companion document for Essay Two as it explores the practice of using Theory as an apparatus of thought in a professional setting.

ESSAY THREE – USING THEORY AS AN APPARATUS OF THOUGHT IN PROFESSIONAL PRACTICE

INTRODUCTION

I have been fortunate to be aware of the use of Theory as an Apparatus of Thought during this complex and challenging period of my professional life. That awareness is used in this Essay to expand my meaning making system (MMS) to manage the increased complexity of my professional role during my transition to CEO. The ability to manage increased complexity is necessary to increase my professional and organisational effectiveness. While confident in my ability, I have been concerned about taking over responsibility from someone who had nurtured and grown the business for 35 years.

This Essay is a companion to Essay Two by providing examples of the use of Theory as an Apparatus of Thought in a professional and organisational setting, namely in my role as the Chief Executive Officer (CEO) of the National Association of Building Co-operatives (NABCO). This could also be described as the application of general theory to specific circumstances.

The examples contained aim to demonstrate my enhanced Meaning Making System (MMS) and the benefit to the organisation as a result of my use of theory as an apparatus of thought. The aim of the DBA is to enhance effectiveness in Business through the use of theory as an apparatus of thought and adult mental development. I believe the examples clearly demonstrate both.

The examples are based on the three key theories identified in Essay Two as the critical theories I have chosen and used to guide my meaning making system and, in turn, my decision-making process while seeking to be effective in my role as CEO. The examples are supported by the official documentation drawn in the organisation and contained in the appendices.

References are also made in Essay Three to my developmental goal of effective delegation and my success or otherwise of endeavouring to overcome my immunity to change.

The social, economic and political environment relating to NABCO changed completely in a very short period of time (2010-2011), which coincided with my taking the post of CEO and in this Essay, I use theory as an apparatus of thought to look at the issues that arose while becoming the CEO of NABCO.

My intention in this Essay is to explore how effectiveness can be enhanced, by applying general theories to specific circumstances in a professional and organizational setting and to demonstrate how an expanded meaning making system professionally and/or organisationally can bring tangible benefits.

The theories used as an Apparatus of Thought in my professional practice, as outlined in Essay Two, are:

A - THE THEORY OF THE CO-OPERATIVE:

This Section looks at the theory of the co-operative as a framework to explore how I operate professionally and organisationally using that theory as a lens. There are seven internationally recognised principles of co-operation, which as described in Essay Two underpin the Theory of the Co-operative. Under each principle I evaluate my use of the theory of co-operatives as an apparatus of thought and how that brings clarity to my decision-making process, my actions, and the effectiveness of NABCO as a co-operative organisation.

B - THE THEORY OF THE BUSINESS:

Drucker describes the theory of the business (TOB) as what the organisation gets paid for (1994). In this Section I explore how NABCO's TOB relates to the reality of its environment. I test the assumptions of the organisation including its assumptions in relation to its customers and markets. The purpose of this section is to establish if NABCO's effectiveness can be enhanced through my use of the TOB as an apparatus of thought, or as a lens to look at the organisation.

C - THE THEORY OF LEADERSHIP:

Leadership is possibly the most written about topic in business and yet probably the most difficult to define. In this Section I explore leadership theory and try to establish if there is a theory or framework of leadership that

increases my effectiveness and that of the organization during a tremendous period of change.

THEORY AS AN APPARATUS OF THOUGHT: APPLICATIONS IN PRACTICE

A - THE THEORY OF THE CO-OPERATIVE:

Section A–The Theory of the Co-operative and Section B–The Theory of the Business are not exclusive to each other. On the contrary, each Theory informs and compliments the other. The Theory of the Co-operative provides an underlying theory to the Theory of the Business for NABCO. I would see the Theory of the Co-operative as a competitive advantage in our primary sector of housing provision.

In Essay Two my theory of Co-operatives was outlined with the coming together of people with a common aim, seen as the dynamic principle or driver of the theory. Below I outline examples of work carried in NABCO with my awareness of using the Co-operative theory as an apparatus of thought. Under each of the globally agreed Co-operative principles (ICA) there is a relevant case study demonstrating the use of Co-operative Theory. Whilst principles in themselves, are not a theory, they guide the structure of any Theory of Co-operatives. Each of the International Co-operative Alliance (ICA) Co-operative principles is in italics above the relevant example of the co-operative theory.

As described in Essay Two, the theory of the co-operative explains how a co-operative views its shareholders and the wider community. Co-operative enterprises are people-centred businesses working together for common goal, which includes social responsibility.

1. VOLUNTARY AND OPEN MEMBERSHIP

Co-operatives are voluntary organizations, open to all persons able to use their services and willing to accept the responsibilities of membership, without gender, social, racial, political or religious discrimination. (ICA: 2009)

CONTEXT

Changes have been dramatic in recent years in relation to Nationality, religion,

social and political views and this also applies to those in need of housing in Ireand. In the 1971 census, just prior to the formation of NABCO, 78.8 percent of private dwellings had piped water and just 70.8 percent had a flushing toilet.

Results of Ireland's 2011 census show a number of dramatic changes in Ireland's population:

- The population increased by 348,404 (8.2%) since 2006 to 4,588,252.
- 17% of current residents were born outside of Ireland.
- 514,068 Irish residents speak a foreign language at home.
- Divorce increased by 150.3 per cent from 35,059 individuals in 2002 to 87,770 individuals in 2011. Separation stands at 116,194 individuals in 2011. These statistics not only have a social impact in our communities but also impact the types and sizes of accommodation required.

The above statistics indicate a very different operational environment for NABCO from that in 1973 in terms of family size, housing regulation, community structure, language skills and cultural awareness.

DETAIL:

Many of the estates developed and communities supported by NABCO are in settled urban areas. The numbers of foreign nationals seeking co-operative housing membership has increased dramatically in recent years with new estates seeing occupancy of, on average, 60% foreign nationals. The number of foreign nationals being nominated by one local authority for membership to a co-operative rental estate reached 90% during a recent allocation process in Dublin.

Housing allocation is not an exact science but there are certain potential issues that experience has taught us to be aware of. Some of the issues are around design and layout of estates and others apply to the diversity of the community.

We endeavour to house a mix of employed, those receiving social benefit, family size, a broad age demographic and assist where possible with minority groupings. We also have a responsibility to support members and staff to work

together to develop our communities as positive environments in which to live.

Difficulties arose throughout our usual process in relation to communication, not just in terms of language but also in terms of how cultural differences impacted on our effectiveness. These challenges created concern and stress for staff working in the newer communities. The initial instinct was to give it time as our experience would show that estates/communities need 12-18 months to settle[23]. Frustration for staff and members only increased.

IMPACT:

What became apparent was that the potential issues were multiple in nature and affected more stakeholders than I had originally imagined. There were communication difficulties, both linguistic and cultural between:

1. Staff and new members,
2. New Members and Staff
3. New members to new members

In order to support both staff and members, we engaged the services of an organisation, who work with ethnic minorities and staff working with minorities in the community. A programme has been developed which is entitled "Cultural Competencies". This programme is being rolled out using community development events as the catalyst for interaction and integration.

The struggle for me during this process was my assumption that due to the vast housing and community experience within the organisation that we had the capacity to deliver all the solutions. The use of theory as an apparatus of thought clarified for me that we needed to look outside ourselves to find the necessary solutions. It was the first occasion that I understood new strengths and expertise was needed in our sector and that assumptions of our skills set

[23] In Housing Management terms it generally takes 12-18 months for a new housing estate to settle in. Exclusive of the physical settling of the built environment, issues tend to be the same in private or social housing, domestic waste builds up during the move in period, parking issues, parties, football and parents arguing over children.

needed to be tested on an ongoing basis.

My development goal of delegation was challenging in this example. I was ready to delegate the process internally but gave no consideration to delegating a task external to the organisation. I initially felt it was a negative reflection on the organisation that despite our skills and experience we did not have the capacity to tackle this issue ourselves.

2. MEMBER CONTROL

Co-operatives are democratic organizations controlled by their members, who actively participate in setting their policies and making decisions on the principle of one member one vote. Men and women serving as elected representatives are accountable to the membership. (ICA: 2009)

CONTEXT

It would long be recognized that the strength of Co-operatives is the contribution of its members.

NABCO is owned by its affiliated societies who are shareholders in the association. We currently have a board of 12 with nine of those member/tenants.

In general terms, Drucker has expressed concerns about co-op boards when writing, "I very rarely seen a truly strong board in co-ops, for instance, where boards are elected by the membership, but they don't represent the organization, at least in my experience" (Drucker: 1990:124). There is a balancing act between the democracy, governance and effectiveness of the co-operative board.

DETAIL

In 2010 a government-funding scheme, the Capital and Loan and Subsidy funding scheme (CLSS), which provided 100% funding for social housing, was abolished. The state effectively transferred the responsibility and risk associated with social housing provision onto approved housing bodies (AHBs).

AHBs are now asked to use private finance by leveraging their assets to provide housing. This has brought the governance of AHB into sharp focus through the more stringent examination of any organization involved in borrowing of funds towards property development, particularly in comparison to the era of 100% Government funding to an unregulated sector. That is not say that AHB's acted recklessly but they certainly had a less difficult process to go through than there is post the 2008 property crash.

The Housing Finance Agency (HFA)[24] is now in a position to provide loans for AHB's but the process is quite onerous. The AHB is assessed on extensive criteria around finance and governance. As well as the obvious financial detail required from the AHB each board member must provide a detailed bio including educational background. One of the difficulties this poses is that Co-operatives have skilled and able Boards they may not contain the professional financial and legal experience that may be typical of organisations with multi-million euro assets and turnover.

If approved the AHB would receive a license from the HFA and then each project proposal for funding would be assessed on its merits.

In addition the Minister with responsibility for housing announced in 2011 that AHB's would come under the Private Tenancies Residential Board due to be renamed the Residential Tenancies Board (RTB) and the Department of Environment has also indicated that a regulator for the sector would be appointed. All Approved Housing Bodies are being challenged to strengthen their boards, this certainly appears both reasonable and prudent however there is a potential of diluting the democratic control outlined in Co-operative theory.

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[24] The Housing Finance Agency plc. is a company under the aegis of the Minister for the Environment, Community and Local Government of Ireland. It was established by the Housing Finance Agency Act, 1981 and incorporated in 1982. Its shares are owned by the Minister for Public Expenditure and Reform of Ireland. The Housing Agency's function is to advance loan finance to local authorities and the voluntary housing sector to be used by them for any purpose authorised by the Housing Acts, 1966-2009, and to borrow or raise funds for these purposes. www.hfa.ie (23/10/2012)

OBSERVATIONS

When I raised these governance challenges with the Board they were concerned that if numerous non-co-operative members were added to the Board, member control would be diluted and the co-operative ethos undermined.

I approached the HFA with a proposal to keep co-operative membership on the Board at 75% but to add three sub-committees with specialist legal, financial and technical skills in the key areas of:

1. Finance, Governance & HR,
2. Housing Development and
3. Housing & Community Management.

These sub-committees are made up of Board members with one to chair each sub-committee, volunteers with expertise, senior staff and staff representation.

IMPACT:

We looked at the issues from three perspectives:

a. The imperative of maintaining the principle of democracy and member/shareholder control
b. The strengthening of the Board through additional skills and resources
c. The perception of the organisation externally, as a result of a more balanced board.

The proposal appeased both the internal and external needs of the organisation. We have managed to strengthen our organisational decision making capacity while maintaining our co-operative strength.

This process also gave a clear indication of the value placed on the contributions provided by the volunteer co-operative members.

3. MEMBER ECONOMIC PARTICIPATION

Members contribute to and democratically control the capital of their co-operative. At least part of that capital is usually the common property of the co-operative. The co-operative's surplus is either distributed to its members

in proportion to their transactions with the co-op, or directed to other activities approved by the membership. (ICA: 2009)

CO-OPERATIVE EQUITY SHARE

CONTEXT:

At the height of the property boom in Ireland, 90,000 dwelling were constructed in 2007. During the same period the housing waiting lists swelled to almost 100,000 people in need of housing.

The construction figures for 2011 are as yet unreleased but are expected to be less than 10,000 units. Figures predicted for 2012 are also less than 10,000.

Estimates from a number of bodies predict the annual housing requirement is somewhere in the region of 35,000 dwellings per annum.

DETAIL:

In November 2010, the Minister for Housing appointed me, as the representative of NABCO, to the Advisory Group (Membership Appendix 3.1) examining the national crisis of unfinished estates. Data provided to the Advisory Group indicated that there were:

a. 23,250 complete and empty houses around the country,
b. 9,976 weathered but unfinished,
c. 9,854 at various stages of construction
d. And tens of thousands at various stages of planning.

All the above numbers exclude apartments at various stages of construction.

Excluding the physical manifestations of the recent property bubble there has been a tremendous effect for Ireland economically and socially. The banks are state owned, personal debt arrears have grown dramatically from €66Bn in 2002 to €212Bn in 2009[25] and the increase in unemployment rates to 14.9%[26] has presented a perfect storm of economic and social stalemate.

[25] Dan O'Brien, Irish Times Friday, April 13th, 2012.

The dramatic property price crash has created opportunity in the property market particularly to tackle housing need but the lack of exchequer funding for capital expenditure and investor caution means the stagnation in the market has continued.

With limited available funds the Department of Environment and Local Government developed a number of 'leasing models', which created the opportunity for developers, investors and approved housing bodies to enter into long term agreements to make dwellings available for social leasing. The options are complex and varied but essentially the Local authorities will pay a developer/investor up to 80% of the market rent for up to 20 years to make their property available to a tenant in need of social housing. The tenant then also pays a differential rent (based on income). The fundamental issue I have with these agreements is that the state is interfering with the rental market and essentially paying money out for 20 years with neither the state nor the tenant having an asset to show for it at the end of the period. My proposed solution would use the same funds to create a reduction in capital expenditure for house purchasers and the monies would be recycled on receipt through an incremental purchase.

By applying the Theory of the Co-operative to the property market I developed a new Co-operative Equity Share model (Appendix 3.2), a policy proposal, which has the potential to tackle a large number of the issues in the economy and society. Co-operative equity models have been used before but never using the leverage of non-capital funding mechanisms. This model also has wider social and community benefit potential.

Some of the benefits outlined in the policy proposal include:

1. More impact and benefit from current Government housing expenditure by reducing the investment required to provide mixed tenure housing.

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[26] CSO Figures June 2012 http://www.cso.ie/en/media/csoie/releasespublications/documents/latestheadlinefigures/lreg_jun2012.pdf (23/10/2012)

2. Opportunity to re-activate the housing market by reducing the potential risk for investors interested in engaging with the market and generate sales in a stagnant market.
3. Opportunity for those interested in entering the housing market with affordable investment levels. NABCO would place 50% property equity shares on the market for a cost less than market rent and allow the purchaser to incrementally purchase the remaining shares in the property.
4. Opportunity to create employment and training through Co-operative Living by strategically selecting unfinished estates where their was a social and market demand and completing these estates through the training of apprentices needing to complete formal element of their trade.
5. Opportunity to complete 10% of unfinished housing estates by leveraging the Government leasing funding for mortgage payments.
6. Opportunity for NAMA to dispose of stock and release funding to the exchequer and or invest in new development on NAMA owned land.
7. Opportunity for banks to participate in lower risk mortgage provision for smaller sums of money.

OUTCOME:

The Co-operative Equity Share policy proposal has gained some momentum with the Minister for Finance (Appendix 3.3) asking the National Asset Management Agency [27](NAMA) to work with NABCO on a number of pilot projects with a schedule due in place before the end of 2012.

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[27] The National Asset Management Agency (NAMA) was established in December 2009 as one of a number of initiatives taken by the Irish Government to address the serious problems which arose in Ireland's banking sector as the result of excessive property lending. The Agency has acquired loans (land and development and associated loans) with a nominal value of €74 billion from participating financial institutions. Its objective is to obtain the best achievable financial return for the State on this portfolio over an expected lifetime of up to 10 years. (www.NAMA.ie)

The proposal was picked up by a number of National media outlets, which resulted in me being interviewed on the RTE Radio 1 lunchtime news, which has an average listenership of 350,000 on Friday February 10th, 2012. This has had the added benefit of raising awareness of our organisation leading to interest from parties we have not previously dealt with.

A number of local Authorities have contacted us asking NABCO to partner projects using the Co-operative Equity Share policy proposal namely Longford, Louth and Kilkenny. Some of these local authorities have also offered to provide the mortgages for the Co-operative member to buy their share.

My MMS assumed that the social housing model in use since the inception of Local Authorities in 1899 could not be changed. My search for solutions to the housing crisis and in particular the loss of capital funding revolved around the same model of state capital expenditure provision or the co-operative home ownership model. While my solution was borne out of frustration it has gained momentum and demonstrated to me that if a reasonable alternative is designed people are willing to listen and support change.

As I write this Essay opportunities are being assessed to run the first pilot projects for the policy proposal. We have developed partnerships with the Department of Environment, NAMA, Bank of Ireland and a US Pension fund to deliver the first projects under the Shared Equity model on four unfinished housing estates in Dublin, Bandon, Dundalk and Portlaoise. We have already signed an agreement for the first privately funded completion of an estate in the country to be used for social housing with Bank of Ireland, a private developer, the Department of Environment and DLR Local Authorities. All of these partnerships also serve to dilute the risk on NABCO in providing Co-operative Housing of various tenures.

Delegation has been a real issue on this project for me for a number of reasons, as I had developed the policy proposal I have felt that I was in

the best position to negotiate on it and as I had most media experience in the organisation I felt I should handle same.

I also communicated directly with relevant elected representatives and officials despite the fact that we have a number of staff with lots of experience in this area.

I only became aware of the situation when I became very pressed for time and was not attending to other important issues. I then looked at the workload in relation to the policy proposal and divided it up amongst the relevant staff.

5. EDUCATION, TRAINING AND INFORMATION

Co-operatives provide education and training for their members, elected representatives, managers, and employees so they can contribute effectively to the development of their co-operatives. They also strive to inform the general public - particularly young people and opinion leaders - about the nature and benefits of co-operation. (ICA: 2009)

CONTEXT:

In 2011 there were in excess of 100 people involved in the running of NABCO and its affiliated societies in the Dublin area either as volunteers or staff. If properly organized through clarity of purpose and direction, these resources are substantial.

DETAIL:

One of the first tasks I under-took as CEO was to carry out a skills audit of the seven local boards and of the forty-seven staff at that time. In the audit we asked, what training, if any, was required that would benefit the board members and staff?

Following the response we organized training for 33 Board members and staff around the roles and responsibilities of being on a board.

Fourteen staff engaged in a 'train the trainer' programme with the Irish Times with the aim of developing confidence and presentation skills.

Thirteen staff participated in SAGE accounting software training during its introduction into the wider organization.

We have created staff development positions where staff can transition into new roles through formalized training and a structured support system.

Discussions are underway with Irish Co-operative Organisation Society (ICOS) regarding potential joint training for our Boards in the area of Co-operatives and Co-operative Development.

We have also had further requests to organize more detailed or specific training, for example, finance training for non-financial managers.

Impact:

A culture has now developed in the organization where there is awareness of developmental opportunities, but also an awareness that enhanced effectiveness and professionalism are expected from participation in any form of training or development. This is evident from the caliber of formal applications being received since their introduction in 2012 of the new HR Systems. (Appendix 3.4) Staff and Board members know that they will be supported in participating in any relevant programmes, which can potentially increase the effectiveness of the individual, the organization and, in time, the ability of the community to identify and provide for its needs.

