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# Development of a model to improve first line leader effectiveness

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# THE UNIVERSITY OF THE WITWATERSRAND




MECN 7018 Research Report

## Development of a model to improve First Line Leader effectiveness

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A research report submitted to the Faculty of Engineering and the Built Environment, University of the Witwatersrand, in partial fulfilment of the requirements for the degree of Master of Science in Engineering (Industrial).

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# i. Abstract

There are many leadership development programs available that are aimed at developing first line leaders. These programs are mainly focused on classroom and theoretical training and in most cases lack the translation into operational behaviours and actions that link to the daily operational activities.

Every company requires operations management to execute the operations strategy. The operations management function can be defined as the arrangement of resources that are devoted to the production and delivery of products and services. This arrangement of resources requires a person or persons in the organisation who have particular responsibility for managing some or all of the resources which comprise the operations function. This person is the first line leader who performs similar roles to top management, just within their own teams. Thus, the main responsibility of a first line leader is to ensure that the teams (people) produce the required throughput, when they are required to do it and at the right levels of quality, costs and safety. This establishes a causal link between first line leader effectiveness, team effectiveness and overall organisational performance. This forms the theoretical propositions of this research.

A case study research method was used to understand the theoretical propositions and analysed the impact of a leadership development program on overall organisational performance in a mass services environment in a short term insurance company in the financial services sector in South Africa. A conceptual framework was developed and tested through an explanatory single case study with eight embedded units (first line leaders) across five business areas consisting of ninety team members. The observations and tests were completed over a 12 month period between January 2013 and February 2014, using explanation building and time-series analysis techniques as an analytic strategy with a multi-method approach (using three measurement systems) to triangulate the data sources to answer the research question.

Not only did the organisational performance show an improvement in the majority of the business areas that participated together with a statistically significant improvement in the competencies, but it is also believed that the conceptual framework addressed four common mistakes that are usually made with leadership development programs, i.e., overlooking context, decoupling reflection form real work, underestimating mind-sets, and failing to measure results.

## ii. Acknowledgements

I would like to acknowledge the following people:

- My wife Madeleine and my two daughters Denilè and Carmen for their support and sacrifices they made over the last three years;
- My work colleagues who played a pivotal role in listening, participating in workshops and assisting with the implementation of the conceptual framework;
- The company, line management and the first line leaders who participated in the implementation and testing of the conceptual framework; and
- My supervisor, Bernadette Sunjka, for her professional guidance and support through this research.

## iii. Declaration

I declare that this research proposal is my own unaided work. It is being submitted as due requirement to the University of the Witwatersrand, Johannesburg, for the degree of Master of Science in Engineering (Industrial).

_____

Anton Burger

This the _____ day of _____ 2014

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# 1 Chapter 1

## 1.1 Introduction

### 1.1.1 Background to the Problem

There are many leadership development programs available that are aimed at developing first line leaders. These programs are mainly focused on classroom and theoretical training and in most cases lack the translation into operational behaviours and actions that link to the daily operational activities.

Gurdjian, et al. (2014) states: 'We've talked with hundreds of chief executives about the struggle, observing both successful initiatives and ones that run into the sand. In the process we've identified four of the most common mistakes':

- Overlooking context;
- Decoupling reflection from real work;
- Underestimating mind-sets; and
- Failing to measure results.

Figure 1 - A general model of operations management and operations strategy (Pycraft, et al., 2010 p.24) provides a view on how operations management fits into the larger picture in the organisation. Improvements, customer requirements and needs drive the strategic role and objectives of operations which drives the operations strategy (Pycraft, et al., 2010). The operations strategy informs the process design, the design of products & services, layout & flow, process technology, job design and work organisation (Pycraft, et al., 2010).

Input resources go through a transformation process. These require planning and control to deliver the products and services to the customers (Pycraft, et al., 2010). As the transformation process takes place and the organisation receives feedback from the planning and control system it learns of things that do not work, or things that can be done better, which requires improvements to operations (Pycraft, et al., 2010). The operations function described above can be defined as the arrangement of resources that are devoted to the production and delivery of products and services (Pycraft, et al., 2010). The arrangement of resources requires a person or persons in the organisation who have particular responsibility for managing some or all of the resources which comprise the operations function (Pycraft, et al., 2010). This person is the first line leader. The first line leader performs similar roles to top management, just within their own teams (Mintzberg, 1989). These teams use the work processes and technology of the organisation to deliver the required products and services (Pycraft, et al., 2010). First line leaders fall within the category of any person who is in charge of people or who direct the work or take responsibility for the work of others (Mintzberg, 1989).

Thus, the main responsibility of a first line leader is to ensure that the people produce the required throughput, when they are required to do it and at the right levels of quality, costs and safety (Mintzberg, 1989). **This establishes a causal link between first line leader effectiveness, team effectiveness and overall organisational performance.**

The process to understand the role and the competencies required (to produce the required throughput) of the first line leader is costly and time consuming, therefore it is often diluted or disregarded by organisations to the detriment of overall organisational performance (Bartram, 2008).

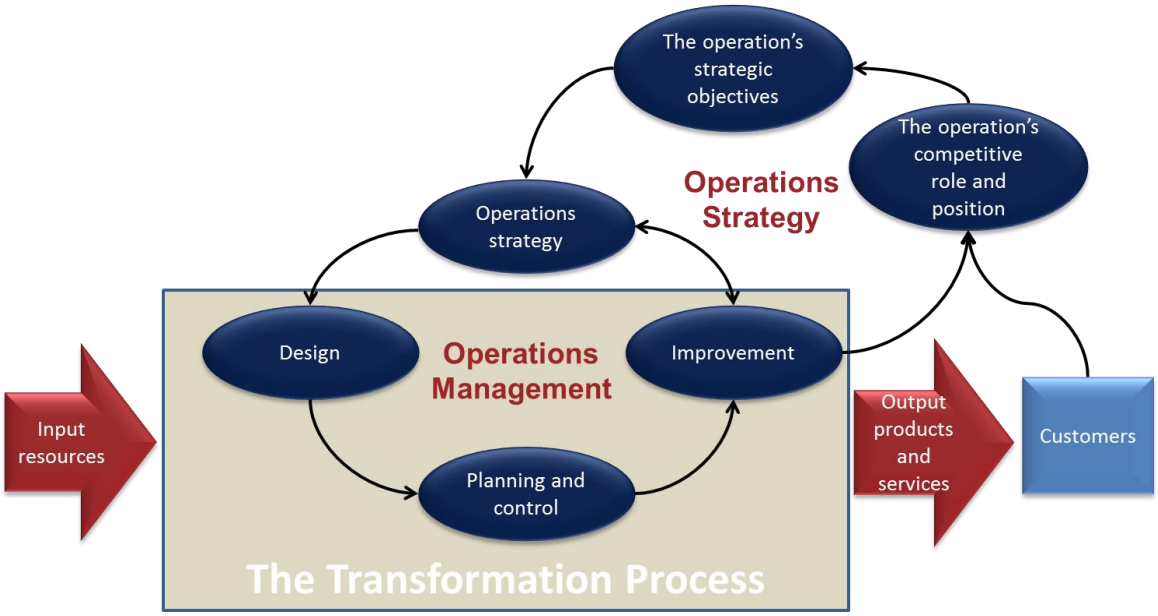



**Figure 1 - A general model of operations management and operations strategy (Pycraft, et al., 2010 p.24)**

### 1.1.2 Problem Statement

Organisations do not always understand the role and responsibilities of a first line leader, let alone the competencies that are required to be able to do the job (Bartram, 2008). This leads to ineffective first line leaders with a detrimental impact on team effectiveness and overall organisational performance (Bartram, 2008). This leads on to the central research question:

***How can organisations understand the first line leader role, responsibilities and competencies required to improve the effectiveness of a first line leader, through a structured leadership development program of individual assessments, training and targeted coaching, thus, improving team effectiveness and overall organisational performance?***

### 1.1.3 Research Objectives

The objective of this research is to determine if more capable first line leaders will manage their resources more effectively. The theoretical propositions of this research are that improved capabilities and operations management skills should lead to improved first line leader effectiveness which should drive improved team effectiveness and should result in improved organisational performance.

This research project will develop, implement, test and evaluate a conceptual framework and use the results to determine if the critical research question can be answered.

### 1.1.4 Research Methodology

The case study research method was used to understand the theoretical propositions of this research.

The research analysed the impact of a leadership development program on overall organisational performance in a mass services environment in a short term insurance company in the financial services sector in South Africa. A conceptual framework was developed and tested through a single case study with eight embedded units (first line leaders) across five business areas consisting of ninety team members. The observations and tests were completed over a 12 month period between January 2013 and February 2014.

The case study was explanatory using explanation building and time-series analysis techniques as an analytic strategy.

A multi-method approach (using three measurement systems) was used to triangulate the data sources to answer the research question.

Refer to section 3 for a detailed explanation with regards to the case study research method.

### 1.1.5 Possible Limitations of the Research

A delimitation to the research is the period that is required between one competency assessment and the next. The assessments should be done 10-12 months apart from each other. The next competency assessment is due in February 2014. Participants in the research may leave the program or organisation, which will prevent a before and after competency assessment result comparison for these individuals.

### 1.1.6 Ethical Considerations

To obtain accurate and reliable data, it will be required to access sensitive personal information of employees within the organisation. The author, at the discretion of the employees, will withhold any personal information pertaining to the employee and organisation. The author is fully willing to accept any non-disclosure agreement which the organisation may wish to impose.

Other considerations to be taken into account are as follows (adapted from the University of the Witwatersrand's *Guidelines for Human Research Ethics Clearance Application, non-medical).*

1) With regard to informing the participant prior to the interview:

   Participant Information Sheet written in a language understandable to the participant (or guardian) detailing what the participant will be told. This should include the following:

   - Participation is voluntary, and refusal to participate will involve no penalty or loss of benefits to which the participant is otherwise entitled;

- The participant may discontinue participation at any time without penalty or loss of benefits;
- A brief description of the research, its duration, procedures and what the participant may expect and/or be expected to do;
- Any foreseeable risks, discomforts, side effects or benefits:

2) The participant will be formally invited according to the *Guidelines for Human Research Ethics Clearance Application (non-medical).*

3) They will then be asked to sign a consent form which will:
   - Include a clear statement that the participant is consenting to his/hers involvement in the research, and not to treatment; or remuneration

4) Participants were free to withdraw from the study at any time without prejudicing any current access to facilities or their employment contracts.

These are all contained in section 8.8.

### 1.1.7 Outline of Chapters

The research paper consists of six main chapters.

Chapter 1 will provide background to the problem that leads into the problem statement and the central research question. The research objectives, methodology and limitations are discussed and the ethical considerations around the research are stated.

Chapter 2 will discuss the literature around five key concepts that emerged from the problem statement and the central research question in Chapter 1. The literature review around the concepts will lead to the identification, development and discussion of four systems with key components and will be used to create a conceptual framework.

Chapter 3 starts with theory and an explanation on the investigational method that was used. The chapter also describes the implementation approach that was used to deploy the conceptual framework that was developed in Chapter 2 and walks the reader through the implementation.

Chapter 4 will provide a view on the results that were obtained from the three measurements systems while Chapter 5 will discuss the results and build arguments around the theoretical propositions of the phenomenon that was studied.

Chapter 6 will answer the research question and discuss final conclusions and make recommendations related to the conceptual framework.

# 2 Chapter 2

Chapter 2 will discuss the literature around five key concepts that emerged from the problem statement and the central research question in Chapter 1. The literature review around the concepts will lead to the identification, development and discussion of four systems with key components and will be used to create a conceptual framework.

## 2.1 Literature Review

The problem statement in Chapter 1 discussed the point that organisations do not always understand the **role and responsibilities** of a first line leader, or the **competencies** that are required for the role.

The central research question discussed the possibility of improving first line leader effectiveness through a structured leadership development program of **individual assessments**, **training** and **targeted coaching**.

Each of these key concepts (role & responsibilities, competencies, individual assessments, training and targeted coaching), will be discussed in terms of existing models, tools and techniques. These will then be used to develop the conceptual framework.

### 2.1.1 Role and Responsibilities

The understanding of a role is obtained through job analysis (Bartram, 2008).

There are two main outcomes from a job analysis. Bartram (2008) indicates these to be a job description and a person specification.

Bartram (2008) further states that: ‘a job description indicates the nature of the work in terms of the tasks involved, its functions, methods and procedures employed and standards of performance that are required. A job description can be work-orientated (focus on the tasks that need to be accomplished) or worker-orientated (focus on the attributes of the worker necessary to accomplish the tasks)’.

Bartram (2008) further indicates the reasons why job analysis is needed. These are:

- Recruitment and selection
- Training and development
- Performance management
- Merger and acquisitions and downsizing
- Job design and redesign
- Health and safety requirements
- Classification of job and labelling of jobs
- Human resource planning and effective use of available resources
- Job evaluation and compensation
- Legal defensibility

There are a number of methods to perform job analysis (Bartram, 2008). The method depends on the type of information that must be obtained. Bartram (2008) named a number of different types of information that can be collected:

- Work activities – what you have to do
- Work performance – how well you have to do it
- Job context – the business, social and physical settings in which you have to do it
- The machines, tools and equipment you need to do the job
- Job related outcomes, such as material produced or services delivered
- Personnel requirements

Bartram (2008) have added to the above range of information types that can be gathered:

- Organisational philosophy and structure – how the job fits into the organisation and its mission
- Licensing and other mandated requirements, which may limit the range of people who can do the job and affect the job content
- Responsibilities – types and levels of responsibility and accountability
- Professional standards – such as the application of national psychological association ethical codes of conduct to psychologists
- Job context – the environmental, physical and social work patterns
- Products and services – what the worker produces or the service they deliver in the job
- Machines, tools, work aids and equipment – what skills the person needs and the range of tools etc. they need to be able to work with
- Work performance indicators – including performance standards
- Personal job demands – physical, social and psychological demands the job makes of people
- Elemental motions – breaking down complex manoeuvres into detailed elements that make them up
- Worker activities – looking at the job in terms of the observable behaviours
- Worker trait requirements (the person specification). What are the knowledge skills abilities and other characteristics required by the worker
- Future changes – how will the job change in the future
- Critical incidents – focuses on identifying the particular aspects of the job that are critical for success or failure

The tools used to obtain these types of information fall into two types: direct evidence and opinions or judgements of people. Direct evidence includes obtaining information from diaries, observations and documentation related to the job. Opinions or judgements of people include questionnaires and various forms of structured interviews (Bartram, 2008). The tools available are:

- Observations
- Time and Motion studies (T&M)

- Hierarchical Task Analysis (HTA)
- Computer-based and Video-based Observation
- Job Diaries
- Cognitive Task Analysis (CTA)
- Task Inventory Analysis (TIA)
- Critical Incidents Technique (CIT)
- Functional Job Analysis (FJA)
- Repertory Grid Analysis (RGA)
- Job Elements Method (JEM)
- Ability Requirements Scale (ARS)
- Position Analysis Questionnaire (PAQ)
- Threshold Trait Analysis (TTA)
- Personality-related Position Requirements Form (PPRF)
- Work Profiling System (WPS)

Bartram (2008) states that: 'none of the tools mentioned above are sufficient on their own and that good job analysis involves a multi-method approach'.

### 2.1.1 Competencies

Bartram (2008) states the following: 'Traditional job analysis looks at each job on its own and does not provide the means of linking job descriptions into business strategy. Competency modelling is different. Job analysis has evolved into work analysis or work profiling due to changes in the nature of work. Work profiling suggests that people work rather than have fixed jobs and that the nature of the qualities they need to perform the work can be defined as a profile. The end result is still a person specification, but the process followed to get to the person specification is changing'.

As indicated already, there are two main outcomes from a job analysis of which one is a person specification (Bartram, 2008).

A person specification indicates the nature of the people who do the work. It describes the knowledge, skills, ability and other characteristics a person would require to perform the job effectively i.e. to execute the work (Bartram, 2008). Competency based approaches were developed to assist with the development of person specifications (Bartram, 2008).

One way to start competency modelling is by asking the question of "What is this organisation trying to achieve?" (Bartram, 2008). Bartram (2008) further states that: 'the answer to this question should be a set of objectives or outcomes and criteria for recognising when they have been achieved'. The following questions can then be asked: "How are these going to be achieved?" and "What are the competencies necessary for the organisation to be able to achieve these outcomes?"

Bartram (2005, p.1187) defined competencies as 'sets of behaviours that are instrumental in the delivery of desired results'. In the business environment, these competencies are behaviours that support the attainment of organisational objectives (Bartram, 2012, p.3).

This definition brought about the development of the SHL Universal Competency Framework. Bartram (2012, p.2) states that: 'UCF is a single underlying construct framework that provides a rational, consistent and practical basis for the purpose of understanding people's behaviors at work and the likelihood of being able to succeed in certain roles and in certain environments. It is important because it builds on and moves ahead of the current state of the art in competency modeling and competency-based assessment. In the past, organisations have understood competencies only in the context of competency dictionaries, which have perhaps comprised up to 60 competencies out of which they have chosen a sub-set of what they consider to be the most relevant. The UCF, on the other hand supports a more structured approach that is evidence-based and consists of 20 UCF competencies. It must be noted at this stage that the UCF is not a model of knowledge and skills'. Table 1 - 20 SHL Universal Competency Framework Competencies (SHL Universal Competency Framework™ Profiler Cards copyright © 2004 by SHL Group plc) provides an overview of each competency in the UCF.

| Competency | Description |
|---|---|
| Deciding and Initiating Action | Takes responsibility for actions, projects and people; takes initiative and works under own direction; initiates and generates activity and introduces changes into work processes; makes quick, clear decisions which may include tough choices or considered risks. |
| Leading and Supervising | Provides others with a clear direction; motivates and empowers others; recruits staff of a high caliber; provides staff with development opportunities and coaching; sets appropriate standards of behavior. |
| Working with People | Shows respect for the views and contributions of other team members; shows empathy; listens, supports and cares for others; consults others and shares information and expertise with them; builds team spirit and reconciles conflict; adapts to the team and fits in well. |
| Adhering to Principles and Values | Upholds ethics and values; demonstrates integrity; promotes and defends equal opportunities, builds diverse teams; encourages organisational and individual responsibility towards the community and the environment. |
| Relating and Networking | Easily establishes good relationships with customers and staff; relates well to people at all levels; builds wide and effective networks of contacts; uses humor appropriately to bring warmth to relationships with others. |
| Persuading and Influencing | Gains clear agreement and commitment from others by persuading, convincing and negotiating; makes effective use of political processes to influence and persuade others; promotes ideas on behalf of one self or others; makes a strong personal impact on others; takes care to manage one's impression on others. |

| | |
|---|---|
| Presenting and Communicating Information | Speaks fluently; expresses opinions, information and key points of an argument clearly; makes presentations and undertakes public speaking with skill and confidence; responds quickly to the needs of an audience and to their reactions and feedback; projects credibility. |
| Writing and Reporting | Writes convincingly; writes clearly, succinctly and correctly; avoids the unnecessary use of jargon or complicated language; writes in a well-structured and logical way; structures information to meet the needs and understanding of the intended audience. |
| Applying Expertise and Technology | Applies specialist and detailed technical expertise; uses technology to achieve work objectives; develops job knowledge and expertise (theoretical and practical) through continual professional development; demonstrates an understanding of different organisational departments and functions. |
| Analysing | Analyses numerical data and all other sources of information, to break them into component parts, patterns and relationships; probes for further information or greater understanding of a problem; makes rational judgments from the available information and analysis; demonstrates an understanding of how one issue may be a part of a much larger system. |
| Learning and Researching | Rapidly learns new tasks and commits information to memory quickly; demonstrates an immediate understanding of newly presented information; gathers comprehensive information to support decision making; encourages an organisational learning approach (i.e. learns from successes and failures and seeks staff and customer feedback). |
| Creating and Innovating | Produces new ideas, approaches, or insights; creates innovative products or designs; produces a range of solutions to problems. |
| Formulating Strategies and Concepts | Works strategically to realise organisational goals; sets and develops strategies; identifies, develops positive and compelling visions of the organisation's future potential; takes account of a wide range of issues across, and related to, the organisation. |
| Planning and Organising | Sets clearly defined objectives; plans activities and projects well in advance and take account of possible changing circumstances; identifies and organises resources needed to accomplish tasks; manages time effectively; monitors performance against deadlines and milestones. |

| | |
|---|---|
| Delivering Results and Meeting Customer Expectations | Focuses on customer needs and satisfaction; sets high standards for quality and quantity; monitors and maintains quality and productivity; works in a systematic, methodical and orderly way; consistently achieves project goals. |
| Following Instructions and Procedures | Appropriately follows instructions from others without unnecessarily challenging authority; follows procedures and policies; keeps to schedules; arrives punctually for work and meetings; demonstrates commitment to the organisation; complies with legal obligations and safety requirements of the role. |
| Adapting and Responding to Change | Adapts to changing circumstances; tolerates ambiguity; accepts new ideas and change initiatives; adapts interpersonal style to suit different people or situations; shows an interest in new experiences. |
| Coping with Pressures and Setbacks | Maintains a positive outlook at work; works productively in a pressurised environment; keeps emotions under control during difficult situations; handles criticism well and learns from it; balances the demands of a work life and a personal life. |
| Achieving Personal Work Goals and Objectives | Accepts and tackles demanding goals with enthusiasm; works hard and puts in longer hours when it is necessary; seeks progression to roles of increased responsibility and influence; identifies own development needs and makes use of developmental or training opportunities. |
| Entrepreneurial and Commercial Thinking | Keeps up to date with competitor information and market trends; identifies business opportunities for the organisation; maintains awareness of developments in the organisational structure and politics; demonstrates financial awareness; controls costs and thinks in terms of profit, loss and added value. |

**Table 1 - 20 SHL Universal Competency Framework Competencies (SHL Universal Competency Framework™ Profiler Cards copyright © 2004 by SHL Group plc)**

Bartram (2008) states that: 'the key advantage of competency modelling from a business perspective is the way in which business goals and strategies are linked to individual jobs'.

### 2.1.2 Individual Assessments

Bartram (2012, p.2) states that: 'the UCF is a single underlying construct framework that provides a rational, consistent and practical basis for the purpose of understanding people's behaviors at work and the likelihood of being able to succeed in certain roles and in certain environments. This is the likelihood of performing in the work environment'.

The UCF consists of 20 competencies. Each competency component is linked to a portfolio of assessment instruments like Occupational Personality Assessment (OPQ32), ability tests, the

motivation questionnaire and others. From these linkages assessment instruments and assessment regimes can be developed that are uniquely tailored to the competency models built for clients, or to existing client models that have been mapped to the UCF.

### 2.1.3 Training

Knowles' (1980) theory of andragogy is an attempt to develop a theory specifically for adult learning. Knowles emphasises that adults are self-directed and expect to take responsibility for decisions. Adult learning programs must accommodate this fundamental aspect.

Andragogy makes the following assumptions about the design of learning:

- Adults need to know why they need to learn something;
- Adults need to learn experientially;
- Adults approach learning as problem-solving; and
- Adults learn best when the topic is of immediate value.

Mintzberg (1989) states: 'what is of immediate value to the first line leader is the role that they are performing. They have contractually been put in this position which has provided them with formal authority and status'. Mintzberg (1989) further states that this position can be described in terms of various "roles" or organised sets of behaviours as depicted in Figure 2 - The Manager's Role. (Mintzberg On Management, 1989, p.16).

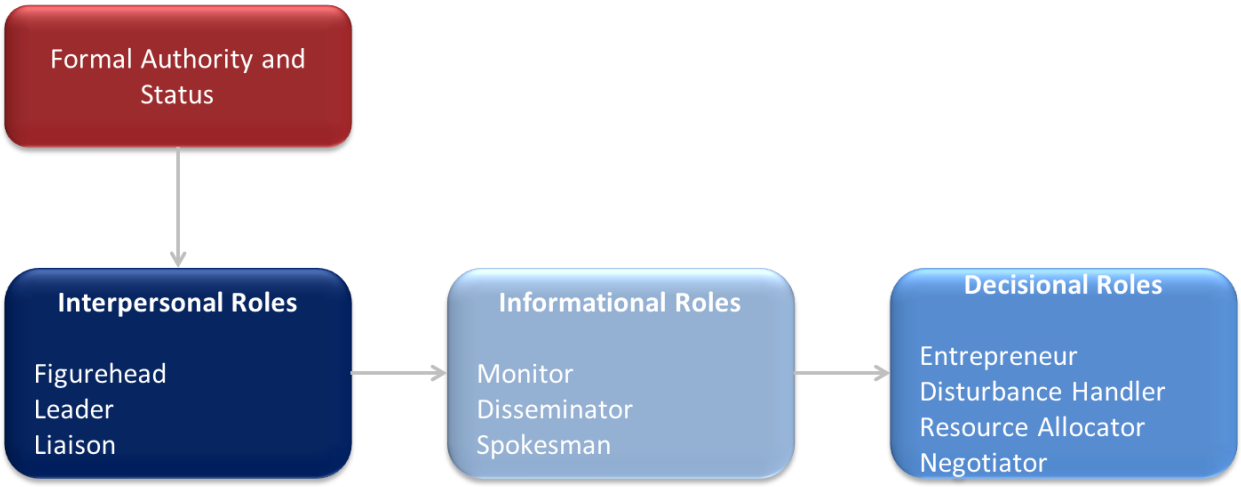



**Figure 2 - The Manager's Role. (Mintzberg On Management, 1989, p.16)**

In practical terms, andragogy means that instruction for adults needs to focus more on the process and less on the content being taught. Strategies such as case studies, role playing, simulations, and self-evaluation are most useful. Instructors adopt a role of facilitator or resource rather than lecturer or grader (Knowles et al.,1984).

### 2.1.4 Targeted Coaching

A students learning is optimised when 'learn by doing' is part of the learning process (McCarthy, 2010). Learning processes refer to relatively permanent changes in knowledge, skills or attitudes of individuals or teams (Sonnetag, et al., 2008).

Training delivered correctly can be powerful, but a limitation to this is that when people are asked to implement this new knowledge or skills they struggle. Gurdjian et al (2014) confirms this by stating that leaders, no matter how talented, struggle to transfer even their most powerful off-site experiences into changed behaviour on the front line.

A key reason for this is that learners are seldom taken through the complete learning cycle, in particular, through a reflective learning opportunity. This severely limits people's ability to learn at a level that empowers them to handle complex challenges that are more abstract and less defined. Kolb's learning cycle (Figure 3 - Kolb's Learning Cycle (Kolb, 1984) ( Journal of Business & Economics Research, 2010 cited in McCarthy, 2010, p.132)) allows the learner to learn experientially (McCarthy, 2010). The learner can enter the cycle at any time but the stages should be followed in sequence (McCarthy, 2010).

Kolb's Experiential Learning Theory (McCarthy, 2010) defines experiential learning as 'the process whereby knowledge is created through the transformation of experience. Knowledge results from the combination of grasping and transforming experience.'

The cycle begins with an experience that the learner has, followed by an opportunity to reflect on that experience. Then learners may conceptualise and draw conclusions about what they experienced and observed, leading to future actions in which the learners test/experiment with different behaviours. This begins the cycle anew as learners have new experiences based on their experimentation (McCarthy, 2010).

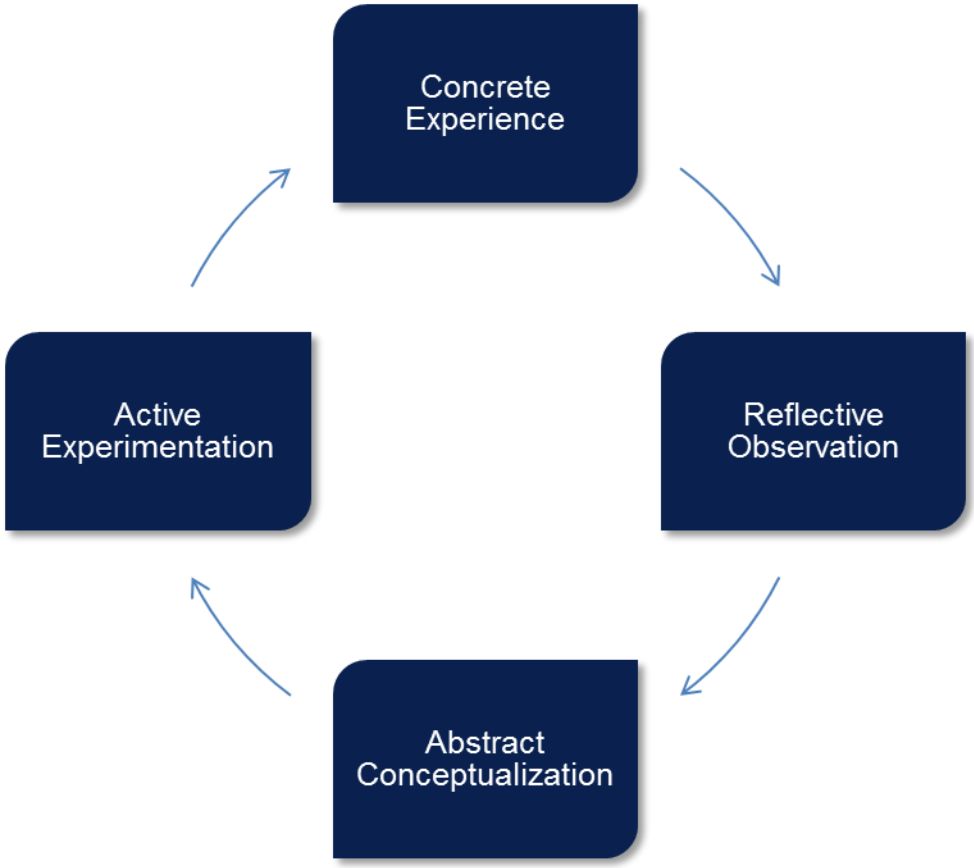



**Figure 3 - Kolb's Learning Cycle (Kolb, 1984) ( Journal of Business & Economics Research, 2010 cited in McCarthy, 2010, p.132)**

**It must be noted at this point that although literature exists for the related topics, that they have not necessarily been used together. The conceptual framework will attempt to integrate the models, tools and techniques to test the theoretical propositions of this research.**

## 2.2 Conceptual Framework Development

The process to develop the conceptual framework was based on the soft systems methodology (Checkland and Scholes, 1990), and specifically the logic based process as defined by Wilson (2001). The logic based process consists of two basic building blocks from the soft systems methodology namely a root definition and a conceptual model (Figure 4 - The logic-based process (Wilson, 2001)). The root definition captures the purpose and the conceptual model represents those structured activities that must take place if the purpose is to be achieved (Wilson, 2001). The root definition makes use of the CATWOE mnemonic which defines the elements of a root definition of a system. CATWOE stands for:

- **C** – Customer (the recipient of the output of the transformation process, either the victim or the beneficiary)
- **A** – Actors (those individuals who would do the activities in the resultant conceptual model if they were to map onto reality)
- **T** – Transformation process (described either as an input – output conversion or the process itself)
- **W** – Weltanschauung (practically as the statement of belief within the root definition)
- **O** – Owner (a wider-system decision taker which authority over the system defined, with a concern for the performance of the system)
- **E** – Environmental constraints (those features external to the system defined, which are taken to be significant)

Wilson (2001) states: 'Unlike an analysis that can be said to be hard, the intellectual constructs used within the soft systems methodology cannot be validated by reference to the part of the real world to which they are relevant. Thus, for defensibility, they must be validated against something; otherwise they lead to nothing more valuable than opinion'.

The purpose of CATWOE is to ensure that the root definition is well formulated and the purpose of the formal systems model is to ensure that the conceptual model produced is a defensible model (Wilson, 2001).

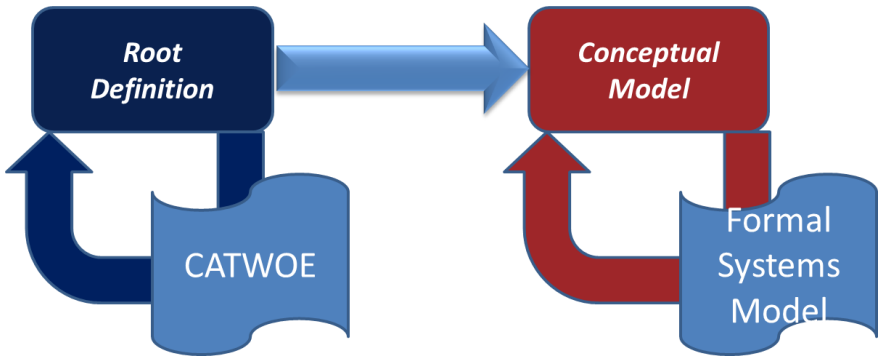



**Figure 4 - The logic-based process (Wilson, 2001)**

### 2.2.1 The Role System - Role and Responsibilities

Bartram (2008) states that a job description can be work-orientated (focus on the tasks that need to be accomplished) or worker-orientated (focus on the attributes of the worker necessary to accomplish the tasks).

This research will use a work-orientated job description to understand the tasks that the first line leader must accomplish. The understanding will be used to develop a day planner and apply standard work principles. One of the uses of standard work is leader-level standard work. The aim is to create a schedule of tasks with activities that must be executed at regular intervals by people on the same level. (Bicheno and Holweg, 2009)

Table 2 - Job Analysis Information Types indicates the information types describe by Bartram (2008) that was gathered and used in this research:

| |
|---|
| Organisational philosophy and structure – how the job fits into the organisation and its mission |
| Responsibilities – types and levels of responsibility and accountability |
| Machines, tools, work aids and equipment – what skills the person needs and the range of tools etc. they need to be able to work with |
| Work performance indicators – including performance standards |
| Worker activities – looking at the job in terms of the observable behaviours |
| Worker trait requirements (the person specification). What are the knowledge skills abilities and other characteristics required by the worker |

**Table 2 - Job Analysis Information Types**

Bartram (2008) states that the tools used to obtain these types of information fall into two types: direct evidence and opinions or judgements of people. Direct evidence includes obtaining information from diaries, observations and documentation related to the job. Opinions or judgements of people include questionnaires and various forms of structured interviews.

This research used direct evidence and specifically observations and job diaries related to the job to obtain the information types.

## Root Definition

This system is concerned with the first line leader role and will be referred to as the Role System.

| | |
|---|---|
| **C** | First Line Leaders, Coaches, Competency System, Training System |
| **A** | First Line Leaders, Coaches, Line Management |
| **T** | A process to identify all the current unstructured tasks and tools that are used by the first line leaders in their job and standardise the tasks and tools across the first line leaders in a structured day planner |
| **W** | W1 - Understanding of the tasks that must be accomplished by the first line leader role on a daily basis to achieve the organisational objectives<br>W2 - Obtain relevant information related to the role that can be used for the definition of person requirements<br>W3 – The standardised tasks will enable the measurement of how well these tasks are executed across the first line leaders |
| **O** | The organisation |
| **E** | Existing Organisation Design, Business Processes, Products & Services and Information Technology |

**Role System root definition –** A system to help the organisation to obtain an understanding and standardise the first line leader tasks that must be accomplished to achieve the organisational objectives, drive person requirements and enable the measurement of how well these tasks are executed. This understanding will be a collective effort between first line leaders, coaches and line management.

## Conceptual Model

The role system conceptual model defined in Figure 5 - Role System Conceptual Model has three key components that will drive and enable the system namely the **day planner**, **role assessment tool** and **the baseline key performance indicator performance**.

The day planner will drive the person requirements that must be defined for the competencies.

The role assessment tool will be based on the day planner and will guide the coaching and will also inform any change in the first line leader effectiveness on how well the tasks are accomplished. The individual role assessment is a sub-system of the role system and will be discussed separately in section 2.2.2.

The baseline key performance indicator performance will inform any change in the team and organisational performance.

Other relevant information like the organisational philosophy, objectives and structures will be obtained to inform the training material and to assist with person requirements.

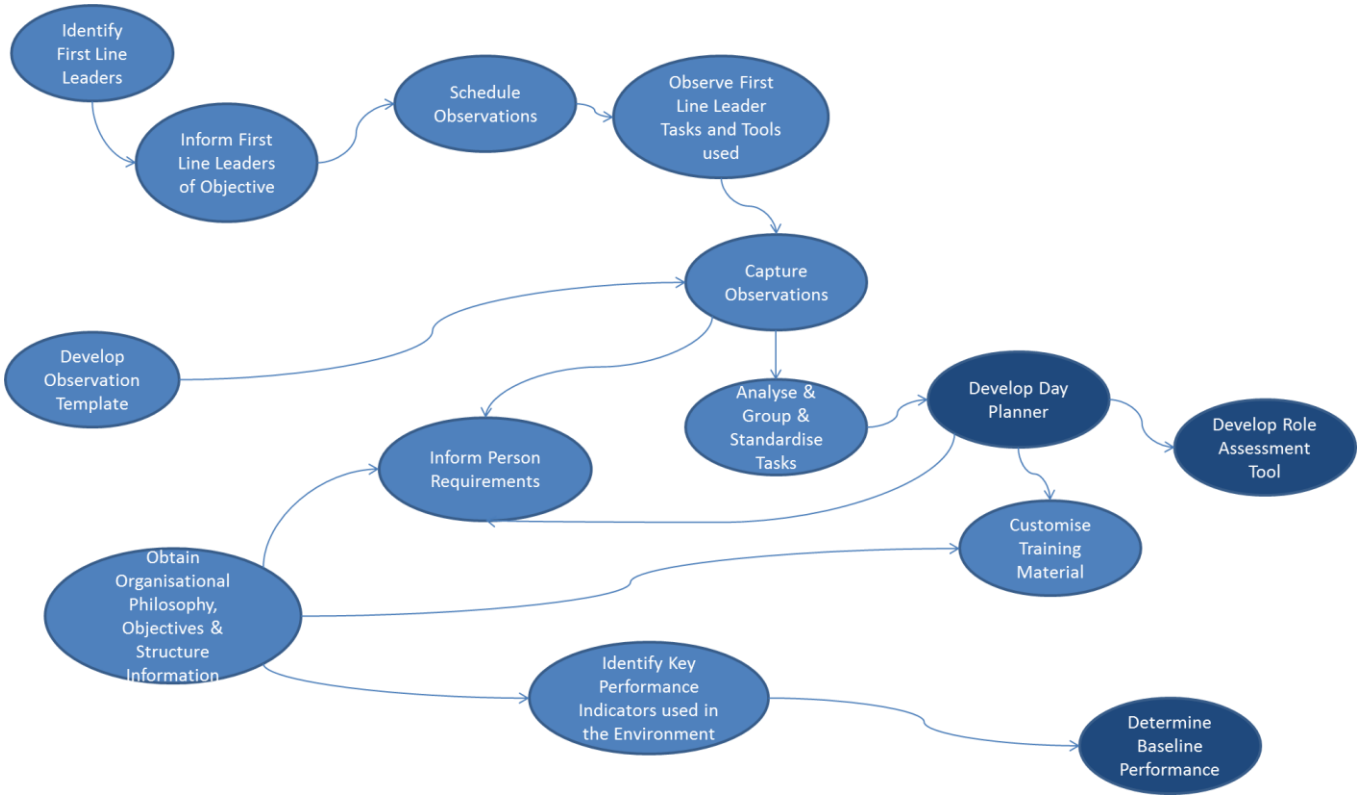



**Figure 5 - Role System Conceptual Model**

### 2.2.2 Individual Role Assessment Sub System

The individual role assessments will be assessed based on the schedule of tasks from the day planner that must be executed by a first line leader. A baseline individual role assessment will be performed before the coaching starts and will be used as a basis to determine any change in the first line leader's effectiveness to accomplish the tasks in the day planner. The baseline assessment will be followed up by a 1st and 2nd assessment. The individual role assessment will be done on the categories defined in the day planner and the instrument will provide a score out of 5 as follows:

| Unsatisfactory | Needs Improvement | Average | Good | Excellent |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |

**Figure 6 - Role Assessment Scoring Legend**

## Root Definition

This sub system is concerned with the role assessment of an individual and will be referred to as the Individual Role Assessment Sub System.

| | |
|---|---|
| **C** | First Line Leaders, Coaches, Coaching System, Line Management |
| **A** | First Line Leaders, Coaches |
| **T** | A process to change the subjective and qualitative measurement of how well first line leader tasks are performed to an objective quantitative measurement |
| **W** | W1 – Provide a quantitative result of how well a first line leader is executing the tasks which are required to achieve the organisations objectives<br>W2 – The results will help to correct non-conformance to enable the first line leader to be more effective in their daily tasks |
| **O** | The organisation |
| **E** | Existing Organisation Design, Business Processes, Products & Services and Information Technology |

**Individual Role Assessment System root definition –** A system to help the organisation to objectively and quantitatively evaluate how well a first line leader is executing the tasks that are required to achieve the organisations objectives. The evaluation results will provide guidance as to where the coaches and the first line leader must focus to improve to be more effective. This process will be a collective effort between the first line leaders and coaches.

