

Appendix A: Design of Executive Leadership profile questionnaire

Name of senior executive :

Date and place of interview :

PART 1 – Applying rating

Rating scale:

Where 0 = not at all, 1= once in awhile, 2 = sometimes, 3 = fairly often, 4 = frequently not always.

| Questions | 0 | 1 | 2 | 3 | 4 | Comments |
|--|---|---|---|---|---|----------|
| 1. When goals are set for employees the primary focus is to ensure that specific tasks allocations are properly completed? | | | | | | |
| 2. When evaluating employee performance are the measurables based on tasks and activities? | | | | | | |
| 3. To what extent is completion of tasks and responsibilities used as a primary basis of remunerating and promoting of employees? | | | | | | |
| 4. What would you say to the question that there is only intervention by senior executives regarding employee performance when there is non compliance with standards or when mistakes have been made or when irregularities have been identified? | | | | | | |

Where 0 = not at all, 1= once in awhile, 2 = sometimes, 3 = fairly often, 4 = frequently not always.

| Questions | 0 | 1 | 2 | 3 | 4 | Comments |
|--|---|---|---|---|---|----------|
| 5. Have there been significant changes to operating standards, systems and routine tasks within the company over the past few years? | | | | | | |
| 6. To what extent are senior executives actively involved in ensuring that the standards and rules of the company are being complied with? | | | | | | |
| 7. Would you say that mistakes made by employees are closely monitored? | | | | | | |
| 8. How often is the vision of the future shared with employees, which emphasises optimism and enthusiasm about the future? | | | | | | |
| 9. Do your actions as a leader instil pride, faith and self respect on employees? | | | | | | |
| 10. Do you often focus on the values, ethics and accomplishments of the company when interacting with employees? | | | | | | |

Where 0 = not at all, 1= once in awhile, 2 = sometimes, 3 = fairly often, 4 = frequently not always.

| Questions | 0 | 1 | 2 | 3 | 4 | Comments |
|---|---|---|---|---|---|----------|
| 11. Leadership theory indicates that executives use a caring leadership. Given the uniqueness of each individual this means valuing the contribution of each employee. Is this a style of leadership that applies to you? | | | | | | |
| 12. To what extent are projects in your company allocated to individuals to stimulate learning experiences, provide on the job training and coaching and instil confidence? | | | | | | |
| 13. To what extent are employees encouraged to attend technical and personal development training courses. | | | | | | |
| 14. To what extent is there counselling of employees to evaluate performance for the purposes remuneration and career development. | | | | | | |
| 15. When resolving problems and taking risks how often are the discussions held with employees to intellectually stimulate them? | | | | | | |

Where 0 = not at all, 1= once in awhile, 2 = sometimes, 3 = fairly often, 4 = frequently not always.

| Questions | 0 | 1 | 2 | 3 | 4 | Comments |
|---|---|---|---|---|---|----------|
| 16. How often do you encourage employees to introduce new thinking, express new ideas and question "old ways" of doing things? | | | | | | |
| 17. How often are inspirational and motivational talks held with employees to build confidence, provide assurances and to create a common vision? | | | | | | |
| 18. Do the values prescribed by the company inspire, provide meaning for and instil a sense of purpose in employees. | | | | | | |
| 19. How often would you say that you actively try and get the best out of people? | | | | | | |

PART 2: Yes or No

| Questions | Yes | No | Comments |
|---|------------|-----------|-----------------|
| 1. The primary responsibility of the organisation to is serve its employees and stakeholders. | | | |
| 2. The vision of the company includes a value system that protects and promotes organisation integrity and encourages learning. | | | |
| 3. The company's employees have trust in me and I have trust in them. | | | |
| 4. The company's employees and stakeholders have confidence in my values and competence. | | | |
| 5. You demonstrate that you are committed to ethical behaviour and good governance. | | | |
| 6. You have physical interaction with employees on a regular basis. | | | |
| 7. Through your actions you are to able persuade employees to follow the path to meet organisational objectives. | | | |
| 8. You continuously receive input from employees regarding organisational matters. | | | |

| Questions | Yes | No | Comments |
|--|-----|----|----------|
| 9. You find it easy to delegate responsibilities to employees. | | | |
| 10. The company has embraced the concept of Ubuntu as part of its organisational values. | | | |
| 11. The company recognises the culturally diverse nature of its employees and uses this to its best advantage. | | | |
| 12. The vision of the company is embraced and committed to by all within the organisation. | | | |
| 13. The employees are depended on me as I am depended on them. | | | |
| 14. The organisation functions as a community. | | | |
| 15. You regularly attend leadership courses to enhance my leadership skills. These courses which provides me with feedback and coaching. Remedial actions are monitored through work-based projects. | | | |
| 16. You have a role model or mentor to develop my leadership capabilities. | | | |
| 17. You receive regular feedback regarding my strategic and other leadership skills from other corporate executives. | | | |

Appendix B: Design of subordinate questionnaire

Transactional and transformational leadership theory

- Subordinates responses to the leadership profiles of their senior executives

Directions: Listed below are descriptive statements about your senior executive. For each statement we would like you to judge *how frequently* your senior executive has displayed the behaviour described.

