10   Appendix

Appendix 1: Research template

Presented here is a sample of the structured interview template used for maturity assessment of knowledge sharing and the use of stories and storytelling.

Template for interviews in order to assess knowledge sharing and storytelling maturity at Kumba Resources Continuous Improvement Community of Practice (CICOP).

Before the interview, the following will be provided to each interviewee:

- An introduction to the research project.
- Explanation of the purpose of the interview. The anonymity of the interviewee's responses will be confirmed.
- Explanation of how the results of the interview will be used.
- Indication of the planned follow-up steps.

Part One: Interviewee demographics

Name (first name, surname)	
Phone (office and mobile)	
Email address	
Job title and brief description of job role (including service length in Kumba Resources, how long current position held, primary responsibilities, reporting lines)	
Brief description of CICOP role	

Part Two: Maturity assessment on status of Knowledge Sharing (KS) in the Kumba Resources CICOP

The maturity assessment will be based on a joint assessment between the interviewer and interviewee and based on the criteria used in the table below. If doubt exists as to whether a capability level has been achieved, the next lower level will be selected.

Item number	Questions	Comments	Capability maturity (see level descriptions in table attached)
KS01	How would you assess the maturity of ownership of KS (e.g. person responsible)?		
KS02	How would you assess the maturity of objectives for KS (e.g. what and why to share)?		
KS03	How would you assess the maturity of tools & practices for KS (e.g. mentoring, stories, simulation)?		
KS04	How would you assess the maturity of training & education for KS?		
KS05	How would you assess the maturity of measures of KS (e.g. frequency, formal versus informal)?		
KS06	How would you assess the maturity of success stories of KS (e.g. benefits achieved)?		
KS07	How would you assess the maturity of benchmarking internally or externally?		
KS08	How would you assess the maturity of reward and recognition for KS?		
KS09	How would you assess the maturity of the role of KS and its importance as part of the CICOP KM strategy?		
KS10	Other (at suggestion of the interviewee)		

Part Three: Maturity assessment on the status of the use of storytelling (ST) for knowledge sharing in the Kumba Resources CICOP

The maturity assessment will be based on a joint assessment between the interviewer and interviewee and based on the criteria used in the table below. If doubt exists as to whether a capability level has been achieved, the next lower level will be selected.

Item number	Questions	Comments	Capability maturity (see level descriptions in table attached)
ST01	How would you assess the maturity of the ownership of storytelling (ST) (e.g. person responsible)?		
ST02	How would you assess the maturity of the executive sponsorship for the use of ST?		
ST03	How would you assess the maturity of the objectives for ST (e.g. when and why to use ST)?		
ST04	How would you assess the maturity of the funding agreed upon to create and maintain the use of stories?		
ST05	How would you assess the maturity of the tools & practices for ST?		
ST06	How would you assess the maturity of the training & education for ST (e.g. how to construct and tell stories)?		
ST07	How would you assess the maturity of the measures of ST (e.g. frequency, impact of ST)?		
ST08	How would you assess the maturity of the success stories of ST (e.g. benefits achieved)?		
ST09	How would you assess the maturity of the benchmarking internally or externally (e.g. specific example)		
ST10	How would you assess the maturity of the reward and recognition for use of ST (e.g. specific reward for ST)?		
ST11	How would you assess the		

	maturity of the use of a storytelling model (e.g. storyteller, story, listener)?		
ST12	How would you assess the maturity of the capture and reuse of stories?		
ST13	How would you assess the maturity of the catalogue of stories maintained?		
ST14	How would you assess the maturity of the extent to which stories are used internally and externally for KS?		
ST15	How would you assess the maturity of the role of technology in ST?		
ST16	How would you assess the maturity of the understanding of where not to use stories?		
ST17	How would you assess the maturity of the Storytelling Community of Practice?		
ST18	How would you assess the maturity of the story value rating scale?		
ST19	Other (at suggestion of the interviewee)		

Part Four: Capability Maturity Descriptions

The descriptions in this table will be used to assist in the assignment of maturity levels in the Knowledge Sharing and Storytelling assessment tables above.