## Conceptual Model

The individual role assessment sub system conceptual model defined in Figure 7 - Individual Role Assessment Sub System Conceptual Model has four main components that will drive and enable the system namely **develop role assessment tool**, **baseline role assessment**, **first role assessment**, and the **second role assessment**.

The role assessment tool will be developed from the content of the day planner. This will form the basis for all role assessments.

The baseline, first and second role assessments will provide feedback to the first line leader and determine if any change occurred in the way that the individual execute the tasks in the day planner.

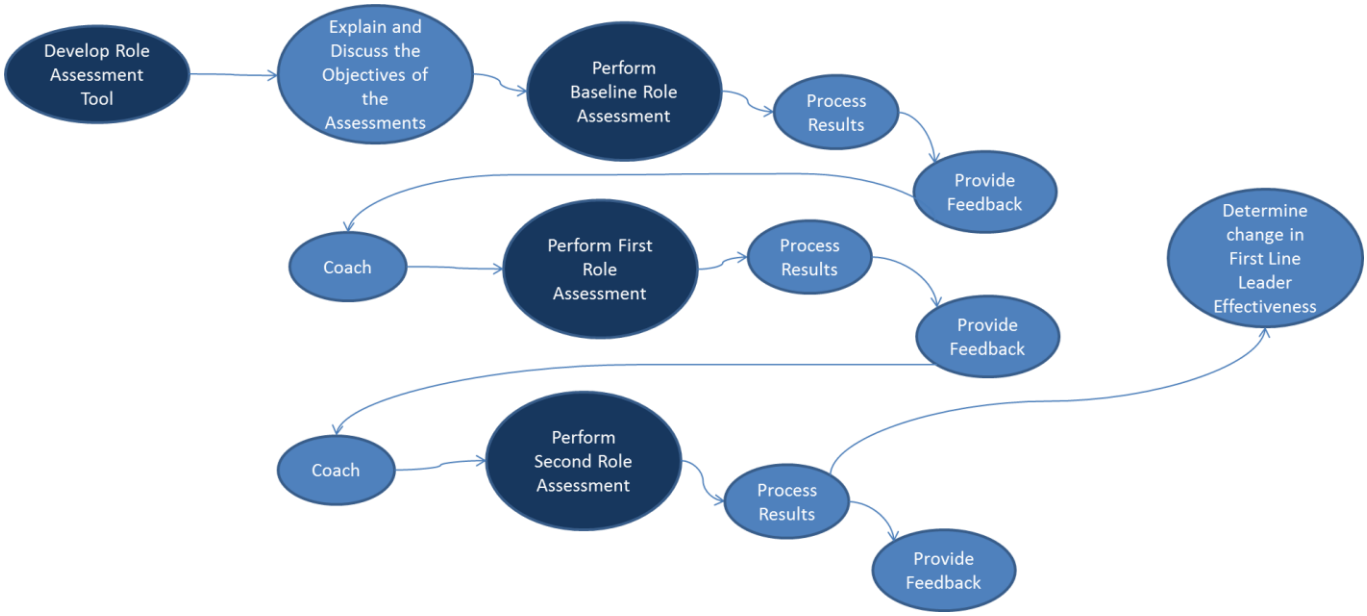



Figure 7 - Individual Role Assessment Sub System Conceptual Model

### 2.2.3 Competency System - Competencies

Bartram (2005, p.1187) stated that competencies are defined as 'sets of behaviours that are instrumental in the delivery of desired results'. In the business environment, these competencies are behaviours that support the attainment of organisational objectives (Bartram, 2012, p.3).

This definition brought about the development of the SHL Universal Competency Framework which was used in this research to define the competencies that were required to attain the specific organisational objectives.

**Root Definition**

This system is concerned with the first line leader role competencies and will be referred to as the Competency System.

| | |
|---|---|
| **C** | First Line Leaders, Coaches, Coaching System, Training System |
| **A** | First Line Leaders, Coaches, Psychologists, Line Management, Human Resources |
| **T** | A process that takes the tasks that must be performed on a daily basis by a first line leader to achieve the organisational objectives and develop a competency profile for a first line leader role |
| **W** | The result will provide an understanding of the competencies that are required within a first line leader to succeed in the role and achieve the organisational objectives |
| **O** | The organisation |
| **E** | Existing Organisation Design, Business Processes, Products & Services and Information Technology |

**Competency System root definition –** A system to help the organisation to understand what competencies are required for a first line leader to succeed in the role and achieve the

organisations objectives. The understanding will be a collective effort between the first line leaders, coaches, psychologists, line management and human resources.

## Conceptual Model

The competency system conceptual model defined in Figure 8 - Competency System Conceptual Model has three key components that will drive and enable the system namely the **role objectives**, **competency profile** and **competency assessment tool/s**.

The role objectives will be developed from an understanding of what the organisation wants to achieve and the tasks that must be executed in the day planner.

The competency profile will be developed by using the role objectives and the UCF. The competency profile will inform the training material.

The selection of the competency assessment tool/s will be driven by the competency profile. The individual competency assessment is a sub-system of the competency system and will be discussed separately in section 2.2.4.

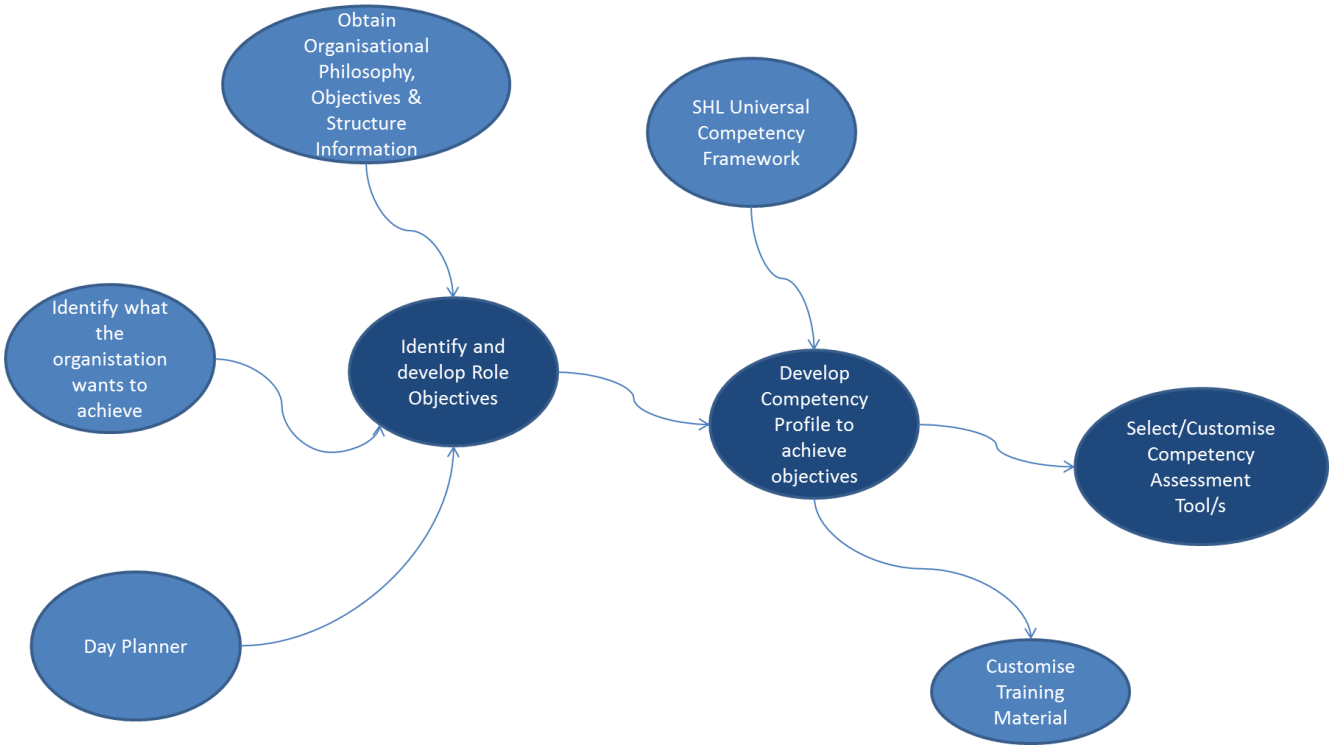



**Figure 8 - Competency System Conceptual Model**

### 2.2.4 Individual Competency Assessment Sub System

As indicated, the UCF consists of 20 competencies. Each competency component is linked to a portfolio of assessment instruments like OPQ32, ability tests, the motivation questionnaire and others.

The individual competency assessments will be used to assess the inherent capabilities of an individual based on the competencies that were identified from the UCF for the specific role. The assessments will be completed before the execution of the training and coaching, and then again after the execution at a time that has allowed the behavioral change to become entrenched (10-12 months). The results will determine if the inherent capabilities improved by comparing the first and second test results. The competencies will be measured by using the following instruments:

- Occupational Personality Assessment (OPQ32)
- Wave Performance 360 ° (360°)
- Assessment Centre (AC)

The instruments will provide a score out of 10 as follows:

| **Low** | | | **Marginal** | | | **High** | | **Exceptionally High** | |
|---|---|---|---|---|---|---|---|---|---|
| Exceptionally low | Very low | Low | Moderately low | Average | Average | Moderately high | High | Very high | Exceptionally high |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |

**Figure 9 – Competency Assessment Scoring Legend**

## Root Definition

This sub system is concerned with the competency assessment of an individual and will be referred to as the Individual Competency Assessment Sub System.

| | |
|---|---|
| **C** | First Line Leaders, Coaches, Coaching System, Line Management |
| **A** | First Line Leaders, Coaches, Psychologists |
| **T** | A process that takes the current inherent capabilities of a first line leader and test them against a competency profile to provide a result of the likelihood of the first line leader being successful in the role |
| **W** | The results will provide insight into the first line leader capabilities for both the first line leader and the coach and will assist with identifying focus points for correction |
| **O** | The organisation |
| **E** | Existing Organisation Design, Business Processes, Products & Services and Information Technology |

**Individual Competency Assessment Sub System root definition –** A system to help the organisation to test and understand the likelihood that a first line leader will be successful in the role. The test results will provide guidance as to where the coaches and the first line leader must focus to improve in order for the first line leader to be more effective. This process will be a collective effort between the first line leaders, line management, coaches and the psychologists.

## Conceptual Model

The individual competency assessment sub system conceptual model defined in Figure 10 – Individual Competency Assessment Sub System has three main components that will drive the sub system namely the **selection/customisation of the competency assessment tool/s**, **first competency assessment** and the **second competency assessment**.

The individual assessment tools will be driven by the competency profile that was developed and the SHL UCF portfolio of assessment tools that are available to test the selected competencies.

The first competency assessment results will guide the coaches on which competencies to focus on during the coaching.

The second competency assessment results will inform a measurement system to determine if any change in the inherent capabilities of the individual occurred.

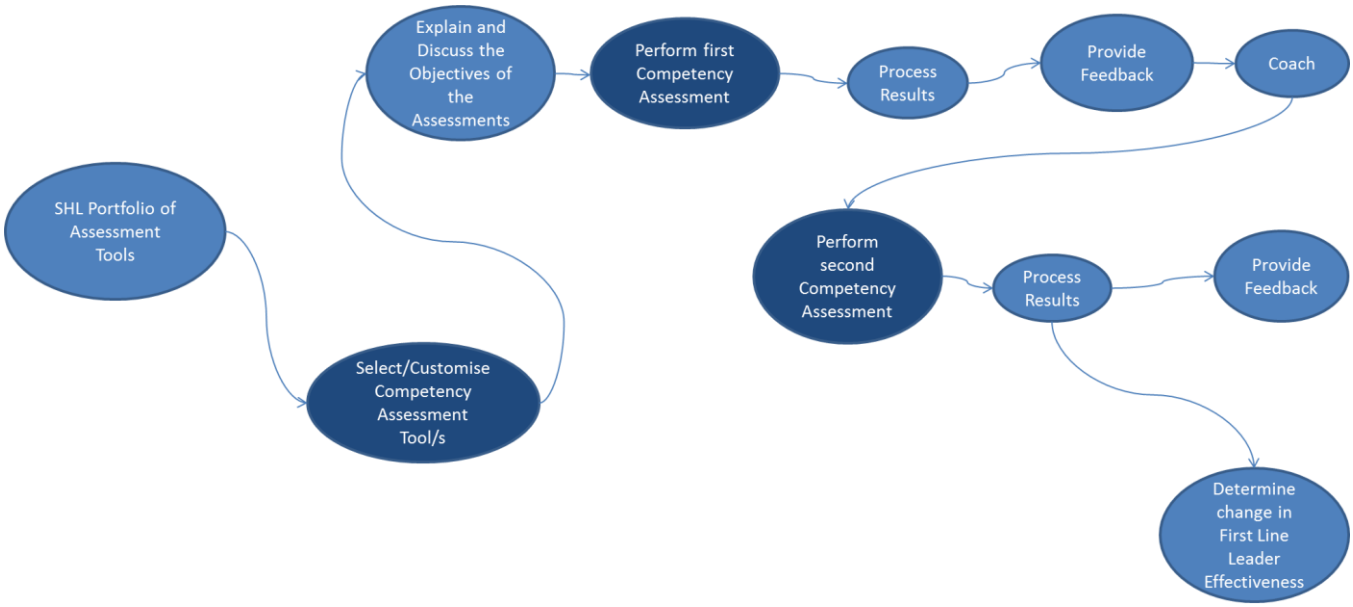



**Figure 10 – Individual Competency Assessment Sub System Conceptual Model**

### 2.2.5 Training System - Training

An existing process, the Prosperity Partnership®, with existing training content will be used as the basis for the training as the process speaks to Mintzberg's Managers Role and the content adhered to Knowles' andragogy principles discussed in section 2.1.3.

The Prosperity Partnership® is made up of six elements as follows:

**Create shared purpose and direction** – How do I create shared vision in my team? – so that everyone in my team knows where we are going as a company.

**Establish alignment and focus** – How do I ensure that my team members have an aligned focus in their work? – so that everyone knows exactly what to focus their energy on daily.

**Build credibility and climate** – How do I cultivate a leadership culture that inspires my team members? – so that I can lead my team with credibility.

**Facilitate stakeholder engagement** – How do I successfully engage all my team members in daily work? – so that everyone is involved, daily, in goal setting and problem solving and planning.

**Enable continuous improvement** – How do I enable my team members to continuously improve in their work? – so that everyone contributes to cost, quality and service improvement.

**Facilitate measurement and feedback** – How do I optimise individual and team performance? – so that teams regularly review their performance, they focus on accountability, and recognition and support is given.

Each element will form the basis for a training module as follows:

| Day | Module |
|---|---|
| Day 1 | • Introduction<br>• Module 1 – Create Shared Purpose and Direction<br>• Module 2 – Establish Alignment and Focus<br>• Module 3 – Build Credibility and Climate |
| Day 2 | • Module 4 – Facilitate Stakeholder Engagement |
| Day 3 | • Module 5 – Enable Continuous Improvement |
| Day 4 | • Module 6 – Facilitate Measurement and Focus<br>• Summary |

**Table 3- Training Modules**

The training content in each module will be linked to the competencies that they address to create a holistic approach for addressing the role and the competencies of the first line leader.

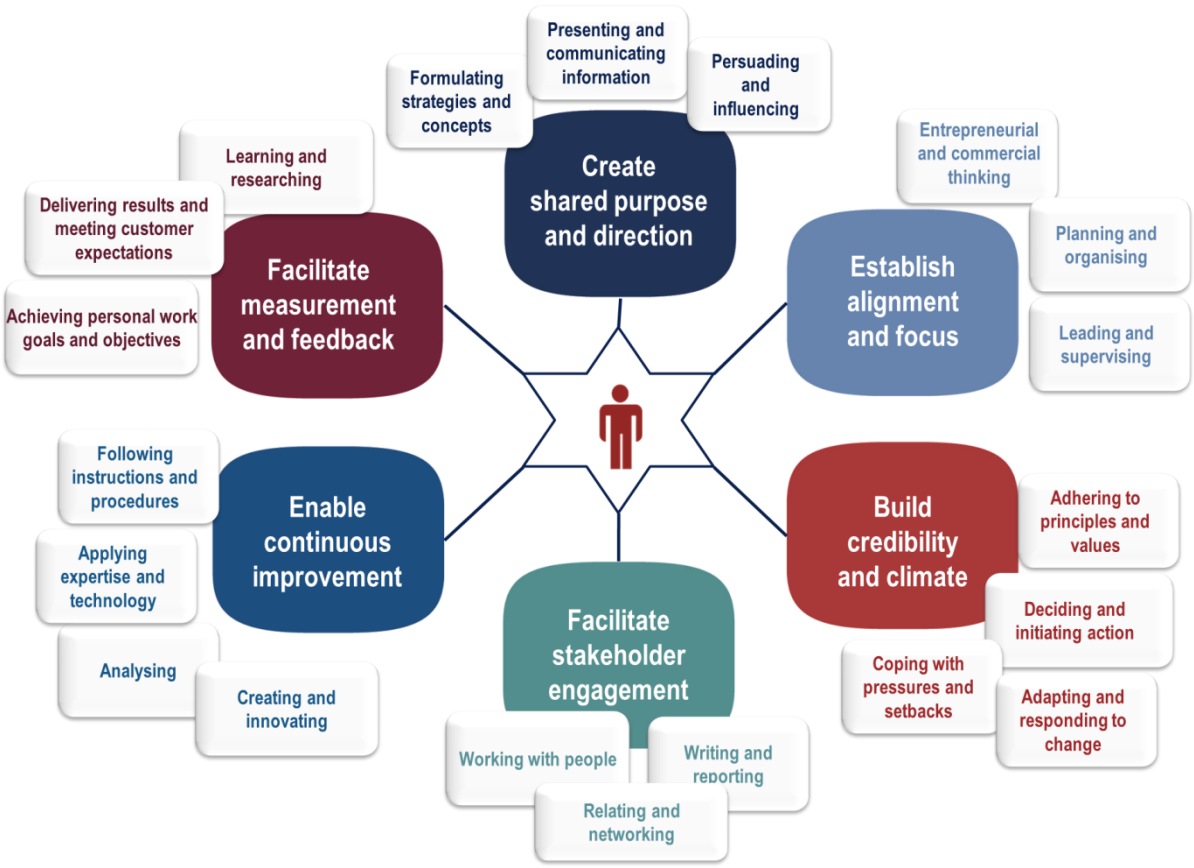



**Figure 11 - Training Modules vs Competencies (developed by the author)**

## Root Definition

This system is concerned with the training of an individual and will be referred to as the Training System.

| | |
|---|---|
| **C** | First Line Leaders, Coaches, Coaching System, Line Management |
| **A** | First Line Leaders, Coaches, Facilitator |
| **T** | A process that facilitates the transfer of relevant knowledge to first line leaders |
| **W** | The facilitation will equip the first line leaders with the required theory and operations management tools and content in a way that is conducive to adult learning |
| **O** | The organisation |
| **E** | Existing Organisation Design, Business Processes, Products & Services and Information Technology |

**Training System root definition –** A system to enable the transfer of relevant knowledge to the organisation's first line leaders and equip them with the required theory and operations management tools and content in a way that is conducive to adult learning. The training will be a collective effort between the first line leaders, coaches and facilitator.

## Conceptual Model

The training system conceptual model defined in Figure 12 - Training System Conceptual Model has two main components that will drive and enable the system namely **customise training material / content** and **train first line leaders.**

The content from the day planner, organisational philosophy, organisational objectives, organisational structure, relevant SHL competencies, the Prosperity Partnership® six elements and existing training material will be used to customise the training material and content to adhere to the principles of Knowles' theory of andragogy and address the various "roles" that were identified by Mintzberg (1989).

The facilitator will train the first line leader and will deliver the content in an environment with the following discussion guidelines:

- No topic is taboo
- Rationally with dignity
- Systematic and logic discussion
- Holistic perspective
- Never to hurt, only to learn
- Participate as equals
- Always try to be completely objective

The objective of the training will be twofold namely:

- Provide the first line leaders with the required theory, tools and content to assist with the coaching; and
- For the coaches to sit in on the training, observe the first line leaders that they will coach and establish a relationship with them.

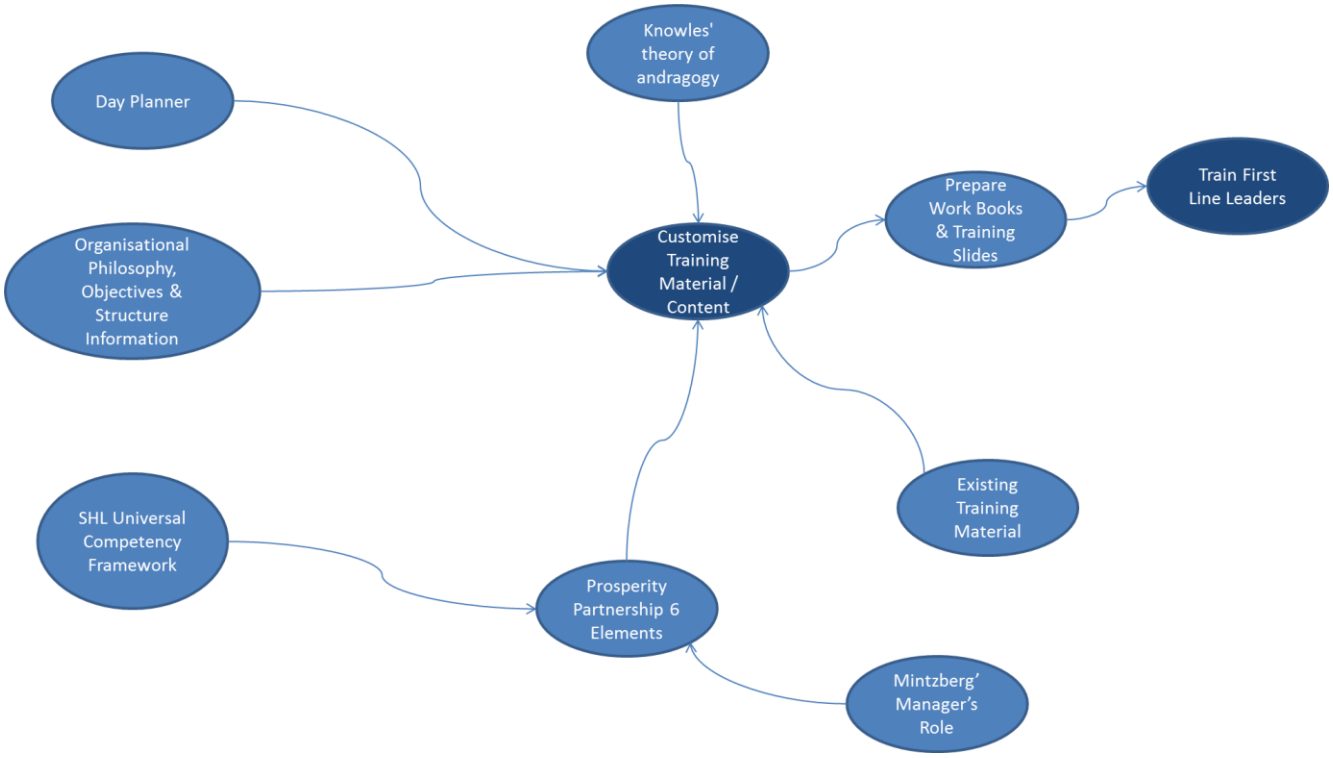



**Figure 12 - Training System Conceptual Model**

### 2.2.6 Coaching System - Targeted Coaching

The targeted coaching will use Kolb's learning cycle (McCarthy, 2010) as the underlying model for coaching. Tools from the training content and other principles like short interval control, visual management, problem solving, root cause analysis and overall professional effectiveness (Bicheno and Holweg, 2009) will be used in the coaching plan.

**Root Definition**

This system is concerned with the coaching of an individual and will be referred to as the Coaching System.

| | |
|---|---|
| **C** | First Line Leaders, Coaches, Line Management |
| **A** | First Line Leaders, Coaches |
| **T** | A 'learn by doing' process that helps a first line leader to become more effective |
| **W** | W1 - Will assist in making the link between theory and daily operational activities in a performance environment that is familiar to the first line leader<br>W2 – Will enable the first line leader to experience the results of doing things differently<br>W3 – Old ineffective behaviours will be broken and new more effective behaviours will be adopted that will make the first line leaders more effective, leading to better performing teams and will result in improved organisational performance |
| **O** | The organisation |
| **E** | Existing Organisation Design, Business Processes, Products & Services and Information Technology |

**Coaching System root definition –** A system that facilitates 'learn by doing' by making the link between theory and daily operational activities in a performance environment that is familiar to the first line leader. The first line leader will receive feedback from the system and experience the results of doing things differently leading to the breaking of old ineffective behaviours and the adoption of new more effective behaviours which will make the first line leaders more effective, leading to better performing teams and will result in improved organisational performance. This will be a collective effort between the first line leaders, coaches and line management.

## Conceptual Model

The coaching system conceptual model defined in Figure 13 - Coaching System Conceptual Model has three main components that will drive and enable the system namely **develop coaching plan**, **coach individual** and **document personal development plan**.

The coaching plan will use the individual assessment results as guides during the development of a coaching plan for each individual to ensure the coach highlight and focus on developmental areas where the individual scored low during the assessments. The coaching plan will include tools and techniques from the training material, and specifically short interval controls, visual management and overall professional effectiveness (OPE).

The coaching plan will be executed over a period of a few weeks where the individual will test or experiment with the tools and techniques to experience and observe the changes and then realise that there are better ways to manage and lead their teams.

Observations during the coaching and results from the assessments will feed into a personal development plan that will be discussed with the individual and the line manager to ensure that gaps that still exist after the coaching are closed through further coaching by line management or by a formal intervention.

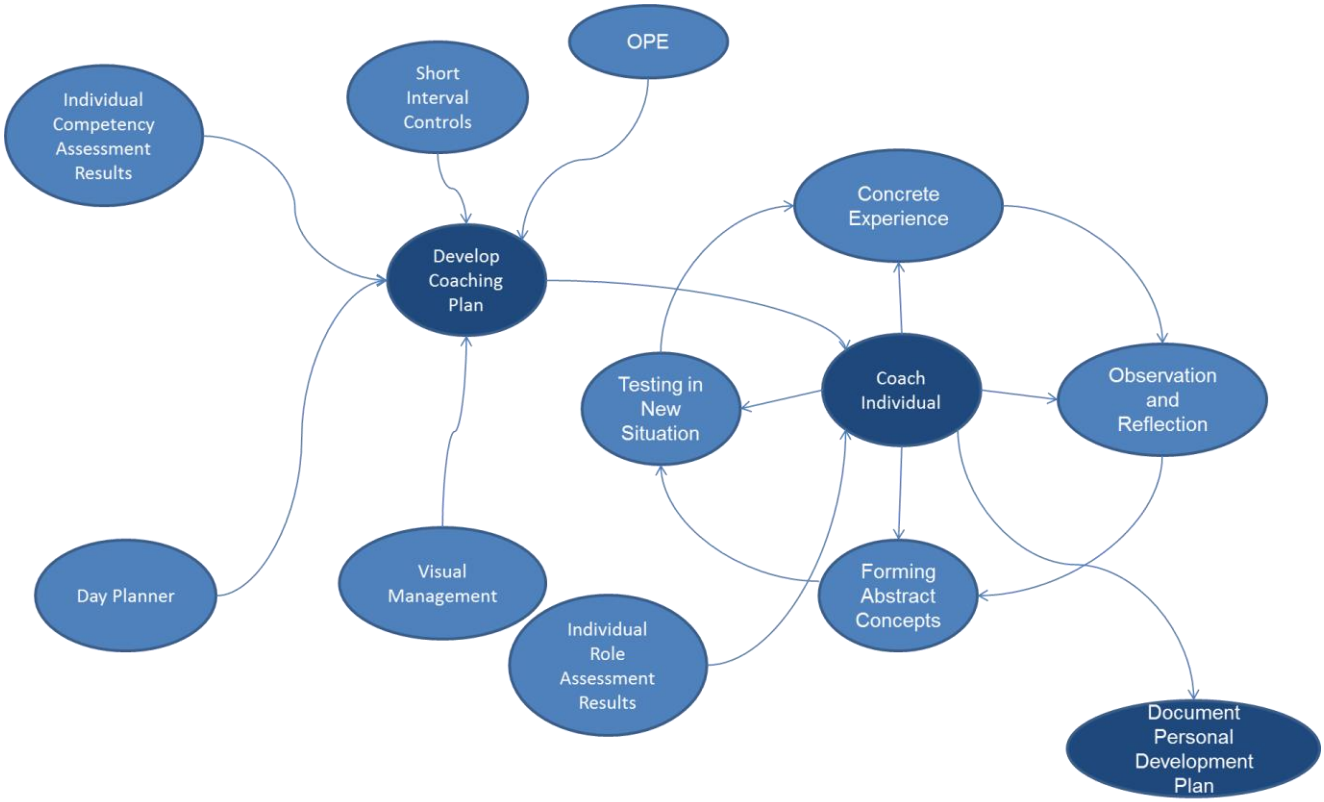



**Figure 13 - Coaching System Conceptual Model**

## 2.3 Conceptual Framework

A conceptual framework was created by the author using the conceptual models developed in this section. The framework consists of four key systems as depicted in Figure 14 - First Line Leader Conceptual Framework – Systems View. In the systems world, the Role System will drive the Competency System. Both the Role and Competency Systems will inform the Training System and will guide the Coaching System as well as inform of any changes in effectiveness and performance. The Training System will assist the Coaching System, and together these systems will drive first line leader effectiveness and overall organisational performance in the real world.

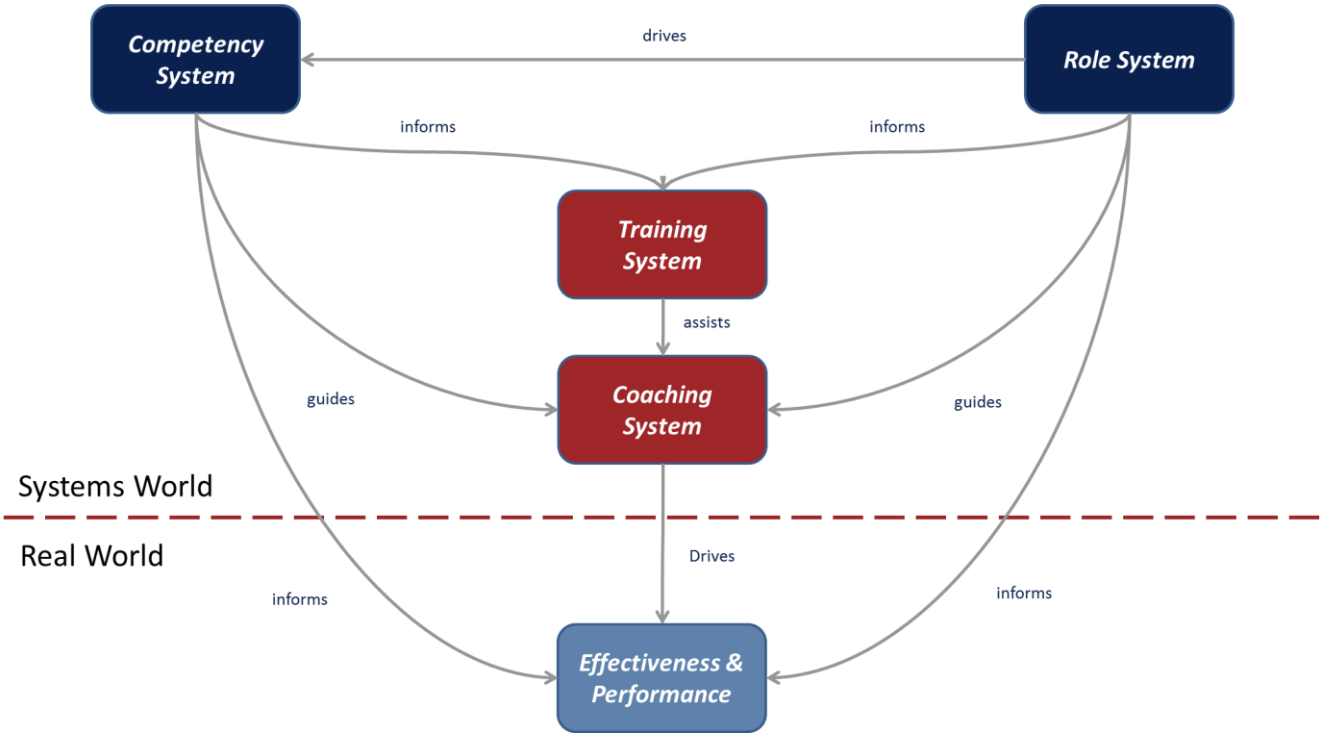



**Figure 14 - First Line Leader Conceptual Framework – Systems View**

Each system also consists of components that will drive and enable the system as indicated in Figure 15 - First Line Leader Conceptual Framework – Component View. The sections below will summarise the components and the links in the conceptual framework.

### 2.3.1 Role System

The aim of the system is to help the organisation to obtain an understanding and standardise the first line leader tasks that must be accomplished to achieve the organisational objectives, drive person requirements and enable the measurement of how well these tasks are executed. This understanding will be a collective effort between first line leaders, coaches and line management.

The system will also help the organisation to objectively and quantitatively evaluate how well a first line leader is executing the tasks that are required to achieve the organisations objectives. The evaluation results will provide guidance as to where the coaches and the first line leader must focus to improve to be more effective.

The Role System consists of four components (Figure 15 - First Line Leader Conceptual Framework – Component View). The Day Planner will drive the Role Objectives, inform the Training Material, guide the Coaching Plan and drive the Role Assessment Tool. The Role Assessment Tool will enable the Individual Role Assessments. The Individual Role Assessments will guide the Coaching of the Individual and will inform of any changes in the First Line Leader Effectiveness. The Baseline KPI Performance will be identified and used to inform if any improvement occurred in the Team and Organisational Performance.

### 2.3.2 Competency System

The aim of the system is to help the organisation to understand what competencies are required for a first line leader to succeed in the role and achieve the organisations objectives. The understanding will be a collective effort between the first line leaders, coaches, psychologists, line management and human resources.

The system will also help the organisation to test and understand the likelihood that a first line leader will be successful in the role. The test results will provide guidance as to where the coaches and the first line leader must focus to improve in order for the first line leader to be more effective.

The Competency System consists of four components (Figure 15 - First Line Leader Conceptual Framework – Component View). The Role Objectives will drive the Competency Profile. The Competency Profile will inform the Training Material and drive the Competency Assessment Tool/s. The Competency Assessment Tool/s will enable the Individual Competency Assessments. The Individual Competency Assessments will guide the Coaching Plan and will inform of any changes in the First Line Leader Effectiveness.

### 2.3.3 Training System

The aim of the system is to enable the transfer of relevant knowledge to the organisation's first line leaders and equip them with the required theory and operations management tools and content in a way that is conducive to adult learning. The training will be a collective effort between the first line leaders, coaches and facilitator.

The system consists of two components (Figure 15 - First Line Leader Conceptual Framework – Component View). The Training Material will enable the Training. The Training will assist with the Coaching of individuals.

### 2.3.4 Coaching System

The aim of the system is to facilitate 'learn by doing' by making the link between theory and daily operational activities in a performance environment that is familiar to the first line leader. The first line leader will receive feedback from the system and experience the results of doing things differently leading to the breaking of old ineffective behaviours and the adoption of new more effective behaviours which will make the first line leaders more effective, leading to better performing teams and will result in improved organisational performance. This will be a collective effort between the first line leaders, coaches and line management.

The system consists of three components (Figure 15 - First Line Leader Conceptual Framework – Component View). The Coaching Plan will enable the Coaching of the First Line Leaders. The Individual Coaching will drive the improvement in First Line Leader Effectiveness, which will drive Improved Team Effectiveness, which will drive Improved Organisational Performance. A Personal Development Plan will capture all the areas that require further development to ensure that all the gaps that are identified per individual are closed.

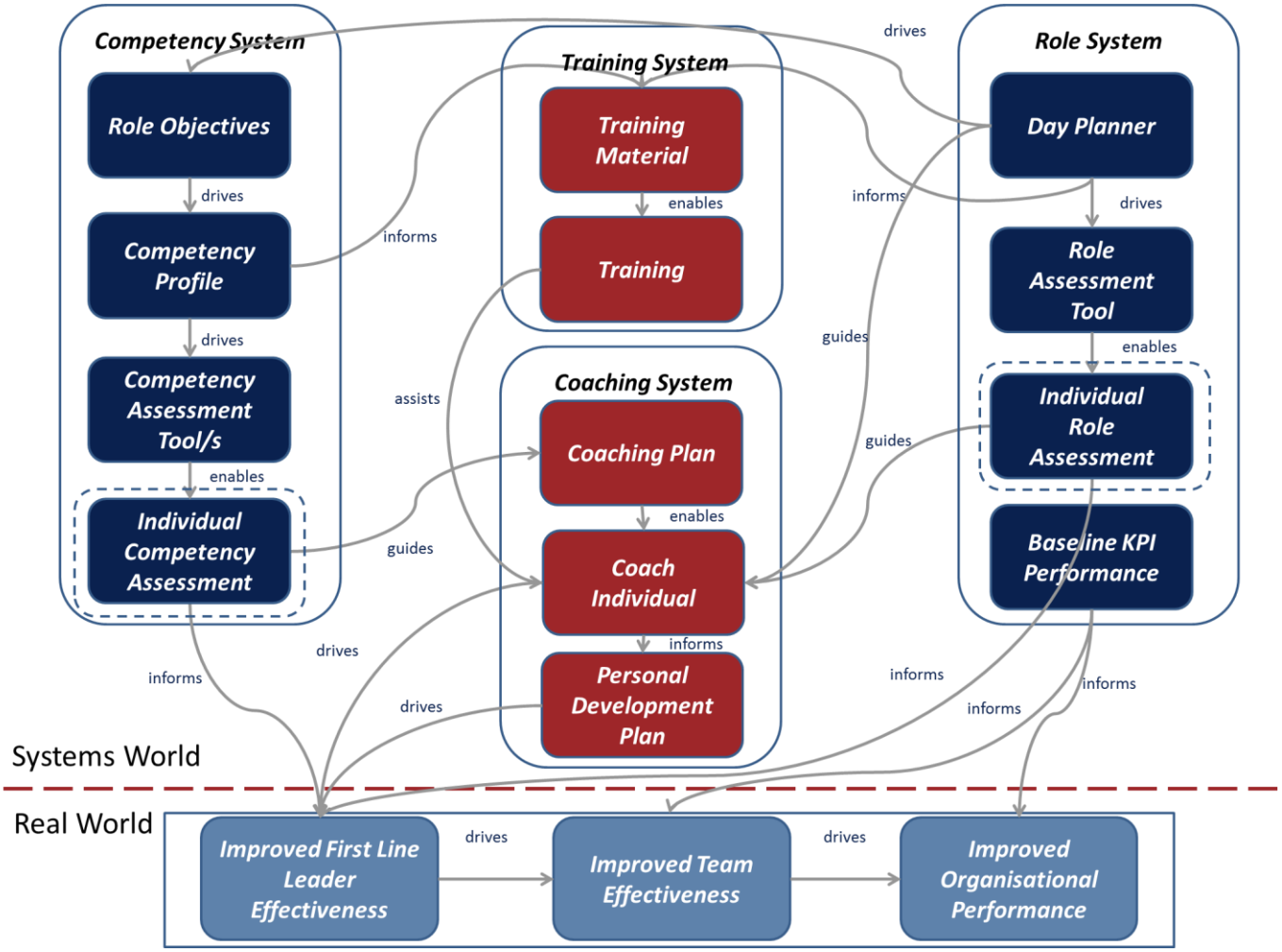



**Figure 15 - First Line Leader Conceptual Framework – Component View**

# 3 Chapter 3

Chapter 3 starts with theory and an explanation on the investigational method that was used. The chapter also describes the implementation approach that was used to deploy the conceptual framework that was developed in Chapter 2 and walks the reader through the implementation.