Use the following for the five possible responses for questions 1 to 72

- A - Frequently, If not always
- B - Fairly Often
- C - Sometimes
- D - Once in a while
- E - Not at all

Apply ✓ to appropriate rating

| | Descriptive statements | A | B | C | D | E |
|----|---|----------|----------|----------|----------|----------|
| 1 | Makes me feel good to be around him/her. | | | | | |
| 2 | Makes me feel and acts like a leader. | | | | | |
| 3 | Is satisfied when I meet the agreed-upon standards for good work. | | | | | |
| 4 | Makes me feel ready to sacrifice my own self-interests for the good of the company. | | | | | |
| 5 | Makes me feel we can reach our goals without him/her if we have to. | | | | | |
| 6 | I earn credit with him/her by doing my job well. | | | | | |
| 7 | Assures me I can get what I personally want in exchange for my efforts. | | | | | |
| 8 | Makes me go beyond my own self interests for the good of the company. | | | | | |
| 9 | Puts suggestions by employees into operation. | | | | | |
| 10 | Finds out what I want and tries to help get it. | | | | | |
| 11 | You can count on him/her to express his/her appreciation when you do a good job. | | | | | |
| 12 | Commands respect from everyone. | | | | | |
| 13 | I put all my efforts into accomplishing each task as a consequence of his/her leadership. | | | | | |

| | Descriptive statements | A | B | C | D | E |
|----|--|----------|----------|----------|----------|----------|
| 14 | Because of him/her, I am less concerned about my own immediate needs and am concerned about company reaching its objectives. | | | | | |
| 15 | Gives personal attention to employees who seem neglected. | | | | | |
| 16 | Earns my esteem by helping me get what I want. | | | | | |
| 17 | He/she is a role model for me to follow. | | | | | |
| 18 | In my mind, he/she is a symbol of success and accomplishment. | | | | | |
| 19 | Has provided me with new ways of looking at things which used to be a puzzle for me. | | | | | |
| 20 | Is a good team player. | | | | | |
| 21 | Talks a lot about special commendations and promotions for good work. | | | | | |
| 22 | I am ready to trust his capacity and judgement to overcome any obstacle. | | | | | |
| 23 | Makes me concentrate on my self-interest rather than what is good for the company. | | | | | |
| 24 | Makes me do more than I expected I could do. | | | | | |
| 25 | Is content to let me continue doing my job in the same way as always. | | | | | |
| 26 | Is an inspiration to me. | | | | | |
| 27 | Makes me proud to be associated with him/her. | | | | | |
| 28 | Lets me know how I am doing. | | | | | |
| 29 | Has a special gift for seeing what it is that really is important for me for consider. | | | | | |
| 30 | His/her ideas have forced me to rethink some of my own ideas which I had never questioned before. | | | | | |
| 31 | Makes clear what I can expect if my performance meets designated standards. | | | | | |
| 32 | Enables me to think about old problems in new ways. | | | | | |
| 33 | Is a dominant figure in our company. | | | | | |
| 34 | Makes me feel that as long as I do my job satisfactorily I can expect to move ahead. | | | | | |

| | Descriptive statements | A | B | C | D | E |
|----|---|----------|----------|----------|----------|----------|
| 35 | Makes sure that payoffs for good subordinate performance are made as quickly as possible. | | | | | |
| 36 | Inspires loyalty to him/her. | | | | | |
| 37 | Increases my optimism for the future. | | | | | |
| 38 | Is inner-directed. | | | | | |
| 39 | Inspires loyalty to the company. | | | | | |
| 40 | I have complete faith in him/her. | | | | | |
| 41 | Excites us with his/her visions of what we may be able to accomplish. | | | | | |
| 42 | Treats each subordinate individually. | | | | | |
| 43 | Spends time talking about the purposes of our company. | | | | | |
| 44 | Arouses my awareness about what is really important. | | | | | |
| 45 | Accepts me for what I am as long as I do my job. | | | | | |
| 46 | Is a father figure to me. | | | | | |
| 47 | I decide what I want; he/she shows me how to get it. | | | | | |
| 48 | Sets standards for me which can be easily maintained. | | | | | |
| 49 | Encourages me to express my ideas and opinions. | | | | | |
| 50 | Motivates me to do more than I originally expected I would do. | | | | | |
| 51 | Heightens my motivation to succeed. | | | | | |
| 52 | Whenever I feel it necessary, I can negotiate with him/her what I can get for what I accomplish. | | | | | |
| 53 | Asks no more for me than what is absolutely essential to get the work done. | | | | | |
| 54 | Provides means for me to communicate with others. | | | | | |
| 55 | Encourages me to put my free time to good use. | | | | | |
| 56 | Tends to spend his/her time "putting out fires" rather than focusing on long term considerations. | | | | | |
| 57 | Only tells me what I have to know to do my job. | | | | | |
| 58 | Gives us a vision of what needs to be done and depends on us to fill in the details. | | | | | |
| 59 | Encourages understanding of points of view of other employees. | | | | | |