Capability level	Title	Description	Required to move to the next level
Zero (0)	**NOT PERFORMED**	Process area not being done Organisational starting point	Process area must be performed
One (1)	**INITIAL** - Performed informally	Individual heroics Essential elements performed Process area performed inconsistently across the organisation Some evidence of activity and results	Repeatable practices must be developed and used
Two (2)	**REPEATABLE**- Planned and tracked	Activity is planned and managed Projects used a defined process Local chaos is controlled but capability remains at unit level	Organisational standard processes must be developed and introduced
Three (3)	**DEFINED** – Well defined	Development of org. standard process Projects use org. standard process Sharing organisational learning	Quantitative goals must be developed and introduced
Four (4)	**MANAGED** - Quantitatively controlled	Definition of quantitative goals Process metrics captured Managing process by data	Continuously improving practices must be developed and introduced
Five (5)	**OPTIMISING** - Continuously improving	Quantitative strategic goals Processes improved Improvement based on data	

Appendix 2: Continuous Improvement maturity model

This is an example of the Kumba Resources CICOP maturity model, also known internally as the 'performance staircase'.

CONTINUOUS IMPROVEMENT – CAPABILITY ASSESSMENT CODE BOOK

Summary of Behaviour description per maturity level

BEHAVIOUR	Level 1 Natural/background -CI	Level 2 Structured CI	Level 3 Goal oriented CI	Level 4 Pro-active CI	Level 5 Full CI Capability
1 **Understanding CI**	People not involved in CI, nor being motivated to get involved by leadership. Problems solved ad-hoc. Strong blame culture.	Significant numbers of people involved. Strong support from top management. Middle management and lower primarily just going along. Blame culture declining.	Majority of people involved. Strong support throughout organisation. Blame culture isolated.	People involved without consciously thinking about it. CI has become a way of life.	Experimentation is encouraged. Mistakes are learning experiences.
2 **Strategy deployment**	People throughout organisation deal with own, short term targets. Targets not linked to Coy or other section/dept targets. No CI related measurement.	Local targets sometimes used to generate improvement ideas. CI activity measured, usually by central function, but not impact.	Local targets, of which the link to company targets is clear to all, always used to focus improvement activity. CI activity and impact monitored. VPM widely used. Everyone knows where they fit in.	Operational and improvement targets integrated, well known and monitored by people involved. Impact on company performance, as well as other sections/ departments understood by all. Extensive use of VPM.	Company strategy and targets are general knowledge to all, with all playing some part in formulation. Impact on upstream/ downstream parties inside or outside the company also taken into account. Monitoring of performance across department/ company borders.
3 **Leading CI**	Supervisors concentrate only on day-to-day activities. They do not spend time on pro-active improvement or encourage or support sub-ordinates to do so.	Some supervisors allocate time to CI activities when initiated and arranged by CI function. Some encourage and recognise involvement by sub-ordinates.	In general supervisors visibly support, initiate and are involved in CI activities. They encourage participation, expect results and always recognise contributions.	Supervisors/managers are viewed as champions for CI. They spend significant amounts of time/ resources on CI and expect involvement from sub-ordinates.	Supervisors/ managers at all levels are driving the improvement process. They continuously energise subordinates. CI is no longer a staff function.
4 **Deployment and use**	Problem solving ad hoc. Very limited use of tools. No structured mechanisms available to channel ideas.	Full problem solving cycle seldom used. Basic tools generally in use. One mechanism predominantly used to initiate and channel ideas.	Structured problem solving almost standard approach. Multiple tools and mechanisms in use to generate and channel improvement.	Structured process applied almost automatically without facilitation. High level of training in multiple tools. Eagerness to try new tools.	High training and skills levels and application of multiple techniques. New techniques regularly introduced and developed.