## 3.1 Investigational Method

Kohlbacher (2005) states: 'Case study research is widely used in organisational studies and there is some suggestion that the case study method is increasingly being used, and with growing confidence in the case study as a rigorous research strategy in its own right'. Kohlbacher (2005) further states that: 'The distinctive need for case studies arises out of the desire to understand complex social phenomena because the case study method allows investigators to retain the holistic and meaningful characteristics of real-life events, such as organisational and managerial processes' and that 'case studies seem to be the preferred strategy when how or why questions are being posed, when the investigator has little control over events, and when the focus is on a contemporary phenomenon within some real-life context'. Kohlbacher (2005) indicates that in this context a case study would be an explanatory one. This type of case study would be used if you were seeking to answer a question that sought to explain the presumed causal links in real-life interventions that are too complex for the survey or experimental strategies. In evaluation language, the explanations would link program implementation with program effects (Kohlbacher, 2005).

Case study research allows the researcher to explore individuals or organisations, simply through complex interventions, relationships, communities or programs and supports the deconstruction and subsequent reconstruction of various phenomena (Kohlbacher, 2005).

A concern raised of case studies is that they provide little basis for scientific generalisation (Kohlbacher, 2005). Kohlbacher (2005) responded as follows:

> 'case studies […] are generalizable to theoretical propositions and not to populations or universes. In this sense, the case study […] does not represent a 'sample', and in doing a case study, your goal will be to generalize theories (analytical generalization) and not to enumerate frequencies (statistical generalization)'.

Kohlbacher (2005) states that: 'Case study research consists of a detailed investigation, often with data collected over a period of time, of phenomena, within their context, with the objective to provide an analysis of the context and processes which illuminate the theoretical issues being studied'.

Kohlbacher (2005) provides a more detailed and technical definition of case studies:

- 'A case study is an empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident.

- The case study inquiry copes with the technically distinctive situation in which there will be many more variables of interest than data points, and as one result relies on multiple sources of evidence, with data needing to converge in a triangulating fashion, and as another result benefits from the prior development of theoretical propositions to guide data collection and analysis'.

Case study as a research strategy consists of an all-encompassing method, which means that a number of methods may be used—either qualitative, quantitative or both (Kohlbacher, 2005).

Kohlbacher (2005) states that: 'Research design is the argument for the logical steps which will be taken to link the research question(s) and issues to data collection, analysis and interpretation in a coherent way'. Kohlbacher (2005) then identifies the following five components of research design as especially important for case studies:

- 'A study's questions;
- its propositions, if any;
- its unit(s) of analysis;
- the logic linking of the data to the propositions; and
- the criteria for interpreting the findings'.

In addition to the above, Kohlbacher (2005) also states that: 'It is important to consider whether the case study will be exploratory, descriptive or explanatory and a key decision to be made is whether the research will be based on a single case study or on multiple cases'.

Barratt et al, (2011, p.331) states the following: 'A question then arises as to the number of cases that researchers should select'. Barratt et al, (2011, p.331) suggests that 'the fewer the number of cases, the greater the opportunity for depth of observation'. However, Barratt et al, (2011, p.331) states that 'multiple cases can augment external validity and help guard against observer bias. In particular, for theory building purposes, the use of multiple cases is likely to create more robust and testable theory than single case research'. Barratt et al, (2011, p.331) suggests that 4-10 cases usually works well but cautions that 'if less than four it may become difficult to capture the complexity of the real world and if more than 10 it may become difficult for the researchers to cognitively process the information'. Barratt, et al. (2011, p.331) counters this suggestion by arguing that 'single case studies enable the researcher to capture in much more detail the context within which the phenomena under study occur. Single case studies may be useful for longitudinal research and can be used if they are extreme exemplars or opportunities for unusual research access'.

Kohlbacher (2005) states that there are three general analytic strategies for analysing case study evidence:

- Relying on theoretical propositions;
- thinking about rival explanations; and
- developing a case description.

Any of these strategies can be used in performing five specific techniques for analysing case studies: 'pattern matching, explanation building, time-series analysis, logic models, and cross-case synthesis (Kohlbacher, 2005)'.

Kohlbacher (2005) states that 'a conceptual framework serves several purposes: 1) identifying who will and will not be included in the study; 2) describing what relationships may be present based on logic, theory and/or experience; and 3) providing the researcher with the opportunity to gather general constructs into intellectual bins'. Kohlbacher (2005) states that 'returning to the propositions that initially formed the conceptual framework ensures that the analysis is reasonable in scope and that it also provided structure for the final report'.

Jick (1979, p.609) states that 'qualitative data and analysis functions as the glue that cements the interpretation of multi-method results (triangulation or cross-examination)'. Jick (1979, p.602) further states that 'researchers can improve the accuracy of their judgments by collecting different kinds of data bearing on the same phenomenon'. Data accumulated by different methods but bearing on the same issue are part of what is called the multi-method approach. Therefore, Jick (1979, p.609) states that 'triangulation, which prominently involves qualitative methods, can potentially generate holistic work or thick description'.

The case study research method was chosen for this research because the CRQ asked: how can organisations understand the first line leader role, responsibilities and competencies required to improve the effectiveness of a first line leader, through a structured leadership development program of individual assessments, training and targeted coaching, thus, improving team effectiveness and overall organisational performance.

The main responsibility of a first line leader is to ensure that the people produce the required throughput, when they are required to do it and at the right levels of quality, costs and safety (Mintzberg, 1989). This established a causal link between first line leader effectiveness, team effectiveness and overall organisational performance.

The theoretical propositions of this research are that improved capabilities and operations management skills should lead to improved first line leader effectiveness which should drive improved team effectiveness and should result in improved organisational performance.

The research analysed the impact of a leadership development program on overall organisational performance in a mass services environment in a short term insurance company in the financial services sector in South Africa. The conceptual framework described in Figure 15 - First Line Leader Conceptual Framework – Component View was tested through a single case study with eight embedded units (first line leaders) across five business areas consisting of ninety team members. The observations and tests were completed over a 12 month period between January 2013 and February 2014.

The case study was an explanatory one, as it sought to explain the presumed causal links. The explanations will link program implementation with program effects.

A conceptual framework was developed that provided a view on relationships that existed between the constructs that were identified.

From an analytic strategy perspective the case study relied on theoretical propositions using explanation building and time-series analysis techniques.

A multi-method approach was used to triangulate the data sources to answer the research question. Three measurement systems were developed and used as sources for data with specific links to the theoretical propositions:

Competency Assessment Measurement System – Used three measurement instruments to quantitatively determine if the inherent capabilities of a first line leader improved by comparing the pre-competency assessment score with the post-competency assessment score;

Role Assessment Measurement System – Used a measurement instrument to quantitatively determine if the first line leader performed their daily tasks better by taking three measurements and comparing the results; and

Key Performance Indicator Measurement System – Used a mixture of 22 quantitative and qualitative key performance indicators to determine if there has been an improvement in team and organisational performance.

## 3.2 Investigational Process Flow Diagram

Figure 16 - Investigational Process Overview depicts the investigational process that was followed to answer the central research question.

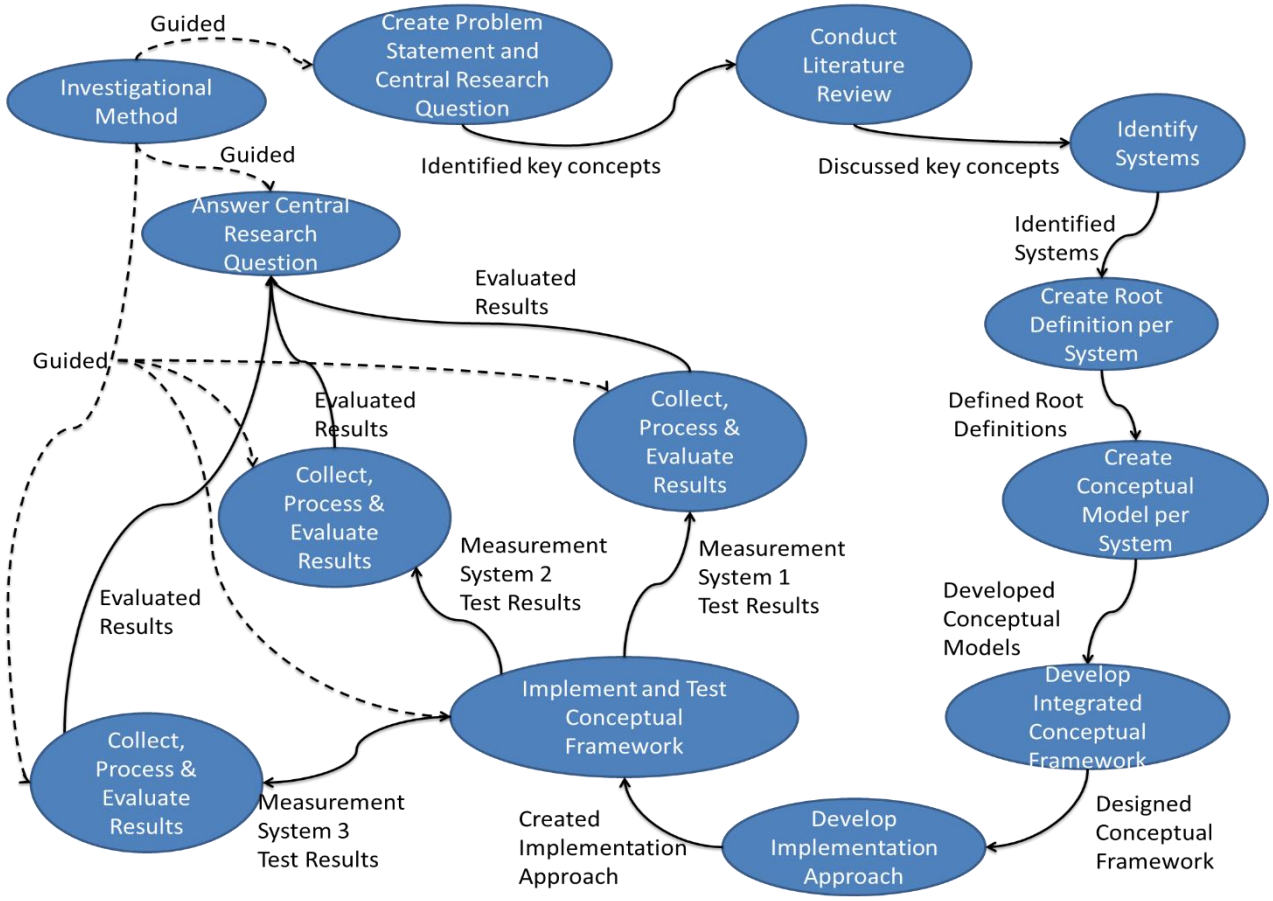



**Figure 16 - Investigational Process Overview**

## 3.3 Implementation Approach

The conceptual framework was implemented through a four phased approach described in Figure 17 - Conceptual Framework Implementation Approach. An overview of the four phases of the approach is described below:

1. **Research and design** – the gathering of data and information required for the day planner and competency profile to select and develop the competency, role and benefits assessment tools and to customise the training material to align with company specific content;
2. **Assess** – the initial assessments of the first line leaders and baseline operational performance;
3. **Coaching and training** – the execution of the classroom training and on-the-floor coaching; and
4. **Post intervention assessment** – a repeat of the initial assessments to measure changes in competency levels and operational performance.

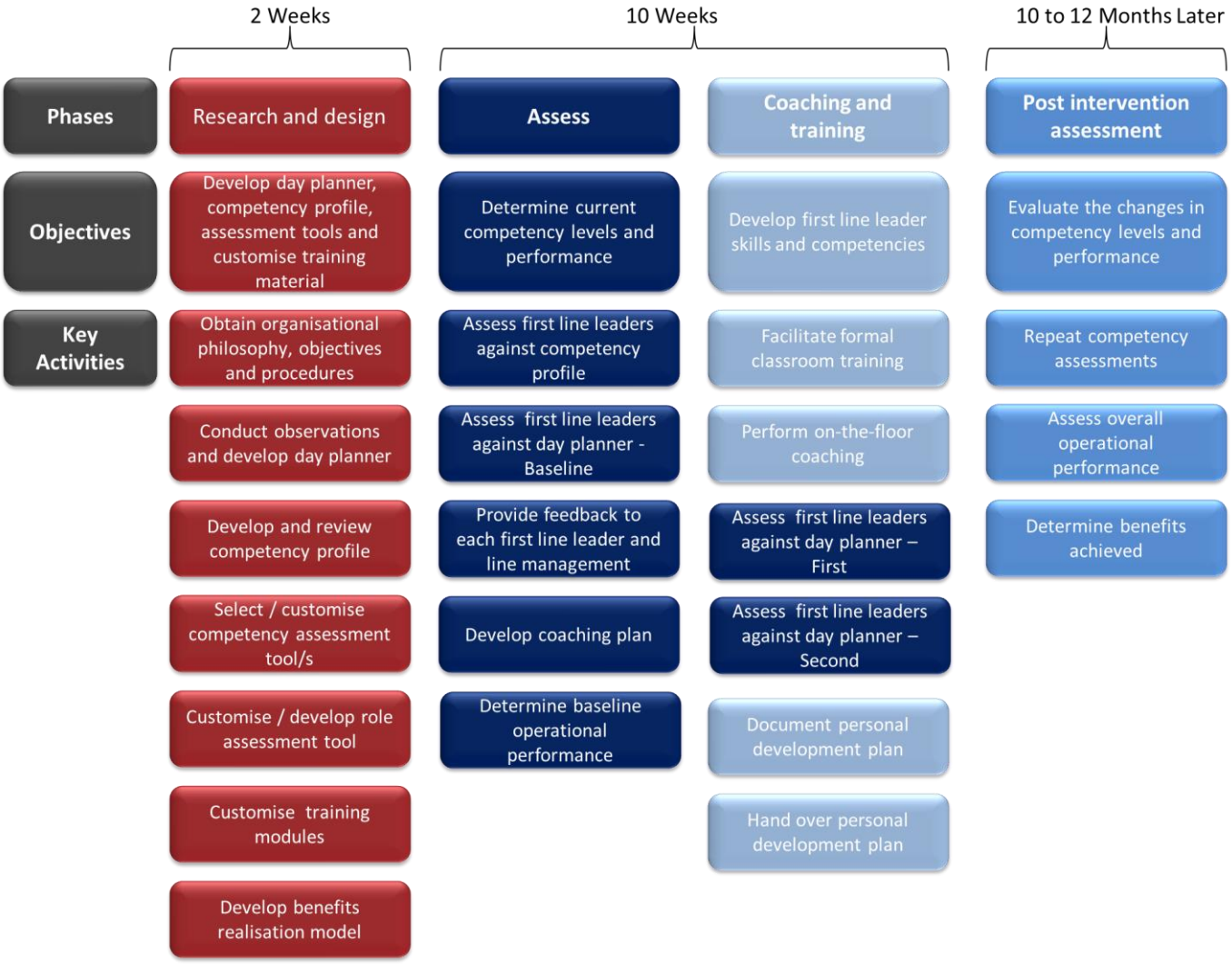



**Figure 17 - Conceptual Framework Implementation Approach**

### 3.3.1 Phase - Research and Design

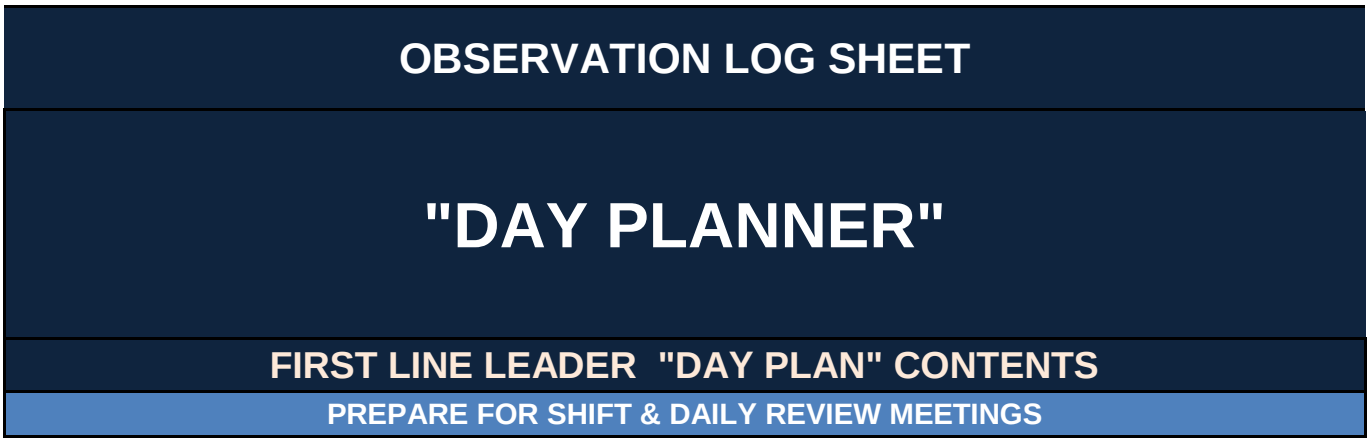
In the Research and Design phase, an initial investigation was conducted to obtain organisational specific information related to the company's philosophy and objectives. Information pertaining to the first line leader role was also obtained and reviewed.

Observations were conducted over a period of two weeks across eight first line leaders and the information was captured in a day planner observation log sheet for analysis (see appendix First Line Leader Observations). The information that was obtained was reviewed with line management, human resource representatives and the first line leaders to ensure validity. The tasks and the tools where then structured and standardised to form a day planner that can be used to standardise the way that the first line leaders manage their day (Figure 18 - Day Planner).




**Figure 18 - Day Planner**

The company philosophy and objectives together with the day planner information and existing role definitions were used to determine the role objectives and develop a competency profile. The competency profile was defined as "Leader of Others" (For the detailed competency profile see appendix First Line Leader Observations



| |
|---|
| Extract the performance data and update assignments codes onto the Agent Visual Performance Board (Cubicle per Agent)<br><br>Performance Data:<br>- Office Housekeeping (Adherence Code)<br>- Noise Monitoring (Adherence Code)<br>- Previous shift Inbound, Outbound & Mail performance confirmation<br>- Available vs. Not Available capacity for the day<br>- Identification of work queue status at the beginning of shift<br>- Review of due Action log items<br>- Add new Corrective Actions confirmation |
| Prepare lost capacity performance data against each Agent.<br>-Communicate downtime codes with each agent<br>-Consolidate overall lost capacity team performance and define corrective action required |
| Prepare for the SIC Meeting:<br>- Review due action log items<br>- Prepare availability assessment:<br>* FLL needs to present how they managing lost capacity due to personnel or Agent not being at work: announce lost capacity in terms of downtime codes collected against each individual / Agent.<br>* FLL needs to demonstrate how he / she is managing lost capacity related to Agents shift utilisation "compliant to schedule in terms of planned work hours"<br>This includes break time / unavailable codes - Login / Logout report |
| Assess Agents call turnaround times "Any call that exceeds 10minutes" needs to be accompanied by a queue work down report prepared for SIC Meeting |
| Set expectations to each Agent of what is to be achieved in terms of: Quantity, Quality & Time including shift conduct behaviour availability<br>(time attendance, breaks...etc.)<br>Set the Context (i.e. Big Picture) for the tasks.<br>Communicate the purpose and intended outcomes of the tasks<br>Explain the Quantity of the output required<br>Describe the Quality necessary<br>Confirm the Resources available<br>Set a specific time for completion & follow-up on progress against plan |
| Give detailed instructions – communicate the specific methods & process to be used.<br>How do I confirm that requirements have been understood by Agent.<br>Agree on the task at hand with the individual Agent |
| Review and prepare corrective action logs |
| **CONDUCT DAILY "SIC" MEETING** |

| |
|---|
| Announce Corrective Action Items status feedback making use of the Corrective Action Log. This includes:<br>*Previous Shift Productivity Results including variances<br>*Availability management (Absentee/Planned and Un-planned Leave)<br>Daily Assessment Report<br>*Login / Logout Report<br>Daily Timekeeping Control<br>*Capacity Balancing Report<br>(Perceived Overtime Requirement Forecast)<br>*Daily Weekly Operating Report Productivity per Agent |
| Attendance and timekeeping: Give feedback about the day plan starting with announcing who is at work, who will be late, how many agents are available.... |
| Review previous shift (agent utilisation, services levels, abandon rate, transfer rate, call volumes), understand the deviations, why & what action was taken (have Previous day SIC / Visual Management Board. |
| Emphasise outstanding actions progress review as per Action Log listed items |
| **CONDUCT DAILY TEAM MEETING** |
| Provide feedback to Agents based on the outcome of the SIC status meeting |
| Announce queue status imbalances action of previous shift performance per Agent |
| Inform / make follow up to Team about:<br>- Leaning Topic of the week<br>- Publicly display information that will enhance performance visibility, to promote peer to peer competitiveness to enhance communication and high performance culture awareness.<br>Communicate learning topic for the week<br>- Discussed and shared from management during strategic meeting.<br>- FLL is required to review Agents performance incorporation with the Learning Topic for the week(Update codes adherence to the communication). |
| Evaluate & reinforce action log expectations of appropriate agent performance habits and behaviour |
| Discuss learning topics with each Agent |
| Circulate daily / weekly matrices with the following supporting information:<br>Individual / Agent Productivity Trend Analysis<br>Rework Trend Analysis<br>Quality Analysis<br>SLA Trend Analysis |
| Evaluate feedback provided by Agents on the general column.<br>Review action items, record and agree timeframe on new action items to remove any barriers to achieving the shift plan. |

| "On The Floor" ACTIVE SUPERVISION |
| --- |
| Monitor performance to plan and record details and possible deviations during shift “intervals” onto the Agents Performance Visual Log |
| Monitor performance to plan and assist in addressing variances "Making use of a Short Interval Control Log" |
| Review and update Action Log items onto the Business Unit Performance Board |
| Assign detailed instructions per Agent on how tasks are to be performed and when will I make a follow up during the shift.<br>Exercise: What is it that I need to check and communicate when I coach and supervise Agents on how to execute tasks during shift.<br>monitor, keep in touch, follow-up and make adjustments to plans when needed”;<br>“understanding variances” and “taking corrective actions” "Update Progressive Checklist |
| Have a Short Interval Control checklist on hand ‘checking in’ to ensure that all occurrences are on track "per hour interval" and are progressing to the plan |
| Prepare Walk the Floor check-list in order to cover key points during the follow up, remain on track with specifics. |
| Record any new actions required on the Action Log and Follow Up record. |
| Carry out the Walk the Floor at least 4 rounds a day (between 09h30 & 15h30), using Active Supervisory Behaviours and assessing the specifics of the process against Plan - Actual – Variance<br>- Making Assignments<br>- Giving Direction<br>- Following Up<br>- Provide Feedback<br>- Coaching & Support<br>- Solving Problems<br>- Report and Review Performance<br>“Individual follow-up”; “Daily catch-ups” ; “One-on-Ones” |
| Analyse shift progress performance in-regards to Incoming Calls, Queries agent floor conduct, client correspondence together with Work-Force Management Leader and MIS Specialist every shift 2hrs interval |
| **CONDUCT SHIFT TRANSITION MEETING** |
| From 15h30 Shift Transition Meeting is carried out between FLL & the BU Manager. The morning results are reviewed. Focus on Utilisation, Service Levels & Abandon rate. Barriers encountered are discussed and action plan is recorded for inclusion in the following days plan |
| **PRE-END SHIFT PREPARATION** |
| Pre-plan outstanding Activity List items actions progress review as per Action Log listed items. Prepare for next day. |

Competency Profile). The purpose of this profile was to plan, lead, organise, and create the culture needed to execute on the organisations strategic objectives.

The objectives of the profile were:

- To lead teams;
- To create the climate necessary for teams to deliver;
- To manage people;
- To manage capacity;
- To manage cost;
- To manage and improve operations; and
- To manage the teams' performance.

A set of 9 essential and 3 desirable competencies were selected that was necessary to achieve the competency profile objectives (Table 4 - Selected Competencies).

| **Essential Competencies** | **Desirable Competencies** | **Less Relevant Competencies** |
|---|---|---|
| • Delivering Results and Meeting Customer Expectations | • Adapting and Responding to Change<br>• Following Instructions and Procedures | • Persuading and Influencing |

| | | |
|---|---|---|
| • Deciding and Initiating Action<br>• Leading and Supervising<br>• Planning and Organising<br>• Adhering to Principles and Values<br>• Working with People<br>• Coping with Pressures and Setbacks<br>• Achieving Personal Work Goals and Objectives<br>• Analysing | • Relating and Networking | • Presenting and Communicating Information<br>• Writing and Reporting<br>• Applying Expertise and Technology<br>• Learning and Researching<br>• Creating and Innovating<br>• Formulating Strategies and Concepts<br>• Entrepreneurial and Commercial Thinking |

**Table 4 - Selected Competencies**

The competency assessment tools were selected and customised based on the desirable and essential competencies that were identified. The three assessment tools were Occupational Personality Assessment (OPQ32), Wave Performance 360° (360°) and Assessment Centre (AC), with the latter consisting of role play and in-tray components.

The development of the role assessment tool was based on the six components of the day planner namely:

- Prepare for Shift and Daily Review Meetings
- Conduct Daily SIC Meeting
- Conduct Daily Team Meeting
- Conduct on the Floor Active Supervision
- Conduct Shift Transition Meeting
- Conduct Pre-End Shift Preparation

The assessment tool made provision for three ratings over the assessment period to establish a baseline and two further assessments to track progress.

Existing training modules were customised to align with the specific competency and role profile. The curriculum was designed based on existing material with additions. The content and outline of the training modules are described below:

| **Module** | **Aim** | **Competencies Addressed** | **Content** |
|---|---|---|---|
| Module 1 | Creating a shared vision in teams | • Formulating strategies and concepts | • Roles and responsibilities of |

| | | | |
|---|---|---|---|
| | | • Presenting and communicating information<br>• Persuading and influencing | first line leaders<br>• Competencies and capabilities<br>• Unpacking the company vision, mission and strategic priorities<br>• Accountabilities and responsibilities<br>• The impact of leaders on people's performance and behaviour at work<br>• Providing direction and purpose |
| Module 2 | Ensuring aligned focus among team members | • Entrepreneurial and commercial thinking<br>• Planning and Organising<br>• Leading and Supervising | • Understanding and working with scorecards<br>• Authority in the execution and cascading of performance goals<br>• Goal setting and SMART goals<br>• Dealing with obstacles<br>• Contracting performance with individuals<br>• B-Style leadership |
| Module 3 | Cultivating a leadership culture that inspires team members | • Adhering to principles and values<br>• Deciding and initiating action<br>• Adapting and responding to change<br>• Coping with pressure and setbacks | • The role of a first-line leader as a climate creator in the workplace<br>• Qualities of admired leaders<br>• The link with the company's Code of Conduct and Leadership Philosophy |

| | | | |
|---|---|---|---|
| | | | • Understanding assertiveness<br>• Assertiveness skills |
| Module 4 | Successfully engaging all team members in daily work | • Working with people<br>• Relating and networking<br>• Writing and reporting | • Creating involvement and buy-in<br>• Short Interval Control as a “safe place” and a “challenging environment”<br>• Questioning techniques<br>• Managing externalisation and a blaming culture<br>• Decision-making styles<br>• Conflict resolution<br>• Delegation |
| Module 5 | Enabling team members to continuously improve their work | • Following instructions and procedures<br>• Applying expertise and technology<br>• Analysing<br>• Creating and innovating | • Unpacking productivity<br>• Planning techniques<br>• Supervisor Day Planner<br>• Root-cause analysis<br>• Problem solving<br>• Company policies and procedures |
| Module 6 | Optimising individual and team performance | • Learning and researching<br>• Delivering results and meeting customer expectations<br>• Achieving personal work goals and objectives | • Performance management<br>• Behavioural rating pitfalls<br>• Performance and behavioural assessment<br>• The feedback and repositioning cycle<br>• Poor performance |

**Table 5 - Training Module Outline**

The benefits realisation model (Figure 19 - Benefits Realisation Model) was designed to measure three key areas:

- The competency assessment scores to measure a change in inherent capabilities;
- The role assessment scores to measure a change in how well the required tasks are executed; and
- The key performance indicators per business area to measure the operational performance of the business areas.

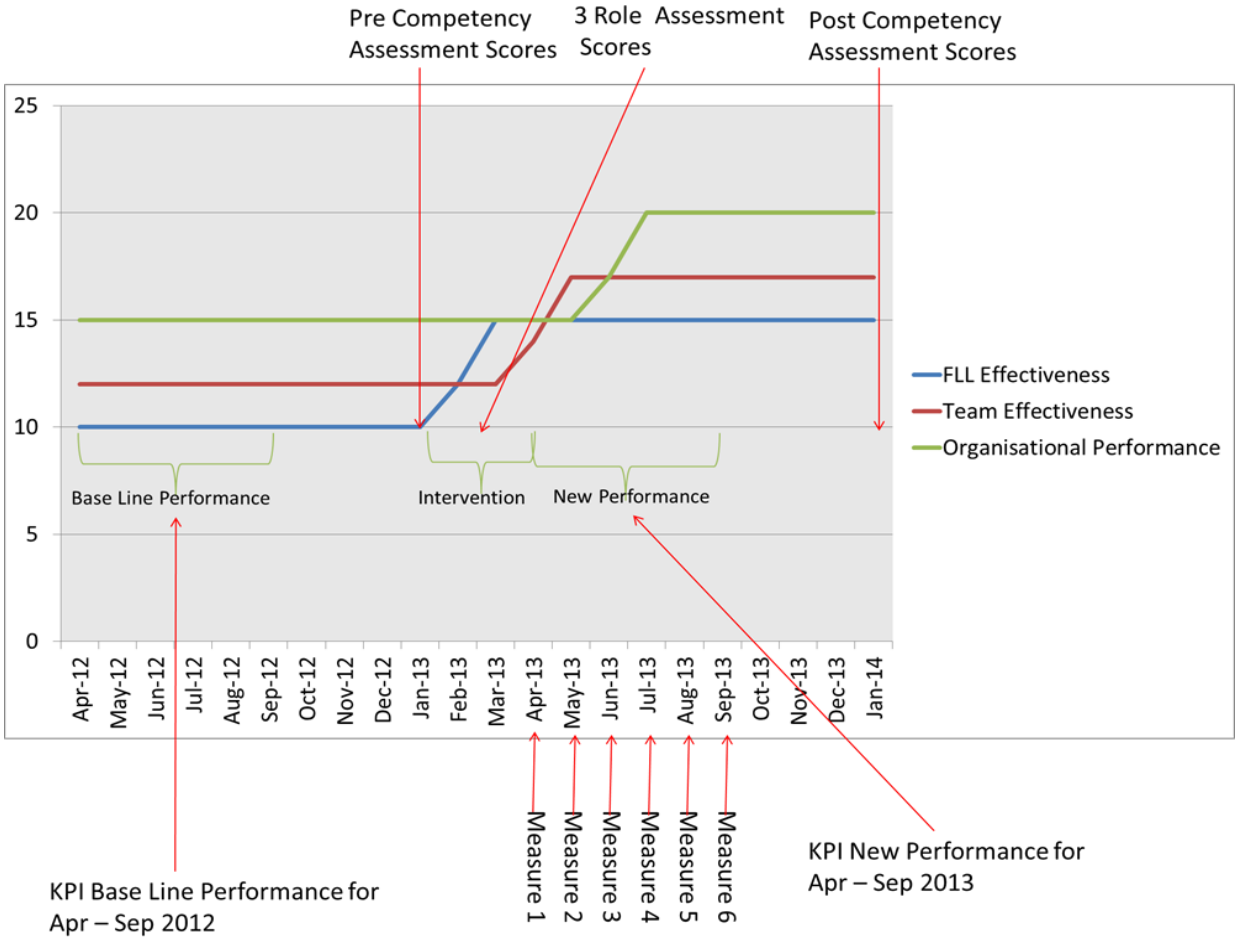



**Figure 19 - Benefits Realisation Model**

An overall pre-competency assessment score was obtained during the assess phase and an overall post-competency assessment score during the post intervention assessment phase. The pre-assessment score was compared to the post-assessment score to determine any changes.

The role assessment scores were obtained during the intervention. The baseline score was obtained before the intervention started with two additional measurements obtained during the intervention. The scores were compared with each other to determine the change.

Existing key performance indicators that were in place in the organisation were used to determine a baseline before the execution of the training and coaching. The baseline performance was calculated per indicator using the average over the months of April to

September 2012. The periods in the beginning and the end of the year were excluded due to anomalies that were identified and that would skew the averages. The same performance indicators will be measured over a six month period after the intervention from April to September 2013 to determine if the targets that were set could be achieved and maintained.

Table 6 – Performance Indicators per Business Area below provides an overview of the performance indicators that were identified per business area:

| Business Area | Performance Indicator |
|---|---|
| **SOS Inbound** | Day Service Level |
| | Night Service Level |
| | Abandonment Rate Day |
| | Abandonment Rate Night |
| | Quality |
| | Net Promoter Score |
| | Agent Score |
| | Schedule Adherence |
| **SOS Glass** | Day Service Level |
| | Abandonment Rate Day |
| | Quality |
| | Net Promoter Score |
| | Agent Score |
| | Schedule Adherence |
| **Document Processing Centre** | Turn Around Time |
| | Quality |
| **Requirements Management** | Turn Around Time |
| | Quality |
| **Immediate Resolution** | Turn Around Time |
| | Quality |
| | LEO |
| | Net Promoter Score |
| | Internal Agent Score |

**Table 6 – Performance Indicators per Business Area**

### 3.3.2 Phase - Assess

The first line leaders were assessed against the essential and desirable competencies. The results were processed and feedback was provided by a psychologist to the first line leader, coach and his/her line manager.

The coaches also performed a baseline role assessment. The feedback was provided to each first line leader and his/her line manager.

The results from the assessments and the theory and tools from the training were used to develop a coaching plan (Figure 20 - Coaching Plan). The assessment scores for each individual form the different assessments were taken into account to ensure that more focus will be placed on low scoring components during the coaching.

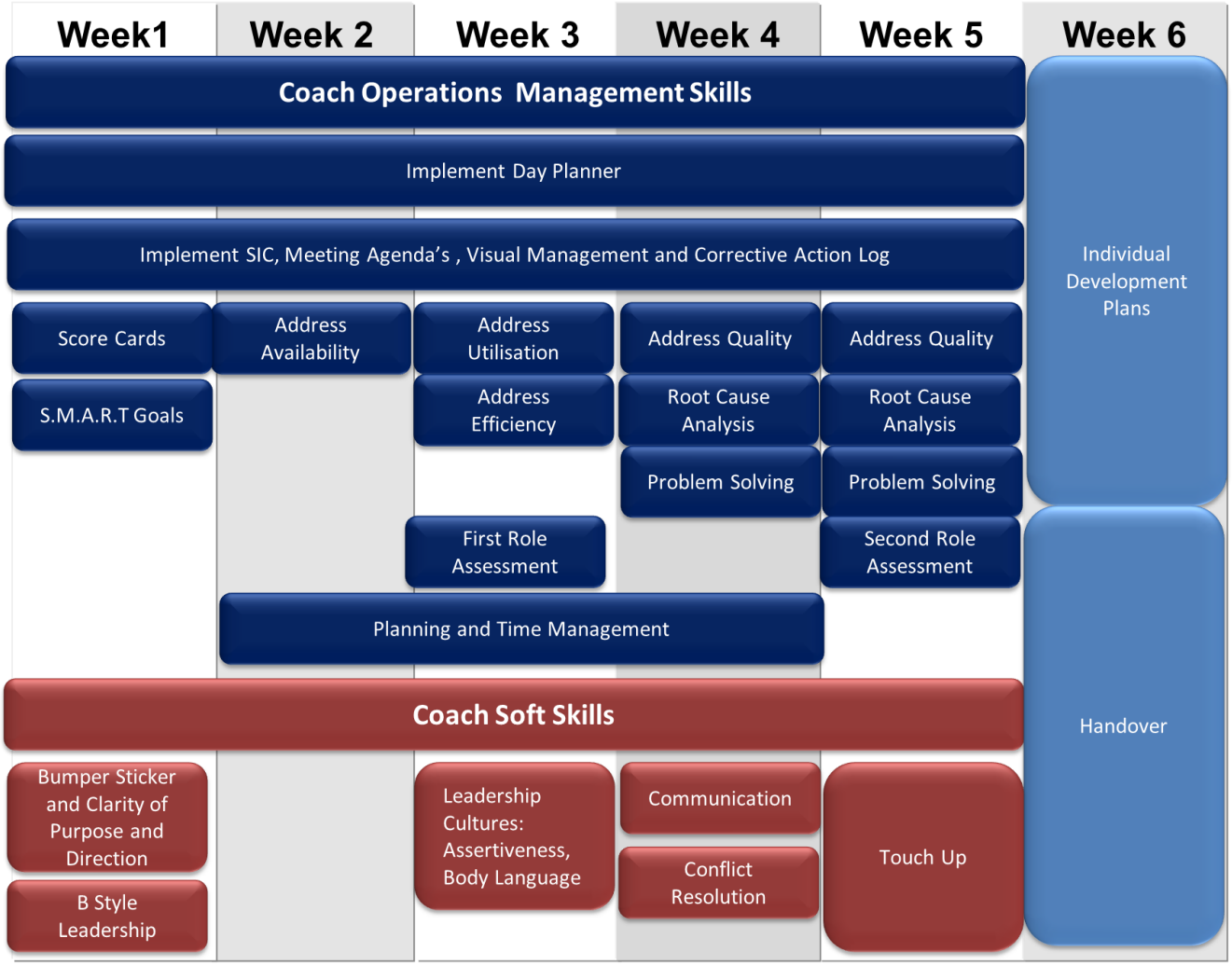



**Figure 20 - Coaching Plan**

The baseline performance was calculated per key performance indicator using the average over the months of April to September 2012 for each key performance indicator.