Critically, the number of board members and co-operative volunteers has increased and the level of interest has made NABCO more effective. A recent example was where all relevant staff had commitments to events in advance of an invite from Forfas to participate in a workshop on Social Enterprise. Our Vice-President attended the event on our behalf and while not familiar with all the activities and terminology in the sector his attendance has paid dividends with the learning he has brought back to he organisation.

My own learning in this area has been that I assumed the organisation would

benefit by the Board members becoming more skilled in their roles and responsibilities through training and looked at the training from the member's perspective. I now realize the greatest impact has been in the area of matching the organisational needs with the members skills, experience and interests. The involvement of Board Members and volunteers in external processes has enhanced our effectiveness, learning and created a stronger team.

The issues highlighted through this example fall under a number of other theories including the theory of the business, the theory of the co-operative, the theory of contribution and my strongly held theories about education. My learning through this particular process has been that using theory as an apparatus of thought does not have to align with a singular theory, in fact the more theories we hold that align with the decisions we make the is an increased likelihood of an effective decision.

6. CO-OPERATION AMONG CO-OPERATIVES

Co-operatives serve their members and strengthen the co-operative movement by working in solidarity with other co-ops and national, regional, and international co-operative organizations. (ICA: 2009)

CONTEXT:

One of my organizational goals is to increase the profile and awareness of NABCO. We cannot achieve all the goals we wish to achieve by working alone because we are simply too small an organization and do not have the resources. It is my view that the only way we can achieve our goals is by creating effective alliances with other like minded organizations.

NABCO is the only Co-operative Housing Federation on the Island of Ireland. Most Co-operative Housing providers are affiliated to NABCO. The opportunity to collaborate non-affiliated with Co-operatives within the housing sector in Ireland is limited but there are a number of co-operative organizations where mutual benefit in the areas of promoting the co-operative sector, sharing knowledge and experience and potentially sharing services can be explored.

DETAIL:

NABCO continues to expand the quantity of shared services between the affiliated housing societies. This included phone services, for example, and tendering for repair and maintenance services. Each saving on the combined services has and will continue to save the organization substantial money. Our 2011 accounts show an operating surplus just under €1m. This is an increase of €444,052 (82%) on 2010 despite a €171,519 drop in revenues. Operating results for the first six months of 2012 indicate a potential €1.25m operating surplus for 2012. While this rate of operating surplus growth is unsustainable we expect to continually strengthen our purchasing position through the use of the co-operative model.

On a national basis there has been a vacuum of united Co-operative Leadership for a number of years. The three main Co-operative Federations are the Irish League of Credit Unions (ILCU), the Irish Co-operative Organisation Society (ICOS) and the National Association of Building Co-operatives (NABCO).

The Irish League of Credit Union (ILCU) is by far the largest Co-operative in terms of membership. Through their more than 500 affiliated branches there are currently 2.9 million members with savings of almost €12bn[28].

The Irish Co-operative Organisation Society (ICOS), founded by Horace Plunkett, have affiliated co-operatives that represent over 150,000 individual members and employ more than 12,000 people in Ireland. Some of their members employ tens of thousands throughout the world.

Obviously NABCO is a much smaller and younger organization than the other two but nonetheless we have placed ourselves at the heart of a new movement to develop a Co-operative apex organization for Ireland. I met with the CEOs of the ILCU & ICOS and we agreed to work together under my suggested name of *Co-operative Alliance Ireland*. As all three organizations believe in the potential societal benefits of co-operative enterprises we set ourselves the goal of raising the profile of Co-operatives during the International Year. This is to be achieved through two initial collaborations.

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[28] Report by Commission on Credit Unions, 2012:13

(a) A National Conference to promote Co-operatives

(b) The launch and dissemination of a publication to promote co-operatives.

Exhibit 1 Co-operative Alliance Ireland Launch Invitation



Internationally, I have been fortunate to attend and speak at events in Turin, Warsaw, Cardiff, London, Athens, Niagara, Lyon amongst others and each event has led to new contacts and new opportunities for co-operation for NABCO.

In Turin, I met David Rodgers, President of the International Co-operative Alliance (ICA) Housing worldwide. We had a number of discussions around the general cuts to housing capital expenditure in the UK and Ireland. We discussed the cash reserves that Co-operative Housing Bodies hold for the purpose of cyclical maintenance and refurbishment and how those reserves could be better utilized or leveraged for future development. David had already started work on researching the issue, so we have decided to co-operate on a potential social enterprise bank/fund together. There is no doubt that such a process will be very time consuming and will not happen overnight but we believe the potential long-term benefit will be worth the investment in exploring the viability of an international social investment fund.

Another example of international co-operation took place in London when David Rodgers introduced me to Nicholas Gazzard, Executive Director of the Co-operative Housing Federation of Canada (CHFC). We discussed Co-operative governance and quality systems. CHFC has spent seven years and substantial resources developing a Co-operative Governance Framework and quality system, which was offered to NABCO in its entirety at no cost, just a mention for CHFC as a source in any of the quality documentation that NABCO circulates.

In April 2012, the entire Board and Executive team in NABCO travelled to Brussels to participate in events to celebrate the International Year of the Co-operative. It was the first opportunity for most Board members to meet members of Housing Co-operatives from around the world and to visit some housing co-operatives in Belgium.

IMPACT:

NABCO, although one of the smallest co-operative housing federations in Europe, is increasingly seen as a serious contributor to national and international policy discussion. In June 2012 at the CECODHAS Housing Europe[29] General Assembly in Lyon, I was elected Vice-President of CECODHAS Housing Europe – Co-operative Section, which represents more than 10 million Co-operative homes throughout Europe. Through increased national and international alliances NABCO and I, personally and professionally, are benefitting greatly from the experiences of others. The unique experience of the Irish housing sector and our proposed solutions has also been of benefit to organizations in other countries.

My assumption taking up the post was that NABCO was really a small player

[29] Established in 1988, CECODHAS Housing Europe is the European Federation of Public, Cooperative & Social Housing - a network of 45 national and regional federations, which together gather about 41,400 public, voluntary and cooperative housing providers in 19 countries. Altogether they manage over 27 million homes, about 12% of existing dwellings in the EU. The CECODHAS HOUSING EUROPE secretariat, based in Brussels since 2000, is responsible for the coordination of the day-to-day running of the organization in three main departments; Policy Formulation and Lobbying, Communication and Research.

Nationally and even more so Internationally and this limited our potential. However, I strongly believe now that regardless of our scale we have much to contribute to policy around the world. Many of the issues we face in Ireland are similar to those being experienced elsewhere and people are looking for innovative ideas and are also willing to share their ideas wherever possible.

The meetings described has led directly and indirectly to NABCO having access to the systems, processes and resources of other organizations.

To give an example of co-operation with co-operatives, the German Co-operative Federation with more than 2.4m dwellings is sharing it's data on property refurbishment with NABCO. We are sharing our models and systems as the first Co-operative in Europe to enter into agreements with pension funds to provide social housing. This fact is being featured on a forthcoming television feature on French television and a request for NABCO to outline its systems to Spanish and Portuguese organizations at a forthcoming conference in Madrid.

From the above it is evident that we have achieved our goals of strength through the use of Co-operative theory as an apparatus of thought.

Again, delegation has been problematic in this area. I have included various members of staff on overseas trips but have tended to maintain the principle contacts myself, this is in part due to my not wanting to let go and the geographic location of many of our partners. The fact is that awareness of the issue and time constraints will increase how much I delegate.

7. CONCERN FOR COMMUNITY

Co-operatives work for the sustainable development of their communities through policies approved by their members. (ICA: 2009)

CONTEXT:

NABCO has built and managed 25 community facilities throughout Dublin over the last 20 years. The centres, while not utilized to their full potential, have provided vital space for community benefit. The activities included everything

from local community meetings to chess clubs, birthday parties, drama, yoga, computer clubs, summer schemes and so on.

For the past ten years NABCO has facilitated the provision of Child and Family Services to its members and the wider community from a number of these centres and has recently built a purpose-built state of the art center in Avondale, Dublin West.

DETAIL:

NABCO employs sixteen staff to work in the area of Child & Family Services. The services are renowned for the quality of the service provision and the high levels of interaction between the staff of the centres and the communities in which they work. This is borne out by achieving the Siolta 4, which is the highest award in the national quality framework for early childhood care and education services.

In all centres supports are in place to allow parents to avail of training and education. Using the theory of the co-operative and by utilising available resources we looked at where else we could add value to the community through training and education. A survey was carried out nationally to establish if co-operative members would be willing to participate in the activities of NABCO on a voluntary basis in return for training, formal and informal. Following a positive response a programme is currently being developed in each of the area offices.

NABCO spends in the region of €750,000 each year on repair and maintenance of our housing stock. This excludes investment made in planned cyclical maintenance, which takes place every five years and our refurbishment programme. We are currently exploring the opportunities in creating employment for our members who have skills and experience to carry out some of this work. We are have also circulated a questionnaire to members seeking expressions of interest from any apprentices who may not have completed their required time to achieve their trade to work with us and receive the appropriate accreditation from relevant bodies.

IMPACT:

The development of this process is at a very early stage put it has brought a very positive feedback from members and staff and hope that we may be in a position to employ members whilst potentially enhancing the quality of our service provision.

The exploration of the possibilities that exist for NABCO while remaining true to our mission and values are immense, but this brings the risk of a lack of focus, expertise and effectiveness. I have recently begun using the analogy with my colleagues that our development of the community and of our organization is comparable to the effect of dropping a pebble in a pond. The pebble is the home we provide, the pond the community. We need to explore what services we can provide that will have the greatest impact on our communities. My assumption previously was that this needs to be led by me, which is a contradiction to my community development training. In the CEO role I saw myself as a controller of the resources and services rather than a facilitator to the needs of the community.

When I took over as CEO my effectiveness was impacted on by the number of pet projects I undertook and managed. Through Kegan & Lahey's four-column process I realized delegation was an issue. Research into delegation then led me to Drucker's theory of contribution. What became challenging for me at this time was that some of my pet projects (My contribution) contradicted my delegation goal. This again has been an ongoing challenge being tackled through my awareness of the need to focus in order to be effective.

B - THEORY OF THE BUSINESS

In this Section I provide examples of my use of Drucker's Theory of the Business. Drucker's Theory of the Business focuses on assumptions that are made in organisations that dictate what the business does, or "what it gets paid for" (1994). The assumptions relate to the company's values and behaviours, markets, customers and competitors and technology and its dynamics. Drucker also emphasizes the importance of building "into the organization systematic monitoring and testing of its theory of the business." (1994: 101) He wrote that "When a theory shows the first sign of becoming obsolete, it is time to start thinking again, to ask again which assumptions about the environment, mission, and core competencies reflect reality most accurately - with the clear premise that our historically transmitted assumptions, those with which all of us grew up, no longer suffice."

Part of the reason for my engaging in this process, of reviewing the theory of the business for NABCO, was to familiarise myself with the wider business. I was previously involved primarily in just one area of our activities in practice and geographically, however I couldn't have anticipated the outcome of the exercise on the organisation or on my thinking. My view having reread the rules and mission of the organisation, written in 1973, was that we had somehow diluted the understanding of our mandate and reduced the potential of the organisation. For example, the general perception of the organisation is that we are simply a social housing provider, I find this particularly frustrating as the organisation was initially involved in supporting home ownership co-operatives. The co-operative model has the flexibility to provide for all tenures of housing and community need, however, our resources have generally been focused on one aspect of the business model.

The overall Portfolio conclusion addresses my peer community in greatest detail but they may be most interested in the implications and impacts for the business presented here in this Essay.

In using the Theory of the business as an apparatus of thought I was looking to answer certain questions:

a. Where, if at all, should the business expand?
b. Who are our customers?
c. What are our assumptions?
d. What are our current examples?

(I) CONTEXT -THE NATIONAL ORGANISATION

NABCO does not operate outside the Republic of Ireland.

DETAIL – ASSUMPTIONS OF MARKET

When NABCO was founded in 1973 the border between the North and South of Ireland was in both social and economic terms, a barrier to entry. Few community organizations operated on both sides of the border. In recent years, following the Good Friday Agreement the general ease on the restriction of movement has created opportunities for businesses and organizations on both sides of the border.

The realities of the operating environment that impacted on NABCO as a National organization have changed over time. NABCO's assumptions of markets were based on the social and political environment in the 1970's in Ireland. The review of those assumptions by me, and the Executive of NABCO in 2011 through the application of Drucker's Theory of the Business as an Apparatus of Thought has led NABCO to explore the opportunities and benefits of operating on the entire island of Ireland and a potential increased market of 1.7 million people.

By the very nature of Co-operatives and their economic scale, NABCO and its members would benefit in numerous ways by operating on the entire island of Ireland. Although there are numerous Co-operative organizations in Northern Ireland, none are involved in the provision of housing. This indicates obvious potential for growth in the market of Co-operative Housing models.

It is simply not the case, however, of opening an office in Belfast or Derry/Londonderry and announcing that we are ready for business. The housing sector is strictly regulated in Northern Ireland and NABCO's regulatory

approval only applies in the jurisdiction of the Republic of Ireland. This would not exclude providing advice and support to communities and organisations. There are Northern Ireland based housing organizations also operating in the Republic but there is currently a block on further housing registrations in Northern Ireland subject to a review of the sector.

My hope is that NABCO can incrementally develop a presence by supporting existing organizations interested in housing issues in a co-operative manner. Initially we would provide support and advise, participate in shared ownership models and ultimately develop a network of mixed-tenure co-operative housing services.

In the summer of 2011, I was fortunate to have been selected to participate in a cross-border programme in Boston College along with 11 other participants.[30] Under the heading of the Economics of Urban Regeneration, the aim of the programme was to exchange skills and experiences between participants from Ireland, Northern Ireland and America. The programme I participated in visited Boston and Pittsburgh.

During the process I developed working relationships with a number of the participants working in Northern Ireland. At the same time a colleague of mine met the Chairman of the Northern Ireland Housing Executive (NIHE) the body,

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[30] **ECONOMIC REGENERATION IN URBAN CENTERS**

May 24th – June 3rd, 2011 Boston, Massachusetts and Pittsburgh, Pennsylvania

Up to fourteen individuals, including business leaders, business strategists, government policymakers, entrepreneurs, and academics from Ireland and from Northern Ireland will be selected to engage with their American counterparts on relevant topics. Seminars and visits will examine the role that small business development, corporate incentive schemes, inward investment, workforce education/re-education, and improved infrastructure can play in promoting economic regeneration and vibrancy in urban centres.

The programme is sponsored by the Irish Institute at the Centre for Irish Programmes, Boston College, and the U.S. Department of State, Bureau of Educational and Cultural Affairs.

The programme is not open to U.S. citizens, Green Card holders, or past participants of U.S. Government-funded Irish Institute programmes. Please note that the programme is by necessity highly selective, and that consequently, not all applicants will be interviewed and not all interviewees will be invited to participate. (Extract from application documentation)

which oversees the provision of housing in Northern Ireland as well as managing 90,000 dwellings across the province.

OUTCOME

We organised meetings and tours across Belfast in February 2012 taking advantage of our contacts and outlining our hopes for the organisation to provide advice and support to communities and organizations in Northern Ireland interested in Co-operative Housing and related services. The visits were extremely encouraging with widespread evidence of how locally-owned and managed Co-operative dwellings would serve the tremendous needs of various communities in Northern Ireland.

I was also invited to speak to a cross party group of 13 members of the Northern Ireland Assembly on May 9th, 2012 to promote the potential and benefits of Co-operative Housing. Participation in this event was of particular importance for the organisation, primarily due to the major transition that the Housing Sector in Northern Ireland is going through. There is currently a block on registration of Housing Bodies and current proposals from the Housing Minister could lead to the break up of the Northern Ireland Housing Executive and the distribution of their 90,000 dwellings to other approved housing bodies.

The Theory of the Business exploration was one of the first and certainly clearest examples, which demonstrated how my meaning-making system could be greatly enhanced by the clarity of using theory as an apparatus of thought. It also demonstrated how this clarity will not only assist me but the Board and Staff by adding significantly to the effectiveness of the organization.

The assumptions I held around outcomes were, that we would seek to grow in scale by looking at productivity through enhanced or more effective use of resources; I hadn't considered increase in scale through geographic development.

The assumptions I had in advance of the process were that we would probably encounter large-scale opposition to the idea of expanding the organization into

Northern Ireland but that it was worth a try. While we have a long way to go before we achieve any significant results I have also learned that markets are open to services and products that add value to the sector and community.

Heightened awareness of the TOB created awareness that NABCO had new opportunities for new markets and customers and ultimately growth.

(II) CONTEXT - CO-OPERATIVE LIVING

In Drucker's Theory of the Business there are a number of assumptions listed as critical for the success of the organisation. One of the assumptions listed by Drucker is that of markets and customers needing to fit the reality that the organization is operating in. NABCO was founded to aid families in working co-operatively in the provision of housing and the prevailing assumption for a number of years has been that our constituents are those in need of housing.

DETAIL

For many years NABCO's literature has promoted the mission of relief of poverty by the provision of housing, as this was the priority need for many families across the country.

The rules of NABCO, however, provide a broader scope of service provision in relation to combating poverty than housing provision alone. The rules state:

> "3/ **The objects of the Society shall be:-**
>
> (a) to carry on for the benefit of the community the provision and management of housing and associated amenities,
>
> (b) to provide for the relief of poverty and deprivation caused by poor housing conditions or other social and economic circumstances through mutual aid based on the co-operative organisational principles."
>
> NABCO Rules 1973 (Appendix 3.5)

OBSERVATIONS (THEORY CHOICES)

Using Drucker's Theory of the Business the organisation's assumptions were challenged in relation to markets, customers and services i.e. what we get paid for.

Not long after becoming CEO I began the process of applying Drucker's Theory of the Business to NABCO. Under my guidance, the Board, Executive and staff have looked at what services we provided versus what we said we were providing to our members. There was a lot more work going on in the organisation than we acknowledged, for example in the area of childcare and family services[31].

We looked at the scope of the organization and identified all the areas in which we could provide services complementary to housing provision while staying within the mission of the organisation.

I developed the concept of Co-operative Living, which provides scope to incorporate the provision of Housing, Family and Community services, training, education, social enterprise and employment. We developed a new logo and general literature for circulation to potential members and partners. As a point of note each of the four houses in the logo is to represent each of the four provinces. The power of the new logo lies not just in the modernisation of the image but in the addition of the tagline, 'Co-operative Living'. This clearly demonstrates to all stakeholders to potential of a wider mandate covering all aspects of our member's lives.

[31] Applying the Theory of the Business to the Child & Family Services in isolation led to a rethink. The services are now called Child & Community Services.

Exhibit 2: NABCO LOGO's (On Left up to 2011. On the right is NABCO's 2011-2012 logo.**)**





Source: NABCO literature.

IMPACT

In a short space of time the Board, most staff, co-operative members and partner organisations have seen the potential of a wider interpretation of the theory of the business for NABCO. A holistic approach to housing and community services provides greater potential to develop sustainable communities for and with our members. The development of services for the full breadth of our membership demographic not only broadens our service provision but also potentially provides the ability to adhere to a greater number of the co-operative principles.