| | Descriptive statements | A | B | C | D | E |
|----|--|----------|----------|----------|----------|----------|
| 60 | As long as things are going right he/she does not try to change anything. | | | | | |
| 61 | Gives me a sense of overall purpose. | | | | | |
| 62 | Tells me what I should do if I want to be rewarded for my efforts. | | | | | |
| 63 | I cannot succeed in reaching our goals without him/her. | | | | | |
| 64 | Gives me what I want in exchange for showing my support for her/him. | | | | | |
| 65 | Has sense of mission which he/she transmits to me. | | | | | |
| 66 | Sees to it that my needs are met. | | | | | |
| 67 | Makes everyone around him/her enthusiastic about projects. | | | | | |
| 68 | As long as the old ways work, he/she is satisfied with my performance. | | | | | |
| 69 | I model my own behaviour after his/hers. | | | | | |
| 70 | It is all right if I take initiatives but he/she does not encourage me to do so. | | | | | |
| 71 | There is a close agreement between what I am expected to put into the company effort and what I can get out of it. | | | | | |
| 72 | Without his/her vision of what lies ahead of us, we would find it difficult, if not impossible, to get very far. | | | | | |
| | | | | | | |
| 74 | This person I am describing is a | Male | | Female | | |
| 75 | I have worked for this person for | Years | | | | |

Use the following for the five possible responses for questions 76 to 79

- A - Extremely effective
- B - Very effective
- C - Effective
- D - Only slightly effective
- E - Not effective

Apply √ to appropriate rating

| | Descriptive statements | A | B | C | D | E |
|----|---|----------|----------|----------|----------|----------|
| 76 | The overall work effectiveness of your company can be classified as: | | | | | |
| 77 | Compared to other companies you have ever known, how do you rate the company's effectiveness. | | | | | |
| 78 | How effective is your senior executive in meeting the job-related needs of your fellow workers. | | | | | |
| 79 | How effective is your senior executive in meeting the requirements of your company. | | | | | |

Use the following for the five possible responses for questions 80 to 81

- A - Very satisfied
- B - Fully satisfied
- C - Satisfied nor dissatisfied
- D - Somewhat dissatisfied
- E - Very dissatisfied

Apply √ to appropriate rating

| | Descriptive statements | A | B | C | D | E |
|----|--|----------|----------|----------|----------|----------|
| 80 | In all, how satisfied are you with your senior executive? | | | | | |
| 81 | In all, how satisfied are you that the methods of leadership used by your senior executive are or were the right ones for getting your company's job done? | | | | | |

Appendix C: Sample of e-mails sent to executives

Example A

From: Soma, Reshma R

Sent: 26 August 2005 12:26

To: Executive A

Cc: Personal assistant

Subject: The makings of a successful business leader in South Africa

Importance: High

Mr A

"Are great leaders born or are they developed"; this has been a contentious issue over decades. Leadership has been accepted as fundamental in the success of organisations in this competitive era. This leads into my reason for writing to you. I am currently an operational risk manager with X and I am in my final year of MBL studies. I am completing a thesis which focuses on the competencies that contribute to developing great leaders within Blue chip organisations in the financial services sector.

In identifying you as someone, who has been instrumental in securing the and establishing a strong footprint in, I wish to request a few moments in your diary to establish what makes you a great leader. Leadership is not about developing a good strategy but more so around mobilising that strategy and as stated by you: "At Bank C" we apply a proactive approach in our efforts to deliver service that exceeds the customers' expectations. Hence, we were ready well in advance, edging out our competitors."

It is this level of leadership that differentiates you. In summation I **would be honoured with an opportunity to include your views and practices of best leadership practices in my thesis.**

I await your favourable response in this matter.