Table 7 - Baseline and Target Performance Indicators below provides an overview of the baseline and target performance levels for each key performance indicator per business area:

| Business Area | Performance Indicator | Baseline Performance | Target Performance |
|---|---|---|---|
| **SOS Inbound** | Day Service Level | 77.79% | 85% |
| | Night Service Level | 94.60% | 90% |
| | Abandonment Rate Day | 3.19% | 3% |
| | Abandonment Rate Night | 1.82% | 3% |
| | Quality | 77.83% | 90% |

| Business Area | Performance Indicator | Baseline Performance | Target Performance |
|---|---|---|---|
| | NPS | 24% | 55% |
| | Agent Score | 8 | 9 |
| | Schedule Adherence | 83% | 90% |
| **SOS Glass** | Day Service Level | 78.60% | 85% |
| | Abandonment Rate Day | 3.43% | 3% |
| | Quality | 80% | 90% |
| | NPS | 22% | 55% |
| | Agent Score | 8 | 9 |
| | Schedule Adherence | 82% | 90% |
| **Document Processing Centre** | TAT | 8 Hrs | 4 Hrs |
| | Quality | 96% | 100% |
| **Requirements Management** | TAT | 88% | 80% |
| | Quality | 98% | 90% |
| **Immediate Resolution** | TAT | 10 Hrs 24 Min | 8 Hrs |
| | Quality | 92% | 90% |
| | LEO | 1.74% | 0.5% |
| | NPS | 59% | 60% |
| | Internal Agent Score | 8.57 | 8 |

**Table 7 - Baseline and Target Performance Indicators**

### 3.3.3 Phase – Coaching and training

The training was facilitated and delivered over a two week period to accommodate two groups. This limited the impact on operations as it allowed for half of the first line leaders to be in training and the other half to look after operations. Each training cycle took four days to complete. The coaches also completed the training with the first line leaders to build a relationship with the delegates that they will be coaching and to determine any topics that will require specific attention during the coaching.

The coaching started immediately after the training was completed. One coach was assigned to five first line leaders. The coaching took place over five weeks in the work place, with daily interactions with the coach focusing on coaching topics and individual strengths and development areas. The coaching covered two main topics namely hard operations skills and tools and soft skills.

**Hard Operations skills:**

- **Implement Day Planner –** The day planner was implemented over five weeks and each first line leaders' diary was adjusted to follow the suggested day plan. Exceptions were made by deviating from the suggested time line, but the activities still had to be completed by the first line leader, just at a different time that was more suitable.

- **Implement Short Interval Control, Corrective Action Log, Meeting Agenda's, Visual Management** – Short Interval Controls were implemented and were performed several times per shift and combined historical analysis, identification of future risks and proactive action planning together with the corrective action log that was managed per interval review. The meeting agenda's for the relevant meetings were adjusted to ensure that the correct topics were covered during the meeting. The visual management boards were updated during the short interval controls to provide visual feedback on progress, highlight issues and it also provided an opportunity for the first line leader to address poor performance with each individual.
- **Score Cards** – First line leaders had to take the business score card and cascade it down to departmental, team and individual scorecards.
- **S.M.A.R.T. Goals** – The first line leaders had to make sure that the goals on the score cards were Specific, Measurable, Adaptable, Realistic and Time-based.
- **Planning and Time Management** – The first line leaders had to plan how they will keep to the day planner, delegate activities, steer clear of interruptions and dump time wasting activities. They followed a simple process of Do, Dump, Delay or Delegate.
- **Address Availability** – The first line leader analysed the number of hours that each individual was supposed to be at work and addressed deviations to ensure that all individuals were at work for the required hours and ready to work.
- **Address Utilisation** – The first line leader analysed the actual hours logged in and worked and addressed deviations to ensure that the required number of production hours per individual were achieved.
- **Address Efficiency** – The first line leader analysed the actual time per transaction to ensure that these were completed at the required rate. Constant deviations were addressed with individuals to determine if training was required.
- **First Role Assessment** – The first role assessment was completed after two weeks of coaching on the day planner. Feedback was provided to each individual and line manager on areas that were not satisfactory.
- **Address Quality, Root Cause Analysis and Problem Solving** – The first line leader analysed quality failures and applied the pareto principle to identify and address the top issues through root cause analysis and a structured problem solving process.
- **Second Role Assessment -** The second role assessment was completed after four weeks of coaching on the day planner. Feedback was provided to each individual and line manager on areas that were not satisfactory.

**Soft Skills:**

- **Bumper Sticker and Clarity of Purpose** – The first line leader had to design a bumper sticker that clearly explains what contribution the team makes to the company's vision and strategy and what justifies the team's existence in the business.

- **B-Style® Leadership** – The first line leaders had to apply B-Style® decision making to ensure accountability. (Figure 21 - B-Style® Decision Making)
- **Communication** – First line leaders had to apply the effective listening and communication skills that were taught in the training.
- **Conflict Resolution** – First line leaders had to apply the conflict resolution principles that were taught in the training.
- **Touch Up** – The soft skills were revisited and areas where the first line leaders were not comfortable with were addressed.

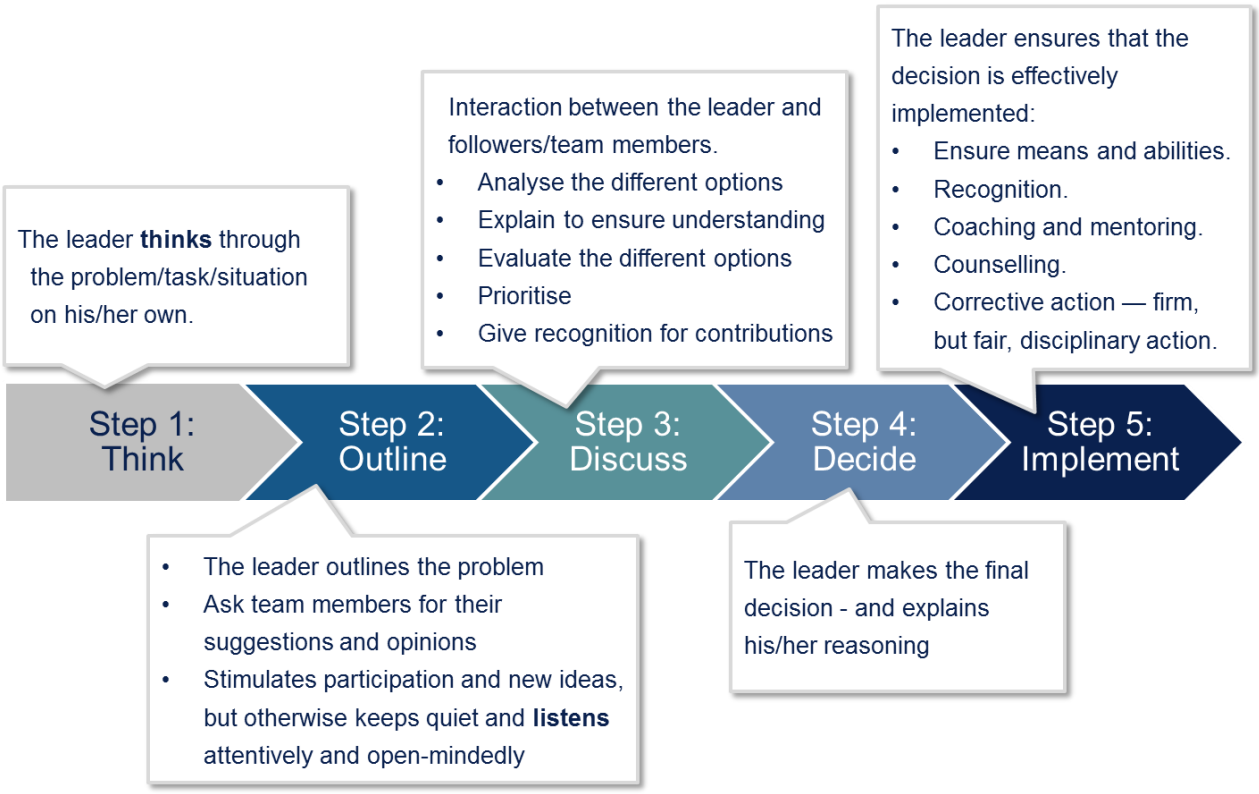



**Figure 21 - B-Style® Decision Making**

## Individual Development Plans and Hand Over:

An individual development plan was developed (Individual Development Plan Example) per first line leader based on the role assessment results, observations during the coaching and the competency assessment results. These were formerly discussed with the first line leader and his/her line manager, together with a Human Resource Development resource. The development plan was handed over to the organisation for implementation.

### 3.3.4 Phase – Post intervention assessment

The competency assessments were repeated to determine changes in the first line leaders' inherent capabilities. The repeat of the competency assessments had to be performed 10-12 months after the first assessment to ensure that results are meaningful.

The key performance indicator data was collected and processed on a monthly basis for six months after the coaching was completed.

# 4 Chapter 4 - Investigational Results and Analysis

The research used three measurement systems namely:

- Competency Assessment Measurement System – Used three measurement instruments (OPQ, 360° and AC) to quantitatively determine if the inherent capabilities of a first line leader improved by comparing the pre-competency assessment scores with the post-competency assessment scores;
- Role Assessment Measurement System – Used a measurement instrument to quantitatively determine if the first line leader performed their daily tasks better by taking three measurements and comparing the results; and
- Key Performance Indicator Measurement System – Used a mixture of 22 quantitative and qualitative performance indicators to determine if there has been an improvement in organisational performance.

The theoretical propositions of this research were that improved capabilities and operations management skills should lead to improved first line leader effectiveness which should drive improved team effectiveness and should result in improved organisational performance. These theoretical propositions are depicted in Figure 22 - Graphical depiction of theoretical propositions.

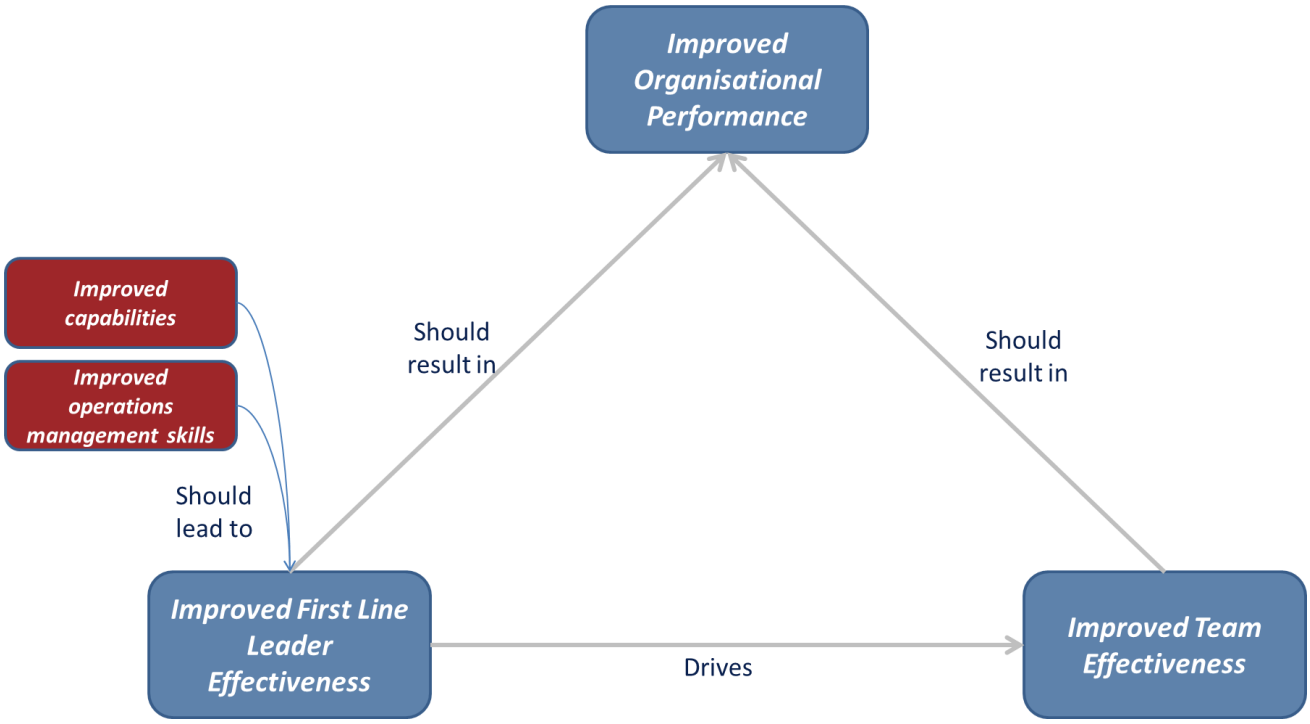



**Figure 22 - Graphical depiction of theoretical propositions**

Jick (1979, p.602) states that: 'Researchers can improve the accuracy of their judgments by collecting different kinds of data bearing on the same phenomenon'. One of the five important components of case study research design is the logic linking of the data to the propositions (Kohlbacher, 2005). The data triangulation matrix below provides a view on the link between the data collected and the theoretical propositions as well as the frequency and duration.

| **Theoretical Proposition** | **Competency Assessment Measurement System** | | |
|---|---|---|---|
| | Pre & Post-Overall Group Average Score | Pre & Post-Overall Individual Scores | Pre & Post-Overall Integrated Scores per Competency |
| Improved first line leader effectiveness<br>Pre n = 7<br>Post n = 7 | Did the group of first line leaders' inherent capabilities improve? | Did the individual first line leaders' inherent capabilities improve? | Did the relevant competencies improve? |
| Frequency | 2 assessment tests | 2 assessment tests | 2 assessment tests |
| Duration | 1 test in January 2013 and another in February 2014 | 1 test in January 2013 and another in February 2014 | 1 test in January 2013 and another in February 2014 |
| | | | |
| **Theoretical Proposition** | **Role Assessment Measurement System** | | |
| | Overall Group Role Assessment scores per Day Planner Category | Individual Role Assessment scores per Day Planner Category | Role Assessment scores per Day Planner Category |
| Improved first line leader effectiveness<br>n = 8 | Did the group of first line leaders' execution of tasks in the Day Planner improve per Business Area? | Did the individual first line leaders' execution of tasks in the Day Planner improve? | Did the scores per day planner category improve? |
| Frequency | 3 assessments (Baseline, 1st and 2nd ) | 3 assessments (Baseline, 1st and 2nd ) | 3 assessments (Baseline, 1st and 2nd ) |
| Duration | 1 day for each assessment per first line leader over a period of 5 weeks | 1 day for each assessment per first line leader over a period of 5 weeks | 1 day for each assessment over a period of 5 weeks |
| | | | |
| **Theoretical Proposition** | **Key Performance Indicator Measurement System** | | |
| | KPI Baseline Performance | KPI Target Performance | New KPI Performance |
| Improved team effectiveness<br>n = 90<br>**and**<br>Improved organisational performance<br>n = 5 | What was the baseline performance per KPI for the teams and business area before the intervention? | What should the baseline performance per KPI for the teams and business area be? | Did the performance per KPI for the teams and business area improve? |
| Frequency | Monthly | Once Off | Monthly |
| Duration | 6 months from April – September 2012 | Set before intervention | 6 months from April – September 2013 |

## 4.1 Competency Assessment Measurement System

### 4.1.1 Results

One of the limitations of this research was the period required between one competency assessment and the next. Participants in the research may leave the program or organisation, which will prevent a before and after competency assessment result comparison for these individuals.

The pre-competency assessments were conducted with 8 cases and the post-competency assessments were conducted with 7 cases. One case transferred to another department shortly before the post-competency assessments. The individual scores for the case that transferred was not taken into account with the calculation to compare the pre and post scores.

Barratt et al, (2011, p.331) suggested that 4-10 cases should be sufficient.

Figure 23 Pre and Post Overall Individual Scores vs. Pre and Post Overall Group Average provides a view on how the pre and post scores compare to each other for the essential and desirable competencies. The graph provides a view on the pre- and post-overall group average and the pre-and post-individual scores.

The pre-overall group average was 7.25 compared to the post-overall group average of 8.19.

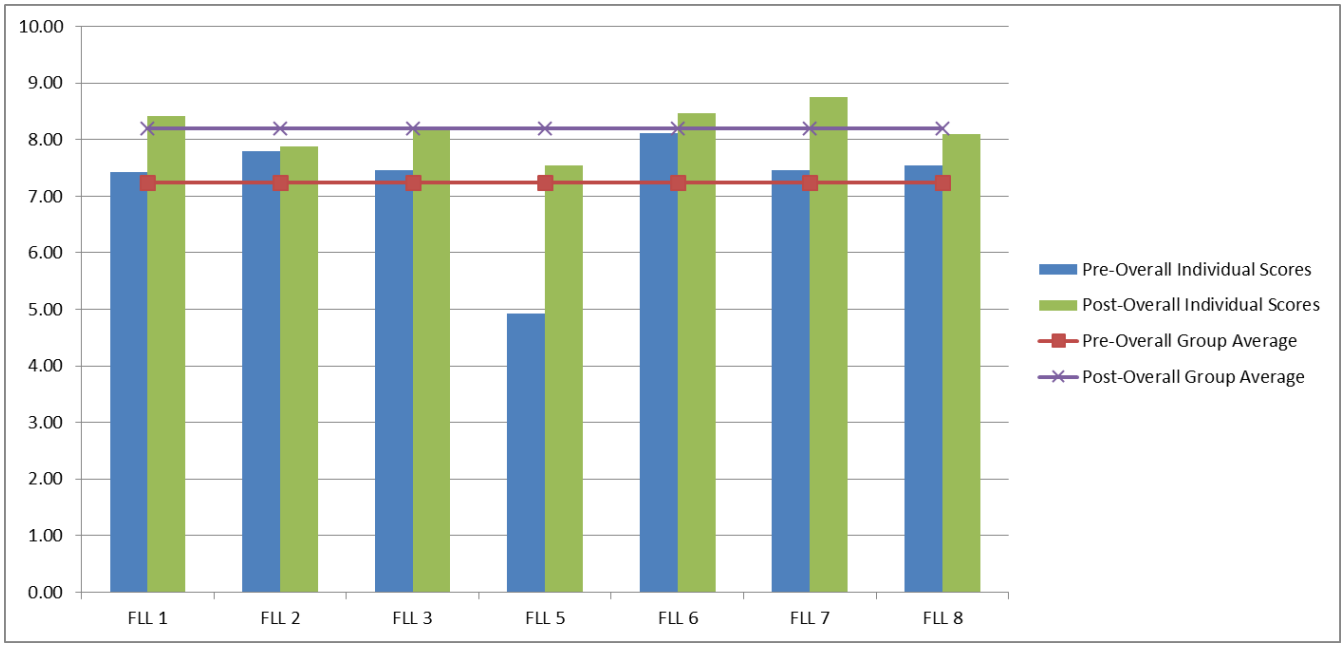



**Figure 23 Pre and Post Overall Individual Scores vs. Pre and Post Overall Group Average**

Figure 24 - Overall Integrated Scores per Competency provides a view on the integrated pre- and post-scores per competency for all the first line leaders for all the assessment tool results. For individual scores per competency refer to appendix Integrated Summary Scores per Competency per Individual.

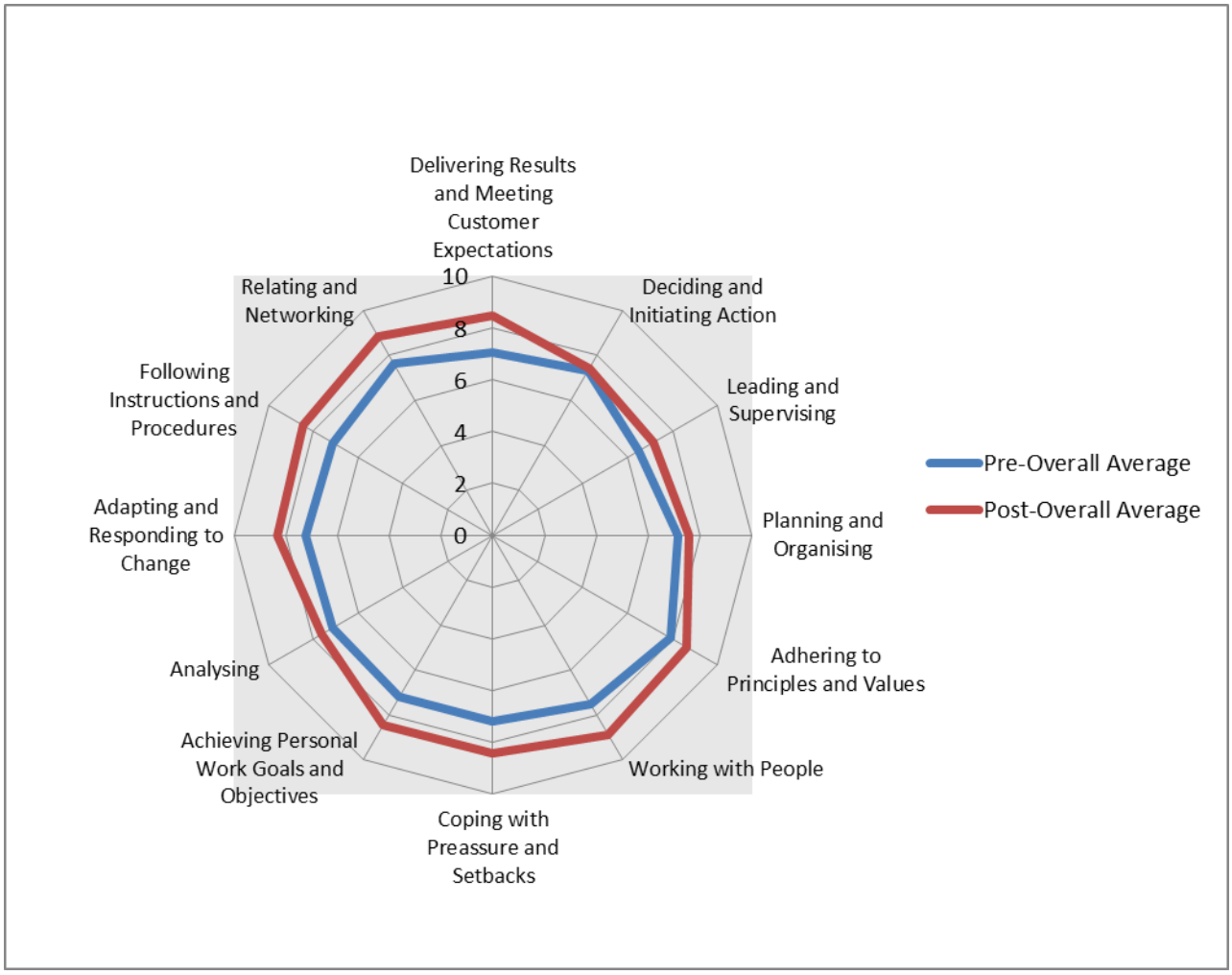



**Figure 24 - Overall Integrated Scores per Competency**

### 4.1.2 Analysis

| **Theoretical Proposition** | **Competency Assessment Measurement System** | | |
|---|---|---|---|
| | Pre & Post-Overall Group Average Score | Pre & Post-Overall Individual Scores | Pre & Post-Overall Integrated Scores per Competency |
| Improved first line leader effectiveness<br>Pre n = 7<br>Post n = 7 | Did the group of first line leaders' inherent capabilities improve? | Did the individual first line leaders' inherent capabilities improve? | Did the relevant competencies improve? |
| Analysis | The post-overall group average increased with 0.94 from 7.25 to 8.19.<br><br>All of the first line leaders improved and the improvement ranged between 1% and 53% as indicated below: | | |

| **First Line Leader** | **Pre-Score** | **Post-Score** | **Difference** | **% Change** |
|---|---|---|---|---|
| FLL 1 | 7.43 | 8.41 | 0.98 | 13% |
| FLL 2 | 7.80 | 7.89 | 0.09 | 1% |
| FLL 3 | 7.46 | 8.19 | 0.73 | 10% |

| | | | | |
|---|---|---|---|---|
| FLL 5 | 4.92 | 7.55 | 2.63 | 53% |
| FLL 6 | 8.12 | 8.46 | 0.34 | 4% |
| FLL 7 | 7.47 | 8.75 | 1.28 | 17% |
| FLL 8 | 7.54 | 8.09 | 0.56 | 7% |

All the competencies improved. The minimum improvement was 2% and the maximum 20% as indicated below:

| **Competencies** | **Pre-Overall Average** | **Post-Overall Average** | **Difference** | **% Change** |
|---|---|---|---|---|
| Delivering Results and Meeting Customer Expectations | 7.05 | 8.47 | 1.42 | 20% |
| Deciding and Initiating Action | 7.31 | 7.44 | 0.13 | 2% |
| Leading and Supervising | 6.47 | 7.17 | 0.70 | 11% |
| Planning and Organising | 7.13 | 7.58 | 0.45 | 6% |
| Adhering to Principles and Values | 7.92 | 8.63 | 0.71 | 9% |
| Working with People | 7.54 | 8.89 | 1.35 | 18% |
| Coping with Pressure and Setbacks | 7.17 | 8.43 | 1.26 | 18% |
| Achieving Personal Work Goals and Objectives | 7.21 | 8.45 | 1.24 | 17% |
| Analysing | 7.16 | 7.61 | 0.45 | 6% |
| Adapting and Responding to Change | 7.24 | 8.31 | 1.08 | 15% |
| Following Instructions and Procedures | 7.12 | 8.48 | 1.36 | 19% |
| Relating and Networking | 7.66 | 8.82 | 1.16 | 15% |

The hypothesis tests below will determine if sufficient evidence is present to conclude that the differences in the pre and post score means for individuals and for the competencies are significant. One-tail t-tests were used for both the individual and competency results with the entire alpha risk on the right tail to determine if the post score means are greater than the pre score means.

The following test statistic and distribution was used:

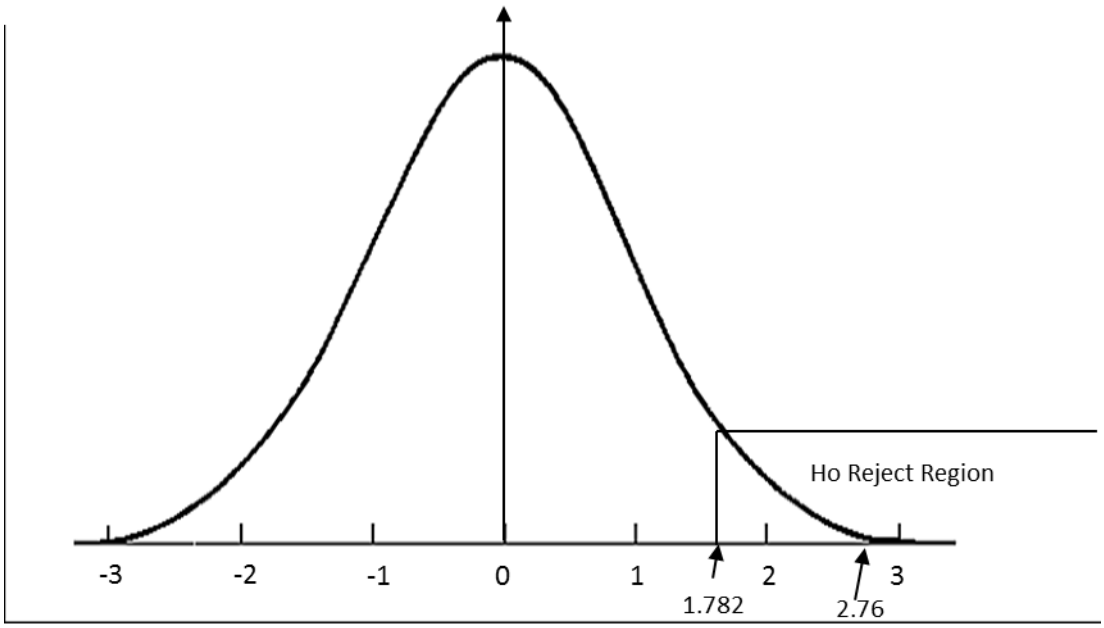
$$t = \frac{\bar{X}1 - \bar{X}2}{\sqrt{\frac{1}{n1}+\frac{1}{n2}}\sqrt{[(n1-1)s1^2+(n2-1)s2^2-(n1+n2-2)]}}$$

t distribution with Degrees of Freedom = $n1 + n2 - 2$.

The sample sizes were fixed due to the number of participants in the research and the number of competencies that were selected and tested. The following procedure was followed due to the fact that the sample sizes were fixed in advance:

0. State the practical problem.
1. State the null hypothesis and alternate hypothesis.
2. Choose a value for alpha.
3. Choose the test statistic for testing the hypothesis.
4. Determine the rejection region for the test.
5. Obtain data, compute the test statistic, and compare the value to the rejection region to decide to reject the hypothesis or not.
6. Draw the practical conclusion.

<table>
<tr><th colspan="2">Individual Scores</th></tr>
<tr><td>State the practical problem.</td><td>Did the group of first line leaders' inherent capabilities improve? The concern is therefore to show that the post scores are higher than the pre scores and that the difference is statistically significant.</td></tr>
<tr><td>State the null hypothesis and alternate hypothesis.</td><td>$H_o$: $\mu post = \mu pre$<br>$H_a$: $\mu post > \mu pre$</td></tr>
<tr><td>Choose a value for alpha.</td><td>0.05</td></tr>
<tr><td>Choose the test statistic for testing the hypothesis.</td><td>Degrees of freedom = n1 + n2 - 2<br>Test Statistic = 7 + 7 - 2 = 12<br>Test Statistic = 1.782</td></tr>
<tr><td>Determine the rejection region for the test.</td><td>t > 1.782</td></tr>
<tr><td>Obtain data, compute the test statistic, and compare the value to the rejection region to decide to reject the hypothesis or not.</td><td>
<table>
<tr><th>Name</th><th>Post-Overall Individual Scores (n1)</th><th>Pre-Overall Individual Scores (n2)</th></tr>
<tr><td>FLL 1</td><td>8.41</td><td>7.43</td></tr>
<tr><td>FLL 2</td><td>7.89</td><td>7.80</td></tr>
<tr><td>FLL 3</td><td>8.19</td><td>7.46</td></tr>
<tr><td>FLL 5</td><td>7.55</td><td>4.92</td></tr>
<tr><td>FLL 6</td><td>8.46</td><td>8.12</td></tr>
<tr><td>FLL 7</td><td>8.75</td><td>7.47</td></tr>
<tr><td>FLL 8</td><td>8.09</td><td>7.54</td></tr>
<tr><td>Mean</td><td>8.19</td><td>7.25</td></tr>
<tr><td>Std Dev</td><td>0.3964</td><td>1.055</td></tr>
</table>
$t = \frac{0.94}{0.3394}$<br>t = 2.76
</td></tr>
</table>




| | |
|---|---|
| Draw the practical conclusion. | t = 2.76 which falls in he reject region for Ho. Therefore sufficient evidence is present to conclude that the post scores per individual are higher than the pre scores per individual. |

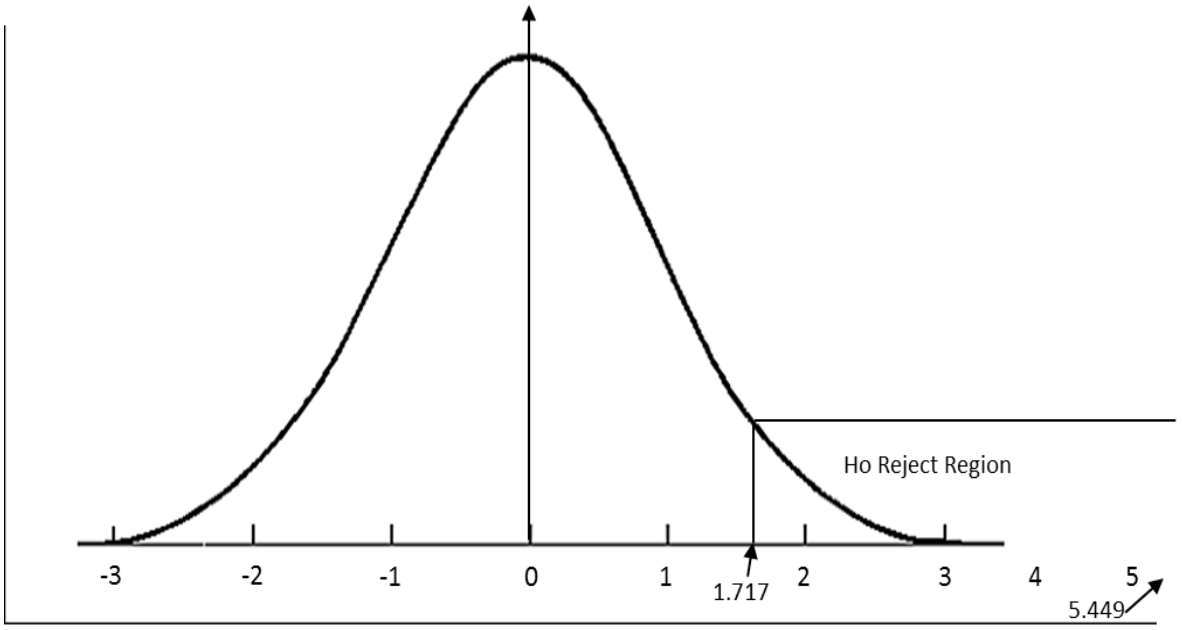
| **Competency Scores** | |
|---|---|
| State the practical problem. | Did the relevant competencies improve? The concern is therefore to show that the post competency scores are higher than the pre competency scores and that the difference is statistically significant. |
| State the null hypothesis and alternate hypothesis. | $H_o$: $\mu post = \mu pre$<br>$H_a$: $\mu post > \mu pre$ |
| Choose a value for alpha. | 0.05 |
| Choose the test statistic for testing the hypothesis. | Degrees of freedom = n1 + n2 - 2<br>Test Statistic = 12 + 12 - 2 = 22<br>Test Statistic = 1.717 |
| Determine the rejection region for the test. | t > 1.717 |
| Obtain data, compute the test statistic, and compare the value to the rejection region to decide to reject the hypothesis or not. | |

| **Competencies** | **Post-Overall Average** | **Pre-Overall Average** |
|---|---|---|
| Delivering Results and Meeting Customer Expectations | 8.47 | 7.05 |
| Deciding and Initiating Action | 7.44 | 7.31 |
| Leading and Supervising | 7.17 | 6.47 |
| Planning and Organising | 7.58 | 7.13 |

| | | | |
|---|---|---|---|
| Adhering to Principles and Values | 8.63 | 7.92 |
| Working with People | 8.89 | 7.54 |
| Coping with Pressure and Setbacks | 8.43 | 7.17 |
| Achieving Personal Work Goals and Objectives | 8.45 | 7.21 |
| Analysing | 7.61 | 7.16 |
| Adapting and Responding to Change | 8.31 | 7.24 |
| Following Instructions and Procedures | 8.48 | 7.12 |
| Relating and Networking | 8.82 | 7.66 |
| **Mean** | **8.19** | **7.25** |
| **Std Dev** | **0.5786** | **0.3558** |

$t = \frac{0.94}{0.1725}$

t = 5.449




| | |
|---|---|
| Draw the practical conclusion. | t = 5.449 which falls in the reject region for Ho. Therefore sufficient evidence is present to conclude that the post competency scores are higher than the pre competency scores. |

## 4.2 Role Assessment Measurement System

### 4.2.1 Results

The overall group role assessment results represent the average progress per day planner category for all the first line leaders over the five weeks of coaching. Figure 25 - Overall Role Assessment Results per Day Planner Category provides a view on the progress between the baseline, 1st and 2nd role assessments. See appendix Individual Role Assessment Results per Day Planner Category for detailed individual results.

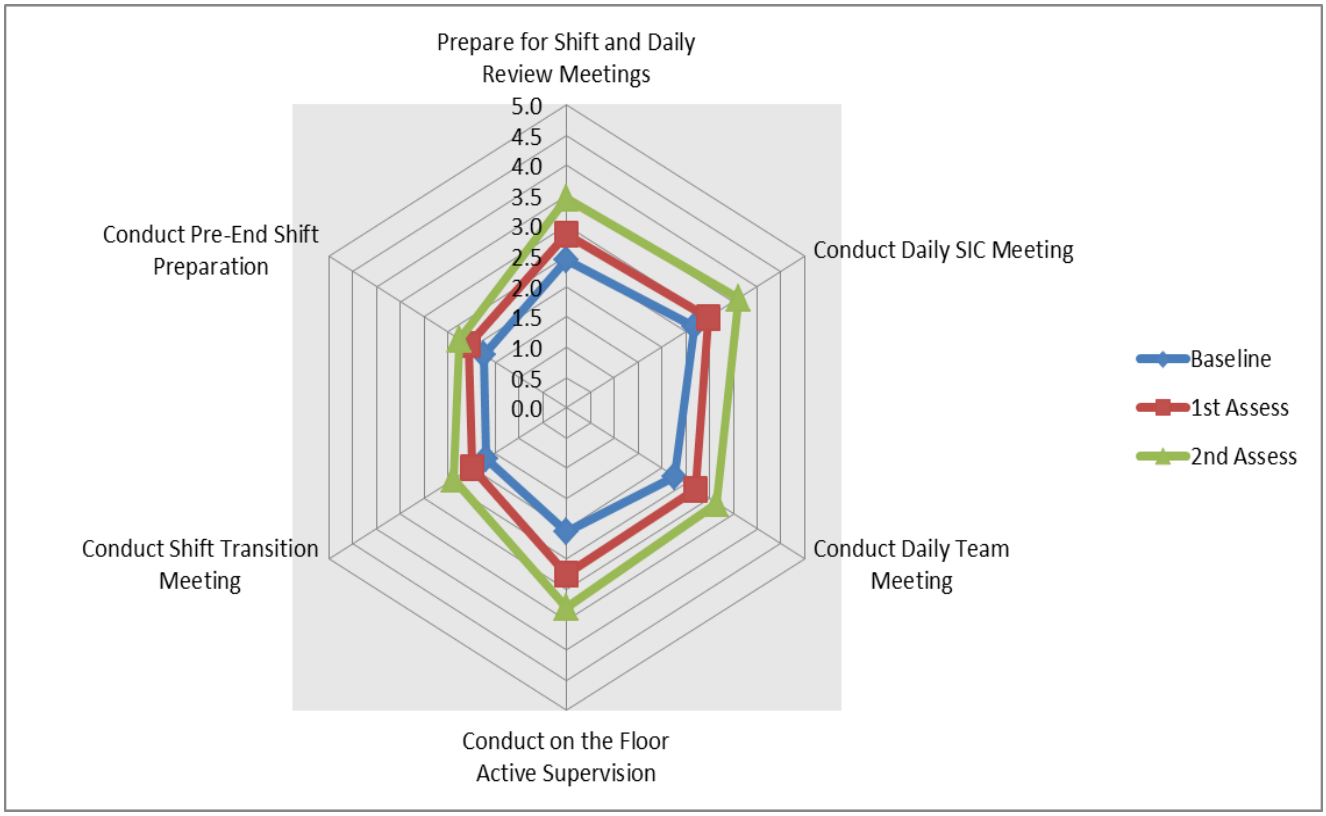



**Figure 25 - Overall Role Assessment Results per Day Planner Category**

### 4.2.2 Analysis

| **Theoretical Proposition** | **Role Assessment Measurement System** | | |
|---|---|---|---|
| | Overall Group Role Assessment scores per Day Planner Category | Individual Role Assessment scores per Day Planner Category | Role Assessment scores per Day Planner Category |
| Improved first line leader effectiveness n = 8 | Did the group of first line leader's execution of tasks in the Day Planner improve per Business Area? | Did the individual first line leader's execution of tasks in the Day Planner improve? | Did the scores per day planner category improve? |
| Analysis | The average improvement for SOS Inbound was 27%, SOS Glass was 26%, Immediate Resolution was 67%, Document Processing Centre was 54% and Requirements Management was 75%. | | |

The data indicates that all of the first line leaders in the group improved in the way that they execute their tasks in the day planner. The improvement percentage ranged from 23% to 75% per individual as indicated below.

| First Line Leader | Business Area | % Change |
|---|---|---|
| FLL1 | SOS Inbound | 25% |
| FLL2 | SOS Inbound | 29% |
| FLL3 | SOS Glass | 23% |
| FLL4 | Immediate Resolution | 74% |
| FLL5 | Immediate Resolution | 60% |
| FLL6 | Document Processing Centre | 54% |
| FLL7 | Requirements Management | 75% |
| FLL8 | SOS Glass | 29% |

All the categories on the day planner showed improvement (See below), with Conduct on the Floor Active Supervision showing the highest improvement by 62% followed by Prepare for Shift and Daily Review Meetings with 43%. Conduct Pre-End Shift Preparation showed the lowest improvement by 29% followed by Conduct Daily SIC Meeting with 34%.

| Day Planner Category | Baseline | 1st Assess | 2nd Assess | Change | % Change |
|---|---|---|---|---|---|
| Prepare for Shift and Daily Review Meetings | 2.4 | 2.9 | 3.5 | 1.0 | 43% |
| Conduct Daily SIC Meeting | 2.7 | 3.0 | 3.6 | 0.9 | 34% |
| Conduct Daily Team Meeting | 2.3 | 2.7 | 3.2 | 0.9 | 39% |
| Conduct on the Floor Active Supervision | 2.0 | 2.7 | 3.3 | 1.3 | 62% |
| Conduct Shift Transition Meeting | 1.7 | 2.0 | 2.4 | 0.7 | 41% |
| Conduct Pre-End Shift Preparation | 1.8 | 2.1 | 2.3 | 0.5 | 29% |

## 4.3 Key Performance Indicator Measurement System

### 4.3.1 Results

The key performance indicator (KPI) measurement system provided results for 5 business areas. This provided a view on the overall organisational performance, but also per first line leader or group of first line leaders (i.e. team performance).