I have been invited to present the Co-operative Living model at various seminars in Europe and North America. The President of the European Housing movement proposed that "Co-operative Living" be the central theme of the European day to celebrate the United Nations 2012 International Year of the Co-operative.

The Co-operative Living model has also been widely welcomed by organisations who have been partners of ours for years but yet not fully aware of the extent of our service provision and our impact on communities.

The change in my MMS during this process was in my assumption that it would

be safer for my leadership of the organisation if issues in relation to the organisation were approved by the Board before holding a wider discussion. The above example, in hindsight, would have been more organisationally effective if more effort was made by me to include staff in the process in advance of taking the matter to the Board. There was no formal process in the development of the concept of 'Co-operative Living' other than my generation of the idea using the theory of the business but not applying theory of the co-operative or a theory of leadership. Despite wide-scale understanding and buy-in an opportunity for greater participation by staff was lost. The outcome has been beneficial but a greater sense of ownership of the concept by staff would have happened sooner if they had participated in shaping the vision.

On a positive note, in a short space of policy and decision makers became more aware of the potential NABCO had to impact on communities.

NABCO was invited to participate in processes it previously had not been covering areas beyond housing. This in turn has led to greater awareness on the part of some staff and members of the value of networking.

With continuous testing of the assumptions the entire Board and staff see new opportunities, we now have a fleet of vans on the road in Dublin which raise our profile but will also be used in making our maintenance division available for general use through a workers co-operative.

At our recent AGM, one of the guest speakers was the European President of the Renewable Energy body, ResCoop. NABCO is currently exploring the opportunities to reduce the energy consumption across our housing stock and community facilities and to explore investing in the production of renewable energy.

Although we are a small organisation I do believe that we are punching above our weight in terms of what we are contributing to communities Nationally and Internationally.

C – ORGANISATIONAL LEADERSHIP

The purpose of Effective Organisational Leadership, as I have defined it in this Portfolio of Explorations, is **to achieve the goals of the organisation, through the optimum use of available resources.** This section of provides examples of the application of theory as an apparatus of thought in relation to Leadership.

I have selected examples, which touch on some of the critical elements of my job description as CEO and some of the key function areas generally portrayed as required for effective leadership. Each of these examples are informed by the use of theory as an apparatus of thought and my interpretation of theory.

ORGANISATIONAL LEADERSHIP: THE FIRST MEETING

CONTEXT

In my first week, November 1st, 2010, the very first meeting to represent the organisation as CEO was with the Minister for Finance. This was at a time of tremendous economic uncertainty in this country, a matter of days before the International Monetary Fund was required to bail Ireland out.

DETAIL

NABCO is one of the seventeen member organisations of the Community & Voluntary Pillar (one of the pillars of social partnership[32]).

All organizations were invited to meet with the Minister for the annual pre-budget meeting. The meeting was called for 10.30am. We assembled at 9.30am to decide on a chair and set protocol. The Minister arrived at 11.20, all made

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[32] The other members of the Community & Voluntary Pillar are: The Irish National Organisation of the Unemployed, Congress Centres for the Unemployed, National Youth Council of Ireland, Carers Association, Age Action Ireland, Irish Senior Citizen's Parliament, Society of St. Vincent De Paul, Protestant Aid, Irish Council for Social Housing, National Women's Council of Ireland, Irish Rural Link, Social Justice Ireland, The Wheel and the Community Platform.

brief introductions and the Minister was called away. On his return each of the representatives had two minutes to make a pitch. After five or six organizations the Minister was called away again. This happened several more times with time slipping away.

On one occasion a representative made a technically incorrect remark regarding the Government's performance in relation to economic growth and the meeting became combative. The remainder of us who still had not presented proposals did so in a strained atmosphere.

OBSERVATIONS

What struck me was that seventeen leaders of national representative bodies all had to "hang around" waiting for an opportunity to pitch their pre-budget ideas/suggestions/comments. A one-hour meeting took nearly four hours and I question the benefit in that format, particularly when one of the partners goes on a solo run.

My theory of effectiveness held that there must be some better way to make political contribution without affiliation to a political party and to do this by more effective use of resources.

I decided I would seek to have NABCO registered as a nominating body for the Seanad (The Upper House of the Irish Parliament). I knew this would have political parties, politicians and organisations more aware of our existence. Those involved in politics are acutely aware of the organizations who can potentially nominate a candidate for election. There is also the future potential for NABCO to nominate a candidate to run for election to represent the interests of NABCO. The NABCO board was surprised by the idea but supportive. We completed the application process and were registered as a nominating body. A notice was circulated widely of our registration however an election was called before 21 days had elapsed since our registration and we were unable to nominate a candidate to contest for the Seanad during the 2011 election. (Appendix 3.6)

IMPACT

Our organization was contacted by many politicians and other organizations who were previously unaware of our existence to find out who we were and to seek support for election.

The critical difference the action made in the social policy sector was a realization that there are alternative and possibly more effective ways to achieve our goals.

Subsequently, communication with elected representatives, particularly Senators has been well received due, in no short measure, to the fact that we are a nominating body.

In my first few days in the role I felt pride but also an element of nervousness about leading an organisation with such a strong history of how it operated and was perceived. From use of the Myers Briggs Type Indicator (MBTI) and Kirtons Adaptor Innovator system (KAI) I knew I had a thinking style that could, if unchecked, be problematic in my role. My innovative thinking style while logical to me may seem extreme to others. I began the practice of writing my ideas down to see how they looked on paper before testing them on others. This process although quite basic helped me develop a method and style of introducing ideas to others. This helped me to develop confidence in the role.

It was a challenge to see how much of my style to bring to the organisation.

ORGANISATIONAL LEADERSHIP: APPOINT FROM STRENGTH OR DEVELOP THE TEAM?

CONTEXT

My appointment as CEO created a vacancy for a Regional Director. The decision was made by the Executive Director and myself to advertise this post as a National Development Director. The post was advertised with Dublin as the base.

DETAIL

Following a national advertising campaign, which resulted in sixty-eight applications, ten applicants were called for interview over a two-day period.

Three of those interviewees were recalled to make a presentation on the proposed role a number of weeks later.

OBSERVATIONS

Two of the candidates scored identically, each having strengths but in different areas. The critical difference between the candidates was that one was an internal applicant and the other external.

Drucker states that one should appoint from strength, "to look for excellence in one major area" (1966:62) but we had a choice of which strength to choose from. A new external person would need time to adjust to the Co-operative Housing model but someone familiar with our systems would not need that training. One had excellence and experience in the 'technical' aspects of the post while the other had excellence, experience and a track record in the understanding required around the 'ethos' of the Co-operative model. Drucker also states that "The worst thing an organization can do is limit its development of people by importing society's class system into its own operations, like organizations today that decide very early which are the comers, or that you are not going to get any place if you do not have an MBA from the Harvard Business School. Performance is what counts" (1990:116).

Following extensive consideration of both theories we appointed the internal candidate.

IMPACT

The message permeated through NABCO and the co-operative housing sector that career development opportunities would be available to existing staff. Critically, it became known that value was placed on the experience and commitment existing staff had made to the organization and that if the opportunity arose existing staff would have the same opportunities as anyone else.

More members of staff came forward and contacted their line manager to discuss training that would assist them in their roles, to develop for future roles and to express an interest in participating in other sections of the organisation. The appointment also created another internal vacancy, which reaffirmed the organizational need to prepare staff in a systematic way for career development.

All of the challenges above have been described by Drucker (1990) when he stated that "The more successful an organization becomes, the more it needs to build teams. In fact non-profit organizations most often fumble and lose their way despite great ability at the top and a dedicated staff because they fail to build teams. A brilliant man or woman at the top working with 'helpers' function only to a limited extent; the organization outgrows what one person can do. Yet teams do not develop themselves – they require systematic hard work" (1990:118).

In relation to my own MMS, the above example was the first I encountered which had very strong but opposing perspectives. My assumption was that the theories would provide the right answers, I was wrong. A theory is used as an apparatus of thought asks the right questions. Theories provide the lens to look at issues and minimise the risks and mistakes I would make. My learning was reinforced by a paragraph I later read in the *Effective Executive*, "Decisions of the kind the executive has to make are not made well by acclamation. They are made well only if they are based on the clash of conflicting views, the dialogue

between different points of view, the choice between different judgments. The first rule in decision-making is that one does not make a decision unless there is a disagreement" Drucker (1966:124)

MANAGING CHANGE

A number of my examples fall into the category of change management. This was my greatest area of concern, as my approach would differ greatly from my predecessors', I had many ideas for change long before I took up post.

When I first became a supervisor/instructor with FÁS I was just 20. My father, who had many years of experience as a senior executive, gave me a single piece of advice, "Don't make changes until you are certain it is right to do so. Even if a practice seems wrong, establish first why things are done that way before you change things."

Just after I took up the post my wife Aine brought my attention to a news report featuring an interview with the CEO of Marks and Spencer's where he described his impact on change in that organization as "evolution and not revolution".

I was determined to hold off on any changes until I had time to observe the organization more closely. The last thing I wanted to do was make changes and then have to undo them or make further changes.

CONTEXT

Having been an employee of the organisation for nearly seven years I had a list of changes I wanted to make. From the month-long induction as CEO I discovered many more systematic and procedural changes I wanted to make. Some were minor others had far-reaching consequences.

DETAIL

The largest anomaly as I saw it was the first I encountered. NABCO the owner of over 1,200 dwellings with a capital asset value of close to €200m in 2010 had disseminated the management and responsibility of these units to affiliated co-operative housing societies, i.e. separate legal entities. There was no service level agreement in place, which would be the norm between the asset owner

and managing bodies. Effectively the organization I had been asked to lead had given the control of its assets to separate organizations. I had no control over the assets, the staff managing those assets or the surplus those bodies were generating from those assets. In real terms the four societies responsible for managing the NABCO assets had in excess of €1m accrued in surplus from their activities.

I do understand the reasoning for the system, which was in keeping with co-operative theory - by creating greater opportunity for local democratic control but contradictory with my theory of the business and leadership theory. Although challenging to have two solid theoretical apparatus providing opposing views, it helped the situation greatly that I was using identical framework for examining with theories. It meant I was at least comparing like with like. Being aware of my use of theory as an apparatus of thought prompted me to look at other theories that were at play. Essentially my theory of leadership led me to believe we were on the right path. My vision was to create autonomous, independent societies with the resources to develop their communities but I felt there were too many gaps in the skills required by the local volunteer board members to do this effectively. I believed that volunteer board members were quite exposed to potential HR and financial liabilities, areas they were not fully familiar with but yet responsible for.

OBSERVATIONS

Leadership and change management were the central theories at play during this process.

I knew that the re-balancing of the societies in terms of the numbers of houses would have been generally supported but the real concern from the NABCO Executive was that the staff of the four societies would not want to be managed centrally, particularly since my proposals would reverse and undo a process undertaken just four years previously.

At times during the pre-planning of the change process I considered taking the easy option and avoiding the staff changes but I knew that the hard decisions were required to provide the best service possible to members.

IMPACT

The impact of the two changes, are and will be, far-reaching for the organisation and the sector in Ireland. We have developed a single more recognizable brand and are leveraging our resources to reduce costs and at the same time enhance service provision. This also gives us an opportunity to develop expertise in areas of management, i.e. HR, PR and Finance. We hope also to be in a position to increase income by providing services to non-members.

I spent many months planning the changes and the process with the executive team along with the President and Vice-President of the board. I carried two maps with me at all times, one outlining the existing structure and the other map contained proposed structure. Many, many discussions took place in various locations around Europe or at any event where we travelled to look for the best proposals in relation to the geographic layout of the proposed new societies.

I took great satisfaction that all four societies while raising questions and concerns passed the proposals (Appendix 3.7) unanimously whilst staff generally supported the proposals as logical.

My MMS before the changes was purely theoretical in that I had not been responsible for this level of organisation change previously. I was concerned about how undoing the recent organisational changes implemented by my predecessor would compound the issue. Through the use of Theory as an Apparatus of Thought I was cautious but clear on how the change should be managed. The success of the changes has helped my confidence in the process and in myself.

Delegation wasn't an issue for me during this process because I knew that to manage the change I needed buy in and ownership from the Board, Members and Staff. Unless they felt they were contributing to the process and being listened to it simply wouldn't have worked.

WHAT'S HE GOING TO DO? (MANAGING CHANGE)

CONTEXT

My predecessor was over 35 years in the role of CEO. People knew where they stood with him and the organization. There was certainly some apprehension about what I was going to do. I was asked how many redundancies there would be? Would there be cuts in salaries? Would there be a cutback in services? How much more work were people going to be asked to do for the same salary?, and many variations on the same theme.

DETAIL:

I spent a number of months looking at current systems and processes. When decisions were made on the best way forward in relation to a number of important changes including the structure of the organization, management shape and staffing levels we set about project managing the changes in a timeline. In advance of announcing the proposals we decided to engage staff in a process of dialogue.

A suggestion was made to bring in external consultants to facilitate a staff engagement process. Following a tendering process a firm of HR consultants was appointed.

Following a meeting with the consultants it was agreed that the focus of the work should be:

"1. To Explore possibilities for staff development, training and career progression

2. To Create an experience of cross society staff engagement that

- Informs NABCO
- Creates dialogue across society staff roles and geographies
- Builds trust between management and staff
- Creates an interest and appetite for more dialogue
- Invites staff input into the design of staff engagement
- Creates dialogue between NABCO and society staff

3. To build a snapshot of the current situation regarding roles particularly in relation to:

- Level of responsibility and scope
- Interdependencies
- What's working and what could be improved
- Possibilities for broadening roles
- Development opportunities"

  (Source: Document to staff at the outset of the process)

The process lasted four months with the consultants meeting all members of staff at some point. There were some frank comments made to the consultants by some staff in relation to how they viewed the management of the organisation and the treatment of staff.

A combined meeting of Management and Staff took place on June 30th. At that event I asked staff to judge me on my record and not the past that a great deal had been achieved by the organization over 38 years and a great deal more would be achieved by working together. The conclusion of the day was that a staff working group would be set up to look at all the goals as outlined and monitor their progress over the next year.

IMPACT:

Since June 2011, various staff working groups have been active on specific issues. These have created an opportunity for staff input with clear evidence of the benefit of a more rounded data gathering for the purpose of decision making.

A HR consultant was engaged to review all our systems and processes. A training and development, working group is overseeing the implementation of HR systems for both formal and informal training and development of staff. The working groups are asked to make recommendations to management of relevant decisions that impact on staff roles and the effectiveness of the organisation.

The Board has also agreed to staff participation in the new Board Sub-committees.

The MMS being challenged during this process was that and open and transparent process would be seen as such. I believed my open and straight style was sufficient to bring staff along. The reality was that some hold on to the past and nothing said will change anything, only action, appears to have impact. I would also say that it is vital to hold onto your values and not be deterred and become impatient because all the good work done can be undermined by one act of frustration. What I mean by values is to hold on to your personal style and be true to how you believe a leader should operate. Do not lose patience and undermine everything by proving doubter right. This doesn't mean that a leader should not be firm or direct but they should always be aware of the perspective of the others involved in the process. Your theory of leadership is critical in these situations.

YES OR NO!

CONTEXT

The issues in this scenario are complex, they encompass Leadership, co-operation, organizational reputation, security and delegation.

NABCO had spent many years developing a mixed tenure project in Avondale in west Dublin. The planned project, the largest and most modern in Ireland in 2011 contains 226 dwellings. The bulk, 150 belong to NABCO with a further 76 developed by Fingal County Council as affordable dwellings.

Figure 1 Avondale Housing Co-operative, Dublin



Source: Gerry Cahill Architects, site report, 2012.

I have had concerns about the project from the outset. I'm uncertain why the state promoted such a large scheme in an area with large-scale social difficulties despite previous experiences nationally. That said, now it is built we need to be effective in our management of it. In excess of €50m was spent on construction on the scheme and it was built around a traveler halting site. As the construction budget was impacted due to an increase in building standards the areas cut back were the proposed playing pitch and any of the communal areas.

Following the downturn in the housing market I was asked to meet the senior housing officials from the local authority. The authority had made a decision that it would be more prudent not to sell the affordable dwellings because the market value of the properties being far less than the capital investment.

NABCO were asked to lease and manage the dwellings on behalf of the council for an initial period of five years but there would be issues. Serious issues. Effectively the NABCO members and their local authority neighbours would have very different tenures.

NABCO rent is based on a differential rent that takes into account a sinking fund to cover long-term cyclical maintenance and a refurbishment fund. The local authority tenants would be paying a much lower rent.

OBSERVATIONS

My concern from the outset has been to protect the reputation of the organisation. On a scheme of this size management must be very strong to assist the development of the community. If NABCO did not accept the offer to manage the additional 76 units another AHB most certainly would. This would make the management of the project more difficult.

Some staff were against the proposal particularly due to the mixed tenure options. I understood their position but asked them for an alternative. It was only then some staff realized there were not really any constructive options.

One staff member proposed offering a choice of tenure to those selected in order of nomination by the local authority. This proposal was accepted by all present.

Figure 2 Avondale Housing Estates, Dublin



Source: Gerry Cahill Architects Site Report, 2012

IMPACT

This issue is still ongoing but I am satisfied that an environment was created for all participants to make a contribution.

NABCO supported the Local Authority, control the site and the co-operative members have a choice of tenure.

My clear learning here was that I don't always need to name the issue and provide the solution. That is akin to a parenting role, opportunities should be taken to strengthen the team by outlining the issues and give ownership to all involved. Obviously the time comes when a decision must be taken and they are not always popular but at least then people realize that all possibilities were looked at.

I was particularly pleased that I was able to delegate the decision and any solutions to the staff and Board in relation to the unsold affordable houses. It was my instinct when under pressure from the Local Authority to agree regardless. If I had done so it would have undermined any consultative process in the future and the solutions arrived at would not have been as equitable to all concerned.

MOTIVATION

CONTEXT:

During any economic downturn organizations take an even closer look at the allocation of resources. My theory of leadership subscribes to the principal that if people are treated well, with respect, have good working conditions and are remunerated reasonably then this creates a more productive working environment. At least it should minimize the less productive distraction of feeling undervalued.

DETAIL:

Following my taking up of the CEO post I began to look at conditions in general and during the organizational changes we needed to draw up new contracts. Fortunately we were invited to participate in an anonymous staff condition survey with a number of other housing bodies. NABCO fared well in terms of salary for staff with the exception of senior management.

Areas highlighted as non-existent were Maternity Benefit and recognition of long-term service. With the support of the Board these additional benefits were implemented. Maternity cover is now available for all existing staff, one year following probation period for all new staff. In relation to recognizing long-term staff we introduced one extra day of annual leave for each three years service. The introduction of this award was backdated three years.

IMPACT:

The announcement of these additional conditions generated a few positive emails and my understanding is general satisfaction. I was taken aback by the comments of one or two female staff that the maternity benefit would encourage pregnancy and by the requests by some of our longer standing staff for more leave than those with the organization only three years. That process was an eye opener.

While I firmly believe in the theory of treating people well and providing good conditions I believe now that I was looking for incentives that demonstrated

intent from the new CEO. While all of these incentives are welcome most people value being heard and appreciated more than anything else. Many staff have expressed the happiness at the changes I have brought to the organization the examples they put forward tend to be around the opportunity to contribute and participate in decision making, in being heard.