Regards

Reshma Soma

Example B

From: Soma, Reshma R

Sent: 31 August, 2005 09:50

To: Executive B

Subject: The makings of a successful business leader in South Africa

Importance: High

Mr B

I am currently an operational risk manager within and I am in my final year of MBL studies. I am completing a thesis which focuses on the competencies that contribute to developing great leaders within Blue chip organisations in the financial services sector.

In identifying you as someone who believes in “Ubuntu” and ensures that when the bank takes decision it is done with consideration for how it affects and improves the quality of life for the broader South African community, I would be honoured with an opportunity to discuss this philosophy and other leadership styles with you.

You have progressed from being an advocate, to serving as the to your current responsibility as group executive for and Your wide experience and leadership style, among other attributes would have most certainly contributed to your success. **I wish to request a few moments of your time to include your views of best leadership practices in my thesis.**

I await your favourable response in this matter.

Regards

Reshma Soma

Appendix D: Sample of e-mail from senior executive declining interview

From: Executive C

Sent: 12 September, 2005 17:03

To: Soma, Reshma R

Subject: The makings of a successful business leader in South Africa

Dear Reshma

Thank you for your flattering remarks and considering me for your thesis. Unfortunately I cannot be of assistance. You will appreciate that I get many such requests and regrettably have to decline most. The principle I use is to prioritise people within our organisation and they keep me busy!

I hope that this does not inconvenience you.

Regards

Executive C

Appendix E: Sample of e-mails sent to subordinates

From: Soma, Reshma R
Sent: 10 October 2005 16:40
To: Subordinate
Subject: RE: RE- Successful Business Leaders of South Africa

Importance: High

Follow Up Flag: Follow up
Due By: 19 October 2005 00:00
Flag Status: Flagged

Attachments: Subordinate questionnaire (MM).doc

Good day,

Thank you for participating in this research project. The overall objective is to analyse the competencies that business leaders should acquire, develop and sustain that would result not only in them or their companies being successful, but also those competencies that would lead to prosperity for their employees, communities and the country as whole.

It is hoped that your contribution to the research will provide a better understanding of the competency requirements of South African business leaders.

The questionnaire will not take more than 20 minutes to complete. I would appreciate receiving your feedback by the 19th of October 2005. All information provided will be treated as confidential and will not be distributed to any external parties.

Enclosed is a copy of the questionnaire. Once you have completed it please email it directly to me at Reshma.Soma@standardbank.co.za.

If you have any questions or require additional information please contact me.

I thank you for your co-operation and assistance in this regard.

Kind Regards
Reshma Soma

Appendix F: Analysis of MLQ according to leadership style

Adapted from Leadership and Performance Beyond Expectations – BM Bass 1985

| | Descriptive statements | Leadership style | Competency |
|----|--|-------------------------|------------------------------|
| 1 | Makes me feel good to be around him/her. | Transformational | Charisma |
| 2 | Makes me feel and acts like a leader. | Transformational | Charisma |
| 3 | Is satisfied when I meet the agreed-upon standards for good work. | Transformational | Individualized consideration |
| 4 | Makes me feel ready to sacrifice my own self-interests for the good of the company. | Transformational | Charisma |
| 5 | Makes me feel we can reach our goals without him/her if we have to. | Transformational | Individualized consideration |
| 6 | I earn credit with him/her by doing my job well. | Transformational | Individualized consideration |
| 7 | Assures me I can get what I personally want in exchange for my efforts. | Transactional | Contingent reward |
| 8 | Makes me go beyond my own self interests for the good of the company. | Transformational | Charisma |
| 9 | Puts suggestions by employees into operation. | Transformational | Individualized consideration |
| 10 | Finds out what I want and tries to help get it. | Transformational | Individualized consideration |
| 11 | You can count on him/her to express his/her appreciation when you do a good job. | Transformational | Individualized consideration |
| 12 | Commands respect from everyone. | Transformational | Charisma |
| 13 | I put all my efforts into accomplishing each task as a consequence of his/her leadership. | Transactional | Management by exception |
| 14 | Because of him/her, I am less concerned about my own immediate needs and am concerned about company reaching its objectives. | Transformational | Individualized consideration |
| 15 | Gives personal attention to employees who seem neglected. | Transformational | Individualized consideration |