For detailed information on each key performance indicator per business area refer to appendix Key Performance Indicator Scores.

## SOS Inbound

| Business Area | Performance Indicator | KPI Baseline Performance | Target Performance | New KPI Performance |
|---|---|---|---|---|
| **SOS Inbound - FLL 1 & 2** | Day Service Level | 77.79% | 85.00% | 84.20% |
| | Night Service Level | 94.60% | 90.00% | 95.20% |
| | Abandonment Rate Day | 3.19% | 3.00% | 2.50% |
| | Abandonment Rate Night | 1.82% | 3.00% | 1.20% |
| | Quality | 77.83% | 90.00% | 87.06% |
| | NPS [1] | 24.00% | 55.00% | 57.00% |
| | Agent Score | 8.00 | 9.00 | 8.68 |
| | Schedule Adherence | 83.00% | 90.00% | 90.00% |

**Table 8- SOS Inbound KPI Scores**

## SOS Glass

| Business Area | Performance Indicator | Baseline Performance | Target Performance | New Performance |
|---|---|---|---|---|
| **SOS Glass - FLL 3 & 8** | Day Service Level | 78.60% | 85.00% | 74.97% |
| | Abandonment Rate Day | 3.43% | 3.00% | 4.52% |
| | Quality | 80.00% | 90.00% | 87.55% |
| | Agent Score | 8.00 | 9.00 | 8.53 |
| | Schedule Adherence | 82.00% | 90.00% | 89.17% |

**Table 9 - SOS Glass KPI Scores**

## Document Processing Centre

| Business Area | Performance Indicator | Baseline Performance | Target Performance | New Performance |
|---|---|---|---|---|
| **Document Processing Centre - FLL 6** | TAT | 08:00 | 04:00 | 02:45 |
| | Quality | 94.60% | 100.00% | 97.37% |

**Table 10 - Document Processing Centre KPI Scores**

[1] Only 3 measurement points taken (3 months)

**Requirements Management**

| Business Area | Performance Indicator | Baseline Performance | Target Performance | New Performance |
|---|---|---|---|---|
| **Requirements Management – FLL 7** | TAT | 88.00% | 80.00% | 89.50% |
| | Quality | 94.60% | 90.00% | 99.21% |

**Table 11 - Requirements Management KPI Scores**

**Immediate Resolution**

| Business Area | Performance Indicator | Baseline Performance | Target Performance | New Performance |
|---|---|---|---|---|
| **Immediate Resolution – FLL 4 & 5** | TAT | 10:24 | 08:00 | 02:20 |
| | Quality | 92.00% | 90.00% | 88.71% |
| | LEO | 1.74% | 0.50% | 0.48% |
| | NPS[2] | 59.00% | 60.00% | 59.67% |
| | Internal Agent Score | 8.57 | 8.00 | 8.75 |

**Table 12 - Immediate Resolution KPI Scores**

### 4.3.2 Analysis

| Theoretical Proposition | Key Performance Indicator Measurement System | | |
|---|---|---|---|
| | KPI Baseline Performance | KPI Target Performance | New KPI Performance |
| Improved team effectiveness n = 90 **and** Improved organisational performance n = 5 | What was the baseline performance per KPI for the teams and business area before the intervention? | What should the baseline performance per KPI for the teams and business area be? | Did the performance per KPI for the teams and business area improve? |
| Analysis | Overall 19 (86%) of the 22 key performance indicators across the 5 business areas showed improvement. 12 (55%) of the key performance indicators reached the target performance.<br><br>**SOS Inbound**<br>All the key performance indicators in the SOS Inbound business area showed improvement. The service levels (day and night) increased and it was followed by a decrease in the call abandonment rate. Quality of the calls and the service provided increased and the net promoter score (NPS – Customers rate the service they just received) increased substantially. The schedule adherence (actual vs. planned) | | |

[2] Only 3 measurement points taken (3 months)

| | | |
|---|---|---|
| | increased which indicates that the planning and control is executed more effectively. Most of the key performance indicators in the SOS Inbound business area reach or exceeded the target performance. | |
| | **Performance Indicator** | **% Change** |
| | Day Service Level | 8% |
| | Night Service Level | 1% |
| | Abandonment Rate Day[3] | -22% |
| | Abandonment Rate Night[4] | -34% |
| | Quality | 12% |
| | NPS | 138% |
| | Agent Score | 8% |
| | Schedule Adherence | 8% |
| | **SOS Glass**<br>Day service levels worsened in the SOS Glass area, and this trend also showed in the increase of the call abandonment rate. None of the key performance indicators reached target performance although quality, agent score and schedule adherence performance increased.<br><br>During feedback to the business area on the results it became evident that new business processes were introduced in the business area. This will explain the reduction in day service levels and the abandonment rate as it took some time for the business to stabilise. It was encouraging to see that the schedule adherence improved during this time of instability. | |
| | **Performance Indicator** | **% Change** |
| | Day Service Level | -5% |
| | Abandonment Rate Day | 32% |
| | Quality | 9% |
| | Agent Score | 7% |
| | Schedule Adherence | 9% |
| | **Document Processing Centre**<br>Turnaround time (TAT) in the Document Processing Centre showed a significant improvement. The improvement in this indicator has a significant impact on the rest of the processes as documents reach the agents quicker for processing, which in turn should have a positive impact on overall turnaround time. Quality also increased from an already high level, but did not reach the target performance level. | |
| | **Performance Indicator** | **% Change** |
| | TAT | 66% |
| | Quality | 3% |
| | **Requirements Management**<br>All the performance indicators in the Requirements Management Area showed improvement and reached the target performance. Quality also increased from an already high level. | |
| | **Performance Indicator** | **% Change** |
| | TAT | 2% |
| | Quality | 5% |
| | **Immediate Resolution** | |

[3] Decrease is good

[4] Decrease is good

| | | |
|---|---|---|
| | Turnaround time and loss of economic opportunity (LEO) in the Immediate Resolution Area showed a significant improvement. Quality decreased but the trend is upwards. Most of the performance indicators with the exception to quality and net promoter score (NPS) reached the target performance. | |
| | **Performance Indicator** | **% Change** |
| | TAT | 78% |
| | Quality | -4% |
| | LEO | -72% |
| | NPS | 1% |
| | Internal Agent Score | 2% |

# 5 Chapter 5 - Investigational Results Discussion

The objective of this research was to determine if more capable first line leaders will manage their resources more effectively. The theoretical propositions of this research were that improved capabilities and operations management skills should lead to improved first line leader effectiveness which should drive improved team effectiveness and should result in improved organisational performance.

This research project developed, implemented, tested and evaluated a conceptual framework to address the theoretical propositions mentioned above.

The role assessment measurement system scores evaluated the improved operations management skills. The operations management skills are related to how well the first line leader executes the job. Bartram (2008) states that 'a job description indicates the nature of the work in terms of the tasks involved, its functions, methods and procedures employed and standards of performance that is required'. The understanding obtained from the job description was further used to develop a day planner and standard work principles were applied to the day planner. One of the uses of standard work is leader-level standard work. The aim is to create a schedule of tasks with activities that must be executed at regular intervals by people on the same level. (Bicheno and Holweg, 2009).

Mintzberg (1989) stated that 'the first line leader performs similar roles to top management, just within their own teams'. Pycraft, et al. (2010) stated that 'these teams use the work processes and technology of the organisation to deliver the required products and services'.

It can therefore be argued that if a first line leader executes the tasks, methods and procedures better, then he/she will be a more effective leader, and that the teams that they manage will use the process and the technology of the organisation more effectively to deliver the required products and services. The role assessment scores provided a view on whether the individual first line leaders improved, whether the tasks within the day planner were executed better, and whether the first line leaders within a business area improved. All the first line leaders showed improvement on how they execute the day planner tasks across all the business areas. This can be correlated with the improvement in the key performance indicators per business area. The author also believes that by standardising the day planner (Leader level-standard work) across the first line leaders and business areas contributed to the improvements in the key performance indicators as they executed the tasks in the same way at roughly the same time. The Prepare for Shift and Daily Review Meetings improved by 43%, which means that the planning for the day and the communication to the staff about operations improved. The author believes that the improvement mentioned in the previous point and the 62% improvement in Conduct on the Floor Supervision (Walking the floor and controlling production) contributed to the overall organisational performance improvement. One concern that was observed during deployment was that the first line leaders obtained new operations management skills which were not necessarily skills known to their line managers. This could have potentially caused a risk to progress that were made during the coaching as a line manager could have nullified the progress made by instructing the first line leader to revert to their old ways. This situation was created by the fact that line managers did not attend the training sessions and the context that was

created for the first line leaders was not created for the line managers. It was also expected from the line managers to take over from the coaches after the coaching period came to an end to ensure sustainability, which could have created a risk if the line managers where not familiar with the context that was created and if they were not familiar with coaching principles. The line managers in the environment where the conceptual framework was tested were very competent and mature, and the author believes that this mitigated the risk mentioned.

The competency assessment measurement system scores evaluated the improved capabilities. Competencies are defined as 'sets of behaviours that are instrumental in the delivery of desired results (Bartram, 2005, p.1187)'. In the business environment, these competencies are behaviours that support the attainment of organisational objectives (Bartram, 2012, p.3). Therefore, if a first line leader's inherent capabilities improve, then it can be argued that he/she will be a more effective leader.

The hypothesis testing that was conducted in section 4.1.2 was concerned with the fact that the post scores for the individuals and the competencies were higher than the pre scores. Based on the results of the tests that were performed, both the calculated values were within the reject region of the null hypothesis, therefore sufficient evidence was present to conclude that the post scores were higher than the pre scores for both the individual and competency scores. One of the eight pre-assessment cases (FLL5) scored marginal – moderately low. Theoretically speaking this first line leader should not be considered to be in the position as the probability for this person to deliver the desired results will be low. Gurdjian et al (2014) states that leaders struggle to transfer even their most powerful off-site experiences into changed behaviour on the front line. Kolb's Experiential Learning Theory (McCarthy, 2010) defines experiential learning as 'the process whereby knowledge is created through the transformation of experience. Knowledge results from the combination of grasping and transforming experience'. The Immediate Resolution business area which FLL5 managed showed a significant improvement in their key performance indicators. The author believes that the improvement across all the first line leaders, and in particular in FLL5 can be explained by the fact that a coach assisted the first line leaders to implement their new skills in a performance environment and that the first line leader received positive feedback from the performance environment, which caused the individual to part with old ways, causing them to change their behaviour, and accepting the new way of doing things. All the competencies showed an improvement after the engagement and the author believes that this enabled the competency profile which was to plan, lead, organise and create the culture needed to execute on the company's strategic objectives.

A further proposition was that more effective first line leaders should drive improved team effectiveness and should result in improved organisational performance. It can therefore be argued that team and business area effectiveness can be measured in terms of organisational performance. The key performance indicator measurement system scores evaluated this and the results indicated that the majority of the key performance indicators improved and some of them reached the required target or performed better. The author believes that tools from the training content and other principles like short interval control, visual management, problem

solving, root cause analysis and overall professional effectiveness (Bicheno and Holweg, 2009) had a major contribution to the results. The 5 week coaching period was limited and the author believes that by allowing more coaching time in the above tools could have resulted in further improvements.

It is also relevant in this section to discuss why leadership development programs fail and determine if the program's success can be attributed to the fact that it addressed some of the common mistakes that are made in leadership development programs.

Gurdjian et al (2014) states that 'by addressing four common mistakes can help companies to have more successful leadership development programs'.

These mistakes are:

- Overlooking context;
- Decoupling reflection from real work;
- Underestimating mind-sets; and
- Failing to measure results.

Gurdjian, et al. (2014) states: 'Context is a critical component of successful leadership' and that it is 'important in the early stages of planning a leadership initiative that organisations asks themselves what precisely is the program for'. Gurdjian, et al. (2004) indicates that by 'focusing on context essentially means equipping leaders with a small number of competencies that will make a significant difference to overall organisational performance'. Gurdjian, et al. (2014) states 'We have found that when a company cuts through the noise to identify a small number of leadership capabilities essential for success in its business that it achieves far better outcomes'. The competency system used in the conceptual framework addressed this issue and 9 essential competencies were selected. Section 2.1.1 discussed competency based assessment approaches and stated that one way to start competency modelling is by asking the question of 'What is this organisation trying to achieve?' (Bartram, 2008). Bartram (2008) further states that 'the answer to this question should be a set of objectives or outcomes and criteria for recognising when they have been achieved. The following questions can then be asked: 'How are these going to be achieved?' and 'What are the competencies necessary for the organisation to be able to achieve these outcomes?' Gurdjian, et al. (2014) further states that 'context is as important for groups and individuals as it are for organisations as a whole'. The training and coaching systems in the conceptual framework ensured that clear direction and purpose was created and that scorecards cascaded downwards to individual levels. First line leaders were also responsible for creating a bumper sticker that they had to use to create clear purpose and direction for their teams. The program created sufficient context on the first line leader and line manager levels (although the author believes that the context for line managers can be improved), but no context was created on the level below the first line leaders (team members). The author believes that by possibly creating sufficient context on this level could improve the effectiveness of the teams and the implementation of the new tools and behaviours.

Gurdjian, et al. (2014) states that 'adults typically retain just 10 percent of what they hear in classroom lectures, as opposed to nearly two-thirds when they learn by doing. Leaders, no

matter how talented, further struggle to transfer even their most powerful off-site experiences into changed behaviour on the front line i.e. decoupling reflection from real work'. The training and coaching systems used in the conceptual framework facilitated the training, but then also allowed the leader to practise his/her newly found skills in a performance environment under guidance of a coach. This allowed the first line leaders to experience the changes they made in the real work environment. Gurdjian et al (2014) states: 'The ability to push training participants to reflect, while also giving them real work experiences to apply new approaches and hone their skills, is a valuable combination'. The author believes that because the training material adhered to Knowles' theory of andragogy made the training relevant to the first line leaders environment and coupled with the fact that the coaching adhered to Kolb's experiential learning theory (McCarthy, 2010) where the first line leaders went through the full circle, contributed significantly to the retention of knowledge and the actual implementation of this knowledge in the front line.

Gurdjian, et al. (2014) also states that 'too often organisations are reluctant to address the root causes of why leaders act the way they do. Doing so can be uncomfortable for participants, trainers, mentors and bosses'. Gurdjian, et al. (2014) states that 'identifying some of the deepest thoughts, feelings, assumptions and beliefs are usually a precondition of behavioural change'. Certain modules in the training material used were designed to address this specific issue.

Lastly, Gurdjian, et al. (2014) states: 'We frequently find that companies pay lip service to the importance of developing leadership skills but have no evidence to quantify the value of their investment. One approach to assess the impact of behavioural change is through 360° feedback and to try and monitor the business impact'. The conceptual framework had three measurement systems that measured change and the impact on business.

# 6 Chapter 6 - Conclusion and Recommendations

Section 1.1.1 discussed the fact that the operations function in an organsation requires the arrangement of resources, and that this arrangement requires a person or persons in the organisation to manage some or all of the resources in the operations function (Pycraft, et al., 2010).

Mintzberg (1989) stated that 'this person is the first line leader. A first line leader is a person who is in charge of people or who direct the work or take responsibility for the work of others'. Mintzberg (1989) further states that 'the main responsibility of a first line leader is to ensure that the people produce the required throughput, when they are required to do it and at the right levels of quality, costs and safety'.

This established a causal link between first line leader effectiveness, team effectiveness and overall organisational performance.

Section 1.1.2 mentioned that Bartram (2008) stated: 'Organisations do not always understand the role and responsibilities of a first line leader, let alone the competencies that are required to be able to do the job' and that this 'understanding of a role is obtained through job analysis using multiple methods to obtain the required information'.

Bartram (2008) indicated that there are two main outcomes from a job analysis of which one is a person specification and states that 'a person specification indicates the nature of the people who do the work. It describes the knowledge, skills, ability and other characteristics a person would require to perform the job effectively' i.e. to execute the work. Competency based approaches were developed to assist with the development of person specifications (Bartram, 2008).

By just understanding the role, responsibilities and competencies required to perform the job does not mean that the first line leaders will do the job well.

***Then the question begs, how can organisations understand the first line leader role, responsibilities and competencies required to improve the effectiveness of a first line leader, through a structured leadership development program of individual assessments, training and targeted coaching, thus, improving team effectiveness and overall organisational performance?***

The author believes that one answer to this is to use an integrated multi-method systems approach to leadership development as described in Figure 15 - First Line Leader Conceptual Framework – Component View that creates context, understands the mind sets, and allows for the implementation of newly facilitated knowledge in the real working environment under guidance of a coach while measuring progress on an individual and organisational performance level.

The theoretical propositions of this research were that improved capabilities and operations management skills should lead to improved first line leader effectiveness which should drive improved team effectiveness and should result in improved organisational performance.

The results that were analysed in section 4 and discussed in section 5 showed that the effectiveness of the first line leaders improved and so did the overall organisational performance for the business areas that were involved.

It can therefore be argued that:

1) First line leader effectiveness improved; therefore
2) Team effectiveness improved; therefore
3) Overall organisational performance improved.

## 6.1 Recommendations as a Result of this Study

The following changes are recommended to the program:

- Communication must be conducted before the competency assessments that explain in detail how the competency assessments will be used to eliminate fear of these tests
- All line managers must attend the training. It was found that the line managers did not "grow" with the first line leaders as they were not exposed to the training content and tools, which provided a possible hurdle to sustainable improvement after the handover was concluded.
- All line managers must be formally prepared to take over from the coaches after the coaching. A module should be developed and added to train line managers on how to be coaches.
- Coaching should be increased to a minimum of six to seven weeks.
- Climate creation workshops consisting of content from the training modules should be introduced in the program to create context for team members and should be done on an educational process basis to inform the team members what their role and contribution will be in the engagement.

## 6.2 Recommendations for Further Research

- The program should be updated with the recommendations mentioned in section 6.1 and executed in more human activity systems in different industries.

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# 8 Appendices

## 8.1 List of Abbreviations

| | |
|---|---|
| CATWOE | A mnemonic which defines the elements of a root definition of a system. It stands for Customer, Actor, Transformation Process, Weltanschauung, Owner and Environmental |
| UCF | Universal Competency Framework |
| SHL | SHL Group Limited |
| OPQ 32 | Occupational Personality Assessment |
| OPE | Overall Professional Effectiveness |
| 360° | Wave Performance 360° |
| AC | Assessment Centre |
| TAT | Turnaround Time |
| LEO | Loss of Economic Opportunity |
| KPI | Key Performance Indicator |
| NPS | Net Promoter Score |
| T&M | Time and Motion studies |
| HTA | Hierarchical Task Analysis |
| CTA | Cognitive Task Analysis |
| TIA | Task Inventory Analysis |
| CIT | Critical Incidents Technique |
| FJA | Functional Job Analysis |
| RGA | Repertory Grid Analysis |
| JEM | Job Elements Method |
| ARS | Ability Requirements Scale |
| PAQ | Position Analysis Questionnaire |
| TTA | Threshold Trait Analysis |
| PPRF | Personality-related Position Requirements Form |
| WPS | Work Profiling System |

**Table 13 - List of Abbreviations**

## 8.2 First Line Leader Observations

| OBSERVATION LOG SHEET |
| --- |
| "DAY PLANNER" |
| **FIRST LINE LEADER "DAY PLAN" CONTENTS** |
| **PREPARE FOR SHIFT & DAILY REVIEW MEETINGS** |
| Extract the performance data and update assignments codes onto the Agent Visual Performance Board (Cubicle per Agent)<br><br>Performance Data:<br>- Office Housekeeping (Adherence Code)<br>- Noise Monitoring (Adherence Code)<br>- Previous shift Inbound, Outbound & Mail performance confirmation<br>- Available vs. Not Available capacity for the day<br>- Identification of work queue status at the beginning of shift<br>- Review of due Action log items<br>- Add new Corrective Actions confirmation |
| Prepare lost capacity performance data against each Agent.<br>-Communicate downtime codes with each agent<br>-Consolidate overall lost capacity team performance and define corrective action required |
| Prepare for the SIC Meeting:<br>- Review due action log items<br>- Prepare availability assessment:<br>* FLL needs to present how they managing lost capacity due to personnel or Agent not being at work: announce lost capacity in terms of downtime codes collected against each individual / Agent.<br>* FLL needs to demonstrate how he / she is managing lost capacity related to Agents shift utilisation "compliant to schedule in terms of planned work hours"<br>This includes break time / unavailable codes - Login / Logout report |
| Assess Agents call turnaround times "Any call that exceeds 10minutes" needs to be accompanied by a queue work down report prepared for SIC Meeting |

| |
|---|
| Set expectations to each Agent of what is to be achieved in terms of: Quantity, Quality & Time including shift conduct behaviour availability<br>(time attendance, breaks...etc.)<br>Set the Context (i.e. Big Picture) for the tasks.<br>Communicate the purpose and intended outcomes of the tasks<br>Explain the Quantity of the output required<br>Describe the Quality necessary<br>Confirm the Resources available<br>Set a specific time for completion & follow-up on progress against plan |
| Give detailed instructions – communicate the specific methods & process to be used.<br>How do I confirm that requirements have been understood by Agent.<br>Agree on the task at hand with the individual Agent |
| Review and prepare corrective action logs |
| **CONDUCT DAILY "SIC" MEETING** |
| Announce Corrective Action Items status feedback making use of the Corrective Action Log. This includes:<br>*Previous Shift Productivity Results including variances<br>*Availability management (Absentee/Planned and Un-planned Leave)<br>Daily Assessment Report<br>*Login / Logout Report<br>Daily Timekeeping Control<br>*Capacity Balancing Report<br>(Perceived Overtime Requirement Forecast)<br>*Daily Weekly Operating Report Productivity per Agent |
| Attendance and timekeeping: Give feedback about the day plan starting with announcing who is at work, who will be late, how many agents are available.... |
| Review previous shift (agent utilisation, services levels, abandon rate, transfer rate, call volumes), understand the deviations, why & what action was taken (have Previous day SIC / Visual Management Board. |
| Emphasise outstanding actions progress review as per Action Log listed items |
| **CONDUCT DAILY TEAM MEETING** |
| Provide feedback to Agents based on the outcome of the SIC status meeting |
| Announce queue status imbalances action of previous shift performance per Agent |

| |
|---|
| Inform / make follow up to Team about:<br>- Leaning Topic of the week<br>- Publicly display information that will enhance performance visibility, to promote peer to peer competitiveness to enhance communication and high performance culture awareness.<br>Communicate learning topic for the week<br>- Discussed and shared from management during strategic meeting.<br>- FLL is required to review Agents performance incorporation with the Learning Topic for the week(Update codes adherence to the communication). |
| Evaluate & reinforce action log expectations of appropriate agent performance habits and behaviour |
| Discuss learning topics with each Agent |
| Circulate daily / weekly matrices with the following supporting information:<br>Individual / Agent Productivity Trend Analysis<br>Rework Trend Analysis<br>Quality Analysis<br>SLA Trend Analysis |
| Evaluate feedback provided by Agents on the general column.<br>Review action items, record and agree timeframe on new action items to remove any barriers to achieving the shift plan. |
| **"On The Floor" ACTIVE SUPERVISION** |
| Monitor performance to plan and record details and possible deviations during shift “intervals” onto the Agents Performance Visual Log |
| Monitor performance to plan and assist in addressing variances "Making use of a Short Interval Control Log" |
| Review and update Action Log items onto the Business Unit Performance Board |
| Assign detailed instructions per Agent on how tasks are to be performed and when will I make a follow up during the shift.<br>Exercise: What is it that I need to check and communicate when I coach and supervise Agents on how to execute tasks during shift.<br>monitor, keep in touch, follow-up and make adjustments to plans when needed”;<br>“understanding variances” and “taking corrective actions” "Update Progressive Checklist |
| Have a Short Interval Control checklist on hand ‘checking in’ to ensure that all occurrences are on track "per hour interval" and are progressing to the plan |
| Prepare Walk the Floor check-list in order to cover key points during the follow up, remain on track with specifics. |
| Record any new actions required on the Action Log and Follow Up record. |

Carry out the Walk the Floor at least 4 rounds a day (between 09h30 & 15h30), using Active Supervisory Behaviours and assessing the specifics of the process against Plan - Actual – Variance
- Making Assignments
- Giving Direction
- Following Up
- Provide Feedback
- Coaching & Support
- Solving Problems
- Report and Review Performance

“Individual follow-up”; “Daily catch-ups” ; “One-on-Ones”

Analyse shift progress performance in-regards to Incoming Calls, Queries agent floor conduct, client correspondence together with Work-Force Management Leader and MIS Specialist every shift 2hrs interval

**CONDUCT SHIFT TRANSITION MEETING**

From 15h30 Shift Transition Meeting is carried out between FLL & the BU Manager. The morning results are reviewed. Focus on Utilisation, Service Levels & Abandon rate. Barriers encountered are discussed and action plan is recorded for inclusion in the following days plan

**PRE-END SHIFT PREPARATION**

Pre-plan outstanding Activity List items actions progress review as per Action Log listed items. Prepare for next day.

## 8.3 Competency Profile

# COMPETENCY PROFILE: LEADER OF OTHERS

**Purpose**

To plan, lead, organise, and create the culture needed to execute on our strategic objectives

**Objectives**

- **To lead teams**
  - To ensure that service levels are met
  - To identify and solve problems
  - To be available and ensure availability of leaders
  - To be visible and "walk the floor"
- **To create the climate necessary for teams to deliver**
  - To create an open and fun climate
  - To gauge morale and harness diversity
  - To communicate and manage change
  - To acknowledge and celebrate success
  - To provide support and encouragement to the team
- **To manage people**
  - To ensure that the right people are in the right roles
  - To conduct performance reviews
  - To recognise good performance
  - To identify training needs and ensure that staff are trained
  - To coach and develop staff
  - To ensure adherence to the code of conduct
  - To manage succession
- **To manage capacity**
  - To set targets and ensure that they are met
  - To ensure that schedules are adhered to
  - To work across boundaries to deliver exceptional customer value
  - To ensure load balance
  - To drive service delivery by ensuring high quality and turn-around time
- **To manage cost**
  - To track and manage transactional cost
  - To provide input into the budget

  - To develop a cost-conscious culture
- **To manage and improve operations**
  - To identify and eliminate waste
  - To ensure and manage continuous improvement
- **To manage the teams' performance**
  - To set targets
  - To measure performance
  - To continuously communicate and discuss performance
  - To engage other stakeholders regarding the teams' performance
  - To display results through visual management techniques

**Knowledge**

- Industry knowledge
- Knowledge of Call Centre function and operations (telephony, workplace scheduling, metrics)
- Knowledge of Santam operating procedures
- Relevant product knowledge
- Relevant system knowledge
- Knowledge of management principles
- Finance for non-financial managers (budgeting, managing transactional costs)
- People management

**Skills**

- Computer skills (MS Office – intermediate; MS Project – beginner)
- Communication skills – verbal and written
- Change management skills
- Problem solving and decision making skills
- Conflict management and negotiation skills
- Performance management skills
- Coaching skills (goal setting)
- Relationship building skills
- Project management (beginner)
- Continuous improvement skills (innovation)
- Customer relationship management skills

**Experience**

- 2 years Call Centre experience (functional)
- 2-3 years Insurance experience (industry)
- 2-3 years Management experience (leadership)

**Education**

- Minimum requirement: Grade 12
- Preferable: Degree or National Diploma (NQF 6) with attendance in Insurance programs (NQF 5)

**Competency Ranking**

**Essential**

- Delivering Results and Meeting Customer Expectations
- Deciding and Initiating Action
- Leading and Supervising
- Planning and Organising
- Adhering to Principles and Values
- Working with People
- Coping with Pressures and Setbacks
- Achieving Personal Work Goals and Objectives
- Analysing

**Desirable**

- Adapting and Responding to Change
- Following Instructions and Procedures
- Relating and Networking

**Less Relevant**

- Persuading and Influencing
- Presenting and Communicating Information
- Writing and Reporting
- Applying Expertise and Technology

- Learning and Researching
- Creating and Innovating
- Formulating Strategies and Concepts
- Entrepreneurial and Commercial Thinking

## 8.4 Individual Development Plan Example

### INDIVIDUAL FEEDBACK REPORT

| | |
|---|---|
| **NAME** | Name A |
| **SURNAME** | Surname X |
| **BUSINESS UNIT** | POM |
| **DATE OF REPORT** | 2013 |
| **REPORT GENERATED BY** | Person X |

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### 1. BACKGROUND

The key to developing a development plan is to identify the right development need. The focus of the first part of the discussion is to determine what your real need is. Your assessment results will form the basis for the discussion. Many times you have to select a few that together equal your real need. In the discussion one has to identify the true underlying need, not just what's showing on the surface.

Development needs fall into two broad categories –Technical skills development and Management and soft skills development.

The input for the development consists of two sources:

a. The role assessments from the Day Planner

b. The competency assessment

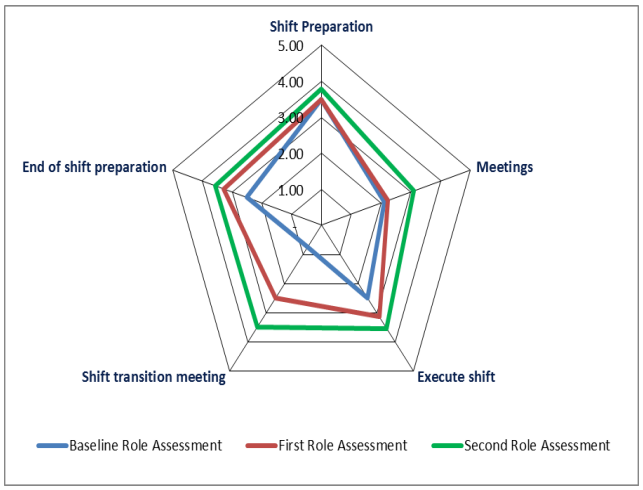
After you have identified the development needs, you have to complete the development plan template.

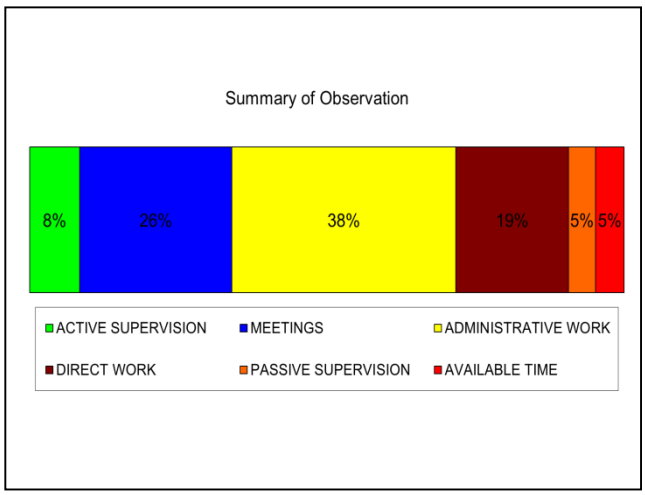
In order to make the discussion easier for you, your Role Assessment results are included in point 2 below.

To identify your competency development needs, you can use the competency assessment report.

## 2. FEEDBACK SUMMARY

### Role Assessment Results (See Appendix A)




| COMPETENCIES | COMMENTS / STRESS POINTS |
|---|---|
| **SHIFT PREPARATION** | X has some new challenges ahead of her (CRM) - Maintain the momentum of applying the huddle meeting and the agenda; continue to update the KPI's on the visual performance management board and engage with the team regarding progress. Keep an eye on queue status and the telephone KPI's and adjust resources as the day progresses. Formulate clear instructions to the IC's. More focus on assessing trends (i.e. absenteeism) and propose plan to address problem. |
| **MEETINGS** | Improve the flow of information from the huddle meeting into the morning Team Managers meeting. Use this platform to discuss challenges and issues from the previous day. Continue to discuss planned versus actual performance. Discuss short interval control processes and challenges. More focus on goals for the day, how are these going to be achieved and with what resources |
| **EXECUTE TASKS** | Short interval controls are improving and this must not simply be a check-in exercise. Walking the floor should be more interactive with focused discussion with IC's concerning interval performance. X will be able to gauge actual performance with the goals. More engagement with the Work Force Management team will assist her to understand team planning, adherence and discipline. X has become more confident and assertive; as such she must use this |

| | |
|---|---|
| | to her advantage when delegating work and apply team strengths when doing so. |
| **CONDUCT TRANSITION MEETING** | The immediate manager will need to engage informally/formally with X to discuss the highlight/lowlights of the days. Follow up on any outstanding items discussed during the morning team managers meeting. |
| **END OF SHIFT PREPARATION** | Maintain the focus to complete and close out items still left to do. Review the performance for the day and identify any learnings that can be brought forward. |

## 3. COMPETENCY ASSESSMENT FEEDBACK

Please refer to the assessment feedback report and Appendix B & C for input.

| COMPETENCIES | COMMENTS / STRESS POINTS |
|---|---|
| **DELIVERING RESULTS AND MEETING CUSTOMER EXPECTATION** | |
| **DECIDING AND INITIATING ACTION** | In order to improve this, she will need to be able to make quick and clear decisions which may include tough choices or considered risks |
| **LEADING AND SUPERVISING** | X needs look out for ways to motivate and empower her staff |
| **PLANNING AND ORGANISING** | More collaboration between her colleagues together with monitoring performance against deadlines and milestones |
| **ADHERING TO PRINCIPLES AND VALUES** | |
| **WORKING WITH PEOPLE** | X's situation will improve if she consults with others and shares information and expertise with them |
| **COPING WITH PRESSURES AND SETBACKS** | |
| **ACHIEVING PERSONAL WORK GOALS AND OBJECTIVES** | |
| **ANALYSING** | More focus on forecasting and assessing trends and by demonstrating an understanding of how one issue may be a part of a much larger system |
| | |

| | |
|---|---|
| ADAPTING AND RESPONDING TO CHANGE | |
| FOLLOWING INSTRUCTIONS AND PROCEDURES | |
| RELATING AND NETWORKING | |

## 4. INDIVIDUAL DEVELOPMENT PLAN (IDP)

**Employee Name** : _____

**Job Title** : _____

**Business Unit & Department** : _____

**IMPORTANT INFORMATION TO NOTE: Ensure that employees understand how their learning and development interventions link to the business, team and individual objectives and how it will be evaluated.**

**Development may include both formal (courses) or informal development (on the job, coaching etc)**

| Functional / Technical Training (product training) | | | |
|---|---|---|---|
| COURSE / DEVELOPMENT INTERVENTION | COMPETENCY (refer to competency grid) | PLANNED DATE | NOTE |
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| **Soft Skills Training (use competency assessment report and DILO feedback for input)** | | | |
|---|---|---|---|
| **COURSE / DEVELOPMENT INTERVENTION** | **COMPETENCY (refer to competency grid)** | **PLANNED DATE** | **NOTE** |
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| **Technology Training (systems and computer )** | | | |
|---|---|---|---|
| **COURSE / DEVELOPMENT INTERVENTION** | **COMPETENCY (refer to competency grid)** | **PLANNED DATE** | **NOTE** |
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| Management Development Programs (use competency assessment report and DILO feedback for input) | | | |
|---|---|---|---|
| **COURSE / DEVELOPMENT INTERVENTION** | **COMPETENCY (refer to competency grid)** | **PLANNED DATE** | **NOTE** |
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| **Conferences / Seminars** | | | |
| **INTERVENTION TYPE** | **COMPETENCY (refer to competency grid)** | **PLANNED DATE** | **COST (captured by sap administrator** | **NOTE** |
| | | | | |
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| Legislation (eg FAIS) | | | |
|---|---|---|---|
| **COURSE / INTERVENTION** | **COMPETENCY (refer to competency grid)** | **PLANNED DATE** | **NOTE** |
| | | | |
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**SIGNED BY:**

**EMPLOYEE:**_____

**LINE MANAGER:**_____

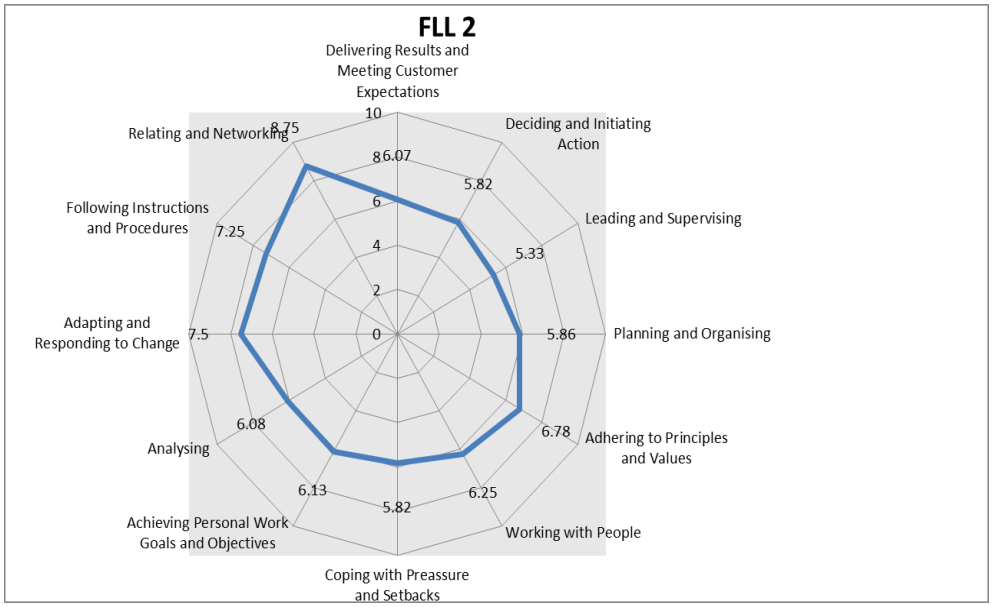
## 5. APPENDIX A: TEAM MANAGER ACTIVITY LEGEND

| | |
|---|---|
| **ACTIVE SUPERVISON** | Assigns work with specific expectation, actively follows up to review progress and actions variances. Providing Coaching & direction<br>"Walk The Floor" |
| **MEETINGS** | Facilitating /Attending Meetings to enhance performance.<br>Non-Adhoc related meetings |
| **ADMINISTRATIVE WORK** | General paperwork and reports as well as taking phone calls and checking email. |
| **DIRECT WORK** | Work that falls under the IC's scope of responsibilities. |
| **PASSIVE SUPERVISION** | Management by walking about, reactive in dealing with problems.<br>Adhoc Meetings |
| **AVAILABLE TIME** | Activities that do not contribute to effective management of the area<br>Idling / Non value added activities |