ESSAY THREE CONCLUSION

I believe the examples outlined in the previous pages demonstrate how clarity is brought to the decision making process as a result of using theory as an apparatus of thought. I also believe that using theory as an apparatus of thought has an immense impact on one's own effectiveness and in turn the effectiveness of the organisation. The examples provided are just a small sample of the decisions made using theory as an apparatus of thought during the last 18 months while becoming a CEO.

At any given time all three theories, the Theory of Co-operatives, The Theory of the Business and a Theory of Leadership intertwine and overlap. Obviously in a non-co-operative business the values and principles may differ but the other theories are critical. I would contend that all executives, need to fully understand the theory of the business and a theory of leadership in order to be effective. All organisational decisions to be effective must relate to the theory of the business. I have not experienced an exception to this. All effective decisions to be implemented require effective organisational leadership. It could be said that these two theories, understood and known thoroughly, and used as an apparatus of thought, by the new CEO would provide sufficient support in being an effective organisational leader.

As with most experiences in life the first time stands out. In my first week on the job at my first pre-budget meeting with the Government in a room filled with people I admire and respect I used theory as an apparatus of thought to take the organisation in a different direction and to a new level of political power. It may be short lived as, the Seanad, our lower of Government is under review but even in that debate we have a voice.

The other example, which gives me particular satisfaction, was the management of change in our affiliated societies. That process was slow, cautious and time consuming, but hugely successful. Despite the high levels of concern amongst members and staff all changes were carried unanimously and implemented successfully. It should also be noted that if my theory had been different and I implemented a number of my earlier observations in the areas of staff, resources and office locations, I would have had to change them back again and undermined my credibility as the new CEO/Leader.

In reality the concerns or fears I had at the outset of taking up my new post were never realised, probably because I had considered them and the theory required, I was sufficiently prepared. In fact the issues I faced difficulty arose in areas I least expected, such as communication.

THE EXCEPTION TO THE RULE: THE CEO V THE ORGANISATION

I did experience one particular scenario where the Theory of the Business and my Theory of Leadership was blind sided by another theory I held. As with any conscientious employee, I became engrossed in my new role, particularly for the first six months. My personal experience was the role became all-consuming. I was working 60-70 hours over seven days, and constantly on my phone either to members of the Board, staff or checking emails. It was difficult to know where I ended and the organization began. It was an adrenaline rush but potentially disastrous as burn out was a real danger.

Many organizations become synonymous with their founder (founder syndrome) or leader, from my experience this is especially so in the charity sector. I recall around the time I took up my post reading/hearing that a CEO should treat the name of the organization as if it were his own, that a good CEO must protect the good name of the organization at all costs. I held this theory to be sound and employed it. After a number of months in post, issues arose around NABCO, which, I took personally. Some of the issues, all of which were historic, were so serious in nature that they threatened the very existence of the organization. (Due to the sensitivity of the issues I cannot write them here in detail at this time) When seeking to deal with these matters I initially saw no

distinction between me, and the organization. I saw any potential negative impact on the organization as having the same potential negative impact on my career. This affected how I dealt with the issues so it was only when I sat down and tried to extrapolate the theories at play I realized how my effectiveness was hindered by my 'ownership' of the issues at hand. When the issues were moved from having me, to issues I could look at, I had greater clarity of purpose and strength in conviction. It was a clear demonstration of the need to untangle the theories at play in the decision making process.

Finally, the ability to use theory as an apparatus of thought is a powerful resource personally, professionally and organisationally. The operation of same takes time, thought and persistence. It does not bring with it infallibility but it certainly brings a strength of conviction the more familiar the process becomes and when things do not work out as planned, analysis is far easier based on the preparation that went into the process.

PORTFOLIO OF EXPLORATIONS: CONCLUSION

This Portfolio of Exploration is quite unique for a number of reasons:

- I am not aware of any other examples of a first time CEO using Theory as an Apparatus of Thought to capture and reflect on his decision making process.
- I have not seen any examples previously of a new CEO place his Adult Mental Development at the core of his professional and organizational effectiveness.
- My findings in relation to being a new CEO focus on the creation of awareness as opposed to the technical aspects of performance.
- Based on my explorations I have found that an in-depth knowledge of the Theory of the Business and a Theory of Leadership alone will be sufficient to guide the new CEO through the challenging initial period.

This aim of this conclusion is to bring together my learning throughout this journey, as a practitioner in the use of theory as an apparatus of thought in an organisational setting. My learning will be of benefit to others embarking on a similar journey of being appointed to a senior executive position for the first time, as the challenges faced are categorized clearly with the awareness of the use of theory as an apparatus of thought. Each example given highlights the complexity of the challenges faced and is clearly labeled under the heading of the relevant Theory. This provides for any new CEO guidance on how to reflect more effectively.

All examples in this Portfolio have been structured similarly, being presented with a context, detail, outcome and impact in order to provide the author and the reader a comparative framework in terms of change, if any, in my effectiveness in using theory as an apparatus of thought.

This conclusion includes:

1. An outline of the Portfolio of Explorations to date

2. An update on my Immunity to Change goals
3. A summary of my critical learning: If I knew then what I know now!
4. My findings to the questions set out in the introduction of the Portfolio of Explorations

MY PORTFOLIO OF EXPLORATIONS TO DATE:

Essay 1 outlines my professional experience up to June, 2010. Through the episodes I have selected for reflection, my meaning making system at that time is surfaced. Critically my development goal of 'Delegation' was uncovered.

Essay 2 presents my exploration of existing literature on theories relevant to my professional practice in order to create a deeper understanding of the three key theories I believe to be relevant for effective leadership of my organisation, namely, the Theory of the Business, the Theory of Co-operatives and the Theory of Leadership.

Essay 3 outlines my experiences in applying my chosen theories as an apparatus of thought in a professional setting and the outcome of that process. Two sets of outcomes are relevant here – those relevant to the organizational impact of my practice stimulated by the applications and the impact on my views of 'how the world works' – my meaning making system.

During the past three years as a participant in the DBA programme I have catalogued my professional and organisational journey in using theory as an apparatus of thought in a learning log. As described earlier, theory is used as a strategy of enquiry, a way of thinking out problems. As issues and decisions arose throughout the first number of months as a CEO I sought to capture the theories at play and tried to break down their constituent components in order to ask myself the right questions. My first application of theory as an apparatus of thought involved Prof. Kegan's Theory of Adult Mental Development (KTAMD), which places me, as the subject, and my meaning making system at the center of the research. KTAMD was the lens used to observe my professional practice 'under the microscope' as it were.

Kegan's Theory of Adult Mental Development (KTAMD) and Immunity To Change

In Essay 1, my professional development review (PDR), Prof. Kegan's Theory of Adult Mental Development was outlined. Following the cataloguing of earlier professional experiences I used a support tool for the process, Kegan's four-column map to surface my *Immunity to Change* and the theory that compounded it. The four-column map surfaced a developmental goal for me, in the form of delegation. I identified my lack of delegation as the singular issue that impacted on my effectiveness or the single issue, if overcome, would have the greatest positive impact on my effectiveness.

The result was an identification that my theory of leadership impacted on my ability to delegate effectively. My theory of leadership had within in it the express belief that for projects to be truly successful, particularly those I had generated or created, I had to be involved in all levels and stages of the process. I felt I would be quicker on my own most of the time. I enjoyed knowing elements of everything involved in a project. There may also have been a sense of ownership at play - if it was my idea, I wanted the kudos.

The issue of delegation is covered extensively in Kegan's *Immunity to Change* (2009: Chapter 5) and was of benefit to me personally when trying to achieve my developmental goal.

From June 2010 to December 2011, I logged my work and how I delegated. It was a difficult process as I was also learning about my new role and there were tasks and duties that I felt I needed to be involved in and there was the added complexity of the required confidentiality of the CEO post. Another challenge was, not knowing my team in work, not having worked closely with them previously.

I discovered early on that delegation is only effective if you delegate to the right person, but the issue that worried me most was the frequency at which work I did delegate was not done properly. Following regular occurrences and reflection on them the obvious common denominator or pattern I observed was me and my lack of clarity around what I was looking for. With a Diploma in

Public Relations, having been a column writer with a newspaper, the *Evening Echo,* confident at verbal communication, I was under the impression that communication would never be an issue for me. To tackle the issue I developed a system with my colleagues that after meetings they would log the meeting and note their understanding of the work they had been asked to undertake, the expected outcomes, timeframe, resources and priorities. This apparently technical 'fix' eliminated much of the confusion and increased all our effectiveness.

The development inherent in the above may not sound much of a struggle, but it was, both on a personal and professional basis. My thinking or theory of leadership had become so engrained it had become habit. I was deeply tied to it and saw no reason to change. The real difficulty, in fact, was surfacing my theory and the awareness of my immunity. It still surprises me that the issue was so obvious and yet went unrecognized and unchallenged. As George Orwell once wrote, "seeing what is in front of your nose requires constant struggle'" Owen (2010: 58).

As time went on, my meaning making system and theory of effectiveness had built in delegation as a requirement. Then something unexpected happened, I found I had more time on my hands. This coincided with the first anniversary of my being in post. I thought it may be down to becoming more familiar with what I was doing but in reality we had developed as a team and I was delegating more and more work of higher and higher importance with the confidence that it would be done not only effectively but often to a higher standard than I would have been able to do it. It did raise an eerie sense of loss. If everyone one else I doing the work then what am I to do, what is my value add?

MY IMMUNITY TO CHANGE: FROM DELEGATION TO FOCUS

In the Spring of 2012, I decided to revisit the four-column process developed by Kegan and Lahey. If, as I believed, I was overcoming my immunity to change in relation to delegation then what other "obvious" theories, was I holding onto that were counterproductive for my effectiveness? Using the process was easier the next time around. I think that apart from being more familiar with the

four-column process the knowledge of the potentially positive outcome made it easier to engage.

The second developmental goal I identified was less of a surprise. The awareness surfaced in my PDR was evidence that I had an issue with focusing. The outcome for me highlighted an immunity to change in relation to focusing on tasks i.e. Results. The theories behind it have been harder to identify. They have ranged from my theory of success - believing if enough irons are in the fire then something will be successful, to my theory of leadership where I believed that networking and involvement in a wide area of external contribution created opportunity for the organization. Drucker's statement "Developing yourself begins by *serving*, by striving towards an idea outside yourself – not by leading. Leaders are not born, nor or they made – they are self-made. To do this a person needs focus" (1990:174) highlights the critical nature of being able to focus.

One area where this became an issue in terms of clear examples is in the area of networking. Having studied Social Network Analysis (with Dr. Claire Gubbins during my MBA), I systematically looked at alliances and relationships I believed would be beneficial to the organisation, particularly in terms of raising its profile. My predecessor described publicity as a two-edged sword and generally erred on the side of caution by not seeking it out. In this economic climate, where we need to generate private finance in a small market the organization needs a higher profile. Based on Drucker's *Theory of the Effective Executive* (1994) I wanted to focus the organization on external results, which included partnerships.

I had also read a book *How to Influence* by Joe Owen (2010). There is a witty anecdote under the heading "Influential places: go where the power is" (2010: 21). The tale is told of a famous American bank robber being asked why he robbed banks, his answer was "'Because, that is where the money is'". In order to influence one needs to be where the power is. Owen describes those seeking to influence as playing for much higher stakes than those looking to persuade. As an organization that lobbies for change on a national and international basis

we need to be aware of how best to maximize our influence with policy shapers and policy makers.

I was invited in 2011 to attend and participate in the Council involved in the setting up the Urban Land Institute (ULI) in Ireland. The ULI globally is one of the longest standing and most prestigious organizations focused on land use. Its mission is to provide leadership in the responsible use of land and in creating and sustaining thriving communities worldwide. The Council consists of seven members who would be recognized leaders in their field. All are potentially very useful partners for NABCO. I attended all of the first meetings and have missed the last few due to other commitments. I am due to organize a conference in the near future in relation to the housing market in Ireland. The conference event is potentially an opportunity to be central in a high profile event yet my over-commitment and lack of focus could undermine that opportunity.

Another similar example is that following my participation in the Boston College programme on the Economics of urban regeneration I was invited to join the Ireland, USA Alumni (IUSA). Within the IUSA a number of sub-committees were set up, I put myself forward for the sub-committee on Business and Innovation. I have yet to attend or contribute to any of three events due to over-committing my time and not being effective with same.

Furthermore, when I moved to Dublin I became involved on the committee of the Eastern Chapter of the MBA Association (Dublin/Leinster). A calendar of events was being organized and essentially it came down to each one of us organizing an event and each month of the year would be covered. I was given an event to run on the Not-For-Profit Sector. (Appendix 4.1) I ran the event with four high profile CEOs and it was deemed successful but the opportunity was lost to develop relationships with the group because of over commitments. I ended up organizing the event myself in terms of sourcing speakers, designing the format and preparing promotional texts etc. Apart from spending time I didn't have on the event I lost an opportunity to work with others on the MBA committee. I believe the following quote from Drucker could have been written

especially for me, "Organizations as well as executives need to work systematically on effectiveness and need to acquire the habit of effectiveness. They need to learn to feed their opportunities and starve their problems. They need to work on making strength productive. They need to concentrate and to set priorities instead of trying to do a little bit of everything" (1966:142). I have obvious strengths in the area of networking but do not bring those skills to the level of results they could potentially be at due to lack of focus and getting projects over the line in a timely fashion.

Finally, I was invited by other members of my class to participate in a small learning community to look at how theories are constructed. I was delighted to be invited to participate, but attended the first meeting ill prepared due to tremendous work commitments that week. I set about preparing for the next event and the same thing happened. I didn't make it to the third meeting due to a serious emergency in Dublin that I had to travel to. I wasn't invited to participate again. This, I believe reflected on my non-focus or contribution to the standard required and expected (including by myself).

At that time I was re-reading Drucker's *Effective Executive* (1966). Drucker re-focused me. He wrote (Drucker 1966:20) "There are essentially five such practices – five such habits of the mind that have to be acquired to be an effective executive.

1. Effective executives know where their time goes.
2. Effective executive focus on outward contribution. They gear their efforts to results rather than to work.
3. Effective executives build on strengths
4. Effective executives concentrate on the few major areas where superior performance will produce outstanding results.
5. Effective executives finally make effective decisions.

The section of the book that had particular resonance for me was around contribution where Drucker said, to "focus on contribution is to focus on effectiveness" (1966:59). He asks "what can I contribute that will significantly affect the performance and the results of the institution I serve?" (1966:44).

These are challenging questions, they involve looking at how you operate, what you do with your time, how you interact with others and at CEO level you must look at all of the resources of the organisation. Drucker said to "look for the unused potential of the job. And what is considered excellent performance in a good many positions is often but a pale shadow of the job's full potential of contribution" (1966:45).

My experiences in the first number months were that you are constantly learning to prove you deserved the post, it was akin to a remark made to me by a college lecturer, "all you need to stay one page ahead of the class." Each day, while exciting, was challenging because you knew at some point you'd get something wrong. The best analogy I can think of is driving your new car as carefully as you can but you know at some point you'll have your first dent or scratch either because of you or someone else. I was certainly a Yes man, willing to attend meetings and events and got to a stage that I felt guilty if there was a blank space in my diary, but I realised that I was in some ways busy doing things as opposed to being busy getting things done. It was time to look in detail at my contribution to the organisation.

MY CONTRIBUTION

"Most people fail to understand that that their ability to make a meaningful and measurable contribution will distinguish them within a company or organization. The goal, therefore, is to apply your self - your talent, energy, and ideas – to accomplishing the company's goals. Then you will achieve the satisfaction of knowing you made the difference, and you will greatly increase your chances of achieving your personal objectives as well. It will be a win-win for you and the company" White (2005:5). I believe that this statement more than any other describes how I need to focus on the macro of organizational contribution and management. It is very easy to get caught up in the detail of a task rather than focus on the wider benefit to the organization.

In the autumn of 2011 I wrote in my learning diary - the following questions:

a. What do I contribute to my organisation?

b. What do I contribute to my organisation that no one else can (My added Value)?
c. What should I contribute to my organisation?
d. How can I be more effective in my contribution to my organisation?
e. What are my strengths?

The area I have found that has the greatest impact, potentially positively or negatively is the area of human relations. I have always had a genuine and sincere interest in the welfare of others and have never been more frustrated than watching those with talent in any form not reaching their capacity through lack of belief or support. That frustration is compounded when you see areas of the organisation not being as effective as it could as a result. According to Drucker's Theory on Contribution, there are four key areas to enhance effectiveness:

- Development of self
- Development of others
- Communication
- Teamwork

SELF-DEVELOPMENT

Booth et al, (2008:13) propose that . "it would be a feeble education that did not change you at all, and the deeper your education, the more it will change the "you" that you are or want to be". This for all is a challenge, the Holy Grail of Effectiveness. There has always been great awareness of self-development with writings from Aristotle and Confucius outlining the goals and value of self-development. Although the notion has been with us, the technical know-how in a business setting has eluded most. Times have changed considerably though since the *Effective Executive* when Drucker wrote in 1966, "We know very little about self development. But we do know one thing: people in general, and knowledge workers in particular, grow according to the demands they make on themselves. They grow according to what they believe to be achievement and attainment" (1966:57).

This DBA programme in itself focuses on the area of self-development through awareness and understanding. By using KTAMD one observes oneself and looks to see where development should occur. Whole industries have built up around the areas of self-development, self-help, self-improvement with some more effective than others. Again, as Drucker says, "the self development of an effective executive is the true development of a person. It goes from mechanics to attitudes, values, and character, from procedure to commitment. Self-development of the effective executive is central to the development of the organization" (1966:141).

Drucker wants us to ask ourselves:

> "What is the most important contribution I can make to the performance of the organization?
>
> What self-development do I need?
>
> What knowledge and skill do I acquire to make the contribution I should be making?
>
> What strengths do I have to put to work?
>
> What standards do I have to set myself?" (1966:57)

All of the above questions create awareness and even a framework for looking at one's effectiveness and contribution.

DEVELOPMENT OF OTHERS

The development of others is an area I have always believed in and have worked on. The Co-operative model promotes it as a principle. The 5th principle promotes education, training and information so that members, elected representatives, managers and employees can contribute effectively to the development of their co-operatives. There are striking similarities between key points of Drucker's effective executive and Barberinnis's view on Co-operatives that "True solidarity is to share and diffuse knowledge, to help people to grow and to better themselves" (2009:10).

NABCO has begun an evaluation of its Human Resource systems with the assistance of an external consultant. Through those systems we have repeatedly asked staff, what training would benefit them in being more effective in their role. To date the vast majority of applications for training have been technical in nature but participation has added confidence to the team, even with some very experienced staff the training has reaffirmed belief. I plan to introduce coaching as an option to support staff in establishing their longer-term goals.

The real strength in developing others will ultimately be organisational. Porter says, "The most powerful CEO is the one who expands the power of those around him" (2004:10). My experience has been a direct link between my effectiveness and the ability of those around me to share my vision for the organization and their ability implement the goals of the organization. The more people sharing the workload the greater the opportunity for me to work on strategic direction and my own strengths.