| | Descriptive statements | Leadership style | Competency |
|----|---|-------------------------|------------------------------|
| 16 | Earns my esteem by helping me get what I want. | Transformational | Charisma |
| 17 | He/she is a role model for me to follow. | Transformational | Charisma |
| 18 | In my mind, he/she is a symbol of success and accomplishment. | Transformational | Charisma |
| 19 | Has provided me with new ways of looking at things which used to be a puzzle for me. | Transformational | Intellectual stimulation |
| 20 | Is a good team player. | Transformational | Charisma |
| 21 | Talks a lot about special commendations and promotions for good work. | Transactional | Contingent reward |
| 22 | I am ready to trust his capacity and judgement to overcome any obstacle. | Transformational | Charisma |
| 23 | Makes me concentrate on my self-interest rather than what is good for the company. | Transactional | Management by exception |
| 24 | Makes me do more than I expected I could do. | Transformational | Intellectual stimulation |
| 25 | Is content to let me continue doing my job in the same way as always. | Transactional | Management by exception |
| 26 | Is an inspiration to me. | Transformational | Charisma |
| 27 | Makes me proud to be associated with him/her. | Transformational | Charisma |
| 28 | Lets me know how I am doing. | Transformational | Individualized consideration |
| 29 | Has a special gift for seeing what it is that really is important for me for consider. | Transformational | Charisma |
| 30 | His/her ideas have forced me to rethink some of my own ideas which I had never questioned before. | Transformational | Intellectual stimulation |
| 31 | Makes clear what I can expect if my performance meets designated standards. | Transactional | Contingent reward |
| 32 | Enables me to think about old problems in new ways. | Transformational | Intellectual stimulation |
| 33 | Is a dominant figure in our company? | Transformational | Charisma |

| | Descriptive statements | Leadership style | Competency |
|----|--|-------------------------|------------------------------|
| 34 | Makes me feel that as long as I do my job satisfactorily I can expect to move ahead. | Transformational | Individualized consideration |
| 35 | Makes sure that payoffs for good subordinate performance are made as quickly as possible. | Transactional | Contingent reward |
| 36 | Inspires loyalty to him/her. | Transformational | Charisma |
| 37 | Increases my optimism for the future. | Transformational | Charisma |
| 38 | Is inner-directed. | Transactional | Management by exception |
| 39 | Inspires loyalty to the company. | Transformational | Charisma |
| 40 | I have complete faith in him/her. | Transformational | Charisma |
| 41 | Excites us with his/her visions of what we may be able to accomplish. | Transformational | Charisma |
| 42 | Treats each subordinate individually. | Transformational | Individualized consideration |
| 43 | Spends time talking about the purposes of our company. | Transformational | Charisma |
| 44 | Arouses my awareness about what is really important. | Transformational | Intellectual stimulation |
| 45 | Accepts me for what I am as long as I do my job. | Transactional | Management by exception |
| 46 | Is a father figure to me. | Transformational | Charisma |
| 47 | I decide what I want; he/she shows me how to get it. | Transactional | Contingent reward |
| 48 | Sets standards for me which can be easily maintained. | Transactional | Management by exception |
| 49 | Encourages me to express my ideas and opinions. | Transformational | Charisma |
| 50 | Motivates me to do more than I originally expected I would do. | Transformational | Intellectual stimulation |
| 51 | Heightens my motivation to succeed. | Transformational | Intellectual stimulation |
| 52 | Whenever I feel it necessary, I can negotiate with him/her what I can get for what I accomplish. | Transactional | Contingent reward |

| | Descriptive statements | Leadership style | Competency |
|----|---|-------------------------|------------------------------|
| 53 | Asks no more for me than what is absolutely essential to get the work done. | Transactional | Management by exception |
| 54 | Provides means for me to communicate with others. | Transformational | Individualized consideration |
| 55 | Encourages me to put my free time to good use. | Transformational | Individualized consideration |
| 56 | Tends to spend his/her time “putting our fires” rather than focusing on long term considerations. | Transactional | Management by exception |
| 57 | Only tells me what I have to know to do my job. | Transactional | Management by exception |
| 58 | Gives us a vision of what needs to be done and depends on us to fill in the details. | Transformational | Charisma |
| 59 | Encourages understanding of points of view of other employees. | Transformational | Charisma |
| 60 | As long as things are going right he/she does not try to change anything. | Transactional | Management by exception |
| 61 | Gives me a sense of overall purpose. | Transformational | Charisma |
| 62 | Tells me what I should do if I want to be rewarded for my efforts. | Transactional | Contingent reward |
| 63 | I cannot succeed in reaching our goals without him/her. | Transactional | Management by exception |
| 64 | Gives me what I want in exchange for showing my support for her/him. | Transactional | Contingent reward |
| 65 | Has sense of mission which he/she transmits to me. | Transformational | Charisma |
| 66 | Sees to it that my needs are met. | Transformational | Individualized consideration |
| 67 | Makes everyone around him/her enthusiastic about projects. | Transformational | Charisma |
| 68 | As long as the old ways work, he/she is satisfied with my performance. | Transactional | Management by exception |
| 69 | I model my own behaviour after his/hers. | Transformational | Charisma |

| | Descriptive statements | Leadership style | Competency |
|----|--|-------------------------|-------------------------|
| 70 | It is all right if I take initiatives but he/she does not encourage me to do so. | Transactional | Management by exception |
| 71 | There is a close agreement between what I am expected to put into the company effort and what I can get out of it. | Transactional | Management by exception |
| 72 | Without his/her vision of what lies ahead of us, we would find it difficult, if not impossible, to get very far. | Transformational | Charisma |