## 6. APPENDIX B: COMPETENCY ASSESSMENT RESULTS

### Scoring Legend

| Exceptionally low | Very Low | Low | Moderately Low | Average | Average | Moderately High | High | Very High | Exceptionally High |
|---|---|---|---|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |




## 7. APPENDIX C: COMPETENCY DEFINITIONS

| | |
|---|---|
| **DECIDING AND INITIATING ACTION** | Takes responsibility for actions, projects and people; takes initiative and works under own direction; initiates and generates activity and introduces changes into work processes; makes quick, clear decisions which may include tough choices or considered risks. |
| **LEADING AND SUPERVISING** | Provides others with a clear direction; motivates and empowers others; recruits staff of a high calibre; provides staff with development opportunities and coaching; sets appropriate standards of behaviour. |
| **WORKING WITH PEOPLE** | Shows respect for the views and contributions of other team members; shows empathy; listens, supports and cares for others; consults others and shares information and expertise with them; builds team spirit and reconciles conflict; adapts to the team and fits in well. |
| **ADHERING TO PRINCIPLES AND VALUES** | Upholds ethics and values; demonstrates integrity; promotes and defends equal opportunities, builds diverse teams; encourages organisational and individual responsibility towards the community and the environment. |

| | |
|---|---|
| **Analysing** | Analyses numerical data and all other sources of information, to break them into component parts, patterns and relationships; probes for further information or greater understanding of a problem; makes rational judgements from the available information and analysis; demonstrates an understanding of how one issue may be a part of a much larger system. |
| **Planning and Organising** | Sets clearly defined objectives; plans activities and projects well in advance and take account of possible changing circumstances; identifies and organises resources needed to accomplish tasks; manages time effectively; monitors performance against deadlines and milestones. |
| **Delivering Results and Meeting Customer Expectations** | Focuses on customer needs and satisfaction; sets high standards for quality and quantity; monitors and maintains quality and productivity; works in a systematic, methodical and orderly way; consistently achieves project goals. |
| **Coping with Pressures and Setbacks** | Maintains a positive outlook at work; works productively in a pressurised environment; keeps emotions under control during difficult situations; handles criticism well and learns from it; balances the demands of a work life and a personal life. |
| **Achieving Personal Work Goals and Objectives** | Accepts and tackles demanding goals with enthusiasm; works hard and puts in longer hours when it is necessary; seeks progression to roles of increased responsibility and influence; identifies own development needs and makes use of developmental or training opportunities. |
| **Relating and Networking** | Easily establishes good relationships with customers and staff; relates well to people at all levels; builds wide and effective networks of contacts; uses humour appropriately to bring warmth to relationships with others. |
| **Following Instructions and Procedures** | Appropriately follows instructions from others without unnecessarily challenging authority; follows procedures and policies; keeps to schedules; arrives punctually for work and meetings; demonstrates commitment to the organisation; complies with legal obligations and safety requirements of the role. |
| **Adapting and Responding to Change** | Adapts to changing circumstances; tolerates ambiguity; accepts new ideas and change initiatives; adapts interpersonal style to suit different people or situations; shows an interest in new experiences. |