TEAMWORK

Again, the Co-operative model of people coming together for a common purpose is a clear example of teamwork. Definitions of teamwork also outline synergistic benefit of common purpose. Teamwork is not something that can be forced, in fact teamwork requires more organic development than other areas of the business. In most organisations stress and responsibility undermine the potential for teamwork. The fear of a mistake and a lack of support from colleagues often undermine the potential for teamwork. In many instances the demographic of the team is broader than it would have been previously can also make it harder to bring the team together. There is also an impact on the individual as a result of teamwork. "There is only one conclusion: the chief-executive job in every business (except perhaps the very smallest) cannot properly be organized as the job of one man. It must be the job of a team of several men acting together" Drucker (1955:165). This quotation identifies that the effectiveness of the individual is impacted critically by the effectiveness of the team. Most teams would also have a leader where the responsibility of success or failure will fall despite the effort being that of a team. "His strength in

other words, should strengthen his team-mates – which is, after all, the definition of an effective and strong team captain. He is a playing captain, not a manager calling signals from the bench" Drucker (1955:174).

COMMUNICATION

The area I have found that has the greatest impact, potentially positively or negatively is the area of human relations, particularly around communication. We have all been communicating from the earliest age, verbal, non-verbal etc. From the moment we are born we share our needs through communication. For something that we are doing for so long many of us are not great at it. Most of us know the critical importance of communication, few of us take the time to understand it. I believe the vast majority of problematic issues I have dealt with have been as a result of poor or non-communication.

Stephen M.R. Covey, emphasizes what he believes are the clear benefits of good open communication. "We talk about the four (Integrity, Intent, Capabilities, Results) cores of credibility and how results in one of those cores, and sometimes we need to appropriately communicate results or communicate our accountability to our commitments, and to do it in a way that doesn't come across as self serving. Rather, your purpose for doing this is to offer more confidence in who you are and to declare your intent. Rather than having people wonder 'Why are they telling us this? tell them why. Say, 'Hey, we'd like to communicate our performance against this intent, because 1) we need to hold ourselves accountable, and 2) we earn your trust and we know that you trust people who do what they are say they are going to do and how we are going to do it'. If you declare your intent, then people don't question your agenda. It's not a hidden agenda, it's an open agenda and you can accelerate the process."

What has becoming increasingly apparent to me is that the each organization dependent on its scale, structure, geographic location etc., requires a different communication strategy and policy. "The most important thing to do is to build the organization around information and communication instead of around hierarchy. Everybody in the non-profit institution – all the way up and down –

should be expected to take information responsibility. Everyone needs to learn to ask two questions: What information do I need to do my job – from whom, when, how? And: What information do I owe to others so that they can do their job, in what form, and when? (Drucker, 1990:88).

From experience and observation, being visionary is not of value unless you can clearly and concisely 'sell' the vision and get buy in from others.

My approach to any communication is that it needs to:

1. Provide a context,
2. Focus on results
3. Be clear and easy to understand
4. Preferably be written down even if it will be verbally disseminated. Writing, brings clarity to ideas and gives others the opportunity to reflect on what should be formatted in an accessible structure.

The quality of communication with co-operative members has been singled out as an issue of concern, particularly in the larger organization. Briscoe et al (2000:35) give an example of the Co-operative serving different masters, potentially the service user versus shareholders and in the case of PLC's, the investors. In PR terms each group are described as 'Publics'. For NABCO this would have numerous 'Publics' and types of communication, the Board, staff, affiliated societies, members of affiliated societies, elected representatives, civil servants, media, researchers and many more. This level of differentiation and clarity is required in order to effectively communicate.

LEAD, DO NOT MISLEAD!

When I first engaged in the DBA, I was concerned about my lack of academic experience in research and writing, particularly for Doctoral level study. I was advised to read the Craft of Research (Boothe et al, 2008), the opening of which describes the thesis process as engaging in a 5,000 year-old conversation. It is more than coincidence then that my critical finding has indeed been the subject of great study by some of the finest minds the world has seen, Plato, Aristotle, Cicero, Erasmus, Bacon and Smith. My considered view, having worked through

the DBA process is that Effective Organisational Leadership is based on effective communication.

Aristotle, who also contributed theories on self-development, wrote extensively on communication. Under the heading Rhetoric, which Aristotle (1924: xx)[33] defines as "the faculty of observing in any given case the available means of persuasion" Aristotle outlined the elements of effective communication, "In making a speech one must study three points: first, the means of producing persuasion; second, the style, or language, to be used; third, the proper arrangement of the various parts of the speech. We have already specified the sources of persuasion. We have shown that these are three in number; what they are; and why there are only these three: for we have shown that persuasion must in every case be effected either (1) by working on the emotions of the judges themselves, (2) by giving them the right impression of the speakers' character, or (3) by proving the truth of the statements made" Aristotle[34]. More than a 1,000 years later Adam Smith (1776), the father of modern economics with *The Wealth of Nations* draws a clear link between economics and language (communication), "Smith is clearly attuned to the importance of communication and persuasion in his economic thought, assigning the origin of the division of labor to our human propensities to speak and persuade" McKenna (2006:1). McKenna focused on Smith's theory of rhetorical propriety. This he describes as effective communication being adapted to the "variables of subject, audience, speaker or writer, purpose, and moment - and the centrality of this concept to his thought".

Discovering the level, depth and contribution of the greatest minds to rhetoric (Communication) emphasizes its importance. For Aristotle, Plato, and Cicero rhetoric literally had the power of life over death, all three facing threats on their lives due to their views and rhetoric. With Smith it is more related to the life and the death of commerce, to me it is the life and death or the organization.

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[33] Aristotle *Rhetoric.* (350BC – Translated W Rhys Roberts, 1924:1356a) http://rhetoric.eserver.org/aristotle/rhet1-2.html#1356a (23/10/2012)

[34]Aristotle *Rhetoric.* (350BC - Translated W Rhys Roberts, 1924: I: 4: 1359.) http://rhetoric.eserver.org/aristotle/rhet1-4.html#1359b (23/10/2012)

There is one interesting differentiation I have come across from Joe Owen (2010) where he describes persuasion as the "art of convincing someone to buy something or do something once." Influence he describes as building "a commitment that lasts" (2010:7). "Influencers still have goals to achieve, but think differently how to get there. They see the world through other people's eyes, and adapt their message and behaviour accordingly. The ideal outcome is not simply to persuade someone: it is to build an alliance of mutual trust and respect. But it is an investment which yields rich dividends over a long period" (2010:7).

As in most organisations, information has a currency, particularly when it relates to HR and finance. Being a CEO brings with it great responsibility with the information you have access to and great care must be taken as to how sensitive and operational decisions are disseminated. Personally, I do not like cloak and dagger type working environments where rumour becomes a distraction and undermines morale. I believe in making people aware of important decisions at the earliest opportunity and to always include the thought process and alternatives looked at during the process. When planning a release of information to all staff I tried various methods:

Communicate to the local Boards

Communicate to the Managers and they to their teams.

A staff newsletter

Bringing all staff together etc.

At one meeting I pointed out to managers that a maintenance grant from Government was to be reduced to the tune of €150,000 and we would obviously have to look to see where savings could me made in the organisation. I was unaware until a few weeks later, at the Christmas party, that rumours were rife about redundancies.

Frustrated by the continuous failure of our communication process I organised a meeting with all managers. I circulated a document I had found in my Fathers notes from a training course in the 1980's (Appendix 4.2) The document shows

in a humerous way how organisational messages can be miscommunicated in content, style or tone. This was then to be circulated to all staff. I believe this brought clarity to all involved of the dangers of miscommunication and the responsibility it brings.

We have over time developed a more effective system for communication including a communications code, which identifies recipients of relevant means and the methodology, which incorporates a crisis management process.

Additional critical learning for me during this process was that in focusing too much on how to disseminate organisational information there is a danger of over looking the vital two-way element of communication by not listening to staff and losing out on opportunities to develop trust and a team.

IF I KNEW THEN WHAT I KNOW NOW!

If I were asked to advise others beginning the journey I have been on in becoming a first time CEO I would suggest the following: lead, do not mislead. Don't waste precious organisational resources by not being effective in communicating. A document I read early in the DBA process described "organized thought as the basis of organized action" (Whitehead, 1916: 56). If I were to organize my thought and outline the five steps in the process of effective organizational leadership I would say:

1. Use a theory of adult mental development such as Kegan's to surface any personal developmental goals that would enhance your personal effectiveness and in turn the organizations. (p21, p136)
2. Be aware of and develop YOUR theory of the Business. (p71, p108)
   Drucker provides a framework to assist organization in defining "what it is they get paid to do". This framework will provide the CEO/organization with clarity around it's customers and resources.
3. Be aware of and develop YOUR theory of Leadership. (p50, p75, p116)
4. Be aware of and develop YOUR theory of Communication (p141) to clearly and effectively communicate to relevant stakeholders:
   a) The Vision
   b) The Mission

c) The Goals
d) Who is responsible for what
e) The process
f) The timeframe
g) The resources required/available

5. None of the above is of value unless the CEO/Leader can be trusted. Simply put, if the CEO is not trusted by the organizations stakeholders, then effective organizational leadership is not possible. Staff, customers, suppliers etc may be persuaded to go along with something once but if they are misled or undermined they won't participate again.

There is a vast amount of work required to bring together all of what I believe to be the required information. A strategic review may be required, an analysis of the theory of the business, a review of resources and work practices and systems, but it will all be fruitless unless there is effective communication and buy-in throughout the organisation. We have been using the Balanced Scorecard tool (Appendix 4.3) to tackle some of these issues.

Some of these findings are backed up by Zaccaro *et al* who said "Organisational purpose and direction becomes defined in many ways, including through mission, vision, strategy, goals, plans and tasks. The operation of leadership is inextricably tied to the continual development and attainment of these organizational goal states" (Zaccaro & Klimonski 2001:7). What are not emphasized are the generation of relevant theories and the final critical step of effective communication.

BACK TO THE BEGINNING!

Finally, I would like to specifically respond to the questions I raised at the beginning of the DBA and this Portfolio of Explorations, namely:

1. **Can I develop my awareness in the use of theory as an apparatus of thought?**

Without question, over the three years of my participation in the DBA, I have become very aware of the daily impact of theory on my decision making

process. I have greater clarity and understanding of my theory selection and use of theory as an apparatus of thought. There will always be work to be done in filtering out theories but I believe practice will enhance the speed and quality of the process.

2. How, assuming it is possible, can I enhance my Adult Mental Development?

This is a complex question. I do believe it is possible to enhance my adult mental development, in fact I believe I have, however it is not yet a state of permanence. I slip in and out of the various orders of consciousness depending on how personal the issue or judgment is. Using Kegan's Theory of Adult Mental Development I seek to eliminate blind spots and make object issues and theories I was once subject to. This has enabled me to manage far greater levels of complexity in my new role of CEO and the transition from Executive Director. I continue to log and analyze challenging decisions, the theories at play and outcomes and as a result my confidence in the process and in my role has increased.

3. In doing 1 and 2, how do I become more effective in my professional practice?

In achieving greater awareness in the use of theory as an apparatus of thought and awareness of KTAMD, I have no doubt that I am far more effective now than I have ever been. I have greater confidence that the decisions made are clearer and stronger as a result of using theory as an apparatus of thought.

My decision-making has slowed down somewhat through the use of Theory as an Apparatus of Thought as I look at the theories in detail and for alternative theories, however, the process has resulted in a better quality outcome for me personally, professionally and organisationally.

My findings from the three questions, I believe, are positive with the questions and the answers becoming intertwined. All questions become dependent on each other with the outcomes having a synergistic benefit in the sense that my personal and professional development has impacted positively on my business practice and generated benefits for my organisation.

In relation to my development goal of delegation, much progress has been made. The issue will require ongoing monitoring but the awareness provided by Kegan's Immunity to Change process assists that process greatly (Appendix 4.3). The adult mental development journey is not over, I have much progress to make, particularly in the area of focus, but without question the future is brighter now with a framework to deal with the complexities of personal, professional and organizational life as is outlined and evident from this Portfolio of Explorations.

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APPENDICES

APPENDIX 1

APPENDIX 1.1 – FOUR COLUMN WORKSHOP WITH PROF. KEGAN, 2008.

When Prof. Keegan sought contributors for his workshop I had no hesitation in putting myself forward. To me there was a wonderful opportunity to have an authority look at my situation.

I must admit I had some preconceived notions of the outcome and the result was that I was overlooking some obvious issues (to which I was subject).

Warm-Up

Prof. Kegan asked in the warm up process what we would like to change about ourselves?

I listed:

To have greater focus to complete tasks,

To be able to say no to new commitments,

To work less (Currently Average 80-100 hours per week between my day job and the new business)

To prioritise the tasks needing completion

To enjoy/saviour accomplishments

To stop micro managing.

Can reader unfamiliar with map follow – column 1??? etc.

Column 1

Criteria for this column:

Is it true for you?

It implicates you? (I must change for this to work)

There is room for improvement

It's important to you?

Prof. Kegan then asked us to list an improvement goal. To focus on the single commitment that would make the greatest difference to us. My goal was to focus on the completion of tasks. To give an example, I have been known to writing a letter and put it in an envelope but not post it. This "Kegan" project was started the day after the workshop and yet I am still finishing it on the evening before the hand-in date. The net effect is constantly having many tasks in the back of my mind affecting my focus and productivity.

Column 2

Criteria for column 2:

Name behaviours, not just dispositions, but what you do as a result.

Not why or what you should do about it, just the behaviour and non-behaviour.

Don't use technical means to solve an adaptive challenge.

Prof. Kegan asked us to list what we are doing or not doing to in relation to this improvement goal or commitment. My list was as follows:

I am a collector of commitments.

I don't stick to my schedule.

I don't work on what is important to me.

I don't limit my work hours.

Column 3

Criteria for column include:

Commitment to self-protection.

It should show why column 2 behaviour makes sense in the world.

It should feel powerful to you.

Prof. Kegan asked us to list the commitments that "have us".

This column had a “worry box” where we placed issues of concern.

My concerns included the fear of missing out on new opportunities by not accepting all challenges and opportunities I am presented with.

I am concerned that the level of success I desire cannot be achieved without working around the clock.

I don’t like the idea of letting people down.

Further comments I wrote in the column include:

I am committed to not missing the critical opportunities that may be lost. (No regrets)

I am committed to putting the needs of others before mine.

I am committed to being held in high esteem by others.

Column 4

Criteria:

It makes the 3rd column commitment absolutely necessary.

It has a big time bad conclusion.

It displays a “contracted world” (A bigger space we could but “Must Not Enter).

According to Prof. Kegan, this column contains the BIG ASSUMPTIONS.

My assumptions are:

If I don’t take every opportunity that I will miss the big opportunity.

If I do not put the needs of others first then it will affect by business and personal life and how others view me.

“Our Big Assumptions come close to naming an ineffable, hard to grasp thing: something like the meaning-regulative principles by which we shape the world

in which we live." The Language of Assumptions that we Hold", How the way we talk can change the way we work. Kegan & Lahey

Column 5

This is still a work in progress. On the day of the workshop Prof. Kegan taught us how to "Design a Test" of our big assumptions. The characteristics of the tests are that it must be:

Safe,

Modest,

Actionable,

Researcher (Not to get better but to get information)

Test (Bring results back to Big Assumption).

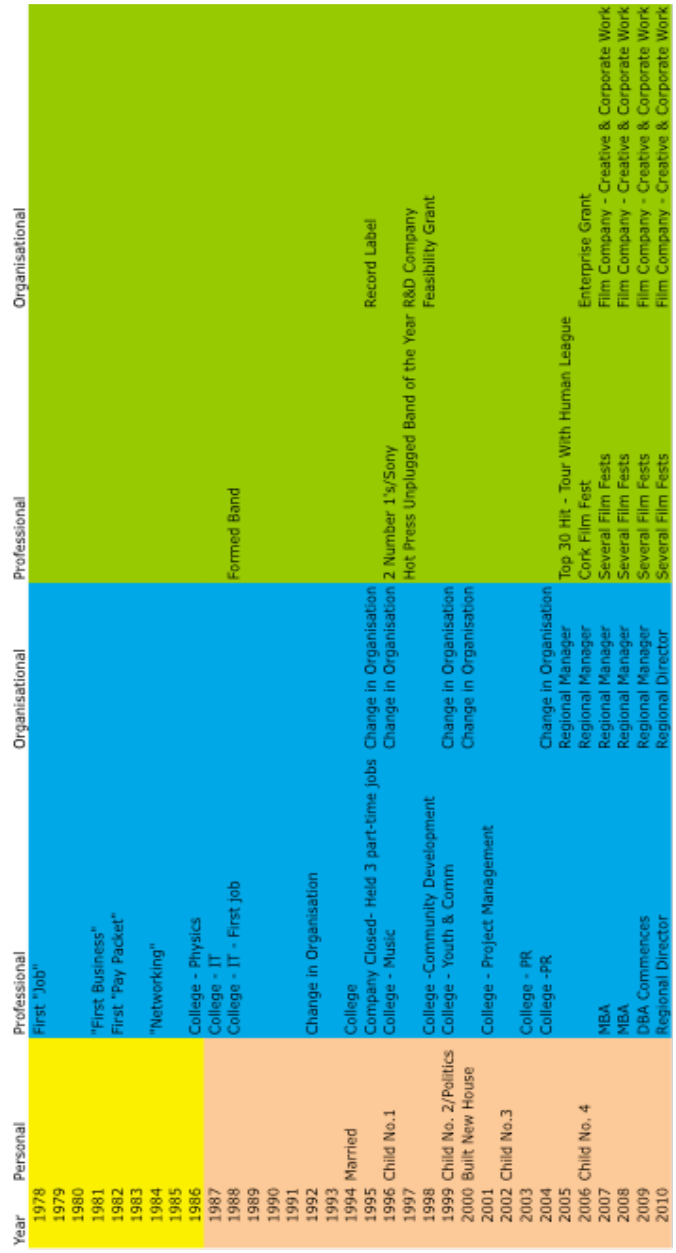
Working with a few close friends I have made on the course I have developed and continue to develop tests of my assumptions. The information I have found is enlightening.

In brief, I prioritized my work/time in favour of that which held most value for me. I generated more specific lists which raised my own awareness of how my time was spent on tasks and who benefited. My key learning to date from this process has been that when you do say no you are more valued.

One very useful comment from a classmate was, "It's ok to be a collector of commitments if you learn to be a killer of commitments!"