Appendix G: Results of senior executives' leadership profile questionnaire

Where 0 = not at all, 1= once in awhile, 2 = sometimes, 3 = fairly often, 4 = frequently not always.

| Questions/Rating | Senior Executive | | | | | | | | Comments |
|--|------------------|---|---|---|---|---|---|---|--|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| | W | B | W | B | W | B | W | B | |
| <p>Transactional leadership questions- Contingent reward</p> <p>1) When goals are set for employees the primary focus is to ensure that specific task allocations are properly completed?</p> | 1 | 1 | 1 | 4 | 2 | 2 | 3 | 4 | <ul style="list-style-type: none"> Provide direction/end goal Employee sent specific task Balanced scorecard process common Outcomes based measurement |
| <p>2) When evaluating employee performance are the measurable based on tasks and activities?</p> | 1 | 0 | 1 | 4 | 2 | 4 | 3 | 3 | <ul style="list-style-type: none"> Employee responsible for task allocation Measurables are outcome based 75% Goals & objectives 25% Personal |
| <p>3) To what extent is completion of tasks and responsibilities used as a primary basis of remunerating and promoting of employees?</p> | 3 | 0 | 2 | 4 | 3 | 3 | 3 | 4 | <ul style="list-style-type: none"> Incentive based |

| Questions/Rating | Senior Executive | | | | | | | | Comments |
|--|------------------|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| | W | B | W | B | W | B | W | B | |
| <p>Transactional leadership questions Management by exception - passive</p> <p>1) What would you say to the question that there is only intervention by senior executives regarding employee performance when there is non compliance with standards or when mistakes have been made or when irregularities have been identified?</p> | 0 | 0 | 1 | 3 | 0 | 3 | 4 | 1 | <ul style="list-style-type: none"> ▪ Hands-on involvement ▪ Only intervene when there is a crises ▪ Corrective action on an ad hoc basis ▪ Management by walking about ▪ Reward and recognition/ coaching, mentoring, learning from mistakes ▪ Not reactive behaviour ▪ “Participative management/ communication style |
| <p>2) Have there been significant changes to operating standards, systems and routine tasks within the company over the past few years.</p> | 4 | 4 | 4 | 3 | 4 | 4 | 4 | 3 | <ul style="list-style-type: none"> ▪ Innovation drive ▪ Interrogate the way things are done ▪ Political dispensation changed ▪ New entrants, regulation & legislation ▪ Changing mindsets – common goal orientated |
| <p>Transactional leadership questions Management by exception – active</p> <p>1) To what extent are senior executives actively involved in ensuring that the standards and rules of the company are being complied with?</p> | 4 | 4 | 4 | 2 | 3 | 3 | 4 | 4 | <ul style="list-style-type: none"> ▪ Actions based on outcomes ▪ Processes in place to monitor compliance ▪ At reporting times (monthly) ▪ 80% of job responsibility ▪ Compliance, risk management, governance |

| Questions/Rating | Senior Executive | | | | | | | | Comments |
|---|------------------|---|---|---|---|---|---|---|--|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| | W | B | W | B | W | B | W | B | |
| 2) Would you say that mistakes made by employees are closely monitored? | 4 | 2 | 0 | 2 | 3 | 2 | 3 | 4 | <ul style="list-style-type: none"> ▪ Performance based KPI culture ▪ Monitored by incidents ▪ Systems in place to monitor ▪ Not that strictly, mistakes allowed ▪ Through governance rules ▪ Empowerment (high risk, high values) |
| Transformational leadership Charisma 1) How often is the vision of the future shared with employees, which emphasises optimism and enthusiasm about the future? | 2 | 4 | 3 | 4 | 3 | 4 | 4 | 3 | <ul style="list-style-type: none"> ▪ Via presentations ▪ Twice a year communication to employees ▪ Internal channels, TVs, Road shows |
| Transformational leadership Charisma 2) Do your actions as a leader instil pride, faith and self respect on employees? | 3 | | 3 | 4 | 3 | 4 | | 3 | <ul style="list-style-type: none"> ▪ Motivation, positive reinforcement ▪ Empathy - “casual yet though” ▪ Behaviour of leaders – live by which value system is subscribed to |
| 3) Do you often focus on the values, ethics and accomplishments of the company when interacting with employees? | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 3 | <ul style="list-style-type: none"> ▪ Talk about it all the time ▪ “Ethical & human endeavour” ▪ Organ of social change to meet the needs of the people ▪ Team leader interaction ▪ 360^o measurement/ climate studies, customer rewarded financial performance ▪ Walk the talk (on value & fairness) |