## 8.5 Integrated Summary Scores per Competency per Individual

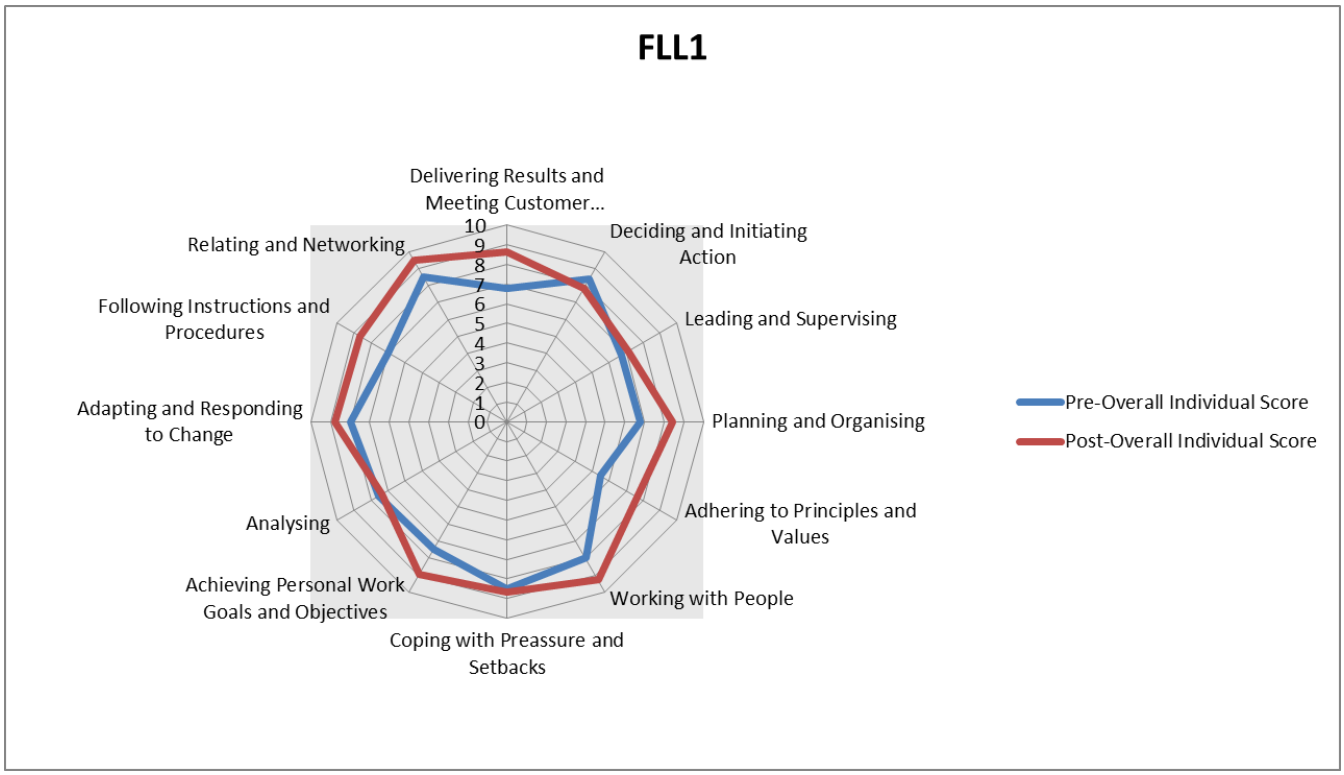



**Figure 26 - FLL1 Pre-Integrated Summary Scores**

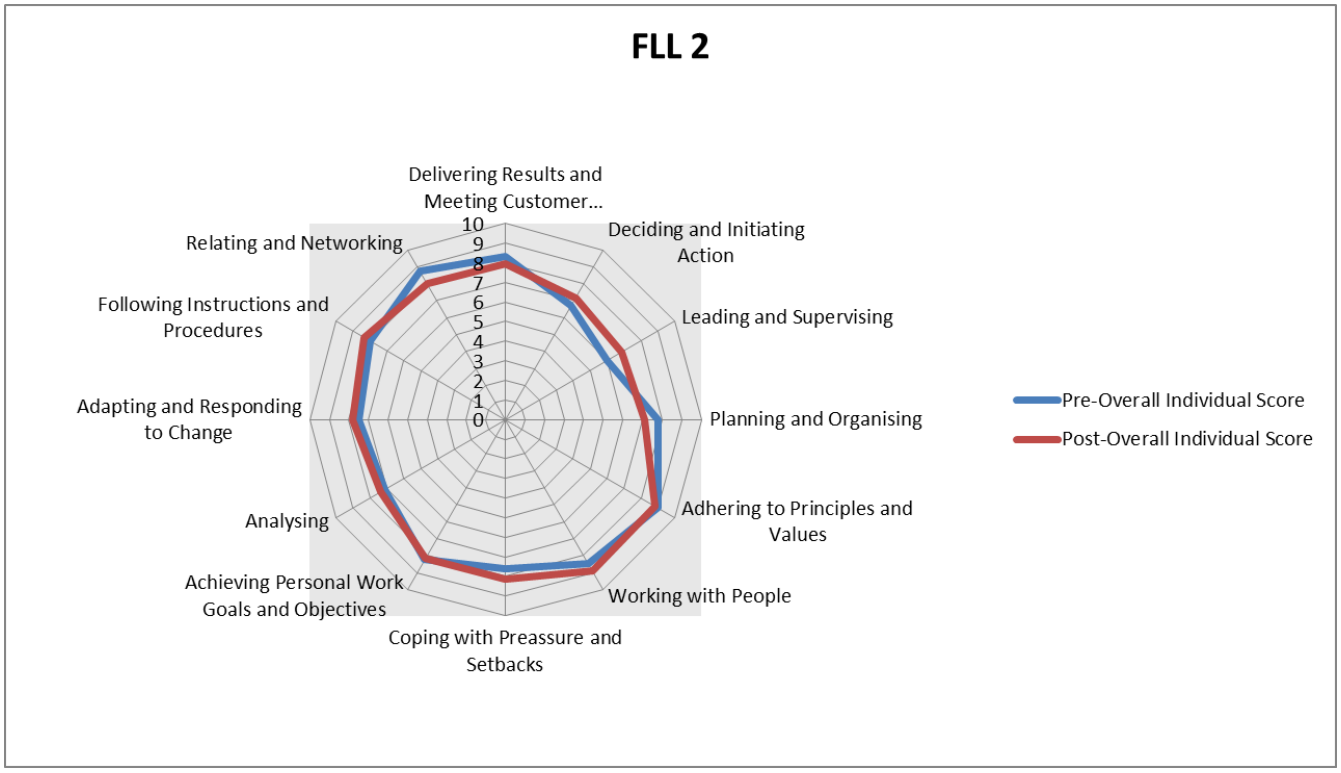



**Figure 27 - FLL2 Pre-Integrated Summary Scores**

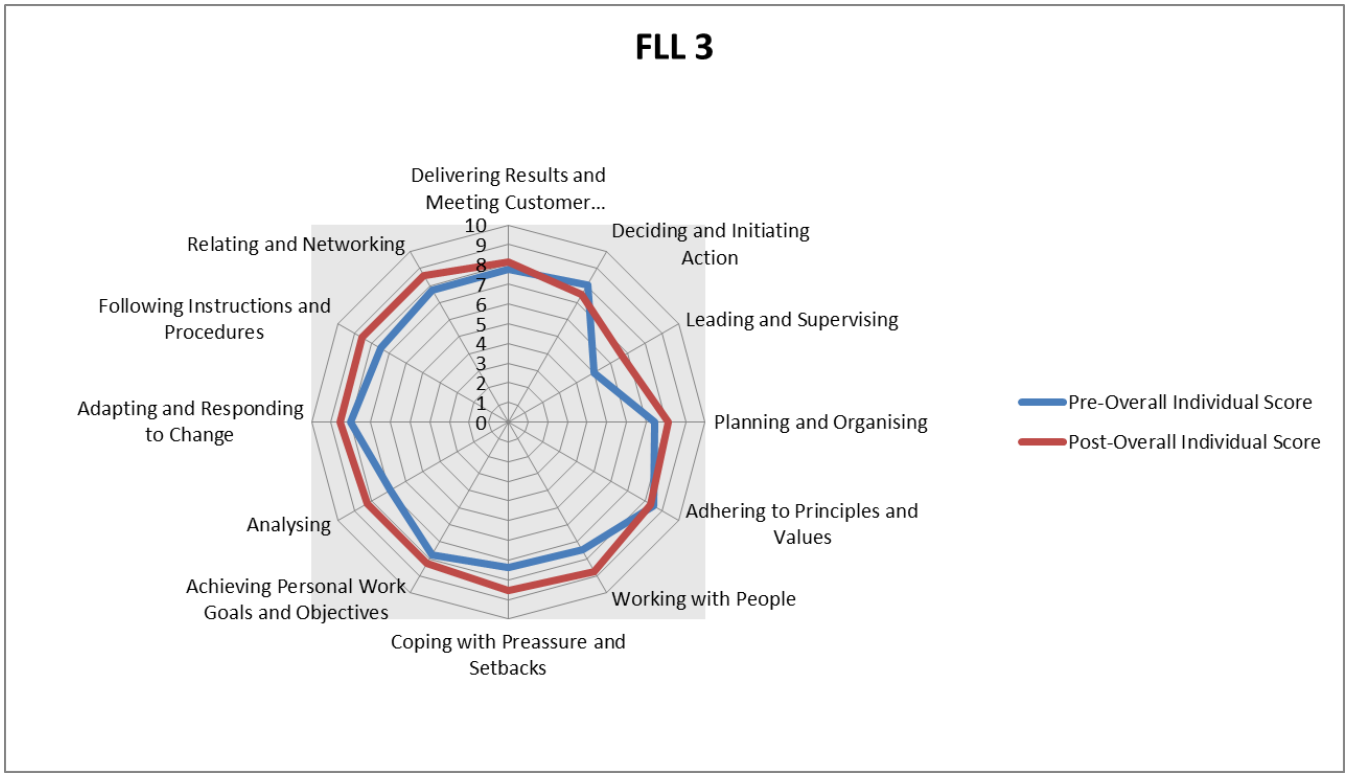



**Figure 28 - FLL3 Pre-Integrated Summary Scores**

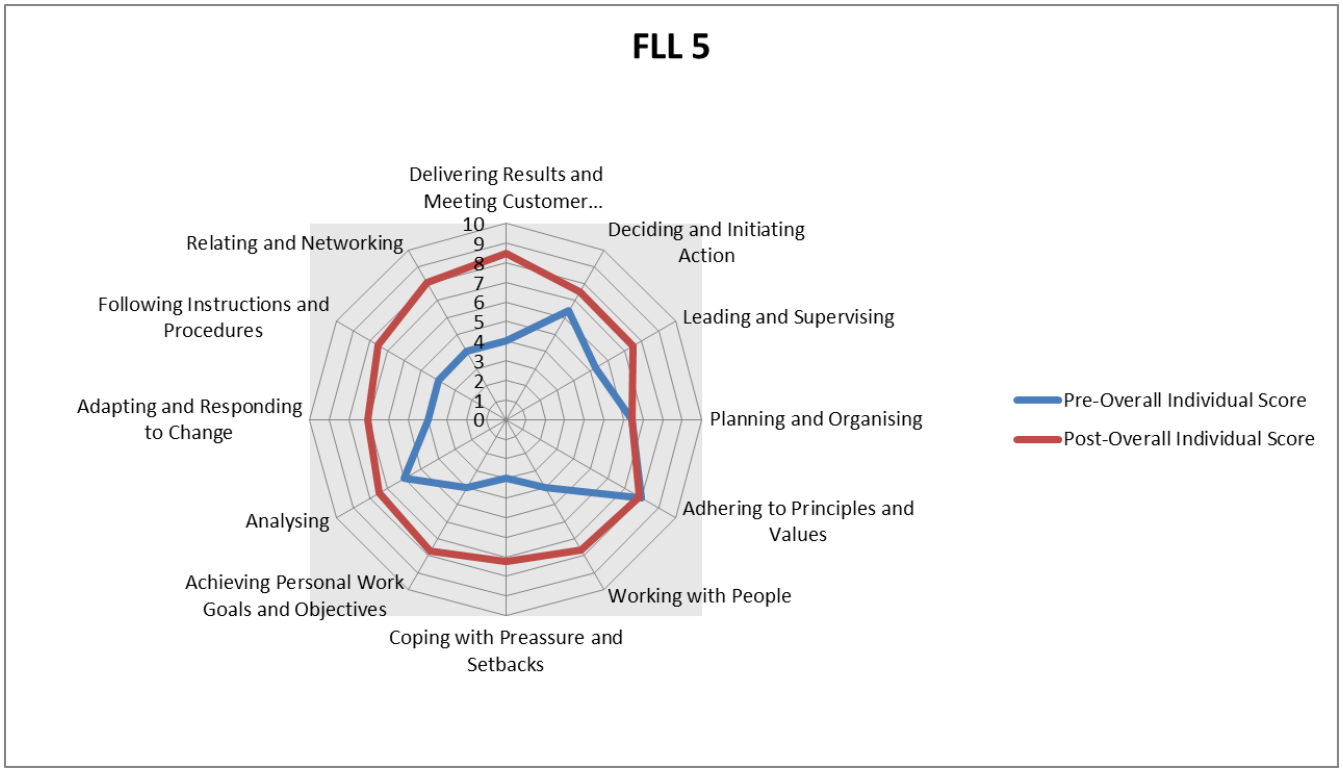



**Figure 29 - FLL5 Pre-Integrated Summary Scores**

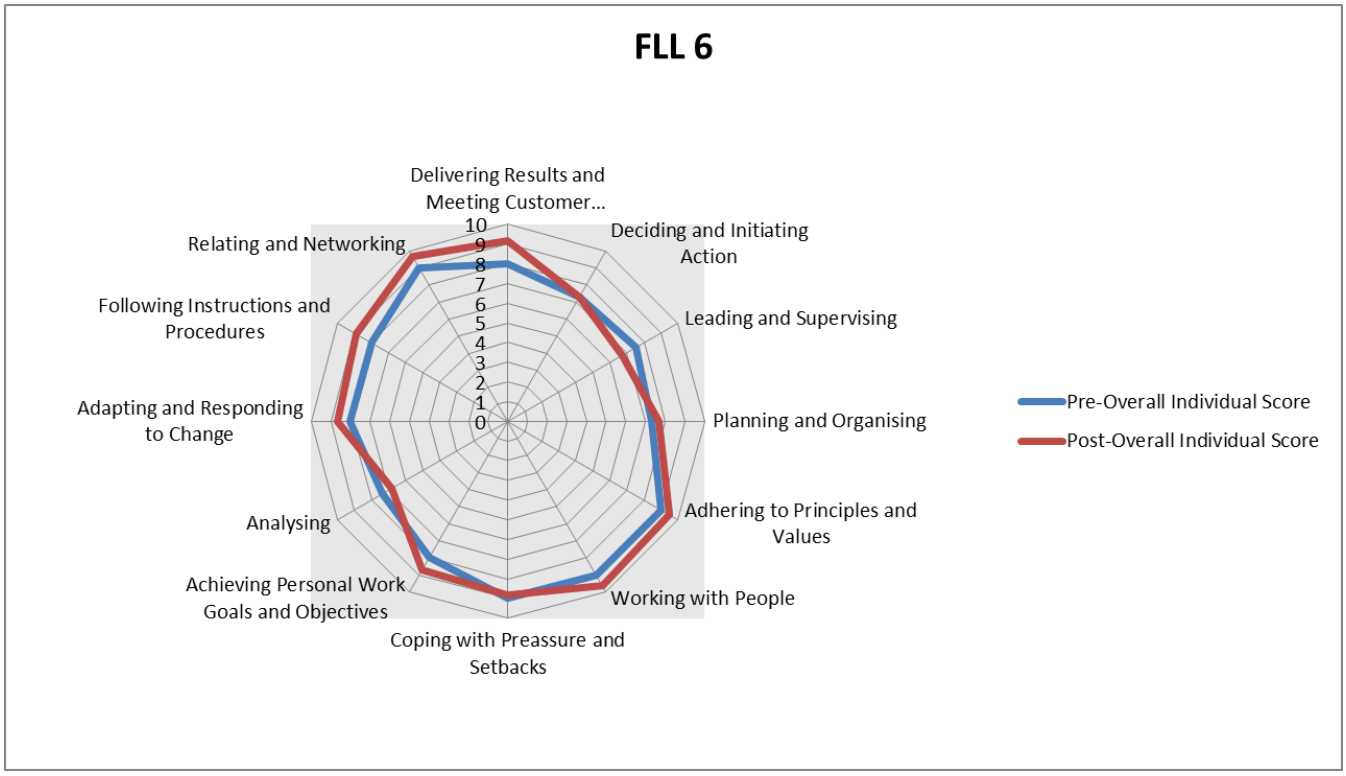



**Figure 30 - FLL6 Pre-Integrated Summary Scores**

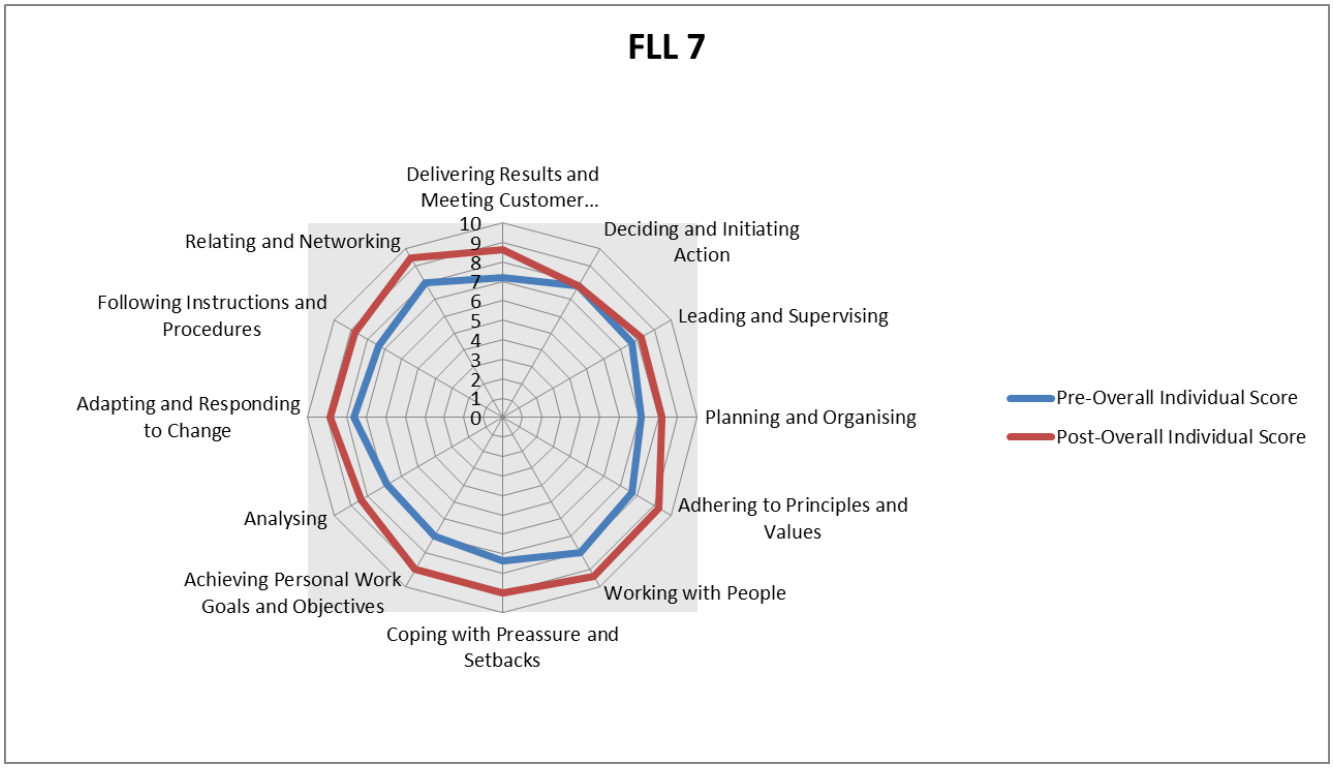



**Figure 31 - FLL7 Pre-Integrated Summary Scores**

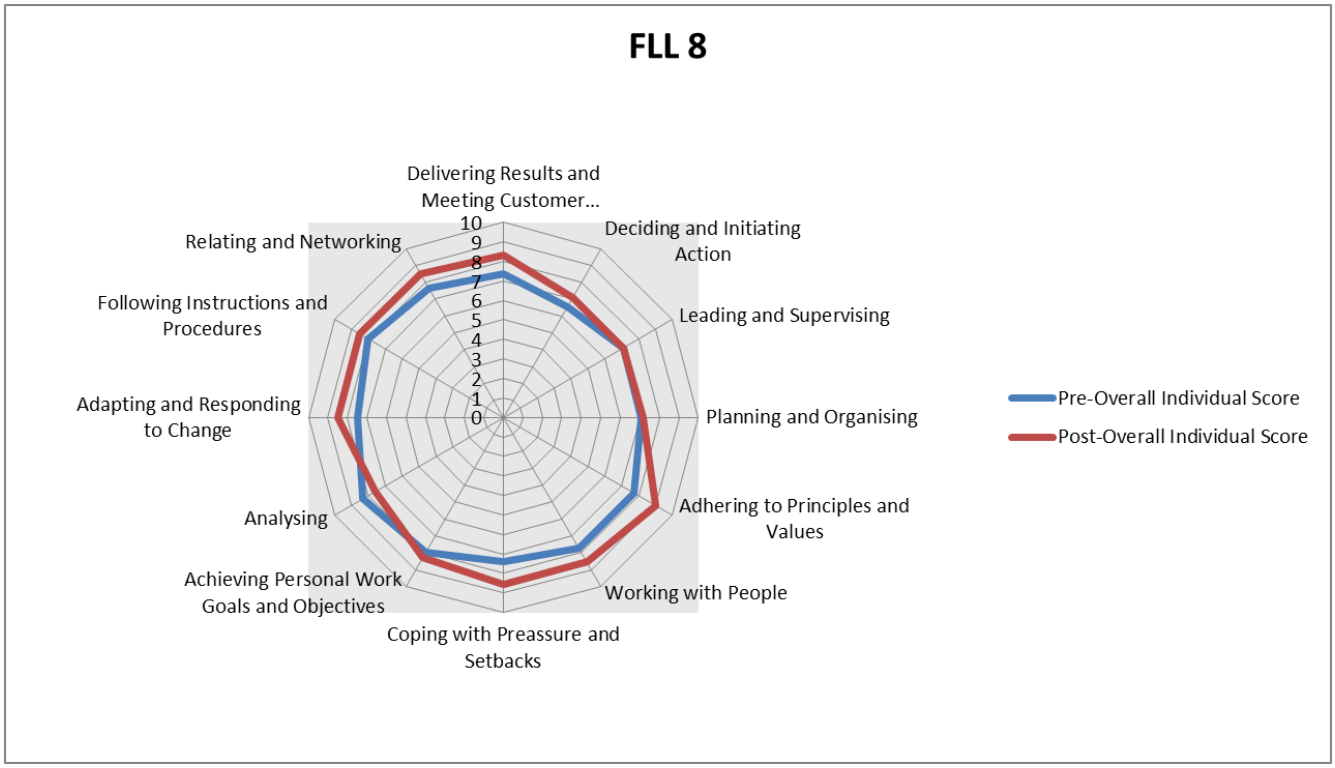



**Figure 32 - FLL8 Pre-Integrated Summary Scores**

## 8.6 Individual Role Assessment Results per Day Planner Category

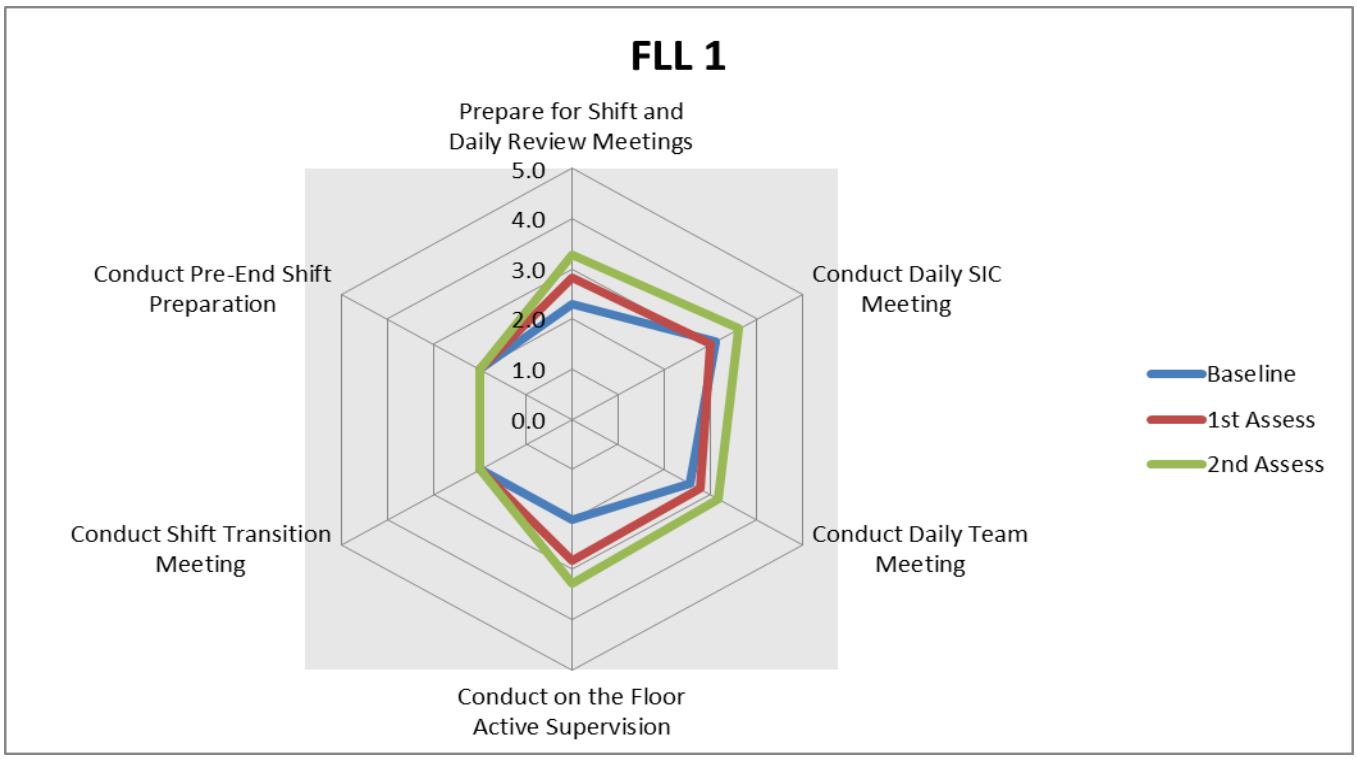



**Figure 33 - FLL1 Individual Role Assessment Result**

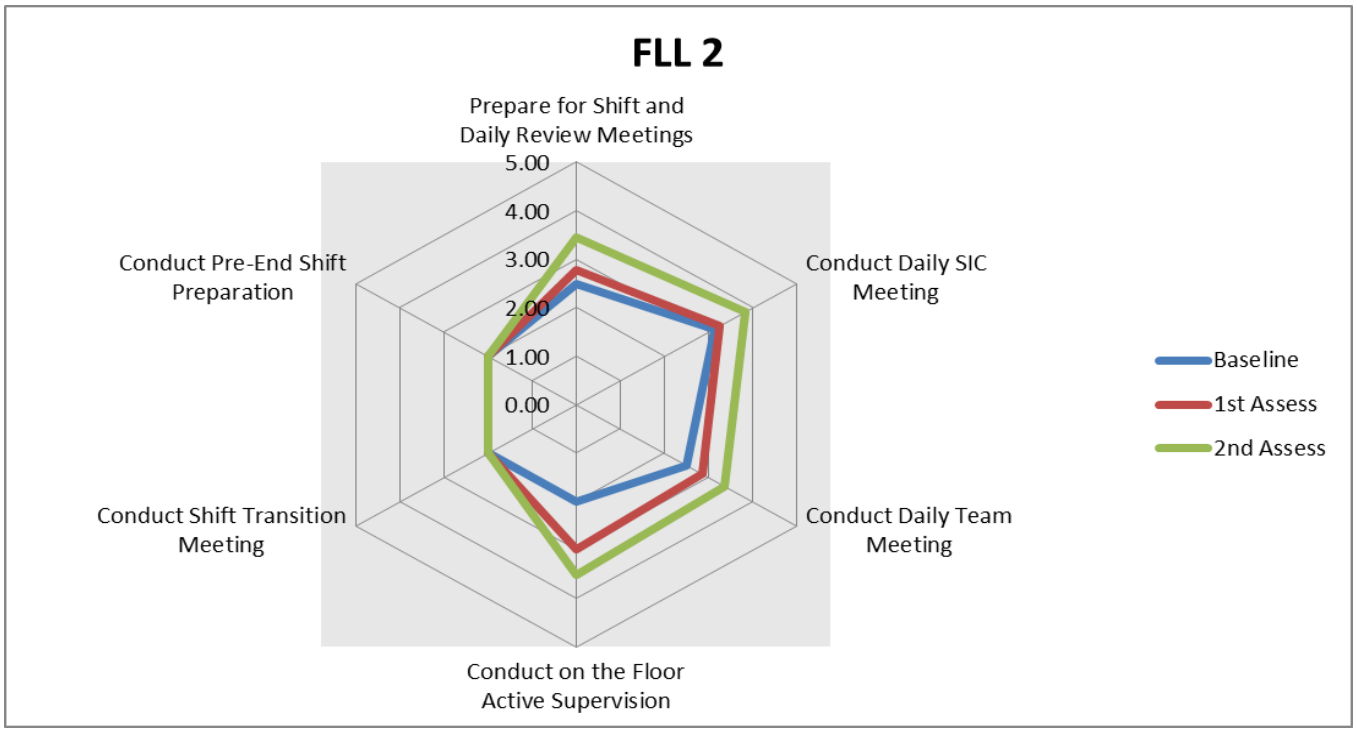



**Figure 34 - FLL2 Individual Role Assessment Result**

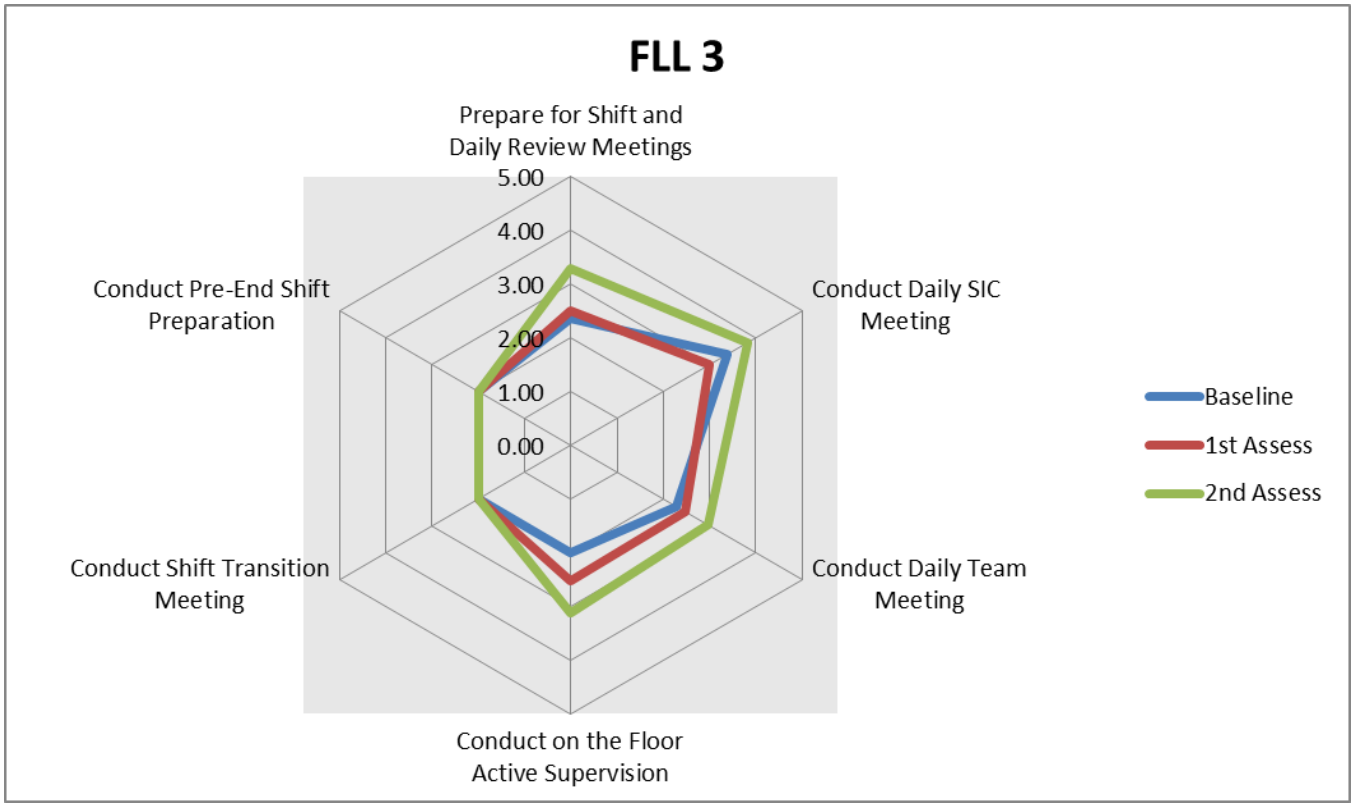



**Figure 35 - FLL3 Individual Role Assessment Result**

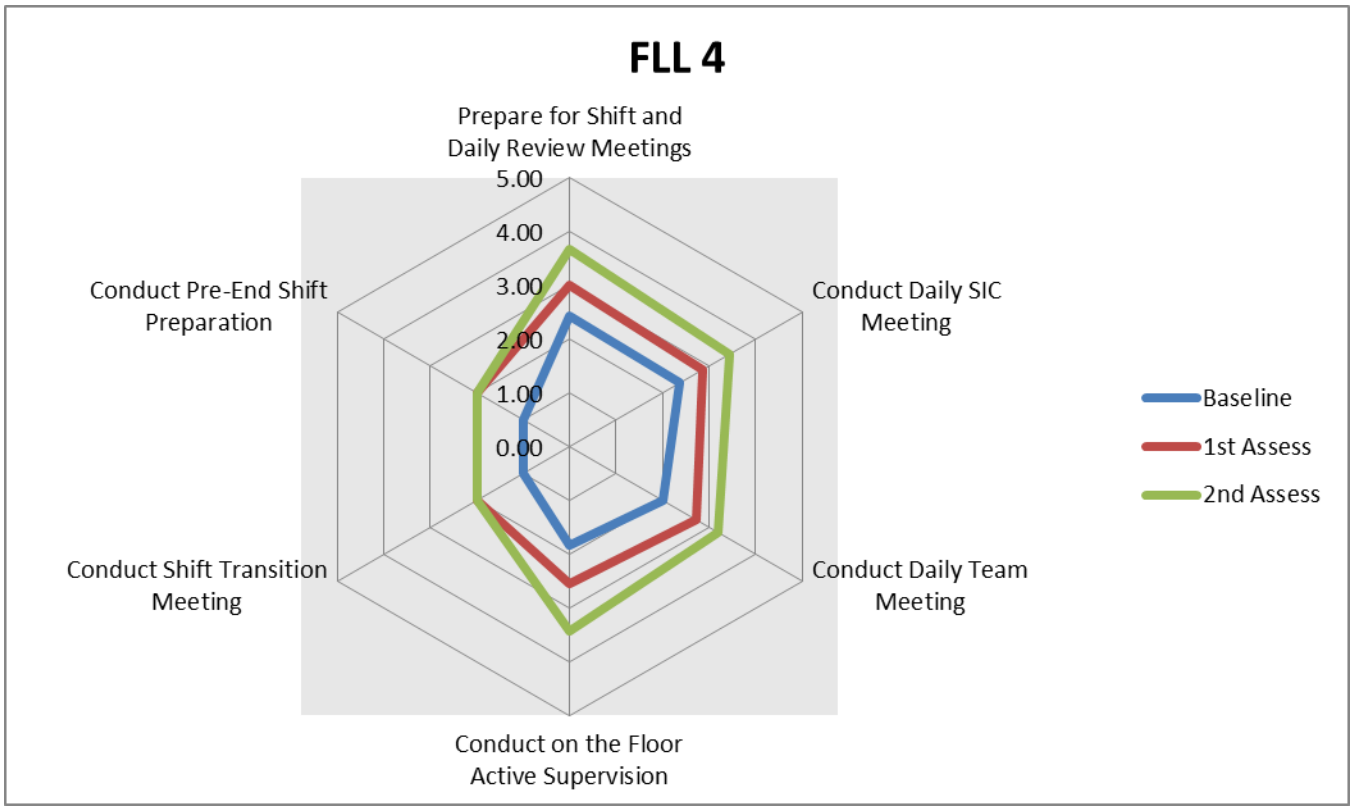



**Figure 36 - FLL4 Individual Role Assessment Result**

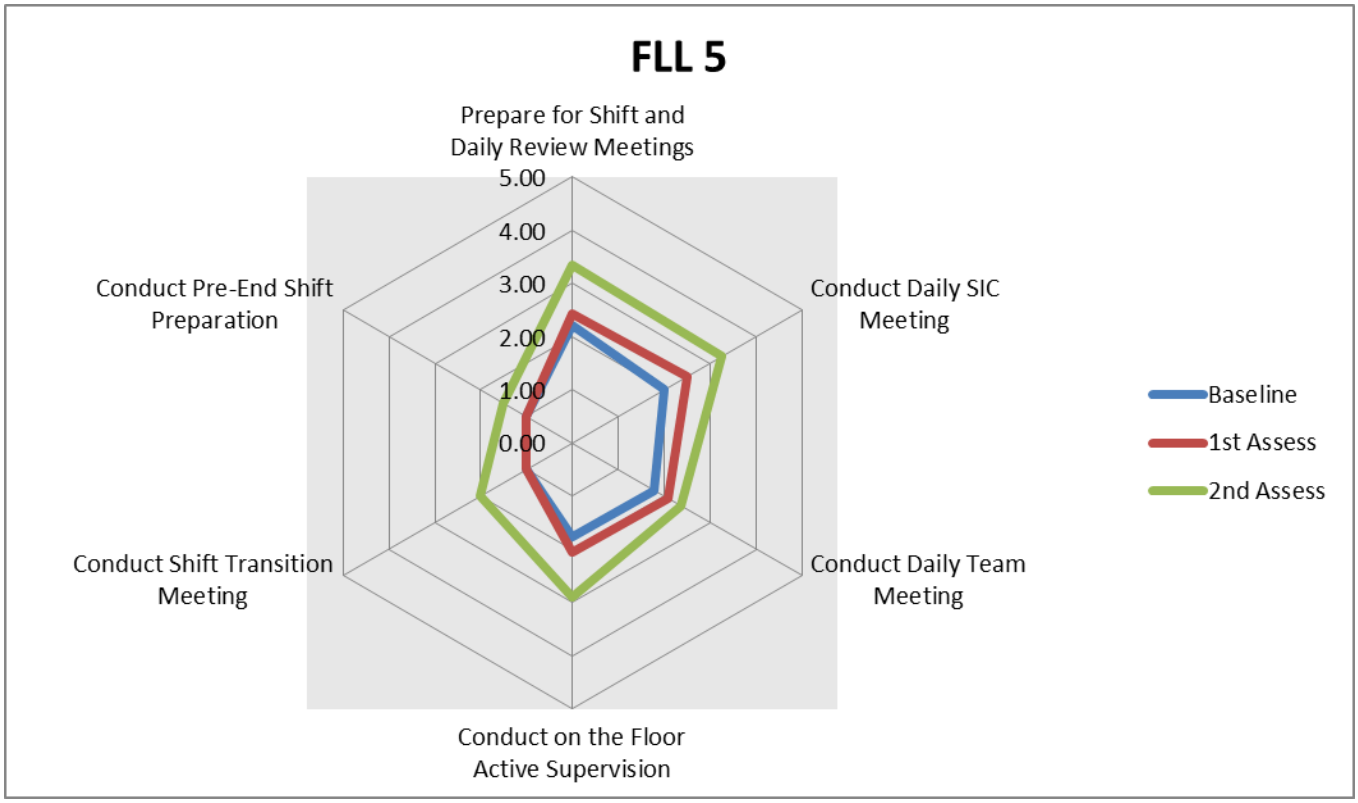



**Figure 37 – FLL5 Individual Role Assessment Result**

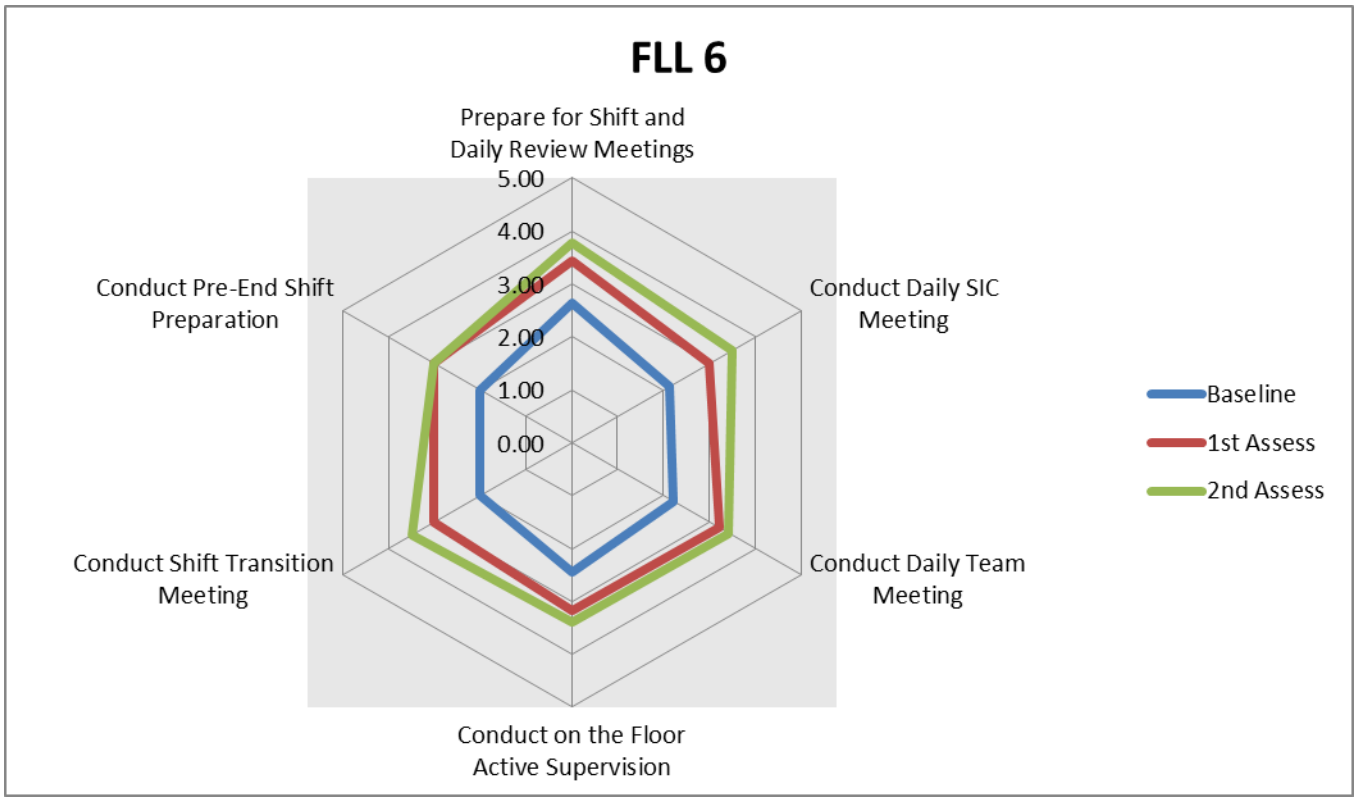



**Figure 38 - FLL6 Individual Role Assessment Result**

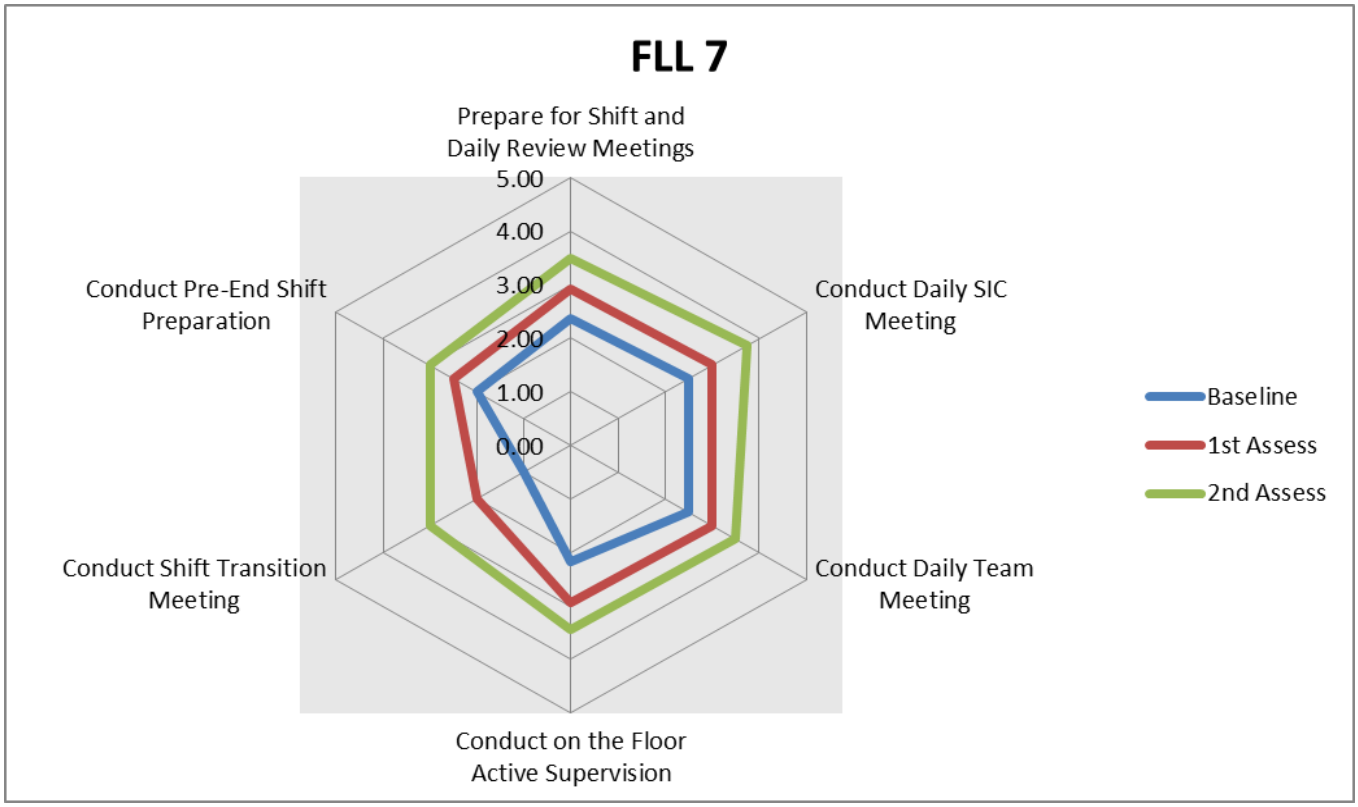



**Figure 39 - FLL7 Individual Role Assessment Result**

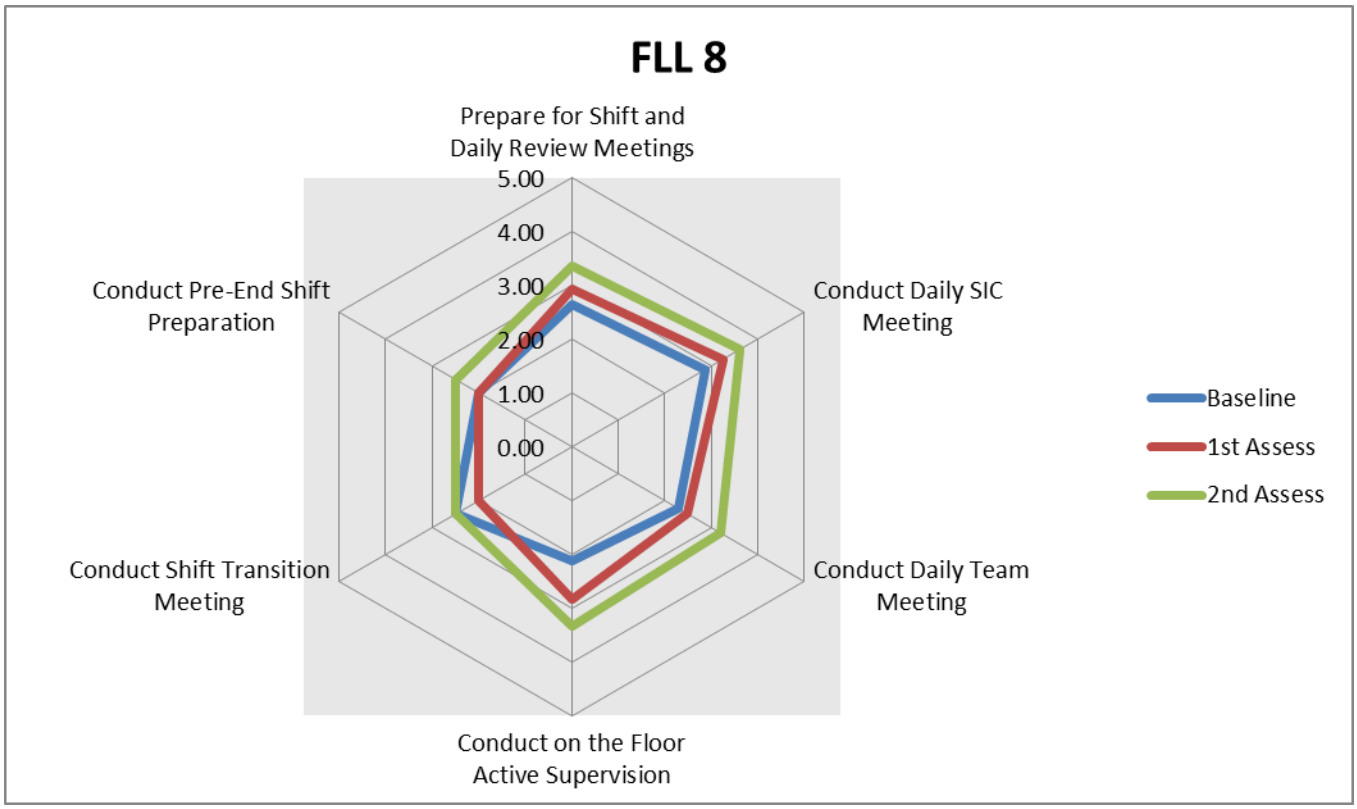
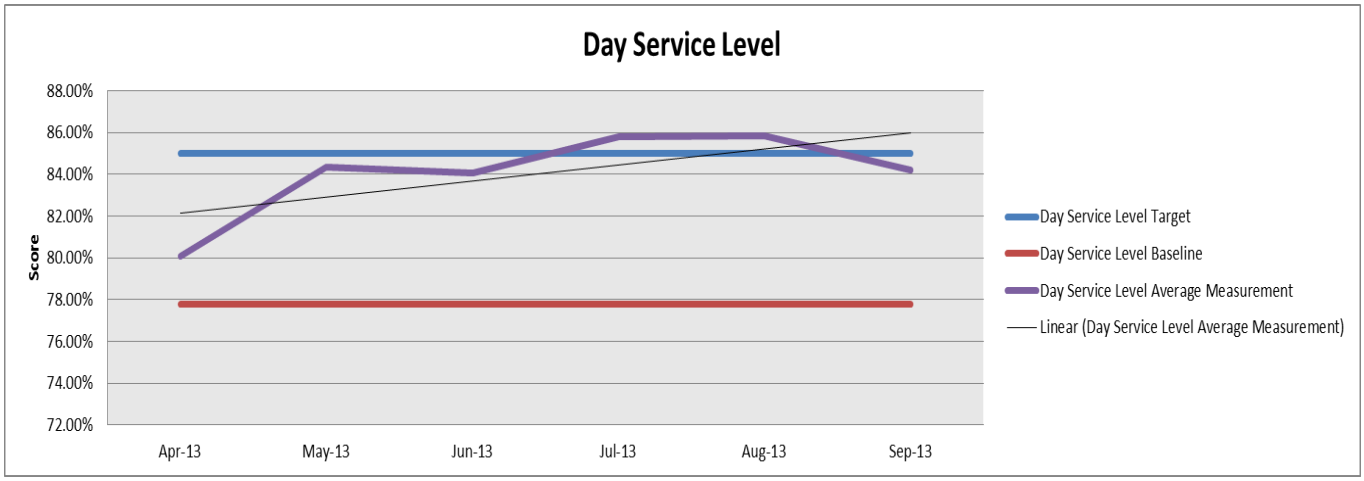



**Figure 40 - FLL8 Individual Role Assessment Result**

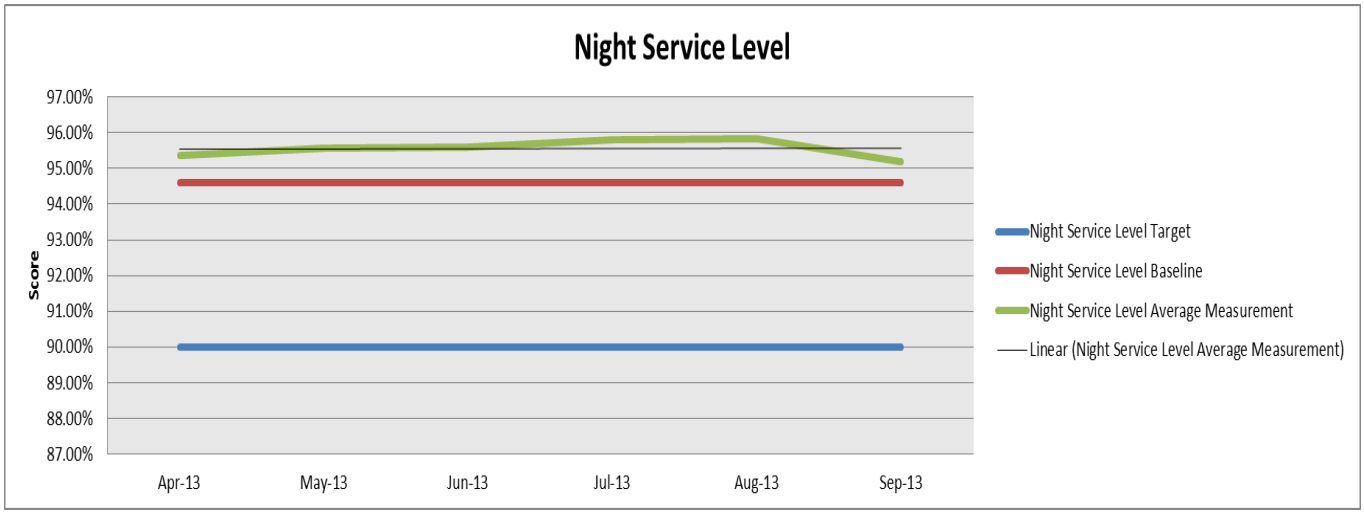
## 8.7 Key Performance Indicator Scores

### 8.7.1 SOS Inbound

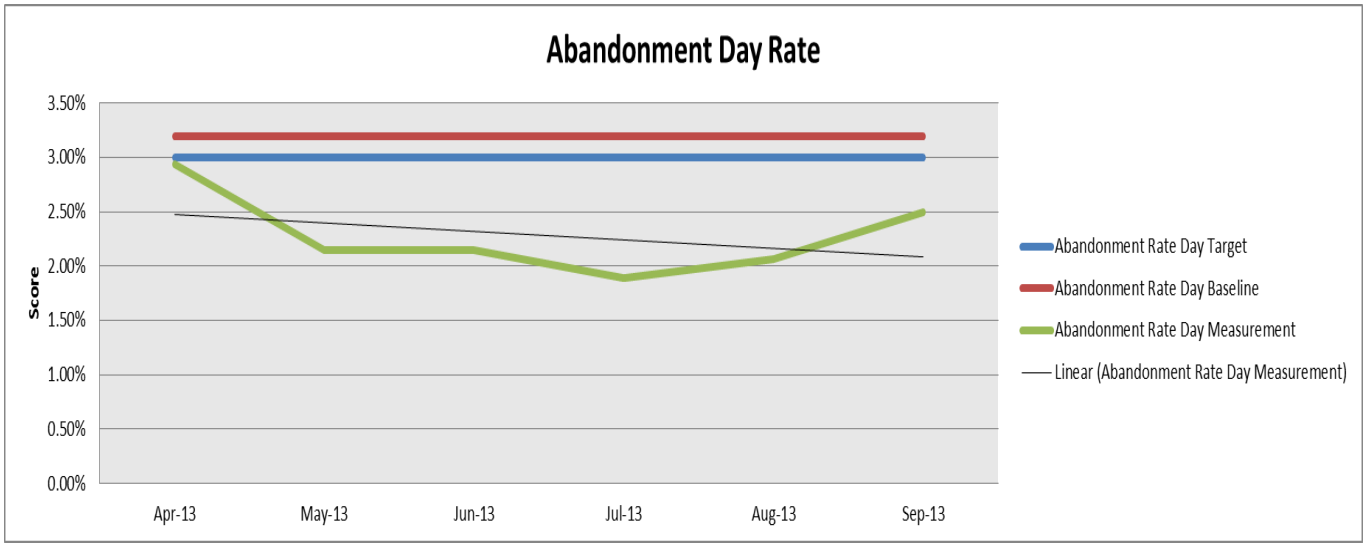
| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Day Service Level Target** | 85.00% | 85.00% | 85.00% | 85.00% | 85.00% | 85.00% |
| **Day Service Level Baseline** | 77.79% | 77.79% | 77.79% | 77.79% | 77.79% | 77.79% |
| **Day Service Level Average Measurement** | 80.06% | 84.33% | 84.06% | 85.80% | 85.84% | 84.20% |



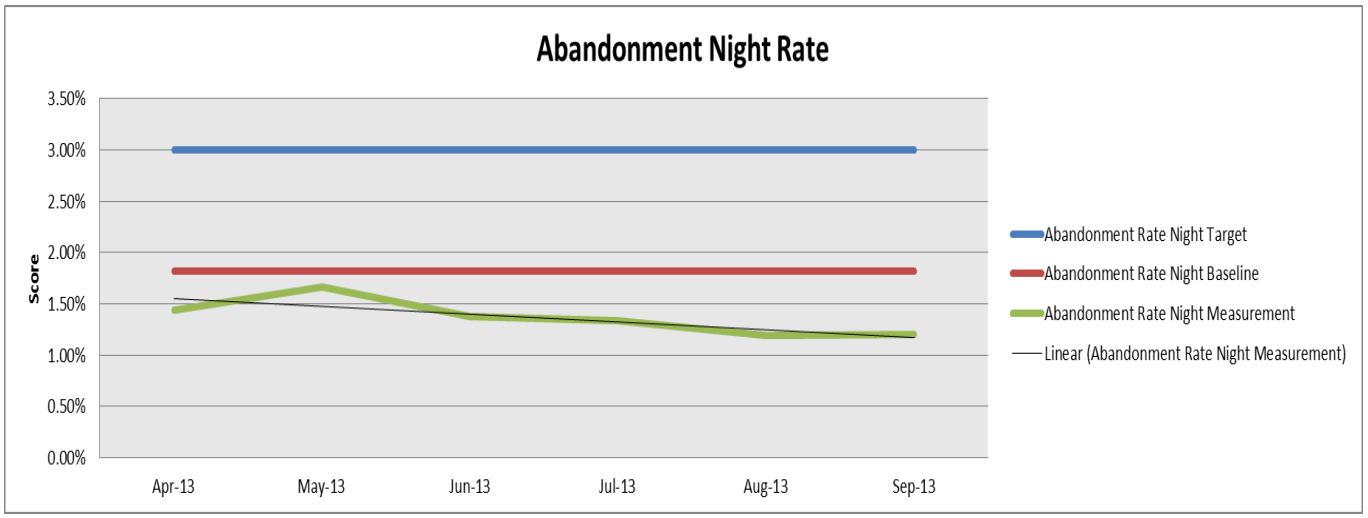

| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Night Service Level Target** | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% |
| **Night Service Level Baseline** | 94.60% | 94.60% | 94.60% | 94.60% | 94.60% | 94.60% |
| **Night Service Level Average Measurement** | 95.36% | 95.58% | 95.60% | 95.80% | 95.84% | 95.20% |



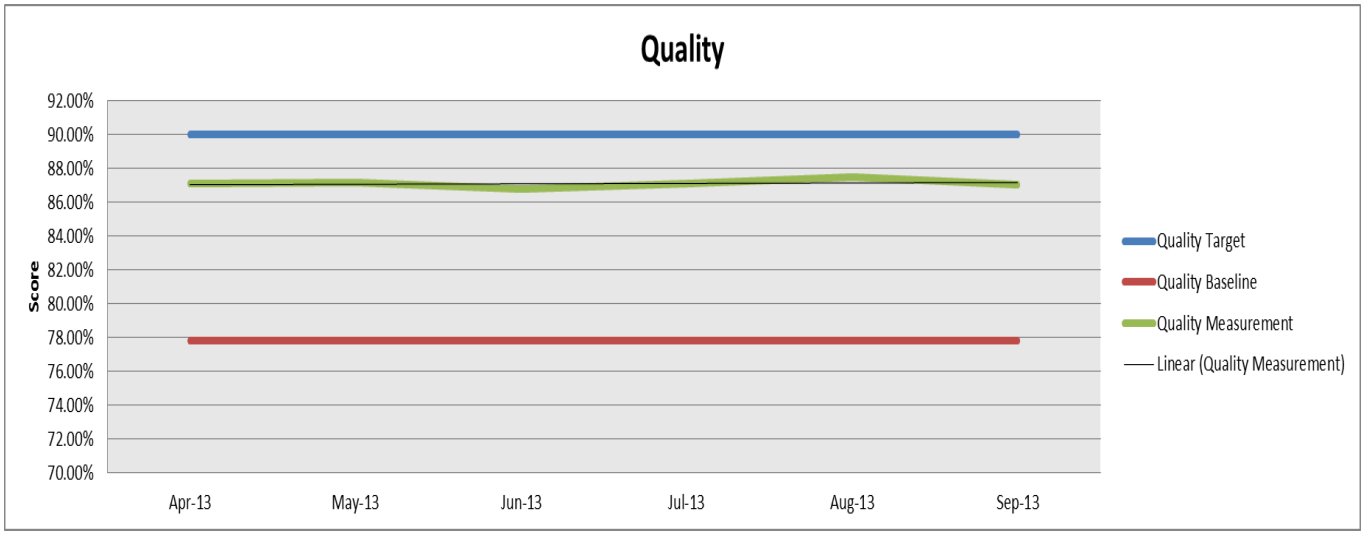
| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Abandonment Rate Day Target** | 3.00% | 3.00% | 3.00% | 3.00% | 3.00% | 3.00% |
| **Abandonment Rate Day Baseline** | 3.19% | 3.19% | 3.19% | 3.19% | 3.19% | 3.19% |
| **Abandonment Rate Day Measurement** | 2.94% | 2.15% | 2.15% | 1.89% | 2.07% | 2.50% |



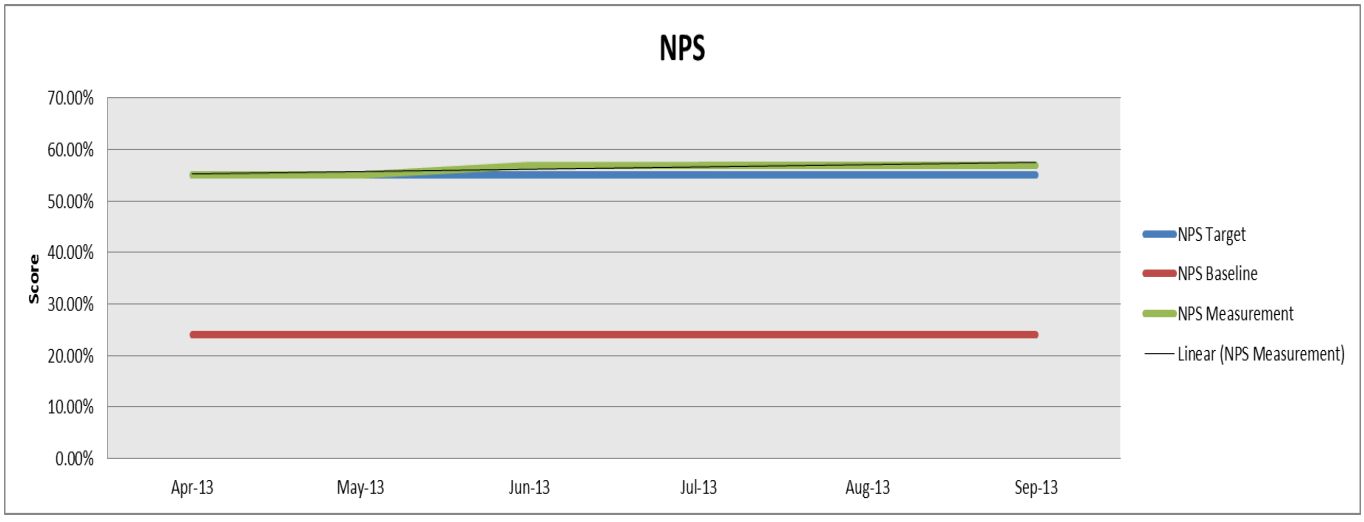

| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Abandonment Rate Night Target** | 3.00% | 3.00% | 3.00% | 3.00% | 3.00% | 3.00% |
| **Abandonment Rate Night Baseline** | 1.82% | 1.82% | 1.82% | 1.82% | 1.82% | 1.82% |
| **Abandonment Rate Night Measurement** | 1.44% | 1.66% | 1.38% | 1.33% | 1.19% | 1.20% |



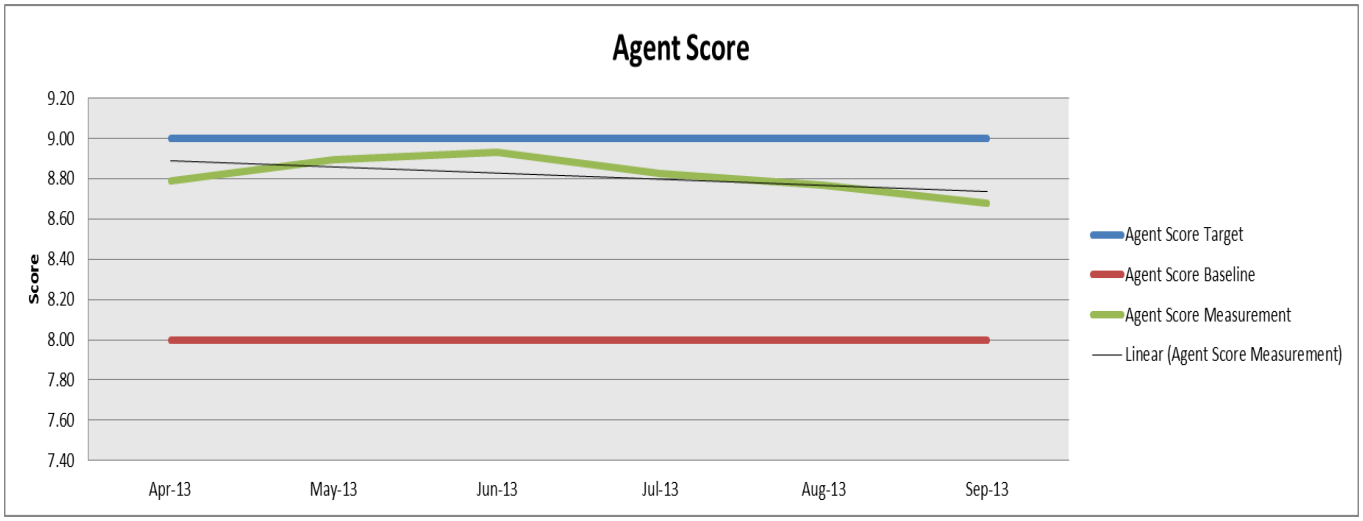
| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Quality Target** | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% |
| **Quality Baseline** | 77.83% | 77.83% | 77.83% | 77.83% | 77.83% | 77.83% |
| **Quality Measurement** | 87.08% | 87.17% | 86.78% | 87.09% | 87.47% | 87.06% |



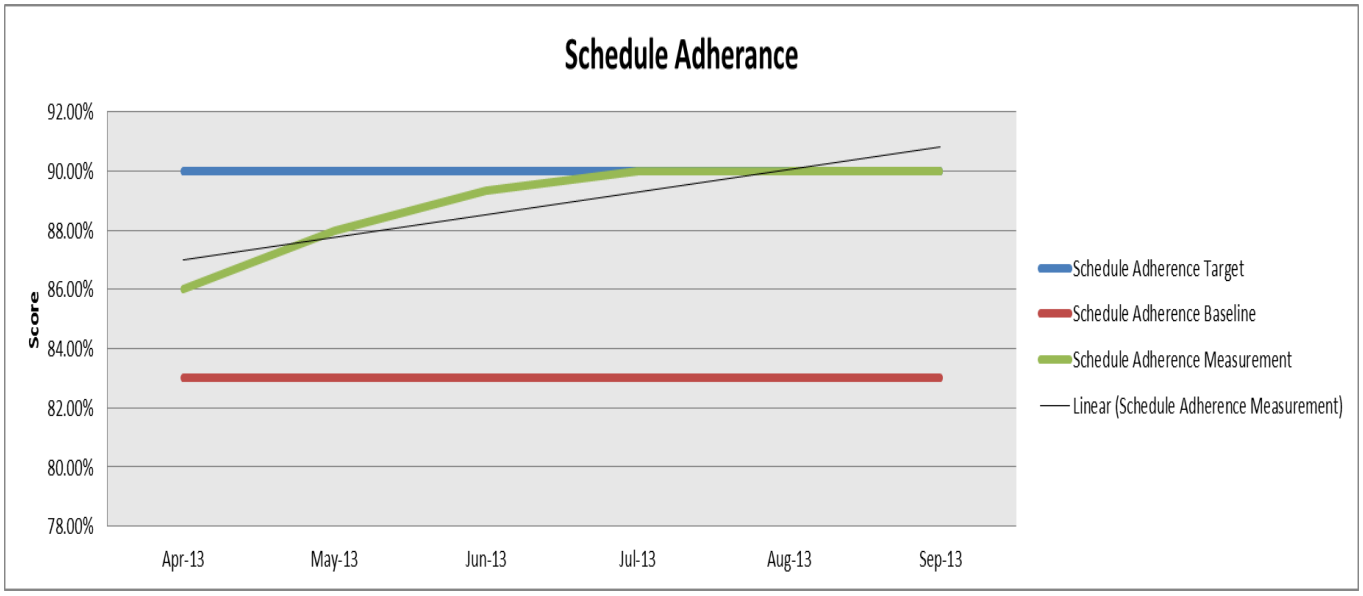

| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **NPS Target** | 55.00% | 55.00% | 55.00% | 55.00% | 55.00% | 55.00% |
| **NPS Baseline** | 24.00% | 24.00% | 24.00% | 24.00% | 24.00% | 24.00% |
| **NPS Measurement** | 55.00% | 55.00% | 57.00% | 57.00% | 57.00% | 57.00% |



| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Agent Score Target** | 9.00 | 9.00 | 9.00 | 9.00 | 9.00 | 9.00 |
| **Agent Score Baseline** | 8.00 | 8.00 | 8.00 | 8.00 | 8.00 | 8.00 |
| **Agent Score Measurement** | 8.79 | 8.90 | 8.93 | 8.83 | 8.77 | 8.68 |

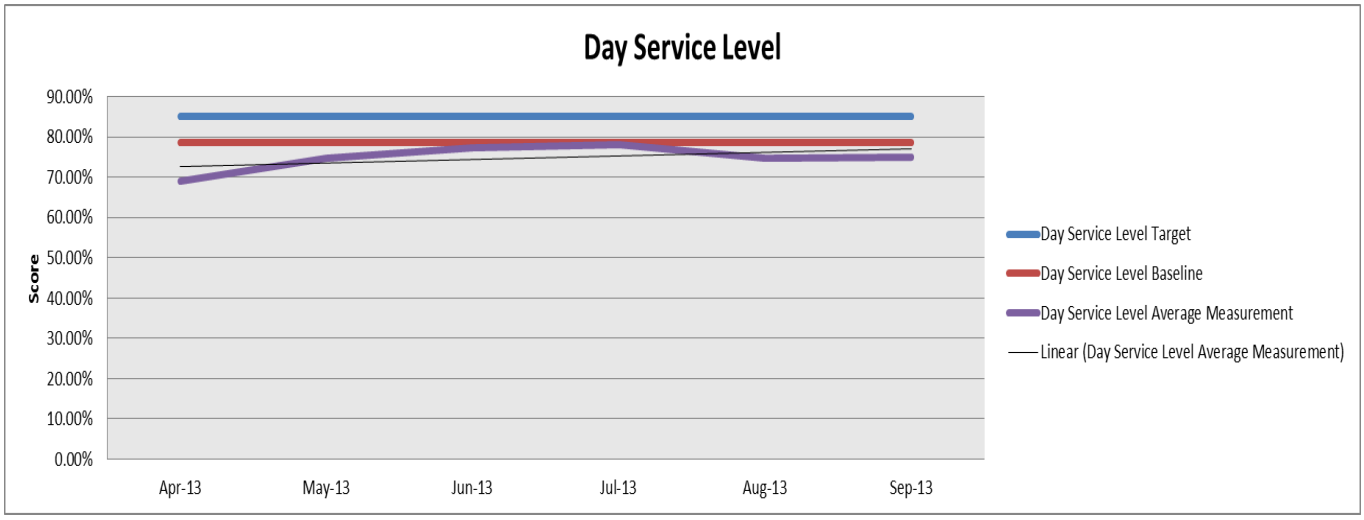



| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Schedule Adherence Target** | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% |
| **Schedule Adherence Baseline** | 83.00% | 83.00% | 83.00% | 83.00% | 83.00% | 83.00% |
| **Schedule Adherence Measurement** | 86.00% | 88.00% | 89.33% | 90.00% | 90.00% | 90.00% |