CONTINUOUS IMPROVEMENT – CAPABILITY ASSESSMENT CODE BOOK

BEHAVIOUR	Level 1 Natural/background -CI	Level 2 Structured CI	Level 3 Goal oriented CI	Level 4 Pro-active CI	Level 5 Full CI Capability
5 Consistency in CI	No formal improvement process/ system. Ad hoc improvement efforts hampered by system/ process constraints.	Improvement process separate from operational. Special arrangements required for involvement.	Improvement activities fit in with operational. Major org changes lead to changes in CI processes/systems.	Improvement processes and activities are fully integrated with normal company processes and operations. Misalignment addressed continuously.	Improvement processes drive organisational changes. Processes develop and grow together.
6 Cross boundary CI	Everyone internally focussed. Own results only concern. No cross boundary CI. Unhealthy competition.	Primary focus on own results. Unhealthy competition still present. External assistance available on request. Knowledge limited to bordering functions.	Regular cross boundary improvement efforts. Good knowledge of company and other section/dept targets, as well as cross boundary impacts.	Holistic view of company performance drives CI. Cross boundary cooperation natural. Horizontal and vertical representation on team's way of life.	Holistic view of company in external environment drives CI. Customers and suppliers are partners in CI activities, which also target their internal performance.
7 Sharing and capturing leaning	Task/ project reviews generally not done. Problem/ solution discussions informal and limited to direct work group. Training limited to minimum required for job	Task/ project reviews done formally, but no formal capturing of learning. Problem/ solution discussions at formal meetings. Some training in addition to minimum required.	Formal task /project reviews mostly done, leading to actions plans ensuring learning captured. Solution implementations formally discussed, learning's documented.	Experience learning formal and recognised process. Capturing of learning systematic, standard process. People encouraged and supported to further training.	Learning from experience, capturing and sharing of learning part of company culture. Advanced job related and personal development training encouraged, supported as high priority
8 CI on CI	No designated responsibility for CI. CI activity not monitored. No/ very little resources allocated to encourage improvement.	Improvement activity monitored, but results/ impact monitoring not comprehensive. Process implementation success monitored and amended where necessary. Resources available not sufficient to establish and support improvement processes in all areas.	Improvement activity and impact monitored, utilising synchronised, linked systems. Process functioning and impact monitored at high level and amended where necessary. Resources available sufficient to establish and support improvement processes in all areas, but not to significantly enrich established processes.	Improvement activity and impact monitored by teams themselves, utilising integrated system. Process functioning and impact monitored at all levels and amended where necessary. Resources available are sufficient to maintain and enrich improvement processes.	Improvement activity and impact monitored by teams themselves, utilising integrated system. Process functioning and impact monitored by teams at all levels and amended where necessary. Resources available are sufficient to maintain and enrich improvement processes.

Appendix 3: Storyboard profiles

These tables contain the profiles of the storyboards presented in Chapter 6.

Reference to figure in Chapter 6	Figure 6.3
Name of storyboard	Kumba Way storyboards
Title	Various
Dimensions	Height 60 cm Width 40cm
Slogan	Varies by poster: Accountability; Motivational values; Foundational values; We do it better every time
Background design	The setting is a representation of an outdoor scene with an ant or ants in action living out the values
Removable sections	No
Overall theme	Supports Kumba Way themes
Character design	Ant characters
Local character integrated	No
Integration of Kumba Way ants	Yes, these are the ants posters
Kumba corporate logo	Yes
Multiple language slogans	Yes, with separate posters only
Integration of Kumba corporate theme or values	Yes, using Kumba Way terminology
Specific objectives mentioned	No

Reference to figure in Chapter 6	Figure 6.5
Name of storyboard	Sishen mine storyboard, 2004
Title	None
Dimensions	Height 36 cm Width 95 cm
Slogan	Together we add value
Background design	The setting is a representation of the surface area surrounding the mine the vegetation and equipment is similar to that which can be found at the mine
Removable sections	Yes, 12 sections
Overall theme	A journey from the current reality into the future, addressing business goals, inviting feedback, in the context of the local vision and mission
Character design	Human-like characters of neutral colour including both genders
Local character integrated	No
Integration of Kumba Way ants	No
Kumba corporate logo	No
Multiple language slogans	No
Integration of Kumba corporate theme	Yes, mentions specific Kumba Way values

or values	
Specific objectives mentioned	Growth volume cost efficient culture and leadership safety and health, environment and quality corporate citizenship

Reference to figure in Chapter 6	Figure 6.6
Name of storyboard	Thabazimbi mine storyboard, 2003
Title	None
Dimensions	Height 33 cm Width 90 cm
Slogan	Thabazimbi – Together We Move Mountains
Background design	The setting is a representation of the surface area surrounding the mine the vegetation and equipment is similar to that which can be found at the mine
Removable sections	Yes, 15 sections
Overall theme	Current successes then a SWOT analysis (strengths; weaknesses; opportunities; threats); then sections on Vision; Mission; Values; Strategic business goals are defined (process integration; macro trance formation; sustainable business development; safety health and environment; leadership and high-performance culture)
Character design	Non-human characters (of neutral colour, neutral gender)
Local character integrated	No
Integration of Kumba Way ants	No
Kumba corporate logo	No
Multiple language slogans	No
Integration of Kumba corporate theme or values	Yes, using Kumba Way terminology
Specific objectives mentioned	No, only in general terms under the strategic business goals using graphics