| Questions/Rating | Senior Executive | | | | | | | | Comments |
|---|------------------|---|---|---|---|---|---|---|--|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| | W | B | W | B | W | B | W | B | |
| <p>Transformational leadership Individualized consideration</p> <p>1) Leadership theory indicates that executives use a caring leadership. Given the uniqueness of each individual this means valuing the contribution of each employee. Is this a style of leadership that applies to you?</p> | 4 | 2 | 3 | 4 | 4 | 3 | 2 | 4 | <ul style="list-style-type: none"> ▪ “What he believes is right” – human dignity ▪ Emphasis is on performance ▪ “Best collectively as a team – little that individual can contribute to” ▪ Yes, but establish credibility. |
| <p>2) To what extent are projects in your company allocated to individuals to stimulate learning experiences, provide on the job training and coaching and instil confidence?</p> | 3 | 0 | 3 | 3 | 1 | 4 | 3 | 3 | <ul style="list-style-type: none"> ▪ Projects are based on organisational need /objective ▪ Executive development programs ▪ Autonomy ▪ Delegated authority ▪ Based on circumstance and executive duty ▪ Firm believer in doing that (established program with SETA) |
| <p>Transformational leadership Individualized consideration</p> <p>3) To what extent are employees encouraged to attend technical and personal development training courses.</p> | 2 | 2 | 3 | 4 | 2 | 3 | 3 | 4 | <ul style="list-style-type: none"> ▪ Part of improving oneself ▪ Part of developmental plans ▪ Part of one-on-one sessions ▪ Employees must take ownership for self development |
| <p>4) To what extent is there counselling of employees to evaluate performance for the purposes remuneration and career development.</p> | 1 | 4 | 3 | 4 | 2 | 3 | 3 | 4 | <ul style="list-style-type: none"> ▪ Bi-annual ▪ Not enough of coaching (annual) ▪ Formal process ▪ Fortnightly one-on-one (scenario analysis) |

| Questions/Rating | Senior Executive | | | | | | | | Comments |
|---|------------------|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| | W | B | W | B | W | B | W | B | |
| <i>Transformational leadership Intellectual stimulation</i> 1) When resolving problems and taking risks how often are the discussions held with employees to intellectually stimulate them? | 4 | 4 | 1 | 3 | 3 | 4 | 2 | 3 | <ul style="list-style-type: none"> ▪ Consultative basis ▪ Risk is centre of business ▪ At one-on-one (every two weeks) |
| 2) How often do you encourage employees to introduce new thinking, express new ideas and question “old ways” of doing things | 3 | 4 | 4 | 4 | 3 | 3 | 2 | 3 | <ul style="list-style-type: none"> ▪ Customer satisfaction first ▪ Read, Question, “Argument from parallel case” (from different jurisdictions) ▪ “Best innovative idea” (gets recognition) ▪ “Way of life” – open communication. Invited to make recommendations, Express views (annual amendments). ▪ Solution mode – scenario analysis. |
| <i>Transformational leadership Inspiration</i> 1) How often are inspirational and motivational talks held with employees to build confidence, provide assurances and to create a common vision? | 4 | 2 | 3 | 1 | 3 | 3 | 3 | 2 | <ul style="list-style-type: none"> ▪ Self motivation encouraged – result in success within the team ▪ Three road shows a year |
| 2) Do the values prescribed by the company inspire, provide meaning for and instils a sense of purpose in employees | 4 | 4 | 3 | 4 | 4 | 4 | 1 | 3 | <ul style="list-style-type: none"> ▪ Value based (Ubuntu, Innovation, Accountability, Trust) |

| Questions/Rating | Senior Executive | | | | | | | | Comments |
|--|------------------|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| | W | B | W | B | W | B | W | B | |
| 3) How often would you say that you actively try and get the best out of people? | 4 | 4 | 4 | 4 | 4 | 4 | 3 | 4 | <ul style="list-style-type: none"> Natural laws Empowerment of staff (Express trust & responsibility) |