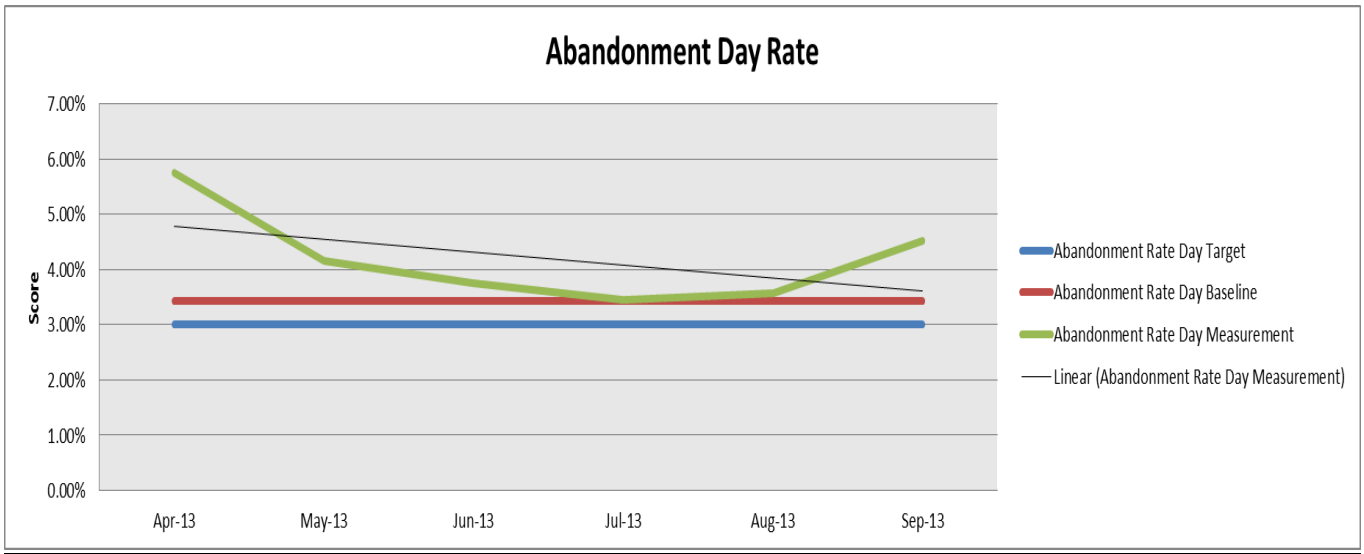


### 8.7.2 SOS Glass

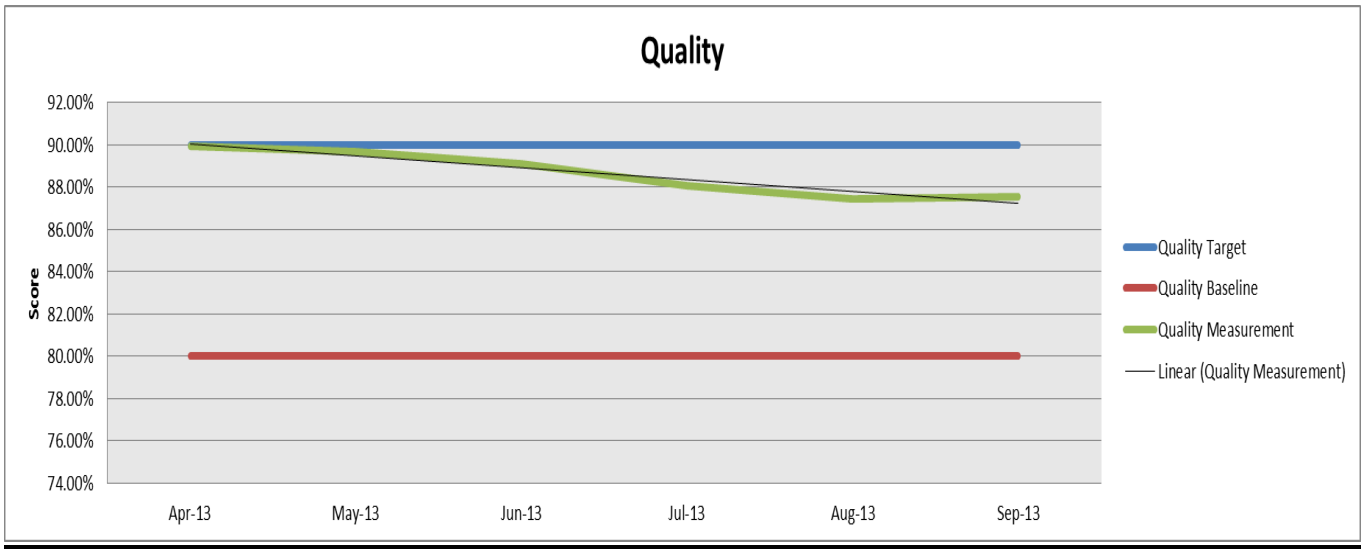
| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Day Service Level Target** | 85.00% | 85.00% | 85.00% | 85.00% | 85.00% | 85.00% |
| **Day Service Level Baseline** | 78.60% | 78.60% | 78.60% | 78.60% | 78.60% | 78.60% |
| **Day Service Level Average Measurement** | 68.95% | 74.61% | 77.24% | 78.21% | 74.77% | 74.97% |



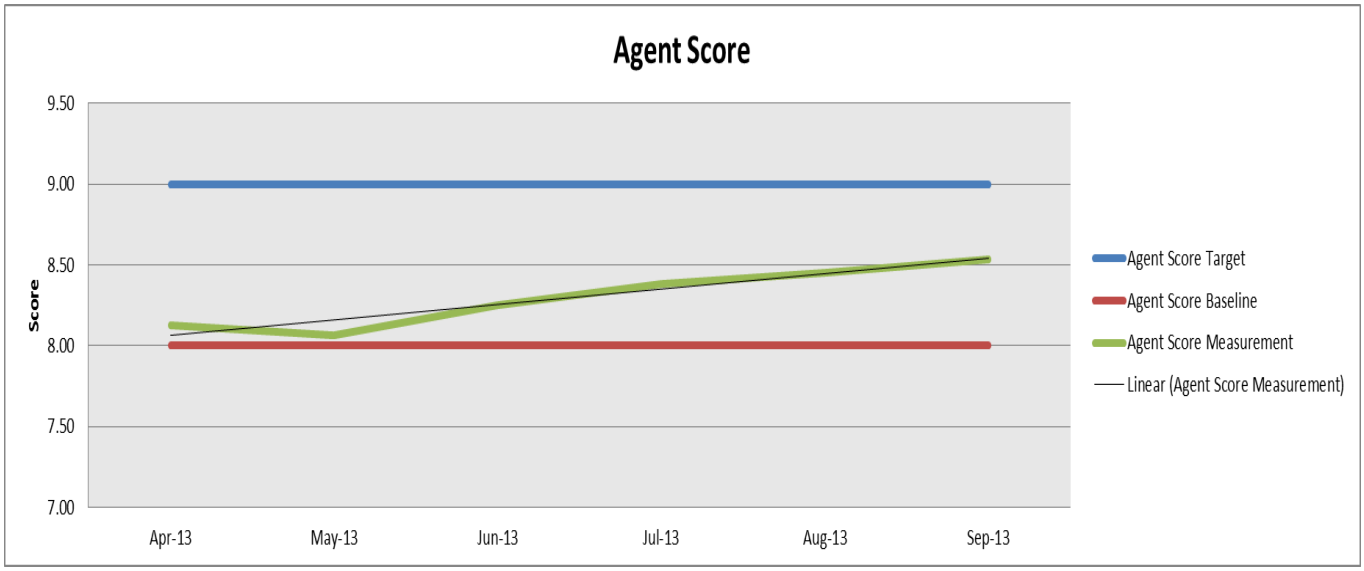

| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Abandonment Rate Day Target** | 3.00% | 3.00% | 3.00% | 3.00% | 3.00% | 3.00% |
| **Abandonment Rate Day Baseline** | 3.43% | 3.43% | 3.43% | 3.43% | 3.43% | 3.43% |
| **Abandonment Rate Day Measurement** | 5.75% | 4.15% | 3.75% | 3.46% | 3.56% | 4.52% |



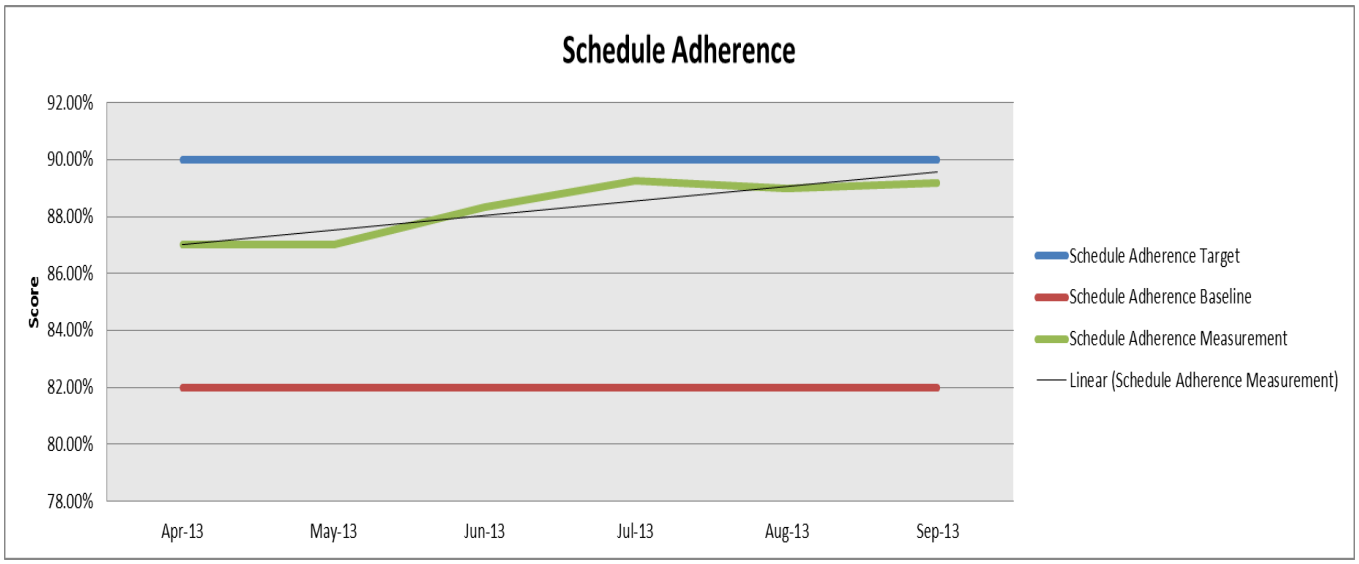
| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Quality Target** | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% |
| **Quality Baseline** | 80.00% | 80.00% | 80.00% | 80.00% | 80.00% | 80.00% |
| **Quality Measurement** | 89.93% | 89.66% | 89.10% | 88.08% | 87.46% | 87.55% |




| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Agent Score Target** | 9.00 | 9.00 | 9.00 | 9.00 | 9.00 | 9.00 |
| **Agent Score Baseline** | 8.00 | 8.00 | 8.00 | 8.00 | 8.00 | 8.00 |
| **Agent Score Measurement** | 8.13 | 8.07 | 8.25 | 8.39 | 8.45 | 8.53 |

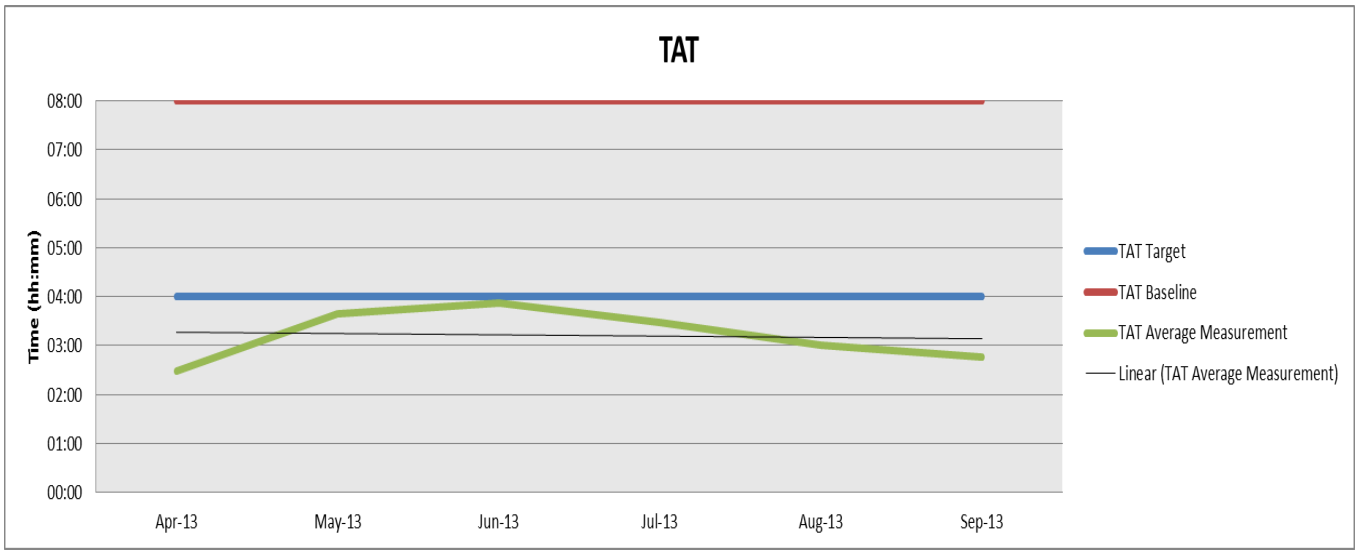


| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Schedule Adherence Target** | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% |
| **Schedule Adherence Baseline** | 82.00% | 82.00% | 82.00% | 82.00% | 82.00% | 82.00% |
| **Schedule Adherence Measurement** | 87.00% | 87.00% | 88.33% | 89.25% | 89.00% | 89.17% |

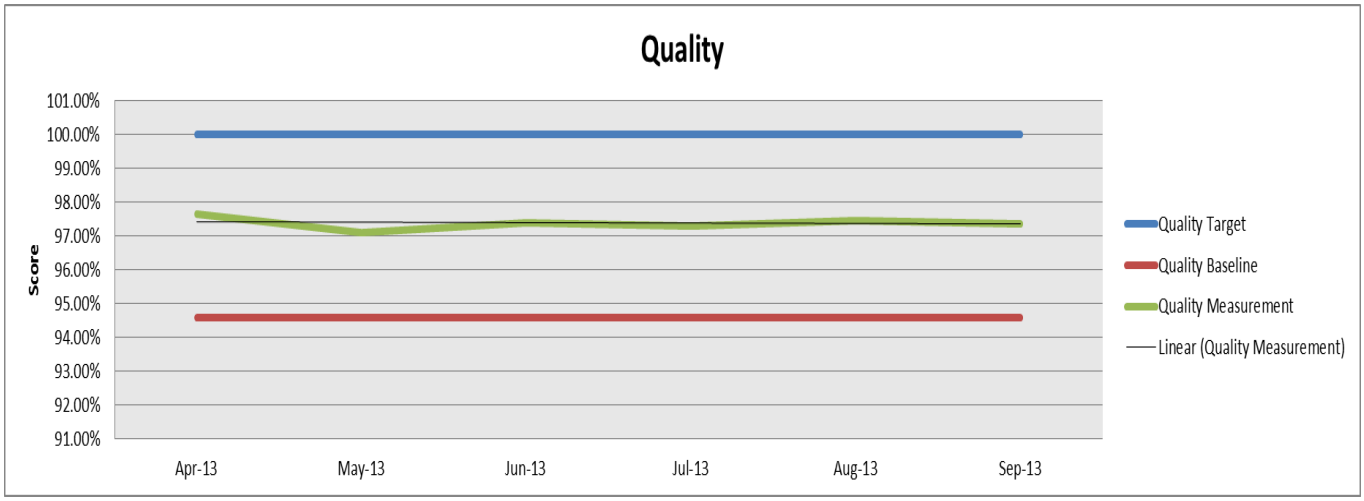



### 8.7.3 Document Processing Centre

| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **TAT Target** | 04:00 | 04:00 | 04:00 | 04:00 | 04:00 | 04:00 |
| **TAT Baseline** | 08:00 | 08:00 | 08:00 | 08:00 | 08:00 | 08:00 |
| **TAT Average Measurement** | 02:29 | 03:38 | 03:51 | 03:27 | 03:00 | 02:45 |

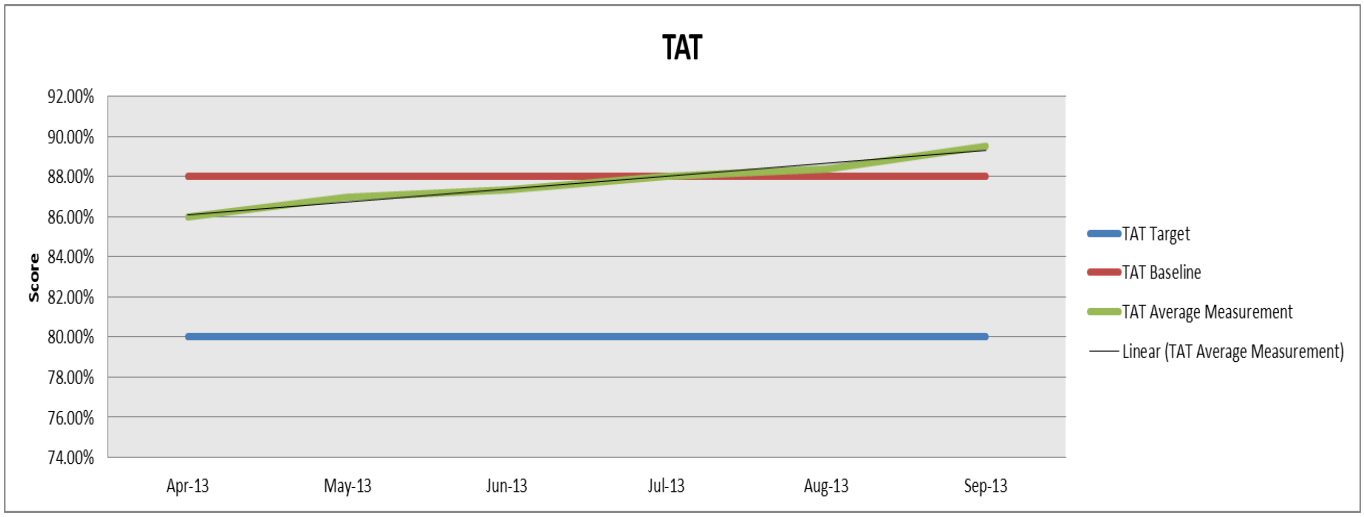


| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Quality Target** | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| **Quality Baseline** | 94.60% | 94.60% | 94.60% | 94.60% | 94.60% | 94.60% |
| **Quality Measurement** | 97.66% | 97.12% | 97.41% | 97.31% | 97.45% | 97.37% |

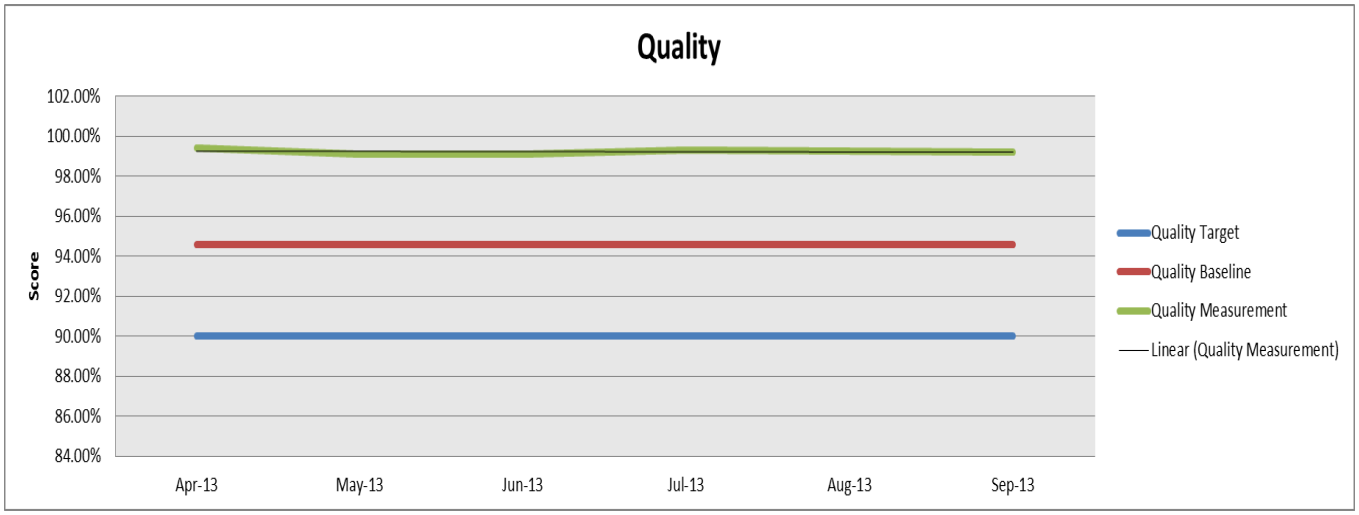



### 8.7.4 Requirements Management

| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **TAT Target** | 80.00% | 80.00% | 80.00% | 80.00% | 80.00% | 80.00% |
| **TAT Baseline** | 88.00% | 88.00% | 88.00% | 88.00% | 88.00% | 88.00% |
| **TAT Average Measurement** | 86.00% | 87.00% | 87.33% | 88.00% | 88.40% | 89.50% |

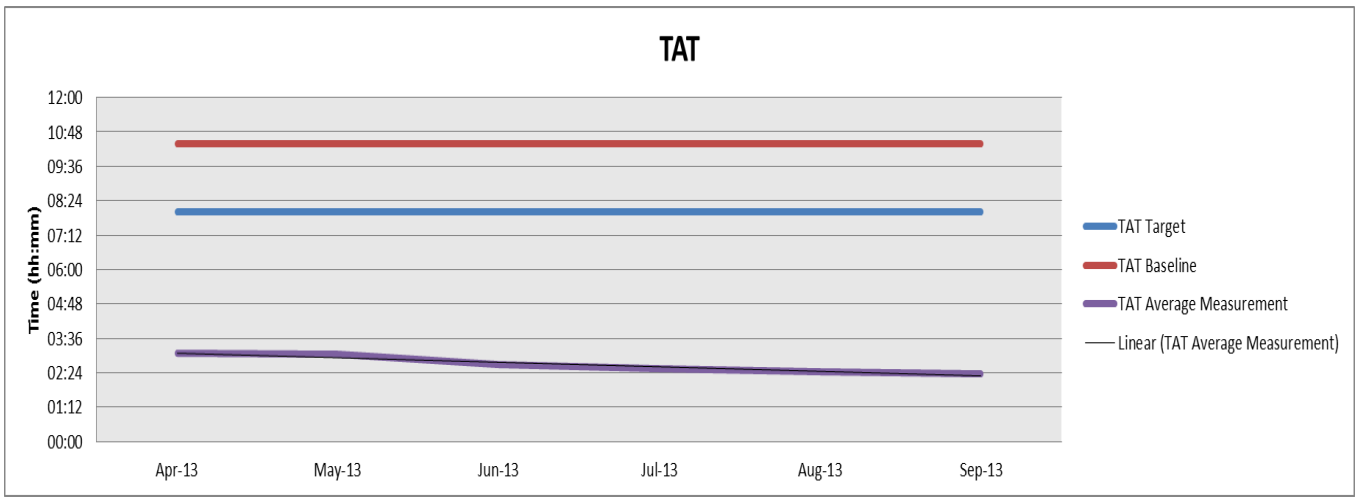


| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Quality Target** | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% |
| **Quality Baseline** | 94.60% | 94.60% | 94.60% | 94.60% | 94.60% | 94.60% |
| **Quality Measurement** | 99.43% | 99.13% | 99.08% | 99.31% | 99.25% | 99.21% |

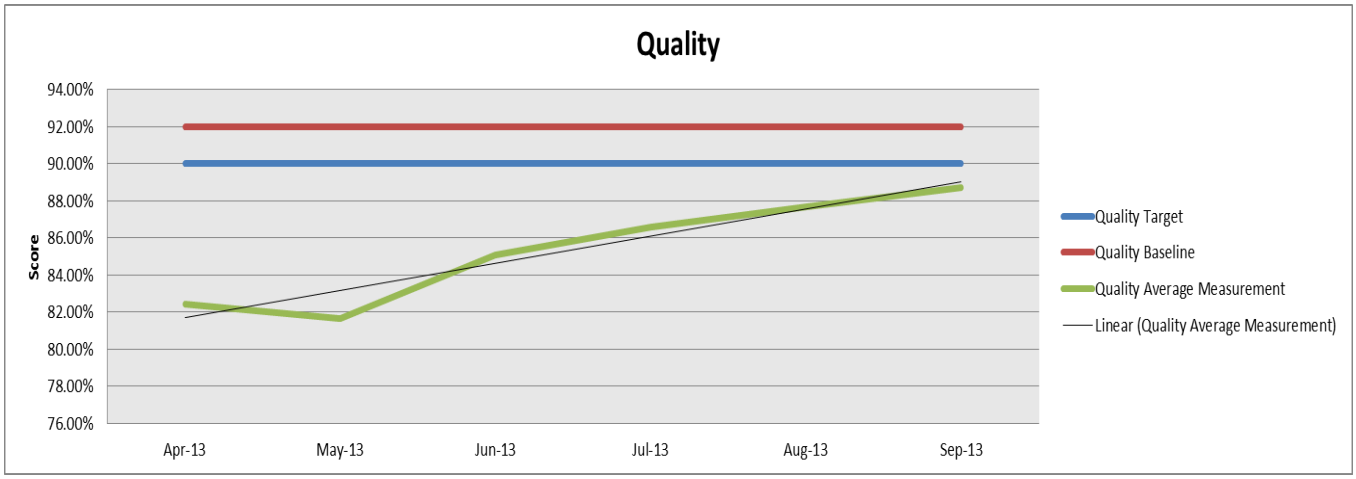



### 8.7.5 Immediate Resolution

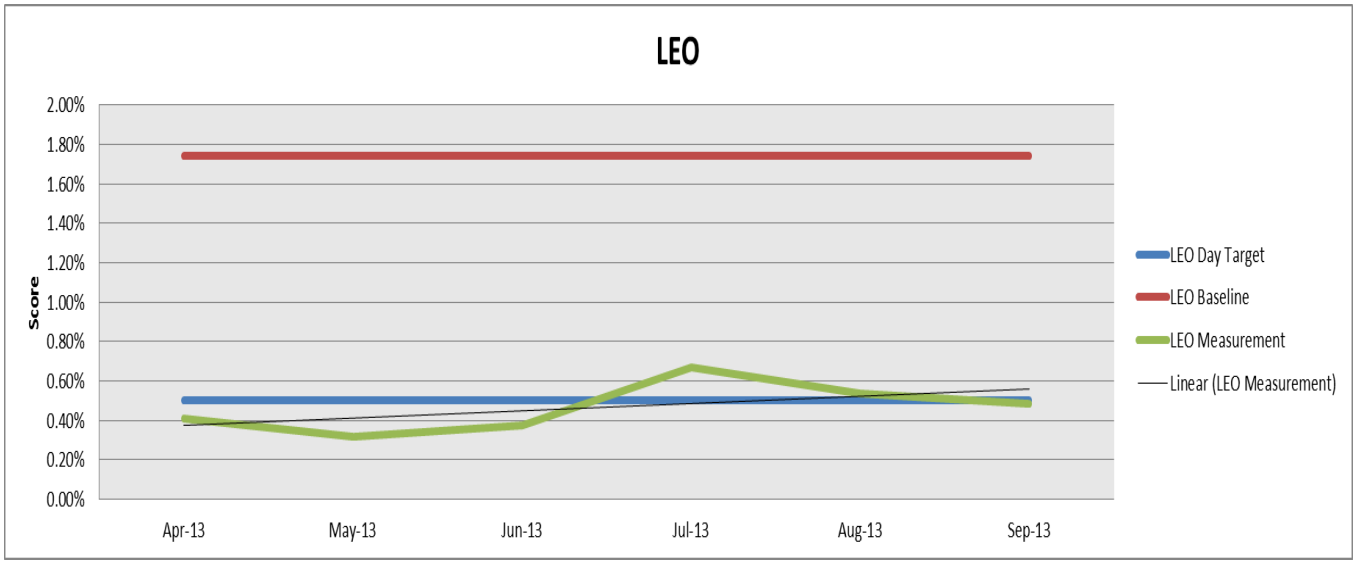
| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **TAT Target** | 08:00 | 08:00 | 08:00 | 08:00 | 08:00 | 08:00 |
| **TAT Baseline** | 10:24 | 10:24 | 10:24 | 10:24 | 10:24 | 10:24 |
| **TAT Average Measurement** | 03:05 | 03:02 | 02:41 | 02:31 | 02:25 | 02:20 |



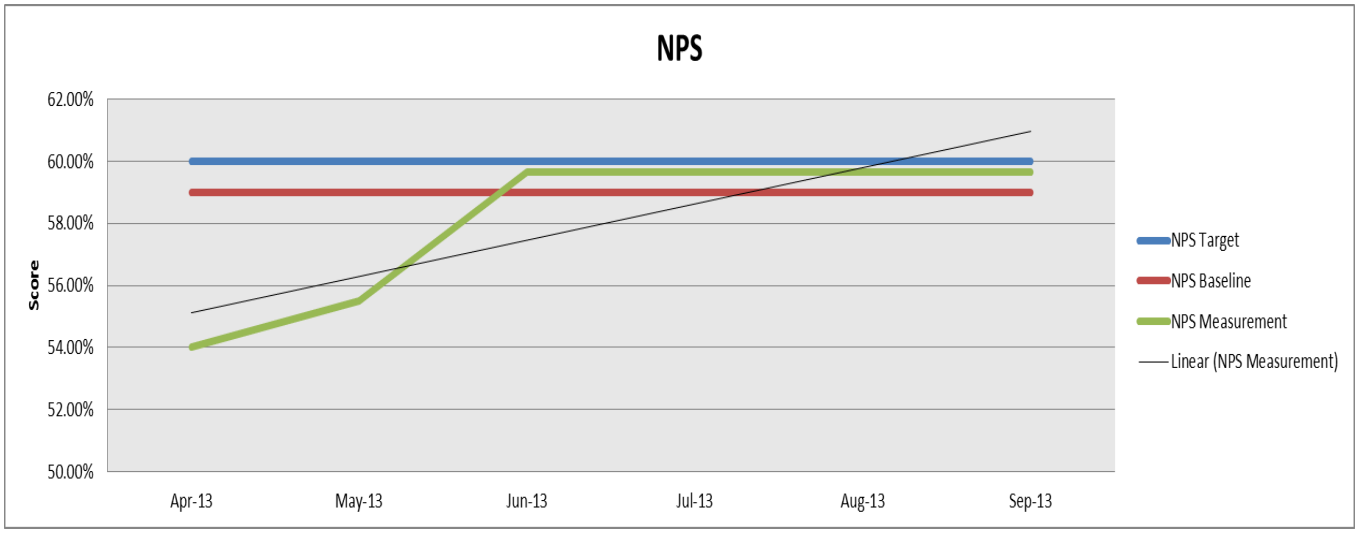
| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Quality Target** | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% | 90.00% |
| **Quality Baseline** | 92.00% | 92.00% | 92.00% | 92.00% | 92.00% | 92.00% |
| **Quality Average Measurement** | 82.44% | 81.64% | 85.09% | 86.57% | 87.66% | 88.71% |



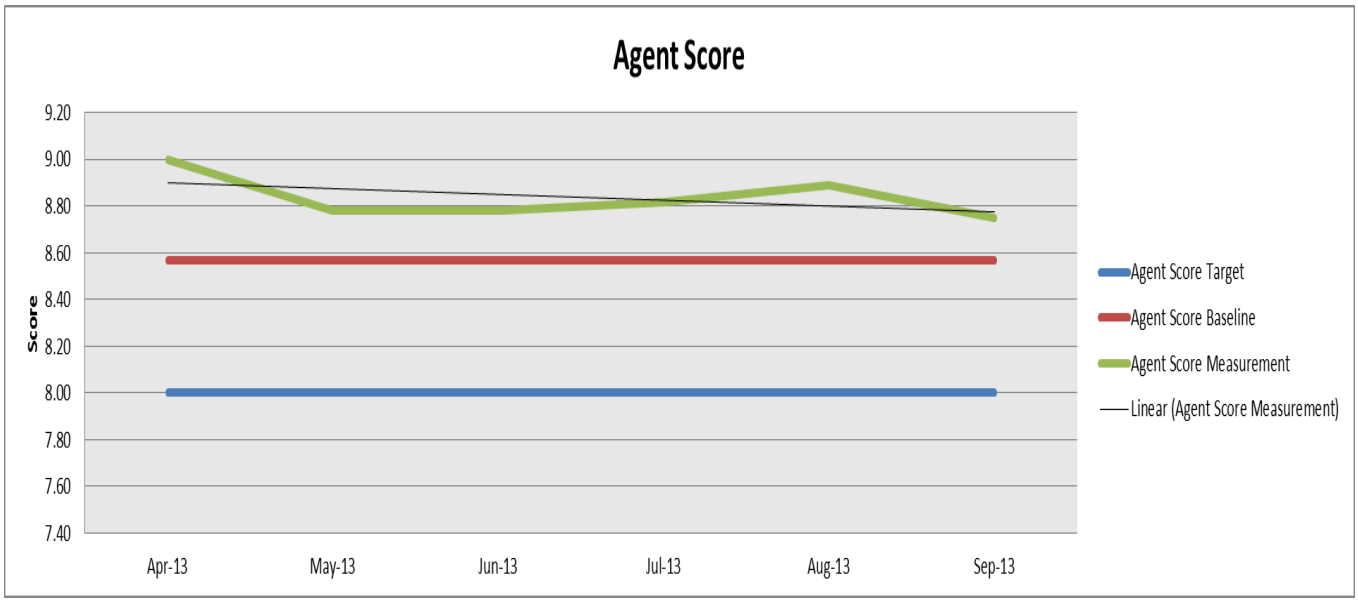

| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **LEO Day Target** | 0.50% | 0.50% | 0.50% | 0.50% | 0.50% | 0.50% |
| **LEO Baseline** | 1.74% | 1.74% | 1.74% | 1.74% | 1.74% | 1.74% |
| **LEO Measurement** | 0.41% | 0.32% | 0.37% | 0.67% | 0.54% | 0.48% |



| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **NPS Target** | 60.00% | 60.00% | 60.00% | 60.00% | 60.00% | 60.00% |
| **NPS Baseline** | 59.00% | 59.00% | 59.00% | 59.00% | 59.00% | 59.00% |
| **NPS Measurement** | 54.00% | 55.50% | 59.67% | 59.67% | 59.67% | 59.67% |




| | Apr-13 | May-13 | Jun-13 | Jul-13 | Aug-13 | Sep-13 |
|---|---|---|---|---|---|---|
| **Agent Score Target** | 8.00 | 8.00 | 8.00 | 8.00 | 8.00 | 8.00 |
| **Agent Score Baseline** | 8.57 | 8.57 | 8.57 | 8.57 | 8.57 | 8.57 |
| **Agent Score Measurement** | 9.00 | 8.78 | 8.78 | 8.82 | 8.89 | 8.75 |



## 8.8 Ethical Clearance Forms

### Participation Agreement

UNIVERSITY OF THE WITWATERSRAND,
JOHANNESBURG

SCHOOL OF INDUSTRIAL ENGINEERING

**INTERVIEWER DECLARATION**

I, Anton Burger am dedicated to upholding the following agreement between myself and _____ for the completion of my MSc Research. I agree to uphold the criteria for ethical conduct as outlined by *The University of the Witwatersrand, Guidelines for Human Research Ethics Clearance Application (non-medical).*

1. With regard to informing the participant prior to the interview:

   Participant Information Sheet written in a language understandable to the participant (or guardian) detailing what the participant will be told. This should include the following:

   - Participation is voluntary, and refusal to participate will involve no penalty or loss of benefits to which the participant is otherwise entitled;
   - The participant may discontinue participation at any time without penalty or loss of benefits;
   - A brief description of the research, its duration, procedures and what the participant may expect and/or be expected to do;
   - Any foreseeable risks, discomforts, side effects or benefits:

2. The participant will be formally invited to participate in the interview.
3. The participant's details shall remain anonymous and only their responses will be considered.
4. They will then be asked to sign a consent form which will:
   - Include a clear statement that the participant is consenting to his/hers involvement in the research, and not to treatment; or remuneration
   - State clearly that the participant is free to withdraw from the study at anytime without prejudicing any current access to facilities. (If this is not made clear, the researcher risks the accusation that consent obtained by subtle coercion that is, the possibility of prejudice against the participant).

Sign_____, Date_____

UNIVERSITY OF THE WITWATERSRAND,
JOHANNESBURG

SCHOOL OF INDUSTRIAL ENGINEERING

**Invitation to participate in a Leadership Development Programme**

Dear _____

I am currently conducting a Case Study Analysis of first line leader effectiveness in **Santam Insurance Company** as part of the Research component of my **MSc in Industrial Engineering (50/50)**. As I am sure you are aware, I will be present at **Santam** over the next 12 months as required. During this time, I will be assisting Santam (specifically within the Incident Management Area) whilst obtaining results for my study.

**What is it about?**

Santam wishes to run a programme uplifting the skills of first line leaders, specifically to:

- Develop, encourage and grow a customer-centric mind-set that forms the foundation of operations in Santam; and
- Develop the competency and skills of the first layers of management so that they are able to effectively manage and improve their area.

I intend to develop and test a framework that will aim to improve the effectiveness of a first line leader. The framework will consist of class room facilitation, competency assessments, role assessments and on the floor coaching.

**How long is the programme?**

The programme will run over a 12 month period and will consist of four phases.

5. **Research & Design phase** – the gathering of data and information required to develop the programme's outcomes and conceptual design, and the development of the programme materials. This will take 2 weeks to complete.
6. **Assess phase** – the initial assessment of the delegates and organisational performance. This will take 4 weeks to complete
7. **Coaching & Training phase** – the execution of the classroom training, coaching and workshops. This will take 6 weeks to complete.
8. **Post Intervention Assessment phase** – a repeat of the initial assessments to measure changes in competency levels and organisational performance. This will be conducted 10-12 months after the programme ended and will take 4 weeks to complete.

**What can you expect?**

Certain competencies are required to execute your daily first line leader managerial tasks. These competencies can be tested through scientific assessments and the results can be used for development. You will be asked to complete online assessments, physical role play and in tray assessments to collect data that will be used to develop a score for each relevant competency and for you as a person.

You will also be asked to attend a workshop to assist in the development of a day planner that will structure all the relevant tasks you need to execute during the day. You will also be assessed against these tasks on how well you execute them.

These assessment results will be confidential and will only be shared with you and your line manager. I will remove any names on the assessment results that are used in my research report to ensure anonymity. The data will be stored in a password protected data base on the Santam network.

Class room training will also be provided and you will be required to attend the training for four consecutive days. The soft skills and hard tools that you will require to be a more effective first line leader will be trained over these four days.

That training will be followed by five weeks of on the job coaching to help you implement the new skills and tools. Constant feedback on your progress will be provided to you during the coaching period.

I will also baseline your business areas organisational performance, using existing key performance indicators before the coaching starts, and take measurements of the same key performance indicators for six months after the coaching ended.

I will also repeat the competency assessments 10-12 months after the coaching ended.

The results of the competency assessments, role assessments and key performance indicators will be used to answer the theoretical propositions of the research project. These results will be shared with you.

If you have any other questions pertaining to the details of the programme, please feel free to contact me on 082 612 4782.

Sincerely,

**Anton Burger**
University of the Witwatersrand,
Johannesburg

**RESPONDENT CONSENT**

I, _____ hereby give consent to participate in the Santam Leadership Development Programme to be conducted by **Anton Burger**. I agree to give information that is accurate and correct, and will otherwise object to answering any questions for which the answers are unclear or unknown, or if I do not feel comfortable answering them. I understand that the information that I will be supplying is for University Research purposes as well as for my own development. I also understand that I am free to withdraw from my participation at any time.

Proposed dates for:

Pre - Competency Assessments - 4-13/12/2012
Day Planner Workshop - 3/12/2012
Role Assessments - 4-8/02/2013 (Plus two more assessments during coaching)
Training - 11-14/02/2013
Coaching - 14/02/2013 to 05/04/2013
Post – Competency Assessments - 12/2013

Name: _____ Sign:_____ Date: _____