Reference to figure in Chapter 6	Figure 6.7
Name of storyboard	Grootegeluk mine storyboard, 2002
Title	None
Dimensions	Height 28 cm Width 87 cm
Slogan	Grootegeluk is excellent
Background design	The setting is a representation of the surface area surrounding the mine the vegetation and equipment is similar to that which can be found at the mine
Removable sections	Yes, 10 sections
Overall theme	SWOT analysis (strengths; weaknesses; opportunities; threats); values; achievement
Character design	Non-human characters (of neutral colour, neutral gender)
Local character integrated	Yes
Integration of Kumba Way ants	No
Kumba corporate logo	No
Multiple language slogans	No
Integration of Kumba corporate theme or values	Yes, but not using Kumba Way terminology
Specific objectives mentioned	Costs Volume output People performance Safety and health, environment and quality

Reference to figure in Chapter 6	Figure 6.8
Name of storyboard	Grootegeluk mine storyboard, 2003
Title	None
Dimensions	Height 40 cm Width 90 cm
Slogan	Grootegeluk –Great our name – Excellence our aim is excellent
Background design	The setting is a representation of the surface area surrounding the mine the vegetation and equipment is similar to that which can be found at the mine
Removable sections	Yes, 11 sections
Overall theme	Achievement of five trusts (SHEQ; high-performance culture; client relationship management KEVA; corporate citizenship). This is contextualised to the current situation through vision and values
Character design	Non-human characters (of neutral colour, neutral gender)
Local character integrated	Yes
Integration of Kumba Way ants	Yes
Kumba corporate logo	No
Multiple language slogans	No

Integration of Kumba corporate theme or values	Yes, using Kumba Way terminology
Specific objectives mentioned	Volume output Safety and health, environment and quality

Reference to figure in Chapter 6	Figure 6.10
Name of storyboard	Grootegeluk marula tree storyboard, 2003
Title	Twelve posters each with own title
Dimensions	Height 80 cm Width 60cm
Slogan	Varies by poster: the story traces the progress of the life of the business built on the marula tree and relates to the mine's business
Background design	Varies according to the scene on the poster
Removable sections	Yes, story is built with twelve individual sections (posters)
Overall theme	Explains six business fundamentals: vision; mission; strategic goals; profit; stakeholders; client relations. Then relates these to the mine's business
Character design	Human-like characters
Local character integrated	No
Integration of Kumba Way ants	No
Kumba corporate logo	No
Multiple language slogans	No
Integration of Kumba corporate theme or values	No
Specific objectives mentioned	Yes, within the context of the story. First part of the story talks about the concepts through the tree; second part of the story relates the concepts to the mine's business

Reference to figure in Chapter 6	Figure 6.11
Name of storyboard	Zimisele project storyboard, 2003
Title	Zincor Business Improvement Project
Dimensions	Height 45 cm Width 60 cm
Slogan	Commit yourself
Background design	Four different colour-coded sections have been arranged in a circular layout
Removable sections	No
Overall theme	A journey in seven phases: current situation; the challenge; discussions to resolve; collect info and ideas; implementation planning; reality; future intent
Character design	Non-human characters (of neutral colour, neutral gender)

Local character integrated	No
Integration of Kumba Way ants	No
Kumba corporate logo	No
Multiple language slogans	No
Integration of Kumba corporate theme or values	No
Specific objectives mentioned	Cost reduction Timescales Increasing income Safety and health, environment and quality

Reference to figure in Chapter 6	Figure 6.12
Name of storyboard	Zincor corporate storyboard, 2004
Title	None
Dimensions	Height 41 cm Width 92 cm
Slogan	Zincor – Together we can!
Background design	The setting is a representation of an outdoor scene at the plant with the plant buildings in the background
Removable sections	Yes, 10 sections
Overall theme	Kumba and Zincor visions; move to current reality; strategy; 5 specific thrusts (internal quality; satisfied employees; operational excellence; external value; satisfied and loyal customers); foundational and motivational values; future intent
Character design	Non-human characters (of neutral colour, neutral gender) combined with human characters of both genders and multiple racial groups represented
Local character integrated	No
Integration of Kumba Way ants	Yes
Kumba corporate logo	Yes
Multiple language slogans	Yes
Integration of Kumba corporate theme or values	Yes, using Kumba Way terminology
Specific objectives mentioned	Yes, for strategic business goals under future intent