Servant leadership questions

| Question Y/N | Senior Executive | | | | | | | | Comments |
|---|------------------|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| | W | B | W | B | W | B | W | B | |
| 1) The primary responsibility of the organisation is to serve its employees and stakeholders. | N | N | Y | N | Y | Y | Y | Y | <ul style="list-style-type: none"> Customer centre Customer, employees, shareholders, community, government – all equally important |
| 2) The vision of the company includes a value system that protects and promotes organisation integrity and encourages learning. | Y | Y | Y | Y | Y | Y | Y | Y | |
| 3) The company's employees have trust in me and I have trust in them. | Y | Y | Y | Y | Y | Y | N | Y | <ul style="list-style-type: none"> Assess through annual employee surveys |
| 4) The company's employees and stakeholders have confidence in my values and competence. | Y | Y | Y | Y | Y | Y | Y | Y | <ul style="list-style-type: none"> Evidenced through rewards, benefits Corporate responsibility Assessment from Board |

| Question Y/N | Senior Executive | | | | | | | | Comments |
|--|------------------|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| | W | B | W | B | W | B | W | B | |
| 5) Do you demonstrate that you are committed to ethical behaviour and good governance. | Y | Y | Y | Y | Y | Y | Y | Y | <ul style="list-style-type: none"> ▪ If breach – rectified through system of control ▪ “My word is my bond” – Protect “my work my life” |
| 6) You have physical interactions with employees on a regular basis. | Y | Y | Y | Y | Y | Y | Y | Y | <ul style="list-style-type: none"> ▪ With staff at branches (tellers, enquiry clerks, floor staff) |
| 7) Through your actions are you able to persuade employees to follow the path to meet organisational objectives. | Y | Y | Y | Y | Y | Y | Y | Y | |
| 8) You ongoing receive input from employees regarding organisational matters. | Y | Y | Y | Y | Y | Y | Y | Y | <ul style="list-style-type: none"> ▪ Tiered approach ▪ Open communication ▪ Hands on at branches |
| 9) You find it easy to delegate responsibilities to employees. | Y | Y | Y | Y | Y | Y | Y | Y | <ul style="list-style-type: none"> ▪ Twice a week |

African leadership questions

| Question Y/N | Senior Executive | | | | | | | | Comments |
|---|------------------|---|---|---|---|---|---|---|--|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| | W | B | W | B | W | B | W | B | |
| 1) The company has embraced the concept of Ubuntu as part of its organisational values. | Y | N | Y | Y | Y | Y | N | N | <ul style="list-style-type: none"> ▪ Support National government style ▪ Biggest fear is Bank is becoming irrelevant ▪ Require indoctrination and changing management ▪ Ubuntu is value communicated as formal process |
| 2) The company recognises the culturally diverse nature of its employees and uses this to its best advantage. | Y | Y | Y | Y | Y | Y | Y | Y | <ul style="list-style-type: none"> ▪ Can do better – young in transformation ▪ “Trying” |
| 3) The vision of the company is embraced and committed to by all within the organisation. | Y | N | Y | Y | Y | Y | Y | Y | |
| 4) The employees are depended on me as I am depended on them. | N | Y | Y | Y | N | Y | Y | Y | <ul style="list-style-type: none"> ▪ More dependent on them ▪ “Not sure if dependent on me” ▪ Teamwork |
| 5) The organisation functions as a community. | N | N | Y | Y | Y | N | Y | N | <ul style="list-style-type: none"> ▪ Competent /capability not belonging to a group |

Emotional intelligence development training questions

| Question Y/N | Senior Executive | | | | | | | | Comments |
|---|------------------|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| | W | B | W | B | W | B | W | B | |
| 1) Do you regularly attend leadership courses to enhance your leadership skills. Do you receive feedback and coaching and remedial actions are monitored through work-based projects. | Y | N | N | Y | Y | Y | Y | Y | <ul style="list-style-type: none"> ▪ 360° every six months ▪ Reading to acquire knowledge ▪ Feedback received from some bank executives ▪ Action learning (global leadership program) ▪ Not enough – can do better ▪ Receive superior/ subordinate feedback |
| 2) I have a role model or mentor to develop my leadership capabilities. | Y | Y | Y | Y | Y | Y | Y | Y | <ul style="list-style-type: none"> ▪ External executive coaching (x2) ▪ Internal (Chairman) ▪ Four coaches (internal and external) |
| 3) I receive regular feedback regarding my strategic and other leadership skills from other corporate executives. | N | Y | Y | N | Y | Y | Y | Y | <ul style="list-style-type: none"> ▪ 360 Feedback, not a formal basis ▪ Two way development from/with other executives ▪ Time-to-to and Biannual – through leadership index (subordinate and peer review) ▪ Informal |