Although the subject is "personality change" I believe the following quote could be applied to all types of change. "Even if we accept that some people seem to go through fundamental changes in personality, the question still remains whether people choose to change, or whether change is thrust on them." Can Personality Change? Todd F. Heatherton & Joel L. Weinberger. (1997)

APPENDIX 1.2 – CAREER CHART



Year	Personal	Professional	Organisational	Professional	Organisational
1978		First "Job"			
1979					
1980					
1981		"First Business"			
1982		First "Pay Packet"			
1983					
1984		"Networking"			
1985					
1986		College - Physics			
1987		College - IT			
1988		College - IT - First job		Formed Band	
1989					
1990					
1991					
1992		Change in Organisation			
1993					
1994	Married	College			
1995		Company Closed- Held 3 part-time jobs	Change in Organisation		Record Label
1996	Child No.1	College - Music	Change in Organisation	2 Number 1's/Sony	
1997				Hot Press Unplugged Band of the Year	R&D Company
1998		College -Community Development			Feasibility Grant
1999	Child No. 2/Politics	College - Youth & Comm	Change in Organisation		
2000	Built New House		Change in Organisation		
2001		College - Project Management			
2002	Child No.3				
2003		College - PR			
2004		College -PR	Change in Organisation		
2005			Regional Manager	Top 30 Hit - Tour With Human League	
2006	Child No. 4		Regional Manager	Cork Film Fest	Enterprise Grant
2007		MBA	Regional Manager	Several Film Fests	Film Company - Creative & Corporate Work
2008		MBA	Regional Manager	Several Film Fests	Film Company - Creative & Corporate Work
2009		DBA Commences	Regional Manager	Several Film Fests	Film Company - Creative & Corporate Work
2010		Regional Director	Regional Director	Several Film Fests	Film Company - Creative & Corporate Work

APPENDIX 2

APPENDIX 2.1 – U.N. RESOLUTION

Sixty-fourth session

Agenda item 61 (b)

09-46999

0946999

United Nations

A/RES/64/136

General Assembly

Distr.: General 11 February 2010

Resolution adopted by the General Assembly

[On the report of the Third Committee (A/64/432)] 64/136. Cooperatives in social development

The General Assembly,

Recalling its resolutions 47/90 of 16 December 1992, 49/155 of 23 December 1994, 51/58 of 12 December 1996, 54/123 of 17 December 1999, 56/114 of 19 December 2001, 58/131 of 22 December 2003, 60/132 of 16 December 2005 and 62/128 of 18 December 2007 concerning cooperatives in social development,

Recognizing that cooperatives, in their various forms, promote the fullest possible participation in the economic and social development of all people, including women, youth, older persons, persons with disabilities and indigenous peoples, are becoming a major factor of economic and social development and contribute to the eradication of poverty,

Recognizing also the important contribution and potential of all forms of cooperatives to the follow-up to the World Summit for Social Development, the Fourth World Conference on Women and the second United Nations Conference on Human Settlements (Habitat II), including their five-year reviews, the World Food Summit, the Second World Assembly on Ageing, the International Conference on Financing for Development, the World Summit on Sustainable Development and the 2005 World Summit,

Noting with appreciation the potential role of cooperative development in the improvement of the social and economic conditions of the indigenous peoples and

rural communities,

Recalling Economic and Social Council resolution 1980/67 of 25 July 1980 on international years and anniversaries,

1. Takes note of the report of the Secretary-General; 1 2. Proclaims the year 2012 the International Year of Cooperatives;

_____

1 A/64/132 and Corr.1.

A/RES/64/136

2

3. Encourages all Member States, as well as the United Nations and all other relevant stakeholders, to take advantage of the International Year of Cooperatives as a way of promoting cooperatives and raising awareness of their contribution to social and economic development;

4. Draws the attention of Member States to the recommendations contained in the report of the Secretary-General for further action to promote the growth of cooperatives as business and social enterprises that can contribute to sustainable development, eradication of poverty, and livelihoods in various economic sectors in urban and rural areas and provide support for the creation of cooperatives in new and emerging areas;

5. Encourages Governments to keep under review, as appropriate, the legal and administrative provisions governing the activities of cooperatives in order to enhance the growth and sustainability of cooperatives in a rapidly changing socio-economic environment by, inter alia, providing a level playing field for cooperatives vis-à-vis other business and social enterprises, including appropriate tax incentives and access to financial services and markets;

6. Urges Governments, relevant international organizations and the specialized agencies, in collaboration with national and international cooperative organizations, to give due consideration to the role and contribution of cooperatives in the implementation of and follow-up to the outcomes of the World Summit for Social Development, the Fourth World Conference on Women and the second United Nations Conference on Human Settlements (Habitat II), including their five-year reviews, the World Food Summit, the Second World Assembly on Ageing, the International Conference on Financing for Development, the World Summit on Sustainable Development and the 2005 World Summit by, inter alia:

(a) Utilizing and developing fully the potential and contribution of cooperatives for the attainment of social development goals, in particular the eradication of poverty, the generation of full and productive employment and the enhancement of social integration;

(b) Encouraging and facilitating the establishment and development of cooperatives, including taking measures aimed at enabling people living in poverty or belonging to vulnerable groups, including women, youth, persons with disabilities, older persons and indigenous peoples, to fully participate, on a voluntary basis, in cooperatives and to address their social service needs;

(c) Taking appropriate measures aimed at creating a supportive and enabling environment for the development of cooperatives by, inter alia, developing an effective partnership between Governments and the cooperative movement through joint consultative councils and/or advisory bodies and by promoting and implementing better legislation, research, sharing of good practices, training, technical assistance and capacity-building of cooperatives, especially in the fields of management, auditing and marketing skills;

(d) Raising public awareness of the contribution of cooperatives to employment generation and to socio-economic development, promoting comprehensive research and statistical data-gathering on the activities, employment and overall socio-economic impact of cooperatives at the national and international levels and promoting sound national policy formulation by harmonizing statistical methodologies;

7. Invites Governments, in collaboration with the cooperative movement, to develop programmes aimed at enhancing capacity-building of cooperatives, including by strengthening the organizational, management and financial skills of their members, and to introduce and support programmes to improve the access of cooperatives to new technologies;

8. Invites Governments and international organizations, in collaboration with cooperatives and cooperative organizations, to promote, as appropriate, the growth of agricultural cooperatives through easy access to affordable finance, adoption of sustainable production techniques, investments in rural infrastructure and irrigation, strengthened marketing mechanisms and support for the participation of women in economic activities;

9. Also invites Governments and international organizations, in collaboration

with cooperatives and cooperative organizations, to promote, as appropriate, the growth of financial cooperatives to meet the goal of inclusive finance by providing easy access to affordable financial services for all;

10. Invites Governments, relevant international organizations, the specialized agencies and local, national and international cooperative organizations to continue to observe the International Day of Cooperatives annually, on the first Saturday of July, as proclaimed by the General Assembly in its resolution 47/90;

11. Requests the Secretary-General, in cooperation with the relevant United Nations and other international organizations and national, regional and international cooperative organizations, to continue rendering support to Member States, as appropriate, in their efforts to create a supportive environment for the development of cooperatives, providing assistance for human resources development, technical advice and training and promoting an exchange of experience and best practices through, inter alia, conferences, workshops and seminars at the national and regional levels;

12. Also requests the Secretary-General to submit to the General Assembly at its sixty-sixth session a report on the implementation of the present resolution, including a proposal on activities to be undertaken during the International Year of Cooperatives within existing resources.

65th plenary meeting 18 December 2009

A/RES/64/136

APPENDIX 3

APPENDIX 3.1 - MEMBERSHIP OF THE ADVISORY GROUP

Chair:

John O'Connor, *Housing and Sustainable Communities Agency*

Members:

Tim Caffrey, *City and County Managers Association*

Noel Carroll, *Department of the Environment, Community and Local Government*

Brian Cassidy, *Engineers Ireland*

Gene Clayton, *Irish Council for Social Housing*

Mark Cullen, *Health and Safety Authority*

Niall Cussen, *Department of the Environment, Community and Local Government*

Dominic Doheny, *Construction Industry Federation*

Helen Dunne, *Irish Rural Link*

Simon Ensor, *Irish Auctioneers and Valuers Institute*

Hubert Fitzpatrick, *Construction Industry Federation*

Donal Kellegher, *National Asset Management Agency*

Paul Keogh, *Royal Institute of Architects of Ireland*

Michael Moriarty, *National Asset Management Agency*

Conor Norton, *Irish Planning Institute/Royal Town Planning Institute*

Bill Nowlan, *Society of Chartered Surveyors*

Philip Nugent, *Department of the Environment, Community and Local Government*

Aidan O'Connor, *Department of the Environment, Community and Local Government* Micheál O'Connor, *Society of Chartered Surveyors*

Martin O'Halloran, *Health and Safety Authority*

Niall O'Keeffe, *National Association of Building Co-operatives*

Eimer O'Rourke, *Irish Banking Federation*

Niall Rice, *Farrell Grant Sparks*

Gordon Richards, *National Building Agency*

Secretary:

Katherine Banks, *Housing and Sustainable Communities Agency*

APPENDIX 3.2 – CO-OPERATIVE EQUITY SHARE



Co-operative Equity Share

Benefits:

8. More impact and benefit from Government housing expenditure.

9. Opportunity to activate the housing market.

10. Opportunity for those interested in entering the housing market with affordable investment levels.

11. Opportunity to create employment and training through Co-operative Living.

12. Opportunity to complete some unfinished housing estates.

13. Opportunity for NAMA to dispose of stock.

14. Opportunity for banks to participate in mortgage provision

About NABCO

NABCO (National Association of Building Co-operatives) is Ireland's national association for the co-operative housing sector. Since our foundation in 1973 we have:

- Provided approximately 5,000 homes across a mix of tenures through application of the co-operative model,
- taken responsibility for the on-going management of nearly 1,800 social rented units,
- supported the development of locally affiliated societies, ensuring that services are locally owned and locally managed,
- provided wider community development opportunities such as Childcare and Family Services.

NABCO has nearly 40 years experience applying the co-operative model to meet housing need across tenures throughout Ireland.

Policy Background

Since the 2009 Housing Act, Government has developed a series of measures designed to increase the supply of social housing through various leasing schemes. Most recently, the Department of the Environment, Community and Local Government's (DoECLG) Circular 38/2011 gave guidance for Build-to-Lease schemes on Local Authority land.

Under the terms of the Payment and Availability Agreements that accompany such leasing schemes, both Approved Housing Bodies (AHBs) and the private sector are able to enter into agreements with Local Authorities to provide social housing in return for a guaranteed rental payment. For the private sector these agreements can be of 20 years duration and will come with a guaranteed rental stream of 80 per cent of market rent. For AHBs, agreements can be of 30 years duration with rents of up to 92 per cent of market rates. AHBs also have the possibility of supporting leasing proposals with Capital Advance Leasing Funding of up to 30 per cent of project cost.

As of June 2011, 1,800 homes had become operational under the terms of leasing schemes with a further 3,300 approved. Current expenditure to support this level of activity is considerable. Using daft.ie's February 2012 national average rent of €820 per month, the annual cost to the State of making

these properties available is in excess of €50 million per annum. A further €20 million has been set aside to fund leasing projects this year with increases anticipated in line with the growth of the programme.

Policy Proposal

NABCO has developed a co-operative-based solution, which can be applied to increase the number of households benefitting from leasing arrangements while maintaining costs at their present levels. NABCO believes that the current arrangements are unsustainable and unnecessarily expensive for the State. In the case of private sector developers, 80 per cent of market rent will be paid for 20 years with no asset for either the State or the wider social housing sector at the end of that period. The high costs associated with the current leasing model are limiting the impact that AHBs and the private sector are having on reducing the numbers of families in housing need.

The solution that we propose is a Co-operative Equity Share product. Using this product households in need of housing, who can afford to do so, would purchase a 30, 40 or 50 per cent equity stake in their properties. With access to existing leasing funding, the co-operative would hold the remaining equity stake in the property and pay a mortgage on it. NABCO would anticipate building on our links with co-operative and mutual finance providers to explore the market appetite for such a product in the first instance.

This proposal would have the instant effect of reducing the immediate current expenditure liability of the State in respect of each shared equity property with no increased capital costs. Over time, the tenant-owner-member would have the opportunity to increase their equity stake in the property, further reducing the State's liability. It can be anticipated that many participants in the scheme would eventually exercise an option to purchase the property, eliminating the need for ongoing renewal and maintenance of properties.

Through application of this product the State could maintain current levels of expenditure on housing leasing models but potentially greatly increase the number of households benefitting from access to the scheme.

NABCO firmly believes that the co-operative model has the flexibility required to successfully apply this product across a wide area. The Association has experience in delivering and maintaining mixed-tenure housing developments, including Newtown in north Dublin, where social rented and shared equity homes are co-located. The co-operative model, through requiring members to commit to share capital and by providing opportunities for real community leadership, is also uniquely well-placed to deliver sustainable communities that will remain resilient into the future.

Worked Examples

The examples below show how a Co-operative Housing Equity product would be of benefit to families. In each case a sample representative price for a typical property has been selected for a variety of locations around the country, reflecting both high and low value and urban and rural areas.

The worked examples all assume a fifty per cent equity stake in the case of Co-operative Housing Equity homes and a sample ninety per cent mortgage in the case of homes bought outright. A sample mortgage rate of 3.5 per cent is shown for both types of product. Properties are also compared to the cost of private rental properties of the same type in the same market.

In all cases the highest estimated monthly cost for a Co-operative Housing Equity product, inclusive of service charge, is lower than the lowest cost of a home purchased outright.

County Kilkenny 3 bed house valued at €165,000

	Co-operative Equity	**Home Ownership**	**Private Rent**
Monthly cost	Mortgage 50% of value	Mortgage 90% of value	
Mortgage/Rent	**350**	**590**	**600**

Cork City 2 bed house valued at €135,000

	Co-operative Equity	**Home Ownership**	**Private Rent**

Monthly cost	Mortgage 50% of value	Mortgage 90% of value	
Mortgage/Rent	**280**	**490**	**700**

Dublin County (South) 2 bed apartment valued at €200,000

	Co-operative Equity	**Home Ownership**	**Private Rent**
Monthly cost	Mortgage 50% of value	Mortgage 90% of value	
Mortgage/Rent	**420**	**800**	**1200**

Limerick (City Suburbs) 3 bed house valued at €160,000

	Co-operative Equity	**Home Ownership**	**Private Rent**
Monthly cost	Mortgage 50% of value	Mortgage 90% of value	
Mortgage/Rent	**335**	**580**	**650**

APPENDIX 3.3 – LETTER FROM THE MINISTER



RECEIVED
10 FEB 2012

An Roinn Airgeadais
Department of Finance

Oifig an Aire
Office of the Minister

Sráid Mhuirfean Uacht,
Baile Átha Cliath 2,
Éire.

Upper Merrion Street,
Dublin 2,
Ireland.

Teileafón / Telephone: 353-1 604 5626
Facsuimhir / Facsimile: 353-1 676 1951
Glao Áitiúil / LoCall: 1890 66 10 10
http://www.finance.gov.ie

Our Ref: 11/0035/MF

09 February 2012

Mr Niall O'Keeffe
Chief Executive
NABCO Co-operative Living
33 Lower Baggot Street
Dublin 2.

Dear Mr O'Keeffe

The Minister for Finance, Mr Michael Noonan TD, has asked me to thank you for your proposals about the Co-operative Equity Project, which you submitted last October. You will appreciate that the financial crisis has had significant resource implications for this Department and the Minister has asked me to apologise for the delay in responding to you.

The Minister asked his officials to examine the proposal and it is considered that the best way of progressing your ideas is to discuss them directly with NAMA. NAMA has indicated on several occasions that it is willing to engage with co-operative and community housing organisations with a view to exploring mutually beneficial opportunities. In that regard, you should contact Mr John Mulcahy, Head of Portfolio Management at NAMA.

Yours sincerely

Sean Kinsella
Private Secretary to the Minister for Finance

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Printed on 100% recycled paper

APPENDIX 3.4 - WORK & DEVELOPMENT DISCUSSION

Work and Development Discussion – Explanatory Note

1. The Work and Development Discussion is a structured way for the manager and each staff member to communicate about work matters on a regular basis.

2. It is about open and supportive communication and provides an opportunity for

two-way feedback.

3. It is about discussing expectations and agreeing work objectives, jointly deciding how potential barriers can be addressed and any needed support provided.

4. Both the manager and the member of staff can discuss and identify training needs and explore how these can best be implemented. It is possible that no particular training needs will be identified, though there may occasionally be an organisational need where training will be necessary, for example where mandatory training has to be undertaken or training is required to address serious shortcomings.

5. An opportunity is also available to discuss career development and progression and it is understood that not everyone will wish to take up this opportunity.

6. It is intended that the style of the work and development discussion will be more like what is understood as 'support and supervision' rather than 'appraisal'.

7. It is not intended that technical skills will be assessed through the work and development discussion.

8. The discussion and record will take place at a local level and will not involve review by more senior management. If an issue is escalated to senior management the record may need to be accessed at that point.

9. Where any disagreement arises this will need to be addressed with a view to resolution and it is expected that this will be done in a respectful and constructive way by both the manager and the staff member.

10. The system is meant to enhance normal day-to-day communication about work matters rather than replace it.

11. It provides a forum for good work and effort to be recognised.

12. The work and development discussion form is provided as a tool to support and record the main points of the conversation – it is not meant as, and should not become, a tick-box exercise.

13. Start date target: 1st July 2012.

14. The system will be reviewed and updated as necessary.

Work & Development Discussion Document, implemented July 2012.

Work and Development Discussion - NABCO

Name: Role:

Period: Manager:

Arising from a review of the job description and workload, what are the key priorities for the ne

What objectives have been agreed following your discussion?

Remember to try to write objectives so that they are specific, measurable, achievable, relevant and time bound.

Signed:_____

Approved:_____ Date:_____

Part 2. To be completed after discussion held at the end of the period being

discussed.

For each of objective note whether it was achieved, not achieved, or partly achieved.

What worked well and not so well? What barriers arose and how were these handled? Wha were given?

Where there any learning points from your work in the last four months, either for you, your ma team, or NABCO?

Have any improvements being identified which will inform the next four months' work?

Have you identified any training and development needs and how might these be met?

Overall comments (staff):

Overall comments (manager):

Signed:_____

Approved:_____ Date:_____

Training & Development Request

Name:	Role:

Describe the training and development need
What is the learning objective ?
How will this improve your work ?
What support do you need from NABCO to do this ?
Estimated cost (include total and breakdown)
Requested by: *Date:*
Approved by: *Date:*

Part 2 is to be completed following the training and development and should be referred to during the next Work and Development Discussion.

What have you learned ?

Did you meet the learning objective (please explain) ?
How will you apply this learning to your role ?
What improvements/developments have resulted or do you expect to result ?
Any other reflections ?
Manager's comments
Signed: *Date:*
Reviewed by: *Date:*

Notes:

It is proposed to use this form to allow for request and approval of training and development and to ensure reflection on learning as well as connecting the learning to the job role. This will feed into the Work and Development Discussion.

It is proposed that a budget be set aside for meeting the costs of training and development and that, as a guide, this would be of the order of 3% - 4% of payroll.

Once approved, the form can be used to expedite any training and development needs that have already been identified but not yet actioned.

In thinking about training and development there are many things that can be done other than classroom training, although this is still an important element in learning. Some ideas include:

Working on a project to learn specific skills

Reading a book

Viewing DVD

Internet learning possibilities

Structured meeting with professional colleagues, either inside or outside NABCO

Researching a topic and writing a report on it

Visits to other sites.

It is worth remembering that there may be training and development needs for the whole team rather than just individuals.

APPENDIX 3.6 – NOMINATING BODIES LIST

Oireachtas Eireann list of nominating Bodies for Seanad Eireann

ACHTA TOGHCHÁIN AN tSEANAID
(ROLLA-CHOMHALTAÍ)
1947 agus 1954

SEANAD ELECTORAL (PANEL MEMBERS) ACTS
1947 and 1954

An Clár de Chomhlachtaí Ainmniúcháin arna athscrúdú san athscrúdú bliantúil agus arna shíniú ag Ceann Comhairimh an tSeanaid de bhun alt 19 d'Acht Toghcháin an tSeanaid (Rolla-Chomhaltaí) 1947, arna leasú le hAcht Toghcháin an tSeanaid (Rolla-Chomhaltaí) 1954.

Register of Nominating Bodies as revised at the annual revision and signed by the Seanad Returning Officer in pursuance of section 19 of the Seanad Electoral (Panel Members) Act 1947, as amended by the Seanad Electoral (Panel Members) Act 1954.

AN ROLLA SAÍOCHTA AGUS OIDEACHAIS
Cultural and Educational Panel

Ainm an Chomhlachta *Name of Body*	Seoladh *Address*
Royal Irish Academy	19 Dawson Street, Dublin 2.
Cumann Leabharlann na hÉireann (The Library Association of Ireland)	53 Upper Mount Street, Dublin 2.
Irish National Teachers' Organisation	35 Parnell Square, Dublin 1.
Association of Secondary Teachers, Ireland	ASTI House, Winetavern Street, Dublin 8.
An Cumann Gairm-Oideachais In Éirinn (The Irish Vocational Education Association)	McCann House, 99 Marlborough Road, Donnybrook, Dublin 4.
The Law Society of Ireland	Blackhall Place, Dublin 7.
Royal College of Surgeons in Ireland	123 St. Stephen's Green, Dublin 2.
Comhairle na d'Tréidlia Veterinary Council	53 Lansdowne Road, Ballsbridge, Dublin 4.
The Pharmaceutical Society of Ireland	18 Shrewsbury Road, Ballsbridge, Dublin 4.
The Council of the Bar of Ireland	Law Library, P.O. Box 4460, 158/9 Church Street, Dublin 7.
Bantracht na Tuaithe (Irish Countrywomen's Association)	58 Merrion Road, Ballsbridge, Dublin 4.
The Royal Society of Antiquaries of Ireland	63 Merrion Square, Dublin 2.
The Royal Irish Academy of Music	36/38 Westland Row, Dublin 2.
Irish Dental Association	IDA Head Office, Unit 2, Leopardstown Office Park, Sandyford, Dublin 18.
The Irish Georgian Society	74 Merrion Square, Dublin 2.
Cumann le Seandacht Átha Cliath (The Old Dublin Society)	44 Warrenhouse Road, Baldoyle, Dublin 13.
Cónaidhm Éireannach na Múinteoirí Ollscoile	11 Merrion Square, Dublin 2.
Irish Federation of University Teachers	3 Montague Street, Dublin 2.
National Youth Council of Ireland	32/33 Cearnóg Belgrave, Baile na Manach, Co. Átha Cliath.
Comhaltas Ceoltóirí Éireann	6 Sráid Fhearchair, Baile Átha Cliath 2.
Conradh na Gaeilge	73 Orwell Road, Rathgar, Dublin 6.
Aontas Múinteoirí Éireann/Teachers' Union of Ireland	
Dental Council	57 Merrion Square, Dublin 2.
The Institute of Community Health Nursing	Royal City of Dublin Hospital, Upper Baggot Street, Dublin 4.
Údarás na Gaeltachta	Na Forbacha, Co. na Gaillimhe.
Gael-Linn Teoranta	35 Sráid an Dáma, Baile Átha Cliath 2.
Local Authority Medical Specialists Limited	30 Bóthar na Trá, Gaillimh.
The Drama League of Ireland	The Mill Theatre, Dundrum Town Centre, Dublin 16.
Gaelscoileanna Teo.	Halla Naomh Phádraig, Institiúid Oideachais Marino, Ascaill Uí Ghríofa, Baile Átha Cliath 9.
Comhdháil Náisiúnta na Gaeilge	46 Sráid Chill Dara, Baile Átha Cliath 2.
Irish Playwrights' and Screenwriters' Guild	Art House, The Curved Street, Temple Bar, Dublin 2.
Comhar na Múinteoirí Gaeilge	7 Cearnóg Mhuirfean, Baile Átha Cliath 2.
Cumann Geinealais na hÉireann Genealogical Society of Ireland	11 Desmond Avenue, Dún Laoghaire, Co. Dublin.
Comhlámh	Ballast House, Aston Quay, Dublin 2.

AN ROLLA TALMHAÍOCHTA
Agricultural Panel

Ainm an Chomhlachta *Name of Body*	Seoladh *Address*
Royal Dublin Society	Ballsbridge, Dublin 4.
Irish Co-operative Organisation Society Limited	The Plunkett House, 84 Merrion Square, Dublin 2.
National Executive of the Irish Live Stock Trade	3 Gandon Court, Fairgreen, Portlaoise, Co. Laois.
The Irish Thoroughbred Breeders' Association	Greenhills, Kill, Co. Kildare.
The Dairy Executives' Association	33 Kildare Street, Dublin 2.
Munster Agricultural Society Company Ltd.	Riverpark House, Marina Commercial Park, Centre Park Road, Cork.
Irish Greyhound Owners and Breeders Federation	c/o Mort Cronin, The Bungalow, Lota, Glanmire, Co. Cork.
Irish Grain and Feed Association	Lower Main Street, Abbeyleix, Co. Laois.
National Association of Regional Game Councils	Castle Street, Cloghan, Tullamore, Co. Offaly.
Agricultural Science Association	Irish Farm Centre, Bluebell, Dublin 12.
Inland Fisheries Ireland	Swords Business Campus, Swords, Co. Dublin.

AN ROLLA OIBREACHAIS
Labour Panel

Ainm an Chomhlachta *Name of Body*	Seoladh *Address*
Irish Congress of Trade Unions	31/32 Parnell Square, Dublin 1.
The Irish Conference of Professional and Service Associations	I.B.O.A. House, Stephen Street Upper, Dublin 8.

AN ROLLA TIONSCAIL AGUS TRÁCHTÁLA
Industrial and Commercial Panel

Ainm an Chomhlachta *Name of Body*	Seoladh *Address*
The Chambers of Commerce of Ireland	17 Merrion Square, Dublin 2.
The Construction Industry Federation	Construction House, Canal Road, Dublin 6.
The Society of the Irish Motor Industry	5 Upper Pembroke Street, Dublin 2.
RGDATA—Retail, Grocery, Dairy and Allied Trades Association	Rock House, Main Street, Blackrock, Co. Dublin.
The Irish Auctioneers and Valuers Institute	38 Merrion Square East, Dublin 2.
The Insurance Institute of Ireland	Insurance House, 39 Molesworth Street, Dublin 2.
The Institute of Chartered Accountants in Ireland	Chartered Accountants House, 47-49 Pearse Street, Dublin 2.
The Royal Institute of the Architects of Ireland	8 Merrion Square, Dublin 2.
Irish Business and Employers Confederation	Confederation House, 84/86 Lower Baggot Street, Dublin 2.
Irish Hotels Federation	13 Northbrook Road, Dublin 6.
The Association of Advertisers in Ireland Limited	Fitzwilliam Business Centre, 26 Upper Pembroke Street, Dublin 2.
The Institute of Advertising Practitioners in Ireland	8 Upper Fitzwilliam Street, Dublin 2.
The Institution of Engineers of Ireland	22 Clyde Road, Ballsbridge, Dublin 4.
The Institute of Certified Public Accountants in Ireland	17 Harcourt Street, Dublin 2.
The Institute of Professional Auctioneers & Valuers	129 Lower Baggot Street, Dublin 2.
Wholesale Produce Ireland	13/17 Little Britain St., Dublin 7.
Vintners' Federation of Ireland Limited	VFI House, Castleside Drive, Rathfarnham, Dublin 14.
The Restaurants Association of Ireland	11 Bridge Court, City Gate, St. Augustine's Street, Dublin 8.
Irish Road Haulage Association	Suite 6, Gowna Plaza, Bracetown Business Park, Clonee, Co. Meath.
Irish Tourist Industry Confederation	Ground Floor, Unit 5, Sandyford Office Park, Dublin 18.
Marketing Institute of Ireland Limited	South County Business Park, Leopardstown, Dublin 18.
Cumann na nGníomhairí Paitinne agus Marcanna Trádála (Association of Patent and Trade Mark Attorneys)	c/o Simon Gray, Tomkins & Co., 5 Dartmouth Road, Dublin 6.
Irish Hospitality Institute	8 Herbert Lane, Dublin 2.
The Electrical Industries Federation of Ireland	c/o E.T.C.I., Unit H 12, Centrepoint Business Park, Oak Road, Dublin 12.
Irish Exporters Association Limited	28 Merrion Square, Dublin 2.
Institute of Industrial Engineers	P.O. Box 790, Sandyford, Dublin 18.
The Marketing Society Limited	P.O. Box 58, Bray, Co. Wicklow.
Licensed Vintners' Association	Anglesea House, Anglesea Road, Ballsbridge, Dublin 4.
Institute of Bankers in Ireland	1 North Wall Quay, Dublin 1.
The Irish Computer Society	Crescent Hall, Mount Street Crescent, Dublin 2.
Irish Planning Institute	Floor 3, The Courtyard, 25 Great Strand Street, Dublin 1.
Irish Country Houses and Restaurants Association	8 Mount Street Crescent, Dublin 2.
The Chartered Institute of Logistics & Transport in Ireland	1 Fitzwilliam Place, Dublin 2.
National Off-Licence Association	Block D, Unit 6, Nutgrove Office Park, Rathfarnham, Dublin 14.
Irish Hardware & Building Materials Association	Elmville, Upper Kilmacud Road, Dundrum, Dublin 14.
Professional Insurance Brokers Association Limited	Unit 14B, Cashel Business Centre, Cashel Road, Crumlin, Dublin 12.
Institute of Management Consultants and Advisers	19 Eglin Road, Ballsbridge, Dublin 4.
Irish Insurance Federation	39 Molesworth Street, Dublin 2.
The Dublin City Centre Business Association	21 Dawson Street, Dublin 2.
National Housebuilding Guarantee Company Limited	Construction House, Canal Road, Dublin 6.
The Institute of Directors in Ireland Limited	Europa House, Harcourt Street, Dublin 2.
Nursing Homes Ireland	Unit A5, Centrepoint Business Park, Oak Road, Dublin 12.
West Dublin Chamber of Commerce	Community Civic Centre, Ballyfermot Road, Dublin 10.

AN ROLLA RIARACHÁIN
Administrative Panel

Ainm an Chomhlachta *Name of Body*	Seoladh *Address*
Association of County and City Councils	Office Unit 10, Manor Mills, Maynooth, Co. Kildare.
Association of Municipal Authorities of Ireland	A.M.A.I. House, 63 Ormond St., Nenagh, Co. Tipperary.
Central Remedial Clinic	Vernon Avenue, Clontarf, Dublin 3.
Enable Ireland Disability Services Limited	32F Rosemount Park Drive, Rosemount Business Park, Ballycoolin Road, Dublin 11.
The Multiple Sclerosis Society of Ireland	MS Resource Centre, 80 Northumberland Road, Dublin 4.
Irish Wheelchair Association	Áras Chúchulainn, Blackheath Drive, Clontarf, Dublin 3.
Inclusion Ireland — National Association for People with an Intellectual Disability	Unit C2, The Steelworks, Foley Street, Dublin 1.
National Association for Deaf People	35 North Frederick Street, Dublin 1.
Irish Kidney Association	Donor House, Block 43A Park West, Dublin 12.
People with Disabilities in Ireland Ltd.	4th Floor, Jervis House, Jervis Street, Dublin 1.
Irish Deaf Society — National Association of the Deaf	30 Blessington Street, Dublin 7.
Disability Federation of Ireland	Fumbally Court, Fumbally Lane, Dublin 8.
Irish Foster Care Association	Unit 23, Village Green, Tallaght Village, Dublin 24.
The Alzheimer Society of Ireland	National Office, Temple Road, Blackrock, Co. Dublin.
National Association of Building Co-operatives (NABCO) Society Ltd.	33 Lower Baggot Street, Dublin 2.

(Signed) DEIRDRE LANE,
Seanad Returning Officer

Dated this 16th day of March, 2011

[2]

APPENDIX 3.7 – PROPOSED ORGANISATIONAL CHANGES



Proposed Organisational Changes

Briefing to Society Boards

August 2011

Introduction

This paper provides detailed information on two proposed changes to the organisational structure of NABCO and its Affiliated Societies in the Dublin area. These proposals are:

1. A re-alignment to each Society and related systems, and,
2. Direct employment of all co-operative housing staff by NABCO.

These proposals have been developed by NABCO's Board and management team to help the Association to respond to the pressing challenges in the external environment while making the most of the current opportunities for growth of the co-operative model. There are three key drivers for change at this time:

- *To develop and sustain co-operative communities*: NABCO is keen to develop and promote the distinct advantages of a co-operative approach to community development. This will mean providing a clearer definition of what 'co-operative living' should mean. Developing the benefits of co-operation among co-operatives to enhance services to members, providing a 'quality mark' such as 2020 Vision to guarantee standards and to develop a full range of co-operative services, including employment, education and training.

- *To develop and support co-operative boards*: the national Board and sub-committees of NABCO have been expanded with the addition of three external experts bringing professional expertise to the governance of the Association. This has been balanced with commitments to maintain member-led structure of the Board that ensures our distinctive identity as a co-operative. The current proposals will clarify the relationship between NABCO and Affiliated Societies, giving Society Boards the freedom and confidence to focus on developing local visions for co-operative communities.
- *To enhance co-operative housing as an attractive place to work*: these proposals are designed to enhance and clarify HR practices, giving employees confidence, autonomy and opportunities for development while building a flexible and adaptable team that is able to respond to change.

These proposals are supported by NABCO's Board (which comprises members of Affiliated Societies) and require the approval of the Boards of the Affiliated Societies to become effective. This paper provides more detail on the background and content of the proposals to assist Board members in reaching their decision.

These proposals are presented for discussion and suggestions of alternatives or amendments are welcome. The deadline for feedback on these proposals is 23 September 2011.

Context - *External*

These proposals come in the context of a very challenging external environment. The global recession has had a devastating impact in Ireland with many families and communities in difficult circumstances. The downturn in the housing market, in particular, has left many families struggling to cope with the cost of housing while simultaneously leaving a legacy of unfinished and unoccupied estates across the country. NABCO believes that the co-operative model has real solutions to many of these problems and is keen to expand to provide more members with access to quality housing in strong communities.

While NABCO has identified opportunities for growth and development, the funding climate has never been more challenging. The Capital Loan and Subsidy Scheme, provided by the Department of Environment Community and Local Government, which has provided 100% finance to NABCO's developments in the past has been cancelled. NABCO will therefore need to look for new sources of finance in the future to support development ambitions and to fund major programmes such as building maintenance.

A number of other external factors combine to make access to funding even more important. Grant-in-Aid to NABCO, to support its role as the national federation, has reduced in recent years and must be expected to reduce further in the future. Meanwhile, the new Rental Tenancies Board (RTB) will require NABCO to register all its properties at an estimated cost of €140,000 every four years. NABCO will also be the named party in any disputes brought before the RTB, as opposed to Affiliated Societies.

In order to seek external finance NABCO must be positioned as a credible lending client. This means having robust organisational and financial structures as well displaying strong leadership and governance. The two proposals contained in this document are designed to create strong Affiliated Societies that are capable of growth and co-operative development while giving NABCO the organisational and leadership strength it requires to publically represent the co-operative housing movement and promote its development.

Context – *Internal*

The current proposals relate to the Dublin Affiliated Societies. At present there are four Affiliated Societies with 1,177 dwellings in management. By the middle of 2012 the housing stock managed by Affiliated Societies will have increased by 266 dwellings to a total 1,443. This volume of increase has an obvious impact on the resources of each of the Societies, their Boards, staff, and potentially on the quality of housing services.

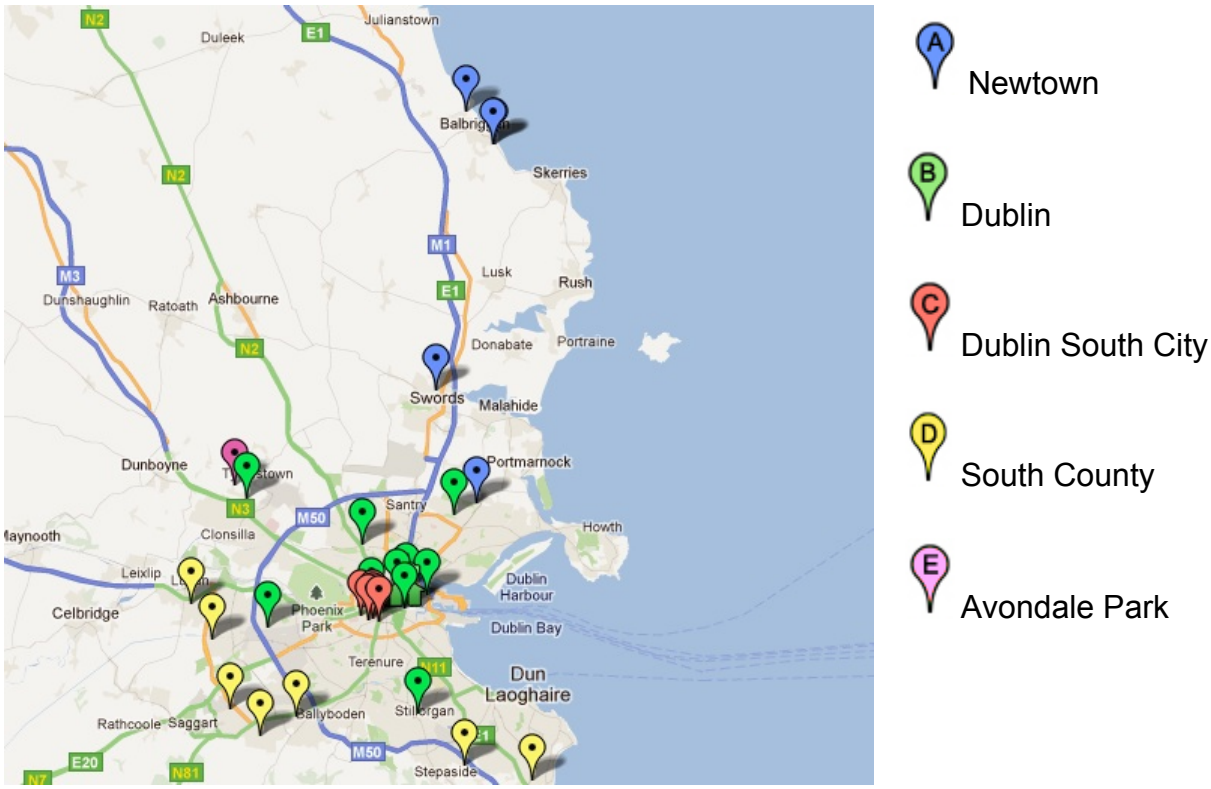
At present, Affiliated Societies employ staff directly with necessary implications for the potential liability of Board members in relation to employment relations

and health and safety. There are also potential impacts for the flexibility and organisational strength of co-operative housing more widely.

In order to bring clarity and enhanced effectiveness to the sector in Dublin there are currently two main proposals for discussion.

Proposal 1: ***A re-alignment of each Society and related systems***

The following map displays the current distribution of dwellings among the four societies:

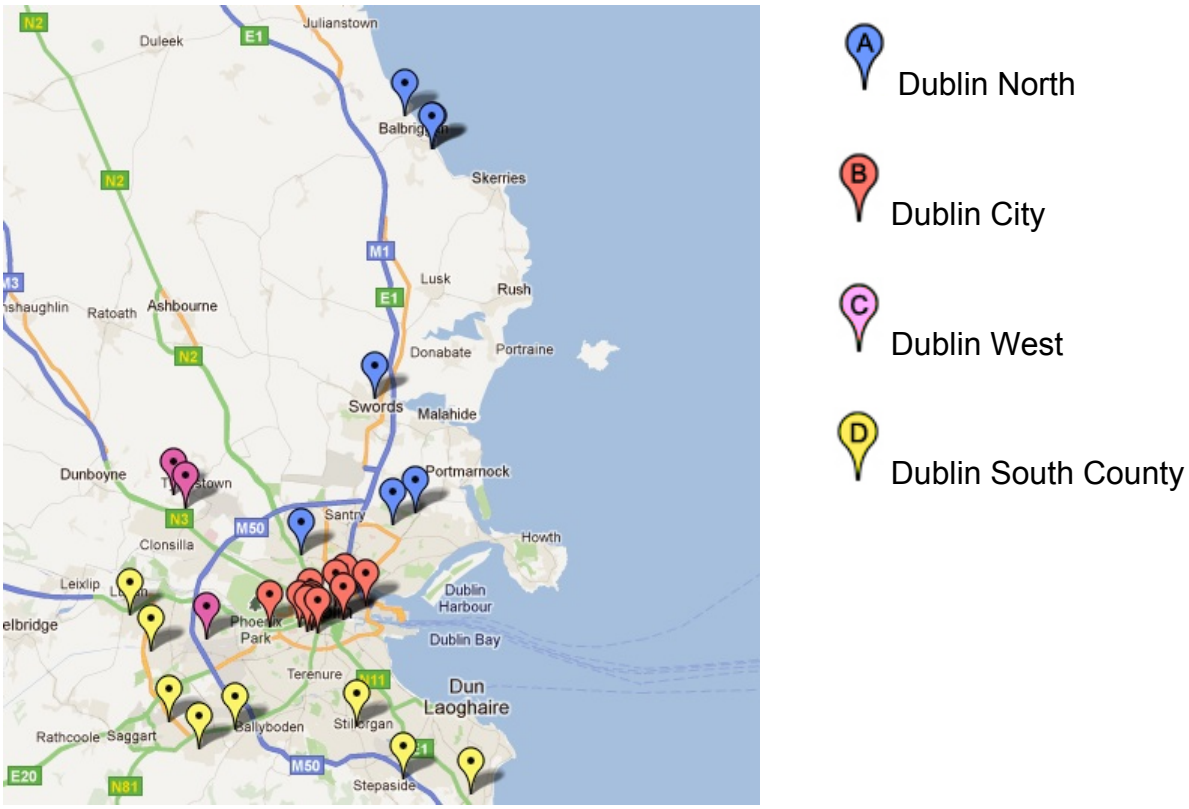


The current Societies are very unevenly distributed with Dublin Co-operative, for example, serving dwellings from Coolock to Dundrum and often overlapping with other co-operatives' areas of operation. The Societies are also uneven in size at present, varying from 168 to 380 (a difference of 212) properties under management.

Alongside the challenges posed by the current distribution and scale of Societies, is the fact that Avondale Park in west Dublin is nearing completion,

adding another 226 properties to the Dublin stock. The completion of Avondale Park means that some change in the current structures of Dublin Societies is inevitable.

Under this option there would remain four Societies in the Dublin area but the properties would be redistributed among them. The proposed redistribution is illustrated in the map below:



Under this proposal the number of properties under management will be distributed more evenly, with a new range of 342 to 370 (a difference of 28). It will also leave much clearer areas of geographical responsibility with fewer overlapping areas of control.

This proposal will also mean that the future growth of Societies would be facilitated as new developments would have an obvious Society to join without the need for the creation of new Societies, with the potential duplication of effort and administration that implies.

The growth of Societies and the redistribution of properties mean that there will be increased staffing requirements in some of the Societies, to accommodate growth, as well as a need for some movement of staff between Societies. NABCO will work with in co-operation affected staff to minimise the potential disruption that re-organisation might create and no changes will come into effect before 1 January 2011.

This proposal is also suggesting a re-alignment of systems. The present system of rent disbursement has resulted in a situation where some Societies accrue surpluses, currently totaling more than €1million. In future, NABCO proposes to work with Societies to develop a programme of annual and multi-annual budgeting to ensure that Societies' funding requirements continue to be met. Surplus funds will then be managed centrally, allowing for more effective investment of cash surpluses. Managed centrally, the potential interest from the current surplus could pay a large portion of a salary.

In recent weeks NABCO has recruited new industry experts to its Board and sub-committees. The financial experience being brought to the Board will enhance NABCO's own financial accountability, lead to more efficient accounting practices and, ultimately, enhance the effectiveness of Affiliated Societies.

Proposal No 1: Changes to Societies

This section details the implications of the proposals for each of the Affiliated Societies.

Newtown/Dublin North Co-op

Newtown Co-op will retain its current office on the Malahide Road. It will retain its current properties in Balbriggan, Newtown and Swords. It will take over the north Dublin properties of Dublin Co-op in Greenlawns, Coolock and Craigie Court, Finglas. The Society will grow from 282 properties at present to 352 properties.

Dublin South County Co-op

Dublin South County Co-op will retain all of its current housing stock as well as its current office. The Society will take over the management of the 23 apartments at Riverside, Dundrum from Dublin Co-op. The Society will grow from 347 properties to 370.

Dublin West Co-op

Dublin West will be a new Society based in offices at Avondale Park (formerly known as Tyrrelstown). The Society will also take over management of Parslickstown and Cherry Orchard from Dublin Co-op. The Society will be responsible for 379 properties. The Housing Officer for this Society was recently recruited and recruitment for the remainder of the staff is on going.

Dublin City/Dublin South City Co-op

Dublin South City Co-op will retain its current housing stock and its office at New Street. It will take over responsibility for all of Dublin Co-operative's city center houses including: Gloucester Street, Island Key, Portland Row, Queen Street and Sean McDermott Street. The Society will be renamed *Dublin City Co-operative.* The Society will grow from 168 properties to 342.

Dublin Co-operative

The current Dublin Co-operative will be amalgamated with other Societies as outlined above. Coolock and Craigie Court will move to Dublin North, Dundrum will move to Dublin South County and Parslickstown and Cherry Orchard will move to Dublin West. All the remaining city center properties will move to the new Dublin City Co-op.

Appropriate staffing resources will be provided to all Societies in line with best practice and value for money.

Proposal 2: ***Direct employment of all co-operative housing (and Childcare and Family Services) staff by NABCO***

At present, co-operative housing staff and their colleagues in Child and Family Services are employed directly by their local Society. This proposal would move the employment responsibilities into NABCO.

Under this proposal, management responsibilities for staff would move from Societies to NABCO. This would have the benefit of creating greater certainty and reducing potential risks around employer liability and health and safety faced by Society Boards. It will also give Society Boards the freedom to focus their attention on developing a quality standard (such as the '2020 Vision') which will require a more focused approach to strategic planning and community development.

This proposal will also provide co-operative housing and Childcare and Family Services in Dublin with greater organisational flexibility, allowing staff to move between Societies and services, as events require. Jointly employing all staff through NABCO will allow for a greater sharing of best practice and a more consistent quality of service across the different Societies and childcare services.

For staff there are considerable benefits to this proposal. It will reduce the uncertainty around lines of responsibility and will allow them access to a dedicated HR professional to support line management, reviews and professional development. A co-ordinated approach to employment will also allow greater scope for career progression for staff that wishes to avail of it.

For NABCO an expanded staff team with clear reporting lines and closer, more effective working will strengthen the organisation when it seeks to raise finance externally. Moving line management responsibilities into NABCO will create clarity for staff, Societies and external stakeholders. It will also help to develop the NABCO brand and increase recognition of the distinctive value of co-operative housing.

Conclusion

This paper outlines a process by which two proposals will be used to strengthen NABCO, its Affiliated Societies and co-operative housing in Dublin as a whole. The purpose of these proposals is to work with members and the Boards of Affiliated Societies to find the best way to:

- Provide consistently high quality housing services to current members,
- Manage a stock of 1,500 dwellings with a market value of €250million,
- Prepare for the future growth of co-operative housing so that more people can enjoy the benefits of co-operative housing, and
- Develop co-operative housing as an employer of choice with a strong and effective team and real opportunities for career development.

Boards of Affiliated Societies are asked to reflect on the proposals contained within this paper and are encouraged to adopt the recommended options for change. The options presented are not, however, finally resolved or pre-determined and the Board and management of NABCO welcome any alternatives of amendments that affected staff or Societies may wish to propose.

The deadline for feedback on these proposals is 23 September 2011.

APPENDIX 4

APPENDIX 4.1 – MBA EVENT

a)

The Business and Innovation of Non Profit Organisations

Hit by a double whammy of increased need and reduced revenues, Ireland's not-for-profit organisations need to be innovative to serve their stakeholders. That was the clear message from the most recent event in the MBA Association of Ireland speaker series, which was hosted by Beauchamps Solicitors in Dublin.

Four highly effective non-profits joined in a conversation about the skills required to successfully lead a non-profit organization in these straitened times. Chaired by Niall O'Keeffe, CEO of the co-operative housing association NABCO, the panelists were Jonathan Irwin, CEO Jack & Jill Foundation; Joyce Loughnan, CEO Focus Ireland, Dr. Sean Healy, Director of Social Justice Ireland and Senator Jillian Van Turnhout, outgoing CEO of the Children's Rights Alliance.

As attendees heard, the non-profit sector in Ireland now has a turnover in excess of €6bn and employs more than 100,000 people.



(l to r) Panelists Jonathan Irwin of the Jack & Jill Foundation: Niall O'Keeffe of NABCO (Chair), Senator Jillian Van Turnhout, outgoing CEO of the Children's Rights Alliance; Joyce Loughnan of Focus Ireland and Dr. Sean Healy of Social Justice Ireland.

APPENDIX 4.2 – EFFECTIVE COMMUNICATIONS

"Effective Communications"

The President of a large company issued the following directive to his Vice-President:
"Tomorrow at approximately 9 a.m. Haley's Comet will be visible in this area, an event which occurs only once every 75 years, Have all employees assemble in the company parking lot and I will explain this rare phenomenon to them. In case of rain, we will not be able to see anything so assemble them in the cafeteria and I will show them films of it."

Vice-Presidents to Divisions Managers:
"By executive order of the Company President, tomorrow at 9am Haley's Comet will appear above the company parking lot. If it rains, assemble all personnel in the cafeteria where the phenomenon will take place, something which occurs only once every 75 years."

Division Managers to Department Managers:
"By executive order of the Company President, tomorrow at 9am the phenomenal Haley's Comet will appear in the cafeteria. In case of rain in the parking lot, the President will give an order, something which takes place only once every 75 years."

Department Managers to Section Heads:
"Tomorrow at 9am the Company President will appear in the cafeteria with Haley's Comet, something which occurs every 75 years; if it rains, the President will order the Comet into the Parking lot."

Section Heads to Employees
"When it rains tomorrow at 9am, the phenomenal 75 year old Company President, accompanied by his girlfriend, Haley, will drive his Comet through the parking lot."

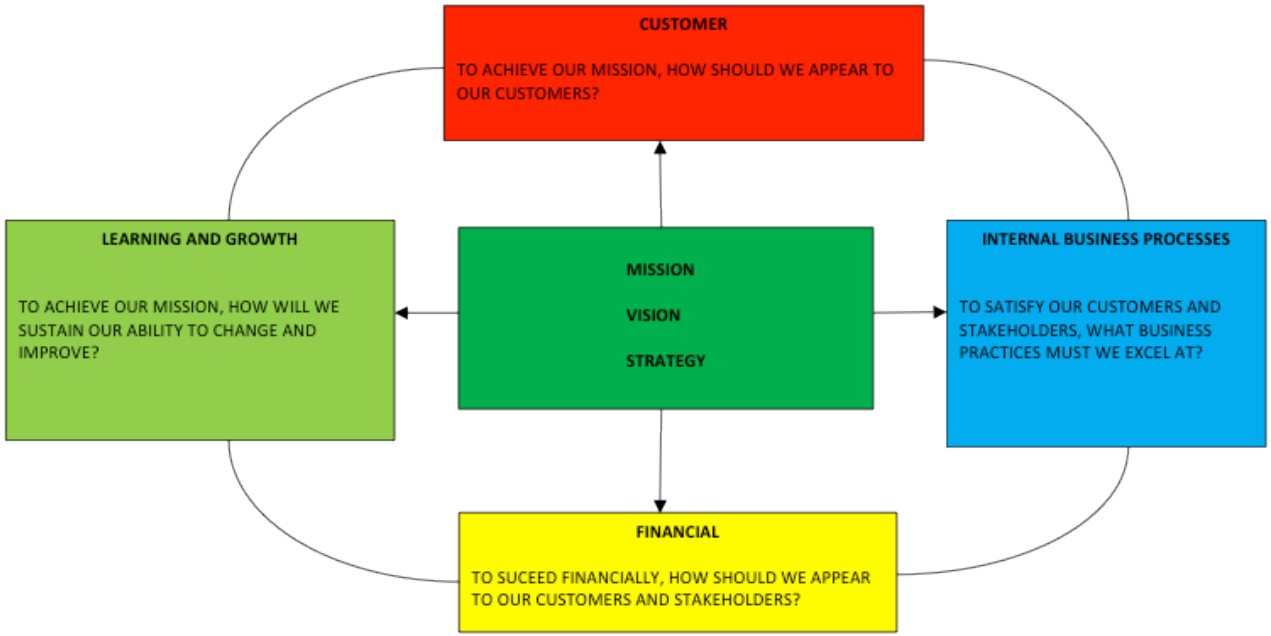
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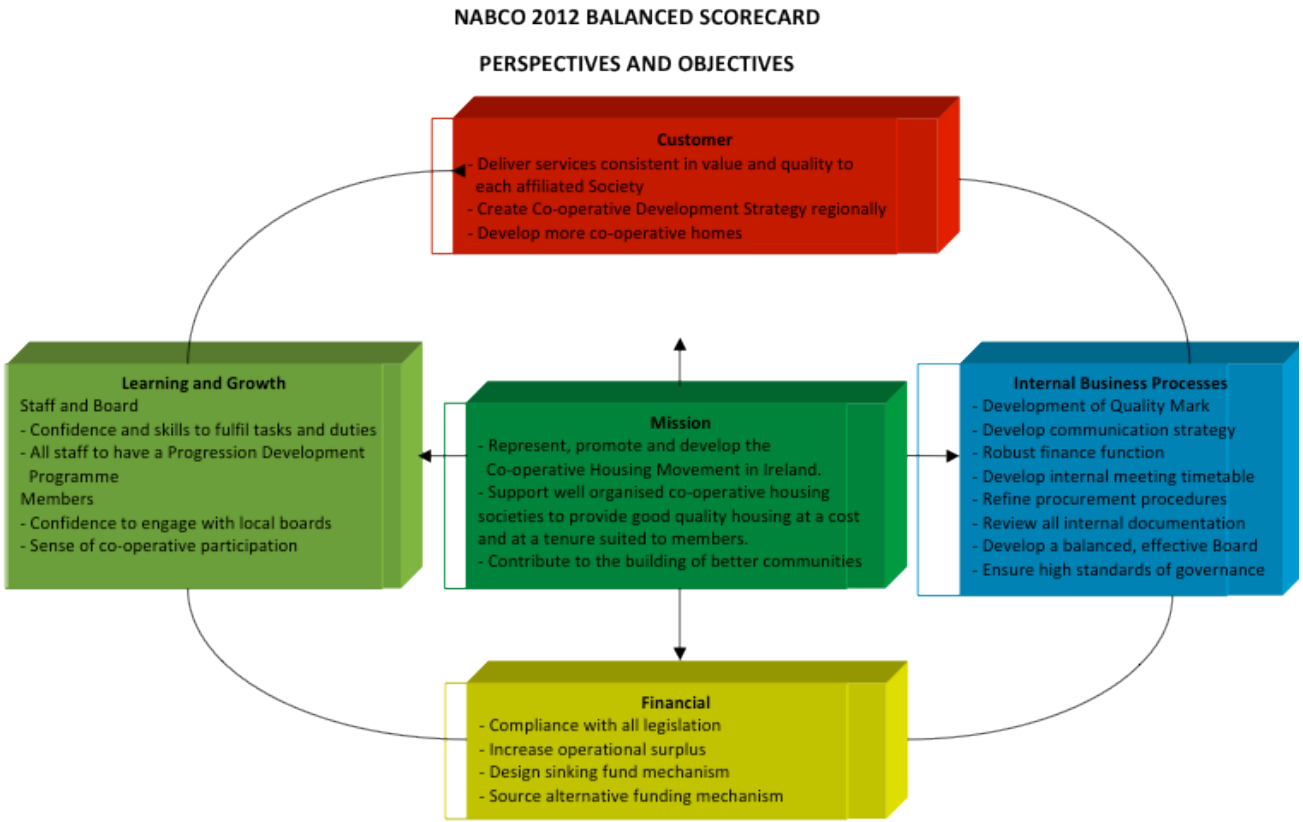
APPENDIX 4.3 – BALANCED SCORE CARD

NABCO Balanced Score card based on 2010-2015 Strategy.

NABCO 2012 BALANCED SCORECARD

Strategic Perspectives




NABCO 2012 BALANCED SCORECARD
PERSPECTIVES AND OBJECTIVES
Customer
- Deliver services consistent in value and quality to each affiliated Society
- Create Co-operative Development Strategy regionally
- Develop more co-operative homes
Learning and Growth
Staff and Board
- Confidence and skills to fulfil tasks and duties
- All staff to have a Progression Development Programme
Members
- Confidence to engage with local boards
- Sense of co-operative participation
Mission
- Represent, promote and develop the Co-operative Housing Movement in Ireland.
- Support well organised co-operative housing societies to provide good quality housing at a cost and at a tenure suited to members.
- Contribute to the building of better communities
Internal Business Processes
- Development of Quality Mark
- Develop communication strategy
- Robust finance function
- Develop internal meeting timetable
- Refine procurement procedures
- Review all internal documentation
- Develop a balanced, effective Board
- Ensure high standards of governance
Financial
- Compliance with all legislation
- Increase operational surplus
- Design sinking fund mechanism
- Source alternative funding mechanism

APPENDIX 4.4 - FOUR-COLUMN PROCESS, EARLY ATTEMPT.

Commitment	**Doing/Not Doing**	**Competing Commitment**	**Big Assumption**
To be effective as a CEO I must focus on the priority tasks (theory required). To achieve this I must build a team to **delegate** tasks to.	Getting involved in all areas of the business and all levels of tasks.	I need to be involved at all levels and feel the need to be in control	Work not done right will reflect badly on me and the organisation.
Communicate more effectively	Not giving clear enough instruction.	If I am responsible for the outcome I have to have control and input into everything.	If everyone can do the work, I will not be seen to add value. A talker and not a doer.
Creating a developmental environment for ALL staff	Expecting to input at all levels of tasks	My way is the best way	
	Not trusting the tasks will be done to "MY" standard	Others do not share the same level of interest as me	
	Put my attention in the new idea/challenge	Others do not work as hard as I do	
		Others accept a	

		lower standard than I do	
		I want to be seen as the ideas/innovation driver	
		Sometimes it's quicker to just do it myself.	